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GOVERNANCE AND RESOURCES COMMITTEE

Minutes of a Meeting held on Thursday 28 February 2019 in the Council Chamber, Town Hall, Matlock at 6.00pm

PRESENT

Councillor Jacquie Stevens - In the Chair

Councillors Jason Atkin, Deborah Botham, Ann Elliott, Steve Flitter, Helen Froggatt, Chris Furness, Alyson Hill, Garry Purdy, Mike Ratcliffe, Lewis Rose OBE, Mark Salt, Colin Swindell and John Tibenham.

Paul Wilson (Chief Executive), Tim Braund (Head of Regulatory Services), Karen Henriksen (Head of Resources), Jenny Williams (Internal Audit Consortium Manager) and Jackie Cullen (Committee Assistant).

Messrs Gavin Barker and John Pressley from Mazars LLP.

1 member of the public.

APOLOGIES

Apologies for absence were received from Councillors Albert Catt, Tom Donnelly, Angus Jenkins, Jean Monks and Joanne Wild. Councillors Jason Atkin, Ann Elliott and Helen Froggatt attended as Substitute Members.

352/18 – MINUTES

It was moved by Councillor Jacquie Stevens, seconded by Councillor Mike Ratcliffe and

RESOLVED
(unanimously)

That the minutes of the meeting of the Governance and Resources Committee held on 17 January 2019 be approved as a correct record.

The Minutes were signed by the Chairman.

353/18 – CIPFA FRAUD AND CORRUPTION TRACKER SURVEY 2018

The Committee considered a report on the results of CIPFA's [Fraud and Corruption Tracker \(CFaCT\) survey](#) undertaken in 2018 that provided a picture of fraudulent activity in local

government: and that detailed the controls and procedures that DDDC had in place to mitigate the risk of fraud.

It was moved by Councillor Mike Ratcliffe, seconded by Councillor Lewis Rose and

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

354/18 – INTERNAL AUDIT OPERATIONAL PLAN 2019/20

The Committee was asked to agree the Internal Audit Operational Plan for 2019/20 which outlined the assignments and estimated resources needed during the year.

A key requirement of the Public Sector Internal Audit Standards was for periodic risk based plans to be prepared that should be sufficiently flexible to reflect the changing risks and priorities of the organisation, to be reviewed every year.

A note explaining the role, purpose and some of the terminology used in the internal audit plan was attached at Appendix 1 to the report.

A summary of the internal audit plan for 2019/20 was tabled in the report, with the detailed plan attached as Appendix 2 to the report, along with the actual and indicative audit coverage 2017/18 – 21/22. The plans for 2020/2022 were indicative only and could well change in order to meet the priorities of the Council.

An annual report summarising the outcome of the 2018/19 internal audit plan would be presented to this Committee after the year-end

It was moved by Councillor Lewis Rose, seconded by Councillor Steve Flitter and

- RESOLVED** (unanimously) That the internal audit plan for 2019/20 is agreed.

355/18 – INTERNAL AUDIT REPORTS CONCLUDED UNDER THE 2018/2019 OPERATIONAL AUDIT PLAN

The Committee was asked to consider the internal audit reports produced in respect of the 2018/2019 Internal Audit Plan, as approved by the Chair and Vice Chair of the Governance and Resources Committee on 1st March 2018, and also to consider the progress made by management in implementing the agreed audit recommendations.

A summary of reports issued for audits included in the 2018/2019 Internal Audit Plan was attached as Appendix 1 to the report. This 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. The 'Overall Opinion' column in Appendix 1 to the report gave an overall assessment of the assurance that could be given in terms of the controls in place and the system's ability to meet its objectives and manage risk in accordance with the classifications tabled in the report.

Five reports had been issued: 2 with a conclusion of “Substantial Assurance” and 3 with a conclusion of “Reasonable Assurance”. 15 recommendations had been made and these were in the process of being implemented by management.

Attached at Appendix 2 to the report was the current position at 1st February 2019, of internal audit recommendations made as a consequence of audit reviews. 30 recommendations had been satisfactorily implemented since the last report; 6 were in the process of being implemented and 4 had not passed their implementation date.

It was reported that no issues of fraud had been identified.

It was moved by Councillor Lewis Rose E, seconded by Councillor Mike Ratcliffe and

RESOLVED That the report is approved.
(unanimously)

356/18 – EXTERNAL AUDIT STRATEGY MEMORANDUM

The Committee considered a report relating to the external audit plan for the 2018/19 accounts.

Messrs Gavin Barker (Director) and John Pressley from Mazars LLP, the Council’s external auditor, presented their Audit Strategy Memorandum for the 2018/19 accounts. A copy of the Memorandum was attached as Appendix 1 to the report for Members’ attention, and Mr Barker summarised the key areas of Mazars’ responsibilities. Messrs Barker and Pressley then took questions from the floor.

The Chairman thanked Messrs Barker and Pressley for their informative presentation.

It was moved by Councillor Lewis Rose OBE, seconded by Councillor Steve Flitter and

RESOLVED That the report be welcomed and noted.
(unanimously)

The Chairman then varied the order of the Agenda, bringing forward Agenda Item 14 as the next item.

357/18 – REFERRED ITEM

The Committee considered a recommendation from the Joint Consultative Group meeting held on 14 February 2019 to adopt the Derbyshire Dales District Council Safety Policy 2019.

The relevant minute of the Joint Consultative Committee was reproduced in full in the report, wherein it was moved by Councillor Lewis Rose seconded by Councillor Jean Monks and

AGREED That the Governance and Resources Committee be recommended
(unanimously) to adopt the updated Safety Policy for Derbyshire Dales District Council.

