

## Select Committee Agenda



### **Governance Select Committee Tuesday, 3rd July, 2018**

You are invited to attend the next meeting of **Governance Select Committee**, which will be held at:

**Council Chamber, Civic Offices, High Street, Epping**  
on **Tuesday, 3rd July, 2018**  
at **7.15 pm** .

**Derek Macnab**  
**Acting Chief Executive**

**Democratic Services  
Officer**

J Leither  
Tel: (01992) 564756 Email:  
democraticservices@eppingforestdc.gov.uk

#### **Members:**

Councillors G Chambers (Chairman), D Dorrell (Vice-Chairman), R Brookes, L Burrows, R Gadsby, L Hughes, S Jones, H Kauffman, M McEwen, M Sartin, J Share-Bernia, H Whitbread, J M Whitehouse and D Wixley

**SUBSTITUTE NOMINATION DEADLINE:**

**6:15 pm**

#### **1. APOLOGIES FOR ABSENCE**

#### **2. SUBSTITUTE MEMBERS (COUNCIL MINUTE 39 - 23.7.02)**

To report the appointment of any substitute members for the meeting.

#### **3. NOTES OF PREVIOUS MEETING (Pages 3 - 12)**

To agree the notes of the meeting of the Select Committee held on 27 March 2018.

#### **4. DECLARATIONS OF INTEREST**

To declare interests in any items on the agenda.

In considering whether to declare a pecuniary or a non-pecuniary interest under the Code of Conduct, Overview & Scrutiny members are asked pay particular attention to paragraph 9 of the Code in addition to the more familiar requirements.

This requires the declaration of a non-pecuniary interest in any matter before an OS Committee which relates to a decision of or action by another Committee or Sub Committee of the Council, a Joint Committee or Joint Sub Committee in which the Council is involved and of which the Councillor is also a member.

Paragraph 9 does not refer to Cabinet decisions or attendance at an OS meeting purely for the purpose of answering questions or providing information on such a matter.

**5. TERMS OF REFERENCE AND WORK PROGRAMME (Pages 13 - 16)**

(Chairman / Lead Officer) The Overview and Scrutiny Committee has agreed the Terms of Reference of this Committee. This is attached along with an ongoing work programme. Members are asked at each meeting to review both documents.

**6. TRANSFORMATION PROGRAMME - PROJECT DOSSIER - GOVERNANCE (Pages 17 - 22)**

To consider the attached report.

**7. KEY PERFORMANCE INDICATORS 2017/18 - QUARTER 4 (OUTTURN) PERFORMANCE (Pages 23 - 28)**

To consider the attached report.

**8. CORPORATE KEY ACTION PLAN 2017/18 - QUARTER 4 (OUTTURN) POSITION (Pages 29 - 36)**

To consider the attached report.

**9. REPORTS TO BE MADE TO THE NEXT MEETING OF THE OVERVIEW AND SCRUTINY COMMITTEE**

To consider which reports are ready to be submitted to the Overview and Scrutiny Committee at its next meeting.

**10. FUTURE MEETINGS**

To note the dates of the future meetings of the Governance Select Committee:

- 02 October 2018
- 27 November 2018
- 05 February 2019
- 26 March 2019

**EPPING FOREST DISTRICT COUNCIL  
NOTES OF A MEETING OF GOVERNANCE SELECT COMMITTEE  
HELD ON TUESDAY, 27 MARCH 2018  
IN COUNCIL CHAMBER, CIVIC OFFICES, HIGH STREET, EPPING  
AT 7.15 - 8.50 PM**

**Members Present:** N Avey (Chairman), R Bassett, N Bedford, L Hughes, H Kauffman, L Mead, B Rolfe and D Wixley

**Other members present:**

**Apologies for Absence:** S Jones and D Stallan (Chairman of the Council)

**Officers Present:** S Hill (Assistant Director (Governance)), J Godden (Principal Planning Officer (Heritage, Enforcement & Landscaping)), D Bailey (Head of Transformation) and J Leither (Democratic Services Officer)

**46. APPOINTMENT OF VICE-CHAIRMAN**

In the absence of the Vice-Chairman, who had tendered his apologies, with the agreement of the Committee the Chairman asked Councillor N Bedford to be Vice-Chairman for the meeting.

**RESOLVED:**

That Councillor N Bedford be appointed as Vice-Chairman of the Governance Select Committee for the duration of the meeting.

**47. SUBSTITUTE MEMBERS (COUNCIL MINUTE 39 - 23.7.02)**

The Select Committee noted that Councillor A Patel was substituting for Councillor D Stallan.

**48. NOTES OF PREVIOUS MEETING**

**RESOLVED:**

That the notes of the meeting of the Select Committee held on 6 February 2018 be agreed as a correct record.

**49. DECLARATIONS OF INTEREST**

There were no declarations of interest made pursuant to the Member's Code of Conduct.

**50. TERMS OF REFERENCE AND WORK PROGRAMME**

The Select Committee receive a report from the Assistant Director, Governance regarding the Governance Select Committee's Terms of Reference and Work Programme 2017/18.

Terms of Reference

The Select Committee noted the Terms of Reference.

Work Programme

The Select Committee noted that this was the last meeting of the municipal year and that the work programme for the year 2017/18 would be completed by the end of the meeting.

**RESOLVED:**

That the Terms of Reference and the Work Programme of the Governance Select Committee for 2017/18 be noted.

**51. DIRECTORATE AND SERVICE BUSINESS PLANS 2018-19**

The Overview and Scrutiny Committee had requested that the relevant Portfolio Holders attend the last meeting of each Select Committee in the municipal year to present their Business Plans, which were developed on a Directorate basis. This would enable each Committee to undertake a more in-depth scrutiny role regarding the numerous services which made up each Select Committee.

**Planning and Governance Portfolio**

The Planning and Governance Portfolio holder, Councillor J Philip gave a presentation of his portfolio's business plan for 2018/19. He advised that the Local Plan was a key part of this portfolio and was moving forward. During the public examination by the Inspector it was important that the Council could show that it would be able to meet the numbers for housing. An Implementation Team had been set up to support the delivery of the Local Plan. The Team would implement arrangements to ensure information was available to assess Local Plan policies. The Council would be looking at Planning Performance Agreements, which would enable it to maintain a timescale for delivering housing through masterplanning schemes.

All of the Local Plan documentation to date could be viewed on the Council's website. The reports were backed up by evidence and policies. On neighbourhood planning, the Council would provide advice to local councils. The Rural Community Council of Essex (RCCE) could also provide additional assistance to facilitate this and ensure that the neighbourhood plans did not conflict with the Local Plan. The Council would provide input into the Harlow and Gilston Garden Town project and three other project sites, the sustainable transport corridors around Harlow that came under the Sustainable Development Board. The Council was well prepared to take the Local Plan through the public examination process.

**Technology and Support Services Portfolio**

The Technology and Support Services Portfolio holder, Councillor A Lion gave a presentation of his portfolio's business plan for 2018/19.

The Committee noted that the central support functions of Legal Services, Internal Audit and Corporate Fraud supported the Council and underpinned the Corporate Plan. Their support was provided to all Council services and enabled both internal and external transformation.

The Legal Team provided a cross business function across the Council. Below are some of the other activities that Legal Services are also involved in:

- Giving support to Planning, the Local Plan, Licensing;
- Litigation defence and prosecution;
- Corporate fraud litigation;
- Negotiating housing sales;
- Leases and Land Registry;
- Involved in new legislation; and
- Converting paper files into an electronic database.

The Recruitment of staff for Legal Services in a competitive job market. There was a problem in getting the right person for the right job as specialist skills were in high demand.

