

APOLOGIES Committee Services
Email: Committee.clerk@maldon.gov.uk

DIRECTOR OF STRATEGY,
PERFORMANCE AND
GOVERNANCE
Paul Dodson

15 September 2021

Dear Councillor

You are summoned to attend the meeting of the;

PERFORMANCE, GOVERNANCE AND AUDIT COMMITTEE

on **THURSDAY 23 SEPTEMBER 2021** at **7.30 pm**

in the **Council Chamber, Maldon District Council Offices, Princes Road, Maldon.**

Please Note that due to social distancing and space limitations, we require any members of the public or press who wish to attend physically and observe or speak under Public Participation rules at this meeting to complete [a request form](#) (to be submitted by 12noon on the working day before the Committee meeting). This will be reviewed and managed according to capacity of the meeting and whether any other persons have already registered.

The Committee meeting will still be live streamed via the [Council's YouTube channel](#) for ease of viewing.

A copy of the agenda is attached.

Yours faithfully



Director of Strategy, Performance and Governance

COMMITTEE MEMBERSHIP:

CHAIRMAN	Councillor Mrs J C Stilts
VICE-CHAIRMAN	Councillor K W Jarvis
COUNCILLORS	R G Boyce MBE M R Edwards Mrs J L Fleming, CC M S Heard A L Hull J V Keyes S P Nunn E L Stephens





AGENDA
PERFORMANCE, GOVERNANCE AND AUDIT COMMITTEE
THURSDAY 23 SEPTEMBER 2021

1. **Chairman's Notices**

2. **Apologies for Absence**

3. **Minutes of the last meeting** (Pages 5 - 10)

To confirm the minutes of the meeting held on 29 July 2021, (copy enclosed).

4. **Disclosure of Interest**

To disclose the existence and nature of any Disclosable Pecuniary Interests, other Pecuniary Interest or Non-Pecuniary Interests relating to items of business on the agenda having regard to paragraphs 6 – 8 of the Code of Conduct for Members.

(Members are reminded that they are also required to disclose any such interest as soon as they become aware should the need arise through the meeting.)

5. **Public Participation**

To receive the views of members of the public, of which prior notification in writing has been received (no later than noon on the Tuesday prior to the day of the meeting).

Should you wish to submit a question please complete the online form at:
www.maldon.gov.uk/publicparticipation.

6. **Update on the Audit of the 2020/21 Accounts** (Pages 11 - 14)

To consider the report of the Director of Resources, (copy enclosed).

7. **Review of Corporate Performance - Quarter 1** (Pages 15 - 44)

To consider the report of the Director of Strategy, Performance and Governance (copy enclosed).

8. **Review of Corporate Risk - Quarter 1** (Pages 45 - 52)

To consider the report of the Director of Strategy, Performance and Governance (copy enclosed).

9. **Balance Scorecard Exceptions Report** (Pages 53 - 56)

To consider the report of the Director of Strategy, Performance and Governance (copy enclosed).

10. **Annual Governance Statement Actions Update** (Pages 57 - 60)

To consider the report of the Director of Strategy, Performance and Governance (copy enclosed).

11. **Review of Health and Safety - Quarter 1** (Pages 61 - 66)

To consider the report of the Director of Service Delivery (copy enclosed).

12. **Any other items of business that the Chairman of the Committee decides are urgent**

NOTICES

Recording of Meeting

Please note that the Council will be recording and publishing on the Council's website any part of this meeting held in open session.

Fire

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Health and Safety

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**MINUTES of
PERFORMANCE, GOVERNANCE AND AUDIT COMMITTEE
29 JULY 2021**

PRESENT

Chairman	Councillor Mrs J C Stilts
Councillors	M R Edwards, Mrs J L Fleming, CC, M S Heard, A L Hull, S P Nunn and E L Stephens
In attendance	Councillors C Morris and N J Skeens

181. CHAIRMAN'S NOTICES

The Chairman welcomed all present and took the Committee through some housekeeping arrangements for the meeting.

182. APOLOGIES FOR ABSENCE

Apologies for absence were received from Councillors R G Boyce and K W Jarvis.

183. MINUTES

RESOLVED by assent that the Minutes of the meeting of the Committee held on 25 March 2021 be approved and confirmed.

184. DISCLOSURE OF INTEREST

Councillor J L Fleming declared a non-pecuniary interest as a Member of Essex County Council in relation to any items on the agenda pertaining to that organisation.

185. PUBLIC PARTICIPATION

No requests had been received.

186. INTERNAL AUDIT REPORTS:- PROGRESS REPORT; AFFORDABLE HOUSING & HOUSING NEED AUDIT; KNOWLEDGE MANAGEMENT AUDIT AND FOLLOW-UP OF RECOMMENDATIONS REPORT

The Committee considered the report of the Director of Resources and associated appendices that covered four reports from the Internal Auditors BDO LLP namely, the *Progress Report*, *Affordable Housing & Housing Needs Audit*, *Knowledge Management Audit* and the *Follow-up of Recommendations Report*.

The Chairman introduced the reports and deferred to the Internal Audit Partner to present the detail. He took the Committee through the four reports in turn, starting with the *Progress Report*. He advised that the *Fraud Risk Audit* would be submitted to the next meeting, that a number of areas in the work plan for 2021/22 were now underway and that the Climate Change and Sustainability Strategy Audit had been moved to 2022/23. This was to allow for development of new sustainability strategies and plans to be completed before undertaking an Audit, thus ensuring a meaningful exercise.

Addressing the *Housing Needs and Affordable Housing Audit* he reported the key findings. The level of assurance was moderate on both design and effectiveness with good processes in place for putting together a strategy and identifying housing needs. Following a slow start, due to fewer schemes online at the introduction of affordable housing targets, the Council had since exceeded its target in 2018/19 and 2021/22. There was still work to be done to ensure the Council met its target year on year, the Housing Service Business Plan yet to be finalised and disseminated to all staff and a strategy put in place to manage S106 spend. It was noted that overall the response from Officers was positive and that COVID 19 had adversely impacted delivery rates in some areas.

The level of assurance on the *Knowledge Management Audit* was moderate in both design and effectiveness. The key findings included good processes in place in terms of identifying and documenting efficiencies and ensuring staff engagement. The next steps would include robust documentation of the prioritisation process and updating the Business Continuity Plan, in particular updating the lead officers.

With reference to the Follow-up of Recommendations report it was noted that three recommendations had been signed off and two were still overdue since the last iteration of the report. The overdue recommendations were Building Control and Flooding Risk Management. The Committee was reassured that since the resource issue had been resolved the Building Control work was underway with a revised completion date of September 2021. The Flooding Risk Management recommendation had a revised completion date of December 2021.

At this point the Chairman moved the recommendations in the report and these were seconded by Councillor Nunn. The Chairman then opened the debate.

In response to questions Officers provided the following information:

- That whilst the Council had exceeded its affordable housing targets in both 2018/19 and 2021/22 these were not consecutive years. The aim must be to consistently meet targets in each year of the Housing Strategy period. It was clarified that the Management Response was available on page 29 of the meeting pack.
- That now the vacancy had been appointed to in Building Control, work was back on track and the audit recommendation would be implemented in September 2021.
- That Climate Change and Sustainability was one strategy. The aim was to provide enough lead in time to develop the strategy therefore it was more effective to move the completion date to 2022/23 when there was a concrete strategy to audit.
- That although the Housing Strategy was initially slow in meeting affordable housing targets there had been a marked improvement in the last three years, therefore, it was deemed on track to deliver planned targets.

- That the rumours about London Boroughs buying up affordable housing in the district was unfounded. That on the strategic sites residents had 100% nomination rights to affordable units.
- That the figures on completed and expected units (both 2021 and previous years) were maintained by Housing who continuously monitored, in liaison with Housing Associations and Developers, each step of the development on units. Those figures were then relayed to the Section 106 Officer who in turn reported on a bi-annual basis to this committee.

The Chairman then put the recommendations to the Committee and they were agreed by assent:

RESOLVED by assent that the Committee considered, commented and approved the:

- (i) Internal Audit Progress Report - July 2021 at appendix 1;
- (ii) Affordable Housing & Housing Need Audit – July 2021 at appendix 2;
- (iii) Knowledge Management Audit – June 2021 at appendix 3;
- (iv) Follow-up of Recommendations Report – March 2021 at appendix 4.

187. INTERNAL AUDIT - ANNUAL REPORT AND STATEMENT OF ASSURANCE 2020/21

The Committee considered the report of the Director of Resources together with the Internal Audit – Annual Statement of Assurance 2020/21 from BDO LLP attached at Appendix 1.

The Chairman deferred to the Internal Audit Partner to present the detail. He reported that the level of assurance of moderate was their second highest level of assurance on governance risk and control. On the whole he felt that looking at the individual opinions there was an improvement on last year with no limited opinions. This was a very positive conclusion despite the constraints of Covid and the pressures on staff. Given there were still some issues to address the Committee's attention was drawn to the 'Themes' section within the report where areas the Council might benefit focussing on had been summarised. It was acknowledged that there were ongoing challenges due to Covid, but overall the plan delivery was on track.

The Chairman then moved the recommendation and this was seconded by Councillor Nunn.

In response to a query regarding the issue of limited opinion reports the Internal Audit Manager clarified there had been no limited opinion reports issued for this year ending 31 March 2021, however, as outlined in the report, one had been issued for 2019/20.

There being no further queries the Chairman put the duly seconded recommendation to the committee and it was agreed by assent.

RESOLVED by assent that the Committee considered, commented and approved the Internal Audit Annual Report and Annual Statement of Assurance 2020/21 at appendix 1.

188. EXTERNAL AUDIT - AUDIT PLANNING REPORT TO 31 MARCH 2021

The Committee considered the report of the Director of Resources together with the External Audit Planning report to March 2021 from Deloitte LLP, the Council's External Auditor attached at Appendix 1.

The Chairman introduced the report and deferred to the Audit Partner from Deloitte LLP to present the detail. The Audit Partner commenced by reminding Members that the work he carried out was in accordance with the Code of Audit Practice and supporting regulations which were published by the National Audit Office (NAO). The scope of the work included the audit of the accounts along with being satisfied that the Council had made proper arrangements for securing Value For Money (VFM). There had been significant changes to the code with respect to VFM which were set out in detail in the report. The materiality level used had been set on a consistent basis as in previous years and all areas over £60,000 were reported. He said that the pandemic had continued to impact the audit in terms of the risk profile as well as the way it was conducted and this was also detailed in the report.

There were two significant risks focussed on this year, the first was management override of controls, areas focussed on were preparation of accounting estimates, looking at inappropriate journal entries and transactions with no economic substance. The second was the recognition of Covid – 19 related income. There were a number of new grants with significant value that were accounted for in different ways. Additional areas of focus included pension liability and the valuation of property, plant and equipment.

The Chairman then moved the recommendation and this was seconded by Councillor Nunn.

In response to questions Officers provided the following information:

- That the pension scheme was administered by Essex County Council (ECC) and the Local Government Pension Scheme (LGPS) made the investment decisions. However, pension figures provided by ECC to Maldon District Council were impacted by those LGPS decisions. It was therefore imperative that the figures were audited to ensure they were correct as they constituted a large net liability on the Council's balance sheet.
- That in respect of the External Auditor's fees a number of discussions had taken place with the External Auditors and a briefing note circulated to all Members of the Committee. The scale fees were set some years back subject to fee variations and due to the nature and increases in audit requirements, which had been substantial, those scale fees had seen a lot of increase. The current fees had been reduced through initial discussions. Once the Audit had been concluded the Auditor would submit the fees to the Public Sector Audit Appointments Limited (PSAA) who will review and give judgement on those. They will also liaise with the Council to determine its view on fee levels. The PSAA benchmark across all local authorities' audits but the actual fee will not be agreed until the audit has been completed. The Briefing Note will be re-circulated.
- That those uncorrected misstatements reported related to last year's accounts, they were below materiality, so no adjustments required. The Valuation of the office related to the overflow carpark where there was a double count including the carpark twice. That in terms of the Mc Cloud Judgement, which related to the pension scheme, there was a late adjustment to the original pension value but because of the size of the scheme and the fact it was an estimate, this was

not adjusted when subsequent information was received from the actuaries around the impact of the Mc Cloud judgement on the scheme.

There being no further queries the Chairman put the recommendation to the Committee and it was agreed by assent.

RESOLVED by assent that the Committee considered the External Audit Planning report as shown in appendix 1.

189. ANY OTHER ITEMS OF BUSINESS THAT THE CHAIRMAN OF THE COMMITTEE DECIDES ARE URGENT

There were none and the Chairman thanked all in attendance for their contributions prior to closing the meeting.

The meeting closed at 8.10 pm.

MRS J C STILTS
CHAIRMAN

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**REPORT of
DIRECTOR OF RESOURCES**

**to
PERFORMANCE, GOVERNANCE AND AUDIT COMMITTEE
23 SEPTEMBER 2021**

UPDATE ON THE AUDIT OF THE 2020/21 ACCOUNTS

1. PURPOSE OF THE REPORT

1.1 To update members on the audit of the 2020/21 accounts.

2. RECOMMENDATIONS

(i) That the report be considered.

3. SUMMARY OF KEY ISSUES

3.1 Due to the pandemic, last year Councils were required to publish their 2019/20 draft accounts by 31 July 2020 and their audited accounts by 30 November 2020. The Council achieved these timeframes.

