



This information is available free of charge in electronic, audio, Braille and large print versions on request.

For assistance in understanding or reading this document or specific information about this Agenda or on the "Public Participation" initiative please call Democratic Services on 01629 761133 or e-mail [committee@derbyshiredales.gov.uk](mailto:committee@derbyshiredales.gov.uk)

16 March 2016

To: All Councillors

As a Member or Substitute of the **Governance and Resources Committee**, please treat this as your summons to attend the meeting on **Thursday 24 March 2016 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. APPROVAL OF MINUTES OF PREVIOUS MEETING**

21 January 2016

### **3. 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.**

### **4. 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.

<b>5. QUESTIONS PURSUANT TO RULE OF PROCEDURE NUMBER 15</b>	
To answer questions from Members who have given the appropriate notice.	
	<b>Page No.</b>
<b>6. EXTERNAL AUDIT PLAN 2015/16</b>	<b>4 - 18</b>
To receive the report of the External Auditor for 2015/16.	
<b>7. INTERNAL AUDIT REPORTS CONCLUDED TO DATE UNDER THE 2015/2016 OPERATIONAL AUDIT PLAN</b>	<b>19 - 22</b>
To consider the internal audit reports produced in respect of the 2015/2016 Internal Audit Plan.	
<b>8. INTERNAL AUDIT OPERATIONAL PLAN 2016/2017</b>	<b>23 - 33</b>
To consider the Internal Audit Operational Plan 2016/2017 which outlines the assignments and estimated resources needed during the year.	
<b>9. EXTERNAL REVIEW OF INTERNAL AUDIT</b>	<b>34 - 37</b>
To consider the procurement of an external provider to undertake the external review of internal audit that is required by the Public Sector Internal Audit Standards.	
<b>10. LAND HOLDINGS REVIEW PHASE 3</b>	<b>38 - 45</b>
To consider whether 2 sites across the District in which queries or expressions of interest have been received should be retained or sold and the terms which would apply.	
<b>11. PROPERTY AND LAND DISPOSALS – CLOSED PUBLIC CONVENIENCES, FANNY SHAW, WIRKSWORTH</b>	<b>46 - 49</b>
To consider the recommendation to transfer the freehold of the Fanny Shaw public conveniences to Wirksworth Town Council.	
<b>12. LAND AND PROPERTY DISPOSALS – NURSERY SITE, HURDS HOLLOW, MATLOCK</b>	<b>50 - 55</b>
To consider the recommendation to transfer the freehold of the Hurds Hollow Nursery Site to Westleigh Homes, subject to the necessary planning consents being obtained by Westleigh Homes.	
<b>13. PROPERTY CONDITION SURVEYS 2015 – TOWN HALL WORKS</b>	<b>56 - 58</b>
To receive and note further detail on the work identified by Condition Surveys to be undertaken at the Town Hall during financial year 2016/17. Also to consider the options and payback times for the installation of Solar PV panels as part of the re-roofing contract.	
<b>14. SERVICE REVIEWS 2016/17</b>	<b>59 - 63</b>
To note the outcome of the 2015/16 Service Reviews and progress with ongoing reviews and joint projects as set out in the report. Also, to consider approval of the Service Review programme for 2016/17.	

- 15. EQUALITY, CONSULTATION AND ENGAGEMENT PLAN 2016-17** **64 - 105**  
 To consider approval of a combined Equalities, Consultation and Engagement Plan for 2016-17 and to note the progress against actions in the Quality Plan 2015-16 and the Consultation and Engagement Plan 2015-16.
- 16. RESULTS OF CUSTOMER SATISFACTION SURVEYS FOR COUNCIL TAX AND HOUSING BENEFITS SERVICES** **106 - 107**  
 To receive the results from customer satisfaction surveys for council tax and housing benefits services.
- 17. EXCLUSION OF PUBLIC AND PRESS**  
 At this point the Committee will consider excluding the public and press from the meeting for the remaining items of business for the reasons shown in italics. The Chairman will adjourn the meeting briefly to enable members of the public to speak to Councillors.
- 18. ARREARS FOR WRITE-OFF** **108 - 112**  
 To consider the write off of debts that have been pursued by all appropriate means of recovery by the Council.  
*(This report contains information relating to an individual where disclosure may be a breach of the Council's Data Protection Act).*

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, Jacque 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



# External Audit Plan 2015/16

Derbyshire Dales  
District Council

March 2016

## Financial Statement Audit



There are no significant changes to the Code of Practice on Local Authority Accounting in 2015/16, which provides stability in terms of the accounting standards the Authority need to comply with.

### Materiality

Materiality for planning purposes has been based on last year's expenditure and set at £650,000.

We are obliged to report uncorrected omissions or misstatements other than those which are 'clearly trivial' to those charged with governance and this has been set at £32,500.

### Significant risks

Those risks requiring specific audit attention and procedures to address the likelihood of a material financial statement error have been identified as:

- Provision for business rates appeals

**See pages 3 to 5 for more details.**

## Value for Money Arrangements work



The National Audit Office has issued new guidance for the VFM audit which applies from the 2015/16 audit year. The approach is broadly similar in concept to the previous VFM audit regime, but there are some notable changes:

- There is a new overall criterion on which the auditor's VFM conclusion is based; and
- This overall criterion is supported by three new sub-criteria.

Our risk assessment is ongoing and we will report VFM significant risks during our audit or Our risk assessment regarding your arrangements to secure value for money have identified the following VFM significant risks:

- Medium Term Financial Plan - delivery of future savings to secure long term financial and operational sustainability remains challenging and therefore poses a risk to financial resilience.

**See pages 6 to 9 for more details.**

## Logistics



Our team is:

- John Cornett – Director
- Simon Lacey - Manager
- Katie Scott – Assistant Manager

More details are on **page 12**.

Our work will be completed in four phases from December to September and our key deliverables are this Audit Plan and a Report to those charged with Governance as outlined on **page 11**.

Our fee for the audit is £38,295 (£51,060 - 2014/2015) see **page 10**.

## Background and Statutory responsibilities

This document supplements our Audit Fee Letter 2015/16 presented to you in April 2015, which also sets out details of our appointment by Public Sector Audit Appointments Ltd (PSAA).

Our statutory responsibilities and powers are set out in the Local Audit and Accountability Act 2014 and the National Audit Office's Code of Audit Practice.

Our audit has two key objectives, requiring us to audit/review and report on your:

- *Financial statements (including the Annual Governance Statement):* Providing an opinion on your accounts; and
- *Use of resources:* Concluding on the arrangements in place for securing economy, efficiency and effectiveness in your use of resources (the value for money conclusion).

The audit planning process and risk assessment is an on-going process and the assessment and fees in this plan will be kept under review and updated if necessary.

## Acknowledgements

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

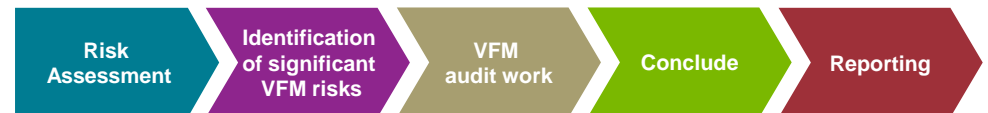
## Financial Statements Audit

Our financial statements audit work follows a four stage audit process which is identified below. Appendix 1 provides more detail on the activities that this includes. This report concentrates on the Financial Statements Audit Planning stage of the Financial Statements Audit.



## Value for Money Arrangements Work

Our Value for Money (VFM) Arrangements Work follows a five stage process which is identified below. Page 6 provides more detail on the activities that this includes. This report concentrates on explaining the VFM approach for the 2015/16 [and the findings of our VFM risk assessment].



## Financial Statements Audit Planning

Our planning work takes place during December to February 2016. This involves the following key aspects:

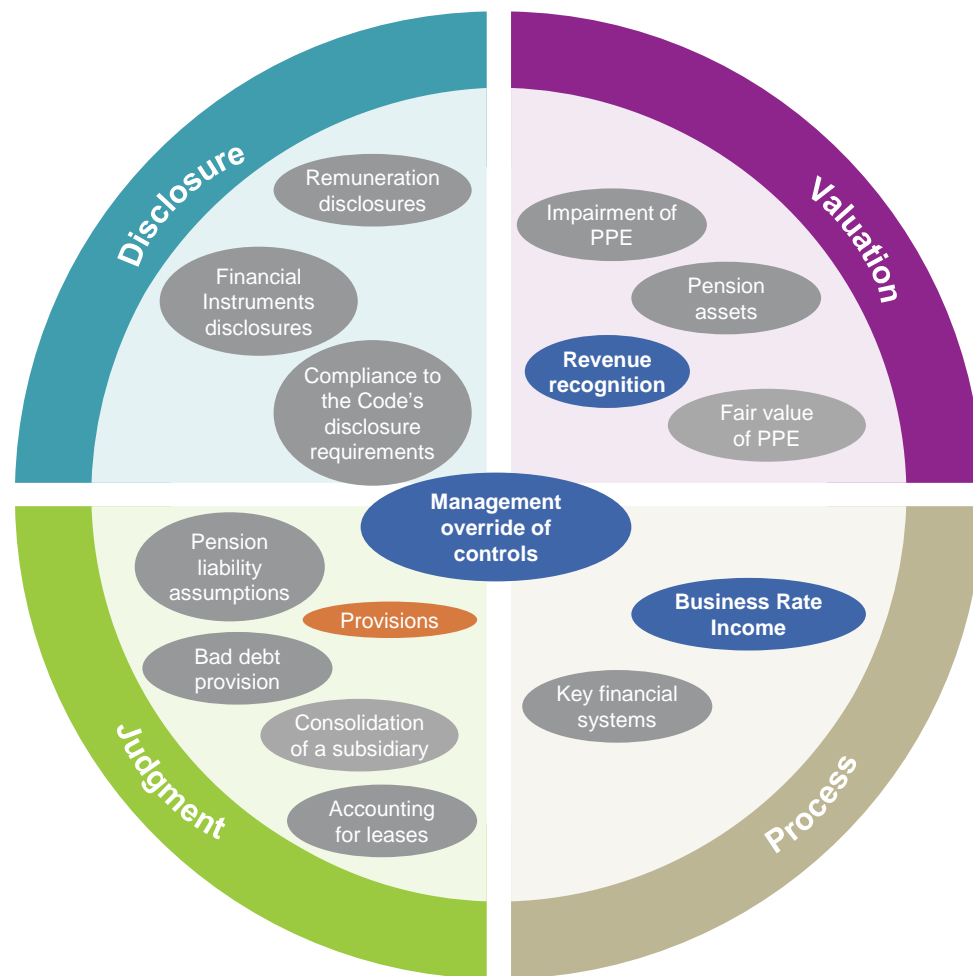
- Risk assessment;
- Determining our materiality level; and
- Issuing this audit plan to communicate our audit strategy.

### Risk assessment

Professional standards require us to consider two standard risks for all organisations. We are not elaborating on these standard risks in this plan but consider them as a matter of course in our audit and will include any findings arising from our work in our ISA 260 Report.

- Management override of controls – Management is typically in a powerful position to perpetrate fraud owing to its ability to manipulate accounting records and prepare fraudulent financial statements by overriding controls that otherwise appear to be operating effectively. Our audit methodology incorporates the risk of management override as a default significant risk. In line with our methodology, we carry 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.
- Fraudulent revenue recognition – We do not consider this to be a significant risk for local authorities as there are limited incentives and opportunities to manipulate the way income is recognised. We therefore rebut this risk and do not incorporate specific work into our audit plan in this area over and above our standard fraud procedures.

The diagram opposite identifies, significant risks and other areas of audit focus, which we expand on overleaf. The diagram also identifies a range of other areas considered by our audit approach.



Keys: ● Significant risk ● Other area of audit focus ● Example other areas considered by our approach



### Significant Audit Risks

Those risks requiring specific audit attention and procedures to address the likelihood of a material financial statement error.

#### Business Rates

- The provision for business rate appeals is a risk area since local authorities have little control over the level of appeals and their outcome. It is difficult to anticipate the financial impact of successful appeals as the potential change in rateable value cannot be predicted. Also, there is usually no indication of timescales to settle an appeal, making it hard to measure when the financial impact will fall. Derbyshire Dales District Council has a provision for business rates appeals within the NNDR collection fund; at 31 March 2015 the provision stood at £595,000 with the DDDC share being £238,000.
- In addition to the provision, the entity has also set aside a Business Rates Fluctuations Reserve of £189,000 for the 15/16 financial year. This is to mitigate against the volatility of business rates. The entity is yet to receive any claims as of the date of this report yet wish to make the appropriate recognition in the 2015/16 accounts.
- We will review the Authority's approach to estimating its provision for business rate appeals against the requirements of IAS 37 — Provisions, Contingent Liabilities and Contingent Assets.





## Materiality

We are required to plan our audit to determine with reasonable confidence whether or not the financial statements are free from material misstatement. An omission or misstatement is regarded as material if it would reasonably influence the user of financial statements. This therefore involves an assessment of the qualitative and quantitative nature of omissions and misstatements.

Generally, we would not consider differences in opinion in respect of areas of judgement to represent 'misstatements' unless the application of that judgement results in a financial amount falling outside of a range which we consider to be acceptable.

Materiality for planning purposes has been set at £650,000 for the Authority's standalone accounts which equates to 1.5 percent of gross expenditure.

We design our procedures to detect errors in specific accounts at a lower level of precision.

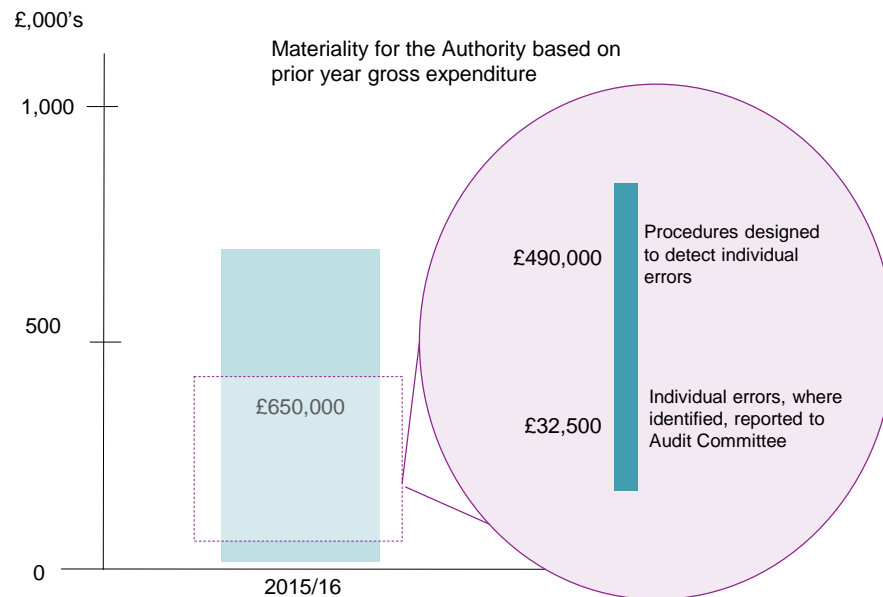
## Reporting to the Audit Committee

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 Audit Committee any unadjusted misstatements of lesser amounts to the extent that these are identified by our audit work.

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

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 £32,500.

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

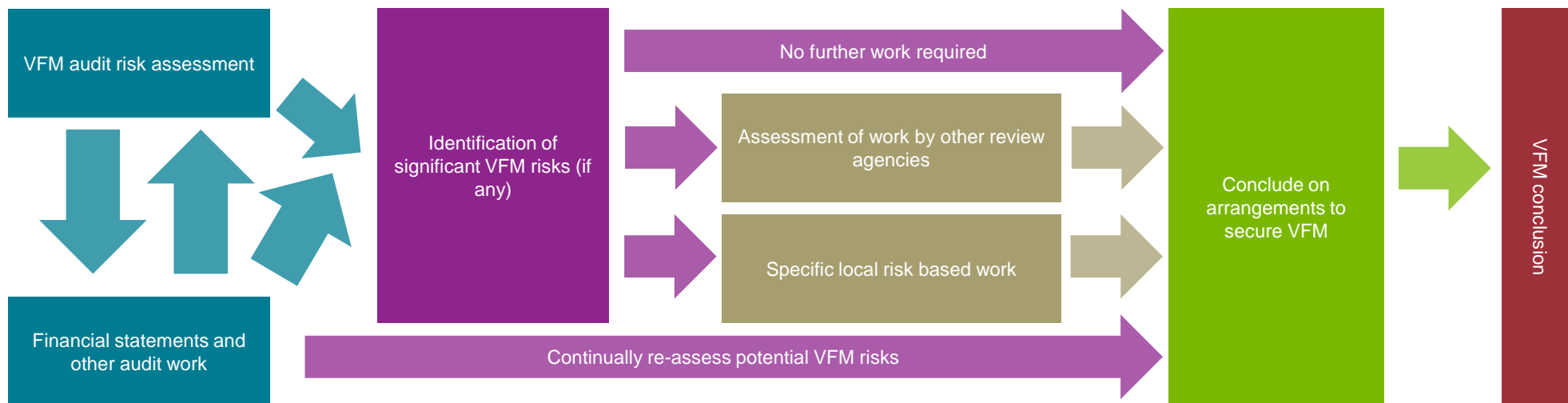
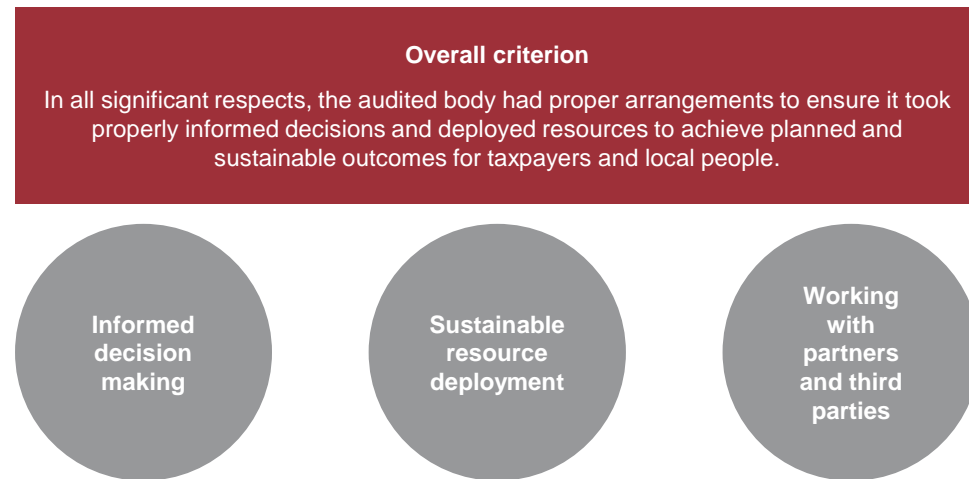


## Background to approach to VFM work

The Local Audit and Accountability Act 2014 requires auditors of local government bodies to be satisfied that the authority 'has made proper arrangements for securing economy, efficiency and effectiveness in its use of resources'.

This is supported by the Code of Audit Practice, published by the NAO in April 2015, which requires auditors to 'take into account their knowledge of the relevant local sector as a whole, and the audited body specifically, to identify any risks that, in the auditor's judgement, have the potential to cause the auditor to reach an inappropriate conclusion on the audited body's arrangements.'

The VFM approach is fundamentally unchanged from that adopted in 2014/2015 and the process is shown in the diagram below. However, the previous two specified reporting criteria (financial resilience and economy, efficiency and effectiveness) have been replaced with a single criteria supported by three sub-criteria. These sub-criteria provide a focus to our VFM work at the Authority. The diagram to the right shows the details of this criteria.





