

Committee: SCRUTINY COMMITTEE 2: RESOURCES & ENVIRONMENT
Date: 6 OCTOBER 2004
Agenda Item No: 4
Title: FLOODING CONTROL POLICY
Author: Ian Orton (01799) 510402

Summary

- 1 This item will be a presentation by Phil Hunt, the Engineering and Safety Officer. He will outline the existing policy and indicate where the policy is being reviewed as part of the Flood Prevention measures. A copy of the policy document is attached.

Background

- 2 Scrutiny Two Committee on 7 July 2004 requested an update on the Flood Prevention Measures currently in place within the district.

It was agreed that the District Engineering and Safety Officer would give a presentation to 6 October 2004 meeting on the existing policy so that Members could examine the process and the options for the future.

The presentation will be followed by an opportunity for questions.

RECOMMENDED that Scrutiny 2 Committee comment on the existing Flooding Control Policy.

UTTLESFORD DISTRICT COUNCIL
POLICY STATEMENT ON FLOOD DEFENCE

1. INTRODUCTION

Purpose

1.1 To provide a public statement of the Council's approach to flood defence in its area.

Background

1.2 The Department for the Environment, Food and Rural Affairs has policy responsibility for flood and coastal defence in England. However, delivery is the responsibility of a number of flood and coastal defence "operating authorities" i.e. the Environment Agency, local authorities and internal drainage boards. Responsibilities differ according to the type of operating authority and Uttlesford DC's responsibilities are set out below.

1.3 The Government has published a policy aim and three objectives for flood and coastal defence¹. To ensure a more certain delivery of the aim and objectives each operating authority is required to publish a policy statement setting out its plans for delivering the Government's policy aim and objectives in its area.

1.4 This policy statement fulfils that requirement. Copies are available from the Council's offices at London Road, Saffron Walden, CB11 4ER and at High Street, Great Dunmow, CM6 1AN, and on the Internet at www.uttlesford.gov.uk. We are also providing copies to:

- the Department for the Environment, Food and Rural Affairs;
- the Environment Agency; and
- Essex County Council, town and parish councils in the Uttlesford District.

2. FLOOD DEFENCE RESPONSIBILITIES

2.1 All flood defence works are undertaken under permissive powers. This means that authorities, such as Uttlesford District Council, are not obliged to carry out works.

2.2 The Environment Agency is the relevant operating authority for flood defences on designated "main rivers", listed in Appendix I. Culverts under roads are generally the responsibility of the relevant Highways Authority (Essex County Council or Highways Agency).

2.3 Uttlesford District Council is the relevant operating authority for flood defences on "ordinary watercourses" (i.e. all watercourses not classified as main rivers) in the authority's area. There is no internal drainage board operating in the Council's area.

2.4 The flood defences owned or managed by the Council will be detailed in our return for the database maintained by the Environment Agency. It is important to note that the Council does not accept responsibility for maintenance of flood defences on private land. This is the responsibility of the landowner.

3. HOW THE COUNCIL WILL DELIVER THE GOVERNMENT'S POLICY AIM AND OBJECTIVES

3.1 Uttlesford DC acknowledges and supports the Government's aim and objectives for flood defence (as set out below). Our policy and approach will be consistent with them, as follows:

Government's policy aim: To reduce the risk to people and the developed and natural environment from flooding by encouraging the provision of technically, environmentally and economically sound and sustainable defence measures.

Section 4 below sets out our plans for reducing or managing the risk of flooding in the Council's area.

Objective (a): To encourage the provision of adequate and cost effective flood warning systems.

Provision of flood warning systems is the responsibility of the Environment Agency. However, Uttlesford DC recognises its related and important role in emergency planning and response. We will:

- ensure that our emergency response plans include appropriate arrangements for flooding emergencies and that such plans are reviewed, in consultation with the Environment Agency, at least every two years;
- maintain an awareness of the Environment Agency's flood warning dissemination plan for our area and contribute to its implementation as necessary; and
- play an agreed role in any flood warning emergency exercises covering our area.

Objective (b): To encourage the provision of adequate, economically, technically and environmentally sound and sustainable flood defence measures.

Uttlesford DC will:

- where appropriate, require works by or seek contributions from developers or other direct beneficiaries of works, in accordance with Planning Policy Guidance Note 25*;
- ensure that appropriate maintenance regimes are in place for flood defences for which the Council takes responsibility;
- inform landowners of what responsibilities for maintenance rest with them.

Objective (c): To discourage inappropriate development in areas at risk from flooding.

Uttlesford DC will, as the local planning authority:

- take account of flooding risks in all matters relating to development control, including development plans and individual planning applications, in accordance with Planning Policy Guidance Notes 20 and 25*.

4 ACTION TO REDUCE OR MANAGE FLOOD RISK

4.1 The main means by which flood risks will be managed is through the Environment Agency's flood warning dissemination plan of September 2000. This makes arrangements for warnings to be provided in Clavering, Manuden and Langley within this Council's area, including individual warnings to high risk properties. Uttlesford DC has included plans for responding to both major and minor flooding in its emergency planning procedures and has

arrangements for cascading warnings received from the Environment Agency to relevant Council services.

4.2 We have agreed with the Environment Agency that within the Council's area there are certain "critical ordinary watercourses" (i.e. ordinary watercourses which have the potential to put large numbers of people and property at risk from flooding). These watercourses are listed in Appendix II. The Council will prepare an ongoing programme to inspect the state of:

- all critical ordinary watercourses and related culverts; and
- flood defences (whether or not owned by the Council) on all ordinary watercourses.

4.3 The Council will ensure that regular maintenance is carried out on the flood defences and channels which we own, or for which we accept responsibility, so that they operate at optimum efficiency. Where the responsibility for maintenance rests with a landowner, we will aim to secure co-operation in ensuring appropriate maintenance takes place, drawing on enforcement powers if necessary.

4.4 By following Government guidance in Planning Policy Guidance Note 25* on development in flood risk areas, the Council, acting as a local planning authority, will ensure that risks are further minimised. This includes measures for ensuring sustainable urban drainage systems to control surface water run off.

