Date: 6 June 2014

Dear Sir or Madam,

You are hereby summoned to attend a meeting of the Executive of Bolsover District Council to be held in the Chamber Suites at **The Arc, High Street, Clowne** on **Monday 16 June 2014 at 1000 hours**.

Register of Members' Interests - Members are reminded that a Member must within 28 days of becoming aware of any changes to their Disclosable Pecuniary Interests provide written notification to the Authority's Monitoring Officer.

You will find the contents of the agenda itemised on pages 2 to 3.

Yours faithfully,

Chief Executive Officer
To: Chairman & Members of the Executive

ACCESS FOR ALL

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☎ **01246 242435**   **Democratic Services**
Minicom: 01246 242450   **Fax: 01246 242505**

Email enquiries@bolsover.gov.uk **Web** www.bolsover.gov.uk
Chief Executive Officer: Wes Lumley, B.Sc.,F.C.C.A.
The Arc, High Street, Clowne, Derbyshire, S43 4JY

INVESTORS IN PEOPLE

The Government Standard

EXECUTIVE AGENDA

Monday 16 June 2014 at 1000 hours
Chamber Suites, The Arc

Item No.		Page No.(s)
	PART 1 – OPEN ITEMS	

1   **Apologies for absence**

2   **Urgent Items of Business**

To note any urgent items of business which the
Chairman has consented to being considered under
the provisions of Section 100(B) 4(b) of the Local
Government Act 1972.

3   **Declarations of Interest**

Members should declare the existence and nature of
any Disclosable Pecuniary Interest and Non Statutory
Interest as defined by the Members' Code of Conduct
in respect of:

a) any business on the agenda
b) any urgent additional items to be considered
c) any matters arising out of those items

and if appropriate, withdraw from the meeting at the
relevant time.

4   **Minutes**

To approve the minutes of a meeting of the Executive   Previously
held on 13 May 2014   circulated

5   **Recommended Items From Other Standing
Committees**

None.

6   Executive Appointments to Outside Bodies   4-8
Recommendation is to approve the attached list

7   Appointment of BDC Director to North Eastern   9-12
Derbyshire Business Developments (NEDBD) Ltd
Recommendation on page 11

* Denotes Key Decision

REPRESENTATIVES ON OUTSIDE BODIES 2014/2015
EXECUTIVE FUNCTIONS

Organisation and Representative(s)	Term of Office Expires On
Age Concern Chesterfield & District Cabinet Member for Social Inclusion	Annual Meeting of the Council
Alliance for Enterprise (LEGI) Cabinet Member for Regeneration	Annual Meeting of the Council
Industrial Communities Alliance Leader of the Council Deputy Leader of the Council **EUROACOM** Leader of the Council **National Worklessness Forum** Leader of the Council	Annual Meeting of the Council
Arts Derbyshire Cabinet Member for Social Inclusion	Annual Meeting of the Council
Association of Retained Council Housing (ARCH) Cabinet Member for Housing Management	Annual Meeting of the Council
Association for Public Service Excellence **(a) National** Cabinet Member for Environment **(b) Central Region** Cabinet Member for Environment	 Annual Meeting of the Council Annual Meeting of the Council
Bolsover Community Safety Partnership Cabinet Member for Community Safety	Annual Meeting of the Council
Bolsover Countryside Partnership Cabinet Member for Environment	Annual Meeting of the Council
Bolsover District Youth Advisory Panel Cabinet Member for Social Inclusion	Annual Meeting of the Council
Bolsover District Community Sports Forum Cabinet Member for Social Inclusion	Annual Meeting of the Council

Bolsover Partnership Board Leader of the Council Deputy Leader of the Council	Annual Meeting of the Council
Bolsover Partnership – Health and Wellbeing Partnership Cabinet Member for Social Inclusion	Annual Meeting of the Council
Citizens Advice Bureau Board of Trustees Cabinet Member for Social Inclusion	Annual Meeting of the Council
Chesterfield Community Transport Cabinet Member for Regeneration	Annual Meeting of the Council
Chesterfield and District Crematorium Joint Committee Cabinet Member for Housing Management Cabinet Member for Environment	Annual Meeting of the Council
Community Voluntary Partners Cabinet Member for Social Inclusion	Annual Meeting of the Council
Coalfields Task Force Leader Deputy Leader (Substitute)	Annual Meeting of the Council
Derbyshire Economic Partnership (DEP) Leader Deputy Leader or Cabinet Member for Regeneration	Annual Meeting of the Council
Derbyshire Children's Trust Board Cabinet Member for Community Safety	Annual Meeting of the Council
Derbyshire Coalition for Inclusive Living Cabinet Member for Social Inclusion	Annual Meeting of the Council

Derby and Derbyshire Strategic Leadership Forum Leader of the Council Deputy Leader of the Council Chief Executive Officer (non voting)	Annual Meeting of the Council
Chesterfield Royal Hospital Council of Governors – Derby and Derbyshire Strategic Leadership Forum representative Councillor Eion Watts – Leader of the Council	3 year term (1st January 2014 to 31st December 2016)
Derbyshire Police and Crime Commissioners Panel Cabinet Member for Community Safety	Annual Meeting of the Council
Derbyshire Partnership Forum Leader of the Council Deputy Leader of the Council (substitute)	Annual Meeting of the Council
Derbyshire Safer Communities Board Cabinet Member for Community Safety	Annual Meeting of the Council
Derbyshire Sport Cabinet Member for Social Inclusion	Annual Meeting of the Council
Derbyshire Unemployed Workers Centre Bolsover Project Cabinet Member for Social Inclusion	Annual Meeting of the Council
East Midlands Councils Cabinet Member for Environment Leader of the Council (Substitute)	Annual Meeting of the Council
East Midlands ERDF Local Management Committee Leader of the Council (SCR Representative)	Annual Meeting of the Council
Frederick Gent Community Sport & Leisure Management Partnership Cabinet Member for Social Inclusion	Annual Meeting of the Council
Groundwork Creswell Cabinet Member for Regeneration	Annual Meeting of the Council

Joint Working Board (BDC/NEDDC/CBC) Leader of the Council Deputy Leader of the Council Chief Executive Officer Councillor K. Bowman - Representative from Scrutiny Management Board (Observer) Councillor M. Dooley - Representative from Scrutiny Management Board (Substitute Observer)	First meeting of the Executive following Annual Council **Representatives from Scrutiny Management Board**
Junction Arts Cabinet Member for Social Inclusion	Annual Meeting of the Council
LEADER Programme Cabinet Member for Regeneration	Annual Meeting of the Council
Local Authorities Energy Partnership Cabinet Member for Environment	Annual Meeting of the Council
Local Government Association – General Assembly Leader of the Council	Annual Meeting of the Council
Local Government Association - People and Places Board Leader of the Council	Annual Meeting of the Council
Local Government Information Unit Leader of the Council	Annual Meeting of the Council
Markham Employment Growth Zone (MEGZ) Liaison Committee Cabinet Member for Regeneration	Annual Meeting of the Council
North East & Bolsover Learning Disability Partnership Board Cabinet Member for Social Inclusion	Annual Meeting of the Council
Older Persons Forum Cabinet Member for Social Inclusion	Annual Meeting of the Council
Peak District and Derbyshire Destination Management Partnership Cabinet Member for Regeneration	Annual Meeting of the Council
Sheffield City Region Combined Authority Leader of the Council Deputy Leader - Substitute	Annual Meeting of the Council

Sheffield City Region Local Enterprise Partnership (LEP) Board Leader of the Council	Annual Meeting of the Council
Shirebrook Business Services Board Cabinet Member for Community Safety	Annual Meeting of the Council
Two Shires Credit Union Cabinet Member for Social Inclusion	Annual Meeting of the Council

Bolsover District Council

Executive

16 June 2014

Appointment of BDC Director to North Eastern Derbyshire Business Developments (NEDBD) Ltd

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Report of the LEADER Lead Officer
(Councillor A Tomlinson, Portfolio Holder for Regeneration)

This report is public

Purpose of the Report

- To appoint the BDC officer representative on NEDBD Ltd, and endorse their registration as a director at Companies House.

1   Report Details

1.1   North Eastern Derbyshire Business Development (NEDBD) Limited is a not for profit company limited by guarantee, established in 1993 to act as the accountable body and operating company for CHART Local Strategic Partnership. It has since fulfilled this role for the £11.5m CHART Single Regeneration Budget Scheme, its European Action Plan and £1m Staveley Neighbourhood Management (SNM) Pathfinder.

1.2   The currently primary role of NEDBD is as accountable body for the £2.4m BNED LEADER Approach, the Grassland Hasmoor...Big Local Project (which aims to access over £1m for Grassmoor and Hasland), the former CHART area (North East Derbyshire & Chesterfield) health monies and Destination Chesterfield. NEDBD also acts as accountable body for individual projects and applies to funding bodies on behalf of partners, managing the financial aspects of the projects.

1.3   NEDBD is democratically managed by several local public and private agencies, chaired by Derbyshire & Nottinghamshire Chamber of Commerce. The other organisations which are company members, who each name a director registered with Companies House, are: Bolsover District Council; Chesterfield Borough Council; Chesterfield and District Trades Union Council; Derbyshire County Council; and North East Derbyshire District Council.

1.4   The main role of the NEDBD Board is to oversee progress of its constituent funding schemes, ensuring that they are operating within their respective delivery arrangements. Each scheme has their own management arrangements (such as the BNED LEADER Local Action Group and Grassland Hasmoor...Interim Steering Group) to deal with operational activity. The Board, which usually meets biannually, also considers the financial reports, accounts and appoints the company auditors.

1.5 Derbyshire & Nottinghamshire Chamber provides the Company Secretary services, with the NEDDC Strategic Partnership Co-ordinator acting as Executive Officer (part of their core duties), overseeing the operations of the company. Key benefits of using NEDBD include reducing liabilities on any one partner and allowing partners on cross-border activities to have an equal stake the schemes' management.

1.6 Prior to the restructure of the Strategic Alliance Management Team, the former BDC and NEDDC Joint Director of Development was the joint nominated NEDBD director, registered with Companies House. Although officers can provide a proxy vote until a director is confirmed, it is best practice for BDC and NEDDC to nominate a replacement officer to register with NEDBD Ltd and Companies House.

1.7 This report will also be presented to the North East District Council Cabinet as it is appropriate to suggest that a joint officer continues to represent the views and vote on behalf of both Councils.

2 **Conclusions and Reasons for Recommendation**

2.1 NEDBD continues to be a useful vehicle in administering local economic, community and health development funding for the area, minimising the bureaucracy and Council's liabilities of managing such resources.

2.2 It is recommended that the Joint Assistant Director for Economic Growth is appointed the BDC representative on NEDBD Ltd. The remit of this officer is most closely aligned to NEDBDs predominantly economic development focus, particularly with the BNED LEADER Approach scheme which aims to recommence in January 2015, significantly contributing to the Councils' growth agendas.

2.3 There are no restrictions to the length of time a nominee can serve as a director of NEDBD. To assist with consistency, it is recommended that the BDC nomination stands until BDC determine otherwise.

3 **Consultation and Equality Impact**

3.1 The Joint Chief Executive has been consulted on the recommendation being made.

4 **Alternative Options and Reasons for Rejection**

4.1 Although BDC and NEDDC have the opportunity to each nominate a different representative, it is felt to be an inefficient use of officer time to do this due to the straightforward nature of the NEDBD Board's duties.

4.2 Although the NEDDC Strategic Partnership Co-ordinator, as NEDBD Executive Officer, has been able to substitute for the registered NEDDC NEDBD director on several occasions, they cannot do this for BDC as they are not a joint officer.

4.3 Although NEDBD oversees funding related to health and community development, the primary purpose is for the development of the local economic infrastructure. It is therefore felt inappropriate to nominate an officer with a non-economic growth remit.

5   Implications

5.1   Finance and Risk Implications

5.1.1   As noted in section 5 of NEDBD's Memorandum of Association, "Every Member of the Company undertakes to contribute such amount as may be required (not exceeding £5) to the Company's assets if it should be would up while he is a member or within one year after he ceases to be a member, and of the costs, charges and expenses of winding up, and for the adjustment of the rights of the contributories among themselves."

5.1.2   All NEDBD payments are made by countersigned cheques, no two signatories being from the same organisation.

5.2   Legal Implications including Data Protection

5.2.1   NEDBD requires BDC and NEDDC to each have directors registered at Companies House to operate on their behalf. This can be the same representative.

5.3   Human Resources Implications

None.

6   Recommendations

6.1   That the Joint Assistant Director for Economic Growth is appointed the BDC representative on NEDBD Ltd. until otherwise determined.

7   Decision Information

Is the decision a Key Decision? (A Key Decision is one which results in income or expenditure to the Council of £50,000 or more or which has a significant impact on two or more District wards)	No
District Wards Affected	All Wards
Links to Corporate Plan priorities or Policy Framework	Customer Focused Services; Regeneration

8 Document Information

Appendix No	Title
N/A	N/A

Background Papers (These are unpublished works which have been relied on to a material extent when preparing the report. They must be listed in the section below. If the report is going to Cabinet (NEDDC) or Executive (BDC) you must provide copies of the background papers)	
NEDBD Ltd Memorandum and Articles of Association	

Report Author	Contact Number
Steve Lee, NEDDC Strategic Partnership Co-ordinator	01246 21(7512)

Report Reference –

Bolsover District Council

Executive

16th June 2014

Compliments, Comments and Complaints Quarterly Report (Q4) and Annual Summary 2013/14

Report of the Joint Assistant Director – Customer Service and Improvement/ Customer Standards and Complaints Officer (Portfolio Holder: Cllr R Bowler)

This report is public

Purpose of the Report

- To provide information on the monitoring and effective management of complaints and customer requests which is central to excellent customer service and the Council can use to improve services.
- To provide information on the number of compliments, comments and complaints for the period 2nd January 2014 to 31st March 2014 together with the annual summary for 2013/14.

1   Report Details

Compliments

Table A shows the number of written compliments received for the period. In total 38 written compliments were received. A good cross section of compliments received from customers appreciating excellent service, including 15 for Customer Services (including Contact Centres) and 8 for Housing (both Repairs and Enforcement Team).

Comments

Table B shows the number of written comments received for the period. 11 were responded to within standard (20 working days). There were no trends for this quarter.

Table C shows the above information by department.

Service Requests

The table below provides a breakdown of service requests expressing dissatisfaction with the waste collection service, made verbally by customers, and handled by Contact Centres by volume for the period 2nd January 2014 to 31st March 2014.

Service Area	01/04/13– 30/06/13	01/07/13 – 30/09/13	01/10/13 – 31/12/13	02/1/14 – 31/3/14	Total
Missed clinical waste collection	29 (18)	15 (9)	14 (10)	18 (11)	76 (48)
Missed domestic or green bin collection	207 (188)	513 (481)	290 (264)	306 (285)	1316 (1218)
Missed blue box/ burgundy bin collection	131(120)	128 (119)	186 (170)	350 (317)	795 (726)
Total	**367 (326)**	**656 (609)**	**490 (444)**	**674 (613)**	**2187 (1992)**

The figures in brackets show the number of service requests escalated to the department for investigation/ action. For the same period Contact Centres handled 8,464 requests for service in total.

Complaints

Stage one

Table E shows the number of stage one complaints for the period. The customer service standard for responding to Stage one complaints is 3 working days.

Table F shows the above information by department.

Stage two

Table G shows the number of stage two or written complaints received for the period by date order. 40 complaints were received during this period. All were responded to within our customer service standard of 20 working days. 13 complaints were for the Benefits Section (explanations about benefit entitlement) and 13 for the Housing Department on a variety of issues including repairs.

Table H shows the above information by department.

Stage three

Table I shows the number of stage three complaints received for the period by date order. These are complainants who have already made a stage two complaint and still feel dissatisfied. During this period 5 stage three complaints were received, 4 of which were responded to within standard.

Ombudsman

Table J shows the status of Ombudsman complaints for 2014/15 as of 19th May 2014. During this quarter, one decision was received in which the Ombudsman discontinued her investigation and recorded their decision as 'Not upheld: no Maladministration'. Additionally there were another two complaints which the LGO decided not to initiate an investigation because there was no or insufficient evidence of maladministration. We have no complaints awaiting a decision from the Ombudsman for the year 2013/14.

The target of 100% has been achieved for responding to stage two complaints within 20 working days for 2013/14.

Summary for 2013/14

The following tables provide a summary of performance for compliments, comments, complaints for 2013/14.

Volume and Performance

Volume by type	Q1	Q2	Q3	Q4	2013/14 Total	2012/13 Total	2011/12 Total	2010/11 Total
Compliments	54	26	17	38	135	127	153	173
Comments	13	8	14	11	46	56	93	78
Stage 2 Complaints	46	39	35	40	160	164	124	79
Stage 3 Complaints	6	8	6	5	25	35	23	25
Total	**120**	**82**	**72**	**93**	**367**	**382**	**393**	**355**
Stage 1 Complaints	58	45	55	53	211	143	No comparative data – information collated from April 2012	
% Comments responded to within standard	**100%**	**88%**	**100%**	**100%**	**98%**	**100%**	**100%**	**100%**
Average response in days	**11**	**14**	**11**	**16**	**13**	**14**	**15**	**12**
% Stage 2 responded to within standard	**98%**	**100%**	**100%**	**100%**	**100%**	**100%**	**100%**	**99%**
Average response in days	**12**	**13**	**16**	**14**	**14**	**15**	**15**	**14**
% Stage 3 responded to within standard	**83%**	**100%**	**100%**	**75%**	**92%**	**100%**	**100%**	**87%**
Average response in days	**15**	**14**	**16**	**18**	**15**	**15**	**17**	**16**

When comparing 2013/14 to the previous year of 2012/13, the following is noted:

- ➤ Received fewer stage two complaints, a decrease of 4 (2.5%).
- ➤ Received fewer stage three complaints, a decrease of 10 (29%).
- ➤ Received fewer written comments, a decrease of 10 (18%).
- ➤ Received more written compliments, an increase of (6%).

Customer Feedback

The following change has been made as a result of customer feedback obtained through written comments and complaints:

- ➤ A tightening up of procedures in areas where errors had occurred.
- ➤ Refresher training to be given to staff in areas where incorrect advice had been given.

Table A: COMPLIMENTS SUMMARY 02/01/14 – 31/3/14

Date Received	Area	Summary of Compliment	Departments Involved
10/01/14	South Normanton	Thanks to Planning Department for swift action in relation to housing development	Planning Regeneration
16/01/14	Shirebrook	Helpful and kind advice given by Customer Advisor when seeking benefit advice	Customer Services
21/01/14	Langwith	Repairs Team who came out to do his roofing job were brilliant	Housing
23/01/14	Blackwell	Thanks to Customer Advisor who sorted her clinical waste collection	Customer Services
28/01/14	Whitwell	Thanks to the Repairs Operatives - a job well done	Housing
27/01/14	Doe Lea	Thanks to Streetscene Services for putting up the fence around the river	Streetscene Services
31/01/14	Barlborough	Thanks to all the hard work of the Benefits Manager and her team for pulling work in a very tight timescale, for the Scrutiny Review of Discretionary Housing Payments, without which the success of the review would not have been possible	(Revenues &) Benefits
04/02/14	Bolsover	Repair was quickly carried out, thanks to Contact Centre staff and Housing Repairs	Customer Services Housing
05/02/14	Whitwell	Thanks to Leisure Attendant at Creswell Leisure Centre for administering first aid when unwell	Leisure
05/02/14	Bolsover	Thanks to Contact Centre staff for help with rent account refund query	Customer Services
10/02/14	Whitwell	Thanks to the Housing Enforcement Manager and Customer Services Officer for sorting out a longstanding issue with tenants filling their garden with bulky waste	Housing Customer Services
10/02/14	Clowne	Thanks to Contact Centre staff for help with benefit queries, was unsure how she was going to manage whilst off work	Customer Services
14/02/14	Clowne	Thanks to Portfolio Holder for Community Safety in relation to talk given at Clowne Community Association	Community Services Portfolio Holder for Community Safety
14/02/14	Clowne	Thanks to Portfolio Holder for Community Safety in relation to talk given at Clowne Community Association	Community Services Portfolio Holder for Community Safety

Date Received	Area	Summary of Compliment	Departments Involved
		Table A: COMPLIMENTS SUMMARY 02/01/14 – 31/3/14	
18/02/14	Bolsover	Thanks to Officer in Revenues for help with Council Tax account	Revenues (& Benefits)
18/02/14	Tibshelf	Thanks to the Contact Centre staff for all their help with her housing application	Customer Services
20/02/14	South Normanton	Thanks to Customer Service Support Officer for prompt response and help	Customer Services
20/02/14	Bolsover	Thanks to Customer Advisor for helping with speedy removal of litter	Customer Services
20/02/14	Doe Lea	Thanks to Leisure Department for quick repair to play equipment	Leisure
19/02/14	Clowne	Thank you to Customer Advisor who sorted out replacement bin request, when attended consultation event	Customer Services
21/02/14	Derbyshire	Thanks for interesting event, enhanced the Council's image	CEPT
21/02/14	Derbyshire	Thanks for all hard work in hosting the launch event, approximately £1000 raised	CEPT
21/02/14	South Normanton	Repairs Operatives who attended to heating did a fantastic job	Housing
24/02/14	Whitwell	Repairs Operative who attended to fit a new gate did a very good job - very satisfied	Housing
28/02/14	Whitwell	Repairs Operatives were polite and standard of work was good	Housing
28/02/14	Bolsover	Customer Advisor was helpful and gave her good information regarding the nappy collection service	Customer Services
03/03/14	Bolsover	Lost dog was recovered by friendly Dog Warden -- excellent service	Environmental Health
05/03/14	Bolsover	Thanks to the Gas Engineer who restored her heating, also thanks for the emergency heaters and the help from the Contact Centre	Housing Customer Services Community Services
06/03/14	Shirebrook	Thanks to Community Services for help with litter pick	Community Services
06/03/14	Creswell	Customer Advisor was helpful and gave her good information regarding benefits	Customer Services
19/03/14	Bolsover	Road sweeping in Bolsover very efficient	Streetscene Services

Date Received	Area	Summary of Compliment	Departments Involved
		Table A: COMPLIMENTS SUMMARY 02/01/14 – 31/3/14	
14/03/14	Clowne	CC staff and Licensing are very friendly	Customer Services Licensing
14/03/14	Creswell	Thanks for the help received (Benefits) whilst off work recovering from an operation	Benefits
20/03/14	Pinxton	Thanks to Grounds Maintenance Team for cutting edge	Streetscene Services
21/03/14	Newton	Thanks to Streetscene Services for bulky waste collection	Streetscene Services
25/03/14	New Houghton	Thanks for re-scheduled bin collection after missed collection	Streetscene Services
31/03/14	Bolsover	Thanks to CEPT team and Customer Advisor on reception when visited the Arc for Older People's forum	CEPT Customer Services
27/03/14	South Normanton	Thanks to Leisure Department for basketball academy	Leisure

Table B: Compliments Summary by Department 2013/14

Department/Section	01/04/13 – 30/06/13 No. of Compliments	01/07/13 – 30/09/13 No. of Compliments	01/10/13– 31/12/13 No. of Compliments	02/01/14 – 31/03/14 No. of Compliments	Total No. of Compliments
CEO/ CEPT	8	2		3	13
Customer Services	17	7	7	15	46
Community Services		1		4	5
Democratic Services					
Environmental Health	1	4		2	7
Finance					
Housing	7	2	8	8	25
Legal					
Leisure	13	4	1	3	21
Planning		1		1	2
Economic Growth	9		4	1	14
Revenues & Benefits	2	1		3	6
Strategy & Performance	1				1
Streetscene Services	9	7	3	5	24
Totals	**67**	**29**	**23**	**45**	**164**

Table C: SUMMARY OF COMMENTS 02/01/14 – 31/3/14

Date Received	Area	Summary of Comment	Departments Involved	Date Response Sent	No of work days	Summary of Response
02/01/14	Tibshelf	Private landlord removed garage, damaging another garage in process	Housing Legal	17/1/14	11	Bolsover District Council has no jurisdiction regarding this matter, it is a purely civil matter
06/01/14	New Houghton	Would like a skate park in New Houghton	Leisure	30/1/14	19	No Council owned land to be able to facilitate a skate park, explanation of leisure services in New Houghton
29/01/14	Bolsover	Would like to know what is happening in relation to regeneration of the former Coalite site	Regeneration	18/2/14	14	Explanation of plans for site
12/02/14	Langwith	Confused when he visited The Arc, Clowne - no signage and advice given by Customer Advisor	Customer Services Strategy & Performance	11/3/14	19	Explanation of signage used when Meet and Greet is not open, questions by Customer Advisor was to clarify query
13/02/14	Bolsover	What action will be taken to enable alcohol on the Sherwood Lodge site when Morrison's are the owners	Legal	12/3/14	19	No action to be taken
12/02/14	Shirebrook	Wind turbines on weighbridge Road should be turning constantly	Economic Growth Property Services	10/3/14	18	Explanation of how turbine is set up

		Table C: SUMMARY OF COMMENTS 02/01/14 – 31/3/14				
Date Received	**Area**	**Summary of Comment**	**Departments Involved**	**Date Response Sent**	**No of work days**	**Summary of Response**
06/03/14	Pinxton	Garage site and surrounding area untidy	Housing Streetscene Services	4/4/14	20	Reiterated previous responses
10/03/14	Barlborough	Does not agree that the work should have been stopped on the Council owned trees at Barlborough	Streetscene Services		1	Explanation that consultation would be done with those directly affected and that the department were dealing with it as swiftly as possible
20/03/14	Pleasley	Does not agree with cesspit service being withdrawn	Streetscene Services	10/4/14	15	Service not ceased - will be delivered by contractors
21/03/14	Shirebrook	Questioning the proposal to have a swimming facility in Clowne	Leisure	16/4/14	18	Rationale behind the decision
21/03/14	Shirebrook	Questioning Council Tax for Shirebrook	Finance	22/4/14	19	Explanation of Council tax precept

Table D: Comments Summary by Department 2013/14

Department/Section	01/04/13 – 30/06/13			01/07/13 – 30/09/13			01/10/13– 31/12/13			04/01/14 – 31/03/14			Total		
	No. of Comments	No. Responded to in time	No. responded to out of time	No. of Comments	No. Responded to in time	No. responded to out of time	No. of Comments	No. Responded to in time	No. responded to out of time	No. of Comments	No. Responded to in time	No. responded to out of time	No. of Comments	No. Responded to in time	No. responded to out of time
CEO/ CEPT															
Customer Service	1	1					1	1		1	1		3	3	
Community Services															
Democratic Services															
Environmental Health	1	1		1	1		1	1					3	3	
Estates & Property										1	1		1	1	
Finance	1	1		1		1	1	1		1	1		4	3	1
Housing	2	2		5	5		2	2		2	2		11	11	
Legal							2	2		2	2		4	4	
Leisure	2	2								2	2		4	4	
Planning	1	1											1	1	
Economic Growth	3	3		1	1		5	5		2	2		11	11	
Revenues & Benefits	5	5		2	2		1	1					8	8	
(Customer Service &) Improvement	1	1					1	1		1	1		3	3	
Streetscene Services	3	3		1	1		2	2		3	3		9	9	
Total	20	20		11	10	1	16	16		15	15		62	61	1

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Table E: Summary of Stage One Complaints 02/01/14 – 31/03/14						
Date Received	**Area**	**Summary of complaint**	**Department**	**Resolved Yes/No**	**No of work days**	**Remedy**
03.01.14	Shirebrook	Roof repair outstanding reported numerous times	Repairs	Resolved by service area	13	Work raised for 23.1.14 for roof check
6.1.14	Clowne	Customer unhappy with service over Christmas	Housing	Resolved by service area	1	HNO contacted customer appointment made to discuss customers needs
6.1.14	Newton	Customer unhappy with information regarding recycling as Red bin not emptied	Refuse	Resolved by service area	1	Apology given to customer and crew addressed
06.01.14	Clowne	Tenant not happy with standard of work	Repairs	Resolved by service area	2	Inspection raised for 8.1.14
07.01.14	Bolsover	Noise complaint regarding works carried out at neighbouring property & skip damaged grass	Repairs			
7.1.14	Bolsover	Bins left by operatives blocking customer access	Refuse	Resolved by service area	1	Work scheduled 15.1.13

Table E: Summary of Stage One Complaints 02/01/14 – 31/03/14						
Date Received	Area	Summary of complaint	Department	Resolved Yes/No	No of work days	Remedy
7.1.14	Shirebrook	Complaint regarding time taken to resolve service request	Grounds Maintenance	Resolved by service area	4	Officer contacted customer to advise
7.1.14	Whitwell	Customer unhappy with recharge policy for replacement bins	Refuse	Resolved by service area	2	missed crew deployed 15.1.14 unable to advise as no Tel details
08.01.14	South Normanton	Damp at property	Repairs	Resolved by service area	5	BDC & B & J visit to property advice re condensation given to tenant - future visit arranged
09.01.14	South Normanton	Complaint against workmen climbing over tenants gate to get to neighbouring property	Repairs	Resolved by service area	18	Inspection at property
09.01.14	Whitwell	Outstanding repairs to roof	Repairs	Resolved by service area		Job raised for checking loft 7.8.13

Table E: Summary of Stage One Complaints 02/01/14 – 31/03/14						
Date Received	**Area**	**Summary of complaint**	**Department**	**Resolved Yes/No**	**No of work days**	**Remedy**
9.1.14	South Normanton	Complaint about the Christmas collection services - misleading information of the leaflet	Refuse	Resolved by service area	4	Customer contacted advised bin emptied
9.1.14	New Houghton	Complaint re missed bin	Refuse	Resolved by service area	1	Advised Refuse team would contact them to arrange additional collection date.
10.01.14	South Normanton	Damp & Mould at the property	Repairs	Resolved by service area	10	Advice given re condensation and work raised re path and water ingress through front door
13.1.14	Creswell	Works not completed outbuilding door	Repairs	Resolved by service area	61	Work raised for 8.4.13
13.1.14	Shirebrook	Outstanding repairs to gate	Repairs	Resolved by service area	59	New gates ordered, job overlooked
13.1.14	Barlborough	Complaint missed bin	Refuse	Resolved by service area	0	Customer contacted and apology given - crew advised

Table E: Summary of Stage One Complaints 02/01/14 – 31/03/14						
Date Received	Area	Summary of complaint	Department	Resolved Yes/No	No of work days	Remedy
17.1.14	Shirebrook	Missed black bin - recurring	Refuse	Resolved by service area	0	Advised Refuse team would contact them to arrange additional collection date
17.1.14	Bolsover	Complaint regarding advice given regarding missed bin	Refuse	Resolved by service area	20	Customer contacted and apology given - crew advised
21.1.14	South Normanton	Complaint re length of time to receive caddy	Refuse	Resolved by service area	0	Contractor has been waiting for stocks
21.1.14	Bolsover	Complaint regarding the advice and tone of an officer	Environmental Health	Resolved by service area	1	Escalated to formal as customer has also written in
23.1.14	Bolsover	Waste from gutters cleaning left on yard	Repairs	Resolved by service area	42	Visit made re Radiators, no issue raised re gutter incident
24.1.14	Creswell	Damp at property	Repairs	Resolved by service area	6	Renewing radiator in bedroom and mould treatment work raise for porch

Table E: Summary of Stage One Complaints 02/01/14 – 31/03/14						
Date Received	**Area**	**Summary of complaint**	**Department**	**Resolved Yes/No**	**No of work days**	**Remedy**
29.1.14	Pinxton	Missed collection due to contamination	Refuse	Resolved by service area	8	Contact made to customer - additional collection arranged
30.1.14	Blackwell	Missed collection - operatives refused to take due to on a grass verge	Refuse	Resolved by service area	1	Advised customer that a collection would be provided on Monday but in future not to bag waste up
31.1.14	Newton	Customer unhappy with length of time taken for replacement bin	Refuse	Resolved by service area	0	Apology given for misunderstanding side waste arranged for following week
31.1.14	Clowne	Missed red bin problems no one from refuse team has contacted her	Refuse	Resolved by service area	3	Visit made and card left, call to customer and agreed Martins would contact her direct to discuss
27.1.14	Creswell	Damp and Mould at the property	Repairs	Resolved by service area	21	Advice given to tenants

Table E: Summary of Stage One Complaints 02/01/14 – 31/03/14						
Date Received	Area	Summary of complaint	Department	Resolved Yes/No	No of work days	Remedy
03.2.14	Hardstoft	Missed red bin unhappy as Advisor unable to check details due to bin report not forwarded at time of call	Refuse	Resolved by service area	3	Advised complainant details have been sent to relevant departments to address a chase up litter pick and Environmental Health to investigate further
05.2.14	Whaley Thorns	Customer unhappy with rubbish left when refuse lorry emptying bins	Refuse	Resolved by service area	1	Formal complaint raised
07.02.14	South Normanton	Concrete works carried out in rain causing cement to wash down wall and gate	Repairs	Resolved by service area	21	Repair raised on system
07.02.14	South Normanton	New gutters and fascia fitted - damage TV aerial not happy with advice given	Repairs	Resolved by service area		Tenant responsibility as should not have been fitted to Fascia as per permission letter

Table E: Summary of Stage One Complaints 02/01/14 – 31/03/14						
Date Received	Area	Summary of complaint	Department	Resolved Yes/No	No of work days	Remedy
07.02.14	Pinxton	Customer not happy with Officer's attitude re: investigation at property - item on garden - bulk collection arranged	Rangers	Resolved by service area	1	Customer advised re: contamination, additional collection arranged as one off on this occasion
10.02.14	Glapwell	Bin not emptied due to contamination - plastic bags - leaflets states customer can place items in plastic bags clothing batteries etc.	Refuse	Resolved by service area	3	Customer advised regarding contamination, additional collection arranged as one off on this occasion
12.02.14	Creswell	Burgundy bin not collected on two occasions	Refuse	Resolved by service area	4	Contact made and advice given to customer
12.02.14	Creswell	Bins are being blown over street - customer requesting bins to be collected from rear of properties	Refuse	Resolved by service area	4	

Table E: Summary of Stage One Complaints 02/01/14 – 31/03/14						
Date Received	**Area**	**Summary of complaint**	**Department**	**Resolved Yes/No**	**No of work days**	**Remedy**
12.02.14	South Normanton	Tenant not happy with length of time for inspection	Repairs	Resolved by service area	18	Inspection carried out and work raised
13.02.14	South Normanton	Outstanding repairs - leak in living room	Repairs	Resolved by service area	0	Inspection raised attended same day and carried out work
18.02.14	New Houghton	Fence damaged	Repairs	Resolved by service area	1	Order raised to make safe
21.02.14	Shirebrook	Workman drove over tenants grass verge	Repairs	Resolved by service area	20	Inspection carried out
24.02.14	Tibshelf	Service request for trees to be cut back, ongoing for 2 years	Grounds Maintenance	Resolved by service area		No other contact received from customer regarding a claim
26.02.14	Bolsover	Gate damaged by refuse team	Refuse	Resolved by service area	12	Customer advised
27.02.14	Tibshelf	Damp and Mould at the property	Repairs	Resolved by service area	21	Advice given re condensation
27.02.14	Creswell	Burgundy not collected contaminated with plastic bag	Refuse	Resolved by service area	4	Additional collection arranged

Table E: Summary of Stage One Complaints 02/01/14 – 31/03/14						
Date Received	Area	Summary of complaint	Department	Resolved Yes/No	No of work days	Remedy
28.02.14	Shirebrook	Tenant expecting gate to be fitted - workmen pulled off to attend another job	Repairs	Resolved by service area	1	Gate fitted 3.3.14
04.03.14	Clowne	Burgundy Bin not emptied contaminated with plastic bags	Refuse	Resolved by service area	5	Additional collection arranged
04.03.14	South Normanton	Red bin not taken as papers not in caddy, previously advised by crew a caddy not required, when it had gone missing	Refuse	Resolved by service area	5	Additional collection arranged
06.03.14	Newton	Claimant not happy about the manner of the Benefits staff regarding the outcome of a claim	Benefits	Resolved by service area	3	Letter sent to customer from Senior Benefits officer

