



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 these Minutes please call Democratic Services on 01629 761133 or e-mail [committee@derbyshiredales.gov.uk](mailto:committee@derbyshiredales.gov.uk)

## **GOVERNANCE AND RESOURCES COMMITTEE**

**Minutes of a Meeting held on Thursday 9 January 2020 in the Council Chamber, Town Hall, Matlock at 6.00pm**

### **PRESENT**

Councillor Sue Bull - In the Chair

Councillors Jacqueline Allison, David Chapman, Tom Donnelly, Steve Flitter, Alyson Hill, Susan Hobson, David Hughes, Michele Morley, Garry Purdy, Mike Ratcliffe, Peter Slack, Colin Swindell and Mark Wakeman,

Paul Wilson (Corporate Director), Sandra Lamb (Head of Corporate Services), Karen Henriksen (Head of Resources), Tim Braund (Head of Regulatory Services), Jenny Williams (Internal Audit Consortium Manager), Deborah Unwin (Human Resources Manager), Jim Fearn (Communications and Marketing Manager) and Jackie Cullen (Committee Assistant).

Messrs Gavin Barker & John Pressley - Mazars LLP

### **APOLOGIES**

Apologies for absence were received from Councillors Paul Cruise and Claire Raw. There were no Substitute Members.

### **240/19 – MINUTES**

It was moved by Councillor Garry Purdy, seconded by Councillor Mike Ratcliffe and

#### **RESOLVED** (unanimously)

That the minutes of the meeting of the Governance and Finance Committee held on 5 September 2019 be approved as a correct record.

The Minutes were signed by the Chairman.

### **241/19 – INTERESTS**

Councillor David Chapman declared an indirect, non-pecuniary interest in Agenda Item 11 – REWARDS & RECOGNITION POLICY, as a member of his immediate family was employed by the Council.

## **242/19 – EXTERNAL AUDIT FEE LETTER FOR 2018/19**

Mr Gavin Barker from Mazars LLP, presented a report on an additional fee for external audit work for the financial year 2018/19, as set out in their letter, a copy of which was attached as Appendix 1 to the report for Members' attention. The reasons for the additional fee were explained in the letter. Mr Barker then invited and responded to questions from the floor.

It was moved by Councillor Garry Purdy, seconded by Councillor Mike Ratcliffe and

**RESOLVED** That the "Additional Fee Letter 2018/19" from the External Auditor be  
(unanimously) noted.

## **243/19 – EXTERNAL AUDIT STRATEGY MEMORANDUM**

Mr Gavin Barker gave a brief presentation on the external audit plan for the Council's 2019/20 accounts. A copy of the Memorandum was attached as Appendix 1 to the report for Members' attention. Mr Barker then invited and responded to questions from the floor.

It was moved by Councillor Susan Hobson, seconded by Councillor Mike Ratcliffe and

**RESOLVED** That the report be noted.  
(unanimously)

## **244/19 – INTERNAL AUDIT REPORTS CONCLUDED UNDER THE 2019/20 OPERATIONAL AUDIT PLAN**

The Committee was asked to consider the internal audit reports produced in respect of the 2019/2020 Internal Audit Plan as well as the progress made by management in implementing the agreed audit recommendations.

A summary of reports issued since this committee last considered a report for audits included in the 2019/2020 Internal Audit Plan was attached as Appendix 1 to the report, and showed for each report a summary of the level of assurance that could be given in respect of the audit area examined and the number of recommendations made/ agreed where a full response had been received. Such assurance gave an overall assessment in terms of the controls in place and the system's ability to meet its objectives and manage risk in accordance with the classifications shown in paragraph 2.4 of the report.

It was reported that 7 reports had been issued: 2 with a conclusion of "Substantial Assurance" and 5 with a conclusion of "Reasonable Assurance". 20 recommendations had been made and these were in the process of being implemented by management.

Appendix 2 to the report showed the current position at 17<sup>th</sup> December 2019 of internal audit recommendations made as a consequence of audit reviews. 30 recommendations had been satisfactorily implemented since the last report: 11 recommendations were in the process of being implemented and 22 recommendations had not passed their implementation date. The progress made on each recommendation was shown in the appendix.

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

**RESOLVED** That the report be approved.  
(unanimously)

## **245/19 – CIPFA FRAUD AND CORRUPTION TRACKER SURVEY 2019**

The Committee considered a report that provided the results of CIPFA's [Fraud and Corruption Tracker \(CFaCT\) survey](#) undertaken in 2019 that provided a picture of fraudulent activity in local government and that detailed the controls and procedures that the Council had in place to mitigate the risk of fraud. The results of the survey were attached as Appendix 1 to the report and the key findings were listed in paragraph 2.1 of the report.

The Council took the risk of fraud very seriously and had a range of measures in place to reduce the risk of fraud occurring, as set out in paragraph 2.3 of the report.

It was moved by Councillor Mike Ratcliffe seconded by Councillor Steve Flitter and

**RESOLVED** 1. That the results of CIPFA's Fraud and Corruption Tracker Survey  
(unanimously) be noted;  
2. That the fraud prevention measures that DDDC has in place be noted.

