

Public Document Pack

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A meeting of the **Corporate Governance & Audit Committee** will be held in Virtually on **Monday 19 October 2020 at 2.00 pm**

MEMBERS: Dr K O'Kelly (Vice-Chairman), Mr T Johnson, Miss H Barrie, Mr J Brown, Mr A Dignum, Mr F Hobbs (Chairman), Mr D Palmer and Mr P Wilding

AGENDA

- 1 **Chairman's Announcements**
Any apologies for absence that have been received will be noted at this point.
- 2 **Approval of Minutes** (Pages 1 - 5)
The Committee is requested to approve the minutes of its ordinary meeting on 1 September 2020.
- 3 **Urgent items**
The chairman will announce any urgent items that due to special circumstances are to be dealt with under the Late Items agenda item.
- 4 **Declarations of Interest**
These are to be made by members of the Corporate Governance and Audit Committee or other Chichester District Council members present in respect of matters on the agenda for this meeting.
- 5 **Public Question Time**
The procedure for submitting public questions in writing by no later than noon 2 working days before the meeting is available [here](#) or from the Democratic Services Officer (whose contact details appear on the front page of this agenda).
- 6 **2020-2021 Treasury Management half-yearly update** (Pages 7 - 22)
The Committee is requested to consider the Treasury activity summarised in this report and provide comments to the Cabinet as necessary.
- 7 **Progress Report - 2019/20 Audit Plan & Audit Plan 2020/2021** (Pages 23 - 55)
The Committee is requested to note performance against the 2019/20 audit plan, and also the audit plan for 2020/21.
- 8 **S106 Annual Exceptions Report** (Pages 57 - 75)
The Committee is requested to note:
 - (a) The contents of this report concerning section 106 agreements nearing their expenditure date (as set out in Appendix 1) and to raise any concerns.
 - (b) The contents of the Infrastructure Funding.
- 9 **Complaints, Freedom of Information requests and Data Protection Analysis 2019-20** (Pages 77 - 117)

That the Committee notes the contents of this report.

- 10 **Budget TFG - Appointment of three members of the committee** (Page 119)
The Committee is requested to note the terms of reference and scoping outline plan for the Budget Review Task and Finish Group and agree membership of the Group.

- 11 **Risk Management Update** (Pages 121 - 167)
The Committee is recommended to:

- 1.1. Approve the minor changes to the Council's Risk Management Policy & Strategy recommended by the Strategic Risk Group.
- 1.2. Note the updated Strategic Risk Register and the internal controls in place, plus any associated action plans to manage those risks, and raises any issues or concerns.
- 1.3. Note that the Programme Boards Risk Registers have ceased as a result of a change in the Council's action plans as set out in the Recovery Plan reported to Council in July.

***Note** Exempt category Paragraph 3 (Information relating to the financial or business affairs of any particular person (including the authority holding that information))

- 12 **Exclusion of the Press and Public**

The Cabinet is asked to consider in respect of agenda item 13 (and for Appendix 2 (b) – Strategic Risk Register (Part 2) to agenda item 11) whether the public including the press should be excluded from the meeting on the following ground of exemption in Schedule

12A to the *Local Government Act 1972* namely Paragraph 3 (Information relating to the financial or business affairs of any particular person (including the authority holding that information)) and 5 (Information in respect of which a claim to legal professional privilege could be maintained in legal proceedings) and because, in all the circumstances of the case, the public interest in maintaining the exemption of that information outweighs the public interest in disclosing the information), and is attached for members of the Committee and senior officers only (salmon paper).

[**Note** The report and its appendices within this part of the agenda are attached for members of the Council and relevant only (printed on salmon paper)]

- 13 **Approval of Exempt Minutes** (Pages 169 - 170)

The Committee is requested to approve the exempt minutes of its ordinary meeting on 1 September 2020 - Income Strip and Wrapper Lease.

- 14 **Late items**

The committee will consider any late items as follows:

- a) Items added to the agenda papers and made available for public inspection
- b) Items that the chairman has agreed should be taken as a matter of urgency by reason of special circumstances to be reported at the meeting

NOTES

- 1) The press and public may be excluded from the meeting during any item of business wherever it is likely that there would be disclosure of 'exempt information'

as defined in section 100A of and Schedule 12A to the Local Government Act 1972.

2) The press and public may view the report appendices which are not included with their copy of the agenda on the Council's website at Chichester District Council - Minutes, agendas and reports unless they contain exempt information.

3) Subject to Covid-19 Risk Assessments members of the public are advised of the following;

- Where a member of the public has registered a question they will be invited to attend the meeting and will be issued a seat in the public gallery.
- You are advised not to attend any face to face meeting if you have symptoms of Covid.

4) Subject to the provisions allowing the exclusion of the press and public, the photographing, filming or recording of this meeting from the public seating area is permitted. To assist with the management of the meeting, anyone wishing to do this is asked to inform the chairman of the meeting of their intentions before the meeting starts. The use of mobile devices for access to social media is permitted, but these should be switched to silent for the duration of the meeting. Those undertaking such activities must do so discreetly and not disrupt the meeting, for example by oral commentary, excessive noise, distracting movement or flash photography. Filming of children, vulnerable adults or members of the audience who object should be avoided. [Standing Order 11.3 of Chichester District Council's Constitution]

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Minutes of the meeting of the **Corporate Governance & Audit Committee** held Virtually on Tuesday 1 September 2020 at 2.00 pm

Members Present: Dr K O'Kelly (Chairman), Mr T Johnson, Miss H Barrie, Mr J Brown, Mr F Hobbs, Mr D Palmer, Mr P Wilding and Mr A Dignum

Members not present:

In attendance by invitation: Mr K Suter (Ernst & Young LLP)

Officers present: Mrs H Belenger (Divisional Manager for Financial Services), Mr S James (Principal Auditor), Miss K Davis (Democratic Services Officer), Mr M Catlow (Group Accountant (Technical and Exchequer)), Mr J Todd (Corporate Investigations Officer), Mr J Ward (Director of Corporate Services), Mrs J Hotchkiss (Director of Growth and Place) and Mrs D Shepherd (Chief Executive)

15 **Chairman's Announcements**

The Vice-Chair, Dr O'Kelly took the Chair as the Chairman had rescinded his role as Chairman having recently been appointed to the Cabinet.

16 **Approval of Minutes**

Minute 13 – Meeting Timings: An update would be brought to the meeting on 18 January 2021.

RESOLVED

That the minutes of the meeting held on 2 July 2020 were agreed as a correct record.

17 **Urgent items**

There were no urgent items.

18 **Declarations of Interest**

There were no declarations of interests.

19 **Public Question Time**

There were no public questions.

20 **Corporate Governance and Audit Work Programme 2020-2021**

The Committee considered this report.

Members noted a correction to the Work programme Committee dates to read 19 October 2020, 18 January 2021 and 22 March 2021.

It was agreed that a Meeting Timings Progress report would be reported to the Committee meeting on 18 January 2021 and a report on Income generation would be reported to the meeting on 22 March 2021. With some bench marking to show the income opportunities in the council's proposed budget as compared with other local authorities' approach.

Resolved

That the report be approved as amended.

21 **2019-2020 Treasury Management Outturn Report**

The Committee considered the summary of the Council's treasury management activities for 20219-2020 circulated with the agenda.

Mr Catlow presented the report and highlighted the key risks. The impact of the Covid 19 pandemic had been the most significant event, having affected investment values.

During the discussion officers were thanked for preparing a thorough and well presented report that he considered the approach was sensible and risk adverse. During the discussion a comment was made, concerning the Council's performance of pooled funds, that if the Council's strategy had been less risk adverse with more equity investments the Council's financial situation would have been much worse. A view was expressed that, with regard to the Council's direct investments in commercial property, at present it was not a good time to dispose of any Council owned commercial property.

Responding to members' questions, Mr Catlow advised that discussions were taking place with Arlingclose Ltd concerning arrangements for the annual Treasury Management member workshop and confirmed an update on Environmental, Social and Governance investments would be provided. It was not known when the suspended Local Authority Property Fund would resume. However, the market was showing signs of increased activity, which at this stage was a good sign.

Mr Catlow responded to a request for additional information to be included in the report concerning details of occupancy rates and rental payments for the Council's commercial property. Due to the level of detail already contained in this overview report he suggested that the detail around the investment properties should be taken as a separate report for consideration at the October meeting each same time of year.

RECOMMENDED

- 1) That the 2019-2020 Treasury Management Outturn Report be recommended to Cabinet.
- 2) That the Corporate Governance and Committee has noted the assessment made by officers at paragraphs 6.3 and 6.4 and are content that no additional comments to Cabinet are necessary.

22 **Local Authority Borrowing**

The Committee considered the report on Local Authority Borrowing, requested by the Committee at its previous meeting.

Mr Catlow introduced the report.

During the debate members discussed the issue of borrowing. A comment was made that no examples of maturity borrowing had been shown and that should be given consideration in light of the currently low interest rates for borrowing. Nor were there examples of lengths of time over which the Council can borrow and the interest rates. However, some members were of the opinion that the Council should not borrow just because it could and referred to paragraph 4.3 of the report that stated that Council "...must demonstrate and justify the need to borrow...".

Mr Ward advised members that it was unlawful for the Council to borrow for speculative or revenue reasons. It was noted that any maturity borrowing would require the Council to set aside minimum revenue provision for the each year of the loan. Officers were not adverse to borrowing if there was a justified case for doing so. Currently the Council's capital programme was fully funded.

The Chair advised that she would be interested in having details of all the borrowing options available to the council, as she was aware there were others, such as Green Bonds and Crowd Funding.

Mrs Belenger advised that ways of generating income was an action for officers on the Environment Panel's action plan, which would address the points made concerning options for environmental and green issues.

It was agreed that further information on the borrowing options available to fund projects as they arose, including examples of the maturity borrowing option with interest rates would be provided by officers outside of the meeting.

The Chairman suggested that Mr Hobbs, a member of the Environment Panel, brief it's members to explain that the Corporate Governance and Audit Committee was looking for a more joined up approach for borrowing options.

RESOLVED

That the report be noted and that a borrowing supplement to the report should be produced and appended to the minutes.

POST MEETING NOTE: With regard to the request for a borrowing supplement to the report, Arlingclose will cover at the treasury Management workshop for members, at which members of the Committee will have a much greater opportunity to explore the issue of borrowing.

23 Progress Report - 2019/20 Audit Plan & Audit Plan 2020/2021

The Committee considered this report attached to the agenda and the audit reports on Land & Buildings, Council Tax Debt Recovery and Business Rates Debt Recovery.

Mr James reported that the completed audits had all received reasonable assurance and any outstanding matters would be followed up within six months.

RESOLVED

That the performance against the 2019/20 audit plan, and also the audit plan for 2020/21 be noted.

24 Fraud Prevention Report 2019/2020

The Committee considered this report. Mr Todd presented the report. He referred to the impact of Covid 19, which may affect some of the Team's priorities going forward.

The Chair thanked the officers for the work in recuperating considerable sums of money.

A correction to the report was made at paragraph 10.2, penultimate sentence to read "The 2020 match...".

RESOLVED

- 1) That the Committee notes its stewardship role in fighting and protecting the public purse; and
- 2) That the Committee notes the Council will actively pursue potential frauds identified through ongoing investigations by the Corporate Investigations Officer.

25 Appointment to the Strategic Risk Group -Verbal Report

A request was made for the Strategic Risk Group to start at the later time of 3.00pm if convenient for the remaining members of the Group.

RESOLVED

that Mr Brown, Mr Johnson and Dr O'Kelly be appointed to the Strategic Risk Group for 2020-2021.

26 Exclusion of the Press and Public

That the public and press be excluded from the meeting for the following items on the grounds that it is likely there would be a disclosure to the public of 'exempt information' of the description specified in Paragraph 3 (information relating to the financial or business affairs of any particular person (including the authority holding that information)) and Paragraph 5 (Information in respect of which a claim or legal professional privilege could be maintained in legal proceedings) and of Part I of schedule 12A to the Local Government Act 1972 and because, in all the circumstances of the case, the public interest in maintaining the exemption of the amount outweighs the public interest in disclosing the information.

27 Income Strip and Wrapper Lease

Mr Ward introduced this item.

Officers responded to members' questions and comments.

During the discussion on this matter the Committee agreed an amendment to the proposal detailed in Section 5 of the report.

RECOMMENDED

That the proposal set out in Section 5 of the report be recommended to Cabinet as amended.

28 Late items

There were no late items.

The meeting ended at 4.45 pm

CHAIRMAN

Date:

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Chichester District Council

Corporate Governance and Audit Committee

19 October 2020

2020-2021 Treasury Management half-yearly update

1. Contacts

Report Author:

Mark Catlow – Group Accountant, Financial Services
E-mail: mcatlow@chichester.gov.uk

2. Recommendation

2.1 The Committee is requested to consider the Treasury activity summarised in this report and provide comments to the Cabinet as necessary.

3. Background

3.1 This report provides the Committee with a summary of treasury management activity undertaken for the year to date. The objective is to provide Members with assurance over the effectiveness of treasury activities undertaken during the reporting period.

3.2 The Authority's treasury management strategy for 2020/21 was approved by Council on 3 March 2020. The Authority continues to invest substantial sums of money in line with this policy and to aid the ongoing monitoring and control of risk this report summarises this activity for the 6 months to 30 September 2020.

3.3 The position at the end of the reporting period is shown in Tables 1 and 2, below.

Table 1: Treasury Management Summary

| Investments £000 | Balance 31/03/2020 | Movement | Balance w/e 25/9/2020 |
|---------------------------------|-------------------------------|-----------------|----------------------------------|
| Short term Investments | 35,000 | (6,000) | 29,000 |
| Money Market Funds | 6,050 | 10,550 | 16,600 |
| Total liquid investments | 41,050 | 4,550 | 45,600 |
| Long term Investments | - | | |
| Pooled Funds – External | 24,000 | - | 24,000 |
| Pooled funds – Local Authority | 10,000 | - | 10,000 |
| Property fund | | | |
| Total investments | 75,050 | 4,550 | 79,600 |

Note: the figures in the table above exclude any movements in Fair value.

Table 2: Gains and losses from external pooled funds (£000) – 30 September 2020

| Fund | Type of fund | Invested £000 | Capital gain (loss) | 6.10.20 Market Value | Income 20-21 £k (cash) | Return (annual eq %) |
|---|---------------------|----------------------|----------------------------|-----------------------------|-------------------------------|-----------------------------|
| Local Authority Property Fund | Property | 10,000 | (880) | 9,120 | 227.0 | 4.54 |
| Ninety-One Diversified Income Fund | Multi Asset | 5,000 | (246) | 4,754 | 99.1 | 3.96 |
| Columbia Threadneedle Strategic Bond Fund | Bonds | 2,650 | 31 | 2,681 | 46.5 | 3.27 |
| Aegon Diversified Income (previously Kames) | Multi Asset | 5,000 | (576) | 4,424 | 108.1 | 5.18 |
| M&G Strategic Corporate Bond fund | Bonds | 4,000 | (34) | 3,966 | 64.9 | 3.24 |
| Schroder Income Maximiser | Equity | 5,000 | (1,565) | 3,435 | 153.4 | 6.13 |
| Columbia Threadneedle – short dated bond fund | Bonds | 2,350 | 5 | 2,355 | 19.1 | 1.95 |
| Totals | | 34,000 | (3,265) | 30,735 | 718.10 | |

4. Economic headlines

- 4.1 The council's external pooled fund investments continue to be subject to significant carried losses, almost entirely due to the global market reaction to the COVID-19 pandemic. With the continuation of the pandemic, the FTSE 100 index was making a tentative recovery between late March 2020 and early June 2020. Since then the FSTE 100 index had plateaued towards the end of July, before once again making a tentative downward trend towards the end of September.
- 4.2 There continues to remain much uncertainty around the extent of the losses banks and building societies will suffer due to the impact from the coronavirus pandemic and for the UK institutions on the council's approved lending list there is the added complication of the end of the Brexit transition period on 31st December and what a trade deal may or may not look like. The institutions on Arlingclose's counterparty list and recommended duration remain under constant review, but at the end of the period no changes had been made to the names on the list or the recommended maximum duration of 35 days.
- 4.3 Continued downward pressure on short-dated cash rate brought net returns on sterling low volatility net asset value money market funds (LVNAV MMFs) close to zero even after some managers have temporarily lowered their fees. At this stage net negative returns are not the central case of most MMF managers over the short-term, and fee waivers should maintain positive net yields, but the possibility cannot be ruled out.
- 4.4 Taking these factors together, the council's treasury activity has focussed on lending to Local Authorities for fixed terms ranging from three to six months and on maintaining adequate liquidity via money market deposits.

5. Other Non-Treasury Holdings and Activity

- 5.1 Although not classed as treasury management activity, the 2017 CIPFA Code now requires the Authority to report on investments held for policy reasons outside of normal treasury management.
- 5.2 The Authority continues to hold approximately £13.6m of investments in directly owned property, unchanged from the value established at 31 March 2020
- 5.3 Further information on the performance of the council's non-treasury investments is contained in appendix D.

6. Compliance Report

- 6.1 How treasury activities complied with the council's main 2020-21 treasury limits is disclosed at appendix C. There are no exceptions for the reporting period.

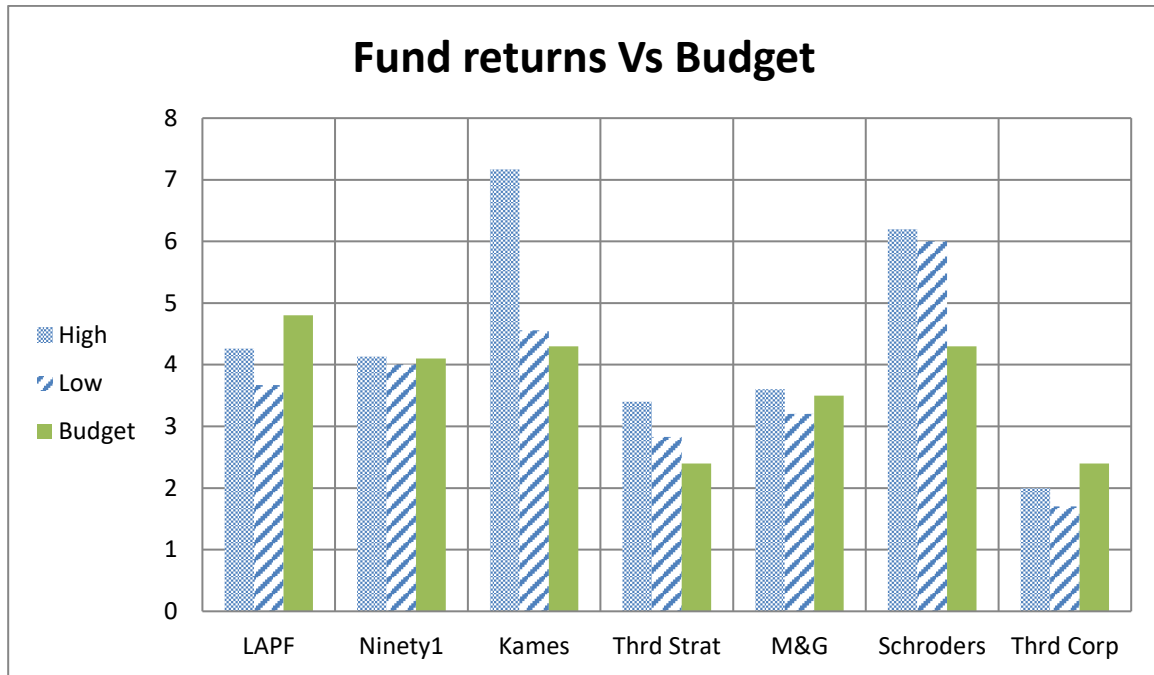
7. Other Developments

- 7.1 This section updates the Committee on relevant developments since the last report in earlier this year.

Estimates for income 2020/21

- 7.2 The corporate world is still adjusting to the economic shock of COVID-19, with probably more to come, and it is still too early to tell which companies will withstand the economic damage in the short- to medium-term or which will choose to conserve cash in very difficult economic conditions simply to survive.
- 7.3 Investment income in the Authority's 2020/21 budget was set against a very different economic backdrop. Bank Rate, which was 0.75% in January/February 2020, now stands at 0.1%. Interest earned from short-dated money market investments will be significantly lower.
- 7.4 In relation to income from the Authority's externally managed strategic funds, dividends and income distributions will ultimately depend on many factors including but not limited to the duration of COVID-19 and the extent of its economic impact, the fund's sectoral asset allocation, securities held/bought/sold and, in the case of equities, the enforced or voluntary dividend cuts or deferral.
- 7.5 As reported to Cabinet in September this may reduce our forecast income from external investments in 2020-21. At present income remains relatively healthy, as shown below, however this could be due to timing lag between the announcement and payment of dividends by both companies and then the external funds themselves. We could see a more pronounced impact on returns from quarter 3 onwards

Chart 1: High/Low dividend payments by fund received in 2020-21.



Negative Interest rates

- 7.6 Expectations for negative rates received a boost following the publication of the minutes of the September monetary policy committee meeting. While Arlingclose’s central case for Bank Rate is no change from the current level of 0.1%, further cuts to Bank Rate to zero or even into negative territory cannot be completely ruled out.
- 7.7 The possibility of negative interest rates is explicitly addressed in the council’s 2020-21 treasury strategy. If the Bank of England sets Bank Rate at or below zero, this is likely to feed through to negative interest rates on all low risk, short-term investment options. In this event, security will be measured as receiving the contractually agreed amount at maturity, even though this may be less than the amount originally invested.

8. Alternatives Considered

- 8.1 None

9. Resource and Legal Implications

- 9.1 The Council is required by the Accounts and Audit Regulations to comply with CIPFA’s Code of Practice for Treasury Management and the Prudential Code for Capital Finance.

10. Consultation

- 10.1 Not relevant.

11. Community impact and corporate risks

11.1 Addressed in section 9.

12. Other Implications

| | Yes | No |
|---|-----|----|
| Crime and Disorder | | X |
| Climate Change and Biodiversity | | X |
| Human Rights and Equality Impact | | X |
| Safeguarding and Early Help | | X |
| General Data Protection Regulations (GDPR) | | X |
| Health and Wellbeing | | X |
| Other | | X |

13. Appendices

- A - Movements in Fund fair values and income – Pooled Funds
- B - Benchmarking indicators
- C - Compliance report
- D - Non Treasury investments
- E – Outlook for the remainder of 2020-21

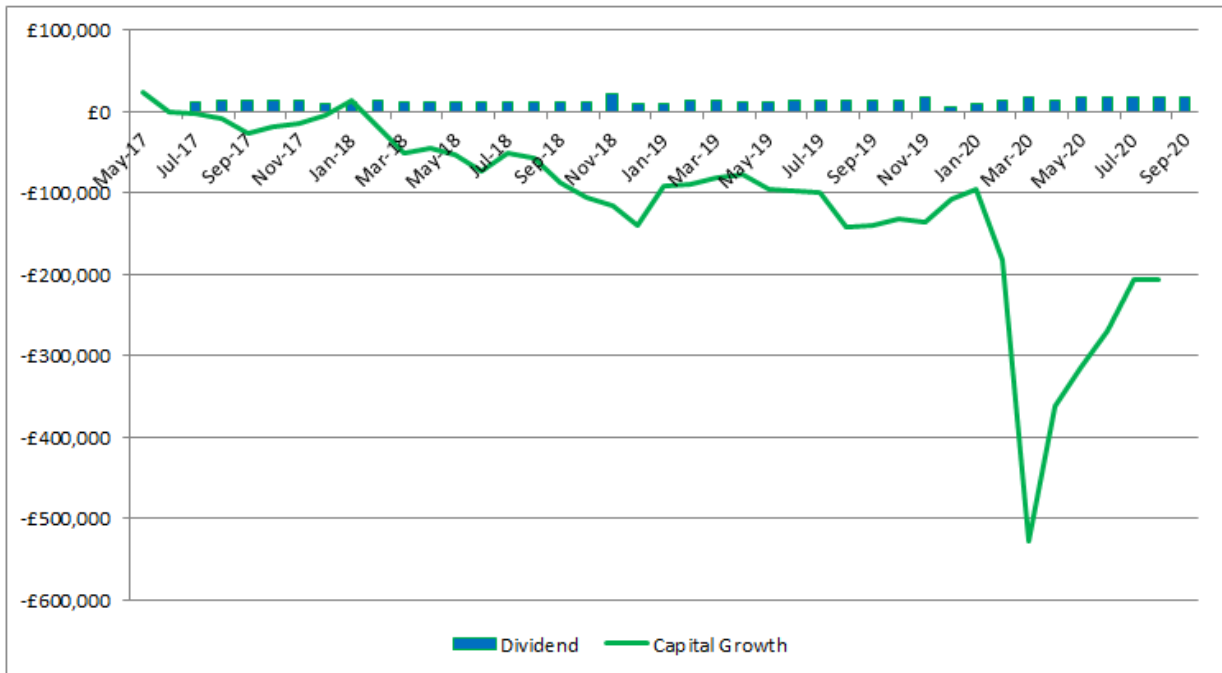
14. Background Papers

14.1 None.

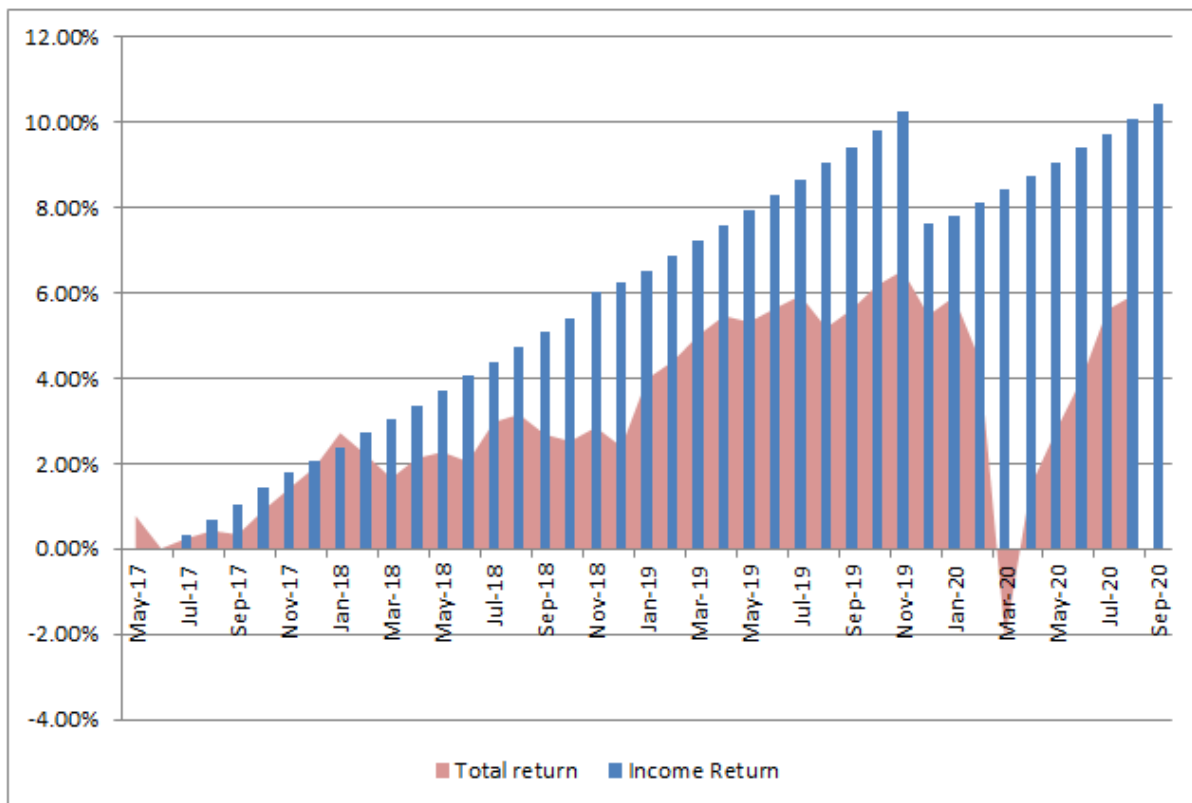
Appendix A: Movements in Fund fair values and income – Pooled Funds

Ninety One (Investec)

Month By Month

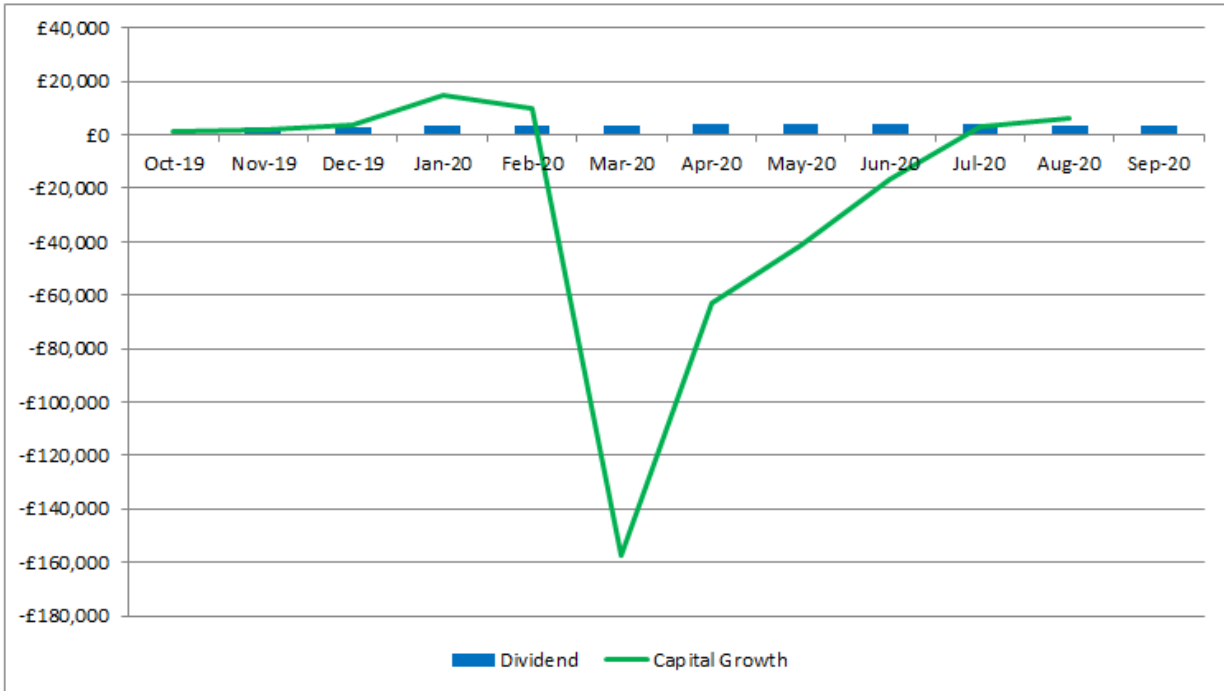


Cumulative

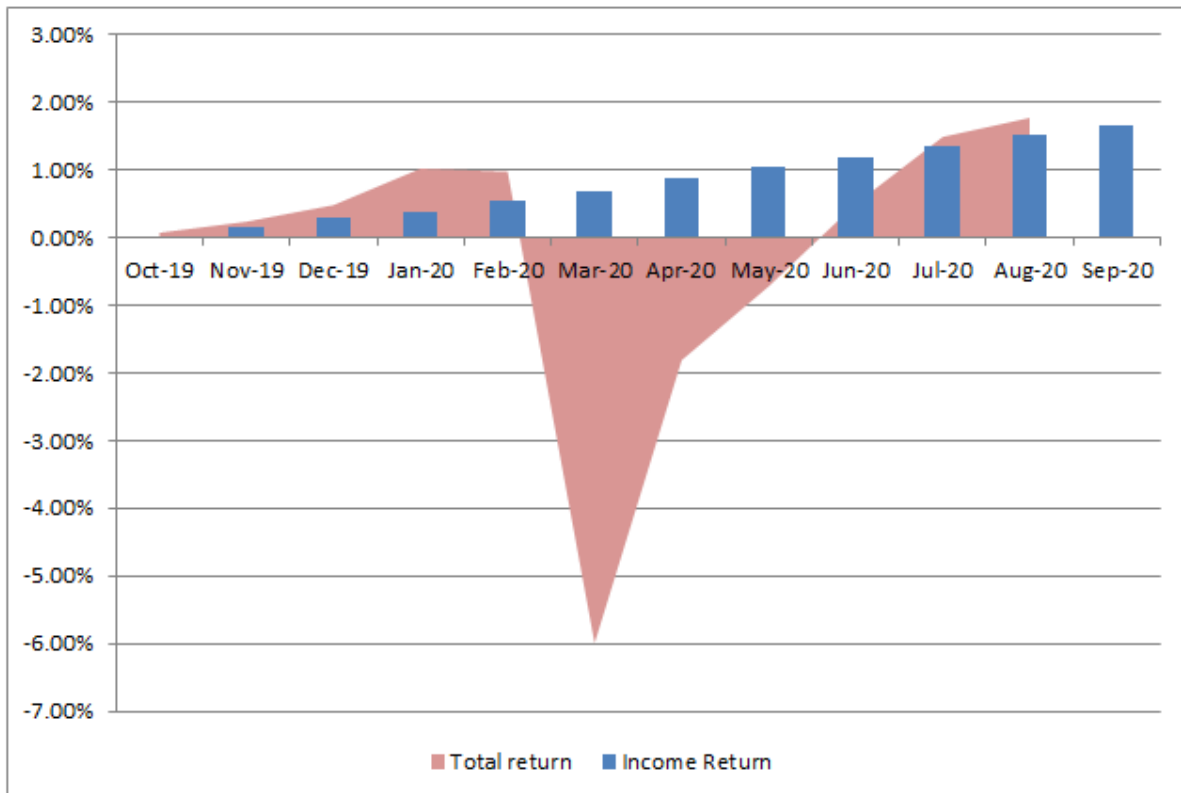


Columbia Threadneedle Short Dated Corporate Bond Fund

Month By Month

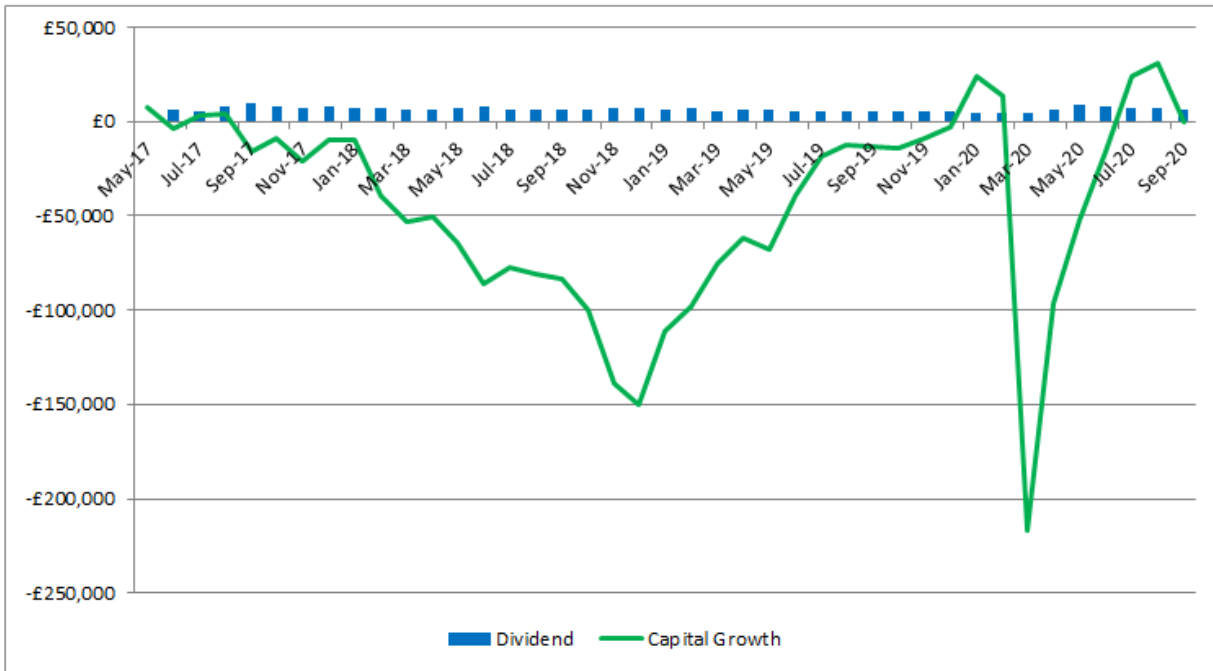


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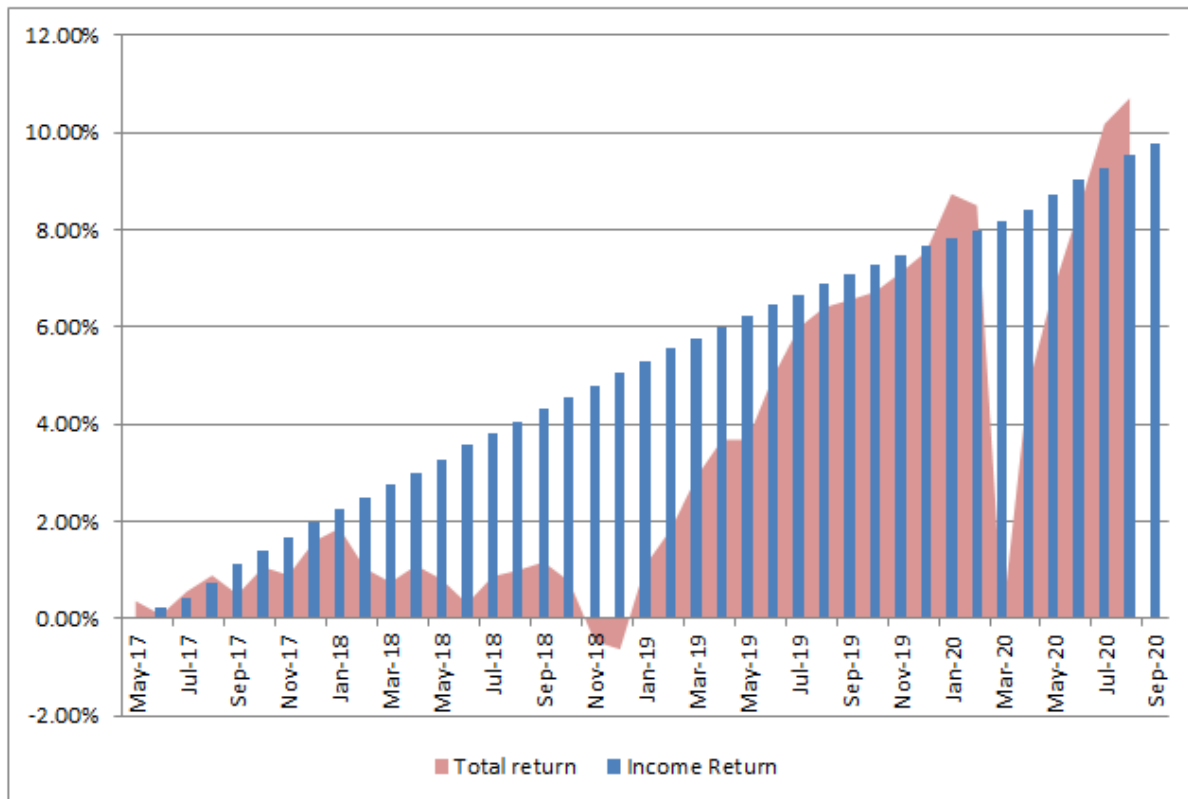


