



## Public Document Pack

# Uttlesford District Council

Interim Chief Executive: Rob Tinlin

## Governance, Audit and Performance Committee

**Date:** Tuesday, 28th September, 2021

**Time:** 7.00 pm

**Venue:** Council Chamber - Council Offices, London Road, Saffron Walden, CB11 4ER

**Broadcast:**

**Chair:** Councillor E Oliver

**Members:** Councillors H Asker, G Driscoll (Vice-Chair), J Emanuel, M Foley, A Khan, B Light, S Luck and J De Vries

**Substitutes:** Councillors A Dean, P Fairhurst, V Isham, G Smith and M Sutton

### **Public Speaking**

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. Please register your intention to speak at this meeting by writing to [committee@uttlesford.gov.uk](mailto:committee@uttlesford.gov.uk)

Public speakers will be offered the opportunity for an officer to read out their questions or statement at the meeting, and encouraged to attend the meeting via Zoom to readout their questions or statement themselves. For further information, please see overleaf. Those who would like to watch the meeting live can do so virtually 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 - 11  
To consider the minutes of the previous meeting.
- 3 Housing Benefit Subsidy Audit 2019/20 and Auditors Grant Letter** 12 - 24  
To consider the report on the Housing Benefit Subsidy Audit 2019/20 and Auditors Grant Letter.
- 4 Review of pilot scheme: time permitted for questions to the Executive and Committee Chairs** 25 - 30  
To consider the report on reviewing the Rule 2.4 pilot scheme: Time permitted for questions to the Executive and Committee Chairs.
- 5 Community Governance Review** 31 - 43  
To consider the Community Governance Review report.
- 6 2021/22 Annual PFI Contract Update** 44 - 52  
To consider the 2021/22 Annual PFI contract update report.
- 7 Local Government Ombudsman Report 2020/21** 53 - 60  
To consider the Local Government Ombudsman report 2020/21.
- 8 Quarter 1 2021/22 Performance Indicator Report** 61 - 77  
To receive the Performance Indicator Report for Quarter 1 2021/22.

## **MEETINGS AND THE PUBLIC**

In light of the recent High Court judgement regarding the extension of remote meeting regulations, Council, Cabinet and Committee meetings will now be returning to in-person and will be held on-site from Thursday 6th May 2021. However, due to social distancing measures and capacity considerations in line with the Council's risk assessment, public access and participation will continue to be encouraged virtually until further notice.

Members of the public are welcome to listen live to the debate of any of the Council's Cabinet or Committee meetings. All live broadcasts and meeting papers can be viewed on the Council's calendar of meetings webpage.

Members of the public are permitted to speak at this meeting and will be encouraged to do so via the video conferencing platform Zoom. If you wish to make a statement via Zoom video link, you will need to register with Democratic Services by midday two working days before the meeting. There is a 15 minute public speaking limit and 3 minute speaking slots will be given on a first come, first served basis. Those wishing to make a statement via video link will require an internet connection and a device with a microphone and video camera enabled. Those wishing to make a statement to the meeting who do not have internet access can do so via telephone.

Technical guidance on the practicalities of participating via Zoom will be given at the point of confirming your registration slot, but if you have any questions regarding the best way to participate in this meeting please call Democratic Services on 01799 510 369/410/467/548 who will advise on the options available.

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 COUNCIL CHAMBER - COUNCIL OFFICES, LONDON ROAD, SAFFRON WALDEN, CB11 4ER, on WEDNESDAY, 30 JUNE 2021 at 7.00 pm**

Present: Councillor E Oliver (Chair)  
Councillors G Driscoll (Vice-Chair), J Emanuel, A Khan, B Light and M Sutton (substitute for Councillor Luck)

Officers in attendance: R Auty (Assistant Director - Corporate Services), E Brooks (Internal Audit Manager), A Chessell (Chief Procurement and Risk Officer), C Edwards (Democratic Services Officer), P Evans (Customer Services and Performance Manager), D French (Chief Executive), C Gibson (Democratic Services Officer), A Knight (Assistant Director - Resources), O Knight (PFI and Performance Officer), J Reynolds (Lawyer) and A Webb (Director - Finance and Corporate Services)

## **GAP6 APOLOGIES FOR ABSENCE AND DECLARATIONS OF INTEREST**

Apologies were given by Councillors Asker, Foley and Luck. Councillor Sutton was the substitute for Councillor Luck.

## **GAP7 MINUTES OF THE PREVIOUS MEETING**

Councillor Khan congratulated the minutes taker for very clear exceptional minutes.

The minutes of the meeting held on 10 June 2021 were approved as correct.

## **GAP8 INTERNAL AUDIT ANNUAL REPORT 2020/21**

The Internal Audit Manager gave a summary of the report, which detailed the work undertaken during the 2020/21 financial year and provided details on the high risk and priority issues which could impact on the effectiveness of the internal control environment, risk management and governance arrangements across the Council. She provided an overview of work done in the year as detailed in Paragraph 1.4 of the report. She referred to Paragraph 2.3 of her report in her opinion that overall, the Council's systems for control, risk and governance were generally adequate with some improvements required. She said her opinion had been supported through the risk management framework.

The Internal Audit Manager said that seven high priority findings had been identified in reports but that she was not unduly concerned at this stage, the key indicator will be whether good progress is made in implementation of the recommendations. She said that 'moderate assurance' had been the overall opinion in respect of the Key Financial systems and that implementation of audit recommendations had been good.

In response to a question from Councillor Khan about the outstanding recommendation from the Equality and Diversity report, the Internal Audit Manager said that this related to ensuring that all service plans included equality objectives from September 2021.

RESOLVED that GAP Committee note the contents of this report.

#### **GAP9 INTERNAL AUDIT STRATEGY 2021-23**

The Internal Audit Manager gave a summary of the report that set out the strategy for 2021-23, covering how the service would be delivered and developed, as a key component of compliance with Public Sector Internal Audit Standards. She outlined the mission statement, the goals, the key internal audit outputs and the measurements of success and said that she would report back on progress made against the strategy.

Councillor Emanuel thanked the Internal Audit Manager for the clarity of her reports.

RESOLVED that GAP Committee note the Internal Audit Strategy for 2021-23.

#### **GAP10 CONTRACT PROCEDURE RULES**

This item was brought forward on the agenda to accommodate the Chief Procurement and Risk Officer from Chelmsford City Council, who outlined the shared service procurement arrangements between Chelmsford and Uttlesford that have been in place since April 2021.

The Chief Procurement and Risk Officer said that she had been working with the Assistant Director - Resources to review the Contract Procedure Rules. The proposed amended rules included reducing the administrative input required by Chief and Deputy Chief Officers for low value goods and services, simplified procedures and modernising the language. She said that the proposed rules were in line with those at Chelmsford City Council and summarised the proposed changes as detailed in Paragraph 10 of the report.

Councillor Light said that she supported the new approach but was concerned that it might make the process longer.

The Chief Procurement and Risk Officer said that she did not envisage any problems as a detailed contracts register was in place and that there were unlikely to be any major unplanned expenditures.

The Assistant Director – Resources said that she had worked closely with Chief Procurement and Risk Officer; and that the process would be more responsive and efficient.

RESOLVED that GAP Committee recommends to Council the approval of the updated Contract Procedure Rules as set out in this report.

GAP11 **NEW ARRANGEMENTS FOR STATUTORY SENIOR OFFICER DISCIPLINARY PROCEDURES**

The Monitoring Officer gave a summary of the report that provided procedural clarity in the processes to be followed in the event that a formal written complaint was made against one of the Council's three statutory officers- the Head of Paid Service, Monitoring Officer and Chief Finance Officer. She said that legislation had changed in 2015 but that many local authorities had been slow to address these changes, partly because of emerging guidance from the Joint Negotiating Committee (JNC) and partly because it appeared to be very complicated; she confirmed that there were existing procedures in place.

She outlined the roles of the three standalone committees that would need to be set up: An Investigating and Disciplinary Committee (IDC), an Appeals Committee (AC) and an Independent Panel (IP). She said that all members would be given detailed training prior to committees being convened. She also sought guidance as to whether new standalone committee should be set up or whether some responsibility could be taken by the Appointments Committee.

Councillor Driscoll referred to Paragraph 11 of the report in respect of the responsibility for any decision whether to refer the matter to the IDC resting with a small number of officers.

The Monitoring Officer Lawyer said that inclusion of a Head of Human Resources in the process allowed further scope.

Councillor Light also referred to Paragraph 11 of the report and expressed concern that there were very limited numbers of officers involved in the process and that it could conceivably be difficult for officers to take action against "one of their own". She said that consideration should be given to involving both an independent person and Human Resources in the decision-making process.

The Chief Executive said that any officers involved in this stage of the process, whilst they worked together closely, were all Independent Senior Officers and were bound by Statutory responsibilities, Officers Code of Conduct and their own Professional Codes of Conduct. She assured members that the statutory officers had at to act at all times in the Council's best interests or they could be subject to action themselves.

The Monitoring Officer said that she could re-visit the recommendation made in Paragraph 11 to consider the involvement of an independent person in the process.

In response to a question from Councillor Emanuel, The Monitoring Officer explained the role of independent persons on the Standards Committee.

In response to questions from Councillor Khan, the Monitoring Officer confirmed that disciplinary processes were in place for all other Council officers. She also said that the new recommended disciplinary procedures would form part of the employment contracts of the three statutory officers and that she considered that it provided a more solid level of protection.

Members supported the principle of the new committees being standalone and not connected to the Appointments Committee. Members also supported the recommendations with the proviso that the Monitoring Officer revisit the recommendation detailed in Paragraph 11 below to consider the decision-making process of referral of matters to the IDC.

RESOLVED that GAP Committee recommend to Full Council:

8. That the JNC model procedure be adopted for all three relevant statutory officers and that the Council's disciplinary procedures and the Constitution be amended to reflect this.

9. The establishment of the following standalone Committees to manage the procedure:

**An Investigating and Disciplinary Committee (IDC)** to deal with disciplinary matters relating to the relevant officers. This committee is to be a politically balanced committee of at least five members, at least one of whom is to be a member of the Cabinet. There should be two reserve members in case of any conflict of interest.

**An Appeals Committee (AC)** to deal with disciplinary matters short of dismissal relating to the relevant officers. This committee is to be a politically balanced committee of at least five members, at least one of whom is to be a member of the Cabinet. There should be two reserve members in case of any conflict of interest.

**An Independent Panel (IP)** comprising of three people appointed under section 28 Localism Act 2011 to advise Council in the event of a recommendation from the IDC to dismiss a relevant officer.

10. The delegation of power to an elected Member most usually the Chair of the IDC to suspend a relevant officer immediately in an emergency.

11. That in the case of a complaint against a relevant officer, the decision whether to refer the matter to the IDC will be delegated to the Monitoring Officer or Chief Finance Officer in conjunction with the HR Manager in the case of a complaint against the Head of Paid Service and delegated to the Head of Paid Service in conjunction with the HR Manager in the case of a complaint against the Monitoring Officer or the Chief Finance Officer.

12. That the relevant officers will be given the same right to be accompanied at any disciplinary hearing as all Uttlesford District Council employees. Additionally, this will include the right to be accompanied by a legal representative at their own cost.

13. That the Assistant Director Governance and Legal and Monitoring Officer be authorised to make all necessary and consequential amendments to the constitution to give effect to these recommendations.

14. That the HR Manager in conjunction with the Assistant Director Governance and Legal and Monitoring Officer be authorised to appoint three new persons to comprise the IP.

15. That the HR Manager be authorised to arrange appropriate mandatory training for members serving on the IDC and AC and the Independent Persons serving on the IP.

16. That the HR Manager be authorised to amend the Councils disciplinary procedures and contracts of employment for relevant officers accordingly.

17. That the IDC and AC be appointed, and seats thereon allocated to political groups in accordance with the rules of proportionality and that appointments be made to Committees in accordance with the nominations received from political groups.

## **GAP12 COVID-19 PERFORMANCE INDICATOR UPDATE**

The PFI and Performance Officer gave a summary of the report, which presented the outturn data for all COVID-19 performance indicators for the period 3 May 2021 to 6 June 2021. He said that despite challenging circumstances, data outturns confirmed that services had sustained performance levels. He asked for a view from members as to whether reporting in future should revert to the standard corpus of corporate KPIs and PIs from Q1 2021/22 onwards.

In response to questions from Councillor Driscoll in respect of CV15 – Rents lost on voids available to let (excluding development opportunities), the Customer Services and Performance Manager said that this was not an area of concern. The PFI and Performance Officer said there had been a considerable improvement in this area and that the existing KPI 08 (a) had a target of 42 days for the void process.

Councillor Emanuel supported a return to the quarterly reporting method of KPIs.

Councillor Light said that she recognised that the Council had done extraordinary work in the past 16 months. She said she would be happy to see a return to quarterly monitoring but asked whether the impact of the pandemic could be reflected within the data.

The PFI and Performance Officer said this would be possible through the inclusion of performance notes from service managers.

Councillor Khan said the report was comprehensive. He said that coming out of the pandemic there were three key issues to be faced; employment, housing and

debt. He referred to how CV28 – Rent Collected as a Percentage of Rent Owed (excluding arrears b/f) had been calculated. He was looking to identify the levels of debt caused by furlough and the pandemic.

The PFI and Performance Officer said that the KPI related to rent collection as a percentage of the annual debit and was calculated by the amount of money taken during the time as a percentage of the amount of money that would have been owed by tenants during that time and that it would include aged existing debt on rent accounts. He said he would consider if a new PI could be included which reported the quantum of rent owed.

RESOLVED that GAP Committee note the performances of services during the COVID- 19 pandemic and that reporting should revert to the standard corpus of corporate KPIs and PIs from Q1 onwards to include additional narrative relating to the pandemic.

### **GAP13 2021/22 CORPORATE RISK REGISTER**

The PFI and Performance Officer gave a summary of the report that provided members with an update of the 2021/22 Corporate Risk Register (CRR), which included corporate-level risks that had been identified and managed during the 2021/22 year. He said that the 2020/21 CRR had last been reviewed in Autumn 2020. He highlighted the inclusion of a new risk of focusing upon the climate emergency following the Council's declaration of the Climate Emergency. Councillor Khan said that it was a good clear report and asked in terms of financial control why there was no ethical investment policy yet in place. The Director – Finance and Corporate Services said that the ethical investment policy should be presented to the next Investment Board meeting towards the end of July 2021.

Councillor Khan referred to 20-CR-07 Governance that was shown as amber and said that as the 2019/2020 Annual Governance Statement had yet to be signed off was this still a valid control. He also asked whether the number of standards complaints resolved and unresolved should be reflected.

The Chief Executive said that the Annual Governance Statement was a relevant valid control and a requirement that mitigated risks within a framework; she said that the External Auditor was currently unable to sign off the 19/20 Annual Governance Statement. She also confirmed that data relating to standards complaints had been included in the Annual Governance Statement that showed the numbers of complaints that had been received and resolved.

In response to a question from Councillor Khan about having a specific reputational risk, the Chief Executive said that reputational risk was one of a range of factors integral to all those risks that had been identified in the CRR.

RESOLVED that GAP Committee note the 2021/22 Corporate Risk Register.

## GAP14 ANNUAL REPORT

The Assistant Director – Corporate Services presented his report as a factual summary of work undertaken by the Committee.

