Comhairle Ceantair
Lár Uladh
Mid Ulster
District Council

07 December 2017

Dear Councillor

You are invited to attend a meeting of the Policy & Resources Committee to be held in
The Chamber, Magherafelt at Mid Ulster District Council, Ballyronan Road, MAGHERAFELT, BT45 6EN on Thursday, 07 December 2017 at 19:00 to transact the business noted below.

Yours faithfully

Anthony Tohill
Chief Executive

AGENDA

OPEN BUSINESS

1. Apologies
2. Declarations of Interest
3. Chair's Business

Matters for Decision

4.	External Signage: Depots, Recycling Centres & Parks Facilities	3 - 10
5.	Staff Usage of Greenvale Leisure Centre	11 - 14
6.	Mid Ulster District Council's Finalised Equality Action Plan and Reviewed Disability Action Plan (Post Consultation)	15 - 28
7.	Elected Member Development Working Group	29 - 34

Matters for Information

8	Minutes of Policy and Resources Committee held on Thursday 9 November 2017	35 - 42
9	Advice from Information Commissioner's Office (ICO) on Registration requirements under the Data Protection Act 1998	43 - 54
10	Planning System Replacement	55 - 94
11	Member Services	

Items restricted in accordance with Section 42, Part 1 of Schedule 6 of the Local Government Act (NI) 2014. The public will be asked to withdraw from the meeting at this point.

Matters for Decision

12. Email and File Archival System Contract
13. Contract for Mobile Network Services
14. Earls Project - Permissive Pathway Agreeement
15. Appointment of Mid Ulster - Ageing Well Contract
16. Davagh Forest Visitor Hub - Capital Project
17. Gortgonis Centre - Capital Project
18. Playparks, Villages scheme – Capital Project
19. Drumcoo Waste Transfer Station
20. Update in relation to National Fuels Framework Agreement (RM3801) operated by the Crown Commercial Service
21. Staffing Matters for Decision

Matters for Information

22. Confidential Minutes of Policy and Resources Committee held on Thursday 9 November 2017
23. Staffing Matters for Information
24. Contracts and DAC
25. Financial report for 7 months ended 31 October 2017
26. Rates Estimates 2018/19
27. Update for Rates Support Grant Judicial Review

Report on	External Signage: Depots, Recycling Centres & Parks Facilities
Reporting Officer	Ursula Mezza
Contact Officer	Ursula Mezza

Is this report restricted for confidential business? If 'Yes', confirm below the exempt information category relied upon	Yes	
	No	x

1.0	**Purpose of Report**
1.1	The report shows draft designs for external signs for the Council's depots, recycling centres and for parks facilities.
2.0	**Background**
2.1	The Council is undertaking a brand implementation programme, which is currently prioritising new external signage at key entry points to the district and at the entrances to facilities.
3.0	**Main Report**
3.1	There are 3 depots and 12 recycling centres operated by the Council which require external signage.
3.2	Draft designs for two sample facilities (1 depot and 1 recycling centre) show key customer information, which is presented in dual language, in line with the Council's policy.
3.3	The Council is also required to display licencing and emergency contact information on this signage. To avoid the signs becoming so large as to potentially present difficulties to site, this information is presented in single language following consultation with the Irish Language Officer.
3.4	A simple draft design for 2 sample parks facilities is also presented. While the individual shape, size and material used for parks-related signs is likely to be site-specific, the text used and layout will conform to the basic design as illustrated. Any substantive variations will be brought back to the Committee for approval.
3.5	If agreed, the designs will pass to the Council's technical teams for specification, procurement and installation.
4.0	**Other Considerations**
4.1	**<u>Financial & Human Resources Implications</u>** Financial: The cost of the depot and recycling centre signage is estimated to be in the region of £6,000. Human: N/A

4.2	**<u>Equality and Good Relations Implications</u>** N/A
4.3	**<u>Risk Management Implications</u>** None
5.0	**Recommendation(s)**
5.1	That the Committee considers the draft designs for approval.
6.0	**Documents Attached & References**
	Draft signage designs for depots, recycling centres and sample parks' facilities.

Mhachaire Fíolta Stáisiún Aistrithe Bithdhramhála

Iosta Mhachaire Fíolta, 50 Bóthar Bhaile Uí Rónáin,
Mhachaire Fíolta, BT45 6EN

Magherafelt Biowaste Transfer Station

Magherafelt Depot, 50 Ballyronan Road,
Magherafelt, BT45 6EN

Uaireanta Oscailte / Opening Times

Luan to Satharn Monday to Saturday	**8am – 5pm**

NIEA Licence No: WML 20/37 – LN/15/31

In emergencies call
Mid Ulster District Council: 03000 132 132
NIEA: 028 9056 9747

Goods Vehicle Operator's Licence:
ON1136391

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Áiseanna Dramhaíola Thulaigh Bheara

130 Bóthar Thulaigh Bheara, Achadh na Cloiche, BT69 6BN

Tullyvar Waste Facility

130 Tullyvar Road, Aughnacloy, BT69 6BN

Uaireanta Oscailte / Opening Times

Luan to Déardaoin Monday to Thursday	**8.30am – 5.00pm**
Aoine / Friday	**8.30am – 4.00pm**
Satharn / Saturday	**8.30am – 12.00pm**

Níl cead isteach i ndiaidh 10 mbomaite roimh am druidte.

Please note that the last admission is 10 minutes before closing time.

NIEA Licence No:
LM/09/83 (Household Waste Recycling Centre & Transfer Station)
PO184/07A (Landfill Site)

For Emergencies Call
Mid Ulster District Council: 03000 132 132
NIEA: 028 9056 9747

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District Council

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Fáilte go

Cuan Bhaile Uí Rónáin

Welcome to

Ballyronan Marina

Comhairle Ceantair
Lár Uladh
Mid Ulster
District Council

www.midulstercouncil.org/ballyronanmarina

Fáilte go

Páirc Dhún Geanain

Welcome to

Dungannon Park

Comhairle Ceantair
Lár Uladh
Mid Ulster
District Council

www.midulstercouncil.org/dungannonpark

Report on	Staff Usage of Greenvale Leisure Centre
Reporting Officer	Anne-Marie Campbell
Contact Officer	Oliver McShane

Is this report restricted for confidential business? If 'Yes', confirm below the exempt information category relied upon	Yes	
	No	x

1.0	**Purpose of Report**
1.1	Members are asked to consider proposed arrangements for discounted staff use of Greenvale Leisure Centre.
2.0	**Background**
2.1	By providing employees with discounted access to sport and leisure facilities, MUDC may improve staff wellbeing and job satisfaction, as well as raise retention rates. The welfare of members and employees has a direct impact on the success of the council.
3.0	**Main Report**
3.1	Members previously agreed that staff could avail of a 50% discount on the full Facility Membership card. This allowed staff who wish to take up the offer at a cost of £15.00 per Centre month for full membership of all following facilities: Cookstown Leisure Centre, Dungannon Leisure Centre, Greenvale Leisure, Maghera Recreation Centre, Mid Ulster Sports Arena, Meadowbank Sports Arena and Moneymore Recreation Centre. Members also previously agreed that staff could avail of a 50% discount on the individual cost of using leisure facilities for non-bookable facilities or activities including swimming, gym, fitness or other exercise programme session (on a pay as you go basis) at the following: Cookstown Leisure Centre, Dungannon Leisure Centre, Mid Ulster Sports Arena, Maghera Leisure Centre, Meadowbank Sports Arena and Moneymore Recreation Centre. Use of the Greenvale Leisure Centre by Council staff formed part of the Leisure Services Management Service Agreement. The cost to individual members and staff was £12.50 per month. It is proposed that Greenvale Leisure Centre be included in the facilities that staff can avail of 50% discount on the individual cost of using leisure facilities for non-bookable facilities or activities including swimming, gym, fitness or other exercise programme session (on a pay as you go basis). It is also proposed that staff who wish to take up full membership at Greenvale Leisure can do so at a cost of

	£15.00 per month. Both proposals exclude usage of Greenvale Leisure Centre by staff employed in Greenvale that transferred to Council on 10th September 2017 under TUPE legislation. Their usage of Greenvale Leisure Centre will be reviewed as part of the alignment process that is commencing. These discounts would be offered to MUDC Full time, Part time and casual staff employees. All staff who wish to avail of the discount must register and will receive a membership card. Casual staff must have worked for MUDC in the last three months. Casual's use of the discount will be reviewed on a three month basis to ensure they have worked with MUDC in the last 3 months. By providing employees with discounted access to sport and leisure facilities, MUDC may improve staff wellbeing and job satisfaction, as well as raise retention rates. The welfare of employees has a direct impact on the success of the council. Because of this MUDC benefits from happier, more productive members and staff. Staff will be informed that Inland Revenue may view this as a benefit in kind and at some point may wish to tax the benefit as such. This discount would be offered to MUDC Full time, Part time and Casual staff who have worked in the previous three months.
4.0	**Other Considerations**
4.1	**<u>Financial & Human Resources Implications</u>** Financial: 50% discount should encourage more staff to avail of exercise programmes at leisure facilities. Human:None.
4.2	**<u>Equality and Good Relations Implications</u>** N/A
4.3	**<u>Risk Management Implications</u>** N/A
5.0	**Recommendation(s)**
5.1	Members are asked to approve that staff could avail of a 50% discount on the individual cost of using Greenvale Leisure Centre facilities for non-bookable facilities or activities including swimming, gym, fitness or other exercise programme session (on a pay as you go basis). Also approve that staff who wish

	to take up full membership at Greenvale Leisure can do so at a cost of £15.00 per month. Both proposals exclude usage of Greenvale Leisure Centre by staff employed in Greenvale that transferred to Council on 10th September 2017 under TUPE legislation
6.0	**Documents Attached & References**
	None

Report on	Mid Ulster District Council's Finalised Equality Action Plan and Reviewed Disability Action Plan (Post Consultation)
Reporting Officer	Philip Moffett, Head of Democratic Services
Contact Officer	Ann McAleer, Corporate Policy and Equality Officer

Is this report restricted for confidential business? If 'Yes', confirm below the exempt information category relied upon	Yes	
	No	X

1.0	**Purpose of Report**
1.1	To seek Member's approval to implement Council's Equality Action Plan and Revised Disability Action Plan post consultation.
2.0	**Background**
2.1	Council is required to comply with Section 75 of the Northern Ireland Act 1998 (the Act). Mid Ulster District Council is bound by Section 75 of the N Ireland Act 1998. Section 75(1) requires that the council gives due regard to the need to promote equality of opportunity between groupings/categories as detailed within the Act and Section 75(2) requires that regard be given to the desirability of promoting good relations between persons of different religious belief, political opinion or racial group.
2.2	Compliance with the Act requires Council to have both an Equality Action Plan and Disability Action Plan in place. Public Consultation of the Equality Action Plan is required by the Equality Commission. The Public Consultation was held over a 14week period between June and Sept 2017.
3.0	**Main Report**
3.1	Council's Equality Scheme (2015-2020) was approved by the Equality Commission in November 2016. The Scheme requires the implementation of an associated Equality Action Plan to run from its approval until 2020, setting out how the priorities identified in the Scheme will be delivered. The Equality Action Plan has been informed by an Audit of Inequalities which was carried out in April 2015. The Equality Commission require that a public consultation is carried out to fully inform the draft Equality Action Plan. Themes identified for inclusion in The Plan from the Audit of Inequalities included the following: • Accessibility • Corporate practices • Participation levels • Partnership working
3.2	Council's current Disability Action Plan was first approved by the Shadow Council in December 2014. The revised version was brought up-to-date prior to consultation in order to reflect the current needs identified in Mid Ulster District Council area.

3.3 As a result of the consultation, two of the action points in the Equality Action Plan were amended slightly to include more specific actions. These changes are included in red below. Further details are included in the Consultation Report (Appendix A). The Revised Disability Action Plan did not require amendment as a result of the consultation.

3.4

Action No.	**Theme 1: Accessibility**	**Key Inequalities**	• **Residents from ethnic minority backgrounds feel perceived inaccessibility to local democracy** • **Older people feel they cannot access Council facilities**		
		Desired Outcome	**Performance Indicator**	**Responsibility**	**Timeframe**
1a	Increased accessibility of Council services available online and in other requested formats while incorporating of multi-channel communication tools	Improved accessibility of Council services	Level of increase of online transactions	Chief Executive and Directors	2017-2020
Action No.	**Theme 4: Partnership Working**	**Key Inequalities:**	• **Partnership working between Council and Community & Voluntary support organisations** • **Council being more proactive by creating linkages and networking opportunities for the Community & Voluntary sector**		
4b	Provide opportunities for residents, customers and visitors to engage directly with Elected Members. Include outreach sessions with Elected Members and Officers.	Create opportunities for people to get involved	No. of events and opportunities provided No. of attendees	Heads of Service	2018

4.0	**Other Considerations**
4.1	**<u>Financial & Human Resources Implications</u>** Financial: N/A Human: N/A
4.2	**<u>Equality and Good Relations Implications</u>** No negative impacts on equality or good relations are anticipated as a result of the implementation of both plans.
4.3	**<u>Risk Management Implications</u>** Not Applicable
5.0	**Recommendation(s)**
5.1	It is recommended that Members approve the attached finalised Equality Action Plan and Reviewed Disability Action Plan for implementation.
6.0	**Documents Attached & References**
	Appendix A: Consultation Report

Equality Action Plan and Revised Disability Action Plan

Consultation Response Summary

Report for SMT

October 2017

1. Introduction

1.1 The public consultation on Council's Draft Equality Action Plan and Revised Disability Action Plan was held between 23 June 2017 and 29 September 2017. The consultation ran for a total of 14 weeks, 2 weeks more than normal protocol. The rationale for the additional two weeks was that the consultation timeframe included the public holidays in July and August and Council's Equality Scheme requires that additional time is provided for consultations should it be carried out during peak holiday times.

2. Consultation Process

2.1 The consultation process included three consultation events held as follows:

- 7 September 2017-Magherafelt Council Offices-2.30pm-4pm
- 14 September 2017- Dungannon Council Offices-6pm-7.30pm
- 22 September 2017- Cookstown Council Offices-9.30am-11am

2.2 One event was held in each of the legacy Council areas. In order to maximise accessibility of attendance, the timing, location and day of the week differed for each event.

2.3 The consultation process was advertised in local press and was distributed amongst Council's Equality List twice, before and during the consultation period.

3. Consultation Respondents

3.1 Unfortunately there was a limited response to the consultation events. However, six responses were received from the following individuals and organisations detailed below:

- Ursula Marshall responding on behalf of Mid Ulster Disability Forum (MUDF)
- Valarie Black responding as an individual citizen
- Cllr Robert Mulligan responding as an Elected Member
- COSTA (Community Organisations of South Tyrone & Areas)
- First Steps Women's Centre
- Parkinson's UK

4. Information Gathered on Equality Action Plan

4.1 Consultation questionnaires were provided to respondents. Three of the six respondents used the consultation questionnaire format to respond to the consultation.

Strategic Theme 1: Accessibility	
Respondents Feedback	**General Comments**
The three respondents who made use of the structured feedback questionnaire either 'agreed' or 'strongly agreed' with this theme and the associated actions.	• May be useful to have more outreach sessions for both politicians and Officials out in the community so people can engage directly, particularly those who find it difficult to travel, or find it off putting to go into official buildings. • Communication is a key factor – multichannel communication methods need to be utilised if this is to be accessible to all. • This would help include more people who feel isolated or removed from local government – this may present an opportunity to link this with Community Planning and feeding back to the community at the grass roots level.

Strategic Theme 2: Corporate Practices	
Respondents Feedback	**General Comments**
The three respondents who made use of this format either 'agreed' or 'strongly agreed' with this theme and the associated actions.	• Yes these are all very positive and to be actively encouraged by all and will enable the mechanics of Council to be better meet the needs of the local community. • Would it be beneficial to look at the monitoring used by other organisations, e.g. ESF funded projects as an exemplar?
Strategic Theme 3: Participation Levels	
Respondents Feedback	**General Comments**
The three respondents who made use of this format either 'agreed' or 'strongly agreed' with this theme and the associated actions.	• Yes these are all very positive and to be actively encouraged by all and will enable the mechanics of Council to be better meet the needs of the local community. • The recognition of Parents, Carers and even those who work are important to take into account and we are happy to see these being recognised and catered for.
Strategic Theme 4: Partnership Working	
Respondents Feedback	**General Comments**
One of the respondents neither agreed nor disagreed, one strongly agreed and one agreed with this theme and the associated actions.	• Working with the Voluntary / Community Sector and the continuance of a vibrant and wide ranging Voluntary / Community Sector are absolutely key to success particularly under this theme. • May be useful to have more outreach sessions of both Politicians and Officials out in the community so people can engage directly, particularly those who find it difficult to travel, or find it off putting to go into official buildings. • This would help include more people who feel isolated or removed from local government this may present an opportunity to link this with Community Planning and feeding back to the community at the grass roots level.

4.2 On examination of the feedback and comments set out in the table above Actions 1a and 4b of the Equality Action Plan will be amended. Specific details of the amends will be set out in the conclusions in Section 8.

5. Information Gathered on Disability Action Plan

5.1 The following feedback was provided in relation to the revised Disability Action Plan.

Action Measure 1: 'Equality proof' our Community Plan providing better promotion of equality and services for people with a disability.	
Respondents Feedback	**General Comments**
The three respondents who made use of the questionnaire format either 'agreed' or 'strongly agreed' with this action measure.	• Yes, totally agree with this as this has been severely lacking in the current Community Plan. Equality and Human Rights are the responsibility of everyone and need to be central to the culture, ethos and practical day-to-day delivery of everything that an organisation does – once this is truly in place then this creates positive outcomes for all. • Special consideration to be given migrants and people who don't have English as a first language. • All action plans derived from the Community Plan should be equality screened. The Community Plan should encourage cradle to grave support for people with a disability at every age and every stage of life.
Action Measure 2: Integrate Disability duties into new policies including all new and revised policies screened for impact on disability duties.	
Respondents Feedback	**General Comments**
The three respondents who made use of the structured feedback questionnaire either 'agreed' or 'strongly agreed' with this action measure.	• Human Rights, Equality and Disability duties should be central to all new policies and central to all MUDC does and how MUDC does it.
Action Measure 3: Council will work towards the BS:8300:2009 +A1:2010 in its buildings and facilities, subject to practical implementation allowing issues which may affect people with a disability will be sorted out at the earliest possible juncture.	
Respondents Feedback	**General Comments**
The three respondents who made use of the structured feedback questionnaire either 'agreed' or 'strongly agreed' with this action measure.	• Yes, very strongly agree - this is very important and to ensure that dropped curbs, parking bays and other requirements are in place.

	• This standard should be put in place at every opportunity. Not adhering to the standard is selling short people in the District who have a disability.
Action Measure 4: Prepare an annual report on progress on meeting the Disability Action Plan and publish this on its website. Increased awareness of Employee's responsibility towards Council's compliance and achievements in relation to disability duties.	
Respondents Feedback	**General Comments**
The three respondents who made use of the structured feedback questionnaire one respondent 'neither agreed nor disagreed; one 'agreed' and one 'strongly agreed' with this action measure.	• Yes, this is positive and anything that increases accountability will also help increase positive action so we welcome this development.
Action measure 5: Keep in contact with disability support services/groups within the District in order to gauge their views and opinions. Focussed consultation and engagement with people with disabilities will be carried out in order to understand their needs and requirements.	
Respondents Feedback	**General Comments**
The three respondents who made use of the structured feedback questionnaire two 'agreed' and one 'strongly agreed' with this action measure.	• Working with the Voluntary/Community Sector and the continuance of a vibrant and wide ranging Voluntary/Community Sector are key to success particularly under this theme. Organisations such as COSTA, CWSAN, STEP, Agewell, Age NI, MUSN, Disability Action and Willowbank and many many others is so important to ensure that this being properly met, evaluated and evolved.
Action measure 6: Any new/substantially renovated play areas meet the highest possible standards.	
Respondents Feedback	**General Comments**
The three respondents who made use of the structured feedback questionnaire 'strongly agreed' with this action measure.	• Yes, it is so important that children with complex disabilities/needs can access appropriate and high quality play areas right across the MUDC area.
Action measure 7: Appoint a Disability Champion at officer and elected member level to progress the disability duties.	