VFM audit stage	Audit approach
<b>VFM audit risk assessment</b>	<p>We consider the relevance and significance of the potential business risks faced by all local authorities, and other risks that apply specifically to the Authority. These are the significant operational and financial risks in achieving statutory functions and objectives, which are relevant to auditors' responsibilities under the <i>Code of Audit Practice</i>.</p> <p>In doing so we consider:</p> <ul style="list-style-type: none"> <li>■ The Authority's own assessment of the risks it faces, and its arrangements to manage and address its risks;</li> <li>■ Information from the Public Sector Auditor Appointments Limited VFM profile tool;</li> <li>■ Evidence gained from previous audit work, including the response to that work; and</li> <li>■ The work of other inspectorates and review agencies.</li> </ul>
<b>Linkages with financial statements and other audit work</b>	<p>There is a degree of overlap between the work we do as part of the VFM audit and our financial statements audit. For example, our financial statements audit includes an assessment and testing of the Authority's organisational control environment, including the Authority's financial management and governance arrangements, many aspects of which are relevant to our VFM audit responsibilities.</p> <p>We have always sought to avoid duplication of audit effort by integrating our financial statements and VFM work, and this will continue. We will therefore draw upon relevant aspects of our financial statements audit work to inform the VFM audit.</p>
<b>Identification of significant risks</b>	<p>The Code identifies a matter as significant '<i>if, in the auditor's professional view, it is reasonable to conclude that the matter would be of interest to the audited body or the wider public. Significance has both qualitative and quantitative aspects.</i>'</p> <p>If we identify significant VFM risks, then we will highlight the risk to the Authority and consider the most appropriate audit response in each case, including:</p> <ul style="list-style-type: none"> <li>■ Considering the results of work by the Authority, inspectorates and other review agencies; and</li> <li>■ Carrying out local risk-based work to form a view on the adequacy of the Authority's arrangements for securing economy, efficiency and effectiveness in its use of resources.</li> </ul>



VFM audit stage	Audit approach
<p>Assessment of work by other review agencies</p> <p>and</p> <p>Delivery of local risk based work</p>	<p>Depending on the nature of the significant VFM risk identified, we may be able to draw on the work of other inspectorates, review agencies and other relevant bodies to provide us with the necessary evidence to reach our conclusion on the risk.</p> <p>If such evidence is not available, we will instead need to consider what additional work we will be required to undertake to satisfy ourselves that we have reasonable evidence to support the conclusion that we will draw. Such work may include:</p> <ul style="list-style-type: none"> <li>■ Meeting with senior managers across the Authority;</li> <li>■ Review of minutes and internal reports;</li> <li>■ Examination of financial models for reasonableness, using our own experience and benchmarking data from within and without the sector.</li> </ul>
<p>Concluding on VFM arrangements</p>	<p>At the conclusion of the VFM audit we will consider the results of the work undertaken and assess the assurance obtained against each of the VFM themes regarding the adequacy of the Authority's arrangements for securing economy, efficiency and effectiveness in the use of resources.</p> <p>If any issues are identified that may be significant to this assessment, and in particular if there are issues that indicate we may need to consider qualifying our VFM conclusion, we will discuss these with management as soon as possible. Such issues will also be considered more widely as part of KPMG's quality control processes, to help ensure the consistency of auditors' decisions.</p>
<p>Reporting</p>	<p>We have completed our initial VFM risk assessment and have identified significant VFM risks. We will update our assessment throughout the year should any issues present themselves and report against these in our ISA260.</p> <p>On the following page, we report the results of our initial risk assessment.</p> <p>We will report on the results of the VFM audit through our ISA 260 Report. This will summarise any specific matters arising, and the basis for our overall conclusion.</p> <p>The key output from the work will be the VFM conclusion (i.e. our opinion on the Authority's arrangements for securing VFM), which forms part of our audit report.</p>



### Significant VFM Risks

Those risks requiring specific audit attention and procedures to address the likelihood that proper arrangements are not in place to deliver value for money.

#### Medium Term Financial Plans

- Medium Term Financial Plans – the council has established a balanced budget for the next two years but has recognised that further savings will be required during the life of the current MTFP. The council has started to address savings needs through service reviews but will need to achieve savings of £750,000 over the life of the MTFP.
- We will review the robustness of the MTFP and delivery of the current budget to ensure arrangements are in pace to effectively monitor the use of resources to support the council priorities.

### Whole of government accounts (WGA)

We are required to review your WGA consolidation and undertake the work specified under the approach that is agreed with HM Treasury and the National Audit Office. Deadlines for production of the pack and the specified approach for 2015/16 have not yet been confirmed.

### Elector challenge

The Local Audit and Accountability Act 2014 gives electors certain rights. These are:

- The right to inspect the accounts;
- The right to ask the auditor questions about the accounts; and
- The right to object to the accounts.

As a result of these rights, in particular the right to object to the accounts, we may need to undertake additional work to form our decision on the elector's objection. The additional work could range from a small piece of work where we interview an officer and review evidence to form our decision, to a more detailed piece of work, where we have to interview a range of officers, review significant amounts of evidence and seek legal representations on the issues raised.

The costs incurred in responding to specific questions or objections raised by electors is not part of the fee. This work will be charged in accordance with the PSAA's fee scales.

### Our audit team

Our audit team will be led by John Cornett – Director who is looking forward to providing a fresh perspective to the audit and team. Appendix 2 provides more details on specific roles and contact details of the team.

### Reporting and communication

Reporting is a key part of the audit process, not only in communicating the audit findings for the year, but also in ensuring the audit team are accountable to you in addressing the issues identified as part of the audit strategy. Throughout the year we will communicate with you through meetings with the finance team and the Governance and Resources Committee. Our communication outputs are included in Appendix 1.

### Independence and Objectivity

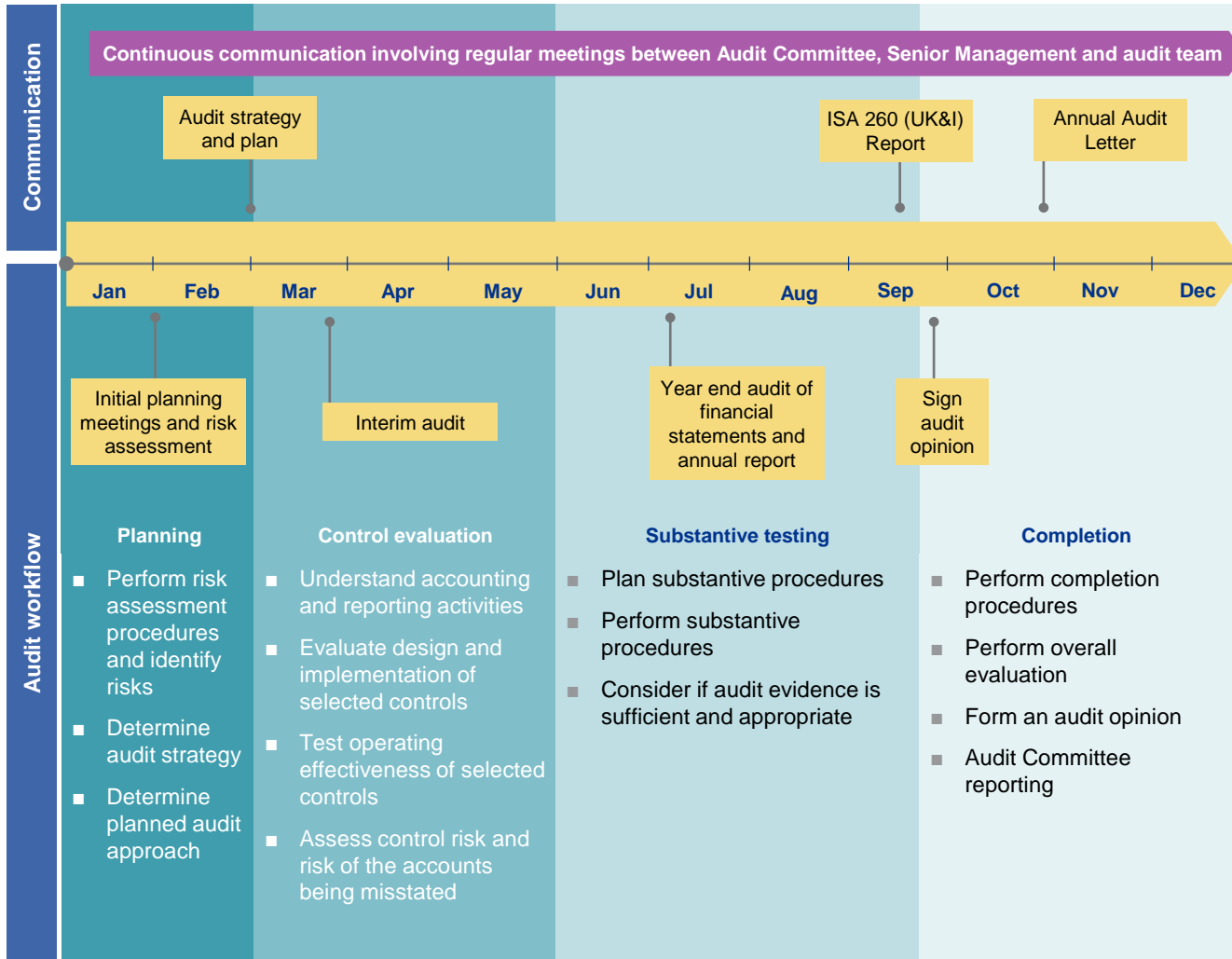
Auditors are also required to be independent and objective. Appendix 3 provides more details of our confirmation of independence and objectivity.

### Audit fee

*Our Audit Fee Letter 2015/2016* presented to you in April 2015 first set out our fees for the 2015/2016 audit. This letter also sets out our assumptions. We have not considered it necessary to make any changes to the agreed fees at this stage.

The planned audit fee for 2015/16 is £38,295. This is a reduction in audit fee, compared to 2014/2015, of £12,765 (25%).

Our audit fee includes our work on the VFM conclusion and our audit of the Authority's financial statements.



**Driving more value from the audit through data and analytics**

Technology is embedded throughout our audit approach to deliver a high quality audit opinion. Use of Data and Analytics (D&A) to analyse large populations of transactions in order to identify key areas for our audit focus is just one element. We strive to deliver new quality insight into your operations that enhances our and your preparedness and improves your collective 'business intelligence.' Data and Analytics allows us to:

- Obtain greater understanding of your processes, to automatically extract control configurations and to obtain higher levels assurance.
- Focus manual procedures on key areas of risk and on transactional exceptions.
- Identify data patterns and the root cause of issues to increase forward-looking insight.

We anticipate using data and analytics in our work around key areas such as accounts payable and journals. We also expect to provide insights from our analysis of these tranches of data in our reporting to add further value from our audit.



Your audit team has been drawn from our specialist public sector assurance department and we have refreshed our audit team for the audit this year.



<b>Name</b>	John Cornett
<b>Position</b>	Partner/Director
	<p>'My role is to lead our team and ensure the delivery of a high quality, valued added external audit opinion.</p> <p>I will be the main point of contact for the Governance and Resources Committee and Chief Executive.'</p>

**John Cornett**

Director

07854 479507

john.cornett@kpmg.co.uk



<b>Name</b>	Simon Lacey
<b>Position</b>	Manager
	<p>'I provide quality assurance for the audit work and specifically any technical accounting and risk areas.</p> <p>I will work closely with the director to ensure we add value.</p> <p>I will liaise with the Head of Resources and other Executive Directors.'</p>

**Simon Lacey**

Manager

07557 077454

simon.lacey@kpmg.co.uk



<b>Name</b>	Katie Scott
<b>Position</b>	Assistant Manager
	<p>'I will be responsible for the on-site delivery of our work and will supervise the work of our audit assistants.'</p>

**Katie Scott**

Assistant Manager

07468 365923

katie.scott@kpmg.co.uk



### Independence and objectivity

Professional standards require auditors to communicate to those charged with governance, at least annually, all relationships that may bear on the firm's independence and the objectivity of the audit engagement partner and audit staff. The standards also place requirements on auditors in relation to integrity, objectivity and independence.

The standards define 'those charged with governance' as 'those persons entrusted with the supervision, control and direction of an entity'. In your case this is the Governance and Resources Committee.

KPMG LLP is committed to being and being seen to be independent. APB Ethical Standard 1 Integrity, Objectivity and Independence requires us to communicate to you in writing all significant facts and matters, including those related to the provision of non-audit services and the safeguards put in place, in our professional judgement, may reasonably be thought to bear on KPMG LLP's independence and the objectivity of the Engagement Lead and the audit team.

Further to this auditors are required by the National Audit Office's Code of Audit Practice to:

- Carry out their work with integrity, independence and objectivity;
- Be transparent and report publicly as required;
- Be professional and proportional in conducting work;
- Be mindful of the activities of inspectorates to prevent duplication;
- Take a constructive and positive approach to their work;
- Comply with data statutory and other relevant requirements relating to the security, transfer, holding, disclosure and disposal of information.

PSAA's Terms of Appointment includes several references to arrangements designed to support and reinforce the requirements relating to independence, which auditors must comply with. These are as follows:

- Auditors and senior members of their staff who are directly involved in the management, supervision or delivery of PSAA audit work should not take part in political activity.

- No member or employee of the firm should accept or hold an appointment as a member of an audited body whose auditor is, or is proposed to be, from the same firm. In addition, no member or employee of the firm should accept or hold such appointments at related bodies, such as those linked to the audited body through a strategic partnership.
- Audit staff are expected not to accept appointments as Governors at certain types of schools within the local authority.
- Auditors and their staff should not be employed in any capacity (whether paid or unpaid) by an audited body or other organisation providing services to an audited body whilst being employed by the firm.
- Auditors appointed by the PSAA should not accept engagements which involve commenting on the performance of other PSAA auditors on PSAA work without first consulting PSAA.
- Auditors are expected to comply with the Terms of Appointment policy for the Engagement Lead to be changed on a periodic basis.
- Audit suppliers are required to obtain the PSAA's written approval prior to changing any Engagement Lead in respect of each audited body.
- Certain other staff changes or appointments require positive action to be taken by Firms as set out in the Terms of Appointment.

### Confirmation statement

We confirm that as of February 2016 in our professional judgement, KPMG LLP is independent within the meaning of regulatory and professional requirements and the objectivity of the Engagement Lead and audit team is not impaired.



## BACK TO AGENDA

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. We draw your attention to the Statement of Responsibilities of auditors and audited bodies, 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.

© 2016 KPMG LLP, a UK limited liability partnership and a member firm of the KPMG network of independent member firms affiliated with KPMG International Cooperative ("KPMG International"), a Swiss entity. All rights reserved.

The KPMG name, logo and "cutting through complexity" are registered trademarks or trademarks of KPMG International.

Produced by Create Graphics/Document number: CRT053550A

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 John Cornett, 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, Andrew Sayers, by email to [Andrew.Sayers@kpmg.co.uk](mailto:Andrew.Sayers@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.

GOVERNANCE AND RESOURCES COMMITTEE  
24th March 2016

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 2015/16 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 5th December to the 26<sup>th</sup> February 2016, 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 7 reports have been issued, 5 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, Internal Audit Consortium Manager  
(Jenny.Williams@chesterfield.gov.uk)

### **BACKGROUND PAPERS**

None

### **ATTACHMENTS**

Appendix 1 - Summary of Internal Audit Reports Issued – 5<sup>th</sup> December 2015 to 26<sup>th</sup> February 2016.

**BACK TO AGENDA**

## DERBYSHIRE DALES DISTRICT COUNCIL

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

Summary of Internal Audit Reports Issued – 5<sup>th</sup> December 2015 to 26<sup>th</sup> February 2016

Report Ref	Report Title	Scope and Objectives	Opinion	Date		Number of Recommendations	
				Report Issued	Response Due	Made	Accepted
D019	Housing Benefits	To ensure that Benefits are paid accurately and promptly	Satisfactory	18/12/2015	18/01/2016	1H	1
D020	Budgetary Control	To ensure that there are strong budget monitoring and control procedures in place	Good	11/01/2016	1/2/2016	0	0
D021	Risk Management	To ensure that there are risk management procedures and processes in place	Good	11/01/2016	1/02/2016	1L	1
D022	Treasury Management	To ensure that there is a strategy in place that is adhered to	Good	13/01/2016	3/02/2016	0	0
D023	Illuminations	To ensure that all income from ticket sales and cash collected is accounted for	Satisfactory	5/02/2016	26/02/2016	0	0

Report Ref	Report Title	Scope and Objectives	Opinion	Date		Number of Recommendations	
				Report Issued	Response Due	Made	Accepted
D024	Ashbourne Leisure Centre	To review the controls and procedures in place	Good	5/02/2016	26/02/2016	1H	1
D025	Wirksworth Leisure Centre	To review the controls and procedures in place	Good	5/02/2016	26/02/2016	2 (1H 1M)	2

**BACK TO AGENDA**

GOVERNANCE AND RESOURCES COMMITTEE  
24 March 2016

Report of the Chief Executive

---

**INTERNAL AUDIT OPERATIONAL PLAN 2016/2017**

**SUMMARY**

This report asks the Committee to agree the Internal Audit Operational Plan 2016/2017 which outlines the assignments and estimated resources needed during the year.

**RECOMMENDATION**

That the Internal Audit Plan for 2016/17 be agreed.

**WARDS AFFECTED**

All

**STRATEGIC LINK**

The Audit Plan is linked to the Council's Performance Plan values by reviewing service functions and testing and reporting on service quality and governance provisions. This also fits in with the Council's aim to provide an excellent service.

**1.0 BACKGROUND**

- 1.1 A key requirement of the Public Sector Internal Audit Standards is that a periodic risk based plan should be prepared that should be sufficiently flexible to reflect the changing risks and priorities of the organisation. The risk based plan should be fixed for a period of no longer than one year, should outline the assignments to be carried out, their respective priorities and the estimated resources needed.
- 1.2 A note explaining the role, purpose and some of the terminology used in the internal audit plan is attached at Appendix A.
- 1.3 An annual report summarising the outcome of the 2015/16 internal audit plan will be presented to this Committee after the year-end.

**2.0 INTERNAL AUDIT PLAN 2016/17**

- 2.1 A summary of the internal audit plan for 2016/17 is shown below and the detailed plan is shown as Appendix B.

## Internal Audit Plan 2016/17

Summary	Audit Days
Main Financial Systems	112
Other Operational Audits	65
Computer / IT Related	10
Fraud and Corruption	13
Corporate / Cross Cutting	53
Non Audit Duties	15
Special Investigations & Contingency	57
Final Accounts	5
Provision of financial advice	10
Management Service	30
<b>Grand Total</b>	<b>370</b>

- 2.2 The plan has been prepared taking into account the following factors:-
- The organisational objectives and priorities
  - Local and national issues and risks
  - The requirement to produce an annual internal audit opinion
  - The organisations assurance framework
  - The internal audit risk assessment exercise covering the financial control and other procedures subject to audit (See Appendix A, Section 5 for further details)
  - The Council's Strategic Risk Register
  - The views of the Head of Resources
- 2.3 The resource available is sufficient to be able to complete the risk based annual plan at Appendix B. The Council employs a Senior Auditor at 4 days a week and an audit apprentice for up to 4 days a week (1 college day a week and time in other areas of the Council). A management service of 30 days a year has also been procured. The plan allocates 370 days in respect of 2016/17; this is the same as the 2015/16 allocation.
- 2.4 There is no formula that can be used to establish the ideal number of audit days however the Internal Audit Consortium Manager in consultation with the Head of Resources believes that the resource level is sufficient to be able to provide an opinion on internal controls at the end of the year.
- 2.5 A copy of the audit plan is provided to the Council's External Auditor to assist in co-ordination of work programmes.
- 2.6 A copy of the three year audit plan covering the period 2016/17 – 2018/19 is attached for information as Appendix C. The plans for 2017/18 and 2018/19 are indicative only and could well change in order to meet the priorities of the Council.