Columbia Threadneedle Strategic Bond Fund

Month By Month

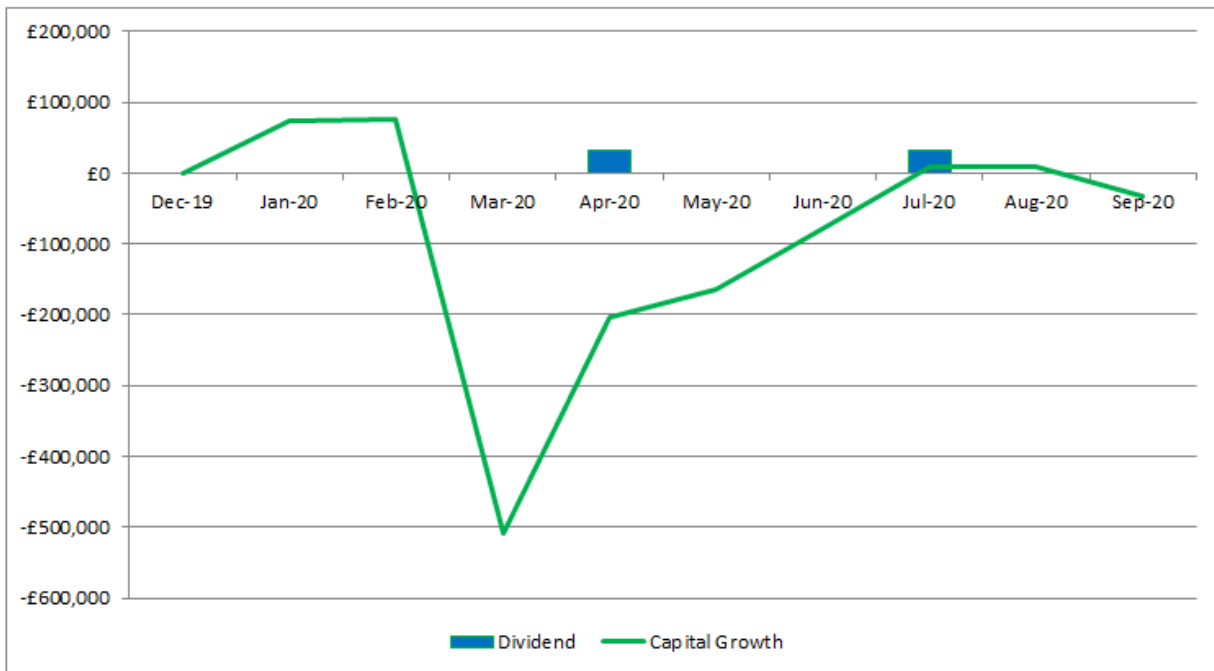


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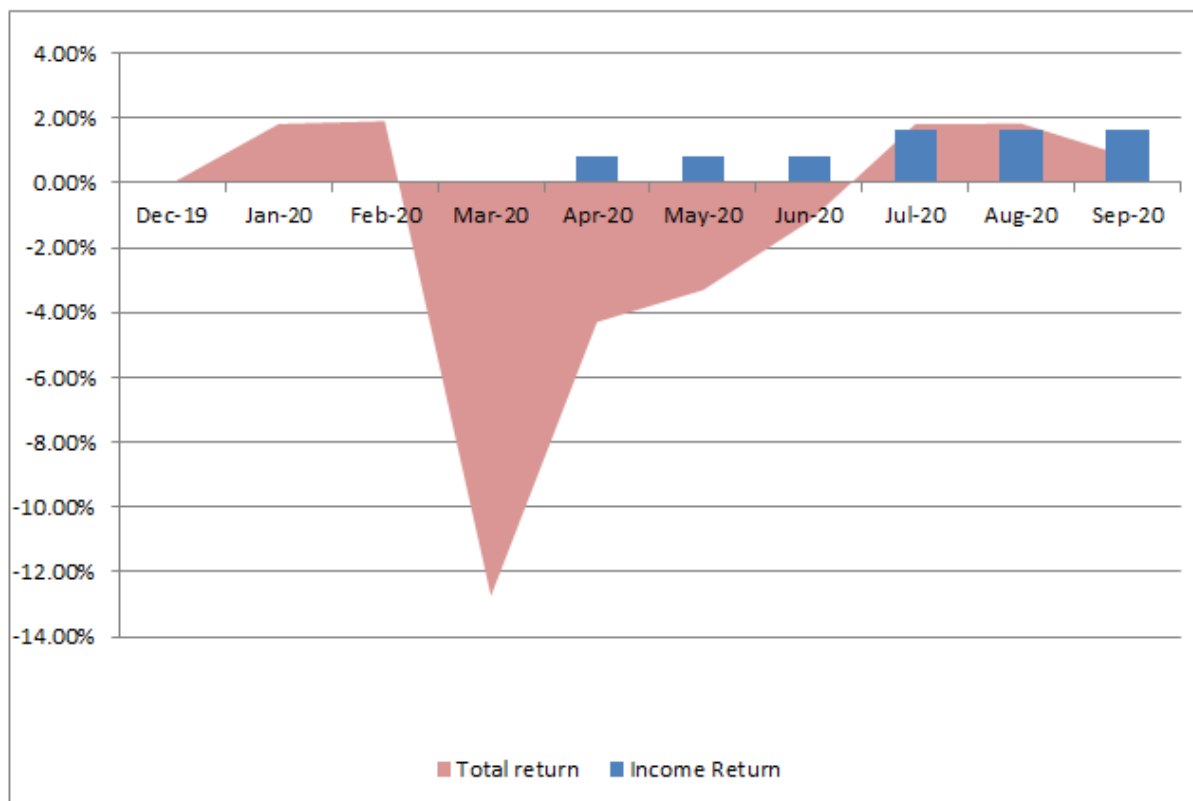


M&G Strategic Corporate Bond Fund

Month By Month

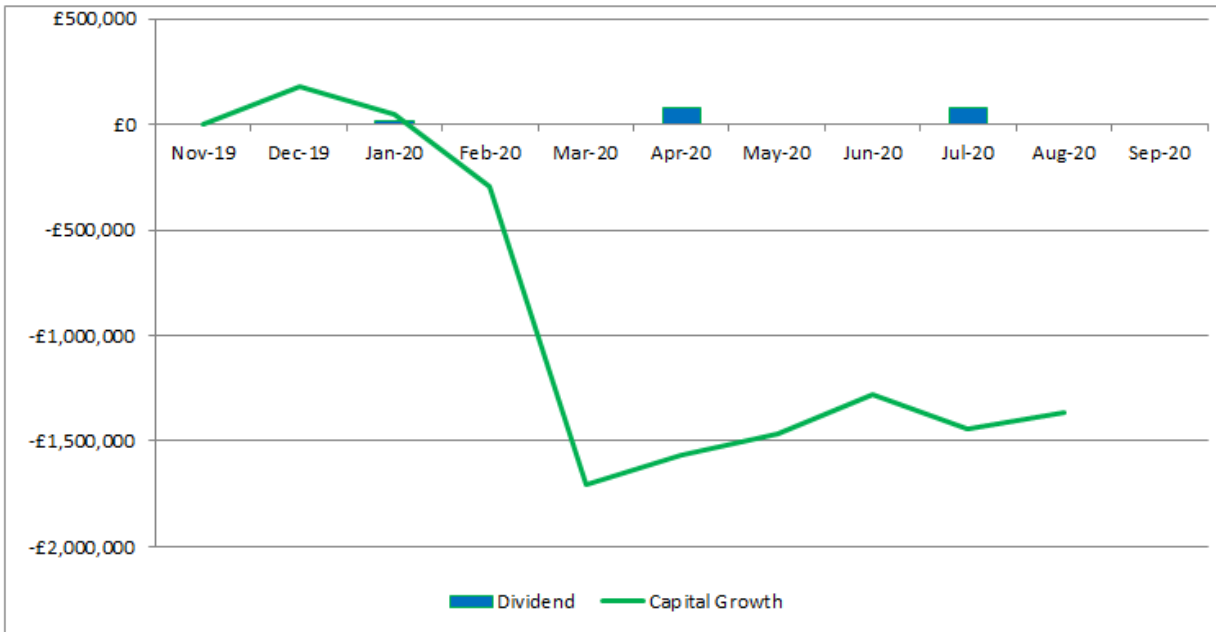


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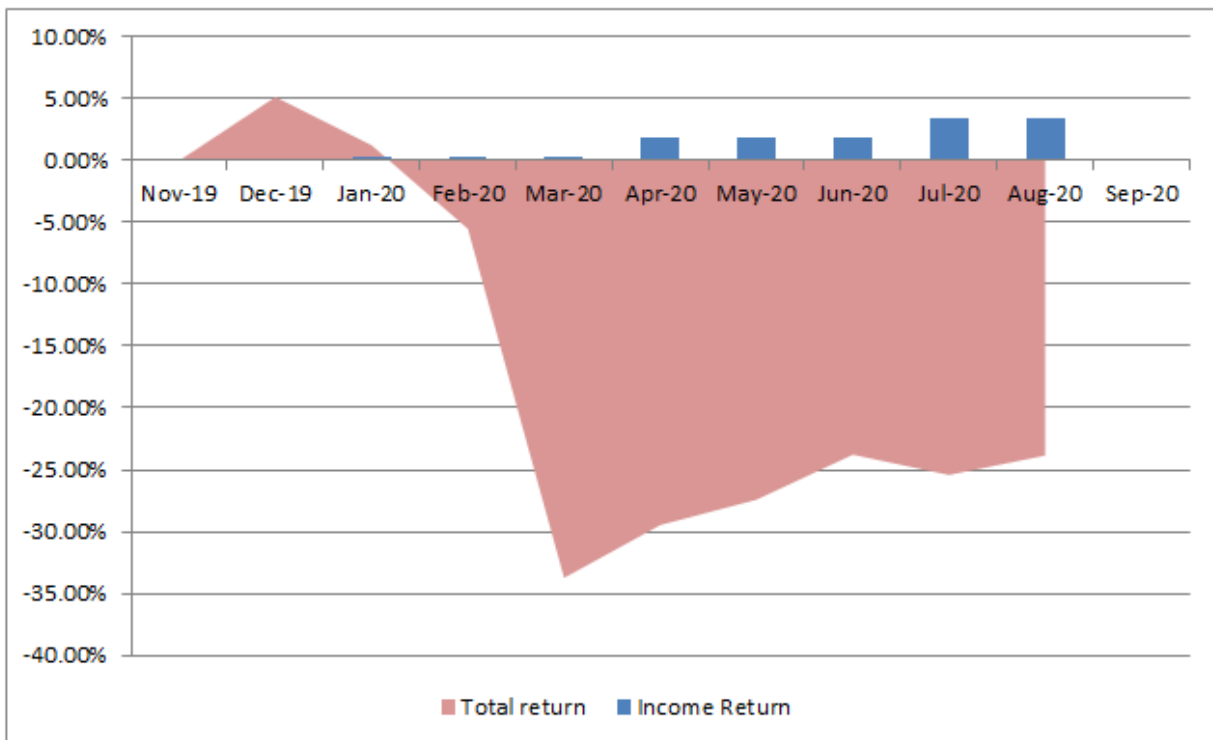


Schroder Income maximiser

Month By Month

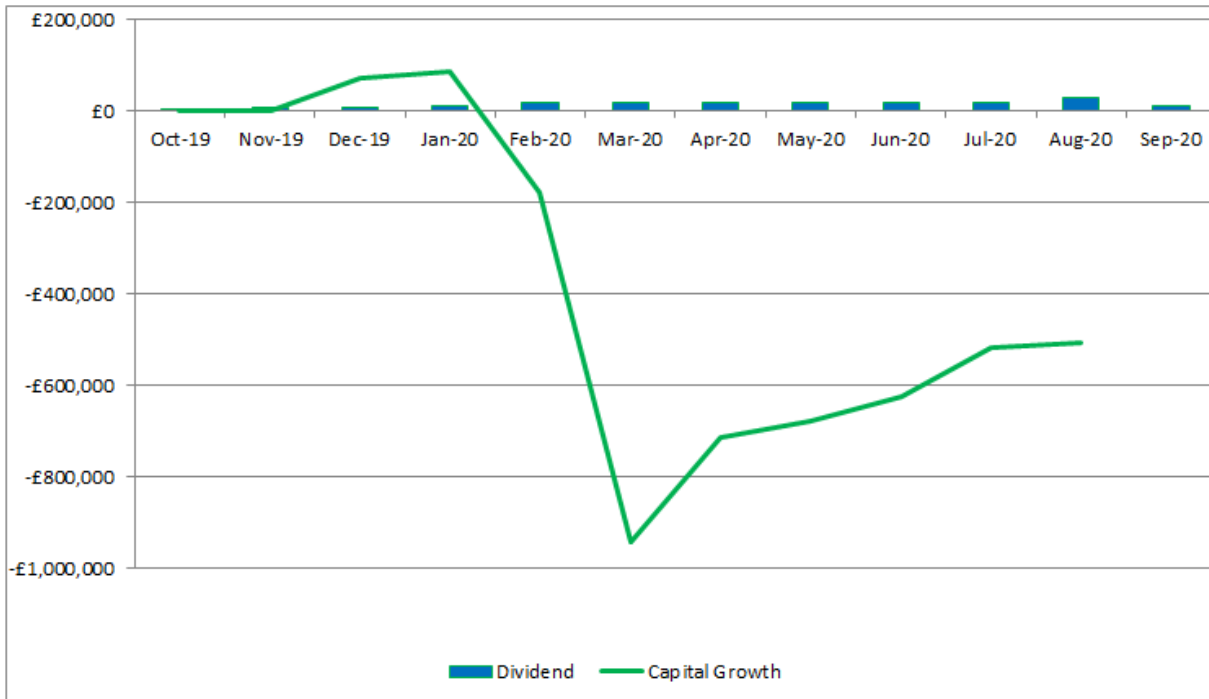


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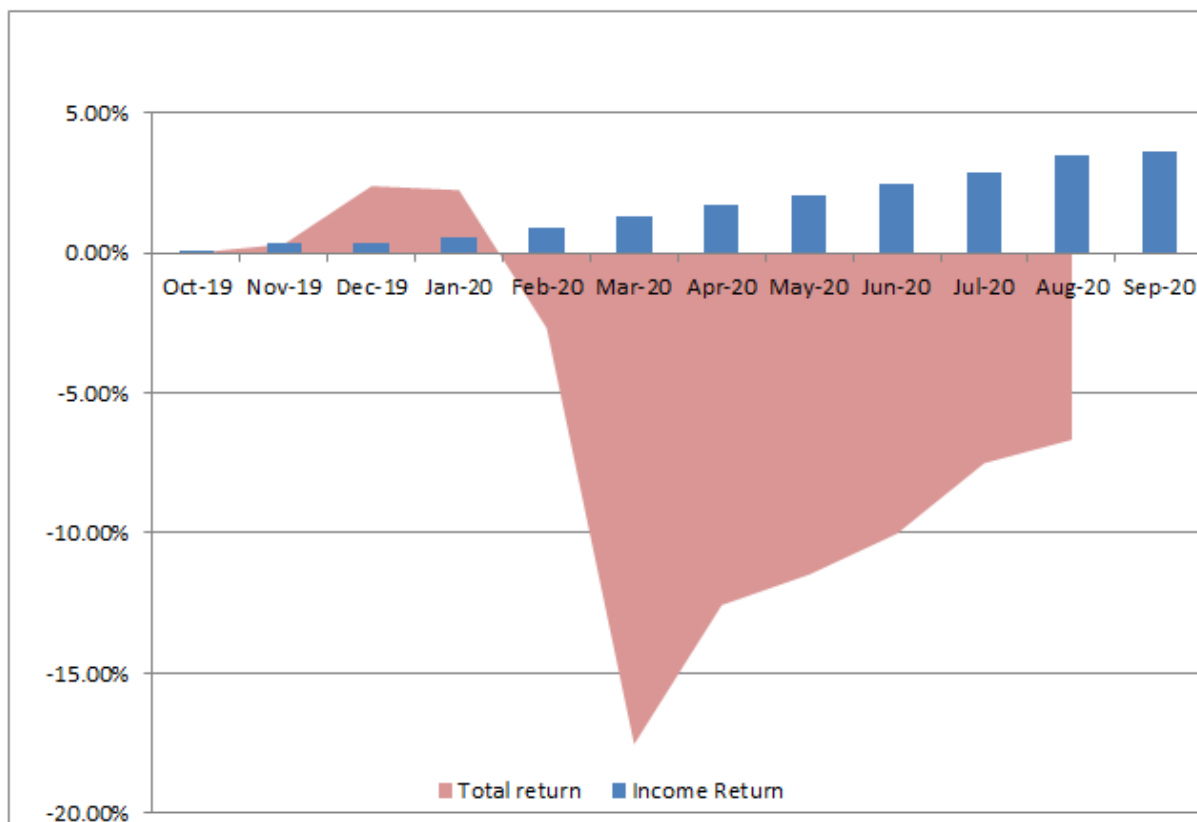


Kames Diversified Income Monthly Fund

Month By Month

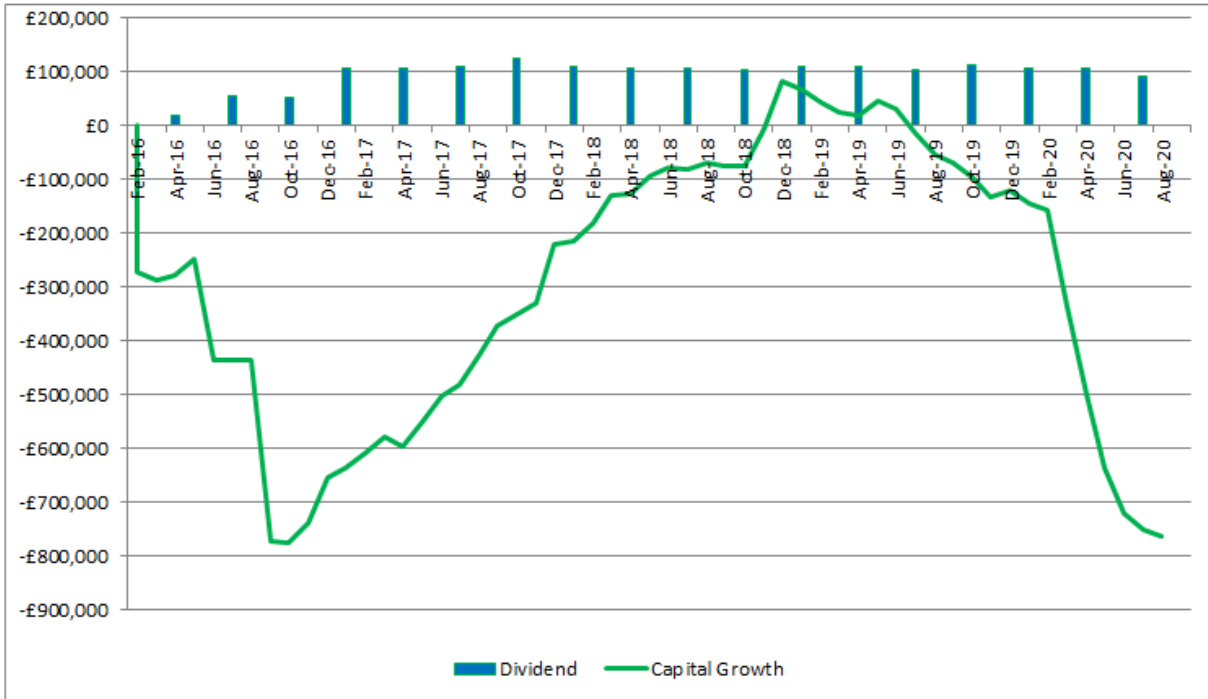


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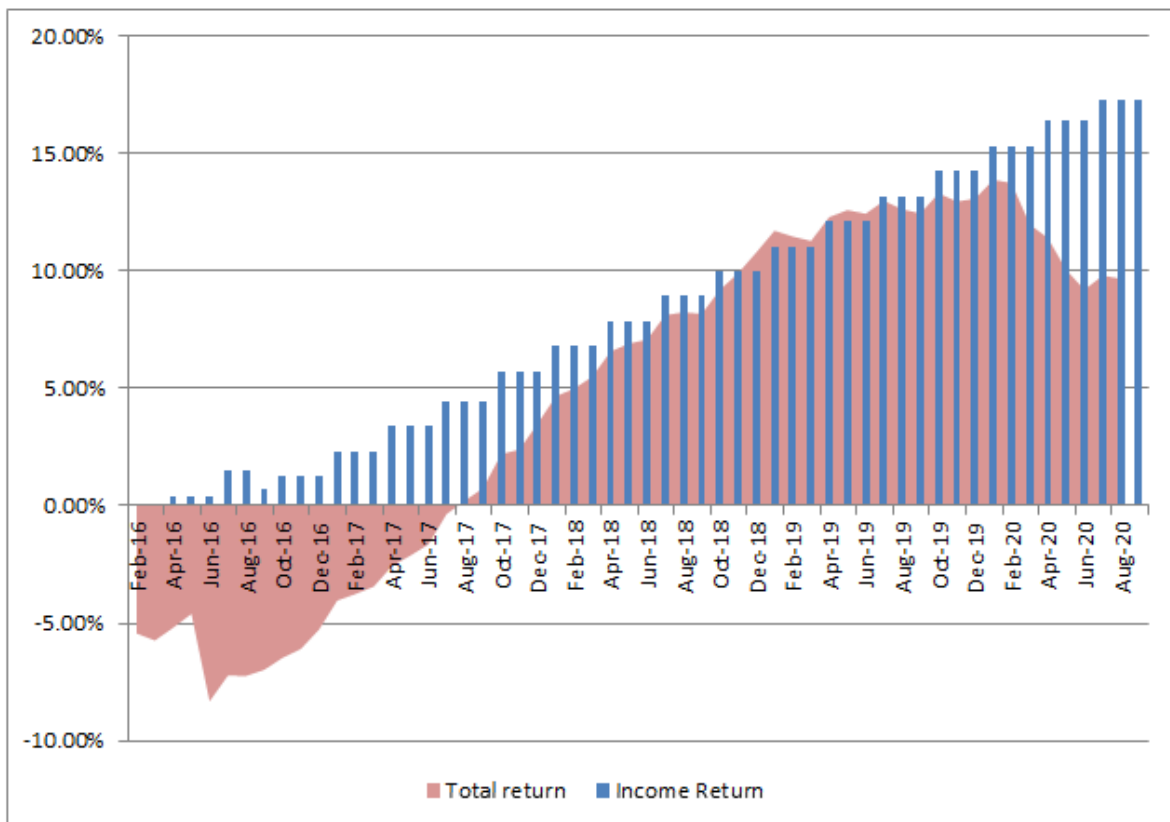


Local Authority Property Fund: Total Investment £10,000,000

Month by Month



Cumulative



Appendix B: Treasury Management – Benchmarking indicators

Note: this information will be updated once quarter 2 benchmarking data is available

Return

| Measure | Qtr 3 19-20 | Qtr. 4 19-20 | Qtr 1 20-21 | Qtr. 2 20-21 | Non-met districts Q4 average | Rating |
|---|----------------|-----------------|----------------|-----------------|---------------------------------------|--------|
| Internal investment return % | 0.86 | 0.81 | 0.47 | | | |
| External funds – income return % | 3.92 | 3.97 | 3.97 | | | |
| External funds – capital gains/losses % | 0.48 | -7.87 | -8.09 | | | |
| Total treasury Investments – income return % | 1.96 | 2.14 | 1.89 | | | |

Security

| | Average Credit Score (higher = better) | Average Credit Rating | Bail-in exposure (lower = better) |
|------------------------------|--|--------------------------|---|
| 31 March 2020 | 3.85 | AA- | 29% |
| 30 September 2020 | | | |
| Similar Local Authorities | | | |

Liquidity

| | 7 day liquidity | 100 day liquidity | Average maturity |
|------------------------------|-----------------|----------------------|---------------------|
| 31 March 2020 | 13% | 43% | 52 days |
| 30 September 2020 | | | |
| Similar Local Authorities | | | |

Appendix C – Compliance report

Compliance with investment limits

| | 2020/21 Limit | Complied/ Exception Ref |
|--------------------------------------|------------------|----------------------------|
| Banks unsecured, total | £30m | Complied |
| Corporates, total | £10m | Complied |
| Local Authority property fund, total | £10m | Complied |
| Other pooled investment funds, total | £30m | Complied |
| Council's own bank, total max 7 days | £2.5m | Complied |
| Money market Funds, total | £24m | Complied |
| Counterparty ratings | various | Complied |

Interest rate exposure

This indicator is set to control the Authority's exposure to interest rate risk.

To measure this, the council calculates the effect of a 1% change in interest rates and has set a reportable exception level where the impact of this exceeds 50% of the council's individual counterparty limit (£3m).

| | 25/9/20 Actual | 2020/21 Limit | |
|---|-------------------|------------------|----------|
| Upper limit on one-year revenue impact of a 1% change in interest rates | £0.26m | £3m | Complied |

The risk of interest rate exposure faced by the council is relatively low as the council's investments are still primarily short duration fixed interest or overnight money market deposits.

Principal Sums Invested for Periods Longer than 364 days

The purpose of this indicator is to control the Authority's exposure to the risk of incurring losses by seeking early repayment of its investments. The long-term principal sums invested to final maturities beyond the period end were:

| | 2020/21 September | 2021/22 | 2022/23 |
|---|----------------------|----------|----------|
| Actual principal invested beyond year end | £34.0m | £34.0m | £34.0m |
| Limit on principal invested beyond year end | £50m | £50m | £50m |
| | Complied | Complied | Complied |

Appendix D: Non-Treasury investment indicators

The Council has set the following indicators to measure its exposure to risk associated with non-treasury investments.

| Measure | Description | 30 September 2020 |
|--|---|---|
| Commercial income to net service expenditure | This indicator measures the Council's dependence on income from its commercial property investments as a proportion of the net cost of services | This indicator is only calculated and reported as at 31 March each year. |
| Net operating surplus | This indicator measures the contribution received from the investment portfolio at a net level (income less costs) over time. | This indicator is only calculated and reported as at 31 March each year For the first half year, rent received totalled £469k (19-20 full year £963k net of direct costs not deducted from the above figure.) |
| Vacancy levels and tenant exposure | Monitoring vacancy levels to ensure the property portfolio is being managed productively. | Voids at 30th September: <ul style="list-style-type: none"> • Industrial 3/15 • Retail 2/26 • Offices 2/8 Total 7/49 = 14.3% (19/20 14%) |
| Exposure to credit default events for loans made | This will measure the Council's exposure to loss through default for non-treasury loans made to third parties | None |
| Market value of commercial properties | This indicator will track the Council's ability to recover its investment in any commercial investment should the need arise. | Commercial investment valuations were prepared as at 31st March 2020 and the Council's statement of accounts discloses a value of £13.6m for the Council's investment properties on that date. This value remains the latest valuation It is generally accepted that it remains too early to know the full impact of Covid -19 on the commercial property market, or how long for. It is almost impossible to predict the full impact on our investment properties with any certainty and with limited to zero tangible evidence to support it. What is consistent within the profession is the expectation that investment properties, particularly retail, will have suffered significantly and will continue to do so as a consequence to government restrictions in place as a result of Covid-19. In addition to anticipated downward pressure on rents and increasing risk of tenant default, investment yields will need to reflect the added risk to future income streams and will ultimately result in lower capital values. These values may well fall below the original purchase price of the investment properties, although we should not lose sight of the income received since the acquisition when comparing to the original purchase price. |

Appendix E

Arlingclose's Outlook for the remainder of 2020/21

| | Dec-20 | Mar-21 | Jun-21 | Sep-21 | Dec-21 | Mar-22 | Jun-22 | Sep-22 | Dec-22 | Mar-23 | Jun-23 | Sep-23 | Dec-23 |
|--------------------------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|
| Official Bank Rate | | | | | | | | | | | | | |
| Upside risk | 0.00 | 0.00 | 0.00 | 0.15 | 0.15 | 0.15 | 0.15 | 0.30 | 0.30 | 0.30 | 0.30 | 0.30 | 0.30 |
| Arlingclose Central Case | 0.10 | 0.10 | 0.10 | 0.10 | 0.10 | 0.10 | 0.10 | 0.10 | 0.10 | 0.10 | 0.10 | 0.10 | 0.10 |
| Downside risk | 0.50 | 0.50 | 0.50 | 0.50 | 0.50 | 0.50 | 0.50 | 0.50 | 0.50 | 0.50 | 0.50 | 0.50 | 0.50 |

The medium-term global economic outlook is weak. While the strict initial lockdown restrictions have eased, coronavirus has not been suppressed and second waves have prompted more restrictive measures on a regional and national basis. This ebb and flow of restrictions on normal activity will continue for the foreseeable future, at least until an effective vaccine is produced and importantly, distributed.

The global central bank and government responses have been significant and are in many cases on-going, maintaining more stable financial, economic and social conditions than otherwise. This has supported a sizeable economic recovery in Q3.

However, the scale of the economic shock to demand, on-going social distancing measures, regional lock downs and reduced fiscal support will mean that the subsequent pace of recovery is limited. Early signs of this are already evident in UK monthly GDP and PMI data, even before the latest restrictions.

This situation will result in central banks maintaining low interest rates for the medium term. In the UK, Brexit is a further complication. Bank Rate is therefore likely to remain at low levels for a very long time, with a distinct possibility of being cut to zero. Money markets have priced in a chance of negative Bank Rate.

Longer-term yields will also remain depressed, anchored by low central bank policy rates, expectations for potentially even lower rates and insipid inflation expectations. There is a chance yields may follow a slightly different path in the medium term, depending on investor perceptions of growth and inflation, or if the UK leaves the EU without a deal.

Arlingclose expects Bank Rate to remain at the current 0.10% level and additional monetary loosening in the future most likely through further financial asset purchases (QE). While Arlingclose's central case for Bank Rate is no change from the current level of 0.1%, further cuts to Bank Rate to zero or even into negative territory cannot be completely ruled out.

Gilt yields are expected to remain very low in the medium term. Shorter-term gilt yields are currently negative and will remain around zero or below until either the Bank of England expressly rules out negative Bank Rate or growth/inflation prospects improve.

Downside risks remain in the near term, as the government dials down its fiscal support measures, reacts to the risk of a further escalation in infection rates and the Brexit transition period comes to an end.

Chichester District Council
CORPORATE GOVERNANCE & AUDIT COMMITTEE

19th October 2020

Progress Report – 2019/20 Audit Plan & Audit Plan 2020/2021

1. Contacts

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2. Recommendation

- 2.1 That the committee notes performance against the 2019/20 audit plan, and also the audit plan for 2020/21.

3. Update on 2019/20 audit plan

- 3.1 In the original audit plan approved by Corporate Governance and Audit Committee there were 29 full audits and 8 follow ups, totalling 37 reviews. There were also 13 days included in the plan for any in year follow-ups that may arise should the exceptions raised be significantly concerning and require addressing by the client as a matter of urgency.

- 3.2 The audit plan 2019/20 comprised 33 audit reviews in total.

- 3.3 As at 19th October, 32 audits have been completed and issued as final reports (97%). The audit still outstanding is the Novium Museum & TIC follow-up. Information has been requested from the Novium Manager but this has not been forthcoming. The audits issued as final since the last committee meeting were:

- Corporate Debt Recovery
- CIL reconciliations

- 3.4 Results of the audits are contained in appendix one. There have been no audits given a 'No Assurance' rating and no critical exceptions have been raised.

4. Update on Audit Plan 2020/2021

- 4.1. The audit plan for 2020/2021 has been prepared and considers risk, value and system complexity. The Directors and Divisional Managers have been

consulted during the preparation of the plan. It is envisaged that a large proportion of the audit work will be to undertake the Key Financial Systems work. The remaining time will be taken up with annual activity and audits that are high risk, or have not been audited before

4.2. The audit plan agreed by committee comprised 30 full reviews and 4 follow-ups. A review has been carried out of the 2020/21 audit plan as a result of a current short-term reduction in audit resource. It is proposed that the following audits are removed from the plan as they are classed as medium rather than high risk areas in the plan:

- Car Park Income and reconciliation
- New Homes Bonus
- Succession Planning
- Fixed Penalty Notices

Dog control is also to be removed from the plan as the service is currently going through a service review and new procedures are to be brought in during 2021/22.

4.3. The audit plan therefore now comprises 25 full reviews and 4 follow-ups.

4.4. As at 19th October, 1 audit has been issued as final (3%), 1 audit is at draft report stage (3%), and 9 are work in progress (31%).

