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Tuesday, 13 September 2022

To All Councillors:

As a Member or Substitute of the **Governance & Resources Committee Committee**, please treat this as your summons to attend a meeting on **Thursday, 22 September 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.

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AGENDA

1. APOLOGIES FOR ABSENCE

Please advise the Democratic Services Team on 01629 761133 or email committee@derbyshiredales.gov.uk of any apologies for absence.

2. APPROVAL OF MINUTES OF PREVIOUS MEETING (Pages 3 - 10)

14 July 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. RISK MANAGEMENT - ANNUAL REPORT 2021/22 (Pages 11 - 26)

The Council's Risk Management Policy and Strategy requires the Chief Executive to report to Members, by way of annual report, on the Council's risk management arrangements and how key strategic risks are being managed. This report describes the Council's risk management processes and working practices, which ensure that risk management arrangements continue to be effective, timely and fit for purpose, providing the Council with the correct levels of insight and support in relation to its risk exposure.

6. EQUALITY, CONSULTATION AND ENGAGEMENT PLAN 2022-2024 (Pages 27 - 94)

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. This report provides an update on progress against the actions set out in the Equality, Consultation and Engagement Plan 2020-22. This report also seeks approval for the Equality, Consultation and Engagement Plan for 2022-24.

7. COMPLAINTS ANNUAL REPORT 2021-22 (Pages 95 - 108)

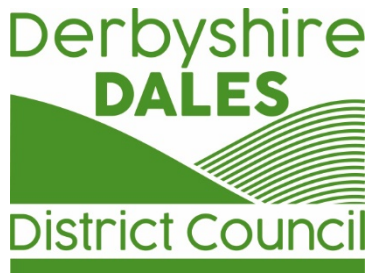
This report provides information on formal complaints made under the District Council's internal Complaints Procedures; those referred to the Local Government Ombudsman, and against individual elected member behaviour at town, parish and District Council level.

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

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committee@derbyshiredales.gov.uk

Governance & Resources

Minutes of a Governance & Resources meeting held at 6.00 pm on Thursday, 14th July, 2022 in the Council Chamber, Town Hall, Matlock, DE4 3NN.

PRESENT Councillor Tom Donnelly - In the Chair

Councillors: Sue Bull, Alyson Hill, Stuart Lees, Dermot Murphy, Garry Purdy, Alasdair Sutton, Robert Archer, Paul Cruise, Steve Flitter, Neil Buttle and Claire Raw

Present as Substitute(s) Councillors: Jason Atkin and Mark Wakeman

Paul Wilson (Chief Executive), James McLaughlin (Director of Corporate and Customer Services (Monitoring Officer)), Karen Henriksen (Director of Resources), Tim Braund (Director of Regulatory Services), Jenny Williams (Head of the Internal Audit Consortium), Vikki Hatfield (Neighbourhoods Manager), Tommy Shaw (Democratic Services Team Leader), Lucy Harrison (Democratic Services Assistant), John Pressley (Audit Manager, Mazars) and James Sutton (Audit Assistant Manager, Mazars)

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, Helen Froggatt, Susan Hobson, Mike Ratcliffe and Colin Swindell

59/22 - APPROVAL OF MINUTES OF PREVIOUS MEETING

It was moved by Councillor Jason Atkin, Seconded by Councillor David Hughes and

RESOLVED (Unanimously)

That the minutes of the meeting of the Governance and Resources Committee held on 17 March 2022 be approved as a correct record.

The Chairman declared the motion **CARRIED**.

60/22 - PUBLIC PARTICIPATION

Item 5 – Starkholmes Allotments

In accordance with the procedure for public participation, Ms Barbara Marriott, Ms Mary Derrick and Councillor David Hughes spoke regarding the compulsory purchase of Starkholmes Allotments. Ms Sharon Shirley presented a short video which supported the compulsory purchase of Starkholmes Allotments.

Councillor Claire Raw entered the meeting at 6:08PM.

61/22 - INTERESTS

Item 5 – Starkholmes Allotments

Councillor Mark Wakeman declared a personal interest in Item 5 due to having a business relationship with the owner of the allotment land. Councillors Paul Cruise and Steve Flitter also declared personal interests in Item 5 due to both being Members of Matlock Town Council.

62/22 - STARKHOLMES ALLOTMENTS

Councillor Mark Wakeman left the meeting at 6:18pm due to having previously declared a personal interest in this Item.

The Director of Regulatory Services introduced a report which updated the Committee on the work that had been undertaken in relation to Starkholmes Allotments, following the request from Starkholmes Allotment Association to proceed with compulsory purchase action. The report explained the roles and responsibilities of the District Council and of Matlock Town Council and set out the ways in which those two organisations had worked together on this issue. A number of recommendations were also made in relation to land adjacent to the Allotment site, which had been proposed to be transferred to Matlock Town Council, but which had been paused following consideration at an earlier meeting of this Committee.

Councillor Garry Purdy moved the Officer recommendations with an amendment to recommendation 3 to read as below:

3. That Council be requested to approve a supplementary revenue budget of £15,000 in 2022/23 for the costs associated with defending that Asset of Community Value decision, to be financed from the General Reserve. Should any additional funds be required above the proposed £15,000, this would return to Members for approval.

It was also proposed that an additional fifth recommendation be included as set out below:

5. That an additional sum of £5,000 be gifted to the Allotment Society to support their fundraising efforts.

The proposed motion was seconded by Councillor Jason Atkin and

RESOLVED

1. That the work undertaken to support Matlock Town Council in relation to *compulsory hire of the allotment site be noted.*
2. That the work undertaken to defend the appeal against the Asset of Community Value listing be noted.
3. That Council be requested to approve a supplementary revenue budget of £15,000 in 2022/23 for the costs associated with defending that Asset of Community Value decision, to be financed from the General Reserve. Should any additional funds be required above the proposed £15,000, this would return to Members for approval.
4. That work to undertake a community asset transfer of the site adjacent to the Starkholmes Allotments be recommenced.
5. That an additional sum of £5,000 be gifted to the Allotment Society to support their fundraising efforts.

Voting

12 For
0 Against
1 Abstentions

The Chairman declared the motion **CARRIED**.

Councillor Mark Wakeman re-entered the meeting at 6:43pm.

63/22 - REVIEW OF CAR PARKING POLICY

The Neighbourhoods Manager introduced a report which proposed a review of the Council's current car parking policy and sought Member agreement for the scope and timescale for a review to be undertaken. The report also proposed the establishment of a sub-group of Elected Members to monitor progress within established terms of reference.

The Council's current Car Parking Policy was last fundamentally reviewed in 2012/13 with changes introduced in January 2014. At the request of the Leader of the Council, a review of the current car parking policy was proposed to be undertaken in response to public concerns about specific aspects of the current policy.

The report informed Members of the significant revenue funding gathered via the Council's car parking service and therefore its critical importance to the Council's revenue budget and the delivery of high quality services to the residents, businesses and visitors of the Derbyshire Dales. The report also details the car parking revenue during 2021/22, which amounted to just under £2.5 million and represented almost 42% of the Council's total revenue income from fees and charges. By way of comparison, if the Council did not secure this level of income from car parking charges in 2022/23, the District Council's share of the Council Tax across the District would have to rise by over 36% to replace lost income. The report informed the Committee that this would not be possible as the level of council tax

increase is subject to the government's capping limits. It was therefore noted that maintaining the recent level of car parking revenue would be critical to the sustainability of the Council's future financial position and that any recommendations arising from the review must not undermine this critical income source unless compensatory savings/income streams could be identified.

It was moved by Councillor Garry Purdy, seconded by Councillor Sue Bull and

RESOLVED (Unanimously)

1. That a review of the Council's Car Parking Policy be undertaken in accordance with the terms of reference outlined at Section 2 of the report.
2. That a Member Working Group comprising of up to five Members representing each political group is formulated to monitor progress and to work with officers on options for consideration of the relevant decision making body.
3. That once completed, the review of the Car Parking Policy be reported to a future meeting of this Committee for target implementation by Autumn 2023.

The Chairman declared the motion **CARRIED**.

64/22 - EXTERNAL AUDIT STRATEGY MEMORANDUM FOR THE FINANCIAL YEAR ENDING 31 MARCH 2022

The Director of Resources introduced a report which provided information about the external audit plan for the 2021/22 accounts. The Council's external auditor, Mazars LLP, provided an Audit Strategy Memorandum for the financial accounts for the year ending 31 March 2022. The purpose of this document was to summarise the audit approach, highlight significant audit risks and areas of key judgements and provide the committee with the details of the audit team. The external auditor requested that the Memorandum be brought to Members' attention.

The audit scope, approach and timeline was set out at Appendix 1 of the report. It could be seen from this that the intention was for the audit to be completed in time for a report on the outcome to be presented to the November meeting of this Committee

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

RESOLVED (Unanimously)

1. That the External Audit Strategy Memorandum for the year ending 31 March 2022 be noted.
2. That Council be requested to approve a supplementary revenue estimate of £6,002 for 2022/23 in respect of the additional audit fee for work on the 2021/22 financial statements, to be financed from the General Reserve.

The Chairman declared the motion **CARRIED**.

65/22 - INTERNAL AUDIT REPORT 2021/22

The Head of the Internal Audit Consortium introduced a report which presented a summary of the internal audit work undertaken during 2021/22 from which the opinion on governance, risk and internal control is derived. The report also provided an opinion on the overall adequacy and effectiveness of the Council's governance, risk and control arrangements including any qualifications to that opinion.

The 2021/22 Operational Audit Plan was originally approved by this Committee on the 11th March 2021. In November 2021 the Committee approved a revised plan with a reduced number of days. The number of audit days were reduced due to a failure to recruit a Senior Auditor and the continued redeployment of the current Senior Auditor to business grants work. Subsequently an Auditor was appointed. For operational reasons a few of the areas in the revised plan were supplemented by alternative areas.

Throughout 2021/22 the Senior Internal Audit continued to have a large involvement in Business Grants, this had a detrimental impact on the completion of the Operational Audit Plan. In order to be able to complete sufficient work to be able to provide an unlimited opinion, work on the 21/22 plan continued into June 2022. The Committee were informed that this was predicted to have a knock on effect on completion of the 2022/23 approved plan.

It was moved by Councillor Steve Flitter, seconded by Councillor Mark Wakeman and

RESOLVED (Unanimously)

That the Internal Audit Annual Report for 2021/22 be accepted.

The Chairman declared the motion **CARRIED**.

66/22 - PROGRESS UPDATE ON THE 2021/2022 INTERNAL AUDIT PLAN

The Head of the Internal Audit Consortium introduced a report which informed Members of a progress update in respect of the 2021/2022 Internal Audit Plan. The report included a summary of internal audit reports issued since the last meeting of this Committee.

As mentioned in the previous report, the 2021/22 Operational Audit Plan was originally approved by this Committee on the 11th March 2021. In November 2021 the Committee approved a revised plan with a reduced number of days. The plan provided a framework by which service functions would be reviewed to test and report on the adequacy and effectiveness of risk management systems and the internal control environment within the Council. The report detailed the results of the internal audit reviews undertaken since the last meeting. The internal audit annual report provided an update in terms of internal audit resource and progress on the revised plan.

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

RESOLVED (Unanimously)

That the report be noted.

The Chairman declared the motion **CARRIED**.

67/22 - ANNUAL GOVERNANCE STATEMENT 2021/22

The Director of Resources introduced a report detailing the Annual Governance Statement, which provided Members with an overview of how the Council's governance arrangements operated.

Governance comprises the systems and processes, culture and values by which the Council is directed and controlled, and through which it is accountable to, engages with and leads the community. The report covered the annual review to ensure that governance arrangements remain effective. The report showed the extent to which the Council had complied with its own code of governance and described significant governance issues, alongside an explanation of what actions had been taken to bring about required improvements, and what work was still to be done. This provided transparency and gave assurance of the Council's commitment to continuously improve the way in which it functions.

It was moved by Councillor Jason Atkin, seconded by Councillor Sue Bull and

RESOLVED (Unanimously)

1. That the Annual Governance Statement for 2021/22 be approved.
2. That the significant governance issues, and the action plan to address them, be noted.

The Chairman declared the motion **CARRIED**.

68/22 - STATEMENT OF ACCOUNTS 2021/22 - APPROVAL OF ACCOUNTING POLICIES

Councillor Claire Raw left the meeting at 7:37pm.

The Director of Resources introduced a report which sought Member approval of the Accounting Policies used within Derbyshire Dales District Council's Statement of Accounts 2021/22 and highlighted any changes from last year. Members were informed that the Council must publish its draft Statement of Accounts 2021/22 by the 31st July 2022.

The report presented the accounting policies that the Council would apply in the preparation of the Statement of Accounts for 2021/22. Members were informed that Officers had assessed the accounting policies deemed necessary to explain clearly and underpin the accounting treatment of transactions within the Council's Statement of Accounts for 2021/22.

With specific regard to the accounting policies proposed in respect of 2021/22, these were largely unchanged from previous years. However, it was proposed to amend the rolling revaluation programme for fixed assets from every 5 years, which is the minimum requirement, to every 3 years. It was expected that this amendment would improve the accuracy of the fixed asset valuations held within the Balance Sheet, whilst also reducing the impact of that the annual impairment review.

It was also noted that as the Statement of Accounts for 2021/22 is prepared, it may be necessary to amend a policy in order to adopt a more appropriate accounting policy. If this

were to occur, the change and the reason for the change would be reported back to this Committee at its next available meeting and / or would be highlighted within the report when the Statement of Accounts is presented to Members for approval.

It was moved by Councillor Garry Purdy, seconded by Councillor Jason Atkin and

RESOLVED (Unanimously)

That the 2021/22 Accounting Policies be approved for use within the Statement of Accounts.

The Chairman declared the motion **CARRIED**.

69/22 - DISTRICT COUNCIL'S ASSET LIST

The Director of Regulatory Services introduced a report which updated Members on the progress made in updating the District Council's official list of assets.

At its meeting on 14 December 2020, Council considered a report that provided information on the methodology and outcome of an independent review of assets. It had become clear during this review that the Council official asset list was not up-to-date. Council therefore resolved that the asset list should be reviewed annually and presented to this Committee for review.

In order to address this issue an officer working group was formed, with the purpose of updating this list. It became clear that there were in fact three separate lists of assets, these lists were maintained separately, for different purposes and appeared not to have been reconciled for some time. The group considered that the most appropriate way to begin to address these issues was to examine the assets held in specific geographical areas of the district, to check each record, complete any necessary legal paperwork and to then update the lists.

Because of the concerns that had previously been raised by Tansley Parish Council, it was agreed that asset records relating to Tansley would be examined first. Through working in this way, it was the aim of the group that the three separate asset lists could be rationalised into one central list, which would be held in the Uniform database and mapped on GIS. The report detailed the work completed regarding several identified sites in Tansley and the records of five public conveniences which required updating.

