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09 September 2015

To: All Councillors

As a Member or Substitute of the **Governance and Resource Committee**, please treat this as your summons to attend the meeting on **Thursday 17 September 2015 at 6.00pm in the Council Chamber, Town Hall, Matlock.**

Yours sincerely

A handwritten signature in black ink, appearing to be "Sandra Lamb". The signature is fluid and cursive, with a large loop at the end.

Sandra Lamb  
Head of Corporate Services

## **AGENDA**

### **1. APOLOGIES/SUBSTITUTES**

Please advise Democratic Services on 01629 761133 or e-mail [committee@derbyshiredales.gov.uk](mailto:committee@derbyshiredales.gov.uk) of any apologies for absence and substitute arrangements.

### **2. PUBLIC PARTICIPATION**

To enable members of the public to ask questions, express views or present petitions, **IF NOTICE HAS BEEN GIVEN**, (by telephone, in writing or by electronic mail) **BY NO LATER THAN 12 NOON OF THE WORKING DAY PRECEDING THE MEETING.**

### **3. INTERESTS**

Members are required to declare the existence and nature of any interests they may have in subsequent agenda items in accordance with the District Council's Code of Conduct. Those interests are matters that relate to money or that which can be valued in money, affecting the Member her/his partner, extended family and close friends.

Interests that become apparent at a later stage in the proceedings may be declared at that time.

#### **4. QUESTIONS PURSUANT TO RULE OF PROCEDURE NUMBER 15**

To answer questions from Members who have given the appropriate notice.

**Page No.**

#### **5. ANNUAL GOVERNANCE REPORT 2014/15**

**4 – 21**

To consider the Annual Report of the District Council's external auditors in relation to Governance arrangements. The External Auditor will attend the meeting.

#### **6. STATEMENT OF ACCOUNTS 2014/15**

**22 – 27**

To consider and approve the Statement of Accounts for 2014/15  
**(Statement of Accounts published separately)**

#### **7. LETTER OF REPRESENTATION**

**28 – 36**

To consider and approve the draft Letter of Representation as part of the Members responsibility for approving the financial statements.

#### **8. INTERNAL AUDIT CHARTER**

**37 – 46**

To consider and approve the results of a review of the Internal Audit Charter for the Internal Audit Section.

#### **9. INTERNAL AUDIT REPORTS CONCLUDED TO DATE UNDER THE 2015/2016 OPERATIONAL AUDIT PLAN**

**47 – 50**

To consider the internal audit reports produced in respect of the 2015/2016 Internal Audit Plan.

#### **10. TAXI LICENSING FEES – REVISION**

**51 – 53**

To consider and approve the revised fees for the applications for Taxi/Private Hire Vehicle Driver Licenses, and for Private Hire Operators Licenses, to ensure the service is fully compliant with the provisions of Deregulation Act 2015 by 01 October 2015.

#### **11. PROPERTY CONDITION SURVEYS 2015**

**54 – 60**

To consider and approve the outline works identified by Condition Surveys at the District Council's main properties covering the period 2015 to 2020, to determine a programme for undertaking the works over the next 4 financial years and the additional funding required.

#### **12. STRUCTURAL DAMAGE TO PUBLIC CONVENIENCES AT MEMORIAL GARDENS, MATLOCK BATH**

**61 – 77**

To consider the results of a public consultation exercise and determine the most appropriate course of action to address the structural damage.

#### **13. COMMUNICATIONS AND MARKETING STRATEGY**

**78 – 98**

To consider the current Communications and Marketing Strategy and approve an action plan for 2015/2016.

- 14. COMPLAINTS MONITORING** **99 – 105**  
To consider and note information on formal complaints made about the District Council's services under its internal Complaints Procedure; those referred to the Local Government Ombudsman, and against individual elected member behaviour at town, parish and District Council level.
- 15 PROCUREMENT STRATEGY 2015 – 2018** **106 – 115**  
To consider and approve the newly revised Procurement Strategy.

Members of the Committee - Councillors Deborah Botham, Albert Catt, Phil Chell, Steve Flitter, Chris Furness (Vice Chair), Alyson Hill, Neil Horton, Angus Jenkins, Tony Millward BEM, Jean Monks, Garry Purdy, Irene Ratcliffe, Lewis Rose, Mark Salt, Jacquie Stevens (Chairman), Colin Swindell, John Tibenham

Substitutes – Councillors Jason Atkin, Richard Bright, Jennifer Bower, Sue Bull, Sue Burfoot, David Chapman, Tom Donnelly, Ann Elliott, Helen Froggatt, Richard FitzHerbert, Susan Hobson, Vicky Massey, Joyce Pawley, Mike Ratcliffe, Philippa Tilbrook, Jo Wild



*cutting through complexity*

# Report to those charged with governance (ISA 260) 2014/15

**Derbyshire Dales District Council**

September 2015

**The contacts at KPMG in connection with this report are:**

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**Report sections**

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This report is addressed to the Authority and has been prepared for the sole use of the Authority. We take no responsibility to any member of staff acting in their individual capacities, or to third parties. The Audit Commission issued a document entitled Statement of Responsibilities of Auditors and Audited Bodies summarising where the responsibilities of auditors begin and end and what is expected from audited bodies. We draw your attention to this document which is available on Public Sector Audit Appointment's website ([www.psaa.co.uk](http://www.psaa.co.uk)).

External auditors do not act as a substitute for the audited body's own responsibility for putting in place proper arrangements to ensure that public business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively.

We are committed to providing you with a high quality service. If you have any concerns or are dissatisfied with any part of KPMG's work, in the first instance you should contact Sue Sunderland, the engagement lead to the Authority, who will try to resolve your complaint. If you are dissatisfied with your response please contact the national lead partner for all of KPMG's work under our contract with Public Sector Audit Appointments Limited, Trevor Rees (on 0161 246 4000, or by email to [trevor.rees@kpmg.co.uk](mailto:trevor.rees@kpmg.co.uk)). After this, if you are still dissatisfied with how your complaint has been handled you can access PSAA's complaints procedure by emailing [generalenquiries@psaa.co.uk](mailto:generalenquiries@psaa.co.uk), by telephoning 020 7072 7445 or by writing to Public Sector Audit Appointments Limited, 3rd Floor, Local Government House, Smith Square, London, SW1P 3HZ.

### This document summarises:

- the key issues identified during our audit of the financial statements for the year ended 31 March 2015 for the Authority; and
- our assessment of the Authority's arrangements to secure value for money.

### Scope of this report

This report summarises the key findings arising from:

- our audit work at Derbyshire Dales District Council ('the Authority') in relation to the Authority's 2014/15 financial statements; and
- the work to support our 2014/15 conclusion on the Authority's arrangements to secure economy, efficiency and effectiveness in its use of resources ('VFM conclusion').

### Financial statements

Our *External Audit Plan 2014/15*, presented to you in March 2015, set out the four stages of our financial statements audit process.



This report focuses on the third stage of the process: substantive procedures. Our on site work for this took place during August 2015.

We are now in the final phase of the audit, the completion stage. Some aspects of this stage are also discharged through this report.

### VFM conclusion

Our *External Audit Plan 2014/15* explained our risk-based approach to VFM work. We have now completed the work to support our 2014/15 VFM conclusion. This included:

- assessing the potential VFM risks and identifying the residual audit risks for our VFM conclusion;
- considering the results of any relevant work by the Authority and

other inspectorates and review agencies in relation to these risk areas.

### Structure of this report

This report is structured as follows:

- Section 2 summarises the headline messages.
- Section 3 sets out our key findings from our audit work in relation to the 2014/15 financial statements of the Authority.
- Section 4 outlines our key findings from our work on the VFM conclusion.

We have reviewed your progress in implementing prior recommendations and this is detailed in Appendix 1.

### Acknowledgements

We would like to take this opportunity to thank officers and Members for their continuing help and co-operation throughout our audit work.

**This table summarises the headline messages for the Authority. The remainder of this report provides further details on each area.**

<b>Proposed audit opinion</b>	We anticipate issuing an unqualified audit opinion on the Authority's financial statements by 30 September 2015. We will also report that your Annual Governance Statement complies with guidance issued by CIPFA/SOLACE in June 2007.
<b>Audit adjustments</b>	<p>We are pleased to report that our audit of your financial statements did not identify any material adjustments. The Authority made a small number of non-trivial adjustments, most of which were of a presentational nature. There was no impact on the General Fund.</p> <p>We have identified one minor control weakness regarding non-pay expenditure and a recommendation has been raised.</p>
<b>Key financial statements audit risks</b>	We review risks to the financial statements on an ongoing basis. We identified no significant risks specific to the Authority during 2014/15 with respect to the financial statements.
<b>Accounts production and audit process</b>	<p>The Authority has good processes in place for the production of the accounts and good quality supporting working papers. Officers dealt efficiently with audit queries and the audit process has been completed within the planned timescales.</p> <p>The Authority has implemented the recommendations in our <i>ISA 260 Report 2013/14</i> relating to the financial statements.</p>
<b>Completion</b>	<p>At the date of this report our audit of the financial statements is substantially complete.</p> <p>Before we can issue our opinion we require a signed management representation letter.</p> <p>We confirm that we have complied with requirements on objectivity and independence in relation to this year's audit of the Authority's financial statements.</p>
<b>VFM conclusion and risk areas</b>	<p>We did not identify any specific VFM risks in our External Audit Plan 2014/15 issued in March 2015.</p> <p>We have concluded that the Authority has made proper arrangements to secure economy, efficiency and effectiveness in its use of resources.</p> <p>We therefore anticipate issuing an unqualified VFM conclusion by 30 September 2015.</p>

**We have not identified any issues in the course of the audit that are considered to be material.**

**Proposed audit opinion**

We anticipate issuing an unqualified audit opinion on the Authority's financial statements following approval of the Statement of Accounts by the Governance and Resources Committee on 17 September 2015.

**Audit differences**

In accordance with ISA 260 we are required to report uncorrected audit differences to you. We also report any material misstatements which have been corrected and which we believe should be communicated to you to help you meet your governance responsibilities.

The final materiality (see Appendix 4 for more information on materiality) level for this year's audit was set at £0.8 million. Audit differences below £0.040m are not considered significant.

We did not identify any material misstatements.

We identified a small number of presentational adjustments required to ensure that the accounts are compliant with the *Code of Practice on Local Authority Accounting in the United Kingdom 2014/15* ('the Code'). We understand that the Authority will be addressing these where significant.

**Annual Governance Statement**



We have reviewed the Annual Governance Statement and confirmed that:

- it complies with *Delivering Good Governance in Local Government: A Framework* published by CIPFA/SOLACE; and
- it is not misleading or inconsistent with other information we are aware of from our audit of the financial statements.



In our *External Audit Plan 2014/15* we reported that we would consider two risk areas that are specifically required by professional standards and report our findings to you. These risk areas were Management override of controls and the Fraud risk of revenue recognition.

The table below sets out the outcome of our audit procedures and assessment on these risk areas.

Areas of significant risk	Summary of findings
 <p>Management override of controls</p> <p>Audit areas affected</p> <ul style="list-style-type: none"> <li>All areas</li> </ul>	<p>Our audit methodology incorporates the risk of management override as a default significant risk. Management is typically in a unique position to perpetrate fraud because of its ability to manipulate accounting records and prepare fraudulent financial statements by overriding controls that otherwise appear to be operating effectively. We have not identified any specific additional risks of management override relating to this audit.</p> <p>In line with our methodology, we carried out appropriate controls testing and substantive procedures, including over journal entries, accounting estimates and significant transactions that are outside the normal course of business, or are otherwise unusual.</p> <p>There are no matters arising from this work that we need to bring to your attention.</p>
 <p>Fraud risk of revenue recognition</p> <p>Audit areas affected</p> <ul style="list-style-type: none"> <li>None</li> </ul>	<p>Professional standards require us to make a rebuttable presumption that the fraud risk from revenue recognition is a significant risk.</p> <p>In our <i>External Audit Plan 2014/15</i> we reported that we do not consider this to be a significant risk for Local Authorities as there is unlikely to be an incentive to fraudulently recognise revenue.</p> <p>This is still the case. Since we have rebutted this presumed risk, there has been no impact on our audit work.</p>



# Financial Statements (continued) Accounts production and audit process

The Authority has a well established and good accounts production process. This operated well in 2014/15, and the standard of accounts and supporting working papers was good.

Officers dealt promptly and efficiently with audit queries and the audit process was completed within the planned timescales.

## Accounts production and audit process

ISA 260 requires us to communicate to you our views about the significant qualitative aspects of the Authority’s accounting practices and financial reporting. We also assessed the Authority’s process for preparing the accounts and its support for an efficient audit.

We considered the following criteria:

Element	Commentary
<b>Accounting practices and financial reporting</b>	The Authority continues to maintain a good financial reporting process and produce statements of accounts to a good standard.  We consider that accounting practices are appropriate
<b>Completeness of draft accounts</b>	We received a complete set of draft accounts on 30 June 2015.  The Authority have made a small number of presentational changes to the accounts presented for audit however there have been no changes which we consider to be fundamental.
<b>Quality of supporting working papers</b>	We issued our <i>Accounts Audit Protocol</i> including our required working papers for the audit on 4 March 2015.  The quality of working papers provided was high and fully met the standards specified in our <i>Accounts Audit Protocol</i> .
<b>Response to audit queries</b>	Officers resolved all audit queries in a timely manner.

## Findings in respect of the control environment for key financial systems

As part of our testing of the controls for non-pay expenditure we identified one control weakness. When an invoice is received it should be matched to the purchase order raised for the goods. During our testing we identified one occasion when this did not happen. There were mitigating controls in place, and the invoice went down the non-purchase order route within the Agresso system and was appropriately authorised and approved.

## Prior year recommendations

As part of our audit we have specifically followed up the Authority’s progress in addressing the recommendation in last years ISA 260 report.

The Authority has implemented the recommendations in our *ISA 260 Report 2013/14*.

Appendix 1 provides further details.

**We confirm that we have complied with requirements on objectivity and independence in relation to this year's audit of the Authority's financial statements.**

**Before we can issue our opinion we require a signed management representation letter.**

**Once we have finalised our opinions and conclusions we will prepare our *Annual Audit Letter* and close our audit.**

#### **Declaration of independence and objectivity**

As part of the finalisation process we are required to provide you with representations concerning our independence.

In relation to the audit of the financial statements of Derbyshire Dales District Council for the year ending 31 March 2015, we confirm that there were no relationships between KPMG LLP and Derbyshire Dales District Council, its directors and senior management and its affiliates that we consider may reasonably be thought to bear on the objectivity and independence of the audit engagement lead and audit staff. We also confirm that we have complied with Ethical Standards and the Public Sector Audit Appointments Ltd requirements in relation to independence and objectivity.

We have provided a detailed declaration in Appendix 4 in accordance with ISA 260.

#### **Management representations**

You are required to provide us with representations on specific matters such as your financial standing and whether the transactions within the accounts are legal and unaffected by fraud. We have provided a template to the Responsible Finance Officer for presentation to the Governance and Resources Committee. We require a signed copy of your management representations before we issue our audit opinion.

Other matters

ISA 260 requires us to communicate to you by exception 'audit matters of governance interest that arise from the audit of the financial statements' which include:

- significant difficulties encountered during the audit;
- significant matters arising from the audit that were discussed, or subject to correspondence with management;

- other matters, if arising from the audit that, in the auditor's professional judgment, are significant to the oversight of the financial reporting process; and
- matters specifically required by other auditing standards to be communicated to those charged with governance (e.g. significant deficiencies in internal control; issues relating to fraud, compliance with laws and regulations, subsequent events, non disclosure, related party, public interest reporting, questions/objections, opening balances etc).

There are no others matters which we wish to draw to your attention in addition to those highlighted in this report.

**Our VFM conclusion considers how the Authority secures financial resilience and challenges how it secures economy, efficiency and effectiveness.**

**We have concluded that the Authority has made proper arrangements to secure economy, efficiency and effectiveness in its use of resources.**

### Background

Auditors are required to give their statutory VFM conclusion based on two criteria specified by the Audit Commission. These consider whether the Authority has proper arrangements in place for:

- securing financial resilience: looking at the Authority’s financial governance, financial planning and financial control processes; and
- challenging how it secures economy, efficiency and effectiveness: looking at how the Authority is prioritising resources and improving efficiency and productivity.

We follow a risk based approach to target audit effort on the areas of greatest audit risk. We consider the arrangements put in place by the Authority to mitigate these risks and plan our work accordingly.

The key elements of the VFM audit approach are summarised in the diagram below.

### Work completed

We performed a risk assessment earlier in the year and have reviewed this throughout the year.

We have not identified any significant risks to our VFM conclusion and therefore have not completed any additional work.

### Conclusion

We have concluded that the Authority has made proper arrangements to secure economy, efficiency and effectiveness in its use of resources.

VFM criterion	Met
Securing financial resilience	✓
Securing economy, efficiency and effectiveness	✓



## Appendix 1: Key issues and recommendations

We have given each recommendation a risk rating and agreed what action management will need to take.

The Authority should closely monitor progress in addressing specific risks and implementing our recommendations.

We will formally follow up this recommendations next year.

### Priority rating for recommendations

**1** *Priority one:* issues that are fundamental and material to your system of internal control. We believe that these issues might mean that you do not meet a system objective or reduce (mitigate) a risk.

**2** *Priority two:* issues that have an important effect on internal controls but do not need immediate action. You may still meet a system objective in full or in part or reduce (mitigate) a risk adequately but the weakness remains in the system.

**3** *Priority three:* issues that would, if corrected, improve the internal control in general but are not vital to the overall system. These are generally issues of best practice that we feel would benefit you if you introduced them.

No.	Risk	Issue and recommendation	Management response / responsible officer / due date
1	3	<p><b>Non pay expenditure</b></p> <p>We identified one instance when an invoice received was not matched to the purchase order raised, to ensure that it had been correctly approved. Mitigating controls were in place to ensure that was correctly authorised and paid</p> <p><b>Recommendation</b></p> <p>Care should be taken to ensure that invoices are matched to purchase orders when then are received</p>	<p>This issue did not cause an overpayment and mitigating controls were in place to ensure that the payment was authorised. However, the invoice was not processed in the most efficient manner. Therefore, this matter will be discussed with our contractor, Arvato, with a request that officers handling invoices be reminded that they should take care to ensure that invoices are matched to purchase orders when then are received</p>

## Appendix 2: Follow up of prior year recommendations

The Authority has implemented all of the recommendations in our ISA 260 Report 2013/14.

This appendix summarises the progress made to implement the recommendations identified in our ISA 260 Report 2013/14 and re-iterates any recommendations still outstanding.

Number of recommendations that were:	
Included in original report	1
Implemented in year or superseded	1
Remain outstanding (re-iterated below)	0

No.	Risk	Issue and recommendation	Officer responsible and due date	Status as at September 2015
1	1	<p><b>Related party transactions</b></p> <p>At the commencement of our audit, related party disclosure declarations had not been returned by three Members despite repeated reminders and discussion of the importance of the returns following Inclusion of a similar recommendation in our ISA260 report and reference to the issue in our Annual Audit Letter in 2012/13.</p> <p><b>Recommendation</b></p> <p>Every member should fulfil their responsibility to respond promptly to requests for information on related party transactions.</p>	<p>Head of Resources</p> <p>Before the May 15 election to ensure that response can be obtained from all members in relation to 2014/15.</p>	<p>All related party disclosures were received prior to the commencement of the financial statements audit.</p>

**This appendix sets out the audit differences.**

**The financial statements have been amended for all of the errors identified through the audit process.**

We are required by ISA 260 to report all uncorrected misstatements, other than those that we believe are clearly trivial, to those charged with governance (which in your case is the Audit Committee). We are also required to report all material misstatements that have been corrected but that we believe should be communicated to you to assist you in fulfilling your governance responsibilities.

#### **Uncorrected audit differences**

We are pleased to report that there are no uncorrected audit differences.

#### **Corrected audit differences**

#### **Material misstatements**

We are pleased to report that there are no material misstatements identified

A number of minor amendments focused on presentational improvements have also been made to the draft financial statements. The Finance Department are committed to continuous improvement in the quality of the financial statements submitted for audit in future years.

**The Code of Audit Practice requires us to exercise our professional judgement and act independently of both Public Sector Audit Appointments Ltd and the Authority.**

### Requirements

Auditors appointed by Public Sector Audit Appointments Ltd must comply with the *Code of Audit Practice* (the 'Code') which states that:

*“Auditors and their staff should exercise their professional judgement and act independently of both the Commission and the audited body. Auditors, or any firm with which an auditor is associated, should not carry out work for an audited body that does not relate directly to the discharge of auditors’ functions, if it would impair the auditors’ independence or might give rise to a reasonable perception that their independence could be impaired.”*

In considering issues of independence and objectivity we consider relevant professional, regulatory and legal requirements and guidance, including the provisions of the Code, the detailed provisions of the Statement of Independence included within the Public Sector Audit Appointments Ltd *Terms of Appointment* ('Public Sector Audit Appointments Ltd Guidance') and the requirements of APB Ethical Standard 1 *Integrity, Objectivity and Independence* ('Ethical Standards').

The Code states that, in carrying out their audit of the financial statements, auditors should comply with auditing standards currently in force, and as may be amended from time to time. Public Sector Audit Appointments Ltd guidance requires appointed auditors to follow the provisions of ISA (UK & I) 260 *Communication of Audit Matters with Those Charged with Governance* that are applicable to the audit of listed companies. This means that the appointed auditor must disclose in writing:

- Details of all relationships between the auditor and the client, its directors and senior management and its affiliates, including all services provided by the audit firm and its network to the client, its directors and senior management and its affiliates, that the auditor considers may reasonably be thought to bear on the auditor's objectivity and independence.

- The related safeguards that are in place.
- The total amount of fees that the auditor and the auditor's network firms have charged to the client and its affiliates for the provision of services during the reporting period, analysed into appropriate categories, for example, statutory audit services, further audit services, tax advisory services and other non-audit services. For each category, the amounts of any future services which have been contracted or where a written proposal has been submitted are separately disclosed. We do this in our *Annual Audit Letter*.

Appointed auditors are also required to confirm in writing that they have complied with Ethical Standards and that, in the auditor's professional judgement, the auditor is independent and the auditor's objectivity is not compromised, or otherwise declare that the auditor has concerns that the auditor's objectivity and independence may be compromised and explaining the actions which necessarily follow from his. These matters should be discussed with the Governance and Resources Committee.