5 PARTNERSHIPS

5.1 The Council has set out its policy and approach to flood defence. We recognise the need to work in partnership with central Government and other operating authorities. Our local population also has an important part to play, in recognising the vital importance of watercourses in controlling flood risk and the need to avoid blockages, whether by dumping rubbish or obstructing flows in other ways. We ask members of the public to let us know of any problems which might increase the risk of flooding.

Dated: April 2001

Reference

¹ Strategy for Flood and Coastal Defence in England and Wales MAFF and Welsh Office, September 1993

* at the time this Policy Statement was issued, DETR had yet to complete consultation on PPG 25 which will replace Circular 30/92 on Development and Flood Risk.

APPENDIX I

Main Rivers

- River Cam or Granta from Thistley Hall, Widdington;
- River Bourne from Bourne Farm, Ashdon;
- River Pant from Lower House Farm, Radwinter;
- Stebbing Brook from Lindsell to River Chelmer;
- River Chelmer from Prouds Farm, Thaxted;
- River Can from Friars Grange, Aythorpe Roding;
- Tributary of River Roding from Stone Hall, Canfield;
- River Roding from Molehill Green, Takeley;
- Tributary of Pincey Brook from White Roding;
- Pincey Brook from Colchester Hall, Takeley;
- Tributary of River Stort from Woodside Green, Little Hallingbury;
- Tributary of above from Grinstead Lane, Little Hallingbury;
- Tributary of Stansted Brook from Motts Hall, Elsenham;
- Stansted Brook from Pledgdon Hall, Henham to River Stort;
- Ugley Brook from Quaremead, Ugley Green to Stansted Brook;
- Tributary of River Stort from Langley Upper Green;
- River Stort from Langley Lower Green;
- Bourne Brook from Upend, Manuden.

APPENDIX II

Critical Ordinary Watercourses

<u>Parish</u>	Name	Location
Ashdon	River Bourn	Village Museum – Bartlow Road crossing
Debden Green	Tributary of R Chelmer	The Old Post Office – Debden Road
Great Dunmow	Tributary of R Chelmer	Footbridge at Ash Grove – by-pass embankment
Great Dunmow	Tributary of R Chelmer	r/o 95 Godfrey Way – r/o The Maltings
Saffron Walden	Kings Slade	Elizabeth Way – Swan Meadow Car Park
Saffron Walden	Thaxted Road Slade	Peaslands Road – The Common
Saffron Walden	Tributary of Fulfen Slade	Well Green Close – Newport Road
Saffron Walden	Madgate Slade	Bridge End Gardens – Sewage Treatment Works
Takeley	Tributary of Pincey Brook	r/o St Valery – Parsonage Road
Wicken Bonhunt	Wicken Water	Deep Dene – Ivy Cottage

This list amended 9 August 2002 in agreement with the Environment Agency

Committee: SCRUTINY COMMITTEE 2: RESOURCES & ENVIRONMENT
Date: 6 OCTOBER 2004
Agenda Item No: 5
Title: HIGHWAYS GRITTING POLICY:
ESSEX COUNTY COUNCIL
Author: Ian Orton (01799) 510402

Summary

- 1 This item will be a presentation by Patrick Gregory and Bob Cook of Essex County Council on the changes to the Highways Gritting Policy and the implications for Uttlesford District Council.

Background

- 2 Scrutiny Two Committee on 7 July 2004 requested an update on the existing Highways Gritting Policy as operated by Essex CC. Concerns were expressed about the existing arrangements and Members sought the opportunity to pass comments to Essex CC prior to the onset of winter.
- 3 The presentation will be given by Patrick Gregory (HT Maintenance Policy Engineer) and Bob Cook (Highway Maintenance Group) both of Essex County Council.

The presentation will be followed by an opportunity for questions.

RECOMMENDED that Scrutiny Two Committee comment on the changes to the Highways Gritting Policy and the implications for Uttlesford District Council.

Meeting: SCRUTINY COMMITTEE 2
Date: 6 October 2004
Agenda Item: 6
Title: Risk Management Update : Report of the District Auditor
Author: Ian Orton (01799) 510 402

Summary

- 1 This report contains details of a Risk Management Audit that was carried out by the District Auditor between January and June of 2004. The report was considered by the Executive Management Team on 6 September 2004. Executive Management Team referred the Action Plan to Risk Management

Steering Group for implementation. The comments from the Risk Management Steering Group will be verbally delivered to the meeting of Scrutiny 2 Committee.

Background

- 2 Risk Management is about making the right decisions and about achieving objectives once those decisions are made. To make risk management effective it should be an integral part of the corporate management arrangements of an authority, as the process is currently recognized as a fundamental feature of corporate governance.
- 3 Uttlesford came late to Risk Management approving a risk management policy in April 2003 and engaging Zurich Municipal to hold workshops for Members and senior managers on the concepts of risk management.
- 4 Zurich Municipal outlined the basics of Risk Management and introduced a risk register. The Council clearly recognized the importance of risk management with the establishing of a high level officer and member risk management steering group and the adaptation of the Zurich Municipal risk management policy and strategy in January 2004.
- 5 Risk Management within the authority was subject to a review between January and June 2004 by the District Auditor. At the request of John Dickson this process was co-coordinated by the Performance Manager. The District Auditor noted the positive use of Risk Management in procurement, capital strategy, in 2005/05 Service Plans, in Best Value and CPA project planning and within PRINCE2 project management methodology. A copy of the Risk Management Policy is attached at Appendix A.
- 6 However the review also outlines concerns about the delivery of Risk Management within the authority principally:
 - The Council's risk management strategy and policy is not supported by a robust action plan to ensure delivery
 - Risk management is not yet embedded in the organization
 - There is not a formal training programme to cascade risk management throughout the organization
 - Formal risk management principles are not yet considered in key decisions – the example being the decision to challenge the white paper on the airport expansion.
 - Responsibilities for progressing Risk Management are changing as a result of the recent re-structuring and the council needs to consider setting out risk management responsibilities clearly in job descriptions.
- 7 Attached at Appendix B is an Action Plan outlining how the issues raised in 2.5 can be addressed. The Action Plan addresses four areas:
 - Mechanisms for co-ordinating risk management activity both down and across the organization
 - The approach to risk financing where the resources required to address risks are explicitly considered. This is lacking at operational level.

