



Uttlesford District Council

Chief Executive: Peter Holt

Governance, Audit and Performance Committee

- Date:** Wednesday, 15th March, 2023
- Time:** 7.00 pm
- Venue:** Council Chamber - Council Offices, London Road, Saffron Walden, CB11 4ER
- Chairman:** Councillor E Oliver
- Members:** Councillors H Asker, G Driscoll (Vice-Chair), M Foley, A Khan, B Light, T Loveday, S Luck and J De Vries
- Substitutes:** Councillors A Dean, V Isham and G Smith

Public Speaking

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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 - 8

To consider the minutes of the previous meeting.

3 2022/23 Corporate Risk Register Update - Review of Current Risks 9 - 26

To note the 2022/23 Corporate Risk Register.

4 Q3 Performance Indicator Data and Analysis 27 - 46

To note the report.

5 Annual Accounts (Verbal report)

The Director of Finance and Corporate Services to provide a position statement.

6 Uttlesford Norse Services Ltd. (Verbal report)

The Director of Finance and Corporate Services to provide a position statement.

7 Internal Audit Update (Verbal report)

The Audit Manager to provide a position statement.

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The agenda is split into two parts. Most of the business is dealt with in Part I which is open to the public. Part II includes items which may be discussed in the absence of the press or public, as they deal with information which is personal or sensitive for some other reason. You will be asked to leave the meeting before Part II items are discussed.

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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 NOVEMBER 2022 at 7.00 pm

Present: Councillor E Oliver (Chair)
Councillors G Driscoll (Vice-Chair), M Foley, A Khan, B Light, S Luck and J De Vries

Officers in attendance: P Holt (Chief Executive), C Gibson (Democratic Services Officer), A Knight (Assistant Director - Business and Change Management), J Reynolds (Assistant Director - Legal and Governance), S Russell (Interim Director - Housing, Health and Communities) and A Webb (Director - Finance and Corporate Services).

GAP73 APOLOGIES FOR ABSENCE AND DECLARATIONS OF INTEREST

Apologies were given by Councillor Emanuel. Apologies for lateness were received from Councillor Foley.

Non-pecuniary interests were declared by Councillor Luck (Debden PC), Councillor Driscoll (Birchanger PC) and Councillor Light (Saffron Walden TC).

GAP74 MINUTES OF THE PREVIOUS MEETING

The minutes of the meeting held on 29 September 2022 were approved as correct.

GAP75 AUDIT AND SIGN OFF 2019/20 ACCOUNTS REVIEW UPDATE

The Assistant Director - Legal and Governance introduced her report. She said that the report had been compiled following a quality review which had been undertaken by Bevan Brittan Solicitors.

In response to various questions, officers said that:

- The 2019/20 accounts could not be signed off yet and that discussions were on-going with the External Auditor in order to re-open the accounts.
- Any significant post 2019/20 balance sheet events would have to be considered that might require additional narratives.
- This would also be dependent on auditor availability.

Members noted the update regarding sign off of the Council's accounts, the recommendations of the review and the amendments to the Constitution that the Monitoring Officer would make under delegated authority.

GAP76 GENERAL CHANGES TO THE CONSTITUTION

The Assistant Director - Legal and Governance introduced her report. She said that where new clauses were to be added they had been highlighted in yellow in the report.

In response to various questions, officers said that:

- Rule 3 outlined the position for calling extraordinary meetings. It was the role of the Chief Executive to legally issue the summons for such meetings and not to call the meeting. The two functions legally were required to be separate.
- Paragraph 5.2 of the report detailed arrangements for meetings convened at short notice.
- Paragraph 6.3.7 of the report outlined the specific obligation for Scrutiny Committee to carry out the functions assigned to a Crime and Disorder Scrutiny Committee pursuant to Section 19 of the Police and Justice Act 2006.

Councillor Foley joined the meeting at 7.20 pm.

Members noted the update to the report at paragraph 1.3 and the amendments made by the Monitoring Officer under delegated powers which would be made to the Constitution as outlined in appendix one of the report and the amendments shown in paragraph 13 made by the Monitoring Officer under delegated powers which would be made to the Constitution as outlined in appendix two of the report.

GAP77 PROCUREMENT STRATEGY TOOLKIT ASSESSMENT

The Assistant Director – Business and Change Management outlined the report. She referred to Appendix A – Procurement Assessment using National Procurement Strategy Toolkit and said that the green ticks indicated where the Council was considered to be currently and the red ticks were for future ambition. She said that the life of the Strategy was for four years, with three and a half years remaining. There would be an annual review that would be brought back to GAP Committee. Councillor Hargreaves was now the Portfolio Holder with responsibility for Procurement and training for GAP Members had been held in November 2022.

In response to various questions, officers:

- Outlined how environmental matters, social value and the green agenda were covered within the National Procurement Strategy.
- Addressed the questions referring to the need for leadership and innovation together with the culture of procurement and contract management.
- Explained that the Council was starting from a developing base with limited resources.
- Said that all comments would be taken on board.

Councillor Khan thanked the Assistant Director – Business and Change Management for her efforts.

The report was noted.

GAP78 QUARTER 2 2022/23 PERFORMANCE INDICATOR REPORT

The Director – Finance and Corporate Services introduced the report. He said that overall the report had identified a drop in performance of some indicators and that further work was being undertaken with individual services. He outlined the performance information detailed in Paragraphs 13, 14, 15 and 16 and the details contained in Appendices A and B. He also confirmed that the Insurance PI's were currently under review and that an improved reporting mechanism was being taken forward for the Human Resources PI's.

In response to various questions, officers said that:

- In respect of KPI 05 Percentage of Council Tax collected, this was an 'amber' status. However, the Chair pointed out that the current collection rate was higher than the same time last year.
- In respect of KPI 14 Percentage of household waste sent for reuse, recycling and composting, the outturn figure was an estimate and final figures would be available shortly.
- In respect of PI 60 Number of Insurance Claims made for the period, responsibility for Grounds and Buildings monitoring rested with various parties. The Director – Finance and Corporate Services undertook to provide Members outside of the meeting with appropriate schedules of inspection works.
- Areas of most concern currently related to the cost of living issues and consideration was being given to picking up all relevant indicators under this heading.

The report was noted.

GAP79 GRANT POLICY

The Director – Finance and Corporate Services introduced the report. He said that the intention was for this to be an interim document for the next 12 months and that the aim amongst officers was to move towards a more commissioning framework.

The Chief Executive said that Grants Policies had only been for one year at a time and it was his intention to bring back a further Grant Policy paper in summer 2023. He said that he was sharing his thoughts in respect of moving forward largely on a commissioning basis.

In response to various comments and questions, officers:

- Acknowledged the significant uncertainties in respect of future grant funding, particularly due to economic circumstances. Uncertainty would need to be managed.

- The difficulties that smaller groups might experience within a commissioning framework.
- Promised to circulate the criteria being used for £300,000 climate change grants.
- Acknowledged the significant challenges faced by the County Council and said that they would work with them.
- Agreed to produce the policy in Plain Language.

The Chair summarised the position in that the policy was a work in progress and took a show of hands to support the recommendation.

RESOLVED that the Committee recommended the Grant Policy to Cabinet for formal adoption.

GAP80 UPDATE ON COUNCIL HOUSING MAINTENANCE AND REGULATORY COMPLIANCE

The Chair introduced the report and welcomed the Interim Director, Housing, Health and Communities to the meeting.

The Chief Executive outlined the current situation as detailed in Paragraphs 10 – 18 of the report and particularly highlighted arrangements in place to manage reported cases of damp and mould, where the Secretary of State for Levelling Up, Housing and Communities had asked for reports back within three weeks.