4.5. The audit issued as final is Credit Card Usage.

5. Background

5.1. Not Applicable

6. Outcomes to be Achieved

6.1. Not Applicable

7. Proposal

7.1. Not Applicable

8. Alternatives Considered

8.1. Not Applicable

9. Resource and Legal Implications

9.1. Not Applicable

10. Consultation

10.1. Not Applicable

11. Community Impact and Corporate Risks

11.1. Not Applicable

12. Other Implications

| <i>Are there any implications for the following?</i> | | |
|--|-----|----|
| | Yes | No |
| Crime & Disorder: | | √ |
| Climate Change and Biodiversity: | | √ |
| Human Rights and Equality Impact: | | √ |
| Safeguarding and Early Help: | | √ |
| General Data Protection Regulations (GDPR): | | √ |
| Health and Wellbeing: | | √ |
| Other (Please specify): | | √ |

13. Appendices

13.1. Audits completed since the last committee.

14. Background Papers

14.1 None

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Audits completed since the last Committee meeting (1st September 2020)

| Audit title | Critical Risk | High Risk | Medium Risk | Low Risk – Improvement | Total no of Exceptions | Overall Assurance level | Summary |
|---------------------------------|---------------|-----------|-------------|------------------------|------------------------|-------------------------|---|
| Corporate Debt Recovery (19/20) | 0 | 6 | 2 | 0 | 8 | Limited Assurance | <p>The 6 high risk exceptions raised related to:</p> <ul style="list-style-type: none"> • Out of date procedures being used by the Corporate Debt Recovery team • Automated debt reminders not always being produced by Civica • Lack of monitoring of payment arrangements and arrangements being set too low • Duplication of debt recovery effort between services and the Corporate Debt Recovery team • Timeliness of action taken by the Corporate Debt Recovery team • Lack of recording of action taken on debts within Civica <p>The 2 medium risk exceptions raised related to:</p> <ul style="list-style-type: none"> • High levels of credit notes being raised to correct incorrectly raised invoices • Services not running the aged debt report in order to monitor their debt situation |

| Audit title | Critical Risk | High Risk | Medium Risk | Low Risk – Improvement | Total no of Exceptions | Overall Assurance level | Summary |
|-------------|---------------|-----------|-------------|------------------------|------------------------|--------------------------|---|
| Credit card | | 3 | 1 | | 4 | Limited Assurance | <p>The 3 high risk exceptions raised related to:</p> <ul style="list-style-type: none"> • Purchase orders not being raised and a lack of supporting documents. • Procedures not complied with for the usage of a credit card. • Travel & subsistence payments not being authorised by a senior officer. <p>The 1 medium risk exception raised related to:</p> <ul style="list-style-type: none"> • Storage of credit cards. |

Follow-ups

| Audit title | Issues addressed | Issues ongoing | Comment |
|----------------------------|------------------|----------------|--|
| S106 & CIL reconciliations | 2 | 0 | All Issues have been addressed by the client |



Corporate Debt Recovery 2019/20

FINAL REPORT

Louise Northcott

1st October 2020

Distribution List: Louise Rudziak (Director for Housing & Communities), Kerry Standing (Divisional Manager), Paul Jobson (Revenues and Debt Recovery Manager), John Ward (Director for Corporate Services), Helen Belenger (Divisional Manager), Mark Catlow (Group Accountant), Carol Towner (Income & Payments Manager), Jane Hotchkiss (Director for Growth and Place), Andrew Frost (Director for Planning & the Environment), Laurence Foord (Divisional Manager), Alison Stevens (Divisional Manager), Linda Grange (Divisional Manager), Kevin Carter (Divisional Manager), Vicki McKay (Divisional Manager).

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1) Executive Summary

i) Introduction

This audit was carried out as part of the agreed audit plan for 2019/20 financial year. Audit testing has been restricted to areas that have been assessed as high risk by Internal Audit.

Audit testing has been carried out on the following objectives to ensure that:

- Invoices are set up correctly in the first instance to prevent erroneous data from appearing in the aged debt figures
- There are clear procedures in place that set out debt recovery responsibilities for Income & Payments, Service Areas, and the Corporate Debt Recovery Team
- Outstanding debts are monitored as a matter of course across the authority
- Working practices aid effective debt recovery
- Payment arrangements are monitored and action taken if they are not adhered to

ii) Overall audit opinion

The overall audit opinion is based solely on testing carried out and discussions held during the course of the audit.

| | Levels | Description/Examples |
|----------|--|--|
| | No Assurance (Critical Risk Exceptions) | Major individual issues identified or collectively a number of issues raised which could significantly impact the overall objectives of the activity that was subject to the Audit |
| → | Limited Assurance (High Risk Exceptions) | Control weaknesses or risks were identified which pose a more significant risk to the Authority |
| | Reasonable Assurance (High or Medium Risk Exceptions) | Control weaknesses or risks were identified but overall the activities do not pose significant risks to the Authority |
| | Assurance (Low Risk/Improvement Exceptions) | No issues or minor improvements noted within the audit but based on the testing conducted, assurance can be placed that the activity is of low risk to the Authority |

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iii) Summary of findings

Objective 1: To ensure that invoices are set up correctly in the first instance to prevent erroneous data from appearing in the aged debt figures – Reasonable Assurance

1 medium risk exception was raised as a result of audit testing under this objective.

A report was run on all credit notes raised between 3/12/18 and 9/12/19, of which there were 242. For the same period there were 43,240 invoices raised so the proportion of credit notes raised is very low (0.56%). A sample was chosen to try and establish trends across the Authority. The highest number of credit notes were raised by Garden Waste (77), Estates (59), Trade Waste (33) and Licensing (32). A sample of credit notes for these sections (10 Estates, 5 Trade Waste, 5 Licensing and 10 Garden Waste) was tested and it was found that 12 were raised to correct incorrectly raised invoices. See EX 1 for the detailed findings.

Objective 2: To ensure that there are clear procedures in place that set out debt recovery responsibilities for Income & Payments, Service Areas, and the Corporate Debt Recovery Team - Limited Assurance

1 high risk exception was raised as a result of audit testing under this objective.

A review of the Corporate Debt Recovery (CDR) procedures 2017 confirmed that they did not set out responsibilities for debt recovery. Therefore there has historically been a lack of clarity over who should be doing what during the debt recovery process. The Income & Payments Manager drew up an Invoice, Recovery and Aged Debt document which did set out responsibilities, however this is not being followed by all services.

A new CDR policy has been written which was approved by Cabinet to be brought into force on 1/3/20. The policy clearly sets out responsibilities for Income & Payments, services and Corporate Debt Recovery. Administration and recovery action for sundry debtors should be dealt with by the Income & Payments team and the Taxation (CDR) team. However, historic practice noted in EX 4 - 8 such as information being held outside of Civica instead of in the notes, and action being taken by services rather than the Income & Payments team or the Taxation team still appear to be occurring which is not in line with the aims of the policy.

The debt recovery procedures followed by the Corporate Debt Recovery team were found to be out of date. See EX2 for full details of the findings.

Objective 3: To ensure that outstanding debts are monitored as a matter of course across the authority - Reasonable Assurance

1 medium risk exception was raised as a result of audit testing under this objective.

A requirement of the Debt Management report guidance is that services should run a monthly debt management report and investigate invoices 21 - 35 days old with notes made on Civica of action taken or conversations held. This should be emailed to the Income & Payments team by the 10th of the month. The Income & Payments Manager confirmed that she only receives an email from 1 service each month confirming that they have reviewed the aged debt report.

As at 5/12/19 the top 3 services with the most amount of debt were, in order, Estates, Trade Waste and Housing. 1 of these 3 services confirmed that they do not run the aged debt report in order to monitor levels of outstanding debts.

Objective 4: To ensure that working practices aid effective debt recovery - Limited Assurance

5 high risk exceptions were raised as a result of testing under this objective.

Testing under this objective covered:

- Timeliness of automated debt reminders from Civica
- Agreement of payment arrangements
- Handover of debt to the Corporate Debt Recovery team
- Timeliness of action taken by the Corporate Debt Recovery team
- Recording of action taken on debts

Issues were found relating to all of the areas tested. Full details are contained within EX 4 – 8.

Objective 5: To ensure that payment arrangements are monitored and action taken if they are not adhered to - Limited Assurance

1 high risk exception was raised as a result of testing under this objective. See EX 5 for the detailed findings.

Overall assurance level – Limited Assurance

6 high risk and 2 medium risk exceptions have been raised as a result of testing carried out during the course of the audit. Therefore Internal Audit can give limited assurance that the area is of low risk to the Authority.

Prior to the occurrence of Covid-19 a new Debt Recovery team was due to be set up. The staff that would have been part of the team have been re-deployed as no enforcement action may take place during Covid-19 under 'The Taking Control of Goods and Certification of Enforcement Agents (Amendment) (Coronavirus) Regulations'. When the new team is able to operate, new processes and procedures will follow which will be reviewed by Internal Audit in a future audit.

Key for risk rating of exceptions:

| Priority Level | Description |
|-------------------------------|---|
| Critical Risk | <p>Control weakness that could have a significant impact upon not only the system function or process objectives but also the achievement of the organisation's objectives in relation to:</p> <ul style="list-style-type: none">▪ The efficient and effective use of resources▪ The safeguarding of assets▪ The preparation of reliable financial and operational information▪ Compliance with laws and regulations <p>And corrective action needs to be taken immediately.</p> |
| High Risk | <p>Action needs to be taken to address significant control weaknesses but over a reasonable timeframe rather than immediately. These issues are not "show stopping" but are still important to ensure that controls can be relied upon for the effective performance of the service or function. If not addressed, they can, over time, become critical. An example of an important exception would be the introduction of controls to detect and prevent fraud.</p> |
| Medium Risk | <p>These are control weaknesses that may expose the system function or process to a key risk but the likelihood of the risk occurring is low.</p> |
| Low Risk - Improvement | <p>Very low risk exceptions or recommendations that are classed as improvements that are intended to help the service fine tune its control framework or improve service effectiveness and efficiency. An example of an improvement recommendation would be making changes to a filing system to improve the quality of the management trail.</p> |

| | |
|--|--|
| EX 1 – Action taken to correct incorrect invoices | |
| Risk rating: Medium | |
| Findings | |
| <p>A sample of credit notes was tested (10 Estates, 5 Trade Waste, 5 Licensing and 10 Garden Waste) to establish the reason for the credit note and to identify how many were to correct incorrectly raised invoices. It was found that:</p> <ul style="list-style-type: none"> • For Estates 7 (70%) of these were recorded as the invoice being raised in error. • For Trade Waste 3 (60%) of these were recorded as the invoice being raised in error. • For Licensing 2 (40%) of these were recorded as the invoice being raised in error • For Garden Waste none were recorded as the invoice being raised in error | |
| Risks and consequences | |
| <p>Invoices raised incorrectly in the first instance can lead to erroneous data being included in the aged debt figures and can skew the figures.</p> <p>It can also mean that if errors are not identified and corrected then the debts may be uncollectable and will have to be written off. This will have an impact on the Authority's finances.</p> | |
| Agreed action | Officer responsible and by when |
| Divisional Managers to remind staff raising invoices that the details put onto Civica need to be as accurate as possible to reduce the potential need to raise credit notes at a later time. | Divisional Managers - Immediately |

| | |
|--|---|
| EX 2 – Currency of debt recovery procedures | |
| Risk rating: High | |
| Findings | |
| <p>At the time the audit was being undertaken the debt recovery procedures followed by the Corporate Debt Recovery team were found to be out of date; there are a lot of steps in the procedure that are not relevant to current practices.</p> <p>For example: the procedure mentions contacting customers by phone and negotiating payments once the debt has come down from Income & Payments. The Senior Revenues Officer confirmed that this is not done.</p> | |
| Risks and consequences | |
| <p>If procedures are not current and do not reflect actual practices that should be followed then there is a risk that debts are not chased up in a consistent, effective or timely manner. This could result in debts not being paid which will have an impact on the Authority's finances.</p> | |
| Agreed action | Officer responsible and by when |
| The debt recovery procedures are to be updated to reflect current practice. | Debt Recovery Team Leader – 15 th September 2020 |

| | |
|--|--|
| EX 4 – Civica automated debt recovery action | |
| Risk rating: High | |
| Findings | |
| <p>A sample of 25 debts was tested to confirm that the automated reminders had been generated. Issues were found on 3 (12%) of the debts.</p> <ul style="list-style-type: none"> • For 1 of the debts the recovery route had been set incorrectly and therefore the automated reminder was not generated, • For 1 of the debts there was no apparent reason why the automated reminder was not generated • For the other debt there was a delay of 2 weeks in authorising the invoice, resulting in the invoice being 2 weeks overdue before it was even received. This impacted on how timely debt recovery action appeared to take place. | |
| Risks and consequences | |
| <p>If debt recovery action does not take place then there is a risk that outstanding debts are not paid which will have an impact on the Authority's finances.</p> <p>Also, as services do not appear to be reviewing the aged debt report then issues such as debt recovery not occurring are not being picked up and addressed. This could lead to debts not being chased up which could also impact on the Authority's finances</p> | |
| Agreed action | Officer responsible and by when |
| <p>Divisional Managers to ensure that regular monitoring of the debt situation is undertaken and any action taken recorded in Civica.</p> <p>Finance are intending to put in place a dashboard system within Civica in approximately 12 months that Divisional/Operational Managers will be able to use to easily establish the debt information for their service and take action where required.</p> | <p>Divisional Managers – from the date of the audit</p> <p>Finance – summer 2021</p> |

EX 5 – Payment plans agreed by services and the CDR team**Risk rating: High****Findings**

If services deal with payment plans then they tend to only consider the debt outstanding to the service as they may not be aware that there are other debts across the Authority.

There are no payment plans in place for Housing debts. Testing of payment plans for Estates and Trade Waste found the following:

- There are currently only 4 Trade Waste accounts with payment plans in place. Plans only cover trade waste debts and not any other debts that might be in existence. Testing found that all plans would repay the debts within 1 to 6 months.
- There is no overarching list of payment arrangements agreed with Estates debtors other than those that have been moved over to monthly payments. Monthly payments do not pay off historic debts but make it easier for the debtor to pay future invoices. The Estates Surveyor who reviews the monthly aged debt report is only aware of 1 aged debt that has a payment plan in place, for £20 a month. The account balance as at 18/5/20 was £2,188. At this rate of payment it will take 9 years to clear the debt. Contact has been made with the debtor requesting an increase in the payment amount however no response was forthcoming. This debt is being monitored on a monthly basis. Civica has been updated to reflect the arrangement in place.

The Taxation & Business Rates Officer confirmed that a comprehensive list of payment arrangements made by CDR is not kept by CDR. Instead Income & Payments are informed of all arrangements and these are recorded on Civica as 'Recovery Type - instalment'. The Taxation & Business Rates Officer monitors the agreements that she makes via reminders on her outlook calendar. No monitoring of instalments is currently done by Income & Payments but this is planned to be done once debt recovery is up and running.

The Taxation & Business Rates Officer was able to provide details of 3 cases where she had agreed an arrangement. 2 of the agreements seemed reasonable and would pay off the debt within 12 months. The other arrangement was due for review after 6 months on the understanding that the instalment amount would need to increase as at the initial rate of payment the debt would not be paid off within 12 months.

Payments had ceased before the debt had been paid off for all 3 arrangements, and no payments were actually received for one of the arrangements at all. This arrangement was due to start repayment 31/5/19 but no payments were received and there were no

| | |
|---|---|
| <p>notes on Civica showing that any further debt recovery action had been taken. For the other 2 arrangements payments were received up until Feb/March 2020. No outstanding payments are being chased at the moment due to Covid-19.</p> | |
| <p>Risks and consequences</p> <p>If payment arrangements are set too low then debts will take an excessive amount of time to repay the debt. The longer a payment arrangement is for then the higher the risk that the arrangement will be broken.</p> <p>If payment arrangements are not being monitored regularly then there is the risk that payments are not made or payments cease and this does not get picked up and further debt recovery action is not taken to ensure payments are made.</p> <p>These issues could lead to loss of income and an increased level of debt provision needed by the Council.</p> | |
| <p>Agreed action</p> <p>The Revenues, Housing Benefits and Customer Services Divisional Manager and her managers have met with all Divisional Managers to clarify responsibilities between the service area and the Corporate Debt team. An SLA has been put in place which will reinforce this.</p> <p>Divisional Managers to ensure that the SLA is being adhered to in terms of liaison with Income & Payments and the Debt Recovery team when agreeing payment plans to ensure that they are not being made in isolation and take into account all debts that the debtor may have across CDC.</p> <p>Finance will investigate if a report listing exceptions to payment plans can be set up to support action by Corporate Debt Recovery.</p> <p>Corporate Debt team will monitor compliance with payment arrangements and will contact the debtor should non-payment occur.</p> | <p>Officer responsible and by when</p> <p>Revenues & Benefits Divisional Manager – end of August 2020</p> <p>Divisional Managers – from date of SLA implementation</p> <p>Group Accountant – As needed</p> <p>Revenues & Debt Recovery Manager – from date recovery action recommences</p> |

| | |
|---|---|
| EX 6 – Referral of debts to the Corporate Debt Recovery team | |
| Risk rating: High | |
| Findings | |
| <p>The process within Civica is that 2 automated reminder letters are sent to debtors at day 21 and day 35. Once debts are over 42 days old they are referred down to CDR by Income & Payments.</p> <p>Income & Payments run a daily report of all invoices that have reached the Letter Before Action (DR3) or Referred to Debt Collection Agency stage (DR4) and e-mail CDR who take over debt recovery. However, services still seem to be taking their own debt recovery action outside of this process therefore it is not possible to say definitively that debts have been handed over to CDR even if they have been referred down by Income & Payments.</p> | |
| Risks and consequences | |
| If services are dealing with debts as well as the CDR team then this is a duplication of effort and not a good use of resources. | |
| Agreed action | Officer responsible and by when |
| Divisional Managers to ensure that the SLA is being adhered to in terms of making sure that debts are referred to the Corporate Debt team in accordance with the SLA. | Divisional Managers – from date of SLA implementation |

| | |
|---|---|
| EX 7 – Timeliness of action taken by the Corporate Debt Recovery team | |
| Risk rating: High | |
| Findings | |
| <p>The CDR procedures do not set out timescales for when the CDR team will chase debts once they have been referred down from Income and Payments. A sample of debts referred from Income & Payments was tested to see how quickly chasing letters were sent out. Letters for 19 of the 25 tested were sent on the same day. For the other six cases time to send the letters ranged from 1 day to 9 days. This is reasonably timely.</p> <p>A sample of 10 aged debts from Housing & Estates dating from April 2016 to July 2019 was tested to establish whether ongoing debt recovery by the CDR team was occurring on a timely basis. It was found that there were gaps between action noted in Civica ranging from 6 to 18 months, although there could be action going on by the service or CDR that is not being noted.</p> | |
| Risks and consequences | |
| <p>If debts are not monitored and continuous action not taken then the risk is that the prospect of recovery diminishes significantly leading to loss of income and an increased level of bad debt provision needed by the Council.</p> | |
| Agreed action | Officer responsible and by when |
| <p>The SLA sets out timescales for action by both the Corporate Debt team and the service areas.</p> <p>Service areas/Corporate Debt team to ensure that these timescales are adhered to on both sides.</p> | <p>Divisional Managers/Revenues & Debt Recovery Manager – from date of SLA implementation</p> |

| | |
|--|---|
| <p>EX 8 – Recording of action taken on debts Risk rating: High</p> | |
| <p>Findings</p> <p>During testing it was established that both Trade Waste and Estates are maintaining a separate spreadsheet outside of Civica detailing the situation with the debt and are not recording action taken on Civica.</p> <p>A sample of 3 Housing and 2 Estates debts dating from March 2017 to September 2019 found that for all of the debts notes were not made on Civica records by the services detailing what the situation with the debt was, requiring CDR to make contact with the service to establish exactly what was going on with the debt. CDR recorded notes once the situation with the debt was determined.</p> <p>A sample of 4 Trade waste accounts was also tested dating from May 2019 to March 2020. No notes had been made in Civica by the service for 2 of the accounts reflecting the payment arrangements in place. For the other 2 accounts notes had been made on Civica by the Income & Payments team and the CDR team.</p> | |
| <p>Risks and consequences</p> <p>Without one central repository of information relating to debts it is not possible for either the Income & Payments team or the CDR team to be able to tell at a glance what the situation is with the debt in terms of contact made, payment arrangements or any other pertinent information. This could lead to duplication of effort and resources needing to be used to speak to the service to establish what the situation is with the debt. This is not a good use of resources and could result in time being wasted which could be better used on debt recovery tasks.</p> | |
| <p>Agreed action</p> <p>The SLA sets out that notes are to be added to Civica in all cases by the service area and are kept up to date to enable the Corporate Debt team to know the status of each referral they receive.</p> <p>Divisional Managers to ensure that staff are aware of the requirement to record any action taken by the service on Civica and to ensure that this is adhered to.</p> <p>Corporate Debt team to feed back where this requirement has not been adhered to.</p> | <p>Officer responsible and by when</p> <p>Divisional Managers – from the date of the audit</p> <p>Revenues & Debt Recovery Manager – from date of SLA implementation</p> |



Corporate Credit Card Usage

FINAL REPORT

Author

July 2020

Distribution List

John Ward - Director of Corporate Services, Helen Belenger – Divisional Manager, Mark Catlow – Group Accountant, Sue Dusart – Assistant Accountant, All Cardholders.

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1) Executive Summary

i) Introduction

This audit was carried out as part of the agreed audit plan for the 2020/21 financial year. Audit testing has been restricted to areas that have been assessed as high risk by Internal Audit.

For the period 2019/20 the total payments the Council incurred is £70,580.29 spread over 16 corporate credit cards. At the start of the audit there were 21 cards in use with one being cancelled during the audit.

Audit testing has been carried out on the following objectives to ensure that:

- **Objective 1: Controls are in place for the issue of corporate credit cards**
- **Objective 2: That Council Policy has been adhered to for the usage of credit cards**

ii) Overall audit opinion

The overall audit opinion is based solely on testing carried out and discussions held during the course of the audit.

| | Levels | Description/Examples |
|---|--|--|
| | No Assurance (Critical Risk Exceptions) | Major individual issues identified or collectively a number of issues raised which could significantly impact the overall objectives of the activity that was subject to the Audit |
| → | Limited Assurance (High Risk Exceptions) | Control weaknesses or risks were identified which pose a more significant risk to the Authority |
| | Reasonable Assurance (High or Medium Risk Exceptions) | Control weaknesses or risks were identified but overall the activities do not pose significant risks to the Authority |
| | Assurance (Low Risk/Improvement Exceptions) | No issues or minor improvements noted within the audit but based on the testing conducted, assurance can be placed that the activity is of low risk to the Authority |

iii) Summary of findings

Objective 1: To ensure that controls are in place for the issue of corporate credit cards – Reasonable Assurance

There was one medium risk exception raised as a result of testing carried out under this objective.

On receipt of a corporate credit card the card holder signs a User Agreement/Procedure that also gives instruction on the use of the credit card including keeping the card secure at all times. From data provided by Financial Services at the start of the audit there were 21 active credit cards. Testing found in all cases there was a signed copy of the agreement. There are more in depth procedures available to all staff on the Council's intranet 'Purchasing Using a Corporate Credit Card'. These are updated on an annual basis or as required and were last updated in May 2020.

During the audit a cardholder left the Council, leaving 20 active cardholders. A physical check for the security of credit cards could not be carried out due to COVID-19, so a questionnaire was sent to all cardholders. It was ascertained that 3 credit cards are held in a locked safe within the Council offices and 17 were kept on their person. Cards that are held in the Council offices would not be able to be used in an emergency situation if the building was inaccessible. There is also a security risk that credit cards could be accessed and used by an unauthorised officer with access to the safes (see EX1.1).

Each new credit card is required to have an allocated unique supplier number for purchase orders and invoices payments to be allocated against within the Council's financial system, Civica. A review within Civica of each credit card holder found that each card holder was allocated a supplier number. All supplier numbers had been allocated in numerical order.

Objective 2: To ensure that Council Policy has been adhered to for the usage of credit cards - Limited Assurance

3 high risk exceptions have been raised as a result of testing carried out under this objective.

Each card has been given a single purchase limit as well as a monthly limit to control the value of purchases. Testing found that all credit cards in use had set limits depending on staff position. The Director of Corporate Services, or in his absence the Financial Services Divisional Manager, can give approval in times of an emergency for a card holders' credit to be increased. Testing found

that due to the current pandemic, the credit limit has been increased on 8 cardholders' credit cards and these had been approved by the Director of Corporate Services.

From the 20 active accounts, 15 cards had been used. The Council's Financial Regulations set out that an authorised purchase order must be created in Civica prior to placing an order with a supplier, whether the purchase is by invoice or by credit card. Only under exceptional circumstances can a purchase order be raised retrospectively and authorised. Testing carried out on purchases on the 15 active cards found that this was not always the case (see EX2.1).

It is also a requirement to supply a VAT receipt/invoice to support the purchase, this is scanned onto Civica and matched against the purchase order to ensure they correlate and VAT can be reclaimed where applicable. If an Invoice or a VAT receipt is not provided then the Council are unable to reclaim the VAT (see EX 2.2).

The card must not be used for inappropriate transactions such as entertaining guests etc. and used in accordance with the Council's Constitution and Financial Regulations. The card should only be used for purchasing goods and services on behalf of the Council where no other payment method is accepted, or due to purchases being made on-line or by telephone to expedite urgent items. A review of each card expenditure for this financial year found that on occasion payments could have been made by invoice. (see EX2.3).

A procedure is in place for a credit card reconciliation which is carried out by the Assistant Accountant. Statements are downloaded each month from the NatWest Cards Online system and checked against purchase orders raised within Civica. Any anomalies are raised with the cardholder and the Group Accountant.

When a card holder leaves employment or the credit card is no longer required, cards are cancelled. Testing found that there were 7 cancelled cards between March 2018 and March 2020, 5 of which were leavers and 2 were no longer required. All 5 leavers' credit cards were cancelled prior to leaving the Council. Confirmation letters from NatWest were found on file for all cancelled cards except one that had been mislaid. A copy of the letter was requested from NatWest and received.

Overall assurance level – Limited Assurance

3 high risk and 1 medium risk exceptions have been raised as a result of testing carried out during the course of the audit. Therefore Internal Audit can give limited assurance that the area is of low risk to the Authority.

Key for risk rating of exceptions:

| Priority Level | Description |
|-------------------------------|---|
| Critical Risk | Control weakness that could have a significant impact upon not only the system function or process objectives but also the achievement of the organisation’s objectives in relation to: <ul style="list-style-type: none">▪ The efficient and effective use of resources▪ The safeguarding of assets▪ The preparation of reliable financial and operational information▪ Compliance with laws and regulations And corrective action needs to be taken immediately. |
| High Risk | Action needs to be taken to address significant control weaknesses but over a reasonable timeframe rather than immediately. These issues are not “show stopping” but are still important to ensure that controls can be relied upon for the effective performance of the service or function. If not addressed, they can, over time, become critical. An example of an important exception would be the introduction of controls to detect and prevent fraud. |
| Medium Risk | These are control weaknesses that may expose the system function or process to a key risk but the likelihood of the risk occurring is low. |
| Low Risk - Improvement | Very low risk exceptions or recommendations that are classed as improvements that are intended to help the service fine tune its control framework or improve service effectiveness and efficiency. An example of an improvement recommendation would be making changes to a filing system to improve the quality of the management trail. |

| | |
|--|--|
| EX1.1 Corporate Credit Cards are held by the card holder outside of office hours at all times. | |
| Risk Rating: Medium | |
| Findings | |
| The policy for credit cards states they should be held securely at all times. A physical check for the security of credit cards could not be carried out due to COVID-19, so a questionnaire was sent to all cardholders. It was ascertained that 3 credit cards are held in a locked safes within the Council Offices and 17 were kept on their person. | |
| Risks and consequences | |
| If officers were not able to access the Council Offices to retrieve their corporate credit card then they would not be able to use the card in the event of emergency acquisitions. This could affect business functions within the Council. | |
| There is also a risk of unauthorised access to the credit cards being held in a safe which could result in unapproved purchases and financial loss to the Council if supplies or services were unable to be refunded. | |
| Agreed action | Officer responsible and by when |
| The policy is made clear where corporate cards are held to ensure that the credit cards are held with cardholders at all times. | <p>This is a business continuity and security risk. For the small number of cards that are presently held securely by departments Finance will require their repatriation to the named card holder. The credit card policy will be amended to require cardholders to hold their card securely and for it to be available at all times for emergencies. If necessary a nominated officer in each department will be issued with a card for local emergency purchases.</p> <p>Officer responsible: Group Accountant, Mark Catlow Due by 31 December 2020</p> |

| | |
|---|---|
| EX2.1 Purchase orders are raised and approved on Civica | |
| Risk rating: High Risk | |
| Findings | |
| <p>From the 20 active accounts at the time of the audit 5 credit cards had not been used. For the remaining 15 credit cards, one transaction per credit card was tested. 1 payment showed a purchase order had not been raised for the credit card purchase and was therefore not authorised in advance as per the Financial Regulations.</p> <p>Further checks were carried out from the summary spread sheet 19/20 provided from Finance. A review of each card holder from the sheet found that in February and March 2020 there were 19 purchases made from 4 cardholders' credit cards. 12 out of the 19 did not have a purchase order and were therefore not authorised in advance.</p> | |
| Risks and consequences | |
| <p>Currently the only formal transparent method of approving a purchase is by raising a purchase order through the financial system Civica. There is a risk that the cardholder/budget holder is not aware of the purchase and that funds may not be available. Fraudulent activity could also be occurring that would not be identified until a credit card statement is received.</p> | |
| Agreed action | Officer responsible and by when |
| <p>Controls are put in place to ensure all purchases without supporting documentation and authorisation is escalated and appropriate action taken against the cardholder.</p> | <p>This is an issue that Finance has raised with cardholders multiple times over an extended period with no consistent improvement in compliance.</p> <p>In an attempt to enforce compliance the Council is moving to an online cards administration system provided by national Westminster Bank Plc. This allows for mandatory approval and receipt requirements to be enforced and will provide a better overview of card spend to identify areas for investigation.</p> <p>Once all cards are on this new system, Finance will temporarily suspend any corporate credit card if transactions remain unauthorised or without receipts after a reminder.</p> <p>Officer responsible: Group Accountant , Mark Catlow Due by 31 December 2020</p> |

| | |
|---|---|
| EX2.2 Supporting documents are provided for purchases | |
| Risk rating: High Risk | |
| Findings | |
| <p>From the 20 active accounts at the time of the audit 5 credit cards had not been used. For the remaining 15 credit cards, one transaction per credit card was tested. 15 invoices were chosen at random from Civica. Testing found 3 payments had no supporting documents to support the purchase made which contravenes the credit card guidance and Financial Regulations.</p> <p>Further checks was carried out from the summary spread sheet 19/20 provided from Finance. A review of each card holder from the sheet found that in February and March 2020 there were 19 purchases made from 4 cardholders' credit cards. 19 did not have supporting documents.</p> | |
| Risks and consequences | |
| <p>Without supporting documents such as invoice or receipt, checks would not be able to be made against the purchase order and the monthly credit card statement to ensure that the correct amount has been charged and that they are legitimate.</p> <p>If purchases are not supported by receipts/invoices then VAT cannot be reclaimed resulting in a financial loss to the Council.</p> | |
| Agreed action | Officer responsible and by when |
| <p>Controls are put in place to ensure all purchases without supporting documentation and authorisation is escalated and appropriate action taken against the cardholder.</p> | <p>This is an issue that Finance has raised with cardholders multiple times over an extended period with no consistent improvement in compliance.</p> <p>In an attempt to enforce compliance the Council is moving to an online cards administration system provided by national Westminster Bank Plc. This allows for mandatory approval and receipt requirements to be enforced and will provide a better overview of card spend to identify areas for investigation.</p> <p>Once all cards are on this new system, Finance will temporarily suspend any corporate credit card if transactions remain unauthorised or without receipts after a reminder.</p> <p>Officer responsible: Group Accountant Mark Catlow Due by 31 December 2020</p> |

EX2.3 Credit Cards are only used where no other payment method is available**Risk rating: High Risk****Findings**

The card must not be used for inappropriate transactions such as entertaining guests etc. and used in accordance with the Council's Constitution and Financial Regulations. The card should only be used for purchasing goods and services on behalf of the Council where no other payment method is accepted, or due to purchases being made on-line or by telephone to expedite urgent items.

For 2019/20 there were a total of 450 transactions. For 294 of these it was not possible to ascertain whether using a credit card was the most appropriate means of purchase.

For the remaining 156 there is a possibility that other methods of payments, such as an invoice could have been used. These transactions included 48 for rail travel, 12 for food expenses during travel and other food expense, 22 were for overnight stays for training, 63 for training, 1 for car hire, 1 for fuel, 1 for vehicle repairs and 8 for professional membership renewal.

Testing found that from the description on Civica 8 payments for training, travel and subsistence claims were found to have been approved by the cardholder for their own expenses and 3 were approved by their staff. None of the purchases were inappropriate but individuals' Managers should have approved the expenses.

Risks and consequences

If procedures are not adhered to then cardholders could have their credit cards taken away from them. This could have an operational impact on the service if they did not have the facility to immediately make emergency payments.

If there is no independent authorisation of travel and subsistence expenses then there is no independent check to ensure that expenses are properly and necessarily incurred and payable; and journeys are appropriately planned.

Agreed action

Controls are put in place to ensure that credit cards are used for their intended purpose and Cardholders are reminded of the use of the credit cards and the authorisation of their own expenses.

Officer responsible and by when

This is an issue that Finance has raised with cardholders multiple times over an extended period with no consistent improvement in compliance.

In an attempt to enforce compliance the Council is moving to an

| | |
|--|--|
| | <p>online cards administration system provided by national Westminster Bank Plc. This allows for mandatory approval and receipt requirements to be enforced and will provide a better overview of card spend to identify areas for investigation.</p> <p>Once all cards are on this new system, Finance will temporarily suspend any corporate credit card if it is used inappropriately.</p> <p>Officer responsible: Group Accountant , Mark Catlow Due by 31 December 2020</p> |
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Chichester District Council

CORPORATE GOVERNANCE & AUDIT COMMITTEE 19 October 2020

S106 Annual Exceptions Report

1. Contacts

Report Author:

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Tel: 01243 534781 Email: sdavies@chichester.gov.uk

2. Recommendation

2.1 The committee is requested to note:

(a) The contents of this report concerning section 106 agreements nearing their expenditure date (as set out in Appendix 1) and to raise any concerns.

(b) The contents of the Infrastructure Funding Statement for year ended 31 March 2020 (as shown at Appendix 2)

3. Background

3.1 Section 106 (S106) financial receipts nearing the date for expenditure need additional monitoring and input from officers and managers of the services concerned with spending the S106 money. This is in accordance with the Section 106 and CIL Protocol approved by Corporate Governance and Audit Committee at its meeting of 19 January 2016. Under the protocol the Committee is due to receive an exceptions report each October detailing all contributions due to be spent within a two-year deadline.

3.2 Section 6 of this report identifies the contributions that have not been received where the trigger date has been reached and provides an update on the current position with respect to securing the payment of the financial contributions due.

3.3 This report only makes reference to financial contributions. Non-financial obligations are included in the full report to Corporate Governance and Audit Committee in June/July each year.

4. Outcomes to be achieved

4.1 To provide clarity in the way money obtained from S106 agreements is monitored and spent.

4.2 To ensure that S106 receipts are spent in accordance with the agreements and within the agreed targets to reduce the risk of developers seeking to amend agreements and/or the return of the funding.