- Arrangements for identifying, evaluating and controlling risk at operational level
 - Implementing and monitoring risk management at operational level
- 8 Although the above issues are addressed within the attached Action Plan RMSG should note that the bulk of the work falls to the Group and one must question if the RMSG has the capacity to finish off the work that Zurich Municipal commenced.
- 9 This issue was raised with Executive Management Team who requested that officers prepare costings to engage external assistance to deliver the training and other Risk Management issues identified by District Audit.
- 10 These costings will be available at the meeting of the RMSG.

RECOMMENDED that Scrutiny 2 Committee

- 1 Note the comments from the District Auditor
- 2 Refer any issues to the Risk Management Steering Group for consideration

APPENDIX A

UTTLESFORD DISTRICT COUNCIL

RISK MANAGEMENT POLICY

The Council recognises its responsibility for the management of both external and internal risk and the necessity to demonstrate its commitment to implant risk management into daily operations from service planning through to corporate processes.

Risk is defined as being the threat that an event or action will adversely affect an organisation's ability to achieve its objectives and to successfully carry out its strategies.

Risk management is defined as being the culture, processes and structure that are directed towards effective management of potential opportunities and threats to the organisation achieving its objectives. (Association of Local Authority Risk Managers (ALARM)/District Audit)

The Council's risk management objectives are as follows:

- To integrate risk management into the Council's culture and strategic planning processes.
- To manage risk in accordance with best practice.
- To anticipate and respond to changing social, environmental and legislative requirements.
- To prevent injury, damage and losses and reduce the cost of risk.
- To raise awareness of the need for risk management by all those involved in the delivery of the Council's services.
- To take actions to minimise the likelihood of risks occurring and/or reducing severity of the consequences of an event.
- To ensure that risks are monitored regularly and reported to Members in order to inform the annual Corporate Governance assurance statement.

The Council will achieve these objectives by:

- Establishing a Risk Management Steering Group to oversee the process.
- Producing and regularly reviewing a prioritised corporate risk register.
- Establishing clear roles, responsibilities and reporting lines for action planning, controls, training, procedures and reviewing actions taken.
- Incorporating strategic risk management considerations in the setting of its priorities, service delivery planning and Best Value Reviews.
- Arranging training opportunities if required for members of the Steering Group and other staff.
- Developing the risk management aspects of Corporate Governance including the assurance statement.

Committee: SCRUTINY COMMITTEE 2: RESOURCES & ENVIRONMENT
Date: 6 OCTOBER 2004
Agenda Item No: 7
Title: REPORTS FROM INTERNAL AUDIT TO BE CONSIDERED DURING 2004 – 2005
Author: Ian Orton (01799) 510402

Summary

- 1 Members of Scrutiny 2 Committee agreed to receive reports from the Head of Internal Audit during 2004-05 on Street Cleansing and Business Rates. This report contains details of all other Internal Audit reports that will be produced during 2004-05

Background

- 2 Scrutiny 2 Committee on 7 July 2004 considered a range of Internal Audit reports that would be produced during 2004-05. The Performance Manager indicated that a comprehensive list of Audit Reports would be brought to the next meeting of Scrutiny 2 Committee. Below is a list of the areas that Internal Audit will examine during 2004-05.

Business Rates,
Benefits,
Council Tax,
Cash Income,
Insurance & Loans,
Payroll,
Debtors,
Creditors,
Refuse & Recycling,
Street Cleaning.

Members agreed to consider reports on Street Cleansing and Business Rates but may wish to consider one more report from Internal Audit during the year.

RECOMMENDED that Scrutiny Two Committee examine the full list of areas to be examined by Internal Audit and consider one more Internal Audit report during the three remaining meetings of Scrutiny 2 Committee during 2004-05

Committee: SCRUTINY COMMITTEE 2: RESOURCES &
Date: 6 OCTOBER 2004
Agenda Item No: 8
Title: PERFORMANCE MANAGEMENT REPORTING
APRIL TO JUNE 2004
Author: Ian Orton (01799) 510402

Summary

- 1 The Performance Management results for April to June 2004 are attached at Appendix A. The data is presented in the new five themes that will underpin the delivery of services within the authority. 72 performance measures are reported – there are 9 Greens (above target), 41 Ambers (on target) and 22 Reds (below target).

Background

- 2 Performance Management was introduced to the authority in August 2003 and is based and is based on a number of local and national performance measures linked to a Traffic Light/Smiley Face reporting mechanism. During 2003/2004 the Traffic Light tolerance was activated by 10% drop or increase service delivery. The CPA Team felt this was too high and from 1st April 2004 Traffic Light colours are activated by:

Green for above Target by more than 10%
Amber for on Target or within 4% tolerance
Red for below Target by more than 5%

The above changes have contributed to fewer Greens and more Reds. However these new tolerance levels are the national norm.

- 3 The other change is the layout of the reporting mechanism. Previously performance was reported by corporate or service sections. Five new themes have recently been agreed as the framework to improve performance within the authority. The themes are:
 - Excellence
 - Customers
 - People
 - Community
 - Communications
- 4 Presenting performance against the five themes the authority is able to demonstrate a performance right across the authority. However new software

will provide easier access to departmental performance and that will also be presented as the authority gets into year two of Performance Management.

- 5 Performance for the first quarter has varied with improvements in Planning some support services while new systems that are being introduced have yet to deliver the required improvements. The re-structuring had some impact on delivery of service but that is now completed. Performance is beginning to be absorbed into Uttlesford but it is still not part of the day job. However the swing towards a reward culture and the new emphasis on SMART targeting will change the culture.
- 6 The first quarter should not be studied in isolation and although there are some changes to targets the performance of the authority will become clearer at the end of the second quarter. Included in the revised spread sheet are details, wherever possible of how the Daventry Benchmarking Partners have performed against some of the Best Value Performance Indicators. With some exceptions Uttlesford is usually above average in service delivery.