In response to various comments and questions, officers:

- Explained the role that would be played by the new contract manager and the fact that he would have access to the full system which would enable every complaint to be looked at.
- Considered that the likelihood of a Regulatory Improvement Notice being served on the Council was probably below 50%. The Council had commissioned Penningtons, experts in this area, to validate all data and the Regulator had requested a copy of the report when available.
- Said that in respect of damp and mould cases, the data was being scrutinised but that this area had not previously been an indicator. The work being undertaken would establish historical cases and timescales.
- Said that a Complaints Management Policy was being developed.
- Asked Members to provide any information in respect of known cases of damp and mould.
- Clarified the role of Environmental Health in cases where private landlords had issues of damp and mould and where enforcement action could be taken or utilising the Housing Options route. Action could even be taken through the Proceeds of Crime Act.
- Said that they were looking to engage with all tenants through a new Communications Strategy to encourage tenants to report damp and mould in their home.
- Said that the issue of stock condition surveys, which should be carried out on a rolling five-year programme, had been taken up with UNSL, who had indicated that they were looking to catch up on the backlog.

Members noted the report.

The meeting closed at 8.30 pm.

Committee:	Governance, Audit & Performance Committee	Date:
Title:	2022/23 Corporate Risk Register Update – Review of current risks	Wednesday 15 th March 2023
Report Author:	Paula Evans Risk, Contracts & Performance Manager pevans@uttlesford.gov.uk	Key Decision: No

Summary

1. This report provides the committee with an update of the 2022/23 Corporate Risk Register (CRR), which includes corporate-level risks that have been identified and managed during the 2022/23 year.
2. It also provides an update on which risks will be carried forward to the 2023/24 CRR and which will be excluded, including the reasoning why.

Recommendations

3. That the 2022/23 CRR is noted.

Financial Implications

4. There are no direct financial implications associated with this report, other than those risks directly addressing Financial Control (22-CR-01) and Investments (22-CR-12).

Background Papers

5. The following papers were referred to by the author in the preparation of this report:
 - Governance, Audit & Performance committee reports, providing previous updates on Uttlesford District Council's Corporate Risk Register
 - UDC Risk Management Policy

Impact

- 6.

Communication/Consultation	Internal communication on risk management is required through CMT and SMT meetings.
Community Safety	No specific implications

Equalities	None beyond general management of equality and diversity impacts for identified risks.
Health and Safety	A corporate risk has been identified relating directly to Health & Safety (21-CR-03), and impacts are considered as part of this risk's update and review.
Human Rights/Legal Implications	No specific implications
Sustainability	No specific implications
Ward-specific impacts	No specific implications
Workforce/Workplace	No specific implications

Situation

7. Appendix A presents the 2022/23 CRR, its current risk scores and information regarding the status of any current controls and mitigating actions in place.
8. The CRR consists of a number of strategic cross-cutting risks which if not controlled could have a serious impact on the council's ability to carry out both its statutory and non-statutory duties to residents.
9. The risks included in the 2022/23 CRR are considered to be those which are most critical for monitoring, in that they could adversely affect the organisation and/or provision of its services at a corporate level if not managed effectively.
10. A service-level operational risk register is also monitored through the service planning process as part of the authority's performance management framework. This enables risks to be 'escalated' to a corporate status if and when necessary.
11. Whilst UDC's Performance Team co-ordinate the review and update process for the CRR, the Chief Executive Officer and Directors have responsibility for the register and specific risks contained therein.
12. Management of both the CRR and service-level risks and the implementation and progression of associated mitigating actions and controls is co-ordinated through the Corporate Management Team (CMT) and relevant members of the Service Management Team (SMT).
13. The structure, format and control of risks is consistent through both the corporate and service-level registers. Each risk is structured to initially identify the basis of the risk occurring, its causative event and potential impacts on the council and/or service area. This structure is derived from the authority's Risk Management Policy, which was adopted in the 2017/18 year.

14. The CRR was last presented to this committee in January 2022. It has however been regularly reviewed by CMT during the 2022/23 financial year, with a last full review having been completed in October 2022.
15. As a result there are a number of changes to the current register that are being proposed:
- | | | |
|----------|------------------|---|
| 22-CR-07 | Governance | This risk will be reviewed or removed now that COVID restrictions/recovery plans are no longer relevant |
| 22-CR-08 | Service Delivery | As above |
| 22-CR-10 | Fraud | This risk will be reviewed now that COVID-related fraud is not as prevalent |
| 22-CR-12 | Investments | Risk scores to be reviewed and amended to reflect current financial impact |
16. A further deep-dive review and refresh of all existing controls and actions of both the CRR and developing 2023/24 service-level risks is planned to be completed by CMT by the end of March 2023.
17. The committee is therefore invited to give comment to the current CRR and associated procedures prior to this refresh in preparation for the incoming committee's monitoring responsibilities.

Risk Analysis

19.

Risk	Likelihood	Impact	Mitigating actions
If risks are not properly identified or managed then preventable problems could occur and affect the council's finances, reputation or resources.	1	4	The Council's Risk Management Policy and Corporate Risk Register ensure effective risk management is placed centrally within its operations, both at a corporate level and service-level.

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 – 2022/23 Corporate Risk Register

Corporate Risk Register 2022_23

Likelihood Scores

Score	Probability
1 (Little Likelihood)	Less than 10%
2 (Some Likelihood)	10% to 50%
3 (Significant Likelihood)	51% to 90%
4 (Near Certainty)	More than 90%

Score	Impact Level on Strategic Objectives
1	Minor impact/delay/difficulty
2	Small impact/delay/difficulty
3	Considerable impact/delay/difficulty
4	Extreme impact/delay/Difficulty

Each risk score for likelihood and impact is plotted onto a risk matrix to produce its score. A green score indicates risks which the organisation is most prepared to accept and red denote those which are less likely to be accepted.

LIKELIHOOD	4	4	8	12	16
	3	3	6	9	12
	2	2	4	6	8
	1	1	2	3	4
		1	2	3	4
		IMPACT			

Impact Scores

Current Score Summary

Current Alert Level	Risk Names
0 risks	-
12 risks	22-CR-01 Financial Control 22-CR-02 Business Continuity 22-CR-03 Health and Safety 22-CR-04 People 22-CR-05 Data Protection 22-CR-06 Information Technology 22-CR-07 Governance 22-CR-08 Service Delivery 22-CR-09 Local Plan 22-CR-10 Fraud 22-CR-11 Climate Emergency 22-CR-13 Contracts & Partnership Management
1 risk	22-CR-12 Investments

22-CR-01 FINANCIAL CONTROL					Responsible Cabinet Member: Cllr Hargreaves	
If the council does not implement and sustain a robust 5 year financial strategy, including effective mitigation of the impacts of the Covid-19 pandemic, then reserves may be inadequate to meet unforeseen circumstances leaving the council with undue financial pressures	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	Adrian Webb	2	4	8	<ul style="list-style-type: none">• Monthly budget monitoring – Revenue and Capital (including HRA)• Quarterly budget monitoring to Members• Covid spend reporting to the MHCLG	
		Current Likelihood	Current Impact	Current Score	Further Action	
		2	4	8	<ul style="list-style-type: none">• Revised MTFS and action plan for identified financial shortfalls	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
		1	4	4	Jody Etherington	31.03.2023
<u>Last Update (January 2022)</u>						
A balanced budget for 2022/23 is currently being prepared. At the same time a new MTFS is being prepared which complies with the latest guidance from CIPFA and Government Minimum Revenue Provision and Borrowing requirements.						