### **3 RISK ASSESSMENT**

#### **3.1 Legal**

There are no legal risks arising directly from this report.

#### **3.2 Financial**

There are no financial risks arising directly from this report.

#### **3.3 Corporate Risk**

No formula exists that can be applied to determine internal audit coverage needs. However, as a guide, the minimum level of coverage is that required to give an annual evidence-based opinion. It is believed that the level of coverage provided by the proposed 2016/17 internal audit plan will be sufficient upon which to base an opinion.

### **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, Internal Audit Consortium Manager  
([Jenny.williams@Chesterfield.gov.uk](mailto:Jenny.williams@Chesterfield.gov.uk))

### **BACKGROUND PAPERS**

None.

### **ATTACHMENTS**

Appendix A - Internal Audit Plan – Background Note  
Appendix B – Draft Internal Audit Plan 2016/17  
Appendix C – Three Year Plan

# **BACK TO AGENDA**

**INTERNAL AUDIT PLAN**

**BACKGROUND NOTE**

1. **Definition of Internal Audit**

Internal Audit is defined in the Public Sector Internal Audit Standards as:

'... 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'.

2. **The Purpose of Internal Audit**

Internal audit is not a substitute for management. It is the purpose of internal audit to assist and support management by appraising the arrangements and procedures established.

There is also a statutory requirement for internal audit in local government contained in the Accounts and Audit Regulations 2015. These regulations require the authority to 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 and guidance.

3. **The Difference Between Internal Audit and External Audit**

External audit is completely independent of the authority. The Council's external Auditors are KPMG. Much of the external auditors' work is determined by statutory responsibilities. Internal audit's terms of reference are determined and approved by management.

However, there is nevertheless considerable scope for co-operation to avoid duplication of work and to make maximum use of audit resources. By reviewing the work of internal audit, external audit will be in a position to determine whether reliance can be placed on the work concerned.

4. **The Scope of Internal Audit Work**

One of the essential elements for effective internal auditing is that the internal auditor should adequately plan, control and record their work.

To determine priorities and to assist in the direction and control of audit work the internal auditor will prepare a plan based on a risk assessment.

The audit plan includes the following sections: -

- **Main Financial Systems**  
This covers the fundamental accounting and income collection systems of the authority such as payroll, creditor payments, Council Tax etc. Most of these systems are reviewed on an annual basis due to their importance. External audit examines and places reliance on the work carried out.
- **Other Operational Audits**  
Audits to be undertaken in Services include procedures such as Leisure Centres and Car Parks Income.
- **IT Related**  
Topics in this area of the plan include a review of disaster recovery plans and procedures.
- **Fraud and Corruption**  
Audits specifically related to the prevention of fraud and corruption are covered in this area of the plan. An example includes the review of money laundering. It should be noted that a significant number of other audits include an anti-fraud element e.g. income audits.
- **Cross Cutting Issues**  
This area of the plan includes audit subjects that cover all Services or are corporate issues examples include, Procurement and data protection.
- **Special Investigations**  
A contingency provision is included in the plan to cover the investigation of irregularities or cases of suspected fraud and other problems.

## 5. Delivering the Internal Audit Service

A three year strategic audit plan is compiled based on an internal audit risk assessment of auditable areas. This risk assessment takes into account the following factors:

- Materiality – the amount of funds passing through the system
- Control Environment / vulnerability – assessed level of control based on previous audit findings
- Sensitivity – profile of the system in relation to customer service
- Management concerns – any specific issues relating to the operation of the system e.g. the Council's Risk Register

Using a scoring system, audits are then categorised as High, Medium or Low risk. This ranking is then used to compile the annual audit plan.

The areas of audit work set out in the agreed plan are split into individual audit assignments.

An audit assignment can involve:

- preparation of system notes and a review/analysis of system controls;
- extraction of background information;
- extraction and testing of sample transactions and controls;
- notes of interviews and meetings.

All work undertaken is recorded on detailed working papers. To ensure that all areas have been covered and appropriate conclusions reached, all working papers are independently reviewed.

A report on the findings and recommendations arising from the audit is sent to the appropriate Head of Service and to the Head of Resources (as Client Officer) at the conclusion of the audit. A response to the recommendations is requested within a set time.

A summary of internal audit reports issued is reported periodically to the Governance and Resources Committee and an Annual Report is submitted after the end of the year detailing the outcome of the audits completed.

**BACK TO REPORT**

<b>DERBYSHIRE DALES DISTRICT COUNCIL</b>			
<b>DRAFT INTERNAL AUDIT PLAN 2016/17</b>			
<b>Main Financial Systems</b>	<b>Risk Ranking</b>	<b>Audit Days</b>	
Main Accounting	H	8	
Budgetary Control	H	6	
Payroll	H	20	
Creditor Payments	H	15	
Debtors	H	10	
Treasury Management	H	10	
Cash and Banking/petty cash/post opening/bank rec	H	8	
Council Tax	H	10	
Non Domestic Rates	H	10	
Housing / Council Tax Benefits	H	15	
<b>Total Main Financial Systems</b>		<b>112</b>	
<b>Other Operational Audits</b>			
Arc Leisure Centre	M	8	
Asset Management	M	8	
Car Park Income	H	4	
Credit Card Usage	L	3	
Illuminations	M	2	
Land Charges	L	8	
Recycling income/Credits	L	5	
Refuse Collection Contract	M	4	
Section 106	M	8	
Transport/plant/vehicles/fuel	M	10	
VAT	M	5	
<b>Total Other Operational Audits</b>		<b>65</b>	
<b>Corporate/Cross Cutting Issues</b>			
Corporate Targets	M	4	
Data Protection	H	8	
Emergency Planning/Business Continuity	L	8	
Follow up previous recommendations	H	5	
Partnerships	M	8	
Procurement	M	10	
Safeguarding	L	10	
<b>Total</b>		<b>53</b>	
<b>Fraud and Corruption</b>			
Anti- Fraud and Corruption Strategy	M	5	
Money Laundering	L	4	
National Fraud Initiative	M	4	
<b>Total</b>		<b>13</b>	
<b>Non Audit Duties</b>			

Elections – Postal Votes		15	
<b>Total</b>		<b>15</b>	
<b>Other</b>			
Contingency – Special investigations/training Apprentice		57	
Final Accounts		5	
Financial Advice		10	
IT		10	
Management Time		30	
<b>Total</b>		<b>112</b>	
<b>Planned Total Days 2016/17</b>		<b>370</b>	

Note: Ranking – H=High Risk, M=Medium and L= Low Risk (see appendix A paragraph 5).

**BACK TO REPORT**

<b>DERBYSHIRE DALES DISTRICT COUNCIL</b>			
	<b>Audit Days</b>		
	<b>2016/17</b>	<b>2017/18</b>	<b>2018/19</b>
<b>Main Financial Systems</b>			
Main Accounting System	8	8	8
Budgetary Control	6	6	6
Payroll	20	15	15
Creditor Payments	15	10	10
Debtors	10	15	10
Treasury Management	10	8	10
Cash and Banking/petty cash/post opening/bank rec	8	8	8
Council Tax	10	15	10
Non Domestic Rates	10	10	15
Housing / Council Tax Benefit	15	15	15
<b>Total Main Financial Systems</b>	<b>112</b>	<b>110</b>	<b>107</b>
<b>Other Operational Audits</b>			
ARC Leisure Matlock	8		8
Ashbourne Leisure Centre		8	
Asset Management	8		5
Bakewell Agricultural Centre		8	
Bakewell Leisure Centre		8	
Car Parks Income	4	4	4
Cemeteries		5	
Choice Based Lettings			8
Commercial Waste		10	
Credit card usage	3		
E.Health Misc Income		8	
Economic Development		8	
Election Expenses			8
Expenses and Allowances			6
Homelessness/Housing Strategy		8	
Illuminations	2	2	2
Improvement Grants		4	
Insurance		8	
Land Charges	8		
Markets			8
Members Expenses/civic account		5	
Parks			2

Planning Fees/Building Control		10	
Public Conveniences/Street Cleaning		5	
Recycling Income/Credits	5		
Refuse Collection Contract	4		4
Section 106	8		8
Taxi Licences/Other Licences		8	
Transparency Agenda			5
Transport/Plant/Vehicles/Fuel/Depot	10		10
Wirksworth Leisure Centre			8
VAT	5		5
<b>Total Other Operational Audits</b>	<b>65</b>	<b>101</b>	<b>91</b>
<b>Corporate/Cross Cutting</b>			
Corporate Targets	4	4	4
Data Protection	8		8
Emergency Planning/ Business Continuity	8		
Follow up Previous Recommendations	5	5	5
Freedom of Information			5
Health and Safety		8	
Partnership Working	8		
Procurement	10		10
RIPA			
Risk Management		8	
Safeguarding	10		
<b>Total Corporate/Cross Cutting</b>	<b>53</b>	<b>33</b>	<b>32</b>
<b>Fraud and Corruption</b>			
Anti Fraud and Corruption Strategy	5		5
Gifts and Hospitality/Declaration of Interests		2	
Money Laundering	4	4	
National Fraud Initiative	4		4
Recruitment and Selection			8
<b>Total Fraud and Corruption</b>	<b>13</b>	<b>6</b>	<b>17</b>
<b>Non Audit Duties</b>			
Elections – Postal Votes	15	7	7
<b>Total Non-Audit Duties</b>	<b>15</b>	<b>7</b>	<b>7</b>



<b>Other</b>			
Contingency and Training Apprentice	57	58	61
Final Accounts	5	5	5
Financial Advice/Working Groups	10	10	10
IT	10	10	10
Management Time	30	30	30
<b>Total Other</b>	<b>112</b>	<b>113</b>	<b>116</b>
<b>Grand Total</b>	<b>370</b>	<b>370</b>	<b>370</b>

**BACK TO REPORT**

**BACK TO AGENDA**

GOVERNANCE AND RESOURCES COMMITTEE  
24 March 2016

Report of the Chief Executive

---

## EXTERNAL REVIEW OF INTERNAL AUDIT

### SUMMARY

The purpose of this report is to consult members in respect of the external review of internal audit that is required by the Public Sector Internal Audit Standards.

### RECOMMENDATIONS

To authorise proceeding with the procurement of an external provider to undertake an “independent validation” of the self-assessment of internal audit that has been undertaken by the Internal Audit Consortium Manager.

To agree that the procurement exercise is to be undertaken on behalf of Derbyshire Dales District Council and the Internal Audit Consortium partner members by utilising the NHS procurement service and advertising on Source Derbyshire.

To delegate authority to the Internal Audit Consortium Manager and the Head of Resources to agree the specification and to assess the external provider quotations based on cost and quality and to appoint an external provider to undertake the assessment.

That the budget for the assessment be financed from the general reserve.

### WARDS AFFECTED

All

### STRATEGIC LINK

The external review of internal audit fits in with the Council’s aim to provide an excellent service.

### BACKGROUND

#### 1.0 BACKGROUND

- 1.1 The Public Sector Internal Audit Standards (PSIAS) were introduced from the 1<sup>st</sup> April 2013 and the Internal Audit section has been working to those standards since that date. The PSIAS require that internal and external assessments of internal audit must take place.
- 1.2 An internal self- assessment against the PSIAS utilising the recommended CIPFA checklist has been undertaken on an annual basis by the Internal Audit Consortium Manager and the resultant improvement plans have been reported to and monitored by the Corporate Committee and then this Committee.

- 1.3 The PSIAS require that an external assessment should be carried out at least once every 5 years by a qualified, independent assessor or team. The first external assessment needs to be completed by April 2018. The Head of Audit is required to discuss the following in advance of the assessment with the Audit Committee:-
- The form of external assessments
  - The qualifications and independence of the external assessor or assessment team, including any potential conflict of interest
- 1.4 The external assessment can either be a “full” external assessment or a self-assessment with “independent validation”.
- 1.5 In order to gain economies of scale and because the working practices of the Councils involved are the same it would make sense for the assessment to be undertaken for all of the partner consortium members and Derbyshire Dales District Council at the same time.

## **2.0 EXTERNAL ASSESSMENT OF INTERNAL AUDIT**

### **ASSESSMENT OPTIONS**

- 2.1 Members firstly need to decide if a full assessment or a validation of a self-assessment is more appropriate.
- 2.2 A full assessment would provide Members with a greater level of assurance of the quality of internal audit however the cost of this would be greater than a validation of self-assessment.
- 2.3 A validation of the self- assessment would involve the external provider reviewing the evidence against the recommended PSIAS checklist that the Internal Audit Consortium Manager will provide and assessing its adequacy. In support of the validation of self-assessment option the following can be stated:-
- The effectiveness of internal audit is assessed by the Council’s section 151 Officer on an annual basis and the results of this assessment have always been positive.
  - The annual audit plans have always been substantially completed
  - Regular reports are submitted to the Governance and Resources Committee
  - External audit have placed reliance on internal audits work
  - The Senior Auditor is very experienced and well qualified.
  - Customer satisfaction surveys score very highly

### **QUALIFICATION OF ASSESSORS**

- 2.4 Whichever assessment option is selected, the assessors would need to be appropriately qualified. Competence can be demonstrated through a mixture of experience and theoretical learning. The standards state that experience gained in organisations of similar size, complexity, sector or industry and technical issues is more valuable than less relevant experience.

The Head of Audit should use their professional judgement when assessing if the assessor is appropriately qualified but the following guidelines could be used:-  
Does the reviewer possess a recognised professional qualification?

Does the reviewer have appropriate experience of internal audit e.g. 5 years at manager level within the public sector?

Does the reviewer have detailed knowledge of leading practices in internal audit and current, in-depth knowledge of the PSIAS.

## **ASSESSMENT PROCESS**

- 2.5 If Members elect for the validated self- assessment option then CIPFA recommend that the PSIAS checklist included in their Application Note be used.
- 2.6 The review would likely be carried out through a process of review of documentation e.g. the Internal Audit Charter, internal audit working papers and interviews/questionnaires. The external assessor may wish to speak to the section 151 Officers, the Chairs of the Audit Committees, audit staff and a sample of clients.

## **PROCUREMENT OF ASSESSOR/POTENTIAL COST**

- 2.7 Under Chesterfield Borough Council's procurement rules for goods and services between £10,001 and £50,000 three written competitive quotations must first be obtained. As there are 4 Council's involved it is very likely that the cost will exceed £10,000 with each Authority paying their share.
- 2.8 It is difficult to predict the cost of the assessment with accuracy. The Midlands Audit Group were surveyed however a number of the Council's that participate in this are themselves only just looking at undertaking their first external assessment. From the few responses received costs/quotes seem to range from £2,500 per Council up to £10,000. As all 4 Council's utilise the same working practices and documentation this should result in some economies of scale.
- 2.9 All of the Councils involved now use the Royal Hospital NHS procurement service. The NHS procurement team have been consulted and advise that the best way forward would be to advertise the contract on Source Derbyshire. The NHS procurement service can assist in putting the documentation together and could receive the quotations through their electronic system.

## **POTENTIAL ASSESSORS**

- 2.10 The parties that may be interested in undertaking the assessment of internal audit include:-
- External Audit firms
  - The Chartered Institute of Public Finance and Accountancy
  - The Institute of Internal Auditors
  - Firms providing assurance services/individuals
- 2.11 Consideration has been given to a peer review e.g. Derbyshire County Council's Internal Audit Section, however, on balance it is felt that a peer review could lead to a potential conflict of interest or sour relations for future working together.

### **3 RISK ASSESSMENTS**

#### **3.1 Legal**

There are no legal considerations arising from this report

#### **3.1.1 Financial**

Each Council will need to budget for the external review in 2016/17. The cost of the review is not yet known but it is anticipated that a budget of £5,000 per Council will be required. A budget has not currently been set therefore the expenditure will need to be financed from the general reserve. The financial risk is assessed as low.

#### **3.3 Corporate Risk**

The procurement of an assessor to undertake an independent review of the internal audit service will ensure that PSIAS requirements are met. The review will identify the strengths and weaknesses of the internal audit service and make recommendations for improvement thereby strengthening governance arrangements. If an external review is not undertaken then there is a risk that any failings within the internal audit service will not be detected.

### **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, Internal Audit Consortium Manager  
([Jenny.williams@Chesterfield.gov.uk](mailto:Jenny.williams@Chesterfield.gov.uk))

### **BACKGROUND PAPERS**

None.

### **ATTACHMENTS**

None

# **BACK TO AGENDA**

GOVERNANCE AND RESOURCES COMMITTEE  
24 MARCH 2016

Report of the Head of Resources

---

## **LAND HOLDINGS REVIEW – PHASE 3**

### **SUMMARY**

Phase 3 of the Land Holdings Review covers 2 sites across the District in which queries or expressions of interest have been received. Following detailed consideration of planning, legal and estate management factors, recommendations are made regarding whether the sites should be retained or sold and the terms which would apply.

### **RECOMMENDATION**

That the sites numbered 1 and 2 be retained as indicated in Appendix 1.

### **WARDS AFFECTED**

Darley Dale; Stanton

### **STRATEGIC LINK**

The Land Holdings Review Process accords with the District Council's values and aims of obtaining "value for money" and to "protect and enhance the environment" as expressed in the Corporate Plan 2015/16.

---

## **1 REPORT**

### **1.1 Background**

Phase 3 of the Land Holdings Review covers 2 sites in which queries or expressions of interest have been received. Following detailed consideration of planning, legal and estate management factors, recommendations are made regarding whether the sites should be retained or sold and the terms which would apply.

An appraisal of each site has taken place comprising advice on any planning constraints, legal restrictions and maintenance liabilities/costs.

The results and recommendations are summarised in Appendix 1 together with plans of each site.

### **1.2 Summary of Outcome**

2 no. sites are recommended for retention.

## **2 RISK ASSESSMENT**

### **2.1 Legal**

Under section 123 of the Local Government Act 1972 the Council has a duty to dispose land for the best price reasonably obtainable.

The duty to consult on the disposals accords with the Council's policy on the disposal of land and property. The legal risk in that respect is low.

The legal risk is therefore low.

### **2.2 Financial**

The costs of maintaining the two sites can be contained within existing budgets. The financial risk is therefore assessed as low.

## **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**

Mike Galsworthy, Estates and Facilities Manager

Tel: 01629 761207 E-mail: [mike.galsworthy@derbyshiredales.gov.uk](mailto:mike.galsworthy@derbyshiredales.gov.uk)

## **BACKGROUND PAPERS**

Property Services File – Land Holdings Review

OPG41

# **BACK TO AGENDA**

**LAND HOLDINGS REVIEW**

**SITE INDEX**

**SITES IN WHICH INTEREST HAS BEEN EXPRESSED**

- 1 Land at Thorncliffe Recreation Ground, Northwood.
- 2 Land off Painters Way, Darley Dale.



