



## Scrutiny Committee – 24 September 2012

### Quarterly Performance Reporting – Q1 2012/13

---

#### **Purpose of report**

This report provides Members with high level information about performance across the council in relation to agreed performance indicators, progress with internal audit recommendations and risk actions, and other statistics that support the monitoring of performance. Areas of achievement are also identified.

#### **Attachment(s)**

Appendix A: Quarter 1 Performance Highlights report – April 2012 to June 2012

---

#### **1.0 Background**

- 1.1 To monitor and report on performance, the Council manages performance through quarterly performance clinics for each service area.
- 1.2 The purpose of the performance clinics is to assess how service areas are progressing towards delivering key priorities and outcomes, identify problem areas and actions where required, provide peer challenge and identify and record good performance. The result is a high level report for Members focussing on the key areas of interest.

#### **2.0 Performance Clinics**

- 2.1 The Performance Clinic report for each service area includes information on all performance indicators, overdue audit recommendations, overdue risk actions, budget variance data and workforce statistics.
- 2.2 The Quarter 1 performance clinics for 2012/13 took place in August 2012. Clinics were attended by the Head of Service, Executive Director, Chief Executive, Policy and Performance Manager and Performance Officer.
- 2.3 The Performance Officer and the Policy and Performance Manager discussed and challenged each section of the detailed performance report and agreed which items should be reported to the Corporate Management Team (CMT) and Members appointed by the Scrutiny Committee to oversee performance data (Cllr S. Peacock for Performance and Cllr C. Wright for Audit & Risk). This report was then discussed at the CMT and Member performance highlights meeting.
- 2.4 The overall performance report has also been prepared for the Scrutiny Committee and is attached at Appendix A. The report contains:
  - Performance indicators that are over-performing, under-performing, or within target tolerance
  - Recession Watch measures
  - Service area achievements
  - Audit recommendations that have not been implemented on time
  - Risk actions not completed on time
  - Service area budget variance
  - Workforce statistics

Explanations are provided against performance indicators, audit recommendations and risk actions. Heads of Service may be requested to attend to provide further information if Members consider it necessary.

### 3.0 Equality and Diversity Implications

3.1 This is an information report for discussion. There are no equality and diversity implications arising.

### 4.0 Legal Implications

4.1 This is an information report for discussion. There are no legal implications arising from the proposals.

### 5.0 Risk Management

5.1 There are no significant risks arising from the information provided in this report.

### 6.0 Financial Implications

6.1 This is an information report for discussion. There are no financial implications arising unless Members identify areas of significant underperformance that require additional resources to improve performance. Any proposed action would be subject to a further report and recommendation through the Policy & Resources Committee.

### 7.0 Corporate Outcomes

7.1 The information provided in this report demonstrates how the council is performing in relation to its Corporate Outcomes of:

- Clean
- Healthy
- Prosperous
- Sustainable
- Good Value for Money
- High Quality Service Delivery
- Strong Community Leadership
- Effective Management

### 8.0 Recommendation

8.1 The Committee is recommended to

- (1) Consider and discuss performance reported for Quarter 1 2012/13

<b>Legal</b>	Power:				
	Other considerations:				
<b>Background Papers:</b>					
<b>Person Originating Report:</b> Sacha Acland - Performance Officer					
<b>Date:</b> 07/09/12					
<b>CFO</b>		<b>MO</b>		<b>CX</b>	

(Committee Report Normal Rev. 22)



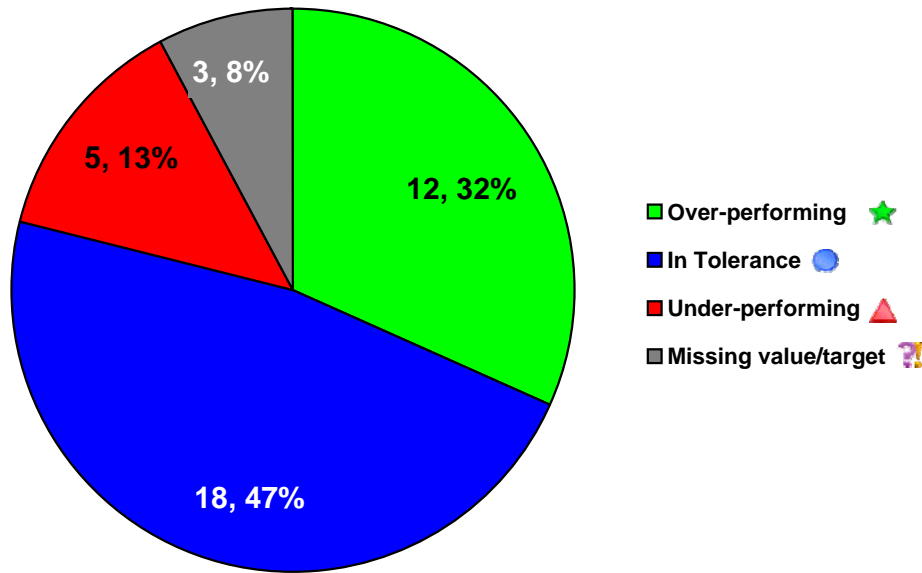
## Quarter 1 Scrutiny Committee Performance Highlights Report April 2012 to June 2012

Contents	Page Number
<b>1. Quarter 1 Performance</b>	
	2
1.1 Over-performing measures	3
1.2 Under-performing measures	4
1.3 Measures within tolerance	6
1.4 Under-performing measures	7
1.5 Homelessness benchmarking	
<b>2. Recession Watch Measures - Benefit claims, JSA claimants and NEETs</b>	8
<b>3. Areas of Achievement</b>	11
<b>4. Overdue Audit Recommendations</b>	12
<b>5. Overdue Risk Actions</b>	17
<b>6. Finance - Service Area Budget Variance</b>	22
<b>7. Workforce Statistics</b>	
	23
7.1 Staff Sickness graph	24
7.2 Staff Turnover graph	25
7.3 Sickness and Turnover trends	26
7.4 Workforce Demographics	

If you have any questions about this report please contact Sacha Acland (Performance Officer) on 01832 742203  
or email [sacland@east-northamptonshire.gov.uk](mailto:sacland@east-northamptonshire.gov.uk)

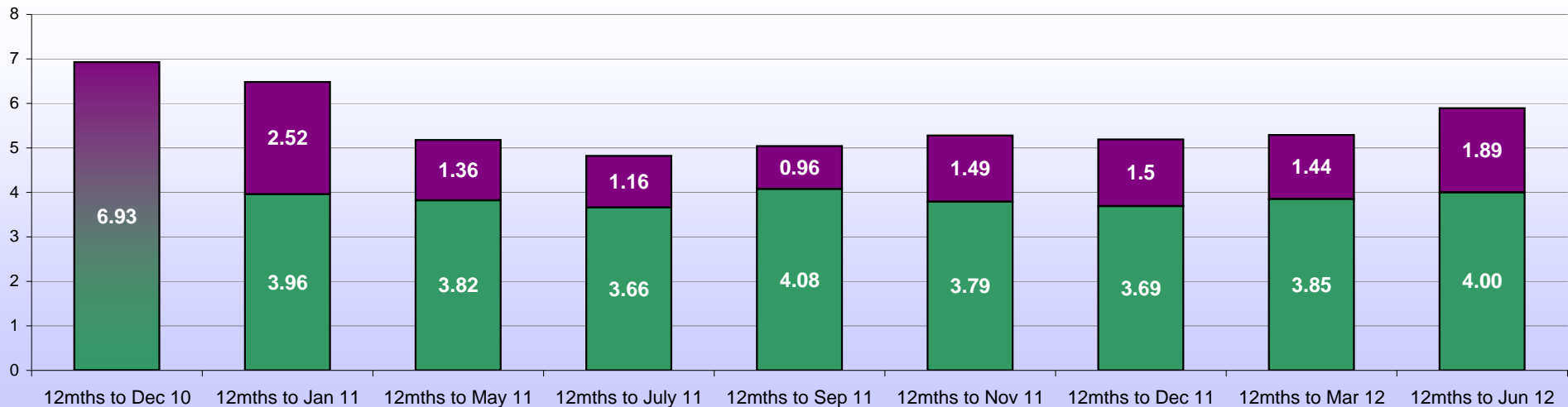
# 1.1 Quarter 1 Performance Summary

There were 38 performance measures recorded in Quarter 1 and 79% were over-performing or within tolerance.



