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Uttlesford District Council

Chief Executive: Dawn French

Governance, Audit and Performance Committee Remote Meeting

Date: Thursday, 4th February, 2021

Time: 7.00 pm

Venue: Zoom - <https://zoom.us/>

Chair: Councillor E Oliver

Members: Councillors S Barker, G Driscoll (Vice-Chair), M Foley, V Isham, R Jones, A Khan, S Luck and J De Vries

Substitutes: Councillors H Asker, M Caton, C Criscione, M Sutton and M Tayler

Public Speaking

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Public speakers will be offered the opportunity for an officer to read out their questions or statement at the meeting, or to attend the meeting over Zoom to readout their questions or statement themselves.

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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** 4 - 9

To consider the minutes of the previous meeting.
- 3 Internal Audit Interim Report 2020/21** 10 - 18

To receive the Internal Audit progress report from April to December 2020 and details of the forthcoming work to the end of March 2021.
- 4 2021-22 Annual Internal Audit Plan & Charter** 19 - 38

To receive the report and approve the draft Annual Internal Audit Plan for 2021/22 and the Internal Audit Charter.
- 5 Grant Allocation Policy (Sports Provision - Major Projects)** 39 - 46

To consider the Grant Allocation Policy (Sports Provision – Major Projects).
- 6 Covid-19 Performance Indicator Report 5** 47 - 78

To receive the COVID-19 Performance Indicator Report 5.
- 7 PFI Contract Update 2020/21** 79 - 87

To receive the 2020/21 PFI Contract Update report.
- 8 Council Procedure Rules: time permitted for questions to the executive and committee Chairs** 88 - 90

To consider whether there is a need to amend Rule 2.4, relating to the time permitted for questions to the executive and committee chairs at Full Council.

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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. The broadcast will be unable when Part II items are discussed.

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Agenda Item 2

GOVERNANCE, AUDIT AND PERFORMANCE COMMITTEE held at ZOOM on MONDAY, 30 NOVEMBER 2020 at 7.00 pm

Present: Councillor E Oliver (Chair)
Councillors G Bagnall, G Driscoll (Vice-Chair), M Foley,
V Isham, R Jones, A Khan, S Luck and J De Vries

Officers in attendance: R Auty (Assistant Director - Corporate Services), P Evans (Customer Services and Performance Manager), D French (Chief Executive), C Gibson (Democratic Services Officer), O Knight (PFI and Performance Officer), C Shanley-Grozavu (Democratic Services Officer) and A Webb (Director - Finance and Corporate Services)

Also present: Councillor N Hargreaves.

GAP21 APOLOGIES FOR ABSENCE AND DECLARATIONS OF INTEREST

There were no apologies for absence.

Councillor Luck declared a non-pecuniary interest in Agenda Item 5 as Ward Councillor for Debden and Wimbish.

GAP22 MINUTES OF THE PREVIOUS MEETING

The minutes of the meeting held on 22 October 2020 were approved and would be signed by the Chair as a correct record at the next opportunity.

GAP23 COVID-19 PERFORMANCE INDICATOR REPORT 4

The Chair said that he was quite encouraged by the information given in Paragraph 17 that everything was moving in the right direction and that officers were handling the pandemic very carefully and very well.

The PFI and Performance Officer gave a summary of the report, which provided the outturn for all COVID- 19 performance indicators for the period 10 August 2020 to 1 November 2020. He said that despite continuing pressures imposed on service delivery due to the COVID- 19 pandemic, data outturns for indicators highlighted that services continued to perform well. He said that monthly data had been provided alongside daily figures for relevant indicators, and that monitoring would continue during the second lockdown period. He also mentioned the new performance indicator in respect of the number of awards of test and trace payments.

Councillor Bagnall said that there was lots of good detail within the report but that there could be a danger of information being missed.

The PFI and Performance Officer drew Members' attention to the contextual analysis provided against each performance indicator. He said that some future data monitoring figures were likely to revert to being weekly or monthly rather than daily.

Councillor Khan said that he recognised that items were shown as green but asked if there were any issues of concern.

The PFI and Performance Officer said that some additional indicators had been introduced in November following a review of the current COVID-19 performance indicators. Data for these indicators would be included in the next COVID-19 PI report presented to this committee. He specifically referred to Planning performance indicators and the monitoring of site visits.

Councillor Driscoll referred to CV 05- Calls abandoned as a percentage of calls received and asked if information was retained on the system in respect of the 14 abandoned calls for week commencing 26 October 2020. He also asked about whether call backs were made in those instances.

The Customer Services and Performance Manager said that this information was not readily available and that only specific call backs were currently being made but that technological improvements were under consideration.

The Chair noted the performance of services during the COVID- 19 pandemic as per the recommendation.

GAP24 2020/21 CORPORATE RISK REGISTER - UPDATE 1

The Assistant Director – Corporate Services introduced the report. He said there was not much to add to the comprehensive written report other than to say that COVID- 19 had touched every aspect of Council work and the Corporate Risk Register had been recast to reflect this. He also explained the long-lead in times in the process that meant that data had been updated to reflect the positions as in October 2020.

Councillor Bagnall said that the Appendix showed three red risk ratings and suggested that in future the red ratings be identified first by re-ordering the information.

This suggestion was accepted by the Assistant Director – Corporate Services.

Councillor Khan referred to risk 20-CR-07 Governance and asked if the Original Likelihood rating of 2 and the Original impact figure score of 4 was correct. He referred to the current situation where the accounts had yet to be signed off and represented potential reputational risk to the Council.

The Chief Executive said that the risk ratings were correct and were based on the arrangements and processes in place within the organisation. She said that this was the Corporate Risk Register and that the frameworks in place were considered to be robust enough. She said there was nothing to say that

arrangements had not been effective. She referred to the fact that Members had undertaken training and that there were arrangements in place for their on-going professional development.

Councillor Bagnall suggested that in future on the first page of the Appendix an actual table be shown rather than an indicative one.

The Assistant Director – Corporate Services indicated that he would take this on board and would perhaps include the number of risks that fell into each category.

The Chair said there was no recommendation on this report and he moved on to the next item.

GAP25 ARMED FORCES COVENANT TRUST GRANT IN RESPECT OF DEBDEN VILLAGE HALL

The Chief Executive apologised for not having been at the previous meeting. She outlined the position on the grant from a governance viewpoint. She said that it had not been appropriate for the whole grant to have been handed over to the Debden Village Hall Trust (DVHT) at the time. The Council had been the joint applicant. When she became aware of the situation she had taken a view not to ask for the return of funds as the likelihood of monies being misspent or lost was very unlikely and there was regular on-going dialogue.

In response to various questions from Councillor Khan, relating to contract management and reputational risks, the Chief Executive said that this situation was regrettable and she hoped that all parties could work together to refund the monies owed, minus reasonable expenses incurred. She said that a similar situation would not arise now as no money is handed over without proper understandings being in place and that processes had been strengthened. She said that she was bitterly disappointed with the outcome.

The Chair referred Members to paragraph 15 of the report in respect of lessons learnt on governance matters.

Councillor Foley made reference to the situation in 2015 and asked whether it was unusual for grant monies to be “passported” in this way.

The Chief Executive said that she did not know why the whole sum had been “passported”. The previous Chief Executive had been involved in the process and she had no reason to believe that any political pressure had been put on him at that time.

Councillor Luck said that he was “wearing two hats” in this instance as the Ward Councillor and a member of the Committee and that the Chief Executive had been honest with the committee; he said that paragraphs 14 and 15 of the report had detailed the lessons learnt and that the Chief Executive had indicated that Debden village was still being supported in their endeavours.

Councillor Khan said that the discussion was about internal processes and governance arrangements and asked why the S151 Officer had not become aware of this matter until February 2020.

Councillor Luck said that this matter had been dealt with at the previous meeting, when it had been acknowledged that the previous Chief Executive had done the wrong thing at the time. He said that this was now a different Council and that they should now move on.

Councillor Khan said that this matter was not about the merits of monies going to the village but that it related to the governance role of the committee.

Councillor Driscoll raised a point of order and proposed that the committee noted the statements made and that the item be moved on to the next subject. This was seconded by Councillor Jones. Members agreed to move on.

The Chair summarised the latest position in that the Armed Forces Covenant Trust (AFCT) had requested return of their grant and that the Debden representatives had been notified.

The Chief Executive confirmed the chronological information submitted by the Director – Finance and Corporate Services and said that routine procedures would be taken to recover monies if necessary.

Councillor Luck said that he considered that Debden had been hard done by and that there should have been more discussions in the past weeks.

Councillor Khan said that he had written to the Director – Finance and Corporate Services and asked five questions that had been answered. It was agreed that this information would be made available for the minutes. These questions and answers follow below:

Q1 Could you provide details of the terms and conditions given to UDC when the grant was passed to us by the AFCT. Put simply, did AFCT issue a Grant with terms and conditions setting out when UDC should pass the grant on to the VHT

A1 Redacted T&Cs attached.

Q2 Could you provide details of the terms and conditions given to VHT when the grant was initially passed to them. Put simply, did UDC issue a Grant with terms and conditions and who signed it.

A2 There were no separate terms to those in Q1 relating to the passing of the money on.

Q3 What discussions have been taking place between UDC and VHT since the grant was passed to them. Are these documented.

A3 As stated before, during 2017 (and possibly 2018) there were a whole number of meetings and discussions involving the VHT; none were

formally minuted but there may be correspondence following some of them setting out agreed actions for example; this would take some time to check. There were also meetings that the VHT attended with the council-appointed mediator; no officers were present and of course these meetings weren't minuted. These were focused on getting/keeping the project on track in order to demonstrate to the AFCT that the grant should remain in place, rather than any specific details about the grant.

Q4 *When did the AFCT first request that the money be repaid?*

A4 *23 October 2020 as set out in the table below and in the attached letter.*

Q5 *In terms of financial controls, who approved the money at the point of transfer and why were you not aware of it until February 2020?*

A5 *There is an email that relates to a discussion held between finance officers and the VHT around the way in which payments on production of paid invoices would work, but no evidence of an agreed way forward and no indication of why this changed to UDC handing over the whole grant. The approval would have most likely been signed by the previous Chief Executive, with the payment obviously being processed by the Finance Department in accordance with Financial Regulations. Without appropriate authorised sign off the payment would not have been made. The only people with authority to make a payment at this level would be the Chief Executive and the two Directors. I do not see every grant that comes into the authority and would not be involved at all in the T&Cs that apply, unless there is a requirement on me to provide updates. The February date was when I was made aware by Dawn that there was a more than reasonable chance that the project was not going to go ahead and the grant would be recalled, and as a consequence a contingent liability was added to the draft accounts.*

Members were also referred to an e-mail from the Director – Finance and Corporate Services to all Committee members dated 27 November 2020 that detailed the chronological events commencing from 23 October 2020.

Councillor Isham said that he welcomed the Chief Executive's report in that such issues would be handled differently in future and made suggestions in respect of future project management, oversight, mediation and monitoring roles. He expressed concern that the project had been de-railed.

The Chief Executive said that the Council had paid for a mediation service to mediate between the parties. She said that the matter had been complicated by various complex legal issues. She also confirmed that the key point in her report was that governance arrangements had not been handled appropriately.

The Chair noted the report.

The Chair introduced the report. He referred to the fact that the accounts had yet to be signed off due to an on-going investigation that might affect the Annual Governance Statement.

The Director – Finance and Corporate Services said that his report was presented to be noted. He said that whilst the External Auditor had seen the report he had not had any input into its preparation. He said that the report had been presented to demonstrate that there had been no significant financial issues identified and that he fully expected the External Auditor to express an unqualified Audit opinion when the accounts were eventually signed off.

In response to various questions from Members, the Director- Finance and Corporate Services said that any questions in respect of the financial statements could be asked of the Auditor and officers once the 2019/20 Accounts had been brought to the Committee. He said that he did not know how long the investigation would take but that until it was completed the accounts would remain in abeyance. He said there were no direct consequences to the accounts not being signed off and that he knew of instances where authorities had operated for more than two years without their accounts being signed off. He recognised that there could be reputational damage were the matter to go unresolved for a significant period of time. In answer to a Member's question, he said that the Council did not currently have a credit rating.

In response to a question from Councillor Foley about the on-going investigation, the Director – Finance and Corporate Services said that it was his belief that the investigation was now within the Council's internal processes.

Councillor Luck proposed that the report be noted. There was no dissent from Members and the report was noted.

The meeting closed at 8:20pm.

Agenda Item 3

Committee: Governance, Audit and Performance Committee

Date:

Thursday, 4
February 2021

Title: Internal Audit Interim Report 2020/21

Report Author: Elizabeth Brooks, Internal Audit Manager

Author: EBrooks@uttlesford.gov.uk

Summary

1. This report summarises the work that Internal Audit has undertaken from April to December 2020 and sets out forthcoming work to end of March 2021.

Recommendations

2. GAP Committee are requested to note the content of this report.

Financial Implications

3. None

Background Papers

4. None

Impact

- 5.

Communication/Consultation	This report has been discussed with, and noted by, Service Managers and CMT during January 2021.
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. Update on 2020/21 Plan Delivery

6.1. Elizabeth Brooks joined the Internal Audit Team in November 2020 as Audit Manager, following the retirement of the previous Audit Manager. The role is being shared between Chelmsford City Council and Uttlesford District Council, with the Audit Manager providing 18 hours per week to UDC. The arrangement will be reviewed again in March 2021.

6.2. Current resourcing is therefore as follows:

- 2.1 FTE staff – 0.5 FTE (Audit Manager); 1.0 FTE (Auditor) and 0.6 FTE (Auditor)

6.3. It is understood that the revised audit plan for 2020/21 was approved by GAP Committee in September 2020 (which had been delayed due to impact of Covid-19). Further changes were subsequently made to the plan to focus coverage on the higher risks to the Council, and to widen the scope in some of the key areas, and progress is detailed below. The reconciliation between the original plan presented to GAP in September 2020 and subsequent coverage is detailed at Appendix A.

6.4. We are on track to complete the revised audit plan by end March 2021. Further deferrals may needed to be made to accommodate any emerging high priority/urgent pieces of work as necessary; these will, however, be discussed and agreed with management.

7. 2020/21 Plan Update

7.1. Work Completed

Report Title	Key Issues Arising
Equality & Diversity	The scope of this audit focussed on implementation of the recommendations made in the 2019/20 review and on the controls in place to mitigate Covid-19 risks. Our audit work has confirmed that of the nine recommendations made in the 2019/20 review, eight are considered to have been implemented and one is considered to have been partially implemented, with a recommendation made to address further action required.
Health & Safety	The scope of this audit focussed on implementation of the recommendations made in the 2019/20 review and on the controls in place to mitigate Covid-19 risks. The Covid-19 emergency has however had considerable impact on the resource available within the service and its ability to

Report Title	Key Issues Arising
	<p>implement previous recommendations.</p> <p>Our audit work has confirmed that of the five recommendations previously made:</p> <ul style="list-style-type: none"> • 2 are considered to have been implemented; • 1 was partially implemented with a recommendation made to address further action required; • 1 has been superseded with a recommendation made to address further action required; • 1 has not been implemented due to Covid-19 priorities and the recommendation has been re-iterated.
Housing Benefits	<p>The audit approach involved a high-level review of key risks relating to Housing Benefits, specifically where the service may have been impacted by Covid-19, and the findings are based on responses provided by the Benefits Manager in the Key Control Questionnaire. Due to the limited scope, it is unrepresentative to issue an internal audit opinion, however, based on the discussions with management, the identified risks are being managed and no recommendations are required at this stage.</p>
Licencing	<p>The scope of this audit focused on the follow-up to the original 2019/20 audit review and assessment of potential Covid-19 related risks which may have emerged during 2020. In the previous audit report, seven recommendations (three high, four medium priority) were made and accepted by management. Based on the evidence presented, our follow up confirmed that:</p> <ul style="list-style-type: none"> • Six recommendations have been implemented, • One recommendation (high priority) has not yet been implemented relates to GDPR and the revised target date for implementation has been agreed for April 2021.
Insurance	<p>No critical/high priority findings were identified during the review. Medium priority findings related to the development of a Corporate Insurance Policy and Management Information.</p>

7.2. Work in Progress as at December 2020

Audit Ref	Audit Title	Status
PS20_7	Domestic Waste & Recycling	Review of the processes and procedures in place in respect of the Council's Domestic Waste and Recycling Service. The review was originally started in March 2020 but had to be halted due to the Covid-19 pandemic. It was revisited in December 2020, with additional consideration of the impact of C.19 on the control environment. Reporting due Q4.
PS20_5	Community Response Hub	Review of the new and emerging Community Response Hub Covid-19 Specific work. Reporting due Q4.
FC20_1	HR & Payroll	Follow up assessment of the implementation of the recommendations made in the 2019/20 Audit. Reporting due Q4.
PS20_6	Section 106 Obligations	Review of the effectiveness of the design and operation of controls for demonstrating compliance with Section 106 Planning obligations, ensuring funds are received and spent in line with policy and legal requirements. Reporting due Q4.
GL20_1	Information Governance	Review of the effectiveness of Council's data policy and information governance controls across the Council. Reporting due Q4.
FC20_5	Key Financial Systems 2020/21	The aim of this review is to identify the key controls within the Council's key financial systems and devise an overarching programme of testing across the different systems and processes to give assurance on the effectiveness of these controls. Systems in 2020/21 include Accounts Payable, Accounts Receivable, Cash & Bank and General Ledger. Reporting due Q4.
PS20_2	Housing Allocations	Review of the effectiveness of procedures in place to ensure the housing register and allocations process are managed and delivered in accordance with the Council's Housing Allocations Scheme. Reporting due Q4.