Ethical Standards require us to communicate to those charged with governance in writing at least annually all significant facts and matters, including those related to the provision of non-audit services and the safeguards put in place that, in our professional judgement, may reasonably be thought to bear on our independence and the objectivity of the Engagement Lead and the audit team.

### General procedures to safeguard independence and objectivity

KPMG's reputation is built, in great part, upon the conduct of our professionals and their ability to deliver objective and independent advice and opinions. That integrity and objectivity underpins the work that KPMG performs and is important to the regulatory environments in which we operate. All partners and staff have an obligation to maintain the relevant level of required independence and to identify and evaluate circumstances and relationships that may impair that independence.



**We confirm that we have complied with requirements on objectivity and independence in relation to this year's audit of the Authority's financial statements.**

Acting as an auditor places specific obligations on the firm, partners and staff in order to demonstrate the firm's required independence. KPMG's policies and procedures regarding independence matters are detailed in the *Ethics and Independence Manual* ('the Manual'). The Manual sets out the overriding principles and summarises the policies and regulations which all partners and staff must adhere to in the area of professional conduct and in dealings with clients and others.

KPMG is committed to ensuring that all partners and staff are aware of these principles. To facilitate this, a hard copy of the Manual is provided to everyone annually. The Manual is divided into two parts. Part 1 sets out KPMG's ethics and independence policies which partners and staff must observe both in relation to their personal dealings and in relation to the professional services they provide. Part 2 of the Manual summarises the key risk management policies which partners and staff are required to follow when providing such services.

All partners and staff must understand the personal responsibilities they have towards complying with the policies outlined in the Manual and follow them at all times. To acknowledge understanding of and adherence to the policies set out in the Manual, all partners and staff are required to submit an annual ethics and independence confirmation. Failure to follow these policies can result in disciplinary action.

#### **Auditor declaration**

In relation to the audit of the financial statements of Derbyshire Dales District Council for the financial year ending 31 March 2015, we confirm that there were no relationships between KPMG LLP and Derbyshire Dales District Council, its directors and senior management and its affiliates that we consider may reasonably be thought to bear on the objectivity and independence of the audit engagement lead and audit staff. We also confirm that we have complied with Ethical Standards and the Public Sector Audit Appointments Ltd requirements in relation to independence and objectivity.

For 2014/15 our materiality is £0.8 million for the Authority's accounts.

### Materiality

The assessment of what is material is a matter of professional judgment and includes consideration of three aspects: materiality by value, nature and context.

- Material errors by value are those which are simply of significant numerical size to distort the reader's perception of the financial statements. Our assessment of the threshold for this depends upon the size of key figures in the financial statements, as well as other factors such as the level of public interest in the financial statements.
- Errors which are material by nature may not be large in value, but may concern accounting disclosures of key importance and sensitivity, for example the salaries of senior staff.
- Errors that are material by context are those that would alter key figures in the financial statements from one result to another – for example, errors that change successful performance against a target to failure.

We used the same planning materiality reported in our External Audit Plan 2014/15, presented to you in March 2015

Materiality for the Authority's accounts was set at £0.8 m which equates to around 2% percent of gross expenditure. We design our procedures to detect errors in specific accounts at a lower level of precision.

### Reporting to the Governance and Resources Committee

Whilst our audit procedures are designed to identify misstatements which are material to our opinion on the financial statements as a whole, we nevertheless report to the Governance and Resources Committee any misstatements of lesser amounts to the extent that these are identified by our audit work.

Under ISA 260, we are obliged to report omissions or misstatements other than those which are 'clearly trivial' to those charged with governance. ISA 260 defines 'clearly trivial' as matters that are clearly inconsequential, whether taken individually or in aggregate and whether judged by any quantitative or qualitative criteria.

ISA 450 requires us to request that uncorrected misstatements are corrected.

In the context of the Authority, we propose that an individual difference could normally be considered to be clearly trivial if it is less than £0.04m for the Authority.

Where management have corrected material misstatements identified during the course of the audit, we will consider whether those corrections should be communicated to the Governance and Resources Committee to assist it in fulfilling its governance responsibilities.

## Appendix 6: KPMG Audit Quality Framework

We continually focus on delivering a high quality audit.

This means building robust quality control procedures into the core audit process rather than bolting them on at the end, and embedding the right attitude and approaches into management and staff.

KPMG's Audit Quality Framework consists of seven key drivers combined with the commitment of each individual in KPMG.

The diagram summarises our approach and each level is expanded upon.

At KPMG we consider audit quality is not just about reaching the right opinion, but how we reach that opinion. KPMG views the outcome of a quality audit as the delivery of an appropriate and independent opinion in compliance with the auditing standards. It is about the processes, thought and integrity behind the audit report. This means, above all, being independent, compliant with our legal and professional requirements, and offering insight and impartial advice to you, our client.

KPMG's Audit Quality Framework consists of seven key drivers combined with the commitment of each individual in KPMG. We use our seven drivers of audit quality to articulate what audit quality means to KPMG.

We believe it is important to be transparent about the processes that sit behind a KPMG audit report, so you can have absolute confidence in us and in the quality of our audit.

**Tone at the top:** We make it clear that audit quality is part of our culture and values and therefore non-negotiable. Tone at the top is the umbrella that covers all the drives of quality through a focused and consistent voice. Sue Sunderland as the Engagement Lead sets the tone on the audit and leads by example with a clearly articulated audit strategy and commits a significant proportion of his time throughout the audit directing and supporting the team.

**Association with right clients:** We undertake rigorous client and engagement acceptance and continuance procedures which are vital to the ability of KPMG to provide high-quality professional services to our clients.

**Clear standards and robust audit tools:** We expect our audit professionals to adhere to the clear standards we set and we provide a range of tools to support them in meeting these expectations. The global rollout of KPMG's eAudIT application has significantly enhanced existing audit functionality. eAudIT enables KPMG to deliver a highly

technically enabled audit. All of our staff have a searchable data base, Accounting Research Online, that includes all published accounting standards, the KPMG Audit Manual Guidance as well as other relevant sector specific publications, such as the Audit Commission's *Code of Audit Practice*.



**Recruitment, development and assignment of appropriately qualified personnel:** One of the key drivers of audit quality is assigning professionals appropriate to the Authority's risks. We take great care to assign the right people to the right clients based on a number of factors including their skill set, capacity and relevant experience.

We have a well developed technical infrastructure across the firm that puts us in a strong position to deal with any emerging issues. This includes:

- A national public sector technical director who has responsibility for co-ordinating our response to emerging accounting issues, influencing accounting bodies (such as CIPFA) as well as acting as a sounding board for our auditors.
- A national technical network of public sector audit professionals is established that meets on a monthly basis and is chaired by our national technical director.
- All of our staff have a searchable data base, Accounting Research Online, that includes all published accounting standards, the KPMG Audit Manual Guidance as well as other relevant sector specific publications, such as the Audit Commission's *Code of Audit Practice*.
- A dedicated Department of Professional Practice comprised of over 100 staff that provide support to our audit teams and deliver our web-based quarterly technical training.

**We continually focus on delivering a high quality audit.**

**This means building robust quality control procedures into the core audit process rather than bolting them on at the end, and embedding the right attitude and approaches into management and staff.**

**Quality must build on the foundations of well trained staff and a robust methodology.**

### **Commitment to technical excellence and quality service delivery:**

Our professionals bring you up- the-minute and accurate technical solutions and together with our specialists are capable of solving complex audit issues and delivering valued insights.

Our audit team draws upon specialist resources including Forensic, Corporate Finance, Transaction Services, Advisory, Taxation, Actuarial and IT. We promote technical excellence and quality service delivery through training and accreditation, developing business understanding and sector knowledge, investment in technical support, development of specialist networks and effective consultation processes.

**Performance of effective and efficient audits:** We understand that how an audit is conducted is as important as the final result. Our drivers of audit quality maximise the performance of the engagement team during the conduct of every audit. We expect our people to demonstrate certain key behaviors in the performance of effective and efficient audits. The key behaviors that our auditors apply throughout the audit process to deliver effective and efficient audits are outlined below:

- timely Engagement Lead and manager involvement;
- critical assessment of audit evidence;
- exercise of professional judgment and professional scepticism;
- ongoing mentoring and on the job coaching, supervision and review;
- appropriately supported and documented conclusions;
- if relevant, appropriate involvement of the Engagement Quality Control reviewer (EQC review);
- clear reporting of significant findings;
- insightful, open and honest two-way communication with those charged with governance; and
- client confidentiality, information security and data privacy.

**Commitment to continuous improvement:** We employ a broad range of mechanisms to monitor our performance, respond to feedback and understand our opportunities for improvement.

### **Our quality review results**

Public Sector Audit Appointments Ltd publishes information on the quality of work provided by us (and all other firms) for audits undertaken on behalf of them (<http://www.psa.co.uk/audit-quality/principal-audits/kpmg-audit-quality/>).

The latest Annual Regulatory Compliance and Quality Report (issued June 2015) showed that we are meeting the overall audit quality and regulatory compliance requirements.



*cutting through complexity™*

[BACK TO AGENDA](#)

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GOVERNANCE AND RESOURCES COMMITTEE  
17<sup>th</sup> SEPTEMBER 2015

Report of the Head of Resources

See also the Draft Statement of  
Accounts 2014/15 circulated  
with the agenda

**STATEMENT OF ACCOUNTS 2014/15**

**SUMMARY**

This report provides interpretation of the Statement of Accounts for 2014/15 and highlights the key issues. The Committee is requested to consider and approve the Statement of Accounts.

**RECOMMENDATION**

That the Committee approves the Statement of Accounts for 2014/15.

**WARDS AFFECTED**

All.

**STRATEGIC LINK**

The Council's financial position is taken into account in determining all the priorities in the Corporate Plan.

The financial position as at 31<sup>st</sup> March 2015 will be reflected in the Sustainable Financial Plan, which will be updated for the Council Meeting on 24<sup>th</sup> September, 2015, and in the revenue spending proposals for 2016/17, which will be presented in early 2016.

---

**1. BACKGROUND**

1.1 Under the Accounts and Audit Regulations 2011 the District Council must:-

- consider either by way of a Committee or by the Members meeting as a whole the Statement of Accounts;
- following that consideration, approve the Statement of Accounts by a resolution of that Committee or meeting;
- following approval, ensure that the Statement of Accounts is signed and dated by the person presiding at the Committee or meeting at which that approval was given; and
- publish (which must include publication on the Council's website), the Statement of Accounts together with any certificate, opinion, or report issued, given or made by the auditor.

## 2. REPORT

2.1 The Statement of Accounts 2014/15, distributed separately with this Agenda, has been audited by the Audit Commission.

Some minor changes have been made to the notes to the accounts in order to address issues raised by the External Auditor. However, the overall financial position remains the same as that reported to Council on 25th June 2015.

2.2 The Audit Opinion will be issued after the Committee has approved the Statement of Accounts. As part of corporate governance, the External Auditor is required to report relevant matters relating to the audit to the Committee. The Annual Governance Report 2014/15 from the External Auditor is included elsewhere on the Agenda of this meeting.

2.3 The Accounts and Audit Regulations state that the accounts must be prepared in accordance with “proper practices”. The Local Government Act 2003 defines proper practices as those:

- Which the authority is required to follow by virtue of any enactment, or
- Which are contained in a code of practice or other document which is identified by the Secretary of State. The Secretary of State has determined that the following documents are relevant:
  - The Code of Practice on Local Authority Accounting in the United Kingdom 2014/15 (the Code), published by the Chartered Institute of Public Finance and Accountancy (CIPFA);
  - The Service Reporting Code of Practice (SeRCOP), published by CIPFA.

2.4 The Council’s accounts have been prepared to comply with proper practices, as demonstrated by the satisfactory completion of the external audit of the accounts. Compliance can also be checked by reviewing the Statement of Accounts against the Audit Commission’s Aide Memoire, which is included as Appendix 1 to this report.

### **3 RISK ASSESSMENT**

#### **3.1 Legal**

Legal Considerations are contained within the body of the report. The legal risk is low.

#### **3.2 Financial**

The accounts have been prepared in accordance with proper practices, and have been audited. There is therefore no financial risk arising from this report.

#### **3.3 Corporate Risk**

A risk assessment of the final accounts process has not identified any significant corporate risks.

### **4 OTHER CONSIDERATIONS**

In preparing this report the relevance of the following factors is also been considered prevention of crime and disorder, equality of opportunity, environmental health, legal and human rights, financial personal and property considerations.

### **5. CONTACT INFORMATION**

For further information contact:

Karen Henriksen, Head of Resources

Telephone: 01629 761284

E-mail: [karen.henriksen@derbyshiredales.gov.uk](mailto:karen.henriksen@derbyshiredales.gov.uk)

### **6. BACKGROUND PAPERS**

None

### **7. ATTACHMENTS**

Appendix 1 – Statement of Accounts 2014/15 – Aide Memoire for Members

Draft Statement of Accounts 2014/15 circulated separately, but with the agenda for this meeting.



## STATEMENT OF ACCOUNTS 2014/15 - AIDE MEMOIRE FOR MEMBERS

The purpose of the questions below is to help establish and provide evidence of a robust review of the accounts by the S151 officer and Members.

No.	Issue	Members comment and evidence
1	<p>Was the closedown plan (which allows the statement of accounts to be approved by members by 30 September 2015) achieved?</p> <p>Does this allow sufficient time for member review?</p>	<p>The accounts were signed by the S151 Officer on 8<sup>th</sup> September and sent to Members prior to Governance and Resources Committee on 17<sup>th</sup> September.</p>
2	<p>Have the auditors received regular updates on the plan and been warned of potential problems?</p>	<p>The auditors received a copy of the plan in March.</p> <p>During the closure process discussions have been held with the auditors regarding various areas of accounting. The key issues were:</p> <ul style="list-style-type: none"> <li>• Non-pay expenditure</li> <li>• Property, plant and equipment</li> <li>• Related Party Transactions</li> <li>• Accounting for Business Rates</li> </ul> <p>The auditors were given a copy of the completed disclosure checklist and draft accounts at the commencement of the audit – the disclosure checklist helps them to identify potential problem areas.</p>
3	<p>Have staff preparing the accounts attended CIPFA/Audit Commission workshops and are they aware of the key issues and changes in the CIPFA Code of Practice 2014/15?</p>	<p>Yes.</p> <p>The Accountancy and Exchequer Manager and the Principal Accountant attended a CIPFA workshop on 2014/15 Accounts Closedown.</p> <p>The Principal Accountant attended the KPMG Final Accounts Workshop.</p>
4	<p>Do staff preparing the accounts have up to date CIPFA guidance notes for practitioners?</p>	<p>Yes</p>

No.	Issue	Members comment and evidence
5	Have the accounts been checked for casting errors, internal inconsistency and cross referencing? (All numbers which are expected to agree do agree).	Yes. Extensive use of Excel is incorporated into the document to reduce the risk of casting errors and to check internal consistency. Internal consistency and cross referencing is also checked thoroughly by senior accounting staff.
6	Does the explanatory foreword set out the results for the year and comparison to budget, commenting on the significant items?  Do the figures quoted reconcile to the main statements?	Yes – see pages 1 to 6 of the draft Statement of Accounts.  Yes.
7	Has the audit of the accounts been advertised and accounts made available for public inspection?  Have members of the public raised any objections? (If so, what are they?)	Adverts were placed in the Matlock Mercury and Ashbourne News Telegraph during the week ending 26 <sup>th</sup> June 2015, and on our website. The accounts were available for public inspection from 13 <sup>th</sup> July to 7 <sup>th</sup> August.  No objections were received.
8	Has the disclosure checklist been completed in detail and sent, together with a set of the completed accounts, to the auditor as part of the accounts working papers protocol?	The auditors were given a copy of the draft accounts on 30 June 2015 and a copy of the completed disclosure checklist on 17 <sup>th</sup> August 2015.
9	Has a bank reconciliation been completed as at 31 <sup>st</sup> March 2015 with no unexplained entries?	Yes. The bank reconciliation for the year ending 31 <sup>st</sup> March 2015 was completed on 7 <sup>th</sup> May 2015. There were no unexplained entries.
10	Have all year-end control accounts been reconciled?  How have you maintained control when staff are involved in budget preparations Nov – Feb time?  Any significant slippages in reconciling suspense accounts e.g. cash suspense?	Yes.  Sufficient resources in the Accountancy & Exchequer Section and prioritisation of tasks to suitably trained staff (see risk register).  No. Control and suspense accounts are reconciled at least quarterly. The cash suspense account is checked daily.
11	Are there any significant unexplained budget variances and latest forecasts?	No unexplained variances.
12	Have working papers been completed in accordance with the auditor's final accounts protocol? Were they ready for the start of the audit?	Yes. Working papers comply with the protocol. They were ready for the start of the audit in August.

No.	Issue	Members comment and evidence
13	Is there a sufficient basket of evidence gathered to allow the S151 officer and members to conclude on the effectiveness of Internal Audit, in relation to the Annual Governance Statement? E.g. Self-assessment by Internal Audit Manager, External Auditor's view of Internal Audit, Heads of Service view of Internal Audit.	<p>The Annual Governance Statement 2014/15, identifying the Governance Framework and a review of its effectiveness, was approved by the Council on 25<sup>th</sup> June 2015.</p> <p>The Internal Audit Annual Report was considered by Governance &amp; Resources Committee on 16<sup>th</sup> July 2015.</p> <p>The Internal Audit section is subject to regular inspection by the Council's external auditors, who place reliance on the work undertaken by the section.</p>
14	Has the action plan from the previous year's Annual Governance Statement been complied with? Are there any remaining control risks that undermine the content of the Annual Governance Statement or the Accounts?	<p>The action plan for the 2013/14 Annual Governance Statement has been complied with, i.e.</p> <ul style="list-style-type: none"> <li>• Efficiency savings have been achieved to allow a balanced budget to be set for 2015/16. The Council continues to plan and monitor the achievement of efficiency savings, regularly updating the medium term financial plan.</li> <li>• Action to recover Housing Benefit overpayments is continuing, and the position is being regularly monitored. New procedures have been implemented for the recovery of debts and the adequacy of the bad debt provision is being reviewed.</li> </ul>

Prepared by Karen Henriksen, Head of Resources 08/09/2015.

**BACK TO AGENDA**

GOVERNANCE AND RESOURCES COMMITTEE  
17<sup>th</sup> SEPTEMBER 2015

Report of the Head of Resources

---

**LETTER OF REPRESENTATION**

**SUMMARY**

This report requests that Members consider the draft Letter of Representation as part of their responsibility for approving the financial statements.

**RECOMMENDATION**

That the draft Letter of Representation be approved.

**WARDS AFFECTED**

All

**STRATEGIC LINK**

The Letter of Representation is an important aspect of the Council's corporate governance arrangements. As such, it contributes towards the achievement of all the Council's aims, priorities and targets.

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**1 REPORT**

- 1.1 The International Standard on Auditing (U.K. & Ireland) 580 (ISA 580) requires the external auditor to obtain evidence that the Council's management acknowledges its responsibility for the fair presentation of the financial statements in accordance with the applicable financial reporting framework, and has approved the financial statements. The auditor can obtain evidence of management's acknowledgement of such responsibility by obtaining a written representation from management and a signed copy of the financial statements.
- 1.2 ISA 580 gives guidance on matters which might be included in a management "letter of representation". The Head of Resources' letter of representation has been prepared in accordance with that guidance and is given in Appendix 1. In preparing the letter, the Head of Resources has consulted with members of the Council's Corporate Leadership Team, and has discussed the draft contents with the External Auditor. The letter contains no matters of concern which need to be brought to the attention of Members.
- 1.3 In addition, ISA 580 requires the external auditor to obtain evidence that those charged with governance acknowledge their collective responsibility for the preparation of, and have approved, the financial statements. Approval of the letter of representation by the Corporate Committee prior to receiving the external auditor's Annual Governance Report contributes to that evidence.

## **2 RISK ASSESSMENT**

### 2.1 Legal

There are no legal risks arising from the report.

### 2.2 Financial

There are no financial risks arising from the report.

### 2.3 Corporate

There are no corporate risks arising from this report.

## **3 OTHER CONSIDERATIONS**

In preparing this report the relevance of the following factors is also been considered prevention of crime and disorder, equality of opportunity, environmental health, legal and human rights, financial personal and property considerations.

## **4 CONTACT INFORMATION**

Karen Henriksen, Head of Resources

Telephone: 01629 761284

Email: [karen.henriksen@derbyshiredales.gov.uk](mailto:karen.henriksen@derbyshiredales.gov.uk)

## **5 BACKGROUND PAPERS**

International Standard on Auditing (UK & Ireland) 580 – Management Representations

## **6 ATTACHMENTS**

Appendix 1 – Letter of Representation



Mrs S. Sunderland  
KPMG LLP  
St. Nicholas House  
31 Park Row  
Nottingham  
NG1 6FQ

Please ask for: Karen Henriksen  
Direct Dial No: 01629 761284  
Your Ref.  
My Ref. CE/KH  
E-mail: karen.henriksen@derbyshiredales.gov.uk

17 September 2015

Dear Sue,

Derbyshire Dales District Council - Audit for the year ended 31 March 2015

This representation letter is provided in connection with your audit of the financial statements of Derbyshire Dales District Council ("the Authority"), for the year ended 31 March 2015, for the purpose of expressing an opinion:

- i. as to whether these financial statements give a true and fair view of the financial position of the Authority as at 31 March 2015 and of the Authority's expenditure and income for the year then ended; and
- ii. whether the financial statements have been prepared properly in accordance with the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2014/15.

These financial statements comprise the Authority Movement in Reserves Statement, the Authority Comprehensive Income and Expenditure Statement, the Authority Balance Sheet, the Authority Cash Flow Statement and the Collection Fund and the related notes.

The Authority confirms that the representations it makes in this letter are in accordance with the definitions set out in the Appendix to this letter.

The Authority confirms that, to the best of its knowledge and belief, having made such inquiries as it considered necessary for the purpose of appropriately informing itself:

**Financial statements**

1. The Authority has fulfilled its responsibilities, as set out in regulation 8 of the Accounts and Audit (England) Regulations 2011, for the preparation of financial statements that:
  - i. give a true and fair view of the financial position of the Authority as at 31 March 2015 and of the Authority's expenditure and income for the year then ended;

- ii. have been prepared properly in accordance with the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2014/15.

The financial statements have been prepared on a going concern basis.

2. Measurement methods and significant assumptions used by the Authority in making accounting estimates, including those measured at fair value, are reasonable.
3. All events subsequent to the date of the financial statements and for which IAS 10 *Events after the reporting period* requires adjustment or disclosure have been adjusted or disclosed.

