



# FINANCE & RESOURCES OVERVIEW AND SCRUTINY COMMITTEE

## AGENDA

TUESDAY 03 SEPTEMBER 2013 AT 7.30 PM

**BULBOURNE ROOM, CIVIC CENTRE, HEMEL HEMPSTEAD**

The Councillors listed below are requested to attend the above meeting, on the day and at the time and place stated, to consider the business set out in this agenda.

Cllr Adeleke	Cllr N Hollinghurst
Cllr Ayling	Cllr Marshall
Cllr B Chapman (Chairman)	Cllr Organ
Cllr Clark	Cllr Taylor
Cllr Collins	Cllr Townsend (Vice – Chairman)
Cllr Doole	Cllr W Wyatt - Lowe

(Substitute Members: Cllrs Anderson, Elliot, Harris, McKay)

For further information, please contact Louise Collins on Tel: 01442 228 633, e-mail: [louise.collins@dacorum.gov.uk](mailto:louise.collins@dacorum.gov.uk). Information about the Council can also be found on our web-site: [www.dacorum.gov.uk](http://www.dacorum.gov.uk)

Item No.	Part 1	Page
1	Minutes	2
2	Apologies for Absence	2
3	Declarations of Interest	2
4	Public Participation	2
5	Consideration of any matter referred to the committee in relation to call in	2
6	Quarter 1 2013-14 Performance & Operational Risk Registers	
	a) Legal Governance and Democratic Services	3
	b) Performance & Projects	20
	c) Finance & Resources	32
7	Quarter 1 Risk Management Report 2013/14	47
8	Quarter 1 Financial Outturn Report 2013/14	58

9	Shared and Outsource Update Report – Customer Service Centre	70
10	Exclusion of Public	86
Appendix A	Work Programme 2013/14	87
Appendix B	Action Points from previous meetings	93

**1. MINUTES**

To confirm the minutes held on 04 June 2013.

**2. APOLOGIES FOR ABSENCE**

To receive any apologies for absence

**3. DECLARATIONS OF INTEREST**

A member with a disclosable pecuniary interest or a prejudicial interest in a matter, who attends a meeting of the authority at which the matter is considered:

(i) must disclose the interest at the start of the meeting or when the interest becomes apparent, and

(ii) may not participate in any discussion or vote on the matter and must withdraw to the public seating area.

A member who discloses at a meeting a disclosable pecuniary interest which is not registered in the Members' Register of Interests or the subject of a pending notification, must notify the Monitoring Officer of the interest within 28 days of the disclosure.

Disclosable pecuniary interests, personal interests and prejudicial interest are defined in Part 2 of the Members' Code of Conduct.

**4. PUBLIC PARTICIPATION**

An opportunity for members of the public to make statements or ask questions in accordance with the rules as to public participation

**5. CONSIDERATION OF ANY MATTER REFERRED TO THE COMMITTEE IN RELATION TO CALL-IN**

None

**AGENDA ITEM: 6a**

**SUMMARY**

<b>Report for:</b>	<b>Finance and Resource Overview &amp; Scrutiny</b>
<b>Date of meeting:</b>	<b>03<sup>rd</sup> September 2013</b>
<b>PART:</b>	<b>1</b>

<b>Title of report:</b>	<b>Performance Report Quarter 1 – Legal Governance and Democratic Services</b>
Contact:	<p>Cllr Neil Harden, Portfolio Holder for Residents and Regulatory Services (in respect of Legal Governance)  Cllr Andrew Williams, Leader of the Council (in respect of Democratic Services)</p> <p>Author/Responsible Officers:</p> <p>Steven Baker, Assistant Director (Legal, Democratic &amp; Regulatory)</p> <p>Mark Brookes, Group Manager (Legal Governance)  Jim Doyle, Group Manager (Democratic Services)</p>
Purpose of report:	To provide Members with the performance report for quarter 1 in respect of Legal Governance and Democratic Services.
Recommendations	That Members note the report.
Corporate objectives:	Resources and Value For Money; Optimise Resources and Implement Best Practice.
Implications:	<u>Financial</u>
	None.
'Value For Money Implications'	<u>Value for Money</u> Monitoring Performance supports the Council in achieving Value for Money for its citizens.
Risk Implications	Risk Assessment completed for each service area as part of service planning and reviewed quarterly.
Equalities Implications	Equality Impact Assessment completed for each service area as part of service planning and reviewed quarterly.
Health And Safety Implications	None
Consultees:	Cllr Neil Harden, Portfolio Holder for Residents and Regulatory Services

Background papers:	Annex 1 : Quarter 1 Performance Report Annex 2: Quarter 1 Updated Operational Risk Register

1. Members will find attached to this report the performance data for Legal Governance and Democratic Services and the Operational Risk Register in relation to the first quarter of 2013/14. Generally speaking the data does not reveal any major issues for concern. Set out below is some additional information about the performance of the services during quarter 1 which may be of interest to Members of this Committee.

