



Uttlesford District Council

Chief Executive: Dawn French

Governance, Audit and Performance Committee

Date: Thursday, 17th May, 2018

Time: 7.30 pm

Venue: Committee Room - Council Offices, London Road, Saffron Walden,
Essex CB11 4ER

Chairman: Councillor E Oliver

Members: Councillors G Barker, J Davey, M Foley, J Gordon, N Hargreaves,
S Harris, D Jones (Vice-Chair), G LeCount and B Light

Substitutes: Councillors A Anjum, A Dean, J Freeman and M Lemon

Public Speaking

At the start of the meeting there will be an opportunity of up to 15 minutes for members of the public to ask questions and make statements subject to having given notice by 12 noon two working days before the meeting.

AGENDA PART 1

Open to Public and Press

1 Apologies for Absence and Declarations of Interest

To receive any apologies for absence and declarations of interest.

2 Minutes of the Previous Meeting

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To consider the minutes of the previous meeting held on 8th
February 2018.

3 Draft Annual Governance Statement Report

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	To consider the Draft Annual Governance Statement report.	
4	Internal Audit Progress Report	27 - 36
	To receive the Internal Audit Progress report.	
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	To receive the GDPR Compliance Progress report.	
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	To consider the Voting by Ballot report.	
11	Procedure for Moving Amendments at Council Meetings	105 - 110
	To consider the Procedure for Moving Amendments at Council Meetings report.	
12	KPI and PI Quarter 4 2017/18 Outturn report	111 - 126
	To receive the Key Performance Indicators (KPIs) and Performance Indicators (PIs) for Quarter 4 2017/18 Outturn report.	
13	2018/19 Performance Indicator Targets	127 - 136
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MEETINGS AND THE PUBLIC

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The agenda is split into two parts. Most of the business is dealt with in Part I which is open to the public. Part II includes items which may be discussed in the absence of the press or public, as they deal with information which is personal or sensitive for some other reason. You will be asked to leave the meeting before Part II items are discussed.

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GOVERNANCE, AUDIT AND PERFORMANCE COMMITTEE held in the COUNCIL OFFICES LONDON ROAD SAFFRON WALDEN at 7.30pm on 08 FEBRUARY 2018

Present: Councillor E Oliver (Chairman)
Councillors G Barker, J Davey, J Gordon, N Hargreaves, D Jones and B Light.

Officers in attendance:
R Auty (Assistant Director - Corporate Services), S Bronson (Audit Manager), B Ferguson (Democratic Services Officer), S Pugh (Assistant Director – Governance and Legal Services), C Saych (Benefit Manager) and A Webb (Director – Finance and Corporate Services).

Also Present: Mark Hodgson (Executive Director – Ernst & Young), Councillor S Howell (Cabinet Member for Finance and Administration) and Councillor H Rolfe (Leader of the Council).

GAP30 APOLOGIES FOR ABSENCE AND DECLARATIONS OF INTEREST

Apologies for absence were received from Councillor Foley.

GAP31 MINUTES

The minutes of the meeting held on 16 November 2017 were signed and approved as a correct record subject to the following amendment:

Minute GAP24 – second paragraph, second sentence to be removed.

Councillor Hargreaves said the net spend on the Local Plan was £810,000. ~~The Director - Finance and Corporate Services agreed but said recharges had to be taken into account.~~

GAP32 AUDIT PLAN

Mr Hodgson, Executive Director – EY, presented his Audit Planning report, which provided Members the opportunity to review EY's proposed audit approach for the 2017/18 audit.

Mr Hodgson said a new risk had been identified in the audit plan relating to the preparation of group accounts, as this would be the first year the Council's accounts would not be audited as a single entity. He said additional work would be done on scoping the group audit and updates to the Committee would be provided as required.

In response to a Member question, the Director – Finance and Corporate Services said this would be EY's final audit and a new company would be

auditing the Aspire account this year, and all of the Council's accounts in the next financial year. He said it was logical if all of the Council's accounts were audited by the same company but this year circumstance dictated it would be carried out by two separate auditors.

GAP33 BENEFIT SUBSIDY AUDIT

The Assistant Director – Corporate Services entered the meeting at 7.45pm.

The Benefit Manager presented her report on the benefit subsidy audit for 2016-17, summarising EY's audit of the Housing Benefit Subsidy Claim.

The Benefit Manager said the audit had been very positive with an increased subsidy income in excess of £25,000 over previous years being achieved. This was due to the benefit team's accuracy of processing claims, where even small overpayments could result in large extrapolated values.

In response to a question from the Chairman, the Benefit Manager said the subsidy system was complex and Local Authorities would either receive reduced subsidy payments, or none at all, if overpayments to claimants were made above certain thresholds (0.48% and 0.54%). In the past, the Council had a high rate of overpayments and therefore had lost out on the subsidy. She said the benefit team's proactive work had significantly cut overpayments and resulted in an income increase of £25,887 through the subsidy system

Responding to a Member question, the Benefit Manager said a fixed term Benefit Officer had been employed to provide quality control and ensure overpayments were not being made. In addition, bi-monthly training for the benefit team had been implemented. She said the root cause of these mistakes was human error, and whilst these mistakes could not be completely eradicated, the quality control in place did mitigate their impact.

The Chairman congratulated the benefit team and thanked them for their hard work.

GAP34 HEALTH AND SAFETY UPDATE

The Assistant Director – Corporate Services updated Members on Health and Safety issues relating to the Council.

The Chairman highlighted the rise in aggressive incidents towards UDC staff and asked if there was an explanation for this.

The Assistant Director – Corporate Services said the majority of incidents related to one individual who would be facing a criminal court hearing in February 2018. He said the rise could also be attributed to staff being more aware of the need to report aggressive behaviour.

Councillor Jones wanted it noted that the 2016 graph presented in Appendix A was misleading as the scale differed on the Y axis in comparison to the scales used for the 2015 and 2017 graphs.

GAP35 INTERNAL AUDIT PROGRESS REPORT – 04 NOVEMBER TO 26 JANUARY

The Audit Manager presented her report, updating members on the internal audit work that had been carried out since November 2017.

In response to a Member question, the Audit Manager said 'substantial' was the terminology used to describe the best/safest risk level an audit could achieve.

GAP36 GENERAL DATA PROTECTION REGULATION (GDPR) COMPLIANCE PROGRESS

The Audit Manager, in her capacity as the GDPR Project Lead Officer, presented her report concerning the Council's compliance with GDPR, which would come into force on 25 May 2018.

The Audit Manager said all services deemed at high risk of breaching GDPR had already been reviewed, and medium and lower risk services were currently being reviewed. In addition, all of the Council's suppliers were being scrutinised to ensure they too were compliant. She said GDPR awareness programmes were being rolled out and presentations had been given at service team meetings.

In response to a Member question relating to the retention of documents/emails, the Audit Manager said the average time a document was required to be retained was 6.8 years. Work was being done to ensure documents that were no longer needed were disposed of. She said the overall principle of the project was to retain the minimal amount of data for the minimal amount of time.

Councillor Jones said he was wary that the Council was becoming dependant on the Audit Manager as a key worker of the project.

The Director – Finance and Corporate Services said a GDPR Compliance Officer had been employed by the Council to assist the Audit Manager throughout this project. He added this was a difficult task for all Local Authorities but UDC had put measures in place and were prepared to deal with the new regulation.

GAP37 INTERNAL AUDIT COUNTER FRAUD AND CORRUPTION WORK

The Internal Audit Manager presented the report detailing the findings of the counter fraud and corruption work implemented by the Council. She said two risk assessments had been undertaken: a Fraud Risk Assessment and a Bribery

Risk Assessment. It had been concluded that the Council had an acceptable level of risk and had demonstrated an increased level of fraud awareness and prevention during 2017.

In response to a Member question, the Audit Manager confirmed that the counter fraud work mentioned in the report had assessed the work of Council staff rather than Councillors.

GAP38

ELECTION OF THE CHAIRMAN AND VICE-CHAIRMAN

The Assistant Director – Governance and Legal Services presented the report recommending a change to the procedure in electing the Chairman and Vice-Chairman at Annual Council. He said nominations were made at the meeting preceding Annual Council, but this could lead to problems especially every four years when there was a full Council election. He recommended that the Constitution was changed to provide for nominations for the posts of Chairman and Vice-Chairman to be made at the Annual Meeting.

In response to a Member question, the Assistant Director – Governance and Legal Services said he would be happy to look at the Constitution with regards to the secret ballot vote being superseded by a call to hold a recorded vote, but emphasised the statutory need to minute a recorded vote when one had been tabled. He said he would produce a note which sets out the issues and report back to the Committee at its next meeting.

RESOLVED to recommend to Council that it adopt the changes to Article 5 of the Council's Constitution set out in the Appendix to the report to provide for nominations for the posts of Chairman and Vice-Chairman to be made at the Annual Meeting.

GAP39

PROCEDURE FOR MOVING AMENDMENTS AT COUNCIL MEETINGS

The Assistant Director – Governance and Legal Services presented the report recommending a change to the Council Procedure Rules to prevent the moving of amendments without notice and with no prior discussion at Council meetings.

The Assistant Director – Governance and Legal Services said the change was an improvement on the Council's constitutional arrangements and would provide a platform for high quality decision making. He said there was an issue with amendments being moved without notice at Council meetings, as no advice could be given to Members on the implications of such an amendment. Furthermore, such changes led to confusion and made the Council appear unprofessional when conducting its business.

To ensure amendments had been properly considered the Assistant Director – Governance and Legal Services said advance notice should be given by noon on the day preceding the Council meeting. Amendments would then be

circulated to all Members giving them time to inform themselves of any implications that the amendment may have.

The exceptions to this rule were in cases where the Chairman was satisfied that the need for the amendment could not have been anticipated before the deadline, or notice for the amendment was given as soon as practically possible. The exception rule could also come into effect when the Chairman was satisfied that the amendment was necessary to improve the wording, or correct factual inaccuracies of motions/recommendations. In both cases it would be at the Chairman's discretion whether a late amendment could be moved.

Members discussed the proposed change to the Constitution and the implications it would have on full Council meetings and the democratic process.

Councillor Hargreaves said he had three objections to the change. The first was that of the nine amendments tabled at Council since August, seven had been defeated and the two that passed had no negative implications. The second was that there would be no 'wrecking' motion on the final vote for the Local Plan. Thirdly, the mechanism by which exceptions to the rule were allowed was unsatisfactory as it allowed room for subjectivity.

Councillor Light said full Council was a dynamic decision making body and if amendments were no longer allowed on the night of the meeting the importance of debate would be negated. She said this would damage the democratic process and she would be voting against the recommendation.

Councillor Rolfe said he believed the change would improve the democratic process and the professional image of the Council, as Members would have time to inform themselves of the implications of amendments, which in turn would improve the quality of decisions being made. He added that no items were brought to Council without already being through the committee and scrutiny process.

Councillor Barker said he had doubts over the exception mechanism in cases where badly written motions were presented to Council and the Chairman had to be convinced to allow an amendment to be tabled. He said a process needed to be found by which full Council could avoid the chaotic moments when an amendment was tabled, but without negating the dynamism of Council meetings.

Councillor Jones said he accepted the sentiment behind the change in procedures but thought this was not the right answer. He said there was scope for debate which could lead to a sound amendment being tabled, particularly if the motion was poor.

The Assistant Director – Governance and Legal Services said there were three options before Members; to agree to the proposed changes to the Council Procedure Rules; to reject the proposed changes; to propose the changes have merit but require further work and to bring back a modified Rule 12.6.6 and 12.6.7 to the next meeting.

If the latter option was preferred, Members were asked to send their comments to the Assistant Director – Governance and Legal Services.

RESOLVED that the changes to the Council Procedure Rules set out in the Appendix to the report require further work and are to be resubmitted to the Committee at its next meeting in May.

GAP40 **2017-18 QUARTER 3 PERFORMANCE INDICATORS**

Councillor Rolfe left the meeting at 8.55pm.

The Assistant Director - Corporate Services presented the performance indicators report for 2017-18 quarter 3. He said performance was not quite as strong as the previous quarter, although that quarter was the best that had been reported for many years. The latest quarter's results were still an improvement on the same quarter last year.

The following indicators were highlighted by Members:

KPI 08 Average re-let time in days

The Director – Finance and Corporate Services said it took 10 days from the day of request for an asbestos survey to be completed on council properties, rather than 10 days for the contractor to carry out the survey itself.

In response to a Member request, the Director – Finance and Corporate Service said he would circulate information regarding the situation with asbestos and Council properties. He said the Council had an existing asbestos register and the recent surveys were additional safeguarding measures.

PI22 - Museum users: Total visitors to the museum building and on-site events (Max)

Members were informed that Museum visitor numbers were disappointing compared to the previous quarter, although it was an improvement on the same quarter last year. The Assistant Director – Corporate Services said the target visitor figures had been profiled when it was thought the new Learning and Outreach Officer would start earlier than had actually happened. He was optimistic that there would be an improvement in quarter 4.

GAP41 **CORPORATE RISK REGISTER**

Members discussed the Corporate Risk Register report, which identified risks to Council services and how to manage them.

CR06 - Information Technology

The Director – Finance and Corporate Services said IT systems would always be a service area which required further action. This was due to the nature of cyber security and the pace at which new threats arise. He said robust provisions were in place, such as staff awareness campaigns and off-site back up provisions, and key systems could be up within an hour if recovery was required.

GAP42 ANNUAL REPORT

Members reviewed the Annual Report that would be presented by the Chairman at the Full Council meeting in April.

Councillor Hargreaves asked for the Local Plan costs for 2016-17 ~~2017-18~~ to be included in relevant section of the report. This stood at £810,000.

RESOLVED to approve the content of the Annual Report subject to the addition of the Local Plan costs for 2016-17 ~~2017-18~~.

The meeting ended at 9.00pm.

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Committee: Governance, Audit & Performance Committee **Date:**
Title: Draft Annual Governance Statement 2017/18 17 May 2018
Author: Sheila Bronson, Audit Manager **Item for decision:**
01799 510610 Yes

Summary

1. The purpose of this report is to seek approval for the draft Annual Governance Statement published to complement the Council's Statement of Accounts 2017/18

Recommendations

2. That Members approve the draft Annual Governance Statement 2017/18

Financial Implications

3. None. There are no costs associated with this report.

Background Papers

4. None

Impact

- 5.

Communication/Consultation	The draft Annual Governance Statement 2017/18 has been approved by the Corporate Management Team at its meeting 02 May 2018
Community Safety	none
Equalities	none
Health and Safety	none
Human Rights/Legal Implications	none
Sustainability	none
Ward-specific impacts	none
Workforce/Workplace	none

Situation

6. Under the Council's constitution this committee is responsible for overseeing the Council's work around corporate governance. In 2016 the Chartered Institute of Public Finance and Accountancy (CIPFA) and the Society of Local Authority Chief Executives (SOLACE) reviewed and revised the approach to corporate governance and in April 2016 published a new framework for delivering good governance in local government. The revised guidance builds on the previous assurance gathering process requiring authorities to review the effectiveness of its governance arrangements against the key elements of the systems and processes that compromise an authority's governance.

The Annual Governance Statement is required to be published to complement the published statement of accounts. One of the previous good practice recommendations is that this Statement should be considered separately to the published accounts.

The Annual Governance Statement 2017/18 (appendix A) has been prepared in consultation with senior officers and using information from the 2016/17 Annual Governance Statement, which has been reviewed and updated to reflect the operation of the Council during 2017/18.

A copy of the CIPFA Guidance and the draft Annual Governance Statement 2017/18 showing changes from the 2016/17 statement is available to Members on request.

The statement has been agreed by the Corporate Management Team at its meeting on 02 May 2018.

Evidence in support of the Annual Governance Statement is being prepared in accordance with the CIPFA Guidance for examination by the External Auditors as part of their 2017/18 Audit and will be available to members on request.

Risk Analysis

Risk	Likelihood	Impact	Mitigating actions
No Annual Governance Statement is produced for inclusion in the Financial Accounts	1 = Little or no likelihood Timetable and Framework to be established for the review, monitoring and preparation of the Annual Governance Statement	3 = Significant impact – action required Statutory requirement, adverse External Auditor Report	The Annual governance Statement is reviewed by the External Auditor and by the Governance, Audit & Performance Committee

1 = Little or no risk or impact

2 = Some risk or impact – action may be necessary.

3 = Significant risk or impact – action required

4 = Near certainty of risk occurring, catastrophic effect or failure of project.

1 SCOPE OF RESPONSIBILITY

- 1.1 Uttlesford District Council is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for and used economically, efficiently and effectively. Uttlesford District Council also has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.
- 1.2 In discharging this overall responsibility, Uttlesford District Council is responsible for putting in place proper arrangements for the governance of its affairs and facilitating the effective exercise of its functions, which includes arrangements for the management of risk.
- 1.3 Uttlesford District Council has approved and adopted a Code of Corporate Governance, which is consistent with the principles of the Delivering Good Governance in Local Government: Framework (CIPFA/SOLACE 2016). A copy of the authority's Code of Corporate Governance is on our website at www.uttlesford.gov.uk or can be obtained from the Council Offices, London Road, Saffron Walden, Essex, CB11 4ER. This statement explains how Uttlesford District Council has complied with the code and also meets the requirements of Accounts and Audit Regulations 2015, regulation 6(1)(a) and (b), which requires all relevant bodies to prepare an annual governance statement.

2 THE PURPOSE OF THE GOVERNANCE FRAMEWORK

- 2.1 The governance framework comprises the systems and processes, culture and values by which the authority is directed and controlled and its activities through which it accounts to, engages with and leads its communities. It enables the authority to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate services and value for money.
- 2.2 The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an on-going process designed to identify and prioritise the risks to the achievement of Uttlesford District Council's policies, aims and objectives, to evaluate the likelihood and potential impact of those risks being realised, and to manage them efficiently, effectively and economically.
- 2.3 The governance framework has been in place at Uttlesford District Council for the year ended 31 March 2018 and up to the date of approval of the annual statement of accounts.

3 THE GOVERNANCE FRAMEWORK

- 3.1 Some of the key features of the governance framework are set out in the following paragraphs.
- 3.2 The Uttlesford District Council Corporate Plan 2017-2021 outlines the aims and four priority areas and it is complemented by the Medium Term Financial Strategy and together these represent the key planning documents for the Council. This was underpinned for the first time by an annual delivery plan setting out the specific projects/activities that would contribute to the Council's priorities. The Corporate Plan is reviewed annually and takes account of feedback from public consultation carried out via a Citizens Panel. The Corporate Plan 2018-22 was approved by members at the Council Meeting held in February 2018 and the 2018/19 delivery plan approved at Cabinet in April..
- 3.3 Delivery of the Council's Corporate Plan is supported by the Corporate Plan Delivery Plan 2017/18 and service plans in which the corporate objectives are translated into more specific aims and objectives. These are then cascaded down into individual performance development reviews through the council's U-Perform system. These all include targets and, where appropriate, service standards against which service quality and improvement can be judged. Performance against the delivery plan is monitored by the Corporate Management Team (CMT) and Cabinet, while service plans are monitored by individual services and formally reviewed quarterly by the CMT. In addition, the Council's key performance indicators are monitored quarterly by the Governance, Audit & Performance Committee. Satisfaction surveys and a formal complaints procedure allow the Council to gauge customer satisfaction
- 3.4 Uttlesford District Council has adopted a Constitution which establishes the roles and responsibilities for members of the executive (the Cabinet), Governance, Audit & Performance, Scrutiny, and Standards Committees, together with officer functions. It includes details of delegation arrangements, the Members' Codes of Conduct and protocols for member/officer relations. The Constitution is kept under review to ensure that it continues to be fit for purpose. There is no specific Code of Conduct for Staff however there is a guide to disciplinary standards; conduct of officers is directed by Human Resource Policies (HRP) and through the values and behaviours which are part of the Council's individual performance review system known as 'U-Perform'.
- 3.5 The Constitution contains procedure rules, standing orders and financial regulations that clearly define how decisions are taken and where authority lies for decisions. The statutory roles of Head of Paid Service, Monitoring Officer and Chief Financial Officer are described together with their contributions to provide robust assurance on governance and that expenditure is lawful and in line with approved budgets and procedures. The influence and oversight exerted by these posts is backed by the post-holders' membership of the Corporate Management Team. The Constitution also contains a Statutory Officers Protocol.
- 3.6 During 2017/18 the following amendments to the Constitution have been made:
- The Council has adopted a revised and simplified Code of Conduct for Councillors.

- It has also adopted a revised procedure for considering Code of Conduct complaints to ensure that they are dealt with fairly and proportionately.
- The Council has adopted a revised Member/Officer Protocol, designed to underpin a strong working relationship and mutual respect between councillors and Council employees.
- The Council has extended the terms of reference of what was the Performance and Audit Committee by giving it explicit responsibility for governance issues and now called the Governance, Audit and Performance Committee.
- The Council has endorsed, and incorporated into its constitution, the Uttlesford Youth Council's constitution, which sets out the relationship and engagement between UDC and the Youth Council.
- The Council has adopted a revised and much clearer definition of a "key decision", aimed at improving transparency in decision-making.
- Changes have been made to the procedure for electing the Chairman and Vice-Chairman of the Council by inviting nominations at the Annual Meeting at which appointments are made rather than, as previously, at an earlier meeting.

- 3.7 In 2016 CIPFA published its Statement on the Role of the Chief Financial Officer in local government, setting out core principles and standards relating to the role of CFO and how it fits into the organisation's governance arrangements. The Council complied with the CIPFA statement in 2017/18.
- 3.8 In 2010 CIPFA published its Statement on the Role of the Head of Internal Audit, setting out core principles and standards relating to the role of the Head of Internal Audit and how it fits into the organisation's governance arrangements. The Council complied with the CIPFA statement in 2017/18
- 3.9 The primary counterbalance to the Executive is the Scrutiny Committee. The role of this committee is to provide a robust challenge to the Cabinet..
- 3.10 The Governance, Audit & Performance Committee monitors the performance of the Council, fulfilling the Council's Audit Committee core functions, as identified in Audit Committees: Practical Guidance for Local Authorities and Police (CIPFA 2013), in respect of External Audit, Internal Audit and Risk Management and Performance Management. The Committee can, and does, request assurance from the relevant Cabinet member and/or senior manager when there is consistent underperformance in a particular service area/indicator.
- 3.11 The Council has a formal complaints procedure which allows the public or other stakeholders to make a complaint regarding the service received from the Council or on the conduct of Members. The Standards Committee has responsibility for overseeing the investigation of complaints against members.

