

Committee Agenda



**Epping Forest
District Council**

Finance and Performance Management Cabinet Committee Thursday, 21st June, 2018

You are invited to attend the next meeting of **Finance and Performance Management Cabinet Committee**, which will be held at:

**Council Chamber, Civic Offices, High Street, Epping
on Thursday, 21st June, 2018
at 7.00 pm .**

**Derek Macnab
Acting Chief Executive**

**Democratic Services
Officer**

R. Perrin Tel: (01992) 564532
Email: democraticservices@eppingforestdc.gov.uk

Members:

Councillors G Mohindra (Chairman), A Lion, J Philip, S Stavrou and C Whitbread

PLEASE NOTE THE START TIME OF THIS MEETING

WEBCASTING/FILMING NOTICE

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If you have any queries regarding this, please contact the Public Relations Manager on 01992 564039.

1. WEBCASTING INTRODUCTION

(a) This meeting is to be webcast;

(b) Members are reminded of the need to activate their microphones before speaking; and

(c) the Chairman will read the following announcement:

“I would like to remind everyone present that this meeting will be broadcast live to the Internet and will be capable of subsequent repeated viewing, with copies of the recording being made available for those that request it.

By being present at this meeting, it is likely that the recording cameras will capture your image and this will result in your image becoming part of the broadcast.

You should be aware that this may infringe your human and data protection rights. If you have any concerns then please speak to the Webcasting Officer.

Please could I also remind Members to activate their microphones before speaking.”

2. APOLOGIES FOR ABSENCE

3. SUBSTITUTE MEMBERS

To report the appointment of any substitute members for the meeting.

4. DECLARATIONS OF INTEREST

To declare interests in any item on this agenda.

5. MINUTES

To confirm the minutes of the last meeting of the Committee held on 22 March 2018.

[Click here for the FPMCC minutes on 22 March 2018.](#)

6. KEY PERFORMANCE INDICATORS - 2017/18 QUARTER 4 (OUTTURN) PERFORMANCE. (Pages 5 - 14)

To consider the attached report (FPM-001-2018/19).

7. CORPORATE PLAN 2018-2023 - BENEFITS MAPS, PERFORMANCE INDICATOR SET, TARGETS AND PROGRESS REPORTING (Pages 15 - 70)

To consider the attached report (FPM-002-2018/19).

8. ESSEX PROCUREMENT HUB SLA 2019-23 (Pages 71 - 76)

To consider the attached report (FPM-003-2018/19).

9. PROVISIONAL REVENUE OUTTURN 2017/18 (Pages 77 - 96)

To consider the attached report (FPM-004-2018/19).

10. PROVISIONAL CAPITAL OUTTURN 2017/18 (Pages 97 - 120)

To consider the attached report (FPM-005-2018/19).

11. RISK MANAGEMENT - CORPORATE RISK REGISTER (Pages 121 - 154)

To consider the attached report (FPM-006-2018/19).

12. ANY OTHER BUSINESS

Section 100B(4)(b) of the Local Government Act 1972, requires that the permission of the Chairman be obtained, after prior notice to the Chief Executive, before urgent business not specified in the agenda (including a supplementary agenda of which the statutory period of notice has been given) may be transacted.

13. EXCLUSION OF PUBLIC AND PRESS

Exclusion: To consider whether, under Section 100(A)(4) of the Local Government Act 1972, the public and press should be excluded from the meeting for the items of business set out below on grounds that they will involve the likely disclosure of exempt information as defined in the following paragraph(s) of Part 1 of Schedule 12A of the Act (as amended) or are confidential under Section 100(A)(2):

Agenda Item No	Subject	Exempt Information Paragraph Number
Nil	Nil	Nil

The Local Government (Access to Information) (Variation) Order 2006, which came into effect on 1 March 2006, requires the Council to consider whether maintaining the exemption listed above outweighs the potential public interest in disclosing the information. Any member who considers that this test should be applied to any currently exempted matter on this agenda should contact the proper officer at least 24 hours prior to the meeting.

Background Papers: Article 17 - Access to Information, Procedure Rules of the Constitution define background papers as being documents relating to the subject matter of the report which in the Proper Officer's opinion:

- (a) disclose any facts or matters on which the report or an important part of the report is based; and
- (b) have been relied on to a material extent in preparing the report and does not include published works or those which disclose exempt or confidential information and in respect of executive reports, the advice of any political advisor.

The Council will make available for public inspection for four years after the date of the meeting one copy of each of the documents on the list of background papers.

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Report to the Finance Performance Management Cabinet Committee



**Epping Forest
District Council**

Report reference: FPM-001-2018/19

Date of meeting: 21 June 2018

Portfolio: Leader

Subject: Key Performance Indicators – 2017/18 Quarter 4 (outturn) performance.

Responsible Officer: Monika Chwiedz (01992 564076).

Democratic Services: Rebecca Perrin (01992 564532).

Recommendations/Decisions Required:

- (1) that the Committee reviews Quarter 4 performance for the Key Performance Indicators adopted for 2017/18;
- (2) that the Committee identify any Key Performance Indicators for 2017/18, that require in-depth scrutiny or further report on progress achieved.

Executive Summary:

The Council is required to make arrangements to secure continuous improvement in the way in which its functions and services are exercised, having regard to a combination of economy, efficiency and effectiveness. As part of the duty to secure continuous improvement, a range of Key Performance Indicators (KPI) relevant to the Council's service priorities and key objectives, is adopted each year. Performance against all of the KPIs is reviewed on a quarterly basis.

Reasons for Proposed Decision:

The KPIs provide an opportunity for the Council to focus attention on how specific areas for improvement will be addressed, and how opportunities will be exploited and better outcomes delivered. It is important that relevant performance management processes are in place to review and monitor performance against the key objectives, to ensure their continued achievability and relevance, and to identify proposals for appropriate corrective action in areas of slippage or under performance.

Other Options for Action:

No other options are appropriate in this respect. Failure to review and monitor performance could mean that opportunities for improvement are lost and might have negative implications for judgements made about the progress of the Council.

Report:

1. A range of thirty-two Key Performance Indicators (KPI) was adopted for 2017/18 in March 2017. The KPIs are important to the improvement of the Council's services and comprise a combination of former statutory indicators and locally determined performance measures. The aim of the KPIs is to direct improvement effort towards

services and the national priorities and local challenges arising from the social, economic and environmental context of the district.

2. Progress in respect all of the KPIs is reviewed by Management Board and overview and scrutiny at the conclusion of each quarter, and service directors review KPI performance with the relevant portfolio holder(s) on an on-going basis throughout the year. Select Committees are each responsible for the review of quarterly performance against specific KPIs within their areas of responsibility.
3. Improvement plans are produced for all of the KPIs each year, setting out actions to be implemented in order to achieve target performance, and to reflect changes in service delivery. In view of the corporate importance attached to the KPIs, the improvement plans are agreed by Management Board and are also subject to ongoing review between the relevant service director and Portfolio Holder over the course of the year.

Key Performance Indicators 2017/18 – Quarter 4 Performance

4. The position with regard to the achievement of target performance for the KPIs at the end of the year (31 March 2018), was as follows:
 - (a) 21 (66%) indicators achieved the cumulative end of year target; and
 - (b) 11 (34%) indicators did not achieve the cumulative end of year target, although
 - (c) 5 (16%) of these KPIs performed within the agreed tolerance for the indicator.
5. Outturn performance against the indicator set for this year is slightly worse than last year when 28 (75%) of the 37 indicators achieved target.
6. A headline Q4 KPI performance report for 2017/18 is attached for the consideration of the Committee as Appendix 1 to this agenda. Detailed performance reports in respect of each of the KPIs are being considered by the individual select committees.
7. The 'amber' performance status used in the KPI report identifies those indicators that missed the agreed target for the year, but where performance was within an agreed tolerance or range (+/-).
8. The Committee is requested to review outturn performance for the 2017/18 set of KPIs. Any matters raised by the Committee in respect of KPI performance, will be reported to the appropriate select committee.

Resource Implications: None for this report

Legal and Governance Implications: None for this report; however performance management of key or new high level initiatives is important to the achievement of value for money.

Safer, Cleaner and Greener Implications: None for this report

Consultation Undertaken: The indicators have been considered by Management Board during May 2018 and individual Select Committees during June and July 2018.

Background Papers: KPI submissions are held by the Performance Improvement Unit. Detailed KPI calculations and supporting documentation held by service directorates.

Risk Management: None for this report

Equality Analysis: None for this report

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Key Performance Indicators 2017/18 – Quarter 4 Performance Report

Appendix A

Quarterly Indicators		Q1 2017/18			Q2 2017/18			Q3 2017/18			Q4 2017/18			Is year-end target likely to be achieved?
		Target	Value	Status	Target	Value	Status	Target	Value	Status	Target	Value	Status	
COM001	Rent collected from current and former tenants as a percentage of rent due (excluding rent arrears brought forward).	99%	100.77%	✓	99%	100.38%	✓	99%	100.25%	✓	99%	100.22%	✓	Yes
COM002	On average, how many days did it take us to re-let a Council property?	37	32	✓	37	33	✓	37	37	✓	37	39	✗	No
COM003	How satisfied were our tenants with the standard of the repairs service they received?	98%	100%	✓	98%	99.56%	✓	98%	99.57%	✓	98%	99.41%	✓	Yes
COM004	How many households were housed in temporary accommodation?	130	97	✓	130	103	✓	130	90	✓	130	96	✓	Yes
COM005	What percentage of our council homes were not in a decent condition?	0%	0%	✓	0%	0%	✓	0%	0%	✓	0%	0%	✓	Yes
COM007	What percentage of all emergency repairs are attended to within 4 working hours?	99%	99.01%	✓	99%	99.8%	✓	99%	99.77%	✓	99%	97.07%	✗	No
COM008	What is the average overall time to complete responsive repairs?	7	4.87	✓	7	4.25	✓	7	6.9	✓	7	4.56	✓	Yes
COM009	What percentage of appointments for repairs are both made and kept?	98%	99.01%	✓	98%	99.01%	✓	98%	99.1%	✓	98%	100%	✓	Yes
COM010	What percentage of calls	97.5%	99.8%	✓	97.5%	99.8%	✓	97.5%	98%	✓	97.5%	97.72%	✓	Yes

Key Performance Indicators 2017/18 – Quarter 4 Performance Report

Appendix A

Quarterly Indicators		Q1 2017/18			Q2 2017/18			Q3 2017/18			Q4 2017/18			Is year-end target likely to be achieved?
		Target	Value	Status	Target	Value	Status	Target	Value	Status	Target	Value	Status	
to the council's Careline Service are answered within 60 seconds?														
Quarterly Indicators		Q1 2017/18			Q2 2017/18			Q3 2017/18			Q4 2017/18			Is year-end target likely to be achieved?
		Target	Value	Status	Target	Value	Status	Target	Value	Status	Target	Value	Status	
GOV004	What percentage of major planning applications were processed within 13 weeks or extension of time date?	90%	100%	✓	90%	100%	✓	90%	100%	✓	90%	100%	✓	Yes
GOV005	What percentage of minor planning applications were processed within 8 weeks or extension of time date?	90%	95.73%	✓	90%	93.67%	✓	90%	93.52%	✓	90%	93.14%	✓	Yes
GOV006	What percentage of other planning applications were processed within 8 weeks or extension of time date?	94%	96.37%	✓	94%	95.44%	✓	94%	95.8%	✓	94%	96.57%	✓	Yes
GOV007	What percentage of planning applications recommended by planning officers for refusal were overturned and granted permission following an appeal ?	20%	11.7%	✓	20%	12.5%	✓	20%	18%	✓	20%	20.3%	⚠	No
GOV008	What percentage of planning applications, refused by Council	50%	42.8%	✓	50%	68.7%	✗	50%	62.5%	✗	50%	61.5%	✗	No

Key Performance Indicators 2017/18 – Quarter 4 Performance Report

Appendix A

Quarterly Indicators	Q1 2017/18			Q2 2017/18			Q3 2017/18			Q4 2017/18			Is year-end target likely to be achieved?
	Target	Value	Status	Target	Value	Status	Target	Value	Status	Target	Value	Status	
Members against the recommendation of the planning officers, were granted permission on appeal?													

Quarterly Indicators	Q1 2017/18			Q2 2017/18			Q3 2017/18			Q4 2017/18			Is year-end target likely to be achieved?
	Target	Value	Status	Target	Value	Status	Target	Value	Status	Target	Value	Status	
NEI001 How much non-recycled waste was collected for every household in the district?	95kg	105kg		196kg	205kg		296kg	305kg		400kg	409kg		No
NEI003 What percentage of our district had unacceptable levels of litter?	8%	10.96%		8%	6%		8%	5.02%		8%	4.33%		Yes
NEI004 What percentage of our district had unacceptable levels of detritus (dust, mud, stones, rotted leaves, glass, plastic etc.)?	10%	4.83%		10%	5.1%		10%	3.72%		10%	1.73%		Yes
NEI005 What percentage of the issues and complaints received by the Environment & Neighbourhoods Team received an initial response within 3 days?	95.5%	98.19%		95.5%	97.77%		95.5%	97.65%		95.5%	97.89%		Yes
NEI006 What percentage of the recorded incidences of fly-tipping are	90%	98.72%		90%	98.5%		90%	96.89%		90%	96.05%		Yes

Key Performance Indicators 2017/18 – Quarter 4 Performance Report

Appendix A

Quarterly Indicators	Q1 2017/18			Q2 2017/18			Q3 2017/18			Q4 2017/18			Is year-end target likely to be achieved?
	Target	Value	Status	Target	Value	Status	Target	Value	Status	Target	Value	Status	
investigated within 3 working days of being recorded?													
NEI007 What percentage of recorded incidences of fly-tipping (contract cleared) are removed within 5 working days of being recorded?	90%	92.77%	✓	90%	93.99%	✓	90%	93.09%	✓	90%	93.01%	✓	Yes
NEI008 What percentage of the recorded incidences of fly-tipping (variation order/non contract) are removed within 10 working days of being recorded?	90%	94.74%	✓	90%	93.76%	✓	90%	92.49%	✓	90%	92.54%	✓	Yes
NEI009 What percentage of out of hours (OOH) noise complaints are responded to within 15 minutes?	90%	90.4%	✓	90%	92.28%	✓	90%	91.8%	✓	90%	90.6%	✓	Yes
NEI011 What percentage of the rent we were due to be paid for our commercial premises was not paid?	2%	1.51%	✓	2%	1.31%	✓	2%	1.82%	✓	2%	1.91%	✓	Yes
NEI012 What percentage of our commercial premises were let to tenants?	98%	98.9%	✓	98%	98.9%	✓	98%	97.45%	⚠	98%	97.29%	⚠	No
NEI013 What percentage of all household waste was sent to be recycled or reuse?	26%	23.75%	✗	26%	23.74%	✗	26%	23.38%	✗	26%	27.09%	✓	Yes

Key Performance Indicators 2017/18 – Quarter 4 Performance Report

Quarterly Indicators	Q1 2017/18			Q2 2017/18			Q3 2017/18			Q4 2017/18			Is year-end target likely to be achieved?
	Target	Value	Status	Target	Value	Status	Target	Value	Status	Target	Value	Status	
NEI014 What percentage of all household waste was sent to be composted or anerobic digestion.?	33%	35.81%		33%	36.12%		33%	34.39%		33%	30.33%		No

Quarterly Indicators	Q1 2017/18			Q2 2017/18			Q3 2017/18			Q4 2017/18			Is year-end target likely to be achieved?
	Target	Value	Status	Target	Value	Status	Target	Value	Status	Target	Value	Status	
RES001 How many working days did we lose due to sickness absence?	1.62	1.71		3.22	4.07		5.43	6.27		7.25	8.82		No
RES002 What percentage of the invoices we received were paid within 30 days?	97%	96%		97%	96%		97%	97%		97%	96%		No
RES003 What percentage of the district's annual Council Tax was collected?	27.55%	27.64%		52.54%	52.52%		77.84%	77.74%		97.8%	97.82%		Yes
RES004 What percentage of the district's annual business rates was collected?	28.84%	29.25%		53.28%	53.97%		78.06%	78.19%		97.8%	97.7%		No
RES005 On average, how many days did it take us to process new benefit claims?	21	22.31		21	21.82		21	21.1		21	21.61		No
RES006 On average, how many days did it take us to process notices of a change in a benefit claimant's circumstances?	9	7.55		9	7.44		9	7.35		6	4.55		Yes

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Report to Finance and Performance Management Cabinet Committee



**Epping Forest
District Council**

Report reference: **FPM-002-2018/19**

Date of meeting: **21 June 2018**

Portfolio: Leader of the Council

Subject: Corporate Plan 2018-2023 – Benefits Maps, Performance Indicator Set, Targets and Progress Reporting

Responsible Officer: David Bailey (01992 564105).

Democratic Services: Rebecca Perrin (01992 564532).

Recommendations/Decisions Required:

- (1) That, minor amendments to the Corporate Plan 2018-2023 authorised by the Leader of the Council in consultation with the Chief Executive, be noted;**
- (2) That, following consultation with the Overview and Scrutiny Committees and in consultation with the Head of Transformation, the Corporate Plan benefits maps and performance indicator set, which supersede the previous Key Performance Indicators, be agreed;**
- (3) That, following consultation with Management Board, the proposed targets and amber tolerance thresholds for the performance indicator set be agreed; and**
- (4) That a combined quarterly report, containing the benefits maps, performance indicator set, Corporate Specification and Transformation Programme Highlight Report, which supersede these separate reports, be agreed.**

Executive Summary:

The new Corporate Plan runs from 2018/19 to 2022/23 and lays out the journey the Council will take to transform the organisation to be 'Ready for the future'. This plan links the key external drivers influencing Council services, with a set of corporate aims and objectives, grouped under three corporate ambitions.

The success of the new Corporate Plan will be assessed through the achievement of a set of benefits, focussed on what the Council achieves for customers. These benefits in turn are evidenced through a set of performance indicators, with each indicator having a target and amber tolerance threshold. A Corporate Specification for each year details how the Corporate Plan is being delivered through operational objectives, with these in turn linked to annual business plans and projects and programmes from the Transformation Programme.

A combined quarterly report, containing the benefits maps, performance indicator set, Corporate Specification and Transformation Programme Highlight Report is proposed, to supersede these separate reports. This report will give an overview of performance across the Corporate Plan using benefits maps and Red-Amber-Green traffic light status indicators.

Reasons for Proposed Decisions:

The Council has ambitious plans for the future and a clear corporate plan is essential. The Corporate Plan sets out a clear and cohesive view from strategic drivers, through aims and objectives, to benefits which measure real improvements for customers. This plan will enable the Council to focus on what is most important to our stakeholders – what ‘good’ looks like. The Corporate Plan includes a set of benefits maps which show how the success of the plan will be measured, and collectively indicate how well the Council is delivering the benefits to our customers. These arrangements demonstrate how the Council secures the management of change and continuous improvement, having regard for economy, efficiency and effectiveness. A set of performance indicators and benefits measures is agreed each year, with targets.

The Corporate Plan 2018-2023 was adopted by Council in December 2017. It was agreed that the four Select Committees – Communities, Governance, Neighbourhoods and Resources – be consulted on the draft benefits maps and performance indicator set. This consultation ensures that the benefits maps have both the style and the content which the Select Committees find most useful in undertaking their scrutiny of Council performance. Final benefits maps and performance indicator set profiles will be agreed by the Finance and Performance Management Cabinet Committee, in consultation with the Head of Transformation.

A combined report, bringing together the performance of the Council against the Corporate Plan will supersede the current Key Performance Indicator, Corporate Plan Key Action Plan, and Transformation Programme Highlight Reports. This combined report will give ‘clear line of sight’ for performance across the Council via the new benefits maps.

Other Options for Action:

The Committee could, in consultation with the Head of Transformation, agree that specific components of the proposed performance indicator set, targets and/or benefits maps be further reviewed, amended or removed, or new components be considered and included (Report to Cabinet, 7 December 2017).

The Committee could ask for specific components of the Corporate Plan be further reviewed, amended or removed, or new components be considered and included, as authorised by the Leader of the Council in consultation with the Chief Executive (Report to Council, 21 December 2017).

Report:

The Corporate Plan – Context, Aims and Objectives

1. The Corporate Plan is the Council’s highest level strategic document. It sets the strategic direction and priorities for the organisation for the lifetime of the plan, and provides a framework to demonstrate how the work of the Council fits together at a strategic level.
2. The new Corporate Plan runs from financial year 2018/19 to 2022/23 and was adopted by full Council on 21 December 2017. This plan links the key external drivers influencing Council services, with a set of corporate aims and objectives, grouped under three corporate ambitions. The Corporate Plan is the cornerstone of the Council’s performance management framework, called its Benefits Management Strategy.
3. The Council’s external drivers have been identified by Cabinet Members and the Council’s Management Board and Leadership Team, for the next five years. They have been

further refined through consultation and linked with a set of three interdependent corporate ambitions:

- Stronger Communities;
- Stronger Place; and
- Stronger Council.

4. Each ambition has a set of corporate aims, which are in turn detailed by one or more corporate objective, developed with the input of Cabinet Members and Officers. This work was undertaken via a series of workshops in March, April and May 2017. Further consultation on the draft Corporate Plan was undertaken over the summer 2017 and feedback invited from:

- Customers;
- Businesses;
- Partners;
- Staff and managers;
- Local Councils via the Local Councils' Liaison Committee (LCLC);
- District Councillors, through Select Committees for Communities, Governance, Neighbourhoods and Resources, as well as the Overview and Scrutiny Committee; and
- Finance and Performance Management Cabinet Committee.

5. For the purposes of the Corporate Plan, 'customers' means people that:

- Live (residents);
- Work or do business;
- Learn (students);
- Visit (tourist economy); and
- Play (leisure activities) in the district.

6. The Corporate Plan including an overview of the district, our vision, purpose, values, and a set of corporate aims and objectives. The content presented in this report is by necessity more technical than when presented in the public Corporate Plan. The most significant advance in the new Corporate Plan is its focus on our customers and the measurement of success as the impact that the delivery of the plan has for them.

7. The corporate ambitions, aims and objectives are central elements of the new Corporate Plan and as such the new Plan has been developed around them in response to our external drivers and our vision, purpose and values. The new plan is a forward looking and organised document.

8. Our vision: A great place where people enjoy living, working, learning and leisure.

9. Our purpose: Working together to serve our community.

10. Our values: Trust, One Team, Performance, Innovation and Customer.

11. The summary of the Corporate Plan – known as the 'plan on a page' can be found in Appendix 1.

12. The Committee are asked to note the minor amendments made to the Corporate Plan 2018-2023 authorised by the Leader of the Council in consultation with the Chief Executive, as follows:

- Details and photograph for the Chief Executive / Acting Chief Executive (p.2).
- Revised numbering scheme for the Corporate Aims and Objectives to bring them in line with the benefits maps, following feedback from the Select Committees (pp.6-19).
- Corrections (p.3).
- Typographic errors (pp.various).

Benefits Realisation

13. The Corporate Plan can be viewed as a set of benefits maps – one map for each of the corporate aims. The content of these maps is by necessity more technical than is presented in the public document.

14. An explanation of these benefits maps is provided in this section of the report. Constructing the benefits maps is a complex and detailed task and significant feedback was received through consultations on the draft maps.

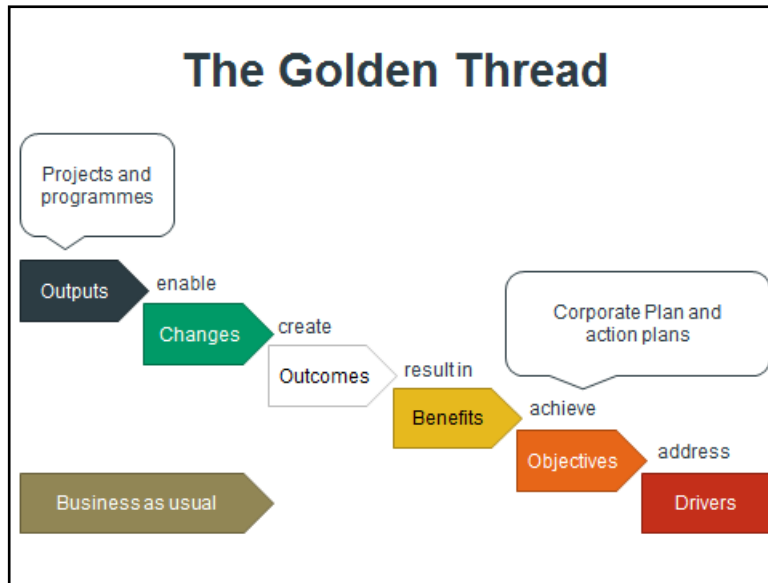
15. All benefits from individual corporate objectives, connect back to four key benefits, which are as follows (please note new reference numbers):

- K1 Improved customer value – recognising what customers' value about our services and placing them as the heart of everything we do;
- K2 Increased efficiency – focussing on our speed of delivery and getting things right first time;
- K3 Increased agility – reducing red tape, simplifying how we work through joined up services; and
- K4 Increased savings and income – delivery of resource savings and income generation, to keep Council Tax low.

16. In this context, a benefit is defined as: the measurable improvement resulting from an outcome perceived as an advantage by a stakeholder, which contributes towards one or more organisational objectives. All benefits must be defined in SMART terms – Specific, Measurable, Achievable, Relevant and Time-bound. It is possible that the Corporate Plan will have some negative impacts for some stakeholders as well as improvements. Where a negative effect of a change can be foreseen, then this is known as a dis-benefit.

17. The achievement of the new Corporate Plan will be monitored and assessed through the realisation of the set of interconnected benefits or benefits maps, focussed on what the Council achieves for customers. The evidence that these benefits have been realised comes through the combination of a set of performance indicators (PIs) replacing the previous set of Key Performance Indicators (KPIs).

18. Going forward, the delivery of the Corporate Specification will be monitored and reported alongside the information previously contained by the Transformation Programme Full Highlight Report and the benefits and performance indicator set. This will be presented as benefits maps, showing the interconnections between the delivery of projects, through benefits and performance indicators, to the objectives and drivers from the Corporate Plan. A diagram showing the relationship between these elements is given below.



Above: 'The Golden Thread' linking project outputs through benefits to achieve objectives.

19. Appendix 4 contains the benefits maps and performance indicator set shown in the middle three columns, headed 'Benefits realisation' (highlighted in purple). These benefits maps show the linkages between the three interrelated parts:

- The Corporate Plan drivers, aims and objectives for 2018-2023 (right-hand side);
- The benefits realisation framework of performance indicators and benefits (centre); and
- The Corporate Specification for 2018-19 (left-hand side).

20. Please note that when the benefits maps are created, best practice is to start from the right-hand side and work towards the left, i.e. start with the needs of our customers or the end in mind, and work back to the solutions on the left-hand side. When the organisation delivers services, it starts on the left-hand side and works over to the right, i.e. the delivery goes from left to right. In this way the benefits maps shown 'cause and effect' relationships.

Design of the New Corporate Plan – Measuring Success

21. As explained above, the new Corporate Plan strives to 'put the customer at the heart of everything we do', focussing on redefining our measurement of success as the impact that the delivery of the plan has on them.

22. In the previous Corporate Plan, success was largely defined as the delivery of services, products or things. For example in the Key Action Plan:

- Deliver Phase 1 of the Council Housebuilding Programme, to provide 23 new affordable rented homes (Objective 1.b.1).
- Produce a plan to improve the management of information, to protect public data and comply with legislation (3.b.4).

These are known as output measures as they measure the output of project work – i.e. deliver a new computer system – or a 'thing'. Other examples from the previous Key Action Plan have outcome measures attached:

- Complete a new off-street parking contract to manage the Council's car parks with an alternative provider to increase efficiency and reduce costs (1.c.4).

In terms of measuring success, the previous Key Action Plan report measures success as the completion of the contract – i.e. the output. However, this example also shows a benefits measure, to 'increase efficiency and reduce costs'. These can normally be identified as they use action verbs like 'increase', 'reduce' or 'improve'. In this example the benefit is to the Council, in reduced cost and increased efficiency, but the benefits for our customers is implicit rather than explicit, i.e. the reduction in costs for local tax payers.

23. In these examples, and across the majority of the previous Corporate Plan, the realisation of benefits as a definition of success is not measured through the Key Performance Indicator set. Examples of KPIs include:

- What percentage of our commercial premises was let to tenants? (NEI011)
- What percentage of the district's annual business rates was collected? (RES003)
- What percentage of calls to the council's Careline Service are answered within 60 seconds? (COM010)

Clearly, these are measures of service performance, but they do not link with actions from the Key Action Plan and again are most often output measures and not outcome measures. Measuring outputs rather than outcomes (or benefits) is the traditional way of measuring success, and these measures were often easier to define and collect.

24. Strategically, the weakness with these measures is in the response to the challenge – 'so what?' What difference does it make that the percentage of our commercial premises is let? What difference does it make the percentage of calls to Careline are answered within 60 seconds? The new Corporate Plan seeks to address this requirement directly by constructing a set of actions, performance indicators and benefits which link together to demonstrate the success of the Plan overall, and explicitly place the emphasis on the improvements for customers. Overall, this is done through benefits maps. See Appendix 4. These benefits maps (also known as strategy maps) form the core of our performance management framework for the new Corporate Plan.

25. This marks a fundamental shift for the Council in the way it thinks about performance and what 'success' looks like for its customers. The Council's previous performance management approach has been in place for many years, and the move to this new way of thinking will no doubt at times be challenging. However, this focus on success is an essential aspect of the Council being 'Ready for the future'.

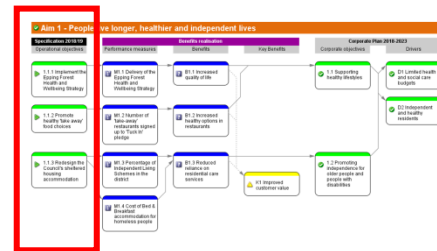
Format of Performance Reports

26. Presently, there are three different performance reports which are variously presented across Cabinet, Finance and Performance Management Cabinet Committee and Scrutiny Committees, see table below. The reports are also considered by Management Board and Transformation Programme Board. Interestingly, there is no report on the overall successful delivery of the Corporate Plan.

<i>Report and content</i>	<i>Finance and Performance Management Cabinet Committee</i>	<i>Cabinet</i>	<i>Overview and Scrutiny Committee</i>	<i>Scrutiny Committees</i>
Corporate Plan Key Action Plan – progress on the annual key actions, through which the Corporate Plan is delivered		✓	✓	✓
Transformation Programme Highlight Report – progress of projects and programmes by exception		✓		
Key Performance Indicators (KPIs) – progress against the indicators, grouped by directorate	✓			✓

27. Effectively, these three reports cover different aspects of the Benefits maps, which were developed as part of producing the new Corporate Plan 2018-2023.

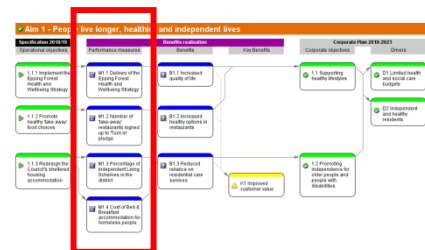
28. Working from the left hand side of the benefits maps (see example), the first column contains the Annual Specification – formally the Key Action Plan – as a set of objectives covering both Businesses As Usual (BAU) and business transformation (projects and programmes).



