

WRA - annual reports/  
corporate plans

(Annex 1)

**CORPORATE PERFORMANCE  
MONITORING REPORT**

**QUARTER 1 (APRIL - JUNE) 1996/7**

**Produced : September 1996**

**Corporate Planning Section  
Head Office**

ENVIRONMENT AGENCY



122732

## Explanatory Notes

This document sets out a selection of indicators of the Agency's Performance during its first quarter of operation.

For comparison purposes, actual performance for the first quarter of 1996/97 is measured against either a target published in the 1996/97 Corporate Plan, a national standard of service, or against an actual figure for a previous period.

Full year actuals for these and a wider suite of measures will be published in the 1996/97 Annual Report and 1997/98 Corporate Plan.

The reporting period is based on the Agency's *financial year*. This first quarter report covers the period from 1 April 1996 through 30 June 1996.

The report is arranged in the following sections :

### **SECTION 1: Pollution Prevention & Control**

- (a) Water Quality
- (b) Integrated Pollution Control
- (c) Radioactive Substances
- (d) Waste Regulation

### **SECTION 2: Water Management**

- (a) Water Resources
- (b) Flood Defence
- (c) Fisheries, Recreation, Conservation & Navigation

### **SECTION 3: Multifunctional**

#### Key to Regional legend used in graphics :

NE	=	North East
NW	=	North West
WL	=	Welsh
MD	=	Midland
AN	=	Anglian
TH	=	Thames
SO	=	Southern
SW	=	South West
ALL	=	aggregate total of all regions

The order in which the regions have been presented within the graphs is on a North-South geographical basis rather than alphabetical.

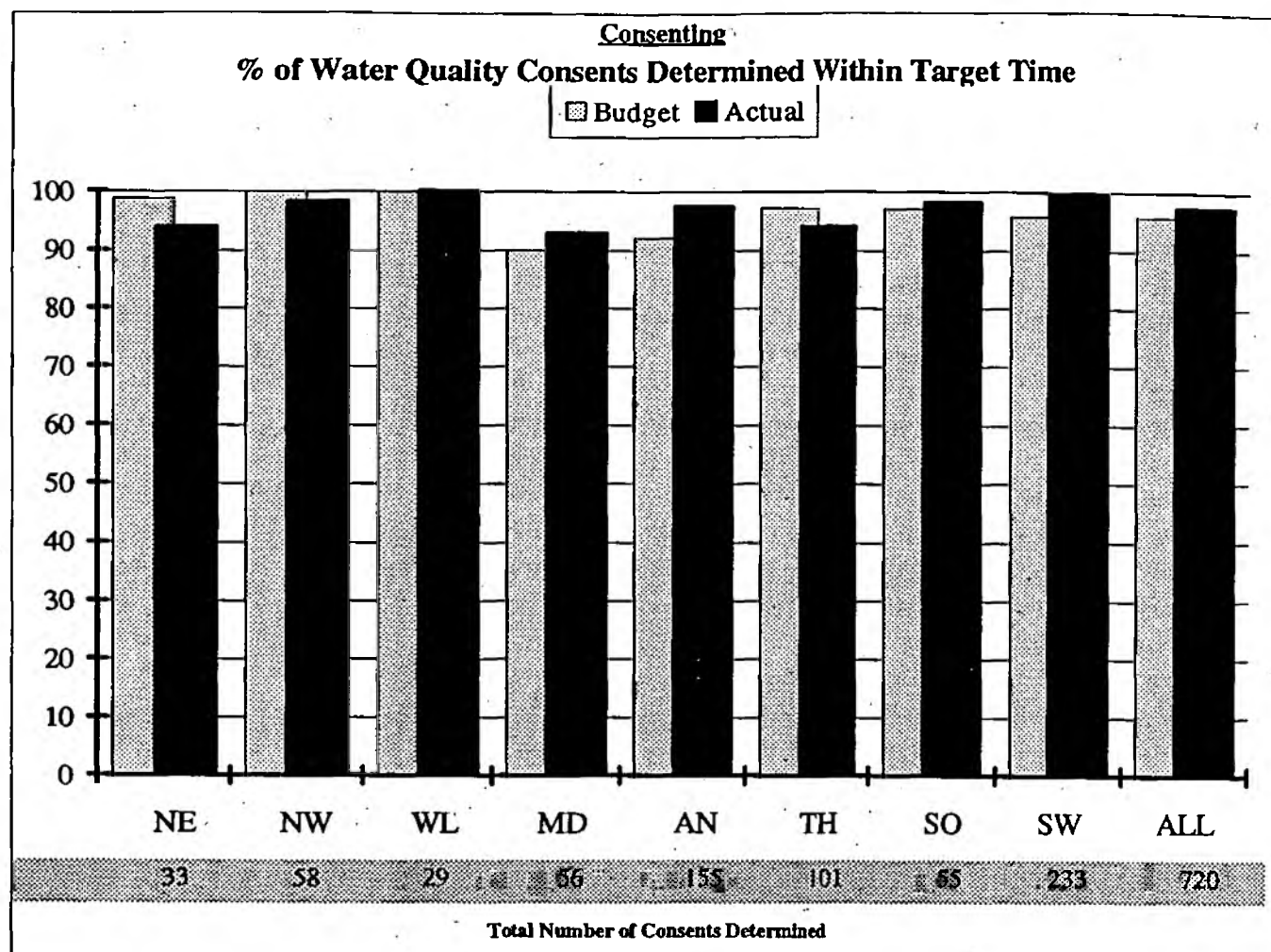
## SECTION 1

### **POLLUTION PREVENTION & CONTROL**

#### **(a) Water Quality**

	page
<b><u>AUTHORISATION</u></b>	
% discharge consents determined within target time	1.1
number & age profile of consents awaiting determination	1.2
<b><u>INSPECTION/MONITORING</u></b>	
Consented Discharges	
% achievement of routine inspection monitoring programme	1.3
% compliance with discharge consent conditions :	
WSpLc STWs	1.4
Significant Private STWs	1.5
Trade Discharges	1.6
Monitoring of Controlled Waters	
% achievement of routine sampling programme	1.7
<b><u>ENFORCEMENT</u></b>	
No. of Prosecutions Concluded	1.8
<b><u>POLLUTION INCIDENTS</u></b>	
No. of Cat 1 pollution incidents; % attended in target time	1.9
No. of Cat 2 pollution incidents; % attended in target time	1.10
<b><u>NATIONAL LABORATORY SERVICE (NLS)</u></b>	
% of water quality samples analysed / reported in target time	1.11
% of analyses meeting specified quality requirements	1.12

## Pollution Prevention & Control



**Introduction:** The above graph looks at the percentage of discharge consents determined by the Agency within target time ie within the 4 month statutory period, or for more complex applications, within an extended period agreed with the applicant at the time of application. This measure forms one of the Agency's Customer Charter suite of measures.

**Comment:** Nationally, 97.4% of applications were determined within target time against an annual budget target of 95.8%. By way of further comparison, published results for the full year 1994/95 showed a performance of 96% in target time and in 1993/94 a performance of 94%.

Most regions met or exceeded their budget targets. However, there were marginal shortfalls in North East, Thames and North West regions.

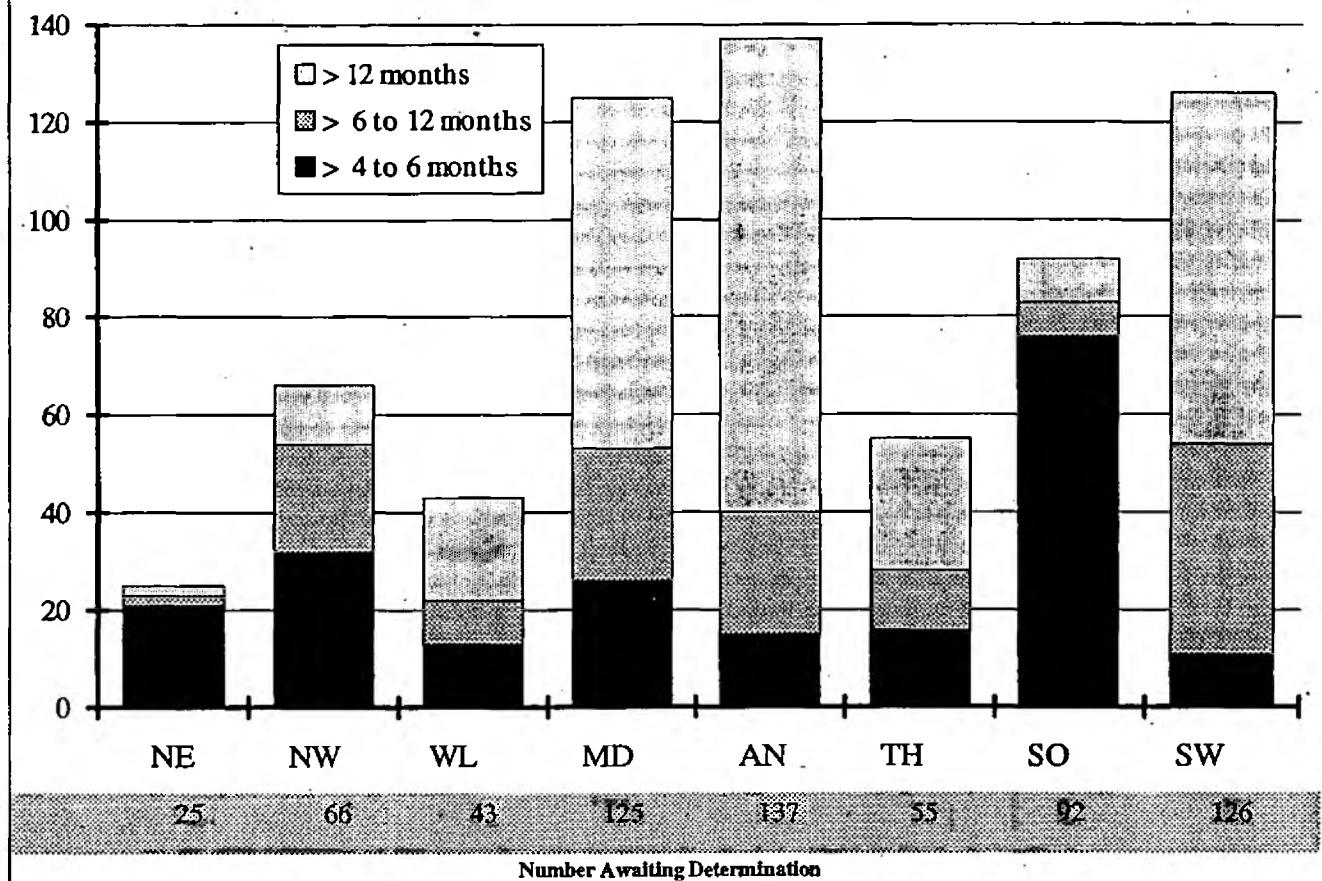
A total of 720 consents were determined during the quarter. In simple number terms, the regional distribution of workload varied considerably with South West (233) and Anglian (155) determining a relatively high proportion of the total whilst Welsh (29) and North East (33) determined relatively few. However, the data is not sufficiently refined to distinguish between the relative complexity of applications, which will, of course, affect the size of the workload.

**Action:** Small improvements in North East, North West and Thames regions to bring performance up to budget targets. Longer term, all regions should aim to fully meet the 100% Customer Charter commitment.

## Pollution Prevention &amp; Control

## Consenting

## Number and Age Profile of Consents Awaiting Determination



**Introduction:** The above chart examines the number and age profile of discharge consent applications that were more than 4 months old (statutory period requirement) and were still awaiting determination at period end.

Lengthy determinations are often due to the technically complex nature of proposed schemes and/or the need to seek additional information from applicants, often at several stages. In this respect, the backlog does not necessarily compromise the Agency's Customer Charter commitment in relation to consent determination. Many complex applications will usually have an extended time period for determination agreed with the applicant; and the countdown time for determining an application does not begin until applicants have provided all the requisite information.

**Comment:** A total of 669 applications were outstanding at the end of the quarter. 210 were between 4 and 6 months old, 147 were between 6 and 12 months old and the remaining 312 were greater than 12 months old. All regions had some outstanding applications but a large proportion were concentrated in Anglian, South West and Midland regions.

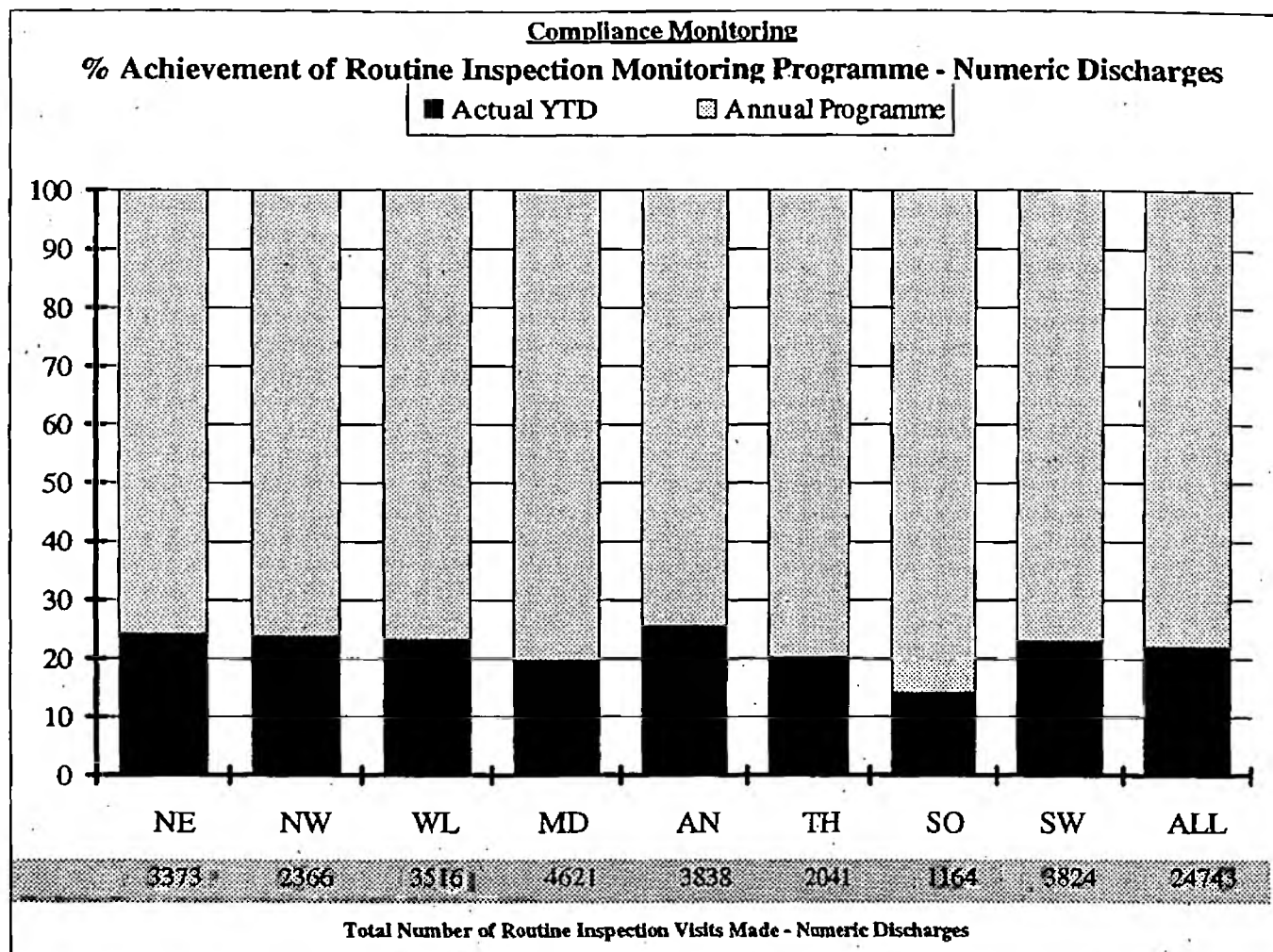
Over time, the size of the backlog has been considerably reduced. At the end of 1993, 1621 applications were outstanding; at the end of 1994, 1594 were outstanding; whilst at the end of 1995, the backlog had reduced to 606 applications.

Over the last quarter, the biggest changes in the size of the backlog were in South West (down from 204 in the previous quarter to 126 in the current quarter) and in Southern (up from 22 to 92).

**Action:** Notwithstanding the above comment about Customer Charter obligations, in the interest of providing a high quality service to customers, continuing efforts are required to deal with outstanding applications in all regions. For example, some of the earlier success in reducing the size of the backlog has been achieved by employing temporary staff to handle the routine workload thereby freeing up the time of experienced staff to concentrate on complex applications.

Southern to take note of the increase, from the preceeding quarter, in the relative size of its backlog.

## Pollution Prevention &amp; Control



**Introduction:** It is the responsibility of the Agency to monitor consented discharges for compliance with consent conditions and, thereafter, to take appropriate action, where necessary, to enforce compliance. Setting consents and monitoring compliance is the primary mechanism used by the Agency to regulate and improve water quality.

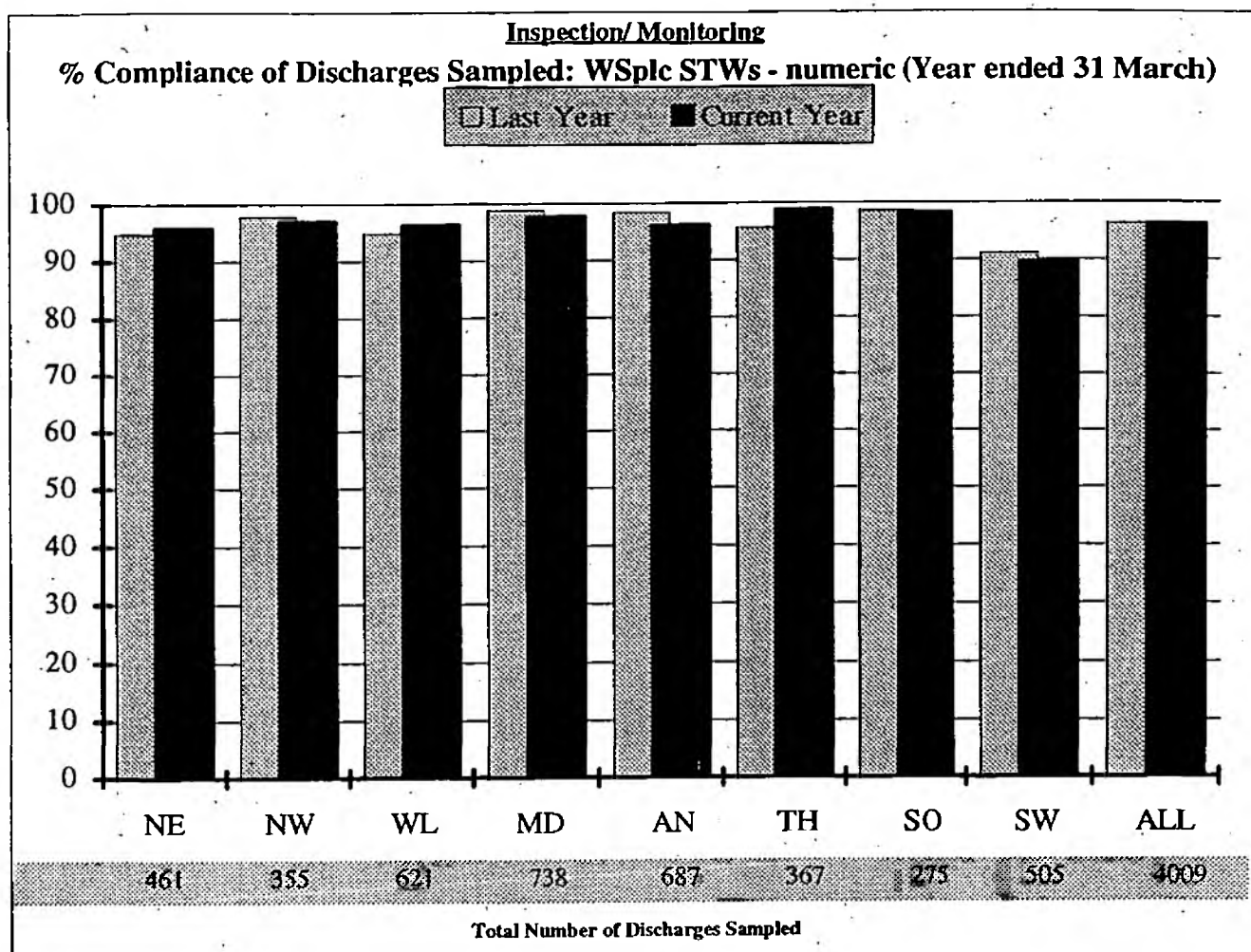
The above chart looks at the year to date attainment of the annual routine effluent sampling programme for consented discharges subject to numeric consent conditions. The programme includes effluent samples taken for consent compliance purposes, and routine tripartite samples taken at STW's for 95 percentile consent enforcement purposes.

Programme inspection frequency in each region is primarily determined by the number and size (in terms of daily volume) of discharges together with an assessment of their environmental impact on receiving waters.

**Comment:** At the end of the first quarter 22.1% of the national annual programme had been completed. This is less than the 25% which might be expected at this point, assuming an even distribution of the programme throughout the year. Anglian (25.6%) was the only region to achieve at least 25% of its annual programme by the end of the first quarter. All other regions were behind. Particularly, Southern and Midland regions which were under 20%.

**Action:** All regions, with the exception of Anglian, need to step up inspections in subsequent quarters, with a view to achieving their planned annual targets.

## Pollution Prevention &amp; Control



**Introduction:** The above graph shows compliance with consent conditions for Water Company Sewage Treatment Works, subject to numeric consents, which were sampled over the 12-monthly rolling period ended 31 March 1996. A comparison with the corresponding period of the previous year is provided.

Within the numeric consent, criteria are set on the quality, concentration or load of any substance, and on the discharge flow. In most cases discharges operated by the Water Companies must adhere to 95 Percentile limits. This means consent criteria must be met 95% of the time.

**Comment:** Nationally, 96% of discharges inspected were found to be compliant, slightly below the 96.3% compliant in the corresponding period of the previous year.

Year-on year compliance declined marginally in 5 regions and increased in 3 regions. The largest decline was in Anglian, down from 98.4% to 96.1%. The largest increase was in Thames, up from 95.6% to 98.6%.

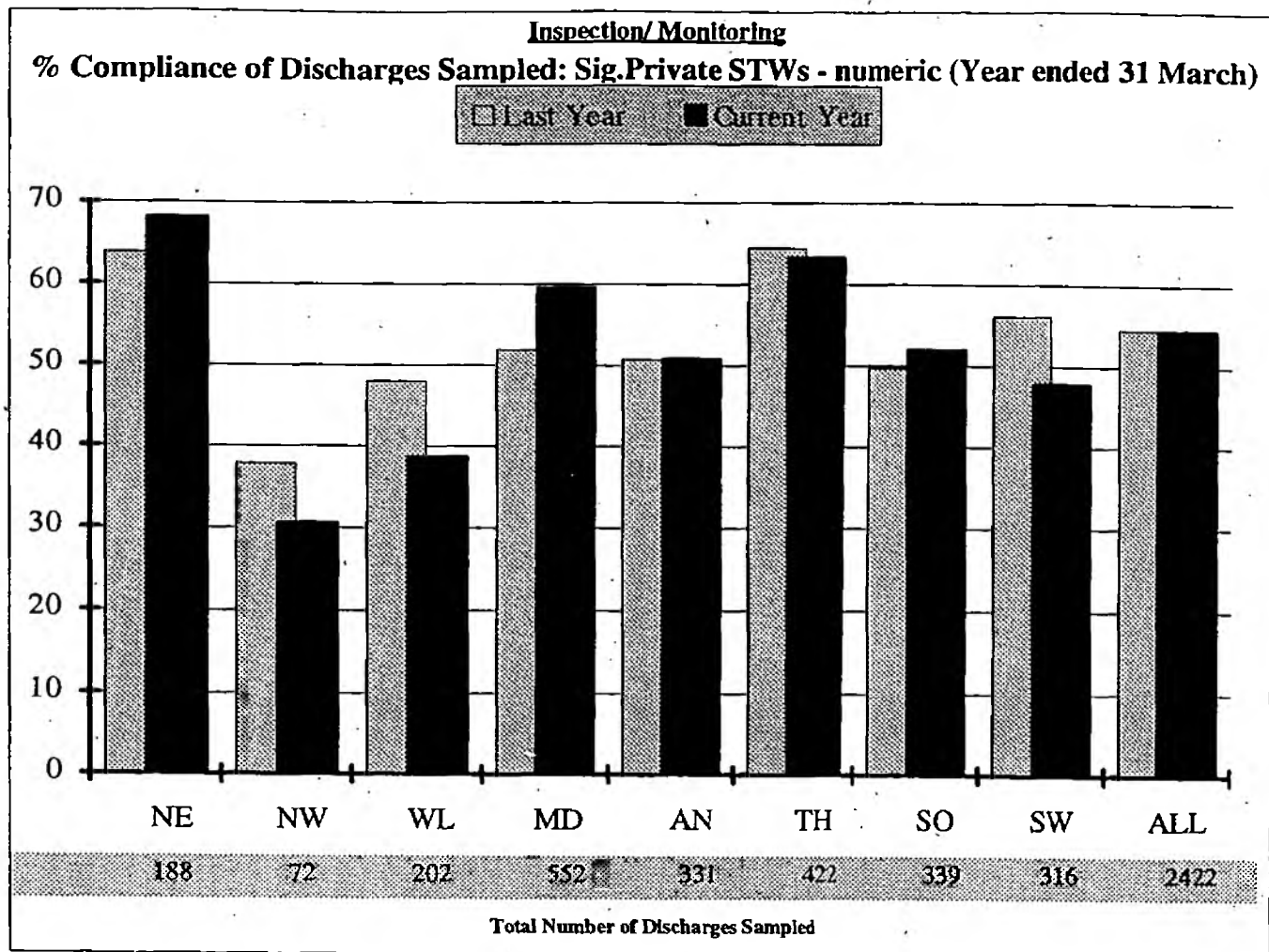
Looking at longer term trends in performance, in 1990, 90% of WSpLc discharges complied with numeric consent conditions. However, because consent conditions change as new standards are introduced, it is not possible to compare true changes in discharge quality over time. All that can be compared is compliance with the standards in force at the time i.e. compliance with the legal requirement.

Similarly, the data should be used carefully when comparing compliance between regions. Consent conditions are not consistent nationally but are a reflection of inherited and locally set conditions subject to regional-based policies. Differences between regions are also to be expected given the differences in topography, demography and agricultural and industrial infrastructures.

**Action:** Anglian to investigate reasons for the decline in compliance.



## Pollution Prevention &amp; Control



**Introduction:** The above graph shows compliance with consent conditions for Significant Private STWs, subject to numeric consents, which were sampled over the 12-monthly rolling period ended 31 March 1996. A comparison with the corresponding period of the previous year is provided.

Unlike Sewage Treatment Works operated by the Water Companies, private STWs are subject to numeric consent conditions with Absolute Limits. These are numerical standards which must never be exceeded.

