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Uttlesford District Council

Chief Executive: Dawn French

Governance, Audit and Performance Committee Remote Meeting

Date: Tuesday, 2nd June, 2020

Time: 7.00 pm

Venue: Zoom - <https://zoom.us/>

Chair: Councillor E Oliver

Members: Councillors G Bagnall, G Driscoll (Vice-Chair), M Foley, V Isham, R Jones, A Khan, S Luck and J De Vries

Substitutes: Councillors H Asker, S Barker, M Caton, C Criscione, M Sutton and M Tayler

Public Participation

At the start of the meeting there will be an opportunity of up to 15 minutes for members of the public to ask questions and make statements subject to having given notice by 12 noon two working days before the meeting.

Public speakers will be offered the opportunity for an officer to read out their questions or statement at the meeting, or to attend the meeting over Zoom to read out their questions or statement themselves.

Members of the public who would like to listen to the meeting live can do so [here](#). The broadcast will be made available as soon as the meeting begins.

AGENDA PART 1

Open to Public and Press

1 Apologies for Absence and Declarations of Interest

To receive any apologies for absence and declarations of interest.

2	Minutes of the Previous Meeting	4 - 7
	To consider the minutes of the previous meeting.	
3	Audit Additional Fees	8 - 9
	To consider the report on Audit Additional fees.	
4	Draft Annual Governance Statement 2019-20	10 - 23
	To consider the draft Annual Governance Statement.	
5	Internal Audit Progress Report, 16 December 2019 to 15 May 2020	24 - 31
	To receive the Internal Audit Progress report 16 December 2019 to 15 May 2020.	
6	Quarter 4 2019/20 KPIs & PIs Report	32 - 52
	To receive Key Performance Indicators and Performance Indicators for Quarter 4 2019-20.	
7	COVID-19 Performance Indicators	53 - 96
	To receive the Covid-19 Performance Indicators report.	

MEETINGS AND THE PUBLIC

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Members of the public and representatives of parish and town councils are permitted to speak or ask questions at any of these meetings. You will need to register with the Democratic Services Officer by midday two working days before the meeting. The agenda is split into two parts. Most of the business is dealt with in Part I which is open to the public. Part II includes items which may be discussed in the absence of the press or public, as they deal with information which is personal or sensitive for some other reason. You will be asked to leave the meeting before Part II items are discussed.

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Agenda Item 2

GOVERNANCE, AUDIT AND PERFORMANCE COMMITTEE held at COMMITTEE ROOM - COUNCIL OFFICES, LONDON ROAD, SAFFRON WALDEN, ESSEX CB11 4ER, on MONDAY, 13 JANUARY 2020 at 7.30 pm

Present: Councillor E Oliver (Chair)
Councillors G Bagnall, A Dean, G Driscoll, V Isham, R Jones, A Khan and J De Vries

Officers in attendance: D French (Chief Executive), R Auty (Assistant Director - Corporate Services), S Bronson (Audit Manager), P Evans (Customer Services and Performance Manager), D French (Chief Executive), C Gibson (Democratic Services Officer), O Knight (PFI and Performance Officer), S Pugh (Assistant Director - Governance and Legal), A Webb (Director - Finance and Corporate Services) and N Wittman (Assistant Director - ICT and Facilities)

Also present: D Eagles (BDO Partner)

GAP27 APOLOGIES FOR ABSENCE AND DECLARATIONS OF INTEREST

Apologies for absence were received from Councillors Light and Luck.

GAP28 MINUTES OF THE PREVIOUS MEETING

The minutes of the meeting held on 26 September 2019 were approved and signed by the Chair as a correct record.

The Chair stated that in respect of the four items on the Committee Action List:

- The letter to the auditors had been emailed to Members.
- Councillor Luck had received the information relating to ethical procurement.
- The governance risk in the Corporate Risk Register would be discussed by the Corporate Management Team. An update on the Corporate Risk Register would be brought to this Committee at the next meeting.
- Clarification had been provided to Members in respect of the Local Plan risk wording.

GAP29 ANNUAL AUDIT LETTER

Mr Eagles from the Council's External Auditors (BDO) gave a high level summary of the report that summarised the key findings of the 2018/19 audit.

In response to a Member question on sustainable finances, Mr Eagles clarified that the figures related to two different years.

GAP30 AUDIT PLAN

Mr Eagles (BDO) gave a summary of the Audit Planning Report for the year ending 31 March 2020. He outlined the Audit Risks Overview and highlighted the new risk identified of Commercial investments. He explained the basis for the planned fees based on the PSAA- published level and that a letter from PSAA had been sent out in December. It was recognised that discussions on the total fee impact would be held initially with officers in the context of detailed operational planning and interim audit scope so as to best mitigate increases.

The Director - Finance and Corporate Services said that he was unaware of the letter but would follow this matter up.

In response to a Member question about whether the scope of audit work had changed, Mr Eagles confirmed that it had, that fees would reflect actual work undertaken and that fee levels were a national issue.

The Chair accepted the Audit Plan as stated.

GAP31 INTERNAL AUDIT PROGRESS REPORT 01 SEPTEMBER TO 15 DECEMBER 2019

The Audit Manager gave a summary of the report, which detailed work undertaken by Internal Audit since the last report to the Committee on 26 September 2019 and provided an update on implemented and outstanding internal audit recommendations.

She said that all 2018/19 audits had been completed and provided an updated position since 15 December 2019. The Environmental Health Commercial Food Safety audit had been postponed until Quarter1 in 2020/21 due to lack of senior officer resources in Environmental Health. The audit of Members Allowances had been delayed but was due to start shortly.

In response to Members' questions about the audit opinion of "little" allocated to the Business Continuity and Emergency Planning audit, the Audit Manager explained the basis of the rating and stated that she intended to review the basis of audit opinions. The Chief Executive said that there was a new Emergency Planning Officer in post and that Business Continuity progress and future steps would be outlined to Members. There was a need to embed a new approach and to train people accordingly.

The Chair noted the Internal Audit Progress Report as per the recommendation.

GAP32 CYBER SECURITY UPDATE

The Assistant Director – ICT and Facilities gave a summary of the report which reported the work undertaken on cyber security and updated Members on the second year of the Local Government Association's stock take questionnaire. The outcome of the second stock take had been that significant moves forwards

had taken place in enhancing already secure systems in respect of cyber prevention and that the rating had improved to Amber-Green.

In response to Members' questions in respect of the pentagon charts, the Assistant Director outlined security arrangements in place. The Director – Finance and Corporate Services agreed to distribute further information to Members in a different format.

The Chair noted the report as per the recommendation.

GAP33 POLLING DISTRICT AND POLLING PLACES REVIEW 2019 – SAFFRON WALDEN PARLIAMENTARY CONSTITUENCY

The Chief Executive gave a summary of the report which detailed the statutory responsibility, under the Electoral Registration and Administrations Act 2013, on Councils, via the Returning Officer, to carry out a UK Parliamentary polling district and polling places review every 5 years.

In response to Members' comments and questions about specific polling stations, the Chief Executive said that the European Parliamentary Election and the General Election had enabled some new sites to be tested and explained how the cost of elections could be claimed back from the Government.

In accordance with the recommendation, the committee approved the Returning Officer's recommendations for a revised Scheme of Polling District and Polling Places for the Saffron Walden Parliamentary Constituency with effect from 31 January 2020, as set out in Appendix 1.

GAP34 PUBLIC PARTICIPATION AT PLANNING COMMITTEE MEETINGS

The Assistant Director – Governance and Legal gave a summary of the report which detailed proposals made by a Working Group to enhance public participation at Planning Committee meetings which had been trialled since 21 August 2019. Public participation rights formed part of the Council's Constitution and changes to the Constitution were reserved for full Council on recommendation of this Committee. The report asked the Committee to recommend that the Council implemented the changes on a permanent basis.

Members suggested that the proposal to allow town/ parish council representatives to comment on statements of fact made by applicants/ agents should be extended to ward councillors (District and County). However, members were hesitant about making changes to the proposals developed by the Working Group.

The Assistant Director – Governance and Legal suggested that he consult Planning Committee members about the proposed change and report any reservations to Council when it considered the Committee's recommendations. This course of action was supported.

RESOLVED that the Committee recommends Full Council to:

- a. Adopt the changes to Planning Committee procedure identified in paragraph 8 of this report, together with an addition to paragraph 8e that the invitation to comment on statements of fact be extended to ward Councillors (District and County) who are present.
- b. Authorise the Assistant Director, Governance and Legal to amend the text of the Constitution to reflect the changes agreed.

GAP35 QUARTER 2 2019 KPI & PI REPORT

The PFI and Performance Officer gave a summary of the report, which provided the Quarter 2, 2019/20 outturn and data analysis for all Key Performance Indicators (KPIs) and Performance Indicators (PIs). He highlighted that two KPIs had exceeded the 10% performance threshold and had therefore attained a 'red' status.

In response to a Member question relating to targets being reduced for Environmental Services KPI 14, the Assistant Director – Corporate Services said that the Committee had approved this target and that targets for 2020/21 would be brought to the next meeting and he would ensure that appropriate Environmental Services information was included. The PFI and Performance Officer confirmed that he would bring back a report on this area.

In response to a Member question relating to PIs in the Environmental Health (Commercial) area and staff shortages, the Director – Finance and Corporate Services said that the submitted data related to the period before staff had left.

Members expressed the general view that they would not expect targets to be dropped.

The meeting closed at 8:40pm

Agenda Item 3

Audit Fees – 2019/20

Dear S151 officer,

Given all the turbulence within the audit industry at the moment, it may be helpful to summarise the local audit position in relation to the three financial years spanning 2018-21.

By this time of the year we would normally expect the vast majority of audits of 2018/19 accounts to be a matter of record and consigned to history. However, at the end of January there remain nearly 80 opinions still outstanding. That is an incredibly unsatisfactory position, particularly for all the bodies and auditors concerned, and a significant concern going forward.

In response to the significant challenges, PSAA has recently commissioned independent research into the sustainability of the audit market which we plan to publish soon. As well as informing our own forward planning, we are keen to ensure that this and other research is available to support the work of the Redmond Review.

One of the consequences of the multiple pressures and challenges which have arisen in 2018/19 audits is an increase in the number of proposed fee variations for additional audit work. In previous years the level of such variations has remained relatively stable at around 5% of the sector's aggregate audit fees. However, while PSAA is still awaiting submission of some of the relevant proposals, it is already clear that a higher level of variations is likely to be proposed for 2018/19 than previously.

Meantime, audits of 2019/20 accounts are approaching. In planning for this next round, PSAA has tried to address two of the concerns which featured most frequently in our conversations and exchanges with bodies about their 2018/19 audit experience. Firstly, bodies want greater certainty about when their audit will take place and, if for any reason it cannot be undertaken in time to meet the 31 July target date for publication of audited accounts, they want to know that is the case at the earliest opportunity. Secondly, if there is any likelihood of additional audit work being required which may lead to a fee variation proposal, again bodies want early information and explanation.

Against this backcloth PSAA has therefore worked with auditors to address both of these issues - the planned timetable and any likely fee variations - in their audit planning submissions to bodies as part of a concerted effort to strengthen auditor-audited body communications.

This theme carries through into preparations for audits of 2020/21 accounts. We are currently consulting on the scale of audit fees for this year in accordance with the timetable prescribed in statutory regulations, which requires PSAA to fix the scale of fees before the start of the relevant year of account. <https://www.psa.co.uk/audit-fees/consultation-on-2020-21-audit-fee-scale/>. This means having to set the fees ahead of the results of the completion of the 2018/19 round and ahead of the

commencement of 2019/20 audits. Additionally, in looking ahead to 2020/21, we can also see a series of new developments which are likely to impact on the audit including revised auditing and accounting standards as well as a new Code of Audit Practice. Although these developments will affect all bodies, the impact will vary dependent on the specific local circumstances of each body.

Again, PSAA is encouraging auditors and local bodies to consider these issues in audit planning discussions, to give proper early notice of factors which may require additional work and have implications for fees, and also to allow time for actions which might mitigate risk to the smooth conduct of the audit. We note that the NAO will be consulting on guidance for auditors' work on the new Code of Audit Practice, and so detailed conclusions about how it will affect individual bodies will need to be reserved until the guidance is finalised.

In discussing the fee implications of any factors, whether they relate to developments which affect all bodies or are more specific to an individual local audit, we particularly need the parties to consider both short and long term implications. Some issues will have a one-off impact, affecting a single year. Any resulting variation proposal is for a one-off adjustment. Others will have ongoing implications which may or may not be the same as the impact in the first year. These are likely to point to a need to vary the body's scale fee. Note 1 below explains PSAA's approach to fees more fully, and sets out the importance of revising scale fees where new developments or other local factors have clear ongoing implications.

It is important to stress that the 2019/20 local discussions on fees are happening at the planning stage, which is earlier than has generally been the case in previous years (perhaps not until the results of the audit were reported to you). One of the advantages of earlier discussion is that it allows more time for scrutiny and reflection. If you are unsure about a proposed fee variation, it can be deferred for any relevant information to be collated and examined with a view to revisiting the matter at an agreed later date. Please remember that PSAA reviews and determines every proposed additional fee, whether agreed or not – this is a statutory requirement.

We hope that this information is helpful to you and would be grateful if you would share it with members of your Audit Committee and any other relevant members and officers.

Tony Crawley

Chief Executive

Public Sector Audit Appointments Limited

Agenda Item 4

Committee: Governance, Audit and Performance Committee

Date:

Tuesday, 2 June 2020

Title: Draft Annual Governance Statement 2019-20

Report Author: Sheila Bronson, Audit Manager

Author: sbronson@uttlesford.gov.uk

Summary

1. The purpose of this report is to seek approval for the draft Annual Governance Statement published to complement the Council's Statement of Accounts 2019/20

Recommendations

2. That Members approve the draft Annual Governance Statement

Financial Implications

3. None. There are no costs associated with this report

Background Papers

4. None

Impact

- 5.

Communication/Consultation	The draft Annual Governance Statement 2019/20 has been prepared in consultation with the Corporate Management Team and Senior Managers
Community Safety	None
Equalities	None
Health and Safety	None
Human Rights/Legal Implications	None
Sustainability	None
Ward-specific impacts	None

Workforce/Workplace	None
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Situation

6. Under the Council's constitution this committee is responsible for overseeing the Council's work around corporate governance. In 2016 the Chartered Institute of Public Finance and Accountancy (CIPFA) and the Society of Local Authority Chief Executives (SOLACE) published a new framework and guidance for delivering good governance in local government. The guidance requires an authority to review the effectiveness of its governance arrangements against the key elements of the systems and processes that compromise an authority's governance.
7. The Accounts and Audit Regulations 2015 require an Annual Governance Statement to be published to complement the published statement of accounts; the good practice recommendation is that this Statement should be considered separately to the published accounts.
8. The Draft Annual Governance Statement 2019/20 (appendix A) has been prepared in consultation with senior officers and using information from the 2018/19 Annual Governance Statement, which has been reviewed and updated to reflect the operation of the Council during 2019/20.
9. The Draft Annual Governance Statement has been agreed by the Corporate Management Team.
10. The Draft Annual Governance Statement includes reference to the impact of the Covid-19 pandemic on the Council at the end of 2019/20. The Annual Governance Statement is a living document and further review and updates will be made to it to ensure it is current at the time of publication with the Statement of Accounts which is expected to be by the end of July 2020.
11. Evidence in support of the Annual Governance Statement is being prepared in accordance with the CIPFA Guidance for examination by the External Auditors as part of their 2019/20 Audit and will be available to members on request.
12. A copy of the CIPFA Guidance and the draft Annual Governance Statement 2019/20 showing changes from the 2018/19 statement is available to Members on request.

Risk Analysis

13.

Risk	Likelihood	Impact	Mitigating actions
No Annual Governance Statement is	1 = Little or no likelihood Timetable and	3 = Significant impact – action	The Annual governance Statement is reviewed

produced for inclusion in the Financial Accounts	Framework to be established for the review, monitoring and preparation of the Annual Governance Statement	required Statutory requirement, adverse External Auditor Report	by the External Auditor and by the Governance, Audit & Performance Committee
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- 1 = Little or no risk or impact
- 2 = Some risk or impact – action may be necessary.
- 3 = Significant risk or impact – action required
- 4 = Near certainty of risk occurring, catastrophic effect or failure of project.

1 SCOPE OF RESPONSIBILITY

- 1.1 Uttlesford District Council is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for and used economically, efficiently and effectively. Uttlesford District Council also has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.
- 1.2 In discharging this overall responsibility, Uttlesford District Council is responsible for putting in place proper arrangements for the governance of its affairs and facilitating the effective exercise of its functions, which includes arrangements for the management of risk.
- 1.3 Uttlesford District Council has approved and adopted a Code of Corporate Governance, which is consistent with the principles of the Delivering Good Governance in Local Government: Framework (CIPFA/SOLACE 2016). A copy of the authority's Code of Corporate Governance is on our website at www.uttlesford.gov.uk or can be obtained from the Council Offices, London Road, Saffron Walden, Essex, CB11 4ER. This statement explains how Uttlesford District Council has complied with the code and also meets the requirements of Accounts and Audit Regulations 2015, regulation 6(1)(a) and (b), which requires all relevant bodies to conduct a review of the effectiveness of the system of internal control required by regulation 3; and prepare an annual governance statement. The Code of Corporate Governance is currently under review and will be updated in 2020/21.

2 THE PURPOSE OF THE GOVERNANCE FRAMEWORK

- 2.1 The governance framework comprises the systems and processes, culture and values by which the authority is directed and controlled and its activities through which it accounts to, engages with and leads its communities. It enables the authority to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate services and value for money.
- 2.2 The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an on-going process designed to identify and prioritise the risks to the achievement of Uttlesford District Council's policies, aims and objectives, to evaluate the likelihood and potential impact of those risks being realised, and to manage them efficiently, effectively and economically.
- 2.3 The governance framework has been in place at Uttlesford District Council for the year ended 31 March 2020 and up to the date of approval of the annual statement of accounts.

3 THE GOVERNANCE FRAMEWORK

- 3.1 Some of the key features of the governance framework are set out in the following paragraphs.
- 3.2 The Uttlesford District Council Corporate Plan 2019/2023 outlines the aims and four priority areas and three new underpinning themes (summarised as environmental impact, use of digital and diversity and inclusion) and it is complemented by the Medium Term Financial Strategy and together these represent the key planning documents for the Council. This was again underpinned by an annual delivery plan setting out the specific projects/activities that would contribute to the Council's priorities. The Corporate Plan is reviewed annually and takes account of feedback from public consultation as well as data and analysis relating to the residents, communities and businesses in the District. The significantly revised Corporate Plan 2020/2024 was approved by members at the Council Meeting held in February 2020 and was informed by conversations during the election in May 2019 and subsequent workshops with members of the Residents for Uttlesford party.
- 3.3 Delivery of the Council's Corporate Plan was supported by the Corporate Plan Delivery Plan 2019/20 approved by the previous Administration in February 2019, and service plans in which the corporate objectives are translated into more specific aims and objectives. These are then cascaded down into individual performance development reviews through the council's U-Perform system. These all include targets and, where appropriate, service standards against which service quality and improvement can be judged. Performance against the delivery plan is monitored by the Corporate Management Team (CMT) and Cabinet, while service plans are monitored by individual services and formally reviewed quarterly by the CMT. In addition, the Council's key performance indicators are monitored quarterly by the Governance, Audit & Performance Committee. Satisfaction surveys and a formal complaints procedure allow the Council to gauge customer satisfaction. The Local Government Ombudsman's annual review letter is presented to the Governance, Audit & Performance Committee each September, along with an annual summary of complaints resolved through the Council's own complaints system.
- 3.4 Uttlesford District Council has adopted a Constitution which establishes the roles and responsibilities for members of the executive (the Cabinet), Governance, Audit & Performance, Scrutiny, and Standards Committees, together with officer functions. It includes details of delegation arrangements, the Members' Codes of Conduct and protocols for member/officer relations. The Constitution is kept under review to ensure that it continues to be fit for purpose. A Code of Conduct for Staff was approved and published during 2019/20. There is a guide to disciplinary standards; conduct of officers is directed by Human Resource Policies (HRP) and through the values and behaviours which are part of the Council's individual performance review system known as 'U-Perform'.
- 3.5 The Constitution contains procedure rules, standing orders and financial regulations that clearly define how decisions are taken and where authority lies for decisions. The statutory roles of Head of Paid Service, Monitoring Officer and Chief Financial Officer are described together with their contributions to provide robust assurance on governance and that expenditure is lawful and in line with approved budgets and procedures. The influence and oversight

exerted by these posts is backed by the post-holders' membership of the Corporate Management Team. The Constitution also contains a Statutory Officers Protocol.

3.6 During 2019/20 the following amendment to the Constitution has been made:

The Council has revised its scheme for public participation at Planning Committee meetings to promote greater involvement by members of the public and parish councils. It also provided for the Youth Council to have a permanent nonvoting representative at Full Council meetings in order to participate in debates. In July 2019 the Council set up a Governance Working Group to consider whether the Council should revert to the committee system of decision making or should introduce changes to the current Leader and Cabinet model. The Working Group has yet to report.

3.7 In 2016 CIPFA published its Statement on the Role of the Chief Financial Officer in local government, setting out core principles and standards relating to the role of CFO and how it fits into the organisation's governance arrangements. The Council complied with the CIPFA statement in 2018/19.

3.8 In 2019 CIPFA published its Statement on the Role of the Head of Internal Audit, setting out core principles and standards relating to the role of the Head of Internal Audit and how it fits into the organisation's governance arrangements. The Council complied with the CIPFA statement in 2019/20

3.9 The primary counterbalance to the Executive is the Scrutiny Committee. The role of this committee is to provide a robust challenge to the Cabinet. A Memorandum of Understanding has been developed to set out the relationship between the scrutiny and executive functions to address some of the recommendations from the Centre for Public Scrutiny review of the council's scrutiny processes and practices. This MoU was approved by Scrutiny Committee and by Cabinet, through an executive decision, in March 2019. It follows recommended practice and will assist in ensuring the two functions work effectively together.

