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11 January 2017

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 19 January 2017 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 of any apologies for absence and substitute arrangements.

2. APPROVAL OF MINUTES OF PREVIOUS MEETING

15 December 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.

5. QUESTIONS PURSUANT TO RULE OF PROCEDURE NUMBER 15

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

Page No.

6. INTERNAL AUDIT REPORTS CONCLUDED UNDER THE 2016/2017 OPERATIONAL AUDIT PLAN

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To consider the internal audit reports produced in respect of the 2016/2017 Internal Audit Plan and note the findings and conclusions of the internal audit reviews.

7. PROPOSED NEW SYSTEM OF INTERNAL AUDIT CONSORTIUM OPINION CLASSIFICATIONS

9 - 12

To consider a revised system of classification for the internal audit opinion to be introduced from the start of the 2017/18 internal audit plan year.

8. EXTERNAL REVIEW OF INTERNAL AUDIT

13 - 55

To receive and note a report on the external review of internal audit that took place at the beginning of October 2016 and to consider approval of the action plan put in place to address the recommendations arising from the review.

9. LAND HOLDINGS REVIEW – PHASE 6

56 - 76

To consider whether 6 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.

10. FEES AND CHARGES

77 - 111

To consider approval of the fees and charges as recommended in Appendices 1-11 of the report as from 1 April 2017.

11. DEVELOPMENT MANAGEMENT – PRE-APPLICATION ADVICE

112 - 116

To consider a recommendation to introduce charges for pre-application planning advice with effect from 1 April 2017.

12. MEMBER DEVELOPMENT WORKING GROUP

117 - 139

To consider a report on the Member Development Working Group's recommendations relating to mandatory and discretionary training for the remainder of 2016/17 and 2017/18.

13. UPDATE ON DATA PROTECTION HEALTH CHECK

140 - 144

To consider details of the Data Protection Health Check and approval of the Action Plan.

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

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

GOVERNANCE AND RESOURCES COMMITTEE
19 JANUARY 2017

Report of the Head of Resources

**INTERNAL AUDIT REPORTS CONCLUDED UNDER THE 2016/2017
OPERATIONAL AUDIT PLAN**

PURPOSE OF REPORT

This report asks the Committee to consider the internal audit reports produced in respect of the 2016/2017 Internal Audit Plan.

RECOMMENDATION

That the findings and conclusions of the internal audit reviews are noted.

WARDS AFFECTED

None

STRATEGIC LINK

Internal Audit's service aims and objectives are the provision of an independent service, which objectively examines, evaluates and reports to the Council and its management on the adequacy of the control environment. This contributes to the Council's core values of being open and transparent when making decisions and using public resources ethically and responsibly.

1 SUMMARY

1.1 The 2016/17 Operational Audit Plan was approved by the Governance and Resources Committee on 24 March 2016. 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 report details the results of the internal audit reviews undertaken during the year.

2 REPORT

- 2.1 Attached, as Appendix 1, is a summary of reports issued covering the period 27th August to the 16th December 2016, for audits included in the 2016/17 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 6 reports have been issued, 3 with a good opinion 2 with a satisfactory opinion and 1 with a marginal opinion. No reports were issued with an unsatisfactory opinion or unsound opinion. 6 recommendations have been made.
- 2.6 The marginal report was in respect of The Arc Leisure. The points arising were:-
- Entitlement to ongoing concessions that could be subject to a change of circumstance are not reviewed;
 - There is no procedure in place to ensure that the stock of small sales supplied as part of an awarded concession is adequately controlled;
 - Income was not being received from the supplier in relation to vending machine sales.
 - There were negative budget variances.

3 RISK ASSESSMENT

3.1 Legal

There are no legal considerations arising from the report

3.2 Financial

There are no financial considerations arising from the report.

3.3 Corporate Risk

There are no corporate risks to consider

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; Email: karen.henriksen@derbyshiredales.gov.uk

Sandra Lamb, Head of Corporate Services

Telephone: 01629 761281; Email: sandra.lamb@derbyshiredales.gov.uk

Jenny Williams, Internal Audit Consortium Manager

Telephone: 01246 345468; Email: Jenny.williams@chesterfield.gov.uk

6 BACKGROUND PAPERS

None

7 ATTACHMENTS

Appendix 1 - Summary of Internal Audit Reports Issued – 27th August 2016 to 16th December 2016

BACK TO AGENDA

DERBYSHIRE DALES DISTRICT COUNCIL

Internal Audit Consortium - Report to Governance and Resources Committee

Summary of Internal Audit Reports Issued – 27th August 2016 to 16th December 2016

Report Ref	Report Title	Scope and Objectives	Overall Opinion	Date		Number of Recommendations	
				Report Issued	Response Due	Made	Accepted
D010	Emergency Planning and Business Continuity	To ensure that emergency planning and business continuity arrangements are adequate	Good	14/09/2016	5/10/2016	0	0
D011	Partnerships Arrangements	To review the adequacy of the governance arrangements in place in respect of partnerships	Satisfactory	27/09/2016	11/10/2016	2M	2
D012	The Arc Leisure	To review the procedures and controls in place at the centre particularly in relation to income	Marginal	12/10/2016	2/11/2016	3H	2

Report Ref	Report Title	Scope and Objectives	Overall Opinion	Date		Number of Recommendations	
				Report Issued	Response Due	Made	Accepted
D013	Council Tax	To ensure that charges have been raised accurately and promptly and that collection procedures are operating effectively	Good	14/11/2016	5/12/2016	0	0
D014	National Non Domestic Rates	To ensure that bills are raised and collected promptly and accurately	Good	8/12/2016	6/01/2017	0	0
D015	Procurement	To ensure that there is a current strategy in place and that financial regulations and contract standing orders are being complied with.	Satisfactory	8/12/2016	6/01/2017	1H (6 parts)	1 (6 parts)

BACK TO AGENDA

GOVERNANCE AND RESOURCES COMMITTEE
19 JANUARY 2017

Report of the Head of Resources

PROPOSED NEW SYSTEM OF INTERNAL AUDIT CONSORTIUM OPINION CLASSIFICATIONS

PURPOSE OF REPORT

To report to Members for consideration and approval a revised system of classification for the internal audit opinions issued as the conclusion for each report issued.

RECOMMENDATIONS

- 1 That the revised internal audit report opinion classifications be introduced from the commencement of the 2017/18 internal audit plan year.

WARDS AFFECTED

None

STRATEGIC LINK

Assessing systems in terms of assurance and risk contributes to the Council's core values of being open and transparent when making decisions and using public resources ethically and responsibly.

1 SUMMARY

- 1.1 This report is proposing that consideration be given to changing the current internal audit report classifications to classifications based on levels of assurance and risk.

2 REPORT

- 2.1 The current internal audit report classifications have been utilised for many years and are as detailed in the table below:-

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.

- 2.2 Whilst the present system of classification is “tried and tested”, current best practice is to focus more on the level of assurance that can be given with regard to the area being audited. This links more closely with the annual governance statement.
- 2.3 The external reviewer of internal audit has also recommended considering moving towards providing levels of assurance linked to risk rather than retaining the current classifications.
- 2.4 The current system does have some disadvantages, such as;
- The words “satisfactory” and “marginal” have a negative tone;
 - It is relatively difficult to distinguish between the lowest 2 categories of “unsatisfactory” and “unsound” with the unsound category being rarely used.
- 2.5 The Midlands Audit Group was surveyed to establish the opinion classifications that are utilised by other Council’s. Whilst there were numerous slight variations, the common theme was that the majority use wording based around levels of assurance ranging from “full” “substantial” “moderate” “reasonable” “limited” “no” assurance etc.
- 2.6 Following a review of the systems of classification used by other Councils and discussions with the Council’s Head of Resources, it is proposed that a new system be adopted, based on four levels of classification focused on the level of assurance that can be provided.

2.7 The proposed classifications are as follows:-

Assurance Level	Definition
Substantial Assurance	There is a sound system of controls in place, designed to achieve the system objectives. Controls are being consistently applied and risks well managed.
Reasonable Assurance	The majority of controls are in place and operating effectively, although some control improvements are required. The system should achieve its objectives. Risks are generally well managed.
Limited Assurance	Certain important controls are either not in place or not operating effectively. There is a risk that the system may not achieve its objectives. Some key risks were not well managed.
Inadequate Assurance	There are fundamental control weaknesses, leaving the system/service open to material errors or abuse and exposes the Council to significant risk. There is little assurance of achieving the desired objectives.

2.8 The new system of classifications would be used on all internal audit reports issued and in the summary/annual reports brought to this committee.

3 RISK ASSESSMENT

3.1 Legal

There are no legal implications arising from this report.

3.2 Financial

There are no financial implications arising from this report.

3.3 Corporate Risk

There are no corporate risks to consider.

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; Email: karen.henriksen@derbyshiredales.gov.uk

Sandra Lamb, Head of Corporate Services

Telephone: 01629 761281; Email: sandra.lamb@derbyshiredales.gov.uk

Jenny Williams, Internal Audit Consortium Manager
Telephone: 01246 345468; Email: Jenny.williams@chesterfield.gov.uk

6 BACKGROUND PAPERS

None

7 ATTACHMENTS

None.

BACK TO AGENDA

GOVERNANCE AND RESOURCES COMMITTEE
19 JANUARY 2017

Report of the Head of Resources

EXTERNAL REVIEW OF INTERNAL AUDIT

PURPOSE OF REPORT

To provide information relating to the results of the external review of internal audit that took place at the beginning of October 2016.

RECOMMENDATIONS

- 1 That the results of the external review of internal audit be noted.
- 2 That the action plan that has been put in place to address the recommendations arising out of the review be approved.

WARDS AFFECTED

None

STRATEGIC LINK

Being able to demonstrate that the Council has in place an internal audit service that complies with the Public Sector Internal Audit Standards contributes to the Council's core values of being open and transparent when making decisions and using public resources ethically and responsibly.

1 SUMMARY

- 1.1 This report details the external review of internal audit. The review concludes that internal audit complies with the Public Sector Internal Audit Standards and makes some recommendations for further development of the service.

2 REPORT

- 2.1 The Public Sector Internal Audit Standards (PSIAS) were introduced from the 1st April 2013 and Internal Audit has been working to those standards since that date. The PSIAS require that internal and external assessments of internal audit must take place.
- 2.2 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 this Committee.

- 2.3 The PSIAS require that an external assessment of internal audit should be carried out at least once every 5 years by a qualified, independent assessor or team. The first external assessment needed to be completed by April 2018.
- 2.4 A tender exercise was carried out by the NHS procurement unit. The tender was assessed on the basis of 60% quality and 40% cost. Six parties submitted a tender which were analysed by a panel. The tender was awarded to Gateway Assure and the external assessment of internal audit was undertaken by Robin Pritchard from this company.
- 2.5 The assessor (Robin Pritchard) is CIPFA qualified and has 38 years internal audit experience including being Chief Internal Auditor at Staffordshire County Council and a national partner responsible for internal audit at a number of professional service firms. Robin joined Gateway Assure in September 2013 after spending 6 years as Head of Centre for Birmingham City University the leading academic provider of training and research to the internal audit and risk management professions. Robin is an experienced External Quality Assessor and has experience of assessing other Council's internal audit teams against the PSIAS.

Format of the assessment

- 2.6 The assessment took place at the beginning of October 2016 and involved a review of the audit section's documentation, working practices, committee reports and discussions with the Internal Audit Consortium Manager and Head of Resources. As part of this process the assessor reviewed a number of audit working papers.
- 2.7 This approach enabled the assessor to assess the Internal Audit section's conformance with the PSIAS against the recommended checklist and associated standards.

Results of the Review - Headlines

- 2.8 The report concludes that the Internal Audit Section complies with the expectations of the Public Sector Internal Audit Standards. This means that Members can have confidence in the service provided by internal audit. It is acknowledged that internal audit has significant experience allowing a robust internal audit standard to be maintained and delivered.
- 2.9 The outcome of the review has been benchmarked against other provision in both the sector and the wider industry and this shows that the section compares favourably in comparison with its peers (end of Appendix 1)
- 2.10 As would be expected, the report has made a number of recommendations that are aimed at highlighting where further development can be made to enhance the value of the service being provided.
- 2.11 The assessor's full report can be seen at Appendix 1.
- 2.12 Appendix 2 is an action plan that has been completed by the Internal Audit Consortium Manager in liaison with the Head of Resources.
- 2.13 Each of the assessor's recommendations has been graded to reflect the relative importance to the relevant standard within the PSIAS.

Recommendation grading	Explanation
Enhance	The internal audit Consortium must enhance its practice in order to demonstrate transparent alignment with the relevant PSIAS in order to demonstrate a contribution to the achievement of the organisations objectives in relation to risk management, governance and control.
Review	The Internal audit Consortium should review its approach in this area to better reflect the application of the PSIAS.
Consider	The internal audit Consortium should consider whether revision of its approach merits attention in order to improve the efficiency and effectiveness of the delivery of services

Key Points Arising out of the Review

2.14 The key theme throughout the report and associated recommendations is in relation to enhancing and developing the use of risk based auditing in order to be able to provide increased levels of assurance. The responses in the action plan at Appendix 2 detail how this will be achieved but actions include:-

- Annual audit plans to more clearly demonstrate the links to the strategic and operational risk registers;
- Identification of other sources of assurance that are available in addition to internal audit upon which the Council can place reliance;
- Greater discussion with managers at the commencement of an audit in terms of identifying the key risks to a service;
- Consideration of further risk management training for internal audit;
- Reviewing the terminology used for the opinion given at the end of an audit to reflect assurance and risk levels;
- Developing the annual audit opinion to incorporate all significant risks with a greater link to the significant risks as identified in the Annual Governance Statement, strategic risk register and from other sources of assurance.

2.15 Two recommendations received a red grading. The first red recommendation was:-

“There is a need for the Consortium to be able to provide assurance relating to the IT risks given the increased complexity of technology and associated controls. It is therefore essential that appropriate professional training is supported for a member of the team or that the service is acquired externally in order to deliver on the assurance needs of the consortium members”

2.16 Although the Consortium staff do not possess any formal IT qualifications, a number of IT audits are successfully carried out and pertinent recommendations made. Team members keep abreast of new IT threats and challenges through articles in professional journals and ad hoc training sessions. This is also a prime example of where assurance can be gained from other sources e.g. an external assessment has to take place for the Council to gain PSN accreditation.

2.17 A dedicated IT Auditor would be expensive and difficult to recruit. Training an existing member of staff would be a lengthy process and there is no guarantee that they would remain with the Consortium. Consideration will be given to using external specialist support if required. Derby City and Derbyshire County Council have dedicated IT auditors that may be able to provide this service.

2.18 The second red recommendation was:-

“In alignment with recommendations made earlier the internal audit plan should be constructed so that the IACM is able to provide a wider assurance to each Authority in support of the governance statement. Best practice is that the annual report should also contain reference to all significant risks and therefore co-ordination with and an understanding of issues being raised the range of assurances available is essential in order to meet this broader scope. In this way the annual report can be used to support the Council’s governance statement”.

2.19 The audit plan is already risk based however this process will continue to be refined with the audit plan being more demonstrably linked to the strategic and operational risk registers. The format of the annual audit opinion will be reviewed to ensure that it covers all significant risks as identified by the audit work undertaken, the annual governance statement, the strategic risk register and any other significant risks identified by other sources.

2.20 Other recommendations have been graded amber and green. Each recommendation has been responded to at Appendix 2.

3 RISK ASSESSMENT

3.1 Legal

There are no legal considerations arising from the report

3.2 Financial

There are no financial considerations arising from the report.

3.3 Corporate Risk

There are no corporate risks to consider

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; Email: karen.henriksen@derbyshiredales.gov.uk

Sandra Lamb, Head of Corporate Services

Telephone: 01629 761281; Email: sandra.lamb@derbyshiredales.gov.uk

Jenny Williams, Internal Audit Consortium Manager

Telephone: 01246 345468; Email: Jenny.williams@chesterield.gov.uk

6 BACKGROUND PAPERS

None.

7 ATTACHMENTS

Appendix 1 – External Review of Internal Audit Report

Appendix 2 – External Review of Internal Audit Action Plan

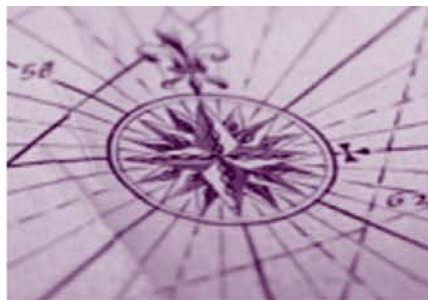
BACK TO AGENDA



Internal Audit Consortium

Internal Audit – External Quality Assessment

October 2016



The Internal Audit service for the Local Authorities of Chesterfield Borough Council (CBC), NE Derbyshire District Council (NEDC) and Bolsover District Council (BDC) is provided by a consortium arrangement which extends to provide an internal audit management support service to Derbyshire Dales District Council (DDDC). Under the leadership of Jenny Williams, Internal Audit Consortium Manager (IACM) the team have responded to the Public Sector Internal Audit Standards and have increasingly worked to a common methodology for delivery of internal audit services. Performance against the standard has been self-assessed on an annual basis and appropriate reports provided to member authority committee meetings.

The purpose of this review is to provide an external and independent quality review in accordance with standard 1312. We see this as not merely a compliance exercise and have also highlighted aspects of the service that we regard as best practice as well as summarised our thoughts as to where further development can be made to enhance the value of the service being provided.

The teams have significant experience, with a range of relevant qualifications and it has been recognised that there is a need to ensure a consistent approach to delivering assurance, as this is beneficial regarding communication with clients, working practices, reporting and therefore associated supervision and training needs. At a corporate level this is established through the presence of an Internal Audit Charter and an Internal Audit Manual which effectively define the standards to which the Consortium will carry out its work.

The report reflects our opinion regarding the services currently provided measured against the Public Sector Internal Audit Standards (PSIAS), which we trust will be of benefit to individual staff, the team and the local authorities serviced by the Consortium. Our observations and recommendations have been summarised within categories relating to the Resources, Competency, and Delivery and the team graded as being at one of three stages within each category, grades are related to our opinion as to whether the service is developing, established or excelling.

The outcome has been benchmarked against other provision in both the sector and the wider industry which shows that the team compares favourably in comparison to its peers.

The Consortium has responded to significant restructuring/merger of the team in recent years and through gradually moving towards a common approach that is consistent with the PSIAS.

The significant change within the PSIAS reflects the focus on a requirement to implement a risk based internal audit approach to all aspects of internal audit work – significantly in relation to planning at a strategic and assignment level as well as in reporting. The Consortium does adopt a risk based approach through the development of its own risk assessment at a strategic planning level and at an assignment level through testing schedules which the team feel reflect the key risks to which each authority and each system are exposed.

Nevertheless, all four authorities with which the Consortium is involved have developed risk management strategies and associated frameworks; two of which in accordance with best practice clearly define impact measures for risk and risk appetite. Whilst those at NEDDC and BDC contain definitions it is felt that greater clarity could be included (for example – values of financial risk) with refinement of what represents a “high priority” (a red graded risk) to reflect risk appetite and what may represent a catastrophic or major risk to each Council.

As a consequence, it would be beneficial for internal audit to increasingly align its processes with those of the host authority as this would promote effective communication, structure audit work on ‘what really matters’ and use risk as the basis for reporting. In this respect we have recommended that future opinions and recommendations relate directly to established risk definitions within each authority, with the current priority rating being used solely in terms of when recommendations are agreed to be acted upon.

As a result of the current processes, whilst risks in relation to reputational risk and sensitivity are considered, materiality tends to be the focus for assignments and reporting, with work having a tendency to focus on financial control issues rather than be fully risk based and directly aligned with the Council’s view of risk. This may lead to a failure to address the most significant issues that are being faced and/or addressed by the Council, where an accepted likelihood score assumes that effective controls are in place without gaining appropriate assurance. We do in this respect, recognise that resource reduction is a critical issue for local government services, however by focusing on risk this may change the emphasis of an assignment from one of financial controls to attainment of best value?

Increasing transparency within the Council risk management systems regarding the inherent risks being faced and upon those assurances available would allow internal audit to clearly define risks and key mitigating controls and therefore provide a robust basis for communication with managers and with other assurance providers, although different perceptions of risk appetite exist within the Councils involved.

Executive summary (cont)

Such development would further enable the IACM to develop assurance based opinions at an assignment and annual reporting level through consideration of the wider assurances available to each Council.

The Consortium has benefitted from a period of stability during which staff have remained consistent, and therefore a robust internal audit standard has been maintained and delivered using an experienced team. This has allowed the Consortium to demonstrate compliance with the PSIAS.

Nevertheless with increasing pressures on Council budgets, significant change to service delivery and as a result increasing risk; there is a need for the Consortium to enhance its delivery through greater awareness of the relevance of risk to both the Council and its own approach, in order to ensure that it focuses on the most appropriate areas and as a result demonstrates that it provides a service that effectively contributes towards the achievement of each Council's objectives.

Compliance with PSIAS

- **Resources**

Business Vision and Mission, Governance arrangements, Recognition of standards, Guidance, Procedures and Supervision, Terms of Engagement, Ethics and business conduct.

- **Competency**

Charter, Internal Audit Manual, Planning and Allocation of staffing, Recruitment (Numbers and skills), Training (Professional and Technical), Appraisal and Development

- **Delivery**

Client engagement and relationship, Directed led service, Terms of Engagement (Audit/Assignment Brief), Discussion of assurance and advisory opinions, Reporting at assignment and strategic levels

- The grading of recommendations is intended to reflect the relative importance to the relevant standard within the Public Sector Internal Audit Standards (PSIAS).


Recommendation grading	Explanation
Enhance	The internal audit Consortium must enhance its practice in order to demonstrate transparent alignment with the relevant PSIAS in order to demonstrate a contribution to the achievement of the organisations objectives in relation to risk management, governance and control.
Review	The Internal audit Consortium should review its approach in this area to better reflect the application of the PSIAS.
Consider	The internal audit Consortium should consider whether revision of its approach merits attention in order to improve the efficiency and effectiveness of the delivery of services





- In grading our recommendations, we have considered the wider environment within the Council in terms of both the degree of transformation that is currently taking place as well as our assessment of the level of risk maturity that currently exists as these will have a consequence for the conduct of internal audit planning as well as subsequent communication.

Summary of good practice identified within EQA


Standard	Good practice identified	Observation
1000	An Internal Audit Charter has been established and agreed with each Authority	The Charter is comprehensive and establishes an appropriate framework against which internal audit services can be delivered.
1100	The Consortium team members submit an annual declaration of interests which is reviewed by the IACM	Demonstrates a commitment to the delivery of an independent and objective service
1312	The Consortium has conducted annual self assessment exercises resulting in an annual development plan which is agreed by the host authorities.	Demonstrates a process and commitment to continuous improvement.
2020	Active engagement at officer and member level	Represents the establishment of a good understanding of key issues through interaction
2030	The NEDIAC routinely assesses its training needs and discusses requirements with the Consortium Joint Board	This represents a firm basis for the consideration of training and recruitment needs
2040	A detailed internal audit manual is in place	Provides for a consistent methodology
2060	Reports are produced using a standard template which is consistently applied. Customer feedback is routinely obtained following conduct of an audit.	Demonstration of a consistent approach for communication which is well received by management and the Audit Committee
2300	Audits are performed using an approach which is consistently applied	This supports a view that the internal audit team understand the standard processes and are trained in its use
2400	Reports are clear and express opinions in a manner that is understood by stakeholders. Reports containing more significant recommendations are presented to operational management meetings where felt appropriate	Reports are produced on a timely basis, with summaries being produced for Audit Committee attention




Business Vision and Mission, Governance arrangements, Recognition of standards, Guidance, Procedures and Supervision, Terms of Engagement, Ethics and business conduct.




