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Uttlesford District Council

Chief Executive: Dawn French

Governance, Audit and Performance Committee Remote Meeting

Date: Thursday, 10th September, 2020

Time: 7.00 pm

Venue: Zoom

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 Internal Audit Progress Report, 16 May to 31 August 2020** 8 - 12
To receive the Internal Audit Progress report 16 May 2020 to 31 August 2020.
- 4 Internal Audit Strategy and Work Programme 2020/21** 13 - 28
To consider the Internal Audit Strategy and Work Programme 2020/21.
- 5 Information Governance Annual Report** 29 - 37
To receive the Information Governance Annual Report.
- 6 COVID 19 Performance Indicator Report 3** 38 - 65
To receive the Covid-19 Performance Indicators report.

MEETINGS AND THE PUBLIC

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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.

Agenda and Minutes are available in alternative formats and/or languages. For more information please call 01799 510510

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Agenda Item 2

GOVERNANCE, AUDIT AND PERFORMANCE COMMITTEE held at ZOOM, on TUESDAY, 2 JUNE 2020 at 7.00 pm

Present: Councillor E Oliver (Chair)
Councillors G Bagnall, G Driscoll, M Foley, V Isham, A Khan, S Luck and J De Vries

Officers in attendance: R Auty (Assistant Director - Corporate Services), B Ferguson (Democratic Services Manager), C Gibson (Democratic Services Officer), O Knight (PFI and Performance Officer) and A Webb (Director - Finance and Corporate Services)

Also present: D Eagles (BDO Partner)

GAP1 APOLOGIES FOR ABSENCE AND DECLARATIONS OF INTEREST

Apologies for absence were received from Councillor Jones.

GAP2 MINUTES OF THE PREVIOUS MEETING

The minutes of the meeting held on 13 January 2020 were approved and would be signed by the Chair as a correct record at the next opportunity.

GAP3 AUDIT ADDITIONAL FEES

Mr Eagles from the Council's External Auditors (BDO) gave a summary of the briefing note supplied by BDO and the scale of fees letter from Public Sector Audit Appointments. Three key areas had been identified that required additional works. These areas were valuation of PPE - £3,700, valuation of LGPS pensions liability and allocation of pension fund assets - £1,100 and Group audit - £1,910.

In response to Members' questions about LGPS pensions, Mr Eagles outlined the position in respect of the relationship with actuaries and the timings of pensions liability valuations.

The Director - Finance and Corporate Services said that he was satisfied that the fees increase was appropriate.

Members accepted the BDO briefing note and the proposed increase of fees as stated.

GAP4 DRAFT ANNUAL GOVERNANCE STATEMENT 2019-20

The Director - Finance and Corporate Services presented the draft Annual Governance Statement published to complement the Council's Statement of Accounts 2019/20. He stated that the document had been prepared in

consultation with senior officers and that it had been agreed by the Corporate Management Team. It was a living document that would be reviewed and updated to ensure that it was current at the time of publication with the Statement of Accounts. The statement had identified significant governance issues in Section 5, particularly in respect of Equality and Diversity and the impact of the COVID-19 pandemic.

The Director – Finance and Corporate Services explained that the deadline for external audit of the Council's Statement of Accounts had been put back to the end of September 2020 and that might necessitate moving the date of the September Committee meeting back.

In response to Members' questions, the Director – Finance and Corporate Services and the Assistant Director – Corporate Services stated that other than the issues identified in Section 5 of the statement, there were no other material changes to the previous year's Annual Governance Statement. Internal Audit had to date completed nineteen out of twenty seven audits from the 2019/20 Internal Audit Programme and the other eight audits would be covered. The current situation with staff largely working remotely was explained along with the Gold and Silver Command structures in place. The Council was working in line with Government advice that if it was possible to work from home then staff should work from home. Duty of care arrangements were outlined in respect of staff surveys and mental health issues.

Members approved the draft Annual Governance Statement.

GAP5 INTERNAL AUDIT PROGRESS REPORT, 16 DECEMBER 2019 TO 15 MAY 2020

The Assistant Director – Corporate Services gave a summary of the report, which detailed work undertaken by Internal Audit since the last report to the Committee on 13 January 2020 and provided an update on implemented and outstanding internal audit recommendations.

He said that Internal Audit was not considered a critical service and that since 22 April 2020, in tandem with completing audit work as far as possible, Internal Auditors had been working with the Revenues Service and the Benefits Service providing assistance in checking Business Grant applications and Benefit claims.

He said that, as stated in the Draft Annual Governance Statement, eight audits remained unfinished as of 15 May 2020. Two audits were likely to be completed but Internal Interim reports had been issued for the other six audits. All recommendations with an original due date between 31 March and 30 June 2020 had been extended in light of the COVID- 19 emergency.

In response to Members' questions, progress on the Audit Programme together with risk ratings were clarified. The Assistant Director – Corporate Services explained that, in respect of the Leisure review and the repeated recommendation from 2017/18, some fees information on the website from the Leisure provider had been out of date but had since been corrected.

The Director - Finance and Corporate Services stated that £21,000,000 had to date been received from the Government for Business Rates and that a further £1,028,000 discretionary pot had been agreed with discretionary rules being finalised.

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

GAP6 QUARTER 4 2019/20 KPIS & PIS REPORT

The PFI and Performance Officer gave a summary of the report, which provided the Quarter 4 and Year End 2019/20 outturn and data analysis for all Key Performance Indicators (KPIs) and Performance Indicators (PIs).

He highlighted that despite pressures imposed on service delivery by the COVID- 19 pandemic towards the end of March 2020, most indicators had still attained target during Quarter 4 2019/20.

In response to Members' questions the PFI and Performance Officer provided details for the three KPIs that had not met their target for year end but which had an amber status. KPIs 11 and 13 related to planning applications, and performance during Quarter 4 2019/20 had both improved in comparison to Quarter 4 2018/19 and KPI 17 related to Local Council Tax Support Collection rate and had been affected by the introduction of Universal Credit and was under review. He also said there had been two KPIs with a red status. KPI 08(a) related to average re-let times and would continue to be closely monitored alongside Uttlesford Norse. KPI 12 related to planning applications that had showed improvement during the year.

The PFI and Performance Officer recognised that whilst 63% of indicators were green status, 37% were either yellow or red status. He agreed to revisit the wording in future reports relating to the majority of indicators meeting targets.

Members highlighted that three of the red and amber PIs related to the planning area. The Director – Finance and Corporate Services said that Consultants obtained via East of England Local Government Association (EELGA) would be undertaking a review of planning processes and would be discussing terms of reference with the Leader and Cabinet. Members of the Committee were looking for some input into the process and the Chair indicated that he would take this forward with the Leader of the Council.

The Chair noted the report.

GAP7 COVID-19 PERFORMANCE INDICATORS

The PFI and Performance Officer gave a summary of the report, which provided the outturn for all newly introduced performance indicators which monitor how COVID-19 had affected service delivery. He indicated that despite pressures on service delivery the indicators highlighted that services had been performing well

and he specifically drew Paragraph 20 of the report to the attention of Members that detailed five particular issues to note. He stated that indicators had been useful to Gold Command for comparison purposes.

In response to a Member's question in respect of CV15 - Rent lost on voids available to let, the Director – Finance and Corporate Services stated there were currently 25-30 void properties per week but that inspections had now restarted.

The Chair noted the performance of services during the COVID- 19 pandemic as per the recommendation.

The meeting closed at 8:10pm

Agenda Item 3

Committee: Governance, Audit and Performance Committee

Date:

Thursday, 10 September 2020

Title: Internal Audit Progress Report, 16 May to 31 August 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 02 June 2020 and to provide an update on the impact of the Covid-19 emergency on the work of Internal Audit.

Recommendations

2. The Governance, Audit and Performance Committee are requested to note the Internal Audit Progress Report 16 May to 31 August 2020

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) The impact of the Covid-19 emergency on the work of Internal Audit from March 2020;
 - ii) Audit work completed by Internal Audit since the last report to the Governance, Audit & Performance Committee at its meeting 02 June 2020;
 - iii) Completion of the Internal Audit Work Programme 2019/20;
 - iv) Risk level 3 and 4 highest priority recommendations implemented since the last report to Members;
 - v) The reviews of recommendations during the Covid-19 emergency.

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

7. As previously reported to this Committee, since 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. As reported to this Committee on 30 July 2020 in the Internal Audit Annual Report and Opinion 2019/20, all work relating to the 2019/20 Internal Audit Programme ceased in July 2020.
10. Due to the Covid-19 emergency, work required for completing 6 audits could not be undertaken; the decision was taken to suspend work on these 2019/20 audits and issue an Interim Reports for internal circulation only.

Redeployment Work from 22 April 2020

11. 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.
12. By 31 August 2020, the Internal Audit Team had provided 105 days of Covid-19 support to the Revenues and Benefit Services.

13. Due to the impact of the Covid-19 emergency the Draft Internal Audit Programme 2020/21 included in the Information Pack sent to members of this committee on 25 March 2020, has been reviewed and updated to take into consideration:

- The new and emerging risks to the Council and
- The reduced number of days that will be available for internal work during 2020/21.

14. It is anticipated that audit work on the 2020/21 programme will commence 01 September 2020.

15. The Internal Audit Strategy and Work Plan for 2020/21 is presented as a separate agenda item for this Committee at its meeting on 10 September 2020.

Work Undertaken by Internal Audit 16 May to 31 August 2020

16. Since the last report to the Committee:

- i) Between 16 May and 31 August 2020, no further audits from 2019/20 were completed and or final reports issued.
- ii) On 14 July 2020, work on the final remaining open audit was suspended and an internal Interim Report issued.

Recommendations Implemented 16 May to 31 August 2020

17. Two level 3 recommendations were implemented during this period; a summary is presented at Appendix A.

Reviews of Recommendations March 2020

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

19. A further review was undertaken in June 2020. Again in consultation with the senior officers involved, we have amended due dates of recommendations to 30 September 2020 or later.

20. Further reviews will be undertaken periodically from September 2020.

Risk Analysis

21.

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.

LEVEL 3 AND 4 RECOMMENDATIONS IMPLEMENTED - 16 May to 31 August 2020

Code & Title	Description	Risk Level	Managed By	Due Date	Completed
1920 21 Licensing 04	It is recommended that staff with the relevant experience is nominated to train other members of staff & that procedures are kept up to date to ensure consistent working practice	3	A/Director Housing, Health & Communities	31-Oct-20	01-Jun-20
1920 25 Stock & Voids 01	<p>a) It is recommended that disaggregated management information/statistics should be in place to support the performance indicators.</p> <p>b) It is recommended that the service should give consideration to having monitoring reports in place on the delivery timescale for major and minor repairs that does not include the re-let time</p>	3	A/Director Housing, Health & Communities	30-Sep-20	25-Jun-20

Agenda Item 4

Committee: Governance, Audit and Performance Committee

Date:

Thursday, 10
September 2020

Title: Internal Audit Strategy and Work Programme 2020/21

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

Summary

1. The Council has arrangements in place to ensure risks to the Council achieving its objectives are identified and managed. This report informs Members of the Internal Audit Strategy and Work Programme 2020/21.

Recommendations

2. The Governance, Audit and Performance Committee are requested to approve the Internal Audit Strategy and Work Programme 2020/21.

Financial Implications

3. None. There are no costs associated with the recommendations in this report.

Background Papers

4. None.

Impact

- 5.

Communication/Consultation	The Internal Strategy and Audit Work Programme 2020/21 has been circulated to and discussed with the Corporate Management and Senior Management Teams
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 work of Uttlesford District Council's Internal Audit is governed by the UK Public Sector Internal Audit Standards 2017 (PSIAS) which comprise of the definition of internal auditing, a Code of Ethics for internal auditors working in the public sector and the Standards themselves. The PSIAS are mandatory for all internal auditors working in the UK public sector.
7. The PSIAS require that there must be a risk-based internal audit plan that takes into account the requirement to produce an annual internal audit opinion and assurance framework. It must be incorporated in or be linked to a strategic or high-level statement of how the internal audit service will be delivered and developed in accordance with the Internal Audit Charter and how it links to the organisational objectives and priorities.
8. The Internal Audit Strategy and Work Programme 2020/21 in the Appendix to this report details the production of the Internal Audit Strategic and Work Programmes for the current financial year.