Councillor Driscoll referred to the changes made in respect of the time permitted for questions to the executive and committee chairs at meetings of the Full Council and asked that these changes be communicated ahead of Full Council.

The Assistant Director – Corporate Services confirmed that Democratic Services would take this forward.

Councillor Khan congratulated the officer on his report and said that the main issues had been picked up, including grants governance.

RESOLVED that the Annual Report be taken forward to Full Council.

The Chair thanked all members of the Committee for their work during the year.

*The meeting closed at 8.40 pm.*

### **Debden Residents Community Group (DRCG) response to presentation from Cllr Luck**

#### **UDC GAP Meeting 10th June 2021**

**Cllr Luck** : *We all know the Covenant agreement is for the MOD & Civilian organisations to work together for the better good of the community.*

**DRCG** : So why was a more affordable scheme, with full planning permission not pursued years ago ? (This would have helped fulfil the *duty* on the Village Hall Trust to '*act in the best interests of their charity*').

**Cllr Luck** : *The grant application followed a Due Process and continued following agreed process until September 2020 when it was decided by the AFCT with concurrence by UDC that the Grant should be withdrawn. They came to this decision because in their view there was no Substantial and irretrievable progress on the project. The VHT dispute that claim.*

**DRCG** : The application did not have the permission of the PC & no mention of the various 'good will' extensions given to avoid withdrawal of the Grant. It stated the grand opening would be in spring 2017. There is no mention of an alternative scheme with full planning permission. No building work has commenced, how do

they evidence 'substantial AND irretrievable'? The Grant was to pay for building work NOT expenses.

**Cllr Luck** : *Therefore, since September 2020 Debden has only been able to make a little progress towards completion of the project its mainly because of the shadow of the withdrawal of the grant hanging over them.*

**DRCCG** : This is not true. Even with the PWLB loan there are insufficient funds to meet the huge cost of this project. This is compounded by the unnecessary cost of demolishing & rebuilding the pavilion - currently not funded.

- The MoD Grant application was submitted by Stephanie Watson in 2015. At the time she was Chairman of the Village Hall Trust and a member of Debden Parish Council. She has been a member of the Council since then and was Vice Chairman and now Chairman of Debden Parish Council.
- On May 6<sup>th</sup>2021, an election was called, and Stewart Luck was elected to the Parish Council. In 2015 Stewart Luck was a Parish Councillor and Chairman of the Village Hall Group (an unconstituted organisation representing fund raising activities).
- Neither Stephanie Watson nor Stewart Luck informed the Parish Council in 2015 about the application. The Parish Council's name was included on the application without their knowledge.
- The Grant, which was erroneously handed over in its entirety to the Village Hall Trust has sat in the Village Hall Trust current account for 6 years. There has also been little additional fund raising throughout the six-year period.
- Even with the grant, the shortfall for building a new village hall and sports pavilion is huge. Cllr Luck mentions in his statement to the GAP meeting on 10<sup>th</sup> June, "the Responsible Financial Officer will not sign the application for a large Public Works Loan Board grant". It is not a grant but a loan with repayments over 40 years, with interest, payable (in the form of a Precept) by the residents. It was initiated by Debden Parish Council's flawed Public Consultation exercise conducted 19<sup>th</sup> February to 20<sup>th</sup> March 2020. **Their actions have consistently lacked transparency, accountability, and competence.**
- **There is a significant number of residents who do not believe this scheme is affordable & that their voices are not being heard. This includes the 82% who supported an alternative, more affordable scheme. (Result of a recent Parish Poll organised by UDC)**
- **The refusal of the Village Hall Trust to return the grant, even though there is no clear way ahead to complete the build, is a total embarrassment to the village and to our Army neighbours.**

# Agenda Item 3

**Committee:** Governance, Audit and Performance Committee

**Date:** Tuesday, 28 September 2021

**Title:** Housing Benefit Subsidy Audit 2019/20

**Report Author:** Caroline Saych, Benefits Manager  
csaych@uttlesford.gov.uk

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## Summary

1. The 2019/20 Housing Benefit (HB) Auditor-Certified Subsidy Claim was submitted to the Department for Work and Pensions (DWP) by BDO LLP on the 3<sup>rd</sup> June 2021.
2. The 2019/20 subsidy claim consisted of 225 cells and a total claim value of £12,206,302.
3. Since 2013/14, post audit financial penalties have reduced from £192,633 to £0.00.

## Recommendations

4. None, this is an information only report.

## Financial Implications

5. None, this is an information only report.

## Background Papers

6. None.

## Impact

Communication/Consultation	None
Community Safety	None
Equalities	None
Health and Safety	None
Human Rights/Legal Implications	None
Sustainability	None
Ward-specific impacts	None
Workforce/Workplace	None

## Local Authority (LA) Error/Admin Delay (AD)

7. The LA Error/AD initiative enables LA's to maximise subsidy according to the level of their LA Error/AD overpayments. The level of subsidy that LAs can claim for these overpayments is determined by thresholds, expressed as a percentage, of total correct Housing Benefit (HB) payments. The thresholds are:

- Lower threshold 0.48%
- Upper threshold 0.54%

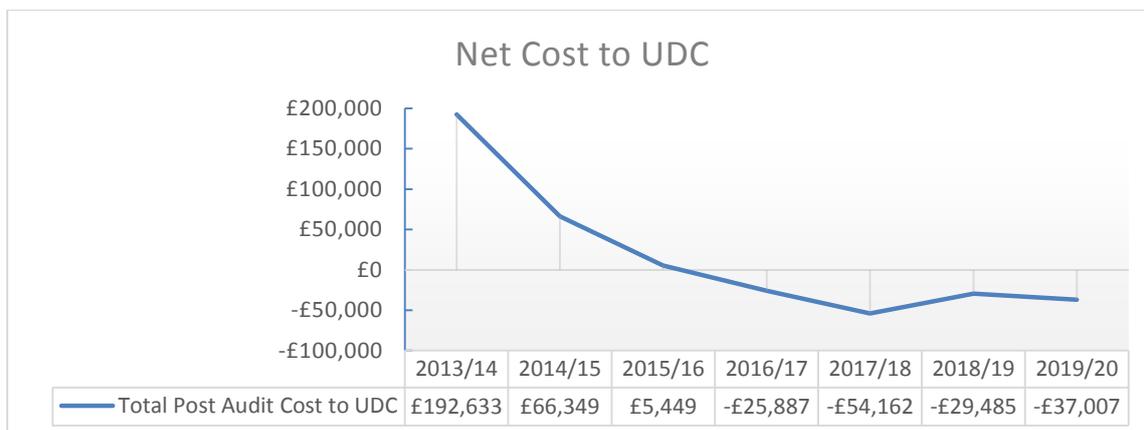
When the total LA Error/AD overpayment figures are less than or equal to 0.48% of total expenditure, the subsidy rate that can be claimed by the LA relative to these overpayments is 100%. If the overpayment amounts are greater than 0.48% but less than 0.54%, a reduced subsidy rate of 40% can be claimed. If the overpayments equate to over 0.54%, no subsidy can be claimed.

8. As a result of improvements made to the accuracy of HB processing over the past few years, LA Error/AD overpayments during 2019/20 equated to only £37,007.

9. UDC's 0.48% threshold for 2019/20 was £57,541 meaning 100% of the £37,007 has therefore been retained.

10. Since 2013/14, post audit net subsidy income has improved by £229,640 as shown in the table below and the following graph.

Year	Extrapolation cost	Positive Adjustments	LA Error/Admin Delay Subsidy	Total Post Audit Cost to UDC
2013/14	£192,633	£0	£0	£192,633
2014/15	£66,349	£0	£0	£66,349
2015/16	£8,712	-£3,263	£0	£5,449
2016/17	£19,454	-£883	-£44,458	-£25,887
2017/18	£980	£0	-£55,142	-£54,162
2018/19	£0	-£131	-£29,354	-£29,485
2019/20	£0	£0	-£37,007	-£37,007



11. The benefits team will continue to address LA Error/AD delay overpayments and ensure further improvements in the accuracy of processing are put in place where necessary.

### Risk Analysis

Risk	Likelihood	Impact	Mitigating actions
The quality and accuracy of the benefit team deteriorates and/or improvements in accuracy are not achieved.	2 - Difficulty in recruiting/retaining experienced assessment officers have resulted in a relatively new/inexperienced team. Training programmes and subsidy/quality checking processes in place but new staff still pose a greater risk of error.	3 – The identification of small financial errors can result in large extrapolated values.	Permanent Subsidy Officer. Subsidy maximisation and high risk areas of assessment are now being targeted as part of this post.

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.



Report to the Governance, Audit and Performance Committee

# UTTLESFORD DISTRICT COUNCIL

## GRANTS AND RETURNS

Audit Completion: year ended 31 March 2020

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# INTRODUCTION

## Grant Certification Work

This report summarises the main issues arising from our certification of grant claims and returns for the financial year ended 31 March 2020.

Grant claims and returns are not within the scope of our appointment by PSAA, but Departments may still seek external assurance over the accuracy of the claim or return. These assurance reviews are covered by tripartite agreements between the Council, sponsoring Department and the auditor.

The Council has engaged us to carry out the following for the year ended 31 March 2020:

- ‘Agreed-upon procedures’, based on the instructions and guidance provided by the Department for Work and Pensions (DWP), of the form MPF720A - Statement of Authority claimed entitlement to Housing Benefit.
- ‘Agreed-upon procedures’, based on the instructions and guidance provided by the Ministry of Housing, Communities and Local Government (MHCLG), of the Pooling of housing capital receipts return

We recognise the value of your co-operation and support and would like to take this opportunity to express our appreciation for the assistance and co-operation provided during our certification work.

**David Eagles**, Partner  
for and on behalf of **BDO LLP**  
14 July 2021

The contents of this report relate only to those matters which came to our attention during the conduct of our agreed procedures which are designed primarily for the purpose of expressing a conclusion or reporting the results of our work on the grants and returns subject to certification. This report has been prepared solely for the use of the Audit Committee and Those Charged with Governance and should not be shown to any other person without our express permission in writing. In preparing this report we do not accept or assume responsibility for any other purpose or to any other person. For more information on our respective responsibilities please see the appendices.

# OVERVIEW

## Executive summary

This table shows the details of each grant claim and return subject to certification by us for the financial year ended 31 March 2020.

Where our work identified issues which resulted in either an amendment and / or a qualification or reported exception, further information is provided on the following pages.

There are no matters to report in respect of our work on the Pooling of housing capital receipts return.

Claim or return	Value of return	Qualification/ exceptions	Amended	Submission date	Impact of amendments
Housing benefit subsidy	£12,212,839	Yes	No	3 June 2021	N/A
Pooling of housing capital receipts	£164,100	No	Yes	29 January 2021	No impact on subsidy claimed



# FEES

## Executive summary

The fees for this work are shown below:

Claim or return	2018/19 Actual fee	2019/20 Planned fee	2019/20 Actual fee	Explanation for fee amendments
Housing benefit subsidy	£17,000	£17,000	£17,000	N/A
Pooling of housing capital receipts	£1,500	£1,525	£1,525	N/A



# HOUSING BENEFITS SUBSIDY

## Scheme requirements

Local authorities responsible for managing housing benefit are able to claim subsidies towards the cost of these benefits from central government. The final value of subsidy to be claimed by the Council for the financial year is submitted to central government on form MPF720A, which is subject to certification.

Our work on this claim includes verifying that the Council is using the correct version of its benefits software and that this software has been updated with the correct parameters. We also agree the entries in the claim to underlying records and test a sample of cases from each benefit type to confirm that benefit has been awarded in accordance with the relevant legislation and is shown in the correct cell on form MPF720A.

The draft subsidy return provided for audit recorded amounts claimed as subsidy of £12,212,302.

No amendments were made to the draft claim submitted for audit.

## Findings

Our audit of 48 individual claimant files highlighted some errors the Council made in administering benefit and calculating subsidy entitlement.

The guidance requires that auditors undertake extended testing of 40 additional cases with similar characteristics ('40+ testing') if initial testing identified errors in the benefit entitlement calculation or in the classification of expenditure. Such testing is also undertaken as part of our follow-up of prior year issues reported.

The results of this testing are extrapolated across the population to estimate a potential error amount. Where the error can be isolated to a small population, the whole population can be tested and the claim form amended if appropriate. Where there is no impact on the subsidy claim, for example where the error always results in an underpayment of benefit, we are required to report this as an observation in our qualification letter.

## Findings cont.

Initial testing resulted in two new areas of 40+ Testing (HRA Rent Rebate: private pension error and Rent Allowance: rent error).

Four areas were tested as a result of being reported as prior year issues:

- HRA Rent Rebates cell 055 incorrect uprating of state retirement pension
- HRA Rent Rebates cell 067 Eligible overpayment classification
- Rent Allowances cell 094 earned income calculation error
- Rent Rebates cell 214 modified schemes war widow pensions not uprated.

A summary of our findings can be found on the following pages.

No amendments were made to the draft claim submitted for audit.

If DWP decide to adjust for the extrapolated error reported, this would decrease the subsidy receivable by £234 as local authority error does not attract benefit subsidy. However, DWP does provide an allowance within the subsidy system to recover local authority errors and as the Council is below the threshold, it would be able to recover this amount through this subsidy allowance. Therefore, it would not impact on overall subsidy claimed.

Our work was completed and the claim was certified on 3 June 2021.

# HOUSING BENEFITS SUBSIDY

## Rent Allowances: Earned Income

Reporting matter

Adjusted

Unadjusted error

### Errors

In 2016/17, 2017/18 and 2018/19 it was identified that the Council had incorrectly assessed earned income elements, resulting in an overpayment of benefit.

During our initial testing four cases (value: £20,072) had earnings which were input incorrectly, two of which resulted in an overpayment of 43 pence. The other two cases tested had errors but the error did not affect the amount of subsidy paid.

### Additional testing

Due to the errors reported in the previous year, the council were required to undertake 40+ testing to determine whether this issue had continued in 2019/20.

The additional testing identified:

- 6 cases which resulted in an underpayment of housing benefit to a total of £242.61 in 2019/20 due to miscalculating the claimants earned income. As there is no eligibility to subsidy for benefit which has not been paid, the underpayment (or nil impact) identified does not affect and has not, therefore, been classified as errors for subsidy extrapolation purposes.
- 4 cases which had been incorrectly calculated but had no effect on the benefit paid.

### Impact

There is no eligibility to subsidy for benefit which has not been paid, the underpayments have not, therefore, been classified as errors for subsidy purposes.

# HOUSING BENEFITS SUBSIDY

## Rent Allowances: Rent Calculation Error

### Errors

Testing of our initial sample of 20 Rent Allowance cases identified 1 case where the incorrect rent figure had been used in the calculation.

This resulted in an underpayment of benefit.

### Additional testing

The Council undertook 40+ testing on Rent Allowance cases to check that Rent had been correctly input as this error could result in an overpayment of benefit.

No further errors were identified from the 40 plus testing.

### Impact

There is no eligibility to subsidy for benefit which has not been paid, the underpayment has not, therefore, been classified as an error for subsidy purposes.

Reporting matter

Adjusted

Unadjusted error

# HOUSING BENEFITS SUBSIDY

## Rent Rebates: Private Pension Error

Reporting matter

Adjusted

Unadjusted error

### Errors

Initial testing found a case where the private pension figure had been incorrectly input resulting in an overstatement in one period of £20.25 and an understatement in another period of £39.60.

