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Monday, 14 November 2022

To All Councillors:

As a Member or Substitute of the **Governance & Resources Committee**, please treat this as your summons to attend a meeting on **Tuesday, 22 November 2022 at 6.00 pm** in the **Council Chamber, Town Hall, Matlock, DE4 3NN**

Yours sincerely,

James McLaughlin  
Director of Corporate and Customer Services

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

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

## **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 3 - 6)**

22 September 2022

### **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. COMMUNICATIONS AND MARKETING STRATEGY - ANNUAL REPORT 2022 (Pages 7 - 34)**

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

#### **6. REVIEW OF INTERNAL AUDIT CHARTER (Pages 35 - 46)**

To report to Members for information and approval the results of a review of the Internal Audit Charter.

#### **7. PROGRESS UPDATE ON THE 2022/23 INTERNAL AUDIT PLAN (Pages 47 - 52)**

To present for members' information a progress update in respect of the 2022/2023 Internal Audit Plan. The report includes a summary of internal audit reports issued since the last meeting of this committee.

#### **8. ASSET MANAGEMENT PLAN - LAND HOLDINGS REVIEW PHASE 4 (Pages 53 - 70)**

This report represents the fourth phase of an ongoing review of the Council's land and property assets in accordance with the Asset Management Plan. This phase of the Land Holdings Review covers 4 sites across the District in which the expressions of interest have been received for Community Asset Transfers.

Members of the Committee - Councillors Tom Donnelly (Chair), David Chapman (Vice-Chair), Sue Bull, Helen Froggatt, Alyson Hill, Susan Hobson, Stuart Lees, Dermot Murphy, Garry Purdy, Alasdair Sutton, Robert Archer, Paul Cruise, Steve Flitter, Neil Buttle, Claire Raw, Mike Ratcliffe and Colin Swindell

Substitutes – Councillors Jason Atkin, Richard FitzHerbert, Janet Rose, Mark Wakeman, David Hughes, Steve Wain, Matt Buckler, Dawn Greatorex and Peter O'Brien

#### **NOTE**

For further information about this Agenda or on "Public Participation" call 01629 761133 or email [committee@derbyshiredales.gov.uk](mailto:committee@derbyshiredales.gov.uk)



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## Governance & Resources Committee

**Minutes of a Governance & Resources Committee meeting held at 6.00 pm on Thursday, 22nd September, 2022 in the Council Chamber, Town Hall, Matlock, DE4 3NN.**

### PRESENT

Councillor Tom Donnelly - In the Chair

Councillors: Helen Froggatt, Alyson Hill, Susan Hobson, Stuart Lees, Dermot Murphy, Garry Purdy, Alasdair Sutton, Steve Flitter and Mike Ratcliffe

Present as substitute – Councillor(s): Peter O'Brien

Paul Wilson (Chief Executive), James McLaughlin (Director of Corporate and Customer Services (Monitoring Officer)), Steve Capes (Director of Regeneration & Policy), Elizabeth Wilson (Corporate Policy Officer) 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): David Chapman, Sue Bull, Robert Archer, Paul Cruise, Neil Buttle, Claire Raw and Colin Swindell

### 139/22 - APPROVAL OF MINUTES OF PREVIOUS MEETING

It was moved by Councillor Garry Purdy, Seconded by Councillor Stuart Lees and

### RESOLVED (unanimously)

That the minutes of the meeting of the Governance and Resources Committee held on 14 July 2022 be approved as a correct record.

The Chairman declared the motion **CARRIED**.

#### **140/22 - PUBLIC PARTICIPATION**

There was no public participation.

#### **141/22 - INTERESTS**

There were no declarations of interest.

#### **142/22 - RISK MANAGEMENT - ANNUAL REPORT 2021/22**

The Director of Resources introduced a report which described 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.

As a requirement of the Council's Risk Management Policy and Strategy, approved by this Committee in March 2021, an annual report on the Council's Risk Management Arrangements must be presented to Members. The report detailed the risk management programme, whereby risks associated with the Corporate Plan, its key strategic objectives and individual Service Plan Key Actions are formally assessed.

The Report also informed Members of the key issues which the Council faced in 2021/22 and the key actions which had been taken since the previous annual report. The internal audit review of risk management arrangements undertaken in 2022 concluded that the reliability of the internal controls operating in respect of risk management was assessed as Reasonable. However, five recommendations were agreed, with their implementation to be overseen by the Risk Continuity Group by the end of the financial year. The risks identified and scored by the RCG were detailed in Chart 1 of the report.

It was moved by Councillor Garry Purdy, seconded by Councillor Susan Hobson and

**RESOLVED** (unanimously)

That the annual report and risk management arrangements be approved.

The Chairman declared the motion **CARRIED**.

#### **143/22 - EQUALITY, CONSULTATION AND ENGAGEMENT PLAN 2022-2024**

The Corporate Policy Officer introduced a report which updated Members on progress against the actions set out in the Equality, Consultation and Engagement Plan 2020-22. The report also sought approval for the Equality, Consultation and Engagement Plan for 2022-24. 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 each year.

The public sector equalities statutory duty comprises a general equality duty and a specific duty. The District Council must comply with both, the details of which were presented in the report. The District Council must ensure due consideration is given to the aims of the Duty

in all its decisions. The paragraph on 'other considerations' at the end of every committee report reminds Members that although Officers have had regard to equality issues when preparing reports, Members should also consider equality issues in order to meet the Equality Duty.

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. The Equality, Consultation and Engagement Plan which set out the activity planned for the period 2020-22 was approved by the Governance and Resources Committee on 20 August 2020. The Equality, Consultation and Engagement Plan sets out an updated range of objectives linked to the Corporate Plan 2020-24.

It was moved by Councillor Garry Purdy, seconded by Councillor Steve Flitter and

**RESOLVED** (unanimously)

That the Complaints Annual Report for the period from April 2021 to March 2022 be noted.

The Chairman declared the motion **CARRIED**.

#### **144/22 - COMPLAINTS ANNUAL REPORT 2021-22**

The Director of Corporate and Customer Services introduced a report which provided information regarding the formal complaints received under the District Council's internal Complaints Procedures; those referred to the Local Government Ombudsman, and against individual elected member behaviour at town, parish and District Council Level.

All local authorities need to provide complaint procedures to respond to customer concerns in an open and transparent way within defined timescales and in accordance with legislation. In order to do so the Council has adopted a complaints procedure which provides clarity and transparency to customers on how to raise issues and how the Council will consider and respond to a complaint. The details of the District Council's three stage complaints procedure were set out in the report, in addition to the process of referring matters to the Local Government Ombudsman.

It was moved by Councillor Garry Purdy, seconded by Councillor Steve Flitter and

**RESOLVED** (unanimously)

That the Complaints Annual Report for the period from April 2021 to March 2022 be noted.

The Chairman declared the motion **CARRIED**.

**Meeting Closed: 7.20 pm**

**Chairman**

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# Agenda Item 5

**OPEN REPORT  
GOVERNANCE AND RESOURCES COMMITTEE**

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**Governance and Resources Committee - 22 November 2022**

**Communications and Marketing Strategy – Annual Report 2022**

**Report of the Director of Corporate and Customer Services**

**Report Author and Contact Details**

Jim Fearn, Communications and Marketing Manager  
01629 761195 or jim.fearn@derbyshiredales.gov.uk

**Wards Affected**

District Wide

**Report Summary**

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

**Recommendation**

1. That the strategic framework of the current Communications and Marketing Strategy is noted.
2. That the Action Plan for 2023 is approved.

**List of Appendices**

Appendix 1 Draft Communications and Marketing Strategy

**Background Papers**

None

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

Not applicable

**Council Approval Required**

No

**Exempt from Press or Public**

No

## **Communications and Marketing Strategy – Annual Report 2022**

### **1. Background**

- 1.1 The District Council adopted its current Communications and Marketing Strategy in September 2014, reflecting the development of technology and the needs both of the public and the District Council, which had evolved dramatically since the previous strategy's adoption in 2011. This eighth annual update sets ambitious yet realistic targets to support the Council's Corporate Objectives and core values.
- 1.2 The aim of the Strategy is to ensure our communications help to promote a positive image of the Council, and, in marketing terms, help us to meet the needs and wants of our customers in a fast moving digital world.
- 1.3 The adopted Strategy sets out a multi-channel approach to reach a wide variety of customers and stakeholders, underlining traditional forms of communication while embracing more modern approaches.
- 1.4 Communicating well is the responsibility of everyone and the Strategy is designed to be a useful tool for the corporate leadership team, heads of services and all employees and elected members. It sets a framework for communications and gives direction to all media, online, internal, marketing, publications and public relations communications actively undertake on behalf of the district council.
- 1.5 The Communications and Marketing Strategy sets out ways to:
  - Make the Council easy to understand and talk to
  - Co-ordinate and direct communications
  - Ensure that everyone understands our targets and what the outcomes will be
  - Ensure that staff and partners understand their contribution
  - Make sure people know the outcome of the changes the District Council makes
  - Ensure openness and transparency
  - Make people feel better informed, proud to live in Derbyshire Dales, proud to work for the Council and proud to work with it.
- 1.6 The Strategy (attached as Appendix 1) is without a timeframe. This is deliberate and seeks to set a strategic framework with a more dynamic approach to actions which can be measured by way of an Annual Action Plan, monitored by a Communications & Marketing Hub, comprising officers from all Council service areas.

### **2. Review of 2022 Action Plan**

- 2.1 **ACTION:** Complete new signage project in our three larger parks in Ashbourne, Bakewell and Matlock to create awareness of the Council's responsibility for those facilities, make the public aware of and abide by



Public Space Protection Orders and replace the proliferation of smaller “official” signs. Ward members will be consulted on final designs when these are available.

PROGRESS: This project was completed in October 2022 with new “statement” signs in our main parks – 5 in Hall Leys Park, Matlock, 5 in Ashbourne Park and 3 in Rutland Recreation Ground, Bakewell. Ward Members were consulted in each case and the PSPO element on each sign was coordinated by colleagues in the Neighbourhoods department. Locations were identified by colleagues in the Community Development department. All the signs were designed, manufactured and installed (by the council’s own Clean & Green Team) within the budget drawn from commercial sponsorship raised from other elements of our overall signage project.