7.3. Work Scheduled to 31st March 2021

Audit Ref	Audit Title	Indicative Scope
XC20_1	COVID-19 Project	To undertake an independent review of the Council's response to Covid-19 beyond its initial incident management phase, to identify best practices and any lessons learned/emerging issues.
XC20_2	Uttlesford Norse	To review the governance arrangements in place for the Council's new arrangement with Uttlesford Norse.
FC20_3	Remote Working/Cyber Security	To review the Council's policies and procedures in relation to Cyber Security and Remote Working

7.4. Deferrals/Cancellations

Original 2020/21 Plan	Comments
Leisure PFI	2021/22 Plan
Trade Waste	2021/22 Plan
Waste - Income Generating Services	2021/22 Plan
Democratic Services	2021/22 Plan
Business Continuity & Emergency Planning	2021/22 Plan
Homelessness, Options & Voids	2021/22 Plan
Housing - Landlord Services	2021/22 Plan
Commercial Enterprises & Investments	2021/22 Plan
ICT	2021/22 Plan
Covid-19 specific work & Car Parking Partnership (NEPP)	2021/22 Plan

Original 2020/21 Plan	Comments
Contract Management	2021/22 Plan
Finance - Budgets	2021/22 Plan
Procurement	2021/22 Plan
EU Exit	Associated risks will be considered within scopes of applicable reviews
Revenues - Business Rates	Will be considered within Key Financial Systems scope
Revenues - Rents	Will be considered within Key Financial Systems scope
Performance Management	Will be considered within scopes of applicable reviews
Risk Management	Will be considered within scopes of applicable reviews
Museum	Will be reassessed once reopen
Counter Fraud	Will be reviewed as part of a self-assessment against CIPFA's Managing the Risk of Fraud and Corruption
Communication/ Consultation & Website	Will be considered for inclusion as a result of other deferrals/cancellations, or for 2022 plan
Printing & Mailroom	
Environmental Health	
Housing - Supporting People	
Building Control	
Development Management	

Reconciliation between original plan received by GAP (September 2020) to current status (January 2021)

Original Plan received by GAP (September 2020)	Status as at January 2021
Health & Safety	Completed
Benefits	Completed
Insurance	Completed
Licensing	Completed
Equality & Diversity	Completed
Domestic Waste & Recycling	Due for completion Q4
Housing Allocations	Due for completion Q4
Information Governance	Due for completion Q4
Section 106 Obligations	Due for completion Q4
Communities Hub	Due for completion Q4
Human Resources	Due for completion Q4
Uttlesford Norse	Due for completion Q4
COVID-19 Project	Due for completion Q4
Finance - Income, Fees & Charges	Due for completion Q4 as part of KFS 2020/21
Finance - Main Accounting System	Due for completion Q4 as part of KFS 2020/21
Revenues - Council Tax	Due for completion Q4 as part of KFS 2020/21
Revenues - Recovery	Due for completion Q4 as part of KFS 2020/21
Homelessness, Options & Voids	2021/22 Plan
Business Continuity & Emergency Planning	2021/22 Plan
Commercial Enterprises & Investments	2021/22 Plan
Contract Management	2021/22 Plan
Finance - Budgets	2021/22 Plan
Procurement	2021/22 Plan
Democratic Services	2021/22 Plan
Leisure PFI	2021/22 Plan
Waste - Income Generating Services	2021/22 Plan

Original Plan received by GAP (September 2020)	Status as at January 2021
Trade Waste	2021/22 Plan
Housing - Landlord Services	2021/22 Plan
ICT	2021/22 Plan
Car Parking Partnership (NEPP)	2021/22 Plan
EU Exit	Associated risks will be considered within scopes of applicable reviews
Revenues - Business Rates	Will be considered within Key Financial Systems scope
Revenues - Rents	Will be considered within Key Financial Systems scope
Performance Management	Will be considered within scopes of applicable reviews
Risk Management	Will be considered within scopes of applicable reviews
Museum	Will be reassessed once reopen
Counter Fraud	Will be reviewed as part of a self-assessment against CIPFA's Managing the Risk of Fraud and Corruption
Environmental Health Commercial	Will be considered for inclusion as a result of other deferrals/cancellations or for 2022 plan
Environmental Health Protection	Will be considered for inclusion as a result of other deferrals/cancellations or for 2022 plan
Housing - Supporting People	Will be considered for inclusion as a result of other deferrals/cancellations or for 2022 plan
Building Control	Will be considered for inclusion as a result of other deferrals/cancellations or for 2022 plan
Development Management	Will be considered for inclusion as a result of other deferrals/cancellations or for 2022 plan
Communication	Will be considered for inclusion as a result of other deferrals/cancellations or for 2022 plan
Consultation & Website	Will be considered for inclusion as a result of other deferrals/cancellations or for 2022 plan
Printing & Mailroom	Will be considered for inclusion as a result of other deferrals/cancellations or for 2022 plan

Risk Analysis

8.

Risk	Likelihood	Impact	Mitigating actions
Inadequate audit coverage may lead to failure to provide an annual opinion of the Council’s governance, risk and control arrangements; reputational damage and failure to comply with PSIAS	2	2	Monitoring of plan delivery and reporting to CMT and GAP, contingency built into plan for additional days if required; Quality Assurance and Improvement Programme

- 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.

Committee:	Governance, Audit and Performance Committee	Date:	Thursday, 4 February 2021
Title:	2021-22 Annual Internal Audit Plan & Charter		
Report Author:	Elizabeth Brooks, Internal Audit Manager EBrooks@uttlesford.gov.uk		

Summary

- 1.1. The Council is responsible for establishing and maintaining appropriate risk management processes, control systems, accounting records and governance arrangements. The purpose of UDC's Internal Audit section is to provide independent, objective assurance and consulting services to the Council (via the GAP Committee, Chief Executive, S151 Officer, External Audit and senior managers), relating to these arrangements, which are designed to add value and improve the Council's operations.
- 1.2. The Audit Manager is also responsible for the delivery of an annual audit opinion that can be used by the Council to inform its governance statement. The annual opinion will also conclude on the overall adequacy and effectiveness of the organisation's framework of governance, risk management and control.
- 1.3. In order to achieve this, Internal Audit have developed the attached internal audit plan for 2021/22 which is based on a prioritisation of the audit universe using a risk-based methodology, including input from the Council's Corporate Plan, Corporate Risk Register, as well as discussions with Council staff, senior management, plus consideration of local and national issues and risks.
- 1.4. The Audit Manager will be responsible for delivery of this plan and will ensure that the Internal Audit service has access to an appropriate range of knowledge, skills, qualifications and experience required to deliver it. The plan will be kept under review to ensure it remains responsive to the changing priorities and risks of the Council.
- 1.5. In addition to planned work, Internal Audit can also provide ad hoc advice and guidance to management on risk and control issues within individual systems as requested.

Recommendations

2. GAP Committee are requested to note the content of this report and approve the draft Annual Internal Audit Plan for 2021/22, as well as note and approve the Internal Audit Charter.

Financial Implications

3. The programme of audit work will be met from the Internal Audit Revenue budget, as outlined in the report.

Background Papers

4. None.

Impact

- 5.

Communication/Consultation	Senior Managers were consulted by the Audit Manager during December 2020/January 2021, with comments reflected in the attached plan. CMT approved the plan on 6 th January 2021.
Community Safety	
Equalities	
Health and Safety	
Human Rights/Legal Implications	The Council has a duty to maintain an effective internal provision to evaluate the effectiveness of its risk management, control and governance processes, taking into account public sector internal auditing standards or guidance (Regulation 5 (Part 1) of the Accounts and Audit Regulations 2015).
Sustainability	
Ward-specific impacts	
Workforce/Workplace	

Situation

6. Preparation and consultation

6.1. The 2021/22 plan has been prepared taking the following steps:

- A list of the Council's auditable areas (audit universe) was compiled, evaluated and then ranked against:
- Independent audit risk criteria

- UDC's Corporate Plan 2020 (the plan will also be re-assessed against the new Corporate Plan once available to ensure it remains aligned to the Council's priorities)
 - UDC's Corporate Risk Register
 - Consideration of local and national issues and risks, including the IIA Publication - Risk in Focus (Hot Topics for Internal Audit 2021)
- 6.2. Discussions were held with Assistant Directors and Service Managers during December 2020/January 2021, with comments reflected in the attached plan. CMT approved the plan on 6th January 2021.
- 6.3. Individual service plans will also be taken into consideration when scoping individual reviews to ensure audit coverage is focussed on key objectives and risks.

7. Internal Audit Resources

- 7.1. The annual plan has been drawn up to address the key risks for the Council, taking into account available resources.
- 7.2. Changes to the annual plan may be necessary during the year to reflect changing priorities and risk environment. A time contingency has therefore been set aside to cover requests from management for ad hoc, advisory type work on risk identification and subsequent control design (as well as urgent, unplanned reviews arising during the year).

8. Follow-up audits

- 8.1. Follow-up procedures provide management with updated information about whether key risks have been properly mitigated through remedial actions.
- 8.2. All planned audit work undertaken is subject to a formal follow up to ensure that all agreed actions have been implemented. A time budget for follow ups has been accounted for in the annual plan.

9. Assurance Levels/Basis of Opinion

- 9.1. CMT and GAP will receive details of critical/high priority issues raised in audit reviews, as part of the bi-annual reporting process. From 2021/22, this encompasses the annual report and opinion in May, and Interim Report in November, although any significant emerging risks will be reported as they arise where applicable.
- 9.2. Internal Audit may also undertake work which does not contribute explicitly to the overall audit opinion and/or deliver an assurance statement. These may include certification of grant claims or consulting activities where Internal Audit provide independent and objective advice and guidance to management on

risk and control issues within individual systems to improve those systems and processes where necessary.

- 9.3. Where such work is undertaken, this will be set out as part of Internal Audit's annual report. In order to protect Internal Audit's independence and minimise the impact on the delivery of the overall plan, the Audit Manager will give due consideration to the appropriateness of undertaking such work.

10. Key Financial Systems (KFS)

- 10.1. The annual audit plan includes resource allocated to Key Financial Systems (KFS) work. This includes risk-based monitoring of key controls within finance systems to assess whether they are operating effectively and to flag areas and report transactions that appear to circumvent control parameters.

11. Risk Management and Fraud

- 11.1. In accordance with the annual audit plan, auditors will plan and evaluate their work so as to have a reasonable expectation of detecting fraud and identifying any significant weaknesses in internal controls and emerging risks.
- 11.2. Internal Audit will work closely with the Council's Risk Manager to discuss and exchange risk information and any emerging issues.

12. Internal Audit Charter

- 12.1. The purpose, authority, and responsibility of the Internal Audit activity must be formally defined in an Internal Audit charter, consistent with the Definition of Internal Auditing, the Code of Ethics, and the Standards.
- 12.2. The Internal Audit Charter establishes Internal Audit's position within UDC, including the Audit Manager's reporting lines, authorisation to access records, staff and physical properties relevant to the performance of engagements, and also defines the scope of Internal Audit activities. It is also a reference point for measuring the effectiveness of Internal Audit.
- 12.3. Alongside other statutory requirements set out in the Charter, Internal Audit is required to meet the mandatory requirements of the International Professional Practices Framework (IPPF) i.e.:
- The Mission of Internal Audit
 - The Definition of Internal Audit
 - The Core Principles
 - The Code of Ethics
 - The Standards – which provide a framework for performing and promoting a broad range of value-added internal auditing services, establish the basis for the evaluation of internal audit performance and foster improved organisational processes and operations.

12.4. The Internal Audit Charter is attached for GAP to note and approve.

Risk Analysis

13.

Risk	Likelihood	Impact	Mitigating actions
The Internal Audit Annual Plan and coverage may not reflect the Council's highest risks or greatest need for assurance leading to risk exposure to the Council, reputational damage and failure to comply with PSIAS.	2	2	Annual risk assessment linked to Corporate Risk Register and Corporate Plan; engagement with Risk Management, Service Managers and CMT, consideration of wider risks e.g. annual IIA Hot Topics survey and other horizon scanning publications, liaison with Essex Audit Group regarding other Council's plans, CMT and GAP approval of plan, contingency built in to plan to accommodate ad hoc work.

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.

Internal Audit Draft Annual Plan 2021-22

Ref	Audit Title	Link to Corporate Plan 2020 <i>(to be reassessed once new version available)</i>	Link to Corporate Risk Register	Indicative Scope	Planned Quarter
CROSS-CUTTING <i>(to also consider any emerging Brexit and Covid-19 risks within applicable scopes as necessary through 2021/22)</i>					
XC21_1	Commercial Investment Strategy	Putting Residents First		To review the Council's governance framework for delivering its Commercial Investment Strategy and for monitoring and reporting progress.	1
XC21_2	Digital Strategy		20-CR-06 IT	Review of the Digital Strategy/Transformation programme, including review of the programme's risk management and governance arrangements as well as benefits realisation.	1
XC21_3	Procurement and Contract Management	Putting Residents First		To review cross-council procurement practices to determine whether they are in line with Council procedures and legislation. To include review of the Council's procedures for processing, recording and monitoring of contracts and Supplier Management.	1
XC21_4	Officer & Member Conflicts of Interest			To review the recording, administering and monitoring of Officer and Member declarations of interest and gifts and hospitality to examine how	1

Ref	Audit Title	Link to Corporate Plan 2020 <i>(to be reassessed once new version available)</i>	Link to Corporate Risk Register	Indicative Scope	Planned Quarter
				compliance with the Council's codes of conduct is monitored and reported.	
XC21_5	Medium Term Financial Strategy	Putting Residents First	20-CR-01 Financial Control	Review of Council progress against its MTFs; including review of reporting and monitoring actions.	2
XC21_6	RIPA (Regulation of Investigatory Powers Act)			To review the Council's policy and procedures in relation to RIPA and monitoring of compliance with its obligations to ensure they are in line with regulations and best practice.	2
XC21_7	Safeguarding	Active Placemaker		To review the Council's application of its Safeguarding Policy and examine how compliance with safeguarding procedures is monitored and reported.	2
XC21_8	Business Continuity and Emergency Planning		20-CR-02 Business Continuity	To review the Council's new Policy and Framework for business continuity and emergency planning response and recovery. To include robustness and flexibility of arrangements, internal/external communications, liaison with other external parties e.g. emergency services, County Council, charities etc.	3

Ref	Audit Title	Link to Corporate Plan 2020 <i>(to be reassessed once new version available)</i>	Link to Corporate Risk Register	Indicative Scope	Planned Quarter
XC21_9	Climate Change	Progressive custodian of our rural environment		Review of the Council's measures for responding to the Climate Change Emergency and its framework for reporting progress.	3
XC21_10	Cyber Security		20-CR-06 IT	Review of the controls in place to mitigate risks surrounding IT security (specific scope TBC following 2020/21 review)	4
XC21_11	Key Financial Systems 2021/22			Risk-based key control review to focus on those systems which are the most important financially and carry the highest inherent risk of error. Specific systems TBC.	TBC
CORPORATE SERVICES					
CS21_2	Leisure PFI	Active Placemaker		To review the governance arrangements for the Leisure PFI contract including roles and responsibilities, reporting and performance monitoring.	3
CS21_3	Day/Community Centres	Champion for our district		To review the arrangements for managing the Council's day centres, including financial	3

Ref	Audit Title	Link to Corporate Plan 2020 <i>(to be reassessed once new version available)</i>	Link to Corporate Risk Register	Indicative Scope	Planned Quarter
				management, management of volunteers and monitoring/oversight.	
HOUSING, HEALTH & COMMUNITIES					
HHC21_1	Leasehold Service Charges			To review the methodology for the calculation of Leasehold Service Charges and assess the adequacy of supporting documentation for charges.	1
HHC21_2	Homelessness Strategy	Active Placemaker		Review of the Council's framework for delivering its Homelessness and Rough Sleeping Strategy 2020-25 and for monitoring and reporting progress.	2
PLANNING & BUILDING CONTROL					
PBC21_1	Planning applications and permissions	Active Placemaker		Review of the Council's administration of planning applications and the monitoring of compliance with policies, procedures and regulations. To review arrangements for managing breaches of Planning Control/Permissions.	2

Ref	Audit Title	Link to Corporate Plan 2020 <i>(to be reassessed once new version available)</i>	Link to Corporate Risk Register	Indicative Scope	Planned Quarter
PBC21_2	NEPP (North Essex Parking Partnership)			Review of UDC's involvement in the NEPP partnership arrangement including governance and reporting arrangements.	3
PBC21_3	Local Plan and New Communities	Active Placemaker	20-CR-09 Local Plan	To review the Council's strategy and governance arrangements for the development of the Local Plan.	4
ENVIRONMENTAL SERVICES					
ENV21_1	Income Generating Waste			Review of the collection of income generating waste, including from commercial premises, including the handling of income and debt recovery.	3
GOVERNANCE & LEGAL					
GL21_1	Electoral Registration and Conduct of Elections			Post-May 2021 election review to determine any actions required for future elections.	2



Internal Audit Charter

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Introduction

The purpose, authority, and responsibility of the Internal Audit activity must be formally defined in an Internal Audit charter, consistent with the Institute of Internal Audit's (IIA) Definition of Internal Auditing, the Code of Ethics, and the Standards.

The Internal Audit Charter establishes Internal Audit's position within Uttlesford District Council, including the Audit Manager's reporting lines, authorisation to access to records, staff and physical properties relevant to the performance of engagements, and also defines the scope of Internal Audit activities. It is also a reference point for measuring the effectiveness of Internal Audit.

Definitions

For the purposes of this Charter, the following definitions apply:

- The Board:** The governance group charged with independent assurance on the adequacy of the risk management framework, the internal control environment and the integrity of financial reporting. At Uttlesford District Council this shall mean the Governance, Audit and Performance (GAP) Committee.
- Consulting Activities:** Internal Audit advice and guidance to management on risk and control issues within individual systems to improve those systems and processes where necessary.
- Senior Management:** Those responsible for the leadership and direction of the Council. At Uttlesford District Council this shall mean the Chief Executive and the Corporate Management Team (CMT).
- Standards:** Public Sector Internal Audit Standards (PSIAS), as well as mandatory elements of the Institute of Internal Auditors' International Professional Practices Framework (IPPF), including the Core Principles for the Professional Practice of Internal Auditing, the Code of Ethics, the International Standards for the Professional Practice of Internal Auditing and the Definition of Internal Auditing.



Purpose and Mission

The Council is responsible for establishing and maintaining appropriate risk management processes, control systems, accounting records and governance arrangements. The purpose of Uttlesford District Council's Internal Audit section is to provide independent, objective assurance and consulting services to the Council (via the GAP Committee, Chief Executive, Section 151 Officer, External Audit and senior managers), relating to these arrangements, which are designed to add value and improve the Council's operations.

The mission of Internal Audit is to enhance and protect organisational value by providing risk-based and objective assurance, advice and insight. Internal Audit helps Uttlesford District Council accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of governance, risk management and control processes. The Council's response to Internal Audit activity should also lead to the strengthening of the control environment and, therefore, contribute to the achievement of the organisation's objectives.

Standards and Statutory Requirements

The Council has a statutory duty to maintain an adequate and effective Internal Audit function in accordance with proper Internal Audit practices (Regulation 6 (Part 2) of the Accounts and Audit Regulations 2015).

Section 151 of the Local Government Act 1972 also states that "every local authority shall make arrangements for the proper administration of their financial affairs and shall secure that one of their officers has responsibility for the administration of those affairs".

The CIPFA Statement of the Role of Chief Financial Officer in Local Government also states that the Chief Financial Officer must:

- Ensure an effective Internal Audit function is resourced and maintained
- Ensure that the authority has put in place effective arrangements for Internal Audit of the control environment and systems of internal control as required by professional standards and in line with CIPFA's Code of Practice on Local Authority Accounting in the United Kingdom.

As well as Public Sector Internal Audit Standards (PSIAS), the Internal Audit section will govern itself by adherence to mandatory elements of the Institute of Internal Auditors' International Professional Practices Framework (IPPF), including the Core Principles for the Professional Practice of Internal Auditing, the Code of Ethics, the International Standards for the Professional Practice of Internal Auditing and the Definition of Internal Auditing. This mandatory guidance constitutes principles of the fundamental requirements for the professional practice of Internal Auditing and for evaluating the effectiveness of Internal Audit's performance.

