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Wednesday, 6 September 2023

To All Councillors:

As a Member or Substitute of the **Governance & Resources Committee**, please treat this as your summons to attend a meeting on **Thursday, 14 September 2023 at 6.00 pm** in the **Council Chamber, Town Hall, Matlock, DE4 3NN**

Yours sincerely,

James McLaughlin  
Director of Corporate and Customer Services

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## **AGENDA**

### **1. APOLOGIES FOR ABSENCE**

Please advise the Democratic Services Team on 01629 761133 or email [committee@derbyshiredales.gov.uk](mailto:committee@derbyshiredales.gov.uk) of any apologies for absence.

### **2. APPROVAL OF MINUTES OF PREVIOUS MEETING (Pages 5 - 12)**

20 July 2023

### **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 email) **BY NO LATER THAN**

**12 NOON OF THE WORKING DAY PRECEDING THE MEETING.** As per Procedural Rule 14.4 at any one meeting no person may submit more than 3 questions and no more than 1 such question may be asked on behalf of one organisation.

#### **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 the time.

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

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

#### **6. EXTERNAL AUDIT STRATEGY MEMORANDUM FOR THE FINANCIAL YEAR ENDED 31 MARCH 2023 (Pages 13 - 50)**

This report provides information about the external audit plan for the 2022/23 accounts.

#### **7. EQUALITY, CONSULTATION AND ENGAGEMENT PLAN 2022-2024 (Pages 51 - 84)**

The District Council publishes an Equality, Consultation and Engagement Plan which sets out how the Council will meet its public sector equality duties, and what consultation and engagement activities are proposed for each year. This report provides an update on progress against the 2022-23 actions set out in the Equality, Consultation and Engagement Plan 2022-24.

#### **8. DEVELOPMENT OF THE DERBYSHIRE DALES PLAN 2024-28 (Pages 85 - 224)**

The Derbyshire Dales Plan (corporate plan) is the District Council's primary policy document. It establishes the Council's policies and priorities and sets the framework for allocating resources through the forthcoming budget and service planning process. This report includes the results of extensive consultation with Derbyshire Dales residents, as well as an independent evidence base that objectively sets out statistics about the District Council's area. The report reiterates the commitments of the Council's leadership. Finally, the report sets out for approval a process and timescale for completing the new Derbyshire Dales Plan for the period 2024-2028.

#### **9. DATA PROTECTION AND INFORMATION GOVERNANCE ANNUAL REPORT 2022/23 (Pages 225 - 234)**

This report is an annual report on the Council's compliance with the General Data Protection Regulation, the Data Protection Act and the Freedom of Information Act.

#### **10. ANNUAL GOVERNANCE STATEMENT 2022/23 (Pages 235 - 272)**

The Annual Governance Statement provides an overview of how the Council's governance arrangements operate. This report covers the annual review to ensure that governance arrangements remain effective. The report shows the extent to which the Council has

complied with its own code of governance and describes significant governance issues, alongside an explanation of what actions have been taken to bring about required improvements, and what work is still to be done.

#### **11. RISK MANAGEMENT - ANNUAL REPORT 2022/23 AND UPDATED RISK MANAGEMENT POLICY AND STRATEGY (Pages 273 - 308)**

The Council's Risk Management Policy and Strategy requires the Chief Executive to report to Members, on the Council's risk management arrangements and how key strategic risks are being managed. This report describes the Council's risk management processes and working practices, which ensure that risk management arrangements continue to be effective, timely and fit for purpose. This report also asks Members to approve an updated Risk Management Policy and Strategy.

#### **12. TREASURY MANAGEMENT OUTTURN REPORT 2022/23 (Pages 309 - 326)**

This report summaries Treasury Management activities and the out-turn position against Prudential Indicators for 2022/23.

Members of the Committee - Councillors Nick Wilton (Chair), Neil Buttle (Vice-Chair), Geoff Bond, Steve Flitter, David Hughes, Stuart Lees, Tony Morley, Lucy Peacock, Simon Ripton and Roger Shelley

Substitutes – Councillors David Chapman, Marilyn Franks, Joanne Linthwaite, Laura Mellstrom, Andy Nash and Mark Wakeman

#### **NOTE**

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## **Governance & Resources Committee**

**Minutes of a Governance & Resources Committee meeting held at 6.00 pm on Thursday, 20th July, 2023 in the Council Chamber, Town Hall, Matlock, DE4 3NN.**

### **PRESENT**

Councillor Nick Wilton - In the Chair

Councillors: Geoff Bond, Neil Buttle, Steve Flitter, David Hughes, Stuart Lees, Lucy Peacock, Simon Ripton and Roger Shelley

Paul Wilson (Chief Executive), Tim Braund (Director of Regulatory Services), Karen Henriksen (Director of Resources), James McLaughlin (Director of Corporate and Customer Services (Monitoring Officer)), Ashley Watts (Director of Community and Environmental Services), Gavin Barker (Mazars LLP), Mike Galsworthy (Estates and Facilities Manager), Gemma Hadfield (Financial Services Manager), Vikki Hatfield (Neighbourhoods Manager), Jenny Williams (Head of the Internal Audit Consortium) and Tommy Shaw (Democratic Services Team Leader)

### **Note:**

*“Opinions expressed or statements made by individual persons during the public participation part of a Council or committee meeting are not the opinions or statements of Derbyshire Dales District Council. These comments are made by individuals who have exercised the provisions of the Council’s Constitution to address a specific meeting. The Council therefore accepts no liability for any defamatory remarks that are made during a meeting that are replicated on this document.”*

### **APOLOGIES**

Apologies for absence were received from Councillor(s): Tony Morley

### **66/23 - APPROVAL OF MINUTES OF PREVIOUS MEETING**

It was moved by Councillor Stuart Lees, Seconded by Councillor Neil Buttle and

### **RESOLVED**

That the minutes of the meeting of the Governance and Resources Committee held on 08 March 2023 be approved as a correct record.

## **Voting**

**07 For**

**00 Against**

**02 Abstention**

The Chair declared the motion **CARRIED**.

## **67/23 - PUBLIC PARTICIPATION**

Ms Tracey Wright (Local Resident) spoke on Item 7, Land Holdings Review Phase 6, specifically on Site 8 – Allotment site and adjoining land at Church Road, Darley Dale.

## **68/23 - INTERESTS**

No interests were declared.

## **69/23 - QUESTIONS PURSUANT TO RULE OF PROCEDURE NUMBER 15**

No questions were received.

## **70/23 - MATLOCK BATH ILLUMINATIONS - CAR PARK EVENT CHARGE**

The Neighbourhoods Manager introduced a report which sought Member approval to introduce a car park event charge of £5.00 to operate 4pm – 10pm on the evenings when the Illuminations are on, in the following car parks:

- Matlock Bath Station
- Temple Walk
- Pavilion
- Artist Corner

This proposal was discussed with Members of the Car Park Review Working Group on 28 February 2023 and with new Members of the group on 28 June 2023. Members of the working group were happy for this recommendation to be made to the committee. It was considered that introducing the £5.00 car park tariff from 4pm - 10pm would help to stagger the arrival of traffic prior to the opening of illumination events.

It was moved by Councillor Steve Flitter, seconded by Councillor Stuart Lees and

## **RESOLVED** (unanimously)

1. That a £5.00 car park event charge to operate 4.00pm – 10.00pm on Saturdays and Sundays be approved for introduction in the car parks specified in the report for the duration of the Illuminations each year.
2. That the Off-Street Parking Order be amended to reflect the new charge for those car parks affected.
3. That authority be delegated to the Director of Resources to make the necessary virement of funds generated from the increase in car parking income generated from the Car Park Event charge during the Matlock Bath Illuminations for the provision of toilets at Artists Corner Car Park in Matlock Bath until the end of October 2023.

The Chair declared the motion **CARRIED**.

## **71/23 - LAND HOLDINGS REVIEW PHASE 6**

The Estates and Facilities Manager introduced a report which detailed the sixth phase of an ongoing review of the Council's land and property assets in accordance with the Asset Management Plan (AMP). This phase of the Land Holdings Review covered eight sites across the District.

The report explained the intentions of the AMP 2019-2023 to set out the Council's strategic approach to the management of its land and property and to provide a framework within which property asset decisions could be made in support of the Council's corporate aims and objectives. The AMP recommended that any unused or surplus buildings and land be reviewed to establish whether they should be sold or whether they could contribute to the Council's key objectives of economic development and affordable housing or whether they could form part of a Community Asset Transfer.

The details of, and recommendations for, the eight sites were included within the report and appendix 1. Within the recommendations, multiple options were presented for several of the sites. Each of the sites were voted on individually, the decisions are outlined below.

It was moved by Councillor Steve Flitter, seconded by Councillor Geoff Bond and

**RESOLVED** (unanimously)

That only the part of Site No. 8 (Allotments and adjoining land at Church Road, Darley Dale) currently occupied by Darley Dale Town Council be transferred as a Community Asset Transfer to Darley Dale Town Council as per the November 2022 resolution.

The Chair declared the motion **CARRIED**.

It was moved by Councillor Geoff Bond, seconded by Councillor David Hughes and

**RESOLVED** (unanimously)

That site No. 1, Station House, Matlock, be declared as surplus to requirements and that the Estates and Facilities Manager be delegated to negotiate and agree a leasehold disposal of the property on suitable market terms (including, if appropriate, a payment towards the Council's reasonable legal and surveyors' costs) for a residential related use with Peak Rail PLC.

The Chair declared the motion **CARRIED**.

It was moved by Councillor Steve Flitter, seconded by Councillor Geoff Bond and

**RESOLVED** (unanimously)

That site No. 2, Down Station Building, Darley Dale, be declared as surplus to requirement and that the Estates and Facilities Manager be delegated to negotiate and agree a leasehold disposal of the property on suitable market terms (including, if appropriate, a payment towards the Council's reasonable legal and surveyors' costs) with Peak Rail PLC for an appropriate use in connection with the railway.

The Chair declared the motion **CARRIED**.

It was moved by Councillor David Hughes, seconded by Councillor Neil Buttle and

**RESOLVED** (unanimously)

That the decision on the disposal of Site No. 3, Land between 44 and 48 High St at Bonsall, be deferred for 6 months in order to further explore options for the use of the site for the building of affordable or social housing and should that use not prove possible after the 6 month deferral, that the site be declared as surplus to requirements and offered for freehold sale by public auction as one lot with a reserve to be set by the Estate & Facilities Manager in consultation with the auctioneer depending on interest generated with a buyer's premium to apply to cover the Council's costs.

The Chair declared the motion **CARRIED**.

It was moved by Councillor Steve Flitter, seconded by Councillor Neil Buttle and

**RESOLVED** (unanimously)

That the decision on the disposal of Site No. 4, Land between 13 and 15 Peats Close at Kirk Ireton, be deferred for 6 months in order to further explore options for the use of the site for the building of affordable or social housing and should that use not prove possible after the 6 month deferral, that the site be declared as surplus to requirements and offered for freehold sale by public auction as one lot with a reserve to be set by the Estate & Facilities Manager in consultation with the auctioneer depending on interest generated with a buyer's premium to apply to cover the Council's costs.

The Chair declared the motion **CARRIED**.

It was moved by Councillor Geoff Bond, seconded by Councillor Roger Shelley and

**RESOLVED** (unanimously)

That site No. 5, Land at Fishpond Meadows, Ashbourne be transferred to Ashbourne Town Council on the terms outlined in Appendix 1 of the report as a Community Asset Transfer by way of long lease.

The Chair declared the motion **CARRIED**.

It was moved by Councillor Geoff Bond, seconded by Councillor David Hughes and

**RESOLVED** (unanimously)

That site no 6, part of land off Clifton Road, Ashbourne be transferred to the NHS on the terms outlined in Appendix 1 of the report by way of long lease.

The Chair declared the motion **CARRIED**.

It was moved by Councillor David Hughes, seconded by Councillor Simon Ripton and



**RESOLVED** (unanimously)

1. That in respect of Site no. 7, Monsal Head Car Park, a new 10-year lease be taken from Little Longstone Parish Meeting by the District on the terms outlined in Appendix 1 of the report.
2. That it is noted that the disposal of site nos. 5,6 and 8. above (either by lease or freehold title transfer) comprise undervalue transactions permitted under the General Disposal Consent 2003.
3. That the responsibility for legal and surveyors' costs in respect of all the transactions above, as detailed in Appendix. 1 of the report, is noted.

The Chair declared the motion **CARRIED**.

**72/23 - INTERNAL AUDIT ANNUAL REPORT 2022/23**

The Head of the Internal Audit Consortium presented a report which summarised the internal audit work undertaken during 2022/23 from which the opinion on governance, risk and internal control is derived. Only 3 audits had been completed in 2022/23, due to the resignation of both the Senior Auditor and the Auditor. The Head of the Internal Audit Consortium explained that this meant that there was insufficient evidence on which to base an opinion on the overall adequacy and effectiveness of the Council's framework of governance, risk management and control arrangements. The report also drew attention to any issues that needed to be considered for inclusion in the Annual Governance Statement; the lack of an audit opinion due to there being no audit staff for most of 2022/23 was identified as such an issue. The Head of the Internal Audit Consortium informed the Committee that a Senior Auditor had been in post since May 2023 and an Auditor was due to start in late July.

Comparisons were provided between the work undertaken and that which had been planned, along with summaries of performance.

The report also provided comments on compliance with the Public Sector Internal Audit Standards (PSIAS) and Code of Ethics, and comments on the results of the internal quality assurance programme.

It was moved by Councillor David Hughes, seconded by Steve Flitter and

**RESOLVED** (unanimously)

That the Internal Audit Annual Report for 2022/23 be accepted

The Chair declared the motion **CARRIED**.

**73/23 - EXTERNAL AUDIT COMPLETION REPORT AND ANNUAL REPORT FOR THE FINANCIAL YEAR ENDED 31 MARCH 2022**

The Director of Resources introduced a report which included the external audit completion report from Mazars LLP for the year ending 31 March 2022 which summarised the work undertaken and the key findings arising from the external auditor's work in relation to the Authority's statements for 2021/22. Members were asked to note the reports from the external auditor prior to approving the Council's Statement of Accounts. The external

auditor, Gavin Barker from Mazars LLP, attended the meeting and addressed Members' questions on the reports.

It was noted within the report that due to resource constraints on both sides, there had been a delay in the completion of the external audit of the Statement of Accounts by Mazars LLP, meaning that the deadline of 30 November 2022 was missed. Members were also informed that this was not unusual when compared to other authorities for this financial year as many other authorities had been unable to meet the publishing deadline.

It was moved by Councillor Steve Flitter, seconded by Roger Shelley and

**RESOLVED** (unanimously)

1. That the External Auditor's "Audit Completion Report for the year ended 31 March 2022" be received.
2. That the "Auditor's Annual Report for the year ended 31 March 2022" be received.
3. That the appointment of **Mazars LLP** as the Authority's external auditor for a period that covers the audits of the statutory accounts for the five consecutive financial years commencing 1 April 2023 be noted.

The Chair declared the motion **CARRIED**.

#### **74/23 - LETTER OF REPRESENTATION 2021/22**

The Director of Resources introduced a report requesting Members to consider and endorse the draft Letter of Representation as part of their responsibility for approving the financial statements for 2021/22.

The report informed Members of the requirement within the International Standard on Auditing (U.K. & Ireland) 580 (ISA 580), for the external auditor to obtain evidence that the Council's management acknowledges its responsibility for the fair presentation of the financial statements in accordance with the applicable financial reporting framework and has approved the financial statements. The auditor can obtain evidence of management's acknowledgement of such responsibility by obtaining a written representation from management and a signed copy of the financial statements.

The Letter of Representation had been prepared in accordance with the guidance as given in Appendix 1 to the report. The letter contained no matters of concern which needed to be brought to the attention of Members.

It was noted within the report that there were three uncorrected misstatements that had been identified by the external auditor; these were set out in Appendix A to the letter, with an explanation of why they were not corrected.

**RESOLVED** (unanimously)

That the Letter of Representation be endorsed for signature.

The Chair declared the motion **CARRIED**.

## **75/23 - STATEMENT OF ACCOUNTS FOR 2021/22**

The Financial Services Manager introduced a report which provided interpretation of the Statement of Accounts for 2021/22 and highlighted the key issues. The report also sought Members' approval of the Statement of Accounts for 2021/22.

The Statement of Accounts 2021/22 had been audited by the Council's External Auditors, Mazars LLP. The significant findings of the audit were set out in the report. The external auditor identified 6 misstatements that were accepted by management and subsequently corrected in the financial statements, and three unadjusted material misstatements, which were explained in the report. The overall financial position as at the 31 March 2022 remains the same as that included within the Draft Statement of Accounts and reported to Council in November 2022.

It was moved by Councillor Simon Ripton, seconded by Councillor Steve Flitter and

**RESOLVED** (unanimously)

That the Statement of Accounts for 2021/22 be approved.

The Chair declared the motion **CARRIED**.

**Meeting Closed: 7.46 pm**

**Chairman**

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# Agenda Item 6



## OPEN REPORT GOVERNANCE AND RESOURCES COMMITTEE

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**Governance & Resources Committee – 14 September 2023**

**EXTERNAL AUDIT STRATEGY MEMORANDUM FOR THE FINANCIAL YEAR  
ENDING 31 MARCH 2023**

**Report of the Director of Resources**

**Report Author and Contact Details**

Karen Henriksen, Director of Resources

01629 761284 or karen.henriksen@derbyshiredales.gov.uk

**Wards Affected**

None

**Report Summary**

This report provides information about the external audit plan for the 2022/23 accounts.

**Recommendations**

That the External Audit Strategy Memorandum for the year ending 31 March 2023 be received and agreed.

**List of Appendices**

Appendix 1 Audit Strategy Memorandum 2021/22 from Mazars

**Background Papers**

None

**Consideration of report by Council or other committees**

No

**Council Approval Required**

No

**Exempt from Press or Public**

No

# External Audit Strategy Memorandum For The Financial Year Ended 31 March 2023

## 1. Background

- 1.1 Each year the Council's external auditor, Mazars LLP, provides an Audit Strategy Memorandum for the forthcoming audit of the Council's financial statements. The purpose of this document is to summarise the audit approach, highlight significant audit risks and areas of key judgements and provide the committee with the details of the audit team.

## 2. Key Issues

- 2.1 Mazars LLP has provided an Audit Strategy Memorandum for the financial accounts for the year ending 31 March 2023. A copy of the Memorandum is shown at Appendix 1 to this report. The covering letter sent with the Memorandum stresses the importance of two-way communication between the Council and the external auditor. The external auditor has requested that the Memorandum be brought to Members' attention. Alastair Newell from Mazars will attend the committee meeting to present the Memorandum and answer any queries relating to it.
- 2.2 The Accounts and Audit Regulations 2015 (amended) state that the deadline for the completion of the audit relating to the 2022/23 accounts is 30 September 2023. The audit scope, approach and timeline are set out in Section 3 of the report at Appendix 1. The intention is for the audit to be completed in time for a report on the outcome to be presented to the Governance and Resources Committee meeting in February 2024.
- 2.3 Significant risks and other key judgement areas are described in Section 4 of the report at Appendix 1. These include:
- Management override of controls,
  - Valuation of the net defined benefit pension asset / liability, and
  - Valuation of land and buildings and investment properties.
- The report describes the planned response to each of these significant risks.
- 2.4 Section 5 of the report describes the approach to Value for Money work and proposed fees are set out in Section 6.

## 3. Options Considered and Recommended Proposal

- 3.1 Not applicable.

## 4. Consultation & Publicity

- 4.1 The deadline for local authorities to publish draft financial statements for 2022/23 was 31 May; the draft accounts were published on the Council's website on 8th August, together with a notice of public rights. The accounts are available for public inspection from 9<sup>th</sup> August 2023 to 19<sup>th</sup> September 2023. At the time of writing this report, no objections had been received.

- 4.2 A notice of a delay in publishing the Audited Statement of Accounts for 2021/22 is currently shown on the Council's website, pending the receipt of the final Audit Completion Certificate from Mazars.

## **5. Timetable for Implementation**

- 5.1 The external auditor has undertaken some planning and risk assessment work already and has determined levels of materiality for the audit. Most of the external audit work is expected to take place from September to November 2023, with a final review in December and a report to the Governance & Resources Committee in February 2024.

## **6. Policy Implications**

- 6.1 None

## **7. Financial and Resource Implications**

- 7.1 The estimated fees for the external audit of the 2022/23 accounts are shown in the Strategy Memorandum as £45,739 (a reduction from the fees of £52,875 as for work on the 2020/21 accounts). This level of fees can be accommodated within the amount accrued for audit fees in the accounts for 2022/23. The financial risk is assessed as low.

## **8. Legal Advice and Implications**

- 8.1 This report provides information about the external audit plan for the 2022/23 accounts.
- 8.2 The recommended decision at the start of this report is to receive and accept the external audit plan. The legal risk associated with this decision has been assessed as low.

## **9. Equalities Implications**

- 9.1 There are no equalities issues arising from this report.

## **10. Climate Change Implications**

- 10.1 There are no climate change issues arising from this report.

## **11. Risk Management**

- 11.1 The work of the external auditor provides assurance that the Council's financial statements present a true and fair view of the Council's finances.
- 11.2 The VFM assessment that will be undertaken will identify any significant weaknesses in the arrangements that the Council has put in place to secure economy, efficiency & effectiveness in its use of resources. This will help to reduce the risks to financial sustainability, which in turn reduces the risks of failure to deliver corporate plan priorities.

## Report Authorisation

Approvals obtained from:-

	<b>Named Officer</b>	<b>Date</b>
Chief Executive	Paul Wilson	24/08/2023
Director of Resources/ S.151 Officer (or Financial Services Manager)	Karen Henriksen	24/08/2023
Monitoring Officer (or Legal Services Manager)	Kerry France	24/08/2023



# Audit Strategy Memorandum

Derbyshire Dales District Council

17

Year ending 31 March 2023



# Contents

- 01** Engagement and responsibilities summary
- 02** Your audit engagement team
- 03** Audit scope, approach and timeline
- 04** Significant risks and other key judgement areas
- 05** Value for money
- 06** Fees for audit and other services
- 07** Our commitment to independence
- 08** Materiality and misstatements

18

**A** Appendix A – Key communication points

Appendix B – Revised auditing standard on Identifying and assessing the risks of material misstatement: ISA (UK) 315 (Revised 2019)

This document is to be regarded as confidential to Derbyshire Dales District Council. It has been prepared for the sole use of the Council and the Governance and Resources Committee as the appropriate sub-committee charged with governance. No responsibility is accepted to any other person in respect of the whole or part of its contents. Our written consent must first be obtained before this document, or any part of it, is disclosed to a third party

Governance and Resources Committee Members  
Derbyshire Dales District Council  
Town Hall  
Bank Road  
Matlock  
Derbyshire  
DE4 3NN


17 August 2023

Dear Committee Members

Mazars LLP  
One St Peter's Square  
Manchester  
M2 3DE

## Audit Strategy Memorandum – Year ending 31 March 2023

We are pleased to present our Audit Strategy Memorandum for Derbyshire Dales District Council for the year ending 31 March 2023. The purpose of this document is to summarise our audit approach, highlight significant audit risks and areas of key judgements and provide you with the details of our audit team. As it is a fundamental requirement that an auditor is, and is seen to be, independent of its clients, section 7 of this document also summarises our considerations and conclusions on our independence as auditors. We consider two-way communication with you to be key to a successful audit and important in:

-  Eaching a mutual understanding of the scope of the audit and the responsibilities of each of us;
- sharing information to assist each of us to fulfil our respective responsibilities;
- providing you with constructive observations arising from the audit process; and
- ensuring that we, as external auditors, gain an understanding of your attitude and views in respect of the internal and external operational, financial, compliance and other risks facing Derbyshire Dales District Council which may affect the audit, including the likelihood of those risks materialising and how they are monitored and managed.

With that in mind, we see this document, which has been prepared following our initial planning discussions with management, as being the basis for a discussion around our audit approach, any questions, concerns or input you may have on our approach or role as auditor. This document also contains an appendix that outlines our key communications with you during the course of the audit, and explains the implications of the introduction of the new auditing standard for Identifying and assessing the risks of material misstatement: ISA (UK) 315 (Revised 2019).

Client service is extremely important to us and we strive to provide technical excellence with the highest level of service quality, together with continuous improvement to exceed your expectations so, if you have any concerns or comments about this document or audit approach, please contact me on 07909 986776.

Yours faithfully



Alastair Newall

Mazars LLP

# 01

Section 01:

## **Engagement and responsibilities summary**

# 1. Engagement and responsibilities summary

## Overview of engagement

We are appointed to perform the external audit of Derbyshire Dales District Council (the Council) for the year to 31 March 2023. The scope of our engagement is set out in the Statement of Responsibilities of Auditors and Audited Bodies, issued by Public Sector Audit Appointments Ltd (PSAA) available from the PSAA website: <https://www.psa.co.uk/managing-audit-quality/statement-of-responsibilities-of-auditors-and-audited-bodies/>. Our responsibilities are principally derived from the Local Audit and Accountability Act 2014 (the 2014 Act) and the Code of Audit Practice issued by the National Audit Office (NAO), as outlined below.

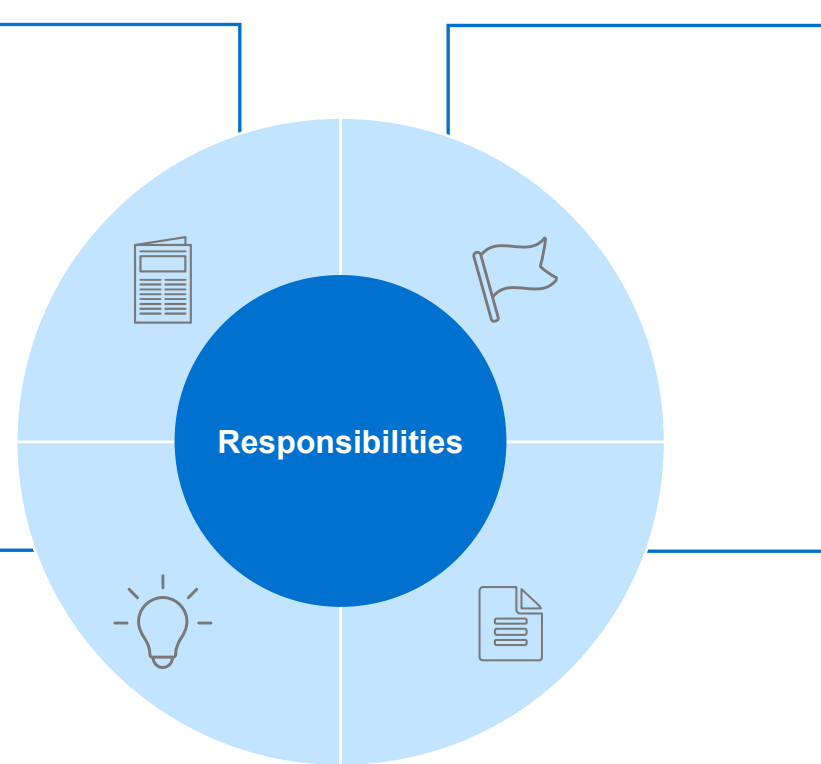
### Audit opinion

We are responsible for forming and expressing an opinion on whether the financial statements are prepared, in all material respects, in accordance with the Code of Practice on Local Authority Accounting. Our audit does not relieve management or Governance and Resources Committee, as those charged with governance, of their responsibilities.

The Director of Resources is responsible for the assessment of whether it is appropriate for the Council to prepare its accounts on a going concern basis. As auditors, we are required to obtain sufficient appropriate audit evidence regarding, and conclude on: a) whether a material uncertainty related to going concern exists; and b) consider the appropriateness of the Director of Resources' use of the going concern basis of accounting in the preparation of the financial statements.

### Value for money

We are also responsible for forming a commentary on the arrangements that the Council has in place to secure economy, efficiency and effectiveness in its use of resources. We discuss our approach to Value for Money work further in section 5 of this report.



### Fraud

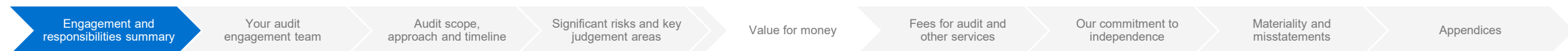
The responsibility for safeguarding assets and for the prevention and detection of fraud, error and non-compliance with law or regulations rests with both those charged with governance and management. This includes establishing and maintaining internal controls over reliability of financial reporting.

As part of our audit procedures in relation to fraud we are required to enquire of those charged with governance, including key management and internal audit as to their knowledge of instances of fraud, the risk of fraud and their views on internal controls that mitigate the fraud risks. In accordance with International Standards on Auditing (UK), we plan and perform our audit so as to obtain reasonable assurance that the financial statements taken as a whole are free from material misstatement, whether caused by fraud or error. However our audit should not be relied upon to identify all such misstatements.

### Wider reporting and electors' rights

We report to the NAO on the consistency of the Council's financial statements with its Whole of Government Accounts (WGA) submission.

The 2014 Act requires us to give an elector, or any representative of the elector, the opportunity to question us about the accounting records of the Council and consider any objection made to the accounts. We also have a broad range of reporting responsibilities and powers that are unique to the audit of local authorities in the United Kingdom



# 02

Section 02:

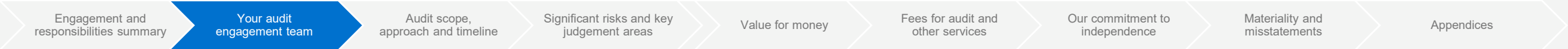
**Your audit engagement team**

# 2. Your audit engagement team

The key members of this year's audit team are set out below:

Who	Role	E-mail
Alastair Newall	Director and Engagement Lead	<a href="mailto:Alastair.Newall@mazars.co.uk">Alastair.Newall@mazars.co.uk</a>
John Pressley	Manager	<a href="mailto:John.Pressley@mazars.co.uk">John.Pressley@mazars.co.uk</a>
Jennifer Norman	Team Leader and Audit Senior	<a href="mailto:Jennifer.Norman@mazars.co.uk">Jennifer.Norman@mazars.co.uk</a>

23



# 03

Section 03:

**Audit scope, approach and timeline**



# 3. Audit scope, approach and timeline

## Audit scope

Our audit approach is designed to provide an audit that complies with all professional requirements.

Our audit of the financial statements will be conducted in accordance with International Standards on Auditing (UK), relevant ethical and professional standards, our own audit approach and in accordance with the terms of our engagement. Our work is focused on those aspects of your activities which we consider to have a higher risk of material misstatement, such as those impacted by management judgement and estimation, application of new accounting standards, changes of accounting policy, changes to operations or areas which have been found to contain material errors in the past.

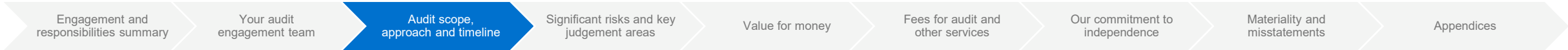
## Audit approach

Our audit approach is risk-based and primarily driven by the issues that we consider lead to a higher risk of material misstatement of the accounts. Once we have completed our risk assessment, we develop our audit strategy and design audit procedures in response to the risks identified.

If we conclude that appropriately-designed controls are in place then we may plan to test and rely upon these controls. If we decide controls are not appropriately designed, or we decide it would be more efficient to do so, we may take a wholly substantive approach to our audit testing. Substantive procedures are audit procedures designed to detect material misstatements at the assertion level and comprise: tests of details (of classes of transactions, account balances, and disclosures); and substantive analytical procedures. Irrespective of the assessed risks of material misstatement, which take into account our evaluation of the operating effectiveness of controls, we are required to design and perform substantive procedures for each material class of transactions, account balance, and disclosure.

Our audit will be planned and performed so as to provide reasonable assurance that the financial statements are free from material misstatement and give a true and fair view. The concept of materiality and how we define a misstatement is explained in more detail in section 8.

The diagram on the next page outlines the procedures we perform at the different stages of the audit.



# 3. Audit scope, approach and timeline

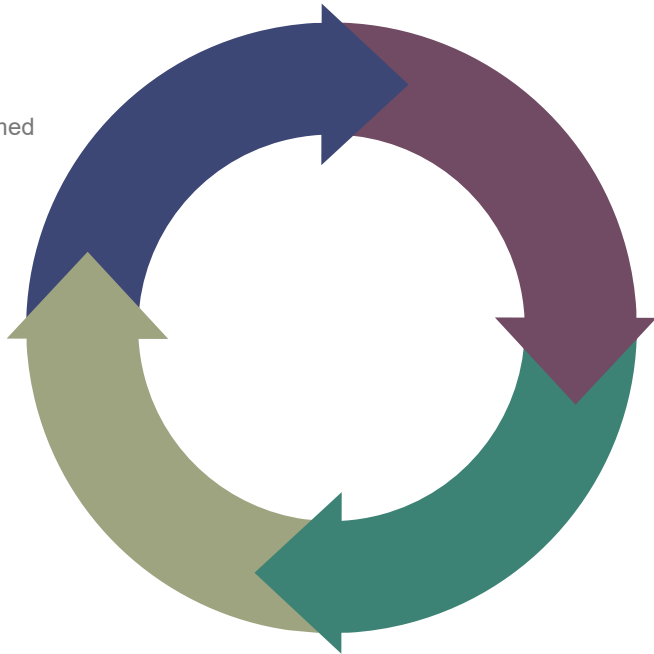
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## Planning and Risk Assessment – April - August 2023

- Planning visit and developing our understanding of the Council
- Initial opinion and value for money risk assessments
- Considering proposed accounting treatments and accounting policies
- Developing the audit strategy and planning the audit work to be performed
- Agreeing timetable and deadlines
- Risk assessment analytical procedures
- Determination of materiality

## Completion – December 2023 - February 2024

- Final review and disclosure checklist of financial statements
- Final partner review
- Agreeing content of letter of representation
- Reporting to the Governance and Resources Committee
- Reviewing subsequent events
- Signing the independent auditor's report

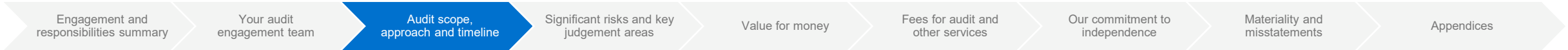


## Interim – September 2023

- Documenting systems and controls
- Performing walkthroughs
- Early substantive testing of transactions
- Reassessment of audit plan and revision if necessary

## Fieldwork – October - November 2023

- Receiving and reviewing draft financial statements
- Delivering our audit strategy starting with significant risks and high risk areas including detailed testing of transactions, account balances and disclosures
- Communicating progress and issues
- Clearance meeting



# 3. Audit scope, approach and timeline

## Reliance on internal audit

Where possible we will seek to utilise the work performed by internal audit to modify the nature, extent and timing of our audit procedures. We will meet with internal audit to discuss the progress and findings of their work prior to the commencement of our controls evaluation procedures.

Where we intend to rely on the work on internal audit, we will evaluate the work performed by your internal audit team and perform our own audit procedures to determine its adequacy for our audit.

## Management’s and our experts

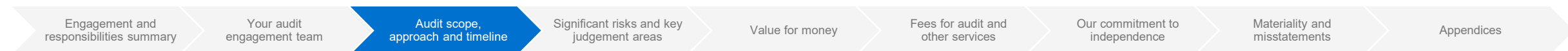
Management makes use of experts in specific areas when preparing the Council’s financial statements. We also use experts to assist us to obtain sufficient appropriate audit evidence on specific items of account.

Item of account	Management’s expert	Our expert
Property Plant and Equipment & Investment Properties	The Council’s internal valuers	None
Pensions	Hymans Robertson Actuary for Derbyshire Pension Fund	NAO’s Consulting Actuary (PwC)
Financial Instrument disclosures	Arlingclose Treasury management advisors	None

## Service organisations

International Auditing Standards (UK) (ISAs) define service organisations as third party organisations that provide services to the Council that are part of its information systems relevant to financial reporting. We are required to obtain an understanding of the services provided by service organisations as well as evaluating the design and implementation of controls over those services. The table below summarises the service organisations used by the Council and our planned audit approach.

Items of account	Service organisation	Audit approach
Revenues and benefits	The revenues and benefits service is administered by Chesterfield Borough Council on the Council’s behalf	We will review the controls at the Council over these transactions and gain an understanding of the work of the service organisation. We will conclude whether the Council has sufficient controls in place over the services provided by the revenues and benefits service and whether we will be able to audit these items of account based on the records held at the entity.



# 04

Section 04:

**Significant risks and other key judgement areas**

# 4. Significant risks and other key judgement areas

Following the risk assessment approach discussed in section 3 of this document, we have identified risks relevant to the audit of financial statements. The risks that we identify are categorised as significant, enhanced or standard. The definitions of the level of risk rating are given below:

### Significant risk

Significant risks are those risks assessed as being close to the upper end of the spectrum of inherent risk, based on the combination of the likelihood of a misstatement occurring and the magnitude of any potential misstatement. Fraud risks are always assessed as significant risks as required by auditing standards, including management override of controls and revenue recognition.

### Enhanced risk

An enhanced risk is an area of higher assessed risk of material misstatement at audit assertion level other than a significant risk. Enhanced risks require additional consideration but does not rise to the level of a significant risk, these include but may not be limited to:

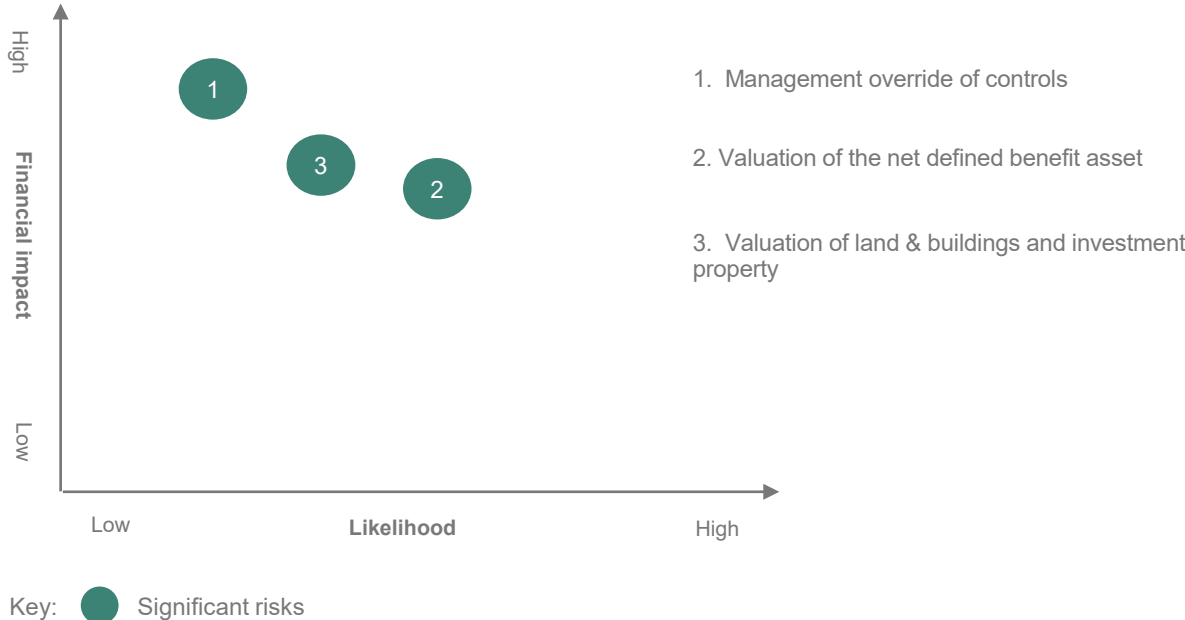
- key areas of management judgement, including accounting estimates which are material but are not considered to give rise to a significant risk of material misstatement; and
- other audit assertion risks arising from significant events or transactions that occurred during the period.

### Standard risk

This is related to relatively routine, non-complex transactions that tend to be subject to systematic processing and require little management judgement. Although it is considered that there is a risk of material misstatement (RMM), there are no elevated or special factors related to the nature, the likely magnitude of the potential misstatements or the likelihood of the risk occurring.

### Summary risk assessment

The summary risk assessment, illustrated in the table below, highlights those risks which we deem to be significant and other enhanced risks in respect of the Council. We have summarised our audit response to these risks on the next page.



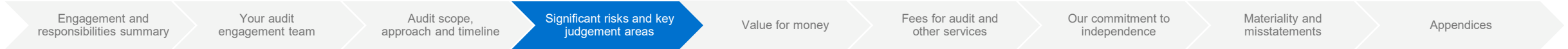
# 4. Significant risks and other key judgement areas

## Specific identified audit risks and planned testing strategy

We have presented below in more detail the reasons for the risk assessment highlighted above, and also our testing approach with respect to significant risks. An audit is a dynamic process, should we change our view of risk or approach to address the identified risks during the course of our audit, we will report this to the Governance and Resources Committee.

## Significant risks

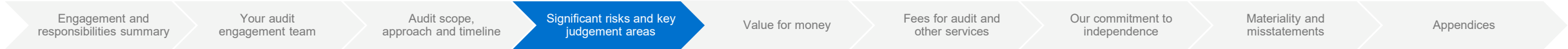
	Description	Fraud	Error	Judgement	Planned response
1	<p><b>Management override of controls</b></p> <p>This is a mandatory significant risk on all audits due to the unpredictable way in which such override could occur.</p> <p>Management at various levels within an organisation are in a unique position to perpetrate fraud because of their ability to manipulate accounting records and prepare fraudulent financial statements by overriding controls that otherwise appear to be operating effectively. Due to the unpredictable way in which such override could occur there is a risk of material misstatement due to fraud on all audits.</p>	●	-	-	We plan to address the management override of controls risk through performing audit work over accounting estimates, journal entries and significant transactions outside the normal course of business or otherwise unusual.
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# 4. Significant risks and other key judgement areas

## Significant risks

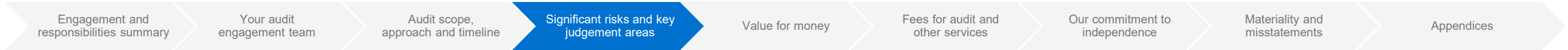
	Description	Fraud	Error	Judgement	Planned response
2  31	<p><b>Net defined benefit asset valuation</b></p> <p>The defined benefit asset relating to the Local Government Pension Scheme represents a significant balance on the Council's balance sheet.</p> <p>The Council uses an actuary for the scheme to provide an annual valuation of this asset in line with the requirements of IAS 19 Employee Benefits.</p> <p>Due to the high degree of estimation uncertainty associated with this valuation, we have determined there is a significant risk in this area.</p>	-	●	●	<p>We plan to address the risk by:</p> <ul style="list-style-type: none"> <li>critically assessing the competency, objectivity and independence of the Actuary for the Pension Scheme;</li> <li>liaising with the auditors of the Derbyshire Pension Fund to gain assurance over the design and implementation of controls in place at the Derbyshire Pension Fund. This will include the processes and controls in place to ensure data provided to the Actuary by the Pension Fund for the purposes of the IAS 19 valuation is complete and accurate;</li> <li>evaluating and challenging the work performed by the Pension Fund auditor on the Pension Fund investment assets, and considering whether the outcomes would materially impact our consideration of the Council's share of Pension Fund assets;</li> <li>reviewing the actuarial allocation of Pension Fund assets to the Council by the actuary, including comparing the Council's share of the assets to other corroborative information;</li> <li>reviewing the appropriateness of the Pension Asset and Liability valuation methodologies applied by the Pension Fund Actuary (as applicable), and the key assumptions included within the valuation. This will include comparing them to expected ranges, utilising information by the consulting actuary engaged by the National Audit Office;</li> <li>obtaining assurances from the auditor of the Derbyshire Pension Fund in relation to the Triennial review data; and</li> <li>agreeing the data in the IAS 19 valuation reports provided by the Actuary for accounting purposes to the pension accounting entries and disclosures in the Council's financial statements.</li> </ul>



# 4. Significant risks and other key judgement areas

## Significant risks

	Description	Fraud	Error	Judgement	Planned response
3	<p><b>Valuation of land and buildings and investment properties</b></p> <p>Property related assets are a significant balance on the Council's balance sheet. The valuation of these properties is complex and is subject to a number of management assumptions and judgements. Due to the high degree of estimation uncertainty associated, we have determined there is a significant risk in this area.</p>	-	●	●	<p>We plan to address this risk by:</p> <ul style="list-style-type: none"> <li>critically assessing the scope of work, qualifications, objectivity and independence of each of the Council's valuers to carry out the required programme of revaluations;</li> <li>considering whether the overall revaluation methodologies used by the Council's valuers are in line with industry practice, the CIPFA code of practice and the Council's accounting policies;</li> <li>assessing whether valuation movements are in line with market expectations by considering valuation trends;</li> <li>critically assessing the approach that the Council adopts to ensure that assets that are not subject to revaluation in 2022/23 are materially correct, including considering the robustness of that approach in light of the valuation information reported by the Council's valuers;</li> <li>sample testing the completeness and accuracy of underlying data provided by the Council and used by the valuers as part of their valuations; and</li> <li>using relevant market and cost data to assess the reasonableness of the valuation as at 31 March 2023.</li> </ul>
32					





# 05

Section 05:

**Value for money arrangements work**

# 5. Value for money arrangements work

## The framework for Value for Money work

We are required to form a view as to whether the Council has made proper arrangements for securing economy, efficiency and effectiveness in its use of resources. The NAO issues guidance to auditors that underpins the work we are required to carry out in order to form our view, and sets out the overall criterion and sub-criteria that we are required to consider.

2022/23 will be the third audit year where we are undertaking our value for money (VFM) work under the 2020 Code of Audit Practice (the Code). Our responsibility remains to be satisfied that the Council has proper arrangements in place and to report in the audit report and/or the audit completion certificate where we identify significant weaknesses in arrangements. Separately we provide a commentary on the Council's arrangements in the Auditor's Annual Report.

## Specified reporting criteria

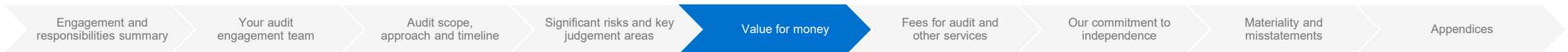
The Code requires us to structure our commentary to report under three specified criteria:

1. **Financial sustainability** – how the Council plans and manages its resources to ensure it can continue to deliver its services
2. **Governance** – how the Council ensures that it makes informed decisions and properly manages its risks
3. **Improving economy, efficiency and effectiveness** – how the Council uses information about its costs and performance to improve the way it manages and delivers its services

## Our approach

Our work falls into three primary phases as outlined opposite. We need to gather sufficient evidence to support our commentary on the Council's arrangements and to identify and report on any significant weaknesses in arrangements. Where significant weaknesses are identified we are required to report these to the Council and make recommendations for improvement. Such recommendations can be made at any point during the audit cycle and we are not expected to wait until issuing our overall commentary to do so.

Our VFM planning and risk assessment work is an ongoing process and to date, no risks of significant weaknesses in arrangements have been identified. We will report any further identified risks to the Governance and Resources Committee on completion of our planning and risk identification work.



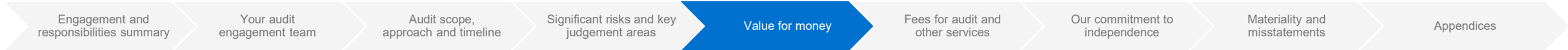
# 5. Value for money arrangements work

## Identified risks of significant weaknesses in arrangements

We reported our 2021/22 VFM commentary in the Annual Auditor’s Report issued to the Council in June 2023. We reported that we had not identified any risks of, or actual, significant weaknesses in the Council’s VFM arrangements and there were no recommendations arising from our work. We have not fully completed our 2022/23 planning and risk assessment work at this stage, but have so far not identified any risks of, or actual, significant weaknesses in the Council’s arrangements.

We will, if necessary, report any identified risks or weaknesses to the Audit Committee on completion of our planning and risk identification work.

35



# 06

Section 06:

**Fees for audit and other services**

## 6. Fees for audit and other services

### Fees for work as the Council's appointed auditor

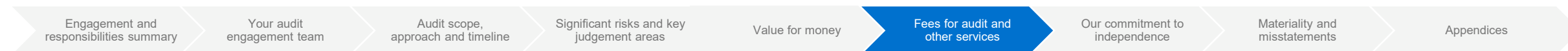
In the 2021/22 Auditor's Annual Report, we explained that there would be additional recurring fees in relation to regulatory pressures and the additional work required under the new Code from 2020/21 onwards for our value for money work. We set the value for money fees at the minimum of the range in the Public Sector Audit Appointments Limited's (PSAA) consultation on fees.

Area of work	2022/23 Proposed Fee	2021/22 Actual Fee
Published Scale fee in respect of our work under the Code of Audit Practice	£37,239	£29,487
Increases in the base audit fee arising from regulatory pressures (as reported in the 2019/20 audit)	Included in scale fee	£7,388 <sup>1</sup>
Additional fees in respect of the new VFM approach (recurring)	£6,000	£6,000
Additional fees in respect of new ISA540 requirements in relation to Accounting estimates and related disclosures (recurring)	£2,500	£2,500
Additional one-off fees for specific 2022/23 issue (work on infrastructure assets)	-	£5,000
Additional one-off fees for specific 2022/23 issue (work on update for triennial pensions)	-	£2,500 <sup>2</sup>
<b>Total fees</b>	<b>£45,739</b>	<b>£52,875 <sup>2</sup></b>

Note 1 – we should have increased the 2019/20 recurring fee by 25% to reflect increased rates set by PSAA from 2020/21; we did not do this in 2020/21 in error, but we have applied this increase in 2021/22.

Note 2 – this is our estimate of the final fee based on our estimate of the work needed to complete the audit. This will be updated upon certification of the audit.

All fees are subject to VAT. All additional fees are subject to Public Sector Auditor Appointments (PSAA) approval.



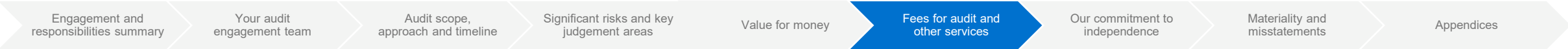
# 6. Fees for audit and other services

## Fees for non-PSAA work

In addition to the fees outlined above in relation to our appointment by PSAA, we have been separately engaged by the Council to carry out additional work as set out in the table below. Before agreeing to undertake any additional work we consider whether there are any actual, potential or perceived threats to our independence. Further information about our responsibilities in relation to independence is provided in section 7.

Area of work	2022/23 Proposed Fee	2021/22 Proposed Fee
Assurance services - Housing Benefits Return	£8,086	£7,851

38



# 07

Section 07:

**Our commitment to independence**

# 7. Our commitment to independence

We are committed to independence and are required by the Financial Reporting Council to confirm to you at least annually in writing that we comply with the FRC's Ethical Standard. In addition, we communicate any matters or relationship which we believe may have a bearing on our independence or the objectivity of the audit team.

Based on the information provided by you and our own internal procedures to safeguard our independence as auditors, we confirm that in our professional judgement there are no relationships between us and any of our related or subsidiary entities, and you and your related entities creating any unacceptable threats to our independence within the regulatory or professional requirements governing us as your auditors.

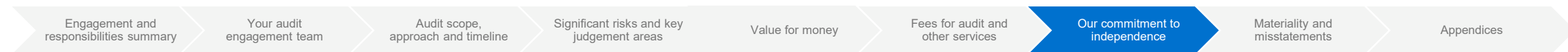
We have policies and procedures in place which are designed to ensure that we carry out our work with integrity, objectivity and independence. These policies include:

- all partners and staff are required to complete an annual independence declaration;
- all new partners and staff are required to complete an independence confirmation and also complete computer based ethical training;
- rotation policies covering audit engagement partners and other key members of the audit team; and
- use by managers and partners of our client and engagement acceptance system which requires all non-audit services to be approved in advance by the audit engagement partner.

We confirm, as at the date of this document, that the engagement team and others in the firm as appropriate, Mazars LLP are independent and comply with relevant ethical requirements. However, if at any time you have concerns or questions about our integrity, objectivity or independence please discuss these with Alastair Newall in the first instance.

Prior to the provision of any non-audit services Alastair Newall will undertake appropriate procedures to consider and fully assess the impact that providing the service may have on our auditor independence.

Any emerging independence threats and associated identified safeguards will be communicated in our Audit Completion Report.





# 08

Section 08:

## **Materiality and misstatements**

41

# 8. Materiality and misstatements

## Summary of initial materiality thresholds

Threshold	Initial threshold £'000s
Overall materiality	748
Performance materiality	561
Specific materiality – Senior Officers Remuneration (Note 35 in the 2021/22 financial statements)	5
Trivial threshold for errors to be reported to Governance and Resources Committee Members	22

### 42 Materiality

Materiality is an expression of the relative significance or importance of a particular matter in the context of financial statements as a whole.

Information is considered to be material if omitting, misstating or obscuring it could reasonably be expected to influence the decisions that the primary users of general purpose financial statements make on the basis of those financial statements, which provide financial information about a specific reporting entity.

Judgements on materiality are made in light of surrounding circumstances and are affected by the size and nature of a misstatement, or a combination of both. Judgements about materiality are based on consideration of the common financial information needs of users as a group and not on specific individual users.

The assessment of what is material is a matter of professional judgement and is affected by our perception of the financial information needs of the users of the financial statements. In making our assessment we assume that users:

- have a reasonable knowledge of business, economic activities and accounts;
- have a willingness to study the information in the financial statements with reasonable diligence;
- understand that financial statements are prepared, presented and audited to levels of materiality;
- recognise the uncertainties inherent in the measurement of amounts based on the use of estimates, judgement and the consideration of future events; and
- will make reasonable economic decisions on the basis of the information in the financial statements.

We consider materiality whilst planning and performing our audit based on quantitative and qualitative factors.

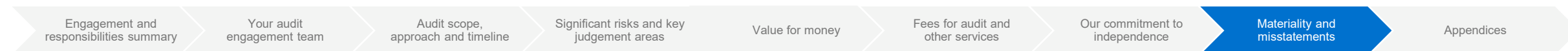
Whilst planning, we make judgements about the size of misstatements which we consider to be material and which provides a basis for determining the nature, timing and extent of risk assessment procedures, identifying and assessing the risk of material misstatement and determining the nature, timing and extent of further audit procedures.

The materiality determined at the planning stage does not necessarily establish an amount below which uncorrected misstatements, either individually or in aggregate, will be considered as immaterial.

We revise materiality for the financial statements as our audit progresses should we become aware of information that would have caused us to determine a different amount had we been aware of that information at the planning stage.

Our provisional materiality is set based on a benchmark of gross revenue expenditure. We will identify a figure for materiality but identify separate levels for procedures designed to detect individual errors, and also a level above which all identified errors will be reported to the Governance and Resources Committee.

We consider that the gross revenue expenditure remains the key focus of users of the financial statements and, as such, we base our materiality levels around this benchmark.



# 8. Materiality and misstatements

## Materiality (continued)

We have set a materiality threshold at 2% of Gross Revenue Expenditure at Surplus/deficit at the Provision of Services level. Based on the draft 2022/23 financial statements we anticipate the overall materiality for the year ending 31 March 2023 to be £748k (£764k in the prior year).

After setting initial materiality, we continue to monitor materiality throughout the audit to ensure that it is set at an appropriate level.

## Performance Materiality

Performance materiality is the amount or amounts set by the auditor at less than materiality for the financial statements as a whole to reduce, to an appropriately low level, the probability that the aggregate of uncorrected and undetected misstatements exceeds materiality for the financial statements as a whole. Our initial assessment of performance materiality is based on low inherent risk, meaning that we have applied 75% of overall materiality as performance materiality.

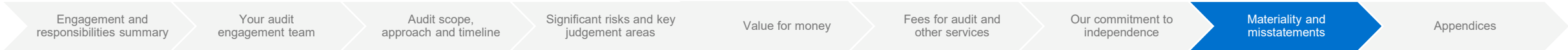
## Misstatements

We accumulate misstatements identified during the audit that are other than clearly trivial. We set a level of triviality for individual errors identified (a reporting threshold) for reporting to the Governance and Resources Committee that is consistent with the level of triviality that we consider would not need to be accumulated because we expect that the accumulation of such amounts would not have a material effect on the financial statements. Based on our preliminary assessment of overall materiality, our proposed triviality threshold is £22k based on 3% of overall materiality. If you have any queries about this, please do not hesitate to raise these with Alastair Newall.

## Reporting to the Governance and Resources Committee

The following three types of audit differences above the trivial threshold will be presented to the Governance and Resources Committee in a summary of audit differences;

- summary of adjusted audit differences;
- summary of unadjusted audit differences; and
- summary of disclosure differences (adjusted and unadjusted).





# Appendices

A: Key communication points

B: Revised auditing standard on Identifying and assessing the risks of material misstatement: ISA (UK) 315 (Revised 2019)

44

# Appendix A: Key communication points

We value communication with Those Charged With Governance as a two way feedback process at the heart of our client service commitment. ISA 260 (UK) 'Communication with Those Charged with Governance' and ISA 265 (UK) 'Communicating Deficiencies In Internal Control To Those Charged With Governance And Management' specifically require us to communicate a number of points with you.

Relevant points that need to be communicated with you at each stage of the audit are outlined below.

## Form, timing and content of our communications

We will present the following reports:

- Audit Strategy Memorandum;
- Audit Completion Report; and
- Auditor's Annual Report

These documents will be discussed with management prior to being presented to yourselves and their comments will be incorporated as appropriate.

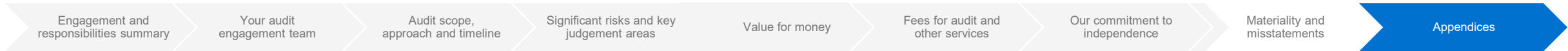
## Key communication points at the planning stage as included in this Audit Strategy Memorandum

- Our responsibilities in relation to the audit of the financial statements;
- The planned scope and timing of the audit;
- Significant audit risks and areas of management judgement;
- Our commitment to independence;

- Responsibilities for preventing and detecting errors;
- Materiality and misstatements; and
- Fees for audit and other services.

## Key communication points at the completion stage to be included in our Audit Completion Report

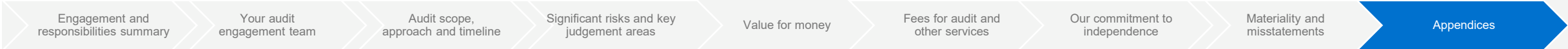
- Significant deficiencies in internal control;
- Significant findings from the audit;
- Significant matters discussed with management;
- Significant difficulties, if any, encountered during the audit;
- Qualitative aspects of the entity's accounting practices, including accounting policies, accounting estimates and financial statement disclosures;
- Our conclusions on the significant audit risks and areas of management judgement;
- Summary of misstatements;
- Management representation letter;
- Our proposed draft audit report; and
- Independence.



# Appendix A: Key communication points

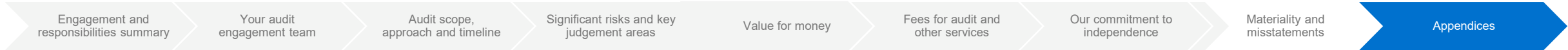
ISA (UK) 260 'Communication with Those Charged with Governance', ISA (UK) 265 'Communicating Deficiencies In Internal Control To Those Charged With Governance And Management' and other ISAs (UK) specifically require us to communicate the following:

Required communication	Where addressed
Our responsibilities in relation to the financial statement audit and those of management and those charged with governance.	Audit Strategy Memorandum
The planned scope and timing of the audit including any limitations, specifically including with respect to significant risks.	Audit Strategy Memorandum
With respect to misstatements: <ul style="list-style-type: none"> <li>• uncorrected misstatements and their effect on our audit opinion;</li> <li>• the effect of uncorrected misstatements related to prior periods;</li> <li>• a request that any uncorrected misstatement is corrected; and</li> <li>• in writing, corrected misstatements that are significant.</li> </ul>	Audit Completion Report
With respect to fraud communications: <ul style="list-style-type: none"> <li>• enquiries of the Governance and Resources Committee to determine whether they have a knowledge of any actual, suspected or alleged fraud affecting the entity;</li> <li>• any fraud that we have identified or information we have obtained that indicates that fraud may exist; and</li> <li>• a discussion of any other matters related to fraud.</li> </ul>	Audit Completion Report and discussion at the Governance and Resources Committee Audit planning and clearance meetings



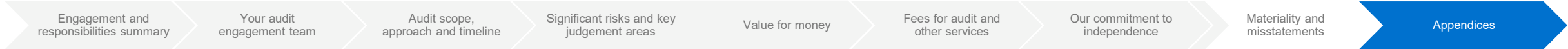
# Appendix A: Key communication points

Required communication	Where addressed
<p>Significant matters arising during the audit in connection with the entity's related parties including, when applicable:</p> <ul style="list-style-type: none"> <li>• non-disclosure by management;</li> <li>• inappropriate authorisation and approval of transactions;</li> <li>• disagreement over disclosures;</li> <li>• non-compliance with laws and regulations; and</li> <li>• difficulty in identifying the party that ultimately controls the entity.</li> </ul>	<p>Audit Completion Report</p>
<p>Significant findings from the audit including:</p> <ul style="list-style-type: none"> <li>• our view about the significant qualitative aspects of accounting practices including accounting policies, accounting estimates and financial statement disclosures;</li> <li>• significant difficulties, if any, encountered during the audit;</li> <li>• significant matters, if any, arising from the audit that were discussed with management or were the subject of correspondence with management;</li> <li>• written representations that we are seeking;</li> <li>• expected modifications to the audit report; and</li> <li>• other matters, if any, significant to the oversight of the financial reporting process or otherwise identified in the course of the audit that we believe will be relevant to the Governance and Resources Committee in the context of fulfilling their responsibilities.</li> </ul>	<p>Audit Completion Report</p>
<p>Significant deficiencies in internal controls identified during the audit.</p>	<p>Audit Completion Report</p>
<p>Where relevant, any issues identified with respect to authority to obtain external confirmations or inability to obtain relevant and reliable audit evidence from other procedures.</p>	<p>Audit Completion Report</p>



# Appendix A: Key communication points

Required communication	Where addressed
<p>Audit findings regarding non-compliance with laws and regulations where the non-compliance is material and believed to be intentional (subject to compliance with legislation on tipping off) and enquiry of the Governance and Resources Committee into possible instances of non-compliance with laws and regulations that may have a material effect on the financial statements and that the Governance and Resources Committee may be aware of.</p>	<p>Audit Completion Report and Governance and Resources Committee meetings</p>
<p>With respect to going concern, events or conditions identified that may cast significant doubt on the entity's ability to continue as a going concern, including:</p> <ul style="list-style-type: none"> <li>• whether the events or conditions constitute a material uncertainty;</li> <li>• whether the use of the going concern assumption is appropriate in the preparation and presentation of the financial statements; and</li> <li>• the adequacy of related disclosures in the financial statements.</li> </ul>	<p>Audit Completion Report</p>
<p>Reporting on the valuation methods applied to the various items in the annual financial statements including any impact of changes of such methods</p>	<p>Audit Completion Report</p>
<p>Indication of whether all requested explanations and documents were provided by the entity</p>	<p>Audit Completion Report</p>





# Appendix B: Revised auditing standard on Identifying and assessing the risks of material misstatement: ISA (UK) 315 (Revised 2019)

## Background

ISA (UK) 315 (Revised 2019) introduces major changes to the auditor's risk identification and assessment approach, which are intended to drive a more focused response from auditors undertaking work to obtain sufficient appropriate audit evidence to address the risks of material misstatement. The new standard is effective for periods commencing on or after 15 December 2021 and therefore applies in full for the Council's 2022/23 audit.

The most significant changes relevant to the Council's audit are outlined below.

### Enhanced risk identification and assessment

The standard has enhanced the requirements for the auditor to understand the audited entity, its environment and the applicable financial reporting framework in order to identify and assess risk based on new inherent risk factors which include:

- Subjectivity
- Complexity
- Uncertainty and change
- Susceptibility to misstatement due to management bias or fraud.

Using these inherent risk factors, we assess inherent risk on a spectrum, at which the higher end of which lies significant risks, to drive an audit that is more focused on identified risks. Auditors are now also required to obtain sufficient, appropriate evidence from these risk identification and assessment procedures which means documentation and evidence requirements are also enhanced.

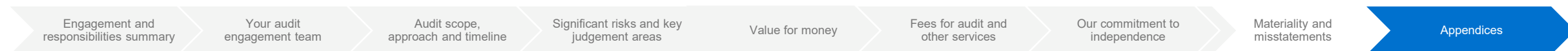
### Greater emphasis on understanding IT

In response to constantly evolving business environments, the standard places an increased emphasis on the requirements for the auditor to gain an understanding of the entity's IT environment to better understand the possible

risks within an entity's information systems. As a result, we are required to gain a greater understanding of the IT environment, including IT general controls (ITGCs).

### Increased focus on controls

Building on the need for auditors to gain a greater understanding of the IT environment, the standard also widens the scope of controls that are deemed relevant to the audit. We are now required to broaden our understanding of controls implemented by management, including ITGCs, as well as assess the design and implementation of those controls.



# Alastair Newall

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50

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# Agenda Item 7

OPEN REPORT  
GOVERNANCE AND RESOURCES COMMITTEE

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**Governance and Resources Committee – 14 September 2023**

**EQUALITY, CONSULTATION & ENGAGEMENT PLAN 2022-2024**

**Report of Director of Regeneration and Policy**

**Report Author and Contact Details**

Claire Allen, Corporate Policy Officer

01629 761240 or [claire.allen@derbyshiredales.gov.uk](mailto:claire.allen@derbyshiredales.gov.uk)

**Wards Affected**

District-wide

**Report Summary**

The District Council publishes an Equality, Consultation and Engagement Plan which sets out how the Council will meet its public sector equality duties, and what consultation and engagement activities are proposed for each year.

This report provides an update on progress against the 2022-23 actions set out in the Equality, Consultation and Engagement Plan 2022-24.

**Recommendations**

1. That progress against the actions in the Equality, Consultation and Engagement Plan 2022-24 (as set out in Appendices one and two) be received.

**List of Appendices**

Appendix 1 Consultation & Engagement Plan outturn 2022-23

Appendix 2 Equality Plan outturn 2022-23

**Background Papers**

None

**Council Approval Required**

No

**Exempt from Press or Public**

No

## Equality, Consultation & Engagement Plans 2022 to 2024

### 1. Background

- 1.1 The public sector equalities statutory duty comprises a [general equality duty](#) and a [specific duty](#). The District Council must comply with both. The general duty requires the District Council to have due regard in the exercise of all its functions to the need to:
- Eliminate discrimination, harassment and victimisation
  - Advance equality of opportunity between all persons;
  - Foster good relations between all persons.
- 1.2 The District Council must therefore ensure due consideration is given to the aims of the Duty in all its decisions. The paragraph on 'Equality implications' in every committee report reminds Members that although Officers have had regard to equality issues when preparing reports, Members should also consider equality issues in order to meet the Equality Duty.
- 1.3 The specific duty requires the District Council to publish:
- Equality information annually about its workforce and service users to demonstrate compliance with the general Equality Duty;
  - Equality objectives (drawing on this information) at least every four years that it needs to achieve to meet the aims of the general equality duty, focusing on its priority equality issues.
- 1.4 The District Council has a comprehensive [Equality, Diversity and Inclusion Policy](#) which details how the Council meets the requirements of equality legislation and provides the context for the Equality, Consultation & Engagement Plan. It was adopted in September 2021.
- 1.5 The Equality, Consultation and Engagement Plan which set out the activity planned for the period 2022-24 was approved by the Governance and Resources Committee on 22 September 2022.

### 2. Equality Objectives 2022-2024

- 2.1 The Council's Equality Objectives for 2022-24 were agreed by the Governance and Resources Committee on 22 September 2022. Informed by the priorities within our Corporate Plan (themselves based on extensive public and stakeholder consultation), the Equality Objectives are:
- Objective 1: Maintain high customer satisfaction about the quality of services we deliver
  - Objective 2: Implement the Derbyshire Dales Climate Change Strategy and make improvements to the operational aspects of the Clean & Green service
  - Objective 3: Promote housing development that meets the needs of the present and future population of the District
  - Objective 4: Seek to attract investment that supports the local economy including the provision of jobs for younger people
  - Objective 5: One team, working together as one Council with one purpose

## ***Progress: Equality and Consultation 2022-2024***

- 2.2 As required by legislation, updated equality information was published on the District Council's [website](#) early in 2023. A proportionate approach to the collection and publication of data continues to be taken, with a particular focus on key service user satisfaction data disaggregated by relevant protected groups.
- 2.3 The Equality, Consultation & Engagement Plan 2022-24 set out performance measures/targets which are detailed in Appendix One and Two.
- 2.4 Successes to highlight include;
- The Residents' Survey was completed in February 2023. 1,977 responses were received, significantly exceeding the target of 1,500 responses. From the Residents Survey, satisfaction with DDDC services has increased slightly to 60%.
  - Surveys of satisfaction levels with 3 parks were completed in 2022 with ratings above 60% for two of the three parks surveyed and one just below 60%.
  - The CEOs Business Forum was held in July 2022 with another Business Forum under consideration for 2023/24 when the Economic Development Manager is in post.
  - Customer satisfaction surveys on the waste and recycling service are planned for Autumn 2023 and in 2024 by SERCO.
- 2.5 The following targets were not met fully:
- Area Community Forums are under review by the Constitution Working Group
  - The Online Panel Survey normally scheduled for November was not undertaken as a full Residents Survey was completed instead.

## **4. Options Considered and Recommended Proposal**

- 4.1 The Equality Plan is required by the Equality, Diversity and Inclusion Policy, the Equality Act 2010 and the public Sector Equality Duty which forms part of the Act. The plans demonstrate that we are having due regard to equality issues. The Council's Consultation Strategy requires the creation of a consultation plan, where actions from Service Plans are drawn together.

## **5. Consultation**

- 5.1 The Equality, Consultation and Engagement Plan identifies consultation that will be led by Senior Managers.

## **6. Timetable for Implementation**

- 6.1 The plans cover the period from April 2022 to end March 2024. They include a simple timetable to show the deadlines for implementing actions. Reports to Council will be made on progress annually.

## **7. Policy Implications**

- 7.1 The plans link to the Equality, Diversity and Inclusion Policy, and the Consultation Strategy 2020-27.

## **8. Financial and Resource Implications**

- 8.1 Resources implications were considered at the time of adopting the plan and on an ongoing basis for individual actions across services.
- 8.2 The costs of addressing the statutory requirements in relation to equality and consultation are contained within existing service budgets. As such the financial risk is low. However, failure to comply with the relevant statutory requirements may expose the District Council to legal challenge and therefore the potential for higher financial risks.

## **9. Legal Advice and Implications**

- 9.1 Legal implications were considered at the time of adopting the plan and on an ongoing basis for individual actions across services.

## **10. Equalities Implications**

- 10.1 Equality Impact Assessments will be prepared for the proposals contained in the plan as indicated.

## **10. Climate Change and Biodiversity Implications**

- 10.1 A CCIA is not necessary as much of the content of this report is reporting the results of past actions. The remainder of the report contains action plans. For each action consideration as to whether a CCIA is required will be made as the action is begun.

## **11. Risk Management**

- 11.1 Risk assessments for each proposal contained within the Plan will be made as they are developed.

### **Report Authorisation**

Approvals obtained from Statutory Officers:-

	<b>Named Officer</b>	<b>Date</b>
Chief Executive	Paul Wilson	30/08/2023
Director of Resources/ S.151 Officer (or Financial Services Manager)	Karen Henriksen	24/08/2023
Monitoring Officer (or Legal Services Manager)	James McLaughlin	06/09/2023

## CONSULTATION & ENGAGEMENT ACTION PLAN 2022 – 2024

### Regulatory Services

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
Charging for Food Hygiene Rating Scheme re-inspections	2022/23	TBC	Businesses and organisations that sell food and drinks to the public	TBC	Environmental Health Manager	Given the low numbers of re-inspections, the fragile state of the hospitality and retail sector, plus the impetus for improvement under the current 'stand still period', charging has been put on hold.
Undertake community engagement at four events and provide advice to rural communities through the use of the 'Fantastic Homes' exhibition	by March 2023	Face to face – information sharing and discussion	Residents	N – no decisions made	Director of Regulatory Services/Climate Change Officer	First year's work commenced Q4 of 21/22 – 4 visits completed. To be continued into 22/23

## Housing

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress at July 2023
Customer satisfaction with housing needs services	2022/23	Face to face/online survey	Customers	No	Housing Strategy Officer Homeless	This was not taken forward given other pressures
Customer satisfaction with housing needs services	2023/24	Face to Face/online survey	Customers	No	Housing Strategy Officer Homeless	This was not taken forward given other pressures
Research into conditions and outcomes for private landlords and tenants. Results to inform development of policy proposals to improve conditions and outcomes for tenants and landlords	March to September 2022	Focus groups with landlords and tenants  DDDC Officers and data held by/accessible to DDDC	Focus groups – landlords and tenants  DDDC Officers  Data already held by DDDC	Yes on new policy	Director of Housing	Altair commissioned to, <ul style="list-style-type: none"> <li>• Review and analyse information about the PRS that DDDC Officers have</li> <li>• Undertake qualitative research and engagement</li> <li>• Develop policy options.</li> </ul> Final report received April



Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress at July 2023
						2023. To be tabled at a future C&E Committee
Develop housing needs information through parish housing needs surveys and ward based housing assessments	Dec 2022	Secondary data from the Home Options register and Home Check and Management Information from housing associations.  Some primary research in Parishes	Residents and specifically people with housing needs	No	Rural Housing Enabler [Housing]	Parish housing needs surveys are continuing along with other research linked to 2 <sup>nd</sup> and empty homes

## Resources

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress at July 2023
Budget 2023-24 consultation  • More in depth	August/Sept 2022	TBC – likely to include; • Presentations at meetings	Residents and business rate payers	Yes	Director of Resources / Director of Regeneration and Policy	Budget consultation was conducted in Feb/March 2023 as part of the

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress at July 2023
<ul style="list-style-type: none"> <li>• Covering the medium term (not just one year)</li> <li>• To inform the MTFP &amp; MTFS as well as the annual budget</li> </ul> Review the effectiveness of this stakeholder engagement & consider other methods such as focus groups.		or electronic/ paper survey. <ul style="list-style-type: none"> <li>• Business Forums and Community Forums</li> </ul> Feedback to the public at the community Forums in February				Residents Survey conducted for the Council. The results were reported to G&R Committee on 14 September 2023, and will inform budgeting and prioritisation for 2024/25
Budget 2024-25 consultation	August/Sept 2023	Presentation at meetings or electronic/ paper survey. Business Forums and Community Forums Feedback to the public at the community	Residents and businesses	Yes	Director of Resources / Director of Regeneration and Policy	See above

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress at July 2023
		Forums in February				
Budget 2023-24 consultation	August 2022	TBC - Presentation at meetings or electronic/ paper survey. Business Forums and Community Forums	Residents and businesses	Yes	Director of Resources / Director of Regeneration and Policy	Presentation given to Community Forums in November 2022 and feedback invited.  Information sent to businesses in February 2023.

### Community and Environmental Services

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress at July 2023
Customer satisfaction survey with the refuse and recycling service	2022	TBC – probably a telephone survey	Residents	No	Director of Community and Environmental Services	This survey should be completed by SERCO. They have acknowledged that it is their responsibility and they haven't completed it yet. They have said they plan to but no date has been supplied for this to happen.

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress at July 2023
Customer satisfaction survey with the refuse and recycling service	2023	TBC	TBC	No	Director of Community and Environmental Services	This survey should be completed by SERCO. This Survey is currently under review to be completed in the Autumn of 2023.
Customer satisfaction survey with the waste and recycling service	2024	TBC	TBC	No	Director of Community and Environmental Services	This survey should be completed by SERCO. This will be planned in for 2024.
Host 2 trader forums for Bakewell Market.	2022/23	TBC - Zoom or Face to face forum with market traders	Bakewell Market Traders	No	Events [Community and Environmental Services]	Traders are currently being asked which method they would prefer: Zoom or face-to-face
Market research into customer satisfaction with Leisure Facilities	June 2022	Various - to be determined	Residents, existing and potential users	No	Freedom Leisure / Community Development Manager	Not carried out
Market research into customer satisfaction with Leisure Facilities	June 2023	Various - to be determined	Residents, existing and potential users	No	Freedom Leisure / Community Development Manager	This hasn't been carried out mainly due to pressures created by energy costs and decarbonisation schemes. Officer covering maternity leave is

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress at July 2023
						carrying out a survey through a scheme called moving communities in partnership with Freedom, the survey has gone to Leisure users and awaiting results.
Engage with 4 community groups across the main towns to become actively involved in the roads, verges and biodiversity project	2022/23	Groups have either approached us or we have made contact with them.	Community and Environmental groups	No	Community Development Officer	Worked with Wirksworth during 2021 and in 2022 we are working with groups in Ashbourne, Bakewell and Matlock Bath
Survey satisfaction levels with the users of 3 parks per year at 60%	2022	Survey Monkey, face to face interviews	Users of Dimple Fields, Bakewell Recreation Ground and Fanny Shaws in Wirksworth	No	Community Development Manager	The surveys have been completed and two out of three were above 60%, the third was just below
Survey satisfaction levels with the	2023	Survey Monkey, face to	Bolehill Recreation Ground,	No	Community Development Manager	Relevant officer on maternity leave

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress at July 2023
users of 3 parks per year at 60%		face interviews	Derwent Gardens, Northwood Recreation ground			
Develop and implement an improvement plan in the parks from the results of the customer satisfaction survey (dependent upon external funding)	March 2023	Meeting with park user groups	Park users Residents	Y [?]	Community Development Manager	Note: Customer survey work will continue next year with 3 surveys. One will be Tansley village Green/Recreation, others tbc
Consult park users and other groups of Improvement options for Ashbourne Park which will go towards supporting evidence for Heritage Lottery	Summer /Autumn 2023	Survey park user groups (inc visitors), online, social media and website – possibly in Dales Matters (Oct 23)	Park users Visitors Residents	Y?	Community Development Manager	Relevant officer on maternity leave

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress at July 2023
Funding Bid in 2024						
Consult users of the Matlock Skate Park to provide supporting evidence to support and help facilitate funding applications	Summer 23	Survey park user groups (inc visitors), online, social media and website	Park users Visitors Residents	Yes	Community Development Manager	Relevant officer on maternity leave
Area Community Forum	January 2023	Public meeting	Residents, businesses, Service users, Partners	No	All Neighbourhoods / Liaison Officer	<p><b>Community forums</b></p> <p><b>Northern</b> : 16 November 2022 - Agricultural Business Centre, Bakewell</p> <p><b>Southern</b> : 29 November 2022 - Ashbourne</p> <p><b>Central</b> : 6 December 2022 - Council Chamber, Derbyshire Dales District Council</p> <p>Topics covered:-</p> <ul style="list-style-type: none"> <li>• Devolution Deal / Mayoral Combined Authority</li> <li>• Update : Travellers</li> <li>• Cost of Living Crisis: signposting residents to support</li> </ul>

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress at July 2023
						<ul style="list-style-type: none"> <li>• Budget Consultation and Priorities</li> <li>• Ward Boundary Changes</li> <li>• Community Engagement</li> <li>• Waste Collections: Round Optimisation</li> </ul>
Area Community Forum	January 2024	Public meeting	Residents, businesses, Service users, Partners,	No	12 [Community Development Team]	These are pending, awaiting review by Constitution Working Group
Review of the Council's Car Parking Order	2022	Various, including Resident Panel Survey, via the website	User groups, traders, Local Stakeholder groups, Town / Parish Councils, other local authorities in tourist areas and tourism bodies e.g. Visit Peak District	Yes	Neighbourhoods Manager	Awaiting guidance from members
Understanding which areas in the District would benefit from the	2022	Various – online survey	Residents, users of car parks	Yes	Neighbourhoods	Consultation has closed. Analysis of results to follow.



