



Public Document Pack

Uttlesford District Council

Chief Executive: Peter Holt

Governance, Audit and Performance Committee

Date: Monday, 31st January, 2022

Time: 7.00 pm

Venue: Council Chamber - Council Offices, London Road, Saffron Walden,
CB11 4ER

Broadcast: <https://uttlesford.moderngov.co.uk/ieListDocuments.aspx?CId=337&MId=5748>

Chair: Councillor E Oliver

Members: Councillors H Asker, G Driscoll (Vice-Chair), J Emanuel, M Foley,
A Khan, B Light, S Luck and J De Vries

Substitutes: Councillors A Dean, P Fairhurst, V Isham, G Smith and M Sutton

Public Speaking

At the start of the meeting there will be an opportunity of up to 15 minutes for members of the public to ask questions and make statements subject to having given notice by 12 noon two working days before the meeting. Please register your intention to speak at this meeting by writing to committee@uttlesford.gov.uk

Public speakers will be offered the opportunity for an officer to read out their questions or statement at the meeting, and encouraged to attend the meeting via Zoom to readout their questions or statement themselves. For further information, please see overleaf. Those who would like to watch the meeting live can do so virtually here. The broadcast will be made available as soon as the meeting begins.

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 - 8
To consider the minutes of the previous meeting.
- 3 Internal Audit Interim Report 2021/22** 9 - 12
To receive the Internal Audit Interim Report 2021/22.
- 4 Quarter 3 2021/22 Performance Indicator Report** 13 - 21
To receive the Performance Indicator Report for Quarter 3 2021/22.
- 5 2021/22 Corporate Risk Register - Update 2** 22 - 40
To receive an updated Corporate Risk Register 2021/22.

PART 2

Exclusion of Public and Press

- 6 Norse Update** 41 - 45
To consider the Norse Update report.

MEETINGS AND THE PUBLIC

In light of the High Court judgement regarding the extension of remote meeting regulations, Council, Cabinet and Committee meetings have returned to in-person and have been held on-site since Thursday 6th May 2021. However, due to social distancing measures and capacity considerations in line with the Council's risk assessment, public access and participation will continue to be encouraged virtually until further notice.

Members of the public are welcome to listen live to the debate of any of the Council's Cabinet or Committee meetings. All live broadcasts and meeting papers can be viewed on the Council's calendar of meetings webpage.

Members of the public are permitted to speak at this meeting and will be encouraged to do so via the video conferencing platform Zoom. If you wish to make a statement via Zoom video link, you will need to register with Democratic Services by midday two working days before the meeting. There is a 15 minute public speaking limit and 3 minute speaking slots will be given on a first come, first served basis. Those wishing to make a statement via video link will require an internet connection and a device with a microphone and video camera enabled. Those wishing to make a statement to the meeting who do not have internet access can do so via telephone.

Technical guidance on the practicalities of participating via Zoom will be given at the point of confirming your registration slot, but if you have any questions regarding the best way to participate in this meeting please call Democratic Services on 01799 510 369/410/467/548 who will advise on the options available.

Agenda and Minutes are available in alternative formats and/or languages. For more information please call 01799 510510.

Facilities for people with disabilities

If you are deaf or have impaired hearing and would like a signer available at a meeting, please contact committee@uttlesford.gov.uk or phone 01799 510 369/410/467/548 as soon as possible prior to the meeting.

For information about this meeting please contact Democratic Services

Telephone: 01799 510369, 510548, 510410 or 510467

Email: Committee@uttlesford.gov.uk

General Enquiries

Council Offices, London Road, Saffron Walden, CB11 4ER

Telephone: 01799 510510

Fax: 01799 510550

Email: uconnect@uttlesford.gov.uk

Website: www.uttlesford.gov.uk

Agenda Item 2

GOVERNANCE, AUDIT AND PERFORMANCE COMMITTEE held at COUNCIL CHAMBER - COUNCIL OFFICES, LONDON ROAD, SAFFRON WALDEN, CB11 4ER, on MONDAY, 22 NOVEMBER 2021 at 7.00 pm

Present: Councillor E Oliver (Chair)
Councillors H Asker, G Driscoll (Vice-Chair), J Emanuel, M Foley, A Khan, B Light, S Luck and J De Vries

Officers in attendance: P Holt (Chief Executive), R Auty (Assistant Director - Corporate Services), E Brooks (Internal Audit Manager), P Evans (Customer Services and Performance Manager), B Ferguson (Democratic Services Manager), C Gibson (Democratic Services Officer), P Hardy (Electoral Services Manager), A Knight (Assistant Director - Resources), W Lancaster (Internal Auditor) and A Webb (Director - Finance and Corporate Services)

GAP23 APOLOGIES FOR ABSENCE AND DECLARATIONS OF INTEREST

Apologies were given by Councillors Foley for lateness.

Councillors De Vries, Asker and Light declared an interest in Agenda Item 5 as members of Saffron Walden Town Council.

GAP24 MINUTES OF THE PREVIOUS MEETING

Councillor Light asked for an update in respect of the credit rating provided by Moodys. The Director – Finance and Corporate Services indicated that this had yet to be provided.

The minutes of the meeting held on 28 September 2021 were approved as correct.

GAP25 PUBLIC SECTOR AUDITOR APPOINTMENT 2023/24 - 2027/28

The Chair introduced the item and explained the background to the report.

In response to various questions the Assistant Director – Resources explained the two available options for the procurement of the external auditor appointment and that these arrangements had been in place since the abolition of the Audit Commission. She outlined the reasons for the recommendation.

RESOLVED that GAP Committee:

- Recommend to Council that it 'opts in' to the appointing person arrangements made by Public Sector Appointments (PSAA) for the appointment of external auditors.

GAP26 GRANTS GOVERNANCE UPDATE

The Audit Manager gave a summary of the report that provided a service update on the progress being made against the recommendations reported to GAP in June 2021. She said that she had been liaising frequently with the Communities Manager and the Community Development Officer, but that not enough time had elapsed for a formal Internal Audit follow-up. She said that a new Grants Policy was being developed to improve the control framework and that once in place, Internal Audit would undertake follow-up works.

The report was noted.

GAP27 COMMUNITY GOVERNANCE REVIEW 2021 - RESULTS FROM FINAL CONSULTATIONS

The Electoral Services Manager gave a summary of the report that incorporated the final feedback on the proposals from the initial consultation. He explained that the Council did not have the power to change district ward, county electoral division boundaries, or electoral arrangements for these administrative levels. However, if an Order was made by the Council to alter the parish ward boundary, then the Local Government Boundary Commission for England would consider making an alteration to the district wards and county divisions affected.