Quarter 1 - April 2012 to June 2012			
	ENC Overall	Target	Performance
Local supplier invoices paid within 10 days	93%	90%	
7 out of 100 local supplier invoices were paid later than 10 days. This performance has remained above 90% since Quarter 1 in 2010/11.			
All invoices paid within 30 days	99.04%	99%	
4 out of 418 invoices were paid later than 30 days. This performance is on target at 99% and performance has maintained at this level for over 2 years.			
CIPFA Family group 2011/12 (Average of 7 authorities)		95.6%	

ENC Overall Sickness trends - Days lost per FTE (12 month rolling totals)



## 1.2 Over-performing measures

### Customer and Community Services

Outcome and Measure	Data Series	March 2012	June 2012 - Quarter 1	Sept 2012	Dec 2012	March 2013
<i>Good Value for Money</i>  ENREV20a % of payment transactions processed by direct debit (Council tax and NNDR)	Actual	67.69%	<b>87.32%</b>			
	Target	80%	<b>78%</b>	78%	79%	82%
	Performance	▲	★	—	—	—
	Actual (YTD)	80.97%	<b>87.32%</b>			
	Target (YTD)	80%	<b>78%</b>	78%	79%	82%
	Performance (YTD)	●	★	—	—	—
	Comment (June 2012)	Good uptake due to annual billing and continuing promotion. - Escalated to show exceptional performance in Quarter 1				

### Resources and Organisational Development

Outcome and Measure	Data Series	March 2012	June 2012 - Quarter 1	Sept 2012	Dec 2012	March 2013
<i>Prosperous</i>  ENROD01 Amount of ext funding received by community groups in the district after receiving advice	Actual	£1,002,479	<b>£125,451</b>			
	Target	£25,000	<b>£50,000</b>	£50,000	£50,000	£50,000
	Performance	★	★	—	—	—
	Actual (YTD)	£1,392,106	<b>£125,451</b>			
	Target (YTD)	£100,000	<b>£50,000</b>	£100,000	£150,000	£200,000
	Performance (YTD)	★	★	—	—	—
	Comment (June 2012)	Results for successful community bids which have been received during this quarter are as follows: Oundle Carnival, revenue funding £ 1,500 - Waterloo Drummers, funding for equipment £ 2,000 - Oundle Transition Town, start up costs £ 2,000 - Thrapston Cricket Club, practice facility £ 2,000 - Wadenhoe Village hall, funding for kitchen £ 33,478 - Brigstock Village Hall, solar panels £ 15,000 - Oundle Museum, oral history project £ 9,600 - Oundle Music Festival, revenue funding £ 2,000 - Fermynwoods country park, outdoor classroom £ 13,751 - Brighter Beginnings parents' group £ 7,000 - Denford Community Group, jubilee celebrations £ 9,800 - Raunds Music Festival, running costs & consultation £ 822 - Frontier Centre, climbing wall installation £ 5,000 - Woodford Parish Council, play area fencing £ 6,000 - Islip Village Hall, refurbish toilets £ 10,000 - Oundle Transition Town Group, funding for Oundle Bike Week £6,300 - Escalated to show consistently good performance				
<i>Good Value for Money</i>  ENPCD32/50 Amount of external funding received by ENC	Actual	£0	<b>£185,000</b>			
	Target	£125,000	<b>£125,000</b>	£125,000	£125,000	£125,000
	Performance	▲	★	—	—	—
	Actual (YTD)	£173,132	<b>£185,000</b>			
	Target (YTD)	£500,000	<b>£125,000</b>	£250,000	£375,000	£500,000
	Performance (YTD)	▲	★	—	—	—
	Comment (June 2012)	This represents one bid to Sustrans to extend the Greenway to Link Higham Ferrers and Irthlingborough. - Escalated to show good performance				

### 1.3 Measures within tolerance

#### Corporate measures

Outcome and Measure	Data Series	March 2012	June 2012 - Quarter 1	Sept 2012	Dec 2012	March 2013
<u>High quality service delivery</u> <b>ENCS07U % Customers fairly satisfied or better with customer service</b>	Actual	85.67%	83.4%			
	Target	85%	85%	85%	85%	85%
	Performance					
	Actual (YTD)	77.57%	83.4%			
	Target (YTD)	85%	85%	85%	85%	85%
	Performance (YTD)					
	Comment (June 2012)	Good result - this improvement partially due to the increase in customer feedback further to the Gov Metric upgrade. <b>- Escalated to show improved performance compared to 70.45% for Quarter 1 last year</b>				
<u>Effective Management</u> <b>BV012a Average number of working days lost per employee (rolling 12 months)</b>	Actual	5.29 days	5.89 days			
	Target	6.5 days	5.5 days	5.5 days	5.5 days	5.5 days
	Performance					
	Actual (YTD)	5.29 days	5.89 days			
	Target (YTD)	6.5 days	5.5 days	5.5 days	5.5 days	5.5 days
	Performance (YTD)					
	Comment (June 2012)	1045 days lost to sickness absence for 12 months to 30 June 2012. Days lost to short term sickness = 709 days (68%). Days lost to long term sickness = 336 days (32%). 11 employees were long term sick during this period. <b>- Escalated to show slight increase in sickness levels</b>				
Benchmarking	CIPFA Family group 2011-12 (Average of 7 authorities)			LG Inform Averages 2010/11		
	7.19 Days			District Authorities	All England Authorities	
				8.4 Days		8.8 Days
<u>Effective Management</u> <b>ENICT34 % of Freedom of Information (FOI) requests responded to within 20 working days</b>	Actual	94.97%	96.72%			
	Target	100%	100%	100%	100%	100%
	Performance					
	Actual (YTD)	93.20%	96.72%			
	Target (YTD)	100%	100%	100%	100%	100%
	Performance (YTD)					
	Comment (June 2012)	Of the 183 requests this quarter, 6 were not responded to within the 20 working days. The number of FOI requests we receive is increasing. In Quarter 1 of 2010/11 - 72 FOI requests were received and in Quarter 1 of 2011/12 - 105 FOI requests were received. <b>- Escalated to show improved performance compared to last year</b>				

## Environmental Services

Outcome and Measure	Data Series	March 2012	June 2012 - Quarter 1	Sept 2012	Dec 2012	March 2013
<i>Sustainable</i>  ENENV193 % of household waste sent to landfill		44.8%	46.24%			
	Target	60.3%	47.6%	47.6%	47.6%	47.6%
	Performance	★	●	—	—	—
	Actual (YTD)	51.29%	46.24%			
	Target (YTD)	60.3%	47.6%	47.6%	47.6%	47.6%
	Performance (YTD)	★	●	—	—	—
	Comment (June 2012)	<p>The tonnage and proportion of household waste sent to landfill has fallen sharply since the new collection scheme started in August 2011.</p> <p>In Q1 2012 approx 2,900 tonnes of waste were sent to landfill. For comparison, in the same period last year approx 4,900 tonnes were sent to landfill. The proportion sent to landfill has fallen to about 46% compared to 67% in the same period in 2011.</p> <p>The proportion sent to landfill is slightly lower than it may otherwise have been this period as Sita (the operator of Sidegate Lane landfill) sent 60-70 tonnes of our sweeping tonnages to be composted rather than landfilled. This reduced the proportion of waste landfilled by over 1%.</p> <p><b>- Escalated to show amount sent to landfill is over 20% less than Quarter 1 last year</b></p>				

## Planning Services

Outcome and Measure	Data Series	March 2012	June 2012 - Quarter 1	Sept 2012	Dec 2012	March 2013
<i>Healthy</i>  NI156 (M) Number of households living in Temporary Accommodation	Actual	10	14			
	Target	15	15	15	15	15
	Performance	★	●	—	—	—
	Actual (YTD)	10	14			
	Target (YTD)	15	15	15	15	15
	Performance (YTD)	★	●	—	—	—
	Comment (June 2012)	<p>3 of the 14 families recorded have been offered permanent accommodation and are waiting for the properties to be ready to move in. Temporary accommodation consists of self contained 1 and 2 bedroom flats in Shoemaker court or a 2 bedroom house. Families may have to be placed in Bed and Breakfast accommodation but this is only in an emergency and for a few days only.</p> <p><b>- Escalated to show slight increase but still within tolerance</b></p>				
Benchmarking	CIPFA Family Group 2011-12 (Average of 6 Authorities)			Number of households in temporary accommodation per 1000 households (lower number = better)		
				ENC (Q1 12-13)	LG Inform (All Districts Average)	LG Inform (All England Average)
			10.5 Households	0.37	0.7 (Q4 11-12)	1.8 (Q4 11-12)

## 1.4 Under-performing measures

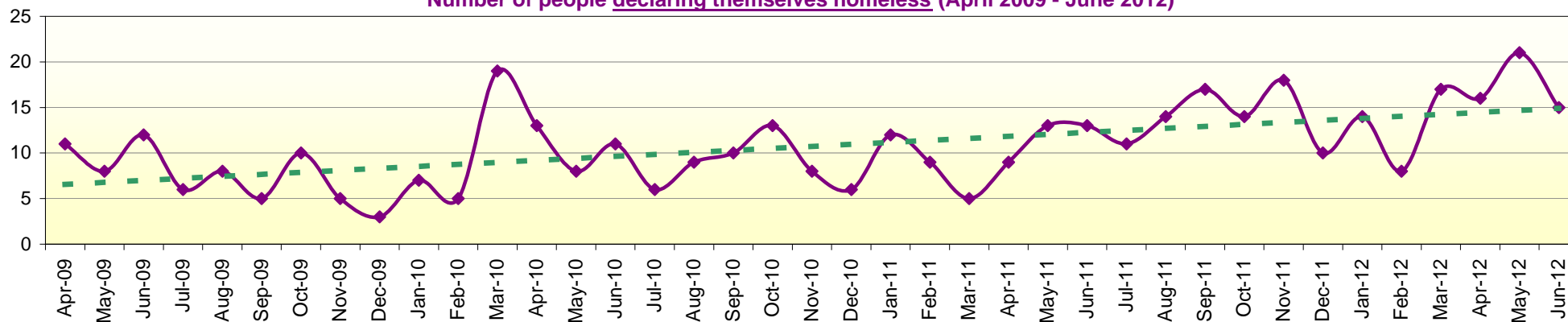
Corporate measures						
Outcome and Measure	Data Series	March 2012	June 2012 - Quarter 1	Sept 2012	Dec 2012	March 2013
<u>Effective Management</u>  ENCP02 (A) % of policy decisions made that have not included an Equality Impact Assessment (EIA) that needed one	Actual	60.27%	37.5%			
	Target	0%	0%	0%	0%	0%
	Performance	▲	▲			
	Actual (YTD)	60.27%	37.5%			
	Target (YTD)	0%	0%	0%	0%	0%
	Performance (YTD)	▲	▲			
	Comment (June 2012)	Based on review of decisions made at P&R, Personnel Sub-Committee and Council during the first quarter of 2012/13. Eight decisions were assessed as needing an EIA but only 5 were presented with the papers to the relevant Committee. This figure is an improvement on the result for 2011/12 but there is more to be done to ensure that equality issues are considered early enough in the process so that officers understand the circumstances when EIAs may be needed. <b>- Escalated to show improvement from last quarter. It is anticipated this will continue to improve.</b>				