<b>Issue/ Consultation Task</b>	<b>Date planned</b>	<b>Methods</b>	<b>Target Groups</b>	<b>EIA req'd</b>	<b>Lead Officer</b>	<b>Progress at July 2023</b>
installation of EV charging points						
Holiday Activity and Food programme – how can we improve it for next year	2022/23	Face to face with young people, online survey for parents	Youngsters who used the services, parents	No	Community Development Manager, Physical Activity & Sport Development	Next survey to be completed – Summer 2022. Results will inform future meals and activities in Summer 2023 – dependent on funding
CRI8 & CRI9 % people feeling safe outside during the day and night	November 2022	Online Panel Survey	Local residents	No	Policy Manager	The Online Panel Survey was not undertaken as the Residents Survey for the Corporate Plan was carried out in March 2023 instead. The Corporate Performance Indicators to be used going forwards are currently under review.
CRI8 & CRI9 % people feeling safe outside during the day and night	November 2023	Online Panel Survey	Local residents	No	Policy Manager	The Online Panel Survey was not undertaken as the Residents Survey for the Corporate Plan was carried out in March 2023 instead. The Corporate Performance Indicators to be used going forwards are currently under review.

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress at July 2023
Review/Consult on a new PSPO to be introduced by Summer 2022	July 2022	Online survey advertised through social media, via site notices, newspapers. Direct liaison with Town/Parish Councils, and Parish Meetings, user groups and interested parties	Users Interested parties Accessibility groups	Draft was prepared	Neighbourhoods Liaison Officer	<p>Reported to C&amp;E 6th April 2023 <a href="#">Meeting agenda and report</a></p> <p>All recommendations approved: these included amendments as to how PSPOs will be applied in the case of dog fouling and car parking.</p> <p>Options regarding other issues such as alcohol consumption and the use of BBQs are being explored.</p> <p>Data will be gathered through the summer, particularly on the use of BBQ and open fires and reported to C&amp;E 10<sup>th</sup> November ish</p>
Community Safety Consultation, Understand how residents/businesses view this in their area	By March 2023	Online survey – possibly posters for the Parish/Town Councils, by phone	Residents, businesses, interested groups	Y	Community Safety Officer	Community Safety have started doing a yearly survey to understand residents' views on Community Safety, the first one took place in 2022 and they plan to report year on year to see what difference, if any, there is

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress at July 2023
						The responses also help define projects/activities and events DDDC conducts in an effort to improve services.
Parking review which supports the parking order	By March 2023	Various – online, posters for the Parish/Town Councils, by phone	Residents, businesses, local workers and other interested groups	Y	Neighbourhoods Manager	Awaiting guidance from members

## Regeneration & Policy

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress at July 2023
Business Engagement Programme-business forums/workshops	2022	Six-monthly themed events, plus workshops & networking	Local businesses with growth plans, including larger firms	N/A	Economic Development Manager	1 partner engagement event held in June 2022 to inform proposals for the Council's UK Shared Prosperity Fund Investment Plan.  Regular programme of D2N2 Growth Hub business events promoted by the District Council,

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress at July 2023
						many attended by Dales businesses.
Business Engagement Programme-business forums/workshops	2023	Six-monthly themed events, plus workshops & networking	Local businesses with growth plans, including larger firms	N/A	Economic Development Manager	Provider recently procured to deliver business workshops and events for Derbyshire districts from Autumn 2023
Derbyshire Dales Business Survey	June / July 2022	Telephone survey of 200 businesses	Businesses occupying business premises –	N/A	Economic Development Manager	On-line survey undertaken in June 2022 to determine business priorities and support requirements for the next two years to inform UKSPF Investment Plan proposals. 101 responses received.
Derbyshire Dales CEOs Forum	July 2022	Forum	Engagement with leading businesses within the Dales	N/A	Economic Development Manager	CEOs Business Forum held 22 July 2022 at Darley Dale.
Derbyshire Dales CEOs Forum	July 2023	Forum	Engagement with leading businesses within the Dales	N/A	Economic Development Manager	2023 Business Forum under consideration for late 2023 when new Business Advisor and Economic Development Manager in post
Biennial Business	Autumn 2022	On-line + phone survey	Local businesses	N/A	Economic Development Manager	See above. Approach to formal business survey under review

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress at July 2023
Survey – themed						
Undertake Annual Survey using the Online Residents Panel to assess resident satisfaction with Derbyshire Dales District Council services	Complete survey and report to Council by Nov 22	Online survey to Online Panel Members	Residents on the Online Panel	No	Policy Manager/Policy Officer	The Annual Residents Survey was completed in February 2023, surveying both the Online Panel and the wider community. 1,977 responses were received, exceeding the target of 1,500 responses.
Local Plan	2022	TBC	Residents outside the Peak District	Yes	Policy Manager	As set out in the Statement of Community Involvement, Council approved on 24/03/22 the commissioning of consultants to undertake a more detailed assessment of options for delivery of a sustainable Derbyshire Dales that meets its agreed aspirations, as set out in Option 5 in paragraphs 4.15 and 4.16 of the report. A programme of public consultation is to be drawn up with Statutory Consultation likely to be undertaken around October 2023
Performance indicators	Nov 2022	On-line Panel survey	Local residents	No	Policy Officer	The Residents Survey for the Corporate Plan was carried out in March 2023. 47% agreed that

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress at July 2023
<p>% agreeing the Council provides value for money (POL8), satisfaction with how the Council runs things (POL9), % satisfied with the area (N15)</p>						<p>Derbyshire Dales District Council provides value for money (an increase from 43% in 2021)</p>
<p>Performance indicators% agreeing the Council provides value for money (POL8), satisfaction with how the Council runs things (POL9), % satisfied with the area (N15)</p>	Nov 2023	On-line Panel survey	Local residents	No	Policy Officer	<p>The Residents Survey for the Corporate Plan was carried out in March 2023. Satisfaction with the way Derbyshire Dales District Council runs things was 60%, an increase from the 2021 survey (58%)</p>
<p>Corporate Plan 2024 to 2028 – identifying potential Council priorities and actions</p>	to be complete by May 2023	TBC – using consultants but to include surveying our Online	Local Residents	Yes	Policy Officer	<p>The Residents Survey for the Corporate Plan was carried out in March 2023</p>

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress at July 2023
		Panel and other residents				

## Corporate and Customer Services

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress at July 2023
Biennial ICT internal satisfaction survey	January 2023	Biennial online survey	Staff at DDDC	No	Service Delivery Manager [Joint ICT Services	Survey undertaken and results to be shared with ICT User Group and Joint ICT Committee
Communications and Marketing: Matlock Bath Illuminations satisfaction	Dec 2022	Online questionnaire	Visitors to the illuminations		Comms & Marketing Manager/Digital Communications Officer	Positive feedback received which correlates with increased reach with visitors to the Illuminations.
Communications and Marketing: Matlock Bath Illuminations satisfaction	Dec 2023	Online questionnaire	Visitors to the illuminations		Comms & Marketing Manager/Digital Communications Officer	Positive feedback received which correlates with increased reach with visitors to the Illuminations.

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress at July 2023
Community Governance Review [Matlock/Darley Dale]	June to Sept 2022	tbc	Stakeholders - residents; County, Town and Parish councils; other bodies with a concern/interest	N	Director of Corporate and Customer Services, Democratic & Electoral Services Manager	Consultation undertaken and results fed back to Council in reports in 2022 which resulted in a recommendation to the Local Government Boundary Commission for England (LGBCE) which failed to act in time to make changes ahead of the local elections in May 2023.
Review of Polling Districts and Polling Places	October 2023	Tbc	Stakeholders – Members, residents; County, Town and Parish councils; other bodies with a concern/interest	N	Democratic & Electoral Services Manager	This activity is planned to commence in the autumn of 2023 with the outcome to be reported to Council at the conclusion of the review.



## APPENDIX THREE

### EQUALITY ACTION PLAN 2022-2024

Equality Objectives	Actions	Performance Measures / Targets	Equality Outcome [reported annually]	Lead	By when	
<b>PEOPLE - PROVIDING YOU WITH A HIGH QUALITY CUSTOMER EXPERIENCE</b>						
73	<b>Objective 1:</b> Maintain high customer satisfaction about the quality of services we deliver	CP20/PE7 Undertaking an annual online survey of residents to establish customer satisfaction and priorities	Undertake Annual Survey using the Online Residents Panel to assess resident satisfaction with DDDC Services by Nov 2022	Residents Survey carried out February / March 2023. Satisfaction with the way Derbyshire Dales District Council runs things was 60%,	Director of Regeneration & Policy	November 2022
		CP20/PE7 Undertaking an annual online survey of residents to establish customer satisfaction and priorities	Undertake Annual Survey using the Online Residents Panel to assess resident satisfaction with DDDC Services by Nov 2023	an increase from the 2021 survey (58%). Results were reported to the Governance and Resources Committee on 14 September 2023	Director of Regeneration & Policy	November 2023
		CP20/PE9 Maintain other customer access channels: during opening hours, you will still be able to phone us or drop by	Continue to maintain and publicise a variety of offline customer contact channels for the District Council's services through Dales Matters and other media.	Customer Access Strategy adopted in July 2023 with a new Customer Charter which focuses on leaving no behind in our service offer.	Director of Corporate & Customer Services	Annually ongoing -

Equality Objectives	Actions	Performance Measures / Targets	Equality Outcome [reported annually]	Lead	By when
	at the Town Hall in Matlock		Whilst the number of digitally excluded residents is low, the Council is committed to provide equality of service to all customers.		
	CP20/PE6 ability to access more service 24/7 online	Expand the number of services that are fully trackable by 20		Digital Transformation	March 2023
	Fully utilise the in cab software that links to SERCO and the CRM. The CRM to provide an improved customer experience and improved communication.	Fewer calls to the Council front desk, more automation  <b>Benchmark</b> - telephone Calls received April 21 to March 22: <ul style="list-style-type: none"> <li>• Waste – 24,165</li> <li>• Garden Waste – 13,030</li> </ul>		Waste and Recycling Manager	December 2022
	% of lost telephone calls handled by Customer Services	3% or less	Less than 3%	Business Support [Corporate and Customer Services]	March 2023
	Deliver new website		Completed in December 2022 and compliant with accessibility standards set by the Government Digital Service	Comms & Marketing Manager [Corporate and Customer Services]	Dec 2022

<b>Equality Objectives</b>	<b>Actions</b>	<b>Performance Measures / Targets</b>	<b>Equality Outcome [reported annually]</b>	<b>Lead</b>	<b>By when</b>
	Publish the District Council's Equality information	Published on website by end Jan 2023	Published on website by end Jan 2023	Policy Officer	End Jan 2023
	Publish the District Council's Equality information	Published on website by end Jan 2024		Policy Officer	End Jan 2024
	% of new Council Tax Support claims processed within 14 days	60.0%	81.6%	Benefits Manager	March 2023
	% of new Housing Benefit claims processed within 14 days	65.0%	81.6%	Benefits Manager	March 2023
	% major planning application determined in 13 weeks or agreed extension of time period	>75%		Development Manager [Regulatory Services]	
	% minor planning application determined in 8 weeks or agreed extension of time period	>77%		Development Manager [Regulatory Services]	
	% of other planning applications	>90%		Development Manager [Regulatory Services]	

Equality Objectives	Actions	Performance Measures / Targets	Equality Outcome [reported annually]	Lead	By when
	determined in 8 weeks or agreed extension of time period				
<b>PLACE - KEEPING THE DERBYSHIRE DALES CLEAN, GREEN AND SAFE</b>					
<b>Objective 2:</b> Implement the Derbyshire Dales Climate Change Strategy	Deliver a high quality waste/recycling service to residents	Waste & recycling collection - % satisfied with service [contractor to complete]		Director of Community & Environmental Services, Waste and Recycling Manager	March 2023
	Deliver a high quality waste/recycling service to residents	Waste & recycling collection - % satisfied with service [contractor to complete]		Director of Community & Environmental Services Waste and Recycling Manager	March 2024
	Deliver the Sustainable Warmth competition (LAD3/HUG) grant funded works to reduce fuel poverty, improve the energy efficiency of homes and decarbonise heating	By March 2023		Climate Change Officer	

Equality Objectives	Actions	Performance Measures / Targets	Equality Outcome [reported annually]	Lead	By when
	Apply for further rounds of Green Homes Grant funding as it becomes available (HUG2) and support housing associations in applications for future rounds of Social Housing Decarbonisation Fund	By March 2023		Climate Change Officer	
	Implement tree management project and measure the effectiveness of the action taken	Implement by April 2022 and measure effectiveness by April 2023		Development Manager & Trees and Landscape Officer	
Work with partners and communities to maintain high levels of community safety	Provide security equipment for victims and survivors of Domestic Abuse.	Provide funding to Crossroads DA Services to install appropriate equipment on an individual case basis to enable victims and survivors to feel safe in their homes. Equipment can include cameras, door, window and gate locks and personal alarms.	Number of households benefitting from enhanced security.	Neighbourhoods Manager  Community Safety	March 2023

<b>Equality Objectives</b>	<b>Actions</b>	<b>Performance Measures / Targets</b>	<b>Equality Outcome [reported annually]</b>	<b>Lead</b>	<b>By when</b>
	Community Safety Reduction in the number of ASB reoffenders	90%		Community Safety [Community and Environmental Services]	
	Community Safety Hold at least one multi-agency Community Safety Event	2		Community Safety [Community and Environmental Services]	
	Community Safety - Communication campaign across the District signposting potentially victims to Services	By March 2023		Community Safety [Community and Environmental Services]	
Implement the Council's Climate Change Strategy and ensure that the benefits derive to vulnerable households across the District	Insulation / greener homes		We have received government funding in the last two years and are applying for the future rounds of government funding. SMART targets will be defined once the criteria for future rounds are clear	Climate Change Officer	June 2022

<b>Equality Objectives</b>	<b>Actions</b>	<b>Performance Measures / Targets</b>	<b>Equality Outcome [reported annually]</b>	<b>Lead</b>	<b>By when</b>
To work with Derbyshire County Council to understand where the need is within District which would benefit from the installation of EV charging points	To provide options and any associated costs for Members to make a decision on the way forward with a view to introduce more publicly accessible EV charging points within Public Car Parks	Increased number of EV charge points within the district, in response to consultation results		Neighbourhoods [Community and Environmental Services]	March 2023
<b>PROSPERITY - SUPPORTING BETTER HOMES AND JOBS FOR YOU</b>					
<b>Objective 3:</b> Promote housing Development that meets the needs of the present and future population of the District	CP20/PR10 Helping disabled people adapt their homes so they can continue to live there	Provide adaptations to the homes of 70 disabled people by March 2023	68 adaptations provided, thereby improving access into and around the homes of disabled people	Director of Regulatory Services	March 2023
	CP20/PR10 Helping disabled people adapt their homes so they can continue to live there	Provide adaptations to the homes of 70 disabled people by March 2024	To be reported in 2024	Director of Regulatory Services	March 2024

<b>Equality Objectives</b>	<b>Actions</b>	<b>Performance Measures / Targets</b>	<b>Equality Outcome [reported annually]</b>	<b>Lead</b>	<b>By when</b>
	CP20/PR18 Continue to provide debt and welfare advice to vulnerable households	Provide debt and welfare advice to 300 vulnerable households by March 2023	The service continues to support vulnerable and disabled adults impacted by the cost of living crisis	Director of Housing	March 2023
	CP20/PR18 Continue to provide debt and welfare advice to vulnerable households	Provide debt and welfare advice to 300 vulnerable households by March 2024		Director of Housing	March 2024
	CP20/PR8 Building new Council homes to rent and continuing to build social rented homes in partnership with Housing Associations	The Council will acquire 10 additional homes and deliver 33 homes with housing association partners in 2022/23	The council is delivering the Afghan and Ukraine housing scheme with 11 of 17 homes secured	Director of Housing	March 2023
	CP/PR 8 Commence the programme to build new Council homes to rent by March 2022		25 homes have been acquired since the programme started	Housing	March 2024



<b>Equality Objectives</b>	<b>Actions</b>	<b>Performance Measures / Targets</b>	<b>Equality Outcome [reported annually]</b>	<b>Lead</b>	<b>By when</b>
	% of new homes built on previously developed land	75%		Planning Manager/ Assistant	Policy Technical March 2023
	Net additional homes provided	300		Planning Manager/ Assistant	Policy Technical
	The total no. of net additional dwellings that are deliverable as a % of the planned housing provision for the 5 year period	100%		Planning Manager/ Assistant	Policy Technical
	% of new homes built during the year, which are affordable housing	15%		Planning Manager/ Assistant	Policy Technical
	The % of homeless households seeking assistance from the Council, for whom this intervention helped resolve their situation		Reported in the Corporate Plan KPI	Homeless [Housing]	team March 2023

Equality Objectives	Actions	Performance Measures / Targets	Equality Outcome [reported annually]	Lead	By when
	CP20/PR13 Delivering a permanent site to meet identified traveller needs by March 22		Work continues to identify a suitable site	Director of Housing	March 2024
<b>Objective 4:</b> Seek to attract investment that supports the local economy including the provision of jobs for younger people	Having a positive impact on young people – support three diversionary projects using £17,000 of funding provided by the Police Crime Commissioner	3 Youth diversionary project funded to operate weekly sessions in the ASB hotspot areas of Matlock and Ashbourne	Three diversionary youth projects. Number of young people engaging with projects.	Neighbourhoods Community Safety	March 23
	Employ an apprentice to provide training and experience to support their qualification.	Employ one apprentice by March 2023		Clean and Green	March 23
<b>ONE TEAM, ONE COUNCIL, ONE PURPOSE</b>					
<b>Objective 5:</b>	Agree and progress the corporate	EIA programme for 2022-23 complete	<b>Completed</b>	Directors of Services	March 2022

Equality Objectives	Actions	Performance Measures / Targets	Equality Outcome [reported annually]	Lead	By when
One team, working together as one Council with one purpose	programme of priority Equality Impact Assessments for 2022/23	<ul style="list-style-type: none"> <li>• Controlled Substances at Work Policy</li> <li>• Monitoring &amp; Surveillance Policy</li> <li>• £150 energy rebate</li> <li>• Text Payment System</li> <li>• Live streaming of council meetings</li> <li>• Clean and Green review depending on recs</li> <li>• PSPO dependent on data</li> <li>• Parks survey – dependent on results</li> <li>• Car park review – dependent on review outcomes</li> <li>• Community Governance Review – on agreed changes</li> </ul>	Freedom Leisure [reducing costs]  Land at Bakewell Road  UKSPF Funding bid		
	Agree and progress the corporate programme of priority Equality Impact	EIA programme for 2023-24 complete <ul style="list-style-type: none"> <li>• Local Plan</li> </ul>		Directors of Services	

Equality Objectives	Actions	Performance Measures / Targets	Equality Outcome [reported annually]	Lead	By when
	Assessments for 2023/24				
	Implement the Clean and Green Action Plan devised by the Clean and Green Manager and the Director of Community and Environmental Services.	Report and provide recommendations to elected members, develop and implement an improvement plan		Director of Community and Environmental Services	Has been delayed due to Covid.  March 2023

# Agenda Item 8

**Governance and Resources Committee – 14 September 2023**

## **DEVELOPMENT OF THE DERBYSHIRE DALES PLAN 2024-28**

### **Report of the Director of Regeneration and Policy**

#### **Report Author and Contact Details**

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#### **Wards Affected**

District-wide

#### **Report Summary**

The Derbyshire Dales Plan (corporate plan) is the District Council's primary policy document. It establishes the Council's policies and priorities for the coming years and sets the framework for allocating scarce financial and human resources through the forthcoming budget and service planning process.

This report includes the results of extensive consultation with Derbyshire Dales residents, as well as an independent evidence base that objectively sets out statistics about the District Council's area.

The report reiterates the commitments of the Council's leadership. Finally, the report sets out for approval a process and timescale for completing the new Derbyshire Dales Plan for the period 2024-2028.

#### **Recommendations**

1. That the the evidence base set out in Appendix 2 and summarised in section 2(D) of the report be received and used to inform corporate prioritisation and planning
2. That the residents consultation results set out in Appendix 1 and summarised in sections 2(C) and 2(E) of the report be received and used to inform corporate prioritisation and planning
3. That corporate prioritisation and planning should take into account staffing levels and financial resources
4. That the process and timescale for completing the development and adoption of the Derbyshire Dales Plan set out in the report be agreed.

**List of Appendices**

Appendix 1 Residents Survey Report

Appendix 2 Evidence Base Derbyshire Dales Data

**Background Papers**

Council, 24 November 2022

**Council Approval Required**

Yes

**Exempt from Press or Public**

No

## Development of the Derbyshire Dales Plan 2024-28

### 1 Background

- 1.1 The Corporate Plan sets out the aims of the District Council for the coming years, and lists the key improvement projects. The Plan is the over-arching strategy for the District Council as it sets out specific areas to maintain and improve service delivery in the coming years.
- 1.2 The current Corporate Plan was adopted by Council in March 2020 and has three themes:
- *People* – providing you with a high quality **customer experience**
  - *Place* – keeping the Derbyshire Dales **clean, green and safe**
  - *Prosperity* – supporting better **homes and jobs** for you.
- 1.3 Derbyshire Dales District Council has limited human and financial resources with which to deliver its statutory and discretionary services and initiatives. Despite being one of the smallest principal councils in the country, the Council has succeeded in delivering significant projects and services; but only by carefully prioritising what it does, when it does it, and to what level it.
- 1.4 With the election of a new administration in May 2023, it is necessary to identify what the District Council's highest priority services and projects are for the future, and ensure that the Council aligns its budgets to deliver these. The preparation of a new corporate plan provides the opportunity to **set out the District Councils priority services and projects**, and to **ensure that appropriate budgetary and staffing provision is made** to deliver these. It then provides a yardstick against which progress over the coming years can be measured.
- 1.5 This report sets out work to date on the new corporate plan, including the extensive consultation and hard evidence gathering that has been undertaken to help inform Members' prioritisation, alongside the new administration's own aspirations. It seeks agreement to the remaining process and timescale for developing and adopting the new plan.
- 1.6 In doing so, it is proposed that the corporate plan now be termed the **Derbyshire Dales Plan**. This would better reflect the fact that the plan is largely outward-looking: it is not just a plan for the Council but mostly it is the Council's vision for the Derbyshire Dales.

## 2 Key Issues

### 2A PREPARING THE DERBYSHIRE DALES PLAN

2.1 Council on 24 November 2022 considered and agreed the initial steps for the preparation of new Corporate Plan for the period 2024 and beyond, taking into account staff and financial resources. This followed an informal cross-party 'sounding board' session with Members on 18 October 2022.

- *analysis of social, economic and environmental data (a 'hard' evidence base)*
- *consultation with residents, both through a large-scale survey and face-to-face discussions to refine specific priorities*
- *consultation with and amongst Members, before and after May 2023*
- *consultation with staff, businesses and partners/stakeholders.*

*An informal 'sounding board' of Members is involved in the development of survey questions. Moreover, it is proposed that a member Corporate Plan Working Group be constituted in May 2023 to steer the process of developing a new Corporate Plan. It is also proposed that all-Member workshops are held in summer/autumn 2023 to give all Members of the new Council an opportunity to be involved.*

2.2 Consulting residents, Members and staff on their views on the relative importance of District Council services and their satisfaction with those services, plus gathering their aspirations for the future, gives the Council an important steer on the direction of travel it needs to take. It indicates priority areas for improvement and helps direct where the District Council can focus its energies in terms of future service delivery and policy development.

#### Progress since November 2022

2.3 Marketing Means were appointed to undertake the **Residents Survey**, and this has now been completed. This generated 1,977 responses, which is well in excess of the 1,500 target response.

2.4 To complement the residents survey, KADA Research Limited were appointed to collate social, economic and environmental statistical data. This acts as a quantitative **evidence base** to demonstrate, impartially, what are the key issues facing the Derbyshire Dales, and as importantly what are not key issues for the district.

2.5 A **staff workshop** took place on 30th June 2023. A separate **workshop for Senior Managers** was held on 3rd July. These workshops shared information from the Leaders Statement, evidence base and the residents survey, and asked for contributions as to what projects for the next four years staff could suggest. It included a fictional budget setting exercise. The staff session ran with minimal involvement from senior managers and was a chance to express views openly.



- 2.6 Focus groups with **members of the public** took place on 25 July (Matlock) and 26 July (Ashbourne). These also shared information from the Leaders Statement, evidence base and the residents survey, and included a fictional budget setting exercise. The attendees provided valuable insight into residents' priorities, and as such provides helpful context to the results of the residents survey.
- 2.7 A **Corporate Plan Working Group** was established by the Progressive Alliance in July 2023. This comprises Councillors David Hughes and Simon Ripton. The Working Group has met and has been consulted during the preparation of this report.

Next steps

- 2.7 **Members workshops** have been organised for October. The first session on 19 September is planned to include presentations from consultants and partners, as well as financial input from the Director of Resources. The purpose of this workshop would be to consider overall priorities and themes for the new Derbyshire Dales Plan. The results of this workshop will be discussed between the Leaders and CLT on 22 September.
- 2.8 The second (different) Members Workshop on 5 October would aim to develop a steer for the Corporate Plan based on priorities emerging from the first session. It will build upon the outcome of the first Member workshop, developing projects to enact the priorities highlighted at the first workshop.
- 2.9 It is considered essential that this is Members' corporate plan. To that end in addition to the workshops it is important that the **Governance and Resources Committee** 'owns' the process and the plan, so that what is presented to **Council** is seen as a Member-led plan. It is for Members to consider the results of these reports, the outcomes of the workshops, and to come to view about what priorities should be taken forward.
- 2.10 The following chart illustrates the process and some key timescales for the preparation of the new Corporate Plan:



## Other considerations

- 2.11 Agreeing and expressing priorities is only the first part of preparing a corporate plan. The more challenging task is to cut down the multitude of possible activities and projects (all of which fit within the agreed priorities) into a programme that is deliverable within available financial and staff resources.
- 2.12 The work undertaken by Circling Squares (Council, 29 September 2022) identified that the current Corporate Plan includes too many targets, projects and actions. In order better to match ambition to resources, a key requirement is to **reset expectations with regard to prioritisation and resourcing**. Circling Squares stated that:
- Identification of the priorities and the ability to resource them is essential to defining what can realistically be achieved, managing stakeholders expectations and seeking agreement of what can be either ignored or moved to a longer timescale.*
- 2.13 The difficult task facing Members will be to ensure the new Derbyshire Dales Plan is more focussed, and is developed in a way which allows staffing and financial resources to be taken into account. Such an approach allows for the development of more realistic and deliverable actions.
- 2.14 Therefore as more definitive actions, targets and projects start to take shape, these will need to be tested to ensure that there are adequate resources, both human and financial to ensure that they are capable of implementation at the required time. Managing the number and level of targets, activities and projects to be undertaken at any one time, to enable the Derbyshire Dales Plan to be deliverable for given resource levels, is considered to be a key role of the Governance and Resources Committee.

## **2B PROGRESSIVE ALLIANCE PRIORITIES**

2.15 The Progressive Alliance has stated “**We have a clear goal: Thriving communities in a thriving environment.**” It has since refined this into three proposed policy objectives:

- *Building flourishing and sustainable communities through housing policies, economic development plans, and Council service provision.*
- *Protecting and enhancing the Derbyshire Dales environment through the local development plan and the infrastructure plan, and working with partner-organisations to minimise pollution and improve biodiversity.*
- *Creating a more caring and responsive District, looking after vulnerable groups for which the Council has responsibility and in the manner that the Council interacts with the Derbyshire Dales community.*

2.16 It is understood that a more detailed Progressive Alliance strategy framework is being developed to expand upon these three objectives.

## 2C RESIDENTS SURVEY RESULTS

- 2.17 In order to inform the preparation of a new Corporate Plan a comprehensive Residents Survey was commissioned from consultants Marketing Means Ltd. This was undertaken in February and March 2023. Invitations were sent to 6,167 randomly selected households from across the whole of the Derbyshire Dales. A total of 1,977 responses were received, well in excess of the original target of 1,500. A copy of the full report is at Appendix 1, with a selection of points summarised below.

### Your local area as a place to live

- 2.18 Overall satisfaction with the local area as a place to live (the sum of 'Very' and 'Fairly satisfied' responses) was 86%. This is significantly more positive than the Local Government Association's [LGA] national February 2023 result (76% satisfaction).

### Your Council – Satisfaction

- 2.19 Overall satisfaction with the way Derbyshire Dales District Council runs things was 60% (similar to the LGA February 2023 result of 61%). A combined total of 76% of respondents felt very or fairly well informed by Derbyshire Dales District Council about the services and benefits it provides. The February 2023 LGA survey results showed 59% feeling well-informed, so Derbyshire Dales residents' views of the Council's information sharing are significantly more positive.
- 2.20 A slight majority of residents (53%) were satisfied with local sports & leisure facilities. Nearly three-quarters of residents (73%) were satisfied with parks, recreation grounds and open spaces. Just over half of residents (55%) were satisfied with the Council's efforts to keep areas including highways free from litter. More than two-thirds of residents (68%) were satisfied with the Council's waste & recycling collections.

### Importance of services

- 2.21 Residents were asked to rate the importance of District Council services as well as how satisfied they were with them. The results suggested that providing permanent jobs and home for local people was of high importance, with 70% or more agreeing that all of the Council's business support and housing support services could play an important role, most important being **creating and sustaining local jobs and business opportunities**. When combined with views on residents' satisfaction with each service, the priorities for improvement with highest importance but lowest satisfaction proved to be improving the supply and range of affordable homes to rent and improving the supply and range of affordable homes to buy.
- 2.22 When asked for opinions on services that could help in supporting keeping the District a clean, safe, and healthy, the most important in residents' eyes were **keeping town centres, villages, and streets clean and clear of litter, dog fouling and fly tipping, and household waste and recycling collections**. When combined with views on residents' satisfaction in this

regard, the priorities for improvement with highest importance but lowest satisfaction were initiatives to deal with crime and anti-social behaviour and providing regulatory services.

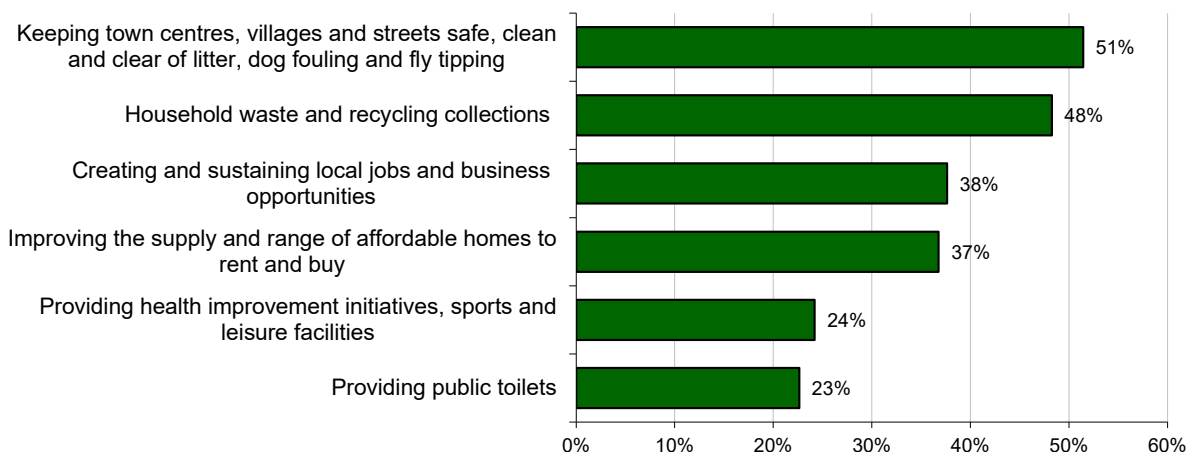
2.23 When asked for views on community services and facilities in the Derbyshire Dales, the most important services to residents were **providing public toilets, maintaining public parks, recreation grounds and cemeteries, providing sports and leisure facilities, and providing and maintaining off-street car parking**. When combined with views on residents' satisfaction in this regard, the priorities for improvement with highest importance but lowest satisfaction were providing and maintaining off-street car parking for residents and visitors, supporting community and voluntary groups, revenues and benefits service, and public toilets.

### Budgets

2.24 Overall, 47% agreed that Derbyshire Dales District Council provides value for money, the same as the LGA's February 2023 result.

2.25 When asked to select three services as most important for the Council to prioritise spending on, the top three (as shown in Figure 1 below) were:

1. **Keeping town centres, villages, and streets safe, clean, and clear of litter, dog fouling and fly tipping**
2. **Household waste and recycling collections**
3. **Creating and sustaining local jobs and business opportunities**



Source: Marketing Means 2023

Base: All who gave a valid response (1,962)

Figure 1

2.26 When asked to select three services as least important for the Council to spend money on, the three were particularly likely to be selected were (as shown in Figure 2 below):

9. **Initiatives to address the impact of climate change and support biodiversity**
10. **Promoting Derbyshire Dales as a tourism destination to increase visitor spending**
11. **Improving access to council services and information**

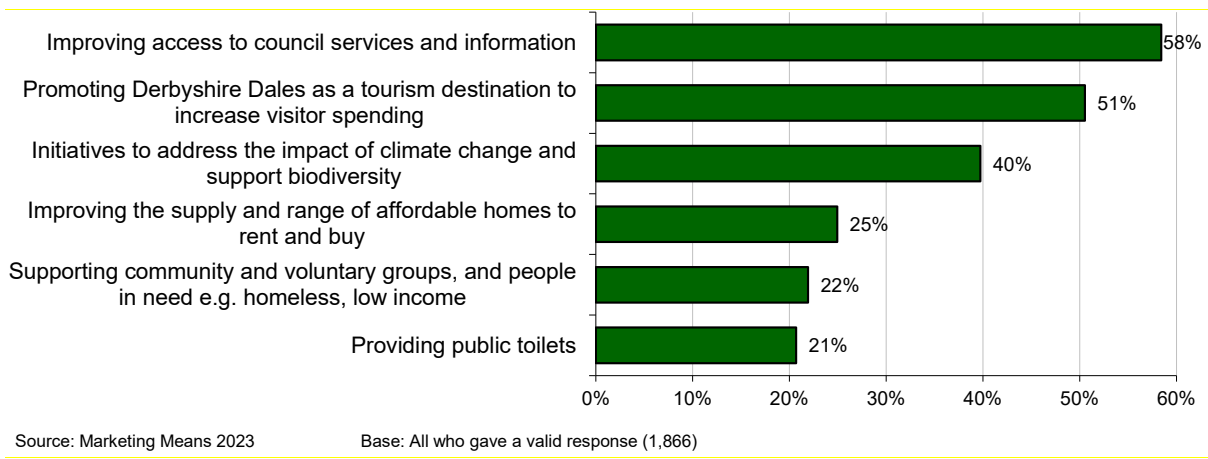


Figure 2

### Have your say

2.27 When respondents were asked to provide their thoughts on the three most important issues/concerns for them locally, whether or not they are within the Council’s service responsibility, the most likely topics to be mentioned related to traffic/roads and litter.

2.28 Respondents were also asked to state which three words they would use to describe what they want the Derbyshire Dales to be like in four years’ time. Many different themes emerged, but the three most popular each mentioned by at least 20%, were:

- clean/tidy/litter-free/looked after
- safe/ crime-free/ secure
- ‘green’/ environmentally friendly/sustainable/natural

## **2D EVIDENCE BASE**

- 2.29 To sit alongside the Residents Survey, KADA Research Limited were commissioned to prepare an evidence base of key social, economic and environmental data for Derbyshire Dales. A copy of this report is set out in Appendix 2. The purpose is to demonstrate, factually, what are the key issues facing the Derbyshire Dales, and as importantly what are not key issues for the district. A selection of points is summarised below.
- 2.30 A significant piece of evidence is that alongside a slight decline of overall population numbers in the Derbyshire Dales in recent years, the population is ageing. Indeed, the Census 2021 shows the **average (median) age of Derbyshire Dales residents is 51 years old**. There are only three districts in England and Wales that have a higher average (median) age: East Lindsey (e.g. Skegness) at 52; Rother (e.g. Bexhill-on-Sea) at 53; and North Norfolk (e.g. Cromer) at 54. The average (median) age for England is 40 years.
- 2.31 More than 53% of the Derbyshire Dales population is aged 50 years or over. This in contrast to England as a whole, where only 38% are aged 50 or over. The Census also shows that the Derbyshire Dales is the joint least densely populated local authority area across the East Midlands. Access to green space is high and air pollution levels are, in general, low.
- 2.32 With regard to community, the KADA evidence base indicates poor broadband access within otherwise thriving places. High levels of physical activity correlate with high life expectancy. However, the combination of distance, transport links and low population density in rural areas can lead to challenges in accessing and providing services.
- 2.33 Crime rates are the lowest of any local authority in Derbyshire and experienced the smallest increase of virtually all comparator areas. Business survival rates are higher than the English average, although new start-ups have dropped by 4% recently and there has been a decline in high growth enterprises.
- 2.34 Areas of concern flagged in the KADA evidence base include the Derbyshire Dales having low economic productivity. This impacts upon wages which at £461 are the **second lowest weekly wages** in Derbyshire (Chesterfield is very slightly lower at £460), sitting well below the county average (£485) and significantly below England average (£536).
- 2.35 Derbyshire Dales has the **most expensive median house prices** in Derbyshire which, coupled with low wages, means that house prices are between 10 and 13 times that of annual earnings.
- 2.36 The district has a high proportion of non-decent properties, particularly those built pre-1918. Such older properties are more costly to heat. As such the authority has a marginally higher proportion of **fuel-poor households** than the English figure and this number is rising, in contrast to a national reduction in fuel-poor homes.

- 2.37 Derbyshire Dales is the fourth highest comparator local authority for both total and per capita **CO2 emissions** despite reductions of 11.2% and 12.4% respectively from 2015-2019. Of the area's total emissions transport is the biggest contributor (45% of all emissions) and has increased by 1.2% despite a national reduction in transport emissions of 1.0%.
- 2.38 In summary, the KADA evidence base indicates that green space, physical activity and low crime are all themes on which the Derbyshire Dales already excels. However, significantly low local wages and high local house prices are contributing to a declining and ageing population; and together with CO2 emissions and insulation these are concerns.



## **2E RESIDENTS AND STAFF WORKSHOPS**

### Staff Workshops

- 2.39 Two workshops were held with District Council employees in June and July 2023. At these staff were presented with the results of the residents survey, and the evidence base. They were asked for views on policies and projects for the next four years, and to consider budgets and resources.
- 2.40 Staff felt that the District Council should continue to: support the delivery of affordable housing; address climate change (including the provision of more EV charging points); support for local businesses and support the local economy.
- 2.41 Staff were also asked for their views on what Derbyshire Dales should look like in four years time. The responses suggested that staff wished to see thriving and effective communities, a clean green and safe place for people to live, an inclusive and sustainable place to live.

### Residents Workshops

- 2.42 Two residents workshops were held: in Matlock and Ashbourne, both in July 2023. These were attended by 20 residents, who had participated in the Council's online panel, and three Councillors. These took the same format as those held for staff, with the exception that these sought to elicit more detailed views from residents about key services areas and to explore some survey findings in more depth.
- 2.43 The results of both residents workshops suggest continuation of: support for the delivery of affordable housing for local people (with more focus on the development of zero/low carbon homes), and support for local businesses, especially those delivering high quality jobs (with more focus on green jobs) and for town centres.
- 2.44 There was a wish to support more litter picking. Keeping the parks and open spaces clean and tidy was seen as important. Provision of public toilets was important to those present, and two attendees raised the costs of town centre car parking in Ashbourne. It was suggested that there could be more projects related to climate change and biodiversity, but that there still needs to be an emphasis on recycling and an effective waste/bin collection service.
- 2.45 A budget simulation exercise was the final part of the workshops. Participants were asked to consider how the District Council's revenue budget should/could be aligned with emerging themes and priorities when compared to the existing budgetary provision.
- 2.46 The budget results across all four workshops suggested that there should be **additional investment in support of the local economy, housing, and measures relating to climate change**; to be achieved through some limited budget redistribution away from central services and financial management.

### **3 Options Considered and Recommended Proposal**

- 3.1 The recommended next step is to explore options further. This is via
- (a) Member Workshop to consider overall priorities and themes for the Derbyshire Dales Plan (19 Sept). At this workshop, Marketing Means will present the residents survey results, Kada will present the evidence base, the Director of Resources will present the financial position and conduct a budgeting exercise, and the Chair of Peak District Partnership will offer a partnership view
  - (b) Second Member Workshop to consider specific projects and activities, along with programming/resourcing, to enact the priorities highlighted at the first workshop (5 October)
  - (c) Further report to the Governance and Resources Committee to consider and approve specific projects and activities including programming/resourcing (2 November)
  - (d) Council meeting to adopt the new Derbyshire Dales Plan (23 November)
- 3.2 One alternative approach would be for Members to develop their corporate plan without giving due consideration to the views of residents and partners. This is not recommended. A further alternative would be for Members to develop a plan that failed to consider the statistical evidence base that describes the state of the district. This too is not recommended. Another option would be for Members' corporate plan to not give adequate consideration to the limited financial and staffing resources available at the District Council. This is not recommended.
- 3.3 What is recommended is a balanced approach whereby Members consider fully the factual evidence, residents perceptions and partner views, alongside their own priorities and with careful consideration of available staffing levels and finances. It is for Members to consider these and come to view about what should be prioritised.

### **4 Consultation**

- 4.1 Whilst this report sets out the key issues and options for the future, ultimately it is for Members to decide the contents of the new Plan. As such it is considered essential that Members have the opportunity to consider and debate the future contents of the new Derbyshire Dales Plan.
- 4.2 Two Member workshops have been set up – the first to be held on 19 September and the second one to be held on 15 October 2023. It is intended that the first workshop will recap the evidence set out in this report and seek to develop the priorities for the Derbyshire Dales Plan. The second workshop will build upon the outcome of the first, developing projects to enact the priorities already highlighted at the first workshop.
- 4.3 Members are encouraged to attend the first workshop as a minimum, and if possible both.
- 4.4 The Derbyshire Dales Plan preparation has involved extensive consultation with residents and staff, as set out in this report. If Members were to follow

the consultation results, their overall priorities would match those of Derbyshire Dales residents.

## **5 Timetable for Implementation**

5.1 It is envisaged that the new Derbyshire Dales Plan would be approved by Council in November 2023, form the basis of budgeting and service planning this winter, with those budgets being approved at Council in March 2024. The new Derbyshire Dales Plan would come into force from April 2024. It will replace the current Corporate Plan which runs to March 2024.

5.2 Key elements of the remaining process for developing the Plan are therefore:

<b>Date</b>	<b>Activity</b>
14 September	G&R Committee meeting to consider corporate plan development process and timescales
19 September	Member Workshop to consider overall priorities and themes
22 September	Leaders / CLT meeting
5 October	Members Workshop to consider specific projects and activities, along with programming/resourcing
2 November	G&R Committee meeting to consider new corporate plan projects and activities including programming/resourcing
23 November	Council meeting to consider adoption of the new corporate plan
7 March 2024	Council meeting to set budget and SMART targets for 2024/25

## **6 Policy Implications**

6.1 The new Derbyshire Dales Plan will set the overall direction for the delivery of Council services and policies. This may result in different service areas adopting new and revised policies, depending upon the extent of changes envisaged in the Plan.

## **7 Financial and Resource Implications**

7.1 The development of a new Derbyshire Dales Plan will require an appropriate level of budgetary provision to deliver the projects and proposals included therein. This may necessitate some prioritisation and redeployment of existing budgets and staff.

7.2 In this regard, the crucial task for Members will be to select from the multitude of possible activities and projects (all of which fit within priorities) and agree a focused programme that is deliverable within available financial and staff resources. Such an approach allows for the development of a realistic and deliverable plan. As stated previously, managing the number and level of targets, activities and projects to be undertaken at any one time is a key role of the Governance and Resources Committee.

7.3 The financial risk of this report's recommendations is assessed as low.

## **8 Legal Advice and Implications**

- 8.1 This report refers to the Derbyshire Dales Plan which as stated is the District Council's primary policy document and a statutory requirement under the Local Government Act 2000. The legal risk associated with taking the decisions as recommended has been assessed as low.

## **9 Equalities Implications**

- 9.1 As the Derbyshire Dales Plan will impact all Council services, an Equality Impact Assessment (EIA) will be carried out to ensure the Council meets its statutory duties on equalities. The EIA will also highlight and, if needed, suggest mitigation for potential positive and/or negative implications.

## **10 Climate Change and Biodiversity Implications**

- 10.1 To be considered as themes and activities emerge.

## **11 Risk Management**

- 11.1 To be considered as themes and activities emerge.

### **Report Authorisation**

Approvals obtained from Statutory Officers:-

	<b>Named Officer</b>	<b>Date</b>
Director of Community & Environmental Services, in absence of the Chief Executive	Ashley Watts	06/09/2023
Director of Resources/ S.151 Officer (or Financial Services Manager)	Karen Henriksen	25/08/2023
Monitoring Officer (or Legal Services Manager)	James McLaughlin	05/09/2023

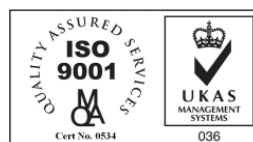
# Derbyshire Dales Residents' Satisfaction Survey 2023

Postal, Online and Face-to-Survey of Residents

Report of survey results

Final Report v1.2

July 2023



## Executive Summary

### Background and Method

Derbyshire Dales District Council commissioned Marketing Means to conduct this survey of Derbyshire Dales residents in February and March 2023. The survey forms part of the Council's efforts to include the views of residents, as stakeholders, in developing the next Corporate Plan covering the period April 2024 to March 2028.

Marketing Means worked with the Council to design and agree the questionnaire content in February 2023. The survey used a mixed method approach including sending a letter of invitation to 6,167 households<sup>1</sup> selected across the District at random. The letter invited the recipient to complete the survey online via an included web link and unique access passcode. All recipients had the opportunity to request a paper copy of the questionnaire instead. An on-street face-to-face survey in our market towns aimed to increase the number of responses from younger residents to ensure results were representative. The online version of the questionnaire was also made available for completion by members of the Council's Citizens' Online Panel to boost response via that established route, with 970 being invited.

The original target of 1,500 responses was comfortably exceeded, reaching a final total of 1,977 responses, the bulk of which (1,402) came from the online survey links sent in the letters of invitation.

Marketing Means also captured data from 141 paper copies of the survey, and merged these with the three electronic datasets, excluding any duplicate or invalid responses.

Before analysis, the data were weighted by age and gender in order to reflect Derbyshire Dales' population as a whole based on the population profile from National Statistics' 2021 Census results.

### Your local area as a place to live

- Overall satisfaction with the **local area as a place to live** (the sum of 'Very' and 'Fairly satisfied' responses) was 86%, a slight increase from the 2021 survey, but higher than the LGA's February 2023 result.

### Your Council

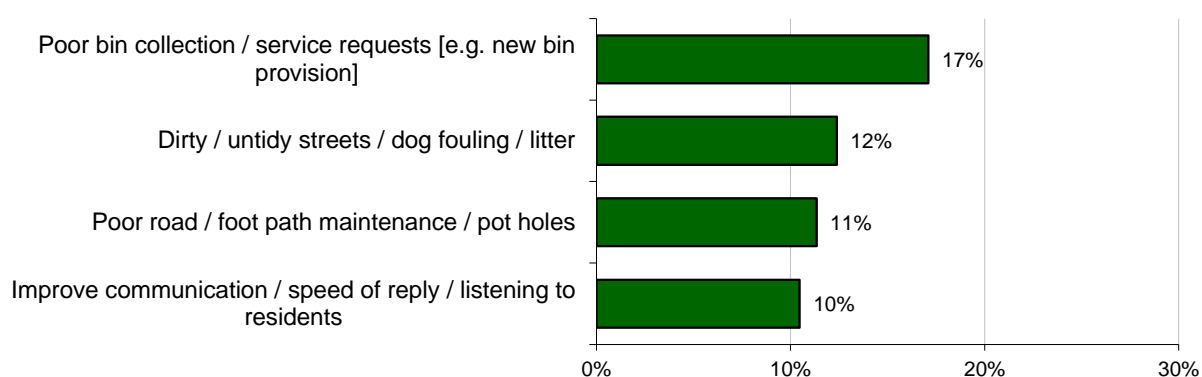
- Overall satisfaction with **the way Derbyshire Dales District Council runs things** was 60%, another slight but not quite significant increase from the 2021 survey, and similar to the LGA February 2023 result.
- A combined total of 76% of respondents felt very or fairly **well informed by Derbyshire Dales District Council about the services and benefits it provides**, a slight but not significant decrease from the 2021 survey, but well above the LGA's February 2023 result.
- A slight majority of residents (53%) were satisfied with **local sports & leisure facilities**, significantly lower than the 2021 score of 60%, and the LGA's February 2023 results.
- Nearly three-quarters of residents who expressed a view (73%) were satisfied with **parks, recreation grounds and open spaces**, not significantly different to the corresponding 2021 score but lower than the LGA's February 2023 result.

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<sup>1</sup> 6,167 was the total required to reach a target of 925 responses based on an expected response rate of 15% to the postal mailing.

- Just over half of residents (55%) were satisfied with the Council's efforts to **keep areas including highways free from litter**, a small but significant fall from the 2021 score, and lower than the LGA's February 2023 score.
- More than two-thirds of residents who expressed a view (68%) were satisfied with the Council's **waste & recycling collections**, a large increase from the 2021 survey results, but somewhat lower than the LGA's February 2023 result.
- Half of the respondents (50%) were satisfied with their **ease of contacting the Council**, but this was significantly lower than the 2021 survey score.
- Just over half of the respondents (51%) were satisfied with the **quality of the Council website**, again significantly lower than the 2021 survey score.
- Nearly two-thirds of the respondents (66%) were satisfied with the **ease of payment methods**, a slight but significant decrease from the 2021 score.
- Less than half of respondents (44%) were satisfied with the Council's **responsiveness to their enquiries**, another slight but significant decrease from the 2021 score.
- When asked to comment in their own words on Council services, the most likely specific types of comment to be made often related to litter and cleaning, as shown in Chart S1 below:

**Chart S1. Most frequent themes among comments made regarding satisfaction with the services provided by Derbyshire Dales District Council (Q6)**

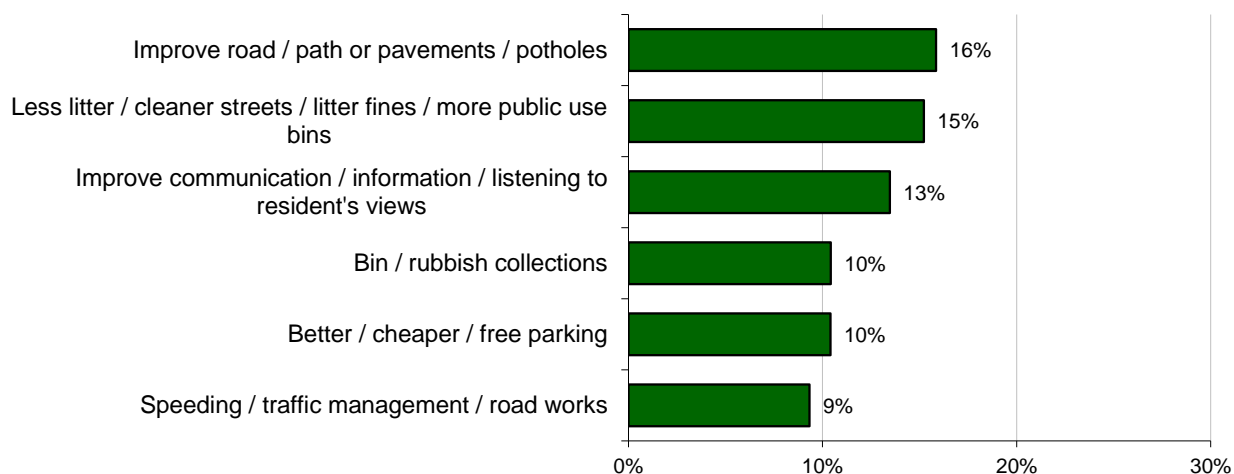


Source: Marketing Means 2023

Base: All who made a comment (1,013)

- When asked for any suggestions they had on how the Council could improve its services for them, the most frequent suggestions tended to relate to traffic, litter/waste, and communications, as show in Chart S2 below:

**Chart S2. Most frequent themes among suggestions made for how the Council could improve its services (Q7)**



Source: Marketing Means 2023

Base: All who made a comment (996)

## Opinions of Council services

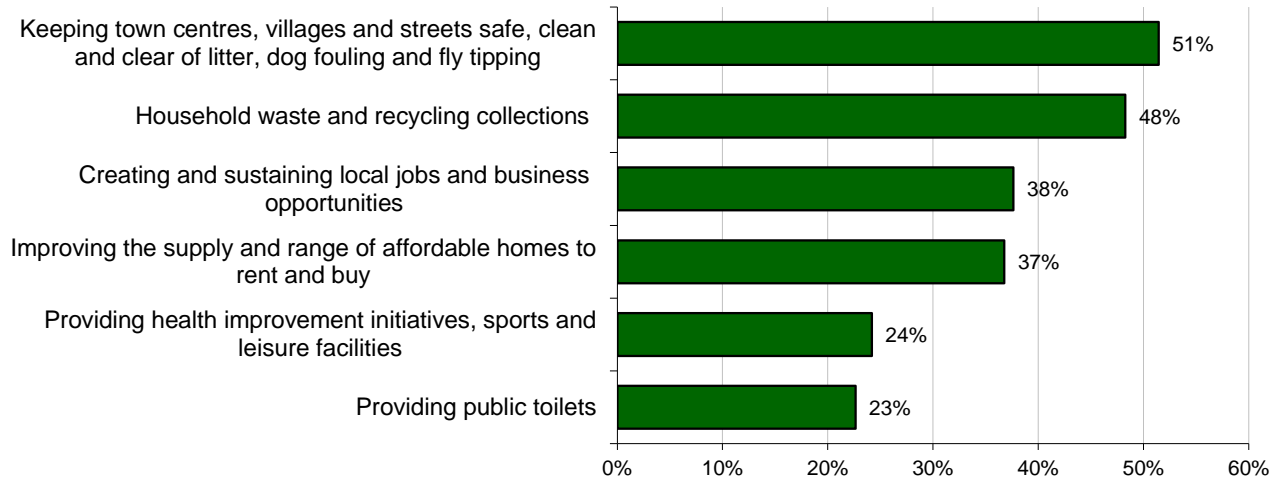
- When asked for opinions on services that could help in providing permanent jobs and home for local people, 70% or more agreed that all of the Council's business support and housing support services listed in the questionnaire could play an important role, most important being **creating and sustaining local jobs and business opportunities**. When combined with views on residents' satisfaction with each service, the priorities for improvement with highest importance but lowest satisfaction proved to be **improving the supply and range of affordable homes to rent and improving the supply and range of affordable homes to buy**.
- When asked for opinions on services that could help in supporting keeping the District a clean, safe, and healthy environment, the most important in residents' eyes were **keeping town centres, villages, and streets clean and clear of litter, dog fouling and fly tipping, and household waste and recycling collections**. When combined with views on residents' satisfaction in this regard, the priorities for improvement with highest importance but lowest satisfaction were **initiatives to deal with crime and anti-social behaviour and providing regulatory services**.
- When asked for views on community services and facilities in the Derbyshire Dales, the most important services to residents were **providing public toilets, maintaining public parks, recreation grounds and cemeteries, providing sports and leisure facilities, and providing and maintaining off-street car parking**. When combined with views on residents' satisfaction in this regard, the priorities for improvement with highest importance but lowest satisfaction were **providing and maintaining off-street car parking for residents and visitors, supporting community and voluntary groups, revenues and benefits service, and public toilets**.



**Budgets**

- Overall, 47% agreed that Derbyshire Dales District Council provides **value for money**, not significantly higher than the 2021 survey score, but very similar to the LGA’s February 2023 result.
- When asked to select three services as most important for the Council to prioritise spending on, two emerged as most likely to be selected, each by close to 50%, as shown in Chart S3 below:

**Chart S3. Highest spending priorities: Services most likely to be selected among three most important for council to spend money on (Q12a)**

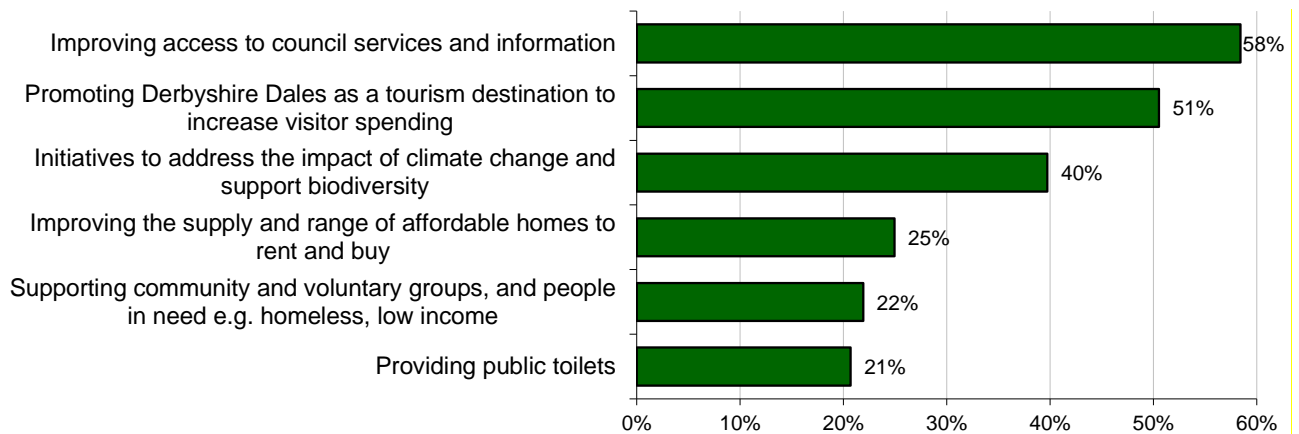


Source: Marketing Means 2023

Base: All who gave a valid response (1,962)

- When asked to select three services as least important for the Council to spend money on, three were particularly likely to be selected, each by 40% or more, as shown in Chart S4 below:

**Chart S4. Lowest spending priorities: Services most likely to be selected among three least important for council to spend money on (Q12b)**



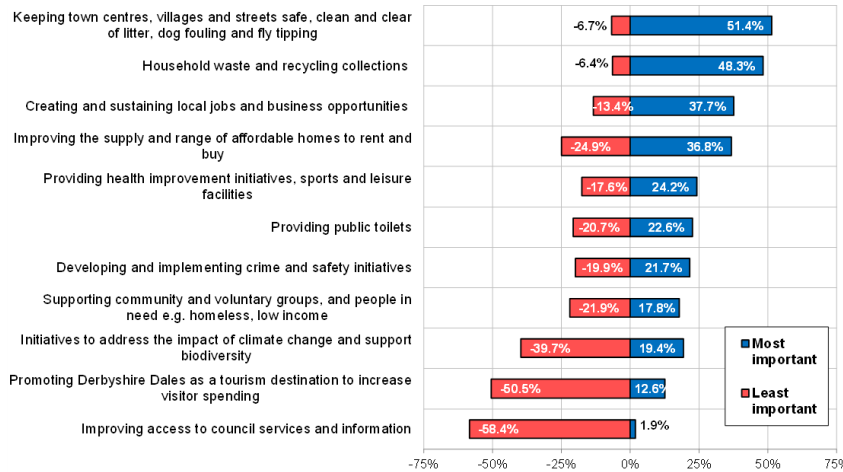
Source: Marketing Means 2023

Base: All who gave a valid response (1,866)

- The results for residents’ perceptions of the most and least important services for the Council to spend money on can also be set out as in Chart S5 below, this time combining the selections of each service as ‘most’ and ‘least’ important to better show the range of opinions among residents.

**Chart S5. Services selected as most and least important for the Council to spend money on**

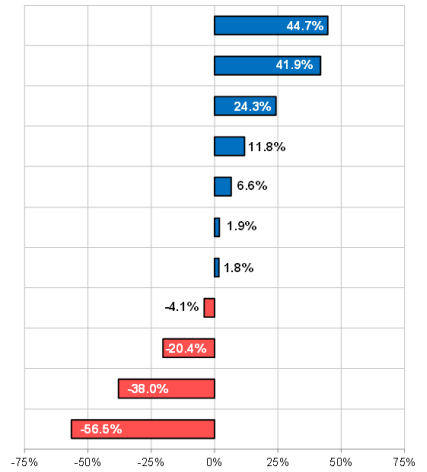
**(i) % rating as Most and least important**



Source: Marketing Means 2023

Base: All who gave a valid response

**(ii) Net % of all rating as ‘important’ minus all rating as ‘not important’**

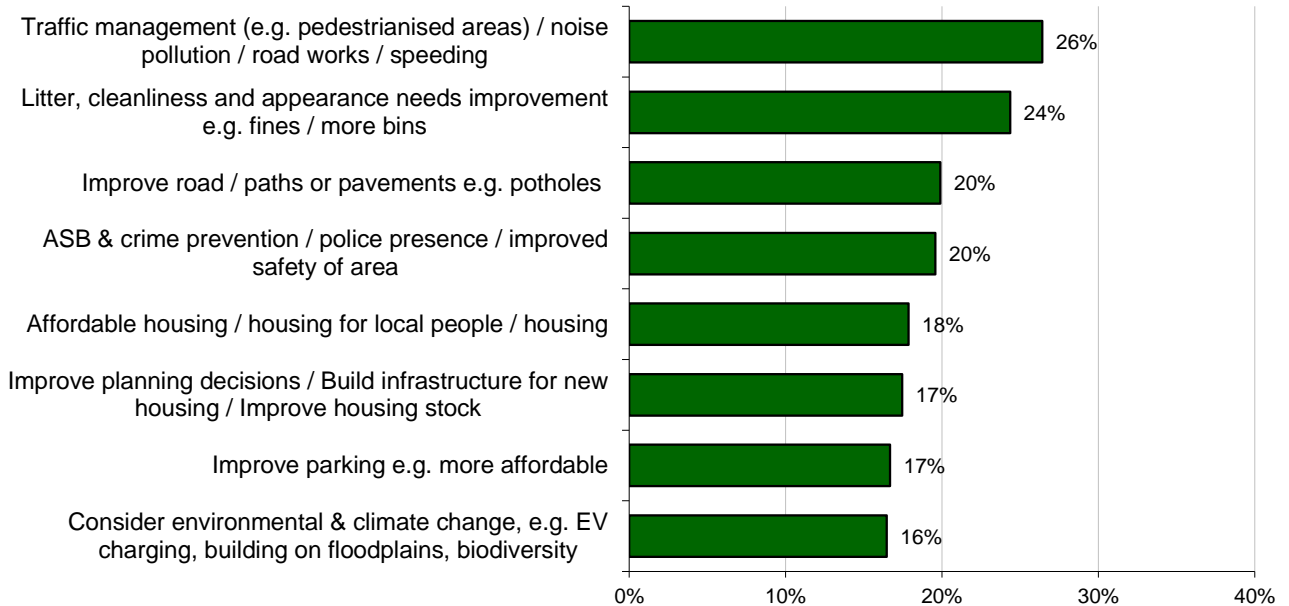


- When asked to comment in their own words on Council services provided or to help the Council decide its future spending priorities, one in five noted that they were happy with services as they were, but the most frequent topics for improvement mentioned were to (i) **traffic management to reduce pollution, minimise speeding and/or to minimise roadworks/congestion**, (ii) **more or cheaper off-street parking**, (iii) **improvements to planning decisions and the planning process**, and (iv) **efforts to reduce or deal with litter**.

## Have your say

- When respondents asked to provide their thoughts on the three most important issues/concerns for them locally, whether or not they are within the Council's service responsibility, the most likely topics to be mentioned often related to traffic/roads, and litter/waste, as shown in Chart S6 below:

**Chart S6. Most frequent themes among suggestions made for how the Council could improve its services (Q7)**



Source: Marketing Means 2023

Base: All who made a comment (1,355)

- Respondents were also asked to state which three words they would use to describe what they want the Derbyshire Dales to be like in four years' time. Many different themes emerged, but the three most popular each mentioned by at least 20%, were:
  - **clean/tidy/litter-free/looked after,**
  - **safe/ crime-free/ secure,**
  - **'green'/ environmentally friendly/sustainable/natural**

## Table of contents

<b>1. Introduction .....</b>	<b>9</b>
1.1 Background and objectives .....	9
1.2 Method .....	9
1.3 Presentation of results in this report .....	11
1.4 Author and publication .....	12
1.5 Respondent profiles .....	12
<b>Section 2. Your local area as a place to live .....</b>	<b>14</b>
2.1 Satisfaction with your local area as a place to live .....	14
<b>Section 3: Your Council.....</b>	<b>16</b>
3.1 Satisfaction with Derbyshire Dales District Council .....	16
3.2 Derbyshire Dales District Council communications .....	18
3.3 Satisfaction with selected services .....	20
3.4 Satisfaction with Council communications .....	28
3.5 Further comments on Council services, and suggestions for improvements.....	36
<b>Section 4: Opinions of Council Services .....</b>	<b>41</b>
4.1 Opinions of services to support the provision of permanent jobs and homes for local people..	41
4.2 Opinions of services to support keeping the District a clean, safe, and healthy environment ...	46
4.3 Opinions of community services and facilities in the Derbyshire Dales .....	51
<b>Section 5: Budgets.....</b>	<b>58</b>
5.1 Value for money provided by Derbyshire Dales District Council .....	58
5.2 Most and least important services on which to prioritise spending .....	60
5.3 Further comments from residents on the Council's future spending priorities .....	66
<b>Section 6: Have Your Say .....</b>	<b>68</b>
6.1 Most important issues/ concerns locally.....	68
6.2 Words selected to describe Derbyshire Dales in 4 years .....	69
6.3 Possible future engagement .....	71
<b>Appendix 1: Letter of invitation and postal copy of questionnaire .....</b>	<b>72</b>

# 1. Introduction

## 1.1 Background and objectives

Derbyshire Dales District Council's Corporate Plan for 2020-24 set out the Council's vision and improvement priorities for District, based in part on consultation with residents. As of early 2023, there were 3 broad priority areas for the Council:

- People - providing residents with a high quality customer experience
- Place - keeping the Derbyshire Dales Clean, Green, and Safe
- Prosperity - supporting better homes and jobs for residents.

Each of those priority areas has defined target areas and linked pledges linked to them.

The current Corporate Plan runs until March 2024 but given the full District Council election in May 2023, a new Corporate Plan will soon be needed to set the priorities for the new Council. As part of the Council's efforts to include the views of residents, as stakeholders, in developing that next Corporate Plan covering the period April 2024 to March 2028, it commissioned Marketing Means to conduct a survey of residents, to take place in February & March 2023. The survey results will inform workshops with residents, set up to identify the key issues to be considered for inclusion in the new Corporate Plan.

The Council also requested that the survey identify respondents who are willing to take part in further consultation and be sent not only to a representative sample of the Derbyshire public but also collect views from the Council's current online panel numbering approximately 1,000 members.

## 1.2 Method

The residents' survey was undertaken using a mixed method approach to help address the shortcoming of under-representation of residents under the age of 40yrs. The mixed method approach consisted of:

- (i) A survey invitation posted to a representative selection of residential addresses across the District. This letter of invitation invited the recipient to complete the survey online via an included weblink and unique access passcode. This approach was taken to help save the Council the costs of materials, printing and return postage, but recipients were nevertheless offered the option to complete the survey on paper by contacting Marketing Means to request a hard copy and freepost reply envelope.
- (ii) An on-street face-to-face survey in selected towns across the District. This was aimed specifically to increase the inclusion of younger residents in the survey sample, by focusing on 16-34s with some 35-44s also included. This was conducted by Marketing Means interviewers using tablets to run what was essentially the same online version of the questionnaire that residents receiving the letter of invitation would be invited to open.
- (iii) Distribution of the online version of the questionnaire to all members of the Councils Citizens' Online Panel to gain an additional batch of responses.

Before fieldwork, Marketing Means agreed with the Council an overall target of **1,500** responses, comprising 925 from the online survey accessible via the letter invitations posted to selected addresses, 100 from paper questionnaires requested by that same postal sample, 300 from the in-street face-to-face survey, and 200 from members of the Citizens' Online panel.

**Postal invitations to online survey):** Marketing Means used a Royal Mail Postcode Address File (PAF) of all residential addresses in the Derbyshire Dales District Council authority area to generate a random sample of households. The PAF file was stratified by ward within the District and further by postcode to assist with achieving a geographically representative response to the survey. Marketing Means then took a '1 in n' selection from a random starting point within the full address list. This provided an overall sample of **6,167** households.

On 14<sup>th</sup> February 2023, Marketing Means sent out the letter of invitation to take part in the survey via a weblink to the online questionnaire programmed and hosted by Marketing Means. Each letter carried a unique ID number and passcode to access the online questionnaire, to ensure that any subsequent reminder mailings were only sent to non-responders. One reminder mailing was sent to non-responders on 3<sup>rd</sup> March 2023. This produced a final total of **1,402** responses.

Marketing Means also provided a free phone helpline number facility for residents to use in case of any queries about the survey or requests for different formats. We received requests for a paper copy of the survey from 198 residents, and **141** of these returned their completed form in the pre-paid reply envelope provided. None of these were from residents who had already completed the online questionnaire.

**Citizens' Online Panel:** When the online version was ready for the postal sample of residents selected by Marketing Means, the Council assisted by sending an open weblink to the questionnaire to the 970 members of its Citizens' Online Panel. By sending two reminders to the Panel to encourage response, this provided an additional total of **260** completed by the Panel members.

**On-street face-to-face survey:** The in-street survey was targeted especially towards 18-34- and 35-44-year-old residents. Interviewers from LG Personnel but briefed by Marketing Means undertook the in-street surveys, using a tablet version of the questionnaire programmed by Marketing Means to match the content of the postal survey.

On-street surveys took place in four towns, as agreed with Derbyshire Dales District Council), namely Bakewell, Matlock, Ashbourne and Wirksworth. All face-to-face Interviewers were fully briefed by the Project Manager at Marketing Means prior to fieldwork taking place.

All face-to-face fieldwork took place between 4<sup>th</sup> March and 21<sup>st</sup> March 2023. A spell of very cold weather and snowfall in the early part of fieldwork meant that response rates were lower than had been hoped for given the lower footfall in the towns selected, and two dates of fieldwork had to be postponed until the weather improved. Despite interviewers' best efforts, the total of face-to-face interviews achieved fell short of the target, at **174** after removing four that were with people living outside the Derbyshire Dales District.

Taking the online, postal, face-to-face and Citizens' Online Panel responses together led to a final total of **1,977** responses for this survey. This compares to 1,447 responses from the same methods in the 2021 survey (when 371 responses were also collected in a version of the online survey that was open to anyone).

**Data Quality** - Marketing Means captured all postal survey data electronically using Snap Surveys software, which was also used for direct data capture in the online and face-to-face surveys. As part of our quality management procedures, 10% of the paper responses captured were verified to check the accuracy of the data held. We have also called back 10% of those interviewed face-to-face to conduct back-checks of face-to-face Interviewers' performance.

The analysis contained in this report was conducted using Snap Surveys software.

## 1.3 Presentation of results in this report

### Confidence

A confidence level or interval is a measure of how reliable the results from the sample are in relation to the wider population.

For example, a confidence interval of +/- 3% at a 95% confidence interval, means that any proportion given has a 95% likelihood of being no more than 3% higher or lower in the wider population; e.g. if the satisfaction level with a particular service is 65% for the sample (i.e. all respondents), the true figure for the entire population will be between 62% and 68%, 95% of the time.

The calculation for this is:

$$\sqrt{\frac{(\% \text{ Satisfied} \times \% \text{ Dissatisfied})}{\text{Number who answered the question}}} \times 1.96$$

In the case of this survey, results for the whole sample of 1,977 responses can be quoted with a 95% confidence interval of  $\pm 2.2\%$ .

### Weighting data

In order to provide a representative view of the population of Derbyshire Dales as a whole the data were weighted with consideration for the following factors: age and gender (using Office for National Statistics 2021 Census statistics for Derbyshire Dales District Council, released in March 2023). All results given in this report are based on weighted data.

### Wards

Within this report some reference has been made to data at a ward level, however, caution needs to be given when interpreting the results at this level because of the small base numbers involved. Number of responses achieved at ward level ranged from 30 in Hartington & Taddington ward to 178 in Matlock St Giles. As a result, the 95% confidence interval for with data at ward level could range from +/-7% to more than +/-18%, making reliable comparisons difficult.

### Rounding, and exclusion of indefinite responses

- Figures for charts and tables have been rounded to the nearest whole number % value so may not total 100%.
- 'Prefer not to say' and 'No reply' responses have been omitted from the data and charts in this report.

### Comparison with LGA resident satisfaction polling results

Where relevant, we have compared results from this survey with those reported by the Local Government Association (LGA) in the latest wave of their telephone poll of residents nationally<sup>2</sup>, conducted three times a year. It should be noted that as a telephone survey, the LGA's results can only be compared with caution with the results of this survey conducted online, by post, and with a limited amount of face-to-face interviews added to the fieldwork mix, as the more personal method of telephone and face-to-face interviewing typically leads to significantly more positive results for some of the key questions.

<sup>2</sup> 'Polling on resident satisfaction with councils: Round 34', Local Government Association, February 2023

## 1.4 Author and publication

Chris Bowden of Marketing Means produced this report in May 2023. Any press release or publication of the findings of this survey requires the approval of Marketing Means. Approval would only be refused if it were felt that the intended use would be inaccurate and/or a misrepresentation.

Marketing Means is a Company Partner of the Market Research Society (MRS) and follows the MRS Code of Conduct in all of its activities. The company is also registered as a data controller with the Information Commissioner's Office (ICO) and has been externally audited and registered for the quality standards ISO9001:2015 and the market research-specific ISO20252:2012. All work for this project was conducted in line with the requirements of those standards.

## 1.5 Respondent profiles

The final respondent profile was weighted by age and gender in order to reflect Derbyshire Dales' population as a whole (using National Statistics' 2021 Census results, released in March 2023), though 98 respondents (5.0%) did not answer both the age and gender questions so were excluded from weighting.

The respondent profiles below show the unweighted and weighted profiles by each demographic group achieved. All subsequent data and charts in this report are based on weighted data.

### Age (Q16)

Age category	Weighted	Unweighted
16-24	8.0%	3.8%
25-34	11.0%	5.4%
35-44	11.2%	6.3%
45-54	17.2%	12.8%
55-64	19.6%	26.5%
65-74	17.6%	26.1%
75+	15.4%	19.2%
BASE	1,910	1,911 <i>N.B. 66 non-responses</i>

### Gender (Q17)

	Weighted	Unweighted
Female	51.3%	52.9%
Male	48.5%	46.9%
Non-binary	0.1%	0.1%
Transgender	0.0%	0.0%
Intersex	0.1%	0.1%
Gender non-conforming	0.1%	0.1%
BASE	1,921	1,921 <i>N.B. 56 non-responses</i>



**Do you consider yourself to be disabled (Q18)**

	Weighted	Unweighted
Yes, daily activities limited a lot	3.9%	4.5%
Yes, daily activities limited a little	8.8%	9.5%
No	87.4%	86.1%
BASE	1,894	1,902 <i>N.B. 75 non-responses</i>

**Ethnic Background (Q22)**

	Weighted	Unweighted
White British/English/Welsh/Scottish/Northern Irish	95.8%	96.4%
White Irish	0.3%	0.4%
White Gypsy or Irish Traveller	0.0%	0.0%
Any other White background	2.0%	1.8%
Mixed: White & Black Caribbean	0.1%	0.1%
Mixed: White & Black African	0.2%	0.1%
Mixed: White & Asian	0.8%	0.5%
Any other Mixed/Multiple Ethnic Group	0.1%	0.2%
Asian or Asian British: Indian	0.3%	0.2%
Asian or Asian British: Pakistani	0.0%	0.0%
Asian or Asian British: Bangladeshi	0.0%	0.0%
Asian or Asian British: Chinese	0.1%	0.1%
Any other Asian background	0.2%	0.2%
Black or Black British: African	0.0%	0.1%
Black or Black British: Caribbean	0.1%	0.1%
Any other Black / African / Caribbean / Black British	0.0%	0.0%
Arab	0.0%	0.0%
Any other ethnic group	0.1%	0.1%
BASE	1,900	1,899 <i>N.B. 78 non-responses</i>

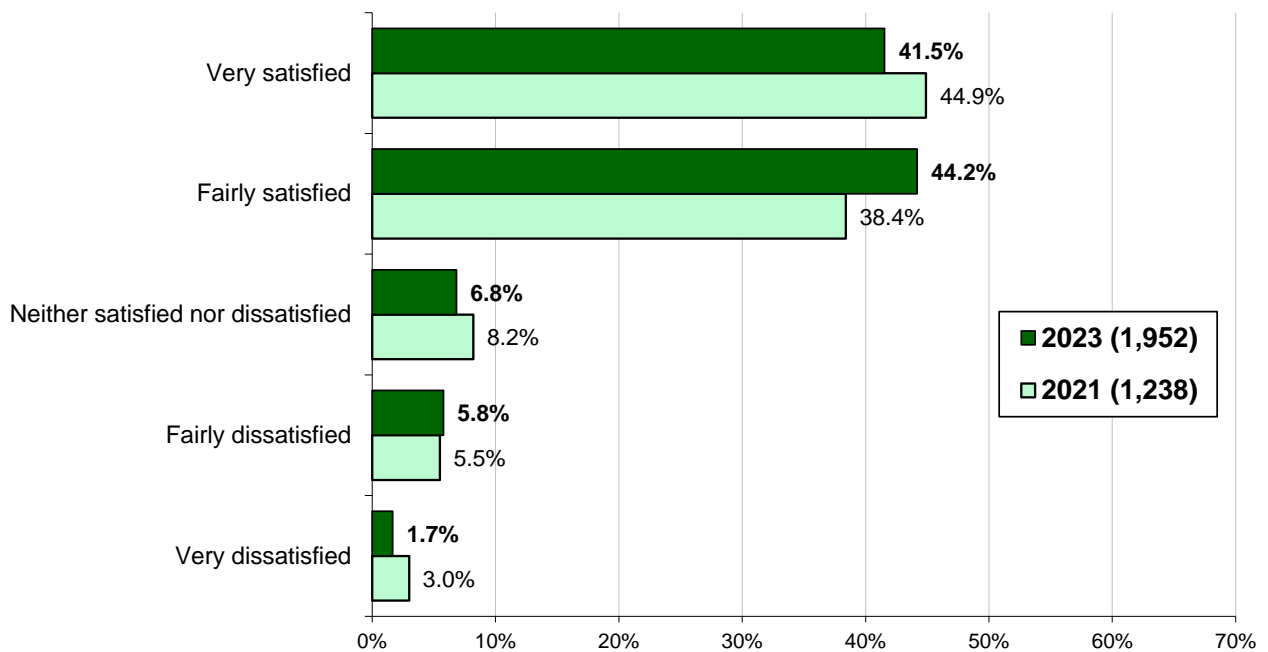
## Section 2. Your local area as a place to live

### 2.1 Satisfaction with your local area as a place to live

Overall satisfaction (the sum of 'Very' and 'Fairly satisfied' responses) with the local area as a place to live was 86% with a confidence interval of +/-1.5% at the 95% level. Only 7% were dissatisfied.