3.2 For this year the requirements have been moved forward and are to publish 2020/21 draft accounts by 30 June 2021 and audited accounts by 30 September 2021. The Council published its draft accounts by 30 June 2021 but will be unable to have audited accounts by 30 September 2021. After this date, The Accounts and Audit Regulation 2015 requires the Council to publish an explanation of why the audited accounts are not available.

4. ACCOUNTS CLOSURE PROGRESS

4.1 Although the audit timeframe has been moved forward from last year, the pandemic has impacted more on this year's closing process than last year's. This is due to a variety of factors:

- Consistent with the national infection rates, more staff have been impacted by the virus during this closure period.
- The Council is still responding to the pandemic and delivering business as usual activities. For example, starting events again this year, paying business grants, supporting local businesses, COVID enforcement and guidance, additional grant funded activities, supporting vaccinations and testing.
- Increased accounting complexities particularly around grants and the Collection Fund (Council Tax and NNDR) due to new legislation and schemes.
- Increased volume of transactions caused by grants and COVID initiatives.

- Additional audit work caused by increased audit requirements (e.g. value for money) and COVID.
 - Availability of audit staff caused by a national shortage and the pandemic.
- 4.2 In addition, the Council is reliant on external bodies for parts of the accounts and audit, including Essex Pension Fund. As the Council's share of the pension fund is included in its accounts there is a reliance on the Pension Fund's auditors to complete their work. However, the Council has been informed that the Pension Fund audit will not be completed until at least the end of September. This does not allow the Council's auditors time to carry out the work they would need to do before the 30 September and therefore the Council will be unable to publish audited accounts by this date.
- 4.3 Aside from the issues already listed, the small accounting team also experienced resource challenges. Two members of the team left at short notice during the preparation of the accounts including the interim who was leading on the closure and handing over. The draft accounts were still prepared on time, but this did have an impact on the preparation of the audit working papers. COVID related sickness also impacted the team during the audit.
- 4.4 The accountancy team are now fully resourced with permanent staff, in accordance with the structure. Consideration is being given by the Section 151 Officer as to any additional resourcing requirement that may be needed for the future to help build resilience and capacity.
- 4.5 The external auditors have also experienced resourcing issues. This has meant that that they have not been able to continue allocating resources to audit the outstanding items.
- 4.6 Currently the delay has not impacted on audit fees, but the audit work is still ongoing, so the final position is not yet known. Discussions on the fees remain unchanged from that previously reported to Committee members with the fees going to Public Sector Audit Appointments Ltd to be reviewed once the audit is concluded.
- 4.7 No significant areas of concern have been raised by the auditors about the statement of accounts to date. It is anticipated that the accounts will be ready for approval at the next Committee meeting on 18 November 2021.

5. CONCLUSION

- 5.1 The Council's 2020/21 accounts will not be audited by 30 September 2021 and a notification will be published on the Council's website explaining this is due to resourcing issues which have delayed the audit of the accounts.

6. IMPACT ON STRATEGIC THEMES

- 6.1 Producing the statement of accounts is a statutory duty.

7. IMPLICATIONS

- (i) **Impact on Customers** – None

- (ii) **Impact on Equalities** – None
- (iii) **Impact on Risk** – None
- (iv) **Impact on Resources (financial)** – Outlined in the report
- (v) **Impact on Resources (human)** – None
- (vi) **Impact on the Environment** – None
- (vii) **Impact on Strengthening Communities** - None

Enquiries to:

Chris Leslie, Director of Resources – chris.leslie@maldon.gov.uk

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**REPORT of
DIRECTOR OF STRATEGY, PERFORMANCE AND GOVERNANCE**

**to
PERFORMANCE, GOVERNANCE AND AUDIT COMMITTEE
23 SEPTEMBER 2021**

REVIEW OF CORPORATE PERFORMANCE – QUARTER 1

1. PURPOSE OF THE REPORT

- 1.1 The Corporate Performance framework requires this Committee to undertake a quarterly review of the Thematic Strategies performance, as assurance that performance is being managed effectively to achieve the corporate outcomes as set out in the Council's Corporate Plan 2021 - 2023, and for recommended changes and improvements to be reported to the Strategy and Resources Committee in January 2022. **APPENDIX 1** to this report provides an overview of performance as of the end of Quarter 1 (April - June 2021).
- 1.2 Online versions are available to view on the Members' SharePoint site.

2. RECOMMENDATIONS

- (i) That Members review the information as set out in this report and **APPENDIX 1** with priority focus given to the Strategic Outcome level performance;
- (ii) That Members confirm they are assured through this review that corporate performance is being managed effectively.

3. SUMMARY OF KEY ISSUES

- 3.1 Following the agreement of the new Corporate Plan and Thematic Strategies in 2021, key outcomes, activities and priority measures have been identified for monitoring at a corporate level. All measures and associated targets are therefore subject to change. This is to ensure the Council is monitoring and progressing the correct activity for the associated outcome. Some measures have moved over from the 2019-2023 Corporate Plan and others are newly devised.
- 3.2 Since the strategies were adopted however, the Council has had to respond to the local impacts of the Covid-19 pandemic. At all levels in the organisation, this resulted in redeployment and reprioritisation of resources to respond to the community's needs; many of which were not forecast to be priorities. This has already impacted on some strategy's short-term performance, however it is too early to identify medium/longer terms impacts.
- 3.3 Any concerns affecting the corporate outcomes are set out in **APPENDIX 1** for the three Thematic Strategies. To summarise:

- **Place:** Overall the performance delivery is on-track, with the Climate Action Strategy being prepared and the Local Development Plan Review progressing, supporting the Place Strategy and its indicators.
- **Prosperity:** Overall the performance delivery is on track, with the easing of restrictions allowing for major events and businesses to restart.
- **Community:** Overall the performance delivery is broadly on track, there are a few outcomes and activities which have been impacted by Covid-19, however no actionable concerns are reportable for Q1. With restrictions lifting, outcomes are looking to return to their normal course.

3.4 The following indicators have been annotated as 'At Risk' for Q1:

Place Thematic Strategy	<ul style="list-style-type: none"> • One annotated 'At Risk' - "Five Year Housing Land Supply Statement Updated And Published" • Measures annotated 'Awaiting Data' are still being established and data is not yet ready or available.
Prosperity Thematic Strategy	<ul style="list-style-type: none"> • None annotated 'At Risk' • Measures annotated 'Awaiting Data' are still being established and data is not yet ready or available.
Community Thematic Strategy	<ul style="list-style-type: none"> • None annotated 'At Risk' • Measures annotated 'Awaiting Data' are still being established and data is not yet ready or available.

3.5 The following indicators have been annotated as "Awaiting Data":

Place Thematic Strategy	<ul style="list-style-type: none"> • Costs for fly tip clearance (Individual Data Read per quarter) 	Project to be commenced around costs for fly tips, identifying hot spots and investigating the fly tip material and enforcement costs - progressed through Place Scrum with Community Engagement
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	<ul style="list-style-type: none"> No of environment champions appointed in each parish/town (Cumulative/Running Total) 	<p>Officer as Lead and Waste Contracts Manager.</p> <p>This will progress through the community engagement with the climate action strategy work programme – see annual narrative for more detail.</p>
Prosperity Thematic Strategy	<ul style="list-style-type: none"> Number of LDP Employment Land Sites promoted through Maldon district Investment Prospectus (Cumulative/running total) Estimated percentage of businesses engaged in Sense of Place Tourism Value to the District (Value £) AND Tourism Value to the District (Growth %) Engagement With Campaigns 	<p>Measure to become active once Investment Prospectus is developed. This is a new performance measure so no baseline data available. Further indicators to evolve from this as Prospectus is developed.</p> <p>No baseline data is available. Developing an engagement metric to understand the success of the SOP initiative to engage with the Maldon District Business Community.</p> <p>This is a new performance measure so no baseline data is available.</p> <p>Council Officers are developing a baseline of engagement metrics based on best practice to best understand the impacts and value of communication/promotional activity.</p>
Community Thematic Strategy	<ul style="list-style-type: none"> MH2. Number of intergenerational projects delivered in the District (Cumulative/running total) 	<p>There have been no intergenerational projects started throughout the last year due to COVID-19 and schools and social care focuses being elsewhere.</p>

	<ul style="list-style-type: none"> • Y1. Number of awareness raising sessions delivered to schools (Cumulative/Running Total) • TC3. Number of volunteering opportunities promoted across the District (Cumulative/Running Total) • PH4. Number of organisations supported to improve inclusion and accessibility • Y2. Percentage of known youth groups/clubs promoted • PH3. Number Of Community Champions Appointed Across The District 	<p>This is a new performance measure so no baseline data available. MDC is meeting with schools throughout September to discuss this further.</p> <p>This is a new performance measure so no baseline data available.</p> <p>This is a new performance measure so no baseline data available.</p> <p>This is a new measure. However, given that we have worked with some of the youth groups/clubs this year through the remobilisation of youth groups grant we can confirm there are 13 known youth groups/clubs in the District.</p> <p>Data expected from Q3.</p>
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4. CONCLUSION

- 4.1 Most of the reported performance measures at Q1 are illustrating a positive direction of travel despite resource re-direction due to Covid-19. Where hindrances and data gaps are being experienced, solutions are being explored by officers to enable work to progress towards achieving the Corporate Plan outcomes.
- 4.2 Following on from this Quarter 1 report, officers will work to analyse the impact of COVID 19 on our strategies, and how we manage this going forward with the latest easing of restrictions.

5. IMPACT ON STRATEGIC THEMES

- 5.1 It is important that performance is monitored and managed effectively, to ensure that Maldon District Council progresses towards and/ or achieves its stated outcomes.

6. IMPLICATIONS

- (i) **Impact on Customers** – Performance management covers the monitoring of corporate outcomes. The Corporate Plan includes delivery for our customers.
- (ii) **Impact on Equalities** – None.
- (iii) **Impact on Risk** – If performance is not managed effectively by the Council, it puts the Council's corporate outcomes' delivery at risk and increases unnecessary exposure to potential, operational, reputational or regulatory consequences.
- (iv) **Impact on Resources (financial)** – All performance management is undertaken within existing planned budgets.
- (v) **Impact on Resources (human)** – All performance management is undertaken within existing planned budgets.
- (vi) **Impact on the Environment** – None.
- (vii) **Impact on Strengthening Communities** – None.

Background Papers: None.

Enquiries to: Paul Dodson, Director of Strategy, Performance and Governance.

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Corporate Performance Report Q1 – Appendix 1

23rd September 2021

Sustainable Council – Prosperous Future



Appendix Context

- The following slides detail the performance of each corporate outcome, supported by the individual measures agreed in the Thematic Strategies
- An overhaul of the performance measures reported has taken place, to ensure that we are reporting performance related to the new Corporate Plan 2021-2023
- Focus should begin at the outcome level summary, which leads to individual indicator level detail if required.
- Indicators are split into Annual and Quarterly, with annual indicators reporting at the end of each entire reporting cycle.
- The narrative against each outcome indicates if the measures are illustrating the correct direction of travel.
- Where challenges or concerns have impacted the outcomes performance, this will be highlighted in the outcome summary, along with any supporting action if required.

Visual Key



On Track or On Track – All Elements



On Track – Conditional Elements

Note: Conditional elements of `On Track` meaning: not all data received due to frequency, or progress happening but awaiting data conformation



Under Review



At Risk



Not Started

Place Strategic Performance Place Outcomes

Corporate Plan Reference	Title	Status	Commentary
1	Promote Civic Pride And Maintain The District' s Environmental Quality	On Track	Q1 -Will feature heavily in Climate Action Strategy pledges, management plan progress and appointment of environment champions (R&B Survey Questions and Opt-in)
2	Reduce Impacts Of Waste Disposal And Pollution On The Environment	On Track	Q1 - Will feature heavily in Climate Action Strategy pledges and continued partnership working with ECC H&T, Transport East and SELEP
3	Deliver The Housing The District Needs	On Track	Q1 - Current delivery on track via LDP Policies and via LDP Review for future needs
4	Work With Partners To Maintain And Improve The District's Resilience To The Effects Of Climate Change	On Track	Q1 - Will feature in Climate Action Strategy and the work of the ECC Climate Change Commission. Also in partnership with Environment Agency, Water management utility companies and ECC as LLFA
5	Deliver Sustainable Growth And New Infrastructure Through Development	On Track	Q1 - Via LDP Review and existing LDP and SPDs