For the period 01/04/17 to 31/03/18, there were 8 allegations received of a breach of the Code of Conduct, of which
6 were against parish councillors;
2 were against district councillors

- 3.12 The Council has policies to protect both itself and its staff when making decisions. A Counter Fraud and Corruption Strategy and Policies have been developed in accordance with the Code of Practices on Managing the Risk of Fraud and Corruption (CIPFA 2014), and include the Council's Fraud Response Plan, Whistleblowing and Bribery Act 2010 Policies which have been developed and communicated to all staff via the internet and as part of the Induction process. This Strategy and Policies that provide clear reporting channels have been reviewed and updated and will be published in 2018/19.
- 3.13 The Council has embedded Risk Management throughout its activities with the Corporate Risk Register reflecting the key threats to achieving its corporate aims and objectives. The Council's approach to Risk Management underwent a comprehensive review in 2017/18, including training for key staff, a new Corporate Risk Policy and a new Corporate Risk Register which is reviewed and updated quarterly by CMT and reported twice a year to the Governance, Audit and Performance Committee. In addition, new service Risk Registers have been developed and sit alongside service plans. Reporting on the service Risk Registers will be further developed in 2018/19.
- 3.14 Performance Management is monitored through quarterly reporting to CMT and the Governance, Audit and Performance Committee on 16 Key Performance Indicators and more than a dozen other PIs. Areas of concern are discussed by the Committee and follow-up reports are requested if necessary. -Examples of performance issues discussed in 2017/18 include void re-let times and museum visitor figures.
- 3.15 All Council services are delivered by trained and experienced officers. Job Descriptions and Person Specifications are in place for all posts to ensure that the best candidates are appointed into each position. A significant commitment has also been made towards retaining good staff, by offering numerous 'work friendly' schemes and where possible encouraging succession planning and promotion from within. This ensures that valuable skills and experience are retained and passed on, rather than being lost. Training needs are identified through the U-Perform appraisal system.
- 3.16 The individual performance review system known as U-Perform has been operated in the council for eight years. Staff are measured against operational objectives that are linked through to service plans and the Corporate Plan and are also set behaviour statements against which they can demonstrate how they go about their roles. U-Perform also identifies developmental and training needs, through which training is made available to staff to ensure that individuals are able to undertake their present role effectively. In 2017/18, for the first time, the council achieved a 100 per cent completion rate for UPerform. The council has recognised that the salaries it offered were not always keeping pace with other employers. Therefore as a retention measure, the council changed its pay grades at the beginning of 2017/18 which gave every employee a pay rise and an opportunity to progress through three further spinal column points in the coming years.
- 3.17 During the year 2017/18 all Members of the Council have had opportunities to attend workshops and training in relation to the Local Plan, including a Garden Communities workshop, and in relation to Housing (on community led housing) and to a major planning application regarding Stansted Airport. During this year specific training for Members of the following committees was also arranged: Licensing and Environmental Health Committee (in-house

training to enable members to determine private hire vehicle/hackney carriage driver and operator licenses and Licensing Act 2003 applications) and Planning Committee (external training on aspects of planning, and in-house training covering Probity in Planning). Additionally Group Leaders attended various training events and conferences, and the Chairman of Scrutiny Committee attended the Centre for Public Scrutiny conference. Following the change of the Council's committee management system from CMIS to Modern.gov, training was offered to all members of the Council to enable them to access agenda packs for all meetings by using their iPad devices, including access to all relevant restricted exempt information reports.

3.18 The Council continues to ensure it is open and accessible to the community. In 2017/18 it has:

- Continued to regularly survey the views of residents through its Citizens Panel
- Continued to meet guidelines on the publication of transparency information on its website
- Continued audio streaming and recording of meetings of the Planning Committee, Full Council and Cabinet and the sign-off of the Statement of Accounts at the Governance, Audit & Performance Committee
- Further enhanced its consultation activity around the LCTS scheme and budget setting
- Supported formation of the Uttlesford Youth Council
- Developed the Keep Me Posted email news service for residents and grew the subscriber base to in excess of 6,000 people.
- Formed a Local Council's Liaison Forum to provide additional communication channel with parish/town councils.

All Committee meetings are open to the public except where personal or confidential matters are discussed. All agendas and minutes are placed on-line, along with the Council's policies and strategies. These items are also available by directly contacting the Council. When identifying the priorities and objectives for the Corporate Plan the views of stakeholders and the wider community are sought through a number of consultation mechanisms, and are taken into account. The Corporate Plan is made available to all via the Council's website.

3.19 During 2017/18 the Council's Scrutiny Committee has looked at various areas of Council decision making and service delivery, including the draft budget and LCTS scheme and consultation, Street Naming and Numbering and Air Quality. In addition, the Centre for Public Scrutiny was commissioned to review the Council's scrutiny procedures and practices and recommendations were reported to the February 2017 Scrutiny Committee meeting. These

recommendations will be taken forward in 2018/19. A summary of the Committee's work for the year can be found at Item 8 of the Full Council meeting of 10 April 2018.

- 3.20 There are terms of reference and constitutions set up for key partnerships which ensure that all members of the partnership act lawfully throughout the decision making process. Uttlesford Futures has a comprehensive Governance Handbook and the terms of reference for all of the working groups are regularly reviewed to ensure they comply with the overarching document. Key partnerships include the Local Strategic Partnership - Uttlesford Futures; the Public Law Partnership and the North Essex Parking Partnership. We also work closely with Braintree, Harlow and Epping Forest for shared provision of insurance and energy efficiency.
- 3.21 Corporate Peer Challenge was conducted in November 2016; report and action plan approved at Council in July 2017 and update report on progress against action plan reported to GAP in February 2018. Discussions will commence shortly with the LGA regarding a follow-up visit..
- 3.22 The Council's Draft Statement of Accounts for 2016/17 was completed by 31 May 2017. The audited Statement of Accounts for 2016/17 was published on 27 July 2017. The Council received an unqualified opinion on its accounts for the ninth successive year.
- 3.23 During 2017/18 work has continued on the development of the council's new HR and Payroll system. Phase 1 of the project is complete and the system is now used across the authority. Phase 2, which includes appraisals and online recruitment, was set up during 2017/18 and will go live in 2018/19.
- 3.24 On 15 May 2017, Aspire (CRP) Ltd (a wholly owned company of the council) purchased a 50% share in Chesterford Research Park (which is part of the South Cambridgeshire Biotech Cluster) in a joint venture with Aviva Ltd. The council engaged the services of a number of advisors to support the council in determining whether to loan the company £47m, including all relevant due diligence and to advise the council on the best value option for securing the funds and obtaining the best return on investment. The decision to provide the company with the loan to enter in to the joint venture was taken by full council on 8 December 2016. The company has three Directors all of which are council employees and are members of the Corporate Management Team. The company also engages the services of two Non-Executive Directors to complement the skills of the directors in determining the company's activities, which are the subject of audit processes separate to the council. Members of the Cabinet form the shareholder board.

4 REVIEW OF EFFECTIVENESS

- 4.1 Uttlesford District Council has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework including the system of internal control. The review of effectiveness is informed by the work of the executive managers within the authority who have responsibility for the development and maintenance of the governance environment, the head of internal audit's annual report, and also by comments made by the external auditors and other review agencies and inspectorates.

- 4.2 The Council's Monitoring Officer has responsibility for overseeing the implementation and monitoring the operation of the Code of Corporate Governance, maintaining and updating the Code in the light of latest guidance on best practice, considering any changes that may be necessary to maintain it and ensure its effectiveness in practice. All reports to Cabinet, Committees and Council are seen by the Monitoring Officer to ensure compliance with legal requirements.
- 4.3 The Council's Section 151 Officer has responsibility for the proper administration of the Council's financial affairs. This includes responsibility for maintaining and reviewing Financial Regulations to ensure they remain fit for purpose, and submitting any additions or changes necessary to the full Council for approval. The Section 151 Officer is also responsible for reporting, where appropriate, breaches of the Regulations to the Cabinet and/or the Council. All reports to Cabinet, Committees and Council are seen by the Section 151 Officer to ensure compliance with financial requirements.
- 4.4 The Council's Internal Audit Service, via a specific responsibility assigned to the Internal Audit Manager, is required to provide an annual independent and objective opinion to the Authority on its risk management, governance and control environment. The Internal Audit Manager's Annual Report and Opinion for 2017/18 concluded that the audit opinion on the control environment for 2017/18 is that risks material to the achievement of the objectives for the audited areas identified by Internal Audit were, on balance, satisfactorily managed and controlled.
- 4.5 Of the twenty-two Internal Audits from the 2017/18 Internal Audit Programme on which has been undertaken two audits were given an Internal Audit opinion of either Little or Limited Assurance:
- The Audit of Leisure –PFI was given the opinion of Limited Assurance. Seven recommendations were made - one level 4, three level 3 and three level 2; all recommendations are expected to be implemented by their agreed due dates in 2018/19.
 - In October 2017, an Interim Internal Audit Report was issued for the Audit of Street Services – Trade Waste with the opinion of Little Assurance. 22 recommendations were made - six level 4, twelve level 3 and four level 2; the due dates for these recommendations were no later than 30 April 2018 after which further work will be undertaken to completed the audit as part of the 2018/19 Audit Programme; all of the 22 recommendations have been implemented by their due dates.
- 4.6 In addition to the above, the Council has conducted a formal review of its internal control environment and collated evidence and assurance from a variety of sources. This has included the collation of assurances from all CMT members on the effectiveness of the internal control environment. A review of the returns concluded that based on this self-assessment, effective controls were in place.
- 4.7 The work of the Council's Internal Audit is governed by the UK Public Sector Internal Audit Standards (PSIAS) 2017. The PSIAS encompass the mandatory elements of the Institute of Internal Auditors (IIA) International Professional Practices Framework (IPPF), additional requirements and interpretations for the UK public sector have been inserted in such a way as to preserve the integrity of the text of the mandatory elements of the IPPF. The PSIAS are

mandatory for all internal auditors working in the UK public sector. An External Quality Assessment of the performance of Internal Audit and its conformance with the PSIAS was undertaken in September 2017 and the findings of this review have been reported to Members for their consideration as part of the Internal Audit Manager's Annual Report and Opinion. An essential element of this assessment is to ensure that the annual audit opinion issued by Internal Audit may be relied upon as a key source of evidence and assurance. The External Assessment concluded that the Internal Audit service generally conforms with the expectations of the PSIAS and made 15 recommendations to reflect that there are areas in which the service can be further improved and enhanced. During 2018/19 the service will be working to implement these recommendations. .

- 4.8 In April 2017, the Governance, Audit & Performance Committee carried out the annual review of its effectiveness as an audit committee during 2017/18 using the Audit Committees: Practical Guidance for Local Authorities and Police (CIPFA 2013) self-assessment and was considered to have effectively fulfilled its Audit Committee functions in accordance with the CIPFA guidance for an Audit Committee..
- 4.9 The Council has a Performance Management Framework through which the quality of service can be measured by performance indicators. Most indicators are monitored on a quarterly basis; some are bi-annual or annual. All are discussed by the Corporate Management Team and the top two of three layers of indicators are reported to Committee.
- 4.10 EY were appointed as the Council's External Auditor from 01 September 2012 and are responsible for reviewing the Council's Statements of Accounts. In addition to reviewing the 2016/17 Statement of Accounts, EY issued a formal opinion on the Council's arrangements for securing Value for Money concluding that the council had made appropriate arrangements to secure economy, efficiency and effectiveness in its use of resources.
- 4.11 As part of closing the Audit Commission the Government novated external audit contracts to Public Sector Audit Appointments (PSAA). The audit contracts were due to expire following conclusion of the audits of the 2017/18 accounts, but could be extended for a period of up to three years by PSAA, subject to approval from the Department for Communities and Local Government. In October 2015 the Secretary of State confirmed that the transitional provisions would be amended to allow an extension of the contracts for a period of one year. In July 2015 Public Sector Audit Appointment (PSAA) were specified by the Secretary of State as an appointing person under regulation 3 of the Local Audit (Appointing Person) Regulations 2015.
- 4.12 The arrangements for local government bodies ceases after the 2017/18 audit and under the new arrangements authorities are required to either:
1. 'Opt in' to a Sector Led Body, Public Sector Audit Appointments (PSAA).
 2. To establish an auditor panel and conduct our own procurement exercise.
 3. Explore the establishment of local joint procurement arrangements with neighbouring authorities.

The Council has taken option 1 and this was approved by Full Council on the 15th November 2017.

5 SIGNIFICANT GOVERNANCE ISSUES

5.1 Significant Issues from 2016/17

In the 2016/17 Annual Governance Statement the following two issues were identified:

- 1 The Council's revised Document Retention Policy and Schedule was drafted in September 2016 but awaits formal agreement of CMT and publication

The Council's revised Document Retention Policy & Schedule was published in August 2017. Further revision to the Retention Schedule will be undertaken during 2018/19 as part of the ongoing compliance with the General Data Protection Regulation and Data Protection Act 2018

- 2 The Council's payroll provider Sage reported a potential data breach to the Council in August 2016 after the Council's payroll information, along with that of other organisations, was accessed without authorisation. An employee of Sage was subsequently arrested. The Council took appropriate action on being alerted, including informing the Information Commissioner, contacting all those whose details could have been accessed and organising protective registration for them through Cifas. The Council has now moved to a new payroll provider.

There have been no further issues arising from this data breach.

Actions Identified for 2017/18

In the 2016/17 Annual Governance Statement the following two actions were identified for 2017/18:

- 1 Code of Corporate Governance to be reviewed and updated in accordance with Delivering Good Governance in Local Government: Framework (CIPFA/SOLACE 2016)

The revision of the Code of Corporate Governance has not been completed, this has been included as a Significant Control Issue identified in 2017/18 and included as an action identified for 2018/19

- 2 The Council needs to consider its position regarding Data Protection in preparation for the General Data Protection Regulation (GDPR) which comes into force 25 May 2018

A GDPR Project Team was established in July 2017 to manage the Council's implementation and ongoing compliance with the GDPR and the new Data Protection Act 2018 which come into force on 25 May 2018

5.2 Significant Control and Governance Issues identified 2017/18

- 1 The revision of the Code of Corporate Governance has not been completed, this has been included as a Significant Control Issue identified in 2017/18
- 2 Significant control weaknesses were identified by Internal Audit in the Trade Waste Service. Significant work has been undertaken within the service to ensure the implementation of the recommendations. Internal Audit will undertake further audit work to complete the audit in 2018/19.
- 3 Homes England has drawn the Council's attention to non-compliance with the Capital Funding Guide (CFG) and has made a recommendation that the Council update and improve internal processes to ensure compliance to the CGF and send evidence of this to Homes England by 01 August 2018, (this is subject to further discussions with Homes England).

5.3 Actions Identified for 2018/19

- 1 Publication of the revised and update Counter Fraud Strategy and Policies
- 2 Publication of a Code of Conduct for Staff and a revised Register of Interests (in line with the Internal Audit Recommendation made following the Audit of Corporate Governance

- 3 Completion of the GDPR Project and establishment of the processes and procedures required to ensure ongoing compliance with GDPR and the new Data Protection Act 2018
- 4 The completion of the review and update of the Code of Corporate Governance
- 5 Implementation of recommendations from
 - the review of Scrutiny
 - the Peer reviews of
 - Electoral Services
 - Licensing
 - Planning
 - The Ombudsman regarding training for Senior Managers in the handling of complaints

It is propose over the coming year to take steps to address the above matters to further enhance our governance arrangements. We are satisfied that these steps will address the need for improvements that were identified in the review of effectiveness and will monitor their implementation and operation as part of our next annual review.

The Council considers its Corporate Governance and Internal Control arrangements to be fundamentally sound.

Signed: _____

Dawn French
Chief Executive

Signed: _____

Howard Rolfe
Leader of the Council

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Agenda Item 4

Committee: Governance, Audit & Performance Committee **Date:** 17 May 2018
Title: Internal Audit Progress Report,
27 January to 30 April 2018
Author: Sheila Bronson, Internal Audit Manager 01799 510610 **Item for decision:** No

Summary

1. To report to the Governance, Audit & Performance Committee details of work undertaken by Internal Audit since the last report to the Committee on 08 February 2018 and to provide an update on implemented and outstanding internal audit recommendations.

Recommendations

2. That the Internal Audit Progress Report (27 January to 30 April 2018) be noted

Financial Implications

3. None. There are no costs associated with the recommendations.

Background Papers

4. None

Impact

- 5.

Communication/Consultation	The Internal Audit Work Programme 2017/18 referred to in this report have been approved by the Corporate Management Team and endorsed by the Governance, Audit & Performance Committee.
Community Safety	none
Equalities	none
Health and Safety	none
Human Rights/Legal Implications	none
Sustainability	none
Ward-specific impacts	none

Workforce/Workplace	none
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Situation

6. The purpose of this report is to provide management and members with:
- i) Details of the work completed by Internal Audit since the last report to the Governance, Audit & Performance Committee at its meeting 08 February 2018;
 - ii) Performance against the Internal Audit Work Programme 2017/18;
 - iii) Initial audit work started from the draft Internal Audit Work Programme 2018/19 ;
 - iv) Details of risk level 3 and 4 highest priority recommendations implemented since the last report to Members;
 - v) Details of any recommendations not implemented within the agreed timescale.

Work Undertaken by Internal Audit (27 January to 30 April 2018)

7. Since the last report to the Committee:
- i) Between 27 January to 30 April 2018, 7 audits from the 2017/18 audit programme were completed and final reports issued with a total of 14 recommendations made;
 - ii) All final audit reports issued have been copied to Governance, Audit & Performance Committee Members and are available on the Council's Intranet. A summary of final reports issued is presented at Appendix A (i);
 - iii) There are currently 4 audits from the 2017/18 audit programme to be completed. It is expected 3 will be completed by 31 May 2018. Due to unplanned resource issues, completion of 1 audit from the 2017/18 audit programme may be delayed beyond 31 May 2018 and 4 audits planned for 2017/18 have been carried forward to the 2018/19 audit programme. Progress on the 2017/18 programme is presented at Appendix A (ii);
 - iv) Between 01 April to 30 April 2018 work has started on 3 audits from the draft Internal Audit Work Programme 2018/19.

Recommendations Implemented 27 January to 30 April 2018

8. There are 16 level 3 and 4 recommendations which have been implemented in this period; a summary is presented at Appendix A (iii).

Recommendations Not Implemented by due date at 30 April 2018

9. As of 30 April 2018, there are no recommendations reported in Pentana as not being implemented in accordance with their agreed due dates.

Risk Analysis

10.

Risk	Likelihood	Impact	Mitigating actions
The issues highlighted in the internal audit reports are not acted upon	1 Action is already being taken towards the implementation of the recommendations contained in the reports.	2 There would be varying levels of impact from non-implementation of recommendations given the significance of the control risks identified.	Internal audit reports are followed up to ensure compliance. There are escalation procedures in the event of non compliance

1 = Little or no risk or impact
 2 = Some risk or impact – action may be necessary.
 3 = Significant risk or impact – action required
 4 = Near certainty of risk occurring, catastrophic effect or failure of project.

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FINAL & INTERIM REPORTS ISSUED

27 January – 30 April 2018

ref	2017/18 Audits	Risk	Revised potential days	Final Report Issued	2017/18 Days Taken	Recommendations Made					Audit Opinion
						No.	Risk Level				
						total	4	3	2	1	
07KF	Resources – LCTS	2	10	02/03/18	7.07	0	0	0	0	0	substantial
08KF	Resources - Main Accounting System	1	10	31/01/18	11.51	2	0	0	2	0	substantial
09KF	Resources -Taxation	1	10	31/01/18	10.86	3	0	1	2	0	satisfactory
150	Corp Services - Leisure - PFI	3	15	04/04/18	19.39	7	1	3	3	0	limited
190	Housing & Health - Community - Health Improvement	3	10	26/03/18	6.50	1	0	0	1	0	substantial
270	Housing & Health - Housing Strategy	4	10	28/03/18	6.37	1	0	0	1	0	substantial
290	Planning - Local Plan	4	5	19/03/18	5.18	0	0	0	0	0	substantial
07KF	Resources - LCTS	2	10	02/03/18	7.07	0	0	0	0	0	substantial
						14	1	4	9	0	

PROGRESS ON THE AUDIT PROGRAMME 2017/18

Internal Audit Programme 2017/18 – Revised 01 August 2017										
ref	Audit	2017/18 revised potential days	qtr	IA Risk 2017/18	Started	Draft	Final	Days Taken	Status	Comment
01C	Corporate Commercial Enterprise & Investment	15	3	4	21/11/17	19/03/18		13.82	draft	To be completed by 31/05/18
02C	Corporate Governance & Ethical Culture	15	2	3	14/08/17	07/03/18		17.35	draft	To be completed by 31/05/18
03C	<i>Corporate Investment - combined with 01C</i>									
04C	Corporate Value for Money	0	0	2				0.00		to 2018/19 if training sourced
05KF	Res - Budgets	5	4	2				0.02		Carried forward to 2018/19
06KF	Res - Council Tax	10	3	2	19/10/17			8.10	testing	To be completed 2018/19
07KF	Res – LCTS	10	3	2	05/12/17	26/02/18	02/03/18	7.07	final	
08KF	Res - Main Accounting System	10	2	1	13/07/17	05/01/18	31/01/18	11.51	final	
09KF	Res –Taxation	10	2	1	13/07/17	05/01/18	31/01/18	10.86	final	
10KF	<i>Corp Serv – Payroll - combined with 14O</i>									
11O	Corp Serv – Communication	10	2	3	12/06/17	13/09/17	26/09/17	8.33	final	
12O	Corp Serv- Day Centres	12	1	3	09/05/17	03/08/17	07/08/17	13.49	final	new audit
13O	Corp Serv - Grants to Voluntary Organisations	13	2	3	07/08/17	22/12/17	10/01/18	15.14	final	service changes
14O	Corp Serv – HR & Payroll	10	4	4	20/12/17			2.41		Carried forward to 2018/19
15O	Corp Serv - Leisure – PFI	15	3	3	30/10/17	29/01/18	04/04/18	19.39	final	service changes
16O	H&H - Environmental Health – Enforcement	0	0	2				0.00		to 2018/19 service changes

PROGRESS ON THE AUDIT PROGRAMME 2017/18

170	H&H - Environmental Health - Food Safety & Infectious Disease Control	12	1	3	04/07/17	09/08/17	30/08/17	12.93	final	
180	H&H - Community - Equality & Diversity	10	4	3				4.23		Carried forward to 2018/19
190	H&H - Community - Health Improvement	10	3	3	10/11/17	05/03/18	26/03/18	6.50	final	services changes
200	H&H - Community - Safety	0	0	4				0.00		to 2018/19 service changes
210	H&H - Wellbeing - Services for Older People	13	1	3	03/05/17	14/11/17	28/11/17	15.55	final	
220	Legal Services	10	4	3				0.32		Carried forward to 2018/19
230	Planning - Car Parking Partnership (NEPP)	10	4	2	31/01/18	25/04/18		6.66	draft	To be completed by 31/05/18
240	Planning - Conservation	8	1	3	10/05/17	18/07/17	09/08/17	8.12	final	service changes
250	Planning - Economic Development Service	10	2	3	14/08/17	26/09/17	27/09/17	7.89	final	
260	Planning - Energy Efficiency	10	3	3	31/10/17	08/01/18	17/01/18	7.95	final	
270	Planning - Housing Strategy	10	4	4	13/02/18	28/03/15	28/03/18	6.37	final	
280	Planning - Landscape	7	1	3	10/05/17	18/07/17	09/08/17	7.58	final	
290	Planning - Local Plan	5	4	4	14/02/18	12/03/18	19/03/18	5.18	final	review of Reg 18 & Reg 19 consultations
300	Street Services - Trade Waste and Income Generating Services	30	1	4	25/05/17	06/10/17	20/10/17	29.53	interim	previously 2 separate audits
TOTAL AUDIT DAYS		280						246.30		