Chart Q1 below compares these 2023 results with those from the 2021 survey, showing a slight but not quite significant increase in overall satisfaction from 83% then, while the proportion dissatisfied has declined very slightly from 8% in 2021.

**Chart Q1. Overall, how satisfied or dissatisfied are you with your local area as a place to live?**



Source: Marketing Means 2023

Base: All who gave a valid response

#### Comparison with recent LGA survey results

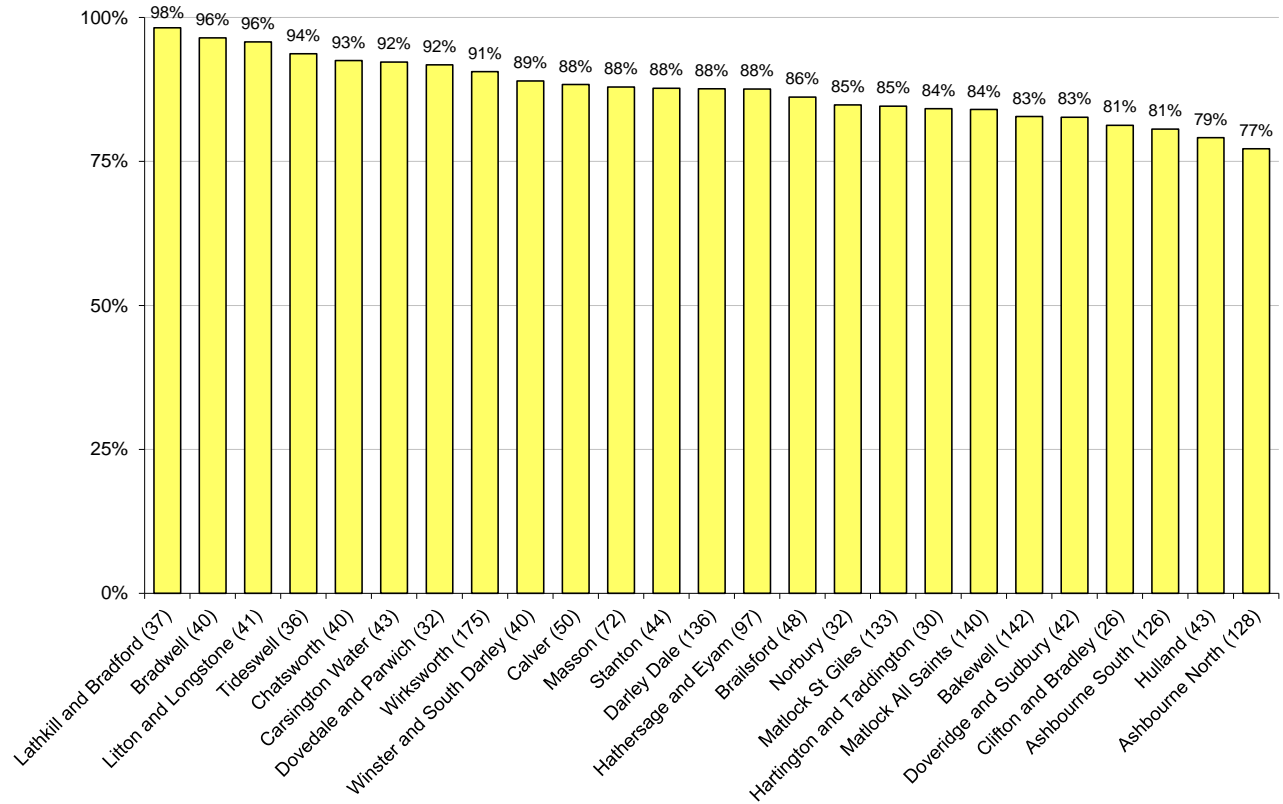
- The February 2023 LGA survey results (base size=1,001) showed 76% satisfied and 11% dissatisfied, so that Derbyshire Dales' residents' views of their local area are significantly more positive. In particular while 30% nationally were 'Very satisfied', this was 42% among Derbyshire Dales residents in this survey.

#### Differences by demographics

- Older residents were significantly more likely than younger residents to be 'Very satisfied', with 52% of those aged 75+ and 48% of those aged 65-74 feeling this way, compared with only 23% of 16-24s, 34% of 25-34s and 36% of 45-54s.
- People with a disability were significantly less likely to feel satisfied, though still very positive overall (82% of those with a disability vs 87% of those with none).

Chart Q1\_w below shows the proportions in each ward who were Very/Fairly satisfied with the local area as a place to live. The results show a scatter either side of the overall average of 86%, with both Ashbourne North and South falling at the lowest end of the distribution.

**Chart Q1\_w. Overall, how satisfied or dissatisfied are you with your local area as a place to live?  
(WARD-LEVEL – all saying Very or Fairly satisfied)**



Source: Marketing Means 2023

Base: All who gave a valid response

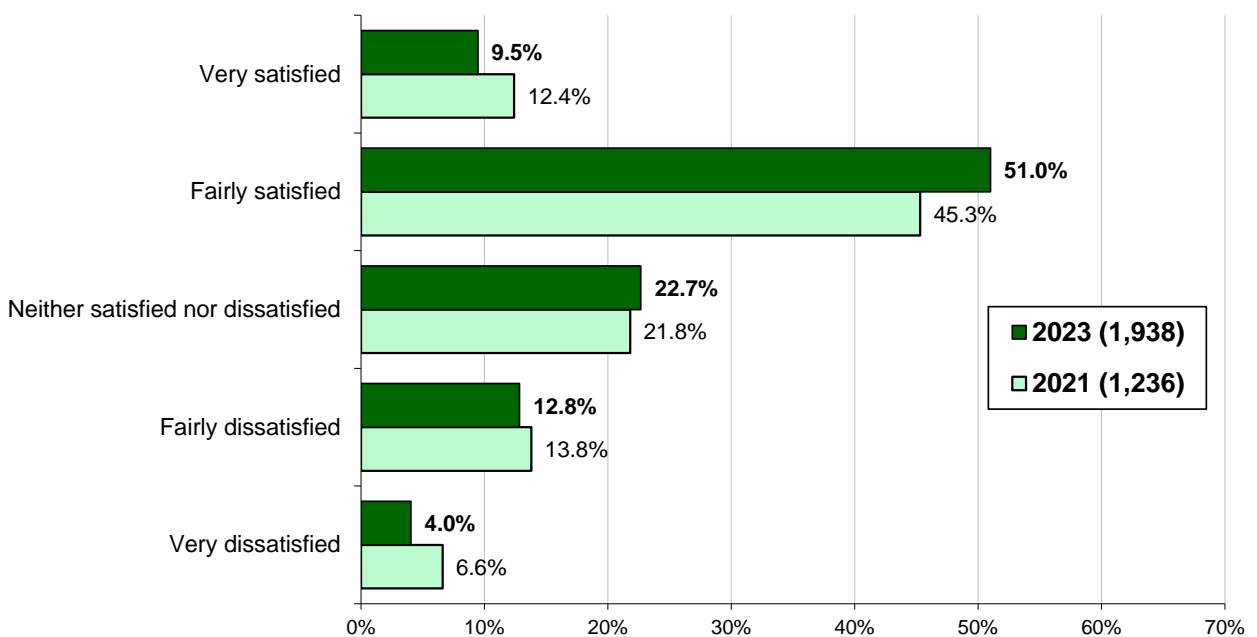
## Section 3: Your Council

### 3.1 Satisfaction with Derbyshire Dales District Council

Overall satisfaction with the way Derbyshire Dales District Council runs things was 60% with a confidence interval of +/-2.1% at the 95% level. This was slightly higher, though not significantly, than the 2021 proportion of 58%.

The proportion dissatisfied with how the Council runs things had dropped slightly but significantly, from 20% in 2021 to 17% in 2023.

**Chart Q2. Overall, how satisfied or dissatisfied are you with the way Derbyshire Dales District Council runs things?**



Source: Marketing Means 2023

Base: All who gave a valid response

#### Comparison with recent LGA survey results

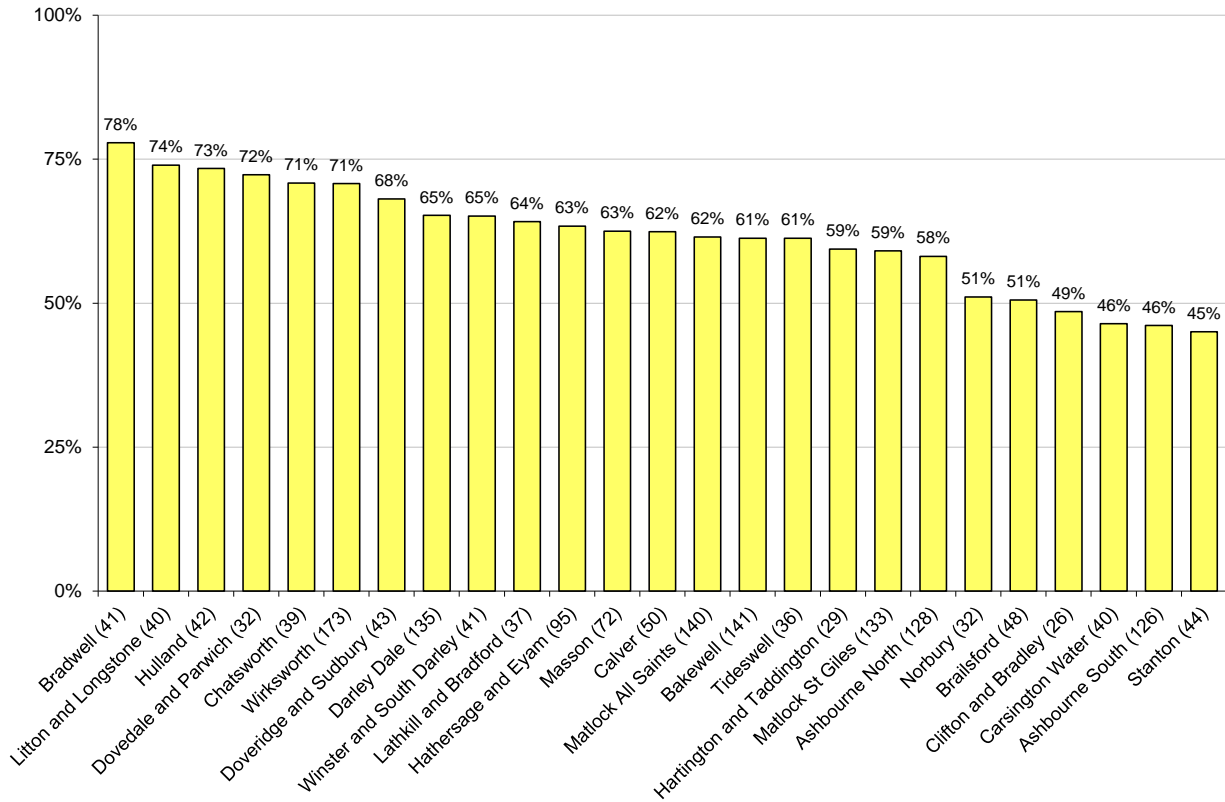
- The February 2023 LGA survey results (base size=1,001) showed 61% satisfied and 11% dissatisfied (compared with 60% and 17% respectively for this Derbyshire Dales residents survey), so were similar to Derbyshire Dales residents' levels of satisfaction with the Council but with a slightly lower proportion dissatisfied in the LGA survey.

#### Differences

- The highest proportions satisfied were among respondents aged 65-74 (65%) and 75+ (69%), significantly higher than among those aged 35-44 (51%) or 45-54 (57%). This repeats the pattern seen in the 2021 survey, albeit with slightly higher levels of satisfaction for 35-44s and 45-54s in 2023 than in 2021.
- Males were significantly more likely than females to be dissatisfied (18% vs 14%).

- The percentage of respondents satisfied with the way the Council runs things varied somewhat across wards (Chart 2\_w below), ranging from only 45% in Bradwell to 78% in Chatsworth.

**Chart Q2\_w. Overall, how satisfied or dissatisfied are you with the way Derbyshire Dales District Council runs things? (WARD-LEVEL)**



Source: Marketing Means 2023

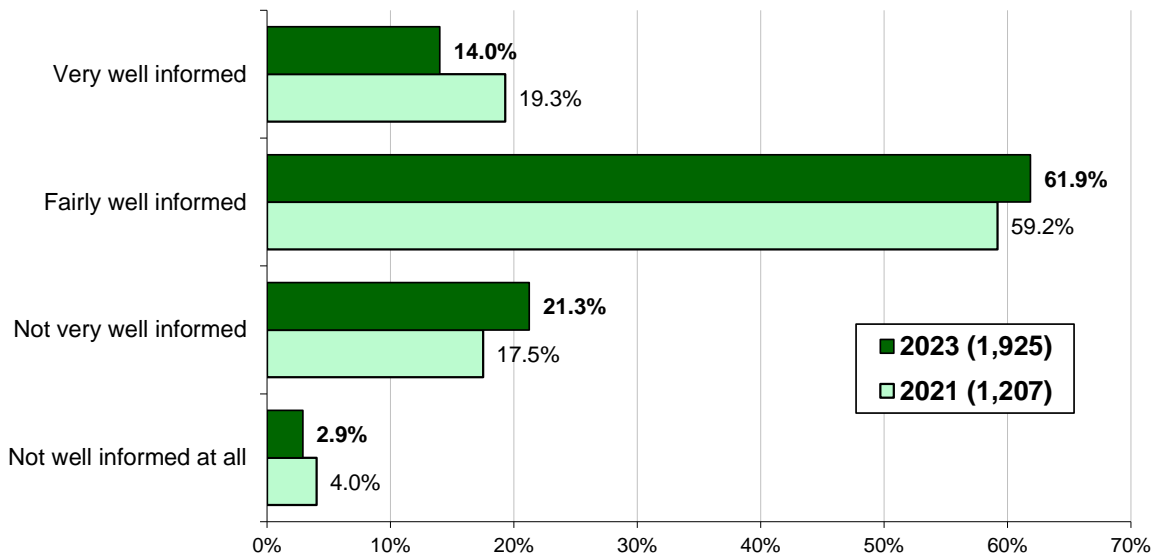
Base: All who gave a valid response

### 3.2 Derbyshire Dales District Council communications

A combined total of 76% of respondents felt very or fairly well informed by Derbyshire Dales District Council about the services and benefits it provides. This was lower than the corresponding 2021 proportion of 79% but not significantly so.

Almost a quarter (24%) felt not well informed, slightly but not significantly higher than the 2021 proportion of 22%.

**Chart Q5: Overall, how well informed do you think Derbyshire Dales District Council keeps residents about the services and benefits it provides?**



Source: Marketing Means 2023

Base: All who gave a valid response

#### Comparison with recent LGA survey results

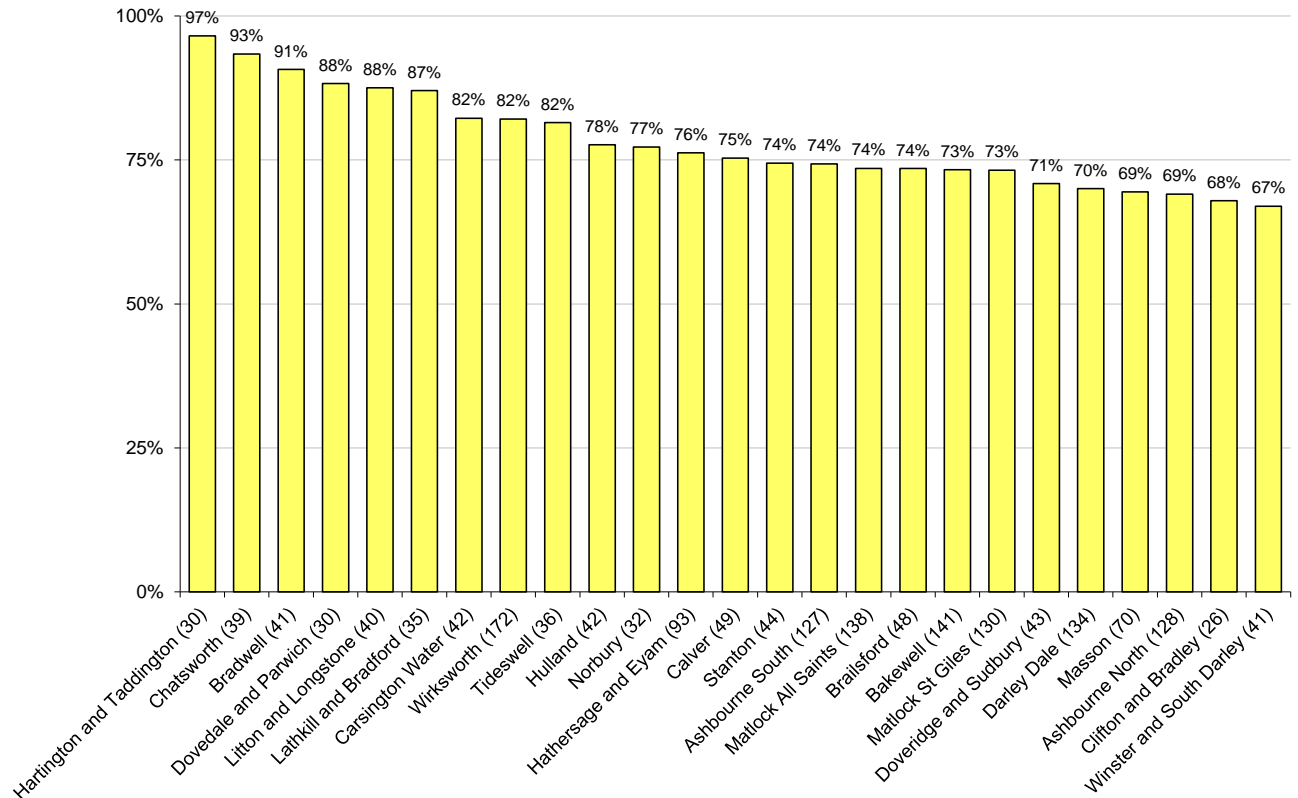
- The February 2023 LGA survey results (base size=1,001) showed 59% feeling well-informed and 41% not well-informed, so that Derbyshire Dales residents' views of the Council's information sharing are significantly more positive.

#### Differences

- The highest proportions feeling well-informed were among respondents aged 65-74 (81%) and 75+ (84%), significantly higher than among those aged 25-34 (67%) or 35-44 (71%).

- The percentage of respondents feeling very or fairly well informed by the Council about the services and benefits it provides varied across wards (Chart 5\_w below) ranging from 67% in Winster & South Darley to 97% in Hartington & Taddington.

**Chart Q5\_w: Overall, how well informed do you think Derbyshire Dales District Council keeps residents about the services and benefits it provides? (WARD-LEVEL)**



Source: Marketing Means 2023

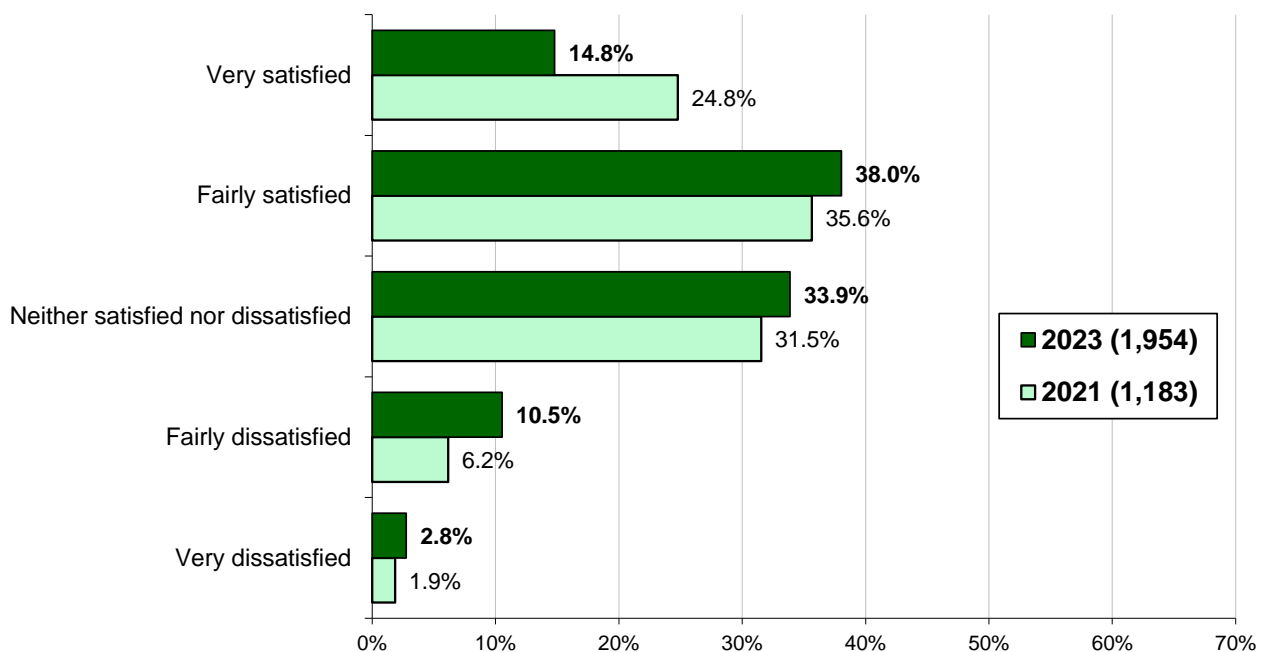
Base: All who gave a valid response

### 3.3 Satisfaction with selected services

Of those residents who expressed a view, just over half (53%) were satisfied with sports & leisure facilities. This was, however, a significant decrease from 60% in the 2021 residents' survey.

Only 13% were dissatisfied with sports & leisure facilities, but this was a significant increase from 13% in 2021. The high proportion of respondents who were neither satisfied nor dissatisfied (34%) may indicate that a relatively high proportion of residents do not use sports and leisure facilities, at least compared with some of the other services and facilities covered in the section of the survey.

**Chart Q3.1: Sport & leisure facilities [How satisfied or dissatisfied are you with each of the following services provided by Derbyshire Dales District Council?]**



Source: Marketing Means 2023

Base: All who gave a valid response

#### Comparison with recent LGA survey results

- The February 2023 LGA survey results (base size=1,001) showed 59% satisfied and 18% dissatisfied with their council's sport and leisure services. In comparison, Derbyshire Dales residents' views of their sports and leisure facilities provided by the Council are slightly less positive, but also less likely to be negative as rather more those who expressed a view were 'Neither satisfied nor dissatisfied' than was the case nationally (34% vs 24% respectively).

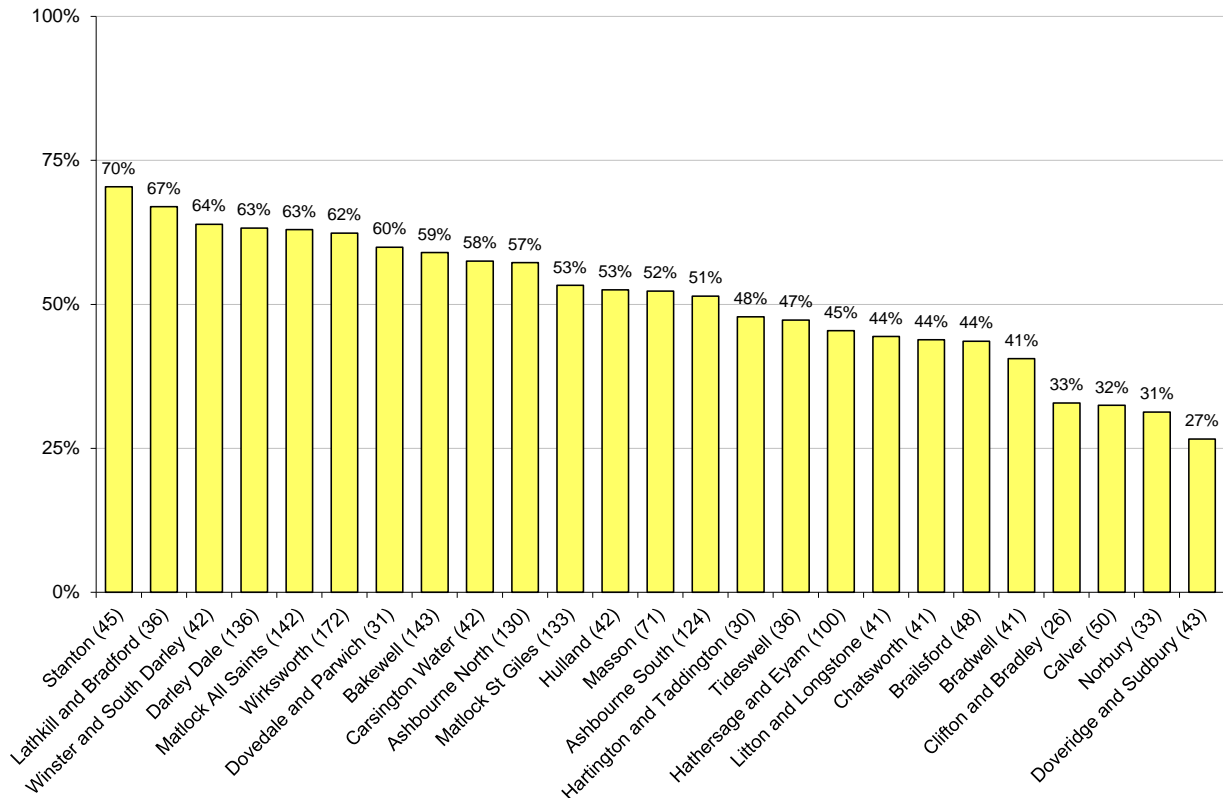
#### Differences

- While respondents aged 16-24 were significantly more likely to be satisfied with sports and leisure facilities (72%) than were older respondents (ranging from 55% of 35-44s to only 47% of 65-74s), the proportions dissatisfied were highest among 25-34s (22%) and 35-44s (20%). The latter compared with dissatisfied proportions of 11% among 16-24s and 7% among all aged 65+.
- Females were significantly more likely than males to be satisfied with these services (56% vs 51% respectively) and less likely to be dissatisfied (11% vs 15% of males).



- People with a disability were significantly less likely than those without to be satisfied with sports and leisure facilities (42% vs 54% respectively).
- The percentage of respondents satisfied with the sports and leisure facilities varied across wards (chart Q3.1\_w below) ranging from as high as 70% in Stanton to less than half that level (33% or less) in four wards, Clifton & Bradley, Calver, Norbury, and Doveridge & Sudbury.

**Chart Q3.1\_w: Sport & leisure facilities [How satisfied or dissatisfied are you with each of the following services provided by Derbyshire Dales District Council?] [WARD-LEVEL]**



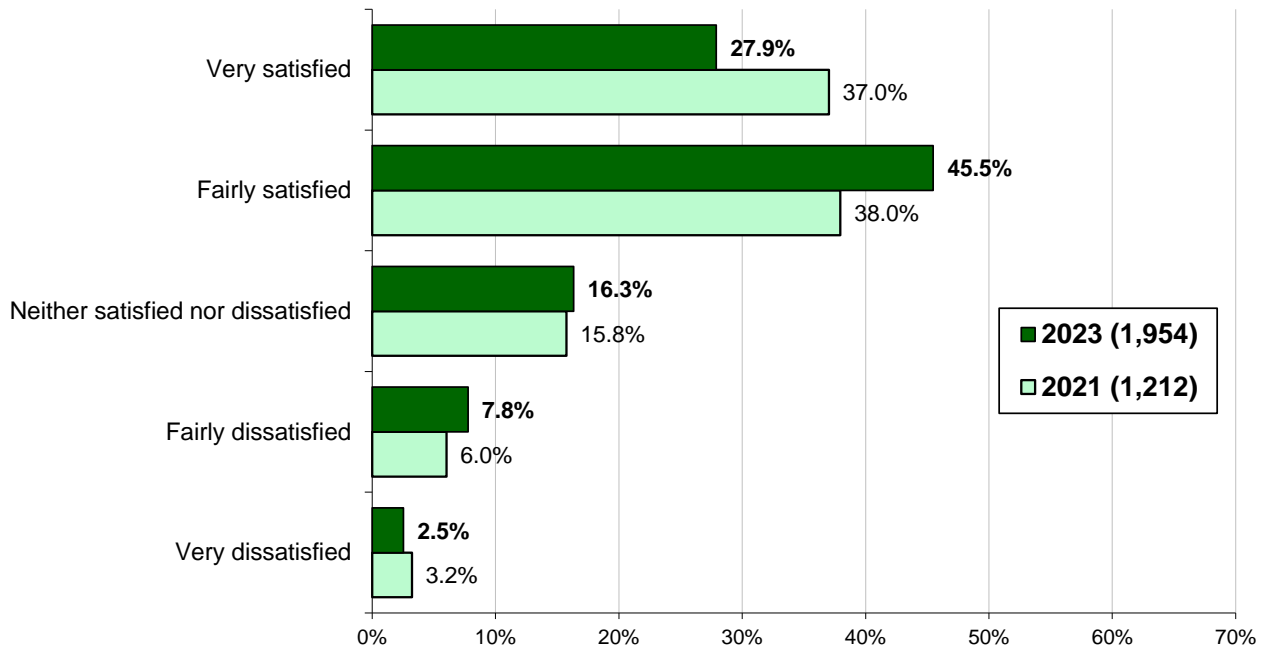
Source: Marketing Means 2023

Base: All who gave a valid response

Nearly three-quarters of residents who expressed a view (73%) were satisfied with parks, recreation grounds and open spaces, not significantly different to the corresponding 2021 proportion of 75%. The proportion 'Very satisfied' had nevertheless fallen significantly from 37% in 2021 to 28% in 2023.

The proportion dissatisfied was low, 10%, and similar to the 2021 proportion of 9%.

**Chart Q3.2: Parks, recreation grounds and open spaces [How satisfied or dissatisfied are you with each of the following services provided by Derbyshire Dales District Council?]**



Source: Marketing Means 2023

Base: All who gave a valid response

### Comparison with recent LGA survey results

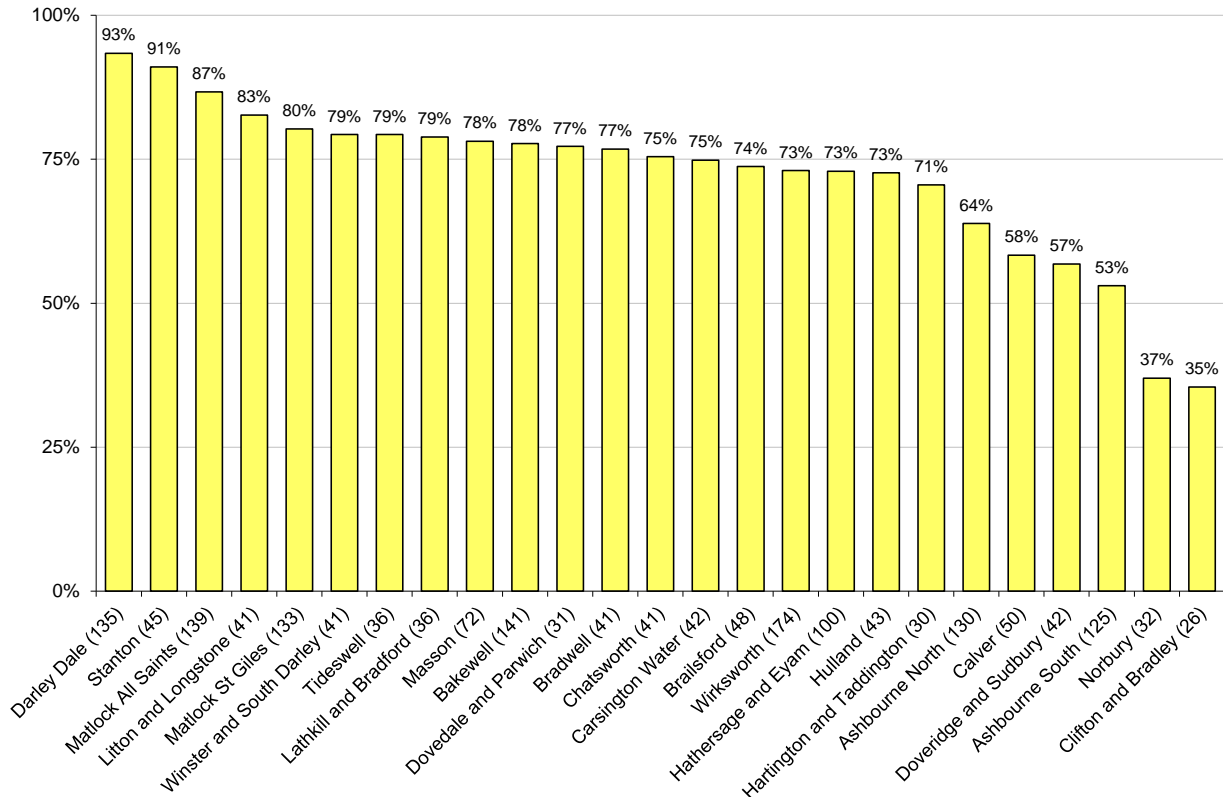
- The February 2023 LGA survey results (base size=1,001) showed 79% satisfied and 11% dissatisfied with their council's parks and green space services, so that **Derbyshire Dales residents were significantly less likely to be satisfied than was the case nationally, but no more or less likely to be dissatisfied.**

### Differences

- The most significant differences in views of parks, recreation grounds and open spaces by age were that 25-34s and 35-44s were significantly more likely than other groups to be dissatisfied (19% and 16% feeling this way compared with no more than 11% of any other age group).
- People with a disability were significantly less likely than those without to be satisfied with parks, recreation grounds and open spaces (66% vs 75% respectively).

- The percentage of respondents **satisfied** with parks, recreation grounds and open spaces varied across wards (Chart 3.2\_w below) ranging from as high as 93% in Darley Dale to much lower figures in two wards in particular. Norbury and Clifton & Bradley had satisfaction levels of 37% and 35% respectively though those wards drew responses from only 32 and 26 respondents respectively.

**Chart Q3.2\_w: Parks, recreation grounds and open spaces [How satisfied or dissatisfied are you with each of the following services provided by Derbyshire Dales District Council?] [WARD-LEVEL]**



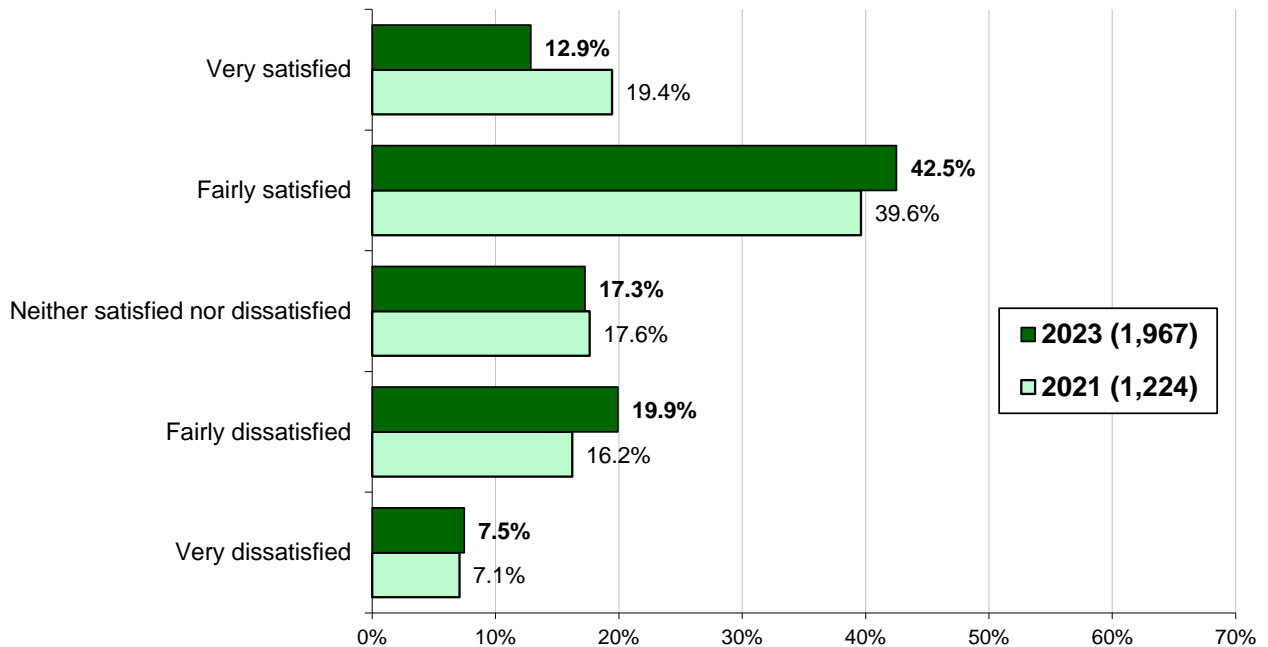
Source: Marketing Means 2023

Base: All who gave a valid response

Just over half of residents who expressed a view (55%) were satisfied with the Council's efforts to keep areas including highways free from litter. This was a small but significant fall from the corresponding 2021 proportion of 59%, driven mainly by a fall in the proportion who were 'very satisfied' from 19% to 13%.

The proportion dissatisfied was 27%, slightly but significantly higher than the 2021 proportion of 23%.

**Chart Q3.3: Keeping areas including highways free from litter [How satisfied or dissatisfied are you with each of the following services provided by Derbyshire Dales District Council?]**



Source: Marketing Means 2023

Base: All who gave a valid response

### Comparison with recent LGA survey results

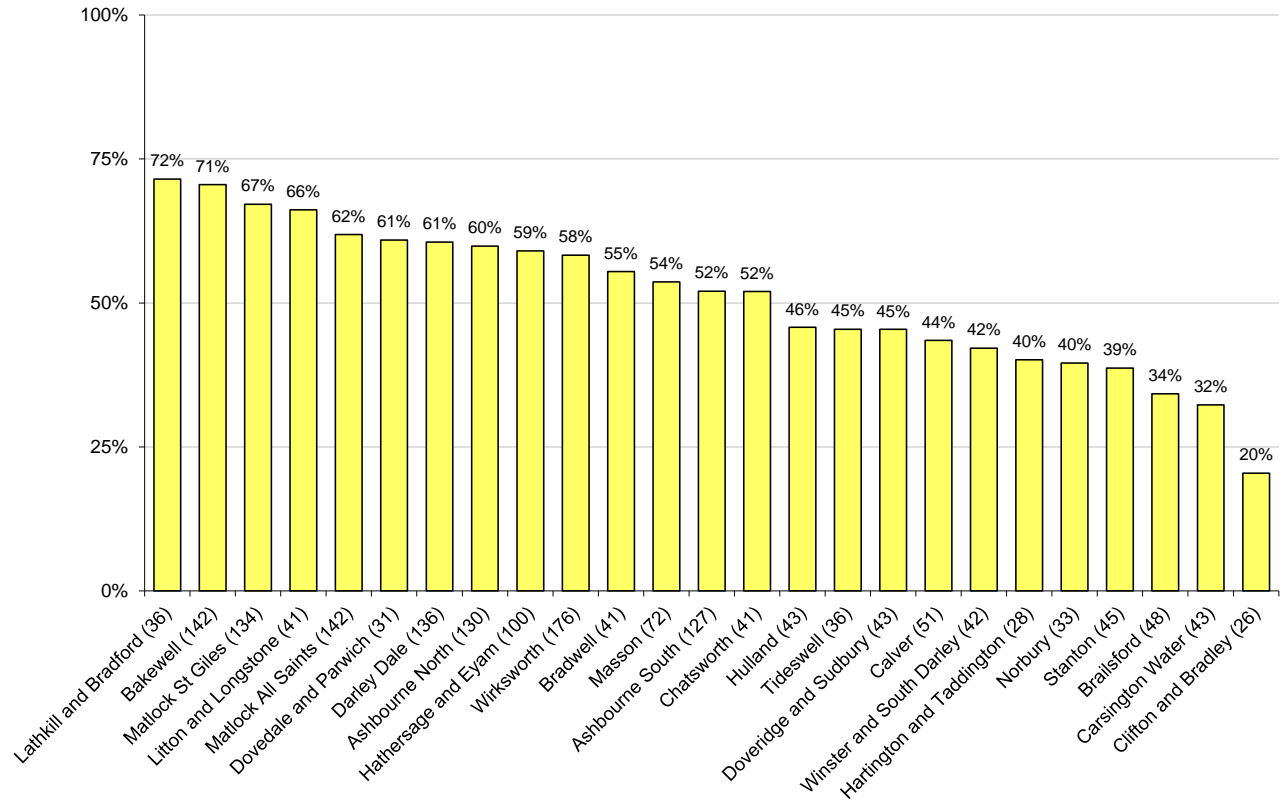
- The February 2023 LGA survey results (base size=1,001) included opinions of residents' councils' street cleaning, the closest statement to that used in this survey. The LGA results showed 62% satisfied and 23% dissatisfied with their council's street cleaning, so that Derbyshire Dales residents were significantly less likely to be satisfied than was the case nationally, and slightly more likely to be dissatisfied.

### Differences

- The age groups significantly more likely to be satisfied with the Council keeping areas including highways free from litter were 16-24s (72%), 25-34s (61%) and 35-44s (65%). Older age groups were somewhat less likely to be satisfied, the level dropping to 52% among 55-64s and to only 48% among 65-74s.

- The percentage of respondents satisfied with the Council keeping areas including highways free from litter varied across wards (chart 7d below) ranging from 72% in Lathkill & Bradford and 71% in Bakewell down to 34% in Brailsford, 32% in Carsington Water and 20% in Clifton & Bradley

**Chart Q3.3: Keeping areas including highways free from litter [How satisfied or dissatisfied are you with each of the following services provided by Derbyshire Dales District Council?] [WARD-LEVEL]**



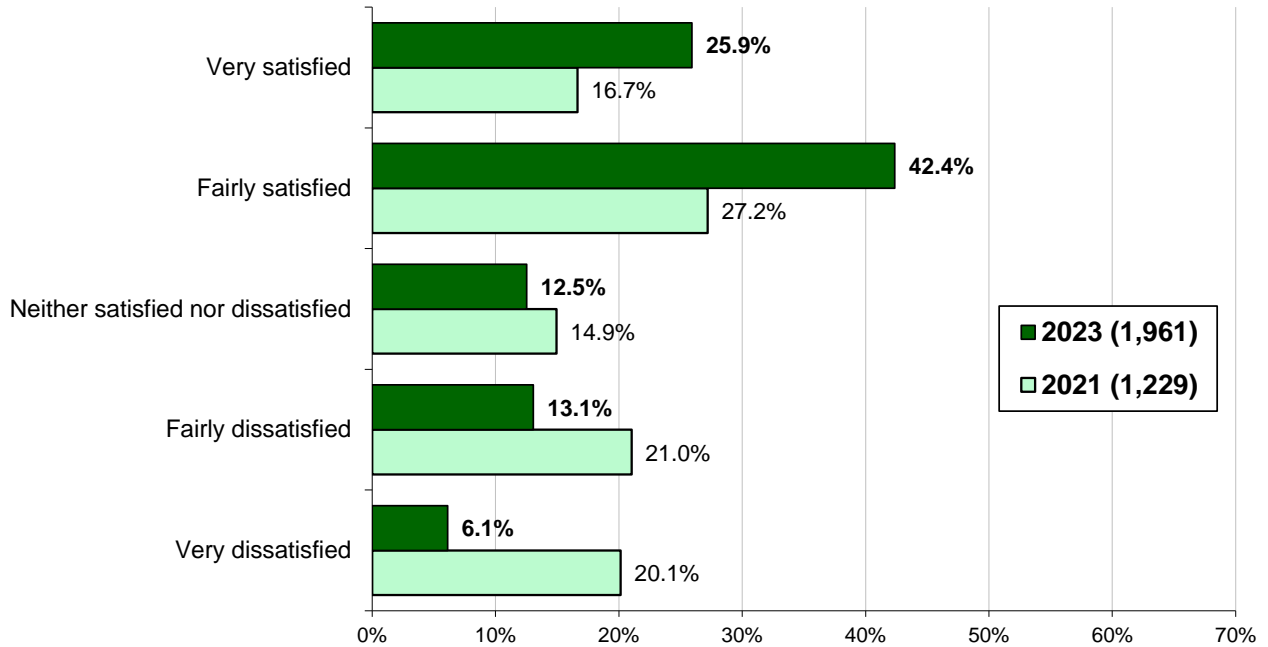
Source: Marketing Means 2023

Base: All who gave a valid response

More than two-thirds of residents who expressed a view (68%) were satisfied with the Council's waste & recycling collections. This was a large and significant increase from the corresponding 2021 results, when fewer than half were satisfied (44%). The proportion very satisfied had also increased significantly from 17% to 26%.

The proportion dissatisfied was 19%, significantly lower than the corresponding proportion of 41% in 2021.

**Chart Q3.4: Waste & recycling collections [How satisfied or dissatisfied are you with each of the following services provided by Derbyshire Dales District Council?]**



Source: Marketing Means 2023

Base: All who gave a valid response

### Comparison with recent LGA survey results

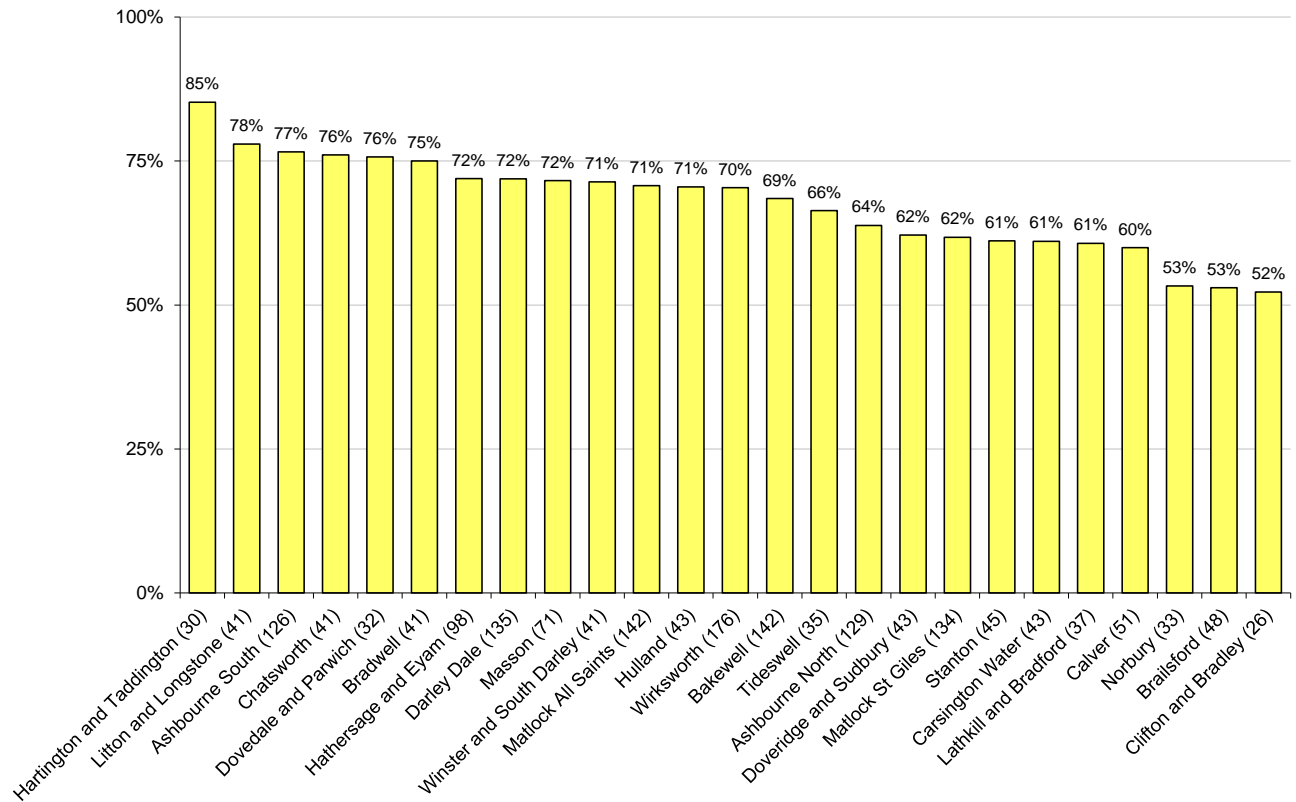
- The February 2023 LGA survey results (base size=1,001) included opinions of residents' councils' waste collection, the closest statement to that used in this survey. The LGA results showed 82% satisfied and only 10% dissatisfied with waste collection, so that while Derbyshire Dales residents are significantly more satisfied with this service than they were in 2021, they are still significantly less satisfied than is the case for residents nationally.

### Differences

- Respondents aged 75+ were significantly more likely to be satisfied with waste & recycling collections than were any other age group (84% of those aged 75+ satisfied vs 60% to 73% across other age groups). Respondents aged 35-44 were the most likely to be dissatisfied (27%).
- Residents with a disability were significantly more likely than those without to be very satisfied with the waste and recycling service (33% v 26% respectively).

- The percentage of respondents satisfied with waste & recycling collections varied across wards (Chart 3.4\_w below) ranging from as high as 85% in Harrington & Taddington down to only just over half in Norbury, Brailsford and Clifton & Bradley.

**Chart Q3.4\_w: Waste & recycling collections [How satisfied or dissatisfied are you with each of the following services provided by Derbyshire Dales District Council?] [WARD-LEVEL]**



Source: Marketing Means 2023

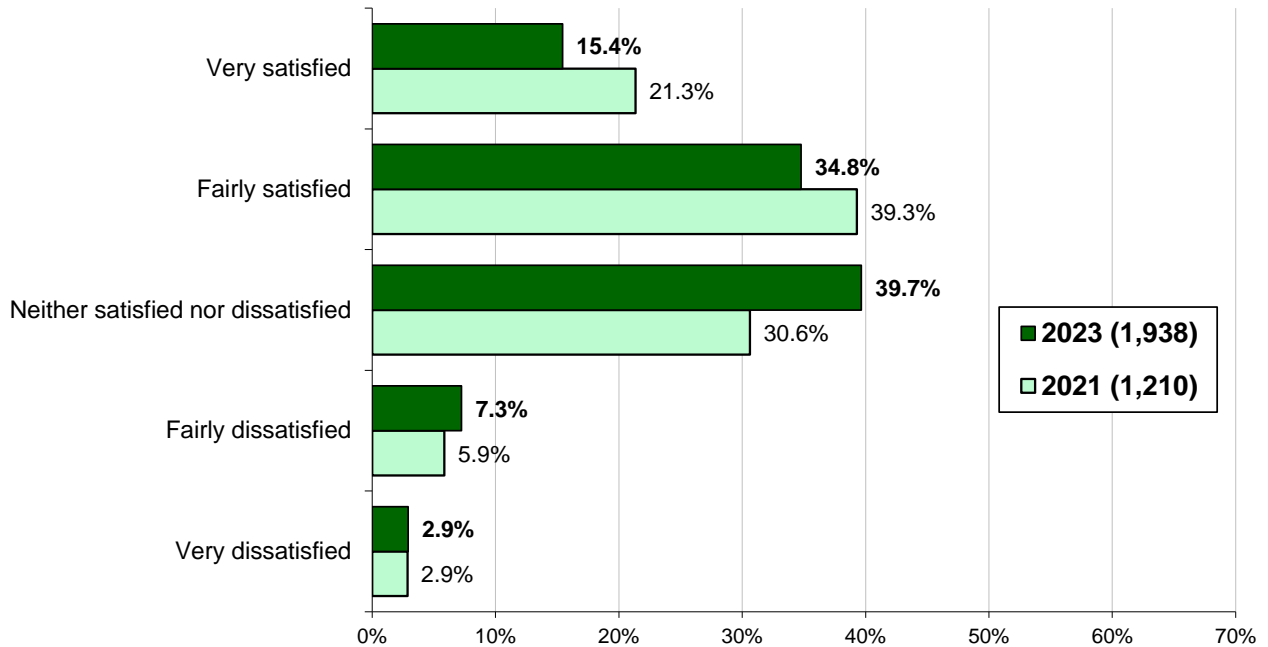
Base: All who gave a valid response

### 3.4 Satisfaction with Council communications

Almost exactly half of the respondents (50%) were satisfied with their ease of contacting the Council. This was, however, a significant decrease from the corresponding 2021 results, when 61% were satisfied. In 2023, the proportion neither satisfied nor not had risen from 31% to 40%.

The proportion dissatisfied was 10%, not significantly different to the 2021 results.

**Chart Q4.1: Ease of contact with the Council [How satisfied or dissatisfied are you with the following?]**



Source: Marketing Means 2023

Base: All who gave a valid response

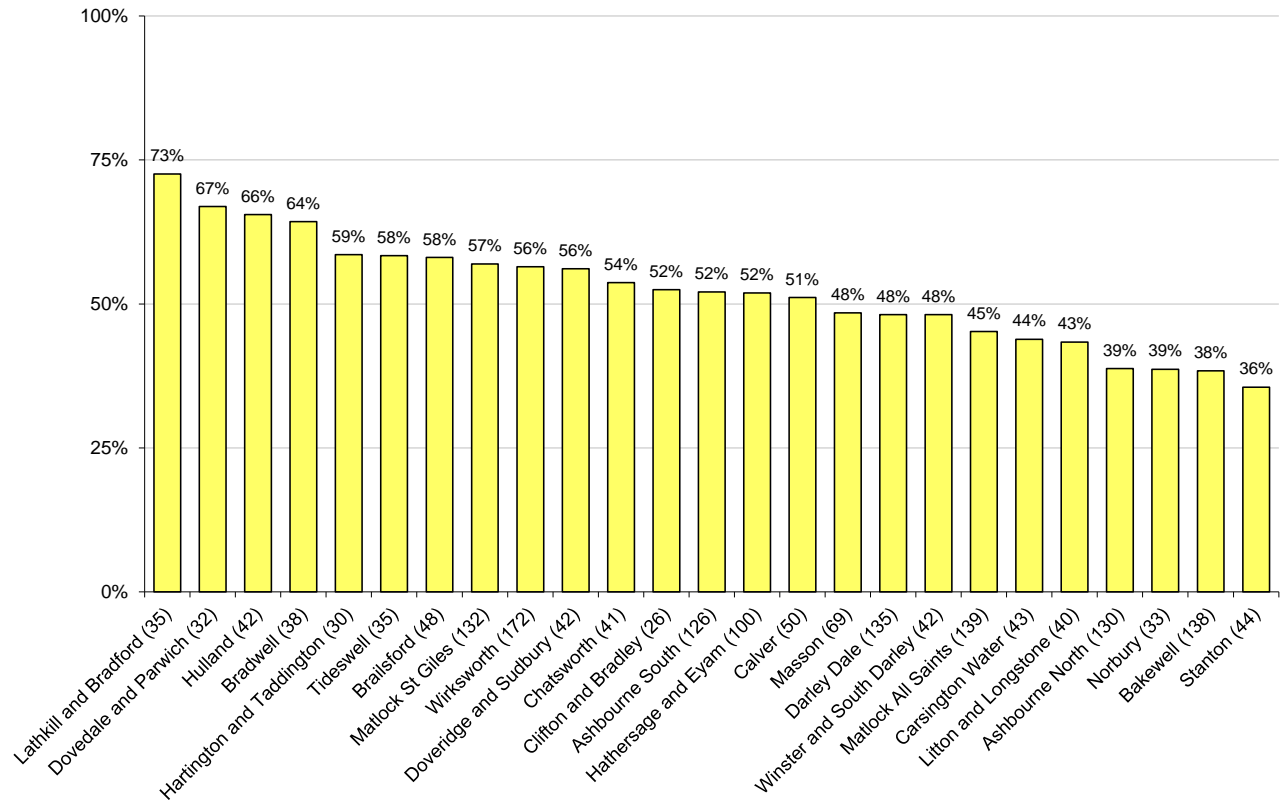
#### Differences

- Older residents were significantly more likely to be satisfied with ease of contact with the Council. While only 35% of 16-24s and 37% of 25-34s were satisfied, this rose to 59% among 65-74s and 66% of those aged 75+. Respondents aged 25-34 were the most likely group to be dissatisfied (17%).
- Residents with a disability were significantly more likely than those without to be very satisfied with their ease of contact with the Council (23% v 15% of others).



- The percentage of respondents satisfied with waste & recycling collections varied greatly across wards (Chart 4.1\_w below) ranging from as high as 73% in Lathkill & Bradford down to only just over one third (36%) in Stanton.

**Chart Q4.1\_w: Ease of contact with the Council [How satisfied or dissatisfied are you with the following?] [WARD-LEVEL]**



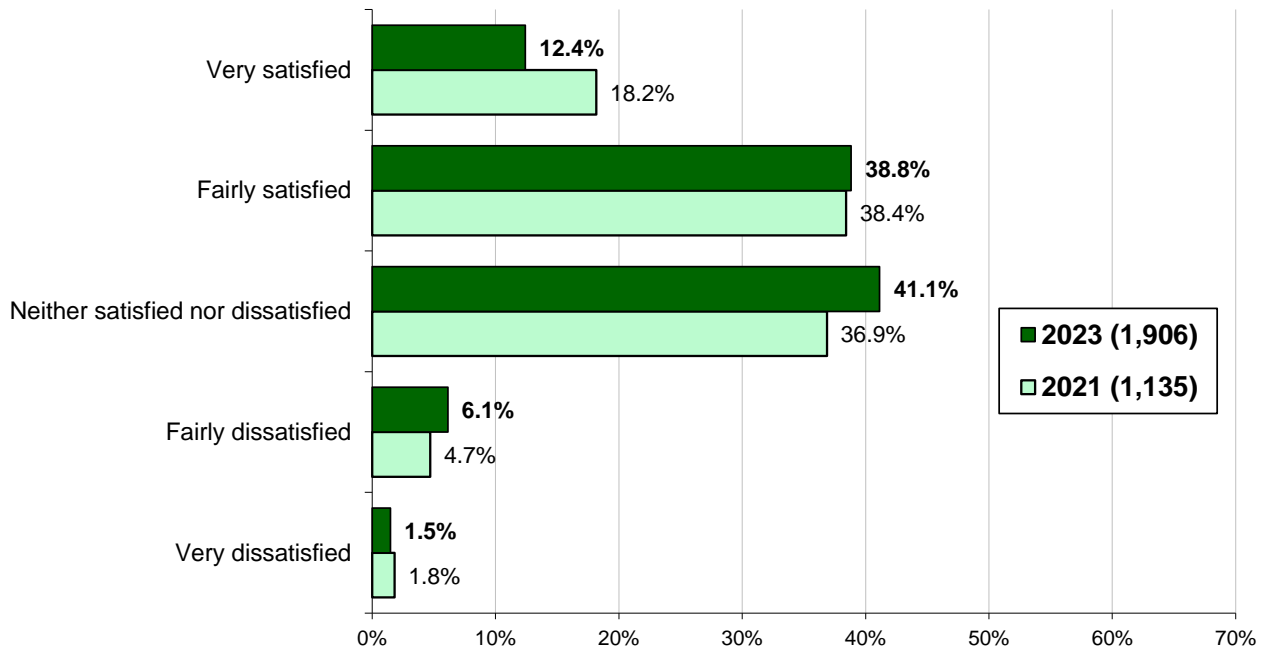
Source: Marketing Means 2023

Base: All who gave a valid response

Just over half of the respondents (51%) were satisfied with the quality of the Council website. This was a significant decrease from the corresponding 2021 results, when 57% were satisfied.

The proportion dissatisfied was 8%, not significantly different to the 2021 results.

**Chart Q4.2: Quality of the Council website [How satisfied or dissatisfied are you with the following?]**



Source: Marketing Means 2023

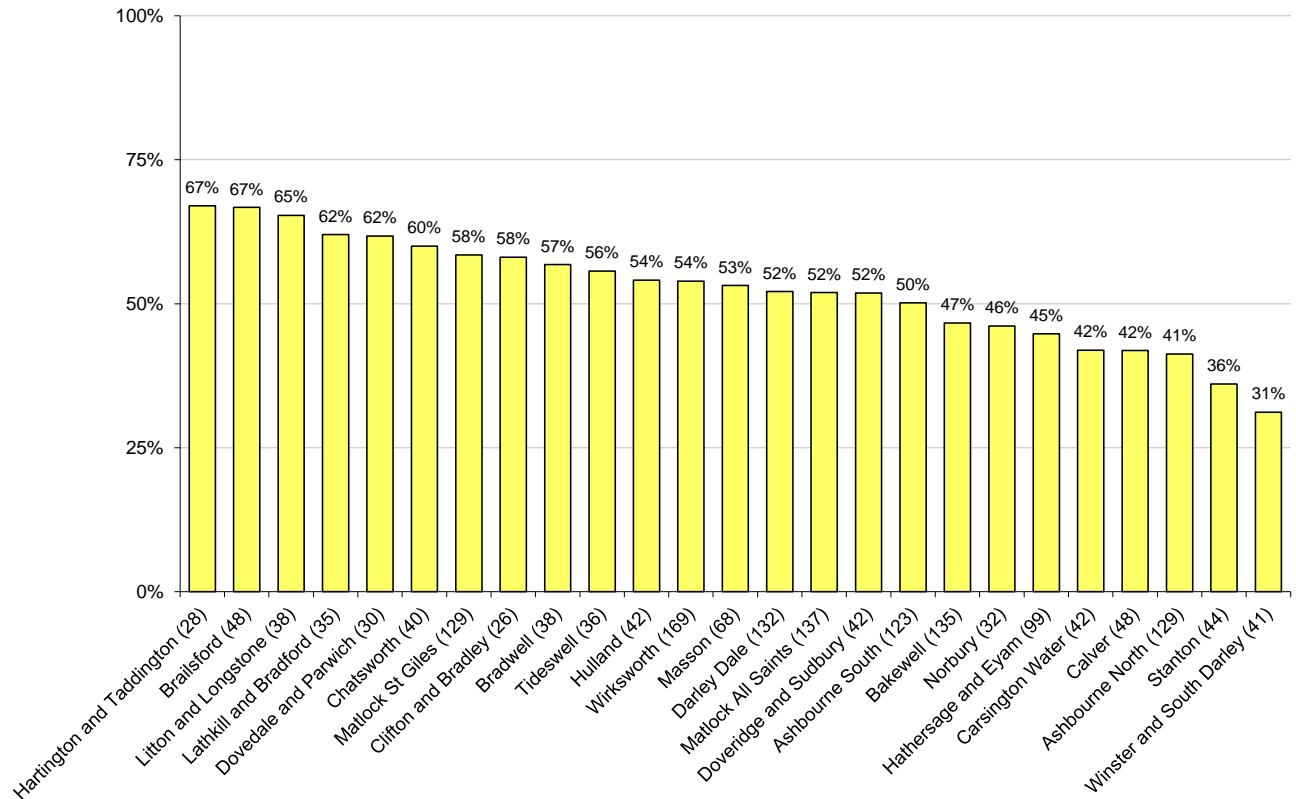
Base: All who gave a valid response

**Differences**

- Residents aged 35-44 were the most likely group to be satisfied with the website (61%) and significantly more likely than those aged 16-24 or 25-34 (41% of both groups) to feel this way.

- The percentage of respondents satisfied with the Council website varied greatly across wards (Chart 4.2\_w below) ranging from a maximum of 67% at both Hartington & Taddington and Brailsford but 36% in Stanton and to just below one third (31%) in Winster & South Darley.

**Chart Q4.2\_w: Quality of the Council website [How satisfied or dissatisfied are you with the following?]  
[WARD-LEVEL]**



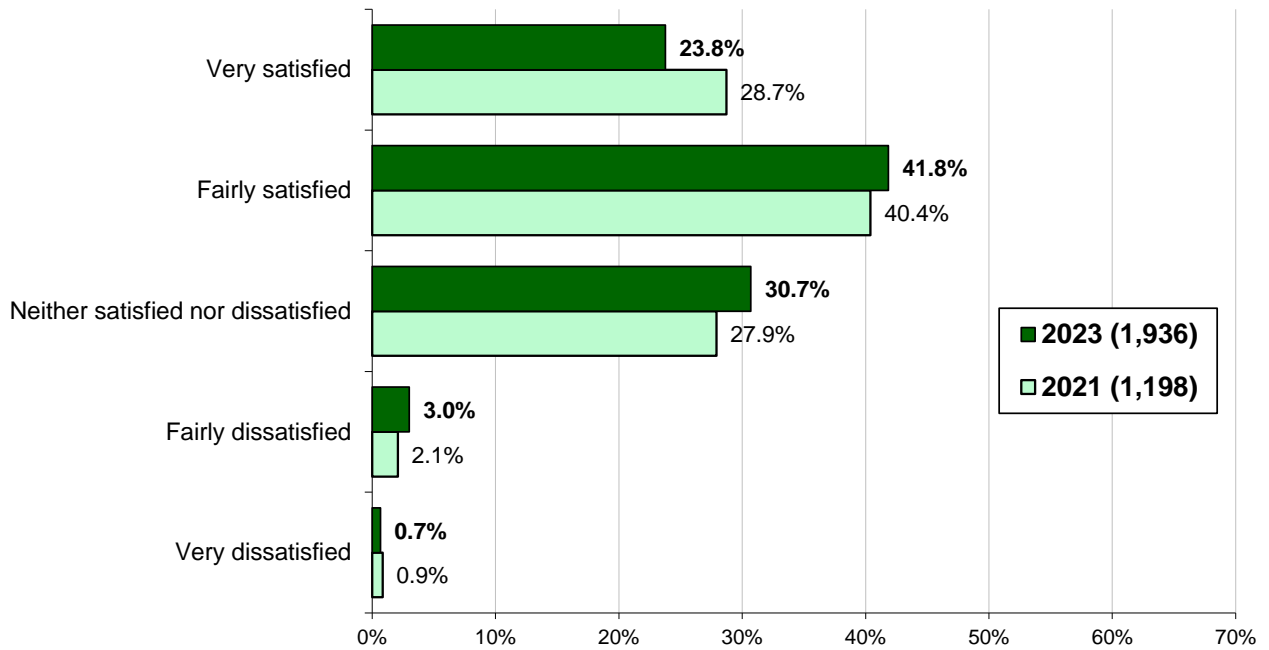
Source: Marketing Means 2023

Base: All who gave a valid response

Nearly two-thirds of the respondents (66%) were satisfied with the ease of payment methods. This was a slight but significant decrease from the corresponding 2021 results, when 69% were satisfied.

The proportion dissatisfied was 4%, not significantly different to the 2021 results.

**Chart Q4.3: Ease of payment methods [How satisfied or dissatisfied are you with the following?]**



Source: Marketing Means 2023

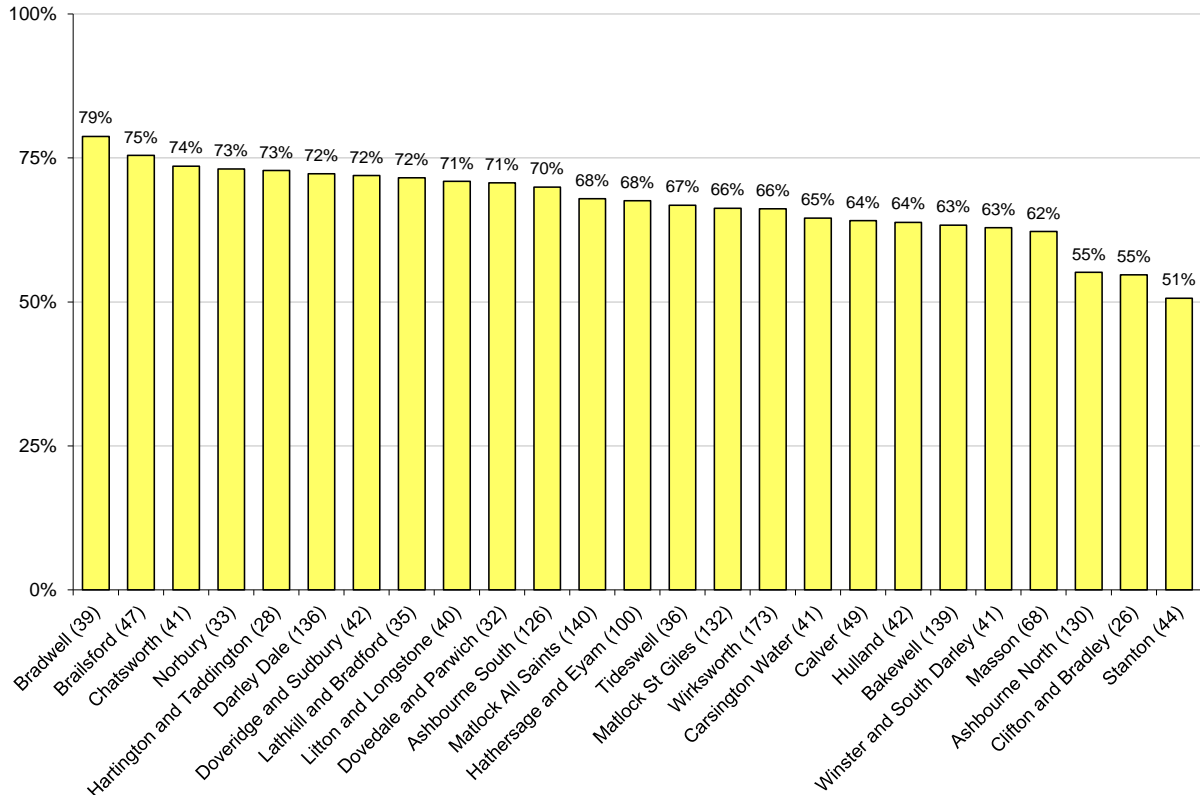
Base: All who gave a valid response

**Differences**

- Residents aged 16-24 were the least likely group to be satisfied with the ease of payment methods (48%, versus 63% to 73% in other age groups) but were also significantly more likely than any other age group to feel neither satisfied nor not (48%, vs no more than 33% of any other age group) suggesting a lack of experience of payment methods.
- Females were more likely than males to be very satisfied with the ease of payment methods (68% vs 64% respectively).
- People with a disability were slightly but significantly less likely than others to feel satisfied with the ease of payment methods (64% vs 67% respectively).

- The percentage of respondents satisfied with the ease of payment methods varied across wards (Chart 4.3\_w below) ranging from a maximum of 79% at Bradwell to just over half (51%) at Stanton.

**Chart Q4.3\_w: Ease of payment methods [How satisfied or dissatisfied are you with the following?]  
[WARD-LEVEL]**



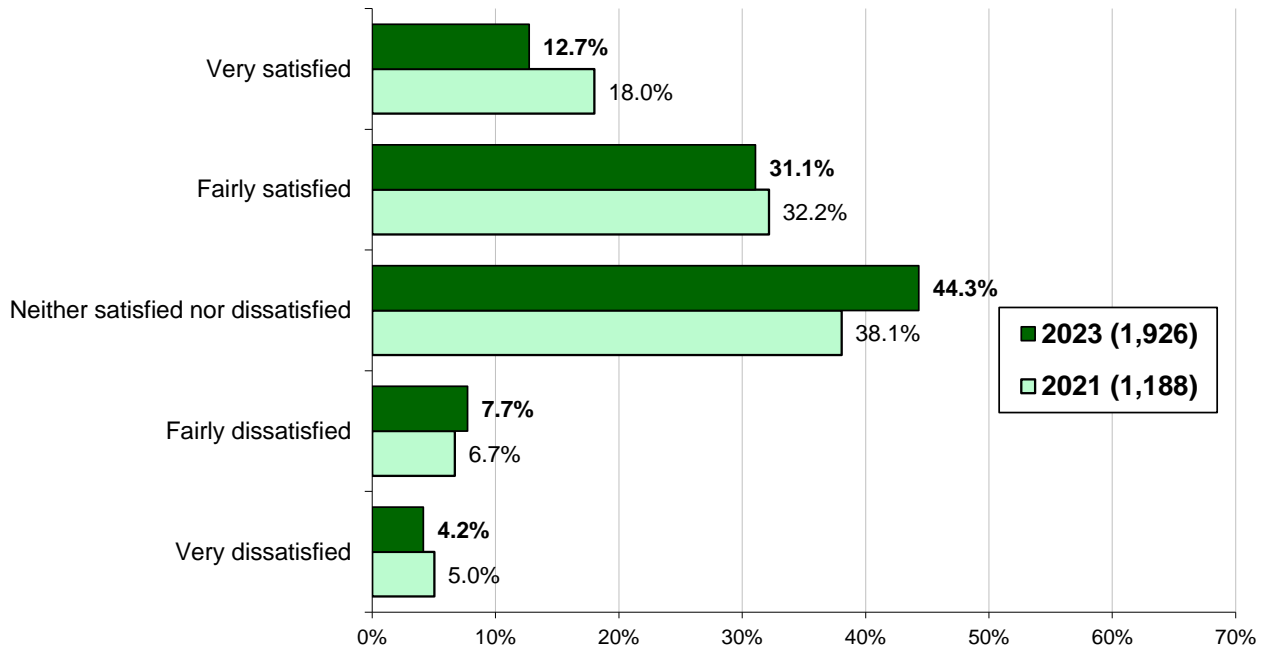
Source: Marketing Means 2023

Base: All who gave a valid response

Slightly less than half of respondents (44%) were satisfied with the Council’s responsiveness to their enquiries. This was a small but significant decrease from the corresponding 2021 results, when 50% were satisfied.

The proportion dissatisfied was 12%, very similar to the 2021 results.

**Chart Q4.4: The Council’s responsiveness to your enquiries [How satisfied or dissatisfied are you with the following?]**



Source: Marketing Means 2023

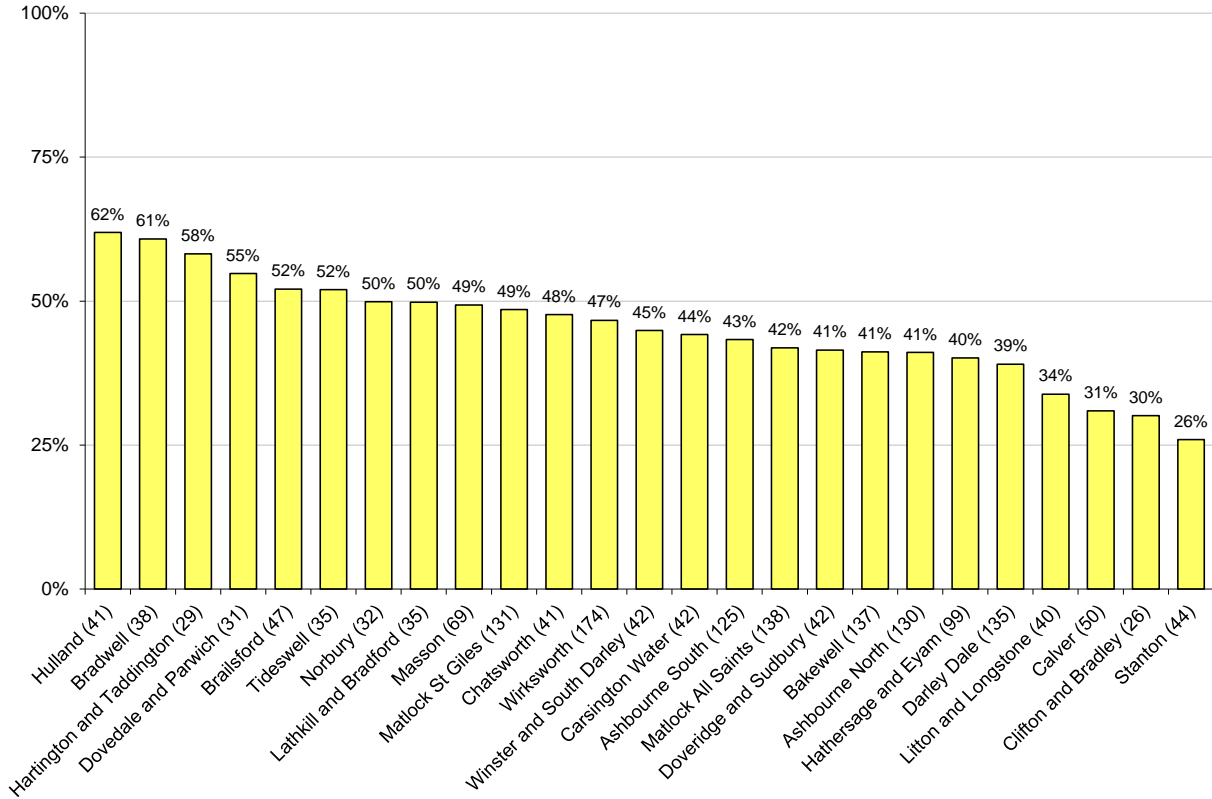
Base: All who gave a valid response

**Differences**

- The oldest respondents, aged 65-74 and 75+, were the most likely groups to be satisfied with the website (51% and 53% respectively were satisfied in those age groups, significantly higher than the proportions of only 37% to 42% in the younger age groups).
- Females were more likely than males to be satisfied with the Council’s responsiveness (47% satisfied, vs 42% of males).

- The percentage of respondents satisfied with the Council website varied across wards (Chart 4.4\_w below) ranging from a maximum of 79% at Hulland to only 26% at Stanton.

**Chart Q4.4\_w: The Council’s responsiveness to your enquiries [How satisfied or dissatisfied are you with the following?] [WARD-LEVEL]**



Source: Marketing Means 2023

Base: All who gave a valid response

### 3.5 Further comments on Council services, and suggestions for improvements

All respondents were asked whether they wished to make any comments in their own words about their satisfaction with the services provided by Derbyshire Dales District Council. **Just over half of the respondents (51%) made a comment of some type.** We have reviewed all comments and coded them to the most common themes. Chart Q6 below lists all comments made by at least 5% of those who answered.

**Chart Q6: Are there any comments you wish to make about your satisfaction with the services provided by Derbyshire Dales District Council?**



Source: Marketing Means 2023

Base: All who made a comment (1,013)

- It should be noted that 13% of those who gave a response simply noted that they had no particular point to make or nothing more to say (in addition to their other questionnaire responses).
- A further 8% made a general comment to the effect that they were happy with the service they received from the Council and had no specific problems or concerns to relate. Another 6% commented simply that services were good. This latter comment was especially likely among those aged 16-24 (15%).
- The most likely specific type of comment to be made were **complaints/ requests regarding the waste and recycling service**, such as requiring a new bin. These accounted for about one in six (17%) of all comments made.
  - Respondents aged 45-54 were significantly more likely than most other age groups to make a comment of this type, with 29% doing so.
- A smaller proportion (5%) commented specifically on **dissatisfaction with the garden waste charge**.