Place Supporting Plans - Quarterly

Supportive Outcome	Place Actions Plans	Status	Highlights/Low Lights	Target
3. Deliver The Housing The District Needs	Percentage Of Homes Delivered On The Strategic Allocations Compared To The LDP Housing Trajectory (LDP page 19; para 2.16)	On Track 	Q1 - The housing trajectory is out of date hence the LDP Review. Progress being made on strategic housing site build out rates with developers to accelerate delivery. However, delays continue with build out rates on Sites S2b - Land North of Knowles Farm (DPE) and S2d - Land West of Broadstreet Green (Countryside Properties) but reserve matters applications are progressing.	0.75
3. Deliver The Housing The District Needs	Housing Delivery Test (HDT) Results Published By MHCLG	On Track 	Q1 - Site visits recommenced following easing of Covid restrictions	0.95
3. Deliver The Housing The District Needs & 5. Deliver Sustainable Growth And New Infrastructure Through Development	Monitor All S106 Agreements And Publish In Infrastructure Delivery Statement	On Track 	Q1 - S106 monitoring up to date and progressing towards end of year Infrastructure Delivery Statement. Known issues with South Maldon relief road actively discussed with ECC and Levelling Up Funding applied for to progress delivery of key infrastructure.	100% Implementation And Publish Yearly
3. Deliver The Housing The District Needs	Number Of Affordable Homes Delivered	On Track 	Q1 - Strategic housing allocations and Major Applications continue to progress affordable housing delivery. 49 in total - 7 on Theedhams Farm Southminster, 6 on Maldon Road Burnham On Crouch, 30 on Handley Gardens Limebrook Way and 6 on Kings Road Southminster.	130 p.a.
3. Deliver The Housing The District Needs	Five Year Housing Land Supply Statement Updated And Published	At Risk 	Q1 - Site visits recommenced to monitor delivery of housing on strategic sites following easing of Covid restrictions. LDP review progressing following 'call for sites' for further housing and employment land. Issues and Options for boosting the housing land supply are progressing. Supply has fallen under five years and remedial action is in place, so the action plan is on track.	5 Year Minimum
5. Deliver Sustainable Growth And New Infrastructure Through Development	Monitor Delivery Of Superfast Broadband To Essex CC Programme Rollout To Ensure Targets Are Met Within The Maldon District	On Track 	Q1 - Programme rollout progressing. Identified hold ups due to wayleaves and funding issues continue to be progressed and resolved through Superfast Essex Steering Group (led by ECC).	99% Coverage By Q4
4. Work With Partners To Maintain And Improve The District's Resilience To The Effects Of Climate Change	Develop And Adopt Blackwater Estuary Conservation Strategy	On Track 	Q1 - Blackwater Partnership Group (ECC, Natural England, Essex Wildlife Trust and neighbouring authorities) continue to raise the profile of Blackwater Estuary as an environmental asset for nature/habitat/ecology conservation and regeneration, for example Saltmarsh Regeneration, Sea Grass Regeneration, Reuse of Dredged Materials plus CO2 storage (saltmarsh).	Quarterly Progress
2. Reduce Impacts Of Waste Disposal And Pollution On The Environment & 4. Work With Partners To Maintain And Improve The District's Resilience To The Effects Of Climate Change	Preparation And Adoption Of Climate Action Strategy And Climate Action Plan	On Track 	Q1 - 'Our Home - Our Future'. Project Group/Member Working Group established - 5 themes for action (Kick The Car Habit, Produce Less Waste, Show Nature We Care, Be A Council That Leads By Example and Develop A Strong Policy Commitment To Climate Action To Ensure A Whole System Approach To Reduce Our Carbon Emissions, Improve Our Resilience And Provide Greener Living) . Climate Action Friends sought for future community engagement	Strategy Adopted By Q3 (December 2021)

Place Supporting Plans - Quarterly

Supportive Outcome	Place Actions Plans	Status	Highlights/Low Lights	Target
2. Reduce Impacts Of Waste Disposal And Pollution On The Environment & 4. Work With Partners To Maintain And Improve The District's Resilience To The Effects Of Climate Change	Implement Air Quality Management Area (AQMA) Action Plan 2020-2025	On Track - Conditiona El ... its 	Q1 - Maldon Transport Strategy to commence shortly as part of AQMA Steering Group work programme. ECC to commission MTS and will align all relevant sustainable transport (walking, cycling, bus) options to scope the Maldon Transport Strategy including Maldon Cycle Action Plan, CAMP Projects (Project 1 Upper High Street Improvements, Project 2 Lower High Street Action Plan and Town Centre Strategy, Project 7 Heybridge Creek Connection, Project 9 Causeway Corridor Landscape and Public Realm Strategy). MDC continues to seek funding to implement actions.	To AQMA Action Plan Timetable

Supportive Outcome	Place Actions Plans	Status	Highlights/Low Lights/R&B Feedback	Target
1. Promote Civic Pride And Maintain The District' s Environmental Quality	Number Of Environment Champions Appointed In Each Parish/Town - SPECIFICALLY What Residents And Businesses Are Dissatisfied With e.g. Litter, Dog Fouling – In Countryside, Coast Or Town Centres etc. As Per Resident And Business Survey	On Track 	Regarding the number of environment champions, this will progress through the community engagement with the climate action strategy work programme and pledges such as 'Produce Less Waste', 'Be Kind To Nature' and 'Kick The Car Habit' etc. (Climate Action Strategy to be approved November 2021), through engagement with parish and town forum (Joshua Fulcher leads). Next resident and business survey is October 2021 and will ask pertinent questions regarding dissatisfaction rates. There will also be an Opt-In question for environment champion interest and climate action friend interest.	Improvement On 50.20% Baseline - Via R&B Survey
Promote Civic Pride And Maintain The District' s Environmental Quality	Number Of Up To Date Management Plans In Place For MDC Owned Public Open Space - SPECIFICALLY What Residents And Businesses Are Dissatisfied With e.g. Vandalism, Graffiti, Overflowing Bins, Weeds, Litter etc.	On Track 	Through CAMP the scope of the management plan for Promenade Park has commenced (Project 16 CAMP). Next resident and business survey is October 2021 and will ask pertinent questions regarding dissatisfaction rates.	Improvement On 32% Baseline - Via R&B Survey

Place Performance Measures - Quarterly

Number Of Fly Tipping Incidents (On Public Land) and Percentage Removed Within 24 Hours (Contractor Time)

● Number Of Fly Tipping Incidents (On Public Land) ● Percentage Removed (Public Land) Within 24hrs (Contractor Time)



APPENDIX 1

AWAITING DATA

Total Spend So Far For Fly Tipping Removals (As Of Q1 2021/22)

Costs For Fly Tip Clearance

AWAITING DATA

Number Of Environment Champions Appointed In Each Parish/Town (Cumulative)

target per year: 2

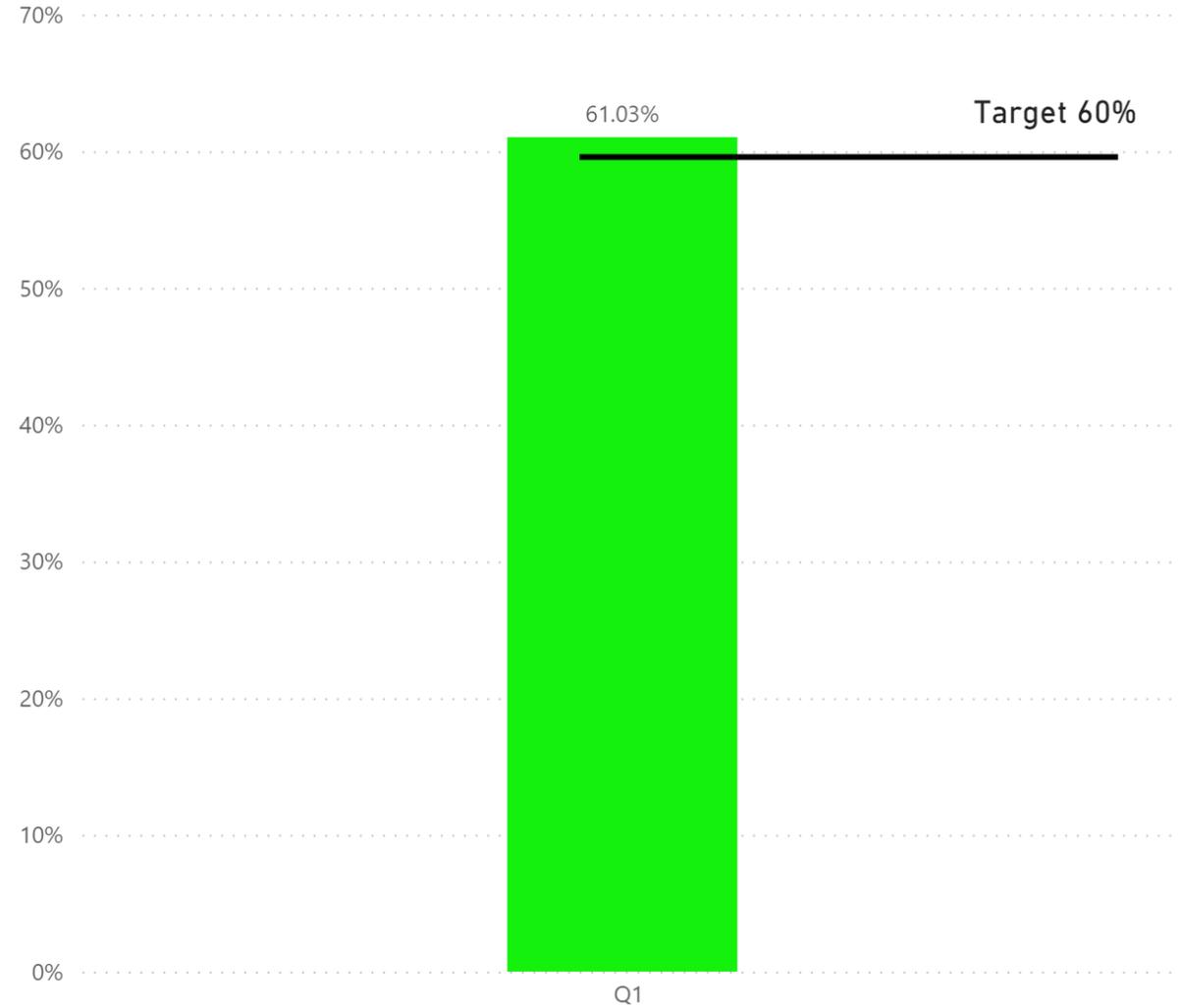
AWAITING DATA - Environment champions to be recruited from Q3

Place Performance Measures - Quarterly

Number Of Up To Date Management Plans In Place For MDC Owned Public Open Space (Cumulative)



Percentage Of Household Recycling Rates



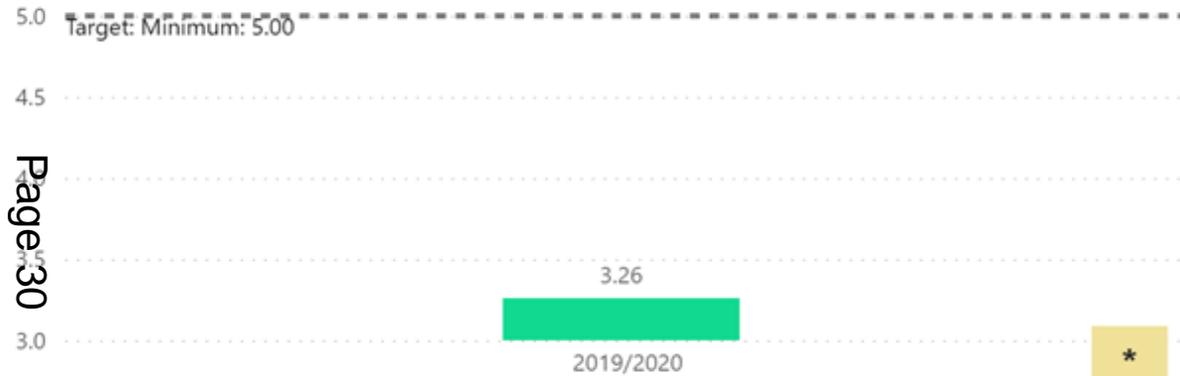
Place Performance Measures - Annual

Please note:
Data from 2019/2020 or 2020/2021 to provide a baseline where possible.

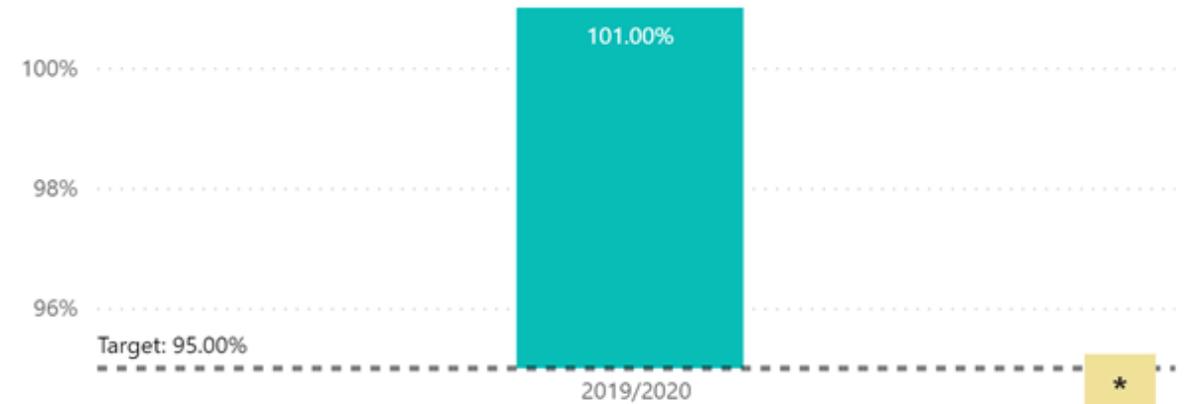
*No Baseline data available for 20/21 not available until November