### Additional testing

The council undertook 40+ testing on Rent Rebate cases that have an element of private pension in the calculation to check that the pension figure had been correctly input.

The additional testing identified:

- 2 cases which resulted in an overpayment of housing benefit to a total of £42.86 due to incorrectly entering private pension. The errors were £7.35 and £35.51.
- 1 case which resulted in an underpayment of housing benefit to a total of £31.16 due to incorrectly entering private pension. As there is no eligibility to subsidy for benefit which has not been paid, the underpayment (or nil impact) identified does not affect and has not, therefore, been classified as errors for subsidy extrapolation purposes.
- 1 case which had been incorrectly calculated but had no effect on the benefit paid.

### Impact

Based on our extrapolation of the three private pension overpayment errors identified, we estimated the Council overpaid benefits by £234 (0.03% error rate on population of £595,768).

If DWP decide to adjust for the extrapolated error reported, this would decrease the subsidy receivable by £234 as local authority error does not attract benefit subsidy.

However, DWP does provide an allowance within the subsidy system to recover local authority errors and as the Council is below the threshold, it would be able to recover this amount through this subsidy allowance.

Therefore, it would not impact on overall subsidy claimed.

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## HOUSING BENEFITS SUBSIDY



The following CAKE (cumulative audit knowledge and experience) tests have returned no errors and are therefore considered closed:

- HRA Rent Rebates cell 067 Eligible overpayment classification
- Rent Rebates cell 214 modified schemes war widows pensions not updated.

The state retirement issue was checked 100% before the claim form was run and therefore no amendments were required to the claim form provided to audit. However the 100% testing undertaken did identify errors and therefore testing will need to be undertaken on the issue for next years audit.

FOR MORE INFORMATION:

**DAVID EAGLES**

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The matters raised in our report prepared in connection with the review of grants claims and returns are those we believe should be brought to your attention. They do not purport to be a complete record of all matters arising. This report is prepared solely for the use of the organisation and may not be quoted nor copied without our prior written consent. No responsibility to any third party is accepted.

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# Agenda Item 4

<b>Committee:</b>	Governance, Audit and Performance Committee	<b>Date:</b>	Tuesday, 28 September
<b>Title:</b>	Review of pilot scheme Rule 2.4: Time permitted for questions to the Executive and Committee Chairs		
<b>Report Author:</b>	Ben Ferguson, Democratic Services Manager <a href="mailto:bferguson@uttlesford.gov.uk">bferguson@uttlesford.gov.uk</a>		

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## Summary

1. At the Annual Council meeting held on 18 May 2021, Members approved a pilot scheme in relation to [Rule 2.4 – ‘Time permitted for questions to the executive and Committee Chairs’](#) at Full Council meetings. The amended rule and accompanying protocol can be found at Appendix B.
2. It was agreed to trial the scheme for two Full Council meetings. The scheme was trialled at the meeting held on 20 July 2021, and will be trialled for a final time at the meeting on 5 October 2021.
3. Following the Full Council meeting in July, members’ comments have been received relating to the trial. A summary of member comments relating to the Rule 2.4. pilot scheme have been attached at Appendix A. Comments range from agreement with the piloted scheme, to those that feel it constrains a ‘dynamic’ question and answer session.
4. In light of such comments, it is possible that the pilot scheme will not be approved in its current form following the end of the trial. It is therefore proposed to re-convene the Task & Finish Group that met to discuss Rule 2.4 in February 2021 for further consideration of the rule. It is suggested that the Group convene following Full Council on 5 October and a report be prepared for the Governance, Audit and Performance Committee’s (GAP) consideration on 30 November 2021.
5. Headline areas for review include:
  - a. The provision of supplementary questions instead of clarification questions.
  - b. Whether a formal mechanism is required that allows follow-up questions to be asked/published if they are not reached within the 30 minutes.
  - c. To allow questions on matters that have occurred on the day of the meeting. Currently, 9.00am on the day off the meeting is the cut-off for urgent questions.
  - d. Whether non-urgent oral questions are to be permitted, alongside written questions.

6. The original Task & Finish Group was comprised of Councillors Driscoll, Barker, Isham, Jones and Khan. Councillors Barker, Isham and Jones are no longer substantive members of the Committee (although Councillor Isham is a substitute). It is therefore recommended that membership is refreshed and councillors are selected from the current iteration of the GAP Committee.
7. Any recommendations arising from the GAP Committee meeting on 30 November will be taken to the Full Council meeting on 7 December 2021.

### Recommendations

8. The GAP Committee is recommended to:
  - I. Re-establish the Task & Finish Group relating to Rule 2.4 to allow consideration of member feedback and to deliberate what amendments, if any, are required.
  - II. To appoint members to the Task & Finish Group. In accordance with the Constitution, at least three members must be appointed, and no more than seven.
  - III. Instruct the Task & Finish Group to produce a final proposal for consideration of the GAP Committee on 30 November 2021.

### Financial Implication

9. None.

### Background Papers

8. [Full Council report considered on 18 May 2021 and appendices \(Item 14\).](#)

### Impact

- 10.

Communication/Consultation	The Task & Finish Group met on 26 February to discuss the options available. Their proposals were subsequently considered and recommended for approval by both GAP and Full Council. It is proposed that the Group re-convene to consider the pilot scheme and make amendments as Members feel necessary.
Community Safety	None
Equalities	None
Health and Safety	None

Human Rights/Legal Implications	Notice of questions will allow for advance consideration of any legal implications.
Sustainability	None
Ward-specific impacts	None
Workforce/Workplace	The workplace impact of collating written questions and answers will continue to be monitored.

## Risk Analysis

11.

Risk	Likelihood	Impact	Mitigating actions
That the current Rule provides elected members insufficient time to ask questions of the executive and Committee Chairs.	3	3	To trial the proposed amendments to Rule 2.4
That the pilot scheme is not fit for use at UDC and/or incompatible with the culture at UDC.	3	3	Seek member feedback on the pilot scheme and amend as appropriate.

1 = Little or no risk or impact

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

3 = Significant risk or impact – action required

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

## **Appendix A**

### **Summary of comments received regarding Rule 2.4 'Questions to the Executive and Committee Chairs' pilot scheme (listed in the order received):**

- The trial procedure was suitable as it was and would be better implemented once it had been embedded into practice.
- The question should stay as a clarification question and not be changed back to a supplementary question during the trial. A specific question is given to a specific answer, and better phrasing of a question would help. If the member answering the question gives an ambiguous answer, then a clarification question is needed.
- Supplementary questions would revert the procedure back to the previous position but with 30 minutes instead of 15 minutes. There was concern that this could result in skeleton questions in writing followed by extensive supplementary oral questions, which could be difficult to police and to keep to the subject.
- There was support for the number of Portfolio Holder reports published with the agenda. There was also a wish for dialogue which was considered valuable at this time owing to the much-reduced Member-to-Member contact time caused by the pandemic.
- Clarity was required over when and how the three categories of question would be taken e.g. (i) pre-written ones with published, written answers, (ii) questions on the written reports and (iii) urgent questions on other topics.
- There were also comments of support for the reintroduction of a supplementary question, rather than one of clarification.
- The Chair must have discretion to allow an extension of the 30 minute question time, or a mechanism introduced that allowed the answering of unasked questions.
- There must be the opportunity for questions to be asked that have not been given advance notice.
- The extension of the time allocated to the Question & Answer (Q&A) session from 15 to 30 minutes had been welcomed. However, there were a number of comments which desired more “live” questioning, which would not require questions on notice.
- There should be a facility for both written Q&As to allow for more detailed answers – which do not need to be read out in the meeting but should be published in the minutes - and for ‘dynamic’ or ‘live’ Q&As during the meeting.

## **Appendix B – Piloted Rule 2.4**

### **2.4.**

***For a period not exceeding 30 minutes for the Leader, members of the executive and Chairs of committees to receive questions from members, to permit the Leader, members of the executive or Chairs to reply and for the questioner to ask a question of clarification but without any debate on the issues raised, in accordance with the protocol for Member Questions to the Executive and Committee Chairs at Council meetings contained in Part 5 of the Constitution;***

### **Protocol for Member Questions to the Executive and Committee Chairs at Council meetings**

#### **1. Written questions asked by Members of the Council**

Members will be required to submit their questions in writing to Democratic Services before 10:00am eight working days before the Council meeting. The questions should be concise and indicate to whom the question is directed (the Leader, a Cabinet Member or a Chair of a Committee). The question should relate to any matter in respect of which the Council has powers or duties. The written question will be published with the agenda for that meeting in the order in which the questions were received, unless the Chief Executive, Monitoring Officer and/or Section 151 Officer considers the question should be restricted in accordance with the rules applicable to access to information procedures.

No amendments are permitted to questions once they have been published, unless they are put forward by the questioner for the purpose of clarification, and members can withdraw their questions but may not substitute them.

Responses to these questions will be provided in writing and circulated to all Members no later than 10.00am on the working day before the meeting.

#### **1.1. Supplementary question**

If after a reply is given to a written question the Member who asked the question considers that the reply requires clarification, they may ask once for clarification but otherwise no supplemental questions will be permitted except by leave of the Chair.

#### **1.2 Restriction on number of questions**

The number of written questions which may be asked by any one Member at any one meeting will be limited to two.

#### **1.3 Urgent oral questions**

A Member may put an oral question to Cabinet Members and Committee Chairs regarding any urgent matter that has arisen in the 8 working days preceding the meeting, subject to attaining the consent of the Chair of Council. The question should be provided in writing to Democratic Services, and copied to the relevant member from who a response is requested, no later than 9.00am on the day of the meeting.

Urgent questions permitted by the Chair will be taken before all other questions.

#### **1.4 Form of answer to oral questions**

An answer may take the form of:

- (i) a direct oral answer; or
- (ii) where the desired information is contained in a publication of the Council, a reference to that publication; or
- (iii) where the Chief Executive considers that the reply to the question can conveniently be so given, by a written answer circulated to the Members of the Council present at the meeting.

#### **1.5 Time permitted**

The time allotted at each meeting for the putting and answering of questions under this paragraph shall not exceed 30 minutes, without the leave of the Chair of the Council.

#### **1.6 Exceptions**

Questions will not be permitted at Annual Council or budget setting meetings.

**Committee:** Governance Audit and Performance  
**Title:** Community Governance Review 2021 –  
Results of initial consultation

**Date:**  
Tuesday, 28  
September 2021

**Report Author:** Phil Hardy, Electoral Services Manager  
[phardy@uttlesford.gov.uk](mailto:phardy@uttlesford.gov.uk)

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## Summary

1. The committee approved a timetable for a Community Governance Review of parish boundaries and electoral arrangements to go ahead at its meeting on 22 October 2020.

## Recommendation

2. To approve:
  - I. The recommendations as set out in Appendix A for final public consultation.

## Financial Implications

3. There are no financial implications other than officer time and some printing costs.

## Background Papers

4. The following papers were referred to in the preparation of this report and are publicly available or available for inspection from the author of the report:
  - The Local Government Boundary Commission for England guidance “Guidance on community governance reviews”;
  - The Local Government and Public Involvement in Health Act 2007;
  - Minutes of the Governance Audit and Performance Committee 22 October 2020

## Impact

5.

Communication/Consultation	Consultation with statutory consultees, the public and all parish and town councils within the district will take place.
Community Safety	None
Equalities	None
Health and Safety	None
Human Rights/Legal Implications	None
Sustainability	None
Ward-specific impacts	Any alterations to parish boundaries may have an impact on ward boundaries.
Workforce/Workplace	None

## Situation

- Any revised electoral arrangements will come into effect at the first ordinary elections to the parish council following the Reorganisation Order. It is important that such orders should be made sufficiently far in advance to allow preparations for the conduct of those elections to be made. The next scheduled ordinary elections are in May 2023.
- There is a duty on the Council, as a “principal authority” under the relevant legislation to have regard to the need to secure that any community governance for the area under review reflects the identities and interests of the local community in that area, and that it is effective and convenient.
- Uttlesford District Council as the principal council has the power to make an Order affecting parish boundaries and parish electoral arrangements. The Council does not have the power to change district ward, county electoral division boundaries, or electoral arrangements for these administrative levels. However, if an Order is made by the Council to alter the parish ward boundary, then the Local Government Boundary Commission for England (LGBCE) would consider making, by means of a Consequential Changes Order, an alteration to the district wards and county divisions affected. Changes made by virtue of an Order under the community governance review would take effect at the next ordinary election of parish councillors. It is possible that changes made by a Consequential Order may be made during the same timescale.

## Risk Analysis

9.

Risk	Likelihood	Impact	Mitigating actions
2 That identities and interests of the local community in the area	2	2	To conduct a full district-wide community governance review in ample time to take effect

are not reflected, and that community governance is not effective or convenient			at the ordinary local elections in May 2023.
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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.

## **APPENDIX A**

### **Terms of reference**

- To review the community governance arrangements for all parish councils to ensure they reflect the identities and interests of the local community in that area, and whether it is effective and convenient including its appropriate member representation.
- To consider parish warding or de-warding, as appropriate.
- To consider ward and electoral division boundary changes consequential upon any parish boundary change made, as a matter then to be referred to the Local Government Boundary Commission for England.

### **Consultation on the terms of reference**

The requirement is to consult the local government electors in the area under review, and others which have an interest in the review. Consultees will therefore include:

- Local government electors
- Parish councils
- Essex County Council
- Ward Councillors
- Local residents' associations
- Essex Association of Local Councils

### **Community Governance Review Timetable**

Stage 1 consultation has now concluded and following this meeting, a notice will be published on the council's website with the recommendations for the final stage 2 consultation.

Stage 2 consultation will run from 1 October to 31 October 2021 and the results of this final consultation would come back to this committee on 30 November.

An Order is then made, but changes do not come in to affect until the scheduled May 2023 parish council elections.

### **Comments received from the stage 1 consultation**

The full comments can be seen on this council's website  
<https://www.uttlesford.gov.uk/ParishCGR>

### **Chrishall Parish Council (council size)**

#### **Proposal**

The Parish Council have requested that their membership be reduced in size due to the constant struggle to find members to serve on the council.

The current electorate size of the parish (as at 1 December 2020) is 468 represented by 9 members. Other councils of a similar size – Berden 393 electors and 7 members; Broxted 420 electors and 7 members; Great Canfield 375 electors, also 7 members.

The minimum size for any parish council is 5 and the minimum number that the National Association of Local Councils recommend is 7 members.

### **Recommendation**

That the number of parish councillors be decreased to 7 members.

## **Clavering Parish Council (council size)**

### **Proposal**

To reduce the number of members from 11 to 9 as the council has struggled to fill its full quota of councillors over several years. This has not come from the Parish Council itself.

The current electorate size of the parish (as at 1 December 2020) is 1,109 represented by 11 members. Other councils of a similar size – Great Chesterford 1,323 electors and 9 members; Henham 1,046 electors and 9 members. There are some parishes, such as Thaxted with 11 members and twice the electorate (2,581).

The minimum size for any parish council is 5 and the minimum number that the National Association of Local Councils recommend is 7 members.

### **Recommendation**

That the number of parish councillors be decreased to 9 members.