- Comments on **dirty/untidy streets, including issues such as dog fouling and litter**, were made by 12%.
- A similar proportion (11%) requested **improvements to the maintenance of roads and footpaths**, including repair of potholes.
  - This issue was significantly less likely to be raised by 16-24s and 25-34s (by only 2% and 4% respectively), and most likely among those aged 75+ (17%).
  - People with disabilities were also significantly more likely than others to request improvements to the maintenance of roads and footpaths (19% vs 10% of others).
- A further 7% commented on **poor traffic management or issues with roadworks**.
- Just over one in 10 (10%) commented on the need for **better/faster communication with residents** including taking note of residents' requests/concerns.
- Some 9% of those who answered commented on what they saw as **poor planning/consultation decisions** or dissatisfaction with the planning process.
  - This was most likely among males (11% vs 6% of females).
- Just under 8% highlighted a **lack of facilities/amenities and/or their poor quality**.
  - This issue was significantly more likely to be mentioned by those aged 35-44 (21%), twice as high as the proportion from any other age group.
- **Complaints over the high level of council tax and the poor value they felt it offered** were made by 5%.

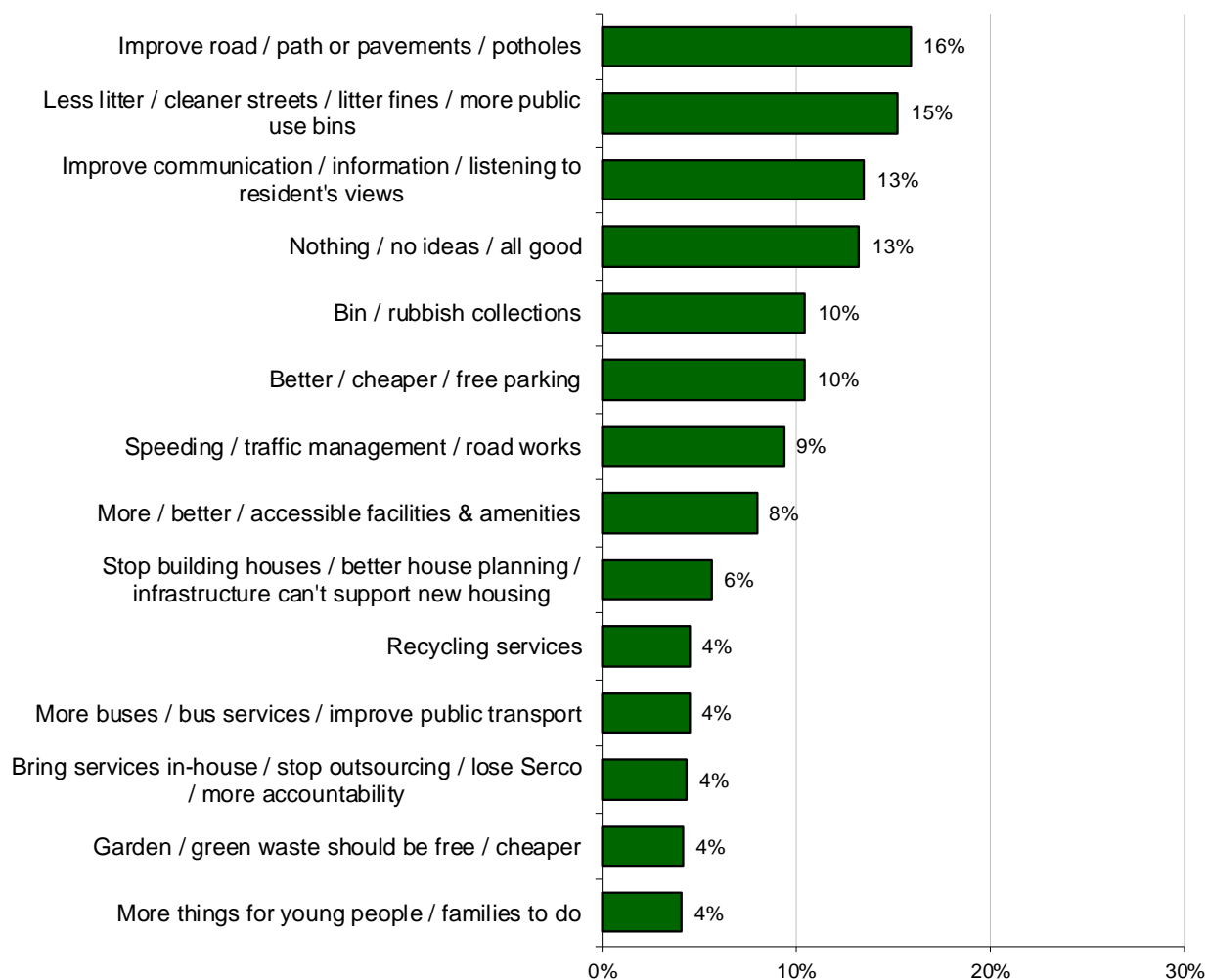
Table Q6\_1 below summarises the different proportion giving each of the most frequent comments when broken down by their overall satisfaction with how the Council runs things. This shows that almost all of the most frequent specific issues raised were more likely to be made by those dissatisfied with how the Council runs things, especially so for comments relating to high Council Tax.

**Table Q6\_1: Comments made about satisfaction with the services provided by Derbyshire Dales District Council - split by satisfaction with how Council runs things**

Comment	% among those satisfied with how Council runs things (n=554)	% among those <u>not</u> satisfied with how Council runs things (n=221)
Poor bin collection / service requests [e.g. new bin provision]	13%	23%
Dirty / untidy streets / dog fouling / litter	10%	19%
Poor road / foot path maintenance / potholes	8%	18%
Improve communication / speed of reply / listening to residents	8%	15%
Poor planning or consultation decisions / unsatisfied with planning	5%	19%
Poor / lack of facilities / amenities	5%	9%
Poor traffic management / road works	5%	12%
High council tax / poor value	1%	14%
Unhappy with garden waste being a separate charge / too expensive	5%	5%

In a similar vein, all respondents were also asked for any suggestions they had on how the Council could improve its services for them. Just over half of the respondents (50%) again made a comment of some type, answering in their own words. We have reviewed all comments and coded them to the most common themes. Chart Q7 below lists all comments made by at least 4% of those who answered.

**Chart Q7: Do you have any suggestions as to how we could improve our services for you?**



Source: Marketing Means 2023

Base: All who made a comment (996)

- Some of the suggestions carried over similar topics to those given at Q6. Marginally the most likely theme to be requested was **improvements to roads, paths and pavements and mending potholes** (by 16%). Another road-related theme often mentioned (by 10%) was for issues such as **speeding, traffic management and roadworks to be better dealt with**.
  - Those aged 25-34 were significantly less likely to suggest improvements to roads, paths and pavements and mending potholes than were those aged 75+ (9% vs 21% respectively).
  - Comments on dealing with **speeding, traffic management and roadworks** were significantly more likely to be made by those aged 35-44 (15%) or 75+ (12%) than by those aged 25-34 (4%).
- A popular theme, given by 15%, was for **litter to be reduced** through providing more bins and fining those who litter.
  - This was significantly less likely to be mentioned by those aged 16-24 (6%).

- Several comments related to waste and recycling services. One in 10 (10%) requested **improvements to rubbish collections**, 4% requested **better recycling services**, and 4% suggested that **garden waste should be cheaper or made free of charge**.
  - Both better recycling services and cheaper garden waste collections were most likely to be mentioned by those aged 35-44 or 45-54.
- Nearly one in eight of those who answered (13%) requested **improved communications and/or for the Council to listen to residents' views**.
  - Respondents aged 16-24 rarely suggested this (2%) but it was significantly more likely among those aged 45-54 (22%), 55-64 (16%) and 65-74 (15%).
- One in 10 respondents requested **parking improvements**, whether more parking options, or cheaper/free parking.
  - This was especially likely among those aged 35-44 (18%).
- Just under one in 10 (9%) respondents requested **improvement to traffic management, including tackling speeding and reducing the impact of roadworks**.
- Just under 8% highlighted a **lack of facilities/amenities and/or their poor quality**.
  - This was especially likely among those aged 35-44 (14%), 45-54 (11%) and 55-64 (11%).
- Slightly fewer (6%) requested **fewer new houses to be built**, some noting that local infrastructure was not sufficient for new housing developments.
- A smaller proportion (4%) suggested that the Council **bring more services in house and stop outsourcing**.
  - This was significantly more likely to be suggested by those aged 35-44 (15% doing so).
- Requests **for more things for young people and families to do** were also mentioned by 4% overall.
  - This was significantly more likely among the youngest age groups, by 13% of those aged 16-24 and 11% of those aged 25-34.

Again, we can look at how the suggestions break down by respondents' overall satisfaction with how the Council runs things. Table Q7\_1 below shows once again that most of the most frequent specific issues raised were more likely to be made by those dissatisfied with how the Council runs things, especially so for comments relating to house building/planning developments and bringing more services back in-house.

**Table Q7\_1: Suggestions for how the Council could improve its services for respondents - split by satisfaction with how Council runs things**

Comment	% among those satisfied with how Council runs things (n=526)	% among those <u>not</u> satisfied with how Council runs things (n=234)
Improve road / path or pavements / potholes	15%	16%
Less litter / cleaner streets / litter fines / more public use bins	14%	17%
Improve communication / information / listening to resident's views	12%	16%
Bin / rubbish collections	8%	15%
Better / cheaper / free parking	11%	13%
Better traffic management / dealing with road works	8%	13%
More / better / accessible facilities & amenities	7%	8%
Stop building houses / better house planning / infrastructure can't support new housing <sup>3</sup>	4%	12%
Recycling services	5%	5%
More buses / bus services / improve public transport	6%	2%
Bring services in-house / stop outsourcing / lose Serco / more accountability	2%	13%
Garden / green waste should be free / cheaper	5%	4%
More things for young people / families to do	4%	3%

<sup>3</sup> Some of the comments made in relation to this theme were "Fewer planning applications should be granted for houses in Matlock as the infrastructure can't support them", "Please help prevent the relentless urbanisation of our rural villages.", "Any planning application for housing should include public services to serve the increased population of the area.", "Surely you should be ensuring that there are sufficient funds to provide more schools and medical centres per capita prior to approving additional houses.", "A quick response (from the council) to concerns about builders' lack of consideration for locals and the environment would prevent harm being done and discourage future negative actions."

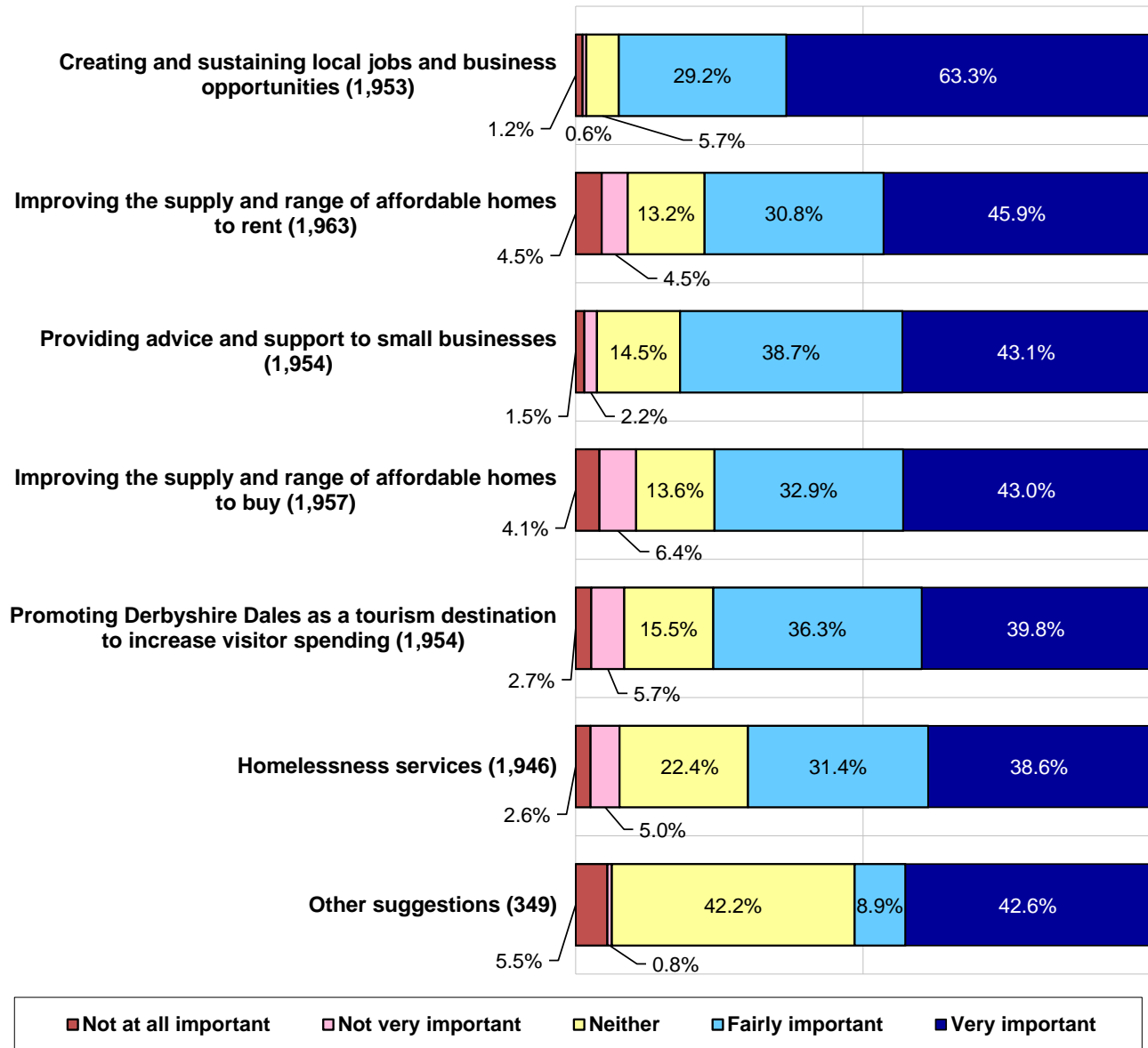
## Section 4: Opinions of Council Services

In this section, we present the results of questions intended to better understand residents’ opinions of Council services. These are divided into sections relating to how well those services support three different objectives: (i) providing permanent jobs and homes for local people, (ii) keeping the District a clean, safe, and healthy environment, and (iii) providing community services and facilities in the Derbyshire Dales.

### 4.1 Opinions of services to support the provision of permanent jobs and homes for local people

We look first at how important respondents felt that each of six services were in supporting the provision of permanent jobs and homes for local people, as summarised in Chart Q8a below.

**Chart Q8a How important are the following services in supporting the provision of permanent jobs and homes for local people?**



Source: Marketing Means 2023

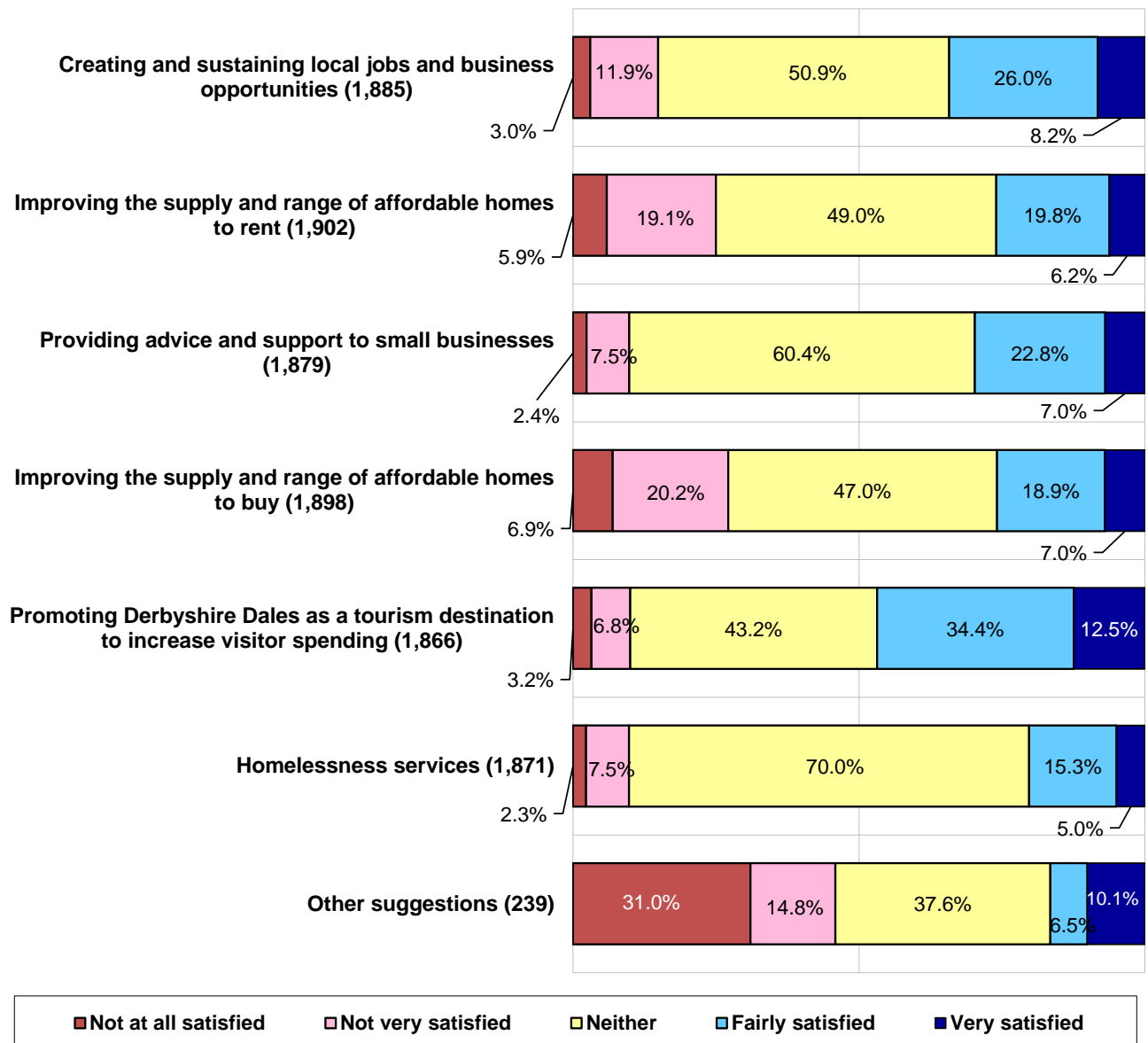
Base: All who gave a valid response

- For each of the six specific services listed, at least 70% of those who expressed an opinion felt that the services would be important in providing permanent jobs and home for local people.
- The highest ratings for importance were given to **creating and sustaining local jobs and business opportunities**, which 93% rated important, and nearly two-thirds of respondents (63%) went so far as to rate very important.
  - Females were more likely than males to rate this aspect as very important (67% vs 60% respectively).
- **Providing advice and support to small businesses** was rated as important by 82% overall, and very important by 43%.
  - Females were again more likely than males to rate this aspect as very important (47% vs 39% respectively), and well as to rate it as important overall (84% vs 80% of males).
  - Residents with a disability were significantly more likely to rate providing advice and support to small businesses as important (87% vs 83% of others).
- Both **improving the supply and range of affordable homes to rent** and **improving the supply and range of affordable homes to buy**, were rated as important by just over three-quarters of the sample (77% for home to rent and 76% for homes to buy). Slightly more rated affordable homes to rent as very important (46%) than did so for affordable homes to buy (43%).
  - For affordable homes to rent, while 80% or more of respondents aged 16-24, 65-74 and 75+ rated this as important, the proportions were significantly lower among 25-34s (71%), 35-44s (68%) and 45-54s (73%). For affordable homes to buy, only those aged 16-24 were significantly more likely than other to view this as important (87% doing so, vs 71% to 79% in the other age groups).
  - Females were significantly more likely than males to rate affordable homes to rent and to buy as important (79% vs 74% respectively, the same results for both tenures).
  - Residents with a disability were significantly more likely to rate affordable homes to rent as important (84% vs 76% of others). There was no such significant difference for homes to buy.
- **Promoting Derbyshire Dales as a tourism destination to increase visitor spending** was also rated as important by just over three-quarters of the sample (76%) and with only slightly fewer than for the aspects discussed above rating this as very important (40%). Only 8% felt that this was unimportant in providing permanent jobs and homes for local people.
  - Promoting tourism was significantly more likely to be seen as important among those aged 45-54 (82%) than among those aged 16-24 (70%), 25-34 (72%), or 55-64 (75%). Those aged 45-54 were significantly less likely than any other age group to rate this aspect as unimportant (3% doing so, versus between 7% and 11% in other age groups).
- **Homelessness services** attracted slightly lower ratings for importance than did the other services in regard to providing permanent homes and jobs for local people, but were nevertheless viewed as important by 70% overall, and given the highest rating of very important by 39%. Only 8% felt that these services would not be important in this regard.
  - Females were significantly more likely than males to rate homelessness services as important (77% vs 64% respectively).
  - Residents with a disability were also significantly more likely to rate affordable homes to rent as important (78% vs 69% of others).

- Just over one in six respondents (17%) suggested **other services** in regard to providing permanent jobs and home for local people but opinions of their importance were much more divided between very important (43%) and neither important nor not (42%).

All respondents were also asked how satisfied they felt with the same list of Council services in supporting the provision of permanent jobs and homes for local people, as summarised in Chart Q8b below.

**Chart Q8b And how satisfied or dissatisfied are you with these services in supporting the provision of permanent jobs and homes for local people?**



Source: Marketing Means 2023

Base: All who gave a valid response

- For each of the six specific services listed, close to half or more of the respondents gave a neutral rating of neither satisfied nor dissatisfied, which may suggest a lack of knowledge of how well each service is performing towards the goal of providing permanent jobs and homes for local people.

- The service that drew the highest satisfaction rating was **promoting Derbyshire Dales as a tourism destination to increase visitor spending**, with nearly half (47%) satisfied with this service in providing jobs and homes locally. Only 10% were not satisfied.
  - Satisfaction with this service was highest amongst the youngest age groups, with 58% of 16-24s and 51% of 25-34s satisfied.
- Just over a third of respondents (34%) were satisfied with how the Council's efforts in **creating and sustaining local jobs and business opportunities** was helping to provide job and homes locally, while 15% were not satisfied.
  - Satisfaction with this service was highest amongst the youngest age group, with 62% of 16-24s satisfied, compared with no more than 42% of any other age group.
- Both **improving the supply and range of affordable homes to rent** and **improving the supply and range of affordable homes to buy**, drew similar results for satisfaction, with 26% satisfied and 25% dissatisfied with the Council's service in improving the supply and range of affordable home to rent, and 26% satisfied and 27% dissatisfied with the Council's service in improving the supply and range of affordable homes to buy. For both tenures, just under half were neither satisfied nor dissatisfied, but this meant that almost as many were dissatisfied as were satisfied with the service for providing homes to rent, and slightly more were dissatisfied in the case of homes to buy.
  - Satisfaction with these services was highest amongst the youngest age group, with 38% of 16-24s satisfied with the service both for homes to rent and homes to buy, but in each case, satisfaction was lowest among 35-44s at 19% and 18% respectively.
  - For the Council's service regarding affordable homes to rent, people with a disability were significantly more likely than others to be satisfied (33% vs 25% respectively).
- **Providing advice and support to small businesses** was rated as important by 30% overall, and only 10% were dissatisfied.
  - Satisfaction with these services was again highest in the youngest age group, with 47% of 16-24s satisfied with the business advice and support service, while only 26% of 35-44s, 24% of 45-54s and 25% of 55-64s were satisfied.
  - Respondents from non-white ethnic backgrounds (albeit only among 25 who answered this questions) were significantly more likely than other to be very satisfied with this service (31% vs 6% respectively).
- **Homelessness services** drew the highest proportions of neither satisfied nor dissatisfied responses of any of the services listed, with 70% answering in that way, while 20% overall were satisfied and 10% dissatisfied.
  - Satisfaction with these services was again highest in the youngest age group, with 36% of 16-24s satisfied, though this was largely due to a much higher proportion of the middle age groups being neither satisfied nor dissatisfied (50% among 16-24s but rising to 78% among 45-54s).
  - People with a disability were significantly more likely than others to be dissatisfied with the Council's homelessness services (13% vs 9% respectively).
- Those who suggested **other services** were the most likely to have been dissatisfied, with 46% dissatisfied and 17% satisfied with the Council's performance on the service suggested in regard to providing permanent jobs and home for local people.

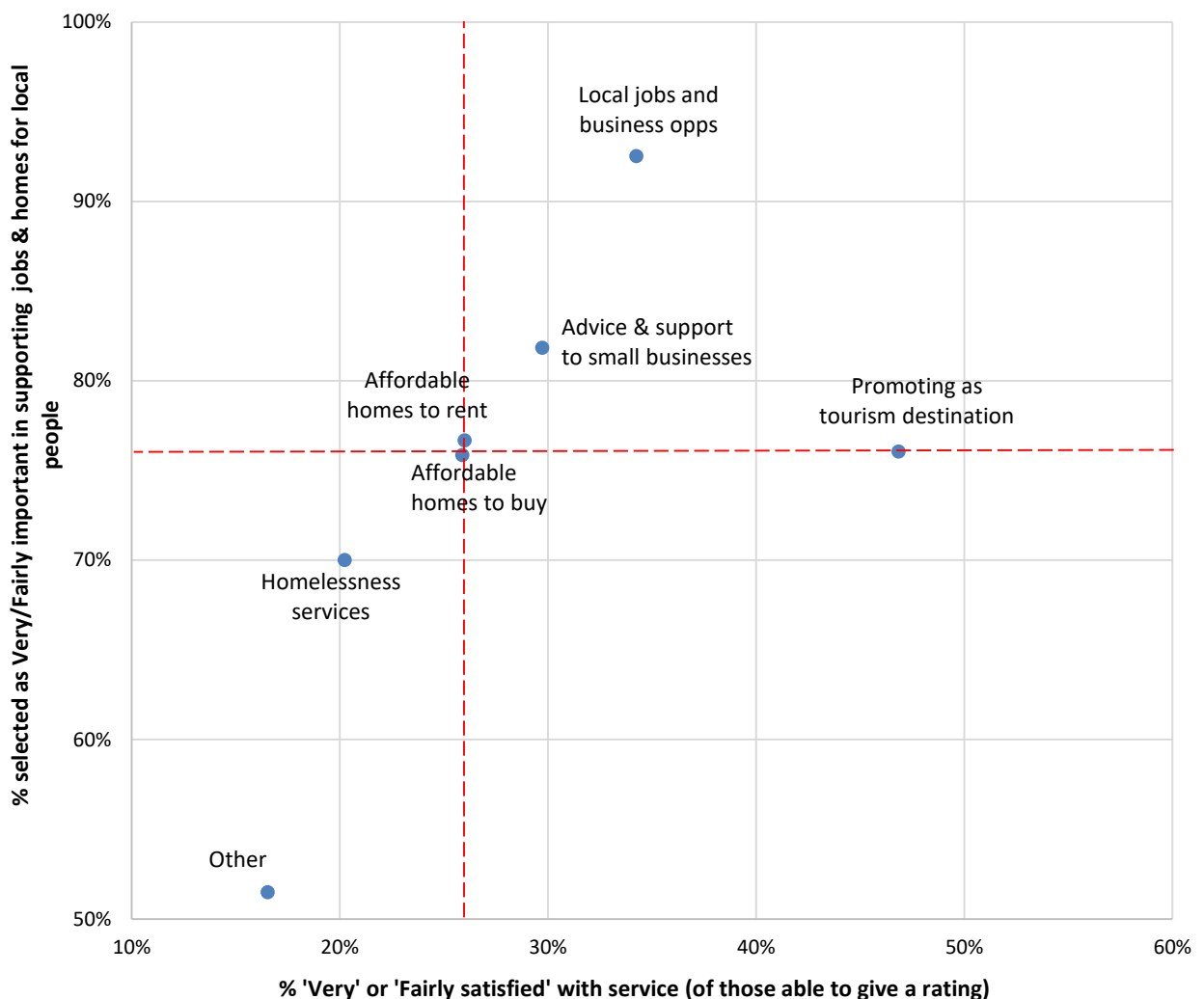


We can also plot the results for Importance and Satisfaction against one another to assess how different services may present themselves as priorities for the Council to review in terms of providing permanent jobs and homes for local people.

Chart Q8ab below therefore shows Importance on the vertical scale and Satisfaction on the horizontal scale. In each case the results give the proportions who rated each service as Very or Fairly important or their opinion of the service as Very or Fairly satisfied.

The red lines show the median values for Importance and Satisfaction to give a reference point for the range of answers across the six specific services and one ‘Other’ that were listed.

**Chart Q8ab. Importance vs Satisfaction of services in supporting the provision of permanent jobs and homes for local people**



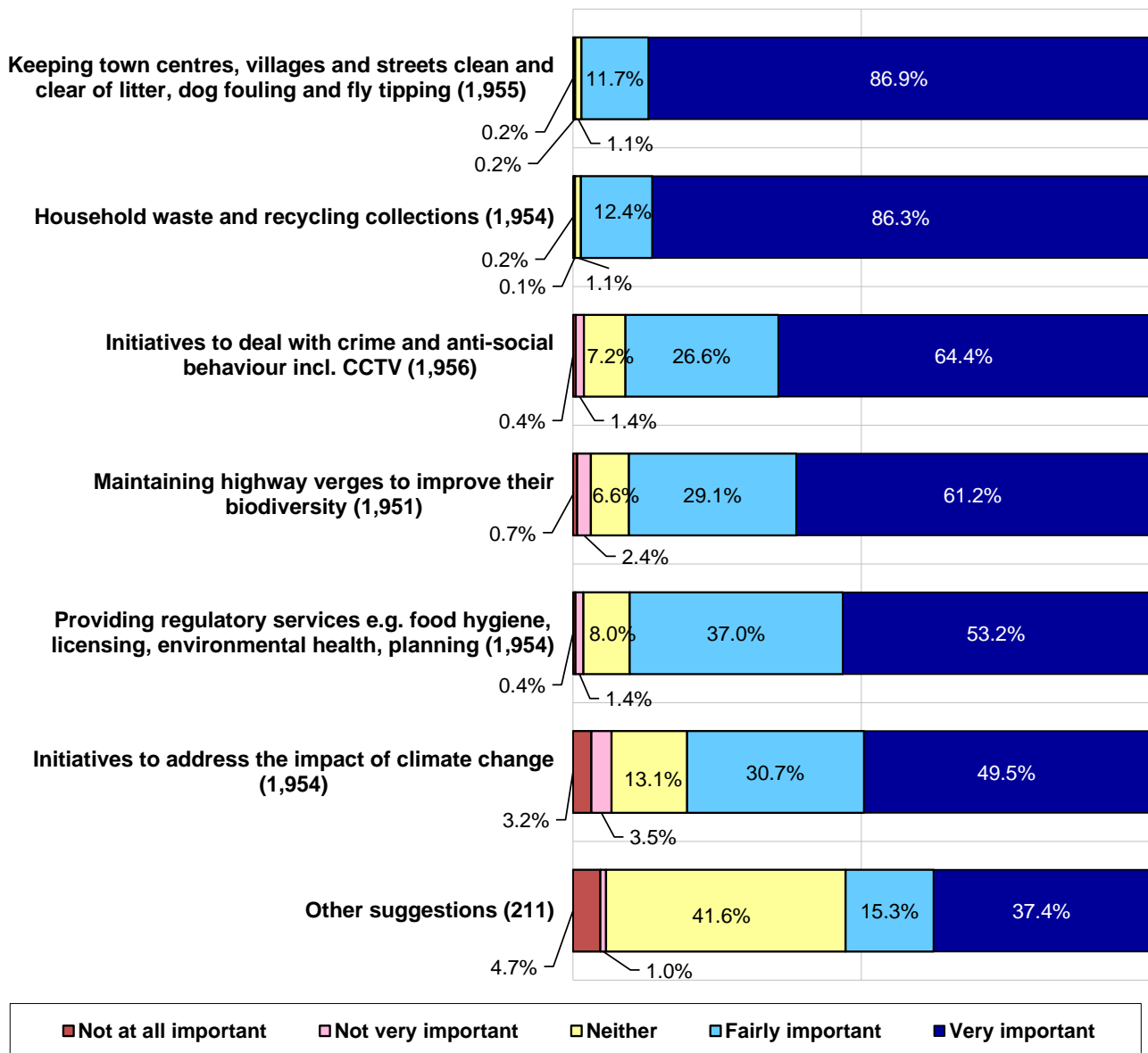
- Given the scales used, the priority services for the Council should be those of highest importance to residents but lowest current satisfaction, i.e. in the top left hand quadrant of the chart.
- The only two services that fall close to that quadrant, though only at the edges, are **Improving the supply and range of affordable homes to rent** and **Improving the supply and range of affordable homes to buy**. Both are very close to the lower right of the quadrant, where importance is lower and satisfaction higher, so there may be no urgent need to address these. Without knowing the direction of travel, however, it could be the case that both of those housing services as well as several others shown

in the chart could be declining in satisfaction and quite possibly increasing in importance during a cost of living crisis, resulting in their moving fully into the quadrant of concern for the Council.

## 4.2 Opinions of services to support keeping the District a clean, safe, and healthy environment

Respondents were asked to consider the next set of Council services in terms of how they support keeping the District a clean, safe, and healthy environment.

**Chart Q9a How important are the following services to support keeping the District a clean, safe, and healthy environment?**



Source: Marketing Means 2023

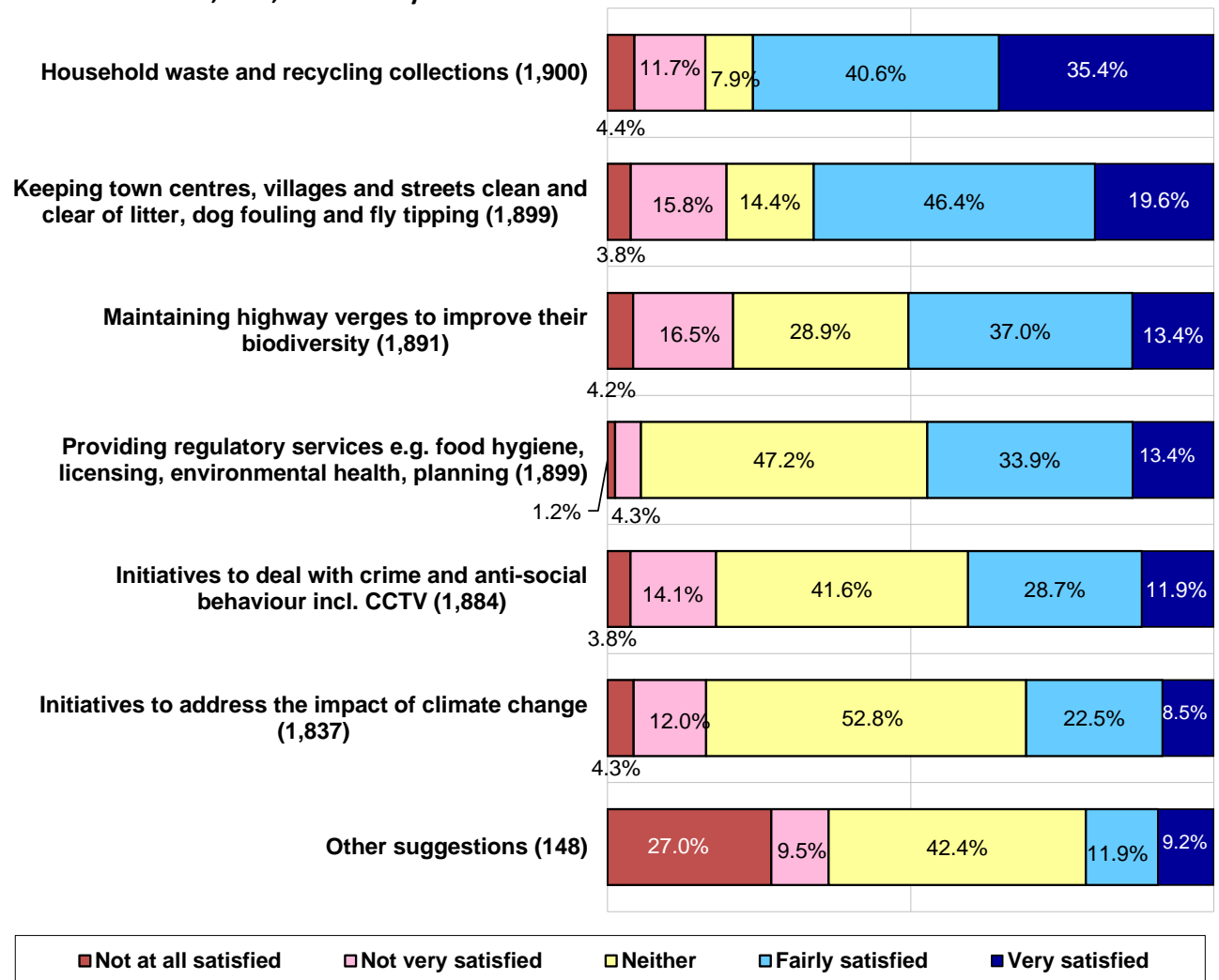
Base: All who gave a valid response

- All of the six of the specific services listed were considered Very important in keeping the District a clean, safe, and healthy environment by at least half of the sample, and as 'important' (i.e. Very or Fairly important) by 81% or more.
- Two services were clearly considered most important of all. The first, **keeping town centres, villages, and streets clean and clear of litter, dog fouling and fly tipping**, was viewed as important by 99% and very important by 87%.
  - The youngest age groups were least likely to consider this service as very important, with only 78% of both 16-24s and 25-34s doing so, compared with 92% of those aged 65-74 and 93% of those aged 75+.
  - Females were significantly more likely than males to consider this very important (89% vs 85% respectively).
- The other service considered to be so important by so many respondents was household waste & recycling collections. This was viewed by 99% of respondents as important in keeping the District a clean, safe, and healthy environment, and as very important by 86%.
  - The youngest age groups were least likely to consider this service as very important in this regard, with only 66% of 16-24s and 73% of 25-34s doing so, compared with 93% of those aged 65-74 and 95% of those aged 75+.
  - Females were significantly more likely than males to consider this very important (88% vs 84% respectively).
- **Initiatives to deal with crime and anti-social behaviour** were rated as important by 91%, and as very important by 64%.
  - Differences between age groups were minor, but this service was rated as important by 87% or 88% of 16-24s, 25-34s and 35-44s each rated this service as important, significantly less than the 94% of 65-74s and 95% of those aged 75+ who did the same.
  - Females were significantly more likely than males to consider this as important (94% vs 88% respectively).
  - People with a disability were also significantly more likely than others to consider this as important (94% vs 90% respectively).
- **Maintaining highway verges to improve their biodiversity** was rated as important by 90%, and as very important by 54%.
  - Those aged 16-24 were the least likely to rate this service as very important (49%) while those aged 75+ were significantly more likely (68%).
  - Females were significantly more likely than males to consider this service as important (93% vs 88% respectively), with an even greater disparity in the proportions rating it as very important (68% vs 54%).
  - People with a disability were also significantly more likely than others to consider this as very important (68% vs 60% respectively).
- **Providing regulatory services** was rated as important by 90%, and as very important by 53%.
  - Those aged 35-44 were significantly less likely than others to rate this service as important (only 82% doing so compared with 90+% of most other age groups).
  - Females were significantly more likely than males to consider this service as important (93% vs 87% respectively).

- People with a disability were also significantly more likely than others to consider this as very important (63% vs 51% respectively), as well as important overall (95% vs 90%).
- **Initiatives to address the impact of climate change** were rated as important by 80%, somewhat lower than the other specific services listed, and as very important by 50%.
  - Females were significantly more likely than males to consider this service as important (87% vs 74% respectively), as well as very important (57% vs 42%).
  - People with a disability were also significantly more likely than others to consider this as very important (63% vs 51% respectively), as well as important overall (95% vs 90%).
- **Other services suggested by respondents** were rated as important by only 53%, with a much higher proportion than for the other statements rating them as neither important nor not (42%).

All respondents were also asked how satisfied they felt with the same list of Council services in supporting the provision of permanent jobs and homes for local people, as summarised in Chart Q9b below.

**Chart Q9b And how satisfied or dissatisfied are you with these services in supporting keeping the District a clean, safe, and healthy environment?**



Source: Marketing Means 2023

Base: All who gave a valid response

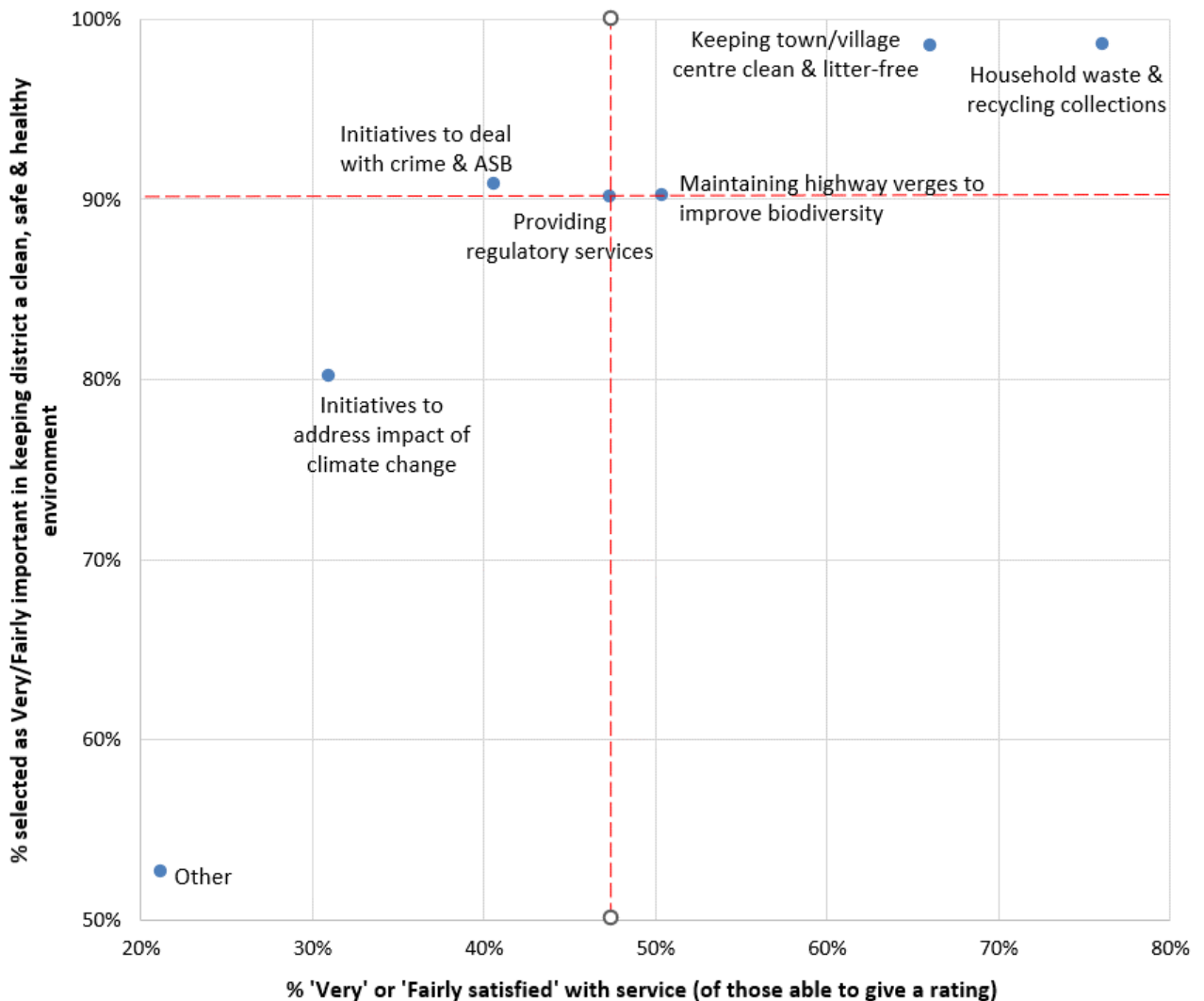
- For only three of the services listed was a majority of respondents satisfied that the service supported keeping the District a clean, safe, and healthy environment. Highest ratings were for **household waste and recycling collections**, for which 76% were satisfied, and 35% very satisfied.
  - The oldest age group was significantly more likely than others to be satisfied, with 92% of those aged 75+ satisfied but no more than 82% of any other age group, and lowest at 64% of 25-34s.
  - Females were significantly more likely than males to consider this very important (39% vs 32% respectively) as well as important overall (79% vs 74% respectively).
  - People with a disability were also significantly more likely than others to be very satisfied important (42% vs 34% respectively).
- **Keeping town centres, villages, and streets clean and clear of litter, dog fouling and fly tipping** also drew satisfied ratings from most respondents, 66% overall with 20% very satisfied.
  - The youngest and oldest age groups were the most likely to be satisfied with this service (80% of 16-24s and 73% of those aged 75+, but as low as 61% among 45-54s).
  - Females were significantly more likely than males to be very satisfied (22% vs 18% respectively).
- Just over half were satisfied with the Council's service for **maintaining highway verges to improve their biodiversity**, with 50% satisfied and 13% very satisfied.
  - Those aged 75+ were significantly more likely to be satisfied with this service (62% satisfied vs only 43% of 45-54s and 45% of 55-64s).
  - Females were significantly more likely than males to be satisfied (55% vs 26% respectively).
  - People with a disability were also significantly more likely than others to be satisfied (68% vs 49% respectively).
- Just less than half were satisfied with **providing regulatory services**, with 47% satisfied and 13% very satisfied.
  - The youngest and oldest age groups were the most likely to be satisfied with this service (69% of 16-24s and 59% of those aged 75+, but as low as 40% among 45-54s).
  - People with a disability were significantly more likely than others to be satisfied with this service (58% vs 46% respectively).
- **Initiatives to deal with crime and anti-social behaviour** drew satisfied ratings from 41%, with 12% very satisfied.
  - The youngest and oldest age groups were the most likely to be satisfied with this service (56% of 16-24s and 54% of those aged 75+, but as low as 31% among 45-54s).
  - Females were significantly more likely than males to be satisfied (46% vs 34% respectively).
  - People with a disability were also significantly more likely than others to be satisfied with this service (49% vs 40% respectively).
- **Initiatives to address the impact of climate change** drew the lowest satisfaction ratings of the six specific services named, with 31% satisfied overall and 8% very satisfied.
  - The youngest and oldest age groups were the most likely to be satisfied with these initiatives (48% of 16-24s and 46% of those aged 75+, but as low as 20% among 45-54s).
  - Females were significantly more likely than males to be satisfied with this service (35% vs 27% respectively).

- People with a disability were also significantly more likely than others to be satisfied with this service (43% vs 29% respectively).
- **Other services suggested by respondents** drew lower levels of satisfaction than the other named services (21% satisfied, and 9% very satisfied), and these were outnumbered by those not satisfied (36%).

We can also plot the results for Importance and Satisfaction against one another to assess how the different services may present themselves as priorities for the Council to review in terms of supporting keeping the District a clean, safe, and healthy environment.

In Chart Q9ab below, we have again plotted Importance on the vertical scale (all who rated each service as Very or Fairly important) and Satisfaction on the horizontal scale (all who were Very or Fairly satisfied). We use the red lines to show the median values for Importance and Satisfaction.

**Chart Q9ab Importance vs Satisfaction of services supporting keeping the District a clean, safe, and healthy environment**



- Once again, the priority services for the Council should be those of highest importance to residents but lowest current satisfaction, i.e. in the top left hand quadrant of the chart. The only service that falls fully into that quadrant is **Initiatives to deal with crime and anti-social behaviour**, while **Providing**

**regulatory services** is at the lower right corner of the quadrant on the basis of a somewhat higher satisfaction rating than for initiatives to deal with crime and ASB.

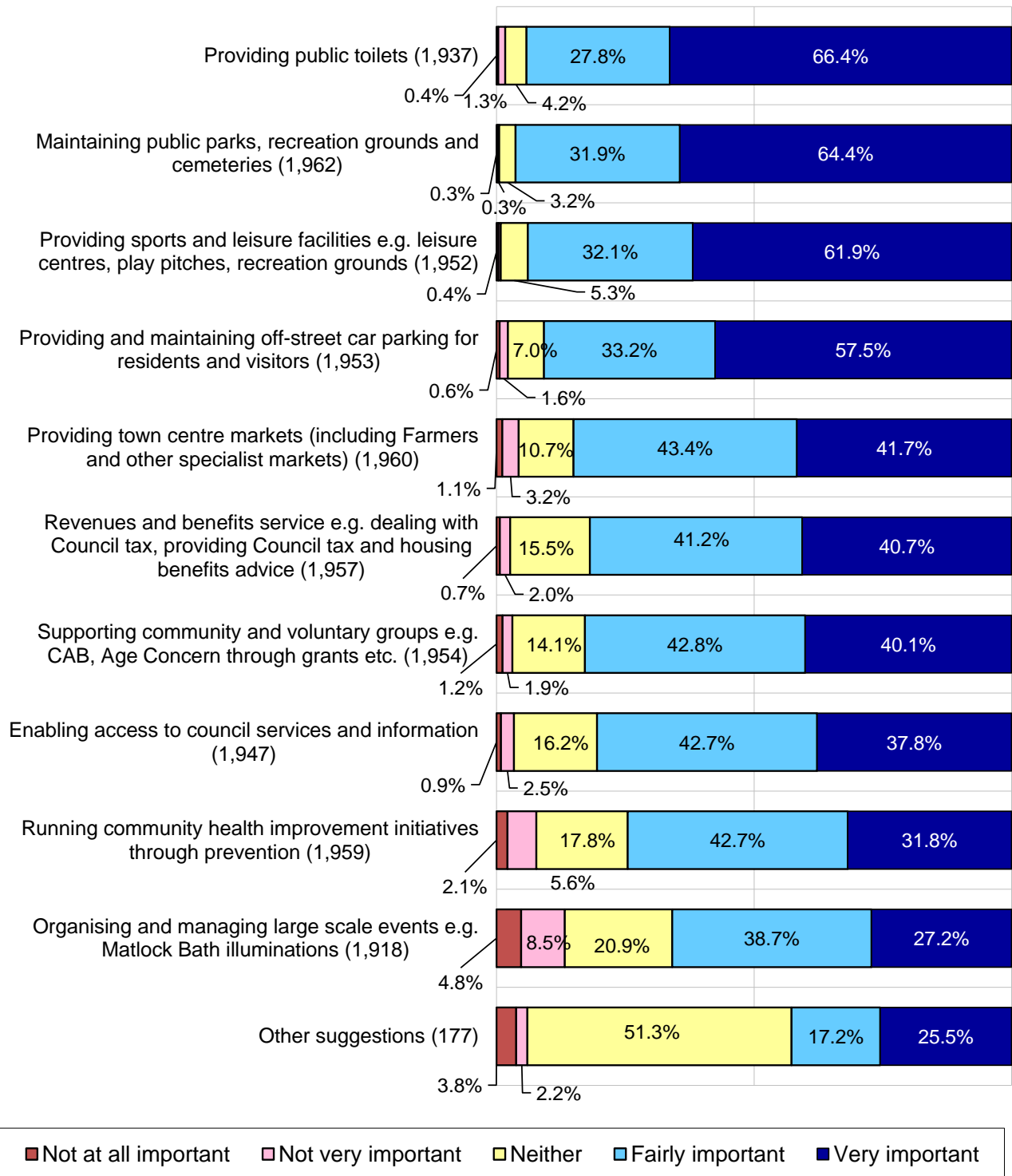
- It should also be noted that although Initiatives to address the impact of climate change have too low a level of importance to be in the top quadrant, the proportion of >80% rating the service as important coupled with a relatively lower level of satisfaction is still substantial to enough to merit attention along with the other two services noted above.

### 4.3 Opinions of community services and facilities in the Derbyshire Dales

Respondents were asked to consider the next set of 10 Council services in terms of being community services and facilities in the Derbyshire Dales. The results for their perceived importance to respondents are summarised in Chart Q10a on the next page.

- All 10 specific aspects named were considered important as community services/facilities by a clear majority of respondents, of two-thirds or more.
- The most important of all was **providing public toilets**, which 94% rated important, and two-thirds (66%) rated very important.
  - The proportion rating public toilets as important increased steadily with age, from 86% of 16-24s to 98% of those aged 75+.
  - Females were more likely than males to rate this aspect as very important (72% vs 60% respectively).
  - Residents with a disability were significantly more likely to rate public toilets as very important (78% vs 64% of others).
- **Maintaining public parks, recreation grounds and cemeteries** was rated as important by 96% overall, and very important by 64%.
  - Those aged 16-24 were significantly less likely to rate this as important (90% overall, compared with 96% in other age groups).
  - Females were more likely than males to rate this as very important (78% vs 58%).
- **Providing sports and leisure facilities** was rated as important by 94% and by 62% as very important.
  - Females were significantly more likely than males to rate sports & leisure facilities as very important (69% vs 55% respectively).
- **Providing and maintaining off-street car parking** was rated as important by 91% overall, and very important by 57%.
  - Those aged 75+ were significantly less likely than any other age group to rate this as very important (69% of those aged 75+ vs no more than 59% of any other age group).
  - Females were more likely than males to rate this as very important (65% vs 50% respectively).
  - Residents with a disability were significantly more likely to rate this service as very important (68% vs 56% of others).

Chart Q10.a How important are the following community services and facilities in the Derbyshire Dales?



Source: Marketing Means

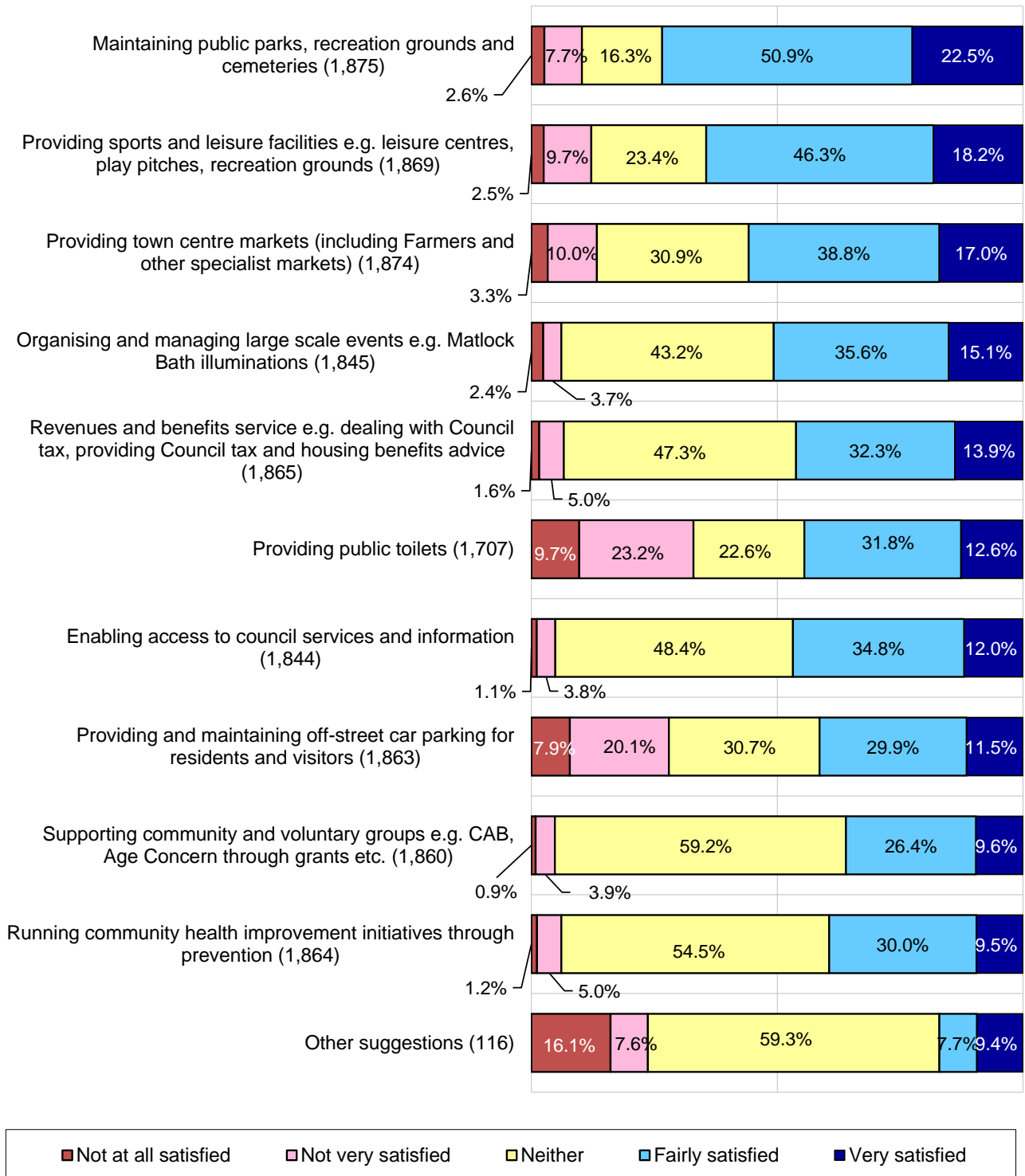
- Providing town centres markets** was rated as important by 85% overall, and very important by 42%.
  - Females were more likely than males to rate this as very important (48% vs 34% respectively).
  - Residents with a disability were significantly more likely to rate this service as important (89% vs 84% of others).



- The **revenues and benefits service** was rated as important by 82% overall, and very important by 41%.
  - Those aged 75+ were significantly more likely than most other age groups to rate this as important (89% of those aged 75+ vs no more than 59% of any other age group).
  - Females were more likely than males to rate this as very important (49% vs 33% respectively).
  - Residents with a disability were significantly more likely to rate this service as important (92% vs 81% of others).
- **Supporting community and voluntary groups** was considered important by 80% and as very important by 38%.
  - Those aged 75+ were significantly more likely than most other age groups to rate this as very important (54% of those aged 75+ vs no more than 41% of any other age group).
  - Females were significantly more likely than males to rate this support service as important (88% vs 79% respectively).
  - Residents with a disability were also significantly more likely to rate this support service as important (90% vs 82% of others).
- **Enabling access to council services and information** was considered important by 80% and as very important by 38%.
  - Females were significantly more likely than males to rate this service as important (81% vs 69% respectively).
  - Residents with a disability were also significantly more likely to rate this service as important (82% vs 74% of others).
- **Running community health improvement initiatives** was considered important by 75% and as very important by 32%.
  - Females were significantly more likely than males to rate this service as important (81% vs 69% respectively).
  - Residents with a disability were also significantly more likely to rate this service as important (82% vs 74% of others).
- **Organising and managing large scale events** was considered important by 66% and as very important by 27%, the lowest for any of the 10 specific services set out in the questionnaire.
  - The youngest age groups 16-24 and 25-34 were significantly more likely than older age groups to rate this as very important (39% of 16-24s and 44% of 25-34s vs no more than 28% of any older age group).
  - Females were significantly more likely than males to rate this service as important (72% vs 60% respectively).
  - Residents with a disability were also significantly more likely to rate this service as important (72% vs 65% of others).
- Other suggested services drew lower proportions rating them as important (43%, with 26% rating their suggestion as very important) and rather more rating it as neither important nor not (51%).

All respondents were also asked how satisfied they felt with the same list of 10 community services and facilities in the Derbyshire Dales, as summarised in Chart Q10b below.

**Q10b. And how satisfied or dissatisfied are you with these community services and facilities in the Derbyshire Dales?**



Source: Marketing Means

- Only four of the 10 specific services were rated as satisfied by the majority of respondents. Highest satisfaction ratings were for **Maintaining public parks, recreation grounds and cemeteries** with 73% satisfied overall and 23% very satisfied.
  - Females were more likely than males to be satisfied with this service (25% vs 20%).
  - Residents with a disability were significantly more likely than others to be satisfied with public toilets as (78% vs 64% of others).
- **Providing sports and leisure facilities** drew a satisfied rating from 64%, with 18% very satisfied.
  - The highest proportions satisfied were from 16-24s (81%) and those aged 75+ (74% satisfied) while no more than 64% of any other age group were satisfied.
  - Females were significantly more likely than males to be satisfied with the sports & leisure facilities (63% vs 49% respectively).
- Just over half (56%) were satisfied with the Council's **provision of town centre markets**, with 17% very satisfied.
  - Satisfaction was significantly higher among both the youngest and oldest age groups, with 71% of 16-24s satisfied and 69% of those aged 75+. For no other age groups did the proportion satisfied exceed 54%.
  - Females were significantly more likely than males to be satisfied with the markets (48% vs 34% respectively).
  - Residents with a disability were significantly more likely to be very satisfied (27% vs 16% of others).
- Just over half (51%) were satisfied with the Council's **organising and managing large scale events**, while 15% were very satisfied.
  - The youngest age group, 16-24s, were significantly more likely than older age groups to be satisfied (71% of 16-24s vs no more than 54% of any older age group).
  - Females were significantly more likely than males to be very satisfied (18% vs 12% respectively).
- Just under half (46%) were satisfied with the **revenues and benefits service** while 14% were very satisfied.
  - Satisfaction was significantly higher among both the youngest and oldest age groups, with 57% of 16-24s satisfied and 60% of those aged 75+. For no other age groups did the proportion satisfied exceed 49%.
  - Females were more likely than males feel very satisfied with this service (17% vs 11% respectively).
  - Residents with a disability were significantly more likely to feel satisfied with this service (56% vs 45% of others).
- The proportion satisfied with the Council's **providing public toilets**, was 44%, with 13% rating themselves as very satisfied.
  - Satisfaction with public toilets was significantly higher among both the youngest and oldest age groups, with 71% of 16-24s satisfied and 56% of those aged 75+. For no other age groups did the proportion satisfied exceed 43%.

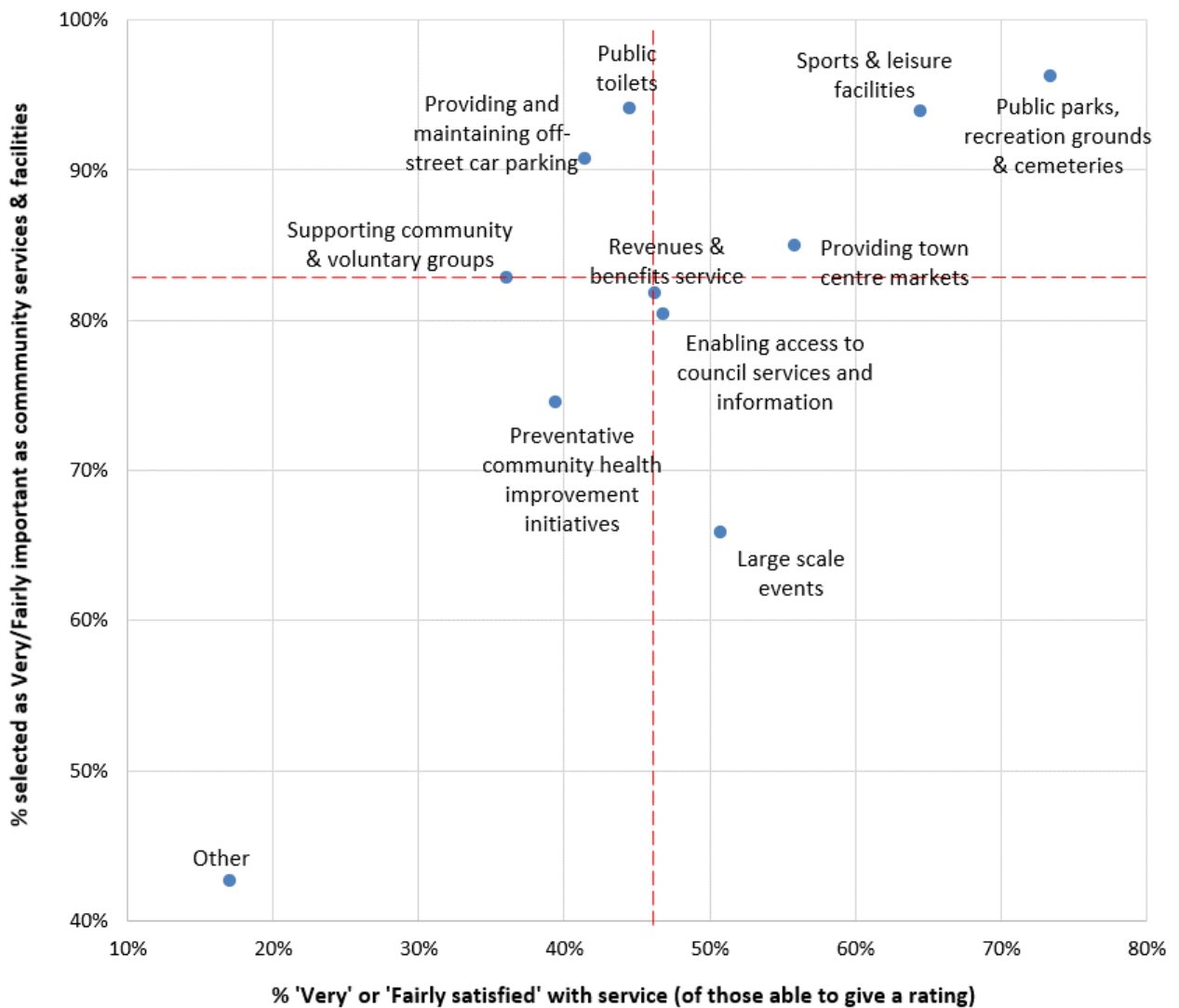
- Females were more likely than males to feel satisfied with this service (49% vs 41% respectively).
- Residents with a disability were significantly more likely to feel very satisfied with public toilets (21% vs 11% of others).
- Just under half (47%) were satisfied with the Council's **enabling access to council services and information** while 12% were very satisfied.
  - The oldest age group was significantly more likely than others to be satisfied with this service, with 64% of those aged 75+ satisfied but no more than 53% of any other age group.
  - Females were significantly more likely than males to feel satisfied with this service (51% vs 43% respectively).
  - Residents with a disability were also significantly more likely to feel satisfied with this service (60% vs 45% of others).
- **Providing and maintaining off-street car parking** drew a satisfied rating from 41%, with 11% very satisfied with the Council's service.
  - Satisfaction with off-street parking was significantly higher among both the youngest and oldest age groups, with 20% of 16-24s and 22% of those aged 75+ very satisfied, but no more than 11% of any other age group.
  - Females were significantly more likely than males to feel satisfied with this service (45% vs 38% respectively).
  - Residents with a disability were also significantly more likely than others to feel very satisfied with this service (18% vs 11% respectively).
- Just over one-third (36%) were satisfied with the Council's work on **supporting community and voluntary groups** and 10% were very satisfied.
  - Satisfaction with this service was significantly higher among both the youngest and oldest age groups, with 45% of 16-24s and 51% of those aged 75+ satisfied, but no more than 40% of any other age group.
  - Females were significantly more likely than males to feel satisfied with this service (40% vs 32% respectively).
  - Residents with a disability were also significantly more likely than others to feel satisfied with this service (45% vs 35% respectively).
- For **running community health improvement initiatives**, 39% were satisfied with the Council's work, and 9% very satisfied.
  - Satisfaction with this service was significantly higher among both the youngest and oldest age groups, with 52% of both 16-24s and those aged 75+ satisfied, but no more than 41% of any other age group.
  - Females were significantly more likely than males to feel satisfied with this service (44% vs 36% respectively).
  - Residents with a disability were also significantly more likely to feel satisfied with this service (51% vs 38% of others).
- **Other suggested services** drew a lower proportion of satisfied respondents, only 17% overall, outnumbered by the 24% who were not satisfied. Far more, 59%, were neither satisfied nor not.

In Chart Q10ab below, we have plotted the results for Importance and Satisfaction against one another to assess how different community services and facilities in the Derbyshire Dales may present themselves as priorities for the Council to review.

Once again, we show Importance on the vertical scale and Satisfaction on the horizontal scale. In each case the results give the proportions who rated each service as Very or Fairly important or their opinion of the service as Very or Fairly satisfied.

The red lines show the median values for Importance and Satisfaction to give a reference point for the range of answers across the 10 specific services and one other that were listed.

**Chart Q10ab Importance vs Satisfaction of these community services and facilities in the Derbyshire Dales?**



- The priority services for the Council should be those of highest importance to residents but lowest current satisfaction, i.e. in the top left hand quadrant of the chart. The three services that fall into that quadrant are **Providing and maintaining off-street car parking for residents and visitors, Public toilets,** and (only fractionally in regard to importance) **Supporting community and voluntary groups.**

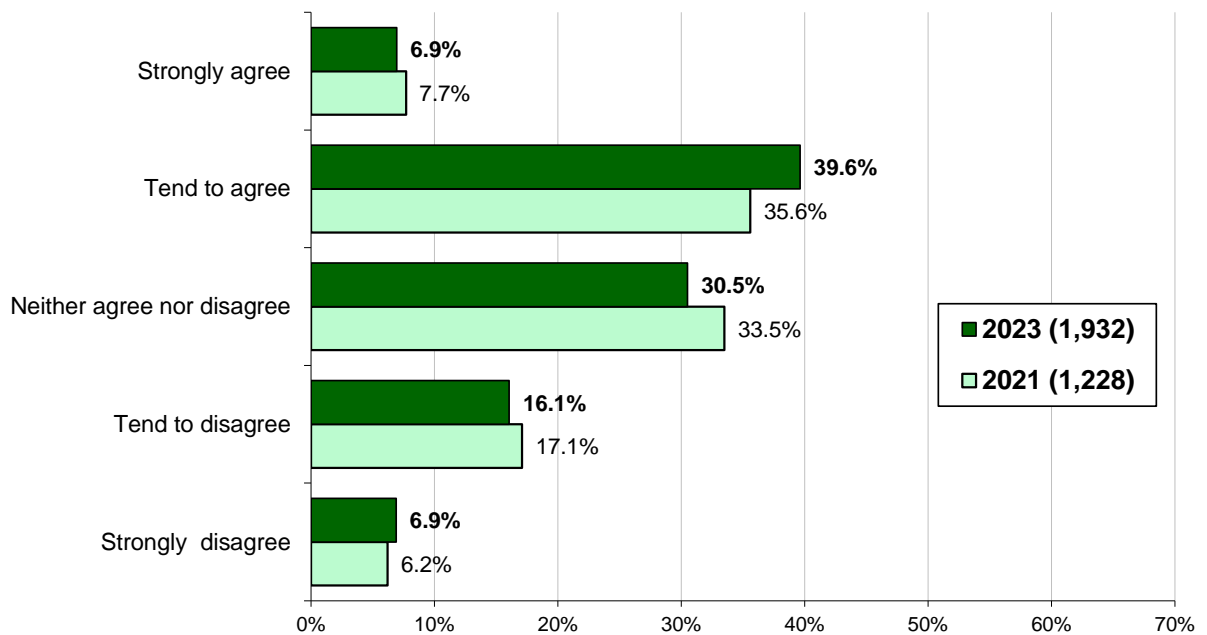
## Section 5: Budgets

In this section we present residents' views on some of the budgeting choices that the Council has to make, as well as assessing their perceptions of the value for money that the Council's services represent.

### 5.1 Value for money provided by Derbyshire Dales District Council

- Overall, 47% agreed that Derbyshire Dales District Council provides value for money with a confidence interval of +/-2.2% at the 95% level. Just under a quarter, 23%, disagreed with this.
- The proportion agreeing that the Council offers value for money is slightly higher than the 43% recorded in 2021 but not significantly so, while the proportion disagreeing is very similar to the 2021 results.

**Chart Q11. To what extent do you agree or disagree that Derbyshire Dales District Council provides value for money?**



Source: Marketing Means 2023

Base: All who gave a valid response

#### Comparison with recent LGA survey results

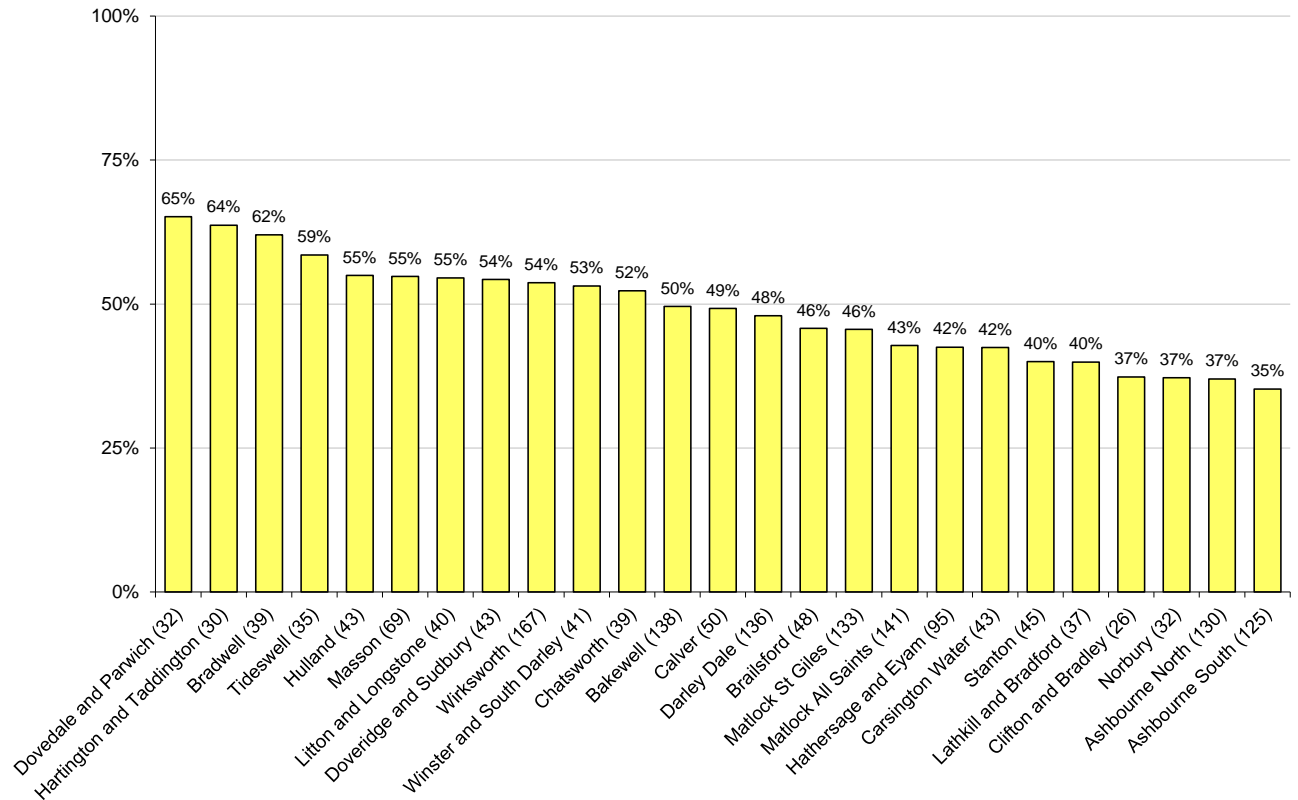
The February 2023 LGA survey results (base size=1,001) showed 47% feeling that their local council offered value for money, while 24% disagreeing. Both are very similar to Derbyshire Dales residents' views in this survey [46% and 23% respectively].

#### Differences

- Respondents aged 65-74 and 75+ were significantly more likely than others to agree that the Council offers value for money (56% and 61% in the respective age groups agreeing). The level of agreement was lowest of all at 25% of the 25-34 age group. The latter group were also significantly more likely than others to disagree that the Council offers value for money, 39% stating that was the case.

- Males were slightly but significantly more likely than females to disagree that the Council offers value for money (24% vs 21% respectively).
- The percentage of respondents **agreeing** that the Council provides value for money varied across wards (as shown in Chart Q11\_w below) ranging from 65% in Dovedale & Parwich to 37% and 35% in Ashbourne North and South respectively.

**Chart Q11. To what extent do you agree or disagree that Derbyshire Dales District Council provides value for money? (WARD-LEVEL)**



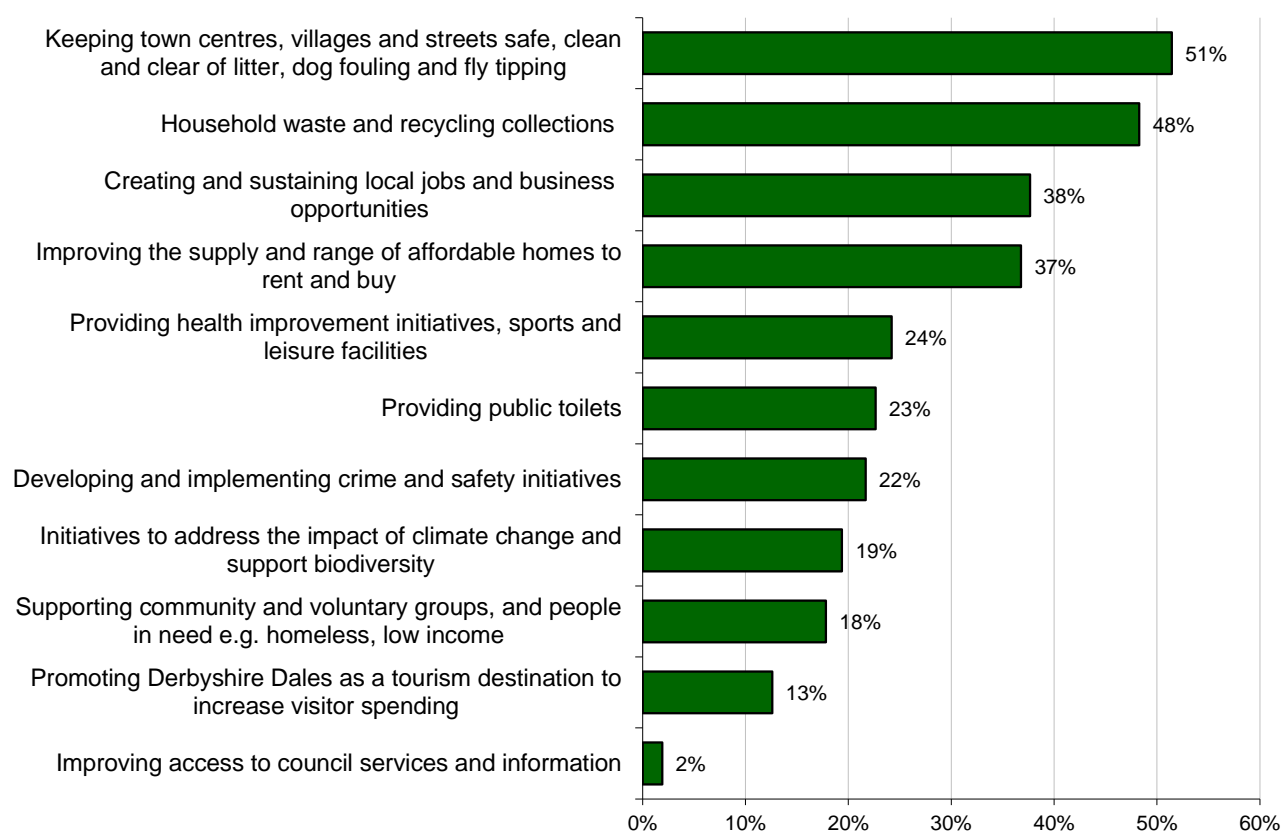
Source: Marketing Means 2023

Base: All who gave a valid response

## 5.2 Most and least important services on which to prioritise spending

Having been told that the Derbyshire Dales District Council element of the Council Tax costs the average household around 60p per day, all respondents were given a list of 11 service areas and asked to select up to three that they would choose as the most important on which to prioritise spending that 60p per day, i.e. to choose three key priorities for the Council to address. Chart Q12a below summarises the responses.

