

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

DIRECTOR OF STRATEGY,
PERFORMANCE AND
GOVERNANCE
Paul Dodson

Date Not Specified

Dear Councillor

You are summoned to attend the meeting of the;

PERFORMANCE, GOVERNANCE AND AUDIT COMMITTEE

on **THURSDAY 13 JANUARY 2022 at 7.30 pm**

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

Please Note: Due to current social distancing restrictions the Council is limited on the number of physical attendees in a meeting. Therefore, members of the public wishing to speak under the Public Participation Protocol are requested to attend remotely via Microsoft Teams. Members of the press are advised to view the meetings via the Council's YouTube channel: <https://www.maldon.gov.uk/watchlive> where all meetings are streamed live.

To register your request to speak please submit a [Public Access form](#) (to be submitted by 12noon on the working day before the Committee meeting).

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	Vacancy
COUNCILLORS	R G Boyce MBE M R Edwards Mrs J L Fleming, CC M S Heard A L Hull J V Keyes E L Stephens Vacancy





AGENDA
PERFORMANCE, GOVERNANCE AND AUDIT COMMITTEE
THURSDAY 13 JANUARY 2022

1. **Chairman's Notices**

2. **Apologies for Absence**

3. **Minutes** (Pages 5 - 10)

To confirm the minutes of the meeting held on 18 November 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 [Public Access form](#).

6. **Review of Corporate Performance - Quarter 2** (Pages 11 - 40)

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

7. **Review of Corporate Risk - Quarter 2** (Pages 41 - 50)

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

8. **Review of Health and Safety - Quarter 2** (Pages 51 - 66)

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

9. **Annual Governance Statement Actions Update** (Pages 67 - 70)

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

10. **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.

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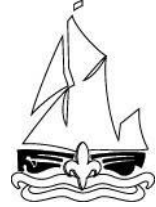
Health and Safety

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**MINUTES of
PERFORMANCE, GOVERNANCE AND AUDIT COMMITTEE
18 NOVEMBER 2021**

PRESENT

Chairman	Councillor Mrs J C Stilts
Vice-Chairman	Councillor K W Jarvis
Councillors	Mrs J L Fleming, CC, M S Heard, A L Hull, J V Keyes and E L Stephens
In attendance	Councillor C Morris

299. CHAIRMAN'S NOTICES

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

300. APOLOGIES FOR ABSENCE

Apologies for absence were received from Councillors R G Boyce and M R Edwards.

301. MINUTES

RESOLVED by assent that the Minutes of the meeting of the Committee held on 23 September 2021 be approved and confirmed.

302. DISCLOSURE OF INTEREST

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

303. PUBLIC PARTICIPATION

No requests had been received.

304. INTERNAL AUDIT REPORTS

The Committee considered the report of the Director of Resources and associated Internal Audit reports from BDO LLP attached on the agenda at 6a to 6e, *Progress Report; Follow-up of Recommendations Report; Covid Recovery Plan Report; Partnerships Report and Fraud Risk Assessment*.

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. The *Progress Report* referenced the reports on today's agenda, a further six reports on the work plan due to be considered at the February Committee meeting together with the sector update. The *Follow-up of Recommendations report* contained some

outstanding recommendations around flooding and affordable housing which would be completed in time for the meeting in February 2022.

Addressing the *Covid Recovery Plan* he advised that this was a very positive report with a substantial level of assurance for both design and effectiveness of controls. A very clear plan with good scrutiny and reporting lines. The auditors had undertaken some benchmarking and it compared well to others in the sector.

With reference to the *Partnerships Report* he advised that the level of assurance was moderate on both design and effectiveness of controls. The Council had identified its partnerships and there were good arrangements in place for nominating members. Areas to address were around distinguishing between the two different types of partnerships, both the strategic and formal partnerships; updating the thematic strategies to align with the refresh of the Corporate Plan and more formal feedback from partnerships in terms of minutes and Terms of Reference. It was noted that work was already in train on the two latter areas.

Finally, he addressed the *Fraud Risk Assessment* which was an advisory piece of work. It was noted that the last fraud risk assessment, assisted by Internal Audit, had taken place in 2014/15, therefore this was in need of updating to help inform and support the Council's counter fraud strategy. Overall there were good controls in place however, the Council could benefit from more data reviews around procurement and flagged the removal of councillor signatures from documentation. On the whole the report was very positive and it was noted that the Council had an Action Plan in place to cover aforementioned issues.

In response to Councillor Heard's question regarding the impact of Covid on the CRM audit the Director of Resources advised that the delay was due to demands made on both officer time and availability, having to manage business as usual together with managing the impact of Covid-19.

Councillor Jarvis addressing the final three reports said that he welcomed the work being done to provide formal feedback from partnership meetings. He concluded by congratulating the officers and the Council on the Covid Recovery Plan and the fact that under the Fraud Risk Assessment review table none of the risks were in the red priority zone.

There being no further queries the Chairman moved the recommendations and these were seconded by Councillor Jarvis. She then put them to the Committee and they were agreed by assent.

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

- (i) Internal Audit Progress Report – November 2021 at **6a**;
- (ii) Follow-up of Recommendations Report - November 2021- **6b**;
- (iii) Covid Recovery Plan Report– October 2021 – **6c**;
- (iv) Partnerships Report– November 2021 at **6d**;
- (v) Fraud Risk Assessment Audit – November 2021 at **6e**.

310. UPDATE ON THE AUDIT OF THE 2020/21 ACCOUNTS

The Committee considered the report of the Director of Resources that provided an update for members on the audit of the 2020/21 accounts. The Chairman introduced the report and deferred to the Director of Resources to present the detail.

He took the Committee through the report and advised that since the last update the Public Sector Audit Appointments (PSAA) announced that only 9% of authorities had accounts audited by 30 September 2021, Covid-19 and pressures in the audit market were contributory factors.

As with the previous update the audit of Essex Pension Fund, which the auditors required for assurance on the Council's pension figures, was still outstanding and no completion date was yet known. However the audit of the accounts continued and the auditors had identified a classification error with some of the covid grants. In addition the auditors had used the gross figure, which included the covid grants, to inform their audit methodology and due to the high value of the grants this had a significant impact on the outcome. The auditors now needed to revisit their approach and conduct additional testing which impacted on both time and audit fees.

He concluded by reporting that revised figures were now with the auditors and that they were jointly working on a revised timetable to complete the audit.

In response to questions the Director of Resources advised:-

- That this was not a double audit, however, the usual round of checks and balances needed to be completed.
- That materiality was part of the methodology that set a threshold for items that the auditors were interested in. The materiality level informed the testing and reporting undertaken.
- That a written response regarding the top slicing of the Additional Restrictions Grant (ARG) would be circulated to all committee Members following the meeting.
- That the overall cost of the audit was not yet known, updated figures had been submitted to the auditors and the Council was awaiting further details.

Councillor Jarvis expressed concern regarding the additional fees as there should have been further options offered earlier given that the issue of uncertainty in dealing with covid grants was sector wide. He asked if the auditors had a figure regarding overall costs and if the late identification of the covid grants impact, which created repeat testing work, would be taken into consideration when determining the final cost.

The Director, Audit & Assurance from Deloitte said they were working on the updated figures from the Council, the final cost was not known, however, on the plus side, no new audit areas had been identified. He expected robust negotiations to reach a fair fee and reminded Members that should it not be possible to reach a mutually agreed level that the fees would be arbitrated through the PSAA.

There being no further discussion the Chairman moved the recommendation and it was seconded by Councillor Fleming. The Chairman then put this to the Committee and it was agreed by assent.

RESOLVED that the report was considered.

311. DECISION TO OPT INTO THE NATIONAL SCHEME FOR AUDIT APPOINTMENTS

The Committee considered the report of the Director of Resources that set out proposals for appointing the external auditor to the Council for the accounts for the five-year period from 2023/24. The Chairman introduced the report and deferred to the Director of Resources to present the detail.

He took the Committee through the report advising that in December 2016 the Council had opted into the Public Sector Audit Appointments scheme (PSAA) for the period 2022/2023. Procurement was now underway for 2022/2023 and there were three options available 1) the Council arranges its own procurement, 2) works in conjunction with other like bodies or 3) joined the PSAA. Given the additional work involved under options 1) and 2) the recommendation in the report was to opt into the PSAA. The rationale was that this would provide economies of scale, expertise and avoid the risk and resource required to operate an Independent Auditor Panel. Furthermore, in the last operating period only 9 of 485 qualifying authorities opted out of the national scheme, with 2 already opting back in. Those that remained outside were unhappy with current arrangements.

Councillor Jarvis echoed these views and said that it was very expensive to set up the required infrastructure locally and that the PSAA had the type of expertise an organisation needed, an economically sound approach. This view was corroborated by the External Auditor who said it was prudent to have the support of the national scheme should difficulties arise.

There being no further discussion the Chairman moved the recommendation and it was seconded by Councillor Jarvis. She then put the recommendation to the Committee and it was agreed by assent.

RECOMMENDED that the council accepted public sector audit appointments' invitation to opt into the sector-led option for the appointment of external auditors to principal local government and police bodies for five financial years from 1 April 2023.

312. SECTION 106 6-MONTHLY UPDATE AND INFRASTRUCTURE FUNDING STATEMENT 2021

The purpose of this report was to provide Members with the 6-monthly update on the monitoring of Section 106 planning obligations and to seek approval of the Maldon District Infrastructure Funding Statement 2021, in accordance with the Council's legal duties.

The Chairman introduced the report and deferred to the Lead Specialist: Local Plans to present the detail. The report provided a 6 month update on S106 activity and also sought approval from the committee to publish the council's Infrastructure Funding Statement (IFS) 2020/2021. With reference to S106 she advised that since the last committee report the council had received payments from developers of just under £140,000 which funded health and youth facilities and £8,000 towards allotments all in Burnham-on-Crouch. A sum of £50,000 was paid to Essex Wildlife Trust for works to the Blue House Farm nature reserve. In addition the council had secured 11 affordable houses, 9 rented and 2 shared accommodation homes.

Addressing the IFS she advised that this was a mandatory requirement on the Council to publish the statement by the 31 December each year. During the 12 month period covered by the IFS requests for payments had generated £121,620 together with 150 affordable homes, 116 of which were affordable rented and 34 affordable shared ownership homes.

In response to questions officers provided the following information:

- That a workshop would be arranged to provide a refresh on S106 activities and to explore more effective ways of reporting S106 income to include amounts due; amounts triggered; amounts received; amounts spent.

- That the Infrastructure Implementation Group was an operational group and Member oversight was through the Performance, Governance and Audit Committee.
- That there was regular review to ensure monies were spent on time, working proactively with partners to encourage prompt delivery.
- That once development started and triggers were met the developers have to meet the triggers and pay the monies due within the terms of the S106 and most were area specific. All requests for payment were up-to-date.
- That further details of which developments had generated monies and where this had been spent would be circulated following the meeting.
- That the health funds currently held in the balance sheet would be spent by the NHS. The process was that they requested the funds and the Council remit the NHS as appropriate.
- That an update regarding progress on the surgery in Southminster, together with details of the location and developer in respect of affordable homes, would be circulated following the meeting

There being no further discussion the Chairman moved the recommendations and they were seconded by Councillor Jarvis and the Committee agreed them by assent.

RESOLVED

- (i) That the Committee considered the 6-monthly update on Section 106 planning obligations.
- (ii) That the Committee approved the Maldon District Council Infrastructure Funding Statement 2020-2021 for publication and government submission as set out in Appendix 1.

313. PROCESS IMPROVEMENT FRAMEWORK

The Committee considered the report of the Director of Strategy, Performance and Governance that introduced Members to the process improvement framework which provided context and detail about how the Council delivered continual improvement in line with best practice.

The Chairman introduced the report and deferred to the Programmes, Performance and Governance Manager to present the detail. She took the Committee through the report and drew attention to the full process improvement framework provided at Appendix 1 which outlined the Council's approach to continual improvement work at Maldon District Council.

The work commenced as part of the 2019 Council transformation and current activity was part of the existing staffing structure and formed an important part of the Council's wider approach on performance issues and implementation of processes, identified as part of internal audits. The work also informed organisational learning from the last few years, supported both the value for money criteria of Maldon as a local authority, and wider corporate objectives, such as those set out in the Information and Communications Technology policy (ICT). The Committee noted the case studies of the type of work the team undertook, future plans, potential risks to delivery together with appropriate mitigations in place.

Finally she referred to recommendation (ii) and the request that the Committee appointed two members of the Performance, Governance and Audit Committee to work closely with the Process Improvement Team. The Chairman advised that two Members had declared an interest in doing so, namely, Councillor E L Stephens and Councillor Mrs J L Fleming and the Committee agreed this by assent.

Councillor Jarvis commended the report and said that the work had his full support as it added value. He asked for clarification that there was no additional cost involved and the Director of Resources advised the Committee that the process improvement activity required no additional resource input as it formed part of the existing Council structure.

There being no further discussion the Chairman moved the recommendations and these were seconded by Councillor Jarvis. She then put these to the Committee and they were agreed by assent.

RESOLVED

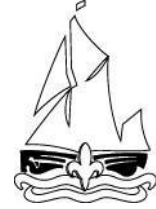
- (i) That the committee reviewed and fed back on the process improvement framework set out at Appendix A.
- (ii) That the committee appointed two member representatives and seeks two representatives from Overview and Scrutiny committee at its next scheduled meeting, to work closely with the team around website testing and customer feedback

314. 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.

The meeting closed at 8.35 pm.

MRS J C STILTS
CHAIRMAN



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

**to
PERFORMANCE, GOVERNANCE AND AUDIT COMMITTEE
13 JANUARY 2022**

REVIEW OF CORPORATE PERFORMANCE – QUARTER 2

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. **APPENDIX 1** to this report provides an overview of performance as of the end of Quarter 2 (July – September 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:** Work continues to progress positively. Overall, the performance delivery is on-track and there are no concerns for Q2. Note: Number of Environment Champions Key Performance Indicator (KPI) will be removed

from Q3, due to being superseded by the proposals in the Climate Change Strategy, progress will be tracked in a subsequent KPI supporting Place

- **Prosperity:** Work continues to progress positively. Overall, the performance delivery is on-track, there are no concerns for Q2
- **Community:** Work continues to progress positively. Overall, the performance delivery is on-track, there are no concerns for Q2

3.4 The following indicators have been annotated as 'At Risk' or 'KPI still under discussion' for Q2:

Place Thematic Strategy	At Risk	<ul style="list-style-type: none"> • “Five Year Housing Land Supply Statement updated and Published” – At Risk
	KPI under discussion	None
Prosperity Thematic Strategy	At Risk	None
	KPI under discussion	None
Community Thematic Strategy	At Risk	None
	KPI under discussion	None

4. CONCLUSION

- 4.1 Most of the reported performance measures at Q2 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 Officers will continue to analyse the impact of COVID 19 on the strategies, and where necessary support recovery progress.

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 Q2 –

November 2021



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 only reporting performance related to the corporate plan
- Focus should begin at the outcome level summary, which leads to individual indicator level detail if required.
- 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

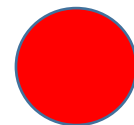


On Track – Conditional Elements

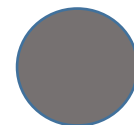
Note: Conditional elements of `On Track` meaning: not all data received due to frequency, or progress happening but awaiting data conformation



Under Review



At Risk



Not Started

Place Strategic Performance Place Outcomes

APPENDIX 1

Corporate Plan Reference	Title	Status	Commentary
1	Promote Civic Pride And Maintain The District's Environmental Quality	On Track	Q2: Baseline satisfaction rates for 'Clean and Tidy District' and 'Maintenance of Flagship Open Spaces' have improved but are being researched further through the November 2021 Resident and Business Survey to assess what is deemed unsatisfactory so that further improvements can be made moving forward. Fly tipping remains a consistent issue but incidents down slightly on Q1. Clearance rate within 24 hours meets 95% target but costing the Council £11,337 for Q2. Appointment of 'Environment Champions' (by Q3) is progressing through the Resident and Business Survey to recruit interest and being taken forward through Climate Action Strategy for 'Climate Action Friends' to support pledges set out to achieve this Place outcome. The preparation of Management Plans for our 'parks and open spaces' is slow to progress with resource issues identified but the first Management Plan going forward is the Promenade Park Management Plan.
2	Reduce Impacts Of Waste Disposal And Pollution On The Environment	On Track	Q2: The draft Climate Action Strategy is prepared and agreed commitments and pledges will support this Place Outcome moving forward to reduce waste and pollution effects on the environment. Household recycling rates for Q2 are meeting current 60% target rate with residual household waste below the 40% target. Fly tipping remains an issue but incidents slightly down on Q1. Clearance rate met at 95% but costing the Council £11, 337 for Q2. Funding to deliver AQMA Action Plan measures related to transport and highways related pollution is being sought from DEFRA with support from Chelmsford CC in writing bid.
3	Deliver The Housing The District Needs	On Track	Q2 - LDP Review progressing to address falling 5YHLS (currently 3.26 years) and not meeting % of homes delivered on strategic sites to current LDP housing trajectory. Outlook for Q3 and Q4 is bleak if no planning approvals are granted that can be delivered in 5 years. If the 5YHLS slips below 3 years this will have implications for Neighbourhood Plan housing policies. On the flip side, housing, including affordable housing is being delivered on strategic sites and it is expected that the HDT will be passed. 11 affordable homes (9 affordable rented and 2 shared ownership) were delivered in Q2.

