



MEETING : AUDIT AND GOVERNANCE COMMITTEE
VENUE : COUNCIL CHAMBER, WALLFIELDS, HERTFORD
DATE : TUESDAY 5 APRIL 2022
TIME : 7.00 PM

PLEASE NOTE TIME AND VENUE

MEMBERS OF THE COMMITTEE

Councillor Mark Pope (Chairman)

Councillors A Alder, R Fernando, A Huggins, T Stowe, R Townsend and
A Ward-Booth (Vice-Chairman)

Substitutes

Conservative Group: Councillors J Burmicz and A Curtis

*(Note: Substitution arrangements must be notified by the absent Member
to Democratic Services 24 hours before the meeting)*

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- must not participate in any discussion of the matter at the meeting;
- must not participate in any vote taken on the matter at the meeting;
- must disclose the interest to the meeting, whether registered or not, subject to the provisions of section 32 of the Localism Act 2011;
- if the interest is not registered and is not the subject of a pending notification, must notify the Monitoring Officer of the interest within 28 days;
- must leave the room while any discussion or voting takes place.

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AGENDA

1. Apologies

To receive any apologies for absence

2. Minutes - 25 January 2022 (Pages 7 - 22)

To approve as a correct record the minutes of the meeting held on 25 January 2022.

3. Declarations of Interest

To receive any declarations of interest.

4. Chairman's Announcements

5. Training - Risk Management

6. Leisure Annual Report (Pages 23 - 120)

To move that under Section 100(A)(4) of the Local Government Act 1972, the press and public be excluded from the meeting during the discussion of Appendix 1a, Item 6 on the grounds that it involves the likely disclosure of exempt information as defined in paragraph 3 of Part 1 of Schedule 12A of the said Act of the following description: in that it provides financial details.

7. Receipt of the External Auditor's Annual Governance Report - 'To Follow'

Report to follow

8. Approval of the Annual Governance Statement 2020/21
(Pages 121 - 162)

9. Approval of the Statement of Accounts - 'To Follow'

Report to follow

10. Monitoring of 2021/22 Quarter Three Strategic Risk Register, Review of Content of the Strategic Risk Register for 2022/23 and Annual Review of Risk Management Strategy. (Pages 163 - 218)

11. Shared Internal Audit Service - Internal Audit Plan 2022/23
(Pages 219 - 236)

12. Shared Anti-Fraud Plan 2022/23 Report (Pages 237 - 254)

13. Financial Management Quarter 3 Forecast to Year End - 'To Follow'

Report to follow

14. Audit and Governance Committee Work Programme (Pages 255 - 266)

15. Urgent Items

To consider such other business as, in the opinion of the Chairman of the meeting, is of sufficient urgency to warrant consideration and is not likely to involve the disclosure of exempt information.

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MINUTES OF A MEETING OF THE
AUDIT AND GOVERNANCE COMMITTEE
HELD IN THE COUNCIL CHAMBER,
WALLFIELDS, HERTFORD ON TUESDAY 25
JANUARY 2022, AT 7.00 PM

PRESENT: Councillor M Pope (Chairman)
Councillors A Alder, A Curtis, R Fernando,
A Huggins, R Townsend and A Ward-Booth

ALSO PRESENT:

Councillors E Buckmaster, M Goldspink,
L Haysey, G McAndrew, P Ruffles and
G Williamson

OFFICERS IN ATTENDANCE:

Michele Aves	- Democratic Services Officer
Lorraine Blackburn	- Scrutiny Officer
Steven Linnett	- Head of Strategic Finance and Property
Katie Mogan	- Democratic Services Manager

ALSO IN ATTENDANCE:

Simon Martin	- Shared Internal Audit Service
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295 APOLOGIES

An apology for absence was submitted on behalf of

Councillor Stowe. It was noted that Councillor Curtis was substituting for Councillor Stowe.

296 MINUTES - 9 NOVEMBER 2021

It was moved by Councillor Townsend and seconded by Councillor Curtis, that the Minutes of the meeting of the Committee held on 9 November 2021 be confirmed as a correct record and signed by the Chairman. After being put to the meeting and a vote taken, the motion was declared CARRIED.

RESOLVED – that the minutes of the Committee meeting held on 9 November 2021 be confirmed as a correct record and signed by the Chairman.

297 CHAIRMAN'S ANNOUNCEMENTS

The Chairman reminded Members to kindly use their microphones when speaking to guide the camera for the webcast.

The Chairman welcomed Michele Aves, the new Democratic Services Officer to the meeting.

298 DECLARATIONS OF INTEREST

Councillor Townsend declared an interest in Agenda Item 5, as he was a user of a Resident Parking Zone.

Councillor Alder declared an interest as Sawbridgeworth Town Council were using the services of the East Herts Council's Human Resources Department.

299 BUDGET SCRUTINY - BUDGET 2022/23 AND MEDIUM TERM
FINANCIAL PLAN 2022-25

The Executive Member for Financial Sustainability introduced the report which set out proposals on the Budget 2022/23, the Medium Term Financial Plan 2022/23 – 2026/27, the 2022/23 – 2026/27 Capital Programme and the 2022/23 Schedule of Charges. He referred to plans being set around an increasing challenging background of diminishing funding from Government and uncertainties regarding future funding. The limited means of the Council raising its own revenue, and higher costs due to Covid. However, he explained that planning ahead had continued with the Council's 2020 comprehensive spending review giving significant levels of savings for this year, and with the transformation programme underway further savings were expected from 2023. He confirmed that for the budget to be prepared it was based on working assumptions, and that the Council Tax increase of £5.00 per year on a Band D property is the maximum that the Council can apply without a referendum. He explained that despite measures there will remain a budget gap which will need to be filled, and drew the committee members' attention to Appendix B within the report which set out further savings proposals in addition to those agreed last year.

The Chairman remarked on the quality of the reports and thanked Officers for their hard work.

The Chairman asked the Head of Strategic Finance and Property for clarity on paragraph 2.3 of the report, regarding the National Pay Award. The Head of Strategic Finance and Property explained that the pay

award for the financial year had not yet been agreed. The Employers side had made a final offer of 1.75%, and understood that the Unions were balloting for industrial action. Following guidance of the Executive, a pay award provision of 3% has been made for next year, which with inflation currently at 5% would be a less than inflation pay award. The Chairman asked that if the pay award was less than 3% would the funds go into reserves. The Head of Strategic Finance and Property said that this would become an under spend, and that 3% seemed sensible based on where inflation was currently going.

The Chairman referred to page 34 of the report regarding the possible change of location for the Council and asked if this would be facilitated by capital borrowing. The Head of Strategic Finance and Property explained that funding would come from reserves and that this was approved in principal but not committed. The Council building will be surveyed and the findings compared to the costs against the offer to co-locate at County Hall. He reiterated that no decision had yet been made, and that it will be included as part of the Transformation Programme.

Councillor Curtis referred to the savings proposals relating to Resident Parking Zones (RPZ) which had attracted attention from members of the public. Whilst supporting the principal that the scheme is cost neutral to the Council, he questioned if residents could be offered a discount by providing their vehicle registration details and not opting for hard copy permits.

Councillor Williamson explained that RPZ fees and

charges have increased by between 2.5% and 5% in recent years, and that this has been lagging behind the true costs of running the schemes. With the approval of the fees and charges policy at Council in December 2021, where full cost recovery was now sought for all services, this had led to a sharp increase in order to address this balance. He said he would seek further clarification from Officers on how the hard copy permits were produced, but his understanding was that there were practical difficulties with the alternatives suggested. Councillor Curtis suggested that the use of vehicle registration details instead of hard copy permits could be used in the future, as part of the Transformation Programme. He asked if the amount of hours inspectors patrolled the zones could be cut to provide savings.

The Executive Member for Financial Sustainability confirmed that the costs included the time which inspectors spent patrolling the schemes, and that it was important that there was a sufficient presence. He said that those who had paid for permits would want to see that areas were being suitably patrolled and that any reduction in the inspectors' hours would be a false economy and not welcomed by residents. The Chairman reiterated that the Council was not looking to make a profit from such schemes but only to recover its costs.

Councillor Goldspink referred to page 42 of the report which referred to the Council having to temporarily borrow funds to pay staff, and asked for clarification on how much this may be, and for what duration. The Head of Strategic Finance and Property explained that in the month of April, Council Tax receipts would not

match pre-set outgoings. In March, the Council is required to pay the parish precepts, and in February and March the Council also has low receipts due to the facility enabling Council Tax to be paid over ten instalments. It was therefore anticipated that short term cash flow borrowing would be needed for approximately one week, which was normal for a District Council. Councillor Huggins asked if there was a risk of borrowing not being available. The Head of Strategic Finance and Property assured the Committee that the market was buoyant, and there would be no problems in borrowing.

Councillor Townsend said that the RPZ permits had been predominately digital for at least one year, but that visitor permits have to be hard copy to be handed to people. He stated that the lump sum increase had upset residents as many have no choice where they park. He added his concerns that residents may decide not use the schemes, and this might swamp non-zonal areas. He expanded on his feelings that the sudden increase alongside other cost of living expenses was too much especially for essential car users on a low income. Councillor Goldspink echoed Councillor Townsend's comments as her constituents were also upset. She said that she was unaware that the schemes were so heavily subsidised, and whilst she understood the need to recoup costs, wished for increases to be phased in.

Councillor Ward-Booth referred to the reduction of internal audit days, and asked if the council was confident that they could audit themselves sufficiently. The Shared Internal Audit Manager confirmed that it was how the audit days were used for example, the

use of technology versus manual processes. He said that benchmarking against other comparable Councils had also been done.

Councillor Alder referred to page 72 of the report, specifically the £1.00 Sunday car parking charge, and commented that in Sawbridgeworth this would have little impact as people did not use the car park, and if they had to pay they would instead park in the roads. She also questioned if the income from the charge would meet the enforcement costs. Councillor Williamson confirmed that the proposals would mean that the Sunday parking tariff would move to the Standard Daily Rate. He said that he did not have a breakdown for the Sawbridgeworth carpark, but advised he would provide this to Councillor Alder in writing.

Councillor Huggins referred back to the RPZ issue. He said that Councillors had received emails from residents, and wished to assure them that the figures used to calculate the charges had been scrutinised by Members. He also asked why the assumption was that Council Tax would increase each year, and what would happen if it did not. He queried if the Sunday parking charges would operate using normal hours of business.

The Executive Member for Financial Sustainability confirmed that the figures relating to Residential Parking Zones were a true reflection of the costs, and these had been challenged and examined. He added that if Council Tax was not increased by the full amount each year this would lead to additional savings needing to be found. The Sunday parking charges

would operate as per other days, with hours being extended to 8pm. Councillor Huggins expressed his concerns for businesses, in particular the hospitality sector with regards to the evening parking charges. He voiced his preference for the changes to be delayed for a year to aid Covid recovery. He also questioned what the Council hoped to achieve by charging outside of the Sunday 10am – 4pm hours. Councillor Huggins commented on the fairness of only six playgrounds being transferred to Town and Parish Councils and questioned why this number is not higher. The Executive Member for Financial Sustainability responded by saying that 10% of playgrounds had been selected, and that the number could be extended in the future. Councillor Huggins asked how achievable the savings from transferring six playgrounds were, and specifically why Town and Parish Councils would take on the liability. The Executive Member for Financial Sustainability acknowledged the point, and explained that he would ask Officers to have discussions to see what was feasible.

Councillor Townsend returned to RPZs and asked if it would be possible for smaller and greener vehicles to pay less in future schemes. He also enquired as to the proportionate costs of managing and patrolling on Sundays, and if this had been considered. The Executive Member for Financial Sustainability said that these extra costs had been taken into account and there would be a net gain. He added that more detail could be provided if required.

Councillor Curtis thanked Officers and the Executive Member for their work on the proposals.

Councillor Goldspink referred to Appendix B in the report, with reference to the reduction in the grant to the Citizens Advice Bureau (CAB). She expressed her regret as they were an excellent service, and felt it was short sighted to reduce such support. The Head of Strategic Finance and Property clarified the grant paid to the CAB. When the CAB moved into the Wallfields offices the grant was increased by the amount of rent which the Council was charging. When the CAB vacated Wallfields they no longer had to pay the rent, and the grant was reduced. He explained that colleagues in Housing and Health were working with the CAB to obtain alternative funding so that they were not overly reliant on the Council.

The Chairman referred to page 35 of the report which gave an illustration of the difficulties faced by the Council. He also drew attention to the New Homes Bonus which was good news.

Councillor Fernando expressed his wishes for the Council to promote easy to access and easy to read information to residents about the RPZs.

The Chairman referred to page 43 of the report, namely the risks regarding business rates and Section 31 Grants. He asked for clarification on how likely these risks were. The Head of Strategic Finance and Property advised he was not yet in a position to comment. He said that there had been a number of changes in Business Rates Relief, and a new scheme was also proposed and would be recommended for approval by the Executive at their meeting on 8 February 2022. There was a risk of businesses closing, but East Herts was different due to its small and

unique businesses. He had flagged this as a risk to Members as he did last year, but he was confident there was not a big risk. The Chairman asked about the Business Rates pool. The Head of Strategic Finance and Property advised that membership to a pool was for a year, and it was unclear if pool memberships would continue.

The Chairman referred to page 47 on the Minimum Income Provision, and asked if it was likely to be agreed. The Head of Strategic Finance and Property advised that he did not see it being a problem.

It was moved by Councillor Ward Booth and seconded by Councillor Huggins that the recommendations, as detailed, be approved. After being put to the meeting and a vote taken, the motion was declared CARRIED.

RESOLVED – (A) That the Executive's proposed budget and Medium Term Financial Plan be scrutinised and Members specifically considered the following:

- I. that the East Herts share of the Council Tax for a Band D property in 2022/23 be set at £184.09, an increase of £5, the maximum permitted within the draft Council Tax Referendum principles;
- II. the updated position on the Budget 2022/23 and the Medium Term Financial Plan including the budget pressures and risks;
- III. the capital programme set out in Appendix C and the impact on the revenue account of

- the borrowing costs; and
- IV. the initial equalities impact assessment of the savings proposals set out in Appendix D so that Members can be assured that there is no adverse impact on those with protected characteristics.

(B) That the Committees comments be considered by the Executive, before the production of the recommended budget and Medium Term Financial Plan to be put to Council.

300 TREASURY MANAGEMENT STRATEGY STATEMENT AND
ANNUAL INVESTMENT STRATEGY 2022/23

The Executive Member for Financial Sustainability introduced a report setting out the Council's Treasury Management and Annual Investment Strategy for 2022/23. He said that this was the first of three treasury reports for the year, and invited comments.

Councillor Curtis referred to page 185 of the report, and requested clarification of what is counted as revenue stream for the Council. The Head of Strategic Finance and Property confirmed that this consists of Council Tax, and all income which the Council earns.

Councillor Curtis asked what percentage of Council income comes from leisure. The Head of Strategic Finance and Property was unable to provide specific detail, but explained that once the leisure centres were completed the contractors were obliged to pay the Council to operate them. He continued that the tenders were not yet back for Hertford Theatre, and

that Old River Lane estimates were based on a business plan.

It was moved by Councillor Fernando and seconded by Councillor Curtis that the recommendations, as detailed, be approved. After being put to the meeting and a vote taken, the motion was declared CARRIED.

RESOLVED – that the Treasury Management and Annual Investment Strategy 2022/23 and Prudential Indicators be reviewed.

301 CAPITAL STRATEGY AND MINIMUM REVENUE PROVISION POLICY 2022/23

The Executive Member for Financial Sustainability introduced a report setting out the Council's Capital Strategy and Minimum Revenue Provision (MRP) policy for 2022/23 onwards.

The Chairman commented that the document was impressive, and congratulated officers on the report.

It was moved by Councillor Ward Booth and seconded by Councillor Curtis that the recommendations, as detailed, be approved. After being put to the meeting and a vote taken, the motion was declared CARRIED.

RESOLVED – that the Capital Strategy and Minimum Revenue Provision policy 2022/23 onwards (Appendix A to this report) be approved.

302 SHARED INTERNAL AUDIT SERVICE INTERNAL AUDIT PLAN 2021/22 PROGRESS REPORT

The Shared Internal Audit Service (SIAS) Manager submitted a report which provided Members with the progress made by the Shared Internal Audit Service (SIAS) in delivering the Council's 2021/22 Internal Audit Plan to 7 January 2022.

The Chairman referred to page 288, Appendix B of the report. The Head of Strategic Finance and Property gave Members an update on the Civica Project, and advised that he was working with IT to obtain a cloud solution implementation which would allow the finance system to be hosted outside of the hosted desktop. This would avoid being it being affected by IT outages.

It was moved by Councillor Curtis and seconded by Councillor Fernando that the recommendations, as detailed, be approved. After being put to the meeting and a vote taken, the motion was declared CARRIED.

RESOLVED – that (A) the Audit Progress Report be noted;

(B) the changes to the Internal Audit Plan as of 7 January 2022 be approved; and

(C) the Status of Critical and High Priority recommendation be noted.

303 FINANCIAL MANAGEMENT 2021/22 – QUARTER 2
FORECAST TO YEAR END

The Executive Member for Financial Sustainability introduced a report setting out the financial monitoring for East Herts Council for 2021/22 as at 30 September 2021. He advised that the report gave a “snapshot” of the Council’s financial position, and how it was not unusual to show an over spend at this point in the cycle.

The Chairman referred to the report which forecasted an over spend in quarter one. The Head of Strategic Finance and Property elaborated, explaining that the Planning Department was carrying out a phenomenal amount of work. The pressures included the Harlow and Gilston Garden Town Project, which meant that the council currently had the ninth busiest planning department in the country. He said that recruitment to vacant planning posts and talks with other councils regarding shared services were ongoing.

Councillor Pope referred to Revenues and Benefits outperforming on revenue budget, and asked if grant funding from Central Government helped. The Head of Strategic Finance and Property said that performance continued to be monitored, adding that the department had carried out an enormous amount of work. He explained that the work to assess claims was difficult and that complex regulations changed frequently. He said that several staff had recently left the service, including an experienced manager, adding that it took approximately five years to fully train replacement staff.

The Chairman asked about the level of debtors going up as mentioned in page 303 of the report. The Head of Strategic Finance and Property said that debt figures will move dependant of the report cut off. He added that the intention is to take back and centralise recovery actions and processes to within the Finance Department under the Transformation Programme.

It was moved by Councillor Curtis and seconded by Councillor Alder that the recommendations, as detailed, be approved. After being put to the meeting and a vote taken, the motion was declared CARRIED.

RESOLVED – that (A) the net revenue budget forecast overspend of £132k in 2021/22 be noted (table 1);

(B) the revised capital budget for 2021/22 of £57.060m, with a forecast underspend of £15.825m, be carried forward to 2022/23 be noted.

304 AUDIT AND GOVERNANCE COMMITTEE WORK PROGRAMME

The Head of Strategic Finance and Property summarised the content of the Work programme which would be presented to Members at each meeting.

The Chairman said that the report was very user friendly, and thanked officers for their work. The Head of Strategic Finance and Property proposed that training to Members in March would be focused on Risk Management. In May it would consist of Internal

Audit training, and in November the Shared Anti-Fraud Service, and Statement of Accounts.

The Chairman enquired as to Standards Training, to which The Head of Strategic Finance and Property advised he would speak to the Monitoring Officer.

Councillor Huggins requested that all training opportunities be publicised to all Members.

It was moved by Councillor Fernando and seconded by Councillor Huggins that the recommendations, as detailed, be approved. After being put to the meeting, and a vote taken, the motion was declared CARRIED.

RESOLVED – that (A) the work programme as detailed in the report, be approved; and

(B) That the training suggested by the Committee be implemented.

305 URGENT ITEMS

There was no urgent business.

The meeting closed at 8.22 pm

Chairman

Date

East Herts Council Report

Audit and Governance Committee

Date of meeting: 5 April 2022

Report by: Councillor Eric Buckmaster, Executive Member for Wellbeing

Report title: Leisure Annual Report 2021

Ward(s) affected: ALL

Summary

Following the restrictions and closures of leisure centres due to the COVID-19 pandemic, this is the first leisure annual report of the new 15year contract with Everyone Active which commenced in January 2020. This report provides a short summary of the highlights within Appendix 1 which provides detailed information on performance.

RECOMMENDATIONS FOR Audit and Governance Committee here:

- a) To receive and provide comments on the leisure annual report.

1.0 Proposal(s)

- 1.1 Not applicable.

2.0 Background

- 2.1 In January 2020, a new 15year contract was awarded to Everyone Active who were the Council's previous leisure operator. In March 2020, the nation went into lockdown

which included a series of closures, restrictions and further closures of leisure centres through the following 18 months.

2.2 From April 2021, which is quarter 2 of the second year of the contract; leisure centres were able to re-open under “Covid secure” guidelines.

2.3 Due to the closures of the centres it was agreed with the chairman of the Audit and Governance committee that a 2021 annual report will be provided to the committee with highlights from 2020 included.

2.4 The report covers the following areas:

2.4.1 Health and Safety

2.4.2 Operational Procedures

2.4.3 Green Travel and Environmental plans

2.4.4 Utility Consumption

2.4.5 Customer Feedback

2.4.6 Demographics

2.4.7 Community and Social value

2.4.8 Participation levels

2.4.9 Marketing and promotions

2.5 A detailed report can be found in appendix 1. The following section provides highlights from the report.

2.6 Health and Safety – there were no major incidents during 2021 (April to December). There was however 53 accidents reported, which is a decrease of 16 accidents from the previous year. It should also be noted that an internal review highlighted that some additional training

is required for staff in relation reportable accidents versus minor first aid treatments.

- 2.7 Operational procedures – due to covid secure restrictions throughout the opening period lessons, classes and gym and swim all had reduced capacities. For example an exercise class capacity which would normally allow 28 users at Hartham was reduced to 12 to allow social distancing. This meant achieving performance targets would be very limited.
- 2.8 Green Travel and Environmental plans – around 35% of members use greener options to travel to work compared to 65% who use car as their mode of transport. Across the board at all centres recycling rates were 83% which is approximately a 1% increase to the previous year.
- 2.9 Utility Consumption – overall gas consumption increased whilst electricity and water consumption was lower. However it is important to note that some facilities were closed whilst others partially open i.e. Hartham Pool.
- 2.10 Customer Feedback – Overall customer satisfaction levels have remained similar to the previous year at above 80% satisfaction.
- 2.11 Demographics – key elements to note are 54% of managers are female and around 4% of staff have a disability. In relation to participants, levels of participation from Black, Asian and minority ethnic are low however it is

anticipated that the opening of Hartham Pool may have a positive impact on participation.

- 2.12 Community and social value – apprenticeship schemes are due to be developed however a number of other initiatives have progressed. Everyone Active have been working with Alzheimer’s UK, the Herts Sports Partnership and table tennis UK to provide a range of initiatives and activities to promote well-being and physical activity to attract a wider range of participants to leisure centres who may not normally consider using leisure centres.
- 2.13 Participation levels – given the leisure centres have not been open for a full 12 months of 2021, it is unrealistic to expect numbers to return to pre pandemic levels whilst facilities are closed due to refurbishment and customer confidence is still growing following the pandemic. However the total attendance for 2021 was 538,365, in 2019 this figure was 981,768. Numbers are anticipated to increase following the easing of restrictions and popularity of the new Grange Paddocks leisure centre.
- 2.14 Marketing and Promotions – a number of marketing campaigns have been promoted throughout 2021 including “Lockdown legends”, “Workout at home” and “Get back to it”. Examples of these can be found in appendix 1. In addition, the Everyone Active app has provided a virtual platform for members to exercise from and interact with the centres.

3.0 Reason(s)

- 3.1 The leisure annual report forms part of the Audit and Governance Committees' work programme to support the monitoring of the contract.

4.0 Options

- 4.1 Not applicable

5.0 Risks

- 5.1 The key risks associated to the performance of the leisure centres is the delivery of the capital projects for the 3G pitch at Grange Paddocks and Hartham Leisure Centre redevelopment. A project risk register is in place to monitor this risk.
- 5.2 Further restrictions and closures due to the pandemic are likely to have a negative impact on performance however the contractor is well positioned to adapt to changes having managed this several times before in the last 2years.

6.0 Implications/Consultations

Community Safety

Yes – vandalism and bins being set on fire at Hartham LC have been reported to the police and the contractor regularly liaises with the Council's community safety team

Data Protection

Any personal data is redacted from the report.

Equalities

Yes – some data provided on demographics and equalities.

Environmental Sustainability

Yes – described further in appendix 1

Financial

Not applicable in this report

Health and Safety

Covered in section 2.6 and appendix 1

Human Resources

Not applicable

Human Rights

Not applicable

Legal

The contract is monitoring in accordance to the performance management regime within the contract.

Specific Wards

ALL

7.0 Background papers, appendices and other relevant material

7.1 – Appendix 1/1a – Leisure Annual report 2021- Everyone Active

Contact Member

Eric Buckmaster, Executive Member for Wellbeing

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Contact Officer

Jess Khanom-Metaman, Head of Operations

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Everyone Active Annual Report 2021



Executive Summary

2021 has been a challenging yet hugely rewarding year for the leisure centre's in East Herts, in a shorter contract year with the centre's reopening in April 21 after the third national COVID lockdown. We have had a welcome boost with the start of the Hartham refurbishment programme which presented a few challenges across the year, and the launch of the new Grange Paddocks over the weekend of 23rd October 21.

Given the opportunities that lay ahead in 2021, we used the January to March period for a mini refresh of the gym facilities at Hartham which brought forward over £100,000 of new equipment for the users to enjoy. Whilst at Grange Paddocks we used this time in preparation to clear the old building and move all our paper based systems to digital ready for the move to the new centre in the autumn.

At Hartham we worked with Hertfordshire County Council on the provision of asymptomatic testing centre using the studio and reception space. These sessions were from 8am to 8pm over three consecutive days, with a six day gap and then a further three consecutive testing days. We also supported the mobile testing facilities at Fanshawe with access to power, toilet and rest facilities on two occasions.

During these lockdown periods, we continued to offer members the opportunity to work out at home through a number of free activities on the Everyone Active social media channels, along with providing paying members access to the Everyone Active on Demand App which has hundreds of activities and classes ranging from Les Mills on demand which is the more traditional aerobic activity, to mind and body activities and EXi an exercise on prescription service which we are looking to explore further for the Exercise on Referral scheme in 2022.

In April due to the need to reconfigure the phasing of the refurbishment at Hartham the swimming pool remained closed for works to commence. Works have included re-lining the pools, a new fixed pool boom dividing the main pool into a standard 25m tank, retiling the pool surrounds and redecoration. Everyone Active communicated with members and clubs and have been able to utilise both Fanshawe and Ward Freman pools for general swim, swimming lessons and club sessions. In addition, after the end of the governments furlough scheme in October we have continued to honour pay to our aquatics teams.

The reopening of all of the other facilities in April was welcome by the majority of customers and colleagues, unfortunately due to government restrictions the group exercise programmes were not allowed to restart straight away and was delayed to phase two restriction release in May which did create some complaints. From the remainder of the restrictions period, April until 16th August when the restrictions officially ended, we operated very much under a COVID Secure operation. This was necessary at the time, however very much limited the capacities for group exercise attendances with capacities pre COVID being 20-25 per session in the studio spaces reduced to 10-12 per session. Similarly, with swimming capacities these were restricted and limited the capacities of family swimming to maximum of 10 in the learner pool sessions at Grange Paddocks. At the end of the government restrictions we saw swimming attendances increase when capacities could return to pre COVID levels. Also, at the end of the restriction period, we removed the need for all gym users to book into sessions.

The hugely successful launch of the new Grange Paddocks Leisure Centre over the weekend of 23rd and 24th October saw a huge number of people utilising the facilities for the first time. The open weekend saw plenty of free activities, the highlight being the Big Splash Event, which saw 98 young people participate in a 90-minute swimming session with 4 Olympic and National swimmers, alongside Colin Jackson who assisted the council's Portfolio holders in the opening of the centre.

The opening of the new Grange Paddocks Leisure Centre was hugely rewarding for the Everyone Active team, seeing their efforts in the mobilisation rewarded with the customers loving the new centre. It was also great seeing plenty of colleagues and customers smile with the fantastic new facilities, which given the challenges in the last 18 months was richly rewarding. The weekend saw over 3,000 visitors alone. In addition, we saw a successful marketing campaign which helped to generate a return of [REDACTED] and 1,622 new Everyone Active Card holders. Alongside there being several very positive press releases and articles in the Bishop's Stortford Independent. Below are several images showing the events over the opening weekend and in the final section of this report there are links to the media coverage.



In quarter 4 we saw the real impact of the new Grange Paddocks, which from an Aquatic perspective has exceeded our expectation on casual swimming as highlighted in the swim attendance growth. After opening the centre our greatest challenge was the onset of the Omicron variant which on one day saw nine colleagues at Grange Paddocks tested positive. This essentially created a two-fold challenge for us, keeping the services running with as little disruption as possible whilst keeping the work force safe. At Hartham we were forced to cancel several classes in the run up to Christmas due to COVID which has been reported to East Herts Council in the correct manner. The second challenge was customer confidence as we saw session attendances drop by 40% at the larger sites in the 2nd and 3rd week of December for group exercise, thankfully in early January 22 we saw a large return to activity in the centres.

In summary of the key performance area in terms of getting more people visiting the centre's and becoming active, the attendance levels and energy consumption reviews need to be caveated with the reality that we were only open for 9 months, of which four and half months were under the COVID secure restrictions which reduced our capacities for all sessions. Therefore, throughout this report there are regular references to the 2020 results and 2021 results being influenced by the challenging operational years incurred. The opening of the new Grange Paddocks in October saw an uptake in the attendances in quarter 4. The real challenge for 2022 when we anticipate a full 12 months of operation is to exceed the level seen in 2019 which held the highest levels of attendance in the previous contract. The COVID period saw mass cancellations on usage drop across the leisure centres and we are confident that 2022 will be the year to bring these attendances and membership numbers back to pre-pandemic levels.

From a total participation level in 2021 during the nine months of being open we saw a total of 538,365, which is an increase from 2020. We are however down on the 2019 attendances of 981,768. We believe with customer confidence returning, the new Grange Paddocks and the completion of elements of the Hartham development we foresee a further growth in total attendances and will be aiming to work towards 1 million visits exceeding 2019.

We also use two other KPI's to provide insight to the number of people being active in our centres, and new users coming to the centres. These are the number of active unique users and number of new Everyone Active card holders.

The new Everyone Active card holders are people signing up for the free card or membership for the first time having never visited the centres before. The performance in 2021 saw 11,347 new users which is an increase on 9,000 achieved in 2019.

Then active users, who are unique users who are using the centre up to 5 times per week within a month. The number of multi active users using the centre 5 times a week, at the end of 2021 was 767 which is a 20.23% growth from 2020 which was 638. At pre pandemic levels we saw 1,107 unique multi active users, which with the return of swimming at Hartham, we believe will be exceeded in 2022

Total facility usage has seen an increase from 2020, with 2021 hitting 538,365 visits which is 11.37% increase. However, in comparison to the benchmark of 2019, we are 48.39% lower. Quarter 1 was missed due to the lockdown and we are confident when Hartham pool reopens, along seeing the impact in quarter 4 of the new Grange Paddocks we will exceed this in 2022. From a gender comparison we see an increase of 11.1% year on year for male users and 19.9% increase of female users.

From a demographic perspective, in relation to Young people we see growth being slow in the 5-11 age group range at 1.49% which has been impacted by the pool refurbishment at Hartham and the restrictions on attendances for the bulk of the year which limited family swimming. The 12-16 age group range saw a 26.5% increase which is positive, and in the 17-24 age group range there is a 36.1% increase.

Senior participation levels are similar to the general increases we have reported elsewhere on a year on year perspective. We see the 50-59 age group range increase by 5.22%, the 60-69 age group range by 0.96% and in the 70+ age group range, a decline of 6.14%. This is something we will continue to look at and how we can continue to grow this type of user. The Hartham pool refurbishment has been a factor, we believe there is in non-aquatic activities still a degree of consumer confidence around COVID that needs boosting. We have the opportunity in 2022 to work with the Public Health teams on a programme where we are contributing a large number of free 10 days pass for our senior residents in East Herts to access the centre's free of charge, this is being launched in the Spring 22. We have also targeted several programmes to start at Grange Paddocks around social and active sessions for this target group.

As we highlighted in the 2020 report and quarterly reports, the impact of the pandemic was tough on our fitness membership and we saw in 2020 a drop of approximately 30%. In January 2020 we had [REDACTED] members dropping to [REDACTED] members in January 2021. The impact of the new Grange Paddocks and a focus on new and old members returning we have seen our member base return to [REDACTED] at the end of December, which is only [REDACTED] members short of pre pandemic levels. In the launch month at Grange Paddocks we sold 1034 new memberships which is a great achievement. Hartham has seen the membership flat line due to the ongoing building works.

The aquatics usage has increased from 2020. We have for our casual swimmers seen a 25,440 increase which is 40.4% more. New Grange Paddocks plays a massive role in this growth, where in quarter 4 covers 70% of the total contract swimming attendance. Learn to swim activities saw a 29.4% decline between 2020 and 2021 however has seen a 29.4% growth at the pools currently open, which means we have [REDACTED] swimmers on our scheme which is a growth of [REDACTED].

Fitness usage is split into gym and group exercise. Gym attendance levels are good with 33% increase year on year, we see the impact of the new Grange Paddocks which in quarter 4 boosts the gym attendance well over historical performance levels.

Group exercise was hampered in terms of the capacities during the periods where restrictions were in place, where capacities were 10 – 12 per session, which post the restrictions being lifted increased to 20-25 per session and in new Grange Paddocks around 35 per sessions. So, the increase year on year is low at 1% or 458 visits, however in quarter 4 across the contract we broadly hit the benchmark levels of group exercise attendances pre pandemic.

From a Community Engagement perspective, we have delivered several new projects, with there being several netball camps in partnership with Saracens and Birchwood High School. We have had several pilot sessions for walking netball and walking cricket which will be revisited in 2022. We have continued to support Swimathon which saw 178 participants across the contract, whilst at Grange Paddocks we had a group of school friends raise over £1,700 and were featured in the local media. We continued to work with Dementia Alliance in a bid to boost awareness and have increased Dementia training as a core part of our management team training. In 2022 this training will be delivered to all EA colleagues in East Herts. In December we provided in partnership with Herts Sports Partnership a HAPPY camp for 20 young people. The sessions targeted families where food poverty may be a factor, therefore the camps key requirements in addition to being active and engaging, was a free hot healthy meal each day. We will be looking to continue this at Grange Paddocks in 2022, the feedback from the participants was positive.

Year 2 of the leisure contract has seen a welcome return to prolonged opening, we are seeing the impact of the amazing new Grange Paddocks with attendances and target groups all increasing in Quarter 4. We have seen swimming levels increase across the pools open in 2021 and learn to swim schemes growing. We are continuously looking at improving the centres operations and 2021 saw investment in new defibrillators, new pool hoists and PBX lifeguard rescue boards at all sites. The highlight of 2021 being the launch of the new Grange Paddocks, the feedback on the VIP preview date was hugely rewarding and the actual opening day was brilliant to see so many people in our community genuinely excited and enjoying the quality of the new centre.

Operational Procedures

COVID secure environments

Since the start of the first lockdown period the government restrictions have dictated a need for leisure centre's to be COVID secure, this required a host of alterations to the programme and operations of the centres. Essentially when reopening in April 22 we continued to operate in a same COVID Secure manner until the various unlocking phases were finally complete on the 17th August 21.

Gym users

We had already reduced the capacity of our gyms to ensure fresh air flow standards are achieved, social distancing at 2m+ is possible in all training areas. This had resulted in many of the treadmills, bikes and cross training cardio equipment being out of use due to social distancing. Sessions were 50min long, with the revised capacities reduced by a further 20% to enable users move around the equipment without too much waiting and feel safe. In between each of the 50min sessions, we used the gap of 10mins is used to fog the gym equipment and to sanitise the space. From the end of the restrictions in August, we ended the need for membership subscribers to book into session and increase the capacity back to similar level pre pandemic.

Group exercise

From April until August we continued with a reduced capacity, where in Hartham's studio capacity remained at 12 per session rather than pre COVID levels of 28 per session and similarly at Grange Paddocks with pre COVID sessions saw 25 per session reduced to 10. Once the final restriction ended, we collectively increased the capacities back to levels similar to pre COVID being mindful moving from 10 to 25 participants was a significant jump it would be wise to slowly do this over the next month.

Aquatics

We had seen Swim England mirror UK Active with restrictions forming part of the industry standard. From a capacity perspective for pool's this had decreased from 6m² per person to 9m² with lane swimming being limited 10 per double lanes. Where we have 4 pools with 5 lanes the maximum capacity dropped from 50 to 20 in lane swimming sessions at each pool. Equally the use of the learner pool's reduced to unviable numbers with Grange Paddocks learner pool seeing 16 as the max pre COVID this became 10 and similar Hartham was 12 dropping to 8. These levels continued until the end of the restrictions, whilst we have increased the capacities in lane swimming to 12 to ensure we can provide quality swimming experience and where we have 5 lane pools we have the ability to use 3 lanes and expand the capacity of these 3 lanes to 18. Which with the returning parameters of 6m² per person in the learner pools providers a significant boost to attendances.

Learn to Swim

School swimming has been very low since March 20, despite our efforts to encourage school users to tour the facilities and see the control measures we have put in place. However, from September 21 we saw the first term of school swimming restart since March 20 at Grange Paddocks, which has proven successful and continues to be popular in the new centre. Whilst planning the pool programme for new Grange Paddocks, we gave several schools the opportunity for an advanced preview to ensure we could discuss and foresee any potential challenges when moving from the old to new site. Essentially due to the increase size of the new main pool being 8 lanes rather than 5 lanes, with the agreement of the schools, we have been able to programme school swimming and still provide several lanes free for public swimming. This has been welcomed by many of the customers that had become accustomed to there being no school swimming when we operated under the COVID restrictions.

October 21 also saw the transition from old Grange Paddocks into the new centre, we had agreed a short 2 day closure of the old centre. This enabled us to complete a demobilisation of the old site and ensure we had enough training time for our colleagues on the new procedures and layout of the new centre. Naturally as a new centre we have needed to treat this from an operational perspective as a completely new operation, whilst some processes are easily transferrable, we needed to build new H&S operations, new centre safety and operations procedures, all which Wilmott Dixon were very accommodating to us by providing regular access to complete inspections, review and plan our new processes. In addition to this Wilmott Dixon's handover of the building provided a robust training for the management team, which alongside the video training has been hugely beneficial to the operations to getting working knowledge and experience in the new site.

The Hartham refurbishment, for various reasons, has not quite worked out as planned with there being delays to the start of the new building due to issues with historical drainage. From the pool refurbishment, whilst this initially had been planned to be completed in the fourth phase of the works, due to issues with the drainage this was flipped in early April to mean the pool refurbishment would start first and would require a degree of mobilisation to future proof the phasing in the development project, with the entrance of the centre moving into the service yard of the existing building. In relation to the pool refurbishment, there

were several potential reopening dates planned however due to unforeseen circumstances this had not been possible. There is a further hiatus with the pool currently planned to reopen in Spring 22, once exact dates are known we will clarify and communicate these dates with users and the community. These delays to the pool refurbishment have been commercially challenging to Hartham, we have a recovery plan prepared for when the pool reopens in Spring 22, with a view that we will be looking to drive casual family swimming and boost our learn to swim scheme programme which would have been out of service since December 2020.

December time was a challenge with the unwelcome return of COVID cases in our community with a high number of colleagues testing positive, from December onwards we reiterated our pledge to ensure we are keeping customers safe and active. Operationally we suffered on two fronts, the first being colleagues which we had at one point nine colleagues on a day test positive which put pressure on the remaining teams. The second front being in December customer attendances declined significantly with several customers cancelling classes and their being small increase in the number of customers cancelling their subscriptions as a result of concerns around COVID being more common.

Cleaning and Housekeeping/Presentation

Cleaning Standards and Schedules

Since reopening there have been no significant issues with cleanliness or changes to the schedule for cleaning, we have continued to ensure we are cleaning high contact points to reduce risk of infections. The only exception being new Grange Paddocks, where we have extended our agreements with our contract cleaning supplier 3Way, which is a four-fold increase in the volume of contract cleaning hours compared to the old centre. We have also added in an additional evening cleaner at Grange Paddocks to support with the increased footfall and ensure we are maintaining the high standards required.

Energy and Environmental action plans -Summary

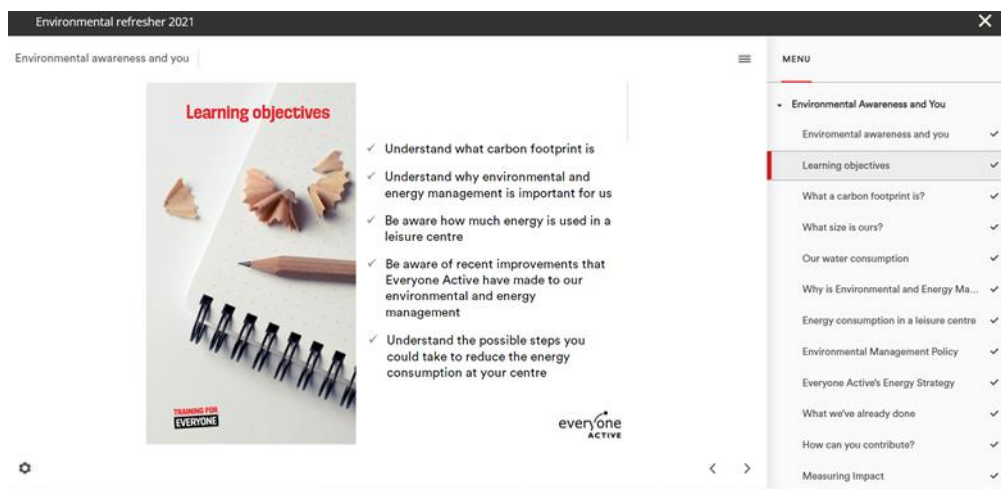
We have had another unique year's performance from an energy perspective, where we have seen the impact of lockdowns on year on year energy and water consumption which in truth does not really provide any significant insight, as where the sites have been forced to close any year on year comparison is not a fair accurate reflection on reduction in consumption. Whilst this is a similar situation to 2020, we also saw new Grange Paddocks come online in mid-October and from April there has been no pool operation at Hartham, all of which make energy and water consumption challenging to compare consumption levels.

From an energy reduction planning perspective, we have been focusing in several areas in 2021. These areas can be best separated into the following sections: training, elimination and action.

From a training perspective, we have introduced an annual refresher on environmental matters for all existing colleagues. The decision of which has been taken to move environmental training to be on a par with health and safety training, whilst both are covered in the colleague induction, there are annual refresher training for health and safety, similarly the decision provides updated information to colleagues on environmental matters and enables sites to add in references to their specific energy engagement and reduction plans. In all centres we have revisited backwash training with all colleagues to ensure processes are followed as planned and we are as efficient as we can be when completing this task, limiting the amount of water used to a minimum required level. We have also been driving more colleagues to complete our Carbon Reduction course which makes more of the management team more carbon literate.

We have also linked in a part of our Green Travel plan work to create a "Commitment to becoming greener" which is being trialled at Grange Paddocks, where we have 90% of the colleagues signed up to a commitment to becoming greener. These commitments are nothing revolutionary, just getting colleagues to commit to reporting small issues with lights, switching lights off, ensuring chemical are used kept to the minimum level, recycling is promoted and delivered by the team.

Example of Environmental Refresher training



In terms of elimination, we have historically been advocates of education and empowerment, however we have chosen that elimination needs to be introduced to, replace, remove or reduce elements to improve environmental matters proactively and promptly. As already highlighted at Hartham and Grange Paddocks, we have removed all plastic pouch pod soap system and installed new refillable units. From our cleaning orders, typically we would be ordering between 100 and 110 pouches per large site per month, this eliminates between 200 – 220 plastic pouches per month and potentially 2,500 plastic pouches annually. Another example of this elimination element is the removal of colleagues control on the BMS unit for new Grange Paddocks, we have lockdown office control panels to set temperatures and set run times, this eliminates colleagues moving set points and units running when no colleagues are schedule to work in office space.

From an action perspective, we targeted measurable outcomes from our 2021 plans, examples of this are clear reduction in single use plastic, moving Hartham pool's to a dry chemical compound rather than wet, which we are clearly able as examples to demonstrate the improvement in environmental conditions. Where the LED pool lights at Hartham have been replaced, we have moved these lights to Ward Freman and installed recycled lighting units which provides a better efficiency rating and improved look on poolside.

From a waste management perspective, we have seen a small improvement in recycling percentages across the Leisure Centre's where across the board we recycled 83.12% on average in 2021 which is a further improvement of 0.96% compared to 2021 and in 4 years is a 2.69% improvement. This has been hugely boosted by our plans to reduce our use of single use plastic, removal of overshoes, switch at Hartham and Grange Paddocks in soap and sanitiser stations being refilled using bottles rather than a plastic pouch pod system we were using, from a cost perspective the upfront costs to installing new units is higher however the payback is an environmentally better product and service. Typically, the pouches were replaced when emptied, from a service perspective, these units are refilled every morning and afternoon reducing the opportunity for the pouch pod system to run dry which typically led to negative customer feedback.

Where we were operating in a COVID secure environment, there are several elements which increase our energy consumption, and since August there remains a focus on there being maximum fresh air ventilation in activity areas which reduce the opportunity for air handling system to recovery heat already generated. Before August we continued with multiple exit points, for the one-way systems and minimising of customer crossover, will see more energy being required to achieve temperature points.

Green Travel

As part of our wider environmental plans, and as part of our Annual Service plans, we are working on promoting active and green travel across the sites. Currently our focus site has been Grange Paddocks, with the investment in the new centre we have been working with stakeholders to look at promoting and encouraging users to use active and green travel.

EVERYONE Green Travel Plan

NEEDS TO DO THEIR BIT

Primary Aim

"To encourage staff and visitors to use sustainable transport modes, reducing the number of single occupancy car trips to the centre, through the active promotion of sustainable travel options".

Colleague Aim

"To encourage colleagues to travel safely and via sustainable methods, ensure all colleagues through environment training and greater awareness of their own accountability in all environmental matter"

Customer and Community Aims

"Encourage use of sustainable transport modes, increasing the number of sustainable travel options and reducing single occupancy car trips."

On a target setting level we have set the following headline objectives mirroring the Aims, with a primary and two objectives for both Colleagues and then Customers and Community

Headline Objective.

Demonstrate a clear proactive and effective influence which shows a positive impact, with more customers and colleagues using active and sustainable travel.

Colleague Headline Objective.

We have colleagues that are actively trained, aware and "walking the walk," less single occupancy car trips and proactive engagement in support of green travel.

Customer and Community Headline Objective.

We actively promote Active and Sustainable travel and this seamless in our operations, with clubs, groups and schools all proactive encouraged to improve their travel arrangements. With more customers and communities groups using more sustainable and active methods of travel

EVERYONE Green Travel Plan

NEEDS TO DO THEIR BIT

General Objectives of Green Travel plan

In addition to the headline objectives outline in sections above, we have set out ourselves the following objectives with will interlink between two users groups.