LEVEL 3 AND 4 RECOMMENDATIONS IMPLEMENTED 27 January – 30 April 2018

Code & Title	Description	Risk Level	Managed By	Due Date	Completed
1617 09KF NNDR 02	It is recommended that: a) Recommendation reiterated from Audit 2015/16 that documented procedures for the collections of NNDR be reviewed and updated. b) the above mentioned procedures include an update of those relating to the repayment of refunds.	3	A/D FINANCE	31/03/18	31/03/18
1617 10KF Payroll 06	It is recommended that: a) a decision is made on how overtime is treated for all staff above SCP29 and this should be included in a revised HRP. b) any exceptions to any guidance published should be authorised by the appropriate level ie/ Assistant Director or above. c) All work outside of usual grade has written authority detailing the terms and conditions including the spinal column payment rates as well as details on whether to pay single/plain time or enhanced overtime rates as appropriate.	4	A/D CORPORATE SERVICES	31/03/18	31/03/18
1718 09KF Resources - Taxation 01	It is recommended that VAT returns are reviewed by a Senior Accountant and authorised by Finance Manager prior to submissions to HMRC	3	A/D FINANCE	30/01/18	31/01/18
1718 150 Leisure PFI 03	It is recommended that: a) the Unitary payment used in the calculation of payment mechanism deductions should be checked to ensure that it has increased in line with RPI (Retail Price Index) in order to calculate the correct deductions and ensure that correct payments are being paid. b) consideration is given to recalculating invoices for the current year using the correct deductions: unitary payment ratio. (Implemented 28 Feb 2018)	4	A/D CORPORATE SERVICES	04/04/18	04/04/18

LEVEL 3 AND 4 RECOMMENDATIONS IMPLEMENTED 27 January – 30 April 2018

Code & Title	Description	Risk Level	Managed By	Due Date	Completed
1718 300 Street Services - Income Generating Services & Admin 02	It is recommended that a full inventory takes place for all available Trade Waste stock we currently hold.	3	STREET SERVICES OPERATIONS MANAGER	31/03/18	29/03/18
1718 300 Street Services - Income Generating Services & Admin 03	It is recommended that a full inventory takes place with physical observation of all Trade Waste bins/containers customers currently hold.	3	STREET SERVICES OPERATIONS MANAGER	30/04/18	30/04/18
1718 300 Street Services - Income Generating Services & Admin 05	It is recommended that following a review of all Trade Waste information that regular reconciliations take place between the updated Trade Waste customer information on the ACCESS database, the Trade Waste route lists and Trade Waste invoice information within Integra	3	STREET SERVICES OPERATIONS MANAGER	31/03/18	04/04/18
1718 300 Street Services - Income Generating Services & Admin 08	It is recommended that quarterly reports are run from Integra for all Trade Waste templates entered in order to determine and investigate the reasons why items are not approved.	4	STREET SERVICES OPERATIONS MANAGER	31/03/18	23/03/18
1718 300 Street Services - Income Generating Services & Admin 09	It is recommended that: a) decisions made not to pursue debt should be documented, fully noted and authorised at an appropriate management level. b) consideration be given at higher management level on whether to pursue debt from companies who have knowingly received a Trade waste service within the last 6 years but who have not been invoiced or paid.	4	STREET SERVICES OPERATIONS MANAGER	31/03/18	29/03/18
1718 300 Street Services - Income Generating Services & Admin 10	It is recommended that: a) a system of close monitoring is set up for those Trade Waste customers who receive an overloaded bins letter. b) the decision not to invoice is reconsidered in particular to those customers who persistently overload their Trade Waste bins. c) consideration be given to changing the wording of the "overloaded bin letter" to "a fee will be charged" for taking additional waste.	3	STREET SERVICES OPERATIONS MANAGER	31/03/18	29/03/18

LEVEL 3 AND 4 RECOMMENDATIONS IMPLEMENTED 27 January – 30 April 2018

Code & Title	Description	Risk Level	Managed By	Due Date	Completed
1718 300 Street Services - Income Generating Services & Admin 11	It is recommended that: a) a review of historic charging arrangements take place for all customers who are paying for a Trade Waste service not covered by the current payment scheme. b) consideration is given to removing charge for trade waste from the Council's Fees and Charges regime.	3	STREET SERVICES OPERATIONS MANAGER	31/03/18	29/03/18
1718 300 Street Services - Income Generating Services & Admin 12	It is recommended that: a) the Spreadsheet used for Trade Waste Declarations sent to Essex County Council is no longer used and redesigned to show the correct formulas and calculations. b) a full review of trade declarations made to Essex County Council is undertaken and a decision made on whether to correct historical declarations.	4	STREET SERVICES OPERATIONS MANAGER	31/03/18	29/03/18
1718 300 Street Services - Income Generating Services & Admin 14	It is recommended that: a) a comprehensive list of all Trade Waste customers who currently receive the 50% recycling discount is obtained. b) each Trade Waste customer currently in receipt of 50% recycling discounts is visited to verify entitlement.	3	STREET SERVICES OPERATIONS MANAGER	31/03/18	29/03/18
1718 300 Street Services - Income Generating Services & Admin 15	It is recommended that a system is put in place whereby periodic monitoring takes place to ensure continuous entitlement to Trade Waste recycling discounts.	3	STREET SERVICES OPERATIONS MANAGER	31/03/18	29/03/18
1718 300 Street Services - Income Generating Services & Admin 19	It is recommended that consideration is given to the creation of a system whereby commercial waste quotes can be requested by customers rather than detailing the price of bins/containers directly on the website.	3	STREET SERVICES OPERATIONS MANAGER	31/03/18	29/03/18
1718 300 Street Services - Income Generating Services & Admin 20	It is recommended that: a) consideration is given to a review of the payment options currently available to Green Waste customers b) a review and monitoring process is considered for all green waste customers paying by Direct Debit who are claiming a discount for being on benefits.	3	STREET SERVICES OPERATIONS MANAGER	31/03/18	23/03/18

Agenda Item 5

Committee: Governance, Audit & Performance Committee **Date:** 17 May 2018
Title: Governance, Audit & Performance Committee
Self-assessment 2017/18
Author: Sheila Bronson, Internal Audit Manager 01799 510610 **Item for decision:** No

Summary

1. The Governance, Audit & Performance Committee fulfils the Audit Committee functions for the Council. To ensure it is meeting its responsibilities against the guidance provided by Chartered Institute of Public Finance and Accountancy (CIPFA), a self-assessment of its work during 2017/18 has been undertaken. This self-assessment will be included as evidence in support of the Annual Governance Statement 2017/18

Recommendations

2. The Committee note the outcome of Governance, Audit & Performance Committee Self-Assessment 2017/18

Financial Implications

3. None. There are no costs associated with this report

Background Papers

4. None

Impact

- 5.

Communication/Consultation	none
Community Safety	none
Equalities	none
Health and Safety	none
Human Rights/Legal Implications	none
Sustainability	none
Ward-specific impacts	none

Workforce/Workplace	none
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Situation

6. In December 2013, CIPFA published its “Audit Committees – Practical Guidance for Local Authorities and Police”. This guidance contains a Self-Assessment of Good Practice and an Evaluation of Effectiveness of audit committees.
7. Members were invited to take part in self-assessment exercise on 09 April 2018 using the checklists for the Self-Assessment of Good Practice and Evaluation of Effectiveness to consider the performance of this Committee in fulfilling its Audit Committee functions during 2017/18.

Self-Assessment of Good Practice

8. There are 20 questions contain in the CIPFA Self-assessment of Good Practice checklist which were considered during the exercise. The completed self-assessment with comments to evidence the responses to each question is attached at Appendix A; below is a summary of the responses.
9. Of the 20 questions, responses were assessed as follows:

Yes	Partly	No	n/a
15	2	2	1

In comparison with the 2016/17 responses:

Yes	Partly	No
12	4	4

The 2 “No” responses are:

Ref	Good Practice question	Comments / Actions
15	Has the membership of the committee been assessed against the core knowledge and skills framework and found to be satisfactory?	Members should consider completing a self-assessment against the core skills and consider what training may be necessary to fill any gaps identified
18	Has the committee obtained feedback on its performance from those interacting with the committee or relying on its work?	Neither sought nor received

10. The 4 “Partly” responses are:

Ref	Good Practice question	Comments / Actions
1	Does the authority have a dedicated audit committee?	From 01 April 2017, the committee has changed to Governance, Audit & Performance. Its area of responsibility has increase to include governance and constitutional matters.
19	Has the committee evaluated whether and how it is adding value to the organisation?	The committee has scored “Partly” for item 19. It is felt that it has limited opportunity to do so. However the committee does add value to the Council by providing independent assurance on the adequacy of the risk management framework, the internal control environment and the integrity of the financial reporting and annual governance processes as per item 7.

Evaluation of Effectiveness

11. The CIPFA Evaluation of Effectiveness requires consideration of 9 areas where the audit committee can add value by supporting improvement, to be assessed against the following key:

Assessment key	
5	Clear evidence is available from a number of sources that the committee is actively supporting improvements across all aspects of this area. The improvements made are clearly identifiable.
4	Clear evidence from some sources that the committee is actively and effectively supporting improvement across some aspects of this area.
3	The committee has had mixed experience in supporting improvement in this area. There is some evidence that demonstrates their impact but there are also significant gaps.
2	There is some evidence that the committee has supported improvements, but the impact of this support is limited.
1	No evidence can be found that the audit committee has supported improvements in this area.

12. At the exercise on 09 April 2018 it was assessed that the Committee scored as follows:

Key level **5** in **5** of the areas

Key level **4.5** in **2** of the areas
 Key level **4** in **1** of the areas
 Key level **3** in **1** of the areas

An average of Key level **4.6** over the 9 areas (compared to 4.5 for 2016/17).

13. The completed evaluation with comments to evidence responses is attached at Appendix A

Conclusion

14. The conclusion from the Self-Assessment of Good Practice and Evaluation of Effectiveness carried out on 09 April 2018 is therefore, that in 2017/18 the Governance, Audit & Performance Committee has effectively fulfilled its Audit Committee functions in accordance with the CIPFA guidance for an Audit Committee.

Risk Analysis

15.

Risk	Likelihood	Impact	Mitigating actions
The Governance, Audit & Performance Committee fails to fulfil its function as the Council's Audit Committee	1 = Little or no Likelihood Annual self-assessment to be carried out as part of the evidence required for the Annual Governance Statement	2 = Some impact – action may be necessary	The annual self-assessment The Annual Governance Statement is reviewed by the External Auditor and by the Governance, Audit & Performance Committee

- 1 = Little or no risk or impact
 2 = Some risk or impact – action may be necessary.
 3 = Significant risk or impact – action required
 4 = Near certainty of risk occurring, catastrophic effect or failure of project.

2017/18 Performance & Audit Committee Self-assessment of Good Practice & Evaluation of Effectiveness 9 April 2018

Self-assessment of Good Practice

Good Practice questions		Yes	Partly	No	Comments
	Audit Committee Purpose and Governance				
1	Does the authority have a dedicated audit committee?		✓		From 01 April 2017, the committee has changed to Governance, Audit & Performance. Its area of responsibility has increase to include governance and constitutional maters.
2	Does the audit committee report directly to full council?	✓			
3	Do the terms of reference clearly set out the purpose of the committee in accordance with CIPFA's Position Statement?	✓			
4	Is the role and purpose of the audit committee understood and accepted across the authority?	✓			Although all members of GAP aware, there is the feeling that there are other members of the council who do not understand the role and purpose of GAP
5	Does the audit committee provide support to the authority in meeting the requirements of good governance?	✓			As per item 7.
6	Are the arrangements to hold the committee to account for its performance operating satisfactorily?	✓			The Chairman provides an Annual Report to Full Council. External Assurance is provided by the External Auditors. It is felt that if the committee was not performing, this would be recognised and reported.

Good Practice questions		Yes	Partly	No	Comments
	Functions of the Committee				
7	Do the committee's terms of reference explicitly address all the core areas identified in CIPFA's Position Statement?	✓			The Committee's Terms of Reference do not explicitly address all of the core areas, although they are covered in the Specific Functions of the committee. This should be considered in any revision of the Terms of Reference
	▪ Good governance	✓			
	▪ Assurance framework	✓			
	▪ Internal audit	✓			
	▪ External audit	✓			
	▪ Financial reporting	✓			
	▪ Risk management	✓			
	▪ Value for money or best value	✓			Regular reports are received on procurement contracts
	▪ Counter-fraud and corruption	✓			
8	Is an annual evaluation undertaken to assess whether the committee is fulfilling its terms of reference and that adequate consideration has been given to all core areas?	✓			
9	Has the audit committee considered the wider areas identified in CIPFA's Position Statement and whether it would be appropriate for the committee to undertake them?	✓			Not considered appropriate for this committee
10	Where coverage of core areas has found to be limited, are plans in place to address this?	N/A			

Good Practice questions		Yes	Partly	No	Comments
11	Has the committee maintained its non-advisory role by not taking on any decision-making powers that are not in line with its core purpose?	✓			
Membership and Support					
12	Has an effective audit committee structure and composition of the committee been selected? This should include:	✓			Overall the committee satisfies the requirement of Board effectiveness and composition.
	▪ Separation from the executive	✓			
	▪ An appropriate mix of knowledge and skills among the membership		✓		Committee Members are appointed from members who are not elected on the basis of their knowledge and skills in explicit areas
	▪ A size of committee that is not unwieldy	✓			
	▪ Where independent members are used, that they have been appointed using an appropriate process				N/A as no independent members on GAP
13	Does the chair of the committee have appropriate knowledge and skills?	✓			
14	Are arrangements in place to support the committee with briefings and training?	✓			
15	Has the membership of the committee been assessed against the core knowledge and skills framework and found to be satisfactory?			✓	Members should consider completing a self-assessment against the core skills and consider what training may be necessary to fill any gaps identified
16	Does the committee have good working relations with key people and organisations, including external audit, internal audit and chief finance officer?	✓			
17	Is adequate secretariat and administrative support to the committee provided?	✓			Support provided by Democratic Services

Good Practice questions		Yes	Partly	No	Comments
	Effectiveness of the committee				
18	Has the committee obtained feedback on its performance from those interacting with the committee or relying on its work?			✓	Neither sought nor received.
19	Has the committee evaluated whether and how it is adding value to the organisation?		✓		The committee has scored “Partly” for item 19. It is felt that it has limited opportunity to do so. However the committee does add value to the Council by providing independent assurance on the adequacy of the risk management framework, the internal control environment and the integrity of the financial reporting and annual governance processes as per item 7.
20	Does the committee have an action plan to improve any areas of weakness?	✓			This has been considered with specific reference to items 15; 18 and 19 above.

Evaluating the Effectiveness of the Audit Committee

Areas where the audit committee can add value by supporting improvement	Examples of how the audit committee can add value and provide evidence of effectiveness	Self-Evaluation, examples areas of strength and weakness	Overall assessment: 5-1 See key below
1. Promoting the principles of good governance and their application to decision making	<ul style="list-style-type: none"> • <i>Providing robust review of the AGS and the assurances underpinning it</i> • <i>Working with key members/governors to improve their understanding of the AGS and their contribution to it</i> • <i>Supporting reviews/audit of governance arrangements</i> • <i>Participating in self-assessments of governance arrangements</i> • <i>Working with partner audit committees to review governance arrangements in partnerships</i> 	(5) (5) (5) (5) (NA)	5
2. Contributing to the development of an effective control environment	<ul style="list-style-type: none"> • <i>Monitoring the implementation of recommendations from auditors</i> • <i>Encouraging ownership of the internal control framework by appropriate managers</i> • <i>Raising significant concerns over controls with appropriate senior managers</i> 	(5) (5) (5)	5

Assessment key

5	Clear evidence is available from a number of sources that the committee is actively supporting improvements across all aspects of this area. The improvements made are clearly identifiable.
4	Clear evidence from some sources that the committee is actively and effectively supporting improvement across some aspects of this area.
3	The committee has had mixed experience in supporting improvement in this area. There is some evidence that demonstrates their impact but there are also significant gaps.
2	There is some evidence that the committee has supported improvements, but the impact of this support is limited.
1	No evidence can be found that the audit committee has supported improvements in this area.

Areas where the audit committee can add value by supporting improvement	Examples of how the audit committee can add value and provide evidence of effectiveness	Self-Evaluation, examples areas of strength and weakness	Overall assessment: 5-1 See key below
3. Supporting the establishment of arrangements for the governance of risk and for effective arrangements to manage risks	<ul style="list-style-type: none"> • <i>Reviewing risk management arrangements and their effectiveness, e.g. risk management benchmarking</i> • <i>Monitoring improvements</i> • <i>Holding risk owners to account for major/strategic risks</i> 	(4) - To consider risk management benchmarking (5) (5)	4.5
4. Advising on the adequacy of the assurance framework and considering whether assurance is deployed efficiently and effectively	<ul style="list-style-type: none"> • <i>Specifying its assurance needs, identifying gaps or overlaps in assurance</i> • <i>Seeking to streamline assurance gathering and reporting</i> • <i>Reviewing the effectiveness of assurance providers, e.g. internal audit, risk management, external audit</i> 	(3) - Review of the Audit Programme to identify gaps or overlaps in assurance (5) (5)	4

Assessment key	
5	Clear evidence is available from a number of sources that the committee is actively supporting improvements across all aspects of this area. The improvements made are clearly identifiable.
4	Clear evidence from some sources that the committee is actively and effectively supporting improvement across some aspects of this area.
3	The committee has had mixed experience in supporting improvement in this area. There is some evidence that demonstrates their impact but there are also significant gaps.
2	There is some evidence that the committee has supported improvements, but the impact of this support is limited.
1	No evidence can be found that the audit committee has supported improvements in this area.

Areas where the audit committee can add value by supporting improvement	Examples of how the audit committee can add value and provide evidence of effectiveness	Self-Evaluation, examples areas of strength and weakness	Overall assessment: 5-1 See key below
5. Supporting the quality of the internal audit activity, particularly by underpinning its organizational independence	<ul style="list-style-type: none"> • <i>Reviewing the audit charter and functional reporting arrangements</i> • <i>Assessing the effectiveness of internal audit arrangements and supporting improvements</i> 	(5) (5)	5
6. Aiding the achievement of the authority's goals and objectives through helping to ensure appropriate governance, risk, control and assurance arrangements	<ul style="list-style-type: none"> • <i>Reviewing major projects and programmes to ensure that governance and assurance arrangements are in place</i> • <i>Reviewing the effectiveness of performance management arrangements</i> 	(5) (5)	5

Assessment key	
5	Clear evidence is available from a number of sources that the committee is actively supporting improvements across all aspects of this area. The improvements made are clearly identifiable.
4	Clear evidence from some sources that the committee is actively and effectively supporting improvement across some aspects of this area.
3	The committee has had mixed experience in supporting improvement in this area. There is some evidence that demonstrates their impact but there are also significant gaps.
2	There is some evidence that the committee has supported improvements, but the impact of this support is limited.
1	No evidence can be found that the audit committee has supported improvements in this area.

Areas where the audit committee can add value by supporting improvement	Examples of how the audit committee can add value and provide evidence of effectiveness	Self-Evaluation, examples areas of strength and weakness	Overall assessment: 5-1 See key below
7. Supporting the development of robust arrangements for ensuring value for money	<ul style="list-style-type: none"> • <i>Ensuring that assurance on value for money arrangements is included in the assurances received by the audit committee</i> • <i>Considering how performance in value for money is evaluated as part of the AGS</i> 	<p>(3)</p> <p>(3)</p> <p>Overall VFM - To target improvement at specific service areas.</p>	3
8. Helping the authority to implement the value of good governance, including effective arrangements for countering fraud and corruption risks	<ul style="list-style-type: none"> • <i>Reviewing arrangements against the standards set out in CIPFA's Managing the Risk of Fraud (Red Book 2).</i> • <i>Reviewing fraud risks and the effectiveness of the organisation's strategy to address those risks</i> • <i>Assessing the effectiveness of ethical governance arrangements for both staff and governors</i> 	<p>(5)</p> <p>(5)</p> <p>(5)</p>	5

Assessment key	
5	Clear evidence is available from a number of sources that the committee is actively supporting improvements across all aspects of this area. The improvements made are clearly identifiable.
4	Clear evidence from some sources that the committee is actively and effectively supporting improvement across some aspects of this area.
3	The committee has had mixed experience in supporting improvement in this area. There is some evidence that demonstrates their impact but there are also significant gaps.
2	There is some evidence that the committee has supported improvements, but the impact of this support is limited.
1	No evidence can be found that the audit committee has supported improvements in this area.

Areas where the audit committee can add value by supporting improvement	Examples of how the audit committee can add value and provide evidence of effectiveness	Self-Evaluation, examples areas of strength and weakness	Overall assessment: 5-1 See key below
<p>9. Promoting effective public reporting to the authority's stakeholders and local community and measures to improve transparency and accountability</p>	<ul style="list-style-type: none"> • <i>Improving how the authority discharges its responsibilities for public reporting; for example, better targeting at the audience, plain English</i> • <i>Reviewing whether decisions making through partnership organisations remains transparent and publicly accessible and encouraging greater transparency</i> 	<p>(5)</p> <p>(4) – outside of the Committee's control</p>	<p>4.5</p>

Assessment key	
5	Clear evidence is available from a number of sources that the committee is actively supporting improvements across all aspects of this area. The improvements made are clearly identifiable.
4	Clear evidence from some sources that the committee is actively and effectively supporting improvement across some aspects of this area.
3	The committee has had mixed experience in supporting improvement in this area. There is some evidence that demonstrates their impact but there are also significant gaps.
2	There is some evidence that the committee has supported improvements, but the impact of this support is limited.
1	No evidence can be found that the audit committee has supported improvements in this area.

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Agenda Item 6

Committee: Governance, Audit & Performance Committee **Date:** 17 May 2018
Title: General Data Protection Regulation (GDPR) Compliance Progress Report
Author: Sheila Bronson, GDPR Project Lead Officer **Item for decision:** No
01799 510610

Summary

1. To provide an update to the Governance, Audit & Performance Committee details of work being undertaken by the Council's towards compliance with the EU General Data Protection Regulation (GDPR) which come into force on 25 May 2018.

Recommendation

2. That the General Data Protection Regulation (GDPR) Compliance Progress Report be noted.

Financial Implications

3. None

Background Papers

4. None

Impact

- 5.

Communication/Consultation	An officer Project Team has been set up with representation from all departments. A communication strategy is be a key part of implementing the GDPR.
Community Safety	none
Equalities	None direct, although the need to protect sensitive personal data may be more significant for groups with one or more protected characteristics.
Health and Safety	none
Human Rights/Legal Implications	The Council is under a legal obligation to comply with the terms of the GDPR when they take effect on 25 May 2018. Penalties

	can be imposed, and reputational damage suffered, if it does not. Non-compliance may also lead to an infringement of the rights of individuals, in particular their “Article 8” right to respect for their private life and home.
Sustainability	none
Ward-specific impacts	none
Workforce/Workplace	All Council employees need to be aware of data protection requirements and to carry out their work in a compliant manner. This is particularly important for employees who have access to sensitive personal information about members of the public.

Situation

6. The EU General Data Protection Regulation (GDPR) come into force on 25 May 2018.
7. GDPR will replace the Data Protection Act 1998, and will be supplemented by the Data Protection Bill 2018 currently progressing through Parliament.
8. The Council has established a GDPR Project Team to undertake a programme of work to review the Council’s current level of compliance and the actions needed to ensure gaps in compliance are rectified by 25 May 2018.
9. Two temporary posts (12 months) have been created to oversee the GDPR compliance work; with the Internal Audit Manager appointed as GDPR Lead Officer and a GDPR Compliance Officer in post from 13 November 2017.

Work Programme

10. The Information Commissioner has published guidance on the twelve principal steps that organisations should take to ensure GDPR compliance and form the basis of the Council’s work towards this.
11. The GDPR Project Plan includes the actions needed to address the twelve steps identified by the Information Commissioner and is kept under review and adapted as further guidance becomes available and as the Data Protection Bill proceeds through Parliament.
12. GDPR Project Team meets monthly to review progress on its Project Plan; regular updates are also reported to the Corporate and Senior Management Teams.