5. The updated position on those contributions received that will reach their target expenditure by end of September 2020

- 5.1 This report outlines those contributions that need additional monitoring. It is ordered by spending deadline date with those that have passed their deadline date first. An (*) following the date denotes a 5 year notional date, which is applied for monitoring purposes in circumstances where the S106 agreement does not specify a spending deadline. This is because the applicant can seek to vary an agreement after 5 years. Note: Recreation Disturbance contributions for Pagham Harbour have been ordered at the end of the report to save repeating the comment.
- 5.2 The 'Remaining and Unallocated Excluding (EXC) Interest' column has been colour coded as follows
- a) Green: Funds allocated prior to expiry and awaiting project delivery. Funds are considered safe even if the spending deadline has expired as the S106 agreement provides for the Council to retain these monies in this circumstance.
 - b) Amber: Either a notional deadline has passed or a spending deadline approaches and the funds have not been allocated. Spending Officers need to take action to ensure that funds are allocated as soon as possible to ensure they do not have to be returned.
 - c) Red: A spending deadline (other than notional) has passed and the funds will need to be returned, unless the developer agrees that the Council can retain them. There are currently no contributions falling in this category.

6. Outstanding receipts

- 6.1 At the time of writing all contributions reaching their triggers have been paid.

7. Resource and legal implications

- 7.1 Section 106 of the Town and Country Planning Act 1990 (as amended) permits local planning authorities to enter into agreements with applicants for planning permission to regulate the use and development of land. This may involve the payment of a financial contribution for offsite works.
- 7.2 The Community Infrastructure Levy (CIL) Regulations that came into force on 6 April 2010 (as amended) set out new statutory tests on what can reasonably be sought under section 106, replacing the former Circular 05/2005 guidance.
- 7.3 The Community Infrastructure Levy (Amendment) (England) (No 2) Regulations 2019 came into force on 1 September 2019. These require authorities to publish an Infrastructure Funding Statement (IFS) by 31 December annually covering both CIL and S106 income and expenditure for the preceding year. The S106 Annual Monitoring Report that was circulated to members in August/September included a draft IFS. The content has been updated following the publication of further guidance and the form of the report amended slightly to meet new accessibility guidelines for documents to be published on our website. The updated version is included at appendix 2 for members to note.
- 7.4 Staffing implications – none.

7.5 IT implications – none.

7.6 Property Implications – none.

8. Consultation

8.1 Chichester District Council officers involved with the S106 process were consulted and the matters set out in appendix 1 have been agreed by the S106 Monitoring and Liaison Group for referral to the Senior Leadership Team and Corporate Governance and Audit Committee.

9. Community and corporate risks

9.1 Provided funds have been allocated for a specified purpose, the risk of having to return funds to a developer is considered minimal.

9.2 There is a potential risk of non-payment by developers or a risk that developers may seek to re-negotiate agreements reducing anticipated income. There are procedures in place for dealing with these situations.

9.3 Where S106 contributions are passed to Town or Parish Councils for spending on specified projects, this is on condition that any unspent monies will be returned to the District Council within the period specified in the S106 agreement or, if the agreement is silent, within five years.

10. Other Implications

| | Yes | No |
|--|-----|----|
| Crime & Disorder: | | ✓ |
| Biodiversity and Climate Change Mitigation: | | ✓ |
| Human Rights and Equality Impact: | | ✓ |
| Safeguarding and Early Help: | | ✓ |
| General Data Protection Regulations (GDPR) | | ✓ |
| Health & Wellbeing | | ✓ |
| Other (Please specify): | | ✓ |

11. Appendices

11.1 Appendix 1: S106 Contributions approaching 2 years of their expiry

11.2 Appendix 2: Infrastructure Funding Statement for year ended 31 March 2020

12. Background Papers

12.1 None

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Appendix 1: S106 Contributions approaching 2 years of expiry

| Site Address | App Number | Ward | Parish | Obligation Type | Received | Allocated | Spent | Remaining Exc Bank Interest | Remaining & Unallocated Exc Interest | Bank Interest | Remaining Inc Interest | Remaining & Unallocated inc Interest | Spend Deadline | New Comment |
|---|--------------|-----------------------------|--------------------|---------------------------------|------------|------------|------------|-----------------------------|--------------------------------------|---------------|------------------------|--------------------------------------|----------------|--|
| West Sussex Fire Brigade City Fields Way Tangmere Chichester West Sussex PO20 2FY | 07/04577/FUL | North Mundham And Tangmere | Tangmere | Open Space Land | 87,000.00 | 87,237.03 | 86,421.04 | 578.96 | 0.00 | 242.34 | 821.30 | 5.31 | 09/04/2018 | S.O Sam Lee Sep 20: £81,774.85 spent on MUGA. £4,676.19 for fencing around allotments. Members have given approval for new youth equipment at Tangmere rec ground. £815.99 from this allocation and £3118.01 from 11/04058 completion of the project being delayed due to the pandemic |
| Former Shippams Factory 42 43 45 And Social Club East Street Chichester West Sussex PO19 1PQ | 05/00430/FUL | Chichester Central | Chichester | Affordable Housing Commuted Sum | 376,000.00 | 376,000.00 | 375,791.51 | 208.49 | 0.00 | 8,387.67 | 8,596.16 | 8,387.67 | 20/08/2018 | S.O. Ivan Western Sep 20: £210,000 was spent on The Heritage in March 2015 and £61,000 on Stonepillow 5 bed spaces in May 2015. Remaining funds to be spent on the Rural Enablers post and enabling activities. |
| Osborne House Stockbridge Road Chichester West Sussex PO19 8LL | 07/01527/FUL | Chichester Central | Chichester | Open Space Land | 12,202.00 | 12,250.00 | 3,290.00 | 8,912.00 | 0.00 | 807.06 | 9,719.06 | 759.06 | 18/02/2021 | S.O Sam Lee Sep 20: Member approval received for allocation of £12,250 for Priory Park project being managed by the Estates team. Commencment of work delayed due to the discovery of a Robin's nest |
| Little London Walk 44 East Street Chichester West Sussex | 13/00239/FUL | Chichester Central | Chichester | Public Art Contribution | 12,275.64 | 5,383.14 | 5,383.14 | 6,892.50 | 6,892.50 | 228.48 | 7,120.98 | 7,120.98 | 26/04/2021 | * S.O.Emma Beoney Sep 20: £5,383.14 spent on Keats sculpture. Remainder not required and now available for reallocation on a project still to be identified. CCC have been reminded but projects have been on hold due to the pandemic. |
| Land West Of Broad Road Broad Road Hambrook Chidham West Sussex | 12/04778/FUL | Harbour Villages | Chidham & Hambrook | Sport & Leisure Contribution | 13,487.02 | 674.35 | 674.35 | 12,812.67 | 12,812.67 | 0.00 | 12,812.67 | 12,812.67 | 29/06/2021 | * S.O. Sam Lee Sep 20: Previously advised Parish of all existing allocations/interest available and chased for update. |
| Land North West Of Park Road Selsey West Sussex | 15/00490/FUL | Sidlesham With Selsey North | Selsey | Public Art Contribution | 39,768.77 | 0.00 | 0.00 | 39,768.77 | 39,768.77 | 1,318.32 | 41,087.09 | 41,087.09 | 08/07/2021 | * S.O. Emma Beoney Sept 20: EB recently had discussions with STC's Neighbourhood Co-ordinator. She advised that the next TC meeting is in September to finalise ideas - they will then be looking to submit an application for a Seal Trail project in November, with the view of the works being completed next Spring, if approved by our cabinet member. |
| Land West Of Broad Road Broad Road Hambrook Chidham West Sussex | 12/04778/FUL | Harbour Villages | Chidham & Hambrook | Affordable Housing Commuted Sum | 10,583.59 | 2,051.38 | 2,051.38 | 8,532.21 | 8,532.21 | 609.05 | 9,141.26 | 9,141.26 | 05/10/2021 | * S.O. Ivan Western Sep 20: £529.18 Monitoring Fee. £1522.20 spent towards a 3 Bed rented unit at Frederick Rd Fishbourne. |
| Land West Of Broad Road Broad Road Hambrook Chidham West Sussex | 12/04778/FUL | Harbour Villages | Chidham & Hambrook | Sport & Leisure Contribution | 13,538.67 | 676.93 | 676.93 | 12,861.74 | 12,861.74 | 889.20 | 13,750.94 | 13,750.94 | 05/10/2021 | * S.O. Sam Lee Sep 20: Previously advised Parish of all existing allocations/interest available and chased for update. |

Appendix 1: S106 Contributions approaching 2 years of expiry

| Site Address | App Number | Ward | Parish | Obligation Type | Received | Allocated | Spent | Remaining Exc Bank Interest | Remaining & Unallocated Exc Interest | Bank Interest | Remaining Inc Interest | Remaining & Unallocated inc Interest | Spend Deadline | New Comment |
|---|--------------|-----------------------------|--------------------------------|-----------------------------------|------------|-----------|-----------|-----------------------------|--------------------------------------|---------------|------------------------|--------------------------------------|----------------|---|
| Maudlin Nursery Hanging Basket Centre Stane Street Westhampnett Chichester West Sussex PO18 0PA | 12/02360/OUT | Lavant | Westhampnett | Affordable Housing Commuted Sum | 54,000.00 | 54,000.00 | 5,000.00 | 49,000.00 | 0.00 | 1,809.24 | 50,809.24 | 1,809.24 | 21/10/2021 | * S.O. Ivan Western Sep 20: Monitoring Fee £2,700. £49,000 allocated to 17 unit site at Nellie's Field Southbourne with developer currently on site. £2,300 allocated to 4 Affordable Rented homes at Parsonage Estate. This development is complete and payment is being processed. Interest to be allocated at future review and is not subject to the spending deadline. |
| Land On The North Side Of Long Copse Lane Westbourne West Sussex | 14/00911/FUL | Westbourne | Westbourne | Affordable Housing Commuted Sum | 37,523.59 | 37,523.00 | 0.00 | 37,523.59 | 0.59 | 1,338.18 | 38,861.77 | 1,338.77 | 03/11/2021 | S.O. Ivan Western Sep 20: On 3 March 2020 Cabinet approved the allocation of £37,523 to Worthing Homes for the delivery of 9 social rented dwellings at Middleton Close, Bracklesham |
| Land On The North Side Of Shopwhyke Road Shopwhyke West Sussex | 11/05283/OUT | North Mundham And Tangmere | Oving | Ecological Mitigation | 26,802.16 | 26,802.16 | 0.00 | 26,802.16 | 0.00 | 0.00 | 26,802.16 | 0.00 | 07/06/2022 | S.O. Tom Day Sep 20: Projects identified: Chichester Harbour Conservancy Boardwalks at Fishbourne Meadows. This s106 agreement was signed before the Bird Aware Solent project had started and the money was allocated to CHC to deliver mitigation measures. CHC have proposed the provision of boardwalks at Fishbourne meadows. These will help keep walker and dogs on the path and away from overwintering birds as well as improving access to the very boggy site in winter. |
| Land On The North Side Of Long Copse Lane Westbourne West Sussex | 14/00911/FUL | Westbourne | Westbourne | Community Facilities Contribution | 28,675.84 | 22,423.20 | 21,624.76 | 7,051.08 | 6,252.64 | 689.53 | 7,740.61 | 6,942.17 | 05/07/2022 | S.O Emma Beoney Sep 20: A of £16,075 approved in April 2020 for The Meeting Place at St Johns Parish Hall for 'Phase one' of their improvement scheme, involving electrical works, replacement windows, boiler and the painting/repair of the front rendering. Completed and £16,075 paid. A further £6348.20 approved in May 2020 for 'Phase Two' of the improvements for flooring, loft insulation and a new cooker, dishwasher, chairs and tables. So far we have released two payments of £4,054.49 and £1,495.27 to them to facilitate the works. They are currently in consultation with Planning regarding permission for works for 'Phase 2A', as they are planning on having a shelter installed and new signage. They expect to formally apply for funding later this year. |
| Land On The North Side Of Long Copse Lane Westbourne West Sussex | 14/00911/FUL | Westbourne | Westbourne | Public Art Contribution | 6,120.03 | 1,000.00 | 1,000.00 | 5,120.03 | 5,120.03 | 132.32 | 5,252.35 | 5,252.35 | 05/07/2022 | S.O Emma Beoney Sep 20: £1,000 has been spent on 'Silent Soldier' project. Parish Council discussing potential projects and spending officers will chase. |
| Land East Of Barton Way Clappers Lane Earnley | 14/01806/OUT | The Witterings | East Wittering And Bracklesham | A27 | 110,478.04 | 0.00 | 0.00 | 110,478.04 | 110,478.04 | 2,502.53 | 112,980.57 | 112,980.57 | 13/09/2022 | * Sep 20: Contribution received for A27 improvements. Officers have recently reminded hHighways England of the deadline and a response is awaited |
| The Studio Chichester Road Selsey | 15/01484/FUL | Sidlesham With Selsey North | Selsey | Recreation Disturbance Pagham | 1,110.00 | 1,110.00 | 0.00 | 1,110.00 | 0.00 | 37.74 | 1,147.74 | 37.74 | 31/08/2020 | * S.O. Tom Day Sep 2020: The first Visitor Experience Officer post at RSPB Pagham has been in post and providing mitigation since 23/09/19. £16k was expended in 19-20 under the Service Level Agreement. Financial year 20-21 will be the first full year of the five year agreement with RSPB Pagham. A timetable to increase to the full provision of 1.5FTE posts at Pagham will be agreed at the Steering Group meeting scheduled for 14th |
| 83 Hillfield Road Selsey | 15/02214/FUL | Selsey South | Selsey | | 5,550.00 | 5,550.00 | 0.00 | 5,550.00 | 0.00 | 188.73 | 5,738.73 | 188.73 | 18/09/2020 | * of the five year agreement with RSPB Pagham. A timetable to increase to the full provision of 1.5FTE posts at Pagham will be agreed at the Steering Group meeting scheduled for 14th |

Appendix 1: S106 Contributions approaching 2 years of expiry

| Site Address | App Number | Ward | Parish | Obligation Type | Received | Allocated | Spent | Remaining Exc Bank Interest | Remaining & Unallocated Exc Interest | Bank Interest | Remaining Inc Interest | Remaining & Unallocated inc Interest | Spend Deadline | New Comment |
|--|---------------|-----------------------------|---------------|-----------------|-----------|-----------|--------|-----------------------------|--------------------------------------|---------------|------------------------|--------------------------------------|----------------|---|
| 80 Fletchers Lane Sidlesham | 15/03930/PA3Q | Sidlesham With Selsey North | Sidlesham | | 1,100.00 | 1,100.00 | 0.00 | 1,100.00 | 0.00 | 37.40 | 1,137.40 | 37.40 | 03/02/2021 | * September. This part time post is likely to be recruited from within the RSPB's current staff |
| Medmerry Park Stoney Lane Earnley | 15/00368/FUL | The Witterings | Earnley | | 3,330.00 | 3,330.00 | 0.00 | 3,330.00 | 0.00 | 113.25 | 3,443.25 | 113.25 | 26/02/2021 | |
| Tides Reach 127 East Beach Road | 16/03287/FUL | Sidlesham With Selsey North | Selsey | | 1,153.00 | 1,153.00 | 0.00 | 1,153.00 | 0.00 | 26.65 | 1,179.65 | 26.65 | 29/03/2021 | |
| 83 Fletchers Lane Sidlesham | 16/01058/FUL | Sidlesham With Selsey North | Sidlesham | | 1,131.00 | 1,131.00 | 0.00 | 1,131.00 | 0.00 | 33.84 | 1,164.84 | 33.84 | 16/05/2021 | |
| Bunn Leisure Holiday Village Selsey | 15/01819/FUL | Sidlesham With Selsey North | Selsey | | 67,824.29 | 67,824.29 | 0.00 | 67,824.29 | 0.00 | 2,029.31 | 69,853.60 | 2,029.31 | 20/05/2021 | |
| Meadowgate Nursery Street End Lane Sidlesham | 16/01699/FUL | Sidlesham With Selsey North | Sidlesham | | 1,131.00 | 1,131.00 | 0.00 | 1,131.00 | 0.00 | 33.84 | 1,164.84 | 33.84 | 03/08/2021 | |
| Arun Posts Southern Road Selsey | 16/02196/FUL | Selsey South | Selsey | | 1,131.00 | 1,131.00 | 0.00 | 1,131.00 | 0.00 | 33.84 | 1,164.84 | 33.84 | 18/08/2021 | |
| 101 First Avenue Almodington | 16/02092/FUL | The Witterings | Earnley | | 1,131.00 | 1,131.00 | 0.00 | 1,131.00 | 0.00 | 33.84 | 1,164.84 | 33.84 | 30/08/2021 | |
| The Pine Place Lagness Road Runcton | 16/00726/OUT | North Mundham And Tangmere | North Mundham | | 2,262.00 | 2,262.00 | 0.00 | 2,262.00 | 0.00 | 67.68 | 2,329.68 | 67.68 | 19/09/2021 | |
| Land South Of 2 Danefield Road Selsey | 16/02951/FUL | Selsey South | Selsey | | 1,131.00 | 1,131.00 | 0.00 | 1,131.00 | 0.00 | 33.84 | 1,164.84 | 33.84 | 11/11/2021 | |
| Land At Spring Cottage 4 Malden Way Selsey | 17/00841/FUL | Selsey South | Selsey | | 780.50 | 780.50 | 0.00 | 780.50 | 0.00 | 18.04 | 798.54 | 18.04 | 12/01/2022 | |
| Land At St James Farm Mapsons Lane Sidlesham | 16/03699/COU | Sidlesham With Selsey North | Sidlesham | | 15,555.26 | 15,555.26 | 0.00 | 15,555.26 | 0.00 | 465.41 | 16,020.67 | 465.41 | 21/02/2022 | |
| Chalk Lane Nursery Chalk Lane | 16/04105/FUL | Sidlesham With Selsey North | Sidlesham | | 1,131.00 | 1,131.00 | 249.00 | 882.00 | 0.00 | 31.65 | 913.65 | 31.65 | 28/02/2022 | |
| 150 High Street Selsey | 17/00066/FUL | Selsey South | Selsey | | 2,262.00 | 2,262.00 | 0.00 | 2,262.00 | 0.00 | 67.68 | 2,329.68 | 67.68 | 14/03/2022 | |
| Land East Of 1 And 5 Croft Road Selsey | 17/01402/FUL | Selsey South | Selsey | | 1,153.00 | 1,153.00 | 282.00 | 871.00 | 0.00 | 20.13 | 891.13 | 20.13 | 10/04/2022 | |
| 136 Almodington Lane Almodington Earnley | 17/03249/PA3Q | The Witterings | Earnley | | 1,742.00 | 1,742.00 | 0.00 | 1,742.00 | 0.00 | 40.26 | 1,782.26 | 40.26 | 10/04/2022 | |
| Longreach 14A Chalk Lane Sidlesham | 16/03737/PA3Q | Sidlesham With Selsey North | Sidlesham | | 1,153.00 | 1,153.00 | 0.00 | 1,153.00 | 0.00 | 26.65 | 1,179.65 | 26.65 | 25/04/2022 | |

Appendix 1: S106 Contributions approaching 2 years of expiry

| Site Address | App Number | Ward | Parish | Obligation Type | Received | Allocated | Spent | Remaining Exc Bank Interest | Remaining & Unallocated Exc Interest | Bank Interest | Remaining Inc Interest | Remaining & Unallocated inc Interest | Spend Deadline | New Comment |
|-------------------------------------|---------------|-----------------------------|-----------|-----------------|----------|-----------|-------|-----------------------------|--------------------------------------|---------------|------------------------|--------------------------------------|----------------|-------------|
| 63 Street End Lane Sidlesham | 17/01059/FUL | Sidlesham With Selsey North | Sidlesham | | 1,561.00 | 1,561.00 | 0.00 | 1,561.00 | 0.00 | 36.07 | 1,597.07 | 36.07 | 27/06/2022 | * |
| Home Farm Chichester Road Selsey | 17/00447/FUL | Sidlesham With Selsey North | Selsey | | 8,710.00 | 8,710.00 | 0.00 | 8,710.00 | 0.00 | 201.28 | 8,911.28 | 201.28 | 04/07/2022 | * |
| 89 Fletchers Lane Sidlesham | 17/01491/PA3Q | Sidlesham With Selsey North | Sidlesham | | 780.50 | 780.50 | 0.00 | 780.50 | 0.00 | 18.04 | 798.54 | 18.04 | 07/07/2022 | * |
| Land East Of 1 Grove Road Selsey | 17/01238/FUL | Selsey South | Selsey | | 871.00 | 871.00 | 0.00 | 871.00 | 0.00 | 20.13 | 891.13 | 20.13 | 18/07/2022 | * |
| 129A Third Avenue Batchmere | 17/01489/PA3P | Sidlesham With Selsey North | Earnley | | 780.50 | 780.50 | 0.00 | 780.50 | 0.00 | 18.04 | 798.54 | 18.04 | 26/07/2022 | * |
| The Birches Selsey Road Sidlesham | 17/01677/FUL | Sidlesham With Selsey North | Sidlesham | | 780.50 | 780.50 | 0.00 | 780.50 | 0.00 | 18.04 | 798.54 | 18.04 | 26/07/2022 | * |
| Willowdene Fletchers Lane Sidlesham | 17/02387/FUL | Sidlesham With Selsey North | Sidlesham | | 780.50 | 780.50 | 0.00 | 780.50 | 0.00 | 18.04 | 798.54 | 18.04 | 01/09/2022 | * |
| High Croft 10 West Street | 17/02529/FUL | Selsey South | Selsey | | 1,742.00 | 1,742.00 | 0.00 | 1,742.00 | 0.00 | 40.26 | 1,782.26 | 40.26 | 25/09/2022 | * |
| 81 High Street Selsey | 15/02711/FUL | Sidlesham With Selsey North | Selsey | | 9,276.13 | 9,276.13 | 0.00 | 9,276.13 | 0.00 | 214.36 | 9,490.49 | 214.36 | 13/10/2022 | * |

* Notional spend deadline of 5 years applied as the agreement did not specify a date



Infrastructure Funding Statement (IFS)

Financial year 1 April 2019 – 31 March 2020

Infrastructure Funding Statement

- 1.1. This statement sets out this year's income and expenditure relating to the Community Infrastructure Levy (CIL) and section 106 (S106) agreements.
- 1.2. Local Authorities which have adopted the CIL are now required to produce an Infrastructure Funding Statement (IFS) on an annual basis, as a result of changes to the Community Infrastructure Levy (Amendment)(England)(No.2) Regulations 2019. This is Chichester's first Infrastructure Funding Statement.
- 1.3. These regulations also removed the restriction on pooling more than 5 planning obligations towards a single piece of infrastructure; deleted the Regulation 123 list; and allowed authorities to choose to pool funding from different routes to fund the same infrastructure provided that authorities set out which infrastructure they expect to fund through the levy and through planning obligations.
- 1.4. The income from CIL and S106 is used to help fund the provision of supporting infrastructure in association with development and maximise the benefits and opportunities from growth, such as affordable homes
- 1.5. The Council adopted a Community Infrastructure Levy Charging Schedule on 26 January 2016, which took effect from 1 February 2016. The money generated contributes to the funding of infrastructure to support growth within the Local Plan area. (The South Downs National Park Authority has implemented its own CIL for the parts of the district within the SDNP). The CIL is applied as a charge per GIA square metre as set out in Table A below.

Table A: CIL Charging Schedule

| Use of Development | Levy (£ per square metre)** |
|---|-----------------------------|
| *Residential - South of the National Park | £120 |
| *Residential - North of the National Park | £200 |
| Retail (wholly or mainly convenience) | £125 |
| Retail (wholly of mainly comparison) | £20 |
| Purpose Built Student Housing | £30 |
| Standard Charge (applies to all development not separately defined) | £0 |

*This charge applies to the creation of one or more dwellings, and residential extensions or annexes which are 100 square metres or more gross internal area which are not for the benefit of the owner/occupier. This charge does not apply to residential institutions (C2).

**The CIL rates will be index linked from the base year to the year when permission is granted using the 'Community Infrastructure Levy (CIL) Index' published by the Royal Institute of Chartered Surveyors. The current indexed rates can be found on the [CIL, process forms and payments](#) page of our website.

- 1.6. The CIL is to be used to help provide infrastructure to support the development of an area rather than making an individual planning application acceptable in planning terms (which is the purpose of section 106 Agreements).
- 1.7. The strategic infrastructure projects which are needed to support the adopted Local Plan from all funding sources are included within the [Chichester Infrastructure Business Plan 2020/2025 \(IBP\)](#). The IBP also contains a CIL spending plan, which shows which projects will be funded from CIL over a five year rolling programme. The Infrastructure Business Plan (IBP) is updated annually and published on the council's website.
- 1.8. The CIL Regulations require a proportion of CIL receipts to be handed to the local town or parish council in the area where CIL liable development takes place. The CIL share to be passed to the parish council is set at 15% of the relevant CIL receipts with a cap of £100 per existing council tax dwelling each year. Where a Neighbourhood Development Plan has been made the CIL share will be 25% (uncapped). The projects that the parish CIL has funded are recorded in the parish [Annual Monitoring Reports](#), which are published on the Council's website.
- 1.9. Local Authorities are required to publish an Infrastructure Funding Statement (IFS) on their website by 31 December each year, for the previous financial year. This report covers the period from 1 April 2019 to 31 March 2020. Schedule 2 of the Community Infrastructure Regulations 2010 (as amended in 2019) Regulation 121A states the matters that are to be included in the IFS. Table B below provides the information required for CIL and Table C below shows the matters to be included for S106.

Table B: Community Infrastructure Levy Matters

| Regulation 121A Reference | Description | Amount/Details |
|---------------------------|--|----------------|
| 1(a) | The total value of CIL set out in all demand notices issued in the reported year. CIL Liable floorspace £2,604,604.35 Surcharges £12,500 | £2,617,104.35 |
| 1(b) | The total amount of CIL receipts collected for the reported year. | £3,200,224.39 |
| 1(c) | The total amount of CIL receipts, collected before the reported year but which have not yet been allocated from total cash received of £7,644,699.82. Note: The authority has not received any land payments (including payments in kind or infrastructure payments) | £5,585,443.04 |
| 1(d) | Total amount of CIL receipts, collected before the reported year and which have been allocated in the reported year from cash received. Note: The authority has not received any land payments (including payments in kind or infrastructure payments). | £2,059,256.78 |
| 1(e) | Total CIL expenditure for the reported year. Administration costs £92,605.52 Infrastructure provision from cash collected £500 Neighbourhood CIL £43,526.80 Note: The Neighbourhood CIL expenditure is calculated from the latest information known to the authority. Parish and Town Councils who have received CIL only need report spending annually and therefore they may have spent further monies since their last annual report of which the authority is unaware. | £141,632.32 |
| 1(f) | Total amount of CIL receipts, whenever collected, which were allocated but not spent during reported year. Infrastructure provision from cash collected £60,000 Neighbourhood CIL £572,238.10 | £632,238.10 |

| Regulation 121A Reference | Description | Amount/Details |
|---------------------------|--|---|
| 1(g)(i) | In relation to CIL expenditure for the reported year, summary of the items of infrastructure on which CIL (including land payments) has been spent, and the amount of CIL spent on each item IBP 194 Enhancements to the Lavant Biodiversity Opportunity Area £500 | £500 |
| 1(g)(ii) | In relation to CIL expenditure for the reported year, summary of the amount of CIL spent on repaying money borrowed, including any interest, with details of the items of infrastructure which that money was used to provide (wholly or in part) | £0 |
| 1(g)(iii) | In relation to CIL expenditure for the reported year, summary of the amount of CIL spent on administrative expenses pursuant to regulation 61, and that amount expressed as a percentage of CIL collected in that year in accordance with that regulation. IT Costs £15,933 Employee Costs £74,605 Legal Costs £2,067 | £92,605 Being 2.89% of the CIL collected |
| 1(h) | In relation to CIL receipts, whenever collected, which were allocated but not spent during the reported year, summary details of the items of infrastructure on which CIL (including land payments) has been allocated, and the amount of CIL allocated to each item. IBP353 RTPI Screens £60,000 | £60,000 |
| 1(i)(i) | Amount of CIL passed to any local council under Regulation 59A or 59B Birdham (Apr 2019) £43,873.94 Birdham (Oct 2019) £15,116.72 Bosham (Oct 2019) £13,670.73 Boxgrove (Apr 2019) £15,000 Boxgrove (Oct 2019) £35,309.16 Chichester (Apr 2019) £39,276.59 Chichester (Oct 2019) £36,341.50 Chidham & Hambrook (Apr 2019) £3,072.29 Chidham & Hambrook (Oct 2019) £12,258.08 East Wittering & Bracklesham (Apr 2019) £2,819.45 East Wittering & Bracklesham (Oct 2019) £20,173.49 Hunston (Oct 2019) £10,297.46 Lavant (Oct 2019) £46,426.86 Southbourne (Apr 2019) £165,546.84 | £572,238.10 |

| Regulation 121A Reference | Description | Amount/Details |
|---------------------------|--|----------------|
| | <p>Southbourne (Oct 2019) £6,286.86 West Wittering (Apr 2019) £227.56 West Wittering (Oct 2019) £2,855.30 Westhampnett (Apr 2019) £43,300.00 Westhampnett (May 2019) £750 Westhampnett (Oct 2019) £43,600 Westhampnett (Nov 2019) £16,035.27</p> <p>Note: Westhampnett Parish Council payments include</p> <ul style="list-style-type: none"> • £750 paid on 3 May 2019, which related to an underpayment (caused by a software coding error), that the parish council should have received for the period 1 October 2017 to 31 March 2018. • £16,035.27 paid on 14 Nov 2019 in respect of underpayments in previous years due to an indexation oversight. | |
| 1(i)(ii) | Amount of CIL passed to any person under Regulation 59(4) | £0 |
| 1(j)(i) | Summary details of the receipt and expenditure of CIL to which regulation 59E and 59F applied | £0 |
| 1(j)(ii) | The items of infrastructure to which the CIL receipts to which regulations 59E and 59F applied have been allocated or spent, and the amount of expenditure allocated or spent on each item | £0 |
| 1(k)(i) | Summary details of any notices served in accordance with regulation 59E | £0 |
| 1(k)(ii) | Any funds not yet recovered from each local council at the end of the reported year | £0 |
| 1(l)(i) | <p>Total amount of CIL receipts for the reported year retained at the end of the reported year other than those to which regulation 59E or 59F applied</p> <p>Note: this includes £59,914.47 of bank interest</p> | £2,783,791.33 |
| 1(l)(ii) | <p>CIL receipts from implementation of the CIL on 1 February 2016 retained at the end of the reported year other than those to which regulation 59E or 59F applied</p> <p>Note: this includes £129,143.24 of bank interest</p> | £8,782,266.71 |

| Regulation 121A Reference | Description | Amount/Details |
|---------------------------------|--|----------------|
| 1(l)(iii) | CIL receipts for the reported year to which regulation 59E or 59F applied retained at the end of the reported year | £0 |
| 1(l)(iv) | CIL receipts from previous years to which regulation 59E or 59F applied retained at the end of the reported year | £0 |

Table C: Section 106 Planning Obligation Matters

| Regulation 121A Reference | Description | Amount /Details |
|---------------------------|---|---|
| 3(a) | <p>The total amount of money to be provided under any planning obligations which were entered into during the reported year.</p> <p>In addition and in accordance with regulation 5(a) the following estimated amounts were also secured</p> <p>Affordable Housing £241,325 Recreation Disturbance £118,405</p> <p>This does not include money to be secured by S278 highways agreements with third parties detailed at section 4(a)</p> | £656,301.90 |
| 3(b) | The total amount of money under any planning obligations which was received during the reported year. | £707,304.21 |
| 3(c) | The total amount of money under any planning obligations which was received before the reported year which has not been allocated. | £2,776,352.27 |
| 3(d) | <p>Summary details of any non-monetary contributions to be provided under planning obligations which were entered into during the reported year, including details of</p> <p>(i) in relation to affordable housing, the total number of units which will be Provided</p> <p>(ii) in relation to educational facilities, the number of school places for pupils which will be provided and the category of school at which they will be provided</p> <p>Note: WSCC as education authority monitor and report on School places in their IFS</p> | <p>Affordable Housing 144 dwellings</p> <p>Play areas 3</p> |
| 3(e) | <p>The total amount of money (received under any planning obligations) which was allocated but not spent during the reported year for funding infrastructure</p> <p>Note: details reported at 3(g)</p> | £1,136,465.40 |
| 3(f) | <p>The total amount of money (received under any planning obligations) which was spent by the authority (including transferring it to another person to spend)</p> <p>Note: details reported at 3(h)(i) to 3(h)(iii)</p> | £922,296.65 |

| Regulation 121A Reference | Description | Amount /Details |
|---------------------------------|---|--------------------|
| 3(g) | <p>In relation to money (received under planning obligations) which was allocated by the authority but not spent during the reported year, summary details of the items of infrastructure on which the money has been allocated, and the amount of money allocated to each item. Where part of the allocation has been spent then the amount in brackets indicates the total amount originally allocated in the year.</p> <p>Affordable dwellings at Middleton Close Bracklesham £439,750 Affordable dwellings at Royal Close Chichester £160,000 Graylingwell Chapel conversion project £247,685.96 Youth equipment at Tangmere recreation ground £3,954 3G pitch study £2741.64 (£8,484.77) Priory Park improvement project £12,250 Fishbourne recreation ground signage £396.82 Harting Tree Replanting £75.79 Chichester Harbour Boardwalks project £26,802 Solent recreation Mitigation project 'Bird Aware' £96,908.58 (£165,562.32) Pagham Harbour mitigation scheme £16,691</p> | £1,136,465.40 |
| 3(h)(i) | <p>In relation to money (received under planning obligations) which was spent by the authority during the reported year (including transferring it to another person to spend), summary details of the items of infrastructure on which that money (received under planning obligations) was spent, and the amount spent on each item</p> <p>Affordable dwellings at Woodfield Park Southbourne £180,000 Affordable dwellings at Parsonage estate Rogate £191,000 Affordable dwelling at Frederick Road Fishbourne £45,000 Enabling activities £168.60 5th Chichester scout hut £66,808.82 Regnum guide hall £25,363.20 Equipment for Revelation Church community meeting hall £26,775.74 1st East Wittering Guide Hall improvements and equipment £4,667.13 Children's film club seating Bracklesham £7,583.40 Fishbourne centre improvements £1,863.78 Tangmere Centre improvements £21,225 Westhampnett Village Hall £4,796.49 3G pitch study £5,743.13 Swanfield Park play area £40,000 Boxgrove sports pavilion £252.28 Chichester Bowmen clubhouse £69,142.05 Accessible picnic benches at East Wittering & Bracklesham</p> | £922,296.65 |

| Regulation 121A Reference | Description | Amount /Details |
|---------------------------|---|-----------------|
| | £1,223.28 Hunston hardcourts and play area improvements £18,748 Medmerry to Pagham cycle route £12,039 Christmas park and ride provision £14,735 Graylingwell recycling facilities £72 Chichester Harbour wardens £45,603.05 Solent recreation mitigation project 'Bird Aware' £97,889.24 Sussex Police authority £18,159.46 Brook Meadow Conservation group £700 Bracklesham Barn facilities £22,738 | |
| 3(h)(ii) | In relation to money (received under planning obligations) which was spent by the authority during the reported year (including transferring it to another person to spend), summary details of the amount of money (received under planning obligations) spent on repaying money borrowed, including any interest, with details of items of infrastructure which that money was used to provide (wholly or in part) | £0 |
| 3(h)(iii) | In relation to money (received under planning obligations) which was spent by the authority during the reported year (including transferring it to another person to spend), summary details of the amount of money (received under planning obligations) spent in respect of monitoring (including reporting under regulation 121A) in relation to delivery of planning obligations. This has been estimated in accordance with regulation 5(c) | £29,883.00 |
| 3(i) | The total amount of money (received under any planning obligations) during any year which was retained at the end of the reported year, and where any of the retained money has been allocated for the purposes of longer term maintenance ("commuted sums"), also identify separately the total amount of commuted sums held. Note: Includes Interest earned | £5,643,711.48 |
| 4(a) | Summary details of any funding or provision of infrastructure which is to be provided through a highway agreement under section 278 of the Highways Act 1980 which was entered into during the reported year Highways England for junction improvements to A27 Chichester bypass £636,174 Hampshire County Council for improvements to A27 Emsworth Road/A259 Warblington junction £307,366 | £943,540 |
| 4(b) | Summary details of any funding or provision of infrastructure under a highway agreement which was provided during the reported year. | Nil |

Notes

5(a) Where the amount of money to be provided under any planning obligation is not known, an authority must provide an estimate

5(b) A non-monetary contribution includes any land or item of infrastructure pursuant to a planning obligation

5 (c) Where the amount of money spent in respect of monitoring in relation to delivery of planning obligations is not known, an authority must provide an estimate

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Chichester District Council

CORPORATE GOVERNANCE & AUDIT COMMITTEE 19 October 2020

**Complaints, Freedom of Information Requests and Data Protection
Analysis – 2019/20**

1. Contacts

Report Author:

Fiona Delahunty, Customer Services Manager
Tel: 01243 534734 E-mail: fdelahunty@chichester.gov.uk

2. Recommendation

2.1 The Committee note the contents of this report.

3. Background

3.1 The management of complaints, freedom of information requests (FOI) and subject access requests (SAR) is a crucial part of the responsibilities undertaken by the Council. Effective and correct management of these services ensures that users receive prompt and informed responses. It also ensures the Council acknowledge quickly when mistakes have been made; put them right effectively and apologise, where appropriate; ensure that we learn lessons from complaints and apply these to improve services and performance.