- To proactive promote seamless opportunities to travel to the centre via sustainable and active travel methods.
- To reduce single occupancy car journeys.
- Encourage user groups like school, football clubs, swimming clubs and any other "group hirers" activity to create their own Green Travel Plan and or sign up to our "Commitment to being Greener." As part of this agreement there is component that requires "group hirers" to promote, participate and report on Green Travel. With a medium term view there will be a reward annually for the most "greenest" group.
- Engage and support with Active Travel, supporting the provision of cycling storage which is abundant, safe and convenient.
- Colleagues are actively involved in creating, supporting and delivering the green travel plan as core part of our "Commitment to becoming Greener."
- Colleague will sign to agree to our "Commitment to becoming Greener" which incorporates these objectives.
- We include performance and action plan progress as part of regular update to customers, stakeholder and colleagues as part of our "Green" dashboard which will incorporate Travel Plan results.
- As part of communication to users we proactively promote and support, the benefits of Active Travel. Engaging existing partners in HCC who hold Active Walks session and integrating the health and wellbeing benefits of Active Travel.
- Make target's reflect the nature of the buildings use and communicate via social media. For example 9 less car journey per day the centre is open based on an average drive of 2miles would save 919kg of carbon and is same distance as Bishop's Stortford to Tokyo in a year.
- Work with Active East Herts to create a Cycling Hub, using the centre as meeting point for cycle to promote and encourage cycling.

Ensure we complete minimum of 6 years after launch to enable the centre to demonstrate it's impact efficiently and provide regular performance markers on more users using green travel.

Examples of this are below for Grange Paddocks, we linked this to QR codes for customer surveys and travel links to bus and rail services which reduce the need for posters to be updated frequently.

EVERYONE
NEEDS TO DO THEIR BIT

Commitment to being Greener

Walking routes to town

As part of our commitment of the being greener, we are keen to Promote walking to and from the centre

Below is the scan for riverside Walk near Grange Paddocks

SCAN ME

EVERYONE
NEEDS TO DO THEIR BIT

Commitment to being Greener

Green and Active Travel options – Bishop's Stortford

Intalink Bus Services
Link to live buses from near Grange Paddocks

Train line Services
Link to train line services

SCAN ME

Please use your mobile phone camera and they should easily pick up the QR codes to 2 external website pages.

EVERYONE
NEEDS TO DO THEIR BIT

Commitment to being Greener

Green Travel Survey 2021

As part of commitment to being Greener, we are keen to gauge customer travel patterns and see what we can influence

SCAN ME

Please use your mobile phone camera and they should easily pick up the QR codes to our survey on Green Travel

Green Travel results

We have used the post user survey in Quarter 3 and Quarter 4 in 2021, having not completed this in 2020 due to covid19, we have use Single Customer View to send out random emails to customers who used the centre between September and December 21, a further breakdown on the results of this will be covered further on in the report.

From the results from 2021, you can see that there is margin drop in active travel from 2019 was 34.9% which isn't significant and something we will be working on improving in 2022.

2021 - Post User Survey - Active Travel Results				
How did you travel to the centre	Total %		Average	
	19 total	21 Total		
All centres				
Walking	22.0	22.0	-	0.0
Bicycle	7.6	8.0	-	0.4
Bus	5.3	4.4	-	-0.9
Car	65.1	65.5	-	0.4
Active / Green Travel	34.9	34.5		

How did you travel to the centre	Total %	Active / Green Travel
Fanshawe Pool & Gym		28
Walking	23	
Bicycle	4	
Bus	2	
Car	72	
Grange Paddocks Leisure Centre		40
Walking	27	
Bicycle	5	
Bus	9	
Car	60	
Hartham Leisure Centre		34
Walking	14	
Bicycle	14	
Bus	6	
Car	66	
Leventhorpe Pool & Gym		29
Walking	27	
Bicycle	1	
Bus	1	
Car	71	
Ward Freman Pool		37
Walking	22	
Bicycle	15	
Bus	0	
Car	63	

Utility Consumption

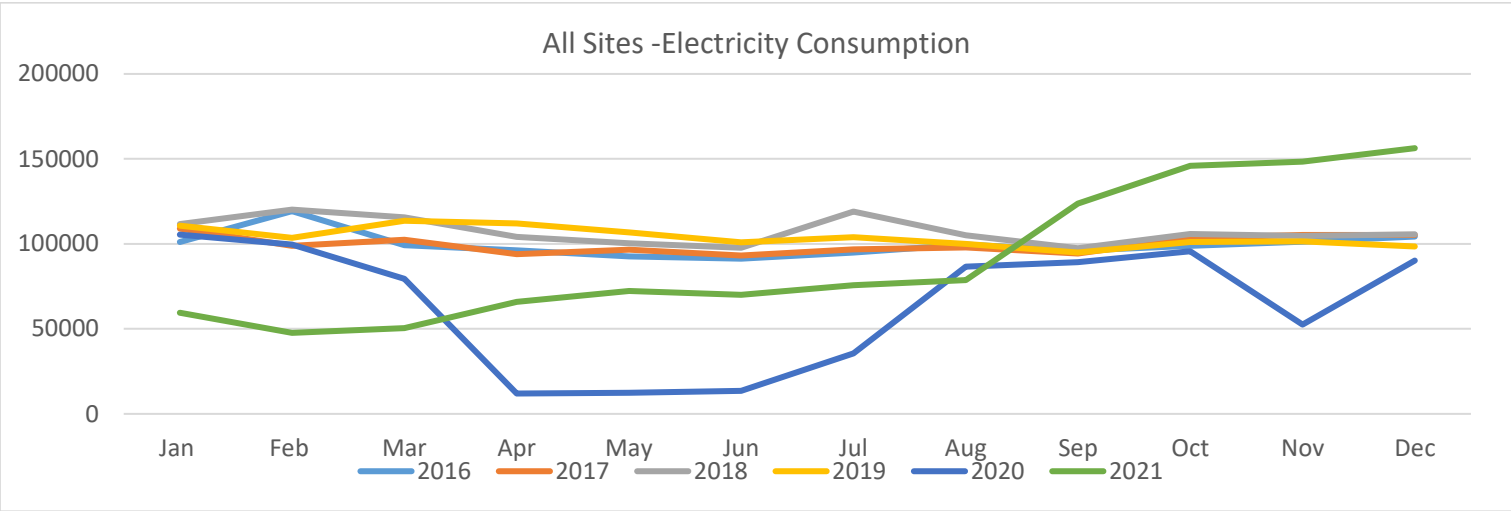
Across all of the sites, we have seen annual energy seen overall consumption grow, from a metric level we have seen KWh per visit which is the total combined energy consumption against visit, which provides a performance metric which can be comparable against different periods when we have been open.

Electricity

From a consumption review, we have included the consumption tables and graphs so there is a review of where consumption levels are at the end of 2021 and have been historically. From a benchmarking perspective, there is, as previously mentioned an increase in consumption based on KWh in 2021 the benchmarking level is 2.01 KWH per visit, an increase from 2020 where this was 1.60. Generally, it would be our perspective, that in 2021 in comparison to 2020, when centres were closed due to the national lockdown, we did not reduce energy levels to the same levels in 2020 as we had challenges returning these set points back to operational levels. There is also no aquatic activity at Hartham, and as mentioned previously there is an increase demand on fresh air pre and post restrictions ending August, therefore we would anticipate this increase and should there be an opportunity for recirculation of air in activity spaces to return to pre 2020 operational level, that this is would be an easy reduction in the future.

ELE	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec		YR on YR vari
2016	101165	119285	99258	96189	92650	91308	94930	99623	95979	98829	101324	104323	1194864	
2017	109005	98833	102461	94030	96524	93171	96830	97985	94310	103606	105315	105344	1197414	0.21%
2018	111640	120177	115663	104196	100423	97693	118974	105106	97450	105821	104721	105690	1287551	7.53%
2019	110665	103489	113624	112109	106852	100859	103989	99989	94934	101110	101430	98481	1247530	-3.11%
2020	105464	99644	79463	11974	12430	13614	35547	86667	89351	95608	52562	90116	772439	-38.08%
2021	59429	47671	50544	65815	72295	70029	75660	78735	123635	145977	148343	156316	1094449	41.69%
yr on yr	-46035	-51973	-28919	53841	59865	56415	40113	-7931	34284	50369	95781	66201	322010	
yr on yr %	-43.65%	-52.16%	-36.39%	449.64%	481.63%	414.40%	112.84%	-9.15%	38.37%	52.68%	182.23%	73.46%	41.69%	
Previous YTD	105464	205107	284570	296544	308974	322588	358135	444802	534153	629761	682323	772439		
Current YTD	59429	107100	157643	223458	295753	365782	441442	520177	643812	789789	938133	1094449		
YR on YR - YTD units	-46035	-98008	-126927	-73086	-13221	43194	83307	75376	109660	160028	255810	322010		
YR on YR - YTD %	-43.65%	-47.78%	-44.60%	-24.65%	-4.28%	13.39%	23.26%	16.95%	20.53%	25.41%	37.49%	41.69%		

Annual					
TOTAL	ELE	Total	Attendance	KWh Per Visit	% change Annually
	2016	1194864	956567	1.25	
	2017	1197414	989938	1.21	-3.16%
	2018	1287551	1024791	1.26	3.87%
	2019	1247530	1043152	1.20	-4.81%
	2020	772439	483389	1.60	33.62%
	2021	1094449	545275	2.01	25.61%

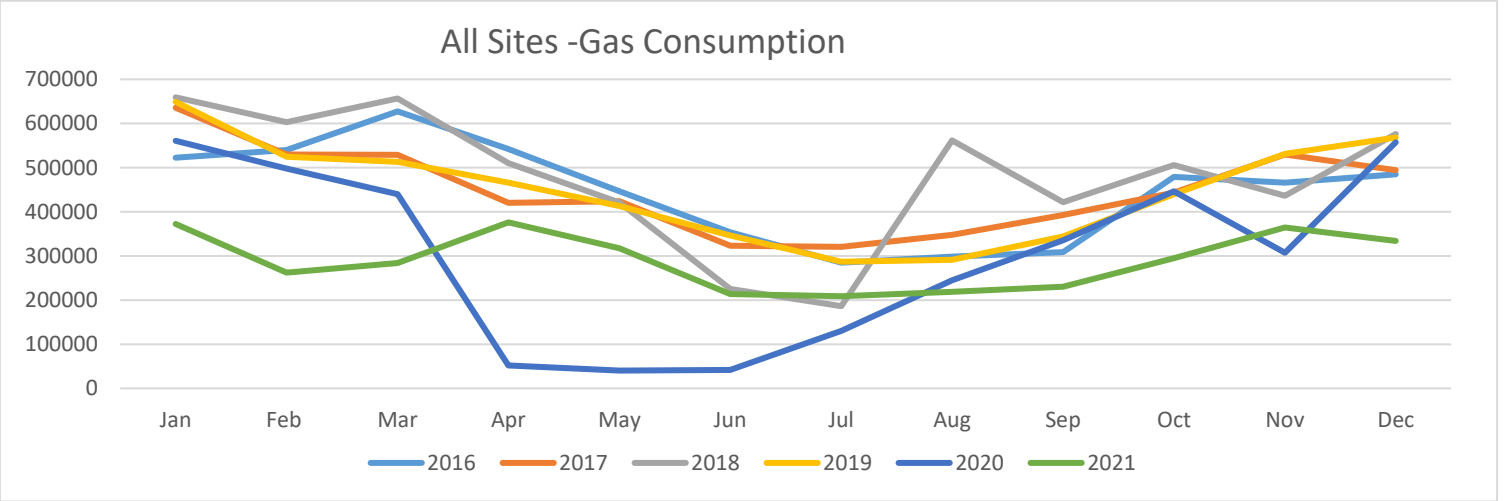


Gas

Gas consumption based on KWH per visit, in 2021 is down to 6.37 KWH's per visit, which is a decrease of 15.66% in comparison to 2020. However, in comparison to previous year's remains slightly higher, we anticipate that this will fall in 2022 due to three extra months attendance in Quarter 1 of 2022, will be a useful insight into the true impact of our consumption and energy action plans.

GAS	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec		YR on YR vari
2016	522310	539913	627342	542130	446213	353434	284747	298453	308601	478754	465630	484533	5352060	
2017	635588	529756	529133	420074	423976	322827	320577	348035	392563	443435	529828	494308	5390101	0.71%
2018	659181	602820	656510	509862	420615	225452	186179	561361	421865	505659	436092	575772	5761369	6.89%
2019	648878	524768	512971	466169	413163	346432	286926	291305	344480	439642	531409	567982	5374125	-6.72%
2020	560707	498039	439493	51911	40350	41854	130235	244816	335583	446067	307096	557268	3653420	-32.02%
2021	372529	261858	283959	375993	317593	213449	208743	218571	229961	294795	364439	333799	3475689	-4.86%
yr on yr	-188179	-236181	-155534	324082	277243	171595	78508	-26245	-105622	-151272	57343	-223470	-177732	
yr on yr %	-33.56%	-47.42%	-35.39%	624.30%	687.09%	409.99%	60.28%	-10.72%	-31.47%	-33.91%	18.67%	-40.10%	-4.86%	
Previous YTD	560707	1058747	1498240	1550151	1590501	1632355	1762590	2007406	2342989	2789056	3096152	3653420		
Current YTD	372529	634387	918346	1294339	1611932	1825381	2034124	2252695	2482656	2777451	3141890	3475689		
YR on YR - YTD units	-188179	-424360	-579894	-255812	21431	193026	271534	245289	139667	-11605	45738	-177732		
YR on YR - YTD %	-33.56%	-40.08%	-38.71%	-16.50%	1.35%	11.83%	15.41%	12.22%	5.96%	-0.42%	1.48%	-4.86%		

TOTAL	GAS	Total	Attendance	KWh Per Visit	% change Annually
	2016	5352060	956567	5.60	
	2017	5390101	989938	5.44	-2.68%
	2018	5761369	1024791	5.62	3.25%
	2019	5374125	1043152	5.15	-8.36%
	2020	3653420	483389	7.56	46.70%
	2021	3475689	545275	6.37	-15.66%

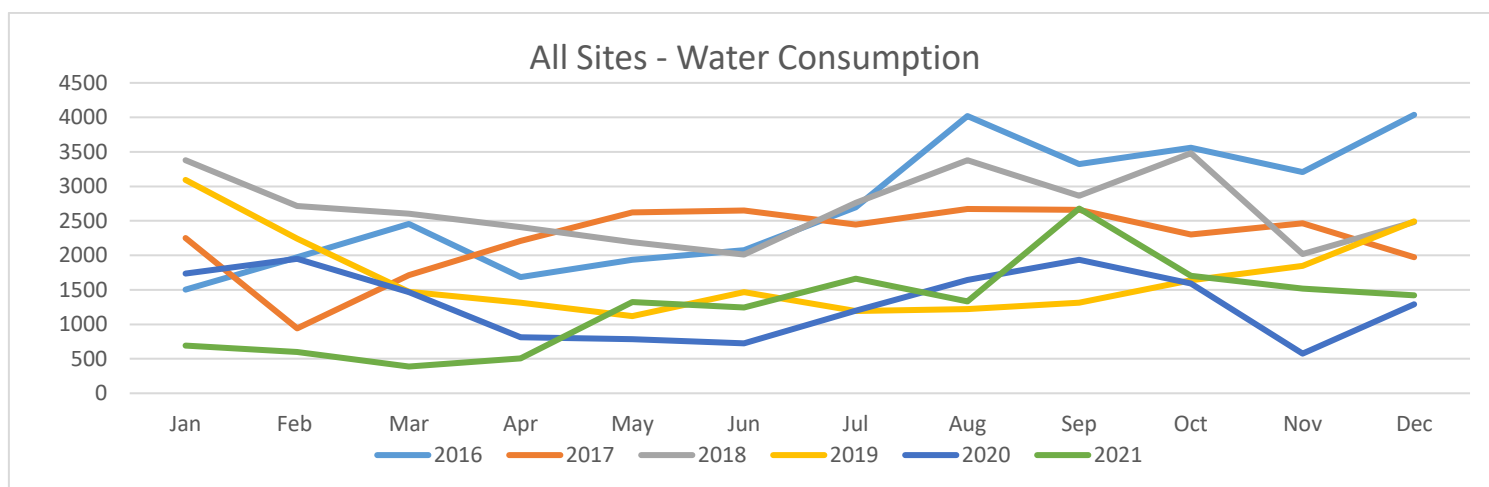


Water consumption

Conversely with there being no pool at Hartham, water consumption is down and it's worth noting these figures include the filling of the pools in new Grange Paddocks.

water	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec		YR on YR vari
2016	1503	1971	2456	1686	1937	2073	2697	4017	3325	3560	3209	4037	32471	
2017	2251	941	1713	2210	2621	2651	2446	2672	2661	2303	2464	1974	26907	-17.14%
2018	3380	2713	2604	2410	2192	2011	2762	3378	2864	3480	2018	2481	32293	20.02%
2019	3093	2240	1473	1312	1119	1465	1193	1221	1314	1636	1847	2491	20404	-36.82%
2020	1737	1949	1465	810	784	724	1196	1645	1935	1591	575	1289	15700	-23.06%
2021	692	601	388	508	1321	1242	1663	1330	2678	1703	1518	1422	15067	-4.03%
yr on yr	-1045	-1348	-1077	-302	537	518	467	-315	743	112	943	133	-633	
yr on yr %	-60.16%	-69.16%	-73.52%	-37.28%	68.49%	71.55%	39.05%	-19.15%	38.40%	7.04%	164.06%	10.33%	-4.03%	
Previous YTD	1737	3686	5151	5961	6745	7469	8665	10310	12245	13836	14411	15700		
Current YTD	692	1293	1681	2189	3510	4752	6415	7745	10423	12126	13644	15067		
YR on YR - YTD units	-1045	-2393	-3470	-3772	-3235	-2717	-2250	-2565	-1822	-1710	-767	-633		
YR on YR - YTD %	-60.16%	-64.92%	-67.37%	-63.28%	-47.96%	-36.38%	-25.97%	-24.88%	-14.88%	-12.36%	-5.32%	-4.03%		

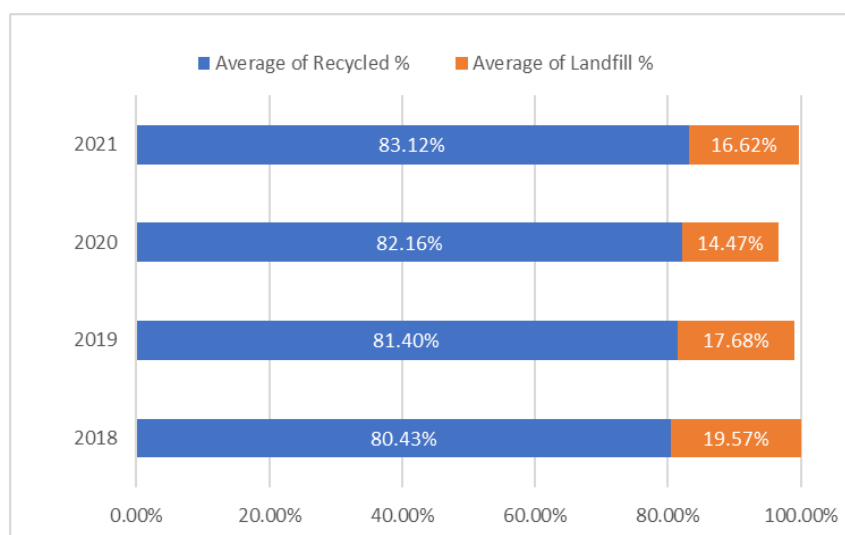
TOTAL	water	Total	Attendance	KWh Per Visit	% change Annually
	2016	32471	956567	0.0339	
	2017	26907	989938	0.0272	-19.93%
	2018	32293	1024791	0.0315	15.94%
	2019	20404	1043152	0.0196	-37.93%
	2020	15700	483389	0.0325	66.05%
	2021	15067	545275	0.0276	-14.93%



Recycled Waste

In term of recycling percentages in the Leisure Centre's across the board we recycled 83.12% on average in 2021 which is a further improvement of 0.96% compared to 2021 and in 4 years is a 2.69% improvement. As reported in previous quarterly reports since reopening we have a had a few challenges with the classification of centre paper that has been used for cleaning being classed as unrecyclable, we have resolved these issues from December onwards. Since reopening we are using a significant volume of centre feed and tissue products for cleaning to ensure hygiene and sanitisation standards are keep to a high level.

YR	2021		
Quarter	(All)		
Month	(All)		
Row Labels	Average of Recycled %	Average of Landfill %	
FANSHAWE POOL AND GYM	81.86%	16.84%	2018
GRANGE PADDOCKS LEISURE CENTRE	85.13%	14.87%	2019
HARTHAM LEISURE CENTRE	84.38%	15.62%	2020
LEVINTHORPE POOL & GYM	84.26%	15.74%	2021
WARD FREMAN POOL	79.97%	20.03%	
Grand Total	83.12%	16.62%	



Customer Relationships

Customer Comments

The following is a summary of customer comments received via verbal feedback, email, and letters processed through the Single Customer View online system.

Feedback and enquiries

There is a 50% increase in feedback and enquiries received which reflects the significant shift to digital, which ensures all enquiries and feedback are channelled through Single Customer View (SCV), this information enable us to produce a 360 degree overview of customers and from a feedback and enquiry perspective enable us to see previous feedback, interactions with the customer and manage the feedback and enquiries more effectively. Given the volume of the feedback received in various months this has presented an evolution in our working practices for customer services, where essentially, we have colleagues regularly signed into the SCV system to ensure we have monitoring and colleague support in this digital aspect of our operation.

Total of Feedback and Enquiries														
Total	Feedback and Enquiries	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Total
	2019	99	92	108	82	79	73	94	89	118	134	139	93	1200
	2020	62	260	604	116	104	182	779	982	958	721	299	314	5381
	2021	99	98	334	1035	680	593	627	703	777	634	1100	617	7297

2020	1328
2021	2839

Feedback per 10,000 visits

SCV automatically separate's customer feedback by key words and assigns them as feedback or enquiries. Certainly, we have seen an increase in feedback and therefore the metric of feedback per 10,000 visits increases, whilst we have historical data, the evolution of the SCV and customer journey towards all feedback being pulled through this system has been accelerated by the pandemic period. Essentially the shift we believe we are seeing in the increase in feedback isn't a cause of concern, more a reflection on consumer behaviours. Which is also a result of us channelling more links for customers to feedback on a regular basis via the app, websites and QR codes in the centre to actively encourage feedback. Similar much of the customer journey over the last 18 months has been focused on limiting face to face interactions with people during the COVID secure period, with until mid-August there being separate entrances and exits as part of this plan. It's our take that this has been a contributing factor in the evolution of how we interact with our customer. Whilst there is a shift to digital interactions in relation to customer feedback, we are conscious that as a service provider in the local community, customer service and customer care are crucial to achieve customer satisfaction both in person and digitally. Given the volume of digital apps, Peloton and other online activity providers, we have ensured we are reiterating and conscious that our face to face interactions with customers never more needs to be proactive and positive, delivering an experience that strives to generate compliments.

Feedback per 10K visits																
Total	Feedback	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Total	Total attendance	Feedback per 10K visit
	2016	0	0	0	0	0	0	0	1	17	13	20	12	63	956567	0.66
	2017	24	25	37	29	28	29	22	39	41	42	64	43	423	989938	4.27
	2018	76	94	140	82	79	55	36	36	22	36	65	84	805	1024791	7.86
	2019	140	60	74	36	69	70	98	30	48	30	47	31	733	1043152	7.03
	2020	61	46	34	1	3	0	13	14	72	23	14	35	316	483389	6.54
	2021	5	2	15	99	39	42	55	43	59	63	161	45	628	545275	11.52

Negative Feedback

We have seen the volume of negative feedback increase, this is something that is calculated in SCV using the words, pass interactions with customers, visits and language used in their feedback. Essentially whilst the table below shows a doubling of the negative feedback and benchmarking of feedback per 10,000 visits, we review all feedback twice a week to ensure there aren't patterns or trends we need to address. At the end of each week, there is a meeting to review performance on SCV, and looking at service levels to ensure we proactively deal with all feedback. Upon review the 2021 period for negative feedback is associated with new Grange Paddocks, which customers were we very keen to get a precise opening date, this follow the demobilisation and demolition of the old site which is caused pinch points in the car park with there being less car parking spaces. Similarly, the refurbishment at Hartham as seen three different proposed dates communicated with customers and community hirers, all of which has become a regular source of negative feedback.

In terms of the table below, November saw 156 negative feedback, as highlighted in the Quarter 4 report this is a result of a technical issue where existing concessionary users that were moved into the new Grange Paddocks site's membership grouping were asked to provide proof of their concessionary pricing level despite being members for a while. Typically, the CRM system we use request new customers signing up to a concessionary subscription provide a copy of their ID within 14days of joining, this technical issue had been caused as the CRM mistakenly believed old concessionary users were new members in the new Grange Paddocks. After spotting this issue we emailed all of the customers that had mistakenly been sent the email requesting Concessionary ID an apology.

Negative Feedback per 10K visits																
Total	Feedback	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Total	Total attendance	Feedback per 10K visit
	2016	0	0	0	0	0	0	0	1	14	13	18	10	56	956567	0.59
	2017	24	25	31	24	24	22	16	26	27	33	50	31	333	989938	3.36
	2018	56	74	64	48	48	40	24	26	15	24	29	45	493	1024791	4.81
	2019	88	45	34	23	49	37	57	18	29	27	39	16	462	1043152	4.43
	2020	26	36	33	1	3	0	3	11	42	11	9	33	208	483389	4.30
	2021	5	2	14	95	35	33	46	40	58	54	156	44	582	545275	10.67

Positive Feedback

We are seeing less positive feedback, this in our mind is influenced by the drive towards digitalisation. Whilst there is positive feedback, consumer behaviour is such that consumers necessarily don't log this with us as frequently as they would a negative experience. In our service plans for 2022, we are looking at starting a monthly post user survey which will sent to users sporadically in the month after their visit, asking for feedback on their experience, we are hopeful this is something that will generate a more rounded feedback profile. We are also updating our teams with easy access to log verbal comments and integrating this with the SCV system, currently this certainly is an area we believe we can improve on in the next 12 months as this is something our colleagues will be monitored on the number of SCV interactions and new feedback tickets they add to the system.

Postive Feedback per 10K visits																
Total	Feedback	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Total	Total attendance	Feedback per 10K visit
	2016	0	0	0	0	0	0	0	0	3	0	1	1	5	956567	0.05
	2017	0	0	6	5	4	7	7	11	14	7	19	12	92	989938	0.93
	2018	20	20	76	34	31	15	12	10	7	12	38	39	314	1024791	3.06
	2019	52	15	40	13	20	33	41	12	19	3	18	15	281	1043152	2.69
	2020	27	7	1	0	0	0	10	3	17	12	5	2	84	483389	1.74
	2021	0	0	1	4	4	8	9	3	1	8	2	3	43	545275	0.79

Key feedback patterns – owing to the pandemic there have been key themes and topics which are highlighted below, which make up majority of the feedback and enquiries.

Membership queries – will membership be extended

Lost online password and log in details

Refunds for activities

Cancellation of activities or membership

Payments what happens next.

New feedback patterns in 2021 have focused on the development projects at both Hartham and Grange Paddocks.

The Hartham feedback, relates to the pool refurbishment and subsequent delays to the reopening of the pool.

Grange Paddocks, focuses on when the opening date was for the new centre, given the challenges around the end of the project and finalising the build completion we were only able to confirm the opening date 6 weeks before.

Corporately we have the following pages on our website to support customers, we were updated following feedback from sites and users we have separated into several

<https://www.everyoneactive.com/faqs/>

General Information

What do you do with my personal details?

Which third parties do you share my data with and why?

What should I do if I don't have an email address?

Do you store my payment card details and is the payment process secure?

Can I book classes and activities online?

What is the best way to contact my centre?

Where is my nearest centre?

I have forgotten my details; how do I log in?

Can I cancel activities online?

What does the membership card give me?

How do I make a complaint?

How do I reset my password?

I have just signed up, how do I set a password?

COVID measures & information

Troubleshooting Guide - <https://www.everyoneactive.com/troubleshooting/>

Login into my account

What should I do if I don't have an email address?

I have forgotten my details; how do I log in?

How do I reset my password?

I have just signed up, how do I set a password?

Booking session on the app & website

I have forgotten my details; how do I log in?

How do I reset my password?

How far in advance can I book my gym session, class or activity?

Why can't I book for me and my partner together?

What happens if I can no longer make my booked session?

I'm not a member can I still book a session?

I have just signed up, how do I set a password?

Join online

Who is entitled to my corporate discount?

Can I add an optional extra at a later date?

How do I cancel a membership add on subscription?

Why are you asking me to provide Emergency Contact details?

What is the final month in advance fee?

Do you store my payment card details and is the payment process secure?

How do I join Everyone Active?

If I join today, can I use the centre immediately?

Everyone Active on Demand

You said we did summaries

Each month we summarise our customer feedback by providing a section in the monthly report titled You Said We Did, in a bid to demonstrate what we are doing about feedback or issues raised. Below is the summary of the periods since reopening at each site that are more specific to each site rather the volume feedback regarding lockdown and reopening.

Hartham

- Customer requests for toilets to be added to the temporary studio area, unfortunately this isn't possible however we have improved the pathway routes into the centre, so users can access the centre quicker.
- [REDACTED] Club would like space at other sites whilst Hartham is still closed. We have offered time outside of the normal opening times for Ward Freman and Fanshawe. Currently the club have planned session at Fanshawe on Sunday evening.
- Better system to scan into the gym and classes – We set up a fast track system with a scanner to allow members to swipe into pre-booked sessions
- Air con system not working very well in the studio – fitted new heating coil to the system to improve the heating and cooling of the room
- Car park area quite dark when walking from the centre to the car – new lighting installed along the walkway in the car park

Fanshawe

- Pool temp seems too warm – Fitted new heating control valves as well as a new activator which has stabilised the pool temperature.
- Main centre signage doesn't look very good and dated – New sign has been installed
- Was nervous joining the gym after COVID but the colleague [REDACTED] that signed me up was amazing. He was so friendly and reassuring – Thank you for the feedback we will let [REDACTED] know and thank him for his excellent customer service
- Shower pressure in areas is poor. This is due to the showers being fed from a gravity led water tank so when there are more users, the water pressure struggles. We have installed boost pumps in these areas to improve the shower pressures and water flow.
- Air Conditioning in the gym, we have plans to replace the system and are awaiting on approval from partners.
- The lockers look great but now the cubicles don't look very nice –We have repainted in a light grey to improve the appearance of the changing room's area.
- Can we have more Aqua sessions at Fanshawe – currently we have increased the capacities in the existing sessions, however owing to the pool refurbishment works at Hartham, we are limited to what we can accommodate.
- Unhappy with how team dealt with situation when daughter was injured in swimming lessons. We had already fed back to the team in our accident review, where all young people need to have a follow up after logged accidents. Team members have received additional customer service training in their monthly training sessions in addition to the revised process.

Ward Freman

- Pool floor isn't in great condition – we have made the area safe to use and are awaiting further developments
- Shower heads in the women's don't work very well – we have replaced the broken shower heads with new ones
- Right hand side toilet in the women's is loose from the floor – This has been bolted back down and fixed back in place
- Love the Monday night Aqua – Thank you, we will let the instructor know
- Struggling to find spaces for swimming lesson on weekend, we have managed to increase spaces in January for more lessons from January 22 onwards.
- Hair dryers are old and you charge 20p for them. We have moved to free hairdryers and improved the quality of the units to improve customer service.
- The Staff at the centre are also so friendly and helpful – Thank you for the positive feedback we will pass this back to the team.

Grange Paddocks

- Not Enough Group Exercise Classes
Additional classes have been introduced following the recent lockdowns to accommodate demand.
- No disability swim session
Following the review of the pool timetable, the disability session on a Thursday has been brought back.
- Swim Lane Etiquette
We had a number of swimmers feedback about the issues they faced when coming back to lane swimming following the lockdown. We were limited to how many lanes we could offer and needed to meet the needs of every swimmer. We received numerous amounts of feedback regarding lane etiquette. This prompted the team at Grange Paddocks to work closely with our swimmers and create a list of rules / lane etiquette that all swimmers should abide by.
- Now schools are back swimming in the centre, the new lane swimming times doesn't suit me. We published the proposed new swimming timetable for new Grange Paddocks, this customer complimented this as a great change in programming.
- Issues with 1 team on Sunday leaving litter on pitches and being rowdy. We had previously spoken to the club, which related to away team's behaviour which has been reported to the league.

- Showers are too warm in the Changing Village in the new centre, they were within in the accepted parameters, however we have lowered this to lower acceptable band for water temperatures.
- Need more stage 3 sessions, we are launching more lessons in January 22.
- Why is the learner pool session at the weekend only capped to 30? Originally this was reduced to provide a better user experience. However, demands on the family sessions in the learner pool have shown this number needs to be increase which was altered in mid-December.

Leventhorpe

- Lights on poolside gloomy – currently they are warm orange light, we have replaced these with a cool white colour which improves the appearance on poolside
- More classes on Saturday AM – we had been limited to space with the Swim England guidance and reduction in capacities, we have been able to add 3 more sessions from January 22 onwards.

Customer Forum Summaries

Plans for these sessions had been in place for 2021, however with the limitation around social distancing and the planned development works, this has been something we had not been able to deliver. These are being scheduled for early 2022.

Web app usage stats – Drive towards Digital.

We are working on driving users to using the Everyone App and our web based solutions, historically pre lockdown we average 30% of bookings and payments (referred to as transactions) being digital. Since we have reopened in a COVID secure environment, we require all sessions to be bookable, which had led to all public swimming times being bookable online and in the same vain with gym sessions until the end of the restriction in mid-August 21.

From a performance perspective, we have seen a year on year increase in digital transactions (payments and bookings), with the 2020 level being 81.90% which increase by 0.76% in total for the whole year in 2021. However, as the table below shows this had been dropping off in quarter 2 to 4 with an increase in in-centre transactions, on review we believe there are genuine factors that have influenced this arrest in performance. We believe that the removing of the need for gym users to book into sessions from mid-August has reduced the number of monthly transactions down, generally on a monthly basis our total contractual transactions (bookings and payments) would be between [REDACTED] per month in the period April to December. Since reopening in April and after the end of restrictions where gym users weren't required to book sessions, our weekly average of gym bookings were [REDACTED] per week, so crudely this decision has added approx. [REDACTED] transaction during the periods where gym users were required to book into sessions. Given this drop in the volume of bookings, we believe this is the key influencing factor, and the Quarter 4 performance will be a more accurate benchmark looking forward into 2020

	2021				2020			
	In-centre	On-line	App	Digital	In-centre	On-line	App	Digital
Q4	23.10	14.57	62.33	76.90	14.50	10.70	74.80	85.50
Q3	16.17	16.43	67.40	83.83	21.72	10.94	67.36	78.30
Q2	12.77	14.27	72.97	87.23				
Q1					56.00	7.90	36.13	44.03
Aver	17.34	15.09	67.57	82.66	18.11	10.82	71.08	81.90

Year on Year Review by each quarter

	YR on YR Variance				% variance			
	In-centre	On-line	App	Digital	In-centre	On-line	App	Digital
Q4	8.60	3.87	-12.47	-8.60	59%	36%	-17%	-10%
Q3	-5.55	5.49	0.04	5.53	-26%	50%	0%	7%
Q2	12.77	14.27	72.97	87.23	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!
Q1	-56.00	-7.90	-36.13	-44.03	-100%	-100%	-100%	-100%
Aver	-0.8	4.3	-3.5	0.8	-4%	39%	-5%	1%

Customer Satisfaction Survey 2021

Historically we have used colleagues in centre mixed with online survey option to survey customers, in 2021 we have moved this survey completely digital. Using the Single Customer View system we emailed randomly selected customers who had used the facilities in the last 3 days, in total we received 640 responses, which whilst previously we would have targeted over 700, split site by site with 200+ at the larger sites and 100+ at the dual use sites. Customers are asked to rank their satisfaction levels on a 1 to 5 level, with 1 being very dissatisfied; 2 fairly dissatisfied; 3 neither satisfied nor dissatisfied; 4 fairly satisfied; 5 very satisfied. From a reporting basis we have split each of the questions into Satisfied or dissatisfied. On a site level, the General Manager will meet with the operations team and drill into each of the surveys and look at patterns and potential areas of improvement.

Generally, the feedback has been positive and despite the lack of 2020 information, we have been able to look at adding the feedback and insights to our Quality Action Plans.

The following sections are questions relating to customer satisfaction and social value, and their results in the 2021 user survey.

1	How satisfied are you with your visit today?	% very satisfied or fairly satisfied	% very dissatisfied or fairly dissatisfied
	Fanshawe Pool & Gym	83	5
	Grange Paddocks Leisure Centre	88	3
	Hartham Leisure Centre	86	4
	Leventhorpe Pool & Gym	88	1
	Ward Freman Pool	90	4

1	How satisfied are you with your visit today?	% very satisfied or fairly satisfied			% very dissatisfied or fairly dissatisfied			Average	
		21 Total	19 total		21 Total	19 total		Satisfied	Not
	All sites	86.9	86.7	0.2	3.4	4.6	-1.1	86.8	4.0

Generally, the satisfaction scores from 2021 are up from the 2019 results, with there being a good drop in the number of users that are dissatisfied moving from 4.6 in 2019 to 3.4 in 2021. Given the challenges operationally and the issues we have highlighted in the earlier aspect of the of the customer feedback section this is a positive. Drilling down into the 3.4% that were dissatisfied, in real terms this equated to 4 customers that were very dissatisfied, which is split by 2 customers at Hartham, 1 at Grange Paddocks and 1 at Fanshawe. From a fairly dissatisfied perspective there were 18 customer responses, split 3 at Ward Freman, 1 at Leventhorpe, 4 at Grange Paddocks, 5 each at Hartham and Fanshawe.

From a site by site perspective, the lower scores of which are all over 83% as a minimum are a positive, generally as highlighted in the review of site specific feedback we put in several actions to look at improving these satisfaction scores in the next 6 months.

4	Based on your experience today how satisfied were you with the cleanliness of the centre?	% very satisfied or fairly satisfied	% very dissatisfied or fairly dissatisfied
	Fanshawe Pool & Gym	81	5
	Grange Paddocks Leisure Centre	84	3
	Hartham Leisure Centre	82	4
	Leventhorpe Pool & Gym	84	2
	Ward Freman Pool	80	1

4	Based on your experience today how satisfied were you with the cleanliness of the centre?	% very satisfied or fairly satisfied			% very dissatisfied or fairly dissatisfied			Average	
		21 Total	19 total		21 Total	19 total		Satisfied	Not
	All sites	82.5	82.1	0.4	3.8	6.7	-3.0	82.3	5.3

From a cleanliness perspective, this a something we have directly targeted with the increased need for spot cleaning during the pandemic period. At Grange Paddocks and Hartham we have used a specific contract cleaning company to work on areas that are typically customer critical points, like toilets, changing rooms and entrance areas, which is reflected in the increased scores. The increase from 2019 which is 0.4% improvement in satisfaction but critically the drop in dissatisfied users, which is drop from 6.7% in 2019 to 3.8% in 2021. There are a number of other plans that we are working on that are indirectly contributing factors to cleanliness perception, changing rooms refreshes, for example at Fanshawe we have redecorated each of the changing and improved the shower pressure which whilst not directly a cleanliness issue this contributes to a perception of cleanliness.

j	0.13.Do you feel that using the centre has helped improved your overall health and wellbeing?	Agree	Dis
	Fanshawe Pool & Gym	87	2
	Grange Paddocks Leisure Centre	90	1
	Hartham Leisure Centre	88	1
	Leventhorpe Pool & Gym	84	0
	Ward Freman Pool	93	1

Based on your experience today how satisfied are you with:	% very satisfied or fairly satisfied			% very dissatisfied or fairly dissatisfied			Average	
	21 Total	19 total		21 Total	19 total		Satisfied	Not
0.13.Do you feel that using the centre has helped improved your overall health and wellbeing?	88.4	86.4	2.0	1.0	2.0	-1.0	87.4	1.5

From 2018 we added this question to the post user survey, with a view to being able to have a measure on whether using the centre has helped to improve the customers overall health and wellbeing. Generally, the results are positive with 88.4% of customers agreeing using the centre has helped improve their health and wellbeing, this is also an increase from 2019 of 2%. We are more than aware of the benefit of regular activity, these results are positive, in 2022 we are aiming to increase the impact in the wider community reaching more people and looking to target more inactive non users into becoming active, whether this is in a table tennis sessions which will be starting in 2022 or casual swimming.

Programming Review

Since reopening in April 21, we kept much of the pool and activity programme the same, the only real alteration being needed was to provide sessions for Hartham clubs like Hertford Town Swimming Club at Fanshawe. With the marvellous opportunities presented with the new Grange Paddocks, we have seen the opportunity to grow the level of aquatic opportunities with as previously mentioned, the agreement that when schools are using half of the main pool that they are comfortable with public swimming in the rest of the pool. Also the additional capacities in the studio and Community Room at Grange Paddocks have presented a fabulous opportunity to attract and bring new groups and users into the centre, with the addition of children's play sessions like Jo Jingles, Holiday camps in partnership with Herts Sports Partnership and in 2022 programmes on lighter activities like table tennis sessions like chat and bat designed to be a stealth activity.

From a programming review analysis this looks at a typical weekly period, the results below show a boost across the board with increased programming activities as highlighted below.

2021 - YTD		Total	FAN	GPP	HAR	LEV	WFR
Number of programmes for older people to participate in physical activity	Older People	316	28	156	55	27	50
Number of programmes for young people to participation in physical activity	Young People	170	13	144	3	0	10
Number of programmes specifically for Disabled users to participation in physical activity	Accessible users	10	0	2	0	0	8
		2021	2020	2019	Variance		
Number of programmes for older people to participate in physical activity	Older People	316	289	234	27	9%	
Number of programmes for young people to participation in physical activity	Young People	170	131	151	39	23%	
Number of programmes specifically for Disabled users to participation in physical activity	Accessible users	10	0	9	10	100%	

Staffing (Colleagues)

Colleague's profile

We have seen a slight reduction in the total number of colleagues when looking at January 21 to January 22, however since July 21 this has been a 47-person increase. The recruitment drive for a new café team, activity leaders and lifeguards at Grange Paddocks have played a role in this increase. The year on year drop is due to a data review of colleagues not working in an 12 to 18 month period are removed from the colleague resource pool.

From a gender split basis, we have seen the female to male ratio move from 56.12% of colleagues being female, to 54.59% in January 22, generally this is not a cause of concern, looking at the numbers, this is due previously mentioned data review where a number of swim teachers whom were female have been removed from the resource pool.

Year	Month of report	Quarter	Count of People in Contract	Colleagues with Disabilities	% of colleagues with Disabilities	Gender			
						unit	unit	%	%
						Female - Units	Male - Units	Female - %	Male - %
2020	Jan-20	Jan	322	3	0.93%	174	148	54.04%	45.96%
2020	Apr-20	April	327	3	0.92%	177	150	54.13%	45.87%
2020	Jul-20	July	326	3	0.92%	176	150	53.99%	46.01%
2020	Sep-20	Sept	324	3	0.93%	174	150	53.99%	46.01%
2021	Jan-21	Jan	237	4	1.69%	133	104	56.12%	43.88%
2021	Apr-21	April	208	4	1.92%	120	88	57.69%	42.31%
2021	Jul-21	July	182	4	2.20%	101	81	55.49%	41.51%
2021	Sep-21	Sept	195	6	3.08%	108	87	55.38%	44.62%
2022	Jan-22	Jan	229	9	3.93%	125	101	54.59%	45.41%

Year	Month of report	Quarter	Employment stats				% Full Time %	% Part Time %	% Zero Hours %	Average Age
			Units Full Time - Units	Units Part Time - Units	Units Zero Hours - Units	Units Total job roles - Units				
2020	Jan-20	Jan	37	92	264	393	9.41%	23.41%	67.18%	41.9
2020	Apr-20	April	34	89	273	396	8.59%	22.47%	68.94%	42.1
2020	Jul-20	July	34	153	212	399	8.52%	38.35%	53.13%	42.6
2020	Sep-20	Sept	35	148	212	395	8.86%	37.47%	53.67%	43.1
2021	Jan-21	Jan	30	75	191	296	10.14%	25.34%	64.53%	41.3
2021	Apr-21	April	30	74	158	262	11.45%	28.24%	60.31%	41.8
2021	Jul-21	July	31	70	128	229	13.54%	30.57%	55.90%	41.3
2021	Sep-21	Sept	33	72	135	240	13.75%	30.00%	56.25%	41.5
2022	Jan-22	Jan	34	76	171	281	12.10%	27.05%	60.85%	41.6

Females in Management positions

We have seen an increase in management positions with the recruitment of the Café Manager at Grange Paddocks, this sees 14 female colleagues in management positions in the contract. There has been an increase with several existing colleagues gaining promotion into new or vacant roles, which in total means that 50% of management roles in the leisure centres are female, which broadly mirrors gender split amongst all colleagues which is 54% female.

	% of Females in Management positions					Apr-21	Jul-21	Sep-21	Jan-22
	Jan-20	Apr-20	Jul-20	Sep-20	Jan-21				
Total	29	29	29	29	28	28	26	27	28
Female	11	10	10	10	10	10	11	13	14
% of roles assigned to female manager	38%	34%	34%	34%	36%	36%	42%	48%	50%

Colleague living within 20mins drive of sites

Since 2020 we have proactively been striving to recruit locally, continuing to offer a significantly discounted National Pool Lifeguarding Qualification being offered at cost with the view of there a job opportunity for any successful candidates, we saw 14 newly qualified Lifeguard in 2021, of which all of these colleagues came from postcodes in East Herts. From a result perspective we see a slight drop in the year end numbers when looking at the January levels, however already mentioned the total numbers of colleagues living locally is 194 which is 85.5%.

Year	Month of report	Quarter	Average Age	Units Colleague living in 20 min drive time - Units	Units Colleague inside East Herts - Units	% Colleague living outside East Herts - %	% Colleague inside East Herts %
2020	Jan-20	Jan	41.9	49	278	15.0%	85.0%
2020	Apr-20	April	42.1	48	284	14.5%	85.5%
2020	Jul-20	July	42.6	55	276	16.6%	83.4%
2020	Sep-20	Sept	43.1	57	273	17.3%	82.7%
2021	Jan-21	Jan	41.3	36	206	14.9%	85.1%
2021	Apr-21	April	41.8	32	176	15.4%	84.6%
2021	Jul-21	July	41.3	30	152	16.5%	83.5%
2021	Sep-21	Sept	41.5	32	163	16.4%	83.6%
2022	Jan-22	Jan	41.6	33	194	14.5%	85.5%

Colleagues with Disabilities

From a colleague profile perspective, we have seen a slight increase in the number of colleagues with disabilities increasing from 6 to 9 in the last 12 months. We haven't proactively looked at influencing this, we have had also several colleagues update their personal information highlighting new disabilities that potentially weren't there when they started their employment, using the newly integrated Everyone Active colleague app.