Internal Audit and Corporate Fraud had interesting processes that had their own structures of organisation:

- Internal Audit  
Looked as business functions and processes.
- Corporate Fraud  
Successful in prosecutions and the Council were looking to shared services with other authorities.

Councillor Philip advised the Select Committee that Planning had difficulty in the ability to attract staff and found this to be exceptionally challenging. It was a very difficult job market and Planning staff were in high demand. Epping was close to London where the unitary authorities could offer larger salaries to experienced staff.

In January 2018 the Planning fees were raised by 20% but these monies had to be ploughed back into the Council's services. Planning applications had decreased this year as against last year, although smaller applications had increased the larger applications had decreased.

Councillor Wixley expressed concern regarding shared services of the Corporate Fraud Team with other authorities and asked if there was sufficient resource and capacity in the Corporate Fraud Team to accommodate a shared service.

Councillor Lion replied that there was sufficient resource and capacity to accommodate a shared service.

Councillor Patel asked in terms of land and knowing who owns the land does the Council have a register set up.

Councillor Philip replied that the Council had no powers to make use of that information.

Councillor Bassett expressed concerns regarding recruitment and retaining staff and asked if the Council were preparing a team that was competent.

Councillor Philip advised that the Council had a level of expertise through internal staff and shared services. He stated that the Council had a Monitoring Officer that

was a solicitor now they had a Monitoring Officer who was not a solicitor so the Council would use the services of an outside solicitor.

Councillor Basset asked both Portfolio Holders what was your biggest challenge from your services.

Councillor Philip stated that his biggest concern was the Local Plan and Councillors not realising the seriousness of it.

Councillor Lion stated that his biggest concern was staffing issues and having to staff differently by using shared services.

**RESOLVED:**

That the Governance Directorate Business Plan for 2018-2019 be noted.

**52. TRANSFORMATION PROGRAMME - PROJECT CLOSURES**

The Head of Transformation, Mr D Bailey presented a report regarding Project Closures from the Transformation Programme. He advised that the Overview and Scrutiny Committee had requested that Project Closure reports from the Transformation Programme were submitted to the relevant Select Committee for their information.

Attached on page 29 of the agenda was a closure report to be considered regarding the Corporate Communications – Internal project. Mr Bailey informed the Select Committee that the report stated the baseline end date was 30 April 2018 but that in fact the actual end date was 11 December 2017. The report included an evaluation of the project and also included recommendations for improvement.

Councillor Wixley noted that under the heading 9. Timeline on the 30 October an entry stated 'Completed – headphones provided', and asked what this entry meant.

Mr Bailey advised that staff were provided with a set of headphones so they could listen to staff briefings and webcast meetings without disturbing their colleagues.

Councillor Patel asked how the projects were prioritised.

Mr Bailey advised that this particular project sought to deliver 6 key priorities from the 48 objectives contained in the employee engagement strategy.

Councillor Patel ask what was the rationalisation of the projects that were brought forward over other projects.

Mr Bailey replied that the main way the Council prioritised its work was through the Corporate Plan but only the biggest projects featured in the Corporate Plan and the smaller projects, some being so small they that they wouldn't progress through the Corporate Plan, they would come through Members and Officers to the Transformation Programme Board where they would be considered.

**RESOLVED:**

That the Transformation Programme – Project Closure Report be noted.

**53. TRANSFORMATION PROGRAMME - PROJECT DOSSIER - GOVERNANCE DIRECTORATE**

At the request of the Overview and Scrutiny Committee, the Head of Transformation, Mr David Bailey introduced a report on the progress of the projects and programmes within the Transformation Programme, this was known as the Project Dossier and would be reported on a regular basis to the Select Committee.

The Corporate Plan provided a framework which demonstrated how the work of the Council fitted together at a strategic level. It provided a focus to establish a set of corporate priorities which described how the Council would deliver positive change.

An annual Corporate Specification detailed how the Corporate Plan would be delivered through a set of operational objectives for that year. Operational objectives can concern Business As Usual (BAU) or business transformation.

The Select Committee were asked to consider and review the list of active High and Medium complexity projects, known formally as the Project Dossier.

They went on to consider and review the 4 project dossiers linked to the Governance Directorate. Mr Bailey noted that the Committee was at liberty to ask for a full report on any of the projects that they may want to scrutinise to come to a subsequent meeting.

Mr Bailey advised that P004a – Corporate Communications – External was on hold due to the Local Plan.

Councillor Bassett expressed concern regarding the progress being 0% of P019 Building Control and Development Control Quality Improvement and File Scanning as he recalled a budget being agreed to progress this project.

Mr Bailey advised that he would need to check and report back as to why the report from the supplementary agenda, item 2, didn't match the progress report.

Councillor Wixley referred to the yellow supplement, item 2, regarding the destruction of 30,000 planning files and want reassurance that these files had been quality checked and scanned.

The Principal Planning Officer, Mr Godden confirmed that all 30,000 planning files had been quality checked and scanned before they were securely destroyed.

**RESOLVED:**

That the Project Dossier for the Transformation Programme for the Governance Directorate be noted.

**54. EQUALITY OBJECTIVES 2016-2020 - 6 MONTHLY REPORTING AND COMPLIANCE WITH THE PUBLIC SECTOR EQUALITY DUTY**

The Chairman, Councillor N Avey presented the next report and asked Members if there were any questions regarding the report and that Mr Bailey would try to answer.

Councillor Bassett noted that some of the Equality Objective Actions were behind schedule but there was no explanation as to why they were behind schedule. He

stated that he was happy for the Select Committee to be updated as a later stage but could future reports be updated to include this information.

**RESOLVED:**

- (1) That the Equality Objectives 2016-2020 – 6 month reporting be noted; and
- (2) That future reports include the reason why actions were behind schedule.

**55. CORPORATE PLAN 2018-2023 - PROGRESS REPORTING AND PERFORMANCE INDICATOR SET**

The Select Committee received a report from the Head of Transformation, Mr D Bailey regarding the Corporate Plan 2018-2023 – Progress Report and Performance Indicator Set.

The Corporate Plan 2018-2023 was the authority's key strategic planning document. The Plan sets out the journey the Council would take to transform the organisation to be 'Ready for the Future'. The plan linked the key external drivers influencing Council services, with a set of corporate aims and objectives, grouped under three corporate ambitions – stronger communities, stronger place and stronger Council.

An annual Corporate Specification (previously called the Key Action Plan) detailed how the Corporate Plan was being delivered through operational objectives, which in turn would link to the annual Service business plans.

The success of the new Corporate Plan would be assessed through the achievement of a set of benefits, focussed on what the Council achieved for their customers. These benefits in turn were evidenced through a set of performance measures. A new format for reporting the Council's performance was also proposed.

Management Board, Leadership Team and Cabinet Members were involved in developing the draft Corporate Plan 2018-2023. The content of the Plan – including drivers, objectives and benefits, were the subject of consultation with customers, businesses, partners and staff. The views of Councillors were also sought through the four Select Committees as well as the Overview and Scrutiny Committee. The views of the Cabinet were gained through a report to the Finance and Performance Management Cabinet Committee. Feedback from local councils was taken through a report to the Local Councils' Liaison Committee (LCLC).

To minimise expenditure associated with its production, the new Corporate Plan would only be available as an electronic download via the Council's website or for customers to view as a hard copy at the Council's Civic Offices.

An annual Corporate Specification detailed how the Corporate Plan would be delivered through a set of operational objectives for that year. The Council had a number of Key Action Plans, so to avoid confusion the yearly action plan for the Corporate Plan would in future be referred to as the Corporate Specification. This name denoted that it specified the operational objectives for a given year, which in turn are responded to through annual Service Business Plans.

The report presented various ways to show the performance measures and benefits including a benefits map on A3 paper, although feedback on this particular 'map' indicated that it was too busy and difficult to read. A simpler 'map' on A4 was tabled

at the meeting (attached) which updated the way it used to be displayed and this was likely to be the way it would develop.