Table E: Summary of Stage One Complaints 02/01/14 – 31/03/14						
Date Received	Area	Summary of complaint	Department	Resolved Yes/No	No of work days	Remedy
12.3.14	Whitwell	Burgundy bin not emptied as newspapers in main part of bin	Refuse	Resolved by service area	3	Customer happy matter to be discussed with Martins
12.3.14	Pinxton	Missed collection red bin	Refuse	Resolved by service area	3	Customer advised to remove contaminations and a caddy ordered for them
14.3.14	Bolsover	Tree damaged pathway between 2 properties	Repairs	Resolved by service area	19	Visit made to customer and details forward to repairs re path repairs
21.3.14	Shirebrook	Requesting Black Bin Larger type - not happy about what to recycle	Refuse	Resolved by service area	9	Recycling promotion officers to address
28.03.14	Shirebrook	Red bin not emptied due to access, customer complaining as not able to wait until next scheduled collection	Refuse	Resolved by service area	1	Additional collection arranged for customer

Table F: Stage One Complaints Summary by Department 2013/14

Department/Section	01/04/13 – 30/06/13			01/07/13 – 30/09/13			01/10/13 – 31/12/13			04/01/14 – 31/03/14			Total		
	No. of Stage One Complaints	No. responded to in time	No.responded to out of time	No. of Stage One Complaints	No. responded to in time	No.responded to out of time	No. of Stage One Complaints	No. responded to in time	No.responded to out of time	No. of Stage One Complaints	No. responded to in time	No.responded to out of time	No. of Stage One Complaints	No. responded to in time	No.responded to out of time
CEO/ CEPT															
Customer Services	3	3		5	5		2	1	1				10	9	1
Community Services	2	2		1	1					1	1		4	4	
Democratic Services															
Environmental Health				2	2					1	1		3	3	
Finance															
Housing	14	8	6	13	7	6	27	14	13	22	7	15	76	36	40
Legal															
Leisure															
Planning															
Regeneration	1	1		1	1								2	2	
Revenues & Benefits	2	1	1	1	1		3	3		1	1		7	6	1
Strategy & Performance															
Streetscene Services (Refuse)	9	9		12	10	2	21	17	4	26	16	10	68	52	16
Streetscene Services (GM)	16	4	12	10	3	7	2		2	2	1	1	30	8	22
Total	47	28	19	45	30	15	55	35	20	53	27	26	200	120	80

Table G: Summary of Stage Two Complaints 02/01/14 – 31/3/14

Date Received	Area	Summary of Complaint	Departments Involved	Date Response Sent	No of work days	Remedy
02/01/14	Pinxton	Planning enforcement action is taking too long	Planning	29/01/14	19	No evidence to take formal action but will monitor
06/01/14	Blackwell	Noisy boiler room (district heating)	Housing	29/01/14	17	Engineer been out to resolve
06/01/14	Bolsover	Length of time taken to sort benefit claim	Revenues & Benefits	03/02/14	20	Explanation of benefit processing
07/01/14	Bolsover	Length of time taken to sort benefit claim	Revenues & Benefits	03/02/14	19	Explanation of benefit processing - if claimant wished to proceed the case needs to go to the Tribunal Service
09/01/14	Shirebrook	Length of time taken to sort overhanging trees	Housing Customer Service Streetscene Services	21/01/14	7	Apology for length of time taken, matter now resolved
09/01/14	Clowne	Unhappy that planning application was publicised over Christmas period when the Council is closed	Planning	03/02/14	17	Application still pending, Council allow extended period because of Christmas shut down period but interested parties are able to comment during this time
20/01/14	Bolsover	Not seen planning notices regarding development of Featherbed Lane	Planning	03/02/14	10	Planning permission not needed for the laying of water pipes, unauthorised development being investigated
22/01/14	Bolsover	Length of time taken to sort safeguarding payment	Revenues & Benefits	31/01/14	7	Apology for error, but unable to pay housing benefit out to different payees for the same period

Date Received	Area	Summary of Complaint	Departments Involved	Date Response Sent	No of work days	Remedy
		Table G: Summary of Stage Two Complaints 02/01/14 – 31/3/14				
22/01/14	Bolsover	Ongoing issues with neighbour nuisance which residents feels has been unfairly blamed on her	Environmental Health Housing (Community Services)	14/02/14	17	Advice given was to both parties and meant to be helpful to bring about a resolution
2/1/14 6/1/14	Whitwell	Unhappy with repairs at property and is withholding rent	Housing	27/01/14	17	Repairs all carried out on time, rent arrangement has been made
6/1/1314	Glapwell	Not happy with the siting of the bus shelter on Glapwell Hill	Economic Growth	29/01/14	17	Reiterated it is the responsibility of DCC
24/01/14	Whitwell	Feels he was given incorrrect advice in relation to his housing benefit claim	Revenues & Benefits Customer Service	14/02/14	15	Explanation of benefit application handling
04/02/14	Bolsover	Incorrectly charged 'bedroom tax' which now needs to be refunded	Revenues & Benefits	20/02/14	12	Explanation of Benefit Regulations and loophole which was identified - refund actioned in a timely manner
06/02/14	Blackwell	Further comments regarding noisy boiler	Housing	21/02/14	11	Repairs in hand - part on order
06/02/14	South Normanton	Council Tax account been erratic due to benefit changes and changes of circumstance	Revenues & Benefits	25/02/14	13	Explanation of events which led to the changes in benefit
06/02/14	Bolsover	Follow on from S2/95/1314 not happy with timescale for work to property	Housing	11/02/14	3	Explanation of why roof work was delayed (storms)
05/02/14	South Normanton	Not happy with development	Planning	26/02/14	15	Explanation of planning powers and action taken

Table G: Summary of Stage Two Complaints 02/01/14 – 31/3/14

Date Received	Area	Summary of Complaint	Departments Involved	Date Response Sent	No of work days	Remedy
06/02/14	Barlborough	Complaint regarding footpath to property and fencing	Housing	24/02/14	0	Complaint regarding footpath is in hand of the council's insurers, fencing around garden is responsibility
18/02/14	Bolsover	Was left with no toilet in the property after the leak was identified as a problem with the outside drains	Housing Estates & Property Customer Service	17/01/14	19	Apology for telephony system not working, out of Council's control, and explanation of policy for attending blocked drains
19/02/14	Bolsover	Billing and Recovery chasing a debt after authorising a refund to ex partner	Revenues & Benefits	17/02/14	18	refund sent to account holder, neither NNDR bill payer had informed the Revenues Section of the change
20/02/14	Newton	Repairs to leaking ceiling and damp to walls	Housing	24/02/14	2	Damp thought to be caused by condensation, but an inspection raised
20/02/14	South Normanton	Wants car park extending and complaining timber walkway was taken down	Housing	20/03/14	20	No reserved parking for residents, but may be considered as a project
27/02/14	Pinxton	Does not feel he is liable for Business Rates	Revenues & Benefits	21/03/14	15	Liability is correct
25/02/14	Whitwell	Council owned wall/ fence bordering private property has fallen down, leaving property open	Housing	21/03/14	18	Fencing on Council land is tenant's responsibility
25/02/14	Bolsover	Has had no response from the Housing department regarding her housing application	Housing	20/03/14	18	Complainant to contact Housing Needs

Date Received	Area	Summary of Complaint	Departments Involved	Date Response Sent	No of work days	Remedy
		Table G: Summary of Stage Two Complaints 02/01/14 – 31/3/14				
27/02/14	Bolsover	Rear access road (owner unknown) floods in heavy rainfall - Council properties	Housing Streetscene Services Estates & Property	21/03/14	16	Responsibility of DCC
03/03/14	Bolsover	Does not agree with sale of land at Bolsover	Economic Growth Planning Legal & Governance	20/03/14	13	Decision made by Elected Members so falls out of scope of complaints policy, complaints about how the decision administered was addressed in reports provided
03/03/14	Bolsover	Damp work to be carried out at property, but no notification of when	Housing	21/03/14	14	Apology for delay
03/03/14	Blackwell	Litter in Blackwell	Streetscene Services	21/03/14	14	Requests for cleansing of public land is allocated fairly across the district
04/03/14	Creswell	DHP refused - feels client was entitled to it	Revenues & Benefits	21/03/14	13	Tribunal process to be completed first
27/03/14	Creswell	Response to letter dated 21/03/14 way forward requested	Revenues & Benefits	09/04/14	9	Explanation that claimant had not provided accurate information in relation to circumstances at the time of the claim
06/03/14	Barlborough	Hedge cut down in Barlborough, doesn't agree with this and wants to complain about local councillor	Streetscene Services	21/03/14	11	Explanation of tree maintenance
07/03/14	Newton	The questions asked in regard to his DHP application	Revenues & Benefits	20/03/14	9	JAD to be SPOC regarding Benefits

	Table G: Summary of Stage Two Complaints 02/01/14 – 31/3/14					
Date Received	**Area**	**Summary of Complaint**	**Departments Involved**	**Date Response Sent**	**No of work days**	**Remedy**
13/03/14	Pleasley Vale	Complaint about size of speed bump at Pleasley Vale Business Park	Estates & Property	02/04/14	13	Speed bump (although on a private road and therefore not subject to regulation) does conform the DOT guidelines
10/03/14	Chesterfield	Does not like how bailiffs deal with customers	Revenues & Benefits	07/04/14	20	Bailiff acted in proper manner, customer in breach of payment
14/03/14	Barlborough	Benefits claim taking a long time	Revenues & Benefits	07/04/14	16	Explanation of re-assessment process
14/03/14	Bolsover	Benefits claim taking a long time	Revenues & Benefits	09/04/14	18	Explanation of why benefit had not been paid for a period (no proofs received), appeal being processed - but will still need required proofs
18/03/14	Clowne	Length of time Benefits claim is taking	Revenues & Benefits	09/04/14	16	25/03/14 Withdrawn
18/03/14	Shirebrook	Benefits claim taking a long time	Revenues & Benefits	07/04/14	14	Not provided information in support of claim, has right of appeal
31/03/14	Bramley Vale	Does not agree with benefit assessment	Revenues & Benefits	17/04/14	13	Applicant came in for meeting to clarify situation and provide further information to enable the decision to be reversed

Table H - Complaints (Stage 2) Summary by Department 2013/14

Department/Section	01/04/13– 30/06/13			01/07/13– 30/09/13			01/10/13 31/12/13			04/01/14– 31/03/14			Total 2013/14		
	No. of Complaints	No. Responded to in time	No. responded to out of time	No. of Complaints	No. Responded to in time	No. responded to out of time	No. of Complaints	No. Responded to in time	No. responded to out of time	No. of Complaints	No. Responded to in time	No. responded to out of time	No. of Complaints	No. Responded to in time	No. responded to out of time
CEO/ CEPT															
Customer Service (& Improvement)	8	8		5	5		5	5		3	3		21	21	
Community Services	2	2								1	1		3	3	
Democratic Services															
Environmental Health	1	1		1	1		3	3		1	1		6	6	
Economic Growth										3	3		3	3	
Finance	2	2											2	2	
Housing	13	13		15	15		12	12		14	14		54	54	
Legal & Governance	2	1	1	1	1		3	3		1	1		7	6	1
Leisure				1	1								1	1	
Planning	5	5		3	3		10	10		5	5		23	23	
Procurement															
Economic Growth				2	2		7	7		2	2		11	11	
Revenues & Benefits	14	14		11	11		6	6		16	16		47	47	
(Customer Service &) Improvement	1	1		1	1								2	2	
Streetscene Services	4	4		7	7		3	3		4	4		18	18	
Total	52	51	1	47	47		49	49		50	50		198	197	1

Table I: Summary of Stage Three Complaints 02/01/14 – 31/03/14						
Date Received	**Area**	**Summary of Complaint**	**Departments Involved**	**Date Response Sent**	**No of work days**	**Remedy**
03/01/14	Bolsover	Not satisfied with planning decision in relation to a development in Bolsover	Planning	28/01/14	17	The Council cannot provide advance notification of planning applications not yet submitted
15/01/14	Creswell	Wishes to pursue complaint and disagrees with ICO guidance on CCTV	Housing	24/01/14	7	Advice previously given is accurate, neighbour issues can be resolved by mediation, but need both parties to take part in this process
05/02/14	Bolsover	Not happy with response regarding tenant's benefit - extension applied	Revenues & Benefits	17/03/14	28	Apology for error and explanation of benefit regulation relied on in relation to the fact that benefit cannot be paid for the same period twice - ex gratia payment offered
05/03/14	South Normanton	Not happy with planning decision	Planning	02/04/14	20	Explanation of matters which can be considered for planning process - applicant responsibility to submit accurate plans revised plans now received and actioned

Table J: Summary of Ombudsman Complaints 2013/14

Date Received	Area	LGO's Summary of Complaint	Departments Involved	Date Response sent	No. of Calendar Days	Date Decision Letter Received	Ombudsman's Decision
12/10/12	Bolsover	The Council recently decided the land at Sherwood Lodge was surplus to requirements and could be used for development; it took the decision to appropriate the land for development in private	Legal	09/11/12	20	05/11/2013	**Investigation complete and appropriate to issue a report** (S30(1)) - maladministration/ service failure in relation to the appropriation of the land
13/12/12	Stanfree	Unhappy with Bolsover District Council Planning Department and Committee deciding on proposed development	Planning	17/12/12	2	21/05/2013	**To discontinue investigation** - there is no fault in the Council considering the application as it is the proper planning authority
5/4/13	Clowne	Antisocial behaviour during football matches adjacent to property	Leisure Community Services Councillors Reid and Murray-Carr Environmental Health	3/5/13	20	31/07/2013	**Not to pursue** as the LGO is happy with the Council's proposed actions
6/8/13	Clowne	Complainant says the Council is negligent in allowing a blocked watercourse to allow flooding to her property	Legal Regeneration			06/08/2013	**Not in jurisdiction** (OJ) and discretion to investigate not exercised

Table J: Summary of Ombudsman Complaints 2013/14							
Date Received	**Area**	**LGO's Summary of Complaint**	**Departments Involved**	**Date Response sent**	**No. of Calendar Days**	**Date Decision Letter Received**	**Ombudsman's Decision**
12/8/13	Bolsover	A comment was removed from the council's Facebook webpage	Strategy & Performance Legal			12/08/2013	**Not to investigate** – as there is insufficient injustice
10/12/13	London	Complainant says Council withheld information in relation to FOI request	Strategy & Performance Legal			10/12/2013	**Not in jurisdiction** (OJ) and discretion to investigate not exercised
6/2/14	Clowne	Not happy with Planning decision in relation to development of property in a predominantly bungalow area	Planning			06/02/2014	**Not to investigate** – no evidence of maladministration
21/2/14	Stanfree	Allowed to speak at a Planning Committee meeting but not happy about the way it was conducted	Planning Governance	21/03/14	20	08/04/2014	**To discontinue investigation** - Not upheld: no Maladministration
28/3/14	Bolsover	Complaint the Council took three weeks to refund overpayments made under the 'bedroom tax' regulation	Revenues & Benefits			28/03/2014	**Not to investigate** – insufficient evidence of maladministration

2   Conclusions and Reasons for Recommendation

The report is to keep Elected Members informed of volumes and trends regarding compliments, comments, complaints.

3   Consultation and Equality Impact

The report is to keep Elected Members regularly informed of volumes and trends regarding compliments, comments and complaints. No consultation or equality impact assessment is required.

4   Alternative Options and Reasons for Rejection

Not applicable as the report is keep Elected Members informed rather than to aid decision making.

5   Implications

5.1   Finance and Risk Implications

Whilst there are no direct financial implications with regard to the report, the Council is at risk of recommendations or decisions by the Local Government Ombudsman and the Housing Ombudsman if complaints are not handled well.

In cases of maladministration, financial penalties can be imposed by the Local Government Ombudsman or the Housing Ombudsman.

In the case of complaints about Freedom of Information, Data Protection and Environmental Information requests, the Information Commissioner's Office can issue decision notices and impose significant fines.

With regard to this period, an ex-gratia payment was agreed at stage three of the complaints process by the Joint Assistant Director of Finance and Revenue & Benefits and Chief Executive Officer.

5.2   Legal Implications including Data Protection

The Council is at risk of recommendations or decisions by the Local Government Ombudsman and the Housing Ombudsman and, in the case of complaints about Freedom of Information, Data Protection and Environmental Information requests, the Information Commissioner's Office can issue decision notices and impose significant fines. There are no Data Protection implications.

5.3   Human Resources Implications

Not applicable as the report is to keep Elected Members informed.

6   Recommendations

That Executive note the overall performance on compliments/comments and complaints.

7   Decision Information

Is the decision a Key Decision? (A Key Decision is one which results in income or expenditure to the Council of £50,000 or more or which has a significant impact on two or more District wards)	No
District Wards Affected	All wards
Links to Corporate Plan priorities or Policy Framework	Customer Focused Services Strategic Organisational Development

8   Document Information

Appendix No	Title
Table A:	Compliments summary 2/01/14 – 31/3/14
Table B:	Compliments summary by department 2013/14
Table C:	Comments summary 2/01/14 – 31/3/14
Table D:	Comments summary by department 2013/14
Table E:	Stage one complaints summary 2/01/14 – 31/3/14
Table F:	Stage one complaints summary by department 2013/14
Table G:	Stage two complaints summary 2/01/14 – 31/3/14
Table H:	Stage two complaints summary by department 2013/14
Table I:	Stage three complaints summary 2/01/14 – 31/3/14
Table J:	Ombudsman complaints summary for 2013/14

Background Papers (These are unpublished works which have been relied on to a material extent when preparing the report. They must be listed in the section below. If the report is going to Cabinet (NEDDC) or Executive (BDC) you must provide copies of the background papers)

Report Author	Contact Number
Joint Assistant Director – Customer Service and Improvement	Ext: 2343
Customer Standards and Complaints Officer	Ext: 2353

Bolsover District Council

Executive

16th June 2014

Information Management Strategy

Report of the Joint Assistant Director – Customer Service and Improvement
(Portfolio Holder: Cllr R Bowler)

This report is public.

Purpose of the Report

- To seek Executive approval on the new Information Management Strategy
- To meet legal requirements.

1   Report Details

This joint strategy sets out the ambitions of both Bolsover District Council and North East Derbyshire District Council in the area of information management. Both councils recognise the importance of information to the daily work of the authorities.

The strategy has been produced to ensure that both Councils manage information in line with guidance set out nationally.

The strategy is largely an internal document which sets out what we need to do over the coming 3 years to ensure compliance.

The strategy has a number of actions identified which have been incorporated into an action plan. This will be monitored and reported on the Councils performance management system.

2   Conclusions and Reasons for Recommendation

The strategy meets a number of external drivers and compliance requirements including the Public Service Network (PSN) compliance. As such it is essential that a strategy is put in place as a matter of urgency.

3   Consultation and Equality Impact

The strategy has been developed with a number of officers in Customer Service and Improvement and ICT, to ensure that it is fit for purpose. The strategy has been approved by SAMT and SAJC for submission to members for approval.

External consultation and an Equality Impact Assessment are not necessary as the actions are largely internal, are that of legal compliance and do not have a direct impact on any group of customers or employees.

4   Alternative Options and Reasons for Rejection

In preparing the strategy consideration has been given to how best the required actions can be achieved within limited resources.

5   Implications

5.1   Finance and Risk Implications

The strategy allows us to deal with a potential risk of none compliance. Without an agreed way forward, services supported by Government systems could be <u>withdrawn</u> resulting in both Councils being unable to deliver key services to the public.

Financial penalties could be imposed by the Information Commissioners Office (ICO) if Data Protection legislation is breached.

The costs identified for Baseline Personal Security Standard (BPSS) checks (which are mandatory currently) have been agreed at SAMT.

5.2   Legal Implications including Data Protection

The strategy allows compliance with both the Public Service Network (PSN) requirements and the Payment Cards Industry (PCI-DSS) requirements. It is also in line with the requirements of the Data Protection Act and other legislation as detailed in the strategy.

5.3   Human Resources Implications

The strategy details training and development implications.

6   Recommendation

6.1   That Executive note the requirement for the (Joint) Information Management Strategy and approve the strategy.

6.2   That the (joint) Information Management Strategy by published on the intranet and internet once approved by Cabinet at North East Derbyshire District Council.

7   Decision Information

Is the decision a Key Decision? (A Key Decision is one which results in income or expenditure to the Council of £50,000 or more or which has a significant impact on two or more District wards)	No

District Wards Affected	
Links to Corporate Plan priorities or Policy Framework	Strategic Organisational Development – BDC

8   Document Information

Appendix No	Title
1	Information Management Strategy

Background Papers (These are unpublished works which have been relied on to a material extent when preparing the report. They must be listed in the section below. If the report is going to Cabinet (NEDDC) or Executive (BDC) you must provide copies of the background papers)
As detailed in the strategy

Report Author	Contact Number
Jane Foley, Joint Assistant Director – Customer Service and Improvement	BDC – 2343

Report Reference – Information Management Strategy

(Joint) Information Management Strategy 2014-2017

April 2014

CONTROL SHEET FOR: (Joint) Information Management Strategy

Strategy Details	Comments / Confirmation
	(Joint) Information Management Strategy 2014- 2017
Current status – i.e. first draft, version 2 or final version	Final- April 2014
Strategy author	Joint Assistant Director- Customer Service and Improvement
Location of strategy i.e. L-drive, shared Drive	
Member route for approval	Strategic Alliance Joint Committee Executive (BDC)/ Cabinet (NEDDC)
Cabinet Member (if applicable)	
Risk Assessment completed (if applicable)	Risk considered within the strategy
Equality Impact Assessment approval date	Internal document with no direct impact on customers or community groups.
Partnership involvement (if applicable)	Not applicable
Final strategy approval route i.e. Executive/ Council /Planning Committee	Executive (BDC)/ Cabinet (NEDDC)
Date strategy approved	
Date strategy due for review (maximum three years)	April 2017
Date strategy forwarded to Customer Service and Improvement (to include on Intranet and Internet if	

applicable to the public)	

1. Introduction

This strategy sets out the ambitions of both Bolsover District Council and North East Derbyshire District Council in the area of information management. Both councils recognise the importance of information to the daily work of the authorities. Organisations gather information for the prime purpose of record keeping or making decisions. We do this by summating, aggregating and analysing data flowing through our operational systems. This is then used to form the basis of evidence based decision making. By processing data and putting it into context we derive information, which we use to run our business. Intangible qualities such as knowledge and wisdom also help to shape information.

Information is gathered from a variety of sources, including customers, clients, stakeholders, government and partners. Information is a key resource, which if properly managed has a crucial role to play in enabling better decision making and delivering effective services to the community.

Types of information held may include financial data, property data, employee data, customer records, consultation data, equality data, polices, procedures, decision documents, transactional data, spatial data, publicity information etc. This information is captured in many different formats including letters, emails, reports, leaflets, web content, data sets, databases etc.

Councils must have in place an effective framework for collecting, accessing, storing, sharing and deleting information. It is even more important to have a consistent approach at times when both Councils are continuing to experience budget pressures. Information technology has a huge role to play in providing and managing information.

This strategy aims to outline our approach over the next three years.

2. Principles

Information is a critical resource which must be effectively managed by the business in order for the councils to meet strategic aims, whilst meeting its obligation to the public. Taking into account our legislative, performance and policy responsibilities, the following key principles have been designed to set the direction of the information management strategy:

- Information is actively and strategically managed as a critical business asset
- Standard policies and procedures will be in place to implement legislative and regulatory requirements
- We understand the information we have available and who is responsible for it
- A strong focus on data quality is important to ensure information is accurate
- Storage and security of information is managed effectively
- Employees have the necessary skills to manage and use the information resources we hold
- Availability and accessibility of information is managed efficiently to promote transparency

- Sensitive or restricted or personal information is managed safely and information sharing is carried out with confidence
- We will continuously strive to improve our information management systems.

These principles will apply to all aspects of the councils work.

There are a number of national drivers which influence this strategy and the above principles. These include:

- Legislation and regulatory requirements (see below)
- Public Service Network (PSN) requirements
- Payment Cards Industry(PCI-DSS) requirements
- Contractual requirements such as the Public Sector Mapping Agreement and Data Co-Operation Agreement.

The main legislation that guides this strategy is:

- Data Protection Act 1998
- Freedom of Information Act 2000
- Environmental Information Regulations 2004
- Regulation of Investigatory Powers Act 2000
- Re-use of Public Sector Information Regulations 2005
- Public Records Act 1958
- Local Government Act 2000
- Code of Recommended Practice for Local Authorities on Data Transparency (2011)
- E.U. INSPIRE Directive 2007/2/EC.

The ownership and governance of this strategy will be through the following model:

Governance Role	Responsibility	Officer(s)
Strategic Sponsor	High level sponsorship of the strategy and its implementation	Executive Director (Transformation)
Information Governance Board	Sets the strategic direction for information management and monitors progress	Executive Director (Operations)/ Joint Assistant Director – Customer Service and Improvement/ ICT Manager /other nominated officers
Strategic Information Owner	Co-ordinates the delivery of the information management strategy	Joint Assistant Director – Customer Service and Improvement
Information Custodians	Ensuring the effective collection, storage, access, sharing and deletion of information within departments	Assistant Directors and Service Managers
Information Users	Safe and secure day to day authorised access and management of information	All employees and members
Senior Information Risk Owner	Corporate Risk Management	Executive Director (Operations)

3.   Information Management Requirements

Managing information involves a controlled and disciplined approach to looking after information assets at every step from creation through to disposal or indefinite retention to archive. High profile information losses from a range of both central and local government authorities and the introduction of financial penalties by the Information Commissioners Office have only served to heighten the need for strong information management in the public sector.

In order to understand our information management requirements we must first identify how we obtain, use and dispose of information within the business. SOCITM have produced a model which sets out the different stages of the information life cycle which are helpful in clarifying information management.

3.1 Information Life Cycle Model (SOCITM 2010)
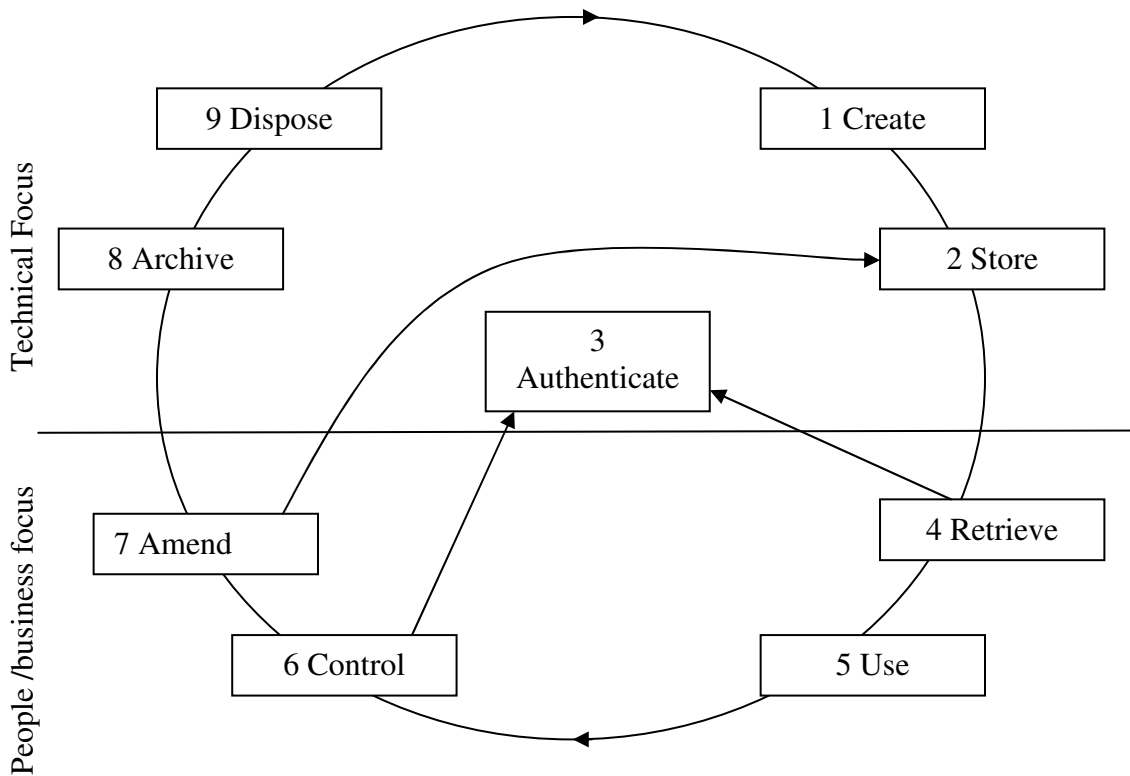
The information life cycle model consists of:

1. Create	• Both systems and people create information. • Systems do so in an organised way whereas individuals are less so. • Making information available to those who have a legitimate right of access is imperative. • It is also important to avoid overloading people with information.
2. Store	• The important point of storing information is the

	ability to retrieve it easily later. • Information should be stored securely in line with policy.
3. Authenticate Access	• Security clearance needs to be in place for those that have a legitimate need to access information. • Setting up technical systems and rules about authentication is important. • Secure marking is also becoming an important element.
4. Retrieve	• Retrieval is easier through electronic systems rather than manual files. • Research and retrieval tools should be utilised wherever possible.
5. Use	• Information will be used on a daily basis by employees and contractors to deliver services to customers. • Systems that process and present information need to support the user needs. • Information presented to customers must be easy to understand. • Information transfers within the organisation or with partners must occur in a secure manner in line with Information Sharing Protocols.
6. Control	• Control is about establishing ownership, rights and responsibilities in relation to information. • Personal information (data) as defined by the Data Protection Act has to be strictly controlled. • Data sets should carry protective security markings. • Periodic and random audit checks on data quality and integrity should take place. • Data cleansing should be an ongoing activity.
7. Amend	• Amendments can be by employee interaction or automated. • Clear audit trails should exist when customer records are amended. • Information contained in documents or data sets should have clear version controls.
8. Archive	• Archiving involves the removal of information to avoid clutter and preservation for future access. • The Disposal and Retention Guidelines take effect at this point in the life cycle. • Archived documents must be ordered and readily retrievable.
9. Dispose	• At the final stage of the life cycle is the thorough destruction and disposal of information which must be done securely in line with guidelines.

For any model to be successful it needs to be backed-up with policies, procedures and employee learning/development.

<u>3.2 Information Management Policy and Procedures</u>

There are a number of policies and procedures in place which help maintain the security of Council information assets. It is important that all employees are aware of their individual responsibilities to ensure that information relating to them, the Council and its customers, is protected.

The ICT policies are currently under review and will be made available on the intranet shortly.

Freedom of Information (including Data Protection and Environmental Information Regulations) policies and procedures can be found on the intranet.

Employees need to be aware of their own personal responsibilities, be prepared to report behaviour that is not in line with good information management and understand the outcomes for breaching information management controls.

<u>3.3 Employee Learning and Development</u>

Prior to recruitment information management skills should be considered as part of the recruitment and selection process for potential employees. It is also important that competencies identify information management as a core skill set to be discussed in the employee appraisal process.

All employees will be required to attend mandatory Data Protection briefings every three years; these were last delivered in December 2013. New starters will be offered briefings within 6 months of starting employment.

All employees will be required to attend Security Awareness training provided by ICT every three years. The next sessions will be offered during 2014. Thereafter new starters will be covered as part of the IT induction.

4.   Strategy Action Plan

In order to ensure that this Information Management Strategy is delivered there are a number of key developments which need to be implemented. These will be defined within this section.

4.1 Public Service Network (PSN) Compliance

The Public Service Network (PSN) is a secure wide area network (WAN) that allows access to Central Government systems, secure data transfer, secure email and accredited solutions provided by public sector organisations and accredited third parties. At present this includes GCSx secure email, CIS (Benefits), Tell Us Once and Electoral Registration systems. The scope of the PSN network covers local authorities, central government departments, National Health Service, the Criminal Justice Extranet and the Police National Network. Some council employees will be required to have access to the facilities operated by this network in order for them to carry out their business. This may include employees having access to secure email facilities. All users requiring access to the PSN network will be required to read and understand an Acceptable Usage Policy (AUP) and sign a Personal Commitment Statement.

In order to be PSN complaint the Council has to ensure that a number of conditions and controls are in place. These are subject to annual review by the PSN team within the Cabinet Office based on submissions stating our compliance with the controls. In addition a 3rd party external audit is undertaken to test a number of the technical security controls within the Code of Connection.

Further information can be found in the Information Security Policy.

In order to address the issues generated by Public Service Network compliance we will:
- Approve this joint Information Management Strategy 2014- 2017 and deliver the agreed implementation plan.
- Establish a joint Information Governance Board by May 2014.
- Perform full Baseline Personal Security Standard (BPSS) checks for all PSN service users from January 2014 and for all users by January 2015.
- Revise the Information Security Policy in June 2017 or before if significant changes occur.
- Deliver annual training to all PSN users.
- Continue to deliver an annual Data Protection Work Programme to ensure changes in legislation and practice are reflected in council procedures.
- Deliver three year refresher training in Data Protection by December 2016.
- Deliver refresher Security Awareness Training for all staff during 2014 and then on a three yearly basis, this may be officer led or on-line.
- Deliver regular Security Awareness Training for all new staff, members or 3rd parties with access to our corporate network.

4.2 Information Asset Management

Information is a major asset that the Council has a responsibility and requirement to protect. Protecting information assets is not simply limited to covering the stocks of information (electronic or paper records) that the councils maintain it also covers the people who use them, the processes they follow and the physical equipment used to access them.

Currently neither authority has a complete list of systems (manual or electronic) processing personal data and therefore no inventory of the information assets it owns. The new proposed EU Data Protection Regulations identifies the need for complex organisations to hold a record of all processing of personal data. Personal data is any information about any living, identifiable individual. Under the new regulations, Data Protection Officers have to be accountable for all Council systems/data bases containing personal data/information. The new regulations also require the Council to consider data privacy and recommend the introduction of Data Protection Privacy Impact Assessments. Guidance on conducting Privacy Impact Assessments has been produced and templates are in place. The assessment however is quite detailed and requires specialist knowledge of Data Protection legislation.

The storage and archiving of information assets is an important element which can often be overlooked. The important point of storing information is the ability to retrieve it easily later. Effective archiving involves the removal of information to avoid clutter and

preservation for the future. All archived documents must be ordered and readily retrievable. Both councils are at different stages in relation to storage of manual records. Work is necessary at North East Derbyshire to improve this aspect of information management, although a review at both authorities would be timely to ensure space is being utilised appropriately.

In addition the storage of electronic data both within business system databases, structured data, and in unstructured data form, e.g. Z: and L: drives and personal data folders needs reviewing with regards to both data retention, duplication of data and data security.

Work has recently been undertaken to improve the deletion and disposal of data within both councils. Guidance has been produced and awareness increased through briefings. These improvements will be kept under review.

Both councils have in place Data Protection Breach Management guidance and processes for reporting data breaches. A breach is considered as the loss, release or corruption of personal (customer or employee) data. After notification of a breach consideration has to be given to if the breach is serious enough to warrant reporting to the Information Commissioners Office. The extent of the harm is judged on the volume of personal data involved and the sensitivity. Having adequate breach management is important to ensuring compliance with the Data Protection Act.