Year	Month of report	Quarter	Count of People in Contract	Colleagues with Disabilities	% of colleagues with Disabilities
2020	Jan-20	Jan	322	3	0.93%
2020	Apr-20	April	327	3	0.92%
2020	Jul-20	July	326	3	0.92%
2020	Sep-20	Sept	324	3	0.93%
2021	Jan-21	Jan	237	4	1.69%
2021	Apr-21	April	208	4	1.92%
2021	Jul-21	July	182	4	2.20%
2021	Sep-21	Sept	195	6	3.08%
2022	Jan-22	Jan	229	9	3.93%

Staff Training

- Monthly Lifeguard competence Pool training took place at all site
- When reopening the centres, we re-completed site inductions, health & safety refresher training and covid19 training to ensure colleague skills, knowledge and understandings in key areas are all refreshed.
- We have added a Dementia awareness module in our online colleague training platform Absorb, with 8 colleagues in management positions completing this, with a desire this is something we target all new customer facing colleagues complete with in the first three months of their employment or return to work.
- 6 staff members attended a virtual Dementia Friendly training from the 3 sessions in November
- We have also used the opportunities via CIMSPA for our colleague to refresh their training and have many colleagues on CIMSPA as affiliated and or members.
- Where we have effectively reopened in mid-April, the training and development focus has been operational and H&S updates focusing on COVID precaution and risk control.
- Where the Hartham Project has been flipped to start the pool first rather than the building of the extension, we have used this as training opportunity for 4 Team Leaders to be trained to undertake Duty Manager training across the contract and enable them to work at other sites.
- We have seen 6 Duty Managers attend the site induction training on the new Grange Paddocks in early October.
- We have also completed new site inductions and Centre Safety and Operation Process training for colleagues at Grange Paddocks.

Apprenticeship and Work placement update

Currently we haven't be able to progress this aspect as far as we would have liked. We had been applying for the governments funding via the Kick Start programme which would have enabled new colleagues to join the centre's and retrain for a 12 week period with a view to generating further local jobs and re-skilling the community, unfortunately we have discovered we have been unsuccessful

Community and social value from leisure contract

Selected partnership working from the quarter reports

- Everyone Active are working in partnership with Alzheimer's UK to promote the opportunities within East Herts Leisure Centre to be active.
- Herts Sports Partnership with a successful funding bid for HAPPY activity camps which will be in the holiday between festive period and New Year.
- Through new Grange Paddocks, we have attended the Bishop's Stortford BID Seminars, we have partnership with Jo Jingles and another tot's providers using the community room.
- We planning to support the East Herts Council's Live well work well programme, with there being offer a free 7 days in September for all colleagues to use the centre and in December we provided the opportunity for colleagues to join our Facebook Live workouts
- Setting up with Table Tennis England to plan to add to the timetable for New Grange, offering sessions for children and adult – Dementia & Disability sessions
- Boccia session working with local club to develop at New Grange

- Table Cricket planning for Hartham LC & New Grange
- Weight Watchers UK we have linked up with this partner to provide WW members with a reduce membership rate and a link for our members to access reduce WW sessions.
- Parkrun UK with junior Park run's at Hartham and Grange Paddocks
- Partnership with Saracen's Mavericks and Birchwood High School – for Netball master camps in May and camps in the summer holiday to drive Netball and sports engagement.
- HSP with trial of walking netball at Hartham
- Dementia UK – promoting training for colleagues and Dementia Action week.
- UK cycling and promotion of Breeze rides locally and look at using user base to promote training for becoming a Breeze Ride instructor
- RLSS – on training of colleagues to deliver Save a life series in the summer at Hartham
- Isobel Hospice support for their swim for care promotion as charitable fund raising events in the Summer
- Grove Cottage with the promotion and providing the warm up act for the Annual Santa Dash.
- Hertford Town Football Club, replacing Stevenage borough FC as provider for walking football on the basis this creates a stronger local walking football environment, which so far is working well
- We had been liaising with British Red Cross to at providing wider skills for colleagues in terms of tackling social isolation, loneliness and wellbeing checks.

Funding opportunities and application

We have had 2 bids submitted in 2021, with 1 for table tennis funding which was not successful, and we had ■■■ grant from HSP to support the running of a sport activity camp in December and January school holiday for disadvantaged young people providing activities and meal. Given we have new Grange Paddocks with the cafe services this was the ideal opportunity and is something we will be looking to continue. This was recently praised in a Herts Sports Partnership meeting, as we had a good return on attendances have planned further camps in February.

Sporting Champions



<https://www.easportingchampions.com/>

In its 6th Year now, we made the decision to continue with the existing athletes selected on the Sporting Champions programme in 2020. The scheme is 3 tiered with Gold, Silver and Bronze, At the Gold and Silver levels is typically some financial awards, access to kit discounts and at the Bronze support level activity provides guidance days with Colin Jackson and other elite athletes. However due to the current climate the financial support has been limited to only Gold athletes.

The list below has 1 Gold, 1 Silver and 17 Bronze athletes. We are looking to for these athletes to provide social media updates, tips and suggestion on staying fit during the lockdown period.

First Name	Last Name	Awarded	Sporting Discipline	EA Centre	Sporting Aspirations
		Gold	T54 Wheelchair Racing	HAR	Bring home 4 medals this year at the European Championships in Poland and use that for a good preparation for the Tokyo Paralympics where I will be doing 400m 800m 1500m and the relay. I would also like to try and get my world record back over the 800m.
		Silver	Triathlon	GPP	To win and podium at full and half distance ironman triathlons as a professional whilst being a new mother. I am due to have my first child in February 2020 and I hope to get back to training and racing as soon as possible

First Name	Last Name	Awarded	Sporting Discipline	EA Centre	Sporting Aspirations
		Bronze	Swimming	HAR	Make a final at the Olympic Trials 2020 in London, win the European Masters Championships 2020 in Budapest and make the podium at the World Masters Championships 2021 in Fukuoka (Japan).
		Bronze	Rugby and cricket	GPP	To continue developing my rugby skills and progressive within the Saracens academy program eventually hoping for a professional contract.
		Bronze	Judo	GPP	To continue getting selections to represent England on a European level until I am at an age when I can train full time and represent GB. My ultimate aim is to get to the Olympics
		Bronze	Netball	HAR	To continue being part of the England squads that are involved in Nets. I would love to be part of the next World Cup with NETS however this tour is in Australia so would need all the funding possible.
		Bronze	Judo	GPP	To compete on the world stage at Commonwealth, European, World and Olympic level
		Bronze	Basketball / High Jump / Swimming / Cycling	GPP	I aspire to one day win a major competition for high jump, or play at a high level of basketball. I also would like to compete in more swimming galas and cycling races/events.
		Bronze	Netball	HAR	Play super league netball for as long as I can and win back to back titles with my team. Be injury free.
		Bronze	Judo	GPP	To medal in the Masters European masters and get to the World masters championships
		Bronze	Freestyle Skiing	GPP	I am aiming to go to the 2022 Winter Olympics which is in Beijing China
		Bronze	Duathlon	GPP	This year, to qualify for the 2021 European and World Championships and to reach top10 in the 2020 World Championships (I've been 14th for 3 consecutive years)
		Bronze	Canoe Slalom	HAR	My short term goal is to be selected to represent GB for the 2020 European and World championships. My aim is to achieve place top 10 when I get to the championships, to qualify for Podium Potential. My long-term goal is to get to the 2024 Olympics and represent GB in Paris.
		Bronze	Judo	GPP	I will be travelling to Scotland and Northern Ireland this year to take part in the remaining two national ranking events of the year in the hope of improving my position on the ranking table. I am also travelling to the US to take part in the US Open and Italy to take part in a training camp along side the England Squad.
		Bronze	Open water swimming	HAR	I attended an assessment day in November 2019 for a Channel Relay and have been selected for a crossing in August 2020.
		Bronze	Triathlon and Duathlon	GPP	2019 will be a hard year to top but, as ever, I will endeavour to do my best at the races I have qualified for, namely, the European Duathlon Championships in Spain and the European Triathlon Championships in Sweden.
		Bronze	Canoe Slalom Kayak singles / Canoe singles	HAR	As the season is soon beginning I would like to improve my national rank and make percentages in the yearly selection race series, which determines the individuals elected to be on the GB team itself.
		Bronze	Judo	GPP	to try and compete at a world/Olympic level
		Bronze	Judo	GPP	My aspirations for 2020 is to: - Complete injury rehabilitation and successfully return to the BJA World Class Performance Programme (WCPP) - Medal at the 2020 National Championships in December

Increasing Participation

New Everyone Active Cards

We use new Everyone Active card sign ups as indicator of new users not previously using the centres. Historically the numbers have been 9,000 to 10,000 new car signs annually, 2021 saw 11,347 which in comparison 2019 which saw 9,960 new cards sign up this is an increase of 4,545.

2021 EA card sign up site and months

Site	Year to Date	Total Records
Fanshawe Pool	1596	11779
Grange Paddocks Lc	6562	39962
Hartham Leisure Centre	1491	32342
Leventhorpe Pool	1027	5813
Ward Freman Pool	671	3649
Total	11347	93545

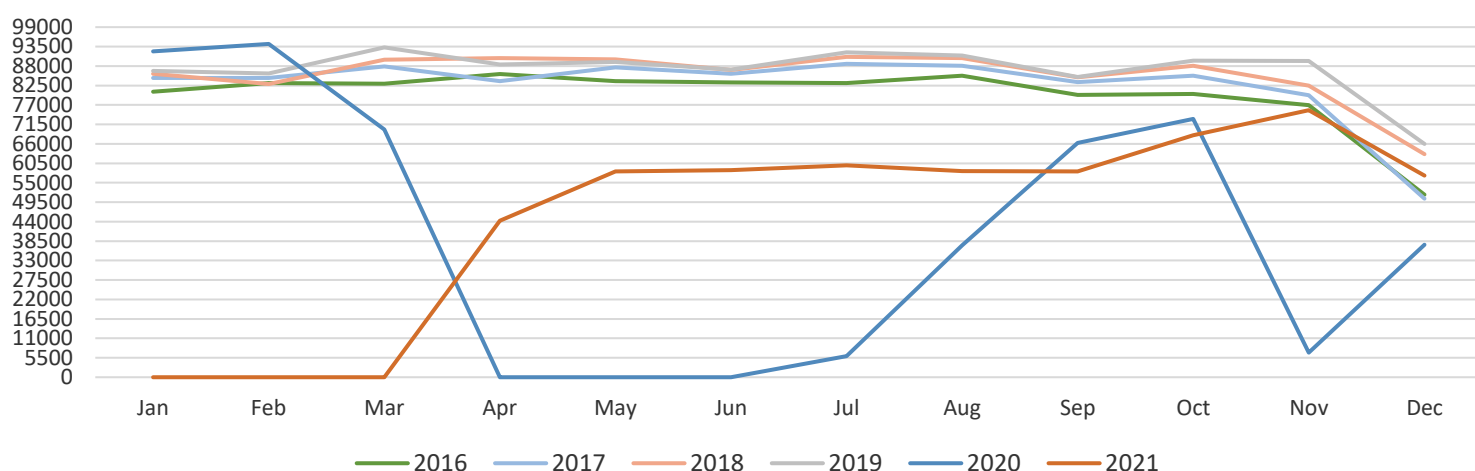
Total Participation Levels

With the centre's being closed in Quarter 1 which is historically our busiest period in the year, we have seen a growth in total attendance. As highlighted in energy consumption and several other areas above, we have seen the end of the restrictions drive an increase in capacities which naturally supported the growth in participation. The performance of 538,365 visits in 2021 is a good increase from 2020. A word of caution is that in comparison to pre-2020 levels we are noticeably down from the average of 981,768 visits averaged pre 2019. We believe with new Grange Paddocks growing in 2022 further, no restrictions and Hartham

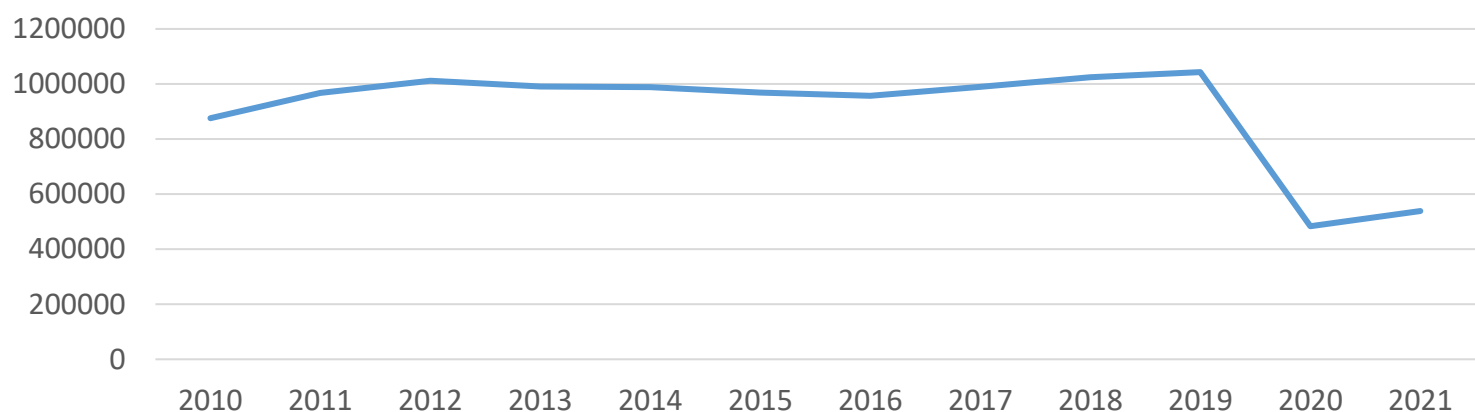
pool returning to action in Spring 22, we foresee a further grow in attendance and will be aiming to work towards 1 million visits as per 2018 and 2019 performance.

Sum of Total Site Attendance	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	TOTAL	YR on YR	YR on YR %
2010	56453	76802	84377	77714	79424	76218	74397	74357	72894	78100	76122	48525	875383		
2011	78874	79164	84706	80635	83180	83120	81731	83202	82406	89990	86424	54683	968115	92732	10.6%
2012	94098	91229	92153	81463	85007	85986	87058	84916	80418	86555	84421	58502	1011806	43691	4.5%
2013	81524	85866	87833	87395	84896	81658	84555	91549	83192	86344	80971	54554	990337	-21469	-2.1%
2014	83552	85760	89024	83285	89818	84327	85640	83436	85672	83421	80751	53701	988387	-1950	-0.2%
2015	86031	83686	89558	81310	83738	84864	84513	85273	80169	80736	76262	53064	969204	-19183	-1.9%
2016	80738	83162	82987	85741	83704	83339	83151	85270	79807	80118	76931	51619	956567	-12637	-1.3%
2017	84646	84652	87887	83705	87649	85793	88626	88079	83450	85243	79708	50500	989938	33371	3.5%
2018	85777	82923	89814	90207	89856	86907	90597	90266	84817	88057	82490	63080	1024791	34853	3.5%
2019	86641	85879	93273	88473	89186	86960	91892	90998	84910	89537	89430	65973	1043152	18361	1.8%
2020	92176	94252	70070	0	0	0	5948	37284	66237	73049	6938	37435	483389	-559763	-53.7%
2021	0	0	0	44292	58177	58587	59938	58253	58203	68415	75513	56987	538365	54976	11.4%
Average	81833	83912	88161	83993	85646	83917	85216	85735	81774	84810	81351	55420	981768		
Month by Month	-37435	0	0	44292	13885	410	1351	-1685	-50	10212	7098	-18526			
Year on Year	-92176	-94252	-70070	44292	58177	58587	53990	20969	-8034	-4634	68575	19552			
% Change - YOY	#DIV/0!	-100.0%	-100.0%	#DIV/0!	#DIV/0!	#DIV/0!	907.7%	56.2%	-12.1%	-6.3%	988.4%	52.2%			
YTD	0	0	0	44292	102469	161056	220994	279247	337450	405865	481378	538365			
LY Cul total attendance	92176	186428	256498	256498	256498	256498	262446	299730	365967	439016	445954	483389			
YTD % Vari	-100.0%	-100.0%	-100.0%	-82.7%	-60.1%	-37.2%	-15.8%	-6.8%	-7.8%	-7.6%	7.9%	11.4%			

Contract Attendances Last 5 years



Contract Total Attendances



Swim Participation

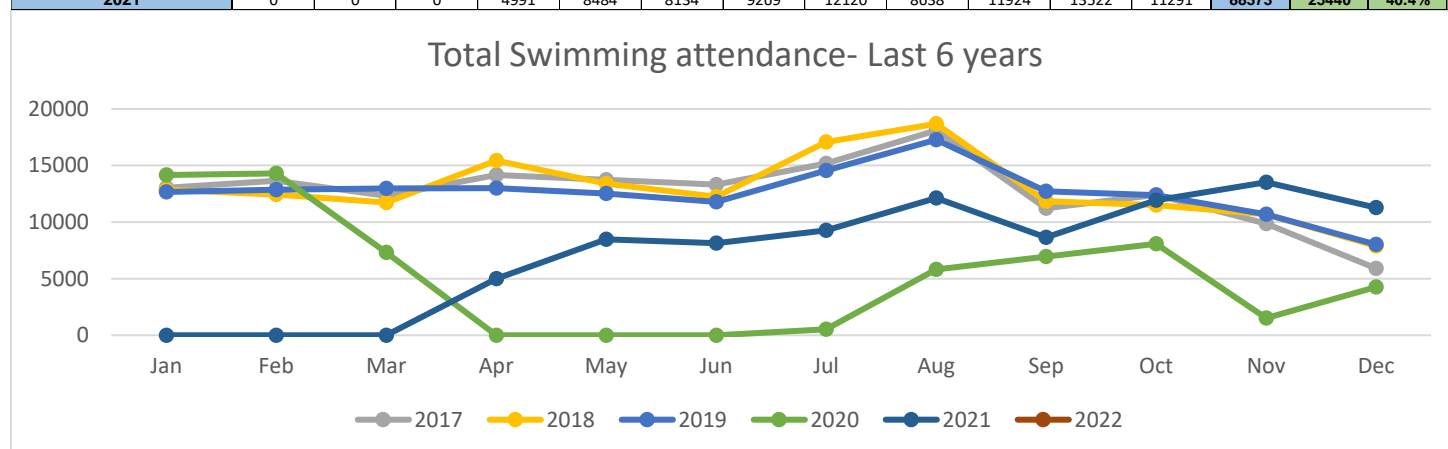
With Hartham being out of action, the table and graph below are tale of a few stories. Year on year the performance in swimming participation has increased from 2020 from 62,933 visit to 88,373 visits in 2021 which is 40.4% increase.

This needs to be caveated with the end of capacity restrictions in mid-August, which means that post September numbers except for Hartham not being open are increased, and in Quarter 4 has been influenced significantly by the opening of new Grange Paddocks. As already highlighted, new Grange Paddocks provides the community with significantly more aquatic opportunities from both a casual swimming, competitive club's access and from a learn to swim perspective. For example, new Grange

Paddocks capacity for weekly casual swimming increases from 1,440 to 1,559 per week, post restrictions ending to seeing a capacity near 3,660 per week. Whilst on a regular basis in Quarter 4 weekly average attendances are in excess of 1,700 visit per week at Grange Paddocks and in the first few weeks in January has seen average of 2,100 visits per week in casual swimming.

In addition the Quarter 4 period is a major promising sign of further and future growth with the October to Decembers being above the 2019 levels, the average pre-2020 levels in Quarter 4 for total swimming is 30,095 visits, with the 2021 quarter period saw 36,737 visits, which without Hartham could potentially in the periods before 2020 average 10,105 visits in Quarter 4. Whilst we see a massive growth in Grange Paddocks, we are seeing Fanshawe swimming participation increase to offset a degree of usage from Hartham, Leventhorpe is looking likely to achieve similar 2019 levels, whilst Ward Freman slight of pace across the year from a total swimming attendance level.

Total Swim Attendance - All Sites	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	TOTAL	YR on YR	% change
2010	10252	12187	13431	14658	14343	14612	16091	18385	11408	12231	9413	6131	153142		
2011	15161	16314	14993	15143	14215	15350	16761	20279	13620	14553	11599	7615	175603	22461	14.7%
2012	14507	13711	14631	15879	13817	14599	18205	23600	14148	14139	12340	8125	177701	2098	1.2%
2013	13519	15940	13924	16506	14494	14563	19106	21126	14278	14451	11658	8115	177680	-21	0.0%
2014	16318	16303	15456	15925	15667	14001	17170	20064	12928	14306	12444	7461	178043	363	0.2%
2015	13643	14622	14520	14986	15114	13498	16583	18312	11815	13636	11178	6594	164497	-13546	-7.6%
2016	13085	12460	12041	15404	13613	14488	15268	18089	14547	12642	9645	7219	158500	-5997	-3.6%
2017	13026	13648	12325	14163	13727	13324	15192	18099	11232	12417	9876	5910	152939	-5561	-3.5%
2018	12862	12448	11718	15433	13392	12242	17072	18688	11835	11492	10674	7891	155747	2808	1.8%
2019	12660	12865	12988	13016	12514	11779	14572	17281	12722	12374	10672	8021	151464	-4283	-2.7%
2020	14164	14304	7318	0	0	0	516	5832	6954	8075	1509	4261	62933	-88531	-58.5%
2021	0	0	0	4991	8484	8134	9269	12120	8638	11924	13522	11291	88373	25440	40.4%

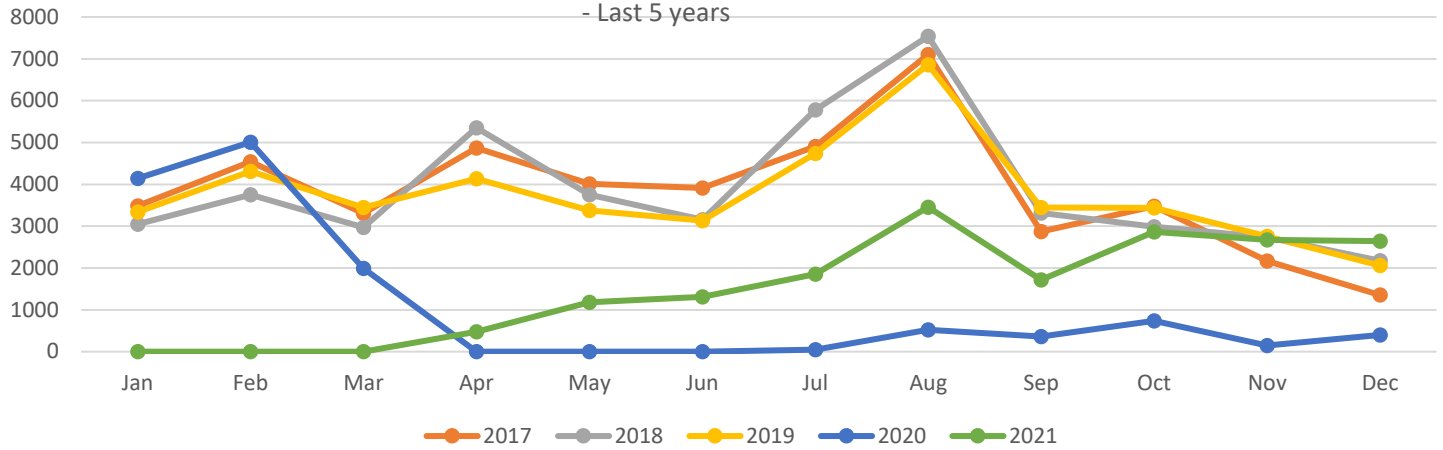


Swim participation – Young People under 16's

Young people swimming capacities had been influenced by end of restrictions and Hartham refurbishment delays, we see a year on year growth from 2020, 18,155 visits in 2021, which is a 36% increase. As highlighted the end of the restrictions saw an opportunity for attendance to increase in line with the capacity restrictions being lifted, equally new Grange Paddocks provides a huge uplift in usage. Given the likelihood of there being no restrictions and reopening of the Hartham pools in 2022, we anticipate a further upturn in growth in this area.

Total Under 16's - All Sites	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	TOTAL	YR on YR	% change
2010	2442	4676	3383	5216	3854	4152	4845	7537	3489	4007	2252	1556	47409		
2011	3698	4605	3420	5143	3440	3918	4577	7205	3818	3856	2131	1728	47539	130	0.3%
2012	2703	3210	3188	3800	2433	3270	4092	7067	2720	2589	2616	1600	39288	-8251	-17.4%
2013	2564	4171	3505	5435	3952	3423	5214	7170	3704	3961	3051	2233	48383	9095	23.1%
2014	4711	5323	5219	5114	5107	3659	5038	6721	3060	4135	3138	1862	53087	4704	9.7%
2015	4201	4913	4135	5272	4914	3602	5599	7254	3076	4197	2984	1683	51827	-1260	-2.4%
2016	3739	4112	3088	5033	3634	3996	4976	6854	3701	3972	2172	1740	47014	-4813	-9.3%
2017	3484	4539	3307	4866	4013	3911	4907	7106	2873	3480	2166	1354	46006	-1008	-2.1%
2018	3051	3753	2973	5353	3748	3157	5783	7539	3318	2990	2735	2174	46574	568	1.2%
2019	3342	4314	3446	4138	3376	3134	4736	6860	3444	3437	2759	2057	45043	-1531	-3.3%
2020	4144	5008	1993	0	0	0	45	523	358	736	149	397	13353	-31690	-70.4%
2021	0	0	0	474	1183	1309	1850	3455	1714	2862	2669	2639	18155	4802	36.0%
Average Pre 2020	3393	4052	3138	4488	3497	3293	4528	6531	2940	3352	2402	1671	47217		
Month by Month	-397	0	0	474	709	126	541	1605	-1741	1148	-193	-30			
Year on Year	-4144	-5008	-1993	474	1183	1309	1805	2932	1356	2520	2242				
% Change - YOY	#DIV/0!	#DIV/0!	#DIV/0!	100.0%	100.0%	100.0%	97.6%	84.9%	79.1%	74.3%	94.4%	85.0%			
YTD	0	0	0	474	1657	2966	4816	8271	9985	12847	15516	18155			
LY Cul total attendance	4144	5008	7001	7001	7001	7001	7046	7569	7927	8663	8812	9209			
YTD % Vari	-100.0%	-100.0%	-100.0%	-93.2%	-76.3%	-57.6%	-31.6%	9.3%	26.0%	48.3%	76.1%	97.1%			

All Sites - Under 16's Attendance Swim
- Last 5 years

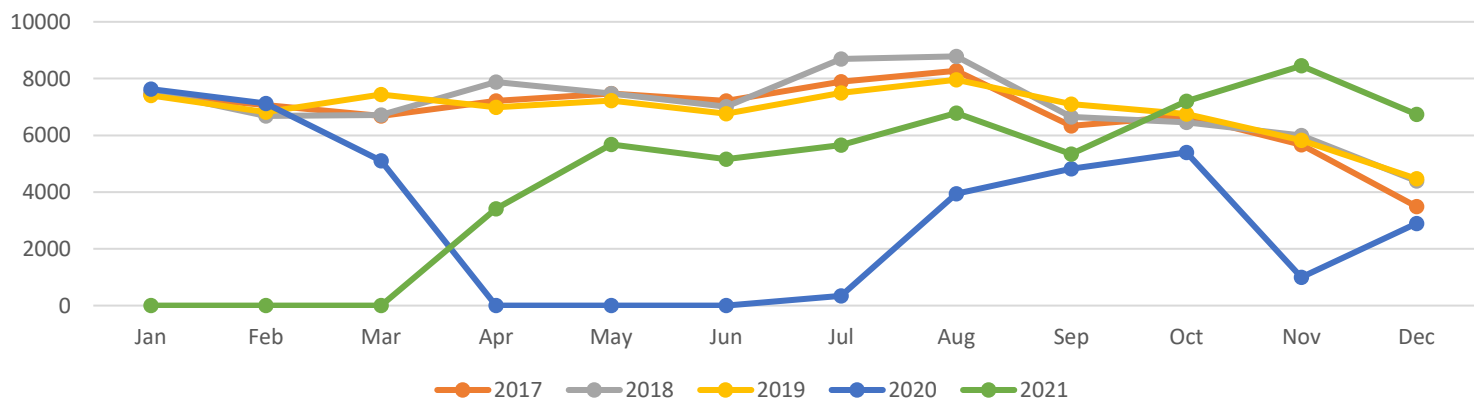


Swim Participation – Adults 17 – 59 years old

As per the other demographic levels, we see similar patterns to the total swimming levels, the real positive elements is the August onwards period for adults are comparable to pre 2019 level and in October onwards mirroring the opening of new Grange Paddocks where we see the 2021 participation levels in Quarter 4 exceed the historical averages in this areas.

Total Adults - All Sites	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	TOTAL	YR on YR	% change
2010	5434	2879	6685	6493	7905	7930	8412	8576	6241	6357	5171	3298	75381		
2011	9345	9616	9418	8310	8955	9500	10122	10880	7937	8624	7457	4458	104622	29241	38.8%
2012	9449	8236	8824	10009	9156	9179	11285	13376	9091	8868	7153	4920	109546	4924	4.7%
2013	8631	9360	8238	8809	8409	8984	11095	11197	8354	8104	6593	4339	102113	-7433	-6.8%
2014	9177	8588	7934	8500	8366	8102	9402	10341	7432	7652	6812	3954	96260	-5853	-5.7%
2015	7693	7873	8276	7905	8312	7991	8799	8798	6932	7394	6336	3832	90138	-6122	-6.4%
2016	7503	6495	7113	8290	7977	8442	8211	8842	8957	6572	5404	4017	87821	-2317	-2.6%
2017	7435	7069	6684	7216	7470	7212	7888	8275	6329	6679	5666	3491	81414	-6407	-7.3%
2018	7535	6688	6716	7875	7475	7007	8692	8782	6648	6452	5991	4393	84254	2840	3.5%
2019	7401	6817	7435	6991	7229	6763	7494	7959	7098	6748	5830	4471	82236	-2018	-2.4%
2020	7629	7123	5107	0	0	0	348	3944	4818	5400	997	2890	38256	-43980	-53.5%
2021	0	0	0	3409	5680	5161	5656	6790	5337	7206	8449	6744	54432	16176	42.3%
Average Pre 2020	7960	6729	6869	7309	7387	7374	8341	9179	7098	7171	5988	4006	91379		
Month by Month	-2890	0	0	3409	2271	-519	495	1134	-1453	1869	1243	-1705			
Year on Year	-7629	-7123	-5107	3409	5680	5161	5308	2846	519	1806	7452	3854			
% Change - YOY	#DIV/0!	#DIV/0!	#DIV/0!	100.0%	100.0%	100.0%	93.8%	41.9%	9.7%	25.1%	88.2%	57.1%			

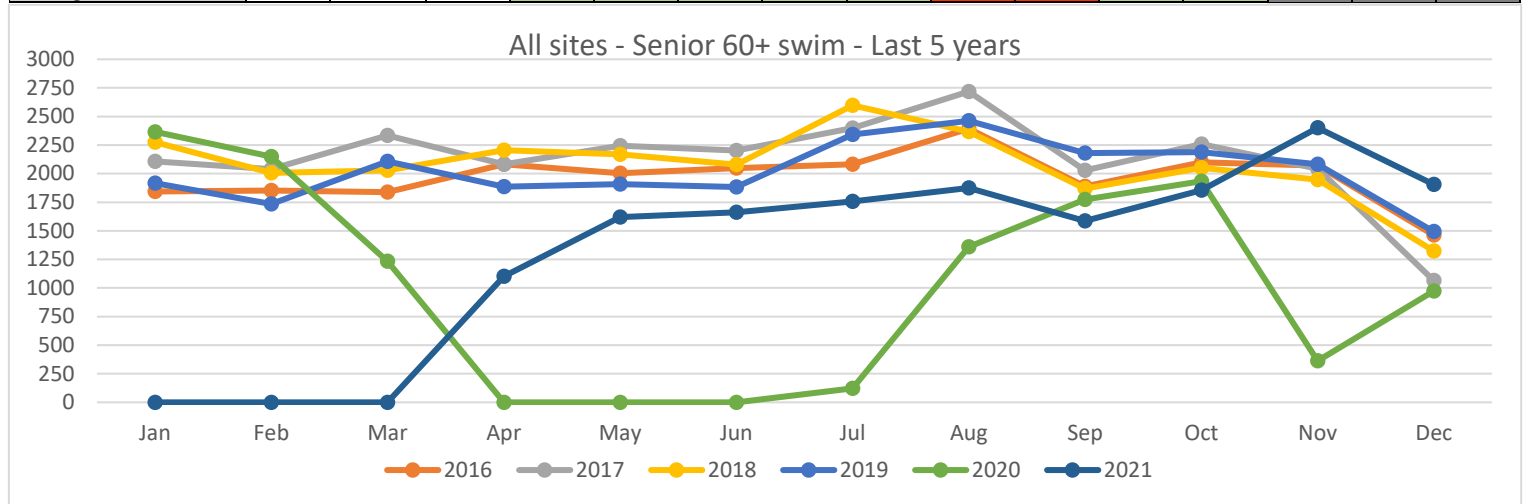
All Sites -Total Swim Adults - Last 5 years



Swim participation – Seniors 60+

As per the comments in the young people and adult sections, the positive uptick in participation coincides with the end of the restrictions in August and the launch of new Grange paddocks in October. The most promising period is quarter 4 which in both the table and graph show the impact of new Grange Paddocks.

Total Senior 60+ - All Sites	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	TOTAL	YR on YR	% change
2010	2376	4632	3363	2949	2584	2530	2834	2272	1678	1867	1990	1277	30352		
2011	2118	2093	2155	1690	1820	1932	2062	2194	1865	2073	2011	1429	23442	-6910	-22.8%
2012	2355	2265	2619	2070	2228	2150	2828	3157	2337	2682	2571	1605	28867	5425	23.1%
2013	2324	2409	2181	2262	2133	2156	2797	2759	2220	2386	2014	1543	27184	-1683	-5.8%
2014	2430	2392	2303	2311	2194	2240	2730	3002	2436	2519	2494	1645	28696	1512	5.6%
2015	1750	1836	2109	1809	1889	1905	2185	2260	1808	2045	1859	1079	22532	-6164	-21.5%
2016	1843	1854	1840	2082	2003	2050	2082	2394	1889	2099	2070	1462	23664	1132	5.0%
2017	2107	2040	2334	2081	2244	2201	2397	2718	2030	2258	2044	1065	25519	1855	7.8%
2018	2276	2007	2029	2205	2169	2078	2597	2367	1869	2050	1948	1324	24919	-600	-2.4%
2019	1917	1734	2107	1887	1909	1882	2342	2462	2180	2189	2083	1493	24185	-734	-2.9%
2020	2366	2149	1234	0	0	0	123	1360	1773	1934	362	973	12274	-11911	-49.2%
2021	0	0	0	1103	1620	1663	1757	1875	1586	1855	2401	1905	15765	3491	28.4%
Average Pre 2020	2150	2310	2207	1941	1925	1920	2271	2450	1973	2163	1987	1354	25936		
Month by Month	-973	0	0	1103	517	43	94	118	-289	269	546	-496			
Year on Year	-2366	-2149	-1234	1103	1620	1663	1634	515	-187	-79	2039	932			
% Change - YOY	#DIV/0!	#DIV/0!	#DIV/0!	100.0%	100.0%	100.0%	93.0%	27.5%	-11.8%	-4.3%	84.9%	48.9%			



Gym Participation

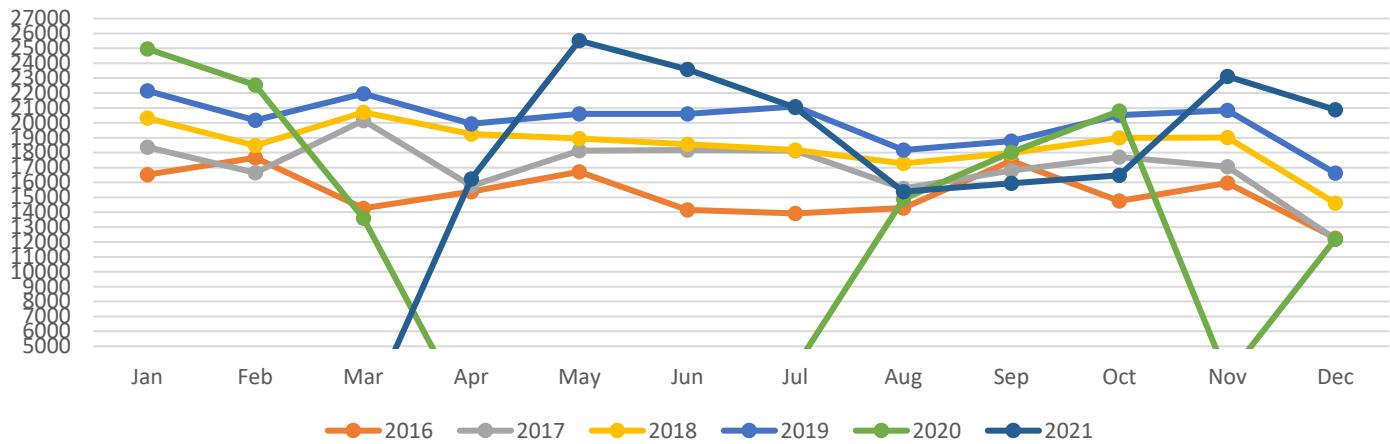
There is a need to highlight the change in reporting of the attendances which can be seen in the monthly profile of the gym attendances in all of the age demographic levels. From April to Mid-August 21 we required all gym users to book into the sessions are part of the covid secure operating practices, post Mid-August 21 this return to open access for membership subscribers which is reflected in September to October periods in terms of attendance being less than the May to July levels, which is a return to the similar attendance tracking methods used pre April 20.

Total gym attendance - All ages

We see year on year growth in comparison to 2020 which saw 133,555 visits and in 2021 there is an increase of 33% or 44,643 visits finishing the year on 178,198 visits. Generally, the positive growth is seen in quarter 4 in 2021 in comparison to the average levels pre 2020, all of which are similar attendance tracking methods so comparable.

Total Gym Throughput - All Sites	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	TOTAL	YR on YR	% change
2010	6190	7746	12300	15288	14412	13541	15693	14257	13237	14696	15262	11100	153722		
2011	18139	16609	18187	14116	16268	16359	15817	15796	15823	19361	19385	12687	198547	44825	29.2%
2012	22971	21249	20607	16397	15998	16877	18869	15616	14061	15468	16787	11314	206214	7667	3.9%
2013	20676	20041	21018	21434	18666	14475	14157	14988	17465	17998	17910	11172	210000	3786	1.8%
2014	21504	20638	20981	17924	19092	19916	17909	15137	19694	17753	16513	12507	219568	9568	4.6%
2015	22701	19978	20420	14279	12360	14718	14693	12769	11308	11266	12987	9273	176752	-42816	-19.5%
2016	16517	17657	14260	15385	16702	14161	13919	14282	17448	14753	15964	12270	183318	6566	3.7%
2017	18363	16638	20157	15775	18123	18171	18132	15591	16798	17691	17046	12208	204693	21375	11.7%
2018	20315	18481	20706	19258	18940	18554	18176	17269	17982	18986	19015	14610	222292	17599	8.6%
2019	22148	20169	21956	19946	20596	20595	21098	18184	18786	20510	20833	16619	241440	19148	8.6%
2020	24968	22547	13604	0	0	0	3587	14880	18023	20801	2950	12195	133555	-107885	-44.7%
2021	0	0	0	16231	25518	23594	21031	15390	15949	16486	23125	20874	178198	44643	33%
Average Pre 2020	18952	16813	17016	15437	15560	15215	15641	15343	16381	17147	16481	12360	201655		
Month by Month	-12195	0	0	16231	9287	-1924	-2563	-5641	559	537	6639	-2251			
Year on Year	-24968	-22547	-13604	16231	25518	23594	17444	510	-2074	-4315	20175	8679			
% Change - YOY	#DIV/0!	#DIV/0!	#DIV/0!	100.0%	100.0%	100.0%	82.9%	3.3%	-13.0%	-26.2%	87.2%	41.6%			

All Site's - Total Gym Usage -Last 6 years

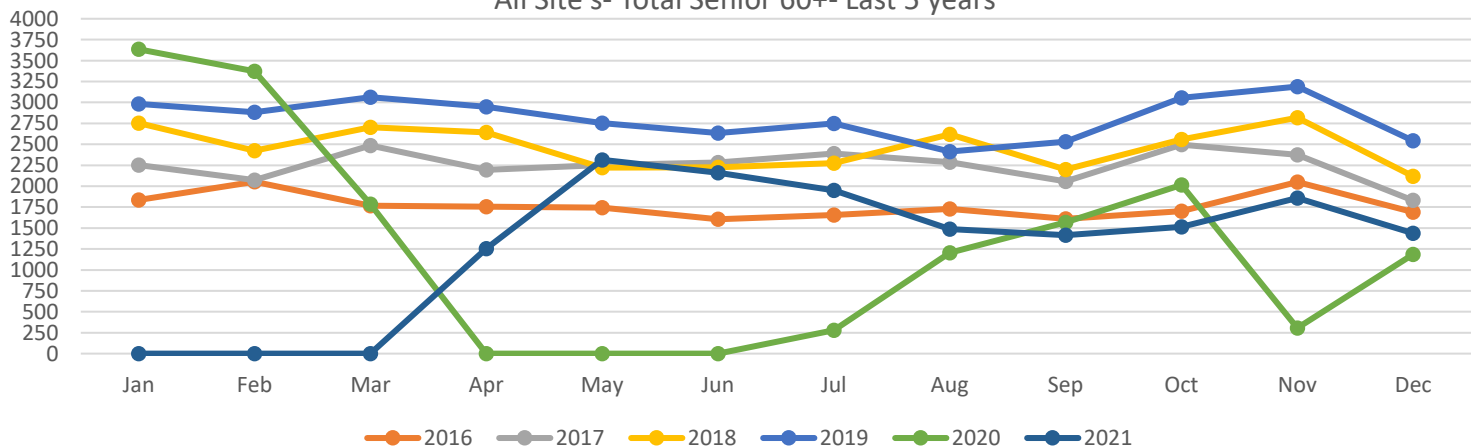


Gym participation – Seniors

This demographic is somewhat of a different trend when compared to the all gym users participation. Whilst in the table the performance for the Quarter 2 and 3 period seems positive, this isn't comparable with the increase in all gym user attendances. From September the attendance levels do not increase at the same rate as remaining attendances in total gym usage, this is something in the target users review identifies 60+ usage growth being slower than other age demographics. It's our belief that this may be a longer-term factor post pandemic, this is something that we are keen to look in Quarter 1 to provide a further 3 months usage to look at this further. The results below whilst show a year on year growth of 45 visits, the total attendance over 9 months is 15,396 visits which if we add on further 25% to make it comparable to the pre 2020 levels, the senior participation levels appear to off pace in comparison to the usage of 2017 to 2019, which is our target to exceed in the future years.

Total Seniors 60+ - All Sites	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	TOTAL	YR on YR	% change
2010	530	508	584	1099	878	873	1025	874	955	1060	1221	921	10528		
2011	1428	1393	1474	1136	1273	1349	1357	1405	1246	1409	1617	1204	16291	5763	54.7%
2012	1745	1590	1555	1252	1165	1244	1562	1337	1136	1320	1468	997	16371	80	0.5%
2013	1510	1504	1607	1529	1256	1075	1174	1207	1336	1588	1657	1126	16569	198	1.2%
2014	1870	1814	1733	1557	1877	1660	1761	1618	1815	1949	1803	1376	20833	4264	25.7%
2015	2129	1805	1917	1511	1356	1490	1647	1599	1349	1538	1770	1232	19343	-1490	-7.2%
2016	1834	2053	1767	1755	1744	1605	1657	1728	1611	1703	2048	1691	21196	1853	9.6%
2017	2254	2071	2485	2195	2252	2284	2389	2285	2058	2496	2374	1830	26973	5777	27.3%
2018	2755	2423	2705	2644	2220	2225	2275	2620	2200	2557	2818	2119	29561	2588	9.6%
2019	2984	2883	3063	2949	2752	2635	2750	2414	2530	3054	3190	2543	33747	4186	14.2%
2020	3635	3371	1786	0	0	0	279	1204	1568	2017	306	1185	15351	-18396	-54.5%
2021	0	0	0	1256	2315	2161	1952	1487	1415	1513	1859	1438	15396	45	0.3%
Average Pre 2020	1904	1785	1723	1602	1525	1495	1625	1663	1602	1850	1844	1475	21141		
Month by Month	-1185	0	0	1256	1059	-154	-209	-465	-72	98	346	-421			
Year on Year	-3635	-3371	-1786	1256	2315	2161	1673	283	-153	-504	1553	253			
% Change - YOY	#DIV/0!	#DIV/0!	#DIV/0!	100.0%	100.0%	100.0%	85.7%	19.0%	-10.8%	-33.3%	83.5%	17.6%			

All Site's- Total Senior 60+- Last 5 years

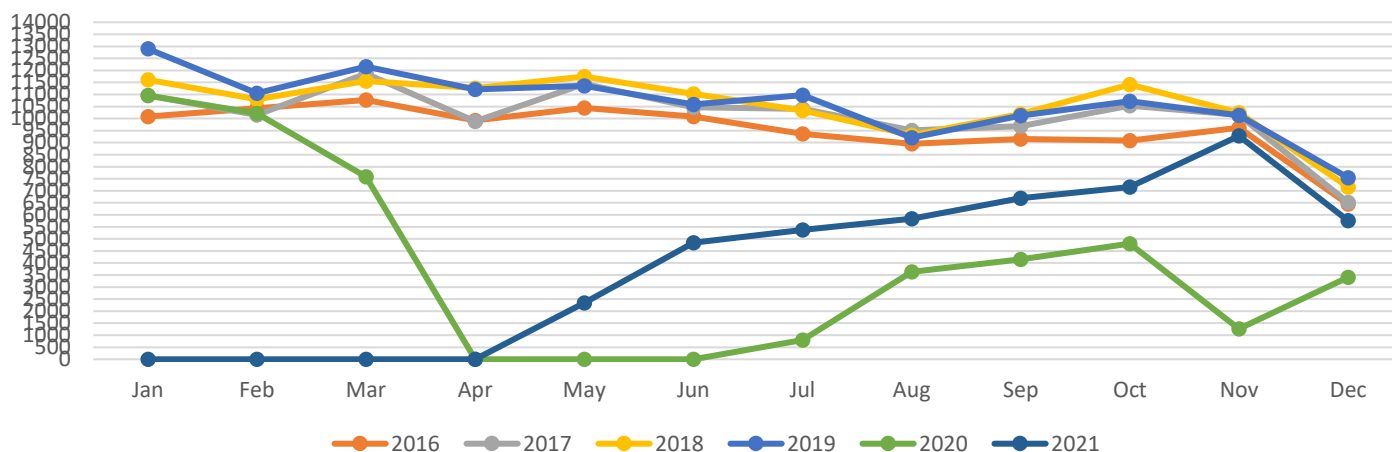


Group Exercise Participation

Year on Year the performance from 2020 to 2021 is positive, however not quite to the levels of growth seen in the gym or swimming attendances from a percentage level. It's worth noting that the 458 growth in 2021 compared to 2020 is a welcome. We see excellent growth number in comparison to the pre 2020 levels in November, December was impacted by customer confidence around the increase in Covid19 infections in the community.

