

Public Document Pack

JOHN WARD

Head of Finance and Governance Services

Contact: Mrs Bambi Jones on 01243 534685

Email: bjones@chichester.gov.uk

East Pallant House

1 East Pallant

Chichester

West Sussex

PO19 1TY

Tel: 01243 785166

www.chichester.gov.uk



A meeting of **Corporate Governance & Audit Committee** will be held in Committee Room 2, East Pallant House on **Thursday 28 September 2017 at 9.30 am**

MEMBERS: Mrs P Tull (Chairman), Mr G Barrett (Vice-Chairman), Mr J Brown, Mr T Dempster, Mrs N Graves, Mrs P Hardwick, Mr G Hicks, Mr F Hobbs, Mr S Morley and Mr P Wilding

AGENDA

- 1 **Chairman's Announcements**
Any apologies for absence that have been received will be noted at this point.
- 2 **Approval of Minutes** (Pages 1 - 9)
The committee is requested to approve the minutes of its ordinary meeting on 29 June 2017.
- 3 **Urgent items**
The chairman will announce any urgent items that due to special circumstances are to be dealt with under the Late Items agenda item.
- 4 **Declarations of Interest**
These declarations of interest are to be made by members of the Corporate Governance and Audit Committee or other Chichester District Council members present in respect of matters on the agenda for this meeting.
- 5 **Public Question Time**
The procedure for submitting public questions in writing by no later than 12:00 on Wednesday 27 September 2017 is available upon request to Member Services (the contact details for which appear on the front page of this agenda).
- 6 **Audit Results Report 2016-17** (Pages 10 - 44)
The committee is requested to consider and note the attached report which summarises the external auditor's audit conclusion in relation to the Council's financial position and results of operations for the year end 31 March 2017.
- 7 **Statement of Accounts 2016-17** (Pages 45 - 49)
The committee is requested to consider the audited Statement of Accounts shown in Appendix 1 for the financial year ended 31 March 2017, to note the audited outturn position and to agree the Letter of Representation to be given to the council's External Auditor.
(Note: The appendix to this report will be circulated as a separate document to members of the committee and senior officers only. It may be viewed on the Council's website [here](#).)
- 8 **2016-17 Annual Governance Statement and Corporate Governance Report** (Pages 50 - 65)
The committee is required to report to Council each year on the effectiveness of

the Council's governance arrangements. The committee is therefore requested to consider this annual report and to recommend it to Council for approval.

9 **Strategic Partnerships Review 2017** (Pages 66 - 87)

The committee is requested to consider this annual report on the effectiveness of the Council's strategic partnerships to satisfy themselves that these partnerships have appropriate governance measures and risk monitoring procedures in place.

10 **Complaints, Freedom of Information Requests and Data Protection Analysis Review 2016/17** (Pages 88 - 113)

The committee is requested to consider the information provided in this report and to make any appropriate recommendations as to future monitoring arrangements to identify business improvement where appropriate.

11 **Fraud Report 2016-17** (Pages 114 - 117)

The committee is requested to consider this report and the corporate approach to fighting fraud to ensure they fulfil their stewardship role and protect the public purse and to note that the Council will actively pursue potential frauds identified through ongoing investigations by the Corporate Counter Fraud Officer (CCFO).

12 **Internal Audit - Audit Plan Progress** (Pages 118 - 121)

The committee is requested to consider and note the audit plan progress report.

13 **Exclusion of the Press and Public**

There are no restricted items for consideration.

14 **Late items**

The committee will consider any late items as follows:

- (a) Items added to the agenda papers and made available for public inspection
- (b) Items that the chairman has agreed should be taken as a matter of urgency by reason of special circumstances to be reported at the meeting

NOTES

1. The press and public may be excluded from the meeting during any item of business where it is likely that there would be disclosure of "exempt information" as defined in section 100A of and Schedule 12A to the Local Government Act 1972.
2. Restrictions have been introduced on the distribution of paper copies of supplementary information circulated separately from the agenda as follows:
 - a) Members of the Corporate Governance & Audit Committee, the Cabinet and Senior Officers receive paper copies of the supplements (including appendices).
 - b) The press and public may view this information on the council's website here [here](#) unless they contain exempt information.
3. The open proceedings of this meeting will be audio recorded and the recording will be retained in accordance with the council's information and data policies. If a member of the public enters the committee room or makes a representation to the meeting, they will be deemed to have consented to being audio recorded. If members of the public have any queries regarding the audio recording of this meeting, please liaise with the contact for this meeting at the front of this agenda.
4. Subject to the provisions allowing the exclusion of the press and public, the photographing, filming or recording of this meeting from the public seating area is permitted. To assist with the management of the meeting, anyone wishing to do this is asked to inform the chairman of the meeting of their intention before the meeting starts. The use of mobile devices for access to social media is permitted, but these should be switched to silent for the duration of the meeting. Those undertaking such activities must do so discreetly and not disrupt the meeting, for example by oral commentary, excessive noise, distracting movement or flash photography. Filming of children, vulnerable adults or members of the audience who object should be avoided.



Minutes of the meeting of the **Corporate Governance & Audit Committee** held in Committee Room 2, East Pallant House on Thursday 29 June 2017 at 9.30 am

Members Present: Mrs P Tull (Chairman), Mr G Barrett (Vice-Chairman), Mr J Brown, Mr T Dempster, Mrs N Graves, Mrs P Hardwick, Mr G Hicks, Mr F Hobbs and Mr S Morley

Members not present: Mr P Wilding

In attendance by invitation: Mr M Young (Ernst & Young LLP) and Ms E Munns (West Sussex County Council)

Officers present: Mrs H Belenger (Accountancy Services Manager), Mr N Bennett (Legal and Democratic Services Manager), Mr M Catlow (Group Accountant (Technical and Exchequer)), Mr S Davies (Planning Obligations Monitoring and Implementation Officer), Mrs K Dower (Principal Planning Officer (Infrastructure Planning)), Mr S James (Principal Auditor), Mrs B Jones (Principal Scrutiny Officer), Mrs S Peyman (Sport and Leisure Development Manager), Ms S Shipway and Mr W Townsend (Health and Safety Manager)

126 **Chairman's Announcements**

The Chairman welcomed all to the meeting. She wished to welcome the two new members of the committee – Mr Jonathan Brown and Mr Peter Wilding. Mr Wilding had given his apologies for this meeting.

127 **Approval of Minutes**

The minutes of the meeting held on 30 March 2017 were agreed as a correct record subject to the following amendment:

- Minute 122, final bullet point – replace 'Manhood Peninsular' with 'Manhood Peninsula'

128 **Urgent items**

There were no urgent items for consideration at this meeting.

129 **Declarations of Interest**

Members were reminded to make any declarations of interest at the relevant item on the agenda.

130 **Public Question Time**

No public questions had been received.

131 **Audit and Certification Fees 2017-18 - Ernst & Young LLP (EY)**

The committee considered the report in the agenda (copy attached to the official minutes).

Mr Young (Ernst & Young LLP) presented the report. Mrs Belenger also responded to questions from members.

Mr Young advised that Public Sector Audit Appointments Ltd (PSAA) were still busy with the retendering exercise therefore the 2017-18 indicative fee had not yet been released however the 2016-17 fee should be used as an indication. EY had been awarded Lot 2 in the tendering exercise by PSAA. Auditors would be appointed for a period of five years by PSAA after any necessary consultation with individual authorities, by 31 December 2017 at the latest. .

The committee made the following comments and received answers to questions as follows:

- If the PSAA decides to rotate auditors it may be that EY will not be our auditors going forward.
- An increase in the inflation rate would not be something which would trigger a fee increase.

RESOLVED

That the Ernst & Young LLP Audit and Certification Fees 2017-18 be noted.

132 **Audit Progress Report 2016-17 - Ernst & Young LLP**

Mr Young gave an oral update on the progress of the 2016-17 audit.

He advised that everything was on track; the early testing and controls testing had been completed and there was nothing of significance to report to the committee. Plans were in place for the grant certification testing – the housing benefit claim had progressed well with testing carried out in April. The statutory accounts and audit results report would be reported to the committee in September with the grants certification report later in the year.

133 **Corporate Debt Recovery Policy and Write-Off Policy**

The committee considered the report in the agenda (copy attached to the official minutes).

Mrs Belenger introduced the report, drawing members' attention to one of the actions from the Estates report at the last meeting which was to develop a Write-off

Policy hence this report which included an amended Corporate Debt Recovery Policy. This was a coordinated approach to dealing with those who had debts with the Council, specifically those who had multiple debts. This debt recovery policy had been updated and the Communities team had been consulted for their views on financial inclusion and to incorporate a definition of a 'vulnerable person'. The policy contained minor procedural changes and governance arrangements but no changes of a financial management nature.

The Constitution sets out the delegation to the Head of Finance & Governance (Section 151 officer) to write off any debts considered to be irrecoverable. The write off policy was setting out a scheme of delegation agreed by the Head of Finance & Governance which allows specific officers to write off smaller irrecoverable debts. The Write-off Policy sets out what determines a justifiable reason to write off an irrecoverable debt and the procedure to manage this process.

The Corporate Debt Recovery Policy with track changes was available to those who wanted to refer to it.

Corporate debt Policy

- Some members thought that there was a lack of clarity as a policy document and suggested that the primary aim on page 10 could be made clearer by perhaps being set out under four headings e.g. promptness, fairness, facilitating process and a coordinated approach.
- More information on financial inclusion would be included from colleagues when their work on this is finalised. A light touch approach had been carried out this time and further amendments would be included with the next review of the policy.
- Page 11, third para under Arrangements for repayment of arrears - the 'consequences with a view to minimising the effects' section to be reworded slightly to read 'the potential consequences of non-payment of the debt'.
- Page 11 - the final bullet point should be split into two.
- An annual report on write-offs is published to the modern.gov library.
- Accountancy assess the adequacy of the bad debt provisions required for debts owed to the council, such as housing benefit overpayments during the budget cycle and final accounts processes. The top 10 debtors of the Council are reported to Mr Ward as S151 Officer and aged debts reports are looked at on a quarterly basis.
- It is not down to the service to approve a write off as it is the Revenue recovery teams view to recommend any write offs to Mr Ward after consultation with the Exchequer and Legal Services. Council Tax and Business Rates debts are considered by the Revenues Manager. All write-offs under the scheme of delegation will be reported to Mr Ward who will have oversight of the entire process.
- Page 14 – amend 'people who appear to have mental health issues...' to 'people who may have mental health issues...'
- Include details of the Council's outstanding debt which would give an indication of the amount of effort we should be spending on getting the policy right and the trends as well as details of those who are writing the debt off.

Write-off Policy

- The Council's normal invoicing and reminder procedure includes a trigger to alert the service area that service provision should be stopped due to non-payment of invoice(s) e.g. trade waste. The Revenue Recovery team, in liaison with legal services, will take each circumstance into account when determining whether a debt will be re-instated, including grounds of vulnerability.
- Page 18 - add a definition of irrecoverable debts and the procedure in relation to writing off.
- We do not currently compare ourselves with other local authorities in respect of write-offs as this would depend on which services other authorities may offer. However this would be considered.
- The Community Services team liaises with outside agencies to offer support to vulnerable people. The Citizens Advice Bureau has a good practice guide which has been taken into account in the preparation of this document.
- As a corporate body we share information on debts as appropriate between services internally and there is no data protection issue as we do not share this information externally.
- We distinguish between those who are unwilling to pay and those who are unable to pay. We use tracing agencies when we have exhausted all avenues and write off the debt if it is deemed irrecoverable. If the absconder is subsequently traced we would make a decision as to whether to reinstate the debt if it was still within the time limit.
- Request to include the reasons for the debt write off in reporting to Mr Ward.

RECOMMENDED TO CABINET

That, subject to the inclusion of the amendments raised above, the updated Corporate Debt Recovery Policy and the Write-off Policy be approved.

134 Treasury Management 2016-17 Outturn Report

The committee considered the report in the agenda (copy attached to the official minutes).

Mr Catlow presented the report.

The committee made the following comments and received answers to questions as follows:

- There is a lot of uncertainty over Brexit and we will be guided by our treasury management consultants. We will be in a depressed interest rate market for the foreseeable future.
- An explanation of traffic light system was given. Request was made to include this clarification in future reporting.
- The Investment Protocol approved by the Council gives priority to investments within the district area however opportunities to acquire properties elsewhere are not excluded. Investments in estates are considered by estates officers and opportunities tended to be concentrated in an area due to demographics and/or business.
- Capital expenditure is £1.6m less than the estimate and described as 'variations and underspends' including slippage of some schemes.

RESOLVED

That the final Prudential Indicators for 2016-17 to 2021-22 as detailed in appendix 1 to the report be noted.

RECOMMEND TO CABINET

That the 2016-17 Treasury Management Outturn Report be approved.

135 S106 and Community Infrastructure Levy (CIL) Annual Monitoring Report

The committee considered the report in the agenda (copy attached to the official minutes).

Mrs Dower presented the report. Mr Davies and Ms Munns (WSCC) were available to answer questions. Mr S Oakley (district council member) was permitted by the Chairman to ask a number of questions.

Mrs Dower reminded members that this was the full S106 annual report and that the committee also received a report in November each year on those S106 agreements coming up to their target spend date. Reports were also produced by ward in March and September each year for members to access on the Council's intranet.

The number of S106 agreements produced over the last year had been scaled back as the new CIL regime was introduced. New this year was the CIL monitoring report, which would be included with the authority's monitoring report published in December each year.

The committee made the following comments and received answers to questions as follows:

- Land rear of Premier Business Park – this is in relation to a recreation disturbance payment paid at the outset under a unilateral undertaking (which is the route most developers choose). If the application is refused then the money is returned to the developer.
- Request to show greater transparency in what has been achieved from S106 and CIL payments. Members were reminded that the role of this committee was to review governance and ensure processes were adequate to ensure that this procedure ran smoothly. The ward reports gave more detail on the outcomes achieved.
- Members were concerned that their parish councils appeared not to have knowledge of the S106/CIL processes. It was suggested that this should be picked up through the biannual parish council meetings arranged by the authority. Forums are held in the local areas – a request for an agenda item will be passed to relevant officers running these forums.
- There was concern regarding communication by the South Downs National Park (SDNP) to its parishes and the district councils regarding S106/CIL arrangements. Members were advised that the Overview and Scrutiny Committee had made a recommendation to the SDNP at its last meeting regarding the development of a Communications Protocol. Officers undertook to

add a sentence under the background section of the covering report regarding the difference between the South Downs National Park and the Council's administration of S106/CIL agreements.

- It was suggested that any concerns were passed to Mr M Dunn, the authority's representative on the SDNPA.
- The non-financial obligations report was considered too lengthy. It would be useful if specific points could be highlighted in the body of the covering report e.g. where developers were unwilling to deliver their obligations.
- Concern that once planning permission was granted officers were deciding how the money was spent in the S106 agreement without consulting with the local community. An example was the Shopwyke Lakes scheme where road junctions had not been included in the S106 agreement.
- Concern by members regarding the lack of transparency of decision making regarding how and why S106/CIL money is allocated by WSCC to education, libraries, highways and fire services and why contributions are spent on settlements away from the one which took the development. Ms Munns advised that WSCC had its own transport plan and schemes within it were funded through S106 contributions, as well as smaller schemes where they want to improve the highway and thirdly community schemes where district councillors have an opportunity to put schemes forward. Allocation of S106 contribution spend on education projects is signed off by the Cabinet Member and the factors considered are the ability of the school to expand, the locality including the main secondary school and all of its feeder primaries, good Ofsted reports etc. The contribution due was based on the number of houses within a locality taking up development. WSCC conveys this information to the planning authority which collects the money and holds it until WSCC are ready to spend the money.
- A problem is the requirement to spend small tranches of money on small projects rather than benefit from saving up for bigger projects due to the need to spend this money by the time limit.
- Queried how the risk criteria was quantified; this would be included in future documents.
- Queried the monitoring arrangements in place for A27 contributions which are a significant part of the local plan scheme of works for the bypass; was Highways England collecting it and what were the time limits? Within the S106 agreement there is usually an obligation for the developer to enter into an agreement with Highways England; we follow up on this to ensure that the agreement is entered to and we are holding some monies at the moment. Mr Davies undertook to respond to the committee on whether this was subject to the same time limit as other S106 agreements.
- Page 13 in the appendix pack – Land West of the Old Army Camp – Mr Davies undertook to come back to the committee with an answer on this contribution.
- CIL is working very well. It is a tax and non-negotiable. We have far reaching powers to take enforcement and have won two recent appeals. The Infrastructure Business Plan is subject to discussion by the County/District group of officers, the Infrastructure Joint Member Liaison Committee and the Development Plan and Infrastructure Panel before going on to Cabinet and Council for approval. Unlike the S106 contributions CIL is flexible to take account of changing circumstances. It is down to the district council what the money is spent on and is not time limited. CIL money does not go back to the developer. CIL and S106 work together. S106 is related to mitigating the

impacts of a particular planning application whereas CIL is collected for the cumulative impact of developments. Many schemes pay both contributions.

- Parishes receive their CIL money twice a year. Parishes with a neighbourhood plan get 25% with 15% going to parishes without one. They are required to spend their money within five years of receipt, however if they share their spending schemes with us and we understand they need longer to raise other funds we would not ask them for it back.
- Contributions reflected against Park and Ride – although the main scheme was not progressed, this money has been spent on smaller park and ride schemes, usually over the Christmas period.

RESOLVED

- 1) That the income and expenditure between 1 April 2016 and 31 March 2017 in respect of S106 contributions and CIL be noted.
- 2) The information on S106 agreements within two years of the expenditure target date as set out in appendix 4 be noted.
- 3) The details of non-financial S106 obligations as set out in appendix 5 be noted.
- 4) The monitoring information required by the CIL regulations as set out in appendix 6 be noted.

136 Corporate Health & Safety and Business Continuity Management

The committee considered the report in the agenda (copy attached to the official minutes).

Mr Townsend presented the report.

The committee made the following comments and received answers to questions as follows:

- This data covers roughly 600 members of staff and casuals.
- Relatively few accidents are caused by slips and trips on highways, pavements, potholes etc. taking into account the work by the CCS operatives.
- Request to declare the cost of any litigation against us to show the link with the investment we are making. The authority declares to its insurer certain measures to aid risk management or where the business is changing e.g. CCTV on refuse lorries, the Safetywatch Scheme etc. in order that lower insurance costs could be negotiated where risks are being better controlled.
- Asbestos awareness training is delivered to certain officers as there may be a risk to them in the roles they undertake.
- As part of business continuity arrangements an email continuity system has been developed to allow staff and members to access their emails in the event of a break of service.

RESOLVED

That the Council's arrangements in place for monitoring and controlling the risks associated with health and safety and business continuity matters be noted.

137 **Internal Audit Reports and Progress against the Audit Plan**

The committee considered the report in the agenda (copy attached to the official minutes).

Mr James presented the report. Mrs Shipway attended to answer questions.

Mr James advised that the action marked 'significant' in the Key Financial Systems audit report for 2016-17, related to duplicate invoices being entered onto the creditors system and subsequently paid twice. Mrs Shipway advised that this had been an issue since the introduction of the Civica financial system and it was previously agreed that a report of potential duplicate invoices be run and reviewed monthly by the Exchequer Manager, thus mitigating the risk of duplicate payments. However, audit found that there were gaps in those reviews and they were not taking place on a regular basis. Mrs Belenger confirmed there was a known weakness in how duplicate purchase orders were dealt with which had led to duplicate payments. A Civica dashboard was being developed to assist financial staff and managers in order to stop the retrospective raising of purchase orders and that a new module for dealing with electronic invoices was being considered as the volume was increasing.

Mr James updated members on the progress of the audit plan for 2017-18 advising that a report on fraud would be brought to the next meeting of this committee.

As Mr James was not present at the new members' induction session he gave an invitation to the two new members to contact him if they would like to visit the Internal Audit team and observe how the section operates. This invitation was then opened up to all members of the committee.

Mr James presented the report. Mrs Shipway attended to answer questions.

RESOLVED

- 1) That the Contracts Management and Key Financial Systems audits be noted.
- 2) That progress against the 2017-18 audit plan be noted.

138 **Appointments to Strategic Risk Group**

The current members of the committee on the Strategic Risk Group confirmed that they were happy to continue serving on this group.

RESOLVED

That Mrs T Tull, Mr G Barrett and Mr G Hicks continue as members of the Strategic Risk Group.

139 **Late items**

There were no late items.

140 **Exclusion of the Press and Public**

RESOLVED

That the public, including the press, be excluded from the meeting for the following items on the grounds that it is likely that there would be a disclosure to the public of 'exempt information' of the description specified in Paragraph 5 (Information in respect of which a claim or legal professional privilege could be maintained in legal proceedings) of Part I of Schedule 12A to the Local Government Act 1972 and because, in all the circumstances of the case, the public interest in maintaining the exemption of that information outweighs the public interest in disclosing the information.

141 **Potential liabilities of the Council**

The committee considered the report in the agenda (copy attached to the official minutes).

Mr Bennett (Legal and Democratic Services Manager and the Council's Monitoring Officer) presented the report.

Mr Bennett undertook to respond to members with the total amount involved in the claim against Coinco International PLC.

RESOLVED

That the potential liabilities of the Council be noted.

The meeting ended at 12.34 pm

CHAIRMAN

Date:

Chichester District Council Audit Results Report

Year ended 31 March 2017

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Agenda Item 6



Building a better
working world



15 September 2017

Dear Corporate Governance and Audit Committee Members

We have substantially completed our audit of Chichester District Council for the year ended 31 March 2017.

Subject to concluding the outstanding matters listed in our report, we confirm that we expect to issue an unqualified audit opinion on the financial statements in the form that appears in Section 3 before the deadline of 30 September 2017. We also have no matters to report on your arrangements to secure economy, efficiency and effectiveness in your use of resources.

This report is intended solely for the use of the Corporate Governance and Audit Committee, other members of the Authority, and senior management. It should not be used for any other purpose or given to any other party without obtaining our written consent.

We would like to thank your staff for their help during the engagement.

We look forward to discussing with you any aspects of this report or any other issues arising from our work.

Yours faithfully

Paul King
Executive Director

For and on behalf of Ernst & Young LLP

United Kingdom

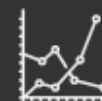
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05 Value for Money

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07 Control Environment observations

08 Appendices

In April 2015 Public Sector Audit Appointments Ltd (PSAA) issued "Statement of responsibilities of auditors and audited bodies". It is available from the via the PSAA website (www.PSAA.co.uk).

The Statement of responsibilities serves as the formal terms of engagement between appointed auditors and audited bodies. It summarises where the different responsibilities of auditors and audited bodies begin and end, and what is to be expected of the audited body in certain areas.

The "Terms of Appointment (updated September 2015)" issued by the PSAA sets out additional requirements that auditors must comply with, over and above those set out in the National Audit Office Code of Audit Practice (the Code) and in legislation, and covers matters of practice and procedure which are of a recurring nature.

This report is made solely to the Corporate Governance and Audit Committee, other members of the Authority and management of Chichester District Council in accordance with the statement of responsibilities. Our work has been undertaken so that we might state to the Corporate Governance and Audit Committee other members of the Authority and management of Chichester District Council those matters we are required to state to them in this report and for no other purpose. To the fullest extent permitted by law we do not accept or assume responsibility to anyone other than the Corporate Governance and Audit Committee other, other members of the Authority and management of Chichester District Council for this report or for the opinions we have formed. It should not be provided to any third-party without obtaining our written consent.



01

Executive Summary



Executive Summary

Executive summary

Overview of the audit

Scope and materiality

In our Audit Plan presented to the March 2017 Corporate Governance and Audit Committee meeting, we gave you an overview of how we intended to carry out our responsibilities as your auditor. We carried out our audit in accordance with this plan.

We planned our procedures using a materiality of £1,481k. We reassessed this using the actual year-end figures, which have increased this amount to £1,492k. The threshold for reporting audit differences has increased from £74k to £75k. The basis of our assessment of materiality has remained consistent with our Audit Plan at 2 % of gross revenue expenditure.

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Status of the audit

We have substantially completed our audit of Chichester District Council's financial statements for the year ended 31 March 2017 and have performed the procedures outlined in our Audit plan. Subject to satisfactory completion of the following outstanding items we expect to issue an unqualified opinion on the Authority's financial statements in the form which appears at Section 3. However until work is complete, further amendments may arise:

- completion of our review and sign off;
- finalisation of audit procedures to:
 - Property, Plant and Equipment and Investment Property valuation;
 - car parking income;
 - debtors and creditors;
 - the NDR appeals provision;
 - the notes to the Expenditure Funding Analysis; and
 - the Narrative Statement.
- review of the final version of the financial statements;
- completion of subsequent events review; and
- receipt of the signed management representation letter.



Executive Summary

Executive summary (continued)

Status of the audit (continued)

We expect to issue the audit certificate at the same time as the audit opinion.

Objections

We have received no objections to the 2016/17 accounts from members of the public.

Audit differences

We identified no audit differences in the draft financial statements which management has chosen not to adjust.

We have also identified one audit difference to a note in the financial statements which has been adjusted by management and is of sufficient size to report to you. Details can be found in Section 4 Audit Differences. In addition, we are currently finalising our audit procedures on the valuation of Property, Plant and Equipment. We are in discussions with the Council on the methodology adopted to value three of its leisure centres. We have agreed that the methodology needs to be refined and are currently working to agree the necessary amendments to the financial statements. These amendments will have no impact on the Council's general fund balance or budgeting. We will provide the Committee a verbal update on the resolution of this matter.

Areas of audit focus

Our Audit Plan identified key areas of focus for our audit of Chichester District Council's financial statements. This report sets out our observations and conclusions. We summarise our consideration of these matters, and any others identified, in the "Key Audit Issues" section of this report.