3.10 The Governance, Audit & Performance Committee monitors the performance of the Council, fulfilling the Council's Audit Committee core functions, as identified in Audit Committees: Practical Guidance for Local Authorities and Police (CIPFA 2018), in respect of External Audit, Internal Audit and Risk Management and Performance Management. The Committee can, and does, request assurance from the relevant Cabinet member and/or senior manager when there is consistent underperformance in a particular service area/indicator.

3.11 The Council has a formal complaints procedure which allows the public or other stakeholders to make a complaint regarding the service received from the Council or on the conduct of Members. The Standards Committee has responsibility for overseeing the investigation of complaints against members.

For the period 01 April 2019 to 31 March 2020, there were 9 allegations received of a breach of the Code of Conduct. These broke down as follows:

- Three complaints against parish councillors, which were not passed for investigation. Two allegations did not fall within the scope of the Code of Conduct and the third was dealt with by “words of advice” as the matter complained of was insufficiently serious to warrant an investigation.
- One complaint against a parish councillor was not pursued by the complainant when asked for further information.
- One complaint against a number of parish councillors was not pursued when they ceased to be councillors in May 2019.
- One complaint against a parish councillor is currently under formal investigation.
- One complaint against a parish councillor and a district councillor was passed for formal investigation. The investigation found no breach of the Code.
- Two complaints, involving two district councillors are in the process of being passed for formal investigation.

In addition, there are also a number of connected complaints relating to one parish council which need analysis and resolution.

- 3.12 The Council has policies to protect both itself and its staff when making decisions. A Counter Fraud and Corruption Strategy and Policies have been developed in accordance with the Code of Practices on Managing the Risk of Fraud and Corruption (CIPFA 2014), and include the Council’s Fraud Response Plan, Whistleblowing and Bribery Act 2010 Policies which have been developed and communicated to all staff via the internet and as part of the Induction process. Reviewed and updated Counter Fraud and Corruption Strategy and Policies were published in April 2019.
- 3.13 The Council has embedded Risk Management throughout its activities with the Corporate Risk Register reflecting the key threats to achieving its corporate aims and objectives. The Council’s Corporate Risk Register is reviewed and updated by CMT and reported twice a year to the Governance, Audit and Performance Committee.
- 3.14 Performance Management is monitored through quarterly reporting to CMT and the Governance, Audit and Performance Committee on 16 Key Performance Indicators and more than 20 other PIs. Areas of concern are discussed by the Committee and follow-up reports are requested if necessary. Among issues discussed during 2019/20 were planning applications processing times and recycling rates...
- 3.15 All Council services are delivered by trained and experienced officers. Job Descriptions and Person Specifications are in place for all posts to ensure that the best candidates are appointed into each position. A significant commitment has also been made towards retaining good staff, by offering numerous ‘work friendly’ schemes and where possible encouraging succession planning and promotion from within. This ensures that valuable skills and experience are retained and passed on, rather than being lost. Training needs are identified through the U-Perform appraisal system, including ILM training for supervisors and managers.
- 3.16 The individual performance review system known as U-Perform has been operated in the council for ten years. Staff are measured against operational objectives that are linked through to service plans and the Corporate Plan and are also provided with behaviour statements against which they can

demonstrate how they go about their roles. U-Perform also identifies developmental and training needs, through which training is made available to staff to ensure that individuals are able to undertake their present role effectively. In 2019/20 the Council achieved a completion rate for U-Perform in excess of 90 percent. The moderation process through which the council's Chief Executive and Directors review U-Perform ratings for all staff to ensure consistency across all departments continued to operate.

3.17 During the year 2019/20 the Council undertook a more extensive training and induction programme than usual in view of the change of administration and the large number of new councillors. Training was arranged in these areas:

- Welcome and Induction Session, Part 1: How the Council works, Who's Who and Code of Conduct
- Welcome and Induction Session, Part 2: Data Protection and Safeguarding, Effective Decision-Making and Mock Council Meeting
- Introduction to Scrutiny (Scrutiny Committee)
- Introduction to Scrutiny (All Members)
- Planning Committee Training
- Licensing and Environmental Health Committee Training
- Governance, Audit and Performance Committee Training
- Standards Committee Training
- Environmental Health
- Police and the Council for Volunteer Services – Uttlesford
- Council Finance and the Budget
- Museum and Castle Tour
- The Council's Interaction with Business
- Charing Skills
- Housing
- Communities, Health and Wellbeing
- Development Management (Non-Planning Committee members)

3.18 The Council continues to ensure it is open and accessible to the community. In 2019/20 it has:

- Continued to regularly survey the views of residents through targeted consultation
- Launched a sub-site for council jobs to better promote the wide range of employment opportunities available at Uttlesford District Council
- Continued to develop the councils websites to follow Government Digital Service design principles
- Continued to meet guidelines on the publication of transparency information on its website, including publishing Gender Pay Gap information

- Published an accessibility statement setting out our commitment to making our online services accessible to as many users as possible and complying with the requirements of the new Public Sector Bodies Website and Mobile Applications Accessibility Regulations 2018
- Continued audio streaming and recording of meetings of the Planning Committee, Full Council and Cabinet and, latterly, all committees including the Scrutiny Committee
- Conducted a major survey of all council tenants and leaseholders using the recognised HouseMark STAR questions in order to provide data to benchmark our services against national criteria
- Continued to support the Uttlesford Youth Council
- Continued to deliver the Keep Me Posted email news service for residents and grew the subscriber base to in excess of 8,000 people

All Committee meetings are open to the public except where personal or confidential matters are discussed. All agendas and minutes are placed on-line, along with the Council's policies and strategies. These items are also available by directly contacting the Council. When identifying the priorities and objectives for the Corporate Plan the views of stakeholders and the wider community are sought through a number of consultation mechanisms, and are taken into account. The Corporate Plan is made available to all via the Council's website.

- 3.19 During 2019/20 membership of the Council's Scrutiny Committee changed, including the appointment of a new Chair and Vice-Chair. Training was offered to all members of the committee. During the course of the year the committee has established task and finish groups on planning obligations and airport-related fly-parking and discussed reports on various topics including the council's commercial strategy, corporate plan and medium term financial strategy. A summary of the Committee's work for the year can be found on the agenda of the Full Council meeting of 22 April 2020.
- 3.20 There are terms of reference and constitutions set up for key partnerships which ensure that all members of the partnership act lawfully throughout the decision making process. Uttlesford Futures has a comprehensive Governance Handbook and the terms of reference for all of the working groups are regularly reviewed to ensure they comply with the overarching document. Key partnerships include the Local Strategic Partnership - Uttlesford Futures; the Public Law Partnership and the North Essex Parking Partnership. The Council also works closely with neighbouring authorities to promote sustainable economic growth and on strategic planning issues in the context of the duty to cooperate under the Planning Acts. It also works with Braintree and Epping Forest Councils for shared provision of energy efficiency advice, insurance arrangements and building control.
- 3.21 From 1 April 2020 the Council entered into a limited company joint venture partnership with Norse, known as UNL, to provide housing planned and responsive repairs, stewarding and cleaning. The Director of Operations and the Deputy Leader are Directors of the new company.
- 3.22 A Corporate Peer Challenge was conducted in November 2016; the report and action plan was approved at Council in July 2017 and update reports on progress against the action plan have been regularly reported to GAP. Following the last report in October 2018 it was anticipated that the council would submit itself for an LGA progress review. However the change in administration and associated work supporting the new members meant this was not programmed before Parliamentary General Election was called, which further diverted staff resources.

- 3.23 The Council's Draft Statement of Accounts for 2018/19 was completed by 31 May 2019. The audited Statement of Accounts for 2018/19 was published on 30 July 2019. The Council received an unqualified opinion on its accounts for the tenth successive year.
- 3.24 On 15 May 2017, Aspire (CRP) Ltd (a wholly owned company of the council) purchased a 50% share in Chesterford Research Park (which is part of the South Cambridgeshire Biotech Cluster) in a joint venture with Aviva Ltd. The company has three Directors all of which are council employees and are members of the Corporate Management Team. The company also engages the services of two Non-Executive Directors to complement the skills of the directors in determining the company's activities, which are the subject of audit processes separate to the council. Members of the Cabinet form the shareholder board. The Council resolved to fund 50% of the refurbishment and refit costs of Newnham Building and this work commenced in early 2019. The expected completion date is early 2021.
- 3.25 The Council has appointed a Data Protection Officer to lead on compliance with the Council's data protection and other information governance obligations.
- 3.26 The Council continued to make preparations for a no-deal exit from the European Union, the original deadline of March 29 having been postponed to initially October 31 2019 and then December 31 2019. The Council's response to the risks and uncertainties associated with EU Exit has been coordinated through an Officer Working Group which is chaired by the Assistant Director of Housing Health and Communities. The Group has reviewed detailed arrangements for services, the implications for business continuity and emergency planning, provided information to the public and stakeholders and promoted the EU Settlement scheme. The effects of EU exit on legislation and how it affects the Council will be monitored by the Group and appropriate action taken to ensure continuing compliance and preparedness.

4 REVIEW OF EFFECTIVENESS

- 4.1 Uttlesford District Council has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework including the system of internal control. The review of effectiveness is informed by the work of the executive managers within the authority who have responsibility for the development and maintenance of the governance environment, the head of internal audit's annual report, and also by comments made by the external auditors and other review agencies and inspectorates.
- 4.2 The Council's Monitoring Officer has responsibility for overseeing the implementation and monitoring the operation of the Code of Corporate Governance, maintaining and updating the Code in the light of latest guidance on best practice, considering any changes that may be necessary to maintain it and ensure its effectiveness in practice. All reports to Cabinet, Committees and Council are seen by the Monitoring Officer to ensure compliance with legal requirements.

- 4.3 The Council's Section 151 Officer has responsibility for the proper administration of the Council's financial affairs. This includes responsibility for maintaining and reviewing Financial Regulations to ensure they remain fit for purpose, and submitting any additions or changes necessary to the full Council for approval. The Section 151 Officer is also responsible for reporting, where appropriate, breaches of the Regulations to the Cabinet and/or the Council. All reports to Cabinet, Committees and Council are seen by the Section 151 Officer to ensure compliance with financial requirements.
- 4.4 The Council's Internal Audit Service, via a specific responsibility assigned to the Internal Audit Manager, is required to provide an annual independent and objective opinion to the Authority on its risk management, governance and control environment. The Covid-19 emergency has delayed the completion of work on the Internal Audit Programme 2019/20 and therefore the subsequent publication of the Internal Audit Manager's Annual Report and Opinion for 2019/20. However it is anticipated that the audit opinion on the control environment for 2019/20 will be that risks material to the achievement of the objectives for the audited areas identified by Internal Audit were, on balance, satisfactorily managed and controlled.
- 4.5 At the date of publication of this Draft Annual Governance Statement, nineteen out of the planned twenty-seven Audits from the 2019/20 Internal Audit Programme have been completed. Of these, four audits were given an Internal Audit opinion of either Little or Limited Assurance:
- The Audit of Corporate Equality and Diversity was given the opinion of Little Assurance. Nine recommendations were made - seven level 3 and two level 2; all recommendations are expected to be implemented by their agreed due dates in 2020/21.
 - The Audit of Business Continuity & Emergency Planning was given the opinion of Little Assurance. Nine recommendations were made – two level 4; six level 3 and one level 2; all recommendations are expected to be implemented by their agreed due dates in 2020/21
 - The Audit of HR & Payroll was given the opinion of Limited Assurance. Nine recommendations were made – two level 4; six level 3 and one level 2; all recommendations are expected to be implemented by their agreed due dates in 2020/21
 - The Audit of Licensing was given the opinion of Limited Assurance. Eight recommendations were made – three level 3 and five level 2; all recommendations are expected to be implemented by their agreed due dates in 2020/21
- 4.6 In addition to the above, the Council has conducted a formal review of its internal control environment and collated evidence and assurance from a variety of sources. This has included the collation of assurances from all Senior Management Team (SMT) members on the effectiveness of the internal control environment. A review of the returns concluded that based on this self-assessment, effective controls were in place.
- 4.7 The work of the Council's Internal Audit is governed by the UK Public Sector Internal Audit Standards (PSIAS) 2019. The PSIAS encompass the mandatory elements of the Institute of Internal Auditors (IIA) International Professional Practices Framework (IPPF), additional requirements and interpretations for the UK public sector have been inserted in such a way as to preserve the integrity of the text of the mandatory elements of the IPPF. The PSIAS are mandatory for all internal auditors working in the UK public sector. An External Quality Assessment of the performance of Internal Audit and its conformance with the PSIAS was undertaken in September 2017. An essential element of this assessment was to ensure that the annual audit opinion

issued by Internal Audit may be relied upon as a key source of evidence and assurance. The External Assessment concluded that the Internal Audit service generally conforms to the expectations of the PSIAS and made 15 recommendations to reflect that there are areas in which the service can be further improved and enhanced. At 31 March 2020, 13 of the recommendations have been fully implemented and 1 partially implemented; the remaining recommendations are expected to be fully implemented during 2020/21.

- 4.8 Through the Council's Performance Management Framework the quality of service can be measured by performance indicators. Most indicators are monitored on a quarterly basis; some are bi-annual or annual. All are discussed by the Corporate Management Team and the top two of three layers of indicators are reported to Committee.
- 4.9 Public Sector Audit Appointments (PSAA) is specified as an appointing person under the provisions of the Local Audit and Accountability Act 2014 and regulation 3 of the Local Audit (Appointing Person) Regulations 2015. For audits of the accounts from 2018/19, PSAA appoints an auditor to relevant principal local government authorities that have opted into its national scheme. Appointments are made for the duration of a five-year appointing period. The current appointing period covers the audits of the accounts for 2018/19 to 2022/23.
- 4.10 In December 2017 BDO LLP were confirmed by PSAA as the Council's new External Auditors for the period 2018/19 to 2022/23

5 SIGNIFICANT GOVERNANCE ISSUES

5.1 Significant Issue from 2018/19

In the 2018/19 Annual Governance Statement the following issue was identified:

Equality & Diversity

The Audit of Corporate Equality and Diversity identified significant issues that needed to be addressed to improve governance, monitoring reporting and compliance to equality legislation. This was reported to GAP in November 2018. Resources have been identified to implement the recommendations made and further updates on progress will be given to GAP during 2019/20.

A further Audit of Corporate Equality and Diversity was carried out as part of the 2019/20 Internal Audit programme to review progress on the recommendation made in the previous audit. The audit identified that considerable progress had been made towards improving the Council's level of achievement measured against the Equality Framework for Local Government. Further recommendations have been made aimed at assisting the Council in this which will be reviewed during 2020/21 with further updates on progress will be given to GAP during the year.

5.2 Significant Control and Governance Issues identified 2019/20

1. COVID 19 PANDEMIC

The council began to consider the implications of the spread of coronavirus in January 2020 by reviewing its corporate business continuity plan and the Stansted Airport Health Plan; the first message to its staff regarding advice and guidance was sent on 11 February and included reference to dedicated intranet pages. The implications for work at Stansted Airport was considered with scenario planning and regular calls regarding imported food and all managers reviewed their business continuity plans with a health epidemic in mind.

An internal working group was also established in February, which then became the tactical coordinating group once a formal incident was declared in March and a command structure initiated. The council was (and remains) fully engaged with the Essex Resilience Forum. All expenditure associated with managing the virus was recorded (and continues to be so). Businesses were rebilled following the Chancellor's budget statement on 10 March to reflect further reliefs. The council moved quickly to enable staff to work from home, where possible, once the 'lockdown' was announced by the Prime Minister on 23 March and by mid-April had nearly 150 people working from home.

2. COVID 19 PANDEMIC – RISK TO 2020/21 BUDGET

The Covid-19 pandemic is putting significant pressure on the 2020/21 budget, mainly around lost income rather than direct cost of fighting the disease. Whilst the Government has provided the Council with approximately £930,000 of additional funding this is currently expected to fall short of the actual impact on our finances. Government has indicated that the money provided is sufficient to meet our needs and no additional money will be forthcoming. Government has also requested details of available Reserves we hold, that could be used if necessary.

The announced delay in the reviews of Fair Funding, Business Rates and New Homes Bonus will likely lead to another one year settlement. This generally results in Uttlesford receiving a favourable settlement, mainly down to the amount of New Homes Bonus received. However, due to the pandemic it is unlikely that housing delivery will be on a similar level as previous years and, if the award is calculated in the same way as previous years, this will have a significant impact on the allocation we receive in 2021/22.

3. EUROPEAN PARLIAMENTARY AND PARLIAMENTARY GENERAL ELECTIONS

The late confirmation of the planned European Parliamentary Election in May 2019 and unscheduled Parliamentary General Election in December 2019 substantially impacted on the council's ability to progress work of the new administration (specifically working groups) and to hold formal meetings but this was well managed and communicated.

It is proposed over the coming year to take steps to address the above matters to further enhance our governance arrangements. We are satisfied that these steps will address the need for improvements that were identified in the review of effectiveness and will monitor their implementation and operation as part of our next annual review.

The Council considers its Corporate Governance and Internal Control arrangements to be fundamentally sound.

Signed: _____

Dawn French
Chief Executive

Signed: _____

John Lodge
Leader of the Council

Agenda Item 5

Committee: Governance, Audit and Performance Committee

Date:

Tuesday, 2 June 2020

Title: Internal Audit Progress Report, 16 December 2019 to 15 May 2020

Report Author: Sheila Bronson, Audit Manager
sbronson@uttlesford.gov.uk

Summary

1. To report to the Governance, Audit & Performance Committee details of work undertaken by Internal Audit since the last report to the Committee on 13 January 2020 and to provide an update on the impact of the Covid-19 emergency on the work of Internal Audit

Recommendations

2. That the Internal Audit Progress Report 16 December 2019 to 15 May 2020 be noted.

Financial Implications

3. None. There are no costs associated with the recommendations

Background Papers

4. None.

Impact

- 5.

Communication/Consultation	The Internal Audit Work Programme 2019/20 referred to in this report has been approved by the Corporate Management Team and endorsed by the Governance, Audit & Performance Committee.
Community Safety	none
Equalities	none
Health and Safety	none
Human Rights/Legal Implications	none

Sustainability	none
Ward-specific impacts	none
Workforce/Workplace	none

Situation

6. The purpose of this report is to provide management and members with details of:
 - i) Impact of the Covid-19 emergency on the work of Internal Audit from March 2020;
 - ii) Work completed by Internal Audit since the last report to the Governance, Audit & Performance Committee at its meeting 13 January 2020;
 - iii) Performance against the Internal Audit Work Programme 2019/20;
 - iv) Risk level 3 and 4 highest priority recommendations implemented since the last report to Members;
 - v) A review of recommendations during the Covid-19 emergency.

Impact of the Covid-19 Emergency on the work of Internal Audit

7. Since 18 March 2020 the Internal Audit Manager and Internal Auditors have been working from home.
8. Internal Audit is not considered a critical service, our work priority has been to complete as far as possible the audits on the 2019/20 Internal Audit Programme and to continue to provide advice and assistance to all services during the emergency.
9. Progress on the 2019/20 Audit work has been reviewed weekly; by 17 April the level of remote audit work required to complete audits had reduced sufficiently for the Audit Manager to be able to offer Internal Audit resource for assistance and re-deployment to critical service areas
10. From 22 April, in tandem with completing audit work as far as possible, Internal Auditors have been working with the Revenues Service and the Benefits Service providing resources to assistance in checking Business Grant applications and Benefits claims
11. At 15 May 2020, 8 audits remained unfinished of these it is expected we may be able to finalise 2 before 31 May 2020
12. For the remaining 6 audits all audit work has now been suspended because the further testing work or the discussions and agreement on findings and draft

recommendations required to complete the audit work cannot be undertaken at the present time.

13. Internal Interim Reports have been issued for these 6 audits to the officers concerned. As agreement has not been reached on recommendations we will not be giving any assurance opinions on these services at this time.
14. All of the audits for which an Interim Report has been issued will be included in the 2020/21 Audit Programme; the scope of the 2020/21 audit will include re-examining the 2019/20 audit work along with the current situation at the time of the new audit.
15. The Draft Internal Audit Programme 2020/21 was included in the Information Pack sent to members of this committee on 25 March 2020. Due to the impact of the Covid-19 emergency, the Internal Audit Programme 2020/21 will be reviewed and updated to take into consideration the reduced number of days that will be able for internal work during the year. At this time it is considered unlikely that audit work on the 2020/21 programme will commence before 01 September 2020.
16. The Internal Audit Strategy and Work Plan for 2020/21 is expected to be presented to the July 2020 meeting of this committee.

Work Undertaken by Internal Audit 16 December 2019 to 15 May 2020

17. A Since the last report to the Committee:
 - i) Between 16 December 2019 and 15 May 2020, 12 audits from the 2019/20 audit programme have been completed and final reports issued with a total of 39 recommendations being made;
 - ii) All final audit reports issued have been copied to Governance, Audit & Performance Committee Members and are available on the Council's Intranet. A summary of final reports issued is presented at Appendix A (i);
 - iii) At 15 May we have 2 audits which we anticipate may be finalised by 31 May 2020.
 - iv) Internal Interim Reports have been issued for 6 audits. Progress on the 2019/20 programme is presented at Appendix A (ii).

Recommendations Implemented 16 December 2019 to 15 May 2020

18. Four level 3 or level 4 recommendations were implemented during this period; a summary is presented at Appendix A (iii).