Customer and Community Services						
Outcome and Measure	Data Series	March 2012	June 2012 - Quarter 1	Sept 2012	Dec 2012	March 2013
<u>High quality service delivery</u>  NI181 Time taken to process Housing Benefit/Council Tax Benefit new claims and change events (days)	Actual	10.02 days	11.37 days			
	Target	12 days	10 days	10 days	10 days	10 days
	Performance	★	▲	—	—	—
	Actual (YTD)	10.02 days	11.37 days			
	Target (YTD)	12 days	10 days	10 days	10 days	10 days
	Performance (YTD)	★	▲	—	—	—
	Comment (June 2012)	Performance has fluctuated over the first quarter and can be attributed to several factors which have impacted on the section: Backlog carried forward from year end - backlog plan put into place; Computer downtime recorded; ATLAS duplicated work (link from DWP advising benefit changes on daily basis); Work area changes within the office; Higher number of new claims and changes of circumstances received during the period; June saw work starting on RSL data sharing in readiness for bedroom restrictions (this is extra work to be carried out). There is currently a delay with the DWP processing new claims for Income Support, Job Seekers Allowance and Employment and Support Allowance which is having a negative impact on our processing times. The situation relating to all these issues is monitored on a weekly basis. <b>- Escalated to show decrease in performance from last quarter but target also reduced for 2012/13</b>				
Benchmarking	CIPFA Family group 2011-12 (Average of 7 authorities)	SPARSE Family group average (2010-11)	SPARSE Average of 201 District Authorities (2010-11)	SPARSE Average of 89 Rural Authorities (2010-11)	LG INFORM All District Authority average (Q3 11-12)	LG INFORM All England Authority average (Q3 11-12)
		10.09 days	9.29 Days	10.05 Days	9.58 Days	11 Days
						13 Days



Planning Services						
Outcome and Measure	Data Series	March 2012	June 2012 - Quarter 1	Sept 2012	Dec 2012	March 2013
<i>Healthy</i> <b>ENPL01 (M) The number of people declaring themselves homeless</b>	Actual	39	52			
	Target	31	34	35	35	36
	Performance	▲	▲	■	■	■
	Actual (YTD)	158	52			
	Target (YTD)	125	34	69	104	140
	Performance (YTD)	▲	▲	■	■	■
	Comment (June 2012)	Quarter 1 includes a dramatic increase in Homelessness applications for the month of May (see graph below). It is believed that this increase is due to the economic problems residents are experiencing. In June homelessness applications reduced to previous levels. - Escalated to show increasing level of people declaring themselves homeless				

Number of people declaring themselves homeless (April 2009 - June 2012)



### 1.5 Homelessness Benchmarking - East Northants Comparison

Number of homeless applications actually accepted as being homeless and in priority need per 1,000 households:

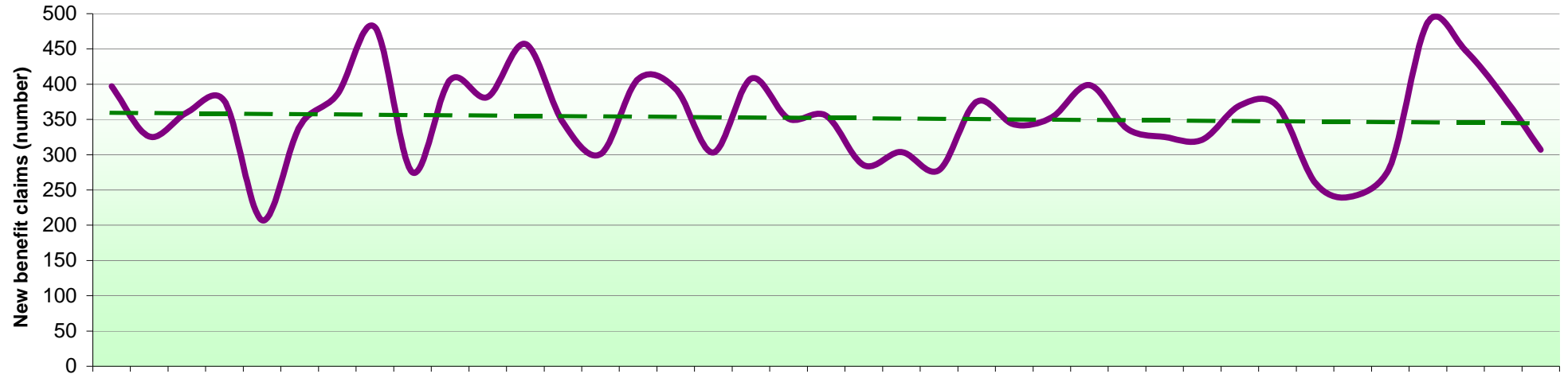
	2010/11*	East Northants Rank	2011/12*	East Northants Rank
East Northants	1.51	2010/11**	1.83	2011/12**
All Districts average	1.42	128 out of 201	1.61	133 out of 201
SPARSE Members average	1.30	62 out of 89	1.50	63 out of 89
Rural-50 Authority group average	1.22	27 out of 38	1.49	27 out of 38
CIPFA Family group average	1.58	9 out of 16	1.51	11 out of 16
Northamptonshire average	2.55	4 out of 7	2.95	4 out of 7

\* Number of homeless applications per 1,000 households, a lower number is better.

\*\* Rank, a higher number is better (as rank 1 = the district with the lowest number of homeless applications per 1,000 households)

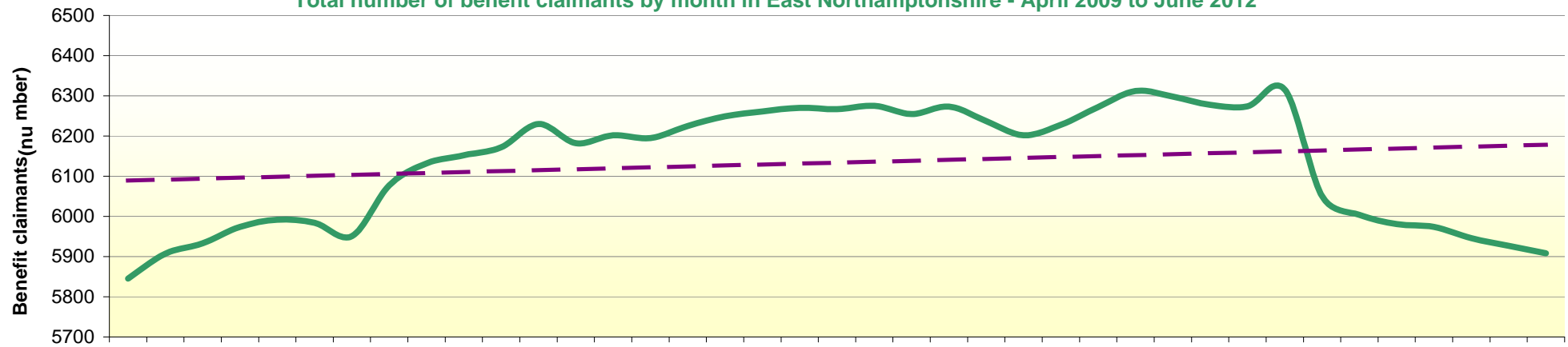
## 2. Recession Watch Measures

New council tax and housing benefit claims processed in East Northamptonshire - April 2009 to June 2012



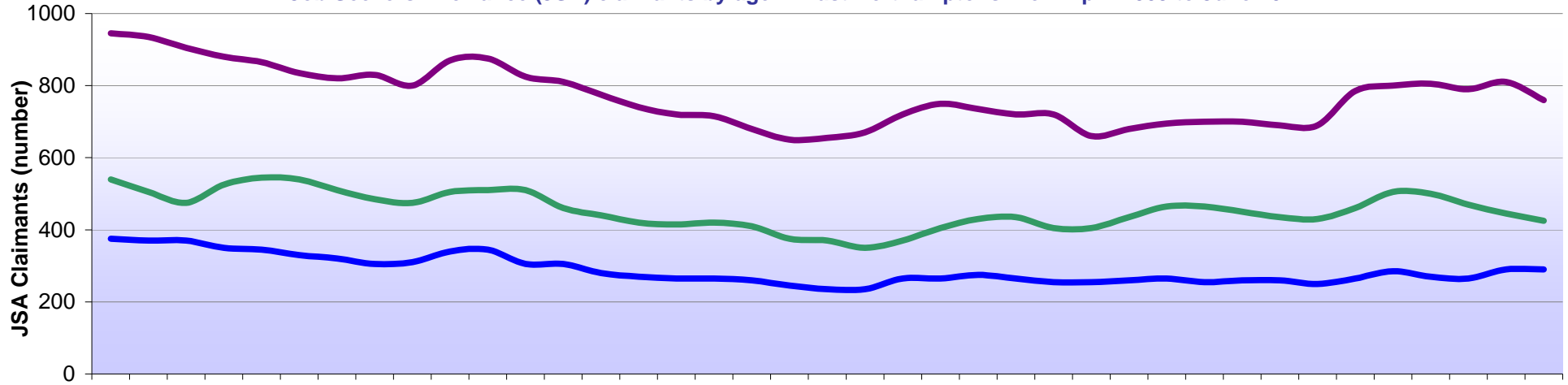
	Apr-09	May-09	Jun-09	Jul-09	Aug-09	Sep-09	Oct-09	Nov-09	Dec-09	Jan-10	Feb-10	Mar-10	Apr-10	May-10	Jun-10	Jul-10	Aug-10	Sep-10	Oct-10	Nov-10	Dec-10	Jan-11	Feb-11	Mar-11	Apr-11	May-11	Jun-11	Jul-11	Aug-11	Sep-11	Oct-11	Nov-11	Dec-11	Jan-12	Feb-12	Mar-12	Apr-12	May-12	Jun-12
Monthly total	397	326	360	376	207	340	386	481	275	406	382	457	346	301	407	393	303	408	351	355	285	304	278	375	343	353	399	337	325	321	370	369	260	241	284	488	448	383	307