We ask you to review these and any other matters in this report to ensure:

- there are no other considerations or matters that could have an impact on these issues;
- you agree with the resolution of the issue; and
- there are no other significant issues to be considered.

There are no matters, apart from those reported by management or disclosed in this report, which we believe should be brought to the attention of the Committee.



Executive Summary

Executive summary (continued)

Value for money

We have considered your arrangements to take informed decisions; deploy resources in a sustainable manner; and work with partners and other third parties. In our Audit Plan we identified no significant risks. We have revisited this assessment and considered the wider results of our other audit procedures; we identified no significant risks.

On completion of our work, we have no matters to report about your arrangements to secure economy efficiency and effectiveness in your use of resources.

Other reporting issues

We have reviewed the information presented in the Annual Governance Statement for consistency with our knowledge of the Authority. We have no matters to report as a result of this work.

We have performed the procedures required by the National Audit Office (NAO) on the Whole of Government Accounts submission. We have no issues to report.

We have no other matters to report.

Control observations

We have not identified any significant deficiencies in the design or operation of an internal control that might result in a material misstatement in your financial statements.

We would like to take this opportunity to thank management and the staff at Chichester District Council for their assistance over the period of the audit.

Independence

Please refer to Appendix B for our update on Independence. There are no issues that we need to report.



02

Areas of Audit Focus





Areas of Audit Focus

Audit issues and approach: Risk of management override

Management override

△ Significant Risk

What is the risk?

As identified in ISA (UK and Ireland) 240, management is in a unique position to perpetrate fraud because of its ability to manipulate accounting records directly or indirectly and prepare fraudulent financial statements by overriding controls that otherwise appear to be operating effectively. We identify and respond to this fraud risk on every audit engagement.

What did we do?

We tested the appropriateness of journal entries recorded in the general ledger and other adjustments made in the preparation of the financial statements.

We reviewed accounting estimates for evidence of management bias.

We evaluated the business rationale for significant unusual transactions.

We evaluated the appropriateness of accounting policies against Code guidance and for changes from the prior period.

What are our conclusions?

We have not identified any evidence of management override. We did not identify any errors in the financial statements or indications of fraud. We did not identify any inappropriate journal entries (or other adjustments) that impacted on the financial statements.

We have not identified any instances of inappropriate judgements being applied in making estimates.

We did not identify any transactions during our audit which appeared unusual or outside the Council's normal course of business.

We did not identify any inappropriate changes to accounting policies or deviations from Code guidance.



Audit issues and approach: Valuation of PPE and Investment Properties



Accounting for Property, Plant and Equipment

Property, Plant and Equipment and Investment Properties represent a significant balance in the Council's accounts and are subject to valuation changes, impairment reviews and depreciation charges.

Material judgemental inputs and estimation techniques are required to calculate the year-end fixed assets balances held in the balance sheet.

The Council engages an internal expert valuer who applies a number of complex assumptions. Annually, assets are assessed to identify whether there is any indication of impairment. As the Council's asset base is significant, and the outputs from the valuer are subject to estimation, there is a risk fixed assets may be under/overstated or the associated accounting entries incorrectly posted. ISAs (UK and Ireland) 500 and 540 require us to undertake procedures on the use of management experts and the assumptions underlying fair value estimates.

This risk relates to assets that are revalued, being: PPE Land and Buildings, surplus assets and Investment Properties. Vehicles, plant and equipment, infrastructure assets and community assets are held at cost.

Our approach has focused on:

- consideration of the work performed by the Council's internal valuer including the adequacy of the scope of the work performed, objectivity, professional capability and the results of their work;
- testing a sample of recalculations processed on the fixed asset register to individual valuation certificates;
- consideration of the annual cycle of valuations to ensure that assets have been valued within a 5 year rolling programme as required by the Code. We have also considered if there are any specific changes to assets that have occurred and confirmed (if relevant) that these had been communicated to the valuer;
- review of the work performed by management over assets not subject to valuation in 2016/17 to confirm that the remaining asset base is not materially misstated;
- consideration of whether or not external evidence of fluctuations in assets values gives any indication of material variances to the asset valuations performed by the internal valuer (through reference to the Local Government Gerald Eve report commissioned by the National Audit Office for auditor use);
- consideration of whether all asset categories, including those held at cost, had been assessed for impairment and are materially correct; and
- testing that the accounting entries have been correctly processed in the financial statements, including the treatment of any impairments.

We are currently finalising our audit procedures in this area and will provide a verbal update to the Corporate Governance and Audit Committee.

To date there has been one material matter arising, relating to the methodology adopted by the Council to value three of its leisure centres. We have agreed that the methodology needs to be refined and are currently working to agree the necessary amendments to the financial statements. These amendments will have no impact on the Council's general fund balance or budgeting. We will provide the Committee a verbal update on the resolution of this matter.



Audit issues and approach: Pension Valuations and Disclosures



Pension Valuations and Disclosures

The Code and IAS19 require the Council to make extensive disclosures within its financial statements regarding the Local Government Pension Scheme (LGPS) in which it is an admitted body.

The Council's current pension fund deficit is a material and sensitive item and the Code requires that this liability be disclosed on the Council's balance sheet. At 31 March 2017 this totalled £4.313 million (£4.130 million at 31 March 2016).

The information disclosed is based on the IAS 19 report issued to the Council by the actuary to the administering body.

Accounting for this scheme involves significant estimation and judgement and therefore management engages an actuary to undertake the calculations on their behalf. ISAs (UK and Ireland) 500 and 540 require us to undertake procedures on the use of management experts and the assumptions underlying fair value estimates.

Our approach has focused on:

- liaising with the audit engagement team and Executive Director of the West Sussex Pension Fund, to obtain assurances over the information supplied to the actuary in relation to West Sussex County Council;
- assessing the conclusions drawn on the work and assumptions used by Hymans Robertson (the Pension Fund actuary) by using and reviewing the work of the Consulting Actuary commissioned by Public Sector Auditor Appointments for all Local Government sector auditors, PwC; and
- reviewing and testing the accounting entries and disclosures made within the Council's financial statements in relation to IAS19.

No issues have been identified in completing our work. Assumptions used by the actuary and adopted by the Council are considered to be generally acceptable. The sensitivities surrounding these assumptions have been correctly disclosed in Note 33 to the financial statements.



03 Audit Report



Audit Report

Draft audit report

INDEPENDENT AUDITOR'S REPORT TO THE MEMBERS OF CHICHESTER DISTRICT COUNCIL

Opinion on the Authority's financial statements

We have audited the financial statements of Chichester District Council for the year ended 31 March 2017 under the Local Audit and Accountability Act 2014. The financial statements comprise the:

- Movement in Reserves Statement,
- Comprehensive Income and Expenditure Statement,
- Balance Sheet,
- Cash Flow Statement,
- the related notes 1 to 37, and
- Collection Fund and the related notes 1 to 3.

The financial reporting framework that has been applied in their preparation is applicable law and the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2016/17.

This report is made solely to the members of Chichester District Council as a body, in accordance with Part 5 of the Local Audit and Accountability Act 2014 and for no other purpose, as set out in paragraph 43 of the Statement of Responsibilities of Auditors and Audited Bodies published by Public Sector Audit Appointments Limited. To the fullest extent permitted by law, we do not accept or assume responsibility to anyone other than the Authority and the Authority's members as a body, for our audit work, for this report, or for the opinions we have formed.

Respective responsibilities of the Head of Finance and Governance Services and auditor

As explained more fully in the Statement of the Head of Finance and Governance Services' Responsibilities set out on page 17, the Head of Finance and Governance Services is responsible for the preparation of the Statement of Accounts, which includes the financial statements, in accordance with proper practices as set out in the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2016/17, and for being satisfied that they give a true and fair view. Our responsibility is to audit and express an opinion on the financial statements in accordance with applicable law and International Standards on Auditing (UK and Ireland). Those standards require us to comply with the Auditing Practices Board's Ethical Standards for Auditors.

Scope of the audit of the financial statements

An audit involves obtaining evidence about the amounts and disclosures in the financial statements sufficient to give reasonable assurance that the financial statements are free from material misstatement, whether caused by fraud or error. This includes an assessment of: whether the accounting policies are appropriate to the Authority's circumstances and have been consistently applied and adequately disclosed; the reasonableness of significant accounting estimates made by Head of Finance and Governance Services; and the overall presentation of the financial statements. In addition, we read all the financial and non-financial information in the Statement of



Audit Report

Accounts 2016/17 to identify material inconsistencies with the audited financial statements and to identify any information that is apparently materially incorrect based on, or materially inconsistent with, the knowledge acquired by us in the course of performing the audit. If we become aware of any apparent material misstatements or inconsistencies we consider the implications for our report.

Opinion on financial statements

In our opinion the financial statements:

- give a true and fair view of the financial position of Chichester District Council as at 31 March 2017 and of its expenditure and income for the year then ended; and
- have been prepared properly in accordance with the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2016/17.

Opinion on other matters

In our opinion, the information given in the Statement of Accounts 2016/17 for the financial year for which the financial statements are prepared is consistent with the financial statements.

Matters on which we report by exception

We report to you if:

- in our opinion the annual governance statement is misleading or inconsistent with other information forthcoming from the audit or our knowledge of the Council;
- we issue a report in the public interest under section 24 of the Local Audit and Accountability Act 2014;
- we make written recommendations to the audited body under Section 24 of the Local Audit and Accountability Act 2014;
- we make an application to the court for a declaration that an item of account is contrary to law under Section 28 of the Local Audit and Accountability Act 2014;
- we issue an advisory notice under Section 29 of the Local Audit and Accountability Act 2014; or
- we make an application for judicial review under Section 31 of the Local Audit and Accountability Act 2014.

We have nothing to report in these respects

Conclusion on Chichester District Council's arrangements for securing economy, efficiency and effectiveness in the use of resources

Authority's responsibilities

The Authority is responsible for putting in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources, to ensure proper stewardship and governance, and to review regularly the adequacy and effectiveness of these arrangements.

Auditor's responsibilities

We are required under Section 20(1)(c) of the Local Audit and Accountability Act 2014 to satisfy ourselves that the Authority has made proper arrangements for securing economy, efficiency and effectiveness in its use of resources. The Code of Audit Practice issued by the National Audit Office (NAO) requires us to report to you our conclusion relating to proper arrangements.

We report if significant matters have come to our attention which prevent us from concluding that the Authority has put in place proper arrangements for securing economy, efficiency and effectiveness in its use of resources. We are not required to consider, nor have we considered, whether all aspects of the Authority's arrangements for



Audit Report

securing economy, efficiency and effectiveness in its use of resources are operating effectively.

Scope of the review of arrangements for securing economy, efficiency and effectiveness in the use of resources

We have undertaken our review in accordance with the Code of Audit Practice, having regard to the guidance on the specified criterion issued by the Comptroller and Auditor General (C&AG) in November 2016, as to whether Chichester District Council had proper arrangements to ensure it took properly informed decisions and deployed resources to achieve planned and sustainable outcomes for taxpayers and local people. The C&AG determined this criterion as that necessary for us to consider under the Code of Audit Practice in satisfying ourselves whether Chichester District Council put in place proper arrangements for securing economy, efficiency and effectiveness in its use of resources for the year ended 31 March 2017.

We planned our work in accordance with the Code of Audit Practice. Based on our risk assessment, we undertook such work as we considered necessary to form a view on whether, in all significant respects, Chichester District Council had put in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources.

Conclusion

On the basis of our work, having regard to the guidance issued by the C&AG in November 2016, we are satisfied that, in all significant respects, Chichester District Council put in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources for the year ended 31 March 2017.

Certificate

We certify that we have completed the audit of the accounts of Chichester District Council in accordance with the requirements of the Local Audit and Accountability Act 2014 and the Code of Audit Practice issued by the National Audit Office.

Paul King
for and on behalf of Ernst & Young LLP, Appointed Auditor
Southampton
XX September 2017

The maintenance and integrity of the Chichester District Council web site is the responsibility of the directors; the work carried out by the auditors does not involve consideration of these matters and, accordingly, the auditors accept no responsibility for any changes that may have occurred to the financial statements since they were initially presented on the web site.

Legislation in the United Kingdom governing the preparation and dissemination of financial statements may differ from legislation in other jurisdictions.



04 Audit Differences



Audit Differences

Audit differences

In any audit, we may identify misstatements between amounts we believe should be recorded in the financial statements and disclosures and amounts actually recorded. These differences are classified as 'known' or 'judgemental'. Known differences represent items that can be accurately quantified and relate to a definite set of facts or circumstances. Judgemental differences generally involve estimation and relate to facts or circumstances that are uncertain or open to interpretation.

Summary of adjusted differences

We report to you all changes greater than £1,119k relating to Chichester District Council below.

The only corrected misstatement of this magnitude relates to the reclassification of the Authority's expenditure and income analysed by nature in Note 6. These adjustments impacted this note only.

In addition, we are currently finalising our audit procedures on the valuation of Property, Plant and Equipment. We are in discussions with the Council on the methodology adopted to value three of its leisure centres. We have agreed that the methodology needs to be refined and are currently working to agree the necessary amendments to the financial statements. These amendments will have no impact on the Council's general fund balance or budgeting. We will provide the Committee a verbal update on the resolution of this matter.

Summary of unadjusted differences

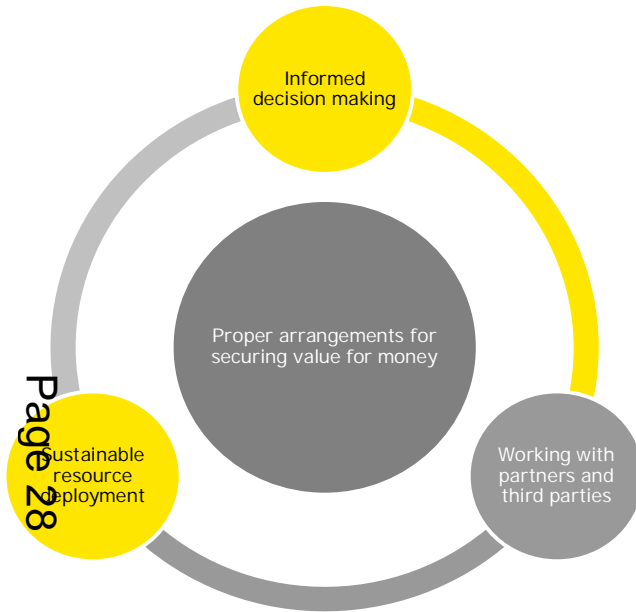
There are no unadjusted audit differences.



05 Value for Money



Value for Money



Economy, efficiency and effectiveness

We must consider whether you have 'proper arrangements' to secure economy, efficiency and effectiveness in your use of resources. This is known as our value for money conclusion.

Proper arrangements are defined by statutory guidance issued by the National Audit Office. They comprise your arrangements to:

- take informed decisions;
- deploy resources in a sustainable manner; and
- work with partners and other third parties.

In considering your proper arrangements, we use the CIPFA/SOLACE framework for local government to ensure that our assessment is made against an already existing mandatory framework which you use in documents such as your Annual Governance Statement.

Overall conclusion

We identified no significant risk to these arrangements.

We therefore expect having no matters arising to report about your arrangements to secure economy, efficiency and effectiveness in your use of resources.

We are only required to determine whether there is any risk that we consider significant within the Code of Audit Practice, where risk is defined as:

"A matter is significant if, in the auditor's professional view, it is reasonable to conclude that the matter would be of interest to the audited body or the wider public"

Our risk assessment supports the planning of enough work to deliver a safe conclusion on your arrangements to secure value for money, and enables us to determine the nature and extent of any further work needed. If we do not identify a significant risk we do not need to carry out further work.



06

Other reporting issues



Other reporting issues

Other reporting issues

Consistency of other information published with the financial statements, including the Annual Governance Statement

We must give an opinion on the consistency of the financial and non-financial information in the Statement of Accounts 2016/17 with the audited financial statements.

We must also review the Annual Governance Statement for completeness of disclosures, consistency with other information from our work, and whether it complies with relevant guidance.

Financial information in the Statement of Accounts 2016/17 and published with the financial statements is consistent with the audited financial statements.

We have reviewed the Annual Governance Statement and can confirm it is consistent with other information from our audit of the financial statements and we have no other matters to report.

Whole of Government Accounts

Alongside our work on the financial statements, we also review and report to the National Audit Office on your Whole of Government Accounts return. The extent of our review, and the nature of our report, is specified by the National Audit Office.

We have no issues to raise.

Other powers and duties

We have a duty under the Local Audit and Accountability Act 2014 to consider whether to report on any matter that comes to our attention in the course of the audit, either for the Authority to consider it or to bring it to the attention of the public (i.e. "a report in the public interest"). We did not identify any issues which required us to issue a report in the public interest.

We also have a duty to make written recommendations to the Authority, copied to the Secretary of State, and take action in accordance with our responsibilities under the Local Audit and Accountability Act 2014. We did not identify any issues.



Other reporting issues

Other reporting issues

Other matters

As required by ISA (UK&I) 260 and other ISAs specifying communication requirements, we must tell you significant findings from the audit and other matters if they are significant to your oversight of the Council's financial reporting process. They include the following:

- Significant qualitative aspects of accounting practices including accounting policies, accounting estimates and financial statement disclosures;
- Any significant difficulties encountered during the audit;
- Any significant matters arising from the audit that were discussed with management;
- Written representations we have requested;
- Expected modifications to the audit report;
- Any other matters significant to overseeing the financial reporting process;
- Findings and issues around the opening balance on initial audits (if applicable);
- Related parties;
- External confirmations;
- Going concern;
- Consideration of laws and regulations; and
- Group audits.

We have no matters to report.



07

Control Environment observations



Assessment of Control Environment

Control environment observations

Financial controls

It is the responsibility of the Authority to develop and implement systems of internal financial control and to put in place proper arrangements to monitor their adequacy and effectiveness in practice. Our responsibility as your auditor is to consider whether the Authority has put adequate arrangements in place to satisfy itself that the systems of internal financial control are both adequate and effective in practice.

As part of our audit of the financial statements, we obtained an understanding of internal control sufficient to plan our audit and determine the nature, timing and extent of testing performed. Although our audit was not designed to express an opinion on the effectiveness of internal control we are required to communicate to you significant deficiencies in internal control.

We have not identified any significant deficiencies in the design or operation of an internal control that might result in a material misstatement in your financial statements.



8

Appendices



Appendix A

Required communications with the Corporate Governance and Audit Committee

There are certain communications that we must provide to the audit committees of UK clients. We have done this by:

		Our Reporting to you
Required communications	What is reported?	When and where
Terms of engagement	Confirmation by the Corporate Governance and Audit Committee of acceptance of terms of engagement as written in the engagement letter signed by both parties.	The statement of responsibilities serves as the formal terms of engagement between the PSAA's appointed auditors and audited bodies.
Planning and audit approach	Communication of the planned scope and timing of the audit, including any limitations.	March 2017 Audit Plan
Significant findings from the audit	<ul style="list-style-type: none"> Our view of the significant qualitative aspects of accounting practices including accounting policies, accounting estimates and financial statement disclosures Any significant difficulties encountered during the audit Any significant matters arising from the audit that were discussed with management Written representations we have requested Expected modifications to the audit report Any other matters significant to overseeing the financial reporting process 	September 2017 Audit Results Report
Going concern	Events or conditions identified that may cast significant doubt on the entity's ability to continue as a going concern, including: <ul style="list-style-type: none"> Whether the events or conditions constitute a material uncertainty Whether the use of the going concern assumption is appropriate in the preparation and presentation of the financial statements The adequacy of related disclosures in the financial statements 	No conditions or events were identified, either individually or together to raise any doubt about Chichester District Council's ability to continue for the 12 months from the date of our report.
Misstatements	<ul style="list-style-type: none"> Uncorrected misstatements and their effect on our audit opinion The effect of uncorrected misstatements related to prior periods A request that any uncorrected misstatement be corrected Significant corrected misstatements, in writing 	September 2017 Audit Results Report



Appendix A

		Our Reporting to you
Required communications	What is reported?	When and where
Fraud	<ul style="list-style-type: none"> ▶ Asking the Corporate Governance and Audit Committee whether they have knowledge of any actual, suspected or alleged fraud affecting the Authority ▶ Unless all those charged with governance are involved in managing the entity, any fraud identified or information obtained indicating that a fraud may exist involving: <ul style="list-style-type: none"> (a) management; (b) employees with significant roles in internal control; or (c) others where the fraud results in a material misstatement in the financial statements. ▶ A discussion of any other matters related to fraud, relevant to Governance Committee responsibility. 	We have asked management and the Chairman of the Corporate Governance and Audit Committee about arrangements to prevent or detect fraud. We have not become aware of any fraud or illegal acts during our audit.
Related parties	<p>Significant matters arising during the audit in connection with the Authority's related parties including, where applicable:</p> <ul style="list-style-type: none"> ▶ Non-disclosure by management ▶ Inappropriate authorisation and approval of transactions ▶ Disagreement over disclosures ▶ Non-compliance with laws and/or regulations ▶ Difficulty in identifying the party that ultimately controls the entity 	We have no matters to report.
Subsequent events	<ul style="list-style-type: none"> ▶ Where appropriate, asking the Corporate Governance and Audit Committee whether any subsequent events have occurred that might affect the financial statements. 	We have asked management and those charged with governance. We have no matters to report.
Other information	<ul style="list-style-type: none"> ▶ Where material inconsistencies are identified in other information included in the document containing the financial statements, but management refuses to make the revision. 	We have no matters to report.
External confirmations	<ul style="list-style-type: none"> ▶ Management's refusal for us to request confirmations ▶ We were unable to obtain relevant and reliable audit evidence from other procedures. 	We have received all requested confirmations.
Consideration of laws and/or regulations	<ul style="list-style-type: none"> ▶ Audit findings of non-compliance where it is material and believed to be intentional. This communication is subject to compliance with legislation on "tipping off" ▶ Asking the Corporate Governance and Audit Committee about possible instances of non-compliance with laws and/or regulations that may have a material effect on the financial statements, and known to the Corporate Governance and Audit Committee. 	We have asked management and those charged with governance. We have not identified any material instances or non-compliance with laws and regulations.



Appendix A

		Our Reporting to you
Required communications	What is reported?	When and where
Significant deficiencies in internal controls identified during the audit	<ul style="list-style-type: none"> Significant deficiencies in internal controls identified during the audit. 	September 2017 Audit Results Report
Independence	<p>Communication of all significant facts and matters that have a bearing on EY's objectivity and independence.</p> <p>Communicating key elements of the audit engagement partner's consideration of independence and objectivity such as:</p> <ul style="list-style-type: none"> The principal threats Safeguards adopted and their effectiveness An overall assessment of threats and safeguards Information on the firm's general policies and processes for maintaining objectivity and independence <p>Communications whenever significant judgments are made about threats to objectivity or independence and the appropriateness of safeguards,</p>	<p>March 2017 Audit Plan</p> <p>September 2017 Audit Results Report</p>
Fee Reporting	<p>Breakdown of fee information when the audit plan is agreed</p> <p>Breakdown of fee information at the completion of the audit</p> <p>Any non-audit work</p>	<p>March 2017 Audit Plan</p> <p>September 2017 Audit Results Report</p>
Certification work	Summary of certification work	Certification Report (due later this year)



Appendix B

Independence

We confirm that there are no changes in our assessment of independence since our confirmation in our audit plan taken to the March 2017 Corporate Governance and Audit Committee.

We complied with the APB Ethical Standards and the requirements of the PSAA's Terms of Appointment. In our professional judgement the firm is independent and the objectivity of the audit engagement partner and audit staff has not been compromised within the meaning of regulatory and professional requirements.

We consider that our independence in this context is a matter which you should review, as well as us. It is important that you consider the facts known to you and come to a view. If you would like to discuss any matters concerning our independence, we will be pleased to do this at the meeting of the Corporate Governance and Audit Committee on 28 September 2017.

As part of our reporting on our independence, we set out below a summary of the fees paid for the year ended 31 March 2017.

We confirm that we have not undertaken non-audit work outside the PSAA Code requirements.

	Planned Fee 2016/17 £	Scale Fee 2016/17 £	Final Fee 2015/16 £	Scale Fee 2015/16 £
Total Audit Fee – Code work	49,090	49,090	49,090	49,090
Certification of claims and returns	9,913	9,913	7,847	7,847
Total	59,003	59,003	56,937	56,937



Appendix C

Looking forward - Early close in 2017/18

Name	Summary of key measures	Impact on Chichester District Council
<p>Earlier statutory deadline for production and audit of the financial statements from 2017/18</p> <p>Page 39</p>	<p>The Accounts and Audit Regulations 2015 introduced a significant change in statutory deadlines from the 2017/18 financial year. From that year the timetable for the preparation and approval of accounts will be brought forward with draft accounts needing to be prepared by 31 May and the publication of the audited accounts by 31 July.</p>	<p>These changes provide challenges for both the preparers and the auditors of the financial statements.</p> <p>As auditors, nationally we have:</p> <ul style="list-style-type: none"> • Issued a thought piece on early closedown; • As part of the strategic Alliance with CIPFA jointly presented accounts closedown workshops across England, Scotland and Wales; and • Presented at CIPFA early closedown events and on the subject at the Local Government Accounting Conferences in July 2017. <p>This clearly represents a significant challenge.</p> <p>Moving forward, we will need to continue to work together collaboratively to ensure we deliver to these timescales.</p> <p>We have arranged a meeting between management and the audit team for October 2017 to commence planning the 2017/18 audit.</p>



Appendix D

Draft management representation letter

[To be prepared on the entity's letterhead]

[Date]

Ernst & Young

Wessex House
19 Threefield Lane
Southampton
SO14 3QB

This letter of representations is provided in connection with your audit of the financial statements of Chichester District Council ("the Council") for the year ended 31st March 2017. We recognise that obtaining representations from us concerning the information contained in this letter is a significant procedure in enabling you to form an opinion as to whether the financial statements give a true and fair view of the Council financial position of Chichester District Council as of 31st March 2017 and of its income and expenditure for the year then ended in accordance with the CIPFA LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2016/17.