Review of Recommendations March 2020

19. Due to the impact of the Covid-19 emergency on the ability of services to implement recommendations March 2020 we undertook a review of all recommendations with an original due date between 31 March and 30 June

2020. In consultation with the senior officers involved, we have amended due dates of recommendations to 30 June 2020 or later. A further review will be undertaken in June 2020.

Risk Analysis

20.

Risk	Likelihood	Impact	Mitigating actions
The issues highlighted in the internal audit reports are not acted upon	1 Action is already being taken towards the implementation of the recommendations contained in the reports	2 There would be varying levels of impact from non-implementation of recommendations given the significance of the control risks identified	Internal audit reports are followed up to ensure compliance. There are escalation procedures in the event of non-compliance

1 = Little or no risk or impact

2 = Some risk or impact – action may be necessary.

3 = Significant risk or impact – action required

4 = Near certainty of risk occurring, catastrophic effect or failure of project.

FINAL & REPORTS ISSUED

16 December 2019 to 15 May 2020

ref	2019/20 INTERNAL AUDIT WORK PROGRAMME	Guide Days	Risk	Final Report Issued	Days Taken	Recommendations Made					Audit Opinion
						No.	Risk Level				
						total	4	3	2	1	
01KF	Business Rates	10	4	05/02/20	10.06	0	0	0	0	0	SUBSTANTIAL
05KF	Treasury Management	10	4	23/01/20	7.91	1	0	0	1	0	SUBSTANTIAL
07KF	HR & Payroll (combined)	10	3	08/04/20	14.07	9	0	3	6	0	LIMITED
09C	Consultants, Contractors & Agency Staff	10	3	05/03/20	18.47	4	0	2	2	0	SATISFACTORY
10C	Equality & Diversity	5	3	28/02/20	3.02	9	0	7	2	0	LITTLE
16O	Members' Allowances & Expenses	10	3	03/04/20	8.57	0	0	0	0	0	SUBSTANTIAL
21O	Environmental Health - Licensing	10	4	30/04/20	9.21	8	0	3	5	0	LIMITED
22O	Environmental Health - Enforcement	5	2	28/02/20	2.40	1	0	1	0	0	SATISFACTORY
23O	Property Services - Repairs Service	10	3	23/03/20	6.00	0	0	0	0	0	SUBSTANTIAL
24O	Property Services - Right to Buy	10	3	30/01/20	4.38	2	0	0	2	0	SUBSTANTIAL
25O	Property Services - Stock & Voids	5	3	13/03/20	6.45	1	0	1	0	0	SUBSTANTIAL
28O	Development Management	10	4	27/02/20	13.51	4	0	2	2	0	SATISFACTORY
						39	0	19	20	0	

PROGRESS ON THE AUDIT PROGRAMME 2019/20

ref	Audit	2019/20 days	IA Risk 2019/20	qtr	Started	Draft	Final	Days Taken	Status
01KF	Business Rates	10	4	3	03/12/19	05/02/20	05/02/20	10.06	FINAL
02KF	Grants & External Funding received	10	4	2	17/07/19	20/09/19	20/09/19	7.79	FINAL
03KF	Insurance	10	4	4	10/01/20			1.64	INTERIM
04KF	Recovery	10	4	2	17/07/19	30/09/19	09/12/19	20.55	FINAL
05KF	Treasury Management	10	4	3	26/11/19	13/01/20	23/01/20	7.91	FINAL
06KF	Asset Management	10	4	2	26/06/19	31/07/19	02/08/19	9.86	FINAL
07KF	HR & Payroll (combined)	10	3	2	24/07/19	17/12/19	08/04/20	14.07	FINAL
08C	EU Exit	5	4	2	03/07/19	29/10/19	08/11/19	8.56	FINAL
09C	Consultants and Agency Staff	10	3	2	10/09/19	06/01/20	05/03/20	18.47	FINAL
10C	Equality & Diversity	5	3	3	15/11/19	31/01/20	28/02/20	3.22	FINAL
11C	Health & Safety	5	3	3	16/10/19	02/03/20		5.35	draft
12C	Information Governance	10	3	2	21/10/19	02/03/20		17.89	INTERIM
13O	Leisure PFI	5	2	3	25/10/19	20/11/19	03/12/19	4.67	FINAL
14O	Museum	10	3	2	12/08/19	08/01/20		16.58	INTERIM
15O	Domestic Waste & Recycling	10	3	3	10/01/20			13.25	testing
16O	Members' Allowances & Expenses	10	3	3	10/01/20	03/04/20	03/04/20	8.57	FINAL
17O	Business Continuity & Emergency Planning	10	3	2	24/07/19	15/10/19	19/11/19	10.30	FINAL
18O	Environmental Health - Commercial Food Safety	postponed to 2020/21 due to EH Resource issues							
19O	Emergency Planning - combined with 17O	0	0	0					
20O	Environmental Health - Imported Food Controls	10	4	2	03/07/19	15/10/19	15/10/19	6.96	FINAL
21O	Environmental Health - Licensing	10	4	4	12/02/20	22/04/20	30/04/20	9.21	FINAL
22O	Environmental Health - Enforcement	5	2	3	15/11/19	20/01/19	28/02/20	2.43	FINAL
23O	Property Services - Repairs Service	10	3	3	10/01/20	27/02/20	23/03/20	6.00	FINAL
24O	Property Services - Right to Buy	10	3	3	18/12/19	23/01/20	30/01/20	4.38	FINAL
25O	Property Services - Stock & Voids	5	3	4	10/01/20	27/02/20	13/03/20	6.45	FINAL
26O	Wellbeing - Allocations	10	3	3	10/01/20			2.39	INTERIM
27O	Wellbeing - Homelessness	10	3	3	10/01/20			2.75	INTERIM
28O	Development Management	10	4	2	17/07/19	09/01/20	27/02/20	13.58	FINAL
29O	Section 106 Obligations	10	3	3	10/01/20			6.31	INTERIM
TOTAL AUDIT DAYS		240						239.21	

LEVEL 3 AND 4 RECOMMENDATIONS IMPLEMENTED 16 December 2019 to 15 May 2020

Page 30

Code & Title	Description	Risk Level	Managed By	Due Date	Completed
1920 04KF Recovery 02	<p>It is recommended that:</p> <ul style="list-style-type: none"> • Checks should be made by the Legal Team when updating the Legal Spreadsheet to ensure that all actions and costs are being recorded. • Periodic checks should be made to ensure that debtors included on the “Legal” worksheet within the Aged Debtors Report correspond with the debtors included on the Legal Spreadsheet. <p>In addition, the Legal Spreadsheet should be updated to ensure that it includes all sundry debtor cases and that any cases not relating to sundry debtors are clearly annotated.</p> <ul style="list-style-type: none"> • The Legal Spreadsheet used for Sundry Debtors is enhanced to include all debts relating to the Recovery Team that involve the Legal Team. 	3	A/D Governance & Legal	30/06/2020	02/04/2020
1920 10C Environmental Health - Enforcement 01	<p>It is recommended that confirmation is sought from ICT that COEDIS has been decommissioned and all data held within it destroyed in accordance with GDPR and DPA 2018</p>	3	A/D Housing, Health & Communities	30/06/20	03/04/20
1920 13O Leisure - PFI 01	<p>It is recommended that immediate action is taken to review and check for accuracy links on the council’s website and to remove links to “out of date” and inaccurate information to avoid potential complaints from members of the public and risk reputational damage to the Council.</p> <p>This is a re-iteration of recommendation 07 made in our 2017/18 Internal Audit Report.</p>	3	A/D Corporate Services	31/12/19	31/12/19

LEVEL 3 AND 4 RECOMMENDATIONS IMPLEMENTED 16 December 2019 to 15 May 2020

Code & Title	Description	Risk Level	Managed By	Due Date	Completed
1920 170 Business Continuity & Emergency Planning 03	<p>It is recommended that:</p> <ul style="list-style-type: none"> • The Local Rest Centre Plan is completed, agreed with all relevant parties and finalised as soon as possible; • The Memorandum Of Understanding (MOU) template is agreed, finalised and signed by all relevant parties as soon as possible and that the MOU with Felsted School is checked to ensure that it is still correct; • Checks are made to establish whether accommodation options would actually be available in the event of an emergency and to consider potential contingencies; • Consideration is given as to whether the Council would like to confirm if the Clavering Emergency Plan has now been finalised and contact other Parishes and Town Councils in the District to enquire about their Plans. 	3	A/D Housing, Health & Communities	29/02/20	24/02/20

Agenda Item 6

Committee: Governance, Audit and Performance Committee
Title: Quarter 4 & Year End 2019/20 Performance Indicator Report
Report Author: Oliver Knight, PFI and Performance Officer
OKnight@uttlesford.gov.uk

Date: Tuesday, 2 June 2020

Summary

1. This report presents the Quarter 4 2019/20 outturn and data analysis for all Key Performance Indicators (KPIs) and Performance Indicators (PIs).
2. Despite pressures imposed on service delivery by the COVID-19 pandemic towards the end of March, most indicators still attained target during Quarter 4 2019/20. Indeed, short and long-term comparisons support this outcome, as limited movement is evident across the majority of performance statuses.

Recommendations

3. None

Financial Implications

4. There are no financial implications associated with this report.

Background Papers

5. The following papers were referred to by the author in the preparation of this report and are available for inspection from the author of the report - None

Impact

- 6.

Communication/Consultation	None
Community Safety	None
Equalities	None beyond service improvement on the equalities performance indicator
Health and Safety	None
Human Rights/Legal Implications	None

Sustainability	None
Ward-specific impacts	None
Workforce/Workplace	None

Situation

7. Appendix A presents the data for Quarter 4 2019/20 (1st January 2020 to 31st March 2020) along with the annual 2019/20 outturn figures for each individual Key Performance Indicator (KPI) and Performance Indicator (PI) collected and reported by the authority.
8. Data for the majority of PIs is collected and reported on a quarterly basis; however this report also includes year end data. All outturn data is shown in bold.
9. Performance is monitored against all targets agreed by the Governance, Audit & Performance Committee in May 2019.
10. For comparison purposes, the report contains data for Quarter 4 2019/20 and the previous four quarters. To enable a yearly comparison, the report also contains the annual outturn for 2018/19 for a year-on-year performance appraisal against the 2019/20 year outturn.
11. For some indicators, both quarterly & annual data is not yet available to be reported due to the COVID-19 pandemic. Some data is dependent upon site visits, and other data is dependent on locally-based reporting databases. As soon as this data is available, we will report this to future meetings of the Governance, Audit & Performance Committee.
12. All data and performance notes have been reviewed by the Corporate Management Team and the Joint Executive Team.
13. Viewing both performance in Quarter 4 2019/20 and Annual Year End 2019/20, it is evident that the majority of indicators are meeting target:

Status	Quarter 4 2019/20		Year End 2019/20	
	17	61%	19	63%
	4	14%	6	20%
	7	25%	5	17%
Total	28	100%	30	100%

14. When analysing indicator achievement in Quarter 4 2019/20 in comparison to Quarter 3 2019/20, it can be seen that performance in the short-term has remained consistent across all statuses:

Status	Quarter 3 2019/20		Quarter 4 2019/20	
	18	64%	17	61%
	3	11%	4	14%
	7	25%	7	25%
Total	28	100%	28	100%

15. Comparing annual performance outturn values for 2019/20 with 2018/19, it is clear from a long-term perspective there has been movement across all statuses. Overall this is showing a decrease in performance levels, as more indicators have attained amber status, whilst less have achieved red or green statuses.

Status	Year End 2018/19		Year End 2019/20	
	19	65%	18	62%
	4	14%	6	21%
	6	21%	5	17%
Total	29	100%	29	100%

16. There are three KPIs that have not met their target for Year End but are within the 10% threshold and have an 'amber' status.

KPI 11 Processing of planning applications: Major applications (within 13 weeks or including any agreed extension of time) (Max)

KPI 13 Processing of planning applications: Other applications (within 8 weeks or including any agreed extension of time) (Max)

KPI 17 Local Council Tax Support Collection Rate (Max)*

17. There are two KPIs that have exceeded the 10% performance threshold at Year End and have a 'red' status:

KPI 08(a)

**Average re-let time in days (all re-lets including time spent in works)
(Min)**

Whilst performance improvements were noted during Quarter 3 2019/20, performance did unfortunately drop again for Quarter 4 2019/20 – causing the Annual Outturn of 54 days. It is important to note that part of the void process will now be managed by Uttlesford Norse. As such, officers will continue to closely monitor this indicator, and work proactively with Uttlesford Norse to improve performance.

KPI 12

Processing of Planning Applications: Minor Applications (within 8 weeks or including any agreed extension of time) (Max)

Despite performance during Quarter 4 showing improvement, the annual outturn unfortunately still attained a red status. It should be noted that performance has improved throughout the year. Whilst 50.54% was attained during Quarter 1, Quarter 4 registered 70.71% showing a substantial improvement since beginning of the 2019/20 year. Decision times on some categories of application – such as listed building & conservation – are improving; however officers will be working proactively to improve the project management of minor cases during Quarter 1 2020/21.

- 18. If members have any questions regarding the data, or would like to see a more detailed analysis on a particular indicator, then please do not hesitate to contact the report author.

Risk Analysis

19.

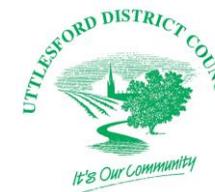
Risk	Likelihood	Impact	Mitigating actions
If performance indicators do not meet quarterly/annual areas then areas such as customer satisfaction and statutory adherence to government led requirements could be affected leading to a loss in reputation for the Council.	2 – The majority of performance measures perform on or above target. Where necessary, accompanying notes to individual performance indicators detail improvement plans.	3 – The majority of service areas in the Council are customer-facing.	Performance is monitored by CMT, and the Governance, Audit & Performance Committee on a quarterly basis. The inclusion of five quarters of data helps to identify trends. Where necessary, the Performance Team provides trend analysis to support CMT and Service Managers in improving performance.

- 1 = Little or no risk or impact
- 2 = Some risk or impact – action may be necessary.
- 3 = Significant risk or impact – action required

4 = Near certainty of risk occurring, catastrophic effect or failure of project.

Appendix A: Quarter 4 & Year End 2019/20 KPI & PI Data

Quarter 4 2019/20 & Year End 2019/20 Performance Report: KPIs & PIs



GAP Review – 2nd June 2020

Key: * Cumulatively monitored Max Aim to maximise performance
Quarterly targets profiled Min Aim to minimise performance

Status Symbols



Target achieved



Target not achieved but within 10% of achieving target



Target not achieved by over 10%

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Trend Arrows

Short Term Assesses performance in Q4 2019/20 in comparison to Q3 2019/20

Long Term Assesses performance Year End 2019/20 in comparison to Year End 2018/19

Directorate: CHIEF EXECUTIVE

Democratic & Electoral Services

PI Code & Short Name	Q4 2018/19	Q1 2019/20	Q2 2019/20	Q3 2019/20	Q4 2019/20	Short Term Trend	Long Term Trend	2018/19 Outturn	2019/20 Outturn	Performance Note
PI 21 Percentage of minutes from meetings made available to the public within 10 working days (Max)	80%	69%	95%	63%	42%			89%	66%	Quarter 4 2019/20 Numerator: 10 Denominator: 24 Year 2019/20 Numerator: 50 Denominator: 76 The work of the Democratic Services team was significantly disrupted over Q4 quarter due to the move towards holding virtual meetings in response to the coronavirus pandemic. Other delays in publication can be attributed to Democratic Services awaiting responses from lead officers.
										
	95%	95%	95%	95%	95%			95%	95%	

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Legal Services

PI Code & Short Name	Q4 2018/19	Q1 2019/20	Q2 2018/19	Q3 2019/20	Q4 2019/20	Short Term Trend	Long Term Trend	2018/19 Outturn	2019/20 Outturn	Performance Note
PI 06 Percentage of standard searches carried out in 10 working days (Max)	100%	100%	100%	100%	100%			100%	100%	Quarter 4 2019/20 Numerator: 377 Denominator: 377 All searches carried out within 10 working days. Year 2019/20 Numerator: 1,484 Denominator: 1,484 All searches throughout the year carried out within 10 working day timeframe. A very good performance for the team.
										
	100%	100%	100%	100%	100%			100%	100%	

Directorate: CORPORATE SERVICES

Benefits												
PI Code & Short Name	Q4 2018/19	Q1 2019/20	Q2 2019/20	Q3 2019/20	Q4 2019/20	Short Term Trend	Long Term Trend	2018/19 Outturn	2019/20 Outturn	Performance Note		
KPI 04 Accuracy of processing - HB/CTB claims (Max) Page 39	98.69%	99.35%	98.03%	99.26%	99.30%	↑	↑	98.71%	98.97%	Quarter 4 2019/20 Numerator: 142 Denominator: 143 111 New claims and 32 Change of circumstances checked in Quarter 4 of 2019/20, and only 1 financial error has been identified, giving an accuracy rate of 99.30%. Year 2019/20 Numerator: 579 Denominator: 585 451 New claims and 134 Change of circumstances checked in 2019/20, and only 6 financial errors have been identified, giving an accuracy rate of 98.97%. We continue to achieve our target of 98% due to our proactive checking arrangements which identifies any potential training issues quickly and allows us to give prompt and appropriate training.		
								98.00%	98.00%			
	98.00%	98.00%	98.00%	98.00%	98.00%			98.00%	98.00%			
KPI 06 (a) Time taken to process Housing Benefit/Council Tax Benefit new claims (Days) (Min)	18.0	19.9	16.1	17.1	12.0	↑	↑	20.5	15.5	Quarter 4 2019/20 Numerator: 4,570 Denominator: 381 49 new claims to Housing Benefit (HB) were processed taking a total of 661 days. 332 new claims to Local Council Tax Support (LCTS) were processed taking 3,909 days. This is a combined total of 381 new claims taking 4,570 days; an average of 11.99 days. Year 2019/20 Numerator: 16,458 Denominator: 1,062 195 new claims to Housing Benefit (HB) were processed taking a total of 2,502 days. 867 new claims to Local Council Tax Support (LCTS) were processed taking 13,956 days. This is a combined total of 1,062 new claims taking 16,458 days; an average of 15.5 days		
								22.0	22.0			
	22.0	22.0	22.0	22.0	22.0			22.0	22.0			

KPI 06 (b) Time taken to process Housing Benefit/Council Tax Benefit change events (Min)	4.6	7.3	5.6	6.0	3.3	 	5.7	5.2	Quarter 4 2019/20 Numerator: 27,403 Denominator: 8,362 4,076 changes in circumstance to Housing Benefit (HB) were processed taking a total of 9,392 days. 4,286 changes in circumstance to Local Council Tax Support (LCTS) were processed taking 18,011 days. This is a combined total of 8,362 changes taking 27,403 days; an average of 3.28 days. Year 2019/20 Numerator: 116,931 Denominator: 22,526 10,077 changes in circumstance to Housing Benefit (HB) were processed taking a total of 46,360 days. 12,449 changes in circumstance to Local Council Tax Support (LCTS) were processed taking 70,571 days. This is a combined total of 22,526 changes taking 116,931 days; an average of 5.19 days.
									
	7.0	7.0	7.0	7.0	7.0		7.0	7.0	

Customer Services

PI Code & Short Name	Q4 2018/19	Q1 2019/20	Q2 2019/20	Q3 2019/20	Q4 2019/20	Short Term Trend	Long Term Trend	2018/19 Outturn	2019/20 Outturn	Performance Note
PI 44 Percentage of customer enquiries resolved at first point of contact (Max)	88%	88%	86%	85%	85%	 	87%	85%	Q4 2019/20 Numerator: 29,863 Denominator: 35,248 There has been a slight increase in the number of pass-ons from Quarter 3 to Quarter 4 (285) however the CSC have also had a higher than average increase in calls (1,962) this quarter. Even with the introduction of new processes, advisor sickness absences, year-end letters being distributed and COVID-19 impacting on staffing levels and resourcing within the CSC, performance remains within target. Year 2019/20 Numerator: 118,118 Denominator: 138,235 Performance levels have remained steady throughout the year. 85% of all calls, face-to-face enquiries and emails received directly into the CSC and Front Desk were resolved at first point of contact.	
										