**Chart Q12a. If you had control over the Council's budget, which three of these services would you choose as the most important to prioritise spending your 60p per day on?**



Source: Marketing Means 2023

Base: All who gave a valid response (1,962)

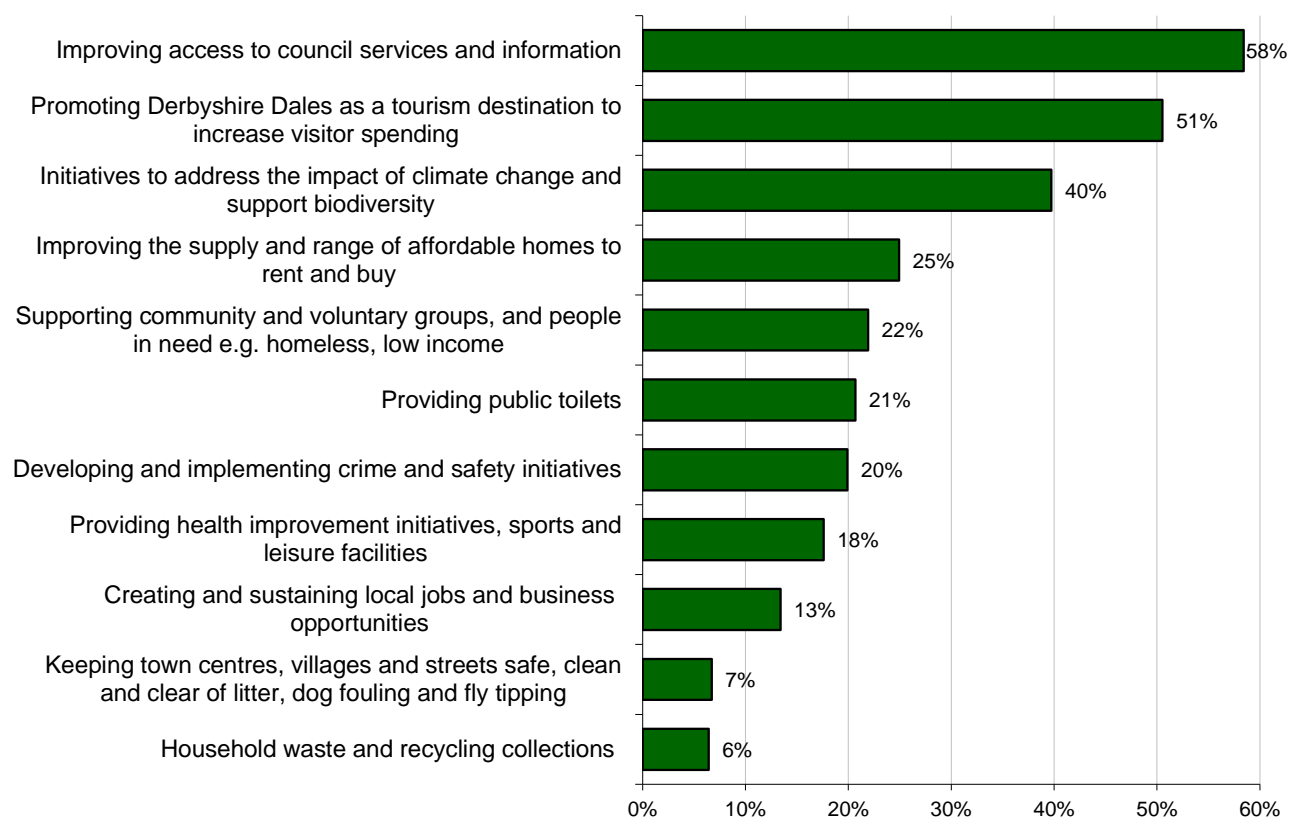
- Only one of the items listed was chosen by the majority of respondents, namely **keeping town centres, villages, and streets safe, clean, and clear of litter, dog fouling and fly tipping**. Just over half (51%) selected this.
  - This was selected by a majority in all age groups other than 16-24s, where it was selected by 38%.
  - It was significantly more likely to be selected by males than females (54% vs 49% respectively).
- The only other option selected by nearly half of all respondents (48%) was **household waste and recycling collections**.
  - This was significantly less likely to be selected by the youngest age groups, by only 22% of 16-24s and 33% of 25-34s (33%).



- **Creating and sustaining local jobs and business opportunities** was selected by well over one third of respondents (38%).
  - This was significantly more likely to be selected by those aged 25-34 (by 47%).
- **Improving the supply and range of affordable homes to rent and buy** was also selected by well over one third of respondents (37%).
  - This was by far the most popular choice of the 16-24 age group, 75% of whom selected it, and by 48% of 25-34s. It was less popular among 35-44s (26%) and 45-54s (28%).
  - This was also the #1 choice of those in non-white ethnic groups (60%, vs 37% of those in white ethnic groups).
- **Providing health improvement initiatives, sports and leisure facilities** was selected by nearly one in four respondents.
  - This was especially popular among 35-44s (chosen by 39%), but less so among those aged 75+ (14%).
  - This also significantly less popular among people with a disability (selected by only 16%, vs 26% of others).
- **Providing public toilets** was selected by 23% overall.
  - This was significantly more likely to be selected among those aged 75+ (by 37%, compared with <20% of those aged under 35).
  - This was also more likely to be selected by people with a disability (by 36%, compared with 21% of others).
- **Developing and implementing crime and safety initiatives** was chosen by just over one in five respondents (22%).
  - This was significantly more likely among those aged 45-54 (by 27%) and aged 75+ (by 26%).
- **Initiatives to address the impact of climate change and support biodiversity** were selected by just under one in five respondents (19%).
  - This was significantly more popular among those aged 35-44 (by 31%).
- **Supporting community and voluntary groups, and people in need e.g. homeless, low income** was selected by 18% overall.
  - This was significantly more likely to be selected by females rather than males (21% vs 15% respectively).
- **Promoting Derbyshire Dales as a tourism destination to increase visitor spending** was selected as a priority by only one in eight respondents (13%).
  - This was significantly more likely to be selected by people without any disability (by 13% vs 8% of those with a disability).
- **Improving access to council services and information** was by far the least likely to be selected as a priority spending area, chosen by only 2%.

To capture the other side of residents' views, all were also asked which of that same list they would consider least important to prioritise spending that 60p per day on, selecting up to three in total. These choices are summarised in Chart Q12b below and are largely the converse of the results as Chart Q12a.

**Chart Q12b. And which three of these services would you choose as the least important to spend your 60p per day on?**



Source: Marketing Means 2023

Base: All who gave a valid response (1,866)

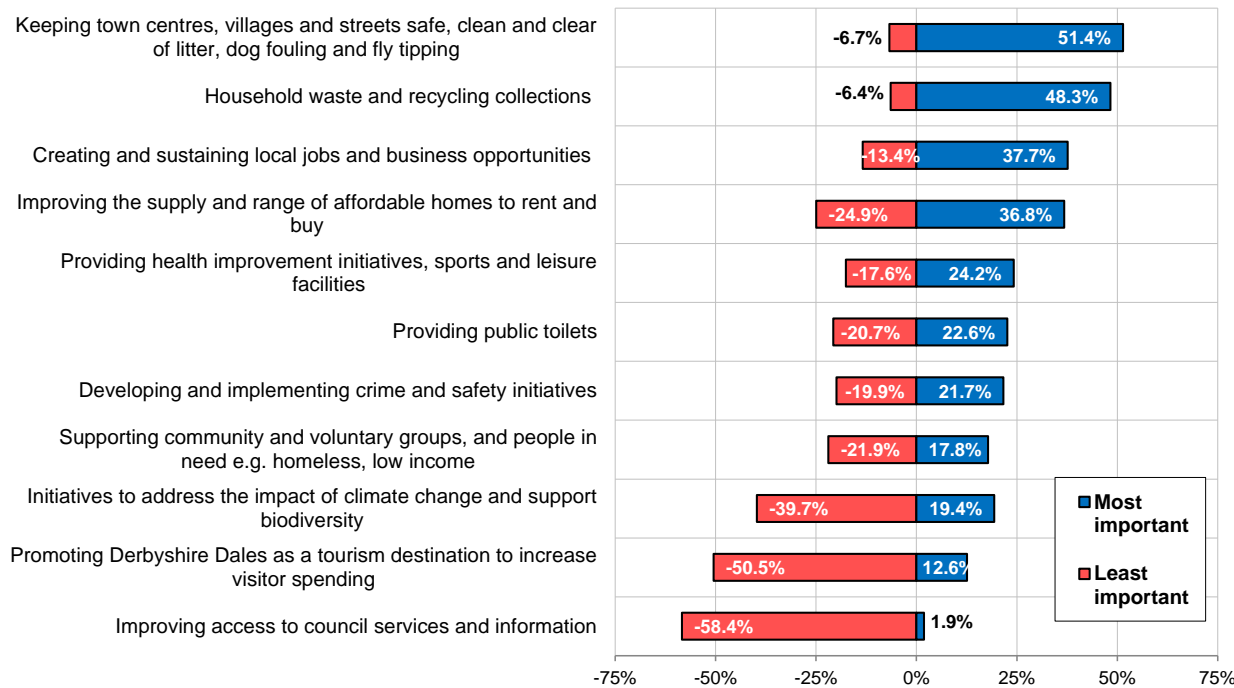
- **Improving access to council services and information** was by far the most likely to be selected as one of the least important spending areas, chosen by nearly three-fifths of all respondents (58%).
  - This was especially likely to be chosen by those aged 35-44 (73%) and 45-54 (69%).
  - It was also significantly more likely among people with no disability (60%, vs 52% of others) and by people in White ethnic groups (59% vs 27% of others)
- **Promoting Derbyshire Dales as a tourism destination to increase visitor spending** was the only other service to be selected as least important by at least half of respondents (by 51%).
  - This was significantly more likely to be chosen by females rather than males (54% vs 47% respectively).
- **Initiatives to address the impact of climate change and support biodiversity** were selected as least important by 40%.
  - This was significantly less likely to be chosen as least important by 16-24s (only 18% of whom did so).

- One in four (25%) selected **improving the supply and range of affordable homes to rent and buy** as one of the least important priorities.
  - This was significantly less likely to be selected as least important by 16-24s (15%) but significantly more likely among 35-44s (37%).
  - People with a disability were also significantly less likely to select this as a least important service (19% vs 26% of others).
- **Supporting community and voluntary groups, and people in need** was selected as least important by 22%.
  - This was significantly less likely to be selected as least important by 16-24s (11%).
  - This was significantly more likely to be chosen as a least important service by males rather than females (25% vs 19% respectively).
- **Providing public toilets** was selected by 21% as one of their least important services to spend money on.
  - This was significantly more likely to be selected as least important by 16-24s (32%) and 25-34s (32%), but by only 15% of those aged 75+.
- **Developing and implementing crime and safety initiatives** was selected as a least importance choice by one in five (20%).
  - This was significantly less likely to be selected as least important by the 25-34 age group (10%).
- **Providing health improvement initiatives, sports and leisure facilities** was selected as a least importance choice by 18%.
  - This was significantly more likely to be selected as a least important choice by people with a disability (24% vs 17% of others).
- **Creating and sustaining local jobs and business opportunities** was selected as a least important choice by 13%.
- **Keeping town centres, villages, and streets safe, clean, and clear of litter, dog fouling and fly tipping** was selected as a least importance choice by just 7%.
  - This was significantly more likely to be selected as a least important choice by the youngest age group, by 21% of 16-24s.
- A similar proportion (6%) selected **household waste and recycling collections** as a least important choice.
  - Again, this was significantly more likely to be selected as a least important choice by the youngest age group, by 17% of 16-24s, as well as by 14% of 25-34s.

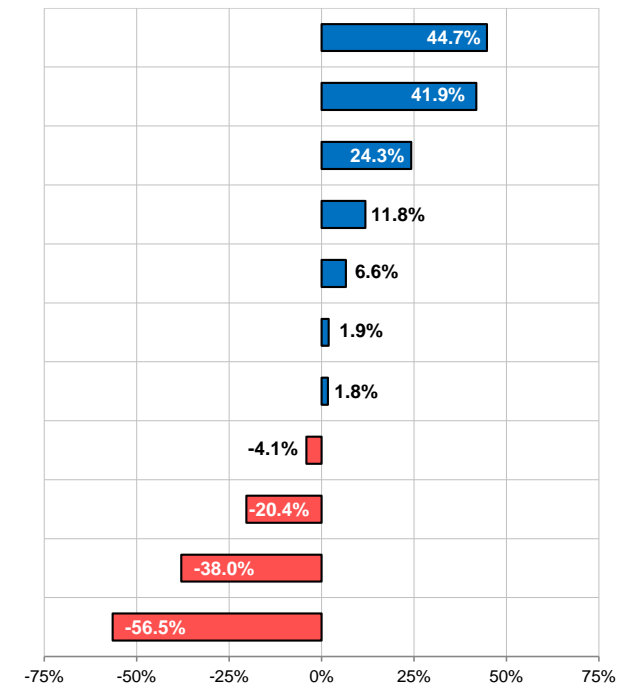
To illustrate the balance of selection for each service area, Chart Q12ab (i) below shows the proportion selecting each service among their most important choices – shown in blue as a positive value. For each service, however, the red portion of the bar to the left of the central axis shows as a negative percentage the proportion who selected each in their least important priorities for spending. Another way of presenting the balance of choices made by respondents is shown in Chart Q12ab.(ii) below. This version subtracts the percentage choosing each as one of their least important spending priorities from the proportion choosing each as one of their most important spending priorities. Positive net scores are shown in blue and negatives net score in red.

**Chart Q12ab. And which three of these services would you choose as the most/least important to spend your 60p per day on?**

**(i) % rating as Most and least important**



**(ii) Net % of all rating as ‘important’ minus all rating as ‘not important’**



Source: Marketing Means 2023

Base: All who gave a valid response

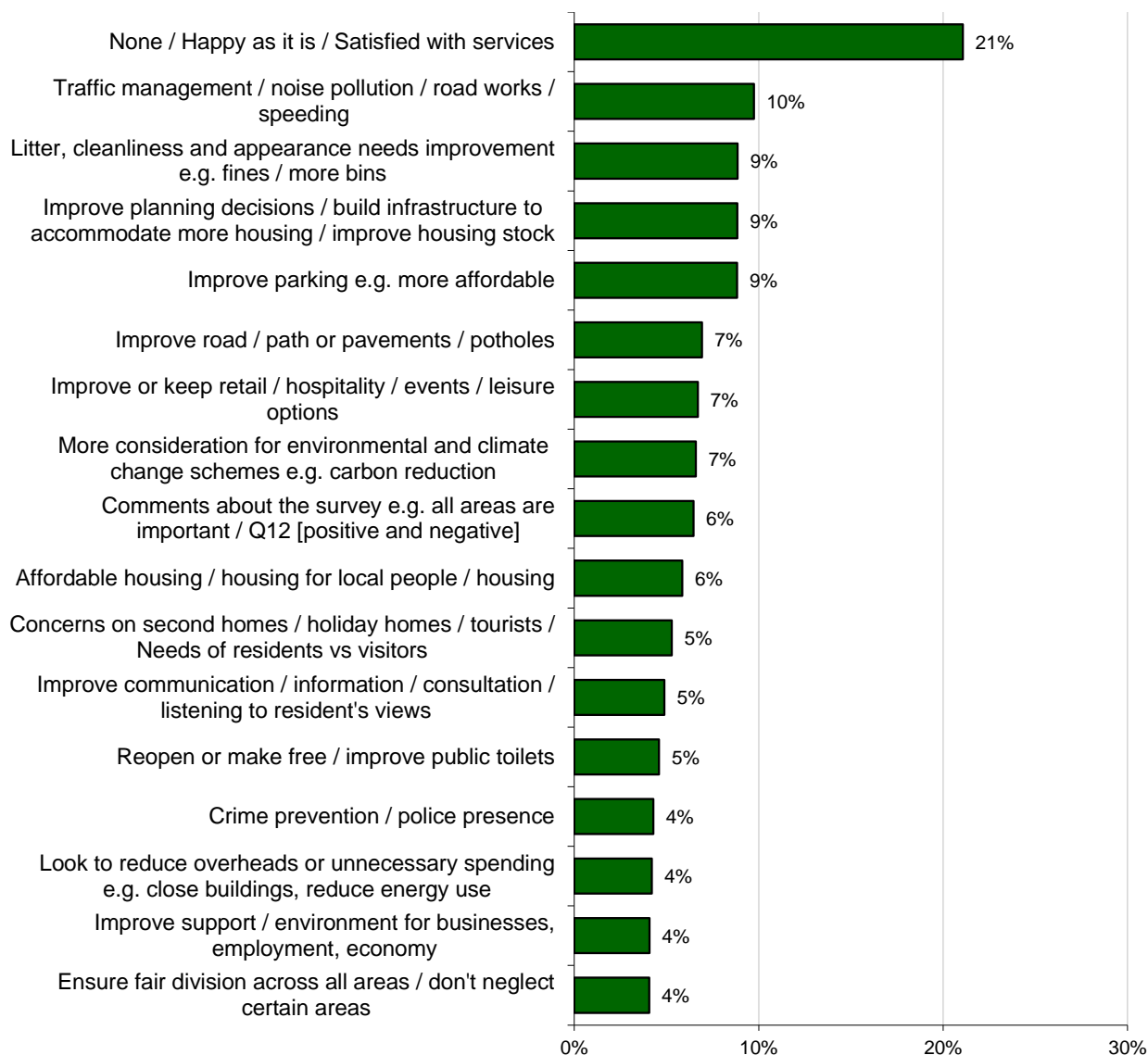
164

- Those options shown towards the top and bottom of Chart 12ab (i) and (ii) each have a very definite balance of opinions relating to their position. For example, **keeping town centres, villages and streets safe and clean** and **household waste and recycling collections** are the most popular spending priorities, while **promoting the area as a tourist destination** and **improving access to Council services** are not spending priorities.
- The charts also illustrate, however, that several service areas have a much more even balance of opinion and could cause more contention if pushed as spending priorities at the expense of other services. This particularly includes **providing public toilets, developing & implementing crime & safety initiatives**, and **supporting community and voluntary groups**.
- The results shown in chart (ii) on the previous page draw out the balances of the opinions shown in chart (i), with **keeping town centres, village and streets safe and clean** and **household waste and recycling collections** being clearly the most popular priorities in terms of their net popularity and **promoting the area as a tourist destination** and **improving access to Council services** being the least popular.
- Several other service areas have clearly a much more even balance of opinion with only a small net score in either direction, particularly **providing public toilets, developing & implementing crime & safety initiatives**, and **supporting community and voluntary groups**.

### 5.3 Further comments from residents on the Council's future spending priorities

All respondents were invited to make any other comments about the services provided or to help the Council decide its future spending priorities. These were captured as open-ended comments, which we have coded to a set of the most frequent themes that emerged. Nearly one in three respondents (32%) provided a comment of some kind, and in Chart Q13 below we present all of the themes that applied for at least 4% of the answers given.

**Chart Q13. Are there any other comments you wish to make about the services provided or to help the District Council decide its future spending priorities?**



Source: Marketing Means 2023

Base: All who made a comment (629)

- Just over one in five of those who gave a comment (21%) simply stated that they had nothing to add or were happy with the services as currently provided. A further 6% essentially repeated the views they had given at Q12a/b regarding the service areas selected or commenting that the Council still needs to provide all services.
- Among the specific themes, one in ten who provided a comment (10%) requested improvements to traffic management to reduce pollution, minimise speeding and/or to minimise roadworks/congestion.

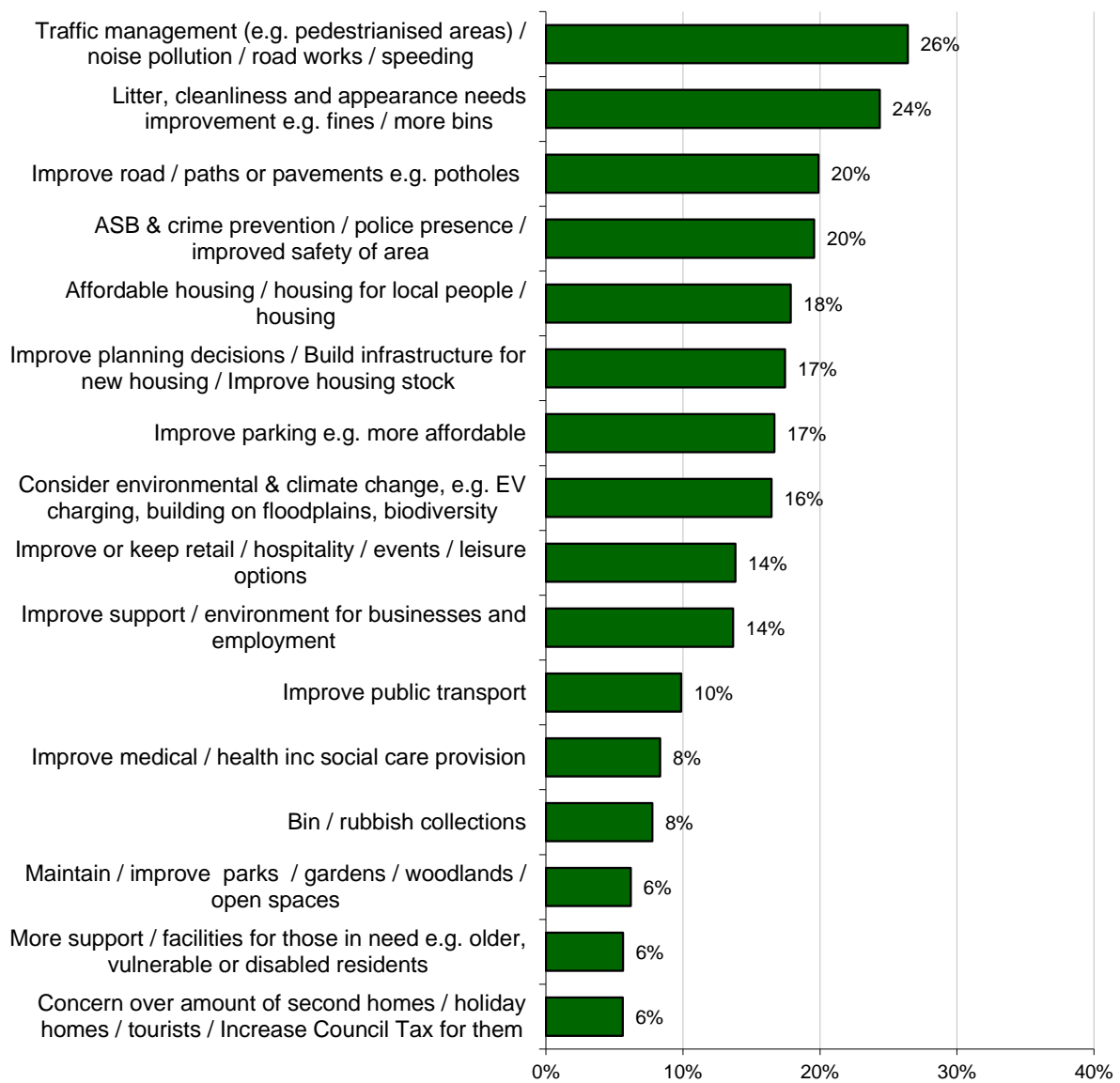
- A further 9% requested improvements to parking, e.g. more or cheaper parking.
  - Females were more likely than males to request this (13% vs 4% respectively).
- Slightly fewer (7%) requested improvements to roads/paths/pavements, including dealing with potholes.
- One of the more frequent comments made (by 9%) was to see more efforts to reduce or deal with litter, i.e. to improve the appearance and cleanliness of the area. Suggestions included more fines for littering, more bins, and community litter picks.
- Several themes related to housing and residential developments in the area. These included:
  - Improvements to planning decisions and the planning process, and ensuring that infrastructure is sufficient to accommodate any new housing (given by 9%)
  - Provision of more affordable housing and housing for local people (by 6%)
  - Concerns over the amount of second homes / holiday homes / homes for tourists / requests to increase Council Tax on those properties (given by 5%)
- A cluster of comments, given by 7%, requested that the Council does its best to keep the area lively and economically active through improving/protecting the retail offer in the towns, and encouraging hospitality / events / leisure options to thrive. A further 4% requested that the Council does its best to support and improve the local business economy.
- While improving access to Council services and information was not seen as a high priority at the previous questions, 5% commented here that the Council should still improve communication and consultation channels and listen to residents' views.
- Public toilets were only a medium priority according to the views recorded at Q12a/b, and only a small proportion here (5%) requested reopening or cutting charges on public toilets.
- Given the focus of this section on Council budgeting, a small proportion of responses, 4%, suggested that the Council should look for ways to save money by reducing overheads and any unnecessary spending.

## Section 6: Have Your Say

### 6.1 Most important issues/ concerns locally

Having gone through the previous questions, at the end of the questionnaire respondents were invited to provide their thoughts on the three most important issues/concerns for them locally, whether or not they are within the Council’s service responsibility. These were captured as open-ended comments, which we have coded to a set of the most frequent themes that emerged. More than two-thirds of respondents (69%) provided a comment of some kind, and in Chart Q14 below we present all of the themes that applied for at least 6% of the answers given.

**Chart Q14. What are the three most important things/issues/concerns to you locally? [These may be outside of the Council’s responsibility]?**



Source: Marketing Means 2023

Base: All who made a comment (1,355)



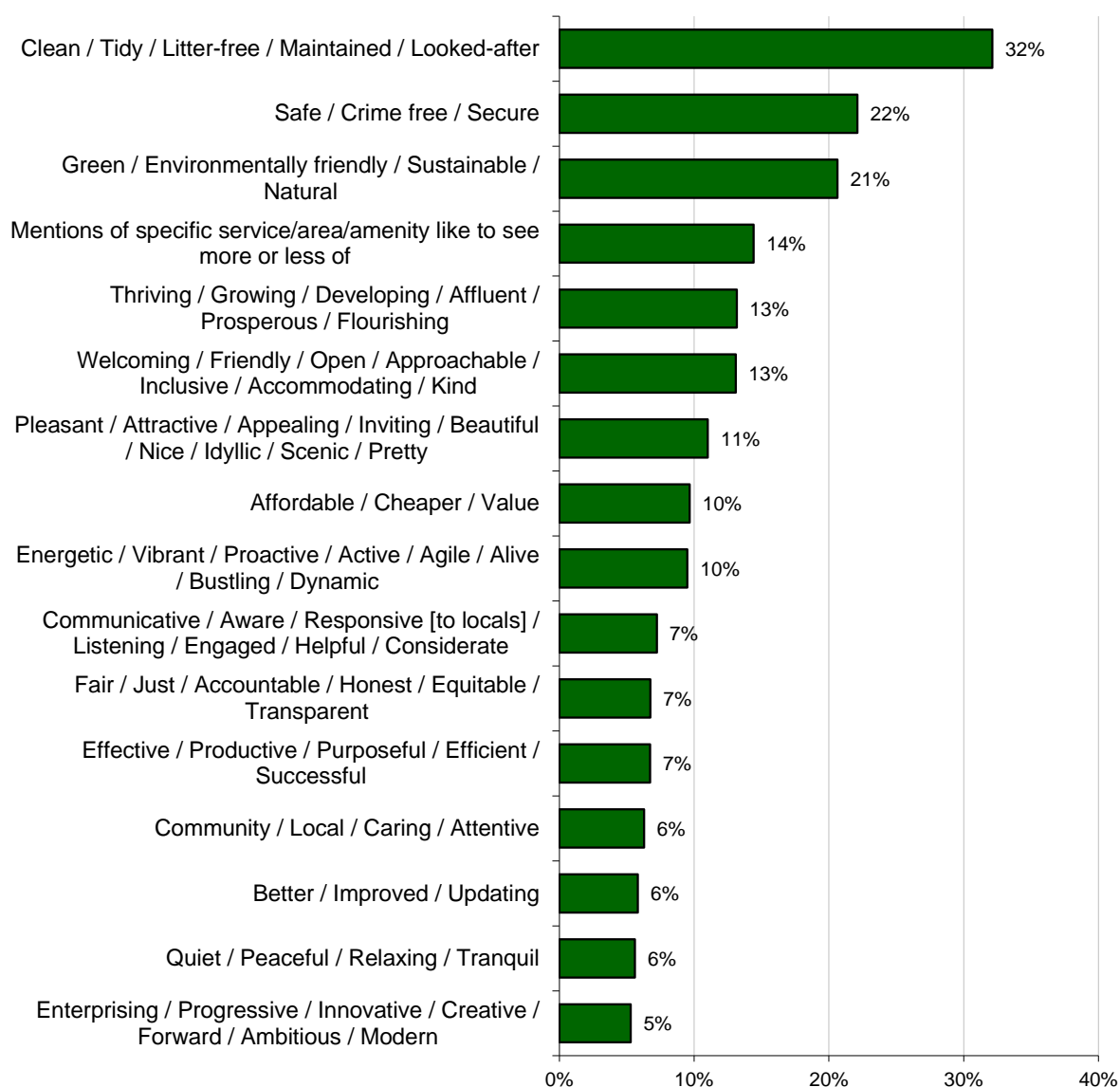
- The key areas to emerge from these comments were led by various references to **traffic management, reducing noise pollution and congestion from traffic, deterring speeding traffic and limiting roadworks**. Just over a quarter of respondents (26%) made these types of comments relating to traffic and road travel in the area.
- Other comments relating to roads and traffic included **improving the roads and pavements in the District and dealing with potholes** (given by one in five who made a comment, 20%), **improvements to parking options and ideally reduced parking charges** (given by 17%).
  - Comments on parking and parking charges were significantly more likely to be made by females than males (20% vs 13% respectively).
- Comments relating to **dealing with litter and improving the cleanliness and appearance of the District** were made by 24%. These include aspects such as more enforcement of littering fines, more bins, and community litter picking initiatives.
- Nearly one in five respondents (20%) commented on the need to **deal with anti-social behaviour and increase police presence to improve safety**.
- Several types of comments made related to providing housing for people in the area. Nearly 18% requested **more affordable housing and/or more housing for local people**, while 17% commented on the need to **improve planning decisions and processes and improve housing provision while protecting the National Park**.
- Almost as many (16%) commented on the need to **consider the environment and climate change factors**, e.g. through increasing EV charging points, avoiding building on flood plains, and protecting biodiversity. A further 6% highlighted the need to **maintain or improve the area's gardens, parks, woodlands and/or open spaces**.
- Two economy-related themes were each covered in 14% of respondents' comments, namely for the Council to **keep supporting and encouraging retail, hospitality, and leisure sectors in the District**, and also to **improve or boost support for local businesses and employment opportunities**.
- There were also some requests/suggestions for **improvements to health and social care provision locally** (made by 8%) and these were made by respondents of all ages (other than 16-24) rather than focussed on older people only.

## 6.2 Words selected to describe Derbyshire Dales in 4 years

To attempt to focus on future aspirations for the District, all respondents were asked to state which three words they would use to describe what they want the Derbyshire Dales to be like in four years' time. Some respondents used rather more than three words, and some gave phrases rather than discrete words, but we have attempted to summarise these alongside the responses from those who did use three single words only in drawing up a code frame and coding all responses.

Almost three quarters of respondents (71%) provided an answer, and the results are summarised in Chart Q15 below, which shows all the word-groupings that accounted for at least 5% of respondents' comments.

**Chart Q15, What three words would you use to describe what you would want the Derbyshire Dales to be like in 4 years?**



Source: Marketing Means 2023

Base: All who made a comment (1,405)

- The most frequent type of word used, given by nearly one third (32%) related to the appearance of being **clean/tidy/litter-free/looked after**. Another similar type of description given by 11% was **pleasant/attractive/ appealing/inviting**.
- Some people focused on the theme of safety, with more than one in five (22%) giving a word relating to the area feeling **safe/ crime-free/ secure**.
- Almost as many respondents (21%) referred to the area feeling **'green'/ Environmentally friendly/Sustainable/Natural**.
- Some answered in a slightly different vein, with a mention of a particular service or amenity that they wanted to highlight. This applied for 14% of respondents but we have not split out these mentions further as they do not use adjectives in the way that was the intention of the question. The listing of these comments will still be useful to review, nevertheless.
- **Thriving / Growing / Developing / Affluent / Prosperous / Flourishing** was a type of word given by 13%, describing the hoped-for economic 'feel' of the area.

- This was significantly more likely to be suggested among those aged 35-44 and 45-54 (19% and 23% respectively).
- A similar type of description but more of a mindset that could achieve an economically prosperous area, given by 10%, was **Energetic / Vibrant / Proactive / Active / Agile / Alive / Bustling / Dynamic**. A slightly different but relevant theme was given by 7%, namely **Effective / Productive / Purposeful / Efficient / Successful**.
- Some commented on the type of friendly human interaction they would like to see in the District, with 13% using words such as **Welcoming / Friendly / Open / Approachable / Inclusive / Accommodating / Kind**.
- Some words and comments reflected the current cost of living crisis, with 10% suggesting words such as **affordable/cheaper/value**.
- A slightly less common comment (given by 7%) may have related to the qualities that respondents would like to see in the Council and other customer-facing organisations, namely **Communicative / Aware / Responsive [to locals] / Listening / Engaged / Helpful / Considerate**. Another
- Other themes that respondents may have hoped would apply to local organisations as much as to local people were **Fair / Just / Accountable / Honest / Equitable / Transparent** (given by 7%) and **Community / Local / Caring / Attentive** (given by 6%).

### 6.3 Possible future engagement

The questionnaire closed with some questions that could be used to help generate contacts for future research and consultation engagement.

- Nearly two-thirds of respondents (63%) would be willing to take part in future research that the District Council may run to follow up some of the results of this survey.
  - The age groups most likely to agree were 35-44s (73%) and 45-54s (77%), but 16-24s were the least likely age group to agree, with only 36% doing so.
- Just under half (48%) would be willing for their responses to this survey to be passed back to the District Council together with their contact details.
  - Again, the age groups most likely to agree were 35-44s (59%) and 45-54s (53%), but 16-24s were the least likely age group to agree, with only 31% doing so.
  - Males were more likely than females to agree (52% vs 46%).
- Just under a quarter (24%) stated that they would be willing to join the Derbyshire Dales Citizen's Online Panel.
  - Again, the age groups most likely to agree were 35-44s (36%) and 45-54s (37%), but 16-24s were the least likely age group to agree, with only 3% doing so.
  - Males were more likely than females to be willing to join (28% vs 22%).

## Appendix 1: Letter of invitation and postal copy of questionnaire



The Resident(s)  
<<Address>>

16<sup>th</sup> February 2023

Ref: 3559 / 646 / 646

Dear Resident

The District Council is developing a new Corporate Plan for April 2024 to March 2028. As part of that process, we have commissioned Marketing Means, an independent research agency, to undertake a survey of residents' satisfaction and views on services provided by the council, which will provide evidence to support the development of Council priorities.

Your address has been selected at random, and we would very much appreciate your help. We are keen to reduce paper waste and to reduce costs, so we would be very grateful if you could complete the questionnaire online at this web address: [bit.ly/DDALES23](https://bit.ly/DDALES23) or by simply using a phone camera to scan the QR code at the top left of this letter. When you reach the survey web page, please enter your unique login code <<>> to access the questionnaire. Any resident in the household aged 16 or over can take part.

If you need to complete the questionnaire on paper, please contact Marketing Means on freephone 0800 849 4019 or by email to [info@marketingmeans.co.uk](mailto:info@marketingmeans.co.uk). They will send you a questionnaire and a pre-paid envelope (no stamp required).

- We respect your trust and privacy. We will securely store any personal data/information and will never sell it or share it with any third parties.
- Information collected in this survey will be processed by Marketing Means and will only be viewed at an anonymous level by members or employees of the Council whose roles include customer satisfaction & performance monitoring. We will not receive any data that would allow you to be identified unless you have given your consent for this in the questionnaire. You have the right to view, edit, or have your data removed.
- Data/Information gathered from the surveys will be used to monitor and plan services.
- By taking part in this survey, you agree that we will process your data in line with our Data Protection Policy and procedures [<https://www.derbyshiredales.gov.uk/privacy>]

If you have any questions or concerns about this survey please contact Marketing Means on freephone 0800 849 4019 who will be happy to help you. We would be very grateful if you could spare the time to take part in this survey. Your participation is greatly appreciated.

Yours sincerely,

Mike Hase, Policy Manager,  
Derbyshire Dales District Council

# Derbyshire Dales Resident Survey

Your reference number: 3559 /

## Residents' Survey

Thank you for taking the time to complete this important residents' survey for Derbyshire Dales District Council. It asks you about how satisfied you are with your area as a place to live and the services you receive from the Council.

We will use the results to help Councillors develop the new Corporate Plan which will run from April 2024 to March 2028. The results will help us improve our services and understand how we can better communicate with our customers and residents. It should take no longer than 10-15 minutes of your time. The survey can be completed by any member of the household aged 16 or over.

## Section 1: Your Local Area

When answering Q1, please consider your 'local area' to be the area within 15 to 20 minutes walking distance from your home.

1. Overall, how satisfied or dissatisfied are you with your local area as a place to live?

*Please tick one box only*

Very  
satisfied

Fairly  
satisfied

Neither satisfied  
nor dissatisfied

Fairly  
dissatisfied

Very  
dissatisfied

## Section 2: Your Council

This survey asks about Derbyshire Dales District Council which is responsible for services such as refuse collection, street cleaning, planning (excluding Peak District National Park area), housing, leisure facilities, environmental health, parks and gardens.

2. Overall, how satisfied or dissatisfied are you with the way Derbyshire Dales District Council runs things? *Please tick one box only*

Very  
satisfied

Fairly  
satisfied

Neither satisfied  
nor dissatisfied

Fairly  
dissatisfied

Very  
dissatisfied

3. How satisfied or dissatisfied are you with each of the following services provided by Derbyshire Dales District Council? *Please tick one box only for each service*

	Very satisfied	Fairly satisfied	Neither satisfied nor dissatisfied	Fairly dissatisfied	Very dissatisfied
Sport & leisure facilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Parks, recreation grounds and open spaces	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Keeping areas including highways free from litter	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Waste & recycling collections	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4. How satisfied or dissatisfied are you with the following? *Please tick one box only for each item*

	Very satisfied	Fairly satisfied	Neither satisfied nor dissatisfied	Fairly dissatisfied	Very dissatisfied
Ease of contact with the Council	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Quality of the Council website	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Ease of payment methods	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The Council's responsiveness to your enquiries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5. Overall, how well informed do you think Derbyshire Dales District Council keeps residents about the services and benefits it provides? *Please tick one box only*

Very well informed	Fairly well informed	Not very well informed	Not well informed at all
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

6. Are there any comments you wish to make about your satisfaction with the services provided by Derbyshire Dales District Council? *Please make your comments in the box below*

7. Do you have any suggestions as to how we could improve our services for you?  
Please make your comments in the box below

**Section 3: Opinions of Council Services**

We would like to know how important different services are to you. Please tick one box only for each item.

- 8a How important are the following services in supporting the provision of permanent jobs and homes for local people? Please tick one box only for each item

	Very important	Fairly important	Neither important nor not	Not very important	Not at all important
Improving the supply and range of affordable homes to rent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Improving the supply and range of affordable homes to buy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Homelessness services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Creating and sustaining local jobs and business opportunities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Providing advice and support to small businesses	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Promoting Derbyshire Dales as a tourism destination to increase visitor spending	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (please specify in the box below)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**8b** And how satisfied or dissatisfied are you with these services in supporting the provision of permanent jobs and homes for local people? *Please tick one box only for each item*

	Very satisfied	Fairly satisfied	Neither satisfied nor dissatisfied	Not very satisfied	Not at all satisfied
Improving the supply and range of affordable homes to <u>rent</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Improving the supply and range of affordable homes to <u>buy</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Homelessness services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Creating and sustaining local jobs and business opportunities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Providing advice and support to small businesses	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Promoting Derbyshire Dales as a tourism destination to increase visitor spending	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other ( <i>as specified at Q8a</i> )	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**9a** How important are the following services to support keeping the District a clean, safe and healthy environment? *Please tick one box only for each item*

	Very important	Fairly important	Neither important nor not important	Not very important	Not at all important
Household waste and recycling collections	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Keeping town centres, villages and streets clean and clear of litter, dog fouling and fly tipping	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Maintaining highway verges to improve their biodiversity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Initiatives to deal with crime and anti-social behaviour incl. CCTV	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Providing regulatory services e.g. food hygiene, licensing, environmental health, plannings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Initiatives to address the impact of climate change	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other ( <i>please specify in the box below</i> )	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



9b And how satisfied or dissatisfied are you with these services in supporting keeping the District a clean, safe and healthy environment? *Please tick one box only for each item*

	Very satisfied	Fairly satisfied	Neither satisfied nor dissatisfied	Not very satisfied	Not at all satisfied
Household waste and recycling collections	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Keeping town centres, villages and streets clean and clear of litter, dog fouling and fly tipping	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Maintaining highway verges to improve their biodiversity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Initiatives to deal with crime and anti-social behaviour incl. CCTV	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Providing regulatory services e.g. food hygiene, licensing, environmental health, plannings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Initiatives to address the impact of climate change	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other <i>(as specified at Q9a)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**10a How important are the following community services and facilities in the Derbyshire Dales?***Please tick one box only for each item*

	Very important	Fairly important	Neither important nor not	Not very important	Not at all important
Providing public toilets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Organising and managing large scale events e.g. Matlock Bath illuminations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Running community health improvement initiatives through prevention e.g. help to stop smoking, healthy eating, walking for health etc.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Maintaining public parks, recreation grounds and cemeteries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Providing sports and leisure facilities e.g. leisure centres, play pitches, recreation grounds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Revenues and benefits service e.g. dealing with Council tax, providing Council tax and housing benefits advice	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Providing town centre markets (including Farmers and other specialist markets)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Providing and maintaining off-street car parking for residents and visitors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting community and voluntary groups e.g. CAB, Age Concern through grants etc.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Enabling access to council services and information e.g. Town Hall customer services, website, Dales Matters publication, payment facilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other <i>(please specify in the box below)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**10b And how satisfied or dissatisfied are you with these community services and facilities in the Derbyshire Dales?***Please tick one box only for each item*

	Very satisfied	Fairly satisfied	Neither satisfied nor dissatisfied	Not very satisfied	Not at all satisfied
Providing public toilets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Organising and managing large scale events e.g. Matlock Bath illuminations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Running community health improvement initiatives through prevention e.g. help to stop smoking, healthy eating, walking for health etc.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Maintaining public parks, recreation grounds and cemeteries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Providing sports and leisure facilities e.g. leisure centres, play pitches, recreation grounds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Revenues and benefits service e.g. dealing with Council tax, providing Council tax and housing benefits advice	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Providing town centre markets (including Farmers and other specialist markets)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Providing and maintaining off-street car parking for residents and visitors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supporting community and voluntary groups e.g. CAB, Age Concern through grants etc.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Enabling access to council services and information e.g. Town Hall customer services, website, Dales Matters publication, payment facilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (as specified at Q10a)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Section 4: Budgets**

We would like your general opinion. The Derbyshire Dales District Council element of the Council Tax costs the average household around 60p per day.

**11. To what extent do you agree or disagree that Derbyshire Dales District Council provides value for money? Please tick one box only**

Strongly agree	Tend to agree	Neither agree nor disagree	Tend to disagree	Strongly disagree
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

12a If you had control over the Council's budget, which three of these services would you choose as the most important to prioritise spending your 60p per day on? *Please tick up to three boxes only*

- Improving the supply and range of affordable homes to rent and buy .....
- Creating and sustaining local jobs and business opportunities .....
- Promoting Derbyshire Dales as a tourism destination to increase visitor spending.....
- Household waste and recycling collections .....
- Initiatives to address the impact of climate change and support biodiversity .....
- Keeping town centres, villages and streets safe, clean and clear of litter, dog fouling and fly tipping.....
- Providing public toilets .....
- Providing health improvement initiatives, sports and leisure facilities e.g. leisure centres, parks .....
- Improving access to council services and information e.g. Town Hall customer services, website, Dales Matters publication, payment facilities .....
- Supporting community and voluntary groups, and people in need e.g. homeless, low income .....
- Developing and implementing crime and safety initiatives .....

12b And which three of these services would you choose as the least important to spend your 60p per day on? *Please tick up to three boxes only*

- Improving the supply and range of affordable homes to rent and buy .....
- Creating and sustaining local jobs and business opportunities .....
- Promoting Derbyshire Dales as a tourism destination to increase visitor spending.....
- Household waste and recycling collections .....
- Initiatives to address the impact of climate change and support biodiversity .....
- Keeping town centres, villages and streets safe, clean and clear of litter, dog fouling and fly tipping.....
- Providing public toilets .....
- Providing health improvement initiatives, sports and leisure facilities e.g. leisure centres, parks .....
- Improving access to council services and information e.g. Town Hall customer services, website, Dales Matters publication, payment facilities .....
- Supporting community and voluntary groups, and people in need e.g. homeless, low income .....
- Developing and implementing crime and safety initiatives .....

13. Are there any other comments you wish to make about the services provided or to help the District Council decide its future spending priorities? *[these may be outside of the Council's responsibility]*  
Please write your comments in the box below

### Section 5: Have your say

14. What are the three most important things/issues/concerns to you locally? *[These may be outside of the Council's responsibility]. Please write your comments in the box below*

15. What three words would you use to describe what you would want the Derbyshire Dales to be like in 4 years? *Please write your comments in the box below*

### Section 6: About you

You do not have to answer these questions, however the information that you do provide in this section will ensure that the survey is representative of people across the authority area and help us to identify if there are different views between different groups of people.



## 16. What is your age? Please tick one box only

- |                                   |  |
|-----------------------------------|--|
| <input type="checkbox"/> 16-17yrs | <input type="checkbox"/> 55-64yrs          |
| <input type="checkbox"/> 18-24yrs | <input type="checkbox"/> 65-74yrs          |
| <input type="checkbox"/> 25-34yrs | <input type="checkbox"/> 75+yrs            |
| <input type="checkbox"/> 35-44yrs | <input type="checkbox"/> Prefer not to say |
| <input type="checkbox"/> 45-54yrs |  |

## 17. Please select the option(s) that most reflects your gender? Please tick all that apply

- |                                      |  |
|--------------------------------------|--|
| <input type="checkbox"/> Female      | <input type="checkbox"/> Intersex              |
| <input type="checkbox"/> Male        | <input type="checkbox"/> Gender non-conforming |
| <input type="checkbox"/> Non-binary  | <input type="checkbox"/> Prefer not to say     |
| <input type="checkbox"/> Transgender |  |

If not listed above, please use this space to describe your gender how you wish:

The definition of disability in the Equality Act 2010 is: "A physical or mental impairment which has a substantial and long term adverse effect on a person's ability to carry out normal day to day activities".

## 18. Do you consider yourself to be disabled? Please tick one box only

- Yes, daily activities limited a lot
- Yes, daily activities limited a little
- No
- Prefer not to say

## 19. How would you describe your ethnic background? Please tick one box only

- |   |   |
|---|---|
| <input type="checkbox"/> White English/Welsh/Scottish/Northern Irish/British      | <input type="checkbox"/> Asian or Asian British: Pakistani                                |
| <input type="checkbox"/> White Irish  | <input type="checkbox"/> Asian or Asian British: Bangladeshi                              |
| <input type="checkbox"/> White Gypsy or Irish Traveller                           | <input type="checkbox"/> Asian or Asian British: Chinese                                  |
| <input type="checkbox"/> Any other White background                               | <input type="checkbox"/> Any other Asian background                                       |
| <input type="checkbox"/> Mixed / multiple ethnic groups - White & Black Caribbean | <input type="checkbox"/> Black or Black British: African                                  |
| <input type="checkbox"/> Mixed / multiple ethnic groups - White & Black African   | <input type="checkbox"/> Black or Black British: Caribbean                                |
| <input type="checkbox"/> Mixed / multiple ethnic groups - White & Asian           | <input type="checkbox"/> Any other Black / African / Caribbean / Black British background |
| <input type="checkbox"/> Any other mixed / multiple ethnic background             | <input type="checkbox"/> Arab   |
| <input type="checkbox"/> Asian or Asian British: Indian                           | <input type="checkbox"/> Any other ethnic group   |
|   | <input type="checkbox"/> Prefer not to say  |

## 20. Please could you tell us your home postcode, or at least the first part and the first number of the second part (for example "DE1 2")

**Please see the next page for details on how to join the Council's Online Citizen's panel ...**

21. Would you be willing to take part in future research that the District Council may run to follow up some of the results of this survey? *Please tick one box only*

Yes

No

22. Would you be willing for your responses to this survey to be passed back to the District Council together with your contact details? *Please tick one box only*

Yes

No, prefer my views to remain anonymous

### Derbyshire Dales Citizen's Online Panel

**Would you like to get your voice heard?**

The Derbyshire Dales Online Panel is just one of the ways in which we listen to residents and the people who work here. Over 800 people have already joined our Online Panel and we'd love to have more.

Surveys are short and you can select the areas of interest that you wish to receive surveys on. You will receive a maximum of six online questionnaires each year.

We would like your views to help us (a) monitor how satisfied residents are with Derbyshire Dales District Council, (b) plan and improve our policies and services and (c) find out what issues are most important to you.

23. Would you like to join the Derbyshire Dales Citizen's Online Panel? *Please tick one box only*

Yes

*Go to Q24 to add details*

No, already joined

*Go to Q24 to update details, particularly e-mail address*

No

*Close survey*

24. Please provide the following details: Any information provided will be held securely by Derbyshire Dales District Council and will be used for research purposes only. Any information provided below will be sent back separately to your responses to the other questions in this survey.

Name:

Email Address:

Telephone:

If any other members of your household would like to sign up then please visit the Council's website:  
<https://www.derbyshiredales.gov.uk/your-council/have-your-say/consultations/citizens-panel>

**THANK YOU FOR TAKING PART IN THIS SURVEY.  
PLEASE RETURN YOUR COMPLETED FORM IN THE FREEPOST ENVELOPE PROVIDED  
BY 30th March 2023.**

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## CONTENTS

EXECUTIVE SUMMARY .....	i
CONTEXT AND INTRODUCTION.....	i
COMMUNITY AND FACILITIES .....	i
CLEAN, SAFE AND HEALTHY ENVIRONMENT .....	ii
JOBS AND HOMES.....	iii
1 INTRODUCTION AND CONTEXT .....	1
1.1 CONTEXT .....	1
1.2 ABOUT THE STUDY AND THIS REPORT .....	1
2 COMMUNITY AND FACILITIES .....	1
2.1 POPULATION.....	1
2.2 LIFE EXPECTANCY .....	2
2.3 BROADBAND .....	3
2.4 THRIVING PLACES.....	5
2.5 PHYSICAL ACTIVITY .....	7
2.6 JOURNEY TIMES TO KEY SERVICES.....	7
2.7 FLOORSPACE.....	8
3 CLEAN, SAFE AND HEALTHY ENVIRONMENT .....	10
3.1 EMISSIONS .....	10
3.2 CRIME .....	11
3.3 ACCESS TO GREEN SPACE .....	12
3.4 RECYCLING AND WASTE .....	12
3.5 AIR QUALITY .....	13
4 JOBS AND HOMES.....	14
4.1 EMPLOYMENT .....	14
4.2 ECONOMIC INACTIVITY .....	15
4.3 BUSINESS COUNTS.....	16
4.4 ENTERPRISE BIRTHS/DEATHS AND SURVIVAL RATES.....	18
4.5 PRODUCTIVITY .....	19
4.6 WAGES .....	20
4.7 HOUSE PRICES AND AFFORDABILITY .....	21
4.8 HOMELESSNESS.....	23
4.9 CLAIMANT COUNT .....	23

4.10	QUALIFICATIONS.....	24
4.11	FUEL POVERTY .....	26
4.12	RETROFIT .....	27
4.13	HOUSING STOCK .....	28

## EXECUTIVE SUMMARY

This evidence base has been produced to assist Derbyshire Dales District Council with the development of its updated Corporate Plan for the period April 2024 to March 2028. This review will help inform the priorities for the council and will identify the socio-economic challenges and opportunities.

### CONTEXT AND INTRODUCTION

This evidence base and summary report have been produced to inform the development of the Derbyshire Dales District Council Corporate Plan (2024 to 2028). The report helps to inform the future priorities of the council.

The evidence base is structured around the themes of Community and Facilities; Clean, Safe and Healthy Environment; and Jobs and Homes to provide a multi-faceted overview and identifies the local authorities' key socio-economic challenges and opportunities (which are summarised thematically in the next section).

### COMMUNITY AND FACILITIES

- I. **Population** - Derbyshire Dales is experiencing a gradual, but small, population decline, linked to its ageing population.  
*Potential policy implication: New housing coupled with sustainable inward migration could help sustain thriving communities.*
- II. **Life expectancy** - is high and has increased in contrast to regional and national averages.  
*Potential policy implication: Coupled with the ageing population, policies may be required to work with partners to enable local people to age well and live independently, as active and connected citizens, for longer into later life.*
- III. **Broadband** - Derbyshire Dales lags behind national averages and most comparator areas for all aspects of broadband availability. It would take the district over 19 years to meet the 2025 target of 85% of properties with gigabit capable broadband at the current rate of provision.  
*Potential policy implication: High quality digital infrastructure plays a critical role supporting local communities.*
- IV. **Thriving Places** - The area performs generally well against the thriving places index which provides a robust place making tool, however it falls below the Derbyshire score for sustainability (based on CO<sub>2</sub> emissions and energy consumption).  
*Potential policy implication: There are some key areas that the council has influence over that can help reduce carbon emissions, such as housing, transport and renewable energy. Low carbon*

*infrastructure, domestic consumption and energy efficiency projects bring co-benefits in terms of health, job creation and a reduction in carbon emissions.*

- V. **Physical inactivity** - The district has high physical activity participation, but figures for active travel especially those cycling on average three times a week are exceptionally low and have declined.

*Potential policy implication: Continued partner working on physical activity initiatives such as walking and cycling to work schemes and ongoing support of activity providers where resources allow.*

- VI. **Floorspace** - Derbyshire Dales has a limited volume and pipeline of high quality floorspace and most significantly finite industrial floorspace that has reduced in the past few years.

*Potential policy implication: Efforts to increase commercial industrial floorspace will help the facilitation of higher paid and higher skilled jobs stimulating the economy in sectors with potential from advanced engineering to low carbon technologies.*

- VII. **Journey times** - The combination of distance, transport links and low population density in rural areas can lead to challenges in accessing and providing services.

*Potential policy implication: Journey times to hospitals by both foot/public transport and car are notably longer and in the case of public transport/walking have risen.*

## CLEAN, SAFE AND HEALTHY ENVIRONMENT

- I. **CO<sub>2</sub> Emissions** – Derbyshire Dales is the fourth highest comparator local authority for both total and per capita emissions despite reductions of 11.2% and 12.4% respectively from 2015-2019. Of the area's total emissions transport is the biggest contributor (45% of all emissions) and has increased by 1.2% despite a national reduction in transport emissions of 1.0%.

*Potential policy implication: These include (a) Buildings, transport and agile working - Reducing emissions from public buildings and promoting green transport and active travel (b) Housing - Tackling energy inefficiency in housing and fighting fuel poverty (c) Leisure - Reducing the carbon footprint of Leisure Centres, events and parks and promoting biodiversity in open spaces. (d) Effecting change through sustainable procurement and planning.*

- II. **Crime** – Rates per 1000 population are the lowest of any local authority in Derbyshire and Derbyshire Dales has experienced the smallest increase of all comparator areas (with the exception of Mid Suffolk).

*Potential policy implication: Continue to work with the Community Safety Partnership, crime and anti-social behaviour prevention.*

- III. **Access to Green Space** – Third highest for green space per capita out of all local authorities (731km<sup>2</sup> more per capita than England average) and second highest for green space per area.

*Potential policy implication: Continue to promote outdoor activity and engagement with outdoor space to have positive impacts on residents' wellbeing.*

- IV. **Waste Usage and Consumption** - Derbyshire Dales had some of the lowest volumes of collected waste per person in 2021/22, 134.7kg lower than the England average. Equally over 50% of household waste was sent for reuse/recycling/composting - more than any comparator area.

*Potential policy implication: It is important to maintain this strong performance as waste sent for reuse/recycling/composting has fallen by 17% since 2019/20.*

- V. **Air Quality** – Derbyshire Dales has low concentrations of Nitrogen Oxides compared to Derbyshire and Midlands averages (based on forecasted figures) that are also decreasing year on year.

*Potential policy implication: It is important that low pollutant concentrations are sustained through proactive measures such as active travel and public transport investment that will contribute to emissions reductions.*

## JOBS AND HOMES

- I. **Employment** – There has been a slight decline in employment (2.3%).

*Potential policy implication: Employment has yet to fully recover to pre-pandemic levels - upskilling and reskilling of the workforce and signposting to apprenticeship and training programmes will help mitigate any further workforce contractions.*

- II. **Economic Inactivity** – Derbyshire Dales has the highest levels of economic inactivity in Derbyshire with 33% of the population not active in the labour market. This figure has risen by 13.1% from 2019-22.

*Potential policy implication: With a high proportion of economically inactive residents with a significant proportion being retired there is a need to stimulate inward migration / retain young residents through affordable housing and higher paid job opportunities.*

- III. **Business Counts** – Derbyshire Dales' business base is dominated by micro enterprises (90.2%). Business numbers have declined by 1.7% despite a national increase in enterprises.

*Potential policy implication: Business support to assist business diversification and resilience will help to maintain the areas business base and economic output.*

- IV. **Enterprise Births/Deaths and Survival Rates** - Business Survival rates are higher than the England average however new enterprise births have dropped by 4% and there has been a decline in high growth enterprises.

*Potential policy implication: Dedicated start up support such as through the business start-up programme and provision of floorspace for start-up firms will help curtail decline in the micro dominated business base and increase survival rates.*

- V. **Productivity** – Derbyshire Dales has the lowest productivity rates in the County and significantly lower than the national average, which impacts on wages, profits and household incomes.

*Potential policy implication: Supporting local businesses to adopt basic tech and enhance their digital capabilities and increasing industrial floorspace will help growth and productivity rates.*

- VI. **Wages** - Derbyshire Dales has the second lowest weekly wages in Derbyshire at £461 well below the County (£485) and National (£536) averages. The authority also has a large and widening gender pay gap, on average men working in the District are paid £219.30 more than women.
- Potential policy implication: Growing and diversifying the business base and promoting pathways for girls into a wider range of careers will contribute to addressing pay disparities.*
- VII. **House Prices and affordability** - Derbyshire Dales has the most expensive median house prices in Derbyshire (£40,000 more than the England average) coupled with low wages this means house prices are 13.59 times that of annual earnings.
- Potential policy implications: There is a need to construct more affordable housing and explore innovative and sustainable construction methods that are more sensitive to the natural environment. Council support for feasibility studies of brownfield sites could contribute to increasing the supply of housing in the local authority and lowering average house prices.*
- VIII. **Homelessness** - While Derbyshire Dales has a low number of households (per 1000 people) that are assessed as being homeless it has more with homelessness.
- Potential policy implication: More affordable housing is needed to help reduce the number threatened with homelessness.*
- IX. **Claimant Count** – Derbyshire Dales has a low proportion of the population in receipt of unemployment-related benefits compared to regional and national figures. The majority of claimants in the local authority (56%) are aged between 25-49.
- Potential policy implication: Whilst a low claimant count is a positive indicators, it can indicate a 'tight' labour market meaning businesses may struggle to recruit new workers. Continued focus on business support and job creation needs to be accompanied by efforts to increase the workforce if businesses are to be able to find the workers they need.*
- X. **Qualifications** - The percentage of people without qualifications is decreasing, and the number with higher level qualifications is increasing.
- Potential policy implication: Creating employment for residents with higher level qualifications is a priority to reduce the outflow of young people.*
- XI. **Fuel Poverty** - The authority has a marginally higher proportion of fuel poor households than the English figure and this number is rising, in contrast to a national reduction in fuel poor homes.
- Potential policy implication: The combination of higher-than-average fuel poor households with higher than average cold and damp homes could create a strain on the healthcare system, particularly during winter.*
- XII. **Retrofit** – The above average number of lower quality properties should be a priority for retrofit investment, particularly pre 1918 properties requiring insulation to reduce the number of cold and damp homes.

*Potential policy implication: utilising the Energy Audit and Carbon Reduction scheme, the authority could offer subsidies to support homeowners to install insulation to improve the energy efficiency of the properties.*

- XIII. **Housing Stock** – Derbyshire Dales has a high proportion of non-decent properties, particularly those built pre-1918. This increases the need for retrofit which will improve insulation and reduce the number of cold and damp homes simultaneously.

*Potential policy implication: Provide direct support to owners and landlords of older properties to ensure they maintain the decent homes standard and educate property owners on the benefits of doing so.*



# 1 INTRODUCTION AND CONTEXT

This evidence base has been produced to inform the development of the Derbyshire Dales District Council Corporate Plan (2024 to 2028) and inform its priorities. It identifies the key socio-economic challenges and opportunities for the area.

## 1.1 CONTEXT

The UK has recently experienced a number of interrelated market shocks including the UK's Exit from the European Union, a global Pandemic and the war in Ukraine, coupled with a cost-of-living crisis, and turbulent political landscape. These events have had economic, societal, and environmental repercussions.

In March 2020, as the World Health Organisation declared Covid-19 as a global Pandemic<sup>1</sup>, inflation was 1.5%. In April 2023 that figure stood at 7.8%, down from 9.6% in October 2022, its highest point in over 30 years<sup>2</sup>. In 2019, prior to the Covid outbreak the UK economy had experienced 1.6% growth, only to shrink by 11% in the height of the Pandemic<sup>3</sup>. This was the biggest contraction in growth since 1949 and over double that experienced at the height of the financial crisis in 2009<sup>4</sup>. Growth spiked in 2021 to its highest in 30 years (7.6%) but has since dropped by 3.5%. The IMF highlights the difficulties faced by the UK in light of these market fluctuations and the need for tailored, targeted policies<sup>5</sup>.

In addition to the economic uncertainty, significant environmental challenges are clear. Over three quarters of local authorities have declared climate emergencies alongside Universities and UK parliament<sup>6</sup>. The impact of these market shocks and environmental concerns vary considerably between local authorities and councils. The aim of this evidence base is to track and highlight changes since Derbyshire Dales District Council's previous Corporate Plan.

## 1.2 ABOUT THE STUDY AND THIS REPORT

This evidence base is structured around three themes (discussed in the next section) providing a multi-dimensional assessment of the Derbyshire Dales economic, social and environmental landscape that has shifted significantly since the last Plan. The data analysis informs the priorities and areas of focus for the forthcoming Corporate Plan (2024-2028).

The previous Derbyshire Dales Corporate Plan for the period 2020-2024 adopted a 'People, Place and Prosperity' approach that sought to keep the Derbyshire Dales Clean, Green, and Safe and support better resident homes and jobs. The next iteration of the Plan may have themes in line with the new

<sup>1</sup> Government Digital Service, [2 years of COVID-19 on Gov.uk](#), 2022

<sup>2</sup> Office for National Statistics, [CPIH ANNUAL RATE 00: ALL ITEMS 2015=100](#), 2023

<sup>3</sup> Office for National Statistics, [Gross Domestic Product: Year on Year growth: CVM SA %](#), 2023

<sup>4</sup> Statista, [Annual growth of gross domestic product in the United Kingdom from 1949 to 2022](#), 2023

<sup>5</sup> International Monetary Fund, [Recovery during a pandemic](#), 2021

<sup>6</sup> London School of Economics and Political Science, [We've declared a climate emergency – now what?](#), 2021

council priorities (see diagram), they broadly comprise: (a) community and facilities, (b) clean, safe, and healthy environment and (c) jobs and homes.



Derbyshire Dales Corporate Plan Priorities 2024-2028

The analysis compares Derbyshire Dales' performance with comparator Derbyshire local authorities, regional and national benchmarks. In addition, three LG Inform nearest neighbours' with a 'largely rural' classification and similar social and economic characteristics were used. Three reasonably dispersed areas were selected: Hambleton, Malvern Hills and Mid Suffolk.

## Community and Facilities



Derbyshire Dales has the highest life expectancies in Derbyshire - **80.9** years for men and **85.0** for women.



It would take **over 19 years** at the current rate for Derbyshire Dales to meet the government's 2025 gigabit broadband coverage target.



Derbyshire Dales scored "low" on the thriving places index for energy use as a result of emissions and energy consumption.



Derbyshire Dales has the smallest volume of industrial floorspace in the county (**366,000m2**).



Average journey times to the nearest hospital by foot/public transport is almost double the national average at **78 minutes**.

## Clean, Safe and Healthy Environment



Transport contributes to **45%** of the local authorities CO<sup>2</sup> emissions- up 1.2% from 2015-2019.



Derbyshire Dales has the lowest crime rate per 1000 population of all Derbyshire local authorities.



Derbyshire Dales has the second highest area of green space per capita in Derbyshire and over four times the national average.



Derbyshire Dales reuses, recycles and composts the highest percentage of household waste of all comparator areas.



Derbyshire Dales has the lowest concentration of Nitrous Oxides in the air of all local authorities in Derbyshire.

## Jobs and Homes



**31%** of those aged 16-64 are economically inactive 10% higher than the England average.



Productivity levels per hour worked and per job filled are the lowest of all comparator areas.



Wages in the Dales are some of the lowest in Derbyshire and there is a significant gender pay gap, men are paid on average **£219.30** more a week than women



Median house prices are £40,000 higher than the national average up **5.2%** from 2019.

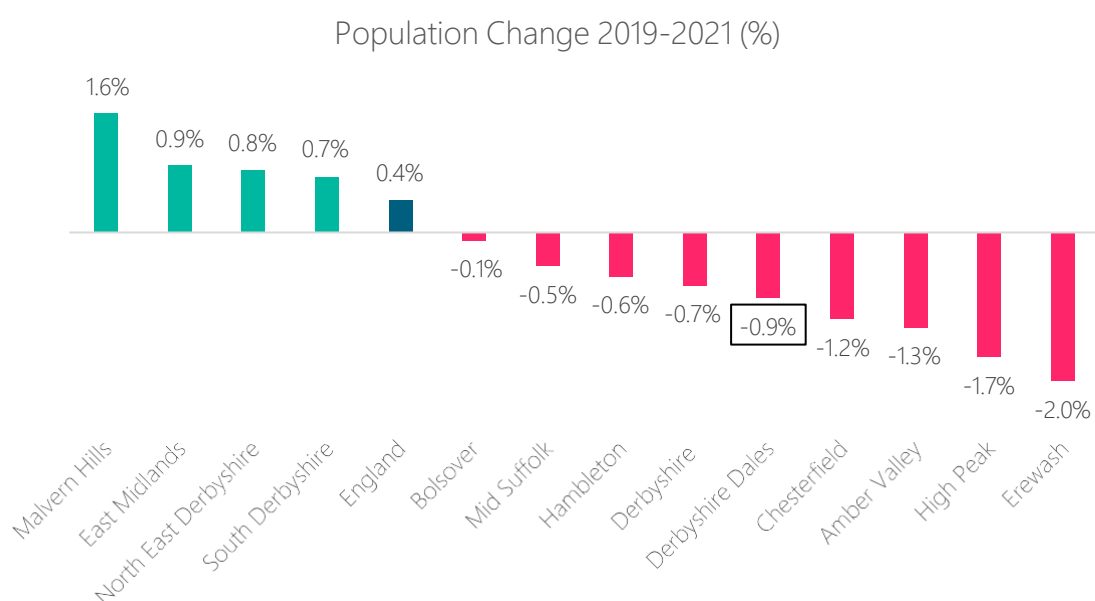
Low workplace pay combined with high house prices is resulting in the outward migration of young people.

## 2 COMMUNITY AND FACILITIES

This section focuses on the social demography and resident quality drawing on population and health statistics as well as connectivity to physical and digital infrastructure. The key headlines are as follows:

### 2.1 POPULATION

Derbyshire Dales had an estimated population of 71,681 in 2021 (based on Office for National Statistics (ONS) figures). The area has experienced a gradual population decline from 2019 to 2021 of 0.9% against national and regional increases of 0.4% and 0.9% respectively.



Source: ONS, [Population Estimates](#), 2021

Population Estimates by age as a % of total (2021)					
Area	Aged 0 to 15	Aged 16 to 24	Aged 25 to 49	Aged 50 to 64	Aged 65+
<b>Derbyshire Dales</b>	<b>14.5%</b>	<b>7.9%</b>	<b>24.5%</b>	<b>25.0%</b>	<b>28.1%</b>
Derbyshire	16.9%	8.7%	29.9%	22.3%	22.2%
East Midlands	18.1%	10.9%	31.3%	20.1%	19.6%
England	18.5%	10.6%	32.9%	19.5%	18.5%

Source: ONS, [Population Estimates](#), 2021

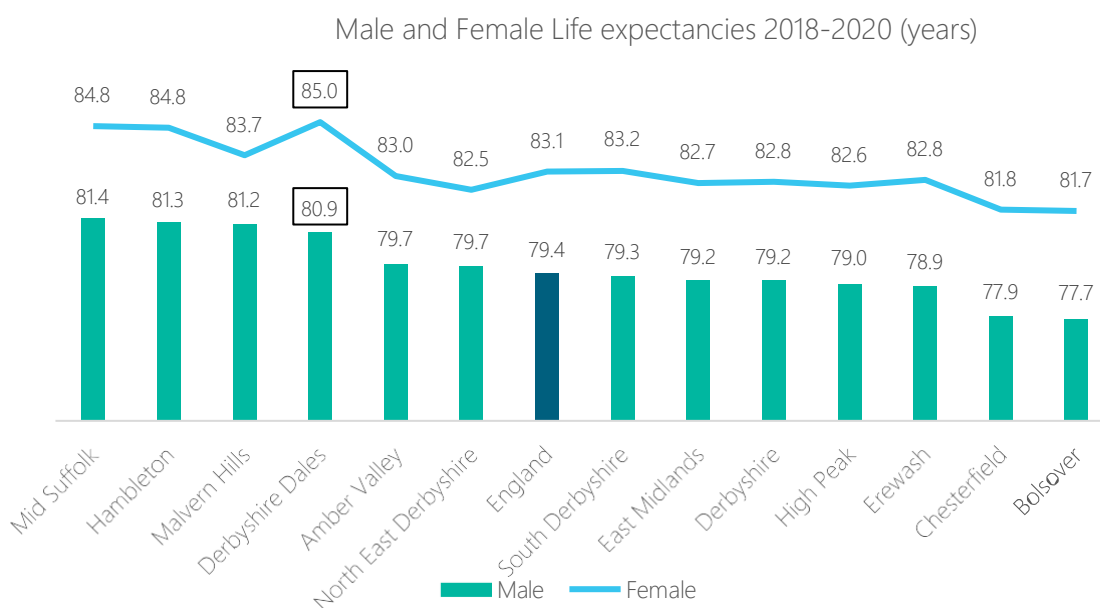
The most significant aspect of the authority's demography is the imbalance in resident age bands. Derbyshire Dales has a sizeable ageing population with 28.1% within the non-working age bracket, 9.6% higher than the national averages and exceeding both regional and county level figures. The average

median age of Dales residents (51 years) is the fourth highest of all local authorities in England and Wales as of 2021, the only local authorities higher were East Lindsey (52), Rother (53) and North Norfolk (54)<sup>7</sup>.

As per Edge Analytics<sup>8</sup> 64.6% of residents within the Peak District National Park live within the boundaries of Derbyshire Dales. As per ONS 2021 Census figures<sup>9</sup> this would be around 30% (23,191) of Derbyshire Dales 71,681 population.

## 2.2 LIFE EXPECTANCY

As shown by the graph below both male and female life expectancy figures for Derbyshire Dales are high, outperforming regional and national figures. Male life expectancy for 2018-2020 was recorded at 80.9 years with female life expectancy exceeding all comparator areas at 85.0 years.



Source: ONS, [Life Expectancy](#), 2020

In addition to the long-life expectancies of residents these numbers are also rising. Both male and female life expectancies rose by 0.20% and 0.21% respectively from 2016/18 figures despite declines in the Derbyshire, East Midlands and England averages.

Life Expectancy Change 2016/18-2018/20		
Area	Male	Female
<b>Derbyshire Dales</b>	<b>0.20%</b>	<b>0.21%</b>
Derbyshire	-0.44%	-0.22%
East Midlands	-0.33%	-0.21%
England	-0.29%	-0.08%

Source: ONS, [Life Expectancy](#), 2020

<sup>7</sup> ONS, [Population and household estimates](#), 2022

<sup>8</sup> Edge Analytics, [Peak District National Park Demographic Forecasts](#), 2018

<sup>9</sup> ONS, [National Park Residents England and Wales Census 2021](#), 2021

## 2.3 BROADBAND

Ofcom's Connected Nations report tracks the UK's digital infrastructure and the coverage and performance of broadband using four key measures:

- Superfast Broadband (SFBB) availability- The percentage of premises that have Superfast Broadband (30Mbit/s or greater) coverage from fixed broadband.
- Full Fibre availability- The percentage of premises that have coverage from full fibre service from fixed broadband.
- Gigabit availability- The percentage of premises that have coverage from a Gigabit capable service from fixed broadband (1,000 Mbit/s or greater).
- The Broadband Universal Service Obligation (USO)- provides everybody with the right to request a broadband connection with a download speed of at least 10 Mbit/s and an upload speed of 1 Mbit/s (as well as a number of other specific technical characteristics).

Ofcom's national data set is recorded for residential premises with the exception of USO figures and so the residential statistics have been used to draw comparisons.

Regarding Superfast availability Derbyshire Dales ranked lowest of all neighbouring local authorities and the selected comparator areas. Residential premises with access to SFBB were 5.8% lower than the National average despite an increase of 2.4% since 2020.

2022				
Area	SFBB Availability (%)	Full Fibre Availability (%)	Gigabit Availability (%)	Premises below the USO (%)
Amber Valley	96.5	44.6	44.7	0.1
Bolsover	96.1	20.2	41.2	0.0
Chesterfield	97.8	26.7	59.1	0.0
<b>Derbyshire Dales</b>	<b>91.2</b>	<b>15.1</b>	<b>15.1</b>	<b>0.8</b>
Erewash	98.5	37.1	79.6	0.0
Hambleton	92.1	39.6	39.6	0.4
High Peak	94.0	6.6	6.6	0.3
Malvern Hills	93.1	30.8	30.8	0.4
Mid Suffolk	94.9	38.9	38.9	0.4
NE Derbyshire	94.3	38.6	39.6	0.1
South Derbyshire	97.0	64.2	65.3	0.2
England	97.0	41.0	71.0	0.2

Source: Ofcom, [Connected Nations](#), 2022

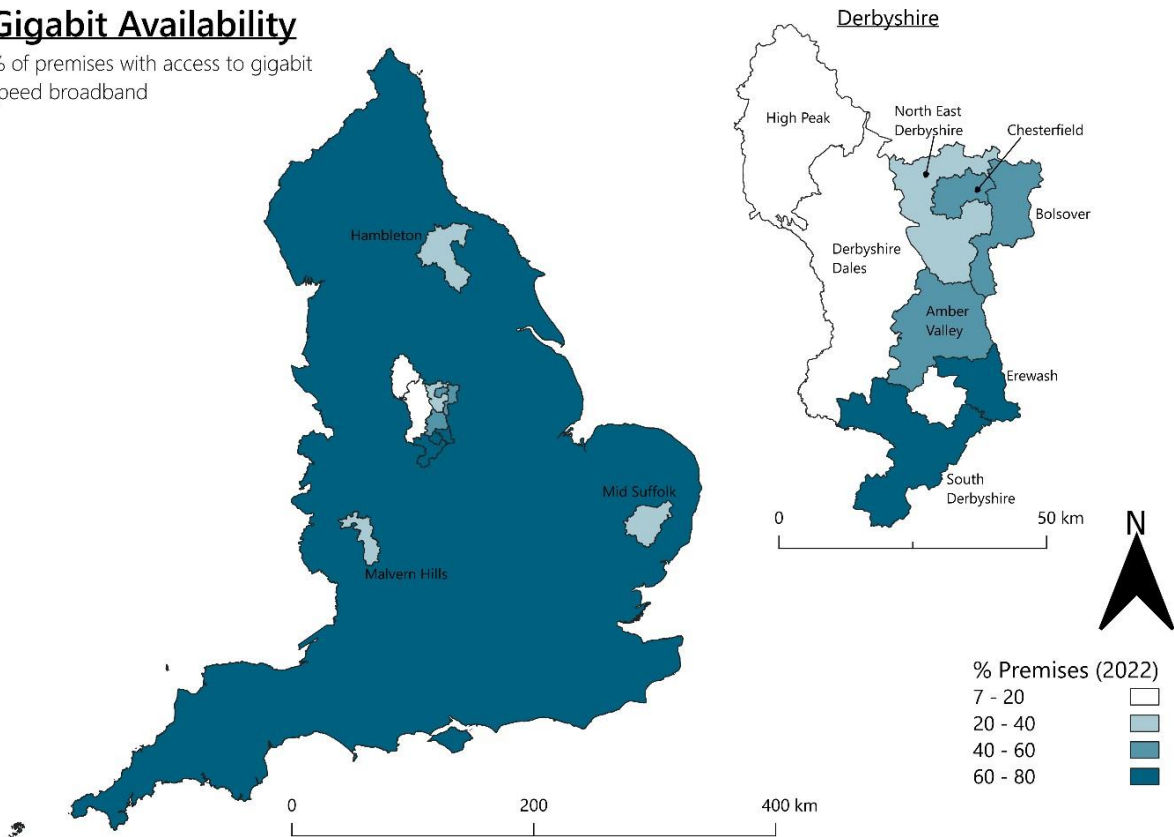
Full fibre availability was equally low. Derbyshire Dales ranked as the second lowest for coverage behind High Peak with only 15.1% of residential premises having access to full fibre broadband in 2022. The

national average was almost three times higher at 45.0%, following a 25.0% rise since 2020 while the Derbyshire Dales only increased by 7.2% over the same period.

Gigabit availability is a key priority for the UK Government. The manifesto committed to delivering gigabit capable broadband to 85% of premises by 2025 and 99% by 2030<sup>10</sup>. As of last year coverage for England was at 71.0% after an increase of 46.0% of residential properties since 2020. In comparison only 15.1% of the Derbyshire Dales has gigabit capable broadband averaging an increase of only 3.6% a year since 2020. It would take the local authority over 19 years to meet the 2025 target of 85% of properties with gigabit capable broadband at the current rate of provision.