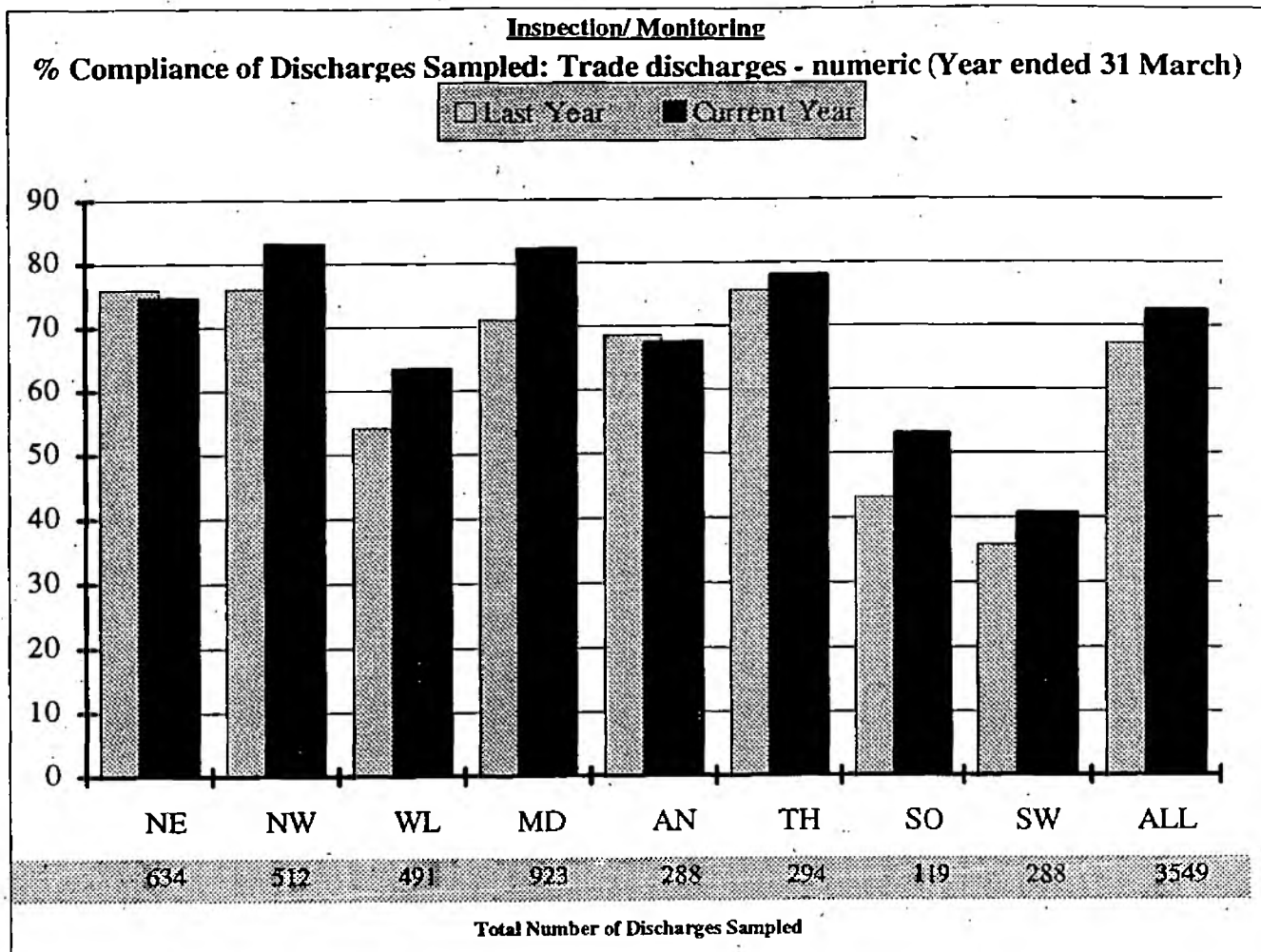
**Comment:** Nationally, 54.4% of discharges inspected were found to be compliant. This is almost exactly the same as in the corresponding period of the previous year. Within the overall total, however, year-on-year compliance decreased quite markedly in North West, Welsh and South West regions.

As with the previous graph, the data should be used carefully when comparing compliance between regions. Consent conditions are not consistent nationally but are a reflection of inherited and locally set conditions subject to regional-based policies. Differences between regions are also to be expected given the differences in topography, demography and agricultural and industrial infrastructures.

**Action:** North West, Welsh and South West regions to investigate reasons for the decline in compliance.



## Pollution Prevention & Control



**Introduction:** The above graph shows compliance with consent conditions for Trade Discharges, subject to numeric consents, which were sampled over the 12-monthly rolling period ended 31 March 1996. A comparison with the corresponding period of the previous year is provided.

As with Significant Private STWs, Trade Discharges (discharges made by Industry, Trades and Commerce) are subject to Absolute Limit consent conditions.

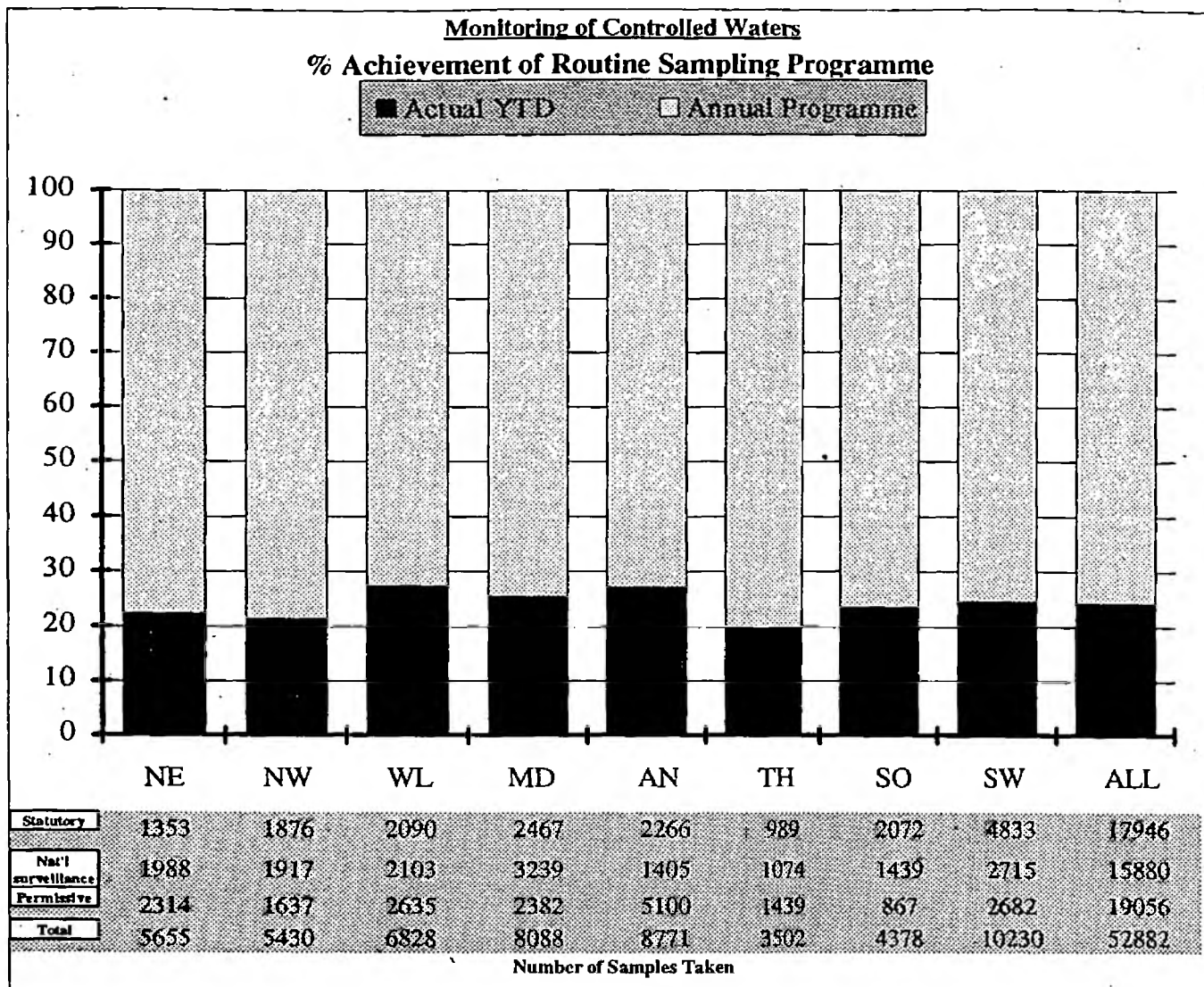
**Comment:** Nationally, 72.4% of Trade discharges inspected were found to be compliant. This is an improvement on the 67.3% compliant in the corresponding period of the previous year.

Year-on-year compliance improved in 6 regions with only a small decrease in North East and Anglian regions.

As with the previous graph, the data should be used carefully when comparing compliance between regions. Consent conditions are not consistent nationally but are a reflection of inherited and locally set conditions subject to regional-based policies. Differences between regions are also to be expected given the differences in topography, demography and agricultural and industrial infrastructures.

**Action:**

## Pollution Prevention &amp; Control



**Introduction:** The above chart looks at the year-to-date attainment of the annual sampling programme for controlled waters (i.e. all non-effluent sampling). It comprises chemical, microbiology and biology samples whether taken for statutory, national surveillance or permissive (local operational) monitoring purposes.

**Comment:** Nationally, just over 24% of the annual monitoring programme had been achieved by the end of the first quarter. This is in line with expectations, given an equal distribution of the programme over the year.

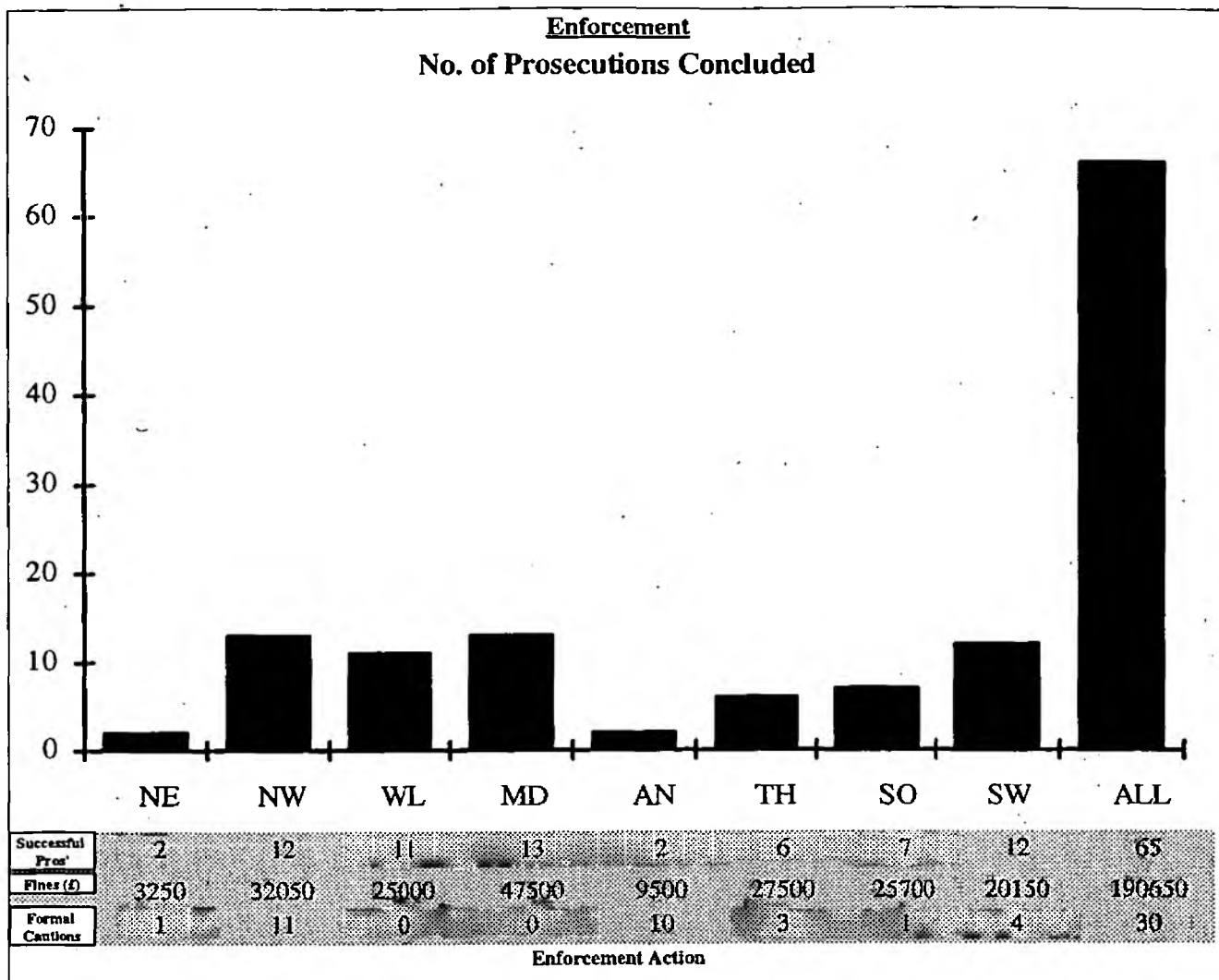
Regionally, North West (21.5%), and Thames (19.8%) appear to be slightly behind compared with other regions.

The table under the graph shows the number of samples taken by each region under each component of the programme. Whilst there is considerable variation, this, in part, reflects differences in workload requirements between regions. Nevertheless, the level of permissive sampling in Anglian region continues to appear high in relation to other regions.

**Action:** North West and Thames to take note of progress with programme to date.

Anglian to review relative scale of permissive (local operational) sampling activity compared with that in other regions.

## Pollution Prevention &amp; Control



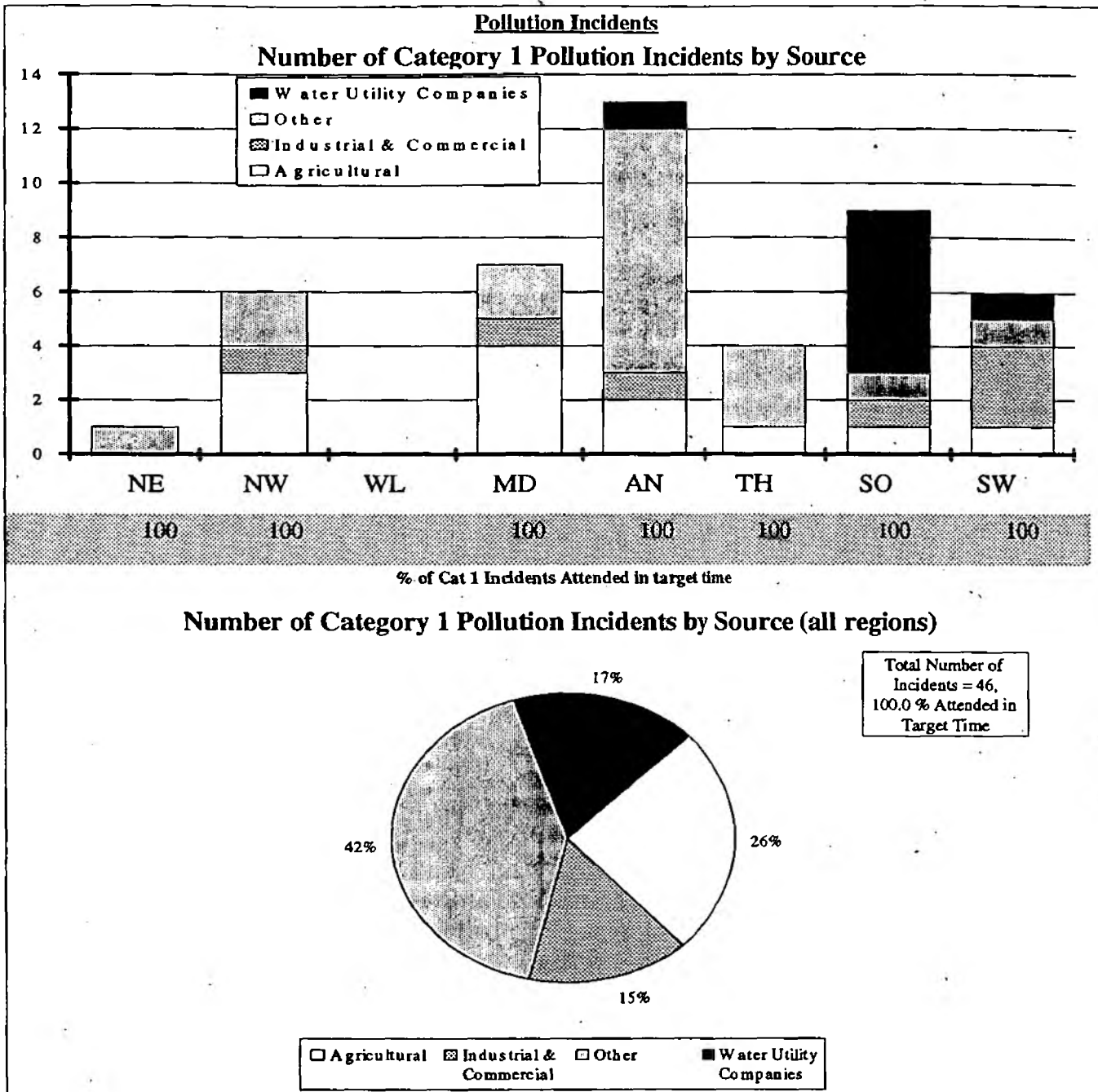
**Introduction:** The above graph looks at the number of water quality prosecutions concluded by the Agency during the first quarter of 1996/97. Most, if not all of these will have been initiated by the NRA for offences which occurred in previous periods.

Whilst it is Agency policy to take legal action against polluters who blatantly or persistently offend, the Agency's first aim is to prevent pollution from occurring in the first place. This it aims to achieve through targeted education campaigns and pollution prevention site visits and by using new powers to serve enforcement notices when the likelihood of pollution is uncovered.

**Comment:** Nationally, 66 prosecutions were concluded in the quarter. 65 of these were successful and resulted in total fines of £190,650. In addition to court action, 30 formal cautions were issued and accepted by offenders. No Enforcement Notices were issued.

**Action:**

## Pollution Prevention & Control



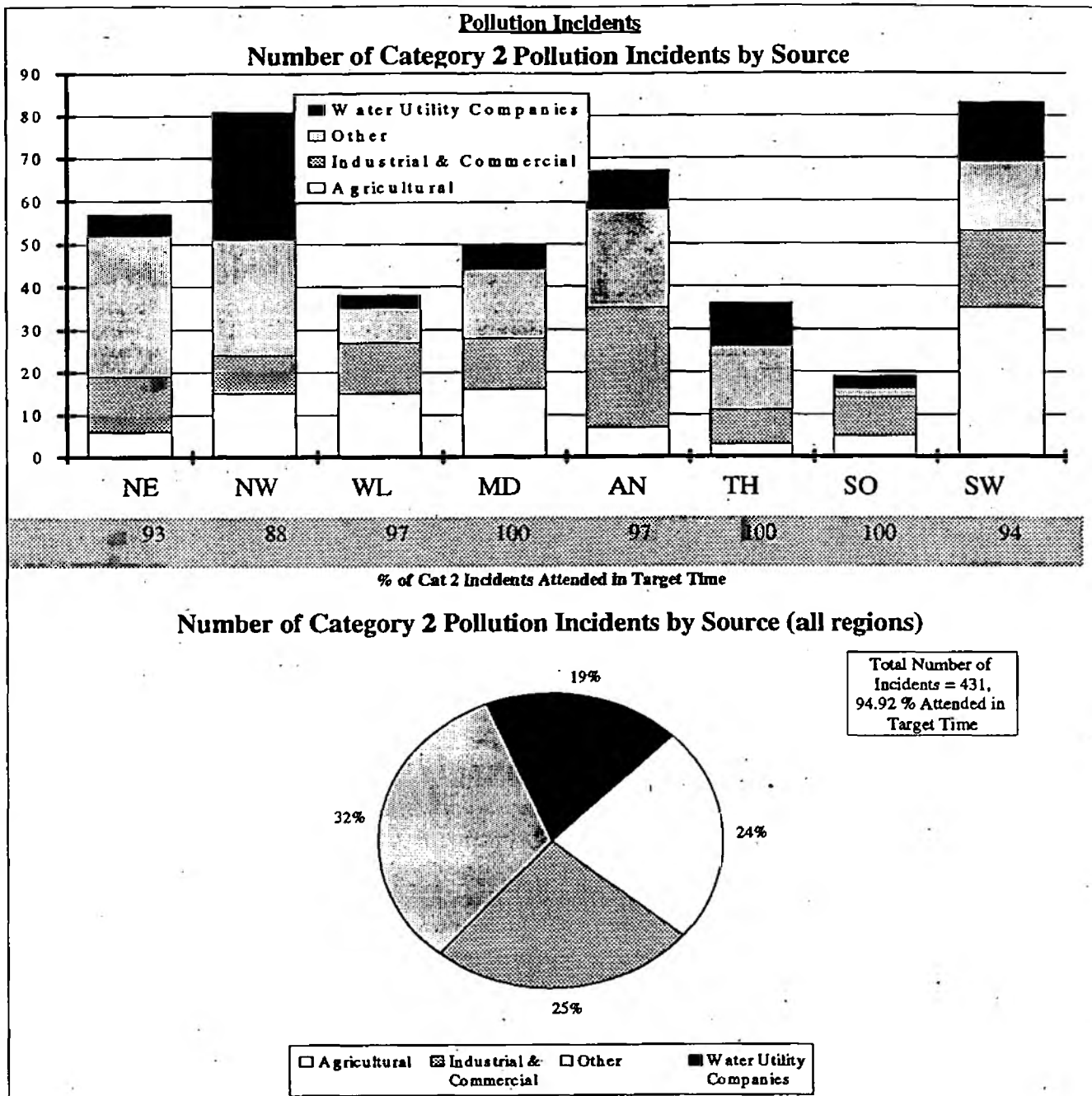
**Introduction:** The above charts examine the occurrence of major (Category 1) pollution incidents. The shaded block below the top graph shows the operational response for attending the incidents within the target time set out in the Customer Charter i.e. to attend all pollution emergencies within 2 hours of reporting during normal working hours and within 4 hours at all other times. A speedy response is often crucial in limiting the environmental impact of pollution incidents.

**Comment:** In total there were 46 Category 1 incidents in the quarter. This compares with 53 in quarter 1 of 1995/96, and 59 in quarter 1 of 1994/1995. Regionally the distribution of incidents varied from 0 in the Welsh region to 13 in the Anglian region.

100% of all incidents were attended within target time. By comparison, an average of 97% of incidents were attended in target time in the full year of 1995/96, and 93% in the full year of 1994/95.

**Action:**

## Pollution Prevention &amp; Control



**Introduction:** The above charts examine the occurrence of Category 2 pollution incidents. The shaded block below the top graph shows the operational response for attending the incidents within the target time set out in the Customer Charter ie. to attend all pollution emergencies within 2 hours of reporting during normal working hours and within 4 hours at all other times. A speedy response is often crucial in limiting the environmental impact of pollution incidents.

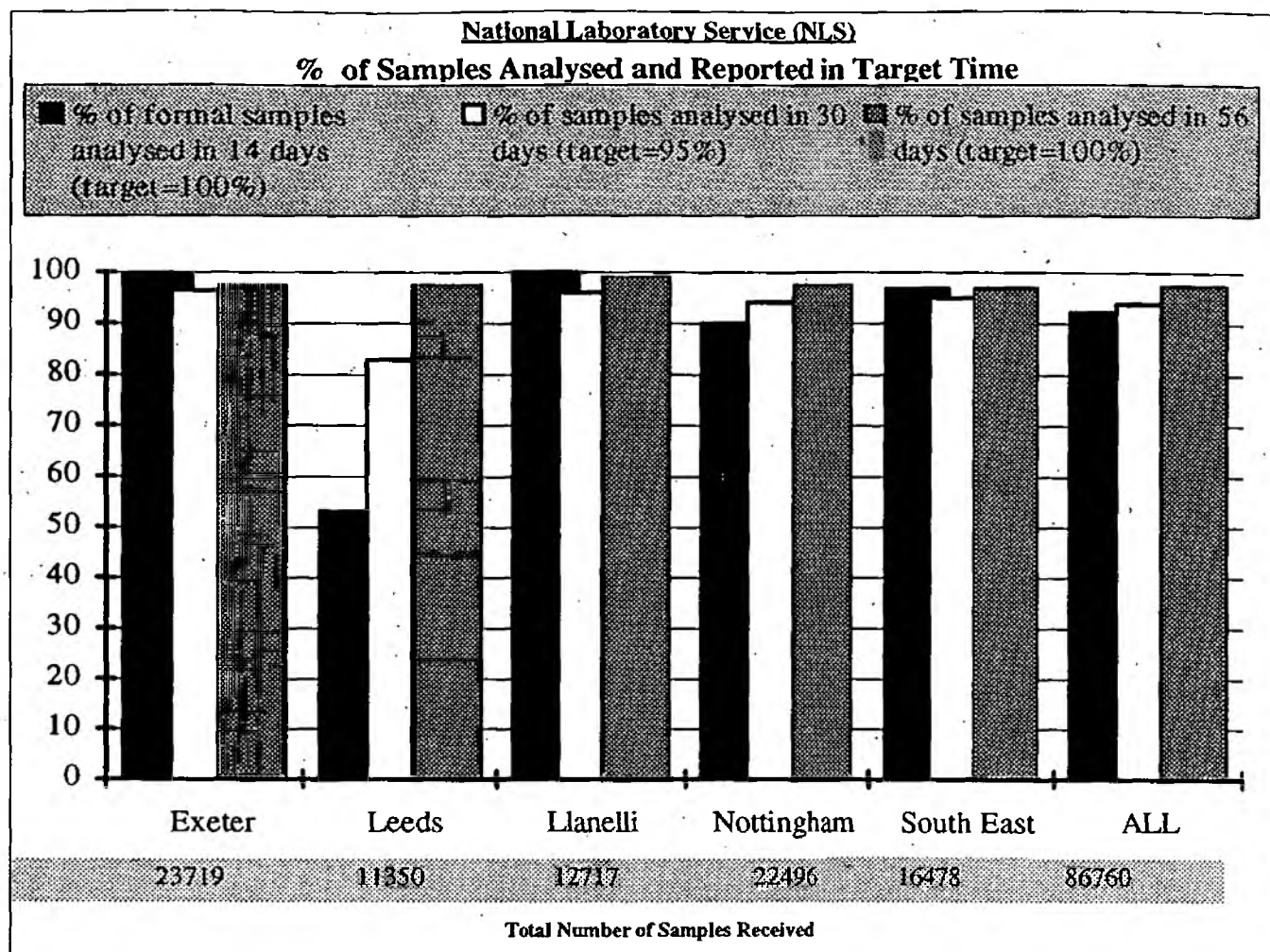
**Comment:** In total, there were 431 Category 2 incidents in the quarter. This compares with 631 in quarter 1 of 1995/96. Regionally the distribution varied from 19 incidents in Southern region to 81 in North West region.

95% of incidents were attended within target time. This is the same performance rate achieved on average in the full year of 1995/96. 5 out of 8 regions attended 97% or more of incidents within the target time. Response rates in South West (94% attended in target time), North East (93% attended in target time) and North West (88% attended in target time) were behind those achieved in other regions.