Councillor Foley joined the meeting at 7.24 pm.

Discussions focussed on the recommendations made relating to Saffron Walden Town Council.

RESOLVED that GAP Committee approves the recommendations as set out in Appendix A of the report.

GAP28 REVIEW OF PILOT SCHEME RULE 2.4: TIME PERMITTED FOR QUESTIONS TO THE EXECUTIVE AND COMMITTEE CHAIRS

Councillor Driscoll, as Chair of the Task and Finish Group gave a summary of the report that included a report back from the Task and Finish Group that had met on 8 November 2021. He thanked Councillors Emanuel and Khan for their input.

Within the recommendation, Members discussed the issue of whether 5 or 10 working days would be a reasonable period of time to provide written answers after the meeting. Most Members concluded that the preference would be for 5 days, wherever possible.

Councillor Light dissented from this view and spoke against the recommendation; she said that she felt that public debate was being stifled, there was a lack of accountability and that it was a travesty of democracy.

RESOLVED that GAP Committee recommends to Council that the Constitution be amended in regard to Rule 2.4 of the Council Procedure Rules and the associated protocol as set out in Appendix A to the report, and that written answers be provided after the meeting within 5 working days wherever possible.

GAP29 **QUARTER 2 2021/22 PERFORMANCE INDICATOR REPORT**

The Customer Services and Performance Manager gave a summary of the report, which presented the Quarter 2 2021/22 outturn and data analysis for all Key Performance Indicators (KPI's) and Performance Indicators (PI's). She apologised for the absence of the PFI and Performance Officer.

She drew Members' attention to paragraph 17 of the report that detailed the six KPI's that had exceeded the 10% performance threshold and had a 'red' status.

The Chief Executive provided an overview of PI's and said that moving forward he would be looking for more comparison with similar local authorities and a more selective focus on specific PI's. He said the intention would be to focus on 3 to 5 indicators in the first instance; the concern being that too much detail was being provided with too little deep analysis.

Members generally supported the Chief Executive's proposed way forward, particularly looking for comparisons with similar local authorities.

In response to various questions the Customer Services and Performance Manager and the Assistant Director – Resources:

- Clarified that in relation to KPI 06 (Time taken to process Housing Benefit/ Council Tax Benefit) being 'red', there had been some staff turnover and additional administration needs due to track and trace commitments. Members asked for some comparisons across the east of England.
- Provided an explanation for PI 02 (Average time to pay supplier invoices) being red and agreed to provide further details. The importance of cashflow was stressed.
- Agreed to provide further details in respect of information relating to temporary accommodation and bed & breakfast accommodation when looking at KPI 08 (Average re-let time in days) and PI 16 (Number of households living in temporary accommodation).
- Agreed to provide further information in respect of KPI 05 (Percentage of Council Tax collected) as to whether this was a significant issue and how many residents were in arrears. It was stated that there was a fully supported programme available for those in debt.
- Agreed to provide further information on PI 07 (level of achievement attained under the Equality Framework for Local Government) when compared to neighbouring local authorities.

Key areas mentioned by Members relating to Performance Indicators included productivity and customer services.

Councillor Khan referred again to his three major current concerns as being housing, employment and debt levels. He also sought clarification on the differences between key Government targets and local targets.

The Chief Executive said that he would be looking to bring something back to GAP in respect of qualitative issues such as productivity or poverty.

Members noted the Quarter 2 2021/22 Performance Indicator report.

GAP30 2021/22 CORPORATE RISK REGISTER UPDATE - BORROWING & INVESTMENTS

The Director – Finance and Corporate Services gave a summary of the report, that advised Members of a new risk in the 2021/22 Corporate Risk Register relating to borrowing and Investments.

In response to various questions the Director – Finance and Corporate Services said that:

- Proper process had been followed both in respect of QC opinion and in discussions with CIPFA.
- References had been made to 2023/24 as this was the first full portfolio year of rental income. He said that he could provide anticipated figures for the current year and 2022/23.
- CIPFA's position was that Councils should not make commercial investments 'purely for yield'.
- Risks had been assessed if assets had to be sold and staff were currently working through various modelling scenarios.
- In the event of the Council being forced to sell assets, the Council would make a sizeable profit.

RESOLVED that Members note the inclusion of a new risk relating to Borrowing and Investment (**21-CR-12**) in the 2021/22 Corporate Risk Register.

GAP31 EXCLUSION OF PUBLIC AND PRESS

AGREED that the public and press be excluded due to consideration of items containing exempt information within the meaning of Section 1001 and paragraph 3 part 1, Schedule 12A of the Local Government Act 1972, in respect of information relating to the financial or business affairs of any particular person (including the authority holding that information).

GAP32 INTERNAL AUDIT REPORT - UDC GOVERNANCE ARRANGEMENTS WITH UNSL

The Audit Manager gave a summary of the report, which presented a review of UDC's internal governance arrangements with Uttlesford Norse Services Limited (UNSL).

GAP33 UDC INTERNAL GOVERNANCE ARRANGEMENTS WITH UNSL - UDC MANAGEMENT TREATMENT RESPONSE PLAN

The Chief Executive gave a summary of the report, which provided a Treatment Response Plan to address issues identified by the Internal Audit review of UDC's Internal Governance Arrangements with UNSL. He also tabled an additional document that further addressed compliance assurance requirements.

Members discussed the reports.

The Chief Executive gave an indication of timescales and said that he intended to report back to the next GAP meeting.

The Chair thanked the Internal Audit team for their report. He noted the report and that there would be a follow-up report brought to the next meeting.

The meeting closed at 8.52 pm.

Agenda Item 3

Committee: Governance, Audit and Performance Committee

Date:

Monday, 31
January 2022

Title: Internal Audit Interim Report 2021/22

Report Author: Elizabeth Brooks, Internal Audit Manager

EBrooks@uttlesford.gov.uk

Summary

1. This report summarises the work that Internal Audit has undertaken from April to December 2021 and sets out the forthcoming work to end of March 2022.

Recommendations

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

Financial Implications

3. None

Background Papers

4. None

Impact

- 5.