## **Elmdon and Wenden Lofts Parish Council (parish name)**

### **Proposal by the parish Council**

To change the name of the parish to Elmdon, Duddenhoe End and Wenden Lofts.

The parish is warded and the Duddenhoe End area is not reflected in the parish name and the proposal by the parish council will enhance community identity.

### **Recommendation**

That the parish name be changed to Elmdon, Duddenhoe End and Wenden Lofts.

### **Broxted Parish Council and Takeley Parish Councils (parish boundary)**

**Proposal by member of the public to re-draw the boundary so the area of Mole Hill Green comes under Broxted parish instead of Takeley.**

Takeley is an un-warded parish with an electorate (as at 1 December 2020) of 2,621. This comprises 3 areas – Mole Hill Green with 109 electors; Priors Green with 1,422 electors and Takeley Village with 2,213 electors. Mole Hill Green comprises just 4% of the total parish electorate.

The adjoining Parish of Broxted comprises 416 electors. Broxted comes under the district ward of Takeley and the County Electoral Division of Thaxted – the same electoral areas as Takeley.

### **Recommendation**

That Takeley and Broxted Parish Councils be consulted on this proposal to determine the implications on community governance and whether this reflects local identities.

### **Chickney Parish (parish boundary)**

**Proposal by a member of the public for Chickney parish to come under Henham Parish Council.**

Chickney is a civil parish but has no parish council. Chickney has an electorate of just 38 as at 1 December 2020. Chickney is too small to have its own parish council. Chickney currently comes under the District Ward of Takeley and the County Electoral Division of Stansted.

Chickney's electors do not have a parish element to their Council Tax precept. The lowest level of government that Chickney electors vote for is the District Council and this is for the Takeley Ward.

## **Recommendation**

The proposal to move Chickney to Henham be not supported, however, it is proposed that Chickney be moved from the County Electoral Division of Stansted to Thaxted Division, so tidying up an area resultant from a previous boundary review following consultation with the Local Government Boundary Commission.

## **Elsenham and Henham Parish Councils (boundary change)**

### **Proposal**

Request that the parish boundary be re-drawn between Elsenham and Henham to accommodate the new housing development as the houses would run right through the current boundary.

Elsenham Parish Council is twice the size of Henham and future residents would use Elsenham facilities more than Henham and consequently Elsenham Parish Council request that all the new development come under their parish; a proposal supported by Henham parish Council.

### **Recommendation**

That the parish boundary be re-drawn as suggested by the Elsenham Parish Council as follows and as shown at **Appendix B**.

From the north, the boundary would be moved from the eastern side of the railway to the eastern side of the new footpath link to the station. It would then follow the site boundary to the east and south until reaching the existing parish boundary; it would continue from there to the east as at present.

## **Parishes of Great and Little Chesterford (parish boundary)**

### **Proposal**

Request by Great and Little Chesterford Parish Councils to re-draw the boundary between the two parishes to incorporate the new housing development alongside the B1383 in to Great Chesterford parish.

A comment was also received about moving both Great and Little Chesterford Parishes to Cambridgeshire as it is stating that they have more in common with that County area. This is outside the scope of this review as only parish

boundaries can be considered for change as part of this review. No other such suggestions have come forward to support this.

### **Recommendation**

That the proposal to re-draw the parish boundary be supported and the new boundary be as shown at **Appendix C**.

### **Strethall Parish (parish council)**

Representations have been received strongly arguing the status quo for Strethall i.e. the parish should remain with no parish council and stay as a civil parish in its own right.

Strethall has no parish council and is an area with just 26 electors.

No parish precept is raised.

### **Recommendation**

That no change take effect.

### **Stansted Mountfitchet Parish Council (parish council)**

Communication received from the parish council saying that members are happy for no change.

### **Recommendation**

That no change take effect.

### **Saffron Walden Town Council and Swards End Parish Council (parish boundary)**

Saffron Walden Town Council seek to make a number of proposals as follows:

- To request the council to increase the number of councillors representing Saffron Walden as a whole from 16 to 18 Councillors. This increase will accord with NALC's recommended ratios of 625 residents per Councillor.
- To request the council to re-join the ward boundary of Little Walden with Castle Ward (in order to regain both the ratio of numbers and to ensure inclusivity into Saffron Walden for those in Little Walden).
- To redraw the parish boundary line to incorporate the proposed development land off Radwinter Road. This is the land which currently rests in the parish

of Swards End Parish Council and is proposed for development by Rosconn Group for circa 240 homes. The Town Council noted that whilst this development sat outside of Saffron Walden, any new residents (should future planning permission be granted) would likely associate more with Saffron Walden than Swards End. These residents would equally create a demand on Town Council services on the basis that residents would access the town centre, shops, services, facilities, public open spaces, community and leisure facilities.

Saffron Walden is divided in to 4 wards as follows:

<b>Ward</b>	<b>No of seats</b>	<b>Electorate</b>
Audley Ward	4	3565
Castle Ward	4	3594
Little Walden Ward	1	197
Shire Ward	7	5550
	<b>16</b>	<b>12,906</b>

The Electoral Registration Officer (ERO) can see no issue with merging Castle and Little Walden wards together. The ERO would suggest that this ward be renamed Castle and Little Walden and comprise 5 seats. The name would help maintain community identity.

The ERO has no objection to increasing the size of the Town Council membership due to continued electoral growth within the town. Using the ratio of 625 councillors per seat, Shire ward is under-represented and considering the amount of growth in the town the Council be recommended to increase the number of councillors to 20 seats and not 18, distribution as follows:

### **Recommendation**

(a) The Town Council have the following ward names and distribution of seats:

<b>Ward</b>	<b>No of seats</b>	<b>Electorate</b>
Audley Ward	5	3565
Castle & Little Walden Ward	6	3791
Shire Ward	9	5550
<b>TOTALS</b>	<b>20</b>	<b>12,906</b>

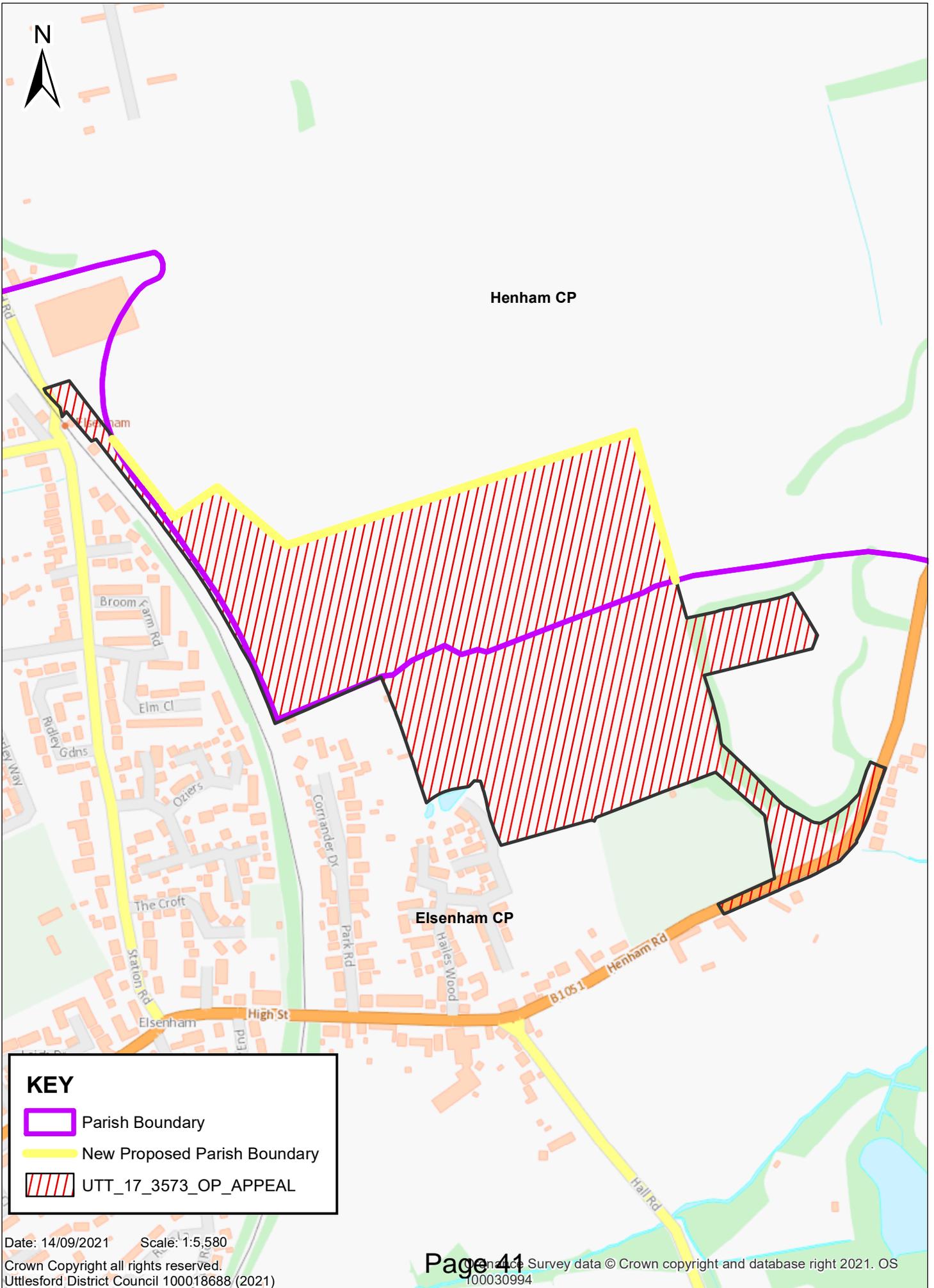
In response to the proposal to enlarge the Town Council boundary by taking in an area of Swards End parish where the proposed new development is planned, the Electoral Registration Officer supports in principle the logic put forward by the Town Council, however it has concern over agreeing to this proposal as it is not supported by Swards End Parish Council and planning consent has not been given.

Swards End Parish Council view is “that the proposed development that is driving the request should not and will not be given planning permission and therefore there is no need to amend the parish boundary”.

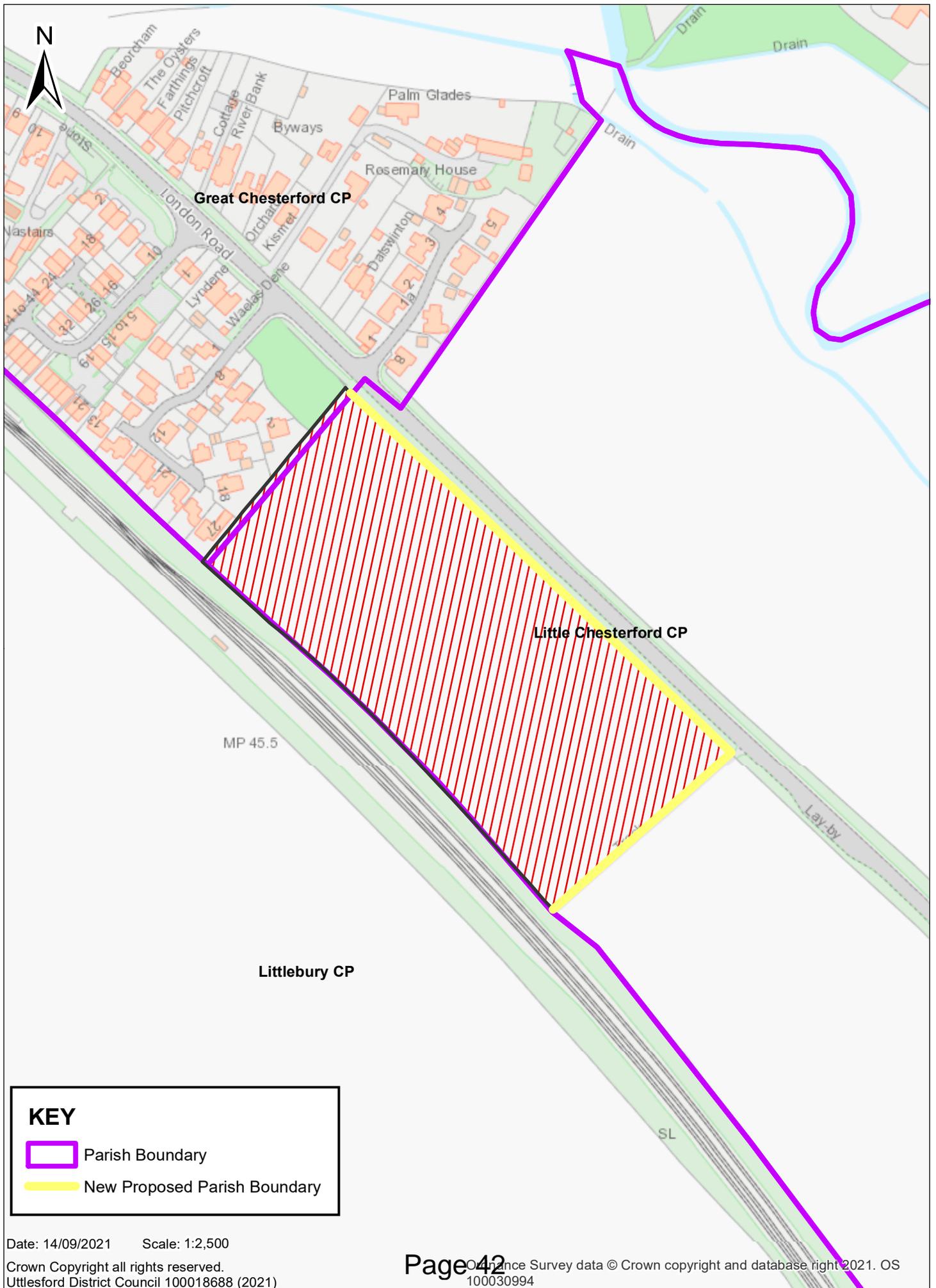
A map of the proposed development site is shown at **Appendix D**.

### **Recommendation**

- (b) That if the development be granted planning permission, the Council consider a possible change to the parish boundary as part of an Interim Community Governance Review taking on board further consultations. Should the development go ahead and remain in the Swards End parish, consideration be given to (a) increase in its seats from 7 to 9 due to the doubling in size of its electorate and (b) ward the parish – the new development to comprise one ward and the older development the other ward, with representation apportioned.