Respondents Feedback	General Comments
The three respondents who made use of the structured feedback questionnaire two 'strongly agreed' and one 'neither agreed nor disagreed' with this action measure.	• Yes, this is a positive development and increases visibility and accountability and shares that across officials and elected representatives. We strongly support this development. • This a great idea!!
Action measure 8: Provide up to 6 work placements per year for individuals with disabilities.	
Respondents Feedback	**General Comments**
The three respondents who made use of the structured feedback questionnaire two 'strongly agreed' and one 'agreed'.	• Yes, this is a very practical and positive development and creates better real-life opportunities for people with disabilities. We strongly support this development. • Council should aim to exceed this target and also try to make permanent employment opportunities available for disabled people.
Action measure 9: Training on universal accessibility auditing allowing the Corporate Policy & Equality Officer will be skilled to advise when required.	
Respondents Feedback	**General Comments**
The three respondents who made use of the structured feedback questionnaire two 'strongly agreed' and one 'agreed'.	• Yes, this is a positive development and creates better real-life opportunities for people with disabilities through raising awareness of issues and how to better deal with them. We strongly support this development.
Action measure 10: Develop, deliver and implement a programme of awareness training for Council Officers providing increased awareness of disability legislation and understanding of the issues relating to the service users.	
Respondents Feedback	**General Comments**
The three respondents who made use of the structured feedback questionnaire two 'strongly agreed' and one 'agreed'.	• Yes, this is a positive development and creates better real-life opportunities for people with disabilities through raising awareness of issues and how to better deal with them. We strongly support this development. • Enhanced training should be provided for some members of staff.

Action measure 11: Develop, deliver and implement a programme of awareness training for Elected Member	
Respondents Feedback	**General Comments**
The three respondents who made use of the structured feedback questionnaire two 'strongly agreed' and one 'agreed'.	• Yes, this is a positive development and creates better real-life opportunities for people with disabilities through raising awareness of issues and how to better deal with them. We strongly support this development.
Action measure 12: Develop and implement and a set of Accessible Information Protocols	
Respondents Feedback	**General Comments**
The three respondents who made use of the structured feedback questionnaire two 'strongly agreed' and one 'neither agreed nor disagreed'	• Yes, this is a positive development and creates better real-life opportunities for people with disabilities through raising awareness of issues and how to better deal with them. We strongly support this development.
Action measure 13: Continue to assess and improve accessibility of website and other communications materials providing improved accessibility of Council online information and services	
Respondents Feedback	**General Comments**
The three respondents who made use of the structured feedback questionnaire two 'strongly agreed' and one 'neither agreed nor disagreed'	• Yes, this is a positive development and creates better real-life opportunities for people with disabilities through raising awareness of issues and how to better deal with them. We strongly support this development. However it is important to recognise that some people – particularly older generations and those in rural areas who have difficulty accessing suitable broadband can face challenges and information – therefore services should always also be easily and widely available via other means.

5.2 The feedback and comments set out in the table above on the Revised Disability Action Plan will be considered during the implementation of the plan. However, the actions measure do not require amendment as a result of the feedback and comments.

6. General Comments

6.1 As part of the course of the consultation events the following information was provided by the respondents:

- Comments were made regarding accessibility issues within Seamus Heaney Homeplace. It was noted that the doors were quite heavy and is difficult for wheelchair users to open them.
- It was pointed out that the customer service desk in the Burnavon with a drop down is not used by staff. Staff tend to operate from the desk with no drop down and this makes accessing the service/staff difficult for disabled people, especially wheelchair users.
- Clarification was sought as to whether Council's website has AAA status. (This has been confirmed and will be fed back to the group from whom the enquiry came).
- It was recommended that the Disability Action Plan should be prominent on the Council website and in relevant Council literature and correspondence
- Parkinsons UK asked to be placed on the list of consultees for any Plans or Strategies relevant to disability and broad community health
- The current layout of the Council's Chamber in Council's Dungannon Office was also queried regarding its accessibility. Clarification was sought as to whether it meets the BS:8300:2009 +A1:2010 that Council is working towards

7. Actions

7.1 From the general comments identified in Section 6 actions have been set out in the table below in order to address the issues:

Action No.	Description	Owner	Estimated Timeframe	Consultee to be Informed of Progress
1.	Seamus Heaney HomePlace-Making doors user friendly	Manager, Seamus Heaney HomePlace	Jan 2018	Ursula Marshall on behalf of MUDF
2.	Customer service desk in the Burnavon with a drop down is not used by staff	Head of Culture & Arts	Dec 2017	Ursula Marshall on behalf of MUDF
3.	Clarification was sought as to whether Council's website has AAA status.	Corporate Policy & Equality Officer	Complete	Ursula Marshall on behalf of MUDF
4.	the Disability Action Plan should be prominent on the Council website and in relevant Council literature and correspondence	Corporate Policy & Equality Officer	Complete	Parkinson's UK
5.	Parkinson's UK asked to be placed on the list of consultees for any Plans or Strategies relevant to disability and broad community health	Corporate Policy & Equality Officer	Complete	Parkinson's UK

6.	Council's Chamber in Dungannon Office- clarification was sought as to whether it meets the BS:8300:2009 +A1:2010 that Council is working towards	Head of Property Services	Jan 2018	Cllr. Mulligan
7.	All action plans derived from the Community Plan should be equality screened.	Action Plan Authors/Community Planning Officer	Ongoing	Ursula Marshall on behalf of MUDF

7.2 Consultees will be updated when the issues they raised have been addressed/resolved.

8. Conclusions

8.1 The content and the valuable nature of the feedback and suggestions will be taken into account with the delivery of the action plans. Specifically for the Equality Action Plan, Action 1a will now read, 'Increased accessibility of Council services available online and in other requested formats while incorporating of multi-channel communication tools'. While Action 4b now reads, 'Provide opportunities for residents, customers and visitors to engage directly with Elected Members. Include outreach sessions with Elected Members and Officers'.

8.2 The operational issues identified in Section 6 will be acted upon as per the Action Plan set out in Section 7.

Report on	Elected Member Development Working Group
Reporting Officer	P Moffett, Head of Democratic Services
Contact Officer	E Forde, Member Support Officer S McAleer, Corporate Learning & Development Manager

Is this report restricted for confidential business? If 'Yes', confirm below the exempt information category relied upon	Yes	
	No	x

1.0	**Purpose of Report**
1.1	To receive and consider the report of a meeting of the Elected Member Development Working Group held on Wednesday 22 November 2017.
2.0	**Background**
2.1	The Council previously resolved to establish an Elected Member Development Steering Group to provide direction on member development needs and work towards the attainment of the Elected Member Development Charter.
2.2	The steering group Terms of Reference confirms that the business of the Working Group be reported through to Policy & Resources Committee
3.0	**Main Report**
3.1	The Report of the most recent meeting of the Elected Member Development Steering Group is attached as Appendix A for consideration and approval. The following issue came from discussion at this and previous meetings: • Uptake of training by Elected Members
3.2	**NILGA Regional Elected Member Development Working Group** At the meeting on 22 November a deputation was received from NILGA, Ms Fiona Douglas, seeking a representative of the Elected Member Development Working Group to represent Council on the NILGA Regional Elected Member Development Working Group. This is expected to meet quarterly commencing January 2018. All Working Group members (Councillors McKinney, Ashton, Doris, Gildernew and M Quinn) met prior to the November Council meeting and agreed that Councillor Doris represent the Council on the group.
4.0	**Other Considerations**
4.1	**<u>Financial & Human Resources Implications</u>** Financial: Noted that on occasion training is cancelled at short notice with council incurring costs.

	Human: Not Applicable
4.2	**<u>Equality and Good Relations Implications</u>** None identified
4.3	**<u>Risk Management Implications</u>** None identified.
5.0	**Recommendation(s)**
5.1	The committee (i) Considers and approves the report of the Elected Member Development Steering Group meeting held on Wednesday 22 November 2017. (ii) Agrees the appointment of Cllr Doris to represent Mid Ulster Council on the NILGA Regional Elected Member Development Working Group as a representative from the council's working group.
6.0	**Documents Attached & References**
	Appendix A: Report of Elected Member Development Steering Group

Comhairle Ceantair Lár Uladh Mid Ulster District Council	**Report of Elected Member Development Steering Group** **Thursday 22 November 2017**

Report of Elected Member Development Steering Group of Mid Ulster District Council held on *22 November 2017* at 6.30pm in Council Offices, Cookstown

Attendees **Members:** Councillors Ashton, McKinney, Gildernew
Officers: P Moffett Head of Democratic Services, E Forde, Member Support Officer, S McAleer Corporate L&D Manager
In Attendance: Fiona Douglas, NILGA

Apologies

AGENDA	MATTERS AGREED	ACTIONS & RESPONSIBILITY
1.0	**Deputation - NILGA**	
	• One Representative to be appointed to NILGA Regional Elected Member Development Group. Cllr Ashton made reference to applying d'Hondt principle and agreed that the five members meet prior to Council Meeting 23.11.17 to agree upon representative • Members noted NILGA scoping analysis to Implement Regional Programme for Elected Member Dev • Members welcomed the proposed Accredited Programmes for Elected members i.e. Leadership Role of the Elected Member and Local Planning Process and Development Manager	P Moffett & E Forde advise NILGA of Member Elected to represent group on Regional Group
2.0	**Meeting Report: 21 September 2017**	
	• Noted	
3.0	**Charter Attainment Progress Report**	
	• Members noted below average uptake of training opportunities, reflecting on the cost implications especially in the instance where training was cancelled and the Council still had to incur the charge.	Working Group Members

	• Discussion on how to improve attendance Working group Members to feedback to party colleagues the impact of lack of attendance on the Charter progress. • Briefing note on Charter Attainment to be issued to all Members • Noted that it was hoped to apply for the Charter Status mid 2018	E Forde, Member Support Officer P Moffett, Head of Service
4.0	**Progress Report**	
	• Noted	
5.0	**Learning and Development Training Programme**	
	Members Noted: • Attendance at training Sept-Dec 2017 **Members Agreed:** • To progress planning Learning & Development Schedule Jan - March 2018 • Rates briefing prior to P&R committee 11 January 2018; • Procurement briefing prior to P&R Committee 8 February 2018 • Emergency Planning briefing prior to March Special Council meeting • Standing Orders Training Feb/March • Check if shorter version of Defibrillator training can be delivered • Child protection briefing note to be prepared/training investigated • Training on code of conduct to be explored • Funding/Financial Assistance briefing by community development • Where appropriate, reschedule training if required • Investigate Local Government Training group courses within neighbouring areas where Members could attend training • To share NILGA training opportunities and cover as part of local Council Plan • To actively encourage party colleagues to avail of the training • Review the need for putting on training already provided which had low uptake/attendance	Working Group Members S McAleer, C L&D Manager E Forde, Member Support Officer Working Group Members
6.0	**Meeting Schedule 2018**	

- Members Agreed the Meeting schedule for 2018

Meeting concluded at 8.03 pm

Minutes of Meeting of Policy and Resources Committee of Mid Ulster District Council held on Thursday 9 November 2017 in the Council Offices, Burn Road, Cookstown

Members Present	Councillor Molloy, Chair Councillors Bateson, Buchanan, Cuddy, Elattar, Forde, Gildernew, Kearney, S McGuigan, McKinney, McLean, McPeake, Totten
Officers in Attendance	Mr A Tohill, Chief Executive Mrs Canavan, Director of Organisational Development Mr Cassells, Director of Environment and Property Mr Kelso, Director of Public Health and Infrastructure Mrs Kerr, Head of Finance Ms Mezza, Head of Marketing and Communications Mr Moffett, Head of Democratic Services Mr O'Hagan, Head of ICT Miss Thompson, Committee Services Officer
In Attendance	Mr McCrossan, Strategic Investment Board

The meeting commenced at 7.00 pm.

PR195/17 Apologies

Councillor Ashton, Doris and M Quinn.

PR196/17 Declaration of Interest

The Chair reminded members of their responsibility with regard to declarations of interest.

Councillor Elattar declared an interest in agenda item 13 – Proposed Land Acquisitions from PSNI and NIHE – as a member of the Housing Council.

PR197/17 Chair's Business

The Director of Organisational Development advised of road traffic accident earlier in the day involving a refuse collection vehicle in which the driver had to be cut from the vehicle and flown by air ambulance to hospital. It was advised the driver had sustained leg injuries.

The Chair, Councillor Molloy, on behalf of the committee wished the staff member a speedy recovery.

Matters for Decision

PR198/17 Public Notice Advertising Policy

The Head of Marketing and Communications presented previously circulated report which made suggested amendments to the Council's existing policy governing the placement of public notice advertising.

Councillor Gildernew stated that a lot of people still depended on newspapers and asked how the Council could pick one newspaper to advertise in over others.

Councillor Cuddy advised that a number of newspaper titles have closed or are struggling and that government and council advertisements help to keep the remaining titles going. The Councillor agreed that advertising needed to be reduced but felt that a phased approach over 2-3 years would be better. Councillor Cuddy advised he would abstain from any vote on this item as he was indirectly linked to it.

The Head of Marketing and Communications advised that a reduction in advertising would bring efficiency savings and referred to other advertising methods (website, facebook etc) which were proving successful and that there was a good level of public engagement.

Councillor Gildernew felt that parts of the district would be excluded from engaging with online advertising due to non availability of broadband.

Councillor McLean stated he understood the rationale for the proposal and that the younger generation were more internet orientated but advised there was still an older generation to be considered and that the matter needed to be dealt with cautiously. The Councillor also felt a phased approached would be better.

The Chair, Councillor Molloy suggested that the proposal be reviewed, taking on board the comments of Members and a further report be brought back to committee.

The Chief Executive advised that more detail could be provided on the advertisements being placed above what is legislatively required and that a decision could be taken on the affordability of continuing with the current level of advertising in conjunction with budget setting.

Resolved That it be recommended to Council that a report be brought back to committee on the level of public notice advertising currently taking place above what is legislatively required with consideration being given to a phased approach to reducing public notice advertising in newspapers.

PR199/17 Elected Member Development Steering Group

The Head of Democratic Services presented previously circulated report which considered a report of the Elected Member Development Steering Group held on 21 September 2017.

Councillor McKinney asked for a breakdown on spend for 2016/17 stating that £4,500 had been spent on one item which was not for Members.

The Head of Democratic Services advised he would provide confirmation of 2016/17 spend.

Proposed by Councillor Buchanan
Seconded by Councillor S McGuigan and

Resolved That it be recommended to Council to –

(I) Approve the report of the Elected Member Development Steering Group meeting held on 21 September 2017.

(II) Approve the recommendation of the Elected Member Development Steering Group to make allowance for £7,500 in 2018/19. This is from the existing Democratic Services Budget.

PR200/17 Room Hire Policy – Proposed Amendment

The Head of Democratic Services presented previously circulated report which considered amendment to Council's Room Hire Policy.

Councillor McPeake asked if PCSP would be included within the exemption for use of civic buildings.

The Head of Democratic Services advised that PCSP are seen as being part of the Council and therefore treated the same as other council services for use.

Councillor S McGuigan referred to the wording of point 5.3.1 in the policy which he felt applied to political parties represented within Council and asked if the same would apply to political parties not represented on Council.

The Chair, Councillor Molloy also made the same query in respect of independent members.

The Head of Democratic Services advised that point 5.3.1 applies to those political parties who currently have representation on Council including independents.

The Chair, Councillor Molloy advised he had issue with political parties being excluded.

Councillor McLean asked if the wording would stand up to scrutiny.

The Chief Executive advised that it would if it was applied equally.

The Chair, Councillor Molloy asked Members if they were content to take the policy as presented and that wording of point 5.3.1 be reviewed.

The Chief Executive advised that those who are not represented on Council should not be treated more favourably than those who are represented.

Proposed by Councillor McPeake
Seconded by Councillor Bateson and

Resolved That it be recommended to Council to approve the proposed amendment to the Council Room Hire Policy as set out in appendix to report with wording of point 5.3.1 within policy to be reviewed.

PR201/17 Data Handling Policy (Access NI) on the Recruitment of Ex-Offenders

The Director of Organisational Development presented previously circulated report which sought approval for –

(I) A Data Handling (Access NI) Policy for Mid Ulster District Council
(II) A Policy on the Recruitment of Ex-Offenders for Mid Ulster District Council

Councillor Gildernew asked for a definition of the term "ex offenders".

The Director of Organisational Development advised that the term would apply to anyone with a criminal conviction, she advised that any convictions would be looked at proportionately and in context of the job being applied for.

In response to Councillor Gildernew's question the Director of Organisational Development advised that terrorism convictions would also be looked at in context of the job being applied for and would be risk assessed. The Director advised that Council liase with NIACRO on such cases.

Councillor Cuddy asked if any policies were in place before now.

The Director of Organisational Development advised that a mix of arrangements were in place beforehand but that it would be important to have good governance in place going forward.

In response to Councillor Kearney's question the Director of Organisational Development advised that it depended on the post being advertised whether an applicant would be required to make a declaration on their application.

Councillor McLean felt that Council would be leaving itself open if it did not have the policies in place and advised that they were now commonplace throughout workplaces.

In response to Councillor McKinney's question the Director of Organisational Development advised that employees who work with children are all subject to Access NI checks.

Proposed by Councillor McLean
Seconded by Councillor McKinney and

Resolved That it be recommended to Council to approve –

(I) The Data Handling (Access NI) Policy for Mid Ulster District Council as circulated.
(II) The Policy on the Recruitment of Ex-Offenders for Mid Ulster District Council as circulated.

Matters for Information

PR202/17 Minutes of Policy and Resources Committee held on Thursday 5 October 2017

Members noted minutes of Policy and Resources Committee held on Thursday 5 October 2017.

Councillor Cuddy referred to his comments made at meeting on 5 October in relation to car boot sales and asked if there was an update in relation to this matter.

The Chair, Councillor Molloy advised that a report would be brought to December meeting of committee.

PR203/17 Performance Improvement – Six Month Update

Members noted previously circulated report which provided monitoring information on the review of performance against the seven statutory and three corporate performance improvement indicators for the six month period, April to September 2017. The report also contained progress summary against Council's four corporate improvement projects.

PR204/17 Brand Implementation Update

Members noted previously circulated report which provided update on brand implementation to date and outlines work planning for the future.

Councillor S McGuigan referred to logo in Dungannon Chamber and that it was not the complete council branding. The Councillor advised that he had been approached in relation to this at a recent event held in Dungannon Chamber and that he had advised the person that this was only a temporary logo which would be replaced and asked when this would happen.

The Head of Marketing and Communications advised that the logo in Dungannon Chamber was not temporary but could be reviewed. Members were advised that only the logo was displayed in Dungannon due to the shape of the panel and for aesthetics.

Councillor S McGuigan stated he had assumed the current logo was only temporary and proposed that this be reviewed in order to have full branding in Dungannon Chamber.

Councillor Cuddy referred to financial implications and asked when these would be considered.

The Head of Marketing and Communications advised that costs were not applicable to this report as it was an update. It was advised that costs in relation to signage had been provided within report brought to October meeting of committee.

Councillor McPeake stated he was supportive of Councillor S McGuigan's comments and that the Council brand has not been used in the way approved. The Councillor advised he understood the rationale for logo only being used for litter bins however he expressed concern that short cuts were being taken and that this should not be the case for Council Chambers. Councillor McPeake seconded Councillor S McGuigan's proposal.

Councillor Cuddy stated there may be a time when the Executive provides direction on language signage meaning that whatever Council does now may have to be replaced again.

Councillor McLean advised it was his understanding that where there were sensitivities that the logo only would be displayed ie. On employee clothing.

Councillor McPeake stated this was not his understanding and that the reason why the logo only was on clothing was due to the size of stitching which would make the wording part of the brand unreadable.

Councillor McLean advised that some clarity was required from previous minutes on what had been agreed with regard to branding.

The Chief Executive advised that rollout of the branding had been agreed with parties and that minutes regarding same would be brought back to committee.

Councillor Cuddy advised that Dungannon and South Tyrone Borough Council had not been against the Irish Language however he stated that English is the main language and that any other language is a minority language. He stated there was a need to find a way forward to bring all people together as some communities currently felt excluded.

Councillor Gildernew advised that the introduction of D'Hondt and the Sinn Féin Party had been at the forefront of bringing equality to Dungannon and South Tyrone Borough Council.

Resolved That it be recommended to Council –
(I) To review branding in Council Chamber – Dungannon.
(II) To review minutes on rollout of Council branding.

PR205/17 Member Services

No issues.

Local Government (NI) Act 2014 - Confidential Business

Proposed by Councillor S McGuigan
Seconded by Councillor Kearney and

Resolved In accordance with Section 42, Part 1 of Schedule 6 of the Local Government Act (NI) 2014 that Members of the public be asked to withdraw from the meeting whilst Members consider items PR206/17 to PR224/17.