Place Strategic Performance Place Outcomes

APPENDIX 1

Corporate Plan Reference	Title	Status	Commentary
4	Work With Partners To Maintain And Improve The District's Resilience To The Effects Of Climate Change	On Track	Q2 - The Blackwater Estuary Conservation Strategy is progressing with our partners to assess the impacts of climate change on habitats but also how regeneration of lost habitats (saltmarsh for carbon storage) can benefit climate action. The draft Climate Action Strategy is prepared with commitments and pledges that will support this outcome moving forward.
5	Deliver Sustainable Growth And New Infrastructure Through Development	On Track	Q2 - S106 monitoring during Q2 site visits has identified S106 trigger points for delivery of supporting infrastructure. STL Place collaborating with Development Management and S106 Officer to achieve identified infrastructure needs through new development proposals covered by supplementary planning documents (SPDs) and captured via S106. Infrastructure Delivery Statement preparation progressing to Q3 publication. The Superfast Essex Broadband Rollout Programme is extended to December 2022 to complete planned coverage in the District.

Place Supporting Plans - Quarterly

Place Actions Plans	Status	Highlights/Low Lights	Target	Supportive Outcome
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	Under Review	<p>The concept of the 'Environment Champions' has now been superseded by the 'Climate Action Friends' proposal and pledges set out in the Climate Action Strategy.</p> <p>This KPI will be removed and the monitoring of the 'Preparation and Adoption of the Climate Action Strategy and Climate Action Plan' KPI will continue to report progress and once adopted evolve to focus more on the impact the 'Climate Action Friends' will have.</p>	Deliver concept of 'Environment Champions' by Q4 2022	1. 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 - Conditional Elements	Q2 - Although discussed project scoping further with Place Thematic Lead and Project Manager; additional budget request made to engage professional consultancy for development & delivery of Promenade Park management Plan in 2022; provisionally to include 20 year 'vision', Principles for park management, objectives, review key site characteristics, and will require Stakeholder engagement; envisioned that final format of Prom Park plan will provide template & approach for review & development of management plans for others sites going forward.	Quarterly Progress	1. Promote Civic Pride And Maintain The District' s Environmental Quality

Place Supporting Plans - Quarterly

Place Actions Plans	Status	Highlights/Low Lights	Target	Supportive Outcome
Preparation And Adoption Of Climate Action Strategy And Climate Action Plan	On Track	Q2: The Climate Action draft Strategy is now written and have been submitted to S&R Committee for review and approval. It not only sets out the 5 Pledges, but also a set of actions (existing activity, new and possible actions), The Climate Action Strategy member working group has now closed. A growth bid for resource funding to recruit a Climate Action Officer has been submitted. If both the strategy is approved at Council in December and the officer is recruited, the officer will then produce the focused annual action plan. Officer is set to meet with CLT to discuss how the Council can drive actions through all functions of the Council and Policies, acknowledging there is a great deal to do, which adds pressure to existing capacity. Activity will impact all areas of the council and the services the Council delivers.	Strategy Adopted By Q3 (December 2021)	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 - Conditional Elements	Q2 - : Work on delivering the AQMA stalled when we were unsuccessful in a bid for grant funding for 2020/2021. We have asked our ECC contact if he could support in pulling together a bid for the 2021/2022 grant funding round. If approved, it is hoped his application will be more robust and help MDC succeed in obtaining grant funding. The destination survey which is key to a major objective of the AQMA - looking at a one way system for Market Hill - has yet to be completed due to covid and its alternation of typical traffic flows. Please note that members agreed to fund this in 2020 with an ECC officer allocated for delivery. MDC officer is leading on the Climate Strategy which has expanded in scope. As such, the AQMA work needs to be folded into or linked to her work as air quality is one of the factors climate change seeks to address.	To AQMA Action Plan Timetable	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

Place Supporting Plans - Quarterly

Place Actions Plans	Status	Highlights/Low Lights	Target	Supportive Outcome
Percentage Of Homes Delivered On The Strategic Allocations Compared To The LDP Housing Trajectory (LDP page 19; para 2.16)	Under Review	Q2 - Under review due to LDP being reviewed. The present figure is 54% delivery against the 75% target. Sites (d), (b) and (h) have not started and site (h) may not come forward, unless they find an alternative site for the sports facilities already on the site. The KPI is also under review due to it not being as relevant as it was before.	75%	3. Deliver The Housing The District Needs
Develop And Adopt Blackwater Estuary Conservation Strategy	On Track	Q2 - Blackwater Conservation partnership meetings have continued (online); key partners including MDC currently supporting "Natural Capital Mapping" project, phase 2, which is being led by Natural England and represents an opportunity to be National Pilot scheme for same, as well as contribute to the baseline for future 'Nature Recovery Networks' in the area/County. Remedies (Seagrass restoration) surveys & projects now also under way in Blackwater Estuary. Partnership Strategy review meeting scheduled for October, key partner working group (Natural England, RSPB, Essex WT, and MDC) to review current position and future direction for Partnership. Outcomes will be brought to whole Partnership for discussion/agreement in November/December (Q3)	Quarterly Progress	4. Work With Partners To Maintain And Improve The District's Resilience To The Effects Of Climate Change
Monitor Delivery Of Superfast Broadband To Essex CC Programme Rollout To Ensure Targets Are Met Within The Maldon District	On Track	Q2 - 94.78 coverage as of 30th September. Programme will probably extend to December 22. BDUK awaiting approval of change requests to Openreach Contracts to extend programme and funding to complete planned Broadband coverage in Maldon District. Superfast Essex Steering Group has been replaced with 'Digital Essex Steering Board' (same membership) with a focus on 5G delivery and continued Broadband delivery.	99% Coverage By Q4	5. Deliver Sustainable Growth And New Infrastructure Through Development

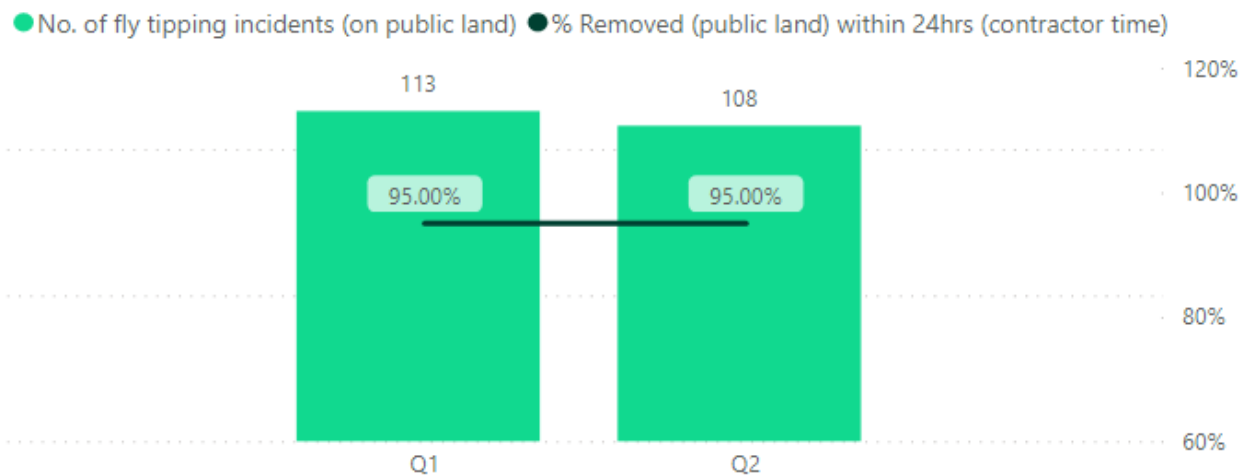
Place Supporting Plans - Annual

Place Actions Plans	Status	Highlights/Low Lights/R&B Feedback	Target	Supportive Outcome
Five Year Housing Land Supply Statement Updated And Published	At Risk	Q2 - The 5 year supply is at present still falling due to a number of issues, including not approving enough housing planning permissions which can be delivered within 5 years. This situation is unlikely to change in the short term. The risk is now high that the 5 year supply may slip under 3 years by April which will mean that neighbourhood plans housing policies will move out of date.	5 Year Minimum	3. Deliver The Housing The District Needs
Number Of Affordable Homes Delivered	On Track	Q2 - Strategic Housing Allocations and Major Applications continue to progress affordable housing delivery, 11 in total - 9 Affordable Rented and 2 Shared Ownership - all units delivered on Wyke Place, Limebrook Way Maldon. Developer - Crest Nicholson. RP - Eastlight.	130 p.a.	3. Deliver The Housing The District Needs
Housing Delivery Test (HDT) Results Published By MHCLG	On Track	Q2 - The Housing Delivery Test has not yet been published by the Government, the yearly figures have been submitted. As the HDT looks backward in time to what housing has been completed in the District, measured against the national housing target for Maldon of 310 a year, and given the amount of housing that has been completed during the relevant period it is very likely that the Council will pass the HDT this year again.	95%	3. Deliver The Housing The District Needs
Monitor All S106 Agreements And Publish In Infrastructure Delivery Statement	On Track	Q2 - The recent round of site visits has identified recently met trigger points. The Requests for payment arising are ongoing but will be completed by the end of October. Recently completed s106 agreements are entered onto the system and up to date.	100% Implementation And Publish Yearly	3. Deliver The Housing The District Needs & 5. Deliver Sustainable Growth And New Infrastructure Through Development

Place Performance Measures - Quarterly

(PL1) Number Of Fly Tipping Incidents (On Public Land) and Percentage Removed Within 24 Hours (Contractor Time)

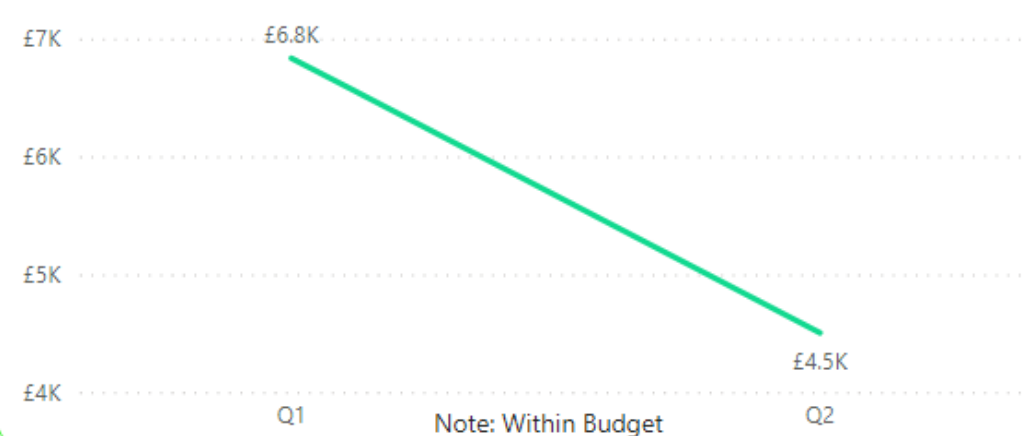
Target of 95% Clearance Rate



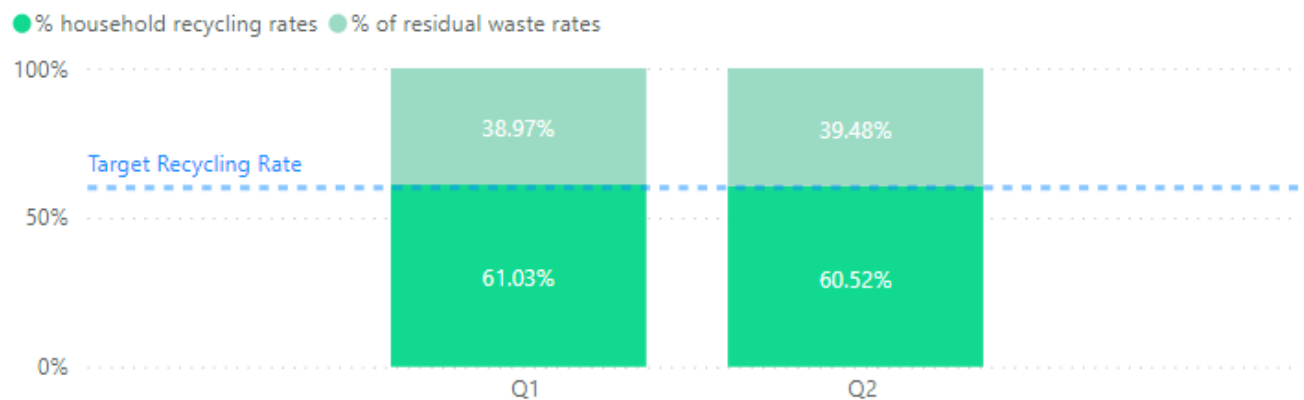
(PL1) Total fly tip removals 2021/2022 (Excluding investigation & enforcement costs)

£ 13,107

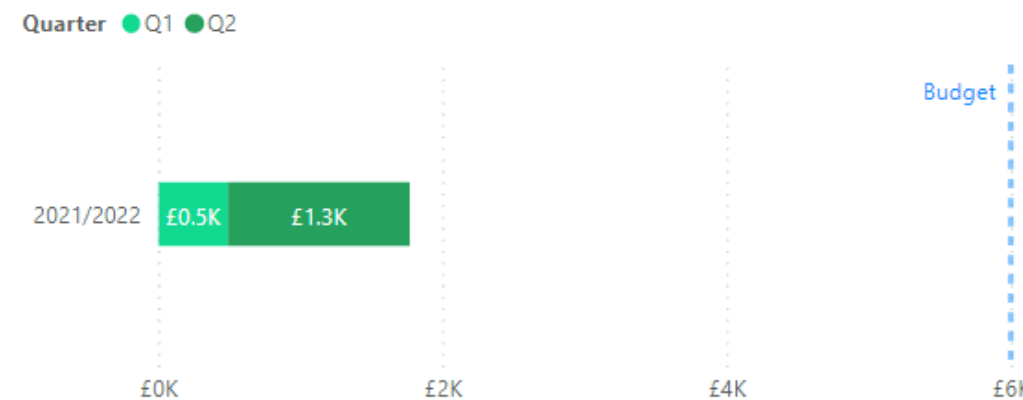
(PL1) Costs For Fly Tip Clearance - Non Contaminated



(PL2) Percentage Of Household Recycling Rates



(PL1) Fly tipping - Contaminated

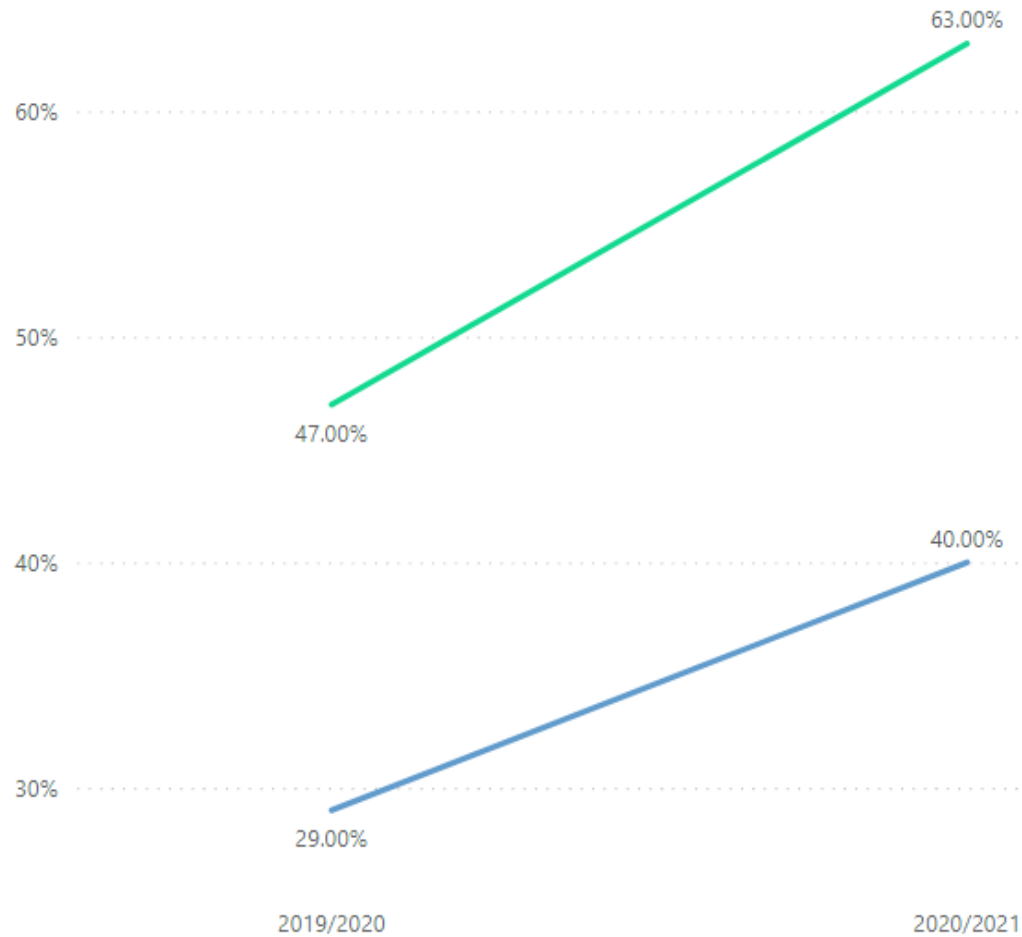


Place Performance Measures - Annual

Target: Improve on last year's satisfaction rates.