#### Legal Governance

2. Legal Governance continues to be heavily involved in many of the Council's critical projects. In particular, significant legal support is being provided in relation to the Public Service Quarter project, the strategic procurement of Housing Maintenance (now referred to as the Total Asset Management contract), the outsourcing of the Customer Service Unit and the Council's New Build Housing project.
3. Key developments in relation to the above projects during the last quarter include:
  - The completion of the contract for the operation of the Customer Services Unit with Northgate Information Solutions Ltd
  - Progress on key development documents for the PSQ project including heads of terms for the PSQ development procurement and a draft development agreement with Hertfordshire County Council.
  - The development and legal audit of procurement documentation required to move to the next stage of the procurement process for the selection of a development partner for the Civic Zone regeneration.
4. The Council has seen a significant increase in the number of Right to Buy transactions during 2012/13 and this has continued into 2013/14 with 26 Right to buy sales in the first quarter.
5. The Legal Team frequently represent the Council in the courts and tribunals, leading on injunctions, prosecutions and defending employment tribunal cases. Key cases to note from the last quarter include:
  - 1 Animal Welfare Act prosecution
  - 1 food safety prosecution
  - 1 Environmental Health prosecution
  - 1 HMO prosecution
  - 2 Injunctions
  - 1 contempt of court proceedings
  - 1 defence against a licensing appeal
  - 1 Planning Enforcement prosecution

#### Licensing

6. Members will recall from the last report that a brief introduction to the work of The Licensing Team was included as Licensing now falls within Legal Governance and will be reported to this Committee. Members requested a more detailed summary of the work of the team which is set out below.

7. The Licensing team exercises many of the Council's statutory functions in respect of the administration of applications for licences, permits, registrations and other authorisations; for investigating, inspecting and ensuring compliance with the terms and conditions attached to licences and authorisations, and for initiating enforcement actions in respect of breaches of the legislative requirements or of authorisations issued by the Council.

8. The team operates within the following areas:

<b>Legislative area</b>	<b>Key legislation</b>	<b>Examples of authorisation issued</b>
Alcohol sales, late night refreshment and regulated entertainment (plays, films, indoor sports, boxing/wrestling, music, dance)	Licensing Act 2003	Premises licences; Club premises certificates; Temporary event notices; Personal licences  Duties also include specification of designated public place orders (allow police to seize alcohol in designated places where conditions are met), age-certification of films if not otherwise rated, and issuance of closure notices to licensed premises under Criminal Justice and Police Act 2001.

Hackney carriage (taxi) and private hire	Town Police Clauses Act 1847; Local Government (Miscellaneous Provisions) Act 1976	Driver and vehicle licences for hackney carriages; Driver, vehicle and operator licences for private hire
Betting, gaming and gambling	Gambling Act 2005	Premises licences for bingo halls, adult gaming centres, betting shops and tracks; Gaming machine permits for pubs, clubs and family entertainment centres; Temporary use notices, occasional use notices; Small society lottery registrations
Animal-related businesses	Animal Welfare Act 2006 Animal Boarding Establishments Act 1963 Dangerous Wild Animals Act 1976 Breeding of Dogs Act 1973 Pet Animals Act 1951 Riding Establishments Act 1964	Boarding establishment licences (kennels, catteries, home boarding establishments); Licences for keeping dangerous wild animals; Dog breeding establishment licences; Pet shop licences;

	Zoo Licensing Act 1981	Riding establishment licences; Zoo licences
Charitable collections in public places	Police, Factories, etc (Miscellaneous Provisions) Act 1916 House to House Collections Act 1939	Street collection permit; House-to-house collection licence
Hypnotism	Hypnotism Act 1952	Authorisation of exhibitions, demonstrations or performances of hypnotism
Scrap metal dealers	Scrap Metal Dealers Act 1964 Vehicles (Crime) Act 2001  <i>Commencement of new Scrap Metal Dealers Act 2013 is imminent, which will repeal both Acts above</i>	Registration of scrap metal dealers and motor salvage operators  <i>Scrap metal dealers licences (site or collector)</i>
Sex establishments	Local Government (Miscellaneous Provisions) Act 1982	Sex establishment licences (for sex shops, sex cinemas, or sexual entertainment venues)
Tattooing and skin piercing	Local Government (Miscellaneous Provisions) Act 1982	Registration of premises for acupuncture, tattooing, ear piercing or electrolysis; Registration of operators

9. In addition to the above, the Licensing team also support other services in various functions, particularly in respect of identifying and requesting the removal of cars for sale on highways, and the inspection and monitoring of licensed security personnel on behalf of the Security Industry Authority.
10. The Licensing team support the Licensing and Health & Safety Enforcement Committee, who under the Council's constitution have ultimate responsibility for the above-mentioned matters. A number of these powers have been delegated by the Committee to officers to carry out, although the Committee and its Sub-Committees are called upon to determine a number of applications in certain circumstances every year. Officers prepare reports and present details of any such cases to the Committee, and produce various policies and guidance, on both statutory and non-statutory bases, for consideration by the Committee.
11. It is the Group Manager's intention to use this section of the report to note key service developments and objectives and any notable applications and this will be taken forward in the next quarterly report.