	Issue identified	Recommended action
1	<p>Supervision Supervision of an internal audit assignment is not always evidenced within internal audit files. A formal file review document is completed by a supervisor following exit meetings or production of a draft report, with supervision during an audit being conducted through discussion and monthly 121 meetings.</p>	<p>The nominated supervisor should ensure and evidence that active supervision is maintained and documented throughout the assignment process through recording involvement and instructions on the review form.</p> <p>A suggested format for diarising supervision which is used within peer providers is attached as Appendix 1.</p> <p>File review forms should be introduced at DDDC as part of a standard approach.</p> 

	Issue identified	Recommended action
1	<p>Governance and standards</p> <p>The Internal Audit Manual is a comprehensive document which refers to the PSIAS but does not sufficiently reference the processes that audit staff should follow in conducting assignments to the various standards. We feel that this would help to elevate the understanding and status of internal audit if the key standards within the PSIAS were fully documented within the document.</p>	<p>The Internal Audit Manual could be beneficially improved by referring directly to those PSIAS standards that must be followed and providing detailed advice regarding expectations, particularly in respect of each area.</p> 
2	<p>Internal Audit Planning</p> <p>Whilst planning is based upon a risk model as required by the PSIAS, the process largely depends on an assessment devised by internal audit; this shows a financial bias and the use of different definitions of risk impact to those approved within the Council risk management strategy; rather than reflecting the wider and accepted risk issues being recognised by the Council.</p> <p>There should be a direct and identified link between the internal audit plan content discussed with Audit Committees which aligns with the Councils risk management systems; beneficially reflecting both identified controls and assurances available. The risk based reasoning for inclusion of the assignment in the audit plan should be evident (why is there a need for independent assurance?), and in turn this should drive the preparation of the terms of reference for each assignment as recorded within the Audit Brief.</p>	<p>a. Audit Plans should be constructed to achieve the objectives of the department as set out in the Internal Audit Charter and the audit planning process designed to reflect the same through transparent alignment with the Council wide approach to risk management.</p>  <p>b. The internal audit planning process should further identify other sources of assurance that are available and upon which Councils can place reliance.</p>  <p>c. The starting point for the development of the Audit Brief should be a preliminary discussion with management regarding the inherent and residual risks relevant to the audit area under review. It may aid assignment planning if the management objectives for the area under review were also identified. This should result in the formation of a direct link with the Authority's risk register and the key mitigating controls highlighted, thereby aiding the understanding and ability of members of the Audit Committee to contribute to the assurance agenda.</p> 



	Issue identified	Recommended action
3	<p>Training</p> <p>The department has an experienced team of internal audit staff whose training needs are assessed through regular 121 meetings and appraisal and development meetings. Most staff have a relevant qualification, although only the IACM and one other member of staff have a recognised CCAB or IIA certification.</p> <p>The team attend routine meetings of various groups locally and regionally and use is made of dedicated cost effective training that is available.</p> <p>The IACM ensures that available budgets are used to best effect.</p> <p>Whilst the IA team have identified technology related issues given the nature of cyber risk it is felt that this is a weakness that should be addressed.</p>	<p>a) Consideration should be given to those areas within the training matrix which reflect greatest need for routine mandatory training of a professional or technical nature. These may relate to areas such as Data Protection or Health and Safety, where it is important for all staff to have a firm understanding or specific training relating to internal audit such as risk based internal audit or reporting.</p> <p>b) There is a need for the Consortium to be able to provide assurance relating to IT risks given the increasing complexity of technology and associated controls. It is therefore essential that appropriate professional training is supported for a member of the team or that the service is acquired externally in order to deliver on the assurance needs of the consortium members.</p>




	Issue identified	Recommended action												
4	<p>Control evaluation</p> <p>The Consortium uses the following gradings for the assessment of controls included within the testing schedule.</p> <table border="1" data-bbox="235 579 979 899"> <thead> <tr> <th>Control Level</th> <th>Definition</th> </tr> </thead> <tbody> <tr> <td>Good</td> <td>A few minor recommendations (if any).</td> </tr> <tr> <td>Satisfactory</td> <td>Minimal risk; a few areas identified where changes would be beneficial.</td> </tr> <tr> <td>Marginal</td> <td>A number of areas have been identified for improvement.</td> </tr> <tr> <td>Unsatisfactory</td> <td>Unacceptable risks identified, changes should be made.</td> </tr> <tr> <td>Unsound</td> <td>Major risks identified; fundamental improvements are required.</td> </tr> </tbody> </table> <p>Our view would be that this represents an overly complex structure for expression of an opinion on the control environment and the nature of the issue identified against which a recommendation will be made.</p> <p>Standard practice is for each control to be assessed in terms of its adequacy and effectiveness, with the subsequent recommendation being graded as risk based (see Delivery 3b/c)</p>	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.	<p>The Consortium should consider the merits of moving to expression of the control in environment in the form of:-</p> <ol style="list-style-type: none"> The appropriateness of the control environment having regard to the significance of the risks involved – adequate/inadequate, and Whether the control is being consistently applied – effective/ineffective 
Control Level	Definition													
Good	A few minor recommendations (if any).													
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Unsatisfactory	Unacceptable risks identified, changes should be made.													
Unsound	Major risks identified; fundamental improvements are required.													

	Issue identified	Recommended action
1.	<p>Focus on pre-identified controls</p> <p>Assignments are dominated by previously identified controls emanating from the CIPFA control matrices which are then tested to specified testing levels rather than provide focus on significant risk and associated key controls identified and evaluated as part of the documentation process. Benefits would be achieved through increased focus on agreed 'local' key controls relating to business critical risks and then tested according to the materiality of their contribution to the Council's risk management framework.</p> <p>Whilst the current testing is robust, documented and well evidenced it may not provide assurance relating to the most significant risks to which the service is exposed.</p>	<p>Internal audit working papers should focus on major risks to the Council that have been identified and discussed with the auditee.</p> <p>Assignment briefs should therefore reflect assessment of risks as defined within the Councils risk impact definitions and then consider the controls that are required to mitigate that risk within the risk appetite of the Council.</p> <p>An example risk based Assignment Brief is included as Appendix 2.</p> 
2	<p>Methodology and use of walk-through tests</p> <p>For core financial systems, systems documentation exists and is well understood supported by flowcharts, in accordance with para 8.1.1 of the Internal Audit Manual. For other audits whilst it is accepted the system notes exist mostly in the form of notes within the evidence collected, files do not contain an outline of the system as specified in the internal audit manual as stage 4 of the above and there is therefore a reliance on previously constructed testing schedules to define the scope of the audit.</p> <p>As the risk environment, service provision, staff in post and therefore systems change it is considered important that each audit commences with providing a documented oversight of the component parts of the system in which key controls that are to be relied upon for the purposes of providing an opinion are documented and tested using a walk through test.</p>	<p>a. Auditors should complete at least a system note at the start of each audit in order to outline an overview of the processes being reviewed in order to aid understanding and the structure of the audit and provide an understanding of the system to aid supervision and the efficient conduct of future audits.</p>  <p>b. The internal audit manual should specify the minimum standards requirements for file structure and content for electronic files in order to aid supervision. These may be planning and communication, systems documentation and identified procedures, fieldwork (control summaries supported by testing and evidence) and reporting. (Refers to section 9.3.3 of the internal audit manual)</p> 

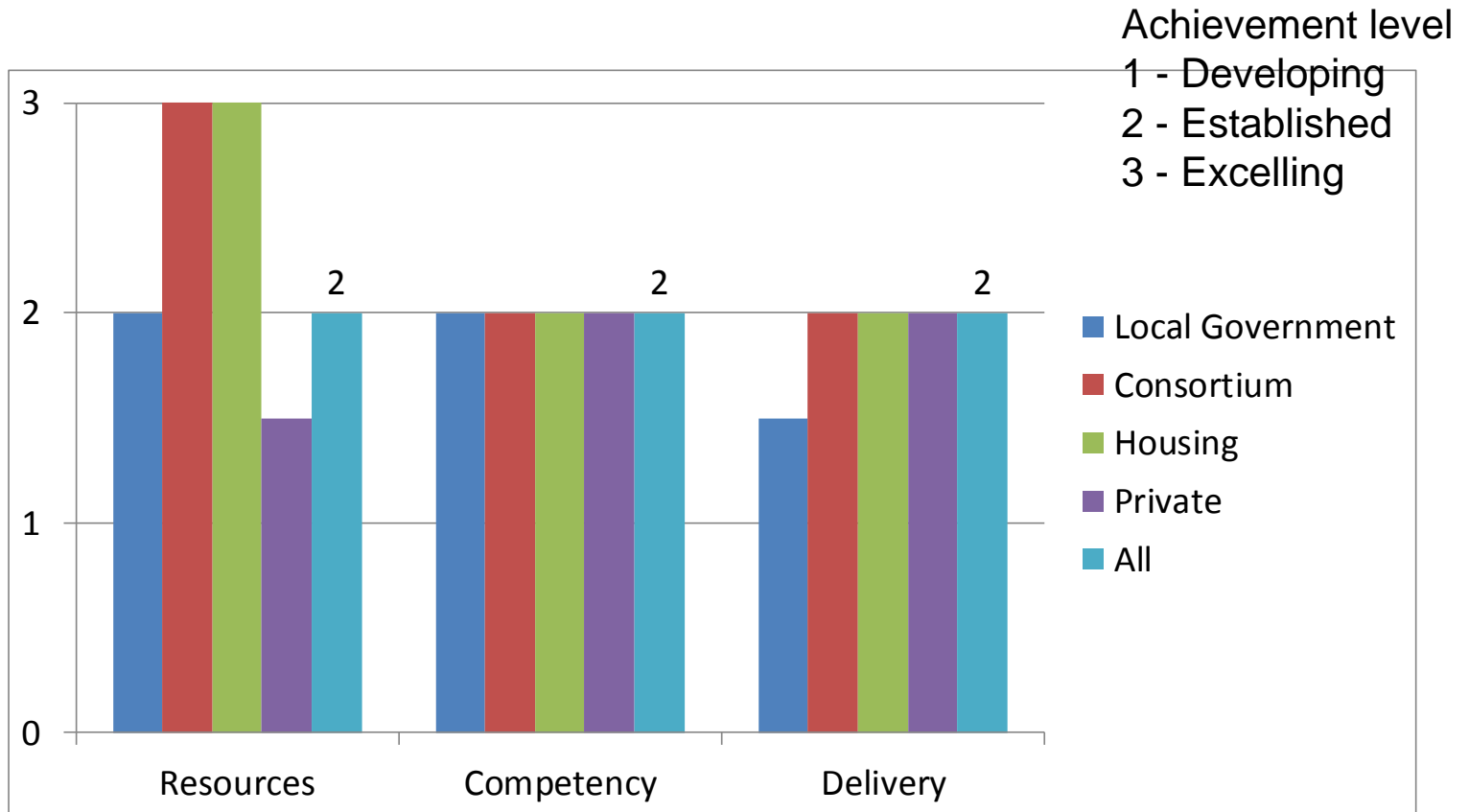
	Issue identified	Recommended action
3	<p>Audit Opinions - Recommendations</p> <p>These are currently developed and assessed by each internal auditor, and reviewed by the Audit Manager prior to release of the draft report (sometimes subsequent to discussion of findings at an 'exit meeting' at which the grading of recommendations may have been discussed). This system relies on personal judgement related to 'Priority' for which no definition exists to articulate the meaning of High, Medium or Low.</p> <p>The definitions used by internal audit to support opinions therefore lack clarity and should be more closely linked with each Authority's risk appetite and the definitions of impact risk being used to embed risk management thinking within the organisation.</p> <p>The basis for grading of recommendations should as a result influence the overall opinion for each audit directly, for example if a risk falling into a definition of the highest category is identified (potential for death, loss greater than £500k) then the assurance level given is reduced. Any risk of this nature should automatically trigger a negative audit opinion of 'limited assurance'.</p>	<p>a) Audit supervisors should formally evidence agreement of the grading of recommendations through supervision prior to the conduct of exit meetings. </p> <p>b) Risk definitions used by internal audit should be developed to reflect the risk appetite within each organisation, and the definitions of impact and likelihood used by the Council. These should be used by each internal auditor to grade the recommendation and discuss the level of risk to which the organisation is exposed with each auditee at the exit meeting. </p> <p>c) Consideration should be given to removing the need to include 'low' rated recommendations in formal audit reports; alternatively reflecting on these in a side letter to the manager. This would aid the profile of internal audit through concentrating on things that really matter in relation to significant risk as defined within risk management policies. </p>

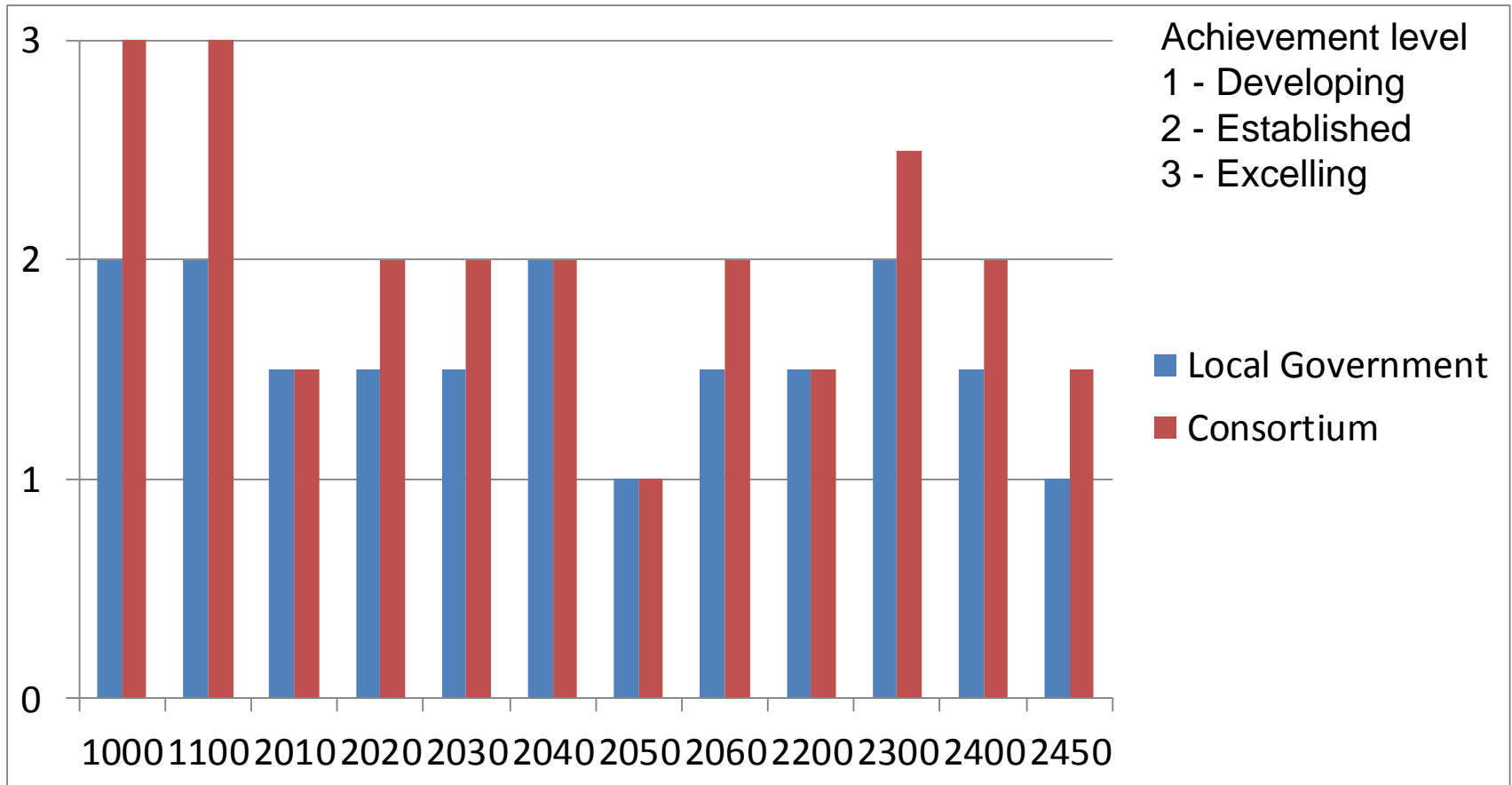
	Issue identified	Recommended action
4	<p><i>Audit Opinions - Overall opinions</i></p> <p>These are currently based upon the personal judgement of each auditor, within the definitions specified as relating and subject to review by the supervisor and IACM of the draft report prior to release.</p> <p>The overall opinion also appears to be loosely based on the aggregate number of recommendations made and not the level of risk identified. The current is for the opinion to reflect the reliability of the internal controls operating in the system / area reviewed was assessed as good* / satisfactory* / marginal* / unsatisfactory* / unsound*.</p> <p>Wider best practice provides for three levels of opinion being substantial, adequate or limited as this provides a clearer indication to stakeholders of the level of assurance that can be gained. This opinion can then be aligned directly with the nature of the risks being identified and the grading of those recommendations being made.</p>	<p>a) The grading of recommendations should be based upon the level of risk exposure identified within the review and reflect the highest ranked recommendation being reported upon.</p> <p>Best practice would reflect:</p> <ul style="list-style-type: none"> - Where a fundamental risk (red) is identified that no/limited assurance is given. - Where significant risks (amber) are identified then adequate assurance is given, and - Where 'merits attention' (green) risks are identified these are not referred to in the report and substantial assurance is given. <p>b) Reducing the levels of opinion to three would provide a clearer indication of the assurance being provided and represent a more straight-forward approach for internal audit staff to administer.</p>

	Issue identified	Recommended action
5	<p>Report format</p> <p>The Consortium currently provides a detailed report which is then summarised appropriately to inform other meetings within the Council at Officer and Member levels.</p> <p>It would not be appropriate to comment negatively on this approach particularly as positive feedback regarding internal audit performance can be seen in the return of satisfaction surveys during 2016/17 and was gained in meetings with officers as part of the EQA.</p> <p>However, internal audit reports are 'lengthy' and in developing an increasingly risk based approach consideration could be given to moving to an exceptions based executive summary highlighting significant risks.</p>	<p>The Consortium should consider whether focusing on risk as a basis for reporting would allow movement towards an 'executive summary' approach which highlights only significant risks.</p> <p>This may help further build the profile of internal audit and allow greater efficiency within the team through reducing the time consumed in report production and clearance.</p> 
6	<p>Auditee feedback</p> <p>At the time of the review feedback questionnaires had been received in respect of 24 audits undertaken during 2016/17, all received scores in excess of 80% with the only areas showing as requiring improvement relating to:-</p> <ul style="list-style-type: none"> - Were recommendations practical and useful, and - Sufficient to remedy weaknesses identified in the report 	<p>The IACM should continue to monitor feedback as it moves towards an increasingly risk focused so that as changes are made to internal audit practices; these can be aligned with improvements in the way internal audit value is perceived.</p> 

	Issue identified	Recommended action
7	<p>Annual Report</p> <p>The IACM produces an Annual Audit report which summarises the years work and includes analysis of performance. The opinion reflects <i>'In respect of the main financial systems, Appendix 1 shows that internal controls were found to be operating satisfactorily or well, giving an overall confidence in the internal control system operating in relation to these systems'</i>.</p> <p>The form required by the PSIAS requires a wider statement based upon the fullness of the assurances and knowledge available to the IACM which <i>'must also include significant risk exposures and control issues, including fraud risks, governance issues, and other matters needed or requested by senior management and the board'</i>.</p>	<p>In alignment with recommendations made earlier the internal audit plan should be constructed so that the IACM is able to provide a wider assurance to each Authority in support of the governance statement.</p> <p>Best practice is that the Annual Report should also contain reference to all significant risks and therefore co-ordination with and an understanding of issues being raised by the range of assurances available is essential in order to meet this broader scope.</p> <p>In this way the Annual Report can be used to support the Councils Governance Statement.</p> 
8	<p>Reports produced by the IACM</p> <p>It is considered good practice that the IACM is involved in conducting assignments particularly in relation to high risk areas but in such circumstances appropriate arrangements should be made for 'supervision' and clearance of reports.</p>	<p>In circumstances where the IACM undertakes a review personally arrangements should be made for a second person review of the file.</p> 
9	<p>Derbyshire Dales DC</p> <p>Whilst it is recognised that arrangements for this Council are outside of the core Consortium arrangements. It would be beneficial for the established internal audit processes contained within the Internal Audit Manual to be applied as this will aid consistency of approach, training and supervision.</p>	<p>Standardised procedures should be implemented regarding:</p> <ul style="list-style-type: none"> - The use of Audit Briefs, - Working paper review, and - The approach to IT audit 

1	RESOURCES		Excelling – Processes in this area are fully embedded within every day practices and reflect best practice that is at least consistent with PSIAS expectations.
2	COMPETENCY		Established – Processes in this area are embedded within every day practices, the EQA has identified a number of areas in which further development is desirable.
3	DELIVERY		Established – Processes in this area are embedded within every day practices, the EQA has identified a number of areas in which further development is desirable.





Key PSIAS Standards assessed

(for benchmarking purposes)

Standard		Focus
1000	Purpose, Authority and Responsibility	The purpose, authority, and responsibility of the internal audit activity must be formally defined in an internal audit charter, consistent with the Definition of Internal Auditing, the Code of Ethics, and the <i>Standards</i> . The chief audit executive must periodically review the internal audit charter and present it to senior management and the board for approval.
1100	Independence and Objectivity	The internal audit activity must be independent, and internal auditors must be objective in performing their work.
2010	Planning	The chief audit executive must establish risk-based plans to determine the priorities of the internal audit activity, consistent with the organisation's goals.
2020	Communication and approval	The chief audit executive must communicate the internal audit activity's plans and resource requirements, including significant interim changes, to senior management and the board for review and approval. The chief audit executive must also communicate the impact of resource limitations.
2030	Resource Management	The chief audit executive must ensure that internal audit resources are appropriate, sufficient, and effectively deployed to achieve the approved plan.
2040	Policies	The chief audit executive must establish policies and procedures to guide the internal audit activity.
2050	Co-ordination	The chief audit executive should share information and coordinate activities with other internal and external providers of assurance and consulting services to ensure proper coverage and minimize duplication of efforts.
2060	Reporting	The chief audit executive must report periodically to senior management and the board on the internal audit activity's purpose, authority, responsibility, and performance relative to its plan. Reporting must also include significant risk exposures and control issues, including fraud risks, governance issues, and other matters needed or requested by senior management and the board.
2200	Engagement planning	Internal auditors must develop and document a plan for each engagement, including the engagement's objectives, scope, timing, and resource allocations.
2300	Work programme	Internal auditors must identify, analyse, evaluate, and document sufficient information to achieve the engagement's objectives.
2400	Communicating results	Internal auditors must communicate the results of engagements
2450	Overall opinions	When an overall opinion is issued, it must ³⁷ take into account the expectations of senior management, the board, and other stakeholders and must be supported by sufficient, reliable, relevant, and useful information.