We understand that the purpose of your audit of our financial statements is to express an opinion thereon and that your audit was conducted in accordance with International Standards on Auditing (UK and Ireland), which involves an examination of the accounting system, internal control and related data to the extent you considered necessary in the circumstances, and is not designed to identify - nor necessarily be expected to disclose - all fraud, shortages, errors and other irregularities, should any exist.

Accordingly, we make the following representations, which are true to the best of our knowledge and belief, having made such inquiries as we considered necessary for the purpose of appropriately informing ourselves:

A. Financial Statements and Financial Records

1. We have fulfilled our responsibilities, under the relevant statutory authorities, for the preparation of the financial statements in accordance with the Accounts and Audit Regulations 2015 and the CIPFA LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2016/17.
2. We acknowledge, as members of management of the Council, our responsibility for the fair presentation of the financial statements. We believe the financial statements referred to above give a true and fair view of the financial position, financial performance (or results of operations) and cash flows of the Council in accordance with the CIPFA LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2016/17. We have approved the financial statements.
3. The significant accounting policies adopted in the preparation of the financial statements are appropriately described in the financial statements.



Appendix D

4. As members of management of the Council, we believe that the Council has a system of internal controls adequate to enable the preparation of accurate financial statements in accordance with the CIPFA LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2016/17 that are free from material misstatement, whether due to fraud or error.
5. There are no unadjusted audit differences identified during the current audit and pertaining to the latest period presented.

B. Fraud

1. We acknowledge that we are responsible for the design, implementation and maintenance of internal controls to prevent and detect fraud.
2. We have disclosed to you the results of our assessment of the risk that the financial statements may be materially misstated as a result of fraud.
3. We have no knowledge of any fraud or suspected fraud involving management or other employees who have a significant role in the Council's internal controls over financial reporting. In addition, we have no knowledge of any fraud or suspected fraud involving other employees in which the fraud could have a material effect on the financial statements. We have no knowledge of any allegations of financial improprieties, including fraud or suspected fraud, (regardless of the source or form and including without limitation, any allegations by "whistleblowers") which could result in a misstatement of the financial statements or otherwise affect the financial reporting of the Council.

C. Compliance with Laws and Regulations

1. We have disclosed to you all identified or suspected non-compliance with laws and regulations whose effects should be considered when preparing the financial statements.

D. Information Provided and Completeness of Information and Transactions

1. We have provided you with:
 - access to all information of which we are aware that is relevant to the preparation of the financial statements such as records, documentation and other matters;
 - additional information that you have requested from us for the purpose of the audit; and
 - unrestricted access to persons within the entity from whom you determined it necessary to obtain audit evidence.
2. All material transactions have been recorded in the accounting records and are reflected in the financial statements.
3. We have made available to you all minutes of the meetings of the Council, the Cabinet, the Corporate Governance and Audit Committee (or summaries of actions of recent meetings for which minutes have not yet been prepared) held through the period to the most recent meeting.
4. We confirm the completeness of information provided regarding the identification of related parties. We have disclosed to you the identity of the Council's related parties and all related party relationships and transactions of which we are aware, including sales, purchases, loans, transfers of assets, liabilities and services, leasing



Appendix D

arrangements, guarantees, non-monetary transactions and transactions for no consideration for the period ended, as well as related balances due to or from such parties at the period end. These transactions have been appropriately accounted for and disclosed in the financial statements.

5. We believe that the significant assumptions we used in making accounting estimates, including those measured at fair value, are reasonable.
6. We have disclosed to you, and the Council has complied with, all aspects of contractual agreements that could have a material effect on the financial statements in the event of non-compliance, including all covenants, conditions or other requirements of all outstanding debt.

E. Liabilities and Contingencies

1. All liabilities and contingencies, including those associated with guarantees, whether written or oral, have been disclosed to you and are appropriately reflected in the financial statements.
2. We have informed you of all outstanding and possible litigation and claims, whether or not they have been discussed with legal counsel.
3. We have recorded and/or disclosed, as appropriate, all liabilities related litigation and claims, both actual and contingent, and have disclosed in Notes 19 or 37 to the financial statements all guarantees that we have given to third parties.

F. Subsequent Events

1. Other than matters described in Note 7 to the financial statements, there have been no events subsequent to period end which require adjustment of or disclosure in the financial statements or notes thereto.

G. Other information

1. We acknowledge our responsibility for the preparation of the other information. The other information comprises the Narrative Statement and Annual Governance Statement.
2. We confirm that the content contained within the other information is consistent with the financial statements.

H. Comparative information – corresponding financial information

1. Comparative amounts have been restated as a result of CIPFA's 'Telling the Story' review to improving the presentation of local authority financial statements.

The comparative amounts have been correctly restated to reflect the above matter and appropriate disclosure of this restatement has also been included in the current year's financial statements.

I. Use of the Work of a Specialist

1. We agree with the findings of the specialists that we engaged to evaluate valuation of property, plant and equipment, and the pension fund liability and have adequately considered the qualifications of the specialists in determining the amounts and disclosures included in the financial statements and the underlying accounting records.



Appendix D

We did not give or cause any instructions to be given to the specialists with respect to the values or amounts derived in an attempt to bias their work, and we are not otherwise aware of any matters that have had an effect on the independence or objectivity of the specialists.

J. Estimates

1. We believe that the measurement processes, including related assumptions and models, used to determine accounting estimates have been consistently applied and are appropriate in the context of the applicable financial reporting framework.
2. We confirm that the significant assumptions used in making accounting estimates appropriately reflect our intent and ability to carry out specific courses of action on behalf of the entity.
3. We confirm that the disclosures made in the financial statements with respect to the accounting estimates are complete and made in accordance with the applicable financial reporting framework.
4. We confirm that no adjustments are required to the accounting estimates and disclosures in the financial statements due to subsequent events.

K. Retirement benefits

1. On the basis of the process established by us and having made appropriate enquiries, we are satisfied that the actuarial assumptions underlying the scheme liabilities are consistent with our knowledge of the business. All significant retirement benefits and all settlements and curtailments have been identified and properly accounted for.

Yours faithfully,

Head of Finance and Governance Services

Chairman of the Corporate Governance and Audit Committee

EY | Assurance | Tax | Transactions | Advisory

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ED None

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Chichester District Council

CORPORATE GOVERNANCE AND AUDIT COMMITTEE 28 September 2017

Statement of Accounts for 2016-17

1. Contact(s)

Report Authors:

John Ward – Head of Finance and Governance Services

Telephone: 01243 534805 Email: jward@chichester.gov.uk

David Cooper - Group Accountant

Telephone: 01243 534733 E-mail: dcooper@chichester.gov.uk

Mark Catlow - Group Accountant

Telephone: 01243 521076 E-mail: mcatlow@chichester.gov.uk

2. Recommendation

- 2.1. That the Committee consider and approve the audited Statement of Accounts shown in Appendix 1 for the financial year ended 31 March 2017, note the outturn position and authorise the Letter of Representation to be given to the Council's External Auditor.**

3. Main Report

3.1. Introduction

- 3.1.1 The Accounts and Audit Regulations 2015 set out the requirements for the production and publication of the Council's annual Statement of Accounts. The Council's approved Statement of Accounts must be published by no later than 30 September.
- 3.1.2 Council has delegated the approval of the Council's Statement of Accounts to the Corporate Governance and Audit Committee. The Head of Finance and Governance Services, as the Council's responsible financial officer, authorised the draft Statement of Accounts for issue on 30 June 2017. The draft statements have subsequently been subject to audit by the Council's external auditors, Ernst & Young LLP and were subject to public inspection during July and August.
- 3.1.3 The Council has not received any questions or objections to its accounts from the public.
- 3.1.4 Ernst & Young LLP expect to complete their audit by the date of the Committee and will report separately on their findings at this meeting. Based on discussions to the date at the time of writing this report, officers expect the external auditors will issue their unqualified opinion on the Statement of

Accounts and the Council's arrangements for securing economy, efficiency and effectiveness in the use of resources.

3.2. The Statement of Accounts

- 3.2.1 Local authority accounts are complex due to the need to produce financial statements that address both an accounting framework and a legislative framework. This dual accounting approach requires some items to be accounted for in ways that do not reflect how the Council manages its budget.
- 3.2.2 The format of the Statement of Accounts has been revised following the outcome of the Chartered Institute of Public Finance & Accountancy's (CIPFA) 'Telling the Story' review, for which the aim was to streamline the financial statements and improve accessibility to the user and this has resulted in changes to the 2016/17 CIPFA Code of Practice.
- 3.2.3 The main change allows local authorities to report on the same basis as they are organised by breaking the formal link between the Service Reporting Code of Practice (SeRCOP) and the Comprehensive Income and Expenditure Statement. It also introduced a new Expenditure and Funding Analysis which provides a direct reconciliation between the way local authorities are funded, budget and the Comprehensive Income and Expenditure Statement. The Expenditure and Funding Analysis is supported by a streamlined Movement in Reserves Statement.
- 3.2.4 Further interpretation of the accounts highlighting the key issues is contained within the narrative report section of the Statement of Accounts.

3.3. Analysis of the 2016-17 General Fund position

- 3.3.1 The audited outturn position on the General Fund for 2016-17 is a surplus of £295,652 that is transferred to the General Fund Balance.
- 3.3.2 The main variances between the General Fund original budget and the outturn position in 2016-17 are as follows:

Ref	Underspends/ Additional Income	£'000
a	Investment Income (net)	(319)
b	Housing Benefits	(267)
c	Asset Replacements	(198)
d	Staffing	(194)
e	Careline Service income	(73)
f	Insurance premiums	(61)
g	Bank Charges	(45)
h	Land charges (net)	(39)
i	Non-ring fenced government grants	(39)
	Overspends/ Shortfall of income	£'000
j	Car Parks	379
k	Business Rate Retention Scheme	244
l	Redundancy costs	164
m	Planning income	101

	Overspends/ Shortfall of income (contd)	£'000
n	Electoral Services VAT	27
o	Chichester Contract Services (CCS) efficiency review	20
	Minor variation (net)	5
	(Surplus) / Deficit for the year	(295)

The following paragraphs provide an explanation for the main variances:

a. Income from Investments – additional income of £319,000

This variation is the additional income due to the Authority from its investment in the Local Authority's Property Fund.

b. Housing Benefits – a decrease in costs of £267,000

The net impact of Housing Benefit payments after the receipt of government subsidy is extremely difficult to predict as it is influenced by caseload volume, changing economic conditions and also government initiatives that affect the value of payments made and also the levels of subsidy provided. During 2016-17 the Council received £228,000 additional subsidy following the audit of its 2015-16 Housing Benefit Subsidy Claim, and has claimed an additional £48,000 above expenditure incurred in its 2016-17 Subsidy Claim.

The value of this variation represents 0.7% of the Housing Benefit expenditure budget of £34.7m.

c. Asset Replacements – a decrease in costs of £198,000

A review of the Asset Replacement Programme as part of the Council's deficit reduction programme identified a reduction of £198,000 in the annual contribution required to support the 25 year programme. Originally it was envisaged that this saving would be from the financial year 2017-18 onwards, however it has also been possible to reduce this annual contribution for 2016-17.

d. Staffing – a decrease in costs of £194,000

Staff vacancy savings of £479,000 accrued across council services during the year. The largest vacancy saving was experienced in the Revenue and Benefits service (£137,000). This underspend was £194,000 more than the £285,000 vacancy saving built in the base budget.

e. Chichester Careline – additional income of £73,000

Increased income has been achieved from winning contracts and reviewing corporate client charges. As a consequence additional income has also been generated from monitoring services provided.

f. Insurance premiums – a decrease in cost of £61,000

A saving of £20,000 was achieved during 2016-17's premium renewal process and the effect of the externalisation of leisure services on the current insurance contract. In addition a £15,000 refund was received for the 2015-16 insurance premium as a consequence of the externalisation of the leisure service in May 2016. Self-insurance costs were also lower this year resulting in a further underspend of £25,000 at the year end.

g. Bank charges – a decrease in cost of £45,000

This underspend is due to a discount for the first year of operation for the new corporate bank service provider, and also as a result of the externalisation of leisure services and related bank processing fees for income collected for these services.

h. Land Charges – Net decrease of £39,000

This service experienced an increase of over 300 searches between January and March 2017 due to a Housing Association merger that required searches on all their properties. In addition a £5 price increase on full searches came into effect from January 2017. This generated additional income of £55,000.

A final payment of £25,000 to settle an ongoing legal claim was made during the year. This payment was partially funded by the receipt of additional government grant of £9,000.

i. Non-ring fenced government grants – additional income of £39,000

The Council received a number of unanticipated government grants during 2016-17: Council tax annexe discount (£14,000), Transparency code set up grant (£8,000), other minor grants (£16,000).

j. Car Parks – a shortfall of income of £379,000

The main reason for this shortfall was the inclusion of a targeted income volume increase of some £300,000 which was set for the authority for 2016-17 following a meeting of the Commercial Board. Unfortunately it became apparent during the year that this target would not be achieved, and as a consequence the 2017-18 budget estimate was amended.

k. Business Rates Retention Scheme – an increase in cost of £244,000

This is the Council's share of the Business Rates collection fund and reflects the outturn position. It is the sum of multiple movements in both income and expenditure, although the main driver of the deficit position was budgetary estimates that were subsequently amended.

l. Redundancy costs – a cost of £164,000

The restructure of a number of council services took place during the financial year. These resulted in a small number of redundancies:

- Housing Benefits service £75,000;
- Legal Services £48,000;
- IT Services £33,000; and,
- Pest Control service £8,000.

m. Planning income – shortfall of income of £101,000

The variance from budgeted planning application income in 2016-17 was due primarily to a change in the nature of major applications submitted to the Council, with a greater number of smaller scale major schemes being submitted which attracted a lower fee. There was also lower than expected pre-application fee income, similarly as a result of fewer major pre application schemes being submitted to the Council. Several major applications that were anticipated before the end of the financial year were delayed by developers.

n. Electoral services VAT – an additional cost of £27,000

For three elections dating back to 2014, the Council acted only as an agent for the returning officer of those elections. A repayment of value added tax was made in August 2016 as the supply for VAT purposes did not relate to the Council.

o. Chichester Contract Services (CCS) efficiency review – an increase in cost of £20,000

Alongside the CCS Improvement Programme it was felt that independent review with a wider remit would be beneficial. As a result consultants were engaged to provide a high level assessment and review of the services provided by CCS. The positive outcome of this review was reported to Cabinet in February 2017.

3.3.3 The impact of these variations will be taken into account while monitoring and forecasting the 2017-18 budget, and will also be considered when the setting the 2018-19 base budget.

3.4. Looking ahead

3.4.1 From 2017-18, the timescales in relation to the signing, approval and publication of the statement of accounts will change.

3.4.2 The Council's s.151 officer must sign and date the statement of accounts, confirming that they present a true and fair view of the financial position of the Council at the end of the financial year to which it relates and the Council's income and expenditure for that financial year, by 31 May.

3.4.3 The period for the exercise of public rights (of inspection of the accounts) must include the first 10 working days of June.

3.4.4 Following the conclusion of the period for the exercise of public rights and the audit of the accounts, the Council's Corporate Governance and Audit Committee must consider the Statement of Accounts and approve them. The s.151 officer must also re-confirm on behalf of the Council that they are satisfied that the Statement of Accounts presents a true and fair view before this approval

3.4.5 After approving the Statement of Accounts the Council must publish the Statement of Accounts together with any audit certificate or opinion, the annual governance statement, and the narrative statement by 31 July.

3.4.6 Preparation for this is an ongoing process and officers have made a number of changes to the process already to ensure that the Council can meet these tighter deadlines.

4. Appendix

Appendix 1 – Audited Statement of Accounts 2016-17

5. Background Papers

None

Agenda Item 8

Chichester District Council

CORPORATE GOVERNANCE & AUDIT COMMITTEE 28 September 2017

2016-17 Annual Governance Statement and Corporate Governance Report

1. Contacts

Stephen James - Principal Auditor,
Tel 01243 534736 Email: sjames@chichester.gov.uk

2. Recommendation

To consider the draft Annual Report on Corporate Governance at Appendix 1 and to recommend this to the Council for approval.

3. Main Report

All members have a responsibility for corporate governance. However, this committee is charged with identifying and looking at key risk areas in greater depth. This is to provide assurance to the Council and members that its business is conducted in accordance with the law and proper standards; that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively.

Under its terms of reference the Committee is required to report to Council each year, or at any time where significant issues or concerns are raised on corporate governance and the internal arrangements in place to monitor and control risks. Attached at Appendix 1 is a draft report to the Council to fulfil this requirement which the Committee is requested to consider.

In order to sign up to such a statement, members of the Committee will need assurance that key systems are in place within the Council. As such the Council's internal audit service has the responsibility to independently review and report to the Committee and report is attached at Appendix 3.

4. Human Rights and Equality Impact

None

5. Appendices

Appendix 1 – Annual report of Corporate Governance & Audit Committee to Council including the Annual Governance Statement 2016/17

Appendix 2 – Annual Report on the effectiveness of Internal Audit Section 2016/17

6. Background Papers

None

Chichester District Council

Draft Report of Corporate Governance and Audit Committee to Full Council

Background

The Council is responsible for ensuring that its business is conducted in accordance with the law and proper standards and that public money is safeguarded and properly accounted for and used economically, efficiently and effectively.

To this end members and senior officers are responsible for ensuring that proper arrangements exist for the governance of the Council's affairs and stewardship of its resources.

In March 2017 the Corporate Governance & Audit Committee considered the Strategic and Organisational risk registers to ensure the adequacy of the Council's actions to control and manage risks.

During 2016/2017 the three highest risks identified in the Corporate Risk Register were:

- **Business Continuity:** That a business continuity incident occurs and the organisation fails to respond effectively and continue to deliver services.
- **Cyber Attack Across Entire Estate:** Failure to have necessary processes and procedures in place to prevent a Cyber Attack.
- **Non Achievement of Recycling Target of 50% by 2020:** Failure to achieve a Recycling Target of 50% by 2020 could mean the Council will incur significant fines.

The five year financial model was used to help set out the action required to reduce the impact of any government funding gap on service delivery, building on savings and increased income already achieved of £8.6m from 2010-2011 to 2015-2016 after taking early action as the 2008 financial crisis started to emerge. Since May 2013, revenue savings of £2.2m have been achieved, and additional income of £1.4m has been generated. As new deficit reduction plan was approved in the autumn of 2016 to address the £3.8m funding gap anticipated over the next 5 years. The Council also signed up to the Government's four year funding settlement to give greater certainty of funding in trying to balance the Council's budget over the medium term.

Annual Governance Statement

The Annual Governance Statement as attached at appendix 1 has been prepared in accordance with the CIPFA / SOLACE guidance on "Delivering Good Governance in Local Government". The Statement is attached in Appendix 1 and clearly sets out the 7 fundamental principles of good governance (A to G) as identified below:

- A Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law.
- B Ensuring openness and comprehensive stakeholder engagement.

- C Defining the outcomes in terms of; sustainable economic, social and environmental benefits.
- D Determining the interventions necessary to optimise the achievement of the intended outcomes.
- E Developing the entity's capability of its leadership and the individuals within it.
- F Managing risks and performance through robust internal control and strong public financial management.
- G Implementing good practices in transparency reporting, and audit to deliver effective accountability

Other Potential Risk Issues

The drafting of the Annual Governance Statement has highlighted some risks that have either come to light or which are ongoing and receiving attention from those charged with governance. These can have common themes and can overlap with other areas of risk that have been identified. They are being monitored to track whether there are any changes in their risk score. The risks identified as being new or emerging are listed below:

- **Health & Safety:** Health & Safety carried out during 2016/2017 H&S challenges with each Head of Service (HoS) which will give a generic view of the level of compliance within teams. Action plans were put together identifying areas for improvement. The challenges resulted in an action plan for each HoS where areas of weakness were identified.
- **Breach of Data Protection Act:** Failure to keep all personal data secure leading to a breach of the data protection act resulting in fines and reputational risk. To mitigate this targeted training for key officers whose role requires them to process personnel or sensitive data is to be provided by an external provider in 2017 – 2018 to refresh individuals' knowledge and increase awareness.

Other than those areas set out above, which are themselves subject of further on-going review, members of the Committee are assured that key systems are in place within the council. This is supported by the internal audit service, which has the responsibility to review independently and report to Committee.

Tricia Tull
Chairman of Corporate Governance & Audit Committee

Chichester District Council

Draft - Annual Governance Statement 2016-2017

1. Scope of responsibility

Chichester District Council is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively. Chichester District Council also has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.

In discharging this overall responsibility, Chichester District Council is responsible for putting in place proper arrangements for the governance of its affairs, facilitating the effective exercise of its functions, which includes arrangements for the management of risk.

Chichester District Council approved and adopted a Local Code of Corporate Governance (March 2017), this is consistent with the principles of the Chartered Institute of Public Finance and Accountancy (CIPFA), and Society of Local Authority Chief Executives (SOLACE) framework for Delivering Good Governance in Local Government: Framework (2016) The Annual Governance Statement (AGS) sets out how the Council complied with the Code and also meets the requirements of the Accounts and Audit (England) Regulations 2015 which requires every Council to agree and publish an Annual Governance Statement. The statutory requirements across the United Kingdom for local authorities is to conduct a review at least once in each financial year of the effectiveness of its system of internal control and to include a statement reporting on this review with its Statement of Accounts.

2. The Purpose of the Governance Assurance Framework

The governance framework comprises of the systems, processes, culture and values by which the authority is directed and controlled and its activities through which it accounts to, engages with and leads the community. It also enables the authority to monitor the achievements of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate cost effective services.

The system of internal control is designed to manage risk to a reasonable level; it cannot eliminate risk completely and therefore provides reasonable and not absolute assurance of effectiveness. It is based on an on-going process designed to identify and prioritise the risks, to the achievement of the council's policies, aims and objectives, to evaluate the likelihood and impact should they be realised and to manage them efficiently, effectively and economically.

3. The Principles of Good Governance

The CIPFA/SOLACE framework was reviewed in 2015 to ensure that it remained "fit for purpose" and a revised edition was published in 2016.

The new Delivering Good Governance in Local Government Framework applies to the Annual Governance Statement prepared for the year ended 31 March 2017 and up to the date of the approval of the Annual Report and Statement of Accounts for the financial year 2016-17. The framework sets out seven core principles (A to G) of good governance, these are listed below:

A Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of Law

The culture of the organisation is founded upon good organisational performance, external recognition, staff morale and good employee attitude to internal controls. The Workforce Development Plan 2015-2018 sets the Council's vision for providing good quality relevant services to the community, while the Constitution incorporates a Members and Employees' Code of Conduct and a protocol on Members/staff relations. This has been updated and was adopted by the Council following the Joint Employee Consultative Panel which met in April 2015; this will cover the period 2015–2018. Member's misconduct allegations are considered by an assessment sub- committee under the umbrella of the Standards Committee which also investigates allegations of misconduct by Parish Councillors. The Council's monitoring officer will review the case together with an independent person and a decision will be made as to whether there is a case to answer. If a decision is made that there is a case to answer it would be referred to a hearing subcommittee.

There is a complaints procedure in place for the council to receive and investigate any complaints made against its Members or staff, as well as a Register of Interests to ensure that any conflict of interests are open and transparent.

Results of complaints investigated together with the report on all complaints dealt with by the Local Government Ombudsman are reported annually to the Corporate Governance and Audit Committee.

- The Council takes fraud and corruption and maladministration very seriously. The culture of the council sets the foundation for the prevention of fraud and corruption by creating an environment that is based upon openness and honesty in all council activities, and has the following policies in place, which aim to prevent or deal with such occurrences.
- The Anti-Fraud and Corruption Policy last updated in August 2017.
- The Whistleblowing Policy last updated in January 2016. There were no Whistleblowing cases in 2016-17.
- HR Policies regarding discipline of staff – During 2016-17 there were 7 dismissals.

The Council's Anti-Fraud and Corruption Policy is reviewed and any amendments are subject to the approval of the Corporate Governance and Audit Committee, this was last updated in August 2017. The Corporate Counter Fraud Officer was appointed on the 30th November 2015, and has established himself within the Internal Audit Team.

Investigations are undertaken where fraud is suspected in relation to Council Tax Reduction, Single Person Discount and Non Domestic Rates. He has successfully brought prosecutions relating to fly tipping plus other areas under his remit. He has identified potential savings to the Council of £349,714 for the 12 month period ending March 2017.

The council has a Corporate Complaints Procedure, forms and guidance which are available on the council's website. (Results of complaints investigated together with the report on all complaints dealt with by the Local Government Ombudsman are reported annually to the Corporate Governance and Audit Committee).

The council ensures that external providers act with integrity and compliance with ethical standards as they have to comply with an Anti Bribery statement and the ethical statement policy that is contained in the relevant contract or invitation to tender.

B Ensuring openness and comprehensive stakeholder engagement

The Council's committee meetings are held in public and are recorded; these recordings are suspended when the item goes into part 2. The press and public are only excluded when the report is presented as a Part 2 item in accordance with the applicable paragraph(s) within Part 1 of Schedule 12A to the Local Government Act 1972. In addition audio recordings are also held on the Council's website.

The Council's vision and strategy is included in the Corporate Plan see <http://www.chichester.gov.uk/corporateplan>. The annual performance report on the Council's Corporate Plan is reviewed by the Overview and Scrutiny Committee mid-year and then the Annual Report of the Corporate Plan goes to Cabinet and Council for approval. The Statement of Accounts, expenditure over £500 and the Senior Staff Pay Policy is available on the Council's website.

On-line consultation methods continue to be used, webhost software enables surveys to be designed, produced and analysed electronically. These surveys are accessed via the Council's website.