TOTAL GEX Attendance - All Sites	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	TOTAL	YR on YR	% change
2010				5762	6726	6457	6233	5588	6918	7008	7081	3616	55389		
2011	7682	7623	8671	6345	7395	7956	7127	6448	7688	8209	8145	4486	87775	32386	58.5%
2012	9289	9183	9492	8301	9644	8348	9097	7265	7806	8593	7587	4126	98731	10956	12.5%
2013	8952	8066	8645	8851	8992	8759	8674	7137	8315	9051	7927	4926	98295	-436	-0.4%
2014	9759	9033	9602	8497	8566	9017	8738	6818	8668	8362	7849	5172	100081	1786	1.8%
2015	9512	8295	9663	7704	8605	8946	8322	7668	8891	8469	8710	5749	100534	453	0.5%
2016	10081	10426	10772	9921	10440	10080	9371	8949	9155	9089	9616	6446	114346	13812	13.7%
2017	10957	10149	11865	9877	11439	10464	10402	9508	9684	10537	10145	6513	121540	7194	6.3%
2018	11607	10806	11557	11264	11744	11029	10331	9315	10188	11408	10240	7163	126652	5112	4.2%
2019	12896	11048	12157	11211	11363	10590	10968	9201	10119	10721	10130	7545	127949	1297	1.0%
2020	10957	10222	7585	0	0	0	798	3628	4155	4804	1270	3409	46828	-81121	-63.4%
2021	0	0	0	0	2345	4838	5370	5843	6686	7163	9279	5762	47286	458	1.0%
Average Pre 2020	10082	8623	9092	7976	8629	8331	8187	7411	8189	8618	8165	5377	103129		
Month by Month	-3409	0	0	0	2345	2493	532	473	843	477	2116	-3517			
Year on Year	-10957	-10222	-7585	0	2345	4838	4572	2215	2531	2359	8009	2353			
% Change - YOY	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	100.0%	100.0%	85.1%	37.9%	37.9%	32.9%	86.3%	40.8%			

All sites - Last 5 years GEX



Overall review of customers being active and those customer's achieving 150mins per week in our centre

Using our Single Customer View system, we can track users at the end 2021 to highlight how many customers are actively using the centre's and achieving the 150 minutes metric of 30mins 5 times a week.

The tables below on the left side are the number of unique multi active users, customers using the centre 5 times a week for a 4 week period. This shows a good return in terms of the growth from 2020, where at the end of year we achieved 767 unique users achieving 5 times a week, to 2021 where this increase by 20.2%. Generally, the fluctuations with the percentage changes varying at a site by sites, aren't major causes of concern, given the factors mentioned before. Note the data below is an average over the year, to provide a comparable metric.

Age Profile (All)
 Month (All)
 segmentation 5 x 30mins

Average of units	Column Labels				
Row Labels	2017	2018	2019	2020	2021
Fanshawe Pool & Gym	125	106	104	54	83
Grange Paddocks Leisure Centre	437	448	530	302	434
Hartham Leisure Centre	451	419	430	262	239
Leventhorpe Pool & Gym	30	29	31	12	5
Ward Freman Pool	11	13	13	8	5
Total	1054	1015	1107	638	767

Age Profile (All)
 Month (All)
 segmentation 5 x 30mins

Sum of units	Column Labels				
Row Labels	2017	2018	2019	2020	2021
Fanshawe Pool & Gym	20.53%	-2.08%	-60.90%	53.48%	
Grange Paddocks Leisure Centre	44.49%	18.29%	-57.24%	43.78%	
Hartham Leisure Centre	31.21%	2.50%	-54.35%	-8.47%	
Leventhorpe Pool & Gym	39.68%	5.26%	-70.85%	-60.19%	
Ward Freman Pool	58.03%	2.95%	-54.78%	-35.92%	
Total	-3.68%	9.07%	-42.42%	20.23%	

This table shows the number of unique users that are using the centre's a minimum of once a week, conversely the pool of regular users is down from 2020 to 2021 reported levels being 5,321 in 2020 which is a 7.7% drop where in 2021 the level is 5,321. Given the challenges with the restrictions limiting capacities, Hartham pool closure which year on year sees a just under 438 users drop

off in the number of active users. Certainly, at Leventhorpe and Ward Freman we are looking into these numbers a little further and will be looking at use our Single Customer View system to improve our digital outreach to these users.

Age Profile	(All)	▼
Month	(All)	▼
segmentation	active users	▼

Age Profile	(All)	▼
Month	(All)	▼
segmentation	active users	▼

Average of units	Column Labels				
Row Labels	2017	2018	2019	2020	2021
Fanshawe Pool & Gym	1037	920	947	624	636
Grange Paddocks Leisure Centre	3101	3100	3603	2508	2631
Hartham Leisure Centre	3319	2943	3101	2174	1736
Leventhorpe Pool & Gym	472	462	473	289	206
Ward Freman Pool	235	227	246	171	112
Total	8165	7652	8370	5765	5321

Sum of units	Column Labels				
Row Labels	2017	2018	2019	2020	2021
Fanshawe Pool & Gym	25.15%	2.97%	-50.61%	1.99%	
Grange Paddocks Leisure Centre	41.14%	16.22%	-47.79%	4.88%	
Hartham Leisure Centre	25.17%	5.37%	-47.41%	-20.14%	
Leventhorpe Pool & Gym	38.20%	2.30%	-54.25%	-28.60%	
Ward Freman Pool	36.49%	8.50%	-48.10%	-34.28%	
Total	-6.3%	9.4%	-31.1%	-7.7%	

Target populations

In the tables below, we see in 2021 has been a positive recovery in terms of units and percentage increase for year on year attendance growth. As part of the Outcomes dashboard, we have used 2019 as a benchmark year, which has not had issues with redevelopments and challenges with operating in a pandemic climate. Given 2021 is based on 9 months' worth of trade and with the already highlighted challenges with restrictions and Hartham pool refurbishment delays, these comparison to the benchmark year on 2019 are significantly different. However, given that in January to March period our average attendance is 25,390 visits, with the pool closure and new grange paddocks kicking in 2022, we don't foresee this is to be longer problem, however it's a useful reference point for benchmarking attendances.

Gender balance

As highlighted, there is an increase from 2020 to 2021 in this area, with an increase in 19.93% for female users, which is more than males' users whom increase by 11.1%. This is something that we are continuing to look at historically we have seen more females use our centres than males. As per the comparison to the benchmarking levels in 2019 the general theme is these will be recovered in 2022.

						2021 compared to 2020		2021 compared to 2019	
Section - Attendance	Sub Section	Target	2019	2020	2021	YR on YR Variance	%	2021 v 2019 variance	%
Total Throughput	Total	1%	1043152	483389	538365	54976	11.37%	-504787	-48.39%
	Male	1%	445071	212942	236583	23641	11.10%	-208488	-46.84%
	Female	1%	372992	194380	233125	38745	19.93%	-139867	-37.50%

Young People

In terms of the benchmarking against the 2019 levels, this is an area where less activities generally took place with there being very limited capacities in family swimming and there only being core activities, this is something we have seen improve in quarter 4 the post restrictions ending. Whilst there is year on year growth from 2020 to 2021, we anticipate a return to pre-2020 levels in 2022, with there being no limits on capacities, new grange paddocks programming improving and Hartham pool reopening.

						2021 compared to 2020		2021 compared to 2019	
Section - Attendance	Sub Section	Target	2019	2020	2021	YR on YR Variance	%	2021 v 2019 variance	%
Young people throughput – 5-11 years by gender	Total	1%	182091	89937	91274	1337	1.49%	-90817	-49.87%
	Male	1%	92912	45350	46019	669	1.48%	-46893	-50.47%
	Female	1%	89115	44519	45186	667	1.50%	-43929	-49.29%
Young people throughput 12-16 years by gender	Total	1%	66683	22761	28808	6047	26.57%	-37875	-56.80%
	Male	1%	33472	10692	16311	5619	52.55%	-17161	-51.27%
	Female	1%	32919	11924	12497	573	4.81%	-20422	-62.04%
Young people throughput 17-24 years by gender	Total	1%	67865	38365	52214	13849	36.10%	-15651	-23.06%
	Male	1%	36875	22280	31675	9395	42.17%	-5200	-14.10%
	Female	1%	30853	15208	20381	5173	34.01%	-10472	-33.94%

Seniors

Year on year this demographic has seen a similar level of growth, with only 5.22% growth in the 50yrs age grouping, 60-70yrs age group seeing a 0.96% group year on year, the disappointment and something that will need a little investigation is the 70plus age group which is 6.14% drop in attendances. This is an area we are keen to monitor outside of pandemic waves; this seems to be a small trend at present in relation to the year on year levels, we believe the historical performance in 2019 will return with 12 months full trade. We have a theory that the pandemic has potentially had an impact on more older senior users in the age groups being put off using the centres as they are unlikely to have been using online fitness classes, they may have suffered from covid and a period of inactive recreates further barriers to participation. It's also worth noting that without the pool at Hartham we would expect these age bands to improve. In 2022 we have agreed to partner with HCC on a project called it's never too late, in bid to target this age group.

						2021 compared to 2020		2021 compared to 2019	
Section - Attendance	Sub Section	Target	2019	2020	2021	YR on YR Variance	%	2021 v 2019 variance	%
50-59 throughput by gender	Total	1%	114994	62318	65574	3256	5.22%	-49420	-42.98%
	Male	1%	47949	27742	29486	1744	6.29%	-18463	-38.51%
	Female	1%	67003	34561	36014	1453	4.20%	-30989	-46.25%
60-69 throughput by gender	Total	1%	68262	35155	35493	338	0.96%	-32769	-48.00%
	Male	1%	30488	16957	16370	-587	-3.46%	-14118	-46.31%
	Female	1%	37714	18162	19123	961	5.29%	-18591	-49.29%
70+ throughput by gender	Total	1%	46742	18398	17268	-1130	-6.14%	-29474	-63.06%
	Male	1%	21024	8091	7765	-326	-4.03%	-13259	-63.07%
	Female	1%	25709	10201	9449	-752	-7.37%	-16260	-63.25%

BAME groups participation levels –

As per the rest of the target group areas, BAME group participation levels are disappointingly down year on year, this down from 3,078 visits in total which is 16.44%, we are confident this will return of Hartham pool in which we would hope to this a difference and attendances return to 2019 levels.

Residents / Non-resident usage

We are seeing the 2021 percentage split of usage return to similar levels in 2019 where had 77.6% visits come from residents, with 2021 seeing 77.1% when compared 78.1% in 2020. It's not something we see as a concern and it's something that we believe the 2020 levels has been influenced by the impact of the covid restrictions with people staying local. Whilst the

performance of 2021 in terms of 77.1% of users being residents, this movement to around 77% is due to the investment in Grange Paddocks and the aquatic and fitness offering is attracting users from neighbouring areas outside of the East Herts boundaries.

Section - Attendance	Sub Section	Target	2019	2020	2021	2021 compared to 2020		2021 compared to 2019	
						YR on YR Variance	%	2021 v 2019 variance	%
Black and Minority Ethnic (BAME) men and women throughput	Total	1%	42250	18721	15643	-3078	-16.44%	-26607	-62.98%
	Male	1%	19897	8988	7290	-1698	-18.89%	-12607	-63.36%
	Female	1%	22516	9221	8047	-1174	-12.73%	-14469	-64.26%
Residents v non-residents		2%	77.6%	78.6%	77.1%	-1.472%	-1.87%	-0.005	-0.63%

Membership Information

New Membership Sales

2021 has seen a major shift in the performance with 2021 seeing [REDACTED] new sales, compared to [REDACTED] in 2020 and [REDACTED] in 2019. Whilst the benchmark year in 2019 is higher than the 2020 level, there are signs of the impact project delays on Hartham with 2021 seeing [REDACTED] new sales compared to 2019 which was [REDACTED]. Similarly, there are lower levels of new sales performance in the dual use sites of Fanshawe and Leventhorpe, where there is a little more of a challenge to return to the pre pandemic levels seen in 2019. Grange Paddocks which saw [REDACTED] new sales which in 9 months trade is massive in comparison to 2020 and 2019 level, overall this is 45% increase from new sales units in comparison the total Grange Paddocks sales in 2019 and in comparison, to 2020 is a 232% increase.

Q1, to 2020 is a 202 % increase.

2021	Q1	Q2	Q3	Q4	YR	Q1	Q2	Q3	Q4	YR End
FAN										
GPP										
HAR										
LEV										
WFR										
TOTAL										
2020	Q1	Q2	Q3	Q4	YR	Q1	Q2	Q3	Q4	YR End
FAN										
GPP										
HAR										
LEV										
WFR										
TOTAL										
2019	Q1	Q2	Q3	Q4	YR					
FAN										
GPP										
HAR										
LEV										
WFR										
TOTAL										

Fitness Membership Attrition

Having had an awful year in 2020 where attrition on our membership scheme was hugely impact by the pandemic, which resulted in a loss of 30% of our membership, 2021 is a welcome return to good levels of attrition. In total we see the 2021 levels finish the year on an average of [REDACTED] and majority of sites achieve below [REDACTED] which is a welcome improvement from 2020 performance of [REDACTED]

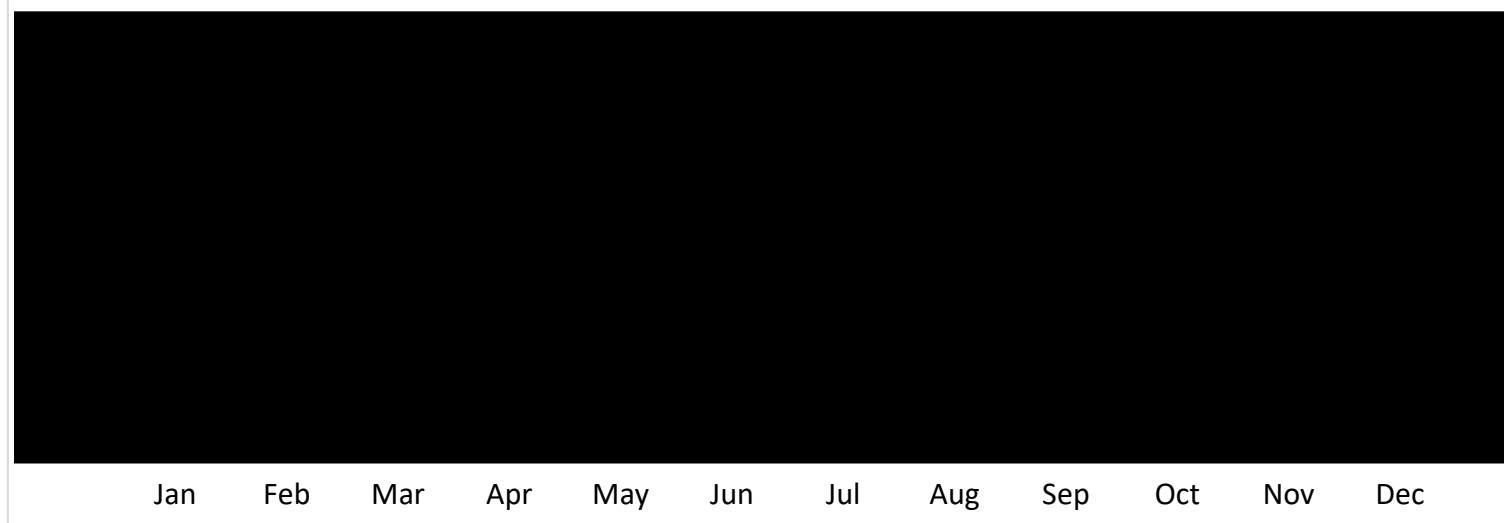
2021	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	
FAN													
GPP													
HAR													
LEV													
WFR													
TOTAL													
2020	Jan-20	Feb-20	Mar-20	Apr-20	May-20	Jun-20	Jul-20	Aug-20	Sep-20	Oct-20	Nov-20	Dec-20	
FAN													
GPP													
HAR													
LEV													
WFR													
TOTAL													
2019	Jan-19	Jan-19	Jan-19	Jan-19	Jan-19	Jan-19	Jan-19	Jan-19	Jan-19	Jan-19	Jan-19	Jan-19	Jan-19
FAN													
GPP													
HAR													
LEV													
WFR													
TOTAL													
2021	Q1	Q2	Q3	Q4		Q1	Q2	Q3	Q4				
FAN													
GPP													
HAR													
LEV													
WFR													
TOTAL													
2020													
FAN													
GPP													
HAR													
LEV													
WFR													
TOTAL													

Fitness membership numbers

As the new membership sales and attrition levels show there is a significant growth in membership totals, with the total membership levels at the end of December 21 being [REDACTED] members compared to [REDACTED] members in December 2020. We have had generally a good recovery at Fanshawe moving from [REDACTED] in December 20, compared to 2021 where this is [REDACTED]. Leventhorpe hasn't seen the same membership recovery and this is something we are seeing from a fitness perspective at Leventhorpe. Hartham we have seen a flat line performance with there being a small 2% decline from January to December 21, it's our perception this is influenced by the pool closure, which given the mini gym refurbishment in January 22 and pool reopening will be something we foresee improving. Equally whilst the 2021 performance has been promising, at the end of 2021, [REDACTED] members is still a distance away from the pre pandemic levels in January 2020 which we had [REDACTED]. Granted with a promising start to January 22, we would hope to see this total exceed this level by end of January 22.

2021	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21
FAN												
GPP												
HAR												
LEV												
WFR												
TOTAL												
2020												
FAN												
GPP												
HAR												
LEV												
WFR												
TOTAL												

Total Everyone Active - Membership YR on YR



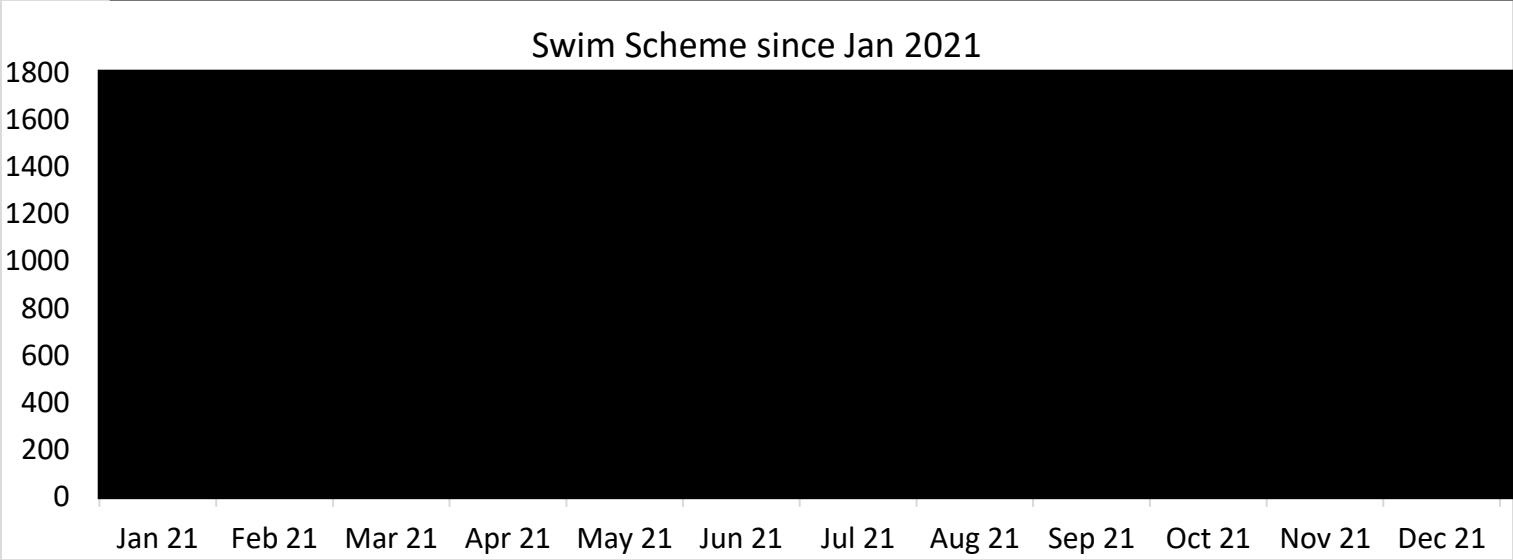
Jan Feb Mar Apr May Jun Jul Aug Sep Oct Nov Dec

Learn to swim school user total

In 2020 the learn to swim scheme saw losses in total swimmers of around 30%, with Fanshawe seeing a 45% loss in scheme numbers. With Swimming Lessons returning to all pools except for Hartham. As mentioned previously the scheme at Hartham currently has ■■■ users, although there is a perception that this will be significantly lower when the scheme restarts, due to swimmers moving into other swim schools.

We have a 29.4% recovery from 2020 level to 2021, with there being ■■■ swimmers on the learn to swim programme although this could be less at Hartham. Typically we have had a 53% increase in swimmers on our learn to swim scheme, year on year recovery at Fanshawe, which in comparison to the pre pandemic levels is currently only ■ swimmer short of the February 2020 levels, similar in terms of year on year growth and comparison to pre pandemic levels, Leventhorpe scheme has grown by 34% in the last 12 months and is ■ short of the recovery levels. Ward Freman scheme grew by 37% in the last 12 months and is ■ shorts. The greatest performance coming from Grange Paddocks which grew from ■ swimmers in January 21 to ■ swimmers at the end of December

2021	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	
FAN													
GPP													
HAR													
LEV													
WFR													
TOTAL													
2020													
FAN													
GPP													
HAR													
LEV													
WFR													
TOTAL													
2019													
FAN													
GPP													
HAR													
LEV													
WFR													
TOTAL													

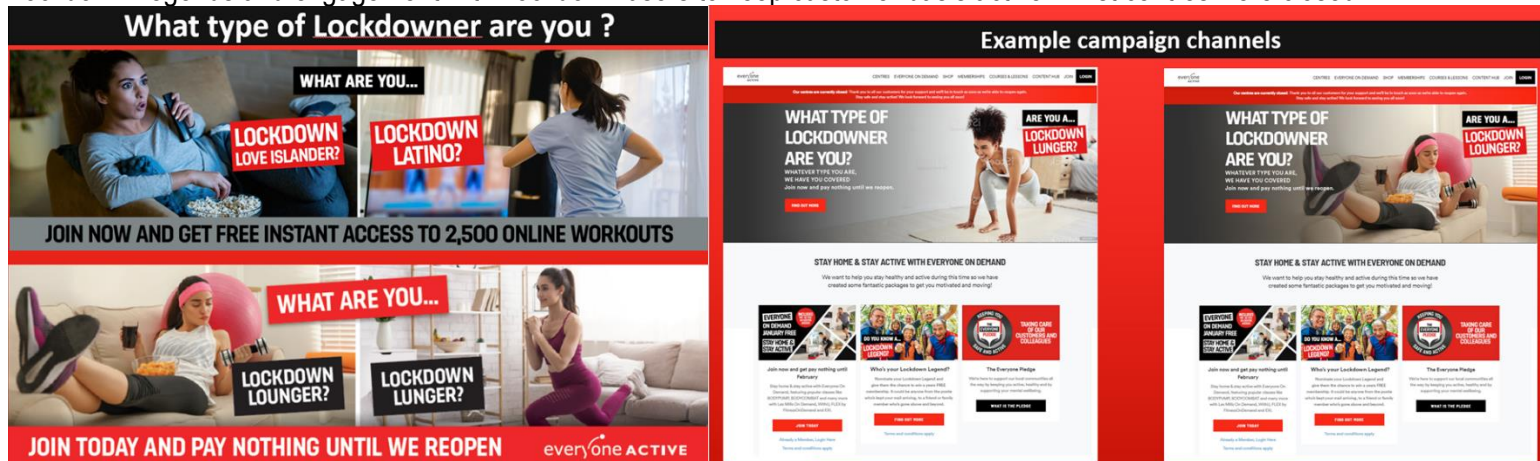


Marketing and promotions

Campaigns and Press Releases

January to March

Lockdown Legends and engagement with Lockdown users to keep customer basis active whilst centres were closed



Lockdown Legends -

Social media and PR campaign to recognise the lockdown legends in our community and offer them a free membership. In East Herts there were several Doctors and Nurse that were offer free memberships as recognition to them being our community's local winners.



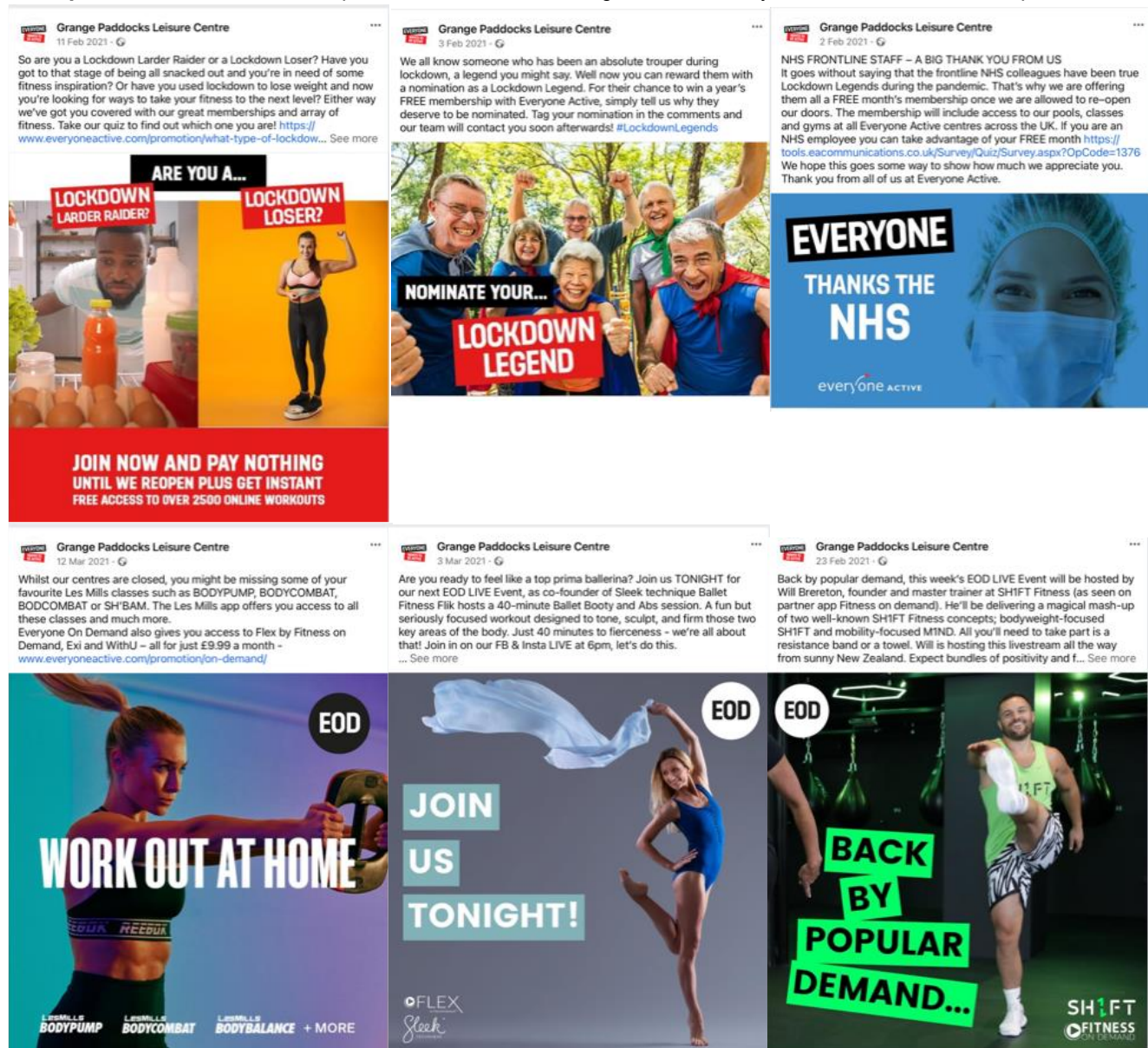
NHS FRONTLINE STAFF – A BIG THANK YOU FROM US

It goes without saying that the frontline NHS colleagues have been true Lockdown Legends during the pandemic. That's why we are offering them all a FREE months membership once we are allowed to reopen our doors. The membership will include access to our pools, classes and gyms at all Everyone Active Centres across the UK. If you are an NHS employees and would like to take advantage of your FREE month please [CLICK HERE](#). We hope that this goes some way to show how much we appreciate you. Thank you from all of us at Everyone Active.

Accessibility



Example of social media of the promotion for lockdown legends and Everyone Active on Demand options



April to May Reopening of Centres

Press release sent regarding reopening

Press releases sent regarding the Hartham pool programme

Visual of reopening campaigns



Article in BIS regarding group at Grange Paddocks

Grange Paddocks Leisure Centre is at Grange Paddocks Leisure Centre. 17 Sep 2021 · Bishops Stortford · 📍

We were really pleased to host such a great event on Sunday swimming 🏊 for 10 children from Northgate Primary School.

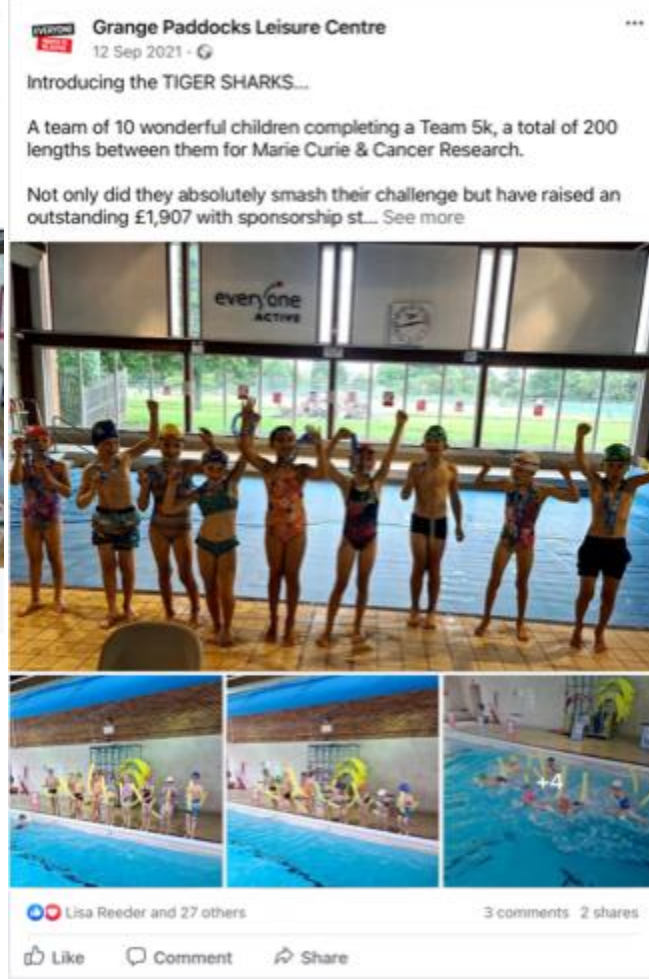
The Tiger 🐅 Sharks 🦈 5km event raise funds for Marie Claire & Cancer Research UK 🐟 Everyone Active [Bishop's Stortford Independent](#)



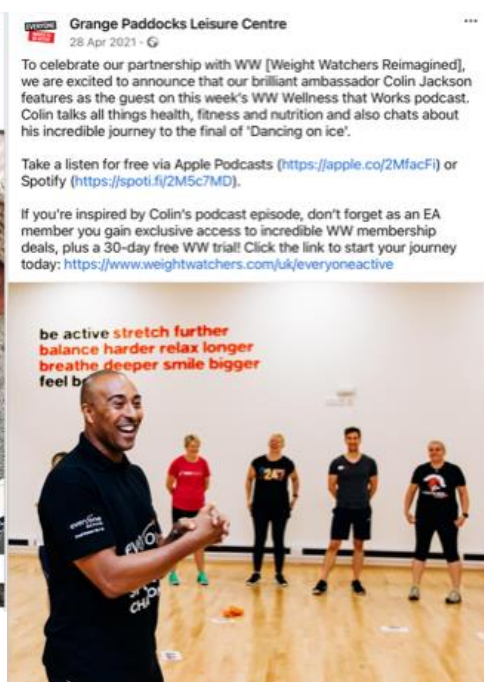
School's 'Tiger Sharks' sponsored swimmers smash their targets

 Lisa Reeder and 9 others

1 Comment



Live workouts on our Facebook pages, corporate link up with Weight Watchers UK and promotion for our partnership with Saracen's Mavericks and Birchwood High School – for Netball master camps. Along with promotion of Dementia UK and Walking Netball trial at Hartham



Grange Paddocks Leisure Centre
24 Apr 2021 · 🌐

As part of our partnership with WW [Weight Watchers Reimagined], we gave four WW members fitness journeys to remember with our resident superstar trainer Jo Hancock. Listen to just how incredible it's made them all feel both physically and mentally.

Stay tuned for more updates from these fighting fit members, as we follow their fitness journeys over the next... See more



Everyone Active has joined forces with **WW** to make 2021 your **BEST YEAR YET!**

Grange Paddocks Leisure Centre is at Grange Paddocks Leisure Centre.
15 Apr 2021 · Bishops Stortford · 🌐

Junior Parkrun is back at Grange Paddocks 🏃, 🏃, Every Sunday 9am start

Grange Paddocks junior parkrun website is [grangepaddocks-juniors](https://grangepaddocks-juniors.org.uk)



JOIN THE JUNIOR PARKRUN FAMILY
WALK, JOG, RUN, VOLUNTEER
or simply come and watch - it's up to you!

FAMILY-FRIENDLY 2K EVENTS	FOR 4-14 YEAR OLDS
Every Sunday morning	Adults can join in with the kids too!
EVERYONE WELCOME Walk, jog, run, hop, skip or jump - it's up to you!	FREE & EASY TO TAKE PART No special kit needed - wear whatever you like
HAVE FUN BEING ACTIVE Share high fives and big smiles!	MAKE FRIENDS Meet lots of new people
LEARN NEW SKILLS Kids can volunteer in lots of roles	FEEL HAPPY AND PROUD Try your best and celebrate your achievements

"We all do it together as a family. The volunteers are really nice. It's fun and you can watch if you want to!"

Grange Paddocks Leisure Centre
17 May 2021 · 🌐

We are supporting Dementia Action Week [Santander UK](https://www.alzheimer's.org.uk/talking-point)
For advice [www.alzheimer's.org.uk/talking point](https://www.alzheimer's.org.uk/talking-point)



My wife has dementia I'm forgetting who I am

Without support, a dementia diagnosis claims more than one life. Sign the petition to reform social care.

Search: Cure the Care System

Alzheimer's Society Dementia Action Week
Supported by  

Hartham Leisure Centre
12 May 2021 · 🌐

Walking Netball 🏐 Coming to Hartham LC

To register interest
Email: neilgilmore@everyoneactive.com

WALKING NETBALL

Day: Mondays (starts 7th June) ▶
Time: 10-11am ▶
Venue: Hartham Leisure Centre ▶
Hertford SG14 1QR ▶
Contact Details: NeilGilmore@everyoneactive.com ▶
Price: £4 ▶



June to August

Press Release regarding Armed Forces Day and offering free session for serving Armed Forces

Press Release regarding Save a child's life in August

Press Release regarding return of Grange Paddock's disability swimming session

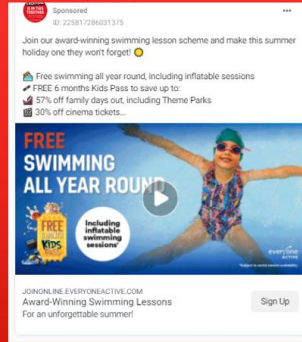
Promotion on swimming

Swimming lessons

- Ongoing
- Channels – Homepage, paid for digital, ecomms

Offers

- Free kids pass



Promotion of the new Grange Paddocks – note the opening dates are incorrect on the documents below as these dates altered.

Grange Paddocks

- Opening 2nd October
- Channels – Centre page, Paid for digital, ecomms, media
- Landing page



EVERYONE

everyone
ACTIVE

Social media examples of:

Netball camp partnership, breeze ride session and training locally, Save a life series, Swim for care sponsored swim for Isobel Hospice, Green Travel promotion and training opportunities locally

Grange Paddocks Leisure Centre is at Birchwood High School.
27 Jul 2021 · Bishops Stortford ·

Saracens Mavericks Netball Camps
This August
School Years 5 to 9
Book now to avoid disappointment
<https://netballcamps.saracens.com/list/events>

DATE	TYPE	VENUE
28th - 29th July	3 Day Junior Camp	Herts Sports Village
28th July	1 Day Mini Camp	Herts Sports Village
29th - 30th July	2 Day Senior Camp	Herts Sports Village
30th - 10th August	2 Day Senior Camp	Birchwood High School
10th August	1 Day Junior Camp	Birchwood High School
23rd - 24th August	2 Day Junior Camp	Herts Sports Village
25th August	1 Day Mini Camp	Heath Mount School
25th August	1 Day Junior Camp	Heath Mount School
25th - 26th August	2 Day Senior Camp	Herts Sports Village

Camps run from 10:00am to 3:00pm and are priced at £39.95 (1 Day) or £69.95 (2 Days) or £99.95 (3 Days)

For more information and to book, visit www.saracensmavericks.co.uk/Community/Netball/Netball-Camps

Grange Paddocks Leisure Centre is at Grange Paddocks Leisure Centre.
20 Jul 2021 · Bishops Stortford ·

Saracens Mavericks Netball Camps
This August
School Years 5 to 9
Book now to avoid disappointment
<https://netballcamps.saracens.com/list/events>

SARACENS Mavericks
Summer Netball Camps
Birchwood High School,
Bishops Stortford
2 Day Senior Camp (School Year 7-9)
Monday 9th & Tuesday 10th August 2021
£69.95
1 Day Junior Camp (School Year 5-6)
Wednesday 11th August 2021
£39.95
Book here: <https://bit.ly/CommunityMavericks>

Grange Paddocks Leisure Centre
18 Aug 2021 · 🌐

CALLING ALL CYCLISTS 🚴
Become a Breeze Champion & lead fun and friendly bike rides for women in East Herts area.

Benefits include FREE Ride leader training, FREE branded kit, and access to a supportive network.

Become a Breeze Champion by booking into the Ride Leadership Award Course at Birchwood High School on 25/09/2021
www.britishcycling.org.uk/events/course/details/6474



"It's so rewarding to see women grow in fitness and confidence. I often hear how HSBC UK Breeze has changed their lives."

Become a Breeze Champion
25th September
Birchwood High School



letsride.co.uk/beachampion

Grange Paddocks Leisure Centre
1 Aug 2021 · 🌐

EVERYONE IS FAMILY

FREE family activity plans and fantastic prizes to giveaway! 🎁

We've created four separate week-long activity plans to suit all your family needs. Each week you can decide which activities would most suit you and create your own weekly activity plan!

Not only that, but by taking part – you can WIN a bundle of prizes along the way, including a family membership worth OVER £600!

Our activity plans include indoor and outdoor sports, exercise for all the family and recipes from celebrity chef Jonny Marsh.

Sign-up NOW: <https://www.everyoneactive.com/promotion/everyone-is-family/>



WITH US EVERYONE IS FAMILY

Hartham Leisure Centre
24 Aug 2021 · 🌐

We still have a few spaces available for the save a baby life workshop tomorrow at 11:30

If you would like to attend please email hollieburke@everyoneactive.com

Hartham Leisure Centre
28 Jul 2021 · 🌐

Did you know in the UK 77% of people either don't know or are unsure of how to perform CPR. 1 in 3 people wouldn't know how to help (or maybe save) someone... See more



Save a Baby's Life Workshop

Would you know what to do if a baby stopped breathing?

The Royal Life Saving Society (RLSS) 'Save a Baby's Life' workshops aim to teach basic emergency skills to anyone who cares for a baby.

You will learn:

- Infant Life Support (CPR)
- Infant choking (diagnosis and treatment)
- Infant drowning (diagnosis and treatment)

A FREE Save a Baby's Life workshop is taking place:

Where: Hartham Pavilion
Address: Hartham Common, Harford SG14 3DB
Date: 29/08/21 Time: 11:30 Contact: hollieburke@everyoneactive.com

To find out more about Save a Baby's Life: trial:info/rlss.org.uk

Grange Paddocks Leisure Centre
31 Aug 2021 · 🌐



Isabel
Together we care

CARE FOR A SWIM

Swim indoor, outdoor, in the sea or wild – a brand new virtual swimming challenge. Just choose your start date and aim to complete it in 8 weeks.

- Choose when, where and how far you swim
- Free Isabel branded swim hat for everyone who signs up
- Bespoke medal and Team Isabel t-shirt for every swimmer who raises over £250



For more information or to sign up, simply scan the QR code with your phone

Neil Gilmore and 2 others

Like Comment Share

Grange Paddocks Leisure Centre is at Grange Paddocks Leisure Centre.
24 Aug 2021 · Bishops Stortford · 🌐

Here at Everyone Active, we strive to reduce our carbon footprint, including the impact travel and transport has on the environment.

Please help us by thinking about the different ways you could travel more sustainably to site

<https://www.everyoneactive.com/news/green-travel-plan/>



EVERYONE NEEDS TO DO THEIR BIT

GREEN TRAVEL PLAN

Here at Everyone Active, we strive to reduce our carbon footprint, including the impact travel and transport has on the environment.

We would like to encourage our customers to use alternatives to the car including car sharing, public transport, cycling and walking when they come to our centres. This is to encourage the use of more environmentally friendly and healthier modes of transport for our community.

If you live close to our centre, you could walk or cycle, it will contribute towards your recommended 5 x 30 minutes of activity per week. It's also an excellent way to tone up.

If you have to come by car, why not try and share your journey with a friend, enjoy workouts and activities together as well as saving on fuel costs.

To find train, bus and other travel times and routes to the centre, please click on www.everyoneactive.com

1. Locate your centre
2. Then click on [View in Google](#)
3. Clicking on the directions button will take you to:
4. Choose your method of transport and time and you'll be shown the way to our centres.

Grange Paddocks Leisure Centre
24 Aug 2021 · 🌐

Kickstart your career in Leisure with Everyone Active. We are offering over 400 placements nationwide for anyone between 16 and 24 years old currently on Universal Credit. Apply now! <https://www.everyoneactive.com/about-us/careers/kickstart/>



KICKSTART YOUR CAREER IN LEISURE

400 PLACES APPLY NOW

If you are aged 16-24 and currently receiving universal credit, you can apply for a 6-month placement with Everyone Active.

PLACES AVAILABLE NATIONWIDE

www.everyoneactive.com/kickstart

everyone ACTIVE

September

Press Release on National Fitness Day

Press Release on Progress of new Grange Paddocks and pool being filled

Press Release on Macmillan coffee morning at Grange Paddocks

Social Media Examples of promotion of swim teacher training opportunities in East Herts and sneaky peaks of which there were 28 individual posts in the run up to the opening of the new Grange Paddocks

Grange Paddocks Leisure Centre
18 Oct 2021 · G

•• WE OPEN OUR BRAND NEW CENTRE THIS WEEK ••

All be it not until Saturday but the excitement is taking over, after all...
It's not long to WEIGHT now (see what we did there 😊)

Check out just some of our new squat racks with the added bonus of a nice view too 😊

Pretty aren't they? 😊

📅 OPEN DAY - THIS SATURDAY 23RD OCTOBER 📅

🕒 5 DAYS TO GO 🕒

#newgrangepaddocks #grangepaddockslc #bishopsstortford #leisurecentre #everyone #everyoneactive #everyoneiswelcome #openday #notlong #notlongnow #monday #sneakpeek #fitness #gym #gymlife #squat #squatrack #glutes #feeltheburn #deadlift #countdown #countdownison #colours #view #weights



•• SATURDAY SOLAR SNEAK PEEK ••

Seeing as the sun is shining today, this feels like an appropriate post 😊

This may not seem like an exciting sneak peek but we want to show you how we are becoming greener and more energy efficient in our new Grange Paddocks, something we don't have in the existing centre!! 🌱

In another exciting news....

🎉🎉 OUR BRAND NEW CENTRE OPENS EXACTLY 2 WEEKS TODAY 🎉🎉

The 2 week countdown is on!

🕒 14 DAYS TO GO 🕒

#saturday #sneakpeek #solarpower #solarenergy #Solar #energyefficiency #leisurecentre #grangepaddockslc #BrandNew #sunnysaturday #2weekstogo #countdown #excitingnews #excitingtimes



Grange Paddocks Leisure Centre
6 Oct 2021 · G

It's currently all go at Grange Paddocks meaning today's sneak peek is a little later than planned, with a busy week still ahead we were hoping that excitement can come from YOU today 😊

Everyone needs a little mid week Wednesday excitement so we want to hear from you, our amazing followers and members 📢

What's the area/part of the new centre you're looking forward to the most??

Get commenting below 🗨️🗨️🗨️ We can't wait to see your answers 😊

THE EXTERIOR TO THE NEW CENTRE IS INCREDIBLE AND WE CAN'T WAIT TO WALK IN THERE ON SATURDAY 23RD OCTOBER 📅

🕒 17 DAYS TO GO 🕒

#sneakpeek #newbuild #exterior #Countdown #notlongnow #excitement #comment #grangepaddockslc



Hartham Leisure Centre
15 Sep 2021 · G

Have you ever been sat on poolside watching your child's swimming lesson thinking 'I'd be good at that' 😊

We want to hear from you!

If you've been dreaming of a fun and rewarding career change or are already qualified as a level two swimming teacher please get in touch hollieburke@everyoneactive.com



Grange Paddocks Leisure Centre
28 Sep 2021 · G

We have some FANTASTIC news for you all....

📅 SAVE THE DATE 📅

Time to get excited because the BRAND NEW GRANGE PADDOCKS is opening on Saturday 23rd October 2021 & we couldn't be more excited to welcome you into our incredible new cen... See more

New Grange Paddocks Opening

EVERYONE IS EXCITED

Open Day - 23rd October 2021

October

Press Release on opening of new Grange Paddocks

Media coverage on preview of new Grange Paddocks

https://issuu.com/aaron-axispublications.co/docs/axis_november_2021_issue

Media coverage nationally on opening of new Grange Paddocks

https://issuu.com/aaron-axispublications.co/docs/axis_november_2021_issue

BIS

<https://www.bishopsstortfordindependent.co.uk/news/opening-date-set-for-new-grange-paddocks-leisure-centre-9218104/>

<https://www.bishopsstortfordindependent.co.uk/news/dive-in-and-discover-the-new-grange-paddocks-leisure-centre-9222262/>

<https://www.bishopsstortfordindependent.co.uk/news/grange-paddocks-project-is-going-swimmingly-9217010/>

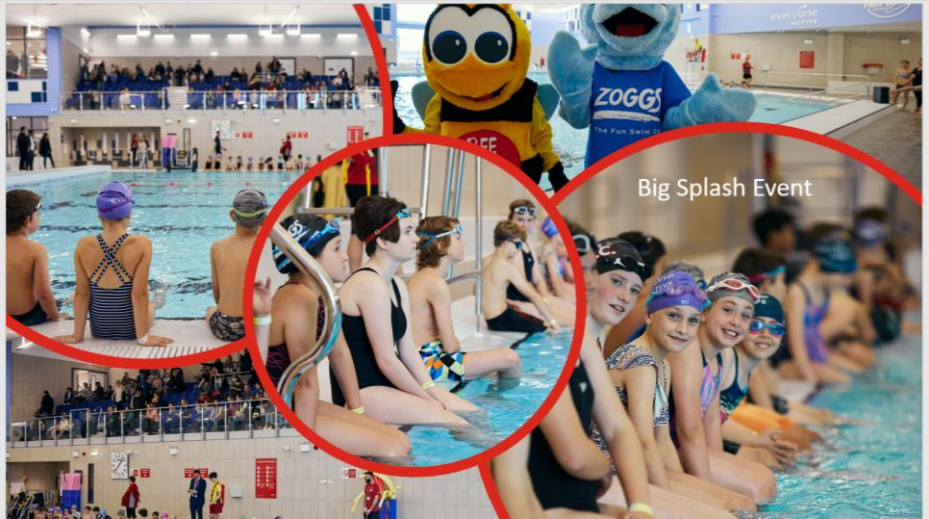
Grange Paddocks opening -Images from presentation on launch day



Images from launch and official opening



Images from presentation on Big Splash Event which part on the opening weekend.