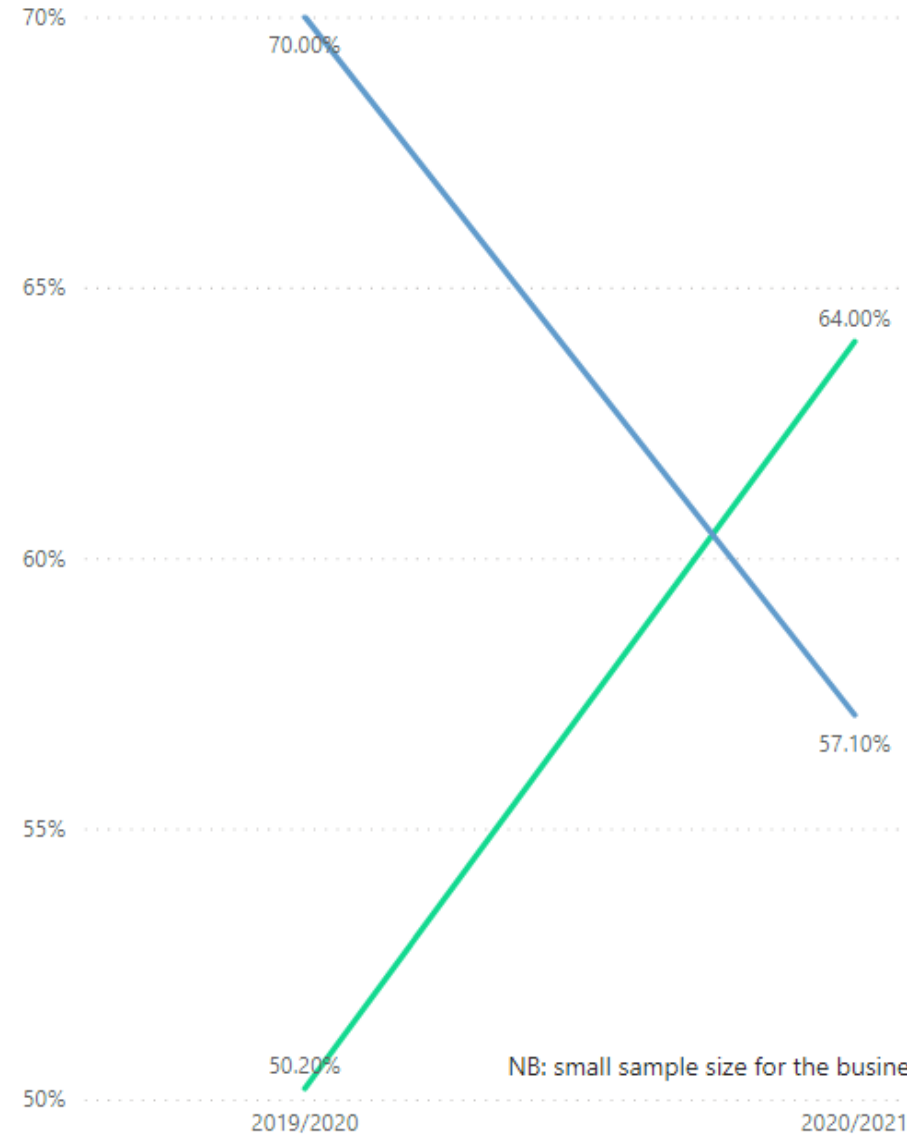
(PL1) Prom Park & Riverside Park Satisfaction

● Prom Park Satisfaction ● Riverside Park Satisfaction



(PL1) Resident & Business Satisfaction rates to: 'Malden is a Clean & Tidy District'

● Resident Satisfaction Rates ● Business Satisfaction Rate



Place Performance Measures - Annual

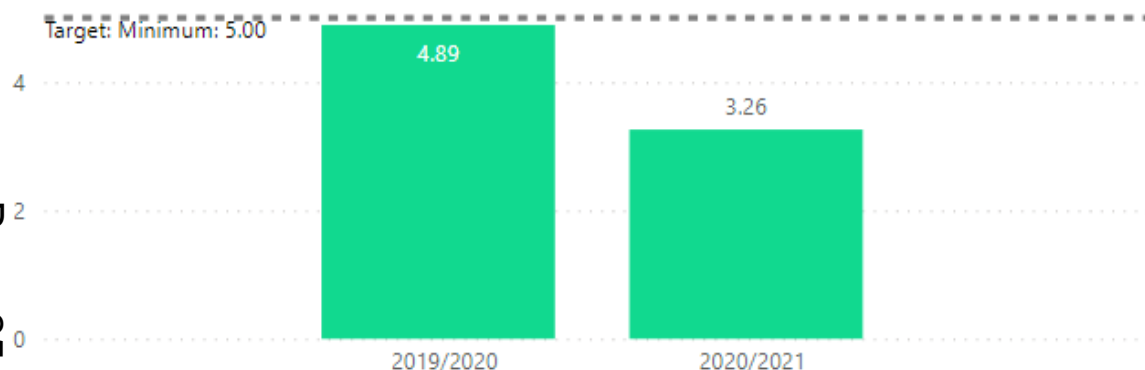
APPENDIX 1

Please note:

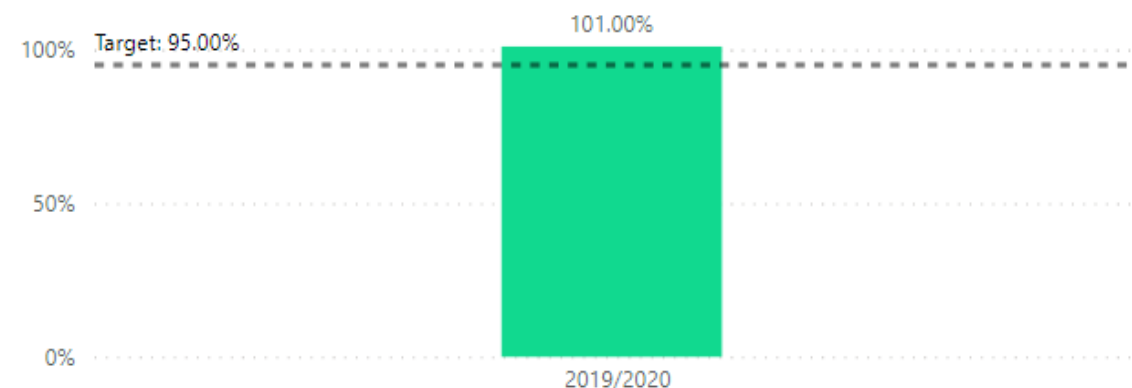
Data will be reported through performance once published from the service.

Calculate and Publish Statutory Housing Delivery Data

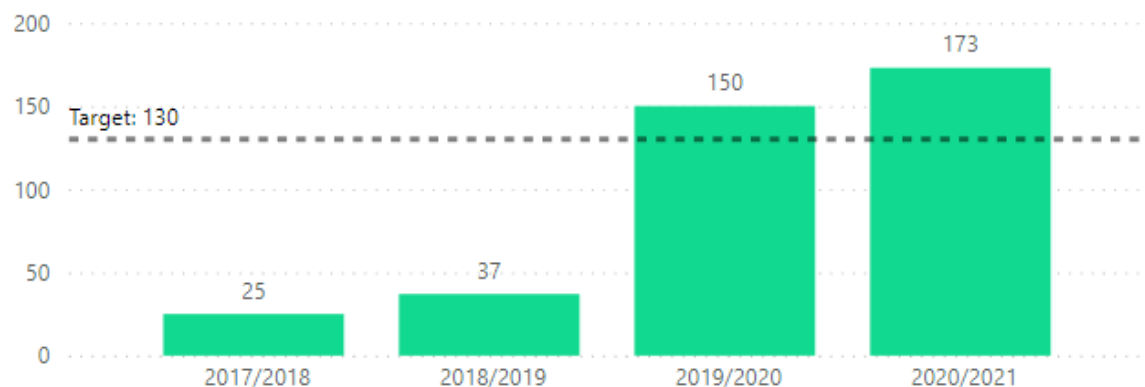
(PL3) Five Year Housing Land Supply Statement Updated And Published (Supply In Years)



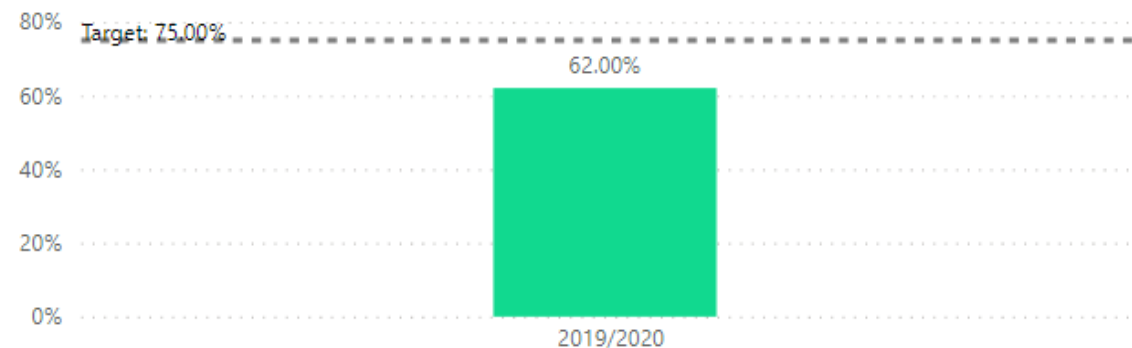
(PL3) Housing Delivery Test (HDT) Results Published By MHCLG



(PL3) Number Of Affordable Homes Delivered



(PL3) 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 - Conditional Elements	Q2 - Work on the Maldon District Investment Prospectus has been delayed, but will now be prioritised for delivery as scheduled to enable future economic investment.
7	Supporting Existing Local Businesses	On Track	Q2 - Work on the development of the (SoP) Maldon District Business Network is ongoing, with a review underway of the SoP Board to ensure, post-pandemic, the partnership will effectively deliver on this objective. The Covid19 Economic Recovery and Transformation (CERT) Programme has commenced along with direct engagement with high street businesses. A number of projects are also progressing to support local businesses, including Keep It Local Campaign, the ongoing development of the Maldon District Business Network and the development of the Maldon District Investment Prospectus.
8	Enhancing And Promoting The District's Visitor Economy	On Track - Conditional Elements	Q2 - Legal restrictions have now been lifted on events and domestic travel, however, some guidance remains in place. A handful of large events were able to take place through the summer with the support of the Safety Advisory Group, for example Fantasia and Raver Tots. However, uncertainty, staffing challenges and the volatile environment meant many events did not happen and Council run attractions, like the Maldon Splash Park had to close. Economically the district is well placed to recover well and benefit from the increased levels of domestic holidays and day trips, but the situation remained uncertain through Q2. The forthcoming Tourism and Events Strategies will better define how this objective is delivered.

Prosperity Supporting Plans - Quarterly

Prosperity Actions Plans	Status	Highlights/Low Lights	Target	Supportive Outcome
Build And Deliver Maldon District Investment Prospectus	On Track - Conditional Elements	Q2 - Work on the Maldon District Investment Prospectus has been delayed owing to operational pressures but will be prioritised in Q3 owing to the recruitment of a Lead Specialist - Prosperity to undertake the (WBF, ARG/NEEB & COMF funded) Covid19 Economic Recovery and Transformation (CERT) Programme. The Prospectus will provide coordination and to support inward investment, align with any future activity from ECC and the Council's review of the LDP.	By Q4 2021/2022	6. Enabling Future Economic Investment And New Jobs
Engagement With Campaigns	On Track	Q2 - Campaigns and activities to enhance the visitor economy have been reintroduced following the easing of COVID-19 restrictions. The main campaign activity for this quarter being the 2021 Splash Park and Beach Huts season, focusing on promoting a safe return to the attraction and new visitor features such as the revised website and booking system. A more general promotion of the District-wide visitor economy was also supported through our involvement in the national 'Heritage Open Days' and 'Escape the Everyday' campaigns which aimed to encourage District-wide exploration of the visitor-economy. Our Projects and Events Specialist has continued the work of the Heritage and Cultural Recovery Co-Ordinator (Culture Recovery Fund) and is working to support the delivery and strategic planning of public events within the District. Greater emphasis has been put on engagement with visitor economy venues and businesses by their inclusion on www.visitmaldondistrict.co.uk and active use of features such as event submissions and involvement of Visit Maldon District in social media content originating from visitor economy accounts.	TBC	8. Enhancing And Promoting The District's Visitor Economy