## LAND HOLDINGS REVIEW

### SITE NO. 1

ADDRESS	Land at Thorncliffe Avenue Recreation Ground, Northwood.
REQUEST RECEIVED	A request has been received from Northwood and Tinkersley Parish Council to undertake a community tree planting scheme on the site.
DESCRIPTION/LOCATION	The site comprises the eastern section of Thorncliffe Avenue Recreation Ground accessed via The Avenue, Northwood. Whilst the remainder of the Recreation Ground is maintained and contains play equipment and open grassed areas, this section of the site of approximately 0.75 which slopes gently upwards towards the eastern boundary has been left un mown and is becoming overgrown and untidy.
OWNERSHIP	The larger area, of which this site forms part is in the ownership of the District Council .
LEGAL COVENANTS RESTRICTIONS	None affecting the proposed use.
PLANNING	The subject site was included in the sites assessed for potential residential land allocations for the Local Plan. Following consideration, the site was classed as being undevelopable, mainly due to highway constraints as it is accessed by a private road.
MAINTENANCE	The site is currently unmaintained but ,future mowing /clearance would be necessary from time to time should the tree planting proposal not go ahead.
OTHER EXPRESSIONS OF INTEREST	Other than various general expressions of interest in development sites/opportunities across the District, no other specific expressions of interest has been received in relation the subject site.
OFFICER COMMENT	Given the lack of development potential of the site and its' untidy appearance, it is recommended that agreement is given to the Parish Council's tree planting proposal to improve the site's appearance and amenity value. It is proposed that the agreement should comprise a stewardship agreement to safeguard the future management of the site.
RECOMMENDATION	To retain ownership of the land subject to a Stewardship agreement with Northwood and Tinkersley Parish Council which would allow the tree planting scheme to take place.

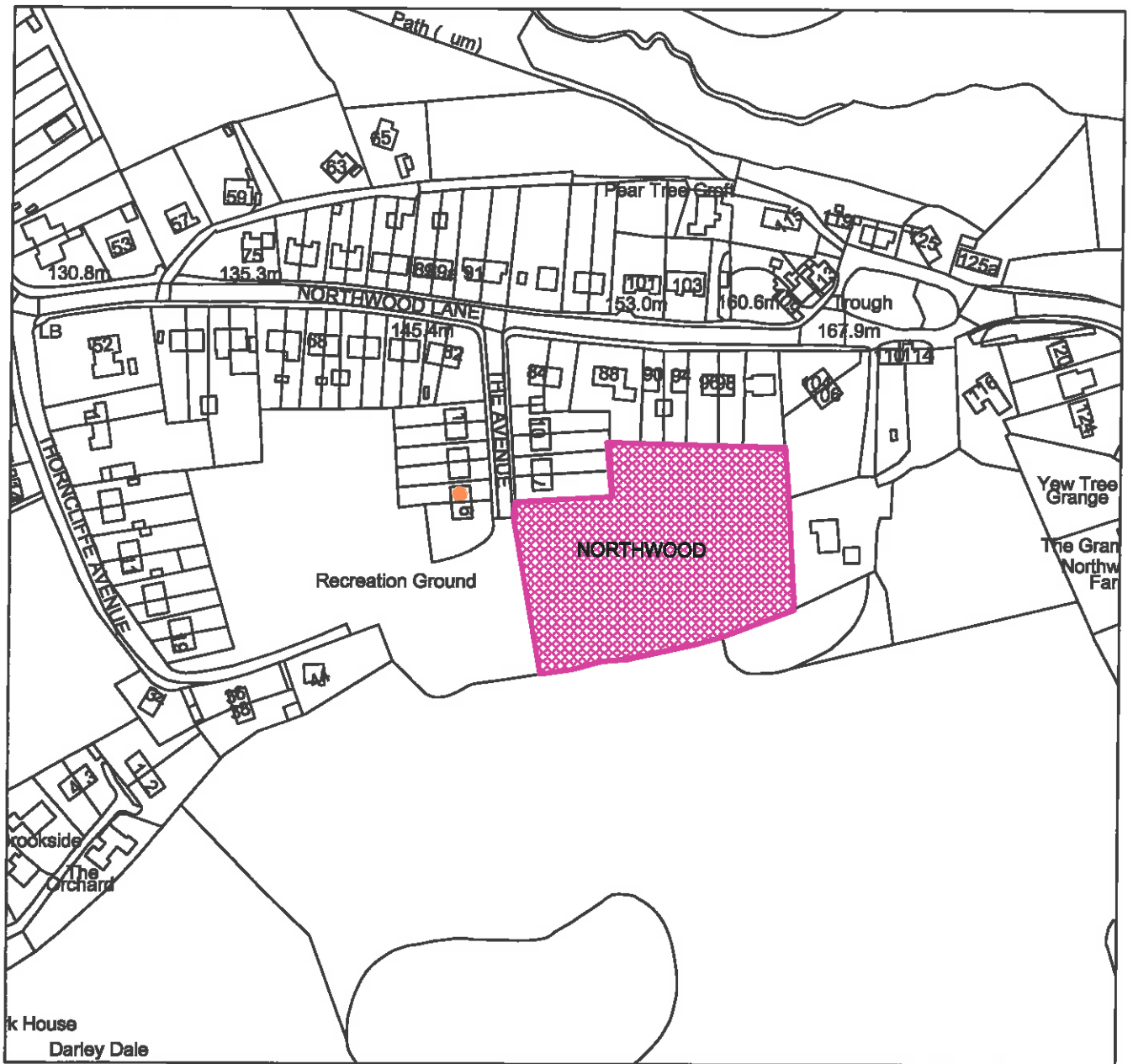
## LAND HOLDINGS REVIEW

### SITE NO. 2

ADDRESS	Land off Painters Way, Darley Dale.
REQUEST RECEIVED	Following consideration of a request from one of the neighbouring house owners to purchase the whole of this site for garden extension purposes, it was agreed at the 5 <sup>th</sup> November 2015 meeting of this committee to consult with the other neighbouring house owners prior to a decision being made, hence this report.
DESCRIPTION/LOCATION	The site comprises an area of open space forming part of a larger play area/open space. The subject section of land is surrounded on 3 sides by the gardens of residential properties.
OWNERSHIP	Derbyshire Dales District
LEGAL COVENANTS RESTRICTIONS	No legal restrictions.
PLANNING	Informal planning advice suggests that incorporation of this area of land into residential gardens may be acceptable.
MAINTENANCE	The site is maintained as part of the larger play area so there will be no significant savings if it were to be sold.
CONSULTATION	<p>Letters were sent to the 7 surrounding residential properties asking whether they would be interested in acquiring a section of this site.</p> <p>Of these, 4 responded, 3 of which registered an interest in a section of the land but would prefer it not to be sold and 1 objected. In addition a letter was received from another resident with a petition signed by 39 local people objecting to the sale. The Town Council also strongly objects to any sale of the land.</p>
OTHER EXPRESSIONS OF INTEREST	Other than various general expressions of interest in development sites/opportunities across the District, no other specific expressions of interest have been received in relation the subject site.
OFFICER COMMENT	There is a strong view expressed by local residents and the Town Council that the land

	<p>should be retained by the District Council for its current use.</p> <p>The prospective purchaser is aware of this opposition and has asked whether consideration could be given to the sale of a smaller part of the site.</p> <p>Given the limited width of the site it is considered that sale of any part would make the remainder of the site difficult to maintain.</p> <p>Accordingly, it is recommended that the site is retained by the District Council for its current use..</p>
RECOMMENDATION	To inform the applicant that we would not recommend the sale of this section of land for the purpose requested at this time.

# Site 1



Derbyshire Dales DC

1:2,500

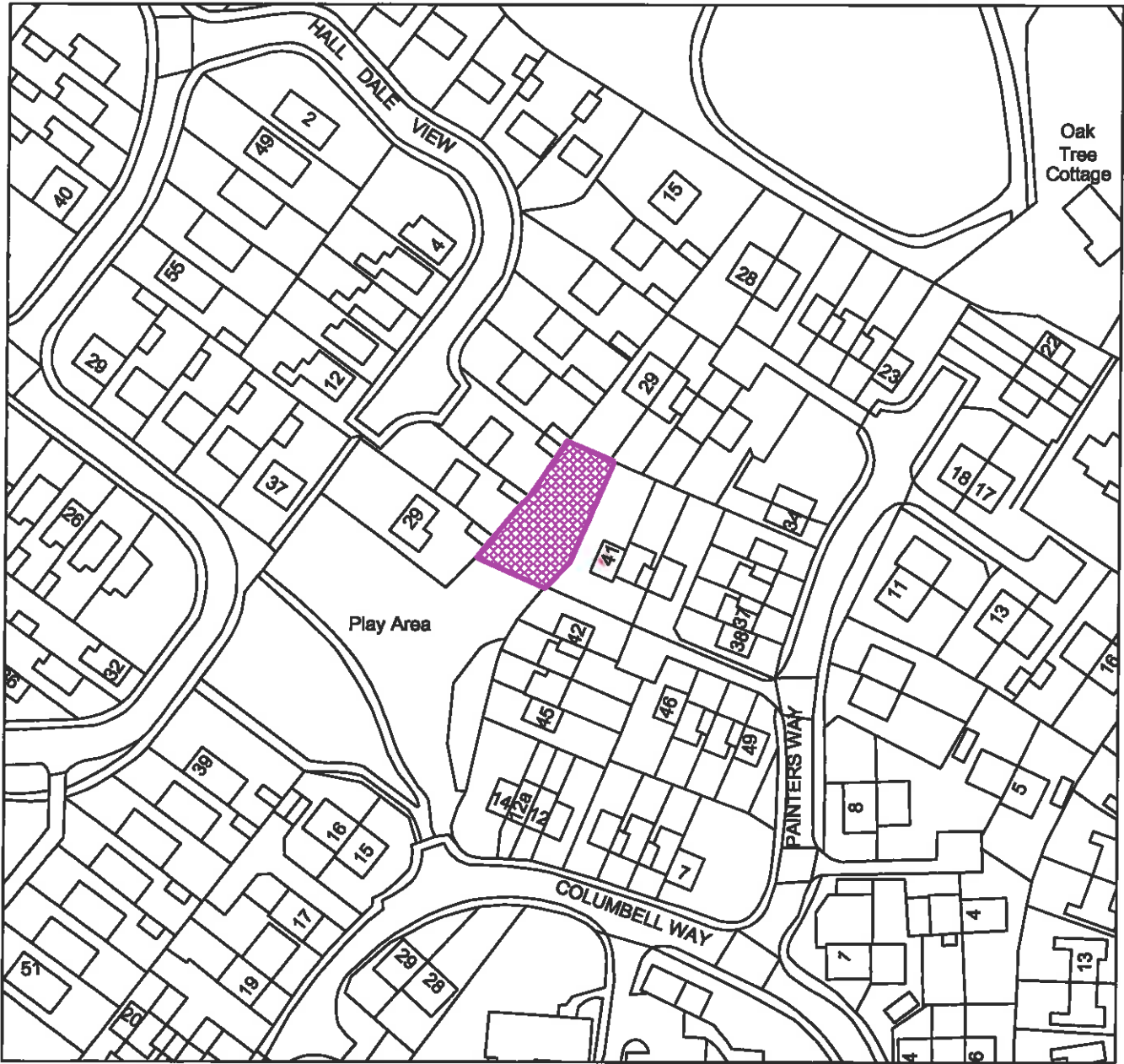
Date: 07/03/2016

100019785

*Crown Copyright and database rights (2016) Ordnance Survey (100019785)*

*Derbyshire Dales District Council,  
Town Hall, Bank Road, Matlock, Derbyshire DE4 3NN.  
Telephone: (01629) 761100.  
website :www.derbyshiredales.gov.uk*

Site 2



Derbyshire Dales DC

1:1,250

Date: 07/03/2016

100019785

Crown Copyright and database rights (2016) Ordnance Survey (100019785)  
Derbyshire Dales District Council,  
Town Hall, Bank Road, Matlock, Derbyshire DE4 3NN.  
Telephone; (01629) 761100.  
website :www.derbyshiredales.gov.uk

GOVERNANCE AND RESOURCES COMMITTEE  
24 MARCH 2016

Report of the Head of Resources

---

## **PROPERTY AND LAND DISPOSALS - CLOSED PUBLIC CONVENIENCES, FANNY SHAW, WIRKSWORTH**

### **SUMMARY**

The report considers a request from Wirksworth Town Council for the closed former public conveniences at Fanny Shaw Recreation Ground, Wirksworth to be transferred freehold to Wirksworth Town Council for future use as a community facility.

### **RECOMMENDATION**

1. That the terms outlined in paragraph 3 of this report for transferring the freehold of the Fanny Shaw public conveniences as shown on the plan at Appendix 1 to Wirksworth Town Council are agreed.
2. That it is noted that the disposal in 1 above constitutes an undervalue transaction permitted under the General Disposal Consent 2003.

### **WARDS AFFECTED**

Wirksworth

### **STRATEGIC LINK**

The use of Council property for the benefit of the Communities that we serve assists in ensuring that the Council Leads the Communities of the Dales, improves quality of life for residents and, with partners ensures the continued provision of excellent services as expressed in the Corporate Plan 2015/16.

---

## **1 REPORT**

### **1.1 Background**

The District Council owns the former public conveniences in Fanny Shaw Recreation Ground, Wirksworth. The facility was closed over 10 years ago and approval was given to its' demolition and site clearance as part of the 2011 Review of Public Conveniences.

Following requests from the Local Ward Members, the demolition of the facility was deferred whilst the possibility of the future use of the building for a community facility was investigated.

The facility remains closed and boarded up and has suffered from frequent vandalism.

## **1.2 Current Situation**

A request has been received from Wirksworth Town Council for the former public conveniences to be transferred freehold to the Town Council for refurbishment as a secured community building with toilet facilities.

## **1.3 Agreed Heads of Terms**

It is proposed that the closed Fanny Shaw public conveniences as shown on the plan at Appendix 1 be transferred freehold to Wirksworth Town Council on the terms below subject to contract:-

1. Derbyshire Dales District Council to transfer the freehold of the former public conveniences at Fanny Shaw, Wirksworth as shown edged in black on the plan at Appendix.1 to Wirksworth Town Council.
2. Wirksworth Town Council to pay a consideration to the District Council of £1 if demanded for the transfer of such freehold interest.
3. Wirksworth Town Council to indemnify the District Council for legal costs incurred in documenting the transaction .
4. A restrictive covenant will apply to the sale limiting the future use of the building to community use only.
5. The building will be transferred in its existing condition.

## **1.4 Valuation**

It is considered by the Council's Valuer that the value of the transfer equates to £5000.

Under the General Disposal Consent 2003, Local Authorities are permitted to dispose of any interest in land held under the Local Government Act 1972 which they consider to contribute to the promotion or improvement of the economic, social or environmental wellbeing of the area at less than best consideration subject to various conditions.

It is considered that the proposed terms for the transfer of the closed Fanny Shaw public conveniences to Wirksworth Town Council would comply with this legislation.

## **1.5 Consultation**

The relevant Ward Members have been consulted on the proposed transfer and any comments received will be reported verbally at the meeting.

## **1.6 Other expressions of interest**

Other than various general expressions of interest in development sites/opportunities across the District and the expression of interest forming part of this report, no other specific expressions of interest have been received in relation to this property.

## **1.7 Planning Situation**

The proposed future use of the building has yet to obtain Planning Consent so the consideration of the Heads of Terms and disposal of the District Council's land by this Committee would be entirely without prejudice to any future decisions by the District Council as Planning Authority.

## **2 RISK ASSESSMENT**

### **2.1 Legal**

Under section 123 of the Local Government Act 1972 the Council has a duty to dispose land for the best price reasonably obtainable.

The purchaser shall be responsible for the District Council's reasonable legal costs.

The duty to consult on the disposals accords with the Council's policy on the disposal of land and property. The legal risk in that respect is low.

The legal risk will be included in the updating report once final terms are known.

### **2.2 Financial**

Whilst this disposal is classed as an undervalue transaction, the transfer of the property on the terms proposed will remove a future maintenance liability for the Council. Therefore the financial risk is low.

## **3 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.

## **4 CONTACT INFORMATION**

Mike Galsworthy, Estates and Facilities Manager, Tel. 01629 761307 or email [mike.galsworthy@derbyshiredales.gov.uk](mailto:mike.galsworthy@derbyshiredales.gov.uk)

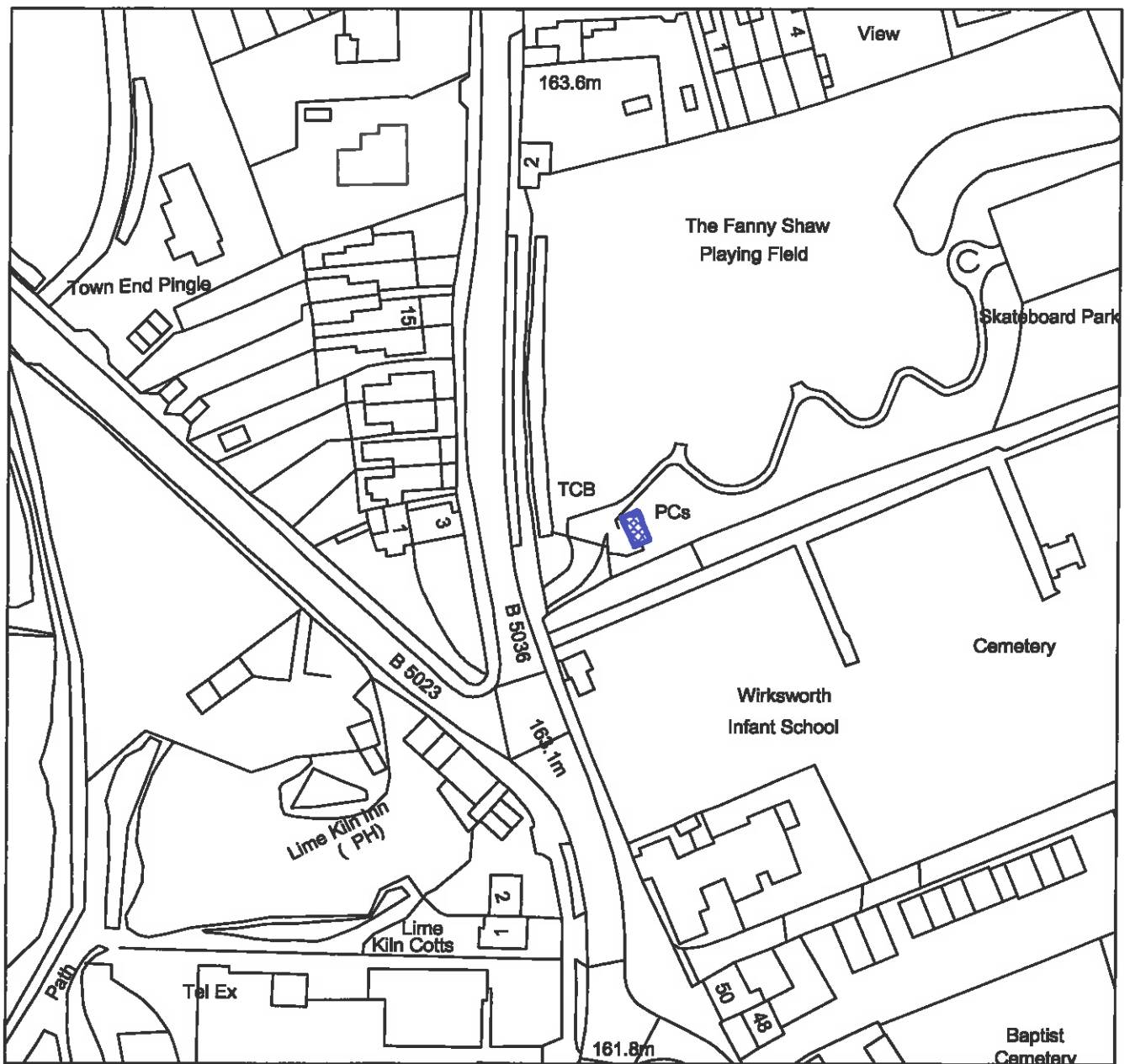
## **BACKGROUND PAPERS**

None

# **BACK TO AGENDA**



# Appendix 1



Derbyshire Dales DC

1:1,250

Date: 07/03/2016

100019785

*Crown Copyright and database rights (2016) Ordnance Survey (100019785)*

*Derbyshire Dales District Council,  
Town Hall, Bank Road, Matlock, Derbyshire DE4 3NN.  
Telephone: (01629) 761100.  
website :www.derbyshiredales.gov.uk*

GOVERNANCE AND RESOURCES COMMITTEE  
24 MARCH 2016

Joint Report of the Head of Resources and Head of Housing

---

## **LAND AND PROPERTY DISPOSALS – NURSERY SITE, HURDS HOLLOW, MATLOCK**

### **SUMMARY**

The report informs the Committee of the outcome of negotiations with Westleigh Homes to agree terms for a freehold disposal of the nursery site for the development of 14 affordable homes.