The business transformation elements are also covered by exception in the Transformation Programme Highlight Report.

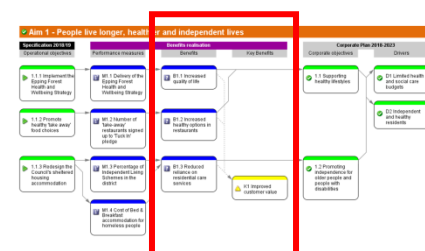
These reports describe the progress made in delivering services (BAU) and improving services (business transformation).

29. The next column of the benefits maps covers the measurement of performance through a set of Performance Indicators (PIs) – formally known as Key Performance Indicators or KPIs. The previous set of KPIs largely measured the performance of Business As Usual (BAU) activities and not improvements brought about by business transformation.



Many of the previous indicators have their origins in the National Key Indicator Set and Comprehensive Spending Review framework, implemented by the UK Government in 2007. This was a means to reflect national priority outcomes in the work of local authorities, replacing previous frameworks like Best Value Performance Indicators and Performance Assessment Framework indicators.

30. The Council's previous performance measurement framework often did not measure the impact on our customers – referred to as the realisation of benefits. These sit at the centre of the benefits maps.

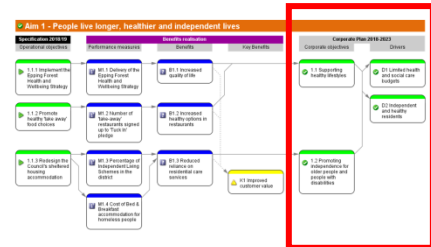


On the benefit maps for the new Corporate Plan, a new set of performance indicators have been designed. These

allow the Council to measure directly or indirectly the realisation of benefits for our customers.

A benefit may have one or more performance indicator. Where more than one indicator exists, the proportion in which the indicators are combined to demonstrate the benefit is weighted as a percentage, with the sum of these weightings totalling 100%. Similarly, an individual indicator may contribute to the realisation of one or more benefits.

31. The right hand side of the benefits maps shows the corporate aims and objectives and the environmental factors which drive them. In the delivery of the previous Corporate Plan the Council did not assess its performance against the delivery of Corporate Aims and Objectives. The establishment of benefits maps in the new Corporate Plan establishes a mechanism with which to ask and answer the strategic question – ‘how well is the Council is doing in the delivery of its five-year Corporate Plan?’



Corporate Benefits Maps and Indicator Set

32. The adoption of the new Corporate Plan necessitated a revision of corporate Performance Indicators (PIs). The Head of Transformation has undertaken consultation with the Select Committees for Communities, Governance, Neighbourhoods and Resources, concluding with the Overview and Scrutiny Committee – on the proposed benefits maps and the performance indicator set. A summary of feedback from the Select Committees is given in Appendix 2. Responses to this feedback will be included throughout the implementation of the benefits maps and performance indicator set. Further feedback from officers was also received during this consultation process, and a summary can be found in Appendix 3.

33. These consultations showed that the structure and strategic approach of the new Corporate Plan were welcomed by all stakeholders, alongside an endorsement of the consultation itself. Beyond this, a number of detailed comments on specific performance indicators were received.

34. The proposed performance indicator profiles are available to view as a background item to this report, published through the Council’s Committee Management System (modern.gov). Each profile includes the definition for the indicator and details of its data source, reporting cycle and ownership. These profiles have been validated by the Owners with support from the Transformation Team, and were agreed by Management Board on 6 June 2018.

35. A small number of the previous KPIs have been included within the benefits maps and performance indicator set, and therefore will continue to be reported. Other previous KPIs may continue to be collected as Management Information (MI), to assist in the management of services, but will no longer be reported. The majority of performance indicators within the set are newly defined for use by the Council and for some there will need to be a baseline data gathering exercise undertaken in 2018-19 before targets can be set for the remainder of the Corporate Plan period.

36. In addition, each performance indicator has been identified as either ‘Corporate (C)’ or ‘Partnership (P)’, to show whether there are factors outside of the Council’s control which impact on the indicator. Benefits Realisation Confidence Assessments will be completed between the Owners and the Transformation Team to assess the level of confidence in the logic, evidence and causality for each measure.

37. The Committee, in consultation with the Head of Transformation, is asked to agree the proposed Corporate Plan benefits maps in Appendix 4 and the performance indicator set contained therein, which supersede the previous set of Key Performance Indicators. The detailed profiles for the performance indicators are available as a background paper to this report and can be accessed through the Council's Committee Management System (modern.gov).

Performance Indicator Targets and Amber Thresholds

38. A set of 46 performance indicators (PIs) for the Corporate Plan was adopted for 2018/19 by Management Board on 6 June 2018. These supersede the previous set of Key Performance Indicators (KPIs).

39. Where appropriate, each individual performance indicator has a target for the Corporate Plan period. This will be profiled across the five years of the plan, and could be a flat line, cumulative, ramp-up or tail-off in shape. In addition, where appropriate each individual performance indicator has an amber threshold tolerance. Between the target and the amber tolerance, performance would be reported as Amber, beyond this threshold, performance would be reported as Red.

40. The Committee, in consultation with the Head of Transformation, is asked to agree the proposed targets and amber threshold tolerances (where applicable) for the performance indicator set contained in Appendix 5.






Performance Reporting

41. Clearly it is possible to report separately on each aspect of performance within the benefits maps. However, it is proposed to report the performance holistically, replacing the existing performance reports with a single integrated report – giving a single view of the performance of the Council against the Corporate Plan. This single view shows the interconnections between the various elements of the benefit maps, and should enable officers and Members to focus on cause and effect relationships.

42. It is proposed to present information using the benefits maps – colour coded using the Red-Amber-Green traffic light status indicators – often abbreviated to RAG – to highlight exceptions that may require attention. This will give Members and officers a quick visual tool to focus on areas where performance may be below target, and where remedial actions or further scrutiny may be required. By following the connections left-to-right on the benefit maps – between actions / projects, performance indicators, benefits, objectives and drivers – the maps also show the likely cause (to the left) or effect / impact (to the right) of any underperformance.

(Continued./...)

43. The key to the icons used on the benefits maps is as follows:

	Green	Indicates an element that is on target or has been completed
	Green	Indicates an action that is in progress or is assigned
	Amber	Indicates: <ul style="list-style-type: none"> ▪ Performance Indicator (or Risk) that is neither red nor green; or ▪ An Action that is unassigned, i.e. it doesn't have an owner
	Red	Indicates: <ul style="list-style-type: none"> ▪ A Performance Indicator below target, or ▪ An overdue Action based on the deadline date, or ▪ A Risk with a high rating
	Blue	Indicates that there is data missing and Pentana Performance is unable to make a calculation for that Performance Indicator, therefore it will not show one of the other traffic light icons

44. The Select Committees have requested that detailed information be given for each item on the benefits maps rather than by exception, i.e. those with Amber or Red statuses.

45. An example of how the proposed performance report will look is given in Appendix 6, including both an example of a benefits map and the more detailed performance sections.

46. The progress of performance is reviewed by Management Board, Transformation Programme Board, the Finance and Performance Management Cabinet Committee and Cabinet at the conclusion of each quarter. Service directors review performance with the relevant portfolio holder(s) on an ongoing basis throughout the year. Select Committees are each responsible for the scrutiny of quarterly performance within their areas of responsibility.

47. The Committee is asked to agree that a combined quarterly report, containing the benefits maps, performance indicator set, Corporate Specification and Transformation Programme Highlight Report, as shown in Appendix 6, supersede these separate reports.

Concluding Comments and Next Steps

48. The benefits maps contain 29 benefit measures and 47 performance indicators. Further work will be undertaken over the June and July 2018 to complete the benefits profiles for the Corporate Plan. This work will include establishing ownership for each of the benefits measures.

49. Resources are constrained and it is useful therefore to be able to focus benefits realisation activity on those benefits judged to be most significant. The intention is to assess the relative priority of each corporate driver, objective and benefit, through workshops with Leadership Team, to be agreed by Management Board. In the future this work will support the prioritisation of investment decisions and change projects. It will also enable remedial action plans for any benefits measure where the forecast is not on target, to be prioritised in line with the Corporate Plan.

50. With such a fundamental change to the way the Council measures its success, it is inevitable that a small number of performance indicator definitions or targets, will upon collection need to be reviewed and modified. Any amendments to performance indicators will be agreed by the Finance and Performance Management Cabinet Committee in consultation with the Head of Transformation.

Resource Implications:

The design and production of the new Corporate Plan have been met from within the existing resources of the Transformation Team. Publication of the new Corporate Plan will be through an electronic format only, available via the Council's website. Resource requirements for actions to achieve specific objectives or benefits within the plan will be identified by the responsible service director and reflected in the respective budget.

Legal and Governance Implications:

There are no legal or governance implications arising from the recommendations of this report. Relevant implications arising from actions to achieve specific objectives or benefits will be identified by the responsible service director.

Safer, Cleaner and Greener Implications:

There are no implications arising from the recommendations of this report in respect of the Council's commitment to the Climate Local Agreement, the corporate Safer, Cleaner and Greener initiative, or any crime and disorder issues with the district. Relevant implications arising from actions to achieve specific objectives or benefits will be identified by the responsible service director.

Consultation Undertaken:

Management Board, Leadership Team and Cabinet Members were involved in developing the draft Corporate Plan 2018-2023. The content of this draft – including drivers, objectives and benefits – were the subject of consultation with customers, businesses, partners and staff. The views of Councillors were also sought through the Communities, Governance, Neighbourhoods and Resources Select Committees as well as the Overview and Scrutiny Committee. The views of the Cabinet were gained through a report to the Finance and Performance Management Cabinet Committee. The views of local councils were gained through a report to the Local Councils' Liaison Committee (LCLC). Full Council adopted the new Corporate Plan on 21 December 2017.

Background Papers:

- Corporate Plan 2015-2020 Report to Cabinet (C0-071-2014/15) on 9 March 2015 and Report to Council on 21 April 2015.
- Transformation Programme – Scope and Methodology Report to Cabinet (C-073-2015/16) on 03 March 2016.
- Benefits Management Strategy Report to Transformation Programme Board on 20 July 2016.
- Corporate Plan 2018-2023 Report to the Governance Select Committee on 4 July 2017.
- Corporate Plan 2018-2023 Report to the Resources Select Committee on 13 July 2017.
- Corporate Plan 2018-2023 Report to the Overview and Scrutiny Committee on 18 July 2017.
- Corporate Plan 2018-2023 Report to the Finance and Performance Management Cabinet Committee (FPM-007-2017/18) on 20 July 2017.
- Corporate Plan 2018-2023 Report to the Communities Select Committee on 5 September 2017.
- Draft Corporate Plan 2018-2023 Report to the Local Councils' Liaison Committee on 11 September 2017.
- Corporate Plan 2018-2023 Report to Cabinet (C-032-2017/18) on 7 December 2017.
- Corporate Plan 2018-2023 Report to Council (Item 12) on 21 December 2017.

- Corporate Plan 2018-2023 – Progress Reporting and Performance Indicator Set:
 - Neighbourhoods Select Committee on 20 March 2018
 - Resources Select Committee on 14 March 2018
 - Governance Select Committee on 27 March 2018
 - Communities Select Committee on 18 March 2018
 - Overview and Scrutiny Committee on 17 April 2018.

Risk Management:

There are no risk management issues arising from the recommendations of this report. Relevant issues arising from actions to achieve specific objectives or benefits will be identified by the responsible service director during business planning and communicated to the Corporate Risk Management Group.

Equality Analysis

The Equality Act 2010 requires that the Public Sector Equality Duty is actively applied in decision-making. This means that the equality information provided to accompany this report is essential reading for all members involved in the consideration of this report. The equality impact assessment is provided as an Appendix to the report.

Our Corporate Plan 2018-2023

“Ready for the future”

Our Vision

A great place where people enjoy living, working, learning and leisure.

Our Purpose

Working together to serve our community.

Stronger communities

1. People live longer, healthier and independent lives

1.1 Supporting healthy lifestyles

1.2 Promoting independence for older people and people with disabilities

2. Adults and children are supported in times of need

2.1 Safeguarding and supporting people in vulnerable situations

3. People and communities achieve their full potential

3.1 Enabling communities to support themselves

3.2 Promoting culture and leisure

3.3 Keeping the district safe

Stronger place

4. Delivering effective core services that people want

4.1 Keeping the district clean and green

4.2 Improving the district housing offer

5. A district with planned development

5.1 Planning development priorities

5.2 Ensuring infrastructure supports growth

6. An environment where new and existing businesses thrive

6.1 Supporting business enterprise and attracting investment

6.2 People develop skills to maximise their employment potential

6.3 Promoting retail, tourism and the visitor economy

Stronger council

7. Customer satisfaction

7.1 Engaging with the changing needs of our customers

8. Democratic engagement

8.1 Robust local democracy and governance

9. A culture of innovation

9.1 Enhancing skills and flexibility of our workforce

9.2 Improving performance through innovation and new technology

10. Financial independence with low Council Tax

10.1 Efficient use of our financial resources, buildings and assets

10.2 Working with commercial partners to add value for our customers

Our Values:

Customer

Trust

One Team

Innovation

Performance

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Select Committee Feedback Summary

This summary includes comments and questions from Members of the Communities, Resources, Neighbourhoods and Governance Select Committees. Please note that this summary omits duplicate comments or questions.

A simplified benefits map was developed following feedback from the Communities, Resources and Neighbourhoods Select Committees (Appendix 2c example 2). This revised example was presented to the Governance Select Committee.

Proposed report format, including benefits maps

1. The A3 benefits map and original A4 benefits map are confusing, difficult to read and need to be simplified (Appendix 2b and Appendix 2c example 1).
2. Keep the A3 benefits map (Appendix 2b).
3. The revised A4 benefits map was preferred as it is easier to understand (Appendix 2c example 2).
4. Traffic light indicators make sense and are preferred.
5. Concerns were raised over the cost of colour printing, but it was noted that indicators are displayed with different symbols so they can be printed in black and white.
6. Suspicion of the term 'under control' to describe performance – is an indicator on target or not?
7. If an indicator was Amber or Red there should be comments to explain the reasons.
8. Each Select Committee should only scrutinise those indicators relevant to it.
9. Reports are too wordy, repetitive and state the obvious.
10. Detailed performance for all indicators should be reported, not just those at Amber or Red status.

Draft Performance Indicator profiles

1. How accurate are the figures given, as they tend to be within two decimal places?
2. Some current indicators, like Council Tax collection rates, will continue to be collected as management information but not reported as Key Performance Indicators. Select Committees may request management information.
3. Performance Indicators need to include measures for customers and council performance.

Other comments and questions

1. Aims and Objectives from the Corporate Plan are fairly abstract and therefore would be difficult to represent and measure.
2. Narrative descriptions of aims and objectives are given in the public Corporate Plan.
3. Training for Members on how to scrutiny performance reports may be beneficial.
4. In what context would the new indicator set be used?
5. How will projects with multiple dependencies be handled?

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Corporate Benefits Maps and Indicator Set – Officer Feedback

Stronger Communities

Aim 1 – People live longer, healthier and independent lives

- The Health and Wellbeing Strategy has replaced the draft indicators

Aim 2 – Adults and children are supported in times of need

- Retain existing indicator RES005 'On average, how many days did it take us to process new benefit claims?'

Aim 3 – People and communities achieve their potential

- Drivers D1.6 'Retaining the character of the district' and D2.13 'Pride in our history' are similar

Stronger places

Aim 4 – Delivering effective core services that people want

- Consider performance indicators on environmental protection activities – like waste and recycling, tree protection or Green Flags for open spaces

Aim 5 – A district with planned development

- Objective 2.4.1 on Waltham Abbey leisure centre construction – consider moving to Aim 3 under health and wellbeing
- Review and include existing Development Management indicators (Cllr Philip)

Aim 6 – An environment where new and existing business thrive

- Objective 2.5.2 St John's Road development – consider adding indicators around job creation and Council income
- Consider referencing Tourism and Visitor Economy Strategy and Economic Development Strategy in place of draft indicators

Stronger Council

Aim 7 – Customer satisfaction

Aim 8 – Democratic engagement

- Consider adding an indicator for the Youth Council

Aim 9 – A culture of innovation

- Consider a financial savings indicator for the Transformation Programme (M3.4.3)
- Consider adding an indicator on the performance of the Audit plan

Aim 10 – Financial independence with low Council Tax

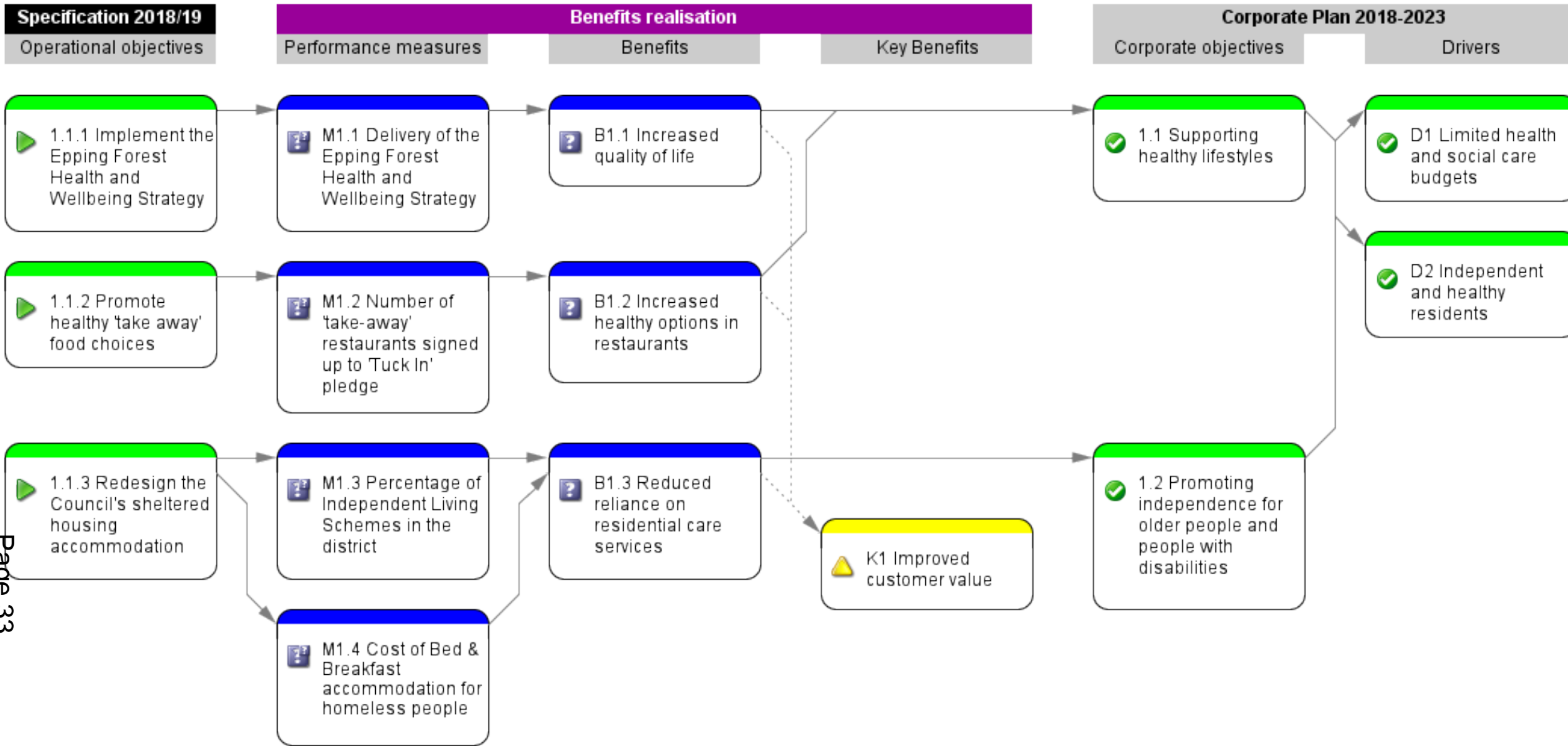
- Consider adding an indicator for the development / delivery of a commercial (estates) strategy
- Retain existing indicator RES003 'What percentage of the district's annual Council Tax was collected?'

Other comments

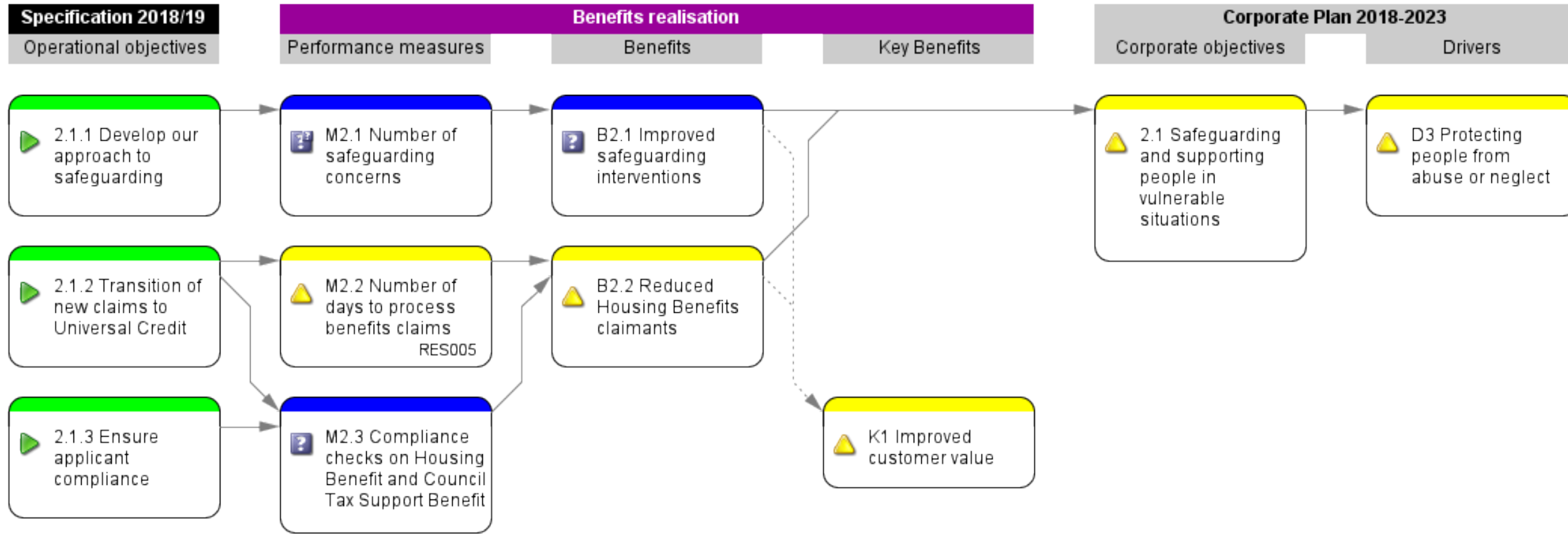
1. Renumber elements on the maps to match the Aim number, making it easier to refer to performance indicators
2. Approximately 21 indicators have quarterly collection and 20 annual. However, annual indicators can report at different times of year, i.e. calendar, financial, etc
3. Are Legal, Audit, Development Management and Technical services represented?

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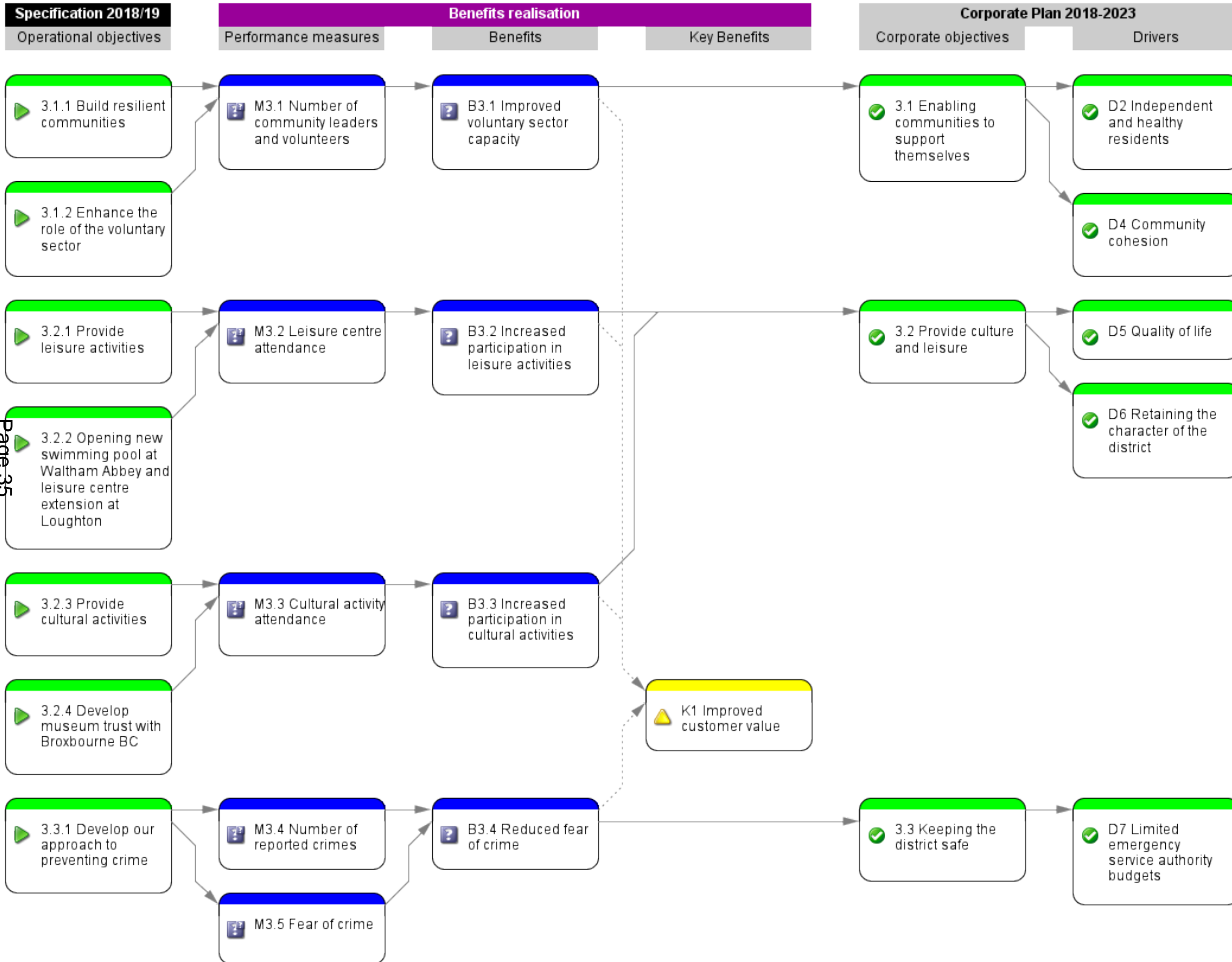
✓ Aim 1 - People live longer, healthier and independent lives



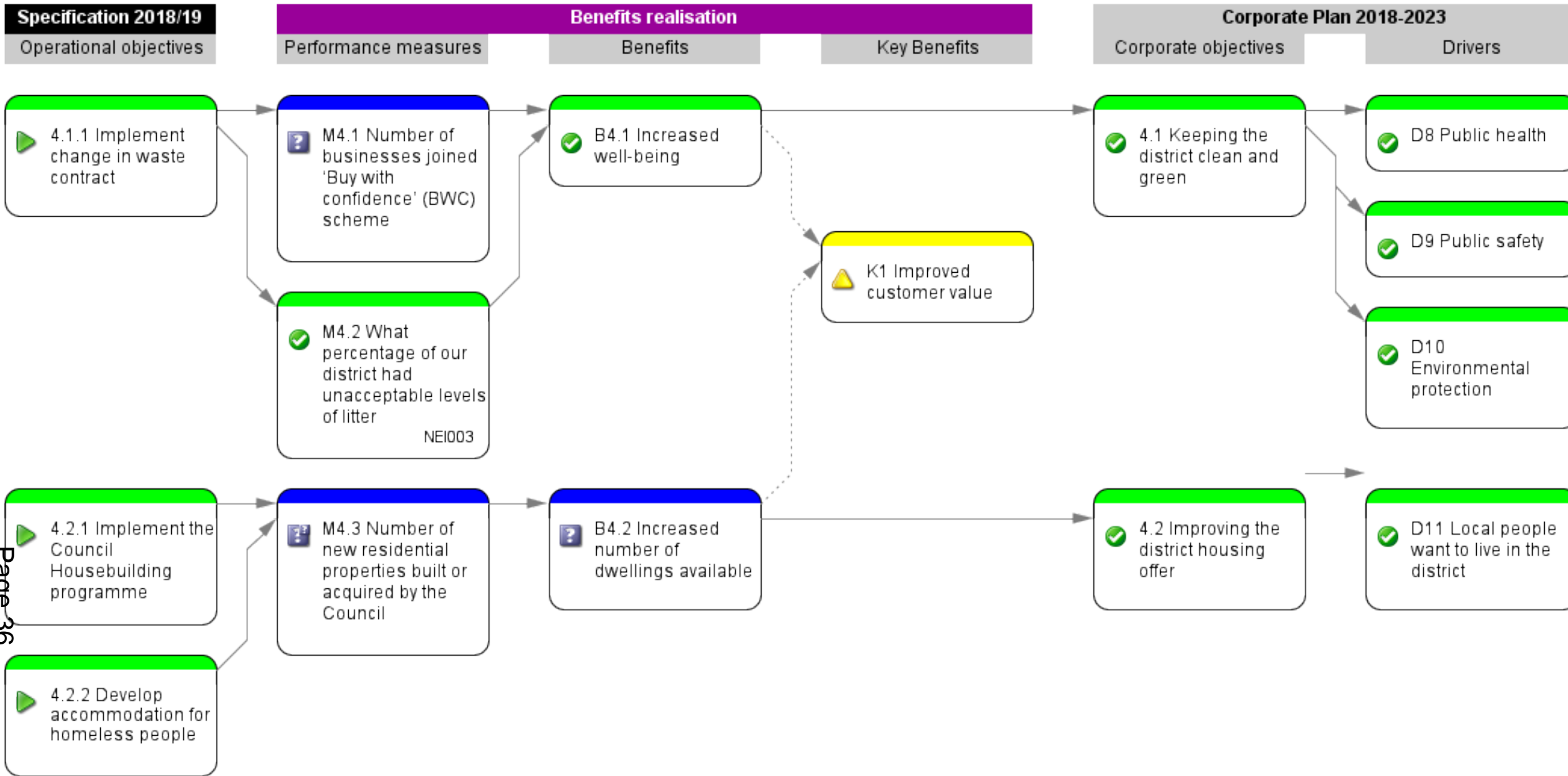
▲ Aim 2 - Adults and children are supported in times of need