**Action:** Improvements in response rates in the South West, North East and North West regions are needed to bring performance up to the level attained by other regions.



## Pollution Prevention &amp; Control



**Introduction:** The above chart looks at the percentage of water quality laboratory samples analysed by the National Laboratory Service (NLS) which were fully analysed and reported to Agency regional clients within specified target times. Achievement of target turnaround time is important not least because there is a statutory requirement for the Agency to place sample results on the public register within 60 days of a sample being taken. This target is also one of our Customer Charter commitments.

The graph shows details of turnaround times for each laboratory site and for the NLS in total. Results for the laboratories at Reading and Waterlooville have been combined and reported under the description "South East".

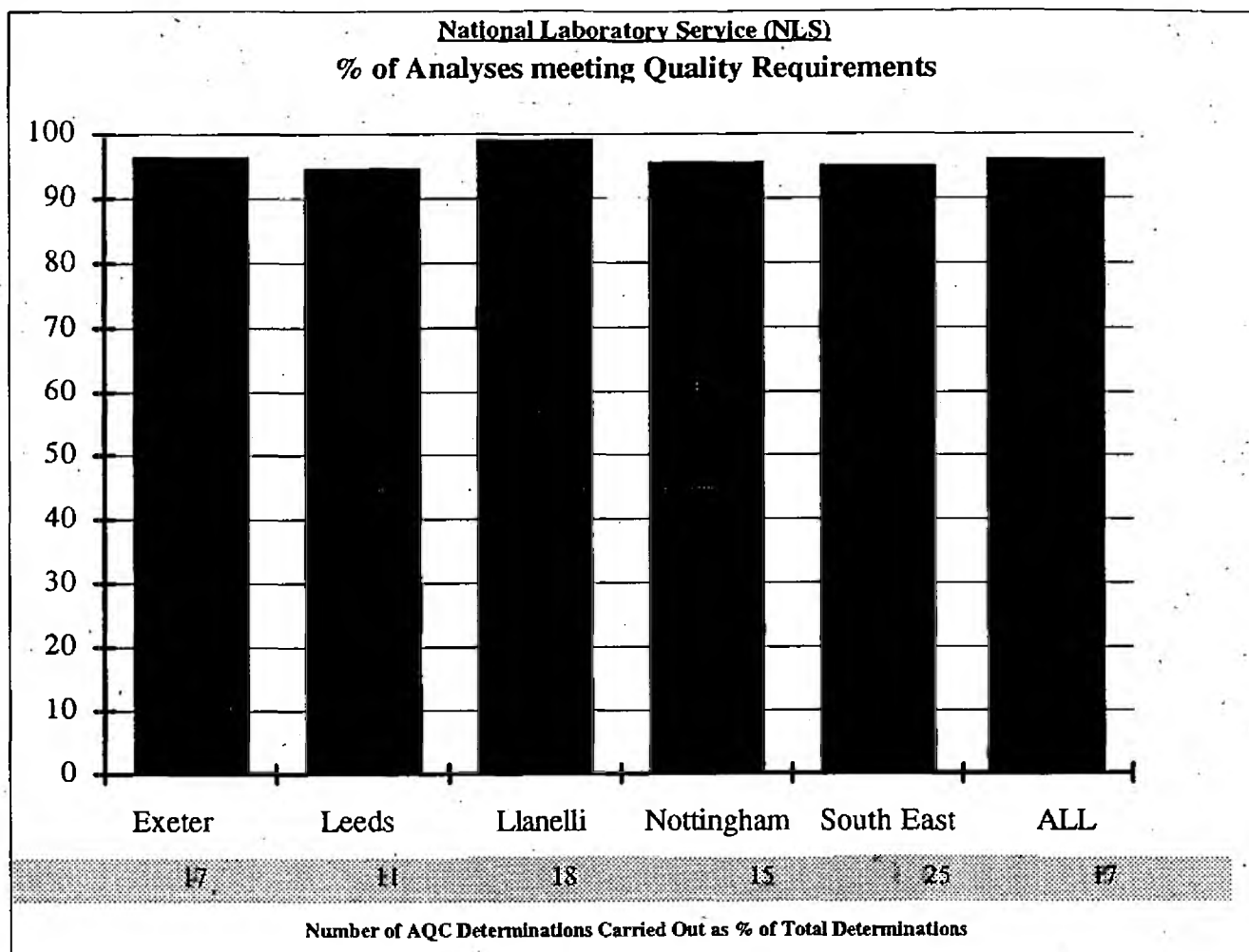
**Comment:** For the NLS in total (all sites) 99.6% of all samples were fully analysed and reported within 56 days, marginally below the target of 100% contained in the NLS/Agency Service Level Agreement. 95.6% of sample results were reported within 30 days, slightly above the 95% target specified in the Service Level Agreement. And, for formal samples, 92.1% were reported within 14 days, compared with a target of 100% in the Service Level agreement. Whilst the latter figure for formal sample turnaround is lagging behind target, it shows improvement over the position at the corresponding period of the previous year when only 83.6% of formal samples were reported in 14 days.

Looking at individual sites, all laboratories reported over 99% of sample results within the 56 day target. All sites except for Leeds met the 95% target for 30 day turnaround. Only Exeter and Llanelli met the target for formal sample turnaround, with performance at Leeds (53%) and to a lesser extent at Nottingham (90%) lagging behind the other sites.

**Action:** Improvements are needed at Leeds to achieve the 95% within 30 days target; and at Leeds, Nottingham and South East to achieve the 100% within 14 days target for formal samples.



## Pollution Prevention & Control



**Introduction:** The above data examine the quality aspect of sample analysis work carried out by NLS laboratories.

The results shown in the graph were obtained from the AQUACHECK programme run by the Water Research Centre (WRC) and provide an independent assessment of the quality of chemical sample analyses - in terms of accuracy and limits of detection - carried out by NLS laboratories.

The data in the shaded box below the graph show the number of analytical quality control (AQC) determinations expressed as a proportion of total determinations that were carried out by each laboratory to control the quality of its analytical workload. This is quite separate from the AQUACHECK programme.

**Comment:** An average of 96.1% of all analyses carried out by the NLS met AQUACHECK standards in Q1. This compares with a figure of 95.3% for quarter 1 of the previous year. At individual site level, compliance with AQUACHECK quality standards varied between sites from 94.7% at Leeds to 99.1% at Llanelli.

The number of internal AQC determinations carried out at each site varied, from 25% of the total analytical workload at the South East site to 11% at the Leeds site. On average, AQC determinations were conducted for 17% of all analyses carried out by the NLS.

**Action:**

## SECTION 1

### **POLLUTION PREVENTION & CONTROL**

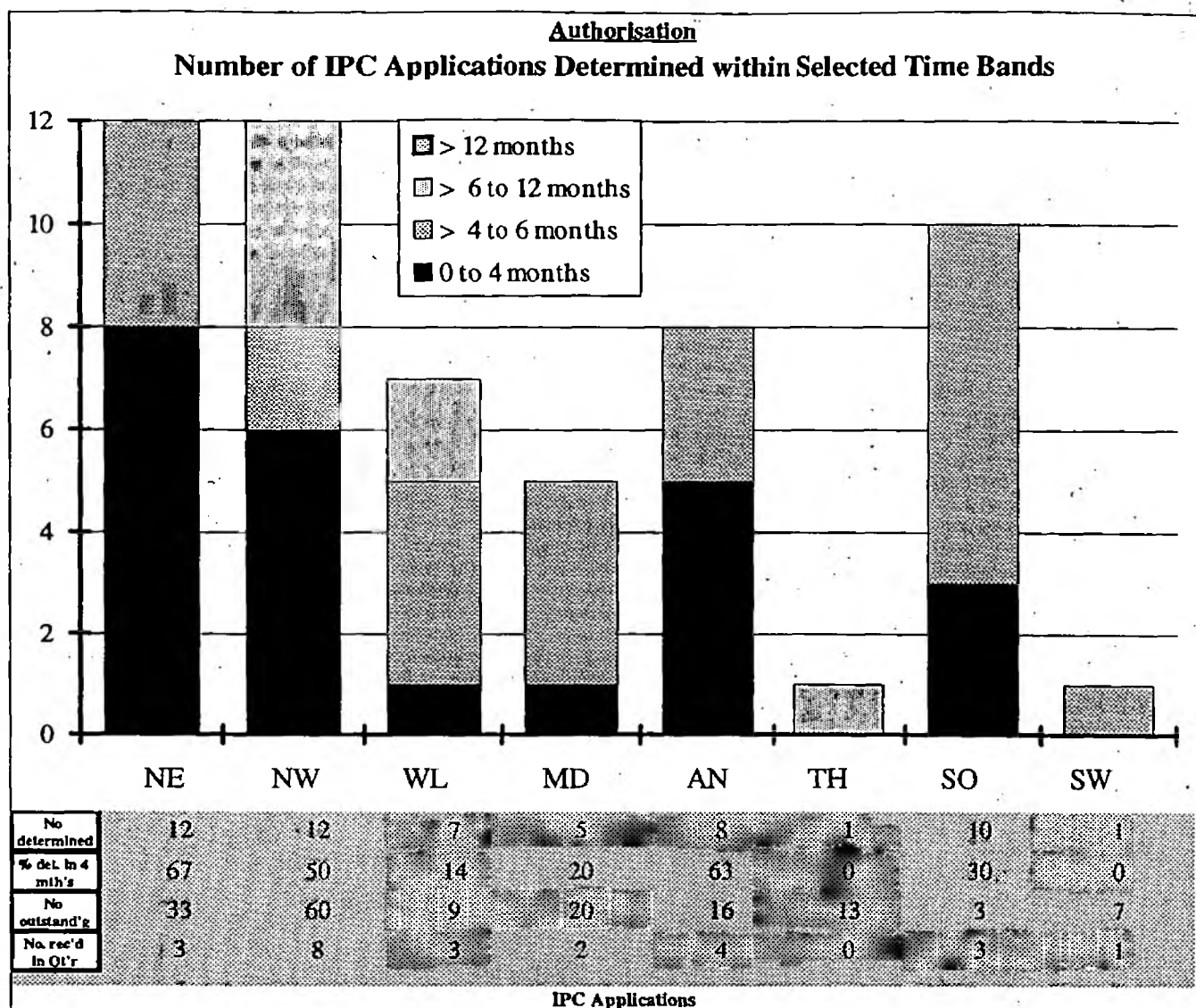
#### **(b) Integrated Pollution Control (IPC)**

Page

#### **AUTHORISATION**

Number of IPC Applications Determined within Selected Time Bands	1.13
Number of IPC Substantial Variations Determined in Selected Time Bands	1.14
Number of inspections of authorised processes	1.15

## Pollution Prevention &amp; Control



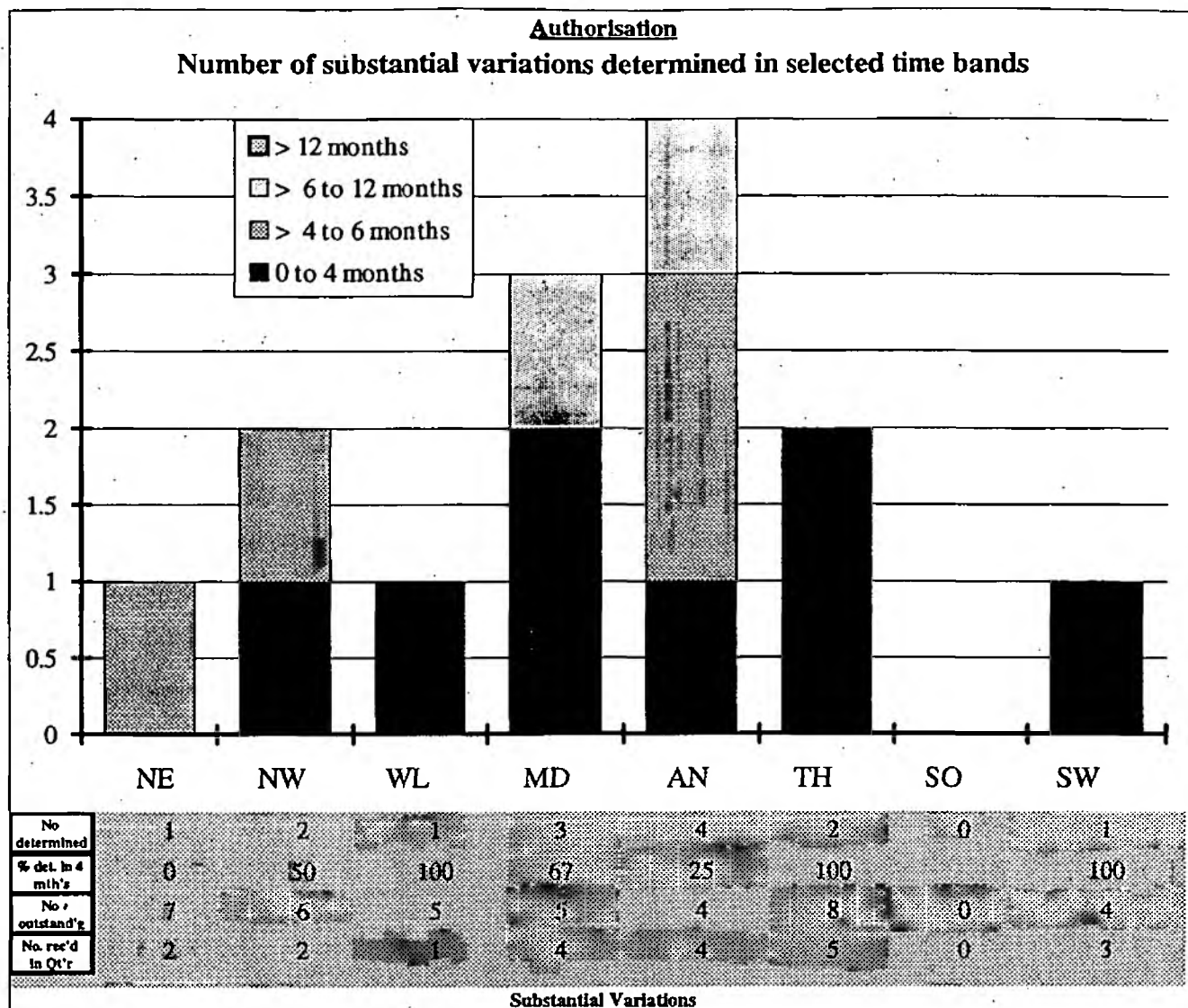
**Introduction:** The graph and table show, by region, the number of authorisations issued in the quarter, with details of time taken to issue them. The statutory target for issue is 4 months.

The table also shows the number of applications outstanding at the end of the quarter, and how many were received during the quarter.

**Comment:** The Agency issued 56 authorisations in the quarter, 43% within the target time, which compares with 46.9% for 1995/96. All were issued in less than 12 months and only 12% exceeded 6 months. Of the 161 applications outstanding most are from the "other industries" chapter of the Regulations. These applications were timetabled in the regulations to be the last sector to be brought under IPC regulation. Most of the remaining applications are from the chemical and metal industries. The number of outstanding applications for authorisations is expected to substantially fall. The formation of the Agency has led to a reduction in numbers of field inspectors undertaking this work. Regional teams have taken inspectors from the field and national/policy departments. Until vacancies are filled, outstanding applications will take time to be cleared. Notwithstanding these difficulties field inspectors have maintained a generally good performance.

**Action:** Recruitment is under way. There should be no further large numbers of applications to be determined. Outstanding applications should be cleared by the end of the year.

## Pollution Prevention &amp; Control



**Introduction:** The graph and table show, by region, the number of variation notices issued for substantial changes to authorisations in the quarter, with details of time taken to issue them. The Agency target for issue is 4 months.

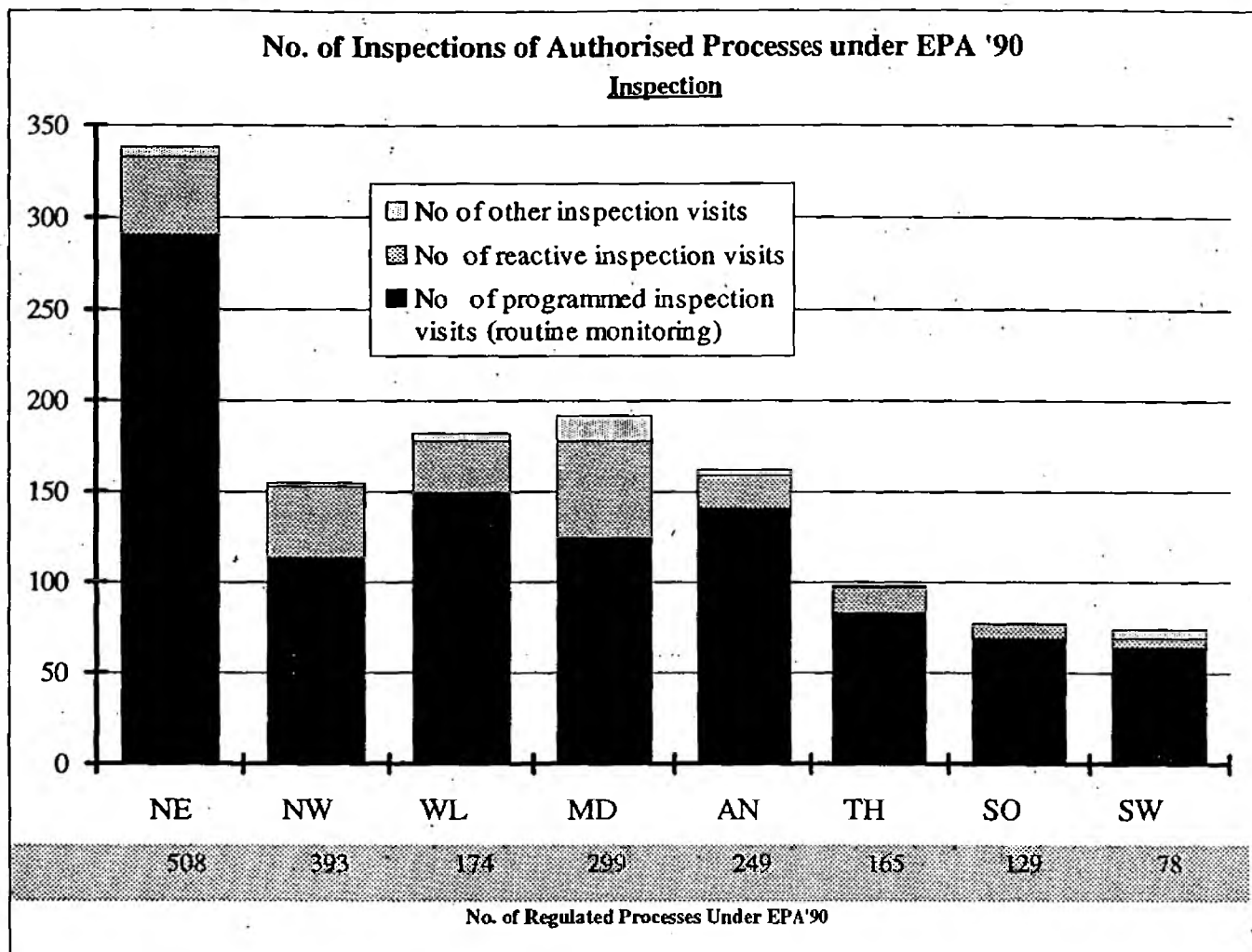
The table also shows the number of notices in the course of preparation at the end of the quarter, and how many applications were received or notices commenced during the quarter.

**Comment:** The Agency issued 14 variation notices for substantial change in the quarter. 57% were issued within the target time; 28% within 4 to 6 months; and the remainder within 12 months. This is a slight decline on 1995/96 figures, when 59% were issued within 4 months. One of the variation notices issued in this period has been the subject of an application for judicial review. The Agency is awaiting a ruling from the high court on this matter.

A total of 39 notices were under preparation at the end of the quarter, including 21 commenced during the period. Despite area staff shortages within certain regions, IPC staff are nearing the targets set for this work.

**Action:** The performance in the issues of variation notices for substantial change is improving, despite staff shortages in certain regions. Adoption of common IT systems will remove the difficulties in reporting of figures.

## Pollution Prevention & Control



**Introduction:** The above graph looks at the number of inspections of IPC authorised processes which were carried out in the quarter. These are differentiated according to whether the inspection was routine (pre-programmed), reactive, or other.

The shaded block below the graph gives details of the number of authorised processes in existence.

**Comment:** Almost 1,300 inspections were carried out in the quarter. (This does not include application related visits of which there were 225). By way of comparison a total of 4,691 non-application related inspections (an average of 1173 per quarter) were carried out in 1995/96. As the workload on authorisations reduces, it is expected that more effort will be switched to inspection activities.

Over 80% of inspections were routine visits carried out as part of a rolling-programme of inspections.

**Action:**

## SECTION 1

### **POLLUTION PREVENTION & CONTROL**

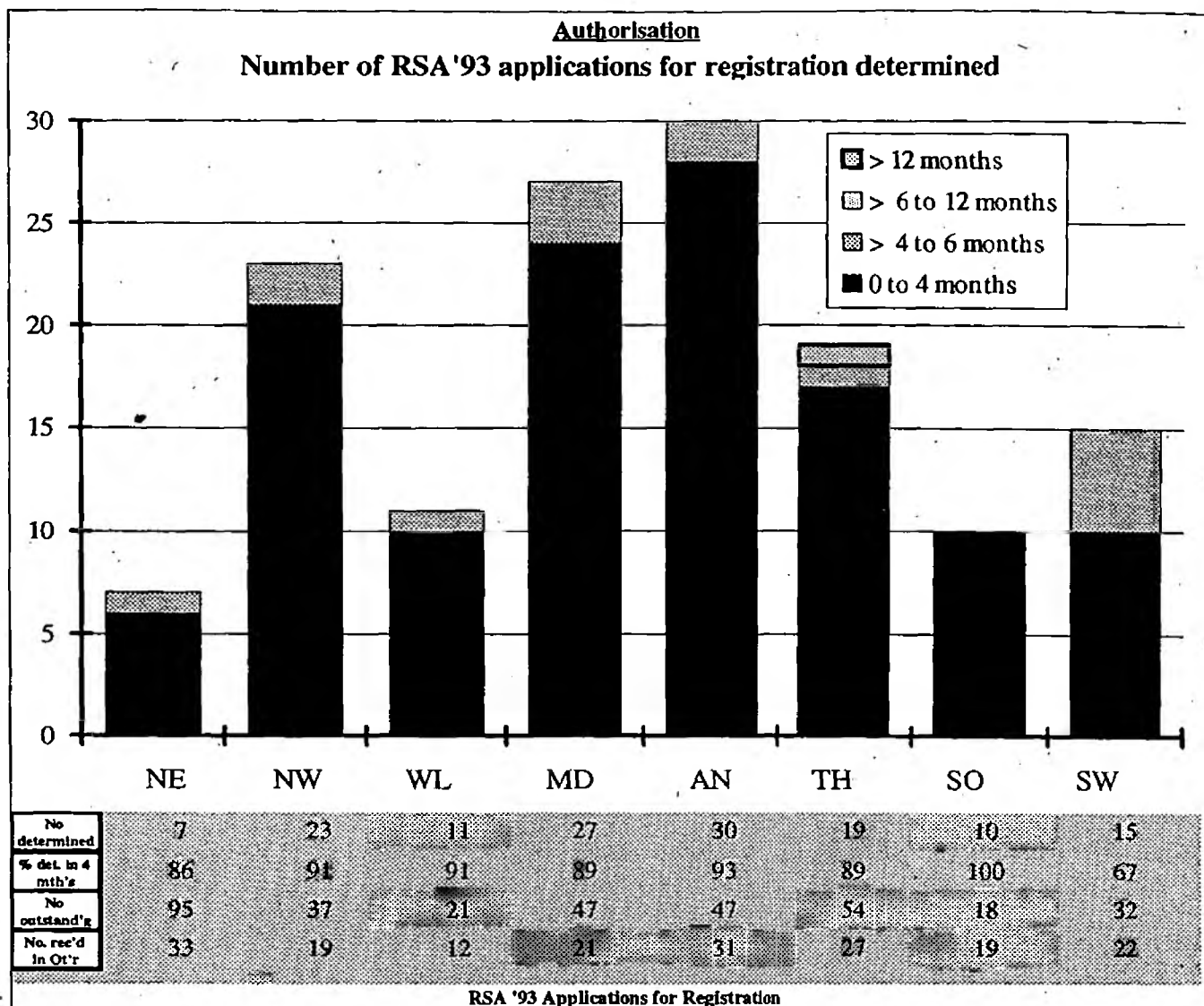
#### **(c) Radioactive Substances (RAS)**

##### **AUTHORISATION**

	page
Number of Applications for Registration Determined in Selected Time Bands	1.16
Number of Applications for Authorisation Determined in Selected Time Bands	1.17
Number of inspections of authorised processes	1.18



## Pollution Prevention &amp; Control



**Introduction:** The graph and the table show, by region, the number of RSA'93 certificates of registration issued in the quarter, with details of the time taken to issue them. The Agency target for issue is 4 months. The table also shows the number of applications outstanding at the end of the quarter, and how many were received during the quarter.

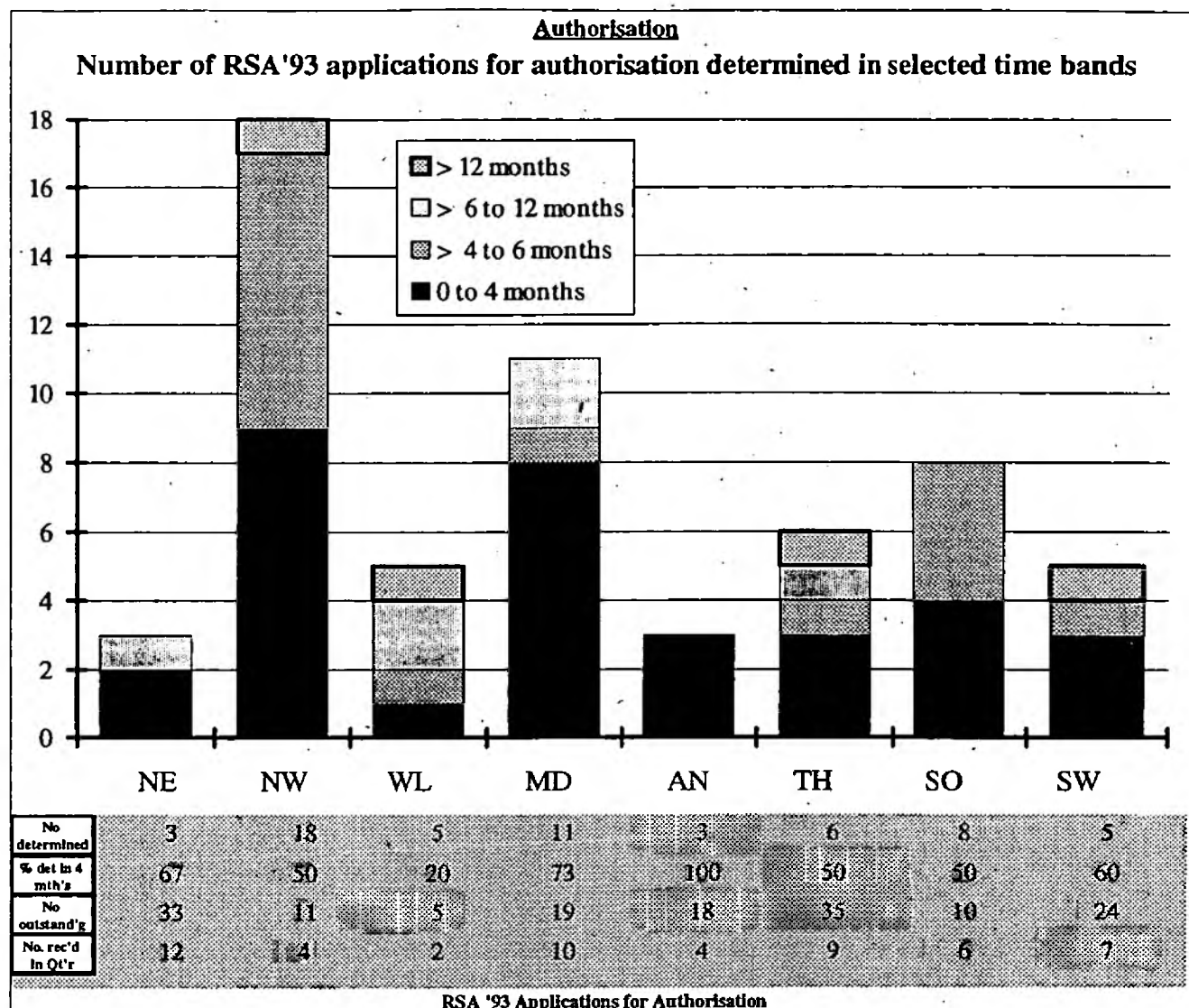
**Comment:** A total of 142 certificates of registration were issued in the quarter. 88% were issued within the target period, and only 1 registration was outstanding after 12 months.