Total number of benefit claimants by month in East Northamptonshire - April 2009 to June 2012



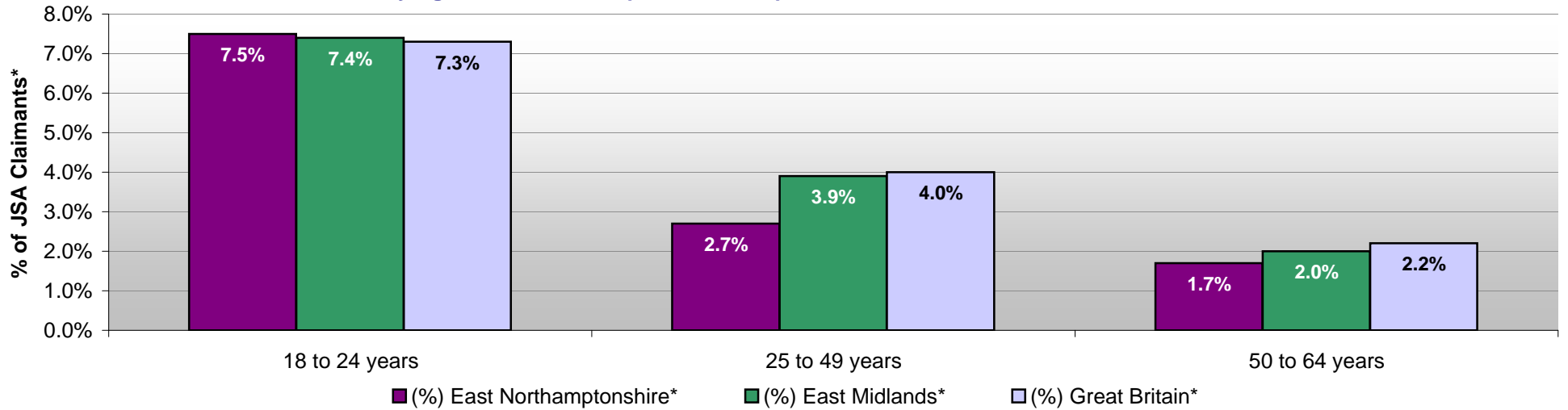
	Apr-09	May-09	Jun-09	Jul-09	Aug-09	Sep-09	Oct-09	Nov-09	Dec-09	Jan-10	Feb-10	Mar-10	Apr-10	May-10	Jun-10	Jul-10	Aug-10	Sep-10	Oct-10	Nov-10	Dec-10	Jan-11	Feb-11	Mar-11	Apr-11	May-11	Jun-11	Jul-11	Aug-11	Sep-11	Oct-11	Nov-11	Dec-11	Jan-12	Feb-12	Mar-12	Apr-12	May-12	Jun-12
No. of Claimants	5845	5907	5933	5974	5992	5984	5951	6077	6132	6152	6172	6230	6182	6202	6195	6225	6249	6261	6270	6267	6275	6255	6273	6237	6202	6228	6272	6312	6298	6278	6274	6315	6051	6004	5981	5974	5946	5927	5908

Job Seekers Allowance (JSA) claimants by age in East Northamptonshire - April 2009 to June 2012



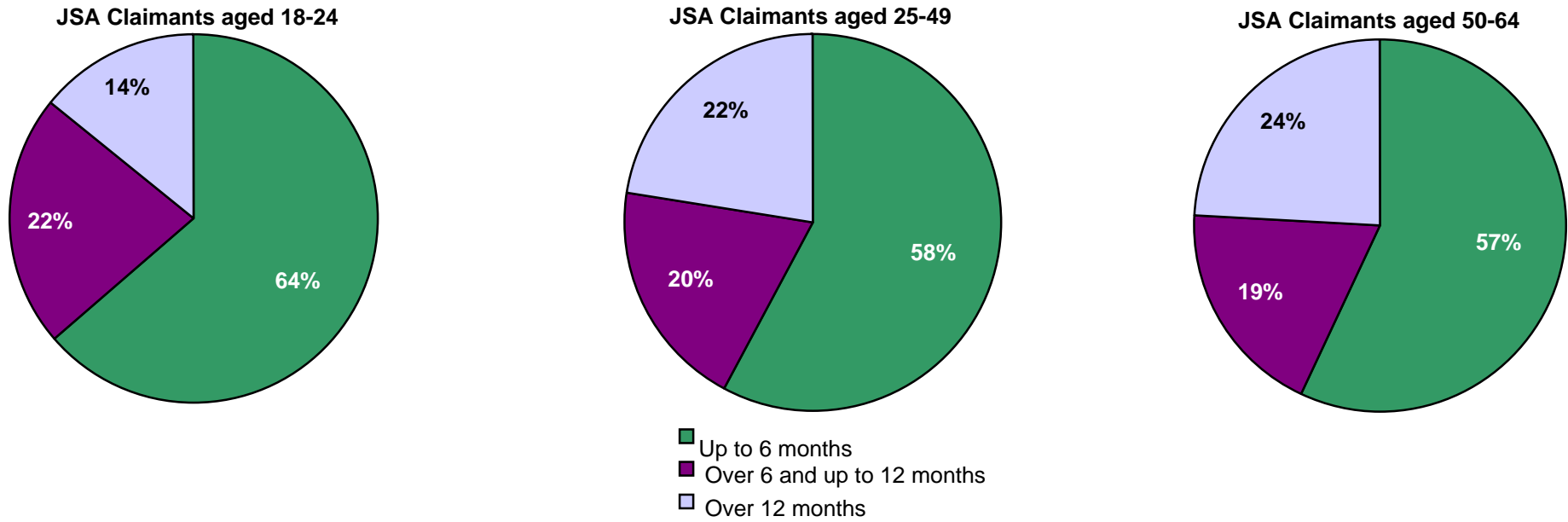
	Apr-09	May-09	Jun-09	Jul-09	Aug-09	Sep-09	Oct-09	Nov-09	Dec-09	Jan-10	Feb-10	Mar-10	Apr-10	May-10	Jun-10	Jul-10	Aug-10	Sep-10	Oct-10	Nov-10	Dec-10	Jan-11	Feb-11	Mar-11	Apr-11	May-11	Jun-11	Jul-11	Aug-11	Sep-11	Oct-11	Nov-11	Dec-11	Jan-12	Feb-12	Mar-12	Apr-12	May-12	Jun-12
18-24 yrs	540	505	475	525	545	540	510	485	475	505	510	510	460	440	420	415	420	410	375	370	350	370	405	430	435	405	405	435	465	465	450	435	430	460	505	500	470	445	425
25-49 yrs	945	935	905	880	865	835	820	830	800	870	875	825	810	775	740	720	715	680	650	655	670	720	750	735	720	720	660	680	695	700	700	690	690	785	800	805	790	810	760
50+ yrs	375	370	370	350	345	330	320	305	310	340	345	305	305	280	270	265	265	260	245	235	235	265	265	275	265	255	255	260	265	255	260	260	250	265	285	270	265	290	290

JSA Claimants\* by Age in East Northamptonshire compared with East Midlands and Great Britain – June 2012

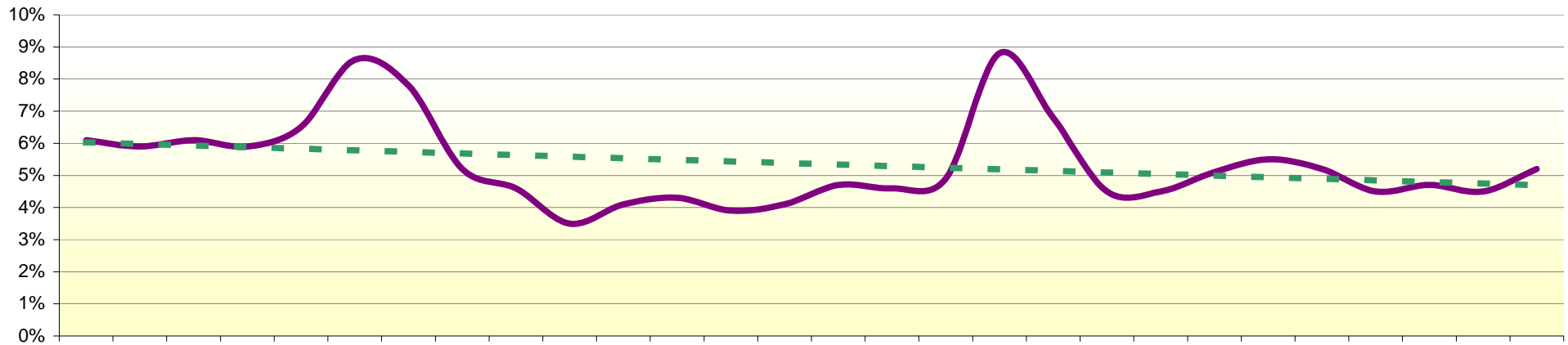


\* % is number of persons claiming JSA as a proportion of resident population of the same age