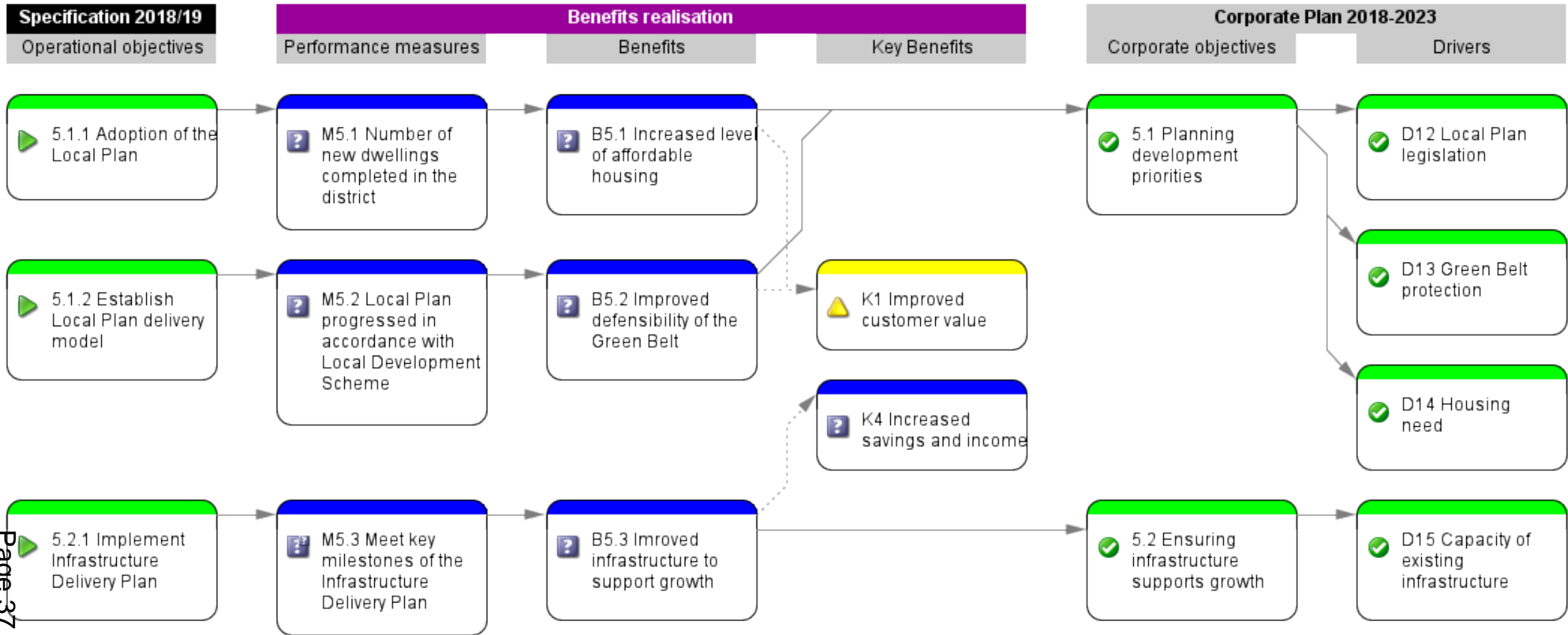
✓ Aim 3 - People and communities achieve their potential



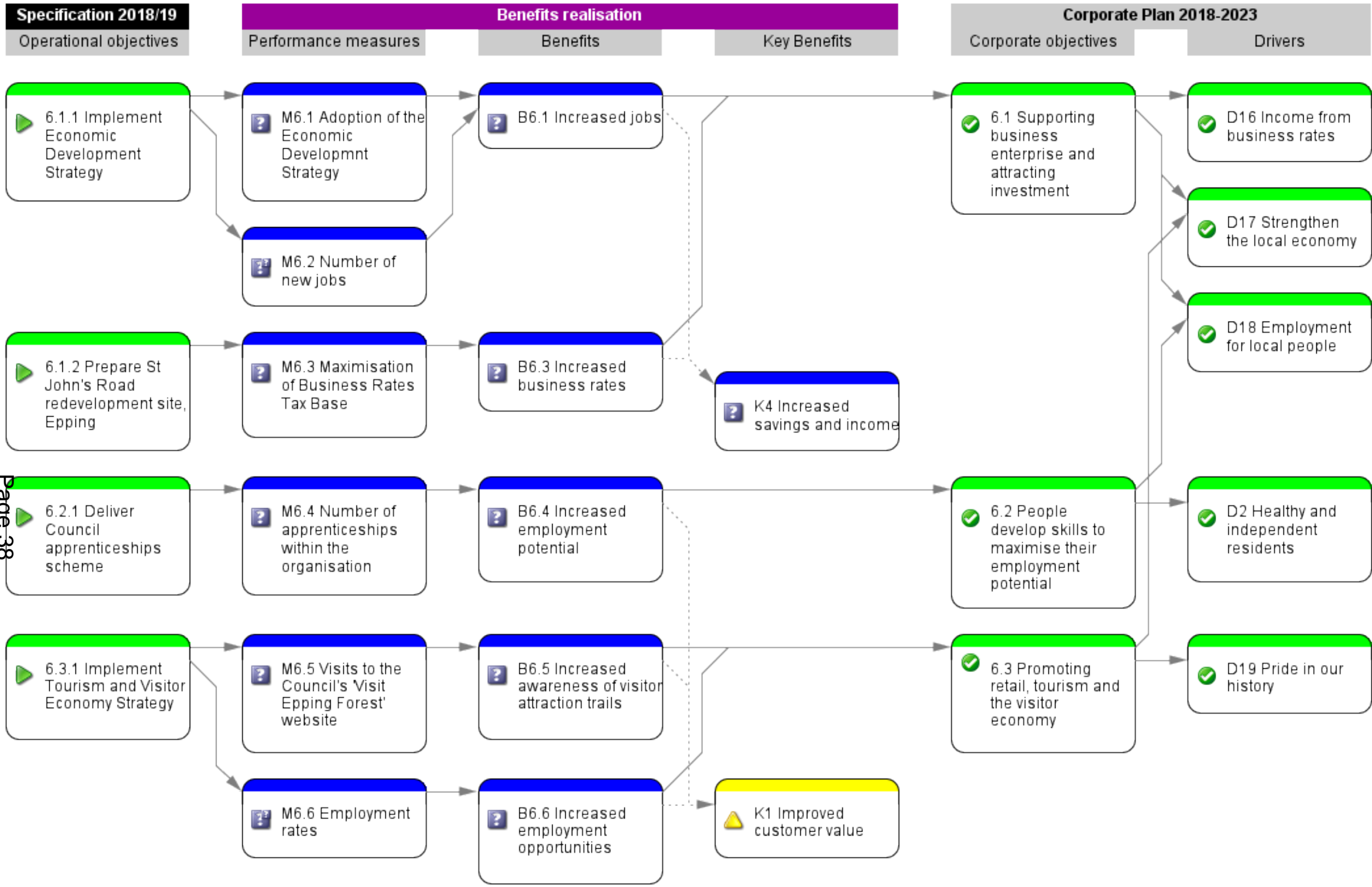
✓ Aim 4 - Delivering effective core services that people want



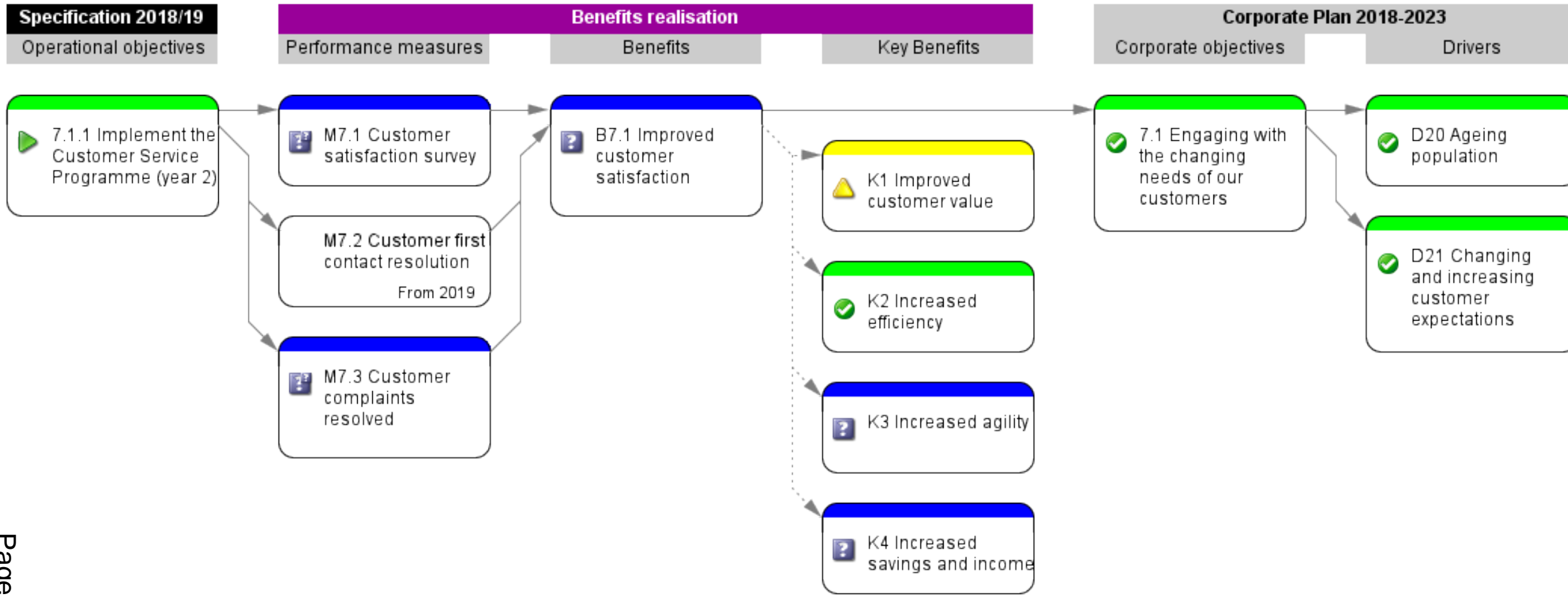
✓ Aim 5 - A district with planned development



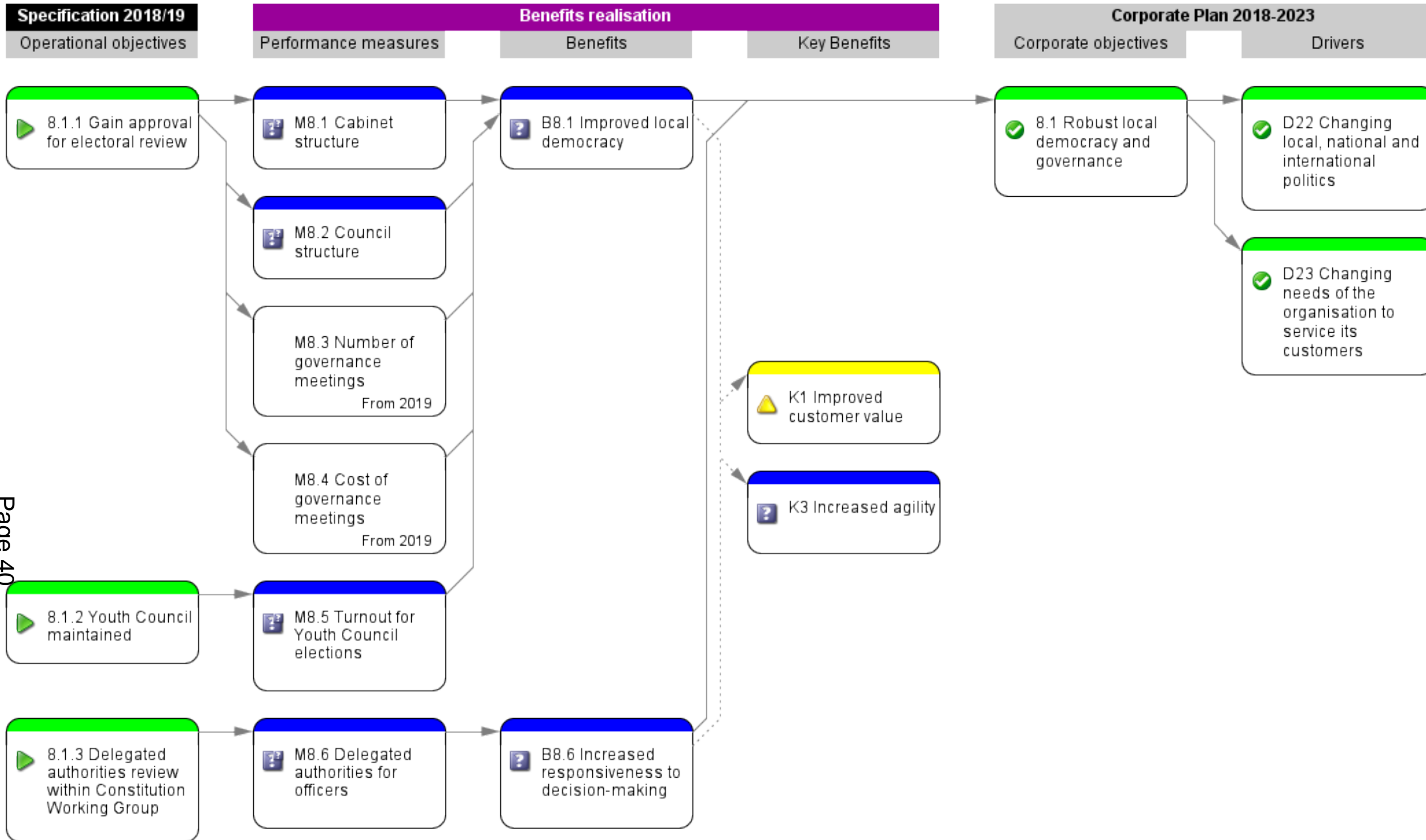
✓ Aim 6 - An environment where businesses thrive



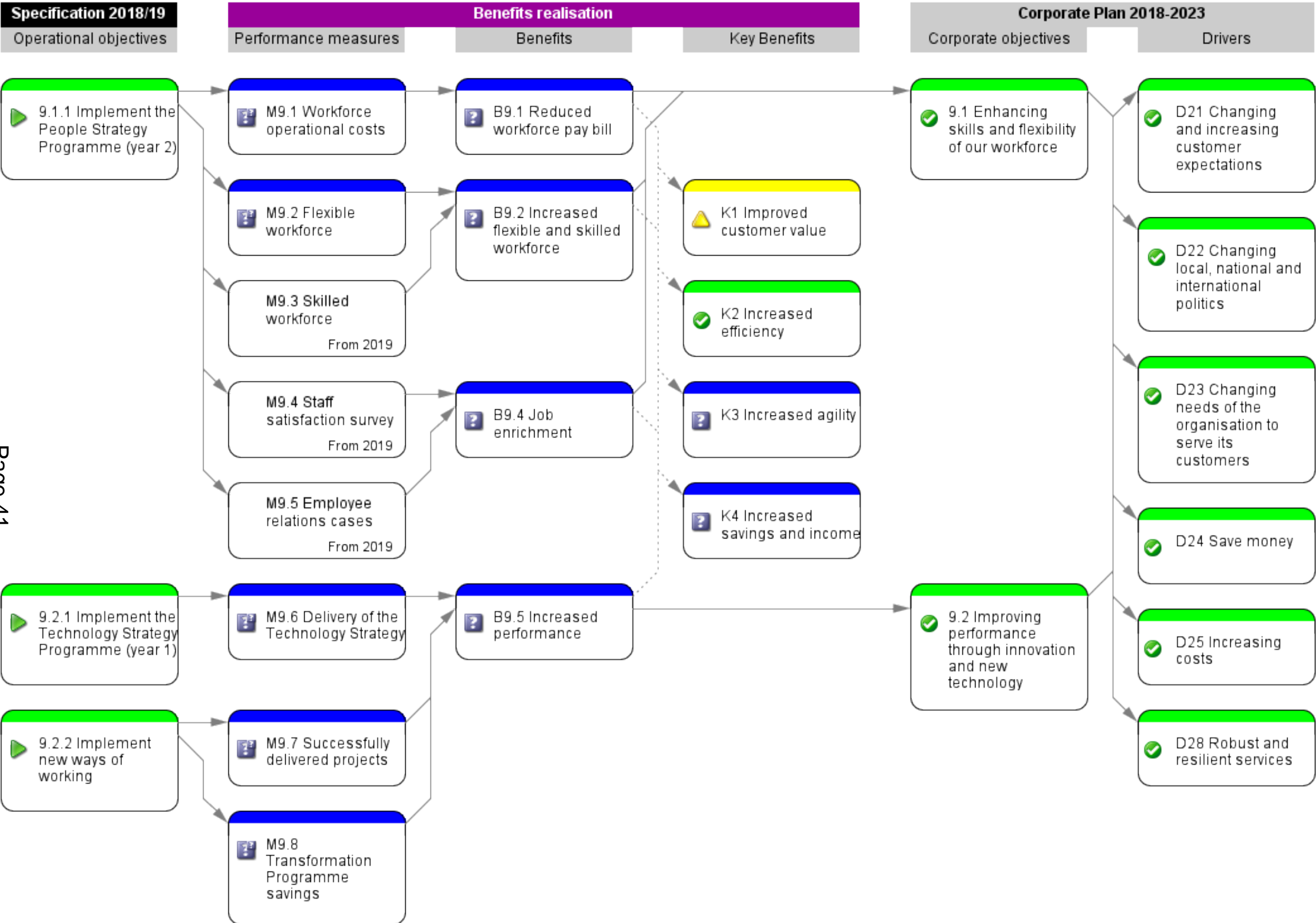
✓ Aim 7 - Customer satisfaction



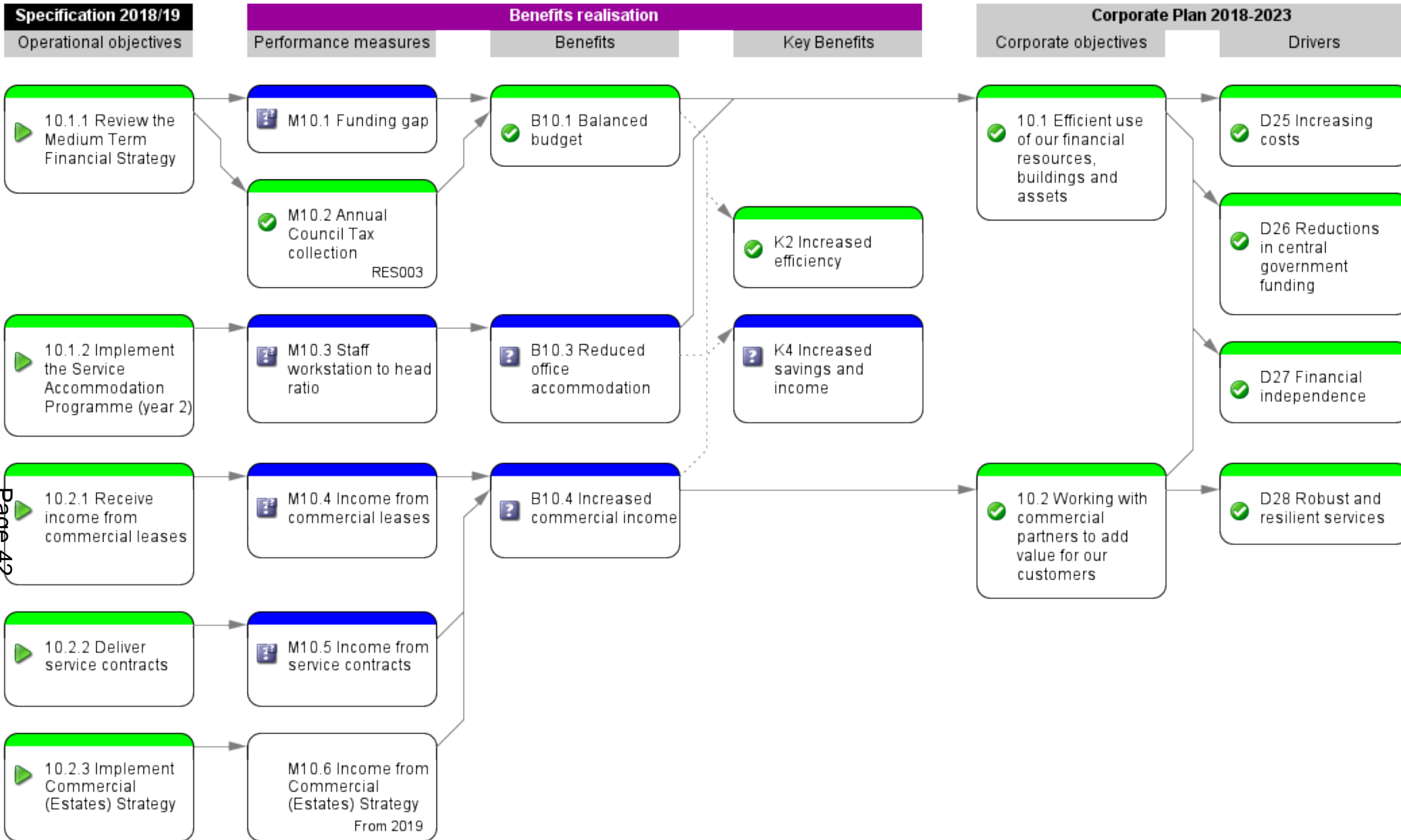
✓ Aim 8 - Democratic engagement



✓ Aim 9 - A culture of innovation



✓ Aim 10 - Financial independence with low Council Tax



<i>Ref</i>	<i>Title</i>	<i>Description</i>	<i>Type</i>	<i>Target 2018/19</i>	<i>Historical data</i>	<i>Comments for target for 2018/19</i>
M1.1	Delivery of the Epping Forest Health and Wellbeing Strategy	This indicator is a measure of the successful implementation of projects contributing to the multi-agency Epping Forest Health & Wellbeing Strategy 2018-28 (Year 1)	P	100% completion over the Corporate Plan period (2018-23) Amber tolerance = 10% below target	No historical data is available	This is a new Corporate Plan measure with no baseline. This first instance is intended to act as a baseline for the remaining years of the Corporate Plan and beyond (the strategy lifespan is 10 years); it is anticipated that the remaining 5 years of the strategy will be included in the following Corporate Plan (after 2018-23)
M1.2	Number of 'take-away' restaurants signed up to 'Tuck In' pledge	This indicator is a measure of the Number of takeaways / cafés who sign up to the 'Tuck In' pledge (this is an Essex County Council initiative)	P	50 premises over 5 years (cumulative) No amber tolerance appropriate	7 establishments have signed up to the scheme in 2016/17	This is a new Corporate Plan measure and the target has been set and agreed alongside Essex County Council as a county-wide initiative
M1.3	Percentage of Independent Living Homes in the district	To promote an increase in the supply of Independent Living Homes for older people in the district, over the Corporate Plan Period (2018-23)	C	80 units over the Corporate Plan period (2018-23) Amber tolerance = 10% below target	No historical data is available. Baseline: 40 self-contained units - Honeytree Court in Loughton	The commencement date to build a new ILS has not been planned yet. The aim is to have approx. 50 new units build in 2019/20

<i>Ref</i>	<i>Title</i>	<i>Description</i>	<i>Type</i>	<i>Target 2018/19</i>	<i>Historical data</i>	<i>Comments for target for 2018/19</i>
M1.4	Cost of Bed & Breakfast accommodation for homeless people	The indicator is intended to measure the savings on reduction in cost of Bed & Breakfast accommodation for homeless people when accommodated in pods (temporary modular accommodation)	C	£35,040 Amber tolerance = 25% below target	This is a newly proposed indicator with no historical data available.	£35,040 is 80% of the annual cost saving of £43,800. It is highly unlikely that all 6 PODS will be fully occupied every week of the year and voids are expected. Other issues such as housing management problems are also taken into account
M2.1	Number of safeguarding concerns	Safeguarding aims to protect or promote the welfare of individuals and/or groups of people, which ensures prevention of harm for children, young people and adults with care and support needs (Epping Forest District Council Safeguarding Policy and Procedures)	C	1% increase for safeguarding concerns identified 2% increase for referrals to partners No amber tolerance appropriate	Historical data available for 2015, 2016 and 2017/18	This is a new Corporate Plan measure – referrals had a sharp increase from 2015 to 2016 as the service was new at this time. Referrals are now at a state of plateau and a conservative target has been set
M2.2	Number of days to process benefits claims	This indicator monitors the administration of Housing and Council Tax Benefit. Targets and performance are measured in days	C	21 days Amber tolerance = 1½ above target	Previously reported as RES005	Target reviewed by Management Board in May 2018

<i>Ref</i>	<i>Title</i>	<i>Description</i>	<i>Type</i>	<i>Target 2018/19</i>	<i>Historical data</i>	<i>Comments for target for 2018/19</i>
M2.3	Compliance checks on Housing and Council Tax Support Benefit	One of the Council's roles is to ensure that its residents are paying the correct amount of tax or claiming the right amount of Housing Benefit or Council Tax support benefit	C	20%	Historical data is only available annually due to complexity involved in separating months into quarters. However the indication will be reported quarterly from now on	20% is a cumulative result for Q1, Q2, Q3 and Q4. Quarter 2 may see a slight decrease in compliance checks made due to external factors contributing such as school holidays etc
				Amber tolerance = 1% below target		
M3.1	Number of community leaders and volunteers	The aim of this indicator is to measure a number of community leaders and volunteers in Epping Forest District. Volunteering is of importance in community terms, as it helps to create a more resilient, vibrant and self-supporting communities	C	4% increase	Available	Proposed target in the light of data available from 2016/17 and 2017/18
				Amber tolerance = 0.50% below target		
M3.2	Leisure Centre attendance	The number of attendances at leisure centres through Epping Forest District Council	C	1% increase per year No amber tolerance appropriate	This is a newly proposed indicator; previous historical data is inappropriate for this measure	This is a new Corporate Plan measure agreed with Places for People (PfP). It is a conservative target as PfP are the new partners for EFDC leisure centres and attendance may be affected by refurbishments and development works

<i>Ref</i>	<i>Title</i>	<i>Description</i>	<i>Type</i>	<i>Target 2018/19</i>	<i>Historical data</i>	<i>Comments for target for 2018/19</i>
M3.3	Cultural activity attendance	The increased number of attendances at museum, heritage and cultural activities through Epping Forest District Council	C	1% increase per year No amber tolerance appropriate	Historical data available for 2016/17. Historical data for 2015/16 is not appropriate	This is a new Corporate Plan measure with a conservative target due to the impact of refurbishment works that occurred in 2015/16
M3.4	Number of reported crimes	This indicator relates to the actual crime within the Epping Forest district year-on-year. It is informed by the Epping Forest District Community Safety Hub corporate specification, starting in 2018/19 running until 2021/22	P	1% reduction per year No amber tolerance appropriate	Historical data available for 2017	This is a new Corporate Plan measure with a conservative target due to the continued Home Office changes to how crime is measured (so not a like for like comparison with previous years)
M3.5	Fear of crime	This indicator relates to the reduced fear of crime within the Epping Forest district year-on-year. It is informed by the 'Public Views and Experience of Policing and Criminal Justice in Essex' annual survey (Essex Police)	P	1% decrease per year No amber tolerance appropriate	Historical data for 2017/18 available	This is a new Corporate Plan measure (and entirely new set of data provided by Essex Police in 2017/18) with a conservative target due to there being only one year of historical data and therefore unable to establish a trend to set a target

<i>Ref</i>	<i>Title</i>	<i>Description</i>	<i>Type</i>	<i>Target 2018/19</i>	<i>Historical data</i>	<i>Comments for target for 2018/19</i>
M4.1	Number of businesses joined 'Buy with confidence' (BWC) scheme	This indicator is a measure of the successful implementation and promotion of 'Buy with confidence' (BWC) scheme	C	8 businesses No amber tolerance appropriate	This is a newly proposed indicator with no historical data available	In order to join the scheme, the companies will need to pay approximately £400 and it is uncertain whether businesses will be willing to pay. Proposed Improvement Plan is in place if the scheme will not attract enough companies
M4.2	What percentage of our district had unacceptable levels of litter	This indicator measures a reduction of number of reported litter incidents by the public	C	8% Amber tolerance = 1% above target	Historical data available	It is a new indicator and measuring litter is complex and can be influenced by a number of external factors, which are beyond the Council's control. Target might be a subject to change in the light of outturn performance for 2018/19
M4.3	Number of new residential properties built or acquired by the Council	To increase the level of Council housing in the district. To make better use of the Council's land to provide affordable housing	C	76 properties No amber tolerance appropriate	Historical data is not separated from the previous measure and therefore is not applicable. Referenced in the Key Action Plan 2017/18 as 85 properties	This Corporate Plan measure is new as the previous measure (NEI010) included further aspects such as (but not limited to) demolitions, losses and change of use

<i>Ref</i>	<i>Title</i>	<i>Description</i>	<i>Type</i>	<i>Target 2018/19</i>	<i>Historical data</i>	<i>Comments for target for 2018/19</i>
M5.1	Number of new dwellings completed in the district	This Performance Indicator will measure progress towards completion of new dwellings as per the Local Plan projection. The Local Plan sets out the approach and detailed policies for the whole District for the period up to 2033 including identified housing requirements	C	661 dwellings Amber tolerance = 5% below target	Available	It is proposed to set annual target in line with the Local Plan residential trajectory
M5.2	Local Plan progressed in accordance with Local Development Scheme	This indicator will measure the progress of the Local Plan in accordance with Local Development Scheme	C	Yes/No No amber tolerance appropriate	Not applicable	Target set in the Local Development Scheme
M5.3	Meet key milestones of the Infrastructure Delivery Plan	This indicator will measure the achievement of milestones of the Infrastructure Delivery Plan (IDP)	C	To be reported in May 2019 Amber tolerance = reported in 2018/19	Not applicable	Milestones for this indicator will be reported once the Local Plan is adopted, which is expected to happen in May 2019
M6.1	Delivery of the Economic Development Strategy	This indicator aims to ensure that a new Economic Development Strategy is adopted by the Council	P	Yes/No Amber tolerance = % below target	Not applicable	A target is to have the strategy adopted by the Cabinet

<i>Ref</i>	<i>Title</i>	<i>Description</i>	<i>Type</i>	<i>Target 2018/19</i>	<i>Historical data</i>	<i>Comments for target for 2018/19</i>
M6.2	Number of new jobs	The indicator is intended to measure a number of new jobs available for people in the district	P	TBC Amber tolerance = TBC	Available	Target and amber tolerance is to be provided by Economic Development
M6.3	Maximisation of Business Rates Tax Base	To develop the business rates base within the district by encouraging businesses to be created, expanded or enter the district and which results in new rating assessments and thereby increasing the overall rateable value for the district	C	1% increase over the Corporate Plan period Amber tolerance = 0.50 % below target	This is a newly proposed indicator with no historical data available	Target to be reviewed after year 1 data collection
M6.4	Number of apprenticeships within the organisation	This indicator is aligned to the Council's objective to help young people in the district to maximise their employment potential. The council need to demonstrate that it has actively considered apprenticeships, either for new recruits or as part of career development for existing staff	C	14 apprenticeships No amber tolerance appropriate	Not applicable	Target is to employ an average of at least 2.3% of the Council's staff as new apprentice. Target will change (annually) if the headcount goes up or down. Employee headcount at 31/3/18 is 689 including Apprentices