Communication/Consultation	This report has been discussed with, and noted by, CMT during January 2022.
Community Safety	None
Equalities	None
Health and Safety	None
Human Rights/Legal Implications	None
Sustainability	None
Ward-specific impacts	None
Workforce/Workplace	None

Situation

1. Update on 2021-22 Plan Delivery

1.1. The Audit Manager role is shared between Chelmsford City Council and Uttlesford District Council, with the Audit Manager providing 18 hours per week to UDC. Current resourcing is therefore as follows:

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

1.2. The Internal Audit plan for 2021-22 was approved by GAP Committee in February 2021. We are on track to complete the plan by end March 2022, in line with our KPIs. Further deferrals may need to be made to accommodate any emerging high priority/urgent pieces of work as necessary; these will, however, be discussed and agreed with management.

2. 2021-22 Plan Update

a) Work Completed

Report Title	Assurance Rating	Key Issues Arising
Uttlesford Norse Governance Arrangements		The review of UDC's internal governance arrangements with Uttlesford Norse Services Limited (UNSL), and management treatment response plan was presented to GAP in November 2021.
Conflicts of Interest	Moderate	A high priority recommendation was made relating to developing a framework for managing risks arising from potential conflicts of interest, especially officer roles perceived to be at higher risk of bribery and corruption. Five medium priority recommendations were also made, including ownership, oversight and effectiveness and efficiency of the current system of updating the Officer registers of Interest and Gifts and Hospitality; and consideration of implementing recommendations and best practice made in the Local Government Ethical Standards 2019.
Electoral Registration and Conduct of Elections	Substantial	Identified risks are being managed and no recommendations are required at this stage.
NEPP (North Essex Parking Partnership)	Substantial	Identified risks are being managed and no recommendations are required at this stage.
Medium Term Financial Strategy	n/a	This was an advisory piece of work, therefore providing an assurance opinion was not appropriate, however, we noted that identified

Report Title	Assurance Rating	Key Issues Arising
		risks are being managed and no recommendations are required at this stage.

b) Work in Progress as at December 2021

Audit Title	Status
Covid 19 Grants	Review of the Council's governance and internal control arrangements for awarding Covid-19 support to recipients, and monitoring funding usage to ensure that the grants awarded are within the prescribed grant conditions. Final Report due February 2022.
Safeguarding	To evaluate the governance and internal control arrangements in place in respect of the Council's safeguarding responsibilities and assess whether the risks which may impact on the Council's ability to comply are being managed effectively. Final Report due February 2022.
Leasehold Service Charges	Review of the methodology for the calculation of Leasehold Service Charges and assess the adequacy of supporting documentation for charges. Final Report due February 2022.
Income Generating Waste	Review of the collection of income generating waste, from residential and commercial premises, including the handling of income and debt recovery, as well as inventory and security of trade waste bins and sacks. Final Report due February 2022.
Planning Interventions	Review of the Council's arrangements for managing breaches of Planning Control/Permissions. Final Report due February 2022.
RIPA (Regulation of Investigatory Powers Act) & CCTV	Review of the Council's policy and procedures in relation to RIPA and monitoring of compliance with its obligations, and reviewing the installation, management and monitoring of CCTV in line with legislation, policy and guidance. Final Report due February 2022.

c) Work Scheduled to 31st March 2022

Audit Title	Indicative Scope
Risk Management	Addition to Plan. To review the Council's approach to Corporate Risk Management.
Leisure PFI	To review the governance arrangements for the Leisure PFI contract including roles and responsibilities, reporting and performance monitoring.

Audit Title	Indicative Scope
Business Continuity and Emergency Planning	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 and internal/external communications and liaison.
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.

d) Deferrals/Cancellations

- **Procurement and Contract Management** - deferred to 2022/23 due to current wider Council work in this area.
- **Climate Change** - deferred to 2022/23 due to current wider Council work in this area.
- **Local Plan and New Communities** – deferred to 2022/23 due to current wider Council work in this area.
- **Commercial Investment Strategy/ Digital Strategy/ Cyber Security** – superseded by wider review of Council approach to Risk Management. To revisit in 2022/23.

Risk Analysis

6.

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.

Agenda Item 4

Committee:	Governance, Audit & Performance Committee	Date:
Title:	Quarter 3 2021/22 Performance Indicator Report	Monday 31 st January 2022
Report Author:	Oliver Knight, PFI & Performance Officer Oknight@uttlesford.gov.uk 01799510440	Key Decision: No

Summary

1. As set out at the November 2021 Governance, Audit and Performance Committee meeting, discussions have been taking place about extensive revisions to the way the Council collects, presents and uses performance data.
2. This process will take some time to develop, but officers are able to share with members the first of a new-style performance report. The report now presents a general summary of Quarter 3 2021/22 performance data and analysis for all Key Performance Indicators (KPIs), Performance Indicators (PIs) and service indicators at a strategic level.
3. The report also identifies individual indicators whereby additional analysis will be undertaken to determine the causes of a short-term decline in their performance levels.

Recommendations

4. None

Financial Implications

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

Background Papers

6. 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

- 7.

Communication/Consultation	None
Community Safety	None
Equalities	None beyond service improvement on the equalities performance indicator
Health and Safety	None

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

Situation

8. The format of the quarterly performance report has changed significantly this quarter; instead of individual PI listings, it provides a summarised overview of the performance of key indicators along with additional high-level data analysis.
9. Appendix A therefore now presents a performance summary for Quarter 3 2021/22 (1st October 2021 to 31st December 2021) for all Key Performance Indicators (KPI), Performance Indicators (PI) and local service-specific indicators, collected and reported by the authority. Outturn data for this quarter is shown in bold.
10. The report has been structured into three sections;
 - Page 1 shows a general RAG performance summary of a newly selected basket of Corporate Indicators (those indicators deemed as monitoring key service provision within the district). For the 2022/23 year, these indicators will be cross referenced to one of the four corporate themes to provide further performance transparency.
 - Pages 2 and 3 provide a service-specific summary of performance, alongside a short-term trend analysis for all indicators
 - Page 4 identifies two indicators whereby additional root cause performance analysis will be undertaken and reported back to both the Corporate Management Team and this Committee.
11. All data and analysis has been reviewed by the Corporate Management Team and Joint Executive Team prior to being presented to this committee.
12. Data for the majority of PIs is collected and reported on a quarterly basis; no data has been included in the analysis for PIs monitored on an annual or half-year basis during this time period.
13. Performance is monitored against all targets agreed by the Corporate Management Team in March 2021 as part of the 2021/22 Annual Service Planning process.
14. Performance for all indicators during Quarter 3 2021/22 can be summarised as follows:

Status	Quarter 3 2021/22	
	39	46%
	9	11%
	35	43%

15. Of the 16 newly selected Corporate Indicators, there are five that have not met their target for Quarter 3 2021/22 but are within the 10% threshold and have an 'amber' status:

- KPI 03 Percentage of Non-domestic Rates Collected (Max)
- KPI 05 Percentage of Council Tax Collected (Max)
- KPI 08(a) Average time in days (all re-lets including time spent in works) (Min)
- KPI 14 Percentage of household waste sent for reuse, recycling and composting
- KPI 17 Local Council Tax Support Collection Rate

16. There are four KPIs that have exceeded the 10% performance threshold for Quarter 2 2021/22 and have a 'red' status:

- KPI 20 Average days lost per FTE through sickness absence based on the rolling year
- PI 46 Quality of Decisions: Percentage of Appeals upheld for Major Planning Applications as a proportion of Appeals Raised
- PI 47 Quality of Decisions: Percentage of Appeals upheld for Non-Major Planning Applications as a proportion of Appeals Raised
- HSG 22 Average Length of stay in B&B accommodation for families with children under 18

17. The short-term trend analysis across all indicator sets (as seen on Page 3) identified eight PIs where performance has dropped from Quarter 2. After reviewing and prioritising these indicators, the Corporate Management Team agreed that further analysis of the following two indicators would be undertaken in the form of a 'deep-dive' review:

- PI 24(d) Appeals allowed for Enforcement Notices
- PI 60 Number of Insurance Claims made

The findings of these reviews will be presented to members at the next meeting of the Governance, Audit and Performance Committee.

18. Going forwards, trend analysis will be completed over a number of quarters to identify future opportunities for further 'deep-dive' exercises; to ensure long-term performance issues are investigated and addressed.
19. Wherever possible, comparative data will be obtained as part of the 'deep-dive' review and included in any presentation of findings.
20. If members have any questions regarding the data please do not hesitate to contact the report author.

Risk Analysis

21.

Risk	Likelihood	Impact	Mitigating actions
If performance indicators do not meet quarterly/annual targets then areas such as customer satisfaction and statutory adherence to government led requirements could be affected leading to a loss in reputation for the Council.	2 - Performance measures on or above target. Where necessary, accompanying notes to individual performance indicators detail improvement plans.	3 –The majority of service areas in the Council are customer-facing.	Performance is monitored by CMT, and the Governance, Audit & Performance Committee on a quarterly basis. The inclusion of give quarters of data helps to identify trends. Where necessary, the Performance Team provides trend analysis to support CMT and Service Managers in improving performance.

1 = Little or no risk or impact

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

3 = Significant risk or impact – action required

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

Appendix A – Quarter 3 2021/22 Performance Indicator Report

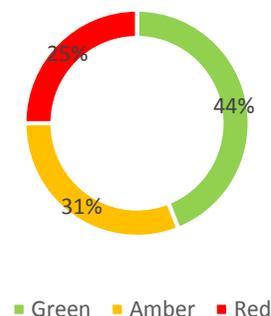
Quarter 3 2021/22 Performance Report



GAP Review – 31st January 2022

PI Code	Corporate Performance Indicators	Status
KPI 01	Percentage of invoices paid within 30 days after receipt by UDC to payment	100% (Target – 98%)
KPI 03	Percentage of Non-Domestic Rates Collected	78.96% (Target – 86.2%)
KPI 04	Accuracy of processing – HB/CTB Claims	98.69% (Target – 98%)
KPI 05	Percentage of Council Tax Collected	84.75% (Target – 86.2%)
KPI 06(b)	Time taken to process Housing Benefit/Council Tax Benefit New Claims	6.4 days (Target – 7.0)
KPI 08(a)	Average re-let time in days (all re-lets including time spent in works)	46 days (Target – 42)
KPI 13	Processing of planning applications: Other applications (within 8 weeks or including any agreed extension of time)	87.18% (Target – 82%)
KPI 14	Percentage of household waste sent for reuse, recycling and composting	50% (estimated data) (Target – 52%)
KPI 16	Rent collected as a percentage of rent owed (including arrears b/f)	97.26% (Target – 95%)
KPI 17	Local Council Tax Support Collection Rate	65.69% (Target – 69%)
KPI 20	Average days lost per FTE through sickness absence based on the rolling year	9.94 FTE days (Target – 8.9)
PI 44	Percentage of customer enquiries resolved at first point of contact	82% (Target – 82%)
PI 46	Quality of Decisions: Percentage of Appeals Upheld for Major Planning Applications as a Proportion of Appeals Raised	60.00% (Target – 30%)
PI 47	Quality of Decisions: Percentage of Appeals Upheld for Non-Major Planning Applications as a Proportion of Appeals Raised	36.00% (Target – 30%)
PI 51	Current tenant arrears as a percentage of the annual rent debit (excluding HB adjustment)	2.75% (Target – 3.00%)
HSG 22	Average length of stay in B&B accommodation for families with children under 18	32.5 days (Target – 12)

Corporate Performance Indicators - Quarter 3 2021/22 Attainment



Overview

This report presents data outturns for all performance indicators monitored during Quarter 3 2021/22. The format of this report has changed greatly to those previously presented to this Committee. Instead of individual PI listings, this report provides a general overview on performance during Quarter 3 2021/22. A RAG status is noted for a newly selected basket of PIs (Corporate Performance Indicators), followed by a service-specific summary of performance alongside short-term trend analysis. The final section of this report identifies two key indicators which the Performance Team intend to analyse further where performance has notably dropped and opportunities for improvement need to be identified.

Service Area Summaries: Quarter 3 2021/22 Performance

Service Area	Green (Attaining Target)	Amber (Less than 10% from meeting target)	Red (More than 10% below target)	Other Comments
Democratic & Electoral Services			1 (100%)	
Legal Services		1 (100%)		
Benefits	3 (100%)			
Communications	2 (67%)		1 (33%)	
Customer Services	6 (100%)			
Finance	2 (29%)		5 (71%)	
Human Resources			1 (100%)	Data is not yet available for KPI 21, KPI 22
ICT	1 (100%)			
Leisure			1 (100%)	
Museum	1 (100%)			
Revenues	4 (57%)	3 (43%)		
Website & Consultation		1 (100%)		
Building Control	3 (100%)			
Communities			1 (100%)	
Environmental Health (Commercial)				Data not available for PI 41; PI needs to be reviewed.
Environmental Health (Protection)	1 (100%)			

Housing Strategy & Operations	4 (31%)	2 (15%)	7 (54%)	Awaiting supporting documentation to validate data outturns.
Planning Support & Advice	2 (100%)			
Development Management	5 (56%)		4 (44%)	Awaiting data for PE 01; PE 02; PE 03; DC 01
Street Services	5 (42%)	2 (16%)	5 (42%)	Awaiting data for PI 48; SS 04; SS 16. Various PIs not activated.