### **RECOMMENDATION**

1. That the terms outlined in paragraph 1.4 of this report for transferring the freehold of the Hurds Hollow Nursery Site as shown on the plan at Appendix 1 to Westleigh Homes are agreed subject to the necessary planning consents being obtained by Westleigh Homes.
2. That Members note that the disposal in 1. above comprises an undervalue transaction permitted under the General Disposal Consent 2003

### **WARDS AFFECTED**

Matlock All Saints

### **STRATEGIC LINK**

The Disposal of the site for the use proposed accords with the District Council's priority to "increase affordable housing" and the values and aims of obtaining "value for money" and to "protect and enhance the environment" as expressed in the Corporate Plan 2015/16.

---

## **1 REPORT**

### **1.1 Background**

The site comprises a gently sloping site of area 0.34 Hectares between Dimple Road and the Dimple playing fields. It is accessed via an informal parking area. The site has been used for over 20 years as a Council Nursery although this function has reduced considerably over recent years. It now contains 2 poly tunnels and a small mess room. The site is shown edged in black on the plan at Appendix 1.

The Community Housing Team have been working in partnership with Westleigh Developments and Waterloo Housing Association to bring forward a scheme of affordable homes on the Dimple site. Waterloo HA have an allocation of funding from the Homes and Communities Agency which can be spent in the Midlands. The total scheme value is approx. £1.7m and represents a significant investment of national funding for the

Derbyshire Dales. The scheme will comprise 10 x two bed houses and 4 x 1 bed flats, all for rent. This is significant because no further allocations of funding for affordable rent will be made by the Homes and Communities Agency. A plan of the proposed scheme is included at Appendix 2.

The affordable housing stock of Matlock is dominated by 3 bedroom homes and so this scheme is designed to help redress that balance and also meet the needs of smaller households, which comprise 50% of the Housing Register.

In order to fit with the funding timetable, Westleigh Homes have indicated that the following programme will need to be followed:-

- Practical completion of 14 units build - December 2017.
- Start on site with building works - December 2016
- Land transfer and complete JCT - October 2016
- Planning permission - September 2016
- Planning application - May 2016 latest.

## **1.2 Current Situation**

Following consideration of this matter at the 21 January meeting of this Committee as part of Phase 2 of the Land Holdings Review, it was agreed that discussions take place between Westleigh Homes, the Council's Valuer and the Head of Housing to discuss the terms which might apply (which are likely to include a capital receipt and a contribution to the cost of relocating the nursery service to an alternative site in the District Council's ownership) with the terms agreed to be reported to a future meeting of this Committee.

## **1.3 Relocation of Nursery Operation**

Staff from Estates & Facilities have been working on a scheme to provide an alternative to the Nursery site on an area of District Council owned land in Ashbourne adjacent to our Southern area depot. This scheme also included making improvements to the depot by introducing a water supply and vehicle wash-down area and the conversion of the adjacent closed former public conveniences at Mayfield Road to provide a mess room facility for Southern Area based staff at an estimated cost of £35K

## **1.4 Agreed Heads of Terms**

Discussions have now taken place between the District Council's Valuer, The Head of Housing and Westleigh Homes in order to agree a capital receipt which does not affect the viability of the scheme but which at least covers the costs of relocating the Nursery operation. The following terms have now been agreed subject to planning consent and subject to contract:-

1. Derbyshire Dales District Council to sell the freehold of the former nursery site as shown edged in black on the plan at Appendix.1 to Westleigh Homes for affordable housing development subject to Planning Consent for the proposed affordable housing development being granted.
2. Westleigh Homes to pay a consideration to the District Council of £35,000 (thirty five thousand pounds) for the transfer of such freehold interest.
3. Westleigh Homes to indemnify the District Council for legal costs incurred in documenting the transaction.

4. All the above to the subject to Westleigh Homes obtaining all of the Planning Consents required to enable the scheme to take place.

The disposal of the site to a single party without advertising on the open market would constitute an undervalue transaction. If it is considered that the disposal contributes to the promotion or improvement of the economic, social or environmental well-being of the area, the District Council can dispose of the site at an undervalue under the terms of the General Disposal Consent 2003.

### **1.5 Valuation**

It is considered by the Council's Valuer that the value of the site should open market housing be possible would be in the region of £0.5 million.

Under the General Disposal Consent 2003, Local Authorities are permitted to dispose of any interest in land held under the Local Government Act 1972 which they consider to contribute to the promotion or improvement of the economic, social or environmental wellbeing of the area at less than best consideration subject to various conditions.

It is considered that the proposed terms for the transfer of the Hurds Hollow Nursery Site to Westleigh Homes would comply with this legislation.

### **1.6 Consultation**

The Ward Members and the Parish Council have been consulted on the disposal and their views will be made known verbally at the meeting.

### **1.7 Other expressions of interest**

Various general expressions of interest in development sites/opportunities across the District have been received, including specific interest in the subject site.

### **1.8 Planning Situation**

Informal advice suggests that in principle and subject to the design and layout of the scheme, use for affordable housing may be acceptable. Any such scheme would need to have reference to the listed buildings to the north of the subject site and access arrangements would need further consideration.

The proposed scheme has yet to obtain Planning Consent so the consideration of the Heads of Terms and disposal of the District Council's land by this Committee would be entirely without prejudice to any future decisions by the District Council as Planning Authority.

## **2 RISK ASSESSMENT**

### **2.1 Legal**

Under section 123 of the Local Government Act 1972 the Council has a duty to dispose land for the best price reasonably obtainable.

The purchaser shall be responsible for the District Council's reasonable legal costs.

The duty to consult on the disposals accords with the Council's policy on the disposal of land and property. The legal risk in that respect is low.

## **2.2 Financial**

The proposed terms indicate that Westleigh Homes will pay a consideration to the District Council of £35,000 for the transfer of the freehold interest in this site. In addition, Westleigh Homes will indemnify the District Council for legal costs incurred in documenting the transaction.

The capital receipt of £35,000 will be used to finance the relocation of the nursery operation.

The financial risk is, therefore, assessed as low.

## **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**

Mike Galsworthy, Estates and Facilities Manager  
Tel: 01629 761207 E-mail: [mike.galsworthy@derbyshiredales.gov.uk](mailto:mike.galsworthy@derbyshiredales.gov.uk)

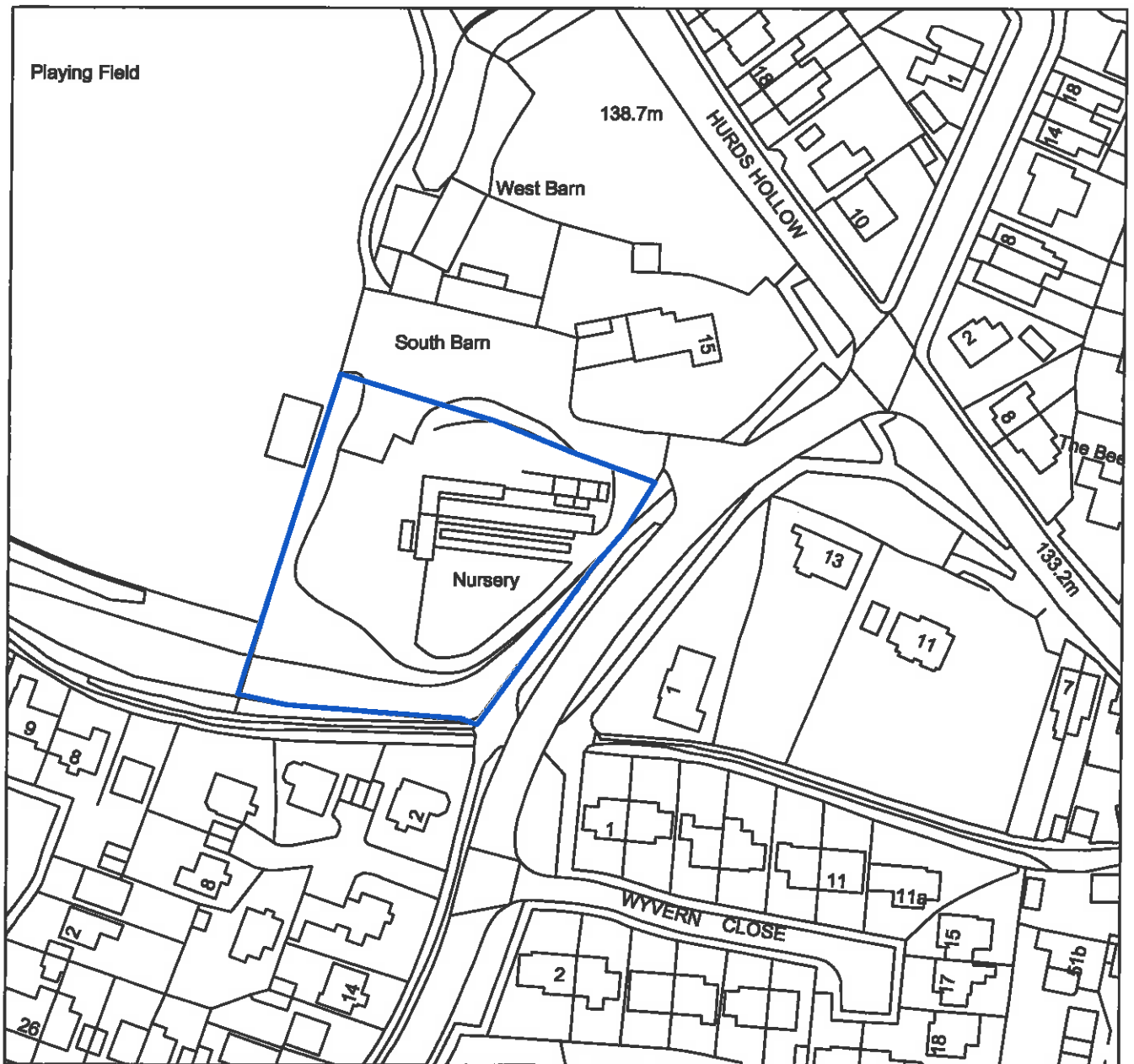
Rob Cogings, Head of Housing  
Tel: 01629 761207 E-mail: [robert.cogings@derbyshiredales.gov.uk](mailto:robert.cogings@derbyshiredales.gov.uk)

## **BACKGROUND PAPERS**

None

# **BACK TO AGENDA**

# Appendix 1



Derbyshire Dales DC

1:1,250

Date: 07/03/2016

100019785

*Crown Copyright and database rights (2016) Ordnance Survey (100019785)*

*Derbyshire Dales District Council,  
Town Hall, Bank Road, Matlock, Derbyshire DE4 3NN.  
Telephone: (01629) 761100.  
website :www.derbyshiredales.gov.uk*



Revision: \_\_\_\_\_ Date: \_\_\_\_\_

A	Mix updated, updated to topo survey	08-06-15
B	Section Lines Added	08-06-15
C	Additional parking added for plots 1, 2, 7, 8	13-11-15
D	Plots revised - terraces introduced	26-01-16
E	Plots and parking position amended	15-02-16

**Schedule of Accommodation**

Type	Stores	Size (m <sup>2</sup> )	No.
A 1B2P Flat (GF)	2	45	2
A1 1B2P Flat (FF)	2	49	2
B 2B4P Lifetime House	1	74	10
<b>Total</b>			<b>14</b>

Key

- Existing Access & parking to be retained
- Re-provide toilet block



Architects · Project Managers · Quantity Surveyors  
 130 New Walk  
 Leicester, LE1 7JA  
 Tel: 0116 204 5800, Fax: 0116 204 5801  
 email: design@rg-p.co.uk, www.rg-p.co.uk

Project: A development at Megdale, Matlock

Client: Westleigh Partnerships Ltd

Sheet title: Sketch Proposed Plan

Ref: 40470/ 002E

Scale: 1:500 @ A3

Date: April 2015

Drawn: SA Checked: RAW

All dimensions to be checked on site. This drawing is the copyright of the Architect, and not to be reproduced without their permission. Ordnance Survey map information reproduced with permission of HMSO Crown Copyright reserved. rg+p Ltd. Trading as rg+p

Ordnance Survey (c) Crown Copyright 2015. All rights reserved. Number 100022432



GOVERNANCE AND RESOURCES COMMITTEE  
24 MARCH 2016

Report of the Head of Resources

---

## **PROPERTY CONDITION SURVEYS 2015 – TOWN HALL WORKS**

### **SUMMARY**

This report:

- Provides further detail on works identified by Condition Surveys at Matlock Town Hall during financial year 2016/2017;
- Outlines the options and payback times for the installation of Solar PV panels as part of the re-roofing contract.

### **RECOMMENDATIONS**

- That the works identified in paragraphs 1.2.1 and 1.2.2 are noted.
- That the solar PV recommendations included in the updating report are approved.

### **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 2015/16.

## **1 REPORT**

### **BACKGROUND AND INTRODUCTION**

A report was presented to the 17 September 2015 meeting of this Committee outlining works identified by Condition Surveys at the District Council's main properties covering the period 2015 to 2020 and recommending a programme for undertaking the works over the next 4 financial years.

This programme included a number of works at Matlock Town Hall comprising damp proofing works to the basement offices, replacement of the flat roof covering and the possible installation of Solar PV panels.

At the time of the last report the Government had just announced changes to the Feed in Tariff payments applicable to Solar installations so it was agreed that a further report would be presented with more details of costs and payback periods to enable an informed decision to be made as to whether to install PV panels as part of the re-roofing contract and, if so, which units to specify, hence this report.



Although approval has already been given to the other works, tenders have now been received and start days agreed; an update is also included for these items

## **CURRENT POSITION**

### **1.2.1 Damp Remediation Works**

These were identified by the condition survey as Priority 2 works - Essential work required within 2 years at a budget cost of £49,500.

This work has now been tendered by DCC and the contract has been awarded to ARG Mansfield Ltd for the sum of £66,795.45. Work is due to start in late April on an 11 week contract (weather permitting) and will consist of re-tanking of basement areas comprising the Level 2 staff room and associated kitchen and BBC Radio Derby Studio, replacement of internal fittings and finishes and the replacement of the combi boiler supplying heating to the Council Chamber and Committee Rooms which has now reached the end of its working life.

Given the nature of this project there will be some minor noise and disruption issues, particularly to the affected rooms which will be taken out of use during the contract term. Agreement has been reached with the BBC to vacate the Radio Derby Studio during the contract and an appropriate rent free period will be granted.

### **1.2.2 Re-roofing of Main Building**

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.

This work has now been tendered by DCC and the contract has been awarded to Brindley Asphalts for the sum of £217,026.86. Work is due to start in late April/early May on a 14 week contract (weather permitting) and will involve the complete removal of the existing roof covering and sub base and the installation of a new roofing system including significantly improved insulation and, subject to the outcome of this report, the installation of a solar PV system on the roof.

Given the size and nature of this project there will be some minor noise and disruption issues, particularly during the 1<sup>st</sup> month of the contract for staff working on Level 7 of the building.

In order to safely achieve site welfare, safety and delivery arrangements the lower Bank Road car park will need to be temporarily reconfigured for the period of the works meaning that there will be no staff parking in this area although parking for the building tenants will be maintained.

### **1.2.3 Proposed Solar Panels**

The potential installation of solar panels on this roof is not strictly a Condition Survey issue but, 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.

A provisional sum of £50,000 is already included in the tender figure of £217,026.86 above for the roofing works. Following significant changes to the Feed In Tariff last year, an analysis has been undertaken of the various PV panel options and associated pay back times and these are set out in the updating report.

## **2 RISK ASSESSMENT**

### **Legal**

There are no legal considerations arising from this report. The legal risk is therefore low.

### **Financial**

The total tendered cost for these schemes is lower than the amounts included in the current capital programme; the financial risk is therefore assessed as low.

The figures relating to expected savings on energy costs and payback terms will be included in the updating report.

## **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:

Mike Galsworthy 01629 761207 or

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

## **5 BACKGROUND PAPERS**

None

# **BACK TO AGENDA**

GOVERNANCE AND RESOURCES  
24 MARCH 2016

Report of the Head of Regeneration and Policy

---

## SERVICE REVIEWS 2016/17

### SUMMARY

The report sets out the outcomes of the 2015/16 Service Reviews and recommends a review programme for 2016/17.

### RECOMMENDATIONS

1. The 2016/17 Service Review programme is approved as set out in section 4 of the report
2. The outcomes of the 2015/16 Service Reviews are noted
3. Progress with ongoing reviews and joint projects is noted

### WARDS AFFECTED

All

### STRATEGIC LINK

Service Reviews to generate substantial savings, whilst driving improvement, support all the District Council's aims. In particular the reviews contribute to the priority of seeking efficiencies and innovative working practices.

---

## 1 SERVICE REVIEWS 2015/16

1.1 Council on 23 April 2015 approved the programme of Service Reviews for 2015/16. Service Reviews are carried out with the intention of achieving significant savings, to contribute towards the overall savings target identified in the Medium Term Financial Plan, and driving improvement. For each of the current service reviews, the update below indicates progress and any savings identified.

1.2 **Development Management** – Lead officer: *Jon Bradbury*  
An action plan resulting from the Development Management review was approved by Council on 25 June 2015. There are two key action areas remaining. The first is the introduction of fees for pre-application advice, expected to generate £20,000 income per annum. A mechanism for the handling of pre-application enquiries will be included early in the redesign of business processes outlined below. Members will be informed of the proposed target date when the project has been scoped.

The second key area is the redesign of business processes in development management (and, consequently, the redesign of the organisational structure) based on 'digital by default' and the introduction of electronic document management. A temporary project manager role to lead this transformation is currently being evaluated. It is expected that savings from transforming the planning service would start to be generated from 2018 onwards.

1.3 **Highways** (agency work) – Lead officer: *Heidi McDougall*

The scope of the Highways review was approved by the Environment Committee on 18 December 2014. A series of interim recommendations have been developed that are to be considered by CLT. A number of efficiencies have been highlighted (changing routes, frequencies), and fees and charges have been reviewed. Some savings are expected through negotiations and purchasing of vehicles.

Full consideration will need to be given to the service following the County Council's own highways agency review, which it is understood is scheduled to be completed this summer. Following receipt of the County Council report, officers will consider the findings with the aim of reporting back to Members later in 2016.