It was moved by Councillor Jason Atkin, seconded by Councillor Sue Bull and

RESOLVED (Unanimously)

That the report be noted.

The Chairman declared the motion **CARRIED**.

70/22 - ANNUAL REPORT ON THE REGULATION OF INVESTIGATORY POWERS ACT (RIPA)

The Director of Corporate and Customer Services introduced the annual report on the Council's use of RIPA and any related matters.

The Regulation of Investigatory Powers Act 2000 (RIPA) was put in place to ensure that the use of investigatory powers by certain organisations complies with the UK's obligations under the European Convention on Human Rights (ECHR) including Article 8 (the right to privacy). The proper authorisation of certain covert surveillance powers under RIPA ensures that the Council is acting in accordance with such human rights. The purpose of this annual report was to set out the level and nature of the Council's use of covert surveillance under RIPA.

The District Council's RIPA Policy was approved by Council in January 2020. It clearly explained the type of surveillance the Council could and could not undertake and also explained those limited circumstances where covert surveillance, requiring external authorization, may be appropriate. It was noted in the report that the policy ensured compliance with the regulatory framework for the use of covert investigatory techniques by officers, as set out in the Regulation of Investigatory Powers Act 2000 and RIPA (Directed Surveillance and Covert Human Intelligence Sources CHIS) Order 2010 (and as amended 2012).

The Committee were informed that the Council had not used its RIPA surveillance powers during the 2021/22 financial year and the Council's RIPA Authorising Officers had not approved the use of covert surveillance techniques in any cases. The last time such powers were used dates back to 2014.

It was moved by Councillor Sue Bull, seconded by Councillor Mark Wakeman and

RESOLVED (Unanimously)

1. That the report be noted.
2. That the procedure for the use of corporate social media accounts to access information be endorsed and included in the RIPA Policy.

The Chairman declared the motion **CARRIED**.

Meeting Closed: 7.46 pm

Chairman



OPEN REPORT GOVERNANCE AND RESOURCES COMMITTEE

Governance and Resources Committee - 22 September 2022

Risk Management – Annual Report 2021/22

Report of the Director of Resources

Report Author and Contact Details

Karen Henriksen, Director of Resources
01629 761284 or karen.henriksen@derbyshiredales.gov.uk

Wards Affected

District Wide

Report Summary

The Council's Risk Management Policy and Strategy requires the Chief Executive to report to Members, by way of an annual report, on the Council's risk management arrangements and how key strategic risks are being managed.

This report describes the Council's risk management processes and working practices, which ensure that risk management arrangements continue to be effective, timely and fit for purpose, providing the Council with the correct levels of insight and support in relation to its risk exposure.

Recommendation

1. That the annual report and risk management arrangements be approved.

List of Appendices

Appendix 1 Strategic Risk Register: Mitigating Actions
Appendix 2 Internal Audit Review Recommendations

Background Papers

None

Consideration of report by Council or other committee

Not applicable

Council Approval Required

No

Exempt from Press or Public

No

Risk Management Annual Report 2021/22

1. Background

- 1.1 The Council's Risk Management Policy and Strategy, approved by this Committee in March 2021, requires the Chief Executive to report to Members, by way of an annual report on the Council's Risk Management arrangements and how key strategic risks are being managed.
- 1.2 This report describes the current risk management processes and working practices, which have been developed to ensure they continue to provide the Council with the correct levels of insight and support in relation to its risk exposure. The report illustrates the strategic risks and scores them as high (red), medium (yellow) or low (green). The report also shows the actions that are planned to mitigate or reduce the risks.
- 1.3 The Council operates a risk management programme whereby risks associated with the Corporate Plan, its key strategic objectives and individual Service Plan Key Actions are formally assessed.

The Council identifies risks at two levels:

- Strategic Risks: These are the risks that will significantly impact the Council in the delivery of its Strategic Objectives and Corporate Plan; and
 - Operational (Service) Risks: These are the risks which will impact on the delivery of each service at an operational level. Managing these risks will assist each Head of Service in the delivery of their Service Plan objectives and key actions.
- 1.4 Relevant individuals (the Risk Management & Continuity Group or RCG) meet on a quarterly basis to discuss the risks facing the Council and the delivery of its objectives. Those risks highlighted during these sessions are analysed and prioritised and further actions identified. These are captured within the Operational and Strategic Risk Registers.
 - 1.5 An essential part of the process involves ensuring all risks have clear ownership. Service Managers are required to identify the key internal controls for each risk they are responsible for and to identify mitigating controls. The risk management methodology provides guidance for risks to be scored, enabling officers to report risks which may prevent them from achieving their required aims.
 - 1.6 Risks are regularly reported to the Risk Continuity Group, which in turn reports quarterly to the Corporate Leadership Team, ensuring that risks, risk management etc. are challenged and reported effectively.
 - 1.7 Further guidance on the Council's risk management processes and procedures can be found in the [Risk Management Policy and Strategy](#).

2. Key Issues for 2021/22

2.1 The Council remains committed to ongoing risk management activities. Risk management practices and procedures are well embedded. The Risk Continuity Group continues to be well attended. Key actions arising since the last annual report include:

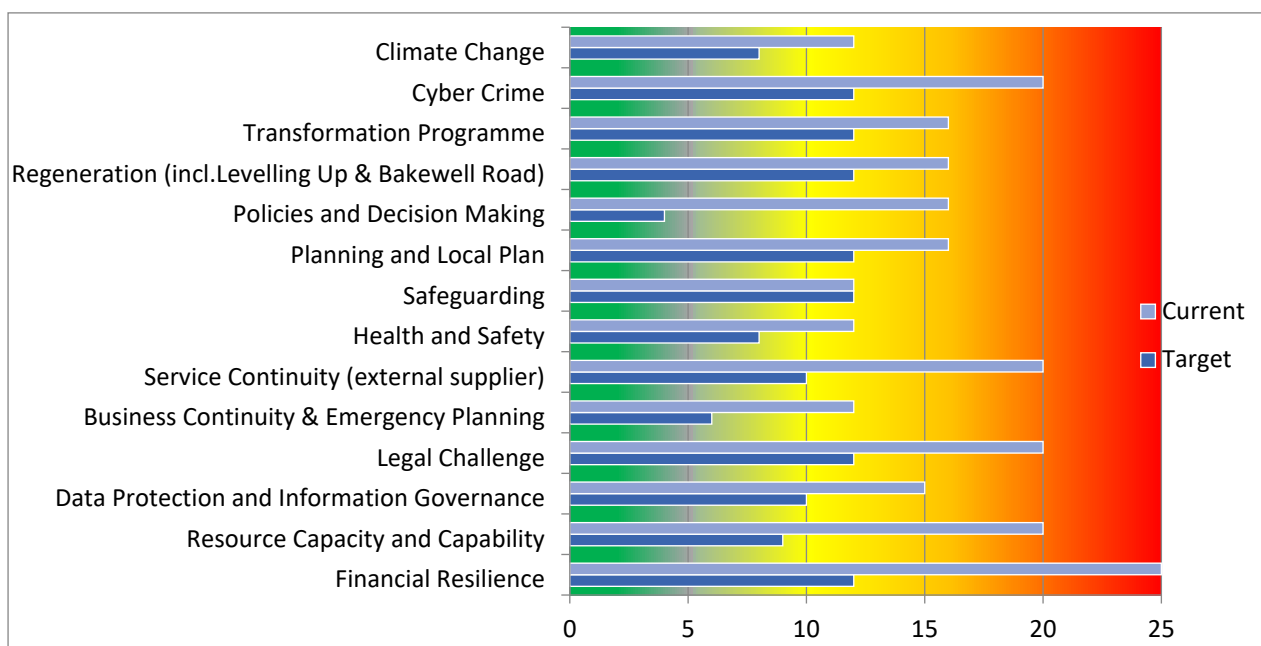
- Regular reviews of the strategic risk register
- Regular discussions relating to risks arising from events being held in the District
- Discussion relating to changes to the Emergency Plan
- Review of terms of reference and membership of group
- Preparation of the draft annual report
- Discussions relating to cyber security risks, protection against attacks, recovery in the event of an attack, prioritisation for the reinstatement of systems, arrangements for business continuity in the event of a cyber incident and the difficulty in obtaining cyber security insurance
- Discussing the outcome of the internal audit review of risk management arrangements (see next paragraph).

2.2 Internal Audit Review: An internal audit review of risk management arrangements was undertaken in 2022. The overall conclusion of the internal audit review was that the reliability of the internal controls operating in respect of risk management was assessed as **Reasonable**. (Reasonable is defined as *“the majority of controls are in place and operating effectively, although some control improvements are required. The system should achieve its objectives. Risks are generally well managed”*). However, five recommendations were agreed (3 low risk and 2 medium risks) and the RCG will oversee the implementation by the end of the financial year. Details of the recommendations are set out in Appendix 2.

2.3 Risk Assessments: Strategic Risks are considered by relevant officers and documented within the Strategic Risk Register. Those risks identified and scored by the RCG at the meeting in June 2022 are set out in Chart 1 below.

The chart shows that the Council currently has 14 risks on its strategic risk register. It also shows that the five highest scoring risks are currently Financial Resilience (score of 25), followed by Cyber Crime, Service Continuity (External Supplier), Legal Challenge and Resource Capacity / Capability (all scored 20).

Chart 1: Strategic Risk Scores (June 2022)



2.4 A comparison of current risks with the chart shown in last year’s report shows a worsening overall situation, as illustrated in table 1 below.

Table 1: Change in risk levels 2021 to 2022

Level of Risk	Rating	Number of risks at each level April 2021	Number of risks at each level June 2022	Change
Low	1 - 4	0	0	-
Medium	5 - 16	11	9	↓
High	17 - 25	3	5	↑

The table shows that two strategic risks have been moved from medium risk to high risk in 2022.

The strategic risks for “Legal Challenge” and “Service Continuity (External Supplier)” have been increased from “medium” to “high”.

2.5 Strategic Risk Action Plan: Service managers and the Risk Continuity Group have identified that actions are required in order to further mitigate strategic risks, moving risk scores closer to targets, and to reduce the Council’s risk profile. These mitigating actions are shown in Appendix 1.

3. Recommended Proposal

3.1 It is recommended that the annual report and risk management arrangements be approved.

4. Consultation

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

5. Timetable for Implementation

- 5.1 Further mitigating actions (shown in Appendix 1) will be implemented as soon as practicable.
- 5.2 The recommendations arising from the Internal Audit Review (shown in Appendix 2) are all expected to be implemented by March 2023.

6. Policy Implications

- 6.1 This report links to the Council's [Risk Management Policy and Strategy](#) and addresses the requirement for an annual report on risk management activities to be presented to the Committee.
- 6.2 Effective Risk Management provisions enable significant risks to be identified, mitigated and monitored thus contributing to the provision of all services and priorities.

7. Financial and Resource Implications

- 7.1 The cost of insurance cover and other mitigating actions is contained within existing budgets. The financial risk of this report's recommendations is assessed as low.

8. Legal Advice and Implications

- 8.1 The report documents an effective system of risk management, which aims to identify, control and mitigate risk. Whilst not all risks can be mitigated, the measures currently in place provide for low legal risk.

9. Equalities Implications

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

10. Climate Change Implications

- 10.1 There are no direct implications for CO2 Emissions and Climate Change arising from this report.
- 10.2 Climate change risks are assessed and monitored on the strategic risk register. More detailed operational risk assessments for specific climate change projects, such as the Public Sector Decarbonisation Scheme, are held in the regulatory services department.

11. Risk Management

- 11.1 The whole of this report addresses the Council's [Risk Management Policy and Strategy](#), which is designed to ensure that risk management arrangements continue to be effective, timely and fit for purpose and to provide the Council with the correct levels of insight and support in relation to its risk exposure.
- 11.2 Risk management can help ensure that potential barriers to the delivery of its priorities and services are identified and addressed in advance. It can help to direct resources to areas of most need, including areas of innovation and efficiency.

Report Authorisation

Approvals obtained from:-

	Named Officer	Date
Chief Executive	Paul Wilson	05/09/2022
Director of Resources/ S.151 Officer (or Financial Services Manager)	Karen Henriksen	22/08/2022
Monitoring Officer (or Legal Services Manager)	James McLaughlin	31/08/2022

Strategic Risk Register: Mitigating Actions

Strategic Risk	Mitigating Actions Identified
<p>Financial Resilience</p> <p>Current Score 25</p> <p>Target Score 12</p>	<ul style="list-style-type: none"> • The Council's Medium Term Financial Plan that sets out the approach to achieving the savings that will be required from 2023/24 onwards was approved by Council in March 2022. • Final Local Government Finance Settlement received February 2022 and the impact on Budget for 2022/23 has been assessed. The settlement for 2022/23 was an improvement on the assumptions made in the MTFP but funding position for 2023/24 onwards is still unclear. • Clearer picture on outlook expected when government announces details of 75% rate retention and the results of the Fair Funding Review, hopefully in autumn 2022. • Assess high value contracts to identify possible levels of exposure to increased expenditure due to rising inflation.
<p>Resource: Capacity and Capability</p> <p>Current Score 20</p> <p>Target Score 9</p>	<ul style="list-style-type: none"> • If required, neighbouring authorities could be approached for resource support (though at a significant cost). • More focus on PDRs • Delivery of Learning & Development Programme • Fully utilise E-Learning Platform, with annual review of mandatory courses • Plan being developed to address age profile of depot employees and provide future resilience, as part of a wider review of the Clean and Green Service • Need to manage the new council agenda (e.g. climate change) as there is a risk that too much focus on new projects will leave little capacity for ongoing service issues • Strategic capacity is being reviewed and addressed • Dales INSIGHT Programme to recognise and develop talent to be delivered (and refreshed when capacity to do so) • Review issues relating to Resilience, Resources and Priorities.

<p>Data Protection & Information Governance</p> <p>Current Score 15</p> <p>Target Score 10</p>	<ul style="list-style-type: none"> • Review contracts to ensure DPA and GDPR are addressed; • IGO to deliver training for non office-based employees • There is a need for a change in culture to meet the requirements under the Accountability Principle • All recommendations from Internal Audit Review 2020 to be implemented by agreed deadlines, including redaction training • Provide awareness training for breach management • Provide DPIA guidance and training • Consider impact of guidance from ICO on data sharing agreements • Review CCTV against Surveillance Code of Practice • Deliver mandatory training on data protection to employees and members, for all new starters and refreshed every two years.
<p>Legal challenge in respect of contracts etc.</p> <p>Current Score 20</p> <p>Target Score 12</p>	<ul style="list-style-type: none"> • Review contract standing orders and financial regulations • Establish a corporate approach to contract management and deliver training to managers who manage contracts • Provide guidance on consultation issues for relevant officers. • Roll out PSS Live to ensure that there is a record of inspections, reducing the risk of successful compensation / insurance claims • Review limit of indemnity for official indemnity insurance • Due diligence over insurance limits of liability & contractual terms of contractors • New easement being negotiated over land at Blenheim Road, Ashbourne; • If rising inflation causes increased costs, managers need to consider measures to mitigate cost increases & service disruption.