Ref	Title	Description	Type	Target 2018/19	Historical data	Comments for target for 2018/19	
M6.5	Visits to the Council's 'Visit Epping Forest' Website	This indicator will measure an increase in total number of visits to the Council's 'Visit Epping Forest' website	P	5%	2016 data is incomplete. Thus, it is impossible to compare % increase of website users Baseline data available:	It is anticipated that there will be an increase by 25% over the 5 years of the Corporate Plan (5% per year). Target might be a subject to review after year 1 where data will be compared with 2017/18. Point of monitoring might also change due to users increase at certain times such as during promoted events, during public holidays etc. These dates can change from year to year (as with Easter) so could fall into different weeks and quarters causing significant short term variation in figures	
				Amber tolerance = 0.5% below target			
				2017/18			No of website users
				Q1			23809
				Q2			21505
Q3	14814						
Q4	14667						
M6.6	Employment rates	This indicator is a measure of employment rates increase in Epping Forest district year-on-year	P	TBC Amber tolerance = TBC	Available	Target and amber tolerance is to be provided by Economic Development	
M7.1	Customer satisfaction survey	The 17/18 customer experience survey stated that 58% of customers strongly agreed, or agreed to some extent their most recent query was resolved to their satisfaction	C	2% increase per year Amber tolerance = 0.25% below target	Historical data available for 2017/18	This is a new Corporate Plan measure with a conservative target due to measure only being in place for one year	

<i>Ref</i>	<i>Title</i>	<i>Description</i>	<i>Type</i>	<i>Target 2018/19</i>	<i>Historical data</i>	<i>Comments for target for 2018/19</i>
M7.2	Customer first contact resolution	The fundamental purpose of the corporate contact centre is to resolve customer enquires at the first point of contact	C	From 2019	Historical data not available	Baseline data to be collected in 2018/19
M7.3	Customer complaints resolved	The Council complaints policy has an Service Level Agreement (SLA) of 10 working days with which to resolve Stage 1 complaints for customers from receipt in to the organisation. The Council is seeking to ensure that this target is achieved or exceeded for all customers	C	5% increase per year Amber tolerance = 0.5% below target	Historical data not available	This is a new Corporate Plan measure with a conservative target due to changes in how the KPI is measured – this means it is not a like for like comparison with previous years
M8.1	Cabinet structure	As a part of the proposed Electoral Review, a decision is required to instigate a review of the Cabinet structure	C	Yes/No No amber tolerance appropriate	Historical data not applicable	This is a new Corporate Plan measure with a simple yes/no decision based on an officer report. This will inform future work and measures if agreed

<i>Ref</i>	<i>Title</i>	<i>Description</i>	<i>Type</i>	<i>Target 2018/19</i>	<i>Historical data</i>	<i>Comments for target for 2018/19</i>
M8.2	Council structure	As a part of the proposed Electoral Review, a decision is required to instigate a review of the Council structure/the Council structure is to be reviewed	C	Yes/No No amber tolerance appropriate	Historical data not applicable	This is a new Corporate Plan measure with a simple yes/no decision based on an officer report. This will inform future work and measures if agreed
M8.3	Number of governance meetings	As a part of the proposed Electoral Review, a decision is required to instigate a review of the Council and Cabinet structures/the Council and Cabinet structures are to be reviewed	C	From 2019	Historical data not available	Baseline data to be collected in 2018/19
M8.4	Cost of governance meetings	As a part of the proposed Electoral Review, a decision is required to instigate a review of the Council and Cabinet structures/the Council and Cabinet structures are to be reviewed	C	From 2019	Historical data not available	Baseline data to be collected in 2018/19
M8.5	Turnout for Youth Council elections	This indicator measures performance against the Council's objective to support young people to develop skills to maximise their employment potential	C	25 young people Amber tolerance = 2 YC below target	Available	Target is set

<i>Ref</i>	<i>Title</i>	<i>Description</i>	<i>Type</i>	<i>Target 2018/19</i>	<i>Historical data</i>	<i>Comments for target for 2018/19</i>
M8.6	Delegated authorities for officers	Delegated authorities are required to be reviewed by the Constitution Working Group. Planning delegations will be reviewed for 2018/19	C	Increase by 5% Amber tolerance = 1% below target	Current level of delegation is 85% for 2017/18. Earlier historical information is not applicable for this measure (new Corporate Plan measure)	This is a new Corporate Plan measure based on current levels of 85% which sits below the national average (approx. 93% - DCLG) Statistical Release data). The target is set at a 5% increase to allow for a gradual increase to meet the national average. The measure is based on a calculation of the number of applications determined by Members as a percentage of the total applications received each year
M9.1	Workforce operational costs	This indicator is intended to measure the savings of the workforce pay bill	C	10% reduction Amber tolerance = 0.5% below target	Historical data available but not applicable for this measure	Workforce pay bill is to be reduced by 10% over the next 3 years (£2.44m based on projected £24.4m spend in 2018/19 prior to saving listed below) Saving (per year) 2018/19 - £0.650 million 2019/20 - £1.587 million 2020/21 - £0.300 million This measure is allocated to the People Strategy programme
M9.2	Flexible workforce	This indicator is a measure of the Job Descriptions in circulation by the organization	C	65% reduction No amber tolerance appropriate	Historical data available but not applicable for this measure	This is a new Corporate Plan measure based on the repurposing of job descriptions to allow flexibility of staff. Historical data has no impact on any likely trends – this first year is based on ICT and Business Admin

Performance Indicators 2018/19 – Proposed Targets

<i>Ref</i>	<i>Title</i>	<i>Description</i>	<i>Type</i>	<i>Target 2018/19</i>	<i>Historical data</i>	<i>Comments for target for 2018/19</i>
M9.3	Skilled workforce	The indicator is intended to measure the relevant skills of staff	C	From 2019	Historical data not available	Baseline data to be collected in 2018/19
M9.4	Staff satisfaction survey	The indicator is intended to measure the satisfaction levels of staff	C	From 2019	Historical data not available	Baseline data to be collected in 2018/19
M9.5	Employee relations cases	This indicator is a measure of the number of Employee Relations cases across three distinct areas: (1) Sickness absence, (2) Conduct and (3) Disciplinary	C	From 2019	Historical data not available	Baseline data to be collected in 2018/19
M9.6	Delivery of the Technology Strategy	This indicator is a measure of the successful implementation of projects from the Technology Strategy Programme (year 1)	C	100% completion over the Corporate Plan period (2018-23) Amber tolerance = 10% below target	Historical data relates to the previous ICT Strategy (2013-18) which is not applicable for this measure	This is a new Corporate Plan measure based on the Technology Strategy (2018-23) to ensure progress is made each year due to the implications of the Council and the interdependencies with wider change initiatives
M9.7	Successfully delivered projects	Through the Transformation Programme, the Council has recognised the importance of successfully managing and implementing change initiatives via projects	C	2% increase per year No amber tolerance appropriate	Historical data for 2017	This is a new Corporate Plan measure based on the successful completion of projects, it therefore has a conservative measure

<i>Ref</i>	<i>Title</i>	<i>Description</i>	<i>Type</i>	<i>Target 2018/19</i>	<i>Historical data</i>	<i>Comments for target for 2018/19</i>
M9.8	Transformation savings	The definition for this indicator is currently being written	C	TBC TBC	No historical data available as this is a new Corporate Plan measure	The Council's budget requires that savings are identified over the lifespan of the Corporate Plan. Financial Benefits for programmes and projects are therefore required to understand how well they have performed financially. Work is ongoing to identify financial benefits for key pieces of change and is due to be completed over the Summer of 2018; reporting on these savings from end of Quarter 2
M10.1	Funding gap	The indicator is intended to measure the savings on the Continuing Services Budget actually achieved against those within the Mid-Term Financial Strategy (MTFS) (general fund only)	C	To be agreed July 2018 2.5%	2017/18 historical data available Targets to be set in Q2 of each year for the following year to coincide with the MTFS data gathering process. Therefore historical data beyond the previous year is not applicable	Data to be finalised and measured in May of each year
M10.2	Annual Council Tax collection	This indicator monitors the rate of collection of Council Tax. Quarterly targets and performance details for this indicator represent the cumulative total for the year to date	C	97.80% Amber tolerance = 0.5% below target	Previously reported as RES003.	Target reviewed by Management Board in May 2018.

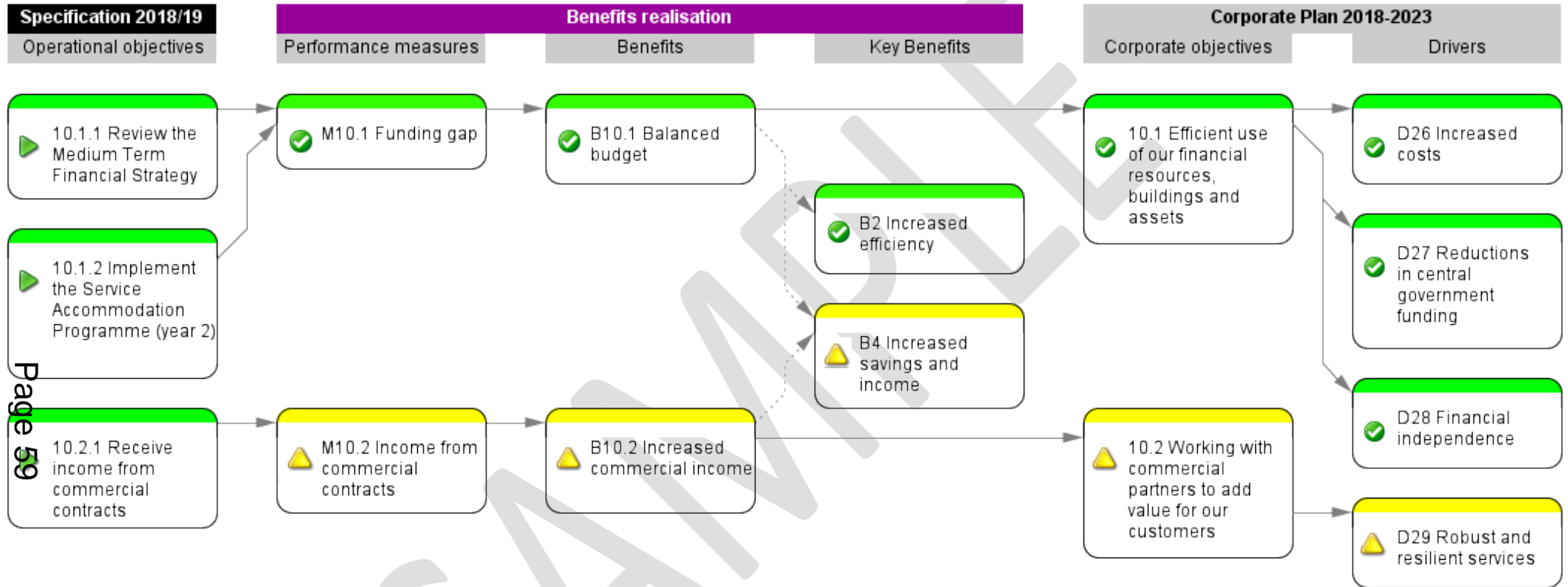
<i>Ref</i>	<i>Title</i>	<i>Description</i>	<i>Type</i>	<i>Target 2018/19</i>	<i>Historical data</i>	<i>Comments for target for 2018/19</i>
M10.3	Staff workstation to head ratio	The indicator is intended to measure the ratio of staff workstations (desks) within service accommodation to the staff head count	C	7:10	Historical data is 10.5:10	This is a new Corporate Plan measure based on the amount of workstations to staff. Historical data is available but not appropriate for this measure as it does not indicate any trends
				No amber tolerance appropriate		
M10.4	Income from commercial leases	This indicator is intended to measure the incremental increases in income from commercial leases and contracts that the Council holds. This rolls up to the Working with commercial partners to add value for our customers	C	5% increase	Historical data is available beyond 2017/18 but not applicable as it is not a like for like measure (e.g. the Epping Forest Shopping Park would not be included)	This is a new Corporate Plan measure. Baseline is based on 2017/18 to include Epping Forest Shopping Park
				Amber tolerance = 5% below target		

<i>Ref</i>	<i>Title</i>	<i>Description</i>	<i>Type</i>	<i>Target 2018/19</i>	<i>Historical data</i>	<i>Comments for target for 2018/19</i>
M10.5	Income from service contracts	This indicator is intended to measure the incremental increases in income from commercial leases and contracts that the Council holds. This rolls up to the Working with commercial partners to add value for our customers	C	TBC TBC	2017/18 as the baseline figure (based on actuals). This does not include Leisure Centre income (as payments were outgoing and are due to be income based from 2018/19 onwards) – therefore this is not a like for like comparison. Contracts included are those that are worth £0.25m or above	This is a new Corporate Plan measure. Baseline is based on 2017/18 due to the inclusion of the Leisure Centre contract. It measures the variance between the budget and actual amounts for service contracts
M10.6	Income from Commercial (Estates) Strategy	The definition for this indicator is currently being written	C	From 2019	Historical data not available	Baseline data to be collected in 2018/19

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Stronger Council

✓ Aim 10 - Financial independence with low Council Tax



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Operational objectives							Specification 2018/19
RAG	Code and title	Progress	Due date	Expected outcome	Last comment	Scrutiny	Owner
▶	10.1.1 Review the Medium Term Financial Strategy	50%	31-Mar-2019	✓ On target	Q1: On track to realise benefits	RSC	Assistant Director - Accountancy
▶	10.1.2 Implement the Service Accommodation Programme (year 2)	22%	31-Mar-2019	✓ On target	Q1: On track	RSC	Acting Chief Executive
▶	10.2.1 Receive income from commercial contracts	72%	31-Mar-2019	⚠ Under control	Q1: Implementation is going well but performance measure is a lagging indicator	RSC	Acting Chief Executive

Projects									Specification 2018/19
Code and title	Stage	RPA	Start date	Due date	RAG	Progress	Scrutiny	Sponsor	Manager
P160 Service Accommodation Programme	Implement	High	22-Feb-2016	31-Mar-2023	▲	53%	RSC	Acting Chief Executive	Head of Transformation
P002 Service Accommodation Review	Implement	High	22-Feb-2016	01-Jun-2018	▶	87%	RSC	Acting Chief Executive	Head of Transformation
P161 Civic Office Refurbishment	Hold	High		31-Mar-2023	▶	0%	RSC	Acting Chief Executive	Head of Transformation

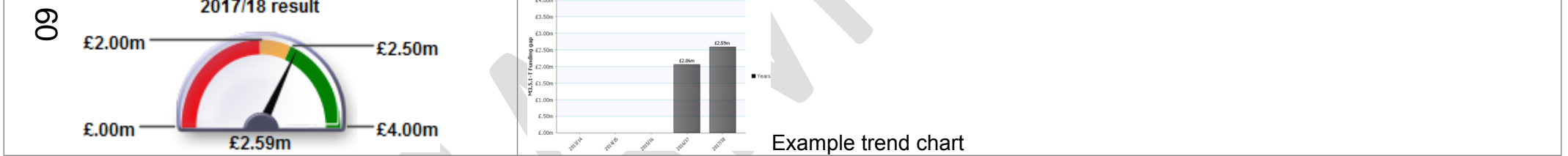
Notes: Stage = project life-cycle stage. RPA = Risk Potential Assessment

Performance measures and benefits **Benefits realisation**

RAG	Code and title	Progress	Due date	Expected outcome	Weighting	Scrutiny	Owner
✔	B10.1 Balanced budget	20%	31-Mar-2023	✔ On target	NA	RSC	Assistant Director - Accountancy
✔	M10.1 Funding gap	100%	31-Mar-2019	✔ On target	100%	RSC	Assistant Director – Accountancy

Definition The indicator is intended to measure the decrease of Central Government funding, to reduce our reliance and the gap in funding. This rolls up to Efficient use of our financial resources, buildings and assets.

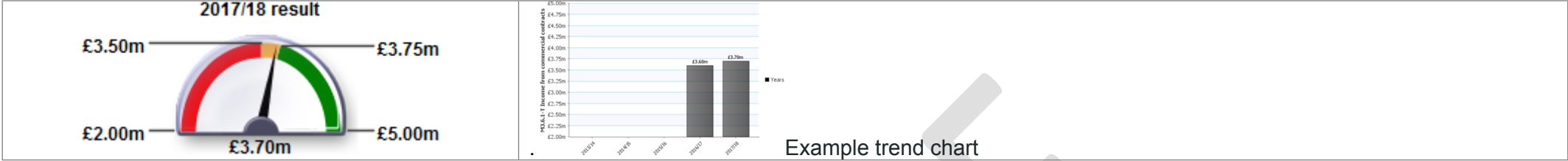
Comments Q1: Performance is above target.



RAG	Code and title	Progress	Due date	Expected outcome	Weighting	Scrutiny	Owner
▲	B10.4 Increased commercial income	15.7%	31-Mar-2023	▲ Under control	NA	RSC	Director of Neighbourhoods
▲	M10.4 Income from commercial contracts	78.9%	31-Mar-2019	▲ Under control	50%	RSC	Assistant Director - Accountancy
▲	M10.5 Income from service contracts	98.8%	31-Mar-2019	▲ Under control	50%	RSC	Assistant Director - Accountancy

Definition This indicator is intended to measure the incremental increases in income from commercial contracts that the Council holds. This rolls up to the Working with commercial partners to add value for our customers

Comments Q1: Performance is below target, although a slight improvement has been made.



SAMPLE

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Equality Impact Assessment

1. Under s.149 of the Equality Act 2010, when making decisions, Epping District Council must have regard to the Public Sector Equality Duty, ie have due regard to:
 - eliminating unlawful discrimination, harassment and victimisation, and other conduct prohibited by the Act,
 - advancing equality of opportunity between people who share a protected characteristic and those who do not,
 - fostering good relations between people who share a protected characteristic and those who do not, including tackling prejudice and promoting understanding.
2. The characteristics protected by the Equality Act are:
 - age
 - disability
 - gender
 - gender reassignment
 - marriage/civil partnership
 - pregnancy/maternity
 - race
 - religion/belief
 - sexual orientation.
3. In addition to the above protected characteristics you should consider the cross-cutting elements of the proposed policy, namely the social, economic and environmental impact (including rurality) as part of this assessment. These cross-cutting elements are not a characteristic protected by law but are regarded as good practice to include.
4. The Equality Impact Assessment (EqIA) document should be used as a tool to test and analyse the nature and impact of either what we do or are planning to do in the future. It can be used flexibly for reviewing existing arrangements but in particular should enable identification where further consultation, engagement and data is required.
5. Use the questions in this document to record your findings. This should include the nature and extent of the impact on those likely to be affected by the proposed policy or change.
6. Where this EqIA relates to a continuing project, it must be reviewed and updated at each stage of the decision.
7. All **Cabinet, Council, and Portfolio Holder reports must be accompanied by an EqIA**. An EqIA should also be completed/reviewed at key stages of projects.
8. To assist you in completing this report, please ensure you read the guidance notes in the Equality Analysis Toolkit and refer to the following Factsheets:
 - Factsheet 1: Equality Profile of the Epping Forest District
 - Factsheet 2: Sources of information about equality protected characteristics
 - Factsheet 3: Glossary of equality related terms
 - Factsheet 4: Common misunderstandings about the Equality Duty
 - Factsheet 5: Frequently asked questions
 - Factsheet 6: Reporting equality analysis to a committee or other decision making body

Section 1: Identifying details

Your function, service area and team: Transformation, Office of the Chief Executive

If you are submitting this EqIA on behalf of another function, service area or team, specify the originating function, service area or team: Not applicable

Title of policy or decision: Corporate Plan 2018-2023 – Benefits Maps, Performance Indicator Set, Targets and Progress Reporting

Officer completing the EqIA: David Bailey, Head of Transformation Tel: 01992 564105
Email: dbailey@eppingforestdc.gov.uk

Date of completing the assessment: Friday 8 June 2018

Section 2: Policy to be analysed

2.1	<p>Is this a new policy (or decision) or a change to an existing policy, practice or project?</p> <p>Change to performance reporting for the Corporate Plan, including the new set of (key performance) indicators.</p>
2.2	<p>Describe the main aims, objectives and purpose of the policy (or decision):</p> <p>The Corporate Plan is the Council's premium strategic document, laying out the Council's purpose, aims and objectives for the medium and short-term. The benefits and performance indicator set detail how the progress of this plan will be measured and reported.</p> <p>What outcome(s) are you hoping to achieve (ie decommissioning or commissioning a service)?</p> <p>Enhanced picture of corporate performance against the benefits and indicator set.</p>
2.3	<p>Does or will the policy or decision affect:</p> <ul style="list-style-type: none">• service users• employees• the wider community or groups of people, particularly where there are areas of known inequalities? <p>The Corporate Plan progress reporting is not in itself a vehicle for decision making. Its approach is to articulate the Council's performance in a coherent document. Where individual objectives or performance from the Plan require key decisions, these are the subject of individual reports, each accompanied by its own Equality Impact Assessment.</p> <p>Will the policy or decision influence how organisations operate?</p> <p>Yes, at the strategic level.</p>

2.4	<p>Will the policy or decision involve substantial changes in resources?</p> <p>Decisions on resources to deliver the Corporate Plan are taken through the annual budget approval process, through Portfolio Holder decision or Cabinet decision.</p>
2.5	<p>Is this policy or decision associated with any of the Council's other policies and how, if applicable, does the proposed policy support corporate outcomes?</p> <p>The Corporate Plan is the Council's premium strategic policy. All other Council policies and decisions support the delivery of the Corporate Plan.</p>

Section 3: Evidence/data about the user population and consultation¹

As a minimum you must consider what is known about the population likely to be affected which will support your understanding of the impact of the policy, eg service uptake/usage, customer satisfaction surveys, staffing data, performance data, research information (national, regional and local data sources).

3.1	<p>What does the information tell you about those groups identified?</p> <p>An overview of key issues impacting the population of Epping Forest district, health and well-being, and demand on services is given in the attached profile of people living in Epping Forest. Profile available to view on the Council's Committee Management System (modern.gov) as a background paper.</p>
3.2	<p>Have you consulted or involved those groups that are likely to be affected by the policy or decision you want to implement? If so, what were their views and how have their views influenced your decision?</p> <p>No.</p>
3.3	<p>If you have not consulted or engaged with communities that are likely to be affected by the policy or decision, give details about when you intend to carry out consultation or provide reasons for why you feel this is not necessary:</p> <p>Where decisions are required to change Council policy these will be subject to a key decision report, which will be accompanied by its own Equality Impact Assessment. Any consultation with communities that are likely to be affected by the decision may be undertaken at that time.</p>

Section 4: Impact of policy or decision

Use this section to assess any potential impact on equality groups based on what you now know.

Description of impact	Nature of impact Positive, neutral, adverse (explain why)	Extent of impact Low, medium, high (use L, M or H)
Age	<p><u>Older people</u> An ageing population is increasing demand on local services.</p> <p>Health interventions need to reach high risk groups to reduce the number of preventable health conditions and service demand.</p> <p>Slightly higher rate of hospital admissions due to hip fractures than England.</p> <p>Increasing number of people with dementia. Unpaid carers require support to achieve their role.</p> <p>Ageing population will impact on the availability of health services, housing and care homes.</p> <p><u>Children and young people</u> Average level of Chlamydia testing and percentages testing positive.</p> <p>Low rates of children in care.</p> <p>Average level of eligibility for free early education entitlement (two year olds) but lowest take up rate in Essex.</p>	L
Disability	No data available	-
Gender	Epping Forest district population: 64,219 – 51.5% female 60,440 – 48.5% male	L
Gender reassignment	No data available	-
Marriage/civil partnership	Living arrangements: Of 100,762 persons- 60,592 living as a couple 49,472 married or in a registered same-sex civic partnership	L

Pregnancy/maternity	Low rate of teenage pregnancy (which is linked to a range of poor outcomes in later life).	L
Race	Population of the district: 89.2% White 3.3% Asian 1.8% Black 5.7% Others, including Mixed	L
Religion/belief	Population of the district: 61.8% Christian 3.2% Jewish 0.3% Buddhist 1.9% Muslim 0.3% Other religion 22.5% No religion 1.4% Hindu 1% Sikh 7.6% Do not wish to disclose	L
Sexual orientation	The Government Equality Office estimates there are 1.5 million LGBT (Lesbian, Gay, Bisexual and Transgender) people in the UK.	L
Poverty	Few deprived areas with poor health and unemployment. Pockets of child poverty.	L
Crime and safety	Average rate of crime and residents feeling safe. Low population density.	L
Recycling	Higher than average waste recycling levels.	L
Healthy lifestyles	Although lower than average, reducing smoking, drinking and obesity, plus increasing physical activity, are all areas for improvement. Hospital admissions due to alcohol related conditions are better than England average. Fall in number of adults in substance misuse treatment.	L
Physical and mental health	Increase rate of diabetes although it is below average. Rate of those killed / seriously injured on	L

	<p>the roads is significantly above average.</p> <p>Good well-being amongst pupils and adults and a lower than average percentage with mental health problems.</p>	
Housing	<p>High proportion of owner occupiers, with low proportion of social housing.</p> <p>Highest rise in house prices in Essex.</p> <p>Relatively high proportions on housing waiting list but lower than average in temporary accommodation.</p> <p>Third lowest rate of homeless households in Essex.</p>	L
Education	<p>The proportions who are ready for school and who achieve a good level of development at age 5 are close to the Essex average but there is a gap for those eligible for free school meals.</p> <p>Close to average proportion achieve five or more GCSEs at grades A*-C.</p> <p>Lower than average proportion attend a good or outstanding school.</p> <p>More pupils than average aspire to go to university.</p>	L
Employment	<p>Lower proportion of adults with no qualifications.</p> <p>Slightly lower than average adult unemployment and average proportion of young people Not in Education Employment of Training (NEET).</p> <p>Higher than average number of economically inactive adults.</p> <p>Lower than average ratio of jobs per population but increasing number of jobs.</p> <p>Most businesses have 9 or fewer employees.</p>	L
Transport	<p>Fourth longest average travel time by public transport or walking to reach key services in Essex.</p>	L

	<p>Below average percentage of residents who are satisfied with roads, local bus services and local transport information.</p> <p>Access to a car is essential for people out of work and not able to use public transport or walk to an employment centre. 16% may miss out on work opportunities unless they have access to a car.</p>	
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Section 5: Conclusion			
		Tick Yes/No as appropriate	
5.1	Does the EqIA in Section 4 indicate that the policy or decision would have a medium or high adverse impact on one or more equality groups?	No <input checked="" type="checkbox"/>	The adoption of the Corporate Plan progress reporting and indicator set of and in itself does not make any decisions, save for the indication of strategic direction. Any decisions on policy changes indicated by the reports would be subject to a key decision report as appropriate and contain an individual Equality Impact Assessment.
		Yes <input type="checkbox"/>	If 'YES', use the action plan at Section 6 to describe the adverse impacts and what mitigating actions you could put in place.

Section 6: Action plan to address and monitor adverse impacts		
What are the potential adverse impacts?	What are the mitigating actions?	Date they will be achieved.
This report is for the coordination of strategic direction and progress reporting. There are no policy decisions contained in this report.	Any key decision regarding a policy change would require its own report and be accompanied by a detailed Equality Impact Assessment as appropriate.	As and when any key decision is brought forward.

Section 7: Sign off

**I confirm that this initial analysis has been completed appropriately.
(A typed signature is sufficient.)**

Signature of Head of Service: David Bailey

Date: 8 June 2018

Signature of person completing the EqIA: David Bailey

Date: 8 June 2018

Advice

Keep your director informed of all equality & diversity issues. We recommend that you forward a copy of every EqIA you undertake to the director responsible for the service area. Retain a copy of this EqIA for your records. If this EqIA relates to a continuing project, ensure this document is kept under review and updated, eg after a consultation has been undertaken.

Report to the Finance & Performance Management Cabinet Committee



**Epping Forest
District Council**

Report reference: *FPM-003-2018/19*
Date of meeting: *21 June 2018*

Portfolio: Finance

Subject: Essex Procurement Hub SLA 2019-23

Responsible Officer: Shane McNamara (01992 564331).

Democratic Services: Rebecca Perrin (01992 564532).

Recommendations/Decisions Required:

To consider the proposal to sign an extended agreement (4 years) to allow Epping Forest DC to remain members of the Essex Procurement Hub.

Executive Summary:

Epping Forest DC has been a member of the Essex Procurement Hub, which is run by Braintree District Council, since 2006. The other members are Colchester, Castle Point, Rochford and Maldon Councils. The Hub provides 3 days a week of professionally qualified procurement resource, expertise and advice to all EFDC officers, run procurement exercises on our behalf when required, and in the last 12 months has also provided access to an e-Tendering system at no extra cost.

Reasons for Proposed Decision:

We are nearly at the end of the period covered by the current Service Level Agreement, and a decision is required as to whether or not we will sign the new Agreement, which commences from April 2019.

Other Options for Action:

N/A

Report:

Essex Procurement Hub

Epping Forest District Council (EFDC) has been a member of the Essex Procurement Hub (the Hub) since October 2006.

Current membership includes:

- Braintree District Council
- Colchester Borough Council
- Castle Point Borough Council
- Epping Forest District Council
- Maldon District Council

- Rochford District Council

When letting framework agreements, a condition of tender is that the successful bidder(s) will retrospectively pay to the Hub a percentage rebate on business received against the agreement. Retrospective rebates collected from Hub framework suppliers are apportioned back to its members on a pro-rata basis.

EFDC's gross subscription for 2017/18 equated to £53,710. Total rebates for 2017/18 were £38,710 and therefore the net cost of the Hub to EFDC for 2017/18 was £15,000.

Below is a list of Hub framework agreements that were available for use nationally during 2017/18:

- Corporate Website Design
- Janitorial Supplies
- Grounds Maintenance Equipment
- Sweepers
- Oil Boilers
- Playground & Outdoor Gym Equipment
- Consultancy for Construction based Projects
- Refuse Freighter, outright purchase
- Webcasting
- Car Park Equipment
- Refuse and Recycling Products
- Street Sweepings Arisings

Selected projects completed in conjunction with the Hub:

NWA License – The Hub helped conduct the exercise that led to the awarding of the NWA License, increasing the revenue income by £30,000 per annum for the Council whilst improving the service provided via a new supplier.

Arboricultural Maintenance Works – a new 5 year contract with a potential 2 year extension was recently agreed with our incumbent supplier successfully retaining the contract and displaying best value against competitors.

Wayfinding (Waltham Abbey) – this project was delivered successfully and comfortably within the budget available to improve the signage in and around Waltham Abbey.

HR and Payroll System – this was procured collaboratively with Braintree and Colchester Councils and has been implemented across all three authorities.

Resource Implications:

The expected net cost of the Hub Sla to EFDC is £156,450 over the four years; this includes estimated rebates of £63,160 across that period. However, this estimate is a conservative one and we anticipate the net cost to be less than this over the period; to put it into context, the current SLA (2015-19) had a full subscription cost of £211,420 and rebates collected to the value of £189,360, leaving an expected net cost to EFDC for the four years of £22,060 (2018/19 is not yet complete so this figure may be subject to some change).