On-line polls have continued to be used, which allows members of the public to provide their views on a range of topics in which the Council is involved.

Community Forums – Regular meetings with Parish Councils have continued at Forum level over the year. These meetings are held quarterly and provide a mechanism to engage with the Parishes and to communicate and review information collectively.

The Council continues with its work on youth engagement. Community wardens main areas of activity are encouraging and increasing community involvement, dealing with environmental issues (e.g. graffiti, litter, abandoned cars, dog fouling etc.) within the area by working with appropriate agencies including the police, police community support officers (PCSOs) and local communities to reduce crime, anti-social behaviour and fear of crime in the area, including providing intelligence and evidence to the police and acting as a professional witness.

C Defining the outcomes in terms of sustainable Economic, Social and Environmental benefits

Although the Sustainable Community Strategy for Chichester District 2009-2026 is no longer a statutory document, the Council continues to be informed by the priorities identified in it. The document was refreshed during 2016. These priorities are developed further through the corporate plan that sets out the Council's contribution to this

partnership document. The Council measures its key priorities by a range of performance indicators which are set out within the Corporate Plan and monitored through Covalent, the council's performance monitoring software. Reports on the progress of these performance indicators are available on the council's internet site. In addition the Sustainable Community Strategy sets the vision for working in partnerships with other local and national organisations supported by the Local Strategic Partnership (LSP) – Chichester in Partnership, including the publication of a consultation exercise undertaken with partners and stakeholders on behalf of the Local Strategic Partnership.

Cabinet agreed the key financial principles of the 5 year financial strategy, which included continuing to review the council's costs in order to find further savings. A Task and Finish Group meets to discuss the budget, and reviews what is happening in the year and any impact for the new financial year.

The Council publishes its Annual Financial Accounts in accordance with the CIPFA guidelines and International Financial Reporting Standards. As uncertainty continues to surround the current economic and financial climate and in particular public sector spending plans, it is clear that central funding cuts of local councils will continue. The Council is therefore committed to delivering its own services more effectively, in the light of these planned reductions.

Following the decision for the shared service agenda with; Arun DC and Horsham DC not going ahead it was necessary for the services identified to be subject to a further review in order to find savings going forward, which has resulted in service reviews being undertaken and changes in the way that services are delivered.

The Council continues to track national events, quantifying local impact and taking early action to manage the impact. The objective is to put the Council in the best possible position to deal with the financial and other c it faces whilst still protecting the most vulnerable members of the community. It is important that the issues and the scale of the financial position are understood and the council is committed to finding solutions and options. A five year Financial Strategy and Plan was taken to Cabinet and Council in December 2015 which detailed the challenges facing the council to provide services that meet community needs with a significantly reduced overall level of resource. The Council approved a deficit reduction programme and key financial principles in the Financial Strategy offer guidelines for making financial decisions over the next few years, and will assist the Council in achieving balanced budgets.

The Local Plan was adopted in July 2015, (this is at present being reviewed in accordance with the Council's commitment to a 5 year review) and provides greater certainty about growth and development within the plan area. The Council is also developing a Masterplan for the Southern Gateway area of Chichester as part of the emerging vision for Chichester City Centre. The Council recently undertook a consultation on the draft Masterplan.

The council has a housing strategy in place which covers the period 2013-2018. The strategy sets out the housing priorities for the district. The strategy reflects the council's corporate priorities and also complements the economic strategy and the local plan. The strategy will show how the council will use their resources to best meet the housing needs of local people within the district. Some the key achievements during 2016/2017 are as follows:

- 579 households were accommodated via the Council's Housing register.

- The multi-agency steering group for the Syrian Voluntary Person Relocation Scheme, chaired by the CDC, housed and supported two Syrian families within the district.
- The Council's Landlord Accreditation Scheme was a continuing success with 58 properties being accredited during the year bringing the total number to 389.
- The Environmental Team participated in a joint project with West Sussex County Council to assist people to remain in their homes and speed up hospital discharges.
- The Council has extensively promoted community land trusts as a means of delivering affordable homes in rural areas and has received a grant of £1.39m from government to support community led housing.
- Continued progress was made during the year in meeting our affordable housing targets with 149 affordable homes delivered (96 for rent and 53 for sale).
- Over £1.07 of investment was secured by our registered provider partners from the Housing and Communities Agency.
- £352k was received in commuted sums in lieu of affordable housing on site.

D Determining the interventions necessary to optimise the achievement of the intended outcomes

The Council has responsibility to review the effectiveness of its governance framework. The review of the effectiveness is undertaken by the work of the Corporate Management Team (which is SLT and Heads of Service) who have responsibility for the development and maintenance of the governance environment. The Principal Auditor's annual report and comments made by the external auditor also adds to the effectiveness of the governance framework at the council. The process that has been applied in maintaining and reviewing the system of governance includes the following elements:-

The Council adopted a constitution to ensure it is efficient, transparent, and accountable to local people. Some of these processes are required by law; others are based on decisions made by the council. It is the responsibility of the Council's Monitoring Officer who reviews the constitution as and when required to ensure that it continues to operate effectively.

The Council is made up of 48 Council Members four of these Members take up the roles of Leader and Deputy Leader of the council, Chairman and Deputy Chairman. The Leader and Deputy Leader plus five Cabinet Members are appointed with specific areas of responsibility. (From the 10th June 2017 this changed to six). A review has been undertaken by the Local Government Boundary commission to reduce the number of Councillors from 48 to 36. The review has now completed the 40 day period for parliamentary scrutiny and so it will come into force at the next CDC election in 2019.

E Developing the entity's capacity, including the capability of its leadership and the individuals within it

A comprehensive induction and training programme exists for officers and Members. The training programme incorporates dealing with and understanding new and current legislation, understanding member's role as a ward member and developing their personal skills. Training programmes for staff, are incorporated into staff appraisals and development programmes.

A workforce development scheme has been introduced to support talented individuals in their career progression and to encourage the employment and development of apprentices. These initiatives are designed to encourage retention of staff and to address succession planning. From the 1st April 2017 the council will also contribute to the Government Apprenticeship Levy and will seek to utilise this resource to support the workforce development schemes and development of its staff.

Member's attendance at meetings is recorded on the modern gov system. In the event of continual non-attendance the matter would be passed to the leader of the political group concerned for action to be taken. Performance issues relating to staff are dealt with by the Manager / Head of Service. An officer's employee specification includes competencies, and is currently included in their annual appraisal.

The Council's Constitution clearly defines the roles and responsibilities of the Chief Executive, Chief and Senior Officers, Members and Committees and outlines procedural standards, scheme of delegation and protocol on Member/Officer relations. A further review of the Constitution has taken place and was taken to the Cabinet and full Council. The Leader, Cabinet Members and the Committee Chairmen and deputies receive verbal briefings from the Senior Officers on a regular basis and all Members receive pre-council briefings and participate in workshops particularly for the Local Plan. Members receive monthly bulletins through the Council's intranet site, to keep them informed of any new developments.

From the 1st May 2016 the Council appointed the post of Legal & Democratic Services Manager who took over the role of the council's monitoring officer from the Principal Solicitor. The post is responsible for legal compliance; Conduct and Compliance and working with departments to advice on legal issues across the Council.

The Head of Finance & Governance is the assigned Section 151 Officer; overall financial responsibilities for this role are detailed within the Constitution.

The Partnership Guidance to assist staff when setting up a partnership was updated in 2015 to strengthen the risk management element of partnerships. Partnership training has been undertaken with Members as part of the induction programme in 2015, guidance has also been published on the intranet for officers. There are currently 10 strategic level partnerships that the council is involved with.

F Managing risks and performance through robust internal control and strong public financial management

All cabinet reports are authorised by the relevant Executive Director and reviewed by the Chief Executive, Head of Finance and Governance/Section 151 Officer and the Monitoring Officer, before they are presented to the Cabinet. The Monitoring Officer and Section 151 Officer will also attend Cabinet if required, to answer any specific questions, raised by Members.

The Council's risk register is reviewed regularly and presented to the Strategic Risk Group bi-annually. The group comprises of the Senior Leadership Team (SLT), 3 Members from Cabinet and 3 Members from the Corporate Governance and Audit Committee. Job descriptions of Senior Officers reflect their "Risk Management Responsibilities" and Internal Audit's Annual Audit Plan is drawn up using a risk-based approach, commenting

on risk management in the area under review in their report. On a bi-annual basis the Council's Risk Registers including any new and emerging risks are presented to the Corporate Governance and Audit Committee. During 2016-17 the three highest risks identified in the Corporate Risk Register were:-

- Business Continuity
- Cyber Risk Attack Across Entire (CRR 9) ICT Estate (CRR 97)
- Non Achievement of Recycling Target of 50% by 2020 (CRR 88)

Major projects incorporate a full risk assessment prior to action being taken. As the project progresses a risk assessment is included in the Project Initiation Document (PID) report to committee and during the project risks are reviewed with the cabinet member concerned and updated as necessary.

The Health & Safety Manager has continued to work with services to ensure that there is an adequate business continuity plan in place. A decision was made to cease using Shadow Planner and to replace it with a system called Resilience Direct. This is a storage solution and can be used to store key documents should the Council's system go down. Service functions are categorised as critical (systems up and running in 3 days) and non-critical (over 3 days). The Health & Safety Manager will continue to test the robustness of the plans. The Health & Safety Manager together with the Council's insurer, Zurich Municipal, is intending to review the existing business impact analysis during the financial year 2016-17. He has also undertaken Health & Safety Challenges with Service Managers to see that their service is adequately protected in the case of an incident.

The Council operates a shared service with Arun for the provision of its Emergency Planning service. The Emergency Planning Officer will be based between Arun and Chichester with two members of the Housing and Environment Service assisting.

G Implementing good practices in transparency reporting, and audit to deliver effective accountability

The Council's Overview & Scrutiny Committee has the power to make reports and recommendations to the Council's Executive on issues which affect the area. The Committee can require Members and Officers to attend meetings and for partner authorities to provide information. The Committee also reviews and scrutinises decisions and may call in a decision made by the council's Executive which has not yet been implemented. The Council also takes part in county wide joint scrutiny reviews on issues affecting the wider area and has a representative on the West Sussex County Council Health and Social Care Select Committee to allow the authority to contribute to health related reviews.

In addition to the responsibilities outlined within the statement, the Corporate Governance and Audit Committee also had responsibilities for:

- Control and monitoring arrangements for risk.
- Review and determination of the Internal Audit priorities based on the governance issues and the risks assessments made.
- Review progress / effectiveness and probity of corporate governance within the authority.

- Report to full Council on significant issues or any concerns raised.
- Review and make recommendations to Cabinet and the Council on the council's financial regulations and contract standing orders.
- Consider reports from the Head of Finance & Governance on the Council's financial control system, the council's insurance policies and self-insurance arrangements.
- Monitor the operation of the Members Allowance scheme; approve annually the final accounts of the council and as required to monitor the efficiency of the council's services.

The Corporate Governance & Audit Committee meets five times during the year to consider regular reports from Internal Audit on system reviews, reports from the Head of Finance & Governance and Accountancy Services Manager in addition to Annual Audit and inspection letters from (EY) the nominated External Auditor.

The Standards Committee is made up of seven members of the Council; there are two Sub Committees (Assessment Sub-Committee and Hearing Sub-Committee) made up of three Members of the Standards Committee, in addition an independent person attends in an advisory capacity. Where the complaint is against a Parish Councillor the independent person or the Parish representative must not have had close association with the accused.

The overall responsibility of Internal Audit is to continually review the adequacy of the council's internal controls and report where necessary, any recommendations to management. Internal Audit reviews are designed to assess the effectiveness of the internal controls on which the council relies for managing risk. A report is prepared annually by Internal Audit on the effectiveness of the section and the opinion of the Head of Internal Audit is contained within the Annual Audit report. Internal Audit produces a three year plan which includes the resources of the section and the number of audits to be undertaken during each year. The annual audit plan is approved by the Corporate Governance & Audit Committee and progress against this plan is reported 5 times during the year.

From 2017 – 2019 CDC will publish on the website and submit to government data relating to the gender pay gap in order to comply with the Equality Act 2010 (Specific Duties and Public Authorities) Regulations 2017.

4. Effectiveness of Governance Arrangements

The Council's governance framework included decision-making processes that are set out in the Council's Constitution; this is continually being reviewed together with the rules.

Procedures are in place for maintaining and reviewing the effectiveness of the Council's governance arrangements throughout the year, these include the following:

- **Elected Members** – Make decisions in accordance with the Constitution and on the aims and objectives of the Council.
- **Overview and Scrutiny Committee** – Has the ability to scrutinise decisions made and maintains an overview of Council activities.
- **Standards Committee** – Meet to consider any complaints against Councillors and to review policies and procedures for maintaining high ethical standards.
- **Internal Audit Section** - Has a three year audit plan which is flexible and enables internal audit to respond to changing risks and priorities of the organization.

- **Corporate Governance & Audit Committee** – Discuss the findings of audit reports and any other issues that relate to governance.
- **Corporate Management Team** – Review and update governance arrangements, identify and review new and emerging risks and reviews existing risks.
- **Strategic Risk Group** – Regularly reviews, updates and reports on the Risk Registers.
- **Internal Audit Annual Report & Opinion** – This will be presented to the Corporate Governance & Audit Committee on the 28th September 2017 in conjunction with this document which contains an assurance statement regarding internal control.
- **Legal & Democratic Services Manager (Monitoring Officer)** - Ensures that the Council's operations are carried out lawfully.

5. Significant Governance Issues

One issue arose during 2016/2017 which related to Car Park income reconciliation which subsequently caused delays in the closing of the accounts.

6. Risks Identified

The risks that the Council identified during 2016-17 are detailed below:

Risk	Mitigating Action	Responsibility	Target date
Business Continuity	Business Continuity (BC) - document storage solution is held off site which enables staff to access key documents in the event of loss of IT services and systems. External review of the business impact assessment has been undertaken in the year to ensure that the high priorities areas are known plus lessons learned following a strategic BC test exercise by CMT.	Chief Executive Director / Service Manager	The Health & Safety Manager will continue to test the robustness of the plans with CMT.
Cyber Risk Attack across Entire Estate	Procedures and Policies are in place to deal with the risk. Controls in place include email filtering, and Anti-Virus software.	SLT / Head of Business Improvement	Situation On-going
Non-Achievement of Recycling Target of 50% by 2020	The council is working with all other districts within West Sussex on a uniform approach to achieve the 2020 target. There is partnership working through the inter-authority waste group to consider how to reduce residual waste and increase recycling. With Brexit negotiation taking place there is uncertainty surrounding EU Targets.	SLT / Head of Service – Contract Services	1 st January 2020

The process of preparing the Annual Governance Statement has in itself added value to the Corporate Governance and Internal Control framework of the Council.

7. Certification

It is therefore our opinion that Corporate Governance, along with supporting controls and procedures, remains very strong within the Council.

T. Dignam
Leader of the Council

D. Shepherd
Chief Executive

Internal Audit Annual Report 2016/2017

1 Introduction

1.1 The main purpose of this report is as follows:

- To summarise the effectiveness of Internal Audit
- Comment on the work undertaken by Internal Audit during the year
- Provide management and members with an opinion on the adequacy and effectiveness of the Council's arrangements, risk management and systems of internal control

2 Audit Planning

2.1 The Internal Audit Section works on a three-year strategic audit plan; this is produced following consultation with the Head of Finance & Governance/S151 officer and is approved by the Corporate Governance & Audit Committee. The Plan is prepared using a risk-based assessment which can be linked to the Council's Corporate Risk Register and is designed to review all the major areas and systems on a cyclical programme. Any areas and systems considered to be fundamental to the Council's operations are reviewed annually.

2.2 The Annual Audit Plan for 2016/2017 represented the first year, of a three year plan. Each of the audits is undertaken on an operational risk-based approach following discussions with the Heads of Service/Departments.

2.3 The annual Internal Audit plan is a live document and is updated with emerging risks as and when required. Any changes are reported to the Corporate Governance and Audit Committee.

3 Staffing

3.1 During 2016-17 the Internal Audit Section operated on 2.8 members of audit staff and a full time Corporate Counter Fraud Officer. This establishment was made up of the following posts:

- Principal Auditor (1.0fte)
- Senior Auditor (0.60fte annualised)
- Auditor (0.60fte)
- Auditor (0.60fte)
- Corporate Counter Fraud Officer (1fte)

All auditors have the requisite experience to effectively fulfil their responsibilities.

3.2 The Corporate Counter Fraud Officer (CCFO) works closely with Internal Audit and is now part of the audit team. The CCFO is responsible for investigating and reporting on, any offences against or within the council. Internal Audit is responsible for

reviewing the controls annually in order to give assurance to those charged with Governance that the Internal Control arrangements within the Council are robust and regularly reviewed by both Internal and External Audit.

4 Performance against the Internal Audit Plan

4.1 The Internal Audit Section completed the following Audits /Reviews during 2016/2017:

Completed Planned Audits

- Personnel & Recruitment
- Industrial Estates / Investments
- Data Security PSN
- Treasury Management
- Rent in Advance and Deposit Bonds
- Community Careline
- Estates Rent Arrears
- S106/ CIL
- Emergency Planning
- Elections
- Contract Management
- Building Services
- G4S Car Park Income
- Annual Governance Statement
- Annual Internal Audit Report

Key Financial Systems (reviewed annually)

- Bank Reconciliation
- Creditors
- Council Tax
- Debtors
- Housing Benefit
- NDR
- Payroll

4.2 The Audit Section undertook annual testing on all the Key Financial Systems; the main financial systems that feed into the financial statements, in order to identify and ensure that the appropriate levels of internal control, were in place. In addition, there are a number of controls which are tested by internal audit that are based upon agreed criteria with the External Auditors, Ernst and Young. This testing and the results are then used by external audit to place reliance on the work of Internal Audit and avoid duplication.

4.3 In addition to the planned work, Internal Audit continues to respond to requests by the Council's services and departments, where and when advice and assistance is required, whilst remaining impartial. A number of minor issues were addressed by internal audit during the year.

Planned Reviews not completed

- 4.4 During 2016/2017, five audits from the original audit plan were deferred. The reasons relating to these audits were reported to the Corporate Governance and Audit Committee and included; awaiting the engagement of a new contract to be awarded, systems being covered under another audit or the pending outcome of an independent review. The time initially allocated to these audits was absorbed by non-programmed work. In addition, an unexpected amount of time was required on the proposed shared service project; this time was taken out of the contingency allocation.

5 Reporting

- 5.1 All internal audit reports were reviewed by the Principal Auditor prior to publication and reported to the Corporate Governance & Audit Committee five times a year. A report showing progress against the audit plan is also taken to Committee. In some cases audits that commenced before the 31st March 2016, were not completed until after the 1st April, 2016 and these related to the previous Audit Plan 2015/16.
- 5.2 A number of recommendations were raised and reported on during 2016-17, all of which had been agreed by management and the Corporate Governance & Audit Committee. As a result internal audit undertook a series of follow up reviews throughout the year; in order to ascertain whether the recommendations made, had been implemented and deadlines met. Where recommendations are not implemented they are brought to the attention of the Corporate Governance & Audit Committee.

6 Opinion on the Control Environment

- 6.1 Based upon the internal audit work undertaken during the year 2016-17, the overall opinion is that 'satisfactory' assurance can be given, and generally that there is a sound system of internal control designed to meet the Council's objectives.

Agenda Item 9

Chichester District Council

CORPORATE GOVERNANCE & AUDIT COMMITTEE 28 September 2017

Strategic Partnerships Review 2017

1. Contacts

Report Author:

Amy Loaring, Partnerships Officer

Tel: 01243 534726 Email: aloaring@chichester.gov.uk

2. Recommendations

The committee is requested to consider this annual report on the effectiveness of the Council's strategic partnerships and to satisfy themselves that these partnerships have appropriate governance measures and risk monitoring procedures in place.

3. Background

3.1. At a special meeting of the Corporate Governance and Audit Committee on the 23 July 2012 the following recommendations were made:

- (a) The committee should receive an Annual Partnerships report on the effectiveness of the council's strategic partnerships focussing on governance arrangements and risk monitoring.
- (b) The council's partnerships, both strategic and operational, should be reviewed during the council's annual service planning process to ensure that they are still achieving their outcomes, that risk registers are up to date and regularly reviewed and the council's strategic objectives continue to be met.
- (c) That the role of members who serve on partnerships is made clear in the partnerships guidance document particularly in relation to the requirements for annual reporting.

4. Analysis of Partnerships and recommendations

- 4.1. There are currently 10 strategic level partnerships that the council is involved with, as set out in the annual partnerships report (Appendix 2). They all have appropriate governance arrangements in place.
- 4.2. The annual review and report process is an appropriate method for ensuring our strategic partnerships have appropriate governance measures in place and should continue for the foreseeable future.

5. Community impact and corporate risks

- 5.1. By not completing a review of the main strategic partnerships of the council we risk council resources being directed into partnerships that do not meet the council's priorities, waste our resources, do not have a clear goal, and could

bring the council into disrepute. By ensuring that appropriate governance is in place in these partnerships and their risks managed we can ensure the quality of their work and their benefit to the local community.

6. Other Implications

	Yes	No
Crime & Disorder:		✓
Climate Change:		✓
Human Rights and Equality Impact:		✓
Safeguarding:		✓

7. Appendices

Appendix 1 – Chichester District Council Partnerships report 2017

8. Background Papers

None

Chichester District Council - Annual Partnerships Report 2017

Strategic Partnerships

1. CHICHESTER IN PARTNERSHIP (CIP)

Partnership Description

CIP is an umbrella body, which brings together a wide range of organisations from the public, private, voluntary and community sectors within the district. Its original remit is to develop and deliver a Sustainable Community Strategy for the district.

- Development & Delivery of the Sustainable Community Strategy for Chichester District.
- Being a network for local organisations.
- Dissemination of information to partners to enable better-coordinated working.
- The coordination, support and championing of local partnerships.
- Developing projects across the partnerships to provide multi agency solutions to local issues.
- Engaging elected members in partnership working.
- Coordination of local community engagement.

Priorities for the partnerships are as follows:

- Reducing Worklessness,
- Tackling Financial Exclusion
- Targeted support for communities in need
- Dementia Friendly Chichester
- Family Intervention.(Think Family)
- Helping those with Low level mental health needs

Planned Outcomes 2017/18

- Through ChooseWork residents are supported in their personal development to move forward in their lives so they are less reliant on public services support.
- Reduction in Employment Support Allowance figures
- Increase the number of people in the district with qualifications
- Number of children with increased work place skills
- Future reduction in the number of NEETS
- Less duplication of activity or services developing new projects in isolation and better quality activity delivered
- A wide range of people working in front facing roles and coming into contact with members of the public who could potentially have dementia or be a Carer are skilled and have confidence to support them
- A sustained programme of sponsorship and support 'in kind' is in place from local businesses and organisations.
- People with Dementia and their Carers are engaged in evolving a sustained programme of activities.
- Regular arts related activity in place for people with Dementia and their Carers.
- Resource for partners to understand local services
- No duplication of services
- Improve public attitudes and behaviour towards people with mental health problems.
- Reduce the amount of discrimination that people with mental health problems report in their personal relationships, their social lives and at work.
- Make sure even more people with mental health problems can take action to challenge stigma and discrimination in their communities, in workplaces, in schools and on-line.
- Create a sustainable campaign that will continue in communities and workplaces long into the future.
- Improve budgeting awareness and skills in target audience

<ul style="list-style-type: none"> • Frontline staff have greater knowledge of where to refer clients who need financial help • To identify community hubs that are already working as information gateways • Provide good practice on how a community hub can provide an information gateway • Development of a social prescribing model • Development of a local youth services forum
Chichester District Council resources
<p>70% of Partnerships officer time</p> <p>Desk space and management time of Work experience officers</p> <p>£30,000 invested into the ChooseWork project</p>
Other resources
<p>From DWP</p> <p>£75,000 from Department of Communities and Local government (DCLG) for Choosework. (for expenditure in the new financial year)</p> <p>28 hours of senior officer time from partner organisations</p>
Reporting Lines
<p>CDC overview and scrutiny committee</p> <p>Wider LSP (AGM)</p> <p>DWP – For Choose Work Funding</p>
CDC priority link
<ul style="list-style-type: none"> • Promote economic development • Supporting Vulnerable people and Communities • Use resources effectively and efficiently
Headline achievements 2016/17
<ul style="list-style-type: none"> • Choosework this year concentrated on ESA claimants who are classed as harder to get into work. Choosework has helped 85 clients move forward (target of 80) 20 clients found employment, 14 people helped into a work placement In total they supported 239 clients through workshops and one to ones. £38,770 Funding from DWP ended in March 2017. The programme is highly thought of by both DWP and CDC and will continue to be funded via CDC and DCLG going forward. DWP will remain a committed supporter of the programme and continue to refer customers where appropriate • Helping residents with low level mental health needs – a situational report was written about this issue and the Partnership is now a lead organisation in the development of the “Time to Change” campaign. Time to Change aims to reduce the stigma around Mental Health by promotion and training. • A Community Assessment tool has been developed and approved by the Core Group of the partnership. We have developed Community assessment of the Chichester East area and am currently working on the Tangmere Assessment. • We held a Symposium of Partnerships in March 2017 in Chichester Festival Theatre. This event was designed to show the work of partners and get them talking to each other. It was attended by over 100 people and lots of networking took place between partners. Feedback from the event was positive. • Core group membership expanded to include Citizen’s advice, Change Grow live, Coastal West Sussex Mind.
Risk Assessment
<ul style="list-style-type: none"> • Risk of partners such as West Sussex County Council not becoming fully engaged with projects, thus leading to failure. • Internal reorganisation with partners can cause ramifications on partner relations. • Lack of funding to complete projects. • Lack of revenue funding for projects.