13. A GDPR Compliance Progress Report will continue to be brought to future meetings of this committee during the lifetime of the GDPR Project. A copy of the current Project Plan is available to Members on request.

Progress to date

14. A Council wide data mapping and flowcharting exercise and Data Protection Impact Assessments (DPIA) have been completed for all of the Council's services where personal data is collected. This has identified the risk areas where action is required to ensure compliance and service managers are working to reduce the risks.
15. The Council's overarching Privacy Notice and Service Specific Privacy Notices have been drafted and will shortly be available on a new Data Protection page on the Council's website.
16. The Council's current data protection policies and procedures have been revised and being updated and where necessary new policies and procedures drafted. These policies and procedures will shortly be available on a new Data Protection page on the Council's website.
17. The programme of GDPR awareness for staff continues through the GDPR intranet page and news-letters. Compulsory GDPR training for all staff will soon be launched to familiarise them with the procedures and policies. The Local Government Association is developing an e-learning GDPR training course for councillors and it is planned to make this available to all of the Council's Members.
18. Under the GDPR, it is mandatory for the Council as a public authority to appoint a Data Protection Officer (DPO). As an interim arrangement, the Audit Manager has been appointed to the designated DPO role working with the GDPR Compliance Officer on day to day DPO tasks. This arrangement will be reviewed once the level DPO work after 25 May 2018 can be assessed.

Risk Analysis

19.

Risk	Likelihood	Impact	Mitigating actions
The Information Commissioner can impose sanctions on the Council if it fails to show its compliance with GDPR from 25 May 2018	1 The Council may not achieve full compliance by 25 May 2018	3 Data breaches due to non-compliance will be subject to sanctions varying in severity from warnings, reprimands, corrective orders	Action is being taken to towards ensuring the Council is in a position to demonstrate GDPR Compliance by 25 May 2018

		to fines of up to €20m	
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1 = Little or no risk or impact

2 = Some risk or impact – action may be necessary.

3 = Significant risk or impact – action required

4 = Near certainty of risk occurring, catastrophic effect or failure of project.

Agenda Item 7

Committee: Governance, Audit & Performance Committee **Date:**
Title: Draft Internal Audit Work Programme 2018/19 17 May 2018
Author: Sheila Bronson,
Internal Audit Manager, **Item for decision:**
01799 510610 Yes

Summary

1. The purpose of this report is to present to Members the details of the proposed draft Internal Audit Work Programme for 2018/19.

Recommendations

2. That Members approve the proposed draft Internal Audit Work Programme for 2018/19 and consider any additional areas for Internal Audit work during in 2018/19.

Financial Implications

3. None. There are no costs associated with the recommendations.

Background Papers

None.

Impact

- 4.

Communication/Consultation	The draft Internal Audit Work Programme 2018/19 referred to in this report has been agreed with Corporate Management Team at its meeting 04 April 2018 and discussed with the Senior Management Team at its meetings in March and April 2018
Community Safety	none
Equalities	none
Health and Safety	none
Human Rights/Legal Implications	none
Sustainability	none

Ward-specific impacts	none
Workforce/Workplace	none

Situation

5. Internal Audit is part of the Council's corporate governance framework. Corporate governance is defined as the system by which local authorities direct and control their functions. The requirement for adequate and effective Internal Audit is statutory for all local authorities.
6. With effect from 1 April 2013, the work of Uttlesford District Council's (UDC) Internal Audit is governed by the UK Public Sector Internal Audit Standards (PSIAS) which have replaced the CIPFA Code of Practice for Internal Audit in the UK. The PSIAS require that there must be a risk-based internal audit plan that takes into account the requirement to produce an annual internal audit opinion and assurance framework and the plan must be reviewed and approved by senior management (CMT) and the board (Performance & Audit Committee).
7. In 2011/12 we adopted the methodology of a rolling programme of risk based internal audit work to meet requirements and resources during the year.

Draft Internal Audit Work Programme 2018/19

8. Until 31 July 2018, the Audit Manager is on secondment to the General Data Protection Regulation (GDPR) Project Team and the part-time internal auditor seconded to full time to provide audit cover. The Audit Manager's GDPR and other data protection commitments after 25 May 2018 are still to be confirmed. This draft Internal Audit Programme for 2018/19 will be reviewed and the Internal Audit Strategy 2018/19 with a revised Internal Audit Programme for 2018/19 present to this committee at its meeting in July 2108. Any further revisions to the programme will be reported to the Committee through Internal Audit Progress Reports.
9. No audit days for the Audit Manager have been included the calculation of the available audit days, these have been calculated on the resources of:
 - 1 x FT Internal Auditor – from 01 April 2018 – 31 March 2019
 - 1 x FT Internal Auditor – from 01 April 2018 – 31 July 2018
 - 1 x 0.67 FTE Internal Auditor – from 01 August 2018 – 31 March 2019
10. The initial Internal Work Programme for 2018/19 allocation of audit days calculated as follows:

Total Days available	463
Less non-productive (e.g. bank holidays, leave, admin, CPD, Training etc.)	<u>-136</u>
Total available productive time	327

Less Productive non-audit work - 52
(e.g. Annual Governance Statement; consultancy & general advice;
Committee & Member related work;
Contribution to Corporate Management; fraud related work;
irregularity provision; follow-up work; residual 2017/18 work etc.)

Total days available for planned audit work 275

11. The 2018/19 programme audit work is risk based as far as is possible; our priorities for audits are:

1. Corporate Plan Actions / Corporate & Strategic Risks / Key Performance Indicators (latest data available at the time of preparation of this report);
2. Key Financials –statutory audits (audited on a 3 year cycle);
3. Internal Audit identified high risk areas;
4. Specifically requested risk areas or services;
5. Audits carried forward from the 2017/18 plan;
6. Overdue audits from the strategic plan.

12. The draft Internal Audit Work Programme 2018/19 detailing the areas currently under consideration for audit work throughout 2018/19 is reproduced in Appendix A(i).

13. The 2018/19 Strategic Programme details all of the potential audit areas and the information on which the audit risk assessment has been based and is reproduced in Appendix A(ii).

Risk Analysis

14.

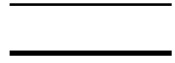
Risk	Likelihood	Impact	Mitigating actions
The Council does not provide for an adequate and effective internal audit function	1 Internal Audit function is an integral part of the Council	3 Statutory requirement, adverse External Auditor comment	Strategic audit programme approved by Senior Officers and Members, reconciled to available audit resource
The Council's audit environment changes and available audit resource is no longer sufficient	2 No spare capacity if unforeseen long term absence of staff	2 Review of audit plan leading to reduction of audit coverage.	Regular monitoring and highlighting potential shortfall

		Potential shared / joint working agreements with neighbouring authorities	
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- 1 = Little or no risk or impact
- 2 = Some risk or impact – action may be necessary.
- 3 = Significant risk or impact – action required
- 4 = Near certainty of risk occurring, catastrophic effect or failure of project.

draft INTERNAL AUDIT PROGRAMME 2018/19		2018/19 prog days	Risk assess 2018/19
01C	Corporate Counter Fraud	5	2
02C	Corporate Equality & Diversity	15	4
03C	Corporate Health & Safety	10	4
04KF	Corp Services - HR & Payroll (combined)	15	4
05KF	Resources - Budgets	5	3
06KF	Resources - Cash & Bank	5	3
07KF	Resources - Contracts & Procurement	10	3
08KF	Resources - Creditors	10	4
09KF	Resources - Housing Rents	10	3
10KF	Resources - Income, Fees & Charges	5	3
11O	Corp Services - Museum	5	2
12O	Governance & Legal - Democratic Services	10	3
13O	Governance & Legal - Legal Services	10	4
14O	Housing & Health - Community - Safety	10	3
15O	Housing & Health - Environmental Health - Enforcement	15	3
16O	Housing & Health - Environmental Health - Disabled Facilities Grants	10	3
17O	Housing & Health - Environmental Health - Empty Homes & Private Sector Housing	10	3
18O	Housing & Health - Property Services - Planned Maintenance	15	3
19O	Housing & Health - Property Services - Stock & Voids	5	4
20O	Housing & Health - Property Services - Stores	10	3
21O	ICT & Facilities - ICT Security	10	3
22O	Planning - Building Control Service and Fees	10	3
23O	Planning - Development Management, Support & Advice	10	3
24O	Planning - Economic Development Service - business parks and communities	10	2
25O	Planning - Economic Development Service - stansted airport & LSP economic growth, jobs & prosperity	10	2
26O	Planning - Enforcement	15	3
27O	Planning - Neighbourhood Plans	10	3
28O	Street Services - Trade Waste and Income Generating Services	10	4
		275	





comment March 2018	last audited	last audit opinion
to conclude FRA 2017/18	2016/17	
B/F from 2017/18	2012/13	limited
to undertake review of self-assessment if completed	2015/16	adequate
kf yr 2 new iTrent system	2016/17	limited
kf yr 1 B/F from 2017/18	2015/16	substantial
kf yr 2	2016/17	satisfactory
kf yr 2	2015/16	substantial
kf yr 2	2015/16	substantial
kf yr 2	2015/16	substantial
kf yr 2	2016/17	substantial
to conclude 2016/17 audit	2016/17	
not audited previously, PI Red for most of 2017/18		
service changes B/F from 2017/18	2012/13	substantial
service changes	2014/15	substantial
	2014/15	substantial
	2013/14	adequate
request by service manager	2014/15	substantial
KPI red	2016/17	substantial
service changes	2015/16	adequate
	2015/16	substantial
	2014/15	substantial
	2014/15	substantial
service changes		
to complete 2016/17 audit (interim report issued)	2017/18	little

Internal Audit Strategic Programme 2018/19-dra

2018/019 potential days 2018/19 prog (initial)

Orig IA Risk assess 2018/19

Corp Risks January 2018

Service Risk Register Feb 2018

KPI/PIs RED or AMBER qtr 3 2017/18

kf

Internal Audit Strategic Programme 2018/19-dra	2018/019 potential days	2018/19 prog (initial)	Orig IA Risk assess 2018/19	Corp Risks January 2018	Service Risk Register Feb 2018	KPI/PIs RED or AMBER qtr 3 2017/18
Corp Services - Communication		no	2		SR-WC (01-8) (02-8) (05-12) SR-COMM (02-8) (03-12)	
Corp Services - Customer Service Centre		no	1		SR-CS (03-9)	
Corp Services - Day Centres		no	1		SR-LP (04-16)	
Corp Services - Grants to Voluntary Organisations		no	1		SR-LP (03-9)	
Corp Services - HR & Payroll (combined)	15	yes	4	17-CR04 6	SR-HR (02a-9) (03-12)	
Corp Services - Leisure - PFI		no	2			
Corp Services - Museum	5	yes	2			PI 22 R
Corp Services - Performance Management		no	1	17 CR08 4		
Corp Services - Risk Management		no	2			
Corporate Commercial Enterprise & Investment		no	1			
Corporate Counter Fraud	5	yes	2			
Corporate Equality & Diversity	15	yes	4			
Corporate Fleet & Fuel Management		no	1			
Corporate Governance & Ethical Culture		no	1	17-CR07 8		
Corporate Health & Safety	10	yes	4	17-CR03 4		
Corporate Information Management		poss	4	17-CR05 8		
Corporate Partnerships			1			
Corporate Value for Money		poss	3			
Governance & Legal - Democratic Services	10	yes	3			PI 21
Governance & Legal - Elections		no	2		SR-DEM (03-9)	
Governance & Legal - Electoral Registration		no	1			
Governance & Legal - Legal Services	10	yes	4			
Governance & Legal - Local Land Charges		no	1			
Governance & Legal - Members' Allowances & Expenses		no	1			
Housing & Health - Community - Health Improvement		no	1			
Housing & Health - Community - Safety	10	yes	3		SR-CTS (02-8) (03-8)	
Housing & Health - Environmental Health - Business Continuity		no	1	17 CR02 6		
Housing & Health - Environmental Health - Commercial Food Safety		poss	3		SR-EHC (03-8)	PI 41
Housing & Health - Environmental Health - Disabled Facilities Grants	10	yes	3			
Housing & Health - Environmental Health - Emergency Planning		poss	3			
Housing & Health - Environmental Health - Empty Homes & Private Sector Housing	10	yes	3			
Housing & Health - Environmental Health - Enforcement	15	yes	3			

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Agenda Item 8

Committee: Governance, Audit & Performance

Date:

Title: Procurement Arrangements

17 May 2018

Author: Cristine Oakey,
Procurement Manager

Item for decision:
No

Summary

1. This is a regular six month update for Members on procurement activity

The aim of this report is to assist Members understanding of the Council's procurement arrangements

This report provides an update on procurement activity for the last six months of the previous financial year (i.e. October 2017 – March 2018)

The report provides information on the two specific areas requested

- A) Contracts awarded over the value at which they are required to be tendered (currently £50,000) and
- B) Instances where requests for exceptions to Contracts Procedure Rules have been requested

Recommendations

2. The Committee notes the content of the report

Financial Implications

3. There are no direct financial implications associated with this report

Background Papers

4. The following papers were referred to by the author in the preparation of this report and are available for inspection from the author of the report.
 - Procurement Service Plan 2017/18

Impact

5. There are no adverse impacts identified as a result of this report

Communication/Consultation	None
Community Safety	None
Equalities	None

Health and Safety	None
Human Rights/Legal Implications	None
Sustainability	None
Ward-specific impacts	None
Workforce/Workplace	None

Situation

6. A) Contracts awarded over the value at which they are required to be tendered (currently £50,000)

Seven major contracts were awarded in the last half of 2017/18 which are detailed below

Software for the Revenues & Benefits system and Housing Management

The contract with the current service provider expired in December. Working in conjunction with the Client department, a new contract worth just under £680,000 over five years was negotiated with Northgate for continued use of the software on a cloud hosted basis.

This contract was awarded under a “Negotiated Procedure without prior call for competition” on the basis of Intellectual Property Rights and a Contract Award Notice released into the Official Journal of the European Union as required under the Public Contracts Regulations 2015 (as amended)

Software for the Planning, Environmental Health & Housing Departments

The contract with Idox which was tendered just over five years ago had reached its expiry. Working in conjunction with the Client department, a new contract worth just over £570,000 was negotiated with Idox for continued use of the software on a cloud hosted basis.

This contract was awarded under a “Negotiated Procedure without prior call for competition” on the basis of Intellectual Property Rights and a Contract Award Notice released into the Official Journal of the European Union as required under the Public Contracts Regulations 2015 (as amended)

Appointment of Main Contractor for delivery of Affordable Housing

A contract worth £590,000 has been awarded to Godfrey & Hicks Builders to develop three dwellings at Sheds Lane, Saffron Walden, one of which is a bungalow providing bespoke accommodation for a family with a disabled child. The contract was advertised and there were six tenders received – two of

which were non-compliant. This was particularly disappointing when one of those was the only one within budget.

Following evaluation, Godfrey Hicks were identified as the preferred bidder, scoring 97.42%. The sum proposed was however over budget. Meetings were held with the bidder to value engineer the Employers Requirements to reduce the contract sum and work has started on site.

Replacement Equipment for the Post Room

Equipment in the post room had become dated and new technology suggested savings could be made by introducing new equipment and working practices. The opportunity was tendered; inviting innovative solutions rather than a prescriptive specification of requirements, the contract value was £86,000 and awarded to Neopost. The new equipment will offer savings both in streamlined working practices and on postal charges.

Appointment of Lead Negotiator

This appointment was the subject of an exception request given the urgent need to appoint a lead negotiator for work linked to the proposed Garden City development. Cushman & Wakefield Debenham Tie Leung have been appointed and £100,000 set aside to cover fees.

Replacement of Firewall for ICT

The IT team have identified a need to improve and update the current firewall and a contract has been awarded to Softcat Limited using a government framework agreement to carry out detailed design work and supply and install new equipment. The contract is worth just over £100,000.

Contract for Servicing and Repairs of Heating and Hot Water Systems

This appointment was the subject of an exception request given the urgent need to appoint a contractor. The need arose following the termination of a contract with the previous provider. Whilst the value of the contract requires us to act in accordance with The Public Contracts Regulations 2015 i.e. in accordance with European Legislation, we have acted within the justification of the urgency. The contract was awarded to Oakray Limited, who were the previous provider and could mobilise at very short notice and is worth £540,000 over two years during which time the contract will be re-tendered.

B) Instances where requests for exceptions to Contracts Procedure Rules have been requested

Eight exception requests have been made during the period of this report and are detailed in Appendix A

Risk Analysis

7.

Risk	Likelihood	Impact	Mitigating actions
That the Council does not ensure value for money through its procurement activities	1 – The Council has robust Contract Procedure Rules in place and a Procurement Strategy that is reviewed and approved by Members annually	2 – There may be some risk that if procurement rules are not followed the Council may not realise best value through it’s contracts	Current structures and procedures in place give sound reassurance the Council is receiving value for money through it’s contracts.

- 1 = Little or no risk or impact
- 2 = Some risk or impact – action may be necessary.
- 3 = Significant risk or impact – action required
- 4 = Near certainty of risk occurring, catastrophic effect or failure of project.

Appendix A

Details	Value of Contract		Client Department	Contract Awarded to	Reason for Exception Request	Expiry Date
	£10,000 to £50,000	£50,000 and above				
Consultant for the completion of a Water Cycle Study as part of the Local Plan (additional work following public consultation)	£30,000.00		Planning	Arcadis	Consultant carried out initial water cycle study	by 31/03/2018
Varonis (GDPR) Software & Maintenance		£79,458.00	ICT	Bytes Security Partnership	Able to obtain the software product quickly as work to implement GDPR is considerable and Uttlesford DC only have to May 2018 to become compliant	01 October 2018
Pay in Point	£12,931.00		CSC	Banking Automation Limited	Facility to accept payment by cash or cheque at Dunmow Library following withdrawal of Allpay cards.	Open
Consultant Garden City Development strategy	£14,400		Planning	Garden City Developments CIC	There are few other providers of this service and the council needs to seek an independent view urgently	12 months
Consultant to act as lead negotiator for Easton Park, West of Braintree Garden Communities		£71,800	Planning	Arcadis Cost Consultancy Services	Need a negotiator with a strong understanding of residential and commercial land transactions urgently	28th February 2019

Appendix A continued..

Details	Value of Contract		Client Department	Contract Awarded to	Reason for Exception Request	Expiry Date
	£10,000 to £50,000	£50,000 and above				
Consultant for specialist viability advice for Easton Park, North Uttlesford, West of Braintree.	£13,475		Planning	Hyas Associates Ltd	Few other providers of this service at this level and the council needs an experienced viability consultant urgently	30 September 2018
Heating and Hot Water Services and Maintenance		£700,000	Housing Repairs	Oakray Limited	Contract with current provider has been terminated. The Council is unable to be without a provider given the statutory landlord duties and need to ensure heating and hot water services for our tenants are maintained at all times	01 January 2020
Consultant to act as lead negotiator for Easton Park, West of Braintree Garden Communities		£100,000	Planning	Cushman and Wakefield	The previous appointment of Arcadis was withdrawn following identification of a conflict of interest.	28th February 2019

Committee:	Governance, Audit and Performance Committee	Date:	17 May 2018
Title:	Polling District Review		
Report Author:	Peter Snow, Democratic and Electoral Services Manager psnow@uttlesford.gov.uk Tel: 01799 510430	Item for decision:	Yes

Summary

1. An interim review of a number of specific polling districts and polling places has been conducted as agreed by the Committee on 16 November 2017. Following the publication of the review notice in January 2018, the review was extended to include two additional polling districts in the light of further representations received. Draft proposals have now been prepared for consideration and approval as set out in this report and in the more detailed Statement of Reasons attached to this report. The existing Scheme of Polling Districts and Places is also attached for added context.

Recommendations

2. Approve the revised polling scheme with effect from 29 May 2018.

Financial Implications

3. There are no direct financial implications except that any change of polling location will have an impact on the costs of administering each specific election.

Background Papers

4. The following papers were referred to by the author in the preparation of this report and are available for inspection from the author of the report.

None except for material already published.

Impact

- 5.

Communication/Consultation	Full public consultation including parish and town councils, elected representatives at all levels, and political parties
Community Safety	None other than considerations taken into account in the inspection of existing or

	potential polling locations in respect of access, parking and other facilities
Equalities	None
Health and Safety	None except as detailed under community safety
Human Rights/Legal Implications	None
Sustainability	None
Ward-specific impacts	Flich Green and Little Dunmow; Great Dunmow North; Littlebury, Chesterford and Wenden Lofts; Saffron Walden Audley; Saffron Walden Castle; Saffron Walden Shire; and The Sampfords
Workforce/Workplace	None

Situation

6. The timetable for the interim review was approved by the Committee on 16 November 2017. A full process of consultation was carried out following publication of the review notice on 15 January 2018.
7. A great many representations have been received, as mentioned in the Statement of Reasons attached to this report. Inspection of all of the locations designated as polling places within the polling districts identified for review, as well as those in Great Dunmow North-West and Saffron Walden Shire North subsequently added to the review, has been undertaken, except where explained in the Statement of Reasons. Inspection has also taken place of a number of potential alternative locations.
8. The locations inspected have been evaluated against the statutory criteria and this has resulted in a number of recommendations to this meeting to designate locations for use at all elections and referendums taking place between 28 May 2018 and 30 November 2019.
9. The only scheduled set of elections during that time will be the ordinary election of all district and parish councillors in May 2019. Further unscheduled elections may take place within that timeframe as required.
10. A full statutory review of polling places and districts in Uttlesford will be required between 1 October 2018 and 31 January 2020. In practice, barring anything unexpected, the full review will take place after the May 2019 elections and prior to publication of the revised register of electors on 1 December 2019.

11. In considering the recommendations, members are asked to take the following factors into account:

- A polling district is a geographical area created by the sub-division of a Parliamentary Constituency. Each parish must be a separate polling district (unless in special circumstances) but where a parish includes more than one ward the polling district must not cross any ward boundary.
- A polling place is the building or area within each polling district in which polling stations are located by the Returning Officer. The polling place should always be defined as carefully as possible and should always be located within the polling district boundary as centrally as possible for the convenience of electors.
- The Council has a duty to ensure that polling places are conveniently located for all electors, and that the buildings selected are accessible for disabled electors.
- The selected buildings should be readily available for all elections, should have good facilities and be capable of division into more than one polling station where needed to assist the efficient flow of electors in voting. Therefore the size of the room or space allocated for polling is often a critical factor.
- There has been much concentration on the merits or otherwise of designating schools for polling purposes. The Returning Officer is entitled to use free of charge schools maintained by a local authority or receive funding from Parliament. When schools are used for polling, discussion takes place with the school to assess whether it is feasible for the school to remain open. Generally speaking, schools are designated only when there is no reasonable alternative but in deciding whether or not a school should be selected, the convenience of the electors should be the primary concern as that is the Council's overriding duty in setting a polling scheme.

12. Members are asked to consider the proposals set out in the Statement of Reasons attached to this report before approving a revised Scheme of Polling Districts and Polling Places.

Risk Analysis

13.

Risk	Likelihood	Impact	Mitigating actions
2 – there is a risk that existing polling arrangements will not meet the	2 – decisions are needed to enable future elections to proceed safely	3 – the failure to provide adequate polling facilities would	Undertake proper evaluation of suitable polling facilities in locations where problems have been

Council's statutory obligations	and without risk of legal challenge	expose the Council/ Returning Officer to public criticism and possible legal challenge	identified and take appropriate remedial action
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1 = Little or no risk or impact

2 = Some risk or impact – action may be necessary.

3 = Significant risk or impact – action required

4 = Near certainty of risk occurring, catastrophic effect or failure of project.