The cost of the e-Tendering system that is provided by the Hub as part of the service provision is £4,500 per annum. Therefore this cost would be incurred by EFDC should we

decide not to sign the new SLA, as there is a legal obligation to use electronic methods of tendering from October 2018.

A full cost breakdown has been provided in the Appendix.

By working in conjunction with the Essex Procurement Hub, the Council made savings of £1,194,991 against agreed budgets over the course of the current SLA (2015-2019) through best practice procurement exercises; these savings can subsequently be used to further improve services for the local community and/or to keep the District's Council Tax low. A full savings breakdown has been provided in the Appendix. As you will see, the benefits of using the Hub over the period are significant and further benefit will certainly be gained from signing a new agreement.

Legal and Governance Implications:

Working with the Essex Procurement Hub helps the Council to fully comply with both UK Law and EU Procurement Regulations. Internally, EFDC Procurement aims to ensure officers are complying with Procurement Rules and Financial Regulations as well as promoting best practice.

Safer, Cleaner and Greener Implications:

N/A

Consultation Undertaken:

The Assistant Director of Resources (Accountancy) has been consulted on this report.

Background Papers:

N/A

Risk Management:

If procurement is not co-ordinated and controlled, it is unlikely that the Council will achieve value for money.

Failure to comply with the EU Procurement Regulations could result in the UK High Court preventing the award of a contract and/or awarding damages to any supplier who has suffered loss or damage as a result of any breach in the regulations, as well as imposing fines on the authority.

Due Regard Record

This page shows **which groups of people are affected** by the subject of this report. It sets out **how they are affected** and how any **unlawful discrimination** they experience can be eliminated. It also includes information about how **access to the service(s)** subject to this report can be improved for the different groups of people; and how they can be assisted to **understand each other better** as a result of the subject of this report.

S149 Equality Act 2010 requires that due regard must be paid to this information when considering the subject of this report.

The report relates to the creation of the Council's Procurement Strategy 2015 – 2020. During the creation of the strategy, it has been considered that the Council has a duty to promote equality of opportunity and as such aims to achieve a robust and consistent approach to ensuring equality in the delivery of services. To help achieve this, the Council aims to ensure that suppliers are, as a minimum, compliant with relevant legislation both at the selection and award stage and throughout the life of a contract. The Council will proactively work with key suppliers to promote equality and positive practices in their operations and in the provision of services to customers on behalf of the Council.

	Projections (June 2018)				
	Updated Est 2018/19	Updated Est 2019/20	Updated Est 2020/21	Updated Est 2021/22	Updated Est 2022/23
	£	£	£	£	£
Employees	276,980	284,300	291,420	298,700	304,920
Supplies and Services	15,380	15,380	15,380	15,380	15,380
Transport Costs	5,490	5,490	5,490	5,490	5,490
Premises and Support Costs	32,020	32,020	32,020	32,020	32,020
Subscriptions	-329,870	-337,190	-344,310	-351,590	-357,810
Framework rebates in year (projected)	-100,000	-100,000	-100,000	-100,000	-100,000
Framework rebates carried forward from prior year	-185,020	0	0	0	0
Rebates distributed in year	285,020	100,000	100,000	100,000	100,000
Subscriptions					
Epping DC contribution	-52,070	-53,240	-54,350	-55,530	-56,490
	-52,070	-53,240	-54,350	-55,530	-56,490
Rebates distributed in year					
Epping DC	45,010	15,790	15,790	15,790	15,790
	45,010	15,790	15,790	15,790	15,790
Net Cost					
Epping DC	7,060	37,450	38,560	39,740	40,700
	7,060	37,450	38,560	39,740	40,700

EFDC Procurement Savings

2015-16	£130,801
2016-17	£332,570
2017-18	£298,274
2018-19 (to date)	£433,346
Total	£1,194,991

Report to the Finance and Performance Management Cabinet Committee



**Epping Forest
District Council** 05-2018/19

Report reference: FPM-004-2018/19

Date of meeting: 21 June 2018

Portfolio: Finance

Subject: Provisional Revenue Outturn 2017/18

Responsible Officer: Peter Maddock (01992 564602)

Democratic Services Officer: Rebecca Perrin (01992 564532)

Recommendations/Decisions Required:

- (1) That the provisional 2017/18 revenue out-turn for the General Fund and Housing Revenue Account (HRA) be noted;**
- (2) That as detailed in Appendix E, the carry forward of £1,470,000 District Development Fund (DDF) and £23,000 Invest to Save Reserve (ITS) expenditure be noted.**

Executive Summary

This report provides an overall summary of the revenue outturn for the financial year 2017/18. The General Fund saw £487,000 being added to the opening balance compared to using £473,000 which was predicted in the revised estimate. Total net expenditure on the General Fund was £12,766,000, some £343,000 lower than the original estimate and £830,000 lower than the revised estimate, after allowing for a £1,000,000 transfer to the DDF. Expenditure from the DDF and ITS was £2,409,000 less than estimated.

The position on the Housing Revenue Account was £12,000 worse than anticipated.

Reasons for proposed decision:

To note the provisional revenue outturn.

Other options for action:

No other options proposed.

General Fund

1. The table below summarises the revenue outturn for the General Fund and the consequential movement in balances for 2017/18.

General Fund	Original Estimate £000 A	Revised Estimate £000 B	Actual Expend £000 C	Variance from Original £000 C-A	Variance from Revised £000 C-B
Net Expenditure after Adjustments (CSB)	13,109	13,596	12,766	(343)	(830)
Government Grants and Local Taxation	13,009	13,123	13,253	(244)	(130)
(Contribution to)/from Balances	100	473	(487)	(587)	(960)
Opening Balances – 1/4/17	(6,207)	(6,207)	(6,207)	-	-
(Contribution to)/from Balances	100	473	(487)	(587)	(960)
Closing Balances – 31/3/18	(6,107)	(5,734)	(6,694)	(587)	(960)

Net expenditure for 2017/18 totalled £12,766,000, which was £343,000 (2.7%) below the original estimate agreed in February 2017 and £96,000 (7.5%) below the revised estimate compiled in December 2017. The variance on the revised position is almost entirely due to a change in accounting treatment relating to the rent free periods on the shopping park.

2. The funding position is less easy to establish since the part retention of business rates. Whilst like Council Tax the precept is set in advance, there are a number of grants provided to authorities under section 31 of the 2003 Local Government Act to offset costs as a result of the various business rate reliefs given. There is no way of knowing in advance how much this might amount to in any given year. Actual funding was up by £130,000 when compared to the revised position. Having said that this is not the full story as movements between the Collection Fund (where Council Tax and Business Rates are accounted for) and the General Fund are governed by specific regulations. For example the amount counted as income to the General Fund for 2017/18 is based on an estimate made a year and a half ago and a lot has changed since then.
3. The Collection Fund is an account that holds income relating to this Authority as well as the major preceptors. These are Essex County Council, the Police and Fire Authorities. These authorities notify this Council of their funding requirement from the collection fund and as a result a precept is paid to this Councils General Fund and the major preceptors. To ensure a degree of certainty these figures are fixed in advance of the start of the financial year. Any reductions in income, for example successful appeals on Business Rates assessments, do not affect the General Fund in the year that they occur, rather they affect future years when the Collection Fund deficit that is created has to be made up by both the General Fund and Major Preceptors.
4. There was an in year surplus on the business rates collection fund of £1,115,000 which has moved the fund into an overall surplus of £1,028,000. There is still a significant amount set aside for Business Rate appeals and a re-assessment of the level of the provision required

was carried out during the final accounts process. To calculate this has required an assessment of the likelihood or otherwise of outstanding appeals being successful. Needless to say there is a significant degree of uncertainty surrounding this process and the value put on the provision for appeals is an estimate based on the most up to date information available at this time.

- The medium term financial strategy had estimated that the Council's portion of the deficit on the business rates collection fund would be £542,000 and on the council tax collection fund there would be a surplus of £192,000. In the event the business rates collection fund showed a surplus at the end of March 2018 of £411,000 and the Council Tax collection fund showed a surplus of £119,000 which will be paid into the General Fund in future years. The combined net position is £880,000 better than was anticipated. An analysis of the changes between Continuing Services Budget (on-going expenditure and Income (CSB)) and District Development Fund (One-off Expenditure and income (DDF)) expenditure illustrates where the main variances in revenue expenditure have occurred.

General Fund	Original Estimate £000 A	Revised Estimate £000 B	Actual Expend £000 C	Variance from Original £000 C-A	Variance from Revised £000 C-B
Opening CSB	13,567	13,277	13,529	(38)	252
In Year Growth	595	792	555	(40)	(237)
In Year Savings	(1,053)	(1,473)	(2,318)	(1,265)	(845)
Total Continuing Services Budget	13,109	12,596	11,766	(1,343)	(830)
Transfer to DDF	0	1,000	1,000	1,000	0
Total	13,109	13,596	12,766	(343)	(830)
DDF/ITS – Expenditure	2,932	3,818	2,758	(174)	(1,060)
DDF/ITS – One Off Savings	(832)	(1,395)	(2,691)	(1,859)	(1,296)
Total DDF/ITS	2,100	2,423	67	(2,033)	(2,356)
Total Net Expenditure	15,209	16,019	12,833	(2,376)	(3,186)

Continuing Services Budget

- CSB expenditure was £343,000 below the original estimate and £830,000 lower than the revised. The variances have arisen on both the opening CSB which was £252,000 above the revised estimate, and the in-year figures which were £1,082,000 lower than the revised estimate.
- Unlike most recent years, when measured against the original budget, salaries were overspent by £99,000. Actual salary spending for the authority in total, including agency costs, was £23,439,000 compared against an original estimate of £23,340,000. When comparing to the revised estimate there was an underspend of £301,000, most of which related to the General Fund, although some salary costs are DDF and this showed a small underspend.
- The actual opening CSB was £38,000 below the original and £252,000 above the revised

position. The main overspend relates to Housing Benefits expenditure but this was offset partially by the underspend on salaries.

9. The in year CSB movements were rather different to the revised estimate, with the actual CSB in year reduction of £1,763,000 being £1,082,000 lower than the revised estimate. The largest individual item was a change in accounting treatment for the rental income from the shopping park to that assumed in the revised estimate. In effect income relating to the whole period of the leases has been spread over the whole period rather than just the time when income is actually received. The effect is that additional CSB income originally included in later periods has been accounted for in 2017/18 and there will be no change to the overall position once all tenants are paying. The other two more significant items were a reduction in expected savings from the leisure contract of £106,000 due to some additional maintenance and TUPE related costs and offsetting this, additional interest income of £148,000 as cash balances available for investing did not reduce as quickly as expected. Full details of items within the CSB growth/savings figures can be found at appendix A.
10. A transfer to the DDF of £1,000,000 was included in the Medium Term Financial strategy and revised budget as there will be significant one off expenditure over the next couple of years as the people strategy is implemented.

District Development Fund

11. Net DDF expenditure was £968,000 which was £922,000 below the original estimate and £1,333,000 below the revised estimate. There are requests for carry forwards totalling £1,470,000 and therefore the variation actually equates to a £137,000 net over spend on the DDF items undertaken. These one-off projects are akin to capital, in that there is regular slippage and carry forward of budgetary provision. Therefore the only reasonable variance analysis that can be done is against the revised position. Details are shown in Appendix B.
12. The DDF increased between the Original and Revised position by £411,000, overall this was more significant than the previous year and as always there were some large swings on both income and expenditure. On the Income side additions relating to the technical agreement with major preceptors (£285,000) and various benefit related grants (£111,000). Offsetting this was an amount included for the People Strategy costs (£300,000), reduced Development Control income (£205,000), amounts brought forward from 2016/17 and additional resources provided for the Local Plan (£199,000), and an amount brought forward relating to the Garden Town project of £178,000. As always there were a significant number of other more minor items of both additions and reductions to the programme totalling £75,000. Full details are also shown at appendix B.
13. The £1,333,000 difference against the revised estimate arose largely in the neighbourhoods directorate with an underspend of £971,000 showing. The main two items relate to £272,000 slippage on Local Plan expenditure and £527,000 relating to additional income and slippage on the Garden Town project. Other significant underspends were, Revenues Staffing (£84,000), Building Maintenance (£83,000), unused Flexible Homeless Grant (£83,000) and Smart Places funding (£70,000). There are again a number of less significant other variations that are highlighted in Appendix B.
14. Carry forwards of £1,470,000 have been requested, with the largest request being £1,037,000 from the Neighbourhoods Directorate. The two largest amounts have already been mentioned above, being the £527,000 for the Garden Town and the £272,000 for the Local Plan. The directorate with the second highest carry forward is Resources, with a total of £219,000 again the two major items being mentioned above. Less significant carry forwards were also seen in the Communities Directorate (£110,000), Governance Directorate (£75,000) and the Office of Chief Executive (£29,000).

15. Appendix C shows the overall position on the DDF with the balance as at 31 March 2018 being £4,220,000, actually a small increase on the previous year. However with the expected spend in 2018/19 particularly relating to the people strategy, there will be nothing left unallocated in the DDF going forward so any further DDF requirements will need to be met via a transfer from the General Fund. Appendix E lists the DDF items requested for carry forward.

Invest to Save Reserve

16. Spending from the Invest to Save fund was £99,000, some £23,000 below the revised estimate of £122,000. However, carry forwards of £23,000 have been requested, including £13,000 for new car park set up costs. At the end of 2017/18 the fund had a balance of £307,000. Taking the funds already allocated in 2018/19 and the intention to use the remainder for transformation projects, the fund is expected to be exhausted by the end of 2018/19. The detail is shown in Appendix D and items for carry forward in Appendix E.

Housing Revenue Account

17. The table below summarises the revenue outturn for the Housing Revenue Account.

Housing Revenue Account	Original Estimate £000 A	Revised Estimate £000 B	Actual Expend £000 C	Variance from Original £000 C-A	Variance from Revised £000 C-B
Revenue Expenditure	28,293	26,339	27,683	(610)	1,344
Depreciation	16,026	9,786	8,517	(7,509)	(1,269)
Total Expenditure	44,319	36,125	36,200	(8,119)	75
Gross Dwelling Rents	31,813	31,537	31,511	302	26
Other Rents, Charges and Depreciation Reversals	10,832	3,024	3,113	7,719	(89)
Total Income	42,645	34,561	34,624	8,021	(63)
Deficit/(Surplus) for Year	1,674	1,564	1,576	98	12
Opening Balance – 1/4/17	(3,853)	(3,853)	(3,853)	-	-
Deficit/(Surplus) for year	1,674	1,564	1,576	98	12
Closing Balance – 31/3/18	(2,179)	(2,289)	(2,277)	98	12

A deficit within the HRA of £1,674,000 and of £1,564,000 were expected within its original and revised revenue budgets respectively; the actual outturn was a deficit of £1,576,000. There is therefore a difference of only £12,000 between the revised estimate and the actual.

18. The major change between the Original and Revised estimates was due to the cessation of the transitional measures regarding depreciation brought in when the Housing Subsidy system was ended. For five years the effect of charging depreciation directly to the HRA balance could be mitigated by a compensatory accounting adjustment equivalent to the Major Repairs Allowance that exists prior to 2012. The effect of this was broadly neutral to the HRA, hence the variance in excess of £7,500,000 shown to both income and expenditure in the original estimate. As a result the depreciation charge had to be reassessed, not only because of this but also due to the return to the decent homes standard. The change in the depreciation charge was, as expected, quite significant but more importantly means that the charge reduces the HRA balance without affecting the viability of the HRA going forward. The variance between the actual and revised is due to a lower still depreciation charge, which has in turn enabled the Council to increase the Contribution to capital by a similar amount.

19. The HRA starts the new financial year in a slightly better position than expected at £2,280,000. There is still significant uncertainty facing the HRA going forward with continued 1% rent reductions and the potential high value void levy.

Consultation undertaken:

None

Resource implications:

The General Fund was underspent by £960,000 meaning £487,000 was added to balances as opposed to £473,000 being taken from balances as was predicted in the revised estimate.

The deficit on the HRA was marginally higher than expected and the balance has now fallen to £2,277,000 as at 31 March 2018.

Legal and Governance Implications:

Reporting on the financial outturn for the previous financial year is recognised as a key element of the Council's Governance Framework.

Safer, Cleaner, Greener Implications:

The Council's revenue budgets contain spending related to the Safer, Cleaner, Greener initiative.

Background Papers:

Final Accounts working papers held in Accountancy.

Impact Assessments:

Risk Management

This report is a key part in managing the financial risks faced by the Council.

Equality Impact Assessment

1. Under s.149 of the Equality Act 2010, when making decisions, Epping District Council must have regard to the Public Sector Equality Duty, ie have due regard to:
 - eliminating unlawful discrimination, harassment and victimisation, and other conduct prohibited by the Act,
 - advancing equality of opportunity between people who share a protected characteristic and those who do not,
 - fostering good relations between people who share a protected characteristic and those who do not, including tackling prejudice and promoting understanding.
2. The characteristics protected by the Equality Act are:
 - age
 - disability
 - gender
 - gender reassignment
 - marriage/civil partnership
 - pregnancy/maternity
 - race
 - religion/belief
 - sexual orientation.
3. In addition to the above protected characteristics you should consider the cross-cutting elements of the proposed policy, namely the social, economic and environmental impact (including rurality) as part of this assessment. These cross-cutting elements are not a characteristic protected by law but are regarded as good practice to include.
4. The Equality Impact Assessment (EqIA) document should be used as a tool to test and analyse the nature and impact of either what we do or are planning to do in the future. It can be used flexibly for reviewing existing arrangements but in particular should enable identification where further consultation, engagement and data is required.
5. Use the questions in this document to record your findings. This should include the nature and extent of the impact on those likely to be affected by the proposed policy or change.
6. Where this EqIA relates to a continuing project, it must be reviewed and updated at each stage of the decision.
7. **All Cabinet, Council, and Portfolio Holder reports must be accompanied by an EqIA.** An EqIA should also be completed/reviewed at key stages of projects.
8. To assist you in completing this report, please ensure you read the guidance notes in the Equality Analysis Toolkit and refer to the following Factsheets:
 - Factsheet 1: Equality Profile of the Epping Forest District
 - Factsheet 2: Sources of information about equality protected characteristics
 - Factsheet 3: Glossary of equality related terms
 - Factsheet 4: Common misunderstandings about the Equality Duty
 - Factsheet 5: Frequently asked questions
 - Factsheet 6: Reporting equality analysis to a committee or other decision making body

Section 1: Identifying details

Your function, service area and team: **Finance**

If you are submitting this EqlA on behalf of another function, service area or team, specify the originating function, service area or team: **N/A**

Title of policy or decision: **Provisional Revenue Outturn 2017/18**

Officer completing the EqlA: **Tel: 01992 564602**
Email: pmaddock@eppingforestdc.gov.uk

Date of completing the assessment: **8th June 2018**

Section 2: Policy to be analysed

2.1	<p>Is this a new policy (or decision) or a change to an existing policy, practice or project? No</p>
2.2	<p>Describe the main aims, objectives and purpose of the policy (or decision):</p> <p>This report represents a financial summary of the projects within the Revenue Outturn for 2017/18</p> <p>What outcome(s) are you hoping to achieve (ie decommissioning or commissioning a service)?</p> <p>It aims to provide financial information on the Revenue Outturn for noting and to make recommendations to Council.</p>
2.3	<p>Does or will the policy or decision affect:</p> <ul style="list-style-type: none">• service users• employees• the wider community or groups of people, particularly where there are areas of known inequalities? <p>No</p> <p>Will the policy or decision influence how organisations operate?</p> <p>No</p>
2.4	<p>Will the policy or decision involve substantial changes in resources?</p> <p>The financial impacts are given in detail within the report.</p>
2.5	<p>Is this policy or decision associated with any of the Council's other policies and how, if applicable, does the proposed policy support corporate outcomes?</p> <p>The report summarises decisions previously approved.</p>

Section 3: Evidence/data about the user population and consultation¹

As a minimum you must consider what is known about the population likely to be affected which will support your understanding of the impact of the policy, eg service uptake/usage, customer satisfaction surveys, staffing data, performance data, research information (national, regional and local data sources).

3.1	What does the information tell you about those groups identified? N/A – this report focuses on financial provision. Any equalities impact assessment for individual projects or programmes is detailed on the respective reports.
3.2	Have you consulted or involved those groups that are likely to be affected by the policy or decision you want to implement? If so, what were their views and how have their views influenced your decision? N/A – see above.
3.3	If you have not consulted or engaged with communities that are likely to be affected by the policy or decision, give details about when you intend to carry out consultation or provide reasons for why you feel this is not necessary: N/A – see above.

Section 4: Impact of policy or decision

Use this section to assess any potential impact on equality groups based on what you now know.

Description of impact	Nature of impact Positive, neutral, adverse (explain why)	Extent of impact Low, medium, high (use L, M or H)
Age	Neutral. Any impacts on different age groups have been taken into account when the individual schemes were originally approved. As this report does not represent a formative stage in the approval of capital projects, it does not have any impact.	Low
Disability	Neutral for the reasons given above.	Low
Gender	Neutral for the reasons given above.	Low
Gender reassignment	Neutral for the reasons given above.	Low
Marriage/civil partnership	Neutral for the reasons given above.	Low
Pregnancy/maternity	Neutral for the reasons given above.	Low
Race	Neutral for the reasons given above.	Low
Religion/belief	Neutral for the reasons given above.	Low
Sexual orientation	Neutral for the reasons given above.	Low

Section 5: Conclusion

		Tick Yes/No as appropriate	
5.1	Does the EqIA in Section 4 indicate that the policy or decision would have a medium or high adverse impact on one or more equality groups?	No X	
		Yes	If 'YES' , use the action plan at Section 6 to describe the adverse impacts and what mitigating actions you could put in place.

Section 6: Action plan to address and monitor adverse impacts

What are the potential adverse impacts?	What are the mitigating actions?	Date they will be achieved.

Section 7: Sign off

**I confirm that this initial analysis has been completed appropriately.
(A typed signature is sufficient.)**

Signature of Head of Service: Derek MacNab	Date: 8 th June 2018
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Signature of person completing the EqIA: Peter Maddock	Date: 8 th June 2018
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Advice

Keep your director informed of all equality & diversity issues. We recommend that you forward a copy of every EqIA you undertake to the director responsible for the service area. Retain a copy of this EqIA for your records. If this EqIA relates to a continuing project, ensure this document is kept under review and updated, eg after a consultation has been undertaken.

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CONTINUING SERVICES BUDGET - GROWTH / (SAVINGS) LIST

Directorate	Service		Original 2017/18 £000's	Probable 2017/18 £000's	Actual 2017/18 £000's	Variance from Revised £000's
Chief Executive						-
	Total Chief Executive		0	0	0	0
Communitites	Homelessness Advice	Additional post	30			-
	Homelessness Advice	Homelessness Reviews/Rough Sleepers	12			-
	Total Communitites		42	0	0	0
Governance	Building Control	Fees & Charges		50	50	-
	Building Control	Ring Fenced Account		(50)	(50)	-
	Corporate Fraud Investigation	Corporate Fraud Team	8	8	8	-
	Development Control	Pre Application Consultation Fees		(10)	(10)	-
	Development Control Group	Trainee Planning Officers		20	16	(4)
	Development Management	Additional Temporary Staffing - Systems Technical Officer		14	14	-
	Development Management	Planning Validation Officer		15	15	-
	Governance Admin	Training	5	5	5	-
	Internal Audit	Shared Service (GF element)		(9)	(12)	(3)
	Legal Services	Reduction Re Fees & Charges		5		(5)
	Members Allowances	Increase in Basic Allowances	7	7	7	-
	Planning Appeals	Reduction Re Fees & Charges		8	8	-
	Total Governance		20	63	51	(12)
Neighbourhoods	Land and Property	Brooker Road	(107)	(157)	(157)	-
	Land and Property	Epping Forest Shopping Park	(490)	(213)	(1,292)	(1,079)
	Land and Property	Rental Income - Shops	(45)	(54)	(54)	-
	Leisure Management	Savings from New Contract	(250)	(744)	(638)	106
	North Weald Airfield	Additional rental income		(35)	(35)	-
	Off Street Parking	New Chargeable Parking Spaces (ITS)	(11)	(12)	(12)	-
	Off Street Parking	Additional Staffing	32	19	18	(1)
	Off Street Parking	Lea Valley Management Fee (ITS)	(2)		-	-
	Off Street Parking	Vere Road Pay & Display (ITS)	(5)	(3)	(3)	-
	Waste Management	Trade Waste		(7)	-	7
	Total Neighbourhoods		(958)	(1,262)	(2,173)	(911)

CONTINUING SERVICES BUDGET - GROWTH / (SAVINGS) LIST

Directorate	Service		Original 2017/18 £000's	Probable 2017/18 £000's	Actual 2017/18 £000's	Variance from Revised £000's	
Resources	Car Leasing	Car Leasing (excluding HRA)	(25)	(25)	(25)	-	
	Cashiers	Electronic Payments		9	6	(3)	
	Cashiers	Reduction Re Income		5	4	(1)	
	Civic Offices	Non-Domestic Rates	68	67	67	-	
	Civic Offices	Cleaning contract	14	20	19	(1)	
	Council Tax Collection	Court Costs		(60)		60	
	Housing Benefits Administration	Admin Reductions	42	42	42	-	
	Housing Benefits	Non Hra Rent Rebates	25	26	33	7	
	Housing Benefits	Postage		(7)	(7)	-	
	Human Resources	Apprenticeship Levy (Net)	69	75	77	2	
	Human Resources	Apprentices	60	75		(75)	
	ICT	Printer Migration	(13)	(9)	(9)	-	
	NNDR Collection	Professional Fees		(5)	(5)	-	
	Procurement	Essex Procurement Hub		5	5	-	
	Sundry Non Distributable Costs	Reduction Re Rents - Chigwell Golf Club		10	10	-	
	Resources	Savings	(9)	(9)	(9)	-	
	Total Resources			223	219	208	(11)
	Other Items	Investment Interest	Reduction due to use of balances	93	177	29	(148)
		New Homes Bonus		122	122	122	-
Total CSB			(458)	(681)	(1,763)	(1,082)	
Overspends/Income not achieved						246	
Underspends/ Income Overachievement						(1,328)	
Net Underspend						(1,082)	

DISTRICT DEVELOPMENT FUND

Directorate	Description	2017/18						2018/19		2019/20	2020/21
		Original	Probable	Actual	Difference	C/Fwd	over/(under)	Estimate	Adjusted	Estimate	Estimate
		£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Chief Executive	Chief Executive Policy Group	90	88	88	-	-	-	50	50	-	-
	Transformation	100	-	-	-	-	-	-	-	-	-
	Transformation	80	87	58	(29)	29	-	-	29	-	-
	Transformation	-	-	-	-	-	-	107	107	-	-
Total Chief Executive	270	175	146	(29)	29	0	157	186	0	0	
Communities	Homelessness	20	30	15	(15)	15	-	10	25	-	-
	Homelessness	-	-	(64)	(64)	64	-	-	64	-	-
	Homelessness	-	-	-	-	-	-	50	50	50	34
	Homelessness	-	(45)	(45)	-	-	-	(41)	(41)	(48)	-
	Homelessness	-	-	(9)	(9)	9	-	-	9	-	-
	Homelessness	-	-	(8)	(8)	8	-	-	8	-	-
	Homelessness	-	-	(2)	(2)	2	-	-	2	-	-
	Private Sector Housing	1	1	1	-	-	-	-	-	-	-
	Safer Communities	20	23	23	-	-	-	23	23	2	-
	Safer Communities	-	25	13	(12)	12	-	-	12	-	-
	Safer Communities	-	-	-	-	-	-	215	215	215	215
	Youth Council	-	8	8	-	-	-	8	8	-	-
	Grant - Citizens Advice Bureau	4	4	4	-	-	-	4	4	-	-
	Total Communities	45	46	(64)	(110)	110	0	269	379	219	249
	Governance	Building Control	-	(30)	(44)	(14)	-	(14)	-	-	-
Building Control		-	20	34	14	-	14	-	-	-	-
Conservation Policy		-	(4)	(4)	-	-	-	-	-	-	-
Corporate Fraud Investigation		-	(14)	(8)	6	6	-	(27)	(27)	-	-
Development Control		(175)	30	23	(7)	(7)	-	(5)	(5)	-	-
Development Control		(13)	(6)	(12)	(6)	(6)	-	(5)	(5)	-	-
Development Control		-	-	-	-	-	-	278	278	-	-
Development Control		-	-	-	-	-	-	(40)	(40)	(100)	-
Development Control Group		23	10	10	-	-	-	-	-	-	-
Development Control Group		45	15	15	-	-	-	-	-	-	-
Development Control Group		-	87	76	(11)	11	-	-	11	-	-
Development Management		13	13	13	-	-	-	17	17	-	-
Development Management		28	14	14	-	-	-	-	-	-	-
Development Management		26	15	15	-	-	-	-	-	-	-
Development Management		113	116	87	(29)	29	-	113	142	-	-
Development Management		-	5	(5)	(5)	5	-	5	10	-	-
Elections		(41)	(77)	(72)	5	5	-	139	139	-	-
Electoral Registration		37	22	13	(9)	9	-	36	45	34	31
Electoral Registration		-	(21)	(21)	-	-	-	(18)	(18)	-	-
Enforcement / Trees & Landscape		-	25	20	(5)	5	-	-	5	-	-
Legal Services		10	12	12	-	-	-	-	-	-	-
Local Land Charges		-	7	7	-	-	-	14	14	-	-
Local Land Charges	-	23	16	(7)	7	-	-	7	-	-	
Local Land Charges	-	(9)	(8)	1	1	-	-	-	-	-	
Planning Appeals	41	15	6	(9)	9	-	32	41	21	-	
Total Governance	107	268	192	(76)	75	(1)	544	619	233	31	