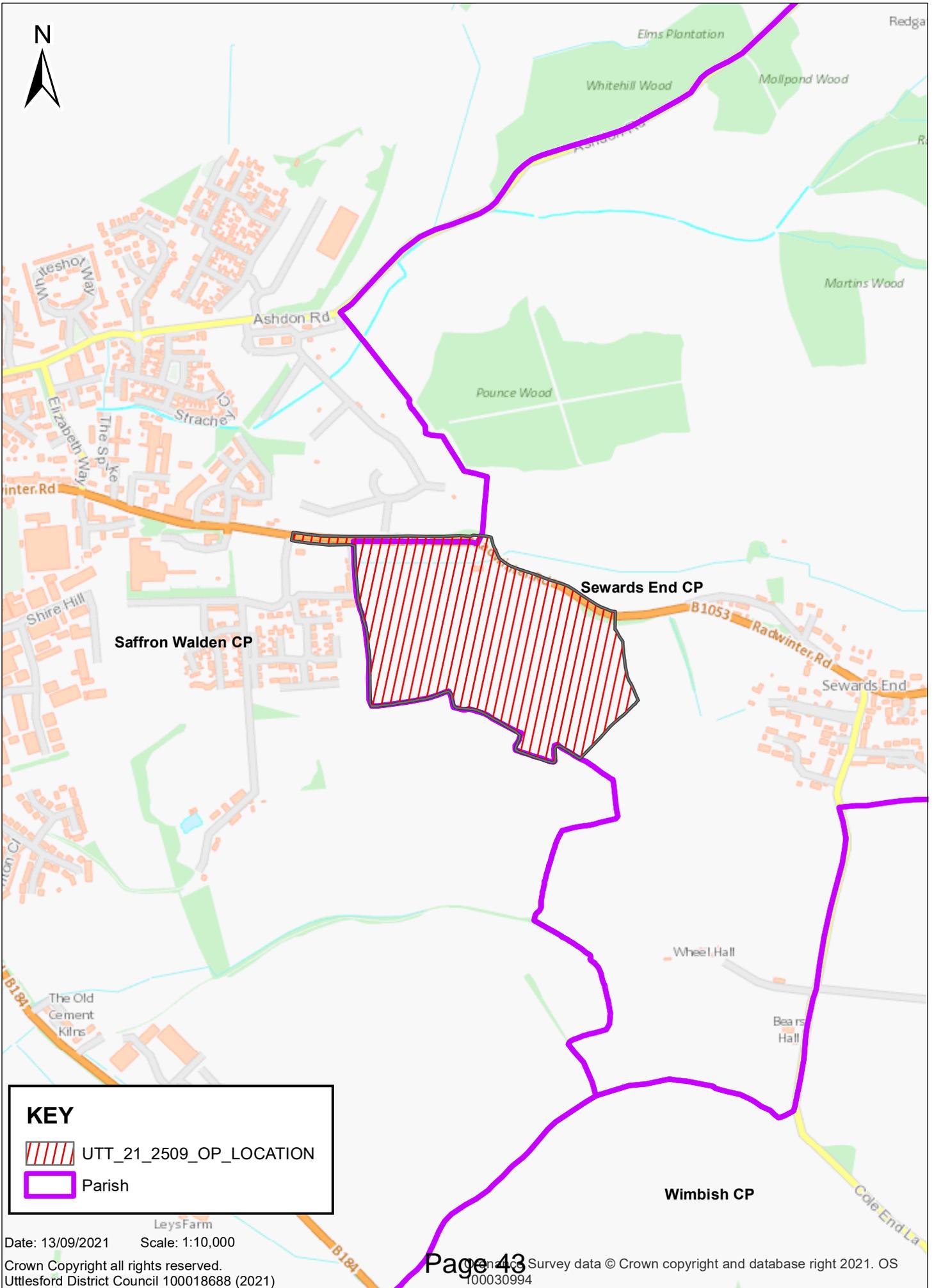


# Great/Little Chesterford – planning approval for 76 homes – south of the A1383



Date: 14/09/2021 Scale: 1:2,500

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Uttlesford District Council 100018688 (2021)



# Agenda Item 6

<b>Committee:</b>	Governance, Audit & Performance Committee	<b>Date:</b>	Tuesday 28 <sup>th</sup> September 2021
<b>Title:</b>	2021/22 PFI Contract Update		
<b>Report Author:</b>	Oliver Knight, PFI & Performance Officer <a href="mailto:oknight@uttlesford.gov.uk">oknight@uttlesford.gov.uk</a> Paula Evans, Customer Services & Performance Manager <a href="mailto:pevans@uttlesford.gov.uk">pevans@uttlesford.gov.uk</a>		

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## Summary

1. This report provides members with an annual update on the Uttlesford Leisure PFI contract for the 2021/22 financial year. After an initial summary of the history, structure and governance of the contract, this report progresses to consider how the COVID-19 pandemic has affected, and continues to affect, the Uttlesford Leisure Centres; outlining how statutory lockdowns impacted participation, operations and service delivery. This report then concludes by considering the future service landscape of the Uttlesford Leisure PFI contract; addressing the challenges for the remainder of the 2021/22 year, and the remaining years of the PFI concession.

## Recommendations

2. None

## Financial Implications

3. There are limited financial implications associated with this report. As detailed later, Uttlesford District Council's income from the contract continues to be affected by the pandemic. Whilst the monthly Operator Fee is now being paid by the Operator, the annual profit share will inevitably continue to be impacted. Members should also note that the Uttlesford Leisure PFI contract is the largest General Fund contract that the council has entered into to date. This is based on the term of the contract rather than the financial value.

## Background Papers

4. The following papers were referred to by the author in the preparation of this report:
  - Uttlesford PFI Contract Documentation
  - Government, Audit & Performance Committee Reports, entitled Leisure Private Finance Initiative (Sept 2018), PFI Contract Update (Sept 2019) & PFI Contract Update 2020.21 (February 2021).
  - Policy & Procurement Note 02/20: supplier relief due to Coronavirus (March 2020), published by the Cabinet Office
  - Procurement Policy Note 04/20 – Recovery and Transition from COVID-19 (June 2020), published by the Cabinet Office

## Impact

5.

Communication/Consultation	Contract governance and compliance processes have been established to ensure all necessary communication and consultation requirements within the contract structure are met. Effective governance is delivered through scheduled contract meetings, and dedicated authority resource on contract monitoring/management.
Community Safety	None
Equalities	None
Health and Safety	Health & Safety is embedded in the governance of the contract and is regularly reviewed at monthly liaison meetings and the Annual Health & Safety Meeting. UDC representatives have discussed and reviewed all operating Risk Assessments prior to the reopening of the leisure centres during the COVID-19 pandemic, and continue to check and challenge to ensure all measures are in place.
Human Rights/Legal Implications	None
Sustainability	None
Ward-specific impacts	None
Workforce/Workplace	None

## Situation

- 6. Contract Structure** - On behalf of Uttlesford District Council, 1Life Management Solutions Limited operate three leisure centres under the Uttlesford Leisure PFI Contract: Lord Butler Leisure Centre; Great Dunmow Leisure Centre and Mountfitchet Romeera Leisure Centre. This contract was signed in May 2002, and has a 33 year duration, expiring in August 2035. The authority finances the PFI agreement through a Unitary Charge set at £36.2 million over the contract duration; which is paid to the Project Company (Linteum Uttlesford Limited) in monthly instalments throughout the duration of the contract. Appendix A provides an overview of the contract's parties, and their relationships.

7. All three centres support the authority's Health and Wellbeing priorities, by providing a range of various sport, leisure and well-being facilities and activities to a wide-ranging demographic across the district. The location of Mountfitchet Romeera Leisure Centre (adjacent to Forest Hall School) and Great Dunmow Leisure Centre (adjacent to Helena Romanes School) also provide facilities and services to enable schools in the district to meet PE curriculum requirements, and to encourage participation in sport and development of sporting potential among pupils.
8. Whilst the leisure centres were closed to the public during the statutory lockdowns, arrangements were made with PFI partners that the schools could continue to use the facilities when needed (either for keyworker children, or to fulfil curriculum requirements).
9. The monitoring and management of the contract is now undertaken within the Council's Customer Services & Performance service. The Customer Services & Performance Manager has the responsibility to act on behalf of the Authority for all actions and decisions relating to the contract, whilst the PFI & Performance Officer is a dedicated resource who works on contract monitoring and management.
10. **COVID-19 pandemic** – The previous report brought to this committee was dated February 2021, and at that point the Uttlesford Leisure Centres were closed following the government's lockdown directive. As per the previous lockdowns, all PFI project parties continued to correspond collaboratively to facilitate an open and honest dialogue with regard to subsequent impacts on leisure services across the district.
11. In late March 2021, discussions commenced with 1Life concerning the reopening of all three leisure centres in alignment with the government's roadmap. All three centres reopened on Monday 12<sup>th</sup> April 2021, with reduced opening hours - Lord Butler 85 hrs per week; Great Dunmow 81 hrs per week and Mountfitchet 58 hrs per week. All services offered prior to lockdown 3.0 were reopened, however at reduced capacities and in alignment of social distancing requirements. As such, the gym, swimming pool (school and lessons), outdoor group exercise classes, outdoor sports and children's clubs were available.
12. Funding was also secured from the PFI's Industrial Provident Society (IPS) for the installation of a virtual group exercise program at Great Dunmow Leisure Centre. Already installed at Lord Butler, this facility enables the scheduling of sessions in accordance with member requirements, and is therefore not dependent upon instructor availability for instructor-led classes. During the initial stage of reopening following lockdown 3.0, we could run these classes inside for household bubbles only.
13. Following the government's next relaxation of restrictions, further leisure services were available as of 17<sup>th</sup> May 2021: indoor group exercise classes were introduced alongside indoor sports. The dry changing rooms were also reopened, alongside the Health Suite at Lord Butler Leisure Centre.

14. With the majority of remaining restrictions easing as of 19<sup>th</sup> July 2021, capacities in the gym, SwimSchool and indoor group exercise classes all increased. Regardless of the requirements for social distancing ceasing, it was decided to keep the remaining gym equipment socially distanced for the foreseeable future; further ensuring an added measure of safety for customers in the gym environment.
15. COVID-19 Risk Assessments are still maintained by the Operator, and various control measures are in place. These have been developed in collaboration with Uttlesford District Council and are reviewed on a regular basis to ensure their effectiveness.
16. Members should note also that Lord Butler Leisure Centre has been used as the main vaccination centre for the North of the Uttlesford District since the end of 2020. Many thousands have now been vaccinated there, and the vaccination agreements have been extended into Autumn 2021 to facilitate the continued provision of vaccinations.
17. **Participation** – The table below provides a year-on-year comparison for the most recent quarter available (April 2021 to June 2021). It is evident that the pandemic continues to impact attendance numbers and therefore the contract’s income. Across the contract, this data represents a significant year-on-year reduction. For the purposes of comparison April to June 2019 data has been utilised in comparison given the imposed lockdowns during 2020.

Year	Lord Butler, SW	Great Dunmow	Romeera, Stansted	Total
Apr – Jun 21	34,531	40,304	4,558	79,393
Apr – Jun 19	89,144	57,503	16,213	162,860

18. Whilst this table evidences a significant decrease in participation, it is important to note that reopened services have been well patronised:
- a.) Increased capacities following the relaxation of restrictions has resulted in higher attendance in our group exercise studios as more customers can access classes.
  - b.) The specialist classes and GP Referral Scheme have been reintroduced following Lockdown 3.0. Whilst attendance is significantly lower than prior to the pandemic, this important program for the health and wellbeing of the local community is now available again.
  - c.) Both Lord Butler Leisure Centre and Great Dunmow Leisure Centre’s SwimSchool programmes have registered a high percentage of returns, and indeed further sessions have been added over recent months to fulfil local demand.

19. **Supplier Relief** – In alignment with the Cabinet Officer’s publication of *Policy & Procurement Note 02/20: supplier relief due to Coronavirus & subsequent Procurement Policy Note 04/20 – Recovery and Transition from COVID-19*, UDC agreed to waive any availability and performance deductions during the pandemic which would have been incurred through contractual non-delivery. It should be noted that the Operator has rectified any issues within existing contractual timeframes regardless of this waiver.
20. Despite changes to the services provided, the Council complied with the Cabinet Office’s advice and has continued to make all regular monthly Unitary Charge payments. Following agreement by Members, Senior Officers also waived 1Life’s obligation to pay an Operator Fee, which is pursuant to the Leisure Management Fee Contract. In total approximately £170,000 has been waived for the period of time April 2020 to March 2021 (inclusive). Since April 2021, 1Life have recommenced paying the Operator Fee on a monthly basis.
21. **The Future of the Contract** – Whilst restrictions have been lifted, UDC Officers continue to work closely with their PFI partners to ensure both the operational and commercial sustainability of the contract for all parties.
22. At the time of our previous update to Governance, Audit & Performance Committee, the publication of 1Life’s most recent full accounts (for year ending September 2019) caused some concerns regarding their status as a going concern. Subsequent conversations with the Project Company (Linteum Uttlesford Limited) and 1Life however highlighted that forecasts of income and expenditure show that very little of any borrowed collateral would need to be utilised, and indeed forecasts were fairly cautionary given awaited outcomes of insurance claims and funding applications.
23. Following the payment of proceeds from the Business Interruption Insurance Claim as well as funding received from the government’s National Leisure Recovery Scheme, the council continues to be assured that it will not be in a position to have to seek alternative provision of its leisure services in the short term. Should the pandemic enforce any prolonged further lockdowns, like all leisure facilities 1Life will no doubt suffer from a financial perspective. Participation and membership statistics presented above show a very gradual recovery, and it will inevitably be some months yet until the contract is profitable once again.
24. As the landscape of the leisure industry continues to tentatively evolve over the remainder of the 2021/22 year, it is hoped that income may return to pre-pandemic levels prior to April 2022. All project parties will need to continue to be flexible to ensure service delivery can evolve to meet this aim, but nevertheless increasing services available should only happen if they are commercially viable and safe to do so.
25. As such, we are currently working with 1Life regarding the final stage of reopening following the pandemic. Uttlesford District Council has continued to be flexible in relation to services which are currently not offered, but included within the contractual specification (e.g. café facilities). As such, operations have been re-established in a sustainable manner. Moving forwards, all

parties are now considering when we will be able to revert to standard contractual terms. This process will inevitably involve variations to the original contract specification; with the intention to ensuring service delivery suits the requirements of the local community moving forwards.

26. Members should be aware that Officers are engaging with Helena Romanes School and the Saffron Academy Trust regarding the potential relocation of Helena Romanes School from Parsonage Downs in Great Dunmow. Great Dunmow Leisure Centre is directly adjacent to Helena Romanes School, and the PFI contractual documentation provides the school a permitted usage quota of the centre to fulfil its curriculum requirements. It should be noted that without a bespoke agreement signed by all PFI project parties to revise existing usage conditions, then Uttlesford District Council may be liable for a Compensation Event given obligations to protect 1Life’s commercial interest and the overall financial sustainability of the Uttlesford PFI contract.

27. Officers will endeavour to update the Governance, Audit & Performance Committee as and when relevant and necessary to do so with any further developments.

## Risk Analysis

28.