#### Operational Risk Register

12. At the last meeting of the Finance and Resources Overview and Scrutiny Committee on 4<sup>th</sup> June 2013 members were presented with an updated operational risk register as at the end of Q4 following a review undertaken by the Assistant Director. There has been no reason to make any further changes to the register at the end of Q1. The risk control measures and the risk scores therefore remain the same.

### Democratic Services

13. During Quarter 1, Member Support managed and organised the following:
- Published 41 agenda
  - Completed 31 sets of minutes
  - Spent 2 hours at daytime meetings
  - Spent 48 hours at evening meetings
  - Processed 51 public speakers at Committee
  - Processed 16 Portfolio Holder Decisions

### Member Development

14. There were 5 training sessions for members provided during the first quarter and 47 councillors attended on the following topics:
- Development Control
  - Marlowes Improvement
  - Charing Skills
  - Housing Appeals
  - Standards Training
15. The target set for Member training for 2013/14 is for each Councillor to attend 3 training sessions in the financial year. In the first quarter member attendance has averaged 0.9 sessions per councillor but training will step up throughout the year and the target is expected to be achieved.
16. Work is currently under way to provide Personal Development Plans for all Members early in 2014. Options are being considered and all members will be encouraged to take part.

### Overview & Scrutiny Review

17. The Overview & Scrutiny function was reviewed as part of the Democratic Services Service Plan 2012/13. We enlisted the support of an external consultant, Nigel Smith, to carry out the research and analysis part of the review. He attended Overview & Scrutiny Committees throughout January/February of 2013 and then held workshops with Members and Officers to seek opinions and suggestions. To conclude his part of the review, Nigel Smith provided the Council with suggestions for an improvement plan and carried out a Member training session in March 2013.
18. The improvement plan was considered and supported by the Corporate Management Team in June 2013 and assessed by the Overview and Scrutiny Committees Chairs Group in July. Member Development aspects of the plan have been considered by the Member Development Steering Group (MDSG). Implementation of the Overview & Scrutiny Chairs Group recommendations will be reported throughout the year.

### Independent Remuneration Panel

19. Under the Local Authorities (Members Allowances) (England) Regulations 2003, the Council is required to establish and maintain an Independent Remuneration Panel. The purpose of the Panel is to review the existing Scheme of Allowances and make recommendations to the Council on the appropriate level of payments to be made in the future.

20. Arrangements have been made for the IRP to meet on Monday 23 September for the review. In preparation for that meeting members have been sent a questionnaire regarding the Members Allowance Scheme. The answers will be analysed and form part of the IRP report. Volunteer members will also be invited to meet with the Panel.
21. Before the meeting, the panel will be provided with general information, so that they can make informed judgements about the allowances including comparison of allowances paid by our 'Near Neighbour Group'.

#### Electoral Services

##### 22. Postal Vote Signifiers Renewal

Throughout the summer Electoral Registration have continued to review and renew the database of signatures and Dates of Birth (DOB) used during elections to confirm the validity of Postal Votes. They wrote to 800 Postal Voters, asking them to renew their signatures and confirm their DOB for our records. Just over 50% of those contacted have returned details which were then scanned into our election database. Reminders are to be sent during August 2013 to confirm the details of all those who have not yet replied.

#### Elections

23. Hertfordshire County Council Elections took place on 2 May 2013 and a review of the conduct of the election was carried out taking account of the views of those involved; Parties, candidates, participants and Agents, to identify good practice and lessons learned for future elections.
24. The election team have also reviewed Poll Cards or Absent Votes returned as undelivered for this election in an effort to identify any required amendments to the electoral register.

#### Individual Electoral Registration

25. The first big hurdle in our preparation for the introduction of Individual Electoral Registration in 2014 was the Confirmation Dry Run (CDR), where we had to upload our elector data to the Cabinet Office website. The Cabinet Office and the DWP compared this data with theirs to assess the percentage of our records that match. With this information we have some idea of the 'completeness' of our register and can use it to plan the work involved to cleanse the records that failed to match. This exercise was carried out without a hitch on 27 July (upload of 110,000 records taking two hours twenty minutes).
26. The results were returned a few days later and the match rate for our register against the Cabinet Office data is 81%. This compares favourably with the national average of 78.5%. This means we can have confidence in the efficacy of our current supporting practices and procedures, and the size of the task ahead to address those records that did not match completely is likely to be less onerous.