Risk Analysis

9.

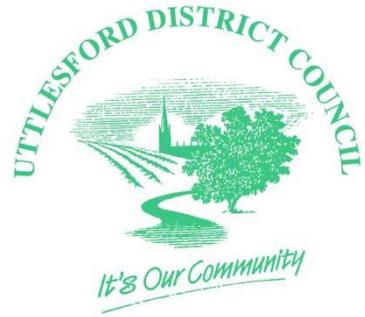
Risk	Likelihood	Impact	Mitigating actions
Adverse External comment if the Internal Audit Charter and Strategy do not comply with the PSIAS	1 Internal Audit function is an integral part of the Council	2 Statutory requirement, adverse External Auditor Report	Annual review of Strategy and Work Programme

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.



Internal Audit STRATEGY and WORK PROGRAMME 2020/21

September 2020

INTERNAL AUDIT STRATEGY 2020/21

CONTENTS

- 1. Introduction**
- 2. Internal Audit Resources 2020/21 & Impact of Covid-19 Emergency**
- 3. Internal Audit Strategic Programme 2020/21**
- 4. Internal Audit Work Programme 2020/21**
- 5. Types of Audits**
- 6. Audit Reports & Recommendations**
- 7. Reporting to CMT and Members**

Appendix
Assurance Opinion Criteria and Risk Level Definitions

1 Introduction

Background

- 1.1 The work of Uttlesford District Council's Internal Audit is governed by the UK Public Sector Internal Audit Standards 2017 (PSIAS) which comprise of the definition of internal auditing, a Code of Ethics for internal auditors working in the public sector and the Standards themselves. The PSIAS are mandatory for all internal auditors working in the UK public sector.
- 1.2 Internal Audit is defined in the PSIAS as follows:
- “Internal auditing is an independent, objective, assurance and consulting activity designed to add value and improve an organisation's operations. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes.”
- 1.3 The PSIAS require that there must be a risk-based internal audit plan that takes into account the requirement to produce an annual internal audit opinion on the Council's framework of governance, risk management and control. It must incorporate in or be linked to a strategic or high-level statement of how the internal audit service will be delivered and developed in accordance with the internal audit charter and how it links to the organisational objectives and priorities.
- 1.4 The annual Internal Audit Strategy provides details on the production of the Internal Audit Strategic and Work Programmes for the current financial year.

2. Internal Audit Resources 2020/21 & Impact of Covid-19 Emergency

- 2.1 Internal Audit is currently provided by the Council's in-house team, a resource of 2.7 FTE comprising of:

Internal Audit Manager	FT
Internal Auditor	FT
Internal Auditor	0.7 FTE

- 2.2 The Covid-19 Emergency has had a major impact on the Internal Audit resource and its ability to deliver normal internal audit work for the first five months of 2020/21. From 01 April to 31 August 2020 the Internal Audit Service has provided 105 days of redeployed working to the Revenues Service assisting in checking Business Grant applications and the Benefits Service assisting in Benefit Subsidy claims checking.
- 2.3 In the Draft Internal Audit Programme 2020/21 included in the Information Pack sent to members of this committee on 25 March 2020 it was anticipated that 300 days would

be available for audit work during 2020/21. This has been reviewed and updated to 185 days available for audit work:

	REVISED August 2020	INITIAL March 2020
TOTAL WORKING DAYS 01 April 2020 To 31 March 2021	697	697
Less non-productive work (e.g. bank holidays, leave admin, CPD, Training etc.)	-289	-234
TOTAL AVAILABLE PRODUCTIVE TIME	408	463
Less Productive Non-Specific Audit Work (e.g. Redeployment, Annual Governance Statement; consultancy & general advice; Committee & Member related work; Contribution to Corporate Management; fraud related work; irregularity provision; follow-up work; residual 2019/20 work etc.)	-223	-163
TOTAL DAYS AVAILABLE FOR PLANNED AUDIT WORK	185	300

- 2.4 The scope of audit work planned for 2020/21 has been reviewed and updated to take into consideration new and emerging risks, including Covid-19 Emergency risks, and to allow for its completion in the seven months from 01 September 2020 to 31 March 2021.
- 2.5 To be able to provide an acceptable level of assurance on the Council's management of its operational risks, controls and governance we will be using revised methodology in our audit work, concentrating on reviewing and assessing new and existing risks and controls in place in the areas of Council most directly affected by the Covid-19 Emergency.
- 2.6 Special investigations and unplanned work can have high impact on Internal Audit resources. Any special investigation and unplanned work requests will be individually assessed and potentially outsourced if it is considered there is inadequate audit resource available to undertake the work.
- 2.7 Giving one-off advice to departments on a range of control issues and allowing further time on audits where further testing is required also adds to the pressure on resources. If extended unplanned work is deemed to be necessary, then resource levels and the impact on the Audit Work Programme and the Strategic Programme will be taken into consideration.

3. Internal Audit Strategic Programme 2020/21

3.1 The Internal Audit Strategic Programme details all potential audit areas at both corporate and service area levels of the Council and forms the starting point for the annual audit planning process.

3.2 In August 2020, the Internal Audit Strategic Programme was reviewed to ensure that it remains up to date and continues to take account of emerging risks and service developments to ensure the focus of Internal Audit work remains relevant to the Council's vision and current priorities.

Risk Assessment

3.3 The 2020/21 Internal Audit Work Programme is risk based as far as is possible. Each potential audit area identified in the Internal Audit Strategic Programme is subject to an audit needs risk assessment taking into consideration:

- New and emerging risks relating to the Covid-19 Emergency;
- The Council's Corporate Plan Actions and the Corporate Plan Delivery Plan and Service Plans;
- The Corporate and Strategic Risk Registers – including specific Covid-19 related risks identified;
- Key Performance Indicators and Performance Indicators – including Covid-19 Performance Indicators;
- Covid-19 Control Risks Self-Assessments completed by Service Managers
- Key Financial audits (2020/21 is year 1 of a 3 year cyclical review basis);
- Interest to Internal Audit – e.g. the level of past audit opinions; recommendations made; recommendations implemented; fraud risks; volume, value and complexities of transactions etc.;
- Specifically requested Directorate & Service high risk areas or services following consultation with Corporate and Senior managers;
- Completion of the six audits from the 2019/20 Internal Audit Programme for which Interim Internal Audit Reports were issued;
- Audit resource availability.

3.4 Risk levels are determined according to the Council's corporate method of risk scoring, assessing the potential risks to the Council if audit is not carried out:

- Risk Level **HIGH** - Matters that are considered **fundamental**
- Risk Level **MEDIUM** - Matters that are considered **significant**
- Risk Level **LOW** - Matters that are considered **important**

3.5 A copy of the Internal Audit Strategic Programme and Risk Assessment 2020/21 will be made available to Members on request.

4. Internal Audit Work Programme 2020/21

Planning

4.1 The Internal Audit Work Programme for 2020/21 is a rolling programme of planned audit work expected to be undertaken from 01 September 2020 to 31 March 2021. It is subject to regular review and updating throughout the year taking into account:

- The available Internal Audit resource required to ensure delivery of the Internal Audit Work Programme 2020/21;
- Any emerging risks and service developments;
- It ensures the focus of Internal Audit work remains relevant to the Council's vision and current priorities;
- It ensures it is robust enough to be able to provide an opinion on the Council's control environment in the Internal Audit Annual Report and Opinion 2020/21.

4.2 In order to preserve the independence of Internal Audit, the final risk assessment and selection of areas for inclusion in the Internal Audit Work Programme rests with the Internal Audit Manager.

4.3 The risk assessment from Internal Audit Strategic Programme 2020/21 has identified the 45 areas to be included in the Internal Audit Programme 2020/21 for audit work; 18 assessed as High Risk and 27 assessed Medium Risk.

High Risk Audits Assignments

4.4 High Risk Audits are generally those where:

- Potentially fundamental Covid-19 related risks have been identified;
and /or
- Interim Reports were issued for 2019/20 Audits;
and /or

- Follow-up Audits for 2019/20 Audits with opinions of Little or Limited assurance.

HIGH RISK AUDIT areas	Risk Assessment/ Comment August 2020
COVID-19 PROJECT	COVID-19 Specific risks - overall review of Project Team work
Business Continuity & Emergency Planning	COVID-19 Specific risks; Follow-up to 2019/20 audit (LITTLE)
Equality & Diversity	follow-up to 2019/20 audit (LITTLE)
EU Exit	depends on risk of no deal EU Exit
Health & Safety	COVID-19 Specific risks
Information Governance	COVID-19 Specific risks; Interim Report 2019/20 audit, specific work on CCTV & Electronic Recording devices
HR	COVID-19 Specific risks; Follow-up to 2019/20 audit (LIMITED)
Museum	Interim Report 2019/20
Domestic Waste & Recycling	Interim Report 2019/20
Communities – Hub	COVID-19 Specific risks - new work area
Housing Strategy & Options - Homelessness, Options & voids	COVID-19 Specific risks; Interim Report 2019/20
Housing Strategy & Options - Allocations	Interim Report 2019/20
Environmental Health Protection - Covid-19 specific work	COVID-19 Specific risks - new work area
Environmental Health Commercial - Covid-19 specific work	COVID-19 Specific risks - new work area
Environmental Health C - Licensing	COVID-19 Specific risks Follow-up to 2019/20 audit (LIMITED)
Section 106 Obligations	Interim Report 2019/20
Finance - Insurance	Interim Report 2019/20
Benefits (including LCTS)	COVID-19 Specific risks; key financial yr1

Medium Risk Audits Assignments

4.5 Medium Risk Audits are generally those where:

- Potentially significant Covid-19 related risks have been identified;
and /or
- Potential significant loss of income identified;
and/or
- New Audit areas have been identified.

MEDIUM RISK AUDIT areas	Risk Assessment/ Comment August 2020
Commercial Enterprises & Investments	COVID-19 Specific risks; New enterprises and investments since 2017/18 last audit
Contract Management	New area separated from Procurement specifically contracts <£50k
Uttlesford Norse	New Audit area - All hand over arrangements & UDC monitoring of JVP
Counter Fraud (including Grants post payment)	COVID-19 Specific risks - Government Grants post-payment assurance
Democratic Services	COVID-19 Specific risks; service changes since 2018/19 last audit
Customer Services - Performance Management	COVID-19 Specific risks; service changes since 2016/17 last audit
Customer Services - Risk Management	COVID-19 Specific risks; service changes since 2015/16 last audit
Customer Services - Leisure PFI	COVID-19 Specific risks; lost income
Communication	COVID-19 Specific risks; 2015/06 last audit, Corp Plan
Consultation & Website	COVID-19 Specific risks; New audit area, Corp Plan
Trade Waste	COVID-19 Specific risks; lost income
Income Generating Services	COVID-19 Specific risks; lost income
Housing Strategy & Options - Supporting People	COVID-19 Specific risks
Housing Strategy & Options - Management Services	COVID-19 Specific risks; New audit area; lost income
ICT	COVID-19 Specific risks; security
Printing & Mailroom	COVID-19 Specific risks
Building Control Service and Fees	COVID-19 Specific risks; lost income

Car Parking Partnership (NEPP)	COVID-19 Specific risks; lost income
Development Management	COVID-19 Specific risks
Finance - Main Accounting System	COVID-19 Specific risks; key financial yr 1
Finance - Budgets	COVID-19 Specific risks; lost income; key financial yr 2
Finance - Income, Fees & Charges	COVID-19 Specific risks; lost income; key financial yr 2
Procurement	COVID-19 Specific risks; key financial yr 2
Revenues - Council Tax	COVID-19 Specific risks; lost income; key financial yr 1
Revenues - Business Rates	COVID-19 Specific risks; lost income; key financial yr 3
Revenues - Housing Rents	COVID-19 Specific risks; lost income; key financial yr 2
Revenues - Recovery	COVID-19 Specific risks; lost income; key financial yr 3

- 4.6 In general High Risk audit assignments will be given priority over Medium Risk audit assignments. When the timing of audits is being decided, consideration will be given to reducing as far as possible disruption to critical services areas while the Covid-19 Emergency continues.
- 4.7 Time has not been allocated to any audit assignment as the number of days needed will vary according to the type and volume of audit work required to provide assurance on the control risks.
- 4.8 Progress on the Internal Audit Programme 2020/21 will be reported to the Section 151 Officer, CMT and Members of the Governance, Audit and Performance Committee throughout the remainder of 2020/21.
- 4.9 From 01 September 2020, the Internal Audit Service priority will be to carry out and achieve the planned work as contained in the Audit Work Programme. Requests for unplanned work will be assessed and, if judged high priority, may be carried out in preference to items in the Audit Work Programme in accordance with the following criteria:

- The level of risks to the Council if the work is not carried out and
- The impact of any unplanned work on the Internal Audit Work Programme.