- The internal audit provision within the Councils of Chesterfield Borough Council, NE Derbyshire District Council, Bolsover District Council and Derbyshire Dales District Council (DDDC). complies with the expectations of the Public Sector Internal Audit Standards.
- There are a number of areas in which the service can be further improved in relation to the use of risk based auditing which will provide increased levels of assurance to the Councils and assist in improving its profile and the subsequent feedback that is received from clients:
 - the service should move to an approach that reflects full recognition of the risk factors recognised by the Councils both at a strategic planning level and when conducting assignments.
 - the use of opinions should be reviewed to better reflect the risk appetite of the Council and not be linked to a timescale (current priority rating); the emphasis should reflect identification and escalation of recommendations graded as significant that match risk definitions graded as 'red' or 'amber' within the various risk management systems.
 - the IACM should consider the need for a member of the team to gain a relevant IT audit qualification.
 - the further development of risk management systems to reflect a Board (Controls) Assurance Framework within each Council would enable greater recognition of key mitigating controls and the other sources of assurance with which internal audit effort should be co-ordinated in order to support the Governance Statements process.

Appendix 1

Example File Index, Audit Progress and Supervision Record

External Quality Assessment
Example File Index, Audit Progress and Supervision record

Audit ref: xx.xx Audit: Audit Year: 2016/17

File location (hyperlinks to be used where practical)	Date	Initials	Progress check (PSIAS 2360)
A Planning (PSIAS 2010/2200)			
A1 Audit Planning Brief (APB) prepared			
A1 APB approved by Chief Internal Auditor (CIA)**			
A2 APB issued to: - - - All APB's to go to s151 officer			
A3 APB – management comments received and addressed (reissue APB if required)			
A4 Draft Control Evaluation Matrix (CEM) (PSIAS 2210/2220) approved Supervisor/CIA			
B Fieldwork (PSIAS 2300)			
B1 CEM (and audit testing) completed			
B1.1 Control Matrix review points from Supervisor/CIA received and addressed			
B1.2 Review points regarding CEM from Supervisor/CIA received and addressed			
B2 Audit evidence (PSIAS 2330)			
B2.1 Audit evidence: (enter detail)			
B2.2 Audit evidence: (enter detail)			
B2.3 Audit evidence: (enter detail)			
All necessary audit evidence scanned to e-file and referenced			
C Reporting (PSIAS 2440)			
C1 Formal closing meeting with auditees held (within 5 working days of fieldwork completion)			
C2 Draft report prepared			
C2.1 Review points from Supervisor/CIA received and addressed (re-submit for review as required)			
C2.2 Draft report approved for issue by CIA			
C2.3 Draft report issued to all named respondents (within 10 working days of closing meeting)			
C3 Management responses/comments to draft report (received within 10 working days and addressed)			
C4 Final report (PSIAS 2450) prepared			
C4.1 Final comments from Supervisor/CIA received and addressed			
C4.2 Final report approved for issue by CIA			
C4.3 Final report issued in PDF format to:			

External Quality Assessment
Example File Index, Audit Progress and Supervision record

	- - - All reports to go to s151 officer (Issue within 5 working days of management responses)			
D File completion				
D1 Recommendations included on the Recommendation Tracker				
D2 Customer satisfaction questionnaire (PSIAS 2500/2600) issued				
D2.1 Responses received and addressed				
D2.2 Previous audit files destroyed in line with the Document Retention Policy.				
E File clearance (PSIAS 2340)				
E1 e-file sign off by Supervisor confirming sufficient, appropriate audit evidence on file and proper completion of this checklist				
E2 Useful corporate documents for planning – risk register, service plans etc placed in e planning file				
E3 Useful, sector-specific reference materials – included on KnowledgeSpace – such as www.gov.uk, professional bodies etc.				
E4 Other thoughts regarding this assignment:				

Example Audit Brief and Control Summary



Assignment Brief

Client			
Assignment			
Audit Year:		Audit Ref:	

Management Objective for the System			
Key Risks <small>Identified from the Risk Register, discussions with management & Knowledge Base</small>	Key Controls (to mitigate risk) <small>To include expected controls, those identified through discussion with client and documentation of processes</small>	Conclusion <small>In terms of adequate and effective mitigation of the risk identified</small>	Report <small>Reference</small>
1			
2			
3			
4			
Audit Approach			

Report Title:	External Review of Internal Audit (October 2016)		

Issue Identified	Recommended Action – Red, Amber Green	Agreed	To be Implemented By:		Comments
			Officer	Date	
RESOURCES Supervision Supervision of an internal audit assignment is not always evidenced within internal audit files. A formal file review document is completed by a supervisor following exit meetings or production of a draft report, with supervision during an audit being conducted through discussion and monthly 121 meetings.	The nominated supervisor should ensure and evidence that active supervision is maintained and documented throughout the assignment process through recording involvement and instructions on the review form. A suggested format for diarising supervision which is used within peer providers is attached as Appendix 1 File review forms should be introduced at DDDC as part of a standard approach.	Part	IAC Manager/ Senior Auditors	Ongoing	There is already a formal review process in place. A standard file review form is completed at the end of an audit that records any queries/issues/further work required that are outstanding. Once these issues have been satisfactorily resolved the review form is signed off and the close out meeting can be held with the relevant manager. Teams are small and there is regular dialogue amongst team members as an audit progresses. It is felt that recording these conversations would be time consuming and wouldn't add anything to the process. However, if any significant issues arise during audits then these will be documented as part of the file review.
		Y	IAC Manager	Immediate	Internal Audit Consortium Manager to introduce file review forms at DDDC

Issue Identified	Recommended Action – Red, Amber Green	Agreed	To be Implemented By:		Comments
			Officer	Date	
<p>COMPETENCY</p> <p>Governance and standards The Internal Audit Manual is a comprehensive document which refers to the PSIAS but does not sufficiently reference the processes that audit staff should follow in conducting assignments to the various standards. We feel that this would help to elevate the understanding and status of internal audit if the key standards within the PSIAS were fully documented within the document.</p>	<p>The Internal Audit Manual could be beneficially improved by referring directly to those PSIAS standards that must be followed and providing detailed advice regarding expectations, particularly in respect of each area.</p>	Y	IAC Manager	August 2017	IAC Manager to review and update audit manual to include more detail in respect of specific PSIAS standards. Internal audit staff all have a copy of the standards however a copy of the PSIAS Standards will be appended in the audit manual
<p>COMPETENCY</p> <p>Internal Audit Planning Whilst planning is based upon a risk model as required by the PSIAS, the process largely depends on an assessment devised by internal audit; this shows a financial bias and the use of different definitions of risk impact to those approved within the Council risk management strategy; rather than reflecting the wider and accepted risk issues being recognised by the</p>	<p>a) Audit Plans should be constructed to achieve the objectives of the department as set out in the Internal Audit Charter and the audit planning process designed to reflect the same through transparent alignment with the Council wide approach to risk management.</p>	Yes	IAC Manager	For 17/18 IA Plan	<p>The Council's strategic and operational risk registers are already used to inform the audit plan. The IAC Manager sits on risk management groups. Directors, Service Managers and the Risk management Group are consulted in respect of the content of the plan.</p> <p>Areas in the plan are already identified as High, Medium or Low risk however the 2017/18 Internal Audit plan will be presented to more clearly demonstrate the links with the Council's risk registers.</p> <p>Non- financial areas are already</p>

Issue Identified	Recommended Action – Red, Amber Green	Agreed	To be Implemented By:		Comments
			Officer	Date	
<p>Council. There should be a direct and identified link between the internal audit plan content discussed with Audit Committees which aligns with the Council's risk management systems; beneficially reflecting both identified controls and assurances available. The risk based reasoning for inclusion of the assignment in the audit plan should be evident (why is there a need for independent assurance?) and in turn this should drive the preparation of the terms of reference for each assignment as recorded within the Audit Brief.</p>					<p>identified for review e.g. health and safety, safeguarding, gas servicing. A number of other Council's audit plans have been obtained and this has not identified any significant gaps in the Consortium's audit plans. There are a range of other assurances in place including the Performance Management Framework and the Annual Governance Statement which provide assurance and identify potential weakness. The process will continue to be refined.</p>
	b)The internal audit planning process should further identify other sources of assurance that are available and upon which Councils can place reliance.	Y	IAC Manager	August 2017	<p>IAC Manager to meet with Directors/Heads of Service/ raise at CMT/quarterly Directorate meetings to identify and document other sources of assurance that are available upon which the Council can place reliance. The results of this exercise can then be used to further inform the basis for the internal audit plan.</p>
	c) The starting point for the development of the Audit Brief should be a preliminary discussion with management regarding the inherent and residual risks relevant to the audit area under review. It may aid assignment planning if the management objectives for	Y	IAC Manager/ Senior Auditors	April 2017	<p>In the majority of cases a start- up meeting is already held with managers and the audit coverage discussed. The current audit brief and start up meeting can be developed to focus more upon the risks associated with the areas being tested/key controls and any links to operational risk registers and service plans.</p>

Issue Identified	Recommended Action – Red, Amber Green	Agreed	To be Implemented By:		Comments
			Officer	Date	
	the area under review were also identified. This should result in the formation of a direct link with the Authority's risk register and the key mitigating controls highlighted, thereby aiding the understanding and ability of members of the Audit Committee to contribute to the assurance agenda.				
<p>COMPETENCY</p> <p>Training The department has an experienced team of internal audit staff whose training needs are assessed through regular 121 meetings and appraisal and development meetings. Most staff have a relevant qualification, although only the IACM and one other member of staff have a recognised CCAB or IIA certification. The team attend routine meetings of various groups locally and regionally and use is</p>	a) Consideration should be given to those areas within the training matrix which reflect greatest need for routine mandatory training of a professional or technical nature. These may relate to areas such as Data Protection or health and Safety where it is important for all staff to have a firm understanding or specific training relating to internal audit such as risk based internal audit or reporting.	Y	IAC Manager	Ongoing	Audit staff have regular data protection and safeguarding training and undertake corporate training as available/required. The Consortium will continue to take advantage of the Corporate training provided. Consideration will continue to be given to the provision of other training in relation to technical and professional areas within the confines of the budget available. Consideration will be given to further risk training for the audit team. One member of the team is studying for their IIA qualification.

Issue Identified	Recommended Action – Red, Amber Green	Agreed	To be Implemented By:		Comments
			Officer	Date	
<p>made of dedicated cost effective training that is available. The IACM ensures that available budgets are used to best effect.</p> <p>Whilst the IA team have identified technology related issues given the nature of cyber risk it is felt that this is a weakness that should be addressed.</p>	<p>b) There is a need for the Consortium to be able to provide assurance relating to IT risks given the increasing complexity of technology and associated controls. It is therefore essential that appropriate professional training is supported for a member of the team or that the service is acquired externally in order to deliver on the assurance needs of the consortium members.</p>	Y	IAC Manager	As required	<p>Consideration will be given to the identification and utilisation of external specialist support e.g. DCC or Derby City internal auditors where it is felt this is required.</p> <p>All four Councils are currently subject to independent PSN compliance on an annual basis which provides robust independent assurance concerning those aspects of the network covered by this testing.</p>
<p>COMPETENCY</p> <p>Control evaluation The IAC uses the following gradings for the assessment of controls included within the testing schedule.</p> <p>Good – A few minor recommendations (if any) Satisfactory – minimal risk; a few changes identified where changes would be beneficial Marginal – a number of areas have been identified for improvement Unsatisfactory – Unacceptable</p>	<p>The Consortium should consider the merits of moving to expression of the control in environment in the form of:-</p> <p>a) The appropriateness of the control environment having regard to the significance of the risks involved – adequate/inadequate, and</p> <p>b) Whether the control is being consistently applied – effective/ineffective</p>	Y	IAC Manager	April 17	<p>The IAC Manager to investigate alternative assessment wording based on levels of assurance. Consideration to be given to introducing revised assessment terminology from April 2017. Any proposals will be subject to discussions with the Audit Committees of the four Councils concerned to ensure a standard grading approach is retained.</p> <p>Client officers are however of the view that the existing grading arrangements do serve to give them a clear view of the position in respect of each service and that the use of 5 categories does</p>

Issue Identified	Recommended Action – Red, Amber Green	Agreed	To be Implemented By:		Comments
			Officer	Date	
<p>risks identified, changes should be made</p> <p>Unsound – Major risks identified; fundamental improvements are required</p> <p>Our view would be that this represents an overly complex structure for expression of an opinion on the control environment and the nature of the issue identified against which a recommendation will be made. Standard practice is for each control to be assessed in terms of its adequacy and effectiveness, with the subsequent recommendation being graded as risk based (see Delivery 3b/c)</p>					<p>allow an accurate summary. They are able to focus on the three weaker assessments as those areas which have significant issues/ risks which need to be addressed. In this sense the current 5 level grading system provides a clear picture of where action is necessary.</p> <p>However, current thinking is to grade reviews based on levels of assurance.</p>
<p>DELIVERY</p> <p>Focus on pre-identified controls</p> <p>Assignments are dominated by previously identified controls emanating from CIPFA control matrices which are then tested to specified testing levels rather than provide focus on significant risk and associated key controls</p>	<p>Internal audit working papers should focus on major risks to the Council that have been identified and discussed with the auditee.</p> <p>Assignment briefs should therefore reflect assessment of risks as defined within the Councils risk impact definitions and then</p>	Part	IAC Manager/ Senior Auditors	Ongoing	<p>The basis of most test schedules have been derived from CIPFA control matrices and therefore cover the most significant risks as well as a range of other controls. The audit testing to be undertaken is discussed with the relevant manager at the start of the audit and updated following these discussions to include any concerns/ areas of risk identified by the manager. The test schedules also cover areas</p>

Issue Identified	Recommended Action – Red, Amber Green	Agreed	To be Implemented By:		Comments
			Officer	Date	
<p>identified and evaluated as part of the documentation process. Benefits would be achieved through increased focus on agreed “local” key controls relating to the business critical risks and then tested according to the materiality of their contribution to the Council’s risk management framework. Whilst the current testing is robust, documented and well evidenced it may not provide assurance relating to the most significant risks to which the service is exposed.</p>	<p>consider the controls that are required to mitigate that risk within the risk appetite of the Council.</p> <p>An example risk based Assignment Brief is included as Appendix 2.</p>				<p>that may not be “major” risks but are non the less still important.</p> <p>Audit briefs and opening meetings with managers can be developed to focus more on risk areas and more specific links to operational risk registers and service plans. Audit test schedules to continue to be adapted to reflect these risks.</p> <p>Consideration will be given to further risk training for the audit team.</p>

Issue Identified	Recommended Action – Red, Amber Green	Agreed	To be Implemented By:		Comments
			Officer	Date	
<p>DELIVERY</p> <p>Methodology and use of walk-through tests For core financial systems, systems documentation exists and is well understood supported by flowcharts, in accordance with para 8.1.1 of the Internal Audit Manual. For other audits whilst it is accepted the system notes exist mostly in the form of notes within the evidence collected, files do not contain an outline of the system as specified in the internal audit manual as stage 4 of the above and there is therefore a reliance on previously constructed testing schedules to define the scope of the audit. As the risk environment, service provision, staff in post and therefore systems change it is considered important that each audit commences with providing a documented oversight of the component parts of the system in which key controls that are to be relied upon for the purposes of providing an opinion are documented and tested using a walk through test.</p>	<p>a. Auditors should complete at least a system note at the start of each audit in order to outline an overview of the processes being reviewed in order to aid understanding and the structure of the audit and provide an understanding of the system to aid supervision and the efficient conduct of future audits.</p>	Part	All audit staff	April 17	<p>A permanent file will be set up for each area of review in to which system notes, flow charts, staffing structures etc. will be saved.</p> <p>Sample documentation and system, notes are already routinely placed on file to evidence the processes in place whilst undertaking sample testing.</p>
	<p>b. The internal audit manual should specify the minimum standards requirements for file structure and content for electronic files in order to aid supervision. These may be planning and communication, systems documentation and identified procedures, fieldwork (control summaries supported by testing and evidence) and reporting. (Refers to section 9.3.3 of the internal audit</p>	Y	IAC Manager	August 17	<p>The structure of the electronic files for each audit review will be developed to ensure a consistency of approach amongst the Consortium members.</p>

Issue Identified	Recommended Action – Red, Amber Green	Agreed	To be Implemented By:		Comments
			Officer	Date	
	manual)				
DELIVERY Audit Opinions - Recommendations These are currently developed and assessed by each internal auditor, and reviewed by the Audit Manager prior to release of the draft report (sometimes subsequent to discussion of findings at an 'exit meeting' at which the grading of recommendations may have been discussed). This system relies on personal judgement	a)Audit supervisors should formally agree the grading of recommendations prior to the conduct of exit meetings.	Y	IAC Manager/ Senior Auditors	Ongoing	This is already completed as part of the file review process.

Issue Identified	Recommended Action – Red, Amber Green	Agreed	To be Implemented By:		Comments
			Officer	Date	
<p>related to 'Priority' for which no definition exists to articulate the meaning of High, Medium or Low.</p> <p>The definitions used by internal audit to support opinions therefore lack clarity and should be more closely linked with each Authority's risk appetite and the definitions of impact risk being used to embed risk management thinking within the organisation. The basis for grading of recommendations should as a result influence the overall opinion for each audit directly, for example if a risk falling into a definition of the highest category is identified (potential for death, loss greater than £500k) then the assurance level given is reduced. Any risk of this nature should automatically trigger a negative audit opinion of 'limited assurance'.</p>	<p>b) Risk definitions used by internal audit should be developed to reflect the risk appetite within each organisation, and the definitions of impact and likelihood used by the Council. These should be used by each internal auditor to grade the recommendation and discuss the level of risk to which the organisation is exposed with each auditee at the exit meeting</p>	Y	IAC Manager	April 17	<p>Definitions will be developed for High, Medium and Low internal audit recommendations linked to risk. This will aid in reducing subjectivity and increase consistency.</p> <p>It is also important that the audit reports identify and report all significant risk. Management can then take an informed view as to whether to accept or reject such risk, and to ask the question as to whether the risk appetite should be reviewed.</p>
	<p>c) Consideration should be given to removing the need to include 'low' rated recommendations in formal audit reports; alternatively reflecting on these in a side letter to the manager. This would aid the profile of internal audit through concentrating on things that really matter in relation to significant risk as defined within risk management policies.</p>	N			<p>This approach would lead to the risk that low priority recommendations are not even considered by managers. Managers can already disagree recommendations if they feel the risk is too low given the resource available etc.</p> <p>It is up to managers to set the risk appetite of the Council.</p>

Issue Identified	Recommended Action – Red, Amber Green	Agreed	To be Implemented By:		Comments
			Officer	Date	
<p>DELIVERY</p> <p><i>Audit Opinions - Overall opinions</i> These are currently based upon the personal judgement of each auditor, within the definitions specified as relating and subject to review by the supervisor and IACM of the draft report prior to release. The overall opinion also appears to be loosely based on the aggregate number of recommendations made and not the level of risk identified. The current is for the opinion to reflect the reliability of the internal controls operating in the system / area reviewed was assessed as good* / satisfactory* / marginal* / unsatisfactory* / unsound*.</p>	<p>a) The grading of recommendations should be based upon the level of risk exposure identified within the review and reflect the highest ranked recommendation being reported upon. Best practice would reflect: - Where a fundamental risk (red) is identified that no/limited assurance is given. - Where significant risks (amber) are identified then adequate assurance is given, and - Where 'merits attention' (green) risks are identified these are not referred to in the report and substantial assurance is given</p>	Part	IAC Manager	April 17	Definitions will be developed for the use of High, Medium and Low when grading recommendations. This will help to ensure consistency based on levels of risk.

Issue Identified	Recommended Action – Red, Amber Green	Agreed	To be Implemented By:		Comments
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Wider best practice provides for three levels of opinion being substantial, adequate or limited as this provides a clearer indication to stakeholders of the level of assurance that can be gained. This opinion can then be aligned directly with the nature of the risks being identified and the grading of those recommendations being made.	b) Reducing the levels of opinion to three would provide a clearer indication of the assurance being provided and represent a more straight-forward approach for internal audit staff to administer.	Part	IAC Manager	April 17	Consideration will be given to alternative wording for audit opinions based on assurance and risk levels. The Midlands Audit Group has been surveyed to establish the levels of audit opinion utilised by other audit sections. After consultation with client officers and consortium staff it is felt that four levels of opinion is more appropriate. A report will be taken to the January 17 Audit Committees in respect of a proposed revised levels of opinion based on assurance levels.
DELIVERY Report format The Consortium currently provides a detailed report which is then summarised appropriately to inform other meetings within the Council at Officer and Member levels. It would not be appropriate to comment negatively on this approach particularly as positive feedback regarding internal audit performance can be seen in the return of satisfaction surveys during 2016/17 and was gained	The Consortium should consider whether focusing on risk as a basis for reporting would allow movement towards an 'executive summary' approach which highlights only significant risks. This may help further build the profile of internal audit and allow greater efficiency within the team through reducing the time consumed in report production and clearance.	N			Managers have not liked this approach in the past as reports were seen as focusing purely on the negative. Current feedback from customer satisfaction surveys on the current reporting style is positive. Where a marginal or worse conclusion is reached the main issues / risks will be summarised in a paragraph under the conclusion. The majority of reports are already short.

Issue Identified	Recommended Action – Red, Amber Green	Agreed	To be Implemented By:		Comments
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in meetings with officers as part of the EQA. However, internal audit reports are 'lengthy' and in developing an increasingly risk based approach consideration could be given to moving to an exceptions based executive summary highlighting significant risks.					
DELIVERY Auditee feedback At the time of the review feedback questionnaires had been received in respect of 24 audits undertaken during 2016/17, all received scores in excess of 80% with the only areas showing as requiring improvement relating to:- <ul style="list-style-type: none"> - Were recommendations practical and useful, and - Sufficient to remedy weaknesses identified in the report 	The IACM should continue to monitor feedback as it moves towards an increasingly risk focused so that as changes are made to internal audit practices; these can be aligned with improvements in the way internal audit value is perceived.	Y	IAC Manager	March 18	All customer satisfaction surveys are reviewed with a view to taking on board any learning points. Surveys are also used as a discussion point with Auditors at EPD's and 1:1's As the Consortium further develops risk based auditing the customer satisfaction survey will be reviewed to ensure that it is still collecting relevant feedback.
DELIVERY Annual Report The IACM produces an Annual Audit report which summarises	In alignment with recommendations made earlier the internal audit plan should be constructed so that the IACM is able to	Y	IAC Manager	2016/17 audit opinion	The internal audit work during the year is used as the basis upon which to formulate the annual audit opinion. The audit plan is risk based and devised to cover a broad range of the

Issue Identified	Recommended Action – Red, Amber Green	Agreed	To be Implemented By:		Comments
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<p>the years' work and includes analysis of performance. The opinion reflects <i>'In respect of the main financial systems, Appendix 1 shows that internal controls were found to be operating satisfactorily or well, giving an overall confidence in the internal control system operating in relation to these systems'</i>. The form required by the PSIAS requires a wider statement which <i>'must also include significant risk exposures and control issues, including fraud risks, governance issues, and other matters needed or requested by senior management and the board'</i>.</p>	<p>provide a wider assurance to each Authority in support of the governance statement.</p> <p>Best practice is that the Annual Report should also contain reference to all significant risks and therefore co-ordination with and an understanding of issues being raised the range of assurances available is essential in order to meet this broader scope.</p> <p>In this way the Annual report can be used to support the Council's Governance Statement.</p>				<p>Council's activities and functions. This enables the IAC Manager to produce an opinion on the control environment as a whole.</p> <p>However, the annual internal audit opinion will be developed to take in to account other significant risks that may not have been covered by the audit plan in a particular year. The Annual Governance Statement and strategic risk register will be utilised to do this.</p>
<p>DELIVERY</p> <p>Reports produced by the IACM It is considered good practice that the IACM is involved in conducting assignments particularly in relation to high risk areas but in such circumstances appropriate arrangements should be made for 'supervision' and clearance of reports.</p>	<p>In circumstances where the IACM undertakes a review personally arrangements should be made for a second person review of the file.</p>	Y	Senior Auditors	Immediate	Where the IAC Manager undertakes an audit, a quality review will be undertaken by a senior Auditor

Issue Identified	Recommended Action – Red, Amber Green	Agreed	To be Implemented By:		Comments
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<p>DELIVERY</p> <p>Derbyshire Dales DC Whilst it is recognised that arrangements for this Council are outside of the core Consortium arrangements. It would be beneficial for the established internal audit processes contained within the Internal Audit Manual to be applied as this will aid consistency of approach, training and supervision.</p>	Standardised procedures should be implemented regarding: <ul style="list-style-type: none"> - The use of Audit Briefs, - Working paper review, and - The approach to IT audit 	Y	IAC Manager and Senior Auditor	Immediate	

BACK TO AGENDA

GOVERNANCE AND RESOURCES COMMITTEE
19 JANUARY 2017

Report of the Corporate Director and Deputy Chief Executive

LAND HOLDINGS REVIEW – PHASE 6

PURPOSE OF REPORT

Phase 6 of the Land Holdings Review covers 6 sites across the District in which 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

- 1 Sites 4 and 6 be disposed of as indicated in Appendix 1 of this report.
- 2 Site 1 be disposed of as previously agreed (Item 12, 24 March 2016) but with the boundary as indicated in Appendix 1 of this report.
- 3 Sites 2 and 3 be disposed of /transferred subject to Public Open Space (POS) consultation as indicated in Appendix 1 of this report.
- 4 That Site 5 be acquired as indicated in the Appendix 1 of this report.