DISTRICT DEVELOPMENT FUND

Directorate	Description	2017/18						2018/19		2019/20	2020/21
		Original	Probable	Actual	Difference	C/Fwd	over/(under)	Estimate	Adjusted	Estimate	Estimate
		£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Neighbourhood	Contaminated Land & Water Quality	79			-		-	72	72	50	
	Flood defence		16	16	-		-				
	Countrycare	4	4	4	-		-	4	4		
	Economic Development	8	8	0	(8)	8	-		8		
	Economic Development	52	18	5	(13)	13	-	60	73		
	Economic Development		100	13	(87)	87	-		87		
	Economic Development		(52)	(35)	17		17		-		
	Asset Rationalisation	61	61	61	-		-				
	Forward Planning	1,028	1,227	955	(272)	272	-	946	1,218	400	
	Forward Planning			(100)	(100)	100	-			100	
	Forward Planning		15	(2)	(17)	17	-		17		
	Forward Planning		6	0	(6)		(6)				
	Forward Planning		178	(349)	(527)	527	-	432	959	55	
	Forward Planning		32	(22)	(54)	54	-	21	75		
	Forward Planning		3	2	7	5	5				
	Highways General Fund			50	50	-	-				
	Land and Property			(35)	(25)	10	10				
	Land and Property		160	172	12			81	81		
	Land and Property			(24)	(24)		(24)				
	Leisure Management		65			-	-			(266)	(444)
	Off street parking		20	5	5	-	-				
	Off street parking			20	20	-	-				
	North Weald Airfield			5	5	-	-				
	North Weald Airfield			(33)	(55)	(22)	(22)				
	Parks & Grounds		10		1	1	(1)	10	9		
	Parks & Grounds			2	2	-	-	3	3		
	Parks & Grounds			(5)	(5)	-	-				
	Parks & Grounds			10	0	(10)	10	20	30	20	
	Parks & Grounds				(7)	(7)	7			7	
	Parks & Grounds		15	7	7	-	-	8	8		
Waste Management			6	6	-	-					
Waste Management		218	156	138	(18)	18	85	103			
Waste Management			(20)	(20)		-					
Waste Management				75	75	(75)	150	75			
Waste Management		(104)	(104)	(30)	74	74					
Total Neighbourhoods		1,459	1,839	868	(971)	1,037	66	1,892	2,929	259	(444)
Resources	Building Maintenance - Non HRA	104	124	41	(83)	38	(45)	215	253	160	123
	Cashiers		12	12	-	-	-				
	Cashiers		15	20	5	(5)	-		(5)		
	Council Tax Collection	(57)	(47)	(47)	-	-	-	(47)	(47)		
	Council Tax Collection		9	11	2	(2)	-	9	7		
	Finance Miscellaneous		300	268	(32)	32	-	1,040	1,072		
	Housing Benefits Administration	(71)	(80)	(80)	-	-	-	(80)	(80)		
	Housing Benefits Administration		19	11	(8)	8	-	27	35	5	5
	Housing Benefits Administration		20			-	-			20	
	Housing Benefits Administration			(111)	(120)	(9)	9		9		
	Housing Benefits Administration			11	11	-	-				
	Housing Benefits Administration			(11)	(10)	1	1				
	Housing Benefits		58	40	40	-	-	56	56	56	13
	Housing Benefits			69	50	(19)	19	44	63		
	Human Resources				(36)	36	-		36		
	ICT					-	-	133	133	24	24
	NNDR Collection			(28)	(33)	(5)	(5)				
	Revenues		207	171	87	(84)	84	177	261		
	Revenues			7	7	-	-				
	Sundry Non Distributable Costs		9	2	1	(1)	(1)	5	5	5	
Sundry Non Distributable Costs			24	26	2	2	17	17			
Total Resources		270	526	259	(267)	219	(48)	1,596	1,815	270	165
Total Service Specific District Development Fund		2,151	2,854	1,401	(1,453)	1,470	17	4,458	5,928	981	1
Other Items	Transitional Grant	(53)	(53)	(53)	-	-					
	New Homes Bonus		(7)	(7)	-	-					
	Council Tax Collection	(200)	(485)	(365)	120	120		(400)	(400)	(400)	(400)
	Pensions	(8)	(8)	(8)	-	-					
Total District Development Fund		1,890	2,301	968	(1,333)	1,470	137	4,058	5,528	581	(399)

DISTRICT DEVELOPMENT FUND

Service	2017/18 Original £000	2017/18 Probable £000	2017/18 Actual £000	Over/(Under) spend £000	Carry Forward £000	2018/19 Original £000	2018/19 Updated £000
Chief Executive	270	175	146	0	29	157	186
Communtites	45	46	(64)	0	110	269	379
Governance	107	268	192	(1)	75	544	619
Neighbourhoods	1,459	1,839	868	66	1,037	1,892	2,929
Resources	270	526	259	(48)	219	1,596	1,815
Total DDF Expenditure	2,151	2,854	1,401	17	1,470	4,458	5,928
Funding Analysis							
Transfer to DDF							
Transfer to/(from) General Fund	2,151	2,854	1,401			4,458	5,928
Total DDF Funding	2,151	2,854	1,401			4,458	5,928
DDF Earmarked Reserve							
Balance B/F	4,188	4,188	4,188			2,887	4,220
Capital Expenditure Charged to Revenue							0
Tranistional Grant	(53)	(53)	(53)			0	0
Deficit Payments	(8)	(8)	(8)			0	0
New Homes Bonus		(7)	(7)			0	0
Technical Agreement	(200)	(485)	(365)			(400)	(400)
Transfer Out	2,151	1,854	401			3,158	4,628
Balance C/F	2,298	2,887	4,220		0	129	(8)

INVEST TO SAVE

			2017/18					2018/19	2019/20	2020/21			
			Original	Probable	Actual	Difference	C/Fwd	over/ (under)spend	Estimate	Adjusted Estimate	Estimate		
			£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's		
Chief Executive	Transformation	Behavioural Insights project	Revenue		5	1	(4)	4	0	21	25		
				0	5	1	(4)	4	0	21	25	0	0
Communities	Homelessness	Rental Loans Scheme	Revenue	30	30	30	0		0	30	30		
	Museum Resilience	Contribution	Revenue		20	20	0		0		0		
				30	50	50	0	0	0	30	30	0	0
Neighbourhoods	Car Parking	Replacement LED lighting	Capital	70	32	31	(1)	1	0	100	101		
	Car Parking	New Car Parks	Capital	40	20	7	(13)	13	0	20	33		
	Car Parking	Lea Valley pay & display	Capital	15			0		0		0		
	Car Parking	Vere Road Pay & Display	Capital	51	10	5	(5)	5	0	41	46		
	Car Parking	Vere Road Pay & Display	Revenue	4	4	4	0		0		0		
	North Weald Airfield	Extension to Vehicle Compound	Capital						0	12	12		
				180	66	47	(19)	19	0	173	192	0	0
Resources	ICT	Ariel Camera System	Revenue		1	1	0		0		0		
				0	1	1	0	0	0	0	0	0	0
				210	122	99	(23)	23	0	224	247	0	0

DISTRICT DEVELOPMENT FUND 2017/18 - 2018/19

Directorate	Description	C/Fwd £000's	Year of Approval	Comments
Chief Executive	Transformation Prototype Fund	29	2016/17	
		29		
Communities	Legal Challenges	15	2017/18	Contingency Budget reviewed annually
	Flexible Homelessness Grant	64	2017/18	Unspent Grant money
	Homelessness Data Grant	9	2017/18	Unspent Grant money
	Flexible Homelessness Grant : Incentives for Genesis	8	2017/18	Unspent Grant money
	Flexible Homelessness Grant :Zinc Arts	2	2017/18	Unspent Grant money
	Security Costs	12	2017/18	
		110		
Governance	Development Control Agency Staff	11	2017/18	
	Document Scanning	29	2017/18	
	Casual Staff Re Scanning / Indexing Building Control Files	5	2017/18	
	Individual Registration Costs	9	2017/18	
	Trees and Landscape Agency Staff	5	2017/18	
	Local Land Charges Agency Staff	7	2017/18	
	Contingency for Appeals	9	2017/18	Contingency Budget reviewed annually
		75		
Neighbourhoods	Economic Development Strategy	8	2015/16	
	Town Centres Support	13	2015/16	
	Smart Places	87	2015/16	
	Local Plan	272	2017/18	Budget reviewed quarterly
	Strategic Implementation Team	100	2017/18	
	Brownfield Register	17	2016/17	
	Garden Town	527	2017/18	Additional funding received toward year end
	Community Housing	54	2017/18	Additional funding received toward year end
	Open Spaces - Tree Planting	(1)	2016/17	
	Roding Valley Development - Woodland Planting	10	2016/17	
	Roding Valley Dev. - Demolition of Building Roding Lane	7	2017/18	
	DCLG recycling reward scheme	18	2016/17	Unspent Grant money
	Reduction in recycling income	(75)	2017/18	
		1,037		
Resources	Planned Building Maintenance Programme	38	2017/18	
	Waltham Abbey Kiosk Replacement & Licence fees	(5)	2016/17	
	Local Council Tax New Burdens Expenditure - E-Services	(2)	2016/17	
	Implementation of People Strategy	32	2016/17	
	Benefits Specific Grants - Data Matching	8	2015/16	Unspent Grant money
	Benefits Specific Grants	9	2016/17	Unspent Grant money
	Benefits Specific Grants - Agency Staff / Equipment New	19	2017/18	Unspent Grant money
	People Team additional resources	36	2017/18	
	Temporary Additional Staffing	84	2016/17	
		219		
Total		1,470		
INVEST TO SAVE RESERVE 2017/18 - 2018/19				
Chief Executive	Behavioural Insights project	4	2017/18	
Neighbourhoods	Replacement LED lighting	1	2016/17	
	New Car Parks	13	2017/18	
	Vere Road Pay & Display	5	2017/18	
		19		
Grand Total		23		

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Report to the Finance and Performance Management Cabinet Committee



**Epping Forest
District Council**

Report reference: FPM-005-2018/19

Date of meeting: 21 June 2018

Portfolio: Finance

Subject: Provisional Capital Outturn 2017/18

Responsible Officer: Teresa Brown (01992 564604)

Democratic Services Officer: Rebecca Perrin (01992 564532)

Recommendations/Decisions Required:

- (1) That the provisional outturn report for 2017/18 be noted;
- (2) That retrospective approval for the over and underspends in 2017/18 on certain capital schemes as identified in the report is noted;
- (3) That approval for the carry forward of unspent capital estimates into 2018/19 relating to schemes on which slippage has occurred is noted;
- (4) That approval of the funding proposals outlined in this report in respect of the capital programme in 2017/18 is noted;
- (5) That approval be given to enhance the 2018/19 HRA structural schemes budget by £653,000 via a combination of virements of £494,000 from other budgets in 2018/19 and £159,000 of savings generated in 2017/18;
- (6) That approval be given for other virements within the HRA capital programme totalling £372,000 to supplement the windows, doors and roofing budget and the disabled adaptations budget as detailed in the report;
- (7) That approval be given to bring forward a budget of £30,000 for an urgent planned maintenance project from 2020/21 to 2018/19.

Executive Summary:

This report sets out the Council's capital programme for 2017/18, in terms of expenditure and financing, and compares the provisional outturn figures with the revised estimates. The revised estimates, which were based on the Capital Programme, represent those adopted by the Council on the 22nd February 2018.

Appendix 1 summarises the Council's overall capital expenditure and funding for 2017/18. It shows the total amount of expenditure invested in Council-owned assets within the General fund, analysed over the directorates, and shows the sum invested in existing and new Housing Revenue Account (HRA) assets separately. Below this are the total sums advanced in the form of Capital Loans and the Revenue Expenditure Financed from Capital under Statute (REFCuS).

Information on individual projects or programmes is given on Appendix 2 for the General Fund Capital Programme and Appendix 3 for the HRA Capital Programme, Capital Loans and Revenue Expenditure Financed from Capital under Statute. Overspends and underspends are shown in the third column of each appendix and these are identified as budget overspends, savings, carry forwards, brought forwards or virements on a project-by-project basis in columns four to seven. In some instances, other changes are recommended; these are identified in column eight and explanations are given in the report. The carry forwards and brought forwards represent changes in the timing and phasing of schemes and the movement of estimates between financial years rather than amendments to total scheme estimates.

An analysis of the funds used to finance the Council's capital expenditure in 2017/18 is also given in Appendix 1, detailing the use of government grants, private funding, capital receipts and direct revenue funding. The generation and use of capital receipts, Major Repairs Fund resources and the HRA Self-financing Reserve in 2017/18 are detailed in Appendix 4.

Reasons for Proposed Decision:

The funding approvals requested are intended to make best use of the Council's capital resources that are available to finance the Capital Programme.

Other Options for Action:

The Council's current policy is to use all HRA capital receipts from the sale of assets, other than Right to Buy Council House sales, to fund the Council's house building programme. However, Members have the option to use these capital receipts for other HRA or General Fund schemes if they choose. This option has been rejected to date because, unless HRA receipts are applied to affordable housing schemes, 50% of each receipt would be subject to pooling i.e. the council would have to pay 50% of these receipts to central government.

The Council retains an element of the right to buy receipts classified as 'allowable' debt. It has been agreed that 30% of the 'assumed debt' part of this element should be set aside to help finance the HRA housebuilding programme. The percentage applied to the housebuilding programme is seen as reasonable but could be amended.

Report:

Capital Expenditure

1. The Council's total investment on capital schemes and capital funded schemes in 2017/18 was £37,930,000 compared to a revised estimate of £40,124,000, representing an underspend of 5%. Appendix 1 summaries the position by directorate for the General Fund, and shows the overall outturn position for the HRA. It also summaries the capital loans and REFCuS schemes.
2. With regard to the General Fund projects, there was an overall overspend of £525,000 or 4%, details of which are shown in Appendix 2. The main variations are discussed below.

Resources

3. The Resources Directorate showed overall underspend of £156,000 for the 2017/18 financial year; this represents a 23% variance on the revised budget. The largest underspend within the directorate was the planned maintenance programme. Previously all planned maintenance schemes have been grouped within one category; however the decision was made to split the planned maintenance into three sections to give a better indication of performance; active planned maintenance, on-hold planned maintenance projects and works on industrial units.
4. The active planned maintenance section includes schemes that fall outside the scope of the accommodation review, but also includes essential improvements to the civic offices. The fencing works to satisfy the health and safety audit at Town Mead depot has been completed and works to the Waltham Abbey Museum roof and chimney stacks and trend services at the civic offices have progressed well within the year. However, the works planned to replace the windows at the North Weald airfield gatehouse and the replacement of fire alarm smoke and heat detectors at the civic offices have only been tendered for in 2017/18 and therefore are showing a large underspend in the section. A saving of £18,000 has been identified from the energy efficiency budget as other schemes have incorporated energy efficiency features within their designs. It is recommended that this saving is carried forward and moved into the on-hold projects section and used to increase the budgets where costs have risen since they were first bid. A further saving of £7,000 has been identified from the 2018/19 budgets as the resurfacing of the Roundhill's shopping yard was included within another scheme. It is recommended that this is taken as an actual saving in 2017/18 and that the remaining underspends of £145,000 relating to this category are carried forward into 2018/19.
5. The on-hold planned maintenance projects budget relates to works on the civic offices that have been placed on hold pending the outcome of the Accommodation Review. The full budget was carried forward to 2018/19 as part of the Capital Review in December 2017. Expenditure throughout the year was limited to minor design works amounting to £2,000; it is recommended that this sum is brought forward from the 2018/19 allocation to cover these costs.
6. There are some amendments requested for 2018/19. The electro-hydraulic lift installation budget (£77,000) that was planned for 2018/19 has now been put on hold whilst works to Homefield House (£9,000), which was previously on-hold, is now

expected to proceed in 2018/19, these requested movements are shown under the

virement headings. Furthermore, it is recommended that £30,000 is brought forward from the budget held in 2020/21 to upgrade the Janus security system to Satian in order to comply with the new General Data Protection Regulations (GDPR); The existing system has also been declared unsupported by the manufacturer,

7. The works on industrial units include planned works from facilities management on the Council's investment property portfolio. There is a shared responsibility between the HRA and the General Fund for works on roofs and balconies for investment properties that have housing units above them. A budget of £25,000 is earmarked each year specifically for recharges received from the housing team; however this budget does not seem to be a realistic estimate of the costs that are recharged to the General Fund. In 2017/18 the recharges exceeded the budget by £13,000, whilst in 2018/19 a recharge of £65,000 is forecast. Retrospective approval is sought for the £13,000 overspend in 2017/18. In 2017/18 the Council received a grant for dilapidation works to unit 12-14 The Broadway and £21,000 was used to bring this unit to a useable standard. The expenditure is shown within the overspend column of Appendix 2 with the grant being shown in the "other" column. Planned works have progressed on the overlay of the felt roof at The Broadway, it is recommended that the £5,000 underspend from this scheme is carried forward into the new financial year.
8. The Accommodation Review has reached the detailed feasibility stage and a budget of £120,000 was allocated within the Capital Programme for a stage 2 study to complete an Outline Business Case (OBC); the contract was awarded to PwC after a formal tender process at a cost of £109,000. An underspend of £11,000 is reported in Appendix 2. A report has been prepared for Cabinet on the 14th June 2018 bidding for an additional allocation of £61,000 to update the OBC. The work is expected to cost £72,000, it is therefore requested that the £11,000 is carried forward into the new financial year.
9. The Technology Strategy was agreed at Cabinet on the 9th November 2017 as part of the Council's transformation process to ensure that themes emerging in the new Corporate Plan 2018-2023 are also reflected in the ICT strategy. A bid of £635,150 was approved for the 2018/19 financial year and a new category was created to show the progress of the strategy and general ICT projects separately and to provide meaningful management information. Some of the schemes within the general ICT category were immediately absorbed within the strategy implementation category.
10. The general ICT schemes have progressed very well in 2017/18 with the majority of the projects being completed on time and within the allocated budgets. The Northgate Aspire Mobile Working scheme is the only project within this category to slip into the 2018/19 financial year; whilst the IGEL replacement proceeded faster than was expected which resulted in £7,000 being spent ahead of target. It is recommended that £18,000 is carried forward to the 2018/19 budget and £7,000 is brought forward from 2018/19 for the respective schemes. A saving of £17,000 has also been identified within this category, with the majority of this sum due to the procurement of a new planning system not going ahead. However, it is recommended that this saving is transferred to cover some overspends and unexpected costs within the Strategy Implementation category, as detailed below.
11. The schemes that were absorbed into the strategy implementation category have also progressed well with several schemes including the replacement of the reverse proxy,

the upgrade to the OHMS system and procurement of the Good Blackberry licencing. A

12. A few schemes slipped into the new financial year with a sum of £34,000 recommended to be carried forward into 2018/19. There were overspends to the pilot laptop replacement scheme and telephone extension scheme whilst the information at work upgrade was procured earlier than expected and also over budget. It is recommended that £29,000 is brought forward in addition to the savings made in the general ICT category to cover these movements.
13. The works to scope and build the Human Resources system, including the Employee/Manager Self-Service, health and safety, recruitment and learning elements were rolled out at the beginning of the financial year. The current underspend that is showing on Appendix 2 is due to a re-classification of costs; therefore the saving of £15,000 on the Capital Programme is offset by increased revenue expenditure.
14. In summary, it is requested that members note a saving of £7,000; an overspend of £13,000; carry forwards of £213,000; and brought forward sums £45,000 and £30,000 from the 2018/19 and 2020/21 respectively.

Neighbourhoods

15. The Neighbourhoods Directorate is reporting an overall overspend of £753,000 within the 2017/18 financial year which represents a 6% increase on what was budgeted. This is primarily due to the good progress with the construction of the new Hillhouse Leisure Centre and the redevelopment of the Council's other leisure centres. Overall, expenditure is £1,267,000 ahead of what was estimated within the Capital Programmes as at 31 March 2018. Therefore, it is recommended that this sum is brought forward from the 2018/19 allocation is to cover these costs. Despite the good progress of works, there have been some financial challenges across the majority of the centres, particularly with regard to changes to the original specifications for additional works. It is likely that an increased capital allocation will be required and a report is being prepared listing all the financial implications.
16. A supplementary provision of £100,000 was made within the Council's Capital Programme in 2017/18 to undertake the necessary alteration works to accommodate the Pyles Lane nursery and landscape service at the Town Mead depot at Waltham Abbey. A further £45,000 was allocated from Facilities Management, as part of the Capital Review, to undertake the remaining health and safety adaptations following the audit of the depot. The full budget was phased over 2017/18 (£15,000) and 2018/19 (£130,000). The consultancy and drawings for the alteration works at the depot were further advanced at the end of the year than anticipated with a total of £38,000 spent in 2017/18. Therefore, it is recommended that £23,000 is brought forward from the 2018/19 budget to allow for this.
17. Glyn Hopkin Ltd (GHL) operates a motor car dealership located on the corner of Brooker Road/Cartersfield Road in Waltham Abbey. GHL expressed a desire to surrender their existing lease and obtain a new lease for the whole area of their premises which would permit full motor dealership use. With the acceptance of the new lease the rent of the premises has increased with 5-yearly upward-only rent reviews. A supplementary budget was agreed in the latest Capital Review to cover costs of £52,000 relating to legal fees and stamp duty fees and the actual costs were in line with this budget.
18. The budget for the Epping Forest Shopping Park is split between the costs of constructing the shopping park and the costs of undertaking the Section 278 highways

works, which is a REFCuS item shown in Appendix 3. At the end of the financial year, nine of the twelve units were trading with two of the vacant units continuing to be marketed and the remaining one in the hands of the solicitors. At the time writing, two extra units are now trading with one pending the signing of the lease. The outstanding underspends from the construction costs amount to £459,000 at the end of the financial year. This includes estimated capital incentive payments to the three units unoccupied at the year end and also any additional costs from variations in the final account; it is therefore recommended that the full amount is carried forward into 2018/19, with the budgets to be re-assessed as part of the Capital Review.

19. The waste management equipment budget has been earmarked for waste and recycling bins provided to new properties around the district. Over the past three years, the capital spend on waste management equipment has been minimal; with 2017/18 showing no spend. It is recommended that this budget is taken as a saving and new bins are now financed through the revenue accounts.
20. The grounds maintenance plant and equipment budget is showing a £27,000 underspend which relates to the procurement of a truck but that was not delivered in 2017/18. This procurement is still expected to go ahead and therefore it is recommended that £29,000 is carried forward in 2018/19, having allowed for an additional £2,000, which was received from the sale of an old vehicle. It is usual practice to enhance this budget to allow for the sale proceeds of sold vehicles to be used towards financing new vehicles.
21. An additional bid of £13,000 was agreed in December 2017, as part of the Capital Review, due to unexpected failures to the main control unit and pumps at the old Bobbingworth Tip site. This budget was phased between 2017/18 and 2018/19. The works expected in 2017/18 have been completed and within the budget. There are no movements to be actioned.
22. There are now four car park schemes within this category. (1) The installation of new 4G pay and display machines in each of the Council's car parks was completed in the second quarter and showed a £2,000 underspend to the budget, it is requested that this saving is recycled within the car park schemes. (2) Although the Council has purchased the new pay and display machines for the car park in Oakwood Hill, there have been significant delays to this scheme due to land ownership disputes. Officers are now obtaining legal advice to resolve this matter and it is recommended that the underspend of £15,000 is carried forward and re-assessed once more definitive advice is received. The pay and display machines can be redeployed if this scheme becomes unviable. (3) After a change from the original specification of works, Members agreed to increase the budget for the installation of LED lighting around the Council's car parks. This increase was compensated from underspends and savings identified in other car parking schemes as part of the Capital Review in December 2017. A small underspend in year of £1,000 is requested to be carried forward into 2018/19 to continue the installations. (4) The consultancy team appointed to advise the Council on the demolition of garages and design of the Vere Road car park have identified potential additional costs to the scheme. During the survey and design phase, an additional nine parking bays outside the original specification, as well as a potential asbestos warnings with the demolition of the garages, have been highlighted and expected to increase the cost of the scheme. There is currently no reliable estimate of how much these additional works will cost, however a report will follow the procurement process if the costs exceed the current allocation. The demolition of the garages and other works will slip into the next financial year and therefore an underspend of £5,000 is also requested to be carried forward into

2018/19.

23. In summary, Members are requested to approve £28,000 of savings identified within the Neighbourhoods directorate, £511,000 of carry forwards and £1,290,000 of budgets brought forward from 2018/19 to cover accelerated progress of schemes.

Communities

24. The General Fund element to the Communities directorate includes CCTV installation schemes and recharges to the General Fund for the housing estate parking schemes. The directorate showed a £72,000 underspend within the 2017/18 financial year which represents a 45% variance on what was budgeted.
25. The CCTV installations are separated into three categories: systems relating to the CCTV strategy for installations around the district; CCTV installations specifically for Council owned car parks, both of which are shown within Appendix 2; and CCTV systems to HRA properties which are reported in Appendix 3.
26. During 2017/18, the majority of the general CCTV projects were completed on time and within budget as planned. These included the installation of systems at the old Bobbingworth Tip site, the civic offices and the Limes Farm Automatic Number Plate Reader (ANPR). The budget for CCTV is showing a £1,000 overspend due to two new rapid-deploy cameras being procured to replace the cameras which were stolen at the Hill House development site. The Council successfully recovered £3,000 from the insurance company and the balance of £2,000 is requested to be carried forward and recycled within the CCTV budgets.
27. The car park CCTV installation projects have also progressed well, notably in Derby Drive and Cornmill, which have both reached a satisfactory conclusion within budget. The installation of a CCTV system in Quaker Lane car park did not go ahead in 2017/18 as planned due to delays with preparatory work for LED lighting, however it is anticipated that these works will be complete by summer 2018 and therefore it is recommended that the unspent balance of £13,000, relating to these works, should be carried forward into 2018/19 to fund the project. A further £13,000 has been committed to two other car parks (High Beach, Smarts Lane) which are expected to be commissioned in 2018/19. Cabinet approved a supplementary estimate of £20,000 in December 2017 to complete the remaining car parks scheduled for works (The Drive & Queens Road). Therefore a total of £46,000 is requested to be carried forward into 2018/19.
28. The off-street parking schemes undertaken on Council-owned land is jointly funded between the HRA and General Fund. The Housing Assets team are currently assessing the viability of the housing estate parking schemes after the completion of Torrington Drive and Paley Gardens. It is recommended that the full underspend of £27,000 is carried forward into 2018/19 with the view to re-assess the budgets as part of the Capital Review process.
29. In summary Members are requested to approve the carry forward of £75,000 from the Communities directorate into the 2018/19 financial year to finance the completion of the schemes.

Housing Revenue Account (HRA)

30. Member's approved the change of policy from a modern home standard to decent home standard starting in the financial year 2017/18. Estimates from latest Capital Review show a transitional decrease in capital expenditure to the HRA Stock of £1.6million in 2017/18, £1.7 million in 2018/19, and £1.9 million in each of 2019/20, 2020/21, 2021/22 financial years. The revised approved HRA capital budget for 2017/18 totalled £23,114,000 split between housebuilding and other projects (£12,861,000) and housing assets (£10,253,000), but expenditure during the year totalled £20,455,000, representing an underspend of £2,659,000 or 11.5%.
31. Appendix 3 shows how the actual costs compared to the revised budgets for each category within the HRA capital programme. It shows that the largest underspend of £1,902,000 relates to the Council's housebuilding programme; this was due to delays in several phases. In order to satisfy the planning conditions around ground contamination, trial excavations revealed contaminated ground at the Burton Road site (phase 2). The impact on the 2017/18 outturn was an underspend of £1,054,000 and a 23-week delay, putting the completion date back to 30th September 2018. It is requested this sum is carried forward into 2018/19 to coincide with the planned works.
32. Phase 3 is also showing an underspend of £496,000 with the Queens Road and Stewards Green sites showing the largest underspends. The development of 12 properties at Queens Road, Epping has been delayed pending an agreement with UK Power Network to divert power cables and reposition the electrical sub-station. Although commencement works have begun, there is no official start on site date agreed with the contractors; therefore the project is showing an underspend of £157,000 on the phased budget. Works at Stewards Green Road now are at an advanced stage, with works focusing on internal and external finishes. A six-week delay was reported at the last site meeting due to a dispute between the contractor and the architect which has led to a £126,000 underspend at the end of the financial year. Both of these sums are requested to be carried forward into the new financial year.
33. An allocation of £345,000 was included in the housebuilding programme to finance a pilot scheme to provide three modular units of temporary accommodation for six single vulnerable homeless people at Norway House, North Weald. Detailed designs of the works have been completed, however the planning permission for this site has delayed the works and a start on site date is expected within quarter two of 2018/19 with a further six to nine month construction period. Therefore, it is requested that the underspends showing on this project, amounting to £314,000 is carried forward into the 2018/19 financial year.
34. The final account figures for the conversion works at Marden Close and Faversham Hall were £15,000 lower than anticipated and agreed as part of the Capital Review in December; therefore the £15,000 is recommended to be taken as a saving within the project.
35. A number of schemes have been completed within the 2017/18 financial year. Although major setbacks were experienced with Phase 1 the Council has taken possession of all 23 properties in November 2017. The total anticipated outturn figure, including all construction costs, fees and site security costs is £6,404,000. There is a small underspend of £5,000 showing for this phase. Four properties at Bluemans End were handed over in March 2018 and is also showing a small underspend of £48,000 due to additional works required to provide permeable block paving; further soil contamination remediation, further asbestos removal and other remedial works. The one property at

London Road was also completed in March 2018 and is showing a small underspend of £26,000 which relates to changes needed to ensure that the completed homes meet the required standard. All the above sums are requested to be carried forward.

36. Members are also requested to recommend further underspends of £172,000 which relate to all the outstanding schemes within Phase 3, 4, 5 & 6.
37. The Housing Revenue Account outturn table in Appendix 3 includes an additional column to show recommended virements of budgets to different categories within the housing assets budget. This will allow the budget holders to have the most accurate and up-to-date information for their full year budget. Within the housing assets budgets a total of £196,000 has been identified as savings, however it is recommended that an amount of £159,000 is used to increase certain categories for the reasons detailed in the following paragraphs. This leaves a net saving of £37,000 if members approve the movements.
38. There are large underspends to the heating and rewiring; other planned maintenance; and kitchens and bathrooms categories primarily due to the effect of the policy change from modern to decent home standards. In addition to this the double glazing scheme faced major delays in the progression of works and the contract was not renewed. A combined saving of £340,000 has been identified across these categories.
39. It is recommended that the savings identified are used to increase funding for other categories that are facing higher than anticipated expenditure. These include the structural schemes category that is facing huge costs relating to the HRA stock being relatively old, with works to cracks in plaster and walls becoming a big issue. An increase of £653,000 is requested to create a budget that is in line with the 2017/18 actuals; although it is notoriously difficult to estimate the exact amount needed for structural schemes. The other virements identified to increase individual scheme budgets include: the door entry scheme budget, which is expected to drastically increase in 2018/19 after legislation was passed allowing the Council easier access to leaseholder properties to install more substantial fire doors as part of essential new safety measures in blocks of flats; and the disabled adaptation scheme budget, which is based on referrals from ECC Social Care occupational therapists.
40. With regard to the budget for new housing maintenance vehicles, it is usual practice to enhance this budget to allow for the sale proceeds of sold vehicles to be used towards financing new vehicles. After a housing repairs vehicle was stolen in 2017/18, the Council recovered £5,000 from the insurance company. It is recommended to use this sum to allow the housing repairs team to purchase a replacement vehicle. The parking review aspect to the Oakwood Hill depot extension proceeded quicker than predicted and therefore shows a £15,000 overspend on the phased budget; it is recommended that an allocation of the 2018/19 budget is brought forward to cover this overspend.
41. All other areas of expenditure experienced underspends to a greater or lesser extent and details of each category can be seen within Appendix 3. It is requested that Members recommend the virements and savings identified in Appendix 3 and carry forward £2,468,000 to carry out all outstanding planned works in 2018/19, with a view to identifying further savings as part of the Capital Review as appropriate.
42. Capital expenditure work on leaseholder properties is shown as a single credit figure within the HRA capital programme, actual costs are identified to the type of work they relate to once the works are complete. In order to negate the effect of these costs within each category, the appropriate adjustments are given in the "other" column.