Risk	Likelihood	Impact	Mitigating actions
If the council does not manage/monitor the PFI contract effectively due to a lack of partnership working during the Covid-19 pandemic, then this may lead to a loss of reputation for the Council as the contract owner, and 1Life as the leisure operator.	1	2	Weekly contact with Linteum/Pario/1Life Representatives as necessary.  Multi-faceted contract monitoring (both operational & contract-level) by UDC of the contract.
If the PFI leisure contract does not provide value for money due to ineffective contract	1	2	Monthly monitoring of Payment Mechanism  Management of governance controls relating to contract finance and

management, then there may be a negative impact on the investment made by the Council			operational performance; taking into account necessary variations due to Covid-19.
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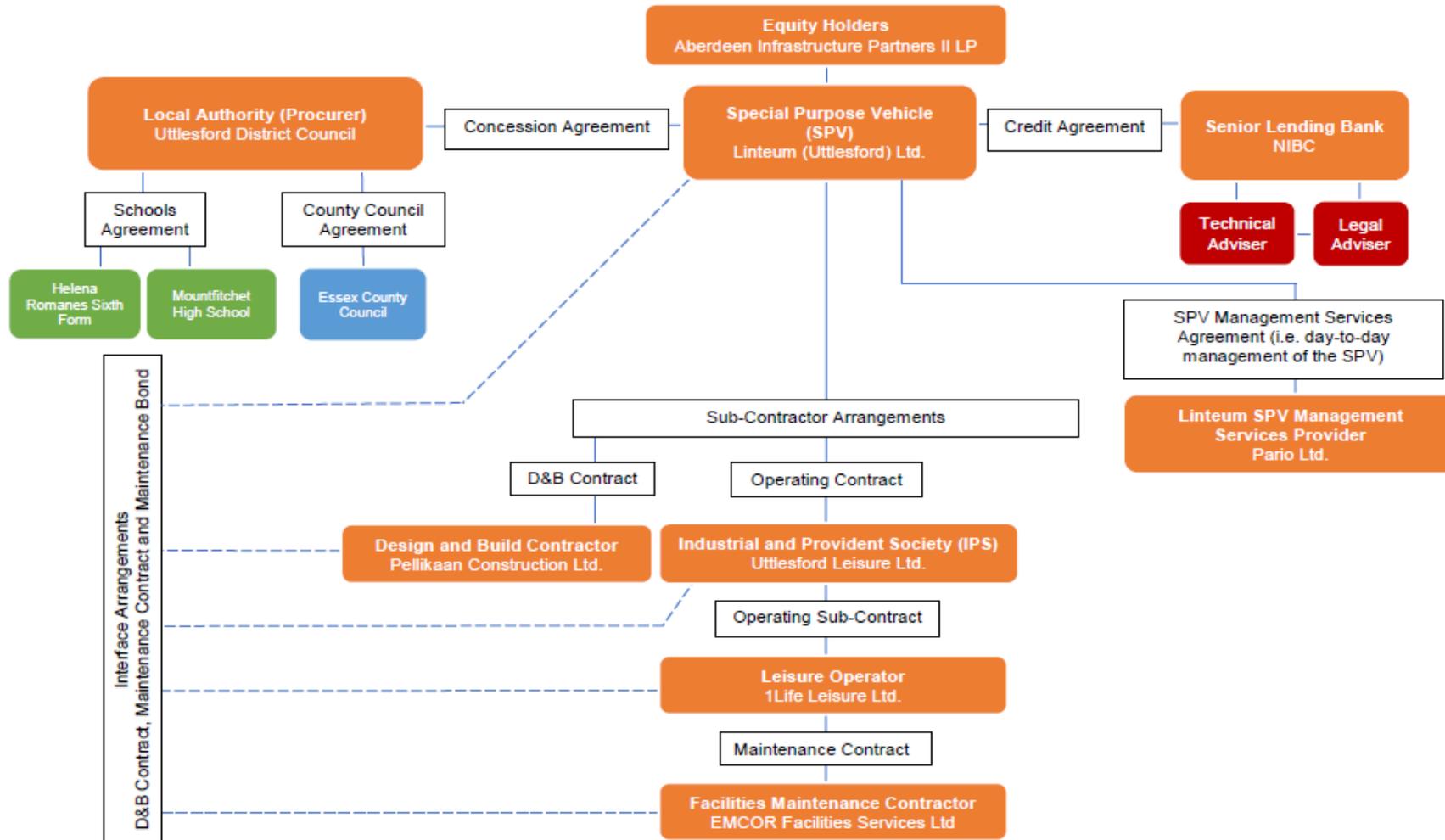
- 1 = Little or no risk or impact
- 2 = Some risk or impact – action may be necessary.
- 3 = Significant risk or impact – action required
- 4 = Near certainty of risk occurring, catastrophic effect or failure of project.

Appendix 1: COVID-19 PI Report – Contract Structure

# Appendix A – Part 1 Contract Structure

March 2018

Linteum (Uttlesford) Ltd. PFI Contractual Diagram



## Appendix A – Part 2 Summary of Contractual Documents

- The Concession Agreement between the Authority and Linteum Uttlesford Limited (the SPV) governs the design, construction/refurbishment, finance, maintenance and operation of the centres. During the operation phase, it also determines the provision of the leisure service through Linteum on behalf of the authority. Linteum sub-contract the day-to-day management of the project to Pario Limited (a specialist PFI management service provider).
- Linteum sub-contract the operation of all three leisure centres to an Industrial & Provident Society (IPS).
- The IPS sub-contract the operation of the centres to a lifestyle and management solutions company – 1Life Management Solutions Limited.
- 1Life sub-contract the hard facilities management and maintenance of the centres to a maintenance services provider; Emcor Facilities Services Limited.
- The Leisure Management Fee Contract governs the operator payments by the 1Life Management Solutions, and also any Excess Profit Share which the authority is entitled to.
- The credit arrangements are governed by the Credit Agreement, a Debenture and also a Security Trust Deed.
- Head Leases & Sub-Leases are included for all three leisure centres.
- School Management Agreements exist for both Helena Romanes School and also Forest Hall School, permitting the school to use the facilities for an agreed amount of time annually. This is agreed by both 1Life & the authority.

**Committee:** Governance, Audit and Performance Committee

**Date:**

Tuesday, 28  
September 2021

**Title:** Local Government Ombudsman Report  
2020/21

**Report Author:** Rob Tinlin, Interim Chief Executive  
rtinlin@uttlesford.gov.uk  
Tel: 01799 510400

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## Summary

1. The annual review letter has been received from the Local Government Ombudsman summarising the complaints relating to the Council's services dealt with by the Ombudsman's office for the year ended 31 March 2021.
2. This report also details the complaints and compliments received by the Council in the same period.

## Recommendations

3. To note the contents of the Ombudsman's annual review letter and the position with regards to complaints and compliments for the year ended 31 March 2021.

## Financial Implications

4. The Council was found at fault in relation to a disabled facilities grant and adaptations case and a remedy of £7,000 was awarded to the complainant. This was reported at the Council meeting held on 20 July 2021.

## Background Papers

5. The papers referred to by the author in the preparation of this report are mentioned in the body of the report and are already published.

## Impact

- 6.

Communication/Consultation	Review reports are published on the Council's and the Ombudsman's websites
Community Safety	N/A
Equalities	N/A

Health and Safety	N/A
Human Rights/Legal Implications	Residents and users of the Council's services are able to complain to the Ombudsman about the handling of complaints where the complainant is dissatisfied with the service or response received, within time limits
Sustainability	N/A
Ward-specific impacts	All wards
Workforce/Workplace	N/A

## Situation

7. The Council's annual review letter has been received from the Local Government & Social Care Ombudsman and is attached at Appendix A. It lists four complaints received.
8. The details of the complaints are as follows:
  - a. Mr X's complaint regarding the revocation of a joint hackney carriage/private hire vehicle licence was not investigated by the Ombudsman. This was because the complaint was late and it was reasonable for the complainant to use the appeal rights available.
  - b. Ms X's complaint was that the Council knew her retrospective planning application would be refused but did not advise her of this before she submitted it. The Ombudsman did not investigate the complaint because it was unlikely they could add to the investigation already carried out by the Council and an investigation was unlikely to lead to a different outcome.
  - c. Mr X's complaint is still the subject of investigation by the Ombudsman with a final decision notice not yet received. Mr X complained that the Council allowed a non-material amendment to a planning permission it granted years ago and did not notify Mr X of the application.
  - d. Ms X's complaint relating to a disabled facilities grant referred to under financial implications has already been the subject of a report to Council on 20 July.
9. All four of the complaints detailed above had exhausted the Council's complaints procedure before referral to the Ombudsman.
10. In the previous annual review letter for the period 2019/20 there were four complaints received all of which were closed after initial enquiries. Two of those cases were closed because the complainants had the use and availability of appeal rights and therefore fell outside the jurisdiction of the

Ombudsman. The investigator determined that in the other two cases the alleged maladministration/service failure was unwarranted.

11. Attached at Appendix B is a summary of complaints received by the Council during the 2020/21 period to enable a contrast to be drawn between the number of overall complaints referred for internal investigation and the number then referred onwards for investigation by the Ombudsman.
12. These complaints are reviewed quarterly by the Council’s Corporate Management Team in order to share any lessons learnt. In general these are small in number and make it difficult to identify trends.
13. It is acknowledged that the number recorded as ‘complaints’ does not represent the genuine level of complaints received by the Council. Issues of dissatisfaction raised directly with services are often apologised for and resolved without being formally recorded. Therefore it is reasonable to assume the recorded complaints reflect ‘stage 2’ complaints where the matter has been escalated to a senior service manager.
14. Similarly the level of recorded compliments will be an under representation of the numerous occasions residents and customers recognise the excellent work of our staff.

## Risk Analysis

15.

Risk	Likelihood	Impact	Mitigating actions
1 – full investigation of complaints referred to the Ombudsman is always undertaken	2 – in cases where fault has been found it might be necessary to provide a remedy to satisfy the complainant and in some cases changes to internal procedures followed by service areas	2 – where a change of process is required to meet a recommendation from the Ombudsman it may have some impact on service provision	As recommended by the Ombudsman – sometimes a review of internal practices may be required if significant failings in service provision are identified

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

21 July 2021

*By email*

Mr Tinlin  
Interim Chief Executive  
Uttlesford District Council

Dear Mr Tinlin

### **Annual Review letter 2021**

I write to you with our annual summary of statistics on the decisions made by the Local Government and Social Care Ombudsman about your authority for the year ending 31 March 2021. At the end of a challenging year, we maintain that good public administration is more important than ever and I hope this feedback provides you with both the opportunity to reflect on your Council's performance and plan for the future.

You will be aware that, at the end of March 2020 we took the unprecedented step of temporarily stopping our casework, in the wider public interest, to allow authorities to concentrate efforts on vital frontline services during the first wave of the Covid-19 outbreak. We restarted casework in late June 2020, after a three month pause.

We listened to your feedback and decided it was unnecessary to pause our casework again during further waves of the pandemic. Instead, we have encouraged authorities to talk to us on an individual basis about difficulties responding to any stage of an investigation, including implementing our recommendations. We continue this approach and urge you to maintain clear communication with us.

### **Complaint statistics**

This year, we continue to focus on the outcomes of complaints and what can be learned from them. We want to provide you with the most insightful information we can and have focused statistics on three key areas:

**Complaints upheld** - We uphold complaints when we find some form of fault in an authority's actions, including where the authority accepted fault before we investigated.

**Compliance with recommendations** - We recommend ways for authorities to put things right when faults have caused injustice and monitor their compliance with our recommendations. Failure to comply is rare and a compliance rate below 100% is a cause for concern.

**Satisfactory remedy provided by the authority** - In these cases, the authority upheld the complaint and we agreed with how it offered to put things right. We encourage the early resolution of complaints and credit authorities that accept fault and find appropriate ways to put things right.

Finally, we compare the three key annual statistics for your authority with similar types of authorities to work out an average level of performance. We do this for County Councils, District Councils, Metropolitan Boroughs, Unitary Councils, and London Boroughs.

Your annual data will be uploaded to our interactive map, [Your council's performance](#), along with a copy of this letter on 28 July 2021. This useful tool places all our data and information about councils in one place. You can find the decisions we have made about your Council, public reports we have issued, and the service improvements your Council has agreed to make as a result of our investigations, as well as previous annual review letters.

I would encourage you to share the resource with colleagues and elected members; the information can provide valuable insights into service areas, early warning signs of problems and is a key source of information for governance, audit, risk and scrutiny functions.

As you would expect, data has been impacted by the pause to casework in the first quarter of the year. This should be considered when making comparisons with previous year's data.

### **Supporting complaint and service improvement**

I am increasingly concerned about the evidence I see of the erosion of effective complaint functions in local authorities. While no doubt the result of considerable and prolonged budget and demand pressures, the Covid-19 pandemic appears to have amplified the problems and my concerns. With much greater frequency, we find poor local complaint handling practices when investigating substantive service issues and see evidence of reductions in the overall capacity, status and visibility of local redress systems.

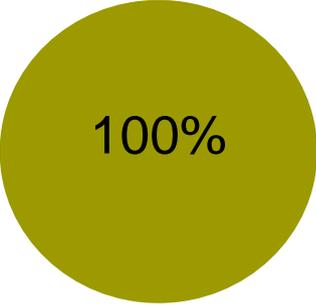
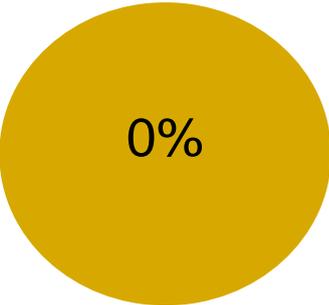
With this context in mind, we are developing a new programme of work that will utilise complaints to drive improvements in both local complaint systems and services. We want to use the rich evidence of our casework to better identify authorities that need support to improve their complaint handling and target specific support to them. We are at the start of this ambitious work and there will be opportunities for local authorities to shape it over the coming months and years.

An already established tool we have for supporting improvements in local complaint handling is our successful training programme. During the year, we successfully adapted our face-to-face courses for online delivery. We provided 79 online workshops during the year, reaching more than 1,100 people. To find out more visit [www.lgo.org.uk/training](http://www.lgo.org.uk/training).

Yours sincerely,



Michael King  
Local Government and Social Care Ombudsman  
Chair, Commission for Local Administration in England

Complaints upheld		
	<p><b>100%</b> of complaints we investigated were upheld.</p> <p>This compares to an average of <b>53%</b> in similar authorities.</p>	<p><b>1</b> upheld decision</p> <p>Statistics are based on a total of 1 detailed investigation for the period between 1 April 2020 to 31 March 2021</p>
Compliance with Ombudsman recommendations		
<p>No recommendations were due for compliance in this period</p>		
Satisfactory remedy provided by the authority		
	<p>In <b>0%</b> of upheld cases we found the authority had provided a satisfactory remedy before the complaint reached the Ombudsman.</p> <p>This compares to an average of <b>16%</b> in similar authorities.</p>	<p><b>0</b> satisfactory remedy decisions</p> <p>Statistics are based on a total of 1 detailed investigation for the period between 1 April 2020 to 31 March 2021</p>

**NOTE:** To allow authorities to respond to the Covid-19 pandemic, we did not accept new complaints and stopped investigating existing cases between March and June 2020. This reduced the number of complaints we received and decided in the 20-21 year. Please consider this when comparing data from previous years.