Performance Downward Trend: Quarter 2 2021/22 to Quarter 3 2021/22

This section lists all performance indicators where there has been a downward change in status from the previous quarter – Quarter 2 2021/22 – to this reporting quarter (Quarter 3 2021/22). To enable the early identification of trends of performance, this table includes all KPIs, PIs & LPis.

PI Code	PI Title	Quarter 2 2021/22	Quarter 3 2021/22
PI 02	Percentage of supplier invoices paid within 6 days of receipt by the Creditor's team to payment (Max)	90.63% (Target – 98%)	87.9% (Target – 98%)
PI 00	Number of Insurance Claims Made (Min)	7 (Target – 9)	13 (Target – 9)
WC 02	Number of visits to the Council Websites (Max)	280,060 (Target – 250,000)	228,357 (Target – 250,000)
PI 24(d)	Appeals allowed for enforcement notices (Min)	0% (Target – 30%)	100% (Target – 30%)
PI 46	Quality of Decisions: Percentage of Appeals Upheld for Major Planning Applications as a Proportion of Appeals Raised (Min)	0% (Target – 30%)	60% (Target – 30%)
SS 02	Number of accidents reported (Max)	5 (Target – 6)	3 (Target – 2)
SS 14	Percentage of vehicles serviced or inspected on target week (Max)	87.50% (Target – 97.00%)	86.36% (Target – 97.00%)
KPI 14	Percentage of household waste sent for reuse, recycling and composting (LAA) (Max)	53.98% (Target – 52.00%)	50.00% *estimated data (Target – 52.00%)

Deep Dive Analysis

Through evaluating all performance outturns for Quarter 3 2021/22, the Performance Team have identified two indicators which we propose to undertake in-depth analysis on before presentation of this report to the Governance, Audit & Performance Committee. The primary aim of this analysis will be to ascertain and diagnose the reasoning as to why these indicators are missing target, not necessarily offering solutions - but contextually evaluating performance & benchmarking where possible to statistical near neighbours.

Proposed for review during Quarter 4 2021/22:

- *PI 24(d)* Appeals allowed for enforcement notices (Min)
- *PI 60* Number of Insurance Claims Made (Min)

Agenda Item 5

Committee: Governance, Audit & Performance Committee **Date:** Monday 31st January 2022

Title: 2021/22 Corporate Risk Register

Report Author: Oliver Knight, PFI & Performance Officer **Key Decision:** No
oknight@uttlesford.gov.uk
Paula Evans, Customer Services & Performance Manager
pevans@uttlesford.gov.uk

Summary

1. This report provides members with an update of the 2021/22 Corporate Risk Register (CRR), which includes corporate-level risks that have been identified and managed during the 2021/22 year. The 2021/22 CRR continues to be reviewed to reflect current circumstances, and ensure appropriate mitigating actions are being progressed. The Corporate Risk Register also now includes a new risk relating to Contract Management which has been identified since the previous update.

Recommendations

2. The 2021/22 CRR is noted.

Financial Implications

3. There are no direct financial implications associated with this report, other than the risk directly addressing Financial Control (21-CR-01).

Background Papers

4. The following papers were referred to by the author in the preparation of this report:
 - Governance, Audit & Performance Committee Reports, providing previous updates on Uttlesford District Council's Corporate Risk Register.
 - Risk Management Strategy

Impact

- 5.

Communication/Consultation	Internal communication on risk management is required through CMT and SMT meetings.
Community Safety	None

Equalities	None beyond general management of equality and diversity impacts for identified risks.
Health and Safety	A corporate risk has been identified relating directly to Health & Safety (21-CR-03), and impacts are considered as part of this risk's update and review.
Human Rights/Legal Implications	None
Sustainability	None
Ward-specific impacts	None
Workforce/Workplace	None

Situation

6. Appendix A presents an update of the 2021/22 Corporate Risk Register. For each corporate risk identified, current scores and information regarding the status of any current controls and mitigating actions in place are presented.
7. The CRR consists of a number of strategic cross-cutting risks which if not controlled could have a serious impact on the council's ability to carry out both its statutory and non-statutory duties to residents.
8. The risks included in the CRR are considered to be those which are most critical for control, and which could affect the organisation at a corporate level if not managed effectively.
9. Whilst the Performance Team co-ordinate the review and update process for the CRR, the Chief Executive Officer and Directors have responsibility for the register and specific risks contained therein. Control of the risks and the implementation of associated mitigating actions is co-ordinated through the Corporate Management Team (CMT) and relevant Service Managers.
10. The structure, format and control of risks is consistent through both corporate and service-level registers. Each risk is structured to initially identify the basis of the risk occurring, its causative event and potential impacts on the council and/or service area. This structure is derived from the Risk Management Policy, which was adopted in the 2017/18 year.
11. The full 2021/22 Corporate Risk Register was last reviewed and presented to this committee in June 2021. Since then, a paper noting the inclusion of a new corporate risk considering Investments (**21-CR-12**) was presented to this Committee in November 2021.

12. Whilst the structure of risks has remained predominantly the same since the previous update, all risks have been reviewed by the CMT. As a fundamental part of this review, all risk owners were required to review Current Controls in place, and consider any Further Actions which need to be implemented to mitigate the risk. A written progress update has also been included for each individual risk by the risk owner; providing further detail on relevant risk mitigation measures.
13. Members are asked to note the inclusion of a new risk to the CRR; **21-CR-13**. Focusing upon contracts and partnership management; this risk has been introduced by the CMT following concerns raised particularly surrounding the Uttlesford Norse Contract. Managing this risk will ensure the council is effectively monitoring all current contracts and service agreements; making expectations clear on standards, quality and performance levels for both our contracted and partnership services.

Other Points

14. The Performance Team intend to refresh UDC's Risk Management Policy in the near future. This policy update will enable the inclusion of the new service-level risk management process introduced for the 2020/21 & 2021/22 years, and incorporate lessons learnt regarding risk management during the Covid-19 pandemic.

Risk Analysis

15.