Images from opening day – Freestyle footballer Jamie Knight



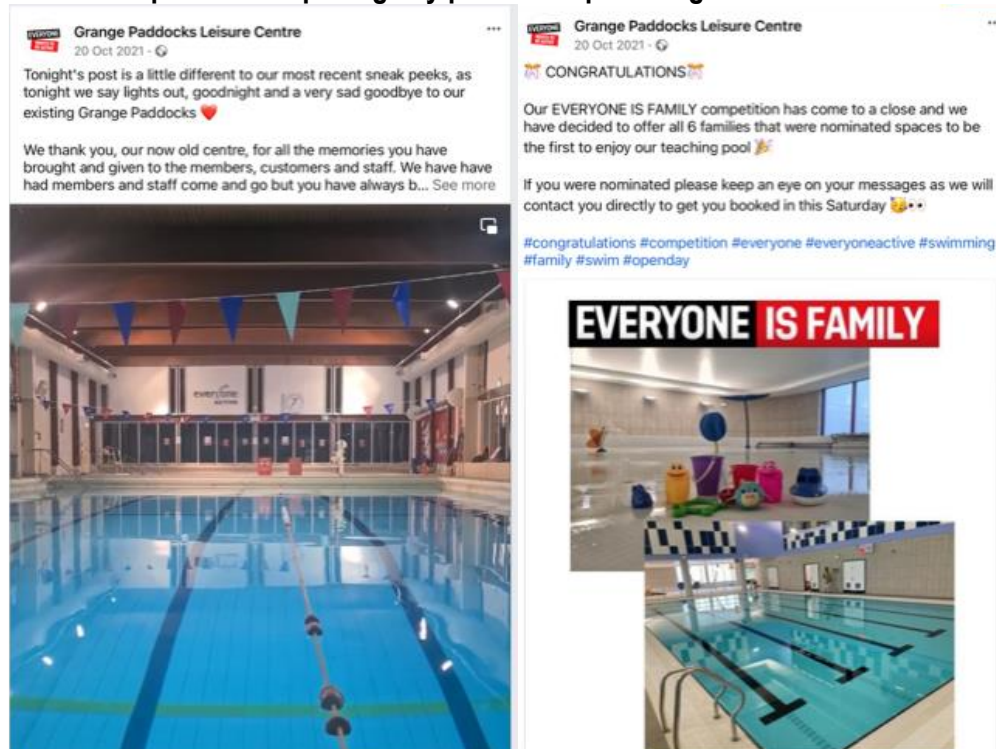
Meet the Olympians



Images of the Everyone is Family event



Example of social media: Last post regarding closure of old Grange Paddocks and promotion of the Everyone is Family element as part of the opening day promotion providing



Examples of social media – Holiday camps and Santa Dash

[Home](#) [About](#) [Photos](#) [Reviews](#) [Videos](#) [Events](#) [Posts](#)

Grange Paddocks Leisure Centre is at Grange Paddocks Leisure Centre.

10 Dec 2021 · Bishops Stortford · 📍

❄️ Winter HAPPY Camps 🎉

🔴 Places limited 🔴

📺 To book link below 📘
<http://sportinherts.org.uk/happy/booking>

📌 Grange Paddocks LC

👤 8-11 year olds

📅 22 & 23 Dec
📅 27/28/29/30 Dec
📅 3 & 4 Jan

🔴 Camps are FREE to children in receipt of benefits related free school meals 🔴

[Home](#)
[About](#)
[Photos](#)
[Reviews](#)
[Videos](#)
[Events](#)
[Posts](#)


Grange Paddocks Leisure Centre
19 Nov 2021 - 📍

We are happy to host & support the Annual Santa 🧑🏻🦋 Dash & Reindeer Run 🏃, on Saturday 4th December 📅 1k & 5k routes
A great festive 🎄 event organised by [Grove Cottage Bishop's Stortford](#)
[Mencap Alison Cameron](#) [Mencap Bishop's Stortford Independent](#)
[Everyone Active](#) 🌲
To join the festive fun 🧑🏻🦋
Contact: events@mencapgrovecottage.org



Santa Dash & Reindeer Run
Saturday 4th December 2021
Grange Paddocks, Rye Street, Bishop's Stortford, CM23 2HH.

- 1K & 5K routes
- 10.45am warm up, 11am start for both routes

[Entrants can run, jog, skip or walk either of the routes.](#)

Santa Entry (13 years and over) **£12** including Santa Suit
Reindeer Entry (12 years and under) **£6** including Reindeer antlers and medal
To register please visit our website www.mencapgrovecottage.org
For any queries please email events@mencapgrovecottage.org
All proceeds to [Grove Cottage](#)



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East Herts Council Report

Audit and Governance Committee

Date of Meeting: 5 April 2022

Report by: Steven Linnett, Head of Strategic Finance & Property

**Report title: Approval of the Annual Governance Statement
2020/21**

Ward(s) affected: All

Summary

The Accounts and Audit Regulations 2015 require that all authorities conduct a review of the effectiveness of the system of internal controls and prepare an Annual Governance Statement each year. The Annual Governance Statement must be considered separately from the Statement of Accounts.

RECOMMENDATIONS FOR AUDIT & GOVERNANCE COMMITTEE:

- (a) That Members approve the Annual Governance Statement for 2020/21.**

1.0 Proposal(s)

- 1.1 That Members approve the Annual Governance Statement (AGS) for 2020/21.

2.0 Background

- 2.1 The Council is responsible for preparing and publishing its Annual Governance Statement in accordance with the Chartered Institute of Public Finance & Accountancy (CIPFA) and the Society of Local Authority Chief Executive and Senior Managers (SoLACE) framework.
- 2.2 This fulfils the statutory requirement that local authorities review their governance arrangements at least once a year.
- 2.3 The Delivering Good Governance in Local Government

Framework requires local authorities to be responsible for ensuring that:

- (a) their business is conducted in accordance with all relevant laws and regulations;
- (b) public money is safeguarded, properly accounted for and used economically, efficiently and effectively;
- (c) there is clear accountability for the use of those resources in order to achieve desired outcomes for service users and communities.

2.4 The annual governance statement acts as a vehicle for the review of the Council's governance arrangements. The review should be reported both internally within the Council, to the Audit and Governance Committee and externally within the published accounts to provide assurances that:

- (a) Governance arrangements are adequate and operating effectively in practice or
- (b) Where reviews of the governance arrangements have revealed gaps, action is planned that will ensure effective governance in the future

2.5 The process of preparing the governance statement should itself add value to the corporate governance and internal controls framework of the Council.

2.6 It is important to recognise that the governance statement covers all significant corporate systems, processes and controls for all of the Council's activities.

2.7 The draft Annual Governance Statement was considered by the Committee at its meeting on 29 July 2021. The AGS for approval is attached as **Appendix A**.

3.0 Reason(s)

3.1 As part of a framework of good governance, it is important that management and Members can demonstrate that governance issues are acted upon and the implementation of recommendations is monitored.

4.0 Options

- 4.1 Members can approve the AGS which they considered in draft on 29 July 2021 and has been amended as suggested at that meeting.

5.0 Risks

- 5.1 The timely implementation of governance recommendations will reduce the risks to the Council.

6.0 Implications/Consultations

- 6.1 Leadership Team was consulted on the draft AGS and have provided confirmation that appropriate controls have been in place in their service areas throughout the year.

Community Safety

No

Data Protection

Part of the AGS is to consider how effectively the council is meeting its duties in relation to data protection.

Equalities

Part of the AGS is to consider how effectively the council is meeting its duties in relation to equalities.

Environmental Sustainability

No

Financial

Part of the AGS is to consider how effectively the council is meeting its duties in relation to financial control, budgeting and medium term resource planning.

Health and Safety

Part of the AGS is to consider how effectively the council is meeting its duties in relation to health and safety.

Human Resources

Part of the AGS is to consider how the council's officers and members behave ethically and also how the council plans its workforce over the medium term

Human Rights

No

Legal

The Accounts and Audit Regulations 2015 stipulate that all authorities must conduct a review of the effectiveness of the system of internal control and prepare an Annual Governance Statement each financial year.

Part of the AGS specifically considers how the council complies with the law.

Specific Wards

No

7.0 Background papers, appendices and other relevant material

Appendix A – Annual Governance Statement 2020/21

Contact Member

Councillor Geoffrey Williamson, Executive Member for Financial Sustainability geoff.williamson@eastherts.gov.uk

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Annual Governance Statement 2020/21



1. Scope of Responsibility

East Herts Council is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively. East Herts Council also has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.

In discharging this overall responsibility, East Herts Council is responsible for ensuring arrangements are in place for the good governance of its affairs, facilitating the effective exercise of its functions, and which includes arrangements for the management of risk.

East Herts Council has approved and adopted a Code of Corporate Governance which is consistent with the principles of the CIPFA/SOLACE Framework Delivering Good Governance in Local Government 2016.

This statement explains how East Herts Council has complied with the Code and also meets the requirements of Regulation 6 of the Accounts and Audit (England) Regulations 2015 in relation to the publication of a statement on internal control.

2. The Purpose of the Governance Framework

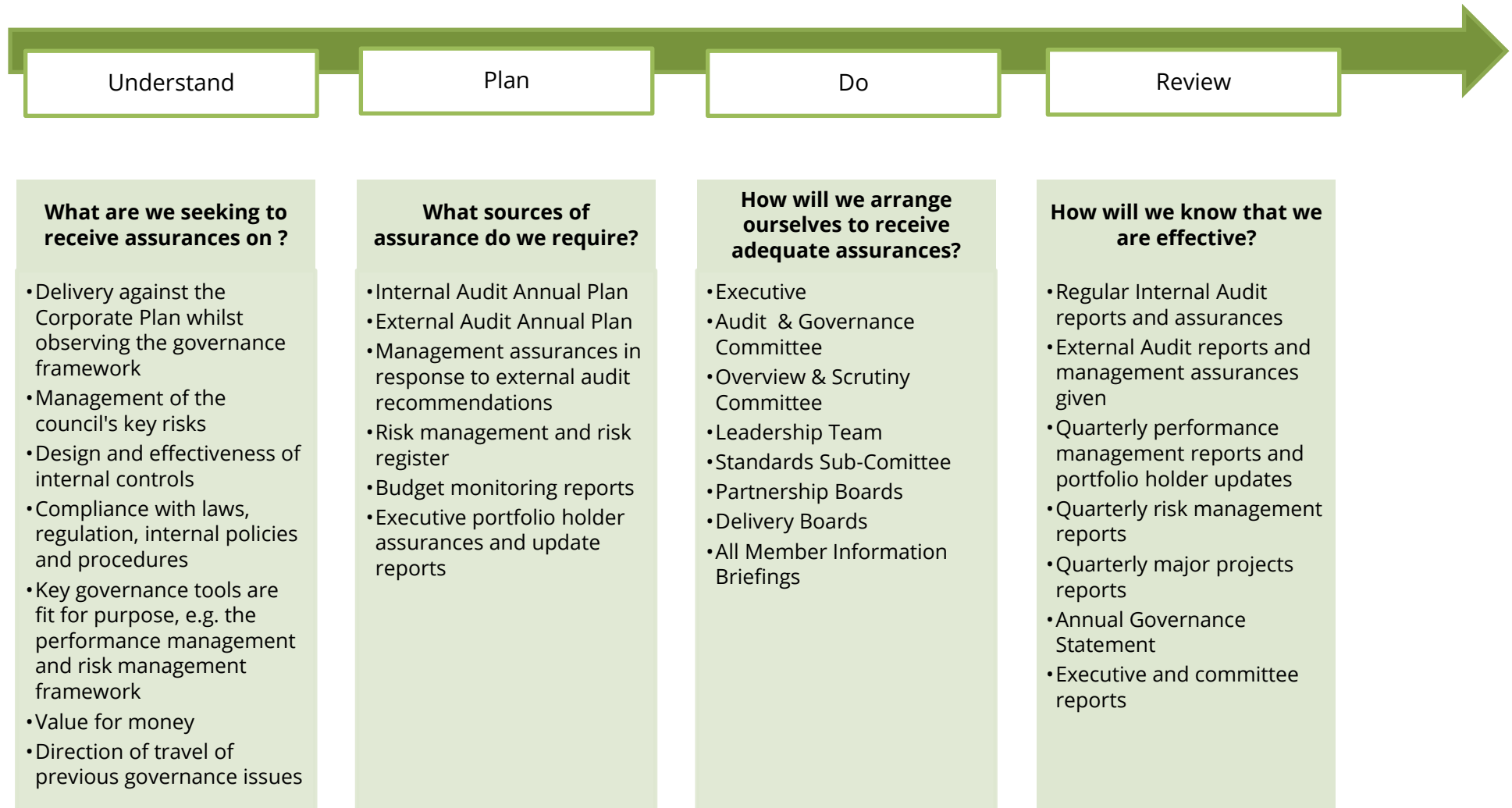
The governance framework comprises the cultures, values and systems and processes by which the Council is directed and controlled and its activities through which it accounts to, engages with and leads the community. It enables the Council to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate cost-effective services and value for money. The overall aim is to ensure that:

- resources are directed in accordance with agreed policy and according to priorities;
- there is sound and inclusive decision making; and
- there is clear accountability for the use of those resources in order to achieve desired outcomes for service users and communities.

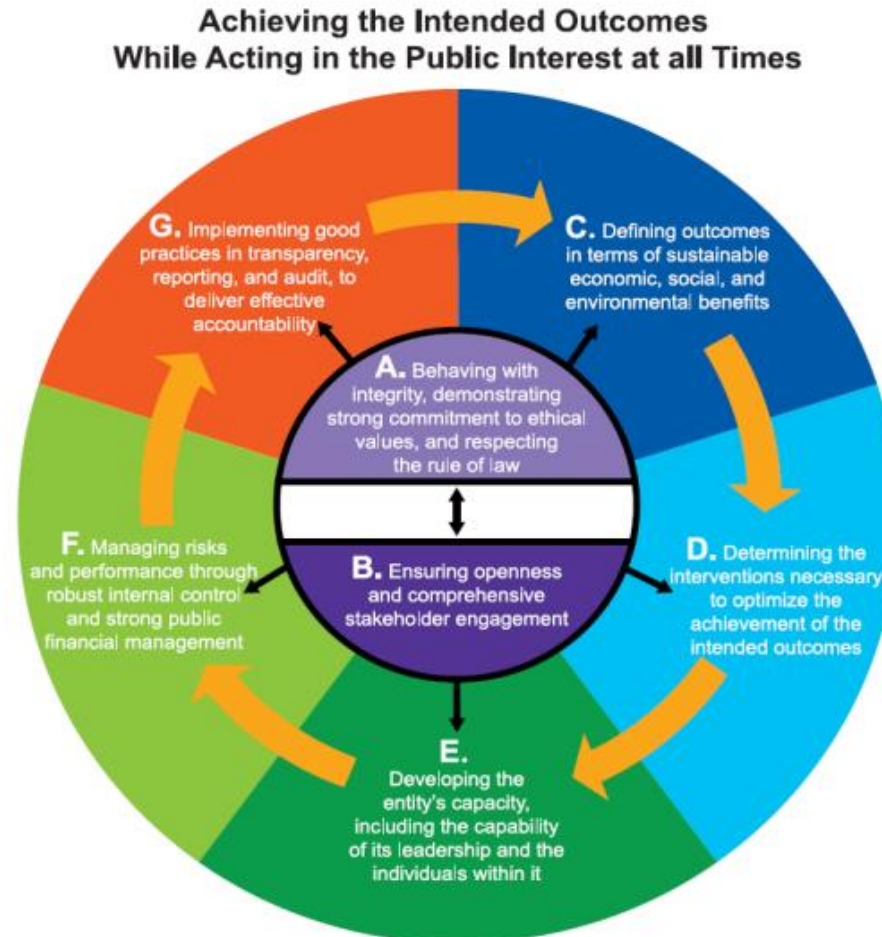
The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable assessment/assurances of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of East Herts Council's policies, aims and objectives, to evaluate the likelihood of those risks being realised and the impact should they be realised, and to manage them efficiently, effectively and economically.

The governance framework has been in place at East Herts Council for the year ended 31 March 2021 and up to the date of approval of the statement of accounts.

3. Assurance Cycle



4. The Governance Framework



Source: CIPFA 2016

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	East Herts Council's Compliance & Supporting Evidence
<p>A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law</p> <p>Local government organisations are accountable not only for how much they spend, but also for how they use the resources under their stewardship. This includes accountability for outputs, both positive and negative, and for the outcomes they have achieved. In addition, they have an overarching responsibility to serve the public interest in adhering to the requirements of legislation and government policies. It is essential that, as a whole, they can demonstrate the appropriateness of all their actions and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.</p>	<p>Behaving with integrity</p> <ul style="list-style-type: none"> Ensuring Members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation 	<ul style="list-style-type: none"> Codes of conduct for Members and Officers Members sign an individual commitment to comply with the Code Induction for new Members on the Code of Conduct and staff on standards of behaviour expected Performance appraisals Related party transaction declarations Action taken on Local Government Ombudsman (LGO) complaints
	<ul style="list-style-type: none"> Ensuring Members take the lead in establishing specific standard operating principles or values for the organisation and its staff and that they are communicated and understood. These should build on the Seven Principles of Public Life (the Nolan Principles) 	<ul style="list-style-type: none"> Corporate Plan sets operating direction and organisational values approved by the Council Member Code of Conduct is based on Nolan Principles Corporate objectives cascaded down into Service Plans Corporate Plan and Service Plan objectives reflected in individual appraisal goals
	<ul style="list-style-type: none"> Leading by example and using these standard operating principles or values as a framework for decision making and other actions 	<ul style="list-style-type: none"> Members trained on and familiar with code of conduct requirements Declarations are made at, and recorded, at meetings Meetings conducted according to values Standards Sub-Committee in effective operation including delivering training sessions to others to be proactive in communicating positive messages about good conduct Requirement for elected Members to be specifically trained before serving on Planning and/or Licensing Committees

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	East Herts Council's Compliance & Supporting Evidence
	<ul style="list-style-type: none"> Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively 	<ul style="list-style-type: none"> Anti-fraud and anti-corruption policies are working effectively Up-to-date register of interests (Members and staff) Related Party Transactions completed annually Up-to-date register of gifts and hospitality Whistleblowing policies are in place, up to date and protect individuals raising concerns Whistleblowing policy has been made available to members of the public, employees, partners and contractors Complaints policy in place and reported upon annually to Executive All policies are managed through corporate performance management system to ensure effective and timely review with communication of changes and provision of training as appropriate Policies are published online to demonstrate openness and transparency Changes/improvements as a result of complaints received and acted upon and reported in annual report to Members Members and officers code of conduct refers to a requirement to declare interests Minutes show declarations of interest were sought and appropriate declarations made Relevant recommendations from LGO incorporated into future working practices and procedures Legal implications identified in all Executive and committee reports

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	East Herts Council's Compliance & Supporting Evidence
	Demonstrating strong commitment to ethical values <ul style="list-style-type: none"> Seeking to establish, monitor and maintain the organisation's ethical standards and performance 	<ul style="list-style-type: none"> Good ethical governance is championed by Members, particularly through Executive, the Standards Sub-Committee, the Monitoring Officer and Leadership Team Audit & Governance Committee takes the lead in overseeing and promoting good governance Clear mechanisms in place for reporting / referral to Monitoring Officer
	<ul style="list-style-type: none"> Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation 	<ul style="list-style-type: none"> Provision of ethical awareness training including thorough Code of Conduct training Standards Sub-Committee takes the lead in promoting this
	<ul style="list-style-type: none"> Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values 	<ul style="list-style-type: none"> Appraisal process in place Procurement policy and approach include good governance and ethical conduct Requirement to declare conflicts of interest Robust processes with checks and balances to ensure that procurement is undertaken in accordance with the principles of transparency, fairness and equal treatment.
	<ul style="list-style-type: none"> Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with high ethical standards expected by the organisation 	<ul style="list-style-type: none"> Partnership Guidelines and reviews Procurement Strategy showing commitment to local businesses and SMEs Adhering to Bribery and Anti-Corruption policies as required by the Council Ensuring confidentiality of information throughout the process Data protection requirements specifically built into contract specification

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	East Herts Council's Compliance & Supporting Evidence
	Respecting the rule of law <ul style="list-style-type: none"> Ensuring Members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations 	<ul style="list-style-type: none"> Constitution Statutory guidance and provisions are followed These are assessed through internal and external audit Audit & Governance Committee oversee this Legal implications identified in all Executive and committee reports
	<ul style="list-style-type: none"> Creating the conditions to ensure that the statutory officers, other key post holders and Members are able to fulfil their responsibilities in accordance with legislative and regulatory requirements 	<ul style="list-style-type: none"> Job description/specifications Compliance with CIPFA's Statement on the Role of the Chief Financial Officer in Local Government (CIPFA, 2016). The Council's arrangements conform to these governance requirements with the CFO reporting directly to the Chief Executive Legal implications identified in all Executive and committee reports The Monitoring Officer routinely attends Leadership Team meetings. The CFO routinely attends Leadership Team. In addition, the CFO has access to (and regularly attends) the Audit & Governance Committee and to the internal and external auditors. In performing the role, the CFO is able to bring influence to bear on all material decisions of the Council through advice and guidance on all corporate reports. As part of that role, the CFO leads on the budget monitoring reports, financial strategy reports and is able to promote to the organisation the delivery of good financial management. In discharging this role, the CFO is supported by a team of officers, including a deputy, and these arrangements ensure that the CFO has adequate resources to support the design and maintenance of sound financial governance arrangements.
	<ul style="list-style-type: none"> Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders 	<ul style="list-style-type: none"> Executive reports / decision making reports all document legal advice / implications Where appropriate, make use of general power of competence e.g. Millstream or the power to charge for discretionary services

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	East Herts Council's Compliance & Supporting Evidence
	<ul style="list-style-type: none"> • Dealing with breaches of legal and regulatory provisions effectively 	<ul style="list-style-type: none"> • Monitoring Officer takes lead role in ethical governance and ensuring compliance with the law • Decision making process incorporates this • Legal team provide in-house advice and guidance • Statutory teams familiar with and operating effectively to deliver on their statutory duties
	<ul style="list-style-type: none"> • Ensuring corruption and misuse of power are dealt with effectively 	<ul style="list-style-type: none"> • Effective anti-fraud and anti-corruption policies and procedures are in place and are regularly updated and incorporated into all contracts • Assurance mapping exercise to be completed by Internal Audit will improve likelihood of detection • Grievance and disciplinary code for officers • Monitoring Officer at senior level within the organisation • Mature and experienced Standards Sub-Committee • 360 appraisal of managers acts as an additional layer of challenge • Annual appraisal review assesses competencies and behaviours.

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	East Herts Council's Compliance & Supporting Evidence
<p>B Ensuring openness and comprehensive stakeholder engagement</p> <p>Local government is run for the public good; organisations therefore should ensure openness in their activities. Clear, trusted channels of communication and consultation should be used to engage effectively with all groups of stakeholders, such as individual citizens and service users, as well as institutional stakeholders</p>	<p>Openness</p> <ul style="list-style-type: none"> Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness 	<ul style="list-style-type: none"> Quarterly performance reports to record performance against Corporate Plan Freedom of Information publication scheme Information Governance Team input to all FOI request to ensure that exemptions are not unreasonably applied Data Protection Information Charter Compliance with the General Data Protection Regulation 2016 and Data Protection Act 2018 Transparency web pages Website publishes clear and accessible information Public inspection of accounts Annual publication of accounts Public consultation on new policies and individual development applications. Webcasting of all Committee meetings during the pandemic.
	<ul style="list-style-type: none"> Making decisions that are open about actions, plans, use of resources, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided in accordance with rules governing e.g. exemptions. 	<ul style="list-style-type: none"> Record of decision making and supporting materials Publish decisions by Members and Officers in accordance with the Constitution, Scheme of Delegation, Financial Procedure Rules and Contract Procedure Rules. Forward Plan promotes community interest in democracy by publishing report schedule

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	East Herts Council's Compliance & Supporting Evidence
	<ul style="list-style-type: none"> • Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear 	<ul style="list-style-type: none"> • Decision making protocols • Report template including requirement to obtain professional advice in key areas • Meeting reports show details of advice given • Discussion between Members and officers on the information needs of Members to support decision making • Committee work programmes • Agreement on the information that will be provided and timescales • Calendar of dates for submitting, publishing and distributing timely reports is adhered to
	<ul style="list-style-type: none"> • Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/ courses of action 	<ul style="list-style-type: none"> • Community Engagement Strategy • Annual budget consultation • Consultation on Master Plan options • All Member Information sessions • Online consultation exercises
	<p>Engaging comprehensively with institutional stakeholders</p> <ul style="list-style-type: none"> • Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably 	<ul style="list-style-type: none"> • Communications Strategy and specific communications strategies for major projects • Local ward Member communication networks • Specific consultation with underrepresented groups through Equalities Strategy • Community Engagement Strategy • Statement of Community Involvement for District Plan

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	East Herts Council's Compliance & Supporting Evidence
	<ul style="list-style-type: none"> Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively 	<ul style="list-style-type: none"> Online databases of residents who register to be kept informed / consulted about matters e.g. planning policy Significant partnership working e.g. Harlow & Gilston Garden Town, Hertfordshire Growth Board Shared services for Revenues & Benefits, ICT, Waste and Recycling Services, Building Control, CCTV and Equalities. The Council is also part of the Hertfordshire Emergency Resilience Partnership.
	<ul style="list-style-type: none"> Ensuring that partnerships are based on: <ul style="list-style-type: none"> Trust a shared commitment to change a culture that promotes and accepts challenge among partners and that the added value of partnership working is explicit 	<ul style="list-style-type: none"> Shared services for Revenues & Benefits, ICT, Waste and Recycling Services, Building Control, CCTV and Equalities Joint Committee/Joint Member Boards/Officer Boards as appropriate with a shared commitment to improvement, cost reduction and value for money Open culture of challenge between partners to seek improvement
	<p>Engaging stakeholders effectively, including individual citizens and service users</p> <ul style="list-style-type: none"> Establishing a clear policy on the type of issues that the organisation will meaningfully consult with or involve individual citizens, service users and other stakeholders to ensure that service (or other) provision is contributing towards the achievement of intended outcomes. 	<ul style="list-style-type: none"> Online record of public consultations Feedback reports on public consultations Consultation responses included in relevant Executive reports e.g. budget Service user satisfaction surveys

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	East Herts Council's Compliance & Supporting Evidence
	<ul style="list-style-type: none"> Ensuring that communication methods are effective and that Members and officers are clear about their roles with regard to community engagement 	<ul style="list-style-type: none"> Communications Strategy Monitoring reports on the effectiveness of our communications output including regular reports on the effectiveness of East Herts Council's Social Media Usage Communications and media training for Members and Senior Leadership Team
	<ul style="list-style-type: none"> Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs 	<ul style="list-style-type: none"> Communications Strategy Community Engagement Strategy Resident Satisfaction Survey as part of budget consultation Themed consultation exercises
	<ul style="list-style-type: none"> Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account 	<ul style="list-style-type: none"> Feedback included online in response to consultations Reports to Executive include feedback on consultation e.g. budget report Extensive use of East Herts Council's social media to interact with communities
	<ul style="list-style-type: none"> Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity 	<ul style="list-style-type: none"> Corporate Equalities Objectives Equalities Policy and Action Plan Consultation with specific underrepresented groups within our community
	<ul style="list-style-type: none"> Taking account of the interests of future generations of tax payers and service users 	<ul style="list-style-type: none"> Corporate Plan Executive / Scrutiny reports Strategic Housing Needs Assessment Harlow & Gilston Garden Town

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	East Herts Council's Compliance & Supporting Evidence
<p>C. Defining outcomes in terms of sustainable economic, social, and environmental benefits</p> <p>The long-term nature and impact of many of local government's responsibilities mean that it should define and plan outcomes and that these should be sustainable. Decisions should further the authority's purpose, contribute to intended benefits and outcomes, and remain within the limits of authority and resources. Input from all groups of stakeholders, including citizens, service users, and institutional stakeholders, is vital to the success of this process and in balancing competing demands when determining priorities for the finite resources available.</p>	<p>Defining outcomes</p> <ul style="list-style-type: none"> Having a clear vision which is an agreed formal statement of the organisation's purpose and intended outcomes containing appropriate performance indicators, which provides the basis for the organisation's overall strategy, planning and other decisions 	<ul style="list-style-type: none"> Corporate Plan Published performance indicators MTFP and Capital Programme to fund ambitions Commercial Strategy development Performance management report Pentana performance management system Statement of organisational values
	<ul style="list-style-type: none"> Specifying the intended impact on, or changes for, stakeholders including citizens and service users. It could be immediately or over the course of a year or longer 	<ul style="list-style-type: none"> Statement of Community engagement Consultation strategy Service plans
	<ul style="list-style-type: none"> Delivering defined outcomes on a sustainable basis within the resources that will be available 	<ul style="list-style-type: none"> Quarterly budget reports Quarterly performance monitoring reports Medium Term Financial Plan Capital Programme Commercial Strategy development
	<ul style="list-style-type: none"> Identifying and managing risks to the achievement of outcomes 	<ul style="list-style-type: none"> Risk management report Risk management training Risk assessments for specific projects External Audit report giving assurance that proper arrangements have been made to secure economy, efficiency and effectiveness in the use of resources

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	East Herts Council's Compliance & Supporting Evidence
	<ul style="list-style-type: none"> Managing service users' expectations effectively with regard to determining priorities and making the best use of the resources available 	<ul style="list-style-type: none"> Service plans Performance indicators Executive reports identify issues of competing community demands How your Council Tax is Spent information issued with annual Council Tax bills
	Sustainable economic, social and environmental benefits <ul style="list-style-type: none"> Considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about service provision 	<ul style="list-style-type: none"> Capital programme Medium Term Financial Plan Treasury management strategy Corporate Plan Commercial Strategy
	<ul style="list-style-type: none"> Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the organisation's intended outcomes and short-term factors such as the political cycle or financial constraints 	<ul style="list-style-type: none"> Corporate plan with four year time horizon Medium Term Financial Plan Reports on decision making Mandatory training (e.g. for the Development Management Committee)
	<ul style="list-style-type: none"> Determining the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs 	<ul style="list-style-type: none"> Consultation and community engagement strategy Consultation and community engagement diary

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	East Herts Council's Compliance & Supporting Evidence
	<ul style="list-style-type: none"> Ensuring fair access to services 	<ul style="list-style-type: none"> Customer service strategy 24/7 Website offering online services Transparency webpages Clear policies explaining the Council's processes and what customers can expect from the Council e.g. housing allocations
<p>D. Determining the interventions necessary to optimise the achievement of the intended outcomes</p> <p>Local government achieves its intended outcomes by providing a mixture of legal, regulatory, and practical interventions. Determining the right mix of these courses of action is a critically important strategic choice that local government has to make to ensure intended outcomes are achieved. They need robust decisionmaking mechanisms to ensure that their defined outcomes can be achieved in a way that provides the best trade-off between the various types of resource inputs while still enabling effective and efficient operations.</p>	<p>Determining interventions</p> <ul style="list-style-type: none"> Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and including the risks associated with those options. Therefore ensuring best value is achieved however services are provided 	<ul style="list-style-type: none"> Options appraisals within key decision reports All Executive reports available for consideration at Overview & Scrutiny Reports to Audit & Governance Committee Legal, Financial and HR implications considered as part of every decision and evidenced within committee reports Individual risk assessment on larger projects
	<ul style="list-style-type: none"> Considering feedback from citizens and service users when making decisions about service improvements or where services are no longer required in order to prioritise competing demands within limited resources available including people, skills, land and assets and bearing in mind future impacts 	<ul style="list-style-type: none"> Consultation outcomes incorporated within key Executive / Council reports Specific consultation part of the annual budgeting process Complaints process
	<p>Planning interventions</p> <ul style="list-style-type: none"> Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets 	<ul style="list-style-type: none"> Calendar of meetings Annual work programmes for Audit & Governance and Overview & Scrutiny Committees Executive Forward Plan

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	East Herts Council's Compliance & Supporting Evidence
	<ul style="list-style-type: none"> Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered 	<ul style="list-style-type: none"> Communication strategy East Herts Together
	<ul style="list-style-type: none"> Considering and monitoring risks facing each partner when working collaboratively including shared risks 	<ul style="list-style-type: none"> Risk management report Risk identified within Executive reports Risk register for specific projects
	<ul style="list-style-type: none"> Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances 	<ul style="list-style-type: none"> Report cycles allow flexibility to respond to changing priorities
	<ul style="list-style-type: none"> Establishing appropriate key performance indicators (KPIs) as part of the planning process in order to identify how the performance of services and projects is to be measured 	<ul style="list-style-type: none"> Corporate Plan KPIs in place Service plan KPIs established Financial performance regularly measured through quarterly budget meetings and report
	<ul style="list-style-type: none"> Ensuring capacity exists to generate the information required to review service quality regularly 	<ul style="list-style-type: none"> Pentana is the Council's online performance management system Quarterly performance management reports
	<ul style="list-style-type: none"> Preparing budgets in accordance with organisational objectives, strategies and the medium term financial plan 	<ul style="list-style-type: none"> Clear alignment between corporate objectives and resources Regular budget monitoring analysis and reporting across all Council Services
	<ul style="list-style-type: none"> Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy 	<ul style="list-style-type: none"> Medium Term Financial Plan Capital Strategy – reports to Executive / Audit and Governance Committee on performance / progress

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	East Herts Council's Compliance & Supporting Evidence
	Optimising achievement of intended outcomes <ul style="list-style-type: none"> Ensuring the Medium Term Financial Plan integrates and balances service priorities, affordability and other resource constraints 	<ul style="list-style-type: none"> Annual budget consultation Audit and Governance Committee Reports
	<ul style="list-style-type: none"> Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term 	<ul style="list-style-type: none"> Full and detailed budgeting exercise, both capital and revenue, over the medium term Internal and External Audit review
	<ul style="list-style-type: none"> Ensuring the Medium Term Financial Plan sets the context for ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage 	<ul style="list-style-type: none"> MTFP identifies plan for savings Transformation Programme in discovery phase of quantifying internal savings with minimum target of £1 million of savings External auditor report gives assurance Quarterly budget reporting
	<ul style="list-style-type: none"> Ensuring the achievement of 'social value' through service planning and commissioning. The Public Services (Social Value) Act 2012 states that this is "the additional benefit to the community over and above the direct purchasing of goods, services and outcomes" 	<ul style="list-style-type: none"> Procurement strategy identifies social value Social value assessed as part of award process under procurement

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	East Herts Council's Compliance & Supporting Evidence
<p>E. Developing the entity's capacity, including the capability of its leadership and the individuals within it</p> <p>Local government needs appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mind-set, to operate efficiently and effectively and achieve their intended outcomes within the specified periods. A local government organisation must ensure that it has both the capacity to fulfil its own mandate and to make certain that there are policies in place to guarantee that its management has the operational capacity for the organisation as a whole. Because both individuals and the environment in which an authority operates will change over time, there will be a continuous need to develop its capacity as well as the skills and experience of the</p>	<p>Developing the entity's capacity</p> <ul style="list-style-type: none"> • Reviewing operations, performance use of assets on a regular basis to ensure their continuing effectiveness 	<ul style="list-style-type: none"> • Assets Strategy • Asset Management Group – regular review of assets • Commercial Strategy being developed
	<ul style="list-style-type: none"> • Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how the authority's resources are allocated so that outcomes are achieved effectively and efficiently 	<ul style="list-style-type: none"> • Benchmarking • LGA Peer Review on services • External Audit Use of Resources Statement • Local benchmarking exercise at Service level
	<ul style="list-style-type: none"> • Recognising the benefits of partnerships and collaborative working where added value can be achieved 	<ul style="list-style-type: none"> • Significant commitment to partnership working • Joint working / shared services
	<ul style="list-style-type: none"> • Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources 	<ul style="list-style-type: none"> • Review of workforce development plan and strategy • Commitment to apprenticeships
	<p>Developing the capability of the entity's leadership and other individuals</p> <ul style="list-style-type: none"> • Developing protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained 	<ul style="list-style-type: none"> • Constitution contains job descriptions for lead Members • Officer Job descriptions • Shared understanding of roles between Leader and CE • Officer Member protocol

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	East Herts Council's Compliance & Supporting Evidence
leadership of individual staff members. Leadership in local government entities is strengthened by the participation of people with many different types of backgrounds, reflecting the structure and diversity of communities.	<ul style="list-style-type: none"> • Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body 	<ul style="list-style-type: none"> • Constitution • Scheme of Delegation • Financial Procedure Rules • Individual reports for major projects set out decision making basis so that this is open and transparent, particularly for new projects
	<ul style="list-style-type: none"> • Ensuring the Leader and the Chief Executive have clearly defined and distinctive leadership roles within a structure whereby the Chief Executive leads the council in implementing strategy and managing the delivery of services and other outputs set by Members and each provides a check and a balance for each other's authority 	<ul style="list-style-type: none"> • Job description for Chief Executive • Role profile for Leader in Constitution

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	East Herts Council's Compliance & Supporting Evidence
	<ul style="list-style-type: none"> Developing the capabilities of Members and senior management to achieve effective shared leadership and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks by: <ul style="list-style-type: none"> ensuring Members and staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged ensuring Members and officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis ensuring personal, organisational and system-wide development through shared learning, including lessons learnt from governance weaknesses both internal and external 	<ul style="list-style-type: none"> Regular meetings between Executive and Leadership Team Senior Leadership Training & Development - ensuring Members and staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged Induction programme for both staff and Members Annual staff appraisal Annual training programme for Members Commitment to apprenticeships including those at a higher level and support for appropriate professional qualifications Bespoke training at committees including presentations by service departments to Audit and Governance Committee Community Leadership is discussed and led by Portfolio Holder and Executive Advisory Group Member support through Democratic Services Member training programme Officer training e.g. professional training, continuing professional development, management and leadership training Internal Audit reports on governance to Audit and Governance Committee Workforce monitoring reports to Executive through Portfolio Holder

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	East Herts Council's Compliance & Supporting Evidence
	<ul style="list-style-type: none"> Ensuring that there are structures in place to encourage public participation 	<ul style="list-style-type: none"> Community Engagement Strategy Residents' satisfaction survey Regular user satisfaction surveys The Council also has a Statement of Community Involvement (SCI) - a document that sets out what consultation will take place when the Council is developing and reviewing its planning policy documents (including the District Plan) and when determining planning applications.
	<ul style="list-style-type: none"> Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections 	<ul style="list-style-type: none"> Publish member attendance records Annual training plan Participation in appropriate Peer Reviews
	<ul style="list-style-type: none"> Holding staff to account through regular performance reviews which take account of training or development needs 	<ul style="list-style-type: none"> Annual performance appraisals and probationary appraisals Staff development plan within appraisal process Capability procedure Sickness procedure Routine Service Team Meetings and 1:1 Meetings
	<ul style="list-style-type: none"> Ensuring arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing 	<ul style="list-style-type: none"> Conditions of Service Health and Safety policies Employee Assistance Programme – Confidential Helpline Mental Health First Aiders Workplace Health Scheme Monthly Programme Council policies which support employees e.g. bereavement
F. Managing risks and performance through robust internal control and strong public financial management	Managing risk <ul style="list-style-type: none"> Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making 	<ul style="list-style-type: none"> Risk management specifically reported to Executive and Audit and Governance Committee on a quarterly basis Risk assessments on larger projects

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	East Herts Council's Compliance & Supporting Evidence
<p>Local government needs to ensure that the organisations and governance structures that it oversees have implemented, and can sustain, an effective performance management system that facilitates effective and efficient delivery of planned services. Risk management and internal control are important and integral parts of a performance management system and crucial to the achievement of outcomes. Risk should be considered and addressed as part of all decision-making activities. A strong system of financial management is essential for the implementation of policies and the achievement of intended outcomes, as it will enforce financial discipline, strategic allocation of resources, efficient service delivery, and accountability. It is also essential that a culture</p>	<ul style="list-style-type: none"> Implementing robust and integrated risk management arrangements and ensuring that they are working effectively 	<ul style="list-style-type: none"> Risk management strategy and policy Annual internal audit plan Risk management within individual project plans e.g. elections, Crematorium. Emergency plan and Business Continuity Plan and the review of risks specific to emergencies such as the Covid-19 pandemic Regular exercises to test the Emergency Plan, Business Continuity Plan ,Disaster Recovery and Cyber Security
	<ul style="list-style-type: none"> Ensuring that responsibilities for managing individual risks are clearly allocated 	<ul style="list-style-type: none"> Risks assigned with responsible owners Named officers for e.g. Health and Safety, Data Protection, Emergency Planning, Business Continuity
	<p>Managing performance</p> <ul style="list-style-type: none"> Monitoring service delivery effectively including planning, specification, execution and independent post implementation review 	<ul style="list-style-type: none"> Departmental service plans which are reviewed regularly Senior Leadership ownership of specific Corporate Plan outcomes. Performance monitoring CIPFA Benchmarking Transparency pages on website Report format strengthening consideration of implications
	<ul style="list-style-type: none"> Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook 	<ul style="list-style-type: none"> Report template to Executive / Committees includes specific sections for analysis, options, risk, finance, and other relevant considerations Agendas published at least 5 days in advance Decision notices and minutes published after meetings

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	East Herts Council's Compliance & Supporting Evidence
<p>and structure for scrutiny is in place as a key part of accountable decision-making, policy making and review. A positive working culture that accepts, promotes and encourages constructive challenge is critical to successful scrutiny and successful delivery. Importantly, this culture does not happen automatically, it requires repeated public commitment from those in authority.</p>	<ul style="list-style-type: none"> Ensuring an effective scrutiny or oversight function is in place which encourages constructive challenge and debate on policies and objectives before, during and after decisions are made thereby enhancing the organisation's performance and that of any organisation for which it is responsible 	<ul style="list-style-type: none"> Constitution defines roles and responsibilities of Overview & Scrutiny Committee and Audit and Governance Committee Annual work programmes for those committees Regular training sessions for committee members pertinent to that committee and the wider business and functions of the council
	<ul style="list-style-type: none"> Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement 	<ul style="list-style-type: none"> Annual timetable / calendar of meetings Work programmes / forward plan for Executive and Committees Senior Leadership ownership of specific Corporate Plan outcomes. Annual Budget and Tax Setting report to Executive
	<ul style="list-style-type: none"> Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (e.g. financial statements) 	<ul style="list-style-type: none"> Financial Procedure Rules Annual accounts and Statement of Accounts External auditor reports
	<p>Robust internal control</p> <ul style="list-style-type: none"> Aligning the risk management strategy and policies on internal control with achieving the objectives 	<ul style="list-style-type: none"> Internal Audit Plan Regular reports from Internal Audit to Audit and Governance Committee
	<ul style="list-style-type: none"> Evaluating and monitoring the authority's risk management and internal control on a regular basis 	<ul style="list-style-type: none"> Quarterly risk management reports Risk management training for Members and officers Internal Audit Review of Effectiveness Annual Governance Statement External Audit Annual Report

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	East Herts Council's Compliance & Supporting Evidence
	<ul style="list-style-type: none"> Ensuring effective counter fraud and anti-corruption arrangements are in place 	<ul style="list-style-type: none"> Anti-fraud and anti-corruption policy Whistleblowing policy Shared Anti-Fraud Service Acquisition and use of specialist data analysis software to detect fraud and corruption Regular reports to Audit and Governance Committee on counter fraud activity Shared Anti-Fraud Service fraud risk evaluation of all business grants applied for as a consequence of Covid-19
	<p>Strong public financial management</p> <ul style="list-style-type: none"> Ensuring financial management supports both long term achievement of outcomes and short-term financial and operational performance 	<ul style="list-style-type: none"> Clear links between Corporate Plan, Medium Term Financial Plan and subsequent reporting on outcomes Asset Management Strategy
	<ul style="list-style-type: none"> Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls 	<ul style="list-style-type: none"> Embedded financial management process covering process from beginning to end Review of that process through External Audit

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	East Herts Council's Compliance & Supporting Evidence
<p>G. Implementing good practices in transparency, reporting, and audit to deliver effective accountability</p> <p>Accountability is about ensuring that those making decisions and delivering services are answerable for them. Effective accountability is concerned not only with reporting on actions completed, but also ensuring that stakeholders are able to understand and respond as the organisation plans and carries out its activities in a transparent manner. Both external and internal audit contribute to effective accountability.</p>	<p>Implementing good practice in transparency</p> <ul style="list-style-type: none"> • Writing and communicating reports for the public and other stakeholders in an understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate • Striking a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand 	<ul style="list-style-type: none"> • Publication of all reports and decisions on website • Transparency pages on website • Consistent, accessible, reporting style used with supporting evidence providing more detail for those who require it. Web pages give key information and ability to drill down to specific documents and background papers for those requiring detail. • Annual performance report • Regular internal audit reports to Audit and Governance Committee
	<p>Implementing good practices in reporting</p> <ul style="list-style-type: none"> • Reporting at least annually on performance, value for money and the stewardship of its resources 	<ul style="list-style-type: none"> • Annual performance report that supplements quarterly performance and budget reports • Annual reports from External Auditor • Value for money opinion • Statement of Accounts • Internal audit reports also comment on Value for Money implications where applicable
	<ul style="list-style-type: none"> • Ensuring Members and senior management own the results 	<ul style="list-style-type: none"> • Clearly defined roles for Executive portfolio holder, Audit and Governance Committee and Overview and Scrutiny Committee • Portfolio holders present reports at Executive • Each portfolio holder has regular briefings with officers

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	East Herts Council's Compliance & Supporting Evidence
	<ul style="list-style-type: none"> Ensuring robust arrangements for assessing the extent to which the principles contained in the Framework have been applied and publishing the results on this assessment including an action plan for improvement and evidence to demonstrate good governance (annual governance statement) 	<ul style="list-style-type: none"> Annual Governance Statement Assurance mapping exercise planned for 2021/22
	<ul style="list-style-type: none"> Ensuring that the Framework is applied to jointly managed or shared service organisations as appropriate 	<ul style="list-style-type: none"> Shared service legal agreements Annual Governance Statement
	<ul style="list-style-type: none"> Ensuring the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other similar organisations 	<ul style="list-style-type: none"> Benchmarking Quarterly performance reports to Executive and Overview & Scrutiny Committee including end of year performance.
	<p>Assurance and effective accountability</p> <ul style="list-style-type: none"> Ensuring that recommendations for corrective action made by external audit are acted upon Ensuring an effective internal audit service with direct access to Members is in place which provides assurance with regard to governance arrangements and recommendations are acted upon` 	<ul style="list-style-type: none"> Management comments / response is incorporated as part of the reports from both Internal and External Audit Annual Opinion on the Control Environment report from Internal Audit Compliance with CIPFA's Statement on the Role of the Head of Internal Audit (2019) Compliance with Public Sector Internal Audit Standards Annual review of effectiveness of internal audit reported to Audit and Governance Committee Annual Governance Statement Action Plan and follow up

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	East Herts Council's Compliance & Supporting Evidence
	<ul style="list-style-type: none"> • Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations 	<ul style="list-style-type: none"> • Executive report on outcomes and recommendations / action plan arising from review • Self-challenging through entry for various awards and nomination as finalist
	<ul style="list-style-type: none"> • Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement 	<ul style="list-style-type: none"> • Annual Governance Statement • Risk management report • Performance report • Requirement for performance information to management is specified in contract specification.
	<ul style="list-style-type: none"> • Ensuring that when working in partnership, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met 	<ul style="list-style-type: none"> • Proportionate governance arrangements in place for partnership working • Service Level Agreements for some community grants ensuring that outcomes are measurable and delivered.