Calculate and Publish Statutory Housing Delivery Data

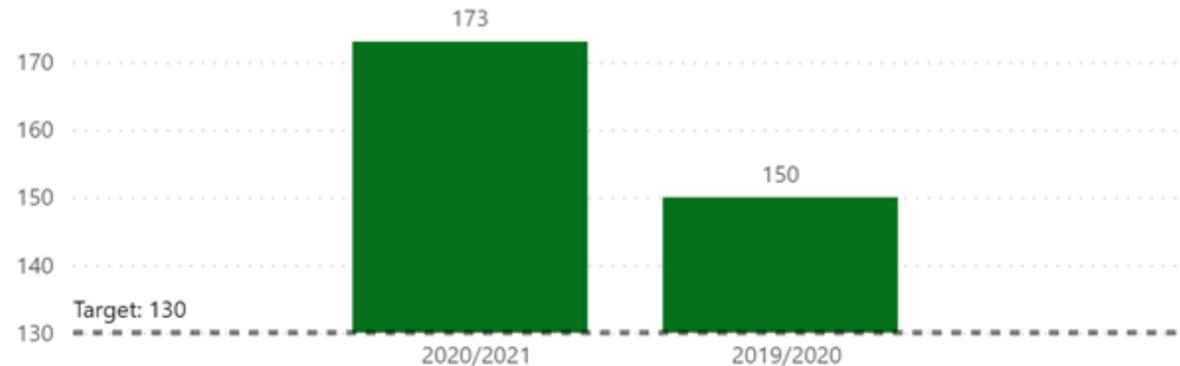
Five Year Housing Land Supply Statement Updated And Published (Supply In Years)



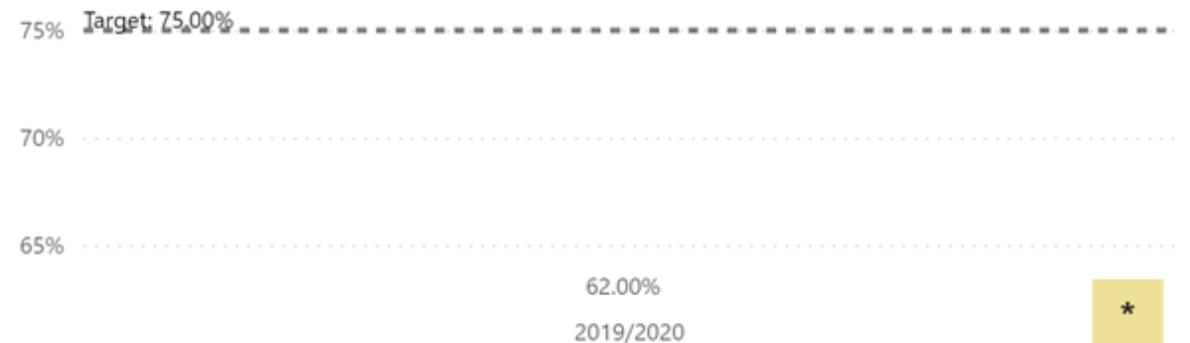
Housing Delivery Test (HDT) Results Published By MHCLG



Number Of Affordable Homes Delivered



Percentage Of Homes Delivered On The Strategic Allocations Compared To The LDP Housing Trajectory (LDP page 19; para 2.16)



Prosperity Strategic Performance Outcomes

Corporate Plan Reference	Title	Status	Commentary
6	Enabling Future Economic Investment And New Jobs	On Track 	Q1 - The scoped Maldon District Investment Prospectus will announce our area for inward investment, supporting and enabling business and job growth. It will directly support the delivery of LDP Policy E1
7	Supporting Existing Local Businesses	On Track 	Q1 - Support for local businesses continues to be progressed through our partnership with Sense of Place. Current initiatives include Keep it Local Campaign and business training and Click it Local commission.
8	Enhancing And Promoting The District's Visitor Economy	On Track - Conditional Elements 	Q1 - Promotion and major events legally restricted during this period. Engagement with events promoters for the summer quarter is ongoing in partnership with the Safety Advisory Group Blue Light Services. Major events to restart in line with easing of restrictions, for example Fantasia and Raver Tots.

Supportive Outcome	Prosperity Actions Plans	Status	Highlights/Low Lights	Target
6. Enabling Future Economic Investment And New Jobs	Build And Deliver Maldon District Investment Prospectus	On track 	Q1 - Following the approval of the project proposal, delivery is being scoped and work is commencing to develop the Investment prospectus. Initial steps must ensure the work aligns with the LDP review, secures the right platform for the micro site and effectively engages with employment site owners and agents.	By Q4 2021/2022
8. Enhancing And Promoting The District's Visitor Economy	Engagement With Campaigns	On Track - Conditional Elements 	Q1 - Campaigns to enhance and promote the visitor economy are gradually starting to be developed following the easing of Covid restrictions. Our Heritage and Cultural Recovery Co-Ordinator (Culture Recovery Fund) which had been a Lottery funded post until July 2021, has made good progress in supporting our cultural and heritage sector and getting them ready to welcome visitors and look at how they could operate with Covid measures in place. Our main focus has been the development of our new website www.VisitMaldonDistrict.co.uk and onboarding the Tourism businesses in the District. The management of reopening the Splash Park and Beach Huts for the season including a bespoke booking system was also developed by the team.	TBC

Prosperity Supporting Plans - Annual

APPENDIX 1

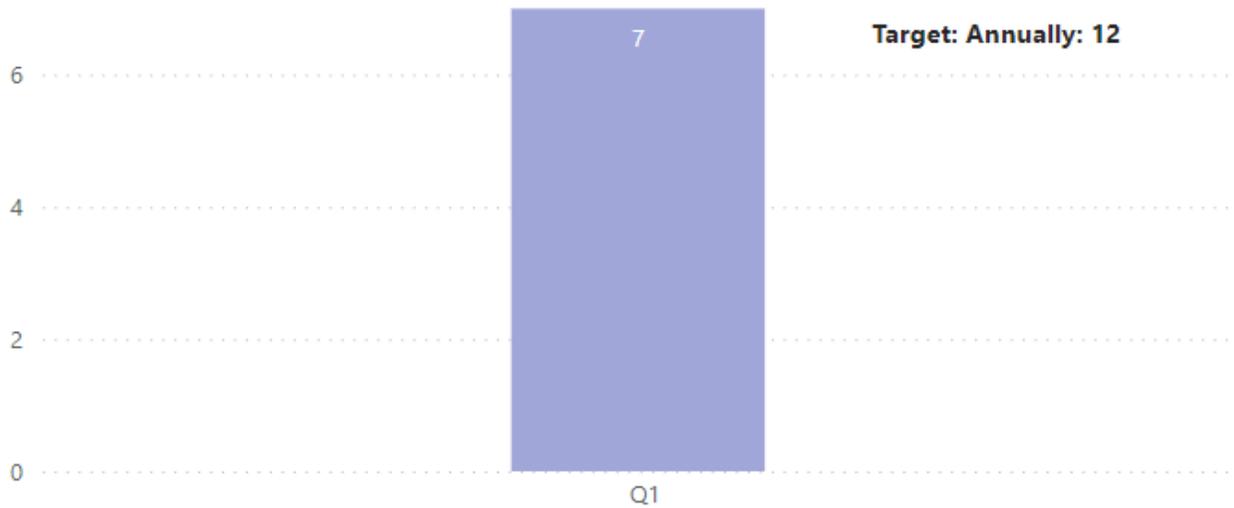
Supportive Outcome	Prosperity Actions Plans	Status	Highlights/Low Lights/Feedback	Target
6. Enabling Future Economic Investment And New Jobs	Business Satisfaction With MDC Services. (Via Survey)	On Track 	Recent survey data has shown that there is room for improvement in businesses satisfaction with MDC services. It is hoped that the development of the (SoP) Maldon District Business Network will enrich this intelligence and improve the reach of the survey data set to better understand feedback from local businesses and enable service improvement.	30.00%
8. Enhancing And Promoting the District's Visitor Economy	Business Benefit Through Tourism Activity - Evidence (Via Survey)	On Track 	Tourism Activity in the District is now estimated to account for 17% of all employment. As the local Destination Management Organisation we hope to support this sector and enable more businesses to benefit from this market and opportunity. Ideas like the Grape and Grain in the Park, show how local producers can be directly supported to reach new customers on council land.	30.00%

Prosperity Performance Measures - Quarterly

Number Of LDP Employment Land Sites Promoted Through Maldon District Investment Prospectus (Cumulative)

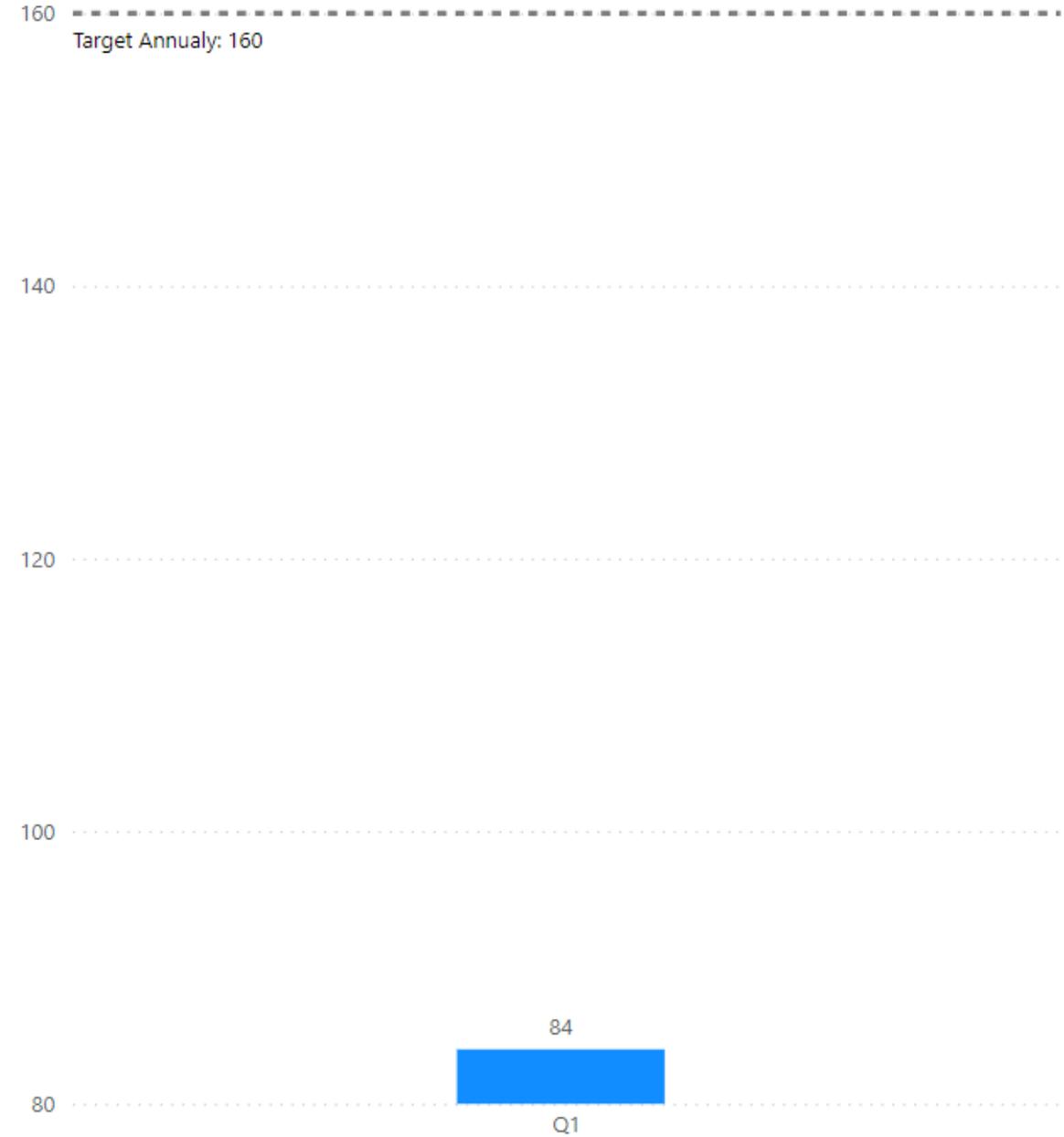


Number Of Business Groups Engaged In SOP Business Network (Cumulative)



Number Of Members Of Maldon District Business Group (LinkedIn) (Cumulative)

APPENDIX 1



Prosperity Performance Measures - Quarterly

Engagement With Campaigns

1.0

AWAITING DATA

0.0

0

Total

Page 35

Economic Value Of Events In £ (Estimate)

APPENDIX 1

1

0

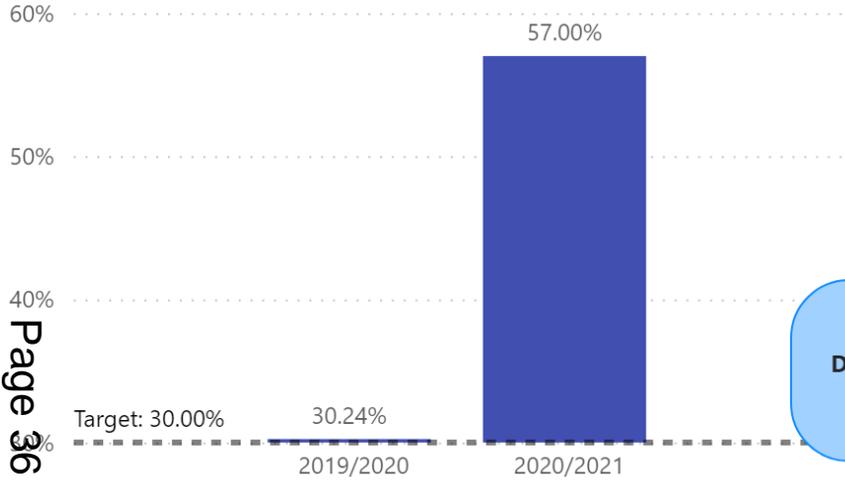
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Q1