In order to address the issue of Information Asset Management we will:

- Work with departments to assign information asset owners and create a Personal Data Asset Register for each Council by March 2015.
- Work with departments to complete Data Protection Privacy Impact Assessments on more complex systems holding personal data or on the implementation of new ICT systems.
- Carry out regular Internal Audit checks on departmental systems identified in the Personal Data Asset Register.
- Carry out a review of storage and archiving at both Councils and make recommendations to SAMT by December 2014.
- Carry out a review of electronic storage at both Councils and if necessary make recommendations to SAMT by December 2014.
- Continue to promote and monitor the Data Protection Breach Management log to inform decisions about self reporting to the Information Commissioners Office.

4.3 Information Classification

In relation to Central Government ICT systems all information assets must be classified and labelled in accordance with the HMG Security Policy Framework (SPF). The classification determines how the document should be protected and who should be allowed access to it. Any system subsequently allowing access to this information should clearly indicate the classification. At present the councils have not implemented corporate document classification. However users may come in contact with documents classified under the government scheme. Some Council departments who work with government departments will be familiar with the classifications and will be using them on a regular basis.

The Government Security Classifications are commonly known as a 'marking scheme'. A new marking scheme comes into effect from April 2014. These are:

- OFFICIAL
- SECRET
- TOP SECRET

The classification pre April 2014 may remain in circulation and are:

- Unclassified
- PROTECT
- RESTRICTED
- CONFIDENTIAL
- SECRET
- TOP SECRET

PROTECT, RESTRICTED (old) or OFFICIAL (new) are the markings which are applicable to local government.

A limited subset of OFFICIAL information could have more damaging consequences (for individuals or the organisation generally) if it was lost or stolen or published in the media. Where there is a clear and justifiable requirement to reinforce that the access to the information is on a need to know basis the information asset should be marked OFFICIAL-SENSITIVE.

In certain circumstances the OFFICIAL-COMMERCIAL marking can be used for example market-sensitive information which could be damaging if improperly accessed, including that subject to statutory or regulatory obligations. OFFICAIL- PERSONAL can also be used for particularly sensitive information relating to an identifiable individual, where inappropriate access would have damaging consequences e.g. Vulnerable individuals.

PROTECT, RESTRICTED or OFFICIAL information must not be disclosed to any other person or organisation via any method including, but not limited, to the following:

- Paper based methods
- Fax
- Telephone.

Where it is disclosed/ shared it should only be done so in accordance with a documented Information Sharing Protocol and /or Data Exchange Agreement. Disclosing PROTECT, RESTRICTED or OFFICIAL information (subject to descriptor) to any external organisation is also prohibited, unless via the Government Connect Secure Extranet (GCSx) email. Where GCSx email is available to connect the sender and receiver of email messages this must be used for communicating PROTECT, RESTRICTED or OFFICIAL information (subject to descriptor).

Guidance on the use of classifying information can be found in the joint Information Security Policy and on the intranet.

In order to address the issue of Information Classification we will:

- Communicate to all PSN Service users the new Government Security Classification scheme prior to April 1st 2014 when they are adopted by Central Government.
- Review the new Security Classifications for potential adoption within the Strategic Alliance. This may require clarification of descriptors against the OFFICIAL classification which is the only classification that would apply.
- Identify and record data classified as PROTECT, RESTRICTED (old standards) or OFFICIAL (new standards) within the Personal Data Asset Register.

4.4 Data Transparency

The Government is keen for local authorities to routinely publish information and datasets which are of interest to the public and/or have been requested under a Freedom of Information request.

The Government's Transparency Programme and Open Data agenda requires us to publish datasets that have been requested under the Freedom of Information Act 2000 and to publish information in accordance with the Code of Recommended Practice for Local Authorities on Data Transparency. Government is considering making this Code mandatory during 2014.

Bolsover has a dedicated webpage for data transparency which contains the information listed within the Code together with other datasets we have identified through Freedom of Information requests. Information on this page is available to use under the Government's Open Government Licence. The trend towards publishing more information will increase and both Councils need to be aware of this ongoing requirement.

In order to address the issues of Data Transparency we will:

- Continue to develop the availability of datasets at Bolsover District Council in line with the transparency programme.
- Develop a dedicated webpage for data transparency at North East Derbyshire District Council by December 2014.

4.5 Local Land and Property Gazetteer (LLPG)

The authorities are required to hold and maintain a database on all land and property within the districts as part of the DCA (Data Cooperation Agreement). The DCA is issued by GeoPlace™ LLP (a partnership jointly owned by the Local Government Association (LGA) and Ordnance Survey. This database, known as the LLPG (Local Land and Property Gazetteer) must be maintained to a specified standard in order to form part of a central, national database/gazetteer and the authority must have a designated Authority Address Custodian who is responsible for ensuring the LLPG is managed correctly. The LLPG at both BDC and NEDDC is also the corporate address database which should be linked to all address based systems in order to streamline processes and improve efficiency with regards to address management across the authorities.

In order to address issues around LLPG we will:

- Maintain the LLPG to the required standard.

4.6 Geographical Information System (GIS)

Spatial data is essential for a local authority to perform many of its statutory functions, in its simplest form this is geographical or map data. In order to use internally created spatial data and Ordnance Surveys base mapping, the authorities are signed up to the PSMA (Public Sector Mapping Agreement) which governs which data we can use, how it can be used and allows us to share Geographical Information (G.I.) or mapping with third parties in order to meet our core business requirements. The PSMA requires authorities to designate and Authority Principal Contact who is responsible for ensuring that data is managed and maintained/managed correctly and copyright is protected.

A PSMA Contractors licence is required (essential) for any situation where G.I or LLPG data is required by third parties, consultants and contractors. The designated Authority Principal Contact is responsible for issuing the data and licences.

It is essential for user and departments/service areas that create and maintain G.I. data, to have a strong level of data management knowledge and awareness.

In order to address issues around the GIS we will:

• Ensure that the requirement of the Public Sector Mapping Agreement is met.

4.7 INSPIRE Directive

European Directive 2007/2/EC is known as 'INSPIRE', establishes an infrastructure for spatial information in the European Union. Under INSPIRE authorities must make available in a consistent format, spatial datasets and metadata which come within the scope of the Directive and also create network services for accessing the datasets. These datasets must be created to a specified E.U. wide standard in order for the data to be shared throughout Europe.

No personal data would be shared under this requirement.

In order to address issues around the INSPIRE Directive we will:

• Ensure that the requirements of the INSPIRE Directive is met.

5.   Glossary of terms

• **Baseline Personal Security Standard** (BPSS) check is a set of minimum requirements for checks and validation of employees. The full checks, including unspent convictions, need to be undertaken for PSN service users in 2014 with an extension to all ICT users from January 2015.

• **Content** is the umbrella term used to refer to any information asset.

• **Custodians** are the employees delegated by the owning organisation to look after, and take responsibility for, managing and safeguarding an information asset, and

this person (or role) will be included in the metadata tagged to the asset. Custodians can authorise amendment and disposal of information assets.

- **Data** are pure facts – devoid of context they have no meaning.

- **Data Protection Privacy Impact Assessments** are a way of accessing systems and processes to ensure that data protection is fully considered and privacy of individuals is not breached.

- **Data Subject** is the individual to whom personal data refers.

- **Information** is data in context, or data processed in order to give it meaning.

- **Information Governance Board** is composed of senior managers representing all functions of the organisation, and takes overall responsibility for information management policy, investment, training and practice.

- **Information owners** in organisations are the corporate body of all information assets. The organisation (through the information governance function and the SIRO) will formally delegate the responsibilities for this role to a named individual (the custodian) with sufficient seniority and authority.

- **Knowledge** is non-codified information stored in someone's brain. It is personal to the owner, being assembled through the filters that person has acquired through their life experience.

- **OFFICIAL information** is the majority of information created or processed by the public sector. This includes routine business operations and service, some of which could have damaging consequences if lost, stolen or published in the media. There is no requirement to mark routine OFFICIAL information.

- The **Public Services Network** is a secure wide area network (WAN) that allows access to Central Government systems, secure data transfer, secure email and accredited solutions provided by public sector organisations and accredited third parties.

- **SECRET information** is very sensitive and justifies heightened protective measures to defend against threat factors. It is usually associated with central government departments such as the military.

- The **Senior Information Risk Owner** is a named individual responsible. In the Local authority context this would usually be the Section 151 Officer or member of Senior Management responsible for risk management

- **TOP SECRET information** is the HM Government most sensitive information requiring the highest level of protection from the most serious threats. It is usually associated with central government departments dealing with national security.

- **User is** any individual with the right and the business need to access an information asset or record.

- **Wisdom** develops from the repeated application of knowledge to problems and issues resulting in outcomes that are widely acknowledged to have been successful by relevant stakeholders.

6. Appendices (if applicable)
- (Joint) Information Management Strategy Action Plan

(Joint) Information Management Strategy Action Plan

Action	Owner	Lead Officer(s)	Target Date	Expected Outcome	Resources
Establish a joint Information Governance Board by May 2014	Executive Director of Operations	JAD- CS&I	May 2014	Established governance Six monthly meetings PSN Service compliance	Officer time
Perform full Baseline Personal Security Standard (BPSS) checks for all PSN service users from January 2014 and for all users by January 2015	JAD – HR & Payroll	JAD – Finance, Revenues & Benefits for funding HR Advisor for checks	January 2015	PSN Service compliance. Ability to continue to deliver key front line services(Benefits/ Elections)	(Compulsory) Cost £3,750 now and further £20,000 for compliance by January 2015
Revise the Information Security Policy in June 2017 or before if significant changes occur.	Executive Director of Transformation	ICT Manager	June 2017	Policies which are up-to-date and fit for purpose	Officer time
Deliver three year refresher training in Data Protection by December 2016	JAD- CS&I	CS&I Team	December 2016	Delivery of mandatory refresher training to ensure compliance with Data Protection Act. Competent employees	Officer and employee time
Deliver refresher Security Awareness Training for all staff	ICT Manager	ICT Manager	December 2014	Ensure compliance with PSN controls	Officer and employee time. Training costs to be identified.

Action	Owner	Lead Officer(s)	Target Date	Expected Outcome	Resources
Work with departments to assign information asset owners and create a Personal Data Asset Register for each Council by March 2015	JAD- CS&I	CS&I Team	March 2015	Compliance with new EU Data Protection Regulations (due 2014)	Officer time. Departmental officer time
Carry out a review of storage and archiving at both Councils and make recommendations to SAMT by December 2014	JAD- CS&I	CS&I Team	December 2014	Report with recommendations. Improved data storage	Officer time. Could incur cost for improved storage solution
Carry out a review of electronic storage at both Councils and if necessary make recommendations to SAMT by December 2014	ICT Manager	ICT Manager	December 2014	Report with recommendations. Improved electronic data storage	Officer time
Communicate to all PSN Service users the new Government Security Classification scheme prior to April 1st 2014 when they are adopted by Central Government	ICT Manager	ICT Manager	March 2014 (complete)	PSN Service compliance	Officer time
Develop a dedicated webpage for data transparency at North East Derbyshire District Council by December 2014	JAD- CS&I	CS&I Team	December 2014	Compliance with Government Transparency agenda. Open data	Officer time

Bolsover District Council

Executive

16 June 2014

ICT Policies

Report of the ICT Manager (Portfolio Holder: Cllr R Bowler)

This report is public

Purpose of the Report

- To present for approval the revised ICT Policies

1   Report Details

1.1   That the policies and charter adequately guide and protect members, staff, partners and the Council from loss of personal data and resultant sanctions and fines levied by the Information Commissioner's Office.

1.2   That the policies and charter adequately guide and protect members, staff, partners and the Council from reputational damage due to the inappropriate use of Council facilities.

1.3   That the policies and charter cover the specific requirements for our 'Code of Connection' to access Central Government systems and the delivery of secure email within the public sector.

2   Conclusions and Reasons for Recommendation

2.1   To maintain compliance with our 'Code of Connection' for access to government systems, including secure email.

        To demonstrate that the Council regularly reviews policies and revises as appropriate.

        To protect members, staff and partners from inappropriate use of Council facilities.

        To protect the Council from financial damage through the loss of personal or sensitive data.

To protect the Council from reputational damage due to the inappropriate use of ICT facilities.

3   Consultation and Equality Impact

3.1 The Business Development Manager, Senior Technology Officer and Governance Manager have been consulted.

3.2 Attached as an appendix is the Equality Impact Assessment on the Policy.

4 Alternative Options and Reasons for Rejection

4.1 Retaining separate policies for Bolsover. This was rejected as it does not align with the strategic direction for both the Alliance and the Joint ICT Service.

4.2 Delaying the review of policies. This was rejected due to a number of inconsistencies within the policy set but also the need to have a common approach for ICT as joint working between the partners increases.

5 Implications

5.1 Finance and Risk Implications

There are no financial implications for the adoption of the revised policies.

There is a significant financial risk in not having appropriate policies adopted and enforced:

- The Information Commissioner's Office is now levying substantial fines on Councils and Government Departments where personal data becomes available in the public domain. These fines are now often in excess of £100,000. These policies provide the guidance and correct working practices to minimise the risk of personal data leakage.

- To enable the Council to access Government systems, exchange data and send secure emails we must comply with a 'Code of Connection' (CoCo) which is audited annually by external security assessors. To satisfy key criteria of the CoCo the Council must demonstrate that key policies are in place and enforced. Failure to do so would result in a loss of our COCO and connection to the following services:

- Department of Work and Pensions CIS system which is used by the Benefits team to investigate fraud.

- Exchange of electoral roll information with Central Government

- Access to the 'Tell Us Once' service for registration of births and deaths.

- Ability to send secure email between public bodies including the police, NHS and central government departments.

5.2 Legal Implications including Data Protection

The policies support our statutory requirements as per the Data Protection Act

5.3 Human Resources Implications

HR have been consulted with regard to the revised policies.

6   Recommendations

6.1   That Executive approve the adoption of the Joint ICT Policy.

7   Decision Information

Is the decision a Key Decision? (A Key Decision is one which results in income or expenditure to the Council of £50,000 or more or which has a significant impact on two or more District wards)	Yes/No
District Wards Affected	
Links to Corporate Plan priorities or Policy Framework	

8   Document Information

Appendix No	Title
Appendix 1 Appendix 2 Appendix 3	ICT Policy Government Security Classifications (2014) Equalities Impact Assessment
Background Papers (These are unpublished works which have been relied on to a material extent when preparing the report. They must be listed in the section below. If the report is going to Cabinet (NEDDC) or Executive (BDC) you must provide copies of the background papers)	
N/A	

Report Author	Contact Number
N Blaney	

Bolsover District Council,

North East Derbyshire District Council

&

Rykneld Homes Ltd

INFORMATION SECURITY POLICY

April 2014

CONTROL SHEET FOR Information Security Policy

Policy Details	Comments / Confirmation **(To be updated as the document progresses)**
Policy title	Information Security
Current status – i.e. first draft, version 2 or final version	Draft
Policy author(s)	Business Development Manager/ ICT Manager/ Senior Human Resources Advisor
Location of policy – i.e. L-drive, shared drive	Within IT data drive
Member route for approval	Scrutiny, Cabinet/Executive
Cabinet Member (if applicable)	Cllrs Rose Bowler(BDC) and Patricia Williams(NEDDC)
Equality Impact Assessment approval date	May 2013
Partnership involvement (if applicable)	
Final policy approval route i.e. Executive/ Council /Planning Committee	Executive/Cabinet
Date policy approved	
Date policy due for review (maximum three years)	2017
Date policy forwarded to Strategy and Performance (to include on Intranet and Internet if applicable to the public)	

Contents

1.1

1   Introduction

In order to ensure the continued delivery of services to our customers, Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. are making ever increasing use of Information and Communication Technology (ICT).

The information that the district councils and Rykneld Homes Ltd. holds, processes, maintains and shares with other public sector organisations is an important asset that, like other important business assets, needs to be suitably protected.

In order to maintain public confidence and ensure that the district councils and Rykneld Homes comply with relevant statutory legislation, it is vital that Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. maintain the highest standards of information security. As such, a number of policies are in place to maintain these high standards of information security; these are attached as appendices to this summary document. Members requirements are covered in the Members ICT Charter.

2 Scope

The policies applies to all users, the definition of users within this policy is intended to include all Departments, partners, employees of Bolsover District Council , North East Derbyshire District Council & Rykneld Homes Ltd, contractual third parties and agents, work experience and volunteers, where they have access to ICT facilities.

These policies are produced in line with guidelines that are available as of September 2013. These include the Data Protection Act 1998 and standards such as the Public Services Network (PSN) Code of Connection. The policy will be updated in the event of changes to the Act and new guidelines published in respect to the PSN.

3 Principles

This document provides a summary of the information security policies developed by Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. The objective of these policies is to ensure the highest standards of information security are maintained across the district councils and Rykneld Homes at all times so that:

- The public and all users of the district councils and Rykneld Homes information systems are confident of the confidentiality, integrity and availability of the information used and produced.
- Business damage and interruption caused by security incidents are minimised.
- Customer and employee data is adequately protected and the risk of data protection breaches reduced.

- All legislative and regulatory requirements are met.
- The district councils and Rykneld Homes ICT equipment and facilities are used responsibly, securely and with integrity at all times.

4 Risks

Bolsover District Council, North East Derbyshire District Council & Rykneld Homes Ltd recognises that there are risks associated with users accessing and handling information in order to conduct official council or Rykneld Homes business. This policy aims to mitigate those risks.

Non-compliance with this policy could have a significant effect on the efficient operation of the council or Rykneld Homes and may result in financial loss and an inability to provide necessary services to our customers.

5 Information Security Policy

The detailed policies that are attached as appendices include:

- Email Policy (Appendix 1)
- Internet Acceptable Usage Policy (Appendix 2)
- Software Policy (Appendix 3)
- ICT Access Policy (Appendix 4)
- PSN Acceptable Usage Policy and Personal Commitment Statement (Appendix 5)
- Human Resources Information Security Standards (Appendix 6)
- Information Protection Policy (Appendix 7)
- Computer, Telephone and Desk Use Policy (Appendix 8)
- Remote Working Policy (Appendix 9)
- Removable Media Policy (Appendix 10)
- Information Security Incident Management Policy (Appendix 11)
- IT Infrastructure Policy (Appendix 12)

A summary of the relevant points as they apply to all users is included below, although employees should always refer to the relevant appendix for more detailed policy information.

5.1 Email (Appendix 1)

- The use of email facilities will be permitted only by users that have been specifically designated as authorised users for that purpose, received appropriate training and have confirmed in writing that they accept and agree to abide by the terms of this policy.
- All emails sent via the Government Connect Secure Extranet (GCSx) carrying PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) content and/or

attachments must be of the format "@<council>.gcsx.gov.uk". A full explanation of the National Protective Marking scheme is available on the Council Intranet.

- Non-work email accounts **must not** be used to conduct or support official business.
- Users must ensure that any emails containing sensitive information must be sent from an official council email and be protected accordingly.
- All official external e-mail must carry the official council disclaimer.
- Under no circumstances should users communicate material (either internally or externally), which is defamatory, obscene, or does not comply with the equality legislation.
- Forwarding of email to non-work email accounts must be considered carefully to prevent personal data, PROTECT, RESTRICTED or OFFICIAL material being transmitted inappropriately.
- Auto forwarding of email to email addresses outside of Bolsover District Council, North East Derbyshire District Council & Rykneld Homes Ltd is not permitted.
- The legal status of an email message is similar to any other form of written communication. Consequently, any e-mail message sent from a facility provided to conduct or support official Bolsover District Council, North East Derbyshire District Council & Rykneld Homes Ltd business should be considered to be an official communication from the council or Rykneld Homes.
- Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd maintain their legal right, in accordance with the Regulation of Investigatory Powers Act 2000, to monitor and audit the use of email by authorised users to ensure adherence to this Policy. Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd reserve the right, with written approval from an appropriate Director or the Human Resources Manager, to monitor emails sent within the councils and Rykneld Homes email system…. without further notifying the individual concerned that the right is being exercised. Please see Appendix 1, specifically section 3.1, for further clarification on this issue.
- Users should be aware that deletion of e-mail from individual accounts does not necessarily result in permanent deletion from the councils or Rykneld Homes ICT systems.
- It should also be noted that email and attachments may need to be disclosed under the Data Protection Act 1998 or the Freedom of Information Act 2000.

5.2   Internet Acceptable Usage (Appendix 2)

- Internet use is monitored by the district councils and Rykneld Homes.
- Users must familiarise themselves with the detail, essence and spirit of this policy before using the Internet facility provided.
- At the discretion of line manager, and provided it does not interfere with your work, the councils and Rykneld Homes permits personal use of the Internet in your own time (for example during your lunch-break).
- Users are responsible for ensuring the security of their Internet account logon-id and password. Individual user log-on id and passwords should only be used by that individual user, and they should be the only person who accesses their Internet account.
- Users **must not** create, download, upload, display or access knowingly, sites that contain pornography or other "unsuitable" material that might be deemed illegal, obscene or offensive.

Users must assess any risks associated with Internet usage and ensure that the Internet is the most appropriate mechanism to use.

5.3 Software (Appendix 3)

- All software acquired must be purchased through the ICT Section.
- Under no circumstances should personal or unsolicited software be loaded onto a council or Rykneld Homes machine.
- Every piece of software is required to have a licence and the councils and Rykneld Homes will not condone the use of any software that does not have a licence.
- Unauthorised changes to software **must not** be made.
- Users are not permitted to bring software from home (or any other external source) and load it onto councils or Rykneld Homes computers.
- Users **must not** attempt to disable or reconfigure the personal firewall software.
- Illegal reproduction of software is subject to civil damages and criminal penalties.

5.4 ICT Access (Appendix 4)

- All users must use strong passwords, see appendix 4 for details.
- Passwords must be protected at all times and must be changed at least every 60 days.
- It is a users responsibility to prevent their user ID and password being used to gain unauthorised access to the Councils or Rykneld Homes systems.
- Partner agencies or 3rd party suppliers must not be given details of how to access the Councils or Rykneld Homes network without permission from the ICT Manager.
- Partners or 3rd party suppliers must contact the ICT Section before connecting to the Bolsover District Council, North East Derbyshire District Council or Rykneld Homes Ltd. network.

5.5 PSN Acceptable Usage and Personal Commitment Statement (Appendix 5)

This applies mainly to North East Derbyshire and Bolsover but Rykneld Homes also have a need to send and receive secure communications.

- Each PSN (Public Services Network) user must read, understand and sign the 'Personal Commitment Statement' to verify they have read and accepted the policy.

5.6 Human Resources Information Security Standards (Appendix 6)

- Every ICT user must be aware of, and understand, this policy, and the policies detailed in the appendices.

5.7 Information Protection Policy (Appendix 7)

- The councils and Rykneld Homes must draw up and maintain inventories of all important information assets.

- All information assets, where appropriate, must be assessed and classified by the owner in accordance with the HMG(Her Majesty's Government) Security Policy Framework (SPF).
- Information up to RESTRICTED or OFFICIAL(subject to descriptor)sent via the Government Connect Secure Extranet (GCSx) must be labelled appropriately using the SPF guidance.
- Access to information assets, systems and services must be conditional on acceptance of the appropriate Acceptable Usage Policy.
- Users should not be allowed to access information until their Line Manager is satisfied that they understand and agree the legislated responsibilities for the information that they will be handling.
- PROTECT, RESTRICTED and OFFICIAL(subject to descriptor) information must not be disclosed to any other person or organisation via any insecure methods including paper based methods, fax and telephone.
- Disclosing PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) classified information to any external organisation is also prohibited, unless via the GCSx email.
- Where GCSx email is available to connect the sender and receiver of the email message, this must be used for all external email use and must be used for communicating PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) material.
- The disclosure of PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) classified information in any way other than via GCSx email is a disciplinary offence.

5.8   Computer, Telephone and Desk Use (Appendix 8)

- Users must adhere to North East Derbyshire District Council, Bolsover District Council and Rykneld Homes Ltd. Computer, Telephone and Desk Use Policy at all times.
- Users should aim to maintain a clear desk at all times.
- North East Derbyshire District Council, Bolsover District Council and Rykneld Homes Ltd. PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) information must be stored in a facility (e.g. lockable safe or cabinet) commensurate with this classification level.

5.9   Remote Working (Appendix 9)

- It is the users responsibility to use portable computer devices in an acceptable way. This includes not installing software, taking due care and attention when moving portable computer devices and not emailing PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) information to a non-council or non Rykneld Homes email address.
- Users should be aware of the physical security dangers and risks associated with working within any remote office or mobile working location.
- All PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) data held on portable computer devices must be encrypted.

5.10 Removable Media (Appendix 10)

- The use of all removable media devices is prohibited unless a business case is agreed, security training has been given, and agreement signed to this effect.
- Any removable media device that has not been supplied by IT **must not** be used.
- All data stored on removable media devices **must** be encrypted where possible, and personal data must not be stored on devices that are not encrypted. Only data that is authorised and necessary to be transferred should be saved on to the removable media device. N.B. Data that has been deleted can still be retrieved.
- Removable media devices must not be used for archiving or storing records as an alternative to other storage equipment.
- Damaged or faulty removable media devices must not be used.
- Special care **must** be taken to physically protect the removable media device and stored data from loss, theft or damage. Anyone using removable media devices to transfer data must consider the most appropriate way to transport the device and be able to demonstrate that they took reasonable care to avoid damage or loss.
- Removable media devices that are no longer required, or have become damaged, must be taken to the IT section for secure disposal.
- Users should be aware of their responsibilities in regard to the Data Protection Act and report any suspected breaches.

5.11 Information Security Incident Management (Appendix 11)

- All users should report any incidents or suspected incidents immediately by contacting the ICT Section.
- Anonymity when reporting an incident can be maintained if desired.
- If an incident requires information to be collected for an investigation, strict rules must be adhered to. Internal Audit should be contacted for guidance.
- Users should be aware of their responsibilities in regard to the Data Protection Act and report any suspected breaches.

5.12 ICT Infrastructure Security (Appendix 12)

- PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) information, and equipment used to store and process this information, must be **stored** securely.
- Desktop PCs should not have data stored on the local hard drive. This may require training and support from ICT for some users to migrate their files to network drives.
- Non-electronic information must be assigned an owner and a classification. PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) information must have appropriate information security controls in place to protect it.
- Users should be aware of their responsibilities in regard to the Data Protection Act and report any suspected breaches.
- Desktop PCs should not have data stored on the local hard drive.
- Equipment that is to be reused or disposed of must be returned to ICT to have all of its **data and software erased / destroyed.**

5.13 Data Protection

- At Bolsover and North East Derbyshire the Strategy and Performance department ensures that every member of users is aware of, and understands, their responsibilities

under the Data Protection Act 1998 and other relevant legislation. At Rykneld Homes this is undertaken by their Business Development Manager.
- Adherence to this policy and the specific policies listed supports compliance with the Data Protection Act 1998 and reduces the risk of data protection breaches.

6 Responsibility for Implementation

The following table identifies who within North East Derbyshire District Council, Bolsover District Council and Rykneld Homes Ltd. is Accountable, Responsible, Informed or Consulted with regards to this policy. The following definitions apply:

- **Responsible** – the person(s) responsible for developing and implementing the policy.
- **Accountable** – the person who has ultimate accountability and authority for the policy.
- **Consulted** – the person(s) or groups to be consulted prior to final policy implementation or amendment.
- **Informed** – the person(s) or groups to be informed after policy implementation or amendment.

Responsible	ICT Manager
Accountable	Section 151 Officer
Consulted	Human Resources, Data Protection Officer, Scrutiny, Consultative groups (UECG, JCG).
Informed	All Bolsover District Council , North East Derbyshire District Council or Rykneld Homes Ltd's Employees, all users as defined in the scope

7 Policy Compliance

All users will be required to undertake an ICT Induction and sign a declaration confirming they have received the training and confirm they will abide by the ICT Policies. A copy of this form can be seen in Appendix 13.

If any user is found to have breached this, or any policy contained within the Appendices attached, they will be subject to North East District Council, Bolsover District Council or Rykneld Homes Ltd. disciplinary procedure, as appropriate. If a criminal offence is

considered to have been committed the Council will support any action to assist in the prosecution of the offender(s).

If you do not understand the implications of this, or any policy contained within the Appendices attached, or how they may apply to you, seek advice from your line manager.

Non-compliance is defined as any one or more of the following:

- Any breach of policy statements or controls listed in this policy
- Unauthorised disclosure or viewing of confidential data or information belonging to North East Derbyshire District Council, Bolsover District Council or Rykneld Homes Ltd's
- Unauthorised changes to information, software or operating systems
- The use of hardware, software, communication networks and equipment, data or information for illicit purposes which may include violations of any law, regulation or reporting requirements of any law enforcement agency or government body
- The exposure of North East Derbyshire District Council, Bolsover District Council or Rykneld Homes Ltd to actual or potential monetary loss through any compromise of security
- Any person who knows of or suspects a breach of this policy must report the facts immediately to the Information Security Manager or their department or service manager.

8 Exceptions

In the following exceptional cases compliance with some parts of the policy may be relaxed. The parts that may be relaxed will depend on the particular circumstances of the incident in question.

- If complying with the policy would cause significant damage to North East Derbyshire District Council, Bolsover District Council & Rykneld Homes Ltd's reputation or ability to operate
- If complying with the policy would breach Health and Safety.

- If an emergency, within the context of the emergency plan, arises

In such cases, the user concerned must take the following action:

- Ensure that a North East Derbyshire District Council, Bolsover District Council or Rykneld Homes Ltd's manager is aware of the situation and the action to be taken.
- Ensure that the situation and the actions taken are recorded in as much detail as possible and reported to the ICT Service Desk.
- Ensure that the situation is reported to the Information Security Manager as soon as possible.

- Failure to take these steps may result in disciplinary action.

In addition, ICT maintains a list of known exceptions and non-conformities to the policy. This list contains:

- Known breaches that are in the process of being rectified
- Minor breaches that are not considered to be worth rectifying
- Any situations to which the policy is not considered applicable.

Bolsover District Council, North East Derbyshire District Council & Rykneld Homes Ltd will take no disciplinary action in relation to known, authorised exceptions to the information security management system.

This policy will be included within the North East Derbyshire District Council, Bolsover District Council & Rykneld Homes Ltd's Internal Audit Programme, and compliance checks will take place to review the effectiveness of its implementation.

9 Glossary of terms

Public Services Network(PSN) - This is a secure wide area network (WAN) that allows access to Central Government systems, secure data transfer, secure email and accredited solutions provided by public sector organisations and accredited 3rd parties. At present this includes gcsx secure email, CIS(Benefits), TellUsOnce and Electoral Registration systems. The scope of the PSN network covers local authorities, central government departments, National Health Service, the Criminal Justice Extranet and the Police National Network.

Government Security Classifications – a marking scheme of information assets as used by the UK Government. A new marking classification comes into effect from April 2nd 2014. Details of this scheme can be found via https://www.gov.uk/government/publications/government-security-classifications and the new marking classification guidelines can be found in Appendix A. Documents marked under the old marking scheme will still be in circulation and details of the scheme are found in Appendix B. There is no direct correlation between the two schemes but we should only ever receive documents marked 'UNCLASSIFIED', 'RESTRICT' or 'PROTECT' under the old scheme or 'OFFICIAL' under the new 20014 scheme. The latter may have additional caveat of '-SENSITIVE' and descriptor of '[COMMERCIAL]' or '[PERSONAL]'.

10 Contact Information

At the time of publication of this policy
the *ICT Servicedesk* is available on :-

- Self Service portal > http://sworksrv.ne-derbyshire.gov.uk/sw/selfservice/
- Email   :-   servicedesk@ne-derbyshire.gov.uk
- Telephone   :-   **3001** or 01246 21**7103**

-
- Monday to Friday 08:00am – 5:30pm

For incidents outside of these hours please contact the Information Security Manager who is the IT Manager.

APPENDIX 1 - E-MAIL POLICY

1. Introduction

Bolsover District Council, North East Derbyshire District Council & Rykneld Homes Ltd. will ensure all users of council and Rykneld Homes email facilities are aware of the acceptable use of such facilities.

The Policy establishes a framework within which users of Bolsover District Council, North East Derbyshire District Council or Rykneld Homes Ltd's email facilities can apply self-regulation to their use of email as a communication and recording tool.

2. Scope

This policy covers all email systems and facilities that are provided by Bolsover District Council, North East Derbyshire District Council & Rykneld Homes Ltd for the purpose of conducting and supporting official business activity through the , Bolsover District Council , North East Derbyshire District Council or Rykneld Homes Ltd's network infrastructure and all stand alone and portable computer devices.

This policy applies to all users. The definition of users within this policy is intended to include all Departments, partners, employees of Bolsover District Council, North East Derbyshire District Council & Rykneld Homes Ltd, contractual third parties and agents, work experience and volunteers, who have been designated as authorised users of email facilities.

The use of email facilities will be permitted only by users that have been specifically designated as authorised users for that purpose, received appropriate training and have confirmed in writing that they accept and agree to abide by the terms of this policy.

The use of email facilities by users that have not been authorised for that purpose will be regarded as a disciplinary offence.

The policies are based on industry good practice and intend to satisfy the requirements set out by the Government Connect Secure Extranet Code of Connection (CoCo).

References to PROTECT, RESTRICTED and OFFICIAL and guidance on assessing and handling such information are explained in the PSN acceptable usage policy within the national protective marking scheme and Government Security Classification scheme.

3. Email Policy

3.1   Email as Records

- All emails that are used to conduct or support thecouncils business must be sent using a "@<council>.gov.uk" address. All emails that are used to conduct or support official Rykneld Homes Ltd business must be sent using a "@rykneldhomes.org.uk" address.
- All emails sent via the Government Connect Secure Extranet (GCSx) carrying PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) content and/or attachments must be of the format "@council.gcsx.gov.uk".
- Non-work email accounts **must not** be used to conduct or support official business.
- Users must ensure that any emails containing sensitive information must be sent from an official council email and be protected accordingly.
- All official external e-mail must carry the official council disclaimer.
- Under no circumstances should users communicate material (either internally or externally), which is defamatory, obscene, or does not comply with equality legislation.
- Where GCSx email is available to connect the sender and receiver of the email message, this **must be used** for communicating PROTECT, RESTRICTED and OFFICIAL(subject to descriptor) material.
- Where GCSx email is **not** available to connect the sender and receiver of the email message, and information classified as PROTECT OR OFFICIAL(subject to descriptor) is being transferred, encryption **should** be used for all content and/or attachments that contain that classification. The ICT Service Desk will advise on options available.
- Where GCSx email is **not** available to connect the sender and receiver of the email message, and information classified as RESTRICTED or OFFICIAL(subject to descriptor) is being transferred, encryption **must** be used for all content and/or attachments that contain that classification. The ICT Service Desk will advise on options available.
- Emails carrying PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) contents and/or attachments must be labelled to highlight the sensitivity and value that the information has to the data owner. This will be in the format of the Subject Header containing the label "PROTECT", "RESTRICTED" or "OFFICIAL"(with appropriate descriptor) as appropriate.
- Auto forwarding of email to email addresses outside of Bolsover District Council, North East Derbyshire District Council & Rykneld Homes Ltd is not permitted.
- Automatic forwarding of email within the organisations email system must be considered carefully to prevent PROTECT, RESTRICTED and OFFICIAL(subject to descriptor) material being forwarded inappropriately.

Non-work email accounts **must not** be used to conduct or support official Bolsover District Council, North East Derbyshire District Council & Rykneld Homes Ltd business. Users must ensure that any emails containing sensitive information must be sent from an official council email. Any Bolsover District Council or North East Derbyshire District Council emails containing PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) information must be sent from a GCSx email. All emails that represent aspects of Bolsover District Council, North East Derbyshire District Council & Rykneld Homes Ltd

business or Bolsover District Council, North East Derbyshire District Council & Rykneld Homes Ltd administrative arrangements are the property of Bolsover District Council, North East Derbyshire District Council or Rykneld Homes Ltd., as appropriate, and not of any individual employee.