A total of 339 certificates of registration were under preparation at the end of the quarter, an increase of 113 over the previous quarter.

The increase in the backlog of applications is a matter of concern. North East had the largest backlog at the end of Q1 and only Anglian, North West and Welsh regions managed to reduce the number of outstanding applications.

**Action:**

## Pollution Prevention &amp; Control



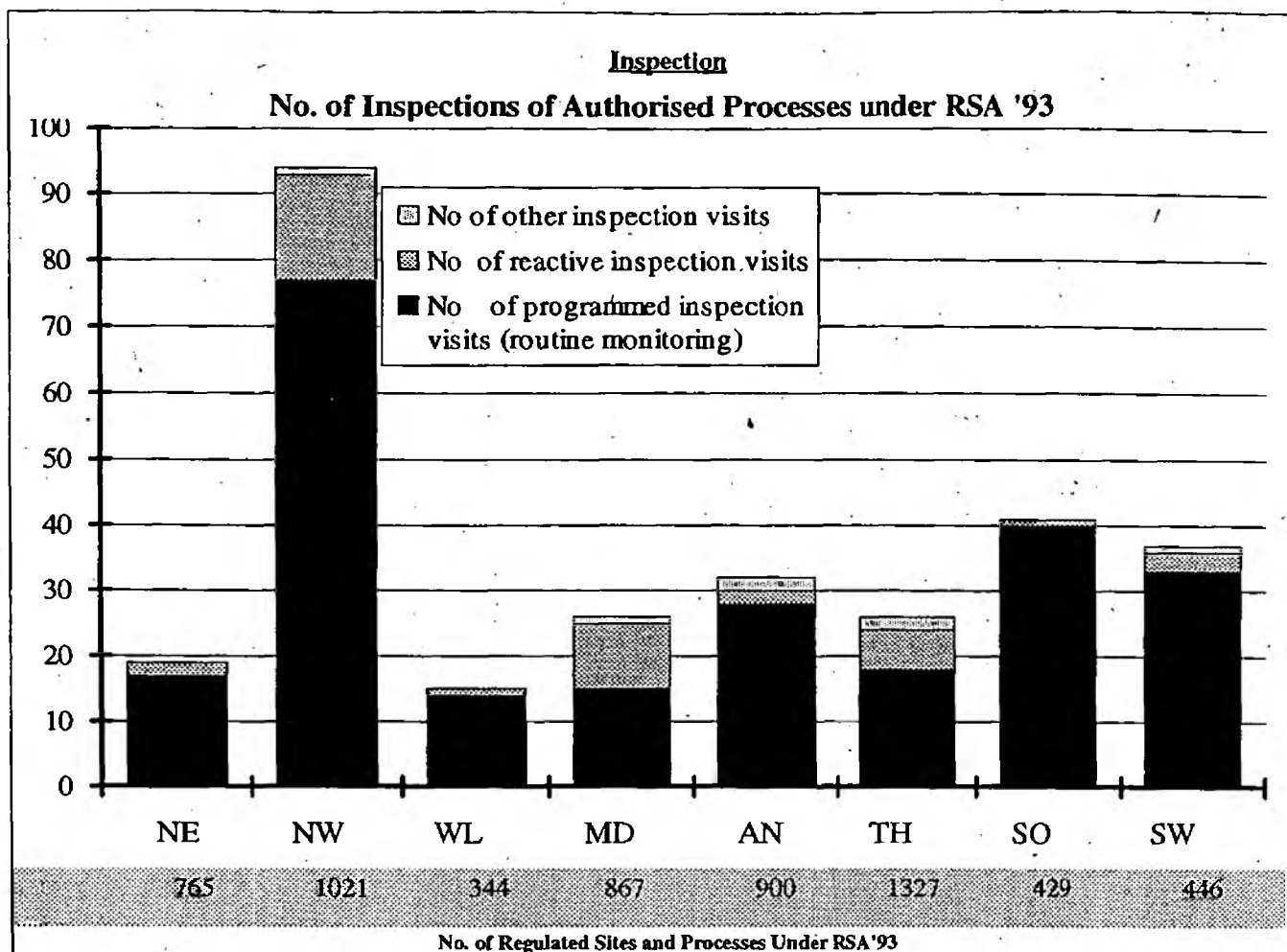
**Introduction:** The graph and table show, by region, the number of RSA '93 authorisations issued in the quarter with details of the time taken to issue them. The Agency's target is to issue authorisations within 4 months. The table also shows the number of applications outstanding at the end of the quarter.

**Comment:** The Agency issued 55 authorisations within the quarter. 60% of these were issued within the target period; 82% were issued within 6 months and 93% within 12 months. 4 applications (7% of the total determined) took more than 12 months to issue.

A total of 155 certificates of authorisation were under preparation at the end of the quarter which is an increase of 1 over the previous quarter. North East and Thames had the largest backlogs and only North West, Midlands and Wales managed to reduce the number of outstanding applications.

**Action:**

## Pollution Prevention & Control



**Introduction:** The above graph looks at the number of inspections of RSA authorised processes which were carried out in the quarter. These are differentiated according to whether the inspection was routine (pre-programmed), reactive, or other.

The shaded block below the graph gives details of the number of regulated processes in existence.

**Comment:** A total of 290 inspections were carried out in the quarter. (This does not include application-related visits of which there were 26). By way of comparison, a total of 1,472 non-application related inspections (an average of 368 per quarter) were carried out in 1995/96.

83% of inspections were routine visits carried out as part of a rolling-programme.

**Action:**

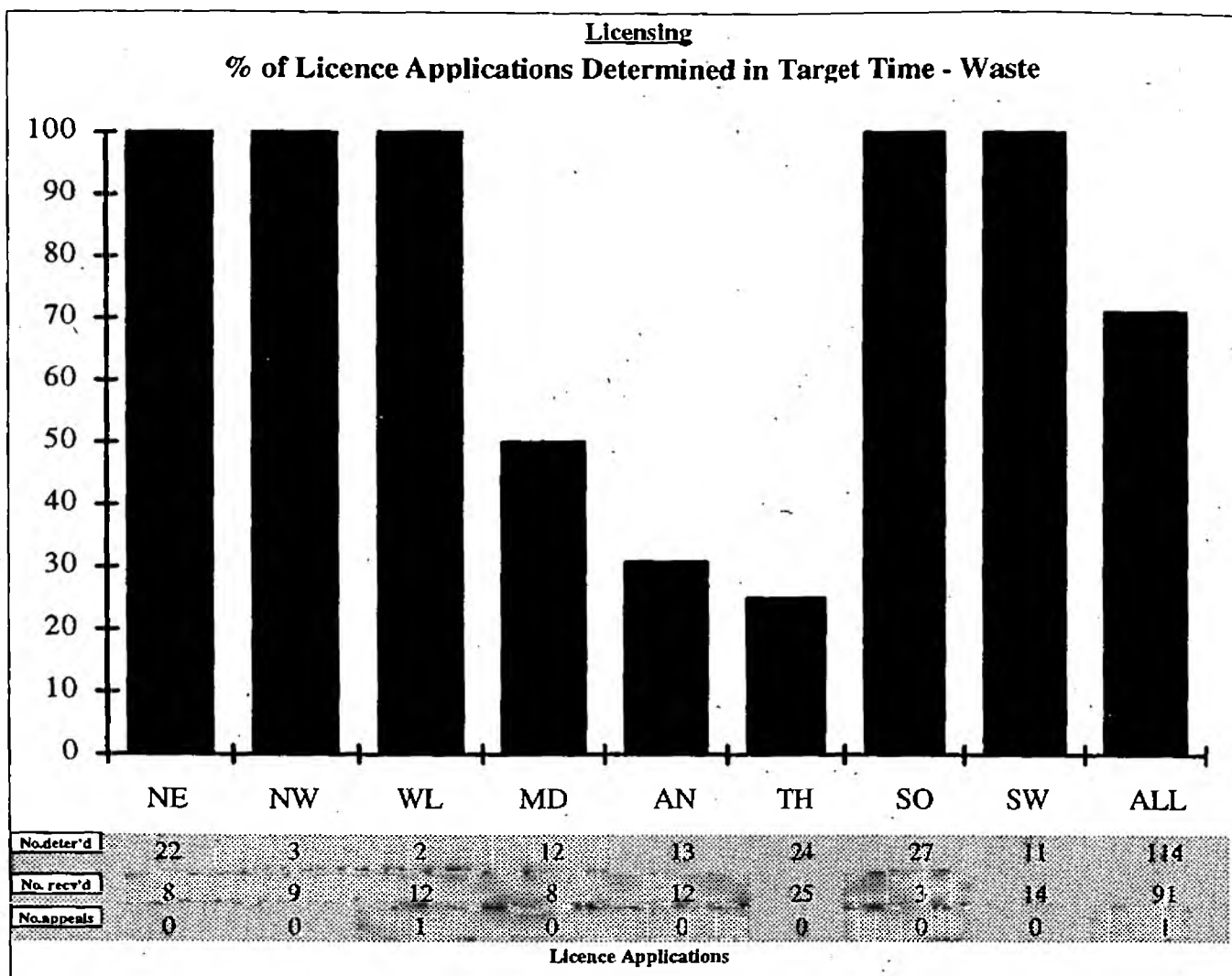
## SECTION 1

### **POLLUTION PREVENTION & CONTROL**

#### **(d) Waste Regulation**

	page
<b><u>AUTHORISATION</u></b>	
% of Licence Applications Determined within Target Time	1.19
% of Licence Modifications Determined within Target Time	1.20
% of Licence Surrenders Determined within Target Time	1.21
% of Licence Transfers Determined within Target Time	1.22
<b><u>INSPECTION / MONITORING</u></b>	
No. of inspections of licensed sites	1.23
No. of registered carrier checks	1.24
No. of registered broker checks	1.25
<b><u>ENFORCEMENT</u></b>	
No. of incidents resulting in charges being brought	1.26
No. of Notices issued	1.27

## Pollution Prevention &amp; Control

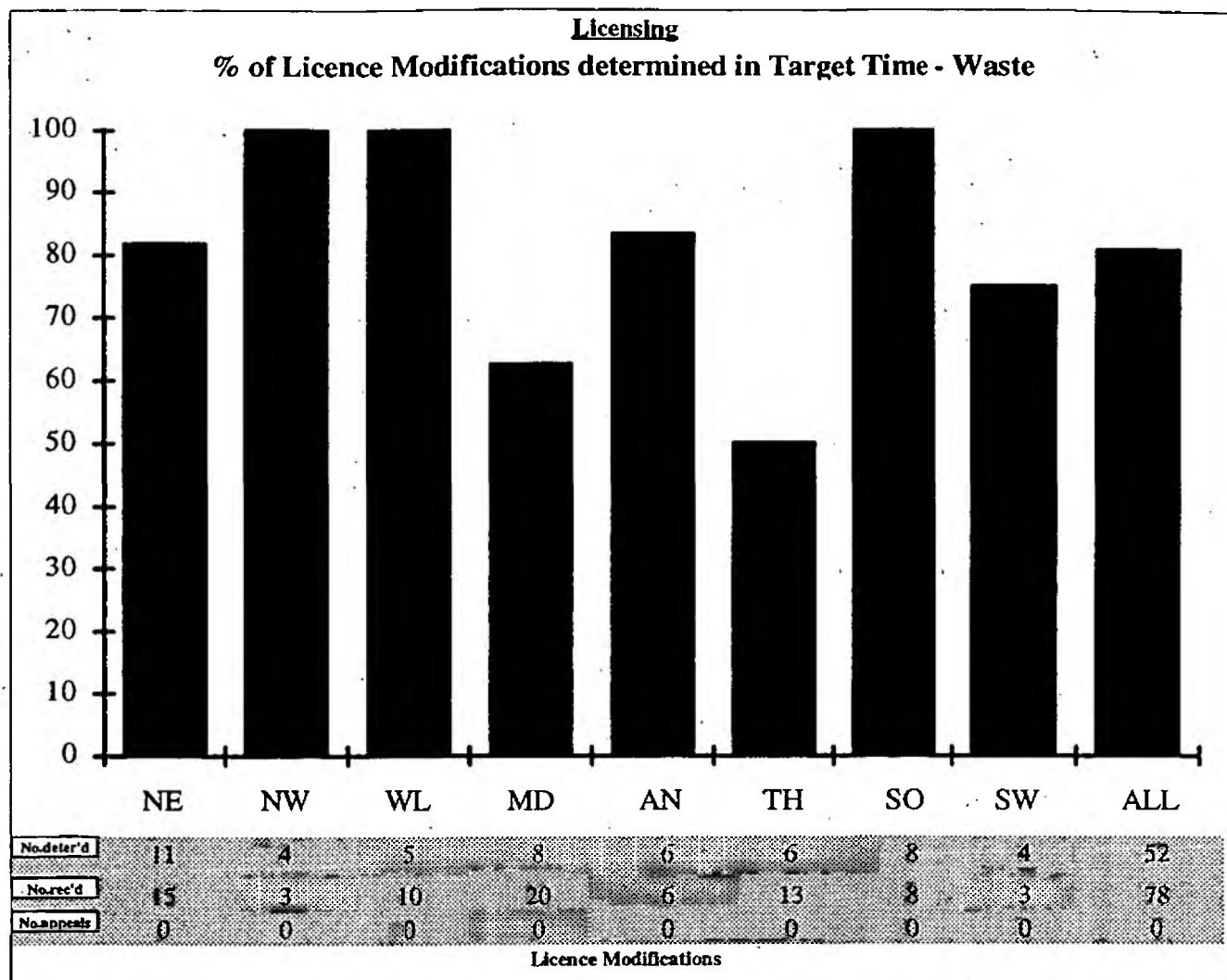


**Introduction:** The graph/table shows the number of licence applications received and those determined within the statutory period of two months or such longer period as agreed with the applicant.

**Comment:** The regional variations are due in part to a different application of the target itself. Several regions figures were based on a two month target with no allowance for agreed extensions. Due to the complexity of the licensing process the legislation provides for agreed extensions to the application processing period to allow for negotiations and consultations. With this allowance the regions have generally achieved 100% of the target.

**Action:** The National Waste Group has now harmonised the basis for collection of data on licence applications so that future returns will be consistent.

## Pollution Prevention &amp; Control



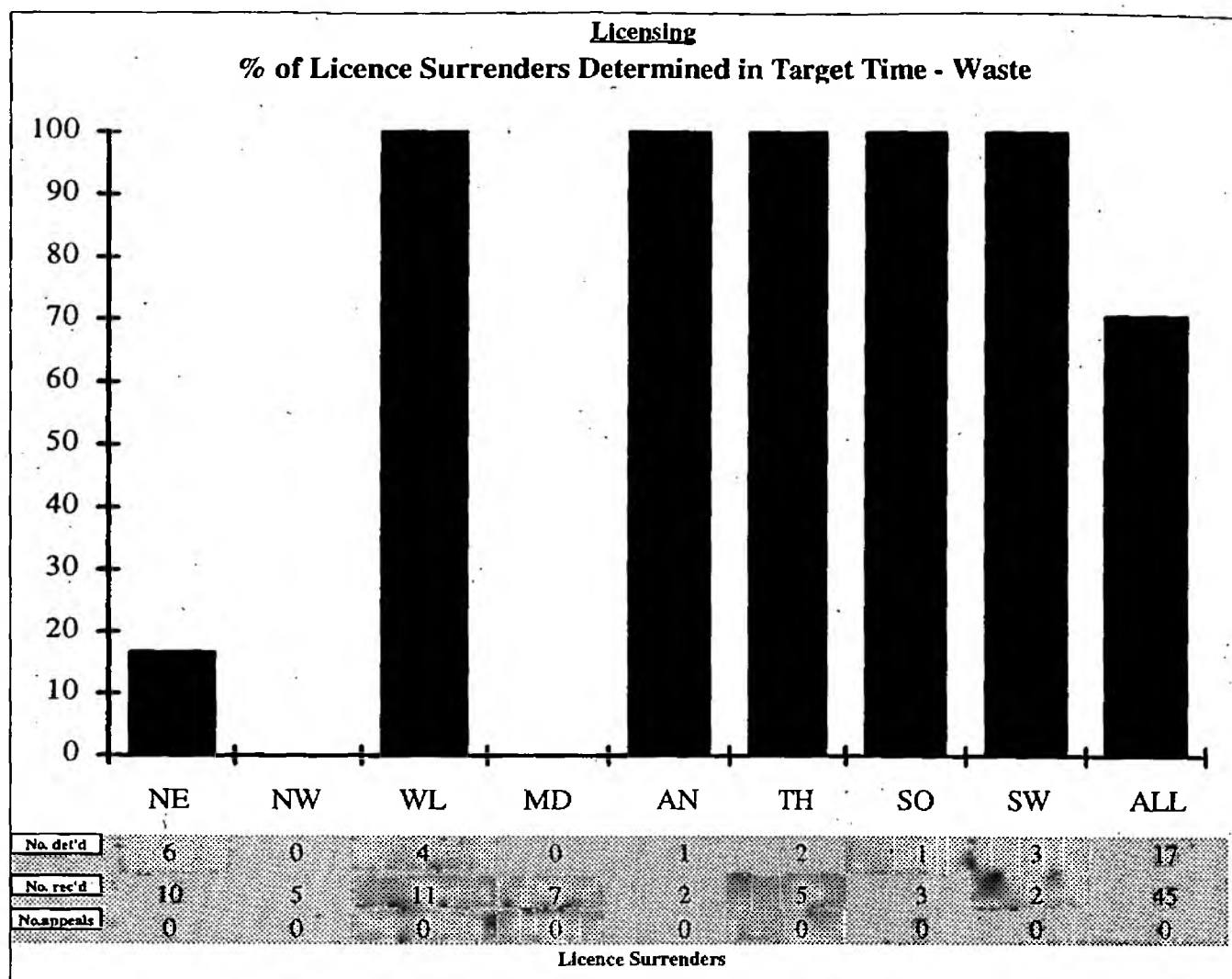
**Introduction:** The graph/table shows the number of applications for licence modifications received and those determined within the statutory period of two months or such longer period as agreed with the applicant. Licence conditions may be modified to reflect changing operational circumstances provided that environmental standards are maintained.

**Comment:** The graph shows only modifications initiated external to the Agency. The Agency may itself initiate modifications as necessary to improve/update the licence conditions. Generally the average figure of 81% attainment of the target is satisfactory.

**Action:** Some improvement is required for Thames and Midlands regions to come up to the level attained by other regions.



## Pollution Prevention &amp; Control



**Introduction:** The table/graph shows the number of applications for surrender of waste management licences and the percentage of those determined within the three month statutory period or such longer period as agreed with the applicant.

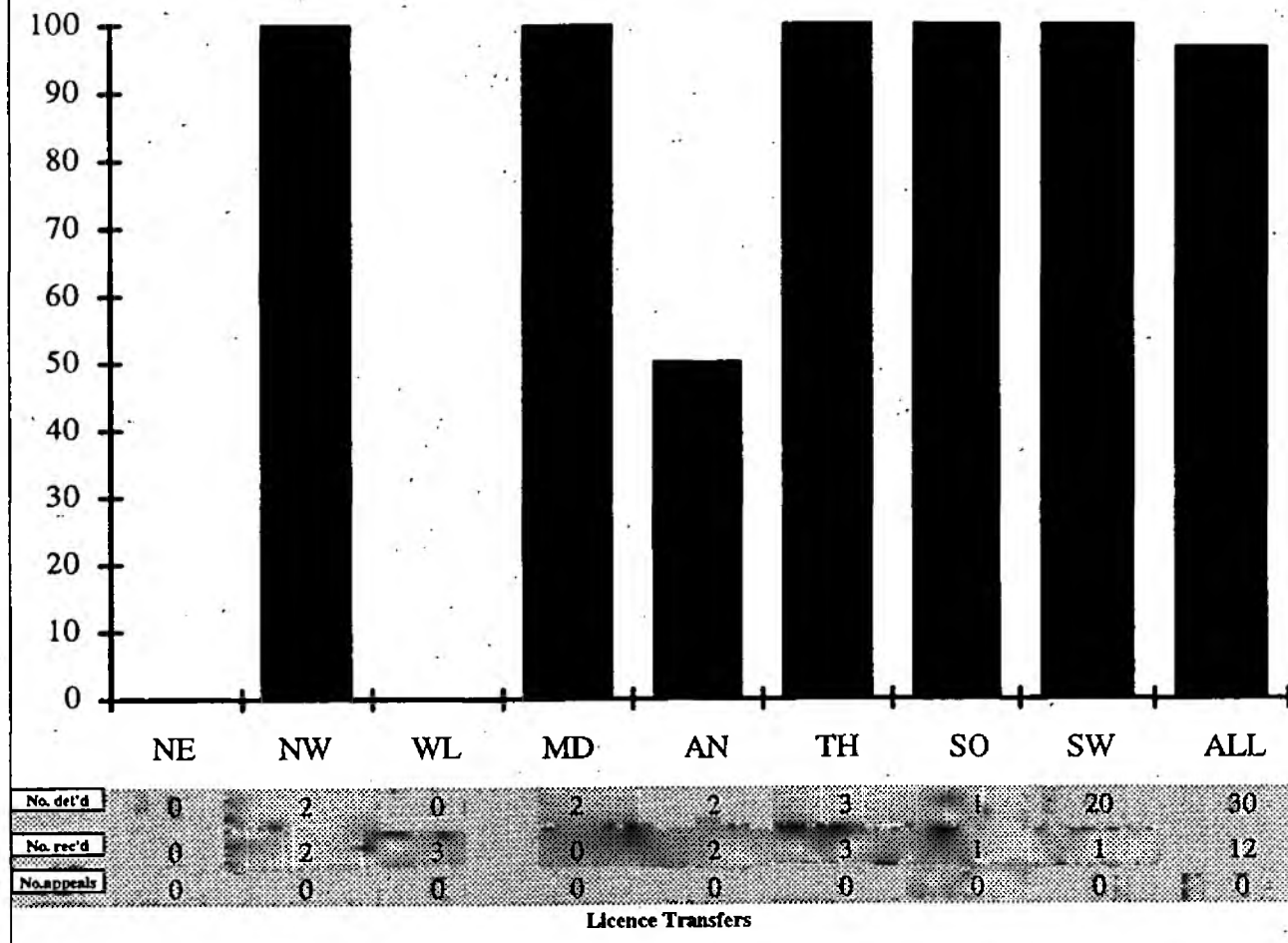
**Comment:** The figures for North East and Midland regions are not represented as they are unverified. Otherwise with the exception of North East region the level of performance is high (100%).

**Action:** More complete figures are required for the next reporting period.

## Pollution Prevention &amp; Control

## Licensing

## % of Licence Transfers determined in Target Time - Waste

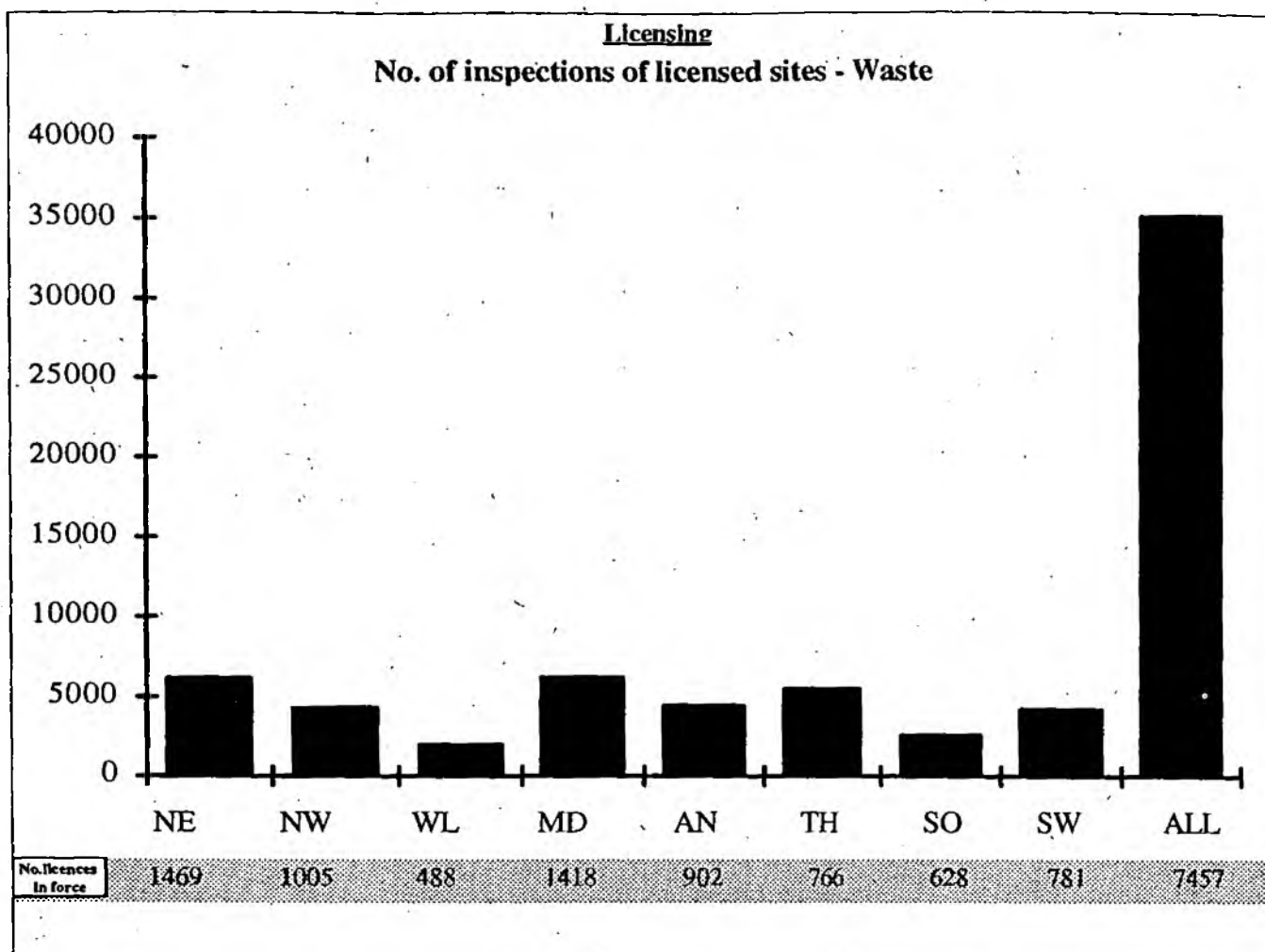


**Introduction:** The table/graph shows the number of licence transfers received and the percentage of those determined within the two month statutory period or such longer period as may be agreed with the applicant. Determination includes approval refusal and deemed refusal.