The IIA's Practice Advisories, Practice Guides, and Position Papers will also be adhered to as applicable. In addition, Internal Audit will adhere to Uttlesford District Council's relevant policies



and procedures as well as Internal Audit's own methodology/standard operating procedures manual.

The Audit Manager will report periodically to senior management and the GAP Committee regarding Internal Audit's conformance to the above.

Authority

While the Audit Manager reports functionally to the GAP Committee, they report organisationally to the Director of Finance and Corporate Services, who has responsibility for maintaining an adequate and effective system of Internal Audit within Uttlesford District Council, as the authority's Chief Finance Officer (S151 Officer).

The Audit Manager also has direct access to the Chief Executive who carries the responsibility for the proper management of their Council and for ensuring that the principles of good governance are reflected in sound management arrangements.

Where it is considered necessary to the proper discharge of Internal Audit function, the Audit Manager has direct access to elected Members of the Council and in particular those who serve on committees charged with governance (i.e. the GAP Committee).

The Audit Manager will have unrestricted access to, and communicate and interact directly with the GAP Committee, including in private meetings without management present.

To establish, maintain and assure that Uttlesford District Council's Internal Audit section has sufficient authority to fulfil its duties, the GAP Committee will:

- Approve Internal Audit's charter
- Approve the risk-based audit plan
- Approve Internal Audit's budget and resource plan
- Receive communications from the Audit Manager on Internal Audit's performance relative to its plan and other matters, such as significant findings and/or emerging risks.
- Approve decisions regarding the appointment and removal of the Audit Manager
- Make appropriate enquiries of management and the Audit Manager to determine whether there is inappropriate scope or resource limitations.

The GAP Committee authorises Internal Audit to:

- Have full, free and unrestricted access to all functions, records, property and personnel pertinent to carrying out any engagement, subject to accountability for confidentiality and safeguarding of records and information.
- Allocate resources, set frequencies, select subjects, determine scopes of work, apply techniques required to accomplish audit objectives and issue reports.
- Obtain assistance from the necessary personnel of Uttlesford District Council as well as other specialised services from within or outside of the Council in order to complete the engagement.

Independence and objectivity

The Audit Manager will ensure that Internal Audit remains free from all conditions that threaten the ability of Internal Auditors to carry out their responsibilities in an unbiased manner, including matter of audit selection, scope, procedures, frequency, timing and report content. If the Audit Manager determines that independence or objectivity may be impaired in fact or appearance, the details of impairment will be disclosed to appropriate parties.

Internal Auditors will maintain an unbiased mental attitude that allows them to perform engagements objectively. Internal Auditors will have no direct operational responsibility or authority over any of the activities audited. Accordingly, they will not implement internal controls, develop procedures, install systems, prepare records, or engage in any other activity that may impair their judgment, including:

- Assessing specific operations for which they had responsibility within the previous year (with the exception of follow ups)
- Performing any operational duties for Uttlesford District Council or its affiliates.
- Initiating or approving transactions external to Internal Audit
- Directing the activities of any Uttlesford District Council employee not employed by Internal Audit, except to the extent that such employees have been appropriately assigned to auditing teams or to otherwise assist Internal Auditors.

Where the Audit Manager has, or is expected to have, roles and/or responsibilities that fall outside of Internal Audit, safeguards will be established to limit impairments to independence or objectivity.

Internal Auditors, including the Audit Manager, will:

- Disclose any impairment of independence or objectivity in fact or appearance, to appropriate parties.
- Exhibit professional objectivity in gathering, evaluating and communicating information about the activity or process being examined.
- Make balanced assessments of all available and relevant facts and circumstances.
- Take necessary precautions to avoid being unduly influenced by their own interests or by others in forming judgements.

The Audit Manager will confirm to the GAP Committee, at least annually, the organisational independence of Internal Audit.

The Audit Manager will disclose to the GAP Committee any interference and related implications in determining the scope of Internal Auditing, performing work and/or communicating results.



Scope of Internal Audit Activities

The scope of Internal Audit activities encompasses, but is not limited to, objective examinations of evidence for the purpose of providing independent assessments to the GAP Committee, management and outside parties (e.g. External Audit) on the adequacy and effectiveness of governance, risk management, and control process for Uttlesford District Council. The Audit Manager is also responsible for the delivery of an annual audit opinion and report that can be used by the Council to inform its governance statement. The annual opinion will conclude on this overall adequacy and effectiveness of the organisation's framework of governance, risk management and control, based upon:

- A summary of internal audit work carried out
- Follow up on the implementation of recommendations
- Any significant governance issues as reported within the Council's Annual Governance Statement
- The annual review of the effectiveness of Internal Audit (see QAIP)

A range of Internal Audit services are provided to form the annual opinion. The approach is determined by the Audit Manager and will depend on the level of assurance required, the significance of the objectives under review to the organisation's success, the risks inherent in the achievement of objectives and the level of confidence required that controls are well designed and operating as intended. Internal Audit assessments include evaluating whether:

- Risks relating to the achievement of Uttlesford District Council's strategic objectives are appropriately identified and managed
- The actions of Uttlesford District Council's employees, senior management and contractors are in compliance with the Council's policies, procedures and applicable laws, regulations and governance standards
- The results of operations or programme are consistent with established goals and objectives
- Operations or programmes are being carried out effectively and efficiently
- Established processes and systems enable compliance with the policies, procedures, laws and regulations that could significantly impact Uttlesford District Council
- Information and the means used to identify, measure, analyse, classify and report such information are reliable and have integrity
- Resources and assets are acquired economically, used efficiently and protected adequately.

In accordance with the annual audit plan, auditors will plan and evaluate their work so as to have a reasonable expectation of detecting fraud and identifying any significant weaknesses in internal controls.

Internal Audit may perform consulting activities (that is, provide independent advice and guidance to management on governance, risk management and control issues) as appropriate for the organisation. It may also evaluate specific operations at the request of the GAP Committee or management, as appropriate.

The Audit Manager will report periodically to senior management and the GAP Committee regarding:



- Internal Audit's purpose, authority and responsibility
- Internal Audit's plan and performance relative to its plan
- Internal Audit's conformance with the IIA's Code of Ethics and Standards and action plans to address any significant conformance issues
- Significant risk exposure and control issues including fraud risks, governance issues, and other matters requiring the attention of, or requested by the GAP Committee.
- Results of audit engagements or other activities
- Resource requirements
- Any response to risk by management that may be unacceptable to Uttlesford District Council.

The Audit Manager also co-ordinates activities where possible and considers relying upon the work of other internal and external assurance and consulting service providers as needed. Internal Audit may perform advisory and related client service activities, the nature and scope of which will be agreed with the client, provided Internal Audit does not assume management responsibility.

Opportunities for improving the efficiency of governance, risk management and control processes may be identified during engagements. These opportunities will be communicated to the appropriate level of management.

Responsibility

The Audit Manager has the responsibility to:

- Submit at least annually, to senior management and GAP Committee a risk based Internal Audit plan for review and approval.
- Communicate to senior management and the GAP Committee the impact of resource limitations on the Internal Audit plan.
- Review and adjust the Internal Audit plan, as necessary, in response to changes to Uttlesford District Council's operations, risks, programmes, systems and controls.
- Communicate to Senior Management and the GAP Committee any significant interim changes to the Internal Audit plan
- Ensure each engagement of the Internal Audit plan is executed, including the establishment of objectives and scope, the assignment of appropriate and adequately supervised resources, the documentation of work programmes and testing results, and the communication of engagement results with applicable conclusions and recommendations to appropriate parties.
- Follow up on engagement findings and corrective action, and report periodically to senior management and the GAP Committee any corrective actions not effectively implemented.
- Deliver an annual audit opinion and report that can be used by the Council to inform its governance statement. The annual opinion will conclude on the overall adequacy and effectiveness of the organisation's framework of governance, risk management and control.
- Ensure the principles of integrity, objectivity, confidentiality and competency are applied and upheld.



- Ensure Internal Audit collectively possesses or obtain the knowledge, skills and other competencies needed to meet the requirements of the Internal Audit charter.
- Ensure trends and emerging issues that could impact Uttlesford District Council are considered and communicated to senior management and the GAP Committee as appropriate.
- Establish and ensure adherence to Uttlesford District Council's relevant policies and procedures, unless such policies and procedures conflict with the Internal Audit Charter. Any such conflicts will be resolved or otherwise communicated to senior management and the GAP Committee
- Ensure conformance of Internal Audit with the Standards.

Internal Audit Plan and Resources

Internal Audit services are provided by internal council employees. The Director of Finance will provide the Audit Manager with the resources necessary to fulfil the Council's requirements and expectations as to the robustness and scope of the Internal Audit opinion.

At least annually, the Audit Manager will submit to senior management and the GAP Committee an Internal Audit plan for review and approval, including risk assessment criteria. The Internal Audit plan will include timing as well as budget and resource requirements for the next financial year. The Audit Manager will communicate the impact of resource limitations and significant interim changes to senior management and the GAP Committee. Senior Management and the GAP Committee will be advised where, for whatever reason, Internal Audit is unable to provide assurance on any significant risks within the timescale envisaged by the risk assessment process.

The Internal Audit plan will be developed based on a prioritisation of the potential audit activities across the Council using a risk-based methodology, including input of senior management and the GAP Committee. Prior to submission to the GAP Committee for approval, the plan will be discussed with appropriate senior management. Significant matters that jeopardise the delivery of the plan or require changes to the plan will be identified, addressed and reported to senior management and the GAP Committee. The risk-based plan must take in to account the requirement to produce an annual Internal Audit opinion and the assurance framework.

The Audit Manager will be responsible for delivery of the plan and will ensure that the Internal Audit service has access to an appropriate range of knowledge, skills, qualifications and experience required to deliver the audit plan. The plan will be kept under review to ensure it remains responsive to the changing priorities and risks of the Council.

If the Audit Manager, the GAP Committee or Senior Management considers that the scope or coverage of Internal Audit is limited in any way, or the ability of Internal Audit to deliver a service consistent with the Standards is prejudiced, they will advise the Director of Finance accordingly.

The Audit Manager must seek approval from the GAP Committee for any significant additional consulting activities not already included in the audit plan, prior to accepting the engagement.

Reporting and monitoring

For each audit assignment, terms of reference are developed and agreed with the client setting out the scope of the audit. At the completion of the audit, a written report is produced which provides an audit opinion/assurance statement on the control environment in place. The Internal Audit report will include management's response and corrective action to be taken regarding the specific findings and recommendations. Management's response will also include a timetable for anticipated completion of action to be taken and an explanation for any corrective action that will not be implemented.

Internal Audit may also undertake work which does not contribute explicitly to the overall audit opinion. These may include certification of grant claims or consulting activities where Internal Audit provide independent and objective advice and guidance to management on risk and control issues within individual systems to improve those systems and processes where necessary. Where such work is undertaken, this will be set out as part of Internal Audit's annual report. In order to protect Internal Audit's independence and minimise the impact on the delivery of the overall plan, the Audit Manager will give due consideration to the appropriateness of undertaking such work.

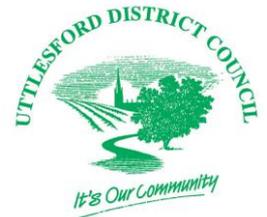
Internal Audit will also be responsible for appropriate follow-up on engagement findings and recommendations. All significant findings will remain open until cleared.

A summary of Internal Audit findings, as well as follow ups will be communicated to senior management and the GAP Committee via interim and annual audit reports. Any significant emerging risks which arise in year will be reported as they occur.

Quality Assurance and Improvement Programme **(QAIP)**

The Chartered Institute of Internal Auditors (IIA) sets out mandatory Core Principles, which taken as a whole, articulate internal audit effectiveness. For an internal audit function to be considered effective and achieve its mission, all Principles must be present and operating effectively:

1. Demonstrates integrity
2. Demonstrates competence and due professional care
3. Is objective and free from undue influence
4. Aligns with the strategies, objectives and risks of the organisation
5. Is appropriately positioned and adequately resourced
6. Demonstrates quality and continuous improvement
7. Communicates effectively
8. Provides risk-based assurance
9. Is insightful, proactive and future-focused
10. Promotes organisational improvement



Internal Audit will maintain a QAIP that covers all aspects of the Internal Audit activity. The program will include an evaluation of Internal Audit's conformance with the above Principles, the Standards and an evaluation of whether Internal Auditors apply the IIA's Code of Ethics. The program will also assess the efficiency and effectiveness of Internal Audit and identify opportunities for improvement.

In addition, the Audit Manager will communicate to senior management and the GAP Committee on Internal Audit's (QAIP), including results of ongoing internal self-assessments and external assessments conducted at least every five years by a qualified, independent assessor from outside of Uttlesford District Council.

Any instances of non-conformance with the Standards will be included in the annual Internal Audit report. If there is significant non-conformance, this will be included in the Council's Annual Governance Statement.

Signatures:

Audit Manager: Elizabeth Brooks

Chief Executive:

Chair of GAP Committee:

Committee: Governance, Audit and Performance Committee

Title: Grant Allocation Policy (Sports Provision - Major Projects)

Report author: Roz Millership - Assistant Director Housing Health and Communities
rmillerhsip@uttlesford.gov.uk

Date:
Thursday, 4
February 2021

Summary

1. The Committee is asked to consider the Grant Allocation Policy (Sports Provision - Major Projects) for approval and adoption.
2. The Policy addresses the governance arrangements, procedures and monitoring process to be followed when awarding a grant and during the subsequent implementation of the project that it enables.

Recommendations

3. That the Grant Allocation Policy (Sports Provision - Major Projects) be approved and adopted.

Financial Implications

4. Budget provision of £150,000 for current year which can be allocated to support enhanced sport facility provision. . Future years grant funding will be subject to a growth bid.

Background Papers

5. 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

Impact

- 6.

Communication/Consultation	N/A
Community Safety	N/A
Equalities	EqIA carried out
Health and Safety	N/A

Human Rights/Legal Implications	The Council has the powers to award grants to organisations using its general power of competence in section 1 of the Localism Act 2011
Sustainability	N/A
Ward-specific impacts	N/A
Workforce/Workplace	Communities Team

Situation

7. The Grant Allocation Policy (Sports Provision - Major Projects) sets out the governance arrangements, procedures and monitoring process to be followed when awarding a Community Grant.
8. This Policy deals with the allocation of grants for major sports projects and will ensure that grants are awarded to defined organisations following an application process and against a set criteria.
9. Grants fall outside the public procurement regime. In awarding a grant the Council cannot exhibit the same amount of control over the organisation as is commensurate with a contract. Essentially, the terms of the grant should set out what the purpose of the grant is for. Provisions for claw back of funding should only be implemented in the case of the grant funding being used for other than the intended purposes or otherwise improperly.
10. The aim of the Policy is to support organisations with large scale projects, that will improve the quality of life for local communities.
11. Cabinet is invited to approve and adopt the Grant Allocation Policy (Sports Provision - Major Projects)

Risk Analysis

12.

Risk	Likelihood	Impact	Mitigating actions
Allocation of grants to projects does not secure their implementation	1 – grants only awarded to viable projects	3 – poor use of public money	Policy and procedures in place to ensure checks are made before grant funding is awarded
UDC support does not achieve additionality and is used to	1 – checks into other funding sources will be	3 – poor use of public money	Policy and procedures in place to ensure checks are made before grant funding is

substitute external funding that is also available	made before grant funding awarded		awarded
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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

Grant Allocation Policy

Sports Provision - Major Projects

Introduction

Uttlesford District Council has allocated £150,000 in the current financial year to 31 March 2021, with the potential two further tranches, each of £150,000 over the next two years, which can be allocated to support enhanced sport provision.

The target areas are respectively in the locality of Great Dunmow, Saffron Walden and Stansted Mountfitchet and the catchment areas for the projects should include communities around these centres

Legal and Budgetary Framework

- All grant decisions will be made based on the set of principles, set out in this Policy, and within the agreed budget approved by Council
- The Council cannot guarantee to fund the maximum amount applied for, therefore Organisations must ensure that they have procedures in place to cover the balance of funding required. The Council will not pay a grant unless the Organisation can demonstrate that the balance of the funding is available
- Projects must be delivered and funding claimed within a specified time period with clearly defined beginning and end dates. These should be set out in the application for funding. (Successful applicants should be prepared to commit to these dates in a funding agreement)
- Applicants should demonstrate that funding from other sources is not paying for the same expenditure (double funding)
- Work on the project must not have commenced, nor expenditure committed before an offer letter is received and funding agreement signed. Invoices should not pre-date the letter or agreement
- Grants cannot be paid retrospectively therefore any work commenced prior to acceptance of the grant offer will not be eligible for funding
- Funding will normally be paid after the work has taken place or via staged payments against agreed milestones. Copies of all invoices must be provided to support funding claims
- All successful applicants will be required to complete a post grant monitoring report

What Types of Projects can be Funded?