4.10 If judged medium to low priority it will be appraised at in the next Audit Work Programme review and considered for possible inclusion in the 2020/21 Audit Work Programme.

5. Types of Audits

5.1 At the start of each audit assignment, we will undertake a planning, evaluation and assessment process to decide the level or type of audit fieldwork that needs to be undertaken. Prior to Terms of Reference being issued for the audit, we will evaluate all of the information gathered through the planning stage and at that point we will decide on the type of audit to be undertaken:

- **Audit Review** – targeted review of specific potential risks and controls or
- **Standard Audit** – where a significant volume of potential risk areas are identified at the audit planning stage e.g. a new audit area.

It is expected the majority of audit assignments will be Audit Reviews targeting the Covid-19 potential risks that have been identified

5.2 Terms of Reference will be issued for each audit which will define:

- Scope of the Audit
- Areas for Consideration
- Scope Limitations
- Potential Risks identified by Internal Audit

Terms of Reference are copied to Members of the GAP Committee.

5.4 Regular review and assessment is an integral part of our auditing methodology; where field work identifies further testing is required an audit type can be amended.

6. Audit Reports & Recommendations

6.1. Reporting protocols will be as described in the Internal Audit Charter

Recommendations

6.2 All Internal Audit recommendations have a risk level given to them. This is determined according to the Council's corporate method of risk scoring, assessing the potential risks

to the service and/or the Council if the recommendation is not implemented within the agreed timescale. Risk level definitions are presented in the Appendix to this document.

- 6.3 It is Internal Audit's expectation to reach agreement with auditees on recommendations, management actions and implementation dates at the draft report stage. However, it is for management to determine whether or not to accept the Internal Audit recommendations and to recognise and accept the implications of not taking action. Management must formally respond giving reasons for their decisions which will be recorded on the Final Report.
- 6.4 Final Reports will record the Internal Audit opinion and overall comment on the effectiveness of the service area audited. The Internal Audit opinion criteria are presented in the Appendix to this document.
- 6.5 All Final Reports are copied to Members of the Governance, Audit and Performance Committee and posted on the intranet.
- 6.6 Implementation of all recommendations is monitored by Internal Audit through Pentana which automatically generates a reminder e-mail to managers as a recommendation approaches its agreed implementation date.
- 6.7 Follow-up action will be as described in the Audit Charter.

7. Reporting to CMT and Members

Internal Audit Progress Reports to Members

- 7.1 During 2020/21 the Internal Audit Manager will present regular Progress Reports to CMT and the Governance, Audit & Performance Committee which will include:
 - Details of the work completed by Internal Audit since the last report to the Committee;
 - Performance against the Internal Audit Work Programme 2020/21;
 - Details of any recommendations not implemented within the agreed timescale.

The Internal Audit Annual Report and Opinion

- 7.2 It is anticipated that the Internal Audit Manager will report in July 2021 to CMT and the Governance, Audit & Performance Committee on the audit opinions of all audits completed during 2020/21 and give an overall audit opinion on the Council's control environment for the year in the Internal Audit Annual Report and Opinion 2020/21.

7.3 The Internal Audit Annual Report and Opinion will be used by the Council to inform its Annual Governance Statement 2020/21 which will accompany the 2020/21 Annual Statement of Accounts.

INTERNAL AUDIT ASSURANCE OPINION CRITERIA

Opinion	Definition	Maximum Number of Recommendations Overall
Substantial Assurance	There is a sound system of internal control designed to achieve the objectives of the system / process and manage the risks to achieving those objectives. Generally only LOW risk recommendations, and MEDIUM risk recommendations relating to part of the system / process would need to be mitigated by significant strengths elsewhere.	Maximum of 4
Adequate Assurance	There is basically a sound system of control and satisfactory management of risk; there are moderate recommendations indicating weaknesses but these do not undermine the system's overall integrity. Generally MEDIUM and LOW risk recommendations. Any HIGH risks recommendations will prevent this assessment	Maximum of 8
Limited Assurance	There are significant weaknesses in key areas in the system of controls which put the system / process objectives at risk. There are HIGH risk recommendations or a number of MEDIUM risk recommendations indicating significant failings	If and HIGH risk or total number is over 8

INTERNAL AUDIT RISK LEVEL DEFINITIONS

Risk Level	Risk Score	Description
HIGH	12, 16	Matters that are considered FUNDAMENTAL that require immediate attention and priority action
MEDIUM	4, 6, 8, 9	Matters that are considered SIGNIFICANT that should be addressed within SIX months
LOW	2,3	Matters that are considered IMPORTANT that should be addressed within TWELVE months
	1	Low impact / likelihood matters that do not warrant a recommendation; will be discussed with auditees during closing meetings

Committee: Governance, Audit and Performance Committee

Date:

10 September 2020

Title: Information Governance Annual Report

Report Author: Tom Falconer (Data Protection Officer)

Summary

1. Many positive steps have been taken over the last 18 months following the introduction of the new Data Protection Act 2018 and GDPR to improve the management of Information Governance issues throughout the Council and to promote better awareness of data protection issues to staff.
2. This annual report provides evidence as to the levels of progress made year on year and whilst in the main these measures have proved very positive there are a few specific areas where improvements need to be made. The high number of requests for information received by the Council which currently do not receive any response is one area which requires urgent attention.
3. Failure to respond to requests for information by members of the public within the timelines defined by Legislation can result in the Council coming under greater scrutiny by the Supervisory Authority, the Information Commissioners Office (ICO). In serious cases the ICO can award sanctions or penalties where Local Authorities have failed to meet their legal obligations under the Freedom of Information Act or Environmental Information Regulations.
4. This report contains a number of recommendations which have been considered and approved by CMT in May this year. Implementation of these recommendations will enhance the future management of Information Governance within the Council and also go some way to improve the Councils responses to information requests received.

Recommendations

5. To note UDC's Annual Report on Information Governance and its recommendations as set out in Appendix 1 -.

Financial Implications

6. There are no significant financial implications to consider as a result of the recommendations contained within this report. Training has been recommended to some key staff however it is anticipated that this can be supplied in house by the Councils Data Protection Officer and only the loss of staff from their normal service duties for a few hours each session needs to be considered.

Background Papers

7. 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

- 8.

Communication/Consultation	The annual report has been discussed with officers from across the council. An update will be provided on the council's website.
Community Safety	There are no issues concerning Public Safety
Equalities	No equality or diversity issues apply
Health and Safety	No Health & Safety issues are applicable
Human Rights/Legal Implications	No infringement of Human rights have occurred as a consequence of this report. The Council has a legal obligation to respond effectively and timely to requests for information under Access to information legislation
Sustainability	No sustainability issues are applicable
Ward-specific impacts	There are no Ward specific impacts as a result of this report
Workforce/Workplace	The content of this report affects all employees and staff within the Council

Risk Analysis

- 9.

Risk	Likelihood	Impact	Mitigating actions
High percentage of requests for Information left without a response	Highly likely	Significant	Managers of service areas to take more responsibility for staff providing responses to requests received.

Council suffers a significant Data breach involving the release of personal data for a large number of residents	Remote	Significant	Staff complete on-line training on the secure processing of Personal data and are regularly updated on potential risks via staff communications.
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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.

EXECUTIVE SUMMARY - ANNUAL INFORMATION GOVERNANCE REPORT

1. Introduction

- 1.1 The purpose of this report is to provide assurance to Governance, Audit and Performance Committee with regards to Data Protection and Information Governance matters that presently exists within the Council as of May 2020. A detailed report has been made to Corporate Management Team (CMT) who have approved the necessary operational actions that were required to be taken.
- 1.2 It is the intention to produce a report of this nature on a yearly basis both to CMT and also to committee to ensure they have ongoing assurance in relation to the Council's arrangements for Data Protection and Information Governance.

2. Background

- 2.1 It has now been two years since the European Union General Data Protection Regulations (GDPR) were first introduced within the United Kingdom. This led to the publication of the Data Protection Act 2018 which served to formalise and enhance GDPR and adopt it into UK legislation, The DPA 2018 was thereby given Royal Assent on the 25th May of that year.
- 2.2 The adoption of this new legislation provided the framework for the way personal data must always be processed and it became necessary for all organisations, (including Local Authorities) to conduct a review of their existing Data Protection policies and procedures and introduce a regime of new measures to ensure that they embarked on their journey towards becoming fully compliant with this new legislation.
- 2.3 GDPR introduced six (6) basic principles under which personal data should be processed and these principles would also ensure that greater accountability was observed by organisations wherever the processing of personal data was necessary. These principles are shown below:
- Personal data must be
- Processed lawfully, fairly and in a transparent manner;
 - Collected for specified, explicit and legitimate purposes;
 - Adequate, relevant and limited to what is necessary;
 - Accurate and, where necessary, kept up to date;
 - Retained only for as long as necessary;
 - Processed in an appropriate manner to maintain security
- 2.4 Under the terms of GDPR the appointment of a Data Protection Officer (DPO) became a duty for all Public Authorities. The DPO must be independent, an expert in data protection, adequately resourced, and report to the highest management level. The role of the DPO and duties are as shown below:
- To inform and advise UDC and its employees about their obligations to comply with the GDPR and other data protection laws;
 - To monitor compliance with the GDPR and other data protection laws and with their data protection polices, including managing internal data protection activities; raising awareness of data protection issues, training staff and conducting internal audits;
 - To advise on, and to monitor, data protection impact assessments;

APPENDIX 1

- To cooperate with the supervisory authority; the Information Commissioners Office (ICO) and
- To be the first point of contact for supervisory authorities and for individuals whose data is processed (employees, customers etc.).

2.5 The present DPO took up the post on 3rd January 2019, he regularly meets and works together with managers and officers throughout all service areas to continue to raise awareness of Data Protection matters and to advise all Council staff on their specific responsibilities as we continue on our path towards full compliance with the new Data Protection Act and GDPR.

2.6 A new suite of data protection policies and procedures were produced so that the Council complied with the requirements of GDPR. These documents were published on the UDC Intranet and staff were advised via the staff bulletin. In December 2018 however the GDPR tab was removed from the Councils Intranet which resulted in staff no longer having direct access and searching for GDPR and data protection policies became difficult to navigate and find what was required. This problem was identified during the recent Internal Audit of Information Governance conducted in February this year.

- Agreed action: CMT have directed that a GDPR / Data Protection folder containing all Policies and procedures should be included on the UDC Intranet with clear signposting for staff to navigate to find what they require.