2. Chichester District Community Safety Partnership
Partnership Description
A statutory requirement under the Crime and Disorder Act 1998 to form a strategic Partnership that brings together partners to have a coherent approach to community safety.
Planned Outcomes 2017/2018
<p>The joint meetings with the Neighbouring CSP in Arun have continued, they have agreed that in order to develop more joint working and reduce duplication that we will have 2 joint meetings of the CSPs a year. The joint priorities are:</p> <ul style="list-style-type: none"> • Child Sex Exploitation • Serious Organised Crime • Mental Health • Street Community <p>Priorities for the CSP in 2017/18 are:</p> <p>Educate young people about healthy relationships to reduce the number of young people being a victim of Domestic Abuse.</p> <p>Identify top 10 persons generating reports of ASB via Police, instigate problem solving analysis, visit and target hardening action to reduce / remove from the list or reduce collective volume of top 10 – reviewed monthly by JAG.</p> <p>To support the further development and delivery of early intervention to families identified by IPEH.</p> <p>Increase the resilience and confidence of the Communities in the identified areas to support sustained change in families worked with by IPEH</p> <p>Reduction in crime and ASB reported in the identified areas. Increased confidence and facilities as measured by the community development assessment tool.</p> <p>Raise awareness around human trafficking and child sexual exploitation. Fulfil our statutory duty to inform the Home office of any suspected victims of modern slavery.</p> <p>Monitor and reduce the impact of emerging community tensions including unauthorised encampments, Support WSCC PREVENT agenda</p> <p>Reduce the numbers of victims of scams and other online crimes</p> <p>Reduce the numbers of killed and seriously injured on our roads</p> <p>Reduction in older drivers over 60 involved in accidents</p> <p>Reduction of the number of pedal cyclists killed or injured on our roads</p> <p>Reduction in collisions relating to speeding drivers</p>
Chichester District Council resources
90 hours officer time

Other resources
£42,295 – police crime commissioner Officer time from other organisations
Reporting Lines
Chichester in Partnership & CDC Overview and Scrutiny Committee
CDC priority link
<ul style="list-style-type: none"> • Supporting Vulnerable people and Communities • Use resources effectively and efficiently
Headline achievements 2016/17
<p>General</p> <p>This year has seen a significant change in the way Sussex Police deliver their service and the impact of the Local Policing Plan is starting to be felt across the district. There are no longer dedicated officers for geographical areas and this has left some areas like the city centre slightly more vulnerable to crime. Acquisitive crime has risen over the year, burglary dwelling, theft from vehicles and pedal cycle thefts are higher than last year. That said the partnership work with Sussex Police remains strong particularly in our response to pedal cycle thefts, rough sleeping and tackling exploitation. We also joined our CSP with Arun for two meetings a year as we are now under one Policing District. This is working well and has identified 4 key priorities which are CSE, Street Community Mental Health and serious Organised Crime. We will be working to these priorities jointly in 2017.</p> <p>JAG (Joint Action Group)</p> <p>Anti-Social Behaviour (ASB) and Crime-</p> <p>ASB continues to involve mainly neighbour disputes with general nuisance behaviour especially amongst young people reducing, we still manage youth ASB at the earliest opportunity which generally stops it escalating. Neighbour disputes are much more difficult to resolve as they usually stem from a civil matter and can end up with criminal investigations. We have had no community trigger activations since their implementation in 2014 suggesting complainants are satisfied with the handling of their cases.</p> <p>We reduced the targets for both Burglary Dwelling and Burglary other than dwelling for 2016/17 however Quarter 3 figures show an increase of 50 Burglary dwellings on the rolling year and a decrease of 16 Burglary other than dwelling. The increase in Burglary dwelling is spread across the district and there are no particular patterns. The district is vulnerable by nature of its borders with other districts and Counties and the road network can facilitate offenders travelling in and out of the district. We can authorise Designated Patrol Areas (DPA's) and these can be used to good effect when detecting crimes. An officer conducting a DPA in the north of the district stopped a van on one of the back roads and was able to arrest the occupants for a number of offences. Burglary dwelling will be a key priority for 2017/18.</p> <p>Theft of vehicles has increased by 35 and theft from increased by 17 and beauty spot car parks remain the most prevalent location for theft from. Similar to last year the increase appears to be</p>

related to one individual who is regularly in and out of prison.

Theft of pedal cycles has remained high throughout the year with an increase of 70 on last year. The JAG has made a concerted effort to tackle this and various bike marking events have been conducted and warning signs have been procured and placed in “hot spot” locations for pedal cycle thefts. We have engaged Southern Rail as a number of offenders have been using the trains to get to Chichester, they steal the cycles and then use the trains make their escape.

Public Place Violent Crime is now included on the CSP Business Plan and the figures continue to rise there are no set patterns or locations to these crimes and will include reports of Domestic abuse. JAG continues to monitor and liaise with night-time economy partners.

There have been a number of thefts from new development sites and the security checklist developed last year has been used to good effect.

Cyber -Crime

Cyber- crime is one of the fastest growing crime types of our time and with more people using technology and utilising online systems there are ever more opportunities for offenders to target the general public and businesses. We have been working with WSCC to develop a community led campaign around online security, the campaign focuses on 3 main areas, passwords, antivirus and patching|(software updates). To date we have identified community champions and have a presentation which can be used in community settings . WSCC also have developed a dedicated webpage which we will share the link (below) for on our website once finalised. We continue to support schools with internet safety advice.

<https://www.westsussex.gov.uk/campaigns/staying-safe-online/>

Child Sexual Exploitation (CSE)

The exploitation sub group continues to meet quarterly and is working through the revised plan attached below. Arun CSP are now represented at the meetings and a joint approach is being developed.

We have delivered awareness training to all Southern Rail station managers for the south east on CSE and as a result they were going to review some of their policies on removing young people from trains. We have also delivered training to all West Sussex Library managers in partnership with WSCC and Barnardos have delivered training to 40 taxi drivers and a number of hoteliers in the district with more training planned.

Districts and Boroughs are now represented on the multi- agency CSE group which makes for better information sharing around those identified as at risk of CSE and locations relating to it. We also incorporated CSE in our level 2 safeguarding training to CDC staff.

General exploitation awareness training was delivered to City Angels and they identified rough sleepers as a group who they came across regularly and now they have representation at the rough sleeper panel.

Modern Slavery

As a local authority we have a duty to notify the Home Office if we believe there are victims of Modern slavery in our district. We are currently developing an action plan with Sussex Police which is attached but is still very much a draft. 2017 will focus on further development and

implementation of this plan.

KSI- (Killed and Seriously Injured)

The local working group has now been integrated into an Arun and Chichester Road Safety Action Group (RSAG). The group is still in its infancy but is concentrating its efforts on campaigns targeting young and older drivers. They have run tyre safe events and driving under the influence campaigns over the festive period. There will be work around pedal cyclists in the coming year.

Community Tensions / PREVENT

Community Tensions continue to be monitored in a multi-agency way at the JAG. The newly set up county wide Tactical Tasking and co-ordination Group identifies whole county tensions and is a mechanism for reporting and monitoring these. Gypsy Traveller incursions have reduced and those that did occur were swiftly advised to go to the transit site or move on. Despite community fears the transit site has generated few issues and the complaints have been low level. Regular meetings with the chair of the Parish Council have ensured good communication links and a quick response to any issues arising.

The PREVENT duty became law on July 1st 2015 and as a Local Authority we must pay “due regard to the need to prevent people from being drawn into terrorism” we are continuing to raise awareness stage and there were a number of internal and external training events in 2016. I have delivered training to City Angels as they often come across the street community who are particularly vulnerable to radicalisation due to their specific needs and often reliance on alcohol. This was also included in level 2 safeguarding training for CDC staff.

Domestic Abuse

We have a priority in the business plan to reduce the effect of domestic abuse particularly in relation to young people. The JAG commissioned Options to deliver a “Healthy Relationships” project in Chichester College aimed at their 14-16 year old cohort. The project emphasised what healthy looks like and promoted resilience amongst participants to challenge their own relationships and those of their peers.

Think Family

Keyworker

Phase two of Think Family saw a reduction in the target number of families worked with to at least 10 over the year. This reflected the complexity of referrals which are now level 3 as opposed to level 2. Social Care continue to pick up the most serious cases at level 4. Our keyworker worked with 7 families in 2016 but gave her notice in October. Many of the families have been supported back into work and education. Behaviour of children has improved and family breakdown has been avoided. We were hoping to host the post until 2020 but the WSCC transformation of Children's Service promotes all keyworker services working under one umbrella (Integrated Prevention and Earliest Help IPEH). WSCC are therefore looking to bring all district based keyworkers back under their responsibility. We are closely linked in with IPEH and I have ensured CDC is regarded as a key partner in its development and future delivery.

Neighbourhoods

This year has seen a continued concentration of effort in Chichester East and getting the foundations right to sustain the changes and work being undertaken. The Swanfield youth centre

has moved on and funding has been sourced to enable the works to start the conversion. We gave £5,000 from the Neighbourhoods funding from WSCC to support the project. The plans for a community hub in Charles Avenue is moving forward and there is a Charles Avenue Residents Association (CARE) now formed which Affinity Sutton, WSCC and CDC are supporting. It has not been possible to redevelop the “cleaners building” in Charles Avenue so it is proposed to locate a porta-cabin in one of the car parks subject to Planning. We will be making a financial contribution from the neighbourhoods fund once costs are finalised. Ideas into action has been delivered into all primary schools in Think Family Neighbourhoods and outcomes have been a new fun bin in Tangmere recreation park, signs promoting responsible disposal of litter in Selsey and future projects around supporting the elderly and keeping communities fit. This project continues to support communities and promotes the voice of the child within those communities. The opportunity for young people to be involved in the democratic process and understand how they can be empowered to make change in the area they live cannot be underestimated. We still have funds in the neighbourhood budget so despite it being unlikely that funding available will be available from WSCC going forward we can continue to support the work in Chichester East but also explore opportunities in Chichester South and Tangmere.

Public Confidence and Reassurance

The CSP continues to make better use of social media in promoting the work it is doing and ensuring the public are made aware of key campaigns and activity. There have been media releases around Think Family Neighbourhoods work, Ideas into Action and CARE support. We share communications with other partners so they can put them on their social media sites and we do the same for their campaigns. Regular input on the Members bulletin board ensures Members are kept up to date. We have just finished our public consultation for 2016 and the results are attached below.

Risk Assessment

- Loss of funding through Police crime Commissioner decision
- Lack of engagement by partners into delivery of projects
- Public pressure on partnership to take action over issues they have no funding for.

3. MANHOOD PENINSULA PARTNERSHIP

Partnership Description

The MPP was formed over 14 years ago as a standing forum for local strategic issues. This multi-agency and community group has initiated and facilitated many initiatives in recent years by attracting funding to the area from the EU, DEFRA, RSPB and other sources. These include: land drainage studies, Medmerry coastal realignment, a Destination Management Plan and various tourism and economic initiatives in line with the Integrated Coastal Zone Management strategy. The MPP has achieved national and international recognition.

Its aims are to raise the profile of environmental, social and economic challenges facing the Peninsula, seeking solutions by collaborative working and undertaking key projects to promote inter-sectoral integration through improved understanding between stakeholders.

The Partnership is a low cost way for CDC to act as an exemplar for localism and community engagement. The contribution is £5,000 a year and the “hosting” of the MPP Project Officer post. The partnership reinforces the District Council commitment to coastal adaptation and the protection of the Peninsula’s special environment to enhance community viability and the

economy.

Planned Outcomes for the year ahead 2017/2018

Selsey Haven

There are two studies underway for Selsey Haven for 2017/18:

1 – Key Issues Technical study. Having reached the conclusions stated in the initial pre-feasibility study produced in Jan 2016, the key issues technical issues are being examined by Royal Haskoning DHV. There are eight issues to be considered, including a review of beach by-passing by Natural England and a preliminary business case for the development, construction and operation of the harbour in order to determine its optimum size and capacity

2 – Socio-economic study. There are a number of expected socio-economic benefits associated with the successful development of Selsey Haven. The research methodology for the study includes the following:

- Assessment of current business capacity linked to the existing tourism and fisheries sectors
- Evaluation of the existing tourism offer
- Identification of opportunities for new business development

The two studies have been funded in partnership by CDC, Selsey Town Council, Selsey Fisherman's Association. The studies are due for completion in late June/ early July 2017. The results and recommendations for future work will be taken to Cabinet in September.

Peninsula Surface Water Issues and Solutions Group (SWISH)

The SWISH group is a sub-group of the existing Manhood Peninsula Partnership (MPP). Southern Water, Environment Agency, Local Flood Action Groups and flood/drainage engineers from WSCC and CDC are members. SWISH complements the CDC led strategic group, Manhood Peninsula Drainage Partnership.

The group was set up to deliver practical elements of the Manhood Peninsula Surface Water Management Plan 2015. The aims for 2017/18 year are to develop a national pilot for surface water management in lowland areas, and a peninsula wide development of the scheme.

Green Links Across the Manhood (GLAM)

Development of green links to support sustainable transport accessing key conurbations and other areas of the Manhood e.g. tourist attractions such as the harbours, thereby reducing congestion, offering tourist opportunities and improve travel times.

Standing Conference

Ensure sustainable development of the peninsula for the benefit of future generations and consider long-term issues through improved coordination, communication and understanding between those involved in the Manhood Peninsula and by providing a platform for dialogue between the agencies and local communities enabling integration of strategic issues as per the MPP Terms of Reference.

Chichester District Council resources

£5000 contribution to fund the part time MPP Project Officer. The Project Officer is leading the Selsey Haven sub group and also coordinates and administers the other MPP planned objectives outlined above. The MPP work supports the work of the Economic Development team in particular the support for the fishing industry in Selsey through the Selsey Haven Project.
Other resources
The MPP's other funding partners are the Environment Agency (EA) £4,000 per annum (ends March 2018), Parish Council funding from the Parish Precept, £6,386.
Reporting Lines
Project Officer currently reports to the Environment Manager in Housing and Environment Services, however she works in close association with Economic Development Team.
CDC priority link
Use resources effectively and efficiently Protect and maintain our natural and built environments.
Headline achievements 2016/17
<p>The key outcomes from 2016/17 are as follows;</p> <p>Selsey Haven</p> <p>Acquiring the funding for and commissioning of a Technical Key Issues Study and wider Socio-economic impact Assessment. The reports have been commissioned in partnership by Chichester District Council, Selsey Town Council and Selsey Fisherman's Association. Work on them is now underway. They Selsey Haven Steering Group is in place.</p> <p>Green Links Across the Manhood (GLAM)</p> <p>Development of green links to support sustainable transport accessing key conurbations and other areas of the Manhood e.g. tourist attractions such as the harbours, thereby reducing congestion, offering tourist opportunities and improve travel times.</p> <p>SWISH</p> <p>Membership is established. The group is prioritising actions and procedures of most use to parishes, and the role of Operation Watershed. Group members Southern Water, WSCC and CDC use the group as a conduit for offering advice to the Flood Action Groups, many of those on the peninsula are represented on SWISH.</p> <p>Standing Conference</p> <p>Ensure sustainable development of the peninsula for the benefit of future generations and consider long-term issues through improved coordination, communication and understanding between those involved in the Manhood Peninsula and by providing a platform for dialogue between the agencies and local communities enabling integration of strategic issues as per the MPP Terms of Reference.</p> <p>GLAM Project – Green Links across the Manhood, sustainable transport opportunities between</p>

main towns across the Peninsula.
Standing Conference - Facilitated 4 partnership meetings to ensure joined up working on issues key to the Peninsula.
Risk Assessment
Future plans dependent on funding opportunities and successful funding applications. Community inspired partnership – withdrawal from the partnership could have a detrimental impact on community relations

4. The Coastal West Sussex and Greater Brighton Strategic Planning Board
Partnership Description; what is its visions, and overall aims?
Local authorities are required by law through the Duty to Co-operate to ' <i>engage constructively, actively and on an ongoing basis</i> ' on planning matters that impact on more than one local planning area. The Coastal West Sussex and Greater Brighton Strategic Planning Board is a grouping of local planning authorities within the coastal West Sussex area responsible for identifying cross boundary strategic planning issues and agreeing how these should be prioritised and managed. The Board operates on the basis of a memorandum of understanding agreed by the constituent authorities. The Board is an advisory body and so decisions on taking forward its work programme remain the responsibility of the individual local authorities.
Planned Outcomes for the year ahead 2017/2018
Increased likelihood that draft Local Plans prepared by the constituent local planning authorities will be found sound and can be adopted. Consideration and planning of the production of Local Strategic Statement 3 to address the shortfall in meeting housing needs and deal with cross-border strategic planning matters.
Chichester District Council resources
Officer and member time to attend Board (and officer Group) meetings. Officer time to contribute to the work of the Board, in particular scoping of the evidence base for LSS3.
Other resources
Agreed shared funding costs to resource the Board's work programme where appropriate.
Reporting Lines
Cabinet Member for Housing and Planning and Head of Planning Services attend Board meetings Planning Policy, Conservation and Design Service Manager attends Officer Group meetings
CDC priority link
<ul style="list-style-type: none"> Improve the provision of and access to suitable housing.

<ul style="list-style-type: none"> • Support our communities. • Manage our built and natural environments. • Improve and support the local economy.
Looking back, what were the Headline achievements in 2016/17 for your partnership
<p>The work of the Board has been used to help demonstrate compliance with the Duty to Co-operate on cross boundary strategic planning issues.</p> <p>The Board has completed a study to define the housing market areas and functional economic market areas.</p>
Risk Assessment
Risk of failing to agree on an approach to determine the amount and distribution of proposed development and infrastructure to facilitate it.

5.Solent Recreation Mitigation Partnership
Partnership Description; what is its visions, and overall aims?
<p>The Solent is internationally important for its wildlife interest and there are various protective designations including three Special Protection Areas (SPAs). A substantial amount of house building is planned around the Solent and this could have potential impacts on the SPAs. One of which is increased recreational activity at the coast resulting from population increases associated with the new homes. Such disturbance reduces the birds' opportunities to feed, potentially resulting in a reduction in the bird population. In order to comply with the Habitat Regulations and ensure that potential harm to the integrity of the protected habitats is mitigated, Chichester District Council has entered in to a partnership with the other local planning authorities around the Solent to deliver a strategic mitigation package.</p>
Planned Outcomes for the year ahead 2017/2018
Residential development can continue to be granted planning permission and comply with the Habitat Regulations.
Chichester District Council resources
Officer time to attend officer steering group and project board meetings.
Other resources
The collection of £181 per dwelling granted planning permission within the zone of influence.
Reporting Lines
<ul style="list-style-type: none"> • Planning Policy, Conservation and Design Service Manager to attend Solent Recreation Mitigation Partnership Project Board and Steering Group. • The Leader and Chief Executive (or their nominated substitutes) represent CDC at the PUSH Joint Committee. • Cabinet approves the Authority's Monitoring Report each year which will report on this issue.

CDC priority link
<ul style="list-style-type: none"> • Improve the provision of and access to housing. • Manage our built and natural environments.
Looking back, what were the Headline achievements in 2016/17 for your partnership
<p>The Partnership has rebranded itself as 'Bird Aware Solent' and is increasing the size of the ranger team. Its presence is becoming increasingly well-known through the new website and the interaction of the rangers with the public, not least through social media.</p> <p>Considerable progress has been made with the drafting of the Definitive Strategy and agreeing a monitoring programme.</p>
Risk Assessment
<p>Risk of challenge through appeals and lack of Inspector support.</p> <p>Risk that harm to protected sites still occurs as mitigation insufficient.</p>

6.Sussex Air Quality Partnership
Partnership Description; what is its visions, and overall aims?
<p>Sussex Air was set up in 2000, comprised of officers from all the Local Authorities in Sussex. The partnership has a set of terms of reference but is not a formally constituted body. The partnership meets every 2 months, works to an agreed agenda and is currently chaired by Chichester District Council. All partners currently pay an annual subscription of £3,000 to Sussex Air, which is used to pay for the services set out below.</p> <p>Members of Sussex-air 2017/18:</p> <p>Adur District Council, Arun District Council, Brighton and Hove City Council (BHCC), Chichester District Council, Crawley Borough Council, Eastbourne Borough Council, Hastings Borough Council, Horsham District Council, Lewes District Council (LDC), Mid Sussex District Council, Rother District Council, Wealden District Council, Worthing Borough Council, East Sussex County Council and West Sussex County Council.</p> <p>Associated (non-contributing) members: University of Sussex University of Brighton, King's College London (ERG), The Environment Agency and Public Health England,</p> <p>The aims of the partnership are to provide:</p> <p>1) A co-ordinated and quality assured air quality evidence base: economies of scale are gained by procuring a single contract on behalf of all partners to collect, verify and ratify data from the air quality monitoring stations owned and/or operated by the partners. This enables partners to fulfil part of their statutory obligations under Local Air Quality Management (LAQM) and to determine whether air quality across Sussex is improving or getting worse, and without the data we would not be able to operate Air Alert.</p> <p>2) Technical support to partners: to enable partners to meet their statutory obligations on Local Air Quality Management and to assess complex planning applications.</p> <p>3) Information & advice to the public: to increase understanding of the causes of, and measures to improve, poor air quality (www.sussex-air.net) and to assist vulnerable residents to cope better with episodes of poor air quality (www.airalert.info) and/or cold weather (www.coldalert.info). This supports various indicators in the Public Health Outcomes Framework including on fuel poverty (1.17) Fraction of mortality attributable to particulate air pollution (3.01)</p>

and excess winter deaths (4.15).

4) A means to co-ordinate work on air quality: to enable networking, the development of funding bids, knowledge sharing and to respond to relevant consultations, to ensure that the partnership achieves more than if each organisation were to work on its own.

Planned Outcomes for the year ahead 2017/2018

1) Evidence base: the contract with ERG will continue to be managed to:

- provide quality assured data on local air quality;
- provide up-to-date information on air quality to the public on the Sussex Air website;
- enable the delivery of the Air Alert service to vulnerable residents. The contract is between Lewes District Council and ERG, however the partners are collectively responsible for the contract, which runs till May 2018. Preparation to retender for this work/service will be undertaken in 2017/18.

2) Technical support to partners: Technical support to partners is provided through an agreed schedule of rates with Ricardo consultancy. In-house support is provided informally by the network of officers.

3) Information and advice to the public:

1. Air Alert: a. the target will be to increase the take up of the service to 850 local residents by March 2017(a 10% increase). b. The service will continue to be sold to other Local Authorities. c. Discussions will be held with Air Text to identify the cost, benefits and practical issues with developing a combined service. **2. Cold Alert:** Subject to continued funding from Public Health, the service will aim to target an additional 75 local residents across Sussex during the winter of 2016-17 (an increase of 30%). **3. Communications plan:** A simple plan will be developed for 2016-17 to ensure that all partners can influence and have visibility of communications by Sussex Air on behalf of the partners. This will be updated & reviewed at Sussex Air meetings.

4) Co-ordinated work:

- 1. Public Health:** Sussex-air will continue to engage with public health authorities to inform health professionals and to develop a joint approach to addressing the PHOF objectives.
- 2. AQMA:** assess progress in delivering the AQAPs and how partners can assist each other in overcoming barriers to implementation.
- 3. EV South East:** continue to deliver the eV South East Network project (3 year support 2015-18).
- 4. Sussex Air guidance:** is in the process of being revised and will be relaunched prior to April 2018.
- 5. Bids:** appropriate opportunities for joint bidding will be identified
- 6. Consultations:** partners will discuss responses to relevant consultations and agree whether to submit joint or individual responses.
- 7. Regional & national fora:** the chair of Sussex Air will represent the group at relevant fora and provide feedback to partners, to enable the group to maintain its profile and ensure partners remain up-to-date with current key issues on air quality.

Chichester District Council resources

£3,000 and 1 week of officer time/year.

Other resources

None identified.

Reporting Lines

The group reports verbally and by written submission to the Chief Environmental Health Officer's Group. A designated Chief Officer attends every Sussex-air meeting.					
CDC priority link					
Simon Ballard, Senior Environmental Protection Officer.					
Looking back, what were the Headline achievements in 2016/17 for your partnership					
<ol style="list-style-type: none"> Partner integration: West Sussex Public Health have regularly attended the partnership meetings and are in the process of producing an air quality briefing document for the DPH. Evidence base: On-going management of the ERG air quality monitoring data contract and a costed review of options to upgrade and improve the functionality of the Sussex-air website. Upgrade options to be taken forwards will be determined in the early period of 2017/18. Technical support to partners: A draw-down contract was set-up with an external consultancy 'Ricardo' to provide technical support at an agreed schedule of rates for assistance with complex planning applications and with the annual statutory report. The contract was drawn-down for twelve work items across the authorities. Training was arranged and provided by ERG for officers operating air quality monitoring stations. The meetings continue to be a knowledge sharing forum useful to all and particularly officers assigned air quality work with little previous experience. Partnership provided two ASR training sessions for Sussex-air officers provided by Ricardo Public facing: airAlert service promoted during Breathe Easy week in 2016 & 2017, this year more widely through ESCC, WSCC, Chichester and B&HCC comms teams. 36 airAlerts sent in 2016/17, 881 airAlert subscribers to date. ColdAlert service promoted during the winter 2016/17 with assistance from ESCC comms team, part funded by ES Public Health. Improving air quality: Sussex-air continues to run the Energise 'rapid' electric vehicle network and convene meetings of that group to knowledge share, communicate with the service provider and consider options for further development. 					
Risk Assessment					
Risk	Impact	Risk assessment 1 = Low; 3 = High Impact x Likely = Result			Proposed Countermeasure(s)
		Impact	Likely	Result	
Budget: reduction in future income	Unable to deliver part of the business plan	3	2	6	1) Seek firm commitment from partners to subs, as a minimum to the end of the current contract with ERG. 2) avoid financial commitments beyond current available resources.
Policy & legislation: change to LAQM, either: 1) increasing the burden on LAs or 2) ending LA responsibility for local air quality	1) Increased pressure on Sussex Air. 2) Loss of rationale for Sussex Air.	3	1	3	1) Use current surplus to address pressures. 2) Close Sussex Air.
Staff: loss of key staff with knowledge of Sussex Air processes & projects	Unable to deliver part of the business plan & meet partner needs	3	2	6	1) Document all processes & projects for ease of handover. 2) Procure staff capacity so that there is flexibility, and test the wider market.