Emails held on North East Derbyshire District Council, Bolsover District Council & Rykneld Homes Ltd equipment are considered to be part of the corporate record and email also provides a record of user's activities.

The legal status of an email message is similar to any other form of written communication. Consequently, any e-mail message sent from a facility provided to conduct or support official Bolsover District Council, North East Derbyshire District Council & Rykneld Homes Ltd business should be considered to be an official communication from the council or Rykneld Homes. In order to ensure that Bolsover District Council, North East Derbyshire District Council & Rykneld Homes Ltd is protected adequately from misuse of e-mail, the following controls will be exercised:

ı. It is a condition of acceptance of this policy that users comply with the instructions given during the email training sessions.
ıı. All official external e-mail must carry the following disclaimer:

"Disclaimer

*This email is confidential, may be legally privileged and contain personal views that are not the views of **Bolsover District Council, North East Derbyshire District Council or Rykneld Homes Ltd (amend as required)**.*

It is intended solely for the addressee. If this email was sent in error please notify the sender, delete the email and do not disclose, copy, distribute, or rely on it. Under the Data Protection Act 1998 and the Freedom of Information Act 2000 the contents of this email may be disclosed.

This message and attached files have been virus scanned. Attachments are opened at your own risk."

Whilst respecting the privacy of authorised users, Bolsover District Council, North East Derbyshire District Council & Rykneld Homes Ltd maintains its legal right, in accordance with the Regulation of Investigatory Powers Act 2000, to monitor and audit the use of email by authorised users to ensure adherence to this Policy. Any such interception or monitoring will be carried out in accordance with the provisions of that Act. Bolsover District Council, North East Derbyshire District Council & Rykneld Homes Ltd reserves the right, with written approval from an appropriate Director or the Human Resources Manager, to monitor emails sent within the councils & Rykneld Homes email system (including personal emails) and to access mailboxes and private directories without further notifying the individual concerned that the right is being exercised.

The councils and Rykneld Homes may exercise this right, with written approval from an appropriate Director or the Human Resources Manager and in accordance with the Data Protection Policy, in order to establish facts relevant to the councils & Rykneld Homes' business and to comply with:

- regulatory practices or procedures,
- to prevent or detect crime,
- to ensure compliance with Bolsover District Council, North East Derbyshire District Council & Rykneld Homes Ltd policies,
- to investigate or detect unauthorised uses of the system or to ensure the effective operation of the system (e.g. to check if viruses are being transmitted).
- to ensure critical work or urgent items can be actioned.
- disclosure under the Data Protection Act 1998 or the Freedom of Information Act 2000.

In these circumstances you do not have a right to privacy when using the Bolsover District Council, North East Derbyshire District Council & Rykneld Homes Ltd's information systems or in relation to any communication generated, received or stored on the Bolsover District Council, North East Derbyshire District Council & Rykneld Homes Ltd's information systems.

These actions will be supervised by the Information Security Manager.

Users should be aware that deletion of e-mail from individual accounts does not necessarily result in permanent deletion from the councils or Rykneld Homes ICT systems.

It should also be noted that email and attachments may need to be disclosed under the Data Protection Act 1998 or the Freedom of Information Act 2000. Further information regarding this can be obtained from the appropriate Data Protection Officer.

3.2 Email as a Form of Communication

Email is designed to be an open and transparent method of communicating. However, it cannot be guaranteed that the message will be received or read, nor that the content will be understood in the way that the sender of the email intended. It is therefore the responsibility of the person sending an email to decide whether email is the most appropriate method for conveying time critical or PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) information or of communicating in the particular circumstances.

All emails sent to conduct or support official Bolsover District Council, North East Derbyshire District Council or Rykneld Homes Ltd business must comply with corporate communications standards. Bolsover District Council, North East Derbyshire District Council or Rykneld Homes Ltd's Communications and Operation Management Policy must be applied to email communications.

Email must not be considered to be any less formal than memo's or letters that are sent out from a particular service or the authority. When sending external email, care should be taken not to contain any material which would reflect poorly on the Bolsover District Council, North East Derbyshire District Council or Rykneld Homes Ltd's reputation or its relationship with customers, clients or business partners.

When sending emails internally or externally the user should exercise due care in selecting the recipients to send the communication to. This is particularly important when sending personal and sensitive data.

Under no circumstances should users communicate material (either internally or externally), which is, for example, defamatory, obscene, or does not comply with the Bolsover District Council, North East Derbyshire District Council & Rykneld Homes Ltd's Equal Opportunities Policy, or which could reasonably be anticipated to be considered inappropriate. Any user who is unclear about the appropriateness of any material, should consult their line manager prior to commencing any associated activity or process.

IT facilities provided by Bolsover District Council, North East Derbyshire District Council or Rykneld Homes Ltd for email should not be used:

- For the transmission of unsolicited commercial or advertising material, chain letters, or other junk-mail of any kind, to other organisations.
- For the unauthorised transmission to a third party of PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) material concerning the activities of Bolsover District Council, North East Derbyshire District Council & Rykneld Homes Ltd.
- For the transmission of material such that this infringes the copyright of another person, including intellectual property rights.
- For activities that unreasonably waste users effort or use networked resources, or activities that unreasonably serve to deny the service to other users.
- For activities that corrupt or destroy other users' data.
- For activities that disrupt the work of other users.
- For the creation or transmission of any offensive, obscene or indecent images, data, or other material, or any data capable of being resolved into obscene or indecent images or material.
- For the creation or transmission of material which is designed or likely to cause annoyance, inconvenience or needless anxiety.
- For the creation or transmission of material that is abusive or threatening to others, or serves to harass or bully others.
- For the creation or transmission of material that either discriminates or encourages discrimination on racial or ethnic grounds, or on grounds of gender, marital status, disability, political, religion or belief, maternity or paternity, civil partnership, gender reassignment or sexual orientation.
- For the creation or transmission of defamatory material.
- For the creation or transmission of material that includes false claims of a deceptive nature.
- For the use of impolite terms or language, including offensive or condescending terms.
- For activities that violate the privacy of other users.
- For unfairly criticising individuals, including copy distribution to other individuals.

- For publishing to others the text of messages written on a one-to-one basis, without the prior express consent of the author.
- For the creation or transmission of anonymous messages - i.e. without clear identification of the sender.
- For the creation or transmission of material which brings North East Derbyshire District Council, Bolsover District Council or Rykneld Homes Ltd into disrepute.

3.3 Junk Mail

There may be instances where a user will receive unsolicited mass junk email or spam. It is advised that they delete such messages without reading them. Do not reply to the email. Even to attempt to remove the email address from the distribution list can confirm the existence of an address following a speculative e-mail.

Before giving your e-mail address to a third party, for instance a website, consider carefully the possible consequences of that address being passed (possibly sold on) to an unknown third party, and whether the benefits outweigh the potential problems.

Chain letter e-mails (those that request you forward the message to one or more additional recipients who are unknown to the original sender) **must not** be forwarded using Bolsover District Council, North East Derbyshire District Council or Rykneld Homes Ltd systems or facilities.

3.4 Mail Box Size

In order to ensure that the systems enabling email are available and perform to their optimum, users should endeavour to avoid sending unnecessary messages. In particular, the use of the "global list" of e-mail addresses is discouraged.

Users are provided with a limited mail box size of 120mb to reduce problems associated with server capacity. Users should manage their email accounts to remain within the limit, ensuring that items are filed or deleted as appropriate to avoid any deterioration in systems.

Email messages can be used to carry other files or messages either embedded in the message or attached to the message. If it is necessary to provide a file to another person, then a reference to where the file exists should be sent rather than a copy of the file. This is to avoid excessive use of the system and avoids filling to capacity another person's mailbox. If a copy of a file must be sent then it should not exceed 5mb in size.

3.5 Monitoring of Email Usage

All users should be aware that email usage is monitored and recorded centrally. The monitoring of email (outgoing and incoming) traffic will be undertaken so that Bolsover District Council, North East Derbyshire District Council or Rykneld Homes Ltd:

- Can plan and manage its resources effectively.
- Ensures that users act only in accordance with policies and procedures.
- Ensures that standards are maintained.
- Can prevent and detect any crime.

- Can investigate any unauthorised use.

Monitoring of content will only be undertaken by users specifically authorised for that purpose. These arrangements will be applied to all users and may include checking the contents of email messages for the purpose of:

a. Establishing the existence of facts relevant to the business, client, supplier and related matters.
b. Ascertaining or demonstrating standards which ought to be achieved by those using the facilities.
c. Preventing or detecting crime.
d. Investigating or detecting unauthorised use of email facilities.
e. Ensuring effective operation of email facilities.
f. Determining if communications are relevant to the business.
g. It should also be noted that email and attachments may need to be disclosed under the Data Protection Act 1998 or the Freedom of Information Act 2000.

Where a manager suspects that the email facilities are being abused by a user, they should contact the Information Security Manager. Designated users in the ICT Section can investigate and provide evidence and audit trails of access to systems. The ICT Section will also comply with any legitimate requests from authorised bodies under the Regulation of Investigatory Powers legislation for this information.

Access to another employee's email is strictly forbidden unless the employee has given their consent, or their email needs to be accessed by their line manager for specific work purposes whilst they are absent. If this is the case Bolsover District Council, North East Derbyshire District Council or Rykneld Homes Ltd may exercise this right, with written approval from an appropriate Director or Assistant Director or the Human Resources Manager and in accordance with the Data Protection Policy. This must be absolutely necessary and has to be carried out with regard to the rights and freedoms of the employee. Managers must only open emails which are relevant.

3.6 Categorisation of Messages

When creating an email, the information contained within it must be assessed and classified by the owner according to the content, when appropriate. It is advisable that all emails are protectively marked in accordance with the HMG Security Policy Framework (SPF). The marking classification will determine how the email, and the information contained within it, should be protected and who should be allowed access to it.

The SPF requires information to be protectively marked into one of 6 classifications. The way the document is handled, published, moved and stored will be dependent on this scheme.

From April 2014 the classifications are:

- OFFICIAL

- SECRET
- TOP SECRET

The classifications pre April 2014 may remain in circulation and are:

- Unclassified.
- PROTECT.
- RESTRICTED.
- CONFIDENTIAL.
- SECRET.
- TOP SECRET.

Information up to RESTRICTED or OFFICIAL sent via GCSx must be marked appropriately using the SPF guidance.

We should never receive or mark emails with the classifications SECRET, TOP SECRET or CONFIDENTIAL.

You should refer to the Information Protection Policy for full details on the application of information classification.

3.7 Security

Emails sent between:

ne-derbyshire.gov.uk and ne-derbyshire.gov.uk

ne-derbyshire.gov.uk and rykneldhomes.org.uk

ne-derbyshire.gov.uk and bolsover.gov.uk

rykneldhomes.org.uk and rykneldhomes.org.uk

rykneldhomes.org.uk and ne-derbyshire.gov.uk

rykneldhomes.org.uk and Bolsover.gov.uk

bolsover.gov.uk and bolsover.gov.uk

bolsover.gov.uk and ne-derbyshire.gov.uk

Bolsover.gov.uk and rykneldhomes.org.uk

addresses are held with the same network and are deemed to be secure. However, emails that are sent outside this closed network travel over the public communications network and are liable to interception or loss. There is a risk that copies of the email are left within the public communications system. Therefore, North East Derbyshire District Council or Bolsover District Council PROTECT, RESTRICTED and OFFICIAL(subject to descriptor) material must not be sent via email outside a closed network, unless via the GCSx email.

Where GCSx email is available to connect the sender and receiver of the email message, this **must be used** for all external email use and must be used for communicating PROTECT, RESTRICTED and OFFICIAL(subject to descriptor) material.

Where GCSx email is not available to connect to the receiver of the email message, and information classified as PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) is being transferred, encryption should be used for all content and/or attachments that contain that classification. Please contact the Service Desk if the intended recipient does not have GCSx email or, as the sender, you require a GCSx email account.

Emails carrying PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) contents and/or attachments must be labelled to highlight the sensitivity and value that the information has to the data owner. This will be in the format of the Subject Header containing the label "PROTECT", "RESTRICTED" or "OFFICIAL" (with appropriate descriptor) as appropriate.

All users that require access to GCSx email must read, understand and sign the PSN Acceptable Usage Policy and Personal Commitment Statement.

3.8 Confidentiality

All users are under a general requirement to maintain the confidentiality of information. There are also particular responsibilities under Data Protection legislation to maintain the confidentiality of personal data (customers and employees). If any user is unsure of whether they should pass on information, they should consult the relevant Data Protection Officer.

Users must make every effort to ensure that the confidentiality of email is appropriately maintained. Users should be aware that a message is not deleted from the system until all recipients of the message and of any forwarded or attached copies have deleted their copies. Moreover, confidentiality cannot be assured when messages are sent over outside networks, such as the Internet, because of the insecure nature of most such networks and the number of people to whom the messages can be freely circulated without the knowledge of Bolsover District Council, North East Derbyshire District Council or Rykneld Homes Ltd.

Care should be taken when addressing all emails, but particularly where they include PROTECT, RESTRICTED or OFFICIAL information, to prevent accidental transmission to unintended recipients. Particular care should be taken if the email client software auto-completes an email address as the user begins typing a name.

Automatic forwarding of email (for example when the intended recipient is on leave) must be considered carefully to prevent PROTECT, RESTRICTED or OFFICIAL material being forwarded inappropriately. Rules can be implemented to include or exclude

certain mail based on the sender or subject. If you require assistance with this, please contact the ICT Servicedesk in the first instance.

The automatic forwarding of a GCSx email to a lower classification email address (i.e. a standard .gov.uk email) contradicts national guidelines and is therefore not acceptable.

3.9 Negligent Virus Transmission

Computer viruses are easily transmitted via email and internet downloads. Full use must therefore be made of Bolsover District Council, North East Derbyshire District Council or Rykneld Homes Ltd's anti-virus software. If any user has concerns about possible virus transmission, they must report the concern to the ICT section.

In particular, users:

- Must not transmit by email any file attachments which they know to be infected with a virus.
- Must not download data or programs of any nature from unknown sources.
- Must ensure that an effective anti-virus system is operating on any computer which they use to access North East Derbyshire District Council, Bolsover District Council or Rykneld Homes Ltd facilities.
- Must not forward virus warnings other than to the ICT Servicedesk.
- Must report any suspected files to the ICT Servicedesk.

In addition, the councils and Rykneld Homes will ensure that email is virus checked at the network boundary and at the host, and where appropriate will use two functionally independent virus checkers.

If a computer virus is transmitted to another organisation, the councils or Rykneld Homes could be held liable if there has been negligence in allowing the virus to be transmitted. Users must therefore comply with the Software Policy.

APPENDIX 2 - INTERNET ACCEPTABLE USAGE POLICY

1. Introduction

Bolsover District Council, North East Derbyshire District Council, and Rykneld Homes Ltd. provide many and diverse Information and Communications Technology ("ICT") services, tools and equipment to employees to be used in the course of their work, including computers, laptops, telephones, internet and email.

The internet has become a fundamental tool which the councils and Rykneld Homes use for research and education purposes. Internally, the councils and Rykneld Homes have also developed Intranet sites (eRic, NEDi, and RYKi) to aid the dissemination of relevant information amongst employees.

The councils and Rykneld Homes support information and communications resources which will enhance the business and service environment. However, with access to computers and people all over the world via ICT comes the availability of material that may not be considered of value in the context of the councils and Rykneld Homes setting. Additionally, as with any resource, there is the possibility of misuse. Accordingly, the councils and Rykneld Homes needs to set guidelines for the use of ICT and, where appropriate, to monitor its use.

However, even with the guidelines, the councils and Rykneld Homes cannot prevent the possibility that some users may access material, even inadvertently, that is not consistent with the policies of the councils or Rykneld Homes or in line with the normal duties and responsibilities of the user.

2. Scope

All information, whether electronic or paper based, relating to our customers, suppliers and business operations should be treated in line with (a) the councils and Rykneld Homes Code of Conduct for Members and Officers, (b) relevant policies and (c) relevant legislation.

2.1 Legislation:

Copyright, Designs and Patents Act 1988 – downloading, copying, processing or distributing information from the internet may be an infringement of copyright or other intellectual property rights.

Data Protection Act 1998 – care should be taken in the collection, processing or disclosure of any personal data and all personal data should be processed within the principles of the Act.

Human Rights Act 1998 – The HRA provides for the privacy of personal correspondence and the protection of that privacy while at work. Monitoring unless notified and done properly may infringe these rights

Freedom of Information Act 2000 – all recorded information is potentially disclosable under the Act, including all expressions of fact, intent and opinion. If a request for information is made, the Act prohibits destruction of the information until it is given out in response to the request. Please also see the councils and Rykneld Homes guidelines on retention of information.

This policy applies to all users. The definition of users within this policy is intended to include all Departments, partners, employees of North East Derbyshire District Council, Bolsover District Council & Rykneld Homes Ltd, contractual third parties and agents, work experience and volunteers who make use of the internet.

3. Principles

This policy sets out the rules by which Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. expects users to employ the ICT services and equipment in order to carry out their duties in a sensible, professional and lawful manner in accordance with law and the councils and Rykneld Homes Code of Conduct for Officers.

The guidelines aim to set out the councils and Rykneld Homes policy on the use and monitoring of ICT and seek to strike a balance between users' right to privacy and the councils and Rykneld Homes responsibility to ensure appropriate use of ICT.

Failure to comply with these guidelines may be viewed as a disciplinary matter and may, therefore, be subject to the councils and Rykneld Homes agreed Disciplinary Procedure and Code of Practice.

It is intended that from time to time, as is required by changes to legislation, technology or councils or Rykneld Homes policy, these Guidelines will be reviewed. Any changes made will be agreed both by the trades unions and members and the changes communicated to the users who have signed the original document. By signing the agreement users are deemed to accept any revisions to this policy that are communicated to them.

Non-compliance with this policy could have a significant effect on the efficient operation of the councils and Rykneld Homes and may result in financial loss and an inability to provide necessary services to our customers.

4. What is the Purpose of Providing the Internet Service?

4.1 General guidelines on use of the internet

Use of the Internet is available at your line manager's discretion. In general, users shall only use the Internet for official purposes, eg access to and the provision of information, research, electronic commerce. Use of information from the Internet shall be directly related to the official duties of the user, or the councils or Rykneld Homes as a whole. All information downloaded from the Internet shall be related to the duties and tasks of the user. However, reasonable personal use is permitted within a users own time at the discretion of their line manager.

Where there is public access to the Internet provided by the councils or Rykneld Homes and a member of the public misuses this provision, it will not be deemed to be the responsibility of any employee present at the time. However, the employee should report this incident as a breach of security to ICT.

Any information distributed or released by users by way of the Internet is subject to the councils or Rykneld Homes guidance on the release of information and shall, prior to such distribution, be approved by the relevant management procedures.

Any proposed links from the councils or Rykneld Homes Internet sites to the other Internet sites must first be authorised by your Director.

Users must be aware that the quality and accuracy of information available on the Internet is variable. It is the responsibility of the individual user to judge whether the information obtained is satisfactory for the purpose for which it will be used, and, if appropriate, steps should be taken to verify this information independently.

Where the Internet is being accessed by employees via a mobile device (laptop or tablet, or smartphone) from an internet connection which is not covered by the councils or Rykneld Homes internet filtering software, the same guidelines on appropriate use of the Internet apply and extra care must be taken not to visit sites which would be deemed unsuitable.

Virus protection software will be installed and configured on all councils and Rykneld Homes computer equipment. The configuration of these must not be altered and is updated regularly. Where home computer facilities are used for work purposes it is the individual's responsibility to ensure that anti virus software is installed and is updated regularly. Care must be taken with mobile storage devices to ensure that files stored on these devices do not become infected.

> No personal ICT equipment may be attached to the councils or Rykneld Homes network without the permission of the ICT Manager.

> Only memory sticks provided by the council or Rykneld Homes may be used.

4.2 Specific Guidelines on Use of the Internet

- Software, including MP3 files, must not be downloaded from the Internet by users without the advice and permission of ICT personnel.
- When participating in newsgroups or mailing lists, users may offer information and advice to others if it is appropriate to their official duties or tasks or if the benefit to be gained by the councils or Rykneld Homes represents a reasonable return in terms of the effort involved.
- Employees must not take part in discussions on political matters via the Internet unless this forms part of the legitimate business of their employment or is in furtherance of their role as an accredited trade union representative.
- Users must not use their access to the Internet for their own private business purposes.

- Orders for goods purchased for council or Rykneld Homes purposes must not be placed by way of the Internet without the employee having first obtained approval from their line manager, having authorised the purchase in the normal departmental manner and having complied with the council's or Rykneld Homes Contract Standing Orders and Financial Regulations.
- Users must not use the councils or Rykneld Homes Internet facility for the purpose of gambling.
- Users must not break or attempt to break any system security controls placed on their Internet Account.
- Users must not intentionally access or transmit computer viruses or software programs used to trigger these.
- Users must not intentionally access or transmit information which is obscene, sexually explicit, racist or defamatory or which depicts violent or criminal acts or otherwise represents values that are contrary to councils or Rykneld Homes policy.
- Employees must not intentionally access or transmit information of a political nature unless this forms part of the legitimate business of their employment or is in furtherance of their role as an accredited trade union representative.
- Users must not knowingly break the law.
- If an Internet site containing unsuitable material e.g. of an obscene nature is inadvertently accessed by a user, this must be immediately reported to ICT as a security breach.
- If material is inadvertently accessed which is believed to contain a computer virus, the user must immediately break the connection to the Internet and contact ICT for advice and assistance.
- Users must not copy information originating from others and re-post it without the permission of or acknowledgement to the original source.

5. Personal Use of the Internet Service

Any reasonable personal use of the councils and Rykneld Homes ICT services and equipment must comply with the councils and Rykneld Homes Code of Conduct for Officers and Members. Reasonable personal use of such services and equipment:-

- Must not be carried out in works time
- Must not interfere with the performance of your duties.
- Must not take priority over your work responsibilities
- Must not result in the councils or Rykneld Homes incurring expense
- Must not have a negative impact on the councils or Rykneld Homes.
- Must be lawful and in accordance with council and Rykneld Homes Policy and with the guidelines as set out in this document.

Where reasonable personal use is referred to in this document, this section applies.

Reasonable personal use of the councils or Rykneld Homes internet service is permitted only in the employee's own time (i.e. before clocking on, or after clocking off in accordance with the appropriate flexitime Scheme).

6. Internet Account Management, Security and Monitoring

6.1 Monitoring and Reporting Internet Use

All access to the Internet is automatically logged against an identifier unique to the PC of the user, is recorded and may be monitored by the councils and Rykneld Homes. This monitoring will be for the prevention and detection of unauthorised use of the councils and Rykneld Homes communication systems.

Auditable statistics are kept within ICT of all council and Rykneld Homes Internet access.

Line managers are able to access details of sites visited by employees and the time spent accessing the internet. Such reporting is not provided on a set basis, but will be available to managers in the normal course of an investigation into inappropriate or prolonged use of the Internet by a user.

The councils and Rykneld Homes ICT actively monitors access to inappropriate sites via the Internet security software. Any 'irregularities' encountered in this process are reported to the line manager of an employee in accordance with the Councils or Rykneld Homes Code of Conduct.

For councils and Rykneld Homes, in the case of an investigation requiring to be carried out into the use of Internet access by a user, the relevant authority (this will be the line manager and/or Human Resources in the cases of an employee) will contact the ICT section who will access the necessary monitored information and provide a report of this to the relevant authority.

Internet filtering software is used to block access to sites which have been deemed unacceptable. In certain cases, where authorised by a line manager, users in specific

posts may be allowed access to sites normally blocked to users where access to sites is required or helpful in the undertaking of the duties of the post.

The councils and Rykneld Homes will provide a secure logon-id and password facility for your Internet account. The IT Section is responsible for the technical management of this account. You are responsible for the security provided by your Internet account logon-id and password.   Only you should know your log-on id and password and you should be the only person who uses your Internet account.

7. Things You Must Not Do

Access to the following categories of websites is currently blocked using a URL filtering system:

- Adult/Sexual/Pornographic
- Alcohol and Tobacco
- Blogs, Forums and Web chat
- Drugs/Gambling
- Games/Downloads
- Hacking/Peer-to-peer
- Illegal/Criminal activity
- Religious extremism
- Offensive/Intolerance
- Hate and Discrimination
- Mobile Phones/Ringtones
- Personal Dating
- Some Search Engines
- Spyware/Spam URL's
- Violence and Weapons
- Suicide

Except where it is strictly and necessarily required for your work, for example IT audit activity or other investigation, you must **not** use your Internet account to:

- Create, download, upload, display or access knowingly, sites that contain pornography or other "unsuitable" material that might be deemed illegal, obscene or offensive.
- Subscribe to, enter or use peer-to-peer networks or install software that allows sharing of music, video or image files.
- Subscribe to, enter or utilise real time chat facilities such as chat rooms, text messenger or pager programs.
- Run a private business.
- Download any software that does not comply with the councils and Rykneld Homes Software Policy.

The above list gives examples of *"unsuitable"* usage but is neither exclusive nor exhaustive. *"Unsuitable"* material would include data, images, audio files or video files the transmission of which is illegal under British law, and, material that is against the rules, essence and spirit of this and other councils and Rykneld Homes policies.

In particular you are reminded that Powerpoint presentations with unsuitable images should not be downloaded.

8. Your Responsibilities

It is your responsibility to:

- Familiarise yourself with the detail, essence and spirit of this policy before using the Internet facility provided for your work.
- Assess any risks associated with Internet usage and ensure that the Internet is the most appropriate mechanism to use.
- Know that you may only use the councils or Rykneld Homes Internet facility within the terms described herein.
- Read and abide by the following related policies:
    - Email Policy. (see Appendix 1)
    - Software Policy. (see Appendix 3)
    - IT Security Policy.(see Summary)

9. Whom Should I Ask if I Have Any Questions?

In the first instance you should refer questions about this policy to your Line Manager who will refer you to an appropriate contact. You should refer technical queries about the councils or Rykneld Homes Internet service to the IT Manager.

APPENDIX 3 - SOFTWARE POLICY

1. Introduction

Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. will ensure the acceptable use of software by all users of the councils and Rykneld Homes computer equipment or information systems.

2. Scope

This policy applies to all users. The definition of users within this policy is intended to include all Departments, partners, employees of Bolsover District Council, North East Derbyshire District Council & Rykneld Homes Ltd, contractual third parties and agents, work experience and volunteers who make use of ICT equipment.

3. Principles

This policy sets out the rules by which Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. expects users to employ the ICT services and equipment in order to carry out their duties in a sensible, professional and lawful manner in accordance with law and the councils and Rykneld Homes Code of Conduct for Officers.

4. Software Policy

This policy should be applied at all times whenever using the councils or Rykneld Homes computer equipment or Information systems.

4.1 Software Acquisition

All software acquired by Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. must be purchased through the ICT Section. Software may not be purchased through user corporate credit cards, petty cash, travel or entertainment budgets. Software acquisition channels are restricted to ensure that Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. has a complete record of all software that has been purchased for Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. computers and can register, support, and upgrade such software accordingly. This includes software that may be downloaded and/or purchased from the Internet.

Under no circumstances should personal or unsolicited software (this includes screen savers, games and wallpapers etc.) be loaded onto a councils or Rykneld Homes machine as there is a serious risk of introducing a virus.

4.2 Software Registration

The councils and Rykneld Homes use software in all aspects of its business to support the work carried out by its employees. In all instances every piece of software is required to have a licence and the councils and Rykneld Homes will not condone the use of any software that does not have a licence.

Software must be registered in the name of Bolsover District Council, North East Derbyshire District Council or Rykneld Homes Ltd, whichever is appropriate and the department in which it will be used. Due to personnel turnover, software will never be registered in the name of the individual user.

The ICT Section maintains a register of all Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. software and will keep a library of software licenses. The register must contain:

a) The title and publisher of the software.
b) The date and source of the software acquisition.
c) The location of each installation as well as the serial number of the hardware on which each copy of the software is installed.
d) The existence and location of back-up copies.
e) The software product's serial number.
f) Details and duration of support arrangements for software upgrades.

Software on local area networks or multiple machines shall only be used in accordance with the licence agreement.

Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. holds licences for the use of a variety of software products on all councils and Rykneld Homes Information Systems and computer equipment. This software is owned by the software company and the copying of such software is an offence under the Copyright, Designs and Patents Act 1988, unless authorised by the software manufacturer.

It is the responsibility of users to ensure that all the software on their computer equipment is licensed.

4.3 Software Installation

Software must only be installed by the ICT Section once the registration requirements have been met. Once installed, the original media will be kept in a safe storage area maintained by the ICT Section.

Software may not be used unless approved by the ICT Manager, or their nominated representative.

Shareware, Freeware and Public Domain Software are bound by the same policies and procedures as all other software. No user may install any free or evaluation software onto the councils or Rykneld Homes systems without prior approval from ICT Section

4.4 Software Development

All software, systems and data development for the councils and Rykneld Homes is to be used only for the purposes of the councils and Rykneld Homes.

Software must not be changed or altered by any user unless there is a clear business need. All changes to software should be authorised before the change is implemented. A full procedure should be in place and should include, but not be limited to, the following steps:

1. Change requests affecting a software asset should be approved by the software asset's owner.
2. All change requests should consider whether the change is likely to affect existing security arrangements and these should then be approved.
3. A record should be maintained of agreed authorisation levels.
4. A record should also be maintained of all changes made to software.
5. Changes to software that have to be made before the authorisation can be granted should be controlled.

4.5 Personal Computer Equipment

Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd computers are the purchasing Council or Rykneld Homes owned assets and must be kept both software legal and virus free. Only software acquired through the procedures outlined above may be used on Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. machines. Users are not permitted to bring software from home (or any other external source) and load it onto Bolsover District Council, North East Derbyshire District Council or Rykneld Homes Ltd. computers. Generally, council or Rykneld Home owned software cannot be taken home and loaded on a user's home computer if it also resides on a Bolsover District Council, North East Derbyshire District Council or Rykneld Homes Ltd. computer. If a user needs to use software at home, they should purchase a separate package and record it as a council or Rykneld Homes owned asset in the software register.

4.6 Software Misuse

Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. will ensure that Personal Firewalls are installed where appropriate. Users **must not** attempt to disable or reconfigure the Personal Firewall software.

It is the responsibility of all councils and Rykneld Homes users to report any known software misuse to the ICT Section.

According to the Copyright, Designs and Patents Act 1988, illegal reproduction of software is subject to civil damages and criminal penalties. Any Bolsover District Council, North East Derbyshire District Council or Rykneld Homes Ltd. user who makes, acquires, or uses unauthorised copies of software will be disciplined as appropriate under the circumstances. Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. does not condone the illegal duplication of software and will not tolerate it.

APPENDIX 4 - ICT ACCESS POLICY

1. Introduction

Information security is the protection of information against accidental or malicious disclosure, modification or destruction. Information is an important, valuable asset of North East Derbyshire District Council, Bolsover District Council and Rykneld Homes Ltd. which must be managed with care. All information has a value to the councils and Rykneld Homes. However, not all of this information has an equal value or requires the same level of protection.

Access control rules and procedures are required to regulate who can access Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. information resources or systems and the associated access privileges. This policy applies at all times and should be adhered to whenever accessing Bolsover District Council, North East Derbyshire District Council or Rykneld Homes Ltd. information in any format, and on any device.

This policy also mandates a standard for the creation of strong passwords, their protection and frequency of change.

2. Scope

This policy applies to all users. The definition of users within this policy is intended to include all Departments, partners, employees of Bolsover District Council, North East Derbyshire District Council & Rykneld Homes Ltd, contractual third parties and agents, work experience and volunteers who access ICT equipment.

3. Risks

On occasion business information may be disclosed or accessed prematurely, accidentally or unlawfully. Individuals or companies, without the correct authorisation and clearance may intentionally or accidentally gain unauthorised access to business information which may adversely affect day to day business. This policy is intended to mitigate that risk.

4. Applying the Policy - Passwords

4.1 Choosing passwords

Passwords are the first line of defence for our ICT systems and together with the user ID help to establish that people are who they claim to be.

A poorly chosen or misused password is a security risk and may impact upon the confidentiality, integrity or availability of our computers and systems.

Weak and strong passwords

A *weak password* is one which is easily discovered, or detected, by people who are not supposed to know it. Examples of weak passwords include words that may be present in a dictionary, names of children and pets, car registration numbers and simple patterns of letters from a computer keyboard.

A *strong password* is a password that is designed in such a way that it is unlikely to be detected by people who are not supposed to know it, and difficult to work out even with the help of a computer.

Everyone must use strong passwords with a minimum standard of:

- At least eight characters.
- Contain a mix of alpha and numeric, with at least one digit
- Contain a mix of upper and lower case with at least one upper case character

4.2 Protecting Passwords

It is of utmost importance that the password remains protected at all times. The following guidelines must be adhered to at all times:

- Never reveal your passwords to anyone.
- Never use the 'remember password' function.
- Never write your passwords down or store them where they are open to theft.
- Never store your passwords in a computer system without encryption.
- Do not use any part of your user name within the password.
- Do not use the same password to access Bolsover District Council, North East Derbyshire District Council or Rykneld Homes Ltd.
- Do not use the same password for systems inside and outside of work.

4.3 Changing Passwords

All user-level passwords must be changed at a maximum of every 60 days, or whenever a system prompts you to change it. Default passwords must also be changed immediately. If you become aware, or suspect, that your password has become known to someone else, you **must** change it immediately and report your concern to the ICT Section.

Users **must not** reuse the same password within 20 password changes.

5. System Administration Standards

The password administration process for individual Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. systems is well-documented and available to designated individuals.

All Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. IT systems will be configured to enforce the following:

- Authentication of individual users, not groups of users- i.e. no generic accounts.
- Protection with regards to the retrieval of passwords and security details.
- System access monitoring and logging - at a user level.
- Role management so that functions can be performed without sharing passwords.
- Password admin processes must be properly controlled, secure and auditable.

6. Applying the Policy – Employee Access

6.1 User Registration

A request for access to the council's computer systems must first be submitted to the ICT section for approval. Applications for access must only be submitted if approval has been gained from your line manager.

When a user leaves the councils or Rykneld Homes, their access to computer systems and data must be suspended at the close of business on the user's last working day. It is the responsibility of the line manager to request the suspension of the access rights via the ICT Section.

6.2 User Responsibilities

It is a users responsibility to prevent their user ID and password being used to gain unauthorised access to the councils and Rykneld Homes systems by:

- Following the password policy and statements outlined above.
- Ensuring that any PC they are using that is left unattended is locked or logged out.
- Leaving nothing on display that may contain access information such as login names and passwords.
- Informing the ICT Section of any changes to their role and access requirements.

6.3 Network Access Control

The use of modems on non-council or Rykneld Homes owned PC's connected to the councils or Rykneld Homes network can seriously compromise the security of the network. The normal operation of the network must not be interfered with. Specific approval must be obtained from the ICT Section before connecting any equipment to the councils or Rykneld Homes network.

7. Users Authentication for External Connections

Where remote access to the Bolsover District Council, North East Derbyshire District Council or Rykneld Homes Ltd. network is required, an application must be made to the ICT Section. Remote access to the network must be secured by two factor authentication consisting of a username and one other component, for example a biometric device or authentication token. For further information please refer to the Remote Working Policy (Appendix 9).

7.1 Supplier's Remote Access to the Network

Partner agencies or 3rd party suppliers must not be given details of how to access the councils or Rykneld Homes network without permission from the ICT Section. Any changes to supplier's connections must be immediately sent to the ICT Section so that access can be updated or ceased. All permissions and access methods must be controlled by the ICT Section.