- 2.2 ACTION: Work with our in-house IT team to improve and revamp at low cost but with high spec the official [www.derbyshiredales.gov.uk](http://www.derbyshiredales.gov.uk) website, reducing the number of pages and making it more engaging, even easier to navigate and to get information about and transact business with the District Council. There will be a big focus on accessibility, aiming towards meeting the WCAG 2.1 AA standard. To note: in the past year the site has recorded 1.54-million visits (Google Analytics), a 46% increase on the previous year (so although a fix is sensible, it isn't broken!).

PROGRESS: The website development project is on schedule to launch at the end of 2022. The site is being developed entirely in-house by the IT and Communications teams using an open source Content Management System. The only direct costs associated with the project are minimal, around accessibility training and re-skinning associated web portals. As part of our accessibility commitment, the number of pages on the new website will be halved, language simplified and a new A-Z homepage search facility introduced to further improve navigation. All council departments are involved in improving existing content and transferring it to the new site. We will be sharing the development site with Members, for information, before it goes live.

- 2.3 ACTION: Improve the sound system in the Council Chamber.

PROGRESS: This Action has been taken on and completed by the Committee Team.

- 2.4 ACTION: Ensure all leases and licences include District Council branding requirements by condition to enhance the authority's reputation, linking to the Events Strategy.

PROGRESS: This continues.

- 2.5 ACTION: Continue to utilise our online panel to gauge the overall level of satisfaction in the District Council.

PROGRESS: This continues. Our Policy Officer has access via Survey Monkey to 993 people who have signed up to our online panel. An annual satisfaction survey is facilitated, and the Communications Department also continues to create ongoing satisfaction surveys for individual service areas.

- 2.6 ACTION: Continue to generate sponsorship to support the Action Plan, focusing on welcome signs, parks signs and Big Belly Bins, introducing poster frames to the Big Belly Bins and additional commercial income from advertising in our paid-for public toilets and the Dales Matters publication.

PROGRESS: Moderate success in this area in a difficult commercial climate, but more needs to be done in 2023.

- 2.7 ACTION: Continue to measure the success of large event promotions and marketing (eg Matlock Bath Illuminations) via social media engagement tools, post-event surveys and takings/visitor numbers.

PROGRESS: The post event survey for the Illuminations in particular is valuable in analysing likes and dislikes and making appropriate adjustments. Social media promotion of the Illuminations is phenomenally successful. Our Illuminations Facebook page, which now has 42,000 followers, basically sells the event at virtual nil marketing cost. The page is also a vital tool in terms of engaging visitors, helping them with any queries and reminding them of important information regarding tickets, timings, transport and parking options.

- 2.8 ACTION: The Hub will take the lead on important corporate communications issues, including actions from the waste procurement process.

PROGRESS: After playing an important role throughout the pandemic, Communications continues to use all channels at its disposal to ensure as many of our residents as possible are kept informed both of major events such as the flooding incidents in February 2022 and the death of Her Majesty Queen Elizabeth II and everyday service changes and events. Marketing work continues to include designing leaflets, banners and organising website and social media promotions, together with local newspaper advertising, email sign-offs and creating information for the 9,200 residents who are signed up to our email database.

### **3. New Action Plan, 2023**

- 3.1 Continue to monitor and improve with the in-house IT web development team the new [www.derbyshiredales.gov.uk](http://www.derbyshiredales.gov.uk) website, scheduled to launch at the end of 2022. The monitoring process will ensure new improved accessibility is maintained in the new format with a reduced number of pages and improved navigation, making it even easier to navigate and to get information about and transact business with the District Council.
- 3.2 If successful, to lead partners in on-going communication of the £15-million Levelling Up town centre project in Ashbourne.
- 3.3 Ensure all leases and licences include District Council branding requirements by condition to enhance the authority's reputation, linking to the Events Strategy.
- 3.4 Continue to utilise our online panel to gauge the overall level of satisfaction in the District Council.
- 3.5 Continue to generate sponsorship to support the Action Plan, focusing on welcome signs, parks signs and Big Belly Bins, introducing poster frames to the Big Belly Bins and additional commercial income from advertising in our paid-for public toilets and the Dales Matters publication.
- 3.6 Continue to measure the success of large event promotions and marketing (eg Matlock Bath Illuminations and the Garden Waste Scheme) via social media

engagement tools, webform analytics, post-event surveys and takings/visitor numbers.

- 3.7 The Hub will take the lead on important corporate communications issues, including crisis communications.

#### **4. Recommended Proposal**

- 4.1 It is recommended that the annual report be noted and the 2023 Action Plan approved.

#### **5. Consultation**

- 5.1 This report does not seek a decision to make changes to policy or procedure and therefore it has not been subject to consultation.

#### **6. Timetable for Implementation**

- 6.1 The calendar year 2023.

#### **7. Policy Implications**

- 7.1 This report links to the Council's [Consultation and Engagement Strategy](#).

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

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

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

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

- 9.2 There are 2 recommendations contained within this report.

- 9.2.1 That the strategic framework of the current Communications and Marketing Strategy is noted.

- 9.2.2 That the Action Plan for 2023 is approved.

- 9.3 Taking into account these recommendations, the legal risk had been assessed as Low.

#### **10. Equalities Implications**

- 10.1 There are no direct equality or diversity issues arising from this report, so it has not been necessary to prepare an Equality Impact Assessment.

#### **11. Climate Change Implications**

- 11.1 There are no direct implications for CO2 Emissions and Climate Change arising from this report.

## 12. Risk Management

- 12.1 The approval of the strategy is in itself a mitigation against risks facing the Council in respect of events held on Council owned land. Providing a clear strategic direction for officers is a necessity.

### Report Authorisation

Approvals obtained from:-

	<b>Named Officer</b>	<b>Date</b>
Chief Executive	Paul Wilson	08/11/2022
Director of Corporate and Customer Services)	James McLaughlin	
Director of Resources/ S.151 Officer (or Financial Services Manager)	Karen Henriksen	07/11/2022
Monitoring Officer (or Legal Services Manager)	James McLaughlin	

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# COMMUNICATIONS & MARKETING STRATEGY

November 2022

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# COMMUNICATIONS & MARKETING STRATEGY

(Adopted, Corporate Committee, 18 September 2014)

(Latest action plan submitted to Governance & Resources Committee, 22 November 2022)

## Introduction

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

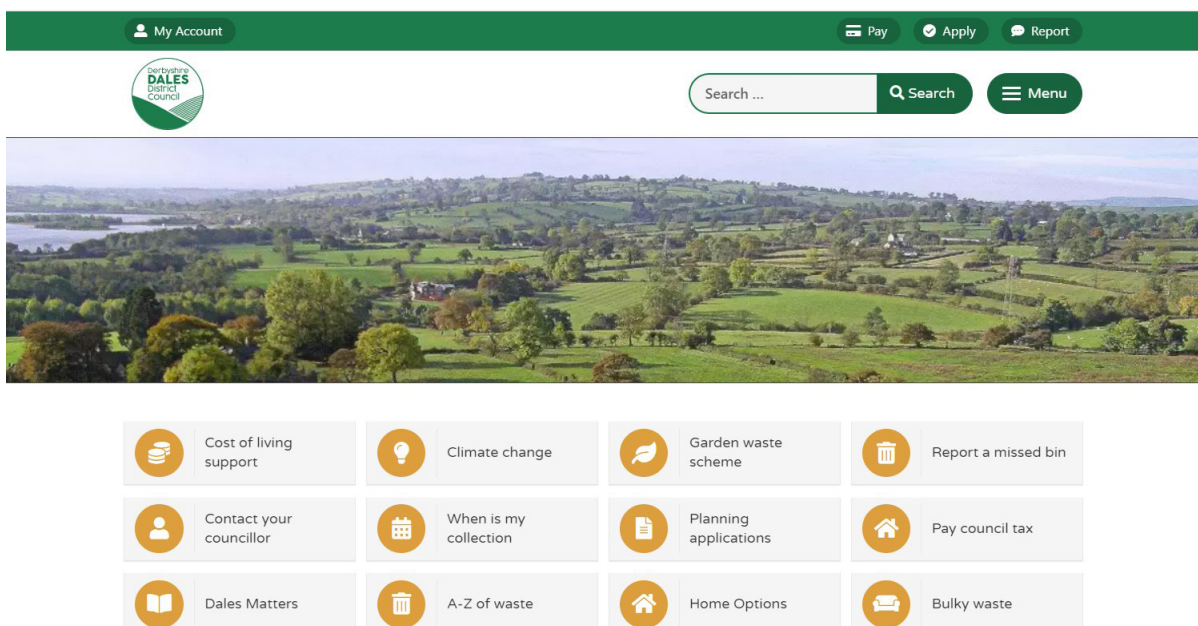
Communicating well is the responsibility of everyone at the District Council, not just the communications team. This strategy is designed to be a useful tool for the corporate leadership team, heads of services, all employees and council members.

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

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

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

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



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

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

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

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

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

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



## Aims, Vision and Objectives

### Aims

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

### Vision

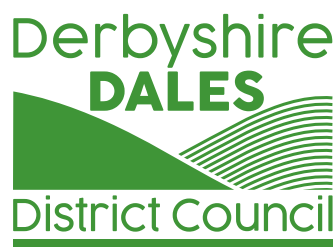
*What are we trying to do?*

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

We therefore need to...

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

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



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

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

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

## Objectives

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

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

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



## Delivering our objectives



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

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

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

- **Traditional Media, Publications, Campaigns and PR** ■
- **Digital and Social Media** ■
- **Internal Communications** ■

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



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

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

We will issue reactive statements to media on request after gaining advice and approval first from the head of service (corporate management team member) and/or council leaders. Despite our increasing focus on e-communications channels, the twice-yearly Dales Matters newsletter, delivered to all 35,000 homes in the district, remains an important communications tool. 90% of our citizens’ panel (surveyed November 2013) had seen a copy of Dales Matters and 75% read half or most of it.