5. Review of Effectiveness

East Herts Council has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework including the system of internal control. The review of effectiveness is informed by the work of the Leadership Team, the Monitoring officer, the Chief Finance Officer (Head of Financial Services), and the Head of Business Services who have responsibility for the development and maintenance of the governance environment, and also by comments made by the external auditors and other review agencies and inspectorates. The following processes have been applied in maintaining and reviewing the effectiveness of the governance framework:

Council

Council is responsible for approving the budget and policy framework, which includes the Corporate Plan and the Constitution.

Executive

Executive has approved the Council's performance management framework. Executive also approves the risk management policy and receives quarterly reports on risk management, performance monitoring and budget monitoring.

Audit and Governance Committee

This Committee undertakes the core functions of an Audit Committee and approves the annual Internal Audit Plan, receives quarterly monitoring reports updating them on progress against that plan. It also receives the external auditor's annual audit letter, annual governance report, annual plan and grant claim certification report. It approves the risk management policy and receives quarterly reports on risk management. The Committee has lead oversight responsibility for corporate governance, risk management and other internal control issues. It also leads the cross Member scrutiny and consideration of the budget. The Audit & Governance Committee also reviews the Constitution.

Standards Sub-Committee

This Sub-Committee undertakes a proactive role in relation to the promotion of the ethical conduct framework. It has also published documents to inform the public about its role, the importance of good ethical conduct in the area, and the high standards of conduct evident in the District. A new framework for dealing

with ethical governance has been adopted by the county and the district and borough councils in Hertfordshire in order to maintain a level of consistency across the geographical area, particularly in relation to twin-hatted Members. The Standards Sub-Committee has put in place arrangements for dealing with complaints, conduct investigations and hearing allegations.

Overview & Scrutiny Committee

The Overview & Scrutiny Committee reviews performance across all services delivered by the Council and partner organisations, and the impact they have on the District and its communities.

Chief Finance Officer (Head of Strategic Finance & Property)

The Chief Finance Officer (CFO) has been designated as the s151 Officer. That officer maintains the statutory powers to report to Executive or Council on any proposals, decision or omission that gives rise to any unlawful expenditure. The CFO also has clearly defined responsibilities for Risk Management, Internal Control, and systems and processes for financial administration and control, which are set out in the Financial Procedure Rules.

Monitoring Officer (Head of Legal & Democratic Services)

The Head of Legal & Democratic Services has been designated as the Monitoring Officer. The Monitoring Officer has the specific duty, contained within Section 5 of the Local Government and Housing Act 1989, to ensure that the Council, its officers, and its Elected Councillors, maintain the highest standards of conduct in all they do. The role of the Monitoring Officer is:

- To report on matters he/she believes are, or are likely to be, illegal or amount to maladministration;
- To be responsible for matters relating to the conduct of Councillors and officers; and
- To be responsible for monitoring and reviewing the operation of the Constitution, to ensure that the aims and principles of our Constitution are given full effect.

Internal Audit

The internal control system comprises the whole network of systems established within the Council to provide reasonable assurance that corporate objectives will be achieved, with particular reference to:

- The effectiveness of operations
- The economic and efficient use of resources
- Compliance with applicable policies, procedures, laws and regulations
- The safeguarding of assets and interests from losses of all kinds, including those arising from fraud, irregularity and corruption
- The integrity and reliability of information, accounts and data
- Effective monitoring systems and optimum use of performance management information

6. Governance Issues – Progress from last year

Key Improvement Area	Lead Officer	Update
<p><u>Full implementation of high priority recommendations related to IT</u></p> <p>The implementation of some recommendations has had to be re-scheduled. Management is actively monitoring these issues and full implementation should be achieved during 2020/21</p>	Helen Standen	<p>Progress on network upgrade and upgrade to Windows 10 and Microsoft 365 has been delayed by COVID-19 and staff sickness. Due to a number of incidents and downtime an external review is being commissioned into the ICT strategy and whether the partnership is delivering the strategy effectively.</p>
<p><u>Regulation of Investigatory Powers Act</u></p> <p>Compliance with the Act is monitored by the Investigatory Powers Commissioners Office. During November 2019 an inspection of the Council's arrangements resulted in a critical assessment. The Council was not meeting legal requirements in several areas and was given a list of eight required actions.</p>	James Ellis	<p>Completed</p> <p>The Monitoring Officer has conducted a thorough overhaul of the Council's policy and procedures to address the required actions. New policies were reviewed by the Overview and Scrutiny Committee on 16 June 2020 and were adopted by the Executive at its meeting on 7 July 2020</p>

Key Improvement Area	Lead Officer	Update
<u>Information Governance</u> A review by Internal Audit has highlighted a need to improve some areas of information governance: <ul style="list-style-type: none"> ○ Lack of an adequate Information Asset Register ○ Information Management policies and procedures are out of date ○ Lack of a defined and enforced retention schedule ○ Lack of defined disposal and destruction procedures 	James Ellis	Completed Information Asset Register, Retention Schedule and Policies updated and approved

7. Governance Issues

The following governance issues have been identified as needing addressing during 2021/22

Key Improvement Area	Lead Officer	Update
<p><u>Procurement</u></p> <p>The Procurement Strategy requires updating to reflect the new national procurement strategy and the enhanced profile of social value as well as reflecting net zero ambitions.</p> <p>The council should produce an annual procurement programme as well as a 3 year “procurement pipeline” in order that local businesses can see what opportunities are coming up and to encourage them to bid.</p> <p>The council requires a social value policy to inform potential bidders of the social value priorities of the council</p> <p>The council should produce an annual procurement report showing: savings or</p>	Steven Linnett	

Key Improvement Area	Lead Officer	Update
costs avoided; social value gained; contracts awarded to local businesses by size; contracts awarded to SMEs; and the contribution from procurement to net zero targets.		
<p><u>Assurance Mapping</u></p> <p>The Audit & Governance Committee should have an assurance map of all the major financial systems within the council. This provides:</p> <ul style="list-style-type: none"> • Factual high level summary of the state of assurance • Enables better decision making, e.g. how better to use internal audit and other assurance providers against risk and where there are gaps • Creates better evidence to support assurances provided to the Council on the state of internal control • Supports public reports on governance and statement of internal control 	Steven Linnett / Simon Martin (SIAS)	<p>The Shared Internal Audit Service Plan provides for all the major financial systems to be mapped to produce an assurance map during 2021/22. This will identify any gaps, any areas of over assurance where resources can be redirected and is a more effective than the traditional approach of auditing and testing controls every year with the same result that the system is satisfactory and there are no recommendations</p>

Key Improvement Area	Lead Officer	Update
<p><u>Asset Strategy</u></p> <p>The asset strategy requires updating to ensure the council's strategy is up to date and meets best practice.</p> <p>The council would benefit from the establishment of a cross service officer group to discuss asset management issues and also review assets and identify assets for disposal</p>	Steven Linnett	The cross service officer group is expected to be established and meet in quarter 2 of 2021/22
<p><u>Commercial Strategy</u></p> <p>The council would benefit from a commercial strategy setting out its attitude to risk and expectations about return on investment and its attitude towards services that could be provided on a trading basis as well as services where spare capacity could be sold under the Local Authorities (Goods & Services) Act</p>	Steven Linnett	This will be delivered as part of the Commercial work stream of the Transformation Programme

Key Improvement Area	Lead Officer	Update
<u>ICT Resilience</u> An external review of the ICT Strategy and delivery vehicle has been commissioned by the partner councils and recommendations arising from that will need to be taken forwards	Helen Standen	
<u>Workforce Plan</u> Following changes to working practices as a result of COVID 19 and anticipated changes from the Transformation Programme the council would benefit from a workforce plan that analyses its workforce and determines the steps it must take to prepare for future staffing needs. These future skill needs can be met by recruiting, by training or by outsourcing the work.	Simon O'Hear	

8. Certification

To the best of our knowledge, the governance arrangements, as defined above have been effectively operating during the year with the exception of those areas identified in Section 7. We propose over the coming year to take steps to address the above matters to further enhance our governance arrangements. We are satisfied that these steps will address the need for the improvements that were identified during the review of effectiveness and will monitor their implementation and operation as part of our next annual review.

Cllr Linda Haysey
Leader of the Council

Date: 5 April 2022

Richard Cassidy
Chief Executive

Date: 5 April 2022

East Herts Council Report

Audit and Governance Committee

Date of meeting: 5 April 2022

Report by: Executive Member for Corporate Services

Report title: Monitoring of 2021/22 quarter three Strategic Risk Register, review of content of the Strategic Risk Register for 2022/23 and annual review of the Risk Management Strategy.

Ward(s) affected: All

Summary – The report details the changes to the Strategic Risk Register for quarter three and recommends that no changes are made to the content in 2022/23. The report also seeks approval to maintain existing risk management practices and processes.

RECOMMENDATIONS FOR Audit and Governance Committee:

- A) The 2021/22 quarter three Strategic Risk Register be reviewed and officers advised of any further action that could be taken to manage risk.**
- B) The risks monitored at present are retained for 2022/23.**
- C) The Risk Management Strategy remains unchanged for 2022/23.**

1.0 Proposal(s)

- 1.1** This report details the controls introduced during quarter three, proposes that the general content of the Strategic Risk Register remains for 2022/23 and that no changes are made to the Risk Management Strategy.

2.0 Background

- 2.1 Leadership Team reviews the content of the Strategic Risk Register quarterly and provides updates that are relayed within this monitoring report to Audit and Governance Committee. Please see appendix 1.
- 2.2 This Committee also receives a report each March recommending the content of the Strategic Risk Register for the new financial year and recommending changes to the Risk Management Strategy.

3.0 Reason(s)

- 3.1 The Strategic Risk Register details significant business risks; essentially those that could prevent the council meeting its objectives.
- 3.2 Leadership Team has set a risk tolerance level. Risks above the tolerance levels are actively managed and regularly reviewed in order to ensure that contingency and mitigation action is being taken. Risks below the tolerance line are managed by Heads of Service but these are often delegated. (Heads of Service are responsible for keeping all risks under review and taking action to reduce the impact of the risk on the council.)
- 3.3 A summary of business risks and the risk tolerance line is shown in the matrix below. Risks in the red area of the grid are those actively managed by Leadership Team in accordance with the Risk Management Strategy.

Impact	A	7, 9, 13	10	3	1, 8, 12
	B		4, 11	2	
	C			6	5
	D				
		1	2	3	4
	Likelihood				

Likelihood	Description		Likelihood of occurrence	Probability of occurrence
	4	High	Monthly	The event is expected to occur or occurs regularly
	3	Medium	Annually	The event will probably occur
	2	Low	1 in 5 years	The event may occur
	1	Very Low	Less frequently than 1 in 5 years	The event may occur in exceptional circumstances

Impact	Description		Financial	Reputation	Service / operation
	A	Critical	> £1m p.a.	Serious negative media	Catastrophic fall in service quality or long term disruption to services
	B	Significant	£400,000 to £1m p.a.	Adverse national media	Major fall in service quality or serious disruption to services
	C	Marginal	£100,000 to £400,000 p.a.	Adverse local media	Significant fall in service quality
	D	Minor	< £100,000	Public concerns restricted to local complaints	Little impact to service quality

1	Financial resources
2	Corporate governance and external political environment
3	Performance, resilience and security of IT systems
4	Staff capacity and skills to deliver services
5	Poor performance or failure of key partner or contractor
6	Judicial review and or major legal challenge
7	District Plan
8	Climate change
9	Child / vulnerable adult protection
10	Equalities
11	Internal control
12	Outbreak of disease in humans
13	Business Continuity Plan / Emergency Plan

4.0 Options

- 4.1 No new strategic risks have been identified in quarter three and no risks have become obsolete.
- 4.2 Leadership Team has not proposed any changes to scores. The scoring of the IT risk (item 3) is due to be reconsidered when the current cyber security audit report is available.
- 4.3 The council's most significant risks at present remain:
 - 4.3.1 The current financial climate and the impact on the council's medium and long term financial planning.
 - 4.3.2 The response to the pandemic has seen a higher demand for services. Managing the council's response has impacted productivity and some critical work. Supply chains have been affected and costs have increased. However there have been benefits such as a reduced carbon footprint due to blended working (working from home part of the week) and reduced commuting, and increased levels of self-service.

- 4.3.3 Climate change and the need to reduce the council's carbon footprint.
- 4.3.4 Performance, resilience and security of IT systems.
- 4.4 The impact of the pandemic continues to influence a number of risks. (The improving situation will be reflected in quarter four updates, as will the worsening global supply chain issues):
 - 4.4.1 Risk 1 - Financial resources: the uncertainty over post Covid economic and policy agenda, and the demand on council services. Rates of inflation and the global supply chain difficulties have impacted major capital projects.
 - 4.4.2 Risk 2 – Corporate Governance and the external political environment: Administering Covid support grants, business rate relief and funding to support the safe reopening of high streets in the District. The pandemic has also presented an opportunity to develop customer self-help options given the reduction in visits to council offices.
 - 4.4.3 Risk 4 – Staff capacity and skills to deliver services: The uncertainty over the future demand for council services, or support that the council may have to provide to partners including the NHS.

Staff turnover had reduced during the pandemic but there has been an increase as the employment market stabilised and people are increasingly making lifestyle choices.

- 4.4.4 Risk 5 – Poor performance or failure of key partner or contractor: Risk of business failure remains due to the pandemic. The national shortage of HGV drivers places additional pressures on the waste contract and has caused supply chain difficulties and financial pressures for major

projects. There is an increased reliance on agency staff.

4.4.5 Risk 8 – Climate change: The pandemic had resulted in a reduction of the council’s carbon footprint with fewer journeys to the office and reduced energy consumption. The blended working arrangements mean that most employees now remain at home for half of their work pattern. Many meetings now take place across various online platforms reducing business travel.

4.4.6 Risk 13 - Business continuity and emergency planning generally.

4.5 Given that Leadership Team review the Strategic Risk Register quarterly and update the content comprehensively, it is proposed that the risks to be monitored remain the same for the start of 2022/23, although there will of course be tweaks to content as necessary in quarter four.

4.6 In view of the major changes made to the Risk Management Strategy for 2022/23, and the favourable feedback received from Members and Officers, no changes are proposed for 2022/23. (The Strategy is provided at appendix 2.)

5.0 Risks

5.1 This report details the top business risks facing the council and appendix 2, the Risk Management Strategy, details why it is important to manage risk and the processes that are in place.

6.0 Implications/Consultations

6.1 Leadership Team reviewed on 15 March 2022. The Executive Member for Corporate Services has also been consulted.

Community Safety

No

Data Protection

None specific but the topic features within the Strategic Risk Register.

Equalities

None specific but the topic features within the Strategic Risk Register.

Environmental Sustainability

None specific but climate change features within the Strategic Risk Register.

Financial

None specific but risk management can provide protection of budgets from unexpected losses. Better governance can be demonstrated and the annual audit plan is risk based.

Health and Safety

None specific but risk management processes can provide a safer environment across the District and all services for the benefit of the public, staff and our contractors.

Human Resources

No

Human Rights

No

Legal

None specific but legal matters feature within the Strategic Risk Register.

Specific Wards

No

7.0 Background papers, appendices and other relevant material

7.1 Please see the Strategic Risk Register with changes tracked at appendix 1 and the Risk Management Strategy at appendix 2.

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No	Score	Vulnerability	Trigger	Consequence	Risk owner	Mitigation / control
1	A 4	Financial Resources	<p>Reduction in government grant combined with higher demand for demand-led services such as homelessness, or failure to generate income.</p> <p>Failure to realise capital receipts from disposals to support capital expenditure.</p> <p>External auditor challenges MRP Policy and capital financing decisions</p> <p>Council Tax Referendum levels set too low to generate sufficient tax revenue. Sudden economic Down turn results in negative Tax Base figures because of increased local Council Tax support claims</p>	<ul style="list-style-type: none"> • Reductions in services required • Performance against community expectations and targets reduced • Investment in improvement not possible or severely reduced • Failure to meet statutory duties with potential for legal action or Local Government Ombudsman finds significant cases of maladministration • Corporate Manslaughter charges if maintenance works not carried out, e.g. Legionella in air handling and cooling units • Large numbers of staff redundancies • Major media 	Head of Strategic Finance & Property	<ul style="list-style-type: none"> • Minimum Balances held on risk assessment basis to cushion impact over short term (max 2 years) • Modelling of impact of grant settlement scenarios and function and funding changes • Three year MTFP savings programme • Transforming East Herts savings plan due to be reported at June Executive to deliver savings and efficiencies through an emphasis on: digital self-service; process automation; agile working leading to a much reduced accommodation requirement with target of £1 million cashable savings. • Transforming East Herts Commercial Strategy will specify commercial skill sets

East Herts Council Corporate Risk Register – 2021/22 quarter three

Score	Vulnerability	Trigger	Consequence	Risk owner	Mitigation / control
10/2		Members do not agree significant savings at budget setting leading to an unbalanced budget leading to a s.114 report.	<p>engagement</p> <ul style="list-style-type: none"> Potential for MHCLG intervention 		<p>and set out the council's approach to risk appetite and give guidance on how income generating ideas should be taken forward.</p> <ul style="list-style-type: none"> New capital programme items must make a return for the investment in cost reductions or income on top of covering the interest and MRP costs Charges will be required to be in conformity with proposed corporate policy on charging recovering total costs and concessions will need to be justified in policy terms and funded by higher charges for others. Business case reviews to ensure that projects make a return Cost and income estimates commissioned from industry expert consultants to feed into business case Project delivery by Major
		Delay and/or significant cost over runs on major projects	<ul style="list-style-type: none"> Delay leads to cost increases beyond the ability of the council to finance the capital costs Delays and cost overruns lead to non- 		

East Herts Council Corporate Risk Register – 2021/22 quarter three

No	Score	Vulnerability	Trigger	Consequence	Risk owner	Mitigation / control
				<p>delivery of savings requiring service offer reductions to compensate</p> <ul style="list-style-type: none"> • Projected savings not achieved after project completion due to changes in market away from service offer • Significant local media engagement • Reputational damage. 		<p>Projects Team with quarterly reports on progress to Leadership Team and Executive.</p> <ul style="list-style-type: none"> • Capital Programme is phased and financed across years and contingency built into budgets so can be re-phased if required.

Update on current position

1		<ul style="list-style-type: none"> • In developing our medium and longer term plans we will need to have regard to the broader context in which we will be working. This includes: <ul style="list-style-type: none"> ○ The impact of operating in a post-pandemic economy with significant inflation driven by global supply chain issues. The Government will have to consider how it begins to pay off the borrowing it has undertaken during the pandemic – this is a mixture of higher taxation, with possible impact on economic recovery, and reductions in public service expenditure. Both would impact on the Council's income and ability to spend; ○ The shape of the post-Brexit and post-Covid economic and policy agenda, the impact of new post-EU funding regimes and the Government's Levelling Up programme; ○ Specific uncertainty over the future of local government funding, with key reforms due to be introduced from 2023/24 as indicated in the Levelling Up White Paper. The level of Government funding that the council will receive from 2022/23 onwards is not confirmed but the Comprehensive Spending Review levels indicate local government funding overall will be flat, i.e. no growth.; These are significant areas of change will have a
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Update on current position

- potentially significant financial impact and absolutely key will be any floor protection mechanism as East Herts is judged to have too much government support at present.
- The lasting impact the pandemic will have on young people in terms of education and employment opportunities;
 - The growing impact of climate change, the national and local commitments to achieve carbon neutrality and the introduction of a range of new measures through the Environment Bill;
 - The impact of Government reviews and reforms of public services and changes in policy– for example changes to infrastructure, transport and planning and potential structural changes;
 - The ongoing need to support post-Covid recovery and adjustment, both in our services and for society and the economy, against a backdrop of residual risk of further waves of infection and the potential need for an ongoing vaccination programme; and
 - Reviewing the way that we work and accelerating our planned changes to move towards a more hybrid way of working, and evolving our working practices to ensure we have modern, flexible workspaces and workstyles as part of the Transforming East Herts Programme.
- The Council’s business and financial planning is underpinned by the Corporate Plan and its four priorities, which provide a clear focus for decisions about spending and savings and direct activity across the Council. The four priorities are:
 - Sustainability at the heart of everything we do;
 - Enabling our communities;
 - Encouraging economic growth; and
 - Digital by default.
 - Officers will continue to explore options to further reduce net cost to meet the savings target for submission to the Executive. This will include examining non-statutory service provision levels and also reviewing and benchmarking contracts to ensure the prices remain competitive. A recent review of the office furniture contract resulted in an indicative 68% saving by switching to an alternative framework. A procurement strategy and indicative procurement timeline both featured in the improvements identified in the Annual Governance Statement endorsed by Audit & Governance Committee. A Social Value Policy is being developed to leverage funding for the third sector and as well

Update on current position

as applying to procurement it will invite developers to submit social value statements alongside planning applications, although this cannot be made compulsory until it is taken into consideration as part of the review of the East Herts District Plan.

- Rent payments on investment properties have no significant defaults to date. Rent reductions have been agreed for 2 tenants in Charringtons but this has to set against compensation that would have been payable when we need to move tenants out for handover for the Old River Lane regeneration as we have included appropriate break clauses as part of the new rent agreement.
- .
- Savings plans for 2021/22 is on target with garden waste sign up being on budget assumption with a high on-line sign up of 92.5% and direct debit payments at 82%
- Fees and Charges policy approved at December 2021 Council which sets full recovery as the standard charging basis. There have been a number of below cost charges agreed with no clear policy or justification in the past that are having to be dealt with as part of aligning charges with North Herts for joint commercial waste services.
- Grange Paddocks Leisure Centre construction completed October 2021 and 3G pitch planning application due February 2022. Northgate End construction work is substantially complete.
- Hartham contract awarded and works commenced late March.
- Old River Lane /Arts Centre change in scope progressing and approved by Council in March 2021 alongside the business plan. Development Agreement and Development Management Agreement draft to be agreed with s.151 officer and monitoring officer input. Master Planning process is underway.
- Hertford Theatre delayed due to non-award of contract as tendered prices too high. Subsequent re-tender has resulted in compliant bids and Council to vote on increase in scheme budget as part of Budget Council on 1 March 2022.
- All major capital projects are at risk of price increases as a result of the combined impact of COVID / BREXIT related inflationary pressures. In addition to the increasing cost of materials, there is a significant shortage of labour supply for the construction and M&E industries, which is in turn pushing up the price of labour. This is a national issue as evidenced by the average 13% increase in the Office for National Statistics Construction Output Prices Index. The insurance market has also hardened significantly which will likely result in higher buildings insurance premiums and

Update on current position

/ or levels of excess or difficulties obtaining cover.

- The national shortage of HGV drivers is driving up pay and this will lead to pressures on the cost of the waste contract as well as the cost and delivery of building materials.

East Herts Council Corporate Risk Register – 2021/22 quarter three

No	Score	Vulnerability	Trigger	Consequence	Risk owner	Mitigation / control
2	B 3	Corporate Governance and external political environment	<p>Brexit trade deal risks</p> <p>Planning Policy Changes</p> <p>Local government reorganisation / Devolution</p> <p>Climate Change / Zero Carbon / Build Back Greener</p>	<ul style="list-style-type: none"> Potential project delays due to labour shortages or materials imports, or increased project costs due to tariffs or supply chain difficulties. Non-Tariff barriers leading to supply chain price increases and longer replenishment times. Some UK businesses may relocate to the EU making current domestic supplies into imports. Government policy changes to introduce development zones, ends s.106 and CIL for government infrastructure levy Government impose unitary authorities and reduce exchequer grants by savings made 	Chief Executive	<ul style="list-style-type: none"> Address issues of labour shortage with contractors at progress meetings. Raise skills shortages at the LEP to ensure we train young people. Consider forward funding stockpile of materials subject to delays as part of contract mobilisation Consider risks to supply chain as part of procurement exercises Both officers and Members are engaged in networking and lobbying to seek to influence change and to gain early indications of new policies Both officers and Members are engaged in Herts Growth Board

East Herts Council Corporate Risk Register – 2021/22 quarter three

No	Score	Vulnerability	Trigger	Consequence	Risk owner	Mitigation / control
			<p>Changes to local taxation</p> <p>Leadership / Management change</p>	<ul style="list-style-type: none"> District required to be carbon neutral from 2030 and Government targets set with fines for non-achievement Business Rates and or Council Tax replaced with Land Value Tax or Local Income Tax Potential protests and non-payment campaigns Measure may end land banking with developers commencing on multiple sites to build out permissions and avoid LVT Uncertainty as to tax yields and redistribution mechanisms cause difficulties budgeting Change in leadership politically sets radically 		<ul style="list-style-type: none"> Work underway to progress carbon reduction and also exploring potential investments that support this aim but would also produce income for the council in the medium term. Both officers and Members are engaged in networking and lobbying to seek to influence change and to gain early indications of new policies. LVT is in operation in Denmark, Estonia and Latvia and there are suggested routes to implementation already published. Local Income Tax would require key data from HMRC before implications could be understood. Corporate Plan process Member induction and training

East Herts Council Corporate Risk Register – 2021/22 quarter three

No	Score	Vulnerability	Trigger	Consequence	Risk owner	Mitigation / control
			<p>Recession leading to increase in unemployment, business failure; low business growth and commercial property values decreasing significantly.</p>	<p>different policy agenda and tone</p> <ul style="list-style-type: none"> • Change in Leadership Team structure • Unemployment. • Empty properties / shops. • Lower rental income from council property portfolio. • Increased demand on council services. • Reduction in Council Tax Base due to LCTSS being a discount. • Reduction in Business Rates income to the safety net level 		<ul style="list-style-type: none"> • Code of conduct • Monitoring Officer/ s.151 officer • HR policies • Estimates of workload v capacity • Corporate Plan process • European Regional Development Fund / MHCLG project to support businesses with advice and support on growing. Ware and Bishop's Stortford Launchpad to be grown. • COVID support grants and business rates reliefs for 2020/21 and 2021/22 to support businesses through the pandemic. • Broxbourne BC and CVS digital / employment skills support

Update on current position

2

- Despite challenges from the pandemic, Brexit and global supply issues Grange Paddocks Leisure Centre opened on time and within budget in October 2021. Costs of other key capital projects (Hartham, Northgate End and ORL, Hertford Theatre) are being kept under constant review. Budget Council in March 2022 asked to approve an increase in the Hertford Theatre scheme budget to reflect price inflation since the budget was set in 2019.
- Number of residents with an East Herts address applying for Settled Status exceeded 7,000 (well above the estimated 4000)
- Officers are considering the lessons from how the Council has been able to operate during the pandemic within the Transforming East Herts Programme. It is evident that working from home is possible on a greater scale and this will have implications for our future accommodation needs and reduce travel leading to lower carbon emissions
- Council is actively targeting food waste reduction. The Climate Change Committee say that for the UK's next carbon budget food waste must be reduced by 75% i.e. the vast majority of carbon emissions are from the production and transportation of food that is wasted. The UN report on food waste said that almost a billion tons of food was wasted and led to carbon emissions that if it were a country, would be third behind the USA and China
- 2 stage approach to mitigating recession following COVID-19: In the first lockdown the council supported over 2,200 businesses with £30m of government funded grants and £18m of reliefs. A further £20m has been paid out since through different government grant schemes (via East Herts) and a further 600 businesses have benefitted on top of the 2,200 above.
- £132,000 of RHSS funding has been allocated to support safe re-opening of High Streets and has covered work such as traffic management on high streets to encourage social distancing. Due to the second national lockdown retail businesses are again facing significant challenges and our most recent response has been to introduce a shop local campaign focused on on-line buying and takeaways / click and collect services. The funding was also used to purchase hand sanitisers in town centres and planters to replace temporary traffic barriers. A second round of this funding has also been allocated to East Herts for the 2021/ 22 year under the "Welcome Back Fund" All 5 towns and 6 parish councils have received funding to undertake further cleaning, advertising and promotion of village/ town centres and provide additional seating to support safe re-opening of high streets.
- A new grant scheme was also launched in August aimed at encouraging new businesses to open up premises (or take on empty premises) in the district. As at the end of Q3 over 30 businesses had been awarded funding through

East Herts Council Corporate Risk Register – 2021/22 quarter three

Update on current position		
		<p>this scheme indicating healthy demand for business start ups and expansion in the district. Feedback from businesses is that there is not enough vacant commercial space to support the level of demandOther feedback from businesses and business representative organisations is the challenging labour market with a number of sectors facing high level of vacancies which cannot be filledCouncil also commissioned a new service with Broxbourne Borough Council and the CVS to support newly unemployed residents get back into work by supporting them with digital skills such as interviewing over Zoom and MS Teams. Service launched 5th October 2020. As at the end of Q3 over 250 individuals from East Herts had been referred to this scheme which is much higher than originally expected</p>

East Herts Council Corporate Risk Register – 2021/22 quarter three

No	Score	Vulnerability	Trigger	Consequence	Risk owner	Mitigation / control
3	A 3	Performance, resilience and security of IT systems	<p>Data and/or information lost causing breach of Data Protection Act</p> <p>Cyber-attack results in total loss of data and systems</p> <p>Investment in ICT does not result in savings</p>	<ul style="list-style-type: none"> • Substantial fine from Information Commissioner • Major media engagement • Reputational damage • Disruption to services potentially long-running • Inability to carry out enforcement as no records to check against • Resources devoted to recovery moved off to assist police investigation delaying recovery • Major media engagement • Reputational damage • Council becomes financially unsustainable 	Deputy Chief Executive	<ul style="list-style-type: none"> • Network Virtual Desktop configuration prevents download of data to local storage devices • Network firewall and security systems tested and monitored • Staff training • Confidential waste shredded • Massive reductions in printing since pandemic • Intuned laptops to be rolled out in Q4 • Projects to include estimated benefits and monitored through benefits realisation reports. The investment requirements are tried and tested systems that have resulted in savings elsewhere.

Update on current position		
3		<ul style="list-style-type: none"> December's report showed that in November 2021: <ul style="list-style-type: none"> 1,941 spam emails were blocked out of 268,796 received. 5 impersonation attempts were blocked. 44 emails containing malware were blocked. October's figures were similar. The GDPR/Data Protection Officer has been trained up and is now undertaking the full range of duties. M365 has started to be rolled out across the organisation with priority to Elected Members SBC (IT Shared partner) are developing a scope to be agreed by both parties for a review to be undertaken at the request of the respective council leaders, to provide assurance going forward and SOCITM has been appointed. In addition additional resourcing is being investigated to see if the replacement programme can be accelerated. SOCITM report on ICT is due in quarter 4. The Shared Internal Audit Service is undertaking an audit of data security and cyber risk. A new interim ICT Partnership Manager came into post during August and is making changes in project delivery arrangements and major incident protocols. The cyber insurance market has contracted significantly and cover may prove difficult to procure when insurance contracts are tendered in spring 2022, or prohibitively expensive. Scoping exercise with IT proposed to enable council to obtain our broker's view on the prospects of securing cover.

East Herts Council Corporate Risk Register – 2021/22 quarter three

Ref	Score	Vulnerability	Trigger	Consequence	Risk owner	Mitigation / control
4	B 2	Staff capacity and skills to deliver services	<p>Loss of key staff</p> <p>Staff capacity unable to deliver projects</p> <p>Unable to recruit to key posts</p>	<ul style="list-style-type: none"> • Disruption to Council services • Poor customer service • Internal control or governance failure • Reputation damaged in the media • Staff cannot undertake level or volume of work to meet all priorities • Council does not deliver performance expectations • Opportunities lost to improve outcomes • Partners lose confidence in ability to deliver • Public lose confidence in ability to deliver • Disruption to Council services • Poor customer service • Internal control or governance failure • Reputation damaged in the media • Disruption to Council 	Head of Human Resources and Org Development	<ul style="list-style-type: none"> • Staff development including the on-line learning pool • Succession planning for key staff within Services • Use of flexible retirement to ensure continuity of experienced staff whilst bringing on staff into roles • Prioritisation of work through the Corporate Plan and Executive Members • Major projects taken forward with corporate project management standards via the Major Projects Team • Market supplements where appropriate • Selective use of external resources and contingent labour through neutral vendor to drive down costs. • Internal communications emphasising welfare and mental health • Contingency planning

East Herts Council Corporate Risk Register – 2021/22 quarter three

No	Score	Vulnerability	Trigger	Consequence	Risk owner	Mitigation / control
			Industrial action	services <ul style="list-style-type: none"> • Poor customer service • Non-delivery of projects 		<ul style="list-style-type: none"> • Contingency planning

Update on current position

4

- The number of leavers in Q4 did increase and it remains challenging to recruit senior planning officers especially as agency terms are more favourable than direct salaries, the service is being restructured in 21-22 to try to improve the structure and create more opportunities for growth and retention. Golden Hellos are already used where appropriate as is 100% funding for qualifications. The service has now recruited a second service manager and created some team leader roles which have been filled and vacancies are being filled more often first time. The area remains a priority for grow your own through apprentice and career graded posts and these are used but currently there is not a valid apprentice framework to utilise. The service is undertaking a service review and this will be progressed in quarter one of 2022/23.
- The transformation programme also includes service reviews aimed at improving structure and ways of working i.e. to increase efficiency and effectiveness. Service reviews have begun in all services and meetings are being held in late March and early April. The reviews will be looking at staffing structure and roles to ensure fit for purpose.
- Turnover:
 - In Q1 of the 21/22 annual period turnover increased: There were 12 leavers in Quarter 1 (April – June 2021) giving a turnover rate for the quarter of 3.6%. Based on the number of leavers so far in Quarter 1, it is estimated that the turnover rate for the annual period 2021/22 will be 14.5%. This is higher than the annual projections in the same quarter in the previous year (4.8% in Quarter 1 in 2020/21 which was impacted by the pandemic) and it is higher than the local government average currently available (14% for 2018/19 for Local Authority districts in the UK). With the exception of 2020/21, historically turnover in Quarter 1 every year has been high (26.3% in 2018/19, 16.4% in 2019/20) and then it gradually decreases throughout the rest of the year. It is anticipated that turnover for 2021/22 will follow the same pattern. The increase has been reported

Update on current position

- to LT and HRC who have asked that it is monitored, looking at the reasons for leaving we have seen an increase in retirements and lifestyle changes, delayed leaving impacted by the pandemic.
- There were 11 leavers in Quarter 2 (July – September 2021) giving a turnover rate for the quarter of 3.4%. Based on the number of leavers so far in Quarters 1 and 2, it is estimated that the turnover rate for the annual period 2021/22 will be 14.1%. This is higher than the projections in the same quarter in the previous year (5.9% in Quarter 2 in 2020/21) and it is slightly higher than the local government average (14% for 2018/19 for Local Authority districts in the UK). It has however fallen since the previous quarter (14.5% in Quarter 1).
 - There were 9 leavers in Quarter 3 (October – December 2021) giving a turnover rate for the quarter of 2.8%. Based on the number of leavers so far in Quarters 1, 2 and 3 it is estimated that the turnover rate for the annual period 2021/22 will be **13.1%**. This has reduced and fallen by 1% since quarter 2 (21/22) and is now lower than the local government average (14% for 2018/19 for Local Authority districts in the UK).
 - Turnover is therefore reducing but as with many organisations we are seeing increased numbers of staff retiring and we have also seen staff change career as the Pandemic has effected people lifestyle choices. Homeworking is also a threat a staff can potentially work further away meaning that competing with London salaries will become more challenging.
- In line with savings required all recruitment must be approved by Leadership Team with enhanced justification and a requirement to explore either restructures or process changes to eliminate the need for the post.
 - The transformation programme includes a Modern Workforce Development strand which includes organisation development to support transformation (e.g. staff briefings, resilience training, six sigma training etc.), new staff and management competencies, a revised PDR, development to improve our one team culture as well as a blended work offer.
 - The Blended Work Offer has been shared with staff, the trials have worked well and from 1/11/2021 staff who wish to and their role allows will be working up to 50% at home and 50% in the office. There will be rota based system continuing in the shared Revenues and Benefits service where staff will continue with higher levels of home working in line with the shared service and potential growth. This has helped with some retention but the employment market is difficult in terms of hard to recruit posts becoming harder due to limited supply as well some employers offering full home working meaning that staff can be based further away.

Update on current position		
		<ul style="list-style-type: none">• The temporary labour supply arrangement went live in April 2020 which has reduced fees paid to agencies and ensures a wider pool of potential candidates. This is working fairly well with issues resolved with Matrix where they arise to improve the pooling.• The Indeed EHC branded website is working ok but has not been as successful as hoped and is being replaced with a multi-site package which will use several of the top recruitment platforms as well as indeed. This is being implemented through an Applicant Tracking System (ATS) which will include an improved online application form, online shortlisting, name blind shortlisting and improve our presence online. The new system will also aid onboarding again improving the candidate/new starter experience.• Ongoing work has continued with the Communications team and HR to improve the online presence and promote the employer brand further. Case studies have been developed to support welcoming diversity and a photographer is creating better images.• Career graded posts are continuing to be used and proving successful for hard to recruit posts with all four Lawyer roles successfully filled last year. A review of apprentices is continuing to both manage costs and support succession. This has been slowed by the pandemic, but we now recruiting into customer services as this allows progression into a range of services. We are awaiting a new planner framework and will potentially use this to bring further planning apprentices.• Once completed, Northgate End, Hertford Theatre and Old River Lane sites will all require IT and Facilities Management support over extended operating hours.

East Herts Council Corporate Risk Register – 2021/22 quarter three

No	Score	Vulnerability	Trigger	Consequence	Risk owner	Mitigation / control
5	C 4	Poor performance or failure of key partner or contractor	<p>Poor performance or failure of key partner or contractor</p> <p>Failure to mobilise major outsourced contracts properly and/or on time</p>	<ul style="list-style-type: none"> • Disruption to all Council services • Additional costs resulting from response • Demand to partner organisations to provide mutual aid to support our response • Cost and time involved in unplanned procurement exercises • Major media engagement • Reputational damage • Damage to relations with outsourcing partner and potential damages claim • 	Head of Operations	<ul style="list-style-type: none"> • Risk of contractor failure increased due to COVID. Regular discussions are continuing with contractors and key third sector partners to ensure no failures in delivery particularly during the pandemic • Credit risk scores are obtained for major contractors during the operation of the contract and particular attention is paid to trade news concerning contractors' financial health. • Offer of open book accounting to examine any potential cost increases as a result of changing circumstances. • Waste-related business continuity plans are also regularly reviewed. Brexit restrictions and the closure of Asian export markets will

East Herts Council Corporate Risk Register – 2021/22 quarter three

No	Score	Vulnerability	Trigger	Consequence	Risk owner	Mitigation / control
						impact on the sale of materials and income may cease and costs may increase. Talks are ongoing with other Hertfordshire authorities to determine alternative recycling operators. The council is investigating a circular economy option for the plastics waste stream in particular.

Update on current position

5		<ul style="list-style-type: none"> • Risk of business failure remains the same due to COVID and Brexit i.e. staff shortages, there remains an increased use of agency staff (and risks associated with service delivery of no shows, not knowing the routes etc). Business continuity plans refreshed and regular dialogue maintained with contractors who have been informed the council would look sympathetically at cost increases provided the council was told in advance and the contractor undertook to use reasonable endeavours to resolve cost pressures themselves utilising furlough and other central government support. • Customer confidence growing slowly within leisure centres, continued discussions with contractor to monitor impacts. • Contingency plans to step in should contractors fail. Principal route will be to use a TEKAL company to provide the service pending retendering as the company vehicle preserves the private sector T&Cs of employment. • Council has and is prepared to offer loans to help contractors with cash flow, subject to an assessment that they are a going concern
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Update on current position		
		<ul style="list-style-type: none"> Requirement for higher recycled packaging content has caused some plastic materials prices to increase.

No	Score	Vulnerability	Trigger	Consequence	Risk owner	Mitigation / control
6	C 3	Judicial Review and or major legal challenge	<ul style="list-style-type: none"> Council loses case 	<ul style="list-style-type: none"> Council policies may no longer be fit for purpose Unregulated activity until soundly based policy put in place Large costs award against Council Reputational damage Major media engagement Monitoring Officer and/or s.151 officer issues Report in the Public Interest Department for Levelling Up, Housing and Communities intervention Potential requirement to repeat procurement exercise and compensate 	Head of Legal and Democratic Services	<ul style="list-style-type: none"> All Executive, Committee and Council reports require sign off by legal and finance to ensure compliance with budget and policy framework and current legislation. List of policies maintained with review dates. Information Governance function strengthened to ensure compliance with data protection. Policies should be backed by evidence and Leadership Team consideration involves constructive challenge as well as formal Monitoring Officer and s.151 officer.

East Herts Council Corporate Risk Register – 2021/22 quarter three

No	Score	Vulnerability	Trigger	Consequence	Risk owner	Mitigation / control
		Loss of access to Cabinet Office systems	<ul style="list-style-type: none"> IT systems not meeting government standards leading to the elections team being unable to communicate with central government systems 	<ul style="list-style-type: none"> unsuccessful bidders in first exercise Additional and or abortive costs Loss of access to electoral registers, inability to run day to day elections business. 		<ul style="list-style-type: none"> IT have sought a waiver to allow access to Cabinet Office systems until such time that we are moved over to Windows 10.

Update on current position

6		<ul style="list-style-type: none"> All four new solicitors are now in post. The Contracts Lawyer, who started in March 2021, has been advising on the Council's major projects, allowing for much greater control. The Council's Information Governance and Data Protection Manager who started at the beginning of 2021, has undertaken a great deal of work with regards data mapping and updating the Council's policies, providing the Council with greater resilience against data breaches. Work being outsourced has more or less ceased, meaning that, where legal advice is required, East Herts Legal Team are now consulted throughout, reducing the risk of problems arising further down the line. Cabinet Office requiring that all Local Authorities move away from their soon to be defunct "Public Services Network" onto a new web based system. East Herts' IT systems do not currently meet the Cabinet Office's requirements and so we are unable to access the new web based system. IT have sought and been granted a waiver on certain requirements on the proviso that we will be moving onto Windows 10 shortly. 				
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East Herts Council Corporate Risk Register – 2021/22 quarter three

No	Score	Vulnerability	Trigger	Consequence	Risk owner	Mitigation / control
7	A 1	District Plan	Failure to refresh District Plan to timescales and /or refreshed District Plan found to be unsound at examination	<ul style="list-style-type: none"> Planning becomes developer led rather than planning policy led through 5 year land supply test Additional costs to redo work Additional costs of planning appeals and possible judicial reviews Reputational damage Loss of affordable housing and S.106 / community infrastructure levy benefits Failure to meet 5 year Housing Land Supply requirements Possible intervention by the Department for Levelling, Housing & Communities 	Head of Planning	<ul style="list-style-type: none"> Evidence based planning policy decisions Strong focus on Member, Parish, partner and community buy-in

Update on current position						
7		<ul style="list-style-type: none"> The District Plan was adopted in October 2018 following a successful examination in public. Planning in East Herts is therefore ‘plan-led’ rather than ‘developer-led’. 				

Update on current position		
		<ul style="list-style-type: none"> • The majority of strategic sites now have an agreed Masterplan. • Following the Housing Delivery Test results in January, the Council has maintained the minimum 5% buffer and therefore can demonstrate a housing year land supply in excess of 5 years. • The Council has also continued its trend of annual improvements on the Housing Delivery Test, this year being able to demonstrate a 130% delivery rate meaning that the Council is meeting its housing need and addressing the undersupply of previous years as well. • A total of 853 dwellings were completed in 2020/21. Of these, 267 were affordable homes which represents 31.3% of all completed dwellings in the district. • To be effective plans need to be kept up-to-date. The National Planning Policy Framework states policies in local plans, should be reviewed to assess whether they need updating at least once every 5 years, and should then be updated as necessary. Officers are currently considering whether a review of the District Plan is required.

East Herts Council Corporate Risk Register – 2021/22 quarter three

Page 14 of 24	Score	Vulnerability	Trigger	Consequence	Risk owner	Mitigation / control
8	A 4	Climate change	<p>Severe Weather causing major incident (includes flood, wind, snow, cold and heat)</p> <p>Drought</p> <p>Weather extremes require substantial retrofit costs for asset adaptations</p>	<ul style="list-style-type: none"> • Disruption to Council services as staff diverted to response • Additional costs of response • Service changes required if long recovery phase • Service change required to adapt e.g. heatwave early day starts • Major media engagement • Disruption to some services through water restrictions • Additional costs of support to vulnerable service users • Public health issues • Non-availability of capital resources may cause working conditions on some days to be unbearable. • Instances of abandoning assets where hold the 	Head of Housing & Health	<ul style="list-style-type: none"> • Business Continuity Plan Severe Weather section • Emergency Plan including specific response plans to flooding etc. • Health and Safety Policy details severe weather response • Council reducing carbon footprint for the district • Emergency Plan • Business continuity plan • Council reducing carbon footprint for the district • New modern workspace work stream of the Transformation Programme will address climate change issues in the design

East Herts Council Corporate Risk Register – 2021/22 quarter three

No	Score	Vulnerability	Trigger	Consequence	Risk owner	Mitigation / control
				line defences against floods no longer viable <ul style="list-style-type: none"> Increasing attacks by non-native species causing biodiversity loss Increased costs arising from new operating requirements, e.g. sustained +30 degree heat requires refuse freighter insides to be degreased and jetted out regularly to prevent oils and fats combusting 		

Update on current position

8		<ul style="list-style-type: none"> Climate change motion agreed July 2019. Multi-agency environmental and climate change forum continues. Energy efficiency modifications to key existing buildings and new electricity contract is from renewable sources. Review underway of motor fleet with extended use of e-vehicles. Carbon footprint reducing as a consequence of pandemic and homeworking. Future agile working will support. Food waste minimisation campaign to reduce carbon footprint by food being wasted as well as the disposal route. List of achievements posted on website at https://www.eastherts.gov.uk/about-east-herts-0/environmental-sustainability/sustainability-get-involved. Training commenced for officers. Clean Air Day campaign held.
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Update on current position						
						<ul style="list-style-type: none"> Engagement with insurers over design / materials for new buildings. Use of sustainable materials and modern methods of construction proving problematic. Insurers want more emphasis on property protection (in addition to life saving standards). Major developments are also situated in or adjacent to flood zones. Insurance Broker Surveyor to be instructed to review Hertford Theatre plans and provide report on likely insurance market reaction. HCCSP strategic theme – adaptation.

No	Score	Vulnerability	Trigger	Consequence	Risk owner	Mitigation / control
9	A 1	Child / Vulnerable Adult Protection	Child / Vulnerable Adult protection failure	<ul style="list-style-type: none"> Possible legal action for damages Possible prosecution Major media engagement Reputational damage 	Head of Housing & Health	<ul style="list-style-type: none"> Safeguarding policy Annual training for staff and Members

Update on current position						
9						<ul style="list-style-type: none"> 90% of Members have received safeguarding training or briefings. Officer training on safeguarding annually. Targeted training took place for 10 officers in quarter one with 40 booked to future sessions. Further training being provided to Community Safety Partnership Board and Joint Advisory Group Partners. Quarterly safeguarding report submitted to Leadership Team. Hertfordshire Safeguarding Adults Board self-assessment complete. Favourable feedback received along with

East Herts Council Corporate Risk Register – 2021/22 quarter three

Update on current position		
		<p>recommendations for further improvement.</p> <ul style="list-style-type: none"> • SIAS Audit scheduled for February 2022. • Domestic Abuse Policy considered and approved by HR committee in November 2021.