3.2 The Council's complaints procedure is a three stage procedure as summarised below.

Stage 1 – Initial complaint investigated by the Manager/Senior Officer responsible for the service team. A response sent within 10 working days.

Stage 2 - If the customer is dissatisfied with the response from the Stage 1 outcome, they can ask for the complaint to be reviewed by a more senior manager. A response sent within 15 working days.

If at any stage of the procedure the complaint investigation is likely to take longer than the specified time period the customer will be informed when they can expect a full reply.

Stage 3 - If the customer remains dissatisfied with the Council's response they are offered the opportunity to seek and independent investigation by the Local Government Ombudsman. Details of how to contact the Ombudsman is provided in the Stage 2 outcome response.

3.3 From April 2019 – March 2020 the council received a total of 124 complaints. 94% of these were answered within the response date offered by the service team. Analysis of complaints over the last three years is attached as Appendix 1.

- 3.4 During 2019/20 there has been a decrease in complaints of 28%. Stage 1 complaints have decreased by 27%; Stage 2 complaints have decreased by 26%; Ombudsman complaints have decreased by 45%
- 3.5 The number of formal complaints dealt with by the District Council is a fraction of 1% of the total transactions with the public. If taken as a percentage of face to face and telephone interactions to the Customer Service Centre it would be 0.08% however there are many more customer contacts through other channels.
- 3.6 The analysis of complaints also includes whether the complaint was upheld; partially upheld or not upheld. If the customer's complaint is upheld they will receive an apology and where appropriate, be given details of any actions that we will take to remedy the situation or at least put things right for the future. If the complaint is partially upheld (ie; the outcome of the investigation finds in part the Council made an error), they will receive an apology and explanation and where appropriate, be given details of any action that we will take to remedy the situation or at least put things right. If the complaint is not upheld the customer will be given an explanation. Of the 124 complaints received; 25 were upheld; 20 partially upheld and 79 not upheld. Most of the upheld complaints were due to administrative or officer error and training were necessary has been provided.
- 3.7 The annual report letter from the Ombudsman for the period 1st April – 31st March 2020 shows the number of complaints received for Chichester as 11. During this period 15 complaints have been decided, this figure includes complaints which we submitted before 1st April 20. Of the decided complaints 7 were closed after initial enquiries, 1 referred back for local resolution, 6 not upheld and 1 upheld. 14% of complaints investigated by the Ombudsman were upheld. This compares to an average in similar authorities of 45%. To view further information about Chichester District Council's performance view this link <https://www.lgo.org.uk/your-councils-performance/chichester-district-council/statistics>

Table of results for boroughs/districts within West Sussex.

| District | Investigated | Upheld | % Upheld |
|-------------------|---------------------|---------------|-----------------|
| Chichester | 7 | 1 | 14% |
| Arun | 9 | 4 | 44% |
| Adur and Worthing | 7 | 6 | 86% |
| Horsham | 6 | 2 | 33% |
| Mid Sussex | 6 | 2 | 33% |
| Crawley | 4 | 1 | 25% |
| West Sussex CC | 43 | 25 | 58% |

- 3.8 When a customer is so satisfied with the service they have received they email, write to us or comment on our website we record this as a compliment. The number of recorded compliments rose by 19% from 105 in 2019 to 129 for the year ending

March 2020. The Customer Service Centre also received 74 calls to compliment the Council on the services they provide.

4. Learning Points

Following the upheld complaints from customers and the Ombudsman the Council have improved procedures and taken actions to put things right for customers.

- 4.1 An improved procedure for recording verbal appeals against a penalty charge notice and training provided to all Customer Services Officers.
- 4.2 Additional staffing employed to help with processing of increased taxi license applications.
- 4.3 South Downs National Park Planning Authority have amended their system to register and record the determination of applications to accurately set and show the date by which telecom applications would be determined. CDC Officers also will seek to determine applications in advance of this date to offer greater certainty that a determinate is made within the 56 day period.
- 4.4 New contract with the company who service Chichester District Council streetlights with improved service level agreements. This is to avoid delays in repairs.
- 4.5 CDC requested the contractor providing pest services improved their online forms and provide the option of a paper form for refund requests.
- 4.6 Additional payment methods for customers who subscribe to our garden recycling service.

5. Outcomes to be achieved

- 5.1 The primary purpose of investigating complaints is to resolve customer dissatisfaction where possible. However, by recording and monitoring the nature of complaints it is possible to identify trends or address issues to avoid further complaints and to improve service delivery and/or to contribute to a review of the policy.
- 5.2 Each Divisional Manager has access to monthly reports containing a summary of all complaints received for their service areas performance in dealing with complaints.
- 5.3 The website has the option to provide feedback on usability and usefulness on each page. This information is fed back to the services areas responsible for the appropriate page.
- 5.4 The Customer Service centre undertakes monthly performance monitoring with customers contacting the Council. This information is used to identify areas where services improvements may be made.
- 5.5 All telephone calls to the Customer Service and Revenues Client Support teams are recorded and monitored. These recordings are used to mentor and train staff with a view to improving quality of service.

- 5.6 The Council have a Facebook and Twitter account which is a quick and easy way for customer to make contact and provided feedback.

6. Freedom of Information Requests

- 6.1 The Freedom of Information (FOI) Act gives people the right to ask the Council for recorded information they have on any subject. If the request relates to environmental information, this will be handled under the Environmental Information Regulations (EIRs). We are required to reply within strict deadlines, giving the information requested, or explaining why we cannot provide that information.
- 6.2 The FOI process is administered by Customer Services.
- 6.3 From April 2019 - March 2020 we received 864 requests, 97 of these were redirected to other agencies.
- 6.4 91% of requests were answered within the 20 working day deadline.
- 6.5 The number of requests received can take up a great deal of officer time in collating the responses. Many requests continue to be received from the press or from commercial organisations. The legislation does not provide for the Council to recover costs for the officer time involved unless the estimated staff costs involved locating or compiling the information exceeds £450. Under these circumstances, we can refuse the request on grounds of cost, or charge the applicant £25 per hour for the estimated work.

7. Data Protection Requests

The General Data Protection Regulations (GDPR) provides individuals the right to access their personal information. In 2019-20 the Council received 16 requests from customers. We also received and responded to 7 police/authority requests. Two other submissions were refused due to not disclosing proper authorisation.

8. Improvements to Procedures and Publication

Utilise reports from Customer Services to publish more information on website and improve our online services.

9. Proposal

- 9.1 To continue monitoring and recording formal complaints, freedom of information requests and subject data access requests.
- 9.2 To continue to provide feedback on performance to services areas to provide the opportunity to improve service delivery.
- 9.3 To continue to provide performance monitoring with the Customer Service Centre to gain customer insight and improve service delivery.

10. **Resource and legal implications**

There is a legal obligation to comply with the Freedom Information and Data Protection Acts. Compliance does require a significant amount of staff time. The Legal team are able to assist and advise staff when dealing with requests.

11. **Consultation**

None

12. **Community impact and corporate risk**

None

13. **Other implications**

| | Yes | No |
|--|-----|----|
| Crime & Disorder: | | √ |
| Climate Change and Biodiversity: | | √ |
| Human Rights and Equality Impact: | √ | |
| Safeguarding and Early Help: | | √ |
| General Data Protection Regulations (GDPR): | √ | |
| Other (Please specify): eg health and wellbeing | | √ |

14. **Appendices**

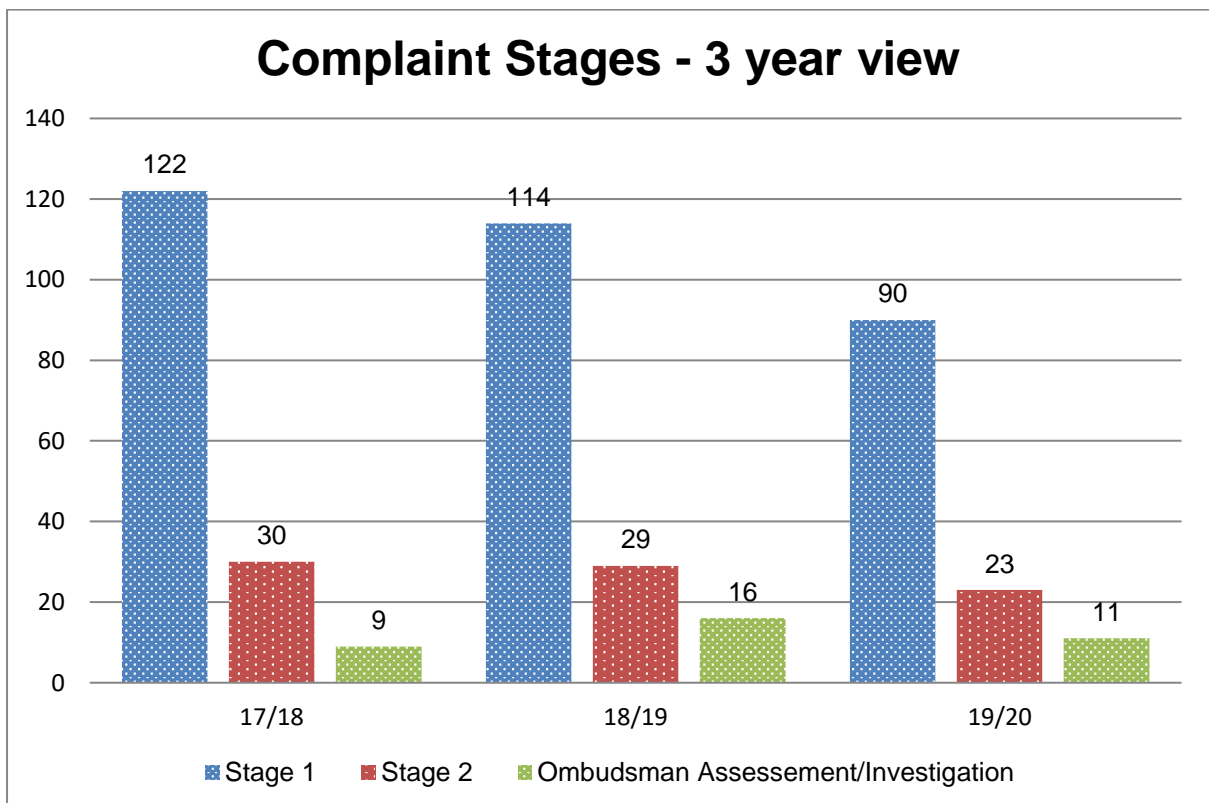
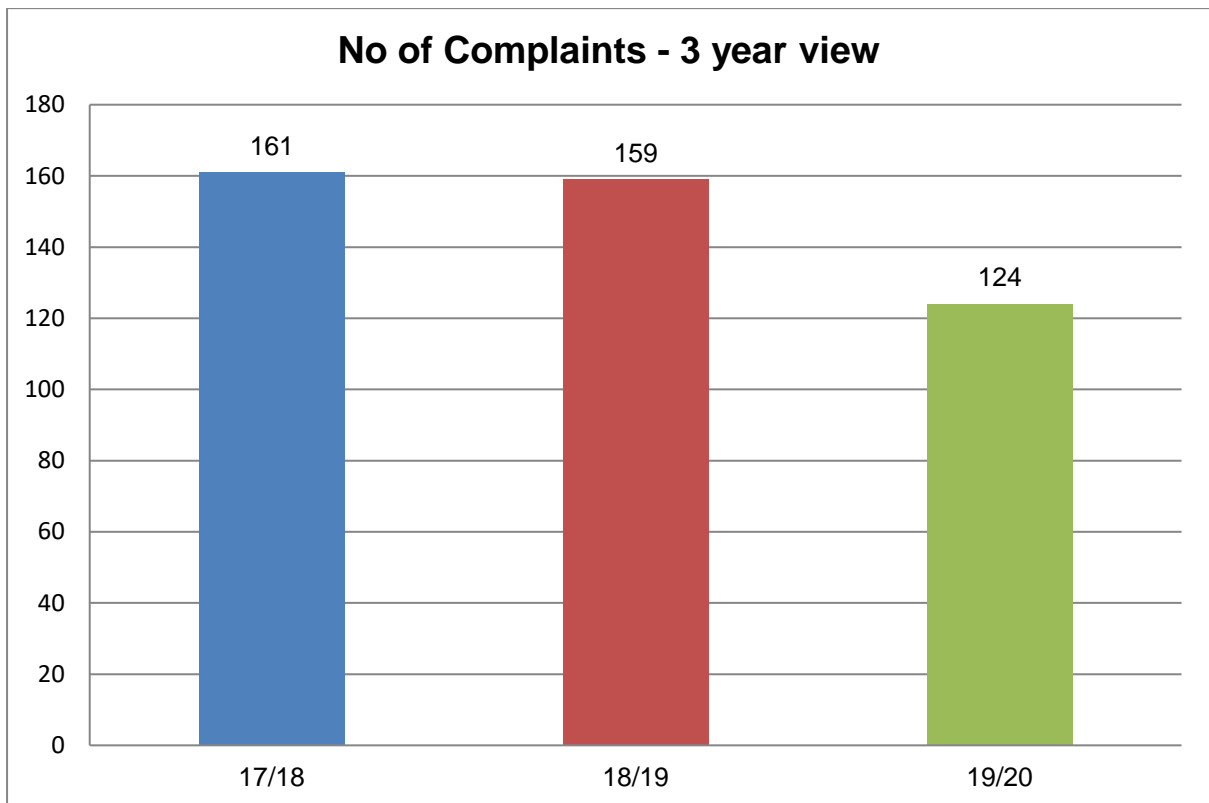
15.1 Appendix 1 Analysis of complaints

15.2 Appendix 2 General description of complaints received and the outcome

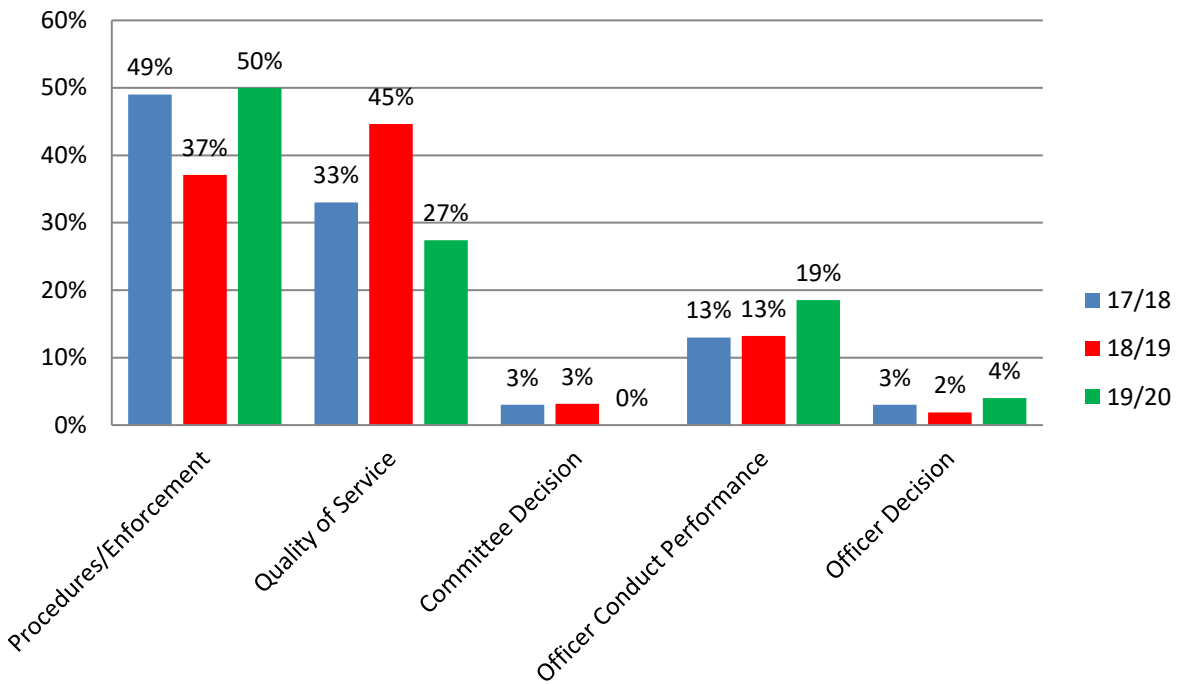
15.3 Appendix 3 Compliments received

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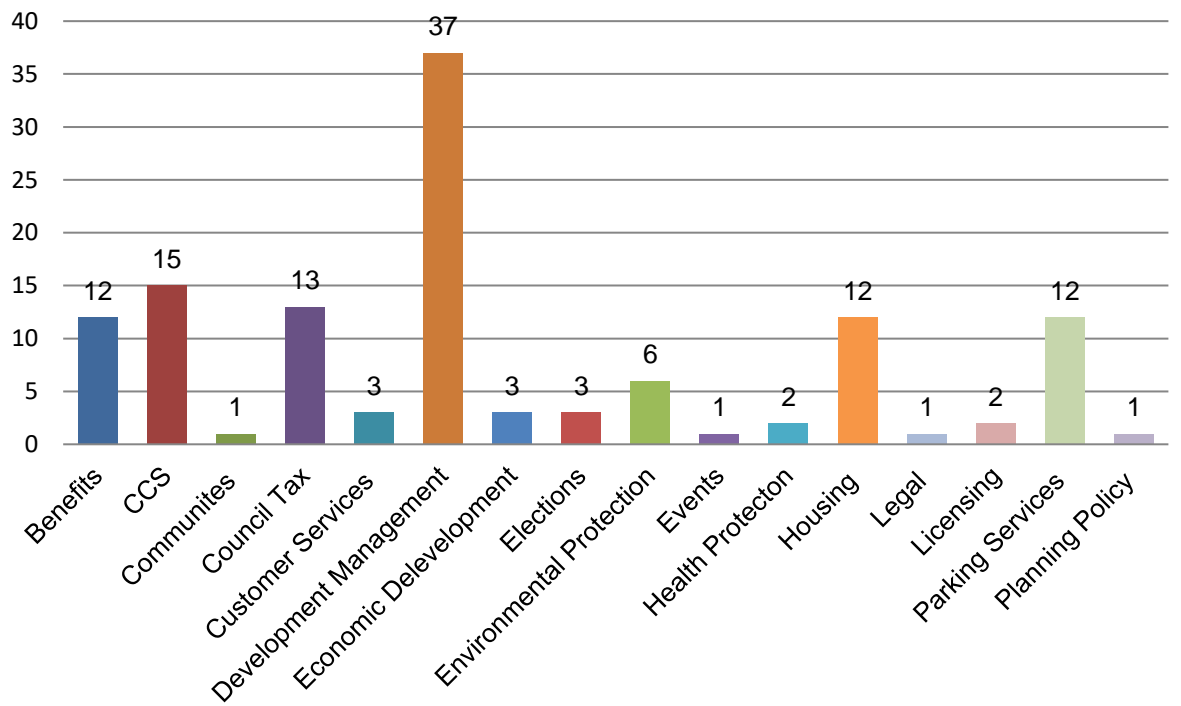
Complaints/Freedom of Information Graphical Reports April 2019 – March 2020



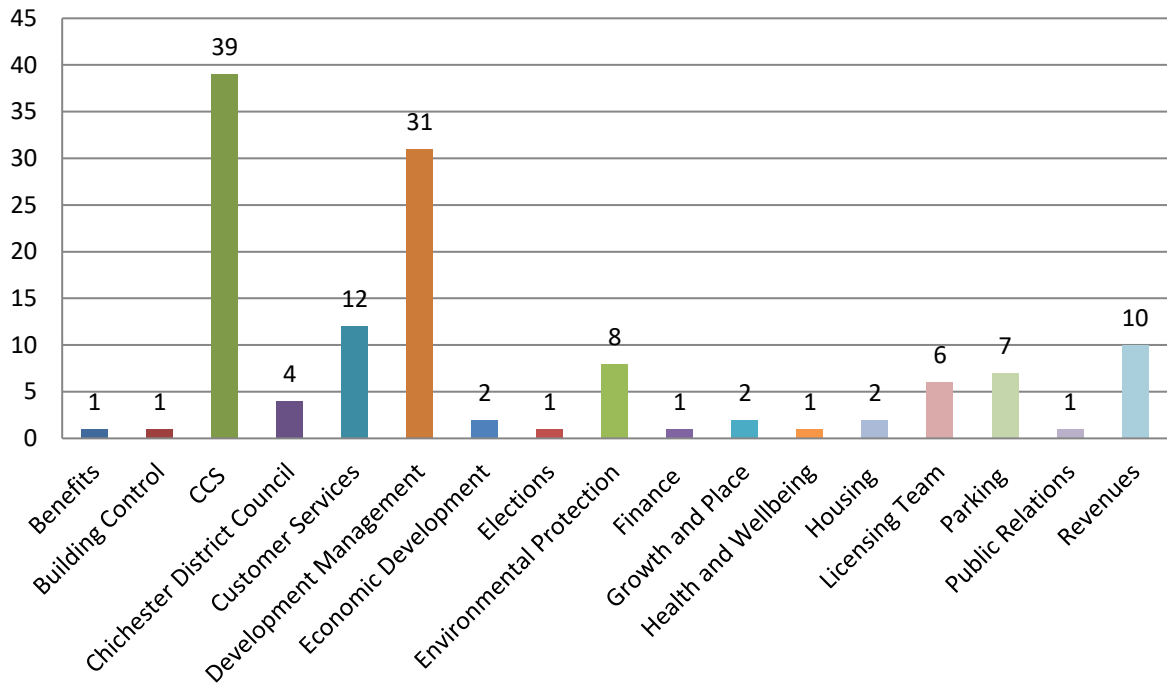
Type of Complaint - 3 year view



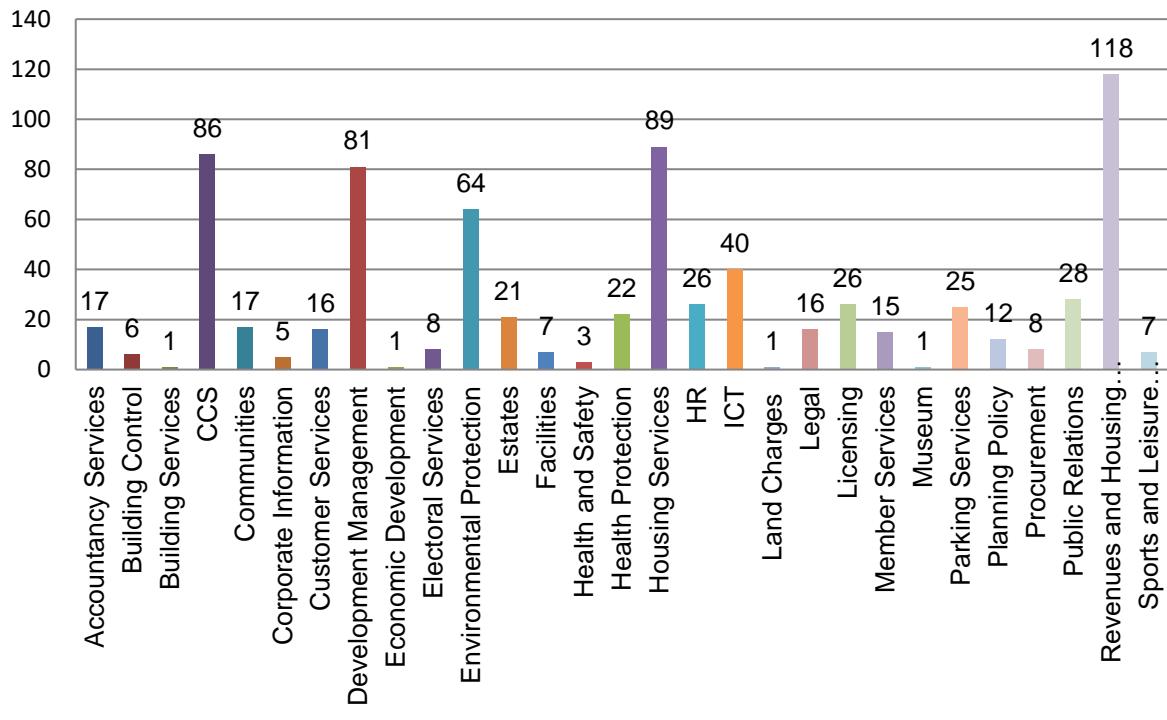
Complaints by Service Team



Compliments - Service Teams



FOI/EIR by Service



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| Type of Complaint | Service Team | Details of Complaint | Stage 1 | Stage 2 | Ombudsman Complaint | Outcome | Remedy |
|------------------------|--------------|--|---------|---------|---------------------|------------------|-----------------------------------|
| Procedures Enforcement | Benefits | Complaint regarding housing benefit claim | √ | | | Upheld | Apology given - training provided |
| Procedures Enforcement | Benefits | Complaint regarding changes in housing benefit claim | √ | | | Not upheld | |
| Procedures Enforcement | Benefits | Council Tax payments | √ | | | Not upheld | |
| Procedures Enforcement | Benefits | Complaint from customer re non-payment of housing benefit | √ | | | Partially upheld | Apology given - training provided |
| Procedures Enforcement | Benefits | Recovery of overpayment of benefits claim | √ | | | Not upheld | |
| Procedures Enforcement | Benefits | Complaint concerning suspension of benefit claim | √ | | | Not upheld | |
| Quality of Service | Benefits | Suspension of benefits payments | √ | √ | | Upheld | Apology given - training provided |
| Quality of Service | Benefits | Complaint concerning delay in awarding discretionary housing benefit | √ | | | Partially upheld | Apology given - training provided |
| Quality of Service | Benefits | Failure to provide clear and coherent information regarding benefits claim | √ | | | Partially upheld | Apology given - training provided |

| | | | | | |
|-----------------------------|----------|--|---|------------------|--|
| Quality of Service | Benefits | Complaint concerning council tax reduction award | √ | Not upheld | |
| Quality of Service | Benefits | Service and advice received regarding a benefit claim | √ | Upheld | Apology given - training provided |
| Officer Conduct Performance | CCS | Waste collection crews arriving to collect waste at 6:40 waking children and neighbours because of the noise created | √ | Upheld | Crew briefed on collections times and apology given |
| Officer Conduct Performance | CCS | Complaint regarding waste collection. Bin was not returned to collection point | √ | Upheld | Apology given - training provided |
| Officer Conduct Performance | CCS | Complaint regarding speed of refuse collection lorry entering premises at excessive speed | √ | Upheld | Apology given Member of staff reminded of procedures |
| Officer Conduct Performance | CCS | Complaint concerning crew collecting recycling. They did not collect the extra that the customer left out. | √ | Not upheld | |
| Procedures Enforcement | CCS | Bin not returned to collection point | √ | Upheld | Apology given. Crew reminded bins need to be returned to collection point |
| Procedures Enforcement | CCS | Bin not collected from collection point again | √ | Upheld | Apology given Crew reminded bins need to be returned to collection point |
| Procedures Enforcement | CCS | Decision to send out road sweeper on busy bank holiday weekend to Selsey this caused congestion on the road | √ | Partially upheld | Apology given |
| Procedures Enforcement | CCS | Complaint concerning green waste charging system. | √ | Upheld | Apology given. Procedures changed to offer |

| | | | | | | additional methods of payment |
|-----------------------------|-------------|---|---|---|------------------|-----------------------------------|
| Quality of Service | CCS | Complaint concerning debris left in road after waste collections at Selsey | √ | | Upheld | Crew reminded of responsibilities |
| Quality of Service | CCS | Waste Crew | √ | | Upheld | Apology given - training provided |
| Quality of Service | CCS | Complaint concerning delay in hedge cutting | √ | | Partially upheld | Apology given |
| Quality of Service | CCS | Cancellation of green waste service | √ | | Not upheld | |
| Quality of Service | CCS | Complaint received regarding the bin man moaning about the position of the bin | √ | | Not upheld | |
| Quality of Service | CCS | Complaint concerning waste collection crew not returning bins to collection point | √ | | Not upheld | |
| Quality of Service | CCS | Complaint concerning waste collection and crew | √ | | Not upheld | |
| Officer Conduct | Communities | Customer not satisfied with Stage 1 response regarding the conduct of a Community Warden Ombudsman reference: 19 019 443 | | √ | Not upheld | |
| Officer Conduct Performance | Council Tax | Decision not to investigate a complaint about the Council charging extra tax on an empty property. Customer has the right to appeal to a tribunal if they think their council tax has been wrongly calculated. | | | √ | Not upheld |

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|------------------------|-------------------|--|---|---|---|------------------|-----------------------------------|
| Officer Decision | Council Tax | Property not identified as HMO | √ | | | Upheld | Apology given Discount awarded |
| Procedures Enforcement | Council Tax | Complaint concerning attachment of earnings for Council Tax account | √ | | | Partially upheld | Apology given - training provided |
| Procedures Enforcement | Council Tax | Customer not happy with Stage 1 response to complaint concerning being made jointly responsible for council tax at a property | | √ | | Not upheld | |
| Procedures Enforcement | Council Tax | Ombudsman complaint ref: 19 004 888 Council to investigate at Stage 2 | √ | √ | √ | Not upheld | |
| Procedures Enforcement | Council Tax | Complaint concerning payment of council tax debt Complaint ref: 19 008 001 | √ | | | Not upheld | |
| Procedures Enforcement | Council Tax | Customer alleges we are using council tax monies to fund terrorism. Ombudsman decision not to investigate. Ombudsman ref:19 000 197 | | | √ | Not upheld | |
| Procedures Enforcement | Council Tax | Decision not to investigate Council Tax complaint as customer has appealed to the Valuation Tribunal | | | √ | Not upheld | |
| Procedures Enforcement | Council Tax | Complaint concerning Council Tax liability | √ | | | Partially upheld | Apology given - training provided |
| Quality of Service | Council Tax | Service received when making an enquiry about Council Tax reduction scheme | √ | | | Upheld | Apology given - training provided |
| Quality of Service | Council Tax | Complaint concerning council reduction application process. | √ | | | Not upheld | |
| Officer Performance | Customer Services | Customer wrongly advised that she could vote in general election. | √ | | | Upheld | Apology given - training provided |

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|-----------------------------|---------------------------|---|---|---|------------------|---|
| Quality of Service | Customer Services | Service received when contacting Customer Services regarding a penalty charge notice appeal | √ | | Upheld | Apology given New procedure for recording calls when making an appeal against parking fine |
| Quality of Service | Customer Services/Parking | Customer not happy with response from Parking/Customer services re service received when he contact the Council regarding a penalty charge notice | 0 | √ | Not upheld | |
| Officer Conduct Performance | Development Management | Possible unlawful permission | √ | | Not upheld | |
| Officer Conduct Performance | Development Management | Planning Enforcement | √ | | Not upheld | |
| Procedures Enforcement | Development Management | Enforcement Process | √ | | Not upheld | |
| Procedures Enforcement | Development Management | Failure to comply with conditions | √ | | Not upheld | |
| Procedures Enforcement | Development Management | Overlooking issues from Torberry Farm and applications not visible on the website. | √ | | Not upheld | |
| Procedures Enforcement | Development Management | Complaint from neighbour regarding not receiving notification of planning application | √ | | Not upheld | |
| Procedures Enforcement | Development Management | Planning application process | √ | | Partially upheld | Apology given |
| Procedures Enforcement | Development Management | Customer not satisfied with response to complaint regarding planning application process | | √ | Not upheld | |

| | | | | | | |
|------------------------|------------------------|--|--|---|---|--------------------------------|
| Procedures Enforcement | Development Management | Stage 1 response reasoning not acceptable | | √ | | Not upheld |
| Procedures Enforcement | Development Management | Handling of the application for The Granary Steels Chidham | | √ | | Not upheld |
| Procedures Enforcement | Development Management | Objection letter - planning application | | √ | | Not upheld |
| Procedures Enforcement | Development Management | Determination of application | | √ | | Partially upheld Apology given |
| Procedures Enforcement | Development Management | Determination of planning application | | √ | | Not upheld |
| Procedures Enforcement | Development Management | Customer not happy with Stage 1 response regarding handling of planning application | | | √ | Not upheld |
| Procedures Enforcement | Development Management | Notice was not served correctly by applicant during planning application process | | √ | √ | Not upheld |
| Procedures Enforcement | Development Management | Planning Determination process Determination of planning application. Following a visit to reception the customer has now included in her complaint information published on the website. | | √ | √ | Partially upheld Apology given |
| Procedures Enforcement | Development Management | This information has been redacted until the investigation is complete. | | √ | √ | Partially upheld Apology given |
| Procedures Enforcement | Development Management | Complaint concerning issues raised with planning enforcement | | √ | | Not upheld |
| Procedures Enforcement | Development Management | Planning application process | | √ | | Not upheld |

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|------------------------|------------------------|--|---|---|---|------------|---------------|
| Procedures Enforcement | Development Management | Incorrectly labelled plan on application. | √ | | | Not upheld | |
| Procedures Enforcement | Development Management | Late night noise Ombudsman ref: 19 016 068 Complaint concerning lack of action on behalf of the Council regarding water drainage following a planning application. Decision not to investigate as the Ombudsman is unlikely to find the Council at fault | √ | | | Not upheld | |
| Procedures Enforcement | Development Management | | | √ | √ | Not upheld | |
| Procedures Enforcement | Development Management | Complaint regarding the submission and handling of the application | √ | | | Not upheld | |
| Procedures Enforcement | Development Management | Incorrect investigation into planning enforcement case - complaint referred as new build and customer claims not | √ | | | Not upheld | |
| Quality of Service | Development Management | Costs incurred by business | √ | | | Not upheld | |
| Quality of Service | Development Management | Complaint concerning negative approach to planning application by CDC Officers | √ | | | Not upheld | |
| Quality of Service | Development Management | Delays in planning process | √ | √ | | Not upheld | |
| Quality of Service | Development Management | Delay Validation Process Customer was advised to submit an ecologist/ecological survey by a Council Officer, DM Officer deemed this unnecessary therefore customer is claiming recompense for the cost of this work. | √ | | | Upheld | Apology given |
| Officer Decision | Development Management | | √ | √ | | Not upheld | |

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|-----------------------------|--|---|---|---|---|------------|
| Procedures Enforcement | Development Management | Location of O2 telephone mast Complaint ref: Case ID - 18005404 Lack of consultation regarding planning application. Not to investigate complaint because customer appealed to the Planning Inspector. Also, it was reasonable for them to put in an appeal to the Planning Inspector once the Council delayed deciding her application. | 0 | √ | | Upheld |
| Procedures Enforcement | Development Management and Environmental Protect | Complaint reference: 19 012 364 Decision not to investigate. The Ombudsman will not investigate customer's complaint that the Council stole his business idea. This is because it would be reasonable for customer to take the matter to court. | 0 | | √ | Not upheld |
| Officer Conduct Performance | Economic Development | Complaint regarding information released from the Electoral Role | √ | √ | √ | Not upheld |
| Procedures Enforcement | Elections | Postal vote arrived too late | √ | | | Not upheld |