### Duration of JSA claim by Age in East Northamptonshire – June 2012



### Percentage of NEETs\*\* in East Northamptonshire out of total population of the same age - April 2010 to July 2012



	Apr-10	May-10	Jun-10	Jul-10	Aug-10	Sep-10	Oct-10	Nov-10	Dec-10	Jan-11	Feb-11	Mar-11	Apr-11	May-11	Jun-11	Jul-11	Aug-11	Sep-11	Oct-11	Nov-11	Dec-11	Jan-12	Feb-12	Mar-12	Apr-12	May-12	Jun-12	Jul-12
% of NEETs	6.1%	5.9%	6.1%	5.9%	6.5%	8.6%	7.8%	5.2%	4.6%	3.5%	4.1%	4.3%	3.9%	4.1%	4.7%	4.6%	4.9%	8.8%	6.8%	4.5%	4.5%	5.1%	5.5%	5.2%	4.5%	4.7%	4.5%	5.2%

\*\* NEETs up to March 2012 are 16-18 year olds not in education, employment or training, from April 2012 onwards NEETs are 17-19 year olds

### 3. Areas of Achievement

This section is for Service Areas to report any areas of achievement. This could include any Continuous Service Improvements and efficiency savings or other exceptional performance.

<b>Environmental Services</b>		
<b>Achievement</b>	<b>Date Completed</b>	<b>Staff involved</b>
The waste team organised a Compost Giveaway over the 18th/ 19th May. We spoke with over 400 residents and managed to give away about 16 tonnes of compost. Customer compliments received.	May-12	Waste Team
Lee Orford (Commercial Health Student) organised some cooking on a budget sessions with the local Surestart groups, showing parents how to butcher and get three delicious meals out of a chicken. We received some really positive feedback and Surestart have asked Lee to do some more sessions for them.	Jun-12	Lee Orford
Mandy Dennis (Environmental Protection Officer) carried out on behalf of waste the contaminated land review and surrender of permits for Newton Road (11/12) and Oundle (Q1) recycling sites preventing the need for external consultants to be commissioned to complete the work. Newton Road has been completed and the Environment Agency were satisfied with the surrender documentation, Oundle is now in its final stages with the Environment Agency awaiting final sign off.	Jun-12	Mandy Dennis

<b>Planning Services</b>		
<b>Achievement</b>	<b>Date Completed</b>	<b>Staff involved</b>
Successful production of committee reports and associated presentation to Members of complex issue relating to Thrapston supermarket applications.	Jun-12	Sue Wheatley
All staff who contributed to the successful management of the public for the special Thrapston supermarket DC meeting	Jun-12	Staff from across the organisation who provided stewarding, equipment and other support

<b>Resources and Organisational Development</b>		
<b>Achievement</b>	<b>Date Completed</b>	<b>Staff involved</b>
Heather Batten gained a Certificate in Electoral Administration (Association of Electoral Administrators)	Jun-12	Heather Batten
Additional workload managed within the team in relation to several By-elections and an early Canvass bought forward due to the Police and Crime Commissioners Election in November 2012.	Jun-12	Democratic Services and Elections Team

## 4. Overdue Audit Recommendations

Since April 2007, Over 300 recommendations have been made by internal audit. In June 2012, 36 recommendations remained to be implemented and 13 of those were overdue.

This section lists those recommendations that were overdue for implementation. The original target date is shown in the target date column and any agreed revised date is shown beneath. Progress with implementation or explanation for late implementation is included in the status update. The rating of recommendations is in the context of the full internal audit report and relates to the order of priority of implementation. Internal Audit continue to monitor the implementation all recommendations to ensure they are actioned promptly. Progress on these will be reported at the next quarterly report if they have become overdue for implementation.

Customer and Community Services								
Audit Reference	Audit Report Name	Action Description	Audit Recommendation	Agreed Action	Status Update	Target date	Rating	Status
E007.E/ABIN/20 09.bf.1.06.01.01	Area Based Initiatives	<b>Adoption of the Council's Project Management Framework for ABI closedown</b>	Head of Policy and Community Development adopts the Council's Project Management Framework for closing and reporting on the successes and failures each ABI. These lessons are then compiled and fed into planning and risk management of future ABI projects.	Agreed to be implemented using the Rushden Pemberton ABI as a pilot. December 2009.	<i>August 2012 - project close down completed as per council's project management framework</i>	30/06/2012	Med	

## Financial Services

Audit Reference	Audit Report Name	Action Description	Audit Recommendation	Agreed Action	Status Update	Target date	Rating	Status
E008.E/DEBT20 12.01.01.07.01	E-Debtors	<b>The Finance Manager ensures full service continuity with the departure of the ETL</b>	The Finance Manager ensures full service continuity of both Creditor & Debtor Services with the departure of the Exchequer Team Leader	Should say "group accountant systems"	<i>August 2012 - Now complete. The Exchequer Team Leader left and was replaced by the Exchequer Assistant. Continuity was maintained as the Group Accountant covered the role and customers would not have seen a difference in the service received.</i>	<b>31/03/2012</b>	<b>Low</b>	
E008.E/DEBT20 12.01.04.02.01	E-Debtors	<b>The Group Accountant to ensure only signed or emailed requisitions are accepted and these are date stamped upon receipt.</b>	The Group Accountant (Systems) to ensure only signed or emailed requisitions are accepted and these are date stamped on receipt.		<i>August 2012 - Complete, now following this recommendation</i>	<b>31/03/2012</b>	<b>Low</b>	

## Resources and Organisational Development

Audit Reference	Audit Report Name	Action Description	Audit Recommendation	Agreed Action	Status Update	Target date	Rating	Status
E005.E/PAEB20 12.01.02.05.01	Payroll and Employee Benefits	<b>The HR Manager ensures leavers forms are completed and issued to the Principal Payroll Officer.</b>	The HR Manager ensures leavers forms are completed and issued to the Principal Payroll Officer in sufficient time for the correct processing of final salary payments.		<i>June 2012 - HR Manager has talked to HR team and explained the importance of these forms. HR Manager will spot check leavers files.</i>	<b>31/03/2012</b>	<b>Med</b>	

Audit Reference	Audit Report Name	Action Description	Audit Recommendation	Agreed Action	Status Update	Target date	Rating	Status
E005.E/PAEB20 12.01.03.06.01	Payroll and Employee Benefits	<b>HR Manager to obtain, review and update Mileage and Expenses Policies</b>	The HR Manager review the Mileage and Expenses Policies included within Eunice and update where necessary to ensure all employees are aware of the correct procedures in place.		<i>June 2012 - complete</i>	<b>31/03/2012</b>	<b>Med</b>	
E005.E/PAEB20 12.01.03.06.02	Payroll and Employee Benefits	<b>Service Heads ensure all receipts are attached to claim forms prior to submission to Payroll</b>	Heads of Service ensure all authorised expense claims have the appropriate receipt attached prior to these being sent to the Principal Payroll Officer.		<i>June 2012 - HR Manager has sent a reminder to middle managers.</i>	<b>31/03/2012</b>	<b>High</b>	
E005.E/PAEB20 12.01.05.03.01	Payroll and Employee Benefits	<b>HR Manager to document and issue to all HR and Payroll Officers business continuity plan</b>	The HR Manager to ensure there is a fully documented Business Recovery Plan in place in the event of a payroll and HR function system breakdown. Once documented, the policy should be issued to all HR and Payroll Officers.		<i>June 2012 - complete and circulated.</i>	<b>31/03/2012</b>	<b>Med</b>	
E005.E/PAEB20 12.01.02.04.01	Payroll and Employee Benefits	<b>The HR Manager ensures all new starter forms are issued to the Principal Payroll Officer</b>	The HR Manager ensures all new starter forms are issued to the Principal Payroll Officer.		<i>June 2012 - HR Manager has talked to HR team and explained the importance of these forms. HR Manager will spot check new starter files.</i>	<b>31/03/2012</b>	<b>Med</b>	
E005.E/PAEB20 12.01.06.01.01	Payroll and Employee Benefits	<b>The HR Manager to conduct review of all essential and non essential users and update details as necessary.</b>	The HR Manager to conduct a full review to ensure all essential and non essential users are highlighted. These lists should then be used to ensure only essential users are authorised to obtain car loans. The lists to be reviewed periodically.		<i>June 2012 - complete</i>	<b>31/03/2012</b>	<b>High</b>	