**Comment:** The figures for North East and Midland regions are not represented as they have not been verified. Otherwise with the exception of Anglian region the level of performance is high (100%).

**Action:** More complete figures are required for the next reporting period.

## Pollution Prevention &amp; Control

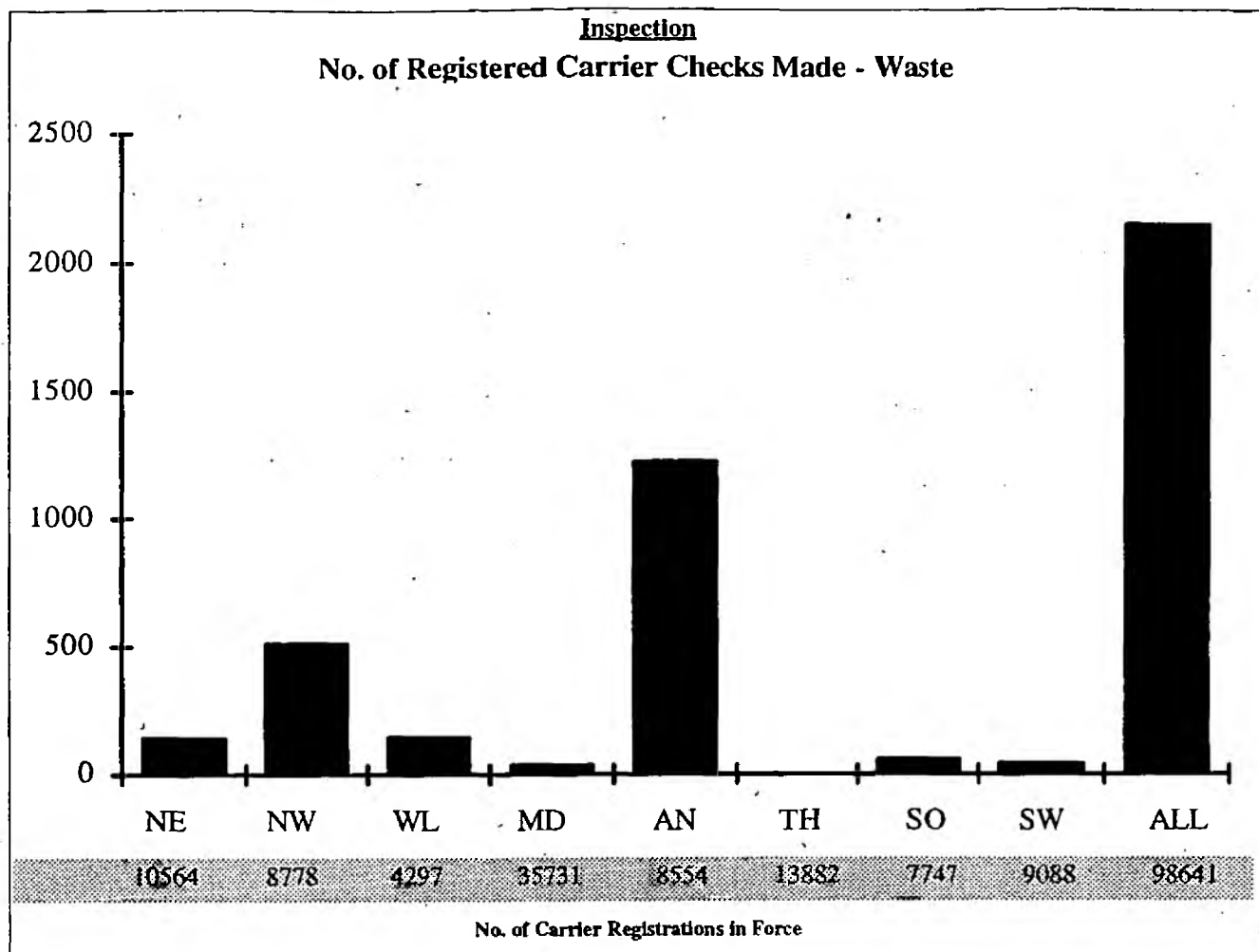


**Introduction:** The table/graph shows the number of waste management licenses in force and the number of inspections carried out at those sites. Inspection of sites for compliance with the licence conditions is essential for the improvement of waste management operational standards.

**Comment:** There are statutory minimum inspection frequencies which vary according to the type of facility and type of waste handled. The graph is not sufficiently refined to show the level of attainment of these statutory targets. The figures show an average of between four and five visits per site during the reporting period. In the North East and Southern regions which are slightly below the average there has been a relatively high level of site audit which is particularly resource intensive. The figures for Wales are also below the average due in part to the geographical spread of sites.

**Action:** The Agency draft corporate plan sets the standard for inspection of licensed sites at 80% of the statutory minimum level. Waste regulation resources must be applied at a level sufficient to ensure that this target is attained.

### Pollution Prevention & Control

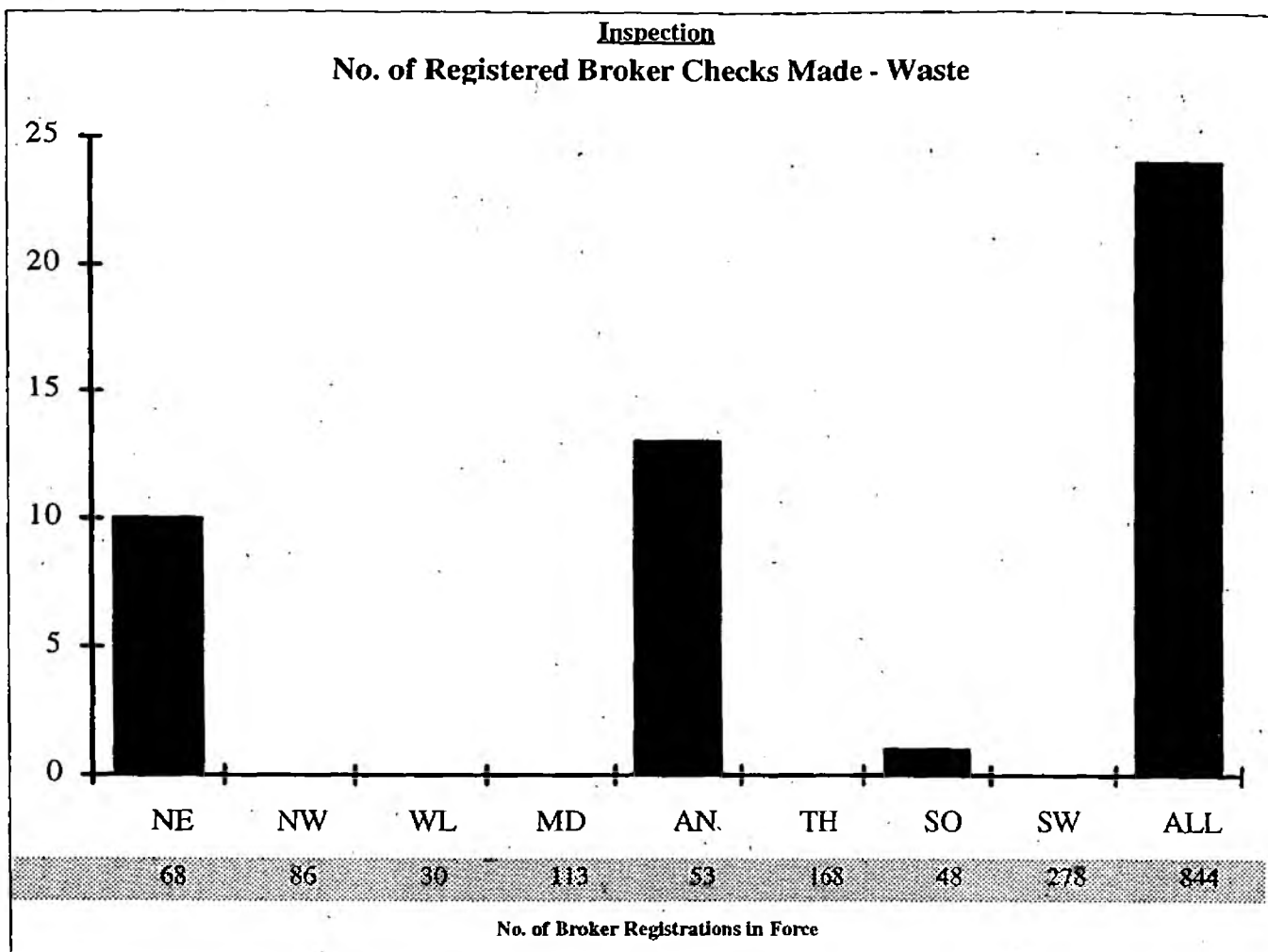


**Introduction:** The table/graph shows the extent to which vehicles are checked for compliance with the waste carrier regulations. The checks may be applied at licensed waste management facilities or at the roadside in association with other regulatory agencies.

**Comment:** Regional variations reflect the varying regulatory priorities at level in the initial stages of the Agency formation.

**Action:** The level of regional activity must be harmonised.

# Pollution Prevention & Control

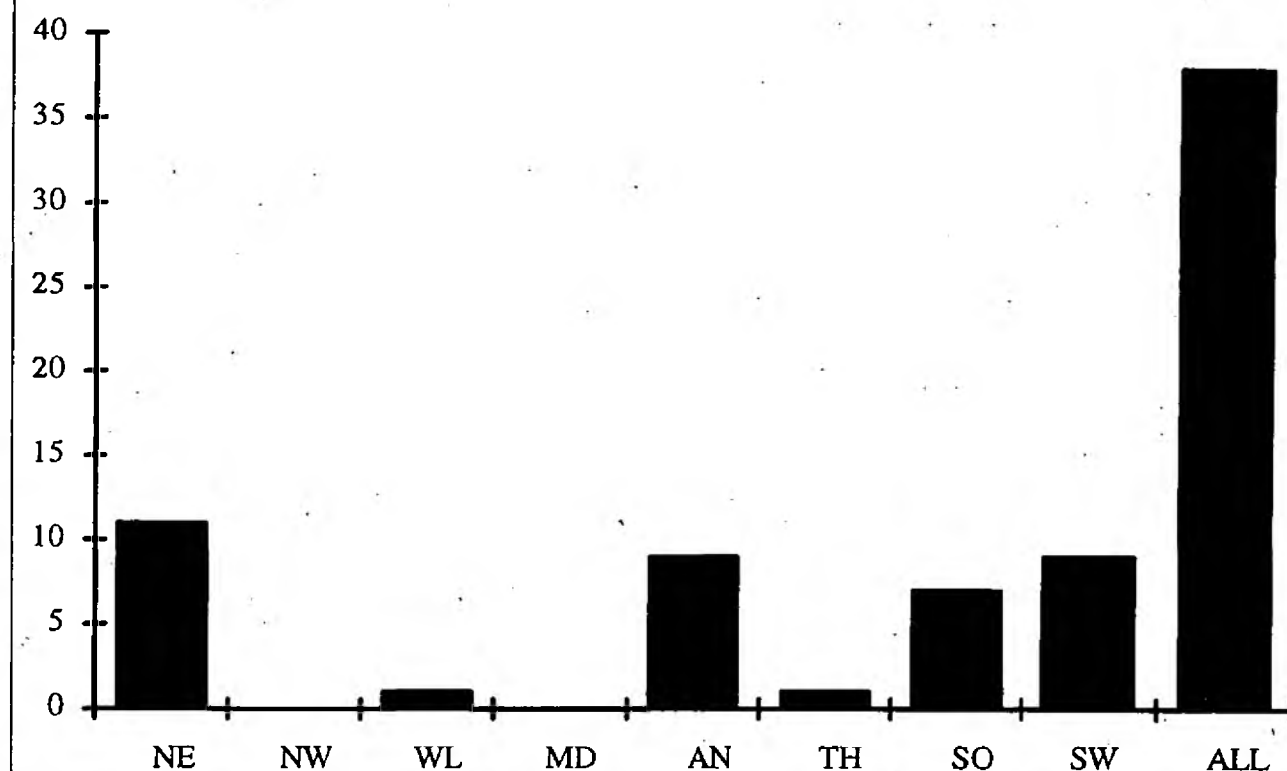


**Introduction:** The table/graph shows the number of brokers registered and the number of brokers checked.

**Comment:** The limited number of checks carried out reflects that this has not been a priority activity for waste regulation in the initial stages of the Agency. However there are significant regional variations.

**Action:** The level of regional activity must be harmonised.

## Pollution Prevention &amp; Control

**Enforcement****No. of Incidents Resulting in Charges being Brought - Waste**

Unlic'd sites&flytip	3	0	1	0	6	1	0	3	14
Lic'd sites	4	0	0	0	2	0	3	1	10
Reg. carrier & broker	2	0	0	0	0	0	0	0	2
Exempt sites	0	0	0	0	0	0	0	2	2
Exempt scrap'd	0	0	0	0	0	0	0	1	1
Duty of care	2	0	0	0	1	0	4	2	9

Incidents by Source

**Introduction:** The table/graph shows the extent of the application of prosecution as a legal sanction for waste regulation. The graph summarises the figures for the six main areas of enforcement represented in the table. The primary areas of activity are directed at control of illegal unlicensed disposals and ensuring compliance with licence conditions.

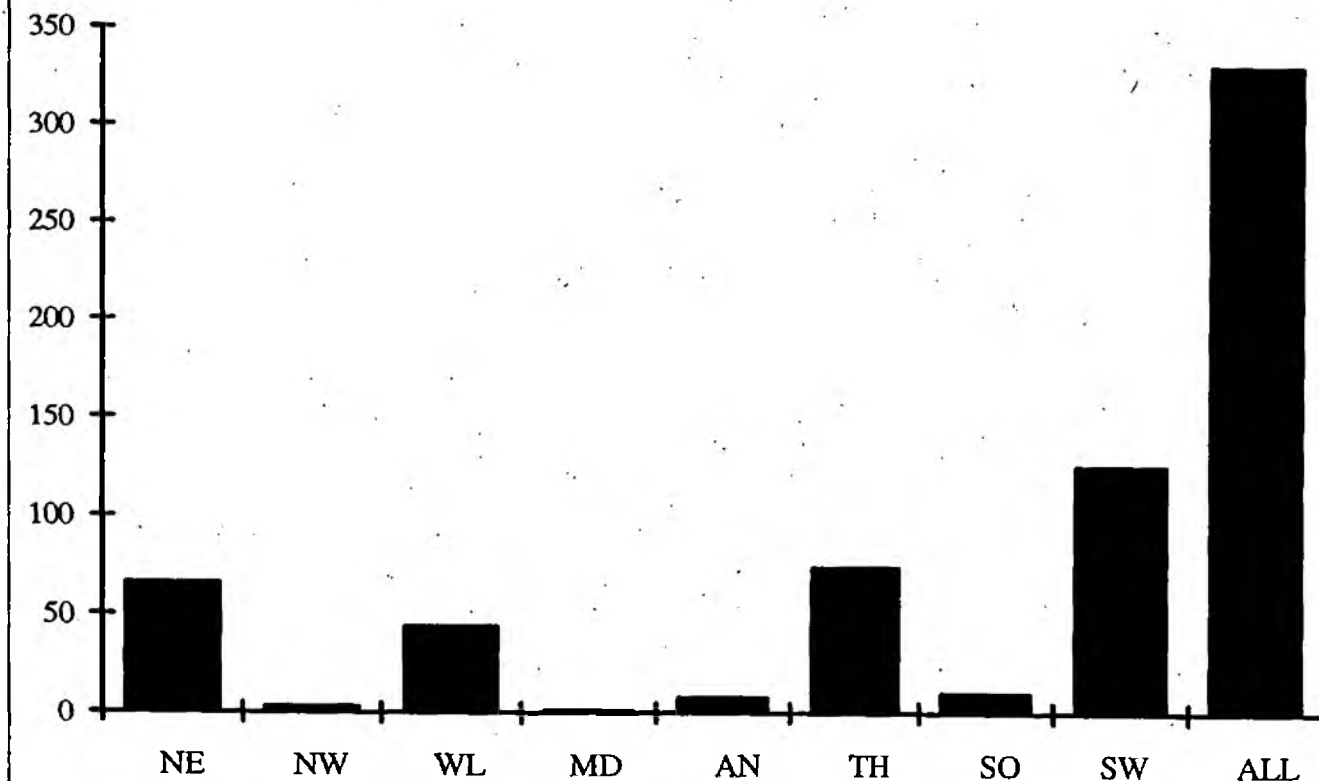
**Comment:** The regional variations reflect regional operational priorities in the initial stages of Agency formation. Taking prosecutions are particularly demanding on staff resources. Use of alternative legal sanctions, for example service of compliance notices, may be a more effective use of resources to achieve environmental improvements and to demonstrate the effectiveness of waste regulation.

**Action:** The National Waste group is preparing procedures to ensure greater consistency between regions taking decisions on legal sanctions.



## Pollution Prevention &amp; Control

**Enforcement**  
**Number of Notices Issued - Waste**



	NE	NW	WL	MD	AN	TH	SO	SW	ALL
Compliance	25	3	2	1	0	4	4	10	49
Partial Revocation	0	0	0	0	1	0	0	0	1
Duty of Care	32	0	27	0	1	32	2	13	107
Information	9	0	15	0	6	38	4	102	174

Notices by Type

**Introduction:** The graph shows the number of notices issued by region during the quarter. The table below the graph provides a breakdown by type of notice.

**Comment:** A total of 331 notices were issued in quarter 1. 174 of these were information notices requiring the furnishing of information; 107 were duty of care notices requiring submission of transfer notes; 49 were compliance notices requiring compliance with licence conditions; and 1 was a partial revocation notice for non-payment of fees.

**Action:**

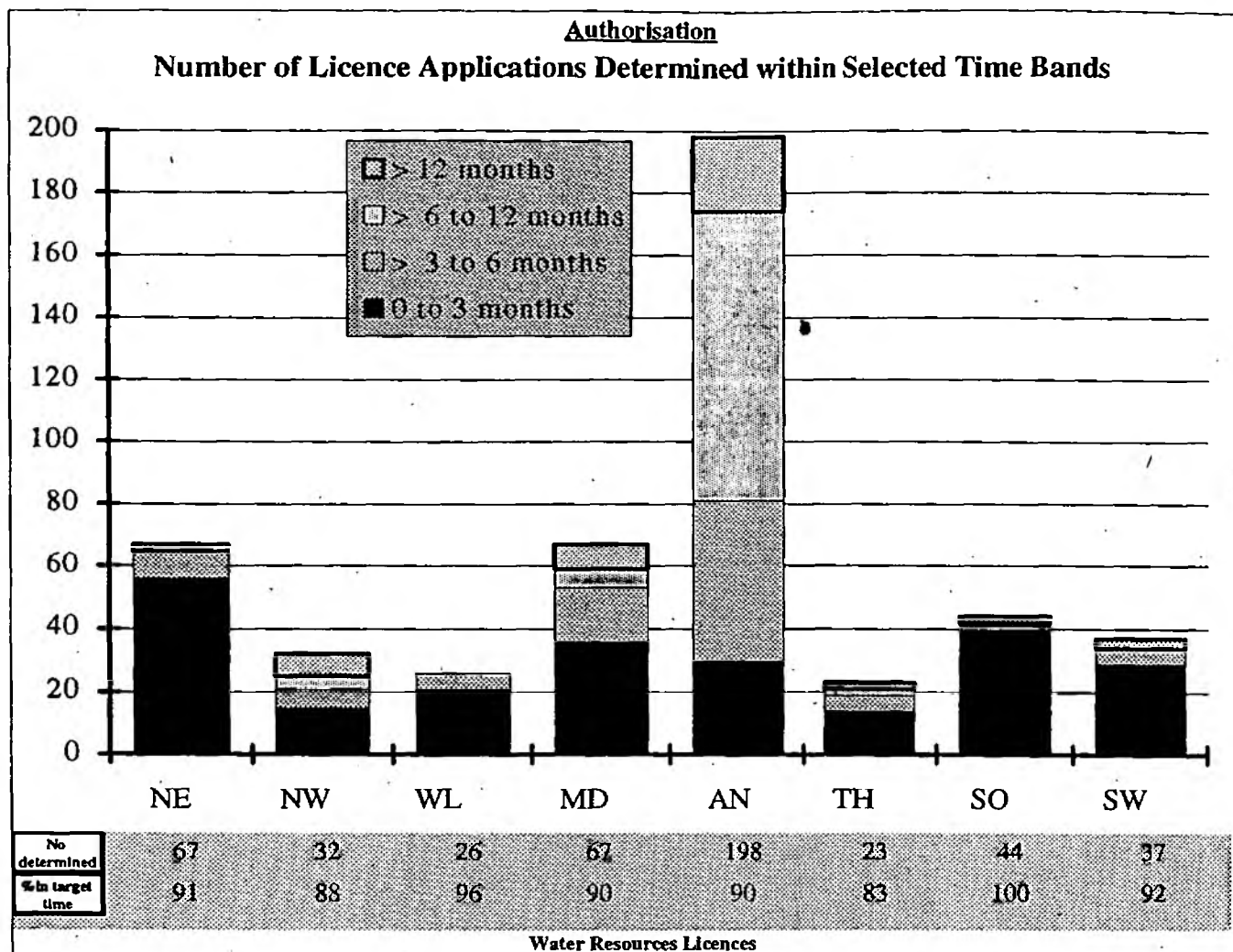
## SECTION 2

### **WATER MANAGEMENT**

#### **(a) Water Resources**

	Page
<b><u>AUTHORISATION</u></b>	
No. of licence applications determined in selected timebands	2.1
age profile of licences awaiting determination	2.2
<b><u>INSPECTION</u></b>	
% achievement of inspection programme :	
highly critical licences	2.3
critical licences	2.4
less/non-critical licences	2.5

## Water Resources



**Introduction:** The above graph looks at the number of water resource licences determined in the quarter and provides a breakdown, within selected time bands, of the time taken to determine them.

In the table below the graph, the top row shows the total number of licences determined in the quarter in each region. The second row shows the percentage of these that were determined within target time i.e. within the 3 month statutory period, or for more complex applications, within an extended period agreed with the applicant at the time of application. This measure forms one of the Agency's Customer Charter suite of measures.

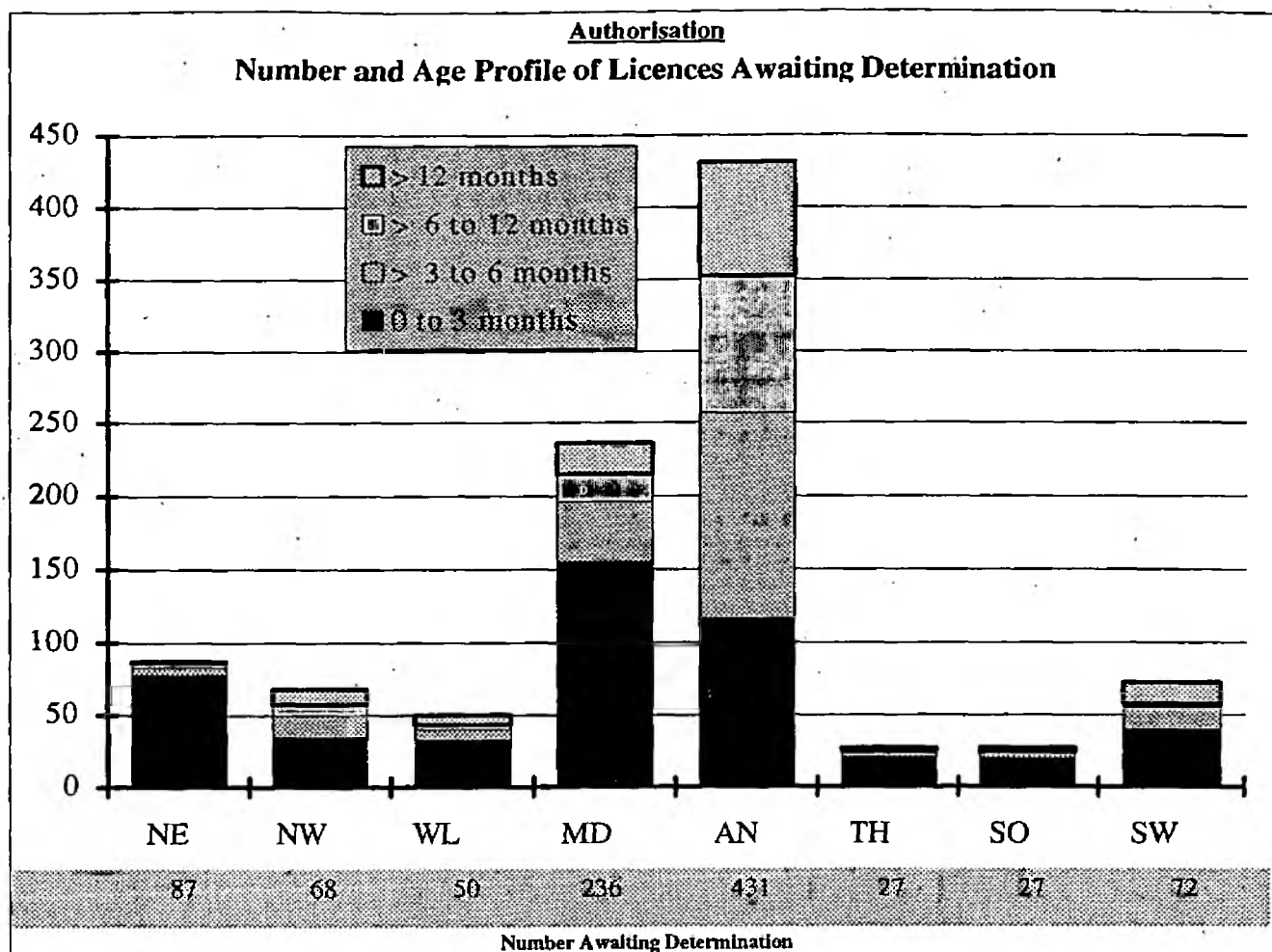
**Comment:** A national total of 494 applications were determined in the quarter. 91% of these were determined within the target time. This is the same level of performance achieved, on average, in the full year of 1994/95.