WARDS AFFECTED

Ashbourne South, Matlock All Saints, Stanton, Darley Dale

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 6 of the Land Holdings Review covers 6 sites across the District in which 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, transferred, acquired or sold and the terms which would apply.

1.2 Public Open Space Consultation

Under Section 123 of the Local Government Act, there is a requirement to undertake Public Open Space advertising on any disposal of any land falling within this category. This relates to sites nos. 2 and 3. Should no objections be received, the sales can proceed. However, should any objections be received these must be referred to the relevant Committee for consideration.

1.3 Review Procedure

An appraisal of each site has taken place comprising advice on any planning constraints, legal restrictions and maintenance liabilities plus an assessment of any health and safety risks.

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

1.4 Summary of Outcome

5 no. sites are recommended for disposal/transfer (sites 1-4 and 6)
1 no. site is recommended for acquisition (site 5)

1.5 Consultation

Where it is recommended that a site be sold, the relevant Local Council and Ward Members have been consulted and any responses received will be reported at the meeting.

1.6 Planning Consents

In each case of disposal the purchaser would be responsible for making any necessary planning application at their cost to enable their desired use of the site. The decision at this meeting is entirely without prejudice to any future decisions on such applications by this Council as Planning Authority.

2 RISK ASSESSMENT

2.1 Legal

The Council has a duty under S123 of the Local Government Act 1972 to dispose of assets for the best price reasonably obtainable and advertise public open space disposals to consider public opinion.

The purchasers would 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 disposals that are recommended in this report are expected to generate receipts, as set out in Appendix 1. Individual receipts that are for £10,000 or more will be treated as capital receipts; individual receipts for less than £10,000 will be

credited to the General Reserve. The acquisition is at peppercorn only. As well as bringing in some income, these disposals also remove a liability for maintenance of the sites.

The costs involved in dealing with expressions of interest (mainly officer time) can be met from existing budgets. All of the Council's legal costs will be reimbursed by third parties.

The financial risk is assessed as "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 761207 E-mail: mike.galsworthy@derbyshiredales.gov.uk

5 BACKGROUND PAPERS

Property Services File – Land Holdings Review

6 ATTACHMENTS

Appendix 1

BACK TO AGENDA

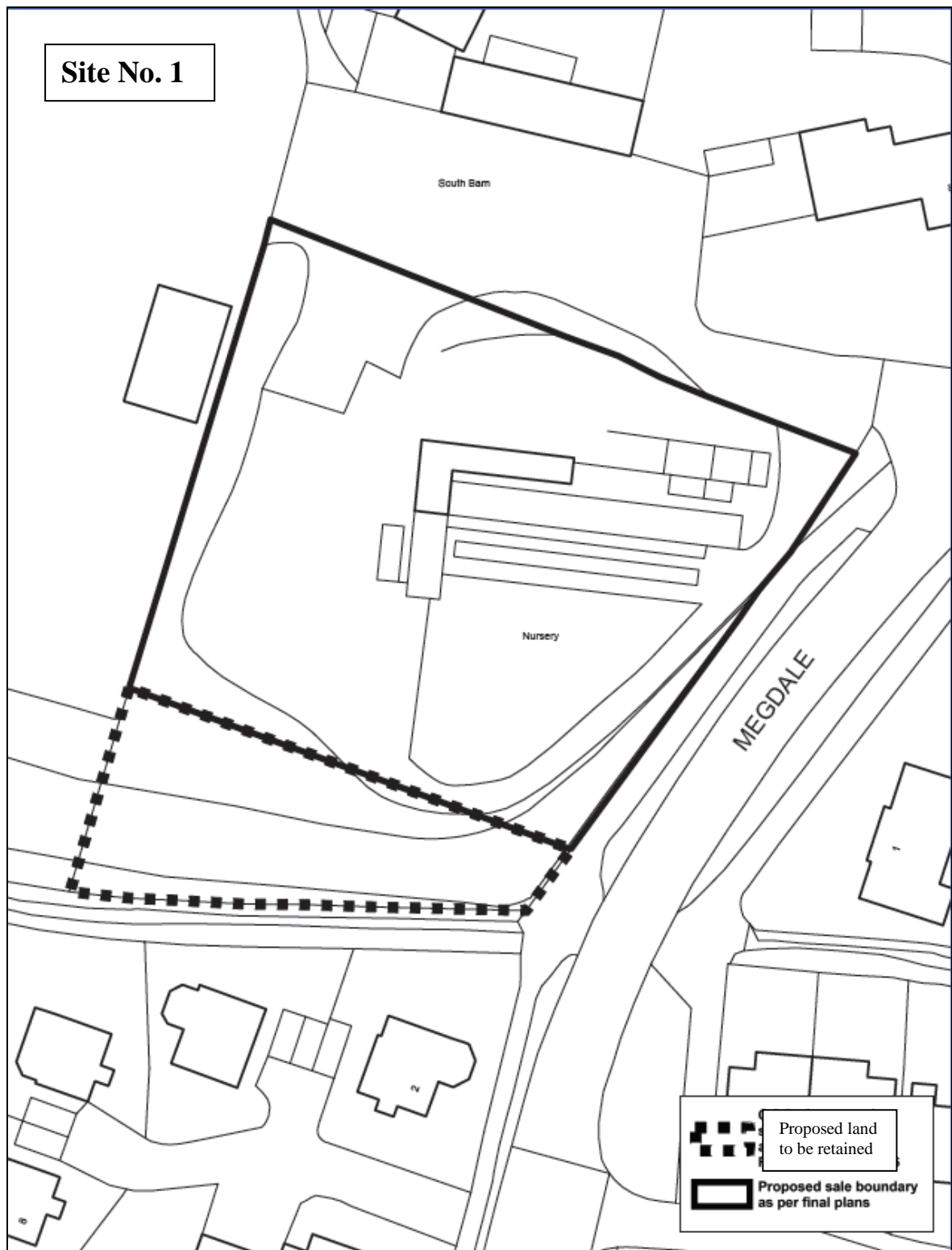
LAND HOLDINGS REVIEW

SITE INDEX

SITES IN WHICH INTEREST HAS BEEN EXPRESSED

1. Land at Dimple Nursery site, Matlock (boundary change)
2. Land adjacent 37 Rockside View, Matlock
3. Land at Northwood Recreation Ground and Land adjoining the Recreation Ground, Darley Dale
4. Land at Dig Street, Ashbourne
5. Land on Bakewell Road, Darley Dale (William Davis land (Acquisition))
6. Land at Harrison Way, Darley Dale

Land at Dimple Nursery site, Matlock (boundary change)



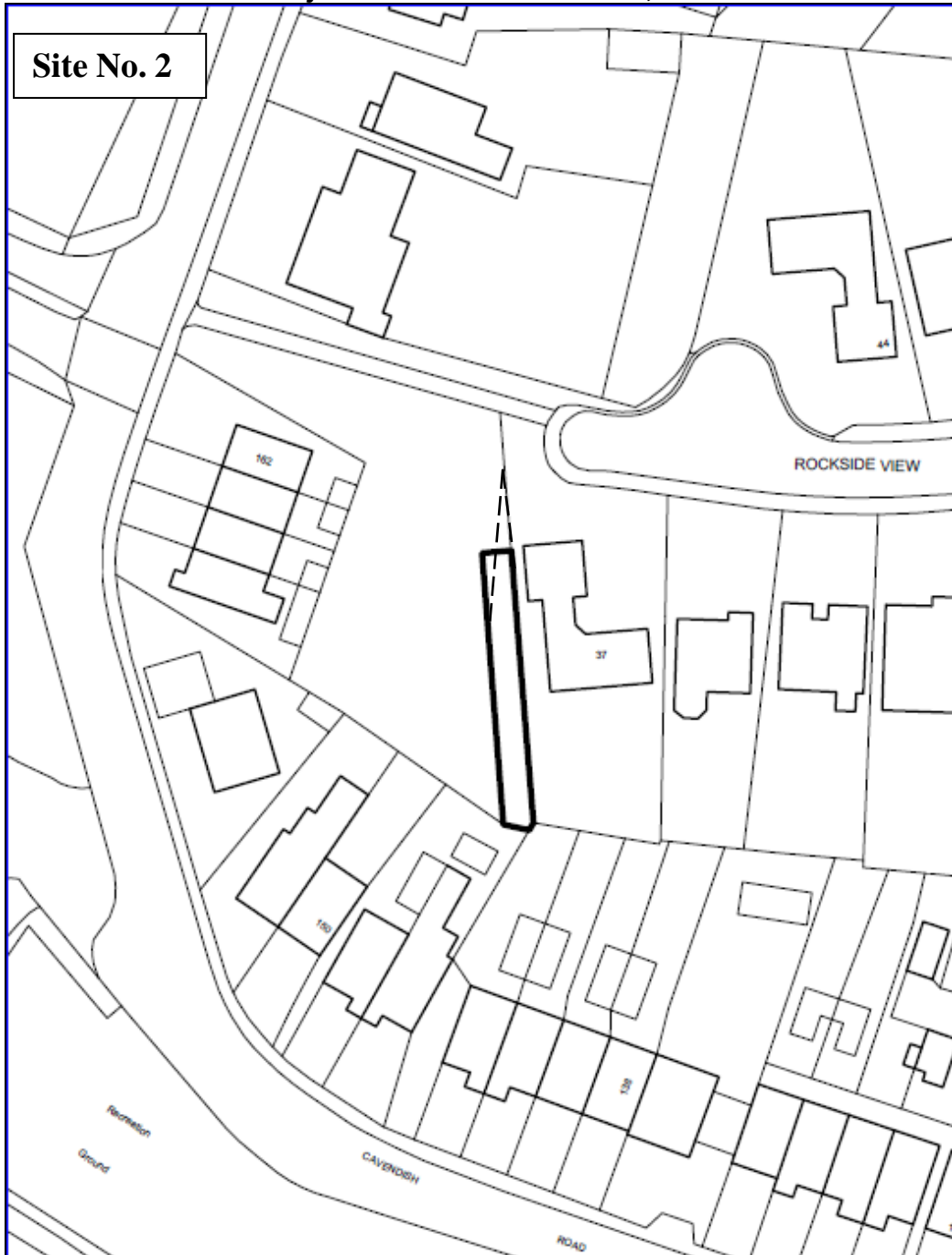
LAND HOLDINGS REVIEW

SITE NO. 1

ADDRESS	Land at Dimple Nursery site, Matlock (boundary change)
REQUEST RECEIVED	Westleigh Developments have requested that the site, originally agreed to be transferred at the Governance & Resource Committee meeting on 24 March 2016, be reduced to exclude 700 m2 on the southern boundary. Westleigh Developments have reduced their requirement following discussions with Ward Members.
DESCRIPTION/LOCATION	The Nursery site is between Dimple Road and the Dimple playing fields. The boundary change is on the south of the site and will not form part of the development scheme. The land slopes fairly steeply from the line of development to a public footpath. It contains a number of established trees.
OWNERSHIP	Derbyshire Dales District Council
LEGAL COVENANTS RESTRICTIONS	N/A
PLANNING	There are no planning implications.
MAINTENANCE	The site is currently used as a nursery facility by the Council. Limited maintenance is carried out. After the development is complete the maintenance requirement will be increased so it is commensurate with residential area and this will be the responsibility of the Council.
HEALTH & SAFETY/RISKS	None.
OFFICER COMMENT	The scheme for affordable housing has been submitted for planning consent on the reduced site area indicated in this report following consultation with Ward Members.

	The responsibility for the land to the south which is not part of the scheme will now remain the responsibility of the Council.
RECOMMENDATION	To proceed with the disposal as agreed in the Governance & Resource Committee meeting on 24 March 2016 but with the boundary modification to the south.

Land adjacent 37 Rockside View, Matlock



Approximate area only (dotted line indicates option for straight boundary)

LAND HOLDINGS REVIEW

SITE NO. 2

ADDRESS	Land adjacent 37 Rockside View, Matlock
REQUEST RECEIVED	<p>A request has been received from the owner of 37 Rockside View, Matlock to incorporate a section of land into their curtilage for residential garden purposes.</p> <p>A similar request in was made in Phase 1 (5 November 2015) but was rejected on planning grounds.</p>
DESCRIPTION/LOCATION	An 84m ² (approx.) section of grassed open space land adjacent to 37 Rockside View, Matlock. This forms part of an area of open space which was set aside as part of the original residential development.
OWNERSHIP	Derbyshire Dales District Council
LEGAL COVENANTS RESTRICTIONS	<p>Public Open Space (POS) consultation would be required to be undertaken prior to any final approval of the sale of the land.</p> <p>The Council's registered title provides that the buyer must enter into a deed of covenant with Henry Boot Land Holdings Ltd prior to completion of the sale. Any related costs incurred by the Council should be paid by the buyer.</p>
PLANNING	A planning application number 16/00330/FUL granted change of use with conditions to an area of approx.. 84m ² section of land to domestic curtilage. The site approved under this application is rectangular and creates a stepped boundary. The conditions include fencing the site.
MAINTENANCE	<p>The area of land currently has a relatively straight boundary which makes mowing quicker. The proposed boundary increases mowing liability as there will be a corner to mow into. There would be a preference for a straighter boundary as indicated by the dotted line on the above plan.</p> <p>The buyer will be responsible for maintenance of the land and the erection and future</p>

	maintenance of the boundary fence.
HEALTH & SAFETY/RISKS	None.
OFFICER COMMENT	<p>The owner previously applied to purchase a section of this open space land and the request was not successful. The planning advice at the time was that an application for change of use to garden land would not be accepted. Since this, planning permission has been applied for and granted on a rectangular piece of land.</p> <p>There has been another application to purchase a section of this open space land in this area. The applicant wanted to extend their house and this was also declined on planning grounds (the applicant has since sold the property).</p>
RECOMMENDATION	<p>Recommend disposal at market value (as determined by DDDC valuer) with a straight boundary. This will be subject to –</p> <ul style="list-style-type: none"> - POS consultation, - the purchaser entering into a Deed of Covenant with Henry Boot Land Holdings Ltd - the purchaser obtaining any planning permission required - the purchaser erecting and maintaining boundary fencing - the purchaser covering the Council's reasonable legal costs (including Deed of Covenant), POS advertising and administration - use restricted to garden land

**Northcliffe Recreation Ground & Land at to the east of Northcliffe
Recreation Ground, Darley Dale**



LAND HOLDINGS REVIEW

SITE NO. 3

ADDRESS	Northcliffe Recreation Ground & Land at to the east of Northcliffe Recreation Ground
REQUEST RECEIVED	<p>A request has been received from Northwood & Tinkersley Parish Council (NTPC) to acquire the recreation ground and field to the east as a community asset transfer.</p> <p>There have also been open market offers of £28,500 and £30,000 for the field to the east of the recreation ground for use for grazing purposes.</p> <p>As part of Phase 3 LHR it was agreed that NTPC be granted a stewardship agreement on the land at the east of Northcliffe Recreation Ground (shown shaded grey). The decision based on this report will supersede that approval.</p>
DESCRIPTION/LOCATION	The site comprises the recreation ground, adjoining land and The Avenue. The Recreation ground is 2.3 acres (0.93 hect) and well maintained and contains play equipment and open grassed areas. The land adjacent is 1.8 acres (0.74 hect), remains unmown and is becoming untidy. The Avenue is unmade road and in poor repair.
OWNERSHIP	Derbyshire Dales District Council
LEGAL COVENANTS RESTRICTIONS	<p>Public Open Space (POS) consultation would be required prior to any disposal or transfer.</p> <p>Options for protecting the future use of the land will be reported at the meeting.</p>
PLANNING	The land to the east of the recreation ground was included in the sites assessed for potential residential land allocations for the Local Plan. Following consideration, the site was classed as being undevelopable.
MAINTENANCE	The site is maintained by Environmental Services Department. The recreation area is regularly mown and the area to the east would require mowing and clearance from time to

	time.
HEALTH & SAFETY/RISKS	None.
OFFICER COMMENT	<p>NTPC have advised that they will only consider taking on both areas so the sale of any part to individuals is not a viable option for the Council.</p> <p>POS consultation will be undertaken before any transfer and it is felt that it would be unlikely for the transfer to NTPC to cause objection as it will not affect the public use of these areas.</p> <p>To protect the Council's interest in any future developable value of the site it is recommended that a condition of transfer is an overage clause or retaining a ransom strip. This should not be detrimental to the use of the land by NTPC.</p> <p>As NTPC will only take part of the site it is considered that the capital offers should be declined and the whole area transferred to NTPC as POS with an appropriate overage clause.</p>
RECOMMENDATION	<ol style="list-style-type: none"> 1. To decline the offer from a private individuals to purchase part of the site for grazing purposes. 2. To agree the transfer of the whole site freehold interest to NTPC as POS at a peppercorn with an appropriate future protection of the Council's future interest. Transfer would be subject to: <ul style="list-style-type: none"> - POS consultation - NTPC paying the Council's reasonable legal, surveying and POS advertising costs.

Land at Dig Street, Ashbourne



LAND HOLDINGS REVIEW

SITE NO. 4

ADDRESS	Land at Dig Street, Ashbourne
REQUEST RECEIVED	<p>Waitrose Limited have approached the Council requesting the purchase of the freehold for the site they currently occupy.</p> <p>They have offered consideration of £25,000.</p>
DESCRIPTION/LOCATION	<p>The site comprises approx. 1,589m² (1,900 square yards) with frontage to Dig Street and access rights to the rear through Shawcroft car park.</p> <p>Waitrose currently occupy the site under a 99 year ground lease with 62 years remaining at a peppercorn rental (a premium was paid at the commencement of the lease). The lease expires in March 2078.</p>
OWNERSHIP	Derbyshire Dales District Council
LEGAL COVENANTS RESTRICTIONS	The site currently is restricted by the lease to Waitrose Ltd and this contains restrictions such as a user clause. The lease also provides a right of way (determinable by the Council) over Shawcroft car park.
PLANNING	N/A
MAINTENANCE	The site is maintained by Waitrose under their lease obligations.
HEALTH & SAFETY/RISKS	None.
OFFICER COMMENT	<p>Under the current lease an income stream will not be generated until March 2078 unless a cash payment is made to extend the lease.</p> <p>Given the ground lease does not provide a cash stream it is not readily marketable. As Waitrose occupy the site it is of specific interest to them. We would not recommend an open market sale as it would not generate any substantial interest or achieve a higher sale price.</p> <p>The offer is substantially above the valuation of the ground lease based on the reversionary</p>

	<p>value of the site and as such is acceptable.</p> <p>The current lease provides a right of way across Shawcroft car park with the flexibility to relocate access within the area. This flexibility in providing vehicular access to the rear of Waitrose should be maintained by retaining a suitable 'lift and shift' provision.</p>
<p>RECOMMENDATION</p>	<p>To accept the offer of £25,000 subject to the negotiation of a suitable 'lift and shift' clause relating to the right of way and the purchaser paying the Council's legal and surveyor's fees.</p>

**Land on Bakewell Road, Darley Dale (William Davis land)
(Acquisition)**

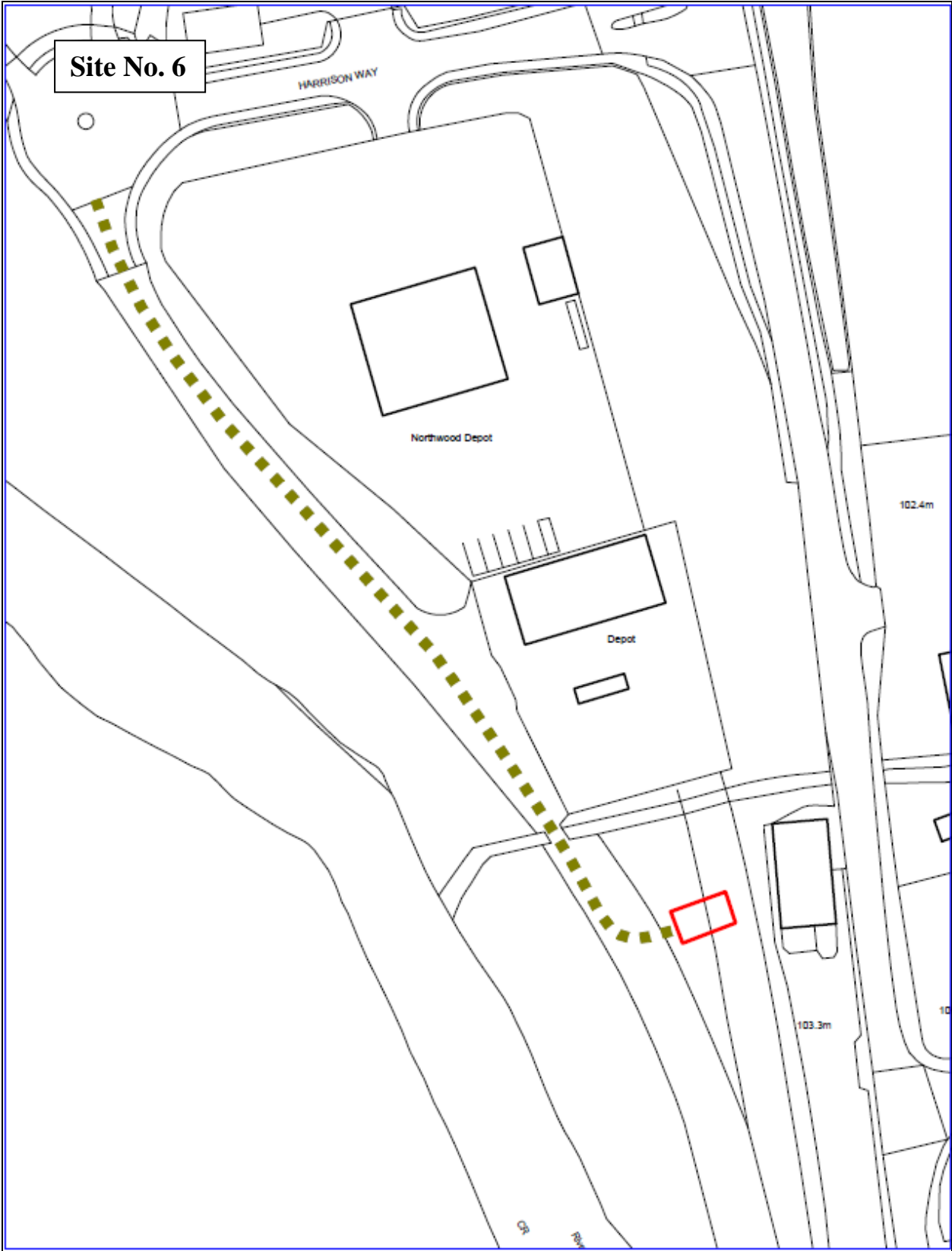


LAND HOLDINGS REVIEW

SITE NO. 5

ADDRESS	Land on Bakewell Road, Darley Dale (William Davis Homes land) (Acquisition)
REQUEST RECEIVED	Derbyshire County Council has requested this land be acquired by Derbyshire Dales District Council to facilitate the crossing and end point of the White Peak Cycle Loop multi user trail.
DESCRIPTION/LOCATION	The land is a field of 5,295m ² located between Bakewell Road and the railway line.
OWNERSHIP	William Davis Homes Ltd (TBC)
LEGAL COVENANTS RESTRICTIONS	Any significant results of investigations will be reported at the meeting.
PLANNING	N/A
MAINTENANCE	This land is currently subject to a stewardship agreement that benefits the Council.
HEALTH & SAFETY/RISKS	None.
OFFICER COMMENT	<p>This land may enable a crossing point for the railway line to enable the completion of the Bakewell to Rowsley cycle route. There is a proposal to construct an underpass to allow safe crossing of the line. This is an option currently being considered.</p> <p>If an access and egress point is available to the cycle way at this location the Arc may benefit through increased footfall and vehicular traffic.</p>
RECOMMENDATION	To proceed with the transfer of this land at peppercorn acquisition. As this comprises enabling works for the White Peak Cycle Loop, Derbyshire County Council will cover the Council's legal costs in this matter.