### Gigabit Availability

% of premises with access to gigabit speed broadband



Source: Ofcom, [Connected Nations](#), 2022, and ONS 2022.

The Universal Service Obligation ensures properties have access to a sufficient level of broadband and provides a legal right to request a decent broadband connection, up to a cost threshold of £3,400 per premises.<sup>11</sup> As of 2022 0.8% of Derbyshire Dales premises had broadband access that did not meet the USO, the largest percentage of all Derbyshire local authorities and four times that of the national average. This is despite a drop from 1.3% in 2021.

<sup>10</sup> UK Parliament, [Gigabit-broadband in the UK: Government targets and policy](#), 2022

<sup>11</sup> UK Parliament, [The Universal Service Obligation \(USO\) for Broadband](#), 2022

## 2.4 THRIVING PLACES

The Thriving Places Index<sup>12</sup> identifies local conditions and measures for wellbeing delivered fairly and sustainably. The framework utilises a three-category approach:

- Local Conditions- combines five domains known to impact wellbeing: Place and Environment, Mental and Physical Health, Education and Learning, Work and Local Economy, and People and Community. These are the key drivers of wellbeing in a Local Authority area.
- Equality- combines the indicators related to equality across the domains of Health, Income, Gender, Social and Ethnicity. Higher scores mean good outcomes towards a more equal place, relative to how England or Wales is doing on average. Including everyone when working to improve local conditions for wellbeing is essential for a fair society and to realise the greatest wellbeing benefits.
- Sustainability- is a combined score composed of the domains of energy use, waste, and green infrastructure. These domains indicate whether local conditions are delivered without negatively impacting the environment. Higher scores indicate better sustainability, relative to how England or Wales is doing on average.

Area	Local Conditions	Equality	Sustainability
Amber Valley	5.56	3.05	4.10
Bolsover	4.15	6.25	4.82
Chesterfield	4.53	6.58	5.00
<b>Derbyshire Dales</b>	<b>5.80</b>	<b>5.41</b>	<b>4.78</b>
Erewash	5.60	3.76	4.62
Hambleton	5.34	6.04	4.27
High Peak	5.26	5.30	4.26
Malvern Hills	5.65	3.61	5.16
Mid Suffolk	5.83	5.41	4.92
NE Derbyshire	5.62	7.83	4.87
South Derbyshire	5.55	4.32	4.91
Derbyshire	4.99	4.50	5.20

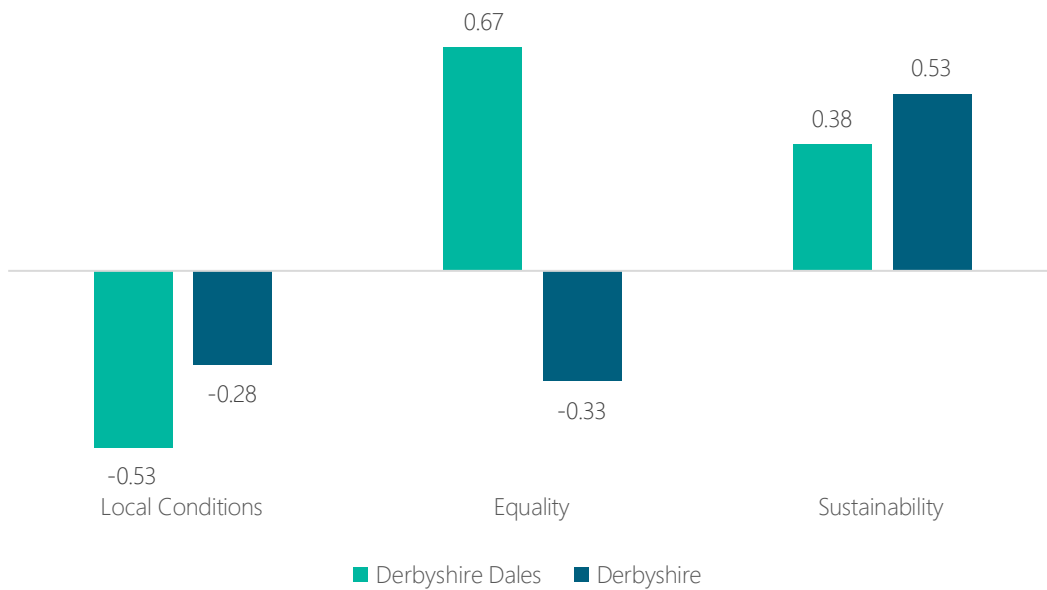
Source: Centre for Thriving Places, [Thriving Places Index](#), 2023

Across the board Derbyshire Dales generally scores well recording medium or high results in comparison to England and Wales performance figures. In relation to Local conditions Derbyshire Dales had the second highest score of the comparator areas at 5.80 against Derbyshire's average of 4.99. The local conditions score as noted in the next chart has dropped from 6.33 in 2020 however still remains high. The equality score was also positive at 5.41 compared to a county level 4.50 and has increased by 0.67 points over two years.

<sup>12</sup> Centre for Thriving Places, [Thriving Places Index](#), 2023



Change in Thriving Places Index Scores 2020-2022 (Index points)

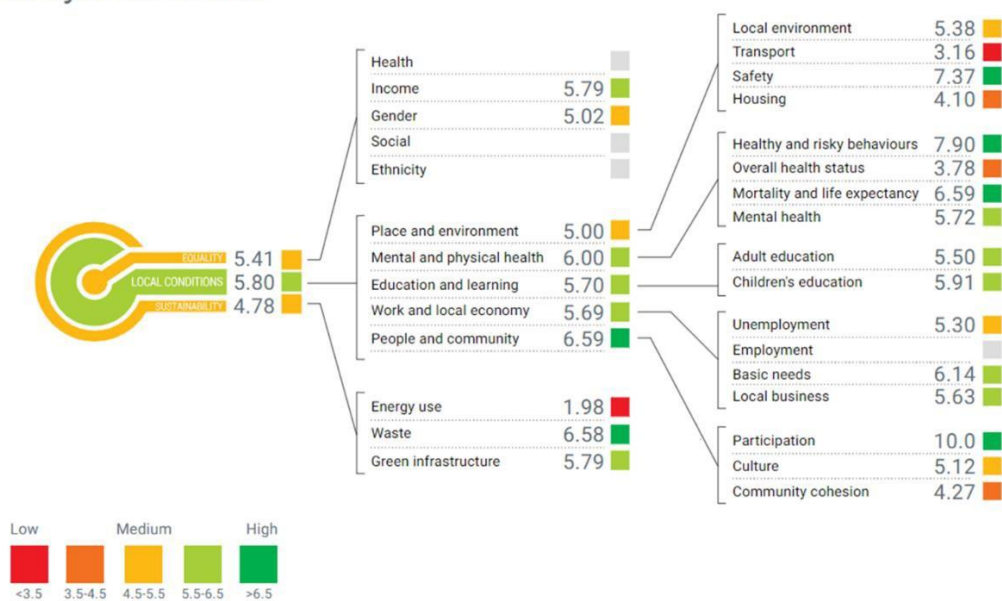


Source: Centre for Thriving Places, [Thriving Places Index](#), 2023

Sustainability was Derbyshire Dales worst performing category of the three measures. Despite remaining in the medium range at 4.78 and following a 0.38-point increase since 2020 it still ranks below the Derbyshire average of 5.20.

The more detailed breakdown of the local authority is visualised below. Energy use was the main contributor to the lower sustainability score, calculated using per capita CO<sub>2</sub> emissions and average domestic energy consumption. The local authority also scored very low for transport (3.16) the second worst index area behind energy use (calculated using active transport use, car traffic, journey times to key services and traffic accidents rate).

Derbyshire Dales



Source: Centre for Thriving Places, [Thriving Places Index](#), 2023

## 2.5 PHYSICAL ACTIVITY

The Office for Health Improvements and Disparities undertook a survey of physical activity and inactivity amongst adults. Physical inactivity defined as

*"The number of respondents aged 19 and over, with valid responses to questions on physical activity, doing less than 30 moderate intensity equivalent (MIE) minutes physical activity per week in bouts of 10 minutes or more in the previous 28 days expressed as a percentage of the total number of respondents aged 19 and over."*

The results are shown in the below graph. Derbyshire dales figures are positive with the lowest percentage of physically inactive adults of all the comparator areas for the period 2021/22 at 16.9%.

This figure has risen by 3.9% over the three-year period from 2018/19-2021/22, an increase 3% larger than the national change however from a much lower starting base with the biggest rise expectedly during the start of the Pandemic.

% of physically inactive adults (19+)					
Area	2018/19	2019/20	2020/21	2021/22	Change (%)
<b>Derbyshire Dales</b>	<b>13.0</b>	<b>15.1</b>	<b>15.9</b>	<b>16.9</b>	<b>3.9</b>
England	21.4	22.9	23.4	22.3	0.9

Source: Office for Health Improvements and Disparities, [Fingertips Public Health Data](#), 2022

General physical inactivity figures for the area are low and the increase has been marginal and from a low base providing no immediate need for action in this area.

## 2.6 JOURNEY TIMES TO KEY SERVICES

The Department for Transport documents average journey times to key services by mode of transport. As expected, given its rurality, Derbyshire Dales has longer journey times to key services (78 minutes to hospital) than the national average by both walking/public transport and car although for many services including schools and town centres the difference is low or marginal.

Journey times to key service by foot/public transport (mins) 2019					
Area	GP	Hospital	Primary School	Town Centre	Employment Centre*
Amber Valley	12	64	8	16	11
Bolsover	13	49	9	22	14
Chesterfield	14	35	8	21	11
<b>Derbyshire Dales</b>	<b>18</b>	<b>78</b>	<b>9</b>	<b>22</b>	<b>14</b>
Erewash	13	50	8	20	11
Hambleton	28	52	14	30	23
High Peak	13	57	8	21	10
Malvern Hills	25	64	14	32	18

Mid Suffolk	24	83	13	39	19
NE Derbyshire	14	52	9	25	13
South Derbyshire	14	53	10	28	13
Derbyshire	14	54	9	22	12
England	13	41	9	20	11

Source: Department for Transport, [Journey time statistics](#), 2021, \*Employment Centres of 500-4999 jobs

Of the travel times journeys to hospitals are of note. On average it takes 37 minutes longer to reach a hospital by foot or public transport for those in Derbyshire Dales than the England average to a total of 78 minutes. By car it takes over half an hour against an England figure of 20 minutes. While journey time by car has fallen fractionally (one minute) from 2016-2019 the time taken via public transport/foot has increased by a further three.

Journey times to key service by car (mins) 2019					
Area	GP	Hospital	Primary School	Town Centre	Employment Centre*
Amber Valley	8	30	8	10	7
Bolsover	8	21	9	12	9
Chesterfield	9	14	8	12	7
<b>Derbyshire Dales</b>	<b>10</b>	<b>33</b>	<b>9</b>	<b>14</b>	<b>8</b>
Erewash	8	27	8	11	8
Hambleton	11	22	11	12	10
High Peak	8	31	8	13	7
Malvern Hills	11	31	11	14	9
Mid Suffolk	11	34	11	17	9
NE Derbyshire	9	21	9	14	8
South Derbyshire	9	23	9	15	8
Derbyshire	9	25	9	13	8
England	8	20	7	11	8

Source: Department for Transport, [Journey time statistics](#), 2021, \*Employment Centres of 500-4999 jobs

## 2.7 FLOORSPACE

Floorspace statistics provided by the Governments Valuation Office Agency show low volumes of floorspace (637,000m<sup>2</sup>) within the local authority compared to similar areas within and outside the region. Office floorspace is relatively high however this may be reflective of the location of the County Council office buildings with Derbyshire Dales.

Floorspace (thousand m <sup>2</sup> ) 2019/20					
Area	Total	Retail	Office	Industrial	Other
Amber Valley	1,736	194	93	1,347	102
Bolsover	1,267	99	67	1,038	63
Chesterfield	1,388	257	148	846	137
<b>Derbyshire Dales</b>	<b>637</b>	<b>117</b>	<b>74</b>	<b>366</b>	<b>79</b>
Erewash	1,280	174	60	954	92
Hambleton	1,223	140	86	847	151
High Peak	940	139	44	678	78
Malvern Hills	550	97	54	314	85
Mid Suffolk	1,081	76	64	844	96
North East Derbyshire	839	75	44	571	149
South Derbyshire	999	87	52	780	79
Derbyshire	9,085	1,144	581	6,582	778
East Midlands	58,236	7,909	4,882	40,243	5,202
England	556,220	99,437	84,598	311,632	60,552

Source: Valuation Office Agency, [Non-domestic rating: stock of properties including business floorspace](#), 2020

Total floorspace has remained generally static with small increases in retail and office space since 2017-18. Of most significance is the decline in industrial and other floorspace by 0.5% and 1.3% respectively while county, regional and national averages have all risen. The decline in industrial space is particularly relevant considering Derbyshire Dales industrial floorspace was the smallest by area of all comparators with the exception of Malvern Hills in 2019/20.

Change in Floorspace (thousand m <sup>2</sup> ) 2017/18-2019/20					
Area	Total	Retail	Office	Industrial	Other
<b>Derbyshire Dales</b>	<b>0.5%</b>	<b>2.6%</b>	<b>1.4%</b>	<b>-0.5%</b>	<b>-1.3%</b>
Derbyshire	2.5%	1.0%	0.9%	3.0%	1.8%
East Midlands	1.6%	0.1%	-1.0%	2.4%	0.4%
England	0.3%	-0.2%	-1.4%	0.7%	1.2%

Source: Valuation Office Agency, [Non-domestic rating: stock of properties including business floorspace](#), 2020

Policy reviews may wish to consider actions relating to increasing the pipeline of commercial industrial floorspace to facilitate higher paid and higher skilled jobs within Derbyshire Dales to stimulate the local economy (see policy implications).

### 3 CLEAN, SAFE AND HEALTHY ENVIRONMENT

The theme 'Clean, Safe and Healthy Environment' focuses on quality of place. With the council's declaration of a climate emergency in 2019 and the subsequent formation of a climate change action group the District Council aims to be net carbon neutral by 2030. As well as a review of environmental statistics this chapter also considers resident safety.

#### 3.1 EMISSIONS

Carbon dioxide emissions statistics, provided by the Department of Business Energy & Industrial Strategy show Derbyshire Dales is below the average for Derbyshire in per capita CO<sub>2</sub> emissions. However the authority's total emissions rank 4<sup>th</sup>, and 2<sup>nd</sup> in per km<sup>2</sup> emissions when compared to similar areas within and outside the region.

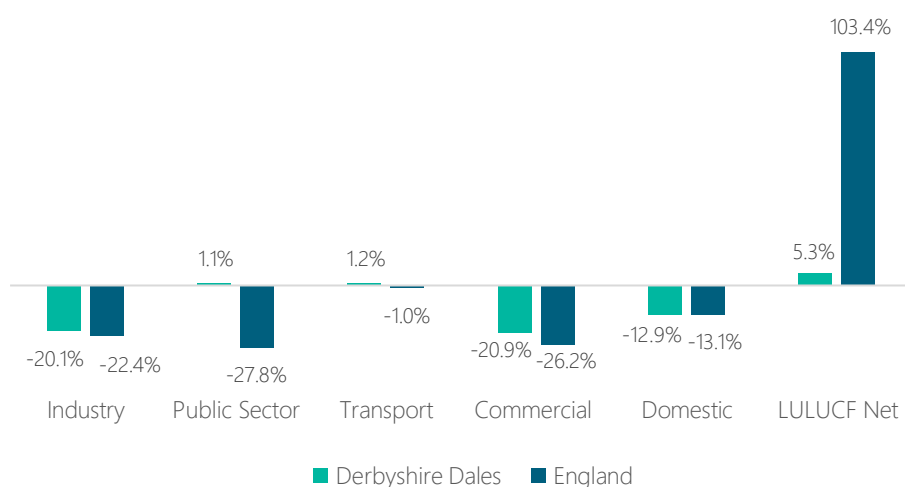
CO <sub>2</sub> Emissions 2019			
Area	Grand Total kt	Per Capita t	Per km <sup>2</sup>
Amber Valley	662.90	5.17	2.50
Bolsover	982.86	12.20	6.13
Chesterfield	444.90	4.24	6.74
<b>Derbyshire Dales</b>	<b>500.74</b>	<b>6.92</b>	<b>0.63</b>
Erewash	519.39	4.50	4.74
Hambleton	772.94	8.44	0.59
High Peak	2,953.44	31.87	5.47
Malvern Hills	478.34	6.08	0.83
Mid Suffolk	634.36	6.11	0.73
NE Derbyshire	499.13	4.92	1.81
South Derbyshire	660.55	6.16	1.95
Derbyshire	7,223.91	9.00	2.83
East Midlands	29,094.00	6.02	1.84
England	276,089.65	4.91	2.08

Source: BEIS, [Regional Carbon Dioxide Emissions](#), 2021

When the highest carbon emitting activities are considered, as a whole England has successfully reduced its emissions across most sectors. Derbyshire Dales has reduced its emissions from Industry, Commercial and Domestic sources in line with similar reductions within the national average. However transport emissions have increased by 1.2% against a national reduction of 1.0% and comprise 45% of all emission. Public sector figures have also increased by 1.1% despite the England average falling by 27.8%. Emissions

attributable to Land use, Land Use Change and Forestry have also increased in both England and Derbyshire Dales (although this figure is significantly greater on a national scale).

#### Change in Emissions 2015-2019



Source: BEIS, [Regional Carbon Dioxide Emissions](#), 2021

### 3.2 CRIME

National crime data provided by the Office for National Statistics shows Derbyshire Dales has the lowest crime rate (45 per 1000 people) compared to similar areas within and outside the region. The authority also has one of the slowest rates of increase in crime rate (2.27%) across the last three years, with the exception of Mid Suffolk which is the only region in the dataset to reduce their crime rate.

Crime rate (per 1,000 population)				
Area	2020	2021	2022	Change (%)
Amber Valley	62	62	67	8.06%
Bolsover	65	73	75	15.38%
Chesterfield	83	92	91	9.64%
<b>Derbyshire Dales</b>	<b>44</b>	<b>44</b>	<b>45</b>	<b>2.27%</b>
Erewash	65	72	76	16.92%
Hambleton	48	51	55	14.58%
High Peak	61	67	66	8.20%
Malvern Hills	61	65	75	22.95%
Mid Suffolk	68	66	56	-17.65%
NE Derbyshire	52	54	55	5.77%
South Derbyshire	51	52	57	11.76%
Derbyshire	73	78	79	8.22%
East Midlands	383	305	442	15.38%
England	3,123	3,374	3,603	15.38%

Source: ONS, [Recorded crime data](#), 2023

### 3.3 ACCESS TO GREEN SPACE

Data from Friends of The Earth combines national datasets to identify the spread of publicly available green spaces. This includes public parks and gardens, playing fields, religious grounds and cemeteries, and Countryside Right of Way open access land. Derbyshire Dales performs well when compared to similar areas within and outside the region, the authority ranks third in both green space per capita and green space per area. However Derbyshire Dales ranks below High Peak in both cases.

Area	Green Space per Capita	Green Space per Area (m <sup>2</sup> )
Amber Valley	64.73	0.03
Bolsover	96.47	0.05
Chesterfield	29.09	0.05
<b>Derbyshire Dales</b>	<b>944.62</b>	<b>0.08</b>
Erewash	16.75	0.02
Hambleton	1,080.10	0.07
High Peak	2,694.25	0.46
Malvern Hills	233.93	0.03
Mid Suffolk	83.94	0.01
NE Derbyshire	190.99	0.07
South Derbyshire	40.24	0.01
East Midlands	125.92	0.04
England	214.09	0.09

Source: Friends of The Earth, [Green Space Consolidated Data](#), 2020

### 3.4 RECYCLING AND WASTE

Statistics from the Department for Environment, Food and Rural Affairs (DEFRA) positively reflect the local authority's usage and management of waste.

The latest figures for 2021/22 show Derbyshire Dales had the lowest collected household waste per person (kg) in Derbyshire and the second lowest of all comparators behind Malvern Hills. This figure was 134.7kg lower than the National average and has fallen by 3.06% since 2019/20, the only comparative area to reduce collected waste including regional and national numbers.

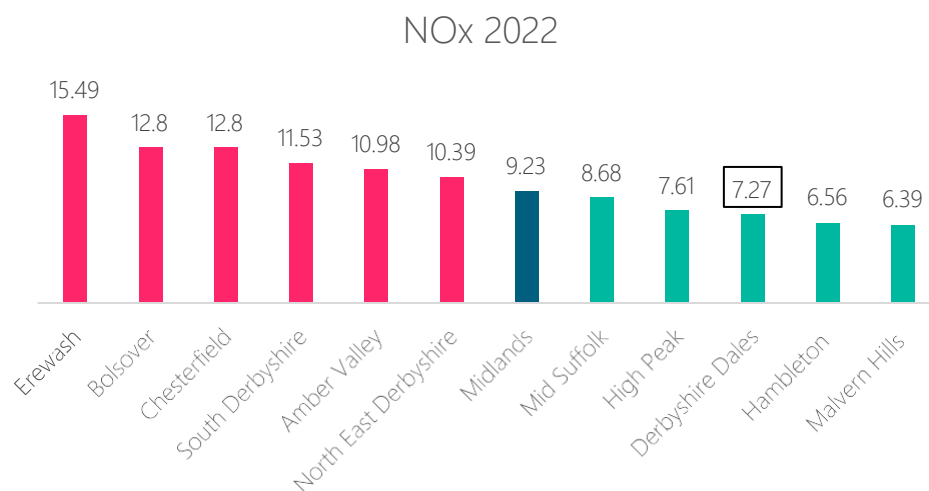
The percentage of collected waste that is recycled, reused or composted is high for the same time period. 51.5% of Derbyshire Dales household waste was reused, composted or recycled in 2021/22, the highest of all Derbyshire local authorities and of comparative areas (national and regional figures are not available). While high this figure has fallen by approximately 17% (from 61.9%) since 2019/20.

2021/22		
Area	Collected household waste per person (kg)	% of household waste sent for reuse/recycling/composting
Amber Valley	381.0	29.5%
Bolsover	426.8	38.5%
Chesterfield	400.2	43.0%
<b>Derbyshire Dales</b>	<b>368.0</b>	<b>51.5%</b>
Erewash	414.8	41.8%
Hambleton	397.4	48.2%
High Peak	387.5	47.7%
Malvern Hills	337.3	41.3%
Mid Suffolk	384.6	41.0%
NE Derbyshire	402.7	45.3%
South Derbyshire	406.8	46.7%
East Midlands	582.0	
England	547.0	

Source: DEFRA, [Local authority collected waste: annual results tables](#), 2023

### 3.5 AIR QUALITY

DEFRA air quality assessments use 2018 data to forecast local authorities' air quality by average concentration of Nitrogen Oxides present in the air. Forecasts for 2022 as shown in the below graph estimate an average NO<sub>x</sub> concentration of 7.27 ug.m<sup>-3</sup>, the lowest in Derbyshire and third lowest when incorporating all comparator areas. This figure is also 1.96 ug.m<sup>-3</sup> lower than the Midlands average.



Source: DEFRA, [Background Mapping data for local authorities](#), 2023

The Nitrogen Oxides concentrations are anticipated to decline across all comparator local authorities by an average of 7.0%. Derbyshire Dales is estimated to have dropped by 6.2% from 2020 to 2022, the lowest reduction of all selected areas however from a lower base. However, problems within each locality may not be fully represented in district-wide data and could be investigated in greater detail to target areas of improvement.



## 4 JOBS AND HOMES

This chapter provides an economic overview of Derbyshire Dales.

### 4.1 EMPLOYMENT

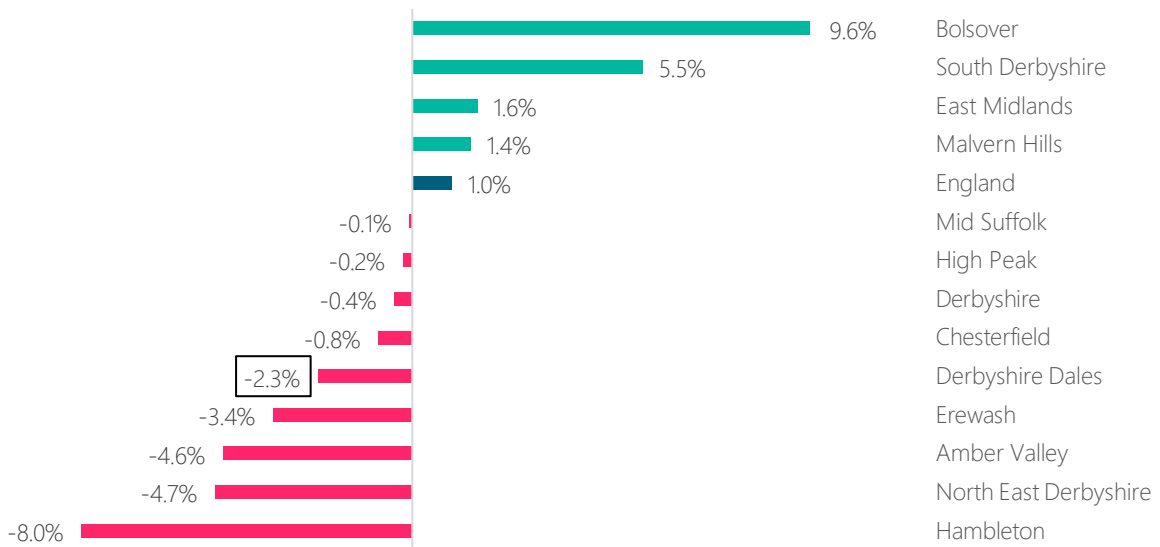
The table shows employment numbers and location quotients (LQs) indicating the concentration of each industry against the national figure. The largest industries in 2021 were manufacturing, accommodation and food services and wholesale and retail trade each with approximately 5000 employees. Mining and Quarrying had the largest location quotient ten times the national figure, followed by agriculture, forestry and fishing (an LQ of 5.3).

Derbyshire Dales Employment 2021		
Sector	LQ	Employment Count
A : Agriculture, forestry and fishing	5.3	2,500
B : Mining and quarrying	10.0	350
C : Manufacturing	1.9	5,000
D : Electricity, gas, steam and air conditioning supply	0.0	10
E : Water supply; sewerage, waste management/remediation activities	0.7	175
F : Construction	1.0	1,750
G : Wholesale and retail trade; repair of motor vehicles and motorcycles	1.0	5,000
H : Transportation and storage	0.7	1,250
I : Accommodation and food service activities	1.9	5,000
J : Information and communication	0.4	700
K : Financial and insurance activities	0.2	200
L : Real estate activities	0.9	600
M : Professional, scientific and technical activities	0.6	2,000
N : Administrative and support service activities	0.3	1,000
O : Public administration and defence; compulsory social security	2.0	3,000
P : Education	0.7	2,000
Q : Human health and social work activities	0.5	2,500
R : Arts, entertainment and recreation	2.1	1,750
S : Other service activities	1.0	700

Source: ONS, [Business Register and Employment Survey](#), 2022

Overall employment figures have fallen in Derbyshire Dales by 2.3% (approximately 820 people) from 2019 to 2021, despite regional and national increases of 1.6% and 1.0% respectively.

### Employment Change 2019-2021

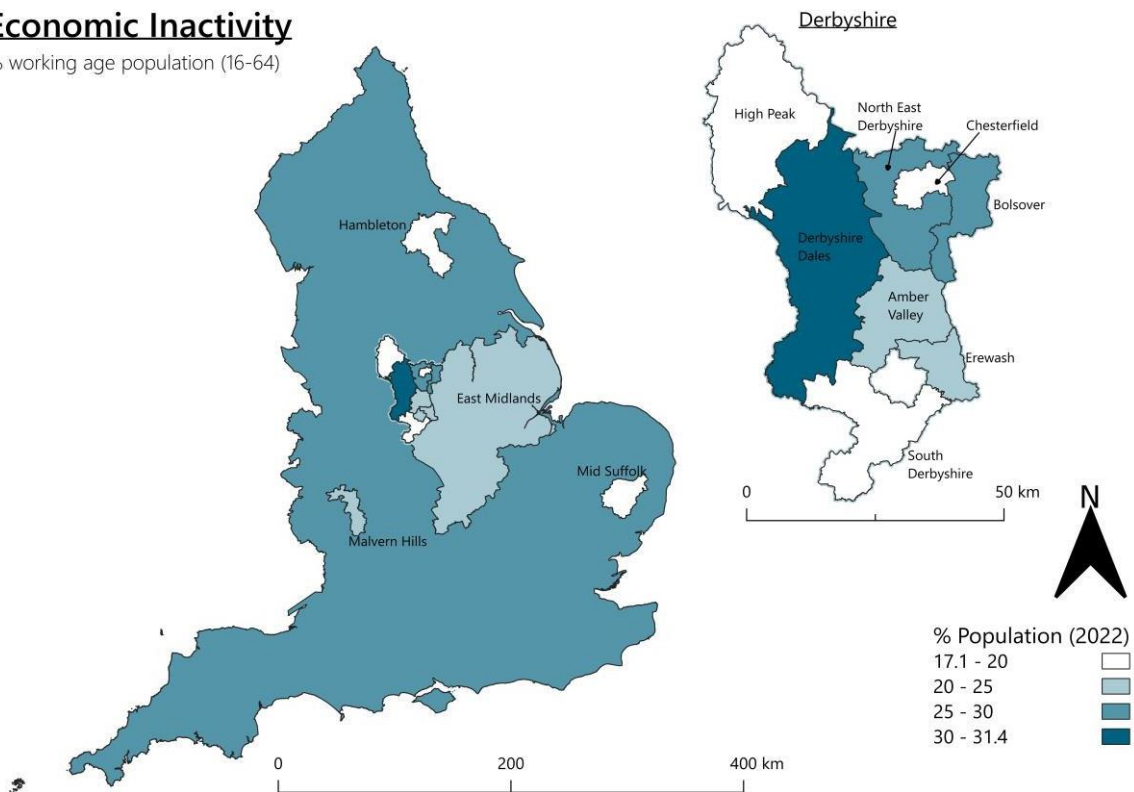


Source: ONS, [Business Register and Employment Survey](#), 2022

## 4.2 ECONOMIC INACTIVITY

### Economic Inactivity

% working age population (16-64)



Source: ONS, [Economic Inactivity](#), 2023

Levels of economic inactivity describe people not in employment who have not been seeking work within the last four weeks and/or are unable to start work within the next two weeks<sup>13</sup>. Economic inactivity data

<sup>13</sup> ONS, [Economic Inactivity](#), 2023

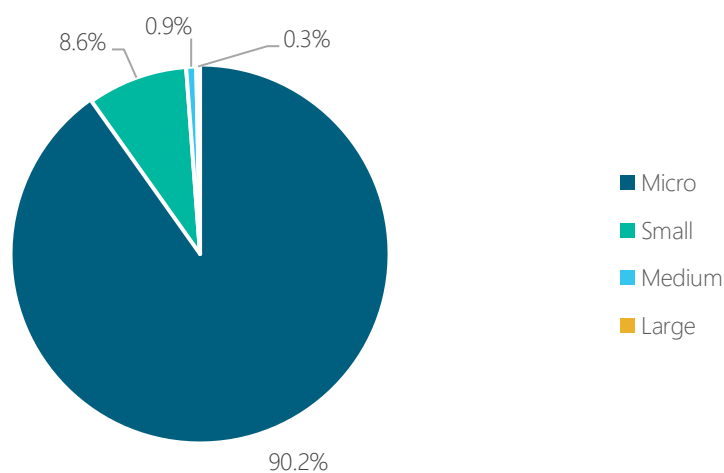
compiled by the Office for National Statistics shows that Derbyshire Dales has the highest levels of economic inactivity when compared to similar areas within and outside the region (33% of the population in 2022). These levels are also increasing at a greater rate than other areas (13.1% between 2019-2022).

The proportion of the economically inactive population who do not want a job is also consistently high which suggests the inactive population is unlikely to decrease in the short term. The change in the percentage of the inactive population who do not want a job is also increasing at the greatest rate when compared to the selected comparators and is significantly above the English average. The reasons for this include a 100% increase in the number of retired people (from 2200 in 2019 to 4400 in 2022), a significant increase in those within the other category (91.7%), and an increase in the number of students (69.6%).

### 4.3 BUSINESS COUNTS

Derbyshire Dales business base is primarily comprised of smaller firms with 90.2% of enterprises classified as Micro (0-9 employees) and 8.6% as Small (10-49 employees). These figures are marginally higher than that of the national average- as of 2022 89.6% of English businesses were micro enterprises and 8.5% were small.

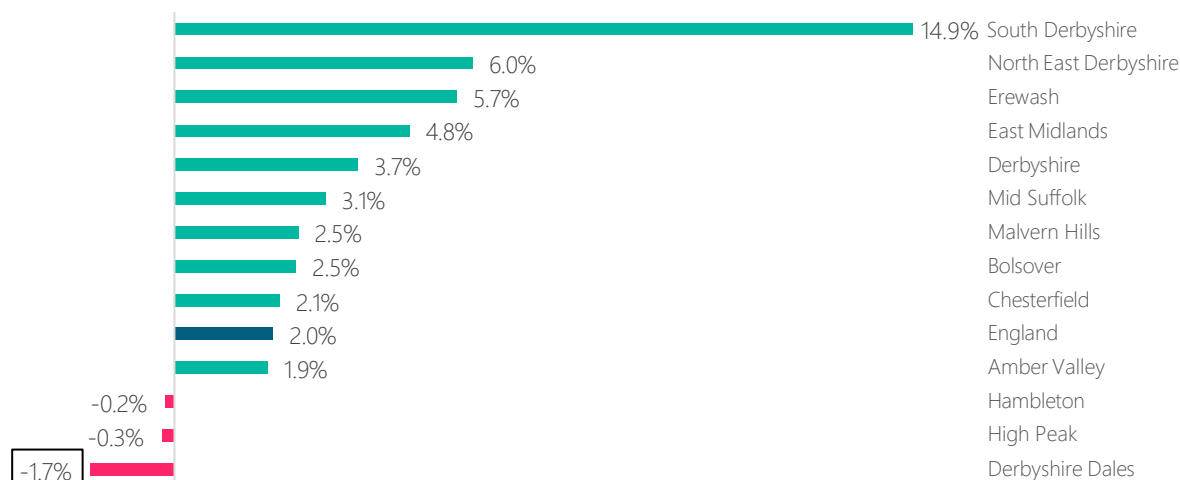
Derbyshire Dales Business Base by Sizeband 2022



Source: ONS, [UK Business Counts, 2022](#)

From 2019 to 2022 Derbyshire Dales has experienced a net loss of businesses with a 1.7% decline in enterprises (80 firms), one of only two local authorities in Derbyshire to not increase its business base. At a county level Derbyshire saw a 3.7% increase in enterprises over the same period, the East Midlands by 4.8% and a national rise of 2.0%.

## Business Counts Change 2019-2022 (%)



Source: ONS, [UK Business Counts](#), 2022

Of enterprises active in Derbyshire Dales in 2022 the largest operating sector was agriculture, forestry and fishing with 900 firms, following a loss of 3.7% (35) since 2019. The largest loss of firms was within the information and communications sector with a fall of 17.8% (40) between 2019 and 2022.

Derbyshire Dales Business Counts by Sector		
Industry	2022	Change 2019-2022(%)
A : Agriculture, forestry and fishing	900	-3.7%
B : Mining and quarrying	10	0.0%
C : Manufacturing	270	1.9%
D : Electricity, gas, steam and air conditioning supply	5	0.0%
E : Water supply; sewerage, waste management and remediation activities	15	50.0%
F : Construction	505	5.2%
G : Wholesale and retail trade; repair of motor vehicles and motorcycles	580	-1.7%
H : Transportation and storage	150	-3.2%
I : Accommodation and food service activities	415	2.5%
J : Information and communication	185	-17.8%
K : Financial and insurance activities	55	10.0%
L : Real estate activities	185	0.0%
M : Professional, scientific and technical activities	610	-4.7%
N : Administrative and support service activities	255	-1.9%
O : Public administration and defence; compulsory social security	55	10.0%
P : Education	70	-17.6%
Q : Human health and social work activities	130	-7.1%
R : Arts, entertainment and recreation	110	0.0%
S : Other service activities	125	8.7%

Source: ONS, [UK Business Counts](#), 2022

#### 4.4 ENTERPRISE BIRTHS/DEATHS AND SURVIVAL RATES

The number of enterprise births describes businesses which did not exist in the preceding two years, whereas deaths are defined by businesses which do not exist in the following two years as per the ONS. High growth enterprises are defined here as all businesses with an annualised growth rate of greater than 20% over a three-year period. Growth is measured by numbers of employment within the business but excludes organisations with fewer than 10 employees so that micro businesses do not skew the data.

Within Derbyshire Dales the rate of business births has decreased at a faster rate than the deaths of existing businesses, however in 2021 there were more enterprise births than deaths (net increase of 30 businesses). Whilst positive that the local authority does not follow the national trend for an increase in business deaths, the rate of births must be maintained to ensure the local business ecosystem does not suffer a loss. Derbyshire dales has also lost the greatest proportion of high growth enterprises when compared to similar areas inside and outside the region.

Change in Business Counts (2016-2021)			
	Births	Deaths	High Growth Enterprises
Amber Valley	-6.3%	1.3%	-40.0%
Bolsover	-45.6%	-28.6%	50.0%
Chesterfield	-19.5%	32.4%	-25.0%
<b>Derbyshire Dales</b>	<b>-4.1%</b>	<b>-1.5%</b>	<b>-40.0%</b>
Erewash	48.4%	9.1%	-25.0%
Hambleton	-2.5%	4.8%	33.3%
High Peak	-16.3%	3.1%	100.0%
Malvern Hills	5.2%	10.0%	50.0%
Mid Suffolk	13.0%	12.3%	-20.0%
NE Derbyshire	38.5%	32.2%	50.0%
South Derbyshire	-4.2%	17.2%	-33.3%
Derbyshire	-2.3%	8.6%	-15.4%
East Midlands	-2.5%	26.8%	-27.2%
England	-9.5%	21.9%	-20.0%

Source: ONS, [Business Demography UK](#), 2022

Derbyshire dales has a greater business survival rate than the national average across all-time series and has the strongest business survival rate after 5 years when compared to similar areas within and outside the region. However the year-to-year comparison of business survival rates has been decreasing since 2016, with fewer businesses surviving at each of the time horizons.

Survival Rates 2016-2020					
Area	1-Year	2-year	3-year	4-year	5-year
Amber Valley	94.0	78.0	68.1	51.0	43.2
Bolsover	95.5	70.4	60.3	55.8	25.6
Chesterfield	95.0	77.8	63.1	56.3	44.8
<b>Derbyshire Dales</b>	<b>93.1</b>	<b>77.3</b>	<b>66.1</b>	<b>56.3</b>	<b>52.1</b>
Erewash	95.7	81.0	58.5	47.0	45.1
Hambleton	92.3	80.0	61.0	59.7	49.4
High Peak	95.2	80.0	62.8	57.1	51.2
Malvern Hills	95.4	79.7	66.7	58.1	45.5
Mid Suffolk	94.7	83.1	67.1	56.6	50.6
North East Derbyshire	94.0	77.6	62.9	53.1	43.1
South Derbyshire	94.3	77.5	59.5	54.7	44.8
Derbyshire	94.6	77.8	62.7	53.5	43.5
East Midlands	94.7	74.6	59.8	47.7	39.6
England	92.9	74.5	57.5	45.7	38.0

Source: ONS, [Business Demography UK](#), 2022

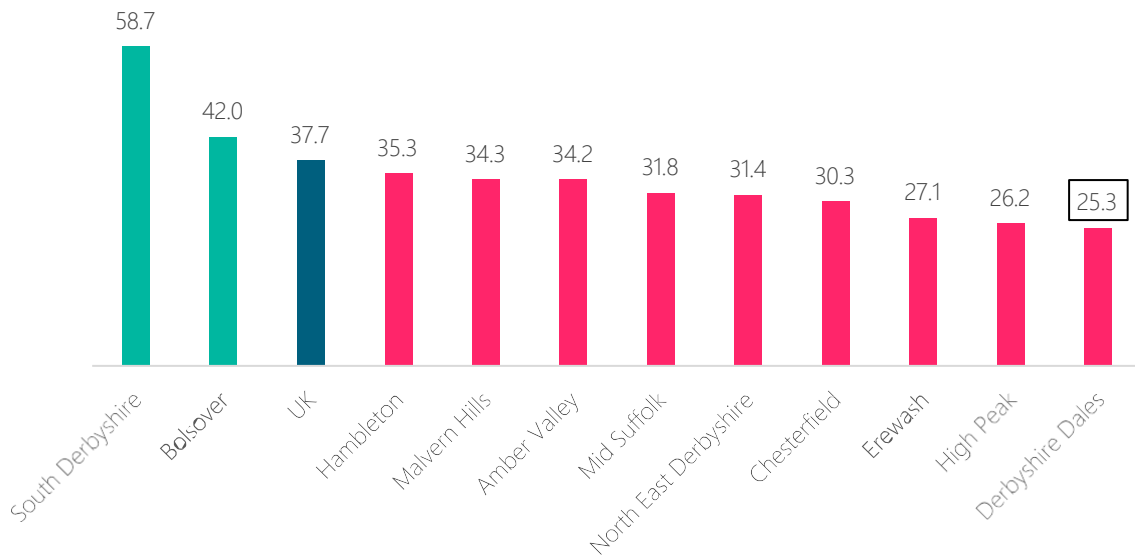
Survival Rate	Change since 2016 (%)
1-Year	-1.4
2-Year	-3.6
3-Year	-3.8
4-Year	-2.7
5-Year	

Source: ONS, [Business Demography UK](#), 2022

#### 4.5 PRODUCTIVITY

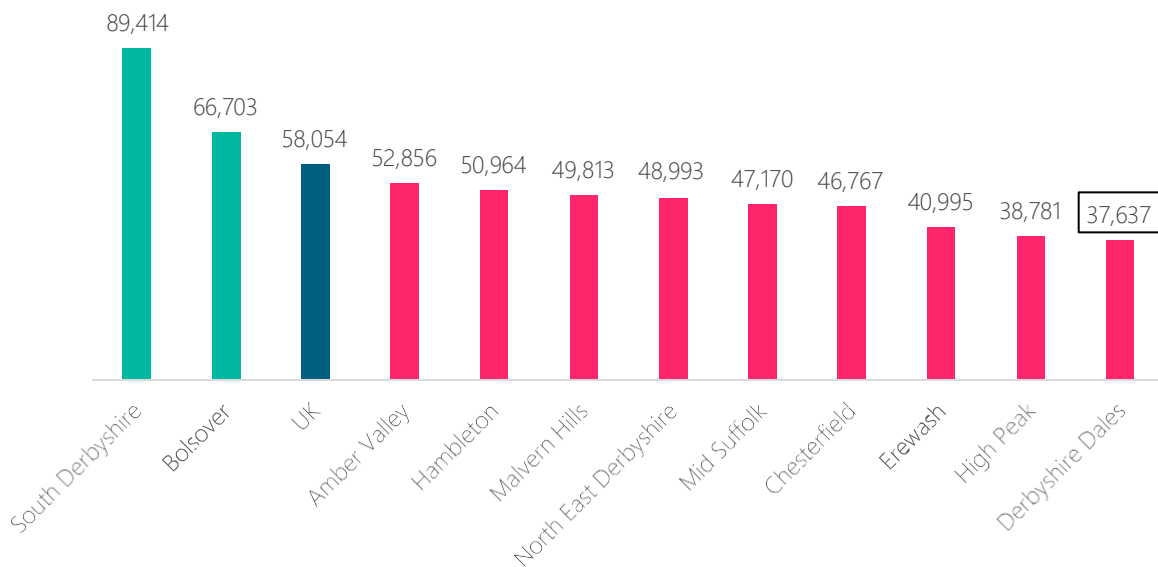
Labour productivity measures the gross value added (GVA) per hour worked or per job filled. Derbyshire Dales performs poorly on both indices of productivity, falling both below the national average and the weakest of all the comparator areas. The Authority has also seen a declining rate of productivity across both measures (-0.3% and -1.2% respectively), which is below the national average and second greatest reduction second only to the High Peaks local authority.

GVA per hour worked (£) 2020



Source: ONS, [Subregional Labour productivity indices](#), 2023

GVA per filled job (£) 2020



Source: ONS, [Subregional Labour productivity indices](#), 2023

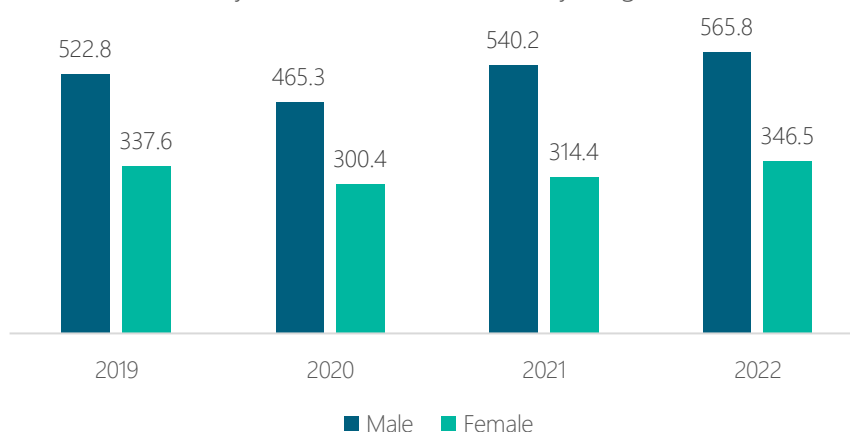
#### 4.6 WAGES

Weekly wages for the Derbyshire Dales were £461.6 in 2022 based on ONS workplace analysis, the second lowest of all local authorities in Derbyshire and £75 lower than the England average despite a 7.1% increase since 2019 (the national figure rose by 11.1% in this time). In contrast, using residence-based analysis, wages were £38.4 lower than the national figure in 2022 at £498.2 having risen 14.4% over the same period.

Workplace Wages		
	2022	Change since 2019 (%)
Amber Valley	478.2	-2.9%
Bolsover	487.9	25.5%
Chesterfield	459.6	2.5%
<b>Derbyshire Dales</b>	<b>461.6</b>	<b>7.1%</b>
Erewash	555.9	29.9%
Hambleton	515.2	22.3%
High Peak	479.9	17.2%
Malvern Hills	491.7	27.4%
Mid Suffolk	505.7	14.7%
NE Derbyshire	489.5	22.2%
South Derbyshire	517.2	16.5%
Derbyshire	485.1	12.1%
East Midlands	496.4	12.6%
England	536.6	11.1%

Source: ONS, [Annual survey of hours and earnings](#), 2022

Derbyshire Dales Median Weekly Wages (£)



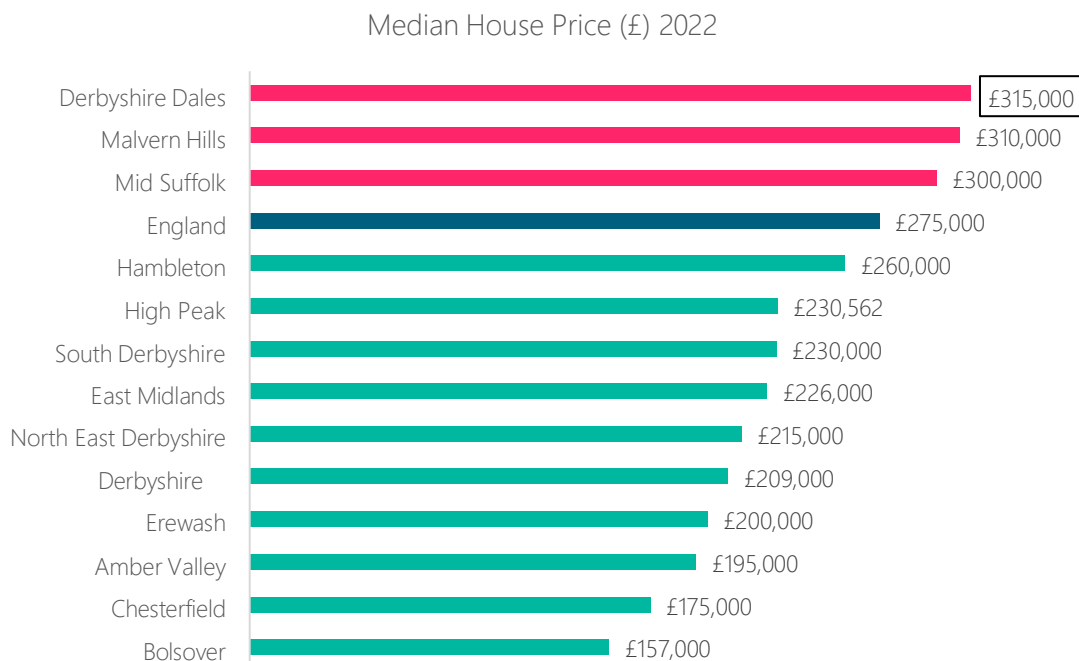
Source: ONS, [Annual survey of hours and earnings](#), 2022

There is also a significant disparity between male and female weekly wages. As of 2022 men were paid £219.30 more a week than women and the gender pay gap is increasing year on year, between 2019 and 2022 male weekly wages rose by 8.2% over triple that of women's (2.6%). At a resident-based analysis in 2022 men were paid £175.80 more than women with wages increasing by 10.6% from 2019 while women's rose by 9.9%.

#### 4.7 HOUSE PRICES AND AFFORDABILITY

Median house prices in the Derbyshire Dales (2022) were higher than any of the comparator local authorities at £315,000, £40,000 higher than the national average and £89,000 higher than the East Midlands average. House prices are also rising, between 2019 and 2022 median house prices in Derbyshire Dales rose by 16.7% while nation wide prices climbed 13.6%.





Source: ONS, [House price to workplace-based earnings ratio](#), 2023

House price affordability is represented through a calculation of a ratio of median house prices to median gross annual (workplace-based) earnings. Median house prices were 13.59 times that of annual earning in Derbyshire Dales for 2022, increasing from 12.20 in 2019. This is the highest ratio of house prices to annual earnings of all Derbyshire local authorities and higher than county (8.45), regional (8.75) and national (9.82) averages.

Ratio of median house price to median gross annual workplace-based earnings					
Area	2019	2020	2021	2022	Change
Amber Valley	7.01	7.26	9.01	8.16	1.14
Bolsover	6.86	6.31	6.93		
Chesterfield	6.95	7.08	7.48	7.26	0.30
<b>Derbyshire Dales</b>	<b>12.20</b>	<b>12.24</b>	<b>12.96</b>	<b>13.59</b>	<b>1.39</b>
Erewash	8.15	6.74	7.22	7.43	-0.72
Hambleton	10.73	10.27	11.77	10.42	-0.30
High Peak		9.06	9.50	9.65	
Malvern Hills	14.75	16.20		11.62	-3.14
Mid Suffolk	10.79	11.06		12.08	1.29
NE Derbyshire	9.39	9.05	9.27	8.42	-0.98
South Derbyshire	9.14	8.42	8.45	8.93	-0.20
Derbyshire	8.18	7.81	8.73	8.45	0.27
East Midlands	8.34	8.29	9.32	8.75	0.40
England	9.62	9.55	10.86	9.82	0.21

Source: ONS, [House price to workplace-based earnings ratio](#), 2023

## 4.8 HOMELESSNESS

Statutory homelessness, as reported by the UK government, is a measurement of the people within the authority who are homeless through no fault of their own, eligible for assistance and have a priority need. When compared to similar regions, Derbyshire Dales has the lowest number of households assessed as homeless (1 in 1000), however the number of households threatened with homelessness is slightly above the national average (6.2 in 1000 compared to 5.6 in 1000).

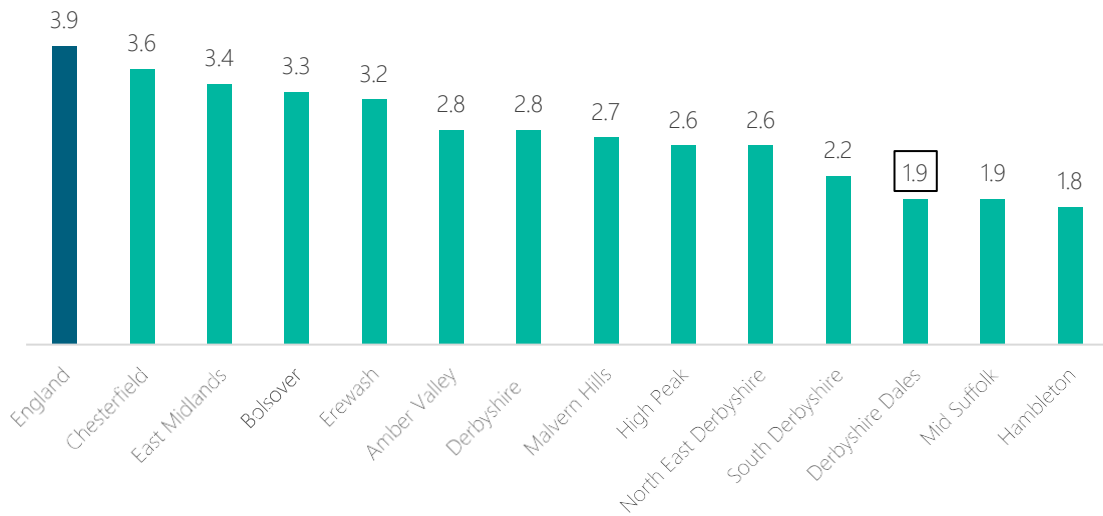
Households (per 000s) 2021/22		
Area	Threatened with homelessness	Assessed as homeless
Amber Valley	4.80	1.84
Bolsover	4.25	2.11
Chesterfield	7.16	5.50
<b>Derbyshire Dales</b>	<b>6.19</b>	<b>1.00</b>
Erewash	3.81	3.39
Hambleton	2.32	2.23
High Peak	7.17	3.32
Malvern Hills	1.42	3.64
Mid Suffolk	4.00	1.63
NE Derbyshire	3.39	1.94
South Derbyshire	2.59	3.41
East Midlands	5.30	5.19
England	5.59	6.06

Source: UK Government, [Homelessness Statistics](#), 2023

## 4.9 CLAIMANT COUNT

Claimant Count as a proportion of residents aged 16-64 was recorded at 1.9 for Derbyshire Dales in April 2023 up from 1.0 at the same point in 2019. Despite the increase this is the lowest proportion of claimants of all Derbyshire local authorities and is significantly lower than the national figure of 3.9 (up from 2.6 in April 2019).

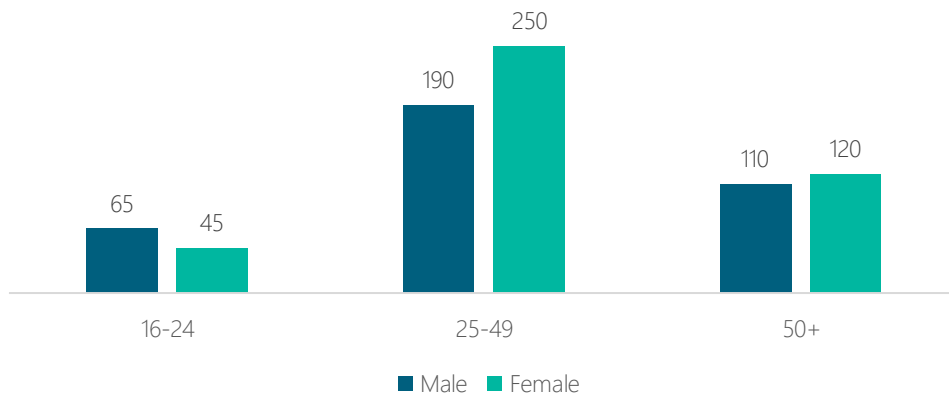
Claimant Count as a proportion of residents aged 16-64 (April 2023)



Source: ONS, [Claimant Count](#), 2023

The breakdown of Derbyshire Dales claimants by gender and age category is displayed below. 56% of claimants were in the 25-49 age bracket in 2023 and there were a marginally higher number of female claimants than male (53%).

Derbyshire Dales Claimants by Age Bracket and Gender April 2023



Source: ONS, [Claimant Count](#), 2023

#### 4.10 QUALIFICATIONS

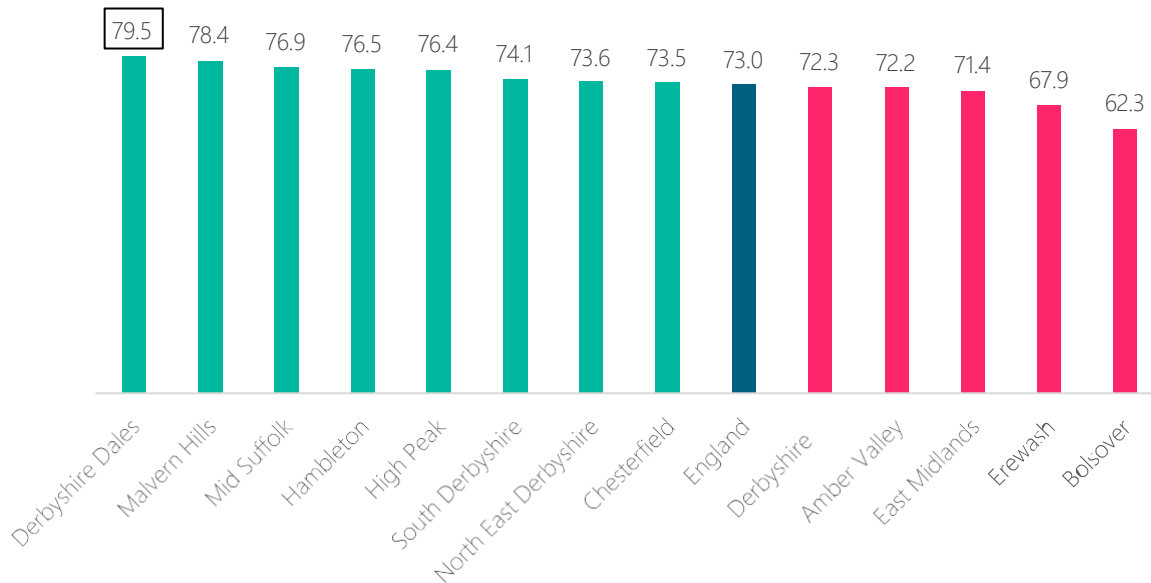
Qualifications data provided by the Office for National Statistics detail the number of people with national vocational qualifications, those in apprenticeships and those with other recognised qualifications. The number of people without qualifications is declining at a faster rate than the national average, which is also greater than the majority of the comparator areas. Those achieving level 1 and 2 qualifications is declining, which is positive as it is offset by a greater proportion of people attaining higher qualifications. A greater number of people are attaining level 3 and 4 and higher qualifications which will enable a greater number of people in the area to access more skilled positions.

Change in number of people with qualifications 2019-2021							
Area	No Quals	NVQ1	NVQ2	NVQ3	NVQ4+	Trade Apprenticeships	Other Quals
Amber Valley	83.3%	15.5%	10.7%	-30.7%	-8.8%	109.5%	52.8%
Bolsover	8.7%	-5.9%	6.5%	-49.1%	124.7%	-36.8%	-13.5%
Chesterfield	19.5%	4.2%	-8.7%	-26.2%	30.2%	-43.2%	-20.8%
<b>Derbyshire Dales</b>	<b>-16.7%</b>	<b>-53.1%</b>	<b>-45.2%</b>	<b>104.3%</b>	<b>6.5%</b>	<b>0.0%</b>	<b>-26.1%</b>
Erewash	118.8%	28.1%	-32.6%	-5.6%	15.2%	-20.8%	-13.3%
Hambleton	40.0%	-31.4%	19.8%	9.1%	-5.6%	0.0%	72.2%
High Peak	32.6%	300.0%	33.3%	-32.9%	-20.8%		-30.0%
Malvern Hills	-67.6%	-42.4%	78.0%	-36.7%	9.2%	33.3%	-9.1%
Mid Suffolk	16.7%	0.0%	-13.4%	45.3%	2.6%	100.0%	0.0%
NE Derbyshire	-41.9%	-57.9%	17.5%	-26.2%	28.9%	40.5%	60.0%
South Derbyshire	141.7%	75.4%	5.9%	-30.7%	-13.9%	-16.7%	27.3%
Derbyshire	23.2%	17.2%	-4.4%	-23.2%	10.2%	2.2%	-3.3%
East Midlands	1.6%	5.6%	4.2%	-10.9%	4.9%	8.8%	-14.7%
England	-13.9%	-5.4%	-2.7%	-1.6%	8.1%	0.9%	-12.1%

Source: ONS, [Annual Population Survey](#), 2022

The percentage of young people achieving maths and English GCSE qualifications by age 19 is the greatest amongst all comparator areas within and outside the region, it is also higher than the national average. When compared to the previous table, this suggests that greater focus could be put on other areas of qualification.

% of young people achieving GCSEs (and equivalent qualifications) in English and maths by age 19 (2020/21)



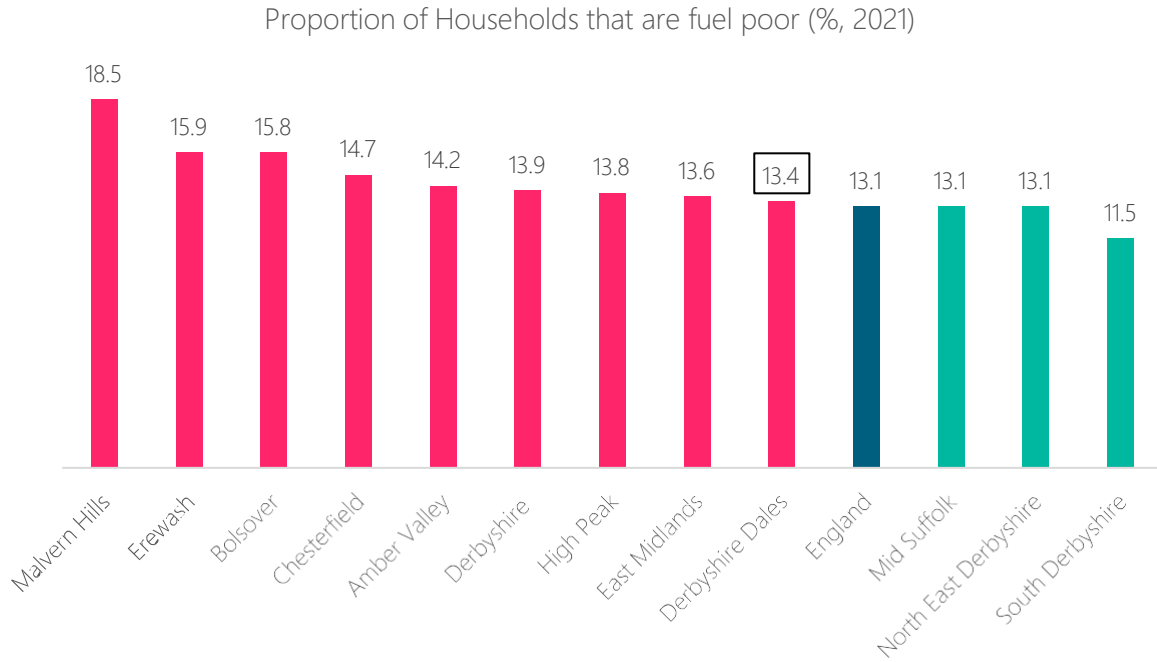
Source: ONS, [Subnational Indicators](#), 2023

#### 4.11 FUEL POVERTY

Fuel poverty in England is measured using the Low-Income Low Energy Efficiency (LILEE) indicator. Under this indicator, a household is considered to be fuel poor if:

- They are living in a property with a fuel poverty energy efficiency rating of band D or below and
- When they spend the required amount to heat their home, they are left with a residual income below the official poverty line

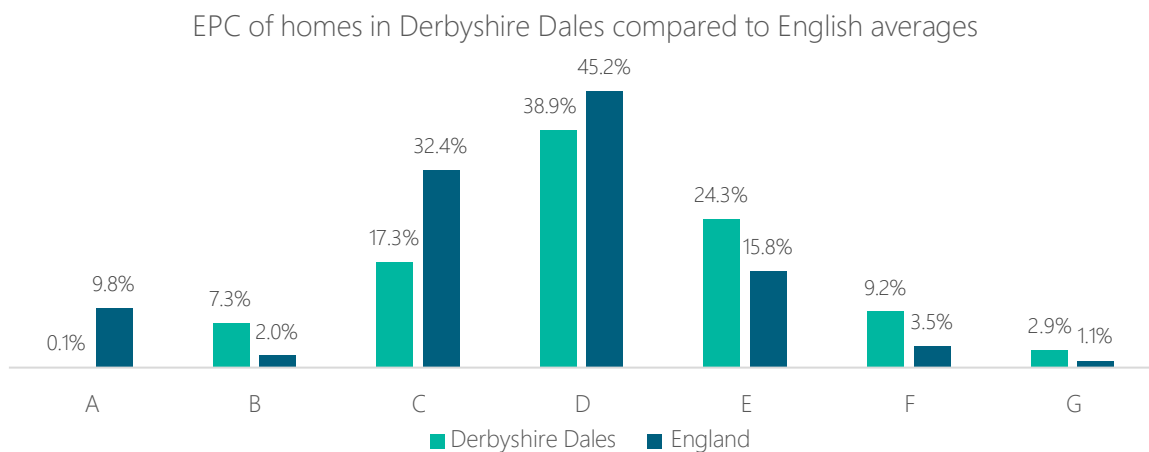
In 2021, 13.4% of households in Derbyshire Dales were considered fuel poor, 0.3% higher than the national average. This figure has also increased by 0.67% since 2019 despite a national reduction in fuel poor households of 2.11%.



Source: Department for Energy Security and Net Zero and Department for Business, Energy & Industrial Strategy, [Fuel poverty statistics](#), 2023

#### 4.12 RETROFIT

In order to improve the environmental sustainability of the housing stock within Derbyshire Dales, less efficient properties may need to be retrofitted with improvements. The Energy Performance Certificate (EPC) system is used by UK Government to assess properties in the UK, ranging from A to G with A signifying the best performance, the average English rating is D. By 2030 the government requires all properties to achieve a C rating. As shown in the chart below, The Authority has an above average proportion of properties at the less desirable end of E F and G ratings.



Source: Derbyshire Dales District Council, Stock Condition Report, 2019

#### 4.13 HOUSING STOCK

The Decent Homes Standard is used to identify properties which are fit for habitation. These dwellings must: be free from any hazard that poses a risk to health and safety, be in a reasonable state of repair, have reasonably modern facilities, provide a reasonable degree of thermal comfort. Derbyshire Dales has a high proportion of older properties (built pre-1918), as expected from properties of this age almost half are seen as Non-Decent (49.7%). A similar problem is faced by these properties when considering Cold and Damp homes, over a quarter of which (27.3%) face this problem. This presents a health and well-being concern which can increase the demand for local healthcare and mental health support. Older homes are also more likely to fail the standards of disrepair set out by the Decent Homes Standard, 15.4% of the pre 1918 homes are fail in this category in Derbyshire Dales.

# KADA:i:

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# Agenda Item 9

OPEN REPORT  
GOVERNANCE AND RESOURCES COMMITTEE

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Governance and Resources Committee – 14 September 2023

**DATA PROTECTION AND INFORMATION GOVERNANCE ANNUAL REPORT  
2022/23**

**Report of the Director of Corporate and Customer Services (Monitoring Officer)**

**Report Author and Contact Details**

James McLaughlin, Director of Corporate and Customer Services  
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**Wards Affected**

District-wide

**Report Summary**

This report is an annual report on the Council's compliance with the General Data Protection Regulation, the Data Protection Act and the Freedom of Information Act.

**Recommendation**

That the Data Protection and Information Governance Annual Report 2022/23 be accepted.

**List of Appendices**

None

**Background Papers**

Nil

**Consideration of report by Council or other committee**

Not applicable

**Council Approval Required**

No

**Exempt from Press or Public**

No

### 1. Background

- 1.1 The function of Information Governance supports the Council's compliance with the General Data Protection Regulations GDPR (UK GDPR), Data Protection Act (DPA) 2018, Freedom of Information Act 2000 (FOIA) and Environmental Information Regulations (EIR). The Council has a statutory obligation to comply with the IG framework by responding appropriately to requests and managing personal data lawfully. Officers within the Corporate and Customer Services department assist the organisation by monitoring internal compliance, informing and advising on data protection obligations, providing advice and guidance and raising awareness on data protection matters.
- 1.2 FOIA/EIR impose a statutory obligation on the Council to respond to requests for information within 20 working days, subject to relevant exemptions. The Code of Practice, issued by the Secretary of State for Constitutional Affairs under Section 45 of the FOIA, requires public authorities to have a procedure in place to deal with complaints in regard to how their requests have been handled. This process is handled by the Information Governance Team as an FOI/EIR internal review. After an internal review has been completed an applicant has a right to complain to the Information Commissioner's Office (ICO) for an independent ruling on the outcome. Based on the findings of their investigations, the ICO may issue a Decision Notice. The ICO may also monitor public authorities that do not respond to at least 90% of FOI/EIR requests they receive within 20 working days.
- 1.3 The DPA 2018 provides individuals with the right to ask for information that the Council holds about them. These are also known as Subject Access Requests (SARs). The Council should be satisfied about the individual's identity and have enough information about the request. The timescale for responding to these requests is one month, starting on the day of receipt. Authorities can extend the time taken to respond by a further two months if the request is complex or a number of requests have been received from the individual, e.g. other types of requests relating to individuals' rights.
- 1.4 There is no requirement for the Council to have an internal review process for SARs. However, it is considered good practice to do so. Therefore, the Council informs applicants of the Council's internal review process. However, individuals may complain directly to the ICO if they feel their rights have not been upheld.
- 1.5 The Council's management of data protection security incidents is undertaken by the Information Governance Officer on behalf of the Data Protection Officer (DPO), who records, investigates and where necessary, recommends actions to be taken based on the impact risk level.
- 1.6 Monitoring of the Council's compliance with GDPR and DPA is carried out by the Information Governance Board which is chaired by the Council's Data Protection Officer. The Director of Corporate and Customer Services became the Data Protection Officer in December 2022, taking on the

responsibility from the Director of Resources following a reallocation of responsibilities. Any risks relating to Information Governance, including GDPR and Data Protection are monitored on a regular basis by this group. Risks and actions are logged and reviewed at Information Governance Board meetings and, if necessary, are escalated in line with the Council’s risk management processes.

- 1.7 The regulator for information in the UK is the Information Commissioner’s Office (ICO), which is “an independent body established to uphold information rights in the public interest, promoting openness by public bodies and data privacy for individuals”. Part of the ICO’s role is thus to hold organisations to account for the way they manage their information. As an organisation that processes personal data, the Council is required to register with the ICO, and pay an annual fee. The Council’s Data Protection Registration Number is Z6752355, and the current registration expires on 15 May 2024.

## 2. Key Issues

### *Performance*

- 2.1 Performance reporting is an important part of helping to ensure that the Council is monitoring the effectiveness of its information governance arrangements, and its compliance with legislation.
- 2.2 There are a number of performance indicators that are measured and regularly reported to the Information Governance Board:

<b>Performance Indicator</b>	<b>2020/21</b>	<b>2021/22</b>	<b>2022/23</b>
Number of Security Incidents reported (all incidents)	33	25	8
Number of data breach notifications to the ICO	0	0	0
Number of Subject Access Requests (SARs) received	10	7	7
Number of open SARs	0	0	0
Number of overdue SARs	0	0	0
% of SARs responded to within statutory timescales	100%	100%	100%
Third Party Requests (e.g. Proof of Life, CCTV, DWP, HMRC, Local Authorities etc)	16	16	14
Number of Information Requests (FOI/EIR) received	621	662	716
% of Information Requests responded to within statutory timescales	98%	99%	99%

- 2.3 There is a lack of benchmarking information available regarding information governance matters. The Council is not required to submit any annual returns to the Information Commissioner’s Office or any other body, and there is therefore no published data that can help the Council assess how it compares to other similar authorities. The ICO has stated its intention to

publish statistical information at some point, but there are no timescales associated with this at the current time.

### ***Training and Awareness***

- 2.4 It is critical that all Council staff understand the importance of dealing with the Council's information appropriately, safely and securely. Getting it right means the personal information the Council holds about customers and citizens, and the Council's own information, is protected.
- 2.5 The ICO requires all staff to undertake mandatory data protection training at least every two years. Since this requirement has been in place, the District Council has used an e-learning training package. This has the advantage of ensuring that the content is directly relevant to Council staff.
- 2.6 In addition to formal training, awareness-raising is also a valuable way of keeping staff apprised of information governance matters. There are various mechanisms available to facilitate this, including: publishing information governance advice and guidance on the Council's intranet, which is updated and expanded regularly.
- 2.7 Information governance training, covering data protection and Freedom of Information, is also provided to all District Councillors by the Information Governance Team following an election. All 34 District Councillors were invited to training on 25 July, which was recorded and made available to all Members after this date. This training followed the Council elections in May 2023 as part of the induction programme, and individual sessions for any Member can also be provided as required.

### ***Information Security Incidents and Personal Data Breaches***

- 2.8 Confidentiality and security of information about service users and citizens is extremely important, and the Council has robust policies and processes in place to minimise the risks associated with collecting, storing and managing vast amounts of information.
- 2.9 Some information security incidents result in a personal data breach, which occurs when personal or 'special category' data is lost, damaged or destroyed, either accidentally or on purpose; and/or shared with, or accessed by, someone who is not entitled to access it, either accidentally or on purpose.
- 2.10 The UK GDPR states that where a personal data breach incident is likely to result in risk of harm to the rights and freedoms of individuals, the Council must inform the ICO within 72 hours of becoming aware of the breach. This requires the use of the ICO's standard notification form. The Council also has a lawful duty to inform the individuals affected without undue delay if a breach is likely to result in high risk to their rights and freedoms.

### ***Individuals' Rights***

- 2.11 UK Data Protection law provides a number of rights for individuals in relation to the personal data that an organisation holds about them, namely:

- The right to be informed
- The right of access
- The right to rectification
- The right to erasure
- The right to restrict processing
- The right to data portability
- The right to object
- Rights in relation to automated decision-making and profiling

2.12 Under data protection legislation, the Council must give individuals the right of access to their personal information under the ‘right of access’. An individual can submit a Subject Access Request (SAR) requiring the Council to provide them with a copy of any personal information which it holds about the individual. The right of access to records can also be exercised by an authorised representative on an individual’s behalf (for example, a solicitor). The Council has one month to respond to a valid SAR, although this can be extended by two months for requests where the records are deemed to be voluminous and/or complex.

2.13 Since 2018 increased awareness of the rights of individuals to access information about themselves has resulted in a significant increase in the number of SARs submitted to the Council in recent years. This has resulted in Information Governance Officer spending significant time and resource to ensure statutory deadlines are complied with.

2.14 Since GDPR has been in force, there have been a number of requests from individuals exercising rights (other than the right of access referred to above), relating to their personal data. Particularly, there has been an increase in terms of requests under ‘the right to erasure’ (also known as the ‘right to be forgotten’), and ‘the right to rectification’ (of inaccurate or incomplete information). The Council has one month to respond to such requests, and these are actioned by services where it is appropriate to do so.

Type of request	Number of requests	
	2021/22	2022/23
Request to erasure	0	0
Request to rectification	3	1
Request to restrict processing	0	0
TOTAL	3	1

### ***Freedom of Information***

2.15 The Freedom of Information (FOI) Act 2000 provides a general right of access to recorded information held by any public authority. The Environmental Information Regulations (EIR) 2004 provide a similar right of access to environmental information held by public authorities.

2.16 Requests received by the Council under FOI or EIR regimes have similar obligations and are handled in a similar way. Anyone can make a request, and the Council receives requests from a wide variety of sources, including

individual citizens, organisations, media organisations, political organisations and legal bodies.

2.17 The process for handling FOI and EIR requests is co-ordinated by the Council’s Business Support Team, with relevant services providing the information for the response to the request.

2.18 In the last three years, the District Council has managed the following numbers of requests under FOI and EIR:

	<b>2020/21</b>	<b>2021/22</b>	<b>2022/23</b>
<b>Total number received</b>	621	661	716
<b>Total responded to by the District Council</b>	529	569	600
<b>Number re-directed to Derbyshire County Council</b>	85	89	109
<b>Number withdrawn</b>	7	3	7
<b>Number covered by an exemption</b>	37	41	17
<b>Number of Internal Reviews for FOI responses received</b>	3	1	6

2.19 Under the legislation, the Council must respond to all FOI/EIR requests for information within 20 working days. Failure to comply with this deadline could lead to a complaint by a specific requestor to the Information Commissioners Office (ICO). The ICO has the power to serve a Decision Notice on a public authority for failing to comply with the 20-working day deadline.

2.20 The ICO’s expected minimum level of compliance with responding to FOI and EIR requests is 90%. As the table below shows, the Council has exceeded this target in each of the last three years.

2.21 If a requester is not satisfied with the response to their FOI/EIR request, they can request an Internal Review of the response. In 2022/23, 6 such reviews were requested, which equates to 0.8% of the total requests received. In 6 cases, the review upheld the Council’s original response, 0 cases were partially upheld and 0 were overturned. 0 complaints were lodged with the ICO.

### ***Priority Activities for 2023-24***

2.22 Listed below is a summary of some of the main developmental activities that are planned for 2023/24. Progress against these actions will be reported in the Annual Report for 2023/24:

- Improve the Council’s compliance with the ICO Accountability Tracker – this will be a key task for the new Director of Corporate and Customer Services in their capacity as the authority’s Data Protection Officer

- Review and update the Council's Information Asset Register and Records of Processing Activities to take account of new processes and systems
- Review and update the Council's suite of information governance policies to reflect organisational changes and wider national developments
- Further develop the 'self-service' approach to information management advice and guidance via the Council's intranet
- Implement additional measures to seek to minimise the number of security incidents occurring, including targeting additional training for those services where incidents are most prevalent
- Work collaboratively across services to maintain the Council's high compliance rate for Subject Access Requests (SARs)

### **3. Options Considered and Recommended Proposal**

- 3.1 There are no new proposals or recommended options. However, it is a requirement that the Council continues the maintenance of its Information Governance policies and processes in compliance with Data Protection requirements.
- 3.2 It should be noted that continued compliance to GDPR and the Data Protection Act 2018 can only be achieved by the continued support of all Council staff and Councillors. Key roles such as Information Asset Owners and Data Protection Officer can use existing governance structures to ensure ongoing compliance.
- 3.3 It is essential that the Council continues to monitor and report on its performance in relation to access to information requests, information security incidents and training completed in order to promote best practice information governance and drive continuous improvement in the Council's ability to comply with the laws relating to information.

### **4. Consultation**

- 4.1 There are no proposals for decision within this report so there has been no need to consult on the content of the paper.

### **5. Timetable for Implementation**

- 5.1 There are no proposals for decision within this report so there is no timetable for implementation.