	80%	85%	85%	85%	85%		80%	85%		

Finance

PI Code & Short Name	Q4 2018/19	Q1 2019/20	Q2 2019/20	Q3 2019/20	Q4 2019/20	Short Term Trend	Long Term Trend	2018/19 Outturn	2019/20 Outturn	Performance Note	
KPI 01 Percentage of supplier invoices paid within 30 days of receipt by the Council (Max)	99.62%	99.72%	100.00 %	100.00 %	98.73%			98.97%	99.26%	<p>Quarter 4 2019/20 Numerator: 2,715 Denominator: 2,750 Quarter 4 target reached with 98.73% of invoices being paid within 30 days of receipt by the council. It took on average 6.63 days from when an invoice was received to when it was paid. Quarter 4 invoices (2,750) showing an expected higher volume than previous quarters due to year end (Q1- 1,824, Q2-2,244 & Q3 - 2,291) invoices received and processed. This quarter ended with many urgent transitions to work from home due to the global pandemic. Even with extra volumes of invoice compared to last year, 18/19 Q4- 2097, targets were still reached. The 35 invoices that were paid after 30 days are mostly from 1 supplier and the others were known queries that were dealt with in conjunction with the supplier and the department.</p> <p>Year 2019/20 Numerator: 10,791 Denominator: 10,872 The newly adopted electronic process is showing great results. With many hurdles overcome in the last year we are still reaching target. The figures also shows a considerable increase in invoices processed by 1,748 more in 19/20 (10,872) compared to 18/19 (9,124). Meeting this target is a credit to the procedure introduced as well as the efficiency it supplied to both departments and suppliers to get invoices processed and paid on time.</p>	
											
	98.00%	98.00%	98.00%	98.00%	98.00%			98.00%	98.00%		

PI 02 Average time (Days) to pay supplier invoices (Min) Page 42	6.5	6.1	7.4	6.3	6.6	↓ ↑	8.1	6.9	<p>Quarter 4 2019/20 Numerator: 18,222 Denominator: 2,750 Quarter 4 target has been reached, with an invoice being paid on average 6.63 days from when it was issued to when we paid the supplier. On average it also took 3.18 days to pay an invoice once it was passed for payment from the departments. Processing has been very efficient, and we have processed 459 more invoices than in Quarter 3. This is despite the added complication of a global pandemic and moving our processes to work from home.</p> <p>Year 2019/20 Numerator: 74,874 Denominator: 10,872 With a continued positive attitude to the new procedures, 99.85% of invoices for the 2019/2020 period were paid within 10 days of being received by the payments team. The average was 6.89 days from an invoice being received to it being paid. On average it took 3.24 days from when we received the invoice from departments to an invoice's paid date. The payments team will continue to find ways to improve communications with departments and suppliers to ensure this level of performance is sustained.</p>	
	11.0	11.0	11.0	11.0	11.0		11.0	11.0		

Human Resources

PI Code & Short Name	Q4 2018/19	Q1 2019/20	Q2 2019/20	Q3 2019/20	Q4 2019/20	Short Term Trend	Long Term Trend	2018/19 Outturn	2019/20 Outturn	Performance Note
KPI 07 (a) Average number of days lost per employee through short-term sickness absence (Min) *	4.75	0.85	1.86	3.58	3.73	↓ ↑	↓ ↑	4.75	3.73	<p>Quarter 4 2019/20 & Year 2019/20 Numerator: 1,404.5 Denominator: 376.5 = 3.73 days per member of staff for the year to date. Throughout the year we have kept on target, with managers monitoring and where necessary using Occupational Health for cases. Through CMT and SMT we have driven forward improvements in how we deal promptly with sickness absences, and ensure that staff are being supported in returning to work as soon as they can. HR Admin is</p>
	7.00	1.75	3.50	5.25	7.00			7.00	7.00	

										now starting to support particular service areas in holding sickness meetings, to discuss cases and guide managers in dealing with sickness absence.
KPI 07 (b) Average number of days lost per employee through long-term sickness absence (Min)	38.00	49.00	32.00	31.00	41.00			38.00	38.25	Quarter 4 2019/20 Numerator: 370 Denominator: 9 This equates to an average of 41 days off work for the nine long term sick cases this quarter. Four have returned to work via a phased return, whilst five are still off under a fit note.
										Year End 2019/20 We have kept on target throughout the year. The number of long term sickness absences has reduced from last year. Managers are now engaging early with OH to ensure that staff are supported in returning to work as quickly as they can. Through CMT and SMT we are working on improving the whole process and ensuring when someone hits a trigger that this is dealt with as early as possible. Wellbeing plans are implemented once someone hits the relevant trigger which is helping to support employees back to work at an earlier stage.
	44.00	44.00	44.00	44.00	44.00			44.00	44.00	

Information Communication Technology

PI Code & Short Name	Q4 2018/19	Q1 2019/20	Q2 2019/20	Q3 2019/20	Q4 2019/20	Short Term Trend	Long Term Trend	2018/19 Outturn	2019/20 Outturn	Performance Note
PI 20 Percentage of IT help Desk calls resolved within target (Max)	99.12%	99.03%	98.14%	99.16%	95.69%			98.69%	97.77%	Quarter 4 2019/20 Numerator: 1,577 Denominator: 1,648 The drop in calls completed within SLA is due to requirements of setting up homeworking in response to the COVID-19 pandemic from the end of February.
										Year End 2019/20 Numerator: 6,103 Denominator: 6,242 Overall attained target throughout the year, despite slight drop in performance during Quarter 4 due to effect of COVID-19 on resources.
	97.00%	96.00%	96.00%	96.00%	96.00%			97.00%	96.00%	

Museum

PI Code & Short Name	Q4 2018/19	Q1 2019/20	Q2 2019/20	Q3 2019/20	Q4 2019/20	Short Term Trend	Long Term Trend	2018/19 Outturn	2019/20 Outturn	Performance Note
PI 49 Users of the Museum Service (Max) #	New PI for 2019/20	4,229	3,387	3,750	2,858	↓	N/A	New PI for 2019/20	14,224	Quarter 4 2019/20 Users 11% under target due to closure of Museum from 18 March because of COVID-19 (last visitors actually Sun 15 March) and cancellation of school visits in March. Extra activities at Feb half-term and in the week for toddlers and adults boosted figures before closure. Cumulative (annual) 14,244 Year End 2019/20 User figures are 8% over target due to good performance by events, activities and learning services despite restrictions of space in the museum and closure from 18 March 2020 due to COVID-19.
		3,400	3,600	3,000	3,200				13,200	

Revenues

PI Code & Short Name	Q4 2018/19	Q1 2019/20	Q2 2019/20	Q3 2019/20	Q4 2019/20	Short Term Trend	Long Term Trend	2018/19 Outturn	2019/20 Outturn	Performance Note
KPI 03 Percentage of Non-Domestic Rates Collected (Max) *	98.85%	29.44%	56.73%	84.57%	99.54%	↑	↑	98.85%	99.54%	Quarter 4 2019/20 & Year End 2019/20 Numerator: £44,993,713.78 Denominator: £45,203,742.35 This equates to 99.54% collected. This collection rate is higher than last year, and has resulted from managing the worse debtors, by increasing communication and instigating recovery action such as insolvency in a more-timely manner.
	98.80%	29.60%	59.50%	87.80%	98.80%			98.80%	99.00%	
KPI 05 Percentage of Council Tax collected (Max) *	99.17%	29.74%	57.75%	85.91%	98.80%	↑	↓	99.17%	98.80%	Quarter 4 2019/20 & Year 2019/20 Numerator: £65,964,817.81 Denominator: £66,763,193.02 This equates to 98.80% collected. Council Tax collection is slightly down on previous year. This is due to a slow-down in the economy and uplift in the amount of Council Tax due for this financial year.
	98.80%	29.80%	58.40%	86.20%	98.80%			98.80%	98.80%	

KPI 16 Rent collected as percentage of rent owed (including arrears b/f) (Max) *	98.57%	93.44%	96.75%	98.45%	98.64%	 	98.57%	98.64%	Quarter 4 2019/20 & Year End 2019/20 Numerator: £15,549,493.80 Denominator: £15,763,989.44 This PI continues to exceed the target due to the rigorous approach to rent collection with regular checking and support being given by the Arrears Officer to the tenant in arrears to assist them in maintaining their payment agreements, especially those tenants in receipt of housing costs through their Universal Credit payments.
									
	97.60%	89.60%	94.65%	95.65%	97.60%		97.60%	97.60%	
KPI 17 Local Council Tax Support Collection Rate (Max) *	89.44%	25.68%	48.92%	72.82%	86.97%	 	89.44%	86.97%	Quarter 4 2019/20 & Year 2019/20 Numerator: £770,136.27 (Net Receipts) Denominator: £885,500.28 (Total Net Liability) This gives a collection rate of 86.97 from customers in receipt of Local Council Tax Support. This drop is primarily due to a downturn in the economy and also increases in Council Tax amounts. Overall we are finding that LCTS customers are struggling to pay their Council Tax and in some cases building up substantial arrears which cannot be cleared by deductions from DWP benefits. We have a dedicated Officer who monitors these accounts and provides support and advice at the point the LCTS customer goes into arrears. The service also works closely with CAB and Peabody in providing the best possible debt and welfare benefit advice. The Service also runs an Exceptional Hardship fund which is a means tested application scheme which provides customers with additional financial support against their Council Tax.
									
	89.00%	25.00%	50.00%	69.00%	89.00%		89.00%	89.00%	
PI 03 Percentage of sundry debt income overdue (Min)	2.6%	1.4%	1.1%	1.2%	0.6%	 	2.6%	0.6%	Quarter 4 2019/20 & Year 2019/20 Numerator: £3,032.52 (Debt over 90 days old) Denominator: £520,128.22 (Total outstanding debt) This equates to 0.58% uncollected. This PI has met target again, and shows further improvement. We have a dedicated member of staff who keeps on top of invoices and makes regular contact with customer if an invoice becomes overdue.
									
	4.0%	4.0%	4.0%	4.0%	4.0%		4.0%	4.0%	

PI 12 Housing Benefit (HB) recovered as a percentage of the total amount of recoverable HB overpayments (sundry debtors) (Years) (Max)	ANNUAL PI	N/A	↑	47.14%	48.01%	<u>Year 2019/20</u> Numerator: £238,687.76 (Net Collection rate, via direct payment or Housing Benefit adjustment) Denominator: £497,164.88 (Net Total of Housing Benefit overpayments passed to Sundry Debtors). This gives a collection rate of 48.01%. The target was missed due to one large overpayment raised for £23,073.87. This overpayment is currently disputed and correspondence is ongoing. If this invoice is removed, the collection rate improves to 50.35%.
						
				50.00%	50.00%	

Directorate: PUBLIC SERVICES

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Communities										
PI Code & Short Name	Q4 2018/19	Q1 2019/20	Q2 2019/20	Q3 2019/20	Q4 2019/20	Short Term Trend	Long Term Trend	2018/19 Outturn	2019/20 Outturn	Performance Note
PI 07 The level of achievement attained under the Equality Framework for Local Government (Max)	New PI for 2019/20	Developing	Developing	Developing	Developing	-	N/A	New PI for 2019/20	Developing	<u>Quarter 4 2019/20 & Year End 2019/20</u> '1' - 'Developing' under the Equality Framework for Local Government. Training to take place in May and June to fall in line with training budgets. This has been postponed, however exploring the opportunity of have online training for front line staff. Equality policy has had further 'tweaks' and is to be checked by Unison for comments. Updates to be added before CMT approval. An internal Equalities team will be set up with individuals being identified through training to take responsibility for their own departments in sharing legislation and checking Equality risk assessments. This will take place once the training has been undertaken and the policy in place.
									Developing	
		Achieving	Achieving	Achieving	Achieving				Achieving	

Environmental Health (Commercial)

PI Code & Short Name	Q4 2018/19	Q1 2019/20	Q2 2019/20	Q3 2019/20	Q4 2019/20	Short Term Trend	Long Term Trend	2018/19 Outturn	2019/20 Outturn	Performance Note
PI 41 Percentage of routine food hygiene premises inspections completed within the quarter (Max)	100%	98%	100%	96.5%	76%	 		82%	93%	<p>Quarter 4 2019/20 Numerator: 51 Denominator: 67 Due to resignation in January of both the full time SEHO and the part time SEHO the team has been under resourced for this quarter. Recruitment for replacement officers has been unsuccessful to date. Covid-19 lock down controls then prevented further progress of the routine inspection programme.</p> <p>Year End 2019/20 Numerator: 283 (Number of food hygiene inspections completed within the quarter) Denominator: 303 (Number of food hygiene inspections to be completed within the quarter).</p>
										
	98%	98%	98%	98%	98%			98%	98%	

Housing Strategy & Operations

PI Code & Short Name	Q4 2018/19	Q1 2019/20	Q2 2019/20	Q3 2019/20	Q4 2019/20	Short Term Trend	Long Term Trend	2018/19 Outturn	2019/20 Outturn	Performance Note
KPI 08 (a) Average re-let time in days (all re-lets including time spent in works) (Min)	54	59.5	56	51.75	54	 		54	54	<p>Quarter 4 2019/20 & Year End 2019/20 Numerator: 10,149 Denominator: 188 Quarter 4 shows an increase from the previous quarter. Re-let times increased for both major and minor works across Quarter 4 2019/20. Four properties particularly affected performance for major works re-lets, as each of them required major capital works - such as one requiring roof renewal. One particular re-let also considerably</p>
										
	42	42	42	42	42			42	42	

										skewed outturn values, as it took 112 days to re-let due to works needed to get the property to a lettable standard, and the ingoing tenant was unable to view the property until discharged from hospital. <i>*Both Property Services & Housing Strategy & Operations are responsible for this performance indicator*</i>
PI 16 Number of households living in temporary accommodation (Min)	18	18	15	17	15			18	15	Quarter 4 2019/20 & Year End 2019/20 Count: 15 3 Bed & Breakfast, and 12 UDC Temporary Accommodation. This is a snapshot on 31 Mar 2020. The use of B&B has been higher than we would like for the year. This is due to an increase in homeless presentations and a reduction in available social rented accommodation. However, the team have done well to reduce B&B usage wherever possible and as a result we have seen a reduction at year end and fewer numbers than this time last year.
	14	14	14	14	14			14	14	

Planning: Development Management

PI Code & Short Name	Q4 2018/19	Q1 2019/20	Q2 2019/20	Q3 2019/20	Q4 2019/20	Short Term Trend	Long Term Trend	2018/19 Outturn	2019/20 Outturn	Performance Note
KPI 11 Processing of planning applications: Major applications (within 13 weeks or including any agreed extension of time) (Max)	60.00%	72.73%	36.36%	40.00%	66.70%			72.50%	55.56%	Quarter 4 2019/20 Numerator: 2 Denominator: 3 Some improvement in project management of major cases, but not to the point where we have cumulatively achieved target. Use of better project management tools - e.g. PPAs - will make it clearer what the project plan is for major applications. Where the pre-agreed programme needs to be changed, all parties will agree to this and an updated PPA will be prepared with the new deadline set out - meaning that an agreed extension of time can be lodged against the application. Year End 2019/20 Numerator: 20 Denominator: 36
	60.00%	60.00%	60.00%	60.00%	60.00%			60.00%	60.00%	

KPI 12 Processing of planning applications: Minor applications (within 8 weeks or including any agreed extension of time) (Max)	50.54%	61.33%	70.80%	63.71%	70.71%	 	61.45%	66.27%	Quarter 4 2019/20 Numerator: 70 Denominator: 99 Whilst this target is not being achieved, we are meeting the national target. We need to improve project management of minor cases, but decision times on some categories of applications are improving (such as listed building/conservation applications). Year End 2019/20 Numerator: 338 Denominator: 510
							75.00%	75.00%	
	75.00%	75.00%	75.00%	75.00%	75.00%		75.00%	75.00%	
KPI 13 Processing of planning applications: Other applications within 8 weeks or including any agreed extension of time) (Max)	55.91%	84.95%	78.91%	70.11%	70.22%	 	74.78%	76.74%	Quarter 4 2019/20 Numerator: 158 Denominator: 225 Year 2019/20 Numerator: 851 Denominator: 1,109 Whilst local target is not being met, we still continue to meet the national guideline. Place Services' contract to deliver the Conservation Service outlines timescales for responding to applications so this should speed up and improve performance levels moving forward.
							82.00%	82.00%	
	82.00%	82.00%	82.00%	82.00%	82.00%		82.00%	82.00%	
PI 24 (d) Appeals allowed for enforcement notices (Min)	0.00%	0.00%	0.00%	0.00%			0.00%		Due the ongoing COVID-19 pandemic, and that the reporting database for this PI is locally-based, we are not able to report performance for this indicator at the moment. As soon as possible, we will provide both Quarter 4 2019/20 & Year End 2019/20 data for review.
									
	30.00%	30.00%	30.00%	30.00%	30.00%		30.00%	30.00%	
PI 30 Percentage planning applications validated within 5 days (Max)	100%	100%	100%	100%	100%	 	100%	100%	Quarter 4 2019/20 Numerator: 419 Denominator: 420 The team continue to ensure applications are validated within five working days. Year End 2019/20 Numerator: 1,617 Denominator: 1,620
									
	95%	95%	95%	95%	95%		95%	95%	

PI 46 Quality of Decisions: Percentage of Appeals Upheld for Major Planning Applications as a Proportion of Appeals Raised (Min)	New PI for 2019/20	100.00 %	0.00%	36.36%		N/A	New PI for 2019/20		Due the ongoing COVID-19 pandemic, and that the reporting database for this PI is locally-based, we are not able to report performance for this indicator at the moment. As soon as possible, we will provide both Quarter 4 2019/20 & Year End 2019/20 data for review.
									
		30.00%	30.00%	30.00%	30.00%				
PI 47 Quality of Decisions: Percentage of Appeals Upheld for Non-Major Planning Applications as a Proportion of Appeals Raised (Min)	New PI for 2019/20	47.00%	28.00%	70.59%		N/A	New PI for 2019/20		Due the ongoing COVID-19 pandemic, and that the reporting database for this PI is locally-based, we are not able to report performance for this indicator at the moment. As soon as possible, we will provide both Quarter 4 2019/20 & Year End 2019/20 data for review.
									
		30.00%	30.00%	30.00%	30.00%				

Planning Policy & Specialists

PI Code & Short Name	Q4 2018/19	Q1 2019/20	Q2 2019/20	Q3 2019/20	Q4 2019/20	Short Term Trend	Long Term Trend	2018/19 Outturn	2019/20 Outturn	Performance Note
PI 26 Net additional homes provided (Years) (Max)	ANNUAL PI					N/A		737		Year End Data for this PI is not normally available until after the end Quarter 1 for the following year, as data is collated through visits to residential sites. Normally these would be undertaken during Spring or Summer; however we will be unable to undertake these visits until after the current lockdown restrictions are lifted.
										
								641	633	

PI 28 CO2 reduction from local authority operations - percentage reduction (Years)	ANNUAL PI	N/A		-0.7%		As per previous years, data will not be available for this PI until the end of Quarter 1 2020/21. Data is dependent upon further confirmation reports being received before the percentage reduction can be accurately calculated.
						
				2.0%	2.0%	
PI 31 Five year supply of ready to develop housing sites (Years) (Max)	ANNUAL PI	N/A		2.7		Year End Data for this PI is not normally available until after the end Quarter 1 for the following year, as data is collated through visits to residential sites. Normally these would be undertaken during Spring or Summer; however we will be unable to undertake these visits until after the current lockdown restrictions are lifted.
						
				5	5	
PI 43 Percentage of premises with superfast broadband in Uttlesford (Years) (Max)	ANNUAL PI	N/A		85%		Data for this indicator is independently compiled by a third party in partnership with the Economic Development Team. It is expected that a statistical overview of the percentage of premises with superfast broadband in Uttlesford will be available towards the end of Quarter 1 2020/21.
						
				90%	92%	

Waste Services

PI Code & Short Name	Q4 2018/19	Q1 2019/20	Q2 2019/20	Q3 2019/20	Q4 2019/20	Short Term Trend	Long Term Trend	2018/19 Outturn	2019/20 Outturn	Performance Note
KPI 14 Percentage of household waste sent for reuse, recycling and composting (LAA) (Max)	43.87%	50.67%	52.76%	52.82%	44.87%			49.69%		Quarter 4 2019/20 (Estimate) Numerator: 2,789.12 (Recycling and composted) Denominator: 6,216.67 (Total domestic waste arising). These figures are estimated as we are waiting for the figures from Essex County Council.
										
	50.00%	51.00%	51.00%	51.00%	51.00%			53.00%	51.00%	

KPI 15 (b) Percentage of domestic collections of waste and recyclables successfully made on first visit (Max)	99.94%	99.95%	99.96%	99.99%	99.96%	 	99.92%	99.97%	Quarter 4 2019/20 Numerator: 971,641 (Number of successful collections) Denominator: 972,000 (Total number of scheduled collections) =99.96% Good performance by the team and above target. Year End 2019/20 Numerator: 3,796,707 (Number of successful collections) Denominator: 3,798,000 (Total number of scheduled collections)	
										
	99.90%	99.95%	99.95%	99.95%	99.95%		99.90%	99.95%		
PI 34 Residual household waste per household (Kg) (Years) (Min)	ANNUAL PI					N/A		423	401	Year End 2019/20 Numerator: 15,365.75 tonnes (Total household waste to MBT + contamination from MRF) Denominator: 38,329 (Number of domestic properties)
										
								415	410	
PI 40 Number of subscribers to garden waste collection service (Max)	ANNUAL PI							7,192	6,004	Quarter 4 2019/20 Count: 6,004 This is the total number of garden waste subscribers as per Quarter 4. The service was suspended due to COVID-19 which would have inevitably reduced the number of residents signing up to the service. The service has recommenced and it is expected that the number of subscribers will increase during Quarter 1 2020/21.
										
								7,000	8,000	
PI 48 Attainment of 'Green' for Operator Compliance Risk Score (Yes or No)	New PI for 2019/20	Yes	Yes	Yes	Yes	-	N/A	New PI for 2019/20	Yes	Quarter 4 2019/20 & Year End 2019/20 UDC has been approached by the DVSA to apply for the Earned Recognition Scheme for being an Exemplar Operator. The scheme is designed for Heavy Goods Vehicles and Public Service Operators. The benefits of the scheme include – for example - being able to regularly share performance information with DVSA. It will also show our commitment and dedication to maintaining road safety enhancing our reputational standing.
										
		Yes	Yes	Yes	Yes				Yes	

Committee: Governance, Audit and Performance Committee
Title: COVID-19 Performance Indicator Report
Report Author: Oliver Knight, PFI and Performance Officer
OKnight@uttlesford.gov.uk
Date: Tuesday, 2 June 2020

Summary

1. This report presents the outturn for all newly-introduced performance indicators which monitor how COVID-19 is affecting service delivery.
2. Despite pressures imposed on service delivery by the COVID-19 pandemic, outturns for indicators highlight that services are performing well. Comparisons with attainment during Quarter 1 2019/20 and also targeted performance levels for the 2020/21 year (for comparable indicators) support this overview of performance.

Recommendations

3. To note performance of services during the COVID-19 pandemic, as attached in appendices 1 & 2.

Financial Implications

4. Some performance indicators measure services where income has been severely affected due to the COVID-19 pandemic. As such, monitoring their ongoing progress will aid wider budget monitoring processes.