Land at Harrison Way, Darley Dale



Area outlined in red is an approximation of the land to be sold, dotted line indicates right of way

LAND HOLDINGS REVIEW

SITE NO. 6

ADDRESS	Land at Harrison Way, Darley Dale
REQUEST RECEIVED	Darley Dale Fly Fishing Club (DDFFC) have requested that their existing rights of access and parking be regularised and increased due to the alterations to the cycle path and the increased traffic it is expected to generate.
DESCRIPTION/LOCATION	An area of approx. 200m ² of land to the rear of Ashbrook Roofing Ltd to provide parking for up to 6 cars and a right of way from Harrison Way to the area.
OWNERSHIP	Derbyshire Dales District Council
LEGAL COVENANTS RESTRICTIONS	Any significant results of investigations will be reported at the meeting.
PLANNING	Any planning required will be the responsibility of DDFFC.
MAINTENANCE	This land is currently maintained by Estates.
HEALTH & SAFETY/RISKS	None.
OFFICER COMMENT	<p>The club currently have access rights and the right to park several cars but the rights are poorly defined in very old conveyances. They can indicate the use of the site for 40 years and are likely to have acquired access rights. This access is now partly restricted due to the cycle path.</p> <p>The position puts forward a regularised position that is acceptable to DDFFC.</p> <p>To protect the Council's future position an overage clause will be included. If the sale is approved, it should not be completed until after the sale of land to Ashbrook Roofing to ensure boundaries are consistent.</p> <p>The right of way will be subject to a lift and shift clause to ensure the vehicular access can be modified if Peak Rail's access needs to change.</p> <p>Derbyshire County Council have agreed to</p>

	contribute £250 towards the Council's legal fees. This agreement helps rationalise land use around the White Peak Cycle Loop and as such Derbyshire County Council are prepared to make a contribution to the Council's legal costs in this matter
RECOMMENDATION	To proceed with the transfer of this land at a consideration of £1,000. This should be conditional on the extinguishment of existing rights down Derwent Lane, the club obtaining any required planning permission and the cost of any fencing. The club is to pay the Council's reasonable legal and surveying fees.

BACK TO AGENDA

GOVERNANCE AND RESOURCES COMMITTEE
19 JANUARY 2017

Report of the Heads of Environmental, Community Development, Regulatory and Corporate Services

FEES AND CHARGES – 2017/2018

PURPOSE OF REPORT

This report details recommendations in respect of fees and charges in relation to Environmental Services: Leisure; Stall Markets; Environmental Health, Licensing and Land Charges.

RECOMMENDATION

That the fees and charges recommended in Appendices 1 – 11 of the report are approved and implemented with effect from 1 April 2017.

WARDS AFFECTED

All

STRATEGIC LINK

The Council charges reasonable fees to cover the cost of services that are provided to make progress in delivering its Aims and Priorities.

1 BACKGROUND

- 1.1 The Committee is asked to consider an annual review of the fees and charges for services provided across the Council in areas such as Environmental, Community Development, Regulatory and Corporate Services.
- 1.2 It is proposed that most fees and charges be increased by 3% with effect from 1st April 2017, with VAT applied (current rate 20%) where necessary and the result rounded up or down as appropriate. There are some exceptions to the 3% increase; these exceptions are explained in section 2 of this report.

Appendices 1 – 11 contain schedules of the existing and recommended charges.

2 REPORT

2.1 Environmental Services

Appendix 1 details the existing and proposed fees and charges for Pest Control and Stray Dog Service. The Stray Dog service is currently provided under contract by a privately run animal boarding kennel, Crowfoot Kennels.

Appendix 2 details the existing and recommended fees and charges for waste and recycling collection services.

The Waste Team have recently carried out consultation on proposed charges for replacement waste containers. The results of the consultation and recommendations will be presented to the Community and Environment Committee on 12th January 2017. Any charges approved will be included in the annual fees and charges.

Appendix 3 details the existing and recommended fees and charges in respect of cemeteries and burials.

Appendix 4 details the existing and recommended fees and charges in respect of the Clean and Green cesspool and septic tank emptying service. In addition, the day rates are provided for hiring the use of council vehicles and a hire fee for wheeled bins.

Appendix 5 details the existing and recommended fees and charges in respect of livestock markets, farmer's markets and room hire at the Agricultural Business Centre. It should be noted that once the lease negotiations have been concluded with Bagshaws the charges for vehicle washing and hire of pens and ring will transfer to Bagshaws and removed from the council's fees and charges.

Car Parking Permits

In October 2013, the council introduced an annual charge of £60 for a second or replacement resident parking permit. On 12 January, the Community and Environment Committee will be considering a reduced charge of £40 for a half year permit.

2.2 Corporate Services

Appendix 6 details the current fees and those recommended for the various elements of a property search undertaken by land charges.

The fees for the LLC 1 element of the search are exempt from VAT. However VAT must now be applied to all other aspects of a search from 31 March 2017. The revised schedule of fees reflects that element. The basic level of fee is recommended to remain unchanged in order to maintain the current level of market share with the private sector.

The level of fees charged by the District Council must accord with the Local Authorities (England) (Charges for Property Searches) Regulations 2008. The Regulations specify that the charge made in connection with a property search must not amount to more than the actual cost of providing the service. No increase is proposed for this next financial year to maintain market share and to comply with the charging regulations.

The appendix also incorporates an updated schedule of fees to recharge officer time spent in the preparation of Planning Obligations, other legal agreements and street naming and numbering.

2.3 Regulatory Services

Appendix 7 details the existing fees and charges and, those recommended for approval with effect from 1st April 2017 in respect of food hygiene, private sector housing and private water supplies.

It is proposed that fees for private water supplies should be increased by 5% in order to help to reduce the subsidy in this area.

Appendix 8 details the existing fees and charges and, those recommended for approval with effect from 1st April 2017 in respect of licensing.

The majority of fees in respect of Animal Welfare Licensing, Miscellaneous Licensing and Taxi Licensing are proposed to be increased by 5% in order to reduce the subsidy in this area.

In addition, new fees are proposed for first-time applications for animal welfare licences to take account of the additional time spent in giving advice to first-time applicants. A new fee has been introduced for the variation of a scrap metal dealer's licence and a charge has been proposed for anyone breaking an appointment to sit the Taxi Knowledge Test.

If the proposed increases to the Taxi Licensing fees are approved, the information must be published in at least one local newspaper for a period of 28 days. All Taxi and Private Hire Vehicle Owner/Operators licensed by the District Council must also be informed of any proposed increases to the fees. Any relevant objections received must be reported back to a meeting of this Committee within 2 months, for consideration.

No increase has been applied to fees in respect of Gambling as the current levels cover the cost of the service. Fees for applications made under the Licensing Act 2003 in respect of alcohol, entertainment and late night refreshment are set centrally by Government.

2.4 Community Development

Appendix 9 details the existing fees and charges and those recommended for approval with effect from 1st April 2017 in respect of stall markets. Attendance at weekly markets across the country is in decline, so to help with the retention of current traders and to support with attracting new ones, the recommendation is to freeze the hire of stalls for the coming financial year.

Appendix 10 details the existing fees and charges and those recommended for approval with effect from 1st April 2016 in respect of parks/recreation ground leisure services.

Appendix 11 outlines the existing fees and charges together with those recommended to come into effect from 1st April 2017 in Leisure Services.

In order to stay competitive in the market it is recommended council approve the following:

- a) To freeze the price of Fitness Freedom, Gym, Climbing and Swimming memberships. A price freeze will help with the retention of current members and support a competitive fee structure.
- b) Introduce a new Personal Training package at £30.00. This is good value when compared to other providers. It will also add to the current services available within the Leisure Centres, offering customers a more personal and specific approach to fitness.

Matlock Bath Illuminations

The fees for Matlock Bath Illuminations will be discussed at the Liaison Meeting on 5th January 2017 and will form part of a separate report to the Community & Environment Committee on 16th March 2017.

3 RISK ASSESSMENT

3.1 Legal

Section 19 of the Local Government (Miscellaneous Provisions) Act 1976 enables the Council to provide and charge for recreational facilities in its area.

Section 93 of the Local Government Act 2003 enables the Council to charge for a discretionary service where the recipient agrees to its provision.

The risk in relation to the report's recommendations is therefore low.

3.2 Financial

The income resulting from the recommended revised fees and charges will be included in the draft revenue spending proposals for the financial year 2017/2018 to be considered at the 2nd March 2017 meeting of the full Council. The proposed increases of 3% and 5% are higher than the current level of inflation. However, the additional income that this increase will generate plays an important part in balancing the Council's budget given the cut in Government funding that is proposed for 2017/18.

As some fees have been frozen (e.g. stall market rents and leisure memberships) and others increased by 3% and 5%, it is hoped that customer resistance to the proposed fees will not be significant.

The financial risk is therefore 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

Heidi McDougall, Head of Environmental Services Tel: (01629) 761372
Email: heidi.mcdougall@derbyshiredales.gov.uk

Sandra Lamb, Head of Corporate Services Tel: (01629) 761281
Email: sandra.lamb@derbyshiredales.gov.uk

Ashley Watts, Head of Community Services Tel: (01629) 761367
Email: ashley.watts@derbyshiredales.gov.uk

Tim Braund, Head of Regulatory Services Tel: (01629) 761118
Email: tim.braund@derbyshiredales.gov.uk

6 BACKGROUND PAPERS

None.

7 ATTACHMENTS

Appendix 1	Pest and Dog Control	Schedule of Fees
Appendix 2	Waste – Household and Commercial	Schedule of Fees
Appendix 3	Cemeteries	Schedule of Fees
Appendix 4	Clean & Green Services	Schedule of Fees
Appendix 5	Agricultural Business Centre	Schedule of Fees
Appendix 6	Land Charges	Schedule of Fees
Appendix 7	Environmental Health	Schedule of Fees
Appendix 8(a)(b)(c)	Licensing	Schedule of Fees
Appendix 9	Stall Markets	Schedule of Fees
Appendix 10	Parks & Recreation Grounds	Schedule of Fees
Appendix 11	Leisure Services	Schedule of Fees

BACK TO AGENDA

PEST AND DOG CONTROL

PEST CONTROL			
DOMESTIC PREMISES	Existing Charge 2016-2017 inclusive VAT	Proposed Charge 2017-2018 exclusive of 20% VAT	Proposed Charge 2017-2018 inclusive of 20% VAT and rounded
50% concession charges to those in receipt of housing benefit or Council tax benefit who are also aged 65 and over. The concession applies to one treatment from each category per financial year.			
	(concessions in brackets) £	(concessions in brackets) £	(concessions in brackets) £
Rats Charge: up to 3 visits	24.25 (12.60)	21.67 (10.83)	26.00 (13.00)
Mice Charge: up to 3 visits	50.50 (25.25)	43.33 (21.67)	52.00 (26.00)
Wasps Charge: per visit	63.00 (31.50)	54.08 (27.04)	64.90 (32.45)
Cockroaches Charge: up to 4 visits	73.60 (37.80)	64.92 (32.46)	77.90 (38.95)
Ants Charge: per visit	63.00 (31.50)	54.08 (27.04)	64.90 (32.45)
Bedbugs Charge: up to 2 visits	75.60 (37.80)	64.92 (32.46)	77.90 (38.95)
Fleas Charge: per visit	63.00 (31.50)	54.08 (27.04)	64.90 (32.45)
Non public health pests Charge: up to 2 visits	81.70 (40.85)	70.17 (35.08)	84.20 (42.10)
Advice Only charge per visit	15.00 (no concession)	12.92 (no concession)	15.50 (no concession)

PEST CONTROL			
COMMERCIAL PREMISES	Existing Charge 2016-2017 inclusive VAT £	Proposed Charge 2017-2018 exclusive of 20% VAT £	Proposed Charge 2017-2018 inclusive of 20% VAT and rounded £
Rats and Mice (includes one revisit to remove bait)	134.70 per hour (minimum charge)	115.58	138.70
Insect Pests	67.80 per hour (minimum charge)	58.17	69.80

Note: Rats and Mice and Insect Pests

Commercial premises are liable for a minimum charge equal to 1 hour.

Where treatment takes more than 1 hour additional whole hours are charged at the hourly rate and part hours are charged pro rata in 15 minute bands.

DOG CONTROL	Existing Charge 2016-2017 £	Proposed Charge 2017-2018 £ Outside the scope of VAT
These charges are plus Vet's Fees if necessary, and VAT on Vet's Fees.		
STRAY DOGS Penalty for stray dogs collected or returned by Dog Warden	55.50	57.20
Above penalty charge plus kennel fees as follows:		
Each day or part day	14.40 Daily kennel fee (or part day)	14.80 Daily kennel fee (or part day)

WASTE – HOUSEHOLD

The following fees are outside the scope of VAT

HOUSEHOLD WASTE	Existing Charge 2016-17 £ (concessions in brackets)	Proposed Charge 2017-18 £ (concessions in brackets)
50% concession charges to those in receipt of housing benefit or Council tax benefit who are also aged 65 and over. The concession applies to one bulky and one electrical collection per financial year.		
Up to 3 items	19.70 (9.85)	20.30 (10.15)
Up to 6 items	32.00 (16.00)	33.00 (16.50)
Electrical item One item	16.90 (8.45)	17.40 (8.70)
Electrical items 2-3 items	22.40 (11.20)	23.10 (11.55)
COMPOSTING	Existing Charge 2016-17 £	Proposed Charge 2017-18 £
Supply of 240 litre wheeled bin (Collection free thereafter)	57.30	59.00
WHEELED BINS FOR NEW PROPERTIES		
140 litre grey wheeled bin (green bin given free if possible with grey bin)	37.10	38.20
240 litre grey wheeled bin (green bin given free if possible with grey bin)	43.25	44.55
ABANDONED SHOPPING TROLLEYS		
Return of shopping trolley	35.85	36.95

TRADE WASTE		Existing Charge 2016-2017	Proposed Charge 2017-2018
GREEN SACKS			
Per pack of 25		63.60	65.50
WHEELED BINS			
Commercial Per lift:	1100 litre capacity	17.00	17.50
	660 litre capacity	11.65	12.00
	360 litre capacity	7.75	8.00
	240 litre capacity	6.20	6.40
Commercial Recycling:	240 litre capacity	3.30	3.40
Schools & Not- for-profit Organisations NB Collection charge only per lift:	1100 litre capacity	8.65	8.90
	660 litre capacity	7.40	7.60
	360 litre capacity	5.30	5.45
	240 litre capacity	5.00	5.15

CEMETERIES

These charges apply to purchasing the Exclusive Right of Burial (including ashes) before or after death of a resident in the Derbyshire Dales District Council area and in the case of a stillborn child where one of the parents was resident at the time of interment.

Double Fees

Where the Exclusive Right of Burial is purchased for a non-resident of the Derbyshire Dales, fees for all services will be doubled ie for all interments; for the Right to Erect a Memorial; for the right to fix plaques or reserve spaces in a Garden of Remembrance; for the erection of memorials and for additional inscriptions. The fees will not be doubled where the Exclusive Right of Burial was purchased at the single fee at an earlier date. The appropriate Officer of the Council has the discretion to waive these double fees when there are grounds to do so, i.e. past residency in the District or other connections.

(NB: All fees for cemeteries fall outside the scope of VAT, with the exception of Memorial plaques)

EXCLUSIVE RIGHT OF BURIAL	Existing Charge 2016/2017 £	Proposed Charge 2017/2018 £
Earthen Graves		
For the exclusive right of burial for a period not exceeding 100 years:		
a) grave size 2.4m x 1.2m	588.80	606.45
b) grave size 2.4m x 2.4m	1107.50	1140.75
Garden of Remembrance		
For the exclusive right of burial of cremated remains for a period not exceeding 100 years, in an earthen grave not exceeding 450mm x 600mm	189.50	195.20

INTERMENTS

The fees indicated:

- a) include the digging of the grave;
- b) apply only where the interment is made between the hours of:
 - 9:30am – 3.30pm, Mondays – Thursdays;
 - 9.30am – 3pm, Fridays (excluding Bank and public holidays)';
 - or on the certificate of a Coroner or Registered Medical Practitioner that immediate interment is necessary.
- c) Interments outside these hours or on other days may be possible, but would be subject to an additional charge as follows:

Burials (excludes Bank and Public holidays)

9.30am – 11.30am, Saturdays **£215.35** (£209.10 in 2016/17)

Ashes

9.30am – 11.30am, Saturdays **£47.90** (£46.50 in 2016/17)

- d) apply provided that the interment is made within fifteen minutes of the time arranged with Derbyshire Dales District Council. If not, an additional charge of **£14.40** (£14.00 in 2016/17) is payable per fifteen minutes.

INTERMENT IN ANY GRAVE	Existing Charge 2016/2017 £	Proposed Charge 2017/2018 £
All of the following fees for cemeteries fall outside the scope of VAT)		
a) of the body of a stillborn child or of a child whose age at the time of death did not exceed one month .	No charge	No charge
b) of the body of a child whose age at the time of death exceeded one month but did not exceed 16 years .	104.60	107.75
c) of the body of a person whose age at the time of death exceeded 16 years .	661.00	680.85
Interment in existing vault or bricked grave	Daywork rates apply	Daywork rates apply
Interment of cremated remains	139.20	143.40
Turfing of grave after interment on request	43.80	45.10
SCATTERING OF ASHES		
In the case of purchased graves, or in the Garden of Remembrance: Fee for right to scatter ashes	48.90	50.35
LONG-TERM MEMORIALS IN GARDENS OF REMEMBRANCE		
Please Note: Within the designated lawn sections, only one stone vase or block is permitted per plot, not exceeding 200mm in height and 200mm in width.		
Right to Erect a Memorial on a grave for cremated remains with respect to which an exclusive right of burial has been granted	63.60	65.50

LONG-TERM MEMORIALS IN GARDENS OF REMEMBRANCE	Existing Charge 2016/2017 £	Proposed Charge 2017/2018 £
Supply of a memorial plaque (150mm x 75mm) at ground level including fixing	63.60 plus cost of plaque & VAT on the plaque	65.50 plus cost of plaque & VAT on the plaque
Supply of a stone slab level with the surrounding ground for the fixing of a memorial plaque including installation	81.40 (no VAT)	83.85
Supply of a plaque 150mm x 75mm for the memorial wall, including fee for space and fixing	63.60 plus cost of plaque & VAT on the plaque	65.50 plus cost of plaque & VAT on the plaque
Reservation of up to 3 plaque spaces under the first plaque on the memorial wall (fee per space)	16.50 (no VAT)	17.00
Permission for erection of a vase not exceeding 300mm in height, including first inscription	63.60 (no VAT)	65.50
Permission for kerb or border stones enclosing a space not exceeding 450mm x 600mm including first inscription	63.60 (no VAT)	65.50
Permission for each inscription after the first on vases, kerbs, border stones, etc.	48.40 (no VAT)	49.85
LONG-TERM MEMORIALS ON EARTHEN GRAVES		
Please Note: Within the designated lawned sections, the only long-term memorial permitted on a grave is a single headstone.		
Right to Erect a Memorial on a grave in respect of which an exclusive right of burial has been granted	157.10 (no VAT)	161.80
Permission for a memorial headstone not exceeding 1 metre in height and 900mm in width, and including the cost of the foundation already provided	226.60 (no VAT)	233.40
Permission for a memorial headstone not exceeding 1 metre in height and 900mm in width, in those areas where no concrete foundation is provided	73.40 (no VAT)	75.60

LONG-TERM MEMORIALS ON EARTHEN GRAVES	Existing Charge 2016/2017 £	Proposed Charge 2017/2018 £
Permission for a flat stone or tablet, level with surrounding ground not exceeding 2.4m x 1.2m, including first inscription	77.60 (no VAT)	79.95
Permission for kerb or border stones enclosing a space not exceeding 2.4m x 1.2m, including first inscription	133.80 (no VAT)	137.80
Permission for a vase not exceeding 300 mm in height, including first inscription	63.60 (no VAT)	65.5
Permission for each inscription after the first	48.40 (no VAT)	49.85
ASSISTED BURIALS		
Standard Charge (Minimum)	434.50	447.55
RECORD SEARCHES		
Record Searches	15.00	15.45

CLEAN & GREEN SERVICES

Cesspool and Septic Tank Emptying (includes disposal costs)	Existing Charge 2016-17 inclusive VAT £	Proposed Charge 2017-18 exclusive of 20% VAT £	Proposed Charge 2017-18 inclusive of 20% VAT and rounded £
Domestic premises per tank up to 4,500 litres	299.00 (Zero rated VAT)	308.00 (Zero rated VAT)	308.00 (Zero rated VAT)
Commercial premises per tank up to 4,500 litres	316.00 (Zero rated VAT)	325.50 (Zero rated VAT)	325.50 (Zero rated VAT)
Industrial premises per tank up to 4,500 litres	435.00	373.38	448.05
Charge for extra piping to reach tank	30.00	25.75	30.90
Vehicle with Driver (Per Hour)	Existing Charge 2016-17 inclusive VAT £	Proposed Charge 2017-18 exclusive of 20% VAT £	Proposed Charge 2017-18 inclusive of 20% VAT and rounded £
Road Sweeper	N/A	53.22	63.86
Pavement Sweeper	N/A	47.79	57.35
Vacuum Tanker (Gulley Wagon)	N/A	49.16	58.99
Transit Tipper or Other Light Van	N/A	5.20	6.24
Hire of Wheeled Bins	Existing Charge 2016-17 inclusive VAT £	Proposed Charge 2017-18 exclusive of 20% VAT £	Proposed Charge 2017-18 inclusive of 20% VAT and rounded £
Hire of wheeled bins per week per bin, plus cost of delivery, collection and washing (Minimum charge of £150)	N/A	10.00 (Outside the Scope of VAT)	10.00 (Outside the scope of VAT)
Any other occasional work to be charged at direct cost plus 5% administration.			