Matters for Decision

PR206/17	Tender Award: Appointment of Newspaper/Newspaper Group to carry weekly planning advertisements
PR207/17	Proposed land acquisitions from PSNI and NIHE
PR208/17	Lands at Lime Kiln Lane, Cookstown
PR209/17	Contracts and DAC
PR210/17	Charges imposed by Council when credit or debit cards are used to make payment
PR211/17	Rates Estimates 2018/19
PR212/17	Assets Valuation Services
PR213/17	Notice Claims following outcome of Industrial Tribunal Cases 1375/15, 1379/15
PR214/17	Staffing Matters
PR215/17	Finance Staff Relocation to Cookstown Office
PR216/17	Mobile Network Choice

Matters for Information

PR217/17	Confidential Minutes of Policy and Resources Committee held on Thursday 5 October 2017
PR218/17	Financial Report for 6 months ended 30 September 2017
PR219/17	Council Insurances
PR220/17	General Data Protection Regulations (GDPR)
PR221/17	Summary of Council's Fair Employment Monitoring Returns for Year Ending 1 January 2016 and Year Ending January 2017
PR222/17	Transforming the delivery of Leisure Services in Mid Ulster District Council
PR223/17	Staffing Matters
PR224/17	Deputation – Asset Management Framework – Presentation from Strategic Investment Board

PR225/17 Duration of Meeting

The meeting was called for 7 pm and ended at 9.20 pm.

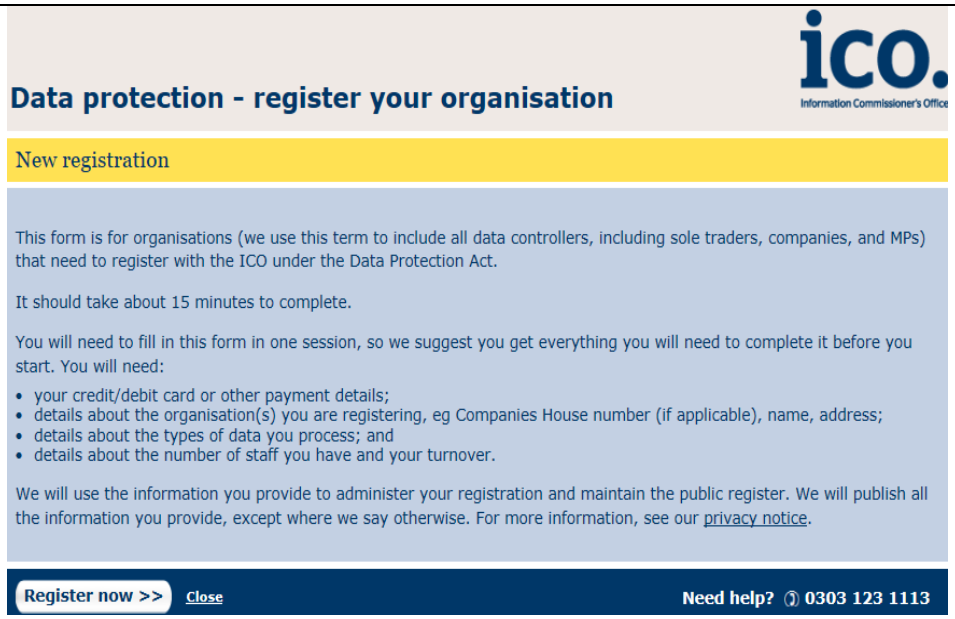
CHAIR _____ DATE _____

Report on	Advice from Information Commissioner's Office (ICO) on Registration requirements under the Data Protection Act 1998
Reporting Officer	P Moffett, Head of Democratic Services
Contact Officer	B O'Hagan, Head of ICT E Forde, Member Support Officer

Is this report restricted for confidential business? If 'Yes', confirm below the exempt information category relied upon	Yes	
	No	x

1.0	**Purpose of Report**
1.1	To provide members with advice issued to the Council on registration requirements under the Data Protection Act 1998 (the Act), with specific reference to councillors.
2.0	**Background**
2.1	The Act is based around eight principles for good information handling. The principles have been set to provide people with specific rights in relation to their personal information and places certain obligations on those organisations which processes it. Guidance previously compiled by the ICO and in their website states that the Act will apply to and affects councillors in their capacity as a: • Member of the Council; • As a representative of residents of their ward (i.e. District Electoral Area); and • Representing a political party, especially at election time This full Guidance entitled *'Advice for Elected and Prospective Councillors'* is attached as appendix A. Members will recall that NILGA had afforded training opportunities in September entitled EU General Data Protection. This training covered registration as Data Controller requirements in accordance with the Act.
3.0	**Main Report**
3.1	The ICO Registration Team has recently been in touch with Council and provided us with the following as advice on registration requirements of councillors, detailed as follows. *"In answer to your query as to whether a councillor is required to register, a data controller is defined as a person (who alone or jointly in common with others) decides why and how any personal data is to be processed.* *In the case of councillors, they determine how they deal with complaints and respond to issues raised by constituents in their ward. The council does not tell them how they should deal with the issues raised; it is the individual councillor themselves who diary*

	surgery appointments, write letters as they see fit on behalf of their constituent and determine how and why that personal data is to be processed. *When the councillor sits on a council committee (for instance to decide whether a taxi licence is to be renewed or a council tenant should be evicted) then that data is processed as part of the council's statutory function and will be covered by the council's data protection registration.* *There is a clear distinction between when the councillor is a data controller in his/her own right in their advocacy work when dealing with constituency casework, as they decide how personal data is processed and handled and when they are carrying out their duties as a representative of the council rather than as a representative of the constituent.* *It is our opinion therefore that elected councillors who process personal data electronically for the purpose of constituency casework will be required to have their own registration (the same as an MP, MLA, MSP and an AM has to) under the terms of the Data Protection Act 1998."*
3.2	In considering the need to register, Members should first decide on which role they are processing personal information. The below has been extracted from their attached Guidance: (i) **As a member of the Council:** Councillors may have access to, and process, personal information in the same way as employees. In this case it is the Council rather than the Councillor that determines what personal information is used for and how it is processed. For example, if a member of a housing committee has access to tenancy files to consider whether the local authority should proceed with an eviction, the councillor is carrying out the local authority's functions and so does not need to register in their own right. (ii) **As a representative of the residents of their ward (i.e. DEA):** Councillors represent residents of their ward (i.e. DEA), they are likely to have to register in their own right. For example, if they use personal information to timetable surgery appointments or take forward complaints made by local residents. (iii) **As a representative of a political party:** When acting on behalf of a political party, for instance as an office holder, Councillors are entitled to rely upon the registration made by the party. When individuals campaign on behalf of political parties to be the Councillor for a particular ward (i.e. DEA), they can rely on the parties' registration if the party determines how and why the personal information is processed for the purpose of their individual campaigns. If a prospective Councillor is not part of any political party but campaigning to be an independent Councillor for a particular ward (i.e. DEA), they need to have their own registration It is referenced within the attached ICO Guidance that there is an exemption from registration where the only personal information which is processed takes the form of paper records. This is, however, a matter for members to consider.
4.0	**Other Considerations**
	Further information and the registration process is accessible through the following link. https://ico.org.uk/registration/new



Data protection - register your organisation

ico. Information Commissioner's Office

New registration

This form is for organisations (we use this term to include all data controllers, including sole traders, companies, and MPs) that need to register with the ICO under the Data Protection Act.

It should take about 15 minutes to complete.

You will need to fill in this form in one session, so we suggest you get everything you will need to complete it before you start. You will need:

- your credit/debit card or other payment details;
- details about the organisation(s) you are registering, eg Companies House number (if applicable), name, address;
- details about the types of data you process; and
- details about the number of staff you have and your turnover.

We will use the information you provide to administer your registration and maintain the public register. We will publish all the information you provide, except where we say otherwise. For more information, see our privacy notice.

Register now >> Close Need help? 0303 123 1113

4.1 **Financial & Human Resources Implications**

Financial: Current fee is £35 for individual registration per annum (has been proposed that this be increased to £55 per annum from 2017/18).

Human: N/A

4.2 **Equality and Good Relations Implications**

- Individual Registration of Councillors will have neutral effect on promotion of equality of opportunity within the Section 75 groupings
- Individual Registration of Councillor will have neutral effect on promotion of Good Relations

4.3 **Risk Management Implications**

Risk of sanction by the ICO for non-compliance, where deemed relevant to be registered

5.0 **Recommendation(s)**

5.1 Members note and consider the guidance and advice provided by the ICO on registration as a Data Controller in accordance with the Data Protection Act 1998.

6.0 **Documents Attached & References**

6.1 Appendix A: Information Commissioner's Office: Advise for Elected and prospective Councillors (Data Protection Act)

Information Commissioner's Office

Advice for elected and prospective councillors

Data Protection Act

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Introduction

1. The Data Protection Act 1998 (DPA) is based around eight principles of good information handling. These give people specific rights in relation to their personal information and place certain obligations on those organisations that are responsible for processing it

2. An overview of the main provisions of the DPA can be found in The Guide to Data Protection.

3. This is part of a series of guidance, which goes into more detail than the Guide, to help data controllers to fully understand their obligations and promote good practice.

4. This guidance aims to provide elected and prospective councillors with advice on how the DPA applies to them.

The role of the councillor

5. Councillors are likely to have three different roles:

   - As a member of the council, for example, as a cabinet member or a member of a committee.

   - A representative of residents of their ward, for example, in dealing with complaints.

   - They may represent a political party, particularly at election time.

Use of personal information

6. When councillors consider using personal information, they should take into account the context in which that information was collected to decide whether their use of the information will be fair and lawful, as required by principle 1 of the DPA:

   - Where a councillor is representing an individual resident who has made a complaint, the councillor will usually have the implied consent of the resident to retain relevant personal data provided and to disclose it as appropriate. The resident will also expect that the organisations (including the local authority) who are the subject of the complaint will disclose personal data to the councillor. If

there is any uncertainty regarding the resident's wishes, it would be appropriate to make direct contact with the resident to confirm the position.

- Sensitive personal information is treated differently; for example, where consent is being relied on this should be explicit in nature. However, in the context of a complaint, councillors – and organisations making disclosures to them - will usually be able to rely on the Data Protection (Processing of Sensitive Personal Data)(Elected Representatives) Order 2002 as a condition for processing.

- Personal information held by the local authority should not be used for political purposes unless both the local authority and the individuals concerned agree. It would not be possible to use a list of the users of a particular local authority service for electioneering purposes without their consent. An example would be using a local authority list of library users to canvass for re-election on the grounds that the councillor had previously opposed the closure of local libraries.

- When campaigning for election as the representative of a political party, candidates can use personal information, such as mailing lists, legitimately held by their parties. However, personal information they hold in their role as representative of local residents, such as complaints casework, should not be used without the consent of the individual.

- When campaigning for election to an office in a political party, councillors should only use personal information controlled by the party if its rules allow this. It would be wrong, for instance, to use personal information which the candidate might have in their capacity as the local membership secretary, unless the party itself had sanctioned this.

- Candidates for election should be aware that political campaigning falls within the definition of direct marketing. Consequently, they should have regard to the requirements of the DPA (in particular section 11) and the Privacy and Electronic Communication (EC Directive) Regulations 2003 which set out specific rules that must be complied with for each type of marketing communication. For further information on this, the Information

Commissioner has produced Guidance on Political Campaigning which is available on our website.

Multi-member wards

7. In some types of local authority, councillors are elected under a multi-member system where more than one councillor represents a particular ward.

8. As a result, there may be situations where a councillor who represents a resident may need to pass on that particular individual's personal information to another councillor in the same ward. The councillor will only be allowed to disclose to the other ward councillor the personal information that is necessary:

   - to address the resident's concerns;
   - where the particular issue raises a matter which concerns other elected members in the same ward; or
   - where the resident has been made aware that this is going to take place and why it is necessary.

   If a resident objects to a use or disclosure of their information, their objection should normally be honoured.

9. The councillor should not pass on personal information which is not connected to the resident's case.

Example

A resident asks one of the councillors in a multi-member ward for help about teenagers acting in an intimidating way in the area. The councillor wishes to share the resident's complaint with the other ward councillors because it is an issue of general concern.

The councillor lets the resident know that he wants to give the details of their complaint to the other ward councillors and why he wants to do that, rather than giving a general description of the complaint to other ward councillors.

If the resident objects, then his wishes are respected and only the general nature of the complaint is shared.

Notification

10. In considering whether they need to register their processing with the Commissioner, councillors must first decide in which role they are processing personal information:

    - **As a member of the council**

    Councillors may have access to, and process, personal information in the same way as employees. In this case it is the council rather than the councillor that determines what personal information is used for and how it is processed. For example, if a member of a housing committee has access to tenancy files to consider whether the local authority should proceed with an eviction, the councillor is carrying out the local authority's functions and so does not need to register in their own right.

    - **As a representative of the residents of their ward**

    When councillors represent residents of their ward, they are likely to have to register in their own right. For example, if they use personal information to timetable surgery appointments or take forward complaints made by local residents.

    - **As a representative of a political party**

    When acting on behalf of a political party, for instance as an office holder, councillors are entitled to rely upon the registration made by the party.

    When individuals campaign on behalf of political parties to be the councillor for a particular ward, they can rely on the parties' registration if the party determines how and why the personal information is processed for the purpose of their individual campaigns.

    If a prospective councillor is not part of any political party but campaigning to be an independent councillor for a particular ward, they need to have their own registration.

11. There is an exemption from registration where the only personal information which is processed takes the form of paper records.

12. A standard form for registration by councillors has been created to simplify the procedure.

Offences

13. The DPA contains a number of criminal offences, including:

    - Failure to register when required to do so. For example, a councillor who holds computerised records of residents' details for casework purposes would commit an offence if they had not registered this use of personal information.

    - Making unauthorised disclosures of personal information. For example, a councillor who discloses personal information held by the council to their party for electioneering purposes without the council's consent could commit an offence.

    - Procuring unauthorised disclosures of personal information. For example, a councillor who obtains a copy of personal information apparently for council purposes, but in reality for their own personal use (or the use of their party), is likely to have committed an offence.

Security

14. Councillors should be aware that they need to arrange for appropriate security to protect personal information. They must take into account the nature of the information and the harm that can result. They should consider what technical and organisational measures, such as use of passwords, computer access privileges, procedures and staff training, are appropriate to keep the information safe. Councils should also take appropriate measures in the same way.

More information

15. Additional guidance is available on our guidance pages if you need further information on other parts of the DPA.

16. If you need any more information about this or any other aspect of data protection, please contact us, or visit our website at www.ico.org.uk.

Report on	Planning System replacement
Reporting Officer	Barry O'Hagan
Contact Officer	Barry O'Hagan

Is this report restricted for confidential business? If 'Yes', confirm below the exempt information category relied upon	Yes	
	No	x

1.0	**Purpose of Report**
1.1	To inform Council on the progress to date regarding the replacement of the Planning Portal system.
2.0	**Background**
2.1	The NI Planning Portal (NIPP) system, which is used by the 11 councils, is a Department for Communities system which predated local government reform on 1 April 2015.
2.2	The contract for the maintenance and support of this contract ends in March 2019.
2.3	Members will be aware that discussions have been continuing between councils and the DfC regarding the replacement of this system.
3.0	**Main Report**
	Plan and progress for identifying a new planning IT system.
3.1	The Discovery exercise has identified the key IT requirements of a new planning system and a potential recommended (at this time) solution.
3.2	At this stage it is envisaged that the new system will also include property certificates; however this will need to be confirmed prior to formal commissioning of any solution.
3.3	The Discovery phase also identified the following potential business solutions: • One shared IT system that is collectively managed / controlled • One shared IT system that is collectively managed / controlled but with local (district council and Department) control for specific functions • One shared public facing IT system with multiple independent back-office IT systems for each local district council and the Department • Twelve standalone IT systems – one for each local district council and the Department
3.4	The various potential solution options identified are summarised in appendix 1. Consideration of these options has resulted in the conclusion that option 2, a Shared system with local (district council and Department) control, provides the best technical solution for the twelve authorities. This solution provides the flexibility to meet all the requirements notified to date without having to compromise on user experience.

3.5	The second phase of this project will involve the development of a formal business case including the detailed analysis of costs, benefits, risks and value for money of the options above. The business case will be prepared by PA Consulting Group.
3.6	Whilst the initial discovery research has identified the preferred development of a bespoke system this potential recommendation will be subject to market testing with existing suppliers and costs analysis. (see appendix 2: business case development: New planning IT system for NI).
3.7	As part of the business case, the consultants will be working with central and local government to identify the costs, potential savings and benefits of a new IT system. This will include meeting up to 13 potential IT suppliers during the first two weeks in December, as part of a market sounding exercise.
3.8	The consultants will use this information as well as the outcomes from Discovery to identify potential options for a new planning IT system or systems. A long list of options will be considered and sifted to produce a short list. The criteria used for sifting these options will be developed in the coming weeks. This will include the potential suitability of these options, such as the functionality of the proposal, as well as the feasibility of implementation with issues such as data migration and timescales for implementation.
3.9	The shortlisted options will then be appraised using HMT Green Book guidance and the Northern Ireland Guide to Expenditure Appraisal and Evaluation. The key elements of this appraisal are outlined below and will be developed further during December to reflect the feedback from the market sounding exercise: • estimate the monetary costs and benefits; • identify and compare non-monetary benefits (such as usability by staff and public); • risk assessment; • outline affordability and funding considerations; and • plan for the project to be appropriately monitored, managed and evaluated.
3.10	The intended outcome is for PA Consulting Group to develop a business case that will provide an impartial assessment of the available options which will identify a preferred option for a new planning IT solution, and recommend arrangements for implementation of this preferred option. The business case will then be considered by each of the councils and the Department to agree a way forward.
3.11	Within the discovery phase data migration from the legacy system has been addressed separately. (Appendix 2: data migration)
3.12	It is envisaged that the business case will enable the councils and the Department to make an informed decision on how best to take the project forward in January /Feb 2018.
4.0	**Other Considerations**
4.1	**<u>Financial & Human Resources Implications</u>** Financial: Each council and the Department have agreed to contribute to the Discovery phase and formulation of the business case in the amount of £12,000. The officers have been informed that the work to date has only cost £2,000. Very indicative costs (without any market testing) from the discovery stage (as per Deloitte) has indicated that a bespoke system could cost £4-6m for the 12 authorities. The business case will consider this in more detail.

	To date the Department has not confirmed their approach to funding the replacement system.
4.2	**<u>Equality and Good Relations Implications</u>** Not applicable
4.3	**<u>Risk Management Implications</u>** The planning portal Governance Board continues to have representation from Council's Planning Manager and Head of IT system. The project and the potential risk to normal operations within Council's planning department will continue to be monitored closely during the progression of the business case and the commissioning and implementation of the new system. It is currently anticipated that the commissioning of any significant new system will require substantial software development and testing, which in turn will require the extension of the contract for the existing system to maintain the current planning portal beyond its scheduled expiry in March 2019.
5.0	**Recommendation(s)**
5.1	That Committee notes the above.
6.0	**Documents Attached & References**
	Appendix 1: Solution options Appendix 2: Data Migration

Solution Options

Introduction

A 12-week Discovery Phase has been completed to identify the scope of a new digitised planning service for Northern Ireland, to be used by both the Department and local government.

In addition to the identification of system requirements for a refreshed digitised planning service, an assessment has been completed on the Solution Options for Delivery. Throughout Discovery we have held several Solution Design Workshops with participants from DfI (NIPP Project Manager, Product Owners and DSB) and IT Subject Matter Experts from a number of Councils.

The following document summarises the findings from this exercise and our recommended Solution Option.

Please note, this document is part of a set of deliverables produced during Discovery which have been agreed with DfI and PPGB during mobilisation and reviewed throughout Discovery. The deliverables should be considered as a whole and in the context of the agile Discovery phase that was completed over 12 weeks involving DfI, Product Owners, PPGB and DSB. The full set of deliverables can be viewed here: Discovery Deliverables

Potential Solution Options Overview

Throughout Discovery we have considered 12 potential solution options and examined the feasibility of each option for delivery. This includes 4 high level solution options, each of which could be a Commercial Off The Shelf (COTS) product, a bespoke product or a hybrid product.