Grant Allocation for Sports Provision (Major Projects) will fall into 3 categories:

1. Transformational upgrade to existing facilities including purchase of equipment which will allow more intensive use of facilities or a significantly greater range of activities
2. Project development costs for major new provision projects
3. Major projects (greater than £150,000) requiring local funding support

How to Apply

- Applications are invited from sports clubs or other appropriately constituted organisations
- Applications must be made using the Council's grant application form and associated guidance notes that are available online on the Council's website.
- The application form must be completed in full. Incomplete application forms will be rejected
- A copy the organisation's signed Constitution must be sent with the application form or within 7 days of submitting the application. If this is not received it may result in the application being declined.
- Supporting documentation may also be requested prior to the application being fully considered. Failure to supply all required documentation will result in the application being treated as incomplete

Criteria for Funding

Priority will be given to applications for projects and activities which:

- Are based in Uttlesford
- Enhance the quality of life for Uttlesford residents
- Increase involvement in the community
- Demonstrate the potential to be sustained in the future
- Have funding contributions from the applicant organisation's own funds and/or funding support from other bodies in place or promised

- Demonstrate a knowledge and understanding of their community
- Facilities that are accessible to the community

Funding Considerations

In allocating grants, the considerations will include:

- Ownership or long term tenure of the site
- The availability of quotes or tenders
- The number of current and potential future beneficiaries of the project
- The ability to deliver the project within a reasonable timescale
- Access to the facility (eg free to the public, pay as you go, membership only)
- Evidence of community support
- Environmental improvements, such as reductions in energy and water consumption, and light spillage
- Provision of a maintenance plan

Who can Apply

To qualify for a grant Organisations must meet the criteria listed below:

- Provide value for money
- Be a voluntary or community organisation, registered charity or other not for profit organisation
- Have a set of audited accounts, or as a minimum an organisation bank statement, and are able to provide such information as the Council reasonably requires in order to satisfy the Council as to the organisations financial position and its need for the assistance requested
- Have a constituted management committee with a signed constitution
- Have appropriate safeguarding policies relevant to their organisation where children, young people or vulnerable adults are involved, which must include a requirement that staff / volunteers must be cleared with the Disclosure and Barring service

- Have their own bank or building society account with two signatories
- Have not already received a community grant within the current financial year

Grant Conditions

- All grants must be fully spent within the year for which they are allocated and on the costs and activities set out in the grant application
- Very minor changes may be agreed from time to time subject to the funding being used in line with the original application criteria. Any such changes must be applied for to the Council and agreed in writing
- Organisations must notify the Council of any changes in circumstances which affect their financial position throughout the period in which the grant monies are being used
- The grant must only be used for the purposes specifically stated in the application form, and should it be spent in any other way, without written approval from the Council, the Organisation may be asked to return some or all of the monies paid
- If the project is cancelled or only partially achieved, or if the Organisation is wound up, any unused grant money must be returned to the Council
- If the project involves work on land or a building, including refurbishment, the applicant must own the freehold of the land or building, or hold a lease that cannot be brought to an end by the landlord for at least 5 years
- If planning permission is required this must be in place before the grant application is made. The Council may ask for confirmation that planning permission is not required, or that it is required and has been granted
- Organisations must be committed to and have policies on equalities and inclusion and in delivering the services or activity the Organisation must not unlawfully discriminate, directly or indirectly against any of the nine protected characteristics
- All conditions under which the grant has been awarded, including any Special Conditions, must be met. Failure to do so could result in the Organisation being asked to repay the grant monies to the Council
- For audit purposes, records must be kept showing how the grant has been spent, along with any relevant receipts or invoices. In line with the Council's retention policy and in line with General Data Protection Regulations all documentation relating to an application will be retained for seven years before being destroyed

- An officer of the Council may visit the grant recipient from time to time to audit the information sources. The Council may also request a review if it wishes to discuss the project or service development and delivery

Decision Making Process

- The grant applications will be considered by a panel consisting of the Portfolio Holder for Sport, Portfolio Holder for Finance, Communities Manager, Community Development Officer and Senior Health Improvement Officer
- Having assessed all applications a Recommendations Report will be prepared by the Portfolio Holder for Cabinet decision
- Organisations will be notified to inform them of whether they have been successful or not as soon as possible after Cabinet decision
- Complaints about any aspect of the Community Grant process will be dealt with under the Council's Corporate Complaints Procedure

Monitoring and Review

- Organisations must be able to participate in a monitoring process and provide monitoring information to evidence how the grant money has been spent and adherence to the conditions of the grant. This must include receipts or invoices and a written report of the project, activity or event, plus photographs if possible, on completion
- If Organisations do not supply the required monitoring reports and supporting information in full and within the set time scale they may be asked to repay the grant funding to the Council. Failure to comply with the conditions of this grant may be taken into account when considering any further applications for grant funding made by the same Organisation in the future.
- The Council will periodically review all the grants it gives to organisations and individuals to ensure they meet the Council's corporate objectives

Agenda Item 6

Committee:	Governance, Audit & Performance Committee	Date:
Title:	COVID-19 Performance Indicator Report 5	Tuesday 4 th February 2021
Report Author:	Oliver Knight, PFI & Performance Officer oknight@uttlesford.gov.uk 01799 510440	Key Decision: No

Summary

1. This report presents the outturn data for all COVID-19 performance indicators for period Monday 2nd November 2020 to Sunday 3rd January 2021.
2. Whilst there have been continuing pressures on service delivery and service resources due to the Covid-19 pandemic, data outturns attest that services continue to perform well despite these difficult circumstances.
3. It is now possible to evaluate performance year-on-year through comparing Quarter 3 2020/21 COVID-19 PI outturns with Quarter 3 2019/20 outturns for UDC's standard performance indicators monitored on a quarterly basis. Whilst year-on-year comparisons do in some instances indicate a longer term reduction in performance during the pandemic, many monthly indicators have still shown sustained performance throughout the most recent months of November & December 2020.

Recommendations

4. To note the performance of services during the COVID-19 pandemic, as attached in Appendix 1.

Financial Implications

5. Some performance indicators measure services where income has been severely affected due to the COVID-19 pandemic. As such, monitoring their ongoing progress will aid wider budget monitoring processes.

Background Papers

6. None

Impact

- 7.

Communication/Consultation	None
Community Safety	None beyond indicators reporting the work of the Community Shield Hub (CV 23, CV

	24, CV 25, CV 26 & CV 27).
Equalities	None
Health and Safety	Any health and safety implications arising from this monitoring are assessed and addressed by the Council's Gold and Silver Command.
Human Rights/Legal Implications	Any human rights or legal implications arising from this monitoring are assessed and addressed by the Council's Gold and Silver Command.
Sustainability	None
Ward-specific impacts	None
Workforce/Workplace	Any workforce or workplace implications arising from this monitoring are addressed and assessment by the Council's Gold and Silver Command.

Situation

8. A new set of performance indicators were introduced in April 2020 in light of the COVID-19 pandemic and have been monitored throughout the 2020/21 performance year. Whilst primarily these indicators have been introduced to monitor how COVID-19 is affecting service delivery, more broadly they also highlight how services are performing during current circumstances.
9. The indicators were originally selected through a review of the Daily Situation Reports which are provided by Service Managers to the Council's Gold & Silver Command. These reports identify impacts on normal activities and priority/critical services, alongside detailing longer-term service risks and items that need to be considered from a strategic perspective.
10. Whilst there are other methods of monitoring performance during the pandemic (for example analysing customer feedback, or FOI response times), these quantitative measures included focus specifically upon aspects of service delivery which have been identified as being particularly affected by the pandemic. Many more indicators could have been identified, but those selected were considered to be the most important in the circumstances.
11. A review of the effectiveness of all existing Covid-19 PIs was undertaken by the Performance Team during Quarter 3 2020/21. Given the continuing effect of the pandemic on services and further lockdowns, it was decided that the majority of indicators would continue to be reported. In addition during November & December 2020, a range of further Covid-19 PIs were introduced to further inform on the effect of the pandemic on council services (**CV 41 to CV 44; CV 47 to CV 52**). These have been identified through both reviewing

Quarter 2 2020/21 outturns of local performance indicators monitored by the Corporate Management Team, but also through reference to the weekly Situation Reports provided by the Senior Management Team.

12. Primarily, these additional Covid-19 PIs were already being monitored on a quarterly basis as part of UDC's standard performance management framework. Their inclusion as Covid-19 PIs will however involve more frequent weekly or monthly monitoring, and this more regular review may therefore enable the identification of additional factors affecting performance.
13. No targets have been introduced for the COVID-19 indicators included here, instead they have been established as 'information-only' performance indicators.
14. The indicators cover varying services throughout both the Corporate Services and Public Services directorates. Frequencies of data collection vary; some are monitored weekly or daily, whilst others are monitored on a monthly basis.
15. Appendix 1 presents COVID-19 PI data for the period Monday 2nd November 2020 to Sunday 4th January 2021. Alongside indicators where daily or weekly outturns are presented, data for November 2020 and December 2020 are also presented for monthly indicators where available.
16. Whilst accompanying narratives have not been requested from Service Managers, notes have been provided where relevant to contextualise performance, and explain the reasons for monitoring and relevant methods of calculation. Year-to-date comparisons where possible have been included. Due to the timeframe of this report, it is also possible to include Quarter 3 year-on-year comparisons, and relevant circumstantial analysis has also been detailed.
17. Graphical and pictorial representations of the data are also presented, which portray performance fluctuations since October 2020; the beginning of Quarter 3 of the 2020/21 performance year.
18. All data and performance notes included in Appendix 1 have been reviewed by the Council's Gold & Silver Command.
19. Overall, data outturns highlight that services are continuing to perform well despite the current circumstances. Whilst year-on-year comparisons do in some instances indicate a longer term reduction in performance during the pandemic, many monthly indicators have still shown sustained performance throughout November & December 2020. The following points are drawn to members' attention as being of particular note:
 - a.) Weekly data reporting the number of Test & Trace Support payments made (**CV 48**) highlights a small amount of Statutory payments continue to be made on a weekly basis. In total, 27 payments have been made under the scheme since its introduction; inclusive of 24 statutory payments and 3 discretionary payments. The number of applications received on a weekly basis continue to increase.

- b.) The amount paid in Local Restriction Support Grants (**CV 51**) continues to rise week-to-week, and thus far since W/C 23rd November we have paid £1,018,496.00. This money has been paid as Localised Restriction Support Grants, Additional Restriction Grants and Christmas Support Payment for Wet-Led Pubs.
- c.) Monthly data for the Benefits performance indicators shows performance has been sustained. Outturns for the average time taken to process Housing Benefit/Local Council Tax Claims (**CV 01**) and Change Events (**CV 02**) have increased marginally from November 2020 to December 2020, yet year-to-year comparisons clearly highlight performance is fairly comparable to last year.
- d.) December 2020 data for the Revenues performance indicators show a mixed performance image. Whilst the percentage of Council Tax collected (**CV 18**) continued to steadily rise in congruence with previous months, the percentage of non-domestic rates collected (**CV 17**) registered the smallest monthly collection since April; rising from 64.37% at the end of November 2020 to 68.10% at the close of December 2020. This image is also reflected when analysing year-on-year attainment; as by the end of December 2019 84.57% (**KPI 03**) of non-domestic rates were collected, whilst at end of December 2020 only 68.10% had been collected. Council Tax shows a significantly better performance year-on-year, as at the end of December 2019 85.91% (**KPI 05**) was collected, comparative to 83.98% at the end of December 2020.
20. The Performance Team intend to further review the effectiveness of the current corpus of Covid-19 performance indicators being monitored. The Corporate Management Team will review all Quarter 3 2020/21 performance data towards the end of January. Following this, if it is clear the pandemic is affecting other areas of performance, these will be incorporated into new performance measures.

Risk Analysis

21.

Risk	Likelihood	Impact	Mitigating actions
If the performance of services is not monitored during these current unprecedented circumstances, then areas such as customer satisfaction and statutory	2 – The majority of service areas are performing well, despite pressures on resources. measures	3 – The majority of service areas in the Council are customer-facing.	The COVID-19 performance indicators are monitored by the Council's Gold & Silver command. The inclusion of data from previous weeks and months helps to identify trends.

<p>adherence to government led requirements could be affected leading to a loss in reputation for the Council.</p>			
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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.

Appendix 1: COVID-19 PI Report – 2nd November 2020 to 3rd January 2021

COVID 19 Performance Indicators – Appendix 1



Report Timeframe

Start Date	Monday 2 nd November 2020
End Date	Sunday 3 rd January 2021

Please note:

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This report contains data for all COVID-19 performance indicators being monitored to consider the effect of COVID-19 on service delivery. Data included represents the timeframe Monday 2nd November 2020 to 3rd January 2021.

For indicators where data is monitored monthly, monthly data is now available for April 2020 to December 2020 (inclusive).

For indicators where data is recorded weekly, data is presented on a weekly basis from Week Commencing 2nd November 2020 to Week Commencing 28th December 2020.

- Whilst accompanying narratives have not been requested from Service Managers, notes have been provided where relevant to contextualise performance and explain the reasons for monitoring and relevant methods of calculation. Comparison to attainment during previous quarters or this year's PI target are narrated where possible to contextualise performance.
- Where relevant, trend arrows have been included in accordance with guidance below for weekly & daily data. As no targets have been set for these performance indicators, these trends provide an overview of the performance trajectory for each PI. Varying graphs have been included to provide a pictorial representation of performance over time.

Trends

<p>Short Term</p>	For daily and weekly data, the short-term trend arrow evaluates the most recent outturn in comparison to the preceding outturn.
<p>Long Term</p>	For weekly data, the long-term trend arrow evaluates this week's data in comparison to the outturn four weeks ago. For daily data, the long-term trend arrow evaluates the most recent outturn to the same date of the previous month.

Benefits

CV 01 – Time taken to process Housing Benefit/Local Council Tax Support New Claims

April 2020	May 2020	June 2020	July 2020	August 2020	Sept 2020	Oct 2020	Nov 2020	Dec 2020	
13.38 days	20.7 days	16.28 days	14.95 days	18.50 days	16.70 days	12.92 days	17.59 days	17.83 days	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> Claims received are becoming more complex and therefore taking potentially longer to process. ➤ For December 2020, numerator – 2,318 (number of days), and denominator - 130 (number of applications received). ➤ CV 01 is also monitored as part of UDC’s formal quarterly and annual performance monitoring processes (KPI 06a). ➤ For Quarter 3 2019/20 KPI 06 (a) outturn was 17.1 days – numerator 4,337 (number of days) and denominator 254 (number of change events received). ➤ In a month-to-month comparison, it is clear therefore that December 2020’s outturn shows a marginal decrease in performance in comparison to last month.

CV 02 – Time taken to process Housing Benefit/Local Council Tax Support Change Events

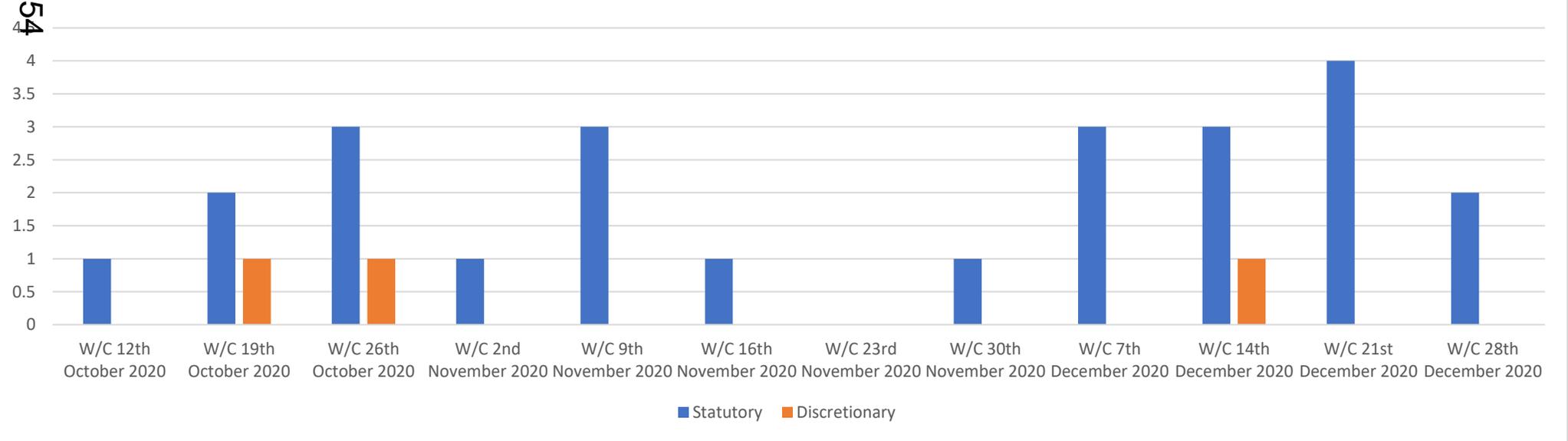
April 2020	May 2020	June 2020	July 2020	August 2020	Sept 2020	Oct 202	Nov 2020	Dec 2020	
4.02 days	10.5 days	7.90 days	4.60 days	6.08 days	9.08 days	5.09 days	4.30 days	5.84 days	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> Given increasing number of universal credit applications, it is probable there will be more changes to existing Housing Benefit & Local Council Tax Support Claims. ➤ For December 2020, numerator – 5,782 (number of days) and denominator – 990 (number of applications received). ➤ CV 02 is also monitored as part of UDC’s formal quarterly and annual performance monitoring processes (KPI 06b). For Quarter 3 2019/20 KPI 06 (b) outturn was 6.0 days – numerator 23,579 (number of days) and denominator 3,960 (number of change events received).

CV 48 – Number of Test & Trace Support Payments Awarded (Discretionary & Statutory)

W/C 30 th November 2020	W/C 7 th December 2020	W/C 14 th December 2020	W/C 21 st December 2020	W/C 28 th December 2020	
1 (1 Statutory)	3 (3 Statutory)	4 (3 Statutory; 1 Discretionary)	4 (4 Statutory)	2 (2 Statutory)	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> UDC's Benefits department is responsible for administering the award and payment of the Test & Trace Support Payments. ➤ This PI reports the number of Test and Trace Support Payments which have been awarded on a weekly basis; and the outturn reported is total of Statutory and Discretionary payments. Every award has the value £500.00. ➤ During Week Commencing 28th December 2020, 34 applications were received; 10 have been refused and 22 applications are still pending ➤ Since the commencement of the scheme during w/c 12th October, we have awarded 24 statutory awards and 3 discretionary awards.