No	Score	Vulnerability	Trigger	Consequence	Risk owner	Mitigation / control
10	A 2	Equalities	Council found to have discriminated against individuals or communities with protected characteristics OR council has made a decision without considering equalities and diversity implications.	<ul style="list-style-type: none"> • Possible legal action for damages • Possible enquiry and report by Equalities & Human Rights Commission • Major media engagement • Reputational damage 	Head of Comms, Policy & Strategy	<ul style="list-style-type: none"> • East Herts into a shared service for equalities and diversity support with HCC in November 2020. • New strategy being developed to address challenges and embed equalities and diversity in decision making.

Update on current position		
10		<ul style="list-style-type: none"> • New strategy was approved by Council on 28 July. Since then significant work has been undertaken on training staff on the equalities impact assessment process and forming a staff equalities group

East Herts Council Corporate Risk Register – 2021/22 quarter three

No	Score	Vulnerability	Trigger	Consequence	Risk owner	Mitigation / control
11	B 2	Internal control	Failure of internal control or unethical behaviour	<ul style="list-style-type: none"> • Qualified accounts • Possible Police involvement if fraud involved • Major media engagement • Reputational damage • Increased costs as a result of loss or fine or compensation payments 	Head of Strategic Finance and Property	<ul style="list-style-type: none"> • Key reconciliations carried out regularly. • Internal audit work planned and undertaken on key areas. • Assurance Mapping • Electronic workflow where controls much harder to circumvent • Separation of duties appropriate to the staffing numbers

Update on current position						
11		<ul style="list-style-type: none"> • Audits remain mostly on track and there is sufficient audit scope for an assurance opinion to be given • Assurance Mapping approach to be introduced which will show visually where assurance is gained and also identifies duplications and unnecessary steps which will inform officers undertaking lean process reviews and help Audit & Governance Committee to see where there are risks and then internal audit resources can be directed there. • Full suite of updated anti-fraud and corruption policies to be submitted to Leadership Team in October and Audit and Governance Committee in November 2021. Intranet and website content to be updated once agreed. The new policies will be publicised to all employees. • The Shared Anti-Fraud Service recommenced meetings with teams to provide training and increase awareness, starting with Parking (blue badge misuse), Licensing and Housing in October 2021. 				

East Herts Council Corporate Risk Register – 2021/22 quarter three

No	Score	Vulnerability	Trigger	Consequence	Risk owner	Mitigation / control
12	A 4	Outbreak of disease in humans	Pandemic and/or Public Health Emergency Declared	<ul style="list-style-type: none"> • Loss of staff and/or key skills due to illness and related absenteeism • Requirement to enable entire workforce to work from home • Requirement for Council and Committees to meet via video conference • Loss of income/additional costs • Loss of essential services /utilities/ suppliers • Demand from partner organisations to provide staff and other resources to support their response • Major media engagement • Disruption to all Council services • Increased risk of fraud from support programmes 	Head of Housing and Health	<ul style="list-style-type: none"> • Business Continuity Plan • Emergency Plan • Dynamic risk assessments and keeping office open and COVID secure in line with government guidance. • Agile working introduced and scaled up to ensure social distancing • Fraud alerts on pandemic circulated by SAFS

Update on current position		
12		<ul style="list-style-type: none"> • Updates on financial compensation are included under Risk 1 • Updates on recovery work on supporting the local economy are detailed under Risk 2 • Alternative working methods instigated as a result of Covid 19 including home working and IT communications solutions (Zoom, Teams, WhatsApp and the like) • Blended working arrangements commenced autumn 2021 with staff working 50% at the office and 50% from home. • Detailed, up-to-date risk assessments in place including frequent Covid self-testing • Live Well, Work Well programme amended to incorporate greater emphasis on staff mental health • Joined up working with key partners, notably HCC and the police, to ensure coherent and planned use of financial and staff resources, for example Covid marshals and joint visits/advice/enforcement actions re: businesses. (Covid marshal scheme extended during quarter one.) Shop safe, shop local campaign held. • Restart grants for businesses and community covid recovery grant schemes opened. • Public facing recovery plan published in April. • In-person Member meetings resumed. • East Herts vaccination plan drawn up. Bidding for resources for vaccine tracing.

East Herts Council Corporate Risk Register – 2021/22 quarter three

No	Score	Vulnerability	Trigger	Consequence	Risk owner	Mitigation / control
13	A 1	Business Continuity Plan / Emergency Plan	Major Incident Occurs Plan fails	<ul style="list-style-type: none"> Loss of essential services / utilities/ suppliers Demand from partner organisations to provide staff and other resources to support their response Major media engagement Disruption to all Council services Unable to support partner organisations to provide staff and other resources to support their response Possible legal action or public inquiry 	Head of Housing & Health	<ul style="list-style-type: none"> Emergency Plan Major Incident protocols Business Continuity Plan Keep plans under review every 6 month and keep evidence. Review of response after every incident Training for staff in EP roles Regular exercises once a quarter Emergency and Resilience work provided through Hertfordshire County Council

Update on current position

<div data-bbox="91 1201 143 1292">13</div> <div data-bbox="91 1292 143 1465">Page 20</div>		<ul style="list-style-type: none"> • Normal business continuity and emergency planning activities have continued during the pandemic. • Mutual aid was provided to the NHS to support staff shortages as well as supporting testing and vaccination • Desk top exercise accessing plans and refresh of contact lists undertaken • Communications test undertaken from County to Districts to check notification cascade. • Review of business continuity plan by Hertfordshire County Council Resilience Officer underway. . • Proposed test of the emergency plan postponed during pandemic. The test will be the priority once the business
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Update on current position		
		<p>continuity plan review is complete.</p> <ul style="list-style-type: none"> Review of IT Disaster Recovery Plan to take place.

Likelihood	Description		Likelihood of occurrence	Probability of occurrence	
	4	High	Monthly	The event is expected to occur or occurs regularly	
	3	Medium	Annually	The event will probably occur	
	2	Low	1 in 5 years	The event may occur	
	1	Very Low	Less frequently than 1 in 5 years	The event may occur in exceptional circumstances	
Impact	Description		Financial	Reputation	Service / operation
	A	Critical	> £1m p.a.	Serious negative media	Catastrophic fall in service quality or long term disruption to services
	B	Significant	£400,000 to £1m p.a.	Adverse national media	Major fall in service quality or serious disruption to services
	C	Marginal	£100,000 to £400,000 p.a.	Adverse local media	Significant fall in service quality
	D	Minor	< £100,000	Public concerns restricted to local complaints	Little impact to service quality



Risk Management Strategy 2022/23

Leadership Team
Audit and Governance Committee
Issued to all Members
Added to intranet

15 March 2022
5 April 2023
TBA
TBA

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Introduction

What is risk management and why is it important?

Risk management is the process by which risks are identified, evaluated and controlled. It can enable the effective use of resources, secures the assets of the council and successfully achieve objectives and deliver strategies.

Risk management is often associated with being cautious. In the context of service delivery in the current climate when public services face unprecedented challenges, success demands innovation and often involves identifying and taking opportunities that involve risk. Risk management should be about identifying and managing those risks so that appropriate risk taking delivers improvements for the council's stakeholders.

East Herts Council recognises that risk management is an essential element of good governance and must be embedded in the culture of the authority, particularly projects and strategic decisions, including procurement and contracting. It supports informed decision making thereby enabling opportunities to be exploited, or action to be taken to mitigate or manage risk to an acceptable level.

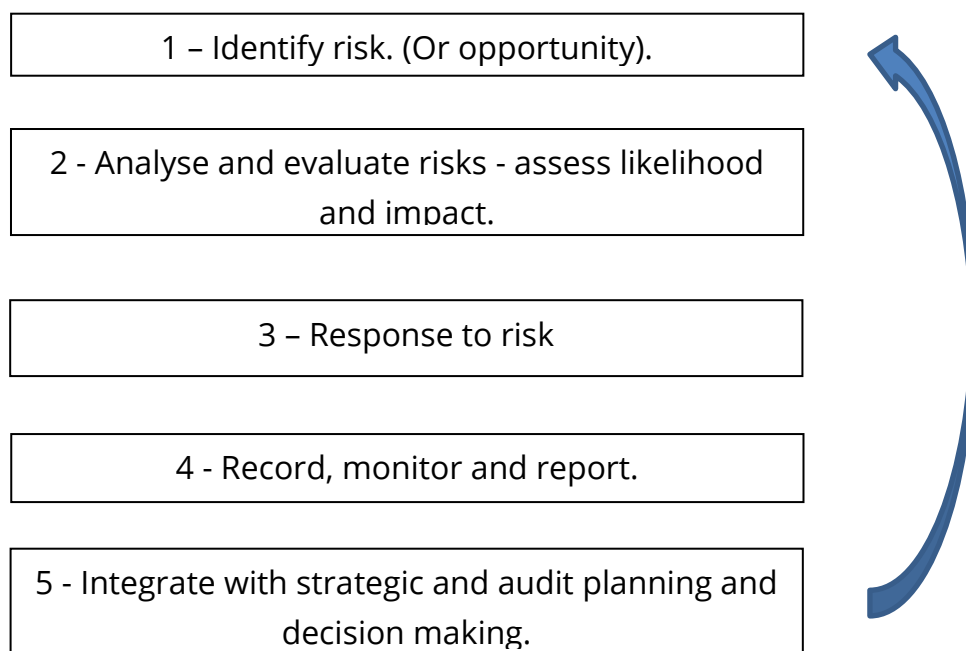
Issue and review

The Risk Management Strategy will be placed on the intranet and will be issued to all Members, Leadership Team and Senior Managers.

The strategy is reviewed each year, and following key changes in central or local policies. Risk management is also subject to frequent audit by the Shared Internal Audit Service (SIAS) and feeds in to the risk-based audit planning process.

Implementation of risk management

Implementing the strategy involves a 5-stage process:



Stage 1 - Identifying risk

Risk can be defined as the combination of the probability of an event and its consequences (*ISO/IEC Guide 73*) and can broadly be categorised into **strategic** and **operational** risks:

Strategic risks are the highest level 'business risks' faced by the authority and concern long-term strategic objectives. They can be affected by such areas as budgetary pressures, government policy, legal and regulatory changes and changes in the physical environment.

Operational risks are the day-to-day issues that the organisation is confronted with as it strives to deliver its strategic objectives.

Prompts and further risk examples feature at appendix one.

As explained in step four, an inventory of risks is prepared of those events which might create, prevent, accelerate or delay the achievement of objectives. It is important that those involved with the process clearly understand what the council wants to achieve in order to be able to identify the barriers. A variety of

people from across the organisation should input to ensure that all risks are identified.

Strategic risks are generally considered at an annual review with Leadership Team. Service or operational risks are identified through the service planning process, with service managers, at project meetings and / or through the committee reporting process.

The process for the identification of risk should be undertaken for projects (at the start of each project stage), partnerships, service planning and at a strategic / corporate level. Details of who contributes to these stages are explained further in the roles and responsibilities section.

It is important to remember that risk management is also about making the most of opportunities. For example:

- Making bids for funding.
- Savings that may be achievable or income that may be generated.
- Income generation initiatives.
- Tendering a large contract may also provide an opportunity to reshape service delivery.

The risk should be captured on the example template in appendix two. More information on recording and monitoring features in stage 4.

Stage 2 – Analysing and evaluating the risks

The likelihood of a risk occurring and its potential impact are scored using the criteria below. Thresholds have been set to ensure that scoring remains consistent across the authority including committee reports and project documentation. These thresholds will be reviewed annually.

It is recognised that increasing pressure on public finances means that local authorities are obliged to have more appetite for risk. The council cannot deliver everything it would ideally like to deliver and tough choices are necessary. The council is therefore open to considering all delivery options, accepting increased levels of risk in order to secure the successful outcomes or rewards.

		Description	Likelihood of occurrence	Probability of occurrence
Likelihood	A	Almost certain	Monthly	The event is expected to occur or occurs regularly
	B	Probable	Annually	The event will probably occur
	C	Possible	1 in 5 years	The event may occur
	D	Unlikely	Less frequently than 1 in 5 years	The event may occur in exceptional circumstances

		Description	Financial	Reputation	Service / operation
Impact	1	Very high	> £1m p.a.	Serious negative media	Catastrophic fall in service quality or long term disruption to services
	2	High	£400,000 to £1m p.a.	Adverse national media	Major fall in service quality or serious disruption to services
	3	Moderate	£100,000 to £400,000 p.a.	Adverse local media	Significant fall in service quality
	4	Minor	< £100,000	Public concerns restricted to local complaints	Little impact to service quality

The following matrix is used to plot risks to illustrate priority.

Leadership has set a tolerance level. Risks rated 'high' exceed the tolerance level are actively managed and regularly reviewed to ensure that contingency and mitigation action is being taken.

Impact	Very high				High
	1				
	High		Medium		
	2			Medium	
	Moderate				
	3				
	Minor	Low			
	4				
		Unlikely	Possible	Probable	Almost certain
		D	C	B	A
Likelihood					

Stage 3 - Respond to risks

Risks may be able to be:

Controlled - It may be possible to mitigate the risk by 'managing down' the likelihood, the impact or both. The control measures should however be commensurate with the potential frequency, severity and financial consequences of the risk event.

Accepted - Certain risks may have to be accepted as they form part of, or are inherent in, the activity. The important point is that these risks have been identified and are clearly understood.

Transferred - to another body or organisation i.e. insurance, contractual arrangements, outsourcing, partnerships etc. (Liabilities cannot be contracted out in their entirety. The council will often retain overall accountability; and certainly for health and safety risks.)

Terminated - By ending all or part of a particular service or project.

It is important to recognise that in many cases controls will already be in place. It is therefore necessary to look at these controls before considering further action. They may be out of date or not complied with.

Most risks are capable of being managed, either by managing down the likelihood or impact or both. Relatively few risks have to be transferred or terminated.

Stage 4 – Recording, monitoring and reporting

Risks are recorded on a risk register. The template with a completed example features at appendix 2.

The current score is recorded in the second column using the matrix above. A concise title is recorded in the 'vulnerability' column and the 'triggers' recorded in column four. These are descriptions of the threats faced with the 'consequences' listed in the fifth column.

Leadership Team will monitor the Strategic Risk Register and review the content quarterly to include scores and descriptions. Actions completed or planned to mitigate risk shall be recorded and an updated position statement provided. This position statement should be used to record variances such as levels of funding, changing legislation or policy.

Any new risks should be added and obsolete risks deleted.

Each Head of Service will also maintain a risk register for their service and ensure that a risk register is also in place for each project. These will be monitored at least quarterly with project risks also reported to Leadership Team. Every officer responsible for managing risk is responsible for escalating that risk to the next level of management where appropriate.

A risk should be escalated if it could:

- Impact on the delivery of the council's strategic objectives.
- Significantly affect achievement of the Corporate Plan.
- Result in significant adverse publicity for the council.
- Result in litigation against the council.
- Require additional financial resources.
- Prevent delivery of a committed or planned action.
- Present a significant threat to the safety of the community.
- Events change and reassessment indicates a higher risk.

In exceptional cases where it is not possible to escalate to the next management level, the council's Head of Strategic Finance and Property should be contacted who will arrange for it to be reported to Leadership Team and / or Audit and Governance Committee as appropriate.

Stage 5 - Integrate with strategic and audit planning and decision making

In order to formalise and structure risk management at the council, it is recognised that there are obvious and clear links between risk management and strategic planning; financial and audit planning; policy making and review and performance management. The linkages are as follows:

- Risk management is part of the business planning process. Guidance is issued annually to Leadership Team.
- Financial Procedure Rules apply to every Member and officer of the council and anyone acting on its behalf. The council encourages innovation, providing this is within the framework laid down by the Financial Procedure Rules, and the necessary risk assessment and approval safeguards are in place.
- Risk registers will be shared with the Shared Internal Audit Service for the purposes of audit planning.
- Risk management process can lead to the development of corporate policies and monitoring of compliance. E.g. health and safety, data protection and land management.

Roles and responsibilities

Members

Elected Members are responsible for governing the delivery of services to the local community. Members have a responsibility to understand the strategic risks that the council faces.

All Members will have the responsibility to consider the risks associated with the decisions they undertake and will be informed of these risks in the reports that are submitted to them. They cannot seek to avoid or delegate this overall responsibility, as it is key to their stewardship responsibilities.

Executive

- Allocate sufficient resources to address top risks.

Audit and Governance Committee

- To provide assurance of the effectiveness of the risk management process and monitor the effective development and operation of risk management policies in the council.
- Monitoring of the Strategic Risk Register.

Chief Executive and Leadership Team

- To ensure that effective systems of risk management and internal control are in place to support the corporate governance of the council.
- Take a leading role in identifying and managing the risks and opportunities to the council and to set the example and standards for all staff.
- Advise on the management of strategic and other significant risks.
- To ensure that the risk management process is part of all major projects, partnerships and change management initiatives.

Heads of Service

- To implement the detail of the Risk Management Strategy and risk related corporate policies, e.g. health and safety, data protection.
- Ensure that all reports written for Members include risk commentary.
- To be individually responsible for their service risks and ensure that registers are maintained and reviewed at least quarterly.

Senior Managers and Project Managers

- Manage and monitor key risks effectively in each area of their responsibility, escalating to Leadership Team where necessary.

Strategic Finance and Property

- Advise on corporate risk profiling and management, including safeguarding assets, risk avoidance and insurance.
- Co-ordinate risk management activities and prepare related reports for Leadership Team and Members.
- Review, develop and promote the Risk Management Strategy and processes.
- Facilitate / arrange risk management training for staff and Members.
- Support the risk based audit planning process.

Shared Internal Audit Service

- To provide assurance to the council through an independent and objective opinion on the control environment comprising risk management, control procedures and governance.
- To provide an annual Audit Plan that is based on a reasonable evaluation of risk, and to provide an annual assurance statement to the council based on work undertaken in the previous year.
- Review and challenge the effectiveness of the risk management framework.

Summary

To summarise, the following principles will govern the way the council delivers effective risk management:

- Ensure that those responsible for managing risks understand how to identify and manage them.
- Ensure that the council's culture encourages risks to be identified, reported and managed to encourage appropriate risk taking to deliver innovative solutions to service improvement.
- Ensure that roles and responsibilities for identifying, assessing, managing, communicating and being accountable for risk are clear.
- Ensure that those managing risks have the authority and resources to do so and are accountable.
- Ensure that risk management is integrated into day to day management of the council's business.
- Ensure that risk registers are completed and regularly reviewed with appropriate reporting and escalation of risks to the management level above.

Appendix 1 –Examples of risks

Risk	Definition	Examples
Political	Associated with the local or central government policy or the local administration's manifesto commitment.	New political arrangements. Response to pandemic.
Finance	Affecting the ability of the council to meet its financial commitments. These include internal budgetary pressures, external macro level economic changes or consequences of proposed investment decisions.	Financial climate. Financial sustainability and income streams. Budget overspends. Level of council Tax. Level of reserves. Changes in interest rates. Inflation.
Social	Relating to the effects of changes in demographic, residential or socio-economic trends on the council's ability to meet its objectives.	Ageing population. Health statistics. Crime rates. Housing development. Employment sites and ability to influence growth. Cost of living. Deprivation indicators.
Technological	Associated with the capacity of the council to deal with the pace/scale of technological change, or its ability to use technology to address changing demands. They may also include the consequences of internal technological failures on the council's ability to deliver its objectives.	E-Gov. IT infrastructure. Staff/client needs. IT Security.
Legislative / Legal	Associated with current or potential changes in law or possible breaches of legislation.	GDPR. Human rights. TUPE regulations. Challenge to procurement exercise.
Continuity / service delivery	Ability to deliver services.	Impacts of pandemic. Loss of key staff, contractor, building, documents or IT.

Environmental	Relating to the environmental consequences of progressing the council's strategic objectives.	Land use. Recycling. Pollution. Extreme weather events.
Competitive	Affecting the competitiveness of the service (in terms of cost or quality) and/or its ability to deliver best value.	Fail to win quality accreditation. Alternative service providers.
Customer / citizen	Associated with failure to meet the current and changing needs and expectations of customers and citizens.	Managing expectations. Extent of consultation.
Managerial / profession	Associated with the particular nature of each profession, internal protocols and managerial abilities.	Resources and ability to deliver services and key projects. Staff restructure.
Partnership / contractual	Associated with failure of contractors and partnership arrangements to deliver services or products to the agreed cost and specification.	Contractor fails to deliver. Partnership agencies do not have common goals. Shared services.
Physical	Related to fire, security, accident prevention and health and safety.	Land / facility management. Health and safety risks. Development sites.

Appendix 2 – Risk Register template with example completed

No	Score	Vulnerability	Trigger	Consequence	Risk owner	Mitigation / control
1	A 4	Financial Resources	Reduction in government grant combined with higher demand for demand-led services such as homelessness, or failure to generate income. Failure to realise capital receipts to support capital expenditure. Council Tax Referendum levels set too low to generate sufficient tax revenue. Sudden economic down turn results in negative Tax Base figures because of increased local Council Tax support claims Members do not agree significant savings at budget setting leading to an unbalanced budget leading to a s.114 report.	<ul style="list-style-type: none"> • Reductions in services required. • Performance against community expectations and targets reduced. • Investment in improvement not possible or severely reduced. • Failure to meet statutory duties with potential for legal action or Local Government Ombudsman finds significant cases of maladministration. • Corporate Manslaughter charges if maintenance works not carried out, e.g. Legionella in air handling and cooling units. • Large numbers of staff redundancies. • Major media engagement. • Potential for MHCLG intervention. 	Head of Strategic Finance and Property	<p>Minimum Balances held on risk assessment basis to cushion impact over short term (max 2 years).</p> <p>Modelling of impact of grant settlement scenarios and function and funding changes. Three year MTFP savings programme.</p> <p>Transformation Programme in scoping stage to deliver savings and efficiencies through an emphasis on: digital self-service; process automation; agile working leading to a much reduced accommodation requirement.</p> <p>Financial Sustainability Committee considering investments in infrastructure or operational assets that yield income or cost reductions that are not caught PWLB lending rules.</p> <p>New capital programme items must make a return for the investment in cost reductions or income on top of covering the interest and MRP costs.</p> <p>Charges will be required to be in conformity with proposed corporate policy on charging recovering total costs and concessions will need to be justified in policy terms and funded by higher charges for others.</p>

Update on current position

- The lockdown has caused a loss of income of approximately £800,000 per month. The third national lockdown will be reviewed in mid-February but with the new variants of the virus and the vaccination programme underway the base planning assumption is that some form of restriction will remain in place until June at the earliest. Once restrictions are eased we expect a cautious and gradual lifting on a regional basis with close examination of data so it is likely to take some time for people to return to their previous patterns of behaviour.
- Total Government support of just over £2.9 million has been received to date for Council services. A further £63.6 million has been received by the Council and paid out to support business and the community in East Herts.
- Council's £2.9 million funding compensates for loss of transactional income but not items such as rent on investment properties. It also contains one off funding for new burdens administering grants for business and residents but is significantly less than the actual cost of administering these schemes.
- Rent payments on investment properties have no significant defaults to date. Rent reductions have been agreed for 2 tenants in Charringtons but this has to set against compensation that would have been payable when we need to move tenants out for handover for the Old River Lane regeneration as we have included appropriate break clauses as part of the new rent agreement.
- Government has committed to the income compensation scheme for the first quarter of 2021/2 and it is possible that they would extend the scheme to cover periods of restrictions beyond quarter 1.
- Once the pandemic has ended and the economy has started to recover, the Government will have to determine how it will manage public finances going forward. It is likely that a new phase of austerity may well follow and central funding for district councils is likely to be limited or reduced. The government may well change the local taxation system by abolishing Business Rates and Council Tax and replacing it with some other form of property related or land value taxation. The Government may also decide to impose reorganisation on local government to reduce the number of Councils significantly.
- Leadership Team and Service Managers have looked at agile working proposals and validated the likely maximum number of desks required going forward. Indicative figures at this stage indicate that Wallfields is not suitable and officers are now exploring options around sharing space with HCC or relocation elsewhere.
- Corporate policy on charging to be developed to ensure consistency across charges – there have been a number of below cost charges agreed with no clear policy or justification in the past that are having to be dealt with as part of aligning charges with North Herts for joint commercial waste services.



INTERNAL AUDIT PLAN 2022/23

EAST HERTS COUNCIL
AUDIT & GOVERNANCE COMMITTEE
5 April 2022

RECOMMENDATION:

Members are recommended to approve the proposed East Herts Council Internal Audit Plan for 2022/23

Contents

1. Introduction and Background

2. Audit Planning Process

2.1 Planning Principles

2.2 Approach to Planning

2.11 Planning Context

2.14 Internal Audit Plan 2022/23

3. Performance Management

3.1 Update Reporting

3.3 Performance Indicators

Appendices

A Proposed East Herts Council Internal Audit Plan 2022/23

B Indicative Audit Start Dates

RECOMMENDATION:

Members are recommended to approve the proposed East Herts Council Internal Audit Plan for 2022/23

1. Introduction and Background

- 1.1 The mission of Internal Audit is “to enhance and protect organisational value by providing risk-based and objective assurance, advice and insight”. The Public Sector Internal Audit Standards (PSIAS) encompass the mandatory elements of the Institute of Internal Auditors (IIA) International Professional Practices Framework (IPPF). These Standards note that a professional, independent, and objective internal audit service is one of the key elements of good governance, as recognised throughout the UK public sector. The SIAS Board has approved the SIAS Internal Audit Strategy in December 2021 and this strategy outlines how SIAS will achieve the mission of Internal Audit and ensure ongoing compliance with the PSIAS. The following report follows the key principles within the Strategy related to Audit Planning and Resourcing, with the Strategy document itself being available to Members upon request.
- 1.2 The PSIAS set out how SIAS must approach audit planning. The specific standards that SIAS must adhere to are as follows:

Standard	Description
2010	A risk-based plan, setting out audit priorities consistent with the goals of the organisation.
2010	Linked to annual opinion need and Internal Audit Charter
2010.A1	Based on documented risk assessment, updated at least yearly and consulting Senior Management and Members
2010.A2	Reflect expectations of Senior Management, Members, and other stakeholders
2020	Communicated to Senior Management for review and to Members for approval
2030	Ensure internal audit’s resources are fit and effectively used
2030	Must explain how resource adequacy assessed, and set out results of any limits

- 1.3 The Council’s Internal Audit Plan sets out the programme of internal audit work for the year ahead, and forms part of the Council’s wider assurance framework. It supports the requirement to produce an audit opinion on the overall internal control environment of the Council, as well as a judgement on the robustness of risk management and governance arrangements, contained in the Chief Audit Executive’s Annual Opinion Report.
- 1.4 The Shared Internal Audit Service’s (SIAS) Audit Charter was presented to the November 2021 meeting of this Committee, and it shows how the Council and SIAS work together to provide a modern and effective internal audit service. This approach complies with the requirements of the United Kingdom Public Sector Internal Audit Standards (PSIAS) which came into effect on 1 April 2013 and revised on 1 April 2017. An updated version of the SIAS Audit Charter will be brought to the next Audit & Governance Committee meeting for Member approval.
- 1.5 Section 2 of this report details how SIAS complies with these requirements.

2. Audit Planning Process

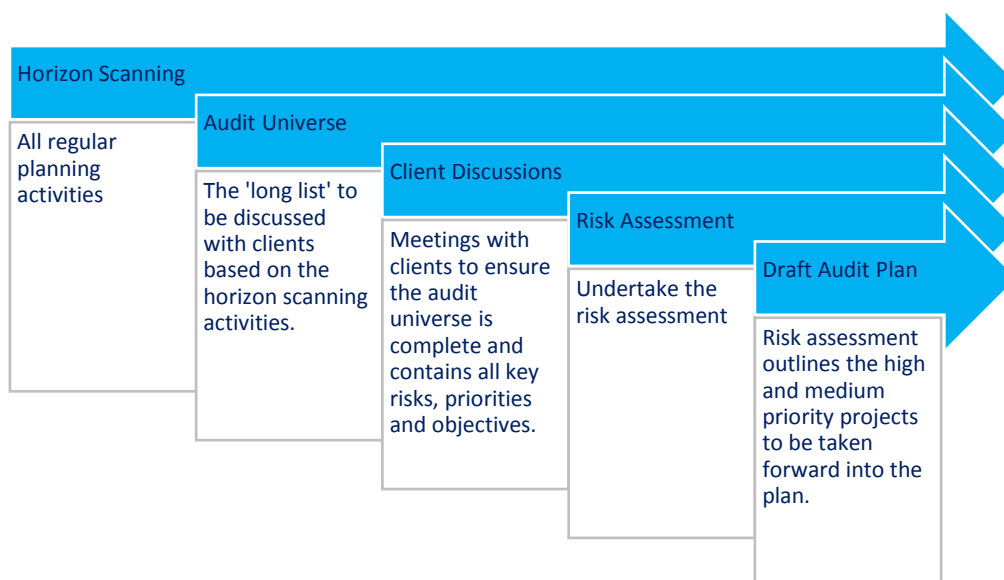
Planning Principles

2.1 SIAS audit planning is underpinned by the following principles:

- a) Focus of assurance effort on the Council's key issues, obligations, outcomes and objectives, critical business processes and projects and principal risks. This approach ensures coverage of both strategic and key operational issues.
- b) Maintenance of an up-to-date awareness of the impact of the external and internal environment on the Council's control arrangements.
- c) Use of a risk assessment methodology to determine priorities for audit coverage based, as far as possible, on management's view of risk.
- d) Dialogue and consultation with key stakeholders to ensure an appropriate balance of assurance needs. This approach includes recognition that in a resource-constrained environment, all needs cannot be met.
- e) Identification of responsibilities where services are delivered in partnership.
- f) In-built flexibility to ensure that new risks and issues are accommodated as they emerge.
- g) Capacity to deliver key commitments including governance work.
- h) Capacity to respond to management requests for assistance with special investigations, consultancy, and other forms of advice.

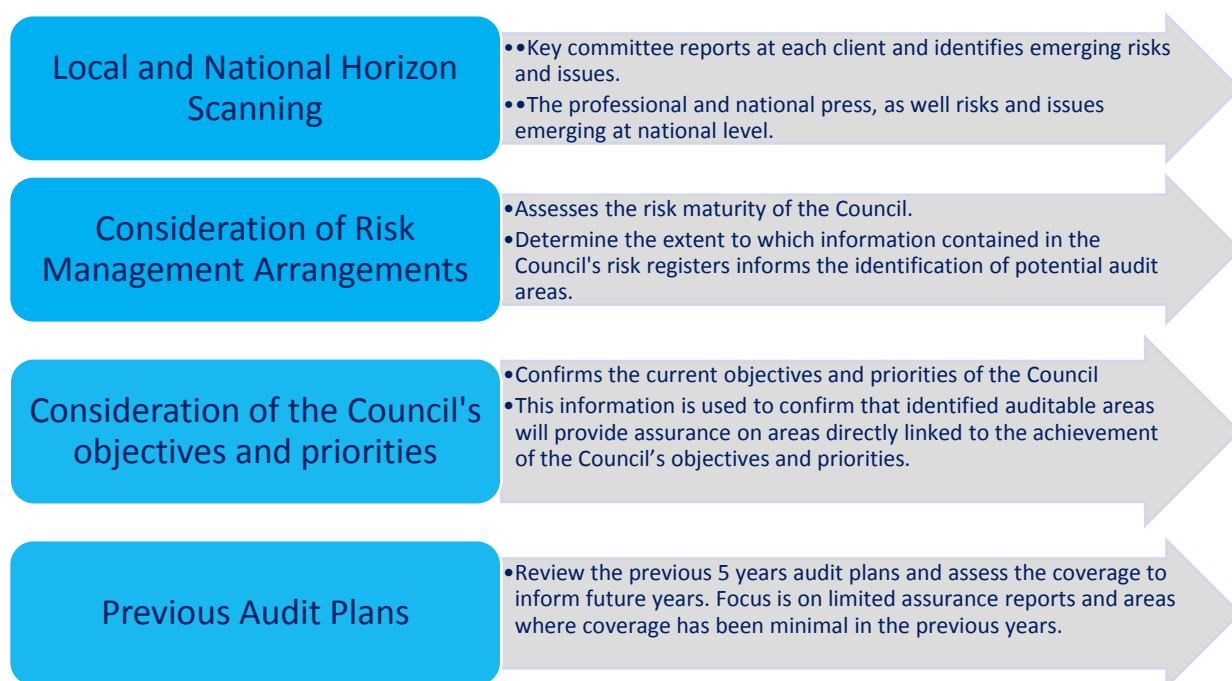
Approach to Planning

- 2.2 In June 2021, SIAS was subject an External Quality Assessment (EQA) and this provided observations relating to its approach to planning. As a result, SIAS has developed an updated approach to annual planning that ensures ongoing compliance with the requirements of the PSIAS. SIAS now applies the following methodology at all its partners:



Horizon Scanning and Audit Universe

- 2.3 SIAS conducts horizon scanning to ensure that it is aware of the key issues and risks locally and nationally as well as the corporate and service objectives of the Council. To do this, SIAS undertakes the following activities:



- 2.4 Following the horizon scanning work, SIAS creates an Audit Universe based on all auditable areas and entities. The Audit Universe forms the basis of discussions with Senior Managers.

Client Discussions

- 2.5 SIAS undertook detailed discussions with senior managers and other key officers within the Council to confirm auditable areas and elicit high level detail of the scope of audits. This process incorporates the gathering of information to inform the risk assessment phase of audit planning.

Risk Assessment

- 2.6 The overarching risk that SIAS bases planning against is the risk that audit work completed does not provide sufficient coverage and significance for SIAS to provide a robust annual opinion. Therefore, SIAS risk assesses each auditable area to ensure that their resources are directed appropriately.
- 2.7 To assess the priority level of the proposed assignments a methodology allocates a score of 1-4 (1 = Low, 4 = High) to each of the following areas:
1. **Financial Materiality** – the relative significance of the system, process, or service, in financial terms, to the Council.
 2. **Corporate Significance** – the extent to which the system, process or service impacts on the Council’s objectives, priorities, or risks (including legal or regulatory requirements).
 3. **Vulnerability and Change** – the extent to which the system, process or service is liable to breakdown, fraud, loss or error or changes that have taken place or due to take place.
 4. **Management Concerns** – the management assessment of risk to the organisation
- 2.8 The following aspects will reduce the overall score:
1. **First line assurance** (e.g. Management) – assurance received from management through AGS processes, implementation of recommendations, etc.
 2. **Second line assurance** (e.g. compliance, regulator, ombudsman, etc.) – assurance provided by other sources.
 3. **Third line assurance** (e.g. Internal Audit) – previous assurance reviews completed in the specified service area, process, or system.
- 2.9 Each element that affects the overall score is weighted to demonstrate the significance of the area when drawing an opinion or the quality of the assurance that has previously been received. This will provide an overall risk score and therefore determine if the project is deemed to be high, medium, or low risk.

Draft Audit Plan

- 2.10 The results of the risk assessment and discussions with Senior Managers provides a draft Internal Audit Plan. SIAS has presented this draft plan to the Senior Leadership Team to seek their views on the assessments completed

and to provide any further updates or comments. The outcome is now presented to Members as part of this report for their approval of the Draft Internal Audit Plan 2022/23.

The Planning Context

2.11 The context within which local authorities provide their services remains challenging:

- The full impact of Covid-19 may not be known and will continue to have significant impact on the Council's operations in future years. Whilst the longer-term impacts of the pandemic remain speculative, the current challenges and risks relate to economic impacts, growth, public health, and equality for local authorities.
- From 1 January 2021, the UK entered into new trading arrangements with the EU ending 11 months of transition arrangements. The result of the changes to trading with EU based companies will have an impact on Council services with additional risks needing to be considered that include compliance with customs rules, continuity of supply / services and workforce pressures related to the right to work in the UK.
- Latest forecasts show a mixed outlook for the UK economy, reflecting increasing national and international uncertainties. Local authorities will need to be attuned to the impact, including the potential reduction in business rates, and increasing unemployment, on their local economies and services and any direct investments of their own.
- Demand continues to rise, driven by complex needs, an ageing population, and challenges in the healthcare system. With reduced financial support, local authorities will have to continue to become more innovative and commercial.
- Cyber security remains a consistent threat to organisations and there are a growing number of local authorities that have been subjected to successful cyber attacks recently. Continued vigilance and awareness remain key to protecting the information assets of local authorities.
- Digital transformation continues to offer opportunities along with significant risks. The innovative use of technology is helping to reduce costs, as well as be more efficient and transparent. However, factors such as security, privacy, ethical and regulatory compliance are a recognised concern.
- Major national programmes in areas like changes to the retention of business rates, public health and housing mean the overall financial environment remains relatively unstable.

- There have been high profile governance issues, conflicts of interest, probity, and procurement, at both national and local levels creating a culture of mis-trust in all tiers of government.
 - Local authorities are facing significant challenges in relation to talent management, both in terms of recruitment and retaining staff meaning ability to remain resilient and deliver high quality services may become a concern in the short term.
- 2.12 The resultant efficiency and transformation programme that councils are in the process of implementing and developing continues to profoundly alter each organisation's nature. Such developments are accompanied by potentially significant governance, risk management and internal control change.
- 2.13 The challenge of giving value in this context, means that Internal Audit needs to:
- Meet its core responsibilities, which are to provide appropriate assurance to Members and senior management on the effectiveness of governance, risk management and control arrangements in delivering the achievement of Council objectives.
 - Identify and focus its effort on areas of significance and risk, assisting the organisation in managing change effectively, and ensuring that core controls remain effective.
 - Give assurance which covers the control environment in relation to new developments, using leading edge audit approaches such as use of technology to achieve 'whole population testing' and new insights over sampling or 'continuous assurance' where appropriate.
 - Retain flexibility in the audit plan and ensure the plan remains current and relevant as the financial year progresses, this is particularly key given the current challenges and risks of COVID-19 and the impact this has had on audit activity.

Internal Audit Plan 2022/23

- 2.14 The draft plan for 2022/23 is included at Appendix A and contains a high-level proposed outline scope for each audit; Appendix B details the indicative start months. The number of days purchased in 2022/23 is 250 days.
- 2.15 The table shows the estimated allocation of the total annual number of purchased audit days for the year.

	2022/23 Days	%
Key Financial Systems	43	17%
Other Audits	132	53%
IT Audits	10	4%
Joint Reviews and Shared Learning	5	2%
Strategic Support*	49	20%
Contingency and other	5	2%
Carry forward work 2021/22	6	2%
Total allocated days	250	100%

* This covers supporting the Audit & Governance Committee, monitoring delivery of the audit plan, client liaison and planning for 2023/24

- 2.16 Any significant audit plan changes agreed between Management and SIAS will be brought before this committee for noting through the usual plan update reporting cycle. The postponement or cancellation of any high priority audits will require approval from the Head of Strategic Finance & Property.
- 2.17 Members will note the inclusion of a provision for the completion of projects that relate to 2021/22. The structure of Internal Audit's programme of work is such that full completion of every aspect of the work in an annual plan is not always possible; especially given the high dependence on client officers during a period where there are competing demands on their time, e.g. year-end closure procedures.
- 2.18 The nature of assurance work is such that enough activity must have been completed in the financial year, for the Chief Audit Executive to give an overall opinion on the Authority's internal control environment. In general, the tasks associated with the total completion of the plan, which includes the finalisation of all reports and negotiation of the appropriate level of agreed mitigations, is not something that adversely affects delivery of the overall opinion. The impact of any outstanding work is monitored closely during the final quarter by SIAS in conjunction with the S151 Officer.

Resources

- 2.19 The Standard 2030 requires SIAS to consider our resources, how these will be effectively used and any limitations of the adequacy of resources.
- 2.20 Achievement of our role and objectives is predicated on the matching of audit needs to available resources through our work allocation processes. This is accomplished through the delivery of internal audit activities by a range of suitably qualified and experienced team members working flexibly in a matrix structure to maximise the value to all our partners and clients. SIAS resources are calculated based on the chargeability of each member of the team and the structure was designed to ensure sufficient chargeability to deliver all plans.
- 2.21 SIAS will utilise our internal audit delivery partner to provide service resilience and access to specialist skills not currently available within the service, or which are not economically viable to recruit and retain on a permanent basis.
- 2.22 SIAS staff are provided training and development across the year to support service delivery at our partners. In addition, SIAS provides funding for professional qualifications and currently has three team members studying towards their professional qualifications.
- 2.23 The service will be adequately resourced to deliver the number of planned internal audit days commissioned by East Herts Council. There are currently no limitations on the adequacy of resources in place to deliver the East Herts Council Internal Audit Plan 2022/23.
- 2.24 During 2022/23, SIAS is undertaking a number of service development activities designed to drive efficiency in our methodology. More details on this are provided to SIAS Board Members through the SIAS Service Plan updates and through the Annual Report provided to this Committee.

3. Performance Management

Update Reporting

- 3.1 SIAS is required to report its work to a Member Body so that the Council has an opportunity to review and monitor an essential component of corporate governance and gain assurance that its internal audit provision is fulfilling its statutory obligations. Progress against the agreed plan for 2022/23 and any proposed changes will be reported to this Committee four times in the 2022/23 civic year.
- 3.2 SIAS will report on the implementation of agreed high priority recommendations as part of the update reporting process.

Performance Indicators

- 3.3 Annual performance indicators were approved at the SIAS Board and are reviewed annually by the Board. Details of the targets set for 2022/23 are shown in the table below. Actual performance against target will be included in the update reports to this Committee.

Performance Indicator	Performance Target	Reporting Frequency
1. Public Sector Internal Audit Standards – the service conforms with the standards	Yes	Annually
2. Internal Audit Annual Plan Report – approved by the March Audit & Governance Committee or the first meeting of the financial year should a March committee not meet	Yes	Annually
3. Annual Internal Audit Plan Delivery – the percentage of the Annual Internal Audit Plan delivered	95%	Quarterly
4. Project Delivery – the number of projects delivered to draft report stage against projects in the approved Annual Internal Audit Plan	95%	Quarterly
5. Client Satisfaction* – percentage of client satisfaction questionnaires returned at 'satisfactory overall' level (minimum of 39/65 overall)	TBC*	TBC*
6. Chief Audit Executive's Annual Assurance Opinion and Report – presented at the first Audit & Governance Committee meeting of the financial year	Yes	Annually

*The approach for obtaining client feedback is currently being reviewed, therefore this indicator will be added, if it remains relevant, upon completion of this exercise.

APPENDIX A – PROPOSED EAST HERTS COUNCIL AUDIT PLAN 2022/23

Audit	Proposed Outline Scope	Proposed Days
COVERAGE OF KEY FINANCIAL SYSTEMS		
Business Rates (shared with SBC).	An audit covering risks linked to raising liability, billing (including reliefs and discounts), collection, and recovery.	43
Council Tax (shared with SBC).	An audit covering risks linked to raising liability, billing (including reliefs and discounts), collection, and recovery.	
Housing Benefits (shared with SBC).	An audit covering risks linked to claim submission, assessment, changes in circumstances and payment.	
Asset Management Assurance Mapping.	Mapping the various sources of assurance, the associated control framework and identifying any gaps.	
Creditors Assurance Mapping Refresh.	A short review of the existing assurance map for any changes and exceptions.	
Debtors Assurance Mapping Refresh.	A short review of the existing assurance map for any changes and exceptions.	
Treasury Management Assurance Mapping Refresh.	A short review of the existing map for any changes and exceptions.	
Payroll Assurance Mapping Refresh.	A short review of the existing map for any changes and exceptions.	
COVERAGE OF OPERATIONAL SERVICES		
Contract Management	An audit covering risks linked to client team inspections and management across contracts e.g. leisure, street cleansing, open space management.	
Community Wellbeing & Partnerships	An audit covering risks linked to grant applications and payments, benefits realisation.	
Housing Acquisition & Conversion –	An audit covering risks linked to governance and the end to end project	

APPENDIX A – PROPOSED EAST HERTS COUNCIL AUDIT PLAN 2022/23

Audit	Proposed Outline Scope	Proposed Days
Queens Road	lifecycle.	56
General Fund Health & Safety Property Compliance.	A targeted audit covering risks linked to water, gas, electrical or fire safety across the council’s estate.	
Refuse Services (shared with NHDC).	An audit covering risks linked to income and expenditure associated with the collection of domestic and or trade refuse.	
Grant Claims	To certify grant claims required during the year.	
COVERAGE OF CORPORATE SERVICES/THEMES		
Transforming East Herts.	Provision for providing continuous assurance linked to the six transformation workstreams.	76
Supply Chain Interruption.	An audit covering risks linked to supply chain failure and associated business interruption.	
Elections Payroll.	An audit covering risks linked to elections payroll process/system within Elections.	
Customer Services.	An audit covering risks linked to complaints management and the ombudsman.	
Information Governance.	A targeted audit covering risks linked with human error and management reporting.	
Risk Management Assurance Mapping Refresh.	A short review of the existing assurance map for any changes and exceptions.	
Corporate Governance Assurance Mapping Refresh.	A short review of the existing assurance map for any changes and exceptions.	

APPENDIX A – PROPOSED EAST HERTS COUNCIL AUDIT PLAN 2022/23

Audit	Proposed Outline Scope	Proposed Days
Whistleblowing.	A targeted audit covering risks linked to policies & procedures.	
COVERAGE OF INFORMATION TECHNOLOGY		
Malicious Software (shared with SBC).	An audit covering risks linked to malicious software and phishing emails, staff awareness and training.	10
Cyber Security Framework Assurance Mapping Refresh (shared with SBC).	A short review of the existing assurance map for any changes and exceptions.	
JOINT REVIEWS & SHARED LEARNING		
Joint Reviews.	The SIAS Board traditionally agree a topic (or topics) for consideration as joint reviews across the SIAS partners in-year. Any unused audit days will be returned to contingency for use on emerging audits / risks, applied to other audits in the plan or used on audits in the reserve list.	5
Shared Learning.	Shared Learning Newsletters and Summary Themed Reports. Audit & Governance Committee and Joint Review Workshops.	
CONTINGENCY		
Contingency.	To provide for adequate response to risks emerging during the course of the financial year.	5
STRATEGIC SUPPORT		

APPENDIX A – PROPOSED EAST HERTS COUNCIL AUDIT PLAN 2022/23

Audit	Proposed Outline Scope	Proposed Days
Head of Internal Audit Opinion 2021/22.	To prepare and agree the Head of Internal Audit Opinion and Annual Report for 2021/22.	3
Audit & Governance Committee and Recommendation Follow Up.	To provide services linked to the preparation and agreement of Audit Committee reports, meeting with the Audit Committee Chair prior to each Audit Committee (as required) and presentation of reports / participation at Audit Committee. Follow up of any Critical and High priority recommendations.	12
Client Liaison, Ad-hoc Advice.	This involves meetings and updates with the Council's Audit Champion and other key officers. Also, provision for audit related advice and assistance not covered elsewhere.	10
Plan and Progress Monitoring.	To produce and monitor performance and billing information, work allocation and scheduling.	12
SIAS Development.	Included to reflect the Council's contribution to developing and maintain the shared service / partnership through its service plans and corporate activities.	5
Matters Arising From SAFS	To deal with any audit related matters arising from work carried out by the Shared Anti-Fraud Service.	2
2023/24 Audit Planning.	To provide services in relation to preparation and agreement of the 2023/24 Audit Plan.	5
2021/22 projects requiring completion.	Additional time, if required, for the completion of 2021/22 audit work carried forward into the 2022/23 year. Any unused days will be returned to contingency for use on emerging risks and audits or allocated to audits in the reserve list.	6
TOTAL		250

APPENDIX A – PROPOSED EAST HERTS COUNCIL AUDIT PLAN 2022/23

Audit	Proposed Outline Scope	Proposed Days
RESERVE LIST		
Cash & Banking Assurance Mapping	To be determined should the audit be promoted from the Reserve List	To be determined
Bishops Stortford Town Centre Regeneration		
Emergency Planning		

APPENDIX B – EHC INDICATIVE AUDIT START DATES

Apr	May	Jun	July	Aug	Sept
Customer Services	Contract Management	Community Wellbeing & Partnerships	General Fund Health & Safety Property Compliance.	Refuse Services	Supply Chain Interruption
Information Governance	Whistleblowing	Asset Management Assurance Mapping		Elections Payroll	Malicious Software

Oct	Nov	Dec	Jan	Feb	Mar
Housing Benefits	Council Tax	Creditors Assurance Mapping Refresh	Corporate Governance Assurance Mapping Refresh	Housing Acquisition & Conversion – Queens Road	
	Business Rates	Debtors Assurance Mapping Refresh	Risk Management Assurance Mapping Refresh	Cyber Security Assurance Mapping Refresh	
		Treasury Management Assurance Mapping Refresh	Payroll Assurance Mapping Refresh		

At this stage, the above is an indicative spread of audits as not all services have specified a preferred start date.