Appendix A

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## AGENDA ITEM: 6b

### SUMMARY

<b>Report for:</b>	<b>Finance and Resources Overview &amp; Scrutiny Committee</b>
<b>Date of meeting:</b>	<b>03<sup>rd</sup> September 2013</b>
<b>PART:</b>	<b>1</b>

<b>Title of report:</b>	<b>Finance &amp; Resources Performance and Risk report Quarter 1 2013/14 – Performance and Projects</b>
Contact:	Neil Harden, Portfolio Holder for Residents and Regulatory Services  Author/Responsible Officer: Shane Flynn, Assistant Director (Performance and Projects)
Purpose of report:	To provide the Committee with analysis of performance of services and functions provided by the Performance and Projects element of Strategy and Transformation, Community and Organisation division to 30 June 2013
Recommendations	That the Committee notes the contents of the report and the performance of the division for Quarter 1, 2012/14.
Corporate objectives:	Effective performance and project managements supports the delivery of all five of the Council's objectives with particular focus on <i>Dacorum Delivers</i> .
Implications:	<u>Financial</u>  None.
'Value For Money Implications'	<u>Value for Money</u>  Effective performance and project management supports the achievement of value for money in the pursuit of the Council's objectives
Risk Implications	Risk Assessment reviewed on 30 June 2013
Equalities Implications	Equality Impact Assessment reviewed on 30 June 2013
Health And Safety Implications	There are no direct health and safety implications arising from this report
Consultees:	None
Background papers:	Attached: 1. Quarter 1 Performance Indicators report 2. Quarter 1 Operational Risk report

<p>Historical background <i>(please give a brief background to this report to enable it to be considered in the right context).</i></p>	<p>This is a regular report to the committee detailing the work of the division and its performance over the past quarter and highlighting plans for the forthcoming period based on a review of operational risks.</p> <p>On 1 July a new operating structure was established and elements of the Strategy and Transformation, Community and Organisation were transferred to other divisions. To support the new structure matters relating to Policy, Partnerships and Citizen Insight and Human Resources are not included within this report but are considered by the Assistant Director (Legal, Democratic and Regulatory).</p> <p>Central Administration functions have been transferred to Performance and Projects and are therefore reported. The Performance and Projects division covers:</p> <ul style="list-style-type: none"> <li>• Performance</li> <li>• Projects</li> <li>• Dacorum Anywhere</li> <li>• Central Administration</li> <li>• Information, Communications and Technology</li> </ul>
<p>Glossary of acronyms and any other abbreviations used in this report:</p>	<p>Council Tax Support Scheme (CTS). Customer Service Centre and Gateway (CSCG) Electronic Document and Records Management System (EDRMS) Public Service Network (PSN)</p>

## 1 Introduction

- 1.1 Performance reports are produced quarterly from the Council's performance management system, CorVu. The service performance report for quarter 4 (January to March 2013), shows a summary of the performance information available for these parts of the Performance, Improvement and Transformation directorate. All service based indicators are within tolerance levels. One corporate indicator is not within target and is noted below. Full reports are available on the CorVu Portal, on the Council's Intranet.

## 2 Performance

- 2.1 The performance of the division for the first quarter of 2013/14 was strong with all but one indicator being on or above target for the quarter. The single indicator below target was:

**CSU01 - Percentage of customers in the Customer Service Centre seen within 5 minutes:**

63.29% against a target of 70%.

2.2 From 1 April 2013 the nation Council Tax Benefit scheme was replaced by Dacorum's own Council Tax Support Scheme (CTS). This represented a major change with significant impact on 2,000-2,500 Council Tax Payers. Consequently, visits and calls to the Customer Service Centre and Call Centre were higher than normal for the first quarter. However, through effective planning and the construction of a CTS Task Force the impact was minimised. The addition of extra security personnel and flexible working arrangements with back office services meant that the transition was managed effectively. In the context of this change the below-target result is not unexpected.

2.3 One other indicator needs further scrutiny:

**CSU04 - Percentage of calls answered in the Contact Centre within 20 seconds:**

81.59% against a target of 70%

2.4 Preparations for the transfer of the Customer Service Centre and Gateway (CSCG) highlighted that the means of measuring this indicator does not follow industry standards. Therefore the measure is to be reset for the purposes of monitoring the CSCG contract with Northgate. On the basis of the revised measure, the performance stands at 42% at the date that the contract was signed.

2.5 Under the terms of the contract, Northgate have committed to achieving the 70% target, following the introduction of new technology and a transformation programme, within 12 months of the start of the contract on 5 August. Progress against this, and other targets will be reported to the Committee as required.