### Information provided

4. The Authority has provided you with:

- access to all information of which it is aware, that is relevant to the preparation of the financial statements, such as records, documentation and other matters;
- additional information that you have requested from the Authority for the purpose of the audit; and
- unrestricted access to persons within the Authority from whom you determined it necessary to obtain audit evidence.

5. All transactions have been recorded in the accounting records and are reflected in the financial statements.

6. The Authority confirms the following:

- i) The Authority has disclosed to you the results of its assessment of the risk that the financial statements may be materially misstated as a result of fraud.

Included in the Appendix to this letter are the definitions of fraud, including misstatements arising from fraudulent financial reporting and from misappropriation of assets.

ii) The Authority has disclosed to you all information in relation to:

- a) Fraud or suspected fraud that it is aware of and that affects the Authority and involves:
  - management;
  - employees who have significant roles in internal control; or
  - others where the fraud could have a material effect on the financial statements; and

b) allegations of fraud, or suspected fraud, affecting the Authority's financial statements communicated by employees, former employees, analysts, regulators or others.

In respect of the above, the Authority acknowledges its responsibility for such internal control as it determines necessary for the preparation of financial statements that are free

from material misstatement, whether due to fraud or error. In particular, the Authority acknowledges its responsibility for the design, implementation and maintenance of internal control to prevent and detect fraud and error.

7. The Authority has disclosed to you all known instances of non-compliance or suspected non-compliance with laws and regulations whose effects should be considered when preparing the financial statements.
8. The Authority has disclosed to you and has appropriately accounted for and/or disclosed in the financial statements, in accordance with IAS 37 *Provisions, Contingent Liabilities and Contingent Assets*, all known actual or possible litigation and claims whose effects should be considered when preparing the financial statements.
9. The Authority has disclosed to you the identity of the Authority's related parties and all the related party relationships and transactions of which it is aware. All related party relationships and transactions have been appropriately accounted for and disclosed in accordance with IAS 24 *Related Party Disclosures*.
10. The Authority confirms that:
  - a) The financial statements disclose all of the key risk factors, assumptions made and uncertainties surrounding the Authority's ability to continue as a going concern as required to provide a true and fair view.
  - b) Any uncertainties disclosed are not considered to be material and therefore do not cast significant doubt on the ability of the Authority to continue as a going concern.
11. On the basis of the process established by the Authority and having made appropriate enquiries, the Authority is satisfied that the actuarial assumptions underlying the valuation of defined benefit obligations are consistent with its knowledge of the business and are in accordance with the requirements of IAS 19 (revised) *Employee Benefits*.

The Authority further confirms that:

- a) all significant retirement benefits, including any arrangements that are:
  - statutory, contractual or implicit in the employer's actions;
  - arise in the UK and the Republic of Ireland or overseas;
  - funded or unfunded; and
  - approved or unapproved,

have been identified and properly accounted for; and

- b) all plan amendments, curtailments and settlements have been identified and properly accounted for.



This letter was tabled and agreed at the meeting of the Governance and Resources Committee on 17 September 2015.

Yours sincerely,

Karen Henriksen

**Head of Resources**

Councillor J Stevens

**Chairman of Governance and Resources Committee**

DRAFT

## **Appendix to the Authority Representation Letter of Derbyshire Dales District Council: Definitions**

### **Financial Statements**

A complete set of financial statements comprises:

- A Comprehensive Income and Expenditure Statement for the period
- A Balance Sheet as at the end of the period
- A Movement in Reserves Statement for the period
- A Cash Flow Statement for the period
- Notes, comprising a summary of significant accounting policies and other explanatory information.

A local authority is required to present group accounts in addition to its single entity accounts where required by chapter nine of the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2014/15.

A housing authority must present:

- a HRA Income and Expenditure Statement; and
- a Movement on the Housing Revenue Account Statement.

A billing authority must present a Collection Fund Statement for the period showing amounts required by statute to be debited and credited to the Collection Fund.

A pension fund administering authority must prepare Pension Fund accounts in accordance with Chapter 6.5 of the Code of Practice.

An entity may use titles for the statements other than those used in IAS 1. For example, an entity may use the title 'statement of comprehensive income' instead of 'statement of profit or loss and other comprehensive income'.

### **Material Matters**

Certain representations in this letter are described as being limited to matters that are material.

IAS 1.7 and IAS 8.5 state that:

“Material omissions or misstatements of items are material if they could, individually or collectively, influence the economic decisions that users make on the basis of the financial statements. Materiality depends on the size and nature of the omission or misstatement judged in the surrounding circumstances. The size or nature of the item, or a combination of both, could be the determining factor.”

## **Fraud**

Fraudulent financial reporting involves intentional misstatements including omissions of amounts or disclosures in financial statements to deceive financial statement users.

Misappropriation of assets involves the theft of an entity's assets. It is often accompanied by false or misleading records or documents in order to conceal the fact that the assets are missing or have been pledged without proper authorisation.

## **Error**

An error is an unintentional misstatement in financial statements, including the omission of an amount or a disclosure.

Prior period errors are omissions from, and misstatements in, the entity's financial statements for one or more prior periods arising from a failure to use, or misuse of, reliable information that:

- a) was available when financial statements for those periods were authorised for issue; and
- b) could reasonably be expected to have been obtained and taken into account in the preparation and presentation of those financial statements.

Such errors include the effects of mathematical mistakes, mistakes in applying accounting policies, oversights or misinterpretations of facts, and fraud.

## **Management**

For the purposes of this letter, references to "management" should be read as "management and, where appropriate, those charged with governance".

## **Related Party and Related Party Transaction**

### **Related party:**

A related party is a person or entity that is related to the entity that is preparing its financial statements (referred to in IAS 24 *Related Party Disclosures* as the "reporting entity").

- a) A person or a close member of that person's family is related to a reporting entity if that person:
  - i. has control or joint control over the reporting entity;
  - ii. has significant influence over the reporting entity; or
  - iii. is a member of the key management personnel of the reporting entity or of a parent of the reporting entity.

- b) An entity is related to a reporting entity if any of the following conditions applies:
- i. The entity and the reporting entity are members of the same group (which means that each parent, subsidiary and fellow subsidiary is related to the others).
  - ii. One entity is an associate or joint venture of the other entity (or an associate or joint venture of a member of a group of which the other entity is a member).
  - iii. Both entities are joint ventures of the same third party.
  - iv. One entity is a joint venture of a third entity and the other entity is an associate of the third entity.
  - v. The entity is a post-employment benefit plan for the benefit of employees of either the reporting entity or an entity related to the reporting entity. If the reporting entity is itself such a plan, the sponsoring employers are also related to the reporting entity.
  - vi. The entity is controlled, or jointly controlled by a person identified in (a).
  - vii. A person identified in (a)(i) has significant influence over the entity or is a member of the key management personnel of the entity (or of a parent of the entity).

Key management personnel in a local authority context are all chief officers (or equivalent), elected members, the chief executive of the authority and other persons having the authority and responsibility for planning, directing and controlling the activities of the authority, including the oversight of these activities.

A reporting entity is exempt from the disclosure requirements of IAS 24.18 in relation to related party transactions and outstanding balances, including commitments, with:

- a) a government that has control, joint control or significant influence over the reporting entity; and
- b) another entity that is a related party because the same government has control, joint control or significant influence over both the reporting entity and the other entity.

**Related party transaction:**

A transfer of resources, services or obligations between a reporting entity and a related party, regardless of whether a price is charged.

**BACK TO AGENDA**

GOVERNANCE AND RESOURCES COMMITTEE  
17<sup>th</sup> SEPTEMBER 2015

Report of the Head of Resources

---

## **INTERNAL AUDIT CHARTER**

### **SUMMARY**

The purpose of this report is to report to Members for information and to approve the results of a review of the Internal Audit Charter for the Internal Audit Section.

### **RECOMMENDATIONS**

That Members note the outcome of the review of the Internal Audit Sections Charter.

That, subject to any comments Members may wish to make, that the updated Internal Audit Charter be agreed.

That the agreed Internal Audit Charter be reviewed in 2 years' time or sooner in the event of any significant changes being made to the Public Sector Internal Audit Standards.

### **WARDS AFFECTED**

All

### **STRATEGIC LINK**

Internal Audit's service aims and objectives are the provision of an independent service, which objectively examines, evaluates and reports to the Council and its management on the adequacy of the control environment as a contribution to the proper economic, efficient and effective use of resources.

---

## **1 Background**

**1.1** The Public Sector Internal Audit Standards (PSIAS) which took effect from the 1 April 2013 require that the purpose, authority and responsibility of internal audit must be formally defined in an internal audit charter.

**1.2** In September 2013 the Internal Audit Charter and Strategy was formally approved by the Corporate Committee Members. Since that time, DDDC has now employed the services of the Head of the Internal Audit Consortium (Chesterfield Borough, North East Derbyshire and

Bolsover District Council's) to provide a management service and ensure compliance with the PSIAS.

- 1.3 The PSIAS requires the Head of Internal Audit to review the charter periodically but final approval rests with the Governance and Resources Committee.
- 1.4 It should be noted that there has been no update or revision to the Public Sector Internal Audit Standards (PSIAS) since the 2013 version.
- 1.5 As the Internal Audit Consortium and DDDC's Internal Audit Section have very similar working practices it is felt appropriate that the same Internal Audit Charter is adopted for both. The Charters were very similar in content and both complied with the requirements of the PSIAS.
- 1.6 The Consortium's Charter has been reviewed and apart from some minor updates it is considered that the current charter is still appropriate and accords with the PSIAS. The wording of the attached Charter has been tailored to DDDC.

## **2 The Internal Audit Charter**

- 2.1 The Internal Audit Charter is attached as Appendix 1.
- 2.2 The internal audit charter is a formal document and the PSIAS require that it should:
  - Recognise the mandatory nature of the PSIAS.
  - Define the scope of internal audit activities.
  - Establish the responsibilities and objectives of internal audit.
  - Establish the organisational independence of internal audit.
  - Establish the accountability, reporting lines and relationships between the Head of Internal Audit and the Governance and Resources Committee and those to whom the Head of Internal Audit reports to functionally and administratively.
  - Set out the responsibility of the Governance and Resources Committee and other officers with regards to internal audit.
  - Set out the arrangements that exist within the organisations anti-fraud and anti-corruption policies, requiring the Head of Internal Audit to be notified of all suspected or detected fraud, corruption or impropriety, to inform the annual internal audit opinion and the risk-based plan.
  - Recognise that internal audit's remit extends to the entire control environment of the organisation and not just financial controls.
  - Establish internal audits right of access to all records, assets, personnel and premises, including those of partner organisations where appropriate, and its authority to obtain such information and explanations as it considers necessary to fulfil its responsibilities.

The PSIAS also specifies that the charter must:

- Define the terms “board” and “senior management” for the purpose of internal audit activity.
- Cover the arrangements for appropriate resourcing.
- Define the role of internal audit in any fraud related work and
- Include arrangements for avoiding conflicts of interest if internal audit undertakes non-audit activities.

The charter has been formulated to cover the above issues.

## **RISK ASSESSMENT**

Legal

There are no legal considerations arising from this report.

Financial

There are no financial considerations arising from this report.

Corporate Risk

The adoption of an Internal Audit Charter will help to ensure that the Internal Audit Section continues to provide a quality service in line with PSIAS.

## **OTHER CONSIDERATIONS**

In preparing this report the relevance of the following factors is also been considered: prevention of crime and disorder, equality of opportunity, environmental health, legal and human rights, financial personal and property considerations.

## **CONTACT INFORMATION**

Jenny Williams, Interim Head of the Internal Audit Consortium  
[jenny.williams@Chesterfield.gov.uk](mailto:jenny.williams@Chesterfield.gov.uk)

## **BACKGROUND PAPERS**

None

## **ATTACHMENTS**

Appendix 1 – Internal Audit Charter

# DERBYSHIRE DALES DISTRICT COUNCIL

## INTERNAL AUDIT CHARTER

### INTRODUCTION

1. The Public Sector Internal Audit Standards (PSIAS) which took effect from 1 April 2013 require the adoption of an Internal Audit Charter. This Charter describes the purpose, authority and principal responsibilities of the Internal Audit Section that have been established to provide the internal audit service to Derbyshire Dales District Council.

### PSIAS/REGULATORY BASIS OF OPERATION

2. The adoption of the PSIAS is mandatory and includes a
  - Definition of Internal Auditing
  - Code of ethics
  - International Standards for the Professional Practice of Internal Auditing
3. The Internal Audit Section adopts the PSIAS and the purpose and definition of Internal Audit as specified by the PSIAS:-

*Internal Auditing is an independent, objective assurance and consulting activity designed to add value and improve an organisation's operations. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes*

4. The requirement for an internal audit function in local government is specified within the Accounts and Audit (England) Regulations 2015, which state:

*A relevant body must undertake an effective internal audit to evaluate the effectiveness of its risk management, control and governance processes, taking in to account public sector internal auditing standards or guidance.*

5. Internal Audit is governed by policies, procedures, rules and regulations established by the Council. These include Financial Regulations, Conditions of Service, Codes of Conduct and Anti-Fraud, Bribery and Corruption strategies.
6. Where key services are to be provided to the Council by other contractors or through a partnership, in order for internal audit to form an opinion on the controls operating, a right of access to relevant



information and documents should be included in contracts or agreements concerned.

## **DEFINITIONS**

7. The PSIAS require that the Charter must define the terms “Board” and “Senior Management” for the purposes of internal audit activity.
8. The PSIAS glossary defines the board as:  
  
*The highest level of governing body charged with the responsibility to direct and/or oversee the activities and management of the organisation. Typically this includes an independent group of directors (e.g. a board of directors, a supervisory board or a board of governors or trustees). If such a group does not exist, the “board” may refer to the head of the organisation, “Board” may refer to an audit committee to which the governing body has delegated certain functions.*
9. At Derbyshire Dales District Council the “Board” will be the Governance and Resources Committee.
10. “Senior Management” – those responsible for the leadership and direction of the Council. This will be the Council’s Corporate Leadership Team.
11. The PSIAS adopt the term “Chief Audit Executive”, this role is met by the Head of the Internal Audit Consortium for Chesterfield Borough, North East Derbyshire and Bolsover District Councils. Derbyshire Dales District Council employ the services of this Officer to ensure that the requirements of the PSIAS are met.

## **SCOPE AND OBJECTIVES OF INTERNAL AUDIT**

12. The scope of the Internal Audit Section encompasses the examination and evaluation of the adequacy and effectiveness of the organisation’s governance, risk management and internal control processes in relation to the Council’s defined goals and objectives.
13. The Audit Section’s remit covers all functions and services for which the Council is responsible and this extends to the entire control environment of the organisation and not just financial controls.
14. The Internal Audit Section will objectively examine, evaluate and report on the adequacy of the control environment as a contribution to the proper, economic, efficient and effective use of resources.
15. The internal audit service will be delivered on the basis of a risk assessment of auditable areas. A predominantly systems based approach to most audits will be adopted.

16. The internal control system comprises the whole network of systems to provide reasonable assurance that corporate objectives will be achieved, with particular reference to:
- Consistency of operations with established objectives and goals,
  - The reliability and integrity of financial and operational information,
  - The effectiveness and efficiency of operations and programmes,
  - Safeguarding of assets and interests from losses of all kinds, including those arising from fraud, irregularity and corruption,
  - Compliance with laws, regulations, policies, procedures and contracts,
  - The economic and efficient use of resources (value for money), effective monitoring systems and optimum use of performance management information.
17. With the introduction of the PSIAS, internal audit may also provide “consultancy” services. This work could take any form, provided that the independence of the service is not compromised, but will typically include special reviews or assignments where requested by management, which fall outside the approved plan and for which a contingency is included in the audit plan. There will be no significant consultancy work undertaken without the approval of the Governance and Resources Committee.

## **RESPONSIBILITIES AND REPORTING**

18. The PSIAS requires that the Internal Audit Charter should establish the responsibilities and reporting arrangements of internal audit.
19. The Head of the Internal Audit Consortium reports directly to the Council’s Governance and Resources Committee and to the Head of Resources. The Head of the Internal Audit Consortium also has direct access to the Council’s Chief Executive, Monitoring Officer and where necessary elected Members
20. The Head of the Internal Audit Consortium will manage the provision of the Internal Audit service by: -
- Preparing each year in advance a risk based audit plan for discussion and agreement by the council’s Client Officer and approval by the Governance and Resources Committee. Any in-year significant changes to the audit plan shall be agreed by the Client Officers and the Governance and Resources Committee.
  - Presenting an annual report to the Governance and Resources Committee that meets the requirements of the PSIAS and includes:-
    - An overall opinion on the adequacy and effectiveness of the Council’s control environment (including any qualifications to that opinion),
    - Presents a summary of the audit work from which the opinion is derived, including reliance placed on the work by other assurance bodies,
    - Draws attention to any issues the Head of Internal Audit judges particularly relevant to the preparation of the Annual Governance Statement,

- Compares work actually undertaken with work that was planned and to report relevant performance measures and targets.
- Presenting periodic reports to the Governance and Resources Committee summarising all internal audit reports issued and if considered necessary providing copies of the reports,
- Formally report the findings and recommendations of audit work to senior management and the Governance and Resources Committee throughout the year. Audit reports will:-
  - Include an audit opinion on the reliability of the internal controls in the system or area audited,
  - Identify inadequately addressed risks and non-effective control processes,
  - Detail management's response and timescale for corrective action,
  - Identify issues of good practice.
- Ensuring audit work is supervised, reviewed, recorded and reported,
- Implementing a follow up process for ensuring the effective implementation of audit recommendations or ensuring senior management are aware of the consequences of not implementing a recommendation and are prepared to accept the risk,
- Liaising as needed with the External Auditor and with other regulators,
- Maintaining and managing a risk assessment in relation to the functions of the Council,
- Ensuring that there is an up to date Audit Manual in place setting out expected standards for the service, and monitoring compliance with these standards, including in relation to the planning, conduct, quality assurance and reporting of audit assignments.

21. Senior managers should assist audit to discharge their duties by:

- The prompt provision of information and explanations,
- Providing input to the audit plan to ensure attention is focused on areas of greatest risk,
- Informing the Audit Section of any plans for change, including new systems,
- Responding to the draft internal audit report, including provision of management responses to recommendations, within the timescale requested by the audit section,
- Implementing agreed management actions in accordance with agreed timescales,

22. The Governance and Resources Committee must:

- Approve the Internal Audit Charter,
- Approve the risk based internal audit plan,
- Receive progress reports and an annual report from the Head of the Audit Consortium in respect of the audit plan,
- Approve any large variances or consulting services not already included in the audit plan.

## **AUDIT RESOURCES**

23. The Head of Resources will ensure that the Audit Section has the necessary resource to enable the Head of the Audit Consortium to be able to give an annual evidence-based opinion.
24. The staffing and budget of the Internal Audit Consortium will be kept under review by the Head of Resources, bearing in mind the resource requirements identified in the audit plan process. Where resources available do not match the resource requirements identified by the annual audit plans, the Head of Resources will report to the Governance and Resources Committee.
25. The Head of the Internal Audit Consortium providing a management service to the Council will be professionally qualified (CMIIA, CCAB or equivalent) and have wide internal audit and management experience. The Head of the Internal Audit Consortium/Head of Resources will ensure that the internal audit service is appropriately skilled in terms of qualifications, knowledge and experience.

## **QUALITY AND ASSURANCE PROGRAMME**

26. The PSIAS state that a quality assurance and improvement programme must include both internal and external assessments. Internal assessments should be ongoing and periodical and external assessments must be undertaken at least once every 5 years.
27. All internal audits are subject to a management quality review. Policies and procedures to guide staff in performing their duties have been established within the audit manual.
28. The internal periodic self-assessment of internal audit will be undertaken by completing the checklist for assessing conformance with the PSIAS included within the PSIAS Application Note.
29. External assessment can be satisfied by either arranging a full external assessment or by undertaking a self-assessment with independent validation. External assessments must be by a qualified, independent assessor from outside the organisation. The Head of the Audit Consortium/Head of Resources must discuss the format of the external assessments and the qualifications and independence of the assessor with the Governance and Resources Committee.
30. An external assessment of the internal audit function will take place at least once every 5 years and the results reported back to the Governance and Resources Committee.
31. The results of the quality and assurance programme and progress against any improvement plans must be reported in the annual report.

## **INDEPENDENCE , AUTHORITY AND ETHICS**

32. In order to achieve its objectives effectively, Internal Audit must be seen to be independent. Internal auditors must maintain an unbiased attitude that allows them to perform their engagements in such a manner that no quality compromises are made.
33. The scope of internal audit allows for unrestricted access to all records, personnel, premises and assets deemed necessary to obtain information and explanations as it considers necessary to fulfil its responsibilities in the course of the audit. Such access shall be granted on demand and not subject to prior notice.
34. This right of access is included in the Council's Financial Regulations. In addition, where necessary, the Head of the Internal Audit Consortium and the Senior Auditor will have unrestricted access to:
  - The Chief Executive
  - The Head of Resources
  - Members
  - The Monitoring Officer
  - The Chair and Members of the Governance and Resources Committee
  - Individual Directors / Senior Managers
  - All Other Employees
  - The External Auditor
35. The Head of the Internal Audit Consortium will confirm to the Governance and Resources Committees at least annually, the organisational independence of the internal audit activity.
36. Independence is further achieved by:
  - Reporting to the Governance and Resources Committee and senior management,
  - Not being part of system and procedures being audited,
  - Rotating responsibility for audit assignments within the audit section,
  - Completing declaration of interest forms on an annual basis,
  - Internal Audit staff not undertaking an audit in an area where they have had operational roles for at least two years.
37. If any member of the Internal Audit Section considers there is or could be a conflict of interest, this must be declared to the Head of Internal Audit who will direct alternative and independent resources to the audit.
38. Where internal audit staff are required to undertake non-audit duties, the Head of Audit will make it clear that those audit staff are not fulfilling those duties as internal auditors. The Head of Audit will ensure that within the service there remains sufficient impartiality to enable the actions and activities of those internal audit staff to be subject to audit by those independent from the activity.

39. Internal auditors must conform to the Chartered Institute of Public Finance and Accountancy (CIPFA) Code of Ethics in addition to those of other professional bodies of which they hold membership.
40. The Code of Ethics promotes an ethical, professional culture to ensure fairness, objectivity and freedom from conflicts of interest. The key principles are;
  - Integrity – to establish trust thus providing reliance on their judgement;
  - Objectivity – in gathering, evaluating and communicating information about the activity or process being examined in order to make a balanced assessment of all relevant circumstances without influence;
  - Confidentiality – to respect the value and ownership of information received which should not be disclosed without appropriate authority or a legal or professional obligation to do so, nor be used for personal gain; and
  - Competence – to apply knowledge, skills and experience appropriately.