## **246/19 – FEES AND CHARGES FOR 2020/21**

The Committee considered the annual report on recommendations in respect of fees and charges in relation to Community and Environmental Services, Corporate Services and Regulatory Services.

It was proposed that the majority of fees and charges be increased with effect from 1<sup>st</sup> April 2020 by approximately 2%, with VAT applied, (current rate 20%) and rounded up or down as appropriate. Appendices 1 – 13 contained schedules of the existing and recommended charges and any proposals to freeze fees for 2020/21, or to increase them by significantly more than 2%, were explained in the report or the relevant appendix, as summarised below:

Appendix 1 - pest control and stray dog service

Appendix 2 - waste and recycling collections

Appendix 3 - cemeteries and burials;

Appendix 4 - farmers' markets and room hire at the Bakewell Agricultural Business Centre

Appendix 5 - Bakewell stall market and Matlock indoor market

Appendix 6 - parks and recreation grounds.

Appendix 7 - car parking permits, passes and season tickets

Appendix 8 - events

Appendix 9 - various streams of Corporate Services

Appendix 10 - food hygiene, private sector housing and private water supplies

Appendix 11 - licensing

Appendix 12 - services provided by our Estates and Facilities Team.

Appendix 13 - Planning Pre-application Advice.

A correction was made to p96 (Appendix 9 to the report) in respect of Leases and Renewals – column 3 should read '£367 plus £150 per hour after 5 hours'.

The Head of Regulatory Services advised that the charges in respect of Photocopying of Register for Food Premises (p.99, Appendix 10) should be deleted from the table as these were now available electronically and free of charge.

The Head of Regulatory Services advised that the charges in respect of Food Hygiene Courses and Photocopying of Register for Food Premises (p.99, Appendix 10 to the report) should be deleted from the table as these were now available electronically and free of charge.

It was moved by Councillor Tom Donnelly, seconded by Councillor Mark Wakeman and

**RESOLVED** That the fees and charges recommended in Appendices 1 – 13 to the  
(unanimously) report are approved and implemented with effect from 1 April 2020.

### **247/19 – REWARD AND RECOGNITION POLICY**

The Committee considered a report on the adoption of a new employment policy on Reward and Recognition, agreed as an action in the staff survey action plan approved in March 2017. The action was to engage with the Employee Group to draft the policy by summer 2019.

The Human Resources Manager had made an initial draft of a policy statement and detailed guidance, as set out in the report, part of which was a write-up of existing procedures and other sections were suggestions for new processes. The process was set out in the report, with the draft policy and guidance notes, attached as Appendix 1 to the report, considered at Joint Consultative Group on 15 October. No changes to the draft were proposed, thus Joint Consultative Group recommended that Governance and Resources Committee adopt this new employment policy.

It was moved by Councillor Garry Purdy, seconded by Councillor Jacqueline Allison and

**RESOLVED** That the new employment policy on Reward and Recognition is  
(unanimously) adopted.

### **248/19 – FAMILY FRIENDLY POLICY**

The Committee was asked to consider the adoption of a new employment policy on Family Friendly matters which included guidance on maternity, paternity, adoption and shared parental leave, agreed as an action in the Human Resources 2019/20 service plan.

The current situation was set out in the report, together with the Human Resources Manager's recommendation that in updating the maternity scheme, guidance on other family friendly matters should also be written up under the umbrella of a Family Friendly Policy.

The draft policy statement and guidance notes had been sent out to all staff for consultation in August and in September; the Corporate Leadership Team and the Employee Group both supported the new draft policy and the guidance notes. The Employee Group confirmed that there were other policies which might be of interest to staff with family commitments, but as these were open to staff without family commitments they would remain stand alone policies as set out in the report. The draft policy and guidance notes, attached as Appendix 1 to the report, were considered at Joint Consultative Group on 15 October and it was recommended that Governance and Resources Committee adopt this new employment policy.

It was moved by Councillor Michele Morley, seconded by Councillor David Hughes and

**RESOLVED** That the new Family Friendly employment policy is adopted.  
(unanimously)

#### **249/19 – AMENDMENT TO THE SCHEME OF DELEGATION**

This item had been included as an item of urgent business by the Chairman of the Committee in order to make a decision within prescribed timescales which could not wait until the next meeting of the Committee.

The Committee considered a recommendation to amend the Scheme of Delegation to include officers to be the signatory for pension benefits decisions and to adjudicate on appeals.

Under the rules of the Local Government Pension Scheme, administered by Derbyshire County Council, the Administrator needed to be notified of signatories to pension benefit decisions as well as the officer appointed as the Adjudicator to appeals against pension decisions taken by the employer. The Administrator has its own Adjudicator for appeals against their administration.

Delegated authority was sought for the Human Resources Manager to be the signatory for decisions on pension benefits taken by Corporate Leadership Team in accordance with the agreed discretions policy approved by the Committee. Delegated authority was also sought for the Head of Corporate Services to be the Adjudicator for appeals against employer pension benefit decisions. The Adjudicator's role was explained further in the report.