Audit Reference	Audit Report Name	Action Description	Audit Recommendation	Agreed Action	Status Update	Target date	Rating	Status
E005.E/PAEB20 12.01.06.02.01	Payroll and Employee Benefits	<b>HR Manager to ensure all car loans, crisis loans and car leases are fully documented and reconciled.</b>	<p>1) The HR Manager to ensure all car loans and leases are fully documented, authorised, up to date insurance documents are sought and retained as per the car loan policy and payroll receives sufficient, documented and authorised confirmation of the required deductions.</p> <p>2) All excess insurance payments and parking fine charges to be obtained from employees as per the policy.</p> <p>3) A policy is produced and agreed by Committee for the agreement of crisis loans. Delegated Authority for the authorisation of crisis loans to be agreed by Members. Crisis loans to be documented and reconciled separately from the car loan spreadsheet.</p>		<p><i>June 2012 -</i></p> <p>1) complete</p> <p>2) Almost complete, of those outstanding, a small number remain where further research needs to be complete to identify whether they should be deducted or not.</p> <p>3) Reconciliation complete separately. Policy change to be incorporated to overall policy review project.</p>	<p><b>31/03/2012</b></p> <p><b>REVISED DATE</b></p> <p><b>31/12/2012</b></p>	<b>High</b>	
E005.E/PAEB20 12.01.06.07.01	Payroll and Employee Benefits	<b>The HR Manager to ensure details on the car lease spreadsheet are up to date and regularly reviewed</b>	The HR Manager to ensure details on the car lease spreadsheet are up to date and regularly reviewed		<i>June 2012 - complete</i>	<b>31/03/2012</b>	<b>Low</b>	

Audit Reference	Audit Report Name	Action Description	Audit Recommendation	Agreed Action	Status Update	Target date	Rating	Status
E008.E/MVFM2 012.bf.01.01.05. 01	Financial management and Promotion of Value for Money	<b>The HR Manager update the Induction Documents.</b>	The HR Manager update the Induction Documents to include provision for the new employee to be shown a copy of the Financial Rules and a requirement for the new employee to sign as confirmation they have received the job appropriate training.		<i>August 2012 - Project underway</i>	<b>31/03/2012</b>  <b>REVISED DATE</b> <b>31/12/2012</b>	<b>Low</b>	
E005.E/PAEB20 12.01.05.05.02	Payroll and Employee Benefits	<b>The HR Manager and the Principal Payroll Officer to discuss options of how and where to transport and store payroll details.</b>	The HR Manager and the Principal Payroll Officer to discuss the possibility of setting up a dedicated payroll area where the Principal Payroll Officer from Corby Borough Council can use for all payroll related matters or the option of scanning in all documents by HR to Payroll. Payroll files either to be retained within East Northamptonshire Council to ensure all payroll forms and queries are resolved on site or a dedicated area is established within Corby Borough Council for such files.		<i>June 2012 - electronic submission of forms agreed as way forward. Corporate project to be set up to implement.</i>	<b>31/03/2012</b>  <b>REVISED DATE</b> <b>31/12/2012</b>	<b>High</b>	

<b>Audit recommendation actioned and complete</b>	
<b>Audit recommendation in progress</b>	
<b>Audit recommendation incomplete</b>	

## 5. Overdue Risk Actions

This section includes actions from the Risk Register that have not been recorded as actioned by the original target date. The status update shows the current progress with the risk actions. The original implementation date is shown in the target date column and any agreed revised date is shown beneath.

Chief Executives Department					
Risk Title	Action Required	Implementation date	Responsible	Status Update*	Status
Non-achievement of Rushden regeneration (502)	Utilise private sector expertise to obtain maximum value for ENC sites to be disposed of	30/06/2012	David Oliver	August 2012 - Complete	

Customer and Community Services					
Risk Title	Action Required	Implementation date	Responsible	Status Update*	Status
Failure to provide satisfactory leisure services to residents (575)	Member Group to be set up	31/07/2012	Lisa Hyde	August 2012 - Complete - Leisure Contract Working Group established.	
Failure to provide satisfactory leisure services to residents (575)	Proposal for contract extension to be considered	31/07/2012	Lisa Hyde	August 2012 - Complete - CCP contract extended for next 3 years.	
Failure to provide satisfactory leisure services to residents (575)	Welland Procurement Unit providing procurement advice	31/07/2012	Lisa Hyde	August 2012 - Complete - No further procurement process now following contract extension.	
Failure to process Housing and Council Tax Benefit on a timely and accurate basis (417)	Quality control checks completed. - 100% of new staff - 10% of trained staff Procedure manuals in place supported by staff training and updates. External Audit Internal Audit ISO Annual Audit Staff are trained to undertake dual roles. Verification of new and renewal claims.	29/06/2012  REVISED DATE 31/03/2013	Lucy Hogston	August 2012 - All the actions on the list are either ongoing or completed with the exception of External Audit (they are due to come in September and be finished by the end of November) and Internal Audit (not sure when they are coming in as we have not received the schedule yet but I think it will end in March 2013) therefore the action date is amended to March 2013.	

<b>Environmental Services</b>					
<b>Risk Title</b>	<b>Action Required</b>	<b>Implementation date</b>	<b>Responsible</b>	<b>Status Update*</b>	<b>Status</b>
<b>Outside Visits (605)</b>	Review status of PPE Ensure First Aid kits carried by all vehicles Review guidance for visiting Officers Asbestos material recognition training Inoculations Vigilant to the presence of dogs and other animals Confidential PVP & PHL information External activities to be stopped if inclement weather persists. Ensure visiting Officers access to PVP / PHL information Officer to make Manager aware of any known allergy to wasps and bee stings. Summon medical help in the case of an officer demonstrating the effects of an allergy. Issue Ladder and working at height training to be provided.	<b>31/03/2012</b>  <b>DATE REVISED TO 30/09/2012</b>	Mike Deacon	<i>March 2012</i> - PPE Status review completed. First Aid kits issued to all vehicles. Appropriate personnel have been inoculated. PVP - PVL list in place. Contractual arrangements in place and staff guidance in place for incidents of inclement weather. Appropriate personnel trained in the use of ladders and working at heights. Other outstanding actions are to be incorporated as part of the H & S consortium work. The likely implementation of which is the end of Sept 2012. Paper to go to Policy and Resources Committee on 27 September 2012.	
<b>Unsatisfactory regulatory services (431)</b>	Document policies and procedures	<b>26/06/2012</b>  <b>DATE REVISED TO 03/01/2013</b>	Mike Deacon	<i>March 2012</i> - Some policies (Com. Health) in place, others (EP) are a work in progress and some (Waste) will be drafted in line with the new contract arrangements	

<b>Financial Services</b>					
<b>Risk Title</b>	<b>Action Required</b>	<b>Implementation date</b>	<b>Responsible</b>	<b>Status Update*</b>	<b>Status</b>
<b>Failure to approve a stable &amp; sustainable financial strategy (633)</b>	Monitor delivery of MTFS on monthly basis at CMT and report quarterly to Finance Sub Committee	<b>30/06/2012</b>	Glenn Hammons	<i>August 2012</i> - Completed and ongoing	

<b>ICT Services</b>					
<b>Risk Title</b>	<b>Action Required</b>	<b>Implementation date</b>	<b>Responsible</b>	<b>Status Update*</b>	<b>Status</b>
<b>PROTECT or RESTRICTED document released to unauthorised personnel (577)</b>	Training needs to be provided as well as simple guidance on Eunice to staff where they are likely to come into contact with restricted or protected information.	<b>29/06/2012</b> <b>REVISED DATE - 21/12/2012</b>	Pat Bird		
<b>Security Incident (636)</b>	Put in place a process at both authorities to implement the recommendations from the quarterly and annual Sec-Tec report.	<b>29/06/2012</b>	Ian Peters	<i>August 2012 - Implemented on 7/8/12. Meetings now underway each month with action plans and progress reports.</i>	
<b>Failure to provide appropriate IT services and support for on-line services (394)</b>	ENC: Following the business continuity exercise it was noted that it would be necessary to have a fail over at another site, possibly Rushden. If the website fails at the ENC site then it would fail over and continue running. *Action required ENC *Copy of VM at another location (possibly Rushden) *Review comms line between sites and ensure fit for purpose	<b>01/07/2012</b> <b>REVISED DATE - 29/03/2013</b>	Ian Peters	At present there is no fail over. Therefore if something happens to the building then the website will be inaccessible.	
<b>Business Continuity (401)</b>	Review of VM infrastructure to ensure suitable capacity Continue to virtualise physical servers for faster recovery of systems.	<b>01/07/2012</b> <b>REVISED DATE - 31/10/2012</b>	Ian Tobin		
<b>Business Continuity (401)</b>	Develop the Rushden centre as the main recover point for ICT servers. (ENC only in first instance)	<b>01/07/2012</b> <b>REVISED DATE - 30/11/2012</b>	Ian Peters	This is dependent on the Rushden Centre being maintained by ENC and ICT being allowed to utilise a room in the building. <i>August 2012 - Future of the Rushden Centre paper to go to Policy and Resources Committee on 27 September 2012.</i>	

Planning Services					
Risk Title	Action Required	Implementation date	Responsible	Status Update*	Status
<b>Inadequate developer contributions to meet infrastructure needs (221)</b>	Preparation and adoption of supplementary planning document /CIL on developer contributions by the Joint Planning Unit.	30/06/2012  <b>REVISED DATE</b> 30/06/2013	Rob Back	August 2012 - Planning Policy Committee is due to agree a JPU consultation on CIL in September 2012. This report will include proposed CIL rates for East Northants and a draft charging schedule for consultation.	
<b>Incurring Planning Appeal costs (610)</b>	Members continue to be aware of the need to seek legal advice before making decisions on contentious applications which could lead to appeals and related costs awards	30/06/2012	Sue Wheatley	August 2012 - Complete. Recent high profile applications have included legal briefings to DCC members in advance of the committee meeting. This has proved a successful approach and useful tool for members and officers.	
<b>Failure to Progress Core Strategy Review (630)</b>	Attendance and input to review through JPU CPOs group, JPU Wider Team Meeting and also through the input of the wider team to strategy development	30/06/2012  <b>REVISED DATE</b> 30/12/2013	Karen Britton	August 2012 - Ongoing input to review including secondment of Mike Burton 3 days per week to progress to preliminary consultation stage (June/July 2012)	