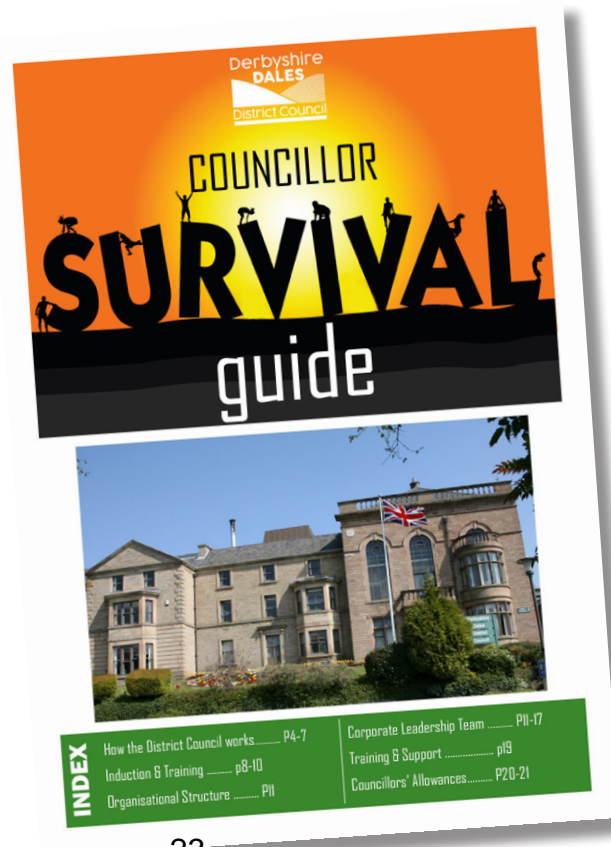
We will continue to edit, design and organise publication and distribution of Dales Matters, directed by an editorial panel (the Communications & Marketing Hub) comprising a representative from every service area.

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

- Anti-litter posters and banners
- Agricultural Business Centre annual leaflet (including Bakewell Farmers' Market dates)
- Resident leaflets such as the Garden Waste subscription scheme and waste and recycling update



- Other leaflets and fact sheets





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

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

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



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

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



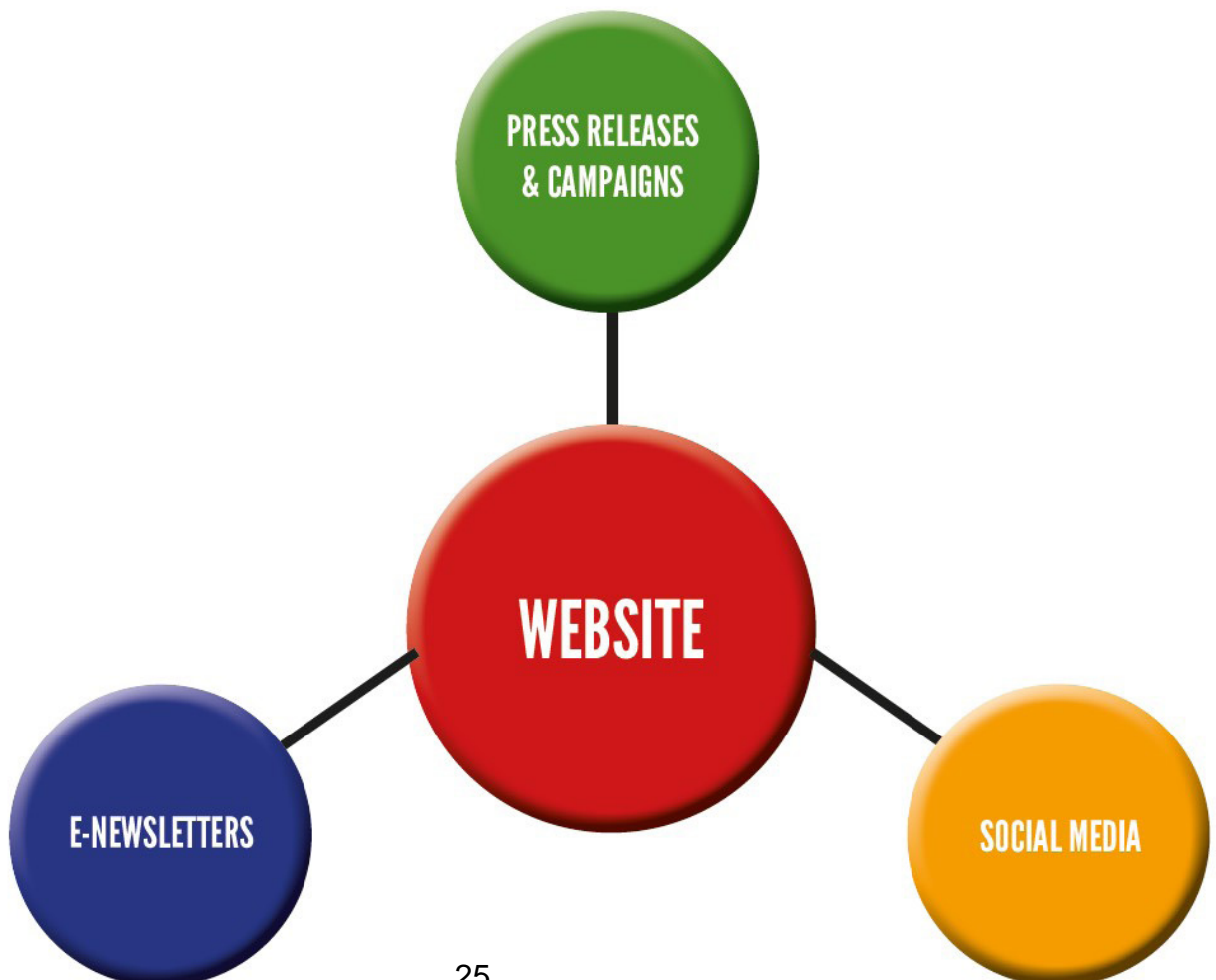
We recognise the value of our website as a source of information, as a point for customer transactions and as a low-cost alternative to face-to-face and telephone contact.

Our communications have a digital focus, building on the platform created by our website, a mobile-friendly version of which was relaunched in 2016, again using an open source (Joomla) content management system to serve the public and businesses of Derbyshire Dales. A new homepage promoting new and updated CRM webforms was launched in April 2020 and a totally re-worked website will go live at the end of 2022.

We are committed to continually reviewing and developing the website to make it even easier to find the information residents and stakeholders need, to report faults and incidents, to ask questions and to conduct many different types of transactions, all in a 24/7 environment.

Not only is this usually faster than alternative methods of contact, it means residents can conduct their business with the district council when and where they like, while doing so at a lower cost to the taxpayer. We will aim to further increase use of the website, which currently attracts more than 85,560 visits every month (source: Google Analytics, year to October 2022) and is the “hub” of our communications. The number of visits to our website in the year to October 2022 was 1.03-million (2.83-million page views).

Coronavirus lockdowns in 2020/21 undoubtedly helped drive additional transactions online.



We are committed to continuing to improve visitor numbers and the accessibility of the website, creating new web forms and payment portals (new CRM launched April 2020).

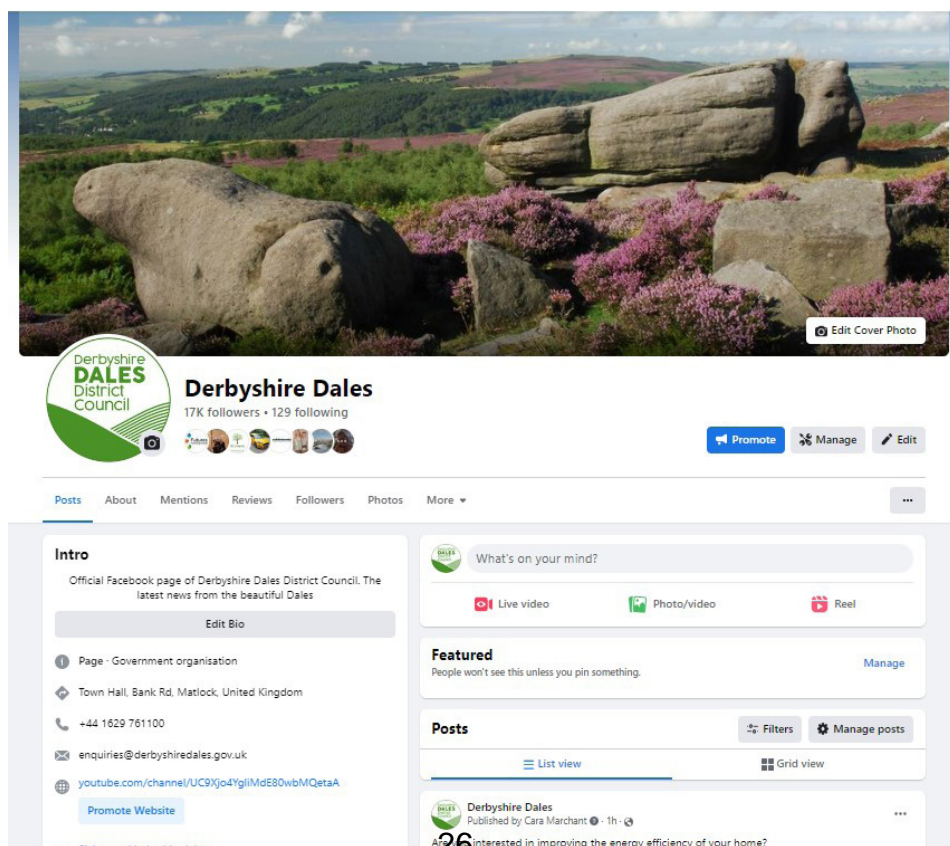
We applied the same principles to the development of a new intranet site for staff (launched autumn 2014 and redeveloped in November 2020).

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

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

While operating and monitoring established Facebook, Twitter, Instagram, LinkedIn and YouTube channels, we will continue to examine the potential of other social media platforms such as **TikTok**. The Communications & Marketing Team also assist and train other District Council service areas in setting up their own social media channels on request.

We are also alive to other potential channels such as **apps**. Currently there is no real benefit to using an app over website for our services and app development is potentially expensive. Features such as locations services and cameras are the only elements we might want to use from a mobile device when reporting issues etc, but these can be accessed directly from the website anyway, so aren't a lost feature.



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

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

We are also building our **e-newsletter** (MailChimp) database (9,267 contacts, October 2022), enabling us to target key messages on a regular basis to engaged people in our communities. We recognise the huge potential of e-newsletters as an effective communications channel.

**Surveys and questionnaires** supporting the council's consultations with residents, businesses and other stakeholders will be digital by default. We live in a digital age, and while paper versions of online surveys and questionnaires will be made available on request, our digital by default policy recognises that the vast majority of our residents now have access to the internet directly or indirectly through family, friends and their local library.