	Shared System with Centralised control	Shared System with Local Control	Shared Planning Permission Application Portal with Individual Decision Making Systems for each Authority	Individual Planning Permission Portals for each Authority
COTS	✔	✔	✔	✔
Bespoke	✔	✔	✔	✔
Hybrid	✔	✔	✔	✔

The following section provides an overview of these 4 high level solution options together with an analysis of each option against the following key criteria:

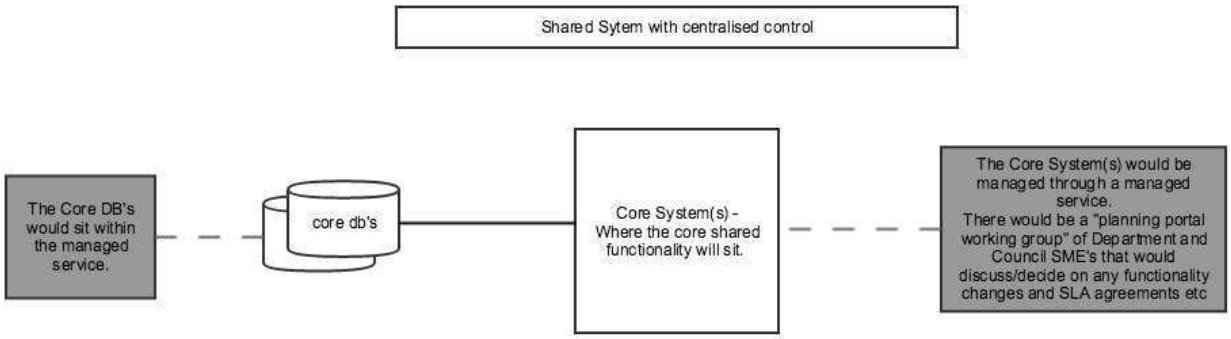
- **Governance:** the ease with which the new system can be managed during the implementation and operation phases
- **Functional Requirements:** the ability to meet the functional requirements established during the Discovery Phase
- **Integration:** the need for the user to have a full view of all planning data to inform high quality planning processes
- **User Experience:** the quality of the user experience
- **Support:** the ease with which the new system can be supported
- **Reporting & MIS:** the ability of the system to produce the required reports and MIS as defined in the Discovery Phase
- **Mapping / GIS:** the ability of the system to integrate with existing GIS data layers
- **Data Migration:** the ease with which data can be migrated from the existing system to a new planning system(s)

Following this analysis, a recommended solution option has been put forward that best fits the project's requirements.

Option 1: Shared System with Centralised control

This option is a shared system where each authority has to agree before any changes are made to functionality, releases etc. Each authority will share the same templates, reports, workflow etc and these can only be updated if full agreement from each authority (or an agreed %) is given.

High Level Design



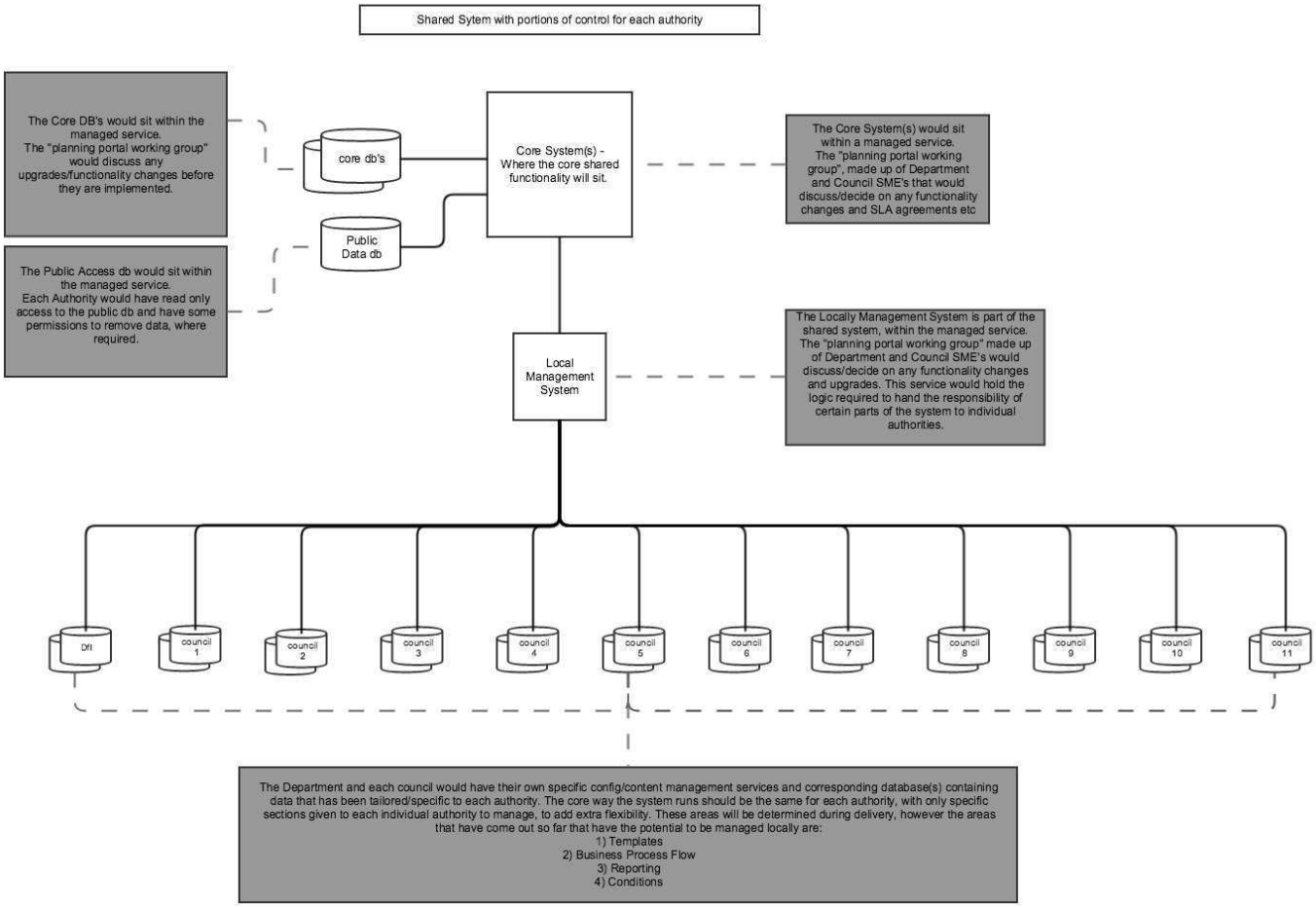
Advantages and Disadvantages

Criteria	Advantages	Disadvantages
Governance	Assumes a coordinated and cohesive governance model with each authority working together to continuously improve the planning service in Northern Ireland.	
Governance		Potentially lengthy change control/support – Everything needs to go through the change process and all changes need to be fully agreed by all 12 authorities (or agreed %) before any changes to the system can be made.
Functional Requirements	Efficiencies and economies of scale can be derived from implementing a shared system which satisfies a large number of business requirements.	Lack of flexibility to facilitate individual authority requirements.
Integration	A shared system provides more straight forward integration allowing all planning officers to access a full history of each site, regardless of which authority the site sits within, or how many authorities the site in question sits across.	
Integration	Cross-authority dependencies - Property Certs & called-in applications will be able to gain access to data via one central source, rather than having to integrate with multiple systems and data sources	
User Experience	Consistent user experience for each user group - system offers one central hub to access for public to search for applications, applicants to apply (Planning Agents account for c80% of applicants so this is particularly important), consultees to view and respond to consultations and a consistent approach for planning officers.	May not necessarily be a positive user experience for the planning officers due to restrictions in the user experience of manually updating templates, reports etc without the ability to save these changes for future use.
Support	Aligned to a single support model: one system to maintain and manage (through one managed service contract) leading to increased efficiency as changes / updates can be performed centrally.	One size fits all Service Level Agreement: each Authority would have a level of influence over the SLA, but it would be agreed across all authorities offering no flexibility.
Reporting & MIS	DfI will have access to statistical reporting & MIS in order to perform their oversight role effectively (multiple systems and data sources would require additional effort and complexity to gain access to the required data and information)	
Mapping / GIS	A shared system caters for a unified approach and service agreement with a mapping / GIS provider.	
Data Migration	Caters for a more straight-forward data migration given the architecture of a shared system.	

Option 2: Shared system with local control

This solution option is a shared service, but provides flexibility for some of the functionality to be managed by each individual authority. These individual aspects, such as templates, reporting and planning conditions can be customised by each authority, with each authority holding the responsibility to update and maintain them as they desire.

High Level Design



Advantages and Disadvantages

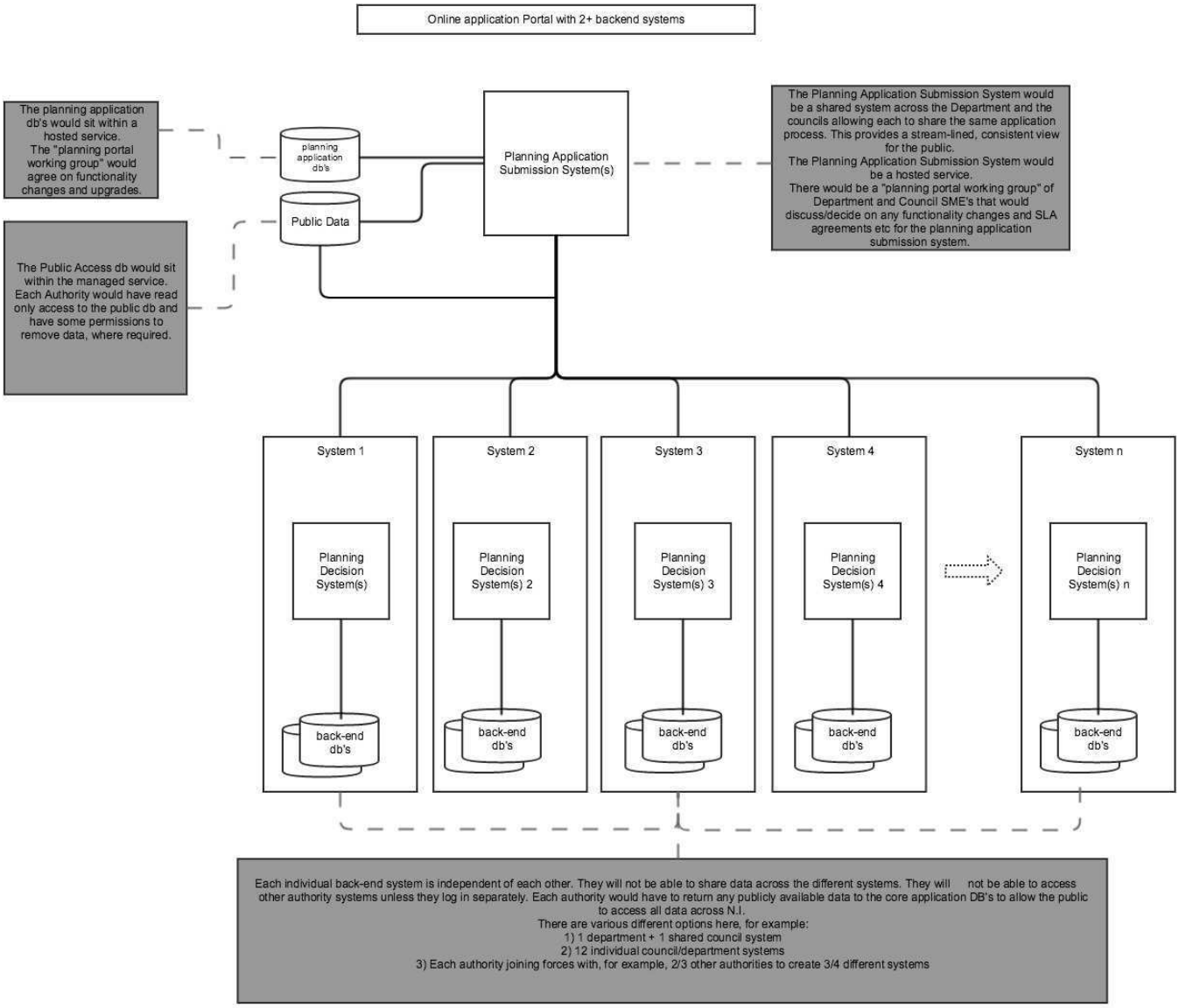
Criteria	Advantages	Disadvantages
Governance	Assumes a coordinated and cohesive governance model with each authority working together to continuously improve the planning service in Northern Ireland.	
Governance / Support		Each authority will be responsible for maintaining and updating their own agreed parts of the system, which may require additional resources
Governance / Support		Difficulty in agreeing a common level of local control that each authority will have and agreeing this across all authorities.

Governance / Support		This option is potentially more complex to manage and maintain that Option 1, if strict control is not maintained on the level of flexibility i.e. if flexibility is offered around core aspects of the system.
Integration	A shared system provides more straightforward integration allowing all planning officers to access a full history of each site, regardless of which authority the site sits within, or how many authorities the site sits across.	
Integration	Cross-authority dependencies - Property Certs & called-in applications will be able to gain access to data via one central source, rather than having to integrate with multiple systems and data sources.	
Functional Requirements	Flexible to the individual authority requirements.	
Functional Requirements	Record deletion and content/configuration changes can be managed quickly and easily by each individual authority.	
Functional Requirements	Efficiencies and economies of scale can be derived from implementing a shared system which satisfies the business requirements.	
User Experience	Consistent user experience for each user group - System offers one central hub to access for public to search for applications, applicants to apply (Agents are ~80% of applicants so this is particularly important), consultees to view and respond to consultations and a consistent approach for the planning officers.	
Reporting & MIS	DfI will have access to Statistical Reporting & MIS in order to perform their oversight role effectively (multiple systems and data sources would require additional effort and complexity to gain access to the required data and information).	
Mapping / GIS	A shared system caters for a unified approach and service agreement with a mapping / GIS provider.	
Support	One system to maintain and manage (through one managed service contract) leading to increased efficiency as changes / updates can be performed centrally.	
Data Migration	Caters for a more straight-forward data migration given the architectural design of a shared system.	

Option 3: Shared Portal for online applications and individual Authority/Department systems

This solution option is for a single shared portal that handles planning permission submission for all applicants, with each individual authority responsible for their own decision making system that integrates into the online application system. These individual systems manage the application from the point of submission to approval/refusal.

High Level Design



Advantages and Disadvantages

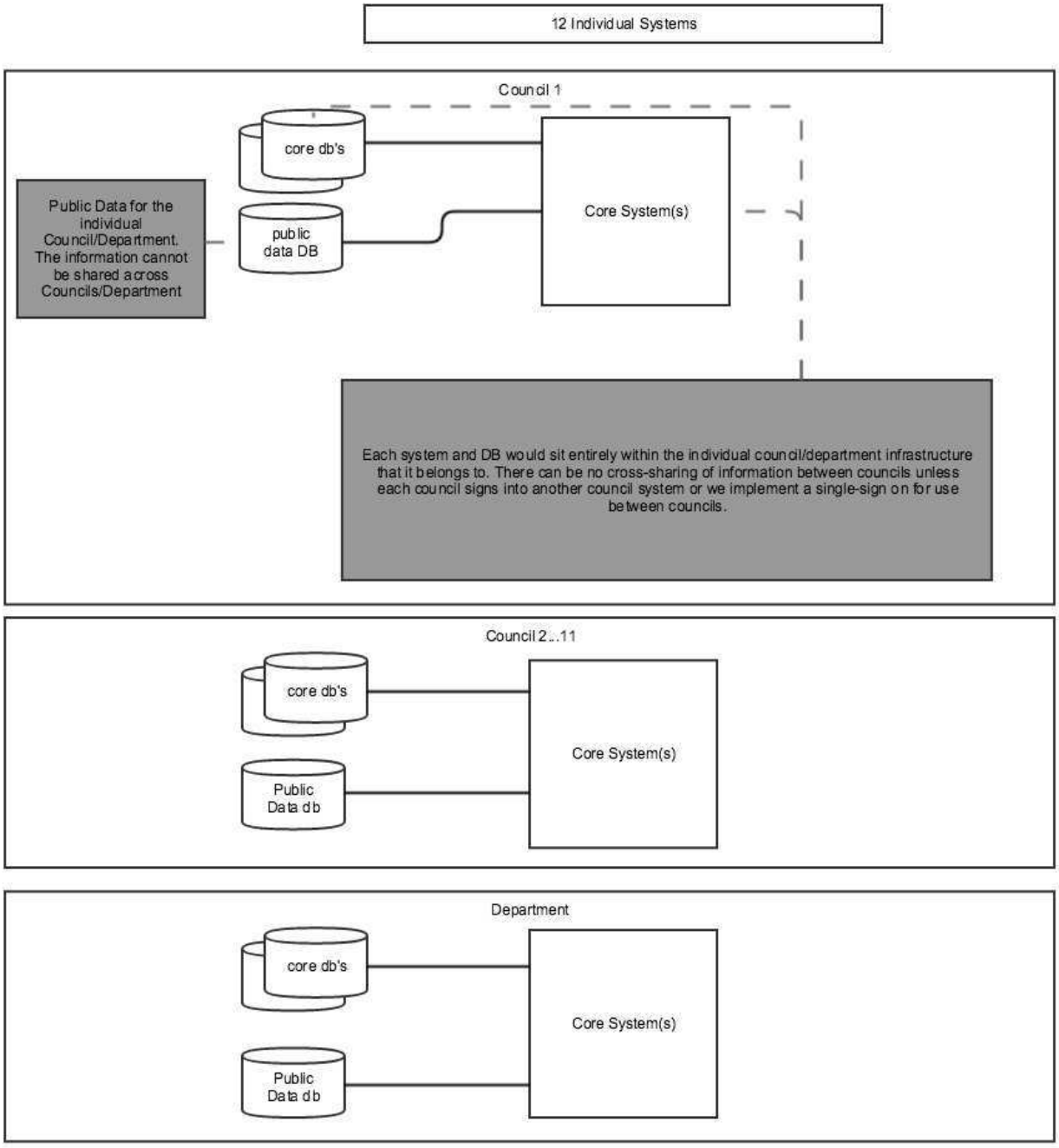
Criteria	Advantages	Disadvantages
Governance		Unclear governance implications e.g. central governance for front-end and multiple governance groups for multiple back-end systems? These would need to be agreed by each authority.
Governance	Each authority has the flexibility to implement their own systems from the point of application submission.	Potential for lack of consistency between each authority in the validity, assessment and decision making processes.
User Experience	Consistent user experience for public users as applicants have one common system to submit planning permission application forms.	
User Experience	Consistent planning permission application process across NI.	
Functional Requirements		Diseconomies of scale to build multiple systems for the same set of core requirements.

Integration		Increased complexity for cross-sharing of data between systems - planning officers will only be able to view the history on sites that sit within their authorities, rather than being able to view a full history of each site within a single system. Would have to implement workarounds for accessing data from other authorities that would be more costly and complex.
Integration		Multiple back-end systems mean that back-end processes are at risk of becoming out of sync e.g. consultees would have to log into different back-end systems and may experience inconsistencies depending on application boundaries and business processes adopted by individual authorities.
Integration		Increased complexity for future system integrations e.g. Building Control, DAERA etc.
Delivery Dependencies		Potentially multiple providers for delivery, increasing overall delivery dependencies and risk.
Data Migration		Significant complexity and effort required to migrate data into multiple back-end systems with different target data architectures and data validation rules.
Reporting & MIS		Significant integration effort will be required to integrate multiple systems and data sources in order to provide DfI access to Statistical Reporting & MIS in order to perform their oversight role effectively.
Mapping / GIS		Does not cater for a unified approach and service agreement with a mapping / GIS provider, therefore each authority may be required to negotiate their own mapping supplier and / or approach for integrating mapping functionality.

Option 4: 12 individual systems

Each authority would have their own planning portal (up to 12 in total) and be responsible for the planning applications within their Council, with the Department responsible for any regionally significant applications and any major applications, where applicable. Applicants would have to apply to the correct authority in order for their application to be taken into consideration as each authority would have their own online planning application portal, totally separate from the other authorities.

High Level Design



Advantages and Disadvantages

Criteria	Advantages	Disadvantages
Governance		Unclear governance implications e.g. will each authority have their own governance e.g. how will the Department retain oversight and discuss any issues that affect all authorities?
Governance		Unclear mechanism for cohesion / coordination / collaboration between each authority.

User Experience		No common system for the public to submit planning applications - causing an inconsistent and potentially confusing user experience.
User Experience		Public has to access 12 individual systems to search for public data across NI rather than through a single planning hub.
User Experience		Consultees and Agents have to access 12 individual and potentially different systems.
Functional Requirements	Full flexibility over how each authority implements their system including the ability to tailor their own individual 'branding'.	
Functional Requirements		Diseconomies of scale to build multiple systems for the same core set of requirements.
Reporting & MIS		Difficult and costly to share data between authorities.
Reporting & MIS		Difficult for Planning Officers accessing all essential planning data - i.e have to contact other authorities to get all of the necessary data to make fully informed decisions.
Integration		Increased complexity for cross-sharing of data between systems - planning officers will only be able to view the history on sites that sit within their authorities, rather than being able to view a full history of each site
Integration		Increased complexity for future integrations e.g. Building Control, DAERA etc.
Delivery Dependencies		Potentially multiple providers for delivery, increasing overall delivery dependencies and risk.
Data Migration		Significant complexity and effort required to migrate data into multiple systems.
Reporting & MIS		Significant integration effort will be required to integrate multiple systems and data sources in order to provide DfI access to Statistical Reporting & MIS in order to perform their oversight role effectively.
Mapping / GIS		Does not cater for a unified approach and service agreement with a mapping / GIS provider, therefore each authority may be required to negotiate their own mapping supplier and / or approach for integrating mapping functionality.