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East Herts Council

Anti-Fraud Plan 2022/23

Recommendation

Members are recommended to:

1. Approve the Anti-Fraud Plan 2022/23; and
2. Note the activity to protect the Council against fraud and corruption in 2021/22

Contents

- 1 Purpose
- 2 Background
- 3 Anti-Fraud Plan 2022/23
- 4 Current Anti-Fraud Activity (2021/22)
- 5 Further Reading

Appendices

- A. Proposed Anti-Fraud Plan 2022/23
- B. SAFS KPI performance to December 2021

1 Purpose

- 1.1 This report provides details of the Council's anti-fraud and corruption arrangements for 2022/23. The Anti-Fraud Plan ensures that the Council considers and acknowledges the risk of fraud, has in place appropriate policies and processes to deter/prevent/investigate fraud, and that senior officers understand their role in protecting the Council against fraud.

2 Background

- 2.1 Recent reports have been provided to officers and are being used by SAFS to ensure that the Council is aware of its fraud risks and finds ways to mitigate or manage these effectively wherever possible. Details of these reports and other recommend reding for Committee members can be found **at Section 5** of this report.
- 2.2 According to reports from CIPFA, National Audit Office (NAO), Cabinet Office, and the Private Sector, fraud risk across local government in England exceeds £2.billion each year, with some more recent reports indicating levels considerably above this.
- 2.3 The Cabinet Office, The Department for Levelling Up, Housing and Communities (DLUHC) (formerly the Ministry for Housing, Communities and Local Government), National Audit Office, and CIPFA have issued advice, and best practice guidance, to support local councils in the fight to reduce the risk of fraud and prevent loss to the public purse. This advice includes the need for vigilance in recognising fraud risks and the investment of sufficient resources in counter fraud activities.
- 2.4 It is essential that the Council has in place a robust framework to prevent and deter fraud, including effective strategies and policies, as well as plans to deal with the investigation and prosecution of identified fraud.
- 2.5 East Herts Council is a founding partner of the Shared Anti-Fraud Service (SAFS). Members of this committee have received reports about how this service works closely with the Shared Internal Audit Service (SIAS) dealing with all aspects of fraud from prevention and deterrence to investigation and prosecution working with services and staff at all levels.

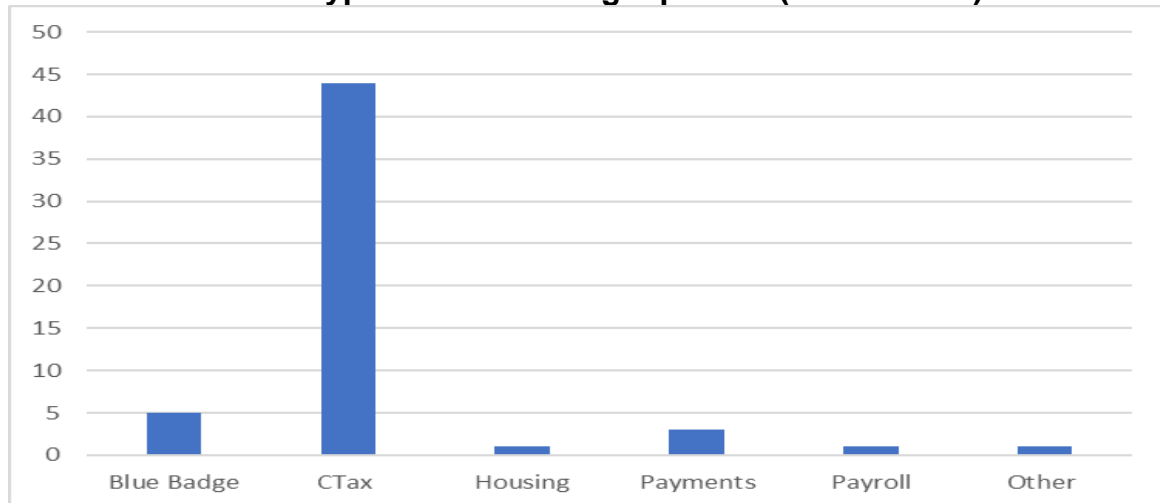
3 Anti-Fraud Plan 2022/23

- 3.1 The reports and papers mentioned previously and guidance recommend that organisations have effective and robust counter fraud and corruption measures. These measures must include the acknowledgement of fraud and corruption as a tangible risk, policies and procedures to deter and prevent fraud and resources to investigate fraud and recover losses. Above all an organisation should have a plan to protect itself against fraud and corruption.
- 3.2 Council officers and SAFS develop an anti-fraud plan each year and the proposed plan for 2022/23 is attached for approval by this Committee.
- 3.3 The Anti-Fraud Plan for 2022/23 has been designed to meet the recommendations of the Fighting Fraud and Corruption Locally Strategy (FFCL) by adopting the five 'pillars' of Protect, Govern, Acknowledge, Prevent and Pursue. A copy of the Anti-Fraud Plan is attached at **Appendix A**.
- 3.4 In 2021 we have adopted the FFCL checklist as a 'To-do' list and we will continue to use this to track responsibility for action/objectives to demonstrate how the Council is doing, rating each and providing evidence to support this.

4. Anti-Fraud Activity 2021/22

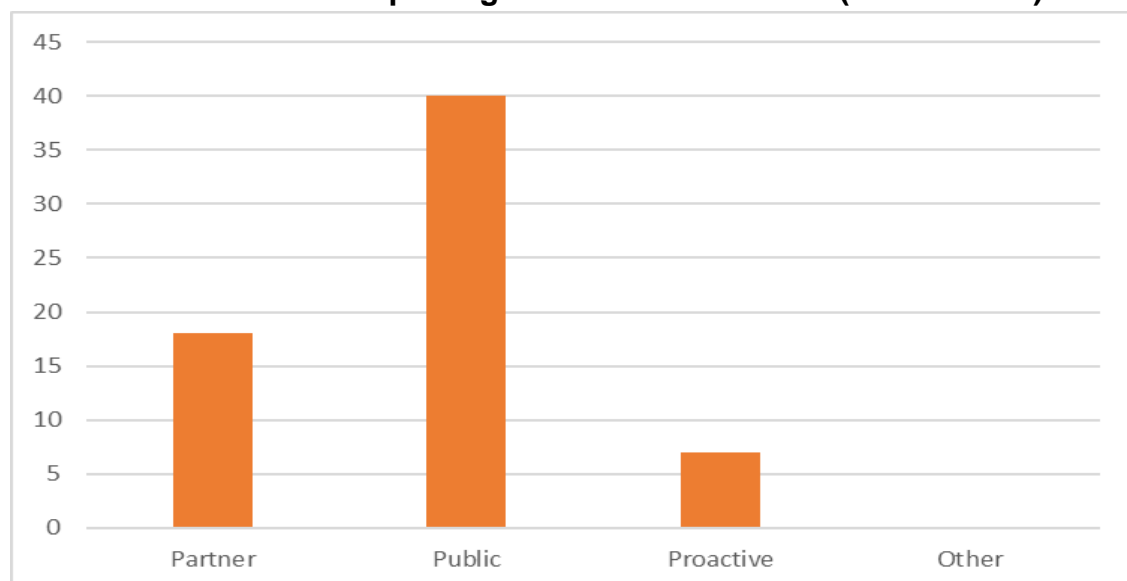
- 4.1 Between April and December 2021 SAFS received 55 allegations (referrals) of fraud affecting Council services - this is just over half of the referrals received for the same period last year (104). It should be noted that these are only allegations at this stage and not all will need to be investigated. However, every referral received will be reviewed, risk-assessed and appropriate action taken.
- 4.2 Table 1 shows the number of allegations of fraud received by the Council and which services these relate to. The majority of matters, 44, relate to council tax and/or housing benefit matters, Three referrals classified as 'Payment' fraud include Covid business grants. One case recorded as 'other' did not relate to the Council directly.

Table 1. Shows the types of fraud being reported- (55 Referrals)



4.3 Table 2 shows who is reporting suspicions of fraud to the Council. Of the 55 matters reported 18 came from members of staff, 30 were reported by the general public, 7 came about as a result of proactive/data-analytics work.

Table 2. Shows who is reporting Fraud to the Council- (55 Referrals)



'Proactive; includes the use of data-analytics where fraud identified.

4.4 SAFS carried forward 20 live cases from 2020/21 and currently 24 cases are open and under investigation with estimated fraud losses/savings of £187k.

4.5 At the time of this report many cases raised for investigation are still in the early stages, however, of the 19 investigations closed in year fraud loss/savings in excess of £49k have been reported. A further 9 minor cases involving council tax discount fraud were dealt with administratively, 5 financial penalties have

been applied as alternatives to prosecution and 2 cases are with the Councils legal team to comment criminal proceedings.

'Fraud Loss' is fraud that has occurred resulting in a debt that can be recovered through civil/statutory routes. 'Fraud Savings' reflect attempted frauds that have been prevented or an ongoing 'Loss' that has been stopped.

- 4.6 A significant number of cases have been delayed or suspended due to the restrictions with face to face interviews resulting from social distancing and some cases where SAFS works with other agencies, in particular the Department for Work and Pension (DWP), have been delayed as staff working for the DWP have been redeployed during the Covid crisis.
- 4.7 Fraud awareness training has been delivered to Council Officers during 2021/22 via virtual training events and team meetings that have been very well attended. SAFS have worked with the National Anti-Fraud Network (NAFN) to roll out further staff training in maximising the use of the fraud/error/debt recovery services provided by NAFN. SAFS have also supported Council officers using the various National Fraud Initiative (NFI) programmes in 2021/22 and continue to do so.
- 4.8 Since early 2021, a focus of SAFS work has been to work with Council officers to ensure that the Council has been able to deal with the output from the National Fraud Initiative (NFI). The Council received a number of reports & matches from February 2021 to review. The NFI matches data between bodies that is collected in October and shared with participants the following February, this results in numerous 'false-positive' matches and many matches which only require administrative action rather than fraud investigations.
- The Council received 1,091 matches as part of the main exercise. These matches covered areas such as housing benefit/ council tax/ housing register/ creditors/ payroll- 315 of these were highlighted as 'priority' matches. By the end of December 2021 179 priority matches had been fully reviewed but, a significant number, mainly council tax related, are still under review at present. The vast majority of housing register & payroll matches have been cleared.
 - The Council received a report with 1,429 matches in a separate NFI exercise focused entirely on council tax discounts. As mentioned above this can create a large number of false positives and a decision was made to use further data analytics (Council Tax Review Framework) to try and reduce the volume of matches that needed intervention. A plan for this to happen in 2022 has been agreed.

- The final report from NFI in 2021 was used to review the Council's data for the payment of grants to businesses as part of the Covid response between 2020 and 2021. All of the data held by the Council about those grants was reviewed as part of this report by the Cabinet Office and matches to grant data held by every other Council in England & Wales, HMRC, Banks and Companies House. The Council received a report indicating that 26 grant awards needed further review and this has now been undertaken revealing no concerns and providing further assurance about the way the Council dealt with Covid related grants.
- As we are now in a position to start using Council data in the Herts-FraudHub we tested this successfully in 2021 with some basic data-sets. We are now loading data from council tax and the housing register, with plans to include payroll/ licensing, electoral roll data. on an agreed schedule. To the end of January 2022 matches for review were identified in both the council tax system and housing register and these are under review by the relevant service areas at present.

4.9 As part of the Government and Council's ongoing response to the Covid-19 pandemic, SAFS continues to provide the following additional services:

- Support with those ongoing Business Grant schemes.
- Assistance and support on new schemes to support residents who are required to self-isolate.
- Review of new grant schemes that the Council may need to operate during local/national lock-downs that may happen in the future as a result of increased infection rates. SAFS are offering support to Council officers to review the various grant applications related to the OMICRON variant where this is required.
- Enhanced provision of alerts around mandate and phishing frauds from national bodies including National Fraud Intelligence Bureau, National Anti-Fraud Network (NAFN), Credit Industry Fraud Avoidance Service and CIPFA (Chartered Institute of Public Finance and Accountancy).

4.12 SAFS continues to work closely with social housing providers who have stock within the Council's Boundaries investigating instances of 'tenancy fraud' committed against those organisations. Five cases have been investigated in 2021/22 with one property recovered, and let to residents from the Council's Housing Register, and one case awaiting a decision on the recovery of a second property.

- 4.13 The Council reviewed its Anti-Money Laundering policy in 2021. This is now available to officers on the Councils intranet and is published on the Councils webpage. The service has commenced Anti-Money Laundering training for some identified officers.
- 4.14 SAFS are on target to deliver all service KPIs for whole Partnership and progress with the KPI's agreed as part of the Councils own Anti-Fraud Plan for 2021/22 are also progressing well. KPI progress can be found at **Appendix B**.
- 4.15 A detailed report of all counter fraud activity undertaken in 2021/22 will be provided to this Committee in the early summer 2022.

5. Further Reading

- *Councillors Workbook on Bribery & Fraud Prevention*
- *Fighting Fraud and Corruption Locally a Strategy for the 2020's.*
- *Tackling Fraud in the Public Sector.*
- *COVID-19 Counter Fraud Measures Toolkit.*
- *UK Annual Fraud Indicator 2017.*
- *Fraud and Corruption Tracker 2019.*
- *United Kingdom Anti-Corruption Strategy 2017-2022.*
- *Local Government Transparency Code.*
- *The National Fraud Strategy: Fighting Fraud Together.*
- *CIPFA Red Book 2 – Managing the Risk of Fraud – Actions to Counter Fraud and Corruption.*

**East Herts Council
Anti-Fraud Plan 2022/23**

in partnership with

The Shared Anti-Fraud Service



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Introduction

This plan supports the Council's Anti-Fraud Strategy by ensuring that the Council, working in partnership with the Shared Anti-Fraud Service (SAFS), has in place effective resources and controls to prevent and deter fraud as well as investigate those matters that do arise.

The Council's Strategy is to;

- **Be clear that the council will not tolerate fraudulent or corrupt acts and will take firm action against those who defraud the authority, who are corrupt or engage in financial malpractice.**
- **Provide a consistent framework for managers and Members, which enables effective deterrence, prevention, detection and investigation of fraud and corruption.**
- **Detail the responsibilities of employees, management and Members with regards to fraud and corruption.**
- **Assist the Head of Strategic Finance and Property in the fulfilment of the role as the council's Section 151 Officer and the Head of Legal and Democratic Services in the role as the council's Monitoring officer.**
- **Explain the role of council officers in relation to the prevention of fraud and actively promote a culture of openness and honesty in all dealings. (The council has Codes of Conduct for Members and officers.)**

This plan includes objectives and key performance indicators that support the Council's strategy and follows the latest best practice/guidance/directives from the National Audit Office (NAO), Local Government Association (LGA) and the Chartered Institute for Public Finance and Accountancy (CIPFA).

National Context.

In 2013 the National Fraud Authority stated that the scale of fraud against local government “is large, but difficult to quantify with precision”. Since 2013 a number of reports have been published including by CIPFA, NAO and MHCLG stating that the threat of fraud against local government is both real, causes substantial loss (including reputational, service as well as financial) and should be prevented where possible and pursued where it occurs. The latest annual estimates of fraud risk to local government exceed £7bn.

The Fighting Fraud and Corruption Locally, A Strategy for the 2020's, published in March 2020 is supported by CIPFA, the LGA, SOLCACE and a number of External Auditors. A copy of the Strategy can be found at <https://bit.ly/3p5Rr98>

The new Strategy compliments work undertaken in 2019 by CIPFA, NAO and Cabinet Office as well as the *Code of practice on managing the risk of fraud and corruption* CIPFA 2015 adding 'Pillars' of **Governance, Acknowledge, Prevent & Pursue** with an overarching **Protect**:

Governance: *Having robust arrangements and executive support to ensure anti-fraud, bribery and corruption measures are embedded throughout the organisation. Ensuring a tone from the top.*

Protect: *Against serious and organised crime, protecting individuals from becoming victims of crime and protecting against the harm that fraud can do to the community.*

For a local authority this will also cover protecting public funds, protecting its organisation from fraud and cybercrime and also protecting itself from future frauds.



Anti-Fraud Plan 2022-2023

The Councils Anti-Fraud Plan will be over-seen by the Shared Anti-Fraud Service (SAFS) but officers at all levels across the Council will have responsibility for ensuring that the plan is delivered.

The Anti-Fraud Plan highlights specific areas of work to protect the Council against fraud and corruption. The Council also has a duty to protect the public and it does this through its work across all services in particular, by sharing information and knowledge through communications either directly or via its website. The Council has frameworks and procedures in place to prevent fraud and encourage staff and the public to report suspicions of fraud through a number of channels.

The Anti-Fraud Plan for 2022/23 follows the guidelines and checklist contained in the Fighting Fraud and Corruption Locally Strategy and progress against this will be reported to senior management and the Councils Audit and Governance Committee. A full breakdown of planned activity to protect the Council can be found at **page 7**.

SAFS Resources 2022-2023

Anti-Fraud Arrangements

The Council is a founding member of the Hertfordshire Shared Anti-Fraud Service (SAFS) and this service has provided the majority of the anti-fraud arrangements for the Council since April 2015. In 2019 the SAFS Partnership won the '*Outstanding Partnership*' award at the Tackling Economic Crime Awards (TECAs) and in 2020 the TECAs award for '*Outstanding Professional in Counter Fraud*' was won by a member of the SAFS team

SAFS is a Partnership with each organisation paying a fee for Hertfordshire County Council to provide a contracted service across the Partnership. SAFS, as a service, has a number of key objectives developed by its Management Board (the Board) and every Partner has a seat on the Board. For the East Herts Council the Head of Strategic Finance and Property is the Board representative.

Although SAFS provides much of the Councils operational counter fraud work Council officers are responsible for ensuring the policies, procedures, training and appropriate resources are in place to protect the Council from fraud, corruption and bribery.

Budget

In December 2021 the SAFS Board agreed to increase the fees for all Partners by 2.5% to meet increased service costs from April 2022. The Board also received assurance from financial modelling that the service would be sustainable, in its current form, for the next three years.

East Herts Council fees for 2022/23 are £86,165. This sum is payable quarterly.

Staffing

The full complement of SAFS in 2022/23 will be 21.6 FTE.

East Herts Council will have exclusive access to 1 FTE Counter Fraud Officer (Investigator), access to intelligence functions, data-matching services being offered through the Herts *FraudHub* (hosted by Cabinet Office) and can call on SAFS management for liaison meetings, management meetings and three Audit Committees reports per annum. An Accredited Financial Investigator is also available to assist in money laundering or proceeds of crime investigations.

SAFS has access to specialist IT forensics, covert surveillance and national counter fraud intelligence services provided via third parties and criminal litigation services provided by Hertfordshire County Council Legal Service.

SAFS will also provide alerts (local and national) to Council officers and senior management of new and emerging fraud risks through its membership of anti-fraud forums and specialist providers including the Fighting Fraud and Corruption Locally Board (FFCLB) the Credit Industry Fraud Avoidance Service (CIFAS), Certified Institute of Public Finance and Accountancy (CIPFA) Finance, National Fraud Intelligence Bureau (NFIB), Fraud Advisory Panel and the National Anti-Fraud Network (NAFN). SAFS has officers on the various Board for CIFAS & NAFN.

Workplans & Projects 2022-2023

As well as an agreed programme of work (see **page 7**) SAFS will work in the following areas delivering specific activity agreed with service managers. Progress with this work will be reported to the relevant head of service/managers on a quarterly basis.

Service Area	Agreed Projects
Central Services / Finance	<p>General Support and advice on fraud matters.</p> <p>3 Reports to Audit Committee.</p> <p>Qtly Meetings with officers to consider any new and emerging fraud risks and performance against SAFS KPIs</p> <p>SAFS attendance at Corporate Governance/Enforcement Groups.</p> <p>Assisting with the development/review of the Councils anti-fraud policies.</p> <p>Money Laundering Reporting Officer (MLRO) role and Policy review, ML Risk Assessment and training for relevant staff.</p> <p>5 fraud training/awareness events for staff/members in year.</p> <p>Review and re-release of SAFS I-Learn training package on fraud/bribery/money laundering - hosted on the Councils Learning Pool.</p> <p>Making the on-line training mandatory with alternative options for staff without access to the Councils intranet.</p> <p>Roll out of NAFN training and registration for appropriate services/officers.</p>
Revenues and Benefits	<p>Close liaison with the Shared Revs and Bens service hosted by the Council.</p> <p>Proactive training and awareness for leadership and front-line staff.</p> <p>Reactive investigations for HB/CTRS including working with the DWP FES, where appropriate.</p> <p>Identify systems/processes/new developments to assist in recovery of debt created by fraud.</p> <p>Assist with potential fraud resulting from Covid Grant Schemes administered by the Council.</p> <p>Post payment assurance of grant schemes.</p>
Housing Services	<p>Reactive investigations for Housing Application, Tenancy fraud</p> <p>Provide a focus on fraud risks affecting temporary accommodation costs.</p> <p>Review housing register to identify fraudulent applications and, where appropriate, investigate these.</p> <p>Continue to work with Private Registered Providers (including Clarion/Catalyst/B3L) across all aspects of tenancy fraud to assist in the recovery of properties which can be prioritised for local residents from the Councils Housing Register.</p>
Data- Analytics	<p>Use of data and technology to prevent or identify fraud.</p> <p>Assist with NFI 2022/23 Data uploads (Oct 2022) and Output (February 2023).</p> <p>FraudHub. Further developing the effective use of the Cabinet Office FraudHub.</p> <p>Support for SAFS sponsored county wide Council Tax Review Framework for SPD and HER.</p> <p>Use of data-analytics to identify fraud as result of Covid-19 and other grants schemes.</p> <p>Review extension of NFI Powers to 'other' crime and debt collection.</p>
Other / Contingency	<p>Identify fraud risks and training in other areas including payroll, licensing, parking services, planning, procurement processes & contract management.</p>

SAFS KPIs.

SAFS will work to a set of KPIs agreed with senior officers and the KPIs will assist in delivering the Anti-Fraud Plan. The KPI's can be found at **page 8** and will be reported to senior officers and the Finance Audit and Risk Committee throughout the year.

SAFS - Standards of Service.

SAFS will provide the Council with the following anti-fraud services.

1. 24/7 Access to a fraud hotline, email and online solution for public reporting.
2. Process for Council staff to report suspected fraud to SAFS.
3. Training in: Fraud Awareness (management/staff/members), Fraud Prevention, Identity Fraud and Prevention.
4. Assistance in the design/review of Council policies, processes and documents to deter/prevent fraud.
5. SAFS will design shared/common anti-fraud strategies and policies or templates which can be adopted by the Council.
6. SAFS will continue to develop with the Cabinet Office and Council officers a data-matching solution (NFI- Herts *FraudHub*) to assist in the early identification and prevention of fraud.
 - The FraudHub will be funded by the Council
 - The FraudHub will be secure and accessible only by nominated SAFS and Council Staff.
 - Data will be collected and loaded in a secure manner.
 - SAFS will design and maintain a data-sharing protocol for all SAFS Partners to review and agree annually.
 - SAFS will work with Council officers to identify data-sets (and frequency) of the upload of these.
 - SAFS will work with Council officers to determine the most appropriate data-matching.
7. All SAFS Staff will be qualified, trained and/or accredited to undertake their duties lawfully.
8. All SAFS investigations will comply with legislation including DPA, UK GDPR, PACE, CPIA, HRA, RIPA, IPA* and relevant Council policies
9. Reactive fraud investigations.
 - Any high profile, high value, high risk cases or matters reported by senior managers will receive a response within 24 hours of receipt
 - All cases reported to SAFS will be reviewed within 2 days of receipt and decision made on immediate action including selection of cases for further review, no action, investigation or referral to 3rd parties including police, DWP, Action Fraud.
 - The Council will be informed of all reported fraud affecting its services.
 - SAFS will allocate an officer to each case.
 - SAFS officers will liaise with nominated officers at the Council to access data/systems to undertake investigations.
 - SAFS officers will provide updates on cases and a summary of facts and supporting evidence on conclusion of the investigation for Council officers to review and make any decisions.
 - Where criminal offences are identified SAFS will draft a report for Council officers to make a decision on any further sanctions/prosecutions.
10. Where sanctions, penalties or prosecutions are sought SAFS will work with the Council to determine the appropriate disposal in line with the Council's policies.
11. SAFS will provide Alerts to the Council, of suspected fraud trends or reports/guidance from government and public organisations that are relevant to fraud.
12. SAFS will provide reports to senior management on the progress with delivery of this Plan and any other relevant activity planned or otherwise.
13. SAFS will provide reports through the SAFS Board and to the Council's Audit Committee as agreed in the SAFS Partnership Contract.

*Data Protection Act , UK General Data Protection Regulation, Police and Criminal Evidence Act, Criminal Procedures and Investigations Act, Human Rights Act, Regulation of Investigatory Powers Act, Investigatory Powers Act.

EHC / SAFS Action Plan 2022/2023

FFCL Pillars	Objectives	Activities	Responsible Officer
Governance	Having robust arrangements and executive support to ensure anti fraud, bribery and corruption measures are embedded throughout the organisation.	The Council has in place an Anti-Fraud and Corruption Strategy & Fraud Response Plan and associated policies to deter, prevent, investigate and punish acts of fraud or corruption.	Chief Executive / Monitoring Officer/ S.151 Officer
		The Councils Audit and Governance Committee will receive reports during the year about the arrangements in place to protect the Council against fraud and the effectiveness of these.	S. 151 Officer/ Head of SAFS
		Audit and Governance Committee and its Chairman, along with the senior management team, will ensure compliance with the latest best practice in the Councils anti-fraud arrangements including that published by CIPFA, NAO and LGA.	AC Chairman/ S. 151 Officer / Head of Legal and Democratic Services
		Weaknesses revealed by instances of proven fraud will be fed back to departments with recommendations to fraud-proof systems, and/or reported to senior managers or Internal Audit to review outcomes.	Head of SAFS/ SIAS Manager/ S.151 Officer
		SAFS will assist the Council in providing its Fraud Data for the Transparency Code each year	Head of SAFS
		The Council will make it clear through its policies and codes of conduct for staff and Members that fraud and corruption will not be tolerated.	Head of Legal and Democratic Service / Head of Human Resources and OD
ACKNOWLEDGE	Accessing and understanding fraud risks. Committing the right support and tackling fraud and corruption. Demonstrating that it has a robust anti-fraud response. Communicating the risks to those charged with Governance .	Inclusion of Fraud Risks and the Councils actions to manage/mitigate/reduce this in its Annual Governance Statement. Review the Councils Money Laundering/ Bribery/ Whistleblowing/ Cyber-Crime Policies	Insurance and Risk Business Advisor / S.151 Officer
		The Councils Communication Team will publicise anti-fraud campaigns and provide internal communications to staff on fraud awareness	Head of SAFS/ Head of Communications and Digital Media
		The Council and SAFS will provide fraud awareness & specific anti-fraud training across all Council services and review the E-Learning training available for staff	Head of HR and OD / Head of SAFS
		The Council is a member of the Hertfordshire Shared Anti-Fraud Service (SAFS). The Head of Strategic Finance and Property will ensure that the services provided by SAFS are appropriate and provide an effective ROI in both savings delivered and added value.	S.151 Officer
		Audits conducted by the Shared Internal Audit Service (SIAS) will take account of known or emerging fraud risks when audit activity is being planned. SIAS will also report any suspected fraud to senior manager and SAFS to review and act upon.	SIAS Client Manager
		All SAFS staff will be fully trained and accredited. SAFS will continue to work with the Cabinet Office to support the Counter-Fraud Profession.	Head of SAFS
PREVENT	Making the best use of information and technology. Enhancing fraud controls and processes. Developing a more effective anti-fraud culture. Communicating its' activity and successes.	SAFS will provide fraud alerts and new and emerging fraud threats to be disseminated to appropriate officers/staff/services.	Head of SAFS
		SAFS will work with all Council services to make best use of 3rd party providers such as NAFN, PNLD, CIPFA, CIFAS.	Head of SAFS
		Develop the Councils use of the Herts <i>FraudHub</i> and Deliver the NFI 2022/2023 Exercise	Head of SAFS/ s.151 Officer
		The Council, and SAFS, will seek to work with other organisations, including private sector, to improve access to data and data-services that will assist in the detection or prevention of fraud.	Head of SAFS/ s.151 Officer
		SAFS will provide reports to Board and SAFS Champions quarterly on anti-fraud activity at the Council	Head of SAFS
		Review data sharing agreements/protocols to ensure compliance with DEA & GDPR/DEA to maximise the use of sharing data with others to help prevent/identify fraud.	Monitoring Officer / DP Manager
		SAFS will work with the LGA and Cabinet Office to support the roll out of a Counter-Fraud Profession.	Head of SAFS
PURSUE	Prioritising fraud recovery and use of civil sanctions. Developing capability and capacity to punish offenders. Collaborating across geographical and sectoral boundaries. Learning lessons and closing the	All fraud reported to the Council will be via SAFS fraud reporting tools (web/phone/email) for staff, public and elected Members.	Head of SAFS
		All investigations will comply with relevant legislation and Council Policies. Investigations will include civil, criminal and disciplinary disposals	Head of SAFS
		SAFS will use its case management system to record and report on all fraud referred, investigated and identified.	Head of SAFS
		Legal Service and HR and debt recovery teams will seek to 'prosecute' offenders, apply sanctions and recover financial losses- supported by relevant policies.	Head of SAFS /Monitoring Officer/ s.151 Officer
		SAFS and the Councils Shared R&B Service will continue to work with DWP to deliver joint investigations where fraud affects both HB and CTRS	Head of SAFS/ Head of R&B Service
		SAFS will use its in-house expertise as well as external partners when considering the use of POCA, Surveillance or IT Forensics.	SAFS Manager
PROTECT	Recognising the harm that fraud can cause in the community. Protecting itself and its' residents from fraud.	SAFS will provide reports to Board and SAFS Champions quarterly on anti-fraud activity at the Council	Head of SAFS
		SAFS will review and share fraud trends and new threats	Head of SAFS
		Reports for Audit Committee on all Counter Fraud activity at the Council	Head of SAFS / s.151 Officer
		The Council has in place other measure to protect itself against cyber crime, malware and other potential attacks aimed at its IT infrastructure with training for staff and members	Interim Strategic IT and Partnerships Manager
		SAFS will work with bodies including MHCLG/LGA/CIPFA/FFLB to develop anti-fraud strategies at a national level that support fraud prevention in local government	Head of SAFS

SAFS KPIs - 2022/ 2023

KPI	Measure	Target 2022/23	Reason for KPI
1	Return on investment from SAFS Partnership.	Demonstrate, via SAFS Board, that the Council is receiving a financial return on investment from membership of SAFS and that this equates to its financial contribution.	Transparent evidence to Senior Management that the Council is receiving a service matching its contribution.
2	Provide an investigation service.	A. 1 FTE on call at the Council. (Supported by SAFS Intel/ AFI/Management). B. 3 Reports to Audit & Governance Committee in year. C. SAFS Attendance at Corporate Governance, Champion meetings, team management meetings.	Ensure ongoing effectiveness and resilience of the Councils anti-fraud arrangements.
3	Action on reported fraud.	A. All urgent/ high risk cases 24 hours from receipt. B. All other cases 2 working days on Average. C. Sharing of Fraud Alerts- within 2 working days. D. Dissemination of non-EHC referrals to 3 rd parties within 2 working days (Police/HMRC/DWP/NCSC)	Ensure that all cases of reported fraud are triaged within agreed timescales.
4	Added value of SAFS membership.	A. Membership of NAFN & PNLD for Council staff. B. Membership of CIPFA Counter Fraud Centre (via HCC) C. Access to CIFAS best practice/guidance/fraud alerts (via HCC) D. NAFN Access/Training for relevant Council Staff. E. 5 Training events for staff/Members in year. F. Money Laundering Reporting Officer role. G. Support for Covid grant schemes and other local/national responses.	Deliver additional services that will assist in the Council in preventing fraud across all services and in the recovery of fraud losses.
5	Allegations of fraud received. & Success rates for cases investigated.	A. All reported fraud (referrals) will be logged and reported to the Council by type & source. B. All cases investigated will be recorded and the financial value, including loss/recovery/ savings of each, Reported. C. All 'sanctions' imposed in live with Council policies/ legislation	This target will measure the effectiveness of the service in promoting the reporting of fraud & measure the effectiveness in identifying cases worthy of investigation.
6	Making better use of data to prevent/identify fraud.	A. Support the NFI 2022/23 upload and output/reports across services. B. Consider other areas where the better use of data will benefit the Council financially. C. Develop and extend the use/capacity of the Herts-FraudHub for EHC.	Further develop a Hub that will allow the Council to access and share data to assist in the prevention/detection of fraud.

SAFS KPIs - 2021/ 2022

KPI	Measure	Target 2021/22	Performance to December 2021
1	Return on investment from SAFS Partnership.	Demonstrate, via SAFS Board, that the Council is receiving a financial return on investment from membership of SAFS and that this equates to its financial contribution.	Report to SAFS Board in June/Sep/Dec 2021 (planned reports March 2022). Head of Strategic Finance and Property sits on the SAFS Board, has access to and meets with SAFS Mgt regularly.
2	Provide an investigation service.	A. 1 FTE on call at the Council. (Supported by SAFS Intel/ AFI/Management). B. 3 Reports to Audit Committee. C. SAFS Attendance at Corporate Governance, Champion meetings, team management meetings.	A. FTE in place since April 2021. B. Reports to A&GC in May 2021 and September 2021 and third report planned for March 2022. An additional report was provided to review and update the Councils Anti-Fraud and related policies in December 2021. C. SAFS has close working with relationship with R&B and regular liaison is taking place.
3	Action on reported fraud.	A. All urgent/ high risk cases 1 Day. B. All other cases 2 Days on Average.	A. All urgent cases are being met within 24 hours at present B. Non-urgent referrals are taking 2 days at present.
4	Added value of SAFS membership.	A. Membership of NAFN & PNLD B. Membership of CIPFA Counter Fraud Centre C. NAFN Access/Training for relevant Council Staff D. 10 Training events for staff/Members in year.	A. SAFS has access to both, and Council staff can access NAFN B. SAFS Mgt are members of the CF Centre. C. See A above. D. Training events are still being developed with HR.
5	Allegations of fraud received. & Success rates for cases investigated.	A. All reported fraud (referrals) will be logged and reported to the Council by type & source. B. All cases investigated will be recorded and the financial value, including loss/recovery/ savings of each, Reported.	A. This is happening daily as referrals received B. This is being monitored and will be included in SAFS year-end report. The SAFS CMS allows the reporting of granular detail on every referral received and each case investigated and the MI from this is used to manage workflow and workloads.
6	Making better use of data to prevent/identify fraud.	A. Support the NFI 2020/21 Output and reports across services. B. Support the implementation of the Herts FraudHub at BoB. C. Consider other areas where the better use of data will benefit the Council financially.	A. SAFS and Council officers are working on the output from NFI 2020/21 at present. B. We are now loading live data into the FraudHub and working in the output from this. C. SAFS continues to use data analytics to assist with assurance on the covid grant schemes and respond to new fraud threats.

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East Herts Council Report Audit and Governance Committee

Date of meeting: 5 April 2022

Report by: Head of Strategic Finance and Property

**Report title: Audit and Governance Committee Work
Programme**

Ward(s) affected: All

Summary – To present to Audit and Finance Committee the work programme for the year of finance and audit business with a brief summary of each report so that Members can see the business that will come before the Committee at each meeting.

RECOMMENDATIONS FOR AUDIT AND GOVERNANCE COMMITTEE

- A)** Approve the work programme as set out in the report; and
- B)** Specify any training requirements.

1.0 Proposal(s)

1.1 Audit and Governance Committee's audit functions are:

1.1.1 Approving the Council's statement of accounts.

1.1.2 Consider the effectiveness of the Council's risk management arrangements, the control environment and associated anti-fraud and anti-corruption arrangements.

1.1.3 Seek assurances that action is being taken on risk-related issues identified by auditors and inspectors.

1.1.4 Be satisfied that the Council's assurance statements, including reviewing the Annual Governance Statement against the good governance framework, properly reflect the risk environment and any actions required to improve it.

- 1.1.5 Approve internal audit's strategy, its plan and monitor its performance.
- 1.1.6 Approve the shared anti-fraud service strategy, its plan and monitor its performance.
- 1.1.7 Review summary internal audit reports and the main issues arising and seek assurance that action has been taken where necessary.
- 1.1.8 Receive the annual report of the head of internal audit.
- 1.1.9 Receive and consider the reports of external audit (including the annual audit letter) and inspection agencies, and monitor management action in response to the issues raised.
- 1.1.10 Ensure that there are effective relationships between external and internal audit, inspection agencies and other relevant bodies and that the value of the audit process is actively promoted.
- 1.1.11 Review the financial statements, external auditor's opinion and reports to Members, and monitor management action in response to the issues raised by external audit.
- 1.1.12 Oversight of the Council's commercial projects.

- 1.2 Audit and Governance Committee's finance functions are:
 - 1.2.1 Receive budget monitoring reports and risk management reports.
 - 1.2.2 Lead the cross Member scrutiny and consideration of the Council's draft annual budget and medium term financial plan.
 - 1.2.3 Scrutinise the Council's Annual Investment Strategy, Annual Capital Strategy, Mid-Year Treasury Management Report and Annual Treasury Management Report and through review gain assurance that systems of governance and control for Treasury Management are effective.

- 1.2.4 Where appropriate, assisting the Council and the Executive in the development of its budget and policy framework by in-depth analysis of financial, procurement and governance related policy issues.
- 1.2.5 Where relevant to the audit or finance functions of the Committee, overseeing and scrutinising all Internal, Corporate and Corporate Governance functions of the Council.
- 1.3 In order to fulfil these functions a series of reports will be brought to Members to provide:
 - 1.3.1 Assurance that the council's financial affairs are being properly managed and that the council is making the best use of resources;
 - 1.3.2 An adequate and effective system of internal audit is operating and that it's approved plan is being delivered;
 - 1.3.3 The Council's governance arrangements are adequate;
 - 1.3.4 That key business risks have been identified, evaluated and are being managed;
 - 1.3.5 That key systems and controls are operating effectively giving assurance that the Statement of Accounts is materially correct and can be approved;
 - 1.3.6 Receive and consider the external auditor's Audit Plan, port and Annual Audit Letter; and
 - 1.3.7 Receive copies of Executive budget monitoring reports, for information, so that the final accounts outturn position can be compared to forecasts during the year.

2.0 Training

- 2.1 Training for Members of the Committee will in future be delivered for the first 30 minutes of the Committee meeting and will be related to the business before the Committee.

- 2.2 Members are recommended to review the proposed work programme and suggested training and identify any other training needs they require.

3.0 Work Programme

- 3.1 The Committee will recall that the external audit of the council's accounts was due to start in October and conclude in December. EY have delayed the start to the audit until 3 January 2022. Therefore the Accounts Approval Sub-Committee will now not need to sit in December but may need to sit in March.
- 3.2 The work programme for the Committee is proposed to be as follows:

Committee	Date	Report Title	Report Summary
Audit & Governance	31 May 2022	Training	The role of internal audit
		Annual Report on Internal Audit Activity	To present to Audit and Governance Committee the Annual Report on Internal Audit Activity for the preceding financial year.
		Strategic Risk Register Monitoring Q4 2021/22	To present to Audit and Governance Committee the Strategic Risk Register Monitoring at the end of quarter 4.
		External Audit Planning Report 2022/23	To present to Audit and Governance Committee the external auditor's Audit Planning Report. The Committee receives the report on behalf of the Council.
		Audit and Governance Committee Work Programme	To present to Audit and Governance Committee an update on the work programme for the year.
Audit & Governance	29 September 2022	Training: Statement of Accounts	Presentation to Members on the key elements Statement of Accounts and the inter-relationship of the core statements.
		Receipt of the External Auditor's Annual Governance Report	In accordance with the Code of Audit Practice (the Code), this report provides a summary of the work the external auditor has carried out during their audit of accounts, the conclusions

Committee	Date	Report Title	Report Summary
			they have reached and the recommendations they have made to discharge their statutory audit responsibilities to those charged with governance (in this case the Audit and Finance Committee) at the time they are considering the financial statements. In preparing their report, the Code requires them to comply with the requirements of International Standards on Auditing (United Kingdom & Ireland) – ISA (UK&I) - 260 ‘Communication of Audit Matters to Those Charged With Governance’.
		Annual Governance Statement	To present to Audit and Governance Committee for approval the Annual Governance Statement for incorporation in the Statement of Accounts. Regulation 6 of the Accounts and Audit Regulations 2015 requires the Council to conduct a review, at least once a year, of the effectiveness of its system of internal control and approve an annual governance statement to accompany the statement of accounts.
		Approval of the Statement of Accounts	Regulation 10 (1) of the Accounts and Audit Regulations 2015 requires the Statement of Accounts to be approved by a resolution of a

Committee	Date	Report Title	Report Summary
			committee of the Council, such approval to take place before 30 September immediately following the end of a year, or as soon as practicable after the conclusion of the audit.
		2021/22 Provisional Outturn	To provide Audit and Governance Committee with a copy, for information, of the Executive Report with the provisional outturn position on revenue spending and the capital programme as at the end of the financial year.
		Financial Management 2022/23 – Quarter 1 Forecast to Year End	To provide Audit and Governance Committee with a copy for information of the Executive Report with the forecast position on revenue spending and the capital programme as at the end of quarter 1
		Shared Anti-fraud Service Anti-Fraud Plan progress report	To present to Audit and Governance Committee the Shared Anti-Fraud Service's progress against the Anti-Fraud Plan.
		Strategic Risk Register Monitoring Q1 2022/23	To present to Audit and Governance Committee the Strategic Risk Register Monitoring at the end of quarter 1.
		Audit and Governance Committee Work Programme	To present to Audit and Governance Committee an update on the work programme for the year.

Committee	Date	Report Title	Report Summary
Audit & Governance	November 2022	Training:	Shared Anti-Fraud Service
		Budget 2023/24 and Medium Term Financial Plan 2023/24 – 2027/28	To provide Audit and Governance Committee with an update on the budget and MTFP including costs pressures, savings and efficiencies against the original proposals, forward budget and planning assumptions for scrutiny.
		Annual Treasury Report 2021/22	To provide Audit and Governance Committee with a copy of the Annual Treasury Report so that they can scrutinise the Report.
		Treasury Management 2022/23 Mid-Year Review	To provide Audit and Governance Committee with a copy of the Treasury Management Mid-Year Review Report so that they can scrutinise the Report
		Strategic Risk Register Monitoring Q2 2022/23	To present to Audit and Governance Committee the Strategic Risk Register Monitoring at the end of quarter 2.
		Shared Internal Audit Service Internal Audit Plan Progress Report	To present to Audit and Governance Committee the Shared Internal Audit Service's progress against the Internal Audit Plan.
		Annual Infrastructure Funding Statement Report 2021/22	To present to Audit and Governance Committee an update on Section 106 contributions and the council's Annual

Committee	Date	Report Title	Report Summary
			Infrastructure Funding Statement Report 2020/21
		Audit and Governance Committee Work Programme	To present to Audit and Governance Committee an update on the work programme for the year
Audit & Governance	January 2024	Budget Scrutiny - Budget 2023/24 and Medium Term Financial Plan 2023-27	To present to Audit and Governance Committee the Executive's proposed General Fund Budget and Medium Term Financial Plan for scrutiny.
		Investment Strategy 2023/24 for scrutiny	To present to Audit and Governance Committee the Executive's proposed Investment Strategy for scrutiny.
		Capital Strategy and Minimum Revenue Provision Policy 2023/24 for scrutiny	To present to Audit and Governance Committee the Executive's proposed Capital Strategy and Minimum Revenue Provision Policy for scrutiny.
		Shared Internal Audit Service Internal Audit Plan Progress Report	To present to Audit and Governance Committee the Shared Internal Audit Service's progress against the Internal Audit Plan.
		Financial Management 2022/23 – Quarter 2 Forecast to Year End	To provide Audit and Governance Committee with a copy for information of the Executive Report with the forecast position on revenue spending and the capital programme as at the end of quarter 2.

Committee	Date	Report Title	Report Summary
		Audit and Governance Committee Work Programme	To present to Audit and Governance Committee an update on the work programme for the year.
Audit & Governance	29 March 2023	Training: Risk Management	Presentation on risk management and its importance for the council
		Strategic Risk Register Monitoring Q3 2022/23 and Annual Review of Risk Management Strategy	To present to Audit and Governance Committee the Strategic Risk Register Monitoring at the end of quarter 3 and the annual review of the council's risk management strategy.
		Financial Management Quarter 3 Forecast to Year End	To provide Audit and Finance Committee with a copy for information of the Executive Report with the forecast position on revenue spending and the capital programme as at the end of quarter 3.
		Review of Internal Audit	To present to Audit and Governance Committee the review of the effectiveness of Internal Audit. Regulation 6 of The Accounts and Audit Regulations 2015 require the Council, at least once a year, to conduct a review of the effectiveness of its internal audit.
		Audit and Governance Committee Work Programme	To present to Audit and Governance Committee an update on the work programme for the year.

4.0 Reasons

- 4.1 To ensure that Audit and Finance Committee is aware of the work programme and ensure that Members have the opportunity to request any training or briefing around upcoming items.

5.0 Risks

- 5.1 Risk Management is reported to the Committee regularly.

6.0 Implications/Consultations

Community Safety

No

Data Protection

Data Protection reports and policies will be brought before the Committee as appropriate.

Equalities

No

Environmental Sustainability

No

Financial

The report details the Committee's responsibilities in relation to finance.

Health and Safety

No

Human Resources

No

Human Rights

No

Legal

Legal requirements are noted in the report summaries in the table in this report.

Specific Wards

No

7.0 Background papers, appendices and other relevant material

7.1 None

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