It was moved by Councillor Garry Purdy, seconded by Councillor Mike Ratcliffe and

**RESOLVED** 1. That the Human Resources Manager is delegated authority to  
(unanimously) act as the signatory for decisions on pension benefits within the agreed Pensions Discretionary Policy  
2. That the Head of Corporate Services is delegated authority to adjudicate on appeals against decisions on pensions benefits.

#### **250/19 – DERBYSHIRE DALES SAFEGUARDING POLICY – MEMBERS' UPDATE**

The committee considered an updating report on the Council's Revised Safeguarding Policy, approved at a meeting of this Committee on 11<sup>th</sup> July 2019, subject to retrospective amendment where necessary to ensure full compliance with safeguarding legislation, for which delegated authority was given to the Head of Community and Environmental Services, following consultation with Councillor Clare Raw.

Following detailed discussions with Councillor Raw, the revised Policy Document, which was now live and which may be accessed on the Council's website, was deemed to comply fully with current legislation. A copy was attached as Appendix 1 to the report and the key amendments were summarised in the body of the report.

A programme of training and raising awareness of safeguarding issues and the revised policy itself would be established for all Council employees and Elected Members.

It was moved by Councillor Peter Slack, seconded by Councillor Michele Morley and

**RESOLVED** That the Safeguarding Policy as amended is noted.  
(unanimously)

### **251/19 – PROPOSED LICENCE TO UNDERTAKE WORKS – UNIT 16 BLENHEIM ROAD, ASHBOURNE AIRFIELD INDUSTRIAL ESTATE**

The Committee considered a report that recommended entering into a short term licence to undertake necessary repair works on third party land, to enable the discharge of additional surface water from a section of road owned and maintained by the Council resulting from the proposed construction of Ashbourne Airfield Link Road. The unadopted section of Blenheim Road owned by the Council was shown edged in red and unshaded on the plan at Appendix.1 to the report. (The green shaded area showed the extent of the current adopted public highway). The areas required for works and a site compound were shown on the plan at Appendix 2 to the report, with the access land shaded yellow.

Derbyshire County Council had been out to tender on the Ashbourne Airfield Link Road scheme, that had identified a programme of remedial works to Blenheim Road. Subject to progress with the Ashbourne Airfield Link Road project and confirmation with partners of the proposed delivery programme, the timescale for undertaking the repairs would be determined, but it was anticipated that work would commence in the autumn this year.

The current situation was set out in paragraph 2.1 of the report and it was reported that in order to undertake the necessary works, the Council would need to enter into a licence agreement with the land owner on the basis of the provisionally agreed terms at paragraph 3 of the report.

It was moved by Councillor David Chapman, seconded by Councillor Tom Donnelly and

**RESOLVED** 1. That a short term licence is agreed and entered into at the appropriate time on the terms stated in paragraph 3 of the report.  
(unanimously) 2. That approval is given to undertake the works, funded through the approved Capital Programme contribution, and delegated authority given to officers to negotiate implementation as part of the construction contract to deliver Ashbourne Airfield Link Road when let.

### **252/19 – RISK MANAGEMENT – CHIEF EXECUTIVE’S ANNUAL REPORT**

The Committee considered the Chief Executive’s annual report on the Council’s Risk Management Policy and Strategy that described the Council’s risk management processes and working practices to ensure that risk management arrangements continued 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. The strategic risks were scored as high (red), medium (yellow) or low (green) within the report, together with the actions that were planned to mitigate or reduce the risks.

Risks were regularly reported to the Risk Continuity Group, which in turn reported quarterly to the Corporate Leadership Team, ensuing that risks, risk management etc. were challenged and reported effectively. The Council remained committed to ongoing risk

management activities, and key actions arising in the last twelve months were listed in paragraph 1.3 of the report.

Strategic Risks had been considered by relevant officers and were documented within the Strategic Risk Register. Those risks identified and reported to the Corporate Leadership team in October 2019 were illustrated in paragraph 1.4.1 of the report. Service managers and the Risk Continuity Group had identified that further mitigating actions were required in order to further mitigate strategic risks and reduce the Council's risk profile, as tabled in paragraph 1.5 of the report.

Further guidance on the Council's risk management processes and procedures was available in the [Risk Management Policy and Strategy](#) dated September 2018.

It was moved by Councillor Garry Purdy, seconded by Councillor Mark Wakeman and

**RESOLVED** That the report and risk management arrangements be approved.  
(unanimously)

### **253/19 – JOINT CONSULTATIVE GROUP: MINUTES OF 15 OCTOBER 2019**

It was moved by Councillor Tom Donnelly, seconded by Councillor Colin Swindell and

**RESOLVED** That the Minutes of the Joint Consultative Group held on Tuesday 15  
(unanimously) October 2019 be received.

**MEETING CLOSED – 7.27PM**

**CHAIRMAN**