Councillor Bedford stated that he preferred this new design as it was easier to understand.

Councillor Bassett asked how were items of multiple dependencies being handled and in particular checking that they didn't fall behind in any one area.

Mr Bailey stated that this had not been done before and was still to be worked out.

He also advised that a Transformation Programme Board Report would be going to the Overview and Scrutiny Committee at its next meeting in April 2018 and would include information about the Risks and Resources.

**RESOLVED:**

- (1) That the Select Committee agreed the proposed benefits and performance indicator set for 2018-2023; and
- (2) That the Select Committee agreed the Council's proposed format for reporting the performance of the indicator set and the progress of the Corporate Plan 2018-2023.

**56. PLANNING APPEALS PERFORMANCE - CASE STUDY**

The Select Committee received a report from the Principal Planning Officer, regarding a case study on the Planning Appeals Performance. He advised that four cases had been studied and reported as follows:

Cornerways, Turpins Lane, Chigwell IG8 8BA

The development proposed was demolition of the existing dwelling and garage and the construction of eight residential units, with associated parking and landscaping.

The Officers recommendation was to Grant Permission (With Conditions). Members disagreed with the Officers recommendation and agreed to refuse permission. The Applicant appealed against the Members decision to refuse permission which was overturned by the Inspector.

Councillor Wixley advised that this application had come back to a recent Area Plans South Sub-Committee and Members thought it was a much better design and that the Applicant had taken their previous advice regarding size, bulk and overdevelopment. Members agreed with the new application and agreed with the Officers recommendation to Grant Permission (With Conditions).

Tennis Courts, Roding Valley High School, Alderton Hill, Loughton IG10 3 JD

The development proposed was an amendment to planning permission already granted for the erection of 38 'Retirement Living' apartments for the elderly. The amended application was for 2 additional 2 bedroomed apartments.

The Officers recommendation was to Grant Permission (With Conditions). Members disagreed with the Officers recommendation and agreed to refuse permission. The Applicant appealed against the Members decision to refuse permission which was

allowed by the Inspector and planning permission was granted as he felt there would be no adverse impact to the street scene.

16 Kendal Avenue, Epping CM16 4PW

The development proposed was the demolition of an existing 3 bedroom house and the construction of a new 5 bedroomed house

The Officers recommendation was to Refuse Permission. The Officers reason for refusal was due to size and bulk and the impact on the street scene. The Applicant appealed against the Officers decision to refuse permission which was allowed by the Inspector and planning permission was granted.

Fairlawn, Epping Road, Broadley Common EN9 2DH

The development proposed was the demolitions of garages and the erection of a 1 x 3 bedroom house within the curtilage of the existing building.

The Officers recommendation was to Refuse Permission. The Officers reason for refusal was that the construction of a dwelling in the location would constitute limited infill in a continuous linear development of housing in the built up settlement of Broadley Common. The Inspector agreed with the Officers and the application was dismissed.

**RESOLVED:**

- (1) That the Committee agreed the report on the presentation of recent appeal decisions; and
- (2) That the Committee considered any lessons or outcomes of the presentation for future planning application decision making and key performance indicators GOV007 and GOV008.

**57. REPORTS TO BE MADE TO THE NEXT MEETING OF THE OVERVIEW AND SCRUTINY COMMITTEE**

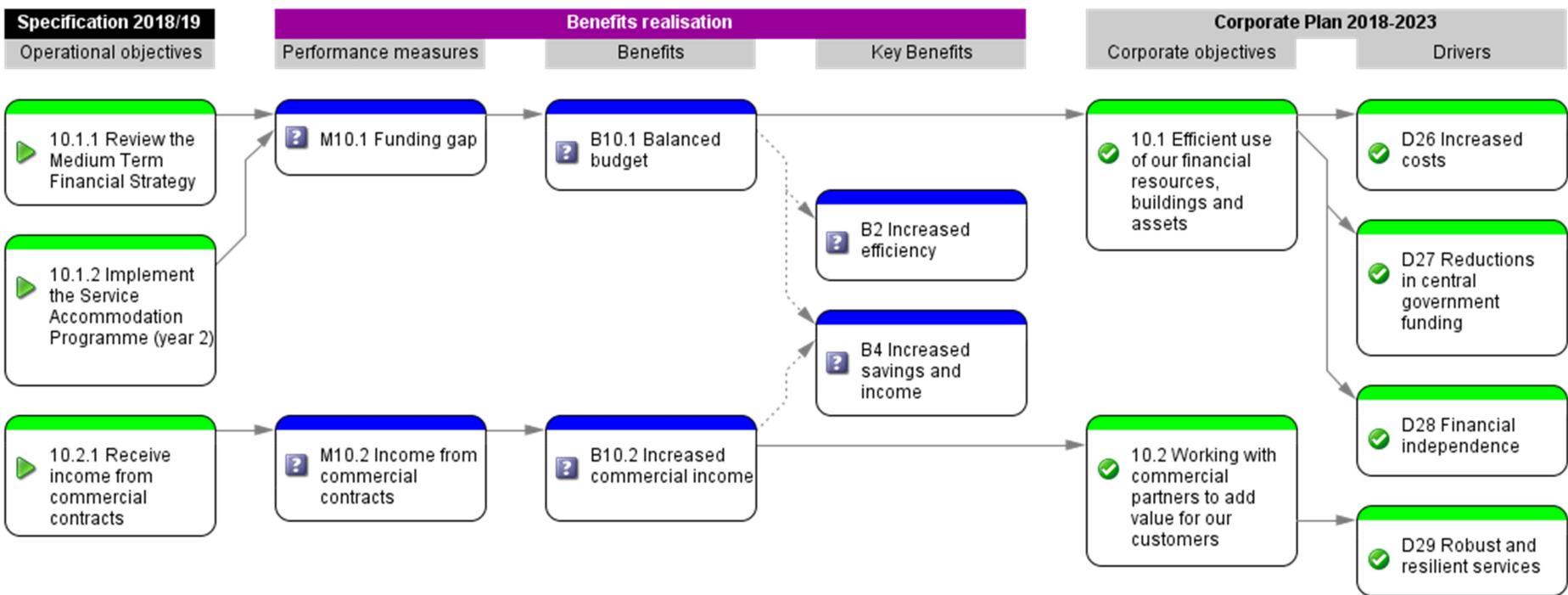
The Select Committee agreed that there were no reports for recommendation to the Overview and Scrutiny Committee.

**58. FUTURE MEETINGS**

It was noted that the Governance Select Committee calendar of meetings for the next municipal year 2018/19 would be held on:

- 03 July 2018
- 02 October 2018
- 27 November 2018
- 05 February 2019
- 26 March 2019

## ✓ Aim 10 - Financial independence with low Council Tax



This page is intentionally left blank

## GOVERNANCE SELECT COMMITTEE

### TERMS OF REFERENCE 2018/19

**Title:** Governance Select Committee

**Status:** Select Committee

1. To undertake overview and scrutiny, utilising appropriate methods and techniques, of the services and functions of the Governance Directorate;
2. To develop a programme of work each year, informed by relevant service aims and member priorities, to ensure that the services and functions of the Governance Directorate are appropriate and responsive to the needs of residents, service users and others;
3. To consider any matter referred to the Select Committee by the Overview and Scrutiny Committee, the Cabinet or a relevant Portfolio Holder, and to report and make recommendations directly to the Committee, the Cabinet or such Portfolio Holder as appropriate;
4. To consider the effect of Government actions or initiatives on the services and functions of the Governance Directorate and any implications for the Council's residents, service users and others, and to respond to consultation activities as appropriate;
5. To establish working groups as necessary to undertake any activity within these terms of reference;
6. To undertake pre-scrutiny through the review of specific proposals of the Council and its partner organisations or other local service providers, insofar as they relate to the services and functions of the Governance Directorate, to help develop appropriate policy;
7. To undertake performance monitoring in relation to the services and functions of the Governance Directorate, against adopted key performance indicators and identified areas of concern;
8. To identify any matters within the services and functions of the Governance Directorate that require in-depth scrutiny, for referral to the Overview and Scrutiny Committee;
9. To recommend the establishment of task and finish panels to the Overview and Scrutiny Committee as necessary, in order to undertake any activity within these terms of reference; and
10. To review relevant projects and associated closure and benefits reports arising from initiatives undertaken as part of the Council's Transformation Programme.