Adding paper-based consultation feedback to the digital survey database is time-consuming and resource-heavy for the council. A digital-first approach also reduces impact on the environment and increases the efficiency of the data collection operation. Consultations are promoted using a combination of digital and traditional media and, where timing allows, through the twice-yearly Dales Matters residents' newsletter.

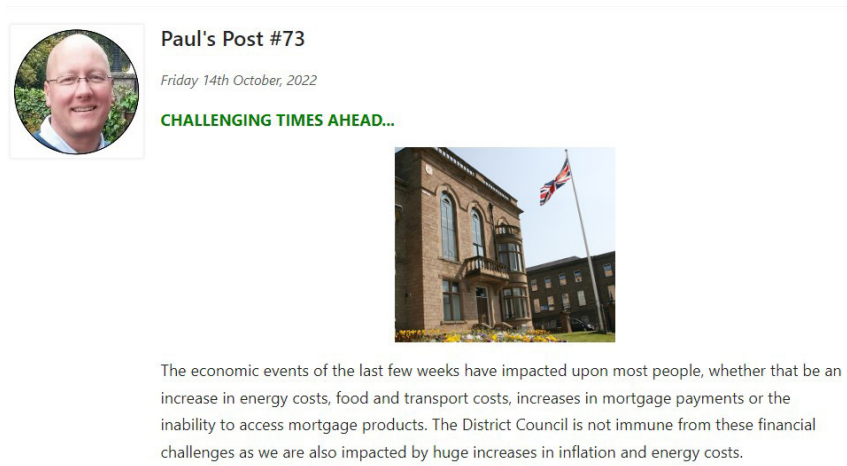


**Internal communications** play a key role in ensuring staff keep in touch with the district council’s plans and priorities, and the challenges ahead.

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

Our internal communications will include:

- Publication of internal newsletters and blogs, including regular blogs from the Chief Executive (average fortnightly frequency)

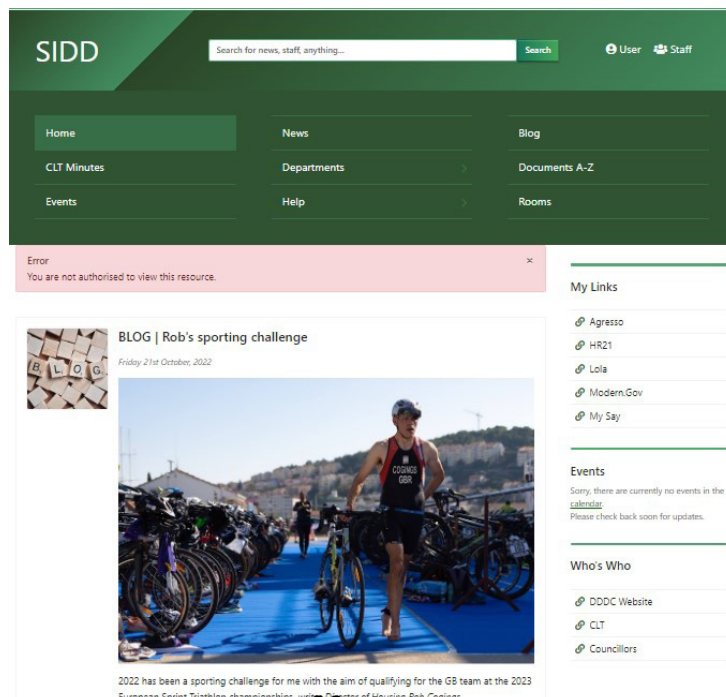


**Paul's Post #73**  
Friday 14th October, 2022

**CHALLENGING TIMES AHEAD...**

The economic events of the last few weeks have impacted upon most people, whether that be an increase in energy costs, food and transport costs, increases in mortgage payments or the inability to access mortgage products. The District Council is not immune from these financial challenges as we are also impacted by huge increases in inflation and energy costs.

- Regular all-staff emails
- In-house posters
- An intranet-based feedback form (“My Say”) where staff can feed back comments (anonymously if desired) and suggest good ideas
- A new (November 2020) more accessible intranet site (SIDD)



**SIDD** Search for news, staff, anything... Search User Staff

Home News Blog  
CLT Minutes Departments Documents A-Z  
Events Help Rooms

Error You are not authorised to view this resource.

**BLOG | Rob's sporting challenge**  
Friday 21st October, 2022

2022 has been a sporting challenge for me with the aim of qualifying for the GB team at the 2023 European Sprint Triathlon championships, with the support of Housing Rob Cogings.

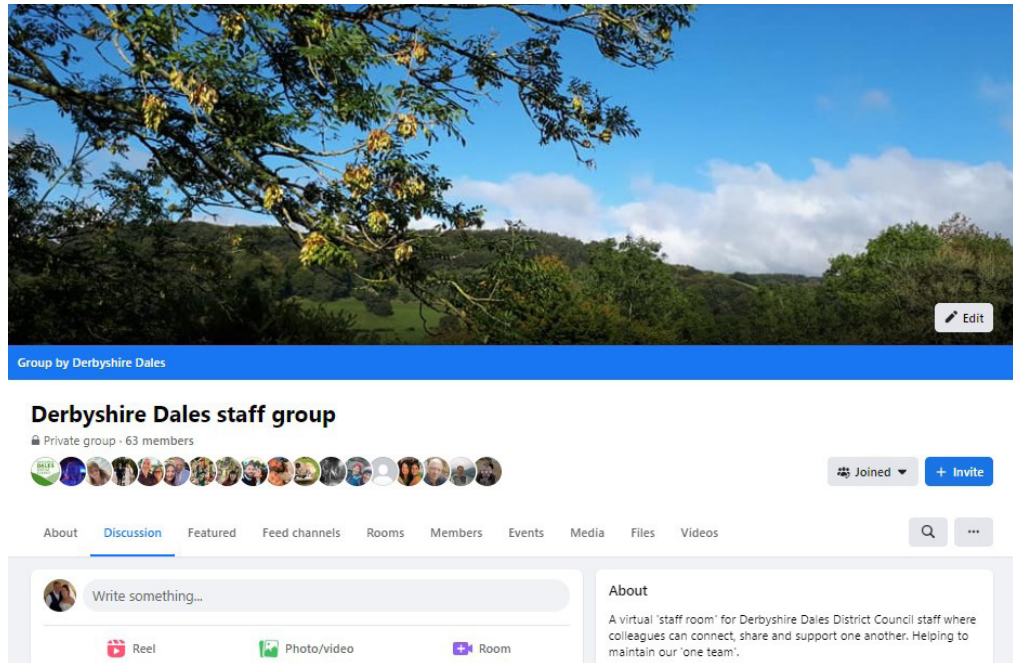
**My Links**  
Agresso  
HR21  
Lola  
Modern.Gov  
My Say

**Events**  
Sorry, there are currently no events in the calendar.  
Please check back soon for updates.

**Who's Who**  
DDDC Website  
CLT  
Councillors



- Core briefings videos to get our messages across
- Zoom-based all-staff meetings and core briefings
- An opt-in staff SMS service for urgent communications
- A staff “closed” Facebook group



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

## Looking ahead



Photo: Simon Beynon

A Corporate Peer Review carried out in 2019 helped the district council confirm its vision, which is to continue to use the reduced resources available to us efficiently to maintain and - where possible - improve the quality of life for Derbyshire Dales people. A key aim of our communications is to help local people understand the financial challenges faced by the district council and the hard choices it is having to make in terms of service delivery.

The Review executive summary added that in taking forward its ambitions for the future the council needs to fully embrace the modernisation agenda, for example through systematic approach to digital technology. Our plans continue to be built on clear values that will help to steer us through the years ahead.

Applying these values will mean that the district council is not only smaller, but also more flexible and more responsive to local people's needs and expectations.

### We value:

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

### **Supporting our values:**

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

### **Providing the basics**

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

*Our focus should be on:*

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

### **Helping communities help themselves**

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

*Our approach will be to:*

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

## Evidence and analysis



### What do our customers and stakeholders say?

We continue to invite customers and stakeholders to help us set some key priorities that support our values. The Corporate Plan 2020-24 sets out the vision and improvement priorities for Derbyshire Dales District over the next four years. It is the key strategy from which the District Council's Budget and Service Plans cascade.

### Priorities

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.

*These were agreed at the Council meeting on 5 March 2020.*



## Action Plan 2023

The Governance & Resources Committee will be asked at a meeting on 22 November 2022 to approve that in the 2023 year the communications and marketing strategy should focus on the following:

- Continue to monitor and improve with the in-house IT web development team the new [www.derbyshiredales.gov.uk](http://www.derbyshiredales.gov.uk) website, scheduled to launch at the end of 2022. The monitoring process will ensure new improved accessibility is maintained in the new format with a reduced number of pages and improved navigation, making it even easier to navigate and to get information about and transact business with the District Council.
- Ensure all leases and licences include District Council branding requirements by condition to enhance the authority's reputation, linking to the Events Strategy.
- Continue to utilise our online panel to gauge the overall level of satisfaction in the District Council.
- Continue to generate sponsorship to support the Action Plan, focusing on welcome signs, parks signs and Big Belly Bins, introducing poster frames to the Big Belly Bins and additional commercial income from advertising in our paid-for public toilets and the Dales Matters publication.
- Continue to measure the success of large event promotions and marketing (eg Matlock Bath Illuminations and the Garden Waste Scheme) via social media engagement tools, webform analytics, post-event surveys and takings/visitor numbers.
- The Hub will take the lead on important corporate communications issues, including crisis communications.

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# Agenda Item 6

**OPEN REPORT  
NAME OF DECISION MAKING BODY**

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**Governance and Resources Committee 22<sup>nd</sup> November 2022**

**Review of Internal Audit Charter**

**Report of the Director of Resources**

**Report Author and Contact Details**

Jenny Williams – Head of the Internal Audit Consortium  
Telephone: 01246 959770  
Email: jenny.williams@chesterfield.gov.uk

**Wards Affected**

District Wide

**Report Summary**

To report to Members for information and approval the results of a review of the Internal Audit Charter.