AGRICULTURAL BUSINESS CENTRE

Livestock Markets and Farmers' Markets	Existing Charge 2016-2017 inclusive VAT £	Proposed Charges 2017-2018 exclusive 20% VAT £	Proposed Charges 2017-2018 inc. of 20% VAT & rounded £
Livestock Vehicle Parking	No charge	No charge	No charge
Livestock Vehicle Washing:			
Small Trailer	3.20	2.75	3.30
Landrover and Trailer	6.10	5.25	6.30
All Other Vehicles – Per Deck	12.40	10.63	12.75
Livestock Markets Hire			
Livestock penning hire per 10 pens per hour	29.50	25.33	30.40
Sales ring hire per hour	29.50	25.33	30.40
Concourse display areas per market per 13m ²	32.90	28.25	33.90
Farmers' Markets			
Farmers' Market Stalls			
4.5 foot stall	16.00	13.75	16.50
6 foot stall	20.30	17.42	20.90
9 foot stall (Standard)	31.70	27.21	32.65
12 foot stall	40.50	34.75	41.70
2 foot extension table	4.30	3.71	4.45
Farmers' Market Parking			
Parking for Farmers' Market Traders (per vehicle)	3.80	3.25	3.90
Room Hire			
Conference Room			
Hire per Day	232.00	199.13	238.95
Hire per Half Day	120.20	103.17	123.80
Hire per Hour	39.00	33.46	40.15
Hire per Evening/Weekend	20% applied to charges for half day/full day		
	Maximum discount for non-commercial local organisations 40%		
Meeting Room 1			
Hire per Day	120.20	103.17	123.80
Hire per Half Day	62.00	53.21	63.85
Hire per Hour	19.60	16.83	20.20
Hire per Evening/Weekend	20% applied to charges for half day/full day		
	Maximum discount for non-commercial local organisations 40%		
Meeting Room 2 & 3			
Hire per Day	60.50	51.92	62.30
Hire per Half Day	31.30	26.88	32.25
Hire per Hour	11.80	10.13	12.15
Hire per Evening/Weekend	20% applied to charges for half day/full day		
	Maximum discount for non-commercial local organisations 40%		
Concourse			
Hire per Day	232.00	199.13	238.95
Hire per Half Day	120.20	103.17	123.80
Hire per Hour	39.00	33.46	40.15
Hire per Evening/Weekend	20% applied to charges for half day/full day		
	Maximum discount for non-commercial local organisations 40%		

LAND CHARGES

Application type	Existing Charges 2016/17	Proposed Charges 2017/18
Official Search Fee (LLC1 + Con29R)	£100.00	£100.00
LLC1 only	£30.00	£30.00
Con29R	£70.00	£70.00*
Con 29O (per question)	£10.00	£10.00*
Additional Parcel of Land	£11.00	£10.00*
Written enquiries (solicitors own questions)	£12.00	£12.00*
Personal Search of the Register	£00.00	£00.00

*+VAT from 31 March 2017

LEGAL

Charge	Existing 2016/17	Proposed 2017/18
Legal Fees for S106 Agreements (recovery of officer time)	£65 per hour	£480 minimum charge then £65 per hour after 4 hours
Authorising proof of life for overseas pensioners	£25	£25

Road Closures

Charge	Existing 2016/17	Proposed 2017/18
Events where there is a charge for participation or for spectators	£50	£55
Events that primarily benefit businesses or other commercial organisations	£50	£55
Carnivals/fetes or any other events that raise funds through collections/donations	£20	£20.50
Remembrance/well dressing or other commemorative parades	£0	£0

Street Naming and Numbering

Charge	Existing 2016/17	Proposed 2017/18
Allocate a house name, rename or remove a house name to an existing property Change a company name on a property Allocate a house number, renumber or remove a house number of an existing property	£50	£51.50
Naming or renaming of new streets and numbering or renumbering new / existing properties on that street	£150 Plus numbering charge per property and nameplates charge	£155
Naming of new streets at residents request	£300 Plus nameplates charge	£309
Naming and numbering of new properties or properties on an existing street: 1 property 2 – 5 properties 6 – 10 properties 11 – 25 properties 26 – 50 properties 51 – 100 properties 101+ properties	£75 £100 £150 £200 £250 £400 £750	£77 £103 £154.50 £206 £257.50 £412.00 £772.50
Division of Properties – same as numbering of new properties (and based on number of properties created including the original)	As per numbering of new properties	
Confirmation of address to solicitors / conveyancers / occupiers or owners (<i>Royal Mail – external confirmation</i>)	£25	£25.75
Renumbering of scheme following development re-plan (after notification of numbering scheme issued)	£100 + £10 per property	£103.00 + £10.50
Address issued / confirmation when replacement property built (as the original address will have been removed following the demolition as address may be different to original property) reactivation of address	£50 per property	£51.50
1st Set of Nameplates erected for each new Street	For each street: £225 If one nameplate required £325 If two nameplates required	£232 £335

For each additional nameplate that is required to be erected at other junctions and entrances onto the new street	£100	£103.00
Challenges / requests / revisions to existing street naming and numbering schemes	£25 per hour	£25.75
Rectification of existing address / postcode issues where no change involved	£25 per hour	£25.75

ENVIRONMENTAL HEALTH

FOOD HYGIENE	Existing Charge 2016-2017 inclusive VAT £	Proposed Charge 2017-2018 exclusive of 20% VAT £	Proposed Charge 2017-2018 inclusive of 20% VAT (where applicable) and rounded £
FOOD HYGIENE COURSES Basic Food Hygiene Course - Charge per Candidate	86.00	73.83	88.60
FOOD PREMISES REGISTER Photocopying of Register <div style="text-align: right;">Per entry Whole Register</div>	3.80 931.00	3.25 799.13	3.90 958.95
HEALTH CERTIFICATES Standard Charge (VAT not applicable)	41.00	N/A	42.25
HOUSING (VAT not applicable)			
HOUSES IN MULTIPLE OCCUPATION HMO Licensing	442.50	N/A	455.80
HOUSING ENFORCEMENT NOTICES Housing Act 2004 sections 11 & 12 Improvement Notice	245.50	N/A	252.85

HOUSING ENFORCEMENT NOTICES (VAT not applicable)			
Housing Act 2004 sections 20 & 21 Prohibition Order	245.50	N/A	252.85
Housing Act 2004 sections 28 & 29 Hazard Awareness Notice	245.50	N/A	252.85
Housing Act 2004 section 40 Emergency Remedial Action	245.50	N/A	252.85
Housing Act 2004 section 43 Emergency Prohibition Order	245.50	N/A	252.85
Housing Act 1985 section 265 Demolition Order	245.50	N/A	252.85
PRIVATE WATER SUPPLIES (VAT not applicable)			
Risk Assessment	366.50	384.83	384.85
Sampling Visit	49.50	51.98	52.00
Investigation	80.00	84.00	84.00
Granting an authorisation	37.50	39.38	39.40
Analysing a sample under Regulation 10	Lab Charge	Lab Charge	Lab Charge
Analysing a check monitoring sample	Lab Charge	Lab Charge	Lab Charge
Analysing an audit monitoring sample	Lab Charge	Lab Charge	Lab Charge

ANIMAL WELFARE & MISCELLANEOUS LICENSING

(The following fees fall outside the scope of VAT with the exception of Vets' Fees)

An average increase of 5% is proposed for the following fees:

ANIMAL WELFARE	Existing Charge 2016-2017 £	Proposed Charge 2017-2018 rounded + inclusive of VAT where applicable £
<p>Animal Boarding Establishments Act 1963</p> <p>New application for licence to operate a boarding establishment</p> <p>Renewal of licence to operate a boarding establishment</p>	<p style="text-align: center;">N/A New Charge for 2017-18</p> <p style="text-align: center;">93.00 Plus Vet Fees and VAT on Vets Fees and arrangement fee of 15.50 + VAT</p>	<p style="text-align: center;">140.00 Plus Vet Fees and VAT on Vets Fees and arrangement fee of 16.00 + VAT</p> <p style="text-align: center;">98.00 Plus Vet Fees and VAT on Vets Fees and arrangement fee of 16.00 + VAT</p>
<p>Pet Animals Act 1951</p> <p>New application for licence to operate a retail pet shop</p> <p>Licence to operate a retail pet shop</p>	<p style="text-align: center;">N/A New Charge for 2017-18</p> <p style="text-align: center;">93.00 Plus Vet Fees and VAT on Vets Fees and arrangement fee of 15.50 + VAT</p>	<p style="text-align: center;">140.00 Plus Vet Fees and VAT on Vets Fees and arrangement fee of 16.00 + VAT</p> <p style="text-align: center;">98.00 Plus Vet Fees and VAT on Vets Fees and arrangement fee of 16.00 + VAT</p>
<p>Riding Establishment Acts 1964 and 1970</p> <p>New application for licence to operate a riding establishment</p> <p>Renewal of licence to operate a riding establishment</p>	<p style="text-align: center;">N/A New Charge for 2017-18</p> <p style="text-align: center;">115.00 Plus annual Vet Fees and VAT on Vets Fees and arrangement fee of 15.50 + VAT</p>	<p style="text-align: center;">150.00 Plus annual Vet Fees and VAT on Vets Fees and arrangement fee of 16.00 + VAT</p> <p style="text-align: center;">120.00 Plus annual Vet Fees and VAT on Vets Fees and arrangement fee of 16.00 + VAT</p>

ANIMAL WELFARE	Existing Charge 2016-2017 £	Proposed Charge 2017-2018 rounded + inclusive of VAT where applicable £
<p>Dangerous Wild Animals Act 1976</p> <p>New application for licence to keep a dangerous wild animal as defined in Schedule</p> <p>Renewal of licence to keep a dangerous wild animal as defined in Schedule</p>	<p>N/A New Charge for 2017-18</p> <p>128.00 Plus Vet Fees and VAT on Vets Fees and arrangement fee of 15.50 + VAT</p>	<p>160.00 Plus Vet Fees and VAT on Vets Fees and arrangement fee of 16.00 + VAT</p> <p>134.00 Plus Vet Fees and VAT on Vets Fees and arrangement fee of 16.00 + VAT</p>
<p>Breeding of Dogs Act 1973</p> <p>New application for licence to operate a dog breeding establishment</p> <p>Renewal of licence to operate a dog breeding establishment</p>	<p>N/A New Charge for 2017-18</p> <p>93.00 Plus Vet Fees and VAT on Vets Fees and arrangement fee of 15.50 + VAT</p>	<p>140.00 Plus Vet Fees and VAT on Vets Fees and arrangement fee of 16.00 + VAT</p> <p>98.00 Plus Vet Fees and VAT on Vets Fees and arrangement fee of 16.00 + VAT</p>
<p>Zoo Licensing Act 1981</p> <p>Licence to operate a Zoo</p>	<p>278.00 Plus annual Vet Fees and VAT on Vets Fees and arrangement fee of 15.50 + VAT</p>	<p>292.00 Plus annual Vet Fees and VAT on Vets Fees and arrangement fee of 16.00 + VAT</p>

MISCELLANEOUS	Existing Charge 2016-2017	Proposed Charge 2017-2018 (VAT not applicable)
Local Government (Miscellaneous Provisions) Act 1982 as amended by Local Government Act 2003 Registration of Persons and Premises to allow Practice of Acupuncture, Semi-Permanent Skin Colouring, Cosmetic Piercing and Electrolysis	74.00 (separate registrations required for person and premises)	78.00 (separate registrations required for person and premises)
Local Government (Miscellaneous Provisions) Act 1982 Licence to Operate a Sex Establishment Licence to Operate a Sex Entertainment Venue	1,833.00 1,833.00	1,925.00 1,925.00
Public Health Acts Amendment Act 1907 Licence to Operate Pleasure Boats Pleasure Boat and Vessel Licence	34.00 34.00	36.00 36.00
Scrap Metal Dealers Act 2013 Site Licence (3 years) – New/Renewal Site Licence (3 years) – Variation Collectors Licence (3 years)	283.00 N/A New Charge for 2017-18 158.00	297.00 140.00 166.00

Hackney Carriage and Private Hire – Taxi Licensing

(All of these fees fall outside the scope of VAT). An average increase of 5% is proposed for the following fees:

	Existing Charge 2016/2017	Proposed Charge 2017/2018
Private Hire Operator's Licence - (Renewable every 5 years)		
Application Fee	£400.00 new fee set 1st October 2015. Due to change in legislation.	£420.00
Criminal Record Disclosure (Basic)	Fee set by Disclosure and Barring Service (DBS) or Disclosure Scotland.	(DDDC will charge an admin fee if assisting – see Driver's Licence below).
** Operator will only need a basic criminal record check, if not a licensed driver with the District Council and have a current Enhanced Disclosure Certificate.		
Vehicle Licence (Renewable every year)		
Hackney Carriage Licence Application Fee	£298.00	£313.00
Private Hire Vehicle Licence	£298.00	£313.00
Vehicle FULL Re-test (3 or more items requiring attention)	£60.00	£63.00
Vehicle MINOR re-test (2 items or less requiring attention)	£28.00	£29.50
Vehicle Transfer	£29.50	£31.00
Meter Test (if seal is broken – requiring checking at Testing Depot)	£29.50	£31.00
Vehicle Licence (miscellaneous charges)		
Breaking an Appointment (without 24 hours notification)	£29.50	£31.00
Trailer and Top Box Test	£29.50	£31.00
Driver's Licence (Renewable every 3 years)		
Application for new/renewal of Driver's Licence	£160.00 new fee set 1 st October 2015. Due to change in legislation.	£168.00
DVLA Check (every year)	£8.00 required every year. Fee set by checking company.	No change
DBS Enhanced Criminal Records Check (due every 3 years)	DBS Fee of £44.00 + £8.00 Admin Fee (Derbyshire County Council) + and £2.10 DDDC Admin Fee.	No change
Driver's Knowledge Test/Resit	£29.50	£31.00
Driver's Knowledge Test Cancellation Fee	N/A New Charge for 2017-18	£10.00

Hackney Carriage and Private Hire – Taxi Licensing

	Existing Charge 2016/2017	Proposed Charge 2017/2018
Sundries/Replacement	Prices include VAT	
Driver's Badge	£3.20	£3.35
Driver's Badge Holder	£3.20	£3.35
Council Door Stickers (for front doors)	£9.50	£10.00
Licence plate for rear of vehicle	£8.50	£9.00
Licence plate fixings for rear licence plate	£2.15	£2.25
Licence plate for inside windscreen	£6.35	£6.70
Plastic wallet for windscreen plate	£1.55	£1.65
Duplicate licence (paper copy)	£10.80	£11.00

GAMBLING LICENSING

(The following fees fall outside the scope of VAT). It is proposed that the following fees for applications made during the period 1st April 2017- 31st March 2018 are frozen.

GAMBLING ACT 2005 PREMISES LICENCES APPLICATIONS	Maximum Fees prescribed by regulations (Gambling Act 2005)	Existing Charge 2016/17	Proposed Charge 2017/2018 plus %age and Rounded
Small Casino	£	£	£
New application	8,000.00	£6,980.00	£6,980.00
1 st Annual Fee ***	50% of annual fee	£2,300.00	£2,300.00
Annual Fee	5,000.00	£4,600.00	£4,600.00
Variation	4,000.00	£3,420.00	£3,420.00
Transfer	1,800.00	£1,450.00	£1,450.00
Reinstatement	1,000.00	£1,000.00 (max)	£1,000.00 (max)
Provisional Statement	8,000.00	£7,230.00	£7,230.00
Licence for Provisional Statement Holders	3,000.00	£2,628.00	£2,628.00
Large Casino			
New application	10,000.00	£8,545.00	£8,545.00
1 st Annual Fee ***	50% of annual fee	£4273.00	£4,273.00
Annual Fee	10,000.00	£8,546.00	£8,546.00
Variation	5,000.00	£4,223.00	£4,223.00
Transfer	2,150.00	£1,710.00	£1,710.00
Reinstatement	2,150.00	£1,710.00	£1,710.00
Provisional Statement	10,000.00	£8,415.00	£8,415.00
Licence for Provisional Statement Holders	5,000.00	£4,223.00	£4,223.00
Bingo Club			
New application	3,500	£3,023.00	£3,023.00
1 st Annual Fee ***	50% of annual fee	£440.00	£440.00
Annual Fee	1,000	£880.00	£880.00
Variation	1,750	£1,510.00	£1,510.00
Transfer	1,200	£1,005.00	£1,005.00
Reinstatement	1,200	£1,005.00	£1,005.00

*** 1st Annual Fee is due 30 days after licence is granted, and annual fee is due on anniversary date of grant

GAMBLING ACT 2005 PREMISES LICENCES APPLICATIONS	Maximum Fees prescribed by regulations (Gambling Act 2005)	Existing Charge 2016/17	Proposed Charge 2017/2018 plus %age and Rounded
Bingo Club (cont'd)			
Provisional Statement	3,500	£2,890.00	£2,890.00
Licence for Provisional Statement Holders	1,200	£1,005.00	£1,005.00
Betting Premises (excluding tracks)			
New application	3,000.00	£2,370.00	£2,370.00
1 st Annual Fee ***	50% of annual fee	£263.00	£263.00
Annual Fee	600.00	£526.00	£526.00
Variation	1,500.00	£1,180.00	£1,180.00
Transfer	1,200.00	£920.00	£920.00
Reinstatement	1,200.00	£920.00	£920.00
Provisional Statement	3,000.00	£2,370.00	£2,370.00
Licence for Provisional Statement Holders	1,200.00	£920.00	£920.00
Betting Tracks			
New application	2,500.00	£1,970.00	£1,970.00
1st Annual Fee ***	50% of annual fee	£395.00	£395.00
Annual Fee	1,000.00	£790.00	£790.00
Variation	1,250.00	£1,050.00	£1,050.00
Transfer	950.00	£790.00	£790.00
Reinstatement	950.00	£790.00	£790.00
Provisional Statement	2,500.00	£1,970.00	£1,970.00
Licence for Provisional Statement Holders	950.00	£825.00	£825.00
Family Entertainment Centre (FEC)			
New application	2,000.00	£1,575.00	£1,575.00
1 st Annual Fee ***	50% of annual fee	£329.00	£329.00
Annual Fee	750.00	£658.00	£658.00

*** 1st Annual Fee is due 30 days after licence is granted, and annual fee is due on anniversary date of grant thereafter.

GAMBLING ACT 2005 PREMISES LICENCES APPLICATIONS	Maximum Fees prescribed by regulations (Gambling Act 2005)	Existing Charge 2016/17	Proposed Charge 2017/2018 plus %age and Rounded
Family Entertainment Centre (FEC)			
Variation	1,000.00	£790.00	£790.00
Transfer	50.00	£50.00 (max)	£50.00 (max)
Reinstatement	950.00	£790.00	£790.00
Provisional Statement	2,000.00	£1,577.00	£1,577.00
Licence for Provisional Statement Holders	950.00	£790.00	£790.00
Adult Gaming Centre (AGC)			
New application	2,000.00	£1,577.00	£1,577.00
1 st Annual Fee ***	50% of annual fee	£394.00	£394.00
Annual Fee	1,000.00	£788.00	£788.00
Variation	1,000.00	£788.00	£78.00
Transfer	1,200.00	£1,050.00	£1,050.00
Reinstatement	1,200.00	£1,050.00	£1,050.00
Provisional Statement	2,000.00	£1,577.00	£1,577.00
Licence for Provisional Statement Holders	1,200.00	£1,044.00	£1,044.00

*** 1st Annual Fee is due 30 days after premises licence is granted, and annual fee is due on anniversary date of grant thereafter.