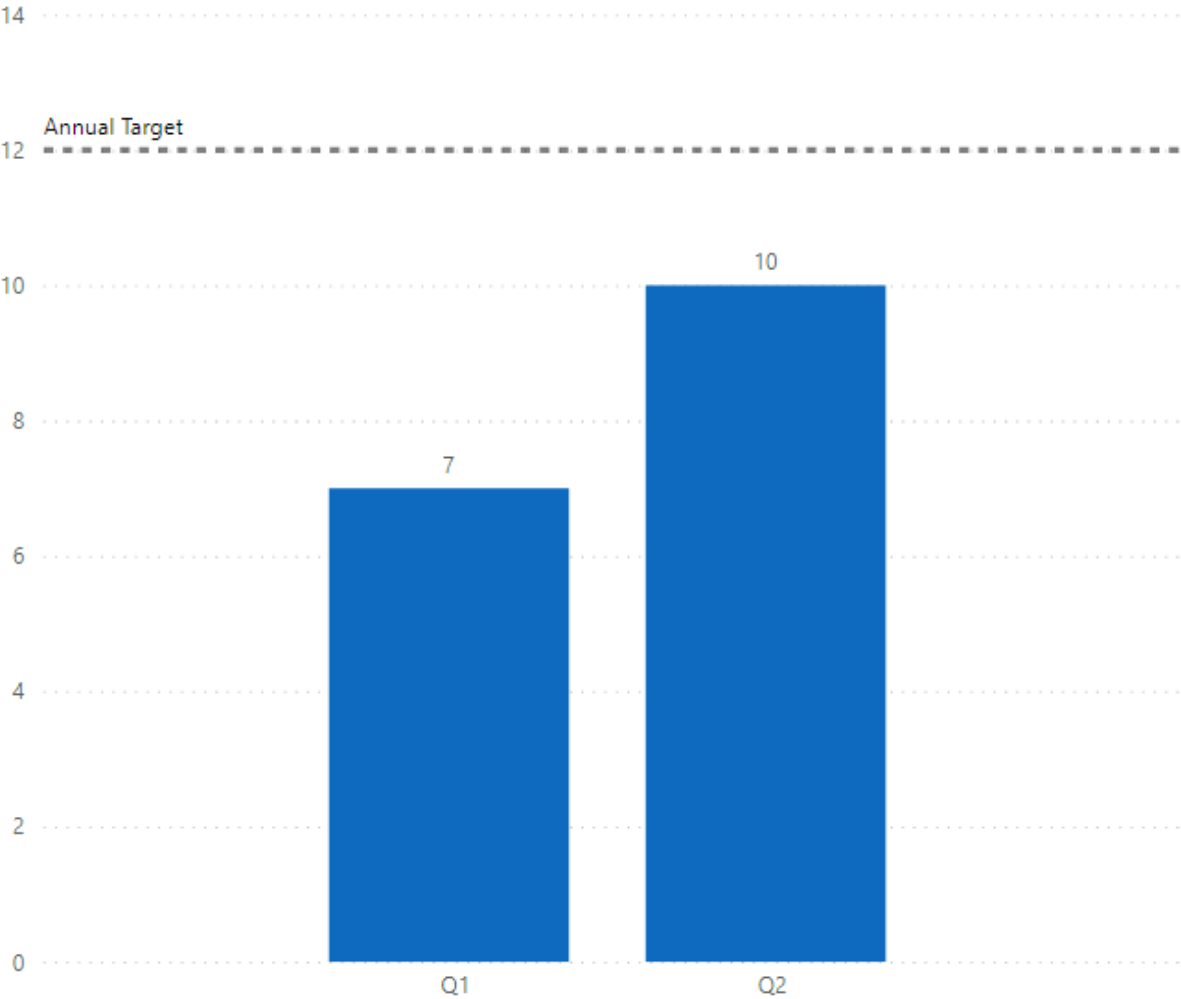
Prosperity Supporting Plans - Annual

APPENDIX 1

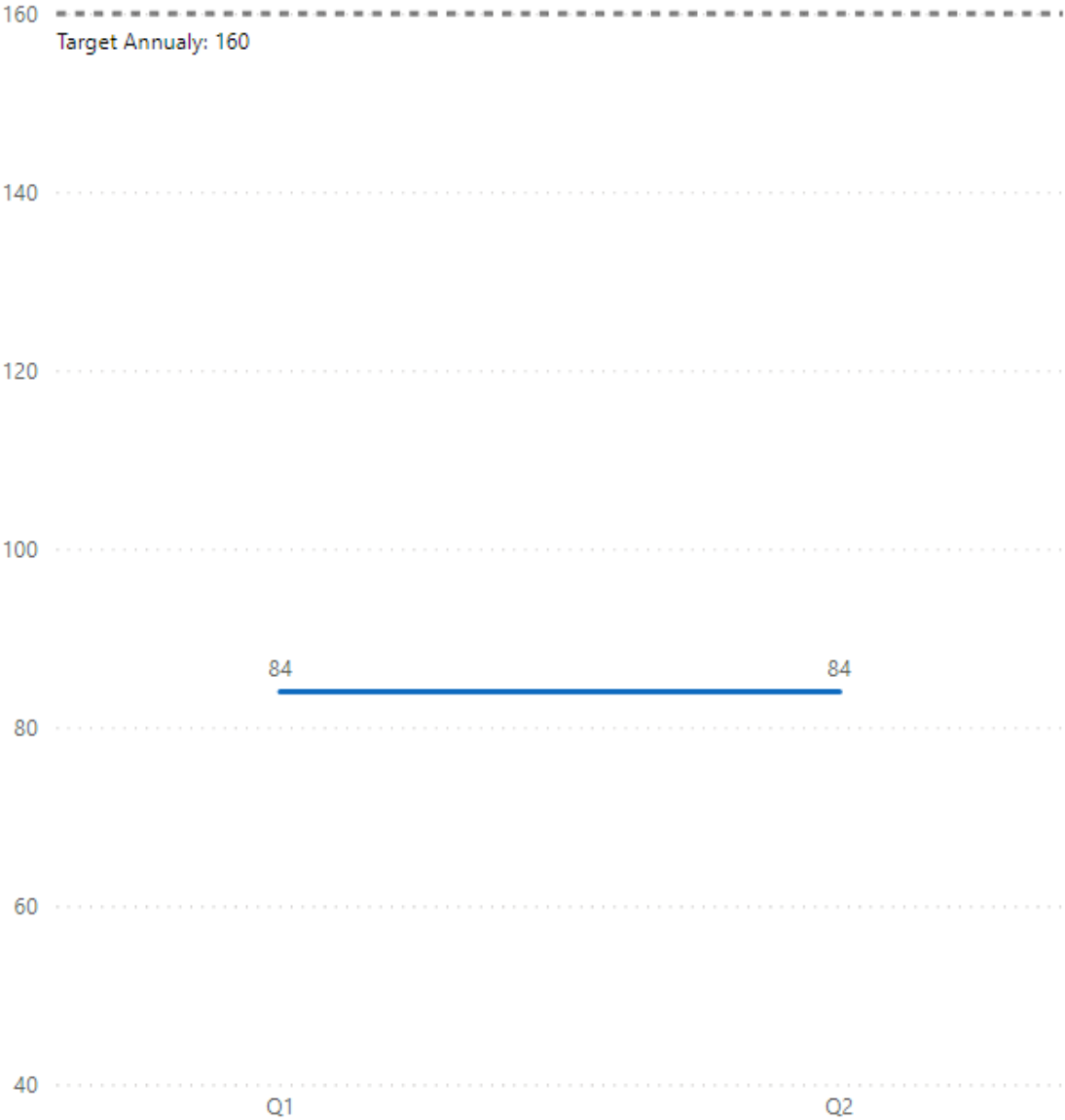
Prosperity Actions Plans	Status	Highlights/Low Lights/Feedback	Target	Supportive Outcome
Business Satisfaction With MDC Services. (Via Survey)	On Track	Q2 - Work on the development of the (SoP) Maldon District Business Network is ongoing, with a review is underway to ensure, post-pandemic, the objectives, structure and resources are in place to achieve the aspirations of the programme. The Covid19 Economic Recovery and Transformation Programme will commence with the recruitment of a new Lead Specialist and direct business engagement is planned to steer and guide this work. The 2021/22 survey will be promoted through both pieces of work and seek to better understand the views of local businesses and specific areas of dissatisfaction.	30.00%	6. Enabling Future Economic Investment And New Jobs
Business Benefit Through Tourism Activity -Evidence (Via Survey)	On Track	Q2 - This indicator could be impacted by COVID. The proportion of businesses who reported experiencing a benefit from the area's tourism activity has increased indicating our objective to promote and enhance the District's visitor offer remains an important economic priority for the Council. The 'Volume and Value' of tourism report demonstrates the significant proportion of the area's economy driven by tourism and the workforce whose jobs depend on the areas continued prosperity as a visitor destination. Work is underway to develop the Council's Tourism and Events strategies and build a 'tourism businesses' network under Sense of Place, to support the post pandemic recovery of the sector . Officers are also working to increase the number of businesses that take part in the annual survey to provide better insight and steer future promotional work.	30.00%	8. Enhancing And Promoting The District's Visitor Economy

Prosperity Performance Measures - Quarterly

(P7) Number Of Business Groups Engaged In SOP Business Network (Cumulative)

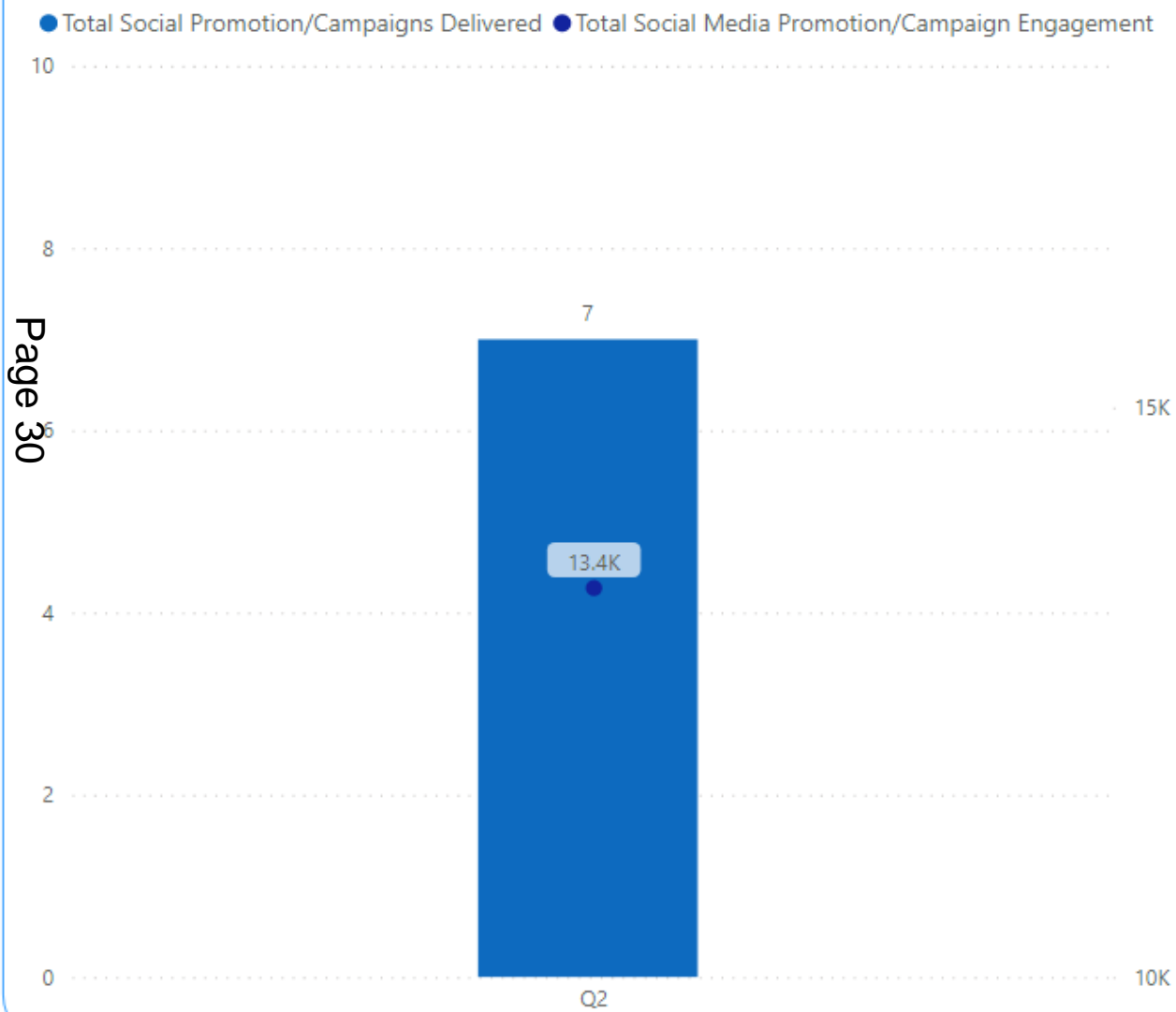


(P7) Number Of Members Of Maldon District Business Group (LinkedIn)



Prosperity Performance Measures - Quarterly

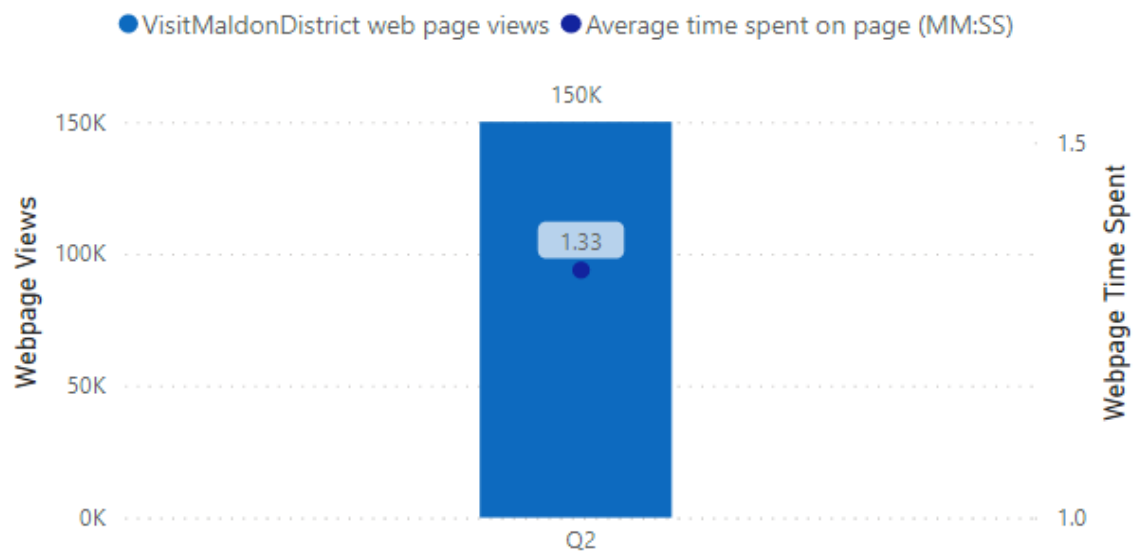
(P8) Engagement With Campaigns



(P8) Economic Value Of Events In £ (Estimate) **APPENDIX 1**

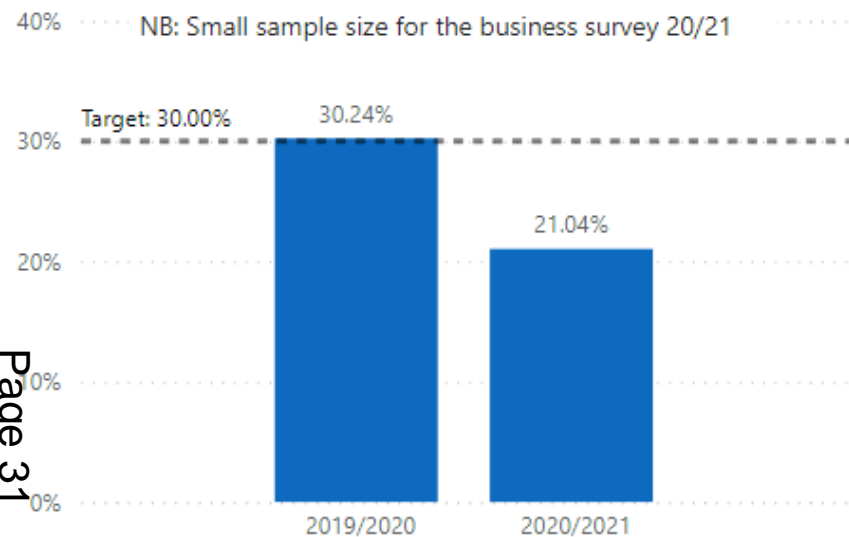
Recent data will be available from Q3

(P8) Visit Maldon District Web Traffic

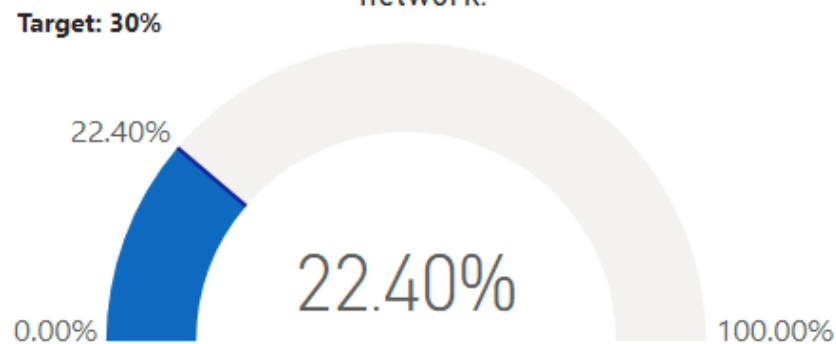


Prosperity Performance Measures - Annual

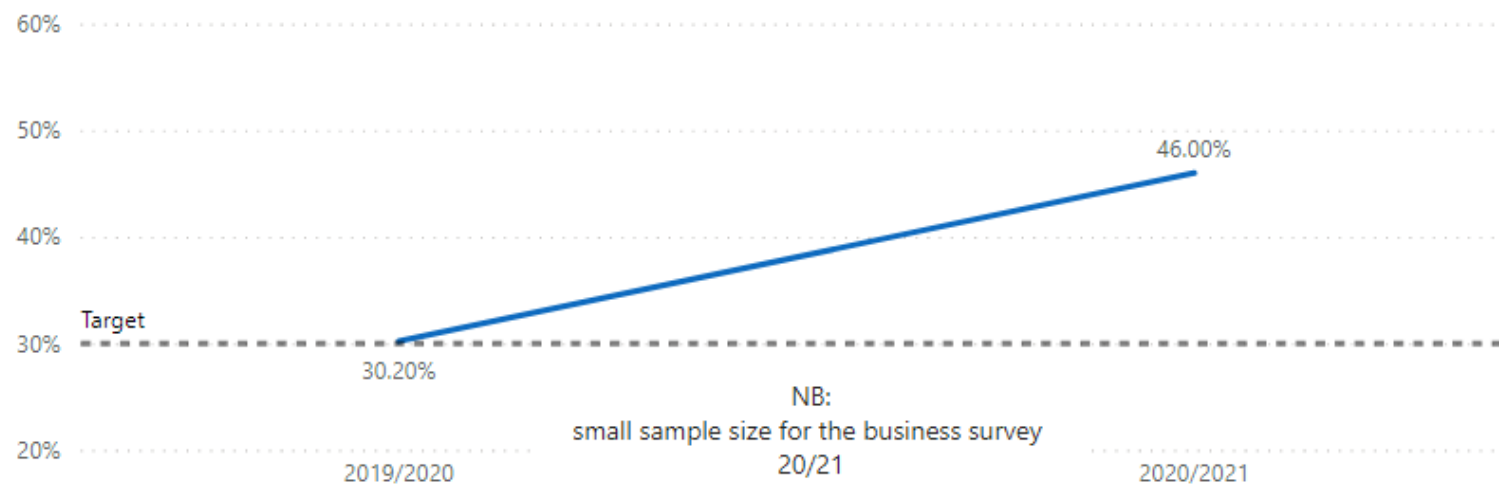
(P6) Business Satisfaction With MDC Services. (%)



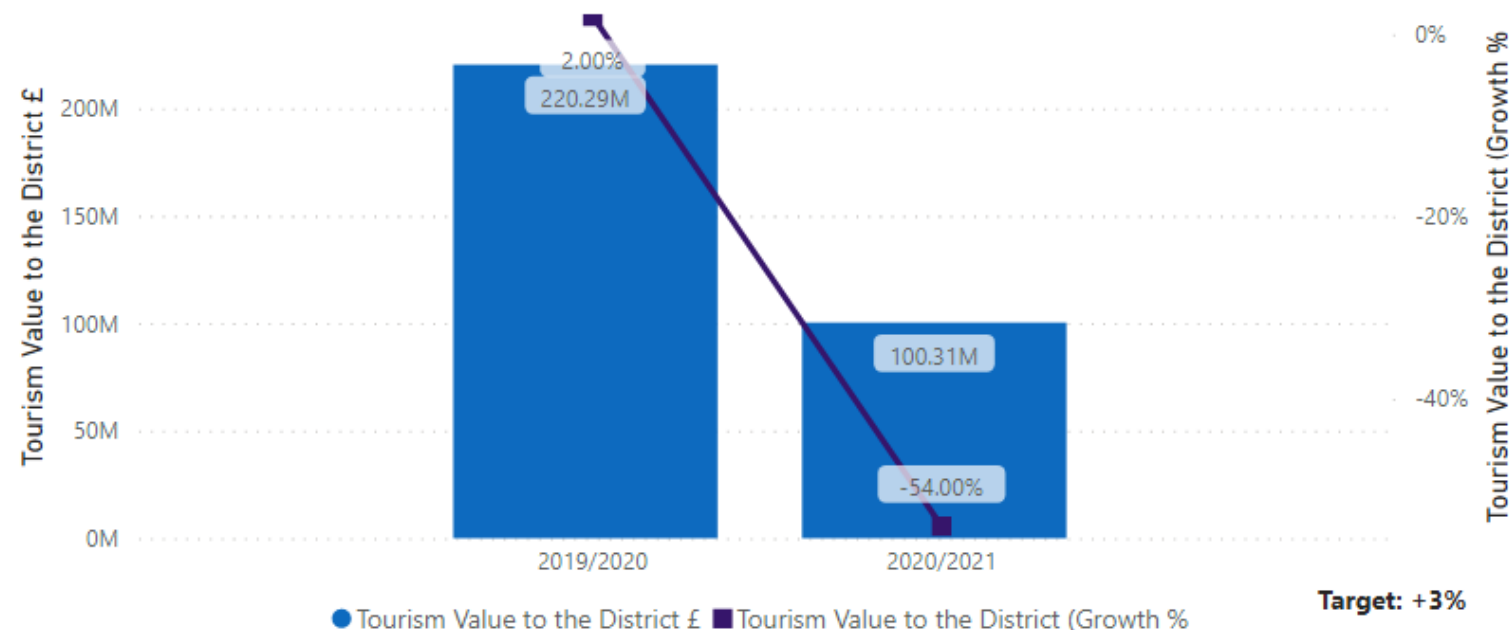
(P7) Estimate % reach of the Maldon district business network.