SDNPA have now amended their system, , to accurately set and show the date by which telecom applications would be determined. CDC officers will now work to a determination date of 3 working days prior to the 56 day limitation

| | | | | | | |
|-----------------------------|--------------------------|---|---|---|------------------|--|
| Officer Conduct | Environmental Protection | Complaint concerning conduct of littering enforcement officer | √ | | Not upheld | |
| Officer Conduct Performance | Environmental Protection | Complaint concerning conduct of East Hants enforcement officer working on behalf of CDC | √ | | Not upheld | |
| Procedures Enforcement | Environmental Protection | Complaint concerning noise monitoring equipment Confidential: Case ID - 19017500 | √ | | Not upheld | |
| Procedures Enforcement | Environmental Protection | Complaint concerning nuisance noise at play park Decision not to investigate this complaint because there is insufficient evidence of fault by the Council | | √ | Not upheld | |
| Procedures Enforcement | Environmental Protection | Complaint concerning the issue of a littering fine | √ | | Not upheld | |
| Procedures Enforcement | Environmental Protection | Noise nuisance complaint | | √ | Not upheld | |
| Procedures Enforcement | Events | Ombudsman ref 18 017 839 Complaint regarding use of Council monies for event | | √ | Not upheld | |
| Procedures Enforcement | Health Protection | Complaint concerning hygiene ratings received for restaurant | √ | | Partially upheld | Unable to investigate if member of staff was rude as they are no longer employed. |
| Quality of Service | Health Protection | Complaint concerning service received from SDK Dial a Pest | √ | | Partially upheld | Apology offered CDC requested improved forms and the option of a paper refund request |

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|-----------------------------------|---------------------|---|---|---|------------------|--|
| Officer Conduct Performance | Housing Services | Complaint concerning the conduct of an Environmental Health Officer | √ | | Partially upheld | Apology given - training provided |
| Officer Conduct Performance | Housing Services | Complaint regarding conduct of Housing Officer in an interview. | √ | | Not upheld | |
| Officer Conduct Performance | Housing Services | Complaint that the housing officer was unsympathetic to a customer who was seeking advice after fleeing domestic violence | √ | | Partially upheld | Apology given - training provided |
| Officer Conduct Performance | Housing Services | Officer not sympathetic to clients circumstances | √ | | Not upheld | |
| Officer Conduct Performance | Housing Services | Complaint concerning conduct of Officer | √ | | Not upheld | |
| Officer Conduct Performance | Housing Services | Re Housing officer and not being housed | √ | | Not upheld | |
| Officer Decision | Housing Services | Incorrect advice provided by Housing Officer | √ | √ | Upheld | Apology given - training provided |
| Procedures Enforcement | Housing Services | Complaint concerning service received from housing officer when customer approached council for housing advice | √ | | Not upheld | |
| Quality of Service | Housing Services | Lack of communication following submission of housing advice application | √ | | Upheld | Apology and appointment arranged |
| Quality of Service | Housing Services | Complaint regarding a response from Officer following a job interview. | √ | √ | Not upheld | |
| Procedures Enforcement | Legal | Ombudsman ref: 19009739 Complaint concerning removal of personal information | | | √ | Not upheld |

| | | | | | | |
|-----------------------------|------------------|---|---|---|------------------|--|
| Quality of Service | Licensing | Length of time taken to issue private hire licence | √ | | Upheld | Apology given Additional member of staff employed to help with increased licence applications |
| Quality of Service | Licensing | Christmas market and the carousel outside their shop affecting their business | √ | | Partially upheld | Apology given - training provided |
| Officer Conduct Performance | Parking Services | Customer complaint that Civil Enforcement Officer was rude when asked for badge number | √ | | Not upheld | |
| Officer Conduct Performance | Parking Services | Complaint concerning Civil Enforcement Officer | √ | | Not upheld | |
| Officer Conduct Performance | Parking Services | Complaint concerning traffic warden from a member of the public | √ | | Not upheld | |
| Officer Conduct Performance | Parking Services | Complaint concerning conduct of Civil Enforcement Officer | √ | | Not upheld | |
| Procedures Enforcement | Parking Services | Complaint concerning parking enforcement officer | √ | √ | Not upheld | |
| Procedures Enforcement | Parking Services | Decision not to refund for overpayment of parking ticket. | √ | | Not upheld | |
| Quality of Service | Parking Services | Facilities at Northgate Car Park | √ | | Not upheld | |
| Quality of Service | Parking Services | Ombudsman ref: 19 003 514 Re:Outstanding repairs of lighting Leatherbottle Lane - complaint upheld | | √ | √ | Upheld Apology given New contract with improved service |

agreements

| | | | | | | |
|------------------------|------------------|--|---|---|------------|---------------|
| Quality of Service | Parking Services | Service received from the Parking Services team when renewing a residents permit | √ | √ | Upheld | Apology given |
| Procedures Enforcement | Planning Policy | Complaint about committee meeting regarding local plan consultation | √ | | Not upheld | |

| Service Team | Compliment |
|------------------|--|
| Benefits | Compliment for Mary Savage Thank you very much for your kind telephone call, patience and understanding in these difficult and frustrating matters |
| Building Control | Compliment for Building Control team; Thank you very much for sending the Certificate of Completion which I have sent on to my solicitor. I am sincerely grateful to Jonathan Strange and to you all in the Chichester DC Building Control centre for you expeditious handling of this matter. I had previously heard that your department was very helpful and I can certainly endorse that. With grateful thanks and best wishes, |
| CCS | Compliment for the Crew - Marlborough, Heath Road, Hammer, Haslemere, GU27 3QL Customer called as she wanted to pass on her sincere thanks to the crew who empty her bins. She said they are always so helpful and nothing is too much trouble. |
| CCS | Compliment for the Crew -82 Shippam Street, Chichester, West Sussex, PO19 1AY Caller would like to say a big thank you to the crew for all their help; she would like this to be passed onto them. |
| CCS | Thanks to Street Cleaning team for cleaning the street cleaning to the remembrance service held at the Charlton war memorial. |
| CCS | Compliment to James Harris and the Street Cleaning team; Hi James, This issue has been cleaned up. Thank you, what a fabulous response and please thanks the team responsible. |
| CCS | Thanks to James Harris and Street Cleaning Crew; Thank you for your very fast response. The item has been removed this morning, Much appreciated |
| CCS | I live at Gilbert road in Chichester and am e-mailing to thank the people that collected my recycling this morning (Tuesday). Whoever it was went the extra mile by putting the bin back into my garden, which makes a big difference to me as I have a disability. They also closed the gate so my dog couldn't get out. If you could pass on my thanks and gratitude that would be fantastic |

- CCS
Thanks to Trade Waste Collection team;
Yes please do let them know really lovely guys. People are quick enough to moan but never praise
- CCS
Compliment to the Street Cleaning Crew;
This issue has been cleaned up
Thank you, what a fabulous response and please thank the team responsible.
- CCS
A huge thank you to bin this morning because of road works we all had to take our wheelie bins to the end of our road. The refuse collection team brought all our empty bins back to our houses. A generous action that we were not expecting. Thanks
- CCS
Thanks to Emma Arnold;
Thank you so much for your email this morning. I have seen our bin has been delivered and am most grateful for your assistance in resolving the issue.
You are an asset to your team and I appreciate you have done your best to ensure that the problem was resolved as soon as possible. Due to your efficiency and professional service, I will not be pursuing a complaint and/or refund.
Please pass my email onto your manager as I appreciate front line staff like you, are not always recognised for excellent customer service when diffusing difficult situations.
- CCS
Just wanted to say thank you to the crew they do a great job and she is grateful please can this be passed on to the crew (D6) thanks.
- CCS
Just wanted to say thank you to the team working in Lavant yesterday
I put our bin out at 8am, only to realise my two neighbours bins had already been emptied, so I left my very full bin out while I worked on a plan! An hour and half later I collected my by now empty bin.
Thanks to the team for coming back and spotting my bin. And also thanks for the excellent service we get in Lavant during the year.
- CCS
I just want to take the opportunity to say what wonderfully chirpy and helpful waste collectors we have. My daughter loves to watch the bin truck every week and the guys on the truck always take the time to say hello and give her a wave. I want to pass on a very Merry Christmas to them from me and my daughter.

- CCS Compliment;
It was a mixed blessing that I was stuck behind a well-lit cyclist going north in Apuldram Lane South this evening. I was not able to overtake because there were so many cars coming the other way but I could not fail to notice the big yellow road sign 'This area has just been litter-picked' or similar, on the verge. Very many thanks for arranging the litter-pick of this road, so promptly after the request was made.
- CCS THIS IS NOT A COMPLAINT! I couldn't find anywhere to be positive about the above toilets. I used them last week (the ladies) and the gentleman had just been in to clean them (from Wettons) and had done a wonderful job. They were spotless. Well done. Please pass on my comments to the relevant people. Thanks.
- CCS Compliment;
It was wonderful to drive along the top of Henley Hill yesterday and not see any litter. Please say a huge 'thank you' to the team who cleared it on Monday. It has made a big difference.
- CCS Compliment for Street Cleaning Crew:
Your men came this morning and have done a very thorough job. Thank you very much.
- CCS Compliment for Simon:
On behalf of my neighbours may I thank you for the speedy expedition of clearing the soil build-up in the lane by your team this morning. It has transformed the appearance and re-established the pleasant environment for the many walkers that access the Blackdown Wood via the lane
- CCS Thanks to fly tipping team for prompt collection of rubbish at Midhurst
- CCS Compliment for fly tipping team:
Thanks for responding so quickly to reports like this in our road.
- CCS Compliment via the website:
I just wanted to say a really big thank you to the Council and their environment/waste collection staff. I reported an incident of fly tipping in Wophams Lane to the Council on Thursday 2nd May at approximately 1.30pm and less than 24 hrs later it had all been cleared up and taken away. I heard the guys out there at 0640 on Friday 3rd May picking it all up! I really appreciate how quickly you took action to resolve the situation and remove the rubbish and wanted to let you know that I was very impressed with the service. Many thanks!

- CCS
Thanks to CCS
A big thank you, for all your support and sending in your teams today.
It was a big success and within a few hours we made a huge difference, we can see a way forward for Gail and a little bit more work she will have a lovely Garden for the summer.
- CCS
Written Compliment received for emptying her bins that the neighbour had filled.
- CCS
Thanks to Lisa:
Thank you very much for your kind and prompt attention to this matter.
I have been down South Street this afternoon and thank goodness the 'mess' has been removed.
With grateful thanks for all the efforts of your street cleaning team.
- CCS
Compliment for Land Charges and CCS team:
From the lady who asked for a new street nameplate at Nappers Wood in Fernhurst. She said that the sign had been replaced this morning and she was sure it would make a big difference and asked me to pass on her thanks to everyone involved. She knew how hard we worked not only to get a new sign in place but to also sort out and update the existing nameplates.
- CCS
I would like to pass a compliment about efficient and easy service, where I requested a new (replacement) recycling bin at my home I recently moved into. I completed the online form and within a few days our small red bin was taken away and replaced with a shiny new larger red bin Perfect - please pass my thanks to whoever assisted, including the people who swapped the bin over It's easy these days to complain, but takes just as much time to pass positive feedback, so thank you Reference of MQVXWP190613BB
- CCS
Customer has called in today as she wanted to say a massive thank you to the loader who is always very nice and a joy, yesterday he saw her, she had a towel round her head with blood dripping and he made sure she was ok and then found a neighbour to check on her, the neighbour took her to hospital and she had 7 stitches, so she wanted to say the biggest thank you as if he had not taken the time to get someone she may not have been here now. The crew who carry out collections at her address (Warren Side, South Harting) are D10
- CCS
Compliment for Waste Crew:
Many thanks to the recycling crew for coming this morning. They also had to go looking for some of the bins. Thank you very much for all the assistance. Good job done.
Please thank the crews. Especially the smiley one who waved to me. Good to see a smile.

- CCS I've just returned from my daily walk to central Chichester - what a transformation, channels and walls are weed free and the car park pristine. Thank you both. I am delighted and am sure other local residents will be as well.
- CCS Customer called this morning to say a big thank you for your help in retrieving his glasses from the litter bin in Bosham.
- CCS Thank you for clearing this fly tip. I noticed that it had been removed when I passed the spot yesterday. Well done to the team.
- CCS Compliment for Trade Waste team:
I took a call earlier from a customer, who was phoning to pass on his thanks to a lady in your team (name unknown) who assisted him in getting a new recycling bin for his business (Ascot Park). He said the service had been fantastic and he was delighted.
- CCS Compliment to fly tipping team:
Thank you for the collection. I am really impressed with your prompt action and thank you very much for their removal.
- CCS Compliment for Customer Services and CCS
I just wanted to pass onto you how efficient and friendly your recycling team were this last week. As our household have recently trebled in size [our youngest son, wife, two children and dog] have come to live with us temporarily? Due to exorbitant cost of renting in this area, we needed a larger recycling bin. I rang to ask on Tuesday, today it was delivered. I cannot remember ladies name I dealt with, possibly Clare, but whole experience was brilliant.
Please pass onto the whole team my sincere thanks and congratulations. Excellent customer care,
- CCS Thank you for the service received when ordering a new recycling bin
- CCS Compliment for Fly Tipping team:
I would like to thank the waste disposal team for dealing so quickly with a fly tipping report. Team were advised on Monday morning and the item, an old sofa was gone by this morning
- CCS Compliment for Trade Waste Crew;
I was very pleased to make the acquaintance of your officers this morning, who are doing a grand job for us - a great improvement on our previous provider.
- CCS Thanks to CCS for supplying green bins for community green shed group
Just to let you know all went smoothly as usual....although our working party nearly drowned in rain...we got there in the end. Just know awaiting the bins removal on the date listed. Thank you and the team, yet again for helping us do the work we do.

CCS
Compliment to Fly Tipping team;
James, just to say you did a great job clearing up the mess. Please pass on thanks to the team, well done!

Chichester District Council,
Thanks from a Councillor
I just wanted to acknowledge the assistance that all Officers have given since we were elected; everyone has been extremely helpful and patient. It has been very much appreciated.

Chichester District Council,
Compliment for Chichester District Council Services:
Lastly, I do not know who to direct this to, so please can you pass it on..... but please can I express how grateful I am for the excellent service that Chichester District Council provides. I really appreciate the ease of speaking directly to the person you need to. The wait is always worth it. From the ease of access for the public to the council offices, whether it is to get parking permits, or planning permission, or any number of things that I have needed to go there for. It is always straightforward, orderly and the staff are always polite. I have lived in Reading for 18 years (because of my husband's job - we live in a vicarage) and on occasion have had to visit the Reading Council offices. It makes me all the more grateful for the ease and order of Chichester DC. Thank you so much for being so available, personable and it being so direct and human.

Chichester District Council,
Compliment for all teams from Selsey Town Council:
Following a positive and dynamic meeting at STC yesterday, attended by Tania Murphy, Vicky McKay, Steve Hill & Jane Cunningham, I wanted to take the time to acknowledge the work of your team.
As you know, Selsey is a close knit, engaged community with high expectations of its Council. The May elections serve to raise the profile of STC and its Councillors further and there is a real will to get things done. As officers, the team here are fully aware of the limitations at Town Council level and of what can be achieved through working with other authorities and organisations. We are therefore hugely appreciative of the support, advice, guidance and partnership offered to us right across the board at CDC, through Democratic Services, Housing, Growth & Place and Communities to name but a few departments.
Please pass on our thanks to all at CDC for the work that you do, both in support of Selsey itself and the team here.

| | |
|------------------------------|--|
| Chichester District Council, | <p>Compliment from Sussex Police would like to update you that due to some internal moves, this week, I have changed role to become Detective Chief Inspector at Worthing. I have aspired to become a Detective for a number of years as this is the first vacancy which has arisen, so I am looking forward to the new challenge, but will miss working with such a great team in Chichester, including such incredibly supportive partners and stakeholders including you and many of your staff at Chichester District Council. I would like to mention a few of the team as I depart to Worthing, in particular Pam Bushby who is so driven to do the best for our communities and has been a truly outstanding partner in every role I have been in at Chichester and across all aspects of Community Safety. Likewise, others who I have worked closely with in relation to some challenging issues and have delivered some great outcomes have been Laurence Foord, Piers Taylor and Tania Murphy. I'm sure there are many more, but I did not want to miss the opportunity to mention them to you.</p> |
| Customer Services | <p>Thanks to Customer Services Thank you for your time on the phone today and your prompt email. That is very helpful and efficient customer service. Thank you.</p> |
| Customer Services | <p>Compliment for Customer Services; You have taken so much trouble - thank you. I was cross at the time, but your charm this morning cleared all that. I have found the actual date my previous tenant left, from the date we agreed metre readings. It was 11th September.</p> |
| Customer Services | <p>Compliment for Nick Thomas; Nick was very patient and understanding, and assured me we could get around this issue by sending an application through the post. I wish to take a moment to acknowledge his helpfulness in solving this issue.</p> |
| Customer Services | <p>Compliment for Lauren; Lauren was really helpful and is a complete star!</p> |
| Customer Services | <p>Compliment for Amanda Bird; I would also like to say that I had excellent service in the council offices.</p> |
| Customer Services | <p>Thanks to Customer Services for help with a complaint: Apologies for my delay in response. Thank you for your helpful suggestion regarding my complaint to WSCC</p> |

| | |
|------------------------|---|
| Customer Services | <p>Compliment for Fiona; Thank you for your e-mail. I very much appreciate your help in sorting this out for me. (When I said "you", I meant the council not you personally, as I knew you had already sent the request in, so sorry also for sounding rather cross. Well mistakes get made so not to worry.</p> |
| Customer Services | <p>Compliment for Customer Services for help with Waste Collection dates Thank you so very much for your help on Monday, I was most impressed.</p> |
| Customer Services | <p>Compliment for Vicki Stapleton: Thank you so much for the hard work and diligence, particularly as I came to you with such little information. I have followed-up with the purchaser's solicitor and my solicitor to get more details. Thanks again, and have a great weekend.</p> |
| Customer Services | <p>Compliment for Customer Services for help with a planning enquiry: Thank you that's really helpful. And thanks for your excellent customer service.</p> |
| Customer Services | <p>Thanks to customer services for help with planning enforcement enquiry</p> |
| Customer Services | <p>Thanks to Customer Services for help with planning application enquiry.</p> |
| Development Management | <p>Compliment Vicki Baker: I would just like to thank you for the positive decision we received in regard to Sparr Farm and for being clear and helpful throughout. Alex will in charge of the discharge of conditions and the build out phase. Please give my thanks to Roselle as well.</p> |
| Development Management | <p>Thanks to Vicki Baker; For help with planning application ref 18/01824</p> |
| Development Management | <p>Compliment from SDNP to Tony Whitty; Just a quick note to say Thanks for your input and taking on questions at our two recent events. It is so useful to present not only a united front but that we are seen to work together and share burdens and good work. Once again many thanks and shows the value of partnership working in public.</p> |

| | |
|------------------------|---|
| Development Management | <p>Thanks to Calum and Fjola; Just a quick note of thanks to you and Fjola for determining this out so promptly for us, glad the additional informational information helped in your assessment.</p> |
| Development Management | <p>Compliment for Fjola Stevens regarding assistance with planning application; Great thank you for your help and assisting us with this</p> |
| Development Management | <p>Compliment for planning; Thanks Oliver, just wanted to say we appreciate the way you dealt with this application and the correspondence.</p> |
| Development Management | <p>Thanks to Dan Power; I just wanted to thank you for your support and presentation yesterday. It was very thorough and exceptionally well handled given the circumstances. I appreciate that there are some amendments to the conditions needed. Would it be possible to have a look at those in draft form before being issued? I just want to be clear in my mind where everything ended up!</p> |
| Development Management | <p>Compliment for Phil Birch for re-formatting document for planning application; That's very good --- great job. Thank you for going that extra mile - much appreciated.</p> |
| Development Management | <p>Compliment for Daniel Power; Just wanted to say thank you to both of you re the planning application at Royal Close. It did take a bit longer than we hoped but I think we now have a great scheme. Appreciate your help with getting the application through.</p> |
| Development Management | <p>Compliment for John Saunders and Tony Whitty I just wanted to thank you both for supporting the above application and for describing the planning and heritage considerations so eloquently at committee. We thought that support was waning, but you made a huge difference in communicating the facts and merits of the case. Our client was delighted with the outcome after two years of work and hugely grateful for your contributions to the meeting.</p> |

Development Management
Thanks to William Price;
Thank you so much for your time this morning. After very careful consideration I have decided to Red Card the application. I really hope this does not cause you extra work. You have been really helpful and for that I am very grateful

Development Management
Thanks to Calumn;
Just a quick email to confirm with grateful thanks receipt of those attached, confirming the discharge of conditions 3, 4 and 5 of planning permission ref. 16/03036/DOM and listed building consent ref. 16/03037/LBC. My client will be absolutely delighted;

Development Management
Compliment for Fjola Stevens and William Price regarding planning application;
Thank you both, for dealing with this so quickly. It is much appreciated

Development Management
Thanks to Caitlin Boddy for being so helpful

Development Management
Thanks to Rob Sims for his help with an application

Development Management
Compliment for Martin Mews for help with application advice:
Just to say how much we all appreciated your help and advice at the meeting last week. It was most helpful.

Development Management
Compliment for John Saunders:
On behalf of Co-op, we wanted to thank you for your intervention with regard to this application and its successful outcome. We particularly wanted to thank Derek Price for agreeing to meet on site with my colleague Hannah and I, and for working positively with us to find a solution which is acceptable to all and which unlocks the building's potential. This approval will allow Co-op to deliver a much improved store to the local community, and also enable a better back of house area and improved facilities for staff working at the store.

Development Management
Compliment for Steven Pattie - Planning Enforcement:
Dear Steven, thank you very much for your comprehensive reply which is very clear and helpful.

Development Management
Thanks to Maria:
Given the extensive number of issues raised in your email that run counter to a positive outcome from our perspective, it seems sensible to withdraw the application and draw a line under the investment of time from both sides. As such, please take this email as written confirmation of our request to withdraw the application. Pete has told me it was a pleasure to meet with you and we both appreciate and efforts you have offered to date. With thanks and very best regards

Development
Management

Thanks to Steven Pattie:

Thank you for your email advising us that the neon lighting would be removed. We're pleased to report that the red strip light is no longer illuminated and the area looks much better for it. Thank you also for forwarding our objection letter to the relevant department. No doubt we will be advised if there is any progress in this matter. Thank you again for what you have done

Development
Management

Thanks to Steven Pattie for help with a planning enforcement matter:

" Thank-you for checking Steven and appreciate the effort to take the time to follow up"

Development
Management

Compliment for Oliver Naish:

Thank you so much for this advice. This is exactly what I needed and I am also most grateful to you for prioritising this work.

Development
Management

Thanks to Louise Kent

Our client would like to pass on his sincere thanks to you for your assistance with the listed building consent. Thanks also for your communication on progress with the application and issuing the decision in a timely fashion.

Development
Management

Compliment Development Management team

Thank-you for getting back to me and for all your help with the application

Development
Management

Thanks to Development Management team

Super detailed answer much appreciated and clear.

Development
Management

Compliment for Jo Bell;

Many thanks for your prompt and extremely helpful reply to my email. I look forward to hearing from Jane and arranging a mutually convenient time for us all to meet. The copy of your pre-application response is extremely helpful because we really were feeling out at sea without a paddle!

Development
Management

Thanks to Jo Bell and Tony Whitty;

I just wanted to thank you both for a first class presentation and explanation to Members today at Committee which addressed all of the previous comments and concerns to enable them to make the positive decision reached. I would also like to thank you both for all of your assistance during the application process for this parcel, which helped to create a good quality scheme. This is a very important site for Miller Homes, as I know it is to Chichester, to enable the delivery of new homes on this site.

Development
Management
Development
Management

Thanks to Vicky Baker for help with planning application

Thanks to Louise;
That is good news, thank you so much we are so pleased.
Please pass on our thanks to Louise for handling the case with professionalism and sensitivity.
Have a nice weekend.

Development
Management

Compliment for Caitlin Boddy;
Following the committees approval and Chichester Council's grant of consent for the above development I want to thank you for the professional and positive manner in which this application was processed.
I have now met with the design team and they will be following up with information to satisfy the conditions to allow construction to commence in due course.

Development
Management

Compliment for Louise Kent;
I have just heard from our architect that you have today granted permission for our planned works at Park View Cottage.
Can I take this opportunity of thanking you for your part in this process. Hopefully we will now proceed rapidly with the work, and I look forward to you seeing the finished article in due course. Many thanks indeed
Compliment for Economic Development

Economic
Development

Just to point you towards today's final reminder from the Government as to the imminent closure of the EoI window for EAFRD Rural Growth Grants. The press release does confirm that national pot increased from £35m to £50m so all to play for.
We have received a steady flow of enquiries from across the whole County, but I would like to make a special mention of the CDC ED team who have been exemplary in promoting the grant scheme to their rural businesses. Nevertheless thanks to you all who have!

Economic
Development

Compliment to Economic Development Team;
As a small independent business owner in Chichester I can say that CDC are extremely helpful and have lots of initiatives in place offering both practical and financial support including training workshops grants for new equipment and refurbishment. Derek is fantastic and does his best to support local businesses

Elections

Compliment for Donna Elections team:

My colleague & I attended to hand in nomination papers today. Donna swiftly attended reception & started to sort out a plethora of people handing in papers. I understand that this is a busy time for Electoral Services. Donna sorted through the waiting people & then it was our turn. We had many nomination papers & they needed sorting through & checking. There were minor infractions that could be corrected; Donna was extremely helpful & conscientious. The excellent part of this is that she could have pointed these out & returned them to us, but having identified errors she then proceeded to suggest solutions. This is excellent as, back in the day, errors would have been spotted with papers shoved back at the customer with a 'down to you' attitude. Donna was courteous, helpful & suggested solutions to the problems and outlined them. She also phoned back my associate outlining further helpful suggestions. Donna is an excellent member of staff & I think you should know that.

Environmental
Protection

Thanks to Joanne Wood;

Good morning. Just wanted to send an email with regards to our inspection earlier this month. Firstly I would like to thank you and the vet for all your help and we were very pleased with our result. A great end to 2019 as we won Riding Club of the Year last week.

The inspection was extremely comprehensive and both you and the vet gave some very valuable feedback. I think these inspections are very important and a great way to ensure that riding centres are working correctly and equines are looked after. We are all working for the same thing (well looked after equines!). It has been a very positive experience for us.

It was a pleasure to have you both on the yard. If you are every in the area please feel free to pop back in and see the work we are doing.

Compliment for Paul Thompson

Environmental
Protection

Thank you for the copy letter sent to the Denton's, thank you also for the professional manner in which you carried out the testing at numbers 21 and 22 Haleybridge Walk, and for the way that you mediated between ourselves and the Denton's with data from the recordings. It has taken us 2 years to get them to this point and we really hope that they heed the advice given and take note of the anxiety, stress and nuisance, caused to us during the last 2 years. Although not illegal or a noise nuisance it has been enough to disrupt our life significantly. We now hope that they will take steps to reduce the noise and vibrations, or even purchase a modern quieter machine which are now available on the market and so much quieter too.

We look forward (hopefully) to hear some positive news on this matter, in the near future.

Environmental Protection

Compliment for EP

My neighbours and I would like to thank you for your prompt attention to this noise problem with the fair on Hampers Common. We have enjoyed a noise free evening. I would imagine the people from the fair have managed to re-site their generator which is very much appreciated. If you do speak to the proprietor of the fair again, please send him our thanks. We can now have a good night's sleep in readiness for my partners operation at Worthing hospital tomorrow.

Environmental Protection

Compliment for Monique Huggett

I would just like to say a huge thanks for responding so quickly to my complaint of noise from our neighbours at Nine, Nine Acres. We have had two weeks of peace and quiet in the evenings and at weekends which has been much needed as we have weeks of building work disruption ahead. The builders next door have been fantastic which has helped a great deal.

Environmental Protection

Compliment for Paul Thomson:

Your dedication to this matter, the fairness and objectivity of the way in which this has been dealt, is impressive
A customer who has just received his animal licence following Jo's inspection. Phoned up specifically to say thank you as he found the experience positive and helpful with some good suggestions of how they can do things better. He said he appreciates we are implementing government regulations but that this can be done in a pragmatic and helpful way or an officious way. He was pleased that the pragmatic approach was taken.

Environmental Protection

Environmental Protection

Compliment for Simon Ballard;

I just wanted to thank you very much for a very stimulating talk that sparked a lot of discussion and was clearly enjoyed by all.

Environmental Protection

Thanks to John Rosser:

Just a short note to say thank you for John's visit last evening to the Donnington Men's Discussion Group. John spoke really well on animal welfare issues and the law. I could see by the expressions on faces around the table that the group were both sickened and horrified by the cruelty shown to so many poor, innocent animals.

John has such a wealth of experience, knowledge and understanding he really is a national treasure. Above all else, it is John's tenacity and way of dealing with people that came across last evening. CDC and us locals are indebted to John for his considerable loyal service to the community....with two legs and four!

We really appreciated his visit.

Thank you

- Thanks to David Cooper from Parking Services;
 Thanks again for coming to see WSCC's consultant this afternoon regarding the CPE and CPZ review. When Peter left he gave me some feedback, which was extremely positive about how things operate parking-wise at CDC. Peter was also very impressed with the information you were able to provide today and how knowledgeable you were in providing the answers to his questions.
- Finance, -
- Compliment for Matt Gammon;
 You know I think highly of all of your team, but until recently I've never really worked with Matthew Gammon. I just want to let you know how lovely and helpful he is! Nothing is too much trouble and he has such a helpful, can do attitude. He's a real credit to your team.
- Finance, -
- I think it's important to recognise people who go that extra mile, and so I wanted to take the time to send this.
- Compliment from Selsey Town Council for Jane Cunningham:
 It's brilliant! You should be so proud of what you're achieving with STD & almost everything I read and see makes me well up. It's so amazing seeing something that I've always taken for granted develop its own voice; the Fishery is building pride and identity and crucially, the branding makes it something we can market as one of our greatest USP's. It's a real legacy project and I'm very very grateful to have you working on it!!
- Growth and Place
- Thanks to Jane Cunningham re Sea's the Day project:
 There is so much potential in the Sea's The Day project and I'd like to thank you all for your dedication and commitment in achieving such high quality images
- Growth and Place
- Compliment to Health and Wellbeing team
 I attended the diabetes prevention workshop today for my partner.
 I found the lecture very interesting and Sue is a fantastic presenter.
 I would like to thank you all, as I came away with lots of information in order to look after my partner
- Health and Wellbeing
- Once again (I would like to thank you)
- Compliment by email to Chris Dixon regarding help with housing advice:
 You've been a huge help and honestly thank you :)
- Housing Team

Compliment for Lisa Aytoun - Homeless Outreach Worker

I would also like to express my sincere gratitude for the amazing job you did in keeping Christine safe and well during the time you looked after her. I'm not sure we would have achieved a positive outcome without your sincerity and dedication. I can tell you love what you do. Keep up the good work and extend my appreciation to your manager for allowing you the time to go above and beyond in taking her to the airport this morning.

Housing Team

Thanks to Emma Burle - Licensing Team

For the very prompt & paperless administration by CDC Licensing.

Licensing Team

Compliment for Emma Burle;

The customer I spoke to a little earlier on regarding Upwaltham House Farm was extremely complimentary about you. He was very impressed by your positive attitude and particularly how you had sought to assist him as best you could with the knowledge that you have. As you know, his query wasn't actually that easy to understand! It's so nice to receive genuine positive feedback from a customer Emma, particularly given how stretched we are at the moment, so a massive well done.

Licensing Team

On behalf of Southdown's Orienteers I would like to say thank you for allowing us to stage this event, the competitors came from far and wide so it was a great success. We do hope that you will consider allowing us to stage further events at some time in the future. Results and event reports can be found on our website.

Licensing Team

Thanks to PR team:

A big thank you for hosting us on Tuesday and talking us through your award winning campaign 'Against Litter'. Really impressive, congratulations.

Licensing Team

Compliment for David Knowles Lee for help with a licensing application: Please accept my thanks for all your help through our organisation of this event and I do hope that we will work with you sometime in the future.

Licensing Team

Thanks to Licensing team;

Dear Laurence,

I did come into Chichester yesterday for a number of reasons other than to view the market, but I was very pleased to see that the issues of concern I raised previously had been attended to & I am flexible enough to live with only two dresses hanging from the Council House Portico on this occasion, the Market House frontage was completely clear and there was no traders stock set out on the public benches in East Street. The lovely weather certainly helped the occasion and there was a good 'buzz'.

Licensing Team

Thanks for your efforts and those of the market operator, they are much appreciated.

Thanks to Car Parks

Just wanted to compliment the street cleaning team. I reported some broken glass in the car park a couple of weeks ago and not until early afternoon and was really impressed that by the time I got back to my car it had been cleared up. A really efficient service, thank you :)

Parking Services

Thanks to Pete Jeffkins from customers for help with parking enquiries

Parking Services

Compliment re improvements to Car Park:

Just a note to thank you for the work, commitment and planning that has gone into the revamped North Street car park.

Parking Services

Compliment for Darren Bradfield:

Hope you enjoyed your break from work.

Yes all is good. It arrived last week and I am now parking at the cattle market with no issues :)

Please let your manager know how much I appreciate the work you done for me. You put my mind at ease and really went out of your way to help me. Thank you

Parking Services

I am writing as I wish to compliment the extraordinary support/help I received from a member of your staff this week. His name is Mr Darren Bradfield. I had attended Chichester District Council on 6th August, with my supporting paperwork to apply for a Healthcare permit. I was told, as expected, to return in a few days to collect and pay for the permit. I returned on 13th August only to find there was no healthcare permit for me and no details/log that I had attended the previous week to request it (even though the receptionist remembered me). The receptionist contacted Mr Bradfield, and he came down within minutes to speak to me. He too struggled to find any details of my visit/application for a healthcare permit, but he kept looking and kept coming back to me until the issue was resolved. I feel that I received excellent customer service, and felt that he should be commended on the exceptional support and attention he paid to me. I had been expecting to be told to resubmit all my paperwork and return another day (especially as your office was closing very soon after I arrived), and as a community nurse finding the time to return again can be difficult. Mr Bradfield really is an asset to your service, and I would like to thank him again for all his support.

Parking Services

Compliment re Electric Charging Points:

Really pleased to get this press release & you've just delivered on one of our emerging business plan priorities! Please pass on my thanks to the team we really appreciate the work you're doing to support Selsey as a town.

Parking Services

Compliment: On Saturday afternoon at about 2.05 I tried to pay the parking fee in a machine on the first floor of the Southgate multi-storey car park. The machine was not working so I contacted a female member of staff on the intercom. She handled the problem in a very calm, polite and friendly manner and I would be grateful if you would pass on my thanks to her. She was an excellent ambassador for your Council.

Parking Services

Thanks to the PR team;

It's my pleasure, you have helped me immensely since I was elected and I know it's only a token but a big thanks from me for all you and your staff have done it's appreciated.

Public Relations

Compliment to the Benefits team:

This is not a letter of complaint nor query. I felt compelled to write to you all to thank you for all you have done, and continue to do to ensure my welfare and peace of mind in my old age. I often think about all those who work tirelessly to support those of us who are no longer able to maintain ourselves independently. We have so much to be thankful for and perhaps many of us are remiss in taking that kindness and support for granted. I so appreciate everything you are doing and I wanted you to know that.

Thank you for being there for me and thousands of others who would not be able to survive without you working selflessly on our behalf. I am truly grateful. With warmest of thoughts

Revenues

Compliment to David Sharp and Chris Wingate:

We really appreciate your intervention and wonderful customer service in this matter. It is a great relief to us to know this is finally being processed.

It is good to know there are still people who understand and value their ability to be able to resolve situations considerately and the positive impact that that brings.

Revenues

Letter of thanks to Andy Lambert for help and assistance with council tax reduction application

Revenues

Compliment regarding CA- Online Council Tax system

Can I just say what an excellent service this is. It's been so easy to manage my account this way.