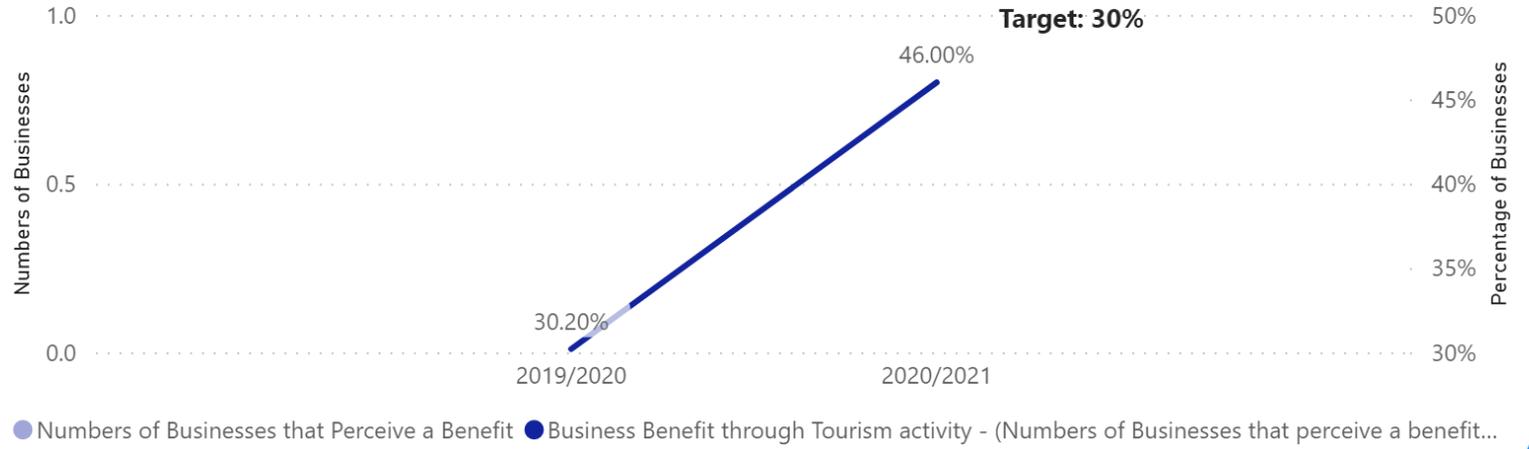
Prosperity Performance Measures - Annual

Business Satisfaction With MDC Services. (%)



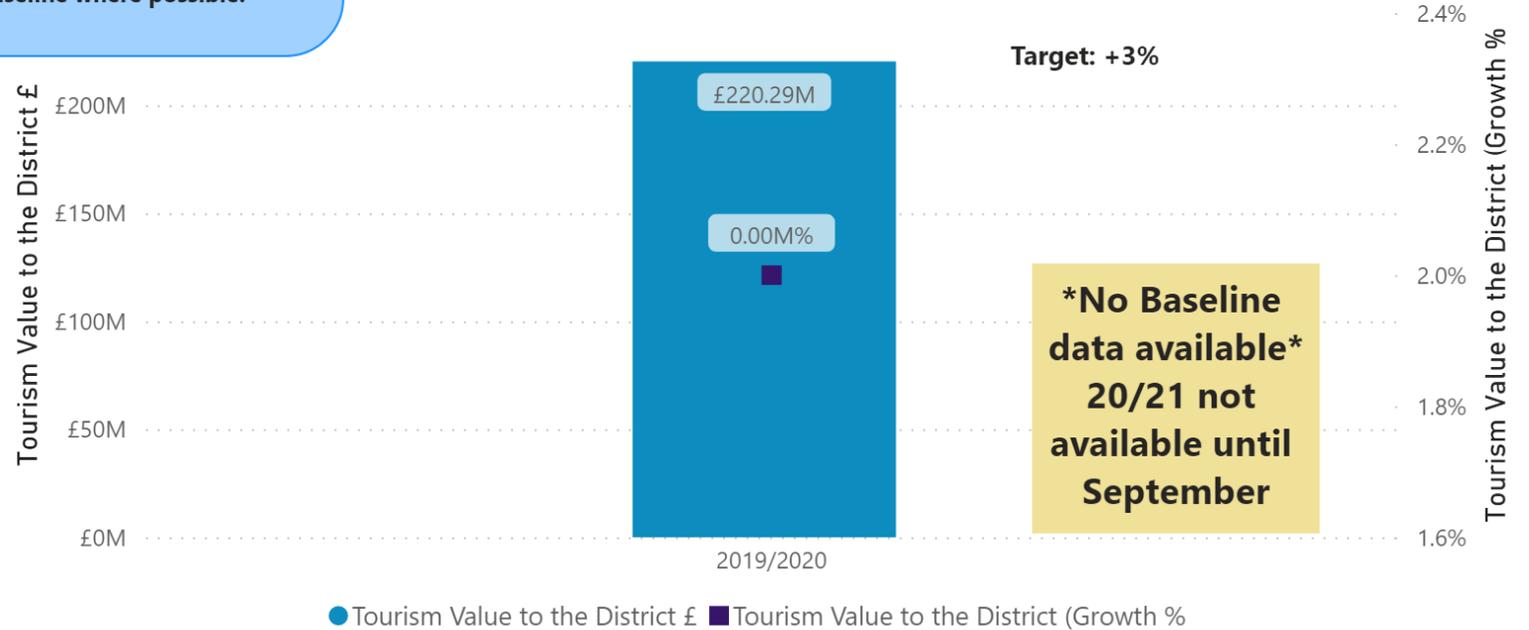
Business Benefit Through Tourism Activity - (Numbers And Percentage Of Businesses Surveyed That Perceive A Benefit)

APPENDIX 1

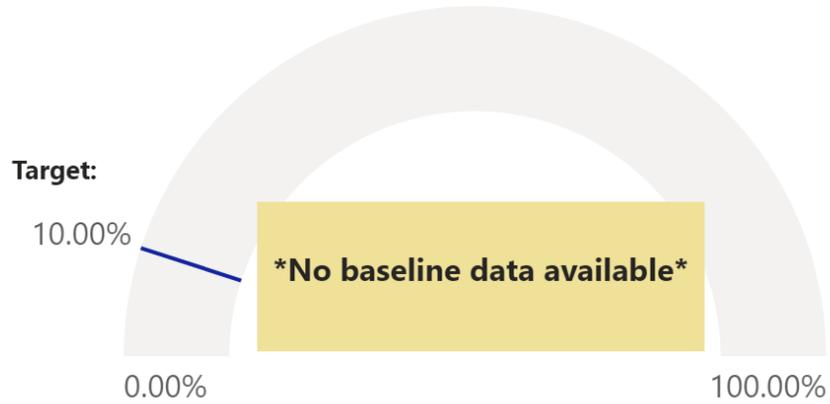


Please note:
Data from 2019/2020 to provide a baseline where possible.

Tourism Value To The District In £ And Growth In %



Estimated Percentage Of Businesses Engaged In Sense Of Place



Community Strategic Performance Community Outcomes

Corporate Plan Reference	Title	Status	Commentary
13	Building On The Strengths Of Our Communities And What They Can Do To Support Themselves And Help Each Other To Thrive	On Track	Q1 - We have continued to work with Maldon District COVID-19 Community Response to aide and support COVID-19 community recovery. We are a key member of the Maldon District Community Forum which brings together residents and professionals from within the District to build on community strengths, better understand needs and how to utilise community assets to improve the places where people live and work.
12	Ensuring The Safety And Wellbeing Of Our Vulnerable Children, Adults And Families	On Track-Conditional Elements	Q1 - We are continuing to work with our partners to ensure our staff are appropriately trained to provide the best support possible to our communities, through safeguarding e-learning modules and Make Every Contact Count Training.
10	Working With Our Communities And Partners To Improve The Mental Health And Well-being Of Our Residents	On Track	Q1 - We have continued to work with our partners to ensure we are supporting each other to deliver the projects and initiatives to improve resident's mental health and well-being. We are now a key member of the Essex Mental Health Collective Communications Group, where we receive insight into Essex-wide projects and initiatives and funding opportunities that can support our local community and our strategic objectives.
9	Working With Our Communities And Partners To Improve The Physical Health And Well-being Of Our Residents	On Track	<p>Q1 - We have continued to work in partnership with partners to deliver projects and initiatives to improve residents physical health and well-being. As part of this, we have delivered a Livewell Grants process, funding 10 local community organisations to deliver projects that focus on our Livewell priorities.</p> <p>We are currently working on the format and structure of the One Maldon initiative which will facilitate a new system-wide approach to community safety and health and wellbeing.</p> <p>We are a key member of The Mid Essex Alliance, working with our partners to work towards COVID-19 recovery, an integrated health and social care (including the development of PCNs), and renewing our focus on prevention and reduction of health inequalities.</p>
11	Working with our Communities, Schools And Partners, To Improve Our Children And Young Peoples' Health And Well-being, Giving Them The Best Start In Life	On Track-Conditional Elements	Q1 - As this is a new outcome we are currently building a rapport with schools and youth groups across the District to understand and map out the needs of children and young people across the District.

Supportive Outcome	Community Actions Plans	Status	Highlights/Low Lights	Target
9. Working With Our Communities And Partners To Improve The Physical Health And Well-being Of Our Residents	PH2. Number Of Physical Activity Promotions/Campaigns	On Track 	Q1 - Continued promotion of national, regional and local initiatives. In Q1, we have successfully delivered two Livewell Grants processes.	24 Promotions + 2 Campaigns
9. Working With Our Communities And Partners To Improve The Physical Health And Well-being Of Our Residents	PH5. Participation At Leisure Centres (Places Blackwater Leisure And Dengie 100)	On Track 	Q1 - In correspondance with the leisure facility staff are closely monitoring levels of participation at the leisure centres post covid and easing of restrictions, to fully understand last years closures.	1% Increase Year on Year
10. Working With Our Communities And Partners To Improve The Mental Health And Well-being Of Our Residents	MH1. Promotion Of Mental Health, Social Isolation And Loneliness Initiatives	On Track 	Q1 - Continued promotion of national, regional and local initiatives. In Q1, we have successfully delivered two Livewell Grants processes.	24 Promotions + 2 Campaigns
10. Working With Our Communities And Partners To Improve The Mental Health And Well-being Of Our Residents	MH2. Number Of Intergenerational Projects Delivered In The District	On Track 	Q1 - MDC are currently consulting with care homes and youth groups/schools across the District on how we can deliver intergenerational projects/mental health and physical health projects. There has been no intergenerational projects started throughout the last year due to COVID-19 and schools and social care focuses being elsewhere.	1 New School Per Year
13. Building On The Strengths Of Our Communities And What They Can Do To Support Themselves And Help Each Other To Thrive	TC1. Number Of Multi-Agency Events Delivered In The District	On Track 	Q1 - The Maldon Community Safety Engagement and Bike Marking Event took place at Promenade Park, Maldon. The event was organised by Maldon District Community Safety Partnership (CSP) with support from partner agencies that include Maldon District Council, Essex Police and Essex County Fire & Rescue.	1 per quarter
13. Building On The Strengths Of Our Communities And What They Can Do To Support Themselves And Help Each Other To Thrive	TC4. Number Of Parish And Town Council Digital And Face-To-Face Engagements By Community Engagement Team.	On Track 	Q1 - We recently hosted the quarterly Parish Clerks Forum where the Community Champion programme was discussed and how the Parishes and Town Councils can help with engagement of local residents. Our Community Engagement recently worked with the Community Safety Partnership to host a bike-marking event in Promenade Park. Members of the Community Engagement team will attend the Parish Clerks Forum to ensure two-way effective communication between MDC and Parish and Town Councils.	30 Over the Year

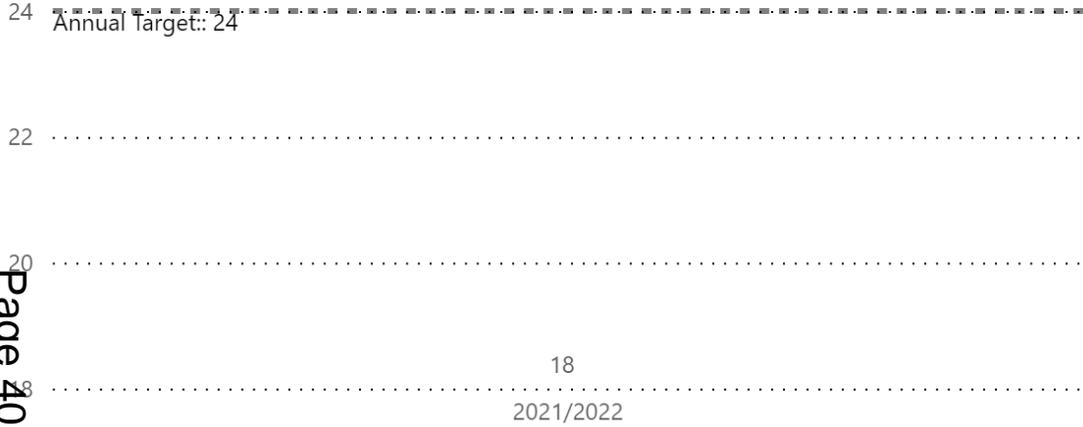


Supportive Outcome	Community Actions Plans	Status	Highlights/Low Lights
11. Working with our Communities, Schools And Partners, To Improve Our Children And Young Peoples' Health And Well-being, Giving Them The Best Start In Life	MH3. Number Of Schools Supported By MDC Year 6 Transition Template	On Track 	MDC are working with partners across Essex to develop a pilot in North Essex to capture a wider data sample to inform the programme.
9. Working With Our Communities And Partners To Improve The Physical Health And Well-being Of Our Residents	PH3. Number Of Community Champions Appointed Across The District	On Track 	MDC have been in discussion with Epping Forest DC to understand their methods for implementing Community Champions. MDC have also presented a Community Champions Programme to parish clerks to gain their feedback.
9. Working With Our Communities And Partners To Improve The Physical Health And Well-being Of Our Residents	PH4. Number Of Organisations Supported To Improve Inclusion And Accessibility	On Track 	MDC have recently refreshed the Equality, Diversity and Inclusion Policy to incorporate working with our communities to improve inclusion and accessibility. We continue to work with the Maldon District Dementia Action Alliance to ensure a partnership approach with tackling dementia in the community.
9. Working With Our Communities And Partners To Improve The Physical Health And Well-being Of Our Residents	PH1. Number of Community Weight Management Sessions Delivered To Parishes And	On Track-Conditional Elements 	MDC is currently in conversation with Provide around delivery of these sessions. Due to Covid, their delivery model has had to adapt.