2.6 In addition to achieving internal targets for the CSU, both the Customer Contact Centre and the Call Centre achieved very high satisfaction scores on the national GovMetric quality assessment system. Both services were placed in the top ten amongst all local authorities within the survey which is based on customer satisfaction responses. This provides a valuable benchmark to take forward into the new arrangement with Northgate.

2.7 Sickness absence levels within the division were recorded as very low during the first quarter of 2013/14. This is undoubtedly influenced by the transition phase for the Northgate contract and the absence of significant long-term absences.

### **3 Service reports**

3.1 The review of operational risks highlighted no changes in risk levels between the end of the previous financial year and the end of the first quarter 2013/14.

#### **Customer Service Centre**

3.2 A detailed report on the CSCG transfer is included elsewhere on the agenda. Under the new structure from 1 July responsibility for contract monitoring of the CSCG falls to a new post to be appointed. Pending that appointment, the contract is being managed by the Assistant Director (Performance and Projects) and service performance is therefore reported here.

3.3 In addition to the performance matters highlighted above, the service has continued to prepare for the transfer to Northgate. This has involved a 'discovery' exercise by Northgate to confirm existing practices and conditions and a significant amount of management time in preparing data and documents for the Discovery Report. Staff

and managers of the centre have embraced this change positively and have worked hard to ensure that the service is in a strong position at the point of transfer. Feedback from the GovMetric system is confirmation of this positive attitude.

- 3.4 The Customer Promise has been introduced and will form part of the contractual obligations for Northgate. This sets out a range of standards those, including Customer Contact Staff, who have face to face contact with members of the public and sets targets for improving response times and dealing with complaints or issues raised. Dedicated web pages have been set up to publicise the Customer Promise:

<http://www.dacorum.gov.uk/home/customer-promise>

### **Information, Communication and Technology**

- 3.5 Risk scores in relation to ICT resources remain high. A new Group Manager (Information, Communication and Transformation), Ben Trueman, has been appointed and took up the post on 15 July. Additional appointments have also been made to the IT Support Desk following a recruitment exercise. Further recruitment is needed to resource the division fully, which is in hand.
- 3.6 Arrangements have been made for the handover of work currently being undertaken by Foresight Consulting which includes the transfer of the Council's Data Centre to Amersham, scoping of IT requirements for the decant to 39/41 the Marlowes and the Court House and a range of projects supporting Dacorum Anywhere. The Data Centre transfer is now 80% complete and the remaining elements consist primarily of shifting hardware and decommissioning legacy systems within the Council's premises.
- 3.7 In addition, the service is focusing on achieving Public Service Network (PSN) compliance for the Council. This system will replace the current GSSX system which sets ICT communication and security standards across the public sector. The Council will need to achieve compliance so that it can continue to interact with central government departments and other agencies that use the system. An action plan for achieving compliance has been developed, which needs to be implemented by the end of September.

### **Performance and Projects**

- 3.8 Risk assessments are made for individual service plans and individual projects. A major restructuring of the Council's approach to project management is underway. This will be publicised in detail in the autumn but at present includes:
- Strengthened governance by reporting through the Performance Board and CMT
  - A 'Gateway' approach to project development and review involving CMT and the Assistant Director's Group
  - Revised documentation to simplify and strengthen project processes
  - Combined Equality, sustainability and community Impact Assessments.
- 3.9 The Performance Management system is also under review. The Council's Corporate Plan is due to be finalised and reported to Cabinet in November 2013. A new set of 'public facing' indicators has been developed during Quarter 1 which will focus on the key outcomes of the Corporate Plan and will become the focus of an annual report.

- 3.10 The range of existing indicators is also under review to identify those which are providing evidence of improved outcomes or customer satisfaction and those which indicate organisational health. Once the assessment is complete, consultation on the full suite of indicators will be undertaken.
- 3.11 In addition, the Performance and Projects section has continued to focus on the Dacorum Anywhere programme and the numerous strands of support for the Decant and Public Service Quarter projects. Progress on these activities is reported to the Performance Board and to CMT as required.

### **Central Administration**

- 3.12 Central Administration was within the Legal, Democratic and Regulatory division until 30 July 2013.
- 3.13 Central Administration forms part of the core structure of the Council and therefore has a central role to play in the improvement programme. During this quarter the service has:
- Created new structure for Directorate support while achieving efficiencies under the new structure and continuing to provide support to outgoing the Chief Executive
  - Begun a pilot of internal e-post operations in support of the Electronic Document and Records Management System (EDRMS) that is being introduced across all services.
- 3.14 A more detailed report of Central Administration activities will be provided in the second quarter when the new arrangements have been fully introduced.