22-CR-02 BUSINESS CONTINUITY					Responsible Cabinet Member: Cllr Freeman	
If the council does not have sufficient and robust corporate resilience and Business Continuity management then a major disruptive event such as the Covid-19 pandemic could impact staff, property, or systems and networks leading to a reduction in service delivery, damage to organisational reputation or significant financial loss	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	Peter Holt	2	3	6	<ul style="list-style-type: none">Existing Business Continuity PlansCovid-19 emergency response structure	
		Current Likelihood	Current Impact	Current Score	Further Action	
		2	4	8	<ul style="list-style-type: none">Update corporate and service BCPs annually and schedule regular exercising.Continuous learning from emergency response to pandemic (and future incidents) will strengthen business continuity arrangements.Develop and approve Crisis Communications Plan (for both external and internal communications).	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
		1	3	3	Simone Russell	31.03.2023
Last Update (January 2022) <ul style="list-style-type: none">CMT approved Corporate Business Continuity Plan.Service Business Continuity Plans have been reviewed/prepared by service managers for approval.Testing of existing Business Continuity Plans was undertaken throughout the pandemic – including a recent CMT exercise run by our shared EPO with ECC.						

22-CR-03 HEALTH AND SAFETY

Responsible Cabinet Member: Cllr Lees

<p>If the council does not manage the Health and Safety and welfare of its general public, visitors and staff then it will not be meeting its statutory organisational responsibilities leading to a loss of reputation as a responsible employer, potential involvement in legal action or loss of life or serious injury. The Covid-19 pandemic has placed additional responsibilities on the council both as an employer and as a custodian of the district's welfare</p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	Peter Holt	1	4	4	<ul style="list-style-type: none"> • Regular H&S Audits/Training/Risk Assessments • Up-to-date Policies and Procedures • New procedures for staff welfare due to Covid-19 pandemic 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		1	4	4	<ul style="list-style-type: none"> • Ongoing maintenance of systems, procedures and reporting • Further monitoring of staff welfare • Local level track and trace responsibilities • Uttlesford 2027 initiative 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
		1	4	4	Simone Russell	31.03.2023

Last Update (January 2022)

- Staff procedures to address Covid-19 pandemic and working practices have been kept under review as circumstances have developed.
- Council providing advice to businesses and individuals across district to ensure Covid-secure procedures are in place for the public, with the implementation of the government's road map for the scaling back of restrictions safely providing fresh impetus.
- Representation on key groups, from Essex wide to town-specific, in order to support the welfare of district residents has continued.
- The council has facilitated a PCR testing station by making available its site in London Road Saffron Walden
- As part of Uttlesford 2027 project, all relevant HR policies and procedures will be updated to reflect any changes to working arrangements.

22-CR-04 PEOPLE					Responsible Cabinet Member: Cllr Lees	
If there is insufficient flexibility in the council's working policies and practices and among its workforce, then this may hinder the effectiveness of recovery and transformation projects, leading to an impact on future service delivery	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	Peter Holt	2	3	6	<ul style="list-style-type: none"> Uttlesford 2027 currently being developed. 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		2	3	6	<ul style="list-style-type: none"> Workforce Strategy ("People Plan") to be developed as per LGA peer review recommendation in order to identify organisational needs for the coming years and put in place actions to address those needs. These recommendations will need further refinement due to impact of pandemic on the way the council operates. 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
		1	3	3	Angela Knight	31.03.2023
<u>Last Update (January 2022)</u> Uttlesford 2027 is designed to look at workforce engagement alongside customer requirements and taking account of the reducing finances over the next five years. New HR policies will be designed to reflect the new ways of working with hybrid (part home part office) being the most likely form of employment. This form of flexible working will allow employees to split their time between attending the workplace and working remotely. It involves equipping staff to facilitate this, providing safe working spaces with a range of suitable meeting and training facilities.						

22-CR-05 DATA PROTECTION					Responsible Cabinet Member: Cllr Freeman	
<p>If the council does not adopt and implement Data Protection controls then there may be a loss of data, inadequate data handling, unlawful sharing of data or security breaches leading to loss of public and partner confidence, reputational damage, breach of legislation and financial loss due to fines</p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	Peter Holt	2	4	8	<ul style="list-style-type: none"> E-learning module for all staff Use, storage and sharing protocols Building and IT security Enhanced data validation processes due to additional document processing requirements during the pandemic. Appointment of DPO 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		2	4	8	<ul style="list-style-type: none"> Learning, reflection and sharing of good practice arising from implementation of GDPR, in particular advice from the ICO; monitoring of subject access requests; monitoring of new procedures introduced to the organisation especially given COVID-19 pandemic; establishment of Information Governance Group; regular reports to the Corporate Management Team. 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
		1	4	4	Norman Coombe	31.03.2023
<p>Last Update (January 2022)</p> <p>Work continues in general to promote awareness and deal with any data protection issues arising.</p>						

22-CR-06 INFORMATION TECHNOLOGY					Responsible Cabinet Member: Cllr Freeman	
If the council does not ensure resilient and robust IT security is in place (particularly the monitoring of applications for remote access due to COVID restrictions) then the organisation may be exposed to network vulnerabilities such as cyber-attacks and system failures leading to reputational damage, liability issues, loss of service provision and reputation	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	Adrian Webb	3	4	12	<ul style="list-style-type: none">• The majority of ICT systems are held off site in data centres• Windows operating system security patches are updated• Members of CERT-UK WARP (Warning, Advice and Reporting Point) part of the Centre for protection of National Infrastructure. It provides us with privileged access to cyber threats.• All existing controls functioning despite remote working required by the pandemic.• Attendance at regular national security briefings, as relevant.	
		Current Likelihood	Current Impact	Current Score	Further Action	
		2	4	8	<ul style="list-style-type: none">• Further investment in system security, cyber security and training given the COVID pandemic; all incorporating the system diversification/modification resulting from the COVID-19 pandemic.• Robust recovery plan, taking into account additional requirements given the pandemic.• Continued investment in cyber security and training.	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
		2	4	8	Nicola Wittman	31.03.2023

Last Update (January 2022)

ICT is a key workstream of the Uttlesford 2027 project. Having several bases will aid resilience and recovery in the event of any cyber-attack. Each new site is being evaluated and setup with robust ICT security and monitoring in place to minimise the risk of compromise in the event of an attack. Ongoing monitoring of existing sites is being undertaken. Command structure in place to enable prompt action should a serious risk, such as Log4j, arise.

GAP Update 15.03.23

22-CR-08 SERVICE DELIVERY

Responsible Cabinet Member: Cllr Freeman

<p>If the council does not identify and implement a robust COVID recovery plan to support achievement of its key priorities, corporate plan, service plans and objectives, then opportunities to improve the wellbeing of the community and safeguard the character of the district will be missed leading to dissatisfied residents and stakeholders, reputational damage and potential government intervention</p> <p><i>(Risk to be reviewed/removed)</i></p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	Peter Holt	1	4	4	<ul style="list-style-type: none"> • Identification and implementation of the COVID Recovery Plan • Adopted corporate plan, delivery plan and service plans • Budget and MTFS to support delivery • Regular performance monitoring and reporting to CMT, Cabinet and GAP. Additional COVID-19 performance indicators introduced to monitor effect of pandemic on service delivery 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		1	4	4	<ul style="list-style-type: none"> • Produce corporate governance framework • Ensure service plans are reviewed and updated on a quarterly basis, reflecting current operational requirements • Ensuring compliance with government mandated alterations/additions to service delivery during the pandemic • Continue review and adaption of COVID recovery plan 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
		1	4	4	Peter Holt	31.03.2023

Progress Update (January 2022)

The Corporate Plan 2022 – 2027 will be presented to Council in February 2022 and a new corporate plan delivery plan for 22/23 will go to Cabinet in March 2022; this continues to include a programme of work on economic recovery. Environmental Services are preparing to move to their new operation site at Little Canfield Business Park and plans are advanced to ensure the service continues to be delivered with as little disruption to the services as possible.