## **FRAUD AND CORRUPTION**

41. Managing the risk of fraud and corruption is the responsibility of management. The Council has an Anti- Fraud and Corruption strategy and a zero tolerance towards fraud.
42. The Head of the Internal Audit Consortium/Senior Auditor should be notified of all suspected or detected fraud, corruption or impropriety in accordance with each Council's Financial Regulations and Anti-Fraud and Corruption strategies, in order to inform their opinion of the internal control environment.
43. Subject to availability of resources with the internal audit plan, internal audit may assist management in the investigation of suspected fraud and corruption.
44. The Head of the Internal Audit Consortium will report any instances of fraud detected as a result of audits undertaken to the Governance and Resources Committee.

## **REVIEW OF THE INTERNAL AUDIT CHARTER**

45. The Internal Audit Charter will be reviewed every 2 years by the Head of the Internal Audit Consortium and will be reported to the Council's Governance and Resources Committee for approval.

**BACK TO AGENDA**

**GOVERNANCE AND RESOURCES COMMITTEE**

17th September 2015

Report of the Head of Resources

**INTERNAL AUDIT REPORTS CONCLUDED TO DATE UNDER THE 2015/2016  
OPERATIONAL AUDIT PLAN**

**SUMMARY**

This report asks the Committee to consider the internal audit reports produced in respect of the 2015/2016 Internal Audit Plan.

**RECOMMENDATION**

That the Committee note the findings and conclusions of the internal audit reviews.

**WARDS AFFECTED**

All of the District

**STRATEGIC LINK**

The internal audit reviews test and report on the effectiveness of internal control systems within service functions and support the Council's core values of providing value for money and quality of service.

**BACKGROUND**

- 1.1 The current Operational Audit Plan was approved by Corporate Committee on 19 March 2015. It provides a framework by which service functions are reviewed to test and report on the adequacy and effectiveness of risk management systems and the internal control environment within the Council. This supports the Annual Governance Statement by contributing to the economic, efficient and effective use of resources.
- 1.2 The Public Sector Internal Audit Standards require that Members are updated on a regular basis in respect of the work undertaken by internal audit.

**REPORT**

- 2.1 Attached, as Appendix 1, is a summary of reports issued covering the period 23rd May to the 7<sup>th</sup> August 2015, for audits included in the 2015/16 Internal Audit Plan.
- 2.2 Reports are issued as Drafts with five working days being allowed for the submission of any factual changes, after which time the report is designated as a Final Report. Fifteen working days are allowed for the return of the Implementation Plan.
- 2.3 The Appendix shows for each report a summary of the Overall Audit Opinion of the audit and the number of recommendations made / agreed where a full response has been received. Appendix 1 also shows the number of recommendations, analysed between High, Medium and Low priority.

- 2.4 The overall opinion column of Appendix 1 gives an overall assessment of the reliability of the internal controls examined in accordance with the classifications shown in the following table:

Control Level	Definition
Good	A few minor recommendations (if any).
Satisfactory	Minimal risk; a few areas identified where changes would be beneficial.
Marginal	A number of areas have been identified for improvement.
Unsatisfactory	Unacceptable risks identified, changes should be made.
Unsound	Major risks identified; fundamental improvements are required.

- 2.5 10 reports have been issued, 8 with a good opinion and 2 with a satisfactory opinion.

- 2.6 In respect of the audits being reported, it is confirmed that there are no issues arising that relate to fraud that need to be brought to the Committee's attention.

### **3. RISK ASSESSMENT**

#### **3.1 Legal**

There are no legal considerations arising from this report. Each review concludes with an assessment of the relevant risk.

#### **3.2 Financial**

There are no financial considerations arising from the report.

### **OTHER CONSIDERATIONS**

In preparing this report the relevance of the following factors is also been considered prevention of crime and disorder, equality of opportunity, environmental health, legal and human rights, financial personal and property considerations.

### **CONTACT INFORMATION**

Jenny Williams, Interim Head of the Internal Audit Consortium  
(Jenny.Williams@chesterfield.gov.uk)

### **BACKGROUND PAPERS**

None

### **ATTACHMENTS**

Appendix 1 - Summary of Internal Audit Reports Issued – 23rd May 2015 to 7th August 2015.



## DERBYSHIRE DALES DISTRICT COUNCIL

## Internal Audit Consortium - Report to Governance and Resources Committee

Summary of Internal Audit Reports Issued – 23<sup>rd</sup> May 2015 to 7<sup>th</sup> August 2015

Report Ref	Report Title	Scope and Objectives	Opinion	Date		Number of Recommendations	
				Report Issued	Response Due	Made	Accepted
D001	Expenses and Allowances	To ensure that expenses and allowances are paid promptly in line with policy	Good	14/05/2015	5/06/2015	2	2
D002	Commercial Waste	To ensure that the fees charged are correct and that contracts are in place	Good	21/05/2015	12/06/2015	0	0
D003	Car Parks	To ensure that all income is collected and banked	Good	12/06/2015	3/07/2015	0	0
D004	Insurance	To ensure that premiums are paid and that appropriate policies are in place	Good	12/06/2015	3/07/2015	1	1
D005	Cemeteries	To ensure that fees and charges are correct and that funeral directors are appropriately recharged	Good	12/06/2015	3/07/2015	1	1

Report Ref	Report Title	Scope and Objectives	Opinion	Date		Number of Recommendations	
				Report Issued	Response Due	Made	Accepted
D006	Freedom of Information	To ensure that FOI requests are dealt with promptly and accurately	Satisfactory	15/06/2015	6/07/2015	1	1
D007	Markets	To review income and banking procedures etc.	Satisfactory	22/07/2015	12/08/2015	1	Note 1
D008	Debtors	To ensure that bills are raised promptly and accurately and that there are collection procedures in place and operating	Good	22/07/2015	12/08/2015	1	1
D009	Payroll	To review the controls and objectives in place	Good	27/07/2015	17/08/2015	0	0
D010	Parks and Recreational Grounds	To review the controls and procedures in place for the collection of income	Good	29/07/2015	19/08/2015	0	0

Note 1 Response not due at time of writing report

[BACK TO AGENDA](#)

GOVERNANCE AND RESOURCES COMMITTEE  
17 September 2015

Report of the Head of Regulatory Services

**TAXI LICENSING FEES - REVISION**

**SUMMARY**

This report informs Members of legislative changes introduced by the implementation of the Deregulation Act 2015, regarding the renewal period a Taxi/Private Hire Vehicle Driver's Licence (badge) and a Private Hire Operator's Licence. The changes require licensing authorities to grant a driver's licence for a 3-year period, and an operator's licence for a 5-year period (as a minimum), with effect from 1<sup>st</sup> October 2015.

Members are informed of a report outlining the changes in more detail, which was considered by the Licensing and Appeals Committee on 15 July 2015, when Members proposed revised application fees for these licences, and recommended that the matter should be referred to the next meeting of the Governance and Resources Committee for consideration.

**RECOMMENDATIONS**

That the Committee approves the proposed revised fees for applications for Taxi/Private Hire Vehicle Driver Licences, and for Private Hire Operator Licences, to ensure the service is fully compliant with the provisions of the Deregulation Act 2015 by 1<sup>st</sup> October 2015.

**WARDS AFFECTED**

All

**STRATEGIC LINK**

An effective licensing regime supports the core values and key aims set out in the Council's Corporate Plan, in particular, the vision of a safe Peak District.

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**1 BACKGROUND**

1.1 Changes to Taxi Driver and Private Hire Operator Licence Periods

1.2 The Deregulation Act 2015 (The Act), received Royal Assent on 26 March 2015, and contains a number of provisions across a number of sectors aimed to reduce the burdens resulting from legislation for businesses or other organisations or for individuals. Some of these provisions relate to private hire and hackney carriage taxi licensing.

1.3 In particular, Section 10 (Taxis and private hire vehicles: duration of licences): amends two sections of the Local Government (Miscellaneous Provisions) Act 1976 that deals with the granting of licences to drive taxis and private hire vehicles and licences to operate private hire vehicles.

1.4 Subsections (2) and (3) change the law to establish a standard licence period of three years for taxi and private hire vehicle driver licence, and a standard licence period of five years for a private hire vehicle operator licence. These sections specify that either licence may be granted for a lesser period but only in the circumstances of an individual case, not because of a 'blanket' policy.

## 2 REPORT

2.1 Currently the District Council issues taxi driver licences (combined private hire and hackney carriage) for a 1-year period, and private hire operator licences for a 3-year period.

2.2 The required changes to the licence periods will need to be reflected in the cost of the licence. Procedures will also need to be updated to ensure drivers and operators remain 'fit and proper' during these extended periods, specifically in terms of monitoring for compliance with licence conditions. Whilst there will be a reduced burden on staffing resources for processing applications, there will be a need for increased resources to monitor compliance with licensing conditions during the longer licence periods.

2.3 The Local Government Miscellaneous Provisions Act (1976) (LGMPA) prescribes either that the fee in respect of the grant of vehicle and operator licences should be set at £25 or that it may be set at "such other sum as the Council may from time to time determine" subject to publication of a notice in a local newspaper; and retention of a copy of the notice at the District Council offices for a period of 28 days.

2.4 If written objections are received, the District Council is required to consider these and to set either the proposed or a revised fee within a two-month period from the end of the 28-day consultation period. If the District Council does not receive any objections to the fees and charges these would take immediate effect at the end of the 28-day consultation period.

2.5 The proposed fees are as follows:

<b>Driver's Licence</b>	<b>Current Fees – licence renewable every year</b>	<b>Proposed Fees From 1<sup>st</sup> October - licence to be renewable every 3 years</b>
Application for new or renewal of Driver's Licence	<b>£58.00</b>	<b>£160.00</b>
DVLA Check (every year)	<b>£8.00</b>	<b>£8.00</b> (no change – check still required every year)
DBS Enhanced Criminal Record Check (Renewable every 3 years)	<b>£44.00 (plus £8.00 DCC admin fee) &amp; £2.00 DDDC handling fee</b>	<b>£44.00 (plus £8.00 DCC admin fee) &amp; £2.00 DDDC handling fee (no change)</b>
<b>Driver's Knowledge Test (or Re-sit).</b>	<b>£28.50</b>	<b>£28.50 (no change)</b>
<b>Private Hire Operator's Licence</b>	<b>Current Fees – licence renewable every 3 years</b>	<b>Proposed Fees From 1<sup>st</sup> October - licence to be renewable every 5 years</b>
Application Fee	<b>£242.00</b>	<b>£400.00</b>
** Private Hire Operator will need a basic criminal record check, unless they are a licensed driver with the Council and have a current enhanced Disclosure.		

2.6 The 28-day period ran from 14 August to 10 September 2015.

2.7 All comments received during the period will be reported at the meeting.

### **3 RISK ASSESSMENT**

#### **3.1 Legal**

The provisions of the Deregulation Act 2015 require the changes to the licences to be implemented by 1 October 2015. Failure to change the procedures could result in non-compliance with the legislation and potential risk of challenge.

There is a requirement to ensure the service is fully compliant with the provisions of the Deregulation Act 2015 and to allow consultation with the trade, public and other interested parties by virtue of the statutory advertising of the proposed fees.

The changes to the legislation are intended to mitigate risk in terms of ensuring that licenced drivers are fit and proper persons. The legal risk to the Council is therefore low to medium in terms of effecting the change. The outcome will have a more positive effect on the community and a lower legal risk is likely to emerge.

#### **3.2 Financial**

The proposals contained in the Deregulation Act 2015 would have had the potential to result in a significant reduction of annual fees and subsequent impact on service income. The recommended amendments to the fee structure mitigate this risk. The financial risk is therefore low.

### **4 OTHER CONSIDERATIONS**

In preparing this report, the relevance of the following factors has also been considered: prevention of crime and disorder, equalities, environmental, climate change, health, human rights, personnel and property.

### **5 CONTACT INFORMATION**

Eileen Tierney, Licensing Manager, Tel: 01629 761374  
Email: [eileen.tierney@derbyshiredales.gov.uk](mailto:eileen.tierney@derbyshiredales.gov.uk)

### **6 BACKGROUND PAPERS**

None

### **7 ATTACHMENTS**

None

**BACK TO AGENDA**

GOVERNANCE AND RESOURCES COMMITTEE  
17 SEPTEMBER 2015

Report of the Head of Resources

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## PROPERTY CONDITION SURVEYS 2015

### SUMMARY

This report:

- Outlines the works identified by Condition Surveys at the District Council's main properties covering the period 2015 to 2020.
- Determines a programme for undertaking the works over the next 4 financial years.
- Outlines the additional capital funding required and recommends inclusion of these amounts in the revised Capital Programme proposals for 2016/17 to 2019/20 to be considered by Full Council.

### RECOMMENDATIONS

- That the works identified in Appendices 1-3 to be funded from revenue budgets are noted and approved.
- That the capital works identified in Appendices 1-3 are approved and included in the revised Capital Programme.

### WARDS AFFECTED

All

### STRATEGIC LINK

The effective maintenance of the Council's property assets contributes to the value of value for money and the aim of providing excellent services as expressed in the Corporate Plan .

## 1 REPORT

### 1.1 BACKGROUND AND INTRODUCTION

In accordance with Government guidance and good practice on Asset Management, it is recommended that regular Condition Surveys are undertaken on Local Authority property to ensure that it remains in good condition and is performing as intended and operating efficiently.

The last Condition Surveys took place in 2009 and accordingly, new surveys were undertaken earlier this year by Derbyshire County Council covering the period 2015-2020.

### 1.2 CONDITION SURVEY RESULTS

The survey findings have been divided into 3 categories, namely Main Operational Properties, Park Pavilions and Public Conveniences and these are presented for consideration in Appendices1-3 below.

## 1.2.1 Methodology

The surveys are based on a visual assessment of the condition of all exposed and accessible building, electrical and heating elements within each building, and all external works including soft landscaped areas to identify significant defects and items of disrepair.

The condition of each element of each building, and the buildings as a whole were assessed using the following national condition ratings:-

- A, Good Condition – Performing as intended and operating efficiently.
- B, Satisfactory Condition – Performing as intended but minor repairs required.
- C, Poor Condition - Exhibits major defects.
- D, Life Expired – Serious risk of imminent failure.

The work identified by the surveys was graded by priority using the following criteria:-

- 1,Urgent work to prevent closure of premises or serious risk.
- 2,Essential work required within 2 years.
- 3,Desirable work required within 3 –5 years.
- 4,Long term work outside the 5-year period.

Using this process the surveys identify works that are necessary now or during the 5 year period covered by the survey to maintain the building in good condition together with works that will need to be planned for in the future as the design life of items such as boiler plant comes to an end. Whilst replacement may not be required at this time i.e. a boiler may last longer than the design life, it is good practice to make budgetary provision for such a replacement so that such elements can be programmed on a planned basis thereby minimising disruptions to service provision caused by failure of key building elements.

## 1.2.2 Financing of Works Identified

Whilst a large proportion of the works identified can be incorporated in a planned maintenance strategy to be financed from existing revenue budgets, the more significant elements of work required with a total cost of £1.45 million have been incorporated in the Capital Programme. All the works identified in each category are outlined in Appendices 1-3 attached and the significant (over £10,000) Capital works are further outlined below.

Whilst it is acknowledged that some of the items identified by the Condition Surveys, particularly those that relate to the replacement of building elements at the end of their design lives, are significant, it is important that these are identified in budget planning such that informed decisions can be made about the future of each property in the light of its full future costs.

ROPERTY	WORKS REQUIRED	COST £K
Matlock Town Hall	Roof ,stonework and window upgrades and solar panels.	£776K
Wirksworth Leisure Centre	Heating plant upgrades/replacement.	£ 70K
Ashbourne Leisure Centre	Exterior finishes upgrades and Pool dehumidifier and other heating plant upgrades/replacement.	£312K
Hall Leys Park Cafe	Structural repairs and electrical upgrades	£30K
Bakewell Sports Pavilion	Roof, electrical and mechanical upgrades	£42K

Ashbourne Bowls Pavilion	Complete structural and electrical upgrades	£37K
Ashbourne Memorial Pavilion	Structural ,electrical and mechanical upgrades	£39K
Hall Leys Park Play Area Public Conveniences	New roof covering and electrical upgrades.	£19K
Matlock Bath Pavilion Public Conveniences	Structural repairs and new roof covering	£52K

### 1.2.3 Matlock Town Hall – Proposed Solar Panels

One of the significant items identified in the Condition Surveys is the requirement for a new flat roof covering to the main 3 storey offices at Matlock Town Hall at a budget cost of £275,500. Whilst the potential installation of solar panels on this roof is not strictly a Condition Survey issue, as such significant works and the associated scaffolding equipment is necessary, it was considered to be prudent to obtain a cost for undertaking such works at the same time.

Further budget costs in the range £28K to £60K have been obtained for such works and the higher figure has been included in the Capital Programme pending further investigation since significant changes to the Feed In Tariff have recently been announced by the Government.

## 2 RISK ASSESSMENT

### 2.1 Legal

The legal risk from this report is assessed as low.

### 2.2 Financial

The proposed works total £1,445,815. There is no provision in the current capital programme. However, the proposals have been included in the draft capital programme that is to be considered at the Council meeting on 24 September. There is adequate funding for the revised capital programme. The risk, however, remains high as sources of capital financing are rapidly diminishing meaning that there could be difficulties in finding funds to address unforeseen events.

### 2.3 Corporate

Adoption of a planned effective maintenance programme based on accurate condition survey information will ensure that the District Council's properties remain in good condition and operating efficiently, reducing the risk of disruption to service delivery. An accurately costed programme also allows for informed decisions to be made about the suitability and cost effectiveness of each property.

## 3 OTHER CONSIDERATIONS

In preparing this report the relevance of the following factors is also been considered prevention of crime and disorder, equality of opportunity, environmental health, legal and human rights, financial personal and property considerations.



#### **4 CONTACT INFORMATION**

For further information contact:

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Email: [mike.galsworthy@derbyshiredales.gov.uk](mailto:mike.galsworthy@derbyshiredales.gov.uk)

#### **5 BACKGROUND PAPERS**

None

#### **6 ATTACHMENTS**

Appendix 1 Main Properties Survey Results

Appendix 2 Park Pavilions Survey Results

Appendix 3 Public Conveniences Survey Results

**2015 CONDITION SURVEY INFORMATION APPENDIX. 1. - MAIN PROPERTIES**

Location	ASSET REF. NO.	Total Liability	Adjusted Liability	YRS 1-2 FROM REVENUE	YRS 3-4 FROM REVENUE	YRS 16/17 CAPITAL	YRS 17/18 CAPITAL	YRS 18/19 CAPITAL	YRS 19/20 CAPITAL	TOTAL CAPITAL
ABC Bakewell	9999-24	£57,145	£35,057	£13,765	£12,792	£8,500	£0	£0	£0	£8,500
Town Hall Matlock	9999-23	£844,888	£841,208	£46,634	£18,960	£393,730	£109,884	£62,000	£210,000	£775,614
Northwood Depot	9999-25	£11,450	£11,450	£5,963	£5,487	£0	£0	£0	£0	£0
Bakewell Swimming Pool	9999-22	£21,746	£21,746	£11,272	£10,474	£0	£0	£0	£0	£0
Wirksworth Leisure Centre	9999-21	£101,321	£101,321	£6,255	£25,066	£50,000	£0	£0	£20,000	£70,000
Arc Leisure Centre, Matlock	9999-62	£60,150	£20,150	£20,050	£100	£0	£0	£0	£0	£0
Ashbourne Leisure Centre	9999-20	£478,157	£327,386	£8,927	£6,562	£147,717	£0	£24,530	£139,650	£311,897
<b>TOTAL</b>				<b>£112,866</b>	<b>£79,441</b>	<b>£599,947</b>	<b>£109,884</b>	<b>£86,530</b>	<b>£369,650</b>	<b>£1,166,011</b>

**2015 CONDITION SURVEY INFORMATION APPENDIX.2.- PARK PAVILIONS**

Location	ASSET REF. NO.	Total Liability	Adjusted Liability	YRS 1-2 FROM REVENUE	YRS 3-4 FROM REVENUE	YRS 16/17 CAPITAL	YRS 17/18 CAPITAL	YRS 18/19 CAPITAL	YRS 19/20 CAPITAL	TOTAL CAPITAL
Rangers Station - Hall Leys Park - Matlock	9999-26	£6,618	£6,618	£500	£1,800	£4,318	£0	£0	£0	£4,318
Refreshment Hut - Hall Leys Park - Matlock	9999-32	£39,470	£33,570	£950	£2,420	£19,800	£10,400	£0	£0	£30,200
Sports Pavilion - Dimple Road - Matlock	9999-31	£10,000	£10,000	£800	£0	£9,200	£0	£0	£0	£9,200
Pavilion Recreation Ground - Bakewell	9999-30	£54,783	£51,759	£6,200	£4,007	£10,500	£0	£26,052	£5,000	£41,552
Recreation Ground - Ashbourne	9999-38	£6,907	£6,907	£2,069	£1,405	£3,433	£0	£0	£0	£3,433
Bowls Pavilion - Recreational Ground - Ashbourne	9999-27	£38,895	£38,895	£1,626	£0	£37,370	£0	£0	£0	£37,370
Team Pavilion - Recreational Ground - Ashbourne	9999-29	£19,605	£19,605	£7,645	£250	£11,710	£0	£0	£0	£11,710
Memorial Pavilion - Recreation Ground - Ashbourne	9999-28	£51,962	£51,962	£10,957	£1,680	£25,775	£11,550	£2,000	£0	£39,325
<b>TOTAL</b>				<b>£30,747</b>	<b>£11,562</b>	<b>£122,106</b>	<b>£21,950</b>	<b>£28,052</b>	<b>£5,000</b>	<b>£177,108</b>