<p>Business Continuity & Emergency Planning</p> <p>Current Score 12</p> <p>Target Score 6</p>	<ul style="list-style-type: none"> • Training on emergency planning to be delivered to Members later in 2022 • Build resilience within CLT and SMT • Increased capacity in Local Resilience Forum • Consideration of PROTECT awareness training for CLT • Interim review of business continuity arrangements to include consideration of splitting and rostering staff e.g. flooding events lasting several days. • Current pressures on human and financial resources to be monitored by CLT • Business continuity and multi-agency exercises to be planned for 2022 • PREVENT training to be delivered in person at the depot: • Continue to review the business continuity arrangements of contractors to ensure that they are fit for purpose. • Building up our pool of experienced people to work in an emergency • Consider impacts on strategic partners e.g. CAB
<p>Continuity of Service (where there is an External Supplier)</p> <p>Current Score 20</p> <p>Target Score 10</p>	<ul style="list-style-type: none"> • Review contracts to ensure exit strategies are included and documented. Where these are not in place discuss with suppliers how these could be implemented. • Identify alternative/temporary solutions for key contracts and minimum delivery requirements. • Working with existing contractors to ensure continuity of service; Develop suite of contracts to include provisions to mitigate this risk. • Ensure new contracts have a sensible share of risks and liabilities; • Updating building control contract • Council to be asked to give approval to adopt temporary measures outside terms and conditions of waste management contract; • Deliver training for managers involved in managing contracts in relation to compliance and procurement.

<p>Health & Safety</p> <p>Current Score 12</p> <p>Target Score 8</p>	<ul style="list-style-type: none"> • Continue to grow and develop the Safety Committee. • Ensure that the RCG is informed of risks on a regular basis to reflect risks in the department and strategic risk registers. • Engage with providers to identify any proactive measures that the Council could take, if not already being performed. • Refine play equipment etc. inspection reporting regime to ensure regular inspections take place and are recorded • Review the asbestos register to ensure that this is up to date. • Continue to update fire risk assessments. • Review Lovers Walk risk assessments in relation to rock falls and monitor in accordance with survey & develop maintenance programme for rock faces; • Health & safety training to be considered for SMT • Implement outstanding recommendations from Internal Audit Review (IOSH training; reporting) • Working with event organisers to assist with risk assessments for holding events safely where possible, resulting in a number of cancellations. • Continue to monitor accident reports and trends including RIDDOR • In-house health and safety trainer to deliver training to others • The safety committee has approved a second trainer. • Reviewing exposure to water hazards: a Derbyshire Water Safety Group is being established.
<p>Safeguarding</p> <p>Current Score 12</p> <p>Target Score 12</p>	<ul style="list-style-type: none"> • Specific training for safeguarding officers • Refresher training for taxi drivers with Derbyshire County Council now underway but not fully rolled out • ~ Section 11 audit due to be repeated

<p>Planning & Local Plan</p> <p>Current Score 16</p> <p>Target Score 12</p>	<ul style="list-style-type: none"> • Ongoing Local Plan monitoring • Statutory Review Local Plan by 2022 to determine if longer term changes to residential patterns required • Capacity to undertake delivery of sites is currently under review • Further member workshops and meetings of local plan working group planned • Report from consultants expected mid-2023 and further consultation to be undertaken.
<p>Policies & Decision Making</p> <p>Current Score 16</p> <p>Target Score 4</p>	<ul style="list-style-type: none"> • Further training as necessary • Member workshops on keys areas for policy development, member engagement & decision making • In depth risk assessments for commercial projects • Urgent business can be delegated to policy committees, subject to Council approval; monitoring will take place to ensure that this is effective. • Constitution changes in July 2022 for scheme of delegation
<p>Regeneration</p> <p>Current Score 16</p> <p>Target Score 12</p>	<ul style="list-style-type: none"> • Assess risks from regeneration projects • Availability of officer support in Estates, Legal and Finance identified as a risk • Timeliness of County Council engagement to be continually reviewed • Identify and address ongoing implications for costs & staff of projects once they have been delivered

<p>Transformation Programme</p> <p>Current Score 16</p> <p>Target Score 12</p>	<ul style="list-style-type: none"> • Consider lessons learned from other programmes and implement learning where appropriate. • Business process Re-engineering in Development Management has commenced • Rollout of EDMS to be determined and resourced • Customer Access Strategy to be prepared & Online Payment Facilities to be taken forward by Innovation Hub focusing on environmental services (charging for bins and garden waste) with business process re-engineering where helpful • CLT need to keep under review the organisational structure as the CRM is rolled out. • Resolve integration of payments with CRM and other systems
<p>Cyber Crime</p> <p>Current Score 20</p> <p>Target Score 12</p>	<ul style="list-style-type: none"> • Roll out exercise that will raise employee awareness of “phishing” • Provide refresher training every 2 years for ICT security awareness • Carry out full assessment of cyber risks • Try to obtain insurance cover • Cyber security formal qualification for ICT staff • Review and update the ICT Strategy and Information Governance Strategy • Operational and strategic risk registers to be aligned for ICT • Service managers to be asked to review the business continuity plan specifically related to a cyber-attack.
<p>Climate Change</p> <p>Current Score 12</p> <p>Target Score 8</p>	<ul style="list-style-type: none"> • Seek further funding for planned capital works • Take advantage of funding opportunities as they arise • Recalculate carbon footprint on annual basis • Climate Change Officer to take on role at officer groups and maximise opportunity • Develop project plan to deliver capital works • Develop Climate Change role outside the Council and within the community • Consider potential for renewable energy generation across the District • Adopt and implement Climate Change SPD • Form internal Climate Change officer working group • Harness staff and elected Member ideas • Develop role of the Climate Change Working Group

	<ul style="list-style-type: none">• Electrification of fleet vehicles• Review use of chemicals & type of equipment for Clean & Green• Developing a strategy for EV charging points in the community• Monitor risks associated with delay in delivering grant funded projects
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Recommendations from the Internal Audit Review of Risk Management

Recommendations		Priority (High, Medium, Low)	To be Implemented By:	
			Officer	Date
R1	Operational risk registers should be reviewed and brought up to date as soon as possible (where not recently reviewed).	Med	Chief Executive (for HR) & Directors of Housing and Resources	Before next RCG meeting on 21 September 2022
R2	The Risk Continuity Group should monitor operational risk registers on a half yearly basis to check that departmental risk registers are being reviewed and updated regularly to ensure all risks identified are being well managed and updated/reviewed in accordance with the Risk Management Policy and Strategy.	Low	RCG	From the next RCG meeting on 21 September 2022
R3	The Risk Management Policy when next reviewed should be updated to reflect how the RCG group report to CLT and Members.	Low	Director of Resources	At the time of the next policy update which is due by February 2023
R4	To ensure all employees and Members have a sound understanding of risk management a training programme to imbed risk management throughout the organisation should be implemented by the Risk Continuity Group. Information and material to aid the risk management process and to provide information to employees should be placed on the intranet as a point of reference	Med	Director of Resources	31 December 2022

Recommendations		Priority (High, Medium, Low)	To be Implemented By:	
			Officer	Date
R5	As part of the contract award process for high value/high risk procurement exercises, the Risk Continuity Group should discuss and provide guidance for the review and monitoring of critical risk supplier's business continuity plans. A formal process for reviewing credit checks of a critical supplier prior to contract award and during the contract period should also be discussed and developed if required.	Low	RCG	From the next RCG meeting on 21 September 2022

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OPEN REPORT GOVERNANCE AND RESOURCES COMMITTEE

Governance and Resources Committee – 22 September 2022

Equality, Consultation & Engagement Plan 2022-2024

Report of Director of Regeneration & Policy

Report Author and Contact Details

Elizabeth Wilson, Corporate Policy Officer
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Wards Affected

District-wide

Report Summary

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

This report provides an update on progress against the actions set out in the Equality, Consultation and Engagement Plan 2020-22. This report also seeks approval for the Equality, Consultation and Engagement Plan for 2022-24.

Recommendations

1. That progress against the actions in the Equality, Consultation and Engagement Plan 2020-22 (as set out in Appendices one and two) be noted.
2. That the Equality, Consultation and Engagement Plan 2022-24 (as set out in Appendices three and four) be approved.

List of Appendices

- Appendix 1 Equality Plan outturn 2020 - 22
- Appendix 2 Consultation plan outturn 2020 - 22
- Appendix 3 Equality Plan 2022 - 24
- Appendix 4 Consultation Plan 2022 - 24

Background Papers

None

Consideration of report by Council or other committee

No

Council Approval Required

No

Exempt from Press or Public
No

Equality, Consultation & Engagement Plan 2020 to 2022 Outturns and Plan for 2022-2024

1. Background

- 1.1 The public sector equalities statutory duty comprises a [general equality duty](#) and a [specific duty](#). The District Council must comply with both. The general duty requires the District Council to have due regard in the exercise of all its functions to the need to:
- Eliminate discrimination, harassment and victimisation
 - Advance equality of opportunity between all persons;
 - Foster good relations between all persons.
- 1.2 The District Council must therefore ensure due consideration is given to the aims of the Duty in all its decisions. The paragraph on '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.
- 1.3 The specific duty requires the District Council to publish:
- Equality information annually about its workforce and service users to demonstrate compliance with the general Equality Duty;
 - Equality objectives (drawing on this information) at least every four years that it needs to achieve to meet the aims of the general equality duty, focusing on its priority equality issues.
- 1.4 The District Council has a comprehensive [Equality, Diversity and Inclusion Policy](#) which details how the Council meets the requirements of equality legislation and provides the context for the Equality, Consultation & Engagement Plan. It was adopted in September 2021.
- 1.5 The Equality, Consultation and Engagement Plan which set out the activity planned for the period 2020-22 was approved by the Governance and Resources Committee on 20 August 2020. The Equality, Consultation and Engagement Plan, included as appendix three and four, sets out an updated range of objectives linked to the Corporate Plan 2020-24.

2 Equality Objectives 2020-2024

- 2.1 The Council's Equality Objectives for 2020-24 were agreed by the Governance and Resources Committee on 30 September 2021. Informed by the priorities within our Corporate Plan (themselves based on extensive public and stakeholder consultation), the Equality Objectives are:
- Objective 1: Maintain high customer satisfaction about the quality of services we deliver
 - Objective 2: Implement the Derbyshire Dales Climate Change Strategy and make improvements to the operational aspects of the Clean & Green service
 - Objective 3: Promote housing development that meets the needs of the present and future population of the District
 - Objective 4: Seek to attract investment that supports the local economy including the provision of jobs for younger people

- Objective 5: One team, working together as one Council with one purpose

3 Progress: Equality and Consultation 2020-2022

- 3.1 As required by legislation, updated equality information was published on the District Council's [website](#) early in 2022. A proportionate approach to the collection and publication of data continues to be taken, with a particular focus on key service user satisfaction data disaggregated by relevant protected groups. Members are reminded that the Policy Officer (Equalities and Consultation) is a 0.4 FTE post.
- 3.2 The Equality, Consultation & Engagement Plan 2020-22 set out performance measures/targets which are detailed in Appendix One and Two. The majority of the identified targets have been fully achieved, however Covid delayed the achievement of some actions or resulted in reductions in what could realistically be achieved; particularly those related to housing. Another example of the impact of Covid is leisure centres, which were closed by law during the pandemic and therefore consultation amongst users was not possible.
- 3.3 Successes to highlight include;
- The Equality, Diversity and Inclusion Policy was updated and following consultation with the employee group, CLT and members it was approved at the Governance and Resources Committee meeting on 30 September 21
 - Consultation results showed that 100% of respondents would recommend the external insulation retrofitted to their homes by the District Council
 - The target to provide adaptations to the homes of 50 disabled people by March 2021 was exceeded, with the total number being 71
 - A tailored Equality & Diversity mandatory training programme for Members and Senior Managers was delivered via Zoom in Nov 2020, Nov 2021 and early 2022
 - The Equality Impact Assessment Programme for 2020-22 was largely completed including EIAs for the Housing Allocation Policy, Local Council Tax Support Scheme, Card payment for car parks, Local Plan review. Other EIAs that were completed but not in the plan include Anti-Social Behaviour Policy, Black's Head, Council Tax Backdated Case write off, GDPR Policy, procedure, guidance, Public Space Protection Orders, Flexible Working Policy, Test and Trace payments, Public conveniences opening, Covid discretionary grant, Sex entertainment venues, Bakewell Market re-opening, Empty Homes premium, Derbyshire Clause, Data matching, Reward and recognition policy
 - Consultation on the proposed empty home premium was successful. The survey was promoted in January 2022, both online and by a letter to empty home owners containing a link to the survey. In summary 154 responses were received including 24 from owners of empty homes. Results were typically polarised between the majority of respondents who did not own empty homes and the minority that did. The majority supported the proposed Council Tax increases from April 2023

- Three Area Community Forums were held in February 2021. Topics included, Council Tax, Climate Change: Achievements and Future Actions, the Levelling Up Fund, Waste and Recycling update, and Q&A
- A review of the Council's Car Parking Order, with 600 responses to the public consultation received. The Order was amended in 2020 with the introduction of 25 EV charging points in 5 car parks.
- Over 95% of residents in surveys carried out in 2020 and 2021 felt safe outside during the day, and over 84% felt safe outside at night

3.4 The following targets were not met fully;

- Satisfaction with waste services reduced from 76% in 2020 to 30% in 2021
- SERCO did not carry out the satisfaction survey in 2020 or 2021, but have stated it will go ahead next year
- The target to provide adaptations to the homes of 70 disabled people by March 2022 was not met, however a total number of 59 adaptations were completed. A further 19 grants remain approved but not yet completed. The reduced number of completions in 2021/22 is a delayed reflection of the slowdown in referrals received during the pandemic. It is worthwhile noting that all District Council actions have been completed in a timely manner and no application has been delayed as a result of our processes.

4 Equality, Consultation and Engagement Plan 2022-24

4.1 The Equality and the Consultation and Engagement Plan provides structured frameworks for the District Council's equality, consultation and engagement activities.