22-CR-09 LOCAL PLAN**Responsible Cabinet Member: Cllr Evans**

<p>If the council does not have an approved local plan then it could impact on finances, planning resources and application decisions, leading to a loss of reputation; speculative and unsustainable development; potential intervention by the MHCLG; the inability to bid for government funding and the inability to recruit and retain high calibre staff</p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	Peter Holt	2	4	8	<ul style="list-style-type: none"> • Local Plan Project Board • Corporate Overview Board • Local Plan Leadership Group • Cabinet • Effective Risk and Project Management • Quarterly reports to MHCLG • Representation to Government on proposed changes to housing methodology and also 'Planning for the Future' White Paper 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		2	4	8	<ul style="list-style-type: none"> • Effective community engagement through all key stages • Maintain comprehensive and live Local Plan Risk Register • Regular monitoring of Local Plan Project Management by Scrutiny Committee • Complete and up to date Evidence Base 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
		1	4	4	Dean Hermitage	30.10.2023

Last Update (January 2022)

A new interim Director of Planning in post and recruitment commencing in January 2022 for a permanent Director of Planning to lead this work. Some minor reprofiling of the Local Plan timetable has taken place, with additional elements added, such as a Supplementary Planning Document on sustainability. The authority has recently won an RTP1 award for its work on the Community Forum consultation work on the Local Plan, reinforcing the quality of this initiative.

22-CR-10 FRAUD					Responsible Cabinet Member: Cllr Freeman	
If the council does not prevent, detect and respond effectively to incidents of fraud and corruption particularly those COVID-related this could result in financial loss, detrimental impact on services, risks to residents’ health and wellbeing and ultimately reputational loss. <i>(Risk to be reviewed)</i>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	Peter Holt	3	2	6	<ul style="list-style-type: none">• Ongoing work of the Counter Fraud & Corruption Working Group to raise aware across the authority• Corporate Policies in place, e.g. Corporate Counter-Fraud & Corruption Strategy• Participation in National Fraud Initiative	
		Current Likelihood	Current Impact	Current Score	Further Action	
		3	2	6	<ul style="list-style-type: none">• Review and Implementation of Management Action Plan, following Fraud Risk Assessment 2019• Inclusion of COVID related fraud actions• NFI 2020/21 Main Exercise• Revision of the Whistleblowing Policy• Counter Fraud Awareness Publicity Campaign• COVID fraud awareness campaign	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
		2	2	4	Norman Coombe	31.03.2023

Last Update (January 2022)

Work continues within the Revenues Department in assessing and paying applications for business grants, and ensuring fraud checks are carried out wherever necessary. The ever increasing number of and frequency of recovery grants raises the risk of fraud. There has been a significant amount of applications to assess, for the different strands of funding available (for example – Local Restrictions Support Grants & Restart Grants). The Management Action Plan following the Fraud Risk Assessment 2019 also continues to be reviewed, and relevant actions identified.

22-CR-11 CLIMATE EMERGENCY

Responsible Cabinet Member: Cllr Pepper

<p>If the council does not respond effectively and proportionately to the climate emergency, then relevant strategies and plans contributing towards a more sustainable environment may not be developed/implemented, which could result in environmental benefits not being achieved for the council or the district, not capitalising on available resource efficiencies, a lack of organisational resilience and a loss of reputation.</p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	Peter Holt	2	3	6	<ul style="list-style-type: none"> • Dedicated Climate Change Officer now in post • Dedicated resource allocated within budgets • Climate Change Strategy & detailed action plan being developed to address current issues • Climate Change Officer working closely with Local Plan team to inform climate-related development policies 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		2	3	6	<ul style="list-style-type: none"> • Performance Indicators to be identified and monitored, to effectively report upon progress against the Climate Change Strategy/Action Plan to address current issues. • The Local Plan is being drafted with an understanding of, and need for action on, the Climate Emergency at its core. • Review of HR policies where relevant to harness all environmental benefits through new ways of working. • Improving UDC's carbon literacy. 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
		1	2	2	Ben Brown	31.03.2023

Last Update (January 2022)

A detailed Climate Crisis Action Plan has recently been agreed by Cabinet. The Climate Emergency also forms a key part of the Uttlesford 2027 project.

22-CR-12 Borrowing & Investments					Responsible Cabinet Member: Cllr Reeve	
<p>If CIPFA and the government implement changes to the legislation and guidance around borrowing and investments*, either individually or collectively, it would lead to a significant adverse impact on both the Council's revenue budget and the investment portfolio.</p> <p>*namely changes to the Prudential Code that would stop future commercial activity and an update to the rules on Minimum Revenue Provision (MRP) and the allocation of a debt cap</p> <p><i>(Risk score to be reviewed)</i></p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	Adrian Webb	4	4	16	<ul style="list-style-type: none"> • UDC responding to CIPFA consultation • Discussions held with DLUHC (formerly MHCLG) • Raising awareness of risk to Members & Staff 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		4	4	16	<ul style="list-style-type: none"> • Continued monitoring and reporting of consultation outcomes to Members & Staff • Continued review and monitoring of risk at a corporate level • Identification of budget efficiencies to mitigate financial impact 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
		4	3	12	Jody Etherington	31.03.2023
<p>Last Update (January 2022)</p> <p>CIPFA and the Government implemented the changes as expected which has a significant negative material impact on the Council's finances. A new MTFS is being prepared and the Uttlesford 2027 project will seek to set out how the financial shortfalls will be addressed.</p>						

22-CR-13 Contracts and Partnership Management					Responsible Cabinet Member: Cllr Lees	
If the council does not have a clear and robust framework to manage contracts and other partnership arrangements*, particularly in relation to health and safety requirements, then this could lead to ineffective management of critical services, resulting in material risk to life. *this risk has been added to reflect current concerns around the Uttlesford Norse Contract	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	Peter Holt	3	4	12	<ul style="list-style-type: none">Current contracts and service level agreements	
		Current Likelihood	Current Impact	Current Score	Further Action	
		2	4	8	<ul style="list-style-type: none">Review current contracts and service level agreements for partnerships – prioritising health and safety issues, and making expectations on standards quality and levels, and on reporting crystal clear	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
		1	4	4	Angela Knight Nicola Wittman	31.03.2023
Last Update (January 2022) <ul style="list-style-type: none">Appointing new officer to join Board of Uttlesford Norse Services LimitedDirect follow up with UNSL, including convening additional meetings to effectively follow up issues						

Committee:	Governance, Audit and Performance Committee	Date:	Wednesday, 15 March 2023
Title:	Q3 Performance Indicator Data and Analysis		
Report Author:	Abigail Ward, Business Information and Performance Analyst award@uttlesford.gov.uk		

Summary

1. This report presents the Quarter 3 2022/23 outturn and data analysis for all Key Performance Indicators (KPIs) and Performance Indicators (PIs) monitored and reported across the authority.
2. Overall, the report identifies a drop in performance levels when analysing short (Q3 22/23 vs Q2 22/23) term trends but long (Q3 22/23 vs Q3 21/22) term trends show improvement. Although the majority of indicators have attained a green status it is evident that performance of some indicators is declining in both the short and long term.

Further work will be undertaken with all relevant service managers with regards to the drop in performance levels across the full indicator suite, particularly where short term trends are worsening.
3. The Performance Team actively work with the Corporate Management Team to identify how and why indicator performance has been impacted. Where necessary performance improvement plans are identified and progressed with relevant service managers.