### **6. Policy Implications**

- 6.1 There are no direct policy implications arising from this report. However, ensuring the Council's information governance policies are kept up to date and relevant is a critical element in ensuring the Council is compliant with all relevant legislation and changes in the national policy landscape.
- 6.2 The Council has a comprehensive suite of information and IT security policies, all of which are published on the Council's website, and all policies are reviewed every two years as a minimum. A review of all policies will be

undertaken within three years of adoption, with any significant revisions approved by the Information Governance Board.

- 6.3 The monitoring and reporting of the Council's performance regarding responding to, and handling access to information requests under FOIA and DPA 2018, including any complaints made to the ICO will enable continuous improvement, raise awareness and promote high standards of information governance, fostering a culture of openness and transparency within the Council and demonstrating our commitment to best practice information governance, security, and protection.

## **7. Financial and Resource Implications**

- 7.1 There are no direct financial or resources implications directly arising from this report.

## **8. Legal Advice and Implications**

- 8.1 There are no legal implications arising from this report, except to reiterate that the council has a duty to comply with Data Protection legislation.

## **9. Equalities Implications**

- 9.1 There are no direct equalities implications arising from this report.

## **10. Climate Change and Biodiversity Implications**

- 10.1 There are no direct climate change or biodiversity implications arising from this report.

## **11. Risk Management**

- 11.1 Risks and mitigation will be managed by Information Governance Board, the Corporate Leadership Team and the council's risk processes. There are three principle risks that are monitored regularly:

(a) The growth in the number of security incidents occurring throughout the Council could lead to the greater loss of sensitive information and a corresponding rise in data breaches involving sensitive personal information, resulting in harm to citizens, damage to the Council's reputation and the imposition of sanctions from the Information Commissioner's Office.

(b) The continued growth in the volume and complexity of Subject Access Requests (SARs) from individuals wishing to access their personal data has resulted in a significant increase in workload for the Information Governance Officer. This increase impacts on their capacity to undertake other parts of their role, which in turn increases the risk of issues arising.

(c) There is a risk the Council could be subject to a major cyber security attack or information breach resulting in financial loss, significant disruption to services, and reputational damage.



## Report Authorisation

Approvals obtained from Statutory Officers:-

	<b>Named Officer</b>	<b>Date</b>
Chief Executive		
Director of Resources/ S.151 Officer (or Financial Services Manager)	Karen Henriksen	25/08/2023
Monitoring Officer (or Legal Services Manager)	James McLaughlin	06/09/2023

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# Agenda Item 10



## OPEN REPORT GOVERNANCE AND RESOURCES COMMITTEE

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### Governance & Resources Committee – 14 September 2023

#### ANNUAL GOVERNANCE STATEMENT 2022/23

#### Report of the Director of Resources

##### Report Author and Contact Details

Karen Henriksen, Director of Resources  
01629 761284 or karen.henriksen@derbyshiredales.gov.uk

##### Wards Affected

District-wide

##### Report Summary

The Annual Governance Statement provides an overview of how the Council's governance arrangements operate. Governance comprises the systems and processes, culture and values by which the Council is directed and controlled, and through which it is accountable to, engages with and leads the community.

This report covers the annual review to ensure that governance arrangements remain effective. The report shows the extent to which the Council has complied with its own code of governance and describes significant governance issues, alongside an explanation of what actions have been taken to bring about required improvements, and what work is still to be done. This provides transparency and gives assurance that the Council is committed to continuously improve the way in which it functions.

##### Recommendations

1. That the Annual Governance Statement for 2022/23 is approved.
2. That the significant governance issues be noted and the action plan to address them be approved.

##### List of Appendices

Appendix 1 Annual Governance Statement 2022/23

##### Background Papers

Accounts and Audit Regulations 2015  
DDDC Code of Corporate Governance September 2015  
CIPFA/SOLACE Statement "Delivering Good Governance in Local Government: Framework – 2016 Edition".

##### Consideration of report by Council or other committee

Not required

**Council Approval Required**

No

**Exempt from Press or Public**

No

## Annual Governance Statement 2022/23

### 1. Background

1.1 Confidence in public sector governance is of critical importance given the significant investments by the government and council tax payers in local services. The Annual Governance Statement (AGS) should not be seen as a dry financial requirement, but as an important public expression of what the Council has done to put in place good business practice, high standards of conduct and sound governance.

1.2 Councils face intense pressure to deliver services in the face of inflationary pressures, increased customer demands / expectations and uncertainty in government funding levels. The [International Framework: Good Governance in the Public Sector](#) (CIPFA/IFAC, 2014) defines governance as follows:

“Governance comprises the arrangements put in place to ensure that the intended outcomes for stakeholders are defined and achieved”.

The International Framework also states that:

- To deliver good governance in the public sector, both governing bodies and individuals working for public sector entities must try to achieve their entity’s objectives while acting in the public interest at all times.
- Acting in the public interest implies primary consideration of the benefits for society, which should result in positive outcomes for service users and other stakeholders.

1.3 Effective governance is essential if senior officers and members are to meet these exacting challenges. Councils must produce an AGS published with the annual accounts to report publicly on how they have complied with their governance code and describe any governance issues and explain how they will be addressed.

1.4 The Accounts and Audit Regulations 2015 require local authorities to conduct a review of its system of internal control at least once a year, and, following that review, to publish an annual governance statement prepared in accordance with proper practices in relation to internal control.

1.5 The Chartered Institute of Public Finance and Accountancy (CIPFA) and the Society for Local Authority Chief Executives (SOLACE) have jointly published guidance and a framework relating to the preparation of an AGS in ‘Delivering Good Governance in Local Government’ (the Framework). It also takes into account the introduction of the CIPFA Financial Management Code (FM Code).

### 2. Key Issues

2.1 The Annual Governance Statement for 2022/23 is attached at Appendix 1. It is consistent with the CIPFA/SOLACE publication ‘Delivering Good Governance in Local Government’. The layout of the Annual Governance Statement reflects the layout of the Council’s Code of Corporate Governance and the

CIPFA/SOLACE guidance. The AGS also takes account of the standards and requirements of the CIPFA Financial Management Code (FM Code).

2.2 The Annual Governance Statement describes the key elements of the governance framework and the process that has been applied in maintaining and reviewing the effectiveness of the governance framework. Section 6 of the AGS identifies the following **five** significant governance issues and provides an action plan to show how they will be addressed:

- a. There is a budget gap for future years as identified in the Medium-Term Financial Plan, which will be exacerbated by rising inflation;
- b. Arrangements for asset management need to be strengthened;
- c. Improvements are required in our data protection arrangements;
- d. Internal audit resources have been insufficient to complete the internal audit plan;
- e. Employees' awareness of financial regulations should be raised.

2.3 In accordance with proper practice, the Annual Governance Statement must be signed by the Leader of the Council and by the Chief Executive, who must be satisfied that the document is supported by reliable evidence and accurately reflects the Council's governance arrangements. The role of the Governance & Resources Committee is to be satisfied that the Annual Governance Statement properly reflects the risk environment and any actions required to improve it, and to demonstrate how governance supports the achievements of the authority's objectives.

### **3. Options Considered and Recommended Proposal**

3.1 Not applicable.

### **4. Consultation**

4.1 The Senior Management Team, Head of the Internal Audit Consortium and other key officers have been consulted during the preparation of this Annual Governance Statement.

### **5. Timetable for Implementation**

5.1 The timetable for the implementation of the action plan is set out in part 6b of the Annual Governance Statement.

### **6. Policy Implications**

6.1 Preparation of an Annual Governance Statement helps to identify principal risks to the achievement of the Council's objectives and priorities.

### **7. Financial and Resource Implications**

7.1 It is expected that measures to deliver the action plan can be contained within existing budgets. If that proves not to be the case, a report will be presented to a future Committee or Council meeting, when financial risks will be assessed. The financial risk arising from this report is low.

7.2 While there are resource implications in delivering the action plan (and some have been brought forward from 2021/22 and delayed due to a lack of capacity caused by the pandemic, subsequent backlog of work and by vacant posts that were difficult to fill), it is now considered that sufficient capacity is in place to address the actions during 2023/24.

## **8. Legal Advice and Implications**

8.1 The Council's Framework for Corporate Governance requires the Council to put in place effective arrangements for an objective review of risk management and internal control. This Statement helps to satisfy that requirement.

8.2 This report details the Annual Governance Statement for 2022/23.

8.3 There are two recommended decisions contained in this report. The legal risk connected to these decisions has been assessed as low.

## **9. Equalities Implications**

9.1 None

## **10. Climate Change Implications**

10.1 None

## **11. Risk Management**

11.1 The Annual Governance Statement gives the Council an opportunity to reflect and report publicly on the extent to which it has complied with its own code of governance. This process helps to identify principal risks to the achievement of the Council's objectives.

### **Report Authorisation**

Approvals obtained from Statutory Officers:-

	<b>Named Officer</b>	<b>Date</b>
Chief Executive	Paul Wilson	24/08/2023
Director of Resources/ S.151 Officer (or Financial Services Manager)	Karen Henriksen	24/08/2023
Monitoring Officer (or Legal Services Manager)	Kerry France	24/08/2023

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## ANNUAL GOVERNANCE STATEMENT 2022/23

### 1. Introduction

This Annual Governance Statement explains how Derbyshire Dales District Council has complied with its own code of corporate governance and against guidance on best practice\*.

Corporate governance is about making sure that the council is run properly. It relates to the systems, processes, values and culture which ensure that the Council develops, delivers and reviews the services it provides, works collaboratively and engages with and leads the community it serves. It is about trying to achieve the Council's objectives while acting in the public interest at all times. This means carrying out business so that the Council:

- operates in a lawful, open, inclusive and honest manner;
- makes sure that public money is safeguarded, properly accounted for and used economically, efficiently and effectively;
- has effective arrangements for the management of risk;
- secures continuous improvements in the way that it operates.

Good corporate governance ensures that the Council meets its published objectives whilst also assessing whether those objectives have delivered the services at an appropriate cost. It consists of the systems, controls and procedures that ensure that certain desirable activities happen or that undesirable events are avoided. It cannot and does not set out to eliminate all risks in relation to the failure to deliver policies and objectives as this is neither achievable nor desirable. It can therefore only provide a reasonable level of assurance, based on an assessment of the likelihood and the potential impact of risk to the achievement of the Authority's stated objectives, balanced with the resources available to deliver those objectives.

The Authority has published a Code of Governance which sets out the seven key principles of good governance to which it aspires. It sets out the main principle of good governance and the means of demonstrating compliance for each of these principles. A copy of the current Code is available on the [governance page](#) of our website.

The processes being reviewed in this Statement have operated throughout the whole of the financial year ending 31 March 2023, except where stated, and will remain in operation up to the date of approval of the 2022/23 Statement of Accounts (expected by 15 February 2024). The key elements of the framework which are in place to meet the Council's responsibilities under the Code are set out in the following pages, together with an Action Plan (at the end of this statement) to identify any significant governance issues and explain how the Council will address them.

\*The guidance applicable to 2022/23 is the CIPFA/SOLACE publication "Delivering good governance in local government", issued in April 2016.

## 2. How do we know that our arrangements are working?

The Council operates in a complex and constantly evolving financial, policy and legislative environment. The role, responsibilities and funding models of local government continue to be in a period of transition. The Council's Corporate Plan sets out its priority actions.

Every year a review of the effectiveness of the Council's governance framework is conducted by the Corporate Leadership Team, supported by officers from internal audit, financial services and legal. Consideration is also given to reports from internal and external audit and from other inspection bodies (e.g. the Local Government Ombudsman's Annual report and findings on individual complaints, Food Standards Agency assessments and peer reviews).

The focus of the review is to:

- collate and evaluate evidence of corporate governance arrangements;
- compare the evidence against the Council's Code of Corporate Governance and the CIPFA/SOLACE guidance\*;
- identify areas requiring action, which are highlighted in the Action Plan at the end of this statement.

The governance review process includes:

- The consideration of the Statement of Accounts;
- The Internal Audit Annual Report, which includes the Internal Audit Consortium Manager's opinion on the overall adequacy and effectiveness of the Council's control environment;
- A review of compliance with the Council's Local Code of Corporate Governance with reference to CIPFA/Solace Guidance;
- An assessment of compliance with CIPFA's Financial Management Code;
- Sign off by the Leader of the Council and the Chief Executive, once approved.

On the basis of our internal review of the operation of the Governance Framework and our assessment against the provisions of the CIPFA/SOLACE Code, the arrangements for the 2022/23 financial year have been assessed as **COMPLIANT, with some planned improvements required**. This indicates that, in general, strong systems are in place but that there are some processes where further action is required.

Details of the review are set out in the following pages of this statement.

A success during 2022/23 is indicated by








Areas for improvement are highlighted by





This year **five** governance issues have been identified; the action plan outlined at the end of this statement summarises the areas of governance focus needed to maintain an effective governance framework in respect of these issues.

### 3. Did we meet the principles of Corporate Governance set out in our Code?




PRINCIPLE 1 - Behaving with integrity, demonstrating strong commitment to ethical values and respecting the rule of law		
How we meet this principle	Source of assurance	Successes and Areas for Improvement
<p>243</p> <ul style="list-style-type: none"> <li>➤ We have set out our priorities in our Corporate Plan;</li> <li>➤ Our Codes of Conduct for members and employees set out clearly the standards that are expected, arrangements for reporting non-compliance and sanctions for any misconduct;</li> <li>➤ Our values have been embedded in policies and processes;</li> <li>➤ Our Contract Standing Orders require external organisations that provide services on behalf of the Council to act with integrity and in compliance with ethical standards expected by the Council;</li> <li>➤ We make sure that employees and members are able to fulfil their responsibilities in accordance with legislative and regulatory requirements;</li> <li>➤ We strive to optimise usage of the full powers available for the benefit of residents, communities and other stakeholders;</li> <li>➤ We deal with breaches of legal and regulatory provisions effectively;</li> <li>➤ We have effective arrangements to deal with incidents involving misuse of power;</li> <li>➤ We have effective arrangements for the discharge of the head of paid service function.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">Corporate Plan</a></li> <li>• Councillors' Code of Conduct</li> <li>• Report to Council (26/01/23) on Members Allowances from the Independent Remuneration Panel</li> <li>• Employee Code of Conduct</li> <li>• Planning Code of Good Practice</li> <li>• Protocol on Employee/Member Relations – Constitution</li> <li>• <a href="#">Constitution</a></li> <li>• <a href="#">Sponsorship Guidelines</a> published on website</li> <li>• <a href="#">Risk Management Policy and Strategy</a></li> <li>• Risk assessments included in reports to committees and Council</li> <li>• Annual Complaints Report</li> <li>• Confidential Reporting (Whistleblowing) Policy</li> <li>• Anti-Fraud, Bribery and Corruption Policy</li> <li>• Corporate Enforcement Policy</li> <li>• Regulation of Investigatory Powers Act Surveillance Policy &amp; Annual Report</li> <li>• Protocol on the Management of the Civic Allowance (part of the Constitution)</li> <li>• Inductions for new members and employees</li> <li>• Annual Performance and Development Reviews</li> <li>• Job Evaluation Panel</li> </ul>	<p style="text-align: center;"></p> <p>A Corporate Plan setting out our vision and improvement priorities for 2020 – 2024 was approved in March 2020 and reviewed in March 2022 when 27 specific targets were set for 2022/23. Progress against targets is monitored quarterly.</p> <p style="text-align: center;"></p> <p>The Anti-Fraud, Bribery and Corruption Policy (including Money Laundering) was reviewed and updated during 2018/19. It was due for a review in 2020/21, but this has been deferred to 2023/24 due to resources being diverted to addressing the impact of coronavirus during 2020/21 and 2021/22 and subsequent backlog of work. A review is planned in 2023. This is not seen as a significant governance issue.</p> <p>Our internal audit reviews in 2022/23 have not identified any incidents of fraud. However, the number of reviews carried out has been fewer than usual due to vacant posts within internal audit. This means that that an audit opinion cannot be provided.</p>

	<ul style="list-style-type: none"> <li>• Complaints Policy</li> <li>• Employee recruitment, interview and selection procedure</li> <li>• Job descriptions</li> <li>• Compliance with CIPFA's "Statement on the Role of the Role of the Head of Internal Audit"</li> <li>• Compliance with CIPFA's "Statement on the Role of the Chief Financial Officer in Local Government"</li> <li>• Records of legal advice provided by officers</li> <li>• Monitoring Officer provisions</li> <li>• Procurement Strategy and Sustainable Procurement Policy</li> <li>• Information Governance Framework</li> <li>• Data Protection Policy</li> <li>• Contracts with service providers.</li> <li>• Reports from the Local Government Ombudsman &amp; Annual Report to Governance &amp; Resources Committee</li> <li>• Audit reports issued by Food Standards Agency (none issued in 2022/23)</li> <li>• Food Law Enforcement Service Business Plan (reported to Committee in September 2022)</li> <li>• The Chief Executive is the Council's Head of Paid Service, who is supported in this role by the Corporate Leadership Team and the Human Resources Manager.</li> </ul>	<p style="text-align: center;"></p> <p style="text-align: center;">In September 2022 we approved a revised Procurement Strategy and a new Sustainable Procurement Policy for the period to 2026 to meet the Council's commitments under the Climate Change Action Plan</p> <p style="text-align: center;"></p> <p style="text-align: center;">It has been identified that there is a lack of awareness amongst some employees of what is required to ensure compliance with Financial Regulations. Following the review of financial regulations and contract standing orders that will be raised and training, guidance and support provided.</p> <p style="text-align: center;"></p> <p style="text-align: center;">It has been identified that the Information Governance Framework and Data Protection Policy need a review.</p>
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PRINCIPLE 2 – Ensuring openness and comprehensive stakeholder engagement		
How we meet this principle	Source of assurance	Successes and Areas for Improvement
<ul style="list-style-type: none"> <li>➤ Our Committee and Council meetings are open to the public and agendas, reports, minutes and video recordings are available on our website;</li> <li>➤ The minutes of our meetings provide clear reasoning and evidence for decisions;</li> <li>➤ The Council is compliant with the Openness of Local Government Bodies Regulations 2014;</li> <li>➤ On our website we publish key performance indicators, financial information and details of the earnings, interests and activities of our Members and senior managers.</li> <li>➤ We consult widely on our plans and use feedback to inform our decisions; we provide information in response to Freedom of Information requests wherever possible to do so under relevant law and outline any exceptions to this policy. We publish our Freedom of Information Policy and procedures.</li> <li>➤ We operate clear and accessible arrangements for procuring supplies and services.</li> <li>➤ We have regular meetings with larger Town and Parish Councils to ensure that we work more closely.</li> <li>➤ We have a programme of forums / workshops to engage with local businesses.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">Constitution</a></li> <li>• <a href="#">Corporate Plan</a></li> <li>• Reasoned decisions at quasi- judicial meetings</li> <li>• FOI Publication Scheme</li> <li>• Details of spending over £250 on website</li> <li>• Regulation of Investigatory Powers Act 2000 Policy</li> <li>• Data Protection Policy</li> <li>• Council and Committee decisions</li> <li>• Report templates with specific reasons for exemptions from publication</li> <li>• Web casting and recording of meetings</li> <li>• Public Participation Scheme</li> <li>• Area Community Forums</li> <li>• Market Traders Forums</li> <li>• Town and Parish Council Conference</li> <li>• Matlock Bath Illuminations Group</li> <li>• Council website</li> <li>• Calendar of meetings</li> <li>• Communications Strategy</li> <li>• Community &amp; Engagement Strategy</li> <li>• Equality, Consultation and Engagement Plan</li> <li>• Equality and Diversity Policy</li> <li>• Annual Equality and Consultation Plan</li> <li>• Residents' Panel</li> <li>• Business Engagement Programme</li> <li>• <a href="#">Statement of Community Involvement</a></li> <li>• Record of consultations and use of</li> </ul>	<p style="text-align: center;"></p> <p>During 2022/23 we received 716 Freedom of Information requests (up from 662 in 2021/22 and 621 in 2020/21). We responded to 600 FOI requests (84%), redirected 109 (15%) to Derbyshire County Council and 7 requests (1%) were withdrawn. Where requests were covered by exemption, we gave details of the exemption in our response; the most common reason for exemption (9 requests) was that the information was already accessible by other means.</p> <p>Contract Standing Orders and Financial Regulations were reviewed and updated in September 2022.</p> <p>The Equality and Consultation and Engagement Plan provides structured frameworks for the District Council's equality, consultation and engagement activities. Progress is reported to Council annually. A Residents Survey was undertaken throughout October and November 2021, using online and postal surveys, face to face interviews and responses from the Online Residents Panel. 1,818 responses were received, which is an increase of over 400% from 2020.</p>



	<p>feedback from consultations</p> <ul style="list-style-type: none"> <li>• Contract standing orders</li> <li>• Financial Regulations</li> <li>• Procurement Strategy</li> <li>• Reasons for decisions recorded in all regulatory and quasi-judicial matters</li> <li>• All reports include options, consultations and risk assessments</li> <li>• Procurement decisions require a clear audit trail including reasons</li> <li>• All recruitment decisions are reasoned and recorded</li> </ul>	<p style="text-align: center;"></p> <p>The Local Government Association Peer Challenge team reported that the district council has a good understanding and appreciation of its local context and is focusing on continually improving local community relationships. The Council is also regarded as an effective leader of the district by partners who attest to the authority being a good partner to work with.</p> <p>The Local Government Association Peer Challenge team made several recommendations to address a series of challenges. In July 2020 the Council approved a Peer Challenge Action Plan to address these issues. Progress on implementing some aspects of the Action Plan has been delayed owing to officers focusing on other higher priority work during the coronavirus pandemic. However, the Peer Review Action Plan was reviewed and updated at Council on 25th November 2021 and in September 2022.</p>
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**PRINCIPLE 3 – Defining outcomes in terms of sustainable economic, social and environmental benefits**

How we meet this principle	Source of assurance	Successes and Areas for Improvement
<p>➤ We have set out our priorities, aims, vision and values in our Corporate Plan;</p> <p>➤ We set key performance indicators for each year and monitor actual performance against targets;</p> <p>➤ We have a medium-term financial strategy to ensure our financial sustainability;</p> <p>➤ We operate an effective system of risk management;</p> <p>➤ Our reports include options, consultation and timetables along with assessments of implications relating to policy, financial, resources, legal, equalities, climate change and risk management;</p> <p>➤ We carry out equality impact assessments to ensure fair access to services.</p>	<ul style="list-style-type: none"> <li>• Corporate Plan &amp; Priorities</li> <li>• Service Plans</li> <li>• Community &amp; Engagement Strategy</li> <li>• Equality, Consultation and Engagement Plan</li> <li>• Risk Management Strategy</li> <li>• Medium Term Financial Strategy</li> <li>• Annual Revenue Budget</li> <li>• Capital Programme &amp; Prudential Indicators</li> <li>• Annual Governance Statement (part of the Statement of Accounts)</li> <li>• Annual Audit Report from external auditor includes as assessment of Value for Money;</li> <li>• Financial Regulations – Constitution</li> <li>• Contract Standing Orders – Constitution</li> <li>• Asset Management Plan</li> <li>• Climate Change Strategy and Action Plan</li> <li>• Equality Impact Assessments</li> <li>• Area Community Forums</li> <li>• Planning: Material Considerations</li> <li>• Committee Reports</li> <li>• Consultation feedback is taken into account at the point of decisions</li> </ul>	<p style="text-align: center;"></p> <p>We have a target to pay 99% of non-disputed supplier invoices within 30 days. In 2022/23 we paid 99.4% of non-disputed supplier invoices within 30 days – only 28 undisputed invoices were paid late.</p> <p style="text-align: center;"></p> <p>Working with our partner, Chesterfield Borough Council, we supported 22,404 households by paying a £150 energy rebates, totalling £3.36m</p> <p style="text-align: center;"></p> <p>There are risks associated with the Accountable Body status for the Levelling Up and UKSPF schemes. These risks are significant and have been assessed as ‘high’. Moreover, the staffing implications of managing the finances of such a large programme cannot be underestimated. To reflect this, a Programme Manager is in place for Ashbourne Reborn and UKSPF to co-ordinate required activities and reporting requirements for the Council. Further support is anticipated through the recruitment of a Claims and Monitoring Officer that will have appropriate LUF support responsibilities in addition to UKSPF activities.</p>

247

**PRINCIPLE 4 - Determining the interventions necessary to optimise the achievement of intended outcomes.**

How we meet this principle	Source of assurance	Successes and Areas for Improvement
<p>➤ Our reports include options, consultation and timetables along with implications relating to policy, financial, resources, legal, equalities, climate change and risk management;</p> <p>➤ We consult and use feedback from residents and service users when making decisions about significant service changes;</p> <p>➤ We have strategic and operational plans, including a medium, term financial strategy, annual budgets, and service plans, that support the aims set out in the corporate plan;</p> <p>➤ We set key performance indicators (KPIs) to identify how the performance of services and projects is measured. We include financial penalties in outsourced contracts that can be used when KPIs are not achieved.</p> <p>➤ We consider and monitor risks facing each partner when working collaboratively, including shared risks</p> <p>➤ We review service quality regularly</p> <p>➤ Our medium term financial strategy integrates and balances service priorities, affordability and other resource constraints</p> <p>➤ We aim to achieve 'social value' through service planning and commissioning.</p>	<ul style="list-style-type: none"> <li>• Consultation and review of feedback including Area Community Forums</li> <li>• Risk Management Group &amp; Risk Registers</li> <li>• Key Performance Indicators</li> <li>• Service Plans</li> <li>• Medium Term Financial Strategy Medium Term Financial Plan Budget preparation in accordance with agreed strategy and MTFP.</li> <li>• Budget guidance and processes, including revised estimates</li> <li>• Capital Programme process and working group</li> <li>• Annual Audit Report from external auditor</li> <li>• Confidential Reporting (Whistleblowing) Policy</li> <li>• Anti-Fraud, Bribery and Corruption Policy</li> <li>• Regulation of Investigatory Powers Act Surveillance Policy</li> <li>• Annual Review of Complaints</li> <li>• Calendar of meetings</li> <li>• Communications Strategy</li> <li>• Minutes of regular monitoring meetings with outsourced service providers including details of compliance with Key Performance Indicators</li> </ul>	<div style="text-align: center;">  </div> <p>We updated our Medium-Term Financial Strategy in March 2021 and our Medium-Term Financial Plan in March 2023. This was less frequently than usual owing to staff vacancies. The reduced frequency 2022/23 was not viewed as a significant governance issue. However, the Council's Medium Term Financial Plan needs to be updated more regularly during 2023/24 to reflect the impact of rising inflation and to show how the Council plans to address the budget gap for future years. See Principle 6 for further information.</p> <div style="text-align: center;">  </div> <p>The Local Government Association Peer Challenge team reported that through focused and prudent management, the Council has a strong financial position which provides a foundation for the council's future ambition.</p> <p>The draft External Audit Annual Report, issued in July 2022, did not identify a significant weakness in arrangements to identify significant financial pressures, to bridge funding gaps and identify achievable savings and to managing risks and gaining assurance over the effective operation of internal controls, including the prevention and detection of fraud.</p>

248



In 2020/21 we made a Declaration of Air Quality Management Area (AQMA) for nitrogen dioxide in relation to Buxton Road and St John's Street in Ashbourne. We continued to monitor air quality levels in 2021/22 and 2022/23. An action plan in response to the AQMA in Ashbourne has been in development and has been reported through the Community & Environment Committee. Public consultation on the draft action plan has been completed and will be reported to the Community & Environment Committee in September

We have regular meetings with contractors who provide outsourced services.

The leisure management contract with Freedom Leisure is monitored monthly for service standards and to discuss the monthly report. Quarterly meetings take place to discuss the overall contract performance. The year-end figure for participation was at 95% of normal operations, up from 91% in 2021/22, Ashbourne is up to 105% with ongoing work taking place to increase participation across all sites. No penalties were issued to Freedom in 2022/23.

The revenues and benefits service is delivered by Chesterfield Borough Council under a Service Level Agreement. Monthly meetings are held to discuss key performance indicators and service issues. In 2022/23 Chesterfield Borough Council achieved all the key performance indicators in the Revenues and Benefits contract, except for those relating to in-year and prior year collection of council tax. These were impacted by the coronavirus pandemic and the Council's decision to take a light touch to debt recovery from March 2020 to August 2021.




There was a suspension of KPIs on the waste and recycling contract, in line with the suspension of services. This suspension of services related to the collection of food waste, which was suspended from 1 – 10 April 2022, so KPIs for food waste were suspended during this period.


Due to the disruption experienced on the contract, meetings and reviews of service performance are taking place on a more frequent basis than stipulated in the contract specification, including members of both District Council's and Serco's senior management team. Monthly Contract reviews with additional weekly reviews remain in place.

In addition, because of underperformance in 2022/23, the Council has applied the maximum number of financial deductions to the contract, and those penalties are yet to be paid as the Council has not received Year 3 billing data for approval to date.

A review of the arrangements for letting the waste contract was undertaken by an independent consultant during 2021/22. The findings were reported to Council in February 2022. The report recommendations include the following governance issues:


- To maintain and extend dialogue with the contractor to help manage contract behaviour and address outstanding issues and under performance;
- To resolve issues relating to incomplete management information and round optimisation;
- That the Corporate Leadership Team re-establishes a corporate approach to overseeing the critical success factors of implementing the contract, reacting to


		<p>unsatisfactory performance and advising Members of on-going options for future delivery;</p> <ul style="list-style-type: none"> <li>• That a review of the corporate management capacity is undertaken to ensure that future transformational and modernisation projects are adequately resourced.</li> </ul> <p>The report recommendations were implemented during 2022/23.</p> <p>A review of In-house feasibility of the waste contract was undertaken by an independent consultant during 2022/23. The findings are being considered by officers and are yet to be reported to Council in 2023.</p> <p style="text-align: center;"></p> <p>In 2022/23 we carried out public consultation exercises on:</p> <ul style="list-style-type: none"> <li>• Conditions and outcomes for private landlords and tenants</li> <li>• Budget 2023/24</li> <li>• Biodiversity Project</li> <li>• Customer satisfaction with three parks</li> <li>• Electric vehicle charging points</li> <li>• Residents' survey for Corporate Plan</li> <li>• Public Space Protection Orders</li> <li>• Community Safety</li> <li>• Car Parking</li> <li>• Matlock Bath Illuminations customer satisfaction.</li> <li>• Polling districts and polling places.</li> </ul>
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		 <p>We have recognised that the loss of corporate organisational knowledge and experience aligned to increased staff turnover resulted in some budget monitoring policies and procedures not being implemented as robustly as is required during 2022/23. However, at the time of writing this AGS all senior posts in financial services had been filled. Engagement with budget holders is now more frequent and meaningful and improved budget monitoring reports are to be launched during 2023/24.</p>
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**PRINCIPLE 5 - Developing the entity's capacity including the capability of its leadership and the individuals within it**

252

How we meet this principle	Source of assurance	Successes and Areas for Improvement
<ul style="list-style-type: none"> <li>➤ We recognise the benefits of partnerships and collaborative working;</li> <li>➤ All employees have an induction and an annual Performance and Development Review;</li> <li>➤ We have a Member Code of Conduct, inductions and a Member Training and Induction Programme to ensure that elected and appointed leaders understanding their roles and the Council's objectives</li> <li>➤ Our Constitution includes a Scheme of Delegation that sets out clearly the decisions that are delegated to</li> </ul>	<ul style="list-style-type: none"> <li>• Constitution</li> <li>• Scheme of Delegation</li> <li>• Member Development Scheme</li> <li>• Employee Development Scheme</li> <li>• Member Training and Development Programme</li> <li>• Annual corporate and vocational training plan agreed by CLT</li> <li>• Insight – Internal management development programme</li> <li>• Member Induction</li> <li>• Member Representative roles</li> <li>• Employee Induction</li> <li>• Job Descriptions and Person Specifications</li> <li>• Arrangements for succession planning</li> </ul>	 <p>We work collaboratively with other partners as follows:</p> <ul style="list-style-type: none"> <li>• Chesterfield Borough Council delivers our revenues and benefits service and Internal Audit Management.</li> <li>• North East Derbyshire District Council provides our ICT service.</li> <li>• Derbyshire Building Control Partnership, which is made up of 8 local authorities, to deliver the local authority building control function.</li> </ul>

<p>officers</p> <ul style="list-style-type: none"> <li>➤ The leader and the chief executive have clearly defined and distinctive leadership roles</li> <li>➤ We take steps to consider the leadership's own effectiveness and to ensure leaders are open to constructive feedback e.g., from peer review and inspections</li> <li>➤ We encourage shared learning, including lessons learned from governance weaknesses both internal and external;</li> <li>➤ There is a public participation session at the beginning of Council and Policy Committee meetings,</li> <li>➤ We have arrangements in place to support the health and wellbeing of our employees.</li> </ul>	<ul style="list-style-type: none"> <li>• Annual review of Scheme of Delegation, Contract Standing Orders and Financial Regulations</li> <li>• LOLA – internal training programme</li> <li>• Peer Reviews</li> <li>• Efficient use of systems and technology</li> <li>• Shared Learning: Notes of Management Meetings, Peer Reviews, Hubs, Benchmarking, Networking with other local authorities &amp; through membership of organisations such as the Local Government Association.</li> <li>• Human Resource Policies</li> <li>• Employee counselling service</li> <li>• Work of Health &amp; Safety Committee</li> <li>• Active Workplace Programme</li> <li>• Employee Group</li> <li>• Senior Management Team</li> <li>• Trade union recognition and consultation.</li> <li>• Carbon Literacy Training</li> </ul>	<p style="text-align: center;"></p> <p>Our Performance and Development Review action plans are linked to the priorities set out in our Corporate Plan.</p> <p>During 2022/23 the following mandatory training was undertaken by employees:</p> <table border="1" data-bbox="1339 454 2085 817"> <thead> <tr> <th>Course Title</th> <th>Numbers Attended</th> </tr> </thead> <tbody> <tr> <td>Safeguarding and Child Protection</td> <td>30</td> </tr> <tr> <td>Safeguarding Adults at Risk</td> <td>32</td> </tr> <tr> <td>Managing Health &amp; Safety</td> <td>33</td> </tr> <tr> <td>Equality Act 2010</td> <td>32</td> </tr> <tr> <td>Display Screen Equipment</td> <td>20</td> </tr> <tr> <td>Data Protection (Foundation) 2020</td> <td>29</td> </tr> <tr> <td>Data Protection (Data Security) 2020</td> <td>30</td> </tr> <tr> <td>Prevent (Counter Terrorism (2021)</td> <td>32</td> </tr> </tbody> </table> <p>In addition:</p> <ul style="list-style-type: none"> <li>• 15 new and aspiring managers undertook an in-house Management Development Programme (Dales Insight);</li> <li>• Circling Squares provided development to the Corporate Leadership Team;</li> <li>• The Corporate Leadership Team supported staff development through vocational and corporate training.</li> </ul>	Course Title	Numbers Attended	Safeguarding and Child Protection	30	Safeguarding Adults at Risk	32	Managing Health & Safety	33	Equality Act 2010	32	Display Screen Equipment	20	Data Protection (Foundation) 2020	29	Data Protection (Data Security) 2020	30	Prevent (Counter Terrorism (2021)	32
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Display Screen Equipment	20																			
Data Protection (Foundation) 2020	29																			
Data Protection (Data Security) 2020	30																			
Prevent (Counter Terrorism (2021)	32																			



The member training programme for 2022/23 was delivered containing the following items:



Course Title	Numbers Attended
Annual Planning Training	13
Licensing and Appeals Training	7
Modern.Gov App and Extranet Training	17
Safeguarding Training	6
Scrutiny Training	8
Data Protection Training	11

In 2021/22 we had 18 leaders/senior officers and 3 councillors certified as Carbon Literate by the Carbon Literacy project. We have a programme in place for carbon literacy continuing training. In 2022/23 a further 6 senior leaders/Members attended Carbon Literacy training.





ICT security awareness ICT security awareness training is mandatory for new employees who use ICT and it has to be refreshed every 2 years by all ICT users. In 2022/23 216 ICT users, including staff and Members completed the ICT Security Awareness training. Reminders have been sent to the 31 officers and 17 councillors who have not yet completed the training.

**PRINCIPLE 6 - Managing risks and performance through robust internal control and strong public financial management**

How we meet this principle	Source of assurance	Successes and Areas for Improvement
<p>➤ We have robust arrangements for risk management including a Risk Management Group that meets regularly to review Strategic Risks;</p> <p>➤ Our risk management strategy and policies on internal control are aligned with corporate priorities;</p> <p>➤ The risks associated with delivering services through third parties are set out in our risk registers;</p> <p>➤ We have arrangements in place to prevent fraud, bribery and corruption;</p> <p>➤ We encourage effective and constructive challenge and debate on policies and objectives to support balanced and effective decision making</p> <p>➤ We provide members and senior managers with regular reports on service plans and on progress against Key Performance Indicators;</p> <p>➤ We report on a consistent basis between specification stages (such as budgets) and post implementation reporting (e.g. financial statements).</p> <p>➤ The Internal Audit Consortium Manager produces an Annual Report that provides an opinion on the overall adequacy and effectiveness of the framework of governance, risk management and control;</p>	<ul style="list-style-type: none"> <li>• Risk Management Strategy</li> <li>• Risk Management Group</li> <li>• Strategic and Service Risk Registers</li> <li>• Risk Management Annual Report</li> <li>• Risk assessment of all Committee/Council decisions</li> <li>• Internal audit and reports</li> <li>• External audit and reports</li> <li>• Annual Governance Statement</li> <li>• Financial Regulations</li> <li>• Contract Standing Orders</li> <li>• Transparency &amp; Open Source Data</li> <li>• Medium Term Financial Strategy &amp; Medium Term Financial Plan</li> <li>• Anti-Fraud, Bribery and Corruption Policy</li> <li>• Treasury Management Strategy</li> <li>• Regular budget reporting and income monitoring (revenue and capital)</li> <li>• Regular reporting on service plans and performance against KPIs</li> <li>• Information Governance Framework &amp; Strategy</li> <li>• Designated Data Protection Officer</li> <li>• Data protection policies and procedures</li> <li>• Information sharing agreements</li> <li>• Data Privacy Impact Assessments</li> <li>• Procedure for Data Protection Security Breaches</li> </ul>	<p style="text-align: center;"></p> <p>The external auditor's Annual Report for 2021/22 was issued in June 2023. In respect of Value for Money arrangements, the report states "No significant weaknesses in arrangements were identified and there are no recommendations from our work."</p> <p>During 2022/23 we made improvements to our budget monitoring reports and monitoring related to the capital programme.</p> <p>During 2022/23 the Corporate Leadership Team received monthly reports showing major revenue income streams against budget.</p> <p style="text-align: center;"></p> <p>The External Auditor's Audit Completion Report for 2021/22, presented to the Governance and Resources Committee in July 2023 identifies three significant audit risks:</p> <ul style="list-style-type: none"> <li>• Management override of controls;</li> <li>• Risk of an error in the valuation of the net defined benefit pension liability;</li> <li>• Risk of an error in the valuation of property, plant and equipment.</li> </ul> <p>At the time of writing this AGS, the testing has not been completed and there is no evidence to show that controls are not effective.</p>

255

<ul style="list-style-type: none"> <li>➤ The Governance and Resources Committee provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment;</li> <li>➤ The Governance &amp; Resources Committee monitors the implementation of recommendations from internal audit reviews.</li> <li>➤ The Council has an Information Governance Framework and Strategy that sets out the arrangements to ensure effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data</li> <li>➤ We review and audit the quality and accuracy of data used in decision making and performance monitoring</li> <li>➤ Our financial management arrangements support both long term achievement of outcomes and short-term financial and operational performance</li> <li>➤ All reports to Council and policy committees include a financial risk assessment.</li> </ul>	<ul style="list-style-type: none"> <li>• Checks on access to data and systems</li> <li>• ICT systems patched regularly &amp; kept up to date</li> </ul>	<div style="text-align: center;">  </div> <p>A report to the Governance &amp; Resources Committee in July 2023 indicated that the audit plan for 2022/23 has not been fully completed (see principle 7 below). This follows a similar report for 2021/22. The reduced number of audits completed was because the work of the senior auditor was redirected onto business support grant work during and after the coronavirus pandemic in 2021/22, followed by the resignation of the two employees in internal audit in June / July 2022 and subsequent difficulties in filling the vacant posts. A Senior Auditor was appointed from May 2023 and an Auditor from July 2023. While the team is now fully staffed, the delivery of the 2023/24 audit plan will be adversely impacted. Therefore, a revised audit plan for 2023/24 is due to be presented to the Governance &amp; Resource Committee in November 2023</p> <div style="text-align: center;">  </div> <p>The Council's Medium-Term Financial Plan identifies a potential budget gap in future years. To mitigate this risk, the Council has a Medium-Term Financial Strategy and Medium-Term Financial Plan in place. However, the Council's Medium Term Financial Plan needs to be updated to show how it plans to address the budget gap for future years. Rising inflation will significantly increase the budget gap, though this could be partially offset by increased income from investments arising from higher interest rates and improved treasury management. Therefore, the</p>
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MTFP will be kept under review by the Corporate Leadership Team and an action plan will be developed to maintain a sustainable balanced budget.

Significant changes in Local Government finances are due to take place over the next few years, which will culminate in a major change in the way Local Government is financed in future. It is expected that the Local Government Finance Settlement, due in late 2023, will bring more certainty for 2024/25 but there will still be uncertainties and difficulties in financial planning in the medium term. A parliamentary election is due in 2024, bringing more uncertainty. It is now expected that the outcome of the government reviews - Fair Funding Review and the Business Rates Retention Baseline Review - will be delayed by government and changes will not be introduced until 2026/27. The Medium-Term Financial Plan will be updated. As a further mitigation measure, the Council has reserves and balances that could be used to balance the budget for 2024/25 and 2025/26 while a savings plan is developed and the Medium-Term Financial Plan is updated to ensure that subsequent budgets are financially sustainable over the medium term.



The standards set out in CIPFA's Financial Management Code apply from 2021/22. A baseline assessment reported to the Governance and Resources Committee in March 2021 indicated that there were six principles /

		<p>standards identified as less strong, with a need for improvement and action; an action plan is in place, but little progress was made in 2021/22 due to staffing resources being diverted to additional work arising from the coronavirus pandemic and in 2022/23 due to vacant posts. It is expected that the outstanding actions will be addressed in 2023/24. None of the issues have been identified as significant governance issues. See separate section below.</p> <p style="text-align: center;"></p> <p>In 2022/23 weaknesses were identified in the arrangements for ensuring that systems are in place to meet grant conditions. In September 2022 Financial Regulations were strengthened in this regard. However, employee awareness still needs to be raised.</p> <p>We have recognised that the loss of corporate organisational knowledge and experience aligned to increased staff turnover resulted in some budget monitoring policies and procedures not being implemented as robustly as is required during 2022/23. However, at the time of writing this AGS all senior posts in financial services had been filled. Engagement with budget holders is now more frequent and meaningful and improved budget monitoring reports are to be launched during 2023/24.</p>
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PRINCIPLE 7 - Implementing good practices in transparency, reporting and audit to deliver effective accountability		
How we meet this principle	Source of assurance	Successes and Areas for Improvement
<ul style="list-style-type: none"> <li>➤ Our reports are written in a style avoids jargon and can be understood by the public;</li> <li>➤ Our reports and minutes of meetings are available on our website;</li> <li>➤ We prepare an Annual Governance Statement that reports on compliance against our corporate governance framework;</li> <li>➤ Our financial statements are prepared on a consistent and timely basis and the statements allow for comparison with other, similar organisations</li> <li>➤ The Governance &amp; Resources Committee undertakes the core functions of an audit committee and ensures that recommendations for corrective action made by external audit are acted upon</li> <li>➤ We have an effective internal audit service where the Internal Audit Consortium Manager has direct access to members to provide assurance with regard to governance arrangements and that recommendations are acted upon</li> <li>➤ We welcome peer challenge, reviews and inspections from regulatory bodies</li> <li>➤ We have clear governance arrangements in place for partnership arrangements</li> </ul>	<ul style="list-style-type: none"> <li>• Annual report on Service plans and performance management</li> <li>• Annual review of Corporate Governance framework</li> <li>• Annual Governance Statement</li> <li>• Review of actions recommended by internal audit service</li> <li>• Statement of Accounts</li> <li>• Audit Strategy Memorandum and Annual Audit Letter from External Auditor</li> <li>• Anti-fraud, bribery and corruption policy and reporting</li> <li>• Data Protection Officer and two Information Governance Officers in place</li> <li>• Compliance with CIPFA's Statement on the Role of the Head of Internal Audit</li> <li>• Compliance with Public Sector Internal Audit Standards</li> <li>• Minutes of meetings from Partnership Board Meetings and Operational Review Meetings.</li> <li>• Annual Complaints Report to Governance &amp; Resources Committee</li> </ul>	<p style="text-align: center;"></p> <p>We report to Members regularly on performance against targets.</p> <p style="text-align: center;"></p> <p>In 2022/23 only 3 out of 26 (11.5%) of audits planned at the start of the year were completed. Two audit areas received substantial assurance and one gave reasonable assurance. There were no reports in 2022/23 with limited or inadequate assurance.</p> <p>Significant governance issues raised during the audit reviews are disclosed elsewhere in this annual governance statement.</p> <p>The implementation of some internal audit recommendations was delayed in 2021/22 and 2022/23 due to staff resources being redirected during the coronavirus pandemic and subsequent delays. Such delays related to asset management and data protection. A report is due to be presented to the Governance &amp; Resources Committee in November to show that most of these outstanding recommendations have been implemented.</p>



An internal audit report has identified opportunities to strengthen our arrangements for data protection (see action plan). Whilst 8 data breaches, incidents or near misses were identified in 2022/23 (down from 24 in 2021/22), none were serious enough to be reportable to the Information Commissioner's Office (ICO). In March 2023 a Data Protection Audit identified that the Council is not fully meeting 20% of expectations within the ICO's Accountability Tracker, which covers 13 broad areas across all of the criteria. To address these areas and to meet ICO expectations, the Information Governance needs additional support and resources.

Reporting of data security incidents is actively encouraged; incidents are reviewed by the Information Governance Board to identify lessons to be learned and areas for improvement. The Information Governance Officer has utilised the staff intranet to promote data privacy awareness and best practice amongst colleagues.



The Local Government Association Peer Challenge team made several recommendations. In July 2020 the Council approved a Peer Challenge Action Plan to address these issues. Progress on implementing some aspects of the Action Plan has been delayed owing to officers focusing on other higher priority work during the coronavirus pandemic. However, the Peer Review Action Plan was reviewed and updated at Council in November 2021 and September 2022.

## 4. How the Council operates

### The Council

During 2022/23 the Council was composed of 39 councillors elected every four years; the number reduced to 34 following the elections held in May 2023. Prior to that elections were last held in May 2019. Councillors are democratically accountable to the residents of their respective wards. The overriding duty of councillors is to the whole community, but they have a special duty to their constituents, including those who did not vote for them.

Councillors must agree to follow the Council's Code of Conduct to ensure high standards in the way they undertake their duties. The Council's Monitoring Officer trains and advises them on the Code.

All Councillors meet as the Council. Meetings of the Council are normally open to the public. Here Councillors decide the Council's overall strategies and policies and set the budget and council tax each year. The Council holds the policy committees to account and is itself a policy development body. There is an opportunity at Council meetings for members of the public to participate by putting their questions to Councillors. There is provision for public participation and meetings are live-streamed on the internet. The Civic Chair of the District of Derbyshire Dales reports to each meeting and the Leader of the Council has an opportunity to address the Council meeting on issues concerning the District of Derbyshire Dales at Council and his attendance at meetings with significant partners.

### The Council's Constitution

Derbyshire Dales District Council has adopted a Constitution that sets out how the Council operates, how decisions are made and the procedures that are followed to ensure that these are efficient, transparent and accountable to local people. Some of these processes are required by law, while others are a matter for the Council to choose.

The Constitution is divided into 13 Articles that set out the basic rules governing the Council's business. More detailed procedures and codes of practice are provided in separate rules and protocols within the Constitution.

The Constitution is kept under review and amendments are approved at the Annual Meeting of the Council in May each year, or at other times as necessary.

### How decisions are made

Most day-to-day decisions are made by policy committees. The Council has two policy committees called 'Governance and Resources' and 'Community and Environment'. Committees also carry out a number of regulatory functions, including dealing with planning applications, licensing and most other regulatory business.

Meetings of the Council's policy and other committees are open to the public except where personal or confidential matters are being disclosed. There is provision for public participation where residents can present their views to councillors in person.

In addition, senior officers of the Council make decisions under delegated authority. The level of delegation is recorded in the Council's Constitution.

## **The role of the Governance and Resources Committee**

The purpose of the Governance and Resources Committee is to consider specific issues or aspects of policy, procedure or service relating to specific services. The main services within the Committee's remit include asset management, central support services, data protection, digital transformation and ICT, electoral administration and registration, financial governance, human resources, legal and corporate governance, member support and development, procurement, revenues and benefits and risk management.

The Governance and Resources Committee takes the statutory role of an "Audit Committee" and provides independent review, challenge and assurance of the adequacy of the risk management framework and the associated control environment.

Here are some of the key tasks that the Council has delegated to this Committee:

- To have an overview of the Governance framework and to develop and review supporting policies and procedures;
- To approve and review the Council's Code of Corporate Governance and other supporting material;
- To approve the Annual Governance Statement and the Annual Statement of Accounts;
- To consider the External Auditor's reports on issues arising from the Audit of Accounts, the External Audit Plan, the Annual Audit Letter etc.
- To approve and review the internal audit plan, consider major findings of internal audit investigations and management's response, and promote co-ordination between the internal and external auditors;
- To keep under review the effectiveness of internal control systems, to receive the External Audit Management Letter on behalf of the Council and any representations and refer any issues requiring attention to the relevant committee and/or officer;
- To consider the appointment of the external auditor, the audit fee, the provision of any non-audit services by the external auditor and any questions of resignation or dismissal of the external auditor;
- To approve the Council's Risk Management Policy and Strategy and consider the annual monitoring report as part of considering the effectiveness of Risk Management, including the risks of bribery, fraud and Corruption.
- To be responsible for the effective management of the Council's land, buildings and property holdings;
- To act as the main "financial committee" to regulate and control the finances of the Council as defined in the Local Government Act 1972;
- To determine policy in relation to the Council's duties and responsibilities as an "employer" and in relation to human resources, employee training and development and industrial relations issues;
- To determine policy and oversee arrangements in relation to the Council's duties and responsibilities under the Data Protection Act;
- To undertake the role of the standards committee.

## **The role of the Community & Environment Committee**

The purpose of the Community & Environment Committee is to consider specific issues or aspects of policy, procedure or service relating to specific services. The main services within the Committee's remit include Waste Collection and Recycling, Parks, Street Cleansing, Car Parking, Leisure Services, Public Conveniences, Cemeteries, Climate Change, Environmental Health, Public Health and Safety, Economic Development and Housing.

## **The scrutiny committee**

The purpose of the scrutiny committee is to provide an independent review of Council decisions either before or after they have been made; to provide an independent review of decisions made by certain partner authorities and to make recommendations regarding the decisions made.

## **Area Community Forums**

To give local people a greater say in Council affairs, there are 3 Area Community Forums. These cover the Northern, Central and Southern areas of the District and are intended to act as a focus point for mutual communication and consultation between the local community, stakeholders and Councillors from all local councils in their area. They are held in public at various meeting venues throughout the District.

## **The Council's employees**

The Council has people working for it to give advice, implement decisions and manage the day to day delivery of its services. Some employees have a specific duty to ensure that the Council acts within the law and uses its resources wisely. A Protocol governs the relationships between employees and members of the Council. The Protocol is part of the Constitution. Employees are required to follow the Council's Employee Code of Conduct to ensure high standards in the way they undertake their duties. The Council's Monitoring Officer provides guidance and advice on the Code.

## **Citizens' Rights**

Citizens have a number of rights in their dealings with the Council. These are set out in more detail in Article 3 of the Constitution. Some of these are legal rights, whilst others depend on the Council's own processes. The local Citizens' Advice Bureau can advise on individuals' legal rights.

Where members of the public use specific council services, for example as a leisure centre user or as an applicant for planning permission, they have additional rights. These are not covered in the Constitution.

Citizens have the right to:

- Vote at local elections if they are registered
- Contact their local councillor
- Obtain a copy of the Constitution
- Attend meetings of the Council and its committees except where, for example, personal or confidential matters are being discussed
- Petition to request a referendum on a mayoral form of executive
- Participate in the Council's Public Participation Scheme
- Attend committee and Council meetings where key decisions are being discussed or decided
- See reports and background papers, and any record of decisions made by the Council and its committees.
- Complain to the Council about the exercise of any of its functions through the Complaints Scheme.
- Complain to the Council's Monitoring Officer about the behaviour of one of its Councillors or the behaviour of a local Parish/Town Councillor
- Complain to the Ombudsman if they think the Council has not followed its procedures properly. However, they are recommended to do this after using the Council's own complaints process
- Inspect the Council's accounts and make their views known to the external auditor.

## **The Corporate Plan**

The Corporate Plan sets out the vision and improvement priorities for Derbyshire Dales District over the four years following an election. It is the key strategy from which the District Council's Budget and Service Plans cascade. There are 3 broad priority areas:

- People - providing you with a high quality customer experience
- Place - keeping the Derbyshire Dales Clean, Green and Safe; and
- Prosperity - supporting better homes and jobs for you.

## **Managing Key Risks**

All Councillors and Managers are responsible for ensuring that risks are considered in the decisions they take. The Council has a Risk Management Policy and Strategy that is usually reviewed every two years. It is the Council's policy to proactively identify, understand and manage the risks inherent in our services and associated within our plans and strategies, to encourage responsible, informed risk taking.

## **Whistleblowing**

People working for the Council are often the first to realise that there may be something wrong within the Council. However, they may feel unable to express their concerns for various reasons, including the fear of victimisation. The Council has a Whistleblowing Policy that advises staff and others who work for the Council how to raise concerns about activities in the workplace.

## **Monitoring Officer**

The Director of Corporate and Customer Services is the Council's appointed Monitoring Officer. The Monitoring Officer is responsible for maintaining the Constitution, ensuring lawfulness and fairness of decision-making, promoting high ethical standards and has a personal duty to report to the Council any breaches in the rule of law.

## **Chief Financial Officer**

The Director of Resources is the Council's appointed Chief Financial Officer (also known as the Section 151 Officer). This is a statutory post, responsible for ensuring lawfulness and prudence of financial decision-making and the administration of the Council's financial affairs. The role of Chief Financial Officer conforms with the good practice requirements within the CIPFA statement on "The Role of the Chief Financial Officer in Local Government". The Council's Chief Financial Officer is a full member of the Corporate Leadership Team and is supported by appropriately qualified and experienced staff.

The Director of Resources has taken a key role in reviewing corporate governance and in preparing this Annual Governance Statement. She is satisfied with the arrangements currently in place for financial management, though these will be improved when the action plan for CIPFA's Financial Management Code has been fully implemented. While the internal audit provision has been limited in 2021/22 and 2022/23 as explained in this Statement, and it has not been possible for the Head of Internal Audit to give an opinion on the effectiveness of the control framework, no matters of significance that have been identified to the Director of Resources have been omitted from this statement.

## **Managing Finances**

Internal financial control is based on a framework of management information that includes the Financial Regulations, Contract Standing Orders, our accounting procedures and key financial systems. These include established budget planning procedures and quarterly budget reports to Council or Governance and Resources Committee. The Corporate Leadership Team monitors key income streams on a monthly frequency.



The Corporate Leadership Team monitors performance against the annual budget, capital programme and medium-term financial plan.

A system of budgetary control is in place, which is enforced by the Corporate Leadership Team. Budget holders are identified for each revenue service or capital project and they are provided with monthly budget monitoring reports. Training, support and guidance is provided by the Financial Services Team.

Capital projects are only put forward for Committee/Council approval after the Corporate Leadership Team has approved a business case, which ensures projects support the Council's priorities and that they are fully resourced and planned before spending can commence.

The Council has a Medium-Term Financial Strategy that shows the overall direction of the Council's financial position over the next five years. This includes a Medium-Term Financial Plan which indicates that a budget gap will arise over the next few years due to an expected reduction in government funding. The Council has a good track record of delivering savings. However, we face a challenge in producing a sustainable budget over the medium term in the face of rising inflation and further potential reductions in government funding. The Council has reserves and balances that could be used in the short term to address any savings requirements for 2024/25 and 2025/26 while a thorough review of income and expenditure is undertaken, and an action plan developed. Given the amount set aside in usable revenue reserves, the timing of the required savings, and the uncertainty surrounding council funding (arising mainly from the outcome of the anticipated level of the government's Fair Funding Review and its review of the Business Rates Retention scheme), the Council's approach to meeting the Corporate Savings Target and closing the budget gap has been to refrain from significant service reductions until the outcome of the government reviews is known. However, the Council's Medium Term Financial Plan now needs to be updated to show how it plans to address impact of rising inflation and address the widening budget gap in future years. Therefore, the MTFP will be kept under review by the Corporate Leadership Team and an action plan will be developed to maintain a sustainable balanced budget over the medium term.

There is a separate section (below) relating to the CIPFA Financial Management Code.

### **Internal Audit**

The Council receives substantial assurance from Internal Audit work who (through an agreed programme of testing – the Internal Audit Plan) review the adequacy of the controls and governance that operate throughout all areas of the Council.

Management of Internal Audit is provided by the Bolsover, Chesterfield and North East Derbyshire District Councils' Internal Audit Consortium. The Internal Audit Service has been managed and delivered in accordance with Public Sector Internal Audit Standards (PSIAS). The Governance and Resources Committee approved an Internal Audit Charter in 2022, which is due for review in the event of any significant changes being made to the PSIAS. The Charter sets out the role of internal audit and its responsibilities and clarifies its independence.

The Head of the Internal Audit Consortium prepares an Annual Report for the Governance and Resources Committee. The Annual Report includes an opinion on the adequacy and effectiveness of the Council's control environment. The results of internal audit work concluded during the year are presented in the annual report.

In 2022/23 only 3 out of 26 (11.5%) of audits planned at the start of the year were completed. Two audit areas received substantial assurance and one reasonable assurance. There were no 'limited' or 'inadequate' assurance levels reported in 2022/23.

Where weaknesses have been identified through internal audit review, management have agreed appropriate corrective actions and a timescale for improvement. Reports are presented to the Governance & Resources Committee to inform them of the outcome of audit reviews and progress on implementing recommendations.

The Internal Audit Annual Report sets out the Head of the Internal Audit Consortium's opinion relating to the adequacy and effectiveness of the Council's control environment. For 2022/23, it is considered by the Head of the Internal Audit Consortium that insufficient assurance work has been carried out to allow her to form an opinion on the adequacy and effectiveness of Derbyshire Dales District Council's governance, risk and control arrangements.

The lack of an internal audit annual opinion is a breach of the Public Sector Internal Audit Standards has been reported to the Governance and Resources Committee and identified as a significant governance issue in the annual governance statement.

During 2020/21 to 2022/23, the implementation of some internal audit recommendations was delayed due to staff resources being redirected during the coronavirus pandemic and a subsequent backlog of work. Such delays related to asset management and data protection. A report is due to be presented to the Governance & Resources Committee in November to show that most of these outstanding recommendations have been implemented.

At the time of writing this report both the Senior Auditor and the Internal Auditor positions have now been filled and work on the internal audit plan for 2023/24 has commenced, with a focus on high and medium risk areas. While the team is now fully staffed, the delivery of the 2023/24 audit plan will be adversely impacted by the vacancies in the first part of the year. Therefore, a revised audit plan for 2023/24 is due to be presented to the Governance & Resource Committee in November 2023.

An external review of Internal Audit was undertaken in 2021. The independent report concludes that current services are assessed to 'generally conform' with the PSIAS and compare favourably with peers; there are no areas where the service does not comply with the standards. The recommendations arising from the review have now been meaning that Members can have confidence in the quality of service provided by internal audit.

### **External Audit & Other Inspections**

The Council's external auditor is Mazars LLP.

In June 2023 Mazars issued a draft unqualified opinion in relation to the Council's 2021/22 statutory financial statements. In the Audit Completion Report relating to the Council's financial statements for 2021/22 the External Auditor made an internal control recommendation (low priority) that management should review and strengthen controls relating to the preparation of the grants note. This recommendation has been accepted and has been addressed as part of the preparation of the grants note for the 2022/23 financial statements.

In June 2023 the external auditor issued his draft Annual Audit Report in respect of 2021/22. The report indicates that the external auditor reviewed the Council's arrangements to secure economy, efficiency and effectiveness in the use of resources for the year ended 31 March 2021. No significant weaknesses in arrangements were identified and there were no recommendations arising from the work.

### **Local Government Association (LGA) Peer Challenge**

The LGA Corporate Peer Challenge review was undertaken in 2019 and the final feedback report was received and circulated to all Members on 21st January 2020.

The Local Government Association Peer Challenge team made several recommendations to address a series of challenges. In July 2020 the Council approved a Peer Challenge Action Plan to address these issues. Progress on implementing some aspects of the Action Plan has been delayed owing to officers focusing on other higher priority work during the coronavirus pandemic. However, the Peer Review Action Plan was reviewed and updated at Council on 25th November 2021 and in September 2022.

## 5. Compliance with the Financial Management Code

The Chartered Institute of Public Finance and Accountancy (CIPFA) has published The Financial Management Code (FM Code), which provides guidance for good and sustainable financial management in local authorities, giving assurance that authorities are managing resources effectively.

The FM Code requires authorities to demonstrate that the processes they have in place satisfy the principles of good financial management, which is an essential part of ensuring that public sector finances are sustainable.

Full implementation of the CIPFA's Financial Management Code was expected from 2021/22. A baseline assessment reported to the Governance and Resources Committee in March 2021 indicated that there were six principles / standards identified as less strong, with a need for improvement and action. An action plan was approved to address these issues during 2021/22. As a result of staff vacancies and the additional workload during the coronavirus pandemic, little progress was made during 2021/22 and the first part of 2022/23. Some progress has been made in the last twelve months. The following actions have not yet been fully addressed:

- E: The financial management style of the authority supports financial sustainability
- G: The authority understands its prospects for financial sustainability in the longer term and has reported this clearly to members
- M: The authority uses an appropriate documented option appraisal methodology to demonstrate the value for money of its decisions.
- N: The leadership team takes action using reports enabling it to identify and correct emerging risks to its budget strategy and financial sustainability.

It is expected that the outstanding actions will be addressed during 2023/24. None of these outstanding actions have been identified as significant governance issues.

## 6. Significant governance issues and action plan

### a) Update on issues raised in last year's (2021/22) Annual Governance Statement

	Issue	Action Identified in last year's statement	Target date in last year's statement	Current status	Lead Officer
1	There is a budget gap for future years as identified in the Medium-Term Financial Plan, which will be exacerbated by rising inflation.	<p>Ensure that there are effective processes to manage and monitor budgets and to plan and monitor savings.</p> <p>Review the MTFP to reflect the impact of rising inflation, the outcome of the Local Government Finance Settlement for 2023/24 and 2024/25 and following outcome of government's reviews of fair funding and business rates retention.</p> <p>Develop an action plan to maintain a sustainable balanced budget.</p>	Updated Medium Term Financial Plan & Balanced Budget for 2023/24: by 1 March 2023	<p><b>Partially achieved:</b></p> <p>A balanced budget was set for 2023/24 on 2 March 2023. An updated Medium -Term Financial Plan (MTFP) reflecting rising inflation was approved at the same Council meeting.</p> <p>Best and worst case MTFPs were included in the budget report for 2023/24.</p> <p>The MTFP is to be further reviewed in 2023/24 to reflect the outcome of the Local Government Finance Settlement for 2024/25.</p> <p>It is now expected that the outcome of government's reviews of fair funding and business rates retention baselines will not come into effect before 2026/27; the MTFP will be updated to reflect this, which has the effect of pushing back the potential £3m budget gap from 2025/26 to 2026/27.</p> <p>The development of an action plan to maintain a sustainable balanced budget is on hold awaiting the outcome of these government reviews.</p>	Director of Resources

268

2	An internal audit review has identified that our arrangements for asset management need to be strengthened	Address the outstanding recommendation to reconcile assets of the property and financial systems and use a common property identifier on both systems.	31 March 2023	<b>In Progress:</b> Work was delayed due to a lack of resources in Legal and Resources (mainly); it is now underway.	Director of Regulatory Services
3	An internal audit review of data protection arrangements has identified areas where improvements are required.	Address the implementation of outstanding recommendations from the internal audit review.	31 March 2023	<b>In Progress:</b> External audit of Council position against the ICO Accountability Tracker has been undertaken and identified 13 areas for immediate improvement.  An action plan is being developed which will include reviewing and updating policies and procedures, as well as increasing awareness of duties in respect of data protection amongst all employees and Members	Director of Corporate & Customer Services and the Director of Resources (Data Protection Officer)
4	Internal audit resources have been insufficient to complete the internal audit plan	Ensure that appropriately trained auditors are in place to deliver the audit plan.	31 December 2022	<b>In progress:</b> Audit resources returned to full strength from July 2023. Appropriate training is being undertaken. The audit plan for 2023/24 is being reviewed and will be reported to Committee for approval in November 2023.	Director of Resources
5	Weaknesses have been identified in arrangements for procurement and contract management	Implement the recommendations from the independent review of waste management;  Carry out a review of financial regulations and contract standing orders and,	31 December 2022	<b>Complete:</b> Recommendations implemented in full  <b>Complete:</b> Contract Standing Orders and Financial Regulations updated in	Corporate Leadership Team

		following that, raise employee awareness and provide training, guidance and support.		September 2022 with training delivered to all senior managers in October 2022. Procurement and Contracts Officer appointed in April 2023.	
6	Arrangements for ensuring that systems are in place to meet grant conditions need to be strengthened	Review and strengthen Financial Regulations relating to grant conditions and raise employee awareness.	31 December 2022	<b>Partially complete:</b>  Financial Regulations updated in 2022. Employee awareness to be raised following update of Financial Regulations in 2023.	Director of Resources

**b) Annual Governance Statement issues arising from 2022/23 review, to be actioned in 2023/24**

270

	Issue	Action	Expected Outcome	Lead Officer (s)	Target Date
1	There is a budget gap for future years as identified in the Medium-Term Financial Plan, which will be exacerbated by rising inflation.	<p>Ensure that there are effective processes to manage and monitor budgets and to plan and monitor savings.</p> <p>Review the MTFP to reflect the impact of rising inflation and interest rates, the outcome of the Local Government Finance Settlement for 2024/25 and following outcome of government's reviews of fair funding and business rates retention.</p> <p>Following the outcome of the government reviews, develop an action plan to maintain a sustainable balanced budget.</p>	Balanced budget for 2024/25 and Medium-Term Financial Plan to be updated to address budget gap for future years.	Director of Resources	Updated Medium Term Financial Plan & Balanced Budget for 2024/25: by 11 March 2024

2	An internal audit review has identified that our arrangements for asset management need to be strengthened	Address the outstanding recommendation to reconcile assets of the property and financial systems and use a common property identifier on both systems.	Completion of reconciliation	Directors of Regulatory Services, Corporate & Customer Services and Resources	31 March 2024
3	Internal and external reviews of data protection arrangements have identified areas where improvements are required.	Address the implementation of outstanding recommendations from the internal audit review and the external review.	Compliance with legislation and ICO guidance, reducing the risk of sanctions for non-compliance;  Raised awareness for employees and councillors;  Improved record keeping.	Director of Corporate & Customer Services	31 March 2024
4	Internal audit resources have been insufficient to complete the internal audit plan and for an opinion to be given on the adequacy and effectiveness of Derbyshire Dales District Council's governance, risk and control arrangements.	Ensure that appropriately trained auditors are in place to deliver the audit plan.	Ensure that the new auditors are suitably trained.  Review the internal audit plan.	Director of Resources	30 November 2023
5	Arrangements for ensuring that systems are in place to meet grant conditions need to be strengthened	Raise employee awareness of updated Financial Regulations.	Improved monitoring of compliance with grant conditions, reducing the risk of claw back or non-payment of grant,	Director of Resources	31 December 2023

We propose over the coming year to take steps to address the significant governance issues identified in section 6b of this statement to further enhance our governance arrangements. We are satisfied that these steps will address the need for improvements that were identified in our review of effectiveness and will monitor their implementation and operation as part of our next annual review.

Approved at a meeting of the Governance and Resources Committee held on 14 September 2023.

Signed

Councillor Steve Flitter  
**Leader of the Council**

Paul Wilson  
**Chief Executive**

272





# Agenda Item 11

## OPEN REPORT GOVERNANCE AND RESOURCES COMMITTEE

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**Governance and Resources Committee – 14 September 2023**

### **RISK MANAGEMENT – ANNUAL REPORT 2022/23 & UPDATED RISK MANAGEMENT POLICY AND STRATEGY**

#### **Report of the Chief Executive**

##### **Report Author and Contact Details**

Karen Henriksen, Director of Resources  
01629 761284 or karen.henriksen@derbyshiredales.gov.uk

##### **Wards Affected**

District-wide

##### **Report Summary**

The Council's Risk Management Policy and Strategy requires the Chief Executive to report to Members, by way of an annual report, on the Council's risk management arrangements and how key strategic risks are being managed.

This report describes the Council's risk management processes and working practices, which ensure that risk management arrangements continue to be effective, timely and fit for purpose, providing the Council with the correct levels of insight and support in relation to its risk exposure.

This report also asks Members to approve an updated Risk Management Policy and Strategy.

##### **Recommendations**

1. That the annual report and risk management arrangements be approved.
2. That the Risk Management Strategy and Policy 2023 - 2025 be approved.

##### **List of Appendices**

Appendix 1 Risk Management Policy and Strategy 2023-2025

Appendix 2 Strategic Risk Register: Mitigating Actions

Appendix 3 Internal Audit Review Recommendations

##### **Background Papers**

None

##### **Consideration of report by Council or other committee**

Not applicable

**Council Approval Required**

No

**Exempt from Press or Public**

No

## Risk Management – Annual Report 2022/23 & Updated Risk Management Policy and Strategy

### 1. Background

- 1.1 The Council's Risk Management Policy and Strategy, approved by this Committee in March 2021, requires the Chief Executive to report to Members, by way of an annual report on the Council's Risk Management arrangements and how key strategic risks are being managed.
- 1.2 This report describes the current risk management processes and working practices, which have been developed to ensure they continue to provide the Council with the correct levels of insight and support in relation to its risk exposure. The report illustrates the strategic risks and scores them as high (red), medium (yellow) or low (green). The report also shows the actions that are planned to mitigate or reduce the risks.
- 1.3 The Council operates a risk management programme whereby risks associated with the Corporate Plan, its key strategic objectives and individual Service Plan Key Actions are formally assessed. The Council identifies risks at two levels:
  - **Strategic Risks:** These are the risks that will significantly impact the Council in the delivery of its Strategic Objectives and Corporate Plan; and
  - **Operational (Service) Risks:** These are the risks which will impact on the delivery of each service at an operational level. Managing these risks will assist each Head of Service in the delivery of their Service Plan objectives and key actions.
- 1.4 Relevant individuals (the Risk Management & Continuity Group or RCG) meet on a quarterly basis to discuss the risks facing the Council and the delivery of its objectives. Those risks highlighted during these sessions are analysed and prioritised and further actions identified. These are captured within the Operational and Strategic Risk Registers.
- 1.5 An essential part of the process involves ensuring all risks have clear ownership. Service Managers are required to identify the key internal controls for each risk they are responsible for and to identify mitigating controls. The risk management methodology provides guidance for risks to be scored, enabling officers to report risks which may prevent them from achieving their required aims.
- 1.6 Risks are regularly reported to the Risk Continuity Group (which includes all members of the Corporate Leadership Team as well as other key colleagues), ensuring that risks, risk management etc. are challenged and reported effectively.

1.7 Further guidance on the Council's risk management processes and procedures can be found in the [Risk Management Policy and Strategy](#) dated September 2021. An updated version is proposed at Appendix 1. Revisions to the document reflect the current organisation structure, reporting and procedures.

## 2. Key Issues for 2022/23

2.1 The Council remains committed to ongoing risk management activities. Risk management practices and procedures are well embedded. The Risk Continuity Group continues to be well attended. Key actions arising since the last annual report include:

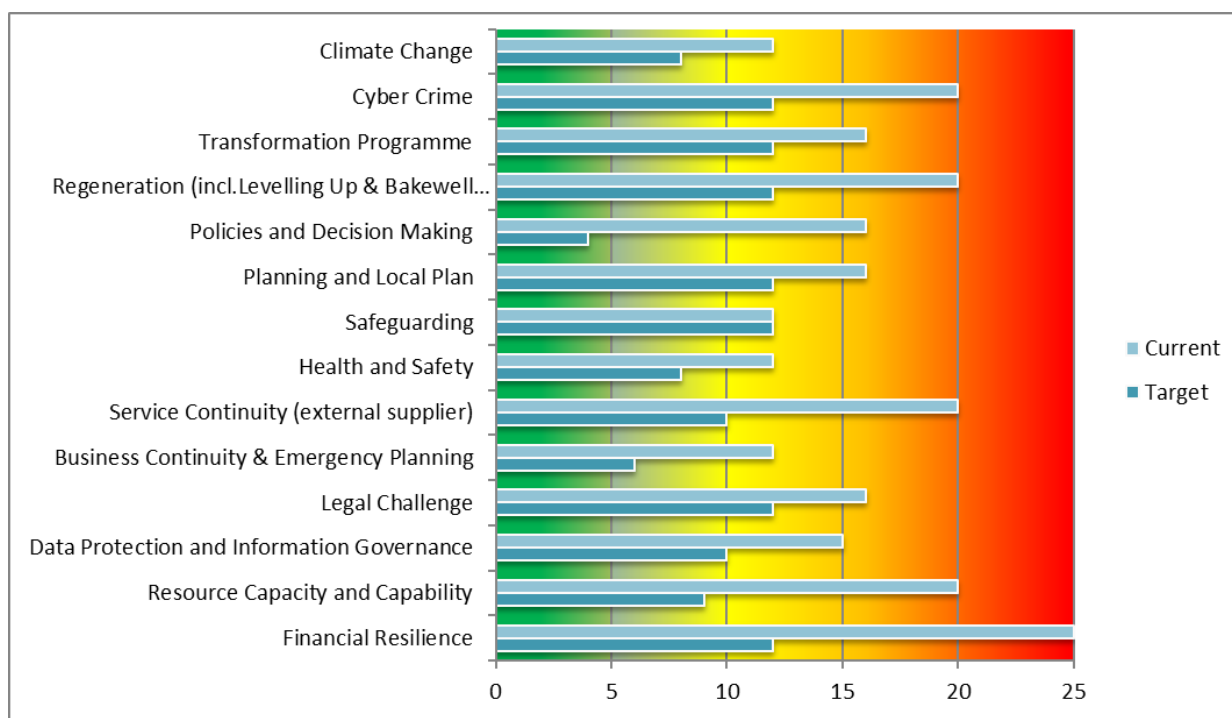
- Regular reviews of the strategic risk register
- Regular discussions relating to risks arising from events being held in the District;
- Discussions relating to changes to the Business Continuity Plan and the Emergency Plan;
- Feedback from an Emergency Planning exercise;
- Review of terms of reference and membership of group
- Preparation of the draft annual report
- Discussions relating to cyber security insurance and consultancy
- Discussing the progress of implementation of the recommendations of the internal audit review of risk management arrangements.

2.2 Internal Audit Review: An internal audit review of risk management arrangements was undertaken in 2022. The overall conclusion of the internal audit review was that the reliability of the internal controls operating in respect of risk management was assessed as **Reasonable**. (Reasonable is defined as *“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”*). However, 8 recommendations were made by Internal Audit (5 low risk and 3 medium risks) and the RCG will oversee the implementation by the end of the financial year. Details of the recommendations, and progress in implementing them, are set out in Appendix 3.

2.3 Risk Assessments: Strategic Risks are considered by relevant officers and documented within the Strategic Risk Register. Those risks identified and scored by the RCG at the meeting in June 2023 are set out in Chart 1 below.

The chart shows that the Council currently has 14 risks on its strategic risk register. It also shows that the five highest scoring risks are currently: Financial Resilience (score of 25), followed by Cyber Crime (20), Service Continuity (External Supplier) (20), Regeneration (20) and Resource Capacity / Capability (20).

Chart 1: Strategic Risk Scores (June 2023)



2.4 A comparison of current risks with the chart shown in last year’s report shows no significant change, as illustrated in table 1 below.

Table 1: Change in risk levels 2022 to 2023

Level of Risk	Rating	Number of risks at each level	Number of risks at each level	Change
		June 2023	June 2022	
Low	1 - 4	0	0	-
Medium	5 - 16	9	9	-
High	17 - 25	5	5	-

2.5 Strategic Risk Action Plan: Service managers and the Risk Continuity Group have identified that actions are required in order to further mitigate strategic risks, moving risk scores closer to targets, and to reduce the Council’s risk profile. These mitigating actions are shown in Appendix 2.

2.6 The Risk Continuity Group has reviewed the Risk Management Policy and Strategy, which was last updated in 2021. This report recommends an updated Policy and Strategy for Members’ approval, which is shown in Appendix 1. Revisions to the document reflect the current organisation structure, processes and procedures.

### **3. Options Considered and Recommended Proposal**

- 3.1 It is recommended that the annual report and risk management arrangements be approved.

### **4 Consultation**

- 4.1 This report does not seek a decision to make changes to policy or procedure and therefore it has not been subject to consultation.

### **5 Timetable for Implementation**

- 5.1 Further mitigating actions (shown in Appendix 2) will be implemented as soon as practicable.
- 5.2 The recommendations arising from the Internal Audit Review (shown in Appendix 3) are all expected to be implemented by March 2024.

### **6 Policy Implications**

- 6.1 This report addresses the requirement within the Risk Management Policy and Strategy for an annual report on risk management activities to be presented to the Governance & Resources Committee.
- 6.2 Effective Risk Management provisions enable significant risks to be identified, mitigated and monitored thus contributing to the provision of all services and priorities.

### **7 Financial and Resource Implications**

- 7.1 The cost of insurance cover and other mitigating actions is usually contained within existing budgets. Where a significant mitigating action is identified to address a high risk, and there is insufficient budget, the relevant service director will prepare a report for the relevant policy committee or Council to seek a supplementary revenue budget. The financial risk of this report's recommendations is assessed as low.

### **8 Legal Advice and Implications**

- 8.1 This report describes the Council's risk management processes and working practices, which ensure that risk management arrangements continue to be effective, timely and fit for purpose, providing the Council with the correct levels of insight and support in relation to its risk exposure.
- 8.2 The report documents an effective system of risk management, which aims to identify, control and mitigate risk. It is recognised that not all risks can be mitigated.
- 8.3 There are two recommended decisions connected to this report and the legal risk associated to these decisions have been assessed as low.

## **9 Equalities Implications**

- 9.1 There are no direct equality or diversity issues arising from this report, so it has not been necessary to prepare an Equality Impact Assessment.

## **10 Climate Change and Biodiversity Implications**

- 10.1 There are no direct implications for CO2 Emissions and Climate Change arising from this report.
- 10.2 Climate change risks are assessed and monitored on the strategic risk register. More detailed operational risk assessments for specific climate change projects, such as the Public Sector Decarbonisation Scheme, are held in the regulatory services department.