**DRAFT STATEMENT OF REASONS FOR CHANGES TO THE SCHEME OF
POLLING DISTRICTS AND POLLING PLACES IN THE UTTLESFORD DISTRICT
(PART IN THE SAFFRON WALDEN PARLIAMENTARY CONSTITUENCY) TO BE
APPLIED FROM 28 MAY 2018**

All wards are as defined in The Uttlesford (Electoral Changes) Order 2014.

The scheme to be applied is as set out in full in the Schedule of Polling Districts and Polling Places approved on 17 May 2018 and published on 25 May. The following statement contains a full explanation of the reasons for changes made to the scheme as published on 17 November 2014. The new scheme will be reflected in the Register of Electors published by 1 December 2018 and applied at all elections held in the Uttlesford District (fully contained in the Saffron Walden Parliamentary Constituency) from 29 May 2018.

Polling District AGB Little Dunmow

Decision: Retain the Community Meeting Room, Recreation Ground off Brook Street as the designated polling place for Little Dunmow.

Reasons: The Community Meeting Room remains the only viable location in Little Dunmow to accommodate polling facilities.

One representation was received previously (not as part of this review) about the suitability of the Community Meeting Room on the basis that the building is located away from the village centre along an unlit lane and is therefore inconvenient for electors in Little Dunmow. An undertaking was made that the location would be reviewed at the next available opportunity.

The Community Meeting Room has been used at all elections since 2011. It is effectively a temporary building encased in a metal shell. Although the internal space is quite small, this is sufficient to accommodate the 300 electors on the register. The building is used for community activities and for parish council meetings.

Prior to 2011, the Flitch of Bacon Public House was the designated polling place. This was never very satisfactory as polling had to operate side by side with the public house remaining open, although the polling station was screened off as far as it was possible to manage.

A discussion has taken place with the present owners of the Flitch of Bacon and the conclusion reached is that polling use would be possible only if the free house were to close for the day. Although the owners were sympathetic, they would not be prepared to apply closure of their business to allow polling to take place.

Polling District AHB Great Dunmow North-West

Decision: Retain Great Dunmow Primary School, off Woodlands Park Drive as the designated polling place for Great Dunmow North-West.

Reasons: This polling district was not originally included as part of the interim review. A representation was subsequently received from the PA to the Head Teacher asking for consideration to be given to an alternative venue for this part of Great Dunmow. The School then suggested a number of possible venues but these buildings are all already in use for other polling districts and are not therefore suitable for consideration.

Previous investigation has shown that the Primary School is the only community building available in the Woodlands Park area of Great Dunmow and that remains the case. The school hall is an ideal facility for the location of either one or two polling stations but access to the site is less than satisfactory. A previous review explored the option of locating a mobile unit at the Tesco store but this proved not to be feasible.

Difficulties have arisen in respect of the use of the school for polling because of the heightened awareness of security and safeguarding considerations. This is becoming an increasingly prevalent problem in the use of schools for polling. In 2016, the school undertook a safeguarding review after concerns were raised about adequate security on the site.

The outcome of the review was the installation of a secure access keypad on the gates at either end of the school site. The gates are left unlocked for a period at the beginning and end of each school day to enable parents and children access to the premises. At all other times access is restricted by the keypad with controlled entry administered by the school.

Before the General Election took place in 2017 it became apparent that the school (which had always previously remained open on polling days), was expecting electors to buzz at the gate to obtain entry to the school grounds and therefore to the polling station. This was clearly an unacceptable condition to accept in managing the election and so the school was asked either to arrange to leave the gate open or unlocked throughout polling hours, or to close for the day. In the event the school elected to close.

During discussion it became apparent that the school has already arranged to close on 3 May this year, even though no election was taking place. During discussion with the Head Teacher he requested that consideration be given to putting extra security measures in place to enable the school to remain open on polling days. This is something that will be considered by the Returning Officer and Electoral Services Manager in making arrangements at future elections.

Whatever arrangements are made to facilitate effective polling arrangements, it remains clear that no suitable alternative location is available in Great Dunmow North-West and it is proposed the Primary School remains as the designated polling place.

AMA Polling District AMA Chrishall

Decision: Designate the (New) Village Hall in Crawley End as the polling place in Chrishall, in place of the (Old) Village Hall attached to the Primary School.

Reasons: What is now termed as the old village hall is the existing designated polling place in Chrishall and has been the polling location for a number of years. It is attached to the school and so causes disruption whenever elections take place.

The new hall has been inspected and is entirely suitable to accommodate polling facilities. It is the former Methodist Church and was purchased and converted for use as a village hall by the Parish Council several years ago.

There are two separate halls either side of an entrance lobby area, either of which would be suitable for the location of a polling station. In fact the smaller of the two halls is the better of the two halls for polling as only one polling station is required to accommodate the 450 electors in Chrishall. The only problem is that there are two steps leading from the car park to the main entrance so that a ramp will need to be fitted on polling days to meet the Council's duty to designate buildings that are accessible for disabled electors.

All other facilities at the hall are fully suitable for polling use and it is therefore proposed to change the polling location in Chrishall from the old to the new village hall.

AOB Polling District AOB Saffron Walden Audley South

Decision: Designate either the Council Offices or the County High School as the polling place for the Saffron Walden Audley South polling district in place of the Assembly Hall at the Friends' School, Mount Pleasant Road.

Reasons: The Friends' School (latterly renamed as the Walden School) closed for business in 2017. The site is presently vacant and there is no certainty about its future use as a school (although it is now understood the site has been sold for development, possibly to include a primary school). Before the closure came into effect, the business manager stated that neither the assembly room (the designated location for polling) nor the car park would be made available on any future occasion. Careful examination of potential polling locations in Audley South has narrowed the available options down to either the Council Offices or the County High School. A clear recommendation is not being made in this report as there are problems associated with the use of either site for polling. The relevant considerations are set out in the following paragraphs.

Audley Ward is divided into two separate polling districts for reasons of convenience and because there are too many electors (roughly 3,500) to accommodate in a single building. Audley North consists mainly of the town centre area. Audley South is an almost entirely residential area south of the High Street and west of Debden Road/Pleasant Valley containing some 2,300 electors. The only community buildings in the polling district area are the Council Offices and the County High School (CHS).

It is possible to accommodate polling on the Council Offices site but there are difficulties involved in making arrangements that are suitable for polling. The only part of the Council Offices able to accommodate a polling station is the staff room at the north end of the building. The staff room has a separate entrance/exit leading directly from the car park. The entrance is level and sufficiently wide to accommodate wheelchair access.

The staff room was used for polling at the County Council election last May. However, only one polling station was provided for the approximately 1,850 in person electors eligible to cast a vote on the day. At the Parliamentary election in June 2017, it was necessary to provide two polling stations to accommodate the expected high turnout of voters. The staff room is too small to accommodate two polling stations.

The solution in June 2017 was to locate two mobile units in part of the car park at the front of the building. Although this arrangement worked well for polling at the General Election, it is far from ideal in a number of respects. The location of two large mobile units is logistically difficult to manage as the units have to be lifted off the delivery lorry and manoeuvred into place. It is an expensive operation and takes up part of the car park for the best part of three or four days.

When the mobile units were located for polling in June 2017, there was an unavoidable mingling of pedestrians and cars accessing the car park. There was feedback from polling inspectors and reception staff that many voters ignored clear signage and approached the reception area before being redirected. Another factor is that the location used for polling is used by tenants of the Council and the Police who need unrestricted vehicular access close to the polling stations.

There are also problems associated with the use of the CHS site. A number of meetings have already taken place at the school with the Head of Facilities and Operations where various options for polling have been explored. Part of the sports centre block known as the Dance Studio has been identified as suitable for polling. There is a level entrance leading directly from the lower car park area accessed from the entrance to Copperfields. The Dance Studio is located just inside the sports block with a separate entrance accessed from the corridor and is a large enough space comfortably to accommodate the two polling stations required for the majority

of electoral events. In terms of the facilities available for electors, the Dance Studio is entirely suitable.

However, objections have been raised by the CHS on grounds of security and safeguarding for the children under the care and protection of the school during schooling hours. A communication from the Head's PA dating back to February 2017 states: "Our main concern regarding a request of this nature is around the potential safeguarding risk it poses to our students during the school day. We operate a strict 'signing in' policy for every visitor to our site, who are each required to report to the school's main reception area on arrival at the school. Visitors are issued with a lanyard – green for those where we have a verification that a satisfactory DBS check is in place, and red for all other visitors. Visitors with red lanyards are not permitted to move around the school site unaccompanied."

Other objections have been raised by the school because of the disruption polling would cause the school in managing other activities taking place in the Sports Centre. This often involves exams as well as sports related activities.

There is one further major factor involved in deciding whether polling is feasible on the CHS site and that relates to traffic movements entering and leaving the site on school days. An inspection took place on 24 April when it became apparent that traffic movements on the school site peak between 08:15 and 08:40 and again between 15:20 and 15:35. During those times it is readily apparent that electors would find it difficult to access the site by car unless the school is closed.

Pedestrian accesses onto the school site also peak at those times leading to congested footways although it would be possible for electors to negotiate the paths on foot during those times. However, the safeguarding issues would remain and it would be a matter of policy for the school to manage those matters during school hours. During normal school days, the gates are closed between 09:00 and 15:00. While students are accessing or leaving the site, a member of the school's staff supervises student access.

The statutory rules relating to polling reviews state that the Council must ensure that all electors have such reasonable facilities for voting as are practicable in the circumstances. They must also ensure that every polling place is accessible to disabled electors.

In early 2017 there was insufficient time to conduct an interim review when it became apparent the Friends' School would no longer be available for polling. The Returning Officer made such suitable arrangements as necessary to provide polling facilities for electors in Audley South.

On a previous occasion (in 2014), the Council considered changing the polling place for Audley South. This was because of continuing uncertainty about the availability of the Friends' School. At that time the Electoral Working Group recommended

designating the CHS but this was overturned by the Full Council in agreeing a revised polling scheme.

There is little doubt that the CHS would provide the best possible polling facility for electors in Audley South but this arrangement would probably work only if the school were to close on polling days. This is clearly a difficult option for members to consider.

Members are asked to decide which of the Council Offices or the CHS should be the designated polling place for electors in Audley South.

APA Polling District Saffron Walden Castle East

Decision: Retain the Homebase retail car park in Elizabeth Way, Saffron Walden (where a mobile unit is located for use as a polling station) as the designated polling place for the Castle East polling district.

Reasons: When the Dame Bradbury School in Ashdon Road withdrew permission in late 2015 for polling to take place in their school hall, other options were explored within the polling district area. In fact alternative polling locations in Castle East proved so limited that arrangements were made with Homebase for their car parking area to be used for the location of a mobile unit.

This facility has now been used successfully in the four different polls taking place in 2016 and 2017. However, it is not an ideal arrangement for polling to take place in a mobile unit housed on a retail site. It is an expensive option and causes logistical problems in managing the polling site during the election period. It is though convenient for the majority of electors as the location is relatively central to the area.

It is always wise to have a back-up plan in place and this was highlighted recently by the announcement about the precarious future of Homebase stores. Discussions have been held with the local management at the Saffron Walden store when it became apparent that there is little news, either positive or negative, about the future of the site. For the moment it must be assumed that the Saffron Walden Homebase store is secure. The present manager has given reasonable assurances about the availability of the site for polling into the immediate future.

Attempts have been made as part of this review to explore alternative options for polling in Castle East. One relevant factor is the development of the Ridgeons site on top of the smaller developments in the polling area adjoining Ashdon Road and Radwinter Road. The new occupiers of these sites will trickle through and make a long term impact on the number of electors on the register. In time this may have the result of increasing the provision of polling stations in Castle East from one to two. Although this is a matter for the Returning Officer rather than the Council, it will impact on the space provision needed in the Homebase car park.

Other than Dame Bradbury's School, and the Saffron Walden Hospital site which would not be suitable, it has still not been possible to identify another community building in Castle East. Discussions have taken place with managers at the Tesco retail unit off Radwinter Road, to act as a potential back-up to the Homebase site. The reaction from Tesco was positive. They agreed to make space available for a mobile unit unless arrangements had already been made to locate a breast screening or blood donation unit on site at the same time.

The problem with such an arrangement is that the Tesco site is not located within Castle East as the ward boundary runs along Elizabeth Way and Radwinter Road. However, locating polling on the Tesco site is an alternative and would be convenient for the majority of electors in this area.

However, because of the assurances given about the continued use of the Homebase site, it is proposed the designation of this site should be confirmed.

APB Polling District Saffron Walden Castle West

Decision: Designate Saffron Walden Community Church in Castle Street as the polling place for Castle West in place of St Mary's Primary School, also in Castle Street.

Reasons: Very many representations were received as part of the polling review objecting to the continuing use of the primary school for polling. Other options were again explored with the outcome that the Community Church appears very well suited to accommodating polling facilities and would therefore be a good alternative.

St Mary's Primary School has been used as the polling location in Castle West for a number of years. This is because the school hall has until now been the best available facility to accommodate the 1900 electors registered in this part of Saffron Walden. It has been essential to retain use of the school hall to locate the two polling stations needed to deal with the efficient throughput of electors.

Unfortunately, the need to use this facility has meant the closure of the school on polling days as the school cannot function for the provision of meals without use of the hall.

Representations objecting to this use were received from Councillor Richard Freeman, the Head Teacher and Chair of Governors of the School, Saffron Walden Town Council and a number of parents of children attending the school. In addition, a petition was received signed by approximately 120 parents, guardians and other members of the community, asking that alternative locations should be considered.

Alternative locations considered, as well as the Community Church, were the Town Football Club, the car park at Catons Lane, St Mary's Church Parish Room, the Catholic Church Hall, and The Pavilion off Catons Lane.

Most of these locations are unsuitable for one reason or another but the Community Church proved on inspection to be entirely suitable for this use. The Pastor, the Revd Jonathan Burton was enthusiastic to use the church as a community building to assist the democratic process. The entrance to the church is level and wide enough to accommodate wheelchair users. It opens into a large open space area used for services comfortably able to accommodate the efficient throughflow of electors voting at a double station that would be required.

One disadvantage associated with this site is the limited number of parking spaces. These are accessed via a narrow entrance area and would be needed for the use of polling staff, so there would be no dedicated parking provision for electors. However, that is already the case at St Mary's School and there is ample alternative parking provision in the street opposite and in Saffron Walden town centre generally. All other facilities needed to ensure the smooth running of the polling station(s) are more than adequate.

It is recommended that the Community Church be designated for polling use in Castle West at all future elections in place of St Mary's School.

AQA Polling District Saffron Walden Shire North

Decision: Retain the School Hall at the R A Butler Academy as the designated polling place for the Shire North polling district.

Reasons: In terms of elector numbers, Saffron Walden Shire Ward is the largest ward in the district (presently 5500 electors). There are approximately 3000 electors registered in the Shire North polling district. This number of electors is very close to the cut-off point above which managing the number of electors accessing a single building becomes unviable, or at least very challenging. For example, at both the 2016 EU Referendum and at last year's general Election, queues of electors formed at different times during the day.

The polling arrangements in Shire North were not originally part of this review but were added following the receipt of representations sent on behalf of the School's governing body. The representation stated that there was only one entrance/exit to be used safely by over 600 parents and children. This entrance had to be closed during polling for the General Election to enable two separate entrances/exits to be made available. This resulted in over congestion caused by too many pedestrians needing to walk through the car parking area. It is a problem already apparent at peak traffic periods in the busy and narrow street (South Road) giving access to the site.

A number of classrooms obtain access directly off the school hall. As the School has elected to remain open during polling, arrangements had to be put in place at the General Election to screen off the polling stations from the classroom access area by means of internal barriers located towards the rear of the hall.

As a result of the School's concerns about safeguarding issues, the school allocated a member of staff to monitor the safety of pupils. This caused difficulties in terms of the Returning Officer's duty to ensure the secrecy of the ballot, as only electors and specified participants in polling can be allowed to access the polling station. The School states that all visitors to the site are required to be signed in and out and this is not possible whilst polling is in progress.

Complaints were received from some electors about the lack of parking notices given on the poll card. However, the School had already arranged to reserve some spaces for use by teaching staff at Faircroft and so some parking provision was probably available.

A visit to the school took place on 19 April when discussions were held with Paul Belzar, the Business Manager. The problems encountered on both sides were discussed fully and openly and Mr Belzar accepted the School remains the best available facility in this part of Saffron Walden, especially as the security gate beyond the hall entrance means it is feasible for the school to remain open.

To explore another possible option, arrangements were made to inspect Faircroft House where discussions took place with the owner of the community arts venture, Tim Atkinson. Faircroft House was once used for polling in this part of the town when ward and polling boundaries were much different. Although the site is suitable for polling in principle and has good parking facilities, it is outside the Shire North polling district boundary, has a much smaller internal space than the school in which to accommodate the two stations that would be needed.

It would be risky to change polling location now, especially in view of the new electors due to come on stream from the development near the Tesco site which might necessitate a reconfiguration of polling district boundaries within the Shire ward. Such a reconfiguration will be explored at the next statutory polling review next year.

For the above reasons it is being recommended to retain the School Hall at the R A Butler Academy as the designated polling place in Shire North.

ARA Polling District Stansted East

Decision: Retain St John's Church Hall off St John's Road as the designated polling place for the Stansted East polling district.

Reasons: St John's Church Hall was first designated for polling use at the interim review in early 2016. This was required following changes made at the adjoining Peter Kirk Centre when the site was vacated by the Adult Community Learning Service. Notice was given in May 2017 to discontinue availability of the hall for polling after the General Election because of concerns raised by other regular hall users. That notice has now been revoked following a meeting held on 23 April with the hall manager. The Church Hall remains entirely suitable for polling and now that

uncertainty has been removed it is proposed the existing designation should continue.

The former Adult Learning site is now occupied by the Magna Carta Primary School (since September 2016) and will continue to be used until the new school being built on the site of the old primary school is ready for occupation in September 2018. An inspection was made of the existing school site to allow for a fallback position in the event that the Church Hall was withdrawn from use.

Now that confirmation has been obtained about the availability of the Church Hall, no change in the existing arrangements is being proposed.

AWA Polling District Great and Little Sampford

Decision: For the period until the next statutory polling review following the local elections in May 2019, change the polling place for Great and Little Sampford from the Baptist Church Hall to Great Sampford Primary School. The polling place will again be reviewed after the May 2019 elections to evaluate and decide the best polling location in Great Sampford.

Reasons: There is uncertainty about the availability of Great Sampford Baptist Church next year because of proposed improvements to the Church. This involves building work to convert the existing church hall into living accommodation for the Pastor. Following this conversion work, the existing church will be upgraded to provide a community facility, including the provision of toilets and improved kitchen facilities. The Church was inspected on 24 April.

An inspection of the Primary School took place on the same day and discussions held with the Head Teacher, Mr Athanasiou. He explained that the school hall is a shared community facility and changes from school use at 6pm. The Head Teacher expressed enthusiasm about the prospect of polling taking place at the school even though this would lead to closure on polling days. Closure would be needed because the school kitchen opens directly into the hall area and would therefore compromise use of the hall for polling.

It seems likely that the Baptist Church will be suitable for polling use once again (technically transferred from the former hall next door) after the completion of building work but there is presently uncertainty about when the work will finish.

In view of this uncertainty, the less risky option is to designate the Primary School Hall as the polling place, at least until a full review of polling arrangements in the district can be undertaken in the second half of 2019.

Statement of Reasons prepared by Peter Snow on behalf of Dawn French, Returning Officer for the Saffron Walden Constituency and the Uttlesford District coming into effect on 29 May 2018

Scheme of Polling Districts and Polling Places in the Uttlesford District (included wholly in the Saffron Walden Parliamentary Constituency and the Eastern Region for European election purposes) to be applied from 1 December 2014 (as revised on 25 February 2016)

The polling district will consist of the whole of the parish named unless otherwise stated.

PD ref	Ward	Polling District	County Electoral Division	Parish/ ward	Polling place and definition of polling district boundary where applicable
AAA	Ashdon	Ashdon	Thaxted	Ashdon	Ashdon Village Hall
AAB	Ashdon	Hadstock	Thaxted	Ashdon	Hadstock Village Hall
AC	Ashdon	Little Walden	Saffron Walden	Saffron Walden Little Walden Ward	Little Walden Village Hall <i>The polling district will consist of that part of Saffron Walden parish included in Ashdon ward.</i>
AAD	Ashdon	Sewards End	Thaxted	Sewards End	Sewards End Village Hall
ABA	Broad Oak & the Hallingburys	Great Canfield	Dunmow	Great Canfield	Great Canfield Village Hall
ABB	Broad Oak & the Hallingburys	Great Hallingbury	Dunmow	Great Hallingbury	Great Hallingbury Parish Hall
ABC	Broad Oak & the Hallingburys	Hatfield Broad Oak	Dunmow	Hatfield Broad Oak Village ward	Hatfield Broad Oak Village Hall <i>The polling district boundary will divide the parish of Hatfield Broad Oak as described below: A line commencing on the western boundary of the parish, north of Wall Wood, then following the road from Lodge</i>

PD ref	Ward	Polling District	County Electoral Division	Parish/ ward	Polling place and definition of polling district boundary where applicable
ABC cont.	Broad Oak & the Hallingburys cont.	Hatfield Broad Oak cont.			<i>Farm in a southerly direction towards Forest Hall to meet a footpath eastwards to join the road from Forest Hall Farm to Doodle Oak, then following the road for a short distance before going in a south-easterly direction along a footpath to a junction of the path on the western boundary of Barrington Park, then along the line of a footpath going north and then east to meet the road from Hatfield Broad Oak to Takeley south of Green Hill, then in a straight line in a north-easterly direction to the parish boundary. Hatfield Broad Oak polling district will consist of that part of the parish lying to the south of the boundary as defined.</i>
ABD	Broad Oak & the Hallingburys	Bush End	Dunmow	Hatfield Broad Oak Bush End ward	The Ancient Foresters, Bush End, Takeley <i>Bush End polling district will consist of that part of Hatfield Broad Oak parish lying to the north of the boundary line as defined under ABC Hatfield Broad Oak above.</i>
ABE	Broad Oak & the Hallingburys	Little Hallingbury	Dunmow	Little Hallingbury	Little Hallingbury Village Hall
ACA	Clavering	Arkesden	Saffron Walden	Arkesden	Arkesden Village hall
ACB	Clavering	Clavering	Stansted	Clavering	Clavering Village Hall
ACC	Clavering	Langley	Saffron Walden	Langley	Langley Community Centre, Langley Upper Green

PD ref	Ward	Polling District	County Electoral Division	Parish/ ward	Polling place and definition of polling district boundary where applicable
ACD	Clavering	Wicken Bonhunt	Stansted	Wicken Bonhunt (parish meeting only)	St Margaret's Church, Wicken Bonhunt
ADA	Debden & Wimbish	Debden	Thaxted	Debden	Debden Memorial Hall
ADB	Debden & Wimbish	Wimbish (Carver Barracks)	Thaxted	Wimbish	The Community Hall, Carver Barracks <i>The polling district boundary will consist of that portion of Wimbish parish west of a line running from the north-east corner of Rowney Wood to a point on Thaxted Road immediately east of Myco House, then running in a generally northerly direction in a straight line immediately to the east of Parsonage Farm/Gosia's Grange and then to the ward boundary east of Tiptofts.</i>
ADC	Debden & Wimbish	Wimbish (Village)	Thaxted	Wimbish	Wimbish Village Hall <i>The polling district will consist of the remainder of Wimbish parish not included in the Wimbish (Carver Barracks) polling district.</i>
AEA	Elsenham & Henham	Elsenham	Stansted	Elsenham	Elsenham Memorial Hall, off Leigh Drive, Elsenham
AEB	Elsenham & Henham	Henham	Stansted	Henham	Henham Village Hall
AFA	Felsted & Stebbing	Felsted East	Thaxted	Felsted	Crix Green Mission Hall, Felsted <i>The polling district will consist of that portion of Felsted parish lying to the east of a line commencing at the northern boundary of the parish at the bridleway from</i>