1.4 **Leisure** – Lead officer: *Ashley Watts*

Phase One of the review, which focused on service improvements and financial efficiencies was complete and introduced in April last year, offering a saving of £111,500 p.a. Phase Two of the review was to consider the future delivery of the service, and the significant savings that could result from alternative delivery models. Five possible delivery models have been identified as part of this process, which include retaining full in-house service provision, outsourcing some functions, outsource all service as a whole, creating/joining a Not for Profit Distributing Organisation or consider working with the community in the transfer of assets.

These options were initially presented to Members on 14 January 2016 and again, in greater detail on 24 February 2016. Detailed work is now underway on Members' preferred options.

1.5 **Licensing** – Lead officer: *Eileen Tierney*

The scope of the Licensing service review was approved by the Community and Environment Committee on 10 September 2015. This is a relatively small review, with initial improvements coming from a better online service. There is limited potential for savings, as the service employs only 3.8 FTE staff and is prohibited by the Licensing Act from generating a surplus. However, options for increased resilience from a shared service with other councils have been highlighted. Discussions with Derbyshire councils have revealed an appetite for exploring a shared licensing service, and these are now to be progressed.

1.6 **Environmental Health** – Lead officer: *Amanda Goodwill*

The scope of the Environmental Health review was also approved by the Community and Environment Committee on 10 September 2015. As with licensing, this is a regulatory function carried out by all district councils, and therefore the potential for a shared service is to be explored.

## 2 OTHER EFFICIENCY PROJECTS

2.1 In addition to Service Reviews, the District Council have taken part in a countywide initiative for a joint Building Control service (see report to Council, 28 January 2016). A single service, based on a public sector company model, is being progressed with a proposed implementation date of 2 April 2016.

## 3 SUMMARY OF SAVINGS TO DATE

3.1 Taking into account savings from Service Reviews and the APSE review of the Clean and Green Team, the following significant ongoing savings have been generated:

Review	Ongoing revenue savings built into base budget 2015/16 or future years
Administration	£210,481
Tourism	£23,000
Leisure (Phase 1)	£111,500
Discretionary Grants *	£14,117
APSE (Clean and Green)	£120,000
<b>TOTAL</b>	<b>£479,098</b>

\* This review also identified a further saving of £20,000 p.a. from the Capital Programme

## 4 SERVICE REVIEWS 2016/17

4.1 It is proposed to continue/complete the following major Service Reviews during 2016/17:

- **Development Management** – implementation of electronic processes, new ways of working and revised team structures to achieve planned savings
- **Highways (agency work)** – identify savings in preparation for a cut in payments from the County Council expected in 2017/18
- **Leisure** – evaluation and implementation of alternative service delivery options to achieve further savings

4.2 In addition, the following separate Service Reviews are proposed for 2016/17:

- **Finance and audit**
- **Corporate services**
- **Fees and charges**
- **Estates and facilities**

- **ICT**
- **Regeneration and policy**
- **Public conveniences**

Many of these are 'back office' services which have already been targeted for savings. The scope for direct savings in these areas is not significant as they all, in terms of numbers of staff, are now small services. This indicates that new ways of working should be considered in these areas, including shared services and joint working, where these can deliver benefits.

- 4.3 In order to carry out the 2016/17 review programme, the Invest to Save reserve of £150,000 (approved at Council on 3 March 2016) will be made available, subject to a suitable business case to the Corporate Leadership Team being approved by the Chief Executive and Head of Resources.

## **5 RISK ASSESSMENT**

### **5.1 Legal.**

There are no legal considerations with service reviews at this stage. The risk is therefore low.

### **5.2 Financial.**

As stated in the body of the report, Service Reviews aim to generate significant savings for the District Council, whilst recognising that there may be a need for short-term 'invest to save' funding where this is justified by a sound business case. Service reviews and other measures have so far identified £894,291 in savings of which £436,500 have been achieved to date. The Corporate Plan target is for service reviews and other efficiencies to have generated £1m in savings by March 2017. The financial risk is therefore considered to be Medium.

### **5.3 Corporate.**

As identified in the report, the key risks result from changing some current practices and procedures. These will be mitigated by project management, communication and training. If current practices and procedures do not change, there is a risk that the savings and efficiencies required could not be realised. This latter risk is considered to be Medium.

## **6 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.

**CONTACT INFORMATION**

Steve Capes, Head of Regeneration and Policy  
01629 761371, email [steve.capes@derbyshiredales.gov.uk](mailto:steve.capes@derbyshiredales.gov.uk)

**BACKGROUND PAPERS**

None

**ATTACHMENTS**

None

**BACK TO AGENDA**

GOVERNANCE AND RESOURCES COMMITTEE  
24<sup>TH</sup> MARCH 2016

Report of the Head of Regeneration and Policy

---

## **EQUALITY, CONSULTATION AND ENGAGEMENT PLAN 2016-17**

### **SUMMARY**

The District Council publishes an annual Equality Plan which sets out how the District Council meets its public sector equality duties. It also publishes an annual Consultation and Engagement Plan which sets out what consultation and engagement activities are proposed to be undertaken each year as a way of identifying the means by which it can fulfil its statutory duty to undertake consultation.

This report provides for Members' consideration an update on progress against the actions set out in the Equality Plan 2015-16 and the Consultation and Engagement Plan 2015-16. This report also seeks approval for a combined Equalities, Consultation and Engagement Plan for 2016-17.

### **RECOMMENDATION**

1. That progress against the actions in the Equality Plan 2015-16 and the Consultation and Engagement Plan 2015-16 be noted.
2. That the Equalities, Consultation and Engagement Plan 2016-17 as set out in Appendix 4 to this report be approved.

### **WARDS AFFECTED**

All Wards

### **STRATEGIC LINK**

The District Council has a statutory duty to pay due regard to the need to eliminate discrimination, harassment and victimisation; advance equality of opportunity; and encourage good relations between different groups of people. Furthermore the District Council has a duty to consult with the community in carrying out its functions and activities. Both the Equality Plan and the Consultation and Engagement Plan helps the District Council meet its statutory duties.

Meeting the statutory equality and consultation duties ensures that the District Council is able to act in accordance with our values of acknowledging the distinctiveness of our communities, business and residents, and that in carrying out our functions and activities we behave with integrity, courtesy and respect, listening and responding to the best of our abilities and treating everybody fairly.

---



## 1 BACKGROUND

- 1.1 The District Council has a comprehensive Equality and Diversity policy<sup>1</sup> which provides the context for the Equality Plan.
- 1.2 The equalities statutory duty comprises a [general equality duty](#) and a [specific duty](#). The District Council must comply with both. The general duty requires the District Council to have due regard in the exercise of all its functions to the need to:
- Eliminate discrimination, harassment and victimisation;
  - Advance equality of opportunity between all persons;
  - Foster good relations between all persons.
- 1.3 The District Council must therefore ensure consideration is given to the aims of the Duty in all its decisions. The paragraph on 'other considerations' at the end of every committee report reminds Members that although Officers have had regard to equality issues when preparing reports, Members should also consider equality issues in order to meet the Equality Duty.
- 1.4 The specific duty requires the District Council to publish:
- Equality information annually about its workforce and service users to demonstrate compliance with the general Equality Duty;
  - Equality objectives (drawing on this information) at least every four years that it needs to achieve to meet the aims of the general equality duty, focusing on its priority equality issues.

The [Consultation and Engagement Strategy 2014-2019](#) was agreed at [Corporate Committee on 20 March 2014](#) (Minute No. 387/12). The strategy describes the purpose, principles and priorities in respect of consultation and engagement activity undertaken by the District Council.

Each year as an Appendix to the Consultation and Engagement Strategy the District Council prepares a Consultation and Engagement Plan which sets out the activity planned for the coming year in line with the strategy's objectives.

## 2 PROGRESS ON EQUALITIES AND CONSULTATION 2015-16

- 2.1 Updated equality information was published on the District Council's website<sup>2</sup> as required in legislation on 31 January 2016. A proportional approach to the collection and publication of data continues to be taken with a particular focus on key service user satisfaction data disaggregated by relevant protected groups.
- 2.2 Between 14 February and 26 March 2012, the District Council consulted on three draft equality objectives via an on-line survey sent to equalities organisations and groups operating in the Derbyshire Dales, local voluntary organisations and LSP partners. These equality objectives were agreed at Community & Environment Committee on 19 April 2012 (Minute No. 387/12) and progress is reported annually. Progress towards these objectives at February 2016 is summarised in Appendix 1. The District Council's equality objectives are:

---

<sup>1</sup> <http://www.derbyshiredales.gov.uk/your-council/policies-plans-a-strategies/equality-a-diversity-policy>

<sup>2</sup> [http://www.derbyshiredales.gov.uk/images/documents/E/Equality\\_Information\\_2015.pdf](http://www.derbyshiredales.gov.uk/images/documents/E/Equality_Information_2015.pdf)

- Improve housing opportunities for vulnerable people
- Help new businesses to start
- Provide services which reflect the communities of the Derbyshire Dales and are accessible to all users

2.3 The Equality Plan 2015 - 2016 set out for each objective at least one or two performance measures/targets, which are detailed in Appendix 2. Of the six identified targets; one has been fully achieved and five partially achieved as at February 2016 but on track to be achieved by the year end.

2.4 The target that has been fully achieved at February 2016 is:

- % of people very or fairly satisfied with household refuse collection - 93% of people were satisfied with household waste collection

2.5 The five targets that have been partially achieved but which are on track to be delivered by year end are:

- Provide adaptations to the homes of 35 disabled people – by the end of December 2015, 30 adaptations to disabled persons properties had been made
- Support 150 social housing tenants affected by Welfare Reform to access financial and budgeting advice by March 2016, and where necessary, help move home – by the end of December 2015, 135 tenants had been supported
- Delivery of the programme of agreed priority Equality Impact Assessments
- Provide support to a further 10 people under 25 interested in starting a new business - 6 young people under 25 years of age were supported
- Service Reviews – these are ongoing

In addition to the above the following outstanding actions have been completed during 2015-16, which were carried over from the Equality Plan 2014-2015.

- 4x Training sessions for Members delivered, improving understanding of equalities issues
- Training for managers was delivered in October 2015

2.6 Equality Impact Assessments:

To minimise the risk of legal challenge and to ensure that the potential impact upon protected groups is taken into account in the District Council's decision making framework, Equality Impact Assessments are prepared. Each year a number of priority Equality Impact Assessments are identified in the Equality Plan as having to be undertaken, where they are linked to potential future policy development or potential changes in service delivery. Completed Equality Impact Assessments are summarised and presented for Members' review when new or revised policies are being considered at Committee or Council meetings. Completed Equality Impact Assessments are also published on the District Council's website to demonstrate compliance with the Equality Duty.

## 2.7 Progress on priority EIAs for 2015-16:

The following EIAs were identified in the Equality Plan 2015-16 (see Appendix 2) and have been completed:

- Review of Bring Sites
- Taxi Licensing Policy
- Health & Wellbeing Strategy
- Equality Plan 2015-2016
- Corporate Plan 2015-16
- Capability Procedure - review
- Leisure Review

The following EIAs were not required:

- Council Tax Support Scheme 2016-2017 (no change to current scheme)
- Budget

## 2.8 It is recommended that the following be subject to an EIA during 2016 - 2017 to ensure that due regard is had to equalities issues prior to any significant decisions being made:

- Wheeled Bins Charging (carried over from 2015-2016)
- Public Conveniences – second review (carried over from 2015-2016)
- Local Plan (carried over from 2015-2016)
- Council Tax Support Scheme 2017-18 (if required)
- Family Friendly Policy (carried over from 2015-2016)
- Budget
- Events Strategy

Internal service reviews:

- Leisure
- Transformation
- Development Management
- Housing
- Environmental Health
- Licensing

## 2.9 The Consultation and Engagement Plan 2015 – 2016 (Appendix 3) provided a structured framework for the District Council's consultation and engagement activities during the last financial year. This Plan was agreed at [Governance & Resources Committee on 16 July, 2015](#) (Minute No. 72/15). Consultation and Engagement activity of note during 2015 - 2016 includes:

- Customer satisfaction surveys with the waste and recycling service provided by Serco in May and November 2015. These results were reported to [Community & Environment Committee](#) on 14 January 2016 (Minute No. 269/15) as part of the Review of Bring Sites.
- Public conveniences at Matlock Bath Memorial Gardens – a [questionnaire survey ran from 29 July - 25 August 2015](#) alongside face to face engagement

with Parish Council and local business to gain views following closure of the site due structural problems. As repair costs were less than anticipated, the closure was not permanent - report to [Governance & Resources Committee on 9 September 2015](#) (Minute No. 71/15).

- Corporate Plan 2015-2019 - [consultation on Corporate Plan 2015-2019](#) undertaken across the District in summer 2015. Consultation directly influenced priorities agreed by [Council at its meeting on 19<sup>th</sup> November 2015](#) (Minute No. 219/15).
- [Derbyshire Dales Local Plan Key Issues](#) – Consultation on the Key Issues associated with the preparation of the Derbyshire Dales Local Plan. Results were reported to [Local Plan Advisory Committee on 12<sup>th</sup> January 2016](#) (Minute No. 266/15) and will assist in the preparation of the Derbyshire Dales Local Plan throughout the rest of 2016.
- Staff Survey undertaken in November 2015 – online and paper-based survey which achieved a 75% response rate. Results were communicated to all staff via email, [intranet](#), staff newsletter and notices in staff areas.

### **3 EQUALITY, CONSULTATION & ENGAGEMENT PLAN 2016/17**

- 3.1 Equalities, Consultation and Engagement are inextricably linked, and as such it is considered that it is more efficient to prepare a single Equality, Consultation and Engagement Action Plan rather than two separate documents.
- 3.2 As such a draft Equality, Consultation and Engagement Plan for 2016/17 has been prepared and is set out in Appendix 4 to this report.
- 3.3 The key areas for consultation that the plan sets out for 2016-17 are:
- Wheeled Bins Charging
  - Waste and Recycling Customer Satisfaction – May & November 2016
  - Public Conveniences 2nd Review - Summer 2016
  - Parish Housing Needs Surveys – Spring 2016
  - Leisure Services Review – Ongoing throughout 2016/17
  - Local Plan Consultation – April & September 2016
  - Business Engagement Programme – September 2016 & March 2017

### **4. RISK ASSESSMENT**

#### **4.1 Legal**

Under the provisions of the Equality Act 2010, the District Council has specific statutory duties. All decisions taken by the Council, all services provided or enabled by the Council and all personnel functions of the Council are required to take account of this duty. Failure to comply with the equality duty could render the Council open to legal challenge. The areas of activity identified within this report seek to reduce any potential risk. However, this area is still considered to be a medium legal risk in light of the requirement to demonstrate that councils have consciously considered their obligations.

The District Council also has a duty to consult, and to demonstrate that it has consulted in making decisions on how to undertake its functions and activities which affect the public. Failure to consult or demonstrate how consultation has influenced the decision making process is an area where the District Council could face legal

challenge. As such the areas of activity identified in the Consultation and Engagement Plan seek to reduce any potential risk.

As challenges on these matters are becoming more frequent nationally, the legal risk is medium.

## **4.2 Financial**

The costs of addressing the statutory requirements in relation to Equalities and Consultation are contained within existing service budgets. As such the financial risk is low. However failure to comply with the relevant statutory requirements may expose the District Council to legal challenge and therefore the potential for higher financial risks.

## **4.3 Corporate Risk**

The risk of failing to take adequate account of equalities issues in policies and decisions is scored 12 in the District Council's Risk Register.

Implementing the Consultation and Engagement Strategy is scored 8 in the District Council's Risk Register i.e. medium risk.

Progressing the activity identified within the report will help reduce the risk of legal challenge; enforcement action for non-compliance with statutory equality duties; and potential loss of good reputation.

## **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**

Mike Hase, Policy Manager

Tel: 01629 761251 E-mail: [mike.hase@derbyshiredales.gov.uk](mailto:mike.hase@derbyshiredales.gov.uk)

Lynne Cheong, Policy Officer (Consultation and Equalities)

Tel: 01629 761240 Email: [lynne.cheong@derbyshiredales.gov.uk](mailto:lynne.cheong@derbyshiredales.gov.uk)

## **7 BACKGROUND PAPERS**

<b>Description</b>	<b>Date</b>	<b>File</b>
--------------------	-------------	-------------

# **BACK TO AGENDA**

## Equality Objectives 2012-16

### PROGRESS TOWARDS 2015 -2016 EQUALITY TARGETS, February 2016

Summary of Progress		
Status	Number	Percentage
GREEN	1	20%
AMBER	4	80%

Objective 1: Enhance opportunities for vulnerable people to access suitable housing and to live independently at home for longer			
Service	Target		Risk
Private Sector Housing	Provide adaptations to the homes of 35 disabled people by March 2015 (Also Corporate Plan target)	>35 Adaptations funded by Disabled Facilities Grants have been completed at February 2016 – on track for achieving by March 2016	A
Housing	Produce 4 group needs assessments of the housing needs of vulnerable people	2 group needs assessments produced at February 2016	A
Housing	Support 115 vulnerable households to access social, training and employment opportunities through an enhanced signposting service, helping them to move on from supported accommodation	115 individuals have been supported at February 2016	G

Objective 2: Work with partners to help enable more young people to access employment opportunities in the Dales			
Service	Target		Risk
Economic Development	Provide support to a further 10 people under the age of 25 interested in starting a new business by March	6 people under the age of 25 interested in starting a business have been supported by Derbyshire Dales Business Advice - – on track for achieving by March 2016	A

<b>Objective 2:</b>			
<b>Work with partners to help enable more young people to access employment opportunities in the Dales</b>			
<b>Service</b>	<b>Target</b>		<b>Risk</b>
	2014		

<b>Objective 3:</b>			
<b>Provide services which reflect the communities of the Derbyshire Dales and are accessible to all users</b>			
<b>Service</b>	<b>Target</b>		<b>Risk</b>
Policy	Agree and progress the corporate programme of Equality Impact Assessments	Ongoing with progress monitored by Corporate Leadership Team – on track for achieving by March 2016	<b>A</b>

**BACK TO REPORT**

**EQUALITY PLAN 2015 – 2016: ACTION PLAN**  
**Updated February 2016**

Equality Objectives	Actions	Performance Measures / Targets	Outcome to date	Lead	By when
<b>Objective 1:</b> <b>Increase affordable housing</b>	Improve housing opportunities for vulnerable people	Provide adaptations to the homes of 35 disabled people	>35 adaptations provided	Head of Regulatory Services	March 2016
		Support 130 social housing tenants affected by Welfare Reform to access financial and budgeting advice by March 2016, and where necessary, help move home	150 persons supported	Head of Housing	March 2016
<b>Objective 2:</b> <b>Increase business growth and job creation</b>	Help new businesses to start	No. of people under the age of 25 supported in starting a new business	6 young people under 25 supported	Head of Regeneration and Policy	March 2016
<b>Objective 3</b> <b>Maintain street cleaning, waste collection, safe and healthy communities</b>	Provide services which reflect the communities of the Derbyshire Dales and are accessible to all users	% of people very or fairly satisfied with household refuse collection	93% satisfied with refuse collection service	Serco / Head of Environmental Services	March 2016
	Agree and	Programme for 2015-16	9 completed	Heads of Service	March 2016