**Chairman:** Councillor G Chambers

## Governance Select Committee (Chairman – Councillor G Chambers)

### Work Programme 2018/19

Item	Report Deadline/Priority	Progress/Comments	Programme of Meetings
(1) Key Performance Indicators (KPIs) 2017/18 - Outturn	03 July 2018	Governance indicators only	03 July 2018; 02 October; 27 November; 05 February 2019; and 26 March.
(2) Key Performance Indicators (KPIs) 2017/18 - Quarterly Performance Monitoring	Q1 – 02 October 2018 Q2 – 27 November 2018 Q3 – 05 February 2018	Governance indicators only	
(3) Development Management Chairmen and Vice-Chairmen's Meetings	TBA – (March 18 meeting cancelled – next meeting September 18)	Feedback from meeting of the Chairmen and Vice-Chairmen of the Area Plans Sub-Committees and the District Development Management Committee	
(4) Equality Objectives 2016-2020 / (2018-2023) - 6 monthly reporting	Q1 - 02 October 2018 Q3 - 26 March 2019	6 monthly reporting 6 monthly reporting	
(5) Corporate Plan Key Action Plan 2016/17 - Outturn	03 July 2018	Governance actions only	
(6) Corporate Plan Key Action Plan 2017/18- Quarterly reporting	Q1 – 02 October 2018 Q2 – 27 November 2018 Q3 – 05 February 2019	Governance actions only	

## Governance Select Committee (Chairman – Councillor G Chambers)

### Work Programme 2018/19

(7) Directorate Business Plan 2019/20	26 March 2019	All relevant Portfolio Holders to present highlights of the priorities and service challenges from the business plan for their portfolio for the next year, to the final meeting of the select committee in each municipal year.	
(8) Transformation Projects relevant to this Committee	26 March 2019	Details of relevant new transformation projects to be submitted to the relevant SC for scrutiny	
(9) Transformation Projects closure and benefits reports	26 March 2019	That any Directorate appropriate project closure and benefits realisation reports to be submitted to the Governance SC for information	
(10) Review of Local Enforcement Plan	02 October 2018	J Godden / N Richardson to provide a report	
(11) Review of Local Elections in May 2018	02 October 2018	Review of the processes for the District Council and Parish Council Elections.	
(12) Transformation Programme – Project Dossier – Governance	03 July 2018	Updated Project Dossier for the Transformation Programme	

## **Report to Governance Select Committee**

***Date of meeting: 3 July 2018***



**Portfolio:** Leader of the Council

**Subject:** Transformation Programme – Project Dossier – Governance Directorate

**Officer contact for further information:** David Bailey, Head of Transformation (01992 564105)

**Democratic Services Officer:** Jackie Leither, Democratic Services Officer (01992 564756)

---

### **Recommendations/Decisions Required:**

**(1) That the Committee reviews the updated Project Dossier for the Transformation Programme – Governance Directorate.**

### **Reason for decision:**

The Overview and Scrutiny Committee requested the progress of projects and programmes within the Transformation Programme – known as the Project Dossier – be reported to regular meetings of the Committee for review.

### **Options considered and rejected:**

None.

### **Report:**

#### **Introduction:**

1. The Corporate Plan provides a framework to demonstrate how the work of the Council fits together at a strategic level. It provides a focus to establish a set of corporate priorities, describing how the organisation will deliver positive change.

2. An annual Corporate Specification details how the Corporate Plan will be delivered through a set of operational objectives for that year. Operational objectives can concern Business As Usual (BAU) or business transformation.

3. Business transformation is delivered through change projects and programmes. A project is a temporary activity to create something unique – a thing, a service or a product – that:

- Leads to change;
- Has a defined start and end;
- Has limited resources;
- Has specific objectives; and

- Enables benefits to be realised.

5. Here is a simple example which illustrates the difference between Business As Usual and business transformation.

If you build a car in your garage – it's a project. Whereas if you are a car manufacturer, building hundreds of cars a day, it's a production line and simply business as usual, i.e. it isn't unique. However, parts of a larger process can be considered projects, e.g. designing the car. So by their very nature, the delivery of any change involves project management.

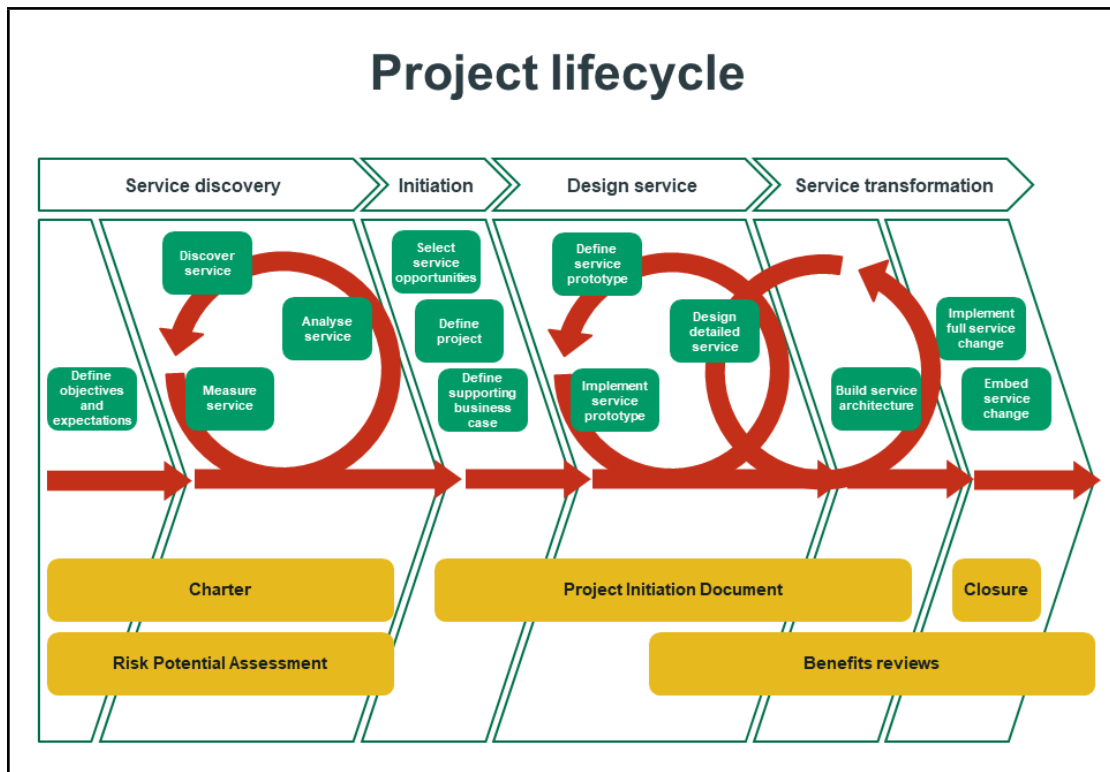
6. The Council established its Transformation Programme in early 2016, grouping change projects from the Corporate Plan into four workstreams:

- Customer Experience;
- Business Culture;
- Resources, Accommodation and Technology; and
- Major Projects.