Community Performance Measures - Quarterly Data

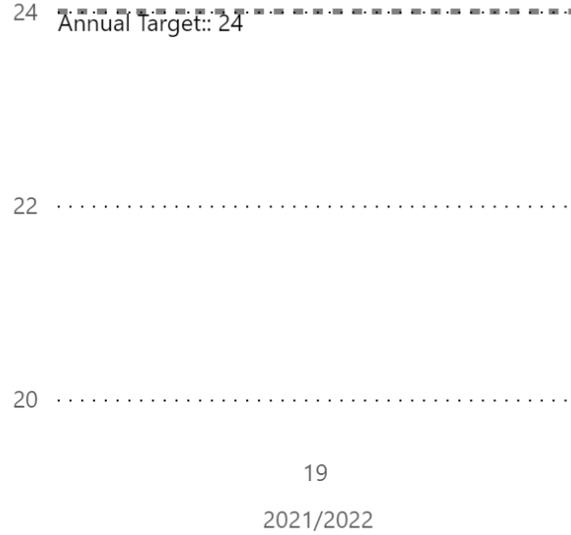
PH2. Number Of Physical Activity Promotions/ Campaigns (Cumulative)

● Q1



MH1. Promotion Of Mental Health, Social Isolation And Loneliness Initiatives (Cumulative)

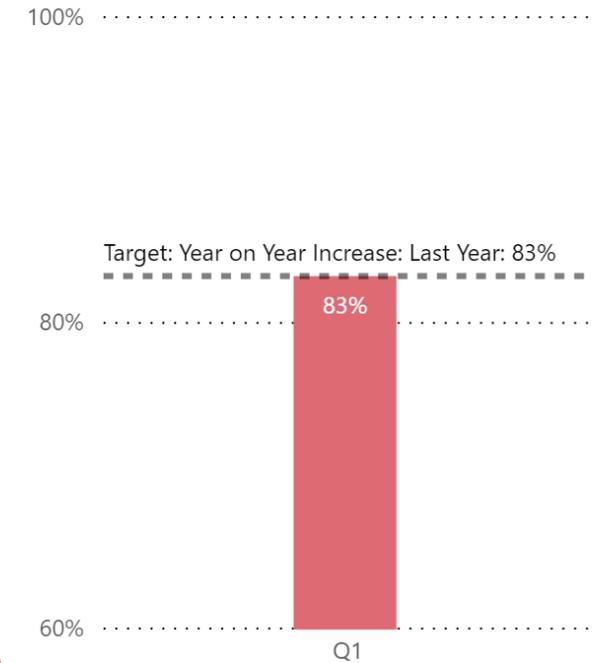
● Q1



Y1. Number Of Awareness Raising Sessions Delivered To Schools (Cumulative)

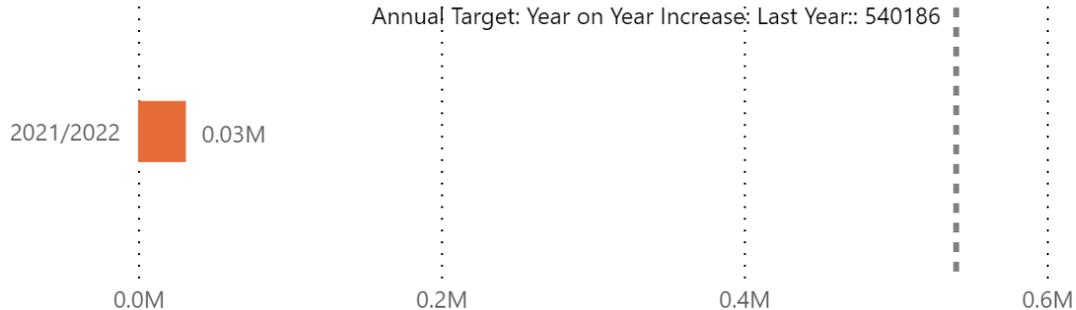


S1. Percentage Of MDC Customer Facing Staff Who Have Received "Make Every Contact Count" Training



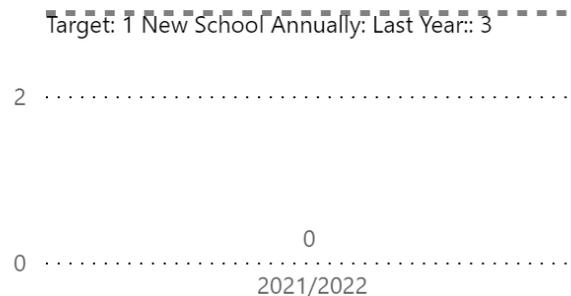
PH5. Participation At Leisure Centres (Places Blackwater Leisure And Dengie 100)

● Q1



MH2. Number Of Intergenerational Projects Delivered In The District (Cumulative)

● Q1



Community Performance Measures - Quarterly Data

S2. Staff Completion Of E-Learning Modules On Safeguarding Vulnerable Adults And Young People and GDPR (Completion Rate Per Quarter Not Cumulative)

Target: 100%

Q1
Page 41



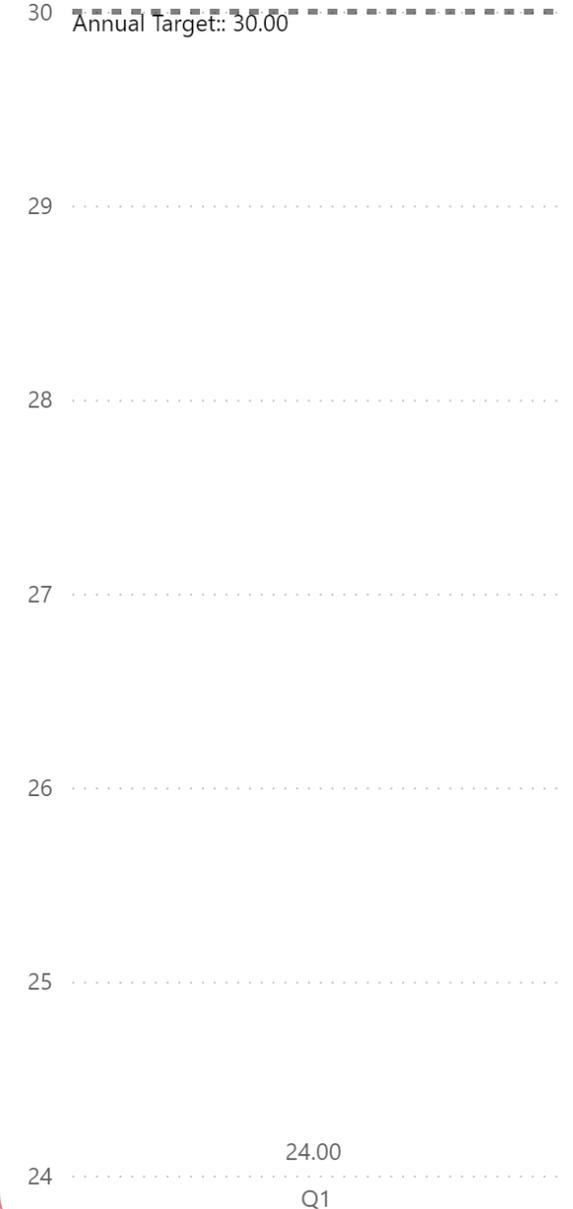
TC3. Number Of Volunteering Opportunities Promoted Across The District (Cumulative)

AWAITING DATA

TC1. Number of Multi-Agency Events Delivered In The District (Cumulative)



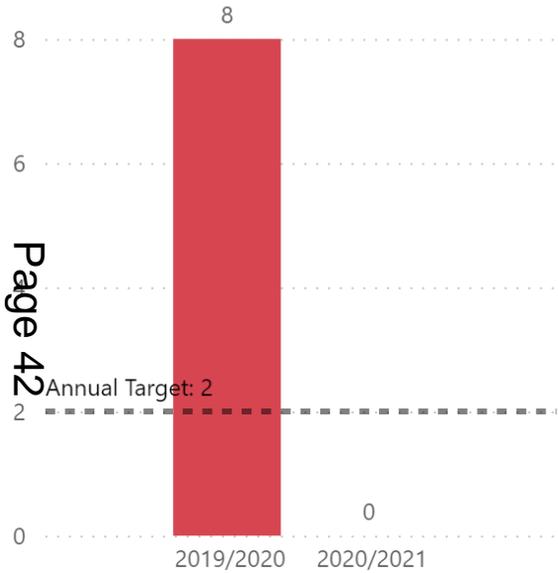
TC4. Number Of Parish And Town Council Digital And Face-To-Face Appointments By Community Engagement Team (Cumulative)



Community Performance Measures - Annual Data

Please note:
Data from 2019/2020 to provide a
baseline where possible.

PH1. Number Of Community Weight Management Sessions Delivered To Parishes And Participant Feedback



PH3. Number Of Community Champions Appointed Across The District



PH4. Number Of Organisations Supported To Improve Inclusion And Accessibility

No baseline data available

Target: Year on Year Increase: Last Year: 0

Annual Target: 2

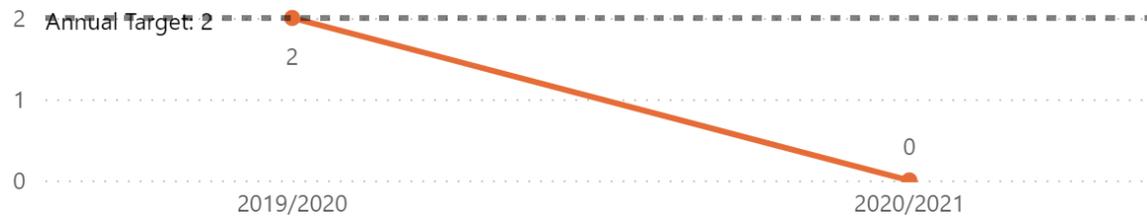
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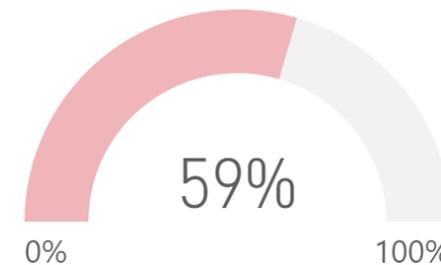
2019/2020

2020/2021

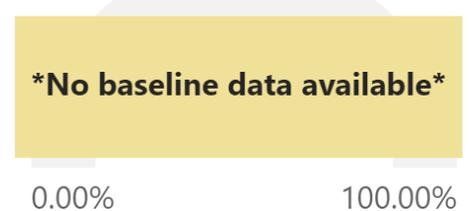
MH3. Number Of Schools Supported By The MDC Year 6 Transition Template To Identify Children With Unaddressed Mental Health Concerns And Require Support



TC4. Annual Better Care Fund Spent (Dependent On COVID)



Y2. Percentage Of Known Youth Groups/Clubs Promoted



13

No. Known Youth Groups

No baseline data available

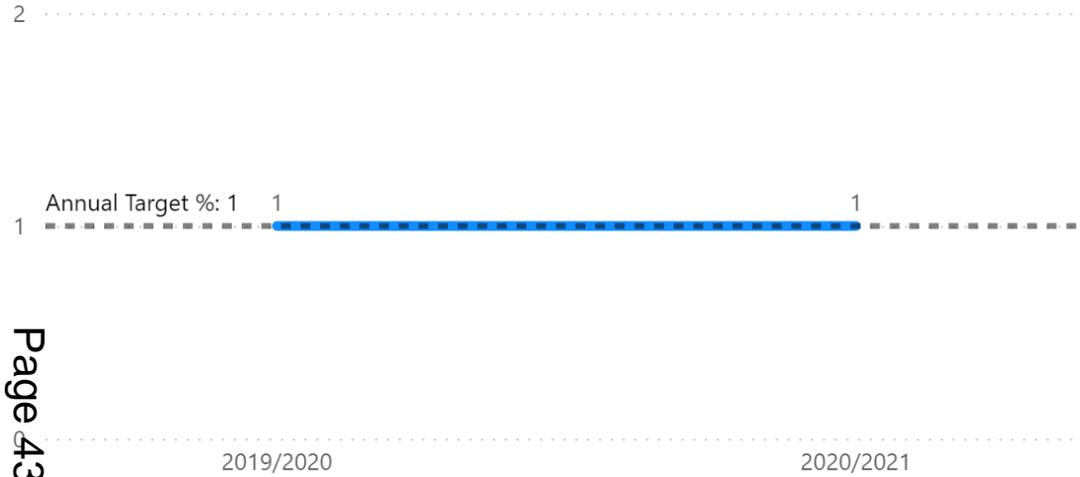
No. Youth Groups Promoted

Community Performance Measures - Annual Data

Please note:
Data from 2019/2020 to provide a
baseline where possible.