(P8) Business Benefit Through Tourism Activity - (Businesses Surveyed That Reported Benefit)



(P8) Tourism Value To The District In £ And Growth In %



Community Strategic Performance Community Outcomes

APPENDIX 1

Corporate Plan Reference	Title	Status	Commentary
9	Working With Our Communities And Partners To Improve The Physical Health And Well-being Of Our Residents	On Track	Q2 - We've continued to work in partnership with partners to deliver projects and initiatives to improve residents physical health and well-being. To support our physical health agenda we've delivered another Livewell Grants process, funding 7 local community organisations. The Livewell Partnership Group meeting was hosted in this quarter and had over 30 attendees who showcased their community projects. We've applied for £6000 through Active Essex Find Your Active Grant Scheme to run a Man v Fat Football Programme. The Man v Fat Football is a leading male weight loss programme, where men will play small sided football games on a weekly basis. Weight loss is the core focus however the participants will get access to a wide range of member benefits including a mental health and wellbeing package. Alongside our partners at Active Essex, we are consulting care homes in the District to increase the physical activity offer for residents. We have been gathering data on the care homes current physical activity provision and if they would be interested in developing a joint bid with MDC to train care home staff to lead physical activity and light exercise sessions.
10	Working With Our Communities And Partners To Improve The Mental Health And Well-being Of Our Residents	On Track	Q2 - MDC has continued to work with partners to support resident's mental health. To support our health and well-being agenda we've delivered another Livewell Grants process, funding 7 local community organisations. MDC officers are key members in a newly established Maldon District Suicide Prevention Group with representatives from the farming community, MDCVS and NHS CCG. MDC officers have also been in discussion with Lions Barber Collective Charity to scope the delivery of Suicide Awareness Training to barbers, hairdressers and beauticians across the District.

Community Strategic Performance Community Outcomes

APPENDIX 1

Corporate Plan Reference	Title	Status	Commentary
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	Q2 -MDC officers met with Plume Academy representatives to discuss the possibility of increasing our partnership working around community safety and health and well-being. MDC has led the formation of a multi-agency working group consisting of ECC, Community Safety Partnership and Active Essex to develop a sustainable engagement programme to pilot at Plume Academy. MDC officers are in the process of creating a high-level engagement programme to present to Plume Academy representatives; if representatives agree with the approach, we will then look to form a pupil working group which will help shape the activities.
12	Ensuring The Safety And Wellbeing Of Our Vulnerable Children, Adults And Families	On Track - Conditional Elements	Q2 - We have recently completed a Safeguarding SET Sec11 Audit. there are a number of areas where improvements to our processes can be made including: better definition of lines of responsibility improvements to all Council policies that have Safeguarding implications updating our Safeguarding policy with the latest improvements and objectives improving our links with Community Safety so they are embedded in our processes
13	Building On The Strengths Of Our Communities And What They Can Do To Support Themselves And Help Each Other To Thrive	On Track	Q2 - We have continued to work as part of the Maldon District COVID-19 Community Response to aide residents when needed. However, as a collective, we have begun to focus our attentions on planning our Winter Response to ensure our residents are supported throughout the coming months.

Community Supporting Plans - Quarterly

APPENDIX 1

Community Actions Plans	Status	Highlights/Low Lights	Target	Supportive Outcome
Number Of Physical Activity Promotions/Campaigns	On Track	<p>Q2 - We have helped to advertise, support and refer to the 'Find Your Active' campaign and the funding available in relation to that.</p> <p>We have continued to both promote and fund physical activity campaigns through the Livewell network and Parish clerk forum as well as our social media comms. furthermore the Livewell meeting in August allowed partners to update on physical activities restarting such as the Maldon parkrun.</p>	Annually 96 Promotions/2 Campaigns	9. Working With Our Communities And Partners To Improve The Physical Health And Well-being Of Our Residents
Participation At Leisure Centres (Places Blackwater Leisure And Dengie 100)	On Track	<p>Q2- In correspondence with the leisure facility, officers are monitoring the levels of participation at the leisure centres post-covid and easing of restrictions. The levels of participation are down from pre-covid but have increased dramatically through Q2. MDC Officers are working with the leisure facility to ensure promotion of the centres at every opportunity; often sharing promotions via networks. Places Leisure have also recently introduced a Long Covid Recovery Programme which is a service to provide therapy and rehabilitation for individuals who have endured Covid or who have been affected by Covid. We are working with Places Leisure to ensure that the programmes message reaches into the hearts of our communities. The measure and target is under review as part of a wider review of leisure participation.</p>	1% Increase Year on Year	9. Working With Our Communities And Partners To Improve The Physical Health And Well-being Of Our Residents
Promotion Of Mental Health, Social Isolation And Loneliness Initiatives	On Track	<p>Q2- We are continuing to promote and support this area of h&w and have shared initiatives such as Zero Suicide Alliance training with all staff and the public, Mental Health First Aid Training, as well as promoting/sharing all of the community groups and support services available in the district. We are also a key partner in the Maldon Suicide prevention group and Essex Mental Health Communications Collective.</p>	Annually 96 Promotions/2 Campaigns	10. Working With Our Communities And Partners To Improve The Mental Health And Well-being Of Our Residents
Number Of Intergenerational Projects Delivered In The District	On Track	<p>Q2- barriers still remain regarding intergenerational work and care homes as full vaccination is needed to enter and they restrict numbers entering care homes. Intergenerational work is being looked at through the dementia awareness alliance and linking school children with elderly dementia sufferers which has proven successful in other districts. Again hold ups due to Covid-19</p>	1 New School Per Year	10. Working With Our Communities And Partners To Improve The Mental Health And Well-being Of Our Residents

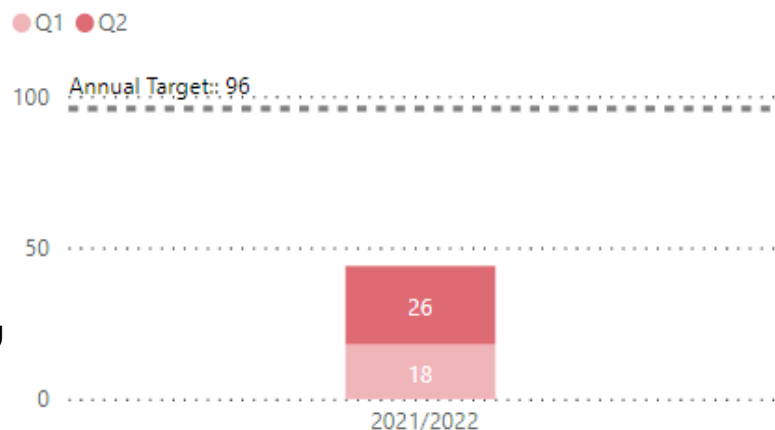
Community Supporting Plans - Quarterly

Community Actions Plans	Status	Highlights/Low Lights	Target	Supportive Outcome
Number Of Multi-Agency Events Delivered In The District	On Track	Q2 - The Maldon District Council and Chelmsford City Council Senior Safety Silver Monday Event took place at Maldon Stadium, Maldon. Around 90 residents attended the Senior Safety Silver Monday Event at Maldon Stadium. The purpose of the event was for elderly residents to chat and learn more about services and organisations that could support their safety and health and well-being. Maldon District Council, Chelmsford City Council, Essex Police, East of England Ambulance Service, Volunteer Essex, Safer Places, Dance Network Association, Essex Fire, Barclays, CAB, United in Kind were some of the organisations that had stalls which attendees visited to ask questions and pick-up leaflets. Attendees listened and engaged with talks on Financial Scams, Internet Banking, Fire Safety, Domestic Abuse Support and how to administer CPR.	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
Number of Parish and Town Councils actively engaged by the Community Engagement Team.	On Track	Q2 - The Community Engagement Officers fulfil parish contracts each month which encompassed, speed enforcement, community patrols, school patrols to address anti- social and unsafe parking at 13 primary schools across the district. In that time the team have completed 120 hours of TRUCAM and have carried out 417 hours of community parish and town patrols, which provide a presence across the district to deal with anti- social behaviour, site checks for parishes, proactively engaging with residents about issues such as; dogs control, dealing with dog fouling and littering complaints and offences when they occur. Also work with Safer Essex Roads Partnership to carry out speed enforcement patrols called TRUCAM for the parishes. In this period our officers reported 369 drivers to Essex Police for speeding, 25% of these were prosecuted, 67 % were required to attend a Speed Awareness Course and 8 % were given a conditional offer.	Minimum of 20 each quarter	13. Building On The Strengths Of Our Communities And What They Can Do To Support Themselves And Help Each Other To Thrive

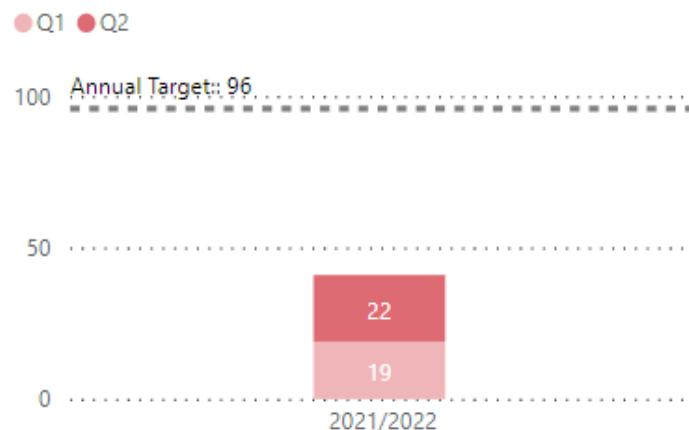
Page 36	Community Actions Plans	Status	Highlights/Low Lights	Target	Supportive Outcome
	Number of Community Weight Management Sessions Delivered To Parishes And Participant Feedback	On Track - Conditional Elements	Q2 - Provide is the current provider of weight management and the referral process aligned with this. It has been held up due to Covid-19 so data is unavailable but going forward we will make referrals to this service	Increase Of 2 Parishes Per Year	9. Working With Our Communities And Partners To Improve The Physical Health And Well-being Of Our Residents
	Number Of Community Champions Appointed Across The District	On Track	Q2 - We aim to launch and start recruitment in Autumn/Winter 21-22	Year on Year Increase	9. Working With Our Communities And Partners To Improve The Physical Health And Well-being Of Our Residents
	Number Of Organisations Supported To Improve Inclusion And Accessibility	On Track	Q2 - As a key member of the Maldon District Dementia Action Alliance we have been able to credit the Beacon Health Group and the Tollesbury Surgery as Dementia Friendly Surgeries.	Year on Year Increase	9. Working With Our Communities And Partners To Improve The Physical Health And Well-being Of Our Residents
	Number Of Schools Supported By MDC Year 6 Transition Template	On Track	Q2- We are working with teachers across Mid Essex to explore how this tool can fit with the existing transition proposal. We also gathered feedback from Maldon District primary schools to find out about their experience of using the tool and difference they have seen. The transition template has also been shared with Mid/South Mental Health Support Teams to consider how they can support a trial of the tool with Year 6 to enable an Mental Health Support Team whole school approach	2 Per Year	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

Community Performance Measures - Quarterly Data

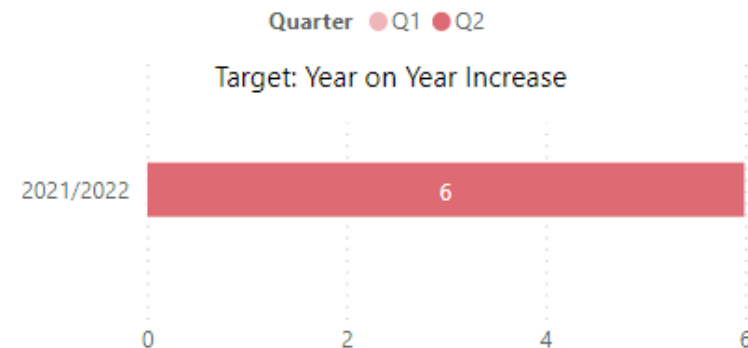
(C9) Number Of Physical Activity Promotions/
Campaigns



(C10) Promotion Of Mental Health, Social
Isolation And Loneliness Initiatives



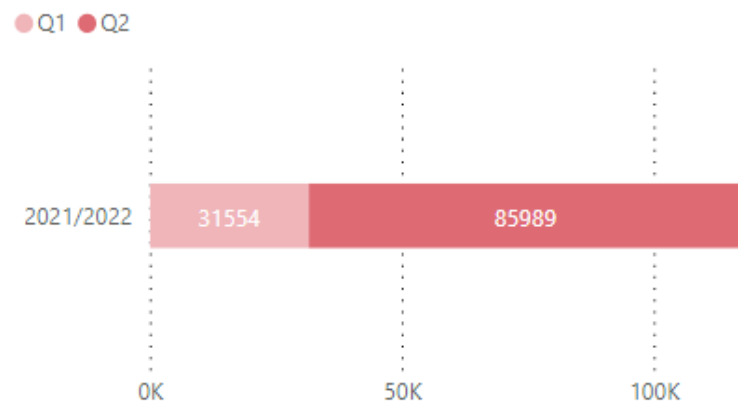
(C11) Number of known youth groups promoted



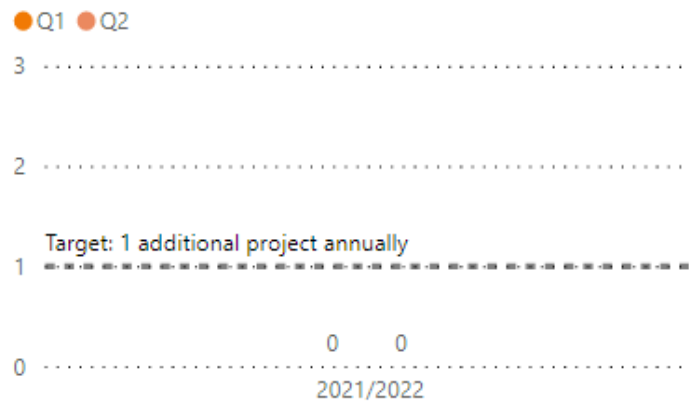
(C11) Number of Known Youth
Groups in the District

13

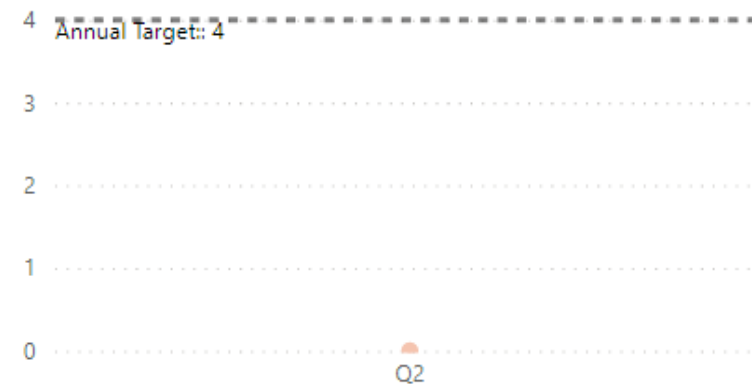
(C9) Participation At Leisure Centres (Places
Blackwater Leisure And Dengie 100)