4.2 Updated Equality, Consultation and Engagement plans for 2022-24 are set out in Appendices three and four. Key areas for consultation in this period will include:

- Annual Online Panel Surveys – finding out how satisfied residents are with the District Council, its services and quality of life in the Derbyshire Dales. Results are analysed by equality groups where numbers permit. The surveys provide important feedback on the performance of services and suggest areas for improvement, which supports service planning and management.
- Research into conditions and outcomes for private landlords and tenants. Results will inform development of policy proposals to improve conditions and outcomes for tenants and landlords
- Undertake community engagement at four events and provide advice to rural communities through the use of the 'Fantastic Homes' exhibition to advise residents about domestic energy efficiency, renewables and low carbon heating
- Engage with 4 community groups across the main towns to become actively involved in the roads, verges and biodiversity project
- Budget 2023/24 consultation to cover the medium term (not just one year), to inform the MTFP & MTFS as well as the annual budget
- The Business Engagement Programme will include business forums/workshops and businesses will be surveyed for their views

4.3 Key areas of equality work will include:

- Actions to fully utilise the refuse collection vehicle in-cab software that links to Serco and our Meritec customer service system (CRM). The outcome is that the CRM will provide an improved customer experience and improved communication, with the aim of helping improve satisfaction levels with waste services
- Annual Online Panel Surveys – finding out how satisfied residents are with the District Council, its services and quality of life in the Derbyshire Dales.
- Continue to deliver the Sustainable Warmth grant funded works to reduce fuel poverty, improve the energy efficiency of homes and decarbonise heating
- The provision of security equipment for victims and survivors of Domestic Abuse
- Having a positive impact on young people: we plan to support three diversionary projects using £17,000 of funding provided by the Police Crime Commissioner
- Hold two business events to help increase SME productivity, exporting and innovation, and promote opportunities in the low carbon economy

5 Equality Impact Assessments

5.1 To minimise the risk of legal challenge and to ensure that the potential impact upon protected groups is taken into account in the District Council's decision making framework, Equality Impact Assessments (EIAs) are prepared where needed. Each year a number of priority Equality Impact Assessments are identified in the Equality, Consultation & Engagement Plan as having to be undertaken, where they are linked to potential future policy development or potential changes in service delivery. Completed Equality Impact Assessments are summarised and presented for Members' review when new or revised policies are being considered at Committee or Council meetings. Completed Equality Impact Assessments are also published on the District Council's website to demonstrate compliance with the Equality Duty.

5.2 The programme of EIAs is dynamic, and will alter if unexpected policy changes take place or if expected changes do not take place. At present, the EIAs expected for the period 2022/23 include:

- Controlled Substances at Work Policy
- Monitoring & Surveillance Policy
- £150 energy rebate
- Text Payment System
- Live streaming of council meetings
- Clean and Green review depending on recs
- PSPO dependent on data
- Parks survey – dependent on results
- Car park review – dependent on review outcomes

6. Options Considered and Recommended Proposal

6.1 The equality plan is required by the Equality, Diversity and Inclusion Policy, the Equality Act [2010] and the public Sector Equality Duty which forms part of the Act. The plans demonstrate that we making due regard to equality

issues. The Council's Consultation Strategy requires the creation of a consultation plan, where actions from Service Plans are drawn together. An option to prepare separate, unrelated equality and consultation plans was rejected because many equality issues are best explored and resolved through consultation and engagement; and because much consultation activity relates to and involves protected groups. Because of the strong de facto links between consultation and equalities, the option to consider them separately was rejected and the option to consider a single set of plans was favoured.

6.2 There are two recommendations.

1. That progress against the actions in the Equality, Consultation and Engagement Plan 2020-22 (as set out in Appendices one and two) be noted.
2. That the Equality, Consultation and Engagement Plan 2022-24 (as set out in Appendices three and four) be approved.

7. Consultation

7.1 The Council's Equality, Diversity and Inclusion Policy (which steer actions in the plans) was subject to extensive consultation prior to adoption by the Governance and Resources Committee in 2021.

7.2 As the plans contain many actions that are the responsibility of a number of services, consultation will take place on individual actions contained within the plans, as appropriate.

8. Timetable for Implementation

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

9. Policy Implications

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

9.2 The equality objectives within the Plan are linked to the Council's Corporate Plan 2020-2024

10. Finance and Resource Implications

10.1 The costs of addressing the statutory requirements in relation to equality are contained within existing service budgets. As such the financial risk is low. However failure to comply with the relevant statutory requirements may expose the District Council to legal challenge and therefore the potential for higher financial risks.

11. Legal Advice and Implications

11.1 Under the provisions of the Equality Act 2010, the District Council has specific statutory duties. All decisions taken by the Council, all services

provided or enabled by the Council and all personnel functions of the Council are required to take account of this duty. Failure to comply with the equality duty could render the Council open to legal challenge. The areas of activity identified within this report seek to reduce any potential risk. The legal risk has been assessed, at the current time as Low. This however may change if a challenge is received.

- 11.2 The District Council also has a duty to consult, and to demonstrate that it has consulted in making decisions on how to undertake its functions and activities which affect the public. Failure to consult or demonstrate how consultation has influenced the decision making process is an area where the District Council could face legal challenge. As such the areas of activity identified in the Equality, Consultation and Engagement Plan seek to reduce any potential risk.

12. Equalities Implications

- 12.1 Equality Impact Assessments will be made for the actions contained in the plans, as each action is begun.

13. Climate Change Implications

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

14. Risk Management

- 14.1 Progressing the activity identified within the report will help manage the risks of legal challenge, enforcement action for non-compliance with statutory equality duties, and potential loss of good reputation.

Approvals obtained from:

	Named Officer	Date
Chief Executive	Paul Wilson	07/09/2022
Director of Resources/ S.151 Officer (or Financial Services Manager)	Alison Wood	07/09/2022
Monitoring Officer (or Legal Services Manager)	James McLaughlin	12/09/2022

APPENDIX ONE

EQUALITY ACTION PLAN 2020-2022 OUTTURN

Equality Objectives	Actions	Performance Measures / Targets	Outcome	Lead	By when	
PEOPLE - PROVIDING YOU WITH A HIGH QUALITY CUSTOMER EXPERIENCE						
35	Objective 1: Maintain high customer satisfaction about the quality of services we deliver	CP20/PE7 Undertaking an annual online survey of residents to establish customer satisfaction and priorities	Undertake Annual Survey using the Online Residents Panel to assess resident satisfaction with DDDC Services by Nov 2020	Completed – report to the Governance and Resources Committee on 19 November 2020	Director of Regeneration & Policy	November 2020
		CP20/PE7 Undertaking an annual online survey of residents to establish customer satisfaction and priorities	Undertake Annual Survey using the Online Residents Panel to assess resident satisfaction with DDDC	Completed – report to Governance and Resources Committee in Jan 22	Director of Regeneration & Policy	November 2021

Equality Objectives	Actions	Performance Measures / Targets	Outcome	Lead	By when
		Services by Nov 2021			
	CP20/PE9 Maintain other customer access channels: during opening hours, you will still be able to phone us or drop by at the Town Hall in Matlock	Continue to maintain and publicise a variety of offline customer contact channels for the District Council's services through Dales Matters and other media.	<p>Physical access to the Town Hall was not possible for much of the period from March 2020, due to Covid restrictions on public buildings. Business support provided the usual telephone service.</p> <p>The Town Hall reception was re-opened during the morning on 11th October 2021, as per government guidance and following alterations to the reception area at the Town Hall.</p> <p>Visitors were asked to make an appointment where possible, if they wished to see an Officer. Oct to April visitors to all agencies in the Town Hall totalled 1131.</p> <p>70 for benefits 30 Age UK 4 RAD 76 CAB 49 to pay Council Tax 131 to leave information /appointments and other reasons for Council Tax 194 in relation to Gold Cards [180 were leaving information and/or evidence to support eligibility] 23 deliveries</p>	Director of Corporate & Customer Services	Annually - ongoing

Equality Objectives	Actions	Performance Measures / Targets	Outcome	Lead	By when
			<p>Others were generally dropping things off, or for appointments with specific sections within DDDC.</p> <p>During Covid, communication with the public took place via telephone, our media outlets, publications such as Dales Matters, and via our e-newsletter.</p> <p>DDDC communicates with 10,000 customers via the e-newsletter and 92,232 customers via social media channels (Twitter, Facebook and Instagram).</p> <p>All signage outside the Town Hall encourages visitors to do their business with us online if possible, with a URL link to www.derbyshiredales.gov.uk/DoltOnline</p> <p>Since the launch of the CRM in April 2020, we have averaged 92% of CRM submissions being completed online via Self Service. We also saw a 43% increase in CRM submissions in year 2 when compared with year 1. At the end of April 2022 we have had just over 200,000 submissions within the CRM since its launch.</p>		
PLACE - KEEPING THE DERBYSHIRE DALES CLEAN, GREEN AND SAFE					
Objective 2: Implement the Derbyshire	Deliver a high quality waste/recycling	Waste & recycling collection - % satisfied with	NOT completed before end March 22 by Serco Question asked in the Online Panel residents' survey 2020.	Director of Community & Environmental Services	March 2021

Equality Objectives	Actions	Performance Measures / Targets	Outcome	Lead	By when
Dales Climate Change Strategy	service to residents	service [contractor to complete]	76% were either very or fairly satisfied		
	Deliver a high quality waste/recycling service to residents	Waste & recycling collection - % satisfied with service [contractor to complete]	NOT completed before end March 22 by Serco Question asked in the Online Panel residents' survey 2021. 30.3% were either very or fairly satisfied. This low figure is a result of poor service by Serco	Director of Community & Environmental Services	March 2022
Work with partners and communities to maintain high levels of community safety	Raise awareness of domestic abuse and promote support services	Children's Counselling Provide counselling service for children Use social media to increase reach to residents of the Dales	Supported 5 children through counselling for up to a 12 week period. Targeted advertising through Facebook was viewed by over 800 people in the Dales.	Director of Community & Environmental Services	March 2022
Implement the Council's Climate Change	Insulation / greener homes NB: 11 Non Traditional		The Local Authority Delivery [LAD] Phase 1A programme was completed in August 2021. 48 owner occupied homes received External Wall Insulation, 4 Alms Houses had a complete retrofit and 56 Platform properties	Director of Housing	June 2021

Equality Objectives	Actions	Performance Measures / Targets	Outcome	Lead	By when
Strategy and ensure that the benefits derive to vulnerable households across the District	homes insulated on Hurst Farm (Phase 1), 26 further properties in Phase 2 (Hurst Farm, Oker estate Darley Dale and Tansley)		received a range of measures from insulation to solar panels LAD 2 have progressed with; 6 owner occupied homes benefiting from External Wall Insulation in Hognaston, 2 Almshouses completed in Matlock and a 3 rd on site in Calver. Up to 27 owner occupied homes in Matlock to benefit from EWI are still being appraised after changes in the national technical guidance. Platform have installed 7 PV systems and 1 Air Source Heat Pump so far with another 41 properties to be carried forward in 2022/23		
PROSPERITY - SUPPORTING BETTER HOMES AND JOBS FOR YOU					
Objective 3: Promote housing Development that meets the needs of the present and future population of the District	CP20/PR10 Helping disabled people adapt their homes so they can continue to live there	Provide adaptations to the homes of 50 disabled people by March 2021	Exceeded target - 71 adaptations completed	Director of Regulatory Services	March 2021

Equality Objectives	Actions	Performance Measures / Targets	Outcome	Lead	By when
	CP20/PR10 Helping disabled people adapt their homes so they can continue to live there	Provide adaptations to the homes of 70 disabled people by March 2022	59 adaptations completed. A further 19 grants remain approved but not yet completed. The reduced number of completions in 2021/22 is a delayed reflection of the slowdown in referrals received during the pandemic. Whilst this is disappointing it is worthwhile noting that all District Council actions have been completed in a timely manner and no application has been delayed as a result of our processes.	Director of Regulatory Services	March 2022
	CP20/PR18 Continue to provide debt and welfare advice to vulnerable households	Provide debt and welfare advice to 350 vulnerable households by March 2021	Partially achieved - 259 Total: CAB supported 10 existing clients and 25 new clients with 333 debt issues and managed debt of £105,054. Adullam HA supported 29 existing clients and 17 new clients, affecting debt of £44,941 and generating £33,670 in benefit and £27,211 in other financial gains Age UK have 155 existing clients and supported 23 new clients generating £32,521 in new (weekly) benefits and £3,768 in one off payments A total of	Director of Housing	March 2021
	CP20/PR18 Continue to provide debt and welfare advice to vulnerable households	Provide debt and welfare advice to 350 vulnerable households by March 2022	CAB: 60 new clients, 1089 debt issues tackled, £415,846 debt managed Adullam: 127 clients, £249,964 debt managed, £140,151 in financial gains Age UK supported 83 new clients with total financial gains of £300,187 Combined outturn; • 270 clients supported	Director of Housing	March 2022

Equality Objectives	Actions	Performance Measures / Targets	Outcome	Lead	By when
			<ul style="list-style-type: none"> • £665,810 debt managed • £856,184 financial gains <p>Note – the service provided by Adullum has been taken in house in the last quarter.</p>		
	<p>CP20/PR8</p> <p>Building new Council homes to rent and continuing to build social rented homes in partnership with Housing Associations</p>	<p>Complete 51 new affordable homes by March 2021 NB: Likely only 12 new affordable homes (note delays to 2020/21 target due to Covid19)</p>	<p>12 homes completed due to Covid</p>	<p>Director of Housing</p>	<p>March 2021</p>
	<p>CP/PR 8</p> <p>Commence the programme to build new Council homes to rent by March 2022</p>	<p>Commence the programme to build new Council homes to rent by March 2022</p>	<p>3 homes were purchased in 2021/22 with 7 more due to handover in May 2022/23 in Ashbourne.</p>	<p>Director of Housing</p>	<p>March 2022</p>

Equality Objectives	Actions	Performance Measures / Targets	Outcome	Lead	By when
	CP20/PR13 Identify opportunities for the provision of permanent Traveller site and conclude negotiations with landowners by July 2020.	Identify opportunities for the provision of permanent Traveller site	Potential sites identified at Q2, negotiations ongoing. Delegated authority to proceed with application for planning permission, given to Director of Housing.	Director of Regulatory Services Director of Housing	July 2020
	CP20/PR13 Delivering a permanent site to meet identified traveller needs by March 22	Identify opportunities for the provision of permanent Traveller site	Site was identified and investigations, planning permission processes took place. The geotechnical and land contamination surveys were completed and a report received in March 2022. Council determined that due to the ecology and ground conditions, to cease the development of this site for travellers. Site provision remains a corporate goal.	Director of Housing	March 2022
Objective 4: Seek to attract investment that supports the local economy including the	Support the Derbyshire Careers Enterprise Co, to strengthen links between education and employers	Deliver 2 partnership events to support employers with recruitment issues and	Not completed due to Covid	Director of Regeneration & Policy	March 2021

Equality Objectives	Actions	Performance Measures / Targets	Outcome	Lead	By when
provision of jobs for younger people		develop better links between employers and schools			
ONE TEAM, ONE COUNCIL, ONE PURPOSE					
Objective 5: One team, working together as one Council with one purpose	Ensure a One Team approach to the Council's statutory equality duties	Review and update the Equality & Diversity Policy	Achieved – after consultation with the employee group, CLT and members it was approved at the Governance and Resources Committee meeting on 30 Sept 21	Director of Regeneration & Policy	November 2021
	Ensure a One Team approach to the Council's statutory equality duties	Deliver a tailored Equality & Diversity mandatory training programme for Members including via the Council's Learning OnLine Anywhere	Achieved – training delivered via Zoom in Nov 2020 AND Nov 2021	Director of Regeneration & Policy	May 2021