7. West Sussex Waste Partnership

Partnership Description; what is its visions, and overall aims?

The partnership is delivered through two inter-related groups; the Member led Inter-Authority waste Group (IAWG) and the Strategic Waste Officers Group (SWOG) The West Sussex Waste Partnership (WSWP) work together to reduce waste and to maximise reuse, recovery and recycling. WSWP is striving towards a zero waste economy, where all materials have a purpose and avoid disposal of any kind.

The partnership provides a platform for collaborative working between the 8 Local Authorities with

responsibility for waste management in West Sussex.
The partnership aims to provide a consistent framework for waste management in the County through the production of a Joint Municipal Waste Management Strategy (JMWMS), offering knowledge sharing opportunities and present operational and financial efficiencies with consortium agreements.
Planned Outcomes for the year ahead 2017/2018
<p>The WSWP will continue to utilise the Waste Composition Analysis and other initiatives to increase to level of recycling in West Sussex to achieve the statutory recycling target of 50% by 2020.</p> <p>The WSWP will co-ordinate between the partners to deliver a countywide litter awareness campaign.</p> <p>The partnership will continue to improve relationships with authorities responsible for highways maintenance in order to encourage joint working and enable street cleansing to be done in co-operation with all scheduled works.</p> <p>The WSWP will introduce operational measures within Waste Collection Authorities (WCAs) street cleansing teams to introduce the separation of recyclable material from litter collections. The partnership will also introduce guidance to encourage the implementation of similar measures for voluntary/community litter picking groups.</p> <p>The WSWP will consider and implement all possible measures to reduce the amount of residual waste produced across the County through communication and co-operation with residents and small businesses.</p> <p>The representatives from all Waste Collection Authorities (districts and boroughs) and the Waste Disposal Authority (county) that make up the WSWP will work together to develop a formal mandate of short/long term goals.</p> <p>The WSWP have worked together to jointly procure a new collection and treatment contract for clinical waste.</p>
Chichester District Council resources
Officer 500 hours per annum.
Members 50 hours per annum
Other resources
Officer time from other councils
Reporting Lines
Portfolio Member
CDC priority link
Use resources effectively and efficiently
Protect and maintain our natural and built environment For waste disposal facilities and joint

<p>contractual issues, minimal risk to Chichester District Council as West Sussex County Council is lead partner and main investor.</p> <p>There is a potential risk that a future Amended Waste Regulations TEEP assessment may require separate recycling material collections. When the assessment was carried out during autumn 2014, it suggested that separate collections could cost CDC an additional £700,000 pa</p> <p>There is a potential risk that the EU may apply fines to any council not achieving the 50% recycling target by 2020.</p> <p>For waste disposal facilities and joint contractual issues, minimal risk to Chichester District Council as West Sussex County Council is lead partner and main investor.</p> <p>There is a potential risk that a future Amended Waste Regulations TEEP assessment may require separate recycling material collections. When the assessment was carried out during autumn 2014, it suggested that separate collections could cost CDC an additional £700,000 pa</p> <p>There is a potential risk that the EU may apply fines to any council not achieving the 50% recycling target by 2020.</p>
<p>Looking back, what were the Headline achievements in 2016/17 for your partnership</p>
<p>The WSWP have worked together to jointly procure a new collection and treatment contract for clinical waste.</p> <p>The WSWP have worked to jointly deliver the requirements of new legislation that requires WCAs to evidence that their collection methods ensure appropriate separation of recyclable material whilst remaining Technically, Environmentally, Economically Practicable (TEEP).</p> <p>The WSWP have worked together to jointly procure a processing and treatment contract for street sweepings.</p> <p>The WSWP procured a detailed waste composition analysis and a recycling road map to assess the possible routes to achieving the 50% recycling rate by 2020. They utilised the services of a project manager for the partnership to carry out a feasibility study with regards to the possible collection of separated food waste and the ensuing delivery of business case for consideration.</p> <p>The WSWP have jointly recruited a Waste Partnership Manager to co-ordinate and deliver any and all projects as directed by the partnership representatives.</p> <p>The WSWP worked together to successfully deliver a Home of Multiple Occupancy (HMO) project that utilised door-stepping and communications to increase the levels and quality of recycling from HMOs. The project has recently been recognised by the wider waste industry with an Award for Excellence for a recycling initiative.</p>
<p>Risk Assessment</p>
<p>For waste disposal facilities and joint contractual issues, minimal risk to Chichester District Council as West Sussex County Council is lead partner and main investor.</p> <p>There is a potential risk that a future Amended Waste Regulations TEEP assessment may require separate recycling material collections. When the assessment was carried out during autumn 2014, it suggested that separate collections could cost CDC an additional £700,000 pa</p> <p>There is a potential risk that the EU, and post-Brexit central government, may apply fines to any council not achieving the 50% recycling target by 2020.</p>

<p>8. RURAL West Sussex Partnership</p>
<p>Partnership Description</p>
<p>The Rural Partnership in its present format and membership has been operating since April 2014. It meets 3 times a year and has reporting mechanisms to West Sussex County Council, to</p>

<p>Coast to Capital, and to regional and national rural forums and boards reporting to both DEFRA and the Rural Minister. Horsham District Council is the partnership's accountable body.</p> <p>Its key economy panel meets a further 3 times per year (minimum)</p> <p>It has a paid part-time director, initially engaged on a two-year contract from 1st April 2014. His contract has just been renewed for a further year.</p> <p>Its format has developed and repositioned towards a stronger economy focus, putting people at the heart of regeneration and working across traditional boundaries to form the foundations for investment. In particular it is a key partner in designing and contributing to our Local Enterprise Partnership's Strategic Economic Plan, and for assisting the delivery of relevant projects in the RWSP area</p>
Planned Outcomes 2017/2018
<ul style="list-style-type: none"> Improved alignment with Coast to Capital and with partner's individual economic strategies. Implementation of new economic action plan: <ul style="list-style-type: none"> Drive access to superfast (and ideally ultrafast) broadband across rural areas Input into and joint launch of C2C Rural Statement in July 2016 Targeted support to help businesses embrace and exploit access to superfast broadband Key infrastructure such as mobile phone signal, power provision (3-phase) are available Engagement with C2C ESIF programme across ESF, ERDF & specifically EAFRD Engagement with C2C Local Growth Fund programme, round 3 rural bid developed Ensure local, county, regional/LEP business support schemes are 'rural proofed' Engagement with Sussex rural LEADER programme Rural employment land is protected against residential development pressures Developing linkages with FE and HE providers on skills, training and employment Size and breadth of rural economy (beyond core agri-business) is promoted Growth sectors, concentrations and clusters by the C2C team within RWSP are identified and promoted Engagement with neighbouring rural areas
Chichester District Council resources
£5,000 a year. Officer time equating to 8 days per annum
Other resources
<p>£5,000 contributions from other Districts, £5,000 Coast to Capital, £10,000 SDNPA and £25,000 West Sussex County Council.</p> <p>Officer time from other partner organisations</p> <p>Part-time director</p>
Reporting Lines
<p>Members of the Stakeholder Funding Group</p> <p>The senior officers that make up the Rural Economy Group</p> <p>Links to Coast to Capital LEP, establishment of specific Rural committee and lead Board member</p>
CDC priority link
<ul style="list-style-type: none"> Promote economic development Use resources effectively and efficiently Protect and maintain our natural and built environments Collaboration on projects and activity that has a larger than local impact
Headline achievements 2016/17
<ul style="list-style-type: none"> Intervention on significant issues with access to superfast broadband in rural areas Realignment of partnership priorities to that of the Coast to Capital LEP and partner's individual economic strategies Delivery of C2C's Wood Fuel Project, benefitting District forestry and timber businesses Input into C2C's Rural Statement
Risk Assessment
<ul style="list-style-type: none"> Possible duplication of work of Chichester in Partnership, mitigated by regular liaison Risk of missing out on opportunities that benefit the district if we are not involved.

9. COASTAL WEST SUSSEX
Partnership Description
Coastal West Sussex is a public/private sector partnership that have joined together to champion the sustainable development of the coastal communities. Putting people and business at the heart of regeneration and working across traditional boundaries the partnership is forming the foundations for investment and growth. In particular it is a key partner in designing and contributing to our Local Enterprise Partnership's Strategic Economic Plan, managing the CWS and Greater Brighton Strategic Planning Board and for initiating and assisting the delivery of collaborative projects in the CWS area
Planned Outcomes 2017/2018
<p>The Board will use its collaborative strength to influence, lobby and coordinate partners to:</p> <ul style="list-style-type: none"> • Assist key projects to secure LGF3 funding • Understand and strengthen business supply chains and networks • Seek opportunities to match skills to business needs • Promote the CWS area, and work with Coast to Capital to: <ol style="list-style-type: none"> 1. Secure investment to develop commercial property and support the regeneration of town centres 2. Improve transport and communications infrastructure • Improve Coastal West Sussex's attractiveness to investors • Development of the Visitor Economy • Deliver a Coastal STEMfest in 2017
Chichester District Council resources
£10,000 a year. 8 days of senior officer time
Other resources
£60,000 in total from the other coastal authorities and WSCC Officer time from other partner organisations Part-time director ad hoc administrative support when it can be found
Reporting Lines
The CE's and senior officers that make up the CWS Management Group Indirect link to the Coast to Capital LEP
CDC priority link
<ul style="list-style-type: none"> • Promote economic development • Use resources effectively and efficiently • Strategic Planning Board • Collaboration on projects and activity that has a larger than local impact
Headline achievements 2016/17
<ul style="list-style-type: none"> • Support development of projects in preparation for bids for LGF3 funding • Through the Strategic Planning Board refreshed the 'Local Strategic Statement' to assist in fulfilling local authorities Duty to Cooperate. • Working with Coast to Capital to secure Local Growth Fund 3 funding into the CWS area • Continued development of the Strategic Planning Board which is now supported by 10 Local Planning Authorities including Chichester • Recognised by the Department for Communities and Local Government as a Coastal Community Team, to help bring jobs, growth and prosperity into the local area • New private sector chairman appointed and restructure of the governance arrangements to bring in more business people • Continued to focus and champion the delivery of enterprise activities in education • Delivery of the Coastal STEMfest 2016 • Secured Pooled Business Rates funding for the Visitor Economy project. Commissioned TSE Research to undertake qualitative and quantitative visitor, non-visitor and business research across the CWS area

10. SAFER WEST SUSSEX PARTNERSHIP
Partnership Description
<p>The Safer West Sussex Partnership (SWSP) is a statutory group formed as a result of the Crime and Disorder Act 1998. This Act also led to the creation of Community Safety Partnerships (CSPs) in each district and borough in West Sussex.</p> <p>SWSP brings together these six CSPs along with other key agencies to provide a coordinated approach to reducing crime and anti-social behavior in West Sussex.</p> <p>The group is structured to provide accountability and strategic direction. There is an Executive Board, a CSP Chairs group and a Performance Management Group. CSPs are represented at all levels of governance.</p> <p>Every year SWSP produces a Strategic Intelligence Assessment and County Community Safety Agreement to help inform the strategic direction of the partnership and the high-level priorities for the year ahead.</p>
Planned Outcomes 2017/2018
<p>Across West Sussex the community safety agenda continues to shift and change with the impact of new legislation and changing organisational structures. There is pressure to deliver against national agendas such as PREVENT and child sexual exploitation (CSE), and this has led to a shift in thinking in relation to threat, risk and harm. Now more than ever there is a requirement to work collaboratively, with less emphasis on community safety being the responsibility of a few key agencies and more on integrated responses across teams within county and district and borough local authorities, including safeguarding, education, health and wellbeing services and housing to identify and change offending behaviour. The drive for increased joined up working between the emergency services is also seen as an opportunity to deliver improved outcomes for residents. Seven strategic areas of business have been identified for the period 2016-20 as follows:</p> <ul style="list-style-type: none"> • Child Sexual Exploitation • Economic Crime • Prevent • Serious Organised Crime • Rape & Serious Sexual Assault • Preventing Offending • Reducing Repeat Demand <p>Recommended Priorities for SWSP 2017/18 are:</p> <ul style="list-style-type: none"> • Child Sexual Exploitation • Modern Slavery • Prevent • Serious Organised Crime
CDC Officer Hours
18 hours of officer time
Other resources
<p>Partnership administration is resourced by West Sussex County Council</p> <p>Funding is drawn down from the Police & Crime Commissioner</p>
Reporting Lines
<p>SWSP Executive Board</p> <p>Police and Crime Commissioner</p>
CDC priority link
<ul style="list-style-type: none"> • Use resources effectively and efficiently
Headline achievements 2016/17
<ul style="list-style-type: none"> • Economic Crime BAU for key agencies (Trading Standards and Sussex Police) • Training for door staff and awareness raising around Rape & Serious Sexual Assault rolled out. • Preventing Offending fits across all priorities (distinct strands managed through ROB) • Reducing Repeat Demand managed through Sussex Police Resolution Centre and other

organisational identification and sign-posting processes.

Going forward; the impetus remains on reducing crime and vulnerability; engaging with wider partnerships and working hard to make those people who live, work or visit the county feel safe and confident in West Sussex. This includes continued work to raise awareness of Child Sexual Exploitation, prevent extremism and radicalisation and to reduce repeat demand on all our services.

Risk Assessment

Minimum of risk to Chichester District Council as it is a statutory partnership that we have to attend.

Chichester District Council

CORPORATE GOVERNANCE & AUDIT COMMITTEE 28 September 2017

Complaints, Freedom of Information Requests and Data Protection Analysis Review 2016/17

1. Contacts

Report Author

Fiona Delahunty, Customer Service Centre Manager

Telephone: 01243 534734 E-mail: fdelahunty@chichester.gov.uk

2. Recommendation

The committee is requested to consider the information provided in this report and to make any appropriate recommendations as to future monitoring arrangements to identify business improvement where appropriate.

3. Background

3.1 The Corporate Governance and Audit Committee receive an annual analysis of all formal complaints and compliments, freedom of information requests and data subject access requests received by the authority, together with a summary of the Local Government Ombudsman's Annual Report.

3.2 The Council's complaints procedure

The complaints procedure has three stages:

Stage 1 – Initial complaint investigated by the Manager responsible for the service team.

Stage 2 – If the customer is dissatisfied with the response to stage 1, the investigation is reviewed by the Head of Service for that team.

Stage 3 – If the customer is dissatisfied with response to stage 2, they are offered the opportunity to seek an independent investigation by the Local Government Ombudsman.

3.3 From April 2016 – March 2017 the Council received 124 complaints. 91% of those were responded to within the 10 day target date.

3.4 This year has seen a decrease in complaints of 17.7%. Stage 1 complaints have decreased by 8.2%; Stage 2 complaints by 28%; Ombudsman complaints by 77.8%. The Council still receive a relatively low number of formal complaints, considering services we supply.

Analysis of complaints over the last three years is attached as Appendix 2.

3.5 The annual report letter from the Ombudsman shows the number of complaints received for Chichester as 20, 13 of these have been decided.

Of the decided complaints, 1 complaint was upheld, 2 complaints investigated and not upheld, 4 were closed after initial enquiries, 6 were referred back to the Council to resolve. If you would like to view their decisions please use this link to their website

<http://www.lgo.org.uk/decisions>.

3.6 A planning complaint was upheld the decision is not available to view on the website as it may have identified the complainant. This is a summary of decision; The Council was at fault in failing to re-notify of receipt of amended plans relocating a dormer window. The customer did not suffer significant injustice. Officers properly assessed whether there would be an unacceptable increase in overlooking of her garden.

3.7 All complaints are recorded, categorised and monitored by Customer Services. During the preceding 3 years, the percentage of complaints have related to the following categories:

Procedures/Enforcement; Quality of Service; Officer Conduct; Officer Decision; Committee Decision.

The percentage of officer conduct complaints, quality of service has increased. However officer decision and procedure enforcements complaints have reduced.

Compliments are also recorded. Service teams have received 52 compliments by letter or email.

4. Learning Points

4.1 Complaints and comments from customers can be an opportunity to make changes or service improvements. Examples of some of the learning points and improvements made as a result of these during 2016/17 include:

- Following feedback from customers, Parking Services have invested in new pay and display machines this year to improve the reliability of the equipment used to pay for parking. The new machines now offer customers further ways to pay for their parking by accepting cash, card and contactless payments.
- We have also introduced a telephone, text and an app for paying for this service. We have improved our online services to allow customers 24/7 access to our services. For example customers can now apply for the green waste service online.

5. Outcomes to be achieved

5.1 The primary purpose of investigating complaints is to resolve customer dissatisfaction where possible. However, by recording and monitoring the nature of complaints, it is possible to identify trends or address issues to avoid future complaints and to improve service delivery and/or to contribute to a review of policy.

- 5.2 Each Head of Services has access to monthly reports containing the detail of all complaints received and their service areas performance in dealing with each complaint.
- 5.3 Not all customers wish to formalise their complaint but it is important for us as an organisation to understand areas where there is dissatisfaction and to try to rectify it. To this end, other channels of feedback and performance monitoring are made available with mechanisms in place to address issues:-
- The website has a generic email account called CDC Complaints. Often customers will use this to report an issue. These are forwarded to the appropriate service area to contact the customer and deal with the request.
- 5.4 The website has the option to provide feedback on usability and usefulness on each page. This information is fed back to the service areas responsible for the appropriate page.
- 5.5 The Customer Service Centre undertakes monthly performance monitoring with customers contacting the Council by telephone and those visiting the Reception Service. This information is used to identify areas where service improvements may be made.
- 5.6 All telephone calls to the Customer Service Centre are recorded and monitored. These recordings are used to mentor and train staff with a view to improving quality of service.
- 5.7 The Council have a Facebook and Twitter account which is a quick and easy way for customers to make contact and provide feedback.

6. Freedom of Information Requests

- 6.1 The Freedom of Information (FOI) Act gives people the right to ask the Council for recorded information they have on any subject. If the request relates to environmental information, this will be handled under the Environmental Information Regulations (EIRs). We are required to reply within strict deadlines, giving the information requested, or explaining why we cannot provide that information
- 6.2 The Customer Services team administers the FOI process.
- 6.3 From April 2016 – March 2017 667 requests for information were received; 92 of these were redirected to other agencies.
- 6.4 92% of the Requests were answered within the 20 working day deadline.
- 6.5 The number of requests received can take up a great deal of officer time in collating the responses. Many requests continue to be received from the press or from commercial organisations. The legislation does not provide for the Council to recover costs for the officer time involved unless the estimated staff costs involved locating or compiling the information exceeds £450. Under these circumstances, we can refuse the request on grounds of cost, or charge the applicant £25 per hour for the estimated work.

6.6 From the recorded information we have identified our most popular requests are as follows;

- Public health funerals
- Information regarding non domestic rates
- This information is published on our website and customers are directed by Customer Services.

7. Data Protection Requests

7.1 The Data Protection Act 1998 provides individuals with the right to access their personal information. In 2016-17 the Council received 9 requests from customers asking for their personal information and 18 requests from other agencies such as the Police and HMRC.

7.2 In May 2018 the Data Protection Act will be replaced by the General Data Protection Regulations. GDPR introduces new obligations for organisations that handle data about EU citizens, whether that organisation is located in the EU or not. It applies to all companies worldwide that process personal data of EU citizens. Although much of it mirrors the requirements under the DPA, the GDPR introduces new accountability obligations and stronger rights and restrictions on data sharing. For customers, they will no longer be required to pay for this information which may increase the number of requests we receive in the future. Customers will also have the right to have their information erased from systems and records if the Council no longer need it and do not have a statutory obligation to retain it (such as Council Tax). Failure to comply with the Regulations can result in significant fines from the Information Commissioner. A corporate project group is currently preparing for these changes to ensure that with effect from 25 May 2018, the Council are compliant and staff are briefed and trained on the new Regulations. Post Brexit GDPR will still be applicable. If the UK wishes to trade with the single market, it will need to have equivalent data protection standards.

8. Improvements to Procedures and Publications

Utilise reports from Customer Services to publish more information on our website enabling customers to self-serve.

9. Proposal

9.1 To continue with existing monitoring and recording of formal complaints, freedom of information and subject data access requests.

9.2 To continue to provide feedback on performance to service areas to provide opportunity to improve service delivery.

9.3 To continue to provide performance monitoring within the Customer Service Centre to gain customer insight and improve service delivery.

10. Alternatives that have been considered

None

11. Resource and legal implications

There is a legal obligation to comply with the Freedom of Information and Data Protection Acts. Compliance does require a significant amount of staff time. However the Customer Services Manager and Head of Business Improvement Services have gained a Practitioner qualification for Freedom of Information to help assist and advise staff in dealing with requests.

12. Consultation

None

13. Community impact and corporate risks

None.

14. Other Implications

	Yes	No
Crime and Disorder:		X
Climate Change		X
Human Rights and Equality Impact	x	
Safeguarding		X
Other (please specify) eg biodiversity		x

15. Appendices

- 15.1 Formal Complaints Procedure
- 15.2 Graphical Analysis of Complaints and FOI/EIR Requests
- 15.3 General Description of complaints received
- 15.4 FOI/EIR Procedure

16. Background Papers

None

Chichester District Council – Complaints Procedure

Section 1 Introduction

Chichester District Council tries to make sure that the public always receive a first class service. We hope the public will never need to complain. Sometimes the Council may fail to meet the high standards that it sets for itself and that the public deserve. However, on occasion the Council is required to act in the wider public interest or is compelled to act in a prescribed manner by law - in which case the views of an individual may not coincide with those of the Council.

The Council recognises that sometimes things do go wrong. When they do, the Council wants to deal with the problem fairly and promptly and to take action to prevent similar occurrences in the future.

The Council is keen for the public to make their views known in order that investigations can be undertaken and service improvements made wherever required.

In the first instance, the Council expects issues to be resolved before the need for a formal complaint. Sensible discussion with the service concerned should be fully explored.

Section 2 What is a Complaint and what is not a Complaint?

It is important that we understand what exactly is meant by a complaint, in order that they are accurately recorded and that they can be dealt with in the appropriate way.

Many “complaints” by customers are in fact queries about the service, whereas others are genuine complaints about the way in which their application or case has been handled, about procedures followed, or about service provision.

Senior Manager in this scheme refers to a senior manager reporting directly to a Head of Service.

What is a Complaint?

A complaint may arise where the Council has:

- Failed to do something it should have done
- Done something it shouldn't have done
- Done something badly
- Treated someone unfairly, slowly or rudely
- Failed to satisfactorily investigate a complaint about an incident of a racist nature.

Examples:

“I believe that your officers have been biased against me in my application for Housing Benefits”, is a complaint.

“I think that the Council has behaved in an unprofessional way in dealing with my planning application”, is a complaint

“When the bin was returned to my drive way, I found that it had been damaged beyond repair by your bin men”, is a complaint

What is not a Complaint?

“I disagree with the amount of Housing Benefit I have been awarded, because.....” is not a complaint – but a further explanation of how the benefit was awarded should be supplied.

“I disagreed with your reasons for refusing my planning application” is not a complaint, but a further explanation of why the decision was made should be supplied.

“The bin men didn’t pick up my bin today” is not a complaint, but arrangements should be made to pick up the bin as soon as possible.

Comments, favourable or unfavourable, where the person concerned does not wish to take the matter further is not a complaint

Criticisms of a policy adopted by the Council is not a complaint

It is important to state that whether officers are dealing with a query about the service, or a genuine complaint, that the customer feels that he or she has been dealt with in a fair and professional manner, and that they are, as far as is possible, satisfied with the outcome. The Council advises staff to “Treat customers as you would wish to be treated”.

Section 3 Complaint Stages, 1, 2, and 3

A complaint may be received in written form, by letter, the “Complaints leaflet”, electronically, via email, the web site etc, or verbally. If the complaint is verbal, e.g. by phone, the customer should be encouraged to put it in writing, especially if the complaint involves a serious allegation about an officer, or council activity. It is also essential that a complaint, which may give rise to an insurance claim, be in writing for onwards transmission to the Council’s insurers.

Executive Directors in conjunction with the Head of Finance and Governance are able to make payments to the customer by way of compensation, but “without prejudice”, under section 92 of the Local Government Act 2000. Payments may be up to a

maximum of £500. The Chief Executive is responsible for making payments above this amount.

If injustice is found, the Council undertakes to review its procedures.

Stage 1

When a complaint is received, it is dealt with by the Senior Manager of the service team.

If the complaint is received by post or electronically, it should be acknowledged in writing within 3 working days, and within 10 working days the customer will be provided with a full explanation and details of how the situation will be resolved, or in complicated cases, a progress report.

If a customer completes a complaint form and hands it to an Officer, that Officer must record the date and time of receipt on the form, together with their name and job title and take a copy for the customer to retain before passing to the Central Complaints Administrator.

It is sometimes the case that a customer will write in directly to the Chief Executive with a complaint. In normal circumstances, (except in cases of serious charges against officers), the Chief Executive will pass the complaint to the Senior Manager to resolve the case at Stage 1 level.

When responding to a Stage 1 complaint with the outcome of the investigation the Senior Manager must advise the complainant of their option to request their complaint be dealt with at Stage 2 should they be dissatisfied with the Stage 1 investigation.

Stage 2

Where the customer is not satisfied with the explanations or the remedy offered following investigation at Stage 1 level, the customer can request the matter be reviewed. All stage 2 complaints should be forwarded to the relevant Head of Service who will investigate the complaint and respond to the customer.