**Recommendations**

1. That Members note the outcome of the review of the Internal Audit Charter.
2. That, subject to any comments Members may wish to make, the Internal Audit Charter be agreed.
3. That the agreed Internal Audit Charter be reviewed in three years' time or sooner in the event of any significant changes being made to the Public Sector Internal Audit Standards.

**List of Appendices**

Appendix 1 Internal Audit Charter

**Background Papers**

None

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

N/A

**Council Approval Required**

No

**Exempt from Press or Public**

No

## **Review of the Internal Audit Charter**

### **1. Background**

- 1.1 The Public Sector Internal Audit Standards (PSIAS) require that the purpose, authority and responsibility of internal audit must be formally defined in an Internal Audit Charter.
- 1.2 The PSIAS also state that the Head of Internal Audit must periodically review the Internal Audit Charter and present it to the relevant Committee for approval.

### **2. Key Issues**

- 2.1 The Internal Audit Charter was last formally approved by this Committee in September 2021. It was agreed at that meeting that the Charter would be reviewed every year to ensure that it is kept up to date.
- 2.2 There have been no updates to the PSIAS since the last review of the charter.
- 2.3 The current Internal Audit Charter has been reviewed and it is felt that it is still fit for purpose. The only update made is to reflect a change in job title from Internal Audit Consortium Manager to Head of the Internal Audit Consortium.
- 2.4 The revised Internal Audit Charter is attached as Appendix 1.
- 2.5 The PSIAS state that the Head of Internal Audit must periodically review the Internal Audit Charter and present it to the relevant Committee for approval. CIPFA recommended best practice is that the Charter should be reviewed annually. However, in recent years there have been very few changes arising from the annual review and it is the view of the Director of Resources that this frequency is not justified and does not make the best use of officer and committee time. It is therefore recommended that the agreed Internal Audit Charter be reviewed in three years' time or sooner in the event of any significant changes being made to the Public Sector Internal Audit Standards.

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

- 3.1 N/A

### **4. Consultation**

- 4.1 N/A

### **5. Timetable for Implementation**

- 5.1 N/A

### **6. Policy Implications**

6.1 N/A

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

7.1 There are no financial considerations arising from the report.

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

8.1 There are no legal considerations arising from this report.

## **9. Equalities Implications**

9.1 There are no equalities implications.

## **10. Climate Change Implications**

10.1 There are no climate change implications

## **11. Risk Management**

11.1 There is a risk that there may be criticism at the next external review that the frequency of the review of the Internal Audit Charter has been reduced from annual to every three years. This is mitigated by the proposal to carry out a review sooner in the event of any significant changes being made to the Public Sector Internal Audit Standards. This risk has been assessed as low.

### **Report Authorisation**

Approvals obtained from:-

	<b>Named Officer</b>	<b>Date</b>
Chief Executive	Paul Wilson	08/11/2022
Director of Resources/ S.151 Officer (or Financial Services Manager)	Karen Henriksen	01/11/2022
Monitoring Officer (or Legal Services Manager)		

# DERBYSHIRE DALES DISTRICT COUNCIL

## INTERNAL AUDIT CHARTER

### INTRODUCTION

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

### PSIAS/REGULATORY BASIS OF OPERATION

2. The adoption of the PSIAS is mandatory and includes a:
  - Definition of Internal Auditing
  - Code of ethics
  - International Standards for the Professional Practice of Internal Auditing

3. The Mission of Internal Audit is:-

***To enhance and protect organisational value by providing risk-based and objective assurance, advice and insight.***

4. The Internal Audit Section adopts the PSIAS and the purpose and definition of Internal Audit as specified by the PSIAS:-

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

5. The Internal Audit Section also adopts the Core Principles for the Professional Practice of Internal Auditing. These are that the Section:-
  - Demonstrates integrity.
  - Demonstrates competence and due professional care
  - Is objective and free from undue influence (independent)
  - Aligns with the strategies, objectives, and risks of the organisation,
  - Is appropriately positioned and adequately resourced
  - Demonstrates quality and continuous improvement
  - Communicates effectively
  - Provides risk-based assurance.
  - Is insightful, proactive, and future-focused.
  - Promotes organisational improvement.

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

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

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

## **DEFINITIONS**

9. The PSIAS require that the Charter must define the terms “Board” and “Senior Management” for the purposes of internal audit activity.
10. The PSIAS glossary defines the board as:

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



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

14. The scope of the Internal Audit Section encompasses the examination and evaluation of the adequacy and effectiveness of the organisation's governance, risk management and internal control processes in relation to the Council's defined goals and objectives.
15. The Audit Section's remit covers all functions and services for which the Council is responsible and this extends to the entire risk management, governance and internal control processes of the organisation and not just financial controls.
16. The Internal Audit Section will objectively examine, evaluate and report on the adequacy of the risk management, governance and internal control processes as a contribution to the proper, economic, efficient and effective use of resources.
17. The internal audit service will be delivered on the basis of a risk assessment of auditable areas. A predominantly systems based approach to most audits will be adopted.
18. The system of risk management, governance and internal control comprises the whole network of systems to provide reasonable assurance that corporate objectives will be achieved, with particular reference to:
  - Consistency of operations with established objectives and goals,
  - The reliability and integrity of financial and operational information;
  - The effectiveness and efficiency of operations and programmes,
  - Safeguarding of assets and interests from losses of all kinds, including those arising from fraud, irregularity and corruption;
  - Compliance with laws, regulations, policies, procedures and contracts;
  - The economic and efficient use of resources (value for money), effective monitoring systems and optimum use of performance management information.
19. With the introduction of the PSIAS, internal audit may also provide "consultancy" services. This work could take any form, provided that the independence of the service is not compromised, but will typically include special reviews or assignments where requested by management, which fall outside the approved plan and for which a contingency is included in the audit plan. There will be no significant consultancy work undertaken without the approval of the Governance and Resources Committee.

## **RESPONSIBILITIES AND REPORTING**

20. The PSIAS requires that the Internal Audit Charter should establish the responsibilities and reporting arrangements of internal audit.

21. The Head of the Internal Audit Consortium reports directly to the Council's Governance and Resources Committee and to the Director of Resources. The Head of the Internal Audit Consortium also has direct access to the Council's Chief Executive, Monitoring Officer and where necessary elected Members
22. The Head of the Internal Audit Consortium will manage the provision of the Internal Audit service by: -
  - Preparing each year in advance a risk based audit plan for discussion and agreement by the council's Client Officer and approval by the Governance and Resources Committee. Any in-year significant changes to the audit plan shall be agreed by the Client Officer and the Governance and Resources Committee.
  - Presenting an annual report to the Governance and Resources Committee that meets the requirements of the PSIAS and includes:-
    - An overall opinion on the adequacy and effectiveness of the Council's risk management, governance and internal control processes (including any qualifications to that opinion),
    - Presents a summary of the audit work from which the opinion is derived, including reliance placed on the work by other assurance bodies,
    - Draws attention to any issues the Head of the Internal Audit Consortium judges particularly relevant to the preparation of the Annual Governance Statement,
    - Compares work actually undertaken with work that was planned and to report relevant performance measures and targets.
  - Presenting periodic reports to the Governance and Resources Committee summarising all internal audit reports issued and if considered necessary providing copies of the reports,
  - Formally report the findings and recommendations of audit work to senior management and the Governance and Resources Committee throughout the year. Audit reports will:-
    - Include an audit opinion on the reliability of the risk management, governance and internal control arrangements in the system or area audited,
    - Identify inadequately addressed risks and non-effective control processes,
    - Detail management's response and timescale for corrective action,
    - Identify issues of good practice.
  - Ensuring audit work is supervised, reviewed, recorded and reported,
  - Implementing a follow up process for ensuring the effective implementation of audit recommendations or ensuring senior management are aware of the consequences of not implementing a recommendation and are prepared to accept the risk,
  - Liaising as needed with the External Auditor and with other regulators,
  - Maintaining and managing a risk assessment in relation to the functions of the Council,

- Ensuring that there is an up to date Audit Manual in place setting out expected standards for the service, and monitoring compliance with these standards, including in relation to the planning, conduct, quality assurance and reporting of audit assignments.
23. Senior managers should assist audit to discharge their duties by:
- The prompt provision of information and explanations,
  - Providing input to the audit plan to ensure attention is focused on areas of greatest risk,
  - Informing the Audit Section of any plans for change, including new systems,
  - Responding to the draft internal audit report, including provision of management responses to recommendations, within the timescale requested by the audit section,
  - Implementing agreed management actions in accordance with agreed timescales,
24. The Governance and Resources Committee must:
- Approve the Internal Audit Charter,
  - Approve the risk based internal audit plan,
  - Receive progress reports and an annual report from the Head of the Internal Audit Consortium in respect of the audit plan,
  - Approve any large variances or consulting services not already included in the audit plan.

### **AUDIT RESOURCES**

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

### **QUALITY AND ASSURANCE PROGRAMME**

28. The PSIAS state that a quality assurance and improvement programme must include both internal and external assessments. Internal assessments should be ongoing and periodical and external assessments must be undertaken at least once every 5 years.

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

#### **INDEPENDENCE, AUTHORITY AND ETHICS**

34. In order to achieve its objectives effectively, Internal Audit must be seen to be independent. Internal auditors must maintain an unbiased attitude that allows them to perform their engagements in such a manner that no quality compromises are made.
35. The scope of internal audit allows for unrestricted access to all records, personnel, premises and assets deemed necessary to obtain information and explanations as it considers necessary to fulfil its responsibilities in the course of the audit. Such access shall be granted on demand and not subject to prior notice.
36. This right of access is included in the Council's Financial Regulations. In addition, where necessary, the Head of the Internal Audit Consortium and the Senior Auditor will have unrestricted access to:
  - The Chief Executive
  - The Director of Resources
  - Members
  - The Monitoring Officer
  - The Chair and Members of the Governance and Resources Committee
  - Individual Directors / Senior Managers
  - All Other Employees
  - The External Auditor

37. The Head of the Internal Audit Consortium will confirm to the Governance and Resources Committees at least annually, the organisational independence of the internal audit activity.
38. Independence is further achieved by:
- Reporting to the Governance and Resources Committee and senior management,
  - Not being part of system and procedures being audited,
  - Completing declaration of interest forms on an annual basis,
  - Internal Audit staff not undertaking an audit in an area where they have had operational roles for at least two years.
39. If any member of the Internal Audit Section considers there is or could be a conflict of interest, this must be declared to the Head of the Internal Audit Consortium who will direct alternative and independent resources to the audit.
40. Where internal audit staff are required to undertake non-audit duties, the Head of the Internal Audit Consortium will make it clear that those audit staff are not fulfilling those duties as internal auditors. The Head of the Internal Audit Consortium will ensure that within the service there remains sufficient impartiality to enable the actions and activities of those internal audit staff to be subject to audit by those independent from the activity.
41. Internal auditors must conform to the Chartered Institute of Public Finance and Accountancy (CIPFA) Code of Ethics in addition to those of other professional bodies of which they hold membership.
42. The Code of Ethics promotes an ethical, professional culture to ensure fairness, objectivity and freedom from conflicts of interest. The key principles are;
- Integrity – to establish trust thus providing reliance on their judgement;
  - Objectivity – in gathering, evaluating and communicating information about the activity or process being examined in order to make a balanced assessment of all relevant circumstances without influence;
  - Confidentiality – to respect the value and ownership of information received which should not be disclosed without appropriate authority or a legal or professional obligation to do so, nor be used for personal gain; and
  - Competence – to apply knowledge, skills and experience appropriately.