49% of licences were determined within 3 months, 20% within 3-6 months, 21% within 6-12 months and the remaining 10% took in excess of 12 months to determine.

All regions determined at least 90% of licences within target time except North West (88%) and Thames (83%). Quantitatively, Anglian had the largest work load to deal with (198 licences, equivalent to 40% of the national total) and whilst 90% of these were determined in target time, a large proportion (85%) took in excess of the statutory 3 month period.

**Action:** There are justifiable reasons why some licences take longer to determine than the 3 month statutory period. In most of these instances, as can be seen from the above, an extension period has been agreed with the applicant and consequently, a relatively high proportion of licences are determined within the target time. Whilst the Agency's performance in relation to its Customer Charter commitment is not compromised by these "extended" determinations, in the pursuit of good customer relations, all regions should aim to minimise delays in determining licences.

## Water Resources



**Introduction:** The above chart examines the number and age profile of water resource licence applications that were awaiting determination at the end of the quarter. The shaded block below the graph shows the absolute number of applications awaiting determination in each region.

Lengthy determinations are often due to the technically complex nature of proposed schemes and/or the need to seek additional information from applicants, often at several stages. In this respect, the backlog does not necessarily compromise the Agency's Customer Charter commitment in relation to licence determination. Many complex applications will usually have an extended time period for determination agreed with the applicant; and the countdown time for determining an application does not begin until applicants have provided all the requisite information.

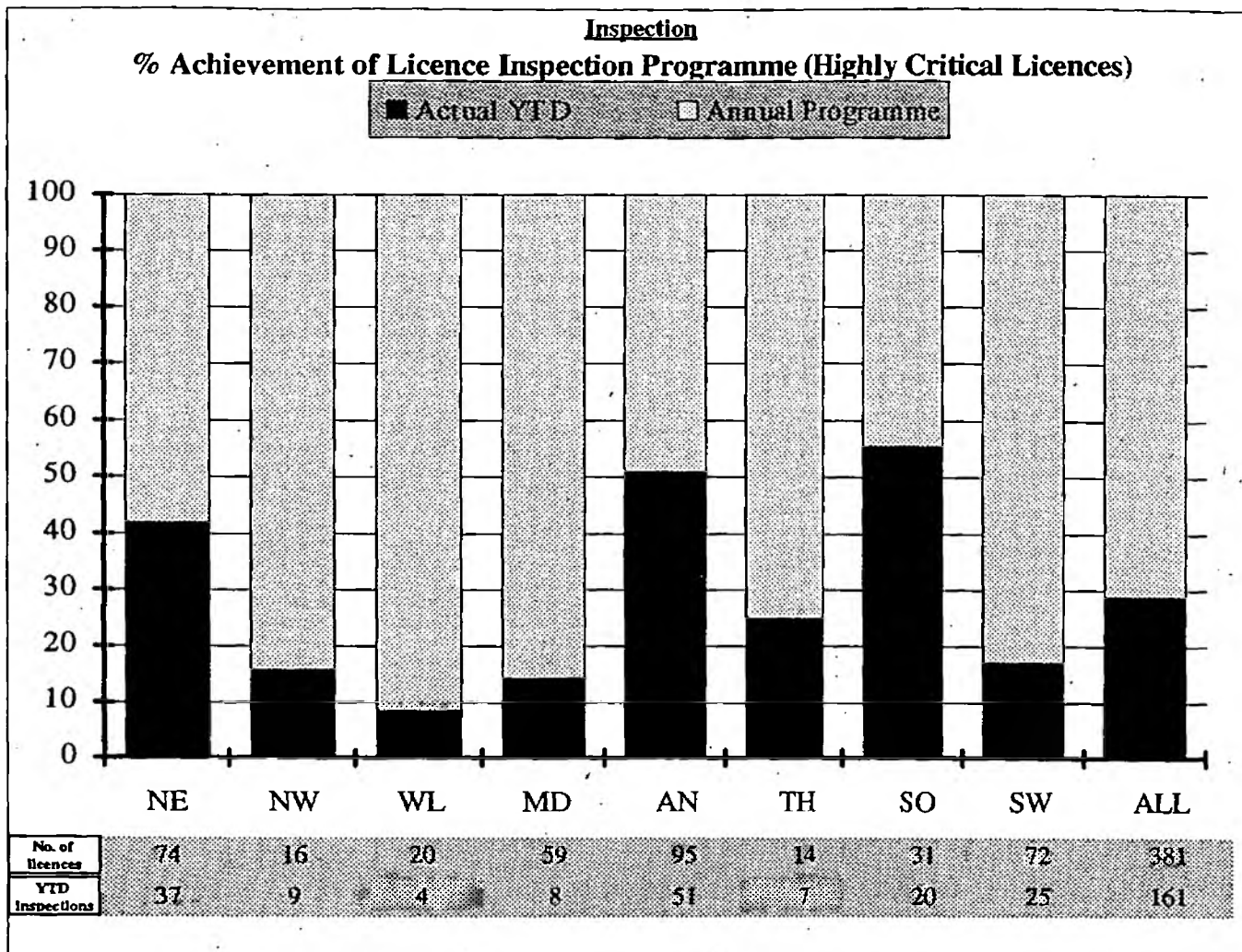
**Comment:** A total of 998 applications were outstanding at quarter end. 499 (50%) of these were 0 to 3 months old; 228 (23%) were between 3 and 6 months old; 132 (13%) were between 6 and 12 months; and, 139 (14%) were older than 12 months.

A large proportion of the total outstanding applications was concentrated in Anglian (43% of the national total) and in the Midland region (24%) where the sheer volume of licences together with the effects of the drought are causing the high backlog.

The size of the backlog has increased over the last quarter. At the end of 1995/96, 916 applications were outstanding; at the end of 1994/95, 855 applications were outstanding; and at the end of 1993/94, 886 applications were outstanding. Over the quarter, only Anglian, Southern and Thames managed to reduce the backlog: in all other regions it increased.

**Action:** Notwithstanding the above comment about Customer Charter obligations, in the interest of providing a high quality service to customers, continuing efforts are required to deal with outstanding applications in all regions, especially Anglian and Midland regions.

## Water Resources



**Introduction:** The above graph looks at the year-to-date attainment of the annual routine (pre-scheduled) inspection programme for highly critical water resource licences. Highly critical licences have the potential to cause a significant impact either on the environment or on other people's abstractions if conditions are breached. National policy guidelines require these licences to be inspected at least once a year and more frequently when environmental conditions dictate - eg during dry periods.

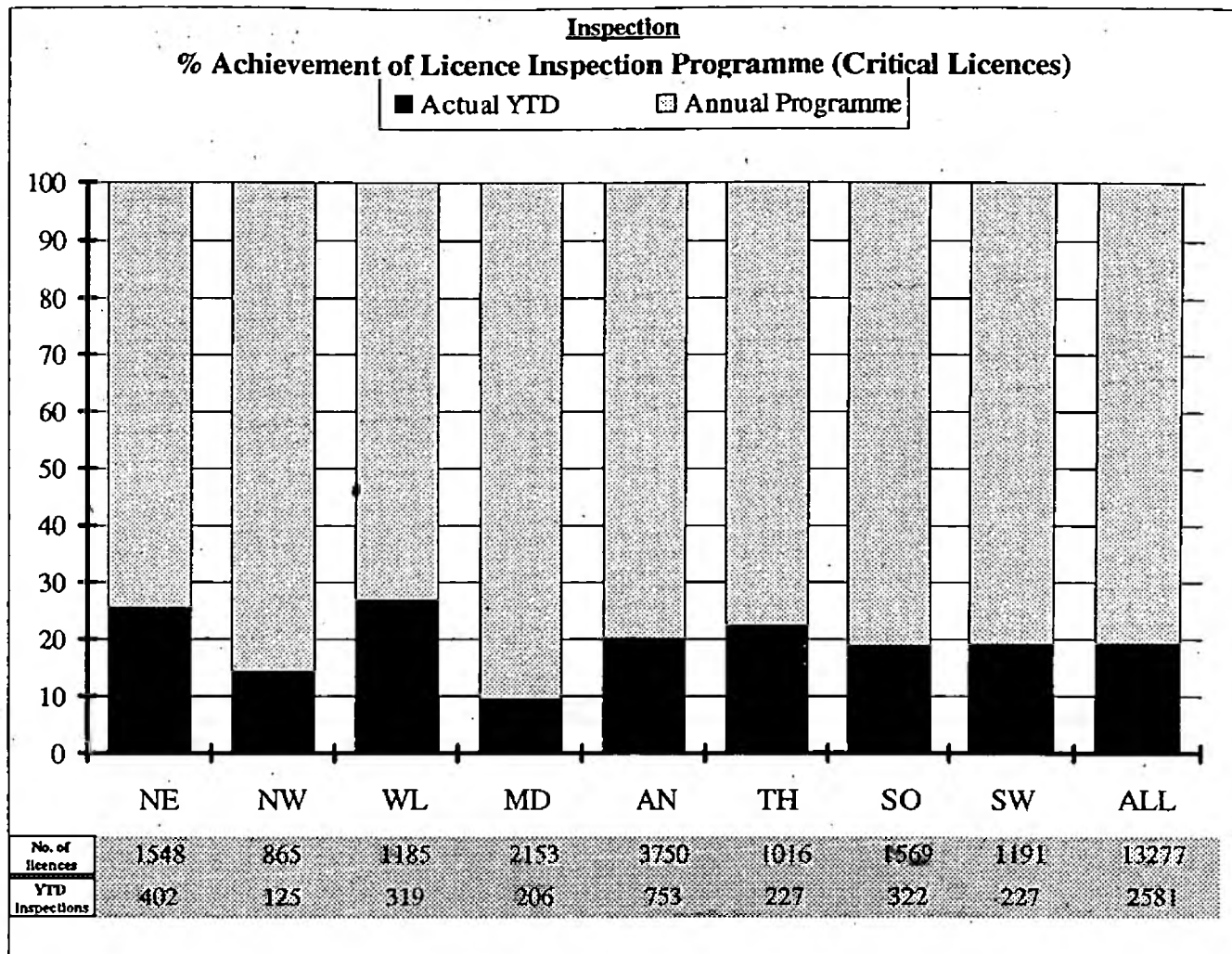
In the graph, the light coloured bar represents the annual policy requirement as contained in national guidelines and interpreted by each region according to local need. The dark coloured bar represents the year-to-date achievement of the policy requirement.

**Comment:** Nationally there were 381 highly critical licences in force during the quarter. Under the policy requirement 576 inspections are required in the year. 161 inspections were actually carried out in the quarter - ie in aggregate, 28% of the annual programme was achieved by the end of quarter 1.

Regionally there were wide variations in achievement of the programme to date. Welsh (8.5% of programme carried out by the end of the quarter), Midlands (13.5%) and North West (16%) were lagging behind. Conversely, Southern (56%) and Anglian (51%) were well ahead of programme by the end of the quarter.

**Action:** All regions below programme, and particularly Welsh, Midlands and North West regions, should note their positions at the end of quarter 1 and increase the relative level of inspection in future quarters.

## Water Resources



**Introduction:** The above graph looks at the year-to-date attainment of the annual routine (pre-scheduled) inspection programme for critical water resource licences.

National policy guidelines require that critical licences are inspected once a year.

In the graph, the light coloured bar represents the annual policy requirement as contained in national guidelines. The dark coloured bar represents the year-to-date achievement of the policy requirement.

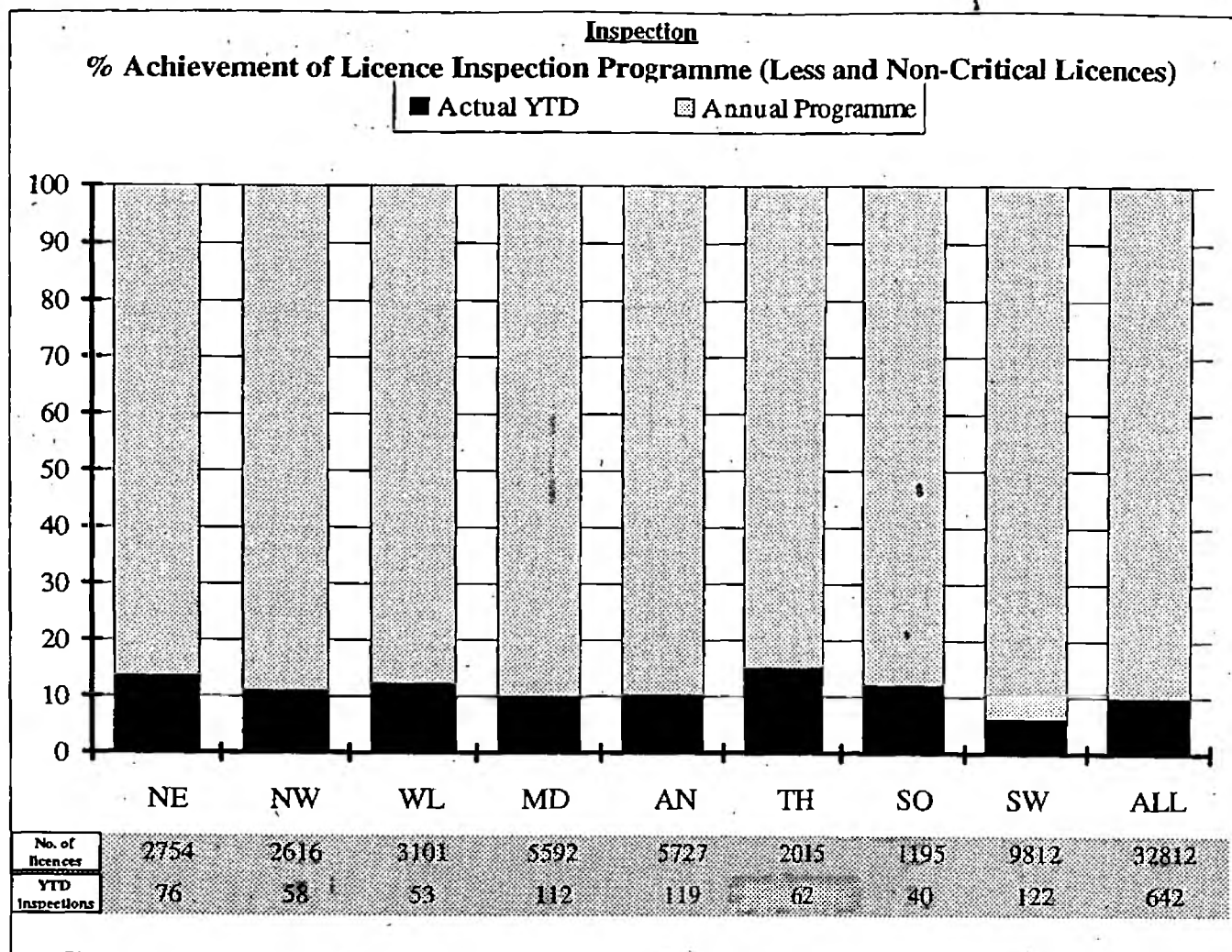
**Comment:** Nationally there were 13,277 critical licences in force during the quarter, each requiring, by policy, one inspection in the year. 2581 were actually inspected in the quarter - ie in aggregate, 19% of the annual programme had been completed at the end of quarter 1. This is less than the 25% which might be expected given an even quarterly distribution of the inspection programme throughout the year.

All regions with the exception of North East and Welsh were below 25% of their annual programme. The number of inspections in the Midland region is alarmingly low (only 10% of programme achieved by the end of quarter 1). In part, this is as a result of long term sickness affecting a number of inspectors.

**Action:** All regions below programme (25%), particularly Midlands and, to a lesser extent North West, should note their positions as of the end of quarter 1 and increase the level of inspection in future quarters.



## Water Resources



**Introduction:** The above graph looks at the year-to-date attainment of the annual routine (pre-scheduled) inspection programme for less/non-critical water resource licences during the first quarter of 1996/97. National policy guidelines require these licences to be inspected once every 5 years.

In the graph, the light coloured bar represents the annual policy requirement. The dark coloured bar represents year-to-date achievement of the policy requirement.

**Comment:** Nationally, there were 32,812 less critical licences in force. Policy required that 6,213 of these should be inspected in the year. 642 were actually inspected in the first quarter - ie in aggregate, 10% of the policy programme was achieved.

**Action:** Achievement of the inspection programme for less critical licences is more difficult to analyse on a quarterly basis due to the 5 year cycle. Assuming that the programme is scheduled evenly over all quarters, all regions appear to be well under programme and need to step up inspections to meet the policy requirement.



## SECTION 2

### **WATER MANAGEMENT**

#### **(b) Flood Defence**

Page

##### **AUTHORISATION**

% of land drainage consents determined within statutory period

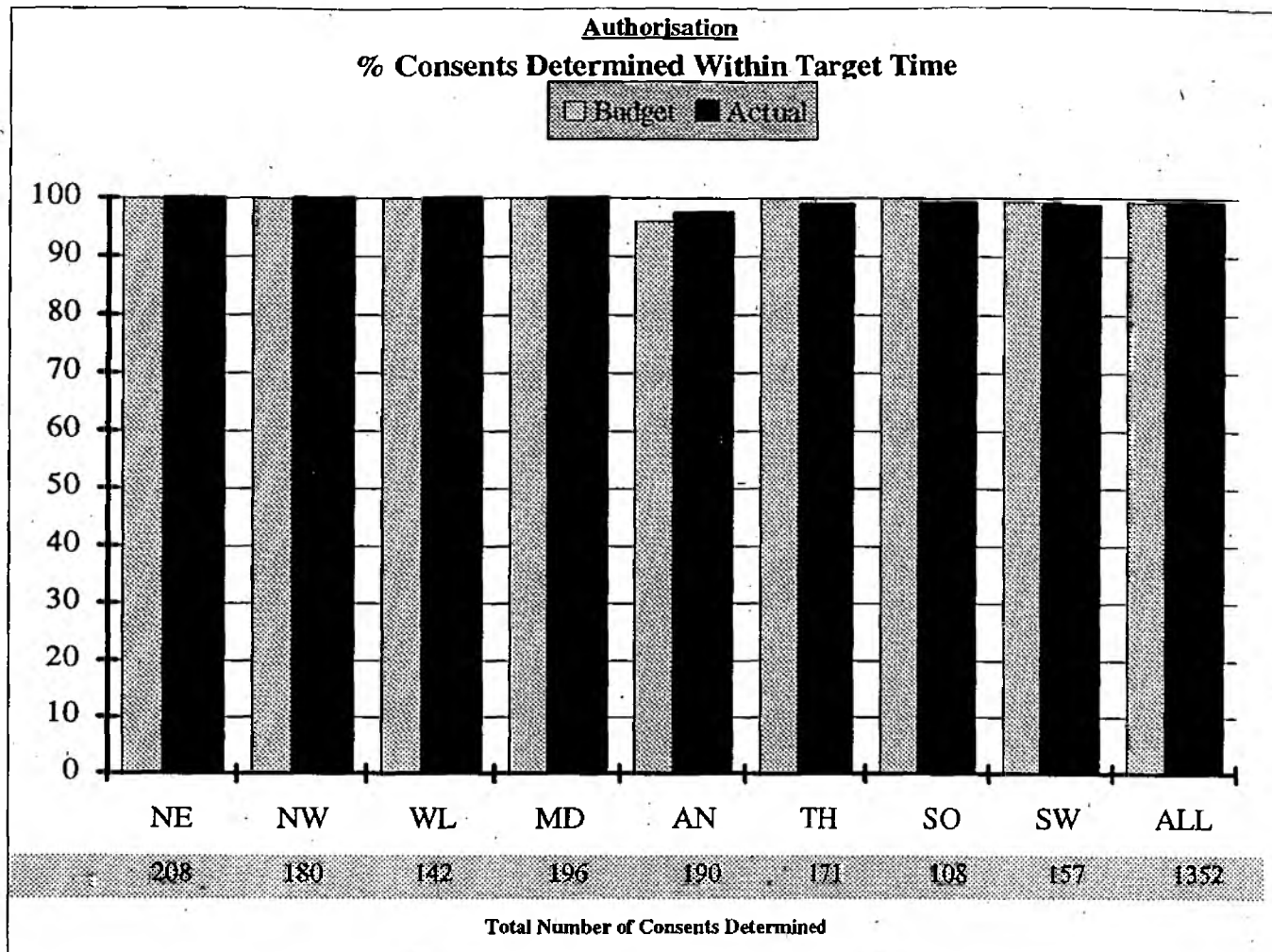
3.1

##### **CAPITAL PROGRAMME**

actual expenditure as % of planned expenditure

3.2

## Flood Defence



**Introduction:** This above graph looks at the percentage of flood defence consents which were actively determined (i.e consented or refused) by the Agency within the 2 month statutory target time.

This measure has been adopted as part of the Agency's Customer Charter.

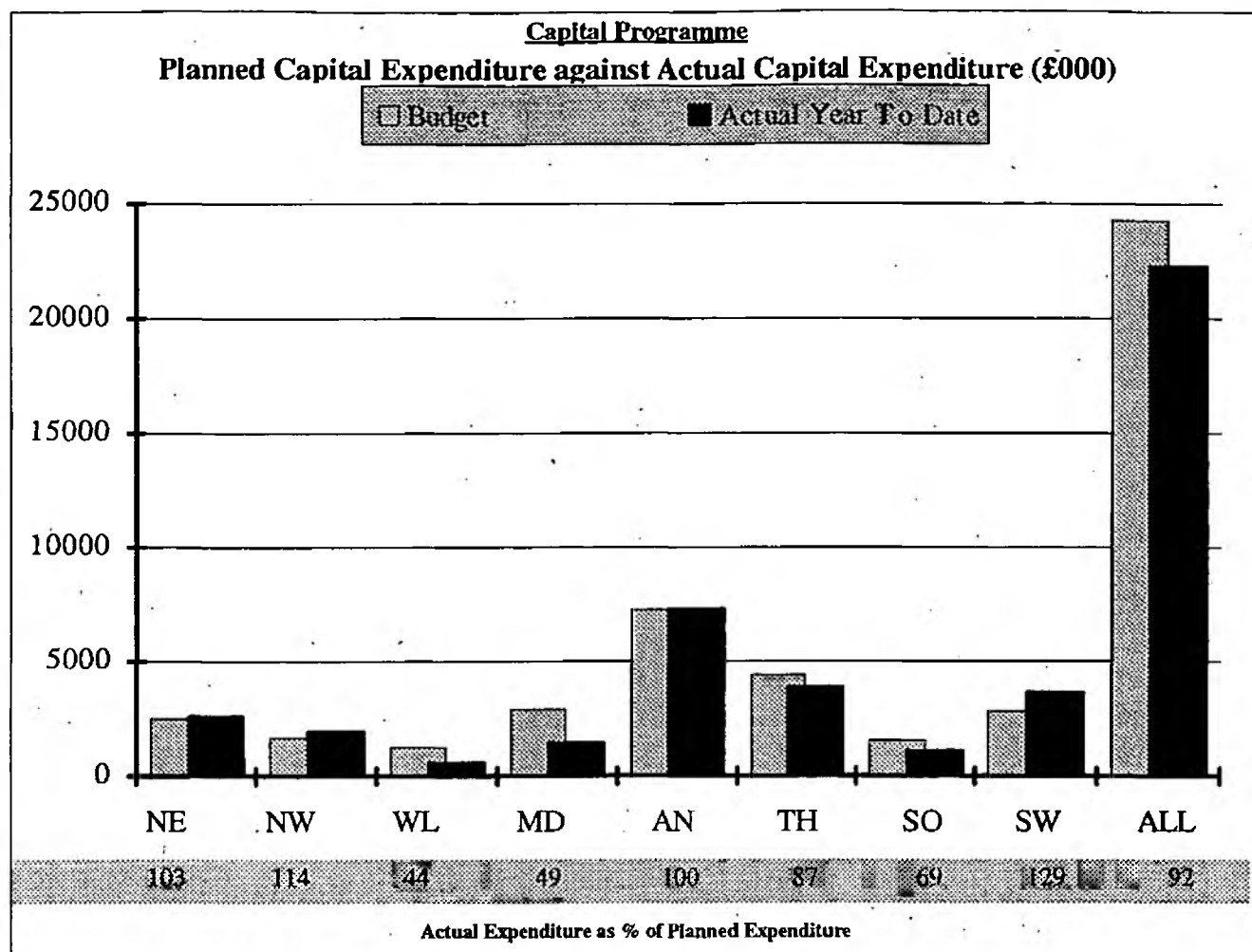
The graph compares actual performance in quarter 1 against the 1996/97 Corporate Plan target.

**Comment:** Nationally, 99% of consents were actively determined within target time. This was the same as the target in the 1996/97 Corporate Plan and in line with performance levels achieved in previous periods.

All regions determined between 97% and 100% of consents within target time.

**Action:**

## Flood Defence



**Introduction:** The above graph looks at actual flood defence capital expenditure in the first quarter of 1996/97 compared with the planned capital programme for the quarter.

Major variations from the Flood Defence capital budget can cause undesirable fluctuations in Local Authority charge-setting and undermine future funding. It is important therefore, that the programme is both well planned and well managed.

**Comment:** Nationally, £22.2 million was spent on flood defence capital schemes in the quarter compared with a planned expenditure of £24.3 million. ie the programme was underspent by about 9%.

Only Anglian region managed to achieve its budget. Capital overspends in North East, North West and South West were in contrast to underspends which occurred in all other regions.

Welsh and Midlands regions significantly underspent, achieving only 44% and 49% (respectively) of their Q1 programme.

**Action:** Whilst it is possible that underspends reported at first quarter stage might be reversed during the remainder of the year, it is important that regions take cognisance of their positions in relation to budget and, where it is within their sphere of influence, take action to ensure the full delivery of planned programmes.