It was moved by Councillor Steve Flitter, seconded by Councillor Lewis Rose OBE and

RESOLVED That the recommendation from the Joint Consultative Group to adopt
(unanimously) the Derbyshire Dales District Council Safety Policy 2019 be approved.

358/18 – REVENUE BUDGET MONITORING FOR QUARTER 3 2018/19

The Committee considered a report that summarised the Council's forecast outturn position as at the end of December 2018.

The Council's revised total revenue budget of £9,503,000 was set in December 2018. The full year forecast to March 2019 based on quarter 3 (December 2018) indicated an underspend of £172,000 as tabled in paragraph 1.1 of the report. The major variances from revised budgets were explained within the report, and other smaller variances currently offset each other. As the Council had conducted an exercise to revise the revenue budget mid-year, the previously identified variances had been reflected in the current budget and so did not appear in this report.

It was moved by Councillor Lewis Rose, seconded by Councillor Jason Atkin and

RESOLVED That the identified variances and current overall forecast position are
(unanimously) noted.

359/18 – CUSTOMER INNOVATION PROJECT

The Committee considered a report from the Customer Innovation Hub which recommended the allocation of resources from the capital programme to enable the procurement of a Customer Relationship Management system and associated technology, plus the investment into temporary human resources (a Transformation Team) to successfully deliver the project.

The work of the Customer Innovation Hub was first reported to the Committee in November 2018. Its aims, objectives and structure were set out in the report together with the review methodology relating to the system.

A customer consultation exercise ran for a period of 6 weeks to gauge opinion on the current service and areas for improvement. The results of that survey were summarised in the report and had been used in drawing conclusions and in formulating recommendations.

It was acknowledged that whilst the survey group included a high percentage of customers who were 'Internet ready' the Council needed to continue with its multiple channel approach to service delivery so as not to exclude customers from service improvement, entailing the development of a Customer Access Strategy, to include a set of standards, guidelines and processes to describe how the Council interact with customers and be able to measure its performance in doing so.

The conclusions set out in the report were translated into an action plan, as shown in Appendix 3 to the report.

It was moved by Councillor Lewis Rose, seconded by Councillor Mike Ratcliffe and

RESOLVED
(unanimously)

1. That the action plan set out in Appendix 3 to the report is approved.
2. That Council is recommended to include the sum of £183,600 in the Capital Programme to enable the procurement of a Customer Relationship Management system and associated technology as outlined in section 6 of the report, to be funded from the ICT Reserve.
3. That procurement of the CRM platform and associated systems proceeds through the framework route as outlined in the report.
4. That a Transformation Team is created on a 3 year temporary contract, to deliver the project focussing initially on waste and car parking services as priority one.
5. That Council is recommended to include in the revenue budget for 2019/20 and in the Medium Term Financial Plan the estimated revenue costs of establishing and training the team as set out in section 7 of the report, to be funded from the Customer Innovation Reserve.
6. That a report is presented to the Committee at 6 monthly intervals to report on the projects deliverables.
7. That members of the Hub are thanked for their enthusiastic input to the project.

360/18 – INDUCTION PLAN FOR NEW COUNCIL OF 2019

The Committee considered a report that set out the elected Member Induction Plan for the first six months of the new Council of 2019, including Induction Day, which would assist Councillors to understand the structure and procedures of the Council.

In July 2018 the Committee received the Member Development Working Group's suggested draft Induction plan which had subsequently been firmed up and was submitted for final approval. Procurement exercises had been undertaken to ensure value for money and dates had been agreed as set out in the plan attached to the report.

The Working Group was particularly keen that the induction should not just be seen as an 'event' but a 'process', with initiatives incorporated as set out in the report, together with some of the key aspects of the Programme. Members were invited to submit their thoughts and ideas for inclusion in the Plan.

It was moved by Councillor Alyson Hill, seconded by Councillor Helen Froggatt and

RESOLVED
(unanimously)

That the elected Member Induction Training and Development Plan is approved.

361/18 – ARREARS FOR WRITE OFF

The Committee considered a report that provided information about debtor write offs authorised by the Head of Resources under delegated authority and that sought approval for the write off of individual debts exceeding £1,500 in accordance with regulation B7(a) of the Council's Financial Regulations. The amounts recommended for write-off were attached as Appendix 1 to the report, and were summarised in the body of the report.

Under the scheme of officer delegation the Head of Resources also had authority to write off any arrears that had been caused by an officer error.

It was reported that the debts detailed in the report had been pursued through all appropriate methods of recovery open to the Council and it was considered that any further action towards recovering the debts proposed for write off would be likely to incur additional expenses to the Council without the prospect of payment. It was noted that any debt would be reinstated where further information subsequently came to light that allowed further recovery action to be pursued.

CIPFA recommended that it was good practice to identify debts that were unlikely to be paid and to account for them in the accounts as soon as possible.

It was moved by Councillor Chris Furness, seconded by Councillor Jason Atkin and

RESOLVED That the individual amounts exceeding £1,500 listed in Appendix 1 to
(unanimously) the report totalling £30,075.75 be written off.

362/18 – JOINT CONSULTATIVE GROUP: MINUTES OF 8 NOVEMBER 2018 AND 14 FEBRUARY 2019

It was moved by Councillor Lewis Rose OBE, seconded by Councillor Steve Flitter and

RESOLVED That the minutes of the Joint Consultative Group meetings held on 8
(unanimously) November 2018 and 14 February 2019 be received.

MEETING CLOSED – 7.07PM

CHAIRMAN