**2015 CONDITION SURVEY INFORMATION - APPENDIX 3. - PUBLIC CONVENIENCES**

Location	ASSET REF. NO.	Total Liability	Adjusted Liability	YRS 1-2 FROM REVENUE	YRS 3-4 FROM REVENUE	YRS 16/17 CAPITAL	YRS 17/18 CAPITAL	YRS 18/19 CAPITAL	YRS 19/20 CAPITAL	TOTAL CAPITAL
						£0				
Ashbourne - Shaw Croft	9999-37	£2,268	£2,268	£255	£1,263	£750	£0	£0	£0	£750
Ashford - Court Lane Car Park	9999-54	£2,964	£2,964	£900	£1,264	£800	£0	£0	£0	£800
Bakewell - Recreation Ground	9999-44	£3,788	£3,788	£0	£1,788	£2,000	£0	£0	£0	£2,000
Bakewell - Granby Road	9999-60	£500	£500	£0	£0	£500	£0	£0	£0	£500
Bakewell - Granby Road 2	9999-61	£1,500	£1,500	£0	£0	£1,500	£0	£0	£0	£1,500
Bakewell Riverside	9999-58	£3,208	£3,208	£1,600	£308	£1,300	£0	£0	£0	£1,300
Baslow - Goose Green	9999-50	£2,930	£2,930	£208	£2,220	£500	£0	£0	£0	£500
Birchover - Main Road	9999-53	£1,700	£1,700	£500	£0	£1,200	£0	£0	£0	£1,200
Bonsall - Main Road	9999-48	£2,052	£2,052	£648	£504	£900	£0	£0	£0	£900
Bradwell - Adj. Playground	9999-55	£2,208	£2,208	£1,600	£608	£0	£0	£0	£0	£0
Cromford - Cromford Hill	9999-56	£5,223	£5,223	£2,065	£908	£2,250	£0	£0	£0	£2,250
Darley Dale - Station Road	9999-45	£7,113	£7,113	£504	£1,909	£4,700	£0	£0	£0	£4,700
Eyam - Hawkhill Road	9999-49	£3,209	£3,209	£0	£1,409	£1,800	£0	£0	£0	£1,800
Hartington - Adj. Pottery	9999-46	£2,274	£2,274	£1,064	£210	£1,000	£0	£0	£0	£1,000
Matlock - Hall Leys Play Area	9999-59	£22,735	£22,735	£2,085	£2,150	£4,000	£0	£14,500	£0	£18,500
Matlock Bus Station (new)	9999-36	£1,900	£1,900	£1,900	£0	£0	£0	£0	£0	£0
Matlock Bath - Pavilion	9999-41	£53,250	£53,250	£1,100	£650	£51,500	£0	£0	£0	£51,500
Monyash	9999-57	£1,342	£1,342	£342	£0	£1,000	£0	£0	£0	£1,000
Over Haddon - Car Park	9999-51	£6,030	£6,030	£0	£2,030	£1,500	£0	£0	£0	£1,500
Thorpe - Main Road	9999-47	£9,347	£9,347	£5,583	£364	£2,100	£0	£1,300	£0	£3,400
Wirksworth - Barmote Croft	9999-43	£4,309	£4,309	£975	£1,694	£1,640	£0	£0	£0	£1,640
Youlgreave - Congreave Lane	9999-52	£8,154	£8,154	£1,408	£800	£5,866	£0	£0	£0	£5,866
<b>TOTALS</b>				<b>£22,737</b>	<b>£20,079</b>	<b>£86,806</b>	<b>£0</b>	<b>£15,800</b>	<b>£0</b>	<b>£102,606</b>

**BACK TO AGENDA**

## **GOVERNANCE AND RESOURCES COMMITTEE**

17 SEPTEMBER 2015

Report of the Head of Resources

# **STRUCTURAL DAMAGE TO PUBLIC CONVENIENCES AT MEMORIAL GARDENS, MATLOCK BATH**

## **SUMMARY**

This report describes the consultation exercise that took place, analyses and summarises the results and seeks Members views on the most appropriate course of action to address the structural damage.

## **RECOMMENDATIONS**

1. That members note the results of the public consultation exercise;
2. That Option A, “Repair the Building”, be approved;
3. That members determine the most appropriate course of action for the refurbishment of the interior of the building and request Council to update the Capital Programme accordingly.

## **WARDS AFFECTED**

Masson Ward

## **STRATEGIC LINK**

This report links with the Council’s aim to ‘improve the quality of life’ within the Derbyshire Dales.

## **1 BACKGROUND**

- 1.1 A programme of condition surveys carried out in early 2015 for all the Council’s key buildings revealed significant structural defects in the public conveniences in Memorial Gardens, Matlock Bath. These defects affected the external walls and roof structure of the building and necessitated the immediate closure of the facility to ensure public safety. Temporary facilities were installed.
- 1.2 In April 2015 the Environment Committee considered a structural engineers report that estimated the cost of repairs to the building at £176,167.50. The extent of the defects was detailed in the report. The April report proposed that, due to the significant cost estimate for repairs, other options should be explored to ensure that the best possible, value for money solution was implemented.
- 1.3 In July 2015 the Governance and Resources Committee considered a report that detailed the options put forward in April and additional options that had emerged in the meantime. The indicative cost, advantages, disadvantages and risk ratings of each option were provided. It was pointed out that the District Council has a legal duty to consult on any major change in provision of services to the public and authority was,

therefore, sought to consult on some or all of the options put forward to date. Members agreed that all of the options set out in the July report would be taken forward for public consultation, and that suggestions for alternative solutions be invited at the same time.

## **2 CONSULTATION EXERCISE**

- 2.1 A public consultation exercise took place 24 July to 21 August. Participation was invited via an online form on the District Council's website with paper copies available at the Town Hall and leisure centres.
- 2.2 The consultation was promoted, and a link provided on the District Council's website and through Twitter and Facebook. In addition, a press release was circulated on xxxx and posters and fliers, which included a QR (Quick Response) code signposting to the consultation, were placed around the district.
- 2.3 A total of 133 electronic questionnaires were received, as well as 7 on paper, totalling 140 responses.
- 2.4 A copy of the survey is shown in Appendix 1. Participants were invited to choose one of the following options:
  - a) Repair the building (£176,000)
  - b) Demolish the building, landscape the site and replace it with a smaller, modern facility to include an accessible toilet and baby change facilities (£181,000)
  - c) Demolish the building, landscape the site and replace it with new facilities in the former station building (£215,000)
  - d) Demolish the building, landscape the site and replace it with facilities provided by local businesses (£84,100)
  - e) Demolish the building, landscape the site and replace it with new facilities in the former station building, in combination with facilities provided by local business (£234,100)
  - f) Retain the shelter and demolish the public conveniences, landscape that part of the site, and replace the public conveniences with a smaller, modern facility to include an accessible toilet and baby change facilities (£397,200)
  - g). Retain the shelter, demolish the public conveniences, landscape that part of the site, and replace the public conveniences with new facilities in the former station building (£293,200)
  - h). Retain the shelter, demolish the public conveniences, landscape that part of the site, and replace the public conveniences with facilities provided by local business (£162,300)
  - i). Retain the shelter, demolish the public conveniences, landscape that part of the site, and replace the public conveniences with new facilities in the former station building, in combination with facilities provided by local business (£312,300)

2.5 Participants were invited to make comments and suggestions. A schedule of comments received is shown at Appendix 2 to this report. The most common issues relate to:

- The historical nature of the current building
- The condition of the interior of the current building
- Provision of baby changing facilities\*
- Signage and location of the facilities
- Opposition to use of commercial premises / Community Toilets Scheme
- Price and funding for the works
- Suggestions to consider charging for use of facilities.

\*The current toilets include baby changing facilities in ladies and gents.

2.6 Participants were also asked to indicate:

- Their gender;
- Whether they, or someone they care for, needs disabled toilet facilities;
- Their age (from a set of ranges).

2.7 The survey results are shown below:-

Option	Number of responses	% of responses
a	77	55%
b	16	12%
c	2	1%
d	3	2%
e	2	1%
f	13	9%
g	13	9%
h	8	6%
i	5	4%
Spoilt paper	1	1%
Total	140	100%

Gender	Number of responses	% of responses
Male	58	42%
Female	80	57%
Not stated	2	1%
Total	140	100%

Disability?	Number of responses	% of responses
Yes	33	24%
No	107	76%
Total	140	100%

Age	Number of responses	% of responses
24 and under	5	4%
25 – 59	72	51%
60+	63	45%
Total	140	100%

2.8 Some organisations were contacted directly and encouraged to engage in the consultation process. These organisations and their responses are shown in the table below:-

Matlock Bath Parish Council	<p>The Parish Council has discussed the issue of the Memorial Gardens Public Conveniences. They would opt for Option A as the preferred way forward – to rebuild the shelter.</p> <p>However, Councillors did feel that a renovation of the facilities is needed to bring them up to a good standard.</p>
Heights of Abraham	<p>I have completed the consultation document and ticked option (g).</p> <p>I believe that the new public toilet facilities in Hall Leys Park, Matlock, set the benchmark for any much needed facilities in Matlock Bath.</p> <p>The location at the Matlock Bath Railway Station would provide for the growing number of train travellers, be close to the coach park and the largest car park in the village.</p> <p>This is the one opportunity to rectify a long overdue basic infrastructure requirement. I understand the budget constraints of DDDC but they have had the benefit of car parking charges, and I believe they should seek grants from other agencies to achieve our objective of high quality toilet facilities.</p>
Peak District Mining Museum	
Grand Pavilion Ltd	

2.9 The results of the survey show that 57% of all respondents favoured option A – repair the building. However the comments suggest that consideration should be given to the refurbishment of the interior, to bring the facilities up to a good standard. The costs of a refurbishment will vary depending on the approach that is taken.

- A full refurbishment, which would include new sanitary-ware, cubicles, tiling and re-decoration to the standard of the toilets in Hall Leys Park, Matlock, is estimated to cost £70,000.
- A light touch approach, which could include replacement of damaged tiles and damaged sanitary-ware, steam cleaning and re-grouting of tiling and a complete redecoration, is estimated to cost £20,000.

If members agree to approve option A, they are asked to consider whether the refurbishment of the interior of the building is necessary and, if so, whether it should be a light touch or full refurbishment.



### **3 OTHER CONSIDERATIONS**

- 3.1 In evaluating the options, consideration needs to be given to the cost of the works and the method of procurement to ensure best value for the District Council. The ongoing cost of hiring / buying temporary facilities also needs to be considered.
- 3.2 The timescale for the proposed works needs to be considered to take account of the lead time for procurement, the requirement to obtain statutory consents from the Environment Agency and others and, notwithstanding statutory rights, the impact on the adjoining property of having scaffolding on their land (public house beer garden) during the tourist season.
- 3.3 The building is situated in a Conservation Area and any repair works to the building will need to take account of this. Anything other than repair of the building using matching materials is likely to require planning consent and as such, any alternative options need to take account of their visual impact.
- 3.4 The current building has level access and includes male, female and disabled toilet facilities and is considered to be an accessible building to people with disabilities. Any option other than the repair of the existing building needs to ensure that such standards are maintained in any replacement facility.

### **4 RISK ASSESSMENT**

#### **4.1 Legal**

The closure of the current toilet block is to mitigate the risk to public safety. The report outlines potential options available to the Council. Any work undertaken by contractors will need to be procured in accordance with the Council's Contract Standing Orders. The legal risk currently is currently assessed as low.

#### **4.2 Financial**

If members choose to proceed with the repairs identified in the engineer's report, a tender exercise will be required. There is no provision for this project in the current capital programme. Any requirement will have to be financed from the Capital Programme Reserve. The financial risk of this course of action is assessed as 'high'.

### **5 OTHER CONSIDERATIONS**

In preparing this report, the relevance of the following factors has also been considered: prevention of crime and disorder, equalities, environmental, climate change, health, human rights, personnel and property.

### **6 CONTACT INFORMATION**

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## **7 BACKGROUND PAPERS**

None

## **8 ATTACHMENTS**

Appendix 1 – Copy of survey form for public consultation exercise

Appendix 2 – Comments / suggestions received during the public consultation exercise

## Public consultation on the future of Matlock Bath Memorial Gardens Public Conveniences and Shelter

Derbyshire Dales District Council is seeking your views on the options for the future of the public toilets and shelter at Matlock Bath Memorial Gardens.

This consultation will be used to inform Councillors of your views. A summary of the findings will be presented to the Governance and Resources Committee in September 2015.

The online consultation at [www.derbyshiredales.gov.uk/MBloosconsultation](http://www.derbyshiredales.gov.uk/MBloosconsultation) starts on Wednesday 29 July, running until Tuesday 25 August. A paper version of the form will be available from the Peak District Mining Museum in Matlock Bath and from Matlock Town Hall. Completed paper consultations should be returned to either the Peak District Mining Museum in Matlock Bath or Matlock Town Hall by Tuesday 25 August. The historic stone building in the village's Memorial Gardens was closed by Derbyshire Dales District Council earlier this year after a condition survey discovered significant structural defects, which were a risk to public safety.

The purpose of this consultation is to seek your views on the future of these facilities. The Council has limited financial resources and would like to identify a solution that meets users' needs as well as being good value for money.

The cost of repairing the existing building is estimated at more than £175,000.

Alternatives include:

- adopting a community toilets scheme where local traders allow the public to use their facilities;
- demolishing the building and providing alternative modern facilities on the site, or at former station buildings nearby\*;
- retaining the shelter and providing public conveniences elsewhere;
- or a combination of these.

\*The District Council currently leases a former railway station building to the Derbyshire Wildlife Trust, near the village's main car park, and there is potential to convert an unused part of that building to toilets at a cost of almost £150,000.

The options shown on the following page include indicative costs of work, which have been provided by independent organisations. All options are subject to planning consent and necessary approvals.

The cheapest option would be to investigate a community toilets scheme, where local businesses are paid a grant in return for allowing members of the public to use their toilets during opening hours. A similar scheme is currently operated in neighbouring Amber Valley.

**Please take a moment to answer the questions on the next page:**

**Q1. Which ONE of the following would be your preferred option for the redevelopment of the public conveniences/ shelter?**

**Please choose ONE of the following nine options only:**

a) Repair the building (£176,000)

**Options b-e below involve demolishing the building**

b) Demolish the building, landscape the site and replace it with a smaller, modern facility to include an accessible toilet and baby change facilities (£181,000).

c) Demolish the building, landscape the site and replace it with new facilities in the former station building (£215,000)

d) Demolish the building, landscape the site and replace it with facilities provided by local businesses (£84,100)

e) Demolish the building, landscape the site and replace it with new facilities in the former station building, in combination with facilities provided by local business (£234,100)

**Options f-i below involve retaining the shelter part of the building**

f) Retain the shelter and demolish the public conveniences, landscape that part of the site, and replace the public conveniences with a smaller, modern facility to include an accessible toilet and baby change facilities (£397,200)

g). Retain the shelter, demolish the public conveniences, landscape that part of the site, and replace the public conveniences with new facilities in the former station building (£293,200)

h). Retain the shelter, demolish the public conveniences, landscape that part of the site, and replace the public conveniences with facilities provided by local business (£162,300)

i). Retain the shelter, demolish the public conveniences, landscape that part of the site, and replace the public conveniences with new facilities in the former station building, in combination with facilities provided by local business (£312,300)

**Q2. Do you have any other comments on the proposal or suggestions for alternative suggestions for provision of public toilets at the Matlock Bath Memorial Gardens? (Please write in below or submit on a separate page)**

**Q3. Are you? (Please choose one option only)**

Male  Female  Prefer not to say

**Q4. Do you or does someone you care for, need disabled toilet facilities? (Please choose one option only)**

Yes  No

**Q5. What is your age? (Please choose one option only)**

Under 24 years  25 - 59 years  60+ years

All personal information provided to Derbyshire Dales District Council will be held and treated in confidence in accordance with the Data Protection Act 1998. It will only be used for the purpose for which it was given. All content of the report will be anonymous.

**COMMENTS AND SUGGESTIONS RECEIVED DURING CONSULTATION ON MEMORIAL GARDENS PUBLIC CONVENIENCES**

<b>Comments</b>	<b>Option selected</b>
A - repair and restore what we have and retain the beautiful facility we have had.	a) Repair the building (£176,000)
A appears to be the cheapest option whilst still retaining public conveniences which are a necessity in a tourist area. Reliance on local business is potentially temporary.	a) Repair the building (£176,000)
A lot of people look for toilets at the station.	g). Retain the shelter, demolish the public conveniences, landscape that part of the site, and replace the public conveniences with new facilities in the former station building (£293,200)
Add signs at station saying where toilets are	a) Repair the building (£176,000)
Although the council may have no legal obligation to provide toilets, the revenue (including local tax revenues) and employment brought into the area by tourism does place a practical and moral obligation on it. Given both the numbers and demographics of visitors (many young children and elderly people) and the existing pressure on facilities on commercial premises, the option of a community toilet scheme is simply not viable or even credible. The existing building is within the conservation area and is an historic and charming fit with the park in which it sits and the adjoining war memorial; a modern building would struggle to emulate this. Relocating to the station would increase incidences of vandalism and antisocial behaviour.	a) Repair the building (£176,000)
As a local resident and voluntary gardener to that adjacent rose garden and bath hotel trough, I hear visitors remarks, comments & converse with a lot of, them, lovely old building KEEP , refurbish the toilets to a GOOD standard, and also get local architects /builders to do the job at a *FAVOURABLE* PRICE, its a long way up to the Pav toilets for all .	a) Repair the building (£176,000)
as it is a historical building and part of matlock bath's history it should be saved, plus with tourism being an important part of matlock bath's economical success for the village, businesses and people who live there the toilets should stay and be refurbed too. option A is also the cheaper option, and saving money is always good for the economy	a) Repair the building (£176,000)

<p>As part of my job I am often at Matlock Bath Railway Station at different times of the year. There are usually 3 things people want: 1. Toilets, 2. Change for the car park, 3. How do I get to.. usually the Cable car. At such a honeypot location it is vital and somewhat expected that toilets would be available. This is a real key arrival point with trains increasingly popular, the car park and coach park regularly full. People look around the station and the old station building for toilets, this is where they need to be, not in the memorial gardens. The main building at the station has not been used constructively for 7 or 8 years which is a real shame and seems a real missed opportunity. The building is very large and could provide toilets and some other use e.g. as a welcome point in Matlock Bath. There is so much demand that you could charge if necessary, charge 20p or even 50p for the toilets. This may also help prevent misuse. Provision of some tourist information if only leaflet racks would be very beneficial at this location, however this could probably be combined with some commercial tourism venture. The Derwent Valley Line Community Rail Partnership would be interested in trying to enhance this building and maybe able to seek some small amounts of funding towards a scheme that would help promote use of the station e.g. some display material.</p>	<p>g). Retain the shelter, demolish the public conveniences, landscape that part of the site, and replace the public conveniences with new facilities in the former station building (£293,200)</p>
<p>due to being the nearest toilets to the car park and station they need to be kept open. Local business does not open till dinner time.</p>	<p>a) Repair the building (£176,000)</p>
<p>Far too many buildings are being demolished, or sold off cheaply.</p>	<p>a) Repair the building (£176,000)</p>
<p>For a town with such a high volume of visitors, and that relies on those visitors using its businesses, the provision of decent public toilets is crucial. It would be a shame to demolish the existing shelter completely as it is of historical interest to the town..</p>	<p>f) Retain the shelter, demolish the public conveniences, landscape that part of the site, and replace the public conveniences with a smaller, modern facility to include an accessible toilet and baby change facilities (£397,200)</p>
<p>Given the large number of visitors, it would be unlikely that the local business proposal would work. In addition many businesses are only open seasonally, and not in the evenings. Better signage is required whatever proposal is adopted. Additional finance may be available from network rail, European sources and/or lottery?</p>	<p>c) Demolish the building, landscape the site and replace it with new facilities in the former station building (£215,000)</p>
<p>h. Matlock Bath's attraction is it's old fashioned appearance and the shelter is a prominent structure that would be missed. It would be worse to replace it with a modern structure however, it is saying something when the portaloo facilities a much much nicer facility than the previous permanent toilets! The building is lovely, the toilets were always in unpleasant experience.</p>	<p>h). Retain the shelter, demolish the public conveniences, landscape that part of the site, and replace the public conveniences with facilities provided by local business (£162,300)</p>

<p>I am disappointed that after all this time and form filling that the consultation is a tick box of one question. I expected a more in depth form. I have ticked one box but this doesn't really give me scope to put how I really feel. I have contacted my councillors who have said that they are not prepared to discuss my comments further as the council has made decisions. What decisions? this needs far more discussion with the people that live and work here and are affected by what happens in the village.</p>	<p>i). Retain the shelter, demolish the public conveniences, landscape that part of the site, and replace the public conveniences with new facilities in the former station building, in combination with facilities provided by local business (£312,300)</p>
<p>I can hardly believe the sums involved as they are so high. With these sums it is nearly as cheap to retain and improve the existing facility. I am not in favour of using toilets in local business premises as visitors look and expect to find a proper WC.</p>	<p>a) Repair the building (176,000)</p>
<p>I feel the shelter is hugely important to the village - in the many years I lived in Matlock Bath it was used often for community events - carol singing, exhibitions of the primary school childrens' art etc. We desperately need the public toilets here too - many elderly and disabled visitors just wouldn't manage the long walk from the station car park to the Pavilion - to not cater for these people when they are main source of income for the village is insulting.</p>	<p>a) Repair the building (£176,000)</p>
<p>I have selected a) and would suggest that you seek sponsorship/grants/fund-raising from local businesses, individuals and groups to fund/part fund the repairs</p>	<p>a) Repair the building (£176,000)</p>
<p>I seriously question the quotes given to repair/rebuild these facilities. I think it is clear that the council do not want to repair the building and have skewed the costs to suggest that it would only cost slightly more to replace it with modern facilities. Who have supplied these quotes? Probably county council's own quotes. Are these really competitive quotes? I think it is unfair that we are given the choice above without transparency.</p>	<p>a) Repair the building (£176,000)</p>
<p>I think it is important to retain the history and charm of matlock bath by restoring the original building. This ensures Matlock Bath continues to draw visitors and boosts the local economy.</p>	<p>a) Repair the building (£176,000)</p>
<p>I think that Matlock Bath should have quality public conveniences to allow visitors to use the toilet when they need to in a clean environment. I don't want to have to ask in a shop!</p>	<p>g). Retain the shelter, demolish the public conveniences, landscape that part of the site, and replace the public conveniences with new facilities in the former station building (£293,200)</p>
<p>I would actually prefer new loos in the Pavilion building if that were feasible. Please keep the shelter - even if you move it because the Victoriana feel of Matlock Bath is one of the reasons tourists love it and gradually we are losing heritage features. It helps retain the identity of the village.</p>	<p>h). Retain the shelter, demolish the public conveniences, landscape that part of the site, and replace the public conveniences with facilities provided by local business (£162,300)</p>