Background Papers

5. None

Impact

- 6.

Communication/Consultation	None
Community Safety	None beyond indicators reporting the work of the Community Shield Hub
Equalities	Any equalities implications arising from this monitoring are assessed and addressed by the Council's Gold and Silver Command.

Health and Safety	Any health and safety implications arising from this monitoring are assessed and addressed by the Council's Gold and Silver Command.
Human Rights/Legal Implications	Any human rights or legal implications arising from this monitoring are assessed and addressed by the Council's Gold and Silver Command.
Sustainability	Any sustainability implications arising from this monitoring are assessed and addressed by the Council's Gold and Silver Command.
Ward-specific impacts	None
Workforce/Workplace	Any workforce or workplace implications arising from this monitoring are addressed and assessment by the Council's Gold and Silver Command.

Situation

7. A new set of performance indicators have been introduced for the 2020/21 performance year in light of the COVID-19 pandemic. These indicators have been introduced to monitor how COVID-19 is affecting service delivery. More broadly, data reported highlights how services are performing during the pandemic.
8. The indicators have been selected through a review of the Daily Situation Reports which are provided by Service Managers to the Council's Gold & Silver Command. These reports identify impacts on normal activities and priority/critical services, alongside detailing longer-term service risks and items that need to be considered from a strategic perspective. As such, these performance indicators measure aspects of service delivery which have been identified as being particularly affected by the pandemic.
9. Whilst many more indicators could be identified, those selected were considered to be the most important to monitor given current circumstances.
10. The indicators cover varying services throughout both the Corporate Services and Public Services directorates. Frequencies of data collection vary; some are monitored weekly or daily, whilst others are monitored on a monthly basis.
11. Before collection commenced, all these identified indicators and their collection frequencies were agreed by the Council's Gold and Silver Command.

12. The format of indicators vary. Whilst some report quantities (e.g. **CV 23** *Number of calls received directly into the Community Shield*), others report year-on-year service comparisons as a percentage (e.g. **CV 10** *Percentage of grounds maintenance activities completed as a year-to-year comparison*). Some indicators also parallel indicators measured within the Council's standard quarterly and annual performance reporting, however for the purposes of this exercise they are monitored and reported more frequently to create more-timely awareness of an indicator's performance status. For example **CV 30** measures the same aspect of service delivery as **KPI 11**, however **CV 30** is monitored weekly whilst **KPI 11** is normally monitored quarterly and annually.
13. No targets have been introduced for these COVID-19 performance indicators; instead they have been established as 'information-only' performance indicators.
14. Whilst accompanying narratives have not been requested from Service Managers, notes have been provided where relevant to contextualise performance, and explain the reasons for monitoring and relevant methods of calculation. Where relevant, comparison to both attainment during Quarter 1 2019/20 and also targeted performance levels for 2020/21 (for comparable indicators) are provided.
15. Short and long term trends are identified for each indicator. Within the front cover of each report, the parameters used to assess these trends are detailed. Whilst these PIs are not measured against specific targets, these trends provide an overview of the performance trajectory for each PI. Graphical and pictorial representations of the data are also provided to aid assessment of data trends.
16. The appendices of this report include the first two reports reporting COVID-19 PI data. Appendix 1 presents data for period 30th March 2020 to 3rd May 2020 providing retrospective data for all COVID 19 performance indicators being monitored. Appendix 2 presents data for period 4th May 2020 to 10th May 2020.
17. Within Appendix 1, data is provided for period 1st April to 3rd May for all daily indicators. For indicators monitored on a weekly basis, data is provided for week commencing 30th March to week commencing 27th April (inclusive). Data is also reported for April 2020 for indicators reported on a monthly basis.
18. Within Appendix 2, Part A presents a summary, highlighting any indicators where a significant movement in outturn has occurred during week commencing 4th May. Part B of the report presents all data for daily and weekly performance indicators for week commencing 4th May. Data within this timeframe is shown in bold in the green cells. Part C presents monthly indicators with relevant contextual performance notes.
19. All data and performance notes included in Appendices A and B have been reviewed by the Council's Gold & Silver Command.

20. Thus far, it is evident from both reports that services are performing well during the current circumstances. The following is drawn to members' attention as being of particular note:
- a.) Weekly data shows sustained improvement in the processing of major, minor and other planning applications within prescribed timeframes.
 - b.) A steady increase is noted in the number of complaints received relating to social distancing and potential premises closure breaches since w/c 20th April.
 - c.) Despite an increased number of applications, the Benefits Team continue to maintain previous high performance levels in the timely assessment of new claims and change events.
 - d.) The number of visits to UDC websites pages relating to COVID-19 continues to fall. Initially pages relating business rates reliefs & grants dominated the weekly count, however during w/c 4th May interests seems to have focused both on COVID-19 testing advice, and also pages showing grant information for charities and groups.
 - e.) Overall the number of calls and emails received directly into the Community Shield hub has reduced. Statistics show that requests for food assistance have declined significantly, however requests for medical assistance (e.g. collection of prescriptions) have remained fairly consistent.

Risk Analysis

21.

Risk	Likelihood	Impact	Mitigating actions
If the performance of services is not monitored during these current unprecedented circumstances, then areas such as customer satisfaction and statutory adherence to government led requirements could be affected leading to a loss in reputation for the Council.	2 – The majority of service areas are performing well, despite pressures on resources. measures	3 – The majority of service areas in the Council are customer-facing.	The newly introduced COVID-19 performance indicators are monitored by the Council's Gold & Silver command. The inclusion of data from previous weeks and months helps to identify trends.

- 1 = Little or no risk or impact
- 2 = Some risk or impact – action may be necessary.
- 3 = Significant risk or impact – action required
- 4 = Near certainty of risk occurring, catastrophic effect or failure of project.

Appendix 1: COVID-19 PI First Report – 30th March 2020 to 3rd May 2020

Appendix 2: COVID-19 PI Second Report – 4th May 2020 to 10th May 2020

COVID-19 Performance Indicators - Appendix 1



Report Timeframe

Start Date	Monday 30 th March 2020
End Date	Sunday 3 rd May 2020

Please note:

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This report contains retrospective data for all performance indicators being monitored to consider the effect of COVID-19 on service delivery.

For indicators where data is recorded monthly, data reported represents attainment during April 2020.

For indicators where data is recorded weekly, data is presented on a weekly basis from Week Commencing 30th March 2020 to Week Commencing 27th April 2020.

All data being reported for the timeframe of this report is shown in green cells.

- ▶ Whilst accompanying narratives have not been requested from Service Managers, notes have been provided where relevant to contextualise performance and explain the reasons for monitoring and relevant methods of calculation.
- ▶ Where relevant, trend arrows have been included in accordance with guidance below. As no targets have been set for these performance indicators, these trends provide an overview of the performance trajectory for each PI. Varying graphs have been included to provide a pictorial representation of performance over time.

Trends

Short Term 	For daily, weekly and monthly data, the short-term trend arrow evaluates the most recent outturn in comparison to the preceding outturn.
Long Term 	For weekly data, the long-term trend arrow evaluates this week's data in comparison to the outturn four weeks ago. For daily data, the long-term trend arrow evaluates the most recent outturn to the same date of the previous month.

Benefits

CV 01 – Time taken to process Housing Benefit/Local Council Tax Support New Claims			
April 2020	May 2020	June 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> Claims received are becoming more complex and therefore taking potentially longer to process. ➤ All CV 01 outturn data is provided in Days. ➤ CV 01 is also monitored as part of UDC’s formal quarterly and annual performance monitoring processes (KPI 06a). For the 2020/21 year, we have targeted 21.0 days as the maximum average for the processing of new claims.
13.38 days			

CV 02 – Time taken to process Housing Benefit/Local Council Tax Support Change Events			
April 2020	May 2020	June 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> Given increasing number of universal credit applications, it is probable there will be more changes to existing Housing Benefit & Local Council Tax Support Claims. ➤ All CV 02 outturn data is provided in Days. ➤ CV 02 is also monitored as part of UDC’s formal quarterly and annual performance monitoring processes (KPI 07b). For 2020/21 we have targeted 7.0 days as the maximum average for the processing of change events.
4.02 days			

Building Control

CV 03 – Number of Building Control site visits completed

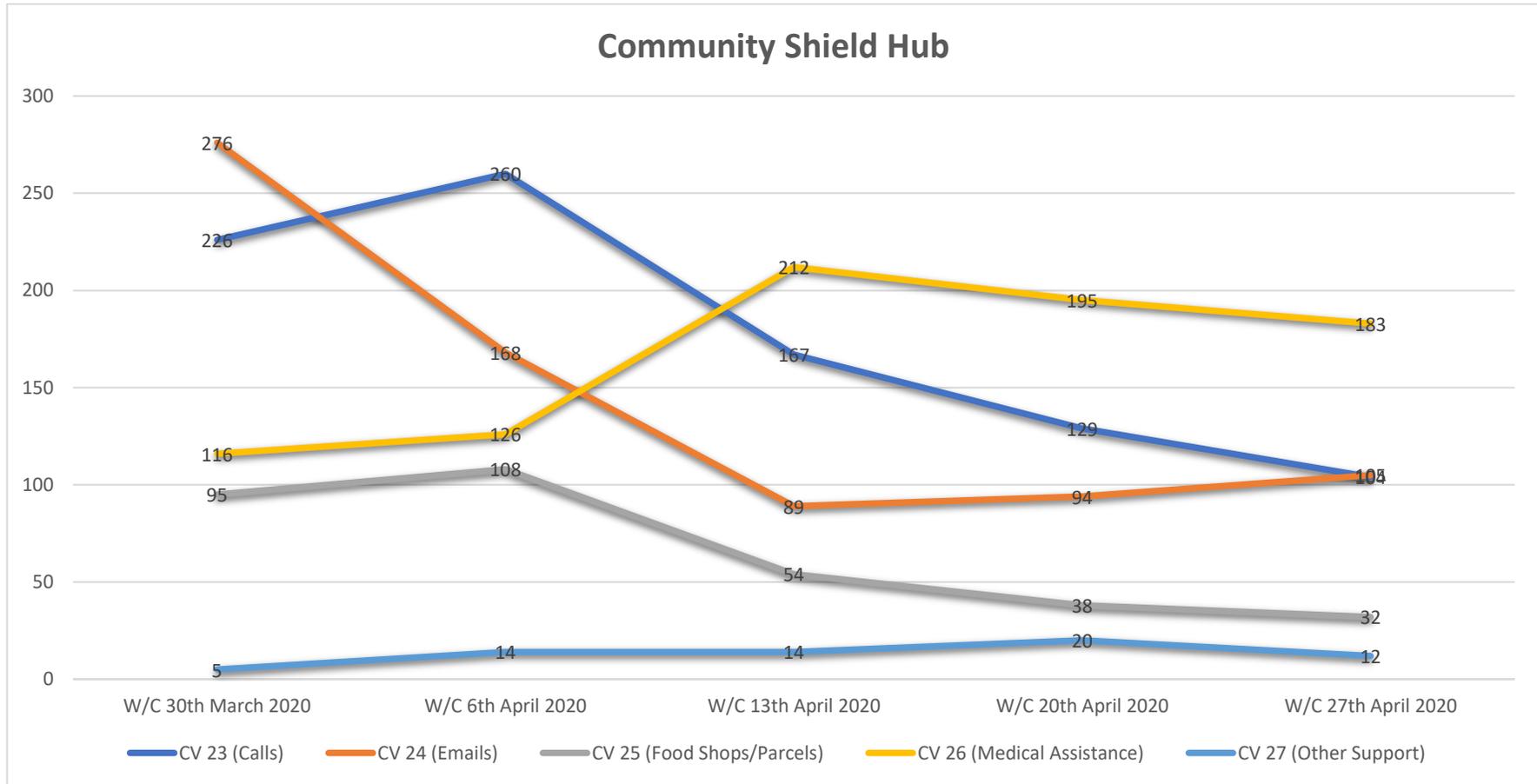
W/C 30 th March 2020	W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	
19 site visits completed	15 site visits completed	30 site visits completed	34 site visits completed	41 site visits completed	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> Building Control's Inspection Service has been greatly reduced in alignment with guidance. ➤ This PI reports the number of site visits completed by the Building Control Service on a weekly basis, to portray the effect of COVID-19 on demand for the service. ➤ For week commencing 27th April 2020, the quantity of inspections completed increased by 21% in comparison to the previous week. It is anticipated that this recent increase in demand for the Building Control service will continue over the coming weeks and months as the construction industry begins to recover. ➤ As a year-on-year comparison, 41 site visits were completed during w/c 27th April 2020; however 67 were completed during comparable week in 2019/20. As such in 2020/21 we completed 61.19%% of the site visits completed during 2019/20. This year-on-year comparison therefore shows that overall demand for the service has reduced in alignment with reduced activity across the construction sector during the COVID-19 pandemic.

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Short Term	↑
Long Term	↑

Communities



CV 23 – Number of calls received directly into the Community Shield hub

W/C 30 th March 2020	W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> Provides an overview of the number of people directly contacting the hub by telephone for support. 	Short Term	
						Long Term	
226	260	167	129	104			

CV 24 – Number of emails received directly into the Community Shield hub

W/C 30 th March 2020	W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> Provides an overview of the number of people directly contacting the hub by email for support. 	Short Term	
						Long Term	
276	168	89	94	105			

CV 25 – Number of unique food shops/parcels delivered (food assistance)

W/C 30 th March 2020	W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> Provides an overview of the number of people requiring food assistance due to the pandemic. 	Short Term	
						Long Term	
95	108	54	38	32			

CV 26 – Number of pharmacy unique collections/deliveries (medical assistance)

W/C 30 th March 2020	W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> Provides an overview of the number of people requiring medical delivery assistance during the pandemic. 				
116	126	212	195	183		<table border="1"> <tr> <td>Short Term</td> <td></td> </tr> <tr> <td>Long Term</td> <td></td> </tr> </table>	Short Term		Long Term
Short Term									
Long Term									

CV 27 – Number of people requiring 'other' support (transport, posting mail, dog walking, gardening)

W/C 30 th March 2020	W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> Provides an overview of the number of people requiring miscellaneous support during the pandemic. 				
5	14	14	20	12		<table border="1"> <tr> <td>Short Term</td> <td></td> </tr> <tr> <td>Long Term</td> <td></td> </tr> </table>	Short Term		Long Term
Short Term									
Long Term									

Customer Services

CV 04 – Calls answered as a percentage of calls received

Week Commencing 1 st April 2020			<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> to ascertain effect of COVID-19 on call volumes. ➤ Outturn values represent the percentage of calls answered by the Customer Services Team as a percentage of total calls received. 				
1 st April 2020	2 nd April 2020	3 rd April 2020					
89%	89%	84%	<table border="1"> <tr> <td>Short Term</td> <td></td> </tr> <tr> <td>Long Term</td> <td></td> </tr> </table>	Short Term		Long Term	
Short Term							
Long Term							

Week Commencing 6 th April 2020				
6 th April 2020	7 th April 2020	8 th April 2020	9 th April 2020	10 th April 2020
92%	89%	90%	93%	N/A
Week Commencing 13 th April 2020				
13 th April 2020	14 th April 2020	15 th April 2020	16 th April 2020	17 th April 2020
N/A	91%	94%	90%	94%
Week Commencing 20 th April 2020				
20 th April 2020	21 st April 2020	22 nd April 2020	23 rd April 2020	24 th April 2020
90%	91%	90%	95%	92%
Week Commencing 27 th April 2020				
27 th April 2020	28 th April 2020	29 th April 2020	30 th April 2020	1 st May 2020
94%	94%	93%	93%	88%

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CV 05 – Calls abandoned as a percentage of calls received.

Week Commencing 1 st April 2020								
1 st April 2020	2 nd April 2020	3 rd April 2020	<ul style="list-style-type: none"> ➤ Reason for monitoring: to ascertain effect of COVID-19 on call volumes. ➤ CV 05 is also monitored as part of UDC's formal quarterly and annual performance monitoring processes (CS 08). For 2020/21 we have targeted 5% as maximum abandoned of total calls. <table border="1" style="float: right; margin-top: 10px;"> <tr> <td>Short Term</td> <td style="text-align: center;">↑</td> </tr> <tr> <td>Long Term</td> <td style="text-align: center;">↑</td> </tr> </table>		Short Term	↑	Long Term	↑
Short Term	↑							
Long Term	↑							
11%	11%	20%						
Week Commencing 6 th April 2020								
6 th April 2020	7 th April 2020	8 th April 2020	9 th April 2020	10 th April 2020				
9%	12%	10%	7%	N/A				
Week Commencing 13 th April 2020								

13 th April 2020	14 th April 2020	15 th April 2020	16 th April 2020	17 th April 2020
N/A	9%	6%	10%	6%
Week Commencing 20 th April 2020				
20 th April 2020	21 st April 2020	22 nd April 2020	23 rd April 2020	24 th April 2020
10%	9%	10%	5%	8%
Week Commencing 27 th April 2020				
27 th April 2020	28 th April 2020	29 th April 2020	30 th April 2020	1 st May 2020
6%	6%	6%	7%	12%

CV 06 – Number of out-of-hours calls received (excluding Housing Repairs)

Page 65	Week Commencing 1 st April 2020								
	1 st April 2020	2 nd April 2020	3 rd April 2020	<ul style="list-style-type: none"> ➤ Reason for monitoring: to understand use of out-of-hours service during the pandemic. ➤ Outturn values report the total of all out-of-hours calls for all services, apart from Housing Repairs. 	<table border="1"> <tr> <td>Short Term</td> <td></td> </tr> <tr> <td>Long Term</td> <td></td> </tr> </table>	Short Term		Long Term	
	Short Term								
Long Term									
0	0	0							
Week Commencing 6 th April 2020									
6 th April 2020	7 th April 2020	8 th April 2020	9 th April 2020	10 th , 11 th , April 2020					
0	0	0	0	2					
Week Commencing 13 th April 2020									
13 th April 2020	14 th April 2020	15 th April 2020	16 th April 2020	17 th , 18 th , 19 th April 2020					
0	0	1	0	0					
Week Commencing 20 th April 2020									
20 th April 2020	21 st April 2020	22 nd April 2020	23 rd April 2020	24 th , 25 th , 26 th April 2020					

1	0	0	1	1
Week Commencing 27 th April 2020				
27 th April 2020	28 th April 2020	29 th April 2020	30 th April 2020	1 st , 2 nd May, 3 rd 2020
0	1	0	0	6

CV 07 – Number of emails received into Uconnect & Waste Aware email boxes

Week Commencing 1 st April 2020				
1 st April 2020	2 nd April 2020	3 rd April 2020	<ul style="list-style-type: none"> ➤ Reason for monitoring: To ascertain effect of COVID-19 on email queries. ➤ Outturn values represent total of all emails received to UConnect & WasteAware email box relating to all service areas. 	Short Term 
89	83	62		Long Term 
Week Commencing 6 th April 2020				
6 th April 2020	7 th April 2020	8 th April 2020	9 th April 2020	10 th April 2020
75	68	136	38	N/A
Week Commencing 13 th April 2020				
13 th April 2020	14 th April 2020	15 th April 2020	16 th April 2020	17 th April 2020
N/A	111	114	151	113
Week Commencing 20 th April 2020				
20 th April 2020	21 st April 2020	22 nd April 2020	23 rd April 2020	24 th April 2020
242	97	110	106	89
Week Commencing 27 th April 2020				
27 th April 2020	28 th April 2020	29 th April 2020	30 th April 2020	1 st May 2020
183	86	101	79	92

CV 08 – Percentage of payments received via ATP or website

Week Commencing 1st April 2020

1 st April 2020	2 nd April 2020	3 rd April 2020	<ul style="list-style-type: none"> ➤ Reason for monitoring: to comprehend the use of ATP and online payments through the website. ➤ Outturn values demonstrate the percentage of cashiering payments processed through ATP or online through the website. These two methods are promoted through the new telephone message process and structure. 	Short Term	
				Long Term	
72%	38%	39%			

Week Commencing 6th April 2020

6 th April 2020	7 th April 2020	8 th April 2020	9 th April 2020	10 th April 2020
69%	60%	12%	29%	N/A

Week Commencing 13th April 2020

13 th April 2020	14 th April 2020	15 th April 2020	16 th April 2020	17 th April 2020
N/A	72%	71%	20%	26%

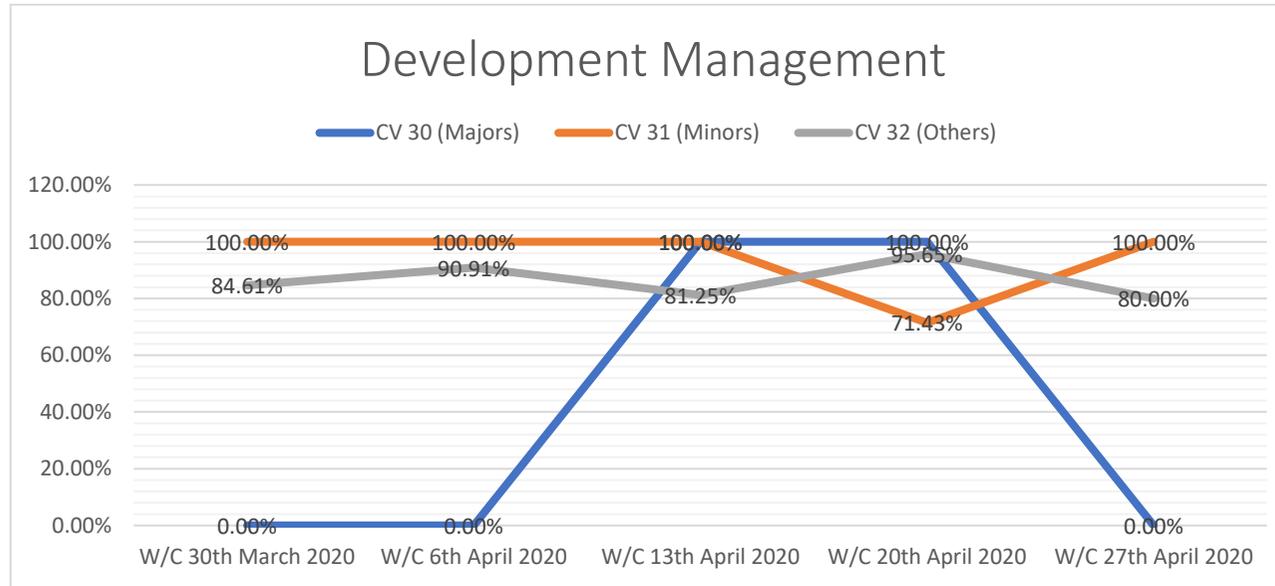
Week Commencing 20th April 2020

20 th April 2020	21 st April 2020	22 nd April 2020	23 rd April 2020	24 th April 2020
50%	25%	24%	24%	39%