Capital Loans

43. The only loans advanced in 2017/18 were those made to individuals to improve private housing stock. Actual loans were lower than expected however, the Council is committed to a waiting list of approved cases and therefore it is requested that this budget is carried forward and reviewed during the Capital Review to identify any possible savings.

Revenue Expenditure Financed from Capital under Statute (REFCuS)

44. The capital programme for revenue expenditure to be financed from capital resources is detailed on Appendix 3. The Section 278 road improvement works for the Epping Forest Shopping Park have been problematic with substantial delays attributable to changing requirements from Essex County Council (ECC) and numerous utility clashes on drainage routes. These variations have resulted in substantial additional costs and an extended contract period. The final contract sum has been agreed at £4,250,000 with £165,000 being recovered from ECC. The road improvement works were completed in December 2017, however we are currently holding the retention subject to a number of items outstanding and additional works required under the recent Stage 3 Road Safety Audit. There is a £14,000 overspend showing at the end of the financial year, for which retrospective approval is recommended.
45. Section 106 funding of £23,000 was passed to Epping Town Council relating to the St John's school site to commence the renovation of the Jack Silley pavilion. This had no impact on the Council's capital funds.

Expenditure Summary

46. Members are requested to recommend to Cabinet the approval of the budget overspends, savings, carry forwards and brought forwards referred to above on the schemes identified in Appendices 2 and 3. Overspends totaled £13,000 on the General Fund, £144,000 on the HRA, and £37,000 on REFCuS schemes. There were savings of £35,000 on the General Fund and £355,000 on the HRA. In terms of slippage, carry forwards are recommended for totals of £799,000, £2,468,000, £67,000 and £30,000 for the General Fund, HRA, loans and REFCuS respectively; and brought forwards are recommended for totals of £1,355,000 and £15,000 for the General Fund and HRA respectively. Other variations total £11,000 on the General Fund and £5,000 on the HRA which represent additional expenditure funded from external and direct revenue sources.

Funding

47. The funds available to finance the capital programme include Government grants, other public sector grants, private contributions to capital schemes, capital receipts and direct revenue funding from the General Fund and HRA. Initially any specific grants and private contributions made for particular projects are used to finance the appropriate projects, taking into account any restrictions with regard to usage and time scales. Other sources of capital finance, which carry restrictions, are also applied at the earliest opportunity in order to avoid losing potential funds. This includes the element of capital receipts generated from the sale of council houses, which is available solely for replacement affordable housing (often referred to as 1-4-1 receipts) and must be used within three years of receipt. As a consequence, the maximum sum allowable has been applied to the 2017/18 HRA house building programme.

48. Another element of capital receipts available for capital funding is known as 'attributable' or 'allowable' debt. The Council is free to use all, none or indeed a portion of this money to fund HRA expenditure. Cabinet made a decision to use part of this sum for the new housebuilding programme, based on 30% of the 'assumed' debt of Council dwellings, calculated when the new self-financing regime was introduced in April 2012. The sum calculated for 2017/18 is £104,000.
49. Appendix 1 identifies the sources of funding used to finance the 2017/18 capital programme and it compares the actual sums used with the amounts estimated in the revised capital programme. In total, grants of £788,000 were used last year compared to an estimated sum of £666,000, representing an increase of £122,000. This resulted primarily from the increase in private funding made available by more section 106 monies having been received for funding the new housebuilding programme. Other private contributions utilised included: a section 106 sum of £23,000 relating to the St John's school site used by Epping Town Council to renovate the Jack Silley pavilion; a contribution of £30,000 was used to improve a retail unit in Loughton Broadway; and a contribution of £14,000 was applied to the Shopping Park.
50. The generation of capital receipts was £2,533,000 higher in 2017/18 than had been anticipated, as shown in Appendix 4. This was mostly due to more council houses being sold than expected. A total of 42 properties were sold in 2017/18 compared to 46 in 2016/17. Consequently the total 1-4-1 capital receipts retained for replacement homes was £1,908,000 higher than anticipated. In addition to this, the Council received further capitals receipts after the budgets were prepared, the largest of which was the repayment of a loan to Brentwood Borough Council. As a result of the higher level of capital receipts, more funds were available to finance the capital programme than anticipated and the unused HRA capital receipts were used to partially fund the new shopping park by way of an internal loan. This meant that the year-end balance on the Capital Receipts Reserve was maintained at zero as at 31 March 2018.
51. External borrowing has been avoided in 2017/18, partly by means of the internal borrowing of HRA capital receipts by the General Fund referred to above, and partly by utilising other General Fund reserves of £13,239,000. The latter is shown as unfunded capital expenditure in Appendix 1. However, the Council will need to borrow externally in 2018/19 to be able to fund its General Fund capital programme.
52. With regard to the use of direct revenue funding, the HRA contribution of £6,171,000 was higher than the revised budget by £991,000. The use of funds from the Major
53. Repairs Reserve was £922,000 lower as a result. However, there was a reduction in the Major Repairs Allowance transfer, which resulted an overall reduction in the in the Major Repairs balance to £11,693,000 as at 31 March 2018. On the other hand, no funds had to be withdrawn from the HRA Self-financing Reserve, so maintaining the balance at £12,720,000.

Resource Implications:

The 2017/18 Provisional Capital Outturn totalled £14,163,000 for General Fund assets, which represents an overall overspend of £525,000 on the revised budget. This comprises of overspends of £13,000; savings of £50,000; slippage of £799,000; brought forwards of £1,335,000; and other overspends of £26,000 funded from revenue and external sources.

The 2017/18 HRA Provisional Capital Outturn was £20,455,000, which represents an overall underspend of £2,659,000 on the revised budget. This includes overspends of £144,000;

savings of £355,000; slippage of £2,468,000; brought forwards of £15,000; and other overspends of £5,000 funded from the sale of a vehicle.

Provisional Outturn figures on Capital Loans totalled £83,000, which represents an underspend of £67,000, all of which is slippage.

Revenue Expenditure Charged to Capital under Statute (REFCuS) totalled £3,229,000. This represents an overall budget overspend of £7,000 including overspends of £37,000; and slippage of £30,000.

Legal and Governance Implications:

The Council's capital accounts have been prepared in accordance with the Chartered Institute of Public Finance and Accountancy (CIPFA)'s Code of Practice on Local Authority Accounting in the United Kingdom 2011.

Safer, Cleaner and Greener Implications:

The Council's Capital Strategy works to incorporate safer, greener and cleaner design concepts within all capital schemes. The capital programme also supports sustainable initiatives such as the new food and recycling system which was supported by the provision of new vehicles and equipment.

Consultation Undertaken:

Progress on the capital programme is monitored regularly by the Resources Select Committee and the Finance and Performance Management Cabinet Committee. Service Directors and spending control officers are also consulted throughout the year. In addition, consultation is undertaken with the Tenants and Leaseholders Federation and the Director of Communities on the HRA programme.

Background Papers:

The capital programme approved at Cabinet in February 2018 and working papers filed for External Audit purposes.

Equality Impact Assessment

1. Under s.149 of the Equality Act 2010, when making decisions, Epping District Council must have regard to the Public Sector Equality Duty, ie have due regard to:
 - eliminating unlawful discrimination, harassment and victimisation, and other conduct prohibited by the Act,
 - advancing equality of opportunity between people who share a protected characteristic and those who do not,
 - fostering good relations between people who share a protected characteristic and those who do not, including tackling prejudice and promoting understanding.
2. The characteristics protected by the Equality Act are:
 - age
 - disability
 - gender
 - gender reassignment
 - marriage/civil partnership
 - pregnancy/maternity
 - race
 - religion/belief
 - sexual orientation.
3. In addition to the above protected characteristics you should consider the cross-cutting elements of the proposed policy, namely the social, economic and environmental impact (including rurality) as part of this assessment. These cross-cutting elements are not a characteristic protected by law but are regarded as good practice to include.
4. The Equality Impact Assessment (EqIA) document should be used as a tool to test and analyse the nature and impact of either what we do or are planning to do in the future. It can be used flexibly for reviewing existing arrangements but in particular should enable identification where further consultation, engagement and data is required.
5. Use the questions in this document to record your findings. This should include the nature and extent of the impact on those likely to be affected by the proposed policy or change.
6. Where this EqIA relates to a continuing project, it must be reviewed and updated at each stage of the decision.
7. All **Cabinet, Council, and Portfolio Holder reports must be accompanied by an EqIA**. An EqIA should also be completed/reviewed at key stages of projects.
8. To assist you in completing this report, please ensure you read the guidance notes in the Equality Analysis Toolkit and refer to the following Factsheets:
 - Factsheet 1: Equality Profile of the Epping Forest District
 - Factsheet 2: Sources of information about equality protected characteristics
 - Factsheet 3: Glossary of equality related terms
 - Factsheet 4: Common misunderstandings about the Equality Duty
 - Factsheet 5: Frequently asked questions
 - Factsheet 6: Reporting equality analysis to a committee or other decision making body

Section 1: Identifying details

Your function, service area and team: **Finance**

If you are submitting this EqIA on behalf of another function, service area or team, specify the originating function, service area or team: **N/A**

Title of policy or decision: Provisional Capital Outturn 2017/18

Officer completing the EqIA: **Tel: 01992 564604 Email:tbrown@eppingforestdc.gov.uk**

Date of completing the assessment: **7th June 2018**

Section 2: Policy to be analysed

2.1 Is this a new policy (or decision) or a change to an existing policy, practice or project? **No**

2.2 Describe the main aims, objectives and purpose of the policy (or decision):

This report represents a financial summary of the projects within the Capital Outturn for 2017/18

What outcome(s) are you hoping to achieve (ie decommissioning or commissioning a service)?

It aims to provide financial information on the Council's capital investments for noting and to make recommendations to Council to approve amendments as necessary.

2.3 Does or will the policy or decision affect:

- service users
- employees
- the wider community or groups of people, particularly where there are areas of known inequalities?

No

Will the policy or decision influence how organisations operate?

No

2.4 Will the policy or decision involve substantial changes in resources?

The financial impacts are given in detail within the report.

2.5 Is this policy or decision associated with any of the Council's other policies and how, if applicable, does the proposed policy support corporate outcomes?

The report summarises decisions previously approved

Section 3: Evidence/data about the user population and consultation¹

As a minimum you must consider what is known about the population likely to be affected which will support your understanding of the impact of the policy, eg service uptake/usage, customer satisfaction surveys, staffing data, performance data, research information (national, regional and local data sources).

3.1	What does the information tell you about those groups identified? N/A – this report focuses on financial provision. Any equalities impact assessment for individual projects or programmes is detailed on the respective reports.
3.2	Have you consulted or involved those groups that are likely to be affected by the policy or decision you want to implement? If so, what were their views and how have their views influenced your decision? N/A – see above.
3.3	If you have not consulted or engaged with communities that are likely to be affected by the policy or decision, give details about when you intend to carry out consultation or provide reasons for why you feel this is not necessary: N/A – see above.

Section 4: Impact of policy or decision

Use this section to assess any potential impact on equality groups based on what you now know.

Description of impact	Nature of impact Positive, neutral, adverse (explain why)	Extent of impact Low, medium, high (use L, M or H)
Age	Neutral. Any impacts on different age groups have been taken into account when the individual schemes were originally approved. As this report does not represent a formative stage in the approval of capital projects, it does not have any impact.	Low
Disability	Neutral for the reasons given above.	Low
Gender	Neutral for the reasons given above.	Low
Gender reassignment	Neutral for the reasons given above.	Low
Marriage/civil partnership	Neutral for the reasons given above.	Low
Pregnancy/maternity	Neutral for the reasons given above.	Low
Race	Neutral for the reasons given above.	Low
Religion/belief	Neutral for the reasons given above.	Low
Sexual orientation	Neutral for the reasons given above.	Low

Section 5: Conclusion

		Tick Yes/No as appropriate	
5.1	Does the EqlA in Section 4 indicate that the policy or decision would have a medium or high adverse impact on one or more equality groups?	No X	
		Yes	If ' YES ', use the action plan at Section 6 to describe the adverse impacts and what mitigating actions you could put in place.

Section 6: Action plan to address and monitor adverse impacts

What are the potential adverse impacts?	What are the mitigating actions?	Date they will be achieved.

Section 7: Sign off

**I confirm that this initial analysis has been completed appropriately.
(A typed signature is sufficient.)**

Signature of Head of Service: Peter Maddock

Date: 8th June 2018

Signature of person completing the EqIA: Teresa Brown

Date: 8th June 2018**Advice**

Keep your director informed of all equality & diversity issues. We recommend that you forward a copy of every EqIA you undertake to the director responsible for the service area. Retain a copy of this EqIA for your records. If this EqIA relates to a continuing project, ensure this document is kept under review and updated, eg after a consultation has been undertaken.

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**CAPITAL PROGRAMME
2017/18 (PROVISIONAL)**

Appendix 1

	2017/18		
	Revised	Actual	(Under) / Overspends
	£000	£000	£000
EXPENDITURE			
Communities Capital	159	87	-72
Neighbourhoods Capital	12,805	13,558	753
Resources Capital	674	518	-156
General Fund Capital	13,638	14,163	525
Total HRA	23,114	20,455	-2,659
Total Capital Programme	36,752	34,618	-2,134
Total Capital Loans	150	83	-67
Total Revenue Expenditure Financed from Capital Under Statute	3,222	3,229	7
TOTAL CAPITAL FUNDED PROGRAMME	40,124	37,930	-2,194
FUNDING			
Central Government Grant	75	74	-1
Private Funding	591	714	123
Total Grants	666	788	122
General Fund	16,385	13,239	-3,146
Total Borrowing/Unfunded Expenditure	16,385	13,239	-3,146
General Fund	554	4,108	3,554
HRA	4,787	4,242	-545
Total Capital Receipts	5,341	8,350	3,009
Direct GF Revenue Funding	62	47	-15
Direct HRA Revenue Funding	5,180	6,171	991
HRA Major Repairs Reserve	10,257	9,335	-922
HRA Self-Financing Reserve	2,233	0	-2,233
Total Revenue Contributions	17,732	15,553	-2,179
TOTAL FUNDING	40,124	37,930	-2,194

**GENERAL FUND CAPITAL PROGRAMME
2017/18 (PRVISIONAL)**

Appendix 2

Communities

	2017/18			2017/18				2018/19
	Revised	Actual	(Under) / Overspends	(Savings) / Overspends	Carry Forwards	Brought Forward	Other	Virements
	£000	£000	£000	£000	£000	£000	£000	£000
CCTV Systems	45	46	1		-2		3	
Carpark CCTV Systems	74	28	-46		-46			
Housing Estate Parking	40	13	-27		-27			
Total	159	87	-72	0	-75	0	3	

Neighbourhoods

	2017/18			2017/18				2018/19
	Revised	Actual	(Under) / Overspends	(Savings) / Overspends	Carry Forwards	Brought Forward	Other	Virements
	£000	£000	£000	£000	£000	£000	£000	£000
Town Mead Depot	15	38	23			23		
Leisure Centres	5,519	6,786	1,267			1,267		
Glyn Hopkin Expansion	1,042	1,042	0					
EFDC Shopping Park	6,079	5,620	-459		-459			
Waste Management Equipment	28	0	-28	-28				
Grounds Maintenance Vehicles	46	19	-27		-29		2	
Flood Allieviation Scheme	5	5	0					
Car Park Schemes	71	48	-23		-23			
Total	12,805	13,558	753	-28	-511	1,290	2	

Resources

	2017/18			2017/18				2018/19
	Revised	Actual	(Under) / Overspends	(Savings) / Overspends	Carry Forwards	Brought Forward	Other	Virements
	£000	£000	£000	£000	£000	£000	£000	£000
Transformation Projects	120	109	-11		-11			
Active Planned Maint. Projects	190	45	-145	-7	-145	7		-68
On-hold Planned Maint. Projects	0	2	2			2		68
Works on Industrial Units	30	59	29	13	-5		21	
ICT General Schemes	157	146	-11		-18	7		-17
ICT Strategy Implementation	157	152	-5		-34	29		17
HR / Payroll System	20	5	-15	-15				
Total	674	518	-156	-9	-213	45	21	0

Total General Fund Programme

13,638	14,163	525	-37	-799	1,335	26	0
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HOUSING REVENUE ACCOUNT CAPITAL PROGRAMME 2017/18 ACTUAL (PROVISIONAL)

Housing Revenue Account	2017/18			2017/18				2018/19
	Revised	Actual	(Under) / Overspends	(Savings) / Overspends	Carry Forwards	Brought Forward	Other	Virements
	£000	£000	£000	£000	£000	£000	£000	£000
Housing Developments	12,782	10,880	-1,902		-1,902			
Housing Conversions	74	59	-15	-15				
Heating and Rewiring	2,887	2,535	-352		-274		-78	-95
Windows, Doors and Roofing	2,194	1,923	-271		-63		-208	335
Other Planned Maintenance	186	58	-128	-128				-111
Kitchen & Bathrooms	2,380	2,168	-212	-212				-549
Garages & Environment Works	336	210	-126		-126			-65
Structural Schemes	1,573	1,523	-50		-47		-3	653
Disabled Adaptations	450	594	144	144				37
Other Repairs & Maintenance	235	232	-3		-3			
Service Enhancements	154	98	-56		-45		-11	-46
Replacement Housing Vehicles	158	155	-3		-8		5	
Oakwood Hill Depot Extension	5	20	15			15		
Work on HRA Leasehold Flats	-300	0	300				300	
Total HRA Programme	23,114	20,455	-2,659	-211	-2,468	15	5	159

CAPITAL LOANS 2017/18 ACTUAL (PROVISIONAL)

Capital Loans	2017/18			2017/18				2018/19
	Revised	Actual	(Under) / Overspends	(Savings) / Overspends	Carry Forwards	Brought Forward	Other	Virements
	£000	£000	£000	£000	£000	£000	£000	£000
Private Sector Housing Loans	150	83	67		-67			
Total Capital Loans	150	83	67	0	-67	0	0	0

REVENUE EXPENDITURE FINANCED FROM CAPITAL UNDER STATUTE 2017/18 ACTUAL (PROVISIONAL)

REFCuS	2017/18			2017/18				2018/19
	Revised	Actual	(Under) / Overspends	(Savings) / Overspends	Carry Forwards	Brought Forward	Other	Virements
	£000	£000	£000	£000	£000	£000	£000	£000
Sec. 278 Works, Shopping Park	3,192	3,206	14	14				
Parking & Traffic Schemes	30	0	-30		-30			
Jack Silley Pavilion	0	23	23	23				
Total REFCuS	3,222	3,229	7	37	-30	0	0	0

**CAPITAL RECEIPTS
2017/18 ACTUAL (PROVISIONAL)**

	2017/18		
	Revised	Actual	(Under) / Overspends
	£000	£000	£000
Receipts Generation			
Housing Revenue Account	5,571	7,680	2,109
General Fund	823	1,247	424
Total Receipts	6,394	8,927	2,533

Receipts Analysis

Usable Receipts	1,683	2,745	1,062
Available for Replacement Homes	3,697	5,605	1,908
Payment to Govt Pool	1,014	577	-437
Total Receipts	6,394	8,927	2,533

Usable Capital Receipts Balance

Opening Balance	0	0	0
Usable Receipt Arising	5,341	8,350	3,009
Use of Other Capital Receipts	-5,341	-8,350	-3,009
Closing Balance	0	0	0

**MAJOR REPAIRS RESERVE
2017/18 ACTUAL (PROVISIONAL)**

	2017/18		
	Revised	Actual	(Under) / Overspends
	£000	£000	£000
Opening Balance	12,704	12,704	0
Major Repairs Allowance	9,746	8,324	-1,422
Use of Major Repairs Reserve	-10,257	-9,335	922
Closing Balance	12,193	11,693	-500

**HRA SELF FINANCING RESERVE
2017/18 ACTUAL (PROVISIONAL)**

	2017/18		
	Revised	Actual	(Under) / Overspends
	£000	£000	£000
Opening Balance	12,720	12,720	0
Contributions from HRA	0	0	0
Use of Self Financing Reserve	-2,233	0	2,233
Closing Balance	10,487	12,720	2,233

Report to the Finance Performance Management Cabinet Committee



**Epping Forest
District Council**

Report reference: **FPM-006-2018/19**

Date of meeting: **21 June 2018**

Portfolio: Finance

Subject: Risk Management – Corporate Risk Register

Responsible Officer: Edward Higgins (01992 564606).

Democratic Services: Rebecca Perrin (01992 564532).

Recommendations/Decisions Required:

- (1) To agree the updated Risk 1;
- (2) To agree updated existing controls for Risk 9;
- (3) To agree wording and scoring for new risk 12 - Waste Management;
- (4) To consider whether there are any new risks that are not on the current Corporate Risk Register; and
- (5) To agree that the amended Corporate Risk Register be recommended to Cabinet for approval

Executive Summary:

The Corporate Risk Register was considered by the Risk Management Group on 22 May 2018 and Management Board on 6 June 2018. The reviews identified updates for the current risks and one new risk has been added.

Reasons for Proposed Decision:

It is essential that the Corporate Risk Register is regularly reviewed and kept up to date.

Other Options for Action:

Members may suggest new risks for inclusion or changes to the scoring of existing risks.

Report:

1. The Corporate Risk Register was reviewed by the Risk Management Group on 22 May 2018 and by Management Board on 6 June 2018. Amendments have been identified and incorporated into the register (Appendix 1).
2. Risk 1 Local Plan – The risk has been extensively updated to clearly reflect the Vulnerability, Trigger and Action Plan.
3. The Vulnerability advises the need for the Local Plan to be submitted within six months of

the publication of the revised National Planning Policy Framework (NPPF), which is expected in Summer 2018. Missing this timescale will result in the Council having to use the standard methodology, this would see a much increased housing target, around 923 per annum, rather than the 518 homes currently identified as the District's housing requirement.

4. The Trigger advises that the Council is awaiting the decision on a claim for judicial review, which is holding up the submission of the Local Plan Submission Version (LPSV). The outcome of the review could result in the Council having to take the LPSV back to full Council and a further Regulation 19 publication prior to submission.
5. The Action Plan advises the current controls and actions to address the risk and also the required further management actions.
6. Risk 9 Safeguarding – The existing controls have been updated to advise the development of a bespoke EFDC e-learning training resource which all EFDC staff and Members will be required to undertake. The update also advises of a bespoke face to face training session. Both these training developments will be rolled out during summer 2018.
7. New Risk 12 Waste Management – A new Waste Management risk has been added to the Corporate Risk Register. The risk centres on the ability of the Council's partner waste contractor securing profitable outlets for recycling materials processed through the Material Recycling Facility (MRF) and the possible reduction in income. The trigger for the risk been brought about due to the Chinese government banning the import of MRF paper, which has resulted in the saturation in the commodity market. Management Board are to continue monitoring the costs and market fluctuations. The new risk has been scored C2 (Medium Likelihood/Moderate Impact).
8. Members are now asked to consider the attached updated Corporate Risk Register and whether the risks listed are scored appropriately and whether there are any additional risks that should be included.

Resource Implications:

No additional Resource requirements

Legal and Governance Implications:

The Corporate Risk Register is an important part of the Council's overall governance arrangements and that is why this Committee considers it on a regular basis.

Safer, Cleaner and Greener Implications:

None

Consultation Undertaken:

The Risk Management Group and management Board we involved in the process.

Background Papers:

None

Risk Management:

If the Corporate Risk Register was not regularly reviewed and updated a risk that threatened the achievement of corporate objectives might either not be managed or be managed inappropriately.

Equality Analysis:

The Equality Act 2010 requires that the Public Sector Equality Duty is actively applied in decision-making. This means that the equality information provided to accompany this report is essential reading for all members involved in the consideration of this report. The equality information is provided as an appendix to the report.

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Equality Impact Assessment

1. Under s.149 of the Equality Act 2010, when making decisions, Epping District Council must have regard to the Public Sector Equality Duty, ie have due regard to:
 - eliminating unlawful discrimination, harassment and victimisation, and other conduct prohibited by the Act,
 - advancing equality of opportunity between people who share a protected characteristic and those who do not,
 - fostering good relations between people who share a protected characteristic and those who do not, including tackling prejudice and promoting understanding.
2. The characteristics protected by the Equality Act are:
 - age
 - disability
 - gender
 - gender reassignment
 - marriage/civil partnership
 - pregnancy/maternity
 - race
 - religion/belief
 - sexual orientation.
3. In addition to the above protected characteristics you should consider the cross-cutting elements of the proposed policy, namely the social, economic and environmental impact (including rurality) as part of this assessment. These cross-cutting elements are not a characteristic protected by law but are regarded as good practice to include.
4. The Equality Impact Assessment (EqIA) document should be used as a tool to test and analyse the nature and impact of either what we do or are planning to do in the future. It can be used flexibly for reviewing existing arrangements but in particular should enable identification where further consultation, engagement and data is required.
5. Use the questions in this document to record your findings. This should include the nature and extent of the impact on those likely to be affected by the proposed policy or change.
6. Where this EqIA relates to a continuing project, it must be reviewed and updated at each stage of the decision.
7. All **Cabinet, Council, and Portfolio Holder reports must be accompanied by an EqIA**. An EqIA should also be completed/reviewed at key stages of projects.
8. To assist you in completing this report, please ensure you read the guidance notes in the Equality Analysis Toolkit and refer to the following Factsheets:
 - Factsheet 1: Equality Profile of the Epping Forest District
 - Factsheet 2: Sources of information about equality protected characteristics
 - Factsheet 3: Glossary of equality related terms
 - Factsheet 4: Common misunderstandings about the Equality Duty
 - Factsheet 5: Frequently asked questions
 - Factsheet 6: Reporting equality analysis to a committee or other decision making body

Section 1: Identifying details

Your function, service area and team: Insurance & Risk Management Officer, Accountancy, Resources

If you are submitting this EqlA on behalf of another function, service area or team, specify the originating function, service area or team:

Title of policy or decision: Risk Management – Corporate Risk Register

Officer completing the EqlA: Tel: 01992 564606 Email: ehiggins@eppingforestdc.gov.uk

Date of completing the assessment: 08/06/2018

Section 2: Policy to be analysed

2.1	Is this a new policy (or decision) or a change to an existing policy, practice or project? No
2.2	Describe the main aims, objectives and purpose of the policy (or decision): To ensure the Corporate Risk Register is regularly reviewed and updated. What outcome(s) are you hoping to achieve (ie decommissioning or commissioning a service)? To ensure the Council achieves the corporate objectives.
2.3	Does or will the policy or decision affect: <ul style="list-style-type: none">• service users - No• employees - No• the wider community or groups of people, particularly where there are areas of known inequalities? - No Will the policy or decision influence how organisations operate? No
2.4	Will the policy or decision involve substantial changes in resources? No
2.5	Is this policy or decision associated with any of the Council's other policies and how, if applicable, does the proposed policy support corporate outcomes? The decision ensures that the Council remains aware of the Corporate Risks and associated mitigation.

Section 3: Evidence/data about the user population and consultation¹

As a minimum you must consider what is known about the population likely to be affected which will support your understanding of the impact of the policy, eg service uptake/usage, customer satisfaction surveys, staffing data, performance data, research information (national, regional and local data sources).

3.1	What does the information tell you about those groups identified? No groups have been identified as being affected by the decision to update the Corporate Risk Register.
3.2	Have you consulted or involved those groups that are likely to be affected by the policy or decision you want to implement? If so, what were their views and how have their views influenced your decision? No
3.3	If you have not consulted or engaged with communities that are likely to be affected by the policy or decision, give details about when you intend to carry out consultation or provide reasons for why you feel this is not necessary: The purpose of the report is to update the Corporate Risk Register, consultation of individual groups will not be required.

Section 4: Impact of policy or decision

Use this section to assess any potential impact on equality groups based on what you now know.

Description of impact	Nature of impact Positive, neutral, adverse (explain why)	Extent of impact Low, medium, high (use L, M or H)
Age	Neutral – The decision will not impact	L
Disability	Neutral – The decision will not impact	L
Gender	Neutral – The decision will not impact	L
Gender reassignment	Neutral – The decision will not impact	L
Marriage/civil partnership	Neutral – The decision will not impact	L
Pregnancy/maternity	Neutral – The decision will not impact	L
Race	Neutral – The decision will not impact	L
Religion/belief	Neutral – The decision will not impact	L
Sexual orientation	Neutral – The decision will not impact	L

Section 5: Conclusion

		Tick Yes/No as appropriate	
5.1	Does the EqlA in Section 4 indicate that the policy or decision would have a medium or high adverse impact on one or more equality groups?	No <input checked="" type="checkbox"/>	
		Yes <input type="checkbox"/>	If ' YES ', use the action plan at Section 6 to describe the adverse impacts and what mitigating actions you could put in place.

Section 6: Action plan to address and monitor adverse impacts

What are the potential adverse impacts?	What are the mitigating actions?	Date they will be achieved.

Section 7: Sign off

**I confirm that this initial analysis has been completed appropriately.
(A typed signature is sufficient.)**

Signature of Head of Service:

Date:

Signature of person completing the EqIA:

Date:

Advice

Keep your director informed of all equality & diversity issues. We recommend that you forward a copy of every EqIA you undertake to the director responsible for the service area. Retain a copy of this EqIA for your records. If this EqIA relates to a continuing project, ensure this document is kept under review and updated, eg after a consultation has been undertaken.

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Epping Forest District Council Corporate Risk Register

Date: 21 June 2018

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Appendix 1	Risk Profile	6
Appendix 2	Corporate Risk Register /Action Plans	7 - 21

1. Introduction

A strategic risk management 'refresh' exercise was conducted on 15th May 2013 with assistance from Zurich Risk Engineering. This exercise was an opportunity for the Management Board to refresh (or update) through identification, analysis and prioritisation those risks that may affect the ability of the Council to achieve its strategic objectives and Corporate Plan. In doing so, the organisation is recognising the need to sustain risk management at the highest level.

The refresh exercise involved a workshop with Management Board to identify new business risk areas and to update and re-profile important risks from the existing corporate risk register.