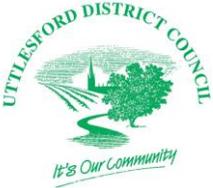
Risk	Likelihood	Impact	Mitigating actions
If risks are not properly identified or managed then preventable problems could occur and affect the council's finances, reputation or resources. Conversely, opportunities to improve these aspects may be underutilised	1	3	The Council's Risk Management Policy and Corporate Risk Register ensure effective risk management is placed centrally within its operations, both at a corporate level and service-level.

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.



Corporate Risk Register 2021/22

Governance, Audit & Performance Committee – 31st January 2022

Likelihood Scores

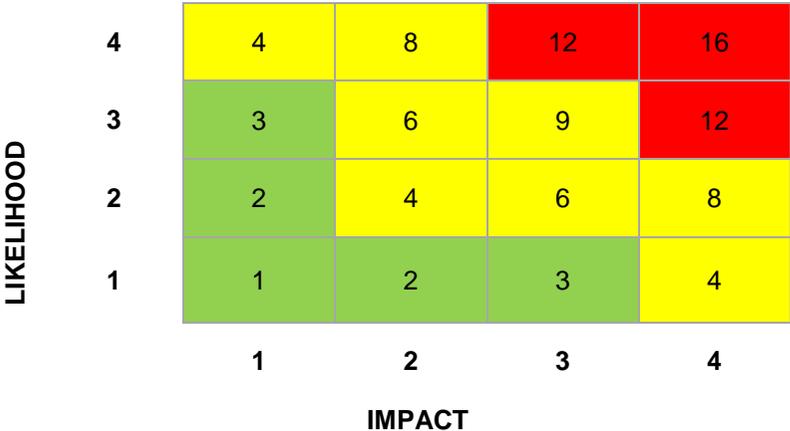
Score	Probability
1 (Little Likelihood)	Less than 10%
2 (Some Likelihood)	10% to 50%
3 (Significant Likelihood)	51% to 90%
4 (Near Certainty)	More than 90%

Impact Scores

Score	Impact Level on Strategic Objectives
1	Minor impact/delay/difficulty
2	Small impact/delay/difficulty
3	Considerable impact/delay/difficulty
4	Extreme impact/delay/Difficulty

Page 26

Each risk score for likelihood and impact is plotted onto a risk matrix to produce its score. A green score indicates risks which the organisation is most prepared to accept and red those which are less likely to be accepted.



Current Score Summary

Current Alert Level	Risk Names
0 risks	-
12 risks	21-CR-01 Financial Control 21-CR-02 Business Continuity 21-CR-03 Health and Safety 21-CR-04 People 21-CR-05 Data Protection 21-CR-06 Information Technology 21-CR-07 Governance 21-CR-08 Service Delivery 21-CR-09 Local Plan 21-CR-10 Fraud 21-CR-11 Climate Emergency 21-CR-13 Contracts & Partnership Management
1 risk	21-CR-12 Investments

21-CR-01 FINANCIAL CONTROL				Responsible Cabinet Member: Cllr Hargreaves		
<p>If the council does not implement and sustain a robust 5 year financial strategy, including effective mitigation of the impacts of the Covid-19 pandemic, then reserves may be inadequate to meet unforeseen circumstances leaving the council with undue financial pressures</p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	AW	2	4	8	<ul style="list-style-type: none"> • Monthly budget monitoring – Revenue and Capital (including HRA) • Quarterly budget monitoring to Members • Covid spend reporting the MHCLG 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		2	4	8	<ul style="list-style-type: none"> • Revised MTFS and action plan for identified financial shortfalls 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
1	4	4	AK	31.03.2022		
<p><u>Progress Update (January 2022)</u></p> <p>A balanced budget for 2022/23 is currently being prepared. At the same time a new MTFS is being prepared which complies with the latest guidance from CIPFA and Government Minimum Revenue Provision and Borrowing requirements.</p>						

21-CR-02 BUSINESS CONTINUITY					Responsible Cabinet Member: Cllr Freeman	
<p>If the council does not have sufficient and robust corporate resilience and Business Continuity management then a major disruptive event such as the Covid-19 pandemic could impact staff, property, or systems and networks leading to a reduction in service delivery, damage to organisational reputation or significant financial loss</p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	PH	2	3	6	<ul style="list-style-type: none"> • Existing Business Continuity Plans • Covid-19 emergency response structure 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		2	4	8	<ul style="list-style-type: none"> • Update corporate and service BCPs annually and schedule regular exercising. • Continuous learning from emergency response to pandemic (and future incidents) will strengthen business continuity arrangements. • Develop and approve Crisis Communications Plan (for both external and internal communications). 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
1	3	3	RM	31.03.2022		
<p><u>PROGRESS UPDATE (January 2022)</u></p> <ul style="list-style-type: none"> • CMT approved Corporate Business Continuity Plan. • Service Business Continuity Plans have been reviewed/prepared by service managers for approval. • Testing of existing Business Continuity Plans was undertaken throughout the pandemic – including a recent CMT exercise run by our shared EPO with ECC. 						

21-CR-03 HEALTH AND SAFETY				Responsible Cabinet Member: Cllr Lees		
<p>If the council does not manage the Health and Safety and welfare of its general public, visitors and staff then it will not be meeting its statutory organisational responsibilities leading to a loss of reputation as a responsible employer, potential involvement in legal action or loss of life or serious injury. The Covid-19 pandemic has placed additional responsibilities on the council both as an employer and as a custodian of the district's welfare</p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	PH	1	4	4	<ul style="list-style-type: none"> • Regular H&S Audits/Training/Risk Assessments • Up-to-date Policies and Procedures • New procedures for staff welfare due to Covid-19 pandemic 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		1	4	4	<ul style="list-style-type: none"> • Ongoing maintenance of systems, procedures and reporting • Further monitoring of staff welfare • Local level track and trace responsibilities • Uttlesford 2027 initiative 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
	1	4	4	RM	31.03.2022	
<p><u>Progress Update (January 2022)</u></p> <ul style="list-style-type: none"> ➤ Staff procedures to address Covid-19 pandemic and working practices have been kept under review as circumstances have developed. ➤ Council providing advice to businesses and individuals across district to ensure Covid-secure procedures are in place for the public, with the implementation of the government's road map for the scaling back of restrictions safely providing fresh impetus. ➤ Representation on key groups, from Essex wide to town-specific, in order to support the welfare of district residents has continued. ➤ The council has facilitated a PCR testing station by making available its site in London Road Saffron Walden ➤ As part of Uttlesford 2027 project, all relevant HR policies and procedures will be updated to reflect any changes to working arrangements. 						