Analysis of 4 Solution Options

Functional Requirements

The following table shows the requirements that each option **will not** fulfil (see Appendix for full details).

Option 1	
There are 20 User Stories that will not be fulfilled with this system	**Option 2**
20 issues	Meets all MVP Requirements gathered

Option 3	Option 4
There are 33 User Stories that will not be fulfilled with this system 33 issues	There are 27 User Stories that will not be fulfilled with this system 27 issues

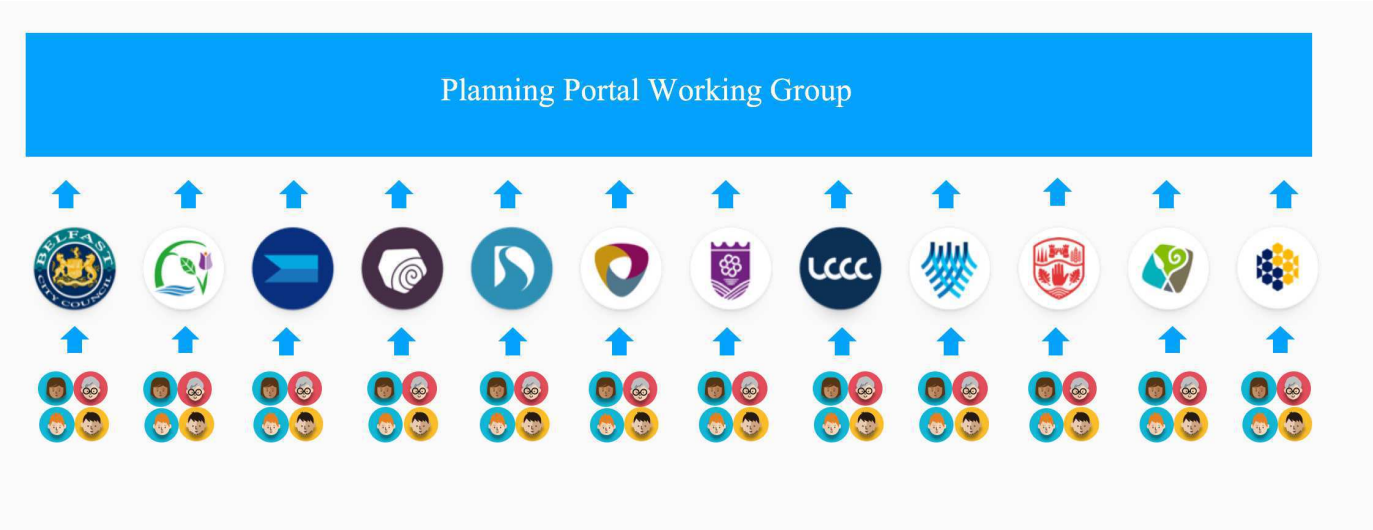
User Experience

Option 1	Option 2
This option provides a consistent user experience for the general public, consultees, agents & Property Certificates Unit. However, it does not provide a good user experience for the planning officers, due to the lack of control they will have around certain elements of functionality e.g. templates, user management.	This option provides a consistent user experience for the general public, planning officers, consultees, agents and Property Certificates Unit.
Option 3	**Option 4**
This option provides a consistent user experience for the general public and agents, providing one central place to apply for and submit planning applications. However, it does not provide a consistent way for consultees to view consultation requests across the different authorities. It also fails to provide a consistent user experience for Property Certificates.	This option does not provide consistent user experience for the general public, agents, planning officers or consultees. It does not provide a central place to apply for and submit planning applications. It also does not provide a consistent way for consultees to view consultation requests across the different authorities. Finally, it fails to provide a consistent user experience for Property Certificates.

Governance Structure and Service Management

Governance Structure

The governance structure proposed is a Planning Portal Working Group. The Working Group will be made up of members of all authorities. Four user groups have been identified through the User Experience work (see more details within the User Experience Deliverable) carried out as part of the Discovery. It has been assumed that each authority will maintain these groups and use them to provide insight into the current operation and future development of the system. This can then be fed into the Planning Portal Working group. The diagram below outlines how this might operate in practice.



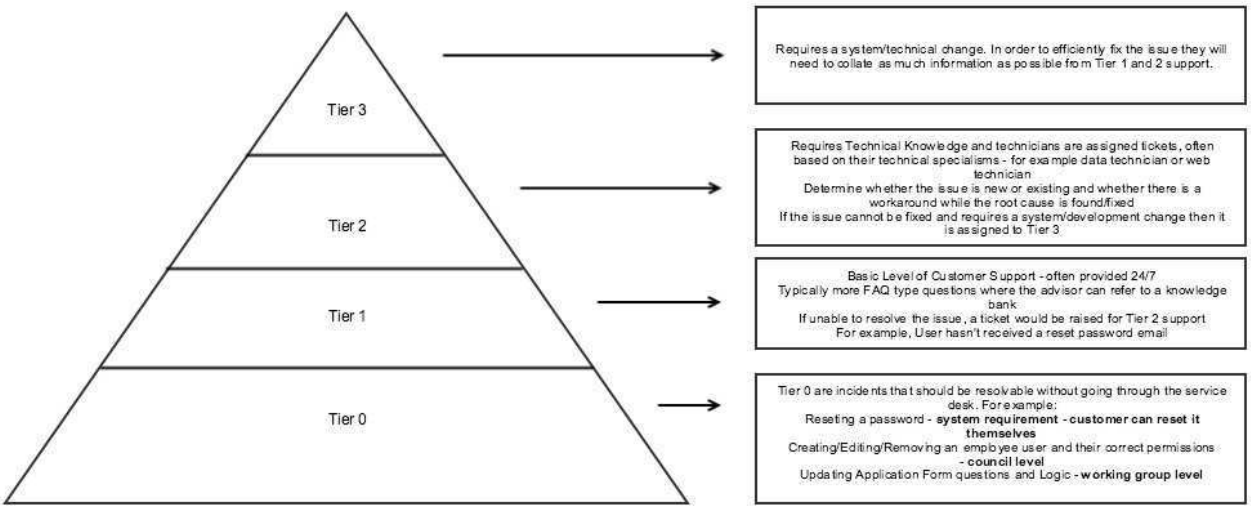
The authorities have asked for several elements of 'self-service' in a replacement Planning Portal, which will provide them with additional control and reduce the reliance on a centralised service desk model.

These findings can be grouped into 3 categories:

- Authority Control – system features that authorities have asked for more control over i.e. the ability to perform these functions without the need for a centralised service desk
- System Managed– system features that can be provided by offering enhanced system functionality
- Managed Service – System features that authorities are content to be provided centrally by a managed service function

Authority Control	System Managed	Managed Service
Create, edit and delete new users and their permissions	Reset passwords	Defect fixes
Delete Consultations sent in error	Advanced search functionality	Functionality updates
Report Design - functionality for defining custom reports		Database restoration/updates
Delete data / documents added to public data-store incorrectly/by accident		Disaster recovery
Customise templates		Contract Management
		Global Performance Statistics

From these findings we have outlined the below the High Level Service Management Model (to be refined in detail during Delivery):



Data Migration

See Data Migration for summary of data migration options, recommendation and estimated cost. The table below summarises what the data migration options are for each solution option.

Option 1 Big Bang Phased by Authority - recommended	**Option 2** Big Bang Phased by Authority - recommended
Option 3 Big Bang - as each system needs to turned on at the same time in order to use the shared online application portal.	**Option 4** Big Bang - each Authority would move data to their own system. Therefore, the only option here is to implement a Big Bang approach

Conclusions

The table below outlines where each solution option does/does not meet the requirements that we have gathered over the last 12 weeks. Based on the analysis we have undertaken, we believe that Option 2: Shared system with local control provides the best technical solution for the twelve authorities. It provides the flexibility to meet all requirements gathered without having to compromise on user experience. A detailed analysis of the costs, benefits, risks and Value for Money of these options will need to be tested through the development of an Outline Business Case.

- **Governance:** the ease with which the new system can be managed during the implementation and operation phases
- **Functional Requirements:** the ability to meet the functional requirements established during the Discovery Phase
- **Integration:** the need for the user to have a full view of all planning data to inform high quality planning processes
- **User Experience:** the quality of the user experience
- **Support:** the ease with which the new system can be supported
- **Reporting & MIS:** the ability of the system to produce the required reports and MIS as defined in the Discovery Phase
- **Mapping / GIS:** the ability of the system to integrate with existing GIS data layers
- **Data Migration:** the ease with which data can be migrated from the existing system to a new planning system(s)

	Option 1 - Shared System with Centralised control	Option 2 - Shared system with local control	Option 3 - Shared portal for online applications and individual Authority/Department systems	Option 4 - 12 individual systems
Governance	✓✓	✓✓✓	✗✗	✗✗
Functional Requirements	✓	✓✓✓	✗	✗✗✗
Integration	✓✓✓	✓✓✓	✗✗	✗✗✗
User Experience	✓	✓✓✓	✓	✗✗✗
Support	✓✓	✓	✗	✗
Reporting & MIS	✓✓	✓✓✓	✗	✗✗
Mapping / GIS	✓✓✓	✓✓✓	✗	✗✗
Data Migration	✓✓✓	✓✓✓	✗✗	✗✗

Off the Shelf vs Bespoke vs Hybrid

Once we established which solution option we believe best met the requirements gathered for a new planning portal, we looked at whether this system would be best implemented as a Commercial Off The Shelf (COTS) solution, a bespoke solution or a hybrid solution. Below we have outlined a definition of each and some of the advantages and disadvantages that should be taken into consideration when assessing which option is most appropriate.

Commercial Off The Shelf

A COTS solution is a product that already exists and is fully functional. It is generally made up of a common set of functionality, ideal for a broad business requirement such as a building a general planning portal. A COTS solution has the ability to be customised or extended, however that comes with both its benefits and limitations depending on how these changes are implemented (see Hybrid option below). A COTS solution rarely matches 100% of the business requirements, but should aim to satisfy around 80% of the requirements. The business can then either agree that they are happy that 20% of the requirements will not be satisfied or customise the solution so that it meets 100% of all requirements - this becomes a hybrid solution.

Advantages and Disadvantages

Advantages	Disadvantages

Lower initial costs - a COTS product will cost comparatively less initially than a Hybrid/Bespoke product	System may be over-complicated for the needs of the business - it may provide more functionality than is required and used by the authorities
May be easier to implement than a Bespoke or Hybrid solution option	Solution may be written in legacy language making it difficult to update and upgrade
Potential for lower training costs - often a COTS product is well supported with strong documentation	Potential to drift into a Hybrid solution if the service provider/client does not have strong control over requirements
Faster to implement - As no bespoke development is done, a COTS product will be compartively faster to implement than a Hybrid or Bespoke solution	Business may have to change their requirements or business processes to fit the COTS product - we believe that the best approach is to find a solution that meets the business needs, rather than fit the business needs into a chosen solution (Business led rather than technology led)
Supported by the managed service provider - as the solution will be a managed service regardless of the solution option, this is an advantage of each solution option examined	May not meet 100% of requirements - therefore the business will have to compromise on what the solution offers
	Lack of Flexibility - The solution will only offer what the product offers and the business will have to rigidly stick to this

Bespoke

A Bespoke solution is a solution that has been built from the ground up to specifically suit a particular set of business requirements. It is tailor made to work exactly with a client's functional and non functional requirements. A Bespoke solution can be updated and upgraded when required due to new functionality or legislative requirements.

Advantages and Disadvantages

Advantages	Disadvantages
Designed to meet all business requirements so provides the business with exactly what they want	Longer to develop than a COTS solution - as the system has to be built for a particular client, it will take longer to initially build than a COTS solution
Business led rather than technology led - the solution is designed around the business requirements rather than the business having to sacrifice requirements based on what the solution can offer	Often more expensive up-front costs than a COTS solution. However, if you decide to develop the COTS product in the future, this can often cost more in the long run.
Integration ease - A bespoke solution can be built to integrate with whichever systems it needs to	Can be difficult to maintain if the right expertise is not available - As all solution options will be managed through a managed service this should not be an issue, providing the managed service has the required expertise
Efficient workflow	If not properly planned, specified and designed, costs and time can escalate
Easy to use - If built optimally a bespoke solution can offer a great user experience making it easy and intuitive to use for all user groups	Risk of over-engineering - Does every part of the system need to be a bespoke build?
Flexibility - the solution can be updated and upgraded whenever it is required, offering a flexible system	

Hybrid

A Hybrid solution aims to offer the best of both world - a COTS solution with modifications to give the flexibility and customisation of a bespoke system.

The main focus with a hybrid solution is on the COTS solution and what functionality it does and does not offer and which business requirements it fulfils. The aim is to find a COTS solution that satisfies the maximum requirements and then add customisations to fill the gaps in the requirements.

Advantages and Disadvantages

Advantages	Disadvantages
Often quicker to implement than Bespoke option as part of the system is an COTS product and so already built.	Have to pay to maintain both COTS product and the bespoke customisations or manage these in-house
Depending on level of customisation, a hybrid solution is often cheaper than a bespoke option (heavily dependant on how much customisation is required).	Reliant on COTS solution to integrate the bespoke customisations
Agility - can update the COTS product without waiting for the vendor to release new versions of the product - however, need to be aware of the consequences of doing this and whether you will lose support for the COTS product by doing this.	Licensing restrictions controlling the customisations and interactions with the COTS system
'Best of Breed' functionality - allows the client to use the best of each COTS product to build the end solution	Risk loss of support from Vendor if patches/customisations are made to core system
	Risk of drifting into Bespoke

Recommendation

Taking into account all of the functional requirements, the user experience requirements and a thorough analysis of each solution option, we believe that a bespoke system would best fulfil the requirements gathered through the discovery. The requirements are complex and differ from what we know existing products offer. However, we recommend that a market sounding activity is carried out to find out more about the specific planning portal products on the market.

Implementation Time and Cost

For Delivery, we propose an 18-month implementation categorised into 4 main phases:

- Phase 1 – Discovery & Alpha: The Discovery phase will review Product Backlog Prioritisation and define the Solution Architecture & Infrastructure requirements. The Alpha phase will build core screens from the Online Application flow and test key integrations & technical assumptions.
- Phase 2 – Beta 1 – Online Applications: This phase will complete a private BETA focusing on the Online Application Journey.
- Phase 3 – Beta 2 – Operational Journeys: This phase will complete all remaining MVP requirements and facilitate go-live for the new solution.
- Phase 4 – Post MVP: This phase will deliver non-MVP functionality as per Product Backlog Prioritisation.

The following plan outlines how these phases will be delivered and highlights key activities and milestones:

Indicative costs to deliver this programme are as follows:

No.	Phases	Indicative Cost Range
1	MVP Requirements (Phases 1, 2 & 3)	£4 - 6m
2	MVP & Non-MVP Requirements (Phases 1, 2, 3 & 4)	£6 - 9m

Costs are based on the following team profiles / resource model assumptions:

Discovery Phase – 4-week duration:

Management	UX
Delivery Partner - Part Time	UX x 2
Delivery Lead - Part Time	
Tech Lead	
UX Lead	
BA Lead	
Test Lead	
Cloud Architect	
DevOps/Cloud Engineering lead	
PMO	
Security / Compliance	

Alpha Phase – 8-week duration

Management	Team 1 (light)	Team 2 (light)	UX Alpha
Delivery Partner - Part Time	BA x 1	BA x 1	UX x 2 [1x interaction designer, 1x content designer]
Delivery Lead - Part Time	Developer x 2	Developer x 2	
Tech Lead			
UX Lead - research expert			
BA Lead			
Test Lead			
DevOps lead			
PMO			
Cloud Architect			
Security / Compliance			
Managed Service Architect			

Beta 1 Private beta - Online Applications – 16-week duration

Management	Team 1	Team 2	Team 3
Delivery Partner - Part Time	BA x 1	BA x 1	BA x 1
Delivery Lead - Part Time	Developer x 3	Developer x 3	Developer x 2
Tech Lead	Test x 1	Test x 1	Test x 1
UX Lead	UX x 1	DevOps x 1	UX x 1
Test Lead	DevOps x 1		DevOps x 1
Performance Test Engineer			
BA Lead			
DevOps/Cloud Engineering lead			
PMO			
Cloud Architect			
Security / Compliance			
Managed Service Transition Manager			
Managed Service Architect - Part Time			
Managed Service Tooling Engineer - Part Time			

Beta 2 - Remaining MVP Functionality 20-week duration

Management	Team 1	Team 2	Team 3
Delivery Partner - Part Time	BA x 1	BA x 1	BA x 1
Delivery Lead - Part Time	Developer x 3	Developer x 3	Developer x 2
Tech Lead	Test x 1	Test x 1	Test x 1
UX Lead	UX x 1	DevOps x 1	UX x 1
Test Lead	DevOps x 1		DevOps x 1
Performance Test Engineer			
BA Lead			
DevOps/Cloud Engineering lead			
PMO			
Cloud Architect			
Security / Compliance			
Managed Service Transition Manager	Managed Service Transition Analyst		

Non-MVP Functionality - 24-week duration

Management	Team 1	Team 2	Team 3
Delivery Partner - Part Time	BA x 1	BA x 1	BA x 1
Delivery Lead - Part Time	Developer x 3	Developer x 3	Developer x 2
Tech Lead	Test x 1	Test x 1	Test x 1
UX Lead	UX x 1	DevOps x 1	UX x 1
Test Lead	DevOps x 1		DevOps x 1
Performance Test Engineer			
BA Lead			
DevOps/Cloud Engineering lead			
PMO			
Cloud Architect			
Security / Compliance			

Additional Assumptions:

- Indicative costs do not include specific software licencing costs. These will need to be reviewed once the architectural design is complete and solution components are confirmed.

- Indicative costs do not include Environment / Infrastructure costs. These will need to be reviewed once the architectural design is complete and the preferred method of hosting is agreed e.g. cloud/on premise or hybrid model. The potential to host the solution with the Public Sector Shared Data Centre should also be considered.
- Indicative costs do not include ongoing Service Management / Run costs. These will need to be negotiated with the supplier once a programme governance model is confirmed and a solution design has been confirmed.

Solution Design Assumptions

Several Solution Design Assumptions were identified during the Solution Design workshops. These have been called out separately below for convenience.