PD ref	Ward	Polling District	County Electoral Division	Parish/ ward	Polling place and definition of polling district boundary where applicable
AFA cont.	Felsted & Stebbing cont.	Felsted East cont.			<i>Braintree Road to Graunt Courts Farm and running in a generally southerly direction along the centre of the bridleway to Frenches Green at the junction of the bridleway with the road between Frenches Green and Bannister Green, then in a straight line and in a south westerly direction to the junction of the road from Cock Green to Thistley Green with the road leading to Pye's Farm and then in a straight line to the ward boundary at the point where it crosses the River Ter immediately to the east of Leez Priory.</i>
Page 88 AFA B	Felsted & Stebbing	Felsted West	Thaxted	Felsted	Felsted Memorial Hall, Braintree Road, Felsted <i>The polling district will consist of the remainder of Felsted parish not included in Felsted East polling district as described under AFA above.</i>
AFC	Felsted & Stebbing	Stebbing	Thaxted	Stebbing	Stebbing Village Hall
AGA	Flitch Green & Little Dunmow	Flitch Green	Thaxted	Flitch Green	Flitch Green Community Hall, off Tanton Road, Little Dunmow
AGB	Flitch Green & Little Dunmow	Little Dunmow	Thaxted	Little Dunmow	Community Meeting Room, Recreation Ground, off Brook Street, Little Dunmow
AHA	Great Dunmow North	Great Dunmow North-East	Dunmow	Great Dunmow North ward	The Dourdan Pavilion, Recreation Ground, off The Causeway, Great Dunmow <i>The polling district will comprise that part of Great Dunmow North ward lying to the east of a line running from Stortford Road immediately west and then north of Newton Green,</i>

PD ref	Ward	Polling District	County Electoral Division	Parish/ ward	Polling place and definition of polling district boundary where applicable
AHA cont.	Great Dunmow North cont.	Great Dunmow North-East cont.			<i>Rosemary Crescent, Downs Crescent and then Emblems, to the ward boundary west of Newton Hall.</i>
AHB	Great Dunmow North	Great Dunmow North-West	Dunmow	Great Dunmow North ward	Great Dunmow Primary School off Woodlands Park Drive, Great Dunmow <i>North ward not included in Great Dunmow North-East above. The polling district will consist of the remainder of Great Dunmow</i>
AJA	Great Dunmow South & Barnston	Barnston	Dunmow	Barnston	Barnston Village Hall
AJB	Great Dunmow South & Barnston	Great Dunmow South-East	Dunmow	Great Dunmow South ward	United Reformed Church, New Street, Great Dunmow <i>The polling district will consist of that part of Great Dunmow parish lying mainly to the south and to the east of a line running from the western ward boundary in a generally north-easterly direction, first along the A120, then along the western edge of the Lukins Mead development to the southern bypass, then for a short distance in a westerly direction along the bypass, then in a northerly direction along the eastern edge of Springfields, Highfields, and then Standrums, then south of 34 High Street, then in a south-easterly direction along High Street to the junction with Braintree Road, then continuing along that road to the ward boundary.</i>

PD ref	Ward	Polling District	County Electoral Division	Parish/ ward	Polling place and definition of polling district boundary where applicable
AJC	Great Dunmow South & Barnston	Great Dunmow South-West	Dunmow	Great Dunmow South ward	ET Foakes Memorial Hall, Stortford Road, Great Dunmow <i>The polling district will consist of the remainder of Great Dunmow parish located within Great Dunmow & Barnston ward not included in Great Dunmow South-East polling district as described above.</i>
AKA	Hatfield Heath	Hatfield Heath	Dunmow	Hatfield Heath	Hatfield Heath Village Hall
AKB	Hatfield Heath	White Roding	Dunmow	White Roding	White Roding Sports and Social Club
ALA	High Easter & the Rodings	Aythorpe Roding	Dunmow	Aythorpe Roding	Aythorpe Roding Village Hall
ADB	High Easter & the Rodings	High Easter	Dunmow	High Easter	High Easter Village Hall
ALC	High Easter & the Rodings	High Roding	Dunmow	High Roding	WI Hall, High Roding
ALD	High Easter & the Rodings	Leaden Roding	Dunmow	Leaden Roding	Leaden Roding Village Hall
ALE	High Easter & the Rodings	Margaret Roding	Dunmow	Margaret Roding	The Reid Rooms, Marks Hall Lane, Margaret Roding
AMA	Littlebury, Chesterford & Wenden Lofts	Chrishall	Saffron Walden	Chrishall	Chrishall Village Hall

PD ref	Ward	Polling District	County Electoral Division	Parish/ ward	Polling place and definition of polling district boundary where applicable
AMB1	Littlebury, Chesterford & Wenden Lofts	Duddenhoe End & Wenden Lofts (part in Elmdon parish)	Saffron Walden	Elmdon and Wenden Lofts Duddenhoe End ward	Duddenhoe End Village Hall <i>The polling district will comprise the parish of Wenden Lofts together with that portion of the parish of Elmdon lying to the south of a straight line commencing on the eastern boundary of the parish at the north-western point of Lee Wood and running in a westerly direction to the western boundary of the parish at the junction of the road from Elmdon village with the B1039 at Essex Hill.</i> Note: The polling district consists of two parts as Duddenhoe End and Wenden Lofts are in separate parishes. Two polling stations would be required only in the event of contested parish elections.
AMB2	Littlebury, Chesterford & Wenden Lofts	Duddenhoe End & Wenden Lofts (part in Wenden Lofts parish)	Saffron Walden	Elmdon and Wenden Lofts Wenden Lofts ward	Duddenhoe End Village Hall <i>Refer to note above for description of the polling district boundary.</i>
AMC	Littlebury, Chesterford & Wenden Lofts	Elmdon	Saffron Walden	Elmdon and Wenden Lofts Elmdon Village ward	Elmdon Village Hall <i>The polling district will consist of the remainder of the parish of Elmdon not included in the Duddenhoe End & Wenden Lofts polling district.</i>
AMD	Littlebury, Chesterford & Wenden Lofts	Great Chesterford	Saffron Walden	Great Chesterford	Great Chesterford Community Centre, Recreation Ground
AME1	Littlebury, Chesterford & Wenden Lofts	Littlebury Green & Strethall (part in Littlebury parish)	Saffron Walden	Littlebury	St Peter's Church, Littlebury Green <i>The polling district consists of the parish of Strethall and that part of the parish of Littlebury lying to the west of a line</i>

PD ref	Ward	Polling District	County Electoral Division	Parish/ ward	Polling place and definition of polling district boundary where applicable
AME1 cont.	Littlebury, Chesterford and Wenden Lofts cont.	Littlebury Green & Strethall (part in Elmdon parish) cont.			<i>commencing at the point where the railway line crosses the southern boundary of the parish and running in a north westerly direction by the western extremity of Avenue Cottages and the eastern extremity of Howe Wood to the northern boundary of the parish.</i> Note: The polling district consists of two parts as Littlebury Green and Strethall are in separate parishes
AME2	Littlebury, Chesterford & Wenden Lofts	Littlebury Green & Strethall (part in Strethall parish)	Saffron Walden	Strethall (parish meeting only)	St Peter's Church, Littlebury Green <i>See AME(ii) for description of the polling district boundary.</i>
AMF	Littlebury, Chesterford & Wenden Lofts	Littlebury Village	Saffron Walden	Littlebury	Littlebury Village Hall <i>The polling district consists of the remainder of Littlebury parish not included within Littlebury Green and Strethall above.</i>
AMG	Littlebury, Chesterford & Wenden Lofts	Little Chesterford	Saffron Walden	Little Chesterford	Little Chesterford Village Hall
AMH	Littlebury, Chesterford & Wenden Lofts	Wendens Ambo	Saffron Walden	Wendens Ambo	Wendens Ambo Village Hall
ANA	Newport	Newport	Stansted	Newport	Newport Village Hall
ANB	Newport	Quendon & Rickling	Stansted	Quendon and Rickling	Quendon and Rickling Village Hall

PD ref	Ward	Polling District	County Electoral Division	Parish/ ward	Polling place and definition of polling district boundary where applicable
ANC	Newport	Widdington	Stansted	Widdington	Widdington Village Hall
AOA	Saffron Walden Audley	Audley North	Saffron Walden	Saffron Walden Audley ward	Committee Room, Town Hall, Saffron Walden (rear entrance off Butcher Row) <i>Audley North will consist of that part of Saffron Walden Audley ward lying to the north of a line running west from the ward boundary at the junction of Station Road with South Road along the centre of Station Road to the junction of Debden Road, then northwards along the centre of Debden Road to the junction with London Road and High Street then continuing in a generally north-westerly direction to the east of Beck Road, and the north of Saxon Way, and then following the line of the Slade to the ward boundary.</i>
AOB	Saffron Walden Audley	Audley South	Saffron Walden	Saffron Walden Audley ward	The Assembly Hall, Friends' School, Mount Pleasant Road, Saffron Walden <i>The polling district will comprise that part of Audley ward lying to the south of the boundary described under AOA above.</i>
APA	Saffron Walden Castle	Castle East	Saffron Walden	Saffron Walden Castle ward	Mobile polling unit located in the car park at Homebase, Elizabeth Way, Saffron Walden <i>Castle East will consist of that part of Saffron Walden Castle ward lying generally to the east of a line running northwards from the ward boundary on Ashdon Road from a point to the west of No. 2 Ashdon Road and then continuing along the rear boundaries of properties fronting the western side of Highfields to the junction with Sheds Lane, then along the rear boundaries of 10-16 Sheds Lane</i>

PD ref	Ward	Polling District	County Electoral Division	Parish/ ward	Polling place and definition of polling district boundary where applicable
APA cont.	Saffron Walden Castle cont.	Castle East cont.			<i>(evens), then continuing along the centre of Sheds Lane to bridleway 1 to byway 3 at Butlers Lane and then to the ward boundary.</i>
APB	Saffron Walden Castle	Castle West	Saffron Walden	Saffron Walden Castle ward	The School Hall at St Mary's Primary School, Castle Street, Saffron Walden <i>Castle West polling district will consist of the remainder of Saffron Walden Castle ward not included within Castle East polling district.</i>
AQA	Saffron Walden Shire	Shire North	Saffron Walden	Saffron Walden Shire ward	The School Hall at the R A Butler School, South Road, Saffron Walden <i>Shire North will consist of that part of Saffron Walden Shire ward lying to the north of a line running eastwards from the ward boundary at the junction of Mount Pleasant Road with Debden Road along the centre of Mount Pleasant Road and then Peaslands Road to the junction of that road with Thaxted Road, and then following the centre of Thaxted Road south easterly to the ward boundary.</i>
AQB	Saffron Walden Shire	Shire South	Saffron Walden	Saffron Walden Shire ward	The School Hall at the Katherine Semar Junior School, Ross Close, Saffron Walden <i>Shire South will consist of that part of Saffron Walden Shire ward not included in AQA Shire North above.</i>

PD ref	Ward	Polling District	County Electoral Division	Parish/ ward	Polling place and definition of polling district boundary where applicable
ARA	Stansted North	Stansted East	Stansted	Stansted Mountfitchet North ward	St John's Church Hall, St John's Road, Stansted <i>Stansted East polling district comprises that part of Stansted North ward to the east of a line running northwards from the southern ward boundary along the centre of Silver Street and then Cambridge Road to the northern ward boundary.</i>
ARB	Stansted North	Stansted West	Stansted	Stansted Mountfitchet North ward	Bentfield Primary School, Rainsford Road, Stansted <i>Stansted West polling district will consist of the remainder of Stansted North ward not included within Stansted East polling district as described under ARA above.</i>
ASA	Stansted South & Birchanger	Birchanger	Stansted	Birchanger	St Mary's Church Hall, 207 Birchanger Lane, Birchanger
ASB	Stansted South & Birchanger	Stansted South	Stansted	Stansted Mountfitchet South ward	The School Hall at St Mary's C of E Primary School, Hampton Road, Stansted <i>The polling district will consist of the whole of that part of Stansted parish contained in the Stansted South & Birchanger ward.</i>
ATA	Stort Valley	Berden	Stansted	Berden	Berden Village Hall
ATB	Stort Valley	Farnham	Stansted	Farnham	Farnham Village Hall
ATC	Stort Valley	Manuden	Stansted	Manuden	Manuden Village Community Centre, David Collins Drive, Manuden

PD ref	Ward	Polling District	County Electoral Division	Parish/ ward	Polling place and definition of polling district boundary where applicable
ATD	Stort Valley	Ugley	Stansted	Ugley	Ugley Village Hall
AUA1	Takeley	Broxted & Chickney (part in the parish of Broxted)	Thaxted	Broxted	Broxted Village Hall, Browns End Road, Broxted Note: This polling district comprises two parts as Broxted and Chickney are separate parishes.
AUA2	Takeley	Broxted & Chickney (part in the parish of Chickney)	Stansted	Chickney (parish meeting only)	Broxted Village Hall, Browns End Road, Broxted See above for note of polling arrangements.
AUB	Takeley	Little Canfield	Dunmow	Little Canfield	Little Canfield Village Hall
AUC	Takeley	Mole Hill Green	Dunmow	Takeley	Mole Hill Green Village Hall <i>The polling district consists of that part of the parish of Takeley lying to the east and north of a line commencing on the north-western boundary of the parish at a point due north of the passenger terminal at Stansted Airport, and running in a southerly direction to a point on the road from Coopers End to Takeley village north of Bridgefoot Cottages, then in a north-easterly direction to the parish boundary at the point where it is crossed by the byway known as Cobbs Lane.</i>
AUD	Takeley	Takeley Priors Green	Dunmow	Takeley	The Priors Green Community Centre, Bennet Canfield, Little Canfield, CM6 1YE (Takeley parish) <i>The polling district boundary consists of that part of Takeley parish lying to the east of a straight line running from the point where the polling district boundary with Mole Hill Green is intersected by the road leading from Mole Hill</i>

PD ref	Ward	Polling District	County Electoral Division	Parish/ ward	Polling place and definition of polling district boundary where applicable
AUD cont.	Takeley cont.	Takeley Priors Green cont.			<i>Green to Bambers Green and then running in a roughly southerly direction immediately to the west of Warish Hall and Smiths Green to the centre of Dunmow Road, then in an easterly direction to the Junction with Canfield Road, then following the centre of that road to the Parish boundary.</i>
AUE	Takeley	Takeley Village	Dunmow	Takeley	The Silver Jubilee Hall, Brewers End, Takeley <i>The polling district will consist of the remainder of Takeley parish not included in either the Mole Hill Green or Takeley Priors Green polling district.</i>
AVA	Thaxted & the Eastons	Duton Hill	Thaxted	Great Easton and Tilty – Duton Hill ward	The Three Horseshoes Public House, Duton Hill <i>The polling district consists of that part of the parish of Great Easton included in the Duton Hill parish ward as described in the District of Uttlesford (Electoral Changes) Order 2001.</i>
AVB1	Thaxted & the Eastons	Great Easton & Tilty (part in the parish of Great Easton)	Thaxted	Great Easton and Tilty – Village ward	Great Easton Village Hall Note: this polling district comprises two parts as Great Easton and Tilty are separate parishes, joined together in a grouped parish council. <i>The polling district comprises the parish of Tilty together with the remainder of the parish of Great Easton not included in the Duton Hill polling district.</i>
AVB2	Thaxted & the Eastons	Great Easton & Tilty (part in the parish of Tilty)	Thaxted	Great Easton and Tilty – Tilty ward	Great Easton Village Hall See above for note of polling district arrangements and for description of the polling district boundary.

PD ref	Ward	Polling District	County Electoral Division	Parish/ ward	Polling place and definition of polling district boundary where applicable
AVC	Thaxted & the Eastons	Lindsell	Thaxted	Lindsell (parish meeting only)	Lindsell Village Hall
AVD	Thaxted & the Eastons	Little Easton	Thaxted	Little Easton	Little Easton Memorial Hall
AVE	Thaxted & the Eastons	Thaxted	Thaxted	Thaxted	Bolford Street Hall, Bolford Street, Thaxted
AWA1 Page 98	The Sampfords	Great & Little Sampford (part in the parish of Great Sampford)	Thaxted	The Sampfords – Great Sampford ward	Baptist Church Hall, Great Sampford Note: Great and Little Sampford are separate civil parishes of the same grouped parish council; separate polling stations would be required only in the event of a contested parish poll.
AWA2	The Sampfords	Great & Little Sampford (part in the parish of Little Sampford)	Thaxted	The Sampfords – Little Sampford ward	Baptist Church Hall, Great Sampford Please see explanation in AWA1 above about polling arrangements.
AWB	The Sampfords	Hempstead	Thaxted	Hempstead	Hempstead Village Hall
AWC	The Sampfords	Little Bardfield	Thaxted	Little Bardfield	Little Bardfield Cricket Pavilion
AWD	The Sampfords	Radwinter	Thaxted	Radwinter	Radwinter Parish Hall

Committee: Governance, Audit and Performance

Date:

Title: Voting by Ballot at Council Meetings

17 May 2018

Report Author: Simon Pugh,
Assistant Director - Governance and Legal Services

Item for decision:
Yes

Summary

1. The Council's constitution allows an option for votes to be taken by way of ballot rather than by way of a show of hands. With a ballot, members write their vote on a piece of paper the way in which they voted is not disclosed. A vote by ballot may be requested by five members, but is overridden by a request from one member for a recorded vote.
2. At the last meeting of GAP (and at previous meetings) Cllr Hargreaves has queried this and has suggested that voting by way of ballot is more appropriate for contested appointments; e.g. those of Chairman and Vice-Chairman of the Council.
3. This report asks members whether they support amending the Constitution to provide for appointments to be made by way of ballot.

Recommendations

4. Members are asked to indicate whether they support amending the Constitution to provide for appointments to be made by way of ballot.

Financial Implications

5. None.

Background Papers

6. None.

Impact

- 7.

Communication/Consultation	This report seeks the views of members.
Community Safety	None.
Equalities	None.
Health and Safety	None.

Human Rights/Legal Implications	The report sets out the legal context. There are no human rights implications.
Sustainability	None.
Ward-specific impacts	None.
Workforce/Workplace	None.

Situation

8. Under the Council Procedure Rules (Rule 14.4), a vote will take place by ballot if five members present at the meeting demand it. However, under Rule 14.5, a demand for a recorded vote by a single member will trump a demand for a ballot. The text of rules related to voting is appended to this report. The rules also apply to committees and sub-committees.
9. The provision allowing a demand for a recorded vote to override a demand for a ballot seems strange at first sight, but the issue is not wholly straightforward. The following points are of relevance:
 - a. These rules follow the model constitution promulgated by the Government (DCLG) as part of the implementation of the Local Government Act 2000. The Council does not have to follow the model constitution in respect of voting procedures, although there are some rules on voting.
 - b. There are issues around votes being taken by secret ballot. There will be a point of view that electors should be able to see how their councillors vote, and a secret ballot lacks transparency.
 - c. One of the mandatory rules is that a member can require how they voted to be recorded in the minutes. If there is a secret ballot, one will have to trust the statement of a member as to how they voted. If all the members voting for or against on an issue demanded that the minute shows how they voted, then this would undermine the secrecy of a ballot.
 - d. If a call for a vote by ballot is controversial, the wishes of five members of the Council should not prevail over a wish by a larger number of councillors to have a vote by show of hands, or a recorded vote. Even if a majority voted for a ballot, the minority could undermine this by requiring the minutes to show how they voted.
 - e. Whilst there is no statutory requirement for the recorded vote procedure (subject to one exception) it is a standard aspect of local government standing orders. It is also quite a valuable tool for political groups who wish to make clear how members voted on controversial or significant issues. There are some good arguments for a minority of members being able to trigger a recorded vote. (The exception mentioned above is voting on the budget, where votes need to be recorded by law.)

- f. The current arrangements allow for a ballot when everybody is willing to accept this and, arguably, relying on consensus is the better approach.

10. Cllr Hargreaves has commented:

“There is no intention to alter the general principle of openness in voting.

“The particular concern is over voting for appointment of chair and deputy chair of the council. The arrangement for the Speaker of the House of Commons is that if it is a contested appointment then it is by ballot. As a matter internal to the council it may also be of less importance to the public to know who voted for whom, compared with other votes.

“I think it is better on a contested appointment that appointees not know whether a councillor voted for them.

“What happened last time was that a valid request by 5 members for a ballot was overturned by one member. The consequence of that was the vote then went on party lines. I would submit that the request for a ballot was to ensure that the vote was a 'free' one, and the call for a recorded vote was to ensure that it was a party vote. In a matter where we are voting for a person, not an impersonal motion, no-one is going to vote against their party colleague. My understanding is that at least two people would have voted differently in a ballot.

“So the requested change is that for appointment votes, a valid ballot request cannot be trumped by a call for a recorded vote.

“If individual councillors request that their vote be recorded then so be it.

“As far as I recall that is the only time in this council that a ballot has been requested, and on general business I can think of no reason why it should be needed.”

11. Members' views are sought on the issue. If members favour change, a further report will be submitted proposing changes to the text of the Constitution to provide for the Chairman and Vice Chairman to be elected by way of ballot and to effect any other changes favoured by members.

12. Proposals for change would need the approval of full Council on the recommendation of this committee. . I should be happy to bring a report to GAP to allow members formally to review the issue but I'm doubtful as to the scope for significant change. One could, perhaps, increase the number of members needed to trigger a recorded vote to, say, three, but in practice I doubt that this would have a significant impact. The current arrangements allow for a ballot when everybody is willing to accept this and, arguably, relying on consensus is the better approach.

Risk Analysis

13.

Risk	Likelihood	Impact	Mitigating actions
There are no specific risks provided that any changes proposed by the Committee are clear, practical and legal.	1	2	The provision of legal and governance advice in a further report, if one is needed.

1 = Little or no risk or impact

2 = Some risk or impact – action may be necessary.

3 = Significant risk or impact – action required

4 = Near certainty of risk occurring, catastrophic effect or failure of project.

Appendix:

Extract from the Council's Constitution: Council Procedure Rules

RULE 14 VOTING

14.1 Majority

Unless this Constitution provides otherwise, any matter will be decided by a simple majority of those members voting and present in the room at the time the question was put.

14.2 Chairman's casting vote

If there are equal numbers of votes for and against, the Chairman will have a second or casting vote. There will be no restriction on how the Chairman chooses to exercise a casting vote.

14.3 Show of hands

Save for voting on budget votes as defined in Rule 14.7 unless a ballot or recorded vote is demanded under Rules 14.4 and 14.5, the Chairman will take the vote by show of hands, or if there is no dissent, by the affirmation of the meeting.

14.4 Ballots

The vote will take place by ballot if five members present at the meeting demand it. The Chairman will announce the numerical result of the ballot immediately the result is known.

14.5 Recorded vote

If any member present at the meeting demand it, the names for and against the motion or amendment or abstaining from voting will be taken down in writing and entered into the minutes. A demand for a recorded vote will override a demand for a ballot.

14.6 Right to require individual vote to be recorded

Where any member requests it immediately after the vote is taken, their vote will be so recorded in the minutes to show whether they voted for or against the motion or abstained from voting.