RECOMMENDED that Scrutiny 2 Committee:

- 1 Comment on the Performance Figures for April to June 2004 and make recommendations to the relevant Committee of the Council
- 2 Note the reasons for the Red Indicators
- 3 Note the change to the target for the measuring of Sickness Data
- 4 Agree that the authority should work towards a target of 20% Reds in 2004/05

Meeting: SCRUTINY COMMITTEE 2

Date: 6 October 2004

Agenda Item: 9

Title: Best Value Reviews 2004 – 2005
Environmental Health and Access to Services:
Progress

Author: Ian Orton (01799) 510402

Summary

- 1 This report contains details of the progress in delivering the Best Value reviews of Environmental Health and Access to Services. Attached is the draft Service Improvement Plan for Environmental Health and an update on the Access to Services Review will be delivered to the meeting.

Background

- 2 Scrutiny 2 on 7 July 2004 agreed the scope documents for the Best Value Reviews of Environmental Health and Access to Services. The Environmental Health Review had made excellent progress and the draft Service Improvement Plan is attached at Appendix A.
- 3 Members of Scrutiny 2 Committee are invited to examine the draft Service Improvement Plan prior to the plan being considered at a Member Workshop on 12 October 2004. The comments from Scrutiny Committee can then be fed into the Member Workshop. The completed findings will then be considered by Executive Management Team and then Environment Committee.
- 4 The Access to Services Review is at the draft Service Improvement Plan stage. There is a Member Workshop planned for Monday 4th October 2004 and the comments from the Member Workshop will be included in the draft Service Improvement Plan.

RECOMMENDED that Scrutiny 2 Committee

- 1 Note the progress with delivering the Best Value Reviews in Environmental Services and Access to Services
- 2 Refer any comments arising from the Environmental Services Improvement Plan to Executive Management Team and to Environment Committee

The Environmental Health Service Improvement Plan

Statement of objectives

- 1 The role of the Environmental Health Service is to protect the environment, promote public health and to contribute to the Maintenance and improvement of the quality of life of residents of the District. Comparison with other authorities and external assessments of functions of the Environmental Health Service (1) show that performance is good, in relation to statutory functions and the enforcement of legislation.

The objective of the Service Improvement Plan is to further improve performance generally and to take a more proactive role in promoting environmental improvements and implementation of measures detailed in the Quality of Life Corporate Plan. (1) FSA report.

Critical Success Area 1

Operational issues

Operational issues	Importance	Who	When	Resource (£)
1.1.1. Improve clerical support to field officers; The level of clerical support staff in relation to field officers is low in comparison to other similar authorities. Improved clerical support will allow more time for the Environmental Health Officers to deliver and improve the range of services and will provide a more cost effective use of their time. It is proposed to increase the establishment by the appointment of a further full time clerical officer attached directly to the EH section.	A	New appointment	2004/5	£16,000 pa plus 15%
1.1.2. Home working; Pilot the introduction of home working to reduce travelling times and costs and improve efficiency.	B	W Cockerell G Smith	2005	NA
1.1.3. Information technology; Provide inspection team members with laptop computers and home connections to the Councils computer system to reduce the need for office based working, reduce travelling times and costs and improve efficiency.	A	W Cockerell G Smith + Adrian Webb	2005	£ 10.000?
1.1.3 Out of Hours service; Examine the necessity for and possible ways of providing a proportionate 'out of hours', primarily to deal with noise complaints, possibly in conjunction with duties under the new Licensing Act .	C	W Cockerell G Smith		£16,000 per annum

1.1.3 Keeping Members involved. Provide induction sessions on the Environmental Health Service for new Members of the appropriate committees.	C	W Cockerell G Smith	2005	NA
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Critical Success Area 2 Health Promotion

Health promotion is an important public health function that many forward looking local authorities are now actively working in close partnership with PCT's

Health Promotion	Importance	Who	When	Resource (£)
2.1 Appointment of new Health Promotion Officer; The officer appointed will work closely with the PCT to develop and provide educational and promotional activities. Liaison with schools, GP's, community groups, businesses etc. Become more engaged with the local Health Improvement Plan and other health issues in the Quality of Life Corporate Plan and provide increased support for LA 21 activities.	A	W.Cockerill G Smith	31/3/04	£20,000 per annum plus 15%

Critical Success Area 3

Stansted Airport

The FSA Report on the Food Law Enforcement Service for Controls of Imported Food Not of Animal Origin (dated 9-11 September 2004) at Stansted identified shortcomings with the inspection system relying on cargo handlers notifying when food consignments are received at the airport. This is a highly specialised, and rapidly growing area of work. Recently obtained data on throughput and a comparison with Gatwick airport confirm that the way forward is to have a dedicated officer to be based at the airport. It is proposed initially to arrange for an EHO to spend three months full time at the Airport. Hours of work will need to be very flexible in order to assess the out of hour's demands. It is hoped that during this time a better liaison can be built with the Customs and Excise team and a better notification system can be developed with the importing agents.

Stansted Airport	Importance	Who	When	Resource (£)
3.1 An EHO be assigned to the airport for three months on a full time basis.	A	Contractor	2005	£1000 plus FSA grant of £5000 received
3.2 It seems certain that the medium term need, after the three-month assessment, will be for a full time technical officer to be appointed to be based at the airport.	A	New appointment	2005/2006	£22,000 per annum plus 15%
3.3 The line manager will be the EHO mentioned in 3.1.	A	District EHO	2005/6	£1,000 pa
3.4 Increase the sampling of imported foods not covered by existing HPA budget allocation. Provide a sampling surveillance programme for imported foods, testing for pathogens and pesticide residues in accordance with Food Standards Agency requirements. Investigate and recommend any charging for discretionary functions	C	G Smith	2005/6	£ 2,000 pa

**Critical Success Area 4
Food Safety**

Taking a more proactive role in Food safety.