7. A corporate methodology for managing projects was established in June 2016. All projects are registered with the Programme Management Office (PMO), overseen by the Head of Transformation. Projects are managed differently, depending on an assessment of their scale or complexity. This assessment is completed using the Risk Potential Assessment tool (RPA).

<i>RPA</i>	<i>Qualities</i>	<i>Project management</i>	<i>Processes</i>	<i>PMO support</i>
High	Transformative project – requires authority wide co-ordination	Overseen by the Transformation Programme Board	Charter, initiation document and evaluation are required and approved by TPB. Other documents may be required	PMO actively engaged in supporting the project
Medium	Project management best practice	Managed within a single directorate	Charter, PID and evaluation are required and logged with PMO	Support provided by PMO
Low	Minimal need for project management	Managed within a single service area	Charter, PID and evaluation are encouraged	Support available from PMO on request

8. High and Medium complexity projects follow a project life cycle (see diagram below).



## Project Dossier:

9. The Committee are asked to consider and review the list of active High and Medium complexity projects, known formally as the Project Dossier. This is given in the Appendix. The information, structured by Workstream, includes:

- Workstream;
- Project reference number and title;
- Current project lifecycle stage, i.e.
  - Discovery (chartered),
  - Initiation (Project Initiation Document, PID / Programme Definition Document, PDD),
  - Prototype (design service),
  - Implementation (transformation),
  - Closure;
- Risk Potential Assessment (RPA), i.e.
  - Medium or
  - High complexity;
- Start and due dates;
- RAG = Current project status as Red, Amber, Green (RAG);
- Select Committee for scrutiny, i.e.
  - O&S – Overview & Scrutiny,
  - CSC – Communities,
  - GSC – Governance,
  - NSC – Neighbourhoods,
  - RSC – Resources,
- Level of completion (as percentage); and
- Project Sponsor and Project Manager.

**Resource Implications:**

None.

**Legal and Governance Implications:**

There are no governance implications from this report.

**Safer, Cleaner and Greener Implications:**

There are no Safer, Cleaner or Greener implications.

**Consultation Undertaken:**

No formal consultation was undertaken in the preparation of this report.

**Background Papers:**

Regular Transformation Programme Highlight Reports to the Cabinet.

**Risk Management:**

There are no Risk Management implications.

**Equality:**

There are no Equality Impact implications.

## Appendix - Project Dossier Governance Directorate

Key:

Current project lifecycle stage, i.e. Discovery (chartered), Initiation (Project Initiation Document, PID / Programme Definition Document, PDD), Prototype (design service), Implementation (transformation), Closure.


Risk Potential Assessment (RPA), i.e. Medium or High complexity.

RAG = Current project status as Red, Amber, Green (RAG).


Select Committee for scrutiny, i.e. O&S – Overview & Scrutiny, CSC – Communities, GSC – Governance, NSC – Neighbourhoods, RSC – Resources.

Generated on: 13 June 2018

### Workstream 1 Customer Experience

Code & Title	Stage	RPA	Start date	Due date	RAG	Progress	Scrutiny	Manager	Latest note
P004a Corporate Communications - External	Hold	High	01-Jun-2016	31-May-2018		63%	GSC	PR & Marketing Officer (GPR01)	Discussion pending at Transformation Programme Board (June) on priorities for Public Relations.

### Workstream 2 Business Culture

Code & Title	Stage	RPA	Start date	Due date	RAG	Progress	Scrutiny	Manager	Latest note
P019 BC/DC Quality Improvement and File Scanning	Implement	Medium	01-Jan-2016	31-Mar-2019		59%	GSC	Service Business Manager (GAD01)	

This page is intentionally left blank



## SCRUTINY



Epping Forest District Council

### **Report to: Governance Select Committee**

**Date of meeting: 3 July 2018**

**Portfolio:** Planning and Governance (Councillor J. Philip)

**Subject:** Key Performance Indicators 2017/18 – Q4 (Outturn) Performance

**Officer contact for further information:** M. Chwiedz (01992 562076)

**Democratic Services Officer:** J. Leither (01992 564756)

---

#### **Recommendations/Decisions Required:**

**that the Select Committee reviews performance against the Key Performance Indicators within its areas of responsibility for 2017/18.**

#### **Executive Summary:**

The Local Government Act 1999 requires that the Council make arrangements to secure continuous improvement in the way in which its functions and services are exercised, having regard to a combination of economy, efficiency and effectiveness.

As part of the duty to secure continuous improvement, a range of Key Performance Indicators (KPI) relevant to the Council's services and key objectives, are adopted each year by the Finance and Performance Management Cabinet Committee. Performance against the KPIs is monitored on a quarterly basis by Management Board and overview and scrutiny to drive improvement in performance and ensure corrective action is taken where necessary.

#### **Reasons for Proposed Decision:**

The KPIs provide an opportunity for the Council to focus attention on how specific areas for improvement will be addressed, and how opportunities will be exploited and better outcomes delivered. It is important that relevant performance management processes are in place to review and monitor performance against the key performance indicators to ensure their continued achievability and relevance, and to identify proposals for appropriate corrective action in areas of slippage or under performance.

#### **Other Options for Action:**

No other options are appropriate in this respect. Failure to monitor and review KPI performance and to consider corrective action where necessary could have negative implications for judgements made about the Council's progress, and might mean that opportunities for improvement are lost.

#### **Report:**

1. A range of thirty-two (32) Key Performance Indicators (KPIs) for 2017/18 was adopted by the Finance and Performance Management Cabinet Committee in March 2017. The KPIs are important to the improvement of the Council's services, and comprise a

combination of some former statutory indicators and locally determined performance measures. The aim of the KPIs is to direct improvement effort towards services and the national priorities and local challenges arising from the social, economic and environmental context of the district.

2. Progress in respect of each of the KPIs is reviewed by the relevant Portfolio Holder, Management Board, and overview and scrutiny at the conclusion of each quarter. This report provides an overview of all KPIs and includes in detail those indicators which fall within the areas of responsibility of the Governance Select Committee
3. A headline end of Q4 (outturn) performance summary in respect of each of the KPIs falling within the Governance Select Committee's areas of responsibility for 2017/18, is attached as Appendix 1 to this report together with details of the specific twelve-month performance for each indicator.

#### **Key Performance Indicators 2017/18 – Quarter 4 Performance**

4. **All indicators** - The overall position for all 32 KPIs at the end of the year was as follows:
  - (a) 21 (66%) indicators achieved the cumulative end of year target;
  - (b) 11 (34%) indicators did not achieve target; although
  - (c) 5 (16 %) of these KPIs performed within the agreed tolerance for the indicator.
5. **Governance Select Committee indicators** – Five (5) of the Key Performance Indicators fall within the Governance Select Committee's areas of responsibility. The overall position with regard to the achievement of target performance at the end of the year for these indicators, was as follows:
  - (a) 3 (60%) indicators achieved target;
  - (b) 1 (20%) indicators did not achieve target; and
  - (c) 1 (20%) indicators performed within its tolerated amber margin.
6. The 'amber' performance status used in KPI reports identifies indicators that have missed the agreed target for the quarter, but where performance is within an agreed tolerance or range (+/-). The KPI tolerances were agreed by Management Board when targets for the KPIs were set in March 2017.
7. The Select Committee is requested to review performance at the end of the year in relation to the KPIs for 2017/18 within its areas of responsibility.

**Resource Implications:** none for this report.

**Legal and Governance Implications:** none for this report; however performance management of key activities is important to the achievement of value for money.