## SECTION 2

### **WATER MANAGEMENT**

#### **(c) Fisheries, Recreation, Conservation & Navigation**

##### FISHERIES

Page

##### **INSPECTION & ENFORCEMENT**

% compliance of rod licences checked	4.1
% of reports of illegal fishing actioned in target time	4.2
% of reports of handling of salmon in suspicious circumstances handled in target time	4.3
% of prosecution/formal caution recommendations actioned within target time	4.4

##### **FISH KILLS**

% of fish kills attended within target time	4.5
---	-----

##### NAVIGATION

##### **INSPECTION**

% compliance of navigation licences checked	4.6
---	-----

##### **EMERGENCY RESPONSE**

% of major emergency navigation incidents attended within target time	4.7
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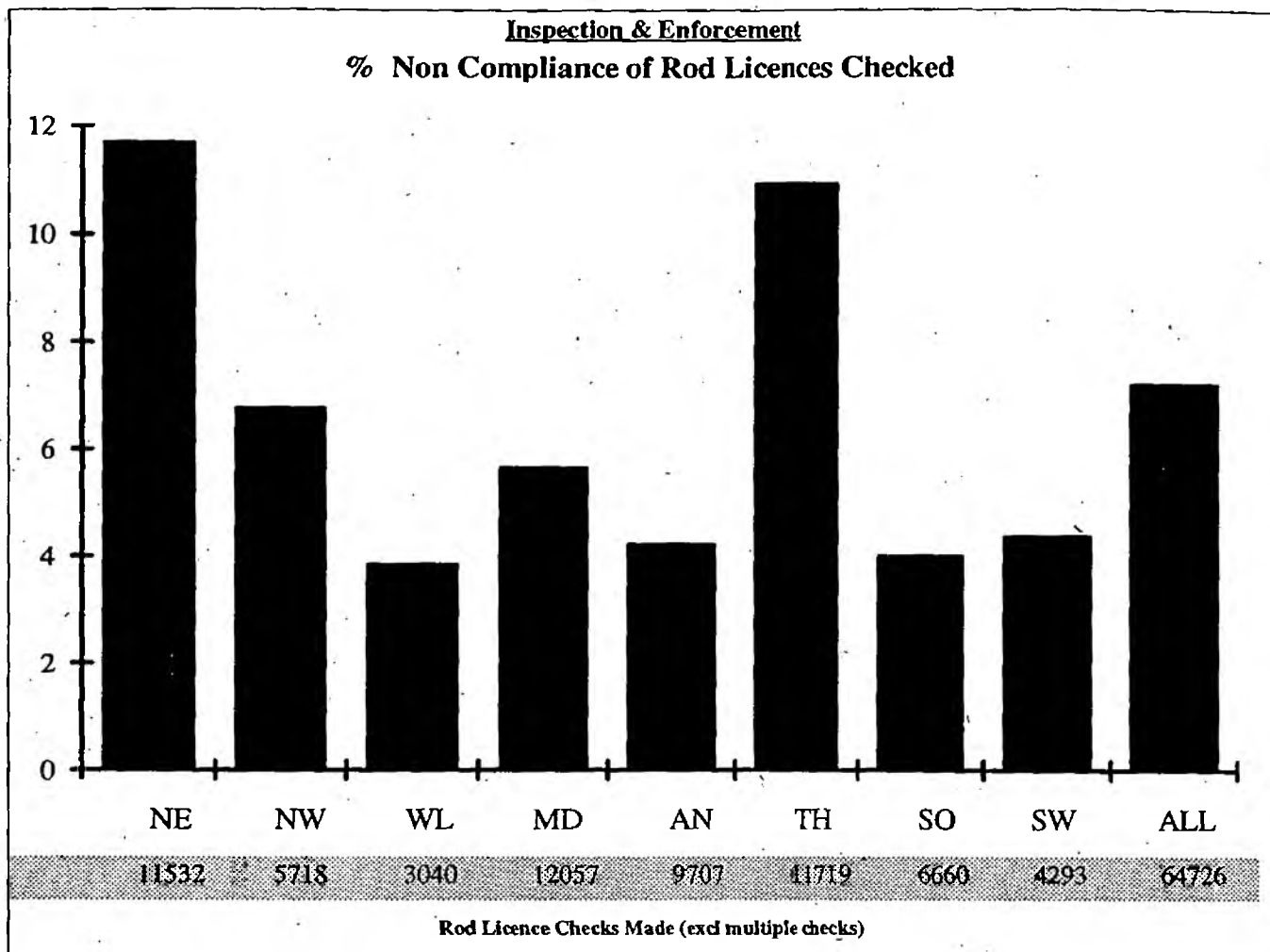
##### FRCN PROMOTION & ADVICE

% of requests for FRCN advice actioned within target time	4.8
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##### FRCN PLANNING & DEVELOPMENT CONTROL

% of referrals to FRCN responded to by deadline requested	4.9
---	-----

## Fisheries



**Introduction:** The above graph looks at non-compliance of rod licences checked in the quarter.

Enforcing compliance is important both as a means of regulating fisheries and in terms of its contribution towards maximising income - increasingly vital in the context of reductions in GIA.

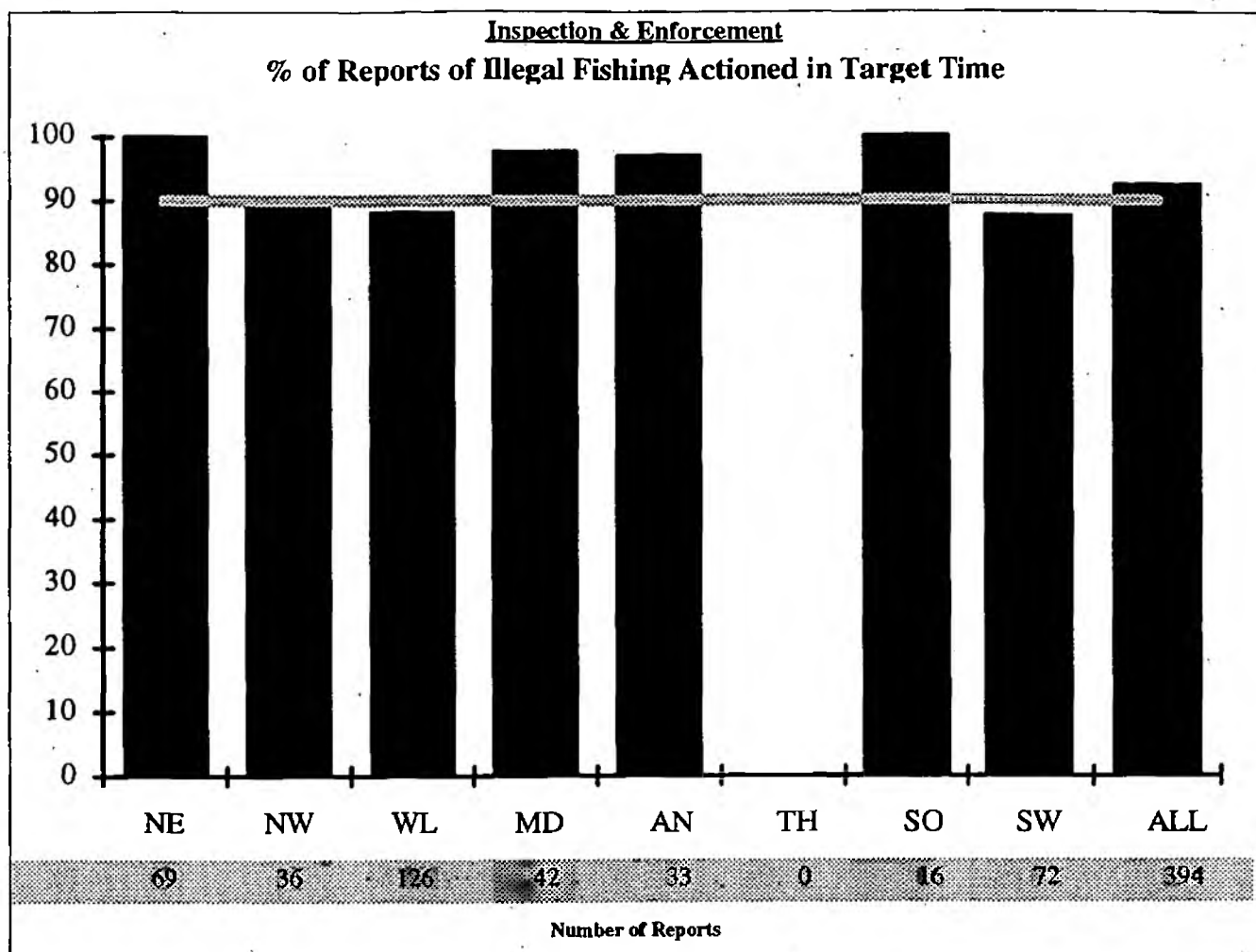
**Comment:** Nationally, almost 65,000 rod licence checks were carried out in Q1. This figure excludes multiple checks (ie where the same licence is checked more than once in the reporting period). Including multiple checks, the figure would rise to over 73,000.

Of the checks made, there were 4,679 failures to produce a valid licence ie a non-compliance rate of 7.2%.

North East region had the highest non-compliance rate (11.7%), followed by Thames (10.9%).

**Action:** All regions, and especially North East and Thames regions, should endeavour to reduce the number of non compliant rod licences.

## Fisheries



**Introduction:** The above graph looks at the attainment of a standard of service in Fisheries regulation. The standard requires that 90% of all reports of illegal fishing are assessed and appropriate action initiated within 2 hours of notification during normal working hours and within 4 hours at all other times.

**Comment:** A total of 394 reports of illegal fishing were recorded in the quarter. Regionally the number of reports ranged from 0 in the Thames region to 126 in the Welsh region. In general, it is to be expected that reports will be concentrated in salmonid fisheries prone to poaching activities, but some illegal netting of coarse fish also occurs and will be reflected in the figures.

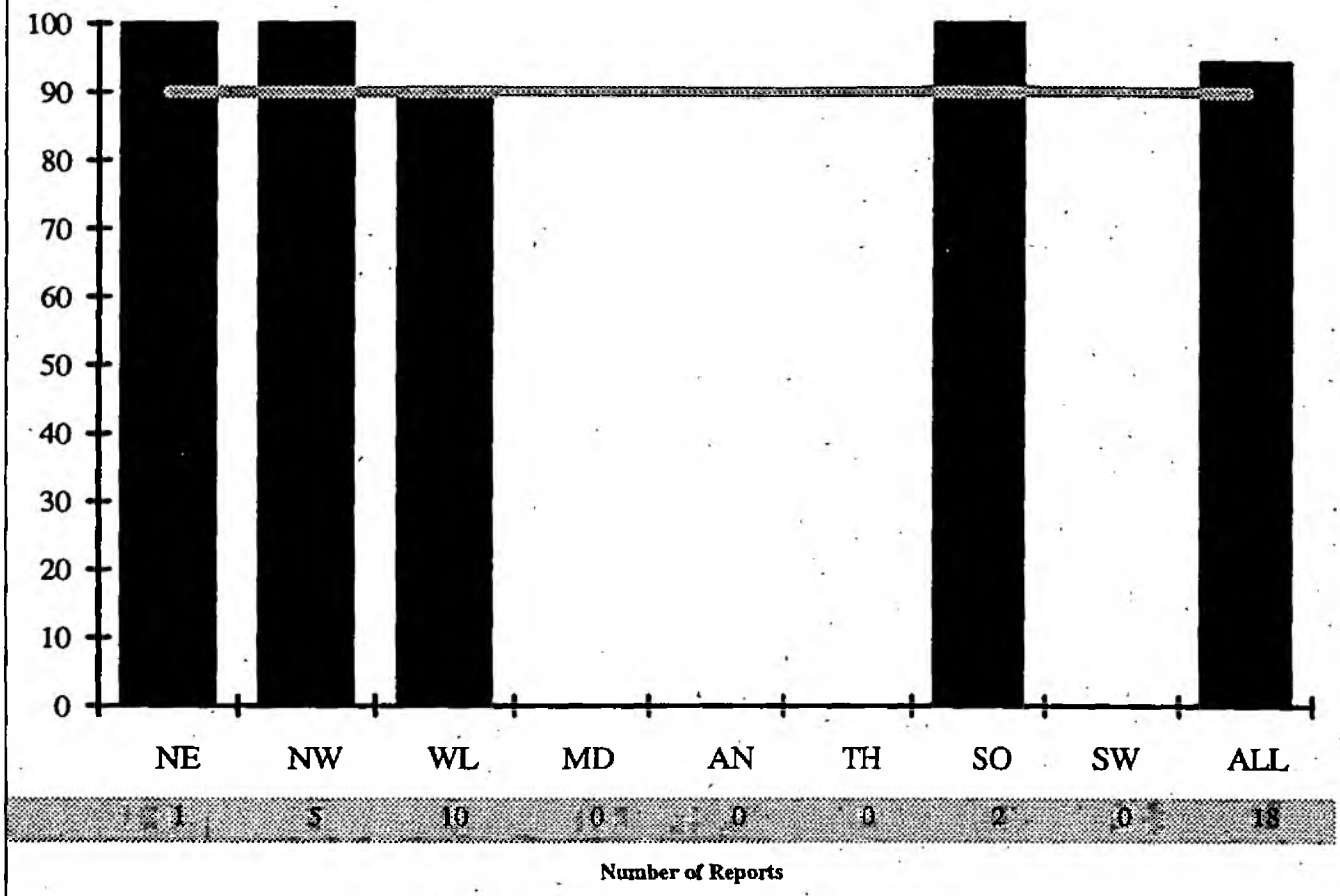
92% of all reports were actioned within target time, and all regions met or exceeded the 90% target standard with the exception of Welsh and South West, which were only slightly below the national target.

**Action:**

## Fisheries

### Enforcement

#### % of Reports of Handling of Salmon in Suspicious Circumstances Actioned in Target Time



**Introduction:** In addition to "sharp-end" anti-poaching activities, enforcement efforts to reduce illegal fishing are also directed towards countering the black market in sales of illegally taken salmon. Under the Salmon Act 1986 it is an offence to handle salmon in suspicious circumstances. The offence is committed if someone handles, or receives, a salmon that he/she should have reasonably suspected was taken illegally.

The above graph looks at the attainment of an Agency Fisheries standard of service which requires any report of handling of salmon in suspicious circumstances to be appropriately actioned within 2 hours of notification during normal working hours and within 4 hours at all other times.

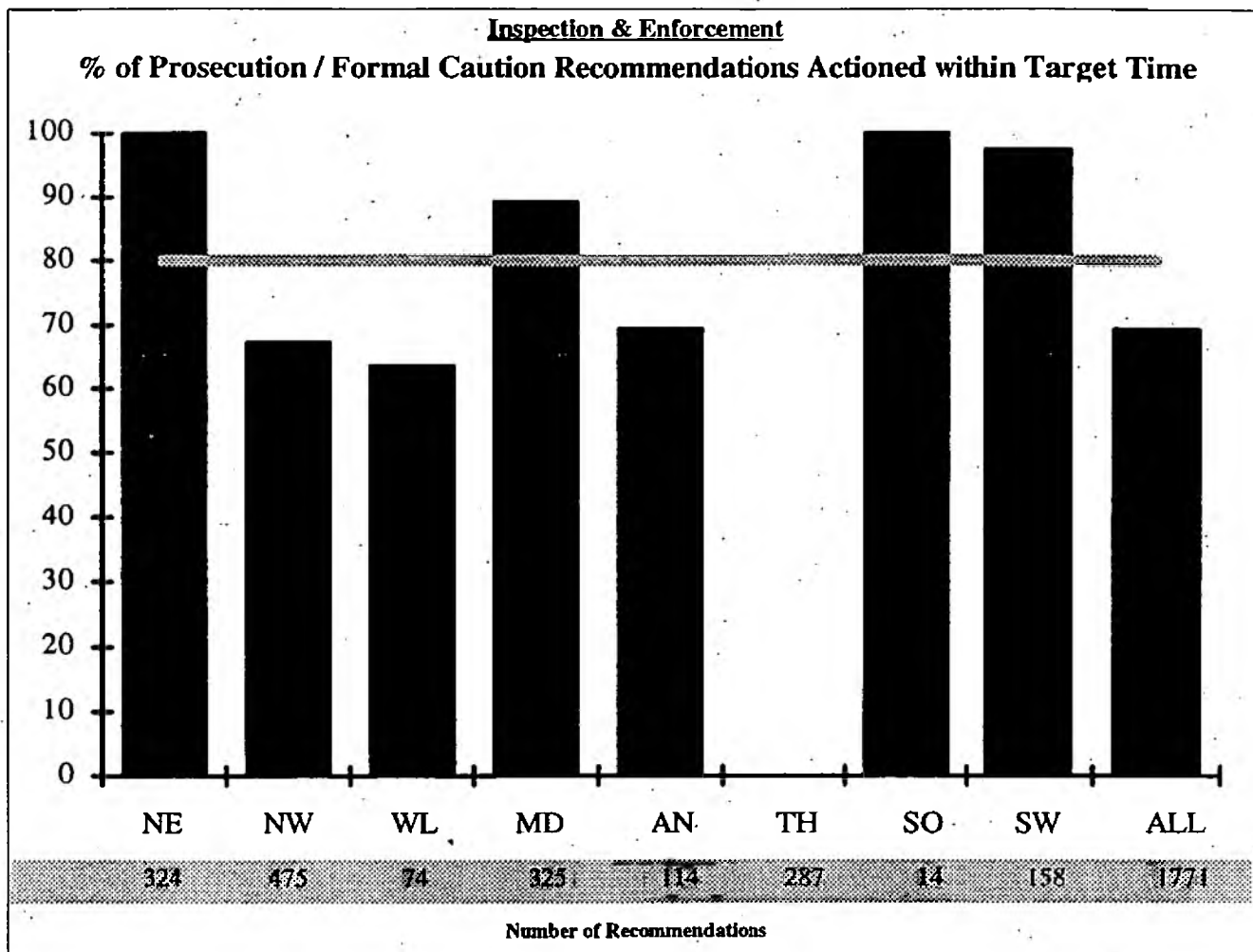
**Comment:** 4 out of 8 regions received reports of handling of salmon under suspicious circumstances in Q1.

94% of all reports were actioned within target time and all regions met or exceeded the standard of service target.

**Action:**



## Fisheries



**Introduction:** The above graph looks at the percentage of enforcement recommendations for which the required paperwork/documentation was completed and forwarded to the legal department for subsequent action within 35 calendar days of the date of the offence. The standard of service requires that 80% of all recommendations are made within the 35 day target.

**Comment:** A total of 1771 offences were recommended by Fisheries for legal action during the quarter. These include licence, byelaw and other offences. Of these, a national average of 69% were made within the standard of service target time.

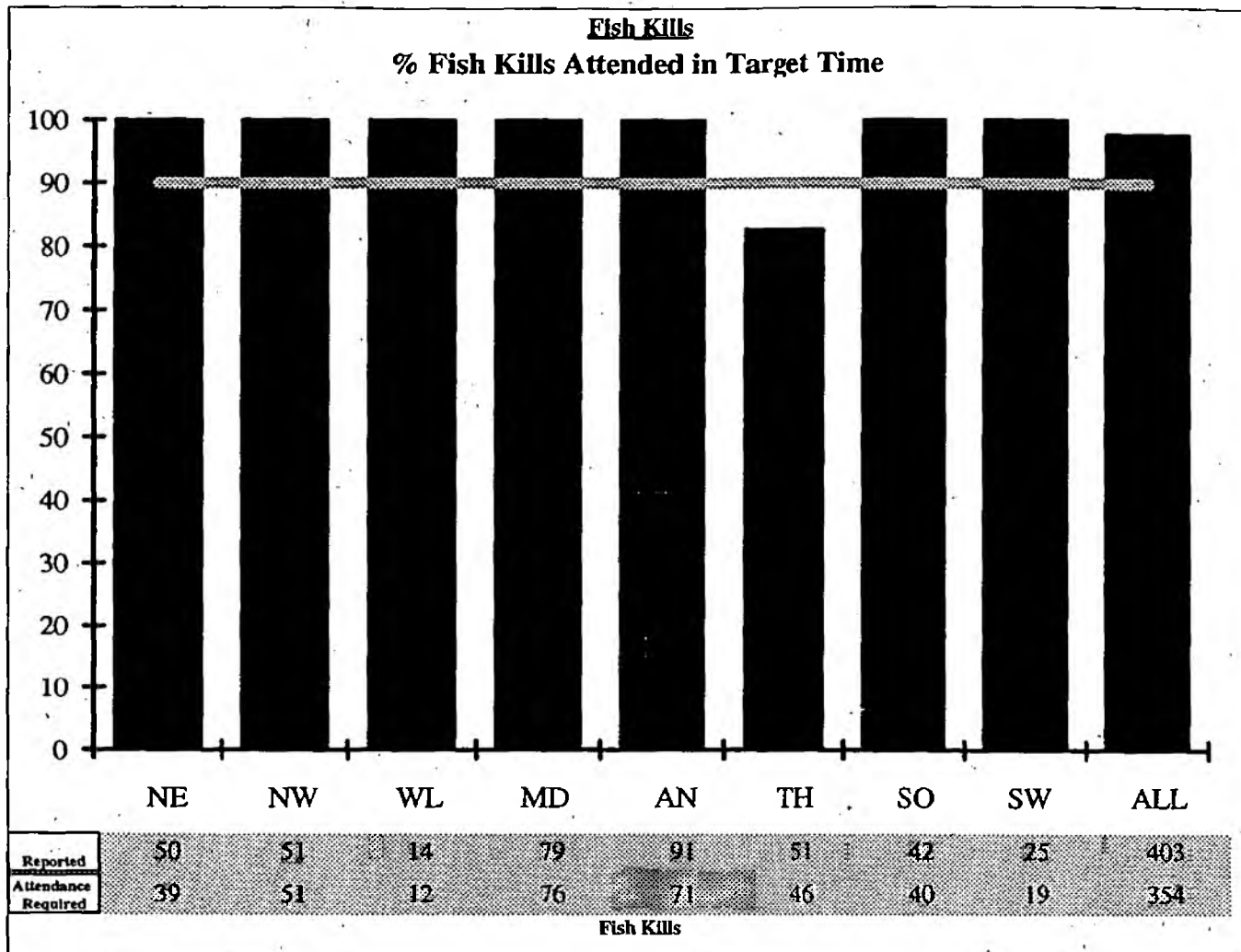
Regionally, North East (100%), Midlands (89%), Southern (100%) and South West (98%) exceeded the standard of service; North West (67%), Welsh (64%) and Anglian (69%) were below the standard; and, Thames failed to action any prosecution / formal caution recommendations within target time.

Thames have previously indicated that they do not agree with the 35 day target on the basis that the Magistrates Court Act allows up to 6 months to bring a case to court from the time an offence is committed. Thames aim to ensure that 50% of offence reports are dispatched to the legal department within 60 days and 98% within 90 days. This then leaves a minimum of 90 days for the legal department to take action.

**Action:** Thames' approach, as reported on previous occasions, is out of line with that of other regions who have collectively agreed that there are advantages to be gained in dealing promptly with offences. A continual stream of offence reports will require the same amount of resource to process in 35 days as it would in 90 days, so there would be no additional resource requirement to speed up the turnaround time once any initial backlog had been cleared.

Thames and other regions who are not meeting the prescribed standard of service may benefit from emulating procedures in those regions which are delivering the requisite standard.

## Fisheries



**Introduction:** The above chart looks at the percentage of fish kills which were attended within a standard of service target time. The standard requires 90 percent of fish kills to be attended within 2 hours of notification during normal working hours and within 4 hours at all other times. This measure has been adopted as part of the Agency's Customer Charter.

**Comment:** A total of 403 fish kills were reported in the quarter. Of these it was decided that 354 incidents merited attendance by Agency staff and of the incidents attended, 97.7% were attended within target time.

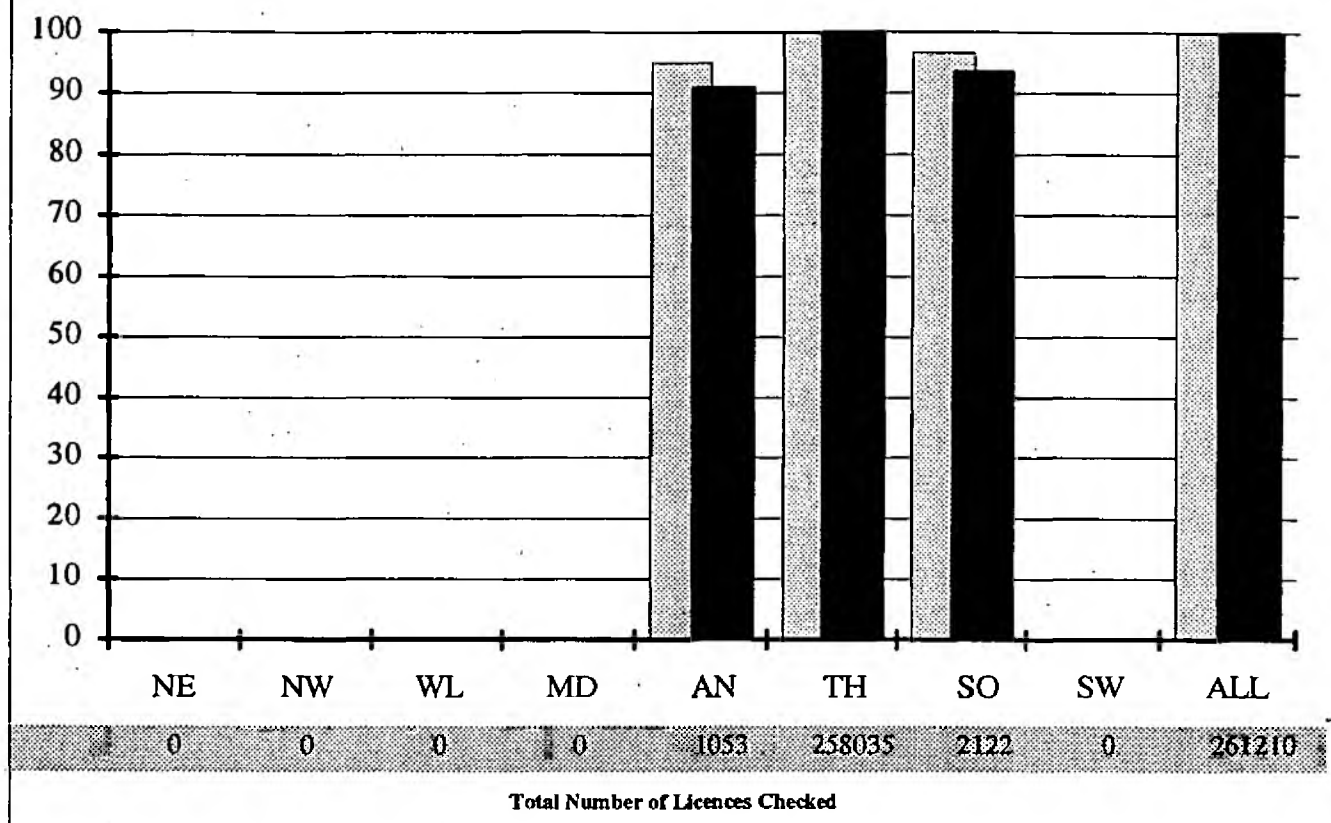
All regions exceeded the 90% standard of service target, with the exception of Thames region (83%).

**Action:** Thames region to note that the percentage of fish kills attended in target time is below the 90% target standard.

## Navigation

Inspection  
% Compliance of Navigation Licences

□ Budget ■ Actual



**Introduction:** The NRA is empowered to raise income and regulate navigations on inland waters for which it is the navigation authority through a system of licensing or boat registration. It is an offence in most cases to use any vessel on these navigations without a valid licence certificate. To enforce these powers the NRA carries out a system of licence inspection. Registered vessels must display a crest, mark or similar device which is visible from a distance, thus facilitating inspection.

The above chart measures the percentage compliance of navigation licences checked during the quarter.