Equality Objectives	Actions	Performance Measures / Targets	Outcome	Lead	By when
		(LOLA) resource			
	Ensure a One Team approach to the Council's statutory equality duties	Deliver a tailored Equality & Diversity mandatory training programme for Senior Management Team including via the Council's Learning OnLine Anywhere (LOLA) resource	Achieved – training delivered via Zoom in Nov 2020 AND Jan/Feb 2022	Policy Officer & Human Resources Manager	November 2021
	Retain the Disability Confident standard	Undertake self-assessment to retain the Disability Confident standard	Re-registered with Disability Confident in February 2022	Human Resources Manager	March 2022
	Agree and progress the corporate	Programme for 2020-22	1. Housing Allocation Policy - COMPLETED 2. Local Council Tax Support Scheme – COMPLETED	Directors of Service responsible	March 2022

Equality Objectives	Actions	Performance Measures / Targets	Outcome	Lead	By when
	programme of priority Equality Impact Assessments for 2019-20	<p>completed including</p> <ol style="list-style-type: none"> 1. Housing Allocation Policy 2. Local Council Tax Support Scheme 3. Review of the Council's Car Parking Order] 4. Card payment for car parks 5. Local Plan 	<p>3. Review of the Council's Car Parking Order]- NOT COMPLETED</p> <p>4. Card payment for car parks [-AWAITING OUTCOME</p> <p>5. Local Plan – Formal review completed and approved by Council in January 2022. Additional work required to determine whether growth ambitions can be achieved has resulted in Council approving a new timetable which does not now envisage modifications and adoption of new Local Plan being completed until December 2024. Brailsford and Ashbourne Neighbourhood Plans completed</p> <p>EIAs completed but not in plan:</p> <ul style="list-style-type: none"> - ASB Policy - Black's Head - CT Backdated Case wrote off - GDPDR Policy, procedure, guidance - PSPO - Flexible Working Policy - Test and Trace payments - Public conveniences opening - Covid discretionary grant - Sex entertainment venues - Bakewell Market re-opening - Empty Homes premium - Derbyshire Clause 	for identified EIAs	

Equality Objectives	Actions	Performance Measures / Targets	Outcome	Lead	By when
			<ul style="list-style-type: none"> - Data matching CT + NDR - Reward and recognition policy 		
	Service Reviews – any potential equality impacts to be identified through EIAs	Service Reviews	Clean and Green review underway – report expected to end June 22 [delayed due to Covid]; EIAs to be identified after this date. Core standards review: following June report recommendations, during 2022/2023, Officers will be working from the approved recommendations to be agreed by Committee. Once the recommendations have been agreed, the SMART objectives can be established.	Director of Community and Environmental Services	March 2022

APPENDIX TWO

CONSULTATION & ENGAGEMENT ACTION PLAN 2020 – 2022 OUTTURN

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
Regulatory Services						
Charging for Food Hygiene Rating Scheme re-inspections	TBC	TBC	Users of the food Hygiene Rating Scheme	TBC	Director of Regulatory Services	Introducing a charged for service during lockdown would not be helpful. To be reviewed December 2020. Postponed altogether during Covid restrictions – wouldn't have been right to impose an additional burden on business at that time
Facilitate a review of the Council's assets to identify any equality issues	June to December 2020	Produce a definitive list of assets and engage with appropriate groups to enable a review of that list			Director of Regulatory Services + Estates and Facilities Manager	Definitive list being drawn together from asset register and insurance lists – July 2020. Action ongoing– report due to G&R Committee meeting 08/06/22
Housing						
Customer satisfaction with housing needs services	2020/21	Face to face survey	Customers	N	Housing Strategy Officer Homeless	Consultation did not take place due to Covid

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
Consultation on the proposed changes to the Housing Allocation Policy	2020/21	Online survey	Customers, housing providers and the wider public	Y	Director of Housing/ representative of the Home-Options partnership	25 responses were received from across the Home-Options partnership, (64% from the Derbyshire Dales). The consultation process is to be extended and repeated to try and gain further responses. 5,500 emails were sent to applicants across the Home-Options partnership concerning the proposed changes. A total of 101 responses were received and these are being reviewed by the Home-Options working group.
Customer satisfaction with housing needs services	2021/22	Online survey	Customers	N	Housing Strategy Officer Homeless	Consultation did not take place due to the extra work for the team required by Covid
Empty homes CT charges	2021/22	Online survey, contacted empty home owners and directed them to the survey	Owners of empty properties, residents	Y [complete d]	Director of Housing	The survey was promoted in Jan 22, both online and by a letter to empty home owners containing a link to the survey. Outcomes were reported to Council on 27 th Jan 2022 and the recommendations to increase CT on empty homes from April 2023 were approved. [Please follow link for details]

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
						<p>Consultation results: In summary 154 responses were received including 24 from owners of empty homes. Results were typically polarised between the majority of respondents who did not own empty homes and the minority that did. The majority supported the proposed increases from April 1st 2023</p> <p>Premium to be adopted from April 1st 2023</p>
External wall insulation Scheme	2021/22	54 households were contacted by phone and asked if they wished to participate	Residents whose homes have been adapted	N	Director of Housing	14 responded to the phone call and completed the survey. Responses were generally positive. 100% of home owners were happy with the end result, and 93% would recommend getting the external wall insulation
Research into conditions and outcomes for private landlords and tenants. Results to inform development of policy proposals to	March to September 2022	<p>Focus groups with landlords and tenants</p> <p>DDDC Officers and data held by/accessible to DDDC</p>	<p>Focus groups – landlords and tenants</p> <p>DDDC Officers</p> <p>Data already held by DDDC</p>	Yes on new policy	Director of Housing	<p>Altair commissioned to,</p> <ul style="list-style-type: none"> • Review and analyse information about the PRS that DDDC Officers have • Undertake qualitative research and engagement • Develop policy options. <p>Timescales and Progress Project initiation and scoping March 2022 – achieved</p>

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
improve conditions and outcomes for tenants and landlords						Data collection and review April-May – ongoing Stakeholder engagement May June Options development and reporting July-September
Resources						
Biennial ICT internal satisfaction survey	January 2021	Biennial online survey	Staff at DDDC	N	Service Delivery Manager [Joint ICT Services]	The Joint ICT service have developed an ICT action plan from the comments and feedback provided in the user survey. We have made much progress already towards completing some of the actions and continue to progress areas which need improvement, some of the actions will be dependent on post-pandemic business decisions. More details can be found by contacting Mike Rush, Joint ICT Service Desk Manager. Results were reported to the joint ICT committee in July 2021 and published on SIDD August 2021. 97% were satisfied with the service.

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
Budget 2021-22 consultation	January-February 2020	Presentation at meetings or electronic/ paper survey. Business Forums and Community Forums	Residents and businesses	TBC	Director of Resources / Director of Regeneration and Policy	<p>Consultation for 2021/22 budget was completed in Feb/ March 2021. A presentation was placed on the Council's website and the views of residents and visitors were sought.</p> <p>32 residents responded. The key points from residents are:</p> <ul style="list-style-type: none"> ~ 9 residents were in favour of the proposed spending and council tax increase, 4 objected; ~ 8 residents supported proposed spending on climate change issues, 3 didn't support it; ~ 7 residents were dissatisfied with the waste service, 2 were pleased with it; ~ 4 residents were dissatisfied with arrangements for litter bins & collection, dog waste bins and fly tipping <p>7 businesses responded.</p> <p>Most responses from businesses reflect dissatisfaction with the business rates system itself and / or rate reliefs, which are set by central government and outside the control of this Council.</p>

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
						Reported at Budget Council Meeting 04 March 21
Budget 2022-23 consultation	January-February 2022	Presentation at meetings or electronic/ paper survey. Business Forums and Community Forums	Residents and businesses	TBC	Director of Resources / Director of Regeneration and Policy	<p>Took place Feb/March 22 – online survey, promoted on social media, plus 3 online community forums in February 2022. Businesses were provided a link to proposals in the Council’s “Business News” and Businesses were sent an information leaflet relating to nondomestic rates.</p> <p>Six responses were received.</p> <p>Results to Council 03 March 22.</p> <p>https://www.derbyshiredales.gov.uk/images/2022-03-03 - Budget Council - Minutes.pdf</p>
Local Council Tax Support Scheme 2021-22	Summer 2020	TBC	TBC	If changes proposed	Director of Resources	No significant changes were considered necessary, so no consultation undertaken.

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
Local Council Tax Support Scheme 2022- 23	Summer 2021	TBC	TBC	If change s propos ed	Director of Resources	No significant changes were considered necessary, so no consultation undertaken. Report to Council 27 th Jan 22
Community and Environmental Services						
Customer satisfaction survey with the waste and recycling service	TBC 2020	Residents' Survey	Residents	N	Director of Community and Environmental Services	Cancelled due to Covid in 2020. However responses to this question in the 2020 Residents' Survey, sent to Online panel Members, showed that 76% were either very or fairly satisfied with the service Contractor [Serco] required to carry out resident survey by March 21. However, Serco failed to do it.

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
Customer satisfaction survey with the waste and recycling service	TBC 2021	Residents' Survey	Residents	N	Director of Community and Environmental Services Policy Officer	Question asked in Residents Survey: sent to the Online Panel, a postal survey to approx. 1200 randomly selected addresses, 180 face to face street interviews, and an open online survey promoted largely via social media was carried out Sept/Oct 2021. The average % of people either very or fairly satisfied with waste and recycling services was 29%.
Customer satisfaction survey with the waste and recycling service	TBC 2022	Residents' Survey	Residents	N	Director of Community and Environmental Services Policy Officer	Not completed by Serco However, questions were asked in 2020 and 2021 Resident's Survey. See previous comment for detail.

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
Community Engagement Hub project: Ashbourne Pavilion	Ongoing		Modernise current facilities to be able to use for club activities, bookings and events	EIAs may be needed	Community Development Manager	Action deleted in 2021/22 as this project is complete and facilities are open.
Market research into customer satisfaction with Leisure Facilities	June 2020		Residents, existing and potential users	N	Community Development Manager Freedom Leisure	Leisure facilities were shut due to Covid so no research was carried out
Market research into customer satisfaction with Leisure Facilities	June 2021	Online survey	Residents, existing and potential users	N	Community Development Manager Freedom Leisure	Overall 70% customer satisfaction across the 4 centres
Survey satisfaction levels with the users of two parks per year	2021	Survey Monkey, face to face interviews	Users of Dimple Fields, Bakewell Recreation	N	Community Development Manager	Bakewell Recreation Ground – 71% satisfied Dimple playing fields – 75% satisfied

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
Develop and implement an improvement plan in the parks from the results of the customer satisfaction survey (dependent upon external funding)	March 2022	Meeting with park user groups	Park users Residents	Y [?]	Director of Community and Environmental Services	No external funding was available to DDDC. Ongoing work with Friends of Ashbourne Park Note: Customer survey work will continue next year with 3 surveys. One will be Tansley village Green/Recreation, others tbc
Area Community Forum	January 2021	Public meeting	Residents, businesses, Service users, Partners	N	All Neighbourhoods Liaison Officer	Cancelled due to covid
Area Community Forum	January 2022	Public meeting	Residents, businesses, Service users, Partners		All Neighbourhoods Manager / Neighbourhoods Liaison Officer [Community Development Team]	Three meetings took place using Zoom. <ul style="list-style-type: none"> • Thursday 10th February 22 (Northern) • Tuesday 15th February 22 (Central) • Tuesday 22nd February 22 (Southern) Topics include, Council Tax,

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
						Climate Change: Achievements and Future Actions, the Levelling Up Fund, Waste and Recycling update and Q&A
Review of the Council's Car Parking Order	By March 2022	Various	User groups, traders	Y	Neighbourhoods Manager	Complete = 600 responses. This is a carry-over from the Parking Review which was carried out in 2017. The Order was amended in 2020 with the introduction of 25 EV charging points in 5 car parks. This is now completed.
Middleton by Wirksworth	2021	Posters of equipment to choose from, face to face, school promoted to residents who submitted their choices by e-mail	School, Parents, Children in Middleton by Wirksworth	N	Community Development Manager	Good responses. Most popular equipment was purchased and has been installed. A new junior piece of equipment was installed called 'The Nucleus'. This piece of equipment was installed in October 2021 and was funded through Tarmac community funding
Holiday Activity and Food programme – how can we improve it for next year	2022/23	Face to face with young people, online survey for parents	Youngsters who used the services, parents	N	Community Development Manager, Physical Activity & Sport Development	Hurst Farm programme providing meals to families in school holidays. Small sample size satisfaction survey on the meals and activities provided took place Easter 22 and will inform future meals and activities in Summer 2022 – dependent on funding

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
						Next survey to be completed – Summer 2022
Wirksworth Market Place – benches, steps, the tree/s – next steps	2021	Face to face stall	Residents and traders in Wirksworth, Town Council	N	Estates and Facilities Manager, Community Development Officer	Options are being explored with Trees & Landscape Officer and Derwent Tree Scapes to meet the outcomes of the consultation. There were two feasible options. We went with the majority of public opinion to keep the tree by pruning of roots and branches to keep it check and repair the surrounding paving
CRI8 & CRI9 % people feeling safe outside during the day and night	November 2019	Online Panel Survey	Local residents	N	Policy Manager	96% of respondents to the Council's Online Panel survey 2019 felt very of fairly safe outside during the day and 85% felt very of fairly safe outside at night
CRI8 & CRI9 % people feeling safe outside during the day and night	November 2020	Online Panel Survey	Local residents	N	Policy Manager	94% of respondents to the Council's Online Panel survey 2019 felt very of fairly safe outside during the day and 84% felt very of fairly safe outside at night
CRI8 & CRI9 % people feeling safe outside during	November 2021	Online Panel Survey	Local residents	N	Policy Manager/Policy Officer	Residents Survey sent to the Online Panel, a postal survey to randomly selected approx. 1200 addresses, 180 face to face street interviews, and an

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
the day and night						<p>open online survey promoted largely via social media, was carried out Sept/Oct 2021</p> <p>% of respondents who felt very of fairly safe outside during the day;</p> <ul style="list-style-type: none"> • Face to Face + Postal – 92% • Open online survey – 88% • Online Panel - 94.5% <p>% of respondents who felt very of fairly safe outside at night;</p> <ul style="list-style-type: none"> • Face to Face + Postal – 77% • Open online survey – 64.5% • Online Panel – 77%
Current and Future EV vehicle Ownership	March/April 2022	Online survey, possibly posters for the Parish/Town Councils, by phone	Residents	N	Neighbourhoods Manager	Consultation finished on 30th April 2022 analysis of 236 responses is ongoing.
Regeneration & Policy						
Business Engagement Programme-	2020	Six-monthly themed events,	Local businesses with growth	N/A	Economic Development Manager	Face to face events cancelled due to Covid. Businesses instead signposted to on-line workshops and events hosted