Reference	Authority	Category	Decided	Decision	Decison Reason	Remedy	Service improvement recommendations
20001628	Uttlesford District Council	Environmental Services & Public Protection & Regulation	12 Oct 2020	Closed after initial enquiries	26B(2) not made in 12 months		Not applicable
20005667	Uttlesford District Council	Adult Care Services	25 Feb 2021	Upheld	mal & inj	Apology,Financial redress: Avoidable distress/time and trouble,Provide training and/or guidance	The Council has agreed to share the lessons learned with all officers and teams involved with Disability Facilities Grants and Adaptations.
20013051	Uttlesford District Council	Planning & Development	02 Mar 2021	Investigation ongoing			
20013660	Uttlesford District Council	Planning & Development	22 Mar 2021	Closed after initial enquiries	An investigation is unlikely to add to the Council's own or lead to a different outcome		

Appendix B

2020/21 COMPLAINTS	Q1 Total Complaints	Number upheld/part upheld	Q2 Total Complaints	Number upheld/part upheld	Q3 Total Complaints	Number upheld/part upheld	Q4 Total Complaints	Number upheld/part upheld
Benefits	1	0	0	0	2	0	2	1
Corporate Services	0	0	21	0		0	0	0
Council Tax & Recovery	5	0	7	2	19	16	2	1
Electoral Services	0	0	0	0	2	1	0	0
Environmental Health	5	2	2	0	5	0	2	1
Housing	7	1	6	1	11	1	8	2
Legal	0	0	0	0	1	0	1	0
Planning	7	1	15	8	11	2	9	2
Environmental Services	8	3	4	1	8	3	4	3
	<b>33</b>	<b>7</b>	<b>55</b>	<b>12</b>	<b>59</b>	<b>23</b>	<b>28</b>	<b>10</b>

Summary of upheld/part upheld complaints

**Q1 – 7 complaints**

- 2 - administrative errors resulting in delays in garden waste and council tax
- 2 - criticism of how officers had dealt with and communicated to the resident
- 3 – operational matters, for example, bins on pathways, tenant related complaints

**Q2 – 12 complaints**

- 7 – administrative delays in responding to enquiries due to high volume workload across various services
- 5 – operational matters, for example, council tax system error resulting in higher instalment plan, planning technical error where a report failed to appear on the website and missed bins

**Q3 – 23 complaints**

- 16 – administrative delays around processing of business grants due to high volume of work and pressures the team were working under (Covid-19 related)
- 5 – operational matters, for example, missed bins and documents not on the planning website
- 2 – administrative error regarding timely contact for termination of tenancy and an incorrect registration of an annexe by electoral services

**Q4 – 10 complaints**

- 6 – administrative delays, for example, late responses from planning, error in benefit calculation of applicant's income and delay in sending backdated council tax bill
- 4 - operational matters, for example, missed bins and refuse vehicle caused damage to garden

2020/21 COMPLIMENTS	Q1	Q2	Q3	Q4
All Services	1			
Executive Support	1			
Benefits				
Corporate Services (including CSC)	2			1
Council Tax & Recovery		2		
Electoral Services	1			1
Environmental Health				1
Housing				1
Legal				
Planning	3			1
Environmental Services	4	3	3	
Economic Development				2
	<b>12</b>	<b>5</b>	<b>3</b>	<b>7</b>

# Agenda Item 8

**Committee:** Governance, Audit & Performance Committee      **Date:** Tuesday 28<sup>th</sup> September 2021  
**Title:** Quarter 1 2021/22 Performance Indicator Report  
**Report Author:** Oliver Knight, PFI & Performance Officer  
[oknight@uttlesford.gov.uk](mailto:oknight@uttlesford.gov.uk)  
01799 510440

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## Summary

1. This report presents the Quarter 1 2021/22 outturn and data analysis for all Key Performance Indicators (KPIs) and Performance Indicators (PIs).
2. Despite the pressures imposed on service delivery by the COVID-19 pandemic since March 2020, the majority of indicators are now attaining target during Quarter 1 2021/22. Indeed, short and long-term comparisons support this outcome, as limited movement is evident across the majority of performance statuses.

## Recommendations

3. None

## Financial Implications

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

## Background Papers

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

## Impact

- 6.

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

Sustainability	None
Ward-specific impacts	None
Workforce/Workplace	None

## Situation

7. Appendix A presents the data for Quarter 1 2021/22 (1<sup>st</sup> April 2021 to 31<sup>st</sup> June 2021) for each individual Key Performance Indicator (KPI) and Performance Indicator (PI) collected and reported by the authority during this quarter.
8. Data for the majority of PIs is collected and reported on a quarterly basis; no data is available for PIs monitored on an annual or half-yearly basis during this time period. All outturn data is shown in bold.
9. Performance is monitored against all targets agreed by the Corporate Management Team in March 2021.
10. For comparison purposes, the report contains data for Quarter 1 2021/22 and the previous four quarters. Presenting these consecutive quarters of data enables both short & long term comparison to be made, as represented in the trend arrows included for each PI.
11. For some indicators, quarterly data is not available for reporting. Reasoning for this has been provided in the comment for each individual PI. As an example, data for **PI 49** (*Operator Compliance Risk Score*) is not available due to technical issues with the Transport Office's portal. As soon as this data is available, we will report this to future meetings of the Governance, Audit & Performance Committee.
12. All data and performance notes have been reviewed by the Corporate Management Team and the Joint Executive Team.
13. Upon reviewing performance in Quarter 1 2021/22, it is evident that the majority of indicators are meeting target:

Status	Quarter 1 2021/22	
	21	64%
	5	15%
	7	21%
<b>Total</b>	<b>33</b>	<b>100%</b>

14. When analysing indicator achievement in Quarter 1 2021/22 in comparison to Quarter 4 2020/21, it can be seen that performance in the short-term has improved across all statuses for comparable indicators.

Status	Quarter 4 2020/21		Quarter 1 2021/22	
	18	18	20	65%
	6	6	5	16%
	7	7	6	19%
<b>Total</b>	<b>31</b>	<b>100%</b>	<b>31*</b>	<b>100%</b>

\*PI 60 & PI 61 were introduced for monitoring in the 2021/22 year.

15. This short-term improvement is not defined to solely one service area and is noted across both the Corporate Services & Public Services directorates. Whilst some indicators have moved from amber status in Quarter 4 20/21 to green status in Quarter 1 21/22 (e.g. **KPI 16 Rent Collection**), others have shown significant short-term improvement moving from red to green status (e.g. **KPI 08(a) Voids**).

16. There are four KPIs that have not met their target for Quarter 1 2021/22 but are within the 10% threshold and have an 'amber' status.

KPI 03 Percentage of Non-domestic Rates Collected (Max)\*

KPI 05 Percentage of Council Tax Collected (Max)\*

KPI 14 Percentage of household waste sent for reuse, recycling and composting (Max)

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

17. There are two KPIs that have exceeded the 10% performance threshold at Quarter 1 2021/22 and have a 'red' status:

**KPI 06(b)**

**Time taken to process Housing Benefit & Local Council Tax Support Change Events (Min)**

Whilst during the previous three quarters this indicator has reached target, the time taken to process change events averaged at 7.9 days during Quarter 1 2021/22; just above the target of 7.0 days. The increase in time taken is a direct correlation to the volume of Universal Credit annual reviews and change notifications being received. The Department for Work and Pensions commenced annual review of claims received at the start of the Covid-19 pandemic, as such creating this short-term increase in workload. It is expected that performance will improve in Quarter 2 2021/22.

## KPI 22

### Average number of days lost per FTE through long-term sickness absence during rolling quarter (Min)

Performance of this PI has dropped significantly this quarter; there have been a number of specific long-term sickness absence cases in Environmental Services related to longer term health issues. These have not been COVID related. HR and service managers have been proactively working with each case offering advice and support through the appropriate processes. It is anticipated that an improvement will be seen in long-term sickness levels for this area during Q2.

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

## Risk Analysis

19.

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

1 = Little or no risk or impact

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

3 = Significant risk or impact – action required

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

Appendix A: Quarter 1 2021/22 PI Data



## **Quarter 1 2021/22 Performance Report: KPIs & PIs**

### **Governance, Audit & Performance Committee – 28<sup>th</sup> September 2021**

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

#### **Status Symbols**



Target achieved



Target not achieved but within 10% of achieving target



Target not achieved by over 10%

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#### **Trend Arrows**

Short Term      Assesses performance in Q1 2021/22 in comparison to Q4 2020/21

Long Term      Assesses performance in Q1 2021/22 in comparison to Q1 2020/21

**Directorate: CHIEF EXECUTIVE**

Democratic & Electoral Services								
PI Code & Short Name	Q1 2020/21	Q2 2020/21	Q3 2020/21	Q4 2020/21	Q1 2021/22	Short Term Trend	Long Term Trend	Performance Note
<b>PI 21</b> Percentage of minutes from meetings made available to the public within 10 working days (Max)	71%	78%	61%	77%	72%	↓	↑	<u>Quarter 1 2021/22</u> <b>Numerator: 21 Denominator: 29</b>  The instances where late minutes were published primarily relate to additional pressures due to the return to in-person meetings.
	95%	95%	95%	95%	95%			

Legal Services								
PI Code & Short Name	Q1 2020/21	Q2 2020/21	Q3 2020/21	Q4 2020/21	Q1 2021/22	Short Term Trend	Long Term Trend	Performance Note
<b>PI 06</b> Percentage of standard searches carried out in 10 working days (Max)	100%	100%	99.5%	100%	100%	-	-	<u>Quarter 1 2021/22</u> <b>Numerator: 486 Denominator: 486</b>  100% in 10 working days
	100%	100%	100%	100%	100%			

## Directorate: CORPORATE SERVICES

Benefits								
PI Code & Short Name	Q1 2020/21	Q2 2020/21	Q3 2020/21	Q4 2020/21	Q1 2021/22	Short Term Trend	Long Term Trend	Performance Note
<b>KPI 04</b> Accuracy of processing - HB/CTB claims (Max)	100.00 %	99.31%	99.21%	100.00 %	<b>98.77%</b>			<b>Quarter 1 2021/22</b> <b>Numerator: 160 Denominator: 162</b> 125 New claims and 37 Change of circumstances checked in Quarter 1 of 2021/22, and 2 financial errors have been identified, giving an accuracy rate of 98.77%. We continue to achieve our target of 98% due to our proactive checking arrangements which identify any potential training issues quickly and allow us to give prompt and appropriate training.
								
	98.00%	98.00%	98.00%	98.00%	<b>98.00%</b>			
<b>KPI 06 (a)</b> Time taken to process Housing Benefit/Council Tax Benefit new claims (Days) (Min)	16.3	15.3	16.3	16.1	<b>14.5</b>			<b>Quarter 1 2021/22</b> <b>Numerator: 4,018 Denominator: 277</b> 62 new claims to Housing Benefit (HB) were processed taking a total of 732 days. 215 new claims to Local Council Tax Support (LCTS) were processed taking 3,286 days. This is a combined total of 277 new claims taking 4,018 days; an average of 14.51 days.
								
	20.0	20.0	20.0	20.0	<b>19.0</b>			
<b>KPI 06 (b)</b> Time taken to process Housing Benefit/Council Tax Benefit change events (Min)	7.9	6.3	4.9	4.0	<b>7.9</b>			<b>Quarter 1 2021/22</b> <b>Numerator: 40,003 Denominator: 5,063</b> 1,384 changes in circumstance to Housing Benefit (HB) were processed taking a total of 5,236 days. 3,679 changes in circumstance to Local Council Tax Support (LCTS) were processed taking 34,767 days. This is a combined total of 5,063 changes taking 40,003 days; an average of 7.90 days. The increase in time taken is a direct correlation to the volume of Universal Credit annual reviews and change notifications being received following the Department for Work and Pensions annual review of claims received at the start of the Covid-19 pandemic.
								
	7.0	7.0	7.0	7.0	<b>7.0</b>			

## Customer Services & Performance

PI Code & Short Name	Q1 2020/21	Q2 2020/21	Q3 2020/21	Q4 2020/21	Q1 2021/22	Short Term Trend	Long Term Trend	Performance Note
<b>PI 44</b> Percentage of Customer Enquiries Resolved at first point of contact (Max)	73%	81%	82%	86%	<b>84%</b>			<p><b>Quarter 1 2021/22</b>  <b>Numerator: 24,407 Denominator: 29,024</b>                      Please note: figures for this quarter do not include Face-2-Face visits due to the continued closure of all public access service desks caused by the COVID-19 pandemic. Limited service is now being provided from the Saffron Walden Office therefore Quarter 2 outturn will include data from these visits.</p> <p>Although performance levels have dropped slightly this quarter, the indicator has exceeded its revised target of 82% of first contact resolution (FCR) for resident email and telephone contacts. The indicator helps identify where additional knowledge is needed for Advisors to give FCR whenever possible.</p> <p>Telephone statistics are used to determine the number of calls transferred on from a CSC Advisor. In effect, if a call does not need to be transferred outside of the CSC it is classed as first point contact resolution from a resident perspective.</p> <p>Statistics indicate that a higher level of telephone FCR is realised for certain services such as Council Tax, Benefits and Waste Services. Work will continue with those service areas where FCR is not as high, such as Planning and Licensing, to see what knowledge and information would be required for CSC Advisors to offer a higher level of service at the first point of contact for residents. Analysis of the calls received via the CSC (no option chosen on IVR) will also be undertaken as FCR levels are quite low in this area (47%). The outturn indicates that email numbers continue to grow even as we move out of COVID-restrictions. Further work will be undertaken to establish if contacts are increasing across all channels or if contact preferences are changing.</p> <p>FCR is given by CSC Advisors unless specialist information is required when calls and emails are then transferred or passed onto relevant back-office departments.</p>
								
	86%	86%	86%	86%	<b>82%</b>			

Finance								
PI Code & Short Name	Q1 2020/21	Q2 2020/21	Q3 2020/21	Q4 2020/21	Q1 2021/22	Short Term Trend	Long Term Trend	Performance Note
<b>KPI 01</b> Percentage of supplier invoices paid within 30 days of receipt by the Council (Max)	97.10%	99.10%	99.60%	99.70%	<b>99.70%</b>	-	↑	<b>Quarter 1 2021/22</b> <b>Numerator: 1,380 Denominator: 1,384</b> 99.7% of invoices paid within 30 days of receipt. Invoices are promptly paid and or dealt with if a query comes up due to our constant communications with all departments and suppliers. The four invoices that were paid after 30 days were software issues not yet completed so the delay was to wait for this before paying the invoices.
	98.00%	98.00%	98.00%	98.00%	<b>98.00%</b>			
<b>PI 02</b> Average time (Days) to pay supplier invoices (Min)	19.8	24.8	55.3	20.9	<b>18.6</b>	↑	↑	<b>Quarter 1 2021/22</b> <b>Numerator: 25,778 Denominator: 1,384</b> With our reporting parameters from invoice date to paid date (instead of received by Creditors to paid date) we are still seeing results not meeting the expected KPI. We need to request this indicator to be moved to show a more realistic outcome to the expectation. <ul style="list-style-type: none"> <li>- Average days to pay supplier (invoice to paid): = 18.63 days</li> <li>- Average days to pay within receipt (received by creditors to paid): = 5.43 days</li> </ul>
	11.0	11.0	11.0	11.0	<b>11.0</b>			
<b>PI 60</b> Number of Insurance Claims Made (Min)	PI introduced for the 2021/22 year				<b>3</b>	N/A	N/A	<b>Quarter 1 2021/22</b> <b>Count: 3</b>  Three new claims raised in Quarter 1 2021/2; three new motor claims.
					<b>9</b>			
<b>PI 61</b> Percentage of Insurance Claims settled as a proportion of Insurance Claims Made (Min)	PI introduced for the 2021/22 year				<b>40.00%</b>	N/A	N/A	<b>Quarter 1 2021/22</b> <b>Numerator: 4 Denominator: 10</b>
					<b>0%</b>			