Individual / Team Initiatives & Action Programmes	Importance	Who	When	Resource (£)
4.1 Improve training by extending Food Hygiene Courses and Health and Safety at Work courses. Provide new courses in ethnic minority languages. Provide subsidised courses at Intermediate and Advanced levels.	C	G. Smith	2005/6	£2,000 pa
4.2 Introduce a new award scheme for catering premises promoting competition and higher standards.	C	G. Smith	2005/6	£1000

**Critical Success Area 5
Housing Initiatives**

Individual / Team Initiatives & Action Programmes	Importance	Who	When	Resource (£)
5.1 To take steps to reduce the number of long term vacant dwellings in the District	B	W Cockerell	2005 and ongoing	NA
5.2 To promote the use of above the shop vacant space for living accommodation, initially in the Dunmow area.	C	W Cockerell	2005/6	NA
5.3 Assess effectiveness of Uttlesford Housing Renewal Assistance.	C	W Cockerell	Ongoing	NA

Critical Success Area 6
Pollution Control

Individual / Team Initiatives & Action Programmes	Importance	Who	When	Resource (£)
6.1 Air Quality; Purchase a non-methane hydrocarbon analyser for installation in the mobile air quality monitoring station. This will enable measurements to be made of fuel residues.	C	W Cockerell	2005	Cost approximately £15000, annual running costs £2500 per annum
6.2 Noise; Purchase an additional noise monitor so that more measurements can be made in areas affected by aircraft noise	B	W Cockerell	2005	Mobile unit approximately £6000

Critical Success Area 7
General

Individual / Team Initiatives & Action Programmes	Importance	Who	When	Resource (£)
7.1 Improve liaison with the Community Tasking Group and with local police and others.	C	W Cockerell	Ongoing	NA

Committee: Scrutiny 2
Date: 6 October 2004
Agenda Item No: 10
Title: Corporate Governance 2004/05 Update
Author: Ian Orton (01799) 510402

Summary

- 1 This reports contains details of the progress towards delivering Corporate Governance within the Council

Background

- 2 Resources Committee on 20 March 2003 agreed the introduction of a Code of Corporate Governance and that Scrutiny 2 Committee would monitor the progress of the code on a regular basis.
- 3 Governance is the system by which local authorities direct and control their functions and relate to their communities. The aim of good Corporate Governance arrangements should be to instil confidence that the Council has in place a framework to develop and control its activities.
- 4 Resources Committee recognised that the introduction of Corporate Governance was an on-going process that required regular monitoring.
- 5 Members will note from the updated Code that all functions are in the process of being implemented with a manager accountable for the various strands that make up the Code.
- 6 All authorities have to adopt a Code of Corporate Governance and it is Essential that progress towards implementing the Code is regularly reported to Members. For that reason this report recommends that progress implementing the Code of Corporate Governance is reported to Scrutiny 2 twice a year. The reporting will normally be in April and October of each year.

RECOMMEND that:

- 1 The comments of Members are sought on the progress with implementing the Code of Corporate Governance
- 2 Scrutiny 2 Committee receive updates on the progress implementing the Code of Corporate Governance twice a year

Background Papers: Corporate Governance.

Appendix A

Code of Corporate Governance: Checklist 2004/05

Seven Key Themes	Procedures to implement themes	Action Required to Ensure Compliance	Evidence of Compliance	Officer Responsible
<u>Corporate Commitment to Effective Corporate Governance</u>	The Councils own strategies and programmes	<ul style="list-style-type: none"> • Corporate Plan • BV Performance Plan • Financial Regulations • Constitution of the Council • Various strategies throughout the Council 	<ul style="list-style-type: none"> • Published Dec 04 • Published June 04 • Published and reviewed annually • In place • Copies held in Library Policy & Performance Unit 	<ul style="list-style-type: none"> • Performance • Performance Manager • EM Finance • EM Corporate Governance • Various Managers •
	Partnerships with other agencies and organisations	<ul style="list-style-type: none"> • Uttlesford Futures • Partnership with Essex County and various District Councils • Working with contractors • PFI Partnership 	<ul style="list-style-type: none"> • Launched June 03 • Revised November 04 • On-going arrangements • On-going arrangements 	<ul style="list-style-type: none"> • Chief Executive • Various managers • Various managers • EM Strategy & P

		<ul style="list-style-type: none"> Registered Social Landlords 	<ul style="list-style-type: none"> August 2004 Several examples in place 	<ul style="list-style-type: none"> EM Housing
	Articulating and promoting the Vision of the Council to other agencies and organisations	<ul style="list-style-type: none"> Partnership models Communications Strategy Consultation Strategy Best Value/CPA Annual Service Plans 	<ul style="list-style-type: none"> On going arrangements Strategy in place Strategy in place Process in Place Produced April 2004 	<ul style="list-style-type: none"> Various managers Performance Manager Performance Manager Performance Manager Performance Manager
	Assisting others to deliver that Vision	<ul style="list-style-type: none"> Local Strategic Partnership Communications Strategy Other Partnerships 	<ul style="list-style-type: none"> LSP launched June 03 On-going On -going 	<ul style="list-style-type: none"> Chief Executive Performance Manager Various managers
	Clarity of role and purpose	<ul style="list-style-type: none"> Committee cycle Regulatory functions Scheme of delegation Corporate Training 	<ul style="list-style-type: none"> Published May 2004 On – going In place Programme in 	<ul style="list-style-type: none"> EM Corporate Governance Service Managers Service Managers EM HR