3. Information Governance Group

3.1 One of the key areas which contributes towards the Council meeting our Data Protection responsibilities was the formation of a new Information Governance Group (IGG) and in June 2019 the inaugural meeting of this group took place. The group consists of several managers from those service areas who normally process high volumes of personal data. Representatives from Human Resources, Head of ICT department and the DPO are also members of this group.

3.2 The group exists for the purpose of safeguarding information assets throughout the Council and to provide a general oversight and support to the Council's Senior Information Risk Owner (SIRO) for all Information Governance matters. The group meets on a quarterly basis to discuss current Information Governance and Data Protection matters that have an impact within the Council. They report directly to both the Senior Information Risk Owner and to the Corporate Management Team on any issues which they consider could prevent the Council from meeting their legal compliance responsibilities. Minutes of each IGG meeting are circulated to CMT in the first instance and thereafter copied to members of the Senior Management Team so that the information can be used by service managers in cascade briefing to their teams.

3.3 The IGG's terms of reference are clearly defined however the group has yet to have an approved strategy framework document within which to operate. CMT have recommended that the strategy document should clearly outline the roles and lines of communication to both SIRO and Corporate Management Team and define specific responsibilities.

3.4 The IGG has been defined as a "Steering group" under their terms of reference as under normal circumstances they would refer important matters to CMT for decision.

APPENDIX 1

The recent internal audit of Information Governance identified that the IGG identified that the IGG does not have the authority to direct or change policies or process.

- Action agreed; CMT have agreed that the IGG should remain a steering group and continue to report important issues which require a Corporate level decision to SIRO and the wider CMT.

UDC Levels of Performance

4. Data Breaches

- 4.1 On any given day Uttlesford District Council will deal with a considerable quantity of personal data for our customers, contractors, suppliers and staff. This data enables the Council to provide the full range of services to our local residents within the district and to meet our responsibilities as a District Authority. Our residents and those to whom we provide these services do expect their personal data to be managed securely and processed in a fair and appropriate manner and only for the purposes for which it was initially supplied to us.
- 4.2 Uttlesford District Council works hard to maintain its reputation as a safe custodian of our customer's personal data however sometimes mistakes can occur which may compromise the personal data we hold and certain information may regrettably be disclosed in error.
- 4.3 Any loss or disclosure of personal data within the control of the Council without prior approval or consent being given either by accident, negligence or deliberate act is considered to be a data breach. The official definition of a data breach is shown below:
- “A breach of security leading to the accidental or unlawful destruction, loss alteration, unauthorised disclosure of, or access to personal data. This includes breaches that are the result of both accidental and deliberate causes”***
- 4.4 Any data breach that occurs within the Council is truly regrettable especially where it could have been avoided through staff taking more care and being fully aware of the potential risks that can occur when dealing with personal data. The consequences of any data breach to the person or persons most affected by the breach “the Data Subject(s)” can be significant and can often cause distress, anxiety and in some cases financial loss or result in theft of their identity and misrepresentation
- 4.5 Whenever a data breach has occurred and the circumstances involve a high risk to the rights and freedoms of the Data Subject(s) the Council is required to report the matter direct to the Information Commissioners Office within 72 hours. This report must outline the circumstances known at that stage and any actions the Council has taken to mitigate the risk of further loss. Any failure to follow this mandatory reporting procedure within the set timelines could result in the Council receiving a sanction from the ICO or in serious cases a hefty fine may be applied.
- 4.6 There are no significant concerns to report to members in relation to data breaches however CMT have agreed that the following measures should be introduced as a matter of course:
- Staff should be encouraged to report data breaches without fear of

APPENDIX 1

disciplinary action being taken against them.

- Any change of address for residents should be updated on all management systems at the time of first notification
- Upon becoming aware of a data breach within their service area Managers must report the breach to the DPO as soon as practically possible
- A data breach report outlining the circumstances must be supplied to the DPO no later than 48 hours of the manager first being made aware of the data breach.
- DPO must conduct an impact assessment to establish the risks to the rights and freedoms of the data subjects affected and in serious cases report the circumstances as known at that stage to the ICO within the 72 hour timeline.

5. Subject Access Requests

5.1 Both GDPR and the new Data Protection Act 2018 gave data subjects far greater rights as to how their data should be processed and handled by organisations. These eight rights are as defined below:

- The right to be informed;
- The right of access;
- The right to rectification;
- The right to erasure;
- The right to restrict processing;
- The right to data portability;
- The right to object;
- Rights in relation to automated decision making and profiling.

5.2 The right of access was particularly relevant for the Council to consider as this gave individuals the right to request their own personal data, (if held) and to receive this information in a suitable format of their choice within one month of the request being received. This process is referred to as a "Subject Access request (SAR).

5.3 Following the introduction of this new legislation the Council anticipated that a significant rise in requests from individuals seeking their own personal data would occur placing an additional administrative burden on staff. The expected rise in SAR requests has proven not to be the case however and although the administration involved in responding to each request is significant, it is nevertheless considered manageable within the current resources.

5.4 To date all Subject Access Requests received by the Council have been processed and actioned effectively within one month from the date of the Council first receiving the request as required under GDPR.

6 Freedom of Information & Environmental Information Regulations Requests

6.1 It is incumbent on the Council to be as open and transparent in all our business activities and to share information with our residents, customers and others whenever it is within our power to do so. The Council operates a publication scheme which follows the advice contained within the Ministry of Housing, Communities and Local

APPENDIX 1

Governments paper “Local Government Transparency Code 2015.” In complying with this code of practice the Council already publishes a great deal of information on how we spend our budget, the use of our assets, our decision making and other issues of interest to local people on our website as part of our commitment to comply with this code.

- 6.2 The Council does however receive a large quantity of other more diverse requests for specific information under either Freedom of Information Act 2000 or Environmental Information Regulations 2004. Under the terms of this legislation responses to requests are due within twenty (20) working days from the date we first received the request.
- 6.3 Table 1 below shows that the quantity of FOI’s and EIR requests received by the Council has increased significantly over the last three years and is anticipated to continue to rise significantly above previous year’s figures.

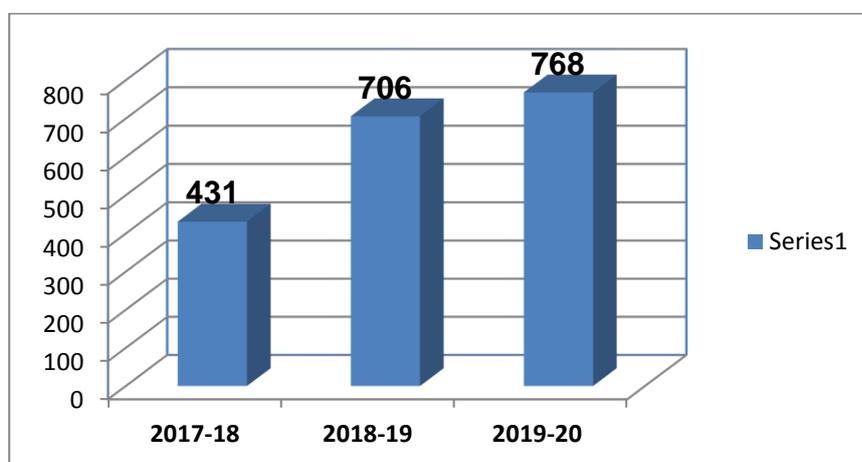


Table 1

- 6.4 Table 2 below highlights the number of requests received throughout last year by quarter, together with the time it has taken to provide a response. As can be seen, the Council supplied a response within the twenty (20) day timeline in nearly 70% of cases. Of some concern however is that over 20% of all requests received by the Council did not actually receive a response.

2019-20 - Responses	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter	Total	%
No of requests received	161	206	184	217	768	
Within 20 Days	75	158	146	153	532	69.27%
More than 20 Days	24	17	16	13	70	9.11%
No response recorded	62	30	21	42	155	20.18%
Other reasons (i.e. Duplicated requests, Further clarity sought or withdrawn)	0	1	1	9	11	

Table 2

APPENDIX 1

- 6.5 To ensure we comply with FOI and EIR legislation in the way we manage these requests the Council operates a “Devolved approach.” This means the requests are received centrally by a small team within the Legal Department consisting of the DPO and assisted by the Legal Assistant (Para-Legal). The FOI Team on receipt of the request record this on a bespoke Council Register then forward these onto the relevant service areas for officers to provide the response direct to the requestor in each case. The FOI team continue to track and monitor progress of the request from receipt to response as necessary.
- 6.6 This “devolved approach” of managing requests has the benefit of ensuring that the people with the most up to date knowledge are engaged in providing the response direct to the requestor. However the risk of applying this system is that the quality of the response can often be affected where officers are not dealing with FOI or EIR requests on a regular basis. Additionally officers can feel under pressure where their own duties are their main priority and the timeline for providing the response rapidly approaches the twenty (20) working day limit.
- 6.7 It was considered that the current devolved approach could be substantially improved if service areas select a small number of FOI liaison officers within their departments to take the lead role of dealing with FOI & EIR requests and for consulting with their service area colleagues to collate information relevant to the request. It was agreed that selected officers should receive some basic training from the DPO on the important issues to consider when handling requests.
- 6.8 In order to improve the Council’s performance in this area CMT have approved the following actions which are in the process of being put in place:-
- In line with cabinet office guidance UDC should publish statistics of their responses to FOI and EIR requests on a quarterly basis
 - Service managers should take ownership of FOI’s EIR requests received within their service areas and ensure their officers provide a response in good time
 - Service managers should elect FOI liaison officers to work alongside the FOI team and their own service area officers to ensure appropriate responses to requests are made within the approved timeline.
 - DPO to provide training to selected Liaison officers to suitably prepare them for the new task to be undertaken.

Conclusion:

- 7.1 It is anticipated that the introduction of the measures approved by CMT will serve to further improve the way in which Information Governance is applied throughout the Council. Progress against these new measures will be reported regularly to CMT as part of the DPO’s quarterly update.

T H Falconer
Data Protection Officer

August 2020

Agenda Item 6

Committee: Governance, Audit and Performance Committee

Date:

Thursday, 10
September 2020

Title: COVID 19 Performance Indicator Report 3

Report Author: Oliver Knight, PFI and Performance Officer

Author: OKnight@uttlesford.gov.uk

Summary

1. This report presents the outturn for all COVID-19 performance indicators for period Monday 6th July 2020 to Sunday 9th August 2020.
2. Despite continuing pressures imposed on service delivery due to the COVID-19 pandemic, data outturns for indicators highlight that services continue to perform well.
3. Whilst it is not possible as yet to directly compare performance during Quarter 2 2019/20 & Quarter 2 2020/21, it is clear from contextual analysis that performance in some services has improved in comparison with performance during the 2019/20 year.

Recommendations

4. To note the performance of services during the COVID-19 pandemic, as attached in Appendix 1.

Financial Implications

5. 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

6. None

Impact

- 7.

Communication/Consultation	None
Community Safety	None beyond indicators reporting the work of the Community Shield Hub (CV 23, CV 24, CV 25, CV 26 & CV 27).

Equalities	None
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	None
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

8. 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.
9. 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.
10. Whilst many more indicators could be identified, those selected were considered to be the most important to monitor given current circumstances.
11. Members should note that these indicators are compiled for multiple audiences and are used by Gold, the Corporate Management Team and sent out as information for all staff. The Committee may therefore find some of the indicators of more interest than others.
12. 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.