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CV 48 - Number of Test & Trace Support Payments Awarded



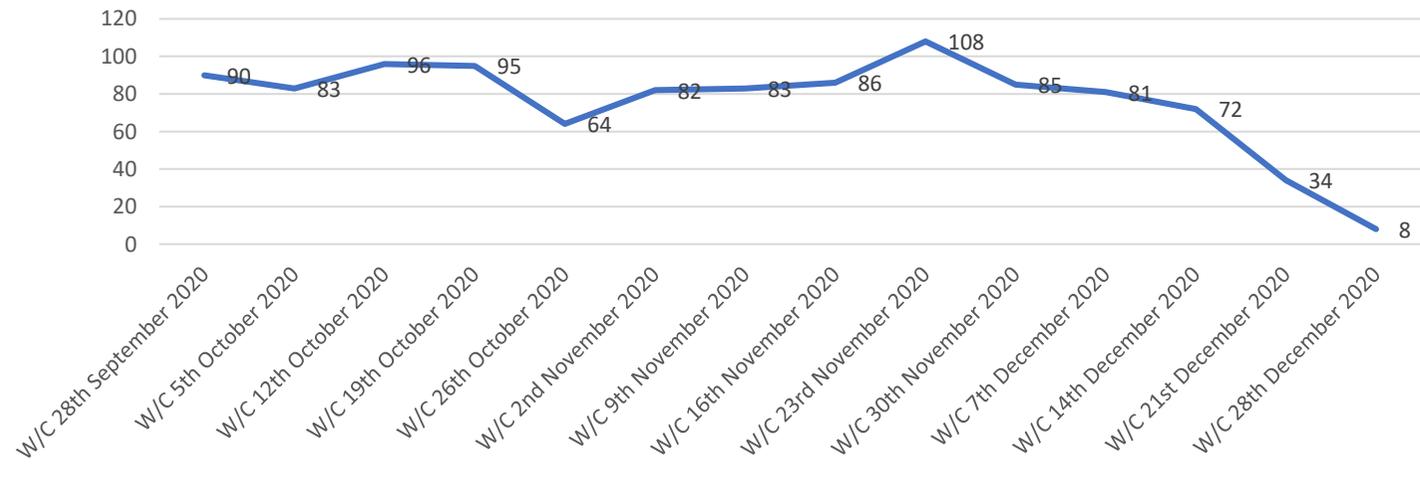
Building Control

CV 03 – Number of Building Control site visits completed

Week Commencing 2 nd November 2020	Week Commencing 9 th November 2020	Week Commencing 16 th November 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> Building Control’s Inspection Service has been greatly reduced in alignment with guidance. ➤ This PI reports the number of site visits completed by the Building Control Service on a weekly basis, to portray the effect of COVID-19 on demand for the service. ➤ For week commencing 28th December 2020, the quantity of inspections completed decreased by 76.5% in comparison to the previous week. ➤ Year-to-year comparison: whilst during w/c 28th December, 8 site visits were completed, during the comparable week in the 2019/20 year 9 site visits were completed. As such, the amount of site visits completed during w/c 30th November 2020 represents 88.89% of the site visits completed during a comparable week in the 2019/20 year.
82 site visits completed	83 site visits completed	86 site visits completed	
Week Commencing 23 rd November 2020	Week Commencing 30 th November 2020	Week Commencing 7 th December 2020	
108 site visits completed	85 site visits completed	81 site visits completed	
Week Commencing 14 th December 2020	Week Commencing 21 st December 2020	Week Commencing 28 th December 2020	
72 site visits completed	34 site visits completed	8 site visits completed	

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CV 03 - Number of site visits completed



Short Term	↓
Long Term	↓

CV 50 – Percentage market share for Building Control work in the District

October 2020	November 2020	December 2020	January 2021	February 2021	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> to monitor the effect of Covid-19 pandemic on the Building Control work in the district. ➤ CV 50 is monitored as part of UDC's quarterly performance monitoring as BC 01. For Quarter 2 2020/21, outturn was 78.49% and target was 82.00%. ➤ For December 2020, numerator was 64, and denominator was 73. Therefore outturn value is 87.67%.
79%	65%	88%	TBC	TBC	

Customer Services

CV 04 – Calls answered as a percentage of calls received

Week Commencing 2 nd November 2020	Week Commencing 9 th November 2020	Week Commencing 16 th November 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> to ascertain effect of COVID-19 on call volumes. ➤ Outturn values represent the percentage of calls answered by the Customer Services Team as a percentage of total calls received. As an example, during week commencing 28th December 2020, 696 calls were answered out of 704 calls received. ➤ During Quarter 3 2019/20, 25,870 calls were answered out of 26,200 calls received, equating to 98.74% of calls answered. Comparatively therefore, answer rates now appear to be broadly similar to performance before the COVID-19 pandemic; albeit there are daily fluctuations. ➤ <i>Please note – an issue with the phone system prevented some calls being presented correctly through IVR during week commencing 16th November 2020.</i>
99%	98%	84%	
Week Commencing 23 rd November 2020	Week Commencing 30 th November 2020	Week Commencing 7 th December 2020	
98%	99%	99%	
Week Commencing 14 th December 2020	Week Commencing 21 st December 2020	Week Commencing 28 th December 2020	
99%	99%	99%	

CV 05 – Calls abandoned as a percentage of calls received

Week Commencing 2 nd November 2020	Week Commencing 9 th November 2020	Week Commencing 16 th November 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> to ascertain effect of COVID-19 on call volumes. ➤ As an example, during week commencing 28th December 2020, 8 calls were abandoned out of a total of 704 calls received. ➤ CV 05 is also monitored as part of UDC's formal quarterly and annual performance monitoring processes (CS 08). During Quarter 3 2019/20, 330 calls were abandoned out of 26,200 calls received. As such, it appears abandoned rates are similar year-on-year, albeit there are daily fluctuations. ➤ <i>Please note – an issue with the phone system prevented some calls being presented correctly through IVR during week commencing 16th November 2020.</i>
1%	2%	16%	
Week Commencing 23 rd November 2020	Week Commencing 30 th November 2020	Week Commencing 7 th December 2020	
2%	1%	1%	
Week Commencing 14 th December 2020	Week Commencing 21 st December 2020	Week Commencing 28 th December 2020	
1%	1%	1%	

CV 06 – Number of Out-Of-Hours Calls Received (excluding Housing Repairs)

Week Commencing 2 nd November 2020	Week Commencing 9 th November 2020	Week Commencing 16 th November 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> to understand use of out-of-hours service during the pandemic. ➤ Outturn values report the total of all out-of-hours calls for all services, apart from Housing Repairs.
11	31	101	
Week Commencing 23 rd November 2020	Week Commencing 30 th November 2020	Week Commencing 7 th December 2020	
9	29	5	
Week Commencing 14 th December 2020	Week Commencing 21 st December 2020	Week Commencing 28 th December 2020	
5	11	24	

CV 07 – Number of emails received into UConnect & WasteAware email boxes

Week Commencing 2 nd November 2020	Week Commencing 9 th November 2020	Week Commencing 16 th November 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> To ascertain effect of COVID-19 on email queries. ➤ Outturn values represent total of all emails received to Uconnect & WasteAware email boxes relating to all service areas.
492	532	531	
Week Commencing 23 rd November 2020	Week Commencing 30 th November 2020	Week Commencing 7 th December 2020	
519	598	445	
Week Commencing 14 th December 2020	Week Commencing 21 st December 2020	Week Commencing 28 th December 2020	
467	236	350	

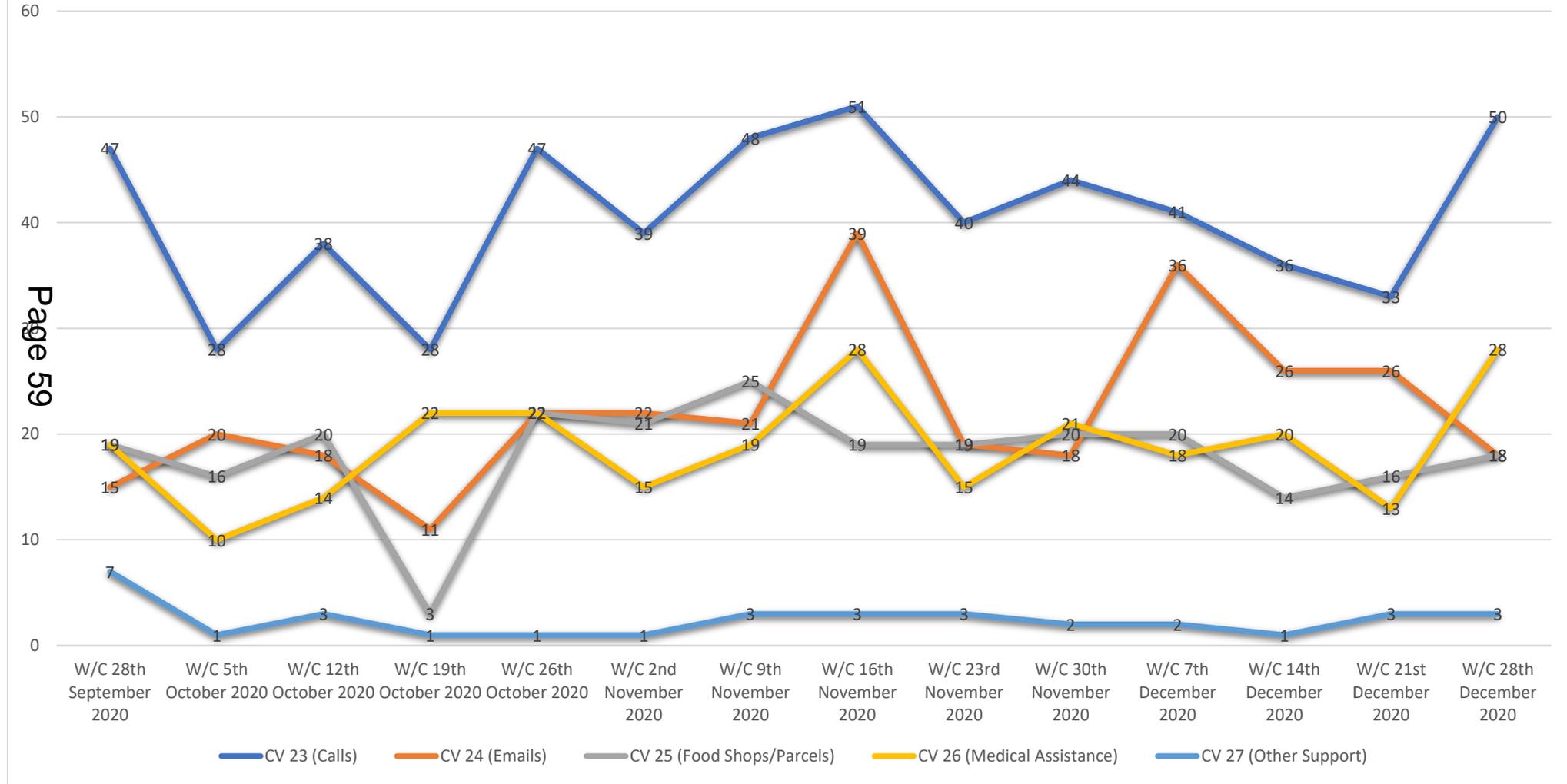
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CV 08 – Percentage of payments received via ATP or website

Week Commencing 2 nd November 2020	Week Commencing 9 th November 2020	Week Commencing 16 th November 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> to comprehend the use of ATP and online payments through the website. ➤ From week commencing 12th October 2020, this performance indicator has been changed so that it reports the percentage of payments received via ATP or website as a proportion of total payments received.
63% (882 of 1,397)	57% (493 of 864)	54% (354 of 661)	
Week Commencing 23 rd November 2020	Week Commencing 30 th November 2020	Week Commencing 7 th December 2020	
59% (493 of 829)	70% (1,176 of 1,685)	60% (565 of 946)	
Week Commencing 14 th December 2020	Week Commencing 21 st December 2020	Week Commencing 28 th December 2020	
55% (380 of 688)	64% (309 of 482)	78% (725 of 926)	

Communities

Community Shield Hub



CV 23 – Number of calls received directly into the Community Shield hub

Week Commencing 2 nd November 2020	Week Commencing 9 th November 2020	Week Commencing 16 th November 2020	> <i>Reason for monitoring:</i> Provides an overview of the number of people directly contacting the hub by telephone for support.	Short Term		
39	48	51		Long Term		
Week Commencing 23 rd November 2020	Week Commencing 30 th November 2020	Week Commencing 7 th December 2020				
40	44	41				
Week Commencing 14 th December 2020	Week Commencing 21 st December 2020	Week Commencing 28 th December 2020				
36	33	50				

CV 24 – Number of emails received directly into the Community Shield hub

Week Commencing 2 nd November 2020	Week Commencing 9 th November 2020	Week Commencing 16 th November 2020	> <i>Reason for monitoring:</i> Provides an overview of the number of people directly contacting the hub by email for support.	Short Term		
22	21	39		Long Term		
Week Commencing 23 rd November 2020	Week Commencing 30 th November 2020	Week Commencing 7 th December 2020				
19	18	36				
Week Commencing 14 th December 2020	Week Commencing 21 st December 2020	Week Commencing 28 th December 2020				
26	26	18				

CV 25 – Number of unique food shops/parcels delivered (food assistance)

Week Commencing 2 nd November 2020	Week Commencing 9 th November 2020	Week Commencing 16 th November 2020	> <i>Reason for monitoring:</i> Provides an overview of the number of people requiring food assistance due to the pandemic.	Short Term	
21	25	19		Long Term	
Week Commencing 23 rd November 2020	Week Commencing 30 th November 2020	Week Commencing 7 th December 2020			

19	20	20	
Week Commencing 14 th December 2020	Week Commencing 21 st December 2020	Week Commencing 28 th December 2020	
14	16	18	

CV 26 – Number of pharmacy unique collections/deliveries (medical assistance)

Week Commencing 2 nd November 2020	Week Commencing 9 th November 2020	Week Commencing 16 th November 2020	<p>➤ <i>Reason for monitoring:</i> Provides an overview of the number of people requiring medical delivery assistance during the pandemic.</p>	Short Term		
15	19	28		Long Term		
Week Commencing 23 rd November 2020	Week Commencing 30 th November 2020	Week Commencing 7 th December 2020				
15	21	18				
Week Commencing 14 th December 2020	Week Commencing 21 st December 2020	Week Commencing 28 th December 2020				
20	13	28				

CV 27 – Number of people requiring 'other' support (transport, posting mail, dog walking, gardening)

Week Commencing 2 nd November 2020	Week Commencing 9 th November 2020	Week Commencing 16 th November 2020	<p>➤ <i>Reason for monitoring:</i> Provides an overview of the number of people requiring miscellaneous support during the pandemic.</p>	Short Term		
1	3	3		Long Term		
Week Commencing 23 rd November 2020	Week Commencing 30 th November 2020	Week Commencing 7 th December 2020				
3	2	2				
Week Commencing 14 th December 2020	Week Commencing 21 st December 2020	Week Commencing 28 th December 2020				
1	3	3				

Democratic Services

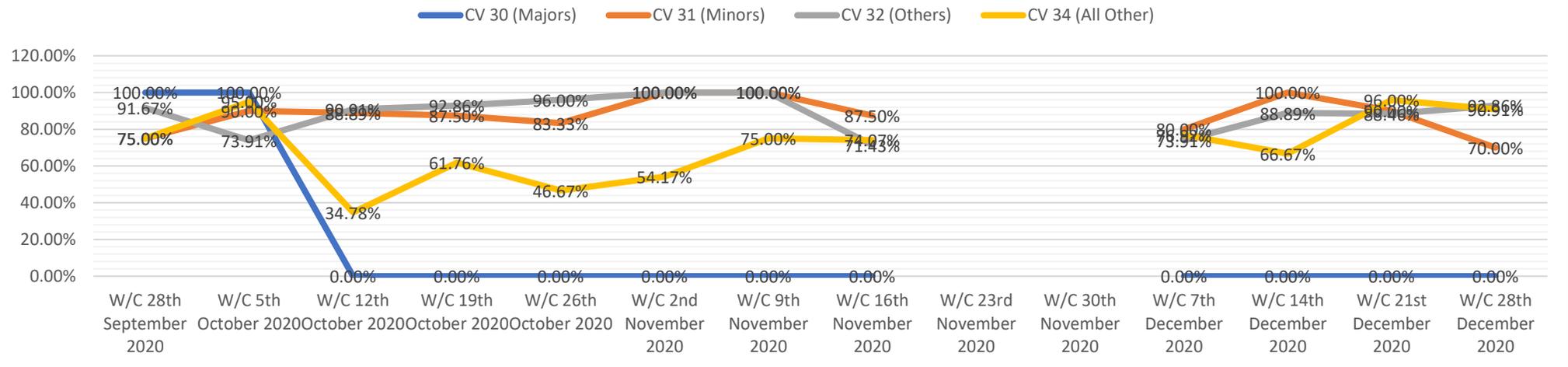
CV 49 – Percentage of minutes from meetings published within 10 working days

October 2020	November 2020	December 2020	January 2021	February 2021	
50.00%	50.00%	83.33%	TBC	TBC	<ul style="list-style-type: none"> ➤ Reason for monitoring: the monitor the percentage of minutes from meetings published within 10 working days. ➤ CV 49 is monitored as part of UDC's quarterly performance monitoring as PI 21. For Quarter 2 2020/21, outturn was 78.00% and target was 95.00%. ➤ During December 2020, 6 sets of minutes were published, of which 5 were within 10 working days. Therefore, 83.33% of minutes were published within 10 working days.

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Development Management

Development Management: Planning Applications



CV 30 (KPI 11) - Processing of Planning Applications: Major Applications (within 13 weeks or including any agreed extension of time)

Week Commencing 2 nd November 2020	Week Commencing 9 th November 2020	Week Commencing 16 th November 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> To assess the impact of the pandemic on authority's ability to process planning applications to required timescales. CV 30 is also monitored as part of UDC's formal quarterly and annual performance monitoring processes (KPI 11). ➤ For week commencing 28th December 2020, no application decisions were sent out. Since 1st July 2020, 9 applications should have been decided, of which 9 were in time (100%). During Quarter 3 2019/20, 2 out of 5 (40%) applications were decided within time. Performance therefore seems improved. ➤ It should be noted that this PI only monitors the timeliness of the decisions made during this specific week (i.e. w/c 28th December 2020). Another 29 other application (for major/minor/other/all other applications) decisions went out of time during week commencing 28th December 2020. 	Short Term	N/A
No decisions sent out	No decisions sent out	No decisions sent out		Long Term	N/A
Week Commencing 23 rd November 2020	Week Commencing 30 th November 2020	Week Commencing 7 th December 2020			
No data available	No data available	No decisions sent out			
Week Commencing 14 th December 2020	Week Commencing 21 st December 2020	Week Commencing 28 th December 2020			
No decisions sent out	No decisions sent out	No decisions sent out			

CV 31 (KPI 12) - Processing of Planning Applications: Minor applications (within 8 weeks or including any agreed extension of time)

Week Commencing 2 nd November 2020	Week Commencing 9 th November 2020	Week Commencing 16 th November 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> To assess the impact of the pandemic on authority's ability to process planning applications to required timescales. ➤ CV 31 is also monitored as part of UDC's formal quarterly and annual performance monitoring processes (KPI 12). ➤ For week commencing 28th December 2020, 7 out of 10 applications were decided in time. During Quarter 3 2020/21 thus far, 87 out of 116 applications (75.00%) have been decided on time. During Quarter 3 2019/20, 79 out of 124 (63.71%) applications were decided within time. Performance therefore during Q3 2020/21 is improved during the pandemic. It should be noted that this PI only monitors the timeliness of the decisions made during this specific week (i.e. w/c 28th December 2020). Another 29 other application (for major/minor/other/all other applications) decisions went out of time during week commencing 28th December 2020. 	Short Term	
100.00%	100.00%	87.50%		Long Term	
Week Commencing 23 rd November 2020	Week Commencing 30 th November 2020	Week Commencing 7 th December 2020			
No data available	No data available	80.00%			
Week Commencing 14 th December 2020	Week Commencing 21 st December 2020	Week Commencing 28 th December 2020			
100.00%	90.00%	70.00%			

CV 32 (KPI 13) – Processing of Planning Applications: Other applications (within 8 weeks or including any agreed extension of time)

Week Commencing 2 nd November 2020	Week Commencing 9 th November 2020	Week Commencing 16 th November 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> To assess the impact of the pandemic on authority's ability to process planning applications to required timescales. ➤ CV 32 is also monitored as part of UDC's formal quarterly and annual performance monitoring processes (KPI 13). ➤ 'Other applications' include applications for Listed Building Consent; Householder Applications; Adverts; Change of Use; Other LB Consents & Other Conservation Area Consents. ➤ For week commencing 28th December 2020, 13 out of 14 applications were decided in time. During Quarter 3 2020/21 thus far, 186 out of 213 applications (87.32%) were decided in time. During Quarter 3 2019/20, 190 out of 271 (70.11%) were decided within time. Performance therefore is improved overall during the pandemic despite weekly fluctuations. ➤ It should be noted that this PI only monitors the timeliness of the decisions made during this specific week (i.e. w/c 28th December 2020). Another 29 other applications (for major/minor/other/all other applications) decisions went out of time during week commencing 28th December 2020. 	Short Term	
					Long Term
100.00%	100.00%	71.43%			
Week Commencing 23 rd November 2020	Week Commencing 30 th November 2020	Week Commencing 7 th December 2020			
No data available	No data available	73.91%			
Week Commencing 14 th December 2020	Week Commencing 21 st December 2020	Week Commencing 28 th December 2020			
88.89%	88.46%	92.86%			