Revenues

Thanks to Lauren Forsyth for help with resolving an issue

Revenues

Compliment for Benefits team

I'm writing this to thank you and your team for your hard work and patience answering to all my questions and concerns.

Revenues

Thanks by letter to the Benefits team:

Thank you for being a brilliant and efficient office to deal with

Revenues

Compliment for Council Tax:

Thank you for discussing with me the situation that my sister has got herself into.

It's refreshing to have someone so sympathetic and even considering a case like this, and I'd like to add that Michelle handled matters very kindly, so please thank her for me.

Revenues

Compliment for Claire Divey;

Just to say thank you so much for taking the trouble to send me details of how to get the refund below on my council tax.

It was paid into my account last week... very impressed that eight years after we left Chichester, you drew our attention to it!

Revenues

Compliment for Chris Winyard

I have just checked and the refund is in my account. Many, many thanks for your prompt and efficient refunding process. I am hugely grateful.

Revenues

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BUDGET REVIEW

TERMS OF REFERENCE AND SCOPING

| | |
|---------------------------|---|
| Review Topic | Budget 2021-22 |
| Membership (and Chairman) | 3 members of Corporate Governance & Audit Committee and 3 members of Overview & Scrutiny Committee to be sought at their meetings in October/November 2020. |
| Terms of Reference | To consider the proposed changes on the approved base budget for compiling the 2021-22 budget. To comment on these in advance of Cabinet consideration of the Budget 2021-22 in February 2021. |
| Scope | 5 Year Financial Model Statement of Resources 2020-21 to 2025-26 Projected Revenue Budget Variations 2021-22. |
| Review Period | December 2020 |
| Officer support | Helen Belenger, David Cooper and Katherine Davis |
| Frequency of Meetings | One meeting to be held December 2020 (date to be confirmed) |
| Report back to | CGAC on 18 January 2020 and OSC on 26 January 2020 |

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Chichester District Council

CORPORATE GOVERNANCE & AUDIT COMMITTEE

19 October 2020

Risk Management Update

1. Contacts

Report Author:

Helen Belenger, Divisional Manager Financial Services

Tel: 01243 521045 E-mail: hbelenger@chichester.gov.uk

2. Recommendation

- 2.1. That the Committee approves the minor changes to the Council's Risk Management Policy & Strategy recommended by the Strategic Risk Group.**
- 2.2. That the Committee notes the updated Strategic Risk Register and the internal controls in place, plus any associated action plans to manage those risks, and raises any issues or concerns.**
- 2.3. The Group notes that the Programme Boards Risk Registers have ceased as a result of a change in the Council's action plans as set out in the Recovery Plan reported to Council in July.**

3. Background

- 3.1. In March the Strategic Risk Group considered the amendments to the Risk Management Policy & Strategy and the position of the Council's different risk registers; the update was due to be reported to the Corporate Governance and Audit Committee in March 2020. However, due to the global pandemic the meeting was cancelled, and by the time the committee next convened in July, the information on the risk registers was out of date, so the decision was taken to only circulate the report and appendices prepared in March for information to the committee members in July, when a special committee took place. As such, the minor amendments to the Council's Risk Management Policy and Strategy have yet to be formally considered and are now being submitted to the this Committee meeting to be approved.
- 3.2. In accordance with the governance arrangements under the policy the Strategic Leadership Team (SLT) considered all the Risk Registers in June (Quarter 1) and again for this second quarter review, which was reported to the Strategic Risk Group on 5 October, and the outcome of their review is now being reported to the Committee.

4. Outcomes to be achieved

- 4.1. To adhere to good practice, the Council's Risk Management Policy and Strategy is reviewed and refreshed as necessary.

- 4.2. An updated and refreshed Strategic Risk Register that is current, and relevant to the Council and its operation, and that those risks are well managed in accordance with the Council's Risk Management Strategy and Policy.

5. Risk Management Policy & Strategy

- 5.1. The Risk Management Policy and Strategy were last updated in March 2018 to reflect a new management structure which came into effect from 1 April 2018.
- 5.2. Appendix 1 sets out some minor changes required to the policy and strategy to reflect the current corporate plan objective on risk management and the new assessment terminology for the risk scoring matrix. The change in terminology is to align the risk matrix that will also be used in the recently updated project management guidance when considering project risks.
- 5.3. Following the review by SRG in March no other changes were recommended to the Committee; as the changes are only minor amendments or corrections in nature, the Council's Monitoring Officer has agreed that the revisions made do not need further Cabinet approval.

6. Update on the Strategic Risk Register

- 6.1. The Strategic Risk Register was considered by the relevant risk owner prior to the reviews by SLT and the Strategic Risk Group.
- 6.2. SRG considered the updated risk register, with its discussion focussed on the current risk scores, the latest situation affecting the risk position, and the mitigation action plans that are in place or being developed to manage the identified risks.
- 6.3. The risk map below shows the risk numbers and where they currently appear on the heat map for the strategic risk register:

| | | | | |
|-------------------|----------|------------|-------------------------|-----------|
| LIKELIHOOD | | 9 | 148 | |
| | | | 147, 170 | |
| | 8 | 171 | 97, 165, 178 | 1 |
| | | | | 68 |
| IMPACT | | | | |

Key to Risk Numbers:

1 = Financial Resilience, **8** = Skills, Capability/Capacity, **9** = Business Continuity, **68** = Health & Safety, **97** = Cyber Risk across ICT estate, **147** = Southern Gateway Regeneration, **148** = Local Plan, **165** = Brexit, **170** = Changing Use of the High Street in the City and Rural Towns, **171** = Criminal Finances Act - Procedural failures facilitating tax evasion; **178** = Covid-19 (Coronavirus)

- 6.4. The 11 strategic risks on the register remain the same as those previously reported to the SRG. Six of the strategic risks are considered to be controlled, with the other remaining five have controls pending, which is where actions are still in progress to control or mitigate the risk; although the mitigation controls in place are seen as improving.
- 6.5. This quarter the following risks' score have changed:
- CRR 01 – Financial Resilience – the risk score has reduced from 16 to 8 as result of the likelihood reducing from 4 (almost certain) to 2 (possible), taking into account the new support expected in 2020-21 for the loss of sales, fees and charges income from the Government as result of the impact of the pandemic on the Council's discretionary income streams.
 - CRR 09 – Business Continuity – the risk score has reduced from 9 to 8 to take account of the likelihood increasing to 4 (almost certain) from 3 (probable), due to the pandemic but the impact reduced from 3 (substantial) to 2 (moderate) as result of measures put in place to ensure that council services could continue to be provided.
 - CRR 148 – Local Plan – the risk score has increased from 6 to 12 as the Local Development Scheme (LDS) submission date has passed, so the likelihood risk score has increased from 2 (possible) to 4 (almost certain).
 - CRR 165 – Brexit – the risk score has increased from 3 to 6 to take account of the likelihood of a no deal Brexit currently increasing at the end of the transition period.
 - CRR 178 – Covid-19 (Coronavirus) – the risk score has decreased from 12 to 6 as the likelihood score has reduced from 4 (almost certain) to 2 (possible) due to the control measures that have been put in place.
- 6.6. All other existing strategic risks scores have remained unchanged since the last quarter's review.
- 6.7. Appendices 2 (a) and 2 (b) show the current status of the Strategic Risk Register.

7. Programme Board Risk Registers

- 7.1. In response to the Council approved Recovery Plan which set out 4 new themes to aid the council's recovery as a result of the global pandemic. These are to aid recovery over the next 12 months based on four thematic areas:
- Community and Housing Recovery
 - Economic Recovery
 - Planning, Health and Environmental Protection Recovery
 - Organisational Recovery
- 7.2. As a result of these new plans the previous programme boards have now ceased. The risks associated with each of the thematic work streams and their

action plans will need to be considered both for strategic risks i.e. CRR 1 Financial Resilience etc. and in individual services' organisational risk registers, where appropriate.

8. Risk Management Loss Control Allowance

8.1. Due to the pandemic the Council extended the insurance contract which was due to end on 31 October 2020 by 1 year. Officers are in discussions with Zurich whether the funding for the outstanding work from the annual allowance for 2020 will be available in 2021. The allocation yet to be used was for a risk appetite review by members from SRG and the Corporate Management Team; however, this is dependent on future changes and development of the Council's Corporate Plan as part of the Recovery Plan.

9. Conclusion

9.1. Any amendments by the Group to the strategic risk register will be reported to the Corporate Governance and Audit Committee on 19 October 2020.

10. Other Implications

| | Yes | No |
|--|-----|----|
| Crime & Disorder: | | X |
| Climate Change and Biodiversity: | | X |
| Human Rights and Equality Impact: | | X |
| Safeguarding and Early Help: | | X |
| General Data Protection Regulations (GDPR): | | X |
| Health and Wellbeing: | | X |

11. Appendices

- 11.1. Appendix 1 – Risk Management Policy & Strategy including the Risk Management Framework
- 11.2. Appendix 2 (a) – Strategic Risk Register
- 11.3. Appendix 2 (b) – Strategic Risk Register (Part 2)

12. Background Papers

12.1. None.

Chichester District Council

**Risk Management Policy
and Risk Management Strategy**

Updated March 2020 ~~18~~

Risk Management Policy

Introduction

Chichester District Council is aware that risk management is a fundamental issue for consideration in the delivery of its services and how it serves its community. It is a discipline that cuts across all of the council's activities and is a process that aims both to raise awareness and protect the council against potential risks and the consequences of those risk occurring.

However, some risks will always exist and cannot be eliminated. Against this ethos there is the clear understanding that risks need to be managed rather than avoided, and consideration of risk should not stifle innovation.

The council recognises that it has a responsibility to manage its significant business risks and supports a structured and focused approach to managing those risks as part of the corporate governance framework. This includes the adoption of this policy and strategy, as risk management is an integral part of its business processes, assists with decision making and achievement of key objectives, whilst also providing evidence of effective management and control in support of the Annual Governance Statement.

The ~~C~~council's Corporate Plan ~~states that 'the Corporate Plan~~ minimizes the risk of a disjointed approach and waste of both staff resources, ensuring the prudent use of Council's resources and ensuring that corporate risks are controlled and their risk score is brought down to target levels agreed by the Strategic Risk Group. ~~provides.... the opportunity to manage the Council's strategic risks and any significant risks that may impact on the community.'~~ The Council will assist with managing community risks with other agencies as part of the Local Strategic partnership, and play an active part in managing those risks which the Council is able to materially influence and have impact upon.

Objectives

The council is committed to implementing a proactive approach to risk management that is based on the following key principles:

- Risk management activity will be aligned to corporate and service plan aims, objectives and priorities. It will encompass all strategic and operational risks that may affect the council achieving its objectives.
- Risk management is key to achieving the council's Corporate Plan.
- The council will anticipate and take preventative action to actively manage risks rather than dealing with the consequences.
- Risk management is a process to assist in understanding risks and so contribute to improved decision making. The purpose therefore is not to design out risk at disproportional costs, but to manage it effectively.

- A consistent approach to the identification, assessment and management of risk will be embedded throughout the council.
- Any risk control and mitigation measures will be considered for their effectiveness as well as being appropriate, proportional, affordable and flexible.
- All council officers are responsible for the management of the risks that surround their role and adherence to the risk management framework. Managers also have a responsibility to ensure that their service areas have service continuity plans in place which are periodically reviewed and tested.

To achieve these key principles the management of risk is woven throughout the council's key governance frameworks and as such these are specific requirements for all officers to adopt a **formal** approach to risk management in the following areas:

Key decision making reports
Corporate, Directorate and Service planning processes
Programme and Project Management
Procurement Processes
Partnership working arrangements
Change management process

There are clearly defined roles and responsibilities and reporting lines within the Council for risk management.

Management of risk is a continuous and dynamic process and the Council's approach will be kept under regular review.

Risk Management Strategy

Overview

In order to manage risk Chichester District Council considers that a proactive approach in respect of its significant business risks will enable it to be in a stronger position to deliver the corporate priorities and serve its community.

Risk Management Framework

To achieve this, it is envisaged that members and officers develop an embedded enterprise wide risk management framework which gives a robust and systematic approach that aids the authority to:

- Help officers to fully understand the causes and impacts of the risks that they face, and in turn make more informed decisions on how best to manage risks.
- Allow officers to analyse and prioritise risks; helping inform decisions on the management, escalation and communication of risks.
- Creates a management tool which promotes discussion and helps reinforce officers' understanding of risks and how they will be managed; as well as encouraging the assignation of roles and responsibilities.
- Provide senior managers and members with the assurance that risks are being considered and managed across the organisation, and where 'need be' risks have to be taken; these are escalated for their input and guidance beforehand.

Key Risk Management Objectives

In order to realise the organisational benefits of managing risk and to deliver upon the remit of developing and embedding a risk management framework, the following objectives have been identified:

1. To maintain and review the risk management framework which takes into account new and emerging risk management practices in accordance with good practice.
2. To develop and maintain a service continuity planning framework that allows the council to continue to deliver its most important services in accordance with the Civil Contingencies Act 2004.
3. To actively manage risks and opportunities by identifying the risks in the delivery of the council's plans i.e. corporate, directorate and individual service plans. The risks identified should be assessed for likelihood and impact, along with identifying any mitigating controls, and should be allocated to a named officer (s) who is responsible for those risks and their mitigation controls.

4. To ensure that risks in the present and the future are considered and discussed as part of the council's key decision making processes.
5. To ensure that all programmes and projects in the council have a robust approach to risk management which includes risk identification, analysis, prioritisation, control, communication, review and escalation.
6. To ensure officers consider the management of risk within the procurement process.
7. To integrate and embed risk management throughout the working culture of the council by providing support, guidance and training to officers, and members where appropriate.
8. To monitor adherence to the Risk Management Framework and report on performance to the Strategic Leadership Team (SLT), the Corporate Governance and Audit Committee, and Cabinet.

Definition of Risk Management

CIPFA's Better Governance Forum's definition of risk is described as:

"Risk arises as much from failing to capture opportunities, as it does from a threat that something bad will happen."

This definition is complemented in the context of risk management as detailed in the British Standard 31100, which states;

"Risk management is as much about exploiting potential opportunities as preventing potential problems."

Risk Identification Process

Managers should concentrate on events that might affect the council's achievement of its objectives. Strategic risks linked to the Corporate Plan objectives and operational risks linked to service and project plans need (as a minimum) to be identified and monitored.

Roles and Responsibilities

In order to ensure the successful implementation of the Risk Management Strategy, there needs to be clear roles and responsibilities, with clear processes, which are set out in the risk management framework and also within this policy.

| Group/Individuals | Role/ Responsibilities |
|--|---|
| Council | <ul style="list-style-type: none"> a. Agree the Risk Management Policy and Strategy b. Receive and act upon reports from Cabinet, and reports, recommendations and advice from Corporate Governance and Audit Committee |
| Cabinet | <ul style="list-style-type: none"> a. Considers the Risk Management Policy and Strategy and receive reports on them b. Hold the political responsibility for risk within each individual portfolio c. Identify a lead portfolio holder for risk management |
| Cabinet Portfolio Member Risk Champion | <ul style="list-style-type: none"> a. To champion risk management at a strategic level in the council from a member's perspective b. To promote and support the development and implementation of the Risk Management Policy and Strategy |
| Corporate Governance & Audit Committee | <ul style="list-style-type: none"> a. Consider corporate risks and control and monitoring arrangements b. Review Internal Audit priorities and risk assessments c. Report to full Council each year on corporate governance issues and internal arrangements to monitor and control risks |
| Strategic Risk Group (SRG) | <ul style="list-style-type: none"> a. Consider strategic, operational and programme board risks, the associated controls, management and any mitigation. b. Review of previously identified strategic risks and any detailed consideration of any newly identified risks to be incorporated in the report to Corporate Governance & Audit Committee |
| Chief Executive & Lead Officer Risk Champion | <ul style="list-style-type: none"> a. Overall responsibility for ensuring that strategic risks are effectively managed within the council b. To champion risk management at a strategic level in the council from an officer's perspective c. To promote the development and implementation of the Risk Management Policy and Strategy d. Ensure that Risk and Performance frameworks are aligned so that corporate plans are appropriately monitored e. Act as the SLT Lead Officer for Risk Management f. Ensure that relevant staff and members are trained on risk management |
| Strategic Leadership Team | <ul style="list-style-type: none"> a. Contribute towards the identification and management of strategic and cross cutting risks b. Responsibility for effectiveness of risk management and assurance frameworks and any mitigation c. Regularly review the strategic risk register d. Quarterly monitoring of corporate risks and associated action |

| Group/Individuals | Role/ Responsibilities |
|---|---|
| Chief Executive & Directors (Strategic Leadership Team) | a. To provide annual assurance on the effectiveness of controls in place to reduce risks within their services to an acceptable level. b. To maintain awareness of and promote the risk management strategy and policy to relevant staff. |
| Director of Corporate Services | a. Applies strong internal controls in all areas of financial management, risk management and asset control. b. Promotes arrangements to identify and manage key business risks, including safeguarding assets, risk mitigation and insurance. c. To assist the Chief Executive in: <ul style="list-style-type: none"> • The development and implementation of the Risk Management Policy and Strategy • To ensure that Risk and Performance frameworks are aligned so that corporate plans are appropriately monitored • To ensure that relevant staff are trained on risk management |
| Programme Board Lead Officer | a. Identify and monitor the risks identified associated with the work of the Programme Board b. Each Programme Board will review their risks registers. c. Cabinet members and directors should be informed of key programme/ project risks relevant to their areas of responsibility. |
| All Divisional & Service Managers (Through Departmental Management Team meetings) | a. Contribute towards the identification and management of operational risks, incorporating in service plans b. Maintain awareness of and promote risk management policy and strategy to staff. c. Ensure that risks that have been identified are addressed and mitigated. Any that are scored as high/high using the 4 by 4 matrix to be addressed urgently. d. Ensure that risk management is incorporated into service and project plans e. Ensure that supplier and procurement risk is considered in their service plans |
| Internal Audit – Internal Audit & Corporate <u>Investigations Fraud</u> - Manager | a. To independently review and report to the Corporate Governance and Audit Committee on strategic and operational risk management, plus any review as part of the Annual Governance Statement. |
| All Employees | a. To manage risk effectively in their job and to highlight to management any risks arising and contribute to the control process to mitigate the risks to an acceptable level. |
| All Members | a. To manage risk effectively in their role and to highlight to the Cabinet Portfolio Member Risk Champion or Chief Executive (as appropriate) any risks arising and contribute to the control process to mitigate the risks to an acceptable level. |

Different Types of Risks

Officers and members need to consider the different types of risks in relation to how the council delivers its services and how it serves its community e.g. strategic, operational or community risks.

Strategic Risks

Possible examples of strategic risk are as follows:

- **Political:** Linked to possible failure to deliver Council objectives or Central Government policy.
- **Economic:** Affecting the ability of the Council to achieve its commitments.
- **Social:** Relating to the Council's ability to meet the effects of changes in demographic, residential or social-economic trends.
- **Technological:** The ability to identify technological changes and using technology to meet changing demands
- **Legislative:** The ability to meet the legislative demands affecting the Council
- **Environmental:** Relating to the environmental impact of the Council's Service delivery

Operational Risks

Operational risks are those that could prevent achievement of operational objectives, as stated in service and project plans. Only those risks that are of a concern need recording and monitoring. However, these should include contingency or disaster recovery plans. Possible examples are:

- **Professional:** Associated with the professional competence of council officers and the recruitment and retention of staff
- **Financial:** Associated with the financial resources and related controls
- **Legal:** Relating to potential breaches of legislation, or other duties
- **Physical:** Related to physical damage, security, accident prevention and health & safety
- **Contractual:** Associated with the failure of the council's contractors to deliver services or products to the agreed cost and specification
- **Technological:** Associated with reliance on operational equipment
- **Environmental:** Associated with pollution, noise, energy
- **Customers:** Associated with the ability to engage all our customers and the identification of their changing needs and related issues of equality

Community Risks

Risk management has traditionally been an inward focused exercise which looks at the potential risks to the council and how they are managed. An alternative approach to measuring risk is to look at the significant impact on a community and the outcomes they may face. This is particularly evident in the partnership approach to service delivery with the customer as the focus point and not the individual organisation providing the service.

Cross Cutting Risks

All involved in the risk management process, should consider whether any corporate/operational activities result in risks with cut across other areas of the council. The relevant management should liaise to determine the appropriate method of treating any cross cutting risks.

Projects & Contract Risks

All new projects and contracts should have had their various risks considered before being approved. In the case of a contract, the relevant director and project manager are responsible for ensuring relevant risks have been considered.

Partnership Risks

Before any significant partnerships are entered into, their risks should be assessed, and where unacceptable, mitigating controls put in place. The partnership risks should be reviewed periodically, and assurances obtained about the management of these risks by named officers.

Financial Risk

Financial Risk e.g. loss of income or greater expenditure than anticipated is the primary risk identified and measured. However, this is just one of several different types of risk that can be measured. It is not just the impact of an event happening in financial terms that need to be evaluated, but also the potential damage that such an event could have upon other things such as the reputation of the council.

Governance and Compliance

A formal approach to risk management involves undertaking a risk assessment or detailing risks in a report. The council recognises that the approach to risk management should be proportionate to the level of risk present.

Compliance with the Risk Management Framework

This policy and strategy is just one part of the council's risk management framework, which also includes a 4x4 risk scoring system, risk assessment template, corporate risk register system, and service continuity plans. Service continuity plans are held on the Resilience Direct System.

The Risk Management Framework is set out in the attached schedule.

To ensure consistency it is important these roles are adopted across the council and that any variations or dispensations are kept to a minimum. To aid consistency in scoring risks using the risk assessment matrix, the severity of impact is set out in the following table:

| Severity of impact matrix | | | | | | |
|------------------------------|---|---|---|--------------------|---|--|
| Score | Personal safety | Failure to provide statutory duties or meet legal obligations | Financial loss | Service disruption | Personal privacy infringement | Embarrassment or reputation |
| 1 Minor | Minor injury or discomfort to an individual or several people | Litigation, claims or fines up to £5k | Loss of money or uninsured costs of less than £5k | 1 day | Isolated individual personal detail compromised or revealed | Contained within section or unit |
| 2 Significant Moderate | Severe injury to an individual or several people | Litigation, claims or fines between £5k to £10k | Loss of money or uninsured costs of less than £100k | 2-3 days | Some individual personal details compromised or revealed | Local public or press interest |
| 3 Serious Substantial | Major injury to an individual or several people | Litigation, claims or fines between £10k to £50k | Loss of money or uninsured costs of less than £500k | 3-5 days | Many individual personal details compromised /or revealed | National public or press aware. Member forced to resign. |
| 4 Major | Death of an individual or several people | Litigation, claims or fines between over £50k | Loss of money or uninsured costs of more than £500k | 5+ days | All personal details compromised or revealed | Leader of the Council or Chief Executive or Director forced to resign. |

Definitions of Likelihood:

| Likelihood | | |
|------------|----------------|--|
| Score | Factor | Description |
| 1 | Unlikely | No occurrence in the last 2 years or for foreseeable future |
| 2 | Possible | No occurrence within the last 12 months anticipated within the next 12 months |
| 3 | Probable | At least one occurrence in last 12 months or anticipated within the next 12 months |
| 4 | Almost Certain | At least one occurrence in last 6 months or anticipated within next 6 months |

CDC Risk Matrix

| | | | | | |
|------------|-------------------------|---------------|-------------------------------|------------------------------|---------|
| Likelihood | 4 <u>Almost Certain</u> | 4 | 8 | 12 | 16 |
| | 3 Probable | 3 | 6 | 9 | 12 |
| | 2 Possible | 2 | 4 | 6 | 8 |
| | 1 Unlikely | 1 | 2 | 3 | 4 |
| | | 1 Minor | 2 <u>Moderate Significant</u> | 3 <u>Substantial Serious</u> | 4 Major |
| | | Impact | | | |

Further guidance on the use of the matrix is part of a future guide to be issued to officers and will be available on the staff intranet.

Monitoring, Reporting & Escalation

The Strategic Leadership Team (SLT) is responsible for ensuring that the key risks on the strategic risk register are managed and the progress with the risk mitigation measures should be monitored at appropriate intervals. Directors and Divisional Service Managers are also responsible for ensuring that the key risks in the risk registers linked to respective Service Plans (SP) are managed via their organisational risk registers. It is recommended that high risks feature as a standing item on DMT/Service Managers meeting agendas. SLT receives monthly reports on major projects and performance to monitor risks and will monitor the strategic risks on a quarterly basis.

On at least an annual a quarterly basis, the strategic and Service Plan risk registers high risk items (Organisational Risks) should be reviewed and where necessary risks re-prioritised by the Strategic Risk Group and SLT. Risks should be amended so they reflect the current situation, obsolete risks should be deleted and new risks identified. This ensures that the risk registers and resulting risk mitigation measures are appropriate for the current service and corporate objectives. The review of the strategic risk register must be undertaken by Strategic Leadership Team and the organisational risk registers must be reviewed and updated by the respective Directors and Divisional Service Managers with their management teams.

Reporting and escalating risks

As new risks arise they should be promptly recorded on the relevant risk register. Also the environment in which the risks exist will change making some risks more critical or others less important. Risk registers and matrices at each level should be updated to reflect these changes as they occur. If such risks require corporate ownership and management then consideration should be given as to whether they should be incorporated into the strategic risk register. If the management of such risks is more appropriate at a service level then it should be included in the respective SP/service risk register.

It is recognised that some service risks have the potential to impact on the corporate objectives. High risks from service risk registers should be reported to SLT where a decision will be taken on whether to prioritise any of these risks on the strategic risk matrix and include them on the strategic risk register.

Each service area will need to consider their operational risks to ensure their business continuity arrangements are robust. Directors and Divisional Service Managers should test their plans at least annually.

SLT/ the Director of Corporate Services will report the strategic and any service high risks to the Corporate Governance & Audit Committee and Cabinet, and an up to date risk register and matrix will be published for Full Council via Modern.gov.

Risk Management Framework

| Who | Roles & responsibilities | Report Type | By Whom | Frequency |
|---|---|---|--|--------------------------|
| Council | Agree the Risk Management Policy and Strategy Receive and act upon: reports from Cabinet and Chief Executive; reports, recommendations and advice from Corporate Governance & Audit Committee | Annual Governance Statement and other relevant reports | Cabinet and CG&AC | Annually |
| Cabinet | Consider the Risk Management Policy and Strategy and receive reports on them Hold the political responsibility for risk within each individual portfolio Identify a lead portfolio holder for Risk Management | Risk Management Policy and Strategy and relevant reports | CGAC/Portfolio Holder | As requested |
| Corporate Governance & Audit Committee (CGAC) | Consider corporate strategic risks and control and monitoring arrangements Review Internal Audit priorities and risk assessments Report to Full Council each year on corporate governance issues and internal arrangements to monitor and control risks | Assurances on effectiveness of risk management Updates on corporate risk and action plans | Director of Corporate Services | Bi-annually |
| Strategic Risk Group | Consider any strategic and operational risks, the associated controls, management and any mitigation. | Review of previously identified strategic risks and any detailed consideration of any newly identified risks. Workshop held with SLT risk owner & members. | Chief Executive | Bi-annually |
| Strategic Leadership Team (SLT) | Contribute towards the identification and management of strategic and cross-cutting risks Responsible for effectiveness of risk management and assurance frameworks and any mitigation Regularly review the strategic risk register Quarterly monitoring of strategic and operational risks and associated action plans | Reviews of policy, strategy and framework Corporate and service performance reports with operational and strategic risks | SLT assurance and risk updates Programme and Partnership boards performance | Quarterly |
| Programme Boards | Responsible for identifying and managing the risks associated with the work programme of the Board | Review and update of risk register at each meeting. Report any risk that requires escalation to SLT as necessary | SLT Lead Officer & Programme Board members | Monthly or Bi-Monthly |
| Strategic partnerships and allied groups | Responsible for the identification and management of risks within their given areas Local Strategic Partnership (LSP) responsible for considering community risks in their wider sense | Task and finish groups report to LSP Reports on the management of risks Escalate high risks as required | Lead Officer Lead Member | Leader and Directors |
| Directors & Divisional Managers | Contribute towards identification and management of operational risks incorporated in service plans Maintain awareness of and promote risk management policy and strategy to staff Ensure risks have been identified and are addressed and mitigated Ensure supplier and procurement risk is considered in service plans | Report on those departmental/ service/ project risks that require consideration for escalation to the corporate Risk Register Review of risk registers and other risks as standing item at Departmental service meetings | Directors / Divisional Managers Project Boards | Quarterly or as required |
| Employees | Manage risk effectively in their job and report hazards/risks to their service managers | Report incidents/risks following procedures in corporate policies | All employees | As necessary/required |

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Corporate Risk Register - Strategic Risks Quarterly Update

Report Author: Helen Belenger
Generated on: 23 September 2020



| Risk Status | |
|-------------|-----------|
| | Alert |
| | High Risk |
| | Warning |
| | OK |
| | Unknown |

| Internal Control Status | |
|-------------------------|--|
| Good | All controls are in place and working effectively |
| In Progress | Controls in place, but yet to be fully effective or additional controls yet to be implemented. |
| Poor | No controls or controls inadequate/ineffective |


Control Pending

| Status | Risk No. | Risk Area | SLT Lead | Original Score | Previous 1/4ly Review Score | Current Score | Target Score | Target Date | Internal Controls |
|--------|----------|---|----------------|----------------|-----------------------------|---------------|--------------|---------------|-------------------|
| | CRR 147 | Southern Gateway Regeneration | Jane Hotchkiss | 9 | 9 | 9 | 4 | 30-Jun-2020 | In progress |
| | CRR 148 | Local Plan | Andrew Frost | 9 | 6 | 12 | 3 | 31-Mar - 2021 | In progress |
| | CRR 165 | Brexit | John Ward | 6 | 3 | 3 | 4 | 31-Dec-2020 | In progress |
| | CRR 170 | Changing Use of the High Street in City and Rural Towns | Jane Hotchkiss | 6 | 9 | 9 | 4 | 31-Mar-2022 | In progress |
| | CRR 171 | Criminal Finances Act - Procedural failures facilitating tax evasion, fraud, bribery and corruption | John Ward | 4 | 4 | 4 | 2 | 31-Mar-2021 | Good |



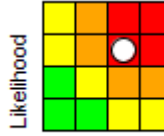
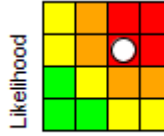
Controlled

| Status | Risk No. | Risk Area | SLT Lead | Original Score | Previous 1/4ly Review Score | Current Score | Target Score | Target Date | Internal Controls |
|--------|----------|-------------------------------------|--------------|----------------|-----------------------------|---------------|--------------|-------------|-------------------|
| | CRR 01 | Financial Resilience | John Ward | 9 | 16 | 8 | 3 | 31-Mar-2021 | Good |
| | CRR 08 | Skills / Capability / Capacity | John Ward | 3 | 2 | 2 | 2 | 31-Mar-2021 | Good |
| | CRR 09 | Business Continuity | Andrew Frost | 9 | 9 | 8 | 3 | 31-Mar-2021 | Good |
| | CRR 68 | Health and Safety | Andrew Frost | 9 | 4 | 4 | 4 | 31-Mar-2021 | Good |
| | CRR 97 | Cyber Risk Attack Across ICT Estate | John Ward | 6 | 6 | 6 | 4 | 31-Mar-2021 | Good |

Appendix 2 (a)

| Status | Risk No. | Risk Area | SLT Lead | Original Score | Previous 1/4ly Review Score | Current Score | Target Score | Target Date | Internal Controls |
|---|----------|------------------------|--------------|----------------|-----------------------------|---------------|--------------|-------------|-------------------|
|  | CRR 178 | Covid-19 (Coronavirus) | Andrew Frost | 9 | 12 | 6 | 1 | 31-Mar-2021 | Good |

Management Control Pending

| | | | | | |
|---|--|---|--------------------------|-----------------|---|
| CRR 147 | Southern Gateway Regeneration | | Management | Control Pending | |
| | | | Corporate Links | | |
| <p>Failure to deliver the outcomes of the project leading to reputational damage and financial exposure to CDC as lead partner, and potential repayment of the Local Enterprise Partnership (LEP) (and other funding). Lack of engagement or buy in by other key partners, leading to CDC being isolated and unable to deliver outcomes. Masterplan becomes commercially unviable due to certain market sectors' changes including demands for community/public realm use types.</p> <p>SLT Risk Owner: Jane Hotchkiss Responsible Officer: Victoria McKay</p> | | | | | |
| Original and Target Risk Assessment | | | | | |
| Original Risk Date | 23-Feb-2018 |  | Target Risk Date | 30-Jun-2020 |  |
| Original Risk Score | 9 | | Target Risk Score | 4 | |
| Current and Previous Quarter Risk Assessment | | | | | |
| Current Assessment | 18-Sep-2020 |  | 9 | | |
| | 20-Jul-2020 |  | 9 | | |
| Internal Controls | | | | | Current Status |
| Partner Organisation Engagement | 1. Law Courts - Homes England (HE) hand over. Close liaison with HE with contingency built into Masterplan. Use of EPH committee rooms completed. CDC has agreed 43 Fridays per annum. Courts completely closed on 21 December 2018. HE re valuing the site due to COVID 19. | | | | In progress |

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| | | |
|--|--|-------------|
| | <ol style="list-style-type: none"> 2. WSCC on-going discussions between County Council and School. WSCC have signed the Collaboration Agreement and will be a partner to the Development Agreement. 3. Sussex Police on-going discussion for land acquisition. | |
| Strategic Land Owner Engagement | <ol style="list-style-type: none"> 1. Collaboration Agreement signed between CDC and WSCC. 2. Growth Deal approved and Growth Board meetings providing strategic input into the project. On-going liaison with other partners and including the potential for others to join. 3. Relocation of Royal Mail & Stage coach - site identified and purchase completed. Stage Coach have agreed to HoT's. Delay in communications due to COVID 19. 4. Relocation of Royal Mail - new site locations have been sent to Royal Mail for consideration. Delay to site measures due to COVID 19. | In progress |
| Financial Controls & Budget Monitoring | <ol style="list-style-type: none"> 1. Identifying potential abnormal costs as possible by undertaking key studies in advance e.g. flooding, contamination and drainage. 2. Relocation funding from key partners - Timely reapplication to LEP/HE and exploring alternative funding routes as necessary, including CIL. 3. CIL funding has been confirmed. | In progress |
| Page 142 Management of External Consultants | <ol style="list-style-type: none"> 1. Contract T&C's for consultants employed to ensure delivery of service. 2. Availability of consultancy advice - Use tried and tested framework agreements to source expertise; test knowledge via tendering process. | Good |
| Masterplan | <ol style="list-style-type: none"> 1. Demand in market sector changes - Regular updating of viability advice for the Masterplan as the project is implementation proceeds. Impact of COVID 19 being assessed. 2. Road space configuration - WSCC Highways input to project team to ensure solution(s) are acceptable. 3. Community or Public Realm Uses for site - Steering group input and regular re-appraisal of the scheme as it progresses. 4. Selected developer will under take consultation with the community and key stakeholders. | In progress |
| Compulsory Purchase Order (CPO) | <ol style="list-style-type: none"> 1. Use of CPO if required for land acquisitions for Masterplan assembly, where unable to agree terms to complete acquisitions. 2. Use of consultancy support to ensure CPO grounds well founded, including independent valuations. | In progress |
| Latest Position Statement | | |
| 22 Sep 2020 | <p>New ways of working due to COVID -19 is continuing to have an impact the on the speed of resolving legal issues as face to face meetings are not currently possible due to external organisations restricting face to face meetings</p> <p>Henry Boot Developments continue to work on the draft Development Agreement with their legal advisors and have asked their agents to review the market place linked to the sectors within the development area.</p> <p>JLL our appointed property consultants and Browne Jacobson continue to work on the Development agreement as we approach the final draft of the document and a number of meetings are scheduled over the next few weeks.</p> | |

When the final draft documents are completed, following the approved delegation from Cabinet and Council, a legal review meeting will be held with Leader of the Council and the Cabinet Member for Place, Growth and Regeneration before signing the agreement.

Correspondence has continued with Coast to Capital regarding the progress of the project and C2C have currently not had a response from Government regarding any extension to the current funding deadline.