13. No targets have been introduced for these COVID-19 performance indicators, instead they have been established as 'information-only' performance indicators.
14. Appendix 1 presents COVID-19 PI data for the period Monday 6th July 2020 to Sunday 9th August 2020. Alongside indicators where daily or weekly outturns are presented, data for July 2020 is also provided for monthly indicators.
15. 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. Year-to-date comparisons where possible have been included. In the next COVID 19 Report, it will be possible to provide 2019/20 & 2020/21 year-on-year comparisons based upon performance during Quarter 2.
16. Graphical and pictorial representations of the data are also presented, which portray performance fluctuations since data was first collated for these indicators in April.
17. All data and performance notes included in Appendix 1 have been reviewed by the Council's Gold & Silver Command.
18. Overall, data outturns highlight that services are continuing to perform well despite the current circumstances. Monthly data for July 2020 supports this performance overview as it is clear many monthly indicators have shown a positive improvement during July 2020. The following points are drawn to members' attention as being of particular note:
 - a.) The time taken to process both New Claims (**CV 01**) and Change Events (**CV 02**) has continued to improve during July 2020. Early indications show that performance during Quarter 2 2020/21 has improved for these measures in comparison to Quarter 2 2019/20.
 - b.) Data for the number of Building Control Site Visits completed (**CV 03**) highlights a steady increase on a weekly basis, with the number of site visits completed during Week Commencing 3rd August 2020 reaching 115 site visits; the largest amount reported since data was first collected.
 - c.) Monthly data regarding the total Pay & Display sales (**CV 29**) continues to show a steady recovery to pre-pandemic levels. Total takings for July 2020 represent a 43.55% decrease in comparison to the quantum taken in July 2019. Whilst this is a still a significant decrease, it is less in comparison to both May & June's decreases of -87.35% and -67.96% effectively.
 - d.) July 2020 outturns for Revenues PIs also show a positive image of performance. Whilst the percentage of Council Tax Collected (**CV 18**) and Local Council Tax Support Collection Rate (**CV 19**) continue to highlight similar increases in collection rates month-on-month, it must be noted that the percentage of Non-Domestic Rates collected (**CV 17**) has risen significantly during July 2020, from 19.62% of the annual total in June to 27.85% at the end of July. The percentage of sundry debtor income

overdue (**CV 20**) also shows a positive trend, slightly decreasing in July 2020, and further rent collection rates continued to improve during July 2020 (**CV 28**).

e.) The percentage of collections of waste and recyclables successfully made on first visit (**CV 11**) has shown sustained improvement, with 99.98% recorded since the beginning of July 2020. Given outturns of Quarter 1 & Quarter 2 2019/20 being 99.95% and 99.96% respectively, it is evident that performance during the pandemic represents an improvement in comparison to last year.

19. Where relevant, local performance indicators are also being monitored to support performance management. This additional level of monitoring is providing further detail on operational aspects of services, supporting and complementing the broader performance image provided by the current corpus of COVID-19 PIs.

20. During August 2020, the Performance Team will evaluate the continued effectiveness of COVID-19 PIs included in this report. As the pandemic progresses, it is recognised we should consider the scope of these PIs, and whether any should be discontinued. Further, a review of weekly Situation Reports provided by the Senior Management Team will indicate any new COVID-19 PIs which should be introduced for monitoring.

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.	3 – The majority of service areas in the Council are customer-facing.	The 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 Report – 6th July 2020 to 9th August 2020

COVID-19 Performance Indicators - Appendix 1



Report Timeframe

Start Date	Monday 6 th July 2020
End Date	Sunday 9 th August 2020

Please note:

- Page 43
- This report contains data for all COVID-19 performance indicators being monitored to consider the effect of COVID-19 on service delivery. Data included represents the timeframe Monday 6th July 2020 to Sunday 9th August 2020.
 - For indicators where data is recorded monthly, monthly data is now available for April 2020, May 2020, June 2020 & July 2020.
 - For indicators where data is recorded weekly, data is presented on a weekly basis from Week Commencing Monday 6th July 2020 to Week Commencing 3rd August 2020.
 - The most recent outturn is shown in bold and green.
 - 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. Comparison to attainment during previous quarters or this year's PI target are narrated where possible to contextualise performance.
 - 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 and weekly 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. For monthly PIs, the trend assesses the most recent two months' data.

Benefits

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

April 2020	May 2020	June 2020	July 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 July 2020, numerator – 1,929 (number of days), and denominator - 129 (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). ➤ The positive performance demonstrated in Quarter 1 2020/21 has clearly continued into Quarter 2, as July's outturn highlights an improvement in comparison to June 2020.
13.38 days	20.7 days	16.28 days	14.95 days	

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

April 2020	May 2020	June 2020	July 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 July 2020, numerator – 6,172 (number of days) and denominator – 1,342 (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). ➤ The positive performance demonstrated in Quarter 1 2020/21 has clearly continued into Quarter 2, as July's outturn highlights an improvement in comparison to June 2020.
4.02 days	10.5 days	7.90 days	4.60 days	

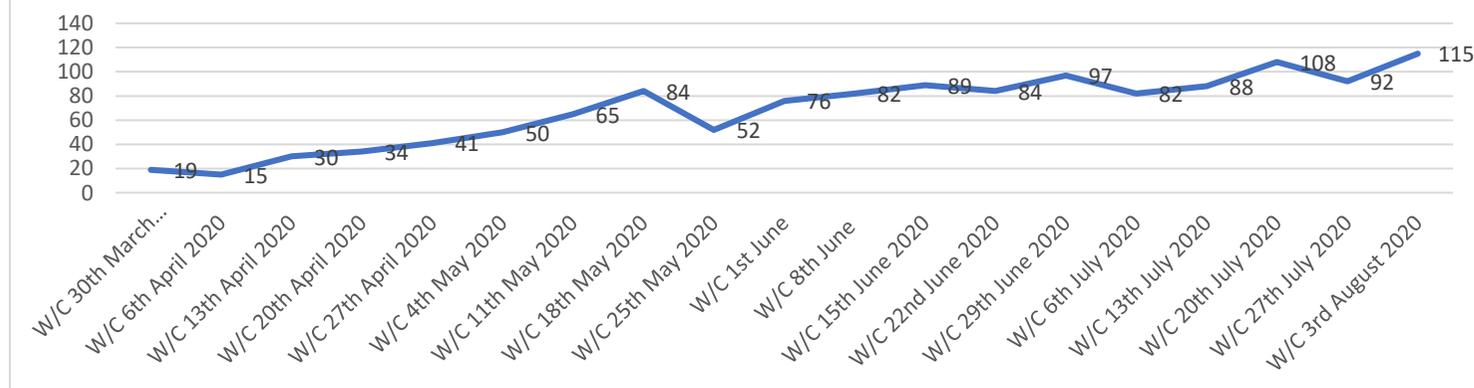
Building Control

CV 03 – Number of Building Control site visits completed

W/C 6 th July 2020	W/C 13 th July 2020	W/C 20 th July 2020	W/C 27 th July 2020	W/C 3 rd August 2020	
82 site visits completed	88 site visits completed	108 site visits completed	92 site visits completed	115 site visits completed	<ul style="list-style-type: none"> ➤ Reason for monitoring: 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 3rd August 2020, the quantity of inspections completed increased by 25.00% in comparison to the previous week. ➤ As a year-on-year comparison, 115 site visits were completed during w/c 3rd August 2020 and 151 were completed during comparable week in 2019/20. As such in 2020/21 we completed 76.16% of the site visits completed during 2019/20. ➤ Data for Week Commencing 3rd August 2020 represents highest number of inspection requests since the beginning of lockdown.

Page 45

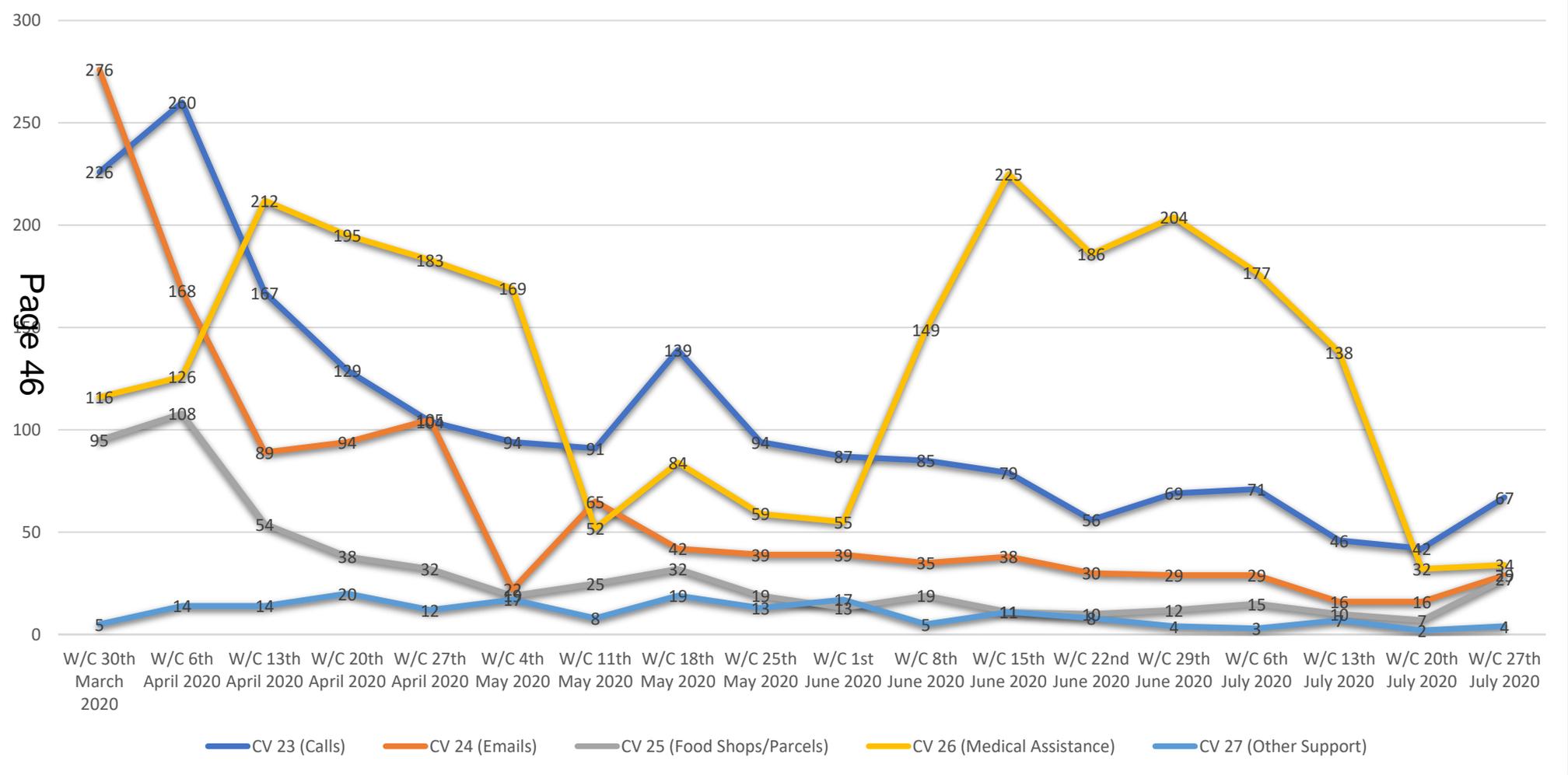
CV 03 - Number of site visits completed



Short Term	↑
Long Term	↑

Communities

Community Shield Hub



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

W/C 6 th July 2020	W/C 13 th July 2020	W/C 20 th July 2020	W/C 27 th July 2020	W/C 3 rd August 2020	➤ <i>Reason for monitoring:</i> Provides an overview of the number of people directly contacting the hub by telephone for support.	Short Term	TBC
71	46	42	67	TBC		Long Term	

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

W/C 6 th July 2020	W/C 13 th July 2020	W/C 20 th July 2020	W/C 27 th July 2020	W/C 3 rd August 2020	➤ <i>Reason for monitoring:</i> Provides an overview of the number of people directly contacting the hub by email for support.	Short Term	TBC
29	16	16	29	TBC		Long Term	