Recommendations

4. None

Financial Implications

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

Background Papers

6. 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

7.




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

8. Appendix A presents the data for Quarter 3 2022/23 (1st October 2022 to 31st December 2022) for each individual Key Performance Indicator (KPI) and Performance Indicator (PI) collected and reported by the authority during this quarter.
9. Data for the majority of PIs is collected and reported on a quarterly basis; no data is available for PIs monitored on an annual basis during this time period. All outturn data is highlighted and shown in bold.
10. Performance is monitored against all targets agreed by the Corporate Management Team and members of the Governance, Audit and Performance Committee as part of the authority's formal performance monitoring process.
11. For comparison purposes, the report contains data for Quarter 3 2022/23 and the previous four quarters. Presenting these consecutive quarters of data enables both short and long term comparisons to be made, as represented in the trend arrows included for each PI.
12. All data and performance notes have been reviewed by the Corporate Management Team and members of the Informal Cabinet Briefing group.
13. When reviewing performance for Quarter 3 2022/23, it can be noted that the majority of indicators are meeting target and are at a 'green' status:

Status	Quarter 3 2022/23	
	19	58%
	9	27%
	5	15%
Total	33	100%

14. When analysing indicator achievement in Quarter 3 2022/23 in comparison to Quarter 2 2022/23, for the 33 comparable indicators it can be seen that performance in the short-term has declined with 5 indicators moving from a 'green' status into an 'amber' status, whilst performance has remained constant for those with a 'red' status.

Status	Quarter 2 2022/23		Quarter 3 2022/23	
	24	73%	19	58%
	4	12%	9	27%
	5	15%	5	15%
Total	33	100%	33	100%

Key Performance Indicator (KPI) Specific Performance Summary

15. There are five KPIs that have not met their target for Quarter 3 but are within the 10% threshold and have an 'amber' status:

KPI 14	Percentage of household waste sent for reuse, recycling and composting (LAA) (max)
KPI 01	Percentage of invoices paid within 30 days of receipt by UDC (max)
KPI 20	Average days lost per FTE through sickness absence (min)
KPI 03	Percentage of Non-domestic Rates Collected (max)
KPI 05	Percentage of Council Tax collected (max)

There is one KPI that has exceeded the 10% performance threshold for Quarter 3 and has a 'red' status:

KPI 08(a)	Average re-let time in days (all re-lets including time spent in works) (min)
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KPI 08(a) has exceeded the 10% performance threshold for the last 4 quarters and performance has not improved. Comparing short term performance (2022/23 Q2 vs Q3) shows performance has stayed the same but is worse than Q1 2022/23 and Q4 2021/22.

There is one KPI which has increased from a 'red' to a 'green' status from 2022/23 Q2 to Q3:

KPI 06(b)	Time taken to process Housing Benefit/Council Tax Benefit change events (days) (min)
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There are two KPI's which have decreased from a 'green' to an 'amber' status from 2022/23 Q2 to Q3:

KPI 01	Percentage of invoices paid within 30 days of receipt by UDC (max)
KPI 03	Percentage of Non-domestic Rates Collected (max)

16. Human Resources PIs

Data for the HR KPI's (KPI 20, 21 & 22) has previously been calculated through a time consuming manual process. The project to develop the HR system (i-Trent) to generate reports to obtain the relevant data is now complete. Therefore data for KPI 20, 21 & 22 is now available and has been included retrospectively for quarters 1 and 2 as well as for 3.

17. The Committee should note that the reporting of performance for

- **PI 46** Quality of Decisions: Percentage of Appeals Upheld for Major Planning Applications as a Proportion of Appeals Raised
and
- **PI 47** Quality of Decisions: Percentage of Appeals Upheld for Non-Major Planning Applications as a Proportion of Appeals Raised

is being reviewed regularly at Planning Committee. As the way these indicators are monitored varies considerably to that of a 'standard' indicator, with differing time periods needing to be considered, a snapshot of the latest performance levels has been included as an additional appendices to this report (see Appendix B). The criteria for reporting these PIs is determined by Central Government and therefore cannot be adapted in any way at a local level.

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 3 2022/23 KPI & PI Data






Appendix B: PI 46 & 47 snapshot data as @ 08.02.2023

Directorate: CHIEF EXECUTIVE















Communities									
PI Code & Short Name		Q3 2021/22	Q4 2021/22	Q1 2022/23	Q2 2022/23	Q3 2022/23	Short Term Trend	Long Term Trend	Performance Note
<div>DC07</div> <div>The level of achievement attained under the Equality Framework for Local Government (max)</div>	Outturn	Developing (1)	Achieving (2)	Achieving (2)	Achieving (2)	Achieving (2)	<div></div>	<div>↑</div>	Q3 2022/23 UDC EFLG self-assessment is ‘Achieving’ <ul style="list-style-type: none">The continuation of work with commissioned external EDI expert to assist the lead EDI Officer in the development of a series of awareness raising events for internal and external participation.The delivery of further awareness raising sessions in 2022/2023 with conversations around LGBTQ+ with local secondary schools and Pregnancy with the Children & Family Wellbeing Service in progress, engaging with specialised agencies, and inviting members of the community to share lived experiences.The action plan continues to be reviewed as a living document and shared with Equalities Cabinet lead, along with regular reports for Cabinet on EDI activity and the outcomes from the Community Listening awareness sessions.Regular promotion on the UDC social media platforms of key commemorative datesDevelop inhouse/online training for EQHIA completion – 3 workshop sessions arranged for members of CMT/SMT to attend before the end of March 2023Develop staff networks with the support of senior management, including the introduction of menopause mentors with the opportunity to achieve recognised online certified attainment – A number of officers have completed their Menopause Accreditation, with a further 12 working through their Learning Journal for submission.Develop a Corporate Equality Standards Working Group with support of senior management and members – championed by Assistant Director.Annual Equality Duty Return published on the UDC website January 2023.
	Status	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>			
	Target	Achieving (2)	Achieving (2)	Excellent (3)	Excellent (3)	Excellent (3)			

Democratic & Electoral Services									
PI Code & Short Name		Q3 2021/22	Q4 2021/22	Q1 2022/23	Q2 2022/23	Q3 2022/23	Short Term Trend	Long Term Trend	Performance Note
PI 21 Percentage of minutes from meetings made available to the public within 10 working days (max)	Outturn	78%	93%	97%	95%	88%			<p><u>Q3 2022/23</u> Numerator: 23 Denominator: 26</p> <p>Draft minutes delayed by lead officers being unavailable to clear them prior to publishing and work pressures associated with additional meetings.</p>
	Status								
	Target	95%	95%	95%	95%	95%			








Environmental Health (Commercial)