(C10) Number Of Intergenerational Projects
Delivered In The District



(C11) Number Of Youth Awareness Sessions
Delivered To Schools



Community Performance Measures - Quarterly Data

(C11) Number of known youth groups/clubs promoted

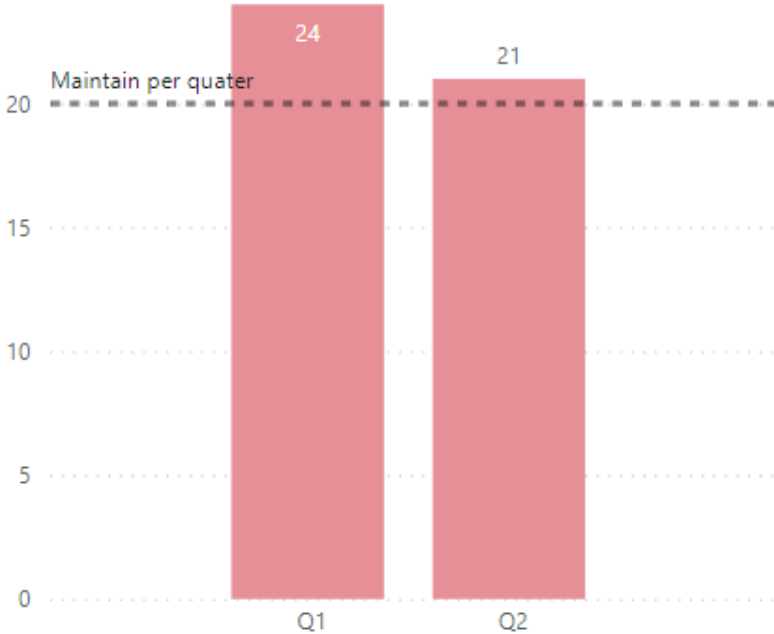
Quarter ● Q1 ● Q2



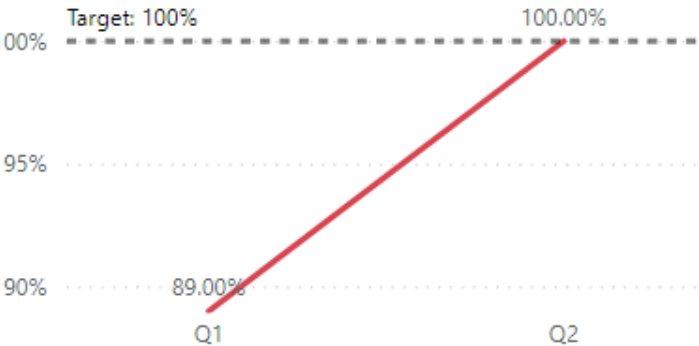
(C12) Percentage Of MDC Customer Facing Staff Who Have Received "Make Every Contact Count" Training



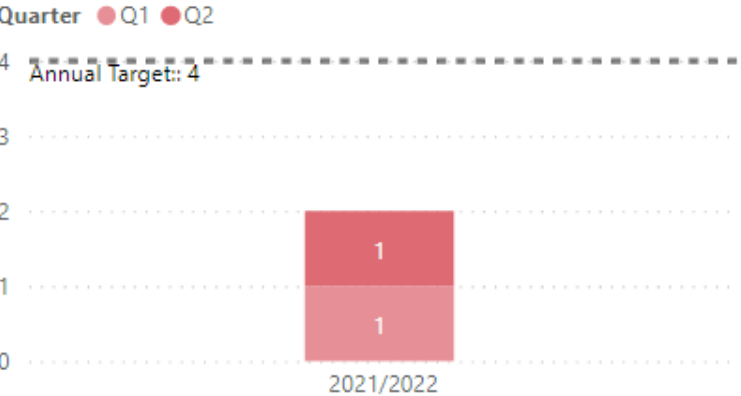
(C13) Number Of Parish And Town Councils Fully Engaged By The Community Engagement Team



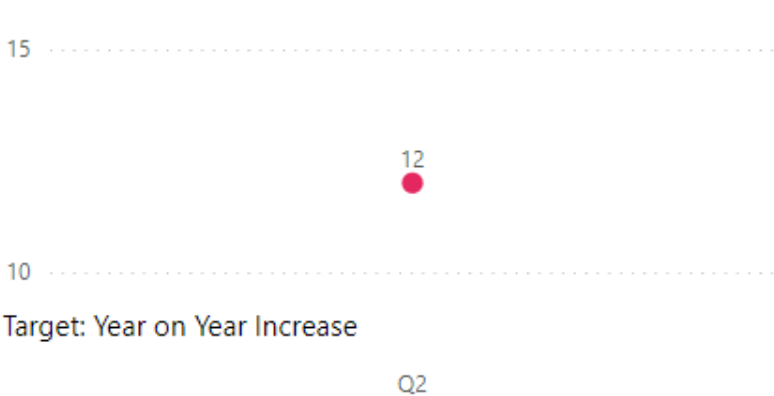
(C12) New Staff Completion Of E-Learning Modules On Safeguarding Vulnerable Adults And Young People and GDPR



(C13) Number of Multi-Agency Events Delivered In The District



(C13) Number Of Volunteering Opportunities Promoted Across The District



Community Performance Measures - Annual Data

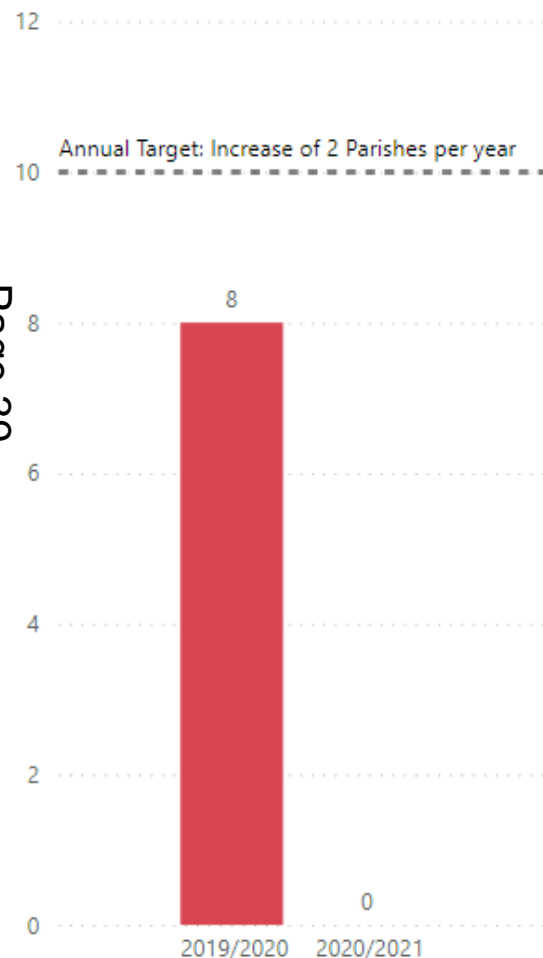
Please note:
Data from 2019/2020 to provide a
baseline where possible.

APPENDIX 1

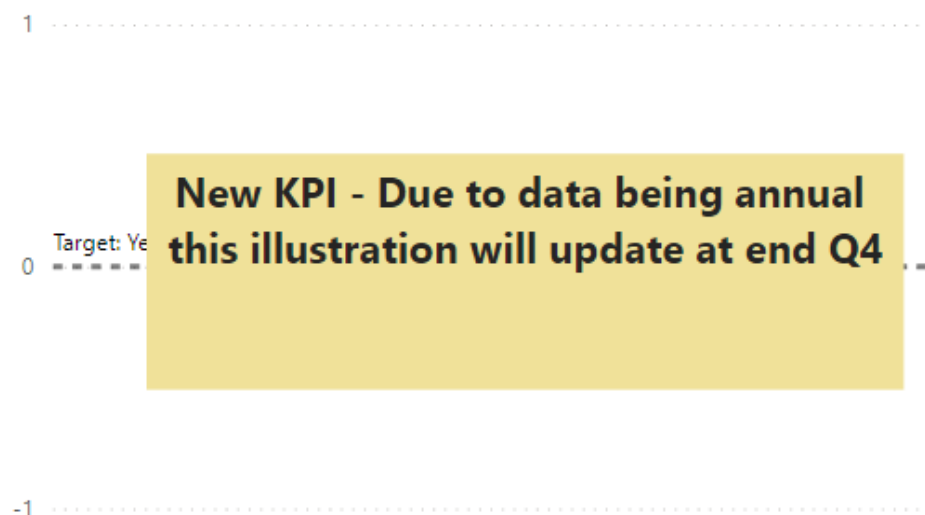
(C9) Number Of Organisations Supported To Improve
Inclusion And Accessibility

**New KPI - Due to data being
annual this illustration will
update at end of Q4**

(C9) Number Of Community Weight
Management Sessions Delivered To
Parishes And Participant Feedback

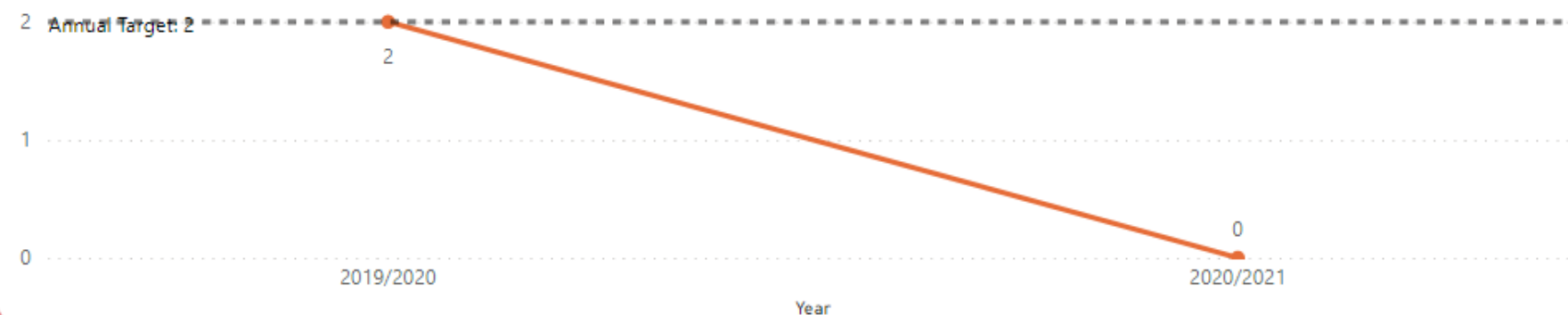


(C9) Number Of Community Champions Appointed Across The
District



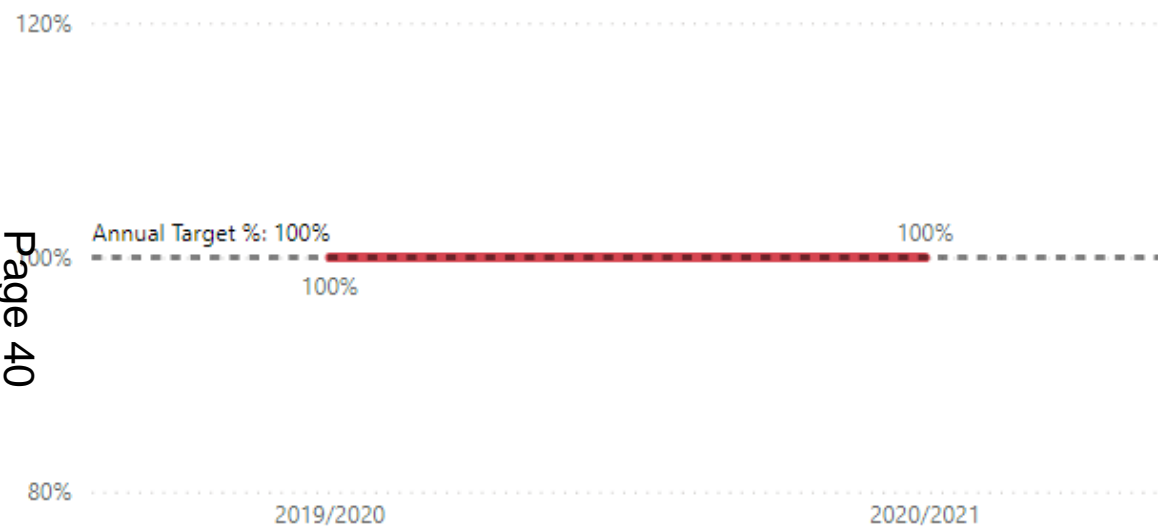
**New KPI - Due to data being annual
this illustration will update at end Q4**

(C10) Number Of Schools Supported By The MDC Year 6 Transition Template To Identify Children With Unaddressed Mental
Health Concerns And Require Support

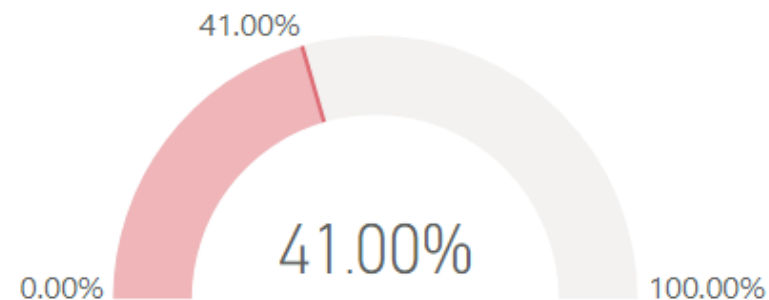


Community Performance Measures - Annual Data

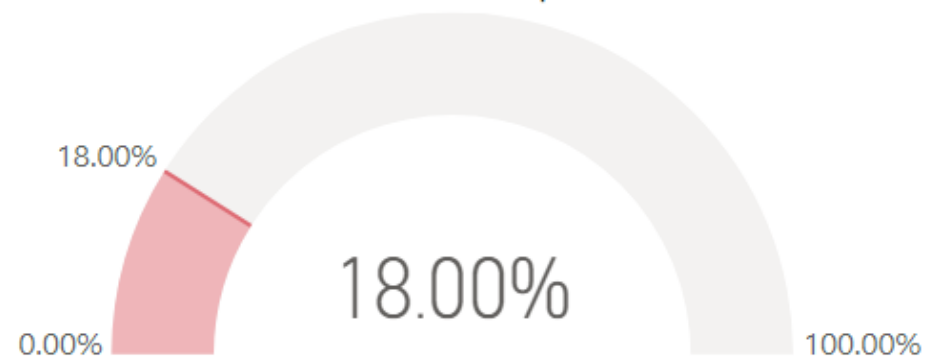
(C13) Customer Evaluation Survey (MDC) – Private Sector Housing Grants/ Loans

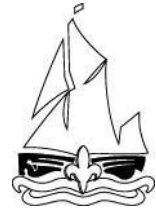


(C13) Annual Better Care Fund Spent 2019/2020



(C13) Annual Better Care Fund Spent 2020/2021(COVID)





REPORT of DIRECTOR OF STRATEGY, PERFORMANCE AND GOVERNANCE

**to
PERFORMANCE, GOVERNANCE AND AUDIT COMMITTEE
13 JANUARY 2022**

REVIEW OF CORPORATE RISK - QUARTER 2

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 and 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

- 3.2 **APPENDIX 1** shows a table of the Corporate Risk Register, the latest ratings and officer commentary.

3.2.1 Summary of risk direction / changes since Quarter One (Q1)

- R11 - Failure to protect personal or commercially sensitive data
 - Risk Rating Increased, due to likelihood increasing.
- R25 - Failure to deliver finances associated to transformation programme (Commercial & Strategic)
 - Recommended closure

3.2.2 Emerging Risks

- Possible review of risks around how the organisation responds and adapts to national changes from the pandemic and climate change.
- 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 co-ordinated approach to supporting inward investment and maximising business rate growth.
- 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. 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 Council's 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 Q2 – Appendix 1

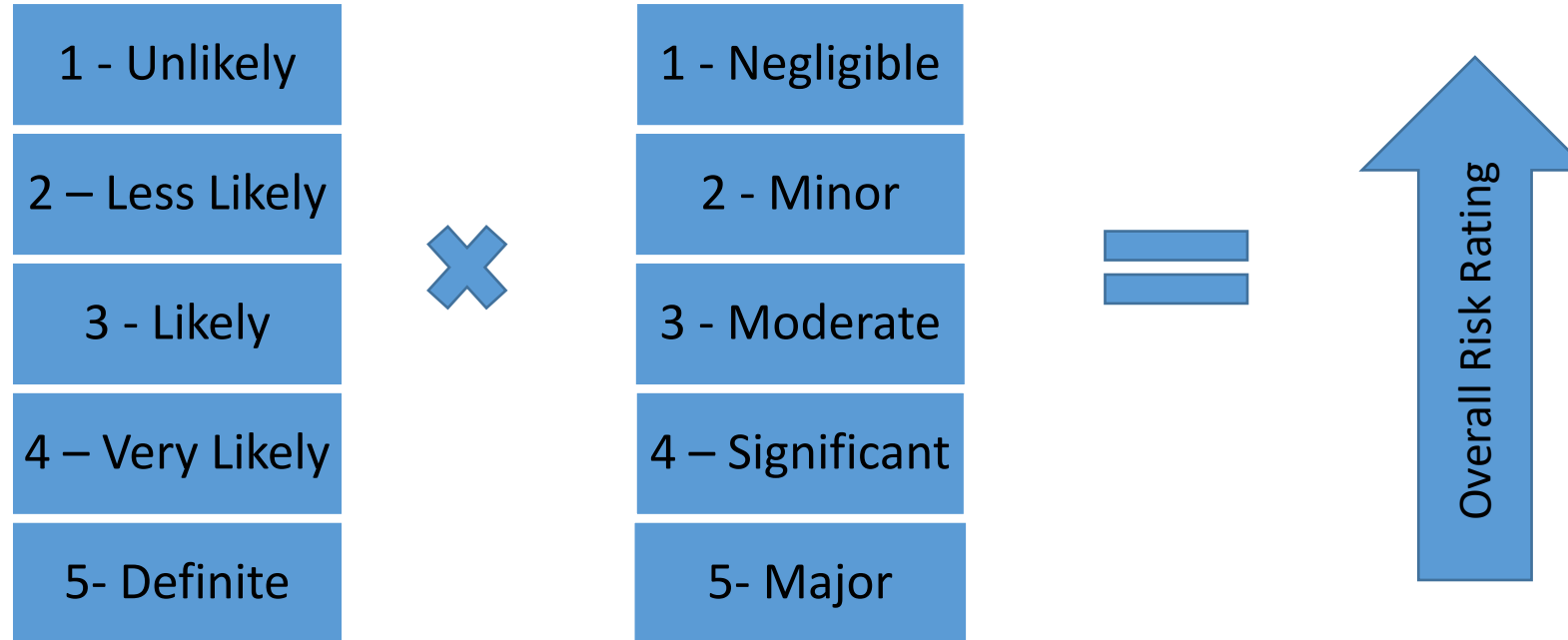
November 2021

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



Risk Assessment Scale

APPENDIX 1



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	Q2 - Housing restraint policies in LDP 2017 can now be considered out of date and the 'tilted balance' in favour of granting planning permission applies in the District. Continued reduction below 3 years would also impact on any housing restraint policies in made Neighbourhood Plans in the District. LDP Review underway to improve land supply by allocating more land and allocating a broader range of sites to help reinforce the land supply better over time, but this will not conclude before 2024. In the meantime, the only thing the Council can do is consider applications for residential development more favourably if they are otherwise acceptable, even if they are contrary to the LDP 2017. The housing market and the pace of construction of unimplemented planning permissions remains outside the council's control but these could also make this risk realisation worse over time.
R15	Failure to plan and deliver balanced budgets over the medium term	4	5	20	Risk Rating Unchanged	Q2 : A number of future uncertainties pose a significant risk to the MTFs; these include inflation rates, large contract renewals, HGV driver shortages, local government financial settlement and the ongoing pandemic. Budget setting for 2022/23 is currently underway.
R8	Failure to meet the affordable housing need	4	5	20	Risk Rating Unchanged	Q2 - A Commuted Sum Strategy has been agreed by S&R Committee. Needs formal agreement from Full Council. This will enable MDC to look to maximise the policy requirement affordable housing contributions. MDC also looking to progress a number of other options and projects to increase the delivery of affordable housing.