		<ul style="list-style-type: none"> Prog • Induction for all new staff • Scheme of delegation • Appraisal Process 	<ul style="list-style-type: none"> place • Programme in place • Scheme in place • Scheme in place 	<ul style="list-style-type: none"> • EM HR • EM Corporate Resources • EM HR
<u>Effective Planning and Performance Management Processes</u>	Vision	<ul style="list-style-type: none"> • Council Priorities • Quality of Life Plan 	<ul style="list-style-type: none"> • Agreed October 2004 • To be considered October 2004 	<ul style="list-style-type: none"> • EM Strategy & Perf • Performance Manager
	Planning	<ul style="list-style-type: none"> • Corporate Plan • BV Performance Plan • Service Plans 	<ul style="list-style-type: none"> • To be published December 2004 • Published June 2004 • Published April 2004 	<ul style="list-style-type: none"> • EM Strategy & Perf • Performance Manager • Performance Manager/Service Managers
	Performance Management	<ul style="list-style-type: none"> • Service Plans • Performance Management Data • Performance Indicators • Role of Scrutiny Committees 	<ul style="list-style-type: none"> • Published April 2004 • Published quarterly from October 2003 • Published twice a year • Scrutiny Committees meet 10 times a year 	<ul style="list-style-type: none"> • Performance Manager/Service Managers • Performance Manager • Performance Manager • Performance Manager

	Partnership	<ul style="list-style-type: none"> • LSP • Procurement Options • Other authorities 	<ul style="list-style-type: none"> • Published June 2003 • Procurement Group meet three times a year • Four examples in place 	<ul style="list-style-type: none"> • Head of Community • Performance Manager • Service Managers
	Best Value	<ul style="list-style-type: none"> • BV Performance Plan • Programme of Best Value Reviews • Process reviewed 	<ul style="list-style-type: none"> • Published June 2004 • Programme of reviews to be completed by November 2004 • Considered by Scrutiny Committees 	<ul style="list-style-type: none"> • Performance Manager • Performance Manager • Performance Manager
<u>Openness and Accessibility</u>	Agendas, Reports and Minutes	<ul style="list-style-type: none"> • Meet the requirements of 1972 and 1985 Local Government Acts • Public meetings/Question Sessions • Wide use of the web site 	<ul style="list-style-type: none"> • Requirements met • Procedure in place • Except where exempt or confidential Agendas/Reports and Decisions reported on the web site 	<ul style="list-style-type: none"> • EM Corporate Governance • EM Corporate Governance • EM Customer Services
	External Communications	<ul style="list-style-type: none"> • Web Site 	<ul style="list-style-type: none"> • Web site to be updated on going 	<ul style="list-style-type: none"> • EM Customer Services

		<ul style="list-style-type: none"> • Use of local media • Dedicated staff • Tenants Newsletters 	<ul style="list-style-type: none"> • basis • Council newspapers • PR Officer appointed September 2003 • Produced on a regular basis 	<ul style="list-style-type: none"> • EM Strategy & P • EM Strategy & P • EM Housing
	<p>Consultation</p>	<ul style="list-style-type: none"> • Focus Groups • Public Meetings • Strategic Planning Process • Marketing Exercises • BV Process • User Groups • Partnership Models • Scrutiny 	<ul style="list-style-type: none"> • Meet twice a year September 2004 and January 2005 • At least annually September 2004 • Members Planning Day October 2004 • Specialist exercises • Consult part of BV Reviews • Users of Leisure/Building Control/Refuse etc to be consulted • Consultation with partners via regular LSP meetings 	<ul style="list-style-type: none"> • Performance Manager • Performance Manager • EM HR • Performance Manager • Performance Manager • EM's • EM Strategy & Performance

		Committees	<ul style="list-style-type: none"> • Scrutiny has the power to consult as part of investigations into service or policy 	<ul style="list-style-type: none"> • Performance Manager
	Liaison	<ul style="list-style-type: none"> • Chambers of Trade • User Groups • Open Meetings • Benefits Forum • Local Agenda 21 • Service Liaison 	<ul style="list-style-type: none"> • Meetings to be arranged • Regular meetings in place • 4 at least once a year • 5 meetings a year • Regular meetings • Regular meetings in place 	<ul style="list-style-type: none"> • EM Finance • Service Managers • Performance Manager • EM Customer Services • Environmental Services • Service Managers
	Public Accessibility/Participation	<ul style="list-style-type: none"> • Role of Members • Committee Speaking Rights • Website • Complaints Process • Parish & Town Council Liaison 	<ul style="list-style-type: none"> • Members Enquiry Service to be developed during 2004 - 2005 • Process in place • System in place • System to be revised during J 2004 – 2005 • Process in place 	<ul style="list-style-type: none"> • Performance Manager • EM Corporate Governance • Head of IT • EM Strategy & Performance • EM Strategy & Perf

<u>Accountability</u>	Access to Information	<ul style="list-style-type: none"> • Web site • Access to Services • Committee process • Communications 	<ul style="list-style-type: none"> • Updated site during 2004 - 05 • Working Group to consider options – report December 2003 • System in place • Systems in place 	<ul style="list-style-type: none"> • EM Customer Services • EM Customer Services • EM Corporate Governance • Service Managers
	The Councils Performance	<ul style="list-style-type: none"> • BV Performance Plan • Corporate Plan • Service Plans • Statement of Accounts 	<ul style="list-style-type: none"> • Published June 2004 • Published December 2004 • Published April 2004 • Published June 2004 	<ul style="list-style-type: none"> • Performance Manager • Performance Manager • Performance Manager • EM Finance
	Complaints	<ul style="list-style-type: none"> • Complaints System • Ombudsman • Standards Board • Speaking Rights at Committee 	<ul style="list-style-type: none"> • System being revised during 2004 - 2005 • System in place • System in place • System in place 	<ul style="list-style-type: none"> • Performance Manager • EM Corporate Gov • EM Corporate Gov

		<ul style="list-style-type: none"> • Members Surgeries 	<ul style="list-style-type: none"> • System in place 	<ul style="list-style-type: none"> • EM Corporate Gov
<u>Independent Review</u>	Internal Audit	<ul style="list-style-type: none"> • Audit Process • Joint Audit Committee • Scrutiny 2 Committee • District Audit 	<ul style="list-style-type: none"> • Partnership with Stevenage established October 2002 • Established • Monitors Internal Audit Work • Programme • Comments on Internal Audit 	<ul style="list-style-type: none"> • Audit Manager • Audit Manager • Audit Manager • Chief Executive • EM Finance
	External Audit	<ul style="list-style-type: none"> • District Audit Monitoring • Audit Letter 	<ul style="list-style-type: none"> • System in place • Produced annually – goes to all Members 	<ul style="list-style-type: none"> • EM Finance/Performance Manager • EM Finance
	Inspection	<ul style="list-style-type: none"> • Best Value • CPA • Benefit Fraud • Food Standards • IDeA 	<ul style="list-style-type: none"> • 4 Inspections to date • Site Visit February 2004 • Carried out December 2003 • No inspections due • Peer Challenge completed November 2003 	<ul style="list-style-type: none"> • Performance Manager • Performance Manager • EM Corporate Governance • EM Environment • Performance Manager