<b>Resources and Organisational Development</b>					
<b>Risk Title</b>	<b>Action Required</b>	<b>Implementation date</b>	<b>Responsible</b>	<b>Status Update*</b>	<b>Status</b>
<b>Number of Persons Permitted in the Public Gallery Area of the Council Chamber (606)</b>	Limit number of people in the public gallery to a total of 50 to be accommodated as follows: 20 seated on the upper level 20 seated on the lower level 10 standing on the lower level Ongoing monitoring of the number of persons entering the public gallery i.e. counting individuals in. Signage to be installed advising of the maximum number of persons permitted in the public gallery. Signage to be installed prohibiting standing on stairs. Ensure only able bodied persons occupy the upper level.	<b>31/03/2012</b>	James McLaughlin	<i>August 2012 - Implemented. Risk assessment and action plan available for use at future meetings following trial at controversial Development Control Committee meeting held in July 2012.</i>	
<b>Violence and aggression at public meetings (607)</b>	Officers to conduct dynamic risk assessment when manning meetings. Conflict management training for all front line officers who may be required to monitor numbers entering the Chamber. Advance notice of limit of number of people allowed in the Chamber to be given with publicity of public meeting. Police present to be considered when large numbers or pressure groups are expected to attend.	<b>31/03/2012</b>	James McLaughlin	<i>August 2012 - Implemented. Risk assessment and action plan available for use at future meetings following trial at controversial Development Control Committee meeting held in July 2012.</i>	

<b>Risk action complete / controlled</b>	
<b>Risk action in progress</b>	
<b>Risk action not started</b>	

## 6. Finance - Service Area Budget Variance

The table below shows the actual spend vs profiled budget for April 2012 - June 2012.

Updated - 30 August 2012

### Service Area Revenue Budget Variance - Quarter 1 2012/13

	Budget 2012/13	Budget to date	Actual to date	Estimated Outturn	Variance (Outturn v Budget)	Actual to date v budget to date (target 100%)	Estimated Outturn v Budget 2012/13 (target 100%)
Executive Director	£171,040	£42,798	£35,095	£171,040	£0	82%	100%
Head of Customer & Community Services	£1,902,410	£702,560	£558,806	£1,888,150	(£14,260)	80%	99%
Head of Environmental Services	£2,734,000	£521,749	£554,478	£2,710,475	(£23,525)	106%	99%
Head of ICT	£853,000	£442,605	£603,188	£814,920	(£38,080)	136%	96%
Head of Resources & Org Development	£3,182,150	£851,085	£714,402	£3,073,611	(£108,539)	84%	97%
Head of Planning Services	£1,135,240	£209,104	£170,300	£1,170,450	£35,210	81%	103%
Chief Executive	£196,990	£52,973	£54,547	£198,790	£1,800	103%	101%
	£10,174,830	£2,822,874	£2,690,817	£10,027,436	(£147,394)	95%	99%

**Head of ICT Comment** - The majority of ICT license costs are incurred in the first two months of the financial year, so there is always high expenditure within ICT for the first quarter. This will level out over the course of the year. The budget will be re-profiled prior to the next quarterly report.

**Head of Planning Services Comment** - The level of income received from planning applications is off-setting Planning Services expenditure to make the actual to date v budget to date artificially low. It is anticipated that the budget will return to a normal profile by year end.

### Service Area Capital Budget Variance - Quarter 1 2012/13

	Budget 2012-13	Estimated Outturn	Actual to date	Variance (Outurn v Budget)
Head of ICT	£556,340	£556,335	£16,036	-£5
Head of Resources & Org Development	£1,647,270	£1,650,760	£34,047	£3,490
Head of Customer & Community Services	£2,290,335	£2,290,335	£20,117	£0
Head of Environmental Services	£761,080	£761,081	£180,981	£1
Executive Director	£8,000	£8,000	£0	£0
	£5,263,025	£5,266,511	£251,181	£3,486



## 7. Workforce Statistics

This section identifies sickness levels and staff turnover data for each Service Area. This is reported to Personnel Sub Committee five times a year.

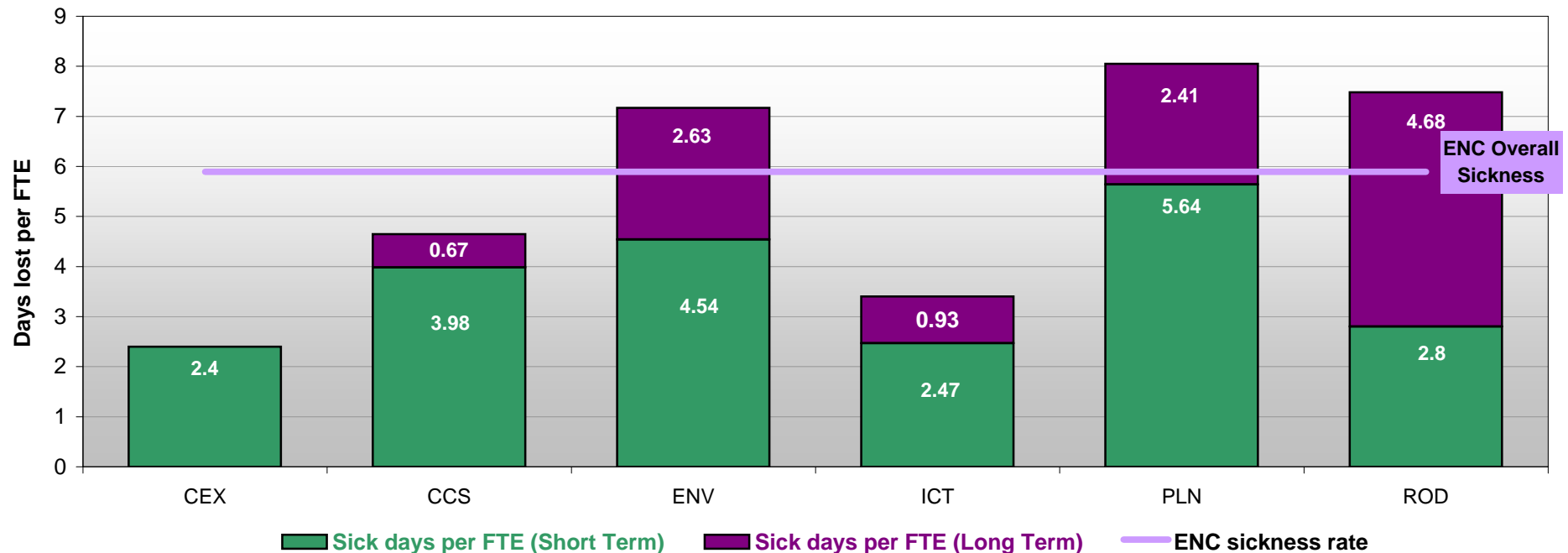
### 7.1 Staff Sickness

ENC TOTAL (July 2011 - June 2012)	Days lost per FTE		
	OVERALL	Short Term	Long Term
	5.89 days	4 days	1.89 days

Previous ENC sickness (days)	2011/12	2010/11	2009/10	2008/09	2007/08	2006/07	2005/06
	5.29	5.49	6.83	5.84	9.37	7.10	7.30

2010 National sickness (days)	Public sector average	All sector average	Private sector average
	9.6	7.7	6.6

### Service area sickness totals (12 month rolling total) - July 2011 - June 2012



## 7.2 Staff Turnover

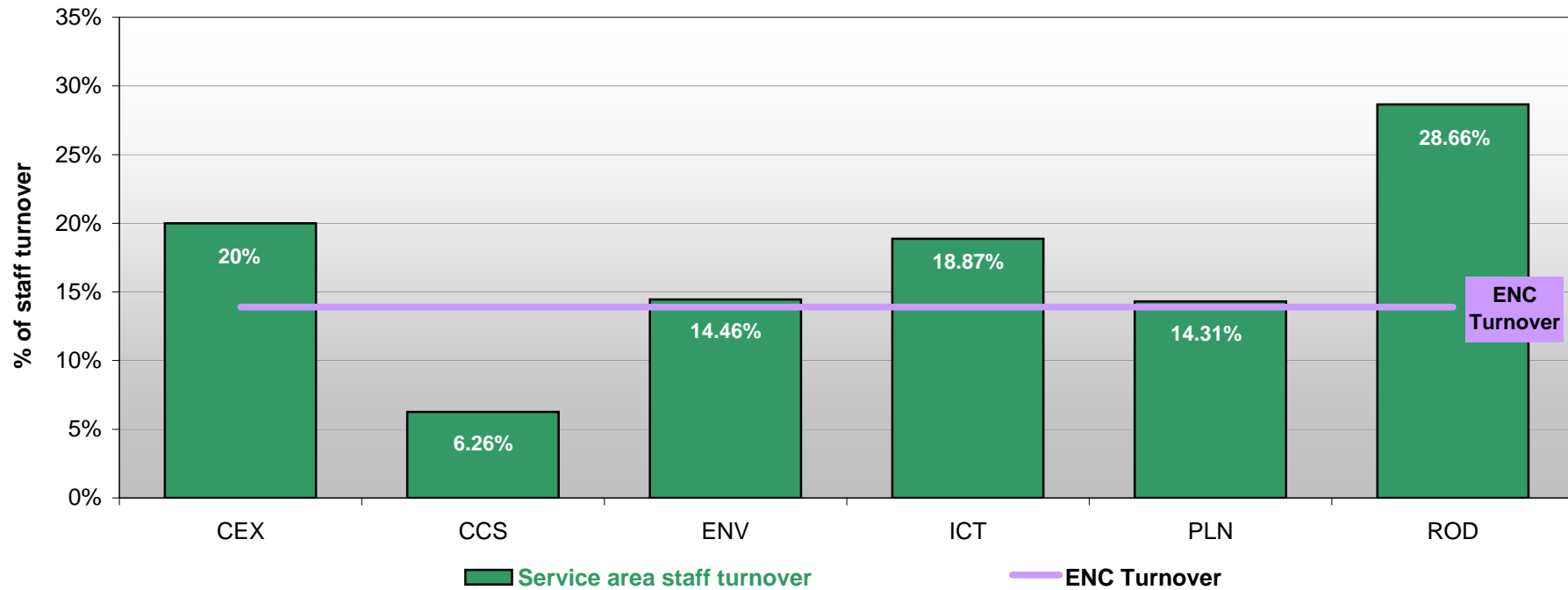
<b>ENC TOTAL (July 2011 - June 2012)</b>	<b>% of leavers</b>
	<b>13.9%</b>