PI Code & Short Name		Q3 2021/22	Q4 2021/22	Q1 2022/23	Q2 2022/23	Q3 2022/23	Short Term Trend	Long Term Trend	Performance Note
PI 41 Percentage of routine food hygiene premises inspections completed within the quarter (max)	Outturn	Data not recorded	Data not recorded	60%	100%	94%			<p><u>Q3 2022/23</u></p> <p>Numerator: 46 Denominator: 49</p> <p>UDC Officers supported by x2 Agency officers (x1 FTE) have achieved 94% inspections of those premises generating a routine food hygiene visit during this period. The missed inspections are attributable to access issues, including seasonal trading restrictions and will be inspected in Q4.</p> <p>The COVID lock down premises inspections backlog for all A- D rated premises has been reduced to zero. During Q3 the outstanding E rated premises (lowest risk) continue to reduce. It should be noted there are currently 50 E rated premises inspections due (outstanding and those newly generated in Q3) but only 11 remain overdue by more than 6 months.</p> <p>Addressing the back log is hampered slightly by a number of premises registered as trading pre pandemic, no longer trading, which is making contact difficult. Such business churn is a normal expectation as E rated premises have an inspection frequency of 5 years. The category includes a significant number of home caterers/ cake making businesses, which generally only sustain short term, but the churn is potentially magnified by short term diversification seen during the lockdowns.</p> <p>The majority of E rated inspections are not captured formally as PI's as they are subjected to alternative strategy interventions however the intent is to continue to report progress on addressing the back log as they remain part of the UDC recovery plan and food standards agency's national recovery plan.</p> <p>This figure of 50 outstanding is expected to fall again by the end of the quarter with the inspection programme being fully normalised by q1/q2 2023/24.</p> <p>The service will continue to ensure adequacy of resource and has successfully recruited to the vacant post of Senior Environmental Officer in December, a role that has been vacant since 2019. We have successfully used Government grant award to support the service, engaging food competent officers via Agency contract due to recruitment difficulties. It should be noted that this funding will be exhausted by 31 March 2023 and the impact of any reduced resourcing will be closely monitored.</p>
	Status	N/A	N/A						
	Target	98%	98%	90%	91%	92%			






















Housing Strategy & Operations

PI Code & Short Name		Q3 2021/22	Q4 2021/22	Q1 2022/23	Q2 2022/23	Q3 2022/23	Short Term Trend	Long Term Trend	Performance Note
KPI 08 (a) Average re-let time in days (all re-lets including time spent in works) (min)	Outturn	46	49	56	61	61			<u>Q3 2022/23</u> Numerator: 6,546 (days void) Denominator: 108 (lets) 50 days were spent in works and the rest of the time was with the lettings process. 5 voids had to be reoffered or readvertised, 2 voids were offered to tenants who were away and in hospital and therefore unable to sign up immediately which lengthened the lettings process to 11 days.
	Status								
	Target	42	42	42	42	42			
P016 KPI 08 (b) Number of households living in temporary accommodation (min)	Outturn	19	34	25	26	23			<u>Q3 2022/23</u> Count: 23. Snapshot: 31 December 2022. Bed and Breakfast: 6 Uttlesford District Council: 16 Private sector: 1 The use of B&B has significantly reduced. Whilst we are still above the overall target, this is very positive. It is also positive that we have managed to access self-contained private sector temporary accommodation for one of our families. We continue to explore this option to keep families out of B&Bs. There is a need for more suitable temporary and settled accommodation options, this is something that cannot be denied, whilst we do continue to work toward preventing homelessness, this is an issue that is unavoidable as we support people in our communities.
	Status								
	Target	18	18	18	18	18			

Legal Services








PI Code & Short Name		Q3 2021/22	Q4 2021/22	Q1 2022/23	Q2 2022/23	Q3 2022/23	Short Term Trend	Long Term Trend	Performance Note
PI 06 Percentage of standard searches carried out in 10 working days (max)	Outturn	99.74%	100%	100%	99.8%	100%			<u>Q3 2022/23</u> Numerator: 303 Denominator: 303 Average turnaround 3 working days, maximum was 6 working days.
	Status								
	Target	100%	100%	100%	100%	100%			

Environmental Services



PI Code & Short Name		Q3 2021/22	Q4 2021/22	Q1 2022/23	Q2 2022/23	Q3 2022/23	Short Term Trend	Long Term Trend	Performance Note
KPI 14 Percentage of household waste sent for reuse, recycling and composting (LAA) (max)#	Outturn	50.00%	50.00%	52.48%	49.43%	49.49%			<u>Q3 2022/23</u> Numerator: 3,625.12 (recycling and composted) Denominator: 7,325.58 (total domestic waste arising) Q3 outturn is currently an estimate – confirmation will be given asap
	Status								
	Target	52.00%	52.00%	52.00%	52.00%	52.00%			
KPI 15 (b) Percentage of collections of waste and recyclables successfully made on first visit (max)	Outturn	99.99%	99.99%	99.99%	99.98%	99.98%			<u>Q3 2022/23</u> Numerator: 942,468 (no. of successful collections) Denominator: 942,624 (total no. of scheduled collections) 156 bins (general & recyclable waste) were reported as missed from 1st October to 31st December
	Status								
	Target	99.97%	99.97%	99.97%	99.97%	99.97%			
PI 48 Attainment of 'Green' for Operator Compliance Risk Score (Yes or No)	Outturn	YES	YES	YES	YES	YES			<u>Q3 2022/23</u> Processes for monitoring maintenance records and driver records are in place to ensure compliance with operator license undertakings.
	Status								
	Target	YES	YES	YES	YES	YES			

Directorate: CORPORATE SERVICES








Benefits									
PI Code & Short Name		Q3 2021/22	Q4 2021/22	Q1 2022/23	Q2 2022/23	Q3 2022/23	Short Term Trend	Long Term Trend	Performance Note
KPI 04 Accuracy of processing - HB/CTB claims (max)	Outturn	98.69%	99.41%	99.40%	99.23%	99.35%	↑	↑	<u>Q3 2022/23</u> Numerator: 154 Denominator: 155 122 New claims and 33 Change of circumstances checked in quarter 3 of 2022/23, and 1 financial error has been identified, giving an accuracy rate of 99.35%. 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.
	Status	✓	✓	✓	✓	✓			
	Target	98.00%	98.00%	98.00%	98.00%	98.00%			
KPI 06 (a) Time taken to process Housing Benefit/Council Tax Benefit new claims (days) (min)	Outturn	14.5	12.8	16.6	17.7	17.3	↑	↓	<u>Q3 2022/23</u> Numerator: 4,240 Denominator: 245 62 new claims to Housing Benefit (HB) were processed taking a total of 1,268 days. 183 new claims to Local Council Tax Support (LCTS) were processed taking 2,972 days. This is a combined total of 245 new claims taking 4,240 days; an average of 17.31 days.
	Status	✓	✓	✓	✓	✓			
	Target	19.0	19.0	19.0	19.0	19.0			
KPI 06 (b) Time taken to process Housing Benefit/Council Tax Benefit change events (days) (min)	Outturn	6.4	5.1	12.2	8.8	5.3	↑	↑	<u>Q3 2022/23</u> Numerator: 21,512 Denominator: 4,034 1,151 changes in circumstance to Housing Benefit (HB) were processed taking a total of 3,781 days. 2,883 changes in circumstance to Local Council Tax Support (LCTS) were processed taking 17,731 days. This is a combined total of 4,034 changes taking 21,512 days; an average of 5.33 days.
	Status	✓	✓	✗	✗	✓			
	Target	7.0	7.0	7.0	7.0	7.0			

Customer Services									
PI Code & Short Name		Q3 2021/22	Q4 2021/22	Q1 2022/23	Q2 2022/23	Q3 2022/23	Short Term Trend	Long Term Trend	Performance Note
PI 44 Percentage of customer enquiries resolved at first point of contact by CSC Advisors: enquiries are all calls through main 510510 IVR menu and emails to connect, garden waste and waste aware inboxes (max)	Outturn	82%	82%	87%	86%	83%			<u>Q3 2022/23</u> Numerator: 19,498 (total enquiries dealt with at FPC) Denominator: 23,619 (total enquiries handled) The Customer Service Centre continues to achieve this challenging target, helped by ongoing training and development of the team and ensuring they have relevant and up to date information to enable enquiries to be dealt with at first point of contact (ie without needing to pass the call to another council department). Customer Service Advisors continue to receive face-to-face training, helping them action enquiries efficiently and where further individual training and development requirements are identified, these are put in place. This quarter has seen a particularly high number of calls for Housing Options (2,129 calls) due to general housing availability issues and also an increase in enquiries from Ukranian refugees. These specialist enquiries means the CSC was only able to deal with 74 percent of such calls at first point of contact. The highest volume calls in the quarter were for Council Tax (3,948 calls, with 93 percent dealt with in the CSC). Environmental Services (bin collections and grounds maintenance) also generated a high volume (2,443 calls, with 95 percent answered in the CSC). Reception footfall has remained consistent over the last quarter for face-to-face enquiries and is still well down on pre-pandemic levels.
	Status								
	Target	82%	82%	83%	83%	83%			