Important to preserve the character of the Memorial Gardens	a) Repair the building (£176,000)
Is there a possibility of creating a cafe in the Gardens on the site that would provide such facilities? The cafe in the Matlock park does a lot of business and use of the current structure for a cafe with chairs outside might provide sufficient income for a smaller modern facility. In that respect, could the council lease the structure to a business to run as a cafe with a requirement that they carry out the necessary structural repairs and rebuild as a cafe with facilities? The building could be extended to do this. In this way, the council would be rid of a liability and would possibly generate a small income.	a) Repair the building (£176,000)
It is a part of the history of Matlock bath not to be replaced by a modern concrete building.	a) Repair the building (£176,000)
It is part of the Matlock Bath charm and should not be replaced with another bland unit. The internals can be updated without losing it.	a) Repair the building (£176,000)
it is shameful that the toilets have been allowed to degenerate to their present state. The village needs them operable as soon as possible. The local business cannot fulfill the service for several reasons. Most of the business are licensed premises and cannot allow under 18's unless accompanied by an adult the costs involved are insurmountable for the businesses, I had to close my pub The princess victoria for a whole day to jet wash and steam clean our facilities to make them usable and the amount of consumables used is phenomenal. I estimate the ongoing costs as approx £500/month or 6k per year. We now have access locks fitted on the toilets and only customers can access them. The cost of the locks £80 was recovered within a week, Other businesses are also fitting similar locks.	a) Repair the building (£176,000)
It is unfair to expect local traders to provide facilities to visitors. There are no large premises and I would not like to see a stream of individuals using my pub loos while I enjoy a drink. No money for the traders would compensate and would lead to poorer facilities for genuine customers.	a) Repair the building (£176,000)
It would be a great shame if you decide to demolish such a beautiful building, surely there is some way to preserve it. It seems to be the norm now to knock such lovely old buildings down	a) Repair the building (£176,000)
it would be a pity to lose the shelter. What ever you would give to local business for use of their toilets would never be enough but also they would not be able to man the toilets regularly. It is also necessary for facilities to take into account baby changing & the disabled which some business would not be able to accommodate especially if they are in a wheelchair.	f) Retain the shelter, demolish the public conveniences, landscape that part of the site, and replace the public conveniences with a smaller, modern facility to include an accessible toilet and baby change facilities (£397,200)



<p>It would be a shame to loose another historical building from Matlock Bath, retaining the facade/shelter is the best option.</p>	<p>i). Retain the shelter, demolish the public conveniences, landscape that part of the site, and replace the public conveniences with new facilities in the former station building, in combination with facilities provided by local business (£312,300)</p>
<p>It would be nice if the plans could mean we still had a space as a village to meet to carol sing, have a Christmas tree and hold the remembrance service etc, so please could provision be made for electric sockets required for such events?</p>	<p>b) Demolish the building, landscape the site and replace it with a smaller, modern facility to include an accessible toilet and baby change facilities (£181,000)</p>
<p>Local business facilities should always be for their customers only. I wouldn't want to consume food and drink in a facility where people/children (with their dogs)are queuing to use toilet facilities. A high volume public convenience is needed to cope with the very high volume of visitors on weekends and during illuminations.</p>	<p>a) Repair the building (£176,000)</p>
<p>Maintaining the building is essential. It is an important part of Matlock Bath and a link to its history. Public toilets are also essential. Matlock Bath deserves to have money spent on it to improve its overall look. It gets many visitors, but is in danger of looking 'tacky'. Thank you.</p>	<p>i). Retain the shelter, demolish the public conveniences, landscape that part of the site, and replace the public conveniences with new facilities in the former station building, in combination with facilities provided by local business (£312,300)</p>
<p>My first choice from the above options would be (a)I feel strongly that the existing building with the toilet facilities should remain in the current location. When repaired this is an attractive building in keeping with other buildings in the village. It is known and used by local people, regular visitors and easily found by new visitors. A second choice would be (g)</p>	<p>a) Repair the building (£176,000)</p>
<p>Personally I think conveniences are needed near the roadside at both ends of the village, businesses don't appreciate the constant stream of people just using the facilities and leaving a mess, not to mention the amount of small children that seem to be taken up Waterloo to relieve themselves. Moving the facilities to the train station wouldn't particularly help in my opinion as I think most people wouldn't be bothered to walk up there and just keep using local business facilities as they do now.</p>	<p>f) Retain the shelter, demolish the public conveniences, landscape that part of the site, and replace the public conveniences with a smaller, modern facility to include an accessible toilet and baby change facilities (£397,200)</p>
<p>Public toilets are an absolute necessity, and asking local businesses to provide the facilities rather than the council is just not acceptable. However, there is little point in spending more than necessary. For the number of tourists and families that visit the village, baby change facilities are definitely needed too, as part of the upgrade.</p>	<p>b) Demolish the building, landscape the site and replace it with a smaller, modern facility to include an accessible toilet and baby change facilities (£181,000)</p>

MUST repair and keep the toilets. Absolutely vital.	a) Repair the building (£176,000)
Regular, proper maintenance so that no costly bill is incurred in the future.	a) Repair the building (£176,000)
Repair and restore without changing anything externally. It's a landmark of Matlock Bath.	a) Repair the building (£176,000)
Retain the shelter, as it is in character with 'Victorian Matlock Bath' (as is the Jubilee Bridge, band stand etc.) Building a modern replacement would take away a shelter, in keeping with the Victorian gardens, of what makes Matlock Bath an historic tourist spa. Option g). to place new facilities in the former station building, whilst retaining the shelter, seems the natural choice. Visitors to Matlock Bath, by train or own transport, regularly walk the length of the platform looking for toilets. As I regularly catch the train, both during the week and wk/ends, I have been asked where the toilets are innumerable times! People seem to expect that toilets should be on the station. I think the option of asking local businesses to provide facilities, in Matlock Bath would create problems. The general public are not all considerate of toilet facilities. These can be left in quite disgusting conditions at times, and cafes and shopkeepers would be left with clearing up. Their customers would be affected too. I have already seen 'Customers only' notices outside pubs.	i). Retain the shelter, demolish the public conveniences, landscape that part of the site, and replace the public conveniences with new facilities in the former station building, in combination with facilities provided by local business (£312,300)
sort it out. its disgusting how the toilets have been left which have been a health hazard attracting vermin. the council should also reimburse local business' that have already had to pay out with tourists using their facilities.	i). Retain the shelter, demolish the public conveniences, landscape that part of the site, and replace the public conveniences with new facilities in the former station building, in combination with facilities provided by local business (£312,300)
The Amber valley method is not helpful for tourists - there is no clarity on where the facilities are. If Option a includes retaining the toilets it is the best and cheapest	a) Repair the building (£176,000)
The availability of clean, modern public conveniences is vital in the area both to encourage residents of Matlock to walk into Matlock Bath and to provide a basic amenity for the tourist sector.	f) Retain the shelter, demolish the public conveniences, landscape that part of the site, and replace the public conveniences with a smaller, modern facility to include an accessible toilet and baby change facilities (£397,200)
The building should be retained as it is a part of the history of Matlock Bath. I think having facilities at the old station is too far for the normal tourist and local to go especially when events are on	a) Repair the building (£176,000)

<p>The general public do not like to use local business facilities unless they are visiting their business. especially if they have young children. Money is better spent repairing than moving things further away that will cost more. As it is an historic town then we should retain what we can, even if there was a 20p charge to maintain them to a decent level.</p>	<p>a) Repair the building (£176,000)</p>
<p>The shelter needs to be made safe because it is too attractive to be replaced with an ugly modern building but surely it should not cost so much to make it safe?</p>	<p>h). Retain the shelter, demolish the public conveniences, landscape that part of the site, and replace the public conveniences with facilities provided by local business (£162,300)</p>
<p>There should be a nominal charge for the public conveniences which should support an attendant to keep the services in good condition, at least in the busy summer months.</p>	<p>g). Retain the shelter, demolish the public conveniences, landscape that part of the site, and replace the public conveniences with new facilities in the former station building £293,200)</p>
<p>these toilets are necessary , it is a struggle for some to walk to the station and the location of the building in question is more accessible. It is sad that they have been allowed to deteriorate to the current conditon,surely notice should have been taken sooner to prevent this dilemma.</p>	<p>a) Repair the building (£176,000)</p>
<p>These toilets do need repairs and putting back in to use, the cost you are quoting is extremely expensive and with a tendering process could be done cheaper. I am one off the higher council tax payers and would not like to see an increase in my council tax because the of the miss management by Derbyshire dales district council in the first place, this building should have been kept in a good state of repair but it has been left hence why there is now a problem, the other toilets at the pavilion are also falling into a bad state of repair and I presume these will be closed in due course as well.</p>	<p>a) Repair the building (£176,000)</p>
<p>Think the price for repairing the building a bit steep. Should be able to get more realistic quote's !! Also is it not possible to get a grant for the repairs as it an old building on a memorial site. That needs to be looked into surely.That question about does someone need a disabled toilet is an odd question you have to have at least one disabled toilet in any toilet block I would think.</p>	<p>a) Repair the building (£176,000)</p>
<p>This is such an interesting and attractive building that it would be a shame to demolish it. Could it not be let to vendors once repaired?</p>	<p>h). Retain the shelter, demolish the public conveniences, landscape that part of the site, and replace the public conveniences with facilities provided by local business (£162,300)</p>

<p>This seems garbled - h) replace the public conveniences facilities provided by local business???? What do you mean by 'landscaping'?What would the impact on DWT be?</p>	<p>g). Retain the shelter, demolish the public conveniences, landscape that part of the site, and replace the public conveniences new facilities in the former station building (£293,200)</p>
<p>We feel that the toilets should be renovated to bring them up to a good standard. Matlock Bath Parish Council</p>	<p>a) Repair the building (£176,000)</p>
<p>What ever the outcome please please do not knock down the building it is beautiful and is part of Matlock Baths charm. Too many local places are too modern and corporate and look the same as everywhere else. A lot of people visit the area for the local history. I also think toilets are better at the station anyway for a number of reasons. If people want the toilet that badly, like other places you have to find a cafe buy a drink and use the loo.</p>	<p>e) Demolish the building, landscape the site and replace it with new facilities in the former station building, in combination with facilities provided by local business (£234,100)</p>
<p>Where do you get your figures? I am a tradesman and know you are being quoted in a most favourable manner for the contractor. and quotes should be researched more closely.</p>	<p>a) Repair the building (£176,000)</p>
<p>I am very much opposed to idea of facilities provided by local businesses for the solution to the problem. I do not believe it would be adequate for the number of tourists who come to Matlock Bath. Much of the charm of Matlock Bath is its historical feel - this building is part of that.</p>	<p>a) Repair the building (£176,000)</p>
<p>More toilets</p>	<p>c) Demolish the building, landscape the site and replace it with new facilities in the former station building (£215,000)</p>
<p>Retain shelter - Victorian heritage in keeping with gardens, Jubilee Bridge etc. New facilities to be sensitive to existing shelter. <u>Clear</u> signing from Station car park to toilet facilities. Facilities could create queues &amp; chaos in public business with one toilet!</p>	<p>f) Retain the shelter, demolish the public conveniences, landscape that part of the site, and replace the public conveniences with a smaller, modern facility to include an accessible toilet and baby change facilities (£397,200)</p>
<p>2.20pm The state of the toilets was disgusting, dirty, paper on the floors, no toilet paper. Some people walked in &amp; out immediately.</p>	<p>f) Retain the shelter, demolish the public conveniences, landscape that part of the site, and replace the public conveniences with a smaller, modern facility to include an accessible toilet and baby change facilities (£397,200)</p>

<p>Matlock Bath has a large tourist appeal - it needs <u>clean</u>, accessible public toilets. Consider 10p charge to cover any cleaning costs.</p>	<p>g). Retain the shelter, demolish the public conveniences, landscape that part of the site, and replace the public conveniences new facilities in the former station building (£293,200)</p>
<p>The toilets have <u>always</u> been a disgrace, they are filthy! For goodness sake, move with the times and give the tourists a decent toilet! Today people are queuing 6 deep because the ladies loo does not even work!!</p>	<p>f) Retain the shelter, demolish the public conveniences, landscape that part of the site, and replace the public conveniences with a smaller, modern facility to include an accessible toilet and baby change facilities (£397,200)</p>

BACK TO AGENDA

GOVERNANCE & RESOURCES COMMITTEE  
17 SEPTEMBER 2015

Report of the Head of Corporate Services

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## **COMMUNICATIONS AND MARKETING STRATEGY**

### **SUMMARY**

The Communication and Marketing Strategy sets out how residents, employees and service users are kept informed about what the District Council is doing, how it is spending public money, and the District Council services they can access.

### **RECOMMENDATIONS**

1. That the strategic framework of the current Communications and Marketing Strategy is noted.
2. That the action plan for 2015/2016 is approved.

### **WARDS AFFECTED**

All

### **STRATEGIC LINK**

Good communications with residents, employees and service users is key to all the District Council's corporate priorities and pivotal to providing excellent services.

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## **1 BACKGROUND**

- 1.1 The District Council adopted its current Communications and Marketing Strategy in September 2014, reflecting the development of technology and the needs both of the public and the District Council, which had evolved dramatically since the previous strategy's adoption in 2011. This first annual update sets ambitious yet realistic targets to support the Council's Corporate Objectives and core values.
- 1.2 The aim of the Strategy is to ensure our communications help to promote a positive image of the Council, and, in marketing terms, help us to meet the needs and wants of our customers in a fast moving digital world.
- 1.3 The adopted Strategy sets out a multi-channel approach to reach a wide variety of customers and stakeholders, underlining traditional forms of communication while embracing more modern approaches.

- 1.4 Communicating well is the responsibility of everyone and the Strategy is designed to be a useful tool for the corporate leadership team, heads of services and all employees and elected members. It sets a framework for communications and gives direction to all media, online, internal, marketing, publications and public relations communications actively undertake on behalf of the district council.
- 1.5 The Communications and Marketing Strategy sets out ways to:
- Make the Council easy to understand and talk to
  - Co-ordinate and direct communications
  - Ensure that everyone understands our targets and what the outcomes will be
  - Ensure that staff and partners understand their contribution
  - Make sure people know the outcome of the changes the District Council makes
  - Ensure openness and transparency
  - Make people feel better informed, proud to live in Derbyshire Dales, proud to work for the Council and proud to work with it.
- 1.6 The Strategy (attached as Appendix 1) is without a timeframe. This is deliberate and seeks to set a strategic framework with a more dynamic approach to actions which can be measured by way of an Annual Action Plan, monitored by a Communications & Marketing Hub comprising officers from all Council service areas.

## **2 REVIEW OF 2014/15 ACTION PLAN**

### **Intranet**

- 2.1 *Approve and embed a new intranet for the organisation by the end of 2014:* Target achieved with the introduction of a new Open Source intranet named SIDD (Staff Intranet Derbyshire Dales).

### **Video**

- 2.2 *Trial use of video to make Core Briefings more accessible:* To date two video messages from Chief Executive Dorcas Bunton have been made available to staff via SIDD, rounding up the topics discussed at Core Briefings.

### **Licences**

- 2.3 *Ensure all leases and licences include District Council branding to enhance the authority's reputation:* Recognition for the District Council when approving leases and licences for events on its land is now worked into licensing conditions.

### **Identity guide**

- 2.4 *Review and re-publish the corporate identity guide:* A copy of the Corporate Image Guide is available to staff to download from SIDD.

### **Website**

- 2.5 *Drive website transactions and aim to increase monthly visitor numbers from 40,000 to 44,000:* The target was to increase website monthly visitor numbers by 10% in the past year. Today's actual figure is 55,969 – an increase in the past year of almost 40%.

### **Twitter**

- 2.6 *Increase followers on our corporate Twitter feed from 3,540 to 4,000:* Again, the increase exceeds expectations. Today's figure of Twitter followers is 4,623 – an increase of over 30%.

### **Facebook**

- 2.7 *Increase the number of 'Likes' across our Facebook pages from 5,227 to 6,000:* The actual figure is 9,843 'Likes' – an increase during 2014/15 of 88%.

### **Web pages**

- 2.8 *Make the website more useable by working with service areas to reduce the number of pages from 1,778 to 1,500:* Not achieved. The number of webpages has actually increased in the current year to 1,968.

### **Web Advertising**

- 2.9 *Carry out an analysis of the potential of web advertising to make our website a revenue stream in addition to a one-stop shop for information:* A contract was agreed with the Council Advertising Network (CAN) at the start of 2015, and the new web advertising platform launched in July. It is hoped that web advertising will create a new advertising stream of around £5,000 in year one.

### **Online forms**

- 2.10 *Continue to develop a range of corporate online forms, prioritising forms by need rather than ad hoc internal requests:* Since the last website upgrade in 2011 we have created 81 online forms, and these play an increasingly important role in the way we consult with our residents. Recent consultations enabled online via our own forms program include Ashbourne Skatepark, Matlock Bath Memorial Gardens Toilets, the Tour of Britain, a Bakewell Parish Housing Needs Survey and new Dog Control Orders. Day-to-day online forms are available to report a multitude of issues, from missed bin collections, abandoned vehicles and fly-tipping to littering and dog fouling.

### **e-newsletter**

- 2.11 *Aim to increase our e-newsletter database by 10% from 1,000 names and addresses to 1,100 names and addresses:* Actual figure is 2,183 – an increase in the past year of 107%.

### **dalesMATTERS**

- 2.12 *Increase awareness of the dalesMATTERS publication, increasing the number of people who read half or most of it from 75% (citizens' panel November 2013) to 78%:* No recent citizens' panel information is available.

### **Crisis communications**



- 2.13 *Encourage a “digital first” approach to crisis communications:* The Communications & Marketing Hub created an Emergency Communications Protocol in January this year, subsequently approved by the Corporate Leadership Team in March and now adopted and available for all staff to view/download on SIDD. This new protocol is designed to prioritise actions in the event of an emergency that impacts our public-facing services. The aim is to provide a consistent message, ideally via digital channels, to our residents and users and, wherever possible, divert them from using the phone as a means of gaining information.

#### **Reputation**

- 2.14 *Spend £10k on enhancing the reputation of the District Council, highlighting the great work we do:* New signage was viewed this time last year as the vehicle for this exercise, but, due mainly to time constraints, this hasn't happened. However, a new digital approach is adopted in the 2015/16 Action Plan recommendations (below).

#### **Media training**

- 2.15 *Support members and managers with media training (especially as part of induction process):* Communications & Marketing Manager Jim Fearn delivered two sessions to Members within a month of the 7 May Elections, both of which were well received. Subsequently senior staff have been invited to attend two similar sessions (August 2015).

#### **Media releases**

- 2.16 *Issue a minimum of two media releases every week:* In the year to date, 106 media releases have been issued.

#### **Contacts**

- 2.17 *Continue to increase the number of email recipients of media releases, tapping into the ever increasing number of community websites:* In addition to community websites, a number of parish councils have also asked to be added to our media release distribution list in the past year. Examples of local websites include Bradda.org, Hathersage News, Northwood & Tinkersley Newsletter, Parwich Blog, Sudbury Sketch, Tansley Hotwire, Calver Link, Bridgetown Bugle (Darley Bridge) and Youlgrave Bugle. Indeed, the number of village websites receiving our releases now far exceeds the number of “traditional” media outlets.

### **3 NEW ACTION PLAN, 2015/16**

- 3.1 *Enhance the District Council's reputation and the user experience by upgrading and redesigning the official website to include a mobile version.*

This proposal effectively replaces the target in last year's action plan to spend £10k enhancing the reputation of the District Council. With 2.25-million page views in the past year (an increase of 16.5% on the previous year and 30.5% on the year before that), the official website plays an increasingly important role in delivering the authority's channel shift aspirations. However, the digital world moves quickly, and although SOCITM (Society of Information

Technology Management recently rated our website the best of all districts in the East Midlands on a per capita basis, improvements can be made to a channel last upgraded in February 2012 using an Open Source (free) Content Management System. The proposal is to embed the latest version of the CMS software, introduce a mobile version of the website (analytics reveal that more than half of web visitors now access our site using a mobile device) and to improve the navigation and search facility to make the site more accessible. Based on indicative pricing, the cost of the upgrade can be met from the existing budget (£10,000) and committed expenditure reserve (£2,000) subject to reprioritising actions in the Communications and Marketing Plan (mainly signage).

*3.2 Enhance the District Council's reputation and the user experience by upgrading and redesigning the twice-yearly dalesMATTERS publication.*

The Communications & Marketing Hub has facilitated a redesign of dalesMATTERS to make it more modern and appealing to residents. For the same price as the previous format (8 pages of A4) we can print 16 pages of a slightly smaller, handy-sized publication (175mm x 240mm). The new format will be launched in October 2015.

*3.3 Drive website monthly visitor numbers from 56,000 to 60,000*

*3.4 Increase followers on our corporate Twitter feed from 4,590 to 5,000. Increase the number of 'Likes' across our Facebook pages from 9,845 to 10,830.*

*3.5 Increase e-newsletter database from 2,185 names and addresses to 2,400.*

*3.5 Review the new intranet (SIDD) introduced at the start of 2015.*

*3.6 Continue to support members and managers with media training*

*3.7 Issue a minimum of two media releases every week*

*3.8 Ensure all leases and licences include District Council branding to enhance the authority's reputation*

## **4 RISK ASSESSMENT**

### **4.1 Legal**

An effective communications strategy helps to reinforce the District Council's ambition and raises proper accountability. The Strategy has been framed within the legislative framework regarding publicity. The legal risk is therefore low.

## **4.2 Financial**

The Communications Strategy can be delivered within existing budgets and, therefore, the financial risk arising from this report is low.

## **5 OTHER CONSIDERATIONS**

In preparing this report, the relevance of the following factors has also been considered: prevention of crime and disorder, equalities, environmental, climate change, health, human rights, personnel and property.

## **6. CONTACT INFORMATION**

Jim Fearn, Communications and Marketing Manager on 01629 761195 or email [jim.fearn@derbyshiredales.gov.uk](mailto:jim.fearn@derbyshiredales.gov.uk)  
Sandra Lamb, Head of Corporate Services Tel. 016289 761282 or email [sandra.lamb@derbyshiredales.gov.uk](mailto:sandra.lamb@derbyshiredales.gov.uk)

## **7. BACKGROUND PAPERS**

None

## **8. ATTACHMENTS**

Communications and Marketing Strategy (updated September 2015)



# Communications & Marketing Strategy



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# Derbyshire Dales District Council

## Communications & Marketing Strategy

(Adopted, Corporate Committee, 18 September 2014)

(New action plan to Governance & Resources Committee, 17 September 2015)

### Introduction

Communication plays an important role in everything we do at Derbyshire Dales District Council.