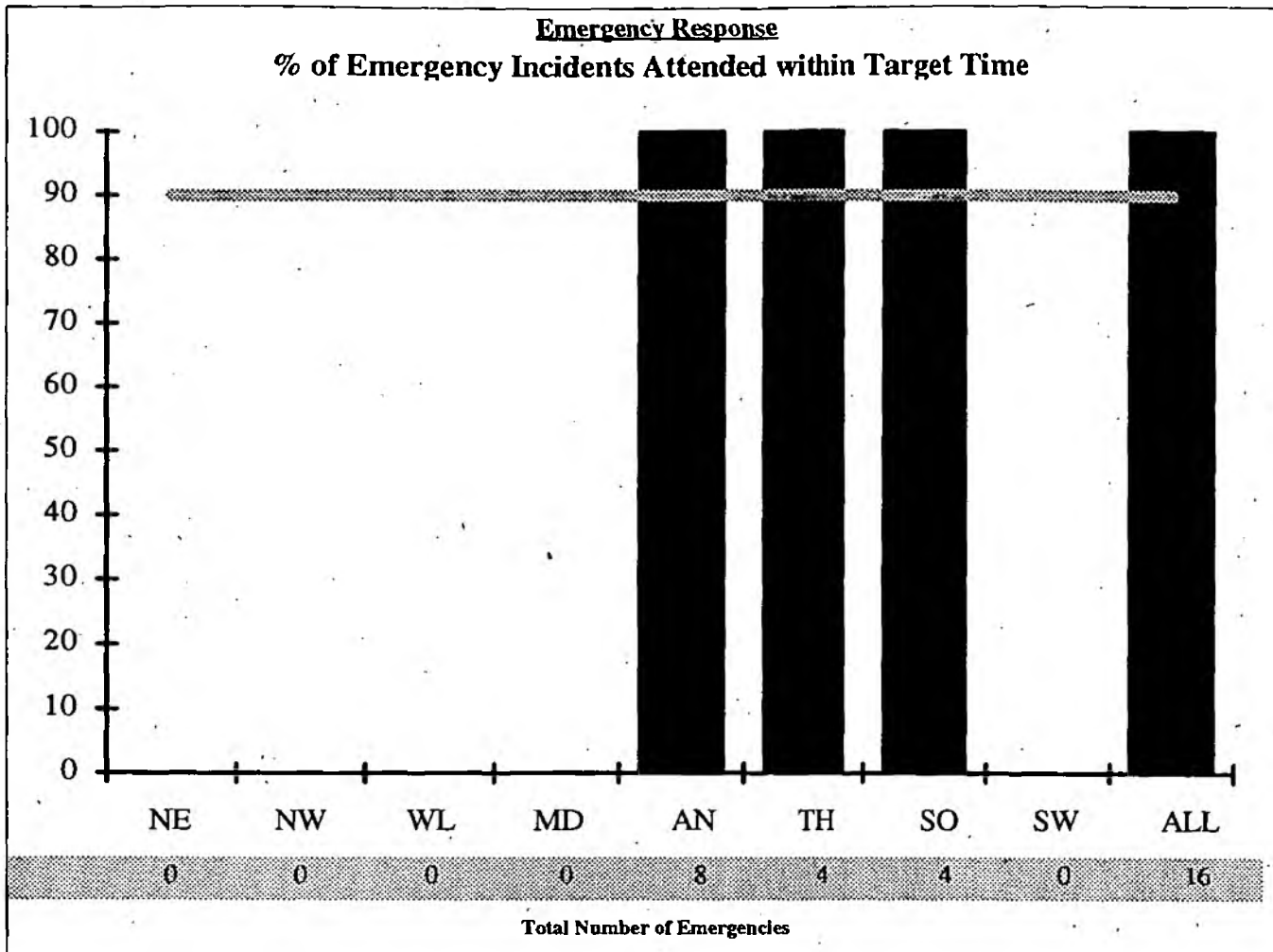
The number of checks made (see shaded row below graph for details) include multiple checks (ie same licence is checked more than once). This is likely to overstate true compliance.

**Comment:** Over 260,000 licence checks were carried out in the quarter. 99.7% were compliant. This is consistent with that reported in previous periods and in line with budget expectations. The overall rate of compliance is, however, heavily biased by the high rate of compliance in Thames (99.8%), which, in turn, is skewed by the multiple checking system. Almost 99% of all checks carried out nationally were in the Thames region, where typically an inspection is carried out as a matter of routine each time a boat passes through the extensive lock network. Compliance in Anglian was 91% compared with a budget of 95%; and in Southern, the compliance rate was 93% compared with a budget of 97%.

Whilst in relative percentage terms compliance in Thames was above that in other regions, in absolute terms the largest number of licence offences detected was in Thames (479), followed by Southern (140) and Anglian (97).

**Action:** Anglian and Southern to take actions to bring compliance up to budget levels.

## Navigation



**Introduction:** This measure looks at emergency response and the level of achievement of a standard of service to attend 90 percent of all incidents within 4 hours of notification. Typical emergencies would include failure of lock structures or sunken craft likely to impede or risk other vessels.

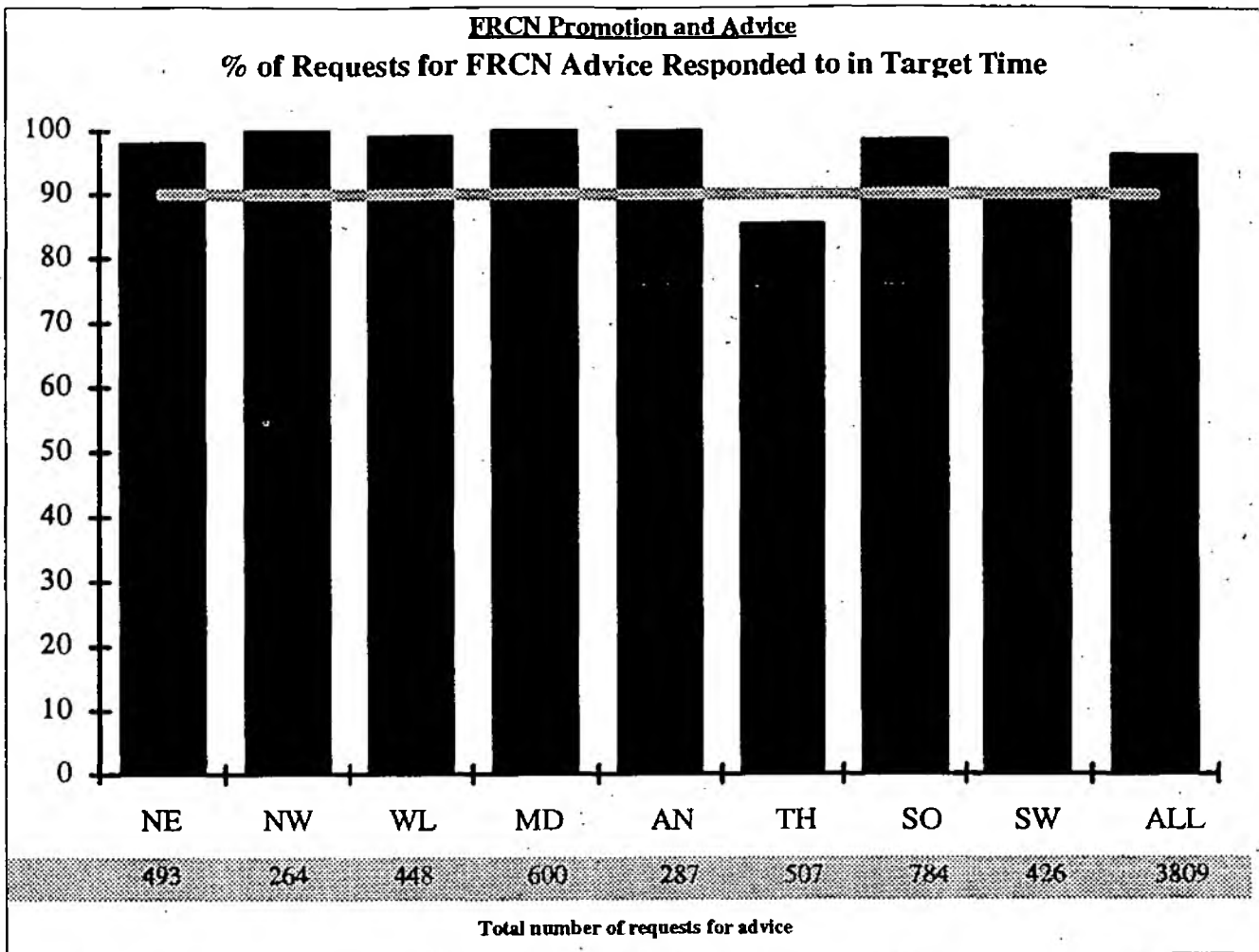
This standard has been adopted as part of the Agency's Customer Charter.

**Comment:** 16 emergency incidents were reported in the quarter. 8 were in Anglian, 4 in Thames and 4 in Southern.

As in previous periods, all incidents (100%) were attended in target time thereby exceeding the standard of service.

**Action:**

## Fisheries



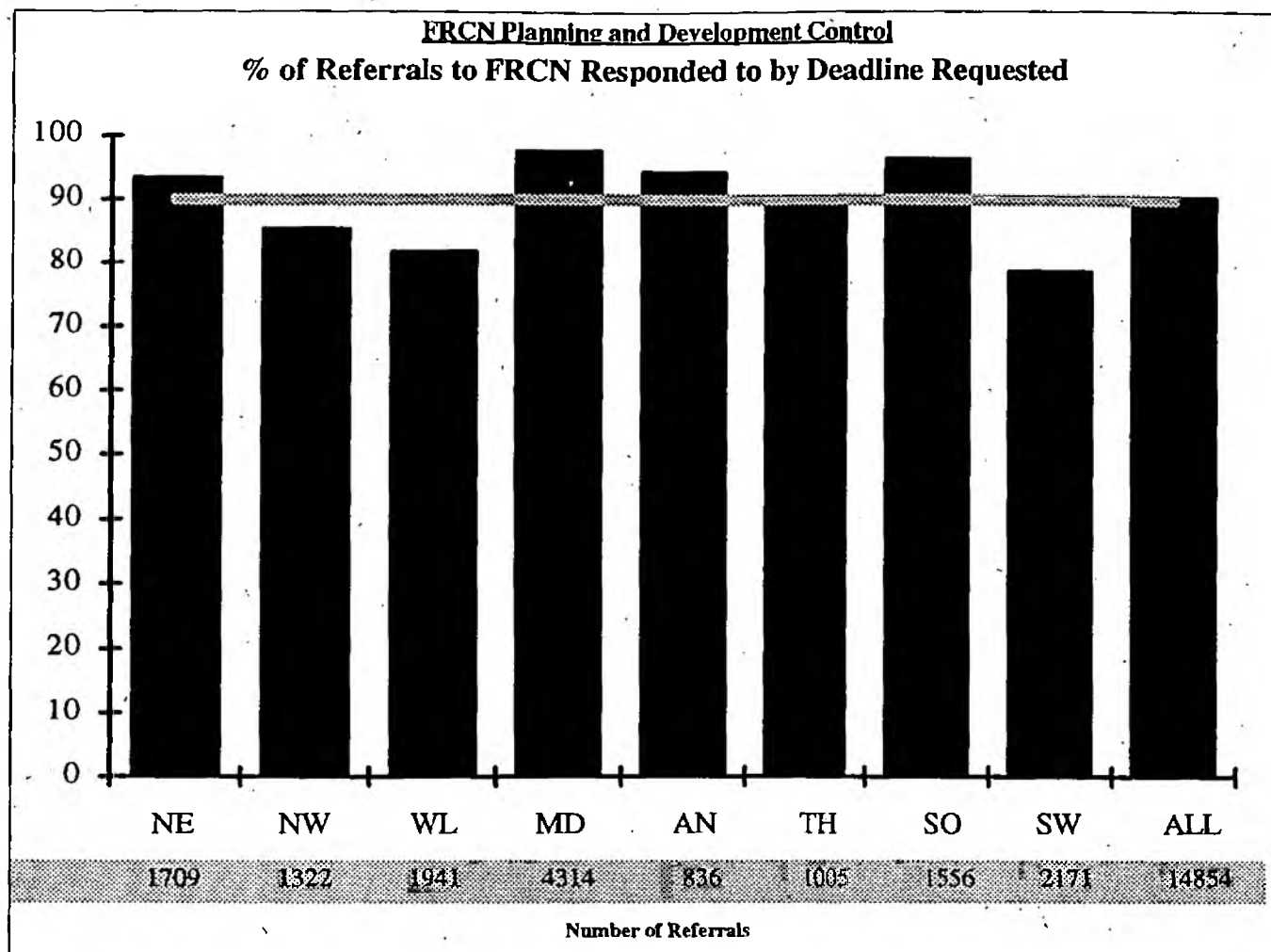
**Introduction:** The above chart measures actual performance against a Standard of Service target in FRCN functions to provide either a considered response or make a site visit to 90% of requests for advice within 20 working days of a request being made. This measure is obviously focused on customer service and has been adopted as part of the Agency's Customer Charter.

**Comment:** A national total of over 3,800 requests for advice were received in the quarter. 96% of these were answered within 20 days, thereby exceeding the standard of service target.

All regions except Thames (85%) exceeded the standard of service.

**Action:** Improvements required in Thames to meet the standard of service target.

# Fisheries



**Introduction:** The above chart looks at the attainment of a standard of service in FRCN functions in relation to providing a response to planning & development control referrals within a specified deadline. These referrals include Local Authority consultations, Agency consent applications and Agency proposed work schemes. The standard requires that 90% of all referrals are responded to by the deadline requested.

**Comment:** In total, FCRN functions provided input to over 14,800 referral requests in the quarter 1. (Note, in most cases the same referral will be reviewed independently by each function, hence there is an element of "double counting"). 90% of these were responded to within the deadline requested, thus meeting the standard of service.

5 out of 8 regions met or exceeded the standard of service. North West (85%), Welsh (82%) and South West (79%) were below.

**Action:** Improvements in North West, Welsh and South West to meet the standard of service and to bring performance up to the level attained by other regions.

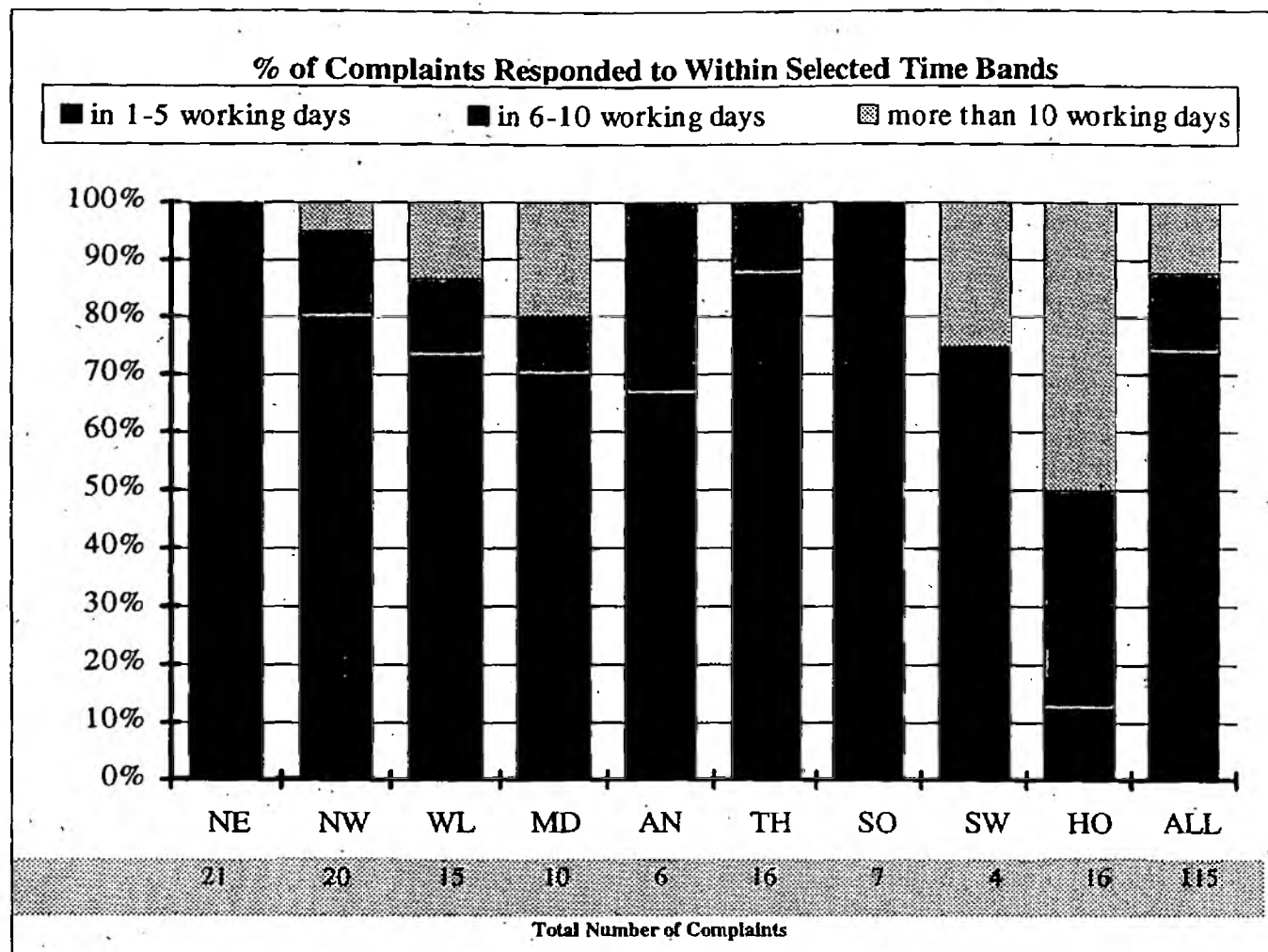
### SECTION 3

## **MULTI FUNCTIONAL**

	page
% of complaints responded to within selected time bands	5.1
% of MPs' letters responded to within selected time bands	5.2
% of planning applications responded to within selective time bands	5.3



# Multi-Functional



**Introduction:** This measure has been developed as part of the Agency's work on the Customer Charter and looks at the timeliness with which we respond to complaints from our customers. The Charter makes an undertaking by the Agency to provide a full formal response within 5 working days from the time a complaint is received.

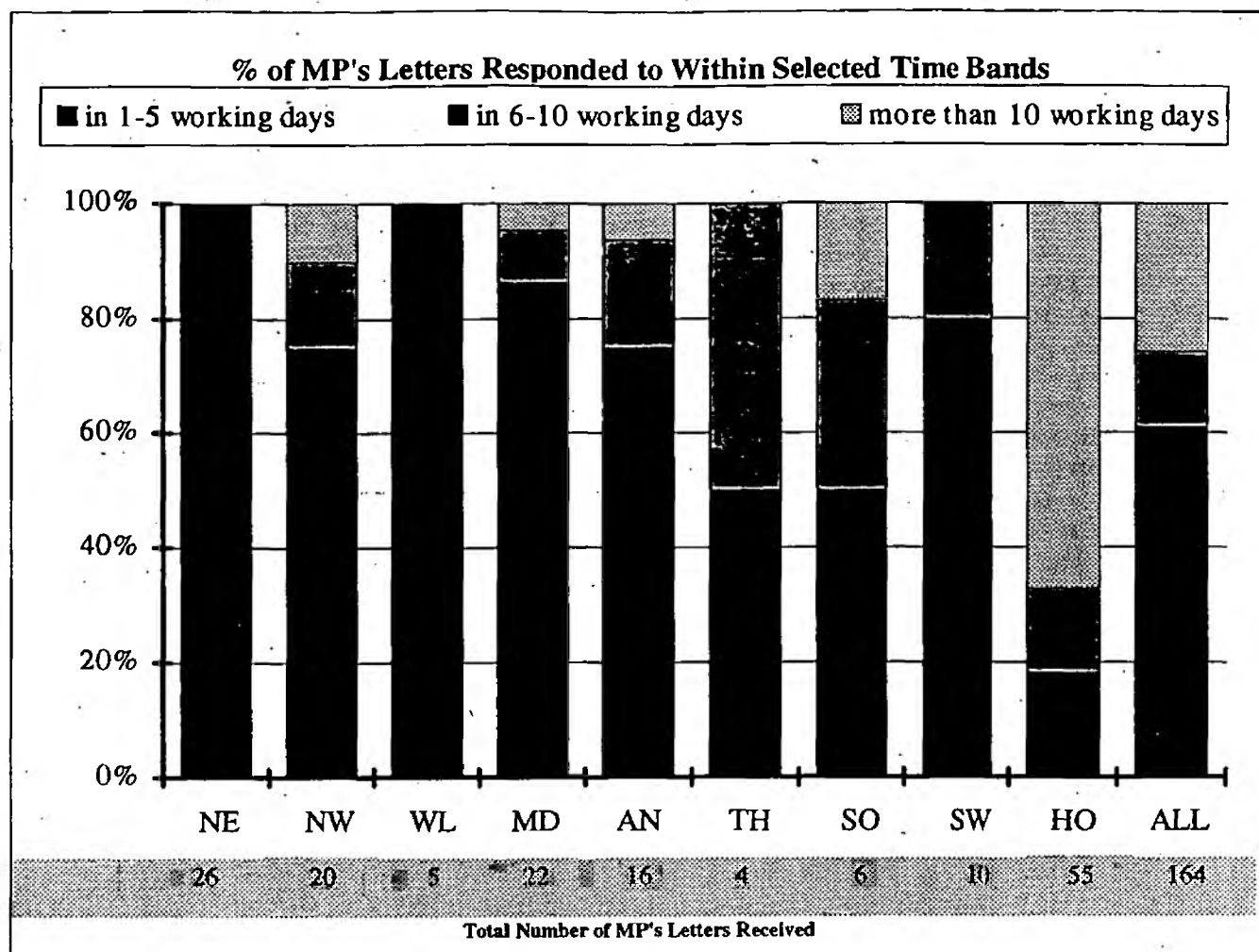
**Comment:** A total of 115 complaints were formally recorded in the quarter. This equates to an average of about 9 a week. Regionally, the distribution of complaints received varied from 4 in South West up to 21 in North East.

74% of all complaints received were answered within the 5 day standard of service time; 14% were answered within 6-10 days; and the remaining 12% were still awaiting a response after 10 days.

Only 2 regions, North East and Southern, fully met the 5 day standard of service time.

**Action:** All regions should aim to meet the prescribed standard of service. Particular improvements are required at Head Office.

## Multi-Functional



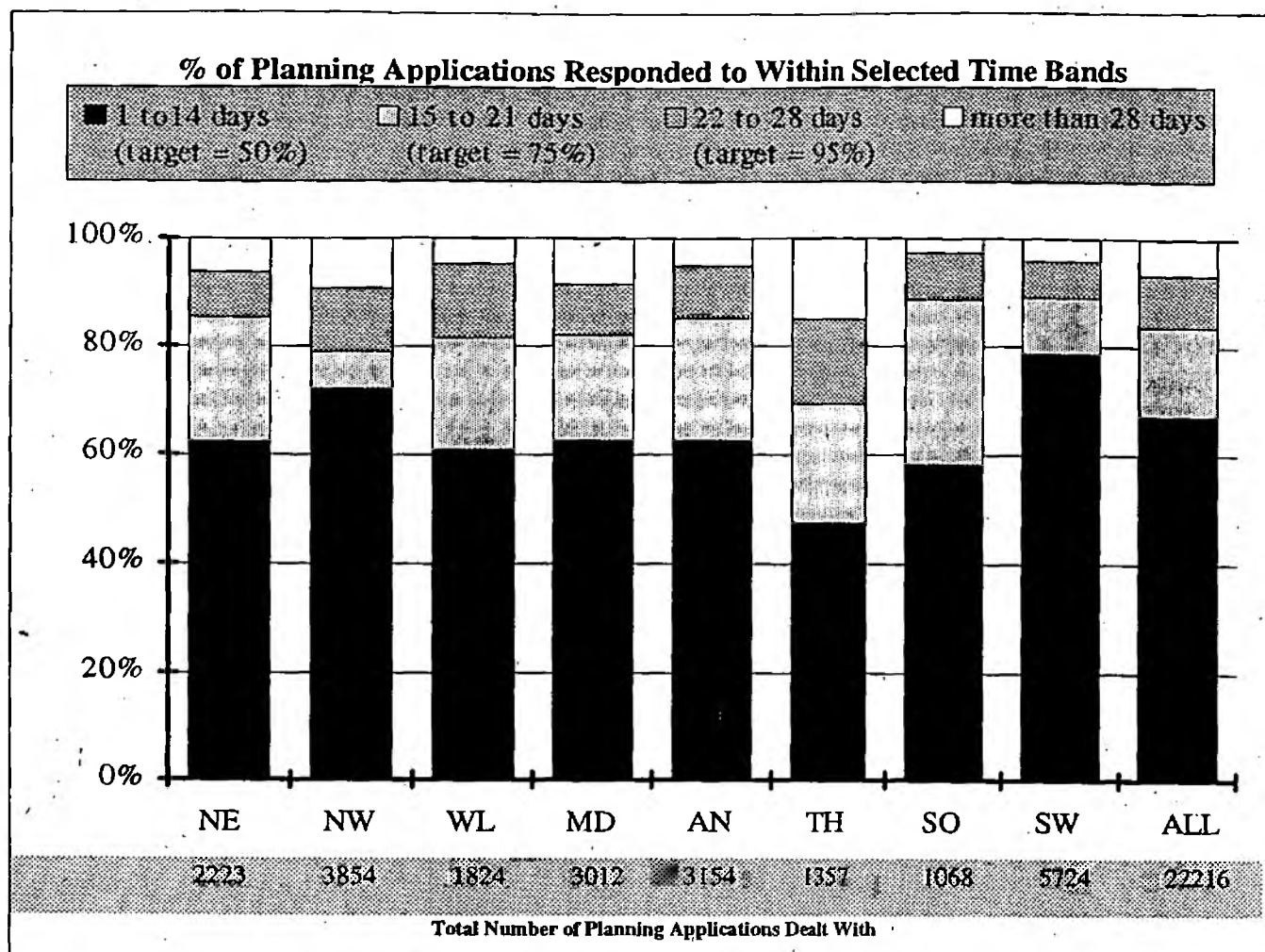
**Introduction:** This chart examines the timeliness with which the Agency responds to letters received from Members of Parliament. Since the Agency deals with many enquiries from MPs, a Standard of Service has been prescribed for responding to such enquiries. The Standard requires RGMs to respond to MPs' letters by return wherever possible and, in any event, within 5 working days.

**Comment:** 165 letters from MPs were received in the quarter. 55 or one-third of these were directed to Head Office. 61% were answered within 5 working days. Only 2 regions, North East and Welsh, fully met the standard of service.

12% of letters were answered within 6 to 10 days, leaving 27% still awaiting a response after 10 days. Head Office was responsible for a large proportion of the latter.

**Action:** With the exception of North East and Welsh, improvements are required in all regions, and Head Office in particular, to meet the prescribed standard of service.

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**Introduction:** The above chart looks at the percentage of planning applications processed by the Agency within a range of Standard of Service target times. These are to respond to 50% of applications within 14 days of receipt, 75% within 21 days and 95% within 28 days. These standards have been incorporated in the Agency's Customer Charter.

**Comment:** The Agency dealt with a total of over 22,000 planning applications in the quarter. 67% of these were responded to within 14 days. Performance in all regions exceeded the 50% target with the exception of Thames (48%) which was a little below the target.

86% of applications were responded to within 21 days. Again, all regions with the exception of Thames (69%) met the 75% target.

93% of applications were responded to within 28 days, falling short of the overall standard of service target. However, only 3 regions, Thames, North West and Midlands did not meet the 95% target.

In Thames, efforts have been directed into training Local Authorities to deal directly with the bulk of simple applications, leaving fewer but relatively complex applications for onward referral to the Agency. By their very nature these take longer to deal with.

**Action:**