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
business forums/workshops		plus workshops & networking	plans, including larger firms			by Business Peak District and East Midlands Chamber
Business Engagement Programme-business forums/workshops	2021	Six-monthly themed events, plus workshops & networking	Local businesses with growth plans, including larger firms	N/A	Economic Development Manager	Face to face events cancelled due to Covid. Businesses instead signposted to on-line workshops and events hosted by Business Peak District and East Midlands Chamber
Business Engagement Programme-business forums/workshops	2022	Six-monthly themed events, plus workshops & networking	Local businesses with growth plans, including larger firms	N/A	Economic Development Manager	2 events proposed during 2022/23
Derbyshire Dales Business Survey	March/April 2022	Telephone survey of 200 businesses	Businesses occupying business premises –	N	Economic Development Manager	Survey drafted and scheduled for June/July 2022
Biennial Business Survey – themed	Autumn 2020	On-line + phone survey	Local businesses	N/A	Economic Development Manager	On target for July 2022
Ashbourne Neighbourhood Plan Statutory Consultation	Autumn 2019	TBC	Ashbourne residents	EIA by Parish/Town	Policy Manager	Consultation completed in August 2020 A Referendum on Ashbourne Neighbourhood Plan was held on Thursday 6th May 2021, where local

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
				Coun cil		<p>people were invited to vote on the following question:</p> <p>"Do you want Derbyshire Dales District Council to use the Neighbourhood Plan for Ashbourne Town to help it decide planning applications in the Neighbourhood Area?"</p> <p>The result of the Referendum was as follows: Those voting in favour YES 2,397 Those voting against NO 250 (Turnout: 37.3%)</p> <p>Council adopted the plan on 1st July 2021</p>
Brailsford Neighbourhood Plan Statutory Consultation	Autumn 2020	TBC	Brailsford residents	EIA by Paris h/To wn Coun cil	Policy Manager	<p>Consultation ran from 9th Nov to 21st Dec 2020</p> <p>A Referendum on Brailsford Neighbourhood Plan was held on Thursday 6th May 2021, where local people were invited to vote on the following question:</p> <p>"Do you want Derbyshire Dales District Council to use the Neighbourhood Plan for Brailsford Parish to help it decide</p>

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
						<p>planning applications in the Neighbourhood Area?"</p> <p>The result of the Referendum was as follows: Those voting in favour YES 454 Those voting against NO 34 (Turnout: 44.7%)</p> <p>Council adopted the plan on 1st July 2021</p>
Local Plan	2022	TBC	Residents outside the Peak District	Y	Policy Manager	<p>As set out in the Statement of Community Involvement, Council approved on 24/03/22 the commissioning of consultants to undertake a more detailed assessment of options for delivery of a sustainable Derbyshire Dales that meets its agreed aspirations, as set out in Option 5 in paragraphs 4.15 and 4.16 of the report. A programme of public consultation is to be drawn up with Statutory Consultation likely to be undertaken around October 2023</p>
Climate Change SPD	January 2021	TBC	Residents outside the Peak District	N	Policy Manager	<p>Clear Lead Consulting Report to reduce Co2 emissions to net Zero by 2030 approved at Council 08/10/20. Consultation Undertaken Friday 12th</p>

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
						<p>February 2021 to Friday 26th March 2021. Adopted 5th July 2021</p> <p>Climate Change Officer, responsible for undertaking assessment work in place.</p>
<p>Performance indicators % agreeing the Council provides value for money (POL8), satisfaction with how the Council runs things (POL9), % satisfied with the area (N15)</p>	<p>September – October 2020</p>	<p>On-line survey Panel</p>	<p>Local residents</p>	<p>N</p>	<p>Director of Regeneration and Policy</p>	<p>2020 results</p> <p>% either strongly or tending to agree that the Council provides value for money (POL8) = 60.5%</p> <p>% either very or fairly satisfied with how the Council runs things (POL9) = 62%</p> <p>% either fairly or very satisfied with the area (N15) = 62%</p>
<p>Performance indicators % agreeing the Council provides value for money (POL8),</p>	<p>September – October 2021</p>	<p>On-line survey Panel</p>	<p>Local residents</p>	<p>N</p>	<p>Director of Regeneration and Policy</p>	<p>Residents Survey sent to the Online Panel, a postal survey to randomly selected residents, 180 face to face street interviews, and an open online survey promoted largely via social media was carried out Sept/Oct 2021</p>

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
satisfaction with how the Council runs things (POL9), % satisfied with the area (N15)						<p>Detailed results on all 3 of these questions is provided in a report to Governance and Resources Committee on 20th January 2022</p> <p>Average % of respondents from all surveys, who either strongly or tend to agree the council provides value for money [POL8] = 33%</p> <p>Average % of respondents from all surveys, either very or fairly satisfied with how the Council runs things (POL9) = 26%</p> <p>Average % of respondents from all surveys, either fairly or very satisfied with the area (N15) = 75%</p>
Corporate Services						
% of customers satisfied with internal Business Support services	Ongoing-after service delivery (2020-21)	Online survey	Local residents & stakeholders	N	Director of Corporate and Customer Services	Removed – survey respondents [17] were replying on issues with services in general, not Business Services specifically. Therefore not of use. Considering the introduction of a KPI on how quickly we answer phones for 2022/23.

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
Communications and Marketing: Matlock Bath Illuminations satisfaction	Dec 2020	Online questionnaire	Visitors to the illuminations		Comms & Marketing Manager/Digital Communications Officer	Not completed due to Covid
Communications and Marketing: Matlock Bath Illuminations satisfaction	Dec 2021	Online questionnaire	Visitors to the illuminations		Comms & Marketing Manager/Digital Communications Officer	Completed – 551 responses; summary of the results used in Illuminations report to Community & Environment Committee, 23 February 2022.

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APPENDIX THREE

EQUALITY ACTION PLAN 2022-2024

DRAFT

Equality Objectives	Actions	Performance Measures / Targets	Equality Outcome [reported annually]	Lead	By when
PEOPLE - PROVIDING YOU WITH A HIGH QUALITY CUSTOMER EXPERIENCE					
Objective 1: Maintain high customer satisfaction about the quality of services we deliver	CP20/PE7 Undertaking an annual online survey of residents to establish customer satisfaction and priorities	Undertake Annual Survey using the Online Residents Panel to assess resident satisfaction with DDDC Services by Nov 2022		Director of Regeneration & Policy	November 2022
	CP20/PE7 Undertaking an annual online survey of residents to establish customer satisfaction and priorities	Undertake Annual Survey using the Online Residents Panel to assess resident satisfaction with DDDC Services by Nov 2023		Director of Regeneration & Policy	November 2023
	CP20/PE9 Maintain other customer access channels: during opening hours, you will still be able to phone us or drop by	Continue to maintain and publicise a variety of offline customer contact channels for the District Council's services through Dales Matters and other media.		Director of Corporate & Customer Services	Annually ongoing -

Equality Objectives	Actions	Performance Measures / Targets	Equality Outcome [reported annually]	Lead	By when
	at the Town Hall in Matlock				
	CP20/PE6 ability to access more service 24/7 online	Expand the number of services that are fully trackable by 20		Communications	March 2023
	Fully utilise the in cab software that links to SERCO and the CRM. The CRM to provide an improved customer experience and improved communication.	Fewer calls to the Council front desk, more automation Benchmark - telephone Calls received April 21 to March 22: <ul style="list-style-type: none"> • Waste – 24,165 • Garden Waste – 13,030 		Waste and Recycling Manager	December 2022
	% of lost telephone calls handled by Customer Services	3% or less		Business Support [Corporate and Customer Services]	March 2023
	Deliver new website			Comms & Marketing Manager [Corporate and Customer Services]	Dec 2022
	Publish the District Council's Equality information	Published on website by end Jan 2023		Policy Officer	End Jan 2023
	Publish the District Council's Equality information	Published on website by end Jan 2024		Policy Officer	End Jan 2024

Equality Objectives	Actions	Performance Measures / Targets	Equality Outcome [reported annually]	Lead	By when
	% of new Council Tax Support claims processed within 14 days	60.0%		Benefits Manager	
	% of new Housing Benefit claims processed within 14 days	65.0%		Benefits Manager	
	% major planning application determined in 13 weeks or agreed extension of time period	>75%		Development Manager [Regulatory Services]	
	% minor planning application determined in 8 weeks or agreed extension of time period	>77%		Development Manager [Regulatory Services]	
	% of other planning applications determined in 8 weeks or agreed extension of time period	>90%		Development Manager [Regulatory Services]	

PLACE - KEEPING THE DERBYSHIRE DALES CLEAN, GREEN AND SAFE

Equality Objectives	Actions	Performance Measures / Targets	Equality Outcome [reported annually]	Lead	By when
Objective 2: Implement the Derbyshire Dales Climate Change Strategy	Deliver a high quality waste/recycling service to residents	Waste & recycling collection - % satisfied with service [contractor to complete]		Director of Community & Environmental Services, Waste and Recycling Manager	March 2023
	Deliver a high quality waste/recycling service to residents	Waste & recycling collection - % satisfied with service [contractor to complete]		Director of Community & Environmental Services Waste and Recycling Manager	March 2024
	Deliver the Sustainable Warmth competition (LAD3/HUG) grant funded works to reduce fuel poverty, improve the energy efficiency of homes and decarbonise heating	By March 2023		Climate Change Officer	
	Apply for further rounds of Green Homes Grant funding as it becomes available (HUG2) and support housing associations in applications for	By March 2023		Climate Change Officer	

Equality Objectives	Actions	Performance Measures / Targets	Equality Outcome [reported annually]	Lead	By when
	future rounds of Social Housing Decarbonisation Fund				
	Implement tree management project and measure the effectiveness of the action taken	Implement by April 2022 and measure effectiveness by April 2023		Development Manager & Trees and Landscape Officer	
Work with partners and communities to maintain high levels of community safety	Provide security equipment for victims and survivors of Domestic Abuse.	Provide funding to Crossroads DA Services to install appropriate equipment on an individual case basis to enable victims and survivors to feel safe in their homes. Equipment can include cameras, door, window and gate locks and personal alarms.	Number of households benefitting from enhanced security.	Neighbourhoods Manager Community Safety	March 2023
	Community Safety Reduction in the number of ASB reoffenders	90%		Community Safety [Community and Environmental Services]	
	Community Safety Hold at least one multi-agency Community Safety Event	2		Community Safety [Community and Environmental Services]	

Equality Objectives	Actions	Performance Measures / Targets	Equality Outcome [reported annually]	Lead	By when
	Community Safety - Communication campaign across the District signposting potentially victims to Services	By March 2023		Community Safety [Community and Environmental Services]	
Implement the Council's Climate Change Strategy and ensure that the benefits derive to vulnerable households across the District	Insulation / greener homes		Responsibility for enacting this is moving from Housing to Climate Change teams. We have received government funding in the last two years and are applying for the future rounds of government funding. SMART targets will be defined once the criteria for future rounds are clear	Director of Housing /Climate Change Officer	June 2022
To work with Derbyshire County Council to understand where the need is within District which would benefit from	To provide options and any associated costs for Members to make a decision on the way forward with a view to introduce more	Increased number of EV charge points within the district, in response to consultation results		Neighbourhoods [Community and Environmental Services]	March 2023

Equality Objectives	Actions	Performance Measures / Targets	Equality Outcome [reported annually]	Lead	By when
the installation of EV charging points	publicly accessible EV charging points within Public Car Parks				
PROSPERITY - SUPPORTING BETTER HOMES AND JOBS FOR YOU					
Objective 3: Promote housing Development that meets the needs of the present and future population of the District	CP20/PR10 Helping disabled people adapt their homes so they can continue to live there	Provide adaptations to the homes of 70 disabled people by March 2023		Director of Regulatory Services	March 2023
	CP20/PR10 Helping disabled people adapt their homes so they can continue to live there	Provide adaptations to the homes of 70 disabled people by March 2024		Director of Regulatory Services	March 2024
	CP20/PR18 Continue to provide debt and welfare advice to vulnerable households	Provide debt and welfare advice to 300 vulnerable households by March 2023		Director of Housing	March 2023

Equality Objectives	Actions	Performance Measures / Targets	Equality Outcome [reported annually]	Lead	By when
	CP20/PR18 Continue to provide debt and welfare advice to vulnerable households	Provide debt and welfare advice to 300 vulnerable households by March 2024		Director of Housing	March 2024
	CP20/PR8 Building new Council homes to rent and continuing to build social rented homes in partnership with Housing Associations	The Council will acquire 10 additional homes and deliver 33 homes with housing association partners in 2022/23		Director of Housing	March 2023
	CP/PR 8 Commence the programme to build new Council homes to rent by March 2022			Housing	March 2024
	% of new homes built on previously developed land	75%		Planning Manager/ Assistant Policy Technical	March 2023
	Net additional homes provided	300		Planning Manager/ Assistant Policy Technical	

Equality Objectives	Actions	Performance Measures / Targets	Equality Outcome [reported annually]	Lead	By when
	The total no. of net additional dwellings that are deliverable as a % of the planned housing provision for the 5 year period	100%		Planning Manager/ Assistant	Policy Technical
	% of new homes built during the year, which are affordable housing	15%		Planning Manager/ Assistant	Policy Technical
	The % of homeless households seeking assistance from the Council, for whom this intervention helped resolve their situation			Homeless [Housing]	team March 2023
	CP20/PR13 Delivering a permanent site to meet identified traveller needs by March 22			Director of Housing	March 2024
Objective 4: Seek to attract investment that supports the local	Having a positive impact on young people – support three diversionary	3 Youth diversionary project funded to operate weekly sessions in the	Three diversionary youth projects.	Neighbourhoods Community Safety	March 23

Equality Objectives	Actions	Performance Measures / Targets	Equality Outcome [reported annually]	Lead	By when
economy including the provision of jobs for younger people	projects using £17,000 of funding provided by the Police Crime Commissioner	ASB hotspot areas of Matlock and Ashbourne	Number of young people engaging with projects.		
	Employ an apprentice to provide training and experience to support their qualification.	Employ one apprentice by March 2023		Clean and Green	March 23
	Deliver partnership event to support employers with recruitment	1 event by March 2023		Economic Development [Regeneration and Policy]	
ONE TEAM, ONE COUNCIL, ONE PURPOSE					
Objective 5: One team, working together as one Council with one purpose	Agree and progress the corporate programme of priority Equality Impact Assessments for 2022/23	EIA programme for 2022-23 complete <ul style="list-style-type: none"> Controlled Substances at Work Policy Monitoring & Surveillance Policy £150 energy rebate Text Payment System 		Directors of Services	March 2022

Equality Objectives	Actions	Performance Measures / Targets	Equality Outcome [reported annually]	Lead	By when
		<ul style="list-style-type: none"> • Live streaming of council meetings • Clean and Green review depending on recs • PSPO dependent on data • Parks survey – dependent on results • Car park review – dependent on review outcomes • Community Governance Review – on agreed changes 			
	Agree and progress the corporate programme of priority Equality Impact Assessments for 2023/24	EIA programme for 2023-24 complete		Directors of Services	
	Implement the Clean and Green Action Plan devised by the Clean and Green Manager and the Director of Community and	Report and provide recommendations to elected members, develop and implement an improvement plan		Director of Community and Environmental Services	Has been delayed due to Covid. March 2023

Equality Objectives	Actions	Performance Measures / Targets	Equality Outcome [reported annually]	Lead	By when
	Environmental Services.				