Communicating **well** is the responsibility of everyone at the District Council, not just the communications team. This strategy is designed to be a useful tool for the corporate management team, heads of services, all employees and council members.

It sets a framework for district council communications and gives direction to all media, online, internal, marketing, publications and public relations communications activity undertaken on behalf of the district council.

Our commitment is to use a **multi-channel approach** to reach the wide variety of customers and stakeholders we serve, including residents, employees, businesses, community partners, visitors to the district and all levels of government.

Externally, a key focus is to promote the district council's services to give us a competitive edge, supporting and enhancing regular activities.

Internal communications will involve all staff in shaping services as the district council continues to go through major changes.



We will seek to provide communications services on the most cost-effective basis, for example by accelerating our shift towards digital communications and taking a “digital first” position on crisis management

We will commit to continuing improvement of the usefulness of our website and keep content fresh and updated as we move a greater share of our communications activity online, utilising free social media channels.

Communication works best when it is a two-way process (we need to listen as well as talk) and when messages are clear and easy to understand. Our social media channels (particularly Facebook and Twitter) provide a voice for local people to air their views and discuss issues with the council.

The challenge for an organisation with more than 100,000 customers and a large range of services is how it communicates clearly and simply in a complex and constantly changing environment, with ever increasing financial pressures. This strategy seeks to address that challenge.

Research shows that communication with residents is a key driver to overall satisfaction with council performance. It is also at the heart of good customer service and effective, meaningful consultation – and critical to delivery of the council’s role in the community.

This strategy sets out the framework within which we can respond to this challenge.

Back page: Your Christmas & New Year bin collections

**DERBYSHIRE DALES DISTRICT COUNCIL**

**dalesMATTERS** AUTUMN 2014



This twice-yearly publication keeps you informed about your services and priorities

# Home win!

**H**elping local people to STAY local continues to be the top priority identified by you, the people of the Derbyshire Dales.

That's why we've funded affordable housing schemes to the tune of ££16,000 in the past year and attracted additional funding to make new developments happen.

Two projects due for completion this autumn are in **Darley Dale**, with 15 affordable homes on the former primary school site in Greenaway Lane, and 34 more at Poppyfields Close off Bakewell Road - named to mark the centenary of the outbreak of World War One.

**Affordable**

There's much to look forward to elsewhere in the Dales. At **Longford**, we've worked with the Homes and Communities Agency (HCA) and the Coke Almshouse Charity to unveil early in the new year three new homes.

Around the same time, **Youlgrave** will get eight new affordable homes thanks to your District Council and the HCA.

As with other developments - particularly in rural areas - the project in Youlgrave is a direct response to a District Council survey

Continued on page 2



Find out why **Matlock's** new outdoor market is a big winner > page 2

## Grant-tastic result for sport

**Y**our District Council is set to help more local people get active thanks to almost £125,000 of National Lottery funding from Sport England.

Our programme to target Dales urban areas is among 88 projects to win Sport England Community Sport Activation Fund cash to support grass-roots sport activity across the country.

like the **Youlgrave** keep fit group pictured left. It means our sports development team - which already runs successful projects including the award-winning Village Games, Street Games, Walking for Health and Club Development - can respond to a demand for new health activities in the towns of **Ashbourne, Matlock and Wirksworth**.

More grants success, see page 6 >

Sign up for our FREE e-newsletter [www.derbyshiredales.gov.uk/enewsreg](http://www.derbyshiredales.gov.uk/enewsreg)

## Aims, Vision and Objectives

### Aims

The ultimate aim of our communications is that all staff, residents, partners and everyone who deals with the council will have a clear understanding and a positive perception of our vision, aims, values, services and achievements, leading to higher levels of satisfaction and engagement.

### Vision

*What are we trying to do?*

To make its vision come alive, the district council must be able to communicate with (and influence) a wide range of organisations, individuals and partners.

*We therefore need to ...*

- make the council easy to understand and talk to
- coordinate and direct communications so that all parts of the district council are working towards shared objectives, in support of council strategy
- ensure that everyone understands our targets, and what the outcomes will be – showing people what success looks like
- ensure staff and partners understand their contribution through clear objectives, milestones and deadlines
- make sure people know the outcome of the changes the district council makes
- ensure openness and transparency
- make people feel better informed, proud to live in Derbyshire Dales, proud to work for the council, and proud to work with it.

In other words, we need to continue to build the district council as a *brand*.



The visual element of this brand – our corporate identity – is generally understood by staff and customers. Our brand is an important communications tool, *made up of these components...*



- Our overall purpose – what are we here for?
- Our values – what drives us to do the things we do?
- Our key messages – what are we saying about what we offer?
- Our service delivery – what do we provide, compared with what we promise?
- Our behaviour – how do we treat our customers and our staff?

It is important we bring these elements together in a unified approach across all communications channels, so that we are consistent in tone, look and feel. People need to understand who we are and what we stand for.

In this, our Communications Strategy will dovetail with the council's Customer Access Strategy.

### **Objectives**

- To secure and strengthen the reputation of the council in the community and an effective and efficient provider of high quality outcomes - focused on our values and priorities
- To build and maintain a professional corporate identity for consistent and co-ordinated use throughout the organisation
- To promote the image of the council as an effective, efficient and listening organisation focused on the public and their needs
- To ensure that communications are consistent and co-ordinated across all channels to give maximum support to the council's strategic priorities
- To ensure all staff understand the priorities of the council and feel valued and able to contribute to major changes affecting services they provide
- To ensure that our communications activities reflect the full diversity of the community and help ensure equality of access to all our services.

It is important also that the district council increases its efforts to understand what local communities are saying.

This strategy will dovetail with our Consultation Strategy in sharing information gained through consultation programmes such as citizens' panel consultation, channel shift initiatives and increasing use of new technology devices to generate instant feedback on topical issues.

## Delivering our objectives

The district council's reputation is based on perceptions – how people see us. Managing our reputation means first of all understanding what those perceptions are, deciding how we want to be seen, and planning how to get there.

We will tackle this by focusing internal capacity on the district council's key messages and ensuring that the most appropriate level of resource is available for our key priorities and activities.

### Our communications platforms can be broken down into three:

- Traditional Media, Publications, Campaigns and PR
- Digital Media
- Internal Communications

### Traditional Media, Publications, Campaigns and PR

We will seek to maintain and further improve positive media coverage and develop our media relations service to promote and defend the council, recognising the proven link between the public's sense of feeling informed and feeling satisfied. Our target is to issue two positive **media releases** every week of the year, alongside, where possible, engaging photography (chiefly taken in-house).



Town Hall, MATLOCK, Derbyshire DE4 3WJ  
Tel: 01629 761100

**PRESS RELEASE** (with photo)  
**13 October 2014 - for immediate release**

2014/081

#### Getting a kick out of latest sporting craze

Derbyshire Dales District Council is making sure local over 50s get a kick out of the latest sporting craze - walking football!

Weekly sessions of a game that has all the same rules as football - but with no running - are being organised in Baslow and Matlock, costing just £3 a time.

The first - at Baslow's newly refurbished multi-games area, is on this Thursday (16 October) from 10-11am. Wednesday morning sessions will take place at the District Council's Arc Leisure Matlock from 22 October, again from 10-11am.

The District Council is working in partnership with Derbyshire FA and Village Games, and Chairman of the District Council's Community Committee, Councillor Jennifer Bower said: "Walking football has suddenly grown from nothing to become the latest craze and we're delighted to offer sessions not only for over 50s, but for local people recovering from injuries."

There is no need to book in advance, but for more information contact the District Council's Village Games co-ordinator Becky Bryan on 01629 761385 or email [rebecca.bryan@derbyshiredales.gov.uk](mailto:rebecca.bryan@derbyshiredales.gov.uk)

ENDS

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For more information please contact: Jim Fearn on 01629 761195, e-mail: [jim.fearn@derbyshiredales.gov.uk](mailto:jim.fearn@derbyshiredales.gov.uk)

It will also be the responsibility of the communications team to handle a communications problem or bundle of problems by identifying:

- the nature of the problem or challenge
- the key considerations in addressing it
- the key drivers of those decisions (crucially, insight into audiences)
- the resources required
- the stages to go through

We will issue reactive statements to media on request after gaining advice and approval first from the head of service (corporate management team member) and/or council leaders.

Despite our increasing focus on e-communications channels, the twice-yearly **dalesMATTERS** newsletter, delivered to all 33,000 homes in the district, remains an important communications tool. 90% of our citizens' panel (surveyed November 2013) had seen a copy of dalesMATTERS and 75% read half or most of it.

We will continue to edit, design and organise publication and distribution of dalesMATTERS, directed by an editorial panel comprising a representative from every service area.

Similarly, we will edit, design and organise publication of other special publications such as:

- Council Tax information leaflet
- Agricultural Business Centre annual leaflet (including Bakewell Farmers' Market dates)
- Community Safety newsletter (twice yearly)
- Various leisure publications
- Other leaflets and fact sheets (including an A-Z of council services)

**A SUCCESS STORY**

Derbyshire Dales District Council's Agricultural Business Centre (ABC) is home to the multi-award-winning **Bakewell Farmers' Market**, which marks its 14th birthday in 2014.

It is the second largest farmers' market in the country and a success story for the District Council.

When the Farmers' Markets in Bakewell started in 2000 there were just 26 producers. This number has increased gradually until the market is now made up of 100 stalls including mostly thousands of the fabulous ABC.

The atmosphere is first class and the support in that local food, each business, it and around Bakewell, and the benefits of the trade generated by the Farmers' Markets.

We are dedicated to encouraging and promoting environmental sustainability, so most distributors come from within a 30 mile radius of Bakewell, though some specialty producers are allowed to travel from as far as 100 miles away.

With there are some traffic, most of the stalls are dedicated to locally-produced food and drink.

**Get a real taste for our Farmers' Market... watch our video at: [www.dales.gov.uk/derbyshire/dales](http://www.dales.gov.uk/derbyshire/dales)**

**FARMERS' MARKET 2014 DATES**

Generally held on the last Saturday of the month from 9am to 2pm - our multi-award winning Farmers' Market is now the second largest in the UK. Stalls under cover at the Agricultural Business Centre, with plentiful parking.

25 January	26 July
22 February	30 August
29 March	27 September
26 April	25 October
31 May	29 November
28 June	20 December

**AGRICULTURAL BUSINESS CENTRE**  
The home of **Bakewell Farmers' Market**

**CONTACT US**

Web: [www.dales.gov.uk/abc](http://www.dales.gov.uk/abc)  
 Facebook: [dalesfarmersmarket](https://www.facebook.com/dalesfarmersmarket)  
 Twitter: [dalesfarmersmarket](https://twitter.com/dalesfarmersmarket)  
 Email: [abc@dales.gov.uk](mailto:abc@dales.gov.uk)  
 Telephone: [www.dales.gov.uk/news](http://www.dales.gov.uk/news)  
 01429 813 777

**KEEP IN TOUCH! Sign up for our e-newsletter:**  
[www.dales.gov.uk/newsreg](http://www.dales.gov.uk/newsreg)

We will maintain and develop our programme of media and integrated **campaigns** that underpin the district council's values and priorities.

We will use no/low-cost external sites such as poster frames in our pay & display car parks and public toilets to promote our services, including:

- Leisure centres
- Markets
- Parks and open spaces
- Special events such as our Matlock Bath Illuminations
- Do it online campaigns (channel shift)



The communications team, in consultation with the head of corporate services, will regularly change the organisation's **corporate email sign-off** as another channel to promote ongoing campaigns.

We will continue to evaluate and cost the potential of paid-for media (including local commercial radio stations and newspapers/magazines) to further promote our campaigns.

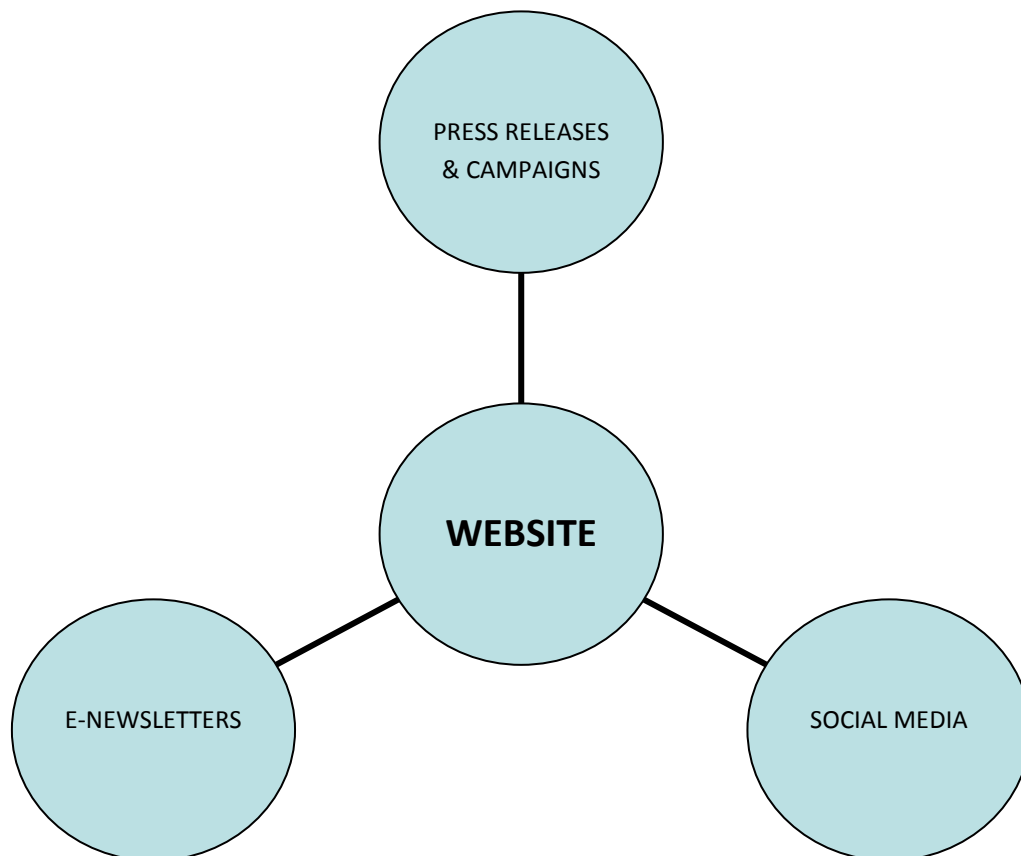
## Digital Media

We recognise the value of our website as a source of information, as a point for customer transactions and as a low-cost alternative to face-to-face and telephone contact.

Our communications going forward will have a digital focus, building on the platform created by our website, relaunched in 2012 using an open source (Joomla) content management system to serve the public and businesses of Derbyshire Dales.

We will further develop the website to make it even easier to find the information you need, to report faults and incidents, to ask questions and to conduct many different types of transactions, all in a 24/7 environment.

Not only is this usually faster than alternative methods of contact, it means you can conduct your business with the district council when and where you like, while doing so at a lower cost to the taxpayer. We will aim to further increase use of the website, which currently attracts more than 40,000 visits every month and is the "hub" of our communications.



We are committed to continuing to improve visitor numbers and the accessibility of the website, creating new web forms and payment portals.

We are applying the same principles to the development of a new intranet site for staff (launching autumn 2014).

**Social media** platforms have become an integral part of our communications strategy. We recognise the opportunities that social media can deliver in terms of reputation enhancement, engaging with the public using their medium of choice, greater two-way dialogue and the insights that social media can provide, and as an opportunity to reduce cost versus other communications channels.

We will exploit the penetration of social media in dealing with crisis communications, providing regular news updates on our digital channels to create a channel shift away from phone calls to service centres during busy periods.

While operating and monitoring established Facebook, Twitter and YouTube channels, we will examine the potential of other social media platforms. District council service areas will be assisted in setting up their own social media channels on request.



We will continue to use social media management tools such as Hootsuite to monitor our own social media activity and also gain a better understanding of the conversations about us in which we are not currently participating.

In parallel with the development of this Communications Strategy, we will continue to promote and, where necessary, update, our social media policy and staff guidelines.

We will seek to build our **e-newsletter** (MailChimp) database, enabling us to target key messages on a regular basis to engaged people in our communities. We recognise the huge potential of e-newsletters as an effective communications channel

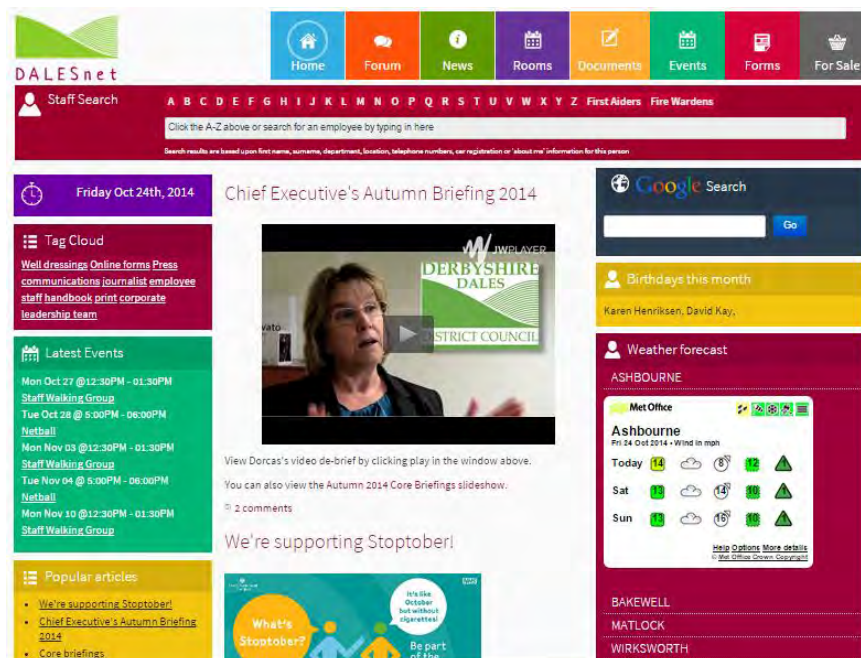
## Internal communications

Internal communications play a key role in ensuring staff keep in touch with the district council's plans and priorities, and the challenges ahead.

Employees need to understand how their actions contribute to the overall achievement of priorities and how their behaviour affects the way the organisation is perceived internally and externally.

Our internal communications will include:

- Publication of the staffMATTERS internal newsletter, published six times a year
- A new (autumn 2014) more accessible intranet site
- An online forum where staff can advertise activities and events (internal and external) and suggest good ideas
- Regular all-staff emails
- In-house posters
- Screensaver messages on staff PCs
- Core briefings **videos** to get our messages across



Through all the channels listed above, we will support our consultation teams in their work to help the district council understand what the public truly want, to deliver on our values and priorities and to provide the best possible value for money.

## Looking ahead

A Peer Review carried out in 2013 helped the district council re-set its vision – which is to use the reduced resources available to us more efficiently to maintain and - where possible - improve the quality of life for Derbyshire Dales people. A key aim of our communications is to help local people understand the financial challenges faced by the district council and the hard choices it is having to make in terms of service delivery.

Our plans are built on clear **values** that will help to steer us through the years ahead. Applying these values will mean that the district council is not only smaller, but also more flexible and more responsive to local people's needs and expectations.

### **We value:**

- the uniqueness of our communities, businesses and residents
- working in partnership to deliver affordable, quality services
- our employees
- teamwork, working together across the organisation
- creative thinking and ambition

### **Supporting our values:**

- the Council will be open and transparent when making decisions and will use public resources ethically and responsibly.
- we will behave with integrity, courtesy and respect, listening and responding to the very best of our abilities and treating everybody fairly, and by encouraging Members and staff to deliver improvements through their own personal development.

### **Providing the basics**

In the coming years, we will have less money and will have to make sure we spend it where the need is greatest. Our role is to make sure local people get good outcomes from their services and we understand that it is the quality of the service that matters to local people, not who provides it.

*Our focus should be on:*

Promoting and regularly reinforcing the distinctive qualities both of the Derbyshire Dales and the district council. It is appropriate therefore to build communications skills across the organisation, supported by an in-house communications resource that is empowered to identify and solve communications problems, and resourced to implement solutions.



## **Helping communities help themselves**

The district council is at its most effective when it is helping people to live successful lives as independently as possible and helping communities to help themselves. We believe that if power is in the hands of local people, you get better results and achieve better value.

*Our approach will be to:*

- Give individuals more say about the services they receive and the support they receive
- Empower communities to do more themselves and give them the tools they need for community action
- Recognise that some areas need more help than others and that, with a little support, they can get their ideas off the ground
- Support the transfer of buildings and other assets to community ownership so that they can become a hub for local activity – flexible and responsive to local needs.

## **Evidence and analysis**

What do our customers and stakeholders say?

We continue to invite customers and stakeholders to help us set some key priorities that support our values. Research (notably through our most recent citizens' panel survey – November 2013) has revealed the following as our customer and stakeholder priorities:

### **1. Housing which meets local needs**

Increase the availability of affordable housing for vulnerable people

### **2. A clean, green and prosperous Dales**

Minimise waste and increase recycling. Enable development sites and business growth.

### **3. Safe and healthy communities**

Keep alcohol-related crime low. Encourage active and healthy lifestyles.

## Action Plan 2015/16

- Enhance the District Council's reputation and the user experience by upgrading and redesigning the official website to include a mobile version
- Enhance the District Council's reputation and the user experience by upgrading and redesigning the twice-yearly dalesMATTERS publication
- Drive website monthly visitor numbers from 56,000 to 60,000
- Increase followers on our corporate Twitter feed from 4,590 to 5,000.
- Increase the number of 'Likes' across our Facebook pages from 9,845 to 10,830.
- Increase e-newsletter database from 2,185 names and addresses to 2,400.
- Review the new intranet (SIDDD) introduced at the start of 2015.
- Continue to support members and managers with media training
- Issue a minimum of two media releases every week
- Ensure all leases and licences include District Council branding to enhance the authority's reputation

GOVERNANCE AND RESOURCES COMMITTEE  
17 SEPTEMBER 2015

Report of the Head of Corporate Services

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## COMPLAINTS MONITORING

### SUMMARY

This report provides information on formal complaints made about the District Council's services under its internal Complaints Procedure; those referred to the Local Government Ombudsman, and against individual elected member behaviour at town, parish and District Council level.

### RECOMMENDATION

That the report be noted.