Key Project Assumptions have been captured and shared with PPGB: Assumptions

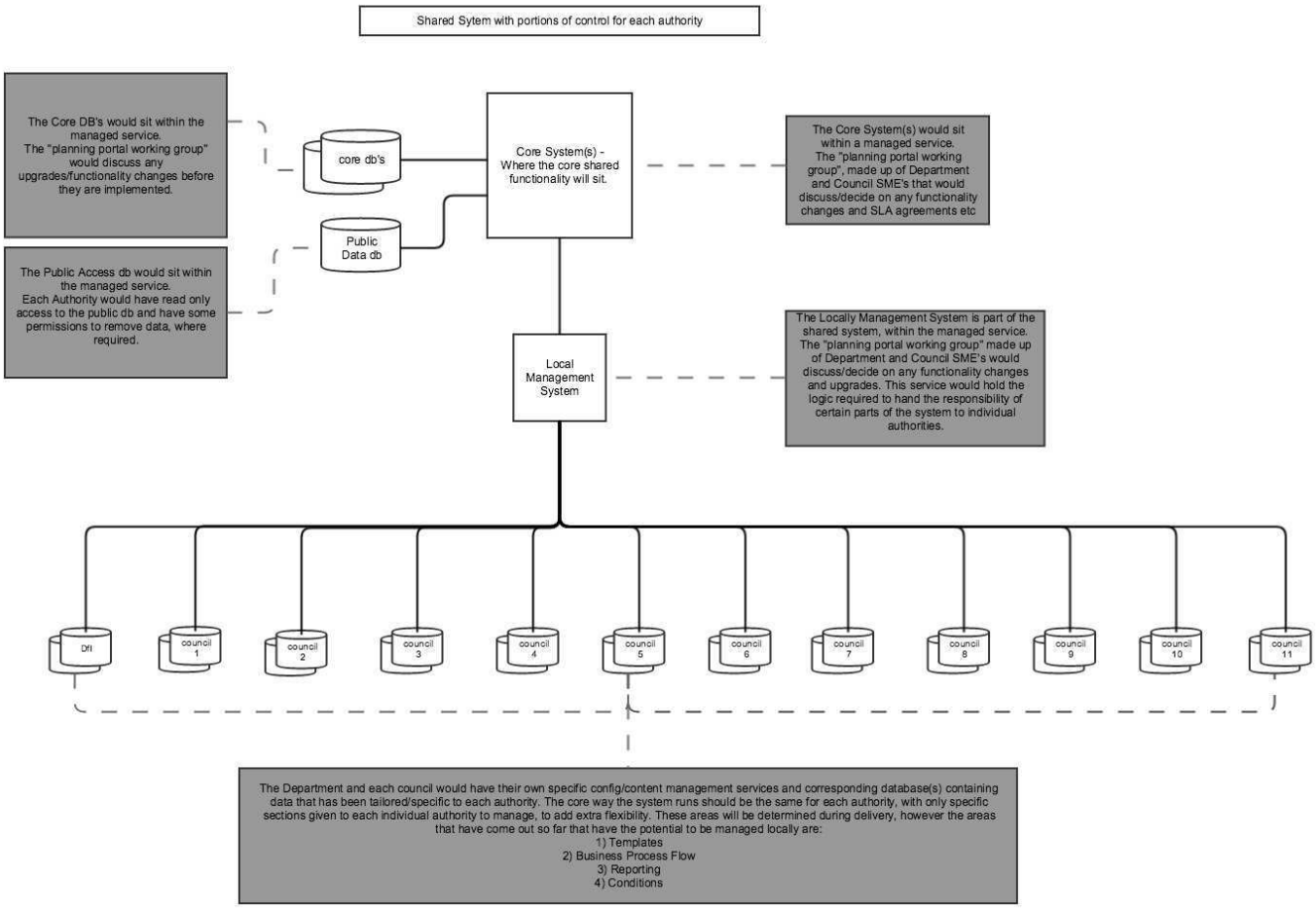
Functional Assumptions have also been captured for each Solution Theme: Themes

ID	Solution Design Assumptions
1	The application will be mobile friendly and responsive
2	The application will be AAA Accessible (or at least to the standard mandated collectively by the authorities)
3	The application process can be completed and submitted online
4	The application can be digitally signed
5	The department and local government will continue to accept offline applications
6	The official planning record will be digital
7	The GIS base maps will be positionally improved prior to implementation of a replacement Planning Portal
8	The application will adhere to security industry standards
9	The solution will be a managed service
10	Data will be cleansed before it is migrated
11	The solution will cater for new GDPR regulations coming into effect in 2018.
12	The Authorities would access the planning portal through VPN access
13	Users will be required to use multi-factor authentication to access the system

Recommended Option

Below is a more detailed look at what the recommended option could look like, from high level design to a potential architecture and a series a sequence diagram showing the journey the data takes through the system to provide a consistent user experience for the users.

High Level Design



Proposed Architecture

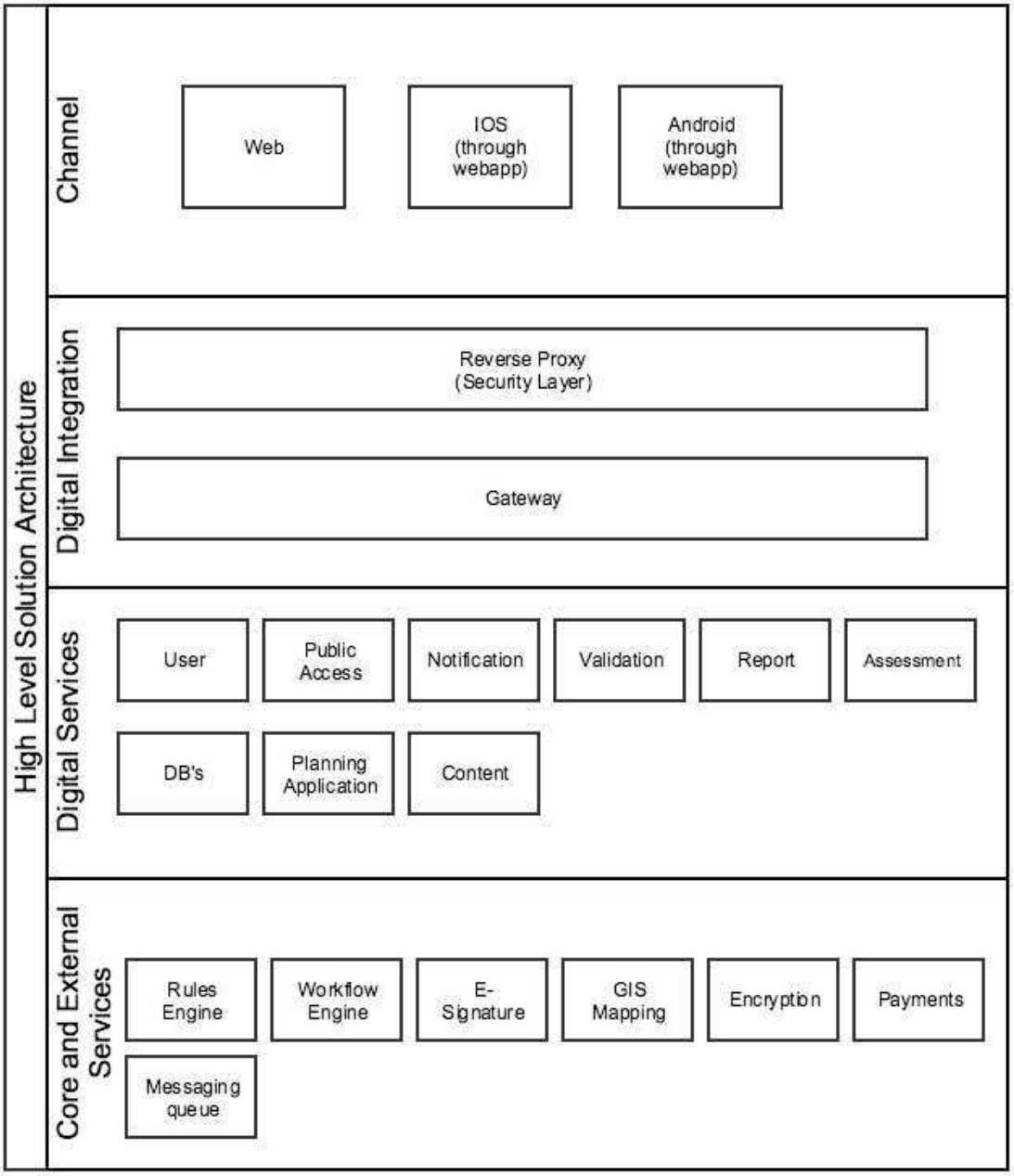
Solution Architecture

The target solution architecture is still evolving and the choices of components and technologies will continue to evolve through the early stages of delivery with the delivery team. The delivery team should shape the detailed solution architecture, and have the breadth of skills to be able to adapt as it evolves.

The front end apps (iOS, Android, and web, where applicable), are the tip of the iceberg. The effort expended on these these will focus on iterating and refining the user experience, rather than complex logic.

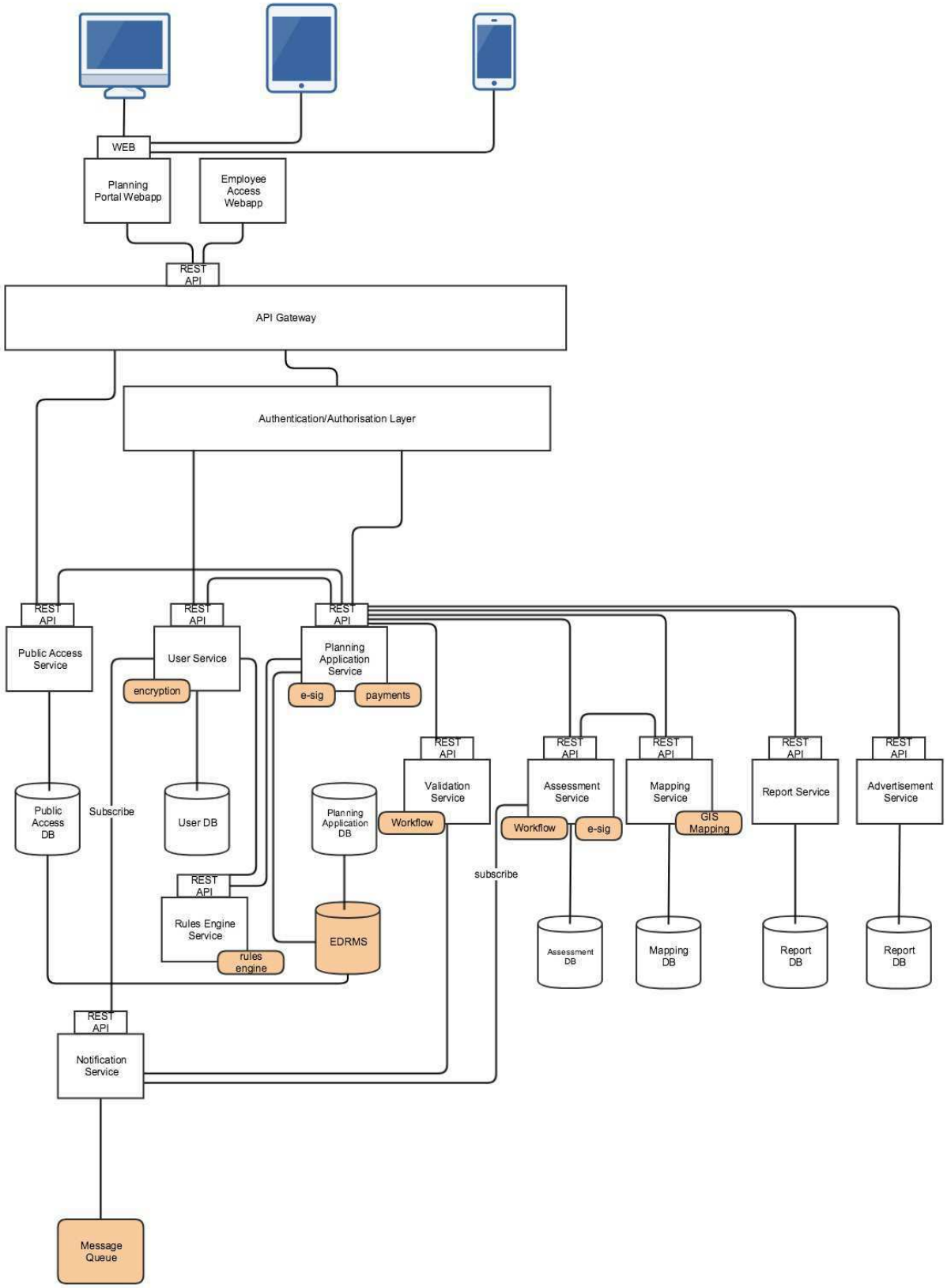
A shared gateway will expose APIs for the app and web clients to consume, secured behind an authenticating reverse proxy.Some elements will be best served with new off-the-shelf products. We expect the delivery team to support formal product selection to choose these.

Finally, a multitude of wholly new components will be required to support proposition-specific features.



High Level Technical Architecture

Below is outlined a potential high level technical architecture. This is an example of what the recommended solution could look like and is meant as guidance/suggestion only. The delivery team will outline, in detail, what the technical architecture of the new system will look like. The parts coloured in orange are the aspects of the system we envisage you should use 3rd party solutions for.



Component Breakdown

The below outlines how we have broken down the particular components illustrated above and what logic would sit within each service.

Public Access Webapp

The Public Access Webapp is the entry point to the Planning Portal for non employees of the authorities. For MVP we are only looking at a webapp, not native mobile apps. The reasoning behind this is that currently the different authorities do not believe that there is an appetite to submit planning permission applications on a mobile or tablet. However, as there is currently no online application process this may become a more viable requirement in the future.

Intranet

The intranet is the entry point for employees of the authorities. Again, this will only be a webapp as at this point the authorities do not have access to modern mobile/tablets for use at work. Some authorities are keen to see this evolved, however we believe that at this point a responsive webapp will suit the MVP needs of the authorities. There are requirements for the planning officers to access the planning portal while assessing an application, at the application site. We also need to consider the potential for offline assessment and image upload while on-site with limited internet connection.

API Gateway

The API Gateway provide the single entry point to the system. The API Gateway is responsible for request routing, composition, and protocol translation. All requests from clients first go through the API Gateway. It then routes requests to the appropriate micro-service.

Authentication Service

The Authentication Service is where a User is authenticated. This service ensures that a user has entered the correct credentials to view the part of the portal that they wish to view.

The Authentication Service is also used to validate if a user has an account or not.

The Authentication Service looks after Authentication (you are a valid user) and Authorisation (this user has the correct permissions to view this part of the portal).

User Service

The User Service is used for all logic in relation to the user, other than authentication. For example, the logic related to what applications a user is tracking, which applications they have started or submitted and the status of these.

This could potentially be split into multiple, smaller micro-services during delivery.

User DB

The User Database is where all the data related to the User is held. For example, the applications that a user is tracking, the User's profile information etc. Information on the status of a submitted application is not held here.

Public Access Service

The Public Access Service is where the logic for an unauthenticated (any member of the public) user's view of the portal lies. For example, the results of a search on an application. A new user can request to create an account from here.

Public Access DB

The Public Access DB stores all the data on applications that is ready for public consumption. This includes all data held in any public registers. This data is all redacted.

Planning Application Service

The planning application service holds the logic for different application forms for the different types of planning application. It links into the Rules Engine to dynamically update the questions on the application form based on the answers supplied.

Planning Application DB

The Planning Application DB holds completed planning application forms. These are versioned.

Validation Service

The validation service holds the logic for assessing whether an application form is valid or not. This communicates with the Notification Service to send notifications to the applicant regarding any queries to the planning application.

Notification Service

The Notification Service handles what notifications need to get sent to who, and when. It puts the messages onto a message queue where the receiver can pick it up.

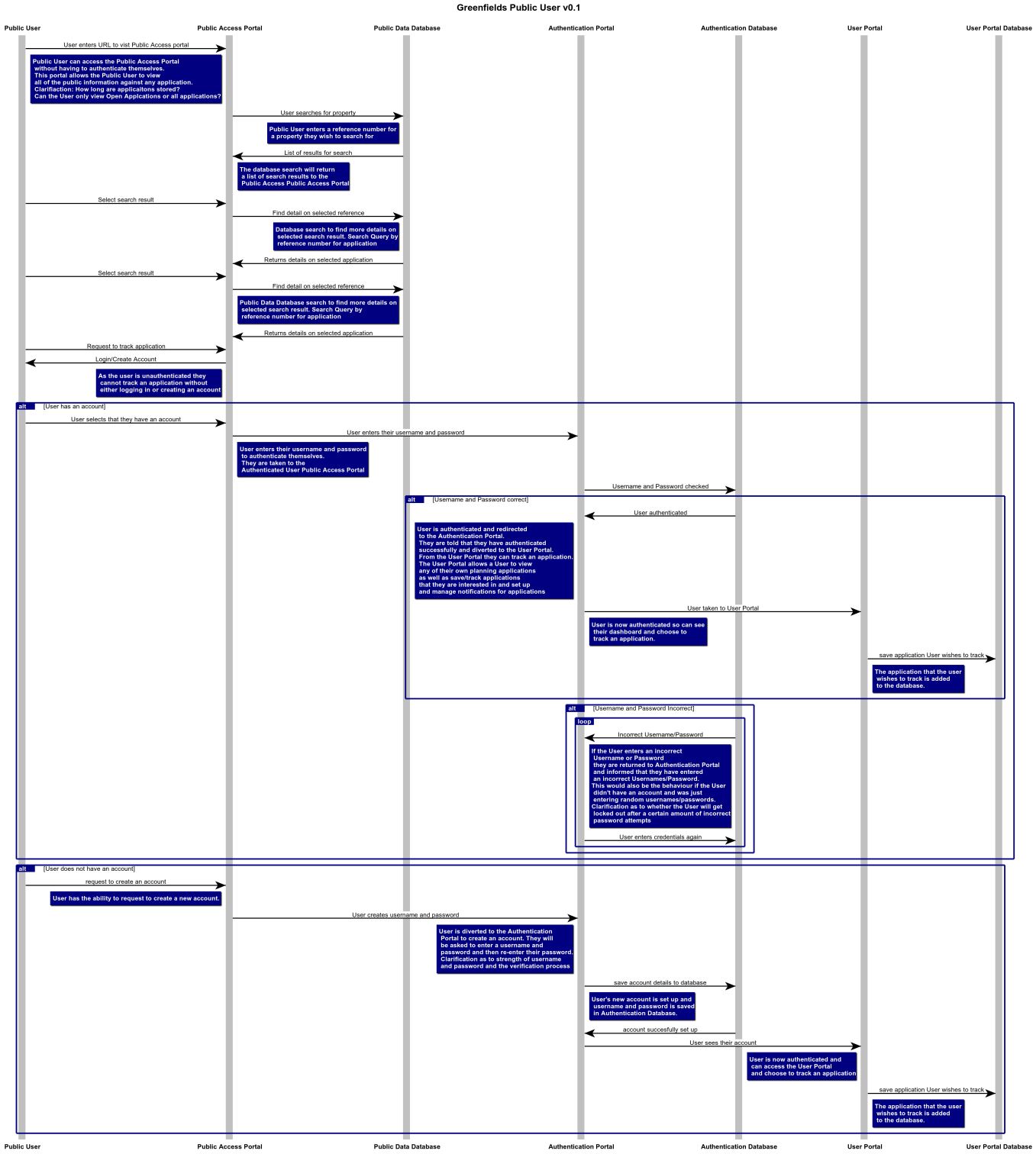
Assessment Service

The Assessment Service manages the assessment process for the application form. Once the application form has been submitted and validated, it is assigned to a planning office to assess.

Sequence Diagrams

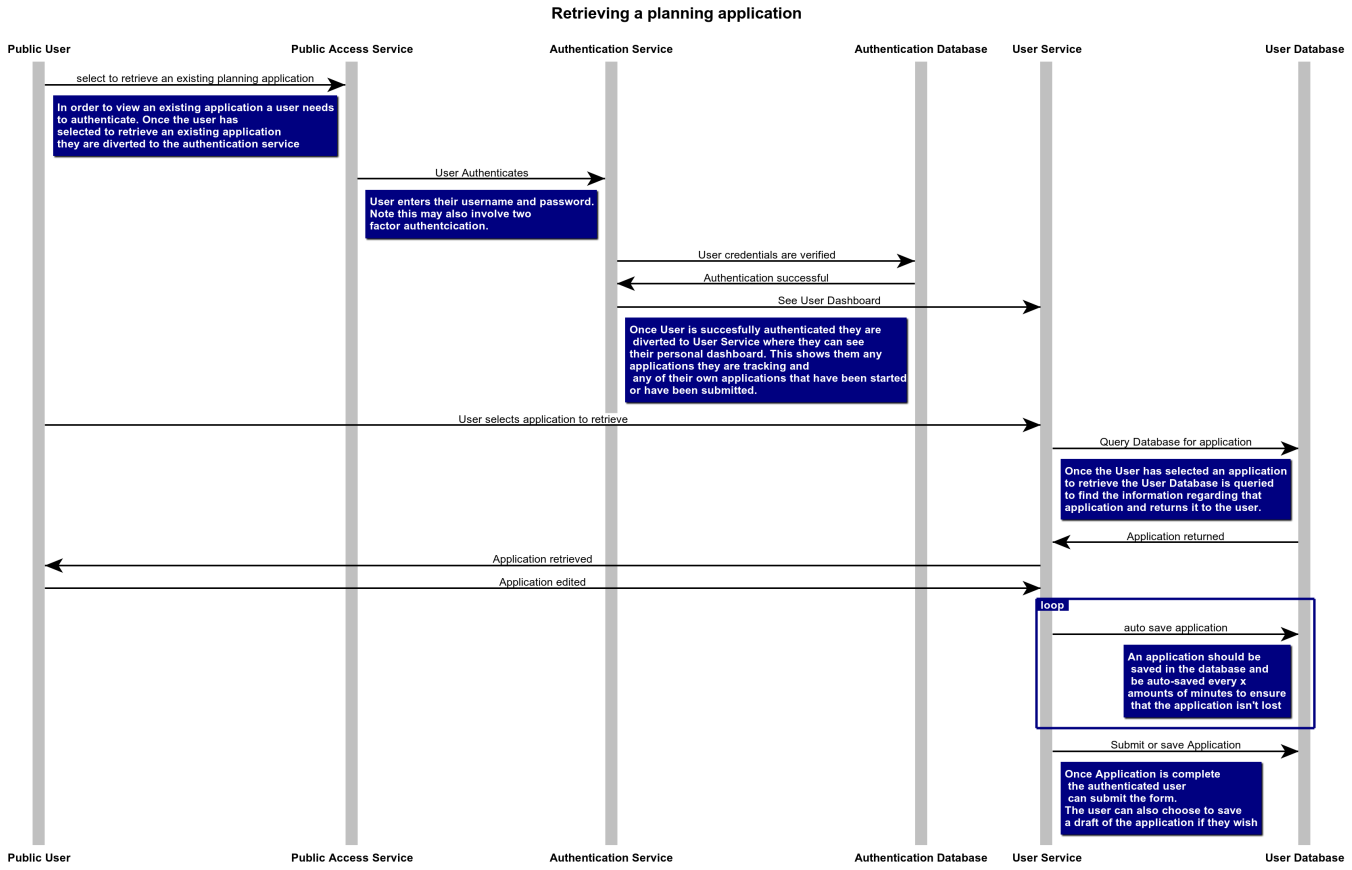
Public Access - Viewing public application

The below sequence diagram documents a potential journey a Public User's request to view an application would take in a bespoke system. This links the Business Requirements to the Architecture diagram above.