21-CR-04 PEOPLE					Responsible Cabinet Member: Cllr Lees	
<p>If there is insufficient flexibility in the council's working policies and practices and among its workforce, then this may hinder the effectiveness of recovery and transformation projects, leading to an impact on future service delivery</p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	AW	2	3	6	<ul style="list-style-type: none"> • Uttlesford 2027 currently being developed. 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		2	3	6	<ul style="list-style-type: none"> • Workforce Strategy ("People Plan") to be developed as per LGA peer review recommendation in order to identify organisational needs for the coming years and put in place actions to address those needs. These recommendations will need further refinement due to impact of pandemic on the way the council operates. 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
1	3	3	RA	31.03.2022		
<p><u>Progress Update (January 2022)</u></p> <p>Uttlesford 2027 is designed to look at workforce engagement alongside customer requirements and taking account of the reducing finances over the next five years. New HR policies will be designed to reflect the new ways of working with hybrid (part home part office) being the most likely form of employment. This form of flexible working will allow employees to split their time between attending the workplace and working remotely. It involves equipping staff to facilitate this, providing safe working spaces with a range of suitable meeting and training facilities.</p>						

20-CR-05 DATA PROTECTION				Responsible Cabinet Member: Cllr Freeman		
<p>If the council does not adopt and implement Data Protection controls then there may be a loss of data, inadequate data handling, unlawful sharing of data or security breaches leading to loss of public and partner confidence, reputational damage, breach of legislation and financial loss due to fines</p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	PH	2	4	8	<ul style="list-style-type: none"> E-learning module for all staff Use, storage and sharing protocols Building and IT security Enhanced data validation processes due to additional document processing requirements during the pandemic. Appointment of DPO 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		2	4	8	<ul style="list-style-type: none"> Learning, reflection and sharing of good practice arising from implementation of GDPR, in particular advice from the ICO; monitoring of subject access requests; monitoring of new procedures introduced to the organisation especially given COVID-19 pandemic; establishment of Information Governance Group; regular reports to the Corporate Management Team. 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
1	4	4	AW	31.03.2022		
<p>Progress Update (January 2022)</p> <p>Work continues in general to promote awareness and deal with any data protection issues arising.</p>						

21-CR-06 INFORMATION TECHNOLOGY					Responsible Cabinet Member: Cllr Freeman	
<p>If the council does not ensure resilient and robust IT security is in place (particularly the monitoring of applications for remote access due to COVID restrictions) then the organisation may be exposed to network vulnerabilities such as cyber-attacks and system failures leading to reputational damage, liability issues, loss of service provision and reputation</p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	AW	3	4	12	<ul style="list-style-type: none"> • The majority of ICT systems are held off site in data centres • Windows operating system security patches are updated • Members of CERT-UK WARP (Warning, Advice and Reporting Point) part of the Centre for protection of National Infrastructure. It provides us with privileged access to cyber threats. • All existing controls functioning despite remote working required by the pandemic. • Attendance at regular national security briefings, as relevant. 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		2	4	8	<ul style="list-style-type: none"> • Further investment in system security, cyber security and training given the COVID pandemic; all incorporating the system diversification/modification resulting from the COVID-19 pandemic. • Robust recovery plan, taking into account additional requirements given the pandemic. • Continued investment in cyber security and training. 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
2	4	8	NW	31.03.2022		
<p><u>Progress Update (January 2022)</u></p> <p>ICT is a key workstream of the Uttlesford 2027 project. Having several bases will aid resilience and recovery in the event of any cyber-attack. Each new site is being evaluated and setup with robust ICT security and monitoring in place to minimise the risk of compromise in the event of an attack. Ongoing monitoring of existing sites is being undertaken. Command structure in place to enable prompt action should a serious risk, such as Log4j, arise.</p>						

20-CR-07 GOVERNANCE				Responsible Cabinet Member: Cllr Lees		
<p>If the council does not have a clear and robust governance framework that includes any protocols to facilitate the implementation of COVID recovery plans that is understood and adhered to by councillors and officers, then this could lead to ineffective and potentially unlawful decision-making, resulting in financial and reputational loss, a detrimental impact on residents health and wellbeing, ineffective service provision, maladministration and potential legal challenge.</p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	PH	2	4	8	<ul style="list-style-type: none"> Annual Governance Statement Have a documented constitution, which is regularly reviewed Adopted corporate plan and service plans; under review on a quarterly basis. Decision-making processes adapted swiftly during the pandemic and committees now being delivered via Zoom. Authority-wide COVID Recovery Plan. 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		2	4	8	<ul style="list-style-type: none"> Review corporate governance framework in accordance with CIPFA guidance notes Continue to ensure compliance with all altered/extended governance requirements due to the pandemic Inclusion of COVID references in CMT & Committee Report templates. Update training/awareness Roll out the use of mod.gov to all staff and members including the recording and public of key decisions 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
1	4	4	JR	31.03.2022		
<p><u>Progress Update (January 2022)</u></p> <p>The latest round of Covid restrictions to emerge are being managed through the same flexible framework as previously – as will be any new round of business grants available. Longer-term community and business resilience is being factored into existing and community plans, and a cross-community catch up on post-pandemic planning will be a major feature of the Local Strategic Partnership, to be relaunched in early 2022.</p>						

20-CR-08 SERVICE DELIVERY					Responsible Cabinet Member: Cllr Freeman	
<p>If the council does not identify and implement a robust COVID recovery plan to support achievement of its key priorities, corporate plan, service plans and objectives, then opportunities to improve the wellbeing of the community and safeguard the character of the district will be missed leading to dissatisfied residents and stakeholders, reputational damage and potential government intervention</p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	PH	1	4	4	<ul style="list-style-type: none"> • Identification and implementation of the COVID Recovery Plan • Adopted corporate plan, delivery plan and service plans • Budget and MTFs to support delivery • Regular performance monitoring and reporting to CMT, Cabinet & GAP. Additional COVID-19 performance indicators introduced to monitor effect of pandemic on service delivery 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		1	4	4	<ul style="list-style-type: none"> • Produce corporate governance framework • Ensure service plans are reviewed and updated on a quarterly basis, reflecting current operational requirements • Ensuring compliance with government mandated alterations/additions to service delivery during the pandemic • Continue review and adaption of COVID recovery plan 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
1	4	4	PH	31.03.2022		
<p><u>Progress Update (January 2022)</u></p> <p>The Corporate Plan 2022 – 2027 will be presented to Council in February 2022 and a new corporate plan delivery plan for 22/23 will go to Cabinet in March 2022; this continues to include a programme of work on economic recovery. Environmental Services are preparing to move to their new operation site at Little Canfield Business Park and plans are advanced to ensure the service continues to be delivered with as little disruption to the services as possible.</p>						