**Safer, Cleaner, Greener Implications:** none for this report.

**Consultation Undertaken:** Relevant Select Committees and the Finance and Performance Management Cabinet Committee.

**Background Papers:** KPI submissions are held by the Performance Improvement Unit.

**Impact Assessments:**

**Risk Management** – none for this report.

**Equality:** none for this report.

# Key Performance Indicators 2017/18 – Quarter 4 Performance Report

Appendix A

Quarterly Indicators		Q1 2017/18			Q2 2017/18			Q3 2017/18			Q4 2017/18			Is year-end target likely to be achieved?
		Target	Value	Status	Target	Value	Status	Target	Value	Status	Target	Value	Status	
GOV004	What percentage of major planning applications were processed within 13 weeks or extension of time date?	90%	100%	✓	90%	100%	✓	90%	100%	✓	90%	100%	✓	Yes
GOV005	What percentage of minor planning applications were processed within 8 weeks or extension of time date?	90%	95.73%	✓	90%	93.67%	✓	90%	93.52%	✓	90%	93.14%	✓	Yes
GOV006	What percentage of other planning applications were processed within 8 weeks or extension of time date?	94%	96.37%	✓	94%	95.44%	✓	94%	95.8%	✓	94%	96.57%	✓	Yes
GOV007	What percentage of planning applications recommended by planning officers for refusal were overturned and granted permission following an appeal ?	20%	11.7%	✓	20%	12.5%	✓	20%	18%	✓	20%	20.3%	⚠	No
GOV008	What percentage of planning applications, refused by Council Members against the recommendation of the planning officers, were granted permission on appeal?	50%	42.8%	✓	50%	68.7%	✗	50%	62.5%	✗	50%	61.5%	✗	No

## Key Performance Indicators 2017/18 Quarter 4 Performance

Report Author: Monika Chwiedz (Senior Project Improvement Officer )

### Reflecting on our performance:

There are 32 KPIs for this year

21(66%) achieved target and 6 (19%) missed target and 5 (15%) performed within their amber tolerance.

Five (5) of the Kev Performance Indicators fall within the Governance Directorate.

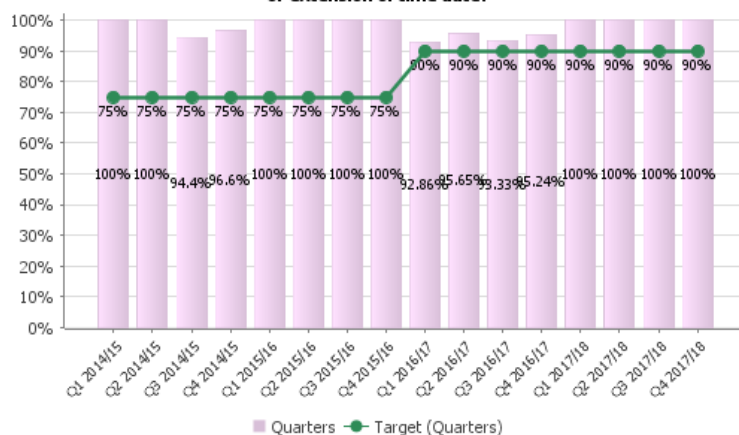
What percentage of major planning applications were processed within 13

### GOV004 weeks or extension of time date?

This indicator ensures that local planning authorities determine major planning applications in a timely manner (within thirteen weeks).



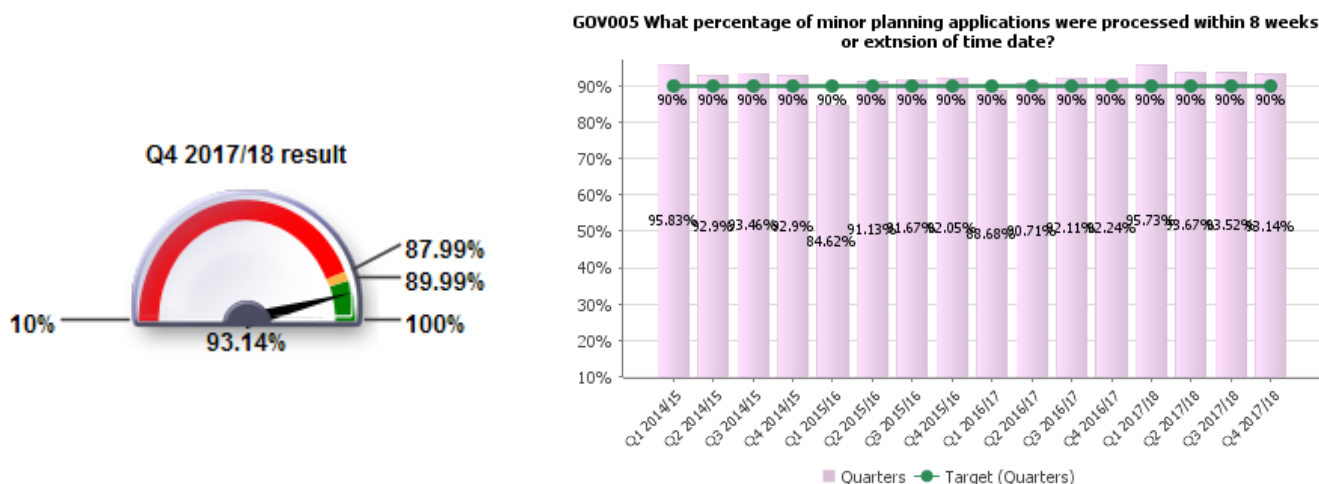
**GOV004 What percentage of major planning applications were processed within 13 weeks or extension of time date?**



**Comment on current performance:** Major type applications represent only a small proportion of the overall number of planning applications the Council receives, but they are more complex and generally are reported to planning committees. All 32 were decided in time frame so the target has been achieved.

## **GOV005** What percentage of minor planning applications were processed within 8 weeks or extension of time date?

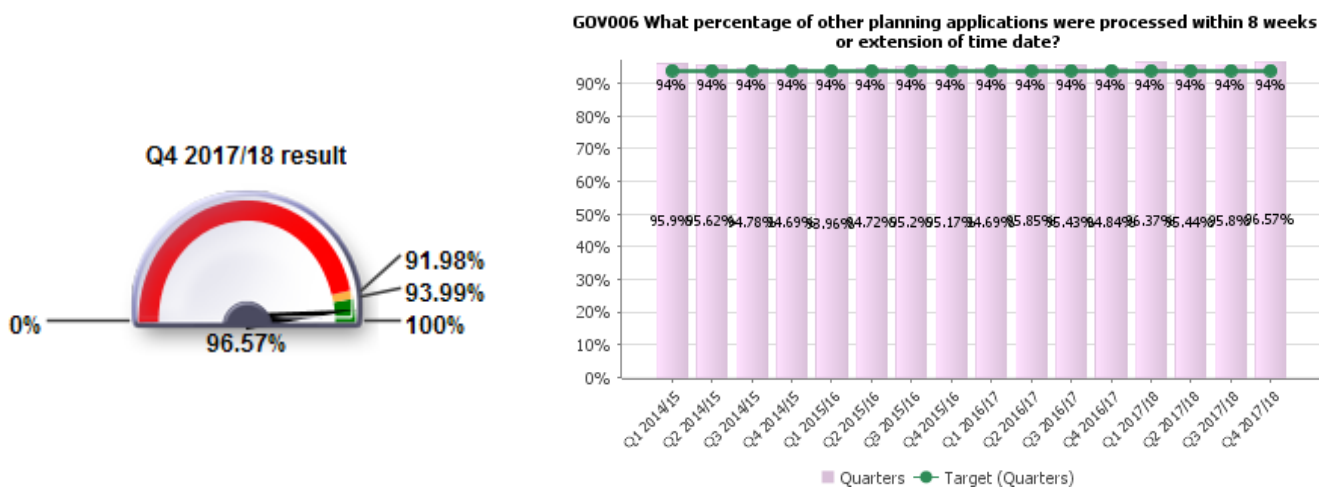
This indicator ensures that local planning authorities determine 'minor' planning applications in a timely manner (within eight weeks).