The review within Stage 2 may involve more extensive investigations, interviews with relevant officers, the customer who made the complaint, other members of staff (as determined by the investigating Head of Service, and in some cases an on site visit.. In more serious cases, where for example, a serious complaint has been made about a member of staff e.g. a Senior Manager, the complaint handling process may bypass Stage 1, and move directly to Stage 2.

As with Stage 1, the complaint will be acknowledged within 3 working days, and within 10 working days the customer will be provided with a full explanation and details of how the situation will be resolved, or in complicated cases, a progress report stating when a full response may be expected.

When responding to a Stage 2 complaint with the outcome of the investigation the Head of Service must advise the complainant of their option to request an independent

investigation by the Local Government Ombudsman should they be dissatisfied with the Stage 2 investigation and must provide the Ombudsman's contact details.

Stage 3

Should a customer remain dissatisfied with the explanations or the remedy offered following investigation at Stage 2, they may have the right to submit a complaint to the Local Government Ombudsman, who is independent of the Council. The Ombudsman has the same powers as the High Court, and can order anyone to produce documents for their investigation.

It is sometimes the case that the Ombudsman will receive a complaint which has not previously been raised with the Council, and which we have not had an opportunity to comment on or resolve. In these circumstances, the Ombudsman will normally refer them back to the Council to seek resolution at local level. These will normally be referred to the Stage 1 process, except in the most serious allegations, where it would go straight to Stage 2.

Contact details for the Local Government Ombudsman Advice Team are:-

Tel: 0300 061 0614

Local Government Ombudsman
PO Box 4771
Coventry
CV4 0EH

[Submitting a Complaint to the Local Government Ombudsman](#)

Section 4 - Formal Complaints against Councillors or the Chief Executive

A complaint concerning the conduct of a Councillor should be referred directly to the Council's Monitoring Officer who will investigate the complaint in accordance with the Members Code of Conduct and Standards Committee.

A complaint concerning the conduct of the Chief Executive or an Executive Director should be made to the Chairman of the Council.

Section 5 The Role of the Service Complaints Administrators & Senior Managers

Each Head of Service should identify appropriate officers to administer complaints handling to be referred to in this scheme as a Complaints Administrator. The role is one of logging the complaint, sending an acknowledgement, passing the complaint to the Senior Manager for investigation, monitoring progress, and reporting the outcome of decisions to the Central Complaints Administrator (within Customer Services).

The Senior Manager should be an officer directly reporting to the Head of Service, with experience of the operations of the service to which the complaint relates.

The Senior Manager may be nominated by their Head of Service to fulfil both the role of Senior Manager and Complaints Administrator.

The Senior Manager should:-

- Investigate the complaint at the Stage 1 level
- Look at a complaint from a service point of view
- Communicate with the customer directly, including answering correspondence
- Ensure the Council's complaints response times are adhered to

The Service Complaints Administrator should:-

- Ensure the complaint is registered with the Central Complaints Administrator within Customer Services Acknowledge the complaint within 3 working days. Maintain a register of complaints and data for the Senior Manager and the central monitoring process
- Ensure the response is sent within 10 working days or if the complaint is likely to take longer a holding reply is sent at seven working days
- Ensure the Central Complaints Administrator is kept informed of progress of a complaint and such progress is recorded in the CRM

Section 6: The Role of the Central Complaints Administrator

The Central Complaints Administrator is one of the functions of the Head of Business Improvement Services and her role is to:

- Notify Service Complaints administrator of complaints received, target dates for acknowledgement, holding reply and response date.
- If the Service Complaints Administrator is unavailable acknowledge the complaint and forward to the relevant Service Manager for a response.
- Provide a monthly analysis of Compliments and Complaints
- Provide information, statistics and trends on Stages 1, 2 and 3 Level complaints to the Corporate Management Team, Corporate Governance and Audit Committee and Standards Committee as required.
- To be the central reference point for formal complaints.
- To be the Council's "Link Officer" with the Ombudsman, ensuring that Ombudsman cases are dealt with in a timely manner.
- To ensure that the list of Complaints Administrators and Senior Managers is up to date
- To ensure new staff are aware of the formal complaints procedure.
- Maintain and update the Council's Complaints procedure and public information as appropriate
- Attend meetings of the Corporate Governance and Audit Committee and Standards Committee as requested.

▪

Section 7: The Role of the Chief Executive

The Chief Executive has overall responsibility for the management of the Council's complaints system and procedures, and for ensuring that: -

- Through Senior Managers, Stage 1 complaints are resolved as appropriate.
- That Stage 2 complaints are thoroughly investigated by the appropriate Head of Service or herself (depending on the gravity of the complaint).
- That Ombudsman complaints are resolved as appropriate and are reported to the Corporate Governance and Audit Committee.

Section 8: The Role of the Standards Committee

This Committee will consider reports from the Monitoring Officer concerning complaints about the conduct of Members.

Section 9: The Role of the Corporate Governance and Audit Committee

The Corporate Governance and Audit Committee will receive reports from the Central Complaints Administrator on an annual basis. Its main functions are;

- To ensure that information / opportunities for improvement in the handling of complaints (and in preventing complaints) are shared.
- That actions required to effect an improvement are followed through.
- To analyse trends in a particular service or across services and act upon them.
- To ensure that Cabinet (through the Portfolio Holder) are fully aware of the situation on complaints.

Section 10: The Role of Other Officers of the Council in the Complaints Procedure

The Monitoring Officer

The Council's Monitoring Officer will conduct investigations into matters referred by Ethical Standards Officers on issues concerning Members, and make reports or recommendations in respect of them to the Council's Standards Committee.

The Monitoring Officer must be consulted if an Executive Director of the Treasurer wishes to make a payment to the customer by way of compensation

Head of Finance and Governance / Accountancy Services Manager

The Head of Finance and Governance and the Accountancy Services Manager, acting in their role as advisor to the Council on Insurance matters, must be kept fully informed of any complaints which may give rise to an insurance claim or possible liability issue.

It is important to remember that admitting liability can prejudice any defence which the Council or our insurance company may wish to make, and could lead to the insurance company refusing to meet any financial liabilities arising from such an admission.

The Head of Finance must be consulted if an Executive Director wishes to make a payment to the customer by way of compensation

The Head of Community Services

The Head of Community Services is responsible for investigating and recording complaints of a racial nature.

Service Team	Type of Complaint	Details of the Complaint	Stage 1	Stage 2	Ombudsman complaints
Benefits Team	Officer Conduct/Performance	Complaint regarding benefits claim being stopped	√		
Benefits Team	Procedures/Enforcement	Information requested by Benefits team for claim for affordable housing allowance	√		
Benefits Team	Quality of Service	Complaint regarding service received when applying for benefits	√		
Benefits Team	Quality of Service	Delay in processing benefits claim	√		
Benefits Team	Procedures Enforcement	Customer is unhappy that details of his partners claim were discussed with other family members who said they have permission.	√		
Benefits Team	Procedures/Enforcement	Complaint re council tax and benefit reduction	√		
Building Control	Quality of Service	Complaint that building control officer did not advise the customer to seek planning advice	√	√	√
Building Control	Quality of Service	No response to enquiry regarding drainage plans	√		
Car Parks and Taxi Licensing	Procedures/Enforcement	Complaint concerning taxis parking in Melbourne Road Chichester and the Council failing to take action.	√		
Contract Services	Officer Conduct/Performance	Behaviour of waste collection officer	√		
Contract Services	Quality of Service	Customer complaint re green waste service, we are continually missing his collections	√		
Contract Services	Quality of Service	Conduct of waste collection crew when returning bin to collection point	√		
Contract Services	Contract Services	Conduct of Officer	√		
Contract Services	Procedures Enforcement	Ombudsman complaint ref: 16 006 647 Regarding collection of waste. Decision not to investigate			√
Contract Services	Officer Conduct/Performance	Conduct of waste collection crew towards customer.	√		
Contract Services	Quality of Service	Complaint regarding waste collection crew not sorting the recycling from the waste and emptying both onto the same lorry.	√		
Contract Services	Contract Services	Complaint concerning waste crew and where the customer's bin is left after collection.	√		
Contract Services	Contract Services	Complaint regarding trade waste collection.	√		
Contract Services	Quality of Service	Non collection of waste on several occasions.	√		

Service Team	Type of Complaint	Details of the Complaint	Stage 1	Stage 2	Ombudsman complaints
Contract Services	Quality of Service	Inappropriate behaviour of bin collection crew.	√		
Council Tax	Officer Conduct/Performance	Complaint regarding service received from Council Tax.	√		
Council Tax	Quality of Service	Complaint received regarding non response to email enquiries regarding council tax.	√		
Council Tax	Quality of Service	Complaint concerning lack of response to email sent to the Revenues team.	√		
Council Tax	Procedures/Enforcement	Request by Ombudsman for Stage 2 investigation for complaint concerning overpayment of Council Tax and Benefits.		√	
Customer Services	Officer Conduct/Performance	Complaint regarding remarks made by a Customer Services Officer when dealing with an enquiry concerning a penalty charge notice.	√		
Customer Services	Quality of Service	Service received when calling the customer service centre.	√		
Customer Services	Officer Conduct/Performance	Complaint concerning advice given about self-serve to customer.	√		
Development Management	Procedures Enforcement	Ombudsman Ref:16 000 843 Determination of Planning Application Complaint upheld.			√
Development Management	Quality of Service	Customer claims Council has mislaid correspondence regarding planning.	√		
Development Management	Procedures Enforcement	Determination of planning application.	√		
Development Management	Procedures Enforcement	Determination of planning application.		√	
Development Management	Procedures Enforcement	Ombudsman ref: 15 012 466 Assessment decision not to investigate complaint regarding determination of planning application.			√
Development Management	Procedures Enforcement	Council delay in action regarding enforcement complaint.	√	√	
Development Management	Procedures Enforcement	Determination of planning application.	√		
Development Management	Procedures Enforcement	Planning Application.	√		
Development	Quality of Service	Time taken to deal with pre application enquiry.	√		

Service Team	Type of Complaint	Details of the Complaint	Stage 1	Stage 2	Ombudsman complaints
Management					
Development Management	Committee Decision	Determination of planning application.	√		
Development Management	Quality of Service	Customer has been requested a refund of S106 monies on the 16 May and has still not received a refund.	√		
Development Management	Procedures Enforcement	Determination of planning application.	√		
Development Management	Quality of Service	Lack of communication from Officer during planning process.	√		
Development Management	Procedures Enforcement	Delay in Registration and Planning Application Process.	√		
Development Management	Procedures Enforcement	Determination of planning application.	√	√	
Development Management	Procedures Enforcement	Determination of planning application.	√		
Development Management	Officer Conduct/Performance	Determination of Planning Application and the decision to charge community infrastructure levy.	√		
Development Management	Quality of Service	Customer was not informed of the information she would have to submit following a pre application enquiry.	√		
Development Management	Quality of Service	Complaint concerning lack of response to correspondence sent to planning officer regarding the customer's application.	√		
Development Management	Officer Decision	Determination of planning application.	√		
Development Management	Officer Conduct/Performance	Conduct of planning officer regarding comments made on social media site.	√	√	
Development Management	Quality of Service	Complaint concerning incorrect information published on website.	√		
Development Management	Procedures Enforcement	Determination of a planning application.	√	√	
Development Management	Procedures Enforcement	Planning enforcement actions for listed barn.	√	√	√
Development Management	Procedures Enforcement	Planning Enforcement action.	√		

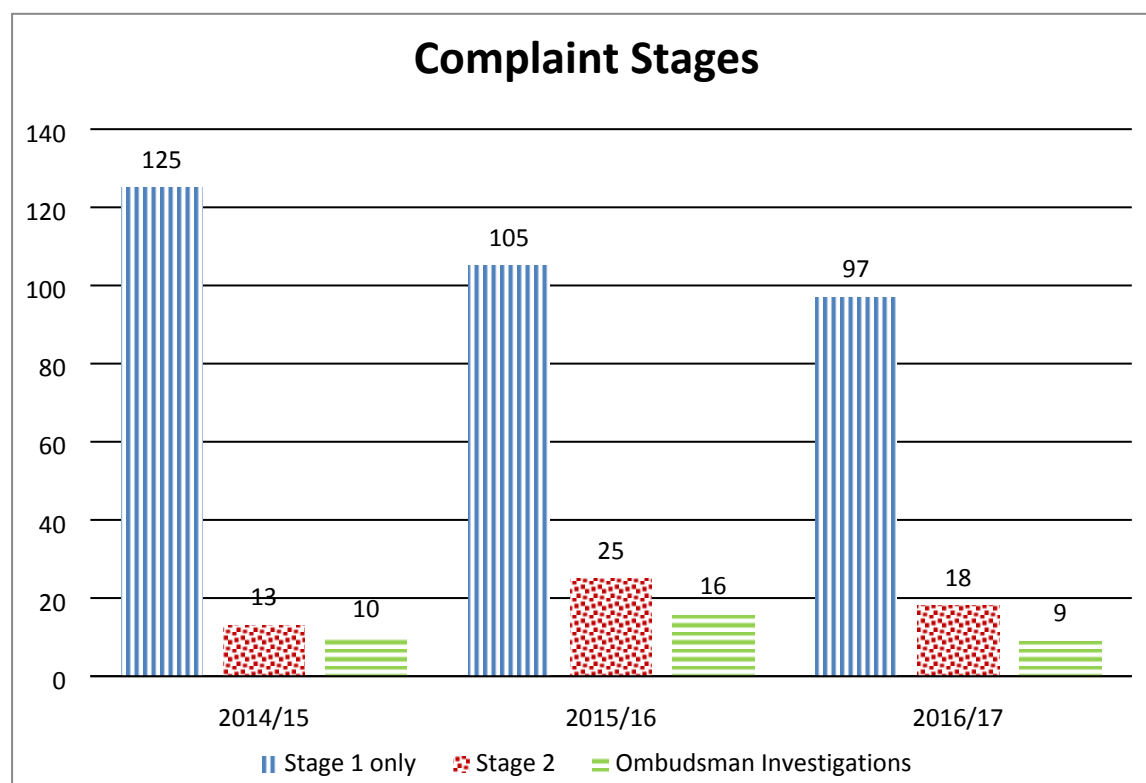
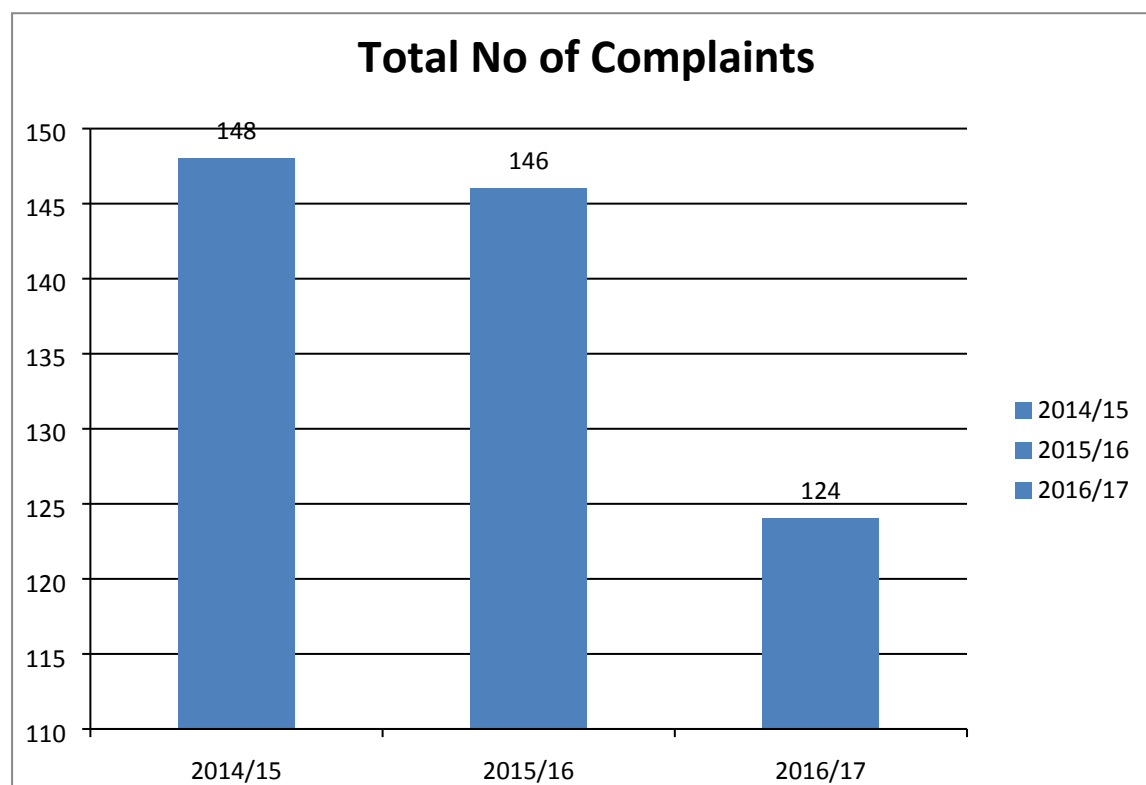
Service Team	Type of Complaint	Details of the Complaint	Stage 1	Stage 2	Ombudsman complaints
Development Management	Procedures Enforcement	Determination of planning application.	√	√	√
Development Management	Procedures Enforcement	Complaint concerning lack of planning advice from Officer - Customer did not want to use this as it was a chargeable service.	√		
Development Management	Quality of Service	Delay in determination of planning application.	√		
Development Management	Procedures Enforcement	Customer claims he was advised that he would be refunded his planning application fee if his application was refused.	√		
Development Management	Procedures Enforcement	Customer was unhappy that planning permission was required for cladding of outside of the exterior of a property.	√		
Development Management	Procedures Enforcement	Planning application for tree works.	√	√	
Development Management	Procedures Enforcement	Ombudsman Case ID - 16004524 Investigation stage - Determination of planning application and enforcement – upheld (decision will be included in March 18 Ombudsman report)			√
Development Management	Procedures Enforcement	Determination of Planning Application.	√		
Development Management	Committee Decision	Committee decision re determination of planning application.	√		
Development Management	Procedures Enforcement	Planning Application.	√		
Development Management	Officer Conduct/Performance	Comments made by Planning Officer at Committee Meeting.	√		
Development Management	Procedures Enforcement	Planning Enforcement Issues.	√		
Development Management	Procedures Enforcement	Refusal to grant planning permission.		√	
Development Management	Procedures Enforcement	Determination of a planning application.	√		
Development Management	Procedures Enforcement	Determination of planning application.	√		

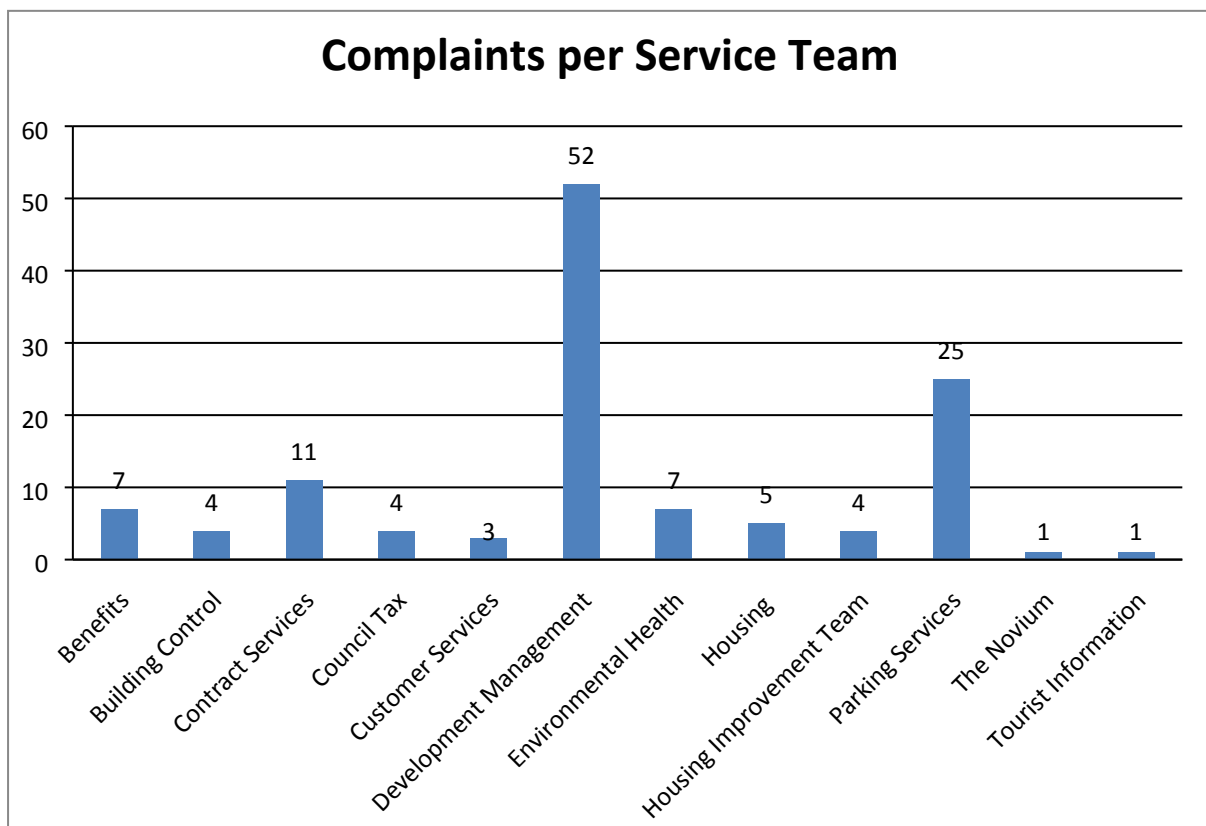
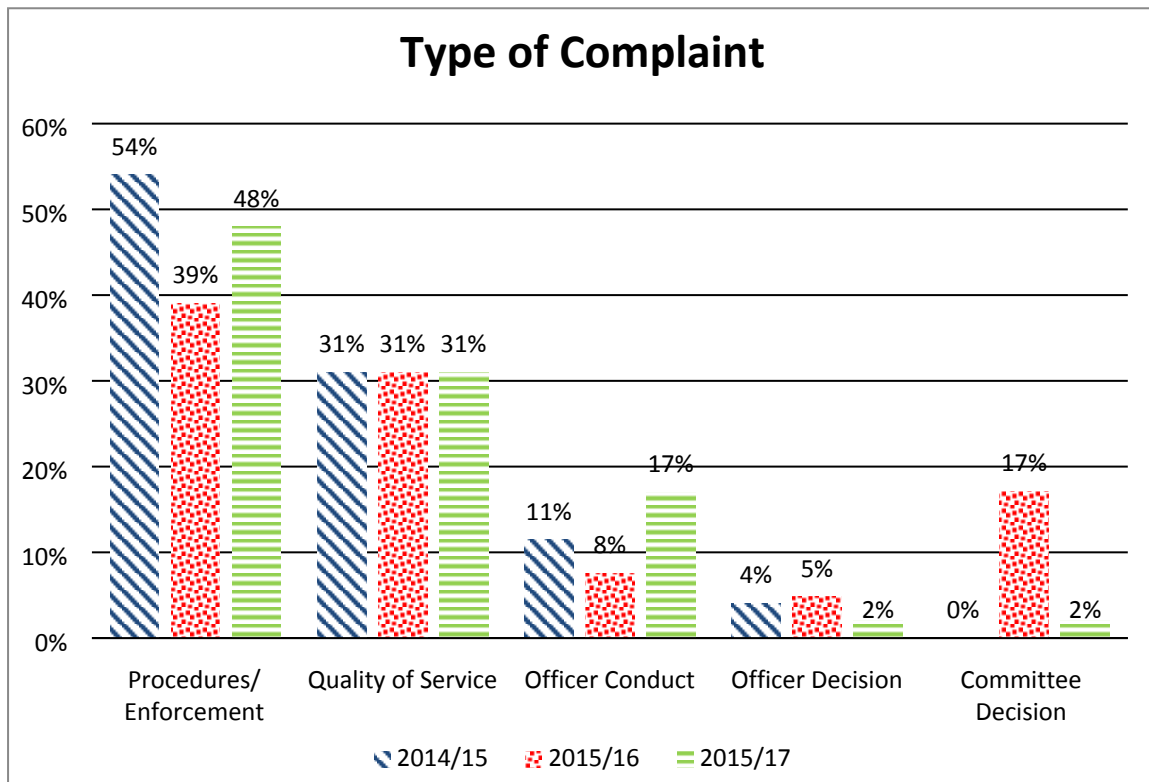
Service Team	Type of Complaint	Details of the Complaint	Stage 1	Stage 2	Ombudsman complaints
Development Management	Procedures Enforcement	Planning Enforcement.	√		
Development Management	Quality of Service	Complaint concerning the time taken to respond to a pre-application enquiry.	√		
Development Management	Officer Conduct/Performance	Poor service received during planning application process.	√		
EH Housing	Quality of Service	Complaint regarding the handling of her daughters disability grant.	√		
Environmental Health	Quality of Service	Information given regarding aircraft noise.	√		
Environmental Health	Quality of Service	Complaint concerning service customer received from dial a pest.	√		
Environmental Health	Procedures Enforcement	Complaint concerning pollution from neighbouring property.	√	√	
Environmental Health	Procedures Enforcement	Complaint regarding noise.	√		
Environmental Health	Procedures Enforcement	Customer unhappy with finding of pollution complaint.	√		
Environmental Health	Procedures Enforcement	Fireworks display at Goodwood Members Meeting.	√		
Environmental Housing	Officer Conduct/Performance	Complaint concerning investigation by environmental housing team.	√		
Housing	Officer Conduct/Performance	Removal from housing register.	√		
Housing	Officer Conduct/Performance	Advice given by Homeless Officer.	√		
Housing	Procedures Enforcement	Ombudsman ref: 16 013 730 Complaint concerning joining the housing register. Decision included in April 17 figures Complaint at investigation stage. Decision Not upheld: no maladministration.			√
Housing	Officer Conduct/Performance	Complaint concerning alleged comments made by an Officer.	√		
Housing	Procedures Enforcement	Customer has been incorrectly offered property by the Housing Associations.	√		
Housing Benefits	Officer Conduct/Performance	Customer alleges he was misadvised by a member of the Benefits team.	√		
Housing Improvement Team	Officer Decision	The attitude and lack of knowledge of the Environment officer who dealt with her daughter's accommodation issue. He wrongly diagnosed a rising damp problem as condensation.	√		
Housing Improvement Team	Officer Conduct/Performance	Customer did not feel the officer was interested in hearing her complaint and was brusque in his response.	√		