14.7 Voting at budget decision meeting

14.7.1 For the purposes of this rule a "budget decision meeting" is a meeting of the Council which makes a calculation (whether originally or by way of substitute)

in accordance with any of sections 31A (calculation of council tax requirement), 31B (calculation of basic amount of council tax), 34 to 35 (additional calculations where special items relate to part only of the district), 36 (calculation of tax for different valuation bands), 36A (substitute calculations) and 52ZF (duty to make substitute calculations where a proposal to increase council tax will require a referendum) of the Local Government Finance Act 1992 and includes a meeting where making the calculation was included as an item of business on the agenda for that meeting and a “budget vote” is a vote upon any such calculation.

14.7.2 Immediately after any budget vote is taken at a budget decision meeting there must be recorded in the minutes of the proceedings of that meeting the names of the persons who cast a vote for the decision or against the decision or who abstained from voting.

14.8 Voting on appointments

If there are more than two people nominated for any position to be filled and there is not a clear majority of votes in favour of one person, then the name of the person with the least number of votes will be taken off the list and a new vote taken. The process will continue until there is a majority of votes for one person.

Committee:	Governance, Audit and Performance	Date:	
Title:	Procedure for moving amendments at Council Meetings		17 May 2018
Author:	Simon Pugh, Assistant Director - Governance and Legal Services	Item for decision:	Yes

Summary

1. A report on this subject was brought to the Committee on 8 February. It provoked much debate and there was concern that its proposals might go too far and limit flexibility in decision-making. The report was withdrawn for further thought. It is being resubmitted with slight modifications following discussion with Group Leaders and the Chairman and Vice-Chairman of this Committee.
2. The principal changes between the proposals in this report and those in the report to the previous meeting are:
 - The report proposes that notice of amendments must be given by 10.00 AM two working days preceding the meeting, rather than by noon on the day preceding the meeting, subject to exceptions. This is to allow adequate time for members to consider the implications of proposed amendments and for officers to give professional advice.
 - The report proposes an additional exception to the rules to allow for further amendments that directly respond to amendments submitted in accordance with these rules.
 - The proposed changes make it clear that the rules apply to recommendations to Council as well as motions, a point that was raised at the last GAP meeting. .

Recommendations

3. That the Committee recommends to Council that it adopt the changes to the Council Procedure Rules set out in the Appendix to this report.

Financial Implications

4. Notice of amendments will allow for advance consideration of any financial implications.

Background Papers

5. No background papers were referred to by the author in the preparation of this report.

Impact

6.

Communication/Consultation	None
Community Safety	None
Equalities	None
Health and Safety	None
Human Rights/Legal Implications	Notice of amendments will allow for advance consideration of any legal implications.
Sustainability	None
Ward-specific impacts	None
Workforce/Workplace	None

Situation

7. Under the Council Procedure Rules, it is possible at present to move an amendment at Council without notice and with no prior discussion with officers. This can cause difficulties with major items, such as the Local Plan and the budget.
8. Particular risks associated with budget amendments moved without notice include:
 - There is little time to consider their merit and whether they stack up, for instance whether proposed revenue allocations are adequate for the purpose intended.
 - One budget change may have knock-on implications for the remainder of the budget and it is difficult to assess this without notice of an amendment.
 - It is difficult for officers, especially the s151 officer, to provide professional advice in these circumstances.
9. There are also risks associated with planning policy amendments moved without notice. It is difficult for officers to provide advice on the impact or legality of local or other plan amendments moved without advance notice. There is a risk that changes made without proper consideration or advice could undermine the strength of the local plan proposals and the prospect of confirmation following the inspection in public.

10. The benefits of providing for notice to be given of amendments include:

- Officers would have opportunity to assess the impact of amendments and to provide advice.
- Members would have opportunity to give careful consideration to the merits of amendments, to ask questions and to seek advice.
- Where it considers that amendments have merit, the Cabinet or majority group could indicate support, which would promote consensus, or could negotiate a compromise amendment likely to have support across the Council.
- It would aid good conduct of the meeting.

11. It is important that care is taken to ensure that that rules requiring notice to be given of amendments do not undermine the right of members to offer alternatives to Cabinet or other proposals or undermine the effectiveness of opposition groups.

12. There is a high degree of visibility of Cabinet recommendations to Council. Reports to Cabinet will have been published in advance and Cabinet will have met to deliberate. There is opportunity for non-Cabinet members to make their views known at this stage and to seek to influence debate. There is significant time to identify a case for amendment, to seek officer advice and to draft the amendment.

13. Cabinet recommendations to Council almost always relate to significant budget or policy decisions. If the Council is to consider adopting a different course, then it needs time for consideration and it needs appropriate professional advice. It will not have these if amendments are produced on the night. Officer advice is that it is good practice to require notice of amendments to Cabinet recommendations to Council.

14. The considerations identified in paragraph 9 apply equally to recommendations made by regulatory committees and amendments to motions brought before the Council.

15. Officers suggest that, if these proposals are adopted, their effectiveness is reviewed after a period of, say, twelve months. If it is apparent that there are problems within that period, an earlier review can be undertaken.

16. Appendix 1 sets out a proposed amendment to the Council Procedure Rules, requiring notice to be given of amendments to Cabinet recommendation. It allows

for some flexibility where, for instance, the need for an amendment became apparent late in the day, or where amendments improve, rather than materially alter, a recommendation, or to allow a response to an amendment.

17. There is also the safeguard that, if the Council is of the view that it makes sense to consider an amendment despite these rules, it can do so by majority agreement.

18. These proposals relate only to Council meetings, and not to Committee or Working Group Meetings.

Risk Analysis

19.

Risk	Likelihood	Impact	Mitigating actions
That the current rules for moving amendments at Council without proper advice or consideration.	3	3	The action proposed in this report of providing for notice to be given of amendments, subject to exceptions to provide for flexibility.

1 = Little or no risk or impact

2 = Some risk or impact – action may be necessary.

3 = Significant risk or impact – action required

4 = Near certainty of risk occurring, catastrophic effect or failure of project.

Appendix 1.

Notice of amendments at Council (proposed additional text in bold)

12.6 Amendments to motions and recommendations

12.6.1 An amendment to a motion **or recommendation** must be relevant to the motion **or recommendation** and will either be:

- (i) to refer the matter to an appropriate body or individual for consideration or reconsideration;
- (ii) to leave out words;
- (iii) to leave out words and insert or add others; or
- (iv) to insert or add words as long as the effect of the amendment is not to negate the motion **or recommendation**.

12.6.2 Only one amendment may be moved and discussed at any one time. No further amendment may be moved until the amendment under discussion has been disposed of.

12.6.3 If an amendment is not carried, other amendments to the original motion **or recommendation** may be moved.

12.6.4 If an amendment is carried, the motion as amended takes the place of the original motion. This becomes the substantive motion to which any further amendments are moved.

12.6.5 After an amendment has been carried, the Chairman will read out the amended motion **or recommendation** before accepting any further amendments, or if there are none, put it to the vote.

12.6.6 Subject to the exceptions in Rule 12.6.7, amendments to motions or recommendations shall only be considered if they have been delivered in writing to the Democratic and Electoral Services Manager or to a Democratic Services Officer by 10 am on the day which is two working days preceding the meeting. Amendments submitted shall then be circulated to all members of the Council.

12.6.7 The exceptions to Rule 12.6.6 are:

- 1. The Chairman shall have discretion to permit amendments from members when satisfied that the need for the amendment could not have been anticipated before the deadline. The Chairman should also be satisfied that advance notice of such amendments was given as soon as**

reasonably practical, and not left to the day of the meeting unless this was unavoidable.

2. Further amendments are permitted that directly respond to amendments submitted in accordance with these rules. Notice of such further amendments should be given as soon as reasonably practical.

3. The Chairman may permit amendments if satisfied that they are necessary to improve the wording or to correct factual inaccuracies and do not make substantive changes to motions or recommendations, or to amendments of which notice has been given in accordance with rule 12.6.6. The Chairman shall give reasons for permitting such amendments to the meeting.

3. The Leader of the Council may amend a Cabinet recommendation in the light of discussion.

Committee:	Governance, Audit and Performance Committee	Date:	17 May 2018
Title:	KPI and PI Q4 and YE 2017/18 Outturn		
Report Authors:	Richard Auty, Assistant Director - Corporate Services, rauty@uttlesford.gov.uk Paula Evans, Leisure and Performance Manager pevans@uttlesford.gov.uk	Item for decision:	No

Summary

1. This report presents the 2017/18 Q4 and Year End Outturn for all Key Performance Indicators (KPIs) and Performance Indicators (PIs).

Recommendations

2. None

Financial Implications

3. There are no financial implications associated with this report.

Background Papers

4. None

Impact




- 5.

Communication/Consultation	None
Community Safety	None
Equalities	None beyond service improvement on the equality and diversity performance indicators
Health and Safety	None beyond service improvement on any health and safety related performance indicators
Human Rights/Legal	None

Implications	
Sustainability	None
Ward-specific impacts	None
Workforce/Workplace	None




Situation

- Appendix A presents the data for Quarter 4 of 2017/18 (1 January to 31 March) along with the annual outturn figures for each indicator. Data for the majority of KPIs and PIs is collected and reported on a quarterly basis, however the report also includes data for those indicators collected either on a half yearly or annual basis. All outturn data is in bold.
- The report contains data for Quarter 4 2017/18 and the previous four quarters.
- There are also columns containing the annual outturn for 2017/18 (highlighted in blue) and the 2016/17 outturn in order to provide a comparison between the two years.
- All data and performance notes have been reviewed by the Corporate Management Team.
- Overall performance against the Key Performance Indicators and Performance Indicators for 2017/18 can be summarised as follows with the majority of indicators meeting target:




	TOTAL Q4 2017/18		TOTAL YEAR END 2017/18	
	18	62%	18	53%
	5	17%	12	35%
	6	21%	4	12%
Total	29	100%	34*	100%

* Data for PI 28 not available until end June - No data currently available for PI 07

- When analysing the performance of those indicators that can be compared (28) from Q3 2017/18 to Q4 it can be noted that there was only a slight drop in performance with one indicator moving from amber to red status:

	Q3 2017/18		Q4 17/18	
	18	64%	18	64%
	6	21%	5	18%
	4	15%	5	18%
Total	28	100%	28	100%

12. When analysing the performance of those indicators that can be compared (31) from Year End 2016/17 and Year End 2017/18 it can be noted that there was only one indicator that dropped from green status and that there was an improvement in those indicators moving from red to amber status:

	2016/17		2017/18	
	17	55%	16	52%
	8	26%	11	35%
	6	19%	4	13%
Total	31	100%	31	100%

13. Officers will be undertaking further analysis of performance data as the current year progresses. This analysis will help identify performance trends for specific areas of the council. This analysis will be reported to the Governance, Audit and Performance Committee as relevant.

Risk Analysis

14.

Risk	Likelihood	Impact	Mitigating actions
If performance indicators do not meet quarterly/ annual targets then areas such as customer satisfaction and statutory adherence to government led requirements could be affected leading to a loss of reputation for the Council	2 – The majority of Performance Indicators perform on or above target	3 – The majority of service areas in the council are customer - facing	Performance is monitored by CMT and the committee on a quarterly basis. Inclusion of five quarters of data helps identify trends

1 = Little or no risk or impact

2 = Some risk or impact – action may be necessary.

3 = Significant risk or impact – action required

4 = Near certainty of risk occurring, catastrophic effect or failure of project.

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2017/18 Q4 & Annual KPIs & Pls Report for GAP 17.05.2018



Key:

* Cumulatively monitored	# Quarterly targets profiled
Max Aim to maximise performance	Min Aim to minimise performance

Key Performance Indicators (KPIs)

Directorate: CORPORATE SERVICES

PI Code & Short Name	Q4 2016/17	Q1 2017/18	Q2 2017/18	Q3 2017/18	Q4 2017/18	2016/17 Outturn	2017/18 Outturn	Performance Note:
KPI 01 Percentage of supplier invoices paid within 30 days of receipt by the Council (max) Page 115	100.00%	100.00%	100.00%	96.22%	97.84%	95.28%	93.68%	Q4 2017/18 Numerator: 2,129 Denominator: 2,176 An increase in Q4 to 97.84% from Q3's 96.1% of invoices being paid within 30 days of receipt is a positive upwards trend although the target has not been reached for the reason stated below. In previous quarters a random invoice sample was used to calculate the processing time, a new process has been adopted using total invoices received, which allows for a realistic and accurate indicator on payment times. Due to internal department processes, invoices are delayed in reaching the finance department for payment. The finance team have implemented a new process where invoices can be captured directly from an email, this is in the early stages of being rolled out to all departments and a programme of dedicated targeting of suppliers to send electronic invoices needs to be run alongside this. 2017/18 Numerator: 8,793 Denominator: 9,386 = 93.68%
	97.00%	98.00%	98.00%	98.00%	98.00%	97.00%	98.00%	
KPI 02 Customer satisfaction with services (Half Yearly) (max)	73%	N/A	77%	N/A	67%	74%	72%	H2 2017/18 The satisfaction rate represents the total average satisfaction of a range of services from those panel members who expressed an opinion. The comparative average dissatisfaction rate was 33% nominal (32.75% actual). Satisfaction levels for many services including Concessionary Travel, Council Supported Day Centres and Website have improved since the previous panel surveys held in the Spring and Autumn of 2017. During the same period there has been a decline in satisfaction with Land Charges and Council Housing – Homelessness and Council Housing – Tenant Liaison. 2017/18 The satisfaction rate represents the total average satisfaction, 72% (71.96% actual) of a range of services from those panel members who expressed an opinion in the two surveys <i>Uttesford Voices 15 Summer 2017</i> (76.67% satisfaction) and <i>Uttesford Voices 16 Spring 2018</i> (67.25% satisfaction). The comparative average dissatisfaction rate across the two half-yearly surveys was 28% nominal (28.04% actual). NB there is a small variance in the average satisfaction/dissatisfaction percentages due to rounding up and down of the figures to two decimal places.
	76%	76%	76%	76%	76%			

PI Code & Short Name	Q4 2016/17	Q1 2017/18	Q2 2017/18	Q3 2017/18	Q4 2017/18	2016/17 Outturn	2017/18 Outturn	Performance Note:
KPI 03 Percentage of Non-domestic Rates Collected (max) *	99.21%	30.63%	60.00%	88.30%	99.47%	99.21%	99.47%	Q4 2017/18 Numerator: 44,137,086.80 Denominator: 44,374,431.84. The collection rate continues to improve in 2017/18 and has increased by 0.26% compared to 16/17. Uttlesford now has the second highest collection rate in Essex.
	98.50%	29.30%	58.75%	87.50%	98.80%	98.50%	98.80%	
KPI 04 Accuracy of Processing - HB/CTB claims (max)	99.23%	99.48%	99.46%	99.23%	100.00%	99.29%	99.55%	Q4 2017/18 Numerator: 200 Denominator: 200 154 new claims and 46 change of circumstances for Housing Benefit and LCTS were checked in QTR 4, and no financial errors were identified. This gives an accuracy rate of 100% in QTR 4. The department continues on its current training and development of all Benefits team staff in order to remain above the 98% target and to improve levels of accuracy. 2017/18 Numerator: 1337 Denominator: 1343 995 new claims and 348 change of circumstances for Housing Benefit and LCTS were checked in 2017/18, and 6 financial errors were identified. This gives an accuracy rate of 99.55% in the 2017/18 financial year. The department has achieved this target by investing in the training and development of all Benefits team staff and being proactive in the quality checking process.
	98.00%	98.00%	98.00%	98.00%	98.00%	98.00%	98.00%	
KPI 05 Percentage of Council Tax collected (max) *	99.17%	30.35%	58.52%	86.76%	99.17%	99.17%	99.17%	Q4 2017/18 Numerator: 57,164,790.90 Denominator: 57,645,016.73 Target exceeded and likely to be the highest collection rate in Essex.
	98.60%	29.50%	58.20%	86.00%	98.70%	98.60%	98.70%	

PI Code & Short Name	Q4 2016/17	Q1 2017/18	Q2 2017/18	Q3 2017/18	Q4 2017/18	2016/17 Outturn	2017/18 Outturn	Performance Note:
KPI 06 (a) Time taken to process Housing Benefit/Council Tax Benefit new claims (Days) (min)	23.7	21.8	21.0	21.3	21.8	20.9	21.2	Q4 2017/18 Numerator: 6133 Denominator: 281 71 new claims to Housing Benefit (HB) were processed taking a total of 1,188 days. 210 new claims to Local Council Tax Support (LCTS) were processed taking 4,945 days. This is a combined total of 281 new claims taking 6,133 days; an average of 21.8 days.
								2017/18 Numerator: 25312 Denominator: 1193 455 new claims to Housing Benefit (HB) were processed taking a total of 8,411 days. 738 new claims to Local Council Tax Support (LCTS) were processed taking 16,901 days. This is a combined total of 1,193 new claims taking 25,312 days; an average of 21.2 days. Corrections as a result of quality and auditor/subsidy pre-checks mean that some dates/claims have been corrected from those reported in previous quarters' returns. The annual figure therefore has a small variance from that expected from the reported quarter returns.
	24.0	22.0	22.0	22.0	22.0	24.0	22.0	
KPI 06 (b) Time taken to process Housing Benefit/Council Tax Benefit change events (min)	5.1	8.1	7.0	6.1	3.6	5.4	6.0	Q4 2017/18 Numerator: 37900 Denominator: 10406 5,999 changes in circumstance to Housing Benefit (HB) were processed taking a total of 19,540 days. 4,407 changes in circumstance to Local Council Tax Support (LCTS) were processed taking 18,360 days. This is a combined total of 10,406 changes taking 37,900 days; an average of 3.6 days.
								2017/18 Numerator: 171558 Denominator: 28823 14,715 changes in circumstance to Housing Benefit (HB) were processed taking a total of 88,008 days. 14,108 changes in circumstance to Local Council Tax Support (LCTS) were processed taking 83,550 days. This is a combined total of 28,823 changes taking 171,558 days; an average of 5.95 days.
	9.0	7.0	7.0	7.0	7.0	9.0	7.0	Please note: Corrections as a result of quality and auditor/subsidy pre-checks mean that some dates/claims have been corrected from those reported in previous quarterly returns. The annual figure therefore has a small variance from that expected from the reported quarter returns.
KPI 07 (a) Average number of days lost per employee through short-term sickness absence (min) *	6.49	1.47	2.19	3.66	5.50	6.49	5.50	Q4 2017/18 Numerator: 649 Denominator: 356 1.82 days lost due to sickness for this quarter.
								2017/18 Numerator: 1,946.5 Denominator: 354 5.50 days per member of staff for the year to date.
	7.00	1.75	3.50	5.25	7.00	7.00	7.00	















PI Code & Short Name	Q4 2016/17	Q1 2017/18	Q2 2017/18	Q3 2017/18	Q4 2017/18	2016/17 Outturn	2017/18 Outturn	Performance Note:
KPI 07 (b) Average number of days lost per employee through long-term sickness absence (min)	41.77	35.50	40.28	33.73	41.30	41.77	37.70	Q4 2017/18 Numerator: 372 Denominator: 9 Average of 41.3 days off work for the 9 long term sick cases this quarter. 3 are still off work and under a fit note, 2 are back at work under a phased return, 3 have returned with no issues. We have kept on target throughout the year. The number of long term sickness absences has reduced from last year. Managers are now engaging early with OH and the HR Partnership so that long term sickness absences are managed and that a case is started early on.
	45.00	44.00	44.00	44.00	44.00	45.00	44.00	
KPI 16 Rent collected as percentage of rent owed (including arrears b/f) (max) *	97.89%	93.49%	96.47%	97.25%	98.24%	97.89%	98.24%	Q4 2017/18 Numerator: £3,777,402.22 Denominator: £4,018,857.60 (93.99%) 2017/18 Numerator: £15,114,067.96 Denominator: £15,385,232.53 (98.24%) This PI has exceeded its target due to the rigorous approach to rent collection and regular checking and support by the Arrears Officer to the tenant in arrears to assist them in maintaining their payment agreements. Collection is holding up despite the move to Universal full service in October 2017.
	97.00%	89.50%	94.55%	95.55%	97.50%	98.50%	97.50%	
KPI 17 Local Council Tax Support Collection Rate (max) *	89.12%	27.53%	51.33%	75.26%	87.52%	89.12%	87.52%	Q4 2017/18 Numerator: (Total Net Receipts) £649,570.45 Denominator: (Total Net Liability) £742,213.31 Outturn collection rate of 87.52%
	85.00%	23.00%	48.00%	77.00%	87.00%	85.00%	87.00%	

Directorate: PUBLIC SERVICES

PI Code & Short Name	Q4 2016/17	Q1 2017/18	Q2 2017/18	Q3 2017/18	Q4 2017/18	2016/17	2017/18	Performance Note:
KPI 08 Average re-let time in days (General Needs only) (min)	19.6	14	15	26	28	23	27	Q4 2017/18 Numerator: 875 Denominator: 31 Target has not been met due to a couple of contributing factors. There are performance issues with the new asbestos contractor which are currently being resolved through contract management. In addition 3 of the properties were left in a very poor condition due to burst pipes during the cold spell of weather. 2017/18 Numerator: 2,730 Denominator: 102 The annual target has not been met. This is due partly to some complex building works and hard to let properties. Continuing to work with contractors to improve the completion dates. Newport Depot has taken on more voids which will contribute to an improvement in the figures going forward.
	20	20	20	20	20	20	20	
KPI 11 Processing of planning applications: Major applications (within 13 weeks or including any agreed extension of time) (max)	92.31%	77.78%	88.89%	88.89%	90.00%	70.21%	86.49%	Q4 2017/18 Numerator: 9 Denominator: 10 = 90% 2017/18 Numerator: 32 Denominator: 37 = 86.49%. Target exceeded both for Q4 and the Year End for 2017/18.
	60.00%	60.00%	60.00%	60.00%	60.00%	60.00%	60.00%	
KPI 12 Processing of planning applications: Minor applications (within 8 weeks or including any agreed extension of time) (max)	80.65%	65.05%	76.64%	73.63%	64.22%	77.92%	69.68%	Q4 2017/18 Numerator: 70 Denominator: 109 = 64.22% 2017/18 Numerator: 285 Denominator: 409 = 69.68% Target not achieved. Particularly poor performance in Q4 which was significantly lower than service target, which pulled year end target for 2017-18 down. Some individual performance issues. Significant performance changes proposed following Peer Review. The National target has been achieved on the KPI however the decline in performance does require the resetting and consideration of processes in this area in line with recommendations and actions from the Peer Review.
	80.00%	75.00%	75.00%	75.00%	75.00%	80.00%	75.00%	

PI Code & Short Name	Q4 2016/17	Q1 2017/18	Q2 2017/18	Q3 2017/18	Q4 2017/18	2016/17	2017/18	Performance Note:
KPI 13 Processing of planning applications: Other applications (within 8 weeks or including any agreed extension of time) (max)	78.02%	73.71%	79.15%	79.39%	79.86%	85.95%	77.78%	Q4 2017/18 Numerator: 222 Denominator: 278 = 79.86% 2017/18 Numerator: 931 Denominator: 1,197 = 77.78% Decline in performance in Q4 which has affected year-end target for 2017-18. Performance overall just under National target, however decline in performance does require the need to reconsider the processes around the handling of these planning applications. Significant Performance actions emerging from the recent Peer Review.
	82.00%	82.00%	82.00%	82.00%	82.00%	82.00%	82.00%	
KPI 14 Percentage of household waste sent for reuse, recycling and composting (LAA) (max)	54.36%	54.54%	50.67%	52.24%	44.85%	50.05%	50.65%	Q4 2017/18 ESTIMATED DATA AT PRESENT Numerator: 3,343.3 tonnes (recycled and composted) Denominator: 7,453.63 tonnes (total domestic waste arising). Final value will only be available in May when we receive the data from our suppliers. The street cleansing data is missing from March and we are unfortunately only able to report on the data that we currently have available to us, which is not a true reflection on performance and indicating a reduction in waste sent for re-use, recycling and composting. The KPI will be updated when we have accurate data from our suppliers.
	50.00%	51.00%	55.00%	51.00%	50.00%	52.00%	53.00%	
KPI 15 (b) Percentage of domestic collections of waste and recyclables successfully made on first visit (max)	N/A	99.89%	99.86%	99.91%	99.84%	NEW KPI FOR 2017/18	99.88%	Q4 2017/18 Numerator: 934,527 (Number of successful collections) Denominator: 936,000 (Total number of scheduled collections) = 99.91% (Number of missed bins: 820) Performance is slightly below target however it is a good value considering the challenges with the adverse weather conditions.
		99.90%	99.90%	99.90%	99.90%		99.90%	
							99.90%	2017/18 Numerator: 3,757,388 (Number of successful collections) Denominator: 3,762,000 (Total number of scheduled collections) = 99.87% (Number of missed bins: 4,612).