**Comment on current performance:** This covers planning applications that include 1 to 9 dwellings/pitches per application as well as offices, light industry, general industry, storage, warehousing or retail floor space under 10,000sq m or 1 hectare and other minor developments. 448 out of 481 applications were made in time.

## **GOV006** What percentage of other planning applications were processed within 8 weeks or extension of time date?

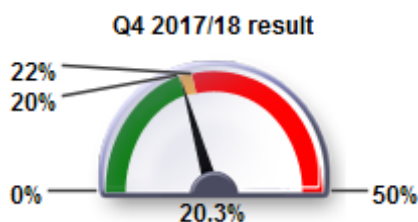
This indicator ensures that local planning authorities determine 'other' planning applications in a timely manner (within eight weeks).



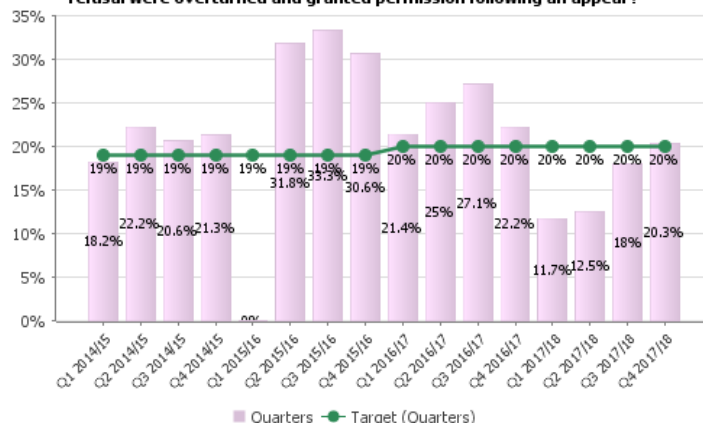
**Comment on current performance:** GOV006 includes the largest subject type applications received (mainly householder extensions) of which 1322 out of 1369 applications were decided in the time frame, which meets the target.

### What percentage of planning applications recommended by planning officers for refusal were overturned and granted permission following an appeal

This indicator is expressed as a percentage of the no. of appeals determined and seeks to assess the levels of applications that may be refused in order to meet development control performance targets. It measures the performance of only Officer Recommendations for refusal of planning permission.



**GOV007 What percentage of planning applications recommended by planning officers for refusal were overturned and granted permission following an appeal?**

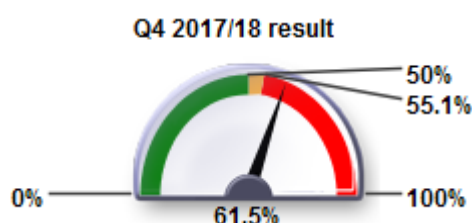


**Comment on current performance:** Of the 59 appeal decisions made by officers under delegated powers or resulting from officer recommendations to refuse planning permission, 12 were allowed on appeal (granted planning permission).

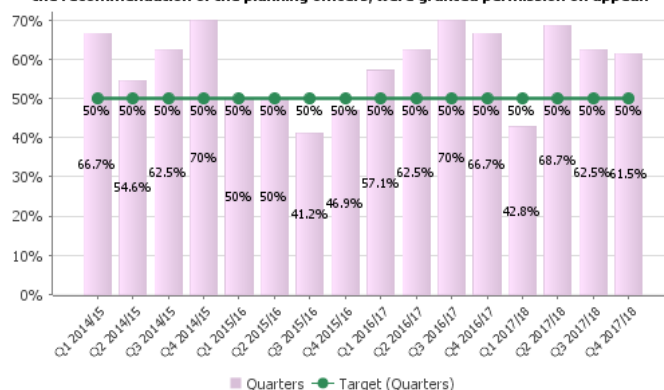
### What percentage of planning applications, refused by Council Members against the recommendation of the planning officers, were granted permission on appeal?

#### GOV008 appeal?

This indicator is expressed as a percentage of the no. of appeals determined and seeks to assess the levels of applications that may be refused in order to meet development control performance targets. It measures the performance of only Officer Recommendations for grant of planning permission, overturned by Members.



**GOV008 What percentage of planning applications, refused by Council Members against the recommendation of the planning officers, were granted permission on appeal?**



**Comment on current performance:** Members decisions to refuse planning permission by reversing officer recommendations on planning applications were supported on appeal in 10 out of 26 cases, but with 16 allowed, the target has not been achieved.....



## SCRUTINY



Epping Forest District Council

### **Report to: Governance Select Committee**

**Date of meeting: 3 July 2018**

**Portfolio:** Leader (Councillor C. Whitbread)

**Subject:** Corporate Plan Key Action Plan 2017/18 – Quarter 4 (Outturn) position

**Officer contact for further information:** Monika Chwiedz (01992 562076)

**Democratic Services Officer:** Jackie Leither (01992 564756)

---

#### **Recommendations/Decisions Required:**

- (1) That the Committee review the outturn position of the Corporate Plan Key Action Plan for 2017/18 in relation to its areas of responsibility; and
- (2) That the Committee identifies any actions arising from the Corporate Plan Key Action Plan for 2017/18 within its areas of responsibility, which require in-depth scrutiny or further report on current progress.

#### **Executive Summary:**

The Corporate Plan is the Council's key strategic planning document, setting out its priorities over the five-year period from 2015/16 to 2019/20. The priorities or Corporate Aims are supported by Key Objectives, which provide a clear statement of the Council's overall intentions for these five years.

The Key Objectives are delivered by an annual action plan, with each year building upon the progress against the achievement of the Key Objectives for previous years. The annual action plans contain a range of actions designed to achieve specific outcomes and are working documents are therefore subject to change and development to ensure the actions remain relevant and appropriate, and to identify opportunities to secure further progress or improvement.

The Corporate Plan Key Action Plan for 2017/18 was adopted by Council at its meeting on 27 September 2016. Progress in relation to individual actions and deliverables is reviewed by the Cabinet and the Overview and Scrutiny Committee on a quarterly and outturn basis.

#### **Reasons for Proposed Decision:**

It is important that relevant performance management processes are in place to review progress against the key objectives, to ensure their continued achievability and relevance, and to identify proposals for appropriate corrective action in areas of slippage or under-performance.

Some actions have cross directorate responsibility. Where this is the case the most appropriate Select Committee is requested to consider the action. This report presents

outturn progress against the Key Action Plan for 2017/18 for actions most appropriately considered by the Governance Select Committee at the end of the year (31 March 2018).

### Other Options for Action:

Actions with cross directorate responsibility could be considered by an alternative Select Committees, or not considered by the Select Committees.

### Report:

1. The Corporate Plan 2015-2020 is the Council's highest level strategic document. It sets the strategic direction for the authority for the five year lifetime of the Plan. It focuses on a number of key areas that the Council needs to focus on during that time and helps to prioritise resources to provide quality services and value for money. These key areas are known as the Corporate Aims and are supported by a set of Key Objectives which represent the Council's high-level initiatives and over-arching goals to achieve the Corporate Aims. The Key Objectives are in turn, delivered via an annual Key Action Plan.
2. The Key Action Plan 2017/18 is populated with actions or deliverables designed to secure progress against each of the Key Objectives during 2017/18. During the subsequent years in the lifetime of the Key Objectives, annual action plans will be developed which build on progress achieved during preceding years.
3. The annual action plans are working documents and are therefore subject to change and development to ensure that the actions remain relevant and appropriate, and to identify opportunities to secure further progress or improvement.
4. Progress against the Key Action Plan is reviewed on a quarterly basis to ensure the timely identification and implementation of appropriate further initiatives or corrective action where necessary. Quarter 4 (outturn) progress against the individual actions of the 2017/18 Key Action Plan, is as below: In reporting outturn progress, the following 'status' indicators have been applied to the to individual actions:

**Achieved (Green)** - specific deliverables or actions were completed or achieved in accordance with in-year targets;

**Under Control (Amber)** – expected to achieve target in the next 6 months; or

**Behind Schedule (Red)** - specific deliverables or actions were not completed or achieved in accordance with in-year targets.