Week Commencing 27th April 2020

27 th April 2020	28 th April 2020	29 th April 2020	30 th April 2020	1 st May 2020
48%	26%	40%	68%	46%

Development Management



CV 30 – Processing of Planning Applications: Major Applications (within 13 weeks or including any agreed extension of time)

W/C 30 th March 2020	W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	<ul style="list-style-type: none"> ➤ Reason for monitoring: To assess the impact of the pandemic on authority's ability to process planning applications to required timescales. ➤ CV 30 is also monitored as part of UDC's formal quarterly and annual performance monitoring processes (KPI 11). For the 2020/21 year, we have targeted to process a minimum of 60.00% of applications within 13 weeks, or including any agreed extension of time. 				
No applications processed	No applications processed	100.00%	100.00%	No applications processed		<table border="1"> <tr> <td>Short Term</td> <td>N/A</td> </tr> <tr> <td>Long Term</td> <td>N/A</td> </tr> </table>	Short Term	N/A	Long Term
Short Term	N/A								
Long Term	N/A								

CV 31 – Processing of Planning Applications: Minor applications (within 8 weeks or including any agreed extension of time)

W/C 30 th March 2020	W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	<ul style="list-style-type: none"> ➤ Reason for monitoring: To assess the impact of the pandemic on authority's ability to process planning applications to required timescales. ➤ CV 31 is also monitored as part of UDC's formal quarterly and annual performance monitoring processes (KPI 12). For the 2020/21 year, we have targeted to process a minimum of 75.00% of applications within 8 weeks, or including any agreed extension of time. 	Short Term	
100.00%	100.00%	100.00%	71.43%	100.00%		Long Term	

CV 32 – Processing of Planning Applications: Other applications (within 8 weeks or including any agreed extension of time)

W/C 30 th March 2020	W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	<ul style="list-style-type: none"> ➤ Reason for monitoring: To assess the impact of the pandemic on authority's ability to process planning applications to required timescales. ➤ CV 32 is also monitored as part of UDC's formal quarterly and annual performance monitoring processes (KPI 13). For the 2020/21 year, we have targeted to process a minimum of 82.00% of applications within 8 weeks, or including any agreed extension of time. 	Short Term	
84.61%	90.91%	81.25%	95.65%	80.00%		Long Term	

Economic Development

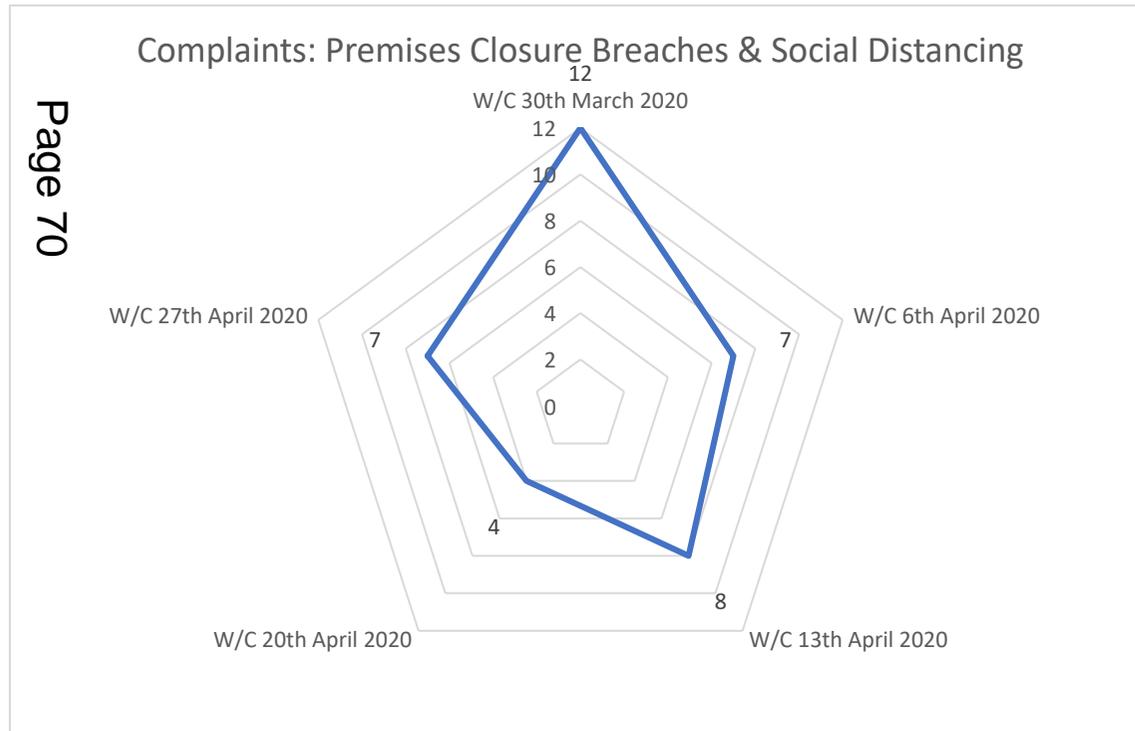
CV 29 – Percentage reduction in car parking income year-on-year

April 2020	May 2020	June 2020	<ul style="list-style-type: none"> ➤ Reason for monitoring: Assess impact of pandemic on authority's share of car park income through NEPP – and highlight potential budgetary implications. ➤ All outturn data is provided as a percentage.
TBC			

Environmental Health (Commercial)

CV 09 – Number of enquiries/complaints received regarding potential premises closures breaches, and social distancing

W/C 30 th March 2020	W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	
12	7	8	4	7	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> to ascertain compliance across the district with government guidance relating to closure of restaurants/pubs and also social distancing. ➤ The outturn represents total of complaints received; including those relating to social distancing, and those relating to premises closure breaches.



Short Term	↑
Long Term	↓

Finance

CV 12 – Average time (Days) to pay supplier invoices

W/C 30 th March 2020	W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> to indicate compliance with the Cabinet Office’s guidance to pay suppliers as quickly as possible during the pandemic. ➤ CV 12 is also monitored as part of UDC’s formal quarterly and annual performance monitoring processes (PI 02). To achieve target at the end of Quarter 1 2020/21, the average time to pay suppliers must be below 11.0 days. ➤ Note – Due to both payment runs and reporting restrictions, data for this indicator is not available until the following week. 	Short Term	↓
						Long Term	↑
7.4 days	9.5 days	7.3 days	7.1 days	8.1 days			

Housing Strategy & Operations

CV 13 – Number of people making homelessness approaches

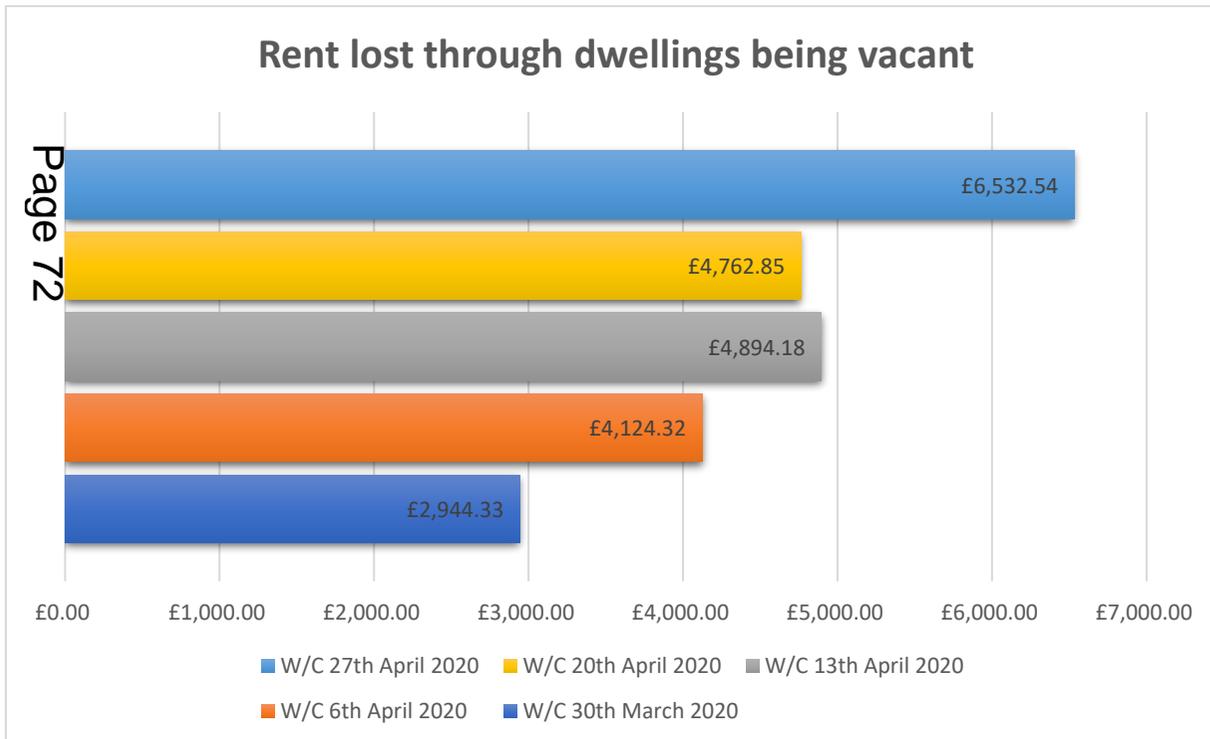
W/C 30 th March 2020	W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> People who are homeless may find it more difficult to self-isolate and therefore may be more at risk from COVID-19. ➤ CV 13 is also monitored as part of UDC’s formal quarterly and annual performance monitoring processes (HSG 44a). To achieve target at the end of Quarter 1 2020/21, we would need to receive less than 35 homelessness approaches. 	Short Term	↑
						Long Term	TBC
TBC	9	11	14	15			

CV 14 – Number of people registered on HomeOptions

April 2020	May 2020	June 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> Freesheets on HomeOption have been suspended as we have suspended the allocation of voids until property sign-ups can recommence and voids turned around.
1,034			

CV 15 – Rent lost on voids available to let (excluding development opportunities)

W/C 30 th March 2020	W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	
£2,944.33	£4,124.32	£4,894.18	£4,762.85	£6,532.54	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> This performance indicator is intended to quantify the amount of rent lost for properties which are vacant. During the COVID-19 pandemic, all property letting has been suspended until property sign-ups can recommence and voids turned around. ➤ For the purposes of clarity, properties which are part of UDC's development programme are not included in this calculation.

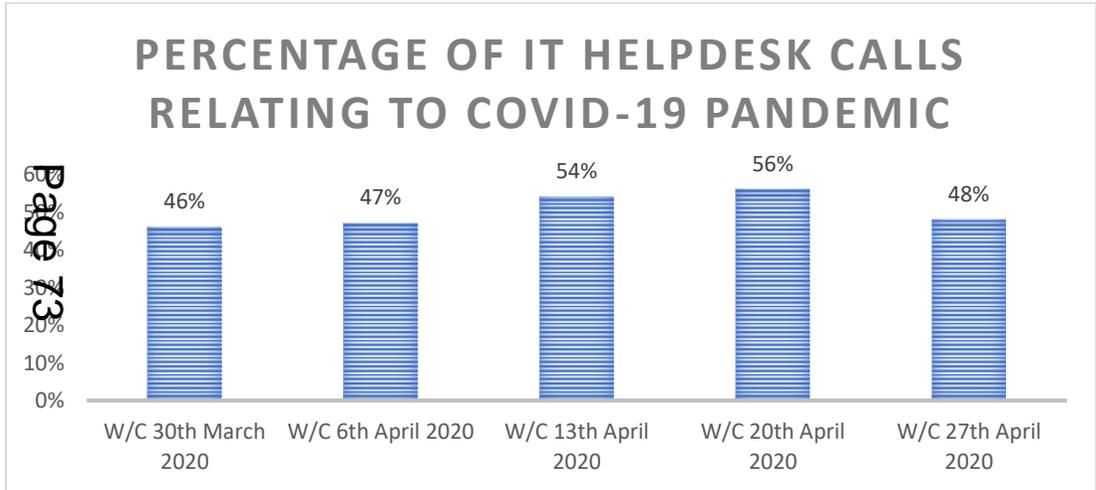


Short Term	↑
Long Term	↑

Information Communication Technology

CV 16 – Percentage of IT Helpdesk Calls which relate to the COVID-19 pandemic

W/C 30 th March 2020	W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	
46% (53 calls)	47% (57 calls)	54% (62 calls)	56% (90 calls)	48% (84 calls)	<ul style="list-style-type: none"> ➤ Reason for monitoring: to consider the impact on IT helpdesk service. ➤ To clarify, outturn values here represent the percentage of helpdesk calls raised which relate to the COVID-19 pandemic, (e.g. due to change in working arrangements, processes and procedures).



Short Term	↓
Long Term	↑

Revenues

CV 17 - Percentage of non-domestic rates collected

April 2020	May 2020	June 2020	
4.39%			<ul style="list-style-type: none"> ➤ Reason for monitoring: To ascertain how the COVID-19 is affecting UDC's high collection rates. ➤ CV 17 is also monitored as part of UDC's formal quarterly and annual performance monitoring processes (KPI 03). By the end of Quarter 1 2020/20, we have targeted to collect at least 29.60% of the annual total.

CV 18 – Percentage of council tax collected

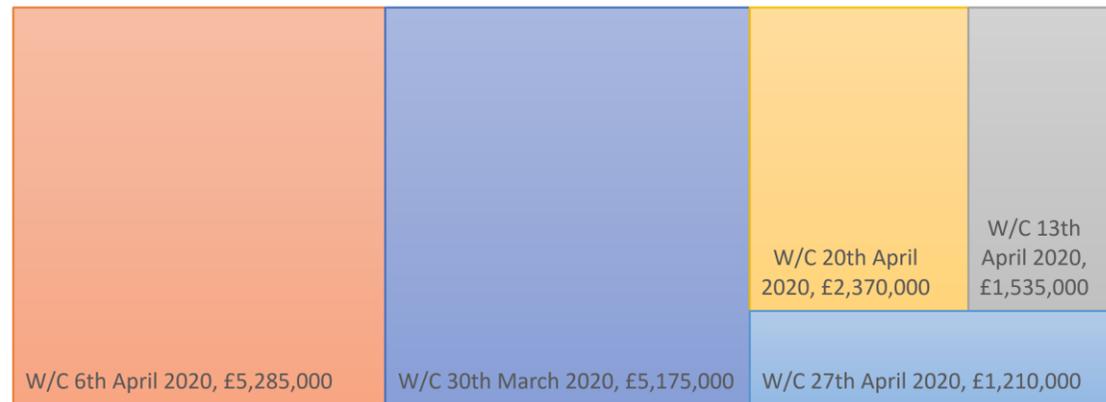
April 2020	May 2020	June 2020	<ul style="list-style-type: none"> ➤ Reason for monitoring: To ascertain how COVID-19 is affecting UDC's high collection rates. ➤ CV 18 is also monitored as part of UDC's formal quarterly and annual performance monitoring processes (KPI 05). By the end of Quarter 1 2020/20, we have targeted to collect at least 29.60% of the annual total.
10.35%			

CV 19 – Amount paid in Business Rate Reliefs & Grants

W/C 30 th March 2020	W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	<ul style="list-style-type: none"> ➤ Reason for monitoring: To ascertain the value of relief granted by UDC to businesses in alignment with government guidance.
£5,175,000	£5,285,000	£1,535,000	£2,370,000	£1,210,000	

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Amount Paid in Business Rate Reliefs & Grants



Short Term	↓
Long Term	↓

CV 20 – Percentage of sundry debtor income overdue

April 2020	May 2020	June 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> To ascertain effect of COVID-19 on debtors' ability to pay. ➤ CV 20 is also monitored as part of UDC's formal quarterly and annual performance monitoring processes (PI 03). For 2020/21, we have targeted that a maximum of 4.0% of sundry income be overdue.
2.40%			

CV 21 – Local Council Tax Support Collection Rate

April 2020	May 2020	June 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> As deductions from DWP have been suspended for 3 months, it is possible that council tax collection rates for LCTS claimants may be affected. ➤ CV 21 is also monitored as part of UDC's formal quarterly and annual performance monitoring processes (KPI 17). By the end of Quarter 1 2020/20, we have targeted to collect 25.00% of the annual total.
8.84%			

CV 28 – Rent Collected as a Percentage of Rent Owed (excluding arrears b/f)

April 2020	May 2020	June 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> Measures the effectiveness and efficiency of rent collection service, and identifies the impact of the pandemic on collection. ➤ CV 28 is also monitored as part of UDC's formal quarterly and annual performance monitoring processes (RB 02). For 2020/21 we have targeted that rent collected should be a minimum of 99.5% of rent owed.
97.24%			

Street Services

CV 10 – Percentage of grounds maintenance activities completed (year-to-year comparison)

April 2020	May 2020	June 2020	<ul style="list-style-type: none"> ➤ Reason for monitoring: we are current operating a reduced grounds maintenance service. ➤ Outturn values represent a year-on-year comparison. Works orders, sheltered housing visits, welfare gardens and circuits of the rural grass cutting route are included here as activities. During April 2019, 19 activities were completed whilst in April 2020 only 5 activities were completed. Comparatively, the quantity of activities undertaken in April 2020 therefore represents 26% of the quantity undertaken in April 2019.
26%			

CV 11 – Percentage of collections of waste and recyclables successfully made on first visit

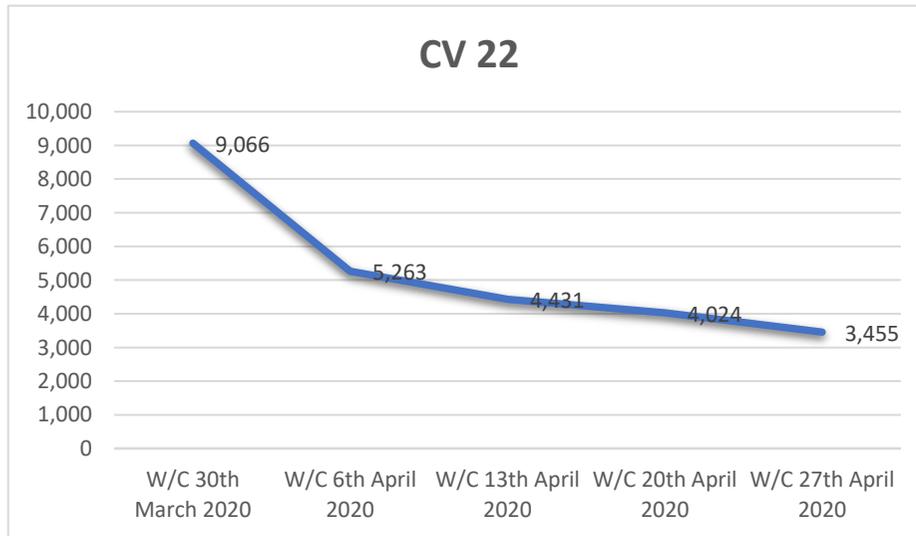
W/C 30 th March 2020	W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	<ul style="list-style-type: none"> ➤ Reason for monitoring: to ascertain the effect of COVID-19 on both service provision and crews. ➤ CV 11 is also monitored as part of UDC’s formal quarterly and annual performance monitoring processes (KPI 15b). To achieve target at the end of Quarter 1 2020/21, the minimum outturn should be 99.95%. ➤ For the purposes of monitoring, this data also includes garden waste.
<p><i>We are unable to report data for this particular PI until Week Commencing 4th May 2020. A decision was taken to not return to collect missed bins due to the pressures on resources during the COVID-19 pandemic. As such, missed bins were not logged by the Customer Services Centre, or Street Services team. As of Monday 4th May 2020, tickets are now being logged so therefore data can be provided.</i></p>					

Website & Consultation

CV 22 – Number of visits to UDC website pages with Coronavirus information from all devices

W/C 30 th March 2020	W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	
9,066 <i>(Service Updates and small business grants pages most popular)</i>	5,263 <i>(Small business grants most visited)</i>	4,431 <i>(Business Support Pages steady traffic, waste & dog walking guidance popular)</i>	4,024 <i>(Service Updates most visited; followed by walking & cycling information)</i>	3,455 <i>(Business Information mainly; voluntary/arts sectors & grant schemes gaining traffic).</i>	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> Provides an overarching impression of public engagement with UDC via the website during the COVID 19 pandemic. ➤ Outturn data provides the number of visits to UDC's coronavirus pages from all devices. Pages included in the calculation are ones which contain substantial coronavirus content. Alongside these quantities, text in italics cites the most-visited pages.