Performance Indicators (PIs)

Directorate: CHIEF EXECUTIVE								
PI Code & Short Name	Q4 2016/17	Q1 2017/18	Q2 2017/18	Q3 2017/18	Q4 2017/18	2016/17	2017/18	Performance Note:
PI 06 Percentage of standard searches carried out in 10 working days (max)	100%	100%	93%	100%	100%	99.9%	97.56%	Q4 2017/18 Numerator: 201 Denominator: 203 Report shows two exceeding target however investigated and report incorrect - reported to system administrator. With correction for the two searches mentioned, this hits a 100% target for this quarter. 2017/18 Numerator: 958 Denominator: 982 A good performance by the Service. Software problems in the Summer prevented the Service achieving 100%.
								
	100%	100%	100%	100%	100%	100%	100%	
PI 21 Percentage of minutes from meetings made available to the public within 10 working days (max)	44%	82%	81%	90%	89%	76%	86%	Q4 2017/18 Numerator: 25 Denominator: 28 Performance during the quarter against this Performance Indicator was affected by the absence on sickness leave of three of the four members of the Democratic Services team, and by the implementation of a new system for meetings management for report authors. The implementation in March of the Report Management function of Moderngov, the Council's new meetings management system, required Democratic Services to dedicate significant time to receiving further administrators' training receiving and subsequently to providing support and delivering training to report authors being inducted in use of the system. There was a need to prepare the system for submission of reports, and to adjust the settings made in the system to enable sign off processes to reflect the Council's requirements. Combine with the staff absences referred to, Democratic Services' capacity for production of minutes by the deadline within which they are usually produced was affected.
								
	95%	95%	95%	95%	95%	95%	95%	


















Directorate: CORPORATE SERVICES

PI Code & Short Name	Q4 2016/17	Q1 2017/18	Q2 2017/18	Q3 2017/18	Q4 2017/18	2016/17	2017/18	Performance Note:
PI 02 Average time (Days) to pay supplier invoices (min)	10.4	8.5	8.5	12.1	9.7	12.9	12.9	Q4 2017/18 Numerator: 21,113 Denominator: 2,176 = 9.7 Performance improved within Q4 from 12.1 payment days to 9.7. The performance includes an increase in invoices processed by 463 compared to Q3. New processes in place for electronic invoice processing will benefit the team in meeting expectations going forward. 2017/18 Numerator: 121,232 Denominator: 9,386 = 12.9 The payments team continuously aim to improve processes to achieve the target. A change in the way we report is one of the ways we aim to improve proficiency. Data from the system (Q3 and Q4) and sample data (Q1 & Q2) does not match this new reporting procedure. Also with the target in Q3 not reached it resulted in the overall annual indicator not meeting the target for this year by 1.9 days. Going forwards we are positive it will be achievable and along with the Q4 upwards indicator it is showing great promise.
	11.0	11.0	11.0	11.0	11.0	11.0	11.0	
PI 03 Percentage of sundry debt income overdue (debts over 90 days old not subject to a payment agreement) (min)	1.0%	4.3%	.8%	1.6%	2.2%	1.0%	2.2%	Q4 2017/18 Numerator: £10,498.19 (Debt over 90 days old, and not subject to a payment arrangement) Denominator: £478,572.83 (Total Outstanding Debt)
	4.0%	4.0%	4.0%	4.0%	4.0%	4.0%	4.0%	
PI 12 Housing Benefit (HB) recovered as a percentage of the total amount of recoverable HB overpayments (sundry debtors) (Years) (max)	ANNUAL PI					54.29%	60.96%	2017/18 Numerator: £358,154.40 (Net Collection rate, via direct payment or Housing Benefit adjustment) Denominator: £587,504.91 (: Net Total of Housing Benefit overpayments passed to Sundry Debtors)
						47.00%	50.00%	

PI Code & Short Name	Q4 2016/17	Q1 2017/18	Q2 2017/18	Q3 2017/18	Q4 2017/18	2016/17	2017/18	Performance Note:
PI 20 Percentage of IT help Desk calls resolved within target (max)	99.00%	99.24%	99.18%	98.38%	98.89%	98.86%	98.94%	Q4 2017/18 Numerator: 1,243 within SLA Denominator: 1,257 calls resolved The team has worked hard to maintain this level of service despite carrying a vacant post which has now been recruited to with the new post holder starting in the new financial year. 2017/18 Numerator: 5,783 within SLA. Denominator: 5,845 calls resolved Performance levels have been achieved despite carrying a vacancy within the second line team for most of the year.
	95.00%	95.00%	95.00%	95.00%	95.00%	95.00%	95.00%	
PI 22 Museum users: Total visitors to the museum building and on-site events (max) #	2,649	2,903	4,112	2,782	3,019	11,662	12,286	Q4 2017/18 Visitor figures 14% under target this quarter, Easter holidays falling in April, School visits returning gradually but in small-sized groups, while use of Schools Loan Boxes increased significantly but will not contribute to visitor figures. 2017/18 Visitor numbers 8% under target overall. No Learning Officer in post until mid-September, since when school visits are making a gradual return but in small-sized groups (lack of teaching space). Recent publicity has produced more enquiries.
	3,100	3,400	4,000	3,100	3,500	13,000	14,000	

Directorate: PUBLIC SERVICES

PI Code & Short Name	Q4 2016/17	Q1 2017/18	Q2 2017/18	Q3 2017/18	Q4 2017/18	2016/17	2017/18	Performance Note:
PI 07 The level of achievement attained under the Equality Framework for Local Government (Years) (max)	ANNUAL PI					NO DATA SEE NOTES		2017/18 The Council's equalities objectives were reviewed and a new Equalities Scheme 2017- 2021 approved in January 2017. A full equalities audit needs to be conducted before a level of achievement can be determined; this will be conducted in the first quarter of 2018/19 and the results together with an action plan will be shared with members of the Governance Audit and Performance committee.
						2	2	

PI Code & Short Name	Q4 2016/17	Q1 2017/18	Q2 2017/18	Q3 2017/18	Q4 2017/18	2016/17	2017/18	Performance Note:
PI 16 Number of households living in temporary accommodation (min)	14	9	18	12	12	15	12	Q4 & YE 2017/18 12 applicants residing in temporary accommodation at the end of Q4, 3 emergency B&B placement and 9 accommodated in Council owned stock.
								
	14	14	14	14	14	14	14	
PI 24 (d) Appeals allowed for enforcement notices (min)	50.0%	.0%	.0%	.0%	100.0%	75.0%	50.0%	Q4 2017/18 Numerator: 1 Denominator: 1 = 100% 2017/18 Numerator: 1 Denominator: 2 = 50%. Target achieved but base level of appeals low.
								
	30.0%	30.0%	30.0%	30.0%	30.0%	30.0%	30.0%	
PI 26 Net additional homes provided (Years) (max)	ANNUAL PI					722	566	2017/18 Please note: This is a draft figure which will be verified after the annual survey is reported in June 2018.
								
						580	568	
PI 28 CO2 reduction from local authority operations - percentage reduction (Years) (max)	ANNUAL PI					3.6%	SEE NOTE	2017/18 Data for this PI will not be available until the end of June.
								
						8.6%	2.0%	

PI Code & Short Name	Q4 2016/17	Q1 2017/18	Q2 2017/18	Q3 2017/18	Q4 2017/18	2016/17	2017/18	Performance Note:
PI 30 Percentage planning applications validated within 5 days (max)	98%	100%	100%	100%	100%	99%	100%	Q4 2017/18 Numerator: 373 Denominator: 374 = 99.73% 2017/18 Numerator: 1,767 Denominator: 1,770 = 99.83% Excellent work from the team. There has been some delay getting some of the applications to the officers within five working days due to quality of scanned documents - this is being reviewed and could be as simple as set up of the scanning equipment.
	90%	95%	95%	95%	95%	90%	95%	
PI 31 Five year supply of ready to develop housing sites (Years) (max)	ANNUAL PI					3.77	3.9	2017/18 This is a draft figure which will be verified after the annual survey is reported in June 2018
						5.25	5.25	
PI 34 Residual household waste per household (Kg) (Years) (min)	ANNUAL PI					417	422	2017/18 ESTIMATED DATA AT PRESENT Numerator: 15,282.23 tonnes (total household waste to MBT + contamination from MRF) Denominator: 36,200 Please note: This figure is calculated from raw unaudited data. Any revision will be available May/June 2018. A trend for residual waste growth has been seen across Essex and nationally, paired with dry recycling contamination rates this has led to waste growth per household.
						405	410	
PI 40 Number of subscribers to garden waste collection service (max)	6,181	6,275	6,674	6,740	6,738	6,181	6,738	Q4 2017/18 Subscriber numbers are above target and it is anticipated even more new customers will begin to sign up for 2018/19 as the season changes and the weather improves. This is proving to be a popular and valued service.
	5,800	6,300	6,350	6,400	6,400	5,800	6,400	

PI Code & Short Name	Q4 2016/17	Q1 2017/18	Q2 2017/18	Q3 2017/18	Q4 2017/18	2016/17	2017/18	Performance Note:
PI 41 Percentage of routine food hygiene premises inspections completed within the quarter (max)	99%	100%	98%	97%	91%	96.5%	96%	Q4 2017/18 Numerator: 83 Denominator: 91 Inspection target met. This is a considerable achievement as we remain an inspecting officer post down and the number of premises due an inspection increased by 32% (91 as opposed to 62). This was achieved by officer diligence and effective prioritisation of work but will not be sustainable long term. 2017/18 Numerator: 261 Denominator: 271 Inspection target achieved. Vacant inspecting officer post since September 2017.
	95%	98%	98%	98%	98%	95%	98%	
PI 42 Percentage of planning appeals upheld (min)	N/A	15%	18%	46%	29%	NEW FOR 2017/18	26%	Q4 2017/18 Numerator: 2 (appeals allowed) Denominator: 7 (total appeals) 2017/18 Numerator: 13 Denominator: 50 Target for Q4 and year end for 2017-8 achieved.
		30%	30%	30%	30%		30%	
PI 43 Percentage of premises with superfast broadband in Uttlesford (Years) (max)	ANNUAL PI					NEW FOR 2017/18	87%	2017/18 Numerator: 37,300 Denominator: 42,800 42,800 premises in Uttlesford (homes and commercial properties) 37,300 enabled via Superfast Essex Phase II and commercial investment (87%). Annual target of 85% has been met.
							85%	

Committee:	Governance, Audit and Performance Committee	Date:	17 May 2018
Title:	2018/19 Performance Indicator Targets		
Report Author:	Richard Auty, Assistant Director Corporate Services, rauty@uttlesford.gov.uk Paula Evans, Leisure and Performance Manager, pevans@uttlesford.gov.uk	Item for decision:	Yes

Summary

1. This report presents the targets for all Key Performance Indicators (KPIs) and Performance Targets (PIs) for 2018/19 monitoring and reporting.

Recommendations

2. The committee approves the targets for 2018/19.

Financial Implications

3. There are no financial implications associated with this report.

Background Papers

4. None.

Impact

- 5.

Communication/Consultation	None
Community Safety	None
Equalities	None beyond service improvement on the equality and diversity performance indicators
Health and Safety	None beyond service improvement on the health and safety performance indicators
Human Rights/Legal Implications	None
Sustainability	None
Ward-specific impacts	None

Workforce/Workplace	None
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Situation

6. Appendix A presents the targets for all performance indicators for 2018/19. Proposed targets for 2019/20 have also been identified as part of the performance planning cycle.
7. The 2018/19 indicators have been reviewed and agreed by the Corporate Management Team. There are some specific points to draw members' attention to in relation to these:
8. The committee should note that targets for both **KPI 14** and **PI 26** have been set using estimated year end outturn data for 2017/18 at present. Data to verify the final outturn for these indicators is not available until end May/June. If these estimated targets subsequently need to be amended members will be advised in future performance management reports.
9. **KPI 08**: The target for this indicator is remaining at 20 days. The reason for this is that although the indicator was performing above target in the first two quarters of 2017/18, performance dropped in the last two quarters of the year and subsequently the year-end target was not achieved. This was due partly to some complex building works and hard to let properties. The Housing department are continuing to work with contractors to improve completion dates and Newport Depot has taken on more voids which will contribute to an improvement in the figures going forward.
10. **PI 07**: The target for this indicator is remaining at Level 2 (Achieving). The reason for this is that officers want to conduct a full internal audit of the current status of the council against the Local Government Equalities Framework. If the target needs to be amended upon completion of the audit members will be notified in future performance management reports.
11. **PI 22**: The target for this indicator is remaining at 14,000 (visitors). The reason for this is that visitor numbers were 8% under target at 2017/18 year end. This was because there was no Learning Officer in post until mid-September. However school visits are now making a gradual return but in small-sized groups (due to a lack of teaching space). Recent publicity has produced more enquiries but it is not anticipated that numbers will improve enough for the target to be increased at this time.
12. **New Indicators**:
PI 44 % of enquiries resolved at first point of contact – this new indicator measures how many enquiries into the Customer Service Centre are resolved at a first point of contact as opposed to being transferred to other service areas within the council for resolution. The enquiries monitored will be a combination of telephone calls, email correspondence and face-to-face visitors. These enquiries have been monitored at a local service level for some time but CMT have recommended the promotion of this indicator as a

key measure of customer satisfaction that should be reported at committee level.

Risk Analysis

13.

Risk	Likelihood	Impact	Mitigating actions
If performance indicators do not meet quarterly/ annual targets then areas such as customer satisfaction and statutory adherence to government led requirements could be affected leading to a loss of reputation for the Council	2 – The majority of Performance Indicators perform on or above target	3 – The majority of service areas in the council are customer - facing	Performance is monitored by CMT and the committee on a quarterly basis. Inclusion of five quarters of data helps identify trends

1 = Little or no risk or impact

2 = Some risk or impact – action may be necessary.

3 = Significant risk or impact – action required

4 = Near certainty of risk occurring, catastrophic effect or failure of project.

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2018-19 KPI and PI Targets – Governance, Audit and Performance



Key:

* Cumulatively monitored	# Quarterly targets profiled
(max) Aim to maximise performance	(min) Aim to minimise performance

Key Performance Indicators (KPIs)

PI Code & Short Name	2017/18 Target	2018/19 Original Target	2018/19 Proposed Target	Q1 2018/19 Target	Q2 2018/19 Target	Q3 2018/19 Target	Q4 2018/19 Target	2019/20 Target	Ownership: Managed By	Ownership: Assigned To
KPI 01 Percentage of supplier invoices paid within 30 days of receipt by the Council (max)	98.00%	98.00%	98%	98%	98%	98%	98%	98%	Emma Horner	Natasha Bourke
KPI 02 Customer satisfaction with services (Half Yearly) (max)	76%	76%	76%	76%		76%		76%	Richard Auty	Bruce Tice
KPI 03 Percentage of Non-domestic Rates Collected (max) *	98.80%	98.80%	98.80%	29.60%	59.50%	87.80%	98.80%	99.00%	Sue Ellis	Adrian Marsh
KPI 04 Accuracy of processing - HB/CTB claims (max)	98.00%	98.00%	98%	98%	98%	98%	98%	98%	Angela Knight	Sarah Oxley
KPI 05 Percentage of Council Tax collected (max) *	98.70%	98.80%	98.80%	29.80%	58.40%	86.20%	98.80%	98.80%	Sue Ellis	Aimee Sims
KPI 06a Time taken (days) to process Housing Benefit/Council Tax Benefit new claims (min)	22.0	24.0	22.0	22.0	22.0	22.0	22.0	21.0	Angela Knight	Caroline Saych
KPI 06b Time taken (days) to process Housing Benefit/Council Tax Benefit change events (min)	7.0	9.0	7.0	7.0	7.0	7.0	7.0	7.0	Angela Knight	Caroline Saych
KPI 07 (a) Average number of days lost per employee through short-term sickness absence (min) *	7.00	7.00	7.0	1.75	3.50	5.25	7.0	7.0	Richard Auty	Claire Croft

PI Code & Short Name	2017/18 Target	2018/19 Original Target	2018/19 Proposed Target	Q1 2018/19 Target	Q2 2018/19 Target	Q3 2018/19 Target	Q4 2018/19 Target	2019/20 Target	Ownership: Managed By	Ownership: Assigned To
KPI 07 (b) Average number of days lost per employee through long-term sickness absence (min)	44	44	44	44	44	44	44	44	Richard Auty	Claire Croft
KPI 08 Average re-let time in days (General Needs only) (min)	20	18	20	20	20	20	20	18	Bill Golbourn Judith Snares	Kathleen Sullivan Peter Lock
KPI 11 Processing of planning applications: Major applications (within 13 weeks or including any agreed extension of time) (max)	60%	60%	60%	60%	60%	60%	60%	60%	Gordon Glenday	Nigel Brown
KPI 12 Processing of planning applications: Minor applications (within 8 weeks or including any agreed extension of time) (max)	75%	75%	75%	75%	75%	75%	75%	75%	Gordon Glenday	Nigel Brown
KPI 13 Processing of planning applications: Other applications (within 8 weeks or including any agreed extension of time) (max)	82%	82%	82%	82%	82%	82%	82%	82%	Gordon Glenday	Nigel Brown
KPI 14 Percentage of household waste sent for reuse, recycling and composting (LAA) (max) #	53%	54%	53%	51%	55%	51%	50%	54%	Cat Chapman	Danny Johnson
KPI 15 (b) Percentage of collections of waste and recyclables successfully made on first visit (max)	99.90%	99.90%	99.90%	99.90%	99.90%	99.90%	99.90%	99.95%	Cat Chapman	Danny Johnson
KPI 16 Rent collected as percentage of rent owed (including arrears b/f) (max) *	97.50%	97.50%	97.60%	89.60%	94.65%	95.65%	97.60%	97.60%	Sue Ellis	Robert Patterson-Smith
KPI 17 Local Council Tax Support Collection Rate (max)	87.00%	89.00%	89.00%	25.00%	50.00%	69.00%	89.00%	87.00%	Sue Ellis	Andy Bannister Matthew Southall

Performance Indicators (PIs)

PI Code & Short Name	2017/18 Target	2018/19 Original Target	2018/19 Proposed Target	Q1 2018/19 Target	Q2 2018/19 Target	Q3 2018/19 Target	Q4 2018/19 Target	2019/20 Target	Ownership: Managed By	Ownership: Assigned To
PI 02 Average time(Days) to pay supplier invoices (min)	11.0	11.0	11.0	11.0	11.0	11.0	11.0	11.0	Emma Horner	Natasha Bourke
PI 03 Percentage of sundry debt income overdue (debts over 90 days old not subject to a payment agreement) (min)	4.0%	4.0%	4.0%	4.0%	4.0%	4.0%	4.0%	4.0%	Sue Ellis	Andy Bannister Matthew Southall
PI 06 Percentage of standard searches carried out in 10 working days (max)	100%	100%	100%	100%	100%	100%	100%	100%	Simon Pugh	Val Rogacs
PI 07 The level of achievement attained under the Equality Framework for Local Government (Years) (max)	2	3	Level 2	ANNUAL ONLY				Level 2	Fiona Gardiner	Faye Butler
PI 12 Housing Benefit (HB) recovered as a percentage of the total amount of recoverable HB overpayments (sundry debtors) (Years) (max)	50.00%	50.00%	50.00%	ANNUAL ONLY				50.00%	Sue Ellis	Andy Bannister Matthew Southall
PI 16 Number of households living in temporary accommodation (CI 19 & NI 156) (min)	14	14	14	14	14	14	14	14	Judith Snares	Becca Collins
PI 20 Percentage of IT help Desk calls resolved within target (max)	95.00%	96.00%	97%	97%	97%	97%	97%	97.5%	Adrian Webb	Nicola Wittman
PI 21 Percentage of minutes from meetings made available to the public within 10 working days (max)	95%	95%	95%	95%	95%	95%	95%	95%	Peter Snow	Rebecca Dobson
PI 22 Museum users: Total visitors to the museum building and on-site events (max) #	14,000	15,000	14,000	3,400	4,000	3,100	3,500	14,000	Richard Auty	Carolyn Wingfield

PI Code & Short Name	2017/18 Target	2018/19 Original Target	2018/19 Proposed Target	Q1 2018/19 Target	Q2 2018/19 Target	Q3 2018/19 Target	Q4 2018/19 Target	2019/20 Target	Ownership: Managed By	Ownership: Assigned To
PI 26 Net additional homes provided (Years) (max)	568	641	641	ANNUAL ONLY				641	Gordon Glenday	Sarah Nicholas
PI 28 CO2 reduction from local authority operations - Percentage reduction (Years) (min)	2.0%	2.0%	2.0%	ANNUAL ONLY				2.0%	Gordon Glenday	Mark Wilson
PI 30 Percentage planning applications validated within 5 days (max)	95%	95%	95%	95%	95%	95%	95%	95%	Gordon Glenday	Ann Howells
PI 31 Five year supply of ready to develop housing sites (Years) (max)	5.25	5.25	5	ANNUAL ONLY				5	Gordon Glenday	Sarah Nicholas
PI 34 Residual household waste per household (kg) (min)	410	415	415	ANNUAL ONLY				415	Cat Chapman	Danny Johnson
PI 40 Number of subscribers to the garden waste collection service (max) #	6,400	6,700	7,000	6,800	7,000	7,000	7,000	7,200	Cat Chapman	Danny Johnson
PI 41 Percentage of routine food hygiene premises inspections completed within the quarter (max)	98%	98%	98%	98%	98%	98%	98%	98%	Roz Millership	Tony Cobden
PI 42 Percentage of planning appeals upheld (min)	30%	30%	30%	30%	30%	30%	30%	30%	Gordon Glenday	Ann Howells
PI 43 Percentage of premises with superfast broadband in Uttlesford (max)	85%	90%	90%	ANNUAL ONLY				90%	Philip Bylo	Simon Jackson

Proposed New KPI/PIs for 2018/19

PI Code & Short Name	2018/19 Target	Q1 2018/19 Target	Q2 2018/19 Target	Q3 2018/19 Target	Q4 2018/19 Target	2019/20 Target	Ownership: Managed By	Ownership: Assigned To
NEW PI PI 44 % of customer enquiries resolved at first point of contact (max)	80%	80%	80%	80%	80%	80%	Richard Auty	Denise Greenwood

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