### WARDS AFFECTED

Various

### STRATEGIC LINK

Complaints monitoring has direct links to the Council's core values of fairness and equality, listening to people and quality of service. Additionally it links to the Council's aim of providing excellent services.

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## 1. FORMAL COMPLAINTS ABOUT THE DISTRICT COUNCIL'S SERVICES

### 1.1 Internal Complaints Procedure

This section of the report provides details of complaints against the Council that were dealt with through the Council's Complaints Procedure as formal complaints.

During 2014/15 the District Council received 65 official complaints, an increase of 7 on the previous year.

The following table shows the number of complaints by service areas compared to the previous year

Service Area	2013/14	2014/15
Refuse collection and recycling	13	13
Planning	6	8
Planning policy & consultation	0	1
Car Parking	4	5
Leisure	6	9
Website for Ashbourne Pool	0	1
Litter/street cleansing	4	1
Environmental Services	0	2

<b>Service Area</b>	<b>2013/14</b>	<b>2014/15</b>
Grass cutting and fly tipping	0	1
Mayfield Cemetery, Ashbourne	0	1
Benefits	0	4
Council Tax	1	3
Environmental Health/pest control	3	4
Licensing	0	0
Housing	6	0
Jubilee Bridge	0	1
Markets	2	1
Traveller sites	1	0
Play Areas	3	0
Bakewell Splash Pool	0	3
Committee procedure	2	0
Electoral Registration	0	1
Community asset	0	1
Customer Services	2	0
Public Conveniences	4	4
Allotments	1	0
Neighbourhood dispute / Anti-Social Behaviour	0	1
<b>Total</b>	<b>58</b>	<b>65</b>

The number of complaints appears to equate to the relative profile of our services and no area stands out as having received a disproportionate number. It is also fair to say that the level of complexity of matters raised is increasing particularly in planning, where complainants are expressing their dissatisfaction with the planning process in their particular area, triggered by the decision itself. It is envisaged that the number of complaints in that area will increase as we move closer to adoption of the Local Plan.

Anyone who is unhappy with the initial response to their complaint can ask for it to be reviewed by the Chief Executive. 8 complaints were referred during the year and 2 further complaints were directed to the Chief Executive on receipt because the normal respondent was either the subject of the complaint or had already provided a full response on an unofficial basis.

## 1.2 Local Government Ombudsman

Complainants, who remain dissatisfied with the handling of their complaint following the final stage of the internal complaints procedure, may take their issue up with the Local Government Ombudsman (LGO)

The LGO's annual review letter is attached at Appendix 1 and shows that 9 complaints relating to the District Council were received during this period.

Eleven decisions were made during the period, 3 of which were investigated.

The decision that was upheld related to the Council's failure to tell the parish council that the owner of the former village shop (a building on the list of community assets) intended to dispose of it. The complainant claimed that because of this, the

community shop committee in the village where he lives did not have the benefit of having a 'moratorium' period in which to make an offer for the building.

The LGO found that there is no clear procedure (in law) for publicising the intent to sell when a newly-listed community asset is already on the open market, and all those concerned were already aware of this. The Council acknowledged its oversight in not informing the parish council and the LGO determined that it was at fault.

The procedures have been reviewed to avoid such a mistake again and an offer made to help the committee to find business premises in the area. These actions are in line with the Ombudsman's Guidance on Remedies and no further action was recommended.

The complaint was upheld as there was fault by the Council. The LGO was satisfied however that the Council's actions did not cause the complainant a significant injustice.

## **2. COMPLAINTS ABOUT INDIVIDUAL MEMBER BEHAVIOUR**

- 2.1 The Monitoring Officer received one complaint about individual Member behaviour during the period. Under the provisions of the Localism Act, the Monitoring Officer is required to assess such complaints against agreed criteria and the relevant authority's Code of Conduct, in consultation with the Independent Person. A reserve Independent Person is available for the subject member to consult at any time during the assessment process.
- 2.2 The complaint alleged that a member of Parwich Parish Council failed to disclose and act upon an interest relating to a financial interest of a friend, contrary to Parwich Parish Council's Code of Conduct.
- 2.3 In consultation with the Independent Person, the Monitoring Officer concluded that there was a potential breach of Paragraph 13 of Parwich Parish Council's Code of Conduct in that the subject member failed to disclose and act upon an interest relating to a financial interest of a friend.
- 2.4 However, the Monitoring Officer was not of the view that, in the public interest, the complaint warranted an investigation and no evidence was presented to suggest that the subject member's omission led to any personal gain. Similarly no evidence was presented to suggest that the omission led to any disadvantage to the complainant.
- 2.5 The complaint was recommended for local resolution and the subject member advised to undertake training on the requirements of the Code and to offer a personal apology to the complainant for any mis-understanding.
- 2.6 In accordance with the agreed procedure, the Parwich Council met to consider the recommendation and dismissed the recommended action. The decision of the Parish Council is final on the matter.

### **3. RISK ASSESSMENT**

#### **3.1 Legal**

There was no breach of a rule of law in any of the complaints submitted. The legal risk is therefore low.

#### **3.2 Financial**

There are no financial considerations arising from this report.

### **3. OTHER CONSIDERATIONS**

In preparing this report the relevance of the following factors has also been considered: prevention of crime and disorder, equality of opportunity, environmental, health, legal and human rights, financial, personnel and property considerations.

### **4. CONTACT INFORMATION**

Sandra Lamb, Monitoring Officer, Tel: 01629 761281

e-mail [sandra.lamb@derbyshiredales.gov.uk](mailto:sandra.lamb@derbyshiredales.gov.uk)

Ros Hession, Tel. 01629 761302 in relation to the Internal Complaints Procedure

[Ros.hession@derbyshiredales.gov.uk](mailto:Ros.hession@derbyshiredales.gov.uk)

### **5. BACKGROUND INFORMATION**

None

### **6. APPENDICES**

Appendix 1 – LGO Annual report summary for period ending 31 March 2015

18 June 2015

*By email*

Ms Dorcas Bunton  
Chief Executive  
Derbyshire Dales District Council

Dear Ms Bunton

### **Annual Review Letter 2015**

I am writing with our annual summary of statistics on the complaints made to the Local Government Ombudsman (LGO) about your authority for the year ended 31 March 2015. This year's statistics can be found in the table attached.

The data we have provided shows the complaints and enquiries we have recorded, along with the decisions we have made. We know that these numbers will not necessarily match the complaints data that your authority holds. For example, our numbers include people who we signpost back to the council but who may never contact you. I hope that this information, set alongside the data sets you hold about local complaints, will help you to assess your authority's performance.

We recognise that the total number of complaints will not, by itself, give a clear picture of how well those complaints are being responded to. Over the coming year we will be gathering more comprehensive information about the way complaints are being remedied so that in the future our annual letter focuses less on the total numbers and more on the outcomes of those complaints.

### **Supporting local scrutiny**

One of the purposes of the annual letter to councils is to help ensure that learning from complaints informs scrutiny at the local level. Supporting local scrutiny is one of our key business plan objectives for this year and we will continue to work with elected members in all councils to help them understand how they can contribute to the complaints process.

We have recently worked in partnership with the Local Government Association to produce a workbook for councillors which explains how they can support local people with their complaints and identifies opportunities for using complaints data as part of their scrutiny tool kit. This can be found [here](#) and I would be grateful if you could encourage your elected members to make use of this helpful resource.

Last year we established a new Councillors Forum. This group, which meets three times a year, brings together councillors from across the political spectrum and from all types of local authorities. The aims of the Forum are to help us to better understand the needs of councillors when scrutinising local services and for members to act as champions for learning from complaints in their scrutiny roles. I value this direct engagement with elected members and believe it will further ensure LGO investigations have wider public value.

## Encouraging effective local complaints handling

In November 2014, in partnership with the Parliamentary and Health Service Ombudsman and Healthwatch England, we published *'My Expectations'* a service standards framework document describing what good outcomes for people look like if complaints are handled well. Following extensive research with users of services, front line complaints handlers and other stakeholders, we have been able to articulate more clearly what people need and want when they raise a complaint.

This framework has been adopted by the Care Quality Commission and will be used as part of their inspection regime for both health and social care. Whilst they were written with those two sectors in mind, the principles of *'My Expectations'* are of relevance to all aspects of local authority complaints. We have shared them with link officers at a series of seminars earlier this year and would encourage chief executives and councillors to review their authority's approach to complaints against this user-led vision. A copy of the report can be found [here](#).

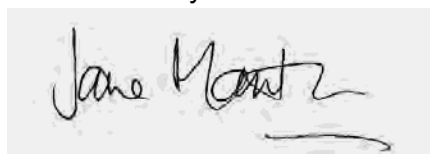
## Future developments at LGO

My recent annual letters have highlighted the significant levels of change we have experienced at LGO over the last few years. Following the recent general election I expect further change.

Most significantly, the government published a review of public sector ombudsmen in March of this year. A copy of that report can be found [here](#). That review, along with a related consultation document, has proposed that a single ombudsman scheme should be created for all public services in England mirroring the position in the other nations of the United Kingdom. We are supportive of this proposal on the basis that it would provide the public with clearer routes to redress in an increasingly complex public service landscape. We will advise that such a scheme should recognise the unique roles and accountabilities of local authorities and should maintain the expertise and understanding of local government that exists at LGO. We will continue to work with government as they bring forward further proposals and would encourage local government to take a keen and active interest in this important area of reform in support of strong local accountability.

The Government has also recently consulted on a proposal to extend the jurisdiction of the LGO to some town and parish councils. We currently await the outcome of the consultation but we are pleased that the Government has recognised that there are some aspects of local service delivery that do not currently offer the public access to an independent ombudsman. We hope that these proposals will be the start of a wider debate about how we can all work together to ensure clear access to redress in an increasingly varied and complex system of local service delivery.

Yours sincerely

A handwritten signature in black ink that reads "Jane Martin". The signature is written in a cursive style and is positioned above a horizontal line.

Dr Jane Martin  
Local Government Ombudsman  
Chair, Commission for Local Administration in England



## Local authority report – Derbyshire Dales District Council

For the period ending – 31/03/2015

For further information on interpretation of statistics click on this link to go to <http://www.lgo.org.uk/publications/annual-report/note-interpretation-statistics/>

### Complaints and enquiries received

Local Authority	Adult Care Services	Benefits and tax	Corporate and other services	Education and children's services	Environmental services and public protection	Highways and transport	Housing	Planning and development	Total
Derbyshire Dales DC	0	2	1	0	2	2	0	2	9

### Decisions made

Local Authority	Detailed investigations carried out		Advice given	Closed after initial enquiries	Incomplete/Invalid	Referred back for local resolution	Total
	Upheld	Not Upheld					
Derbyshire Dales DC	1	2	1	3	0	4	11

GOVERNANCE & RESOURCES COMMITTEE  
17 SEPTEMBER 2015

Report of the Head of Corporate Services

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## **PROCUREMENT STRATEGY 2015-2018**

### **SUMMARY**

This report seeks the Committee's approval for the newly revised Procurement Strategy.

### **RECOMMENDATIONS**

That the Derbyshire Dales District Council Procurement Strategy 2015-2018 be adopted.

### **WARDS AFFECTED**

All

### **STRATEGIC LINK**

The Procurement Strategy supports the District Council's Corporate Plan aim to provide excellent services.

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## **1 BACKGROUND**

- 1.1 The Council adopted its first formal Procurement Strategy in 2003. The original strategy has since been updated in 2006 and 2010.
- 1.2 The increasing pressures on budgets have made the procurement activity a vital factor in the successful delivery of services and the Council recognises that it should adopt best practise to maximise the benefits available from all commercial arrangements.

## **2 REPORT**

- 2.1 The newly revised strategy aims to reflect the Council's initiatives to remove unnecessary complexity from processes and procedures and to retain only those that add value to the service we deliver.
- 2.2 The Strategy directs the Council into taking a long term strategic view of its procurement requirements and exploring possible opportunities for working with other authorities especially for goods and services which can be procured more cost-effectively in a collaborative group.

2.3 The Vision for Procurement – ‘Where the Council wants to be’ – this is to enable the Council to procure what it needs to deliver the best services possible within its available resources. To do this we have identified the following Strategic Themes.

- Strategic Theme 1 – Straightforward
- Strategic Theme 2 – Professional
- Strategic Theme 3 – Support a vibrant economy
- Strategic Theme 4 – Strategic

2.4 The Action Plan in Section 9 is a programme of these Strategic Themes and implementing it will be a continuous process throughout the period covered by the strategy.

### **3 RISK ASSESSMENT**

#### **3.1 Legal**

There are no legal implications arising directly from this report. In general terms the Council’s procurement activities must be carried out in accordance with the Council’s Contract Standing Orders and Financial Regulations and procurement legislation and regulations (EU and UK).

### **CONTACT INFORMATION**

Caroline Leatherday, Business Support Manager, Telephone 01629 761105  
Or email: [caroline.leatherday@derbyshiredales.gov.uk](mailto:caroline.leatherday@derbyshiredales.gov.uk)

### **BACKGROUND PAPERS**

None



## Contents

- 1 Introduction
- 2 Purpose of Strategy
- 3 The Vision for Procurement
- 4 Procurement Hub
- 5 Training and Development
- 6 Relationships with Suppliers
- 7 Equality
- 8 Our Conduct
- 9 Action Plan

### Useful Contacts

Please contact me if you have any questions or comments about this Procurement Strategy or about tendering for Council business:

Caroline Leatherday  
Business Support Manager

Telephone: 01629 761105

E-mail: [procurement@derbyshiredales.gov.uk](mailto:procurement@derbyshiredales.gov.uk)

Address: Derbyshire Dales District Council  
Town Hall  
Matlock  
Derbyshire  
DE4 3NN

## 1 Introduction

- 1.1 The aim of this Procurement Strategy is to reflect the Council's initiatives to remove unnecessary complexity from processes and procedures and to retain only those that add value to the services we deliver.
- 1.2 The increasing pressures on budgets have made the procurement activity a vital factor in the successful delivery of services and the Council recognises that it should adopt best practice to maximise the benefits available from all commercial arrangements. Improvements are expected to lead to cashable financial savings as well as operational efficiency gains.
- 1.3 Procurement is different from buying. Buying is done on a day-to-day basis, sometimes from a contract put in place following a procurement process, other times from commercially available catalogues or company websites.
- 1.4 Procurement is a strategic process that follows a clear pattern starting with identifying a need right through to reviewing the delivery of the contract and learning any lessons for future procurements.
- 1.5 Competitive procurement remains the cornerstone of the Council's procurement approach but there will be circumstances where a direct contract with a sole supplier will be appropriate.
- 1.6 There have been some significant changes since the last strategy was published, namely:-
  - The new Public Contracts Regulations 2015 came into force at the end of February 2015. These are intended to make procurements quicker, simpler and less costly to run.
  - The Local Government Association has published a new National Procurement Strategy for Local Government in England 2014 which sets out a vision for local government procurement and encourages all councils in England to engage with the delivery of outcomes in four key areas; making savings, supporting local economies, leadership and modernising procurement. This strategy is consistent with the themes from the National Procurement Strategy <http://www.local.gov.uk/web/lg-procurement>
- 1.7 This Strategy is intended to provide a high-level view about our direction of travel and the principles that we will follow. We hope that you will find this a useful document as you engage with us, and we with you, in the future.

## 2 Purpose of the Strategy

The strategy aims to:

- 2.1 Increase value for money (defined, for the purposes of this Strategy as the best whole-life cost and quality ratio to fulfil the stated requirements) and reduce processing costs.
- 2.2 Take a long-term strategic view of the Council's procurement requirements, including the potential for innovative funding and the opportunity for working with other authorities especially for goods and services which can be procured more cost-effectively in a collaborative group.
- 2.3 To minimise harm to the environment and to promote conservation of natural resources in any procurement decisions.
- 2.4 To assess the risk associated with each procurement project in order to achieve a balance with commercial outcomes and placing risk where it is best managed.
- 2.5 Support businesses local to the Derbyshire Dales through a range of initiatives including:
  - Making it simpler to do business with the Council;
  - Reduce the bidding burden on suppliers.
  - Have regard to the impact on small/local firms of the way in which a procurement is structured.
  - Providing clear information about selling to the Council on our website; Using local advertising portals such as Source Derbyshire <http://www.sourcederbyshire.co.uk> to focus the attention of locally based firms.
  - Contracts for all categories of procurement where the cost is over £10,000 will be published on the Contracts Finder website - [www.gov.uk/contracts-finder](http://www.gov.uk/contracts-finder)

## 3 The Vision for Procurement

The vision for Procurement — where we want to be - is to enable the Council to procure what it needs to deliver the best services possible within its available resources. To do this we have adopted the following Strategic Themes for the period covered by the Strategy.

### 3.1 Strategic Theme 1 Straightforward:

- To make procurement as straightforward as possible for the Council and potential suppliers, in particular to improve access for local suppliers and small and medium enterprises (SMEs) and to eliminate anything that does not add value to the procurement.
- Take a more corporate approach to procure items to maximise the benefits of economy and scale.

### **3.2 Strategic Theme 2**

#### **Professional:**

- Continue to embed professional procurement and contract management skills across the Council. This goes hand in hand with moves to increase the commercial perception of the Council.
- Ensure all procurement activities are carried out in accordance with the Council's Contract Standing Orders and Financial Regulations and procurement legislation and regulations (EU and UK).

### **3.3 Strategic Theme 3**

#### **Support a vibrant local economy:**

- Give opportunity to local and SMEs to participate by increasing visibility of our procurement plans and opportunities.

### **3.4 Strategic Theme 4**

#### **Strategic:**

- Working in collaboration with the Derbyshire Purchasing Consortium to improve and develop sound procurement practices and innovative solutions to promote sustainability and value for money, making use of clear and detailed procurement/purchasing data, collaboration and partnership opportunities.

## **4 Procurement Hub**

- 4.1** The purpose of the Procurement Hub is to import and share knowledge and good practice to ensure that the District Council operates in a risk free environment.

The objectives of the Procurement Hub are:

- To have an overview of the use of technology to streamline procurement processes
- To make it easier for suppliers to do business with the authority
- To review the relevance and effectiveness of the Procurement Strategy and Contract Standing Orders
- To identify areas for collaborative working to produce more cost effective and innovate procurement solutions.
- To create capacity through joint delivery of significant procurement projects.
- To annually review the role and function of the Corporate Hub.



## **5 Training and Development**

5.1 The Council acknowledges that all members and officers responsible for making procurement decisions need the appropriate skills, knowledge and guidance in order to make the right decision and achieve continuous improvement. Accordingly members and employees with procurement responsibilities will be:-

- Given the appropriate training in order to undertake effective procurement and purchasing;
- Employees will be made aware of their responsibilities under the corporate procurement framework and related policies through induction and the PDR process.
- Advised on the budgetary implications of procurement decisions; and
- Consulted on proposed future changes to the Corporate Procurement Strategy.

## **6 Relationships with suppliers**

6.1 In longer-term contracts, the Council will incorporate provisions for continuous improvement both within the contracted service and to the benefit of the community it is serving.

6.2 In higher value contracts the specification will challenge contractors to demonstrate other methods of contributing to improving the economic, social and environmental well-being of Derbyshire provided they relate to the contract.

6.3 New suppliers may be required to ensure that they possess the necessary economic and financial capacity to perform the contract.

For example:

- the new supplier may be required to have a certain minimum yearly turnover, including a certain minimum turnover in the area covered by the contract;
- provide information on their annual accounts;
- have an appropriate level of professional risk indemnity insurance.

## **7 Equality, Economic, Social & Environmental**

7.1 The Council will take social, equalities and environmental factors into consideration alongside financial factors in decision-making. The business case will address equalities issues and sustainability issues to identify whether there is scope to improve the environmental, economic and social impacts of the proposed contract.

7.2 In procuring contracts, the District Council aims to ensure that all businesses have fair access to opportunities to work with the Council. In the delivery of these contracts, we will ensure that evaluation models, specification of services, contract conditions, quality requirements and monitoring procedures fully address equalities issues. To help us achieve this, we will ensure compliance with equalities legislation (The Equality Act 2010 and Public Services (Social Value) Act (2012)) and use positive action provisions in assessing the commitment of tendering firms to the aims and values of the Council's Equality and Diversity Policy.

7.3 The District Council's Procurement also requires officers of the District Council to:

- undertake a (proportionate) Equality Impact Assessment when planning a procurement when appropriate and consider equalities issues as well as economic and sustainability issues within the business case for projects;
- make provision within the tender specification (where appropriate) to include equality related award criteria or specific equalities outcomes to reflect the needs of different services users.

## **8 Our conduct**

8.1 In all our dealings in the procurement process, the Council will preserve the highest standards of honesty, integrity, impartiality and objectivity and shall comply with the Council's Codes of Conduct, Contract Standing Orders and Financial Regulations at all times.

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## 9 Action Plan

The table below summarises the actions and initiatives planned over the Strategy period to achieve the outcomes set out in the Vision for Procurement. A target date for completion and owner has also been included:

<b>PROCUREMENT ACTION PLAN September 2015 — September 2018</b>			
<b>Strategic Theme</b>	<b>Action</b>	<b>Target Date</b>	<b>Owner</b>
<b>1 Straightforward</b>	Promote and develop Corporate understanding of the Procurement Strategy	December 2015	CL
	To explore current contracts and spend to challenge new procurement opportunities and save money	On going	ALL
	Review scope for and deliver further corporate contracts to consolidate spend <ul style="list-style-type: none"> <li>• PPE</li> <li>• Cleaning Materials</li> </ul>	December 15 December 15	Procurement Hub
	To provide a dedicated Procurement webpage to provide suppliers with a simple unified approach to procurement activity within the Council.	December 15	CL
<b>2 Professional</b>	Develop and deliver targeted training programme for officers undertaking ongoing procurements.	November 15	CL
	Review Contract Standing Orders and Financial Regulations	Annually	KH/SL
	Review impact of newly implemented EU Procurement Rules and UK legislation and make necessary changes to existing approaches.	In progress	CLT and Budget Holders
	Ensure that EQIA are completed for all major procurement projects	Ongoing	ALL
<b>3 Support a Vibrant Economy</b>	Develop electronic opportunities to promote how to do business with the Council e.g. Contracts Finder and Source Derbyshire	Ongoing	CL
	Promote how to do business with the Council – website and business groups	As and when required	ALL
<b>4 Strategic</b>	Measure procurement performance and review under and overspend on all contracts Reports from NHS Procurement Team and Procurement Hub	Bi-monthly	SL, CLT
	Refresh and Publish online Contracts Register to promote future contract opportunities and timely ongoing renewals	Monthly	CL & Budget Holders