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Short Term	↓
Long Term	↓

COVID 19 Performance Indicators - Appendix 2



Report Timeframe

Start Date	Monday 4 th May 2020
End Date	Sunday 10 th May 2020

Please note:

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- Part A provides a weekly overview, highlighting any indicators where a significant movement in outturn has occurred during week commencing 4th May 2020.
- Part B of this report contains data for all performance indicators being monitored to consider the effect of COVID-19 on service delivery for the period week commencing 4th May 2020. Data within this timeframe is shown in bold in the green cells. Four previous weeks' of data is provided purely for comparison purposes. For reference, all monthly indicators where there is no new data to report are shown in Part C of this report.
- Whilst accompanying narratives have not been requested from Service Managers, notes have been provided where relevant to contextualise performance and explain the reasons for monitoring and relevant methods of calculation.
- Where relevant, trend arrows have been included in accordance with guidance below. As no targets have been set for these performance indicators, these trends provide an overview of the performance trajectory for each PI. Graphs have been included where relevant to provide a pictorial representation of performance over time.

Trends

<p>Short Term</p>	<p>For daily and weekly data, the short-term trend arrow evaluates the most recent outturn in comparison to the preceding outturn.</p>
<p>Long Term</p>	<p>For weekly data, the long-term trend arrow evaluates this week's data in comparison to the outturn four weeks ago. For daily data, the long-term trend arrow evaluates the most recent outturn to the same date of the previous month.</p>

Part A – Weekly Performance Overview

- **CV 08** - Despite increases during w/c 20th April and w/c 27th April, data for w/c 4th May shows a decrease in amount of emails received to the Uconnect & WasteAware email boxes.
- Weekly data for **CV 30, CV 31 & CV 32** shows sustained improvement in the processing of major, minor and other planning applications within the prescribed timeframes.
- **CV 09** – A steady increase is noted in the number of complaints received relating to social distancing and potential premises closure breaches since w/c 20th April.
- **CV 13** - A drastic decrease in the amount of people making homelessness approaches is evident during w/c 4th May in comparison to previous weeks.
- **CV 19** – The amount paid in business rates reliefs and grants continues to reduce since the second peak during w/c 20th April.
- **CV 22** – The number of visits to UDC website pages relating to COVID-19 continues to fall. During w/c 4th May, interest seems to have focused both upon COVID-19 testing advice, and also pages showing grant information for charities and voluntary groups.
- **CV 23 & CV 24** – Statistics for w/c 4th May show that the number of calls and emails received by the Community Shield Hub are reducing.

Part B – Data for Week Commencing 4th May 2020

Building Control

CV 03 – Number of Building Control site visits completed

W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	W/C 4 th May 2020	
15 site visits completed	30 site visits completed	34 site visits completed	41 site visits completed	50 site visits completed	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> Building Control's Inspection Service has been greatly reduced in alignment with guidance. ➤ This PI reports the number of site visits completed by the Building Control Service on a weekly basis, to portray the effect of COVID-19 on demand for the service. ➤ For week commencing 4th May 2020, the quantity of inspections completed increased by 22% in comparison to the previous week. It is anticipated that this recent increase in demand for the Building Control service will continue over the coming weeks and months as the construction industry begins to recover. ➤ As a year-on-year comparison, 50 site visits were completed during w/c 4th May 2020; however 100 were completed during comparable week in 2019/20. As such in 2020/21 we completed 50.00% of the site visits completed during 2019/20. A year-on-year comparison shows that overall demand for the service has reduced in alignment with reduced activity across the construction sector during the COVID-19 pandemic.

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Short Term



Long Term



Communities

CV 23 – Number of calls received directly into the Community Shield hub

W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	W/C 4 th May 2020	➤ <i>Reason for monitoring:</i> Provides an overview of the number of people directly contacting the hub by telephone for support.	Short Term	
260	167	129	104	94		Long Term	

CV 24 – Number of emails received directly into the Community Shield hub

W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	W/C 4 th May 2020	➤ <i>Reason for monitoring:</i> Provides an overview of the number of people directly contacting the hub by email for support.	Short Term	
168	89	94	105	22		Long Term	

CV 25 – Number of unique food shops/parcels delivered (food assistance)

W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	W/C 4 th May 2020	➤ <i>Reason for monitoring:</i> Provides an overview of the number of people requiring food assistance due to the pandemic.	Short Term	
107	54	38	32	19		Long Term	

CV 26 – Number of pharmacy unique collections/deliveries (medical assistance)

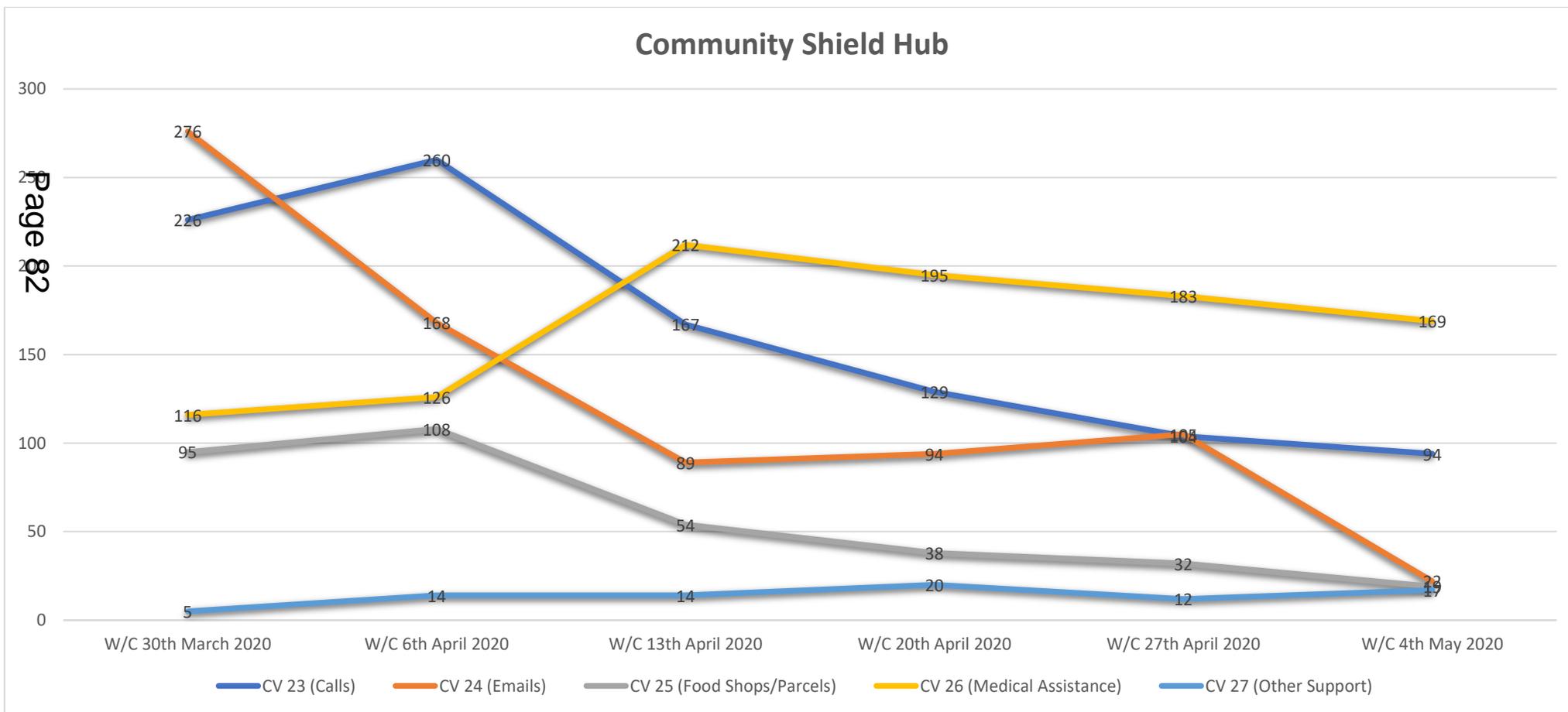
W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	W/C 4 th May 2020	➤ <i>Reason for monitoring:</i> Provides an overview of the number of people requiring medical delivery assistance during the pandemic.	Short Term	
126	212	195	183	169		Long Term	

CV 27 – Number of people requiring 'other' support (transport, posting mail, dog walking, gardening)

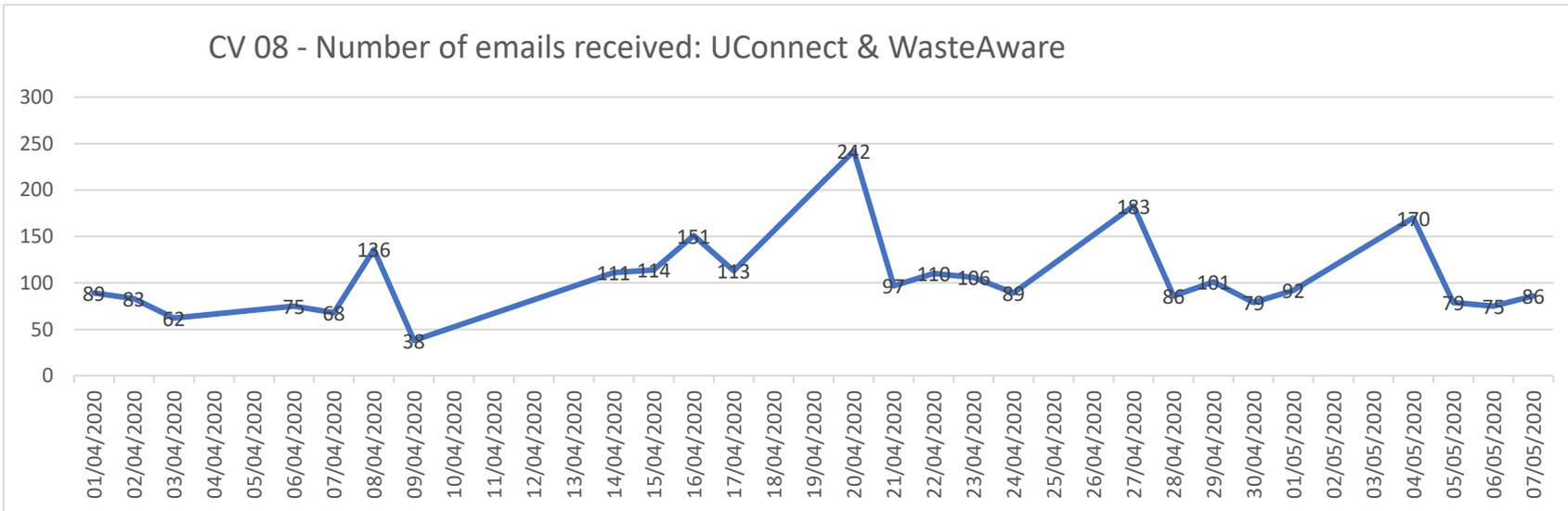
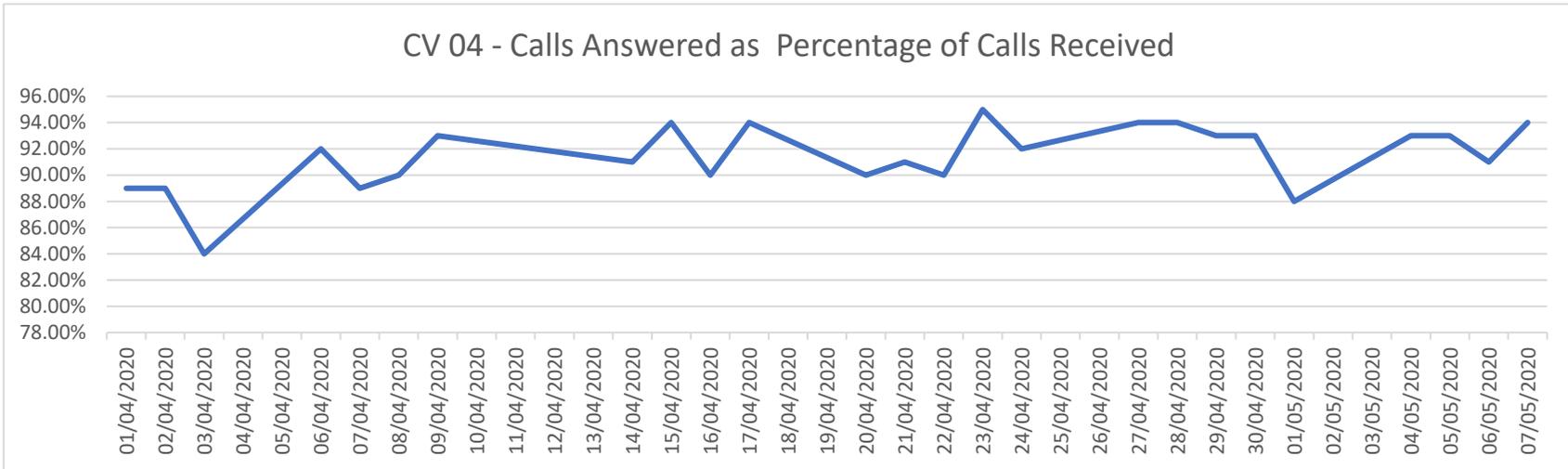
W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	W/C 4 th May 2020	➤ Reason for monitoring: Provides an overview of the number of people requiring miscellaneous support during the pandemic.
14	14	20	12	17	

Short Term	↑
Long Term	↑

Community Shield Hub



Customer Services



CV 04 – Calls answered as a percentage of calls received

4 th May 2020	5 th May 2020	6 th May 2020	7 th May 2020	8 th May 2020	<ul style="list-style-type: none"> ➤ Reason for monitoring: to ascertain effect of COVID-19 on call volumes. ➤ Outturn values represent the percentage of calls answered by the Customer Services Team as a percentage of total calls received. ➤ During Quarter 1 2019/20, 26,445 were answered out of 27,390 calls received, equating to 96.55% of calls answered. 	Short Term	
						Long Term	
93%	93%	91%	94%	N/A			

CV 05 – Calls abandoned as a percentage of calls received.

4 th May 2020	5 th May 2020	6 th May 2020	7 th May 2020	8 th May 2020	<ul style="list-style-type: none"> ➤ Reason for monitoring: to ascertain effect of COVID-19 on call volumes. ➤ CV 05 is also monitored as part of UDC's formal quarterly and annual performance monitoring processes (CS 08). For 2020/21 we have targeted 5% as maximum abandoned of total calls. During Quarter 1 2019/20, 945 calls were abandoned out of a total of 27,390 received (equating to 3.45%). 	Short Term	
						Long Term	
7%	7%	9%	6%	N/A			

CV 06 – Number of Out-Of-Hours Calls Received (excluding Housing Repairs)

4 th May 2020	5 th May 2020	6 th May 2020	7 th May 2020	8 th May 2020	9 th May 2020	10 th May 2020	<ul style="list-style-type: none"> ➤ Reason for monitoring: to understand use of out-of-hours service during the pandemic. ➤ Outturn values report the total of all out-of-hours calls for all services, apart from Housing Repairs. 	Short Term	
								Long Term	
1	0	0	0	3	2	1			

CV 07 – Number of emails received into UConnect & WasteAware email boxes

4 th May 2020	5 th May 2020	6 th May 2020	7 th May 2020	8 th May 2020	<ul style="list-style-type: none"> ➤ Reason for monitoring: To ascertain effect of COVID 19 on email queries. ➤ Outturn values represent total of all emails received to Uconnect & WasteAware email boxes relating to all service areas. 	Short Term	↑
						Long Term	↑
170	79	75	86	N/A			

CV 08 – Percentage of payments received via ATP or website

4 th May 2020	5 th May 2020	6 th May 2020	7 th May 2020	8 th May 2020	<ul style="list-style-type: none"> ➤ Reason for monitoring: to comprehend the use of ATP and online payments through the website. ➤ Outturn values demonstrate the percentage of cashiering payments processed through ATP or online through the website. These two methods are promoted through the new telephone message process and structure. 	Short Term	↑
						Long Term	↓
68%	33%	23%	55%	N/A			

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Development Management

CV 30 – Processing of Planning Applications: Major Applications (within 13 weeks or including any agreed extension of time)

W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	W/C 4 th May 2020	<ul style="list-style-type: none"> ➤ Reason for monitoring: To assess the impact of the pandemic on authority's ability to process planning applications to required timescales. ➤ CV 30 is also monitored as part of UDC's formal quarterly and annual performance monitoring processes (KPI 11). ➤ For week commencing 4th May 2020, no major applications were due a decision. Since 1st April 2020, 3 applications should have been decided, of which 3 were in time (100%). During Quarter 1 2019/20, 8 out of 11 (73%) applications were decided within time. 	Short Term	N/A
						Long Term	N/A
No applications processed	100.00%	100.00%	No applications processed	No applications processed			

CV 31 – Processing of Planning Applications: Minor applications (within 8 weeks or including any agreed extension of time)

W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	W/C 4 th May 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> To assess the impact of the pandemic on authority's ability to process planning applications to required timescales. ➤ CV 31 is also monitored as part of UDC's formal quarterly and annual performance monitoring processes (KPI 12). ➤ For week commencing 4th May 2020, 4 out of 5 applications were decided in time. Since 1st April 2020, 34 applications should have been decided, of which 31 were in time (91%). During Quarter 1 2019/20, 92 out of 150 (61%) applications were decided within time. 	Short Term	
						Long Term	
100.00%	100.00%	71.43%	100.00%	80.00%			

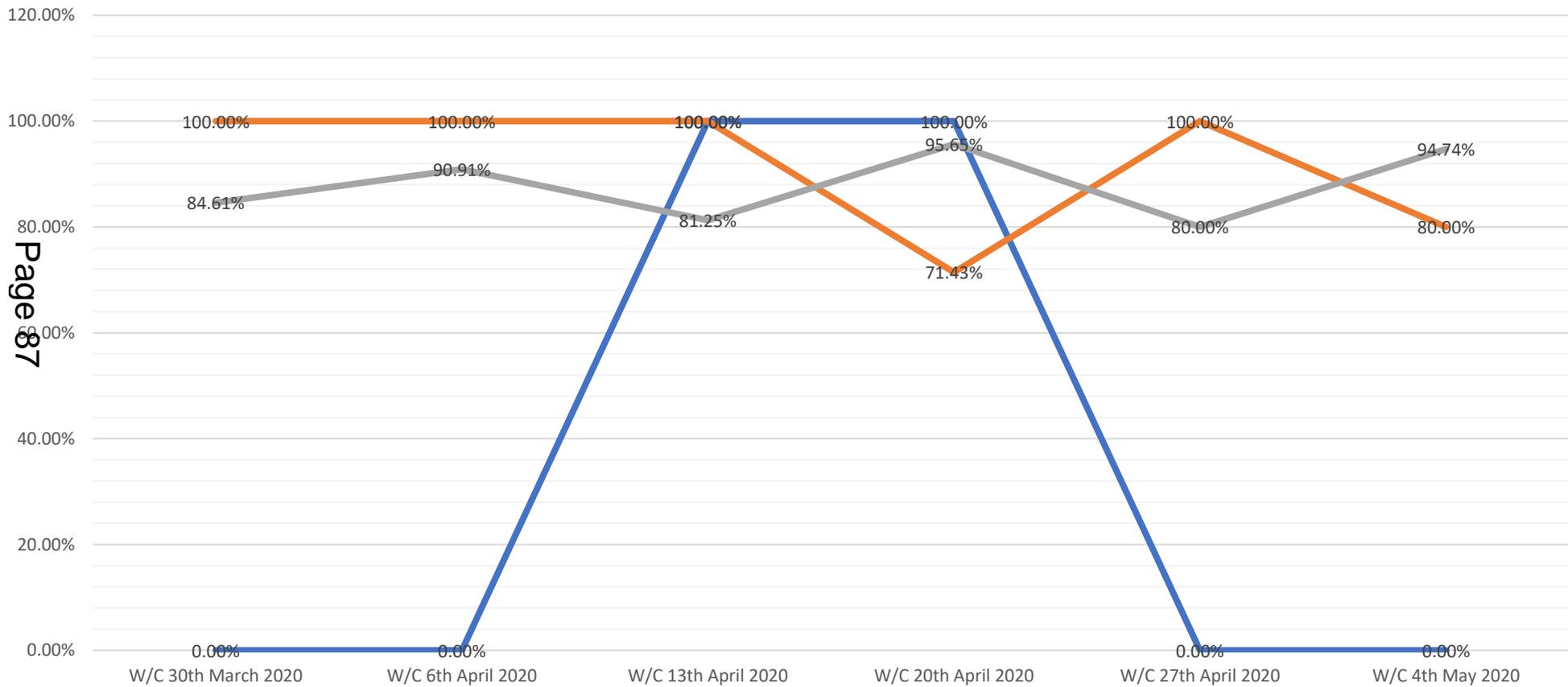
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CV 32 – Processing of Planning Applications: Other applications (within 8 weeks or including any agreed extension of time)

W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	W/C 4 th May 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> To assess the impact of the pandemic on authority's ability to process planning applications to required timescales. ➤ CV 32 is also monitored as part of UDC's formal quarterly and annual performance monitoring processes (KPI 13). ➤ For week commencing 4th May 2020, 18 out of 19 applications were decided in time. Since 1st April 2020, 118 applications should have been decided, of which 104 were in time (88%). During Quarter 1 2019/20, 271 out of 319 (85%) were decided within time. 	Short Term	
						Long Term	
90.91%	81.25%	95.65%	80.00%	94.74%			