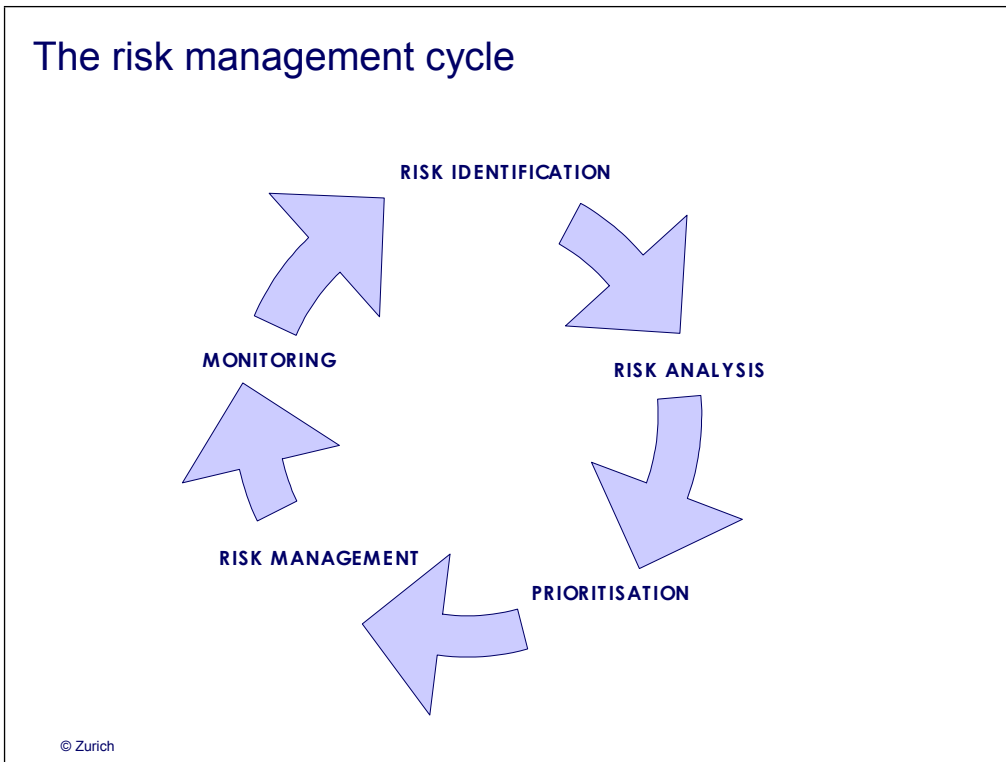
In total 8 strategic risks were profiled at the workshop and during the workshop, each risk was discussed to ensure common agreement and understanding of its description and then prioritised on a matrix. The risk matrix measured each risk for its likelihood and its impact in terms of its potential for affecting the ability of the organisation to achieve its objectives.

For the risks that were assessed with higher likelihood and impact, the group validated the risk scenarios and determined actions to manage them, including assessing the adequacy of existing actions and identifying the need for further actions in order to move the risk down the matrix.

Management Board agreed a timescale for re-visiting these risks in order to assess if they are still relevant and to identify new scenarios. Risks in the red zone will be monitored on a monthly basis and those in the amber zone on a quarterly basis.

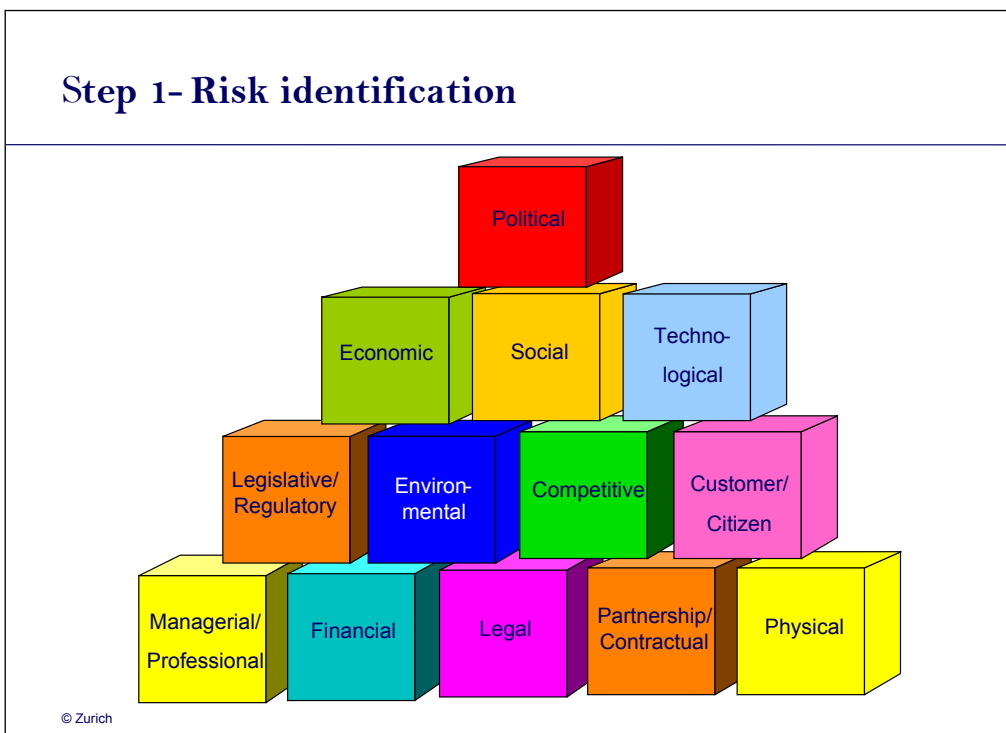
The following report outlines the process utilised by Zurich Risk Engineering and the results achieved.

2. The Process



Risk identification

The first of five stages of the risk management cycle requires risk identification. This formed the initial part of the workshop. In doing so the following 13 categories of risk were considered.



Risk analysis

During the workshop, the identified risks were discussed and framed into a risk scenario format, containing risk cause and consequence elements, with a 'trigger' also identified. This format ensured that the full nature of the risk was considered and also helped with the prioritisation of the risks.

Risk prioritisation

The discussion resulted in 8 risk scenarios being agreed (Appendix 2) and these were then assessed for impact and likelihood and plotted onto a matrix (Appendix 1). The likelihood of the risks was measured as being 'very high', 'high', 'medium', or 'low/very low'. The impact, compared against the key objectives and Corporate Plan was measured as being 'major', 'moderate', 'minor' or 'insignificant'.

Once all risks had been plotted the matrix was overlaid with red, amber and green filters, with those risks in the red area requiring further particular scrutiny in the short-term, followed by those in the amber area.

Risk management and monitoring

The next stage is to monitor the revised management action plans. These plans frame the risk management actions that are required. They map out the target for each risk i.e. to reduce the likelihood, impact or both. They also include targets and critical success factors to allow the risk management action to be monitored.

A risk owner has been identified for each risk. It is vital that each risk should be owned by a member of Management Board to ensure that there is high level support, understanding and monitoring of the work that is required as part of the plans. Risks should also be reviewed as part of the business planning process, in order to assess if they are still relevant and to identify new issues.

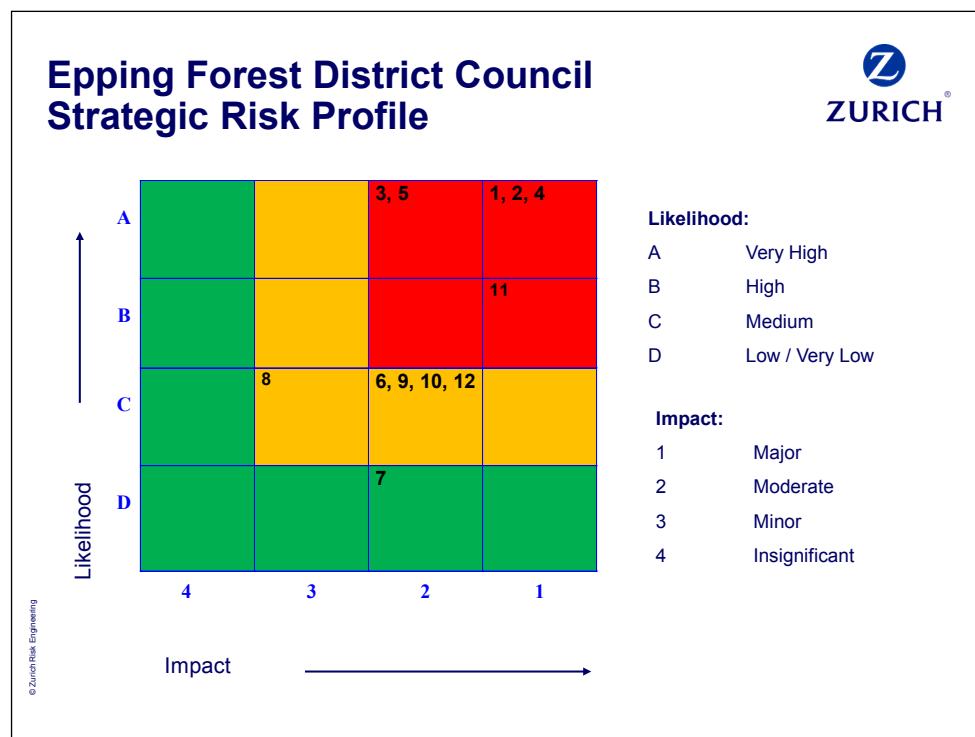
The monitoring of these action plans takes place at Corporate Governance Group, Management Board and the Risk Management Group. The action plans are also reported to Members quarterly.

As part of the regular review and reporting an additional risk on Safeguarding was added to the register in January 2014. The most recent addition was a risk covering various aspects of Housing Capital Finance and this was added in June 2015.

Appendix 1 – Risk Profile

Risk profile

During the workshop, 8 risks were identified and framed into scenarios. The results are shown on the following risk profile.



Appendix 2 details all of the above risks.

It is important that an action plan element is written for each of the risks, with particular focus on those with the highest priority, as it is this which will allow them to be monitored and successfully managed down.

List of current Corporate Risks

Risk number	Short name
1	Local plan
2	Strategic sites
3	Welfare reform
4	Finance – income
5	Economic development
6	Data/ information
7	Business continuity
8	Partnerships
9	Safeguarding
10	Housing Capital
11	Transformation Programme
12	Waste Management

Appendix 2 – Corporate Risk Register and Action Plans

Risk No 1	Local Plan	A1		
Vulnerability	Trigger	Consequence	Risk Owner	
<p>On-going changes to the Planning system increase the importance of having an up to date adopted Local Plan to avoid the risk of intervention by the Secretary of State. On 16 November 2017 the Secretary Statement announced the commencement of intervention in the plan making arrangements of 15 local planning authorities that had failed to progress a Local Plan to the stage of publication</p> <p>A failure to submit the Local Plan to the Secretary of State for Independent Examination within 6 months of the date of publication of the revised National Planning Policy Framework (NPPF) (anticipated in Summer 2018) will result in the Council needing to use the standard methodology for the assessment of housing need – using this methodology it is likely that the housing target will be as set out in the consultation (i.e 923 homes per annum) rather than the 518 homes currently identified as the District’s housing requirement. Any delay will also require the Council to undertake a significant amount of further work. In addition the Government is proposing to introduce a new Housing Delivery Test which without an adopted Local Plan the Council will not be able to meet.</p> <p>Planning policy recruitment and retention issues. Not considering alternative options of delivering work i.e outsourcing.</p>	<p>The Council is currently awaiting the decision on a claim for judicial review which is holding up the submission of the Local Plan Submission Version (LPSV) for independent examination. This could result in the Council having to take the LPSV back to full Council and a further Regulation 19 publication prior to submission.</p> <p>Inability to fill vacancies.</p>	<p>Plan not “sound”, leading to further delay, wasted resources, and vulnerability to planning appeal decisions and development in the Green Belt.</p> <p>As above</p> <p>As above</p> <p>Significant diversion of professional resources to appeals. Risk of costs awards against Council.</p> <p>Delays in achieving timetable.</p>	<p>Derek Macnab</p>	

Risk No 1 Local Plan – Action Plan

Existing Controls/actions to address risk	Effectiveness of controls/actions	Required further management action	Responsibility for action	Critical success factors and measures	Review frequency	Key date
Local Plan Submission Version 2017 Agreed by Council 14 December 2017 and published between 18 December 2017 and 29 January 2018.	Key milestone to achieve new LDS. Revised LDS may be required depending on JR outcome.	Collation of Representations and plan was ready to be submitted to Planning Inspectorate by 31 March 2018. Submission held up by JR.	Derek Macnab	Future adherence to project plan.	MB review 6 weekly	None – process ongoing.
Local Development Scheme (LDS) revised July 2018.	Local Development Scheme adopted by Cabinet July 2018.	Review progress against key milestones. Planning Inspectorate (PINS) have advised that an updated LDS is not required if Plan is submitted shortly.	Derek Macnab	Adherence to revised LDS	MB review 6 weekly	Submit as soon as possible after JR decision

Risk No 1 Local Plan – Action Plan						
Existing Controls/actions to address risk	Effectiveness of controls/actions	Required further management action	Responsibility for action	Critical success factors and measures	Review frequency	Key date
<p>Systematic approach to Duty to Co-operate, engaging public bodies and developing Memorandum of Understanding (MoU) with key councils in the Strategic Housing Market Area (SHMA).</p>	<p>Regular reports at officer and member level through the Cooperation for Sustainable Development Group. Draft Employment MoU now agreed.</p>	<p>Important that key decisions do not precede Duty to Co-operate i.e. “fait accompli”- Group is exploring additional items to be included on discussion agenda.</p>	<p>Derek Macnab</p>	<p>Submitted plan passes legal test of Duty to Co-operate.</p>	<p>MB review six weekly</p>	<p>Officer Meetings – monthly now underway.</p> <p>Duty to Co-operate” Member meetings held regularly.</p>
<p>Development of mitigation strategy as set out in the MoU regarding the effect of development on Epping Forest SAC.</p>	<p>Regular meetings now held with key stakeholders to develop mitigation strategy.</p>	<p>Awaiting information on projects to support the mitigation strategy from City of London (Epping Forest Conservators)</p>	<p>Derek Macnab</p>	<p>Interim mitigation strategy in place pending a full agreed strategy.</p>		<p>Agreed strategy by the end of 2018.</p>
<p>Consultants in place to support project management, resource planning, Sustainability Assessment, transport modelling, master planning..</p>	<p>Staff cannot be prevented from leaving. Exit interviews should reveal any specific patterns. Market is picking up, making recruitment more difficult. EFDC has offered market supplements on key posts to offer competitive salaries in a tight market.</p>	<p>Ongoing review of strategy by senior planners and Management Board. Scrutiny Function to be undertaken by Neighbourhood Select Committee.</p>	<p>Derek Macnab</p>	<p>No delays to timetable due to staffing gaps or lack of critical skills</p>		

Risk No 2 Strategic Sites A1						
Vulnerability		Trigger		Consequence		Risk Owner
<p>The Council has a number of Strategic sites which it needs to make the right decisions about and then deliver on those decisions.</p> <p>One key individual is driving forward the projects.</p>		<p>Not maximising the opportunity of the strategic sites either through decisions or delivery.</p> <p>Loss of key individual</p>		<ul style="list-style-type: none"> Financial viability of Council harmed Lack of economic development and job creation External criticism <ul style="list-style-type: none"> Project delayed or mismanaged 		Derek Macnab
Existing Controls/actions to address risk	Effectiveness of controls/actions	Required further management action	Responsibility for action	Critical success factors and measures	Review frequency	Key date
<p>Work on strategic sites is co-ordinated through a dedicated Cabinet Committee.</p> <p>Page 142</p>	<p>Work is progressing on developing a number of sites:</p> <ol style="list-style-type: none"> Winston Churchill, negotiations taking place with potential tenants for retail space St Johns, negotiations are ongoing with Epping Town Council; Langston Road, in discussion with retailers as one or two units still to let; Waltham Abbey Leisure Centre; leisure centres are now managed by Places for People and they are developing sites. Construction is progressing to plan; Pyrls Lane Nursery, July Cabinet agreed disposal strategy. Marketing began January 2018. 	<p>Complete letting of retail space.</p> <p>Relocation of Housing depot to Oakwood Hill depot in progress.</p> <p>Complete letting of last few units.</p> <p>Monitor construction of new centre. Currently on programme.</p> <p>Nursery Services to re-locate to Town Mead.</p>	Derek Macnab	Development of strategic sites completed in accordance with Cabinet decisions.	Monthly	<p>None</p> <p>November 2018</p>

Risk No 3 Welfare Reform A2						
Vulnerability		Trigger	Consequence			Risk Owner
<p>The government has pledged to make substantial savings from the overall welfare bill. This will require a major reform of the welfare system which is likely to have serious impacts on the Council and the community. This includes Universal Credit, changes to Council Tax and other benefits and direct payments to tenants.</p>		<p>Welfare reform changes have a detrimental effect on the Council and community</p>	<ul style="list-style-type: none"> • Tenants no longer able to afford current/new tenancies. • Increase in evictions and homelessness • Increased costs of temporary accommodation • Unable to secure similar level of income due to payment defaults • Increase in rent arrears • Public dissatisfaction • Criticism of the Council for not mitigating the effects for residents. 			<p>Alan Hall</p>
Existing Controls /actions to address risk	Effectiveness of controls/actions	Required further management action	Responsibility for action	Critical success factors and measures	Review frequency	Key date
<p>Joint Benefits and Housing working group established. Mitigation action plan developed.</p>	<p>Two thirds of the actions have been implemented.</p>	<p>Working Group to continue and amend mitigation action plan as necessary.</p> <p>To be reviewed when the full service is implemented.</p>	<p>Alan Hall</p>	<p>A smooth implementation of welfare reforms.</p> <p>Minimise number and cost of redundancies.</p>	<p>Monthly</p>	<p>31 December 2018.</p>

Risk No 4 Finance Income A1						
Vulnerability		Trigger	Consequence			Risk Owner
<p>The Government are consulting on significant changes in responsibilities and financing. Despite four year settlements being in place further reductions still likely.</p> <p>A large number of rating appeals have been received and the outcome of these is uncertain.</p> <p>Welfare reform may require substantial change to the calculation and administration of benefits with a likely reduction in funding received.</p> <p>The medium term financial strategy requires substantial net CSB reductions over three years.</p>		<p>Unable to secure required level of income due to reduced demand for services, changes in legislation or adverse change in funding mechanisms.</p>	<ul style="list-style-type: none"> • Council unable to meet budget requirements • Staffing and service level reductions • Increase Council Tax • Increase in charges • Greater use of reserves if required net savings not achieved • Higher level of saving in subsequent years. 			Peter Maddock
Existing Controls /actions to address risk	Effectiveness of controls/actions	Required further management action	Responsibility for action	Critical success factors and measures	Review frequency	Key date
<p>Monitoring of key income streams and NDR tax base. Savings opportunities pursued through service reviews and corporate restructure.</p>	<p>Effective to date as budgets have been achieved that meet the financial targets set by Members.</p>	<p>Update Medium Term Financial Strategy as announcements are made on changes to central funding and welfare.</p> <p>Continue to pursue opportunities to reduce net spending.</p>	Peter Maddock	<p>Savings targets achieved with net expenditure reductions over the medium term as part of a structured plan.</p>	Monthly	28 February 2019, budget to Council.

Risk No 5 Economic Development A2						
Vulnerability		Trigger	Consequence			Risk Owner
Economic development and employment is very important, particularly in the current economic climate. The Council needs to be able to provide opportunities for economic development and employment (especially youth employment) in the District.		Council performs relatively poorly compared to other authorities.	<ul style="list-style-type: none"> • Unable to secure sufficient opportunities • Local area and people lose out • Insufficient inward investment • Impact on economic vitality of area • Loss of revenue 			Derek Macnab
Existing Controls/actions to address risk	Effectiveness of controls/actions	Required further management action	Responsibility for action	Critical success factors and measures	Review frequency	Key date
Members have agreed the key objectives to be delivered by the Economic Development Strategy. Work on final strategy has paused pending outcome of further evidence work e.g. Employment/Visitor Economy being undertaken as part of the Local Plan. Economic Development Team fully staffed.	Too early to determine effectiveness.	Amend and update following consultation on Local Plan.	Derek Macnab	Growth in NDR tax base and employment opportunities. Council to be viewed as punching above its weight.	Monthly	None

Risk No 6 Data / Information C2						
Vulnerability		Trigger	Consequence			Risk Owner
The Authority handles a large amount of personal and business data. Either through hacking or carelessness, security of the data could be compromised.		Data held by the Council ends up in inappropriate hands.	<ul style="list-style-type: none"> • Breach of corporate governance • Increased costs and legal implications • Reputation damaged 			Simon Hill
Existing Controls/actions to address risk	Effectiveness of controls/actions	Required further management action	Responsibility for action	Critical success factors and measures	Review frequency	Key date
<p>Updated Data Protection policy agreed by Corporate Governance Group and rolling out through meta-compliance.</p> <p>Data Protection formed part of Member induction from May 2014, with requirement to confirm acceptance of the Council's DP policy.</p> <p>Consolidation of Data Protection and Freedom of Information work in one area.</p> <p>Security Officer is continually monitoring situation and potential risks. Most systems have in built controls to prevent unauthorised access.</p> <p>Controls in systems have been strengthened in response to specific occurrences.</p> <p>New system for handling F.O.I. requests now implemented.</p>	Generally effective to date, with no significant lapses so far in 2018/19.	<p>Update F.O.I. publication scheme and guide to information.</p> <p>Data sharing and fair processing notices to be reviewed and standardised.</p> <p>Maintain GCSx compliance and system controls.</p> <p>A working group is meeting monthly to ensure GDPR compliance.</p>	Simon Hill	<p>Continued security of personal data held by the Council in accordance with the Data Protections Act 1998.</p> <p>No criticism from the ICO over how requests are handled.</p> <p>No data loss or system downtime due to unauthorised access of EFDC systems or data.</p>	Quarterly	None

Risk No 7 Business Continuity D2						
Vulnerability		Trigger	Consequence			Risk Owner
<p>The Council is required to develop and implement robust Business Continuity Plans in line with the requirements of the Civil Contingencies Act.</p> <p>Following the re-organisation plans will need to be updated and changes in responsibilities confirmed.</p>		<p>Unable to respond effectively to a business continuity incident (e.g. IT virus/flu pandemic)</p>	<ul style="list-style-type: none"> • Services disrupted / Loss of service • Possible loss of income • Staff absence • Hardship for some of the community • Council criticised for not responding effectively 			Derek Macnab
Existing Controls/actions to address risk	Effectiveness of controls/actions	Required further management action	Responsibility for action	Critical success factors and measures	Review frequency	Key date
<p>Most services already have business continuity plans in place and a separate flu pandemic plan has been developed.</p> <p>The Corporate Plan has been updated and adopted.</p>	<p>The effectiveness of controls is assessed periodically through test and exercises</p>	<p>Guidance to be issued to services on updating plans.</p> <p>Arrange periodic tests and exercises.</p>	Derek Macnab	<p>Having plans in place which are proved fit for purpose either by events or external scrutiny.</p>	Quarterly	None

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Risk No 8 Partnerships C3						
Vulnerability		Trigger	Consequence			Risk Owner
<p>The Council is involved in a plethora of multi agency partnerships e.g. LSP - LEP, and these have a variety of governance arrangements.</p> <p>Localism act may cause transfer of Council services to providers with governance issues.</p>		<p>Key partnership fails or services provided via arrangements lacking adequate governance.</p>	<ul style="list-style-type: none"> Relationships with other bodies deteriorate Claw back of grants Unforeseen accountabilities and liabilities for the Council Censure by audit/inspection Adverse impact on performance 			<p>Alan Hall</p>
Existing Controls/actions to address risk	Effectiveness of controls/actions	Required further management action	Responsibility for action	Critical success factors and measures	Review frequency	Key date
<p>Active participation in key partnerships by appropriate officers/Members.</p> <p>Structured reporting back to designated Select Committee.</p> <p>Members can request representatives on outside bodies to report to Full Council.</p>	<p>No significant issues to date.</p> <p>Internal Audit conducted an audit of partnerships and gave a rating of substantial assurance.</p>	<p>Continue existing monitoring procedures for current partnerships and construct appropriate arrangements for any new partnerships.</p> <p>Service areas need to ensure their own risk registers cover any significant partnerships they are involved with.</p>	<p>Alan Hall</p>	<p>No significant impacts on service delivery or Council reputation from any partnership failures.</p>	<p>Quarterly</p>	<p>None</p>

Risk No 9 Safeguarding C2			
Vulnerability	Trigger	Consequence	Risk Owner
<p>The Council needs to demonstrate its ability to meet its duties under Sections 11 and 47 of the Children Act 2004 and the Care Act 2014, which refer to adults with needs for care and support. This includes a specific responsibility for safeguarding adults from self-neglect.</p>	<p>The Council fails to meet its duties in regard to safeguarding children, young people and adults with needs for care and support.</p>	<ul style="list-style-type: none"> • A child, young person or vulnerable adult suffers significant harm • A child, young person or vulnerable adult suffers from exploitation • Avoidable death of a child, young person or vulnerable adult living in the District • Reputational risk for Council • Censure and special measures applied 	<p>Alan Hall</p>

Risk No 9 Safeguarding - Action Plan

Existing Controls/ actions to address risk	Effectiveness of controls/actions	Required further management action	Responsibility for action	Critical success factors and measures	Review frequency	Key date
<p>The Council has a Safeguarding Policy (2018), which is updated in line with new legislation. The policy details what is required of all staff and Elected Members and is supported by a set of procedures which set out the process for recording safeguarding concerns, incidents and allegations.</p> <p>A corporate Safeguarding Group ensures sharing of best practice and information across Directorates and enables the identification of any weaknesses in the Council's work.</p> <p>Council policies have been developed for all new and emerging safeguarding issues such as Child Sexual Exploitation (CSE).</p> <p>A Safeguarding Strategy and Action Plan has been adopted by Cabinet.</p> <p>A bespoke Basic Safeguarding Awareness elearning training resource has been developed, which all EFDC staff and Members must undertake.</p> <p>An enhanced bespoke EFDC face to face training session has been developed, to be rolled out summer 2018.</p> <p>Nursery Worker Accommodation Task Group established.</p>	<p>The Council has reduced the risk of safeguarding issues going unnoticed by staff and Elected Members by developing a new programme of training and production of the new Policy and procedures 2018.</p> <p>This group has become an effective forum for sharing of best practice and commitment from all Directorates is shown.</p> <p>Several of these policies have been used across Essex as examples of best practice.</p> <p>These documents set out areas requiring further improvement.</p> <p>To be launched summer 2018.</p> <p>The Safeguarding 'Hub' enables all EFDC safeguarding issues to be reported. The number of concerns identified in the last year has increased significantly.</p>	<p>Leadership Team and Managers to continue to promote vigilance amongst staff.</p> <p>The Council needs to ensure timely response to changes in legislation or local procedures.</p> <p>Directorates need to continue to commit time for representatives to attend the Corporate Working Group.</p> <p>Training records to be held and maintained centrally by the People Team.</p>	<p>Alan Hall</p>	<p>The Council meets all of its duties under Section 11 and 47.</p> <p>The Council meets the new duties of the Care Act 2014.</p> <p>The Council fully meets all aspects of the ESCB Section 11 and ESAB Safeguarding self - assessment.</p>	<p>Monthly</p>	<p>ESCB (Safeguarding Children) Audit to be submitted May 2018.</p>

Risk No 10 Housing Capital Finance		C2				
Vulnerability		Trigger	Consequence			Risk Owner
<p>If the Council is unable to spend right to buy receipts in set timescale on qualifying capital schemes we will have to pay the money to the Government along with interest at a penalty rate.</p> <p>Changes to legislation which reduce income to the HRA.</p> <p>The Government is introducing right to buy for tenants of housing associations financed through the forced sales of Council properties as they become void. The initial pilot is being expanded in 2017/18 with funding from the Treasury. What will happen beyond 2017/18 remains unclear.</p>		<p>Schemes are delayed by either the planning process or unanticipated site problems.</p> <p>Imposition of further restrictions on rent levels.</p> <p>Imposition of right to buy scheme which requires the disposal of a large proportion of the Council's void properties.</p>	<ul style="list-style-type: none"> • Loss of capital resources • Revenues cost of penalty interest • Loss of rental income • Delays in provision of new social housing • Increase in housing waiting list • Current 30 year business plan may become unsustainable. 			Alan Hall
Existing Controls/actions to address risk	Effectiveness of controls/actions	Required further management action	Responsibility for action	Critical success factors and measures	Review frequency	Key date
<p>Position being monitored by the House Building Cabinet Committee and a number of contingency options are available including purchasing on the open market.</p> <p>The Council belongs to the Association of Retained Council Housing which lobbies on such issues.</p>	<p>Effective to date.</p> <p>Too early to comment yet as the policy is still being developed.</p>	<p>Continue close monitoring of financial position.</p> <p>Keeping Members fully informed of the potential consequences of their actions.</p> <p>Monitor policy development/announcements and participate in lobbying if appropriate.</p>	<p>Alan Hall</p> <p>Alan Hall</p>	<p>Loss of right to buy receipts is minimised.</p> <p>No loss of Council properties to support right to buy for HA tenants.</p>	<p>Monthly</p> <p>Monthly</p>	<p>Ongoing</p>

Risk No 11 Transformation Programme B1						
Vulnerability		Trigger		Consequence		Risk Owner
<p>The Council has embarked on a major programme to modernise working practices and improve efficiency. The three key projects within the programme are people, accommodation and ICT. These are all challenging pieces of work and if any of them fail or are significantly delayed the whole programme may collapse.</p>		<p>There are many issues with the potential to disrupt one or more of the projects. Each project requires resourcing financially and with staff time. Loss of a key individual or a lack of finance would make delivery difficult.</p> <p>Restrictive listing of offices could obstruct the work on accommodation.</p>		<ul style="list-style-type: none"> • Service improvements not achieved for residents. • Improvements in efficiency not delivered. • Pressure on future budgets. • Reputational damage to the Council. 		Derek Macnab
Existing Controls /actions to address risk	Effectiveness of controls/actions	Required further management action	Responsibility for action	Critical success factors and measures	Review frequency	Key date
<p>Regular meetings of Transformation Programme Board (TPB) and monitoring reports presented to every Cabinet meeting.</p>	<p>ICT and People strategies approved by Cabinet and progressing.</p>	<p>TPB to continue to monitor projects and ensure adequate human and financial resource available.</p> <p>Action on listing can only be determined when the outcome is clear.</p> <p>To work with Historic England to ascertain the extent of the works that can be done to satisfy the listing criteria.</p>	Derek Macnab	<p>Projects delivered on time and in budget with full benefits realisation.</p> <p>Detailed success factors and measures are set out in the project management documents for each project.</p>	Monthly	Key dates are set out in the project management documents for each project.

Risk No 12 Waste Management C2						
Vulnerability		Trigger	Consequence			Risk Owner
<p>Inability of the Council's partnering contractor, Biffa Municipal Limited to secure profitable outlets for recycling materials processed through the Material Recycling Facility (MRF) could result in diminishing income.</p>		<p>There has been significant drop in income from the sale of recycling materials especially paper, caused primarily by the Chinese government decision to ban import of MRF paper. This has resulted in saturation in the commodity markets.</p>	<ul style="list-style-type: none"> • Reputational damage to the Council if recycling materials is sent to landfill. • Additional costs to the Council if Biffa cannot sell materials. • Additional costs under pain/gain share mechanism in the contract if the income from recycling continues to drop or worst case becomes a cost. 			Derek Macnab
Existing Controls /actions to address risk	Effectiveness of controls/actions	Required further management action	Responsibility for action	Critical success factors and measures	Review frequency	Key date
<p>Financial settlement is being agreed with Biffa to mitigate some of the costs arising from the increased costs of processing and the capital investment incurred to improve the quality of recycling output from the Biffa MRF.</p>	<p>Dependent, to a large extent, on the market forces in the case of commodity prices.</p> <p>Risks due to Recycling Index Unit Rate (RIUR) variation to be continued to be monitored closely.</p>	<p>Management Board to continue to monitor the costs and market fluctuations.</p>	Derek Macnab	<p>RIUR reviews result in increased income.</p> <p>Difficulties in selling recycling materials is identified early.</p>	Monthly	November 2018

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