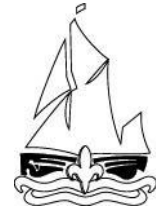
Title	Risk Description	Likelihood	Impact	Overall Risk Rating	Rating direction	Commentary
R10	Failure to develop jobs to support the growing population	4	4	16	Risk Rating Unchanged	Q2 - The impact of Covid is reducing but businesses are still experiencing the effects of the pandemic and Brexit, including high numbers of vacancies. Nationally this is significantly reducing unemployment but industries like hospitality are struggling to recruit. With normally very low unemployment, the local picture is less clear. The recruitment of a fixed term Lead Specialist - Prosperity to undertake the (WBF, ARG/NEEB & COMF funded) Covid19 Economic Recovery and Transformation (CERT) Programme will support the medium term Covid recovery while the Development of an Investment Prospects will support longer term growth. The Council's Sense of Place programme is being reviewed to ensure it continues to support existing businesses and improved its 'reach'. Engagement with BRB (which would create a very large number of medium and long term jobs) is currently on hold. If the Council wishes to continue to directly support local businesses and job creation past the 12 month CERT programme it must consider its previous removal of its Economic Development function, support new business through the LDP review and prioritise delivery of its Commercial Strategy.
R25	Failure to deliver finances associated to transformation programme.	4	4	16	Risk Rating Unchanged	Q2 - The MTFS has been updated to reflect current forecasts, and the commercial strategy is being reviewed to set future commercial income targets. Reconciliation exercise has been done on the transformation exercise and built into MTFS. Recommend Closure.
R29	Failure to deliver services as a result of COVID- 19	4	4	16	Risk Rating Unchanged	Q2 - Services continue to be delivered and adapted in light of the easing of restrictions over the summer. General guidance and legislation is being followed. There were service issues associated with the operation of the splash park (staffing shortages) and equipment reliability after prolonged inactivity which were unexpected. Front of house services still remain suspended at this time with appointments being offered to customers requiring face to face meetings. Resources were provided to deal with the additional grant work generated in support of local business to ensure allocated funding could be issued without delay.

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 2017	4	4	16	Risk Rating Unchanged	Q2 - Despite annual targets, the LDP remains behind where it should have been in terms of housing delivery; this is affecting other performance measures such as the 5 Year Housing Land Supply, but also is impacting on when S106 monies are due from development, from what was forecast as being due by this time in 2017. S106 continues to be accrued from development sites allocated in the LDP 2017 as required by planning policy. The Council is robustly monitoring its S106 agreements and seeking payments when specific triggers are hit. The Infrastructure Delivery Plan remains under review (as part of the LDP Review) and officers are seeking proactive engagement with infrastructure providers (e.g. ECC and NHS) to ensure projects (Maldon Health Hub/ Southminster Health Centre) that have enough S106 funds accrued can work through to their organisation's capital investment business case procedures to ensure they can be delivered to improve local services or facilities. The outcome of a bid to HM Treasury Levelling-Up fund is awaited which could help progress with the delivery of the South Maldon Relief Road and officers remain in discussions with Homes England and other partners about other funding that could help deliver other infrastructure projects.
R1	Failure to safeguard children and vulnerable adults	3	5	15	Risk Rating Unchanged	Q2 - The new case management system continues to perform well. The Maldon Safeguarding Forum meetings need to be prebooked for the following 6 months. MDC recently completed a SET Safeguarding Sec 11 Audit. This has identified a number of improvements that could be made to Safeguarding withing MDC such as: Improving/defining areas of responsibility Sharpening processes for safeguarding casework Redefining areas of responsibility and the interactions between Safeguarding matters and Corporate policy Updating policies so they are fit for purpose

Title	Risk Description	Likelihood	Impact	Overall Risk Rating	Rating direction	Commentary
R9	Failure to have a coordinated approach to supporting inward investment and maximising business rate growth	3	5	15	Risk Rating Unchanged	Q2 - Work on the Maldon District Investment Prospectus has been delayed owing to operational pressures but will be prioritised in Q3 owing to the recruitment of a Lead Specialist - Prosperity to undertake the (WBF, ARG/NEEB & COMF funded) Covid19 Economic Recovery and Transformation (CERT) Programme. The Prospectus will provide coordination and to support inward investment, align with any future activity from ECC and the Council's review of the LDP. The impact of Covid is reducing but businesses are still experiencing the effects of the pandemic and Brexit, including high numbers of vacancies.
R11	Failure to protect personal or commercially sensitive data	3	4	12	Risk Rating Increased	Q2 - ICO complaints have been made in relation to Councillor breaches. Increased risk of breaches from Councillor's sharing information publicly. Training has been given to Councillors and the majority comply with the requirements.
R3	Failure to target services/influence partners effectively to support identified housing needs of increasing aging population	3	4	12	Risk Rating Unchanged	Q2 - Housing are continuing to use the new SHMA to set requirements for developers that meet our Housing need. Housing are also looking at extending the Housing strategy which will further support actions across the district to improve our affordable Housing supply.
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	Q2- Partnership work continues to address the key areas of public concern including providing community engagement events. A full update will be given to the Overview and Scrutiny Committee acting as the Crime and Disorder Committee at the end of October.

Title	Risk Description	Likelihood	Impact	Overall Risk Rating	Rating direction	Commentary
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	Q2 - Recruitment into specialist roles continues to be monitored. Officers are working to mitigate the risk through a workforce planning process. This work will take time to deliver results and includes the inclusion of senior apprentices as well as robust training plans for all team members. In the meantime a mixture of partnership working, temporary staff and outsourcing is being explored to address immediate skills gaps. Currently Development Management being an area that has 5 vacancies and 1 outsourced to ensure resilience This work is in addition to reviewing recruitment arrangements mentioned in Q1.
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	Q2 - We are actively working with services and partners to deliver the health and wellbeing needs of the vulnerable population. As part of this, we are delivering Maldon District Winter Response to ensure our most vulnerable residents are catered for over the coming months.
R13	Failure to manage impact of organisational change	2	3	6	Risk Rating Unchanged	Q2 - Ongoing change is being managed through the strategic cycle and CLT reviewing allocation of resources to deliver Corporate Plan
R16	Corporate policies not managed and reviewed	2	2	4	Risk Rating Unchanged	Q2 - Policies continue to be reviewed in a timely manner

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REPORT of DIRECTOR OF SERVICE DELIVERY

to
PERFORMANCE, GOVERNANCE AND AUDIT COMMITTEE
13 JANUARY 2022

REVIEW OF HEALTH AND SAFETY - QUARTER 2

1. PURPOSE OF THE REPORT

- 1.1 To provide an update on Health and Safety statistics and activity during quarter 2 (1 July 2021 to 30 September 2021).

2. RECOMMENDATIONS

- (i) That Members consider the accident and incident statistics;
- (ii) That Members consider progress with the health and safety action plan;
- (iii) That Members consider health and safety improvements not identified in the action plan.

To the Council

- (iv) That a new Hand Arm Vibration Policy be adopted.

3. SUMMARY OF KEY ISSUES

- 3.1 There were 5 accidents and 1 near miss during quarter 2: -

Incident	Action	Note
A member of staff fell in the Council Chamber.	procedures have been reviewed work has been commissioned to reduce the number of levels in the floor.	(this was reported in quarter 1 due to the seriousness of the accident).
A member of staff hurt their back whilst bending over to clean.	None.	The member of staff was undertaking work in a safe way. No issues or hazards identified.
A child ran into one of the splash park features.	None.	This is an active play area designed to all relevant safety standards.
During walking football, 2 players collided.	None.	Sporting Injury.
A near miss occurred when a Park's operative ran over an electricity cable to a concession.	A review of working procedures and risk assessment for concessions to be	

	undertaken.	
Contractor fell off the step outside the maintenance office in Princes Rd Depot, No significant injury was suffered.	The step was painted with a contrasting colour to highlight.	

- 3.2 There were 4 incidents of unacceptable behaviour: 2 incidents involving waste crews; a third-party referral via Environmental Health (not a specific incident); and an incident involving Customer Services and a member of the public.

Incident	Action	Note
Verbal abuse and threats to Suez Staff.	Letter sent to customer to advise Waste Service being suspended and reminding them they are only permitted to contact Council by letter or online due to long history of verbal abuse to staff. Customer already on the Council's unacceptable behaviour record.	
Verbal abuse to Suez staff.	Letter sent to customer to advise them of unacceptable behaviour and consequences of any future occurrence.	
Verbal Abuse and intimidating behaviour to Customer Services staff.	Customer behaviour being monitored. Any further incidents may result in customer being restricted to being able to contact us by letter/online only.	
None involving Council Staff, this was a third party warning about potential risks related to a property/resident.	Council records updated to ensure staff were aware of potential risks and to ensure no unaccompanied visits were undertaken. Concerns reported to Police.	

- 3.3 As mentioned in the previous report any improvements/recommendations from the splash park review conducted at the end of the 2021 summer season will be addressed as part of the plans for the re-opening of the splash park in 2022.
- 3.4 Good progress has been made with the health and safety action plan, see **APPENDIX 1** for details. Other detailed work on the action plan started in October and will be reported upon in quarter three's report.
- 3.5 To ensure good progress is made a health and safety Consultant has been engaged by the Council and has met with or shadowed staff in Parks and other areas of the Council. Safety advice has been given, emphasizing the need for supervision of staff working in the out of office environment, regular inspections of work should be

undertaken to ensure working compliance, equipment checks and record keeping have been reviewed to ensure they are fit for purpose.

- 3.6 Inspections have been carried out in Parks and Princes Rd depots and the Princes Rd Office. Residual actions have been identified and remedial actions are being identified.
- 3.7 The Consultant is assisting in a full audit of chemicals in order to ensure we comply with Control of Substances Hazardous to Health (COSHH) Regulations.
- 3.8 The consultant is delivering training to staff relating to undertaking risk assessments and also COSHH training.
- 3.9 Work has been completed at both depots, Parks and Princes Road, in relation to the separation of vehicles and pedestrians, some of this work was instigated by the Health and Safety Executive (HSE) following a visit and recommendations.
- 3.10 As a result of the HSE's intervention in 2020, a Hand Arm Vibration Policy has been drafted as requested. Members of staff, including the external health and safety consultant, have been consulted in the drafting of the Policy, see **APPENDIX 2** for details. Members of this Committee are asked to recommend to Council the adoption of the new Policy

4. CONCLUSION

- 4.1 Accidents, near misses and incidents of unacceptable behaviour during quarter 2 have been set out within this report for Members information.
- 4.2 Proactive work on the health and safety action plan has started. Additional health and safety improvements are being made following the appointment of an external health and safety consultant. The action plan will be updated to reflect the good progress being made.
- 4.3 A growth bid is being submitted within the 2022/23 budget round for the provision of a full time Health and Safety Officer to ensure adequate training and compliance levels are maintained across all areas of the Council.
- 4.4 A draft Hand Arm Vibration Syndrome (HAVS) Policy has been compiled that requires Member approval. This committee is asked to support the adoption of the Policy by recommending adoption to Council.

5. IMPACT ON STRATEGIC THEMES

- 5.1 Managing health and safety well 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

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. • 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>This work is well underway: an external health and safety consultant has been appointed; he has completed audits on various activities within Parks; has assisted in written risk assessments for various park activities; made recommendations and given advice.</p> <p>March 2022</p> <p>This work is well underway: a HAVS policy has been drafted as requested by the HSE – see Appendix 2 for full Policy. All residual machinery to be measured for vibration and tagged. Supervisor is undertaking weekly checks to ensure employees are logging their exposure.</p>
When required	<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. 	

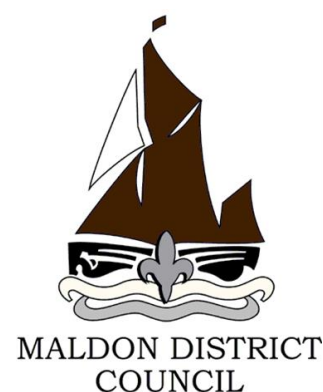
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Document Control Sheet

Document title	Policy on Hand Arm Vibration Syndrome
Summary of purpose	Required by the HSE: sets out the Council's intentions with regards to the management of hand arm vibration syndrome (HAVS)
Prepared by	Gill Gibson
Status	
Version number	1
Approved by	
Approval date	
Date of implementation	
Review frequency	3 years
Next review date	February 2024
Circulation	CLT, Full Council and staff
Published on the Council's website	No – internal policy only

Validity Statement

This document is due for review by the date shown above, after which it may become invalid. Users of the strategy or policy should ensure that they are consulting the currently valid version of the document.



Health and Safety at Work etc. Act 1974

Policy on Hand Arm Vibration Syndrome

at

Maldon District Council

Statement of Intent

It is the Council's intention to ensure so far as is reasonably practicable, the health, safety and welfare at work of all its employees and all others who may be affected by its work activities.

In relation to hand arm vibration syndrome (HAVS), it will: -

- take all reasonable steps to ensure the health and safety of its employees who are/will be exposed to vibration in the course of their employment;
- ensure that any risks are reduced to a minimum so far as is reasonably practicable;
- ensure that employees who use vibrating equipment receive adequate information, instruction and training on the hazards, risks and controls to manage this;
- undertake annual occupation health surveillance for employees who are at risk from using vibrating equipment.

Signed:

Leader of the Council

Director of Service Delivery

Date:

Responsibilities for Hand Arm Vibration Syndrome

Designation	Responsibilities
Members	<ul style="list-style-type: none"> To agree the policy on hand arm vibration syndrome (HAVS). To be made aware of significant issues in relation to the management of HAVS. To ensure adequate resources are allocated when setting budgets and determining capital expenditure to manage the hazards and risks of HAVS.
Directors and Operational Managers	<ul style="list-style-type: none"> To ensure effective management structures and arrangements are in place to deliver policy and procedures in relation to the hazards and risks of hand arm vibration syndrome (HAVS) within their area of responsibility. To ensure that staff within their area of responsibility are aware of their health and safety responsibilities in relation to HAVS. To ensure appropriate action is taken where employees fail to fulfil their health and safety obligations. To identify budget deficits and follow corporate procedures in procuring the required resources to ensure the effective management of hazards and risks from HAVS.
Lead Countryside and Coast Co-Ordinator and Facilities Co-Ordinator	<ul style="list-style-type: none"> To ensure all employees within their remit have adequate information, instruction and training to manage the hazards and risks from hand arm vibration syndrome (HAVS). To ensure all employees within their remit are competent, enabling them to follow policy and procedures to prevent their exposure and mitigate the risks from the use of tools that may cause symptoms of HAVS. To undertake vibration risk assessments, identifying the hazards and risks associated with employees working with vibrating equipment and take measures to control these risks so far as is reasonably practicable. To develop safe systems of work to mitigate the risks from HAVS where the Exposure Action Value (EAV) is reached. To review the hand arm vibration risk assessment annually, ensuring they up to date, reflecting all the equipment used and work activities undertaken by employees which may expose them to HAVS. To provide adequate supervision ensuring that employees are following the policy and procedures to manage the hazards and risks from HAVS. To take appropriate action if an employee is not following policy and procedures and if there are repeated infringements to report these to the Operational Manager. To identify budgets, in particularly budget deficits, in relation to the management of the hazards and risks from HAVS and to report these to their Operational Manager.