Finance									
PI Code & Short Name		Q3 2021/22	Q4 2021/22	Q1 2022/23	Q2 2022/23	Q3 2022/23	Short Term Trend	Long Term Trend	Performance Note
KPI 01 Percentage of invoices paid within 30 days of receipt by UDC (max)	Outturn	100.00%	100.00%	97.30%	99.65%	96.16%	↓	↓	<u>Q3 2022/23</u> Numerator: 1,527 Denominator: 1,588 96.16% of invoices paid within 30 days of receipt. 61 of the invoices needed further intervention after being loaded onto the system these invoices related to various service areas and suppliers. Further training and support will be offered to try and improve procedures in the coming months.
	Status	✓	✓	⚠	✓	⚠			
	Target	98.00%	98.00%	98.00%	98.00%	98.00%			
PI 60 Number of Insurance Claims made for the period (min) *	Outturn	13	8	15	11	9	↑	↑	<u>Q3 2022/23</u> In Q3 - 4 motor claims, 3 Property claims and 2 Public Liability claims.
	Status	✗	✓	✗	✗	✗			
	Target	9	9	8	8	8			
PI 63 Number of Insurance Claims closed for the period (max) *	Outturn	N/A	N/A	9	10	9	↓	N/A	<u>Q3 2022/23</u> 2 were resettled from 2018, 1 settled from 2020 and 6 from 2022.
	Status			✓	✓	✓			
	Target			2	2	2			
PI 64 Percentage of Insurance Claims settled against the number of Insurance Claims made (max)	Outturn	N/A	N/A	85%	85%	84%	↓	N/A	<u>Q3 2022/23</u> Numerator: 208 (closed claims) Denominator: 248 (total claims) Performance has dropped slightly, this could be attributed to the time taken to close a claim is dependent upon the processing speed of external suppliers.
	Status			✓	✓	✓			
	Target			80%	80%	80%			






















Human Resources									
PI Code & Short Name		Q3 2021/22	Q4 2021/22	Q1 2022/23	Q2 2022/23	Q3 2022/23	Short Term Trend	Long Term Trend	Performance Note
KPI 20 Average days lost per FTE through sickness absence (min)	Outturn	9.94	9.49	10.48	9.88	10.12	↓	↑	<u>Q3 2022/23</u> Numerator: Denominator: There has been an increase this quarter, where we have had a number of staff having planned surgery and an increase in short term absences due to minor ailments such as flu/upset stomachs.
	Status								
	Target	8.90	8.30	9.30	9.30	9.50			
KPI 21 Average number of days lost per FTE through short-term sickness absence (min)	Outturn	5.30	1.51	1.70	1.11	1.46	↓	↑	<u>Q3 2022/23</u> Numerator: Denominator: We have a slight increase in short term sicknesses mainly down to minor ailments flus/upset stomachs.
	Status								
	Target	0.95	0.95	4.60	4.50	5.00			
KPI 22 Average number of days lost per FTE through long-term sickness absence (min)	Outturn	4.63	0.27	0.77	1.46	1.77	↓	↑	<u>Q3 2022/23</u> Numerator: Denominator: We are seeing a slight increase in sickness absences due to planned operations we have also seen an increase in mental health related absences. Which are predominantly due to personal circumstances rather than work related. However, we are looking at how we can support staff with this. Our LTS absence still remains low in comparison to other councils.
	Status								
	Target	1.05	1.05	4.80	4.50	4.50			

ICT

PI Code & Short Name		Q3 2021/22	Q4 2021/22	Q1 2022/23	Q2 2022/23	Q3 2022/23	Short Term Trend	Long Term Trend	Performance Note
PI 20 Percentage of IT help desk calls resolved within target (max)	Outturn	96.70%	96.50%	96.30%	97.10%	95.98%			Q3 2022/23 The SLA has dipped below target as one of our application team members has been off for this quarter due to an operation.
	Status								
	Target	96.00%	96.00%	96.00%	96.00%	96.00%			

Museum

PI Code & Short Name		Q3 2021/22	Q4 2021/22	Q1 2022/23	Q2 2022/23	Q3 2022/23	Short Term Trend	Long Term Trend	Performance Note
PI 49 Users of the Museum Service (max)#	Outturn	2,102	3,156	2,284	3,169	3,678			Q3 2022/23 The high user figures (67% above the notional target) have been fuelled largely by outreach work, including schools loan boxes and around 800 people who engaged with the display of Tudor items provided for the Tudor weekend in Great Hallingbury Church; these account for around 2,000 users between them. Visitor figures were actually slightly under the same Q3 in 2021, but the museum was effectively closed for one week in December by the snow and ice.
	Status								
	Target	2,000	2,000	2,700	2,700	2,200			

Revenues									
PI Code & Short Name		Q3 2021/22	Q4 2021/22	Q1 2022/23	Q2 2022/23	Q3 2022/23	Short Term Trend	Long Term Trend	Performance Note
KPI 03 Percentage of Non-domestic Rates Collected (max) *	Outturn	78.96%	96.62%	32.38%	59.27%	84.11%			<u>Q3 2022/23</u> Numerator: £39,058,289.30 Denominator: £46,439,343.16 Business Rates collection has remained stable over the year due to the additional relief schemes set up by Government to support businesses. All reliefs have now been awarded and these have masked the economic downturn and cost of living crisis businesses are facing, the current reduced collection rate is now showing a slower rate of collection. In previous years due to the way income collection is profiled, the final quarter may 'catch up', but expectation is that collection rate may be lower than in previous years.
	Status								
	Target	86.20%	95.00%	29.60%	58.40%	86.20%			
KPI 05 Percentage of Council Tax collected (max) *	Outturn	84.75%	98.70%	29.76%	57.33%	84.51%			<u>Q3 2022/23</u> Numerator: £64,571,129.90 Denominator: £76,407,841.86 Collection rates continue to be below target for quarter 3 due to the current impact of the cost of living crisis. Revenues officers are working closely with residents who are struggling financially, offering advice including alternative payment plans, ensuring they are claiming for any financial assistance they are eligible for and signposting to external organisations for further debt management support.
	Status								
	Target	86.20%	98.00%	29.60%	58.40%	86.20%			
KPI 16 Rent collected as percentage of rent owed (including arrears b/f) (max) *	Outturn	97.26%	97.67%	92.76%	95.56%	96.56%			<u>Q3 2022/23</u> Numerator: £4,089,052.60 Denominator: £4,583,418.87 (89.21%) Cumulative: Numerator: £12,352,361.77 Denominator: £12,792,980.78 (96.56%) The collection has exceeded the target due, although it is lower than the same quarter last year. Officers are focussing on supporting tenants with a high level of rent arrears as a priority. The current cost of living crisis is continuing to impact on tenants and the team are monitoring arrears to offer support to tenants as early as possible.
	Status								
	Target	95.00%	97.00%	89.00%	94.00%	95.00%			