## Human Resources

PI Code & Short Name	Q1 2020/21	Q2 2020/21	Q3 2020/21	Q4 2020/21	Q1 2021/22	Short Term Trend	Long Term Trend	Performance Note
<b>KPI 20</b> Average days lost per FTE through sickness absence based on the rolling year (Min)	9.76	9.56	8.70	7.90	<b>8.1</b>	↑	↑	<u><b>Quarter 1 2021/22</b></u> <b>Numerator: 2,381</b> (Total number of FTE days sickness absence in rolling year) <b>Denominator: 295.6</b> (Average FTE during rolling year) Overall sickness remains below target. The last quarter has shown a very slight increase which is mainly due to a small number of long term absences. The total sickness level in Quarter 1 2021/22 is below the equivalent quarter last year.
	8.00	8.00	8.00	8.00	<b>8.70</b>			
<b>KPI 21</b> Average number of days lost per FTE through short-term sickness absence based on rolling quarter (Min)	0.60	0.93	0.80	1.08	<b>0.76</b>	↑	↓	<u><b>Quarter 1 2021/22</b></u> <b>Numerator: 295.60</b> (Total number FTE absence days for short-term sickness in rolling quarter) <b>Denominator: 223.99</b> (Average FTE during rolling quarter) There has been a sustained reduction in short term sickness absence over the past year which has predominantly been due to people staying at home during the pandemic. Although Covid restrictions have been eased, the majority of our workforce remains homeworking.
	1.05	1.05	1.05	1.05	<b>0.95</b>			
<b>KPI 22</b> Average number of days lost per FTE through long-term sickness absence during rolling quarter (Min)	1.33	1.07	1.41	0.50	<b>1.28</b>	↑	↑	<u><b>Quarter 1 2021/22</b></u> <b>Numerator: 378.33</b> (Total number FTE absence days for long-term sickness in rolling quarter) <b>Denominator: 295.60</b> (Average FTE during rolling quarter) Long term sickness absences in our frontline Environmental Services team are being addressed by HR and management through the appropriate processes. Support is provided to staff to help them back into work.
	0.95	0.95	0.95	0.95	<b>1.05</b>			

## Information Communication Technology

PI Code & Short Name	Q1 2020/21	Q2 2020/21	Q3 2020/21	Q4 2020/21	Q1 2021/22	Short Term Trend	Long Term Trend	Performance Note
<b>PI 20</b> Percentage of IT help Desk calls resolved within target (Max)	96.80%	98.00%	96.30%	95.70%	<b>95.10%</b>			<b>Quarter 1 2021/22</b> We haven't reached the target of 96% due to one support staff vacancy since 1st April 21; this position has now been recruited to at the end of the quarter. In addition to this, staff sickness has also affected this outturn value.
								
	96.00%	96.00%	96.00%	96.00%	<b>96.00%</b>			

## Museum

PI Code & Short Name	Q1 2020/21	Q2 2020/21	Q3 2020/21	Q4 2020/21	Q1 2021/22	Short Term Trend	Long Term Trend	Performance Note
<b>PI 49</b> Users of the Museum Service (Max) #	235	666	474	532	<b>759</b>			<b>Quarter 1 2021/22</b> <b>Count - 759</b> The museum re-opened from 20 <sup>th</sup> May on restricted hours with online booking. The return of visitors to indoor venues has been slow but steady. A few schools have visited, some outreach work has been possible and loan boxes remain popular, resulting in 759 users well in excess of the notional target for Quarter 1 2021/22.
								
	3,500	3,500	3,000	3,200	<b>500</b>			

## Revenues

PI Code & Short Name	Q1 2020/21	Q2 2020/21	Q3 2020/21	Q4 2020/21	Q1 2021/22	Short Term Trend	Long Term Trend	Performance Note
<b>KPI 03</b> Percentage of Non-Domestic Rates Collected (Max) *	19.62%	44.88%	68.10%	92.45%	<b>27.44%</b>			<b>Quarter 1 2021/22</b> <b>Numerator: £11,151,462.89</b> <b>Denominator: £40,644,538.17</b> Business Rates income continues to be difficult in the current pandemic, it is expected this will improve as the economy continues to recover.
								
	29.60%	58.40%	86.20%	98.80%	<b>29.60%</b>			

<b>KPI 05</b> Percentage of Council Tax collected (Max) *	28.42%	56.15%	83.98%	97.40%	<b>29.35%</b>	↑	↑	<b>Quarter 1 2021/22</b> <b>Numerator: £21,116,517.85</b> <b>Denominator: £71,949,829.23</b> Collection rate is only just below target. Following the issue of Summons, collection has increased, or customers have made ongoing payment arrangements.
								
	29.60%	58.40%	86.20%	98.80%	<b>29.60%</b>			
<b>KPI 16</b> Rent collected as percentage of rent owed (including arrears b/f) (Max) *	93.74%	96.52%	96.92%	97.49%	<b>93.57%</b>	↑	↑	<b>Quarter 1 2021/22</b> <b>Numerator: £4,054,246.33</b> <b>Denominator: £4,332,696.25</b> This PI has exceeded the target due to the dedicated support offered to tenants within the confines of the current Covid-19 crisis, including early intervention and payment advice.
								
	90.00%	95.00%	96.00%	98.00%	<b>89.00%</b>			
<b>KPI 17</b> Legal Council Tax Support Collection Rate (Max)*	23.56%	46.17%	68.62%	93.83%	<b>24.33%</b>	↓	↑	<b>Quarter 1 2021/22</b> <b>Numerator: £213,925.22</b> <b>Denominator: £879,239.91</b> This indicator is slightly below target, but this can be expected whilst we move out of the pandemic and the economy starts to recover.
								
	25.00%	50.00%	69.00%	89.00%	<b>25.00%</b>			
<b>PI 51</b> Current Rent Arrears as a percentage of the annual rent debit (excluding HB adjustment) (Min)	2.35%	2.42%	2.86%	2.45%	<b>2.48%</b>	↑	↑	<b>Quarter 1 2021/22</b> <b>Numerator: £392,549.80</b> <b>Denominator: £15,797,771.28</b> This PI is currently exceeding target. Continued specific focus on rent collection activities within the confines of the current Covid-19 crisis has supported the performance of this performance indicator.
								
	2.80%	2.80%	2.80%	2.80%	<b>3.00%</b>			
<b>PI 03</b> Percentage of sundry debt income overdue (Min)	8.4%	12.3%	0.9%	1.4%	<b>2.1%</b>	↓	↑	<b>Quarter 1 2021/22</b> <b>Numerator: £11,667.44</b> <b>Denominator: £568,942.58</b> The collection rate is ahead of target with just three debts in arrears. Two of these are with legal and the third is awaiting a house sale to clear the arrears outstanding.
								
	4.0%	4.0%	4.0%	4.0%	<b>4.00%</b>			

## Directorate: PUBLIC SERVICES

Communities								
PI Code & Short Name	Q1 2020/21	Q2 2020/21	Q3 2020/21	Q4 2020/21	Q1 2021/22	Short Term Trend	Long Term Trend	Performance Note
<b>PI 07</b> The level of achievement attained under the Equality Framework for Local Government (Max)	Developing	Developing	Developing	Developing	Developing			<b>Quarter 1 2021/22</b> Feedback and reports have been received regarding the listening event in March. A work programme is being finalised with the consultant for future listening events and the staff network. The staff network will help to populate a calendar of EDI days to support over the year. We are working with those residents who came forward at the listening event to work with us moving forward. The establishment of an EQI bookclub is being considered.
								
	Achieving	Achieving	Achieving	Achieving	Achieving			

## Environmental Health (Commercial)

PI Code & Short Name	Q1 2020/21	Q2 2020/21	Q3 2020/21	Q4 2020/21	Q1 2021/22	Short Term Trend	Long Term Trend	Performance Note
<b>PI 41</b> Percentage of routine food hygiene premises inspections completed within the quarter (Max)	Data not available due to Covid-19 pandemic.				N/A	N/A	N/A	<b>Quarter 1 2021/22</b> Quarter 1 has seen a continuation of Covid-19 influence the way we work with a movement through Step 3 and a delay to the Step 4 phases of the Government roadmap. Food business diversification has become embedded for a number of businesses and we are seeing a continual rise in new food businesses registering. Social media continues to be actively monitored, particularly for home based new food businesses. While we commenced the quarter seeing a continuation of Covid related requests for advice from both business operators and members of the public, as we moved towards June this began to tail off. The primary focus for Covid enquiries is now focused on events with the team, via safety advisory groups (SAG) facilitating organisers operating both in a Covid safe manner and in regard to more traditional Health and safety considerations.
					N/A			
	98%	98%	98%	98%	98%			

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									<p>The EH commercial service is now looking to move towards a recovery/ restoration phase and is having regard to FSA the strategy which is looking to ensure that:</p> <ul style="list-style-type: none"> <li>- We return diverted resources to food teams.</li> <li>- We can identify and focus on those businesses that are trading by continuing to undertake ongoing proactive surveillance.</li> <li>- We improve hygiene and standards compliance and reduce risks by focusing activity where non-compliance is identified and by undertaking appropriate follow-up and enforcement action</li> <li>- We ensure more routine operation of the Food Hygiene Rating Scheme (FHRS).</li> </ul> <p>New methods of working necessitated by the current pandemic continue to present difficulties in reporting as PI's in the traditional way. We remain confident however that the team continue to be effective in both supporting local food businesses and ensuring that the public are kept safe.</p>
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## Housing Strategy & Operations

PI Code & Short Name	Q1 2020/21	Q2 2020/21	Q3 2020/21	Q4 2020/21	Q1 2021/22	Short Term Trend	Long Term Trend	Performance Note
<b>KPI 08 (a)</b> Average re-let time in days (all re-lets including time spent in works) (Min)	90	80.5	72.5	68.5	40.5	↑	↑	<b>Quarter 1 2021/22</b> <b>Numerator: 1,659</b> <b>Denominator: 41</b> The time spent in works was 34 days, and the time spent with lettings was 6 days.
	42	42	42	42	42			
<b>PI 16</b> Number of households living in temporary accommodation (Min)	21	17	23	18	24	↓	↓	<b>Quarter 1 2021/22</b> <b>Count: 24</b> Bed and Breakfast: 10 Uttlesford District Council: 14 Snapshot: 30 June 2021. Use of temporary accommodation has increased in the last quarter as we have found that supply of more settled accommodation didn't increase as expected. Also, most in temporary accommodation have similar property-type requirements which slows down move-on.
	18	18	18	18	18			

## Planning: Development Management

PI Code & Short Name	Q1 2020/21	Q2 2020/21	Q3 2020/21	Q4 2020/21	Q1 2021/22	Short Term Trend	Long Term Trend	Performance Note
<b>KPI 11</b> Processing of planning applications: Major applications (within 13 weeks or including any agreed extension of time) (Max)	100.00 %	100.00 %	66.67%	90.91%	<b>100.00 %</b>	↑	-	<b>Quarter 1 2021/22</b> <b>Numerator: 4 Denominator: 4</b> Improved use of PPAs and project management of cases has helped to improve performance.
	60.00%	60.00%	60.00%	60.00%	<b>60.00%</b>			
<b>KPI 12</b> Processing of planning applications: Minor applications (within 8 weeks or including EOT) (Max)	84.44%	88.68%	87.86%	83.67%	<b>84.25%</b>	↑	↓	<b>Quarter 1 2021/22</b> <b>Numerator: 107 Denominator: 127</b> Target exceeded, but concerns with sustainability of performance and potential over-reliance on Extensions of Times still exists.
	75.00%	75.00%	75.00%	75.00%	<b>75.00%</b>			
<b>KPI 13</b> Processing of planning applications: Other applications (within 8 weeks or including any agreed extension of time) (Max)	90.79%	93.94%	85.82%	85.05%	<b>85.01%</b>	↓	↓	<b>Quarter 1 2021/22</b> <b>Numerator: 312 Denominator: 367</b> Target achieved, but there are concerns at sustainability of performance and possible over-reliance on granting extension of times.
	82.00%	82.00%	82.00%	82.00%	<b>82.00%</b>			

<b>PI 24 (d)</b> Appeals allowed for enforcement notices (Min)	0.0%	0.0%	50.0%	0.0%	<b>0.0%</b>	-	-	<b>Quarter 1 2021/22</b> <b>Numerator: 0 Denominator: 0</b> Zero enforcement appeal decisions during quarter.
	30.0%	30.0%	30.0%	30.0%	<b>30.0%</b>			
<b>PI 32</b> Percentage planning applications validated within 5 days (Max)	99.48%	99.77%	99.79%	99.39%	<b>99.42%</b>	↑	↓	<b>Quarter 1 2021/22</b> <b>Numerator: 519 Denominator: 522</b> Despite the slowness of processing applications on the system (the document management system and uniform) and the challenges of working remotely, the team are processing applications in a timely manner.
	95.00%	95.00%	95.00%	95.00%	<b>95.00%</b>			
<b>PI 46</b> Quality of Decisions: Appeals Upheld for Major Planning Applications as a Proportion of Appeals Raised (Min)	33.33%	50.00%	33.33%	33.33%	<b>66.66%</b>	↓	↓	<b>Quarter 1 2021/22</b> <b>Numerator: 2 Denominator: 3</b> Worrying high levels of appeals allowed, resulting in risk of designation. Hopefully this will improve as appeal backlog is cleared; although still a relatively low number.
	30.0%	30.0%	30.0%	30.0%	<b>30.0%</b>			
<b>PI 47</b> Quality of Decisions: Percentage of Appeals Upheld for Non-Major Planning Applications as a Proportion of Appeals Raised (Min)	52.63%	35.89%	73.91%	63.63%	<b>24.00%</b>	↑	↑	<b>Quarter 1 2021/22</b> <b>Numerator: 6 Denominator: 25</b> More comfortable appeal record on non-major appeal decisions. Still needs to be monitored closely.
	30.00%	30.00%	30.00%	30.00%	<b>30.00%</b>			

## Street Services

PI Code & Short Name	Q1 2020/21	Q2 2020/21	Q3 2020/21	Q4 2020/21	Q1 2021/22	Short Term Trend	Long Term Trend	Performance Note
<b>KPI 14</b> Percentage of household waste sent for reuse, recycling and composting (LAA) (Max)	55.62%	53.45%	52.19%	49.54%	<b>51.93%</b>	↑	↓	<b>Quarter 1 2021/22</b> <b>Numerator: 4,511.98</b> (total waste sent for reuse, recycling and composting) <b>Denominator: 8,688.71</b> (total domestic waste arising)
	51.50%	51.50%	51.50%	51.50%	<b>52.00%</b>			
<b>KPI 15 (b)</b> Percentage of domestic collections of waste and recyclables successfully made on first visit (Max)	99.99%	99.99%	99.99%	99.99%	<b>99.99%</b>	↓	↓	<b>Quarter 1 2021/22</b> <b>Numerator: 1,011,229</b> (Number of successful collections) <b>Denominator: 1,011,348</b> (Total number of scheduled collections) 119 bins (general and recyclable waste) were reported as missed from 1 <sup>st</sup> April to 30 <sup>th</sup> June.
	99.95%	99.95%	99.95%	99.95%	<b>99.97%</b>			
<b>KPI 48</b> Attainment of 'Green' for Operator Compliance Risk Score (Yes or No)	Yes	Yes	Yes	Yes	<b>N/A</b>	N/A	N/A	<b>Quarter 1 2021/22</b> The Transport Office is still unavailable, however UDC continues to hold a green operator's license.
					<b>N/A</b>			
	Yes	Yes	Yes	Yes	<b>Yes</b>			