## Appendix A

## Appendix A

## Appendix B

**Appendix B**

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**Appendix B**

## AGENDA ITEM: 6c

### SUMMARY

<b>Report for:</b>	<b>Finance and Resources Overview &amp; Scrutiny Committee</b>
<b>Date of meeting:</b>	<b>03<sup>rd</sup> September 2013</b>
<b>PART:</b>	<b>1</b>

<b>Title of report:</b>	<b>Finance &amp; Resources Performance and Risk report Quarter 1, 2013/14</b>
Contact:	Nick Tiley, Portfolio Holder for Finance & Resources  Author/Responsible Officer: James Deane, Assistant Director (Finance & Resources)
Purpose of report:	To provide the Committee with analysis of performance of services and functions provided by Finance & Resources to 30 June 2013
Recommendations	That the Committee notes the contents of the report and the performance of Finance & Resources for Quarter 1, 2013/14.
Corporate objectives:	The provision of effective financial services and the allocation of resources such as building assets and facilities management support all five of the Council's corporate objectives, with particular reference to the <i>Dacorum Delivers (internal operations)</i> and, through the Revenues, Benefits and Fraud division, <i>Building Community Capacity</i> .
Implications:	<u>Financial</u> Contained within the body of the report.
'Value For Money Implications'	<u>Value for Money</u> Contained within the body of the report.
Risk Implications	A Risk Assessment is completed for each service area as part of the annual service planning process and is reviewed quarterly. Updates to the risk register are summarised in this report.
Equalities Implications	An Equality Impact Assessment is completed for each service area as part of the annual service planning process and is reviewed quarterly.
Health And Safety Implications	There are no health and safety implications
Consultees:	Group Manager (Commercial Assets & Property Development) Group Manager (Financial Services) Group Manager (Revenues, Benefits & Fraud)
Background papers:	



## 1. Introduction

1.1 Performance reports are produced quarterly from the Council's performance management system, CorVu. The attached reports provide risk and performance information for Finance & Resources for Quarter 1 of 2013/14 (April to June).

1.2 As the year progresses, these covering reports will highlight any significant changes in performance or risk since the previous quarter's report. However, for the first quarter, comprehensive commentary has been included within the attached appendices.

1.3 Members' attention is, however, drawn to one significant change within the Performance Report (Appendix A), i.e. that all of the Council's key income streams are now reported within Finance & Resources. Although control of these income streams rests with other services, it was felt that in the short term, for the sake of consistency, these financial targets should be grouped together. This arrangement will be kept under review as the year progresses.

1.4 Attached:

Appendix A	Performance Report
Appendix B	Risk Report

## Appendix A

## Appendix A

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## AGENDA ITEM: 7

### SUMMARY

<b>Report for:</b>	<b>Finance and Resources Overview &amp; Scrutiny Committee</b>
<b>Date of meeting:</b>	<b>03<sup>rd</sup> September 2013</b>
<b>PART:</b>	<b>1</b>

<b>Title of report:</b>	<b>Quarter 1 Risk Management Report 2013/14</b>
Contact:	Councillor Nick Tiley, Portfolio Holder for Finance Resources Sally Marshall, Director Finance & Corporate Services Linda Dargue, Insurance & Risk Manager
Purpose of report:	<ol style="list-style-type: none"> <li>1. To provide the Quarter 1 report on the Strategic Risk Register</li> <li>2. To provide the Quarter 1 report on the Operational Risk Register</li> <li>3. To provide an update on progress on the Review of the Strategic Risk Register</li> </ol>
Recommendations	1 That the content of this report is noted and recommended to Cabinet for approval together with any associated comments.
Corporate objectives:	Dacorum Delivers – Risk management is an essential part of ensuring that the Council meets all of its objectives
Implications:	<u>Financial</u> None identified.
Value For Money Implications	<u>Value for Money</u> <u>Value for Money</u> Risk management is closely linked to the Council's commitment to ensure that all resources are used efficiently and forms part of effective financial planning. The Council also needs to ensure that adequate provisions are in place to address anticipated risks but that these are no greater than necessary so that maximum resources are applied to services as required. To this end the Council sets minimum target working balances for both the general fund and HRA and at the date of this report this minimum balances are secured. Budget exercises for 2012/13 have ensured that the minimum balance requirements will also be met for the next financial year.
Risk Implications	<p>Effective risk management is an important factor in all policymaking, planning and decision making.</p> <p>Failure to manage risk effectively could have serious consequences for the Council leading to increased costs,</p>

	wasted resources, prosecution and criticism under external assessments
Equalities Implications	Equality Impact Assessment reviewed/carried out* Not applicable
Health And Safety Implications	Not applicable
Consultees:	CMT
Background papers:	Risk Management working paper files Report to CMT 20 August 2013
Historical background <i>(please give a brief background to this report to enable it to be considered in the right context).</i>	Not applicable
Glossary of acronyms and any other abbreviations used in this report:	

## BACKGROUND

1. The revised Strategic Risk register showing the position at the end of Q1 2013/14 is attached at Appendix A for ease of reference. The table below provides a comparison of the risk scores from quarter 4 2012/13.