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PI Code & Short Name		Q3 2021/22	Q4 2021/22	Q1 2022/23	Q2 2022/23	Q3 2022/23	Short Term Trend	Long Term Trend	Performance Note
KPI 17 Local Council Tax Support Collection Rate (max) *	Outturn	65.69%	82.43%	24.16%	50.04%	69.61%	↑	↑	Q3 2022/23 Numerator: £603,133.25 (Net Receipts) Denominator: £866,407.47 (Total Net Liability) The collection rate for LCTS has been achieved, it is likely that the additional financial assistance provided by Uttlesford District Council to residents is receipt of discounted council tax has supported this. In addition Essex County Council have provided support to Pensioners via the Household Support Grant.
	Status	⚠	⚠	⚠	✓	✓			
	Target	69.00%	89.00%	25.00%	50.00%	69.00%			
PI 03 Percentage of sundry debt income overdue (debts over 90 days old not subject to a payment agreement) (min)	Outturn	3.3%	4.7%	11.3%	3.2%	5.4%	↓	↓	Q3 2022/23 Numerator: £13,700.83 (Debt over 90 Days old) Denominator: £256,220.96 (Total Outstanding Debt) There is currently one larger debt of £6,900 that has impacted on achieving the target for quarter 3, this is account is in dispute and officers are working with the debt owner to resolve the issue by the end of the financial year.
	Status	✓	⛔	⛔	✓	⛔			
	Target	4.0%	4.0%	4.0%	4.0%	4.0%			
PI 51 Current rent arrears as a percentage of the annual rent debit (excluding HB adjustment) (min)*	Outturn	2.75%	2.48%	2.64%	2.86%	3.01%	↓	↓	Q3 2022/23 Numerator: £35,812.90 Denominator: £4,122,535.80 (0.87%) YTD: Numerator: £495,977.98 Denominator: £16,489,996.13 Cumulative = 3.01% This PI is currently below target this is despite a continued focus on rent collection within the Housing Income team. The main reason is the impact of the current cost of living rises which are impacting the collection rate and tenants ability to pay.
	Status	✓	✓	✓	✓	⚠			
	Target	3.00%	3.00%	2.90%	2.90%	2.90%			














Directorate: PLANNING**Planning: Support & Advice**

PI Code & Short Name		Q3 2021/22	Q4 2021/22	Q1 2022/23	Q2 2022/23	Q3 2022/23	Short Term Trend	Long Term Trend	Performance Note
PI 32 Percentage of Major Planning Applications validated within 5 working days (max)	Outturn	99.58%	99.50%	99.00%	99.37%	100%			<u>Q3 2022/23</u> Numerator: 734 Denominator: 734 Cumulative: Numerator: 2,345 Denominator: 2,358 = 99.45% Despite periods of system issues - loss of/slowness of both the database and the document management system, the team continued to perform highly.
	Status								
	Target	95.00%	95.00%	95.00%	95.00%	95.00%			

Planning: Development Management

PI Code & Short Name		Q3 2021/22	Q4 2021/22	Q1 2022/23	Q2 2022/23	Q3 2022/23	Short Term Trend	Long Term Trend	Performance Note
PI 46 Quality of Decisions: Percentage of Appeals Upheld for Major Planning Applications as a Proportion of Major Application Decisions Made (min) #	Outturn	60.00%	100.00%	8.82%	8.96%	11.76%			<u>Q3 2022/23</u> <i>Data for this indicator is monitored by the Planning Committee on a regular basis. A snapshot of the latest performance levels is included in member's performance reports.</i> To note - this covers the period of decisions issued between 01/04/2020 to 31/03/2022 with appeal decisions to 31/12/2022. The current figure for the period of decisions issued between 01/04/2021 to 31/03/2023 with appeal decisions to 31/12/2023 is 6% with some appeal decisions outstanding. Still receiving appeal decisions from historic cases. Little control over appeal cases in system. Better decision making on current major application should avoid another spike in allowed appeals. Linked to major Application Improvement Plan.
	Status								
	Target	10.00%	10.00%	9.00%	9.00%	9.00%			

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PI Code & Short Name		Q3 2021/22	Q4 2021/22	Q1 2022/23	Q2 2022/23	Q3 2022/23	Short Term Trend	Long Term Trend	Performance Note
PI 47 Quality of Decisions: Percentage of Appeals Upheld for Non-Major Planning Applications as a Proportion of Non-Major Application Decisions Made (min) #	Outturn	36.00%	55.55%	2.19%	2.16%	2.27%	↓	↑	<u>Q3 2022/23</u> Data for this indicator is monitored by the Planning Committee on a regular basis. A snapshot of the latest performance levels is included in member's performance reports. To note that this is for the period of decisions issued between 01/04/2022 to 31/03/2022 with appeal decisions through to 31/12/2022. Currently that for the period of decisions issued between 01/04/2021 to 31/03/2023 with appeal decisions through to 31/12/2023 the figure stands at 1.2%. Achieving target, no concerns over non-major decision making. Although need to continue to review appeal decisions. Excellent performance on non-major appeals, with only 2.27% of appeals lost.
	Status								
	Target	10.00%	10.00%	2.50%	2.50%	2.50%			
PI 70 Processing of Planning Applications: Major Applications (within 15 weeks [16 weeks with EIA] or including any agreed extension of time) (max)	Outturn	87.50%	87.50%	83.33%	80.30%	83.00%	↑	↓	<u>Q3 2022/23</u> To note that this period covers speed of major decisions from 01/10/2020 to 30/09/2022. For the period 01/10/2021 to 30/09/2023 the figure currently is 84%. Target being achieved however, need to manage extension of time (EOT) process prior to Planning Committee as EOT refusals create a negative impact on targets.
	Status								
	Target	60.00%	60.00%	80.00%	80.00%	80.00%			
PI 71 Processing of Planning Applications: Non-Major (8 weeks or including any extension time) (max)	Outturn	N/A	N/A	85.49%	85.06%	85.00%	↓	N/A	<u>Q3 2022/23</u> To note that this period covers speed of non-major decisions from 01/10/2020 to 30/09/2022. For the period 01/10/2021 to 30/09/2023 the figure currently is 84%. Target being achieved.
	Status								
	Target			80.00%	80.00%	80.00%			

Quality of Planning Decisions Data- Extracted on 08.02.2023.**Criteria For Designation – Speed and Quality****Speed of planning decisions**

Measure and type of Application	Threshold and assessment period. October 2018 - September 2020	Threshold and assessment period. October 2019 to September 2021	Threshold and assessment period. October 2020 to September 2022	Threshold and assessment period. October 2021 to September 2023	Live Table
Speed of major Development	60% (70.27%)	60% (76.27%)	60% (80.30%)	60% (84.21%**)	District - P151a
Speed of non-major Development	70% (74.43%)	70% (82.75%)	70% (85.06%)	70% (85.07%**)	P153

*UDC performance in green % greater than the threshold is good - ** data incomplete*

Quality – Appeals

Measure and type of Application	Threshold and assessment period. April 2018 - March 2020 (appeal decisions to end December 2020)	Threshold and assessment period. April 2019 to March 2021 (appeal decisions to end December 2021)	Threshold and assessment period. April 2020 to March 2022 (appeal decisions to end December 2022)	Threshold and assessment period. April 2021 to March 2023 (appeal decisions to end December 2023)	Live Table
Quality of major Development	10% (16.5%*)	10% (17.57%)	10% (11.76%)	10% (8%*)	District - P152a
Quality of non-major Development	10% (2.44%)	10% (2.91%)	10% (2.31%)	10% (1.18%*)	P154

*UDC performance in green is good and red means that we exceeded the maximum %. *To note there are decisions and appeal decisions outstanding and this data may change.*