APPENDIX FOUR

CONSULTATION & ENGAGEMENT ACTION PLAN 2022 – 2024

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
Regulatory Services						
Charging for Food Hygiene Rating Scheme re-inspections	2022/23	TBC	Businesses and organisations that sell food and drinks to the public	TBC	Environmental Health Manager	Delayed whilst hospitality sector was under Covid restrictions. Planned for 22/23
Undertake community engagement at four events and provide advice to rural communities through the use of the 'Fantastic Homes' exhibition	by March 2023	Face to face – information sharing and discussion	Residents	N – no decisions made	Director of Regulatory Services/Climate Change Officer	First year's work commenced Q4 of 21/22 – 4 visits completed. To be continued into 22/23
Increases to taxi fares	June 2022	Increases promoted via social media and	Residents Taxi drivers	Yes	Licensing Manager Regulatory Services	Rises to fares advertised

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
		DDDC website				
Housing						
Customer satisfaction with housing needs services	2022/23	Face to face/online survey	Customers	N	Housing Strategy Officer Homeless	
Customer satisfaction with housing needs services	2023/24	Face to Face/online survey	Customers	N	Housing Strategy Officer Homeless	
Research into conditions and outcomes for private landlords and tenants. Results to inform development of policy proposals to improve conditions and outcomes for tenants and landlords	March to September 2022	Focus groups with landlords and tenants DDDC Officers and data held by/accessible to DDDC	Focus groups – landlords and tenants DDDC Officers Data already held by DDDC	Yes on new policy	Director of Housing	Altair commissioned to, <ul style="list-style-type: none"> • Review and analyse information about the PRS that DDDC Officers have • Undertake qualitative research and engagement • Develop policy options. Timescales: Project initiation and scoping March 2022 - complete Data collection and review April-May 22 - ongoing Stakeholder engagement May June 22 Options development and reporting July-September 22

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
Develop housing needs information through parish housing needs surveys and ward based housing assessments	Dec 2022	Secondary data from the Home Options register and Home Check and Management Information from housing associations. Some primary research in Parishes	Residents and specifically people with housing needs	N	Rural Housing Enabler [Housing]	Currently advertising for Housing Needs and Research Officer
Resources						
Biennial ICT internal satisfaction survey	January 2023	Biennial online survey	Staff at DDDC	N	Service Delivery Manager [Joint ICT Services]	
Budget 2023-24 consultation	August/Sept 2022	TBC – likely to include;	Residents and business payers	TBC	Director of Resources / Director of	NOTE: Given limited response rate further consideration is being given to how to ensure active business engagement in the future. The

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
<ul style="list-style-type: none"> • More in depth • Covering the medium term (not just one year) • To inform the MTFP & MTFS as well as the annual budget • Review the effectiveness of this stakeholder engagement & consider other methods such as focus groups. 		<ul style="list-style-type: none"> • Presentations at meetings or electronic/ paper survey. • Business Forums and Community Forums • Feedback to the public at the community Forums in February 			Regeneration and Policy	<p>Director of Regeneration and Policy has suggested that it is merged with the larger residents' satisfaction survey; it may be possible to follow up with some specific focus groups. We also need to consult with businesses.</p> <p>Director of Resources and Policy Officer meeting to discuss 08/06/22</p>

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
Budget 2024-25 consultation	August/Sept 2023	Presentati on at meetings or electronic/ paper survey. Business Forums and Communit y Forums Feedback to the public at the community Forums in February	Residents and businesses	TBC	Director of Resources / Director of Regeneration and Policy	
Budget 2023-24 consultation	August 2022	TBC - Presentati on at meetings or electronic/ paper survey. Business	Residents and businesses	TBC	Director of Resources / Director of Regeneration and Policy	

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
		Forums and Communit y Forums				
Community and Environmental Services						
Customer satisfaction survey with the refuse and recycling service	2022	TBC – probably a telephone survey	Residents	N	Director of Community and Environmental Services	This survey should be completed by SERCO. They have acknowledged that it is their responsibility and they haven't completed it yet. They have said they plan to but no date has been supplied for this to happen.
Customer satisfaction survey with the refuse and recycling service	2023	TBC	TBC	N	Director of Community and Environmental Services	
Customer satisfaction survey with the waste and recycling service	2024	TBC	TBC	N	Director of Community and Environmental Services	

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
Host 2 trader forums for Bakewell Market.	2022/23	TBC - Zoom or Face to face forum with market traders	Bakewell Market Traders	N	Events [Community and Environmental Services]	Traders are currently being asked which method they would prefer: Zoom or face-to-face
Market research into customer satisfaction with Leisure Facilities	June 2022	Various - to be determined	Residents, existing and potential users	N	Freedom Leisure / Community Development Manager	
Market research into customer satisfaction with Leisure Facilities	June 2023	Various - to be determined	Residents, existing and potential users	N	Freedom Leisure / Community Development Manager	
Engage with 4 community groups across the main towns to become actively involved in the roads, verges and biodiversity project	2022/23	Groups have either approached us or we have made contact with them.	Community and Environmental groups	N	Community Development Officer	Worked with Wirksworth during 2021 and in 2022 we are working with groups in Ashbourne, Bakewell and Matlock Bath

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
Survey satisfaction levels with the users of 3 parks per year at 60%	2022	Survey Monkey, face to face interviews	Users of Dimple Fields, Bakewell Recreation Ground and Fanny Shaws in Wirksworth	N	Community Development Manager	The surveys have been completed and two out of three were above 60%, the third was just below
Survey satisfaction levels with the users of 3 parks per year at 60%	2023	Survey Monkey, face to face interviews	Bolehill Recreation Ground, Derwent Gardens, Northwood Recreation ground	N	Community Development Manager	
Develop and implement an improvement plan in the parks from the results of the customer satisfaction survey (dependent	March 2023	Meeting with park user groups	Park users Residents	Y [?]	Director of Community and Environmental Services	Note: Customer survey work will continue next year with 3 surveys. One will be Tansley village Green/Recreation, others tbc

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
upon external funding)						
Area Community Forum	January 2023	Public meeting	Residents, businesses, Service users, Partners	N	All Neighbourhoo ds Liaison Officer	
Area Community Forum	January 2024	Public meeting	Residents, businesses, Service users, Partners	N	12 [Community Development Team]	
Review of the Council's Car Parking Order	2022	Various	User groups, traders	Y	Neighbourhoo ds Manager	Awaiting guidance from members as of May 22
Understanding which areas in the District would benefit from the installation of EV charging points	2022	Various – online survey	Residents, users of car parks	Y	Neighbourhoo ds	Consultation has recently closed. Analysis of results to follow.
Holiday Activity and Food programme – how can we improve it for next year	2022/23	Face to face with young people, online survey for parents	Youngsters who used the services, parents	N	Community Development Manager, Physical Activity & Sport Development	Next survey to be completed – Summer 2022. Results will inform future meals and activities in Summer 2022 – dependent on funding

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
CRI8 & CRI9 % people feeling safe outside during the day and night	November 2022	Online Panel Survey	Local residents	N	Policy Manager	
CRI8 & CRI9 % people feeling safe outside during the day and night	November 2023	Online Panel Survey	Local residents	N	Policy Manager	
Review/Consult on a new PSPO to be introduced by Summer 2022	July 2022	Online survey advertised through social media, via site notices, newspaper s. Direct liaison with Town/Parish Councils, and Parish Meetings, user groups and	Users Interested parties Accessibility groups	Draft was prepa red	Neighbourhoo ds Liaison Officer	<p>Reported to C&E 6th April https://www.derbyshiredales.gov.uk/images/2022-04-06 - AGENDA - CE_N.pdf</p> <p>All recommendations approved: these included amendments as to how PSPOs will be applied in the case of dog fouling and car parking.</p> <p>Options regarding other issues such as alcohol consumption and the use of BBQs are being explored.</p> <p>Data will be gathered through the summer, particularly on the use of BBQ and open fires and reported to C&E 10th November ish</p>

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
		interested parties				
Community Safety Consultation, Understand how residents/businesses view this in their area	By March 2023	Online survey – possibly posters for the Parish/Town Councils, by phone	Residents, businesses, interested groups	Y	Community Safety Officer	Community Safety have started doing a yearly survey to understand residents' views on Community Safety, the first one took place in 2022 and they plan to report year on year to see what difference, if any, there is The responses also help define projects/activities and events DDDC conducts in an effort to improve services.
Parking review which supports the parking order	By March 2023	Various – online, posters for the Parish/Town Councils, by phone	Residents, businesses, local workers and other interested groups	Y	Neighbourhoods Manager	Awaiting guidance from members
Regeneration & Policy						
Business Engagement Programme-business	2022	Six-monthly themed events,	Local businesses with growth plans,	N/A	Economic Development Manager	2 events proposed during 2022/23 plus a partner engagement event to inform proposals for the Council's

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
forums/workshops		plus workshops & networking	including larger firms			UK Shared Prosperity Fund Investment Plan
Business Engagement Programme-business forums/workshops	2023	Six-monthly themed events, plus workshops & networking	Local businesses with growth plans, including larger firms	N/A	Economic Development Manager	See above. Programme for 2023/24 to be confirmed
Derbyshire Dales Business Survey	June / July 2022	Telephone survey of 200 businesses	Businesses occupying business premises –		Economic Development Manager	Survey drafted and consultants appointed
Derbyshire Dales CEOs Forum	July 2022	Forum	Engagement with leading businesses within the Dales		Economic Development Manager	On target for July 2022. Venue options being considered
Derbyshire Dales CEOs Forum	July 2023	Forum	Engagement with leading businesses within the Dales		Economic Development Manager	See above
Biennial Business Survey themed –	Autumn 2022	On-line + phone survey	Local businesses	N/A	Economic Development Manager	

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
Undertake Annual Survey using the Online Residents Panel to assess resident satisfaction with Derbyshire Dales District Council services	Complete survey and report to Council by Nov 22	Online survey to Online Panel Members	Residents on the Online Panel	No	Policy Manager/Policy Officer	
Local Plan	2022	TBC	Residents outside the Peak District	Y	Policy Manager	As set out in the Statement of Community Involvement, Council approved on 24/03/22 the commissioning of consultants to undertake a more detailed assessment of options for delivery of a sustainable Derbyshire Dales that meets its agreed aspirations, as set out in Option 5 in paragraphs 4.15 and 4.16 of the report. A programme of public consultation is to be drawn up with Statutory Consultation likely to be undertaken around October 2023
Performance indicators % agreeing the Council provides	Nov 2022	On-line Panel survey	Local residents	N	Policy Officer	

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
value for money (POL8), satisfaction with how the Council runs things (POL9), % satisfied with the area (N15)						
Performance indicators % agreeing the Council provides value for money (POL8), satisfaction with how the Council runs things (POL9), % satisfied with the area (N15)	Nov 2023	On-line Panel survey	Local residents	N	Policy Officer	
Corporate Plan 2024 to 2028 – identifying potential Council priorities and actions	to be complete by May 2023	TBC – using consultants but to include surveying our Online Panel and	Local Residents	Y	Policy Officer	Project in development phase – timeline and procurement specification in development NOTE – a budget for consultants will need approval

Issue/ Consultation Task	Date planned	Methods	Target Groups	EIA req'd	Lead Officer	Progress
		other residents				
Corporate Services						
Communication s and Marketing: Matlock Bath Illuminations satisfaction	Dec 2022	Online questionna ire	Visitors to the illuminations		Comms & Marketing Manager/Digit al Communicatio ns Officer	
Communication s and Marketing: Matlock Bath Illuminations satisfaction	Dec 2023	Online questionna ire	Visitors to the illuminations		Comms & Marketing Manager/Digit al Communicatio ns Officer	
Community Governance Review [Matlock/Darley Dale]	June to Sept 2022	tbc	Stakeholders - residents; County, Town and Parish councils; other bodies with a concern/interest	N	Director of Corporate and Customer Services, Democratic Services Manager	

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OPEN REPORT GOVERNANCE AND RESOURCES COMMITTEE

Governance and Resources Committee – 22 September 2022

Complaints Annual Report 2021-22

Report of Director of Corporate and Customer Services

Report Author and Contact Details

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Wards Affected

District-wide

Report Summary

This report provides information on formal complaints made 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.

Recommendations

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

List of Appendices

Appendix 1 Local Government and Social Care Ombudsman Annual Letter to the Chief Executive of Derbyshire Dales District Council

Background Papers

[Derbyshire Dales District Council Complaints Procedure](#)

Consideration of report by Council or other committee

N/A

Council Approval Required

No

Exempt from Press or Public

No

Complaints Annual Report 2021-22

1. Background

1.1 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.

1.2 The Council's Complaints Procedure has three stages:

Stage 1 – Informal Complaint

Complaints received are sent to the relevant Service Manager for assessment, investigation and response

Stage 2 – Formal Complaint

This process is used if customers are either not satisfied with the results of their informal complaint or if, by its very nature, their complaint is accelerated by the Council to this point from the start. The Council also accelerates complaints to stage 2 if it has let down customers by not responding within its targets at stage 1.

If a complaint has already passed through stage one, and the customer remains dissatisfied, the Council will ask the customer to make it clear that they want their complaint to be referred to the relevant Service Director for assessment, investigation and response.

Stage 3 – Final Stage

If a customer is not satisfied with the response at Stage 2 they can ask the Council to look at their complaint again in the final stage in the complaints procedure. At this stage, customers are asked to explain their reasons for seeking a final review so that the Chief Executive can focus on those particular concerns, review them and provide the Council's final decision.

1.3 Where a complainant remains dissatisfied with the response of the Council to its complaint after Stage 3, they can take things further by contacting the Local Government Ombudsman. The Ombudsman is totally independent of the Council and has a legal duty to investigate complaints about local councils across the country.

1.4 The purpose of this report is to outline the complaints that the Council received in the period from 1 April 2021 to 31 March 2022, those matters referred to the Local Government Ombudsman and to provide an overview of complaints received in respect of alleged breaches of the Code of Conduct by Members of the District Council and town/parish councils.

2. Key Issues

Formal Complaints to the District Council

2.1 During 2021/22 the District Council received a total of 221 complaints in respect of its services. This compares with a total of 135 complaints in

2020/21. The large increase in complaints is attributed to the well documented issues in relation to the delivery of waste collection services in the last year.