Risk	Q4 12/13	Q1 13/14
F1 –Resource base affected by slow recovery from recession resulting in lack of funds to deliver in commitments and policies	4	4
F2 – Lack of effective procurement and contract management	6	6
F3 – Failure to achieve identified savings to ensure that the budget remains balanced	4	4
F4 – Funding agreement with the Homes and Communities Agency is insufficient to cover the entire cost of the Highbarns chalk mine treatment works		8
I2 – Failure to effectively manage health and safety	4	4
M1 – Failure to deliver required regeneration and economic growth	9	9



M2 – Failure to shape services based on robust understanding of customer’s needs	4	4
R1 – Failure to align political aspirations for service delivery with budget pressures	3	3
R2 – Failure to respond to the opportunities presented by the Localism Bill	8	8

2. A new risk has been added in relation to the funding of the Highbarns chalk mine treatment works to reflect the current position.
3. The following table shows those operational risks where the risk score has changed since Quarter 4.

<b>Risk</b>	<b>Resp Off</b>	<b>Q4</b>	<b>Q1</b>
ND I04- Lack of fuel due to shortages, unavailability or price	DA	4	1
PDR F03 – Key income streams do not meet planning fees, building regulations and local land charges income budgets	J Doe	9	6
PDR I03 – Failure to deliver on the Regeneration and Sustainability agenda by failure of partners to engage	J Doe	9	6
PDR R01 – Local Development Framework fails to meet milestones in Local Development Scheme	J Doe	9	3

4. The review of the Strategic Risk Register has been delayed pending the receipt of the report from the Internal Auditors. This report will be received within the next few weeks. The outcomes from the Internal Audit Report will be reported to Audit Committee on 18 September.

## Appendix A

## Appendix A

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## Appendix A

## AGENDA ITEM: 8

### SUMMARY

<b>Report for:</b>	<b>Finance and Resources Overview &amp; Scrutiny Committee</b>
<b>Date of meeting:</b>	<b>03<sup>rd</sup> September 2013</b>
<b>PART:</b>	<b>1</b>

<b>Title of report:</b>	<b>Quarter 1 Outturn Report 2013/14</b>
Contact:	Cllr Nicholas Tiley, Portfolio Holder Finance & Resources James Deane, Assistant Director (Finance & Governance)  Author: Paul Sutton, Group Manager (Financial Services)
Purpose of report:	To provide details of the forecast outturn position as at the end of Quarter 1 2013/14.
Recommendations	That Committee note the forecast outturn position
Consultees	Budget managers
Historical background <i>(please give a brief background to this report to enable it to be considered in the right context).</i>	Not Applicable.

#### 1. Introduction

1.1 The purpose of this report is to outline Council's forecast outturn for 2013/14 as at 30 June 2013. The report covers the following budgets:

- General Fund
- Housing Revenue Account (HRA)
- Capital Programme

#### 2. General Fund Revenue Account

2.1 The General Fund revenue account records the income and expenditure associated with all Council functions except management of the Council's own housing stock, which is accounted for within the Housing Revenue Account (HRA) (see Section 6).

- 2.2 Appendix A separates expenditure into controllable and non-controllable categories in order to focus scrutiny on those controllable areas that officers are able to influence.
- 2.3 The majority of non-controllable costs result from year-end accounting adjustments, e.g. depreciation charges. These are required to show the true value of resources used to provide the Council's services, but do not result in a cash charge to taxpayers. As costs will not be known until year-end, the forecast outturn for all areas is shown as on budget.
- 2.4 The table below provides an overview by Scrutiny area of the current forecast outturn for controllable budgets within the General Fund.

	Revised Budget £000	Provisional Outturn £000	Forecast Variance	
			£000	%
Finance & Resources	11,679	12,224	545	4.7%
Strategic Planning & Environment	6,343	6,114	(229)	-3.6%
Housing & Communities	1,841	1,839	(2)	-0.1%
<b>Total</b>	<b>19,863</b>	<b>20,177</b>	<b>314</b>	<b>1.6%</b>

- 2.5 The current budget is the original budget approved by Cabinet in February 2013 plus the following approved amendments:

Amendments	£000	Approved
<b>2013/14 Original budget</b>	<b>19,473</b>	
Transfer from Car Park Reserve	60	Audit Committee May 2013
Transfer from Management of Change Reserve for EDRMS	203	Cabinet April 2013
Transfer from Technology Reserve for IT	102	Cabinet March 2013
Transfer from Management of Change Reserve for Apprentices	25	Cabinet May 2012
<b>2013/14 Current Budget</b>	<b>19,863</b>	