Retrieving an existing application

The below sequence diagram shows the journey a User's request to authenticate and retrieve an existing application could take through a bespoke system.



Appendix

The below table summarises the user stories that cannot be built with each system option. Please note, the product backlog can be viewed in full here: Discovery Deliverables

Option 1

Key	Summary
GF-558	As an Officer, I can maintain, update and manage a list of solicitors so that I can communicate with them regarding property certificates
GF-537	As an Officer, I can only see templates relevant to my Authority so that I do not have access to other Authorities template letters and notices
GF-435	As an Officer, I can see the pre-set mapping layers for each Authority so that I can analyse the plotted polygon based on my Authorities preferred mapping layers
GF-399	As a Senior Officer, I can save an allocation filter as default so that I can see the filter applied each time I view the allocation queue
GF-314	As an Officer, I can set default mapping layers so that they are always set on my account and I can override the preset mapping layers set by for my Authority
GF-241	As an Officer, I can share a saved search criteria so that other officers can see and use my results
GF-240	As an Officer, I can save search criteria I have used so that I can easily re-use it in the future
GF-215	As a System Administrator, I can add sections to the application so that I can group questions of an application form
GF-213	As a System Administrator, I can create new templates so that new required correspondence can be easily created
GF-206	As a System Administrator, I can update templates upon request for my Authority so that templates remain up to date with Officer needs
GF-197	As an Officer, I can preview templates for my Authority so that I do not have to open the template letter or notice to see the detail of the template
GF-189	As a System Administrator, I can set "for review" flags so that Officers are aware they should review the content
GF-181	As a System Administrator, I cannot edit the published online application so that there are no changes to the live application
GF-180	As a System Administrator, I can publish my changes to the online application form so that they are reflected online
GF-179	As a System Administrator, I can edit questions, answers and sections so that updates can be made
GF-178	As a System Administrator, I can add rules to the display of answers so that applicants do not have to see irrelevant answers
GF-177	As a System Administrator, I can add rules to the display of questions and sections so that applicants do not have to see irrelevant questions
GF-176	As a System Administrator, I can add guidance text to the application so that the applicant can provide informed answers
GF-174	As a System Administrator, I can add a question to the application form so that the application form can be configured

19 issues

Option 2

Meets all MVP Requirements gathered

Option 3

Key	Summary
GF-600	As a Public User, I can see all information classified as Public so that I can find all information available to me in the system
GF-597	As an Officer, I can move an application from a Council work queue to a Department work queue so that called-in applications can be retrieved and processed by the relevant authority
GF-558	As an Officer, I can maintain, update and manage a list of solicitors so that I can communicate with them regarding property certificates

Option 4

Key	Summary
GF-600	As a Public User, I can see all information classified as Public so that I can find all information available to me in the system
GF-597	As an Officer, I can move an application from a Council work queue to a Department work queue so that called-in applications can be retrieved and processed by the relevant authority

GF-546	As a Requester, I can request a property certificate by submitting a property enquiry form so that the Property Certificate Unit can process my request
GF-545	As a Requester, I can save a draft of my property enquiry form before I have submitted it so that I can complete the request at a time suitable to me
GF-544	As a Requester, I have the ability to pay for my request online so that my property certificate request is valid to be processed
GF-543	As a Requester, I am presented with a fee required amount that reflects the number of sites or properties I have included in my request so that I can pay the correct amount upon submission
GF-542	As a Requester, I must complete all mandatory fields before submitting the property enquiry form so that the Property Certificate Unit have all the information they need to process the property certificate request
GF-541	As a Requester, I can plot a polygon that indicates the site for which I am requesting information so that it verifies the details completed in my application
GF-500	As a Department Officer, I can reassess any called-in applications so that I can produce a fully informed assessment
GF-498	As an Officer, I can track the progress of any application called-in from my work queue so that I am aware of the result
GF-488	As an Officer, I can send consultations to Consultees in other Council Areas so that I can contact them when a proposed development relates to their area
GF-479	As a Consultee, I can generate a KPI report for my organisation so that I can make informed management decisions and fulfill statutory reporting requirements
GF-474	As an Officer, I can access central search criteria consistent across all authorities so that common searches are can be easily executed
GF-473	As a Consultee, I can access the plotted polygon for a proposed development so that I can investigate the applications site history
GF-444	As a Public User, I can search all planning applications in Northern Ireland so that I can find the information I need in one place
GF-440	As an Officer, I have read-only access of another council's data, so that I can view, but not amend data that I am not responsible for
GF-435	As an Officer, I can see the pre-set mapping layers for each Authority so that I can analyse the plotted polygon based on my Authorities preferred mapping layers
GF-356	As an Applicant, I can access in-portal communication with the Planning Authority so that I can quickly find answers to any questions I may have
GF-338	As an Officer, I can track the application history of online users so that I can identify any patterns emerging in the submission of applications
GF-321	As an Applicant, when I receive feedback on my application, I can amend my application responses so that the information provided is accurate and complete for further validation
GF-281	As an Officer, I can see extended planning history generated by the plotted polygon so that I can view the planning history of the surrounding area of the application
GF-278	As an Officer, I can add and remove neighbour notifications to an assessment so that I know who must be informed and when this has occurred
GF-277	As an Officer, I can query data relating to the application so that I can validate statistical reports
GF-261	As an Officer, I can review validation updates from an applicant so that the application can be reconsidered by the planning authority
GF-259	As an Applicant, I am notified that my submitted application requires updates during validation so that I am aware of changes suggested by the Planning Authority

GF-558	As an Officer, I can maintain, update and manage a list of solicitors so that I can communicate with them regarding property certificates
GF-546	As a Requester, I can request a property certificate by submitting a property enquiry form so that the Property Certificate Unit can process my request
GF-545	As a Requester, I can save a draft of my property enquiry form before I have submitted it so that I can complete the request at a time suitable to me
GF-544	As a Requester, I have the ability to pay for my request online so that my property certificate request is valid to be processed
GF-543	As a Requester, I am presented with a fee required amount that reflects the number of sites or properties I have included in my request so that I can pay the correct amount upon submission
GF-542	As a Requester, I must complete all mandatory fields before submitting the property enquiry form so that the Property Certificate Unit have all the information they need to process the property certificate request
GF-541	As a Requester, I can plot a polygon that indicates the site for which I am requesting information so that it verifies the details completed in my application
GF-488	As an Officer, I can send consultations to Consultees in other Council Areas so that I can contact them when a proposed development relates to their area
GF-479	As a Consultee, I can generate a KPI report for my organisation so that I can make informed management decisions and fulfill statutory reporting requirements
GF-474	As an Officer, I can access central search criteria consistent across all authorities so that common searches are can be easily executed
GF-473	As a Consultee, I can access the plotted polygon for a proposed development so that I can investigate the applications site history
GF-449	Individual aspects of the system should be managed by each local council/department
GF-444	As a Public User, I can search all planning applications in Northern Ireland so that I can find the information I need in one place
GF-440	As an Officer, I have read-only access of another council's data, so that I can view, but not amend data that I am not responsible for
GF-435	As an Officer, I can see the pre-set mapping layers for each Authority so that I can analyse the plotted polygon based on my Authorities preferred mapping layers
GF-338	As an Officer, I can track the application history of online users so that I can identify any patterns emerging in the submission of applications
GF-281	As an Officer, I can see extended planning history generated by the plotted polygon so that I can view the planning history of the surrounding area of the application
GF-278	As an Officer, I can add and remove neighbour notifications to an assessment so that I know who must be informed and when this has occurred
GF-277	As an Officer, I can query data relating to the application so that I can validate statistical reports
GF-269	As a Public User, I can advance search the system so that I can find information
GF-168	As a Public User, I can search application documentation so that I can find information easily
GF-147	As an Officer, I can view a planning history record when completing an assessment so that I consider historic planning applications on the proposed development site during the assessment
GF-146	As an Officer, I can select a historic site reference so that I can view the history summary of the proposed development and use the site information during the assessment
GF-124	As an Officer, I can select an individual result of a search so that I can view the development case in full detail

GF-258	As an Officer, I can send an application back to an applicant during validation so that they can verify the suggested updates I have made
GF-215	As a System Administrator, I can add sections to the application so that I can group questions of an application form
GF-189	As a System Administrator, I can set "for review" flags so that Officers are aware they should review the content
GF-174	As a System Administrator, I can add a question to the application form so that the application form can be configured
GF-168	As a Public User, I can search application documentation so that I can find information easily
GF-147	As an Officer, I can view a planning history record when completing an assessment so that I consider historic planning applications on the proposed development site during the assessment
GF-146	As an Officer, I can select a historic site reference so that I can view the history summary of the proposed development and use the site information during the assessment

33 issues

GF-120	As an Officer, I can perform a basic search on the system so that I can see all relevant search results

27 issues

Data Migration

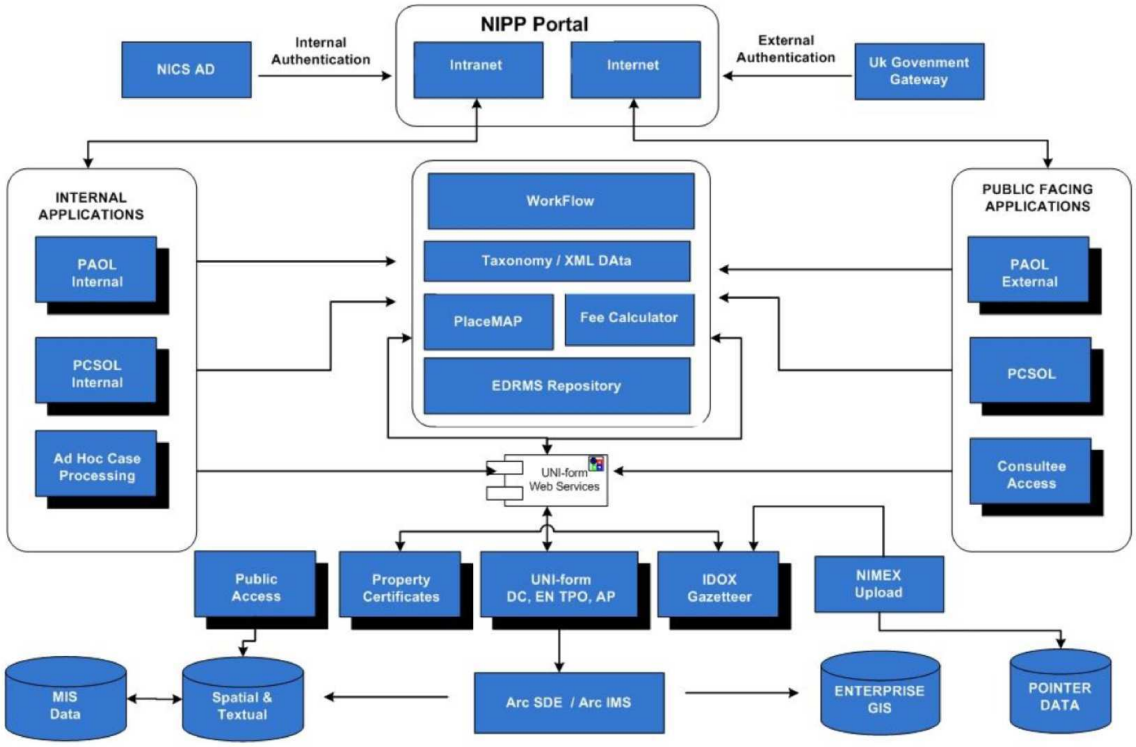
Introduction

A 12-week Discovery Phase has been completed to identify the scope of a refreshed digitised planning service for Northern Ireland, to be used by both the Department and local government.

In addition to the identification of system requirements for a refreshed digitised planning service, an assessment has been completed on Data Migration. Throughout Discovery we held several workshops on Data Migration with participants from DfI (NIPP Project Manager, Product Owners and DSD) and IT Subject Matter Experts from a number of councils. The following report summarises the findings from this exercise and our recommendations for a Data Migration Approach.

Overview

Northern Ireland Planning Portal - Current Architecture Diagram



The existing Planning Portal interacts with a number of interfaces (see above diagram). In order to complete a detailed data migration approach and costing it is necessary to understand how the existing raw data is structured. This includes application data, schemas, tables, indexes, and constraints. It also requires an understanding of the associated infrastructure for data migration which includes migration of stored procedures, database triggers, SQL queries, and functions.

Data infrastructure is the IPR of DXC (current service providers) and cannot be shared therefore information on raw data or the associated data infrastructure has been unavailable throughout Discovery. Whilst the data is owned by the Department, DXC is required to provide details of the data held as part of an Exit Plan which would be executed in transferring the service to another provider. However, the plan only kicks in 6 months prior to the contract expiry.

Where data migration is required to a new solution, DXC has committed to providing the required details of the data held and an extract of the data as part of a data migration exercise.

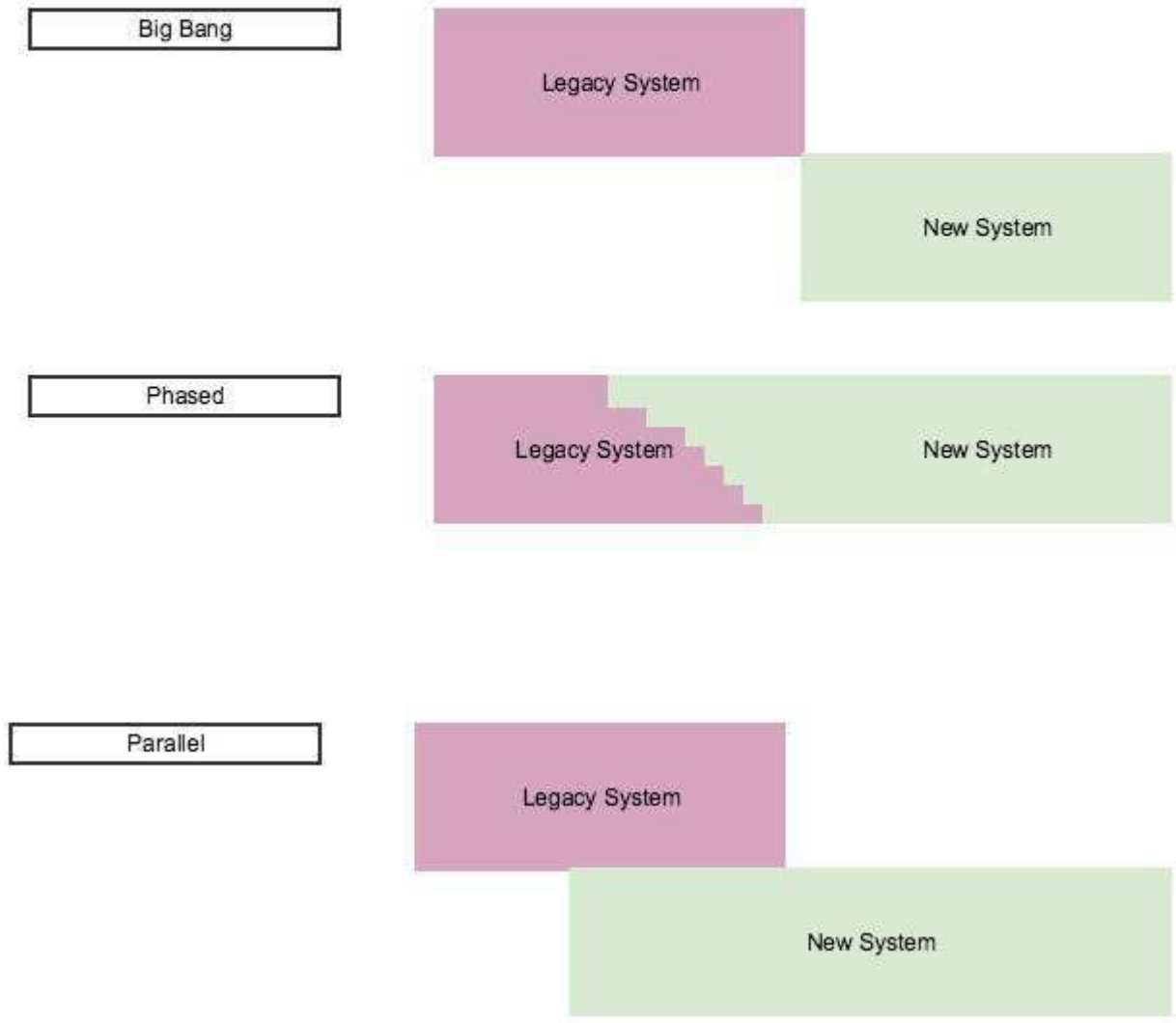
Operating within these constraints, we have focused on outlining several Data Migration Strategy Options which should be considered for any Data Migration from the existing DXC databases to a new solution. Below we outline the Data Migration strategy options and our recommended approach together with an indicative cost, timeline and assumptions. We have also included a set of recommended next steps for the Department

and local government to follow in conjunction with the procurement for delivery of a refreshed planning service.

Data Migration Strategy Options

High Level Options

There are three main options available for data migration:



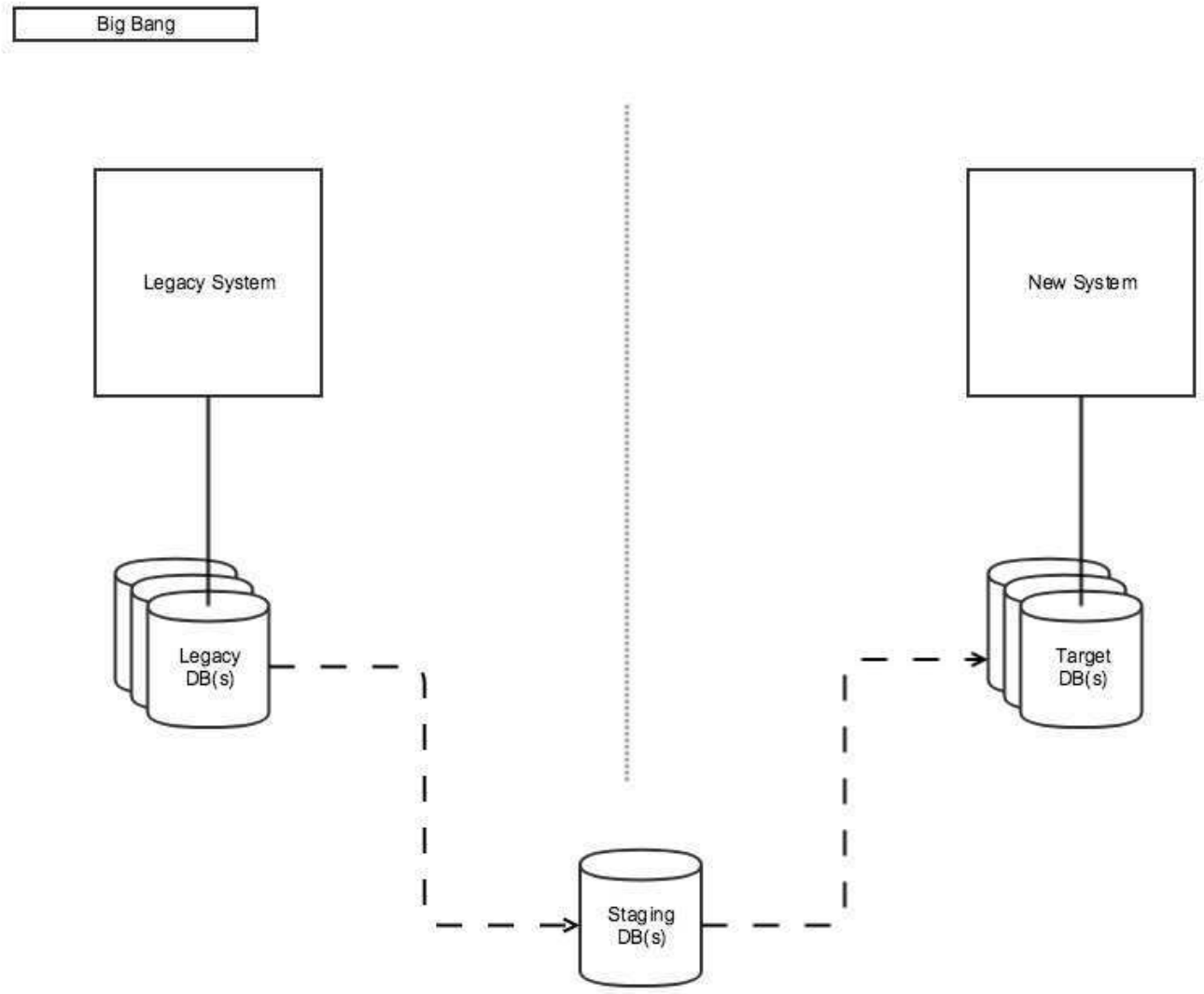
1) Big Bang

A big bang data migration involves an entire dataset being transferred from the source system to the target system in one operation, resulting in the existing application and databases being turned off immediately.