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

W/C 6 th July 2020	W/C 13 th July 2020	W/C 20 th July 2020	W/C 27 th July 2020	W/C 3 rd August 2020	➤ <i>Reason for monitoring:</i> Provides an overview of the number of people requiring food assistance due to the pandemic.	Short Term	TBC
15	10	7	27	TBC		Long Term	

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

W/C 6 th July 2020	W/C 13 th July 2020	W/C 20 th July 2020	W/C 27 th July 2020	W/C 3 rd August 2020	➤ <i>Reason for monitoring:</i> Provides an overview of the number of people requiring medical delivery assistance during the pandemic.	Short Term	TBC
177	138	32	34	TBC		Long Term	

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

W/C 6 th July 2020	W/C 13 th July 2020	W/C 20 th July 2020	W/C 27 th July 2020	W/C 3 rd August 2020	> Reason for monitoring: Provides an overview of the number of people requiring miscellaneous support during the pandemic.	Short Term	TBC
3	7	2	4	TBC		Long Term	

Customer Services

CV 04 – Calls answered as a percentage of calls received

Page 8	> 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. For 3 rd August 2020, 432 calls were answered out of a total of 458 calls received. > During Quarter 1 2019/20, 26,445 were answered out of 27,390 calls received, equating to 96.55% of calls answered. Comparatively therefore, answer rates now appear to be similar in comparison to performance before the COVID-19 pandemic.	Short Term		
		Long Term		
Week Commencing 6 th July 2020				
6 th July 2020	7 th July 2020	8 th July 2020	9 th July 2020	10 th July 2020
92%	96%	92%	93%	95%
Week Commencing 13 th July 2020				
13 th July 2020	14 th July 2020	15 th July 2020	16 th July 2020	17 th July 2020
91%	93%	96%	92%	96%
Week Commencing 20 th July 2020				
20 th July 2020	21 st July 2020	22 nd July 2020	23 rd July 2020	24 th July 2020
93%	94%	96%	95%	96%
Week Commencing 27 th July 2020				
27 th July 2020	28 th July 2020	29 th July 2020	30 th July 2020	31 st July 2020
95%	95%	95 [^]	96%	95%
Week Commencing 3 rd August 2020				

3 rd August 2020	4 th August 2020	5 th August 2020	6 th August 2020	7 th August 2020
94%	94%	96%	94%	91%

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

- 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 3rd August 2020, 25 calls were abandoned out of a total of 458 calls received.

Short Term



Long Term



Week Commencing 6th July 2020

6 th July 2020	7 th July 2020	8 th July 2020	9 th July 2020	10 th July 2020
8%	4%	8%	7%	5%

Week Commencing 13th July 2020

13 th July 2020	14 th July 2020	15 th July 2020	16 th July 2020	17 th July 2020
9%	7%	4%	8%	4%

Week Commencing 20th July 2020

20 th July 2020	21 st July 2020	22 nd July 2020	23 rd July 2020	24 th July 2020
7%	6%	4%	5%	4%

Week Commencing 27th July 2020

27 th July 2020	28 th July 2020	29 th July 2020	30 th July 2020	31 st July 2020
5%	5%	5%	4%	5%

Week Commencing 3rd August 2020

3 rd August 2020	4 th August 2020	5 th August 2020	6 th August 2020	7 th August 2020
6%	6%	4%	6%	9%

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

- 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



Week Commencing 6th July 2020

6 th July 2020	7 th July 2020	8 th July 2020	9 th July 2020	10 th July 2020	11 th July 2020	12 th July 2020
0	0	0	0	0	1	0

Week Commencing 13th July 2020

13 th July 2020	14 th July 2020	15 th July 2020	16 th July 2020	17 th July 2020	18 th July 2020	19 th July 2020
0	0	0	0	1	2	0
Week Commencing 20 th July 2020						
20 th July 2020	21 st July 2020	22 nd July 2020	23 rd July 2020	24 th July 2020	25 th July 2020	26 th July 2020
0	1	0	0	0	1	0
Week Commencing 27 th July 2020						
27 th July 2020	28 th July 2020	29 th July 2020	30 th July 2020	31 st July 2020	1 st August 2020	2 nd August 2020
0	0	0	0	1	0	0
Week Commencing 3 rd August 2020						
3 rd August 2020	4 th August 2020	5 th August 2020	6 th August 2020	7 th August 2020	8 th August 2020	9 th August 2020
0	0	1	0	0	0	0

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

Page 06	<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	
Week Commencing 6 th July 2020							
6 th July 2020	7 th July 2020	8 th July 2020	9 th July 2020	10 th July 2020	11 th July 2020	12 th July 2020	
108	110	81	87	63	37	15	
Week Commencing 13 th July 2020							
13 th July 2020	14 th July 2020	15 th July 2020	16 th July 2020	17 th July 2020	18 th July 2020	19 th July 2020	
126	106	73	126	87	32	33	
Week Commencing 20 th July 2020							
20 th July 2020	21 st July 2020	22 nd July 2020	23 rd July 2020	24 th July 2020	25 th July 2020	26 th July 2020	
74	114	111	65	61	25	10	
Week Commencing 27 th July 2020							
27 th July 2020	28 th July 2020	29 th July 2020	30 th July 2020	31 st July 2020	1 st August 2020	2 nd August 2020	
44	74	96	44	97	37	20	
Week Commencing 3 rd August 2020							
3 rd August 2020	4 th August 2020	5 th August 2020	6 th August 2020	7 th August 2020	8 th August 2020	9 th August 2020	
74	60	97	83	69	19	20	

CV 08 – Percentage of payments received via ATP or website

- *Reason for monitoring:* to comprehend the use of ATP and online payments through the website.
- This indicator was introduced to provide data on how COVID-19 may be changing customers' payment methods. To date there is not a significant change in comparison to 2019/20; levels of payments using these methods have increased but only slightly (by around 7%).

Short Term



Long Term



Week Commencing 6th July 2020

6 th July 2020	7 th July 2020	8 th July 2020	9 th July 2020	10 th July 2020	11 th July 2020	12 th July 2020
261	145	101	100	100	34	34

Week Commencing 13th July 2020

13 th July 2020	14 th July 2020	15 th July 2020	16 th July 2020	17 th July 2020	18 th July 2020	19 th July 2020
111	68	59	64	51	20	37

Week Commencing 20th July 2020

20 th July 2020	21 st July 2020	22 nd July 2020	23 rd July 2020	24 th July 2020	25 th July 2020	26 th July 2020
79	56	41	47	88	34	36

Week Commencing 27th July 2020

27 th July 2020	28 th July 2020	29 th July 2020	30 th July 2020	31 st July 2020	1 st August 2020	2 nd August 2020
105	85	55	91	188	167	119

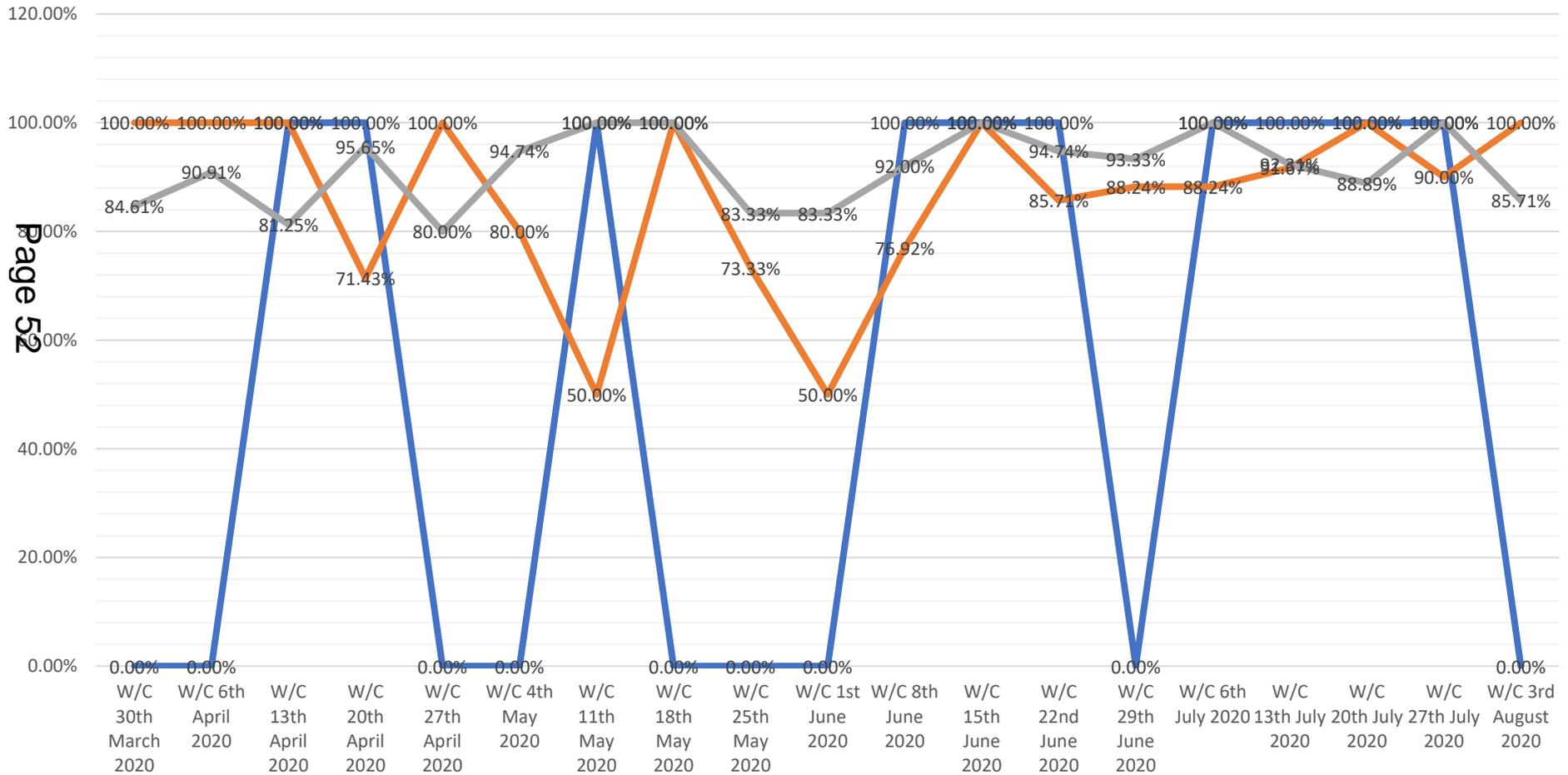
Week Commencing 3rd August 2020

3 rd August 2020	4 th August 2020	5 th August 2020	6 th August 2020	7 th August 2020	8 th August 2020	9 th August 2020
301	147	114	113	100	44	52

Development Management

Development Management: Planning Applications

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



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

W/C 6 th July 2020	W/C 13 th July 2020	W/C 20 th July 2020	W/C 27 th July 2020	W/C 3 rd August 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 30 is also monitored as part of UDC's formal quarterly and annual performance monitoring processes (KPI 11). ➤ For week commencing 3rd August, no major applications were due a decision. Since 1st April 2020, 15 applications should have been decided, of which 15 were in time (100%). During Quarter 1 2019/20, 8 out of 11 (73%) applications were decided within time. Performance therefore seems improved during the pandemic. ➤ It is important to note that this data represents only the amount of applications which were <i>due</i> a decision during the relevant week. It does not reflect the overall quantities of applications being processed at any one time. 	Short Term	N/A
						Long Term	N/A
100.00%	100.00%	100.00%	100.00%	No decisions were due			

Page 3 of 3

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

W/C 6 th July 2020	W/C 13 th July 2020	W/C 20 th July 2020	W/C 27 th July 2020	W/C 3 rd August 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 3rd August 2020, 9 out of 9 applications were decided in time. Since 1st April 2020, 141 applications should have been decided, of which 124 were in time (88%). During Quarter 1 2019/20, 92 out of 150 (61%) applications were decided within time. Performance therefore during Quarter 1 2020/21 seems improved, despite less minor applications being received overall in 2020/21 in comparison to 2019/20. ➤ This data represents only the amount of applications which were <i>due</i> a decision during the relevant week. It does not reflect the overall quantities of applications received as a whole which are being processed at any one time. 	Short Term	
						Long Term	
85.71%	91.67%	100.00%	90.00%	100.00%			

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

W/C 6 th July 2020	W/C 13 th July 2020	W/C 20 th July 2020	W/C 27 th July 2020	W/C 3 rd August 2020	
100.00%	92.31%	88.89%	100.00%	85.71%	<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 3rd August 2020, 6 out of 7 applications were decided in time. Since 1st April 2020, 300 applications should have decided, of which 271 were in time (90%). During Quarter 1 2019/20, 271 out of 319 (85%) were decided within time. Performance therefore seems improved overall during the pandemic despite weekly fluctuations. ➤ It is important to note that this data represents only the amount of applications which were <i>due</i> a decision during the relevant week. It does not reflect the overall quantities of applications received as a whole which are being processed at any one time.