There are 50 actions in the Key Action Plan 2017/18. At the end of the year:

• Achieved or On Target:	28 (56%)
• Under Control:	15 (30%)
• Behind Schedule:	6 (12%)
• Pending:	<u>1 (2%)</u>
Total	50 (100%)

Eight (8) actions fall within the areas of responsibility of the Governance Select Committee. At the end of the year:

- 5 (63%) of these actions have been achieved at year end;
- 1 (12%) of these actions are expected to achieve target in the next 6 months; and
- 2 (25%) of these actions are behind schedule.

5. The Committee is requested to review the outturn position of the Corporate Plan Key Action Plan for 2017/18 as set out in Appendix A of this report, and identify any actions that require more in-depth scrutiny or further progress reports.
6. This report was also considered by the Cabinet on 14 June 2018 and the Overview and Scrutiny Committee on 4 June 2018.

**Resource Implications:**

None for this report.

**Legal and Governance Implications:**

None for this report. Performance monitoring contributes to the delivery of value for money.

**Safer, Cleaner, Greener Implications:**

None for this report.

**Consultation Undertaken:**

The performance information set out in this report has been submitted by each responsible service director.

**Background Papers:**

Relevant documentation is held by responsible service directors.

**Impact Assessments:**

**Risk Management**

None for this report.




**Equality:**

None for this report.


This page is intentionally left blank

**Aim 1. To ensure that the Council has appropriate resources, on an ongoing basis, to fund its statutory duties and appropriate discretionary services whilst continuing to keep Council Tax low**

**Objective 1.a. To ensure that the Council's Medium Term Financial Strategy (MTFS) plans to meet the Council's financial and service requirements for any forward five year period, whilst minimising any reliance on Government funding**

Action	Lead Directorate	Target Date	.	Status	Progress notes
3. Deliver savings and generate income identified for 2017/18 as approved by the Cabinet	Management Board	31-Mar-2018		Achieved	Q4 - Savings still on track
					Q3 – Savings still on track
					Q2 - savings still on track
					Q1 (2017/18) Langston Road will open this quarter. Savings initiative on track.
4. Prepare to deliver savings and generate income for 2018/19 within the Medium-Term Financial Strategy	Management Board	31-Mar-2018		Achieved	Q4 - Initial phase of People Strategy agreed by Council which will deliver £360k savings per annum.
					Q3 – Not yet due, will be addressed in budget process for 2018/19
					Q2 – Not yet due, will be addressed in budget process for 2018/19
					Q1 - Not yet due, will be addressed in budget process for 2018/19
5. Develop additional business cases, including the use of the 'Invest to Save' Fund, to address the need for net savings and income generation in subsequent years	Management Board	30-Sep-2017		Achieved	Q4 - Invest to save budget now incorporated within Transformation Programme and will be used to deliver transformation strategy.
					Q3 – Invest to Save bids totalling £180k have been approved for a number of projects which will generate savings or additional income, e.g. replacement of LED lighting £70k, Lea Valley and Vere Road pay and display car parks £70k.
					Q2 – Not yet due
					Q1 - Not yet due.

**Objective 1.c. To explore appropriate opportunities to make savings and increase income through the shared delivery of services with other organisations, where such arrangements would provide improved and/or more cost effective outcomes**

Action	Lead Directorate	Target Date	.	Status	Progress notes
3. Evaluate the potential to expand the provision of legal services provided to other authorities, to generate income	Governance	31-Dec-2017		Behind Schedule	Q4 - No further progress has been achieved following recent staffing changes. The Legal Service remains engaged in delivering a full workload without taking on further work.
					Q3 - Setting up those meetings has proved difficult over Christmas break but meetings with 2 neighbouring authorities are planned for early in the New Year.

					Q2 - meeting with senior managers of neighbouring councils to discuss the potential for a fully integrated partnership working or sharing of resources
					Q1 - Retained the Lexcel accreditation to assist the marketing of the legal service. Networked through attendance at various special interest groups within the public law partnership.



**Aim 3. To ensure that the Council adopts a modern approach to the delivery of its services and that they are efficient, effective and fit for purpose**

**Objective 3.a. To have efficient arrangements in place to enable customers to easily contact the Council, in a variety of convenient ways, and in most cases have their service needs met effectively on first contact**

Action	Lead Directorate	Target Date	.	Status	Progress notes
5. Deliver projects of legislative importance, to ensure our services for customers are fit-for-purpose.:	Management Board	31-Mar-2018	✓	Achieved	Q4 - As per Q3. Q3 – as per Q2 Q2 - as per Q1 Q1 - Election and Accounts Closure ran smoothly. internal Audit Programme approved and progressing in line with plan.

**Objective 3.b. To utilize modern technology to enable Council officers and members to work more effectively, in order to provide enhanced services to customers and make Council services and information easier to access**

Action	Lead Directorate	Target Date	.	Status	Progress notes
1. Trial flexible working for Building Control and Development Control officers through the use of new technologies	Governance	31-Mar-2018	●	Under Control	Q4 - Initial trial and evaluation completed, to progress this fully it will be necessary to upgrade the back office system to the new Assure standard. TPB agreed to delay the transformation project for mobile working to await this. Work is continuing separately on business processes to ensure that they work well with the capabilities offered by this system and other electronic methods of working. Q3 - In accordance with the ICT strategy discussions continue as to the appropriate mobile devices, which should be in place by the end of the year. Q2 - development management and building control senior officers have met with ICT colleagues i order to agree implementation plans and dates and raise any other issues arising. Q1 - Await initial feedback from 2 authorities who have gone live with the system we wish to trail and then ICT indicate that the commencement of the the in-building control is imminent.

4. Produce a plan to improve the management of information, to protect public data and comply with legislation	Governance	31-Mar-2018		Achieved	<p>Q4 - GDPR Working Group continue to monitor and press forward with an action plan to ensue that the Council meets its statutory requirements. Reviews of policies are continuing to targets.</p> <p>Q3 - The work of the GDPR continues to coordinate directorate work to meet the requirements of the regulation by the 25th May 2018.</p> <p>Q2 - the working group has met on three occasions, developed an action plan and continues to report to CGG on progress towards implementation on 25 May 2018. Appropriate officers are being trained and cascading that training through leadership team and to individual management teams.</p> <p>Q1 - The Chief Internal Auditor chairing a group looking at our information asset register which will feed into the new working group on general data protection regulations, chaired by a director of governance on 24th July.</p>
6. Deliver the Corporate Communications project, to increase customer recognition of our services and improve communications with our customers	Governance	31-Mar-2018		Behind Schedule	<p>Q4 - The final version of the standards has been written. Progress has been delayed due to competing priorities of the project manager.</p> <p>Q3 - Best practise standards for the authority are now in draft form and will be finalised by the due date. Further work will be undertaken, once this has been completed, to refresh our corporate design guide</p> <p>Q2 - PR has attended Management Board to agree a new format for reporting its work and for identifying communications needs throughout the years for significant projects.</p> <p>Q1 - The communications PR team has recently concentrated on both the election and the Local Plan and the future focus will be to produce audit and analysis of our communications.</p>

This page is intentionally left blank