## **FRAUD AND CORRUPTION**

43. Managing the risk of fraud and corruption is the responsibility of management. The Council has an Anti-Fraud and Corruption strategy and a zero tolerance towards fraud.

44. The Head of the Internal Audit Consortium / Senior Auditor should be notified of all suspected or detected fraud, corruption or impropriety in accordance with each Council's Financial Regulations and Anti-Fraud and Corruption strategies, in order to inform their opinion of the risk management, governance and internal control arrangements in place.
45. Subject to availability of resources with the internal audit plan, internal audit may assist management in the investigation of suspected fraud and corruption.
46. The Head of the Internal Audit Consortium will report any instances of fraud detected as a result of audits undertaken to the Governance and Resources Committee.

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

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

October 2022





# Agenda Item 7

**OPEN REPORT  
NAME OF DECISION MAKING BODY**

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**Governance and Resources Committee 22<sup>nd</sup> November 2022**

**Progress Update on the 2022/23 Internal Audit Plan**

**Report of the Director of Resources**

**Report Author and Contact Details**

Jenny Williams – Head of the Internal Audit Consortium

Telephone: 01246 959770

Email: [jenny.williams@chesterfield.gov.uk](mailto:jenny.williams@chesterfield.gov.uk)

**Wards Affected**

District Wide

**Report Summary**

To present for members' information a progress update in respect of the 2022/2023 Internal Audit Plan. The report includes a summary of internal audit reports issued since the last meeting of this committee.

**Recommendations**

1. That the report be noted.

**List of Appendices**

Appendix 1 Summary of Internal Audit Reports Issued in respect of the 2022/23 Internal Audit Plan.

**Background Papers**

None

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

N/A

**Council Approval Required**

No

**Exempt from Press or Public**

No

## **Progress Update on the 2022/23 Internal Audit Plan**

### **1. Background**

- 1.1 The 2022/23 Internal Audit Operational Plan was approved by the Governance and Resources Committee on the 17<sup>th</sup> March 2022. The plan was based on the Council having a full time Senior Auditor and a full time Auditor in post.
- 1.2 The plan provides a framework by which service functions are reviewed to test and report on the adequacy and effectiveness of the governance, risk and control arrangements in place. Completion of the plan enables the Head of Internal Audit to provide an annual opinion on the governance, risk and control arrangements in place.

### **2. Key Issues**

- 2.1 In August 2022 both of the Council's Auditors left the Authority for promotions elsewhere.
- 2.2 Recruitment within the public sector internal audit field is proving increasingly difficult and this is acknowledged by CIPFA, the Local Authority Chief Internal Auditors Network and the Nottinghamshire and Midlands Audit Group.
- 2.3 The Senior Auditor post was advertised in July 2022 with a 9% and then a 12% market supplement however it was still not possible to recruit. The position has recently been re-advertised with a 15% market supplement and a Welcome Payment to try to attract qualified and experienced candidates of the calibre required.
- 2.4 If this recruitment round proves unsuccessful, the Director of Resources will consider the options available to DDDC in terms of the provision of an audit service.
- 2.5 In the meantime, progress on the 2022/23 Internal Audit Plan has stalled.
- 2.6 Before the Auditors left the Council's employment 3 reports were issued 2 with substantial assurance and 1 with reasonable assurance (see Appendix 1 for details).
- 2.7 No fraud was identified.
- 2.8 Appendix 1 shows for each report a summary of the level of assurance that can be given in respect of the audit area examined and the number of recommendations made / agreed where a full response has been received.

2.9 The assurance level is awarded in respect of the controls in place and the system's ability to meet its objectives and manage risk in accordance with the definitions below. As recommended by the external review of internal audit the assurance levels have now been linked to definitions of risk within the council's risk management strategy.

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

### 3. Options Considered and Recommended Proposal

3.1 N/A

### 4. Consultation

4.1 N/A

### 5. Timetable for Implementation

5.1 N/A

### 6. Policy Implications

6.1 N/A

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

7.1 There are no financial implications arising from this report.

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

8.1 There are no legal implications arising from this report

## **9. Equalities Implications**

9.1 There are no equalities implications arising from this report.

## **10. Climate Change Implications**

10.1 There are no climate change implications arising from this report.

## **11. Risk Management**

11.1 There is a risk that a lack of independent assurance means that weaknesses in governance, risk and control may go undetected.

### **Report Authorisation**

Approvals obtained from:-

	<b>Named Officer</b>	<b>Date</b>
Chief Executive	Paul Wilson	08/11/2022
Director of Resources/ S.151 Officer (or Financial Services Manager)	Karen Henriksen	07/11/2022
Monitoring Officer (or Legal Services Manager)		

**DERBYSHIRE DALES DISTRICT COUNCIL****Internal Audit Consortium - Report to Governance and Resources Committee****Summary of Internal Audit Reports Issued in respect of the 2022/23 Internal Audit Plan**

Report Ref	Report Title	Scope and Objectives	Overall Opinion	Date		Number of Recommendations	
				Report Issued	Response Due	Made	Accepted
D001	Bakewell Agricultural Centre	To review the processes and procedures in place	Reasonable	7/7/2022	28/7/2022	10 (3M 7L)	Note 1
D002	Leisure Contract Management	To ensure that the leisure contract is being appropriately monitored	Substantial	25/7/22	15/8/22	3L	Note 1
D003 51	National Non Domestic Rates	To ensure that NNDR bills are raised timely and accurately and that there are debt collection procedures in place.	Substantial	11/8/22	2/9/22	3L	3

Note 1 – Response not received at time of writing Report

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# Agenda Item 8

## **Governance & Resources Committee - 22 November 2022**

### **Asset Management Plan - Land Holdings Review**

#### **Report of Director of Regulatory Services**

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

Mike Galsworthy - Estates and Facilities Manager

Telephone: 01629 761207

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

##### **Wards Affected**

Bradwell;

Tansley;

Darley Dale;

Masson

##### **Report Summary**

This report represents the fourth phase of an ongoing review of the Council's land and property assets in accordance with the Asset Management Plan. This phase of the Land Holdings Review covers 4 sites across the District in which expressions of interest have been received for Community Asset Transfers.

##### **Recommendations**

1. That Site no. 1, Grey Ditch Bradwell is transferred to Bradwell Parish Council on the terms outlined in Appendix 1 of this report as a Community Asset Transfer of the freehold title.
2. That Site no. 2, Knabhall Lane, Tansley is transferred to Tansley Parish Council on the terms outlined in Appendix 1 of this report as a Community Asset Transfer of the freehold title.
3. That Site no. 3, Allotments and adjoining land at Church Road, Darley Dale is transferred to Darley Dale Town Council on the terms outlined in Appendix 1 of this report as a Community Asset Transfer of the freehold title.
4. That Site no. 4, Tennis Court and Bowling Green, Matlock Bath be transferred to Matlock Bath Parish Council on the terms outlined in Appendix 1 of this report as a Community Asset Transfer by way of long lease.
5. That it is noted that the disposal in 1, 2, 3 and 4. above (either by lease or freehold title transfer) comprise an undervalue transaction permitted under the General Disposal Consent 2003.

6. That each party will bear their own legal costs in respect of site 1, 2, 3 and 4.

**List of Appendices**

Appendix 1 - LAND HOLDINGS REVIEW PHASE 4 BY PROPERTY

**Background Papers**

None applicable

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

Not applicable

**Council Approval Required**

No

**Exempt from Press or Public**

No

## Report Title

### 1. Background

- 1.1 The Asset Management Plan (AMP) 2019 -2023 is intended 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 can be made in support of the Council's corporate aims and objectives.
- 1.2 The Asset Management Plan recommends to support and enable Community Asset Transfer of land and buildings where appropriate.
- 1.3 This the fourth of a number of phases of reports consider the future arrangements for surplus land and buildings across the District.

### 2. Key Issues

- 2.1 Phase 4 of the Land Holdings Review covers 4 sites in which queries or expressions of interest have been received for Community Asset Transfers. Following consideration of planning, legal and estate management factors, together with operational requirements, recommendations are made regarding whether the sites should be retained, allocated for a particular use or sold and the terms which would apply.
- 2.2 An appraisal of each site has taken place comprising advice on any planning constraints, legal restrictions and maintenance liabilities/costs.
- 2.3 Site no. 1 comprises a 0.05 Ha site which is believed to have been left over from an affordable housing development. Bradwell Parish Council has requested the freehold transfer to use the land as a community project. It is recommended that this is agreed as a freehold Community Asset Transfer on the terms set out in Appendix 1.
- 2.4 Site no. 2 comprises a 0.2 Ha site off Knabhall Lane, Tansley. The site has been vacant and unused for a couple of years and due to its remote location it is unsuitable for an operational use and may be of some ecological value. Tansley Parish Council has requested the freehold transfer to use as a community project to further protect and enhance its ecological value. It is recommended that this is agreed as a freehold Community Asset Transfer on the terms set out in Appendix 1.
- 2.5 Site no. 3 comprises 1.2 Ha of land part leased to Darley Dale Town Council as allotments and the remainder as open grass land. The allotment land has been well maintained and a popular with residents to the point it needs to be extended. Darley Dale Town Council has requested the freehold transfer to use as allotments. It is recommended that this is agreed as a freehold Community Asset Transfer on the terms set out in Appendix 1.
- 2.6 Site no. 4 comprises two parcels of land, the Bowling Green and Tennis Court sites comprising 0.1 Ha and 0.1 Ha respectively. The sites are currently leased to Matlock Bath Parish Council. To help apply for grant money to help develop these facilities MBPC has requested a longer lease. It is recommended that it is agreed that a lease of 25 years on each parcel be granted as a Community Asset Transfer on the terms set out in Appendix 1.
- 2.7 The results and recommendations for the four sites are summarised in Appendix 1 together with plans of each site.