Partners or 3rd party suppliers must contact the ICT Section before connecting to the Bolsover District Council, North East Derbyshire District Council or Rykneld Homes Ltd. network and a log of activity must be maintained. Remote access software must be disabled when not in use.

APPENDIX 5 – PSN ACCEPTABLE USAGE POLICY AND PERSONAL COMMITMENT STATEMENT

1. Introduction

PSN stands for Public Service network. This is a secure wide area network (WAN) that allows access to Central Government systems, secure data transfer, secure email and accredited solutions provided by public sector organisations and accredited 3rd parties. At present this includes gcsx secure email, CIS(Benefits), TellUsOnce and Electoral Registration systems. The scope of the PSN network covers local authorities, central government departments, National Health Service, the Criminal Justice Extranet and the Police National Network. Some Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd users will be required to have access to the facilities operated on this network in order for them to carry out their business. This may include users having access to a secure email facility. All users requiring access to the PSN network in any way will be required to read and understand this Acceptable Usage Policy (AUP) and sign the Personal Commitment Statement.

This policy and statement does not replace the councils or Rykneld Homes existing acceptable usage, or any other, policies. It is a supplement to them.

2. Scope

All users of the PSN connection must be aware of the commitments and security measures surrounding the use of this network. This policy applies to all users. The definition of users within this policy is intended to include all Departments, partners, employees of Bolsover District Council, North East Derbyshire District Council & Rykneld Homes Ltd, contractual third parties and agents, work experience and volunteers using the GCSx facilities.

3. Principles

It is Bolsover District Council, North East Derbyshire District Council and Rykneld Homes policy that all users of PSN understand and comply with corporate commitments and information security measures associated with PSN.

4. PSN Acceptable Usage Policy

Access control rules and procedures are required to regulate who can access Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. information resources or systems and the associated access privileges. This policy applies at all times and should be adhered to whenever accessing North East District

Council, Bolsover District Council and Rykneld Homes Ltd. information in any format, and on any device.

On occasion business information may be disclosed or accessed prematurely, accidentally or unlawfully. Individuals or companies, without the correct authorisation and clearance may intentionally or accidentally gain unauthorised access to business information which may adversely affect day to day business. This policy is intended to mitigate that risk.

4.1 Policy statement

Each PSN user must read, understand and sign to verify they have read and accepted this policy.

- I understand and agree to comply with the security rules of my organisation.

For the avoidance of doubt, the security rules relating to secure e-mail and information systems usage include:

   i. I acknowledge that my use of the PSN may be monitored and/or recorded for lawful purposes.

   ii. I agree to be responsible for any use by me of the PSN using my unique user credentials (user ID and password, access token or other mechanism as provided) and e-mail address; and,

   iii. I will not use a colleague's credentials to access the PSN and will equally ensure that my credentials are not shared and are protected against misuse; and,

   iv. I will protect such credentials at least to the same level of secrecy as the information they may be used to access, (in particular, I will not write down or share my password other than for the purposes of placing a secured copy in a secure location at my employer's premises); and,

   v. I will not attempt to access any computer system that I have not been given explicit permission to access; and,

   vi. I will not attempt to access the PSN other than from IT equipment and systems and locations which have been explicitly authorised to use for this purpose; and,

   vii. I will not transmit information via the GCSx that I know, suspect or have been advised is of a higher level of sensitivity than my GCSx domain is designed to carry; and,

   viii. I will not transmit information via the PSN that I know or suspect to be

unacceptable within the context and purpose for which it is being communicated; and,

ix. I will not make false claims or denials relating to my use of the PSN (e.g. falsely denying that an e-mail had been sent or received); and,

x. I will protect any sensitive or not protectively marked material sent, received, stored or processed by me via the PSN to the same level as I would paper copies of similar material; and,

xi. I will appropriately label, using the HMG Security Policy Framework (SPF), information up to RESTRICTED sent via the PSN; and,

xii. I will not send PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) information over public networks such as the Internet; and,

xiii. I will always check that the recipients of e-mail messages are correct so that potentially sensitive or PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) information is not accidentally released into the public domain; and,

xiv. I will not auto-forward email from my GCSx account to any other non-GCSx email account; and,

xv. I will not forward or disclose any sensitive or PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) material received via the GCSx unless the recipient(s) can be trusted to handle the material securely according to its sensitivity and forwarding is via a suitably secure communication channel; and,

xvi. I will seek to prevent inadvertent disclosure of sensitive, PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) information by avoiding being overlooked when working, by taking care when printing information received via PSN (e.g. by using printers in secure locations or collecting printouts immediately they are printed, checking that there is no interleaving of printouts, etc) and by carefully checking the distribution list for any material to be transmitted; and,

xvii. I will securely store or destroy any printed material; and,

xviii. I will not leave my computer unattended in such a state as to risk unauthorised disclosure of information sent or received via PSN (this will be in accordance with the Computer, Telephone and Desk Use Policy - e.g. logging-off from the computer, activate a password-protected screensaver etc, so as to require a user logon for activation); and,

xix.   where IT Services has implemented other measures to protect unauthorised viewing of information displayed on IT systems (such as an inactivity timeout that causes the screen to be blanked requiring a user logon for reactivation), then I will not attempt to disable such protection; and,

xx.   I will make myself familiar with the Councils or Rykneld Homes security policies, procedures and any special instructions that relate to PSN; and,

xxi.   I will inform my manager immediately if I detect, suspect or witness an incident that may be a breach of security Information Security Incident Management Policy; and,

xxii.   I will not attempt to bypass or subvert system security controls or to use them for any purpose other than that intended; and,

xxiii.   I will not remove equipment or information from council premises without appropriate approval; and,

xxiv.   I will take precautions to protect all computer media and portable computers when carrying them outside my organisation's premises (e.g. leaving a laptop unattended or on display in a car such that it would encourage an opportunist theft) in accordance with the Council's Remote Working Policy; and,

xxv.   I will not introduce viruses, Trojan horses or other malware into the system or PSN; and,

xxvi.   I will not disable anti-virus protection provided at my computer; and,

xxvii.   I will comply with the Data Protection Act 1998 and any other legal, statutory or contractual obligations that the Council informs me are relevant (please refer to the Legal Responsibilities Policy); and,

xxviii.   if I am about to leave the Council, I will inform my manager prior to departure of any important information held in my account and manage my account in accordance with the Council's email and records management policy.

Document Date:	[Date signed and agreed by user]
Name of User:	[Surname, First Name]

Position:	[Position]
Department:	[Department]
User Access Request Approved by:	[Line Manager Name – Position] [Date]
User Access Request Approved by:	[IT Services Asset Owner(s)] [Date]
Username Allocated	[Username]
Email Address Allocated:	[Email Address]
User Access Request Processed:	[IT Services] [Date]

4.2 PSN Personal Commitment Statement

I, [insert User's Name], accept that I have been granted the access rights to GCSx. I understand and accept the rights which have been granted, I understand the business reasons for these access rights, and I understand that breach of them, and specifically any attempt to access services or assets that I am not authorised to access, may lead to disciplinary action and specific sanctions. I also accept and will abide by this policy, personal commitment statement, and the authorities Information Security policies. I understand that failure to comply with this agreement, or the commission of any information security breaches, may lead to the invocation of the Councils or Rykneld Homes's disciplinary policy, whichever is appropriate.

Signature of User: …………………………………………………………………….

A copy of this agreement is to be retained by the User and Information Security Manager.

10.1
APPENDIX 6 – HUMAN RESOURCES INFORMATION SECURITY STANDARDS POLICY

1. Introduction

Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. hold large amounts of personal and protectively marked information. Information security is very important to help protect the interests and confidentiality of the councils, Rykneld Homes and their customers. Information security cannot be achieved by technical means alone. Information security must also be enforced and applied by people, and this policy addresses security issues related to people.

Details of the National Protective Marking Scheme and Government Security Classifications can be found in the PSN acceptable usage policy and the ICT Policy Summary.

2. Scope

This policy applies to all users that require access to the councils or Rykneld Homes information systems or information of any type or format (paper or electronic).

The definition of users within this policy is intended to include all Departments, partners, employees of North East Derbyshire District Council, Bolsover District Council & Rykneld Homes Ltd, contractual third parties and agents, work experience and volunteers who have access to ICT equipment

Where access is to be granted to any third party (e.g. contractors, service providers, voluntary agencies, partners) compliance with this policy must be agreed and documented. Responsibility for ensuring this lies with the councils or Rykneld Homes user that initiates this third party access.

3. Principles

Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd understands that to reduce the risk of theft, fraud or inappropriate use of its information systems, anyone that is given access to the councils or Rykneld Homes information systems **must**:

- Be suitable for their roles.
- Fully understand their responsibilities for ensuring the security of the information.
- Only have access to the information they need.
- Request that this access be removed as soon as it is no longer required.

This policy must therefore be applied prior, during and after any users access to information or information systems used to deliver the councils and Rykneld Homes business.

Access to the councils and Rykneld Homes information systems will not be permitted until the requirements of this policy have been met.

4. Roles and Responsibilities

Decisions on the appropriate level of access to information or information systems for a particular user are the responsibility of the Information Asset Owner – please refer to Information Protection Policy (see Appendix 7).

Line managers are responsible for ensuring that creation of new users, changes in role, and termination of users are notified to the ICT Section in a timely manner, using an agreed process.

The information security responsibilities of every user include familiarisation with the Information Security Policy and its Appendices, and the signing of a statement confirming that the user is aware of, and understands, these policies. (See Appendix 13)

4.1 User Screening

Background verification checks are carried out on all employees by HR, please see the HR recruitment and selection policy for details.

 From January 2014 all users who require access to services or data delivered by the Public Services Network (PSN), including gcsx email **must** be cleared to "Baseline Personnel Security Standard".

From January 2015 all users who access the computer network of Bolsover District Council, North East Derbyshire District Council or Rykneld Home Ltd **must** be cleared to "Baseline Personnel Security Standard".

Where access is to systems processing payment card data, credit checks on the user must be carried out to an appropriate level as required by the Payment Card Industry Data Security Standards (PCI-DSS).

All the requirements for verification checks are applied to technical support and temporary users that have access to those systems or any copies of the contents of those systems (e.g. backup tapes, printouts, test data-sets).

4.2 Management Responsibilities

Line managers must notify ICT in a timely manner of any changes in a users role or business environment, to ensure that the user access can be changed as appropriate.

Processes must ensure that access to information systems is extended to include new user requirements and also that any access that is no longer needed is removed.

Any changes to a users access must be made in a timely manner and be clearly communicated to the user.

Departmental managers must require users to understand and be aware of information security threats and their responsibilities in applying appropriate Councils and Rykneld Homes policies. These policies include:

- Information Protection Policy (Appendix 7)
- Information Security Incident Management Policy (Appendix 11)

This requirement must be documented.

4.3 Information Security Awareness, Education and Training

All users will receive appropriate information security awareness training and regular updates in related statute and organisational policies and procedures as relevant for their role.

It is the role of Departmental managers to ensure that their users are adequately trained and equipped to carry out their role efficiently and securely.

5. Applying the Policy – When Access to Information or Information Systems is No Longer Required

5.1 Secure Termination of Employment

Termination of employment may be due to resignation, change of role, suspension or the end of a contract or project. The key requirement is that access to Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. information assets is removed in a timely manner when no longer required by the user

5.2 Return of Assets

Users must return all of the organisation's assets, for example, laptops, mobile phones, memory sticks in their possession upon termination of their employment, contract or agreement. This must include any copies of information in any format.

APPENDIX 7 - INFORMATION PROTECTION POLICY

1. Introduction

Information is a major asset that Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. has a responsibility and requirement to protect.

Protecting information assets is not simply limited to covering the stocks of information (electronic data or paper records) that the councils and Rykneld Homes maintains. It also covers the people that use them, the processes they follow and the physical computer equipment used to access them.

This Information Protection Policy addresses all these areas to ensure that high confidentiality, quality and availability standards of information are maintained.

The following policy details the basic requirements and responsibilities for the proper management of information assets at Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. The policy specifies the means of information handling and transfer within the councils and Rykneld Homes.

2. Scope

The policy applies automatically to all the systems, people and business processes that make up the councils and Rykneld Homes information systems.

This policy applies to all users. The definition of users within this policy is intended to include all Departments, partners, employees of Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd, contractual third parties and agents, work experience and volunteers who have access to Information systems or information used for the councils or Rykneld Homes purposes.

3. Principles

Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. will ensure the protection of all information assets within the custody of the councils and Rykneld Homes.

High standards of confidentiality, integrity and availability of information will be maintained at all times.

This policy should be applied whenever the councils or Rykneld Homes Information Systems or information is used. Information can take many forms and includes, but is not limited to, the following:

- Hard copy data printed or written on paper.
- Data stored electronically.
- Communications sent by post / courier or using electronic means.

- Stored tape, DVD or video.
- Speech.

4. Applying the Policy

4.1 Identifying Information Assets

The process of identifying important information assets should be sensible and pragmatic.

Important information assets will include, but are not limited to, the:

- Filing cabinets and stores containing paper records.
- Computer databases.
- Data files and folders.
- Software licenses.
- Physical assets (computer equipment and accessories, PDAs, cell phones).
- Key services.
- Key people.
- Intangible assets such as reputation and brand.

The councils and Rykneld Homes must draw up and maintain inventories of all important information assets that it relies upon. These should identify each asset and all associated data required for risk assessment, information/records management and disaster recovery. At minimum it must include the following:

- Type.
- Location.
- Designated owner.
- Security classification.
- Format.
- Backup.
- Licensing information.

4.2 Classifying Information

At present Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd have not implemented corporate document classification. However users may come into contact with documents classified under the Government classification schemes and must understand these and apply as appropriate when using Government ICT systems and gcsx email.

In relation to Central Government ICT systems all information assets must be classified and labelled in accordance with the HMG Security Policy Framework (SPF). The classification will determine how the document should be protected and who should be allowed access to it. Any system subsequently allowing access to this information should

clearly indicate the classification. Information up to RESTRICTED and OFFICIAL(subject to descriptor)sent via GCSx must be labelled appropriately using the SPF guidance.

The SPF requires information assets to be protectively marked into one of 6 classifications. The way the document is handled, published, moved and stored will be dependant on this scheme.

From April 2014 the classifications are:

- OFFICIAL
- SECRET
- TOP SECRET

The classifications pre April 2014 may remain in circulation and are:

- Unclassified.
- PROTECT.
- RESTRICTED.
- CONFIDENTIAL.
- SECRET.
- TOP SECRET.

4.3 Personal data

Personal data is any information about any living, identifiable individual. This could be customer, employee, or member personal data. The councils and Rykneld Homes is legally responsible for it. Its storage, protection and use are governed by the Data Protection Act 1998. Details of specific requirements can be found in the Legal Responsibilities Policy.

4.4 Assigning Asset Owners

All important information assets must have a nominated owner and should be accounted for. An owner must be a member of staff whose seniority is appropriate for the value of the asset they own. The owner's responsibility for the asset and the requirement for them to maintain it should be formalised and agreed.

4.5 Unclassified Information Assets

Items of information that have no security classification and are of limited or no practical value should not be assigned a formal owner or inventoried. Information should be destroyed if there is no legal or operational need to keep it and temporary owners should be assigned within each department to ensure that this is done.

4.6 Information Assets with Short Term or Localised Use

For new documents that have a specific, short term localised use, the creator of the document will be the originator. This includes letters, spreadsheets and reports created by users. All users must be informed of their responsibility for the documents they create.

4.7 Corporate Information Assets

For information assets whose use throughout the councils or Rykneld Homes is widespread and whose origination is as a result of a group or strategic decision, a corporate owner must be designated and the responsibility clearly documented. This should be the person who has the most control over the information.

4.8 Information Storage

All electronic information will be stored on centralised facilities to allow regular backups to take place.

Users are not allowed to access information until a line manager is satisfied that they understand and agree the legislated responsibilities for the information that they will be handling.

Databases holding personal information have a defined security and system management procedure for the records and documentation.

This documentation will include a clear statement as to the use, or planned use of the personal information.

Files which are identified as a potential security risk should only be stored on secure network areas.

5. Disclosure of Information

5.1 Sharing PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) Information with other Organisations

PROTECT, RESTRICTED and OFFICIAL(subject to descriptor) information **must not** be disclosed to any other person or organisation via any insecure method including, but not limited, to the following:

- Paper based methods.
- Fax.
- Telephone.

Where information is disclosed/shared it should only be done so in accordance with a documented Information Sharing Protocol and/or Data Exchange Agreement.

Disclosing PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) or OFFICIAL(subject to descriptor) information to any external organisation is also **prohibited**, unless via the Government Connect Secure Extranet (GCSx) email. Emails sent between Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. addresses are held within the same network and are deemed to be secure. However, emails that are sent outside this closed network travel over the public communications network and are liable to interception or loss. There is a risk that copies of the email are left within the public communications system.

Where GCSx email is available to connect the sender and receiver of the email message, this **must be used** for all external email use and must be used for communicating PROTECT, RESTRICTED and OFFICIAL(subject to descriptor) material. For further information see Email Policy.

An official email legal disclaimer must be contained with any email sent. This can be found in the Email Policy.

The disclosure of PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) information in any way other than via GCSx email is a disciplinary offence. If there is suspicion of a user treating PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) information in a way that could be harmful to the council or Rykneld Homes or to the data subject, then it is be reported to the internal audit section, and the person may be subject to disciplinary procedure.

Any sharing or transfer of the councils or Rykneld Homes information with other organisations must comply with all Legal, Regulatory and Council Policy requirements. In particular this must be compliant with the Data Protection Act 2000, The Human Rights Act 2000 and the Common Law of Confidentiality.

APPENDIX 8 - COMPUTER, TELEPHONE AND DESK USE POLICY

1. Introduction

Modern day business operations and advances in technology have necessitated the wide spread use of computer facilities into most offices within North East Derbyshire District Council, Bolsover District Council and Rykneld Homes Ltd. and, with the advent of portable computers, away from the councils and Rykneld Homes premises.

As such, there is considerable scope for the misuse of computer resources for fraudulent or illegal purposes, for the pursuance of personal interests or for amusement/entertainment. The councils and Rykneld Homes also handle large amounts of PROTECT, RESTRICTED and OFFICIAL information. The security of this information is of paramount importance. Working towards a clear desk policy can help prevent the security of this information from being breached.

The purpose of this document is to establish guidelines as to what constitutes "computer and telephony resources", what is considered to be "misuse" and how users should work towards a clear desk environment.

2. Scope

This policy applies to all users. The definition of users within this policy is intended to include all Departments, partners, employees of Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd, contractual third parties and agents, work experience and volunteers who have access to information systems or information used for Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. purposes.

3. Principles

This policy should be applied whenever users who access information systems or information utilise Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. computer and telephony resources.

Computer and telephony resources include, but are not restricted to, the following:

- Mainframe computers.
- Departmental computers.
- Personal computers.
- Portable laptop computers.
- Terminals.
- Printers.
- Network equipment.
- Telecommunications facilities.

4. Computer Resources Misuse

No exhaustive list can be prepared defining all possible forms of misuse of computer resources. The individual circumstances of each case will need to be taken into account. However, some examples are outlined below:

- Use of computer resources for the purposes of fraud, theft or dishonesty.
- Storing/loading/executing of software for a purpose which is not work related.
- Storing/loading/executing of software:
    - which has not been acquired through approved council or Rykneld Homes procurement procedures, or
    - for which the councils or Rykneld Homes does not hold a valid program licence, or
    - which has not been the subject of formal virus checking procedures.
- Storing/processing/printing of data for a purpose which is not work related.

For further information, users are requested particularly to read the following policies:

- Email Policy (Appendix 1)
- Internet Acceptable Use Policy (Appendix 2)
- Software Policy (Appendix 3)

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5. Clear Desk

North East Derbyshire District Council, Bolsover District Council and Rykneld Homes Ltd. would wish to ensure that all information is held securely at all times. Ideally, work should not be left on desks unattended and should be removed from view when unsupervised.

At the end of each day desks should, wherever possible, be cleared of all documents that contain any marked under the Government Security Classification schemes, these include classifications of PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) or any information relating to staff, clients or customers. This information must be stored in a facility (e.g. lockable safe or cabinet) commensurate with this classification level. If employees find this difficult because of accommodation issues, the matter should be raised with their Line Manager in the first instance.

Unclassified material, together with non North East Derbyshire District Council, Bolsover District Council or Rykneld Homes Ltd and specific operating manuals may be left tidily on desks. A definition of the Government marking schemes can be found in the ICT Policy Summary Document.

Documents should not be left lying on printers, photocopiers or fax machines.

Users of IT facilities are responsible for safeguarding data by ensuring that equipment is not left logged-on when unattended, and that portable equipment in their custody is not exposed to opportunistic theft.

Computer screens must be locked to prevent unauthorised access when unattended and screens should lock automatically after a 10 minute period of inactivity, in order to protect information. A screen saver with password protection enabled must be used on all PCs. Attempts to tamper with this security feature will be investigated and could lead to disciplinary action. The screen saver should be the one supplied by IT, no personal screen savers are to be used.

Users of hot desk stations must ensure that it is left in the state in which it was found.

Remember, when you are not working at your workstation there could be a business requirement for other users to use that station.

6. Legislation

Users should understand the relevant legislation relating to Information Security and Data Protection, and should be aware of their responsibilities under this legislation. The following statutory legislation governs aspects of the councils and Rykneld Homes information security arrangements. This list is not exhaustive:

- The Freedom of Information Act 2000.
- The Human Rights Act 1998.
- The Electronic Communications Act 2000.
- The Regulation of Investigatory Powers Act 2000.
- The Data Protection Act 1998.
- The Copyright Designs and Patents Act 1988.
- The Computer Misuse Act 1990.
- The Environmental Information Regulations 2004.
- The Re-use of Public Sector Information Regulations 2005.

Individuals can be held personally and legally responsible for breaching the provisions of the above Acts. Familiarisation with, and adherence to, the policies within this document will protect employees from breach of the provisions of the legislation mentioned above.

APPENDIX 9 - REMOTE WORKING

1. Introduction

Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. provide portable computing devices to assist users to conduct official councils or Rykneld Homes business efficiently and effectively. This equipment, and any information stored on portable computing devices, should be recognised as valuable organisational information assets and safeguarded appropriately.

2. Scope

This policy applies to all users. The definition of users within this policy is intended to include all Departments, partners, employees of North East Derbyshire District Council, Bolsover District Council & Rykneld Homes Ltd, contractual third parties and agents, work experience and volunteers who use Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd IT facilities and equipment when working on official business away from the organisation (ie working remotely), or who require remote access to Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd information Systems or information.

3. Principles

Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. information systems or information must not be accessed whilst outside the United Kingdom regardless of who owns the IT equipment.

Portable computing devices include, but are not restricted to, the following:

- Laptop computers.
- Smartphones
- Tablets
- Tablet PCs.
- PDAs.
- Palm pilots.
- Mobile phones.
- Text pagers.
- Wireless technologies.

4. Applying the Policy

All IT equipment (including portable computer devices) purchased for users by one of the Councils or Rykneld Homes is the property of the purchaser. It must be returned upon

the request of the purchaser. Access for ICT Services users of North East Derbyshire District Council or partners shall be given to allow essential maintenance security work or removal, upon request.

All IT equipment will be supplied and installed by North East Derbyshire District Council ICT Service staff.   Hardware and software **must only** be provided by the purchasers.

Where users access Central Government IT systems including secure email, **under no circumstances** should non-Council owned equipment be used.

Definition of the national protective marking scheme can be found in the PSN acceptable usage policy (see appendix 5).

5. User Responsibility

It is the user's responsibility to ensure that the following points are adhered to at all times:

- Users must take due care and attention of portable computer devices when moving between home and another business site.
- Users will not install or update any software on to a council or Rykneld Homes owned portable computer device.
- Users will not install any screen savers on to a council or Rykneld Homes owned portable computer device.
- Users will not change the configuration of any council or Rykneld Homes owned portable computer device.
- Users will not install any hardware to or inside any councils or Rykneld Homes owned portable computer device, unless authorised by North East Derbyshire District Council ICT department.
- Users will allow the installation and maintenance of Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd installed Anti Virus updates immediately.
- Users will inform the ICT Section of any council or Rykneld Homes owned portable computer device message relating to configuration changes.
- Business data should be stored on a councils or Rykneld Homes file and print server wherever possible and not held permanently on the portable computer device
- All faults must be reported to the ICT Section.
- Users must not remove or deface any asset registration number.
- Users registration must be requested from the ICT Section. Users must state which applications they require access to.
- Users requests for upgrades of hardware or software must be approved by a line manager. Equipment and software will then be purchased and installed by ICT Services.
- The IT equipment can be used for personal use by users so long as it is not used in relation to an external business and does not conflict with Council business or policies. Only software supplied and approved by Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. can be used (e.g. Word, Excel, Adobe, etc.).

- No family members may use the ICT equipment. The ICT equipment is supplied for the users sole use.
- The user must ensure that reasonable care is taken of the IT equipment supplied. Where any fault in the equipment has been caused by the user, in breach of the above paragraphs, Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. may recover the costs of repair.
- The user must not take any council or Rykneld Homes supplied ICT equipment outside the United Kingdom as the equipment may not be covered by the councils or Rykneld Homes normal insurance against loss or theft and it is liable to be confiscated by airport security personnel.
- Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. may at any time, and without notice, request a software and hardware audit, and may be required to remove any equipment at the time of the audit for further inspection. All users must co-operate fully with any such audit.
- Any user who chooses to undertake work at home or remotely in relation to their official duties using their own IT equipment must understand that they are not permitted to hold any database, or carry out any processing of PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) information relating to the councils, Rykneld Homes, its employees, or customers. **Under no circumstances** should personal or security marked information be emailed to a private non-council or Rykneld Homes email address. For further information, please refer to the Email Policy.
- Any data transferred from Council systems must only be undertaken using a Council provided encrypted memory stick.
- Any member of users accessing PSN type services or facilities, or using PSN PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) information, must only use councils or Rykneld Homes owned equipment which has appropriate technical security and advanced authentication mechanisms whilst working remotely.
- Users should not leave computer devices in unattended vehicles.
- Any loss of equipment should be reported immediately to the ICT Service Desk and, if appropriate, to the Data Protection Officer.

6. Remote and Mobile Working Arrangements

Users should be aware of the physical security dangers and risks associated with working within any remote office or mobile working location.

Equipment should not be left where it would attract the interests of the opportunist thief. In the home it should also be located out of sight of the casual visitor. For home working it is recommended that the office area of the house should be kept separate from the rest of the house. Equipment must be secured whenever it is not in use

Users must ensure that access / authentication tokens and personal identification numbers are kept in a separate location to the portable computer device at all times. No removable media devices or paper documentation should be stored with the portable computer device.

Paper documents are vulnerable to theft if left accessible to unauthorised people, and the onus is on the employee to maintain confidentiality. Documents should be

collected from printers as soon as they are produced and not left where they can be casually read. Waste paper containing PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) information must be shredded.

7. Access Controls

It is essential that access to all PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) information is controlled.   This can be done through physical controls, such as locking the home office or locking the computer's keyboard. Alternatively, or in addition, this can be done logically such as by password controls or user login controls.

Portable computer devices should be switched off, logged off, or the keyboard locked when left unattended, even if only for a few minutes.

All data on portable computer devices must, where possible, be encrypted. If this is not possible, then all PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) data held on the portable device must be encrypted. Personal data can only be stored on encrypted devices. It is ICTs responsibility to provide encrypted devices and the employees to ensure they are used.

An SSL or IPSec VPN must be configured to allow remote users access to the councils or Rykneld Homes systems if connecting over Public Networks, such as the Internet. If connecting to PSN resources, this **must** be an IPSec-VPN.

Dual-factor authentication must be used when accessing the council network and information systems (including Outlook Web Access) remotely via both the council or Rykneld Homes owned and non-council owned equipment

Access to the Internet from Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. owned ICT equipment, should only be allowed via onward connection to the councils or Rykneld Homes provided proxy servers and not directly to the Internet. It is the employees responsibility to ensure this.

8. Anti Virus Protection

Users who work remotely must ensure that the anti Virus software is kept up-to-date on their portable computer devices by either connecting to the corporate network or the Internet (depending on how the device is configured) at least once every two weeks to enable the anti virus software to be updated.

9. Users Awareness

All users must comply with appropriate codes and policies associated with the use of IT equipment as contained within the Information Security Policy and its appendices.

It is the user's responsibility to ensure their awareness of and compliance with these.

The user shall ensure that appropriate security measures are taken to stop unauthorized access to PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) information, either on the portable computer device or in printed format. Users are bound by the same requirements on confidentiality and Data Protection as Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. are.

APPENDIX 10 - REMOVABLE MEDIA POLICY

1. Introduction

This policy establishes the principles and working practices that are to be adopted by all users in order for data to be safely stored and transferred on removable media.

This policy aims to ensure that the use of removable media devices is controlled in order to:

- Enable the correct data to be made available where it is required.
- Maintain the integrity of the data.
- Prevent unintended or deliberate consequences to the stability of North East Derbyshire District Council, Bolsover District Council or Rykneld Homes Ltd. computer network.
- Avoid contravention of any legislation, policies or good practice requirements.
- Build confidence and trust in the data that is being shared between systems.
- Maintain high standards of care in ensuring the security of Protected and Restricted information.
- Prohibit the disclosure of information as may be necessary by law.

A definition of the national protective marking scheme and government security classifications can be found in the PSN acceptable usage policy (see appendix 5).

2. Scope

This policy applies to all users. The definition of users within this policy is intended to include all Departments, partners, employees of Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd, contractual third parties and agents, work experience and volunteers who have access to North East Derbyshire District Council, Bolsover District Council or Rykneld Homes Ltd. information systems or IT equipment and intends to store any information on removable media devices.

3. Principles

Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. will ensure the controlled use of removable media devices to store and transfer information by all users who have access to information, information systems and IT equipment for the purposes of conducting official councils or Rykneld Homes business.

Removable media devices include, but are not restricted to the following

- CDs.
- DVDs.
- Optical Disks.
- External Hard Drives.
- USB Memory Sticks (also known as pen drives or flash drives).
- Media Card Readers.
- Embedded Microchips (including Smart Cards and Mobile Phone SIM Cards).
- MP3 Players.
- Digital Cameras.
- Backup Cassettes.
- Audio Tapes (including Dictaphones and Answering Machines)
- Video tapes

4. Risks

Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. recognises that there are risks associated with users accessing and handling information in order to conduct official council or Rykneld Homes business. Information is used throughout the councils and Rykneld Homes and sometimes shared with external organisations and applicants. Securing PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) data is of paramount importance – particularly in relation to the council's need to protect data in line with the requirements of the Data Protection Act 1998   Any loss of the ability to access information or interference with its integrity could have a significant effect on the efficient operation of the councils or Rykneld Homes. It is therefore essential for the continued operation of the councils and Rykneld Homes that the confidentiality, integrity and availability of all information recording systems are maintained at a level, which is appropriate to the councils and Rykneld Homes needs.

5. Restricted Access to Removable Media

It is Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. policy to prohibit the use of all removable media devices without approval. The use of removable media devices will only be approved if a valid business case for its use is developed. There are large risks associated with the use of removable media, and therefore clear business benefits that outweigh the risks must be demonstrated before approval is given.

Requests for access to, and use of, removable media devices must be made to the IT Section. Approval for their use must be given by the ICT Manager, this should be done via a request to the service desk. This applies to the devices themselves, including memory sticks but not the media such as CD's, DVD's and audio and video tapes.

Should access to, and use of, removable media devices be approved the following sections apply and must be adhered to at all times.

6. Procurement of Removable Media

All removable media devices, including memory sticks, and any associated equipment and software must only be purchased and installed by ICT Services. Procurement of consumable media such as CD's, DVD's and audio and visual may be procured through standard procurement channels. Non-council owned removable media devices and media **must not** be used to store any information used to conduct official council or Rykneld Homes business, and **must not** be used with any council or Rykneld Homes owned or leased IT equipment.

The only equipment and media that should be used to connect to councils or Rykneld Homes equipment or the councils or Rykneld Homes network is equipment and media that has been purchased by the councils or Rykneld Homes and approved by the ICT Section or has been sanctioned for use by the IT Manager.

7. Security of Data

Data that is only held in one place and in one format is at much higher risk of being unavailable or corrupted through loss, destruction or malfunction of equipment than data which is frequently backed up. Therefore removable media should not be the only place where data obtained for the councils or Rykneld Homes purposes is held. Copies of any data stored on removable media must also remain on the source system or networked computer until the data is successfully transferred to another networked computer or system. For further information please see the Remote Working Policy (see Appendix 9).

In order to minimise physical risk, loss, theft or electrical corruption, all storage media must be stored in an appropriately secure and safe environment.

Each user is responsible for the appropriate use and security of data and for not allowing removable media devices, and the information stored on these devices, to be compromised in any way whist in their care or under their control.

All data stored on removable media devices must, where possible, be encrypted. If this is not possible, then all PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) data or personal or sensitive data held must be encrypted.

Users should be aware that the councils and Rykneld Homes will audit / log the transfer of data files to and from all removable media devices and council or Rykneld Homes owned IT equipment.

8. Incident Management

It is the duty of all users to immediately report any actual or suspected breaches in information security to the ICT Section who will access the breach to determine the

appropriate course of action. The Data Protection Officer should also be informed where appropriate.

Any misuse or irresponsible actions that affect business data, or any loss of data, should be reported as a security incident to the ICT Manager as referenced in the Information Security Incident Management Policy (see Appendix 11).

9. Third Party Access to Council or Rykneld Homes Information

No third party (external contractors, partners, agents, the public or non-employee parties) may receive data or extract information from the councils or Rykneld Homes network, information stores or IT equipment without explicit agreement from the ICT Manager.

Should third parties be allowed access to the councils or Rykneld Homes information then all the considerations of this policy apply to their storing and transferring of the data.

10. Preventing Information Security Incidents

Damaged or faulty removable media devices must not be used. It is the duty of all users to contact the ICT Section should removable media be damaged and return to ICT for secure disposal.

Virus and malware checking software approved by the ICT Section must be operational on any device managed and owned by the Council. It is the users responsibility to ensure appropriate and up to date virus and malware software is operational on any non Council device that the removable media device is connected to or seek assurances to that effect.

Whilst in transit or storage the data held on any removable media devices must be given appropriate security according to the type of data and its sensitivity. Encryption or password control must be applied to the data files unless there is no risk to the councils or Rykneld Homes, other organisations or individuals from the data being lost whilst in transit or storage.

11. Disposing of Removable Media Devices

Removable media devices that are no longer required, or have become damaged, must be disposed of securely to avoid data leakage. Any previous contents of any reusable media that are to be reused, either within the councils or Rykneld Homes or for personal use, must be erased. This must be a thorough removal of all data from the media to avoid potential data leakage using specialist software and tools. **All removable media devices that are no longer required, or have become damaged, must be returned to ICT Services for secure disposal.**

For advice or assistance on how to thoroughly remove all data, including deleted files, from removable media contact the ICT Section.

12. Users Responsibility

All considerations of this policy must be adhered to at all times when using all types of removable media devices.

APPENDIX 11 - INFORMATION SECURITY INCIDENT MANAGEMENT POLICY

1. Introduction

This policy needs to be applied as soon as information systems or data are suspected to be, or are actually affected by an adverse event which is likely to lead to a security incident.

The definition of an "information management security incident" ('Information Security Incident' in the remainder of this policy and procedure) is an adverse event that has caused or has the potential to cause damage to an organisation's assets, reputation and / or personnel. Incident management is concerned with intrusion, compromise and misuse of information and information resources, and the continuity of critical information systems and processes.

An information security incident includes, but is not restricted to, the following (see paragraph *** below for more detailed examples):

- The loss or theft or corruption of data or information.
- The transfer of data or information to those who are not entitled to receive that information.
- Attempts (either failed or successful) to gain unauthorised access to data or information storage or a computer system.
- Changes to information or data or system hardware, firmware, or software characteristics without the council's knowledge, instruction, or consent.
- Unwanted disruption or denial of service to a system.
- The unauthorised use of a system for the processing or storage of data by any person.

