

**GOVERNANCE, AUDIT AND PERFORMANCE COMMITTEE held at  
COUNCIL CHAMBER - COUNCIL OFFICES, LONDON ROAD, SAFFRON  
WALDEN, CB11 4ER, on TUESDAY, 28 JUNE 2022 at 7.00 pm**

Present: Councillor E Oliver (Chair)  
Councillors H Asker, G Driscoll (Vice-Chair), S Luck and  
J De Vries

Officers in attendance: R Auty (Assistant Director - Corporate Services), E Brooks (Internal Audit Manager), B Brown (Assistant Director - Environmental Services), T Falconer (Data Protection Officer), C Gibson (Democratic Services Officer), A Knight (Assistant Director - Resources) and A Webb (Director - Finance and Corporate Services)

**GAP48 APOLOGIES FOR ABSENCE AND DECLARATIONS OF INTEREST**

Apologies were given by Councillors Emanuel, Foley, Khan and Light.

**GAP49 MINUTES OF THE PREVIOUS MEETING**

The minutes of the meeting held on 30 March 2022 were approved as correct.

**GAP50 INTERNAL AUDIT ANNUAL REPORT 2021/22**

The Internal Audit Manager gave her report that summarised the work that Internal Audit had undertaken during the financial year 2021/22.

In response to various questions, she explained the reasoning behind the overall opinion of Limited Assurance, in that a number of significant control weaknesses, including one critical and 14 high priority had been identified during 2021/22 which may put the achievement of key service objectives at risk and result in error, fraud, loss or reputational damage. She also outlined the logic behind the red rating attached to the report on Uttlesford Norse (UNSL) Governance Arrangements.

The Director – Finance and Corporate Services confirmed that the UNSL report, originally intended for this Committee that had been withdrawn, would be brought back as soon as possible to an Extraordinary meeting of the Committee ahead of the next diarised meeting.

The report was noted.

*Councillor Asker had arrived at the meeting at 7.05 pm and she apologised for her lateness.*

**GAP51 LOCAL CODE OF CORPORATE GOVERNANCE AND DRAFT ANNUAL GOVERNANCE STATEMENT 2021/22**

The Internal Audit Manager summarised her report. She explained that the format was as per last year and that there was an obligation for the Local Code and Draft Annual Governance Statement to be published with the Statement of Accounts for auditing by BDO, the External Auditor.

In response to various questions on the Annual Governance Statement, she highlighted the Internal Audit Opinion at Paragraph 4.5 and the Areas for Improvement at Paragraph 4.9 as being UNSL, the Control Environment, the Review of Corporate Risk Management, the Counter Fraud Strategy Action Plan and the Financial Management Code. She said that the actions would be reviewed and brought back to GAP during the year.

The Chair thanked the Internal Audit Manager for her reports.

RESOLVED to approve the Local Code of Corporate Governance 2022 and the Draft Annual Governance Statement 2021/22 for publication with the Statement of Accounts.

**GAP52 PROCUREMENT STRATEGY - 2022/23**

The Assistant Director – Resources summarised her report that set out the Council's vision for its procurement activity over the next four years. She said that it included the introduction of the use of the National Themes Measures and Outcomes (TOMS). Measures included supporting young people into work, opportunities for disadvantaged people, improving staff health and wellbeing, ethical procurement, social value in supply chains, supporting community projects, and reducing carbon emissions. The Strategy aimed to align with the Council's Corporate Priorities and that for every £1 generated, the Council would be able to quantify in pounds the wider value created for society.

Members sought clarification as to how for every £1 generated, the Council would be able to quantify in pounds the wider value created for society.

The Director – Finance and Corporate Services said that in terms of timelines it was not essential that the Procurement Strategy was taken to the next Council meeting.

Councillor Driscoll proposed that the matter be deferred in order that further information be obtained in order to gain a better understanding of TOMS and the appropriate calculations needed. It was stated that this could be brought back to the Extraordinary GAP meeting to be arranged.

There was no dissent to this proposal.

The Committee agreed to defer the Procurement Strategy report.

**GAP53 WASTE AND RECYCLING PERFORMANCE PRESENTATION AND Q4/YEAR END 2021/22 PERFORMANCE REPORT**

The Assistant Director – Environmental Services gave a PowerPoint presentation on Waste and Recycling Performance. This detailed the recycling performance looking back and forward as well as examining the implications of the centralised depot.

In response to various questions, the Assistant Director – Environmental Services said that he recognised that education was the key to moving forward and that leafletting, social media, the press and educational visits to schools would be all utilised. He also said that the Council would be looking to simplify recycling information given to the public, in line with WRAP guidelines. He also outlined the environmental benefits of recycling.

The refuse operatives were complimented on the way that they were policing the contents of the refuse bins.

The Chair thanked the Assistant Director – Environmental Services for his presentation.

Members received the Q4 2021/22 and Year End outturn and data analysis for all Key Performance Indicators (KPIs) and Performance Indicators (PIs).

In response to a question about PI 24D and PI 61, officers agreed to e-mail all Members with further information in respect of the two PIs.

The report was noted.

**GAP54 INFORMATION GOVERNANCE ANNUAL REPORT**

The Data Protection Officer summarised his annual report on the current state of Information Governance (IG) that existed within the Council on conclusion of each fiscal year.

He outlined the information and statistics provided for five main areas:

- The numbers and causes of Data Breaches for the period.
- Data Subject Access Requests received and response timelines.
- The number of requests for information made under Freedom of Information (FOI) and Environmental Information Regulations (EIR) and the effectiveness of the Council's responses.
- The number of completed Data Protection Impact Assessments for new data processing activities projects or initiatives.
- Other matters which may have an impact of the future of IG for the Council.

He said that the trend was down in respect of data breaches and broadly similar in respect of Data Subject Access Requests and FOI/EIR requests. He said that

FOI liaison officers has been trained. He also referred to the two appendices to the report that were due for management consideration.

In response to various questions, the Data Protection Officer said that

- staff were encouraged to report any breaches as soon as they became aware of them.
- The reduction of the numbers of data breaches showed that staff awareness had improved.
- Data subject access requests were made through various means but that the key was that proof of identity was needed before the matter would be taken forward.
- Clarification of a “near miss” was when correspondence had been sent out incorrectly but had been sent back unopened.

The report was noted, and the Data Protection Officer was thanked for his contribution.

## **GAP55 ANNUAL REPORT**

The Assistant Director – Corporate Services summarised the works undertaken by GAP that the Chair would report to Full Council in July.

The report was noted.

*The meeting closed at 8.15 pm.*