## **11. Risk Management**

- 11.1 This report addresses the Council's Risk Management Policy and Strategy, which is designed to ensure that risk management arrangements continue to be effective, timely and fit for purpose and to provide the Council with the correct levels of insight and support in relation to its risk exposure.
- 11.2 Risk management can help ensure that potential barriers to the delivery of its priorities and services are identified and addressed in advance. It can help to direct resources to areas of most need, including areas of innovation and efficiency.

### **Report Authorisation**

Approvals obtained from Statutory Officers :-

	<b>Named Officer</b>	<b>Date</b>
Chief Executive	Paul Wilson	24/08/2023
Director of Resources/ S.151 Officer (or Financial Services Manager)	Karen Henriksen	24/08/2023
Monitoring Officer (or Legal Services Manager)	Kerry France	24/08/2023

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# Derbyshire Dales District Council

## Risk Management Policy & Strategy 2023 - 2025

Version:	V3 – Draft for approval of Governance & Resources Committee
Name of Executive Lead	Paul Wilson – Chief Executive
Comments From RCG members by:	V1 reviewed at RCG meeting June 2023 V2 for review by RCG by 14 August 2023 V3 for approval of Governance & Resources Committee
To Be Approved by Governance & Resources Committee	14 September 2023
Date This Version Issued	16 August 2023
Review date:	June 2025

## Contents

1	Introduction	4
2	Risk Management Organisational Structure	9
3	Roles and Responsibilities	10
4	Risk Management Process	13
5	Links to other Business Processes	13
6	Communication	14
7	Training	14
8	Monitoring of Risk	14
9	Conclusion	15
Appendix A	Risk Scoring	16
Appendix B	Risk Management Glossary	17
Appendix C	Risk Continuity Group Terms of Reference	18

## Risk Management Strategy Statement

It is the Council's policy to proactively identify, understand and manage the risks inherent in our services and associated within our plans and strategies, to encourage responsible, informed risk taking.

Risk management is all about understanding, assessing and managing the Council's threats and opportunities. The Council accepts the need to take proportionate risk to achieve its strategic obligations, but expects these to be appropriately identified, assessed and managed. Through managing risks and opportunities in a structured manner, the Council will be in a stronger position to ensure that we are able to deliver our objectives. As a result, through risk management, the Council aims to:

- a) Use effective risk management as a key element of good governance and rigorous performance management. All Members and Officers will ensure that they identify, manage and act on opportunities as well as risks to enable the Council to achieve its objectives and integrate risk management into the culture and day to day working of the Council.
- b) Utilise risk management as an integral part of corporate and business planning, policy-making, performance management, ensuring effective service delivery.
- c) Embed a systematic and consistent approach to risk management throughout the Council.
- d) Ensure that strategic partnerships, outsourced or externally provided arrangements are adequately risk-assessed and managed.
- e) Maintain risk management policies, procedures etc. ensuring these comply with best practice and statutory requirements. Every two years the Risk Continuity Group will review the Risk Management Policy and Strategy and each year will review processes and arrangements and will recommend further improvements where necessary as part of the preparation of the Risk Management Annual Report.
- f) Identify clear roles and accountability for risk management within the Risk Management Strategy. These will recognise process enhancements, day to day risk management requirements, oversight and scrutiny, along with the Council's need to support Officers in training and awareness programmes.

This proposed Risk Management Strategy has been reviewed and endorsed by the Risk Management Continuity Group, which includes the Corporate Leadership Team and other key officers. We recognise that it is not always possible, nor desirable, to eliminate risk entirely. However, visibility of these areas is essential, so that the Council can explore external options, such as insurance.



**Paul Wilson**

# Risk Management Strategy

## 1 Introduction

### 1.1 Purpose and objectives of the Strategy

The purpose of this Risk Management Strategy is to describe the Council's framework for the effective and systematic management of risk, which will ensure that risk management is embedded throughout the Council and makes a real contribution to the achievement of the Council's priorities and objectives. As a result, the objectives of this strategy are to:

- Define what risk management is about and what drives risk management within the Council;
- Set out the benefits of risk management and the strategic approach to risk management;
- Outline how the strategy will be implemented; and
- Identify the relevant roles and responsibilities for risk management within the Council.

Effective risk management requires an iterative process of identification, analysis, and prioritisation, action, monitoring and reporting of material risk. The processes required to deliver these objectives provides:

- Clear identification of corporate aims and priorities, service objectives and key actions;
- Specification of roles and responsibilities in respect of risk management activities;
- Consideration of risk as an integral part of corporate and business processes;
- Requirements to analyse, prioritise, respond to, monitor and report on material and significant risks;
- Specification of guidance and support arrangements to assist officers in their consideration of risk;
- Facilitation of shared organisational intelligence and learning.

Risks are managed through a series of provisions applying at different levels. These include:

- Expression of the strategic risk tolerance in corporate aims and service plans through application of our risk scoring methodology;
- At operational level by budget allocation and monitoring through effective performance management arrangements;

- At project level through application of established risk assessment techniques in compliance with business continuity planning;
- Good corporate governance provisions as provided by the Governance & Resources Committee’s Terms of Reference;
- Annual review of arrangements to assess against good practice (Chief Executive’s Annual Report);
- Examination of corporate and insurable risks to identify risk reduction measures (Risk Continuity Group);
- Provide for risk assessment evidence in all decision-making processes of the Council by inclusion in all Committee reports;
- Maintain documented procedures, toolkits and guidance for use across the Council by application of the risk register process and usage advice;
- Provide officers with suitable information and training to enable them to perform their duty (Risk Continuity Group and Performance and Development Reviews);
- Make all partners, providers and delivery agents aware of the Council’s expectations on risk, both generally as set out in the Risk Management Policy, and where necessary, in particular areas of service delivery.

## 1.2 Risk Management Definitions

There are several ways in which organisations express risks and as a result, the risk management definitions can vary. Therefore, we have included a risk management glossary of the Council’s risk management definitions.

A full glossary of definitions can be found in **Appendix B**.

## 1.3 What is risk management?

Risk can be defined as ***“a threat that an event or action will adversely affect the Council’s ability to achieve its objectives, perform its duties or meet expectations of its stakeholders”***

Risk is unavoidable; organisations must manage risk in a way that can be justified to a level which is tolerable and as a result, risk is the chance that an event will occur that will impact upon the organisation’s objectives. It is measured in terms of consequence and likelihood.

The holistic approach is vital to ensure that all elements of the organisation are challenged including decision making processes, working with partners, consultation, existing policies and procedures and also the effective use of assets – both staff and physical assets.

The risks facing the Council will change over time, some changing continually, so this is not a one-off process. Instead, the approach to risk management should be continual and the risks and the approach to managing them should be reviewed regularly.

It is important to note that risks can also have an upside; their impact can in some cases be positive as well as negative. Risk is also often said to be the flipside of opportunity so the whole risk management process can also help the Council to identify positive opportunities that will take it forward. Risk management needs to be seen as a strategic tool and an essential part of effective and efficient management and planning.

#### **1.4 Why do we want (and need) to do risk management?**

Risk management will, by adding to the business planning and performance management processes, strengthen the ability of the Council to achieve its objectives and enhance the value of the services provided.

**We are required to do it** - Risk management is something that the Council is required to do, for example:

- The CIPFA/SOLACE framework on Strategic Governance requires the Council to make a public assurance statement annually, on amongst other areas, the Council's Risk Management Strategy, process and framework. The framework requires the Council to establish and maintain a systematic strategy, framework and processes for managing risk.

**Benefits of risk management** - Successful implementation of risk management has many benefits for the Council :

- Increased likelihood of achieving the Council's priorities;
- A consistent approach to the way risks are managed throughout the Council;
- Informed decision making – risks reported and considered within Council decision-making;
- Becoming less risk averse in innovation (because you understand) and hence are more innovative;
- Improved business planning through a risk- based decision making process;
- A focus on outcomes not processes;
- Improved performance (accountability and prioritisation) - feeds into performance management framework;

- Better governance - and demonstration of it to stakeholders; and
- Helping to protect the organisation.

### 1.5 Where does risk management fit?

In short the answer is “*everywhere*”. Effective risk management should be applied within all decision-making processes at an *appropriate scale*. So, the risk management approach should encompass all types of risks and the table below may aid in the identification of risks to the Council.

Sources of risk	Risk examples
<b>STRATEGIC</b>	
<b>Infrastructure</b>	Functioning of transport, communications and infrastructure. Impact of storms, floods, pollution.
<b>Legislative and Regulatory</b>	Effects of the change in Central Government policies, legislation, local and National changes in manifestos. Exposure to regulators (auditors/inspectors).
<b>Social Factors</b>	Effects of changes in demographic profiles (age, race, social makeup etc.) affecting delivery of objectives. Crime statistics and trends. Numbers of children/vulnerable adults ‘at risk’.
<b>Technological</b>	Capacity to deal with (ICT) changes, transformation and innovation, product reliability, developments, systems integration, cyber-crime etc. Current or proposed technology partners.
<b>Competition and Markets</b>	Cost and quality affecting delivery of service or ability to deliver value for money. Competition for service users (car parks etc.). Success or failure in securing funding.
<b>Stakeholder related factors</b>	Satisfaction of the Council’s taxpayers, Central Government and other stakeholders.
<b>Environmental</b>	Environmental impact from Council, stakeholder activities (e.g. pollution, energy efficiency, recycling, emissions, contaminated land etc.). Traffic problems and congestion.
<b>OPERATIONAL (Internal influences)</b>	
<b>Finance</b>	Associated with accounting and reporting, internal financial delegation and control, e.g. managing revenue and capital resources, taxation and pensions.
<b>Human Resources</b>	Recruiting and retaining appropriate staff and applying and developing skills in accordance with corporate objectives, employment policies, health and safety.
<b>Contracts and Partnership</b>	Failure of contractors to deliver services or products to the agreed cost and specification. Procurement, contract and life cycle management, legacy. Partnership arrangements, roles and responsibilities.
<b>Tangible Assets</b>	Safety and maintenance of buildings and physical assets e.g. plant and equipment, ICT equipment and control
<b>Environmental</b>	Climate change, pollution, noise, licensing, energy efficiency of day-to-day activities.
<b>Processes</b>	Compliance, assurance, project management, performance management, revenue and benefits systems, parking systems etc.

Sources of risk	Risk examples
<b>Professional Judgement and Activities</b>	Risks inherent in professional work, designing buildings, safeguarding vulnerable children and adults.
<b>CORPORATE GOVERNANCE</b>	
<b>Integrity</b>	Fraud and corruption, accountability, transparency, legality of transactions and transactions and limit of authority.
<b>Leadership</b>	Reputation, authority, democratic changes, trust and branding.
<b>Policy and Strategy</b>	Clarity of policies, communication. Policy Planning and monitoring and managing performance.
<b>Data and information for decision making</b>	Data protection, data reliability and data processing. Control of data and information. E-government and service delivery.
<b>Risk Management</b>	Incident reporting and investigation, risk analysis or measurement, evaluation and monitoring. Taking advantage of opportunities.

There is therefore a consistent approach from the top to the bottom of the Council. So, a mechanism exists for risks to be escalated up (bottom up) within the Council whilst the top risks are also explicitly identified and managed (top down).

In practice this means that the Council carries out risk assessments and maintains the following risk registers:

- **Strategic Risk Register** – the strategic, high level council risks related specifically to the Corporate Plan; and
- **Operational Risk Registers** – the risks facing each directorate / service and the achievement of its service objectives, as outlined in the Service Delivery Plan. Depending on the structure and complexity of the service there may also be a need/desire to have sub-unit risk registers which feed into the service risk register.

Given the changing landscape of local government the importance of projects and partnerships are ever increasing, so a more specific and tailored risk management approach is required.



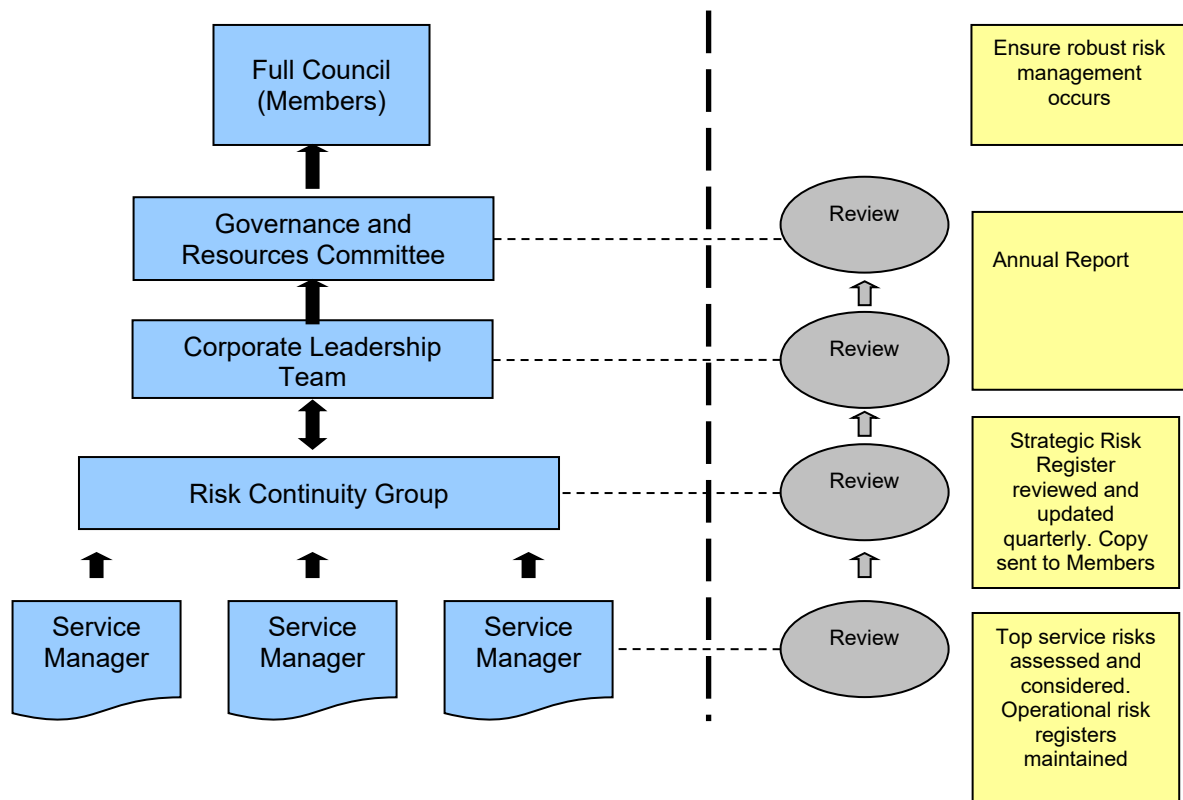
## 2 Risk Management Organisational Structure

### 2.1 Reporting structure

The risk management process is a continuous one and risks can therefore be reported at any time. However, risks will be formally reported as follows:

- Service Managers are required to review and update the risks that sit within their service on a quarterly basis via departmental meetings. These updates are fed into the operational risk registers, as well as the strategic risk register where appropriate.
- The Risk Continuity Group reviews operational risk registers on a half yearly basis to ensure all identified risks are being well managed and updated/reviewed in accordance with the Risk Management Policy and Strategy.
- On a quarterly basis the Risk Continuity Group (RCG) receives a copy of the Council’s Strategic Risk Register for challenge and consideration. The RCG reviews and updates the strategic risk register quarterly; a copy of the updated strategic risk register is then sent to all members.
- A risk management annual report is produced by the Risk Continuity Group. The draft report is to the Governance and Resources Committee is reviewed by the Corporate Leadership Team.

The reporting structure is represented below:



### 3. Roles and Responsibilities

In cases of operational risk, risk management will follow existing service management arrangements. Strategic risk will be managed at Director Level. The Risk Continuity Group includes the Corporate Leadership Team and other key officers who are the “driving force” behind developing and implementing the Council’s Risk Management Strategy. The current Terms of Reference for the Group is shown at **Appendix C**.

Risk needs to be addressed at the point at which decisions are being taken. Where Members and Officers are asked to make decisions, they should be advised of the risks associated with recommendations being made as necessary. The Council needs to be able to demonstrate that it took reasonable steps to consider the risks involved in a decision. Risks must be addressed within Committee reports, as part of the corporate checks.

There needs to be a balance between the efficiency of the decision making process and the need to address risk. All reports to Council or Committees include a section that assesses risks.

The following describes the roles and responsibilities that Members and officers play in embedding and owning the risk management process:

Group/ individual	Roles & Responsibilities
<b>Members</b>	<ul style="list-style-type: none"> <li>▪ Are responsible for governing the delivery of services to the local community and have a responsibility to understand the risks that their Council faces and be aware of how these risks are being managed. One way of gaining assurance that identified risks are being effectively managed is by robust, constructive challenge and scrutiny.</li> <li>▪ Endorse the Risk Management Policy and Strategy;</li> <li>▪ Agree the priorities determined by officers;</li> <li>▪ Review the effectiveness of the risk management process;</li> <li>▪ Governance &amp; Resources Committee’s Terms of Reference include corporate governance provision;</li> <li>▪ Receive reports from the Chief Executive (Officer with responsibility for risk management) stating whether effective risk management arrangements operate;</li> <li>▪ Approve risk tolerance levels or the “risk appetite” of the Council i.e. the definition of high (red) risk, medium (amber) risk and low (green) risk as recommended by the Corporate Leadership Team;</li> <li>▪ Consider the risks involved in making any decisions;</li> <li>▪ Hold the Corporate Leadership Team accountable for the effective management of risk; and</li> <li>▪ The Leader and Chief Executive approve the Annual Governance Statement, which is the public disclosure of the annual outcome of this assessment (the assurance statement) and published in the annual Statement of Accounts.</li> </ul>

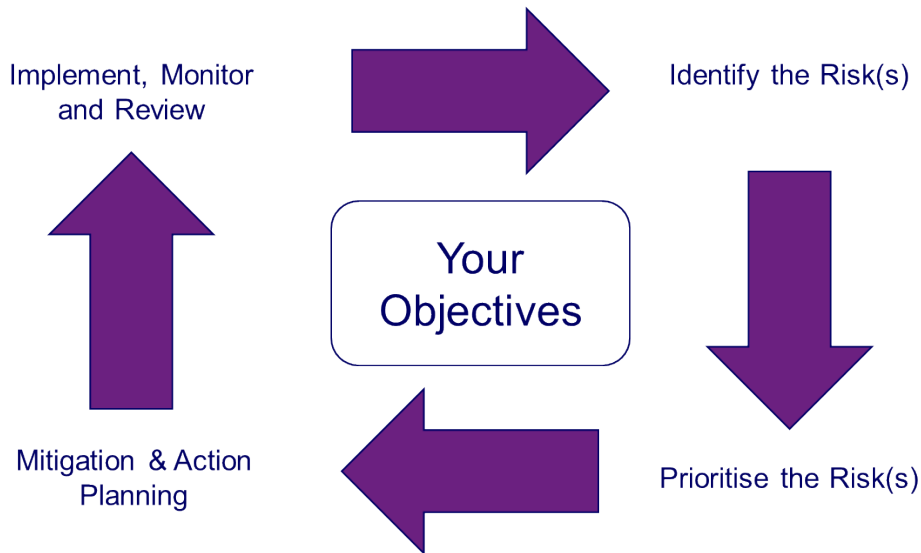
Group/ individual	Roles & Responsibilities
<b>Corporate Leadership Team</b>	<ul style="list-style-type: none"> <li>• Scrutinises significant risks in more detail as part of their annual work programme and identifies and implements mitigating actions, as appropriate;</li> <li>• Takes corporate responsibility for risk;</li> <li>• Addresses issues that cannot be addressed within service budgets.</li> <li>•</li> </ul>
<b>Risk Continuity Group</b>	<ul style="list-style-type: none"> <li>▪ Implements effective risk management;</li> <li>▪ Reviews and recommends changes to the risk management strategy;</li> <li>▪ Identifies and assesses risks;</li> <li>▪ Prepares, monitors and reviews the strategic risk register;</li> <li>▪ Ensures that operational risk registers are being reviewed and updated regularly;</li> <li>▪ Recommends actions to address risks; and</li> <li>▪ Arranges and provides risk management training as appropriate.</li> </ul>
<b>Chief Executive</b>	<ul style="list-style-type: none"> <li>▪ Overall responsibility for ensuring that strategic risks are effectively managed within the Council; and</li> <li>▪ Provides an annual statement of assurance on strategic risks.</li> </ul>
<b>Service Directors</b>	<ul style="list-style-type: none"> <li>• Attend RCG meetings;</li> <li>• Champion and take overall responsibility for implementing the Risk Management Framework and embedding risk management throughout the Council.</li> <li>• Maintain awareness of and help promote the approved risk management strategy to all staff;</li> <li>• Contribute towards the identification and management of operational risks for their service, ensuring that operational risk registers are reviewed and updated regularly;</li> <li>• Review risk action plans and ensure they are implemented;</li> <li>• Review risk treatment schedules as identified by the line managers and team leaders;</li> <li>• Ensure that risks which have been identified are addressed and mitigated and that any high risks are addressed urgently; and</li> <li>• Ensure that risk management is incorporated into service plans and project plans.</li> </ul>
<b>Line Managers &amp; Team Leaders</b>	<ul style="list-style-type: none"> <li>▪ Identify and analyse risks;</li> <li>▪ Undertake assessments at service level;</li> <li>▪ Evaluate risk/perform risk assessment</li> <li>▪ Prepare risk register entries;</li> <li>▪ Prepare the risk treatment schedule; and</li> <li>▪ Prepare risk action plan.</li> </ul>
<b>All Employees</b>	<p>All employees have a responsibility to:</p> <ul style="list-style-type: none"> <li>▪ Manage risk effectively in their job and report opportunities and risks to their service managers;</li> <li>▪ Participate in risk assessment and action planning where appropriate;</li> <li>▪ Adhere to Council policies and procedures; and</li> <li>▪ Attend training and development sessions as appropriate</li> </ul>
<b>Project Leaders</b>	<ul style="list-style-type: none"> <li>▪ Project leaders have a responsibility to ensure that the risks associated with their projects are identified, recorded and regularly reviewed as part of the project management process.</li> </ul>



<b>Group/ individual</b>	<b>Roles &amp; Responsibilities</b>
<b>Internal Audit</b>	<p>Internal Audit’s role is to maintain independence and objectivity. Internal Audit is not responsible or accountable for risk management or for managing risks on management’s behalf. Internal Audit will:</p> <ul style="list-style-type: none"><li>▪ Audit the risk management process;</li><li>▪ Assess the adequacy of the mechanisms for identifying, analysing and mitigating key risks;</li><li>▪ Provide assurance to officers and Members on the effectiveness of controls; and</li><li>▪ The Risk Register will drive the Internal Audit Plan to ensure resources are used on the areas of highest risk and where the need for assurance is greatest.</li></ul>

## 4. Risk Management Process

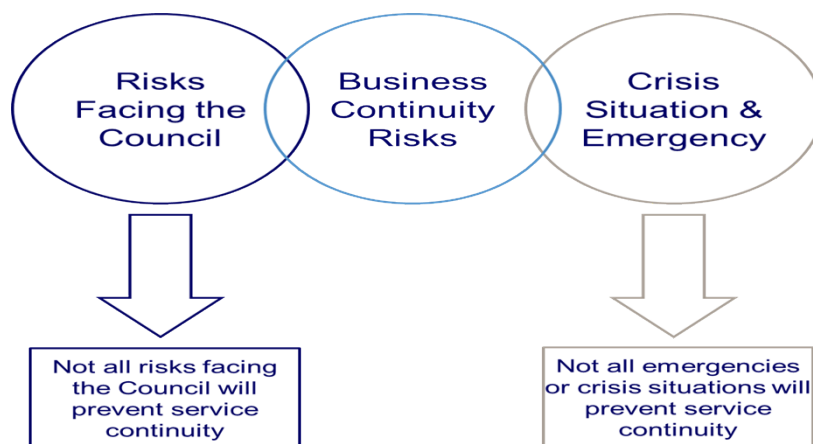
The risk management process follows a four step approach; these are indicated in the diagram below and should be driven by the Council’s objectives.



## 5 Links to other Business Processes

### Risk management, emergency planning and business continuity

There is a link between these areas however it is vital for the success of risk management that the roles of each, and the linkages, are clearly understood. The diagram below sets out to demonstrate the differences.



**Risk management** is about trying to identify and manage those risks which are more than likely to occur and where the impact on the Council’s objectives can be critical or even catastrophic.

**Business continuity management** is about trying to identify and put in place measures to protect the priority functions against catastrophic risks that can stop the organisation in its tracks. There are some areas of overlap e.g. where the I.T infrastructure is not robust then this will feature as part of the organisation risk assessment and also be factored into the business continuity plans.

**Emergency planning** is about managing those incidents that can impact on the community (in some cases they could also be a business continuity issue) e.g. a plane crash is an emergency, it becomes a continuity event if it crashes on the office.

## 6. Communication

The Risk Management Strategy and Policy will be published on the Council’s website so that all members of staff, partners, stakeholders and interested members of the public can have access and easily refer to it. The document will be reviewed every two years and following any key changes e.g. Central Government policy, inspection regimes and following any internal reorganisation.

## 7 Training

Training will be facilitated via workshops, the Council’s online learning portal, etc., with a view to enabling all officers to confidently undertake the process of risk identification and mitigation within their service areas.

## 8 Monitoring of Risk

The Council will monitor risk in the following ways:

- Risk Assessments will be undertaken annually to reflect Service Plan Objectives and Key Actions.
- The Council’s risk registers, both strategic and operational, will be the prime record which contains risk assessments, mitigation controls and review frequency information in accordance with the Councils Risk Management Methodology.
- The Risk Continuity Group will comply with their Terms of Reference as defined in **Appendix C**.
- Internal Audit will review the Council’s risk management arrangements as part of its audit plan.

## 9 Conclusion

This strategy sets the framework and culture for risk management at Derbyshire Dales District Council. It also formalises a process that is applied across the Council to ensure consistency and clarity in understanding the role and benefits of strategic risk management.

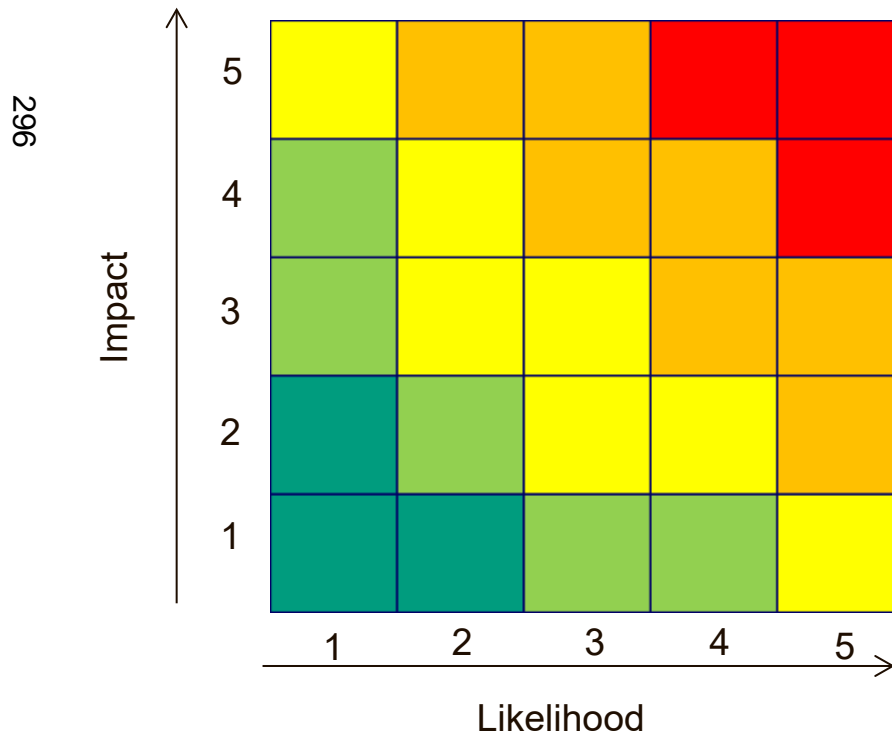
The quarterly reporting and escalation of risks interlock with the arrangements for performance reporting. The intention is that the management of risks is incorporated into business plans so that, by reporting on performance, reports naturally consider the mitigation of risks.

The approval of this updated strategy builds on the risk management work undertaken to date and ensures that the Council continues to meet the requirements of recognised best practice and inspection.

RISK MANAGEMENT STRATEGY

## Appendix A – Risk Scoring

1 Very Low	2 Low	3 Medium	4 Probable	5 High
Unable to recall previous event	Once in last 20 years	Occurred elsewhere in last 10 years	Happened in last 4 – 10 years	Happened once or more in past 4 years



Severity	Definition
<b>5 Critical</b>	<i>Personal safety</i> – Death <i>Financial loss</i> – Over £250,000 for legal obligation claim/fine/custodial sentence, Business loss claim/fine/custodial sentence. <i>Personal Privacy infringement</i> – All personal details compromised <i>Reputation</i> – Officer/Members forced to resign
<b>4 Major</b>	<i>Personal safety</i> – Major injury <i>Financial loss</i> - Up to £100,000 - £250,000 for legal obligation claim/fine, Business loss claim/fine. <i>Personal Privacy infringement</i> – Severe personal details compromised <i>Reputation</i> – Local or public interest/National press aware
<b>3 Possible</b>	<i>Personal safety</i> – Injury outpatients <i>Financial loss</i> - Up to £50,000 - £100,000 for legal obligation claim/fine, Business loss claim/fine. <i>Personal Privacy infringement</i> – Isolated, personal detail compromised <i>Reputation</i> – Subject to formal report to Council
<b>2 Unlikely</b>	<i>Personal safety</i> – Minor injury, not serious <i>Financial loss</i> - Up to £1,000 - £50,000 for legal obligation claim/fine, Business loss claim/fine. <i>Personal Privacy infringement</i> – Embarrassment, none lasting effect <i>Reputation</i> – Contained within section/department
<b>1 Rare</b>	<i>Personal safety</i> – Minor First aid <i>Financial loss</i> - Up to £1,000 for legal obligation claim, Business loss claim <i>Personal Privacy infringement</i> – Minor, none consequential <i>Reputation</i> – Minor, none lasting



## Appendix B – Risk Management Glossary

<b>Risk</b>	Risk can be defined as a threat that an event or action will adversely affect the Council's ability to achieve its objectives, perform its duties or meet expectations of its stakeholders.
<b>Hazard</b>	Anything that has the potential to cause harm.
<b>Risk Management</b>	Risk is unavoidable, organisations must manage risk in a way that can be justified to a level which is tolerable and as a result, risk is the chance that an event will occur that will impact upon the Organisation's objectives. It is measured in terms of consequence and likelihood.
<b>Assessing risks</b>	The approach and process used to prioritise and determine the likelihood of risks occurring and their potential impact on the achievement of the Council's objectives and priorities.
<b>Contingency</b>	An action or arrangement that can be put in place to minimise the impact of a risk if it should occur.
<b>Control (control measures)</b>	Any action, procedure or operation undertaken to either contain a risk to an acceptable level, or to reduce the likelihood.
<b>Corporate Governance</b>	Set of internal controls, processes, policies, affecting the way the Council is directed, administered or controlled.
<b>Service risk</b>	Significant operational risks which affect the day-to-day activities of the council.
<b>Identifying risks</b>	The process by which events that could affect the achievement of the Council's objectives, are drawn out and listed.
<b>Risk Prioritisation</b>	Risk prioritisation is the process used to evaluate the hazard/ risk and to determine whether precautions are adequate or more should be done. The risk is compared against predetermined acceptable levels of risk.
<b>Impact</b>	The effect that a risk would have if it occurs.
<b>Issue</b>	An event or concern that has occurred or is taking place and needs to be addressed (as opposed to a risk which has not yet, or might not, occur).
<b>Consequence</b>	A measure of the impact that the predicted harm, loss or damage would have on the people, property or objectives affected.
<b>Likelihood</b>	A measure of the probability that the predicted harm, loss or damage will occur
<b>Risk Treatment</b>	The action(s) taken to remove or reduce risks
<b>Managing and controlling risks</b>	Developing and putting in place actions and control measures to treat or manage a risk.
<b>Control</b>	The control of risk involves taking steps to reduce the risk from occurring such as application of policies or procedures.
<b>Mitigation (Plan)</b>	A strategy that reduces risk by lowering the likelihood of a risk event occurring or reducing the impact of the risk should it occur.
<b>Objective</b>	Something to work towards – a goal.
<b>Operational risk</b>	Risks arising from the day to day issues that the Council might face as it delivers its services.
<b>Overall risk score</b>	The score used to prioritise risks –i.e. impact multiplied by likelihood.
<b>Risk Assessment</b>	Analysis undertaken by management when planning a new process or changing an existing procedure to identify risks that may occur, their potential impact and likelihood of occurrence. It will also identify the controls needed to control the risk and who is responsible for this.
<b>Risk Register</b>	A risk register is a log of risks of all kinds that threaten an organisations success in achieving its objectives. It is a dynamic living document which is populated through the organisations risk assessment and evaluation process. The risk register enables risks to be quantified and ranked. It provides a structure for collating information about risks.

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## Appendix C – Risk Continuity Group Terms of Reference

- a) To implement effective risk management as a key element of good governance and rigorous performance management;
- b) To discuss, agree and recommend as appropriate, all matters relating to risk policy and risk strategy in respect of the Council;
- c) To oversee all issues of risk, including a biennial review of the Council’s Risk Management /strategy, preparation of the Risk Management Annual Report and oversight of the Strategic Risk Register;
- d) To promote a holistic approach to the management of risk throughout the Council practices throughout the Council with the aim of ensuring effective risk management and reducing insurance claims and premiums while ensuring that there is adequate insurance cover;
- e) To reduce the risks within the /council’s services to the benefit of staff and the public;
- f) To provide a forum to discuss risk management issues and responsibilities throughout the Council;
- g) To arrange and provide risk management training as appropriate.
- h) To annually review the terms of reference, role and function of the Corporate Hub.

## Strategic Risk Register: Mitigating Actions as at June 2023

Strategic Risk	Current Risk Score	Mitigating Actions Identified	Target Risk Score (after mitigating actions)
<b>Financial Resilience</b>	25 High	<ul style="list-style-type: none"> <li>• The Council's Medium Term Financial Plan that sets out the approach to achieving the savings that will be required from 2023/24 onwards was approved by Council in March 2023.</li> <li>• Final Local Government Finance Settlement received February 2023 and the impact on Budget for 2023/24 has been assessed. The settlement for 2023/24 was an improvement on the assumptions made in the MTFP but funding position for 2025/26 onwards is still very unclear.</li> <li>• Clearer picture on outlook expected when government announces details of 75% rate retention and the results of the Fair Funding Review, but this is now thought to be likely to be after the next general election.</li> <li>• Assess high value contracts to identify possible levels of exposure to increased expenditure due to rising inflation.</li> </ul>	12 Medium
<b>Resource: Capacity and Capability</b>	20 High	<ul style="list-style-type: none"> <li>• If required, neighbouring authorities could be approached for resource support and agency temps are being engaged (though at a significant cost).</li> <li>• More focus on PDRs- Managers MUST update Job descriptions and Job evaluations to ensure current and fair to retain and recruit</li> <li>• Delivery of Learning &amp; Development Programme</li> <li>• Need to look at ways to possibly fund changes in pay spine for some grades to ensure can continue to recruit</li> </ul>	9 Medium

		<ul style="list-style-type: none"> <li>• Fully utilise E-Learning Platform, with annual review of mandatory courses</li> <li>• Plan being developed to address age profile of depot employees and provide future resilience, as part of a wider review of the Clean and Green Service Need to be mindful of age profile in other services and ensure succession planning is in place where appropriate.</li> <li>• Need to manage the new council agenda (e.g. climate change) as there is a risk that too much focus on new projects will leave little capacity for ongoing service issues</li> <li>• Strategic capacity is being reviewed and addressed</li> <li>• New arrangements being put in place for more extensive engagement with members.</li> <li>• Implementing new corporate plan process that is member-led.</li> <li>• Changes to waste collection delivery method likely to have a significant impact on staffing resources (waste team, legal, finance, HR).</li> </ul>	
<b>Data Protection &amp; Information Governance</b>	15 Medium	<ul style="list-style-type: none"> <li>• Review contracts to ensure DPA and GDPR are addressed;</li> <li>• IGO to deliver training for non office-based employees</li> <li>• There is a need for a change in culture to meet the requirements under the Accountability Principle</li> <li>• All recommendations from Internal Audit Review 2020 to be implemented by agreed deadlines, including redaction training</li> <li>• Provide awareness training for breach management</li> <li>• Provide DPIA guidance and training</li> <li>• Consider impact of guidance from ICO on data sharing agreements</li> <li>• Review CCTV against Surveillance Code of Practice</li> <li>• Deliver mandatory training on data protection to employees and members, for all new starters and refreshed every two years</li> <li>• Review &amp; update data protection policy</li> <li>• Training for members on 26 July 2023</li> </ul>	10 Medium

Strategic Risk	Current Risk Score	Mitigating Actions Identified	Target Risk Score
<b>Legal challenge in respect of contracts etc.</b>	16 Medium	<ul style="list-style-type: none"> <li>• Review contract standing orders and financial regulations</li> <li>• Establish a corporate approach to contract management and deliver training to managers who manage contracts</li> <li>• Provide guidance on consultation issues for relevant officers.</li> <li>• Roll out PSS Live to ensure that there is a record of inspections, reducing the risk of successful compensation / insurance claims</li> <li>• Review limit of indemnity for official indemnity insurance</li> <li>• Due diligence over insurance limits of liability &amp; contractual terms of contractors</li> <li>• If rising inflation causes increased costs, managers need to consider measures to mitigate cost increases &amp; service disruption - see S1 above and need to identify potential exposure.</li> </ul>	12 Medium
<b>Business Continuity &amp; Emergency Planning</b>	12 Medium	<ul style="list-style-type: none"> <li>• Consider impacts on strategic partners e.g. CAB</li> <li>• Training on emergency planning to be delivered to Members later in 2023</li> <li>• Build resilience within CLT and SMT, especially below gold command level</li> <li>• Interim review of business continuity arrangements to include consideration of splitting and rostering staff e.g. flooding events lasting several days.</li> <li>• Current pressures on human and financial resources to be monitored by CLT</li> <li>• Business Continuity and multi-agency exercises to be planned</li> <li>• Resilience Direct exercise to be planned</li> <li>• Continue to review the business continuity arrangements of contractors to ensure that they are fit for purpose.</li> <li>• Building up our pool of experienced people to work in an emergency.</li> <li>• Increased capacity in Local Resilience Forum</li> <li>• Consideration of PROTECT awareness training for CLT</li> </ul>	6 Medium

Strategic Risk	Current Risk Score	Mitigating Actions Identified	Target Risk Score
<b>Continuity of Service (where there is an External Supplier)</b>	20 High	<ul style="list-style-type: none"> <li>• Review contracts to ensure exit strategies are included and documented. Where these are not in place discuss with suppliers how these could be implemented.</li> <li>• Identify alternative/temporary solutions for key contracts and minimum delivery requirements.</li> <li>• Working with existing contractors to ensure continuity of service; Develop suite of contracts to include provisions to mitigate this risk.</li> <li>• Ensure new contracts have a sensible share of risks and liabilities;</li> <li>• Updating building control contract</li> <li>• Council to be asked to give approval to adopt temporary measures outside terms and conditions of waste management contract;</li> <li>• Deliver training for managers involved in managing contracts in relation to compliance and procurement.</li> <li>• Possible changes to service delivery on leisure and waste (subject to member decisions) between July and September.</li> </ul>	10 Medium
<b>Health &amp; Safety</b>	12 Medium	<ul style="list-style-type: none"> <li>• Continue to grow and develop the Safety Committee.</li> <li>• Ensure that the RCG is informed of risks on a regular basis to reflect risks in the department and strategic risk registers.</li> <li>• Engage with providers to identify any proactive measures that the Council could take, if not already being performed.</li> <li>• Refine play equipment etc. inspection reporting regime to ensure regular inspections take place and are recorded</li> <li>• Review the asbestos register to ensure that this is up to date.</li> <li>• Continue to update fire risk assessments.</li> <li>• Review Lovers Walk risk assessments in relation to rock falls and monitor in accordance with survey &amp; develop maintenance programme for rock faces;</li> </ul>	8 Medium

		<ul style="list-style-type: none"> <li>• Health &amp; safety training to be considered for SMT in 2023</li> <li>• Implement outstanding recommendations from Internal Audit Review (IOSH training; reporting)</li> <li>• Working with event organisers to assist with risk assessments for holding events safely where possible, resulting in a number of cancellations.</li> <li>• Continue to monitor accident reports and trends including RIDDOR</li> <li>• In-house health and safety trainer to deliver training to others</li> <li>• The safety committee has approved a second trainer.</li> <li>• Reviewing exposure to water hazards: a Derbyshire Water Safety Group is being established.</li> <li>• The safety committee is to consider a new system for accident investigation.</li> </ul>	
<b>Safeguarding</b>	12 Medium	<ul style="list-style-type: none"> <li>• Specific training for safeguarding officers</li> <li>• Refresher training for taxi drivers with Derbyshire County Council now underway but not fully rolled out</li> <li>• ~ Section 11 audit due to be repeated</li> <li>• Policy is under review to be refreshed in 2023</li> </ul>	12 Medium
<b>Planning &amp; Local Plan</b>	16 Medium	<ul style="list-style-type: none"> <li>• Ongoing Local Plan monitoring</li> <li>• Further member workshops and meetings of local plan working group planned</li> <li>• Report from consultants expected mid-2023 and further consultation to be undertaken</li> <li>• Keep under review changes to legislation and national policy</li> <li>• New Local Plan Sub- Committee established, initial meetings to be held.</li> </ul>	12 Medium

Strategic Risk	Current Risk Score	Mitigating Actions Identified	Target Risk Score
<b>Policies &amp; Decision Making</b>	16 Medium	<ul style="list-style-type: none"> <li>• Further training as necessary</li> <li>• Member workshops on keys areas for policy development, member engagement &amp; decision making</li> <li>• In depth risk assessments for commercial projects</li> <li>• Continue dialogue with members to work with them to develop new corporate priorities, ensuring that the plan is deliverable.</li> <li>• Member induction programme is underway to assist in settling in new members and developing the opposition.</li> </ul>	4 Low
<b>Regeneration</b>	20 High	<ul style="list-style-type: none"> <li>• Assess risks from regeneration projects. Risk registers in place &amp; reviewed monthly;</li> <li>• Availability of officer support in Estates, Legal and Finance identified as a risk. The corporate project tracker aims to review, identify and plan for pinch points.</li> <li>• Governance arrangements being reviewed</li> <li>• Identify and address ongoing implications for costs &amp; staff of projects once they have been delivered</li> <li>• Communications and engagement plan developed &amp; to be delivered.</li> <li>• Arrangements for monitoring performance &amp; claims being developed.</li> </ul>	12 Medium
<b>Transformation Programme</b>	16 Medium	<ul style="list-style-type: none"> <li>• Consider lessons learned from other programmes and implement learning where appropriate.</li> <li>• Rollout of EDMS to be determined and resourced</li> <li>• CLT need to keep under review the organisational structure as the CRM is rolled out.</li> <li>• Resolve integration of payments with CRM and other systems</li> <li>• Develop &amp; report a Transformation Strategy to members.</li> </ul>	12 Medium



<b>Cyber Crime</b>	20 High	<ul style="list-style-type: none"> <li>• Roll out exercise that will raise employee awareness of “phishing”</li> <li>• Carry out full assessment of cyber risks</li> <li>• Insurance cover no longer in place - try to obtain cover</li> <li>• Procure a cyber retainer consultant;</li> <li>• Review and update the ICT Strategy and Information Governance Strategy</li> <li>• Operational and strategic risk registers to be aligned for ICT</li> <li>• Service managers to be asked to review BCP specifically related to a cyber attack</li> <li>• Cyber crime sub group of the Derbyshire Resilience Partnership is to be refreshed with a new focus</li> <li>• Cyber treatment plan progressing.</li> </ul>	12 Medium
<b>Climate Change</b>	12 Medium	<ul style="list-style-type: none"> <li>• Seek further funding for planned capital works</li> <li>• Take advantage of funding opportunities as they arise</li> <li>• Recalculate carbon footprint on annual basis</li> <li>• Climate Change Officer to take on role at officer groups and maximise opportunity</li> <li>• Develop project plan to deliver capital works</li> <li>• Develop Climate Change role outside the Council and within the community</li> <li>• Consider potential for renewable energy generation across the District</li> <li>• Adopt and implement Climate Change SPD</li> <li>• New &amp; refreshed Climate Change working group</li> <li>• Harness staff and elected Member ideas</li> <li>• Develop role of the CCWG</li> <li>• Electrification of fleet vehicles</li> <li>• Review use of chemicals &amp; type of equipment for Clean &amp; Green</li> <li>• Developing a strategy for EV charging points in the community</li> <li>• Monitor risks associated with delay in delivering grant funded projects</li> <li>• Recruiting an energy efficiency officer</li> <li>• Gain an understanding about what members require in terms of biodiversity.</li> </ul>	8 Medium

## Recommendations from the Internal Audit Review of Risk Management

Recommendations		Priority (High, Medium, Low)	Original Target To be Implemented By:		Progress August 2023
			Officer	Original Target	
R1	Operational risk registers should be reviewed and brought up to date as soon as possible (where not recently reviewed).	Med	Chief Executive (for HR) & Directors of Housing and Resources	Before next RCG meeting on 21 September 2022	<b>In progress:</b> At the RCG meeting 14/06/23 it was agreed that all directors would update operational risk registers before the next RCG meeting (in September),
R2	The Risk Continuity Group should monitor operational risk registers on a half yearly basis to check that departmental risk registers are being reviewed and updated regularly to ensure all risks identified are being well managed and updated/reviewed in accordance with the Risk Management Policy and Strategy.	Low	RCG	From the next RCG meeting on 21 September 2022	<b>In progress:</b> At the RCG meeting 14/06/23 it was agreed that at its next meeting in September the RCG would carry out monitoring to check that departmental risk registers are being reviewed and updated regularly.
R3	A register of all current and future projects should be created and maintained. This should be reviewed by the Risk Continuity Group on a periodic basis to ensure that risks in relation to projects are identified, documented, assessed and monitored. It	Low	RCG	From the next RCG meeting on 21 September 2022	<b>Completed:</b> A new business case template has recently been agreed by CLT as well as a template for reports to CLT, both of which have a

Recommendations		Priority (High, Medium, Low)	Original Target To be Implemented By:		Progress August 2023
			Officer	Original Target	
	should then be determined if a specific risk register is required for individual projects				section on risk management.
R4	The Risk Management Policy when next reviewed should be updated to reflect how the RCG group report to CLT and Members.	Low	Director of Resources	At the time of the next policy update which is due by February 2023	<b>In progress:</b> A draft updated policy was presented to the RCG in June 2023. The updated policy will be reported to members for approval in September 2023 along with the Risk Management Annual Report.
R5	Not agreed	Low			<b>N/A: Recommendation not accepted</b>
R6	To ensure all employees and Members have a sound understanding of risk management a training programme to imbed risk management throughout the organisation should be implemented by the Risk Continuity Group. Information and material to aid the risk management process and to provide information to employees should be placed on the intranet as a point of reference	Med	Director of Resources	31 December 2022	<b>In progress:</b> KH & SB to deliver training in 2023/24
R7	A process should be developed by RCG to ensure that risks associated with partnership working arrangements are recorded and regularly monitored. This should be undertaken in	Med	Relevant service director		<b>N/A: Recommendation not fully accepted.</b>  Contract managers are expected to highlight high

Recommendations		Priority (High, Medium, Low)	Original Target To be Implemented By:		Progress August 2023
			Officer	Original Target	
	accordance with any specific requirements as detail within the relevant SLA's				risks to CLT and/or on the operational risk registers.
R8	As part of the contract award process for high value/high risk procurement exercises, the Risk Continuity Group should discuss and provide guidance for the review and monitoring of critical risk supplier's business continuity plans. A formal process for reviewing credit checks of a critical supplier prior to contract award and during the contract period should also be discussed and developed if required.	Low	RCG	From the next RCG meeting on 21 September 2022	<b>Completed:</b> Financial checks are now made on potential suppliers for all new contracts.

# Agenda Item 12

**Governance and Resources Committee – 14 September 2023**

## **TREASURY MANAGEMENT OUTTURN REPORT 2022/23**

### **Report of the Director of Resources**

#### **Report Author and Contact Details**

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#### **Wards Affected**

District-wide

#### **Report Summary**

This report summarises Treasury Management activities and the out-turn position against Prudential Indicators for 2022/23.

#### **Recommendations**

1. That The Treasury Management Out-turn position for 2022/23 be approved.
2. That the Prudential Indicators contained in Appendix 1 be approved.

#### **List of Appendices**

Appendix 1 Prudential Indicators

#### **Background Papers**

None

#### **Consideration of report by Council or other committee**

No

#### **Council Approval Required**

No

#### **Exempt from Press or Public**

No

## Treasury Management Annual Report for 2022/23

### 1. Introduction

- 1.1 The Authority has long adopted the Chartered Institute of Public Finance and Accountancy's *Treasury Management in the Public Services: Code of Practice* (the CIPFA Code) which requires the Authority to approve treasury management mid-year and annual reports.
- 1.2 The Authority's Treasury Management Strategy for 2022/23 was approved at a meeting on 24<sup>th</sup> March 2022. The Authority has invested substantial sums of money and is therefore exposed to financial risks including the loss of invested funds and the revenue effect of changing interest rates. The successful identification, monitoring and control of risk remains central to the Authority's treasury management strategy.
- 1.3 The 2021 Prudential Code includes a requirement for local authorities to provide a Capital Strategy, a summary document approved by full Council covering capital expenditure and financing, treasury management and non-treasury investments. The Authority's Capital Strategy for 2022/23, complying with CIPFA's requirement, was approved by full Council on 3<sup>rd</sup> March 2022.

### 2. External Context

- 2.1 Economic background: During 2022/23 the war in Ukraine continued to keep global inflation above central bank targets and the UK economic outlook remained relatively weak with the chance of a mild recession. The economic backdrop during the January to March period continued to be characterised by high energy and commodity prices, high inflation, and the associated impact on household budgets and spending.
- 2.2 Central Bank rhetoric and actions remained consistent with combatting inflation. The Bank of England, US Federal Reserve, and European Central Bank all increased interest rates over the period, even in the face of potential economic slowdowns in those regions.
- 2.3 Starting the financial year at 5.5%, the annual CPI measure of UK inflation rose strongly to hit 10.1% in July and then 11.1% in October. Inflation remained high in subsequent months but appeared to be past the peak, before unexpectedly rising again in February. Annual headline CPI registered 10.4% in February, up from 10.1% in January, with the largest upward contributions coming from food and housing. RPI followed a similar pattern during the year, hitting 14.2% in October. In February RPI measured 13.8%, up from 13.4% in the previous month.
- 2.4 Following the decision by the UK government under Rishi Sunak and Jeremy Hunt to reverse some of the support to household energy bills announced under Liz Truss, further support in the form of a cap on what energy suppliers could charge household was announced in the March Budget to run from April until end June 2023. Before the announcement, typical household bills had been due to rise to £3,000 a year from April.

- 2.5 The labour market remained tight albeit with some ongoing evidence of potential loosening at the end of the period. The unemployment rate 3mth/year eased from 3.8% April-June to 3.6% in the following quarter, before picking up again to 3.7% between October-December. The most recent information for the period December-February showed an unemployment rate of 3.7%.
- 2.6 The inactivity rate was 21.3% in the December-February quarter, slightly down from the 21.4% in the first quarter of the financial year. Nominal earnings were robust throughout the year, with earnings growth in December-February at as 5.7% for both total pay (including bonuses) and 6.5% for regular pay. Once adjusted for inflation, however, both measures were negative for that period and have been so throughout most of the year.
- 2.7 Despite household budgets remaining under pressure, consumer confidence rose to -36 in March, following readings of -38 and -45 in the previous two months, and much improved compared to the record-low of -49 in September. Quarterly GDP was soft through the year, registering a 0.1% gain in the April-June period, before contracting by (an upwardly revised) -0.1% in the subsequent quarter. For the October-December period was revised upwards to 0.1% (from 0.0%), illustrating a resilient but weak economic picture. The annual growth rate in Q4 was 0.6%.
- 2.8 The Bank of England increased the official Bank Rate to 4.25% during the financial year 2022/23. From 0.75% in March 2022, the Monetary Policy Committee (MPC) pushed through rises at every subsequent meeting over the period, with recent hikes of 50bps in December and February and then 25bps in March, taking Bank Rate to 4.25%. March 2023's rise was voted by a majority of 7-2, with two MPC members preferring to maintain Bank Rate at 4.0%. The Committee noted that inflationary pressures remain elevated with growth stronger than was expected in the February Monetary Policy Report. The February vote was also 7-2 in favour of a hike, and again with two members preferring to keep Bank Rate on hold.
- 2.9 After reaching 9.1% in June 2022, annual US inflation slowed for eight consecutive months to 6% in February 2023. The Federal Reserve continued raising interest rates over the period with consecutive increases at each Federal Open Market Committee meetings, taking policy rates to a range of 4.75%-5.00% at the March meeting.
- 2.10 From the record-high of 10.6% in October, Eurozone CPI inflation fell steadily to 6.9% in March 2023. Energy prices fell, but upward pressure came from food, alcohol, and tobacco. The European Central Bank continued increasing interest rates over the period, pushing rates up by 0.50% in March, taking the deposit facility rate to 3.0% and the main refinancing rate to 3.5%.

### **3. Financial Markets**

- 3.1 Uncertainty continued to be a key driver of financial market sentiment and bond yields remained relatively volatile due to concerns over elevated inflation and higher interest rates, as well as the likelihood of the UK entering a recession and for how long the Bank of England would continue to tighten monetary policy. Towards the end of the period, fears around the health of the banking system

following the collapse of Silicon Valley Bank in the US and purchase of Credit Suisse by UBS caused further volatility.

- 3.2 Over 2022/23 the 5-year UK benchmark gilt yield rose from 1.41% to peak at 4.70% in September before ending the financial year at 3.36%. Over the same timeframe the 10-year gilt yield rose from 1.61% to peak at 4.51% before falling back to 3.49%, while the 20-year yield rose from 1.82% to 4.96% and then declined to 3.82%. The Sterling Overnight Rate (SONIA) averaged 2.24% over the financial year.

#### 4. **Credit Review**

- 4.1 Early in the period, Moody's affirmed the long-term rating of Guildford BC but revised the outlook to negative. The agency also downgraded Warrington BC and Transport for London.
- 4.2 In July Fitch revised the outlook on Standard Chartered and Bank of Nova Scotia from negative to stable and in the same month Moody's revised the outlook on Bayerische Landesbank to positive. In September S&P revised the outlook on the Greater London Authority to stable from negative and Fitch revised the outlook on HSBC to stable from negative.
- 4.3 The following month Fitch revised the outlook on the UK sovereign to negative from stable. Moody's made the same revision to the UK sovereign, following swiftly after with a similar move for a number of local authorities and UK banks including Barclays Bank, National Westminster Bank (and related entities) and Santander.
- 4.4 During the last few months of the reporting period there were only a handful of credit changes by the rating agencies, then in March the collapse of Silicon Valley Bank (SVB) in the US quickly spilled over into worries of a wider banking crisis as Credit Suisse encountered further problems and was bought by UBS.
- 4.5 Credit Default Prices had been rising since the start of the period on the back of the invasion of Ukraine, and in the UK rose further in September/October at the time of the then-government's mini budget. After this, CDS prices had been falling, but the fallout from SVB caused a spike on the back of the heightened uncertainty. However, they had moderated somewhat by the end of the period as fears of contagion subsided, but many are still above their pre-March levels reflecting that some uncertainty remains.
- 4.6 On the back of this, Arlingclose reduced its recommended maximum duration limit for unsecured deposits for all UK and Non-UK banks/institutions on its counterparty list to 35 days as a precautionary measure. No changes were made to the names on the list.
- 4.7 As market volatility is expected to remain a feature, at least in the near term and, as ever, the institutions and durations on the Authority's counterparty list recommended by Arlingclose remains under constant review.
- 4.8 Local authorities remain under financial pressure, but Arlingclose continues to take a positive view of the sector, considering its credit strength to be high. Section 114 notices have been issued by only a handful of authorities with



specific issues. While Arlingclose’s advice for local authorities on its counterparty list remains unchanged, a degree caution is merited with certain authorities.

## 5. Local Context

- 5.1 On 31<sup>st</sup> March 2023, the Authority had net investments of £22.405m arising from its revenue and capital income and expenditure. The underlying need to borrow for capital purposes is measured by the Capital Financing Requirement (CFR), while usable reserves and working capital are the underlying resources available for investment. These factors are summarised in Table 1 below.

Table 1: Balance Sheet Summary

	<b>31.3.22</b>	<b>31.3.23</b>
	<b>Balance £000</b>	<b>Balance £000</b>
Borrowing CFR	5,794	5,690
External Borrowing	5,450	5,450
<b>Internal (over) borrowing</b>	<b>344</b>	<b>240</b>
Usable Reserves	(24,587)	(25,527)
Less: Working Capital	(2,748)	3,122
<b>Net Investments</b>	<b>(27,335)</b>	<b>(22,405)</b>

- 5.2 The Authority pursued its strategy of keeping borrowing and investments below their underlying levels, sometimes known as internal borrowing, in order to reduce risk and keep interest costs low.
- 5.3 The treasury management position at 31<sup>st</sup> March 2023 and the change during the year is shown in Table 2 below.

Table 2: Treasury Management Summary

	<b>31.3.22</b>	<b>2022/23</b>	<b>31.3.23</b>	<b>31.3.23</b>
	<b>Balance</b>	<b>Movement</b>	<b>Balance</b>	<b>Rate</b>
	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>%</b>
<b>Total borrowing</b>	<b>5,450</b>	<b>0</b>	<b>5,450</b>	<b>4.1</b>
Long-term investments	(1,048)	173	(875)	

Short-term investments	0	(2,000)	(2,000)	
Cash and cash equivalents	(26,287)	6,757	(19,530)	
<b>Total investments</b>	<b>(27,335)</b>	<b>4,930</b>	<b>(22,405)</b>	<b>4.04</b>
<b>Net Investments</b>	<b>(21,885)</b>	<b>4,930</b>	<b>(16,955)</b>	

#### 5.4 Borrowing Update

At 31<sup>st</sup> March 2023, the Authority held £5.45m of loans from the Public works loan board, the same as the previous year, as part of its strategy for funding previous years' capital programmes.

5.5 CIPFA's 2021 Prudential Code is clear that local authorities must not borrow to invest primarily for financial return and that it is not prudent for local authorities to make any investment or spending decision that will increase the capital financing requirement, and so may lead to new borrowing, unless directly and primarily related to the functions of the Authority. PWLB loans are no longer available to local authorities planning to buy investment assets primarily for yield unless these loans are for refinancing purposes.

#### 5.6 Borrowing Strategy and Activity

As outlined in the treasury strategy, the Authority's chief objective when borrowing has been to strike an appropriately low risk balance between securing lower interest costs and achieving cost certainty over the period for which funds are required, with flexibility to renegotiate loans should the Authority's long-term plans change being a secondary objective. The Authority's borrowing strategy continues to address the key issue of affordability without compromising the longer-term stability of the debt portfolio and, where practicable, to maintain borrowing and investments below their underlying levels, sometimes known as internal borrowing.

5.7 The cost of both long and short-term borrowing rose dramatically over the year, with rates at the end of March around 2% to 4% higher than those at the beginning of April. Rate rises have been driven primarily by inflation and the need for central banks to control this by raising interest rates. Particularly dramatic rises were seen in September after Liz Truss' 'mini-budget' included unfunded tax cuts and additional borrowing to fund consumer energy price subsidies: over a twenty-four-hour period some PWLB rates increased to 6%. Rates have now fallen from September peaks but remain volatile and well above recent historical norms. The PWLB 10 year maturity certainty rate stood at 4.33% at 31<sup>st</sup> March 2023, 20 years at 4.70% and 30 years at 4.66%.

#### Treasury Investment Activity

5.8 CIPFA published a revised Treasury Management in the Public Services Code of Practice and Cross-Sectoral Guidance Notes on 20<sup>th</sup> December 2021. These

define treasury management investments as investments that arise from the organisation's cash flows or treasury risk management activity that ultimately represents balances that need to be invested until the cash is required for use in the course of business.

- 5.9 The Authority holds invested funds, representing income received in advance of expenditure plus balances and reserves held. During the year, the Authority's investment balances ranged between £20.6 and £36.8 million due to timing differences between income and expenditure. The investment position is shown in table 3 below.

Table 3: Treasury Investment Position

	<b>31.3.22 Balance £'000</b>	<b>Net Movement £'000</b>	<b>31.3.23 Balance £'000</b>	<b>31.3.23 Income Return %</b>	<b>31.3.23 Weighted Average Maturity days</b>
Banks & Building societies (unsecured)	787	(657)	130		
Central Government	2,000	2,000	4,000		
Local Authorities	0	5,000	5,000		
Money Market Funds	23,500	(11,100)	12,400		
CCLA Property Fund	1,048	(173)	875		
<b>Total investments</b>	<b>27,335</b>	<b>(4,930)</b>	<b>22,405</b>	<b>4.06%</b>	<b>*21 days</b>

\*Weighted average days to maturity across the portfolio. Money Market funds and the Councils operational bank accounts are held for immediate access.

- 5.10 Both the CIPFA Code and government guidance require the Authority to invest its funds prudently, and to have regard to the security and liquidity of its treasury investments before seeking the optimum rate of return, or yield. The Authority's objective when investing money is to strike an appropriate balance between risk and return, minimising the risk of incurring losses from defaults and the risk of receiving unsuitably low investment income.
- 5.11 Bank Rate has increased from 0.75% at the beginning of the year to 4.25% at the end of March 2023. Short-dated cash rates, which had ranged between 0.7% - 1.5% at the beginning of April, rose by around 3.5% for overnight/7-day maturities and 3.3% for 6-12 month maturities.
- 5.12 By end March 2023, the rates on DMADF deposits ranged between 4.05% and 4.15%. The return on the Council's sterling Low Volatility Net Asset Value (LVNAV) Money Market Funds ranged between 0.9% and 1.1% p.a. in early April 2022 and between 3.8% and 3.9% at the end of March 2023.
- 5.13 Given the risk of short-term unsecured bank investments, the Authority has invested in alternative and/or higher yielding asset classes as shown in table 3

above. £1m that is available for longer-term investment is invested in property funds.

- 5.14 The progression of risk and return metrics are shown in the extracts from Arlingclose’s quarterly investment benchmarking in Table 4 below.

Table 4: Investment Benchmarking – Treasury investments managed in-house

	<b>Credit Score</b>	<b>Credit Rating</b>	<b>Bail-in Exposure*</b>	<b>Weighted Average Maturity (days)</b>	<b>Rate of Return %</b>
31 <sup>st</sup> March 2022	4.55	A+	92%	3	0.58
31 <sup>st</sup> March 2023	4.71	A+	58%	21	4.04
Similar LAs	4.74	A+	63%	56	3.55
<b>All LAs</b>	<b>4.71</b>	<b>A+</b>	<b>59%</b>	<b>12</b>	<b>3.66</b>

\*Bail-in is defined as: Investments that are subject to the risk of a credit loss via a bail-in should the regulator determine that the bank is failing or likely to fail. The Bank of England has stated that in the event of failure, banks with assets greater than £25 billion are more likely to be bailed-in than made insolvent.

#### Externally Managed Pooled Funds – CCLA Property Fund

- 5.15 £1m of the Authority’s investments is invested in externally managed strategic pooled funds where short-term security and liquidity are lesser considerations, and the objectives instead are regular revenue income and long-term price stability. These funds generated receipts of £40,784, (3.62% return) in 2022/23.
- 5.16 The capital value of the property fund has fallen to £875,466. At present a statutory override is in place which in effect means that the valuation loss does not impact upon the budget position of the Authority. The statutory override is in place until 31<sup>st</sup> March 2025, therefore, the Authority will continue to monitor the position and make appropriate provisions if necessary.

#### Interest received

- 5.17 Table 5 below shows interest received in 2022/23 compared to the budget and the previous year.

Table 5 - Interest Received Compared to Budget

Financial Year	Original Budget £	Revised Budget £	Actual £	Revised v Actual Variance £	Average portfolio balance £m
2021/22	37,000	37,000	53,906	7,964	29.0
2022/23	37,000	37,000	610,961	573,961	30.5

As can be seen from the table above, interest accrued and received in 2022/23 was significantly higher than budget and the previous year. The increase in interest rates from 0.75% at the start of the year to 4.75% by the end of the year has generated greater returns along with the further diversification in investments, which involved moving away from banks and money market funds and investing for longer periods with other local authorities and central government.

## 6. Non-Treasury Investments

- 6.1 The definition of investments in CIPFA's revised 2021 Treasury Management Code covers all the financial assets of the Authority as well as other non-financial assets which the Authority holds primarily for financial return.
- 6.2 Investments that do not meet the definition of treasury management investments (i.e. management of surplus cash) are categorised as either for service purposes (made explicitly to further service objectives) and or for commercial purposes (made primarily for financial return).
- 6.3 The authority held £1.655m of such investments in directly owned property. These investments generated £0.1m of investment income for the Authority after taking account of direct costs, representing a rate of return of 6.17%. This is higher than the return earned on treasury investments but reflects the additional risks to the authority of holding such investments.

## 7. Compliance

- 7.1 The Director of Resources reports that all treasury management activities undertaken during the year complied fully with the CIPFA Code of Practice and the Authority's approved Treasury Management Strategy. Compliance with specific investment limits is demonstrated in table 6 below.
- 7.2 Compliance with the authorised limit and operational boundary for external debt is demonstrated in table 6 below.

Table 6: Debt Limits

	<b>2022/23 Maximum £000</b>	<b>31.3.23 Actual £000</b>	<b>2022/23 Operational Boundary £000</b>	<b>2022/23 Authorised Limit £000</b>	<b>Complied? Yes/No</b>
Borrowing	5,450	5,450	8,000	11,000	Yes
Finance Leases	0	0	1,000	1,000	Yes
<b>Total debt</b>	<b>5,450</b>	<b>5,450</b>	<b>9,000</b>	<b>12,000</b>	Yes

7.3 Since the operational boundary is a management tool for in-year monitoring, it is not significant if the operational boundary is breached on occasions due to variations in cash flow, and this is not counted as a compliance failure.

7.4 Table 7 below provides details of actual investment limits for 2022/23 against the limits in the Treasury Management Strategy.

Table 7: Investment Limits

	<b>2022/23 Maximum £'000</b>	<b>31.3.23 Actual £'000</b>	<b>2022/23 Limit £'000</b>	<b>Complied ? Yes/No</b>
UK Government	18,300	4,000	Unlimited	Yes
Local Authorities & Other Government Entities	5,000	5,000	Unlimited £4m per entity	Yes
Banks (unsecured)	6,817	130	£2m per entity £7m for Council's operational account	Yes
Strategic Pooled Funds	875	875	£4m	Yes
Money Market Funds	23,500	12,400	Unlimited £4m per entity	Yes

## 8. Treasury Management Indicators

8.1 The Authority measures and manages its exposures to treasury management risks using the following indicators.

8.2 **Security:** The Authority has adopted a voluntary measure of its exposure to credit risk by monitoring the value-weighted average credit rating of its investment portfolio. This is calculated by applying a score to each investment (AAA=1, AA+=2, etc.) and taking the arithmetic average, weighted by the size of each investment. Unrated investments are assigned a score based on their perceived risk.

	<b>31.3.23 Actual</b>	<b>2022/23 Target</b>	<b>Complied?</b>
Portfolio average credit rating	A+	A	Yes

- 8.3 **Liquidity:** The Authority has adopted a voluntary measure of its exposure to liquidity risk by monitoring the amount of cash available to meet unexpected payments within a rolling three-month period, without additional borrowing / it can borrow each period without giving prior notice.

	<b>31.3.23 Actual</b>	<b>2022/23 Target</b>	<b>Complied?</b>
Total cash available within 3 months	£19.5m	£30m	<b>No</b>
Total sum borrowed in past 3 months without prior notice	0	0	Yes

- 8.4 When the indicator for liquidity was set in March 2022, returns were low and resources within the Finance team were scarce, therefore a decision was made to prioritise liquidity and therefore short-term financial instruments such as money markets were utilised. This resulted in a target of £30m being set. The Authority changed its approach to this strategy in the final quarter of 2022/23 amid the banking crisis and to earn better returns on investments available for longer terms exceeding 3 months. By this time, it was possible to devote more resources to actively manage the Authority's investments. This change of strategy meant that it was no longer appropriate to maintain cash (available for 3 months) at such high levels and the liquidity target for 2023/24 was set at £7m in the Treasury Management Strategy for 2023/24.

**Officer comment:** While the liquidity target for short term cash availability in 2022/23 was not complied with, there was no problem with cash availability during the year. In reality, the change of strategy resulted in higher levels of investment income with no reduction in security and no problems with liquidity.

- 8.5 **Interest Rate Exposures:** This indicator is set to control the Authority's exposure to interest rate risk. The upper limits on the one-year revenue impact of a 1% rise or fall in interests was:

<b>Interest rate risk indicator</b>	<b>31.3.23 Actual</b>	<b>2022/23 Limit</b>	<b>Complied?</b>
Upper limit on one-year revenue impact of a 1% <u>rise</u> in interest rates	(£111,277)	(£290,000)	Yes
Upper limit on one-year revenue impact of a 1% <u>fall</u> in interest rates	£111,277	£290,000	Yes

The impact of a change in interest rates is calculated on the assumption that maturing loans and investment will be replaced at current rates.

- 8.6 **Maturity Structure of Borrowing:** This indicator is set to control the Authority's exposure to refinancing risk. The upper and lower limits on the maturity structure of all borrowing were:

	<b>31.3.23 Actual</b>	<b>Upper Limit</b>	<b>Lower Limit</b>	<b>Complied?</b>
Under 12 months	0	35%	0%	Yes
12 months and within 24 months	0	50%	0%	Yes
24 months and within 5 years	0	65%	0%	Yes
5 years and within 10 years	0	80%	0%	Yes
10 years and above	100%	100%	0%	Yes

- 8.7 Time periods start on the first day of each financial year. The maturity date of borrowing is the earliest date on which the lender can demand repayment.

- 8.8 **Principal Sums Invested for Periods Longer than a year:** The purpose of this indicator is to control the Authority's exposure to the risk of incurring losses by seeking early repayment of its investments. The limits on the long-term principal sum invested to final maturities beyond the period end were:

	<b>2022/23</b>	<b>2023/24</b>	<b>2024/25</b>
Actual principal invested beyond year end	£1m	£1m	£1m
Limit on principal invested beyond year end	£5m	£5m	£5m
Complied?	Yes	Yes	Yes

## 9. Financial and Resource Implications

- 9.1 Interest arising from Treasury investments in 2022/23 was £610,961. The budget for the year was set at £37,000, which means that the Authority received £573,961 more interest than expected in 2022/23. This additional income was reported to Council in July in the report on the Provisional Revenue Outturn for 2022/23; it has been transferred to the General Reserve as part of the overall surplus for 2022/23.
- 9.2 There are no financial risks arising from the recommendations in this report.



## **10. Legal Advice and Implications**

- 10.1 This report summarises Treasury Management activities and the out-turn position against Prudential Indicators for 2022/23.
- 10.2 The report complies with best practice and government guidance on the preparation of the treasury management outturn report, which aims in part, to mitigate financial risk to the Council.
- 10.3 The recommended decision making connected to this report are that the Treasury Management Out-turn position for 2022/23 and Prudential Indicators contained in Appendix 1 be approved the legal risk of the report recommended decision making has been assessed as low.

## **11. Equalities Implications**

- 11.1 There are no direct equalities issues arising from this report.

## **12. Climate Change Implications**

- 12.1 No detailed climate change impact assessment is required when reporting outcomes, as this report does. However, it is noted that during 2022/23 the Council held several investments of significant value (see table 3). The potential climate change impacts of investments are complex, and the Council would need external expertise to understand fully the impacts of any investments.
- 12.2 CIPFA's Treasury Management Code of Practice (2021) acknowledges that the development of policy and practices relating to Environmental, Social and Governance (ESG) investment considerations is a developing area and it is not implied that the organisation's ESG policy will currently include ESG scoring or other real-time ESG criteria at individual investment level
- 12.3 The Code goes on to say that Environmental, social and governance (ESG) issues are increasingly significant for investors and investment managers. This is better developed in equity and bond markets than for short-term cash deposits, and there is a diversity of market approaches to ESG classification and analysis. This means that a consistent and developed approach to ESG for public service organisations is currently difficult.
- 12.4 There are, however, no universally agreed and accepted definitions or metrics for environmental, social and governance issues. Officers have explored the options available in terms of engaging a partner to assist the Council in conducting due diligence on current investments and considering and selecting funds with one or more specific themes such as climate change and transition, clean/renewable energy, sustainability, impact investing. This work would attract a fee – further details can be provided if required.

## **13. Risk Management**

- 13.1 Financial and legal risks have been assessed above. Other significant risks are set out in the report.

## Report Authorisation

Approvals obtained from Statutory Officers:-

	<b>Named Officer</b>	<b>Date</b>
Chief Executive	Paul Wilson	24/08/2023
Director of Resources/ S.151 Officer (or Financial Services Manager)	Karen Henriksen	24/08/2023
Monitoring Officer (or Legal Services Manager)	James McLaughlin	24/08/2023

## Appendix 1

### Prudential Indicators 2022/23

The Authority measures and manages its capital expenditure and borrowing with reference to the following indicators.

**Capital Expenditure:** The Authority has undertaken and is planning capital expenditure as summarised below:

	<b>2022/23 actual £'000</b>	<b>2023/24 forecast £'000</b>	<b>2024/25 budget £'000</b>	<b>2025/26 budget £'000</b>
General Fund services	4,233	21,727	14,746	849

**Capital Financing Requirement:** The Authority's cumulative outstanding amount of debt finance is measured by the capital financing requirement (CFR). This increases with new debt-financed capital expenditure and reduces with Minimum Revenue Provision (MRP) / loans fund repayments and capital receipts used to replace debt.

	<b>31.3.2023 actual £'000</b>	<b>31.3.2024 forecast £'000</b>	<b>31.3.2025 budget £'000</b>	<b>31.3.2026 budget £'000</b>
Capital Financing Requirement (CFR)	5,690	5,586	5,478	5,368

**Gross Debt and the Capital Financing Requirement:** Statutory guidance is that debt should remain below the capital financing requirement, except in the short term. The Authority has complied and expects to continue to comply with this requirement in the medium term as is shown below.

	<b>31.3.2023 actual £'000</b>	<b>31.3.2024 forecast £'000</b>	<b>31.3.2025 budget £'000</b>	<b>31.3.2026 budget £'000</b>
Debt	5,450	5,450	5,450	5,450
Capital Financing Requirement	5,690	5,586	5,478	5,368

**Debt and the Authorised Limit and Operational Boundary:** The Authority is legally obliged to set an affordable borrowing limit (also termed the Authorised Limit for external debt) each year and to keep it under review. In line with statutory guidance, a lower “operational boundary” is also set as a warning level should debt approach the limit.

	<b>2022/23 Maximum debt £'000</b>	<b>2022/23 Authorised Limit £'000</b>	<b>2022/23 Operational Boundary £'000</b>	<b>Complied? Yes/No</b>
Borrowing	5,450	11,000	8,000	Yes
<b>Total debt</b>	<b>5,450</b>	<b>11,000</b>	<b>8,000</b>	Yes

Since the operational boundary is a management tool for in-year monitoring, it is not significant if the boundary is breached on occasions due to variations in cash flow, and this is not counted as a compliance failure.

**Proportion of Financing Costs to Net Revenue Stream:** Although capital expenditure is not charged directly to the revenue account, interest payable on loans and MRP / loans fund repayments are charged to revenue. Interest receivable on treasury management investments is credited to the revenue account.

The net annual charge is known as financing costs; this is compared to the net revenue stream i.e. the amount funded from Council Tax, business rates and general government grants.

	<b>2022/23 Actual £'000</b>	<b>2022/23 Budget £'000</b>
Financing costs (net of interest received on treasury management investments)	173	469
Proportion of net revenue stream	(1.30%)	3.93%

For 2022/23 the % of financing costs as a proportion of the net revenue stream has reduced to -1.30% from an expected budget position of 3.93%. This is partly due to the greater returns earned on Treasury activities (£611k against a budget of £37k).

### **Net Income from Commercial and Service Investments to Net Revenue Stream:**

The Authority's income from commercial and service investments as a proportion of its net revenue stream is as follows:

	<b>2022/23 Actual £'000</b>	<b>2022/23 Budget £'000</b>
Income from commercial and service investments	102	103
Proportion of net revenue stream	0.76%	0.86%

### **The Liability Benchmark**

The Council estimates and measures the liability benchmark for the forthcoming financial year. It is assumed that the Council balances are kept to a minimum of £7m to maintain sufficient liquidity but minimise risk.

	31.3.23 Actual £m	31.3.24 Forecast £m	31.3.25 Forecast £m	31.3.26 Forecast £m
Capital Financing Requirement	5.7	5.6	5.5	5.5
External Borrowing	(5.5)	(5.5)	(5.5)	(5.5)
<b>Internal/(over) Borrowing</b>	<b>0.2</b>	<b>0.1</b>	<b>0.0</b>	<b>(0.0)</b>
Balance Sheet Resources (Reserves)	(22.8)	(11.2)	(10.7)	(10.8)
Investments	22.6	11.1	10.7	10.8
<b>New Borrowing</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>
Net Loan Requirement	(17.1)	(5.6)	(5.2)	(5.4)
Liquidity Allowance	7.0	7.0	7.0	7.0
<b>Liability Benchmark</b>	<b>(10.1)</b>	<b>1.4</b>	<b>1.8</b>	<b>1.6</b>

For 2022/23 the liability benchmark shows a net loan requirement of (£17.1) million. This is the forecast level of net borrowing, calculated as treasury investment minus external borrowing. As this is a positive cash flow, this shows that the Council has sufficient funds available and has not needed to borrow to fund its capital programme.

The Liquidity Allowance is an estimate of the minimum level of short-term investments needed to provide an adequate, but not excessive level of liquidity for daily cashflow management.

The Liability Benchmark represents the lowest risk level of borrowing considering credit, liquidity, and market risks. For 2022/23 this shows a positive benchmark of

£10.1 million and shows that the council has net investments. As can be seen in the table above, for future years the Council has a positive net loan requirement of circa £5m, this is after allowing for a fully funded capital programme.

The benchmark assumes that reserves will decrease and that no further capital grants and receipts will be received other than those identified in the Capital programme reported to Members on 27<sup>th</sup> July. It also assumes that Creditors, Debtors and Provisions will increase by 2.5% each year.

Taking into account the liquidity allowance of £7m, the lowest risk level of borrowing is circa £1.4m – £1.8m. The benchmark is just that and it will change over time and therefore acts as a guide only.

The Liability benchmark continues to reduce as the CFR reduces and further cash is available for investment until 2056 when the debt is repaid.