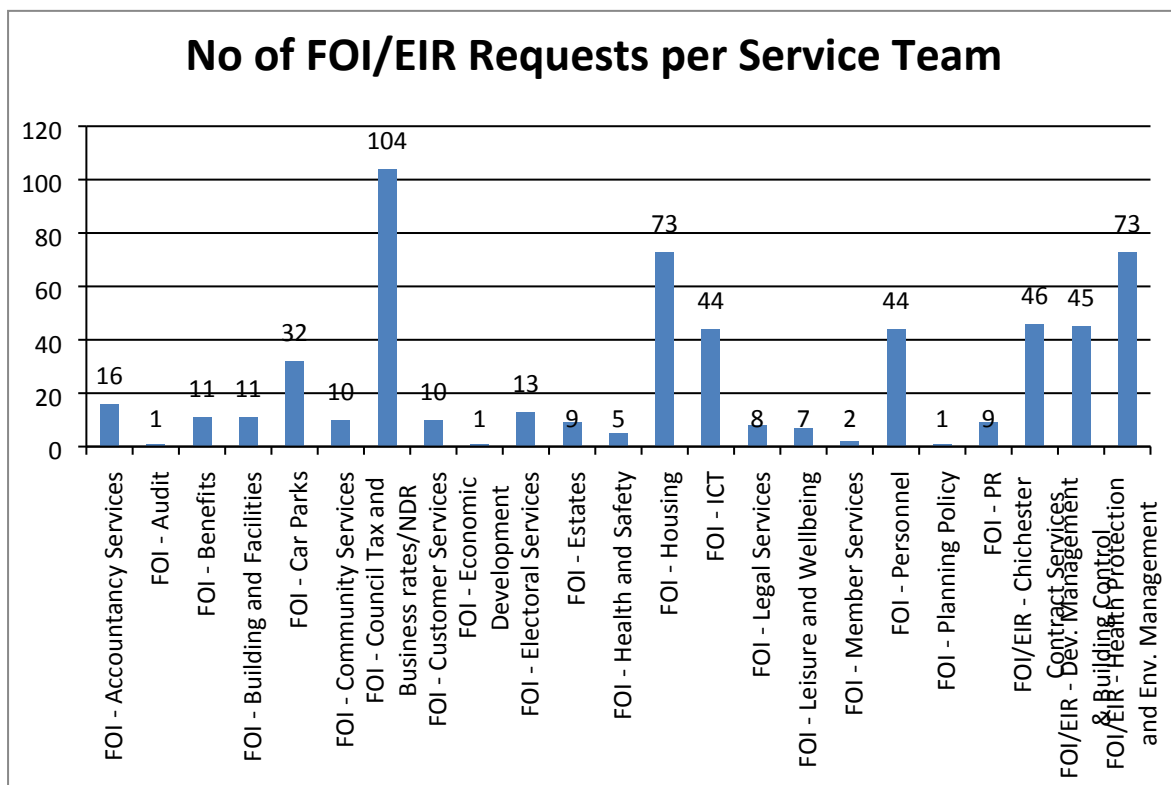
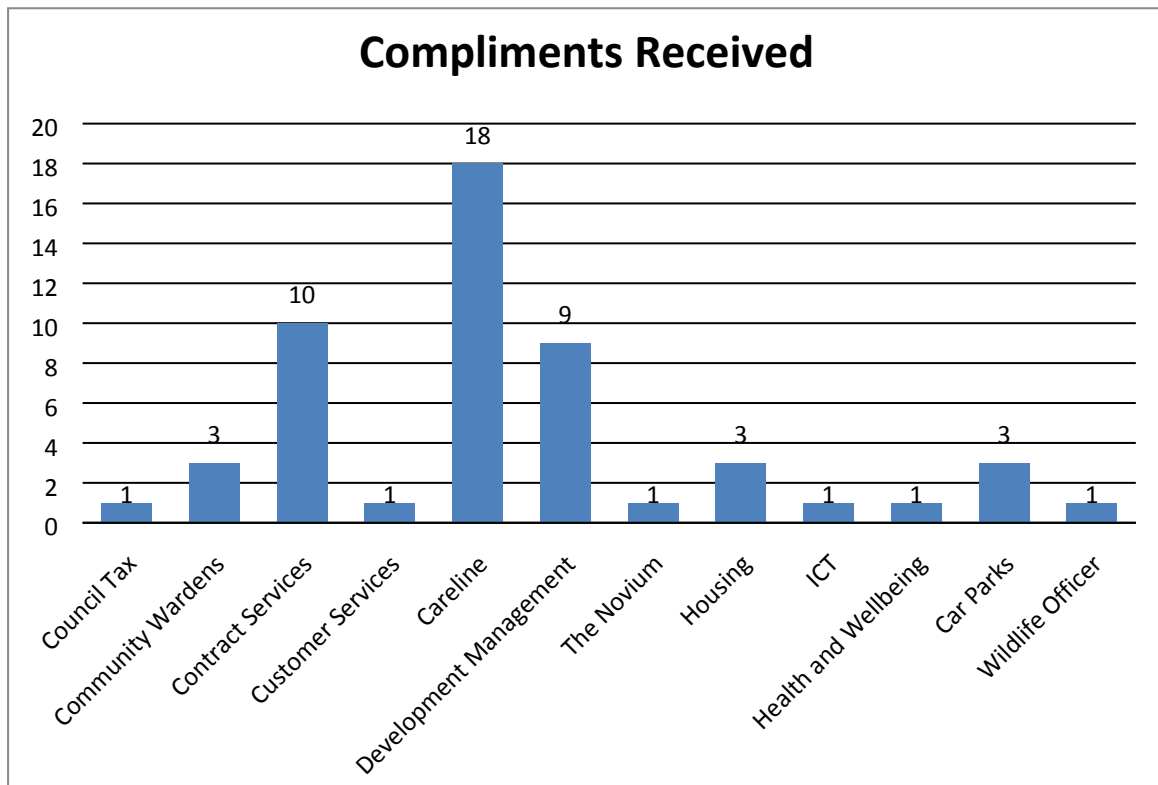
Service Team	Type of Complaint	Details of the Complaint	Stage 1	Stage 2	Ombudsman complaints
Parking Services	Quality of Service	Complaint concerning parking machine at Midhurst car park as it keeps breaking and the customer is losing money.	√		
Parking Services	Procedures/Enforcement	Renewal of parking season ticket.	√	√	
Parking Services	Quality of Service	Customer complaint that he could only pay for the Car Park using cash there was no option to pay by card.	√		
Parking Services	Procedures/Enforcement	Decision to issue penalty charge notice.(PCN)	√	√	
Parking Services	Quality of Service	Council have incorrectly issued a spoilt ticket for parking and asked customer to pay.	√		
Parking Services	Officer Conduct/Performance	Complaint concerning conduct of Parking Officer when issuing a PCN.	√	√	
Parking Services	Quality of Service	Customer was unhappy that the website let her request 2 registrations on her Bosham season ticket but she is only allowed 1.	√		
Parking Services	Procedures/Enforcement	Complaint from customer that the pursuance of a parking fine is against the customers human rights.	√		
Parking Services	Quality of Service	Complaint concerning increase in parking charges and the email notification not informing customers of the date they could purchase their tickets.	√		
Parking Services	Quality of Service	Complaint regarding parking machines at Northgate Car Parks	√		
Parking Services	Quality of Service	Customer did not receive correspondence regarding her PCN challenge.	√		
Parking Services	Procedures/Enforcement	Increase in parking charges and complaints e-form on the website.	√	√	
Parking Services	Quality of Service	Customer complaint regarding out of order parking machines at two car parks.	√		
Parking Services	Officer Conduct/Performance	Complaint from customer regarding the attitude of a traffic warden, customer felt he was being harassed.	√		
Parking Services	Procedures/Enforcement	Complaint concerning parking breaches outside school particularly at drop off and pick up time.	√	√	√
Parking Services	Procedures/Enforcement	Decision by Officer to uphold PCN.	√	√	
Parking Services	Quality of Service	Customer was unable to pay by credit/debit card at the pay and display machines at East Pallant House.	√		
The Novium	Quality of Service	Complaint regarding the Visitor Centre not promoting B&B.	√		

Service Team	Type of Complaint	Details of the Complaint	Stage 1	Stage 2	Ombudsman complaints
Tourist Information	Quality of Service	Complaint about lack of information given by TIC at Chichester.	√		

Complaints/ Freedom of Information Graphical Reports.







Chichester District Council

Guidance Notes

Procedure for dealing with requests for information made under the Freedom of Information Act 2000 & Environmental Information Regulations 2004

1. Introduction

The way in which the council deals with requests for information made under the Freedom of Information Act (FOIA) and the Environmental Information Regulations (EIR) has been reviewed. The aim of these guidance notes is to set out the new procedures for services to follow to ensure the council complies with its statutory obligations.

2. Scope

The council has a statutory obligation for dealing with requests for information (RFI). If the information requested is held by the council and is not already publically available, it must be provided **within 20 working days** unless a statutory FOI exemption or EIR exception applies. These provisions are governed by the FOIA and EIR and further information is available in the [Information Commissioner's Handbook](#) (Please note the 20 days excludes the day we receive the request and bank holidays)

3. Responsibility for dealing with Requests for Information

The responsibility for administering and responding to RFI has been devolved to services. The Customer Service Centre is the central point for receiving RFI and will direct each request received to the appropriate service. If the CSC establishes this information is not held by CDC, they will respond to the customer advising we do not hold the information and the appropriate authority or organisation to redirect their request to. The CSC will also send a response if the information is published on our website.

Each service has a nominated Service Information Officer who will act on behalf of each Head of Service and will be responsible for making an initial assessment against the RFI; responding as appropriate. Each Service Information Officer will be supported by a deputy.

4. Procedure for dealing with Requests for Information

RFI are frequently made to the council by, for example, individual members of the public, companies, MPs, students and journalists.

RFI can be submitted via letter, fax, email, eform, text or twitter. The email address is foi@chichester.gov.uk. We encourage RFI to be made via email, preferably using the online Eform. However, EIR requests do not have to be in writing and it is advised that a written record is kept of any verbal EIR requests received.

4.1 Receiving and logging the request

The Customer Service Centre will receive the RFI; make an assessment as to which service the request should be assigned to; and save the request in the relevant service folder on the x drive under FOI_EIR Requests. The case details will be logged on the Customer Relationship Management System (CRM). The following information will be recorded:

- The requester's contact details.
- The date the request was received.
- The date that the request must be responded to.
- A brief summary of the request
- The Service Team assigned the request

4.2 Contact the Service Information Officer

Once the request has been logged, the Customer Service Centre will contact the assigned Service Information Officer and deputy by email advising them of the request.

The Customer Service Centre will send the notification as soon as possible, but in any event, within 2 working days of it having been received.

4.3 Assess the request and obtain the information

The Service Information Officer should make an immediate assessment of the RFI and raise any initial concerns with their Head of Service. Most importantly, the Service Information Officer must establish whether the RFI is a request under the FOIA or the EIR because the two differ. Further information can be found below and in the [Information Commissioner's Handbook](#) (see also Appendix 3).

If required, advice from Head of Business Improvement or the Customer Contact Centre Manager (for complex enquiries) or Public Relations (for media related enquiries) should be sought immediately to ensure that a response can be provided within 20 working days. Please note support from these services cannot be guaranteed if they are contacted at the last minute. Additional points to consider are:

a) Is it clear – do you understand what is being requested and what it relates to?

If the request is unclear, the Service Information Officer should promptly respond to the customer and ask for clarification. Once clarification of the request is received the 20 working day period will commence. When seeking clarification it is often helpful to explain what information is readily available.

b) Do any exemptions apply?

Careful consideration should be given as to whether any exemptions or exceptions apply to withhold the information. Full details of what circumstances allow for the request to be refused are provided in the [Information Commissioner's Handbook](#) (see also Appendix 3). One key exemption to remember is that the FOI Act does not give people access to personal or sensitive data. If a member of the public wants to see information that the council holds about them, they should make a request under the Data Protection Act 1998.

The Service Information Officer should discuss any exemptions or exceptions with their Head of Service to approve. Advice from the Head of Business Improvement Services, Customer Contact Centre Manager or Legal may also be required for complex cases. A clear explanation of why the information is being withheld must be sent to the customer within 20 working days.

c) Does a charge apply?

We cannot charge for an FOI until the time taken to respond amounts to over £450. This is the equivalent of 18 hours of time based on a charge of £25 per hour. The Service Information Officer should estimate whether the time taken to identify, retrieve and search for the information requested is likely to exceed this limit. The time taken to extract the information from the document containing it can also be included, but not the time associated with deciding whether the information should be released or not. If the request falls under this limit, you can charge for disbursements (photocopying, printing or posting) if the information requested is voluminous.

If a charge applies, the Service Information Officer should discuss this with their Head of Service and give the applicant notice in writing, referred to as a fees notice. The customer should also be encouraged and assisted to narrow the scope of the request. The FOI budget code is held by the Finance Team.

Under EIRs there is no cost limit for dealing with requests but requests that cost a disproportionate amount can be refused on the basis that they are unreasonable, subject to a public interest test.

4.4 Compile the reply and send to the requester

The Service Information Officer should collate the relevant information required and check to see if any sections of a document are exempt and therefore need to be redacted (removed by cutting out). Service Information Officers should take care when information has to be redacted and more information can be found in the [Information Commissioner's Handbook](#)

It is up to the individual service area to decide whether a senior officer needs to undertake a second review of the information before it is released.

Either way, the Service Information Officer must respond to the customer within **20 working days**. For EIRs this can be extended to 40 working days for complex and voluminous requests once the customer has been informed.

4.5 Case management

Each service area is responsible for keeping records of what was released; all correspondence with the customer; and the full and redacted versions of any information disclosed. This will provide an audit trail of the decision making process

Customer Services will record all key actions for each RFI. They will provide a report for FOI Officers Managers, Heads of Service, and Directors to assess whether RFI are being handled within 20 working days.

This report will also allow the Service Information Officers to establish trends for the types of requests received. If there are trends, it is worth considering whether the information should be placed on the council's website.

5. Complaints

If the council refuses a request under the Freedom of Information Act or Environmental Information Regulations, the requester can ask for an internal review of the decision. EIR requests for internal reviews must be made within 40 working days of the date of the refusal letter. Reviews will be carried out by the Reviewing Officer (Head of Business Support Services). All requesters will receive an acknowledgement to their request within 3 working days and a full response within 20 working days of their request.

If the person requesting the information is still unhappy with the response they receive, then they can appeal to the Information Commissioner. If the Information Commissioner agrees with the person requesting the information, then the council can be ordered to disclose the information.

Chichester District Council

CORPORATE GOVERNANCE & AUDIT COMMITTEE 28 September 2017

Fraud Prevention Report 2016/2017

1. Contacts

Report Author:

Jeremy Todd, Corporate Counter Fraud Officer

Tel: 01243 785166 x4590 E-mail: jtodd@chichester.gov.uk

2. Recommendations

- 2.1. That the Committee is requested to consider this report and the corporate approach to fighting fraud to ensure they fulfil their stewardship role and protect the public purse.
- 2.2. That the Committee notes that the Council will actively pursue potential frauds identified through ongoing investigations by the Corporate Counter Fraud Officer (CCFO).

3. Background

- 3.1 This report aims to give assurance on the arrangements in place for the prevention and detection of fraud within the council.
- 3.2 That there are adequate resources available to carry out all investigations and identify risk of potential fraud in all services throughout the council.
- 3.3 The CCFO post was created in 2015 following the transfer of the Benefit Fraud Team to the Department for Work and Pensions. This position was filled by an experienced investigator previously employed on the Housing Benefit Fraud Team.

4. Outcome

- 4.1. For councillors and others responsible for audit and governance to review the counter fraud arrangements on an annual basis.

5. Alternatives that have been considered

- 5.1. None

6. Legal implications

- 6.1. In order to fulfil legal requirements, the CCFO is fully conversant with the Police and Criminal Evidence act (PACE), Fraud Act 2006 and Data Protection Act

1998. In addition has full knowledge of Regulation of Investigatory Powers Act (RIPA).

7. Consultation

7.1 None

8. Community impact and Corporate risks

- 8.1 Having a CCFO at Chichester District Council reassures the community that the Council is doing all it can to protect tax payers money.
- 8.2 The only corporate risk to the council is one of capacity, as there is currently only one FTE post to cover all of the council's services.

9. Main Report

Achievements to Date

- 9.1 In January 2016 an exercise was started by the CCFO looking at the Council Tax single person discount of 25%. This exercise involved using data provided by an external credit scoring company to identify cases where there was more than one adult in the property. The exercise concluded in November 2016 and identified £51,375 of incorrectly awarded single person discount.
- 9.2 The National Fraud Initiative (NFI) is a bi-annual exercise that matches data from various sources both within the council and other public sector bodies. The CCFO is the key contact for this; ensuring that all the data is uploaded on time and that when received all the matches are reviewed by various departments within the authority. The CCFO is responsible for looking at the matches that involves the data provided by the Electoral Roll and the data from Council to again identify cases where Single Person Discount may have been incorrectly paid. This exercise started in January 2017 and has so far identified a further £64,354 of incorrectly awarded single person discount.
- 9.3 Every year the Council needs to review any long term empty homes in the district, this is because the new homes bonus paid from central government, takes into account the empty homes within the district and a reduction is made to the bonus paid. Prior to 2016, there were no resources within the council to undertake this work, it was therefore outsourced. The figure paid to Capacity Grid in 2015 for this piece of work was £14,305. In 2016, the CCFO took on this project (immediately saving the previous outsourcing cost) and worked with the Council Tax inspectors to identify 182 properties that should not have been listed as long term empty as they had been brought back into use. This resulted in additional finance for the council of £235,360.
- 9.4 In 2015/16 the cost of clearing up Fly Tips within the district was £41,090 This cost increased significantly to £74,299 in 2016/17. In October 2016 the CCFO started investigating Fly Tipping. So far this had led to; one successful prosecution, two further summonses being issued (with court dates scheduled) and two more cases authorised for prosecution. A further two Fixed Penalty Notices (FPN) have been issued and paid in full, with a further two fixed penalty notices offered (they are

offered as an alternative to prosecution). The successful cases have been publicised by the local media and one of the cases in particular gathered a lot of attention in both the local and national press. Further successes have come in cases not suitable for prosecution or a FPN. In one case, as a result of the investigation, a local business has entered into a waste contract with the council (worth over £1000 per year) and in another case, the council's clean-up costs were paid by a local business.

- 9.5 The CCFO remains available for all departments and to date has worked with; Housing Benefits, Revenues, Human Resources, Chichester Contract Services and Car Parks.

The Year Ahead

- 9.6 NFI will continue throughout the year and the Empty Home Review will again be carried out during August and September 2017 (although the grant paid by the Government is being reduced in size).
- 9.7 Fly Tipping is still increasing which will mean more investigations.
- 9.8 The Department for Work and Pensions have been trialling joint working with local Authorities in order that Local Authority investigates Council Tax Reduction Fraud, jointly with the DWP who will look at the rest of the benefits being received. If rolled out, this may result in a considerable amount of investigations for the CCFO.
- 9.9 Additionally, the following have been identified as areas to be explored and have been highlighted as a risk that could lead to possible fraud in the Department for Communities and Local Governments Fighting Fraud and Corruption Locally 2016-19 (published March 2016).
- Housing Fraud - this is a national issue and although Chichester does not have any housing stock, it does control the housing waiting lists, which were identified as a potential risk
 - Other areas also identified in the report were; Non Domestic Rate Fraud, Staffing Fraud and Procurement Fraud

Future resource plans will be drawn up to identify and prioritise all counter fraud Work and will establish those areas with the biggest potential savings.

- 9.10 Mitigating the risk of fraud and corruption is the responsibility of management. Corporate and service specific risks identified are recorded in a corporate risk register. Internal Audit have a three year and annual plan on a risk based approach which is reviewed and updated annually thus responding to new risks as they arise. However, audit procedures alone cannot guarantee that fraud or corruption will be detected.
- 9.11 The council has a Whistleblowing Policy, which was reviewed and updated this year. No cases were identified through this media during 2016-17.
- 9.12 The CCFO continues to have an important part to play in identifying potential

losses and this has already been demonstrated by the savings already achieved.

10 Conclusion

- 10.1 Overall, the council continues to operate within a robust framework of policies and procedures. This is intended to direct the activity of the council and ensure transparency and accountability. Responsible officers are expected to ensure those effective internal control arrangements are in place. Internal Audit is responsible for reviewing these controls annually in order to give assurance to those charged with Governance and the CCFO is responsible for investigating and reporting on any offences against or within the council.

11 Appendices

- 11.1 None

12 Background Papers

- 12.1 Fighting fraud and corruption locally: the local government counter fraud and corruption strategy 2016 to 2019 <http://www.cipfa.org/services/counter-fraud-centre/fighting-fraud-and-corruption-locally>

Agenda Item 12

Chichester District Council

CORPORATE GOVERNANCE & AUDIT COMMITTEE 28 September 2017

Progress Report – Audit Plan

1. Contacts

Report Author:

Stephen James – Principal Auditor

Tel: 01243 534736

E-mail: sjames@chichester.gov.uk

2. Recommendation

The committee is requested to note progress report and the position against the audit plan.

3. Main Report

- 3.1. On this occasion there are no Audit Reports ready for this committee. There are reports in the final stage of review which will be brought to the November meeting of this committee.
- 3.1. The Audit Progress Report is detailed in appendix 1 and details the position with individual audits.

4. Background

- 4.1. Not Applicable

5. Outcomes to be achieved

- 5.1. Not Applicable

6. Proposal

- 6.1. Not Applicable

7. Alternatives that have been considered

- 7.1. Not Applicable

8. Resource and legal implications

- 8.1. Not Applicable

9. Consultation

- 9.1. Not Applicable

10. Community impact and corporate risks

10.1. Not Applicable

11. Other Implications

Are there any implications for the following?		
	Yes	No
Crime & Disorder:		√
Climate Change:		√
Human Rights and Equality Impact:		√
Safeguarding:		√
Other (Please specify):		√

12. Appendices

12.1. Progress Report – Audit Plan

13. Background Papers

13.1 None

Progress Report – Audit Plan



As at 31st August 2017

Appendix 1

Audits Brought Forward from 2016-17	Auditor	No of Days	Days Remaining	Position with Audit
Museum/TIC	Stephen James	20	17	Planning complete but audit deferred
Information Technology (GDPR/Data Security)	Stephen James	15	15	Training planned (Sept)
Leisure Centres - Contract Management	Sue Shipway	15	8	Ongoing
2017/2018 - Audit Plan				
Income Management	Julie Ball	15	0	Draft Report issued
Section 106/CIL	Stephen James	15	15	
Trade and Green Waste	Sue Shipway/Julie Ball	15	15	Planning ongoing
Customer Services Centre	Stephen James	15	15	
Debt Recovery	Julie Ball	20	19	Planning complete
Other Audit Activities	Auditor	No of Days	Days Remaining	Position with Audit
Key Financial Systems - See below for details	Sue Shipway / Julie Ball / Stephen James	110	106	Ongoing
Planning and Control (Planning and Reviews)	Stephen James / Sue Shipway	15	9	Ongoing
Meetings / Discussions with EY	Stephen James / Sue Shipway	2	1	Monitoring Role and progress report
Committee Reports & Representation	Stephen James / Sue Shipway	15	11	Ongoing
Corporate Advice	Sue Shipway / Julie Ball / Stephen James	9	8	Ongoing
Contingency	Sue Shipway / Julie Ball / Stephen James	64	58	Analysed separately
Follow UPS	Sue Shipway / Julie Ball / Stephen James	10	3	Ongoing
Public Sector Internal Audit Standard (PSIAS)	Sue Shipway	20	11	Ongoing

Completed Audits				
AGS and Evidence	Stephen James/Sue Shipway	20	0	Report Completed
Contract Management	Ann Kirk/Julie Ball	2	0	Report Completed
Key Financial Systems - 2016-17	Sue Shipway	15	5	Report Completed
Fixed Asset Register (Transfer to Civica)	Sue Shipway	5	0	Completed-No issues arising
Building Control & Facilities Management	Julie Ball	20	0	Report Complete
Deferred/ Removed to reduce				
Budgetary Control	N/A	15		Delegated responsibility and monitored by Finance
Business Continuity	Julie Ball	5	4	Ongoing
Contracts/Procurement	Anne Kirk	10		Completed in 2016-17 (see above)
Westward House	N/A	10		Income already covered by Income Management
Inclusion in Key Financial Systems 2017-18				
Creditors	Sue Shipway / Julie Ball / Stephen James			
Debtors	Sue Shipway / Julie Ball / Stephen James			
Payroll	Sue Shipway / Julie Ball / Stephen James			
NNDR	Sue Shipway / Julie Ball / Stephen James			
Treasury Management	Sue Shipway / Julie Ball / Stephen James	110	80	Ongoing
Fixed Assets	Sue Shipway / Julie Ball / Stephen James			
Council Tax	Sue Shipway / Julie Ball / Stephen James			
Bank Reconciliation	Sue Shipway / Julie Ball / Stephen James			
Budgetary Control	Sue Shipway / Julie Ball / Stephen James			