### 3. Options Considered and Recommended Proposal

- 3.1 Not applicable

#### **4. Consultation**

- 4.1 Ward Members and the relevant Town/Parish Council have been consulted on the proposed disposals and any comments received will be reported to the meeting.

#### **5. Timetable for Implementation**

- 5.1 On approval instructions will be issued to work towards transfer.
- 5.2 It is anticipated that transfers and leases will be completed in the first quarter of 2023/24.

#### **6. Policy Implications**

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

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

- 7.1 While the disposal of these sites will not generate significant sale proceeds, the proposed Community Asset Transfers will each remove a liability for future maintenance. The financial risk is assessed as low.

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

- 8.1 Provided that the proposed sites look to satisfy the Asset Management Plan (AMP) 2019 -2023 as detailed at clause 1 of this report;
- 8.2 It is recorded on each proposed transaction that relevant restrictions should be included so that the lands are protected in the future for community use.
- 8.3 Provided that the appropriate legal processes are followed with on the proposed disposals of each site as a community asset transfer then the risk for the proposed transaction is assessed as low.

#### **9. Equalities Implications**

- 9.1 None applicable

#### **10. Climate Change Implications**

- 10.1 There are no significant climate change impacts of the recommendations on the report.
- 10.2 The transfer of the sites in recommendations 1-3 are likely to have a positive climate change impact, depending on the subsequent actions of the Town and Parish Councils involved. In each case the indicative plans

of the Town and Parish Council seek to improve or retain the natural capital on site.

## 11. Risk Management

- 11.1 Provided Council policies in regard to disposals of property assets are followed the management risk is considered low.

### Report Authorisation

Approvals obtained from:-

	<b>Named Officer</b>	<b>Date</b>
Chief Executive	Paul Wilson	08/11/2022
Director of Resources/ S.151 Officer (or Financial Services Manager)	Karen Henriksen	07/11/2022
Monitoring Officer (or Legal Services Manager)	Kerry France	10/11/2022

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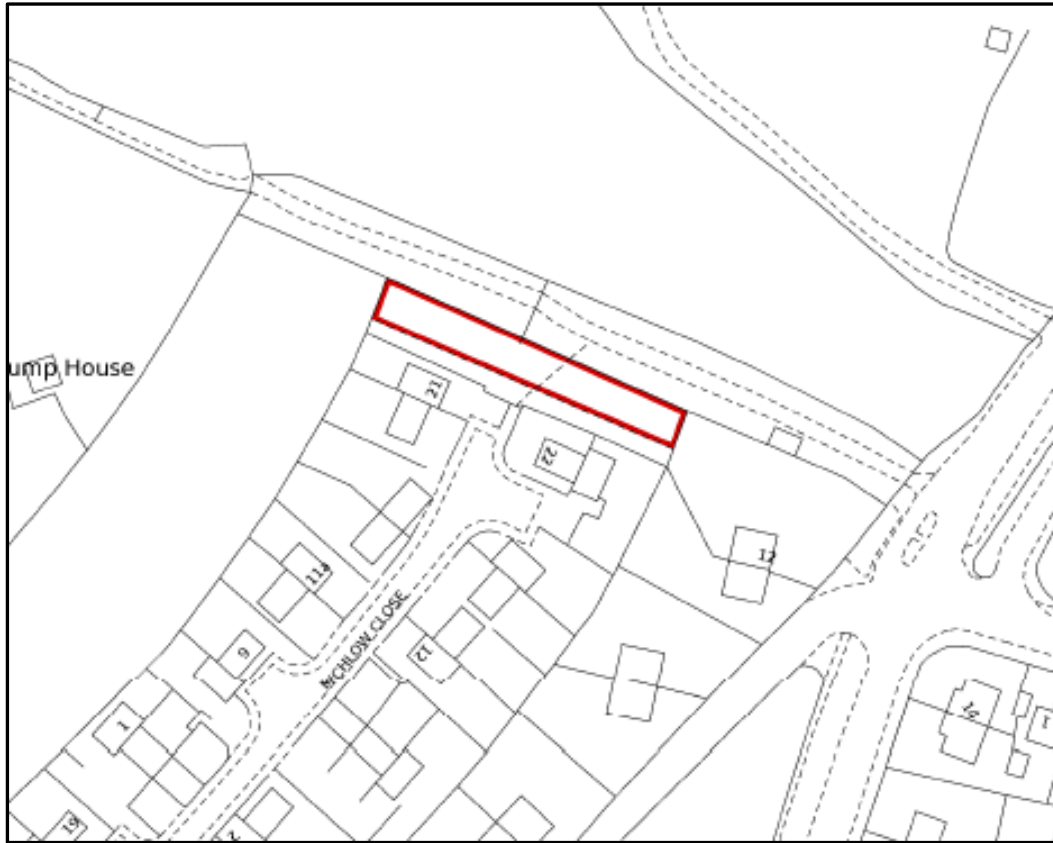


## APPENDIX 1 – LAND HOLDINGS REVIEW PHASE 4 BY PROPERTY

### SITE INDEX

1.	Grey Ditch, Bradwell	CAT – Freehold Transfer
2.	Knabhall Lane, Tansley	CAT – Freehold Transfer
3.	Allotments Site and adjoining land at Church Road, Darley Dale	CAT – Freehold Transfer
4.	Tennis Court and Bowling Green, Matlock Bath	CAT – Long Lease

**Site 1 – Land known as Grey Ditch, Bradwell**



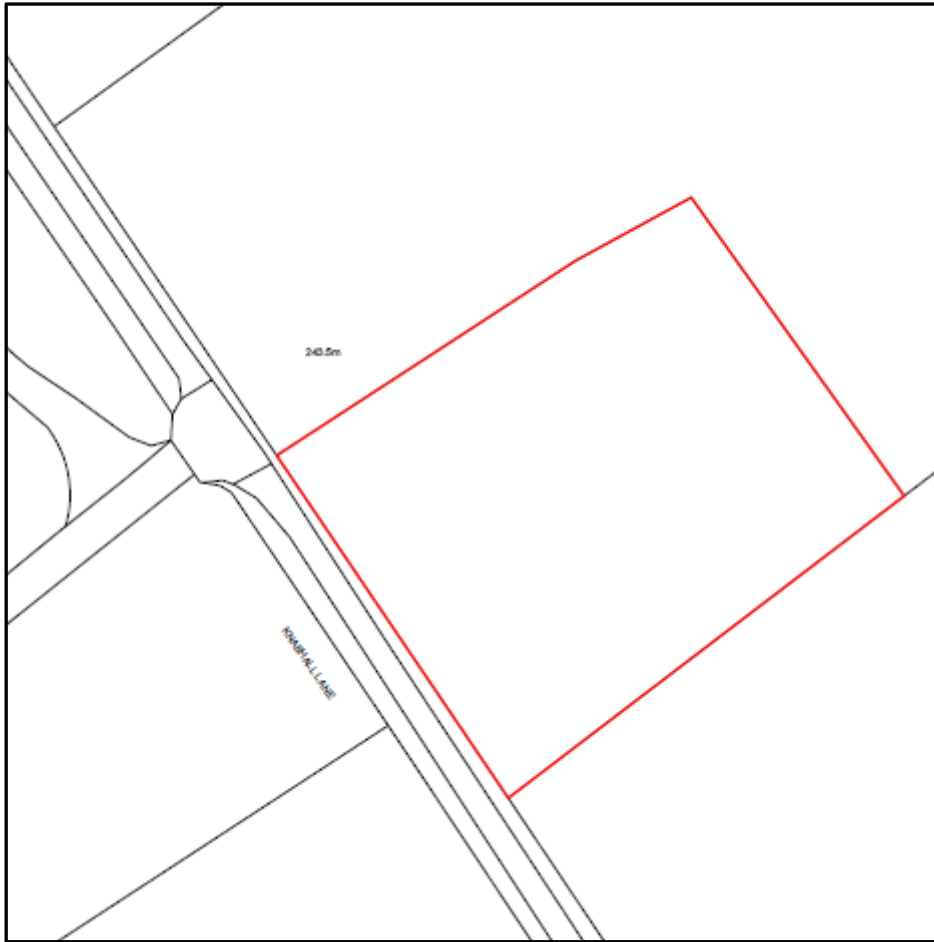
Indicative Plan for information only

## LAND HOLDINGS REVIEW

### SITE NO. 1

ADDRESS	Land known as Grey Ditch, Bradwell  Reference
REQUEST RECEIVED	Bradwell Parish Council have requested the Community Asset Transfer (CAT) of this site for initial use as a community garden.
DESCRIPTION/LOCATION	The property is a level area of approx. 0.05 Ha (0.1 acre) located to the back of housing on Michlow Close. It is rough grassland with a number of trees. It is not known if this forms a drainage area for the adjoining development.  It appears to be accessed via an unadopted rough track from the Main Road.
OWNERSHIP	Freehold owned by Derbyshire Dales District Council under titles DY537128.
LEGAL COVENANTS RESTRICTIONS	TBC
PLANNING	TBC
MAINTENANCE	TBC
HEALTH & SAFETY/RISKS	TBC
CLIMATE CHANGE	The indicative plans of BPC seek to improve the natural capital on site and may have a positive climate change impact.
OFFICER COMMENT	This site is currently not used and does not have an obvious operational use. It is believed to have been left over from a previous affordable housing development.
RECOMMENDATION	The site to be transferred at peppercorn consideration with the usual restrictions on title so it is retained as a community asset.  It will be transferred in existing condition and encumbrances.  As a CAT each party are to pay their own legal and surveying costs.