CV 34 – Processing of Planning Applications: All other types of applications (within prescribed limits)

Week Commencing 2 nd November 2020	Week Commencing 9 th November 2020	Week Commencing 16 th November 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> To assess the impact of the pandemic on authority's ability to process planning applications to required timescales. ➤ CV 33 has been introduced from Week Commencing 10th August 2020 to consider the processing of all other types of application other than major (CV 30), minor (CV 31) & other (CV 32). ➤ CV 34 therefore considers the processing of Discharge of Conditions; Certificates of Lawfulness Proposed; Certificates of Lawfulness Existing; Certificates of Lawfulness for works to Listed Building; Prior Notifications; Large Householder Extensions and Permissions in Principle.
54.17%	75.00%	74.07%	
Week Commencing 23 rd November 2020	Week Commencing 30 th November 2020	Week Commencing 7 th December 2020	
No data available	No data available	76.92%	

Week Commencing 14 th December 2020	Week Commencing 21 st December 2020	Week Commencing 28 th December 2020		Short Term	
66.67%	96.00%	90.91%	<ul style="list-style-type: none"> ➤ For week commencing 28th December 2020, 10 out of 11 applications have been processed in time (90.91%). Thus far since Week Commencing 10th August 2020, 354 applications should have been decided, of which 255 were decided in time (72.03%). ➤ It should be noted that this PI only monitors the timeliness of the decisions made during this specific week (i.e. w/c 28th December 2020). Another 29 other application (for major/minor/other/all other applications) decisions went out of time during week commencing 28th December 2020. 	Long Term	

CV 35 – Number of outstanding applications

Week Commencing 2 nd November 2020	Week Commencing 9 th November 2020	Week Commencing 16 th November 2020		Short Term	
557	566	586	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> To assess the impact of the pandemic on authority's ability to process planning applications to required timescales. ➤ At the end of Week Commencing 28th December 2020, 649 applications were outstanding. This includes applications both in and out of time: <ul style="list-style-type: none"> - 222 applications are out of time but can request Extension of Time - 35 decisions made during week commencing 28th December 2020; 4 decisions were made during comparative week in 2019/20. - An additional 29 applications went out of time during Week Commencing 28th December 2020; 5 Major, 7 Minor, 5 Other and 12 Everything Else. 	Long Term	
Page 65 Week Commencing 23 rd November 2020	Week Commencing 30 th November 2020	Week Commencing 7 th December 2020			
No data available	No data available	604			
Week Commencing 14 th December 2020	Week Commencing 21 st December 2020	Week Commencing 28 th December 2020			
638	625	649			

Economic Development

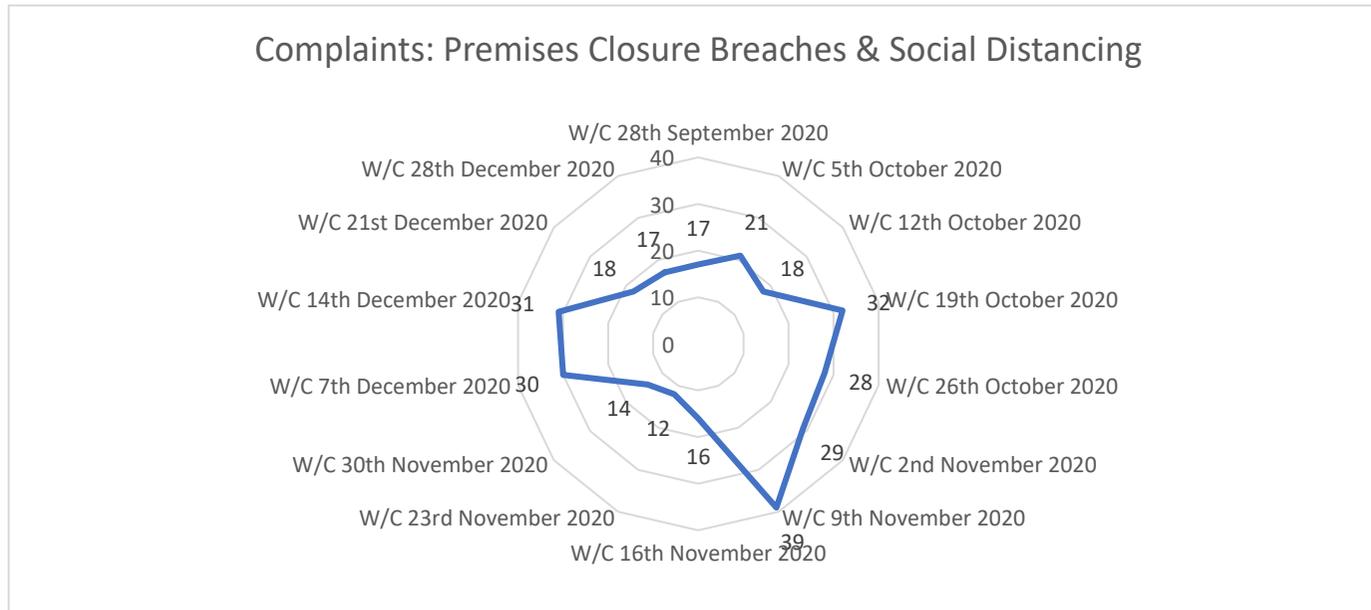
CV 29 – Car Parks: Percentage decrease in total Pay & Display sales (year-on-year comparison)

April 2020	May 2020	June 2020	July 2020	August 2020	September 2020	October 2020	November 2020	December 2020	
-91.11%	-87.35%	-67.97%	-43.55%	-37.88%	-24.5%	-26.7%	TBC	TBC	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> To ascertain how COVID-19 is affecting income from the car parks across the district. ➤ During October 2019, total Pay & Display sales were £85,446.40, whilst during October 2020 the total was £62,600.95. Value for October 2020 therefore represents a 26.7% decrease in income in comparison to last year. The financial value of Total Pay & Display sales reported here represents the total of MiPermit ticket sales via the MiPermit app, and cash sales through Flowbird car park ticket machines. Whilst the amounts used in calculation are the exact amounts reported to UDC, it is important to note that the reliability of cash sales from the Flowbird car park ticket machines can vary as they are dependent upon both car-park WIFI connections and Flowbird systems functioning accurately.

CV 33 – Percentage change in Penalty Charge Notices issued (year-on-year comparison)

April 2020	May 2020	June 2020	July 2020	August 2020	September 2020	October 2020	November 2020	December 2020	
-100%	-100%	+25%	+40%	+34%	+31.8%	-15%	TBC	TBC	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> To ascertain how COVID-19 is affecting the issuing of Penalty Charge Notices (PCNs) across the district. ➤ During October 2019, 425 PCNs were issued, whilst during October 2020 361 were issued. This represents a 15% decrease as a year-on-year comparison. ➤ Data on PCNs issued is supplied directly by the North Essex Parking Partnership's Enforcement department.

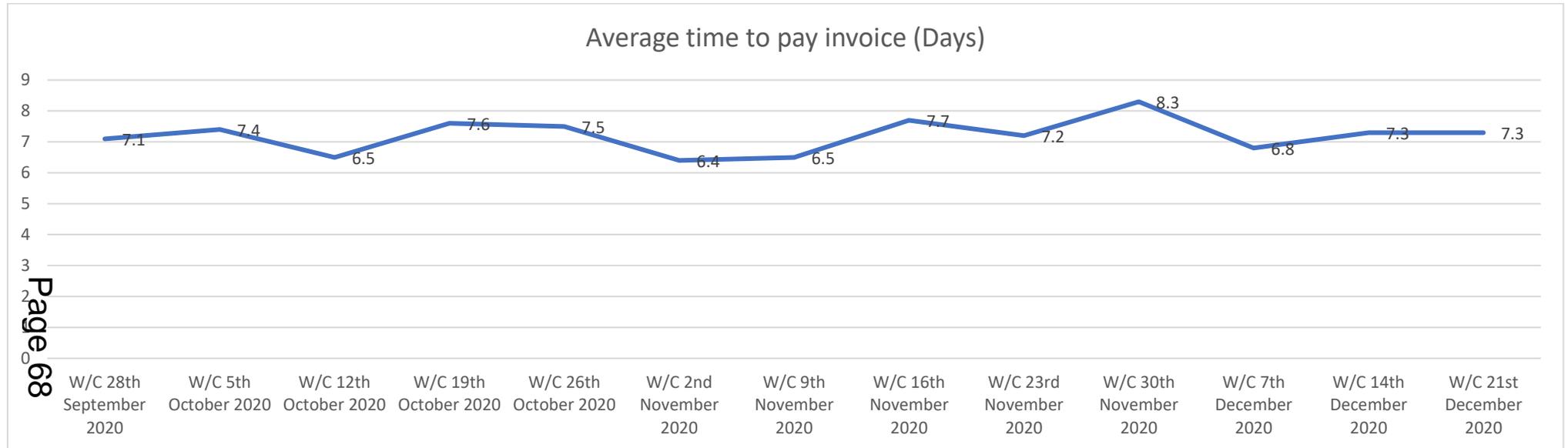
Environmental Health (Commercial)



CV 09 – Number of enquiries/complaints received regarding potential premises closures breaches, and social distancing (including proactive contact with businesses by Environmental Health/Licensing).

Week Commencing 2 nd November 2020	Week Commencing 9 th November 2020	Week Commencing 16 th November 2020	<ul style="list-style-type: none"> ➤ Reason for monitoring: to ascertain compliance across the district with government guidance relating to closure of restaurants/pubs and also social distancing. ➤ The outturn represents total of enquiries received; including complaints relating to social distancing/premises closure breaches (7 for W/C 28th Dec), and Covid-19 case advice/action (0 for 28th Dec). Data now also includes proactive contacts with businesses (10 for W/C 28th Dec); including the Licensing Team. 	Short Term	↓
				Long Term	↓
29	39	16			
Week Commencing 23 rd November 2020	Week Commencing 30 th November 2020	Week Commencing 7 th December 2020			
12	14	30			
Week Commencing 14 th December 2020	Week Commencing 21 st December 2020	Week Commencing 28 th December 2020			
31	18	17			

Finance



CV 12 (PI 02) – Average time (Days) to pay supplier invoices

Week Commencing	Week Commencing	Week Commencing	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> to indicate compliance with the Cabinet Office's guidance to pay suppliers as quickly as possible during the pandemic. ➤ For weeks commencing 14th Dec & 21st Dec, combined numerator was 3,238 (number of payment days), and denominator 444 (number of invoices paid); averaging at 7.3 days per invoice. During Quarter 3 2019/20, the average time to pay invoices was 6.3 days. As such, this week's outturn represents an increase in payment time in comparison to last year. 	Short Term	
				Long Term	N/A
Week Commencing 2 nd November 2020	Week Commencing 9 th November 2020	Week Commencing 16 th November 2020			
6.4 days	6.5 days	7.7 days			
Week Commencing 23 rd November 2020	Week Commencing 30 th November 2020	Week Commencing 7 th December 2020			
7.2 days	8.3 days	6.8 days			
Week Commencing 14 th December 2020	Week Commencing 21 st December 2020	Week Commencing 28 th December 2020			
7.3 days	7.3 days	No payment runs this week			

CV 52 – Average Time Taken to pay supplier invoices, from when received by departments to paid date

W/C 30 th November 2020	W/C 7 th December 2020	W/C 14 th December 2020	W/C 21 st December 2020	W/C 28 th December 2020	
28.1 days	13.0 days	47.2 days	47.2 days	No payment runs this week	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> to indicate compliance with the Cabinet Office’s guidance to pay suppliers as quickly as possible during the pandemic. ➤ Unlike CV 12 which monitors average time to pay an invoice between when received by creditors to paid date, CV 52 monitors the average time taken between when received by <i>individual departments</i> to paid date. This will therefore highlight if there are any other factors within UDC (external to Finance) which are affecting the processing of payments. ➤ For weeks commencing 14th Dec & 21st Dec, combined numerator was 15,918 (number of payment days), and denominator 337 (number of invoices paid); averaging at 47.2 days per invoice. During Quarter 3 2019/20, the average time to pay invoices was 6.3 days. As such, this week’s outturn represents an increase in payment time in comparison to last year.

Short Term	N/A
Long Term	

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Housing Strategy & Operations

CV 13 (HSG 44a) – Number of people making homelessness approaches

Week Commencing 2 nd November 2020	Week Commencing 9 th November 2020	Week Commencing 16 th November 2020	
10	8	6	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> People who are homeless may find it more difficult to self-isolate and therefore may be more at risk from COVID-19. ➤ CV 13 is also monitored as part of UDC’s formal quarterly and annual performance monitoring processes (HSG 44a). During Quarter 3 2020/21 thus far, 115 people have made homelessness approaches. Given that during Quarter 3 2019/20, we received a total of 44 homelessness approaches it therefore evident that the trend during Quarter 2 2020/21 and Quarter 3 2020/21 will continue, and we will see an increase in the number of homelessness approaches in comparison to the 2020/21 year.
Week Commencing 23 rd November 2020	Week Commencing 30 th November 2020	Week Commencing 7 th December 2020	
12	8	6	
Week Commencing 14 th December 2020	Week Commencing 21 st December 2020	Week Commencing 28 th December 2020	
6	6	6	

Short Term	
Long Term	

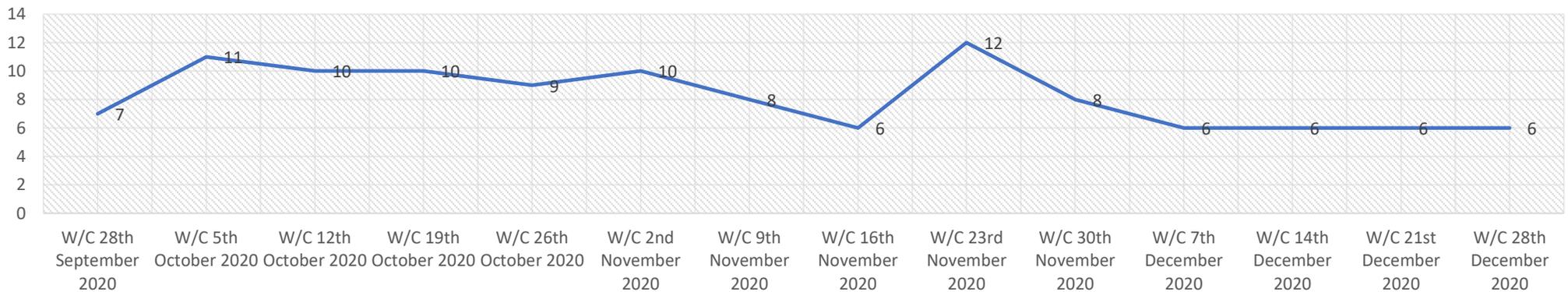
CV 14 – Number of people registered on HomeOptions

April 2020	May 2020	June 2020	July 2020	August 2020	Sept 2020	Oct 2020	Nov 2020	Dec 2020	➤ Reason for monitoring: Freesheets on HomeOption have been suspended as we have suspended the allocation of voids until property sign-ups can recommence and voids turned around.
1,034	1,054	1,128	1,166	1,203	1,209	1,231	1,271	1,216	

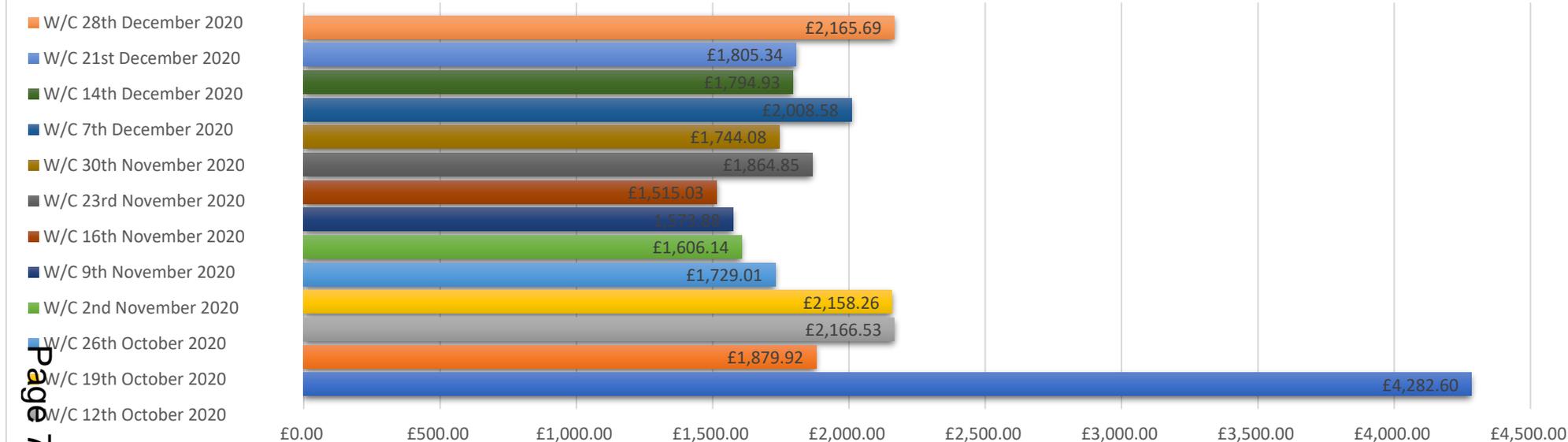
CV 15 – Rent lost on voids available to let (excluding development opportunities)

Week Commencing 2 nd November 2020	Week Commencing 9 th November 2020	Week Commencing 16 th November 2020	➤ Reason for monitoring: This performance indicator is intended to quantify the amount of rent lost for properties which are vacant. During the COVID-19 pandemic, all property letting has been suspended until property sign-ups can recommence and voids turned around. ➤ For the purposes of clarity, properties which are part of UDC's development programme are not included in this calculation. ➤ For w/c 28 th December 2020, £2,165.59 rent (16 properties) was lost due to voids. Thus far, since week commencing 30 th March 2020, £127,779.23 rent has been lost due to void properties.	Short Term	↓
£1,606.14	£1,573.88	£1,515.03		Long Term	↑
Week Commencing 23 rd November 2020	Week Commencing 30 th November 2020	Week Commencing 7 th December 2020	Page 70		
£1,863.85	£1,744.08	£2,008.58			
Week Commencing 14 th December 2020	Week Commencing 21 st December 2020	Week Commencing 28 th December 2020			
£1,794.93	£1,804.34	£2,165.69			

Number of Homelessness Approaches



Rent lost through dwellings being vacant



Information Communication Technology

CV 16 – Percentage of IT Helpdesk Calls which relate to the COVID-19 pandemic (e.g. due to change in working arrangements, procedures and processes).