GAMBLING ACT 2005 PREMISES LICENCES APPLICATIONS	Maximum Fees prescribed by regulations (Gambling Act 2005)	Existing Charge 2016/17	Proposed Charge 2017/2018 plus %age and Rounded
Occasional Use Notices (OUNs)	No Fee Permitted	No Fee Permitted	No Fee Permitted
Temporary Use Notices (TUNs)	500.00	£306.00	£306.00
Notification of Change of Details	50.00	£46.25	£46.25
Copy of Licence/Notice	25.00	£19.50	£19.50

STALL MARKETS

(All Stall Market charges are exempt from VAT)

	Existing Charge 2016/17 £	Proposed Charge 2017/18 £
Bakewell Market		
9ft Stall	26.30	26.30
12ft Stall	34.20	34.20
Butcher's Lorry	77.20	77.20
Fast Food Catering Trailer	38.50	38.50
Fish Van	23.00	23.00
Hot Drinks Trailer	34.20	34.20
Charges per additional foot	3.90	3.90
Wirksworth Market		
8ft Stall	15.70	15.70
Fish Trailer	25.90	25.90
Ashbourne Market		
9ft Stall	19.50	19.50
12ft Stall	23.80	23.80
Charges per additional foot	3.20	3.20
Matlock Market		
Tuesday Market	20.90	20.90
Friday Market	23.00	23.00
Large Internal cabin	181.20	181.20
Greengrocer (external cabin)	240.20	240.20
Small Internal Cabin	102.30	102.30
Butcher (Cabin)	102.30	102.30

	Existing Charge 2016/17 £	Proposed Charge 2017/18 £
CASUAL TRADERS		
(stall fee as above to be added to this fee)	2.80	2.80
CHARITY MARKET STALL – NOT FOR PROFIT ORGANISATIONS		
Hire of stall	8.90	8.90
TRADER PARKING		
Parking for Stall Market Traders (per vehicle)	3.80	3.80

Parks & Recreation Ground Fees 2016-17			
ACTIVITY	Existing Charge 2016-17 inclusive VAT £	Proposed Charge 2017-2018 exclusive of 20% VAT £	Proposed Charge 2017-2018 inclusive of 20% VAT and rounded £
Putting Greens per person [VAT applicable]			
Full	3.05	2.63	3.15
Concession	1.60	1.38	1.65
Tennis/Hard Court Area [VAT applicable]			
Hire per tennis court per hour			
Full	7.00	6.00	7.20
Concession	3.50	3.00	3.60
Hire of hard court area per hour			
Full	14.00	12.00	14.40
Concession	7.00	6.00	7.20
Bowling Greens [VAT applicable]			
Per person per hour			
Full	3.50	3.00	3.60
Concession	1.80	1.54	1.85
Reservation for exclusive use of green per match			
Full	27.00	23.17	27.80
Concession	13.50	11.58	13.90
Reservation per club per match			
Full	6.20	5.33	6.40
Full Concession	3.10	2.67	3.20
Season Ticket			
Full	43.75	37.54	45.05
Full Concession	21.80	18.71	22.45
Lease per season of Bakewell Bowling Green			
Special	85.00	Exempt from VAT	87.55
Sports Pitches and Pavilions [VAT applicable]			
Hire of pitch per session (inc marking out, preparation and use of pavilion – Football and Rugby)			
Full	40.50	34.75	41.70
Concession	20.30	17.42	20.90
Hire of pitch per session (inc marking out, preparation and use of pavilion) – Cricket			
Full	42.30	36.33	43.60
Concession	21.20	18.21	21.85
Hire of pitch for training only			
Full	31.80	27.29	32.75
Concession	15.90	13.67	16.40
Hire of changing facilities			
Full	13.90	11.92	14.30
Concession	7.00	6.00	7.20
Hire of Croquet Lawn			
Full	21.50	18.46	22.15
Concession	10.75	9.25	11.10
Hire of Artificial Cricket wicket (inc hire of changing facilities)			
Full	31.50	27.04	32.45
Concession	£15.60	13.42	16.10
Use of Recreation Grounds for Highland Gathering, Carnivals etc			
Special	FREE	FREE	FREE

LEISURE SERVICES

ACTIVITY	Existing Charge 2016-2017 inclusive VAT £	Proposed Charge 2017- 2018 exclusive of 20% VAT £	Proposed Charge 2017- 2018 inclusive of 20% VAT (where applicable) and rounded £
Cash Memberships			
Fitness Freedom (12 Months)			
Full	396.00	330.00	396.00
Concession	268.00	223.33	268.00
Fitness Freedom (1 Month)			
Full	N/A	42.92	51.90
Concession	N/A	28.58	34.30
Fitness Suite (12 Months)			
Full	288.00	240.00	288.00
Concession	195.00	162.50	195.00
Bakewell Full	288.00	240.00	288.00
Bakewell Concession	195.00	162.50	195.00
Swimming (12 Months)			
Full	185.00	154.17	185.00
Concession	124.00	103.33	124.00
Climbing (6 Months)			
Full	125.00	104.17	125.00
Concession	83.75	69.79	83.75
Climbing (1 Month)			
Full	N/A	20.83	25.00
Concession	N/A	13.96	16.75
Active Leisure			
Annual Membership	6.20	5.33	6.40
Replacement Card	2.85	2.46	2.95
Non-Member Charge	0.50	0.42	0.50
Direct Debit Memberships			
Fitness Freedom			
Full	39.60	33.00	39.60
Concession	26.80	22.33	26.80
Fitness Suite			
Full	28.80	24.00	28.80
Concession	19.50	16.25	19.50
Bakewell Full	20.00	16.67	20.00
Bakewell Concession	13.40	11.17	13.40
Swimming			
Full	18.50	15.42	18.50
Concession	12.40	10.33	12.40
Climbing			
Full	25.00	20.83	25.00
Concession	16.75	13.96	16.75

Use of Pool				
Swimming				
	Full	3.75	3.21	3.85
	Concession	2.50	2.17	2.60
	Under 3	0.00	-	0.00
Family (2 Full and up to 2 children)				
	Special	10.40	8.92	10.70
	Additional children	1.10	0.96	1.15
Splash-Out – Inflatable Sessions				
	Full	3.75	3.21	3.85
	Concession	2.50	2.17	2.60
12 for the price of 10 swims				
	Full	38.50	32.08	38.50
	Concession	26.00	21.67	26.00
Swimming Lessons (VAT exempt)				
Per Lesson				
	Full	6.10	N/A	6.30
	Concession	5.00	N/A	5.15
	One to One	20.10	N/A	20.70
Direct Debit (Swimming Lessons)				
	Concession	19.15	N/A	19.70
Fitness Suite				
Joining Fee				
	Full	26.50	22.75	27.30
	Concession	26.50	22.75	27.30
One Month Gym Pass (Cash)				
	Full	40.30	34.58	41.50
	Concession	27.00	23.17	27.80
Use of fitness Suite				
	Full	6.40	5.50	6.60
	Concession	4.20	3.63	4.35
	One to One Tuition (VAT exempt)	20.10	N/A	20.60
	Exercise Referral Scheme	FREE	N/A	FREE
	Personal Training Session	N/A	25.00	30.00
Miscellaneous				
Fitness Class (VAT exempt)				
	Full	4.85	N/A	5.00
	Concession	3.20	N/A	3.30
Shower & Change				
	Special	1.40	1.21	1.45
Sports				
	10 week Block Booking Fee	10.00	8.33	10.00
Badminton/Short Tennis/Short Mat Bowling				
	Full	10.00	8.58	10.30
	Concession	6.70	5.75	6.90
50+ Badminton				
	Special	N/A	2.00	2.40
Table Tennis				
	Full	7.60	6.54	7.85
	Concession	5.10	4.38	5.25
Squash				
	Full	7.50	6.46	7.75
	Concession	5.00	4.29	5.15

Sporting Hire of Halls				
Main Hall				
	Full	43.50	37.33	44.80
	Concession	29.25	25.13	30.15
Half of Main Hall				
	Full	N/A	18.13	21.75
	Concession	N/A	12.17	14.60
	Non Constituted Club	N/A	18.13	21.75
Minor Hall				
	Full	22.00	18.92	22.70
	Concession	14.80	12.71	15.25
Arc Studio				
	Full	N/A	18.33	22.00
	Concession	N/A	12.33	14.80
Clubs & Business Bookings/ hire				
	6 Month Club Affiliation	36.00	30.83	37.00
Hire of Hall Non-Constituted Clubs				
	Main Hall	43.50	37.33	44.80
	Minor Hall/ Arc Studio	22.00	18.88	22.65
Swimming Pool				
Main Pool per Lane				
	Private Hire	13.40	11.50	13.80
	Club Hire	9.00	7.71	9.25
Arc Teaching Pool				
	Private Hire	N/A	28.42	34.10
	Club Hire	N/A	12.83	15.40
	Party	N/A	52.84	63.40
Meeting Rooms / Community Room/ Viewing Area				
	Arc Leisure Matlock	15.00	12.88	15.45
	Ashbourne Leisure Centre	20.00	17.17	20.60
	Wirksworth Leisure Centre	15.00	12.88	15.45
Climbing Room (Wirksworth Leisure Centre)				
Use of Walls (Inc Bouldering)				
	Full	5.00	4.29	5.15
	Concession	3.35	2.88	3.45
	Child under 14(Maximum of 2 per Adult)	2.00	1.71	2.05
12 for the price of 10 Climb				
	Full	50.00	42.92	51.50
	Concession	33.50	28.75	34.50
Basic Tuition (VAT Exempt)				
	Full	20.20	N/A	20.80
	Concession	13.50	N/A	13.90
Climbing Lesson (VAT Exempt)				
	Full	6.10	N/A	6.30
	Concession	5.00	N/A	5.15
One to One instruction (VAT Exempt)				
		20.10	N/A	20.70
Hire of Staff per hour (not eligible for concessions)				
Leisure Attendant/Lifeguard				
	Full	23.30	20.00	24.00
	Level 1 Sports Coach	26.00	N/A	26.80
	Level 2 Sports Coach	29.50	N/A	30.40
Hire Areas/Equipment				
Pool Party (includes lifeguards, pool & viewing area)				

Inc. Inflatable	211.00	180.83	217.00
Exc. Inflatable	131.00	112.50	135.00
Sports Hall Inflatable (inc 1 attendant)			
Special	45.80	39.33	47.20
Racket/Bat / Kwik Cricket / Belay Device			
Special	1.90	1.63	1.95
Hire of Cricket Nets			
Per booking	12.75	10.96	13.15
Coaching Course per session (Trampoline, Football) (VAT Exempt)			
Full	6.10	N/A	6.30
Concession	5.00	N/A	5.15
Holiday Leisure Pass			
3-day Fitness Suite & Swim	14.20	12.21	14.65

BACK TO AGENDA

GOVERNANCE AND RESOURCES COMMITTEE
19 JANUARY 2017

Report of the Head of Regulatory Services

DEVELOPMENT MANAGEMENT – PRE-APPLICATION ADVICE

PURPOSE OF REPORT

This report seeks the introduction a scheme of charging for pre-application advice in respect of Development Management. It explains the work that will need to be undertaken before the charges can be introduced and recommends the adoption of a schedule of charges for this advice.

RECOMMENDATION

That the schedule of charges for pre-application advice listed at Appendix 1 to this Report be adopted with effect from 1 April 2017.

WARDS AFFECTED

All outside the Peak District National Park

STRATEGIC LINK

An effective Development Management service contributes towards a thriving, safe and green District. The proposed action reflects the District Council's corporate aims as stated in the 2016/2017 Corporate Plan.

1 SUMMARY

- 1.1 As part of the Development Management Review it has been recommended that the District Council considers the introduction of charging for pre-application planning advice. As well as introducing a new revenue stream this process should aim to standardise a high quality of advice and to make clear to those seeking advice what standards they can expect.

2 REPORT

- 2.1 The review of the District Council's Development Management Service was one of 3 major service reviews scheduled for 2014/15 and was the subject of a report to Council on 14th June 2014 which agreed the scope of the review.
- 2.2 One of the areas that the review was set up specifically to consider was that of pre-application advice, in particular:
- Effectiveness of current guidance and advice to customers;
 - Streamlining information requirements;
 - Consistency in validation procedures;

- Channel shift;
- Pre-application advice - IDOX recording;
- Introduction of charges ;
- Provision of listed building/conservation advice;
- Website and on-line service delivery.

- 2.3 A further, comprehensive report on the progress of the Development Management Review with a detailed Action Plan was considered by the Governance and Resources Committee on 15 December 2016. Part of that Report and Action Plan recommended the introduction of a charging system for pre-application advice by 1 April 2017.
- 2.5 Officers have been working on the actions required to introduce such a system, including methods for receiving enquiries, methods for receiving payments and the recording of enquiries within the Uniform database. Discussions have also been held with those who submit regular pre-application enquiries, such as Planning Agents. These developments are still in progress but as part of this process it is now necessary for the District Council to adopt a schedule of charges for pre-application advice, so that these can be publicised well in advance of their introduction. The scheme will also need to be subject to an Equality Impact Assessment.
- 2.6 Appendix 1 to this report contains a schedule of charges developed by officers. There is no nationally recommended schedule and the fees suggested are those that officers consider are necessary in order to cover the costs associated with giving high quality advice. It should be noted that fees are set on a sliding scale to take account of the greater amount of time taken to give advice in relation to complex schemes for major planning applications, rather than to unnecessarily penalise householders wishing to obtain advice before making a planning application. All fees are inclusive of VAT and this will be made clear to applicants.
- 2.7 Officers believe that these fees have been set at such a level as to fully cover costs whilst not discouraging developers from seeking advice, as high quality pre-application advice is seen as an essential tool in obtaining high quality development.
- 2.8 In addition it is proposed to provide an enhanced service for any development that helps to meet the District Council's top priorities of business growth and job creation or affordable housing. For business growth this enhancement would take the form of additional priority being given to any scheme that includes significant employment creation, the creation of a lower fee for development up to an area of 499 sqm, along with a general discretion (in consultation with colleagues in Regeneration and Policy) to waive pre-application fees on a case-by-case basis for any particularly high-priority project. In respect of affordable housing it is proposed that pre-application fees would be waived for any development consisting of 100% affordable housing. Pre-application fees will also be waived for enquiries relating to adaptations for disabled people.

3 RISK ASSESSMENT

3.1 Legal

The District Council is able to charge for pre application advice services under [section 93 of the Local Government Act 2003](#). Where charges are made they must not exceed the cost of providing the service or discourage appropriate pre-

application discussions. The proposals in this report set an appropriate balance to encourage pre application engagement to save time and potentially improve the planning outcome. The legal risk is therefore low.

3.2 Financial

The intention is to set fees at such a level as to fully cover costs. Income received will therefore offset officer costs and assist the Council in meeting its Corporate Savings Target. The financial risk arising from this report 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

Tim Braund, Head of Regulatory Services, Tel: 01629 761118, Email: tim.braund@derbyshiredales.gov.uk

6 BACKGROUND PAPERS

None

7 ATTACHMENTS

Appendix 1 – Schedule of Pre-Application Advice fees

BACK TO AGENDA

Appendix 1

Proposal	Letter	Meeting In Council offices unless otherwise requested by Officers
200+ Dwellings / more than 4Ha Time to respond 4 weeks or as otherwise notified Code: PM0103	£750	Letter and meeting £1000
All other uses 10,000+sqm/more than 2 Ha or major renewables Time to respond 4 weeks or as otherwise notified Code: P0505	£750	Letter and meeting £1000
10-199 Dwellings / 0.5 – 4 Ha Time to respond 4 weeks or as otherwise notified Code: P0103	£500	Letter and meeting £750
All other uses 1,000 – 9,999 Sqm / 1-2 Ha, 4 – 9 dwellings (Outline less than 0.5 Ha) Time to respond 4 weeks or as otherwise notified Code: P0603	£300	Letter and meeting £500
All other Uses 500-999 Sqm (Less than 1 Ha), 0 – 3 dwellings (Outline less than 0.5 Ha) Time to respond 4 weeks or as otherwise notified Code: P0606	£150	Letter and meeting £350
All other uses 0 – 499 Sqm Time taken to respond 4 weeks or as otherwise notified	£100	Letter and meeting £150
Works to Listed Buildings Time to respond 2 weeks or as otherwise notified Code: P1501	Householder £50 Commercial £100	Letter and meeting: Householder £150 Commercial £200
Change of use inc. notifications (not inc. major developments / engineering work) inc. minor renewables Time to respond 2 weeks or as otherwise notified Code: P12	£100	N/A
Householder proposals (Per site) Time to respond 2 weeks or as otherwise notified Code: P1301	£50	N/A
Advertisement proposals (Per site) Time to respond 2 weeks or as otherwise notified Code: P1401	£50	N/A
Do I need planning permission Time to respond 2 weeks Code: P01	£25	N/A

Additional letters and/or meetings	Half original fee	N/A
Initial 'in principle' enquiry with email confirmation of meeting with limited up front information provided.	£300	Email to confirm discussion at meeting

BACK TO AGENDA

GOVERNANCE AND RESOURCES COMMITTEE
19 JANUARY 2017

Report of the Head of Corporate Services

MEMBER DEVELOPMENT WORKING GROUP

PURPOSE OF THE REPORT

This report reports back on the Member Development Working Group's recommendations relating to mandatory and discretionary training for the remainder of 2016/17 and ahead to 2017/18. The report also provides feedback on the recent Community Leadership development day attended by 5 Members.

RECOMMENDATION

1. That the report is noted.
2. That Council is recommended to revise its Code of Conduct to include a requirement to attend all mandatory training as defined by the Council, and that any failure to do so within the set timeframes, is considered a potential breach of the Code.
3. That the training programme set out in paragraph 3.2 is approved for implementation as described.
4. That the report from the Community Leadership Training Day be used to inform the Induction Training for new Members in 2019.

WARDS AFFECTED

Not applicable

STRATEGIC LINK

Training and Development for elected Members helps to support their role as Community Leaders and has a direct impact on the District Council's reputation and perception of its Corporate Vision and Plan.

1 BACKGROUND

- 1.1 The Member Development Working Group's Terms of Reference are as follows.
 - To consult elected members on their training needs and prepare for recommendation to the Governance and Resources Committee, an annual Training and Development Plan.
 - To review the effectiveness of training provided
 - To review the Member Development Scheme
- 1.2 The Group comprises the following elected Member representatives:
- 1.3 Councillors Alyson Hill (Member Representative), Deborah Botham, Martin Burfoot, Sue Bull, Susan Hobson, and John Tibenham.

- 1.4 The Group met to review feedback from Councillors in response to the Skills and Knowledge Audit and to plan the replacement programme of Members iPads. This report sets out the Group's recommendations for future training in response to the information received
- 1.5 On 22 November, five Members attended the Community Leadership training day as agreed by the Committee at its September meeting. The report summarising the outcome of that day is attached as an Appendix to the report.

2 REVIEW OF MANDATORY TRAINING TO DATE

- 2.1 At its meeting in September, 2016, the Committee reviewed the attendance records to satisfy the agreed criteria that all members of the Council should attend mandatory training in planning and ethics on an annual basis. Despite agreeing to a deadline of 29 September 2016, 5 members have yet to undertake the training. Two substitute members of the Planning Committee have been suspended until their training record is complete for 2016/17. Refresher training will begin anew in 2017.
- 2.2 The requirement to attend mandatory training is a risk mitigation measure and aims to demonstrate good governance and professionalism in key areas. To reinforce the importance of training, Council is recommended to include the requirement to attend training in the Code of Conduct for elected Members. A draft version of the Code with suitable amendment is attached as an appendix.

3 TRAINING NEEDS QUESTIONNAIRE

- 3.1 At the last meeting, the Committee approved the Working group's recommendation to invite all members to participate in a questionnaire to capture individuals' training needs for 2017. The following table summarises the most popular choices.

Subject	% popularity	Suggested delivery
Community Asset Transfers – overview	54	10 minute briefing prior to April Council
Sources of External funding	43	Include in budget training prior to March council meeting. Dual perspective – budget and economic development
ICT training on iPad	37	1:1 training prior to planned meetings and when certain iPads are due for upgrade.
Scrutinising the Budget	37	Budget training prior to March meeting of Council

Subject	% popularity	Suggested delivery
Departmental responsibilities	36	Include in key issues briefing where CLT ring forward matters of interest.
Coaching and mentoring	29	Potential out of house delivery through East Midlands Provincial Council in 2017/18
Speed reading	21	Potential out of house delivery through East Midlands Provincial Council in 2017/18

In addition the Member Development Working agreed to recommend:

- Treasury Management training prior to Council January, and
- Operational management responsibilities – included in Key Issues training

4 MEMBERS ICT

- 4.1 At the last meeting, the Committee agreed to a Wi-Fi only device as part of the rolling replacement programme. 10 devices are due to be replaced in 2016/17 and a further 9 in 2017/18. Removal of the 3g allowance will help to contribute to the District Council's overall savings target. Replacement devices are self-financing from the budget set for the monthly 3g connection costs.
- 4.2 Once the original devices have been returned, they will be wiped of all data and offered for sale to Councillors and Officers on a first come, first served basis. No warranty will be given or implied.

5 COMMUNITY LEADERSHIP PROGRAMME

- 5.1 Five Councillors attended a Community Leadership training day on 22 November as agreed by the Committee at its last meeting. The aim of the day was to:
- Help Members begin to envision what Effective Community Leadership in the Derbyshire Dales should look like in the medium to long term;
 - Explore the role of Members in driving and delivering the Community Leadership agenda, and to establish appropriate behavioural competencies to underpin the role;
 - Give members a structured opportunity to explore their individual strengths and potential development needs relative to the Community Leadership role.
- 5.2 A report based on the day and the attendees input is attached as an appendix for information. The findings will help inform future development needs for the Council as a whole in relation to Community Leadership and for the individuals' personal development.

5.3 Feedback from the day was very positive. However, on balance, the attendees felt that they would not recommend a repeat given the level of commitment required from individuals and the cost implications.

6 COMMENT FROM MEMBER REPRESENTATIVE

6.1 Councillor Alyson Hill had this to say about the Group's first report to the Committee.

6.2 I support the recommendation to include training in the Code of Conduct. Mandatory training is so important for us as Councillors to do our job well, and also for the public to have confidence in us.

7 RISK ASSESSMENT

7.1 Legal

There are no legal risks arising directly from the report. An effective training and development plan helps to prepare Members to make an informed and balanced decision which helps to mitigate legal risk in the round.

7.2 Financial

The proposed training can be accommodated from existing budgets. The financial risk arising from this report is assessed as low.

8 OTHER CONSIDERATIONS

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

9 CONTACT INFORMATION

Sandra Lamb, Head of Corporate Services,
e-mail sandra.lamb@derbyshiredales.gov.uk

Councillor Allyson Hill, Member Representative
Email: Allyson.hill@derbyshiredales.gov.uk

10 BACKGROUND INFORMATION

None

11 ATTACHMENTS

Appendix 1 – draft amended Councillor's Code of Conduct

Appendix 2 – Community Leadership Development report



Councillor's Code of Conduct

June 2012

As a member or co-opted member of Derbyshire Dales District Council, I have a responsibility to represent the community and work constructively with our staff and partner organisations to secure better social, economic and environmental outcomes for all.

In accordance with the Localism Act provisions, when acting in this capacity i.e.

- At formal meetings of the Council, its Committees and Sub-Committees
- When acting as a representative of the authority
- In discharging functions as a Ward Member
- At briefing meetings with officers and at site visits
- When corresponding with the authority, other than in a private capacity

I am committed to behaving in a manner that is consistent with the following principles to achieve best value for our residents and maintain public confidence in this authority.

SELFLESSNESS: Holders of public office should act solely in terms of the public interest. They should not do so in order to gain financial or other material benefits for themselves, their family, or their friends.

INTEGRITY: Holders of public office should not place themselves under any financial or other obligation to outside individuals or organisations that might seek to influence them in the performance of their official duties.

OBJECTIVITY: In carrying out public business, including making public appointments, awarding contracts, or recommending individuals for rewards and benefits, holders of public office should make choices on merit.

ACCOUNTABILITY: Holders of public office are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate to their office.

OPENNESS: Holders of public office should be as open as possible about all the decisions and actions that they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands.

HONESTY: Holders of public office have a duty to declare any private interests relating to their public duties and to take steps to resolve any conflicts arising in a way that protects the public interest.

BULLYING AND HARASSMENT: Holders of public office must treat others with respect and must not pursue a course of conduct which amounts to bullying or harassment of another.

LEADERSHIP: Holders of public office should promote and support these principles by leadership and example.

The Act provides for registration and disclosure of interests and in Derbyshire Dales District Council, this will be done as follows:

1. DISCLOSABLE PECUNIARY INTERESTS

I will -

- Comply with the statutory requirements to register, disclose and withdraw from participating in respect of any matter in which I have a Disclosable Pecuniary Interest as defined in Appendix A.
- Keep my register of interests up to date and notify the Monitoring Officer in writing within 28 days of becoming aware of any change in respect of my interests.
- Make verbal declaration of the existence and nature of any Disclosable Pecuniary Interest at any meeting at which I am present at which an item of business which affects or relates to the subject matter of that interests is under consideration, at or before the consideration of the item of business or as soon as the interest becomes apparent.

2. SENSITIVE INFORMATION

Where I consider that the information relating to any of my interests in 1 above is sensitive information, and the District Council's Monitoring Officer agrees, I need not include that information when registering that interest, or, as the case may be, a change to that interest under section In this Code "sensitive information" means information whose availability for inspection by the public creates or is likely to create, a serious risk that I or a person who lives with me may be subjected to violence or intimidation.

3. OTHER INTERESTS

In addition to the statutory requirements, I will make verbal declaration of the existence and nature of any other non-disclosable pecuniary interest or non-pecuniary interest at any meeting at which I am present at which an item of business is under consideration, at or before the consideration of the item, or as soon as the interest becomes apparent where –

- The matter may be particularly regarded as affecting the well-being or financial standing of me, a friend or a member of my family
- It relates to, or is likely to affect, any of the interests listed in Appendix A to this Code, but in respect of my family or friends.