**Site 2 – Land at Knabhall Lane, Tansley**



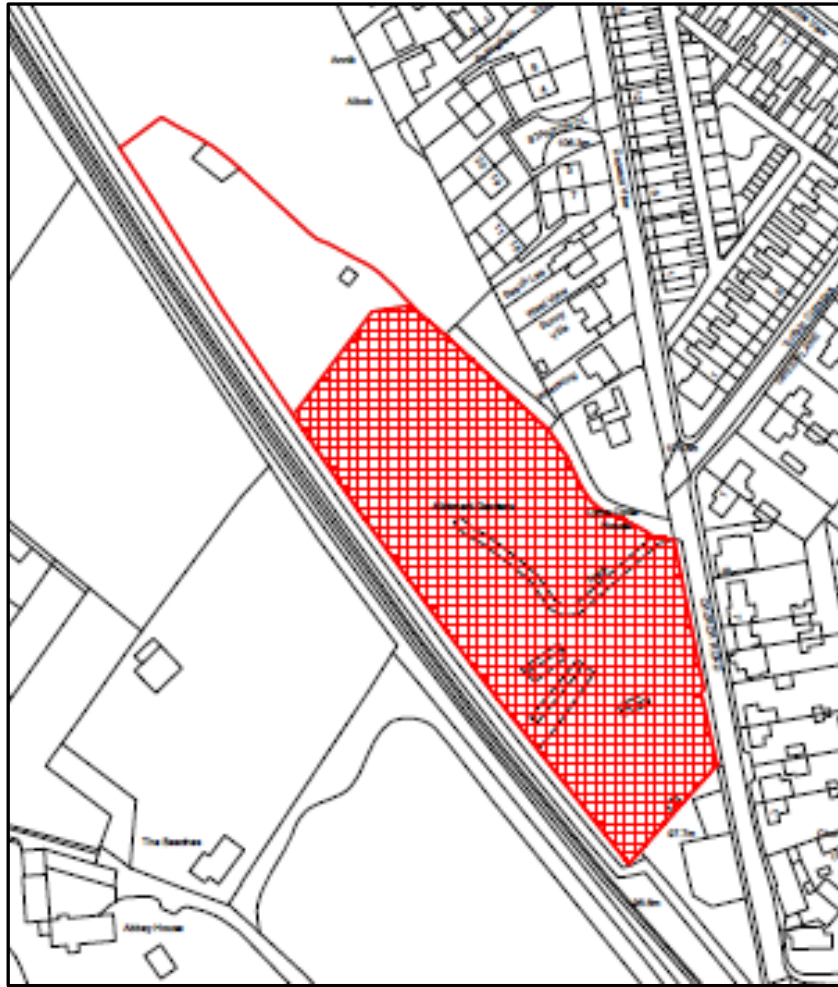
Indicative Plan for information only

## LAND HOLDINGS REVIEW

### SITE NO. 2

ADDRESS	Land at Knabhall Lane, Tansley  Reference  A/01315
REQUEST RECEIVED	Tansley Parish Council (TPC) have requested the Community Asset Transfer (CAT) of this site so it can be used as a wildlife habitat and to protect it from any form of development.
DESCRIPTION/LOCATION	The property is a level area with frontage to Knabhall Lane and is approx. 0.5 acre (0.2 Ha).
OWNERSHIP	Freehold owned by Derbyshire Dales District Council under titles DY539990. It was claimed under the Enclosure Award.
LEGAL COVENANTS RESTRICTIONS	TBC
PLANNING	TBC
MAINTENANCE	TBC
HEALTH & SAFETY/RISKS	TBC
CLIMATE CHANGE	The indicative plans of TPC seeks to retain and improve the natural capital on site and may have a positive climate change impact.
OFFICER COMMENT	This site is currently not used and does not have an obvious operational use. It has limited access to services and may be of ecological value.
RECOMMENDATION	The freehold of the site to be transferred at peppercorn consideration with the usual restrictions on title and to protect so it is retained as a wildlife habitat and protected from any development.  It will be transferred in existing condition and encumbrances.  As a CAT each party pay for their own legal and surveying costs.

**Site 3 – Allotment site and adjoining land at Church Road, Darley Dale**



**Plan - Land outlined in red (hatched area is existing lease, remainder is adjoining land)**

## LAND HOLDINGS REVIEW

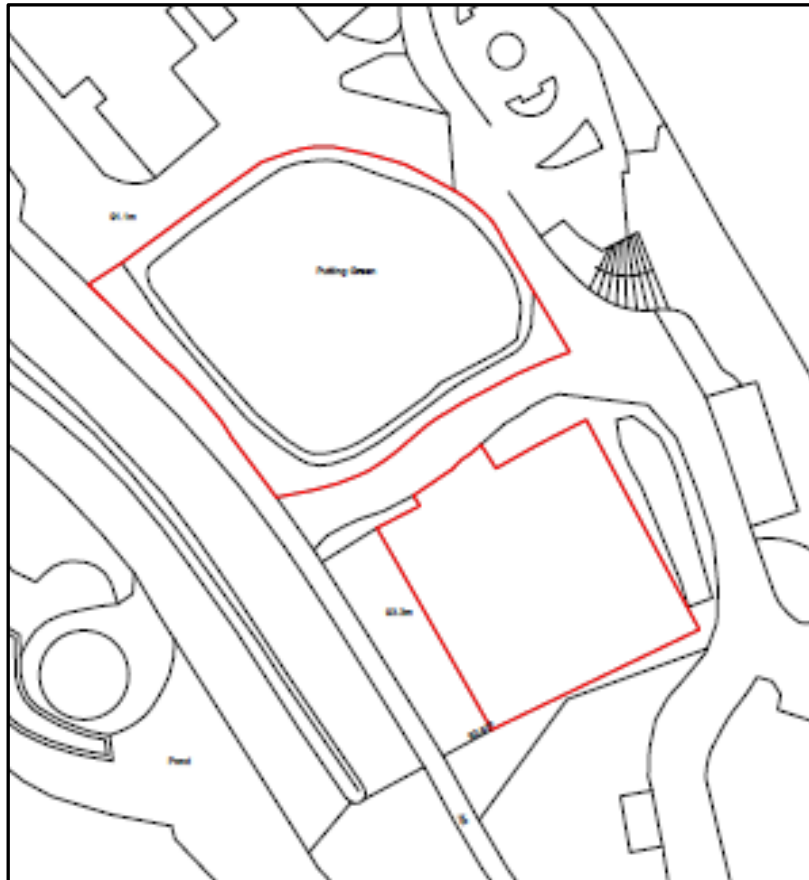
### SITE NO. 3

ADDRESS	<p>Allotment site and adjoining land at Church Road, Darley Dale</p> <p>Reference Nos</p> <p>A/00420 L/00058 05/0019– Allotment Site</p> <p>A/00421 05/0019 – Adjoining land</p>
REQUEST RECEIVED	<p>Darley Dale Town Council (DDTC) have requested the transfer of the allotment land they currently lease and the adjoining land.</p>
DESCRIPTION/LOCATION	<p>The properties are located on the west side of Church Road, Darley Dale.</p> <p>The allotment site is 2.8 acres (1.1 Ha) and the adjoining land is 0.8 acre (0.3 Ha).</p> <p>The site connects to the land leased to Peak Rail.</p>
OWNERSHIP	<p>Freehold owned by Derbyshire Dales District Council under titles DY375949.</p>
LEGAL COVENANTS RESTRICTIONS	<p>TBC</p>
PLANNING	<p>TBC</p>
MAINTENANCE	<p>TBC</p>
HEALTH & SAFETY/RISKS	<p>TBC</p>
CLIMATE CHANGE	<p>The indicative plans of DDTC seek to improve the natural capital on site and may have a positive climate change impact.</p>
OFFICER COMMENT	<p>The allotment site is currently occupied by DDTC who are holding over on a 6 year lease which expired 2 April 2014. The remaining land may have issues with unauthorised occupation which will be addressed prior to any transfer. Due to the popularity of the allotments land is required for extending this community facility and DDTC have requested the transfer.</p>



	There may need to be reserved rights for access to adjoining land.
RECOMMENDATION	<p>The freehold of the site to be transferred at peppercorn consideration with the usual restrictions on title so it is retained as a community asset.</p> <p>It will be transferred with vacant possession, in existing condition and encumbrances.</p> <p>As a CAT each party pay for their own legal and surveying costs</p>

**Site 4 – Tennis Court and Bowling Green, Matlock Bath**



**Plan - Areas outlined in red** (Putting Green is area to north, Tennis court is to the south)

## LAND HOLDINGS REVIEW

### SITE NO. 4

ADDRESS	<p>Land known as Tennis Court and Bowling Green, Derwent Gardens, Matlock Bath</p> <p>Reference Nos</p> <p>L/00019 A/00313 – Bowling Green</p> <p>L/00020 A/00314 – Tennis Court</p>
REQUEST RECEIVED	<p>Matlock Bath Parish Council (MBPC) have requested an extension of their existing lease to the tennis area as they have less than 10 years remaining.</p> <p>If agreed with MBPC we are also recommending the extension of the adjoining lease of the Bowling Green which is under similar terms to the Tennis Court.</p>
DESCRIPTION/LOCATION	<p>The properties are located on the east side of South Parade and form part of Derwent Gardens.</p> <p>The Bowling Green is 0.1 Ha (0.29 acres) and the Tennis Court is 0.1 Ha (0.24 acres).</p>
OWNERSHIP	Freehold owned by Derbyshire Dales District Council under titles DY467081.
LEGAL COVENANTS RESTRICTIONS	TBC
PLANNING	TBC
MAINTENANCE	TBC
HEALTH & SAFETY/RISKS	TBC
CLIMATE CHANGE	There is no change in use of the site so no significant climate change impact.
OFFICER COMMENT	These sites are currently leased to Matlock Bath Parish Council and each is on a 21 year lease expiring 19 May 2031. Each area has been managed and maintained by MBPC for community use. The request for new leases

	<p>are to allow MBPC to apply for grants as the remaining term is not sufficient to qualify.</p> <p>There needs to be a right of way granted over the existing access between the two properties.</p>
<p>RECOMMENDATION</p>	<p>The sites to be granted new 25 year lease at peppercorn rent on both areas of land with similar terms to the existing leases and modernised to account for changes in legal requirements.</p> <p>As a CAT each party is to pay for their own legal and surveying expenses.</p>

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