Week Commencing	Week Commencing	Week Commencing	
Week Commencing 2 nd November 2020	Week Commencing 9 th November 2020	Week Commencing 16 th November 2020	<ul style="list-style-type: none"> ➤ Reason for monitoring: to consider the impact on IT helpdesk service.
38% (41 calls)	38% (45 calls)	35% (47 calls)	
Week Commencing 23 rd November 2020	Week Commencing 30 th November 2020	Week Commencing 7 th December 2020	<ul style="list-style-type: none"> ➤ For week commencing 28th December 2020, out of a total of 49 helpdesk calls raised, 18 related to the COVID-19 pandemic (e.g. change in working arrangements). Outturn for this week therefore highlights that a significant reduction in the amount of Helpdesk calls relating to the COVID-19 pandemic, despite the most previous two weeks showing a significant increase.
36% (51 calls)	34% (49 calls)	26% (30 calls)	
Week Commencing 14 th December 2020	Week Commencing 21 st December 2020	Week Commencing 28 th December 2020	
28% (32 calls)	25% (14 calls)	37% (18 calls)	

Short Term



Long Term



Revenues

CV 17 - Percentage of non-domestic rates collected

April 2020	May 2020	June 2020	July 2020	August 2020	Sept 2020	Oct 2020	Nov 2020	Dec 2020	
4.39%	13.05%	19.62%	27.84%	36.78%	44.88%	55.36%	64.37%	68.10%	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> To ascertain how COVID-19 is affecting UDC's high collection rates. ➤ For December 2020, numerator is £24,115,315.15 and denominator £35,413,356.06 ➤ December's outturn shows a smaller increase in collection during December than in comparison to previous months. ➤ CV 17 is also monitored as part of UDC's formal quarterly and annual performance monitoring processes (KPI 03). By the end of Quarter 3 2019/20, we had collected £38,318,526.19 out of £45,308,859.54 (84.57%). As such, it is clear that the collection of non-domestic rates has drastically slowed during December 2020, and the December collection represents a significantly smaller collection than at the end of Quarter 3 2019/20.

CV 18 - Percentage of council tax collected

April 2020	May 2020	June 2020	July 2020	August 2020	Sept 2020	Oct 2020	Nov 2020	Dec 2020	
10.35%	19.23%	28.42%	37.97%	47.00%	56.15%	65.57%	74.81%	83.98%	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> To ascertain how COVID-19 is affecting UDC's high collection rates. ➤ For December 2020, numerator is £58,816,814.29 and denominator £70,037,009.88.34. December's outturn follows the pattern of previous months, showing a continual steady increase in the total Council Tax collected. ➤ CV 18 is also monitored as part of UDC's formal quarterly and annual performance monitoring processes (KPI 05). By the end of Quarter 3 2019/20, we had collected £57,399,478.91 out of £66,815,927.24 (85.91%). In comparison to Quarter 3 2019/20, it appears that collection has only been slightly affected during Quarter 3 2020/21; reduced by 1.97% year-on-year. Following on from this, December's outturn shows a continual steady increase in collection rates in comparison to November's outturn.

CV 20 – Percentage of sundry debtor income overdue

April 2020	May 2020	June 2020	July 2020	August 2020	Sept 2020	Oct 2020	Nov 2020	Dec 2020	
2.40%	4.24%	8.36%	8.15%	9.24%	12.26%	2.43%	0.90%	0.93%	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> To ascertain effect of COVID-19 on debtors' ability to pay. ➤ For December 2020, numerator is £10,796.95 and denominator £1,160,861.94. Following December's outturn, during December it is clear that the improved performance during November 2020 has continued into December, with the percentage of sundry debtor income overdue only rising by 0.03%. Given the outturn at the end of Quarter 3 2019/20 was comparatively 1.2%, it appears performance has now improved year-on-year. ➤ CV 20 is also monitored as part of UDC's formal quarterly and annual performance monitoring processes (PI 03).

CV 21 – Local Council Tax Support Collection Rate

April 2020	May 2020	June 2020	July 2020	August 2020	Sept 2020	Oct 2020	Nov 2020	Dec 2020	
8.84%	15.95%	23.56%	30.72%	38.30%	46.17%	55.41%	61.91%	68.62%	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> As deductions from DWP have been suspended for 3 months, it is possible that council tax collection rates for LCTS claimants may be affected. ➤ For December 2020, numerator is £571,535.29 and denominator is £832,841.29. December's outturn follows the pattern of previous months, showing a steady increase in the total collected; albeit with slight monthly fluctuations. ➤ CV 21 is also monitored as part of UDC's formal quarterly and annual performance monitoring processes (KPI 17). By the end of Quarter 3 2019/20, we had collected 72.82% (numerator - £543,451.73, denominator - £746,276.35). Comparing year-on-year, collection rates have decreased but only by a small margin. December 2020's outcome supports this trend.

CV 28 – Rent Collected as a Percentage of Rent Owed (excluding arrears b/f)

April 2020	May 2020	June 2020	July 2020	August 2020	Sept 2020	Oct 2020	Nov 2020	Dec 2020	
97.24%	96.10%	99.75%	99.80%	97.96%	99.45%	99.83%	98.79%	98.99%	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> Measures the effectiveness and efficiency of rent collection service, and identifies the impact of the pandemic on collection. ➤ For December 2020, numerator is £11,626,566.49 and denominator is £11,745,178.32. ➤ CV 28 is also monitored as part of UDC’s formal quarterly and annual performance monitoring processes (RB 02). By the end of Quarter 2 2019/20, we collected 100.50% of rent owed (numerator - £11,793,851.19, denominator - £11,735,120.11 ➤ December 2020’s outturn represents a similar outturn to recent months, but clearly year-on-year performance has slightly decreased.

CV 51 – Amount paid in Local Restrictions Support Grants

W/C 23 rd November 2020	W/C 30 th November 2020	W/C 7 th December 2020	W/C 14 th December 2020	W/C 21 st December 2020	W/C 28 th December 2020					
LRSB - £360,762.00	LRSB - £120,360.00 LRSB Tier2 - £41,147.00	LRSB (Closed) - £120,360.00 LRSB (Open) - £42,731	LRSB Closed - £31,672 LRSB (Open) pre-lockdown - £20,138 LRSB (Open) post lockdown 1 st instalment - £68,855 ARG - £107,000	LRSB (Closed) - £13,668.00 LRSB (Open) - £19,091.00 ARG - £134,000.00 LRSB (Open) Post-Lockdown - £12,722.00	No payments during this week	<table border="1"> <tr> <td>Short Term</td> <td>N/A</td> </tr> <tr> <td>Long Term</td> <td>N/A</td> </tr> </table> <ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> To ascertain the value of relief granted by UDC to businesses in alignment with government guidance. ➤ Total value LRSB paid since W/C 23rd November 2020 - £1,018,496.00 	Short Term	N/A	Long Term	N/A
Short Term	N/A									
Long Term	N/A									

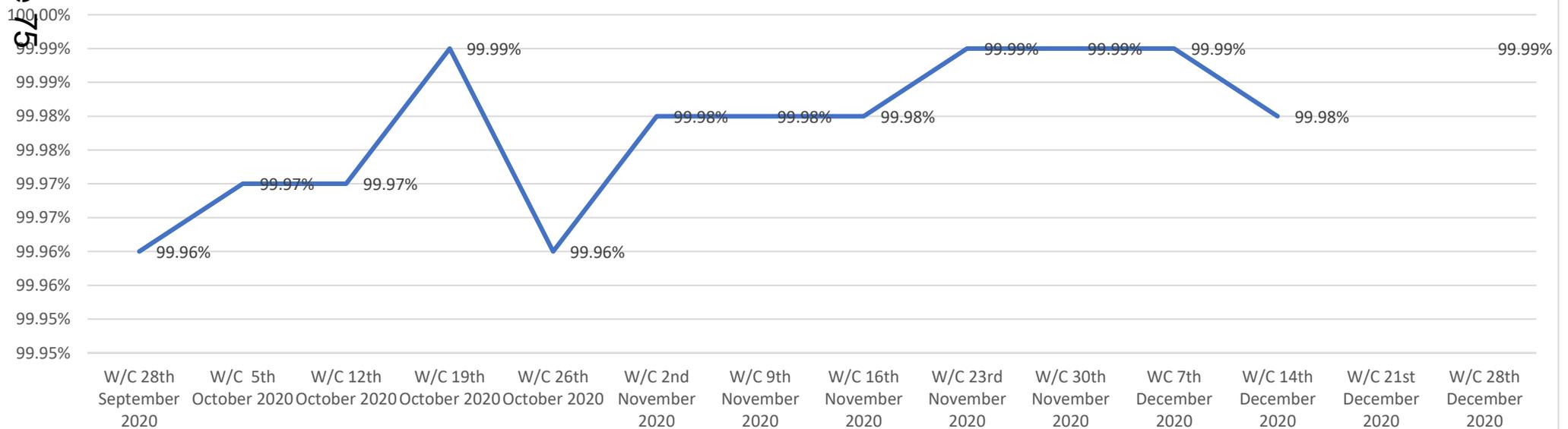
Street Services

CV 11 (KPI 15b) – Percentage of collections of waste and recyclables successfully made on first visit

Week Commencing 2 nd November 2020	Week Commencing 9 th November 2020	Week Commencing 16 th November 2020	<ul style="list-style-type: none"> ➤ Reason for monitoring: to ascertain the effect of COVID 19 on both service provision and crews. ➤ For week commencing 28th December 2020, out of a total of 46,688 bins to be collected, a total of 46,685 were collected. CV 11 is also monitored as part of UDC's formal quarterly and annual performance monitoring processes (KPI 15b). To achieve target at the end of Quarter 2 2020/21, the minimum outturn should be 99.99%. Given this, and that during Quarter 2 2019/20 the outturn was 99.96%, recent data outturns show performance has been sustained despite the pandemic. 	Short Term	N/A
99.98%	99.98%	99.98%			Long Term
Week Commencing 23 rd November 2020	Week Commencing 30 th November 2020	Week Commencing 7 th December 2020			
99.99%	99.99%	99.99%			
Week Commencing 14 th December 2020	Week Commencing 21 st December 2020	Week Commencing 28 th December 2020			
99.98%	No collections taken this week	99.99%			

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Percentage of waste and recyclable successfully collected on first visit (Max)



CV 41 – Number of accidents reported (Min)

October 2020	November 2020	December 2020	January 2021	February 2021	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> to monitor the number of accidents reported during the Covid-19 pandemic. ➤ CV 41 is monitored as part of UDC's quarterly performance monitoring as SS 02. For Quarter 2 2020/21, outturn was 5 and target was 2. ➤ Within December 2020, zero accidents were reported.
1	2	0	TBC	TBC	

CV 42 – Percentage of vehicles passing MOT without additional work (Max)

October 2020	November 2020	December 2020	January 2021	February 2021	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> to monitor the percentage of vehicles passing MOT without additional work during the Covid-19 pandemic. ➤ CV 42 is monitored as part of UDC's quarterly performance monitoring as SS 15. For Quarter 2 2020/21, 92.85% and target 100.00%. ➤ Within December 2020, the successful number of MOT tests carried out was 2 out of 2 tests were completed.
100.00%	100.00%	100.00%	TBC	TBC	

CV 43 – Percentage of defects reported which are not rectified or signed off during the quarter (Min)

October 2020	November 2020	December 2020	January 2021	February 2021	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> to monitor the percentage of defects reported which are not rectified or signed off during the Covid-19 pandemic. ➤ CV 43 is monitored as part of UDC's quarterly performance monitoring as SS 20. For Quarter 2 2020/21, outturn was 4.40% and target was 0.00%. ➤ Within December 2020, 3 defects out of 169 reported were not rectified or signed off during the month. This equates to 1.78%.
4.17%	4.02%	1.78%	TBC	TBC	

CV 44 – Percentage of overweight vehicles tipped (Min)

October 2020	November 2020	December 2020	January 2021	February 2021	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> to monitor the percentage of overweight vehicles tipped during the Covid-19 pandemic. ➤ CV 44 is monitored as part of UDC’s quarterly performance monitoring as SS 19. For Quarter 2 2020/21, outturn was 6.31% and target was 0.00%. ➤ Within December 2020, 20 overweight vehicles were tipped out of 306 vehicles tipped overall. Therefore, percentage of overweight vehicles tipped during December 2020 was 6.54%.
4.18%	6.55%	6.54%	TBC	TBC	

CV 47 – Percentage of Fly Tips cleared within 4 days report

October 2020	November 2020	December 2020	January 2021	February 2021	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> to monitor the percentage of overweight vehicles tipped during the Covid-19 pandemic. ➤ CV 47 is monitored as part of UDC’s quarterly performance monitoring as SS 12. For Quarter 2 2020/21, outturn was 0% and target was 82%. ➤ Within December 2020, 4 flytips were cleared within four working days out of a total of 5 flytips reported. Therefore the percentage of flytips cleared within 4 working days is 50%.
62.96%	100%	80.00%	TBC	TBC	

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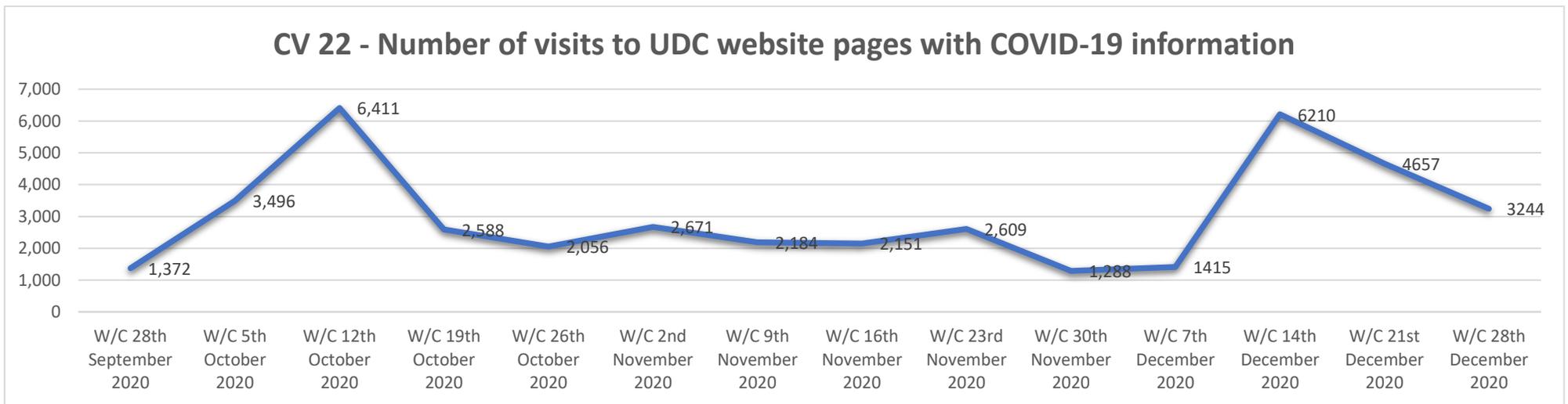
Website & Consultation

CV 22 – Number of visits to UDC website pages with Coronavirus information from all devices

Week Commencing 2 nd November 2020	Week Commencing 9 th November 2020	Week Commencing 16 th November 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> Provides an overarching impression of public engagement with UDC via the website during the COVID 19 pandemic. ➤ Outturn data provides the number of UDC’s coronavirus pages from all devices. Pages included are ones which contain substantial coronavirus content only. Alongside these quantities, text in italics cites the most-visited pages. ➤ Week Commencing 28th December 2020 saw a 30.3% decrease in the amount of traffic week-on-week.
2,671 (Significant increase in comparison to previous week; amongst the most visited subjects are business support and reporting of businesses that are open that should not be).	2,184 (Top performing individual pages include those providing advice for businesses and in particular any form of grant funding).	2,151 Top performing pages are all business-related with noted spike in interest in this area following the release of the latest online grant form for businesses on Wednesday.	

Week Commencing 23 rd November 2020	Week Commencing 30 th November 2020	Week Commencing 7 th December 2020
2,609 Other than new grants available, other pages that appear in the top echelon include those on getting a test, information on the latest local infection rates and general business resources.	1,288 Business support and grant funding information, are still amongst the most well-used pages, as is the information on getting a coronavirus test.	1,415 Information on the latest public health figures, grants for businesses and how to book a test continue to be the most popular recourses
Week Commencing 14 th December 2020	Week Commencing 21 st December 2020	Week Commencing 28 th December 2020
8,210 How to get a test, business support and business grants were the most popular dedicated pages. The majority of visitors are using the main Coronavirus to check or confirm the general tier/restriction information.	4,657 Users picking up information on business support and on the impact of the tier 4 restrictions which came into force on 26th December.	3,244 General resources page with nearly 2,500 hits. Pages which see a reasonable level of interest still include those offering information on getting a test, self-employed support and how to report a business that is open (when it should not be).

Short Term	↓
Long Term	↑



Committee:	Governance, Audit & Performance Committee	Date:
Title:	2020/21 PFI Annual Report	Tuesday 4 th February 2021
Report Author:	Oliver Knight, PFI & Performance Officer oknight@uttlesford.gov.uk Paula Evans, Customer Services & Performance Manager pevans@uttlesford.gov.uk	Key Decision: No

Summary

1. This report provides members with an annual update on the Uttlesford Leisure PFI contract for the 2020/21 financial year. It firstly provides a summary of the history, structure and governance of the contract. Following this, an overview is provided of how the Covid-19 pandemic has affected the Uttlesford Leisure Centres; advising of Covid-19 secure measures in place and the effect upon participation and service delivery. This report then considers the future landscape of the Uttlesford Leisure PFI contract; considering the challenges for the 2021/22 year and the remaining concession years.

Recommendations

2. None

Financial Implications

3. There are limited financial implications associated with this report. As detailed later, Uttlesford District Council's income from the contract has been affected; both in terms of the annual profit share, and income from the monthly Operator Fee. Members should also note that the Uttlesford Leisure PFI contract is the largest General Fund contract that the council has entered into to date. This is based on the term of the contract rather than the value.

Background Papers

4. The following papers were referred to by the author in the preparation of this report:
 - Uttlesford PFI Contract Documentation
 - Government, Audit & Performance Committee Reports, entitled Leisure Private Finance Initiative (Sept 2018), and PFI Contract Update (Sept 2019).
 - Policy & Procurement Note 02/20: supplier relief due to Coronavirus (March 2020), published by the Cabinet Office

Impact

- 5.