21-CR-09 LOCAL PLAN				Responsible Cabinet Member: Cllr Evans		
<p>If the council does not have an approved local plan then it could impact on finances, planning resources and application decisions, leading to a loss of reputation; speculative and unsustainable development; potential intervention by the MHCLG; the inability to bid for government funding and the inability to recruit and retain high calibre staff</p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	PH	2	4	8	<ul style="list-style-type: none"> Local Plan Project Board Corporate Overview Board Local Plan Leadership Group Cabinet Effective Risk and Project Management Quarterly reports to MHCLG Representation to Government on proposed changes to housing methodology and also 'Planning for the Future' White Paper 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		2	4	8	<ul style="list-style-type: none"> Effective community engagement through all key stages Maintain comprehensive and live Local Plan Risk Register Regular monitoring of Local Plan Project Management by Scrutiny Committee Complete and up to date Evidence Base 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
1	4	4	TC	30.10.2022		
<p><u>Progress Update (January 2022)</u></p> <p>A new interim Director of Planning in post and recruitment commencing in January 2022 for a permanent Director of Planning to lead this work. Some minor reprofiling of the Local Plan timetable has taken place, with additional elements added, such as a Supplementary Planning Document on sustainability. The authority has recently won an RTPI award for its work on the Community Forum consultation work on the Local Plan, reinforcing the quality of this initiative.</p>						

21-CR-10 FRAUD			Responsible Cabinet Member: Cllr Freeman			
<p>If the council does not prevent, detect and respond effectively to incidents of fraud and corruption particularly those COVID-related this could result in financial loss, detrimental impact on services, risks to residents' health and wellbeing and ultimately reputational loss.</p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	PH	3	2	6	<ul style="list-style-type: none"> • Ongoing work of the Counter Fraud & Corruption Working Group to raise aware across the authority • Corporate Policies in place, e.g. Corporate Counter-Fraud & Corruption Strategy • Participation in National Fraud Initiative 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		3	2	6	<ul style="list-style-type: none"> • Review and Implementation of Management Action Plan, following Fraud Risk Assessment 2019 • Inclusion of COVID related fraud actions • NFI 2020/21 Main Exercise • Revision of the Whistleblowing Policy • Counter Fraud Awareness Publicity Campaign • COVID fraud awareness campaign 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
	2	2	4	AW	31.03.2022	
<p><u>PROGRESS UPDATE (January 2022)</u></p> <p>Work continues within the Revenues Department in assessing and paying applications for business grants, and ensuring fraud checks are carried out wherever necessary. The ever increasing number of and frequency of recovery grants raises the risk of fraud. There has been a significant amount of applications to assess, for the different strands of funding available (for example – Local Restrictions Support Grants & Restart Grants). The Management Action Plan following the Fraud Risk Assessment 2019 also continues to be reviewed, and relevant actions identified.</p>						

21-CR-11 CLIMATE EMERGENCY					Responsible Cabinet Member: Cllr Pepper	
<p>If the council does not respond effectively and proportionately to the climate emergency, then relevant strategies and plans contributing towards a more sustainable environment may not be developed/implemented, which could result in environmental benefits not being achieved for the council or the district, not capitalising on available resource efficiencies, a lack of organisational resilience and a loss of reputation.</p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	PH	2	3	6	<ul style="list-style-type: none"> • Dedicated Climate Change Officer now in post • Dedicated resource allocated within budgets • Climate Change Strategy & detailed action plan being developed to address current issues • Climate Change Officer working closely with Local Plan team to inform climate-related development policies 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		2	3	6	<ul style="list-style-type: none"> • Performance Indicators to be identified and monitored, to effectively report upon progress against the Climate Change Strategy/Action Plan to address current issues. • The Local Plan is being drafted with an understanding of, and need for action on, the Climate Emergency at its core. • Review of HR policies where relevant to harness all environmental benefits through new ways of working. • Improving UDC's carbon literacy. 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
1	2	2	BB	31.03.2022		
<p><u>PROGRESS UPDATE (January 2022)</u></p> <p>A detailed Climate Crisis Action Plan has recently been agreed by Cabinet. The Climate Emergency also forms a key part of the Uttlesford 2027 project.</p>						

21-CR-12 Investments			Responsible Cabinet Member: Cllr Reeve			
<p>If CIPFA and the government implement changes to the legislation and guidance around borrowing and investments*, either individually or collectively, it would lead to a significant adverse impact on both the Council's revenue budget and the investment portfolio.</p> <p>*namely changes to the Prudential Code that would stop future commercial activity and an update to the rules on Minimum Revenue Provision (MRP) and the allocation of a debt cap</p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	AW	4	4	16	<ul style="list-style-type: none"> • UDC responding to CIPFA consultation • Discussions held with DLUHC (formerly MHCLG) • Raising awareness of risk to Members & Staff 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		4	4	16	<ul style="list-style-type: none"> • Continued monitoring and reporting of consultation outcomes to Members & Staff • Continued review and monitoring of risk at a corporate level • Identification of budget efficiencies to mitigate financial impact 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
	4	3	12	AK	31.03.2022	
<u>PROGRESS UPDATE (January 2022)</u>						
CIPFA and the Government implemented the changes as expected which has a significant negative material impact on the Council's finances. A new MTFS is being prepared and the Uttlesford 2027 project will seek to set out how the financial shortfalls will be addressed.						

21-CR-13 Contracts and Partnership Management					Responsible Cabinet Member: Cllr Lees	
<p>If the council does not have a clear and robust framework to manage contracts and other partnership arrangements*, particularly in relation to health and safety requirements, then this could lead to ineffective management of critical services, resulting in material risk to life.</p> <p>*this risk has been added to reflect current concerns around the Uttlesford Nurse Contract</p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	PH	3	4	12	<ul style="list-style-type: none"> Current contracts and service level agreements 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		2	4	8	<ul style="list-style-type: none"> Review current contracts and service level agreements for partnerships – prioritising health and safety issues, and making expectations on standards quality and levels, and on reporting crystal clear 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
1	4	4	AK	31.03.2022		
<p>Progress Update (January 2022)</p> <ul style="list-style-type: none"> Appointing new officer to join Board of Uttlesford Nurse Services Limited Direct follow up with UNSL, including convening additional meetings to effectively follow up issues 						

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A
of the Local Government Act 1972.

Document is Restricted