Equality Objectives	Actions	Performance Measures / Targets	Outcome to date	Lead	By when
	progress the corporate programme of priority Equality Impact Assessments for 2015-16	completed including: <ul style="list-style-type: none"> <li>• Review of Bring Sites</li> <li>• Charging for wheeled bins</li> <li>• Public Conveniences – second review</li> <li>• Taxi Licensing Policy</li> <li>• Health &amp; Wellbeing Strategy</li> <li>• Local Plan</li> <li>• Council Tax Support Scheme 2016-17</li> <li>• Equality Plan 2015-2016</li> <li>• Corporate Plan 2015-16</li> <li>• Capability Procedure - review</li> <li>• Family Friendly Policy</li> <li>• Budget</li> </ul>	5 rolled forward to 2016-17 (2 not required)		

**APPENDIX 2**

Equality Objectives	Actions	Performance Measures / Targets	Outcome to date	Lead	By when
		<ul style="list-style-type: none"> <li>• Leisure Review</li> <li>• Events Strategy</li> </ul>			
	<p>Service Reviews – any potential equality impacts to be identified through EIAs</p>	<ul style="list-style-type: none"> <li>• Service Reviews               <ul style="list-style-type: none"> <li>- Leisure</li> <li>- Transformation</li> <li>- Dev management</li> <li>- Housing</li> <li>- Environmental Health</li> <li>- Licensing</li> </ul> </li> </ul>	<p>Ongoing</p>	<p>Heads of Service</p>	<p>Ongoing</p>

**Corporate Equality Performance Indicators 2015-2016  
Updated February 2016**

Service	Priority	Performance measures / Targets	CP ref	Action / target	Outcome to date	Lead	By when
Housing	CP1	TA2 Improve housing opportunities for vulnerable people	CORP2	Support 130 social housing tenants affected by Welfare Reform to access financial and budgeting advice by March 2016, and where necessary, help move home	150	Head of Housing	March 2016
			CORP3	Provide adaptations to the homes of 35 disabled people by March 2016	>35	Head of Regulatory Services	March 2016
Environmental Services	CP3 Maintain street cleaning, waste collection, safe and healthy communities	% of people very or fairly satisfied with household refuse collection	PS8(b)	91%	93%	Head of Environmental Services / Serco	March 2016
Economic Development & Tourism	CP2 Increase business growth and job creation	No. of people under the age of 25 supported in starting a new business	ED1	10	6	Head of Regeneration & Policy	March 2016

APPENDIX 2

Service	Priority	Performance measures / Targets	CP ref	Action / target	Outcome to date	Lead	By when
<b>Environmental Services</b>	<b>CP1 Increase affordable housing</b>	Replace car parking machines and undertake alteration work to comply with disability requirements	<b>PSS6</b>		Phase 2 near completion. All machines replaced by April 2016.	Head of Environmental Services / Parks & Streetscene Manager	Ongoing
<b>Environmental Health</b>	<b>CP1 Increase affordable housing</b>	Number of households in fuel poverty who received assistance through the Healthy Homes project	<b>EH7</b>	50	40 - 50	Head of Environmental Services	March 2016
<b>Housing</b>	<b>CP1 Increase affordable housing</b>	Produce 4 group assessments of the housing needs of vulnerable groups people		4	2	Head of Housing	March 2016
	<b>CP1 Increase affordable housing</b>	No. of vulnerable households supported to access social, training and employment opportunities	<b>HP2</b>	115	115	Head of Housing	March 2016

**APPENDIX 2**

Service	Priority	Performance measures / Targets	CP ref	Action / target	Outcome to date	Lead	By when
		through an enhanced signposting service, helping them move on from supported accommodation					
<b>Estates &amp; Facilities Management</b>		% of Council buildings open to the public in which all public areas are suitable for and accessible to disabled people	<b>BV 156</b>	82%	87%	Head of Resources / Estates & Facilities Manager	March 2016

**BACK TO REPORT**

**CORPORATE CONSULTATION AND ENGAGEMENT PLAN 2015/16**  
Updated 16/11/15

<b>Date planned</b>	<b>Issue/ Consultation Task</b>	<b>Methods</b>	<b>Target Groups</b>	<b>EIA required</b>	<b>Lead Officer</b>	<b>Progress</b>
<b>Environmental Services</b>						
May and November 2015	Customer satisfaction survey with the waste and recycling service (informing performance indicator WM2)	Telephone survey by Serco	Sample of 400 local residents	N	Heidi McDougall	Surveys have been completed in May and November 2015.  93% of customers surveyed are satisfied with refuse collection service.
Autumn 2015	Review of Bring Sites	Survey (if applicable), information provision on alternatives to bring sites and business case for service changes. Subscribers of waste newsletter.	Local residents in particular those using bring sites	Y	Heidi McDougall	Use of bring sites is covered in the above survey. Wider consultation was undertaken through an online survey from October through to November 2015. This survey was sent to all residents who have subscribed to the e-newsletter and all Parish & Town Councils.
September 2015	Public conveniences 2 <sup>nd</sup> review	Website, Parish & Town Councils; Dalesmatters; subscribers of newsletter.	Parish Councils Local residents Tourists	Y	Steve Capes	This work has been programmed to take place in 2016/17.

Date planned	Issue/ Consultation Task	Methods	Target Groups	EIA required	Lead Officer	Progress
September 2015	Charging for replacement wheeled bins	Build into Serco survey in November, subscribers of waste newsletter; website	Local residents	Y	Heidi McDougall	This has been delayed following recruitment of new Waste Manager. Work planned to take place in 2016/17.
<b>Regulatory Services</b>						
April 2015 onwards (part of the service review)	Satisfaction with the development control / management service	On line survey	Service users	N	Tim Braund/Jon Bradbury	Work begun February 2016 to develop this customer satisfaction monitoring survey
June 2015?	Health & Wellbeing strategy	External consultation on any proposed changes to services resulting from the strategies' gap analysis.	Dependent on affected services, likely to include partner organisations.	Y	Tim Braund	The Health and Wellbeing strategy was available for comment on the Council website in October 2015. Comments were invited from key stakeholders, partners and members of the public.
January and February 2016	Taxi licensing policy review (minor changes anticipated)	Focus groups and user survey	Disabled user groups Ethnic minority General public Taxi licence holders	Y	Eileen Tierney	Public consultation was planned for January and February 2016 prior to the policy going to Licensing in March 2016. A number of consultation workshops have been held with the taxi trade over the past year.
December	Gambling	Prescribed		N	Eileen Tierney	Statutory consultation

<b>Date planned</b>	<b>Issue/ Consultation Task</b>	<b>Methods</b>	<b>Target Groups</b>	<b>EIA required</b>	<b>Lead Officer</b>	<b>Progress</b>
2015	Policy					undertaken. Policy approved at Council, 28 January 2016
March 2016	Discretionary Grants Review	Web based questionnaire in partnership with CVS	Service users	Y	Tim Braund/Nicola Wildgoose	In discussion with CVS
March 2016	Service review - Licensing	Internal and external challenge	Critical friend, service users, key partners	Y	Eileen Tierney/Tim Braund	The review has started, key partners are aware.
March 2016	Service review Environmental Health	To be determined in Review	Service users and key partners	Y	Amanda Goodwill/Tim Braund	
On going beyond 2015/16	Service Review- Development Management	Web based	Service users	Y	Jon Bradbury/Tim Braund	
<b>Housing</b>						
March 2015	Complete 3 parish housing needs surveys (HSS11)	Postcard to each household in Parish asking them to complete online survey/ telephone. Publicity of survey via Parish newsletter, Parish meetings/ community	Residents in the Parish	Y	Rob Cogings/ Isobel Frenzel	3 housing needs surveys completed (Flagg, Monyash and Taddington) and one in progress (Bakewell).



Date planned	Issue/ Consultation Task	Methods	Target Groups	EIA required	Lead Officer	Progress
		events.				
March 2015	Produce 4 group assessments of the housing needs of vulnerable groups (HSS28)	Dependent on target group	Not determined yet	Y	Rob Cogings	Work underway on the housing needs of Syrian refugees, others to be commenced.
Dec 2015	Review and update Homelessness Strategy (HAD1)	Web based campaign to complete online survey, sample of people on the 'home options' database and stakeholder conference	Support agencies and individuals who are homeless/ at risk of becoming homeless	Y	Rob Cogings/ Simon Beynon	Review has started, Housing Advice and Support Forum consultation held in November. Homeless strategy including public and stakeholder consultation is planned before March 2016.
September 2014- June 2015	Service Review- Housing	Critical friend (CVS), benchmarking, internal discussion groups, management modelling	Internal and external challenge through CVS	Y	Rob Cogings	Service review completed and reported to committee in September 2015.
<b>Resources</b>						
July-August 2015	Public conveniences at Matlock Bath	Questionnaire survey and face to face	Visitors, Parish Council, local residents and	Y	Karen Henriksen	Online survey (paper copies available) ran 29 July- 25 August 2015.

APPENDIX 3

Date planned	Issue/ Consultation Task	Methods	Target Groups	EIA required	Lead Officer	Progress
	Memorial Gardens	engagement with Parish Council and local business	businesses			
September 2015 (if required)	Council Tax support scheme 2016/17 - NB DDDC has no current plans to change the scheme. Consultation will only take place if significant changes are proposed.	To be decided if consultation is required	Working age benefit claimants (pensioners exempt)	N/A  EIA will only be necessary if any changes are proposed	Karen Henriksen	Council Tax support scheme will remain unchanged; no consultation was required this year.
November 2015	Annual ICT internal satisfaction survey	Online survey	Staff at DDDC	N	Nick Blaney	Survey completed – awaiting outcomes
January-February 2016	NNDR Budget consultation	Face to face presentation at meetings or electronic/ paper survey	Business Forums	N	Karen Henriksen/ Karen Ludditt/ Steve Capes	Ongoing
October 2015	Customer satisfaction survey of Council Tax and Housing	Telephone or postal survey (by Arvato)	Council Tax and Housing Benefit claimants	N	Karen Henriksen/ Arvato	Satisfaction survey completed. Overall satisfaction rate: Housing Benefits – 91% Council Tax – 92% Satisfaction survey to be

Date planned	Issue/ Consultation Task	Methods	Target Groups	EIA required	Lead Officer	Progress
	Benefits claimants					repeated in 5 years.
<b>Community Development</b>						
Up to June 2015	Leisure Review (stage 1)	The appointed consultants are talking to key partner stakeholders and are analysing current service performance	DDDC Heads of service, educational establishments, Derbyshire Sport, Public Health	Y	Ashley Watts	Ongoing.
April 2015	Markets Action Plan	Face to face engagement with market traders to establish operational efficiencies at an early stage. Consultation with the public on publicity and promotion at a later stage.	Market traders, the general public and individuals interested in running the markets.	N/A	Ashley Watts	Ongoing
January and February 2016	Relocation of Ashbourne Market	Online survey	Local residents, stall holders and local shops		Laura Hollinshead	Ongoing
April 2015	Review of events strategy	TBC	Event organisers	Y	Ashley Watts/ Nicola Wildgoose	Draft Strategy now produced

Date planned	Issue/ Consultation Task	Methods	Target Groups	EIA required	Lead Officer	Progress
			Public services involved in supporting events, Local residents, businesses and visitors			
TBC Dependent upon which Council services emerge as feasible for community engagement (currently Sports Pavilion at Bakewell, Ashbourne Recreation Ground and public toilets at Arts Corner, Cromford).	Community Engagement Hub projects	Dependent on the target group- an entry on the engagement plan is needed for each specific project	Dependent on the project	EIA may be needed for specific projects	Ashley Watts and the Community Engagement Hub (led by Rob Wilks)	No public consultation undertaken to date.
April- June 2015	Walking for Health initiative consultation to inform Big	Consulting service users via a 12 week 'Every step	Users of Bakewell surgery and adults from	N	Howard Griffiths/ Becky Bryan	

**APPENDIX 3**

<b>Date planned</b>	<b>Issue/ Consultation Task</b>	<b>Methods</b>	<b>Target Groups</b>	<b>EIA required</b>	<b>Lead Officer</b>	<b>Progress</b>
	Lottery Fund application	counts' pilot walk at Bakewell surgery	Bakewell and the surrounding community			
June 2015 and ongoing	Market research into customer profiles and customer satisfaction with Leisure Services	Various- to be determined	Local residents, existing and potential users	N	The new Marketing Officer post in Leisure	Ongoing
July 2015	Leisure Review (stage 2- if required) Consultation on the recommended model of leisure service delivery	Dependent on the recommended model of delivery	Dependent on the recommended model of delivery	Y	Ashley Watts	Ongoing
July 2015 (7, 21 and 28 July 2015)	Area Community Forums	Public meeting	Local residents Local businesses Service users, Partners		All/ Ros Hession	All 3 forums held. Topics covered included: Update on the work of CCG's DDDC Community Development initiatives Corporate Plan and Budget consultation Cllr Rose's presentation on the new Council's approach
October 2015 (14,	Area Community	Public meeting	Local residents Local	N	All/ Ros Hession	All 3 forums held. Topics covered included:

**APPENDIX 3**

<b>Date planned</b>	<b>Issue/ Consultation Task</b>	<b>Methods</b>	<b>Target Groups</b>	<b>EIA required</b>	<b>Lead Officer</b>	<b>Progress</b>
20 and 28 October 2015)	Forums		businesses Service users, Partners			Local Plan update on key issues Presentation on funding available via Peak Leader 2015-20 DDDC Street Cleansing
February 2015 (3, 17 and 23 February 2016)	Area Community Forums	Public meeting	Local residents Local businesses Service users, Partners	N	All/ Ros Hession	All 3 Forums held.
April – July 2015	Consultation on mobile leisure facilities in rural areas Consultation on the types of leisure activities young people would like to access in the local area	Local school children (QEGS) to act as interviewers and consult young people regarding leisure activities they would like to take part in locally.	Residents of Ashbourne and the surrounding areas and students at QEGS	EIA on any changes to service resulting from consultation	Becky Bryan	
TBC	Performance indicators CRI8 & CRI9 % people feeling safe outside during the day and night	Survey	Local residents	N	Karen Cooper	
August 2015	Future of Ashbourne Skate Park	Paper and online survey	Local residents including young people		Ros Hession	An on-line survey (paper copies were also available) was publicised through Facebook,

Date planned	Issue/ Consultation Task	Methods	Target Groups	EIA required	Lead Officer	Progress
						Twitter, Council website, press release, posters and flyers with a QR code. The survey ran in August 2015, there were 140 responses and the results were reported to committee on 24 September 2015. Alternative sites for the skate park are being followed up.
<b>Regeneration &amp; Policy</b>						
March – April 2015	Visitor Economy Plan	Circulation of draft document (a sub set of the Economic Development Plan).	Partner organisations	Y-completed	Giles Dann	Completed. Comments received reported to April Council and incorporated into final plan. Plan published on District Council website.
March 2015, November 2015 and February 2016	Business Engagement Programme-business forums	Six monthly meetings of 2 hours, each on a specific theme. Providing local business with information and providing them with a chance to ask questions of the Council and partner organisations.	Local businesses with growth plans	N/A	Giles Dann	March 2015 meetings held on the theme of 'promoting business growth'. 65 business representatives attended and the events were well received  November 2015 round underway incorporating a 'How's business' session where local businesses are asked to feedback on key issues affecting their business and help they need to grow
March 2015	Annual	On-line survey	Local	N/A	Giles Dann	Completed. 2015 sites and

Date planned	Issue/ Consultation Task	Methods	Target Groups	EIA required	Lead Officer	Progress
and March 2016	Business Survey- themed on 'sites and premises' for 2015		businesses			premises survey distributed to 347 businesses in March 2015. 105 responses received. Results used to inform Local Plan preparation and negotiations with developers of priority development sites  Considering skills theme for 2016 survey
July- September 2015	Corporate Plan - consultation on corporate priorities which will feed into the Council's budget planning process	Postal survey to residents, workshops with SMT, Members and residents.	Local residents, service users, visitors and partners. Councillors and staff. Including 3 consultations with hard to reach groups (young people, disabled people and business)	Y	Steve Capes/ Karen Henriksen/ Mike Hase	Paper questionnaire sent to 4,500 local residents at random and supplemented by an online survey- 1,225 people responded. 3 workshops were held with local residents and 3 with staff and Councillors. Results to these consultations and the draft corporate plan were reported to Council in November.
August 2015	Joint surveys with Peak District partners to inform future Visitor Economy Plan	TBC	Tourism businesses, visitors and non visitors	N/A	Gill Chapman	Survey carried out of Bakewell businesses and Eroica Britannia participants 2016 to inform future planning and support for the event.



**APPENDIX 3**

<b>Date planned</b>	<b>Issue/ Consultation Task</b>	<b>Methods</b>	<b>Target Groups</b>	<b>EIA required</b>	<b>Lead Officer</b>	<b>Progress</b>
	actions					
7 <sup>th</sup> May 2015	Wirksworth Neighborhood Plan Referendum	Referendum	Local residents in Wirksworth	N	Mike Hase	The referendum vote was in favour of the Wirksworth Neighborhood plan and it has been adopted as part of the Local Plan.
July- August 2015	Performance indicators POL8 & POL9, N14& N15 % residents agreeing the Council provides value for money, satisfaction with how the Council runs things, feeling they can influence decisions in their locality, satisfied with the area	Corporate Plan Residents Survey	Local residents	N	Steve Capes	Information on these PI's was collected through the views of 1225 people in the Corporate Plan survey and have been fed into the service plan updates for 2014/2015.
Autumn 2015	Revising the Statement of Community Involvement	Publication of the document online for comment	Local residents	Y	Mike Hase	The SCI document was published on line, and made available at 6 community venues. Comments were sought between 5 November and 17 December 2015
Late 2015	Issues and	Local	Local	N	Mike Hase	A leaflet summarising the key

Date planned	Issue/ Consultation Task	Methods	Target Groups	EIA required	Lead Officer	Progress
	options consultation for local plan	exhibitions, public meetings, website consultation	residents, developers and statutory agencies.			issues was sent to all households in early November, 3 public meetings were held and an online survey collected views with a closing date of 14 December.
<b>Corporate Services</b>						
To be discussed at training event in summer 2015	Parish/Town Council liaison- discussion on the future approach to Parish Clerks Seminar and Parish/Town Council Conference	Meeting	Parish/ Town Councillors	N	Sandra Lamb	A survey of Parish Clerks aiming to find what would encourage attendance at liaison meetings with DDDC received 5 responses. As a result it was decided to discontinue Parish/ District liaison meeting, seminars and conferences and instead the head of service will attend DALC meetings.
December 2015?	Internal satisfaction with the Business Support Service	On-line/ electronic	Staff	N	Sandra Lamb	This will not take place as a stand-alone piece of work but will be included in customer satisfaction monitoring below.
March 2016 (annual)	Customer Satisfaction Monitoring	Possible online survey issued immediately after service delivery	Local residents & stakeholders including internal staff		Sandra Lamb	The approach to measuring customer satisfaction is currently being developed.
<b>Human Resources &amp; Payroll</b>						
Oct 2015	Staff Survey	Online and paper	Staff	N as all staff in	Deborah Unwin	Survey completed with 56% response rate. Results to be

Date planned	Issue/ Consultation Task	Methods	Target Groups	EIA required	Lead Officer	Progress
				scope		published and staff focus groups held in January/February 2016 to generate an action plan by March 2016.
March 2016	HR Self Service system	Working group	Staff	Y	Deborah Unwin	Ongoing
Oct 2015	Staff & Manager survey of the PDR process	Online	Staff		The PDR Review team (Ash Watts, Mike Hase, Deborah Unwin)	Review complete, outcomes reported to SMT in November 2015.