As a Member of Derbyshire Dales District Council, my conduct will in particular address the statutory principles of the Code of Conduct by:

- Championing the needs of residents – the whole community and in a special way my constituents, including those who did not vote for me - and putting their interests first.
- Dealing with representations or enquiries from residents, members of our communities and visitors fairly, appropriately and impartially.
- Not allowing other pressures, including the financial interests of myself or others connected to me, to deter me from pursuing constituents' casework, the interests of the District Council or the good governance of the authority in a proper manner.
- Exercising independent judgement and not compromising my position by placing myself under obligations to outside individuals or organisations who might seek to influence the way I perform my duties as a member/co-opted member of this authority.
- Listening to the interests of all parties, including relevant advice from statutory and other professional officers, taking all relevant information into consideration, remaining objective and making decisions on merit.
- Being accountable for my decisions and co-operating when scrutinised internally and externally, including by local residents.
- Contributing to making this authority's decision-making processes as open and transparent as possible to enable residents to understand the reasoning behind those decisions and to be informed when holding me and other members to account but restricting access to information when the wider public interest or the law requires it.
- Respecting the confidentiality of information which I receive as a member in accordance with the District Council's Member/Employee Protocol.
- Behaving in accordance with all our legal obligations, with particular regard to the:

- Data Protection Act 1998
 - Freedom of Information Act 2000
 - Bribery Act 2010
 - Equality Act 2010
-
- Having regard to the principles of the authority's policies, protocols and procedures, including on the use of the Authority's resources.
 - **Attending mandatory training provided by the authority as appropriate to my role as Councillor.**
 - Valuing my colleagues and staff and engaging with them in an appropriate manner and one that underpins the mutual respect between us that is essential to good local government.
 - Always treating people with respect, including the organisations and public I engage with and those I work alongside.
 - Providing leadership through behaving in accordance with these principles when championing the interests of the community with other organisations as well as within this authority.

BACK TO AGENDA

APPENDIX A

DISCLOSABLE PECUNIARY INTERESTS

In accordance with Section 30(3) of the Act a pecuniary interest is a “disclosable pecuniary interest” in relation to a Member, if it is of a description specified below and either

- is an interest of the Member, or
- is an interest of
- the members spouse or civil partner
- a person with whom the member is living as husband and wife, or
- a person with whom the Member is living as if they were civil partners, and the Member is aware that the other person has the interest.

Subject	Prescribed description
Employment, office, trade, profession or vacation	Any employment, office, trade, profession or vocation carried on for profit or gain
Sponsorship	Any payment or provision of any other financial benefit (other than from the relevant authority) made or provided within the relevant period in respect of any expenses incurred by the member in carrying out duties as a member, or towards the election expenses of the member. This includes any payment or financial benefit from a trade union within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992(a).
Contracts	Any contract which is made between the relevant person (or a body in which the relevant person has a beneficial interest) and the relevant authority – (a) under which goods or services are to be provided or works are to be executed; and (b) which has not been fully discharged.
Land	Any beneficial interest in land which is within the area of the relevant authority.
Licenses	Any licence (alone or jointly with others) to occupy land in the area of the relevant authority for a month or longer
Corporate tenancies	Any tenancy where (to the Member’s knowledge) – (a) the landlord is the relevant authority; and

	(b) the tenant is a body in which the relevant person has a beneficial interest
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BACK TO REPORT



Derbyshire Dales District Council

Community Leadership Development Report

Tracey Pepper & John Regan
December 2016



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Introduction

The purpose of the Derbyshire Dales Community Leadership Development Day was to:

- Help members begin to envision what Effective Community Leadership in the Derbyshire Dales should look like in the medium to long term,
- Explore the role of members in driving and delivering the Community Leadership agenda, and to establish appropriate behavioural competencies to underpin the role,
- Give members a structured opportunity to explore their individual strengths and potential development needs relative to the Community Leadership role.

Methodology

An invitation was sent out to 12 members three weeks before the one day event, asking them to complete an online personality questionnaire, 15FQ.

By using the 15FQ+ competency development profiling, participants were given the opportunity for personal reflection and review of individual competency domains to help inform personal development planning. Two reports were developed for each member participating. One was competency based and the other was an enhanced report to give feedback on personality and individual differences. The reports were sent in confidence to each participant.

The day event then followed and was approached in a way that encouraged full group participation with activity based learning, exploration and discussion, enabling the group to share ideas and gain commitment to the future Community Leadership Role.

Five members participated and thanks goes to Councillors:

John Tibenham, Helen Froggat, Alyson Hill, Susan Hobson and Jason Atkin.



“Community Leadership is about building the capacity of a human community to shape its own future”

Adapted from Peter Senge

Visioning Community Leadership

1. Understanding the role of the Community Leader

Where are we now?	What does the Future Look like?
<ul style="list-style-type: none"> ➤ Sniping ➤ Need better support and mentoring in procedural and legal areas ➤ More knowledge and guidance ➤ Better communications with officers / corporate ➤ Thrown in at the deep end ➤ Lack of role clarity ➤ Too many acronyms ➤ Depth of content, (in training) 	<ul style="list-style-type: none"> ➤ People, (residents and business) in wards are happy with us ➤ Appreciation and recognition ➤ Relationships - open and all working together ➤ Better co-operation and co-ordination between levels of authority ➤ Need to understand the inter-relationship between authority ➤ To be a conduit

2. How to measure success

- Not just about the “hard” results but also “how” we get there
- Retention of Seat
- Feeling of Worth
- Numbers engaged in local community forums
- Reconciliation
- Issues resolved through direct intervention or signposting
- Happy communities

3. Developing the competencies

The broad consensus at the workshop was that a District Councillor's role in Community Leadership is about helping to ensure that public services within their wards are delivered in integrated, effective and efficient ways.

Those present worked through Psytech International's Universal Competency Framework and identified competency domains thought relevant to the Community Leadership role.

Additionally, the group generated a set of attributes felt to be essential for effective performance in the role. These are summarised in the word cloud below:



As can be seen, all but two of the identified attributes are about skills and /or behaviour. The group felt strongly that effective deployment of such skills/behaviours depends heavily on the two knowledge areas they also identified:

1. Better knowledge and understanding of the roles, responsibilities and protocols of partner agencies working within the Ward,

2. Deeper understanding of own Ward, its issues and problems.

The following broad competency definitions are a combination of outcomes from the day's exercises and assume that separate arrangements will be made to meet identified knowledge gaps.

COMPETENCY DOMAIN	ASSOCIATED BEHAVIOURAL TRAITS.
INTEGRITY (High Importance)	<ul style="list-style-type: none"> ▪ Is open and honest in all dealings. ▪ Can work independently within agreed boundaries and protocols. ▪ Behaves ethically and upholds Council values. ▪ Has a strong sense of duty and care. ▪ Takes responsibility for own mistakes. ▪ Has broad shoulders but recognises own limitations and seeks help when appropriate.
INTERPERSONAL SKILLS (High Importance)	<ul style="list-style-type: none"> ▪ Builds and maintains strong positive working relationships with a wide range of others. ▪ Displays high levels of empathy and interpersonal sensitivity. ▪ Listens attentively with an open mind. ▪ Communicates clearly and coherently. ▪ Able to weigh opposing views and resolve conflict when necessary. ▪ Acts with tact and diplomacy.
ENERGY & DRIVE (High Importance)	<ul style="list-style-type: none"> ▪ Approaches tasks energetically and enthusiastically. ▪ Is passionate about Community Leadership and proud to be involved. ▪ Takes the initiative as and when appropriate. ▪ Is self-motivated and resourceful. ▪ Stays focused and on task.

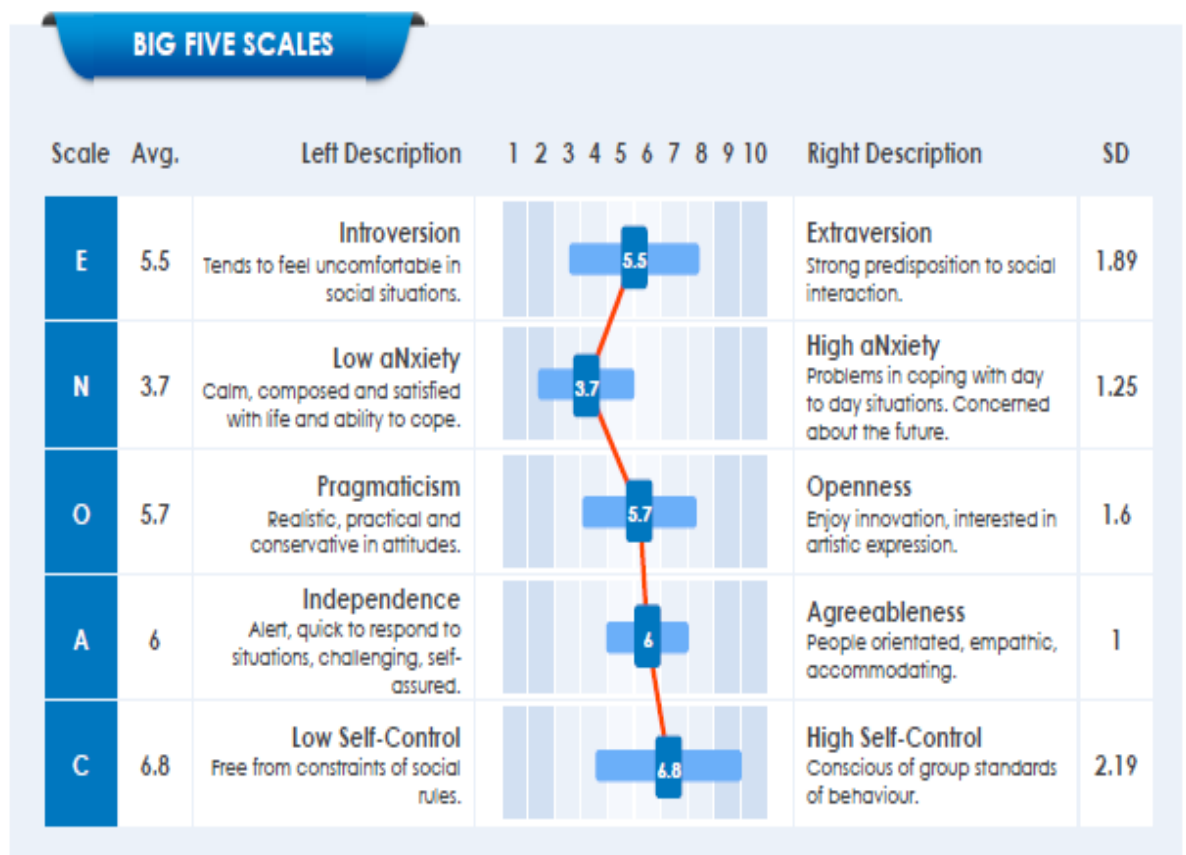
<p>RESILIENCE (Medium Importance)</p>	<ul style="list-style-type: none"> ▪ Stays calm under pressure. ▪ Controls own emotions and responds effectively to others in emotionally charged situations. ▪ Accepts fair criticism and learns from it. ▪ Is rarely disheartened by setbacks. ▪ Has patience.
<p>QUALITY ORIENTATION (Medium Importance)</p>	<ul style="list-style-type: none"> ▪ Produces work of high standard with due regard for accuracy and sufficient attention to detail. ▪ Takes account of all work standards and protocols relevant to the task at hand. ▪ Has a systematic and orderly approach. ▪ Sees tasks through to the end. ▪ Always seeks feedback to help improve performance.
<p>PLANNING & ORGANISING (Medium Importance)</p>	<ul style="list-style-type: none"> ▪ Organises own work and manages own time effectively. ▪ Able to plan and organise the work of others. ▪ Assesses risk of failure and plans for contingencies. ▪ Delegates when appropriate and acts as coach/facilitator when and where necessary. ▪ Finishes tasks / projects on time and within budget.

4. Group Analysis

The Fifteen Factor Questionnaire Plus (15FQ+) is an assessment of personality and individual differences. The 15FQ+ is based on one of the most researched and respected models of personality, identifying behaviour preferences across Cattell's 16 personality constructs (Cattell, 1946) and the big five personality traits (McCrae and Costa, 1987). These provide insight into how people typically think, feel and interact in ways that may be productive or counter-productive for an organisation:



The tables below have been extracted from the Extended Group Report that provides a summary of the results of the group respondents. It presents average scores and standard deviations on all the scales of the 15FQ+ as well as providing the frequency distribution for the derived scales. The respondents were: Jason Atkin, Deborah Botham, Helen Froggatt, Alyson Hill, Susan Hobson, and John Tibenham.





15FQ+ SCALES

MAIN SCALES

Scale	Avg.	Left Description	1	2	3	4	5	6	7	8	9	10	Right Description	SD
fA	7.5	Distant Aloof Reserved, Distant, Detached, Impersonal.							7.5				Empathic Affable, Personable, Warm-hearted.	1.5
β	7	Low Intellectance Lacking confidence in own intellectual abilities.							7				High Intellectance Confident of own intellectual abilities.	2.16
fC	7.5	Affected by Feelings Emotional, Changeable, Labile, Moody.							7.5				Emotionally Stable Mature, Calm, Phlegmatic.	1.26
fE	6.2	Accommodating Passive, Mild, Humble, Deferential.							6.2				Dominant Assertive, Competitive, Aggressive, Forceful.	1.46
fF	5.2	Sober Serious Restrained, Taciturn, Cautious.							5.2				Enthusiastic Lively, Cheerful, Happy-go-lucky, Carefree.	1.57
fG	5.5	Expedient Spontaneous, Disregarding of rules & obligations.							5.5				Conscientious Persevering, Dutiful, Detail conscious.	1.98
fH	6.2	Retiring Timid, Self-conscious, Hesitant in social settings.							6.2				Socially-bold Venturesome, Talkative, Socially confident.	2.12
fI	6.2	Hard-headed Utilitarian, Unsentimental, Lacks aesthetic sensitivity.							6.2				Tender-minded Sensitive, Aesthetically aware, Sentimental.	2.27
fL	3.3	Trusting Accepting, Unsuspecting, Credulous, Tolerant.						3.3					Suspicious Sceptical, Cynical, Doubting, Critical.	1.89
fM	5	Concrete Solution-focused, Realistic, Practical, Down-to-earth.							5				Abstract Imaginative, Absent-minded, Impractical.	2.16
fN	7.3	Direct Genuine, Artless, Open, Forthright, Straightforward.							7.3				Restrained Diplomatic, Socially astute, Socially aware, Discreet.	2.43
fO	4.3	Confident Secure, Self-assured, Unworried, Guilt-free.							4.3				Self-doubting Worrying, Insecure, Apprehensive.	1.25
fQ ₁	4.2	Conventional Traditional, Conservative, Conforming.							4.2				Radical Experimenting, Open to change, Unconventional.	1.34
fQ ₂	6	Group-oriented Sociable, Group dependent, a "Joiner".							6				Self-sufficient Solitary, Self-reliant, Individualistic.	2.16
fQ ₃	7.2	Informal Undisciplined, Uncontrolled, Lax, Follows own urges.							7.2				Self-disciplined Compulsive, Fastidious, Exacting willpower.	2.12
fQ ₄	4	Composed Relaxed, Placid, Patient.							4				Tense-driven Impatient, Low frustration tolerance, Irritable.	1.29

Group average scores against Universal Competency Framework

Competency Domain	Level	1	2	3	4	5	6	7	8	9	10	
Integrity	M	6.3										
Creativity	M	4.3										
Logical / Analytical	MH	6.6										
Interpersonal Skills	MH	7.5										
Resilience	MH	7.3										
Persuasiveness	MH	7.2										
Planning / Organising	M	5.3										
Quality Orientation	M	5.6										
Energy / Drive	MH	6.6										
OVERALL	MH	6.3										

5. Commitment to Next Steps:

The group finished the day by considering and then committing to next steps which were:

Steps I can take:

- Communicate with other LGAs
- Meet regularly to review development
- Get the information we need and asked for
- Research
- Keep in close contact with residents so any problems can be dealt with quickly
- Know subject better
- Be more assertive
- Complete Action Plan and adapting leadership style template
- Liaise with Sandra re MDG and Training
- Get Better Knowledge
- Make sure Town Hall is kept up to date with any problems

How to help each other:

- Use your own strengths for others
- Positive Mental Attitude, (PMA)
- See if we can get better information from council
- Continue to meet as a group
- Try to implement mentorship programme
- Empathise more
- More diplomatic
- Listen a little more
- Communicate Better
- Share information - action with other ward members
- Better communication from group leaders

6. Recommendations for the future

1. Review the induction process for council members and ensure it gives individuals the opportunity to gain:
 - Better knowledge and understanding of the roles, responsibilities and protocols of partner agencies working within the Ward,
 - Deeper understanding of own Ward, its issues and problems.
2. Utilise the work done to create the competencies and consider incorporating them into the induction and job descriptions for council members and then using them for self-development.
3. There is an opportunity for further development of community leadership based on the competence framework and through a modular approach that considers any collective needs of council members such as:
 - Thinking Styles
 - Influencing
 - Leadership Approach
 - Working Collaboratively
4. Those that have already completed their 15FQ have been given further guidance to help them self-assess and develop their own Personal Leadership Development Plan.

BACK TO AGENDA

GOVERNANCE AND RESOURCES COMMITTEE
19 JANUARY 2017

Report of the Head of Resources

UPDATE ON DATA PROTECTION HEALTH CHECK

PURPOSE OF REPORT

This report provides details of the Data Protection Health Check and seeks approval for the action plan.

RECOMMENDATIONS

1. That the findings and conclusions of the Data Protection Health Check are noted;
2. That the Data Protection Health Check Action Plan is approved.

WARDS AFFECTED

None

STRATEGIC LINK

Sound arrangements for information governance and data protection support the District Council's values to be open and transparent when making decisions and to use public resources ethically and responsibly.

1 BACKGROUND

- 1.1 Members of this committee will be aware that an internal audit review of data protection arrangements in 2015 concluded that arrangements were unsatisfactory and made a number of recommendations. Some of the recommendations have not yet been implemented. At the meeting of this committee held on 9th June 2016 it was agreed that a consultant should be appointed to carry out a Data Protection Health Check.
- 1.2 Since that time the EU General Data Protection Regulation (GDPR) has been passed. This regulation introduces a number of complex new requirements, which the Council must be ready to meet when the GDPR comes into force in May 2018. The GDPR gives the Information Commissioners Office (ICO) the power to issue fines of up to €20m, demonstrating that the importance of managing Data Protection risk appropriately has increased considerably. Councils have been on the receiving end of a number of fines in recent years under the current regulatory regime, and therefore it is likely that the ICO will continue to focus on this sector.
- 1.3 The Health Check has now been carried out and this report sets out the findings and an action plan.

- 1.4 Provision was made in the 2016/17 budget for the appointment of an employee who would be responsible for addressing some of the data protection issues. The Corporate Leadership Team agreed that, prior to appointing an employee, a Data Protection Health Check would be undertaken. As part of the health check, the resources required to implement the Action Plan have been identified and are set out in the report below.

2 REPORT

- 2.1 The consultant's report takes the form of a gap analysis – highlighting areas where the Council's current arrangements do not meet the requirements of GDPR. The findings are summarised below:

The consultant found that the Council has implemented a number of **good Data Protection practices**, including:

- An Information Governance Framework and Strategy has been defined, which outlines the roles and responsibilities of key staff with respect to Data Protection and sets out the strategy for managing Data Protection risk.
- An Information Asset Register has been produced, recording information about the Personal Information processed by council systems.
- The existing of risk management practices, including the implementation of risk registers across the departments with regular monitoring activity being performed.

The consultant's report identified **a number of areas where the council should seek to make improvements** in order to be ready for the GDPR. Many of these changes are to be expected given the complexity of the new requirements introduced by the GDPR. However, a number of the findings relate to processes and controls that would be necessary to effectively manage privacy risk under the current legal regime. The areas for improvements include:

- The role of the Data Protection Officer and adequacy of resources devoted to the data protection function;
- Arrangements for effective management and control of privacy risks;
- Staff awareness of Data Protection and lack of a strong data protection culture.

- 2.2 The consultant's report makes several detailed recommendations regarding the improvements that are required to prepare for the introduction of GDPR in May 2018. These incorporate the outstanding recommendations from the internal audit review that have previously been reported to the committee. The recommendations have been summarised into a GDPR Action Plan, which is shown as Appendix 1 to this report.

- 2.3 It is clear that current resources devoted to data protection will be inadequate for GDPR. The 2016/17 budget includes £26,379 for the salary and oncosts of a data protection officer; with the approval of the committee, £15,790 of this has been used to fund the cost of the health check. The report indicates that in addition to the substantive post, an interim resource will be necessary for approximately twelve

months to manage the process of preparing for the General Data Protection Regulation. It will be necessary to carry out a recruitment or procurement exercise to appoint a temporary employee or consultant to undertake this role. At this stage, it is estimated that this interim resource will cost approximately £50,000. This sum will be included in the draft spending proposals to be considered by Council on 2nd March 2017.

3 RISK ASSESSMENT

3.1 Legal

Currently, all organisations in the UK that collect, process or store personal information must comply with the Data Protection Act 1998 (DPA), or face fines of up to £500,000 in the event of a data breach.

The DPA will soon be superseded by the EU General Data Protection Regulation (GDPR), which prescribes considerably greater penalties – up to 4% of annual global turnover or €20 million. All organisations that process EU residents' data must comply with the GDPR by 25 May 2018.

The legal risk is therefore currently high with the measure outlined in the report aimed at mitigating that risk to low/medium.

3.2 Financial

The current revenue budget includes £26,379 for the salary and oncosts of a data protection officer, of which £15,790 has been used for the data protection health check. This post will need to be retained to manage data protection issues on an ongoing basis.

The cost of an interim resource to manage the implementation of the GDPR Action Plan has been estimated as £50,000. This sum will be included in the draft revised estimates for 2016/17 to be considered by Council on 2nd March 2017.

Failure to comply with the Data Protection Act can result in significant fines and/or enforcement action.

The financial risk of implementing the recommendations of this report is assessed as “medium”.

3.3 Corporate Risk

The Council holds significant amounts of information / data, some of which is classed as personal information. The Council has a responsibility to adopt arrangements that protect personal information while at the same time it faces intense pressure to deliver unprecedented funding cuts, organisational change and innovation in service delivery while meeting public demands for greater transparency in decision-making and performance.

With the Council's aspiration to become paperless, along with mobile and home working arrangements, there is an increased risk that data is shared inappropriately with the wrong individuals/bodies/committees etc. and that information is not appropriately safeguarded. Effective arrangements for data protection will ensure that the Council does not risk financial or reputation damage arising from data protection security breaches

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; Email: karen.henriksen@derbyshiredales.gov.uk

6 BACKGROUND PAPERS

None

7 ATTACHMENTS

Appendix 1 - General Data Protection Regulation (GDPR) Action Plan

BACK TO AGENDA

General Data Protection Regulation (GDPR) Action Plan

Area	Action required	When?
Staffing	Arrange to have a suitable Data Protection Officer in place	As soon as possible
	Arrange for adequate resources to prepare for the implementation of the GDPR, especially Privacy	January to April 2017
Training and Awareness	Conduct formal, regular training, raise staff and member awareness of Data Protection issues, especially privacy issues, and promote a strong data protection culture	Immediately and ongoing
Information Asset Registers	Make improvements to the Information Asset Registers to meet the requirements of GDPR	January to June 2017
Risk Registers	Include data protection risks on departmental risk registers	Completed December 2016
Policies etc.	Review policies, standards, guidelines and procedures and update them to reflect GDPR requirements, then communicate to employees and provide training where necessary	April 2017 to December 2017
Information Management	Make improvements to the arrangements for collecting and processing personal information	April 2017 to March 2018
Third Parties	Review arrangements where third parties process information on behalf of the Council	September 2017 to March 2018
Incident Management	Review the existing policy and processes for managing privacy incidents & the reporting of breaches	January to March 2018
Monitoring	Define Key Performance Indicators for measuring the effectiveness of the Privacy control environment and introduce continuous monitoring	January to March 2018

BACK TO AGENDA