Short Term	
Long Term	

Page 54

Economic Development

CV 29 – Car Parks: Percentage decrease in total Pay & Display sales (year-on-year comparison)

April 2020	May 2020	June 2020	July 2020	
-91.11%	-87.35%	-67.97%	-43.55%	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> To ascertain how COVID-19 is affecting income from the car parks across the district. ➤ During July 2019, total Pay & Display sales were £88,903.50, whilst during July 2020 the total was £50,182.85. Value for July 2020 therefore represents a 43.55% decrease in income in comparison to last year. ➤ The financial value of Total Pay & Display sales reported here represents the total of MiPermit ticket sales via the MiPermit app, and cash sales through Flowbird car park ticket machines. Whilst the amounts used in calculation are the exact amounts reported to UDC, it is important to note that the reliability of cash sales from the Flowbird car park ticket machines can vary as they are dependent upon both car-park WIFI connections and Flowbird systems functioning accurately.

CV 33 – Percentage decrease in Penalty Charge Notices issued (year-on-year comparison)

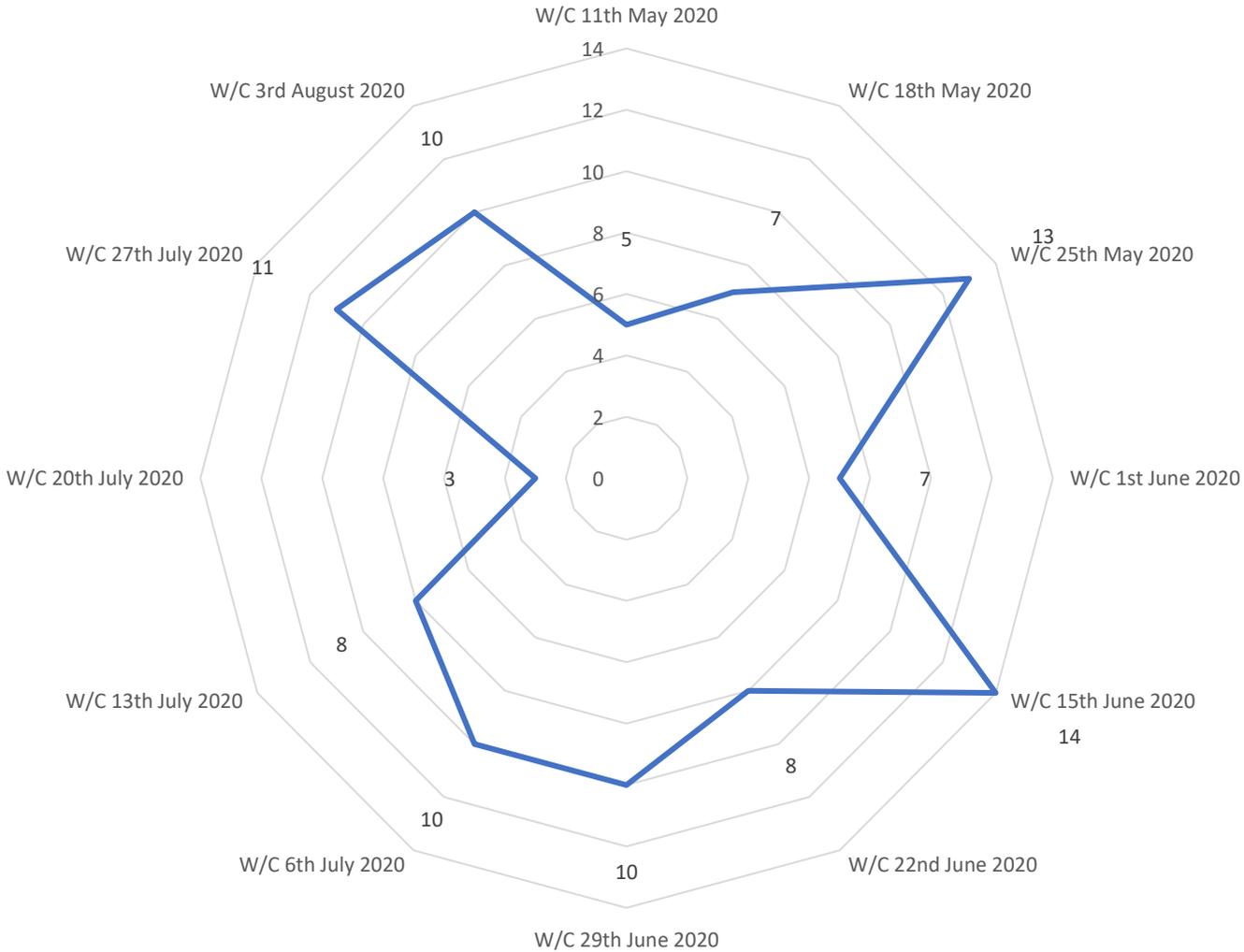
April 2020	May 2020	June 2020	July 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> To ascertain how COVID-19 is affecting the issuing of Penalty Charge Notices (PCNs) across the district. ➤ During July 2019, 248 PCNs were issued, whilst during July 2020 348 were issued. This represents a 40% increase as a year-on-year comparison ➤ Data on PCNs issued is supplied directly by the North Essex Parking Partnership's Enforcement department.
-100%	-100%	124.9%	+40.00%	

Environmental Health (Commercial)

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

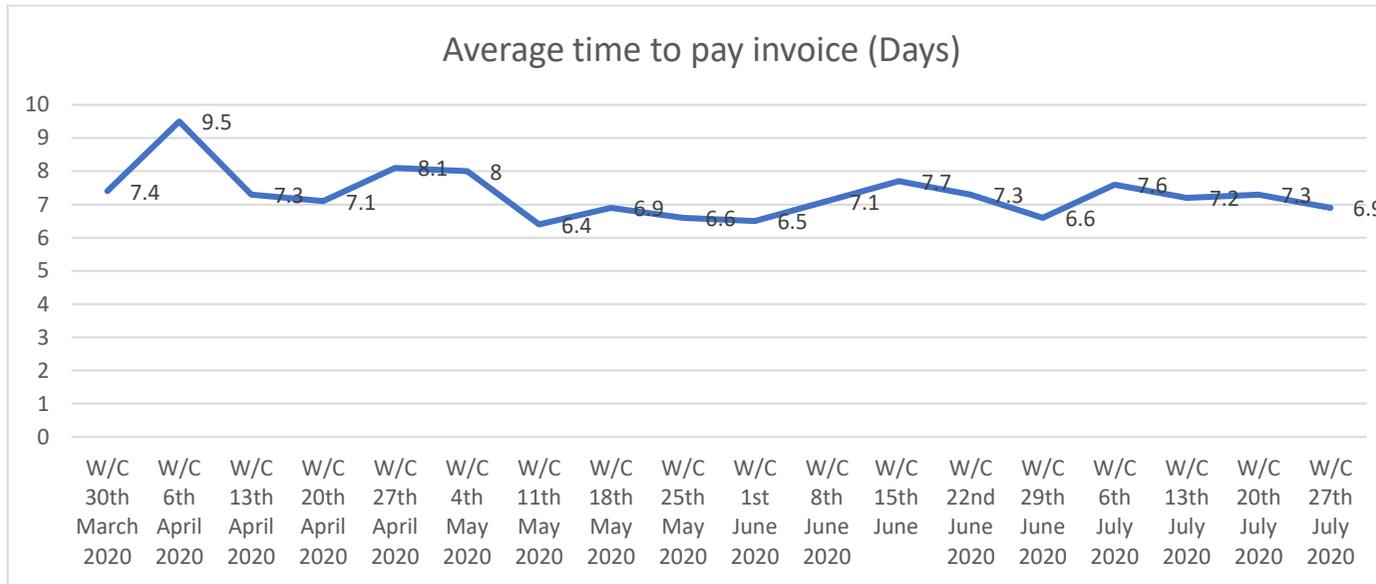
W/C 6 th July 2020	W/C 13 th July 2020	W/C 20 th July 2020	W/C 27 th July 2020	W/C 3 rd August 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> to ascertain compliance across the district with government guidance relating to closure of restaurants/pubs and also social distancing. ➤ The outturn represents total of complaints received; including those relating to social distancing, and those relating to premises closure breaches. 	Short Term	
10	8	3	11	10		Long Term	

Complaints: Premises Closure Breaches & Social Distancing



Finance

Page 57



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

W/C 6 th July 2020	W/C 13 th July 2020	W/C 20 th July 2020	W/C 27 th July 2020	W/C 3 rd August 2020	<ul style="list-style-type: none"> ➤ Reason for monitoring: to indicate compliance with the Cabinet Office’s guidance to pay suppliers as quickly as possible during the pandemic. ➤ For week commencing 3rd August 2020, numerator was 521 (number of payment days), and denominator 69 (number of invoices paid); averaging at 6.9 days per invoice. During Quarter 1 2019/20, the average time to pay invoices was 6.1 days. As such, outturns for recent weeks represents an increase in payment time in comparison to last year’s performance. 	Short Term	Long Term
7.6 days	7.2 days	7.3 days	6.9 days	7.6 days		 	

Housing Strategy & Operations

CV 13 – Number of people making homelessness approaches

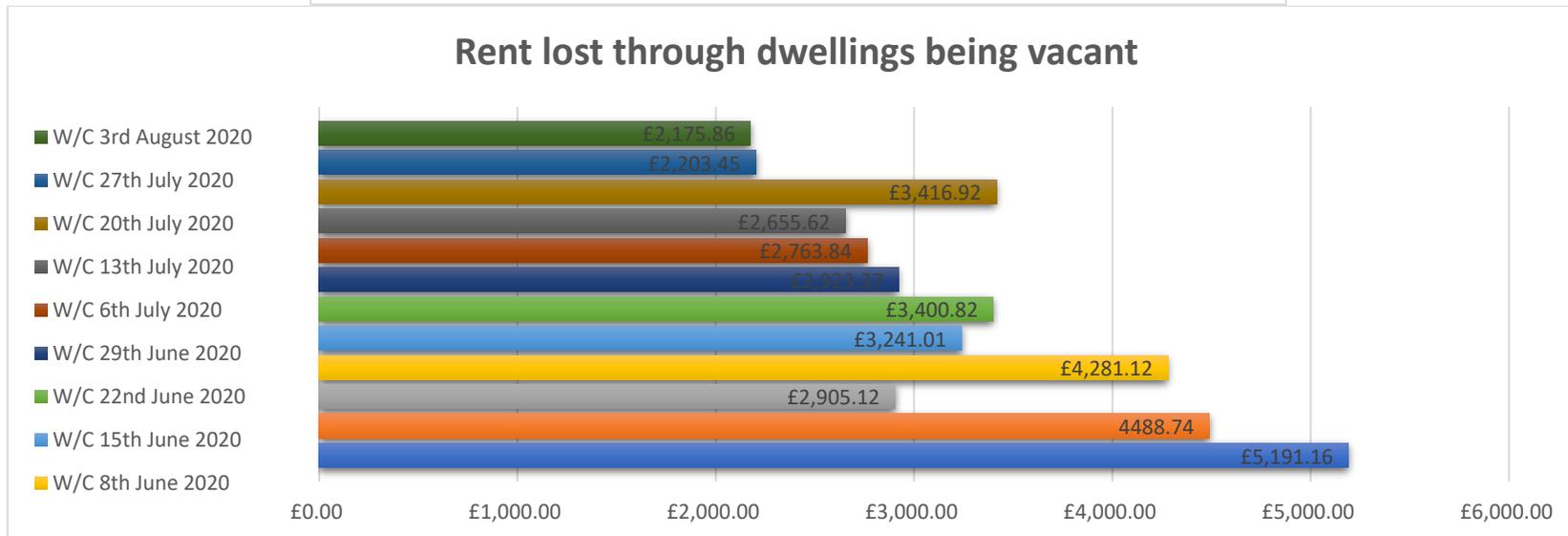
W/C 6 th July 2020	W/C 13 th July 2020	W/C 20 th July 2020	W/C 27 th July 2020	W/C 3 rd August 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> People who are homeless may find it more difficult to self-isolate and therefore may be more at risk from COVID-19. ➤ CV 13 is also monitored as part of UDC's formal quarterly and annual performance monitoring processes (HSG 44a). Since week commencing 30th March, 153 people have made homelessness approaches. Given that during Quarter 1 2019/20 we received a total of 74 homeless approaches, a significant increase in homelessness approaches is therefore already evident during Quarter 1 2020/21. 	Short Term	
						Long Term	
8	13	11	6	8			