2. Scope

This policy applies to all users. The definition of users within this policy is intended to include all Departments, partners, employees of Bolsover District Council, North East Derbyshire District Council & Rykneld Homes Ltd, contractual third parties and agents, work experience and volunteers who have access to Bolsover District Council, North East Derbyshire District Council or Rykneld Homes Ltd. information systems or IT equipment.

All users **must** understand and adopt use of this policy and are responsible for ensuring the safety and security of the councils or Rykneld Homes systems and the information that they use or manipulate.

All users have a role to play and a contribution to make to the safe and secure use of technology and the information that it holds.

Examples of the most common Information Security Incidents are listed below. It should be noted that this list is not exhaustive.

Malicious

- Giving information to someone who should not have access to it - verbally, in writing or electronically.
- Computer infected by a Virus or other malware.

- Receiving unsolicited mail of an offensive nature.
- Receiving unsolicited mail which requires you to enter personal data.
- Finding data that has been changed by an unauthorised person.
- Receiving and forwarding chain letters – including virus warnings, scam warnings and other emails which encourage the recipient to forward onto others.
- Unknown people asking for information which could gain them access to council data (e.g. a password or details of a third party).

Misuse

- Use of unapproved or unlicensed software on Bolsover District Council, North East Derbyshire District Council or Rykneld Homes Ltd. equipment.
- Accessing a computer database using someone else's authorisation (e.g. someone else's user id and password).
- Sending a sensitive e-mail to 'all staff' by mistake
- Writing down your password and leaving it on display / somewhere easy to find.
- Printing or copying confidential information and not storing it correctly or confidentially.

Theft / Loss

- Theft / loss of a hard copy file.
- Theft / loss of any Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. computer equipment.

4. Procedure for Incident handling

Events and weaknesses need to be reported at the earliest possible stage as they need to be assessed by the ICT section in order to identify when a series of events or weaknesses have escalated to become an incident. It is vital for the ICT section to gain as much information as possible from the business users to identify if an incident is occurring.

The following sections detail how users must report information security events or weaknesses.

4.1 Reporting Information Security Events for all Employees

Security events, for example a virus infection, could quickly spread and cause data loss across the organisation. All users must understand, and be able to identify that any unexpected or unusual behaviour on the workstation could potentially be a software malfunction. If an event is detected users **must**:

- Note the symptoms and any error messages on screen.
- Disconnect the workstation from the network if an infection is suspected (with assistance from ICT support staff.
- Not use any removable media (for example USB memory sticks) that may also have been infected.

All suspected security events should be reported immediately to the ICT Service Desk on ext 3001 or external number 01246 217103.

If the Information Security event is in relation to paper or hard copy information, for example personal information files that may have been stolen from a filing cabinet, this must be reported immediately to senior management and the Data Protection Officer for the impact to be assessed.

The ICT Section will require you to supply further information, the nature of which will depend upon the nature of the incident. However, the following information must be supplied:

- Contact name and number of person reporting the incident.
- The type of data, information or equipment involved.
- Whether the loss of the data puts any person or other data at risk.
- Location of the incident.
- Inventory numbers of any equipment affected.
- Date and time the security incident occurred.
- Location of data or equipment affected.
- Type and circumstances of the incident.

The Data Protection Officer will require:

- A contact name and number of the person reporting the incident
- Type of data
- Details of steps already taken

4.2 Reporting Information Security Weaknesses for all Employees

Security weaknesses, for example a software malfunction, must be reported through the same process as security events. Users must not attempt to prove a security weakness as such an action may be considered to be misuse.

Weaknesses reported to application and service providers by employees must also be reported internally to ICT Services. The service provider's response must be monitored and the effectiveness of its action to repair the weakness must be recorded by ICT Services.

4.3 Collection of Evidence

If an incident may require information to be collected for an investigation strict rules must be adhered to. The collection of evidence for a potential investigation must be approached with care. Internal Audit must be contacted immediately for guidance and strict processes must be followed for the collection of forensic evidence. If in doubt about a situation, for example concerning computer misuse, contact the ICT Section for advice.

The actions required to recover from the security incident must be under formal control. Only identified and authorised users should have access to the affected systems during the incident and all of the remedial actions should be documented in as much detail as possible.

The officer responsible for an incident should risk assess the incident based on the Risk Impact Matrix

4.4 Risk Impact Matrix

To decide on the potential or actual impact of an information security incident, the impact matrix below should be used.

Type of Impact	Reputational Media and Member Damages	Reputational Loss within Government and / or Failure to Meet Statutory / Regulatory Obligations	Contractual Loss	Failure to meet Legal Obligations	Financial Loss / Commercial Confidentiality Loss	Disruption to Activities	Personal Privacy Infringement
	None	None	None	None	None	None	None
Low	Contained internally within the council or Rykneld Homes Unfavorable council member response	Internal investigation or disciplinary involving one individual	Minor contractual problems / minimal SLA failures	Civil lawsuit / small fine - less than £10K	Less than £100,000	Minor disruption to service activities that can be recovered	Personal details revealed or compromised within department
Medium	Unfavorable local media	Government authorised investigation by	Significant client dissatisfaction. Major SLA	Less than £100K Damages	£100,000 - £500,000	Disruption to service that can be recovered	Personal details revealed or compromised

 Orange	interest Unfavorable council member response	nationally recognised body or disciplinary involving 2 to 9 people	failures. Failure to attract new business	and fine		with an intermediate level of difficulty. One back up not backing up for 2 or more days	internally within authority. Harm mental or physical to one member of staff or public
High	Sustained local media coverage, extending to national media coverage in the short term	Government intervention leading to significant business change. Internal disciplinary involving 10 or more people	Failure to retain contract(s) at the point of renewal	Greater than £100K damages and fine	£500,000 - £1,000,000	Major disruption to service which is very difficult to recover from. Two or more systems not being backed up for two or more days	Severe embarrassment to individual(s)

Sustained unfavorable national media coverage	Service or product outsourced through Government intervention	Client contract(s) cancelled	Over £1M damages and / or fine Custodial sentence(s) imposed	More than £1,000,000	Catastrophic disruption - service activities can no longer be continued	Detrimental effect on personal & professional life OR large scale compromise affecting many people. Harm mental or physical to two or more members of staff or public

APPENDIX 12 - IT INFRASTRUCTURE SECURITY POLICY

1. Introduction

The purpose of this policy is to establish standards in regard to the physical and environmental security of the councils and Rykneld Homes information, in line with section A9 of ISO/IEC/27001.

In order to ensure the continued protection of the personal, confidential and protectively marked information(see Glossary) information that Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. holds and uses, and to comply with legislative requirements, information security best practice, and, newly mandated security frameworks such as those attending credit and debit card transactions and access to the Public Services Network(PSN), access to Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd. information equipment and information must be protected.

Definition of the national protective marking scheme can be found in the PSN acceptable usage policy (appendix 5).

This protection may be as simple as a lock on a filing cabinet or as complex as the security systems in place to protect the councils and Rykneld Homes IT data centre. The protection required needs to be appropriate to the level of information held and the consequential risks of unauthorised access. No service should fall below the baseline security standard level of protection required for their teams and locations.

2. Scope

This policy applies to all users. The definition of users within this policy is intended to include all departments, partners, employees of Bolsover District Council, North East Derbyshire District Council and Rykneld Homes Ltd, contractual third parties and agents, work experience and volunteers who have access to Bolsover District Council, North East Derbyshire District Council

or Rykneld Homes Ltd. information equipment and information (electronic and paper records). They are responsible for ensuring the safety and security of the councils and Rykneld Homes equipment and the information that they use or manipulate.

3. Principles

There shall be no unauthorised access to either physical or electronic information within the custody of the councils or Rykneld Homes.

Protection shall be afforded to:

- Records containing sensitive data/personal information.
- IT equipment used to access electronic data.
- IT equipment used to access the councils and Rykneld Homes network.

This policy applies to all users of the councils or Rykneld Homes owned or leased / hired facilities and equipment. The policy defines what paper and electronic information belonging to the councils and Rykneld Homes should be protected and, offers guidance on how such protection can be achieved. This policy also describes employee roles and the contribution users make to the safe and secure use of information within the custody of the councils and Rykneld Homes.

This policy should be applied whenever a user accesses the councils or Rykneld Homes information or information equipment. This policy applies to all locations where information within the custody of the councils or Rykneld Homes or information processing equipment is stored, including remote sites.

4. Secure Areas

PROTECT, RESTRICTED and OFFICIAL(subject to descriptor)information **must** be stored securely. A risk assessment should identify the **appropriate** level of protection to be implemented to secure the information being stored.

Physical security must begin with the building itself and an assessment of perimeter vulnerability must be conducted. The building must have **appropriate** control mechanisms in place for the type of information and equipment that is stored there. These could include, but are not restricted to, the following:

- Alarms fitted and activated outside working hours.
- Window and door locks.
- Window bars on lower floor levels.
- Access control mechanisms fitted to all accessible doors (where codes are utilised they should be regularly changed and known only to those people authorised to access the area/building).
- CCTV cameras.
- Staffed reception area.
- Protection against damage - e.g. fire, flood, vandalism.

Access to secure areas such as the data centre and ICT equipment rooms must be adequately controlled and physical access to buildings should be restricted to authorised persons. Users working in secure areas should challenge anyone not wearing a staff or visitor badge. Each department must ensure that doors and windows are properly secured at the end of each working day.

Identification and access tools/passes (e.g. badges, keys, entry codes etc.) must only be held by officers authorised to access those areas and should not be loaned/provided to anyone else.

Visitors to secure areas are required to sign in and out with arrival and departure times and are required to wear an identification badge.   A council ICT employee must monitor all visitors accessing secure ICT areas at all times.

Keys to all secure areas housing ICT equipment and lockable ICT cabinets are held centrally by the ICT department, as appropriate. Keys are not stored near these secure areas or lockable cabinets.

In all cases where security processes are in place, instructions must be issued to address the event of a security breach.

If a user leaves outside normal termination circumstances, all identification and access tools/passes (e.g. badges, keys etc.) should be recovered from the users and any door/access codes should be changed immediately. Please also refer to the ICT Access Policy and Human Resources Information Security Standards.

5. Non-Electronic Information Security

Paper based (or similar non-electronic) information must be assigned an owner and a classification as stated in Information Protection Policy. If it is classified as PROTECT, RESTRICTED or OFFICIAL(subject to descriptor), information security controls to protect it must be put in place. A risk assessment should identify the appropriate level of protection for the information being stored. Paper in an open office must be protected by the controls for the building and via appropriate measures that could include, but are not restricted to, the following:

- Filing cabinets that are locked with the keys stored away from the cabinet.
- Locked safes.
- Stored in a Secure Area protected by access controls.

6. Equipment Security

All general computer equipment must be located in suitable physical locations that:

- Limit the risks from environmental hazards – e.g. heat, fire, smoke, water, dust and vibration.

- Limit the risk of theft – e.g. **if necessary** items such as laptops should be physically attached to the desk.
- Allow workstations handling sensitive data to be positioned so as to eliminate the risk of the data being seen by unauthorised people.

Desktop PCs should not have data stored on the local hard drive. Data should be stored on the network file servers where appropriate. This ensures that information lost, stolen or damaged via unauthorised access can be restored with its integrity maintained.

All servers located outside of the data centre must be sited in a physically secure environment. Business critical systems should be protected by an Un-interrupted Power Supply (UPS) to reduce the operating system and data corruption risk from power failures. The equipment must not be moved or modified by anyone without authorisation from ICT Services.

All items of equipment must be recorded on an inventory, both on the departmental and the information services inventory. Procedures should be in place to ensure inventories are updated as soon as assets are received or disposed of.

All equipment must be security marked and have a unique asset number allocated to it. This asset number should be recorded in the departmental and the ICT inventories.

For portable computer devices please refer to the Remote Working Policy (appendix 9).

7. Cabling Security

Cables that carry data or support key information services must be protected from interception or damage. Power cables should be separated from network cables to prevent interference. Network cables should be protected by conduit and where possible avoid routes through public areas, Health and Safety guidance should be sought if in any doubt.

8. Security of Equipment off Premises

The use of equipment off-site must be formally approved by the user's line manager. Equipment taken away from Bolsover District Council, North East Derbyshire District Council or Rykneld Homes Ltd. premises is the responsibility of the user and should:

- Be logged in and out, where applicable.
- Not be left unattended.
- Concealed whilst transported.
- Not be left open to theft or damage whether in the office, during transit or at home.
- Where possible, be disguised (e.g. laptops should be carried in less formal bags).
- Be encrypted if carrying PROTECT, RESTRICTED or OFFICIAL(subject to descriptor) information.
- Be password protected.
- Be adequately insured.

Further information can be found in the Removable Media Policy (appendix 10) and Remote Working Policy (appendix 9).

Users should ensure, where necessary and required, that insurance cover is extended to cover equipment which is used off site. Users should also ensure that they are aware of and follow the requirements of the insurance policy. Any losses / damage must be reported to the ICT Department who will inform Internal Audit, the Finance Section and the Data Protection Officer.

Users should be aware of their responsibilities in regard to Data Protection and be conversant with the Data Protection Act.

9. Secure Disposal or Re-use of Equipment

Equipment that is to be reused or disposed of must be returned to ICT for data removal.

Software media or services must be returned to ICT to be destroyed to avoid the possibility of inappropriate usage that could break the terms and conditions of the licences held.

APPENDIX 13 - ICT INDUCTION DECLARATION

ICT INDUCTION DECLARATION

NAME: _____

DEPARTMENT: _____

COURSE TITLE: ICT Induction

DATE OF ATTENDANCE: _____

I confirm that I have attended the above course and have been fully advised in respect of the Council's policies governing usage of the ICT facilities including the Internet and E-mail systems.

I undertake to comply with all ICT Policies during my period of employment with the Council/Rykneld Homes Ltd*. (* delete as applicable)

Equality Impact Assessment

Name of policy, practice, service or function: **IT Security Policy**

Responsible department: ……Joint IT Service……………………………………………….

Service area: …………………………………………………………………..

Lead Officer: Lee Thompson…………………………………………………………………...

Other members of assessment team

Name	Position	Area of expertise
Lee Thompson		
Liz Ball	Business Development Manager	
Lynne Cheong	Equality Improvement Officer	
Amar Bashir	Policy Officer	

1	**What are the main aims/objectives or purpose of the policy, strategy, practice, service or function?**	To ensure continued delivery of services to organisations using the Joint IT Service To maintain public confidence through the highest standards of information security. To ensure compliance with relevant legislation for public bodies/providers of public services.
2	**Are there any external factors we need to consider like changes in legislation?**	N/A
3	**Who implements the policy, strategy, practice, service or function?**	Joint IT Service
4	**Who is affected by the policy, strategy, practice, service or function?**	Staff in all named organisations covered by the policies Residents & customers - vulnerability
5	**What outcomes do we want to achieve, why & for whom?**	Protected & secure data
6	**What existing evidence do you have on the impact of the policy, strategy, practice, service or function?**	
7	**How is information about the policy, practice, service or function publicised?**	Policies available to employees via publication on intranet. Relevant policies included in induction packs for all new employees.

Identifying Potential Equality Issues

Consider any impacts / barriers on each of the protected characteristics set out below and consider any that might cross over eg: between race / disability, gender / religion and belief, sexuality / age etc. Indicate where the policy, practice, service or function could have a positive or negative impact for different groups and your reasons. Specify which data sources have informed your assessment.

Race

8	Identify any adverse impacts/barriers of the policy or procedure on people who may be disadvantaged because of their race		
	White	English / Welsh / Scottish / Northern Irish / British	**N/A**
		Irish	
		Gypsy or Irish Traveller	
		Any other White background	
	Asian / Asian British	Indian	
		Pakistani	
		Bangladeshi	
		Chinese	
		Any other Asian background	
	Black / African / Caribbean / Black British	African	
		Caribbean	
		Any other Black / African / Caribbean / Black British background	
	Any other ethnicity	Arab	
		Any other ethnic group	

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Sex / gender

9	Identify any adverse impact/barriers of policy, practice, service or function on people who may be disadvantaged because of their gender	
	Female	N/A
	Male	
	Transgender	

Age

10	Identify any adverse impact/barriers of policy, practice, service or function on people who may be disadvantaged because of their age	
	0-9 years	N/A
	10-15 years	
	16-18 years	
	19-24 years	
	25-34 years	
	35-44 years	
	45-54 years	
	55-59 years	
	60-64 years	
	65 years and over	

Disability		
11	**Identify any adverse impact/barriers of policy, practice, service or function on people who may be disadvantaged because of their disability or long term ill health**	
	Physical or mobility impairments	N/A
	Sensory (hearing, visual, speech)	
	Mental health	
	Learning disabilities	
	Non-visible conditions such as epilepsy or diabetes	

Religion or belief

12	**Identify any adverse impact/barriers of policy, practice, service or function on people who may be disadvantaged because of their religion or belief, including non belief**	
	No religion	N/A
	Christian	
	Buddhist	
	Hindu	
	Jewish	
	Muslim	
	Sikh	
	Any other religion	

12	**Identify any adverse impact/barriers of policy, practice, service or function on people who may be disadvantaged because of their religion or belief, including non belief**
	Any other philosophical belief	

	Sexual orientation

13	**Identify any adverse impact/barriers of policy, practice, service or function on people who may be disadvantaged because of their sexual orientation**	
	Heterosexual	N/A
	Lesbian	
	Gay	
	Bisexual	
	Prefer not to say	

	Other categories

13	**Identify any adverse impact/barriers of policy, practice, service or function on people who may be disadvantaged because of other factors**	
	Rural / urban	
	Carers	
	Child poverty	
	Social value	
	Any other	Remote working Access to secure data held with regard to vulnerable people; disabled customers; victims of crime; employees; frail & elderly residents. Reasonable adjustments for disabled staff are made via individual workplace assessment, so needs are met.

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Analysing the information and setting equality objectives and targets

Service or function	Policy or practice	Findings	Which groups are affected and how	Whose needs are not being met and how?

Document the evidence of analysis

Data or information	When and how was it collected?	Where is it from?	What does it tell you?	Gaps in information
Customer feedback and complaints	IT user survey			
Consultation and community involvement				
Performance information including Best Value	Performance Information collected			
Take up and usage data	Potential to collect data on home working etc, as per IT Strategy.			
Comparative	Regional statistics	East Midlands Government Warning,		

Data or information	When and how was it collected?	Where is it from?	What does it tell you?	Gaps in information
information or data where no local information available	from local authorities on security breaches.	Advice and Reporting Point (EMGWARP) http://www.emcouncils.gov.uk/emgwarp-network		
Census, regional or national statistics	N/A			
Access audits or other disability assessments	HR individual workplace assessments for disabled employees.			
Workforce profile	Workforce data available for all participating organisations.			
Where service delivered under procurement arrangements – workforce profile	N/A			
Monitoring and scrutiny arrangements	Any security issues addressed as and when they arise by senior managers (Strategic Alliance Management Team, Joint Management			

Data or information	When and how was it collected?	Where is it from?	What does it tell you?	Gaps in information
	Board, Data Protection Officers).			

Recommendations and Decisions

Take immediate action by:

Amending the policy, strategy, practice, service or function	
Use an alternative policy, strategy, practice, service or function	
Develop equality objectives and targets for inclusion in the service plan	
Initiate further research	
Any other method (please state)	

All actions must be listed in the following Equality Impact Assessment Improvement Plan Summary

Equality Impact Assessment Improvement Plan Summary

Name of policy, practice, strategy, service or function ……………………………

Department ……………………………………………………………………………

Date of assessment ……………………………………………………………………….

Please list all actions, recommendations and/or decisions you plan to take as a result of the equality impact assessment.

Recommendation/Decision	Action Required	Responsible Officer	Target Date	Resources	Progress	Actual Outcome

Please state where the departmental electronic assessment will be kept:

……………………………………………………………………………….

EIA Assessment Group

Date of assessment		
Sub group approval	Yes / No	
Subject to minor amendments	Yes / No	
Date published on corporate website		

Copies of all EIAs are stored on PERFORM.

The Council publishes its Equality Impact Assessments as evidence of the analysis that it undertook to establish whether its policies, strategies, practices, services and functions would further or would have furthered the 3 aims of the general equality duty, details of the information that it considered and details of engagement undertaken when doing the analysis.

The general duty requires the council to:
- Eliminate discrimination, harassment & victimisation
- Advance equality
- Foster good relations between different groups

Bolsover District Council

Executive

16th June 2014

Growth Strategy

Report of the Chief Executive Officer (Portfolio Holder: Cllr E Watts)

This report is public.

Purpose of the Report

- To present the Growth Strategy to Executive for approval.
- To approve an initial Growth Fund to support the implementation of the Growth Strategy

1   Report Details

1.1   Following the LGA Peer Review last year Bolsover and North East Derbyshire jointly applied for funding from the LGA to support the development of a growth strategy for each council. The bid was successful and in December a specialist consultant -David Howells was appointed to support the development of the growth strategy. The bid provided 14 days support for both councils.

1.2   Since the Strategic Alliance both Council's have achieved a great deal, however the Council recognises that further cuts in government grant will make maintaining and building on these achievements more challenging in the future. This strategy is about unlocking the potential to deliver growth through central government programmes such as New Homes Bonus and the Business Rate Retention Scheme. The strategy is about maximising opportunities to ensure our long term viability.

1.3   Once the growth strategy has been approved by members it will be corporately designed for publication. Work will then begin on reviewing and refreshing the Corporate Plan. Both documents will need to complement each other and will provide direction to the Council over the coming years against the back drop of continuing financial pressures as a result of government spending cuts.

1.4   In order to kick start the Growth Strategy a fund of £25,000 is requested to support a marketing and promotional campaign as well as the purchase of appropriate databases. This will ensure that the Council has access to intelligence which is both accurate and up to date, for example business information on the number and type of businesses which export and the value of that activity. On the basis that this activity is successful it would need to continue into future financial years and accordingly consideration will need to be given to incorporating this level of funding into the Council's base budget.

2   Conclusions and Reasons for Recommendation

2.1   The strategy sets out our growth ambition, priorities and the approach that we will take to enable the growth of the local economy to create stability and prosperity.

2.2   The strategy has been developed in line with the LEP Economic Plans for Sheffield City Region and D2N2 (Derby/Derbyshire/Nottingham/Nottinghamshire) to ensure that we support the delivery of the wider regional growth, achieve maximum leverage and improve collaboration.

2.3   A growth fund is essential in order to maximise the impact of the LEP funding within the district. This budget will provide the resources to raise the profile of the business base regionally, nationally and internationally.

3   Consultation and Equality Impact

3.1   To assist the development of the growth strategy a number of workshops have been held with officers and elected members. These have helped shape the strategy.

3.2   Consultation events have also been held with the local business community and with representatives from the LEPs.

3.3   An Equality Impact Assessment has not been completed at this point as the strategy is high level and largely aimed at our relationship with private sector clients as opposed to citizens. Some of the transformational intervention projects which form the action plan may require Equality Impact Assessments to be completed as part of the business case and may require further consultation.

4   Alternative Options and Reasons for Rejection

4.1   A number of projects have been identified during the development of the strategy. These have been refined as part of the consultation with officers, members and the business community.

5   Implications

5.1   Finance and Risk Implications

The transformational intervention projects which form the action plan will require detailed businesses cases which will include the financial implications and identify and risks. An initial Growth Fund will allow the authority to prepare for the wider Growth strategy activity. Given that promoting economic growth will help ensure the financial sustainability of the Council it is recommended that the funding in respect of 2014/15 is provided by way of the Efficiency Grant. In respect of future financial years these costs will need to be met from mainstream budgets.

5.2   Legal Implications including Data Protection

Legal implications will be considered as the business cases for the transformational intervention projects are developed.

5.3 <u>**Human Resources Implications**</u>

Human Resource implications will be considered as the business cases for the transformational intervention projects are developed.

6 <u>**Recommendations**</u>

6.1   That Executive approves the Growth Strategy.

6.2   That Executive approves an initial growth fund of £25,000 funded from the efficiency grant with the costs in future financial years to be met from mainstream budgets.

6.3   That a presentation on the Growth Strategy be provided to a future Council meeting.

7 <u>**Decision Information**</u>

Is the decision a Key Decision? (A Key Decision is one which results in income or expenditure to the Council of £50,000 or more or which has a significant impact on two or more District wards)	The transformational intervention projects detailed within the action plan may have financial implications and may impact on two or more wards. These implications will be covered in separate business case proposals.
District Wards Affected	To be identified during business case development
Links to Corporate Plan priorities or Policy Framework	Strategic Organisational Development Regeneration

8 <u>**Document Information**</u>

Appendix No	Title
1	Growth Strategy
Background Papers (These are unpublished works which have been relied on to a material extent when preparing the report. They must be listed in the section below. If the report is going to Cabinet (NEDDC) or Executive (BDC) you must provide copies of the background papers)	

Report Author	Contact Number
CEO Assistant Director – Customer Service and Improvement	BDC - 2401 BDC - 2343

Bolsover Growth Strategy and Action Plan

Unlocking our Growth Potential

BDC Final

June 2014

Foreword

We are pleased to present our Growth Strategy for Bolsover and North East Derbyshire, which sets out our growth ambition, priorities and approach that we will take to enable the growth of the local economy to create stability and prosperity. This is a joint agenda across the two councils, taking into account the different opportunities and challenges across our two areas.

Through the Strategic Alliance, both councils have achieved a great deal. However, we recognise that further cuts in government grant will make maintaining and building on these achievements more challenging in the future. We need to implement a game-changing strategy with a focus on unlocking the potential to deliver growth. Because of this, we have set out an ambitious programme of action, the cornerstones of which are:

- *a vibrant economy and increasing employment*
- *homes that meet our needs and*
- *provision of the supporting infrastructure necessary to deliver it.*

Creating a sustainable high performing economy is at the heart of our strategy. We have established priorities around increasing jobs and business start-ups, unlocking and enabling housing development as well as ensuring our companies grow and develop.

We will use the Growth Strategy to articulate to partners our ambitions and plans with a view of improving collaboration and maximising leverage. The strategy will also help shape our conversations with Sheffield City Region and Derby, Derbyshire, Nottingham, Nottinghamshire LEP in supporting delivery of the wider regional growth programmes.

The government has set out a range of mechanisms through which local government can incentivise growth through programmes such as the New Homes Bonus and Business Rates Retention Scheme. We will maximise these opportunities; the implementation of our Growth Strategies will be a key contributor to our financial plan to ensure our long term viability.

CONTENTS

1. Scope of the Growth Strategy

What we want to achieve

Bolsover and North East Derbyshire are facing a changing and challenging future. There needs to be significant residential development over the next 10 year to meet future population and each district's own housing targets. The area needs to respond and direct the growth agenda to achieve a better balance between future housing and workforce growth and available employment.

The Growth Strategy is based on sound evidence to show the economic context for why we need to change and do things differently, what we will do and who will deliver actions to support growth.

It sets out an approach and priority actions that both local districts will take to enable the growth of the local economies. As we move forward it will align with economic development and work and skills plans for both authorities. In particular, the Growth Strategy addresses the opportunities identified by the Local Government Association (LGA) Peer Team in 2013, including assessing the potential to secure revenue streams from the various new funding mechanisms introduced by the Coalition Government.

A number of issues need to be addressed in Bolsover and North East Derbyshire:

- The need to meet challenging housing delivery targets to meet population and housing projection growth levels;
- The need to unlock development and bring forward strategic and major sites for development to transform economic prospects;
- The need to support local regeneration of towns and villages to fulfil their role as service centres.
- The need to ensure that a package of suitable support is provided to new and existing businesses to enable them to grow.

- The need to bring forward sites in Council ownership.
- The need to support the local economy by increasing the range of higher skilled jobs available locally.

The challenge for both Bolsover and North East Derbyshire is to accommodate growth and development pressures in a sustainable way that protects environmental quality and the character of areas, whilst aligning resources and priorities to maximise returns.

Principles

It is intended that the Growth Strategy for Bolsover and North East Derbyshire addresses the ambitious growth agenda outlined in the Bolsover District Local Plan Strategy (May 2013) and the developing North East Derbyshire District Local Plan (2011-2031). A number of core principles will shape the process of developing the Growth Strategies, including:

- Aligning the Growth Strategy with the growth plans of the LEPs, specifically Sheffield City Region (SCR) and Derbyshire and Nottingham (D2N2) LEP;
- Ensuring the strategies take advantage of current / future funding opportunities, specifically EU funds for 2014-2020;
- Play to the strengths and opportunities of both districts and focus on key assets;
- Maximising financial incentives, and
- Involving all stakeholders and partners in developing and implementing the Growth Strategy.

2.   The Evidence – the scale of the challenge

 The main proposals set out in the Growth Plan are based on global and national economic drivers, our best intelligence and knowledge about the area and reflects the issues, challenges and opportunities facing Bolsover and North East Derbyshire. .

UK national economic context

The national economic context remains challenging. However, there is consensus amongst economic commentators of continued improvement for UK economic growth. According to the National Institute of Economic and Social Research (NIESR) the recovery is now "entrenched" and it expects the economy to grow by 2.5% in 2014 and at the slightly reduced rate of 2.1% in 2015. It is anticipated that faster growth will come from three main areas: first, through stronger consumer spending, as lower inflation boosts household purchasing power; second, through a reduction in downside risk supporting confidence and encouraging firms to begin to invest their accumulated cash surpluses; and third, via a recovery in world trade, which supports an improved export performance. Concerns remain about the continuing low level of business investment and stagnant wage growth which means prices are continuing to rise faster than salaries.

The issue for Bolsover and North East Derbyshire is to ensure that it has a business environment in place to benefit from this up-turn.

Bolsover and North East Derbyshire: Overview

<u>People and Place</u>

- Bolsover District covers an area of 417 square kilometres, and has four towns and five main villages. The rest of the District is predominantly rural and made up of small villages and hamlets. North East Derbyshire covers an area of 259 square kilometres and sits on the edge of the

Peak District National Park. It has good links to the neighbouring towns and cities of Chesterfield, Sheffield and Derby.

- The population of Bolsover District is around 75,900, with approximately half living in the four towns of Bolsover, Clowne, Shirebrook and South Normanton. North East Derbyshire has a population of almost 100,000. The settlements with the highest population are Clay Cross, Dronfield, Eckington and Killamarsh.

- Both areas are set for growth. The latest long term population projections (up to 2030) suggest that the populations of Bolsover and North East Derbyshire will increase by 8,000 to 84,000 for Bolsover and 7,000 to 106,000 for North East Derbyshire. These same projections suggest that by 2030 the number of jobs will increase by 4,100 additional jobs in Bolsover and by 1,300 additional jobs in North East Derbyshire.

- Unemployment rates for the working age population for both districts are below the national average, although the rate for North East Derbyshire has been growing rapidly. Recent forecasts suggest that both districts will see reductions in the unemployment rate to 2030, to a level below pre-recession figures.

- Each of the districts has a proportion of population of working age that is below the regional and national average, with a greater proportion of people aged 65 or over. In North East Derbyshire, the size of the working age population has been falling rapidly lately and at the same time the number of elderly people has been growing.

- In terms of qualification levels, although Bolsover is currently at a lower rate than either Derbyshire or GB between the periods 2004-2012, the gap has shrunk significantly. This is especially true at lower levels of qualification (NVQ 2 and below). However, at higher levels (NVQ 3+), the gap is slightly larger. Another significant change is in the

percentage of people who have no qualifications. In Bolsover this has fallen drastically from 31.1% in 2004 to just 5.7% in 2012. This puts it at a lower rate than either Derbyshire or GB.

- North East Derbyshire qualification levels are also lagging behind both those for Derbyshire and those for GB. The most significant areas are the lower percentage of people with higher level qualifications (NVQ 3+). Also, since 2004, both Derbyshire and GB have increased their numbers of people with NVQ1 +, while North East Derbyshire has actually seen a decrease in this period. Finally, since 2004, in most categories, the gap between North East Derbyshire and both Derbyshire and GB has widened.

- A high number of people commute out of the districts to work. 2008 figures show a 70% commute out of Bolsover and a 65% commute out of North East Derbyshire. 20% of North East Derbyshire's employed residents work in Chesterfield; Chesterfield is also the largest single source of employment for Bolsover residents working outside their own district. Bolsover also has important links to North Nottinghamshire, with a combined commuting flow of 28% into Ashfield, Bassetlaw and Mansfield. A significant proportion of North East Derbyshire's residents (24%) work in Sheffield mainly from the three northern towns.

- The economic activity rates for both districts have changed significantly in the last ten years. In 2001 North East Derbyshire had a rate higher than the national average, while Bolsover's was lower. Recent evidence suggests that the position has reversed. Both districts have a higher proportion of people who are economically inactive who do not want a job.

- The Index of Multiple Deprivation (IMD) 2010 shows that Bolsover falls into the 'most deprived 50 districts' in one or more of the 6 district level summary measures (Rank of Average Rank and Rank of Employment). The statistics show that there is a concentration of deprivation in the east of Bolsover; the deprivation hotspots in North East Derbyshire are

focused in the south of the district. Each of the hotspot areas indicates clear links in health, education and employment.

- Bolsover and North East Derbyshire are strategically located adjacent to the M1 'growth corridor', which provides excellent north –south road links between Junctions 28-30. The M1 corridor has supported significant economic activity, particularly at Pinxton, South Normanton and Barlborough, and more recently Junction 29a, which was built to serve the Markham Vale Business and Industrial Park. However, congestion is a major concern specifically around junction 28 and local connectivity can sometimes act as a constraint or deterrent to development. The A61 is identified as a growth corridor from Sheffield to the M1.

- The economies of Bolsover and North East Derbyshire are closely linked to the sub-regional economies of Nottingham, Derby and Sheffield and also to the Ashfield/Mansfield A38 corridor.

- Within Bolsover, the nearest main line stations on the rail network are located in Chesterfield and Alfreton. The Robin Hood Line provides a link to Worksop, Mansfield and Nottingham. For North East Derbyshire, there is a main line station at Dronfield, which has links to Chesterfield and Sheffield. For the south of the district, the nearest stations are Chesterfield and Alfreton.

- Recent research indicates that Bolsover has achieved an average of 9ha/year development on its employment sites over the last three years 2011 – 2014.   Longer term trends (2000 and 2014) show an average development rate of 8 ha/year. However problems have been identified in achieving residential development on allocated sites. In North East Derbyshire problems have been experienced in achieving development on both employment and residential site allocations. The failure to unlock the job generating capacity of major employment sites will hamper local and national economic growth. The main reasons for

this lack of development include market viability, a lack of appropriate infrastructure on the sites and a lack of available finance to be able to implement the necessary improvements, and greater competition within the LEPs for the finances that are available.

- Bolsover and North East Derbyshire are still recovering from the effects of heavy industry. Whilst many former colliery sites have been reclaimed, the physical impact of the industrial past is still visible in some contamination issues, although many sites have since been reclaimed.

- Both Bolsover and North East Derbyshire District Council hold significant land and property assets throughout their districts. A good number of the assets have development prospects, and if dealt with, have the potential to unlock capital and realise longer term revenue income streams.

- A key feature of both districts is the green space that both separate and links its towns and villages. Despite their industrial past, both areas have a rich environment and cultural heritage.

- Tourism is a growth industry and an important part of the local economy in both Bolsover and North East Derbyshire, which have a number of key tourist sites including Bolsover Castle, Hardwick Hall, Creswell Crags and the Peak District National Park.