<b>Previous ENC Turnover</b>	2010/11	<b>14.32%</b>
	2010/11	<b>13.36%</b>
	2009/10	<b>11.70%</b>
	2008/09	<b>12.77%</b>
	2007/08	<b>18.14%</b>

<b>2010 National turnover figures*</b>	Public sector average	<b>8.60%</b>
	All sector average	<b>13.50%</b>
	Private sector average	<b>14.60%</b>

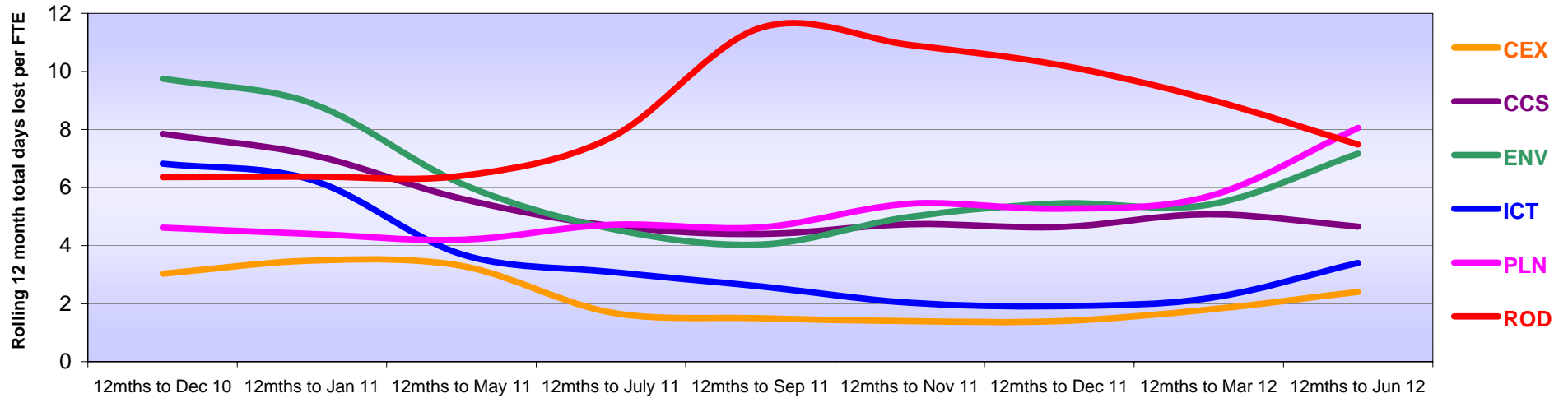
\*CIPD 2010 survey - small survey samples

### % of staff leaving out of total staff in Service Area - July 2011 - June 2012

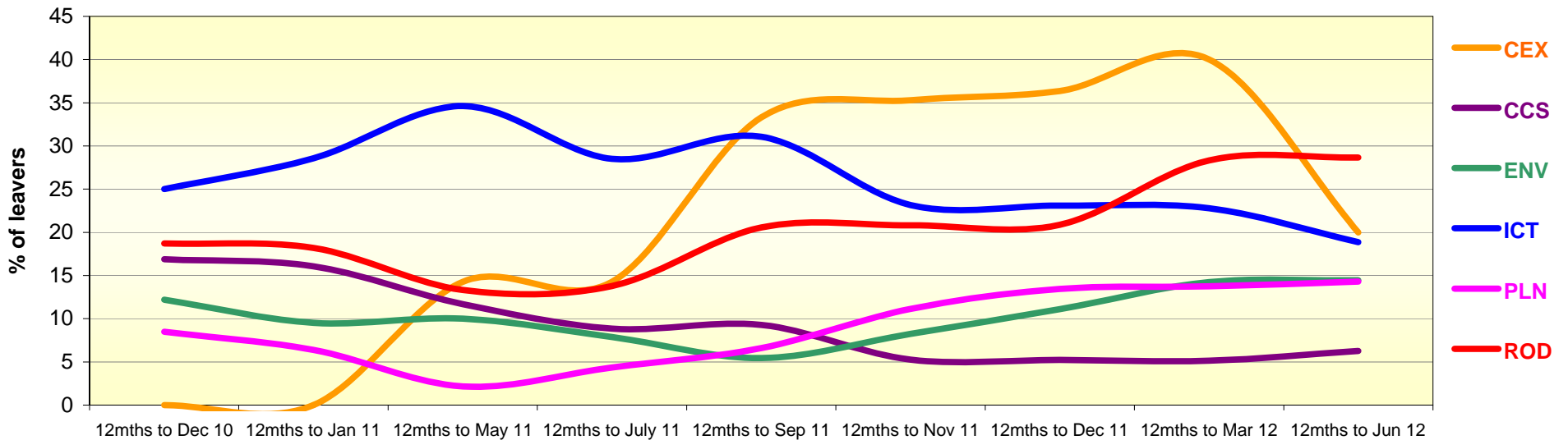


## 7.3 Sickness and Turnover trends

### Sickness trends - Days lost per FTE (12 month rolling totals)

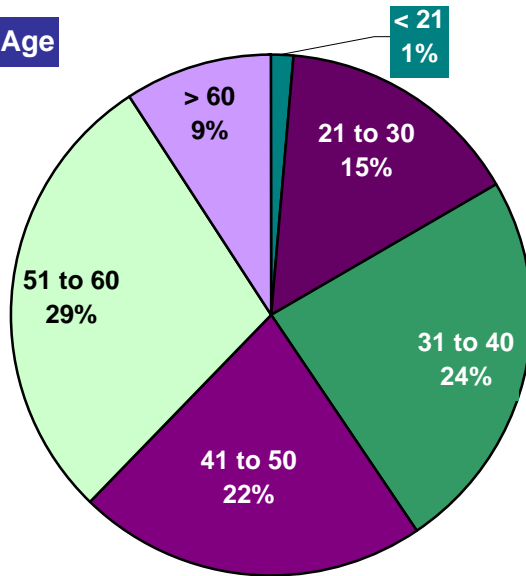


### Staff Turnover trends - % of leavers (12 month rolling totals)

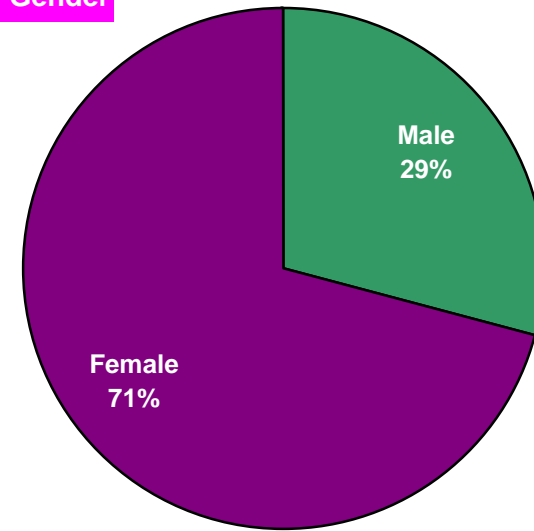


## 7.4 Workforce Demographics

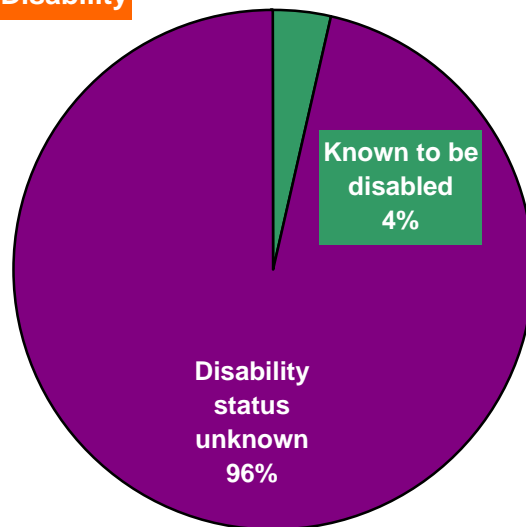
ENC Overall - Age



ENC Overall - Gender



ENC Overall - Disability



ENC Overall - Ethnicity