Communication/Consultation	Contract governance and compliance processes have been established to ensure all necessary communication and consultation requirements within the contract structure are met. Effective governance is delivered through scheduled contract meetings, and dedicated authority resource on contract monitoring/managing.
Community Safety	None
Equalities	None
Health and Safety	Health & Safety is embedded in the governance of the contract and regularly reviewed at monthly liaison meetings and the Annual Health & Safety Meeting. UDC representatives have discussed and reviewed all operating Risk Assessments prior to the reopening of the leisure centres during the Covid-19 pandemic.
Human Rights/Legal Implications	None
Sustainability	None
Ward-specific impacts	None
Workforce/Workplace	None

Situation

6. **Contract Structure** - On behalf of Uttlesford District Council, 1Life Management Solutions Limited operate three leisure centres under the Uttlesford Leisure PFI Contract: Lord Butler Leisure Centre; Great Dunmow Leisure Centre and Mountfitchet Romeera Leisure Centre. This contract was signed in May 2002, and has a 33 year duration, expiring in August 2035. The authority finances the PFI agreement through a Unitary Charge set at £36.2 million over the contract duration; which is paid to the Project Company (Linteum Uttlesford Limited) in monthly instalments throughout the duration of the contract. Appendix 1 provides an overview of the contract's parties, and their relationships.
7. All three centres support the authority's Health and Wellbeing priorities, by providing a range of various sport, leisure and well-being facilities and activities to a wide-ranging demographic across the district. The location of Mountfitchet Romeera Leisure Centre (adjacent to Forest Hall School) and Great Dunmow Leisure Centre (adjacent to Helena Romanes School) also provide facilities and services to enable schools in the district to meet PE

curriculum requires, and to encourage participation in sport and development of sporting potential among pupils.

8. The monitoring and management of the contract is now undertaken within the Council's Customer Service & Performance service. The Customer Services & Performance Manager has the responsibility to act on behalf of the Authority for all actions and decisions relating to the contract, whilst the PFI & Performance Officer is a dedicated resource who works on contract monitoring and management.
9. **Covid-19 pandemic** – The onset of the Covid-19 pandemic since March 2020 has proved a troubling and tumultuous time for leisure operators, both within the public and private sectors. As such, it has been essential during this period that all contract parties correspond effectively to ensure an open and honest dialogue.
10. In accordance with the government's directive, all three Uttlesford Leisure Centres closed on Friday 20th March 2020. 1Life activated pre-prepared closedown procedures; ensuring ongoing health and safety (e.g. regular water course flushing) and building insurance requirements (e.g. twice-weekly building checks) were met. The majority of 1Life staff working on the Uttlesford Contract were furloughed until further notice. All memberships were initially frozen, and 1Life partnered corporately with Les Mills OnDemand to continue to provide online fitness, and health & wellbeing opportunities to members.
11. The existing contract management framework incorporating all project parties continued to function. This framework is composed of Principals Meetings (quarterly), Liaison Meetings (monthly) and IPS Meetings (quarterly). Indeed, during the first few months of closure, some of these forums became more frequent. As an example, 1Life's Representative and the UDC's PFI Team met electronically at least once a week to ensure any issues were addressed expediently and effectively. It has also been essential to ensure that all existing Statutory Compliance and Planned Maintenance/Lifecycle Tasks remained on course despite the closure. Emcor – the Facilities Management Contractor – utilised the closure period effectively to complete both high-priority and large scale maintenance projects (e.g. replacement of lifts throughout the contract). Continuing to undertake such tasks during the closure period ensured that the buildings would be operational as soon as possible once the national directive was provided to reopen, minimising any impact on normal operation.
12. In April, UDC's PFI team commenced planning for reopening with 1Life's Executive Team. At the heart of discussions, all project parties agreed it was of paramount importance to ensure facilities were open in a Covid-19 secure manner. As such, it was decided that a phased approach to the reopening of services throughout the contract was essential; to manage the risk to both users and staff. Advice was taken from all relevant sources - inclusive of Sport England; UK Active and relevant non-governmental bodies (NGBs).
13. Ahead of reopening, Covid-19 secure measures were implemented across all three centres. This included for example; hand sanitizer stations throughout all

centres; reduced capacities of gym environments to enable social distancing; review of customer journey within the centre to reduce risk of transmission, and assessment of ventilation levels within individual zones. Risk Assessments for each area and activity were developed by 1Life, and reviewed by UDC.

14. On Monday 27th July 2020, Phase 1 of the prepared phased reopening plans was enacted. Lord Butler Leisure Centre & Mountfitchet Romeera Leisure Centres were reopened; offering reduced opening hours for gym sessions and virtual Les Mills exercises classes. The Sports Hall was also opened for activities which were determined safe by the relevant non-government body, and if financially viable. Outdoor areas including tennis courts/ATP were also reopened, subject to effective risk control. To facilitate reopening of the three Uttlesford Leisure Centres, a total of 14 staff were taken off furlough from 20th July to support reopening. The remainder of staff remained on furlough until demand for services increased. On 7th August 2020, Mountfitchet Romeera Leisure Centre also reopened, offering similar services. At this point, a number of activities still remained closed; the crèches, health suite; GP referral scheme; changing rooms and swimming pools.
15. Phase 2 of reopening commenced towards the end of August 2020, with the pool at Lord Butler Leisure Centre reactivated in September 2020, and group exercise classes reintroduced (in a Covid-secure manner). Great Dunmow Leisure Centre's pool reopened in October 2020. The decision to reopen Lord Butler Leisure Centre's pool ahead of Great Dunmow's created some complaints locally. This decision was made collectively between all project parties; to ensure the transmission risk of Covid-19 was managed as effectively as possible, and that the facilities remained commercially viable.
16. Following the announcement of the second national lockdown, all three Uttlesford Leisure Centres closed from 5th November 2020. Previous closedown procedures were implemented, and the majority of staff were furloughed again. During this second lockdown, both Helena Romanes School and Forest Hall Academy continued to use the facilities to enable fulfilment of curriculum requirements.
17. The Uttlesford Leisure Centres reopened again on 2nd December 2020, and all services open prior to the second lockdown were provided. Reopening plans then were made to relaunch additional contract services as of January 2021. Preparations to trial the reopening of dry changing rooms, offering short sessions with intensive cleaning measures in between were drafted; as were cleaning and management procedures for the reopening of the Health Suite at Lord Butler Leisure Centre. The recommencement of the GP Referral Scheme was also scheduled for January 2021; providing that valuable service to the local community.
18. Following Uttlesford District's entry into Tier 4 on 26th December, all three Uttlesford Leisure Centres however again closed for the third time, and remain closed given the current national lockdown. Whilst specific plans for the reopening of services have not been discussed with the Operator, the PFI team are still undertaking monthly liaison meetings, and where possible

participating in various industry Webinars to stay updated with relevant developments. Before reopening, it will be necessary for 1Life & Uttlesford District Council to collectively review again all risk assessments and Covid-19 secure measures, to ensure their effectiveness of the then service delivery.

19. **Participation** – The table below provides a year-on-year comparison for the most recent quarter (October 20 to Dec 20), highlighting the impact on attendance numbers and ultimately to contract income. Across the contract, this data represents a year-on-year reduction of 46% in participation:

Year	Lord Butler, SW	Great Dunmow	Romeera, Stansted	Total
Oct 19 to Dec 19	70,795	59,820	12,746	143,361
Oct 20 to Dec 20	20,588	26,215	9,474	56,277

20. Despite this reduction in participations, it is important to note that reopened services have primarily been well patronised:

- a.) Great Dunmow Leisure Centre’s gym registered as having the highest participation during some weeks in the summer across the entire 1Life portfolio.
- b.) Lord Butler Leisure Centre’s SwimSchool program created the highest percentage to return across the entire 1Life portfolio.
- c.) Group Exercise classes regularly averaged at 90% to 100% capacity throughout all three sites.

21. **Supplier Relief** - In alignment with the Cabinet Office’s publication of *Policy & Procurement Note 02/20: supplier relief due to Coronavirus*, UDC agreed to waive any availability and performance deductions which would have been incurred through the contract’s Payment Mechanism. Despite changes to services provided, the council continued to make all regular monthly Unitary Charges, to ensure service continuity throughout the Covid-19 pandemic. In consultation with Members, Senior Officers have also waived 1Life’s obligation to pay the Operator Fee (approximately £14,500 per month) for the 2020/21 year, pursuant to the PFI’s Leisure Management Fee Contract.

22. **The Future of the Contract** - As there is no determined end to the current lockdown at present, UDC Officers continue to work closely with their PFI partners to provide re-assurance of the contract’s sustainability for all parties.

23. The recent publication of 1Life’s Full Accounts (for year ending September 2019) has raised concerns given statements on their status as a going concern. However, subsequent conversations with Linteum, the Project Company, have provided further information regarding the anticipated financial

position of 1Life in the coming months. Indeed, forecasts for income and expenditure up until the end of March 2021 that have been discussed and submitted to the Project Company have shown that very little of any borrowed collateral would need to be utilised. The Board have been further encouraged in that the forecasts have been cautionary and have not included some significant funding income that may be granted in the coming months, nor proceeds from any ongoing Business Interruption Insurance claims.

24. 1Life has advised that should the need arise, they would look to protect contracts such as the Uttlesford PFI within their portfolio. The contract has vast health & wellbeing benefits for the local community, and additionally their PFI contracts are noted as the most profitable ones within their contract portfolio.
25. Following these discussions the council is assured that it will not be in a position to have to seek alternative provision of its leisure services in the short term. Should the pandemic enforce prolonged or further lock-downs, like all leisure facilities 1Life will no doubt suffer from a financial and reputational perspective. We are hoping that recent lobbying of Government may change thoughts on the opening of leisure facilities to support the general health and well-being of the nation.
26. Officers have submitted an application in partnership with 1Life to the National Leisure Recovery Fund, which is currently being processed. It is hoped the outcome of this application will soon be communicated to the Council. Further financial assistance may also be provided through 1Life's claim under the PFI contract's Business Interruption Insurance. This claim will now be progressed following the Supreme Court's judgement on the FCA's Business Interruption Insurance Claim test case; which was widely supportive of claimants despite the appeals of various insurers.
27. As the landscape of leisure industry evolves over the months ahead, all project parties will need to be flexible to ensure facilities are reopened in a Covid-19 secure manner; which is both feasible financially and provides the most extensive service provision possible in the circumstances. To this end, we will work collaboratively with all other parties to complete contract variations as necessary.
28. Officers will endeavour to update the Governance, Audit & Performance Committee as and when relevant and necessary to do so with any further developments.

Risk Analysis

29.

Risk	Likelihood	Impact	Mitigating actions
If the council does not manage/monitor	1	2	Weekly contact with Linteum/Pario/1Life Representatives as

<p>the PFI contract effectively due to a lack of partnership working during the Covid-19 pandemic, then this may lead to a loss of reputation for the Council as the contract owner, and 1Life as the leisure operator.</p>			<p>necessary. Multi-faceted contract monitoring (both operational & contract-level) by UDC of the contract.</p>
<p>If the PFI leisure contract does not provide value for money due to ineffective contract management, then there may be a negative impact on the investment made by the Council</p>	<p>2</p>	<p>2</p>	<p>Monthly monitoring of Payment Mechanism Management of governance controls relating to contract finance and operational performance; taking into account necessary variations due to Covid-19.</p>

1 = Little or no risk or impact

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

3 = Significant risk or impact – action required

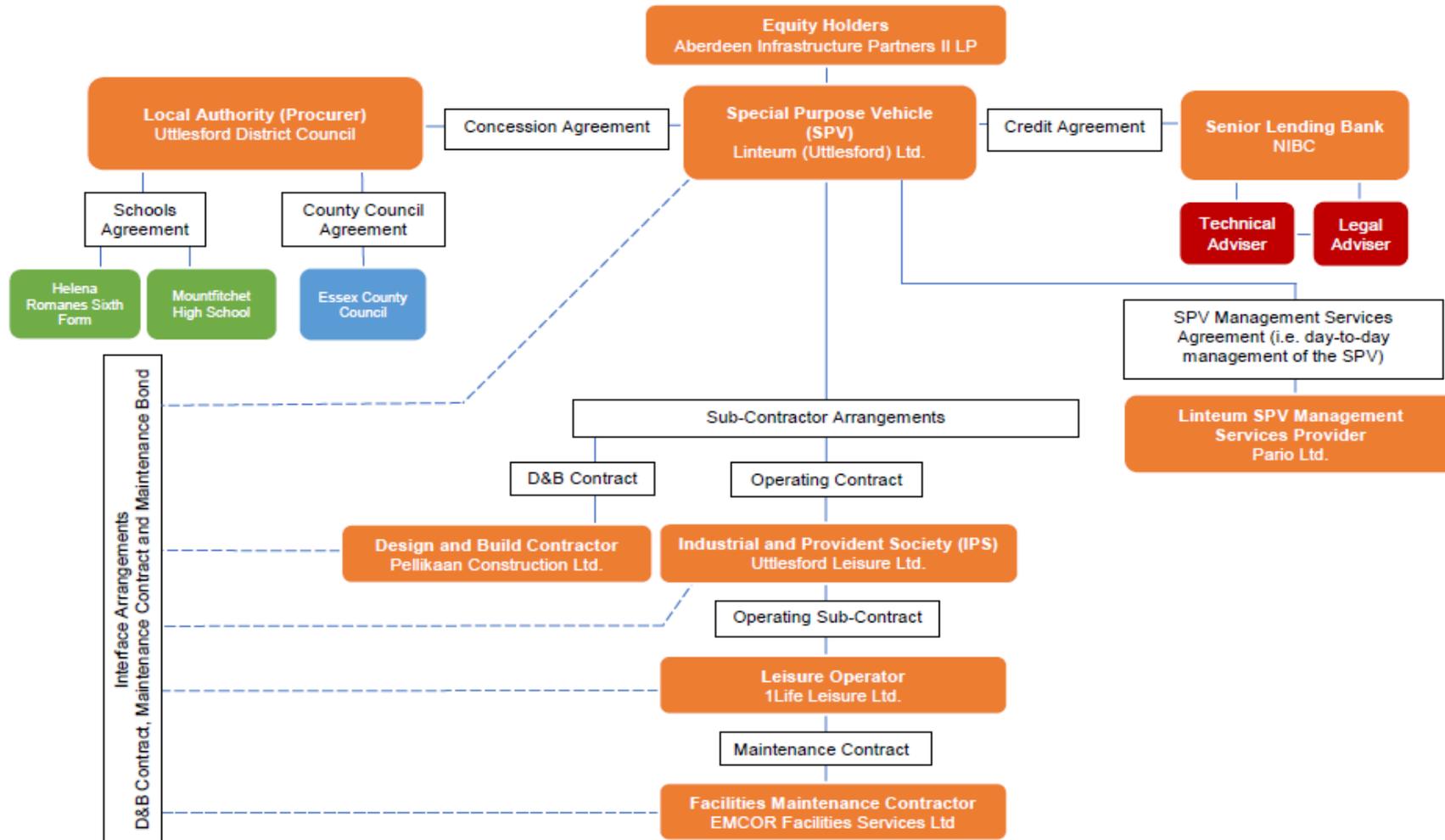
4 = Near certainty of risk occurring, catastrophic effect or failure of project.

Appendix 1: COVID-19 PI Report – Contract Structure

Appendix A – Part 1 Contract Structure

March 2018

Linteum (Uttlesford) Ltd. PFI Contractual Diagram



Appendix A – Part 2 Summary of Contractual Documents

- The Concession Agreement between the Authority and Linteum Uttlesford Limited (the SPV) governs the design, construction/refurbishment, finance, maintenance and operation of the centres. During the operation phase, it also determines the provision of the leisure service through Linteum on behalf of the authority. Linteum sub-contract the day-to-day management of the project to Pario Limited (a specialist PFI management service provider).
- Linteum sub-contract the operation of all three leisure centres to an Industrial & Provident Society (IPS).
- The IPS sub-contract the operation of the centres to a lifestyle and management solutions company – 1Life Management Solutions Limited.
- 1Life sub-contract the hard facilities management and maintenance of the centres to a maintenance services provider; Emcor Facilities Services Limited.
- The Leisure Management Fee Contract governs the operator payments by the 1Life Management Solutions, and also any Excess Profit Share which the authority is entitled to.
- The credit arrangements are governed by the Credit Agreement, a Debenture and also a Security Trust Deed.
- Head Leases & Sub-Leases are included for all three leisure centres.
- School Management Agreements exist for both Helena Romanes School and also Forest Hall School, permitting the school to use the facilities for an agreed amount of time annually. This is agreed by both 1Life & the authority.

Agenda Item 8

Committee:	Governance, Audit and Performance	Date:	Thursday, 4 February 2021
Title:	Council Procedure Rules: time permitted for questions to the executive and committee chairs		
Report Author:	Ben Ferguson, Democratic Services Manager bferguson@uttlesford.gov.uk		

Summary

1. The Council Procedure Rules stipulate that at every ordinary meeting of Full Council an item is dedicated to the questioning of executive Members and committee chairs.
2. The time period provided for in the Constitution states that this question time will not exceed 15 minutes.
3. At a Member's request, the Governance, Audit and Performance Committee are asked whether a review into the time currently permitted for questions to the executive and committee Chairs is warranted. Any proposal arising from the Committee will be taken as a recommendation to Full Council for approval.

Recommendations

4. To consider whether there is a need to amend Rule 2.4 (Section 2, Part 4 – Rule 2.4), relating to the time permitted for questions to the executive and committee chairs at Full Council.
5. If the Committee are minded to amend Rule 2.4, Members are asked to either:
 - i. instruct officers to draft a report for consideration at the next meeting, recommending an extension of the permitted time to ask questions to 30 minutes, or;
 - ii. to establish a Task & Finish Group in order to carry out a review of the time permitted for questions to the executive and committee chairs. The Task & Finish Group's recommendations would be brought back to the Committee for endorsement and comment.

Financial Implication

6. None.

Background Papers

[Uttlesford District Council - Constitution: Section 2, Part 4](#)

Impact

7.

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 at this stage, although an increase in question time may mean that Council meetings take longer, with a consequent increase in the time taken in officer and member attendance.

Situation

8. Under the Council Procedure Rules (Section 2, Part 4 – Rule 2.4), the time permitted for questions to the executive and committee Chairs is limited to 15 minutes:
 - *For a period not exceeding 15 minutes for the Leader, members of the executive and Chairmen of committees to receive questions from members, to permit the Leader, members of the executive or Chairmen to reply and for the questioner to ask a supplementary question but without any debate on the issues raised;*
9. Comments have been made at Full Council regarding the increased number of Cabinet members under the current Administration and the subsequent need to extend the question time permitted.
10. As the number of Cabinet members has increased from five, in 2017, to the current ten, a straightforward proposal would be to increase the permitted time for questions from 15 to 30 minutes.
11. However, the Committee may feel that an alternative, more time effective solution is required. For example, all questions could be submitted in advance of the meeting and published with the agenda papers, thereby negating the need to read the question out and saving time in the process.
12. If Members are minded to explore solutions beyond a simple time extension, it is recommended that a Task and Finish Group is established in order to carry out a thorough review.

Risk Analysis

13.

Risk	Likelihood	Impact	Mitigating actions
That the current Rule provides elected members insufficient time to ask questions of the executive and committee chairs.	3	3	To review the current Rule and amend as required.

- 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.