Business and Enterprise

- Gross Value Added (GVA) is the mostly commonly recognised method for measuring the economic output of an area, i.e. the value of goods and services produced by the business base. The districts have relatively small economies and suffer from low representation in high GVA sectors and limited formation of new businesses. There has however been a significant level of growth over the 10 year period

2002-2012 within Bolsover. At 68% this surpasses East Midlands at 13% and UK levels of 16% increasing GVA. Over the same period North East Derbyshire has grown by 4%. Productivity is also predicted to continue to increase up to 2030.

- The East Derbyshire area (Bolsover/Chesterfield and North East Derbyshire) has a workplace GVA per head of £13,828, which is significantly lower than the GVA per head for England at £21,937, reflecting the disproportionate impact that industrial restructuring has had on the districts. However, during the period 2004-12, East Derbyshire GVA per head grew by 31.7%, a much faster rate of growth than regionally or nationally. GVA per industry figures show that for East Derbyshire, between the periods 2004-11, the fastest growing sectors were the Public Admin, Real Estate, Construction and Information & Communication sectors.

- Manufacturing continues to be a key, employment sector. Indeed, in North East Derbyshire, the manufacturing sector has grown to 17.8% of total employment, which bucks the county and national trend. Bolsover and North East Derbyshire have seen employment growth in Public Administration, Education and Health, areas which are under pressure with continuing public sector cuts.

- Total employment in Bolsover has increased by 9% from 2009-2012 whilst in North East Derbyshire total employment has reduced by 1% during the same period. This is compared with a reduction of -1% for the East Midlands and 1% increase across England for the same period.

- North East Derbyshire has a number of exporters within its business base. As at February 2014, NEDDC has 66 exporting businesses. The mean value of these exports per business was £6,931,883, whilst the largest single exporter had a value of £37,014,360. The majority of these exporters are large, established companies.

- Forecasts suggest that in terms of growth in employment figures, the key growth sectors up to 2030 will be the Wholesale & Retail Trade and Human Health & Social Work sectors for North East Derbyshire and the Construction, Professional, Scientific & Technical and Wholesale & Retail Trade sectors for Bolsover. For both districts, it is suggested by the same forecasts that the weakest performing sector (i.e. that with the greatest reduction in employment) will be the Manufacturing sector, although in terms of job losses this will be a relatively small number (700 between 2013-2030 for NEDDC and 600 for Bolsover).

- Both Districts have seen a decline in business 'births' between 2004-2012. North East Derbyshire has experienced more business 'deaths' than 'births', which equates to a gradual net loss of businesses in the district. However, both districts have seen a net decrease in business 'deaths' during the period 2004-12, which is contrary to the national picture. Bolsover has seen a small net business growth of 35 enterprises.

- For both districts the vast majority (89% NEDDC and 87% BDC) of businesses are Micro-Enterprises (0-9 employees).

Housing

- Bolsover and North East Derbyshire face significant challenges in accommodating housing growth. New housing provision needs to be increased substantially over completion rates in the last few years, whilst achieving an appropriate mix and tenure of housing that will create more balanced communities, meet housing needs, and support economic growth.

- Whilst a number of government funding sources are available to the Councils and their delivery partners to support housing delivery,

accessing these is often challenging within the districts. Key issues relate to scale of development sites, and low rental and property prices.

- Although viability is a key challenge for both districts it is particularly acute in Bolsover. A viability study carried out by 'Levels' in 2012 on behalf of Bolsover District Council concluded that 'the viability of residential development over much of the district is marginal even with no requirement for a percentage of affordable housing provision.' North East Derbyshire continues to experience viability issues in its settlements with lower house and land values.

- Although both areas have some of the lowest cost housing in the East Midlands there is a notable variation in house prices across Bolsover and North East Derbyshire, with 78% of Bolsover's housing stock falling within Council Tax bands A and B, and North East Derbyshire having significantly higher house prices in the north of the district and the more affluent and sought after rural areas to the west, where there is a higher proportion of larger and detached homes. Despite the low property values in Bolsover and parts of North East Derbyshire, affordability is still an issue due to low average incomes.

- The North Derbyshire and Bassetlaw 2013 Strategic Housing Market Assessment (SHMA), which includes Bolsover and North East Derbyshire, recommends that between 235 and 240 additional homes are required in Bolsover each year, and between 270 and 310 in North East Derbyshire each year, over the next 5 years. This will require a substantial increase from recent delivery levels, and recovery to pre-recession levels.

- The 2013 Strategic Housing Market Assessment found that in Bolsover there is a need for between 300 and 430 affordable homes per annum and 560 in North East Derbyshire; however the SHMA found that the private rented sector supports around 315 lettings per year to people

claiming Local Housing Allowance in Bolsover with 180 in North East Derbyshire.

- Over a four year period Bolsover has received £772,335 from the government for New Homes Bonus allocations whilst North East Derbyshire has received £584,725.

- Although it is important to create this supply through facilitating new build, existing stock is also an important contributing factor, including improvements to Local Authority stock, bringing empty properties back into use and improvements and facilitation of the private rented sector. Delivering improvements to existing stock also contributes to improved quality of place, and bringing empty homes back into use contributes to the Councils' New Homes Bonus.

- Bolsover is a stock holding authority, owning and managing around 5200 homes. The Authority has a proven track record of investment within the Housing Stock and reached the decent homes standard for all properties by 2010 without the need to transfer the stock to another landlord. More recently, a detailed stock condition survey was completed in early 2014, providing an accurate assessment of investment needs over the next 30 years. A detailed business plan is to be developed and updated on a regular basis with completed works and random surveys. Bolsover has strong ambitions to both maintain and improve standards of existing housing stock, but also to build or acquire additional stock when needed. Two new build schemes have been successfully completed on the sites of former Tarran bungalows and the third is nearing completion. In total this is 55 new properties. The developing business plan will also include additional new build in the area to address the increasing housing need for one and two bedroom properties.

- Rykneld Homes Limited (RHL) currently manages 8084 properties on behalf of North East Derbyshire. Approximately a third of these are

properties are of non traditional construction requiring significant levels of investment to secure their future. All the stock is required to be maintained at Decent Homes levels by the sector regulator the Homes and Communities Agency (HCA). NEDDC's chosen regeneration partner Rykneld Homes has secured Decent Homes funding and delivered a £23 million Capital programme in 2013/14 to begin addressing this. The capital programme will increase to £30 million over the next two years. The structural condition of the stock will require additional funding above the Council borrowing provision allowed through the 30 Year Housing Revenue Account Business Plan. To help tackle this Rykneld Homes has successfully established itself as a Registered Provider of Social Housing with the HCA. This will enable greater flexibility to access additional funding to deliver the Councils long term regeneration plans. This work has already commenced with the successful Tarran Bungalow project in Killamarsh and Eckington. The £11 million project has enabled the replacement of 99 homes which no longer met modern housing needs with 129 new energy efficient properties. The additional units developed by increasing build density are owned and managed by Rykneld Homes.

- Although levels of Private Rented Sector (PRS) stock are relatively low in the districts, 13% of housing in Bolsover is privately rented and 7.4% in North East Derbyshire. However, the sector is expanding and has increased by 3.5% in North East Derbyshire and 5.3% in Bolsover between 2001 and 2011,

- Housing growth is a significant element of both the SCR and D2N2's current Strategic Economic Plans. Housing Strategy have been working actively to maximise funding streams through the LEPs, such as the Homes and Communities Agency (HCA) grants to facilitate additional housing through initiatives such as a Joint Investment Fund and Housing Growth Zones for the SCR.

Challenges and Issues

The evidence shows that Bolsover and North East Derbyshire are facing a number of significant barriers and challenges in relation to its future growth where action needs to be taken.

- The economy is behind the national average in terms of GVA per head, although it is growing at a much faster rate than nationally.

- There is under-performance on business churn and growth, recording comparatively low business birth and death rates. However, business survival rates, particularly in NED are generally higher than average.

- There is a limited range of quality of employment land portfolio, especially in North East Derbyshire and generally poorly connected employment sites. There is also a lack of fit for purpose commercial stock as well as low levels of opportunities for design and build and move-on accommodation.

- Since the demise of Business Link, there is a lack of in-depth support and advice services to help businesses to grow as well as a limited range of suitable funding to finance business growth.

- Viability is challenging across many parts of Bolsover district, with low house, rental and land values affecting the delivery of both market and affordable housing. Evidence suggests that housing delivery is restricted by low effective demand for housing, rather than a shortage of housing land.

- Viability for housing growth is a challenge for North East Derbyshire due to lower value areas in terms of house, rental and land values in parts of the districts.

Our Competitive advantage

Although there are challenges, there are genuine economic growth opportunities, competitive strengths and assets that Bolsover and North East Derbyshire can build upon, including:

- Excellent north-south road links and the significant private sector growth supported by significant public investment in infrastructure along the M1: junction 28 Castlewood in the south to junction 30 Barlborough Links in the north of Bolsover.

- Bolsover district had a significant increase in employment from 1998 to 2008.

- Commencement of infrastructure work in North East Derbyshire at The Avenue site which is the single largest regeneration scheme with the HCA.

- The provision of public sector start-up facilities and business support provided, for example The Tangent in Shirebrook and Coney Green in Clay Cross.

- £30m investment levered in for the redevelopment of Clay Cross and Bolsover Town centres.

- Resiliency of start-ups particularly in North East Derbyshire is higher than the national trend.

- Fast growing level of productivity i.e. GVA per head.

- Large number of micro-enterprises in Bolsover and North East Derbyshire create a more diverse and adaptable economy.

Future **opportunities** include:

- Building on the excellent north-south road links, particularly further develop employment land accessible to the M1, including near junction 29 within North East Derbyshire.

- Working in partnership to develop out Markham Vale Enterprise Zone.

- Increasing the numbers of new starts particularly in high value sectors and improve business survival rates beyond 5 years.

- Developing further employment land at Callywhite Lane, Dronfield by addressing infrastructure and access.

- Highly skilled workers out-commuting creating opportunities to relocate their jobs within the area, bringing enhanced economic activity.

- Increasing the number of companies exporting.

- Working in partnership with the HCA to realise the development of additional housing in Brookvale in Shirebrook, Bolsover and The Avenue in North East Derbyshire.

- Bringing in additional New Homes Bonus monies by bringing empty properties back into use.

- Enhancing the relationship with D2N2 and SCR to capitalise on funding and other opportunities.

- Building new council housing at Bolsover and new social housing at North East Derbyshire through acquiring registered provider status for Rykneld Homes.

- Working in partnership to deliver appropriate mixed use schemes at the former Coalite site addressing restoration and overcoming viability, infrastructure and phasing issues.

- Maximising opportunities to improve the tourism offer especially links with the Peak District and through under-developed resources such as the Chesterfield Canal.

For Bolsover and North East Derbyshire's economies to continue to grow, there continues to be a pressing need to broaden the economic base. The evidence shows that action is needed to build on our competitive advantage, generate growth and prevent further decline across Bolsover and North East Derbyshire. Creating new businesses and expanding existing ones, seizing the growth opportunities of the M1 'corridor', the provision of higher skilled, higher paid employment and delivering housing and places that attract and retain workers are key priorities. The area has many assets that can be utilised, developed and enhanced to improve the local economy for the benefit of businesses, individuals and communities. As the government looks to rebalance the economy away from over-reliance on London and the South East by strengthening the country's production and manufacturing base, Bolsover and North East Derbyshire needs to position themselves to respond to this agenda.

3.   Policy and Financial Drivers

Policy Context

We recognise that the area is, in itself, highly integrated with the economies of the sub region, east midlands and the UK in general. The Growth Strategy will need to be wholly inter-related and consistent with the regional strategic framework, particularly the Strategic Economic Plans of both LEPs.

The government's Plan for Growth set out a programme of structural reforms to remover barriers to growth for business and localities. To support local growth and rebalance growth so that it is more evenly shared across the country, initiatives include:

- establishing Enterprise Zones
- introducing programmes such as the Regional Growth Fund to leverage new private sector investment
- developing the role and remit of LEPs to drive local growth

Bolsover and North East Derbyshire are part of two LEP's; Sheffield City Region and Derby, Derbyshire, Nottingham, Nottinghamshire (D2N2). Government has given a greatly increased role for Local Enterprise Partnerships; specifically to devolve growth related funding to a single funding pot by April 2015. The use of these resources will be informed by new strategic plans for local growth consistent with national priorities, which both LEPs have submitted to government for approval. Additionally in the Autumn Statement, government committed to:
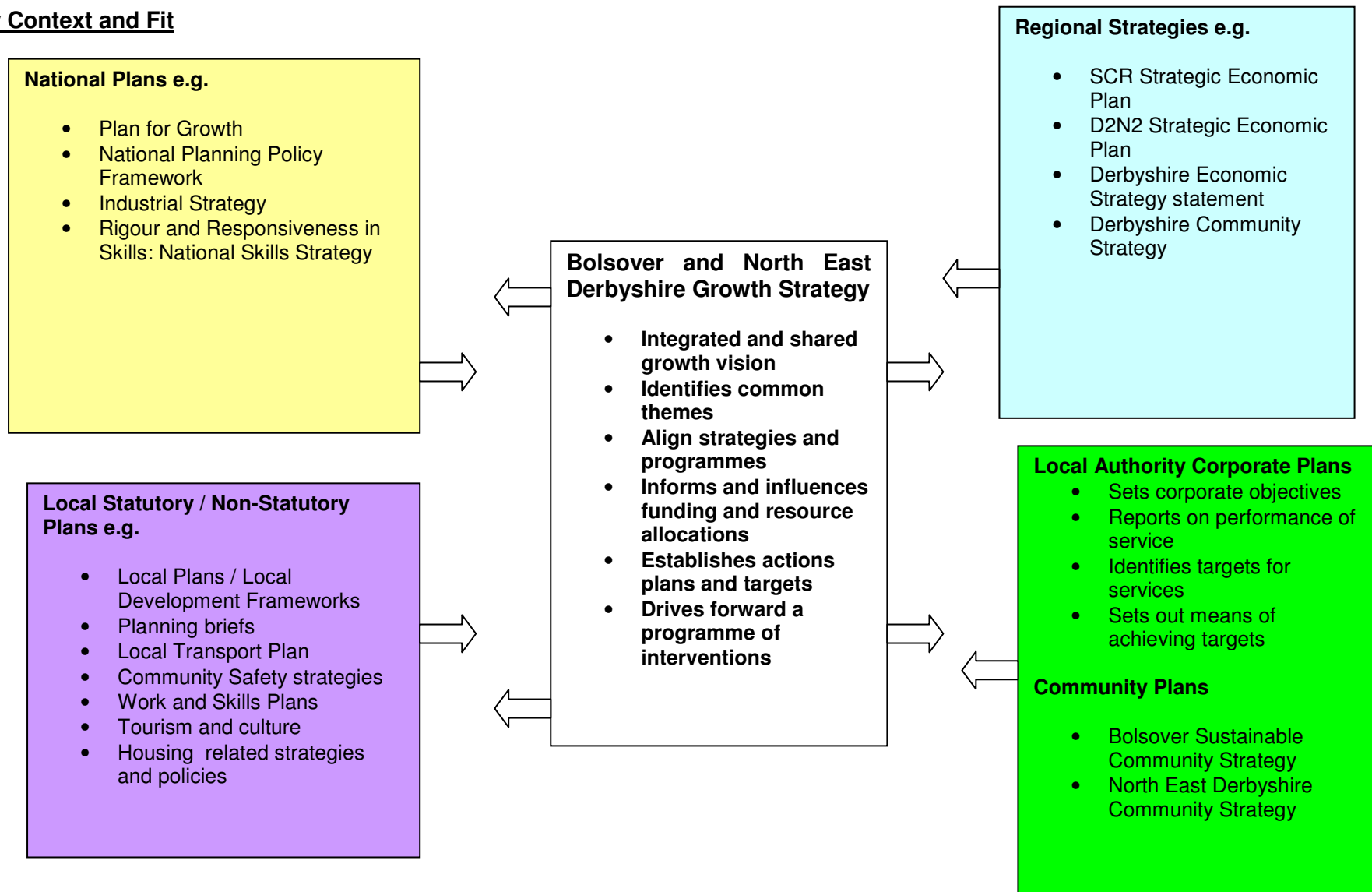
- aligning EU Common Strategic Framework Funds in England with LEPs' plans and
- notionally allocating funds to each LEP to support their identified investment priorities;
- affording LEPs a key role in relation to local skills strategies;
- providing a further £350m for the Regional Growth Fund; and

- making available a new concessionary public works loan rate to infrastructure projects nominated by LEPs.

Bolsover and North East Derbyshire will need to work very closely with the LEPs to deliver the Growth Strategy. Over the months and years ahead, the priority will be to ensure that the priorities contained within the Growth Strategy are appropriately reflected in the LEP's activities.

The attached diagram sets out the policy framework and defines the core role and function of the Growth Strategy.

Policy Context and Fit

National Plans e.g.

- Plan for Growth
- National Planning Policy Framework
- Industrial Strategy
- Rigour and Responsiveness in Skills: National Skills Strategy

Regional Strategies e.g.

- SCR Strategic Economic Plan
- D2N2 Strategic Economic Plan
- Derbyshire Economic Strategy statement
- Derbyshire Community Strategy

Bolsover and North East Derbyshire Growth Strategy

- **Integrated and shared growth vision**
- **Identifies common themes**
- **Align strategies and programmes**
- **Informs and influences funding and resource allocations**
- **Establishes actions plans and targets**
- **Drives forward a programme of interventions**

Local Statutory / Non-Statutory Plans e.g.

- Local Plans / Local Development Frameworks
- Planning briefs
- Local Transport Plan
- Community Safety strategies
- Work and Skills Plans
- Tourism and culture
- Housing related strategies and policies

Local Authority Corporate Plans
- Sets corporate objectives
- Reports on performance of service
- Identifies targets for services
- Sets out means of achieving targets

Community Plans

- Bolsover Sustainable Community Strategy
- North East Derbyshire Community Strategy

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Planning for Growth

The Government has made it clear that authorities should pursue a pro growth agenda in a flexible manner. The Local Plan for Bolsover and emerging Local Plan for North East Derbyshire provide the basis for growth, ensuring growth is targeted in the most suitable locations. Unlocking employment sites to meet growth requirements are a key priority, specifically to address the imbalance between the number of residents and the relatively low number of jobs. There is a need to safeguard and improve both existing employment sites and the employment land supply with Bolsover and North East Derbyshire. Bolsover has made provision for an additional 185 hectares of land for employment use up to 2030. The net employment land target for North East Derbyshire is around 50 hectares over the 20 year plan period. The focus is on existing large sites, both within public and private sector including:

- The Avenue, Wingerworth
- Biwaters, Clay Cross
- Markham Vale Enterprise Zone
- Former Coalite site
- Brook Park, Shirebrook
- Castlewood, M1
- Barlborough Links.

Bolsover and North East Derbyshire have a significant challenge to provide a mix and choice of housing, including affordable housing, to meet future housing targets and support economic growth. Both authorities need to make provision for additional dwellings of 5,000-6,000 between 2011 and 2031, which equates to around 300 dwellings per annum. Given past housing completion rates, there needs to be an increased emphasis on housing delivery, specifically on those larger housing sites which have secured planning permission.

The need to bring forward substantial development across both Bolsover and North East Derbyshire will put extra pressure on existing infrastructure.

The Financial Imperative

Since 2010, funding for development and regeneration has significantly changed. While the quantum of funding has decreased, Government has set out a range of mechanisms through which local government might incentivise economic growth. There are a range of local growth incentives to support housing and economic growth, e.g. retention of business rates; developer contributions to infrastructure funding; New Homes Bonus etc. Payment depends largely on the level of growth. In general, these mechanisms involve little or no grant funding; and invariably, they rely on close and collaborative joint working between upper and lower tier authorities.

Bolsover and North East Derbyshire continue to face significant financial pressures during the next 3 years. An important component of the strategy will be to use these mechanisms creatively to generate additional revenue for the councils to address the financial challenges facing each authority.

4.   Our Vision and Growth Ambition

The Growth Strategy will:

- Provide a shared narrative on the future direction of the Bolsover and North East Derbyshire economies, and
- Define clear priorities, objectives and actions for delivering and managing growth over the next 10 years.

We are committed to deliver faster sustainable growth and prosperity with opportunities for all to flourish and succeed.

Delivery of the vision will be achieved through a partnership approach to investment and will be underpinned by detailed action programmes leading to:

- Increasing the number of new starts and survival rates
- Additional inward investment in priority sectors
- Growing SMEs and increasing the number of large businesses
- Completing new homes, including the delivery of higher value properties to maximise New Homes Bonus
- Bringing empty properties back into use
- Increasing government funding from financial incentives for growth

Our Strategic Priorities

Our three strategic priorities are:

1. **Supporting Enterprise:** maintaining and growing the business base

2. **Enabling Housing Growth:** increasing the supply, quality and range of housing to meet the needs of a growing population and support economic growth

3. **Unlocking Development Potential:** unlocking the capacity of major employment sites

Our priorities are underpinned by 4 cross-cutting themes:

Partnership Working: More than ever, delivery of the Growth Strategy will be about working in partnership to get the most from scare resources. This will include establishing a new relationship with the private sector to drive forward our growth agenda.

Equality: Social equality and ensuring that all residents benefit from growth will be at the heart of the Growth Strategy.

Leadership and Co-ordination: Bolsover and North East Derbyshire will need to actively address the structural weaknesses of the local economy in order to leverage new opportunities and deliver the core strategy's growth targets. The councils will provide effective leadership to rally support and commitment to the Growth Strategy, including the effective and efficient use of resources to kick-start action.

Changing Perceptions: A key theme will be to change the perceptions and raise the profile of Bolsover and North East Derbyshire as investment locations and a place for business.

5.   Strategic Priorities: Unlocking our Growth Potential

1. Supporting Enterprise: maintaining and growing the business base

The Evidence

The analysis of the local economy shows structural weaknesses and an inability to keep pace with either the regional or national drivers. The following evidence demonstrates the challenges and opportunities faced:

- Dominance of lower-value added employment characterised by jobs with low earnings and low skills requirements and high levels of part-time employment.
- A manufacturing sector that has been increasing but is projected to decline.
- Over reliance on the public sector.
- Low levels of employment in higher value added sectors.
- Low levels of inward investment.
- Growth sectors include tourism, construction, advanced engineering and financial and business services.

Through this outcome we want to ensure we have a vibrant business community that is both ambitious and resilient. We are seeking to foster the next generation of entrepreneurs, ensuring existing businesses have the right support to grow, innovate and become more competitive. Our actions will focus on ensuring business support is available to those businesses who need it alongside business premises to meet a range of needs. This will be in the context of D2N2 and SCR resources and their Strategic Economic Plans.

Objectives

- Identifying and supporting businesses capable of growth.
- Encouraging competitiveness, creativity and enterprise, particularly amongst small and medium sized enterprises.
- Accelerating new business start-ups and ensuring survival.
- Developing and promoting the districts as competitive business locations.
- Increasing the number of businesses that export.
- Support the growth and development of the tourism product.

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2. Enabling Housing Growth: increasing the supply, quality and range of housing to meet the needs of a growing population and support economic growth

The Evidence

Across both authorities, appropriate new housing provision needs to be increased substantially over completion rates in the last few years, which have been adversely affected by the economic downturn. The evidence shows:

- Bolsover and North East Derbyshire continue to experience difficulty in achieving delivery of residential sites with planning permission.
- Both authorities face significant challenges in accommodating growth and future housing delivery targets.
- New housing provision needs to increase substantially over completion rates in the last few years, whilst achieving an appropriate mix and tenure of housing that will create more balanced communities and meet local and changing needs.
- There are over 1,000 long term empty properties across the two districts, which if brought back into use would contribute towards meeting housing needs and improve neighbourhoods.
- There are opportunities to deliver high quality 'aspirational housing' especially in rural areas.

There is a need to accommodate growth and development in a sustainable way that protects the environmental quality and identities of the area.

Objectives

- Bringing forward housing development sites.
- Increasing the provision of quality private sector housing supply.
- Support the acceleration of the delivery of new housing in key locations.
- Taking action to ensure that more affordable homes are available to rent or buy.
- Continuing to work with HCA and other strategic partners to accelerate the delivery of major regeneration projects across the area.
- Taking practical actions to bring empty homes back into use.

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3. Unlocking Development Potential: unlocking the capacity of major employment sites

The Evidence

The provision of a new sites and premises infrastructure is vital to support the rebuilding and diversification of the economic base. There is a reasonable availability of sites and premises to support business relocation, growth and expansion, ranging from incubation centres through to strategic employment sites, including the Markham Vale Business Park. The evidence shows:

- There is a need to ensure that sufficient employment land is available to meet future job growth requirements.
- There is a legacy of large scale Brownfield sites, which require significant remediation.
- The poor viability of commercial development will inevitably mean that only a limited supply of completed new build investment will be brought to market over the next few years.

Objectives

- Continuing to work in partnership with the public and private sector to develop, manage and enhance key strategic employment areas.
- Work towards maintaining an appropriate supply of suitably located employment land and premises.
- Ensuring the adequate provision of business start-up and incubation units to support the growth of start-ups, small and medium sized enterprises.
- Work with established firms and to promote the appropriate development of land in their ownership, particularly large single companies.

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6. Action Plan

There are a limited number of priority interventions, which have the potential to trigger growth and economic change. They require a level of public sector intervention and have been developed in response to identified needs and opportunities. In some instances, the initiatives build on current / planned initiatives and collaboration between public and private agencies.

The interventions have three main focuses:

- Firstly, they major on actions (including preparatory work) which address the issues or opportunities for the area;

- Second, they have a clear growth and development focus, and

- Finally, the programme aligns with priorities and activities being promoted by the LEPs that make a difference and trigger significant economic change.

The strategic priorities and objectives will be delivered through a number of Transformational Intervention Projects as detailed in Appendix 1. Following adoption of the Growth Strategy and Action Plan, a designated 'lead' department will be responsible for preparing a detailed project plan for each authority to animate the project and determine resource requirements, risk and delivery mechanism.

An indicate timeframe is included within the priority interventions:

Short: (S) up to 12 months

Medium: (M) 1- 3 years

Long: (L) 3 years +

7. Implementation and Delivery

The Action Plan sets out a coherent programme of phased interventions, which builds momentum in the short, medium and long term and will lead to economic development and growth. Consultation has taken place with the business community and other stakeholders, particularly the LEPs on both the strategy and action plans.

Following adoption of the Growth Strategy and Action Plan, a designated 'lead' department / officer will be responsible for preparing a detailed project plan to animate the project and determine resource requirements, risk and delivery mechanism. The project plan will include:

- The rationale for the action;
- Measures of success and timeframe;
- Responsibilities for delivery and
- Estimated investment needed (revenue, capital and external funding).

Clearly, cuts in local authority funding are impacting on the pro-growth services councils provide. A key driver of the Growth Strategy and Action Plan in the short – medium term will be to maximise income from the various financial mechanisms introduced by central government, specifically the New Homes Bonus and business rates retention scheme, to generate additional revenue for the councils to address the financial challenges facing each authority.

Making the case for growth will be crucial if Bolsover and North East Derbyshire are to benefit from external funding support from both LEPs. Bolsover and North East Derbyshire will need to work very closely with the LEPs to deliver the Growth Strategy. Over the months ahead, the priority will be to align projects contained within the Growth Strategy to the LEPs activities and funding programmes, e.g. ESIF, Growth Deals etc.

In addition to the interventions set out in the previous section, to support delivery of the Growth Strategy, both authorities will investigate the potential of establishing a proactive Growth Fund, which could be used to:-

- extend access to finance schemes to growing businesses across both local authority areas;
- invest / unlock property for development where markets are failing to kick start development.

The focus will be on developing / bringing forward projects that will have an economic impact and benefit for the area. In addition, the fund could be used to lever in additional funding from private, public and European investment.

A Leadership Team of senior officers across both authorities, under the direction of the Chief Executive, will be established to ensure coordination, implementation and delivery of the strategy as well as monitoring performance.

The economic development team will have a critical role to play to drive forward the growth agenda across the Alliance area. The roles, responsibilities and resources within the team will need to be reviewed in light of the new priorities set out in the strategy.

8.   Managing Performance

A performance framework will be developed to set out measurable targets. Progress in achieving the aims of the Growth Strategy and Action Plan will be measured against a small number of headline indicators and through the successful delivery of activities identified in the action plans for Bolsover and North East Derbyshire.

The success of the Action Plan will be measured using:

- Statistical analysis to assess on-going progress;
- Monitoring progress by regularly up-dating Project Delivery Plans, and
- Regular engagement with partners and stakeholders to gauge qualitative opinion progress.

Appendix 1: Action Plans

Supporting Enterprise: maintaining and growing the business base

Our objectives
- Identifying and supporting businesses capable of growth.
- Encouraging competitiveness, creativity and enterprise, particularly amongst small and medium sized enterprises.
- Accelerating new business start-ups and ensuring survival.
- Developing and promoting Bolsover as a competitive business location.
- Increasing the number of businesses that export.
- Support the growth and development of the tourism product.

Bolsover Transformational Intervention Projects	Description	Lead (**)	Timescale
1. Business Growth 'Hub'	Launch local **Business Growth Hub** (connected to LEP Growth Hub) to establish an integrated, local business support service targeted towards high growth enterprises that have the potential, ambition and commitment to grow.	AD – EG	S/M
2. Key Account Management	Linked to the growth hub, sharpen the approach to **Key Account Management** through developing a programme to focus support on 50 companies.	AD – EG	S/M
3. Business Support Package	Develop a **menu of business support** including market research, supply chain activity, business to business support, innovation, recruitment support, bespoke packages, support grants and/ or loans.	AD – EG	S/M
4. Internationalisation programme	Work with the LEPs to develop and implement a local **internationalisation programme** in order to expand trade and investment capacity.	AD – EG	M
5. Accelerate business start-ups	Develop an **Enterprise and Entrepreneurship Action Plan** to generate and support business start-up activity across the area and foster a culture of enterprise.	AD – EG	M/L
6. Refresh approach to inward investment	In collaboration with SCR / D2N2, **refresh and develop an inward investment** approach to improve the perception of Bolsover as an investment location. The approach will focus on local actions to add value to sub-regional / regional activities including: • Targeted promotion and effective branding: raising the profile and visibility • Relationship building with agents / other intermediaries • Define the proposition and 'package' • Coordinate and share intelligence • Aftercare (link to Growth hub) • Robin Hood Line promotion.	AD – EG	S/M
7. Rural Development Action Plan	Prepare a **Rural Development Action Plan** (LEADER programme), working with the LEP, DCC, LAG and the private sector, in order to enhance the product and raise the profile of Bolsover as a place to visit.	JAD – EG	S/M

Enabling Housing Growth: increasing the supply, quality and range of housing to meet the needs of a growing population and support economic growth

Our objectives

- Bringing forward housing development sites.
- Increasing the provision of quality private sector housing supply.
- Support the acceleration of the delivery of new housing in key locations.
- Taking action to ensure that more affordable homes are available to rent or buy.
- Continuing to work with HCA and other strategic partners to accelerate the delivery of major regeneration projects across the area.
- Taking practical actions to bring empty homes back into use.

Bolsover Transformational Intervention Projects	Description	Lead (**)	Timescale
1. Empty Homes Programme	Prepare and launch an **Empty Homes Action Programme** to bring 700 long term empty properties back into use over 10 years.	AD – EG	S
2. Realise major housing / mixed-use regeneration projects	In partnership with key stakeholders (e.g. LEPs, HCA) ensure **delivery of major housing / mixed-use regeneration projects** including: • Brookvale, Shirebrook • Bolsover (focused on the North and East) • Castle Estate.	AD – EG AD – P & EH	S - L
3. Council homes building programme	Investigate and plan implementation (including delivery mechanism) to bring forward the **construction of new council homes.**	HOH	M
4. Facilitate a house building programme	Through the **production of a Housing Strategy** identify a range of interventions (including possible financial incentives) available to stimulate housing growth.	AD – EG	S
5. Relationship Management with Landowners and Developers (*)	Improve knowledge, intelligence and aftercare support by **supporting landowners and developers to take forward sites pre and post planning**.	AD – EG AD – P & EH B & CM	S
6. Realise the growth potential of Council-owned assets (*)	Through a procurement exercise establish interest from the market to work in partnership with the Council and **establish a delivery method for the development / refurbishment of key council-owned assets**, including establishing development agreements.	B & CM	S

(*) included in employment sites theme

Unlocking Development Potential: unlocking the capacity of major employment sites

Our objectives

- Continuing to work in partnership with the public and private sector to develop, manage and enhance key strategic employment areas.
- Work towards maintaining an appropriate supply of suitably located employment land and premises.
- Ensuring the adequate provision of business start-up and incubation units to support the growth of start-ups, small and medium sized enterprises.
- Work with established firms and to promote the appropriate development of land in their ownership, particularly large single companies.

Bolsover Transformational Intervention Projects	Description	Lead (**)	Timescale
1.M1 Growth Corridor	Develop the **M1 Strategic Growth Corridor** proposal as the principal economic growth location, including investigating strategic site development at Junction 28-30. Ensuring that the infrastructure required at junctions to enable growth is considered whilst also ensuring the East- West links through the district connect e.g. Shirebrook Regeneration route.	AD – EG AD – P & EH	S - L
2. Priority Site Interventions	Identify key actions and funding mechanisms to **bring forward site development** at principal employment growth locations including: • Former Coalite site • Shirebrook • Markham Vale.	AD – EG AD – P & EH	S - L
3. Relationship Management with Landowners and Developers (*)	Improve knowledge, intelligence and aftercare support to **supporting landowners and developers to take forward sites pre and post planning** such as Castlewood, Barlborough and Shirebrook.	AD – EG AD – P & EH	S
4.Realise the growth potential of Council-owned assets (*)	Through a procurement exercise establish interest from the market to work in partnership with the Council and **establish a delivery method for the development** / **refurbishment of key council-owned assets**, including establishing development agreements	B & CM	S

(*) included in housing theme

(**)   AD – EG - Assistant Director of Economic Growth

        AD - P & EH - Assistant Director of Planning and Environmental Health

        B & CM – Building and Contracts Manager

        HOH – Head of Housing

Bolsover District Council

Executive

16 June 2014

Housing Quarterly Report

Report of the Head of Housing (Portfolio Holder: Cllr K Reid)

This report is public

Purpose of the Report

- To ensure members are kept informed about developments in the Housing Service.

1   Report Details

1.1   This report covers the period of the fourth quarter in the 2013/14 financial year, and is accompanied by a statistical appendix showing performance of the period. In addition there are other matters to make members aware

1.2   Stock Condition Survey – the survey has now been completed and suggests investment of around £125million is needed of the 30 year life of the business plan. Whereas previous investment has focussed on ensuring properties met the Decent homes Standard, there is now the need to look at other requirements including new heating and replacement roof. A revised capital programme will be presented at a future meeting.

1.3   Cresta properties – members will be recall that the Housing Department has agreed to manage a small number of properties on behalf of Cresta (Groundwork Creswell trading arm). The first of these should be let from early June.

1.4   Rent Convergence – Members will be aware of recent consultation regarding the governments proposals to change the rent setting policy for social housing. The results of consultation have been announced, and appear to include only minor changes from the original proposal. In light of this a new rent setting policy will be developed and produced for a future meeting.

1.5   Supporting People – There are ongoing discussions with DCC regarding the future funding of services. DCC are about to launch round two of the consultation, this impacts directly on warden services, once available a more detailed briefing report will be prepared and a response sought from members. Discussions are ongoing regarding the alarm monitoring project.

1.6`   Repairs – The new planning roles introduced as part of the restructure have been introduced into the repairs office, this will free more resources for inspections and

staff supervision. Other posts impacted by the restructure are currently being evaluated.