APPENDIX 1

TC2. Customer Evaluation Survey (MDC) – Private Sector Housing Grants/ Loans (Cumulative)



Page 43

Note: This is an evaluation survey filled in by customers (feedback sheet) from those who have received this service. Data is per sheet or feedback sheet received.

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**REPORT of
DIRECTOR OF STRATEGY, PERFORMANCE AND GOVERNANCE**

**to
PERFORMANCE, GOVERNANCE AND AUDIT COMMITTEE
23 SEPTEMBER 2021**

REVIEW OF CORPORATE RISK - QUARTER 1

1. PURPOSE OF THE REPORT

- 1.1 The Risk Management Policy requires this Committee to undertake a quarterly review of the Corporate Risk Register as assurance that the corporate risks are being managed effectively. **APPENDIX 1** is attached to the report for this purpose.

2. RECOMMENDATIONS

- (i) That Members review the Corporate Risk Register in **APPENDIX 1** and provide comment and feedback for consideration;
- (ii) That Members are assured through this review that corporate risk is being managed effectively;
- (iii) That Members challenge risk where the Committee feels that the Council's corporate goals may not be achieved.

3. SUMMARY OF KEY ISSUES

- 3.1 **APPENDIX 1** shows a table of the Corporate Risk Register, the latest ratings together with officer commentary.

3.2.1 Summary of risk direction / changes since Quarter Four (Q4)

- All risks remain unchanged in rating since last report.

APPENDIX 1 shows all risks on the Corporate Risk register, colour coded to reflect their tolerance level as defined in the Risk Management Strategy, and also gives commentary to show the actions that are taking place to manage the risks and reduce further escalation wherever possible.

3.2.2 Emerging Risks

- R10 –*failure to develop jobs to support the growing population* there are likely to be changes as this and the emerging picture from the pandemic evolve
- R29 –*failure to deliver services as a result of covid-19* changes are likely as restrictions ease
- R9 –*failure to have a coordinated approach for inward investment and maximising business rates growth* as above, the evolving picture of the pandemic is likely to cause changes (whether positively or negatively), as is the

creation of The Maldon District Investment Prospectus which aims to cause a positive change in circumstances around this risk.

- **Note concerning emerging risks from service level:** Service level risks are identified and monitored in Service Plans by the relevant Service Plan Owners. They are then escalated, if deemed appropriate and necessary, to committee level for consideration.

4. CONCLUSION

- 4.1 Overall, no major Corporate Risk Register concerns have been raised. COVID-19. The Pandemic is a constant presence on the landscape thus far, however the Council continues to mitigate any risks caused by this. The risk around the failure to deliver the five year supply of housing land has been realised by Council and work around this is ongoing alongside the Local Development Plan Review as per last quarter. Work continues to ensure all risks are mitigated, and where possible, working towards their closure.

5. IMPACT ON STRATEGIC THEMES

- 5.1 It is important that risk is monitored and managed effectively, to ensure that Maldon District Council progresses towards and/ achieves its stated outcomes.

6. IMPLICATIONS

- (i) **Impact on Customers** – Those risks in the Corporate Risk Register are defined as having a wider impact on our customers and delivery. The monitoring and mitigation of these will reduce the impact on customers.
- (ii) **Impact on Equalities** – None.
- (iii) **Impact on Risk** – If risk is not managed effectively by the Council, it puts the Councils strategic delivery at risk and increases unnecessary exposure to potential, operational, reputational or regulatory consequences.
- (iv) **Impact on Resources (financial)** – All risk management is undertaken within existing planned budget. Exceptions being for a potential enactment of a recommendation outside of pre-defined resource.
- (v) **Impact on Resources (human)** – All risk management is undertaken within existing planned budget. Exceptions being for a potential enactment of a recommendation outside of pre-defined resource.
- (vi) **Impact on the Environment** – None.
- (vii) **Impact on Strengthening Communities** – None.

Background Papers: None.

Enquiries to: Paul Dodson, Director of Strategy, Performance and Governance.

Corporate Risk Report Q1 – Appendix 1

23rd September 2021

Please note risks are sorted in 'Overall Risk Rating' descending order

Risk Assessment Scale

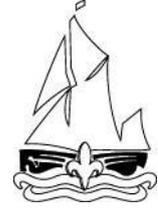


Title	Risk Description	Likelihood	Impact	Overall Risk Rating	Rating direction	Commentary
R7	Failure to maintain a 5 year supply of Housing Land	5	5	25	Risk Rating Unchanged	Q1 - Risk is realised. LDP Review progressing to allocate land for housing to boost the 5YHLS. Call for sites completed and assessment ongoing. LDP Review progressing to Issues and Options.
R15	Failure to plan and deliver balanced budgets over the medium term	4	5	20	Risk Rating Unchanged	Q1 - The 20/21 outturn showed an increased provisional general fund balance of £5.8m at year end. As such the probability of the balance falling below the £2.6m minimum level by 23/24 is much lower. However, challenges remain around setting a budget that does not continue to use reserves and key contracts are due for review in 2024, which pose a significant financial risk.
R8	Failure to meet the affordable housing need	4	5	20	Risk Rating Unchanged	Q1 - A Commuted Sums Strategy has been drafted and it is envisaged that this will be presented to the S&R in September. Alongside this MDC is progressing a number of options for assisting the delivery of additional affordable housing within the District.
R10	Failure to develop jobs to support the growing population	4	4	16	Risk Rating Unchanged	Q1 – While restrictions are lifting and enabling businesses to open up, Covid-19 still remains the dominant force on the economic landscape and the full impact and implications of the pandemic and related restrictions continue to be unknown. The Covid-19 Economic Recovery and Transformation Plan has been created and actions are being progressed.
R25	Failure to deliver finances associated to transformation programme.	4	4	16	Risk Rating Unchanged	Q1 - The shortfall in commercial income remains challenging and the MTFS is being updated to reflect realistic proposals in the current economic position.
R29	Failure to deliver services as a result of COVID- 19	4	4	16	Risk Rating Unchanged	Q1 - Services have continued to be delivered. Challenges still exist with some staff having to self-isolate which has an impact upon resources. The Council continues to follow Government guidance and legislation. Changes expected in mid July to the roadmap which will see restrictions eased.

Title	Risk Description	Likelihood	Impact	Overall Risk Rating	Rating direction	Commentary
R5	Failure to deliver the required infrastructure to support development arising from the LDP	4	4	16	Risk Rating Unchanged	Q1 - All strategic housing sites progressing along with delivery of identified/necessary supporting infrastructure (monitored by S106 officer) as detailed in LDP. Recent focus is on delivering SMRR and Maldon Health Hub where known funding issues and access issues are progressed via Transport Coordination Group and Infrastructure Delivery Group in discussion with ECC H&T and NHS/CCG. Levelling up Funding applied for (June 2021) to fund design and planning app costs for SMRR. Business case progressing with the NHS for the Maldon Health Hub and Southminster Health Centre; at this time neither have been signed off. Options being explored to seek to assist the NHS in the delivery of the Maldon Health Hub and via Mid & South Essex HCP Strategic Estates Group.
R1	Failure to safeguard children and vulnerable adults	3	5	15	Risk Rating Unchanged	Q1 - The new Safeguarding Case management system continues to work well. Training in its use was delivered by the Resources Casework Manager to DSROs. Partnership meetings continue to progress but attendance did dip. This has been brought up at the most recent Safeguarding meeting.
R9	Failure to have a coordinated approach to supporting inward investment and maximising business rate growth	3	5	15	Risk Rating Unchanged	Q1 - The Maldon District Investment Prospectus will be created to provide coordination and support inward investment and business growth. This work will also align with any future activity from ECC and the Council's review of the LDP. As the full impact of Covid-19 is not yet known, it is important that this work is appropriately resourced and undertaken expediently.
R3	Failure to target services/influence partners effectively to support identified housing needs of increasing aging population	3	4	12	Risk Rating Unchanged	Q1 - The new SHMA has been completed and is in place to assess our housing development needs against. We have worked with developers to ensure the updated needs of the SHMA are recognised, which has resulted in a better property mix being offered from Bellways.

Title	Risk Description	Likelihood	Impact	Overall Risk Rating	Rating direction	Commentary
R4	Failure to influence Community Safety partners to address the key areas of public concern (including rural crime) and the negative perception of crime	3	4	12	Risk Rating Unchanged	Q1 - Closer working links have been formed between partners relating to work, including anti social behaviour, safeguarding & housing to ensure casework is effectively managed in a coordinated way. The CSP action plan (based upon the Strategic Assessment) is progressing and progress will be reported to the October meeting of the Crime and Disorder Committee
R14	Unable to recruit and retain staff with specific skills sets in specialist areas to meet the demands of the service(i.e.) Planners	3	3	9	Risk Rating Unchanged	Q1 – Officers continue to use specialist recruitment agencies where necessary but increasingly we are experiencing difficulties in recruiting into vacant positions. Benchmarking of salaries is underway along with a review of recruitment materials to ensure they are descriptive enough to attract candidates.
R11	Failure to protect personal or commercially sensitive data	2	4	8	Risk Rating Unchanged	Q1 - Data Protection Training provided to housing team. Looking to review subject access request process. Reviewing possible new AI software to reduce/eliminate human error in email breaches.
R2	Failure to target services and influence partners with the aim of having an effective outcome on the identified (health and wellbeing) needs of the vulnerable population	2	4	8	Risk Rating Unchanged	Q1 - As stated in previous commentary, we have updated the Corporate Plan which makes strong reference to Health and Wellbeing. We are actively working with our partners and Mid Essex Health and Wellbeing Board to progress, learn and recover from the pandemic to ensure we are meeting the needs of the vulnerable population.
R13	Failure to manage impact of organisational change	2	3	6	Risk Rating Unchanged	Q1 - No change, but CLT are undertaking review to ensure the deliverability of the Corporate Plan based on resources and structure
R16	Corporate policies not managed and reviewed	2	2	4	Risk Rating Unchanged	Q1 - No change - Processes in place for regular updates and internal audit to be scheduled to test the processes

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**REPORT of
DIRECTOR OF STRATEGY, PERFORMANCE AND GOVERNANCE**

**to
PERFORMANCE, GOVERNANCE AND AUDIT COMMITTEE
23 SEPTEMBER 2021**

BALANCE SCORECARD EXCEPTIONS REPORT

1. PURPOSE OF THE REPORT

- 1.1 To report exceptions to operational service reporting for Committee review and discussion.
- 1.2 The Corporate Performance and Governance framework requires this Committee to be given visibility of any identified Balance Scorecard key performance indicators (KPI) that have met their threshold, supported by an action plan to ensure targets are met. This gives assurance that Operational performance is being managed proactively and effectively.

2. RECOMMENDATIONS

- (i) That the committee review and comment on exceptions to service reporting provided in this report;
- (ii) That Members confirm they are assured through this review, Operational performance is being managed effectively.

3. SUMMARY OF KEY ISSUES

- 3.1 Following a refresh of our Corporate Performance Reporting, the committee have been receiving quarterly Performance reports since 2019 that focussed on the delivery of the Corporate outcomes.
- 3.2 Alongside this, services have been monitoring performance data, and officers have centralised this into an internal 'Balance Scorecard' that is reviewed monthly by the Extended Leadership Team (ELT) as a way to operationally track our performance.
- 3.3 It was agreed that this Committee would receive an exceptions report where operational measures are under/ over performing to give Members oversight alongside the Corporate Plan Measures. This is produced every six months for review and was first reported in January 2021.
- 3.4 Online versions of the full Balance Scorecard report are available to view on the Members SharePoint site. Work is ongoing to develop the full report, and add further data as it becomes available (such as enforcement data, member feedback data and detailed phone statistics).

3.5 For the period up to June 2021, the following measures are underperforming.

Measure	Explanation	Action
% of business rates collected	Expected impact of COVID emergency – in line with pattern across Essex	Included in the Medium Term Financial Strategy (MTFS) and closely monitored
% of council tax collected	Expected impact of COVID emergency- in line with pattern across Essex	Included in the MTFS and closely monitored
Revenues and Benefits outstanding cases and process time	Expected impact of COVID emergency- this has reduced since last reporting due to additional resource added, but still an area of service pressure.	Additional resource temporarily put in to support the team
Commercial income delivery	Expected impact of COVID emergency- approx. 3-6 months behind on delivery	Shortfall accounted for in MTFS. A full review of commercial projects and resource currently taking place and to be reported to Officer Project Steering Board.
Leisure participation and uptake	Due to capacity reduction and closures for COVID	Included in MTFS, and being reviewed closely through the Member Working Group.
Missed Bins increase in June 2021	Due to operational absences and collection issues and linked to national HGV driver shortage.	Working with contractor to discuss issues alongside clear communications to residents to update on these.