Advantages and Disadvantages

Advantages	Disadvantages
Migration is completed in the shortest possible time	Business may be without access to their data while the migration takes place
Mitigates the risk that something unexpected happens during the migration	Risk of damage to reputation if there is significant down-time or failure to the system
Lower resource costs for migration team as migration completed over a shorter duration	Higher risk of migration issues without time to pilot on a smaller user base
Business does not have to operate with two different database systems	All users of the system have to know how to use the new system immediately, raising a risk in low performance by employees as they get up to speed on how the new system works.
No training will be required for the "changeover" process. The only training required will be for the new system	Greater likelihood of compromises being made to facilitate completion of Big Bang Migration.
The whole business moves to the new system at the same time	Require a fallback/rollback strategy, which can often be complex and resource intensive to implement
No synchronisation issues. With a big bang migration there is no need to keep the old environment up to speed with any record updates.	Failures in one part of the system can spiral and result in problems/failures in other parts of the system
No need to operate on more than one system	Elements of training can be easily forgotten by users (full system to learn)

High Level Design



Please note: A **staging database** or area is used to load data from the sources, modify & cleanse them before the final data migration load.

2) Phased

A phased migration strategy involves the data being migrated in smaller increments, until the whole dataset has been migrated from the source system to the target system.

Advantages and Disadvantages

Advantages	Disadvantages
Lower risk than Big Bang migration strategy as it allows you to test the solution incrementally on a smaller user group or subset of functionality	Longer implementation than Big Bang approach therefore likely to incur higher resource costs for the migration team
Training can be staggered resulting in less time between training and deployment for some users. This also allows for more effective change management and communication strategies.	Can cause disruption if change process isn't strictly followed
Issues and defects can be identified and fixed as you progress fostering a continuous improvement cycle throughout implementation	NIPP contract may need be continued for a longer period of time as migrating through phasing requires the legacy to system to be running for a longer period of time

Lower risk of system downtime	Legacy and Target would need to know where to source information from if the data is migrated in modules. As we are suggesting that a phased migration should be done by council, this will not be an issue
Experience and learning is gained with each phase of the migration - the skills picked up during each phase can be instrumental in a successful migration.	Requires a thorough understanding of landscape to determine what gets migrated at each phase - this is both an advantage and a disadvantage. It forces a higher level of understanding, but is a disadvantage if this isn't available as more errors will be made, increasing the cost and time to implement of the data migration
Small issues and defects can be fixed as you go	Potential for public confusion - if only certain geographical areas are on the new system this needs to be clearly articulated to those using the system so everyone is aware of which system they should be using.
Easier to rollback a smaller dataset if something goes wrong during one phase of the migration	
Forces a thorough understanding of landscape to determine what gets migrated at each phase	

High Level Design

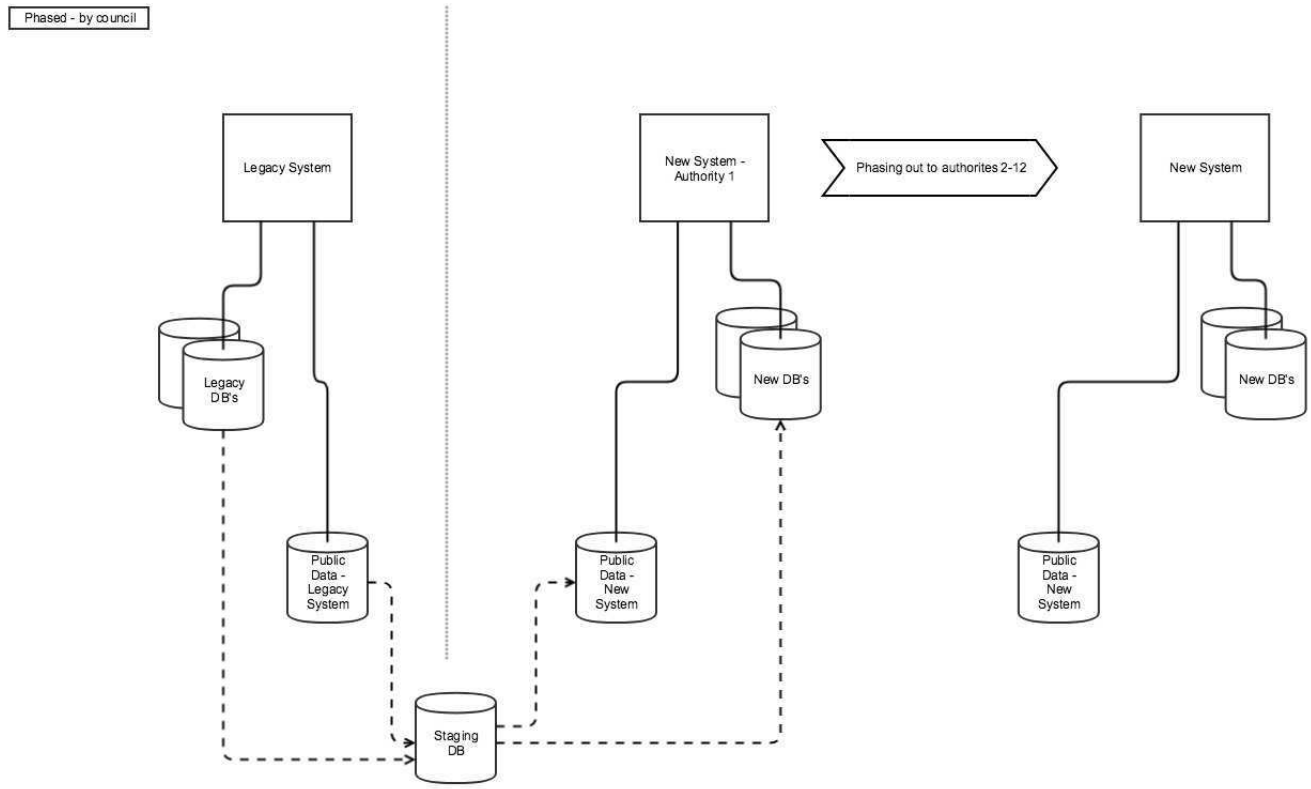
Phasing Data Migration could either have been done by module or by council.

Migrating by module in a phased approach will not work for the planning portal because

- Each module relies on historical site data
- Each module is dependant on data from other modules

Phasing the data migration by module would add extra complexity and cost to the migration. Due to the nature of the planning portal, each module will be connected to the other modules. For example, phasing just TPOs initially will require the legacy system to interact with the new system via a link service. Each application will rely on data from both the new system and the legacy system, adding to the cost and complexity of migrating across to the new system.

Phasing by council has the added advantage that it would allow testing of End to End functionality for a subset of users. This is vital in reducing delivery risk and identifying issues early on. Phasing out a new system council by council would involve moving each council to the new system one at a time over a period of approximately 6 months, as highlighted in the below high level design



Parallel

A Parallel migration strategy results in migrating the dataset to the new target system, while keeping the source system up to date and active. Operating both the legacy and target system in parallel can be done when implementing either a Big Bang or Phased Data Migration.

Choosing not to run the legacy system in parallel increases the risk of system downtime and may complicate the data migration.

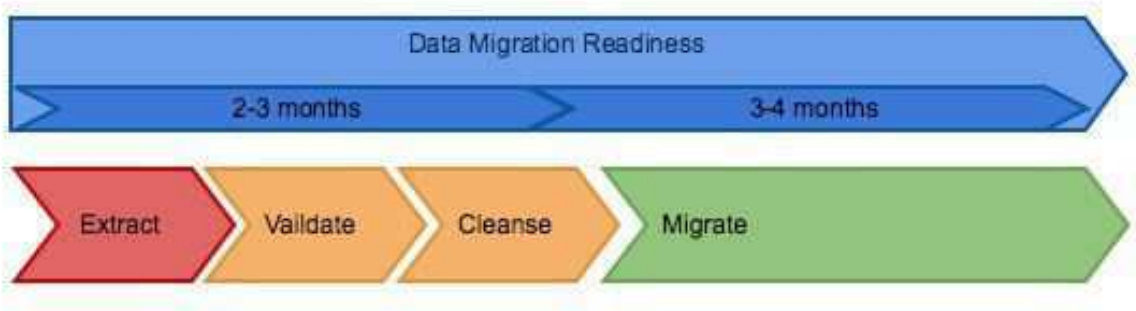
Advantages and Disadvantages

Advantages	Disadvantages
Data can be migrated using either big bang or phased approach	Costs may be incurred for extension of legacy contract to facilitate running legacy and target system in parallel
Lower delivery risk in retaining access to legacy systems and data	Data synchronisation - having to keep both legacy and target dataset up to date can be challenging and time consuming if not planned effectively
Both systems can be run in parallel, allowing the target system to be validated without downtime if there are system failures	
Business can ensure that the target system fully meets requirements before shutting down the legacy system (subject to contractual negotiations with existing supplier)	

Our Preferred Option

Based on our recommended solution design option being a shared service with localised control we are recommending that a Phased approach with the legacy system being run in parallel.

We recommend extracting the data from the legacy system into a staging database where it can be validated and cleansed before it is migrated to the new system. This will allow the legacy system to continue to run in parallel without any disruption to the legacy system. The diagram below illustrates the steps we believe the data needs to go through before it is ready to migrate.



Step 1: Extract

Extracting the data from the source system before cleansing it requires transporting the data to a staging database and performing validation checks on the dataset before then moving it to the target system.

Advantages

- Due to the agile process that should be followed, extracting the data before it is cleansed will allow the process to remain as flexible as possible when it comes to the data structure of the different target databases
- Within the staging database, the data can be validated against the validation rules developed based on the target system and target business requirements to ensure the data is valid for the target system before it is migrated.

- Can continue to use the source system until data cleansing/migration is complete, limiting the down-time users experience.

Step 2: Validate

Often the legacy system and the target system share little common structure or definitions and were not designed to interact with each other. This makes data migration a complex task, made ever more complex by data quality issues. The legacy system could already be dealing with issues caused by poor data quality with fixes and patches put in over the years to help overcome these issues. However, in order for the target system to be as performant and efficient as possible it is key for the data to be validated and cleansed before it is migrated.

Therefore, validating the legacy data against validation rules based on the functional and non-requirements of the new system allows for an efficient data-cleansing stage where the data that is wanted/needed in the new system is prepared.

Step 3: Cleanse

Data cleansing is the process of preparing the validated data from the legacy system before migrating it to the target system.

This involves:

- Detecting corrupt records and removing them
- Detecting inaccurate records and removing or updating them
- Determining how long data needs to be held and removing data passed this date from our target dataset
- Identify incomplete records and completing them or removing them from the target dataset
- Identify data that is irrelevant to the target system and removing it from the target dataset
- The legacy system and the target system may have differing requirements and as such some data that was necessary in the legacy system may no longer be important or useful in the target system.

Advantages of Data Cleansing

There are many advantages to cleansing data before migrating it.

- Increases integrity of the data in the system
- Improves performance of system
- Reliable, trust worthy data in the new system
- Consistency of data
- Improves Customer relationship and User experience
- Reduced security risk of holding too much data/corrupt data

Risks of not carrying out Data Cleansing

- Data pollution in the new system
- Prevention of data being successfully migrated to the target system
    - Data that doesn't meet minimum data quality may be rejected during migration to the new system
    - Duplicate entries may not be accepted, without any knowledge of which entry should be kept
    - Data may not be in the correct format for the target system
- Manual fixes may need to be applied, which leads to:
    - Increased costs
    - Increased timelines for completion
- Extra costs of storing unnecessary data
- Performant issues related to storing poor/corrupt data

Step 4: Migrate

Finally the newly validated and cleansed data is migrated from the staging database to the new system in a phased approach (authority by authority)

Indicative Costs and Timeline

The recommended data migration approach will cost in the region of £400k - £600k and will take approximately 6 months to complete. However, this is an indicative figure and is subject to change once more information is available on the current data structure. We have been significantly constrained in our analysis due to the lack of information on what the source system looks like.

The indicative cost includes the 4 activities outlined above; extracting the data, validating the data, cleansing the data and migrating the data. These activities can take place in parrallel to building the new system, however the optimal time to carry out each of these tasks should be defined during delivery.

Assumptions

Assumption
There is no transfer of the data back to the legacy system once the data has been moved from the staged system to the target system. The only data that would be required to move back to the legacy system would be public data. Legislatively there is a requirement that the public can see all public data against all applications in NI. However, adding some simple content informing the users that if they are searching for an application in council x,y etc to use the new system will greatly reduce the cost and complexity of the data migration.
Our Data Migration approach is based on our recommended target Solution Design Option i.e. a shared solution with localised control – any variation on this (i.e. multiple back-end systems and data stores) may introduce greater complexity and associated cost
Excludes costs of running the legacy system in parallel
Indicative costs have been provided based on our analysis during Discovery. These are subject to change when further information is provided around raw data and associated data infrastructure
During Data Migration, adequate resource from the Department, DXC (existing solution providers) and local government resources will be provided to assist with data extraction and understanding of existing environments and data structures
During Data Migration there will be no restriction on access to raw data and associated data infrastructure
Excludes any specific licensing costs for software required to perform data extraction and cleansing
A dedicated environment will be available for Data Migration and there will not be any contention issues resulting from stakeholders using the existing application or environments
Up to date versions of legacy databases will be in place (i.e. no database upgrades required before extraction)
Excludes hosting costs for staging environment – this may be an on-premise environment provided by the Department or may be an external cloud environment, however is not possible to provide a view on cost without access to raw data and associated data infrastructure
During Data Cleansing a significant effort will be made to increase the quality of data from legacy systems, however if an unacceptable amount of poor/corrupt data exists, this may incur additional effort/cost during Data Cleansing – it is not possible to provide a view on this without access to raw data and associated data infrastructure

Recommended Next Steps

Following the completion of the above analysis we recommend that a Phased Approach by Authority be adopted for Data Migration, whilst continuing to operate the legacy system in parallel throughout.

This approach has the key advantages of being able to test end to end functionality on a small subset of users (by Authority) and feed learning and improvements into subsequent roll-outs. This also has the advantage of staggering training and readiness activities to complete a more focused roll-out per council.

Operating the legacy system in parallel also reduces delivery risk by retaining a stable fallback option in the event of any major issues.

In terms of next steps, there are two options for consideration:

1. Complete procurement exercise to confirm a supplier for the delivery of the Planning Portal refresh before confirming detailed Data Migration Approach:

- Allows for confirmation of the target environment to design the most efficient Data Migration Process
- Geared towards a more collaborative process involving legacy system providers, target system providers and key business resources required to make Data Migration a success
- Reduced risk of delay/stoppage during the Data Migration process and possible loss of resources/knowledge

2. Formally engage with existing legacy provider (prior to selection of a supplier for delivery) to complete a data extraction exercise into a temporary staging environment, facilitating an open market procurement for Data Migration:

- Allows for the initial Data Migration step to be completed in isolation, facilitating a more open procurement for Data Migration (providing that all required information around raw data and associated data infrastructure is made publically available)
- Risk of a less efficient Data Migration process as target solution is unknown and re-work may be required during later stages
- Risk of delay during the Data Migration process and the loss of resources and associated knowledge, particularly if the legacy provider will not be available for the entire Data Migration process
- Risk of commercial inefficiencies if legacy provider is required to return to provide additional services during later stages

- Risk of commercial inefficiencies if legacy provider is chosen for the delivery of the Planning Portal refresh

In consideration of these options, we recommend that Option 1 is the optimal approach. In addition, we recommend that the following activities are kicked off as soon as possible in order to pave the way for faster mobilisation of Data Migration once a supplier for the delivery of the Planning Portal refresh is confirmed:

- Completion of Programme Plan to map out key activities and dependencies in advance of expiry of existing engagement (March 2019)
- Engage with legacy provider to understand detailed scope of Exit plan which would be executed in transferring the service to another provider, together with commercial arrangement around this.
- Engage with legacy provider to understand costs and obligations around extending the current service beyond March 2019.

Appendix

Below is the information we requested and received from DXC. Without further clarity on what the source data looks like we cannot make a more accurate estimate.

Source Data

DXC has provided the following information on the source data.

Data Source	DB Size	DB Source
Portal DB (Livelink) Internal External	 8.16GB 1.94GB	SQL
Uniform Back Office (includes all Uniform modules, PCS, GMS & Spatial datasets)	254GB	Oracle (Textual & Spatial Data)
ePIC DB	15GB	SQL
Workflow (Including historical data)	215GB	SQL
EDRMS DB	65GB	SQL
EDRMS Document Store	2.2 TB	File System
Mapping DB	118GB	Oracle (Textual & Spatial Data)
Reporting	1GB	SQL

Information Requested on Source Data

Below we have mapped the questions, and resulting responses we have received, around data migration that we have asked the Department and DXC. These questions will allow us to outline an accurate data migration approach.

Question	DfI Response	DXC Response
Are there any Performance Metrics that we can gather from DXC on the current system?	The only available Performance metric is the % of availability and it remains consistently at 100%, we have a monthly service review at which high lights, low lights, defects, service requests and Change controls are discussed however DXC are reluctant to provide this information for the purposes of discovery!	DXC are reluctant to provide this information for the purposes of discovery

Could you please provide a snapshot of the current data?	N/A	Whilst the data is owned by the Department, we are required to provide details of the data held as part of an Exit plan which would be executed in transferring the service to another provider. Where data migration is required to a new solution, we would provide the required details of the data held and an extract of the data as part of a data migration exercise.
Could you provide the schema(s) for the data held please?	N/A	Schema details for the above DB sources is considered to be proprietary information. Therefore we are unable to provide any such schema details for DXC owned or any third party owned data sources.
How much of the current dataset needs to be migrated?	Unable to provide this answer	N/A
Is there any geographical restrictions on where the data can be stored for legal/compliance reasons?	None apart from normal NICS data restrictions	N/A
Retention Disposal – Do you have a view on the legal/compliance rules around how long we have to keep the data for (initial believed timeframes added below)? Is there anyone from the councils that I can talk to about how long they would like to store data for? 1. Paperwork: 5 years 2. Financial data: 7 years	**The following redaction schedule has been collated through conversations with both the Dfl and the councils.** Historical digitisation of paper applications is not being considered as part of Discovery. This will need to be considered separately by individual councils. Disposal Schedule Requirements: • Any information published on registers (in the public domain) will be kept indefinitely e.g. • Registers: EIA, Enforcement, TPO, Planning Application • Any non-register data e.g. Neighbor notifications, Consultations and Representations will be kept in line with current RAD (Retention and Disposal) policy (subject to current discussions with PRONI) plus 4 months to allow for the possibility of Appeals • Working documents e.g. Case Officer notes / site photos will be kept in line with current RAD (Retention and Disposal) policy (subject to current discussions with PRONI).	N/A
What is the full size of the dataset you hold?	N/A	See above table
Will EDRM remain in place after the contract with DXC is over or will the data need to be fully migrated before this date?	While the Department own the licence for EDRMS the content is structured and managed by DXC so after the contract the information will only be available as part of an Exit strategy	N/A