- 2.2 194 complaints (88%) were resolved at Stage 1 of the complaints procedure in 2021/22, with 23 complaints (10%) resolved at stage 2 and a further 4 complaints (2%) going onto stage 3 review by the Chief Executive. This compares favourably to performance in 2020/21 which saw 78% of complaints resolved at stage 1, 13% resolved at Stage 2 and 8% going to stage 3 review by the Chief Executive. This suggests that officers have been able to address and resolve complaints earlier and faster in 2021-22, which is positive in view of the increase and concentration of complaints in one service department.
- 2.3 There has been an improvement in performance in responding to complaints within the ten day timescale required by the complaints procedure. In 2021/22, officers responded to 89% of complaints within the ten day timescale, whereas this figure was 79% in 2020/21. Whilst this is recognised as an improvement on the previous year, further training will be delivered in the coming year to reiterate standards to officers. Performance reports will be reviewed by the Corporate Leadership Team on a quarterly basis to ensure that standards are being adhered to and understand what is preventing responses being issued in accordance with the agreed timescale.
- 2.4 A summary of complaints received by service department is detailed in the following table:

Service Department	Total Complaints Received	Issues complained about	Number of complaints
Corporate & Customer Services	5	Derbyshire Clause Procedure	2
		Electoral Emails	1
		Social Media Communications	1
		Land Charges	1
Community & Environmental Services	204	ABC Motorcycle Show	1
		Arc Cleanliness	1
		Bakewell Market Blocked	1
		Waste Collections	164
		Food Waste,	3
		Garden Waste,	5
		Toilets,	8
		Unsafe Play Area	1
		Car Parks	14
		Cemeteries maintenance	1
		Grounds Maintenance Staff	1
		Hall Leys Park Staff	1
Hedge / Verge Cutting	3		
Housing	1	Home Options	1
Regeneration & Policy	0	-	-

Service Department	Total Complaints Received	Issues complained about	Number of complaints
Regulatory Services	6	Planning	3
		Noise Nuisance	1
		Hygiene Inspection	1
		Fixed Penalty Notice	1
Resources	1	Council Tax	1
Cross Departmental	4	Injury in car park	1
		Conversation with staff member re waste	1
		Customer Services and Waste Collections	1
		Waste Collections and reporting them	1

Local Government & Social Care Ombudsman Performance during 2021-22

- 2.5 Complainants who remain dissatisfied with the handling of their complaint following the final stage of the internal complaints procedure may take their issue up with the Local Government and Social Care Ombudsman (LGO).
- 2.6 On 20 July 2022, the LGO wrote to the District Council to confirm that during the 2021/22 year the LGO had undertaken 2 detailed investigations in respect of complaints about the authority and had not upheld either complaint. This compared to a figure of 51% of complaints being upheld on average in similar authorities. By way of contrast, the LGO undertook one detailed investigation of a complaint about the District Council in 2020/21 and upheld that complaint meaning that 100% of complaints were upheld.
- 2.7 A copy of the LGO's letter and statistics in respect of the District Council are appended to this report.

Member Code of Conduct Complaints

- 2.8 Under the provisions of the Localism Act, the Monitoring Officer is required to assess such complaints against agreed criteria and the relevant authority's Code of Conduct, in consultation with the Independent Person.
- 2.9 The Assessment involves an examination of the evidence provided with a view to concluding whether on the face it:
- (a) the matter falls within the remit of the Code of Conduct. If the answer to this question is 'no', the complaint is immediately dismissed. If the answer is 'yes' the matter proceeds to the next stage;
 - (b) the potential exists, if proven, for the alleged behaviour to amount to a breach of the District Council's Code of Conduct. If the answer to that is 'No' the complaint is dismissed. If the answer is 'yes', the Monitoring Officer must balance the severity of the potential breach in terms of the public interest in requiring the matter to proceed to a

full investigation or to consider whether an alternative remedy is more relevant in the circumstances

2.10 There were 12 formal complaints alleging breaches of the Code of Conduct for Members during 2021/22. Within these complaints there were 13 alleged breaches by District Councillors and 12 alleged breaches by town or parish councillors. None of the complaints received in 2021/22 were subject to investigation and were resolved by the Monitoring Officer or Deputy Monitoring Officers at the initial assessment stage.

2.11 A summary of the complaints is set out in the table below:

No	District or Parish	Allegation	Outcome	MO or DMO
1	District	Complaint of alleged unauthorised surveillance and photography of a property by a Member connected to a Planning application	No action taken – no evidence produced and not in the public interest to investigate	DMO
2	District	Complaint of alleged predetermination of a matter considered by the Planning Committee	No action – Member had declared a personal interest and that they had an open mind. No evidence produced to suggest otherwise. Not in the public interest to investigate	DMO
3	District	Complaint of alleged misinterpretation of comments at a meeting of the Planning Committee	Apology recommended and provided by the Subject Member to the complainant	MO
4	District	Complaint of alleged misinterpretation and misrepresentation of residents' views at a meeting of the Planning Committee	Apology recommended and provided by the Subject Member to the complainants	MO
5	Parish	Complaint of alleged bullying and harassment in relation to planning enforcement by 10 Parish Councillors	No action – the complainant had provide insufficient evidence to suggest that it was in the public interest to investigate the complaint further	DMO

No	District or Parish	Allegation	Outcome	MO or DMO
6	District	Complaint of alleged bullying and harassment in relation to planning enforcement by a District Councillor	No action – the complainant had provided insufficient evidence to suggest that it was in the public interest to investigate the complaint further	DMO
7	Parish	Complaint of a lack of respect from a parish councillor to a local resident	No action - the complainant had provided insufficient evidence to suggest that it was in the public interest to investigate the complaint further	MO
8	District	Complaint of a lack of respect from a Member to another Member at a meeting of the Planning Committee	Upheld – Apology and training on the Code of Conduct recommended. Training delivered by the MO to the Subject Member, who also provided an apology to the complainant	MO
9	District	Complaint of a failure to demonstrate leadership and a lack of respect exhibited by 5 Members during a meeting of the Council (this matter was the subject of a collective complaint, although it was assessed as a single complaint)	No action – the allegations were not sufficiently serious to warrant further investigation	MO
10	District	Complaint of a lack of respect exhibited by a Member during a meeting of the Council	No action – the allegations were not sufficiently serious to warrant further investigation	MO
11	District	Complaint of a lack of respect through the use of potentially offensive material on the Member’s social media profile	No action – the allegations were not sufficiently serious to warrant further investigation	MO

No	District or Parish	Allegation	Outcome	MO or DMO
12	Parish	Complaint of a lack of respect during a meeting of a Town Council	No action – the allegations were not sufficiently serious to warrant further investigation	MO

2.12 By way of comparison, in 2020/21 there were 9 complaints alleging that the Code of Conduct for Councillors had been breached (9 individual allegations against District Councillors and 1 allegation against a parish councillor). During 2020/21, external investigators were commissioned in respect of two complaints against three District Councillors.

2.13 The Council is unable to recharge Town or Parish Councils for any costs incurred in assessing or investigating complaints. The Localism Act 2011 requires that the District Council meets all costs associated with considering complaints against councillors. Every complaint received by the Council is estimated to cost approximately £475 if concluded at the initial assessment stage. This cost does not include the opportunity cost of the Monitoring Officer not being able to undertake their other duties and responsibilities as the Director of Corporate and Customer Services whilst assessing and investigating complaints alleging breaches of the code of conduct. The costs to the Council are usually significantly higher where complaints require investigation either internally or by an external investigator.

3. Options Considered and Recommended Proposal

3.1 This report is submitted for information to provide Members with an overview of the authority's performance in respect of complaints. No decision is sought other than to formally receive the report.

3.2 However, work continues to improve the Council's offer to customers and the way in which it responds to complaints about services. With the development of a Customer Access Strategy and regular reporting on performance to the Corporate Leadership Team, Members can be assured that officers will continue to seek to improve the way in which the Council learns from complaints, ensuring that all learning reported is considered and the impact of service improvement is understood and recorded.

3.3 Another area for development is to increase the number of compliments recorded as this is also an important positive indicator of the quality of service provided and the value placed on it by residents and customers. In the coming year, officers from Corporate and Customer Services will work with managers to ensure that the process for recording and reporting compliments is established and positive feedback is directly shared with staff.

4. Consultation

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

5. Timetable for Implementation

- 5.1 There are no recommendations within this report requiring Member determination or a timetable for implementation. The report is submitted for information.

6. Policy Implications

- 6.1 Complaints monitoring has direct links to the Council's core values of fairness and equality, listening to people and quality of service. Additionally it links to the Council's corporate priority of providing a high quality customer experience.
- 6.2 A Customer Access Strategy which sets out the service offer that residents and customers can expect from the District Council, along with accompanying standards, will be reported to the Council in November 2022. Members will be asked to consider linking existing complaints procedures to the Customer Access Strategy so that all policy and procedural provisions are aligned to providing a high quality customer experience.

7. Financial and Resource Implications

- 7.1 There are no direct financial implications arising from this report. The provision of the compliments and complaints service is factored into the Council's budget. If a complaint to the LGO is upheld and the Council receives a recommendation to make a compensatory payment, then a request for an appropriate payment will be made to this committee in accordance with the Council's Financial Regulations. The financial risk associated with this report is assessed as low.
- 7.2 There are no direct staffing implications arising from this report.

8. Legal Advice and Implications

- 8.1 There was no breach of a rule of law in any of the complaints submitted during 2021/22 nor were there any matters requiring resolution from the Local Government and Social Care Ombudsman. This indicates that officers are responding to complaints in manner that is compliant with the functions and responsibilities of the authority and raises no concerns from a legal perspective.
- 8.2 For elected Members, mandatory training is aimed specifically at mitigating the chances of a serious complaint being submitted alleging a breach of the Code of Conduct. Refresher training on the ethical framework was delivered to Members in December 2021 and was mandatory for all Members.
- 8.3 Given that this report is submitted for information, the legal risk associated with this report is assessed as low.

9. Equalities Implications

- 9.1 Investigations through the complaint procedure consider all relevant policy and legislation, including those relating to equalities.

9.2 Improvements have been made to the way that complaints are recorded to ensure that information relating to equality and diversity are captured where the complainant is comfortable to disclose this information.

10. Climate Change Implications

10.1 There are no direct implications for CO2 Emissions and Climate Change arising from this report. However, it is possible for complaints to be made relating the Council's approach to Climate Change and these matters can be formally considered through the Complaint Procedures.

11. Risk Management

11.1 The Council faced pressures on services during 2021/22 due to the impact of the pandemic, as well as a continued ambition to improve customer experiences. It is important that customer expectations around what is sustainable for the Council to deliver are properly managed. To mitigate this, the Council is continuing to engage with the public as appropriate through regular communication, as well as where services are being proposed to be amended.

Report Authorisation

Approvals obtained from:-

	Named Officer	Date
Chief Executive	Paul Wilson	05/09/2022
Director of Resources/ S.151 Officer (or Financial Services Manager)	Karen Henriksen	22/08/2022
Monitoring Officer (or Legal Services Manager)	James McLaughlin	31/08/2022

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20 July 2022

By email

Mr Wilson
Chief Executive
Derbyshire Dales District Council

Dear Mr Wilson

Annual Review letter 2022

I write to you with your annual summary of complaint statistics from the Local Government and Social Care Ombudsman for the year ending 31 March 2022. The information offers valuable insight about your organisation's approach to complaints. As such, I have sought to share this letter with the Leader of your Council and Chair of the appropriate Scrutiny Committee, to encourage effective ownership and oversight of complaint outcomes, which offer such valuable opportunities to learn and improve.

Complaint statistics

Our statistics focus on three key areas that help to assess your organisation's commitment to putting things right when they go wrong:

Complaints upheld - We uphold complaints when we find fault in an organisation's actions, including where the organisation accepted fault before we investigated. We include the total number of investigations completed to provide important context for the statistic.

Compliance with recommendations - We recommend ways for organisations to put things right when faults have caused injustice and monitor their compliance with our recommendations. Failure to comply is rare and a compliance rate below 100% is a cause for concern.

Satisfactory remedy provided by the authority - In these cases, the organisation upheld the complaint and we agreed with how it offered to put things right. We encourage the early resolution of complaints and credit organisations that accept fault and find appropriate ways to put things right.

Finally, we compare the three key annual statistics for your organisation with similar authorities to provide an average marker of performance. We do this for County Councils, District Councils, Metropolitan Boroughs, Unitary Councils, and London Boroughs.

Your annual data, and a copy of this letter, will be uploaded to our interactive map, [Your council's performance](#), on 27 July 2022. This useful tool places all our data and information about councils in one place. You can find the detail of the decisions we have made about your Council, read the public reports we have issued, and view the service improvements your Council has agreed to make as a result of our investigations, as well as previous annual review letters.

Supporting complaint and service improvement

I know your organisation, like ours, will have been through a period of adaptation as the restrictions imposed by the pandemic lifted. While some pre-pandemic practices returned, many new ways of working are here to stay. It is my continued view that complaint functions have been under-resourced in recent years, a trend only exacerbated by the challenges of the pandemic. Through the lens of this recent upheaval and adjustment, I urge you to consider how your organisation prioritises complaints, particularly in terms of capacity and visibility. Properly resourced complaint functions that are well-connected and valued by service areas, management teams and elected members are capable of providing valuable insight about an organisation's performance, detecting early warning signs of problems and offering opportunities to improve service delivery.

I want to support your organisation to harness the value of complaints and we continue to develop our programme of support. Significantly, we are working in partnership with the Housing Ombudsman Service to develop a joint complaint handling code. We are aiming to consolidate our approaches and therefore simplify guidance to enable organisations to provide an effective, quality response to each and every complaint. We will keep you informed as this work develops, and expect that, once launched, we will assess your compliance with the code during our investigations and report your performance via this letter.

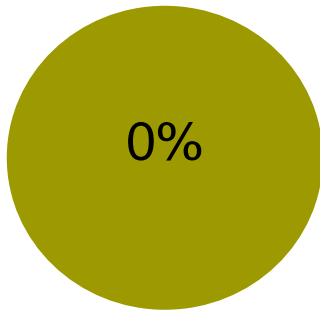
An already established tool we have for supporting improvements in local complaint handling is our successful training programme. We adapted our courses during the Covid-19 pandemic to an online format and successfully delivered 122 online workshops during the year, reaching more than 1,600 people. To find out more visit www.lgo.org.uk/training.

Yours sincerely,



Michael King
Local Government and Social Care Ombudsman
Chair, Commission for Local Administration in England

Complaints upheld



0% of complaints we investigated were upheld.

This compares to an average of **51%** in similar organisations.

0
upheld decisions

Statistics are based on a total of **2** investigations for the period between 1 April 2021 to 31 March 2022

Compliance with Ombudsman recommendations

No recommendations were due for compliance in this period

Satisfactory remedy provided by the organisation

The Ombudsman did not uphold any detailed investigations during this period

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