<u>Ethics and Probity</u>	Standards Committee	<ul style="list-style-type: none"> • Standards Committee • Codes of Conduct • Officer/Member Working Group 	<ul style="list-style-type: none"> • Established • Codes in place • Established to monitor ethics and probity 	<ul style="list-style-type: none"> • EM Corporate Governance • EM Corporate Governance • EM Corporate Governance
	Fraud and Corruption Policy	<ul style="list-style-type: none"> • Staffing structure in place 	<ul style="list-style-type: none"> • Established 	<ul style="list-style-type: none"> • EM Corporate Governance
	Monitoring Officer	<ul style="list-style-type: none"> • Role of Monitoring Officer 	<ul style="list-style-type: none"> • Responsibilities transferred to EM HR from May 2003 	<ul style="list-style-type: none"> • EM HR
<u>Risk Management</u>	Internal Controls	<ul style="list-style-type: none"> • Financial Regulations and Procedure Rules • The Council's Constitution • Safe and Healthy Working Environment 	<ul style="list-style-type: none"> • In place and available on the web site • In place and on the web site • System continually under review 	<ul style="list-style-type: none"> • EM Finance • EM Finance • EM Environment & Leisure
	Transferring Risk	<ul style="list-style-type: none"> • Risk Management Strategy 	<ul style="list-style-type: none"> • Process in place. Senior management trained in risk management 	<ul style="list-style-type: none"> • EM Corporate Governance
	Sharing Risk	<ul style="list-style-type: none"> • Risk Management Strategy 	<ul style="list-style-type: none"> • Process in place. Senior management trained in risk 	<ul style="list-style-type: none"> • EM Corporate Governance

			management	
<u>Areas for Future Action</u>	Equality Issues	<ul style="list-style-type: none"> • Equality Standard 	<ul style="list-style-type: none"> • Reached Level 1 Target of Level 2 by 2004/05 	<ul style="list-style-type: none"> • EM HR
	Ethics & Probity	<ul style="list-style-type: none"> • Code for Members in place • Whistle blowing processes 	<ul style="list-style-type: none"> • Code required for Officers by March 2005 • Process being developed 	<ul style="list-style-type: none"> • EM HR • EM HR
	Member Training	<ul style="list-style-type: none"> • Training Plan 	<ul style="list-style-type: none"> • Programme ad hoc and requires greater co-ordination 	<ul style="list-style-type: none"> • EM HR
	Financial Planning	<ul style="list-style-type: none"> • Service and Financial Planning • Capital Strategy 	<ul style="list-style-type: none"> • Process introduced for 2004/05 • Officer led Capital Strategy Group to meet in October 2004 	<ul style="list-style-type: none"> • Performance Manager & • EM Finance
	Communication Strategy	<ul style="list-style-type: none"> • Communications are split between three areas within the council 	<ul style="list-style-type: none"> • Communication Group to be established to determine lines of responsibilities 	<ul style="list-style-type: none"> • EM Strategy & Perf
	IT Strategy	<ul style="list-style-type: none"> • Meeting E Government by December 2005 	<ul style="list-style-type: none"> • Strategy to be developed to meet the E Government targets 	<ul style="list-style-type: none"> • EM Customer Services

	Access to Services	<ul style="list-style-type: none"> • Issues emerging from the BV Reviews 	<ul style="list-style-type: none"> • Strategy Group established – to report to EMT November 2004 	<ul style="list-style-type: none"> • EM Customer Services
	Customer Care	<ul style="list-style-type: none"> • Customer Care Standards will be re-examined as a result of the Access to Services Review 	<ul style="list-style-type: none"> • Customer Care Standards need to be re-evaluated by June 2004 	<ul style="list-style-type: none"> • EM Customer Services

AGENDA ITEM: 11

DECISION LIST

TRANSPORT AND HIGHWAYS COMMITTEE MEETING – 8 SEPTEMBER 2004

Agenda item	Item	Decision	Reason	Officer
3	ECC notification of a seasonal prohibition of driving order and a seasonal prohibition of horses order	It was resolved that no objections be raised to the proposed orders	To protect byelaws from surface damage during the winter months	JP
4	Travel Plan	This item was deferred to the next meeting	To allow additional comments to be considered and incorporated in the report	JP
5	Progress report on Local Service Agreement	The report was noted and it was agreed that Mr Ciaburro and Councillor Bass	To progress the preparation of the Local Service Agreement	JP

		attend the next meeting		
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AGENDA ITEM: 12**DECISION LIST****ENVIRONMENT COMMITTEE MEETING – 14 SEPTEMBER 2004**

AGENDA ITEM NO.	ITEM	DECISION	REASON	OFFICER
4	Request for Funding of Essex Biodiversity Project	RESOLVED that, subject to further consideration in the budget cycle, approval be given, in principle, to funding of £2000 for the next three years (2005/06 to 2007/08) to support the Essex Biodiversity Project.	To raise awareness and understanding of the importance of biodiversity and to assist with work undertaken within Uttlesford as listed in the report.	RH/SN
5	Request for Funding for Development of a Biological Record Office for Essex	RESOLVED that the Council supports this project from within existing resources in the current financial year in the sum of £1,750, and that, subject to the budgetary process, approval in principle be given to funding of £3,150 in 2005/06.	To enable the establishment of a web-based system to facilitate the exchange of biological data that is likely to be used principally by Planning Services and the Museum.	SN/SK
6	Budgetary Control Report	RESOLVED that: 1 Members note the budgetary control position as at 31 July 2004; and 2 consideration be given to making presentational adjustments to the profiled budget information as suggested at the meeting including the provision of explanatory notes.	To enable the Committee to continue to monitor existing budgets in accordance with existing policy.	NH/HS
8	Gold Enterprise Zone, Elsenham	RESOLVED that the present position be noted and that new signage be provided as quickly as possible.	As part of the regular progress reports requested by the Committee. Any other tenancy problems to be reported to the Committee	RM