APPENDIX 2

Designation	Responsibilities
	<ul style="list-style-type: none"> To ensure recommendations following annual occupational health surveillance are actioned to reduce the hazards and risks of hand arm vibration. To arrange for appropriate training and to keep records (for 40 years). To follow management procedures set out in sections 4 and 6 of this Policy.
Parks and Countryside Officer	<ul style="list-style-type: none"> To supervise the day-to-day management of employees within their Team to ensure the hazards and risks from hand arm vibration syndrome (HAVS) are controlled and mitigated. To schedule work activities to limit employee exposure to equipment that may cause HAVS. To ensure employees are familiar with and follow the safe systems of work developed to mitigate the risks of HAVS. To provide adequate information and instruction on equipment and its use to mitigate the risk of HAVS. To monitor employees to ensure they are following HAVS policy and procedures, including a weekly check to ensure employees are recording their daily vibration exposure in the relevant log. To ensure employees attend occupational health screening checks. To raise concerns around the management of HAVS with their managers.
Human Resources	<ul style="list-style-type: none"> To procure an appropriate occupational provider with the relevant competencies to undertake occupational health surveillance in relation to hand arm vibration syndrome (HAVS). To co-ordinate the annual occupational health surveillance of all employees exposed to HAVS and to keep suitable records of this (to be kept for 40 years). To ensure any occupational health recommendations are actioned, including any follow up checks, and to keep suitable records of this. To inform relevant managers of recommendations which may highlight omissions in the management of HAVS. To consult trade union safety representatives or employee representatives on the employers' proposals to control risk and to provide health surveillance for HAVS. To undertake pre-employment and exit checks in line with section 7 of this Policy. To inform the health and safety advisor of any cases of occupational disease, including HAVS.

Designation	Responsibilities
Employees	<ul style="list-style-type: none"> To co-operate their managers / supervisors on all matters relating to the management of hand arm vibration syndrome (HAVS), including occupational health screening. To take reasonable care of their own health and to ensure that their activities do NOT put others at risk. To make proper use of equipment provided including personal protective equipment (PPE). NOT to interfere with anything that safeguards their health and safety or the health and safety of others. To accurately complete vibration logs daily when using equipment that may cause HAVS and to job share if approaching the exposure action value (EAV) – see section 4 of this Policy for more information. To report any concerns regarding the management of HAVS to their line manager or another appropriate person, including the inability to job share if approaching the EAV. To report to their line manager or another appropriate person if they believe they may be suffering any symptoms of HAVS. To follow the guidance in section 5 of this Policy.
Health and Safety Advisor	<ul style="list-style-type: none"> To report any cases of disease to the HSE in line with the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013.

Arrangements for Hand Arm Vibration Syndrome (HAVS)

1. Introduction

Hand-arm vibration syndrome (HAVS) is vibration transmitted from work processes into workers' hands and arms. Whilst occasional exposure is unlikely to cause ill health, regular and frequent exposure can lead to permanent health effects.

Hand-arm vibration can result in damaged nerves, blood vessels and joints of the hand, wrist and arm, as well as a reduced blood supply, leading to a range of conditions collectively known as hand-arm vibration syndrome (HAVS).

The effects of HAVS on employees can include: -

- reduced flexibility and strength of grip
- inability to do fine work
- inability to work with hand held equipment
- pain, distress and sleep disturbance
- difficulty in working outdoors during inclement weather, as the symptoms may be aggravated by cold and / or damp conditions

As well as severely limiting the jobs an affected employee can do, HAVS can also impact many family and social activities.

2. Symptoms of HAVS

Early symptoms include: -

- tingling and numbness (pins and needles) in the fingers
- fingertips going white (blanching) and becoming red and painful on recovery (particularly in the cold and wet)
- not being able to feel things properly
- loss of strength in the hands

Symptoms can develop after a few months or many years of exposure to vibrating equipment. Continued exposure is likely to lead to a worsening of the condition and permanent damage. It can cause conditions such as Carpal Tunnel Syndrome and Raynaud's Disease (also known as white finger).

3. What causes HAVS

Jobs requiring regular and frequent work with vibrating equipment are most likely to result in an employee suffering from HAVS. Examples of such equipment are: -

- chainsaws / kerb saws / hand-held or hand-fed circular saws
- power hammers / hammer drills
- pedestal grinders / hand-held grinders, polishers and sanders
- breakers
- disc cutters / brush cutters
- powered lawn mowers
- trimmers / brush cutters
- electrical screw drivers

The risk of developing HAVS depends on a number of factors, such as: -

- the amount of vibration produced by the tool
- how often the tool is used
- how long the tool is used for on each occasion
- the way the tool is used
- working conditions, including posture and weather conditions
- the health of the individual.

4. Management Responsibilities

4.1 Managers will: -

- i. assess the vibration risk to their employees;
- ii. ensure that the hazard and risk from the exposure of their employees to vibration is either eliminated at source or, where this is not reasonably practicable, reduced to as low a level as is reasonably practicable;
- iii. decide if employees are likely to be exposed above the daily exposure action value (HAVS) and, if they are: -

- introduce a programme of organisational and technical measures to eliminate risk, or reduce exposure to as low a level as is reasonably practicable;
- decide if employees are likely to be exposed above the daily exposure limit value (ELV) and, if they are, take immediate action to reduce their exposure to below the limit value and reduce so far as reasonably practicable thereafter;
- provide information, instruction and training to employees on health risks and the actions the employers are taking to control those risks – see section 6 of this Policy for more detail;
- provide health surveillance to those employees who continue to be regularly exposed above the action value or, due to individual circumstances, continue to be at risk;
- take action when there are adverse health surveillance results;
- keep a record of risk assessments and control actions;
- regularly review and update risk assessments;
- consult trade union safety representatives or employee representatives on the employers' proposals to control risk and to provide health surveillance.

4.2 The **exposure action value (EAV)** is a daily amount of vibration exposure above which the Council is required to take specific action to control exposure. The greater the exposure level, the greater the risk and the more action the Council will need to take to reduce the risk. For hand-arm vibration the EAV is a daily exposure of 2.5 m/s² A(8) (equivalent to 100 points using the HSE calculator).

4.3 The **exposure limit value (ELV)** is the maximum amount of vibration an employee may be exposed to on any single day. For hand-arm vibration, the ELV is a daily exposure of 5 m/s² A(8) (equivalent to 400 points using the HSE calculator). It represents an unacceptably high risk above which employees can only be exposed under exceptional emergency conditions for which stringent conditions apply.

4.4 **Risk Assessment:** managers must undertake vibration risk assessments, identifying the hazards and risks associated of employees working with vibrating equipment and take measures to control these risks so far as is reasonably practicable.

Managers must implement control measures whenever employees are likely to be exposed to vibration levels above the EAV. Where an individual employee is at a higher level of risk, the manager must develop controls specifically for them.

4.5 Management

Alternative ways of working: -

- to consider alternative work methods that eliminate or reduce exposure to vibration (trade associations, journals and equipment suppliers may be able to help identify good practice);
- mechanise or automate the work;
- plan work to avoid exposure to vibration for long, continuous periods;
- use staff rotas to limit exposure times, especially where continual or frequent use;
- ensure regular breaks for employees using vibrating equipment.

Equipment Procurement: -

- ensure that equipment selected or allocated for tasks is suitable and can do the work efficiently (equipment that is unsuitable, too small or not powerful enough is likely to take much longer to complete the task and expose employees to vibration for longer than is necessary);
- select the lowest vibration tool that is suitable and can do the work efficiently (NB an unsuitable tool could have a lower vibration rating but result in employees having greater vibration exposure due to tasks taking longer to complete);
- check with supplier that the equipment is suitable and effective for the work activity, compare vibration emission information for different brands/models; ask for vibration information on the way you plan to use the equipment and information on any training requirements for safe operation; check with a range of suppliers;
- get employees to try the different models and brands of equipment and take account of their opinions before deciding which to buy;
- find out about the equipment's vibration-reduction features and how to use and maintain the equipment to make these features effective;
- identify and prohibit work practices which can increase the equipment's vibration magnitude;
- limit the use of high-vibration tools whenever possible.

Workstation design: -

- improve the design of workstations to minimise loads on employees' hands, wrists and arms caused by poor posture;
- use devices such as jigs and suspension systems to reduce the need to grip heavy tools tightly.

Maintenance: -

- introduce appropriate maintenance programmes for equipment (including vibration reduction features) to prevent avoidable increases in vibration (following the manufacturer's recommendations where appropriate);
- do not use damaged equipment and replace consumable items such as grinding wheels, so that equipment is efficient and keeps employee exposure as short as possible;
- equipment tagged with a points system where there is a risk from HAVS (tags to be replaced where missing).

Work schedule: -

- plan work to avoid individuals being exposed to vibration for long, continuous periods – several shorter periods are preferable;
- where tools require continual or frequent use, introduce employee rotas to minimise exposure times – avoid employees being exposed for periods that are long enough to put them in the high-risk group;
- ensure that employee daily exposure logs are maintained.

Clothing: -

- provide employees with protective clothing when necessary to keep them warm and dry (this will encourage good blood circulation, which should help protect them from developing HAVS); gloves can be used to keep hands warm, but, should not be relied upon to provide protection from vibration and should not interfere with the safe use of equipment.

Monitor: -

- regularly check that the programme of controls you have introduced is being carried out (including on the job monitoring);
- talk regularly to supervisors, employees and trade union safety representatives or employee representatives about whether there are any vibration problems with any equipment or the way it is being used;
- check the results of health surveillance and discuss with the appropriate member of the Occupational Health whether the controls appear to be effective or if they need to be changed.

5. What employees can do

Employees working with hand-held power tools or powered hand-guided / hand-fed equipment can greatly reduce the risk of developing HAVS. Some effective ways they can do this are as follows: -

- inform their manager about any equipment that produces high levels of vibration so that the risks can be properly addressed;
- maintain blood flow in the fingers while working by: -
 - keeping warm at work, especially their hands (by wearing warm gloves and extra clothes if they work in the cold);
 - exercising hands and fingers to improve circulation;
- follow safe systems of work;
- use the right equipment for the job (using the wrong equipment can lead to more vibration or cause them to grip the tools more tightly) in accordance with instructions;
- don't use any greater physical force than necessary to grip or drive / direct equipment;
- avoid lengthy periods of using equipment without a break - short bursts are better;
- keep tools in good working order – if necessary, asking managers to get equipment repaired;
- share high risk tasks with other employees to reduce exposure time;
- take an active part in any health and safety courses they are required to attend;
- **do not ignore symptoms** (if an employee thinks vibration is affecting their fingers, hands, wrists or arms, stop work and report the matter to their manager immediately (the manager can arrange for a referral to Occupational Health via HR);
- immediately report relevant medical factors such as diagnosis of diabetes;
- **accurately record their daily vibration exposure in the relevant log.**

6. Information, instruction and training for employees

6.1 Managers must ensure that employees are provided with information on: -

- the health effects of hand-arm vibration
- sources of hand-arm vibration
- whether they are at risk and, if so, an estimation of the risk they may be exposed to
- the risk factors (e.g. the levels of vibration, daily exposure duration, regularity of exposure over weeks, months and years)
- how to recognise symptoms of HAVS and other vibration related health conditions

APPENDIX 2

- how to report symptoms (reporting symptoms early will allow managers to investigate the tools and equipment being used by the individual and their working patterns without delay)
- the need for health surveillance (how it helps them remain fit for work and how this will be provided)
- the need to immediately report significant medical factors
- ways to minimise risk, including:
 - good working practices to reduce vibration exposure;
 - correct selection, use of and maintenance of equipment;
 - reporting defects and problems with equipment so that replacements can be obtained when necessary;
 - correct techniques for equipment use, how to reduce grip force, etc.;
 - specific practices to avoid;
 - maintenance of good blood circulation at work by keeping warm.

7. Health surveillance

7.1 Health surveillance to be provided to all employees who, despite the preventative actions that have been implemented to control the risk, are likely to be regularly exposed above the exposure action value of $2.5 \text{ m/s}^2 \text{ A(8)}$, or who are considered to be at risk for any other reason. Surveillance will take place annually or more frequently if this is recommended by occupational health.

7.2 The purpose of health surveillance is to: -

- identify anyone exposed or about to be exposed to hand-arm vibration who may be at higher risk, e.g. people with blood circulatory diseases;
- identify any vibration-related symptom at an early stage in employees regularly exposed to hand-arm vibration;
- help prevent disease progression and eventual disability;
- help people stay in work;
- check the effectiveness of vibration control measures.

7.3 Medical records will be maintained by HR in line with data protection requirements.

7.4 Pre-placement and exit medical examination: an assessment will be undertaken by the Occupational Health Adviser (and, if necessary, the Occupational Health Physician) before they commence employment in any post involving the use of vibrating equipment. Similarly, any employee leaving a post involving the use of vibrating equipment will be screened (unless they have received screening within the previous 6 months) to provide an adequate pre-exit health status record.

Key information source for this topic: -

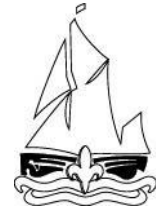
[Hand arm vibration at work](#)

[Hand arm vibration - Exposure Calculator](#)

[Hand arm vibration - Worried about your hands?](#)

[Hand arm vibration - Control of Vibration at Work Regulations 2005](#)

[INDG 175 - Hand Arm Vibration at Work](#)



REPORT of DIRECTOR OF STRATEGY, PERFORMANCE AND GOVERNANCE

**to
PERFORMANCE, GOVERNANCE AND AUDIT COMMITTEE
13 JANUARY 2022**

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) That the Committee reviews the Annual Governance Statements table and updates below and challenges 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 10 June 2021. 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 Actions Highlighted in Grey have been previously reported as **completed**
- 3.5 The current table of actions and officer updates are detailed below for Member consideration.

Title	Owner	Status	Target Completion	Commentary
A review of the Corporate Risk Register, to map Risk Management to the corporate outcome delivery.	Cheryl Hughes	Ongoing	31/03/2022	Risks reviewed at quarterly performance clinic, to assess which are historic and should be closed as relating to 2019 Transformation, and emerging risks that have come out of COVID recovery and wider corporate issues. This will then be reported to Performance Governance and Audit (PGA)

				committee early 2022.
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	31/12/2023	<p>Work remains ongoing in the LDP review. Commissioned a Nature Conservation Study and Gypsy & Traveller Accommodation Needs Assessment. Out to tender for Employment Land and Premises Study, Integrated Assessment, Strategic Flood Assessment and Water Cycle Study. Internal Studies looking at Housing and Economic Land Availability, Settlement Hierarchy and Transport Modelling. Other work will be commissioned as project advances.</p> <p>In delivering this action, it is important to recognise that the older the Policies or Objectives, the harder it will be to reflect on them in the LDP review update, particularly if the circumstances have changed locally or national policy has moved on. LDP review project through Planning Policy project board is already tied into other policy, strategy and action plan development including the Corporate plan and Climate Change action plan.</p>
Review remote meeting arrangements and future options for online participation.	Paul Dodson	Ongoing	03/2022	16 December Council meeting will consider public participation, and wider hybrid meeting options as part of technology developments and updates from operational learning.
Assess the impact of Covid on our services and delivery including through internal audit Implement a refreshed Corporate Plan.	Chris Leslie	Completed	10/2021	Corporate Plan refreshed and adopted in February 2021. Internal audit of COVID recovery plans completed with substantial assurance. Resident & Business survey launched. Growth bids for service improvement presented to Finance Working Group.
Implement revised performance tracking accordingly.	Cheryl Hughes	Completed	01/2022	New template to PGA committee September 2021, aligned to the new corporate plan. Member feedback on this has also fed into agile

				changes. The template is in place and will report quarterly to the refreshed corporate plan
Review our Audit committee arrangements in light of the Redmond Review (i.e. PGA).	Cheryl Hughes	Completed	10/2021	The three primary concerns raised by the Redmond Review were the fragility of the local audit market, policy objectives of legislation not being fulfilled, and lack of leadership for the local audit system. Regular reporting has been given to PGA on how these areas impact us, but given they are much broader than District level, we don't expect any wider work/changes are necessary at Maldon District Council.
Public involvement and budget consultation as part of our Annual Strategic Cycle.	Chris Leslie	Completed	31/12/2021	A draft budget consultation has been prepared and is currently being finalised. This will be built into the budget setting timetable. Analysis of the survey was presented to finance working group members as part of the budget setting work for 21/22
Implement a programme of Continual Improvement	Cheryl Hughes	Completed	12/2021	A Process Improvement framework document outlining our approach to continual improvement has been created and reported to Nov 21 PGA Committee
Monitor the impact of the COVID crisis on the governance arrangements	Paul Dodson	Completed	11/2021	18 November internal Audit report for COVID recovery plan was reported to PGA committee and gave a substantial level of assurance around our COVID governance arrangements and recovery framework.
Peer review of our scrutiny arrangements	Cheryl Hughes	Completed	30/01/2021	The Local Government Association (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 LGA	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.
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.

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.