**BACK TO REPORT**



**Equality, Consultation & Engagement Plan**

**2016 – 2017**

## 1. Introduction

Derbyshire Dales Council has statutory duties under the [Equality Act 2010](#) which should be considered across all the Council's public functions. The Act defines a range of 'protected characteristics':

- Age
- Religion or belief (including non-belief)
- Disability
- Pregnancy and maternity
- Gender reassignment
- Sex / gender
- Marriage and civil partnership (with regard to discrimination)
- Sexual orientation
- Race

The [Equality Act 2010 S.149](#) sets out three broad aims in the form of a statutory general equality duty which requires the Council to have due regard to the need to:

- Eliminate discrimination, victimisation and harassment
- Advance equality of opportunity
- Foster good relations between different groups

The [Equality Act 2010 \(Specific duties\) Regulations 2011](#) set out further specific duties for public bodies which support delivery of the three aims of the general equality duty. These require the Council to:

- Publish annually equality information about its workforce and service users
- Set equality objectives and specify the steps it will take to achieve them, at least every four years

The Equality Plan 2016 – 2017 supports delivery of the Council's statutory equality duties and therefore sets out:

- How the Council takes account of equalities issues in the decisions it makes (section 3)
- An overview of the Derbyshire Dales community (section 4)
- The Council's equality objectives and the steps it is taking to achieve them (section 5)
- Equality performance indicators used by the Council to monitor its progress
- Equality improvement actions for the year ahead.

The Council also has a duty to consult which is integral to mainstreaming equalities, particularly in the setting and delivery of equality objectives. The Action Plan below (Appendix 4) sets out the key pieces of externally facing consultation and engagement that are identified at the time that the service

plans are being written. As being aware of the impact of changing services/policies on different groups of individuals is often crucial in shaping the scope and shape of public consultation, the need to produce an Equality Impact Assessment (EIA) is also identified in this plan. Progress with achieving this plan is reported annually.

## 2. Equality and Diversity Policy

Treating everybody fairly is a core value of Derbyshire Dales District Council. The Council's commitment and approach to promoting equality as a public service provider and employer is set out in its [Equality & Diversity Policy](#).

The [Dignity and Respect for All](#) policy aims to encourage people living, working and visiting the Derbyshire Dales to show consideration to one another and to treat each other fairly.

## 3. Equality Impact Assessment, Monitoring and Engagement

To inform its decision making and ensure that its policies and practices are fair, the Council undertakes [Equality Impact Assessments](#) where relevant and proportionate.

It also carries out equalities monitoring of its policies and practices, where appropriate, to ensure that everyone is treated fairly. Monitoring data is published annually as part of its [Equality Information](#).

The Council actively seeks feedback from its customers and staff to ensure effective consultation about its services and plans. It has a [Consultation and Engagement Strategy 2014-2019](#) which sets out the ways in which it will engage with those living, working and visiting the District to improve services.

## 4. The Derbyshire Dales Community

The 2011 Census and other data provide the following picture of the Dales ([ward profiles and other equality information](#) published annually on the Council's website are also available):

- **Sex (gender)** – Of the population of 71,116, 49.3% of residents are male and 50.7% female (similar to the national position)
- **Age** – the district has an ageing population. People aged 65 and over make up 22.3% of the population (the highest in Derbyshire) compared to 16.3% in England. The under 25s make up 25.3% of the population (the lowest in Derbyshire) compared to 30.8% in England. 61.1% are of working age (16-64 years). The District's older population is forecast to grow at a much higher rate than nationally over the next 20 years
- **Disability and long term ill health** – people whose day to day activities are limited make up 18.5% of the population compared to 17.6% in England. In addition, 12.7% of local people provide unpaid care compared with 10.2% in England. Levels of daily activity limitation are significantly higher among those over 60 years of age.

- **Race** – 96.8% of residents are White British compared to 79.8% in England. A further 1.8% are from other white backgrounds (particularly Eastern European backgrounds)
- **Marriage and civil partnerships** – 54.8% are married compared with 46.6% in England and 0.3% live within same sex civil partnerships (similar to national position)
- **Pregnancy & Maternity** – since 2001 there has been a 2.4% increase in births (half the Derbyshire average) compared to 7.9% in England
- **Religion or Belief** – 68.7% of residents describe themselves as Christian compared with 59.4% in England. 23.2% declared no religious belief compared with 24.7% in England
- **Sexual Orientation** – The exact number of lesbian, gay or bisexual people living in the Derbyshire Dales is not known. The Government estimate is 5-7% of the population which equates to between 3,500 - 5,000 people in the Derbyshire Dales. Census 2011 data shows that 187 persons in the Dales were in a same sex civil partnership (0.3% of all persons over 16 years of age)
- **Gender Reassignment** – Derbyshire Friend (the main local organisation supporting the LGBT community) has previously estimated that between 150 - 200 people in Derbyshire identify themselves as Transgender.

#### **Socio-economic Issues:**

- **Unemployment** – Derbyshire Dales has an unemployment rate of 0.5% (210 persons) compared with 1.5% for England. 18.5% of those unemployed in the District are under 25, compared with 22% for England (DWP Claimant Count, December 2015)
- **Wages** – at £471.30 per week in 2015, average earnings by workplace from full time jobs in the Dales are slightly lower than in 2014 (£475.30). The England average earnings by workplace from full time jobs rose between from £520.20 per week in 2014 to £532.40 in 2015 (ASHE, 2015).
- **Deprivation** – Six of the eight districts in the county have shown a net improvement in their rankings between ID 2010 and ID 2015. Derbyshire Dales has shown the greatest improvement in ranking. Whilst showing considerable improvement, Matlock St Giles remains the most deprived ward within the Dales, ranking 16 in the county in 2015 compared to 24 in 2010. (English Indices of Deprivation, Summary Analysis for Derbyshire, 2015).
- **Debt** - Debt issues within the Dales remain a real concern. The Council's [debt service](#) (which is provided by the CAB) supported 162 social housing tenants in the Dales during 2014 - 15, managing £1,451,774 of debt. Derbyshire Dales CAB received [1333 general enquiries about debt from Dales' residents in 2013-2014](#).
- **Fuel poverty** – 3560 households experienced fuel poverty in 2013, constituting 11.3% of all Dales' households, compared to 10% in Derbyshire and 10.4% in England (DECC, May 2015).
- **Child poverty** - Overall child poverty rates remain lower in the Dales (8.8%) than nationally (18.6%), and are the lowest in Derbyshire (ONS, Local Profiles – Child Poverty, 2013).

## 5. Equality Objectives

The [Corporate Plan](#) is the key strategy from which the District Council's other strategies, plans and policies cascade. The priorities for the Council for 2016 - 2017 are:

- Business Growth & Job Creation
  - Help New Businesses to Start
  - Help Existing Businesses to Grow
  - Promote Key Development Sites
- Affordable Housing
  - Identify and Deliver New Affordable Housing Sites
  - Improve Housing for Vulnerable People
- Market Towns
  - Reviving Stall Markets
  - Seeking Public Realm Improvements
- A Clean and Safe District
- Continue to Seek Efficiencies and Innovative Working Practices

Informed by demographic and monitoring of performance data, our equality objectives for 2016-2017 are:

1. Work with partners to help enable more young people to access employment opportunities in the Dales
2. Enhance opportunities for vulnerable people to access suitable housing and live independently at home for longer
3. Provide services which reflect the communities of the Derbyshire Dales and are accessible to all users

Targets are set each year and integrated within service plans to help measure progress towards these objectives. Our equality objectives and targets for 2016 - 2017 are set out in the associated action plan (Appendix 4). This action plan also includes other corporate equality performance indicators used to monitor the Council's progress in promoting equality,

## 6. Equality Improvement Actions

In 2015, 33 Members attended equality and diversity training, which is mandatory for all elected Members. This helps Members understand both the business case for promoting equality and diversity and the Council's statutory duties under the Equality Act 2010. Training was also provided for senior managers to ensure that best practice is mainstreamed throughout council functions.

## 7. Monitoring and Review

Progress on this Equality Plan will be monitored by the Corporate Leadership Team (Heads of Service, Corporate Directors and the Chief Executive Officer)



and reported bi-annually to Members. The Equality Plan will be available to the public via the Council's website and the action plan will be updated periodically.

Corporate performance indicators will be monitored by the identified service manager and reported via the service planning and review process.

## **8. Further Information**

Policy Officer (Consultation and Equalities)

Regeneration and Policy

Derbyshire Dales District Council

Town Hall

Matlock

DE4 3NN

Email: [lynne.cheong@derbyshiredales.gov.uk](mailto:lynne.cheong@derbyshiredales.gov.uk)

Website: <http://www.derbyshiredales.gov.uk/your-council/equalities>

## EQUALITY PLAN 2016 – 2017: ACTION PLAN

Equality Objectives	Actions	Performance Measures / Targets	Lead	By when
<b>Objective 1: Business Growth and Job Creation</b>	Help new businesses to start	No. of people under the age of 25 supported in starting a new business	Head of Regeneration and Policy	March 2017
<b>Objective 2: Affordable Housing</b>	Improve housing for vulnerable people	Provide adaptations to the homes of 35 disabled people	Head of Regulatory Services	March 2017
		Support 150 social housing tenants affected by Welfare Reform to access financial and budgeting advice by March 2016, and where necessary, help move home	Head of Housing	March 2017
<b>Objective 3 A Clean and Safe District</b>	Provide services which reflect the communities of the Derbyshire Dales and are accessible to all users	% of residents that are satisfied with the refuse and recycling collection service	Serco / Head of Environmental Services	March 2017
	Agree and progress the corporate programme of priority Equality Impact Assessments for 2016-17	Programme for 2016-17 completed including: <ul style="list-style-type: none"> <li>• Markets</li> </ul>	Heads of Service	March 2017

Equality Objectives	Actions	Performance Measures / Targets	Lead	By when
		<ul style="list-style-type: none"> <li>• Public Conveniences – second review</li> <li>• Sex Entertainment Venues</li> <li>• Local Plan</li> <li>• Charging for wheeled bins</li> <li>• Council Tax Support Scheme 2017-18</li> <li>• Budget</li> <li>• Leisure Review</li> <li>• Events Strategy</li> </ul>		
	<p>Service Reviews – any potential equality impacts to be identified through EIAs</p>	<ul style="list-style-type: none"> <li>• Service Reviews               <ul style="list-style-type: none"> <li>- Finance</li> <li>- ICT</li> <li>- Estates &amp; Facilities</li> </ul> </li> </ul>	<p>Heads of Service</p>	<p>Ongoing</p>

The Consultation & Engagement **Action Plan** is an appendix to the Consultation & Engagement Strategy 2014-2019. It is updated annually and sets out the key pieces of externally facing consultation and engagement that are identified at the time that the service plans are being written. As being aware of the impact of changing services/policies on different groups of individuals is often crucial in shaping the scope and shape of public consultation, the need to produce an Equality Impact Assessment (EIA) is also identified in this plan. Progress with achieving this plan is reported in the last quarter of each financial year when a new plan for the forthcoming year is generated.

The Consultation & Engagement **Strategy** 2014 – 2019 (<http://www.derbyshiredales.gov.uk/your-council/policies-plans-a-strategies/community-consultation>) is a stand-alone strategy which sets out the District Council's four main objectives for consulting and engaging along with principles and standards for good consultation and engagement and methods used.

### CONSULTATION & ENGAGEMENT ACTION PLAN 2016-17

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA required	Lead Officer
<b>Environmental Services</b>					
Customer satisfaction survey with the waste and recycling service (informing performance indicator WM2)	May and November 2016	Telephone survey by Serco	Sample of 400 local residents	N	Heidi McDougall
Public conveniences 2 <sup>nd</sup> review	Summer 2016	Website, Parish & Town Councils; Dalesmatters;	Parish Councils Local residents Tourists	Y	Heidi McDougall

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA required	Lead Officer
		subscribers of newsletter			
<b>Regulatory Services</b>					
Satisfaction with the development control/ management service	April 2015 onwards (part of the service review)	On line survey	Service users	N	Tim Braund/Jon Bradbury
Sex Entertainment Venue policy	Summer 2016	Prescribed process of consultation	All licensed premises and general public	TBC	Eileen Tierney
Service Review- Development Management	Ongoing beyond 2015/16	Web based	Service users	Y	Jon Bradbury/Tim Braund
<b>Housing</b>					
Complete 3 parish housing needs surveys (HSS11)	March 2016	Postcard to each household in Parish asking them to complete online survey/ telephone. Publicity of survey via Parish newsletter, Parish meetings/ community events.	Residents in the Parish	Y	Rob Cogings/ Isobel Frenzel
Produce 4 group assessments of the housing needs of vulnerable groups (HSS28)	March 2016	Dependent on target group	Not determined yet	Y	Rob Cogings
Customer satisfaction with housing needs services	Continual	Face to face survey	Customers	TBC	Simon Beynon
<b>Resources</b>					

**APPENDIX 4**

<b>Issue/ Consultation Task</b>	<b>Date planned</b>	<b>Methods</b>	<b>Target Groups</b>	<b>EIA required</b>	<b>Lead Officer</b>
Annual ICT internal satisfaction survey	November 2016	Online survey	Staff at DDDC	N	Nick Blaney
NNDR Budget consultation	January-February 2016	Face to face presentation at meetings or electronic/ paper survey	Business Forums	N	Karen Henriksen/ Karen Ludditt/ Steve Capes
Customer satisfaction survey of Council Tax and Housing Benefits claimants	January-February 2018 (every 2 years)	Telephone survey (by Arvato)	Council Tax and Housing Benefit claimants	N	Karen Henriksen/ Arvato
<b>Community Development</b>					
Leisure Services Review	TBC	Workshop with stakeholders Public consultation TBC	Partner stakeholders, local residents, businesses and visitors	Y	Ashley Watts
Community Engagement Hub projects	Dependent upon which Council services emerge as feasible for community engagement (currently Ashbourne Park and Pavilion, public toilets at Artists	Dependent on the target group- an entry on the engagement plan is needed for each specific project	Dependent on the project	EIA may be needed for specific projects	Ashley Watts and the Community Engagement Hub (led by Rob Wilks)

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA required	Lead Officer
	Corner-Matlock Bath, Cromford Community Centre).				
Market research into customer profiles and customer satisfaction with Leisure Services	June 2015 and ongoing	Various - to be determined	Local residents, existing and potential users	N	The new Marketing Officer post in Leisure
Ashbourne Skate Park	Following feasibility review of suggested sites	Online survey	Potential users and local residents / businesses near the proposed site	Y	Ros Hession
Area Community Forums-Summer	July 2016 (dates to be set in May)	Public meeting	Local residents Local businesses Service users, Partners	N	All/ Ros Hession
Area Community Forums-Autumn	October 2016 (dates to be set in May)	Public meeting	Local residents Local businesses Service users, Partners	N	All/ Ros Hession
Area Community Forums-Winter	February 2016 (dates to be set in May)	Public meeting	Local residents Local businesses Service users, Partners	N	All/ Ros Hession
Performance indicators CRI8 & CRI9 % people feeling safe outside during the day and night	TBC	Survey	Local residents	N	Karen Cooper
<b>Regeneration &amp; Policy</b>					

**APPENDIX 4**

<b>Issue/ Consultation Task</b>	<b>Date planned</b>	<b>Methods</b>	<b>Target Groups</b>	<b>EIA required</b>	<b>Lead Officer</b>
Derbyshire Dales Local Plan	April 2016 & September 2016	Consultation on Draft Derbyshire Dales Local Plan and Pre-Submission Draft Derbyshire Dales Local Plan	Local Residents Statutory Consultees Landowners, Developers & Agents	Y	Mike Hase
Business Engagement Programme- business forums	September 2016 and March 2017	Six monthly events of 2 hours, each on a specific theme plus workshops and networking.	Local businesses with growth plans	N/A	Giles Dann
Annual Business Survey – theme TBC- themed on ‘sites and premises’ for 2015	March 2017	On-line survey	Local businesses	N/A	Giles Dann
Evaluate local economic impact of Eroica Britannia 2016	July 2016	Surveys with partners (details TBC)	Businesses, participants and spectators	N/A	
How’s business survey	October 2016	On-line survey	Visitor economy businesses	N/A	Gill Chapman
Sports pitch & recreation strategy	TBC	Physical audit of existing provision and forecast of future need. Public consultation TBC	Local residents, sports groups and strategic health bodies	Y	Mike Hase
Performance indicators POL8 & POL9, N14& N15 % residents agreeing the Council provides value for money, satisfaction with how the Council runs things, feeling they can	TBC		Local residents	N	Steve Capes



Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA required	Lead Officer
influence decisions in their locality, satisfied with the area					
<b>Corporate Services</b>					
Customer Satisfaction Monitoring (internal & external) of Business Support services	Ongoing-after service delivery TBC	Online survey TBC	Local residents & stakeholders	N	Sandra Lamb
<b>Human Resources &amp; Payroll</b>					
TBC	TBC				

**BACK TO AGENDA**

**GOVERNANCE AND RESOURCES COMMITTEE**

24 March 2016

Report of the Head of Resources

**RESULTS OF CUSTOMER SATISFACTION SURVEYS FOR COUNCIL TAX AND HOUSING BENEFITS SERVICES**

**SUMMARY**

This report provides members with the results from customer satisfaction surveys for council tax and housing benefits services.

**RECOMMENDATION**

That Members note the survey results.

**WARDS AFFECTED**

None

**STRATEGIC LINK**

The services provided by under the Revenues and Benefits contract support the District Council’s corporate aims and its value: “to work in partnership to provide affordable, quality services”.

**1. BACKGROUND**

The need for customer satisfaction surveys for council tax and benefits was included in the Council’s Consultation and Engagement Plan for 2015/16. Customer satisfaction surveys have not previously been undertaken for these services.

Council tax and benefits services have been provided by Arvato since June 2013 under a partnership agreement.

**2. REPORT**

2.1 During January 2016, Council Tax customers and Benefit (housing benefit and council tax support) claimants were contacted by telephone and invited to take part in a short customer satisfaction survey to help us to continue to improve our services. For each service 100 service users took this opportunity to tell us about their experiences of using our services and discuss how we could improve them further.

2.2 The key survey results are set out in the table below:

Survey issue	Council Tax	Benefits
Overall satisfaction with the service (satisfied or very satisfied)	92%	91%
Overall satisfaction with service (very dissatisfied)	3%	1%
Method used to contact the service in the last 12 months	91% Telephone	54% Telephone 42% Visit Matlock Town Hall
If contact was by phone, was your query dealt with quickly? (agree or agree strongly)	100%	71%
If contact was by phone, did the person who took your call know what they were doing? (agree or agree strongly)	100%	74%
Was your last contact with the service resolved without you having to contact us again?	69% Yes	80 Yes
Have you visited our website in the last 12 months?	38% Yes	10% Yes
What would you change about the benefits service?	N/A	40% our letters 53% the time taken to deal with claims & changes of circumstance
Would you like to receive your benefits letters by email in future?	N/A	19% Yes
Would you like to receive your council tax bill by email in future?	52% Yes	N/A

### 3. RISK ASSESSMENT

#### Legal

The results of the survey provide useful feedback on the service. There are no legal considerations at this time.

#### Financial

There are no financial implications from this report. The financial risk is assessed as "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

Karen Henriksen, Head of Resources  
Telephone: 01629 761284  
e-mail: [karen.henriksen@derbyshiredales.gov.uk](mailto:karen.henriksen@derbyshiredales.gov.uk)

### 6. BACKGROUND PAPERS

Council Tax Customer Survey 2015/16  
Benefits Customer Survey 2015/16

**BACK TO AGENDA**

### 7. ATTACHMENTS - None