9	Christmas 2004/05 Refuse Collection Service	RESOLVED that the second method listed in the report be adopted for refuse collections over the Christmas period, that is, to provide double collections the following week for households not in receipt of a collection on either Monday, 27 or Tuesday, 28 December.	This is considered to be the most effective method for dealing with collections over the Christmas and New Year period.	RP
7	Stansted Airport – Scoping Report to Consider Further Growth of the Airport to about 35 MPPA	RESOLVED that: <ol style="list-style-type: none"> 1 the detailed comments agreed by the Committee be incorporated in the Scoping Opinion in response to the report issued by Stansted Airport Limited; and 2 a member reference group be appointed to advise officers in finalising the Scoping Opinion comprising the following Members: C A Cant; J F Cheetham; A Dean; E J Godwin; and A R Thawley. 	As part of the process of submitting a Scoping Opinion setting out formal advice to Stansted Airport Limited on the information that needs to be included in the Environmental Statement accompanying the planning application.	RH
10	Night Flying Restrictions at Heathrow, Gatwick and Stansted	RESOLVED that: <ol style="list-style-type: none"> 1 The issues identified at this meeting be included in the response to the Stage 1 consultation, including a firm reiteration of the Council's policy that no night flights should be permitted at Stansted; and 2 officers be authorised to respond to the consultation by 29 October in consultation with the Chairman and Vice-Chairman. 	To enable the Council's views to be submitted in accordance with the consultation timetable	WC

11	Urgent Business – Fly-Tipping in Essex	RESOLVED that the Chairman be authorised to sign a pledge against fly-tipping in Essex as invited by Essex County Council.	To meet the deadline for the return of signed pledges.	PS
	Workshop on the Local Plan and the new planning system – Mon 18 th October			

AGENDA ITEM: 13

DECISION LIST

RESOURCES COMMITTEE MEETING – 23 SEPTEMBER 2004

AGENDA ITEM NO.	ITEM	DECISION	REASON	OFFICER
4 (i)	Item referred Museum Resource Centre	RESOLVED that: <ol style="list-style-type: none">1. Resources committee reaffirms the Councils financial and non financial commitment to a long-term sustainable future of the Saffron Walden Museum;2. The committee also recognises the need to resolve the difficulties inherent in the current facilities, and recognises that the store facility at Newport in particular is not fit for purpose;3. However, regardless of the potential success or otherwise of the current proposal, the current arrangements for the financing of the Saffron Walden Museum are not sustainable in the medium term;4. Therefore, an officer-member working group, with the support of the Museum Curator and with the full involvement of the S W	For more detailed consideration of the options.	SMc/CW

		<p>Museum Society should be established to identify and evaluate options for securing long-term financial viability for the museum in Saffron Walden and a museum service for the district as a whole and that the Community and Leisure Committee be authorised to draw up to £30,000 from reserves or other available budgets as identified by officers in consultation with the Leader of the Council, the Chairman of Resources, and the Chairman of the Community and Leisure Committee to support this study.</p> <p>5. Meanwhile, in respect of the current proposal, the committee advises the Community and Leisure committee to pursue alternative storage facilities if the existing Newport facilities cannot continue to be used as it considers it would be inappropriate at this time to make a financial commitment to any capital project.</p>		
4 (ii)	Item Referred: Grant Schemes	RESOLVED that the item would be deferred for further consideration during the budget setting process.	To consider as part of the budget process.	SM/AS
4 (iii)	Items referred:	RESOLVED that the appointment of a	To advance the strategic	RC

	Strategic Housing Role of the Council	Housing and Enabling and Development Officer be approved.	housing role of the council.	
5	Capital Programme	RESOLVED that members: 1. Note the reduced flow of capital receipts. 2. Agree the process to review the Capital Programme.	To progress the capital programme.	PO
6	Request for funding of the Saffron Walden Project Officer	RESOLVED that: 1. Subject to the remaining funding shortfall being achieved by Saffron Walden initiative a contribution towards the deficit figures of £2,375 in 2004/05 and £8,250 in 2005/06 be provided to enable the recruitment of a project officer. 2. If funding is achieved the Council to act as an employer as suggested at the meeting.	To enable the employment of the project officer.	SMc
7	Member involvement in the recruitment of chief and deputy chief officers	RESOLVED that: 1. Annual Council to create a chief officer Recruitment Panel to fill any vacancies at Chief Executive and Chief Officer level. 2. The recruitment of Deputy Chief Officers to be delegated to the Head of Paid Service and executive managers or their representatives as allowed by the Local Authorities (Standing Orders) (England) Regulations.	To streamline the recruitment procedure.	CH

8	Resources Committee Budgetary Control Report	RESOLVED that: 1. Members noted the budgetary control position as at 31 July 2004.	To enable the committee to continue to monitor existing and future budgets in accordance with existing policy.	PO
9	Corporate Budgetary Control Report	RESOLVED that: 1. Members noted the budgetary control position for all committees at 31 July 2004.	To enable the committee to continue to monitor existing and future budgets in accordance with existing policy.	PO
10	Financial Strategy and Service Planning process	RESOLVED that members noted the Councils General Fund Budget for 2005/06, and the proposed approach to the early stages of the budget process.	To enable the committee to continue to monitor the forecasted budget.	PO
11	Treasury Management	RESOLVED that the report was accepted.	To note the details of the borrowing and investments for the financial year 2003/04.	PO
12	Bank Tender	RESOLVED that the Council procure banking services on its own behalf after the current contract expires in March 2005.	To ensure the best value for the service.	PO
13	Planning for Organisational Development	Members noted the report, the away day arrangements and the expected outcomes from that day.	To note action being taken for organisational development.	AB