3.6 An area for emerging concern, where we are seeing increased demand is housing services and housing support, although performance is currently still within tolerance.

3.7 For the period up to June 2021, the following measures are overperforming.

Measure	Explanation	Action
Channel Shift	90% of contact online, due to operational changes of pandemic Recent resident survey analysis, only 18% of respondents said they would not make a long term switch to online.	Continue to use customer feedback, build online process and support continuation of this behaviour. Create mechanism for members to report in feedback that they receive. Support those who need it in person and by phone.
Website feedback	Increase in league position and customer feedback.	Continue to invest in process improvements and work with services to make processes digital.

4. CONCLUSION

The exceptions reported in this paper are provided for Member review. Where here thresholds have been met, the supporting action plan will be executed to enable KPI to be brought back on track.

5. IMPACT ON STRATEGIC THEMES

- 5.1 It is important that performance is monitored and managed effectively, to ensure that Maldon District Council progresses towards and/ or achieves its stated outcomes

6. IMPLICATIONS

- (i) **Impact on Customers** – Performance management covers the monitoring of key operational performance indicators to support customer service and delivery of our corporate plan which includes delivery for our customers.
- (ii) **Impact on Equalities** – None
- (iii) **Impact on Risk** – If performance is not managed effectively by the Council, it puts the Council's corporate outcomes' delivery at risk and increases unnecessary exposure to potential, operational, reputational or regulatory consequences.
- (iv) **Impact on Resources (financial)** – All performance management is undertaken within existing planned budgets.
- (v) **Impact on Resources (human)** – All performance management is undertaken within existing planned budgets.
- (vi) **Impact on the Environment** – None
- (vii) **Impact on Strengthening Communities** – None

Background Papers: None

Enquiries to: Cheryl Hughes, Programmes, Performance and Governance Manager

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**REPORT of
DIRECTOR OF STRATEGY, PERFORMANCE AND GOVERNANCE**

to
**PERFORMANCE, GOVERNANCE AND AUDIT COMMITTEE
23 SEPTEMBER 2021**

ANNUAL GOVERNANCE STATEMENT ACTIONS UPDATE

1. PURPOSE OF THE REPORT

1.1 To update the Committee on the actions identified in the 2020/21 Annual Governance Statement.

2. RECOMMENDATION

(i) To review the Annual Governance Statements table and updates below and challenge where necessary.

3. SUMMARY OF KEY ISSUES

3.1 The Annual Governance Statement in its new format was approved by the Performance, Governance and Audit committee on 30 July 2020. In line with the Chartered Institute of Public Finance and Accountancy (CIPFA) best practice, it was reflective of governance matters for 2020/21, and forward looking about where we could make improvements for 2021/22.

3.2 The report has an action plan for the year looking forwards and the Committee agreed that progress on the actions would be reported to and reviewed by the Committee.

3.3 The Action Plan is held on our SharePoint system and updated by responsible officers.

3.4 The current table of actions and officer updates are detailed below for Member consideration.

Title	Owner	Status	Target Completion	Commentary
Peer review of our scrutiny arrangements	Cheryl Hughes	Completed	30/01/2021	The LGA centre for governance and scrutiny delivered training in April 2021 around scrutiny best practice and included feedback in this.
Implement the member training and development plan with the Local Government Association	Cheryl Hughes	Completed	07/2021	Member training delivered in conjunction with LGA on Planning,

				and Planning recommendations have been considered by the Corporate Governance working group. Chairman training, Risk Management training, and Planning quarterly sessions have all taken place since April 2021. A detailed Member training plan has been reviewed by the Member training Working group and considered by Council.
Assess the impact of Covid on our services and delivery including through internal audit Implement a refreshed Corporate Plan.	Chris Leslie	Ongoing	10/2021	Internal audit fieldwork commenced August 2021 to review covid recovery arrangements and recommend areas of further improvement. Corporate Plan refreshed and adopted February 2021.
A review of the Corporate Risk Register, to map Risk Management to the corporate outcome delivery.	Cheryl Hughes	Ongoing	15/07/2021	Review of the Risk register according to the revised corporate plan will take place in June '21 when the full outcome mapping has been completed.
Implement revised performance tracking accordingly.	Cheryl Hughes	Ongoing	01/2022	Not yet started-pending audit findings.
Monitor and improve commercial income delivery and tracking the benefits of the Transformation programme.	Steven Butcher	Completed		August overview and scrutiny committee were presented with transformation reconciliation. This highlighted commercial income that could not be achieved and has now been factored into the Medium Term Financial

				Strategy (MTFS). The commercial team are also developing full Project documents for commercial programme proposals, reporting to steering board late August.
Review our Audit committee arrangements in light of the Redmond review (i.e. Performance, Governance and Audit committee).	Cheryl Hughes	Ongoing	30/01/2021 - now revised to 10/2021.	Still awaiting the final report to feed in, so will roll this into the 2021/22 Annual Governance Statement actions.
Draw out and link all of our policies and their objectives through a review of the Local Development Plan (e.g. Corporate Plan, Climate Change).	Matt Winslow	Ongoing		Local Development Plan (LDP) review has commenced. Currently a call for sites is taking place, as per the programme workplan.
Public involvement and budget consultation as part of our Annual Strategic Cycle.	Chris Leslie	Ongoing	31/12/2021	The budget consultation commenced in August with a closing date of September. This will be built into the budget setting timetable.
Review remote meeting arrangements and future options for online participation.	Paul Dodson	Ongoing	03/2022	Full Council report 2nd September to consider current meeting arrangements, including YouTube streaming available to all residents. Long term, we are also monitoring central government and have responded to evidence call around possible future remote committees, should legislation change more work will be done on this.
Implement a programme of Continual Improvement	Cheryl Hughes	Ongoing	12/2021	Process Improvement Team were made permanent as part of 2021 budget build

				process. They are now designing a long-term programme of work with services. We are also developing a process improvement vision document to define how this programme will work at MDC.
Monitor the impact of the COVID crisis on the governance arrangements	Paul Dodson	Ongoing		An internal audit of Covid recovery is taking place, including governance arrangements (Aug 2021).

4. CONCLUSION

4.1 The information provided gives progress updates against the key actions defined in the 2020/21 Annual Governance Statement

5. IMPACT ON STRATEGIC THEMES

5.1 Good governance will enable delivery of strategic priorities going forwards.

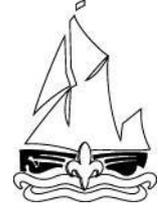
6. IMPLICATIONS

- (i) **Impact on Customers** – Not applicable (N/A).
- (ii) **Impact on Equalities** – N/A
- (iii) **Impact on Risk** – Good governance will help minimise our corporate risk for the future.

Impact on Resources (financial) – The monitoring and delivery of this item is provided within existing resources.
- (iv) **Impact on Resources (human)** – The monitoring and delivery of this item is provided within existing resources.
- (v) **Impact on the Environment** – N/A
- (vi) **Impact on Strengthening Communities** – N/A

Background Papers: 2019/20 Annual Governance Statement

Enquiries to: Cheryl Hughes, Programmes, Performance and Governance Manager.



**REPORT of
DIRECTOR OF SERVICE DELIVERY**

**to
PERFORMANCE, GOVERNANCE AND AUDIT COMMITTEE
23 SEPTEMBER 2021**

REVIEW OF HEALTH AND SAFTY - QUARTER 1

1. PURPOSE OF THE REPORT

1.1 To provide an update on health and safety statistics and activity during Quarter 1 (Q1) (1 April 2021 to 30 June 2021) and to update Members on activities commenced during Quarter 2 (Q2) (July to September).

2. RECOMMENDATIONS

- (i) To note the accident and incident statistics;
- (ii) To note the work underway during Quarter 2 on health and safety activities.

3. SUMMARY OF KEY ISSUES

3.1 Quarter 1 (Q1)

3.1.2 There was 1 accident and 2 near misses during Q1: -

- a building control officer was bitten by a dog whilst on a site visit;
- a member of the Parks Team cut an electricity cable whilst mowing the grass in Promenade Park, nobody was hurt;
- sudden movement of dredging equipment whilst shellfish sampling, nobody was hurt. The risk assessment was reviewed, and further safety instructions were issued to officers who undertake shellfish sampling.

3.1.3 There were 2 incidents of unacceptable behaviour: 1 incident involving waste crews, and another was a referral via Environmental Health.

3.1.4 The first aid procedure has been reviewed and updated to reflect current arrangements.

3.1.5 There has been no progress with the health and safety action plan (**APPENDIX 1**) due to other commitments during Q1 however progress is being made in Q2 as detailed below.

3.2 Quarter 2 (interim update)

3.2.1 Members are advised there was an accident in the Council Chamber following a stumble and fall: the member of staff sprained their ankle and were absent from work for 4 weeks. As a result of this, signage warning of the split-level flooring has been

increased in the area along with compliance measures to ensure that the rope barriers in that area are in place. In addition, revised information was provided to members as part of their agenda pack prior to meetings.

- 3.2.2 The Resources Facilities team is seeking quotes to make further adjustments to the Council Chamber to further decrease any risk of accident including possible further reduction of the split-level flooring.
- 3.2.3 The work mentioned above is in addition to the previous work undertaken which involved a low level stud wall which was built and a split level floor removed, two retractable barriers which were fitted to seating, and rope barriers which were fitted to step areas.
- 3.2.4 Recognising the need to progress the Health and Safety Action Plan, an Interim Health and Safety Lead Officer has been engaged for a 3-month period. The Officer is based within the Service Delivery Directorate and will work closely with Our Senior Specialist (Environmental Health) and other Managers to identify priorities, seek assurance or action any improvements. This work will be reported in more detail during the Q2 update to Members in due course.
- 3.2.5 As part of the reopening of the Splash Park in 2021 specialist consultants have been appointed to improve processes and operations to improve resilience. This work is ongoing and will ensure the facility is able to operate more effectively next season. Separately the need has been identified for additional officers to be trained to provide technical oversight of the splash park. This season a combination of sickness in staffing (Covid & non Covid related) coupled with mechanical problems has meant the 2021 season has been cut short. The work described above also includes reviewing method statements, risk assessments and general safety arrangements at the splash park. The Health and Safety Lead Officer mentioned in 3,2,2 above will have oversight of all recommendations and incorporate them into the action plan.

4. CONCLUSION

- 4.1 There were very few accidents, near misses and incidents of unacceptable behaviour during Q1.
- 4.2 There has been no proactive work on the health and safety action plan this quarter, however, it is anticipated work will start on the new policy and other items are now progressing via an Interim Health and Safety Lead Officer.

5. IMPACT ON STRATEGIC THEMES

- 5.1 Managing health and safety helps protect the workforce and wider community who may be affected by the Council's activities ensuring that communities stay safe and healthy.

6. IMPLICATIONS

- (i) **Impact on Customers** – Good health and safety management reduces the number of accidents and injuries to both customers and employees alike. Reduced staff absence resulting from work related injuries or ill health ensures a better service is provided to customers.
- (ii) **Impact on Equalities** – None.

- (iii) **Impact on Risk** – Poor management of health and safety can lead to accidents, injuries, occupational ill health or dangerous occurrences. This may result in avoidable sickness absence and these incidents may be investigated by the Health and Safety Executive (HSE). This could result in prosecution with fines or custodial sentences and an award of costs if found guilty by the courts. In addition, the HSE has adopted a “Fee for Fault” policy in which it recharges the cost of investigations if liability is identified. Civil claims by individuals could lead to significant pay outs which in turn could lead to increased insurance premiums. It can also lead to poor publicity, reputational damage and impacts on staff morale.
- (iv) **Impact on Resources (financial)** – No additional resources required, however, by managing health and safety, there should be less impact on financial resources as identified in (iii) above.
- (v) **Impact of Resources (human)** – No additional resources are required, however, by preventing accidents and ill health, there should be less impact on human resources.
- (vi) **Impact on the Environment** – Good health and safety management of the workplace, for example, management of asbestos and legionella, helps provide a safer and healthier environment in which to live and work.
- (vii) **Impact on Strengthening Communities** - None

Background Papers: accident and incident reports (data protected)

Enquiries to: Gill Gibson, gill.gibson@maldon.gov.uk

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HEALTH AND SAFETY ACTION PLAN 2021-22

Subject	Action Required	Timescale
Health and Safety Arrangements	<p>To review all the corporate health and safety procedures, ensuring they are relevant to the structure following transition, and to update the health and safety policy</p> <p>Amend the draft health and safety policy following stakeholder feedback and submit to Members for approval.</p>	<p>December 2021</p> <p>With Quarter 3 report</p>
Risk Assessments	<p>To update and amend risk assessments for service delivery, ensuring they reflect the new organisational structure: -</p> <ul style="list-style-type: none"> • Priority to be given to the Parks Team due to the high level of risk and outdated procedures, if necessary, contracting external assistance to complete the task - initial assessment - completion • To review the management of hand arm vibration (HAVS) hazards to ensure recommendations by the HSE are being implemented and reserved. 	<p>March 2022</p> <p>March 2022</p>
Training	<p>To deliver health and safety training where required, to include: -</p> <ul style="list-style-type: none"> • refresher first aid training and training for first aiders 	<p>When required</p>

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