Processing of Planning Applications

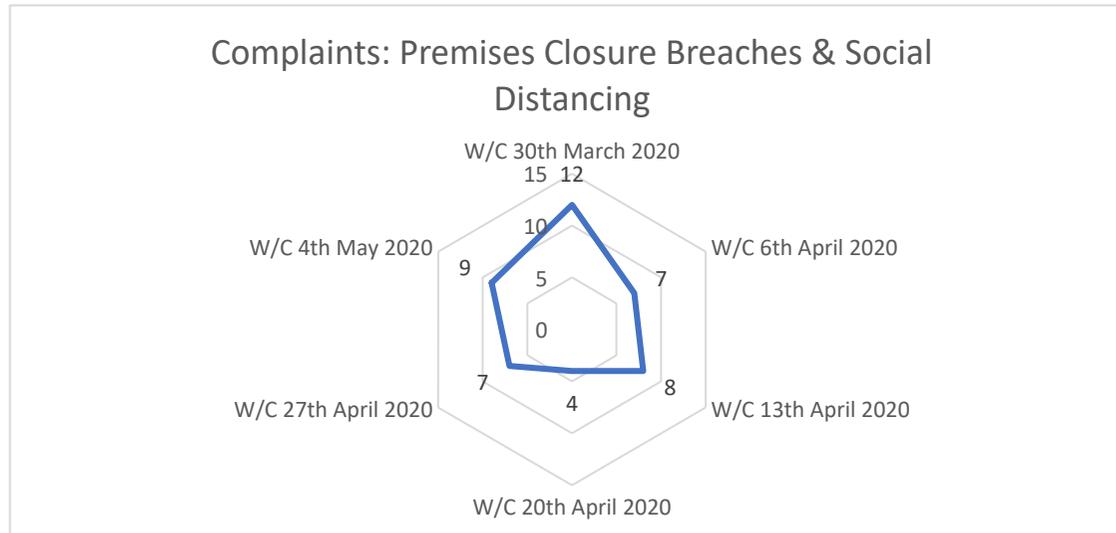
CV 30 (Majors) CV 31 (Minors) CV 32 (Others)



Environmental Health (Commercial)

CV 09 – Number of enquiries/complaints received regarding potential premises closures breaches, and social distancing

W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	W/C 4 th May 2020	<ul style="list-style-type: none"> ➤ Reason for monitoring: to ascertain compliance across the district with government guidance relating to closure of restaurants/pubs and also social distancing. ➤ The outturn represents total of complaints received; including those relating to social distancing, and those relating to premises closure breaches. 	Short Term	↑
7	8	4	7	9			Long Term



Finance

CV 12 – Average time (Days) to pay supplier invoices

W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	W/C 4 th May 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> to indicate compliance with the Cabinet Office’s guidance to pay suppliers as quickly as possible during the pandemic. ➤ CV 12 is also monitored as part of UDC’s formal quarterly and annual performance monitoring processes (PI 02). ➤ For week commencing 4th May 2020, numerator was 918 (number of days), and denominator 114 (number of invoices paid); averaging at 8.1 days per invoice. During Quarter 1 2019/20, the average time to pay invoices was 6.1 days. As such, current outturns represent a slight increase in payment time. ➤ Note – Due to both payment runs and reporting restrictions, data for this indicator is not available until the following week. 	Short Term	
							Long Term
9.5 days	7.3 days	7.1 days	8.1 days	TBC			

Housing Strategy & Operations

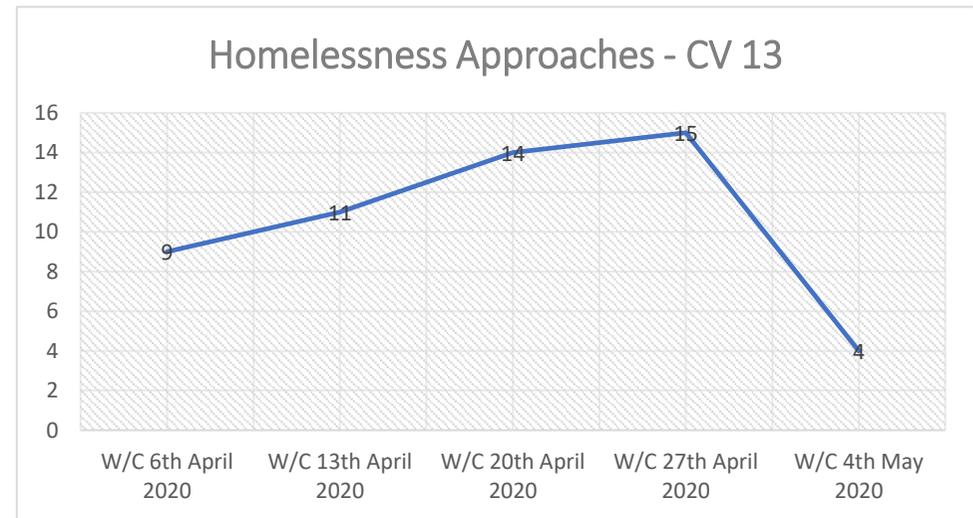
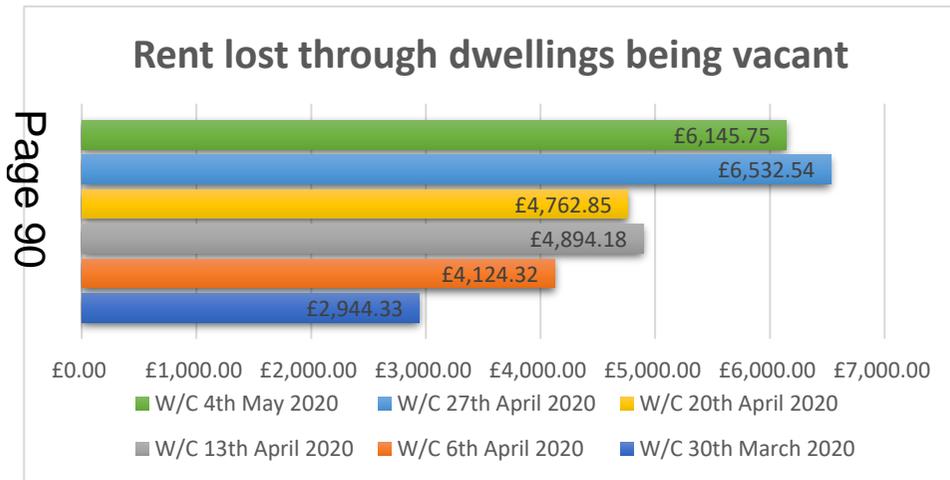
CV 13 – Number of people making homelessness approaches

W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	W/C 4 th May 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> People who are homeless may find it more difficult to self-isolate and therefore may be more at risk from COVID-19. ➤ CV 13 is also monitored as part of UDC’s formal quarterly and annual performance monitoring processes (HSG 44a). Since week commencing 30th March, 53 people have made homelessness approaches. Given that during Quarter 1 2019/20 we received a total of 59 homeless approaches, a significant increase in homelessness approaches is therefore already evident during Quarter 1 2020/21. 	Short Term	
							Long Term
9	11	14	15	4			

CV 15 – Rent lost on voids available to let (excluding development opportunities)

W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	W/C 4 th May 2020	<ul style="list-style-type: none"> ➤ Reason for monitoring: This performance indicator is intended to quantify the amount of rent lost for properties which are vacant. During the COVID-19 pandemic, all property letting has been suspended until property sign-ups can recommence and voids turned around. ➤ For the purposes of clarity, properties which are part of UDC's development programme are not included in this calculation.
£4,124.32	£4,894.18	£4,762.85	£6,532.54	£6,145.75	

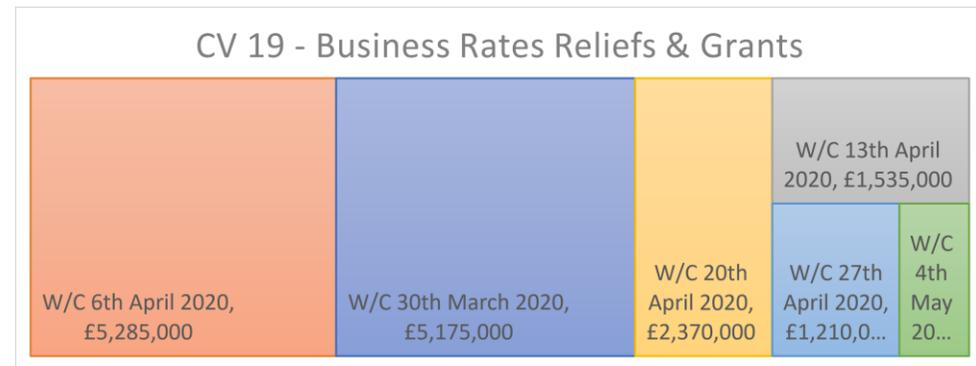
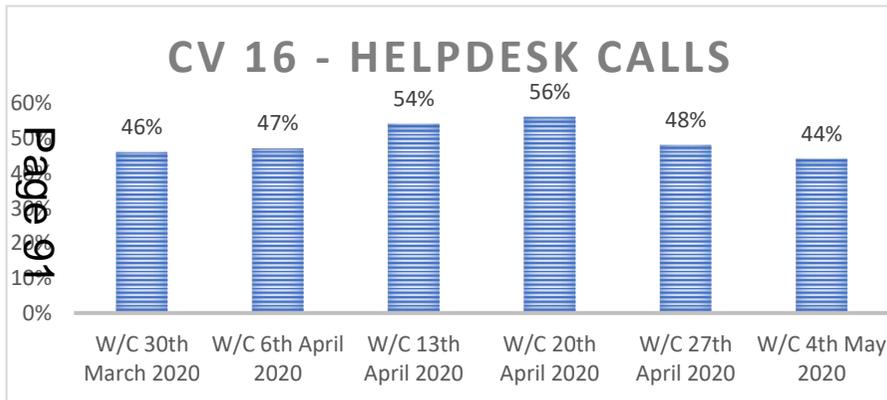
Short Term	↓
Long Term	↑



Information Communication Technology

CV 16 – Percentage of IT Helpdesk Calls which relate to the COVID-19 pandemic (e.g. due to change in working arrangements, procedures and processes).

W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	W/C 4 th May 2020	<ul style="list-style-type: none"> ➤ Reason for monitoring: to consider the impact on IT helpdesk service. ➤ For week commencing 4th May 2020, out of a total of 120 helpdesk calls raised, 53 related to COVID-19 pandemic (e.g. change in working arrangements). 				
47% (57 calls)	54% (62 calls)	56% (90 calls)	48% (84 calls)	44% (53 calls)		<table border="1"> <tr> <td>Short Term</td> <td>↓</td> </tr> <tr> <td>Long Term</td> <td>↓</td> </tr> </table>	Short Term	↓	Long Term
Short Term	↓								
Long Term	↓								



Revenues

CV 19 – Amount paid in Business Rate Reliefs & Grants

W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	W/C 4 th May 2020	<ul style="list-style-type: none"> ➤ Reason for monitoring: To ascertain the value of relief granted by UDC to businesses in alignment with government guidance. ➤ Total value paid since W/C 30th March 2020 - £16,175,000 				
£5,285,000	£1,535,000	£2,370,000	£1,210,000	£660,000		<table border="1"> <tr> <td>Short Term</td> <td>↓</td> </tr> <tr> <td>Long Term</td> <td>↓</td> </tr> </table>	Short Term	↓	Long Term
Short Term	↓								
Long Term	↓								

Street Services

CV 11 – Percentage of collections of waste and recyclables successfully made on first visit

W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	W/C 4 th May 2020	
Data not available	Data not available	Data not available	Data not available	99.98%	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> to ascertain the effect of COVID 19 on both service provision and crews. ➤ For Week Commencing 4th May, 46,887 bins out of a possible 46,897; giving a collection rate of 99.98%. ➤ CV 11 is also monitored as part of UDC’s formal quarterly and annual performance monitoring processes (KPI 15b). To achieve target at the end of Quarter 1 2020/21, the minimum outturn should be 99.95%. Given this, and that during Quarter 1 2019/20 the outturn was 99.95%, initial data for CV 11 shows an increase in collection rates during the COVID-19 pandemic. ➤ For the purposes of monitoring, this data also includes garden waste. Data is not available for this PI until Week Commencing 4th May 2020. Due to pressure on resources, the decision was made to not return to collect missed bins. As such, no tickets were logged. Tickets are now however being logged as of Monday 4th May, therefore data is available.

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Website & Consultation

CV 22 – Number of visits to UDC website pages with Coronavirus information from all devices

W/C 6 th April 2020	W/C 13 th April 2020	W/C 20 th April 2020	W/C 27 th April 2020	W/C 4 th May 2020	
5,263 (Small business grants most visited)	4,431 (Business Support Pages steady traffic, waste & dog walking guidance popular)	4,024 (Service Updates most visited; followed by walking & cycling information)	3,455 (Business Information mainly; voluntary/arts sectors & grant schemes gaining traffic).	2,288 (Grant information for charities & sports groups; Testing signposting for key workers)	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> Provides an overarching impression of public engagement with UDC via the website during the COVID 19 pandemic. ➤ Outturn data provides the number of UDC’s coronavirus pages from all devices. Pages included are ones which contain substantial coronavirus content only. Alongside these quantities, text in italics cites the most-visited pages.

Short Term

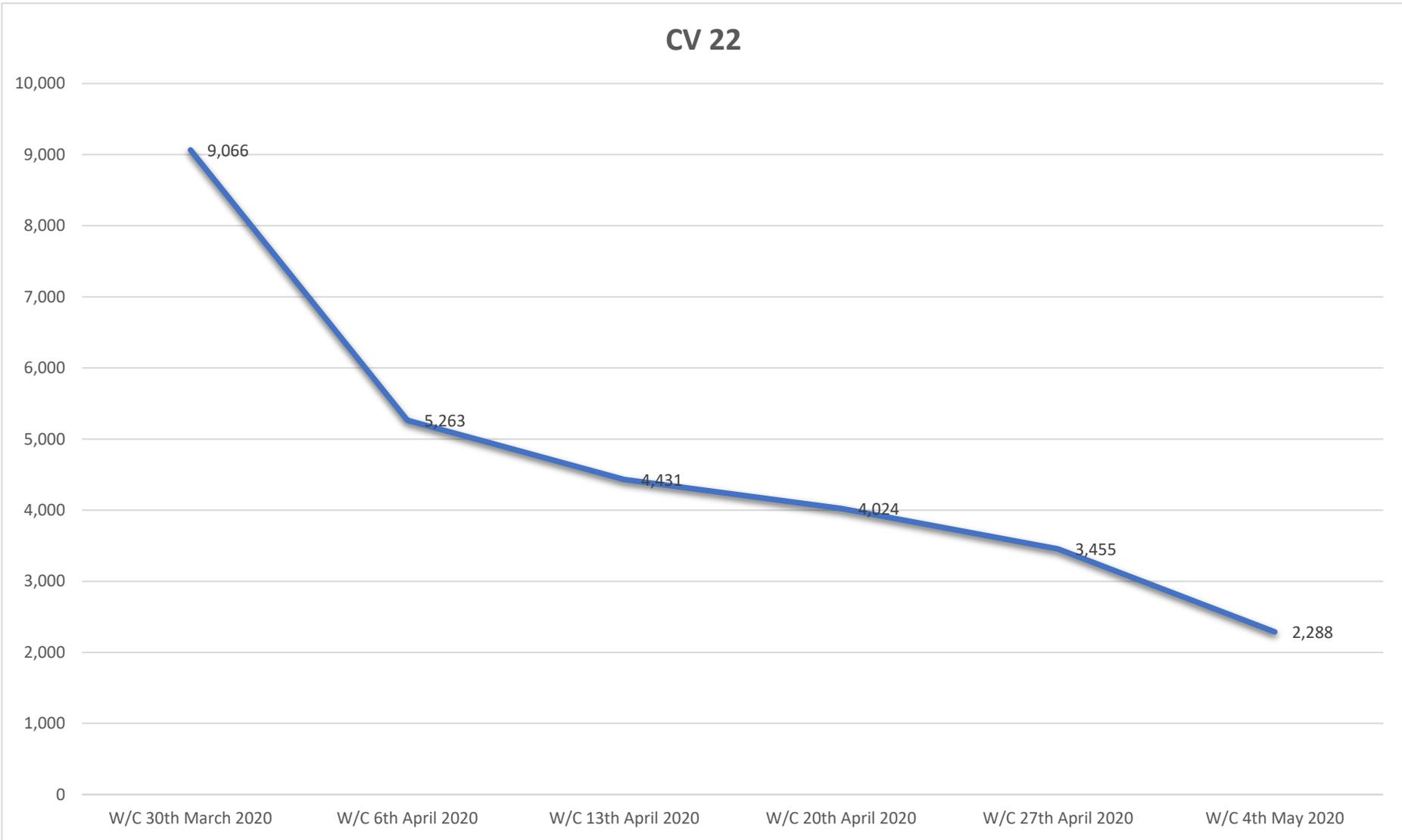


Long Term



CV 22

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Part C – Monthly Performance Indicators

CV 01 – Time taken to process Housing Benefit/Local Council Tax Support New Claims

April 2020	May 2020	June 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> Claims received are becoming more complex and therefore taking potentially longer to process. ➤ For April 2020, numerator is 3,773 (number of days), and denominator 282 (number of applications received). ➤ CV 01 is also monitored as part of UDC’s formal quarterly and annual performance monitoring processes (KPI 06a). For Quarter 1 2019/20 KPI 06 (a) outturn was 19.88 days – numerator 5,745 (total number of days) and denominator 289 (number of applications received). Therefore during Quarter 1 2019/20, despite a significantly higher amount of applications received, the time taken to process Housing Benefit claims has reduced in a year-on-year comparison.
13.38 days			

CV 02 – Time taken to process Housing Benefit/Local Council Tax Support Change Events

April 2020	May 2020	June 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> Given increasing number of universal credit applications, it is probable there will be more changes to existing Housing Benefit & Local Council Tax Support Claims. ➤ For April 2020, numerator is 9,914 (number of days) and denominator 2,289 (number of applications received). ➤ CV 02 is also monitored as part of UDC’s formal quarterly and annual performance monitoring processes (KPI 06b). For Quarter 1 2019/20 KPI 06 (b) outturn was 7.3 days – numerator 39,019 (number of days) and denominator 5,369 (number of change events received). Thus far, time taken to process change events seem lower during the COVID-19 pandemic.
4.02 days			

CV 29 – Percentage reduction in car parking income year-on-year

April 2020	May 2020	June 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> Assess impact of pandemic on authority’s share of car park income through NEPP – and highlight potential budgetary implications. ➤ All outturn data is provided as a percentage.
TBC			

CV 14 – Number of people registered on HomeOptions

April 2020	May 2020	June 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> Freesheets on HomeOption have been suspended as we have suspended the allocation of voids until property sign-ups can recommence and voids turned around.
1,034			

CV 17 - Percentage of non-domestic rates collected

April 2020	May 2020	June 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> To ascertain how the COVID-19 is affecting UDC's high collection rates. ➤ For April 2020, numerator is £1,572,956.39 and denominator £35,867,673.84. ➤ CV 17 is also monitored as part of UDC's formal quarterly and annual performance monitoring processes (KPI 03). By the end of Quarter 1 2019/20, we had collected £13,261,930.65 out of £45,047,221.37 (29.44%). April 2020's outturn of 4.39% therefore infers a significantly lower level of collection.
4.39%			

CV 18 – Percentage of council tax collected

April 2020	May 2020	June 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> To ascertain how COVID-19 is affecting UDC's high collection rates. ➤ For April 2020, numerator is £7,227,063.81 and denominator £69,807,133.18. ➤ CV 18 is also monitored as part of UDC's formal quarterly and annual performance monitoring processes (KPI 05). By the end of Quarter 1 2019/20, we had collected £19,765,070.24 out of £66,467,510.89 (29.80%).
10.35%			

CV 20 – Percentage of sundry debtor income overdue

April 2020	May 2020	June 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> To ascertain effect of COVID-19 on debtors' ability to pay. ➤ For April 2020, numerator is £12,158.98 and denominator £506,910.13. ➤ CV 20 is also monitored as part of UDC's formal quarterly and annual performance monitoring processes (PI 03). By the end of Quarter 1 2019/20, £9,637.00 out of £676,114.29 (1.43%) was overdue. April 2020's outturn value therefore highlights
2.40%			

			that potentially more sundry debtor information is overdue in comparison to the 2019/20 year.
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CV 21 – Local Council Tax Support Collection Rate

April 2020	May 2020	June 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> As deductions from DWP have been suspended for 3 months, it is possible that council tax collection rates for LCTS claimants may be affected. ➤ For April 2020, numerator is £75,713.90 and denominator is £856,507.32. ➤ CV 21 is also monitored as part of UDC’s formal quarterly and annual performance monitoring processes (KPI 17). By the end of Quarter 1 2019/20, we had collected 25.68% (numerator - £180,940.39, denominator - £704,567.35).
8.84%			

CV 28 – Rent Collected as a Percentage of Rent Owed (excluding arrears b/f)

April 2020	May 2020	June 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> Measures the effectiveness and efficiency of rent collection service, and identifies the impact of the pandemic on collection. ➤ For April 2020, numerator is £1,167,705.56 and denominator is £1,198,648.30. ➤ CV 28 is also monitored as part of UDC’s formal quarterly and annual performance monitoring processes (RB 02). By the end of Quarter 1 2019/20, we collected 99.43% of rent owed (numerator - £3,792,696.23, denominator - £3,814,544.17).
97.24%			

CV 10 – Percentage of grounds maintenance activities completed (year-to-year comparison)

April 2020	May 2020	June 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> we are current operating a reduced grounds maintenance service. ➤ Outturn values represent a year-on-year comparison. Works orders, sheltered housing visits, welfare gardens and circuits of the rural grass cutting route are included here as activities. During April 2019, 19 activities were completed whilst in April 2020 only 5 activities were completed. Comparatively, the quantity of activities undertaken in April 2020 therefore represents 26% of the quantity undertaken in April 2019.
26%			