WSCC have informed us that TKAT have been in correspondence with the Hockey club over the use of the current all-weather pitch and future use of the new pitch under a community use agreement and WSCC are in the process of organising a follow up meeting in order to progress the issue.

Demolition has been delayed and WSCC are reviewing the programme.




Stagecoach - negotiations and costs have been shared with HBD. The agent has accepted in principle to the Hof T however due to COVID no progress has been made with Stagecoach as they have allocated resources to deal with Covid 19 priorities

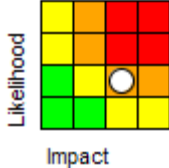
Police site – HBD , CDC and the police have met regarding options for the acquisition of the police site and a new valuation has been commissioned and shared with the Police. Negotiations on going.

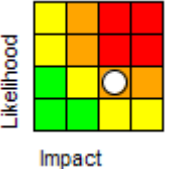
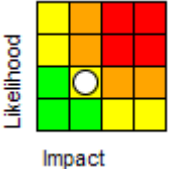
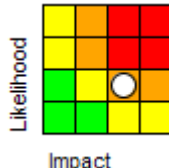
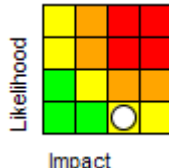
Court Site – The courts are still in the possession of the MOJ. The MOJ are still looking to sell the site and a refresh of the valuation needs to be undertaken . CDC to commission a valuation.

Network Rail - We have met with Network rail, the rail operator and the Arches Company. Network rail have restated there position over no net loss of the car parking spaces. Further technical discussions will take place with the operator and HBD.





Homes England Are awaiting feedback regarding available funding streams

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|--|-------------------|---|------------------------------------|-------------|--|
| CRR 148 | Local Plan | Management | Control Pending | | |
| | | Corporate Links | | | |
| <p>Failure to complete Local Plan Review and submit the Local Plan in accordance with the timetable set out in the Council's Local Development Scheme (LDS). This would mean that the Council would face continued challenge that it does not have an up to date Local Plan and the impact would be:</p> <ul style="list-style-type: none"> • 5 year housing land supply (HLS) would continue to be assessed against a figure derived from the Government's standard methodology for assessing housing need the objectively assessed need (OAN) for housing rather than the housing requirement figure in the adopted Local Plan, making it harder to demonstrate a 5 year HLS. • Without a 5 year HLS the presumption in favour of sustainable development would apply, assessed against the policies in the National Planning Policy Framework (ref: para. 11). • Both 1. & 2. would result in an extension to the period of time in which the Council had to rely upon the <i>Interim Policy Statement for Housing Development to guide</i> the location and form of housing development with decisions being made through the planning application and appeal process, rather than in accordance with the development plan as it would be considered to be out of date. • The ability to plan and coordinate development with the provision of infrastructure would be reduced with an unplanned approach to the location of new development. <p>The potential for government intervention to take plan-making decisions out of the control of the Council.</p> <p>Damage to the reputation of the Council for further delays in producing a Local Plan in line with its statutory duties as Local Planning Authority.</p> <p>SLT Risk Owner: Andrew Frost Responsible Officer: Toby Ayling</p> | | | | | |
| Original and Target Risk Assessment | | | | | |
| Original Risk Date | 07-Mar-2018 |  | Target Risk Date | 31-Mar-2021 |  |
| Original Risk Score | 9 | | Target Risk Score | 3 | |
| Current and Previous Quarter Risk Assessment | | | | | |
| Current Assessment | 30-Sep-2020 |  | Previous Quarter Assessment | 12 | |


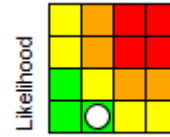


| | 23-Jul-2020 |  | 6 |
|---|--|---|----------------|
| Internal Controls | | | Current Status |
| Agreed Timetable for Plan Production | <ol style="list-style-type: none"> 1. Revised statutory timetable for Plan production (the Local Development Scheme). Currently under review in light of government changes to the planning system and will be brought to members before the end of 2020. 2. Detailed project plan for evidence base and plan production prepared. | | Good |
| Sufficient Staff Resources to achieve timetable | <ol style="list-style-type: none"> 1. Additional posts created in team. 2. Recruitment incentive payment and premia payments agreed to recruit and retain staff. 3. Revised team structure agreed by SLT. 4. Recruiting for new Planning Policy Manager post to provide additional resource. | | In progress |
| Ensure evidence base provided to meet timetable | <ol style="list-style-type: none"> 1. Detailed project plan prepared for evidence base. Whilst a revised project plan has been produced, the timetable is reliant on external parties to meet deadlines. | | In progress |
| Member agreement to contents of plan | <ol style="list-style-type: none"> 1. Provision of information, debate and discussion through Member briefings, Development Plan and Infrastructure Panel and formal democratic decision making process through Cabinet and Council. | | In progress |
| Public Consultation | <ol style="list-style-type: none"> 1. Public consultation to ensure that the views of the community are taken in to account in the plan-making process. 2. Initial public consultation has taken place on issues and options. 3. Public consultation on the Local Plan Review: Preferred Approach has been completed. 4. There will be further public consultation on the plan and prior to examination. This will enable the Council to take in to account the views of all interested parties on the contents of the plan and outstanding matters can be resolved through the public examination in to the soundness of the plan (to be conducted by a planning inspector appointed by the Secretary of State). The current status will reflect the stage of consultation reached. | | In progress |
| Latest Position Statement | | | |
| 30 Sep 2020 | <p>Following receipt of independent advice from the Planning Advisory Service, further work is being undertaken on the evidence base to inform revisions to the emerging Local Plan. Proposed changes to the planning system may have significant implications – these will be considered at future DPIIP meetings and inform the Council’s response to those national proposals. The timetable for plan production is being reviewed in light of these development sand will be brought to Members before the end of the year.</p> <p>Risk score increased due to LDS date for submission has passed.</p> | | |

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|--|------------------------------------|---|-------------|--------------------------|--|---|-----------------------|--|
| CRR 165 | | Brexit | | Management | | Control Pending | | |
| | | | | Corporate Links | | | | |
| The risks of a "no deal" Brexit scenario and its impact on the council, its services and communities. SLT Risk Owner: John Ward Responsible Officer: Joe Mildred | | | | | | | | |
| Original and Target Risk Assessment | | | | | | | | |
| Original Risk Date | | 07-Sep-2018 | | Target Risk Date | | 31-Dec-2020 | | |
| Original Risk Score | | 6 | | Target Risk Score | | 4 | | |
| | |  | | | |  | | |
| Current and Previous Quarter Risk Assessment | | | | | | | | |
| Page 145 | Current Assessment | | 15-Sep-2020 | |  | | 6 | |
| | Previous Quarter Assessment | | 08-Jul-2020 | |  | | 3 | |
| Internal Controls | | | | | | | Current Status | |
| Impact Assessment | | <p>Whilst the total impact of a no deal Brexit is still not fully understood, the government has started increasing its preparations and funding made available for the event of the scenario. There is potential for significant disruption to many established procedures and practices that enable everyday life in the UK. Whilst in the longer term new procedures and processes will be established, in the event of a no deal scenario the short term may cause several significant problems for businesses and the community. These may include areas such of a shortage of supplies, transportation difficulties, an impact on the labour force, a downturn in the economy and a potential run on the pound amongst others.</p> <p>Whilst the council is likely to still be able to perform most of its key functions effectively the impact on the local community and businesses will require the council to react to provide support accordingly. There could also be</p> | | | | | In progress | |

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| | <p>some additional duties and requirements given to the council by government to help issues such as border control. There may be an impact on how well the council can carry out its duties through established legislation and frameworks which are currently aligned to EU legislation.</p> | |
| <p>Latest Position Statement</p> | | |
| <p>16 Sep 2020</p> | <p>The UK has now left the EU and we are in a transition period until the end of 2020 while the UK and the EU negotiate additional arrangements. The current rules on trade, travel and business for the UK and the EU will continue to apply during the transition period. New rules will take effect on 1 January 2021. The likelihood for the risk was reduced to a score of 1 and be continued to be monitored until the new arrangements have been fully finalised over the coming months.</p> <p>Service managers have completed an initial impact assessment exercise to understand the possible impact on the authority directly as well as community impacts and an action plan has been compiled. Contingency plans are being developed by services to deal with short term disruption such as the potential for fuel shortages, disruption to supply chains etc.</p> <p>We are in the process of updating the actions list as the situation regarding the end of the transition period emerges and we will continue to monitor the developments in terms of potential changes to the deal before it is implemented. The likelihood score has now been increased to 2.</p> | |

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| CRR 170 | Changing Use of the High Street in City and Rural Towns | Management | | Control Pending | |
| | | Corporate Links | | | |
| Risk Description: Risk to the city and rural towns as a result of the changing use of the high street impacting their sustainability and vitality. Failure to adapt to the changing use of the high street by consumers and businesses, impacting the local economy, and the wider financial impact on the council as a result of reduced income streams from car parks, business rates etc. | | | | | |
| SLT Risk Owner: Jane Hotchkiss Responsible Officer: Tania Murphy | | | | | |
| Original and Target Risk Assessment | | | | | |
| Original Risk Date | 15-Mar-2019 |  | | Target Risk Date | 31-Mar-2022 |
| Original Risk Score | 6 | | | Target Risk Score | 4 |
| | |  | | | |
| Current and Previous Quarter Risk Assessment | | | | | |
| Current Assessment Previous Quarter Assessment | 14-Sep-2020 |  | | 9 | |
| | 26-Jun-2020 |  | | 9 | |
| Internal Controls | | | | Current Status | |
| Vision Projects | The Vision projects have a wider objective than just considering the change of use in the high street, but both short and medium actions plans will help to address the concerns. | | | In progress | |
| Southern Gateway Regeneration Project | The Southern Gateway Regeneration Project will have an impact on Chichester and the city centre. The objectives of the scheme are linked to the Vision for the city. | | | In progress | |
| Economic Development | Economic Development team support to local businesses and the Chichester Business Improvement District (BID) | | | Good | |

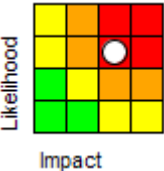
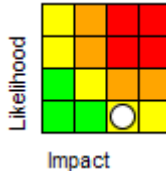
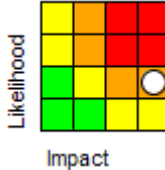
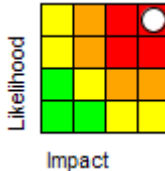
| | | |
|----------------------------------|---|--|
| Support | to aid the sustainability of Chichester City centre. | |
| Latest Position Statement | | |
| 17 Sep 2020 | <p>The authority recognises that the use of the high streets in our city and rural towns is changing – we are seeing an increase in closures of retail units and reducing numbers of transactions in our car parks as a result of factors such as increases in internet shopping, rising running costs and an increase in flexible working. The Covid 19 pandemic has had a huge impact on our city and towns. It has resulted in closures of businesses for several months and a significant reduction in footfall, which has continued even with lockdown having eased. Events and activities in the city and towns have paused or been cancelled which would ordinarily assist with footfall numbers in the district. The economy of the district has been significantly impacted and partners who had been delivering key vision projects are considering their budgets and priorities moving forward. A report was considered by Overview and Scrutiny Committee and Cabinet in June and July which set out the latest feedback from partners. The report recommended that support to the city and towns continues through the work relating to the vision projects. Officers and members have been working together to consider some of the key actions required for the city and towns.</p> <p>Work is underway with the rural towns and city to support delivery of a Vision for the areas which will assist with the sustainability of the high streets. Whilst the vision action plans do seek to restrict the impact of pressures on the high street and also encourage a number of projects with partners, there are still a number of pressures which are outside of the control of the partners and the national picture reflects a changing scene. If the use of the high street reduces, this directly impacts CDC through a reduction in parking income, potential increased pressures on services which provide support in the city and towns and a reduction in the positive impression of the area for visitors and residents which may affect inward investment.</p> | |

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| CRR 171 | Criminal Finances Act - Procedural failures facilitating tax evasion, fraud, bribery and corruption | | Management | Control Pending |
| | | | Corporate Links | |
| Failure of governance procedures and controls which allow or facilitates tax evasion and risk committing a corporate criminal offence under the Criminal Finances Act 2017 and anti-fraud, bribery and corruption. | | | | |
| SLT Risk Owner: John Ward | | | | |
| Responsible Officers: Joe Mildred, Helen Belenger, Nick Bennett | | | | |
| Original and Target Risk Assessment | | | | |
| Original Risk Date | 31-Dec-2019 |  | Target Risk Date | 31-Mar-2021 |
| Original Risk Score | 4 | | Target Risk Score | 2 |
| | | |  | |
| Current and Previous Quarter Risk Assessment | | | | |
| Current Assessment Previous Quarter Assessment | 22-Sep-2020 |  | 4 | |
| | 30-Jun-2020 |  | 4 | |
| Internal Controls | | | | Current Status |
| HMRC ESS Tool | 1. Use by managers of the ESS tool with Payroll support and monitoring. 2. All IR35 guidance document are published on the intranet http://intranet.chichester.gov.uk/index.cfm?articleid=28406 . 3. Regular review of the information provided and reminders to managers. | | | Good |
| Anti-Fraud & Corruption | 1. Clear policy, procedures and guidance available to all staff and members via the intranet and on the Council's | | | In progress |

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| Policy | <p>website.</p> <p>2. Policy application for specific activities such as procurement and service delivery considered by relevant officers, project leads etc.</p> | |
| Latest Position Statement | | |
| 22 Sep 2020 | <p>A draft policy has been prepared but, following consultation with the Council’s Monitor Officer, this will now be taken forward within a wider update and review of arrangement to address bribery and corruption, declaration of interests, staffing responsibilities, all of the fiduciary policies and generally establishing what processes we find as being proportionate to the risks.</p> <p>Draft contract clauses have been prepared for inclusion in any contracts going forward and into CDC Legal checklist processes to ensure we build compliance. An additional requirement to liaise with Finance regarding this issue has been built into the Council’s updated approach to project management.</p> <p>Advice is that the council should take steps such as conducting risk assessments to understand the risks of facilitation by associated parties, preparing a training programme for your employees and/or having procedures in place to notify the relevant authorities or regulators if an associated person were to commit the offence of facilitation of tax evasion.</p> <p>All of these would fit in with the wider programme for Bribery and corruption, declaration of interests, staffing responsibilities, all of the fiduciary policies and generally establishing what processes we find as being proportionate to the risks.</p> <p>The Anti-Fraud and Corruption Policy needs to be updated in light of legislation changes since it was last updated.</p> | |

Management Controlled

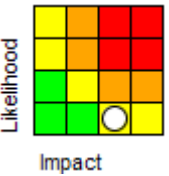
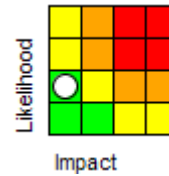
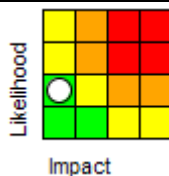

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|---|-----------------------------|---|--|-------------|---|
| CRR 01 | Financial Resilience | Management | Controlled | | |
| | | Corporate Links | Corporate Plan Priority - Use Resources Effectively and Efficiently. | | |
| <p>Risk Description:</p> <ul style="list-style-type: none"> - Failure to maintain a robust and deliverable budget will lead to a lack of resources to fund services and council priorities, leading to reactionary decision making, and reputational consequences. - Failure to maximise efficient use of resources and so unsuccessful redirection of resources and not achieving objectives and outcomes of the council including deficit reduction plans. - Failure to maximise income streams. - Unpredictable Government policy (e.g. localisation of business rates.) - COVID-19 (Coronavirus) unpredictable economic impact. <p>Risk Owner: John Ward Responsible Officer: Helen Belenger</p> | | | | | |
| Original and Target Risk Assessment | | | | | |
| Original Risk Date | 31-Jul-2012 |  | Target Risk Date | 31-Mar-2021 |  |
| Original Risk Score | 9 | | Target Risk Score | 3 | |
| Current and Previous Quarter Risk Assessment | | | | | |
| Current Assessment Previous Quarter Assessment | 29-Sep-2020 |  | 8 | | |
| | 30-Jun-2020 |  | 16 | | |

| Internal Controls | Current Status | |
|---|--|------|
| Five Year Financial Model and Deficit Reduction Plans | <ol style="list-style-type: none"> 1. Monitor and update the 5 year financial model as required and review with CMT. 2. Assess against progress on Deficit Reduction Plan and savings targets. 3. Monitor income volatility in relation to use of New Homes Bonus (NHB) (Policy approved) and localisation of both Council Tax Reduction scheme (CTR) & business rates. 4. COVID recovery and financial planning reports agreed by Council 21 July 2020. New framework for service prioritisation model to develop future service delivery from 2022-23. | Good |
| Income Streams | <ol style="list-style-type: none"> 1. Monitor income performance and review with SLT so remedial action can be taken. 2. Divisional Managers and service managers monitor income monthly from budget monitoring reports. 3. Service managers to assess fee setting for services in accordance with Fees & Charging Policy, and react when if income reductions occur. 4. Putting money in place to achieve better returns. 5. Monthly Government monitoring returns of income streams due to COVID 19 impact, aids identification of short & medium term trends. | Good |
| Reconciliation of Income | <ol style="list-style-type: none"> 1. Monthly reconciliations by services. 2. Non compliant services are identified by Internal Audit when service is reviewed as part of the Audit Plan. 3. Support given by Financial Services when setting up new income streams and reconciliation processes. | Good |
| Control of Expenditure | <ol style="list-style-type: none"> 1. Approval limits and routes for additional funding are detailed in the Council's Constitution and Financial Regulations. 2. Quarterly monitoring of major variances by SLT. 3. Due to COVID 19, vacancy freeze, essential spending only whilst budget for 2020-21 and medium term forecasts re-evaluated along with increased Government support (short term). | Good |
| Financial Strategy Principles | <ol style="list-style-type: none"> 1. All key decisions of the Council should relate back to the Corporate Plan. 2. Ensure the revenue and capital programme remain balanced and sustainable over a rolling 5 year period. 3. Over the next 5 years maintain a position of non-dependency on reserves. 4. In order to maintain a balanced budget in a climate of no growth, savings in the revenue budget or external funding will need to be identified before any new revenue expenditure, including capital expenditure that has revenue consequences, is approved. 5. Review costs in response to changes in service demand. 6. Where the Council has discretion over charging for services, consideration needs to be given as to the extent to which service users should bear the costs, and the proportion met by Council Tax. 7. Continue to review the Council's costs in order to find further savings. 8. Match Council Tax increases to a realistic and affordable base budget. 9. Budgets should be pooled with other service providers to achieve more effective and cost efficient outcomes for the community. 10. New Homes Bonus (NHB) is a non ring-fenced grant from Government. Council policy has agreed in principle that this funding should be reserved to reward communities that have accepted growth. However, the allocation of | Good |

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| | <p>this source of funding and its use must take into account that as this is not new funding; it can be used to protect services, and aid the council's legal requirement to set a balanced budget. The allocation of this funding will be reviewed annually during the budget setting process taking into account the financial settlement from Government.</p> <p>11. Localisation of Business Rates. The decision to pool our business rates should be reviewed annually after receipt of government draft settlement to that the Council is in the best financial position. The Section 151 Officer continues to review the risks and opportunities that will emanate from the 100% localisation of business rates.</p> | |
| Revenue and Capital Programme Principle | <p>1. Capital receipts, reserves and interest on investment will primarily be available for new investment of a non-recurring nature, thereby minimising the overall financial risk.</p> <p>2. Ensure that a sufficient level of reserves are maintained, as informed by the Financial Strategy, so that the Council can remain flexible and is able to respond to a changing local government environment.</p> <p>3. Borrowing could be used for capital schemes or "invest to save" projects providing the cost of servicing the debt is contained within the revenue savings/income the project generates. The payback period for invest to save projects should be shorter than the life of the asset.</p> | Good |
| Treasury Management | <p>1. Generate better returns with the Treasury Management Strategy and the Investment Protocol and the Council's view of risk and increased diversity.</p> | Good |
| Latest Position Statement | | |
| <p>Page 154</p> <p>Sep 2020</p> | <p>Whilst the 2020-21 balanced budget was approved on 3 March with a forecast surplus of £521,800 by Council, shortly thereafter, the COVID 19 global pandemic started to effect the UK. Impact on demand for certain council services increased in relation to the Government's response and expectation on local authorities, and with the country going into lockdown from 23 March until mid June, which impacted major discretionary income streams for the Council such as car parking, and planning fees.</p> <p>Parking income has been impacted significantly by the Covid-19 pandemic. The pandemic resulted in the suspension of parking charges across all car parks for almost three months and no enforcement in car parks during this time. The reintroduction of parking charges from 8th June with some initiatives has meant that there is deviation from budget whilst the lockdown is still in place. It is unclear as to what the future parking income is likely to be but estimates suggest that pre-Covid19 income levels will not be seen.</p> <p>Although the external audit is still on-going on the council's statutory annual accounts for 2019-20, show an outturn surplus of approximately £1.5m. The explanations for the major variances will be part of the report to CG&AC when they approve the audited accounts in October.</p> <p>The Council's finances have been significantly affected. The Director of Finance and Corporate Services predicted, as far as practically possible in these uncertain time, that the current year's budget (2020-21) will run at a deficit of about £8m and that savings of approximately £2m will need to be made over the next 5 years in order to balance its budget. Since his report to Cabinet in the summer the Government have confirmed a sales, fees and charges compensation package for Councils who have lost income due to COVID. Early indications suggest this may reduce our deficit to nearer £3m in the current year, but do not assist with the longer term funding gap.</p> <p>Although the financial impact on the Council is significant, due to the very strong financial management, it does have good levels of reserves</p> | |

that can be used to cover the expected budget deficit this year. In the short-term there is likely to be the need to spend additional monies to deal with the immediate recovery. How quickly the Council will want to eliminate the budget deficit and how much additional resources it wants to allocate to the recovery process is a decision for members.

Council approved the Recovery Plan on 21 July which takes account of the financial impact of COVID 19. Work has commenced on the action plan for efficiency savings and policy options for SLT to consider at their Strategy Day. Further work will start on service prioritisation the details were set out in the Recovery Plan. The outcome of both these streams of work will inform the Council's budget for 2021-22 and its medium term financial strategy.




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| CRR 08 | Skills / Capability / Capacity | Management | Controlled | | |
| | | Corporate Links | Corporate Plan Priority - Use Resources Effectively and Efficiently. | | |
| <p>Risk Description: Failure to have resilience in the staff structure, and so lack the right number of staff with the right skills to deliver services, along with unrealistic expectations of services, which could lead to service failure, reputational damage and potential litigation.</p> <p>SLT Risk Owner: John Ward. Responsible Officer: Joe Mildred / Tim Radcliffe.</p> | | | | | |
| Original and Target Risk Assessment | | | | | |
| Original Risk Date | 31-Jul-2012 |  | Target Risk Date | 31-Mar-2021 |  |
| Original Risk Score | 3 | | Target Risk Score | 2 | |
| Current and Previous Quarter Risk Assessment | | | | | |
| Current Assessment | 15-Sep-2020 |  | 2 | | |
| | 08-Jul-2020 |  | 2 | | |
| Internal Controls | | | | | Current Status |
| Workforce Development Plan | <ol style="list-style-type: none"> 1. Ensure commissioning and objectives remain relevant and up to date. 2. Review personnel literature, marketing CDC as an employer at recruitment fairs. 3. CDC salaries - benchmarking exercise to be undertaken and monitored. 4. New apprenticeship Levy. | | | | Good |
| Appraisal Process | <ol style="list-style-type: none"> 1. Succession planning considered during appraisal process. | | | | Good |

Appendix 2 (a)

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| | <ol style="list-style-type: none"> 2. Completion of appraisals on time. 3. Strategic training needs identified. | |
| Training Plan and Budget | <ol style="list-style-type: none"> 1. Use First Line Managers course to develop new managers. 2. Use management apprenticeship or diploma programmes to develop CDC managers. 3. Specific training programme for new Directors and Divisional Managers. | Good |
| Recruitment Benefits | <ol style="list-style-type: none"> 1. Use of benefits packages to aid recruitment: relocation package widely used, exceptionally assisted house purchase scheme. 2. Guidance to be issued for how to use recruitment benefits. | Good |
| Staff Satisfaction Survey | <ol style="list-style-type: none"> 1. Staff survey to be undertaken every two years, and action plans progressed. | In progress |
| Strategic Leadership Team & Divisional Managers | <ol style="list-style-type: none"> 1. Specific training programme to newly appointed Divisional Managers to address core competencies, hosted by Portsmouth University. | Good |
| Measuring Staff Turnover by Significant Groups | <ol style="list-style-type: none"> 1. SLT to review turnover statistics and the reasons quarterly. | Good |
| Latest Position Statement | | |
| <p>10 Sep 2020</p> <p>Page 157</p> | <p>Corporate Pay Review completed April 2019. This focused on ensuring equal pay for work of equal value. Some additional resource was made available and used for the new reward structure and this was targeted towards the levels where recruitment difficulties have been apparent.</p> <p>In relation to the Pay Review a new appraisals process has been introduced as from January 2020 requiring a higher level of performance for a staff member to be awarded a pay increment if eligible for one.</p> <p>Increased use of premia payments (market supplements) for those areas with long term established recruitment issues and the use of the relocation package has aided recruitment for some service areas. Premia payments are subject to review every 2 years (next April 2021) and a new procedure governing these has been agreed with the Staff Side / Unison.</p> <p>The Council's normal training practices will need to be reviewed and altered this year due to Covid and associated restrictions and guidance. Usually a large proportion of both the corporate training programme as well as the service specific training plans are delivered through face to face sessions and physical events. Services, supported by the HR team, will need to look for alternative online and virtual training to ensure that our staff remain appropriately skilled. As we move into the Covid recovery phase, some of the training needs identified earlier in the year may have changed and we will need to ensure that we are flexible and dynamic in how we train our staff.</p> | |

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| CRR 09 | Business Continuity | Management | Controlled |
| | | Corporate Links | Corporate Plan Priority - Use Resources Effectively and Efficiently. |
| Risk Description: Failure to react to an incident that would adversely affect the delivery of services, including leading to a breach of the council's statutory duties under the Civil Contingencies Act and result in both inability to service the community and reputational damage. | | | |
| SLT Risk Owner: Andrew Frost Responsible Officer: Alison Stevens/Warren Townsend. | | | |
| Original and Target Risk Assessment | | | |
| Original Risk Date | 31-Jul-2012 | | Target Risk Date |
| Original Risk Score | 9 | | Target Risk Score |
| | | | |
| Current and Previous Quarter Risk Assessment | | | |
| Current Assessment | 18-Sep-2020 | | 8 |
| | Previous Quarter Assessment | 22-Jun-2020 | |
| Internal Controls | | | Current Status |
| Robust BC Plans | <ol style="list-style-type: none"> The Business Impact Assessment (B.I.A) is refreshed annually with SLT. Critical services have Business Continuity (BC) plans covering the first 3 days of a business interruption. The BC plans are tested every couple of years. Retraining takes place where necessary, to embed BC into culture of the council. BC plans and associated documents are stored on the council's x drive and off-site on external site (Resilience | | Good |

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| | Direct). 6. Non critical services also have plans for over 3 days business interruptions. 7. Health checks take place of Plans in all service areas. 8. Effective backup of data. | |
| BC Management Strategy | 1. Annual BCM corporate meetings held. 2. Key managers identified for BC plans. 3. Articles for team briefs or management forum to embed BC planning into organisation. | Good |
| Business Recovery Team | 1. Training and repeated messaging to embed BC cultural into organisation. 2. Annual appraisals targets for Divisional Managers and relevant staff. | Good |
| Latest Position Statement | | |
| 22 Sep 2020 | <p>Whilst the internal controls are good for business continuity, the risk score is always likely to continue to remain the same because the impact is serious and the likelihood is possible rather than unlikely. The main reason for this is the continuing cyber-attack threats that the organisation continue to receive. We have good mitigation against cyber-attacks; however there remains a risk. Physical mitigation controls against loss of IT or building/s are good and would be 'unlikely' and therefore less of a risk.</p> <p>Off-site replication of IT software systems (hosted at our Chichester Contract Services Depot) update: Mirroring of data between the two sites (EPH & Depot) is taking place. WSCC have restarted gigabit WAN roll out and the Noivium & Depot have been linked to this. EPH is due to be linked to the WAN w/c 21st September 2020. Once fully functioning, the off-site IT disaster recovery will significantly improve the Council's ability to recover from a business interruption involving loss of IT.</p> <p>The BIA (Business Impact Assessment) continues to be refreshed annually by SLT – this was last refreshed in October 2019. A BIA refresh meeting is due to take place with SLT on 24th September 2020. This will focus particularly on the impact of Covid on Council services. BC plans continue to be refreshed on a 6-monthly basis – the last programmed refresh took place in October 2019; however, the majority of BC plans were refreshed in preparation for the Covid-19 pandemic (Feb/March 2020). BC plans will be refreshed again after the BIA refresh.</p> | |

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| CRR 68 | Health and Safety | Management | Controlled |
| | | Corporate Links | Corporate Plan Priority - Use Resources Effectively and Efficiently. |
| Risk Description: Failure to adhere to H&S policies and procedures leading to death or serious injury of an employee or third party resulting in prosecution under H&S legislation, adverse publicity, fines and possible prison sentences. Such failures may also lead to civil claims for compensation | | | |
| SLT Risk Owner: Andrew Frost | | | |
| Responsible Officer: Alison Steves / Warren Townsend. | | | |
| Original and Target Risk Assessment | | | |
| Original Risk Date | 03-Sep-2013 |  | Target Risk Date |
| Original Risk Score | 9 | Likelihood Impact | Target Risk Score |
| | | | 31-Mar-2021 |
| | | | 4 |
| | | | Likelihood Impact |
| Current and Previous Quarter Risk Assessment | | | |
| Current Assessment Previous Quarter Assessment | 18-Sep-2020 |  | 4 |
| | 22-Jun-2020 |  | 4 |
| Internal Controls | | | Current Status |
| H&S policies & procedures | Clear health and safety policies, procedures and guidance are available to all staff and members via intranet and in hard copy format at some sites including: 1. Statement of intent. 2. Hierarchy for communication/organisation. 3. Roles and responsibilities. 4. H&S arrangements. | | Good |

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Appendix 2 (a)

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| | <ul style="list-style-type: none"> 5. Policies, procedures and guidance for specific H&S issues e.g. control of contractors, COSHH assessments forms etc. 6. An extensive range of evidence compliance forms. 7. Specific risk assessments for site visits undertaken for staff and member visits. 8. Quarterly updates to Cabinet member for Corporate Services by the H&S Manager. | |
| Training Programme & Competencies | <ul style="list-style-type: none"> 1. Specific training programmes for all aspects of H&S skills and competencies required with the Council's business. 2. Staff names with relevant competencies and holding key responsibilities available on staff intranet. 3. Training records maintained to evidence training provided. 4. Training for all new members as part of the Members' Induction Programme. | Good |
| Legionella Testing | <ul style="list-style-type: none"> 1. Written policy available. 2. Regular testing and monitoring to demonstrate compliance. 3. Staff involved in legionella management or may be exposed to legionella risk are provided with training. | Good |
| Quarterly service meetings for high risk service areas | <ul style="list-style-type: none"> 1. CCS - Quarterly insurance & H&S meetings with the Director of Residents' Services & the Contract Services Divisional Manager with the Financial Services Divisional Manager, insurance officer, H&S Corporate Manager & CCS Technical Supervisor. To assess accident trends and claims and agree any actions required to staff duties, policies and procedures. 2. Culture & Place - Quarterly insurance & H&S meetings with Director of Growth & Place Services and the Divisional Service Managers for the museum, Westgate Leisure contract, and car park service, to discuss claims & accidents to identify any necessary changes to procedures/policies etc. 3. All accidents, near misses and reports of ill health are investigated by the Corporate H&S team. Interventions made with the service where appropriate to improve systems of work to prevent reoccurrence. | Good |
| PAT testing | <ul style="list-style-type: none"> 1. Annual testing of all electrical equipment carried out by qualified contractor. | Good |
| Safety Committee | <ul style="list-style-type: none"> 1. A group of managers and employees meet 3 times a year to discuss health and safety issues and matters of interest. CCS and car parks have local 'Safety Forums', meeting bi-monthly, that feed into this committee. The Safety Committee reports any issues of significance to the JECP. | Good |
| Caution Alert Register (CAR) | <ul style="list-style-type: none"> 1. Specific procedures and decision tree guidance in place for staff and members to follow on staff intranet. 2. Nominated person CR Keeper who maintains register and advises staff. 3. Procedures in place for appropriate staff and members to access CAR. 4. Compliance with data protection legislation included in policies and procedures. 5. Violence & aggression response team available to support staff and members at EPH if an incident occurs. 6. Two levels of Violence & Aggression (V&A) resolution training provided to relevant staff. | Good |
| Emergency arrangements for Council Premises | <ul style="list-style-type: none"> 1. Evacuation procedures in place for EPH on staff intranet. 2. Known competent staff with allocated roles & responsibilities for evacuation procedures. 3. Regular testing of evacuation procedures carried out. 4. Policy advising the arrangements in place for safe evacuation of council owned buildings. | Good |
| Corporate H&S Audits & | <ul style="list-style-type: none"> 1. Programme of H&S audits of service areas, improvements and observations which are fed back to Service, H&S | Good |

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| Action Plans for Service H&S Improvement | and management with any necessary improvement action plans. Progress with recommendations made are reviewed after an agreed period. 2. In addition, there is a programme of audits in place for the SLM leisure centres contract. This involves checking H&S performance and compliance in key identified areas. | |
| Contract Management | 1. Every major contract should have an identified contract manager who is responsible for ensuring the delivery of the contract in accordance with specification. 2. The contractor manager must ensure that their contractor adheres to H&S legislation in carrying out the specification and has a monitoring system in place which is also including performance reporting to the council's contract manager. 3. Upon request the H&S manager will attend regular quarterly/annual meetings for the council's specific high risk activity contracts along with the contract manager, to liaise with the contractors regarding any H&S concerns. 4. Members are involved in major decisions on procurement matters. | Good |
| Fire Safety of all Council Owned Premises | <ul style="list-style-type: none"> • Fire Risk Management Group – Quarterly meetings, with the Directors for Planning & the Environment, Housing & Communities, and Growth & Place Services plus other key officers are held to develop and monitor action plans following the Grenfell tragedy and subsequent fire risk assessment reviews. • Activity-based Fire Risk Assessments of all premises are undertaken on a 2-yearly programme. Following the Grenfell fire, a qualified fire safety engineer was employed to carry out structural fire risk assessments to check the horizontal and vertical fire compartmentation. A number of remedial works were identified, risk rated and completed following the assessments. A small number of outstanding works remain but these are programmed to take place as part of larger-scale improvement projects to properties by the Building Services team. | In progress |
| Latest Position Statement | | |
| 22 Sep 2020 | <p>The consequences of a serious accident or incident at work have the potential to be 'major', i.e. death of a member of staff, contractor or member of the public. Therefore the severity in the risk score is always going to be high. However, the Council operates an effective H&S management system with good controls in place to reduce the likelihood of such an incident. Despite having good systems and procedures in place, CCS remains the highest risk operation within the Council due to the nature of the work.</p> <p>H&S compliance of CDC's biggest service contractor, Everyone Active, is monitored through a programme of audits carried out by the Corp. H&S team on an annual basis.</p> <p>The Safety and Resilience team's attention has largely been diverted since the start of the Covi-19 pandemic at the beginning of March. Our focus has needed to be different to our planned work in order to respond to the situation. We have continued to respond to all reactive H&S issues in addition to providing the support, advice and guidance to senior management and staff on Covid-19. The proactive programme for H&S has had to be suspended during this period. Now that we have reached a 'business as usual', albeit a different normal we have been able to begin introducing some of our proactive H&S work.</p> | |

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By virtue of paragraph(s) 3 of Part 1 of Schedule 12A
of the Local Government Act 1972.

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By virtue of paragraph(s) 3, 5 of Part 1 of Schedule 12A of the Local Government Act 1972.

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