CV 14 – Number of people registered on HomeOptions

April 2020	May 2020	June 2020	July 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	1,054	1,128	1,166	

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

W/C 6 th July 2020	W/C 13 th July 2020	W/C 20 th July 2020	W/C 27 th July 2020	W/C 3 rd August 2020	<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. ➤ For w/c 3rd August, £2,175.86 rent (23 properties) was lost due to voids. Thus far, since week commencing 30th March 2020, £82,251.31 rent has been lost due to void properties. 	Short Term	
						Long Term	
£2,763.84	£2,655.62	£3,416.92	£2,203.45	£2,175.86			



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 July 2020	W/C 13 th July 2020	W/C 20 th July 2020	W/C 27 th July 2020	W/C 3 rd August 2020	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> to consider the impact on IT helpdesk service. ➤ For week commencing 3rd August 2020, out of a total of 145 helpdesk calls raised, 61 related to the COVID-19 pandemic (e.g. change in working arrangements). Outturn for this week therefore highlights that a significant reduction in the amount of Helpdesk calls relating to the COVID-19 pandemic, despite the most previous two weeks showing a significant increase.
58% (91 calls)	44% (60 calls)	49% (50 calls)	59% (70 calls)	42% (61 calls)	

Short Term



Long Term



Revenues

CV 17 - Percentage of non-domestic rates collected

April 2020	May 2020	June 2020	July 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 July 2020, numerator is £9,487,750.98 and denominator £35,367,499.23. ➤ July's outturn shows a significant increase in collection during July in comparison to previous months. ➤ 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%). June outturn of 19.62% therefore shows a significantly lower level of Business Rates collection during Quarter 1 2020/21 than during Quarter 1 2019/20.
4.39%	13.05%	19.62%	27.84%	

CV 18 – Percentage of council tax collected

April 2020	May 2020	June 2020	July 2020	
10.35%	19.23%	28.42%	37.97%	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> To ascertain how COVID-19 is affecting UDC's high collection rates. ➤ For July 2020, numerator is £26,567,591.82 and denominator £69,567,591.82. July's outturn follows the pattern of previous months, showing a continual steady increase in the total Council Tax collected. ➤ 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%). In comparison to Quarter 1 2019/20, it appears that collection has only been slightly affected; with a reductions decreasing from 29.80% in Q1 2019/20 to 28.42% in Q1 2019/20.

CV 19 – Amount paid in Business Rate Reliefs & Grants

W/C 6 th July 2020	W/C 13 th July 2020	W/C 20 th July 2020	W/C 27 th July 2020	W/C 3 rd August 2020	
£115,000	£90,000	£40,000	£40,000	£10,000	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> 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 - £18,295,000

Short Term



Long Term



CV 20 – Percentage of sundry debtor income overdue

April 2020	May 2020	June 2020	July 2020	
2.40%	4.24%	8.36%	8.15%	<ul style="list-style-type: none"> ➤ <i>Reason for monitoring:</i> To ascertain effect of COVID-19 on debtors' ability to pay. ➤ For July 2020, numerator is £76,989.77 and denominator £945,034.76. Contrary to the trend over the previous few months, July's outturn highlights a small decrease in the amount of Sundry Debtor income overdue. It is still clear however that significantly more Sundry Debtor income is still overdue during the pandemic, given the outturn at the end of Quarter 1 2019/20 was comparatively 1.4% ➤ CV 20 is also monitored as part of UDC's formal quarterly and annual performance monitoring processes (PI 03).

CV 21 – Local Council Tax Support Collection Rate

April 2020	May 2020	June 2020	July 2020	
8.84%	15.95%	23.56%	30.72%	<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 July 2020, numerator is £232,410.55 and denominator is £756,461.53. July's outturn follows the pattern of previous months, showing a continual steady increase in the total collected. ➤ 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). Directly compared to Quarter 1 2019/20, it is evident that the LCTS collection rate has greatly reduced in Quarter 1 2020/21.

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

April 2020	May 2020	June 2020	July 2020	
97.24%	96.10%	99.75%	99.80%	<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 July 2020, numerator is £5,186,596.08 and denominator is £5,197,003.74. ➤ 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). Thus far, June 2020's outturn value highlights that during the pandemic rent collection rates have stayed similar to outturn for Q1 2019/20.

Street Services

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

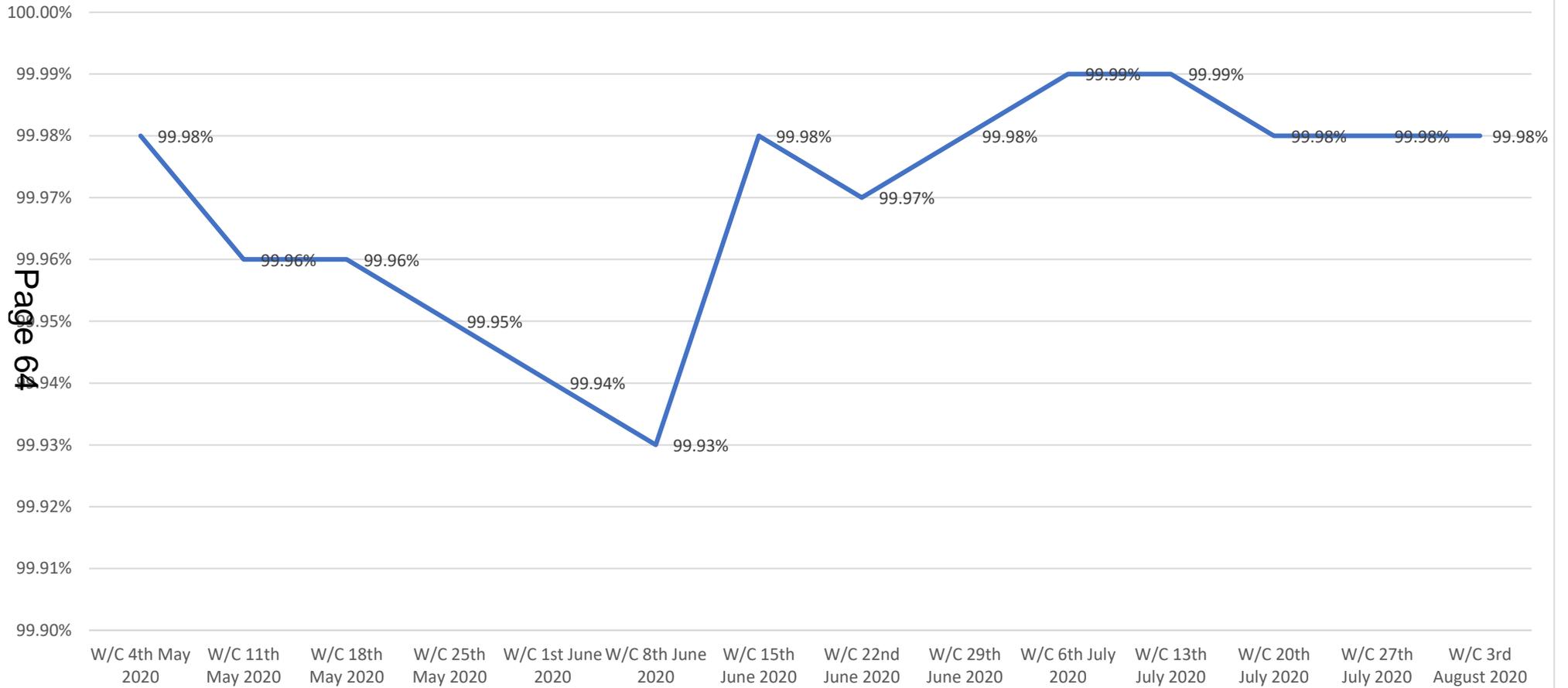
April 2020	May 2020	June 2020	July 2020	<ul style="list-style-type: none"> ➤ Reason for monitoring: we are currently operating a reduced grounds maintenance service. ➤ Works orders, sheltered housing visits, welfare gardens and circuits of the rural grass cutting route are included here as activities. ➤ Data for May & June represent rough approximations. Sheltered accommodation and welfare gardens completed as normal during May, however the rural grass cutting route suffered due to staff shortages. During June, all staff are back from shielding so all scheduled works are due to be finished (welfare routes completed; four sheltered routes completed; one rural route completed with second to be finished next week). 	Trend 	
26%	70%	100%	TBC			

Page 63

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

W/C 6 th July 2020	W/C 13 th July 2020	W/C 20 th July 2020	W/C 27 th July 2020	W/C 3 rd August 2020	<ul style="list-style-type: none"> ➤ Reason for monitoring: to ascertain the effect of COVID 19 on both service provision and crews. ➤ For Week Commencing 3rd August 2020, 46,363 bins out of a possible 46,370 bins were collected; giving a collection rate of 99.99%. ➤ 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%, data is now showing an increase in collection rates in recent weeks. 	Short Term 	
99.99%	99.99%	99.98%	99.98%	99.98%			

Percentage of waste and recyclable successfully collected on first visit (Max)



Page 64

Website & Consultation

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

W/C 6 th July 2020	W/C 13 th July 2020	W/C 20 th July 2020	W/C 27 th July 2020	W/C 3 rd August 2020					
796 <i>(Protocols for taxi drivers, advice for pubs & restaurants reopening; social distancing guidance after 4th July).</i>	794 <i>(Traffic to Coronavirus pages and related resources has levelled off; some interest in resources for taxi and private hire trades)</i>	689 <i>(The main COVID-19 landing page is still the entry point. Grant funding and information for specific sectors such as the pub and taxi trades account for the majority of other traffic).</i>	842 <i>(Main Coronavirus landing page. Other top performers include FAQs for taxi owners and the community support page. Interest in business support and grants has waned.</i>	629 <i>(Vast majority of hits [around two thirds] are still onto main COVID-19 landing page; Business Support and information for the taxi trade)</i>	<table border="1"> <tr> <td>Short Term</td> <td>↓</td> </tr> <tr> <td>Long Term</td> <td>↓</td> </tr> </table> <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. ➤ For Week Commencing 3rd August 2020, traffic to COVID-19 resources and related pages is down by 25.3% on the previous week. 	Short Term	↓	Long Term	↓
Short Term	↓								
Long Term	↓								