2   Conclusions and Reasons for Recommendation

2.1   To note the comments

3   Consultation and Equality Impact

3.1   Not applicable, as this is a progress report.

4   Alternative Options and Reasons for Rejection

4.1   Not applicable

5   Implications

5.1   Finance and Risk Implications

Further reports will be brought to Executive concerning both the outcome of the Stock Condition Survey and the implications of rent convergence. These will provide an analysis of the associated financial impact.

5.2   Legal Implications including Data Protection

Not applicable

5.3   Human Resources Implications

Not applicable

6   Recommendations

6.1   That the comments in the report, and the performance in the appendix are noted.

7   Decision Information

Is the decision a Key Decision? (A Key Decision is one which results in income or expenditure to the Council of £50,000 or more or which has a significant impact on two or more District wards)	No
District Wards Affected	All
Links to Corporate Plan priorities or Policy Framework	

8   <u>Document Information</u>

Appendix No	Title
Background Papers (These are unpublished works which have been relied on to a material extent when preparing the report. They must be listed in the section below. If the report is going to Cabinet (NEDDC) or Executive (BDC) you must provide copies of the background papers)	
None	

Report Author	Contact Number
Peter Campbell	593038

Report Reference –

Bolsover District Council

Executive

16 June 2014

HRA Development

Report of the Head of Housing (Portfolio Holder: Cllr K Reid)

This report is public

Purpose of the Report

- To make members aware of the opportunity to use headroom borrowing within the Housing Revenue Account to build new properties and to make a major contribution to growth targets of the Council.
- To note that Officers are currently undertaking work aimed at developing a further phase of building new houses within the HRA in order to meet housing need within the District.

1 Report Details

1 Introduction

Historically, many Councils have supported the delivery of new affordable housing by transferring land at a nil or nominal value to a registered provider, which has then delivered the affordable housing, owned and managed it, normally in return for nomination rights to the council. Councils are now opting for direct delivery, and there are a number of reasons for this change of approach:

- Prior to self-financing the subsidy system took away the resources required to finance new affordable housing development. It was therefore not a viable option for local authorities to retain a financial interest in new affordable housing development. As part of the approach of localising the HRA, which has been progressed by both the previous and the current government, these financial constraints on building new housing have been removed and the new localised system is supportive of new build providing it can be demonstrated that this is financially sustainable within the context of the HRA 30 Year Business Plan. To date Bolsover District Council has constructed – or is in the process of constructing – some 55 new properties.

- Councils must retain a critical mass of housing stock to ensure that they can continue to provide cost effective services to tenants. . An increase in levels of Right to Buy, encouraged by recent changes to the national policy, has meant that many local

authorities are looking at opportunities to own new affordable housing and replenish lost stock.

• Registered providers (RP) are finding it harder to raise finance to deliver new affordable housing, in particular given the higher cost and short term nature of bank lending in the current economic climate.

• The reductions in grant from the Homes and Communities Agency under the affordable homes programme, and the scarcity of grant support within our region, make the transfer of land to an RP less attractive as the scheme economics are no longer as advantageous. Furthermore, RPs appear to be focussing their efforts on areas with higher rental values (linked to affordable rent), to help make schemes viable and keep required grant rates down.

Through the recent redevelopment of the Tarran estates, the Council has demonstrated that it can successfully deliver new build council homes, with 55 new properties already built or in progress. Building on this success, and recognising a need to replenish lost housing stock and deliver affordable housing that meets local housing needs, routes to delivering further new build council housing schemes have been considered. The Council intends to adopt a Growth Strategy in June 2014, and this will be supported by a Housing and Economic Development Strategy. This will allow detailed consideration of the delivery of three strategic objectives:

1. Increase the amount of new affordable good quality housing in the short, medium and long term;
2. Contribute to the regeneration of the district and deal with issues associated with areas of 'problem' housing, as identified in the recently completed stock condition survey; and
3. Assist in unlocking larger development sites through acquisition of affordable housing, acting as a catalyst to bring them forward for development.

2   Background


Self Financing and the HRA Business Plan

The move towards self financing and the debt settlement was intended to allow each council, from rental income, to manage its stock and maintain it in a good state of repair for 30 years, or replace is where necessary, with enough finance left over to meet debt interest and repay the debt over the same period.

For Bolsover - with a history of reaching the Decent Homes Standard, maintaining stock at good levels and offering a housing service at lower than average cost - this means that there is significant 'headroom' between the investment needs for the existing stock and the borrowing cap set by Government. This position has been confirmed by the outcome of the recent Stock Condition survey. While further work needs to be undertaken on analysing the outcomes of that work it is clear that Bolsover District Council is in a good position in terms of being able to generate the funding over the next 30 years which will maintain existing housing stock at the Decency Standard.

The current business plan has shown that the HRA is viable for the full 30 year period, and there remains significant headroom which will enable additional borrowing to finance the

costs of developing new housing. The following graph illustrates the debt profile against the debt cap. This suggests that debt could be repaid by year 21 if all surpluses were used to reduce debt.

Figure 1: Extract from HRA business plan showing debt cap and debt (shown in 000s)
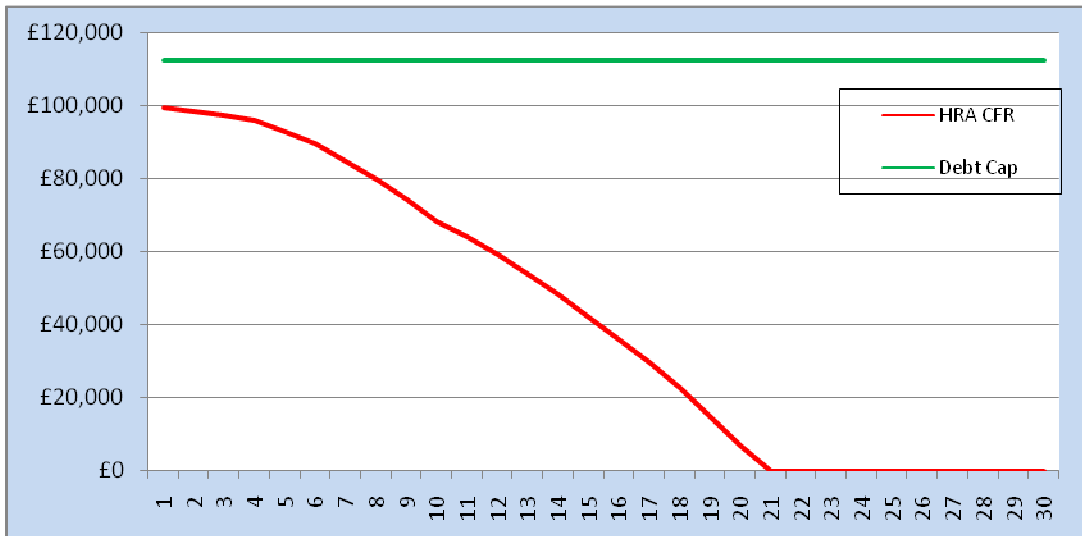
However, as the plan assumes that any surplus generated from within the HRA is used to reduce debt, once the debt is repaid, this will result in a large surplus within the HRA, as illustrated on the following graph. Figure 2 in Appendix 1 illustrates that on the basis that the projected level of surpluses are utilised to repay debt then the surpluses within the HRA would increase significantly at that stage.

Figure 2: Debt Repayment and Surplus (000's)
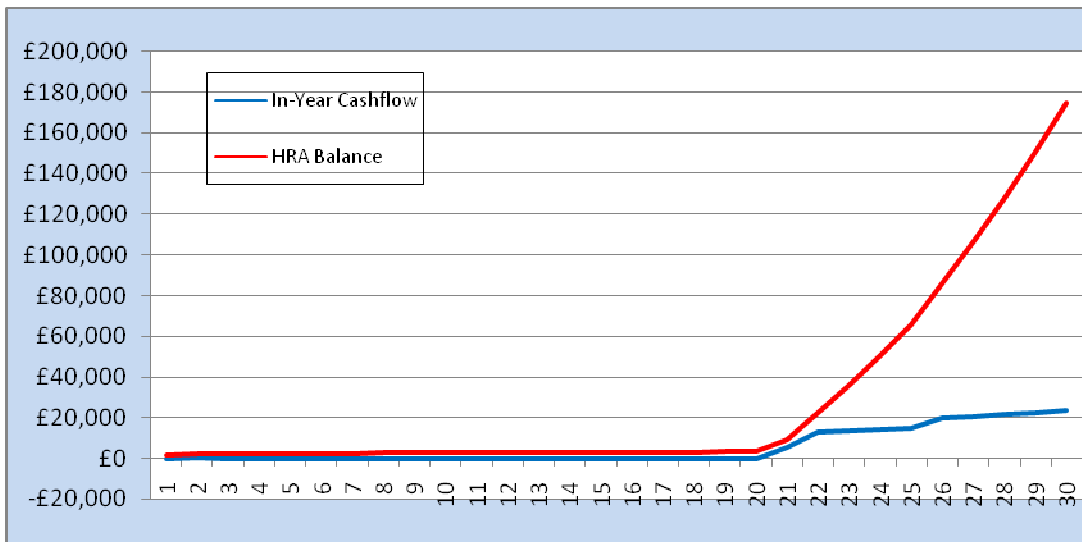
An alternative would be to make use of the headroom and undertake additional borrowing to fund the delivery of new housing within the HRA. This would mean that as the original debt is repaid, the council would make new borrowing to develop additional new build properties. This approach would have the clear advantage of ensuring the stock numbers – which otherwise would be reduced by Right to Buy - are maintained, while it will also

help ensure that local residents can continue to seek Council House Tenure as one of the means of securing affordable housing to meet their needs.


3 Development within the Housing Revenue Account

This is the preferred route to delivering new council housing, either through building new properties or acquisition of existing properties. Most authorities with available borrowing and revenue headroom will be developing some form of HRA build programme. There are financing reasons for this:

• HRA borrowing can only be used for HRA assets
• Generally speaking, revenue surpluses generated within the HRA can only be used for HRA purposes
• If a council wished to reinvest additional RTB receipts (under the local agreement arising from the extension of discounts), the only properties with a local authority financial interest are HRA properties. If there is not the opportunity to invest in HRA properties then part of this locally generated financial resource will be lost to central government.

To deliver new housing within the HRA, additional borrowing would be undertaken to fund development. This would mean that as the original debt is repaid, the Council would undertake new borrowing to deliver new build schemes. Borrowing is via PWLB at low current interest rates but is subject to the debt cap imposed under self-financing. It is recommended that total borrowing does not exceed 97.5% of the debt cap limit to allow for any currently unforeseen circumstances which arise within the existing stock. This can be seen in figure 3 below, with the difference between the HRA CFR and the 'suggested new borrowing' being the potential additional borrowing for any unforeseen circumstances. Or This would provide the HRA with what is in effect an additional financial reserve amounting to almost £3m.

Figure 3: Proposed Additional Borrowing (000's)
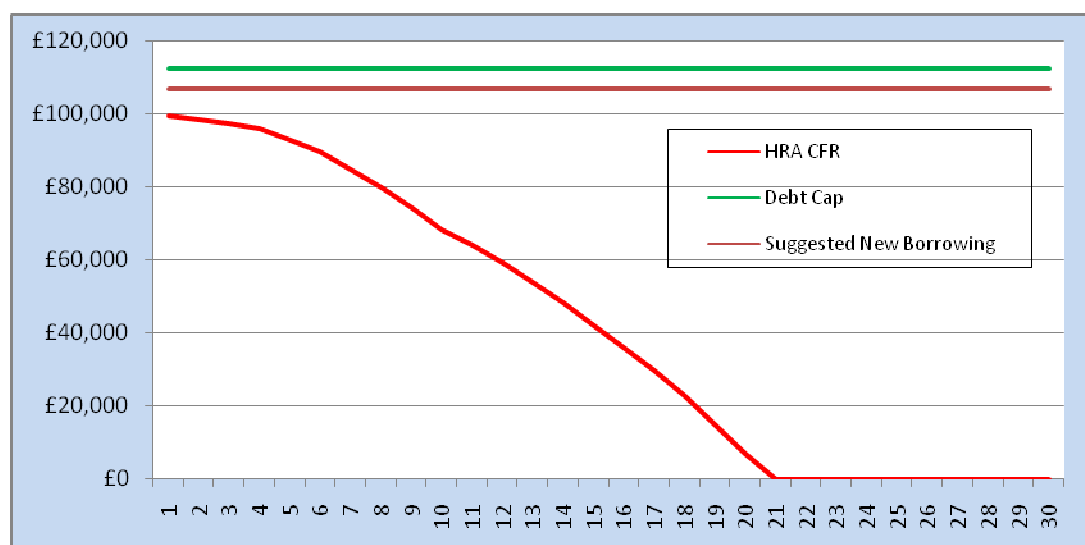
For 2014/5 this approach would allow the Council to borrow up to £15m within the HRA to invest in new build council housing, with the potential to increase this by around £3m per year as existing historic debt is repaid on an annual basis. To ensure that development

does not undermine the HRA business plan, each new development will need to undergo a viability assessment, to confirm whether it is financially sustainable and that it will make a positive contribution to the HRA. Detailed modelling will need to be undertaken to assess the scope to undertake new build and acquisitions, and the impact of undertaking this work. This modelling will be undertaken within the context of the 30 year HRA Business Plan which is currently being updated to reflect the outcome of the stock condition survey and also to amend the level of future rental streams in the light of the Government's recent changes to the rent convergence model.

Development of HRA properties can also be financed by all usual local authority and HRA routes:
- RTB receipts from both non-pooled and RTB-agreement sources
- Other receipts from disposal of HRA properties and other sites, this will include existing stock that is unviable.
- Section 106 commuted sums
- HRA Revenue and reserves
- Affordable Homes Programme grant funding from the Homes and Communities Agency.

The Council has a number of HRA sites with the potential to deliver housing.   These are in the process of being identified and prioritised based on their scale and the ease of delivery. However, building in the HRA will also allow council homes to be built on General Fund (GF) land, where there is a need for affordable housing and the land values make it an attractive option. In order to do this within the HRA a valuation would need to be undertaken which may result in a shift of resources between the HRA and the General Fund in which the Capital Financing Requirements for each account would be adjusted; this would increase the level of debt in the HRA, therefore eating into borrowing headroom. In both cases, there would be no taxation (Stamp Duty Land Tax) implications.   There is also the opportunity to address some 'regeneration targets' through the purchase of smaller private sites that would otherwise not be developed.

The additional HRA borrowing can also be used to increase council housing stock through the acquisition of existing properties. This may be through the opportunity to repurchase previously sold RTB properties. While this does not add to the overall stock in the district, these properties are often cheaper to purchase (in most cases) than to build new. Secondly, there may be the opportunity to purchase s106 properties direct from developers where other Registered Providers are unable to take the units and hence the development is stalled, although Bolsover currently has few such sites.

Development in the HRA could be for rented, shared ownership or other forms of affordable housing tenures. Development of housing for sale, from which profit is generated to subsidise affordable housing, is also deliverable within the HRA. This may help the Council to deliver housing that is less financially attractive, but may meet an identified need within the District .

Properties for rent in the HRA are normally let on 'secure' tenancies which carry the Right to Buy. The recently updated rules on the RTB mean that discounts potentially available to tenants of new properties are large over time. However, the 'cost floor' mechanism was also changed to extend to 15 years – effectively meaning that a new property cannot be sold for less than its build-plus-maintenance-cost for 15 years. Application for S80B exemption from the pooling of RTB receipts on any new HRA property built since April 2012 should be able to be secured (application to HCA) which means that any receipt

generated from the sale of a new build property would be retained locally, rather than being partially repayable to central government.

4   Proposal

There are two other potential routes to the delivery of new build council homes:

1.   *Development in a Special Purpose Vehicle (SPV)* – owned and managed wholly by the Council, with the general finances and accounting sitting within the General Fund, rather than the HRA.

2.   *Development in a Joint Venture Company (JVC)* – a JVC is established with the private sector to bring in expertise, and private finance from banks and institutional investors.

Due to lengthier implementation timescales, set up costs, increased risk, and higher costs of borrowing these are not considered to be the most effective or appropriate route for delivery at this time. Currently the HRA self financing system provides the Council with an affordable, straightforward and effective route to deliver new council housing. However, as development is brought forward and borrowing capacity and council land assets become depleted, the Council may wish to revisit other potential delivery routes to enable an ongoing programme of delivery to be undertaken.   This could see an indicative three phase programme to delivery new council housing, with options in phases 2 and 3 needing to be considered in more detail at a later time:

Activity	Phase 1 (2014/15 – 2016/17)	Phase 2 (2016/17 – 2018/19)	Phase 3 (2019/20 onwards)
Build within the HRA on HRA land	Yes	Yes	
Repurchase of previous RTB properties	Yes	Yes	Yes
Build within the HRA on GF land*	Yes	Yes	
Build within HRA on purchased land**	Yes	Yes	Yes
Acquisition of S106 properties	Yes	Yes	Yes
Regeneration of HRA sites		Yes	Yes
Develop outside the HRA in SPV		Consideration	Possible
JV with other partners			Consideration

*Pending sites being considered as part of the Development Fund process.
** Pending consideration and approval

5   Next Steps

On the 3rd February 2014, Executive agreed a report setting out proposals to establish a Development Fund to bring forward council owned land for housing, commercial and mixed use development. Executive agreed to the creation of the Fund, using £70,000 of the Council's Efficiency Grant as the initial capital. The Fund will be used to finance options appraisal, viability and other works needed to successfully bring forward council owned sites for development, regeneration and to generate capital receipts.

Although the Development Fund's role is to bring forward sites within the General Fund, in order to streamline the process and ensure a consistent council wide approach, a single process for identifying potential land for development has been applied to sites within both the General Fund and the Housing Revenue Account. This has been a joint approach involving officers from Housing, Regeneration, Planning and Economic Growth. A shortlist of potential sites was presented to the Asset Management Group (a working group with officers and the Deputy Leader) in May 2014, and an initial tranche of prioritised sites was agreed by the Group.

Some of the sites, especially those owned by the HRA, are more suited for the development of Social Housing and it is therefore proposed to progress HRA sites through the same mechanism as the General Fund sites, whereby consultants are appointed to undertake options appraisal and viability work on HRA sites to assess the potential of sites to deliver new social housing. The costs associated with this piece of work will require additional funding, which will be met from within the HRA.

If the decision is taken to build new Council Housing, there will be a need to identify a contractor to build the properties. Officers are currently considering an appropriate route for the procurement of both consultants and contractors. Given the Council's experience of developing new homes and the desirability of maintaining the momentum in building new properties it is considered likely that officers will look towards pre-tendered framework agreements which should allow a start on site within the next 12 months. This procurement process will be subject to a separate report as part of the consideration of a detailed scheme.

6   Conclusions and Reasons for Recommendation

A decision to develop new properties within the HRA is an opportunity for the Council to improve the quality of housing within the District, to increase the number of affordable homes to meet identified local needs, and to contribute to the wider growth aspirations of the Council.

7   Consultation and Equality Impact

At this stage there has been no specific consultation on this proposal. Likewise there has been no specific equality impact assessment carried out. These issues will be considered as part of the detailed development of the scheme.

8   Alternative Options and Reasons for Rejection

These are covered in the main report before recommending that the option of development within the HRA was the most appropriate option at this point in time.

9   Implications

9.1   Finance and Risk Implications

This report proposes additional borrowing within the HRA up to 97.5% of the borrowing cap as an in principle decision. Further work will be undertaken on both the overall HRA Business Plan and on appraising each individual scheme to ensure that any proposals are financially sustainable. The outcome of this work will be reported to a future meeting of this Committee as part of the process of approving detailed schemes.

The costs of the initial viability work which will be up to £100,000 will be met from within the HRA Development Reserve which has been created to promote new build.

9.2 **Legal Implications including Data Protection**

Not directly, however a viability assessment for a site may identify specific legal issues, which would be subject to separate reporting.

9.3 **Human Resources Implications**

None directly arising out of this report.

10 **Recommendations**

It is recommended that Executive make the following recommendations to Council:

10.1   Agree, in principle, to increase the borrowing within the HRA to up to 97.5% of the debt cap to allow new build properties to be provided from within the HRA.

10.2   Endorse the process for identifying HRA sites with the potential to deliver new housing, and agree to options appraisal and viability assessment work being undertaken on these to assess the potential for them to deliver new social housing within the HRA.

10.3   Agree the establishment of a HRA fund, similar to the previously agreed Development Fund for the General Fund, to allow HRA sites to progress through viability assessment, options appraisals and planning.

10.4   To give delegated authority to the Head of Housing, in consultation with the Portfolio Holder for Housing and the Joint Executive Director of Operations to spend up to £100,000 from the HRA Development Reserve in order to progress scheme viability work.

10.5   That the Head of Housing, with agreement of the Joint Executive Director of Operations and in consultation with the Portfolio Holder for Housing, is given delegated authority to appoint consultants for works as identified through the Asset Management Group.

10.6   That the Head of Housing progresses detailed work including the development of procurement arrangements which will facilitate an early commencement on site. The approach adopted will be subject to a further report to Executive as part of the process of agreeing a detailed scheme.

11   **Decision Information**

Is the decision a Key Decision? (A Key Decision is one which results in income or expenditure to the Council of £50,000 or more or which has a significant impact on two or more District wards)	Yes

District Wards Affected	All
Links to Corporate Plan priorities or Policy Framework	Maximise the supply of affordable housing in the District and deliver an average of 20 units per annum by March 2015. Deliver £100,000 of New Homes Bonus per annum in the District as part of the Local Investment Plan through the delivery of new affordable housing, empty properties brought back into use and mortgage assistance schemes.

8   <u>Document Information</u>

Appendix No	Title
Background Papers (These are unpublished works which have been relied on to a material extent when preparing the report. They must be listed in the section below. If the report is going to Cabinet (NEDDC) or Executive (BDC) you must provide copies of the background papers)	

Report Author	Contact Number

Report Reference –

The Arc
High Street
Clowne
Derbyshire
S43 4JY

EXECUTIVE

16 JUNE 2014

The Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012

Further Notice of Intention to Conduct Business in Private

Notice is hereby given in accordance with Regulation 5 of the Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012 that the following items will be considered in private:

Bolsover ERDF Economic Infrastructure Project – Public Realm Tender

The reason that the above item is to be considered in private session is that it may involve the disclosure of information relating to the financial or business affairs of the authority.

Key Decision to be taken under Special Urgency

Notice is hereby given in accordance with Regulation 11 of the Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012 that the following Key Decision is urgent:

Bolsover ERDF Economic Infrastructure Project – Public Realm Tender

This decision is urgent because any delay likely to be caused by the call-in process would seriously prejudice the public interest and the Council's commercial interests. The decision will therefore not be subject to call in. Two of the three available scrutiny chairs have agreed to the matter being treated as urgent.

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Notice of Intention to Consider Key Decision under General Exception

Notice is hereby given in accordance with Regulation 10 of the Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012 that the following Key Decision, which was not included on the latest List of Key Decisions, will be considered at the above meeting of Executive

HRA Development

The reason that it was not practicable to comply with Regulation 9 was because the opportunities presented within the report were not reasonably foreseeable when the 28-day notice was despatched. The Council's three scrutiny chairs have been informed.

Key Decision to be taken under General Exception in Private

Notice is hereby given in accordance with Regulation 5 and 10 of the Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012 that the following Key Decision, which was not included on the latest List of Key Decisions, will be considered at the above meeting of Executive in private:

Tender for Fencing Works in Creswell

The reason that the above item was not on the latest List of Key Decisions or Exempt Items was because, although the work was correctly tendered for and properly evaluated, the requirement to obtain final approval from Executive was not obtained as a result of an oversight. The works have since commenced and are due to be completed shortly.

The matter is urgent and cannot be reasonably deferred because there is insufficient time before the works are completed and payment for those works pursuant to the contract must be satisfied.

The Council's three Scrutiny Chairs have been informed of the decision to be taken and have consented to it being taken in private.

The Council's three Scrutiny Chairs have been informed of the intention to consider this item.

W. Lumley BSc, FCCA,
Chief Executive Officer
6 June 2014

EXECUTIVE

Minutes of a meeting of the Executive held in the Chamber Suites, The Arc, Clowne, on Tuesday, 13 May 2014 at 1000 hours.

PRESENT:-

Councillor E Watts in the Chair

Members:-

Councillor R Bowler, D Kelly, B Murray-Carr, K Reid, A Syrett and A Tomlinson

Officers:-

W Lumley (Chief Executive Officer), B Mason (Executive Director – Operations), P Hackett (Executive Director - Transformation), S Sternberg (Assistant Director - Governance and Monitoring Officer), M Kane (Governance Manager), S Chambers (Communications Officer), K Drury (Information and Engagement Manager), P Campbell (Head of Housing) and T Garrod (Projects Officers – Tourism)

1073.   APOLOGIES FOR ABSENCE

There were no apologies for absence made at this meeting.

1074.   URGENT ITEMS OF BUSINESS

There were no items of urgency considered at this meeting.

1075.   DECLARATIONS OF INTEREST

Councillor A Tomlinson declared a significant non statutory interest in item 9 on the agenda, Public Realm Tender, since he was a Board Member of one of the companies who had a subsidiary company that had taken part in the tender. Councillor Tomlinson would leave the meeting room prior to item 9 and not take part in the debate or vote thereon.

1076.   MINUTES OF EXECUTIVE HELD ON 14 APRIL 2014

Moved by Councillor E Watts and seconded by Councillor A Tomlinson.
RESOLVED that the minutes of the meeting of Executive held on 14 April 2014 be approved as a correct record and signed by the Chairman.

(Governance Manager)

1077.   RECOMMENDED ITEMS FROM OTHER STANDING COMMITTEES

There were no recommended items to be considered from other standing committees at this meeting.

1

1078.   **INFORMATION REQUESTS – OCTOBER 2013 TO MARCH 2014**

Executive considered a report which set out the Information Requests made under the Freedom of Information, Environmental Information and Data Protection legislation from 1 October 2013 to 31 March 2014. The report also provided a summary for the previous year.

The final quarter of 2013/14 had seen 275 Freedom of Information requests and 54 Environmental Information requests, making 329 requests in total for processing. An appendix to the report set out the requests per department. All requests were responded to within the target time of 20 days.

In respect of 2013/14 the Council had received 472 Freedom of Information requests and 94 Environmental Information Regulations requests, making a total of 566 requests for the year. This represented an increase of 34% when compared with 2012/13. All requests were responded to within the standard time of 20 days.

In respect of Data Protection, there had been two Subject Access Requests and 14 Third Party requests for personal data held within the quarter. All had been responded to within the target time of 40 calendar days. Across 2013/14 the Council had received 36 requests in total, which represented an increase of 38% compared with the previous year. All had been responded to within the statutory time scale.

Executive passed on their congratulations to the Information and Engagement Manager for her recent qualification success. Noting the increase in the number of information requests, Executive felt that it was imperative that as much information as possible was placed on the Council's website.

Moved by Councillor R Bowler and seconded by Councillor E Watts.
RESOLVED that the report on Information Requests – October 2013 and March 2014 be noted.

REASON FOR DECISION: To keep Members informed of volumes and trends regarding information requests.

OTHER OPTIONS CONSIDERED: None.
                               (Information and Engagement Manager)

1079.   **MEDIUM TERM FINANCIAL PLAN**

Executive considered a report of the Executive Director – Operations which sought the approval, via Council, of two posts to facilitate the Council's Transformation Agenda. The report also sought Executive's approval for a simplification in the number and purpose of reserves held by the Council and to provide an update on proposed procurement arrangements for securing new banking arrangements following the withdrawal of the Co-op Bank from the local authority sector.

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Members were aware that the Council had recently purchased the Firmstep Customer Information System which was a key platform for the Council's Transformation Programme. As part of phase 1 of this project the post of CIS (Customer Information System) Developer was established on a temporary basis. It was now necessary to agree that this post be established as a joint post across both authorities on a full-time basis. Details of financing arrangements were set out in the report.

In addition, a number of short term issues associated with the project had necessitated the involvement of the ICT Team's Application Development Officers. In order to address short term issues in capacity it was recommended that a temporary post of Business Development Officer be established. A job description had been created for this post based on those already in existence within ICT and the likely resource implication was one of £35,000, including overheads, subject to job evaluation. The temporary 18 month post would be based on the North East Derbyshire establishment.

In respect of the Council's earmarked reserves, Executive was advised that the Council held approximately 15 earmarked reserves, five of which were anticipated to contain less than £50,000 at the end of the last financial year. The existence of such a large number of reserves unnecessarily complicated the Council's financial accounts and made them less than transparent.

It was proposed that the Transformation Reserve be merged with the Transition Grant Reserve, with the new Reserve retaining the title of the Transformation Reserve. In addition, it was recommended that the efficiency reward grant of some £0.25M, together with any of the 2013/2014 Efficiency Grant which remained unspent at the year, was transferred into the Transformation Reserve. Given that the 2013/2014 Efficiency Grant underspend would be required to meet contractual commitments the Council should have a sum in the order of £2M available for additional investment. The purpose of this reserve would be to support Invest to Save projects which generated ongoing revenue efficiencies such as property rationalisation and shared services.

With respect to the five funds which contained less than £50,000 it was recommended that the future of these funds be considered as part of the process of closing down the 2013/2014 financial accounts, with the Chief Financial Officer determining which of the funds would be closed or merged with other reserves.

In respect of the Council's banking arrangements, Executive was advised that the Council's existing contract with the Co-operative Bank ran until March 2017. Officers had indicated in the Treasury Management Strategy report taken to Council on 12 February 2014 that the plan was to undertake a banking tender exercise that commenced in February 2015, with a view to a 1 September 2015 change over date.

Since that report it had become increasingly apparent that the Co-operative Bank would prefer a shorter run off period for all local authorities to leave existing contracts. Officers had carefully considered the position and had reached the conclusion that it would be preferable for the Council to undertake the tender exercise at a much earlier point than originally planned. Officers had also held discussions with neighbouring Councils to seek their views and opinions on the current position. These discussions also showed that the majority of these councils would be looking to undertake a bank tender exercise in the near future. As a result, officers had explored the option of a group tender exercise between interested councils and five councils were wishing to participate.

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This area of work had a limited number of companies/consultants that offered services. Two companies were considered and following a presentation and review of the proposals, one company was the preferred choice of the five councils. This company would be required to review the current transactional banking arrangements of each organisation and to undertake a formal tender on behalf of all participants. It was anticipated that the tender exercise would commence in May 2014 and conclude in mid September 2014 with the appointment of a single bank who would deliver the same banking services model to each council involved in the tender.

Members considered the report and felt that it would be beneficial to have a full breakdown of each reserve held by the Council. The Executive Director – Operations undertook to provide this information to a future meeting.

Moved by Councillor E Watts and seconded by Councillor A Tomlinson.
RESOLVED – That Executive:-

(1) Recommends to Council that it be agreed that a post of Customer Information Systems Developer be added to the Council's staffing establishment at an estimated annual cost of £12,000 p.a. (to this Council) with the post to be funded from Efficiency Grant in 2014/15 and from mainstream budgets in future financial years.

(2) Approves that Bolsover District Council agree to fund 50% of the costs of the post of Business Developer Officer (amounting to up to £17,500 p.a. for this Council) to be hosted by North East Derbyshire for a period of 18 months, with the post to be funded by Efficiency Grant or other earmarked financial reserves.

(3) Approves that the Transition Grant Reserve, the Efficiency Reward Grant Bonus , together with any 2013/14 Efficiency Grant to be carried forward into 2014/15 be transferred into the Transformation Grant Reserve with these resources to be earmarked to funding Invest to Save expenditure which reduces the Council's underlying base budget.

(4) Notes that the Chief Financial Officer will authorise measures designed to simplify and reduce the number of financial reserves under £50,000 held by the Council as part of the process of closing the 2013/14 Financial Accounts, with the position to be reported to Members as part of the Financial Outturn reporting process.

(5) Notes the updated position in respect of the proposed procurement route for securing a new supplier of banking services to replace the Co-op Bank which no longer wishes to be a supplier of banking to local authorities.

REASON FOR DECISION: (1) To improve the service that the Council offers to local residents while securing financial efficiencies necessary to operate effectively against the background of ongoing reductions in the level of central government financial support for local authorities.

(2)   To simplify the Council's accounting arrangements in respect of its financial reserves to aid completion of accounting systems and to facilitate an easier understanding of the Council's financial position.

(3)   To ensure that the Council continues to have appropriate banking arrangements in place.

OTHER OPTIONS CONSIDERED: These were set out at paragraphs 4.1 to 4.3 of the report.

(Executive Director - Operations)

1080.   THE LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985

RESOLVED that under Section 100(A)(4) of the Local Government Act 1972 (as amended), the public be excluded from the meeting for the following items of business on the grounds that they involve the likely disclosure of exempt information as defined in the stated Paragraph 1, 3 and 4 of Part 1 of Schedule 12A of the Act and it is not in the public interest for that to be revealed.

**1081.   EXEMPT – PARAGRAPHS 1 & 3
FORMER TENANT ARREARS WRITE OFFS**

Executive considered a report of the Head of Housing which sought write off of former tenants' arrears deemed to be irrecoverable to the value of £76,344.90.

Executive was reminded that it had adopted a new policy to recover debt in 2009, which was more robust than the one it had replaced, especially for those tenants with a high level of arrears. In addition to the Council's own officers undertaking a more proactive role, the Council also used tracing agents and a specialist recovery service as part of the debt recovery process.

The process adopted by the Council included periods of time before moving to the next step which was designed to increase the possibility of recovery and trace as it allowed the tenant to produce evidence at their new address. The new approach had been applied retrospectively to all tenants arrears.

The report requested the write off of 31 cases with a total debt of £76,344.90. The tenants had been evicted or absconded prior to eviction, leaving debt. Attempts to trace the tenants had not been successful and in many cases the Council had attempted to trace through different agencies. Given the level of debt, it was probable that these people had multiple debt issues.

Moved by Councillor K Reid and seconded by Councillor E Watts.
RESOLVED that:-

EXECUTIVE

(1) Members agree to write off former tenants arrears as detailed in the schedule attached as Appendix A to the report.

(2) In accordance with the Policy, these debts may be written back on if further evidence became available without the need for a further report.

REASON FOR DECISION: (1) In order to provide accurate financial statements and make the Council aware of its financial position.

(2) To enable officers to focus on that debt which is recoverable, thus maximising the overall collection rate.

OTHER OPTIONS CONSIDERED: No action, which was rejected as it may result in inaccurate financial statements.

(Head of Housing)

1082. EXEMPT – PARAGRAPH 3
PUBLIC REALM TENDER

Executive considered a report of the Projects Officer (Tourism), which sought agreement to appoint the chosen supplier to deliver the Bolsover Town Public Realm Tender as part of the Bolsover ERDF project.

Executive were advised that the Council had submitted an application for European Regional Development Funding (ERDF) towards improving the public realm and infrastructure for Bolsover Town. In January 2014, a funding offer was confirmed and the project was to run from January 2014 to March 2015.

The public realm tender was part of a series of tenders intended to support the project. Details of the tender process was outlined within the report.

A total of 19 companies requested tender documents with six submitting a response to the tender. The total budget allocated for the design and delivery of the public realm works tender was specified as being £398,000, making this a Key Decision. The tender was evaluated on the basis of 40% price and 60% quality. NM Construction came out on top in both categories.

Moved by Councillor E Watts and seconded by Councillor A Tomlinson.
RESOLVED that Executive agree to appoint N M Construction to deliver the Bolsover Town Public Realm Tender as part of the Bolsover ERDF Project.

REASON FOR DECISION: To appoint a tenderer for the Bolsover Town Public Realm Tender.

OTHER OPTIONS CONSIDERED: The unsuccessful tenders, including details of their prices and scores, were set out in the report. A detailed reason for recommendation was set out within paragraph 2.1 of the report.

(Projects Officer – Tourism)

The meeting concluded at 1045 hours

BDC Executive Mins (0513) 2014/AJD