### 3. Finance & Resources

Finance & Resources	Controllable Budget £000	Forecast Outturn £000	Forecast Variance	
			£000	%
Employees	11,081	11,148	67	0.6%
Premises	2,399	2,424	25	1.0%
Transport	44	43	(1)	-2.3%
Supplies & Services	4,960	5,463	503	10.1%
Third-Parties	266	216	(50)	-18.8%
Transfer Payments	47,209	47,209	0	0.0%
Income	(54,280)	(54,279)	1	0.0%
	<b>11,679</b>	<b>12,224</b>	<b>545</b>	<b>4.7%</b>

### 3.1 Employees – £67k over budget (0.6%)

The employees forecast outturn reflects three main variances:

- A £48k pressure is forecast within Legal Governance due to Agency costs required to cover a maternity leave.
- A £67k pressure within Human Resources is forecast due to increased recruitment costs and the extension of a temporary post. This is to assist with ongoing key projects such as the Customer Service Unit.

Partly offset by:

- A £104k saving is projected within Financial Services due to two long-term vacancies and three short-term vacancies. This is linked to the Government Procurement Card (GPC) project and will be considered during the budget process.

### 3.2 Supplies and Services – £504k over budget (10.16%)

There are two major variances:

- A £614k pressure was projected as a result of the outsourcing of Customer Services Unit. The additional costs are caused by one-off contract mobilisation and project costs and the fact that the major savings are delivered in the later years of the contract. A supplementary estimate was approved by Cabinet in July 2013 meaning this pressure will not appear in future monitoring reports.

Partly offset by:

- A £93k underspend is forecast in Revenues Benefits and Fraud. This relates to the transfer of spend for discretionary rate relief to the collection fund. This is a requirement under the new scheme for managing business rates.

### 3.3 Third Parties – £51k under budget (19%)

A £51k saving has been achieved from the change of internal audit provider.

#### 4. Strategic Planning & Environment

Strategic Planning and Environment	Controllable Budget £000	Forecast Outturn £000	Forecast Variance	
			£000	%
Employees	8,237	8,229	(8)	-0.1%
Premises	846	849	3	0.4%
Transport	1,383	1,413	30	2.2%
Supplies & Services	5,138	5,137	(1)	0.0%
Third-Parties	84	84	0	0.0%
Income	(9,345)	(9,598)	(253)	-2.7%
	<b>6,343</b>	<b>6,114</b>	<b>(229)</b>	<b>-3.6%</b>

##### 4.1 Transport - £30k over budget (2.1%)

There are two major variances:

- A £50k pressure within Fleet Management (Vehicle Repair Shop) due to increased repairs to ageing vehicles and more reliance on sub-contractors. A review of the Fleet management strategy is underway and replacement vehicles are expected to be provided within the next 12 months.

Partly offset by:

- A £17k saving within Waste and Recycling following the installation of fuel tanks at Cupid Green Depot. Fuel usage is currently expected to be consistent with last year's usage and budget, but fuel is being purchased at 6-7p less per litre than the pump price using the new fuel system.

##### 4.2 Income - £253k over achieved (2.7%)

There are a two main areas where income is greater than budgeted:

- The current projection for car parking income is for £220k more than budgeted. This is based on actual income and a trend analysis from previous years.
- An additional £120k income is projected from large planning applications and £20k from land charge search fees.

This is partly off set by a projected under achievement from Recycling income. There are two main reasons:

- A £47k pressure is projected because of a reduction in the price achieved for plastics. This is expected to improve during the year but not sufficiently to meet the budget set.
- The second is a £53k pressure projected because of a reduction in the amount of paper recycled. The tonnages recycled in the 1<sup>st</sup> quarter are significantly lower than budgeted reflecting lower usage of paper generally e.g. transition to online newspapers and magazines etc..

## 5. Housing & Community

Housing & Community	Controllable Budget £000	Forecast Outturn £000	Forecast Variance	
			£000	%
Employees	2,960	3,065	105	3.5%
Premises	398	415	17	4.3%
Transport	57	46	(11)	-19.3%
Supplies & Services	2,198	2,213	15	0.7%
Third Parties	25	25	0	0.0%
Transfer Payments	4	4	0	0.0%
Income	(3,801)	(3,929)	(128)	-3.4%
	<b>1,841</b>	<b>1,839</b>	<b>(2)</b>	<b>-0.1%</b>

### 5.1 Employees - £105k over budget (3.5%)

- A £46k pressure is projected within Strategic Housing. This is due to temporary posts for Housing Options Officers. There is grant available within earmarked reserves for this and the pressure will be removed if members approve its use.
- A £51k pressure is projected due to Agency staff costs in Building Control to undertake additional checking following an increase in the number of applications received and maternity leave cover within Development Management.

### 5.2 Income - £128k over budget (3.36%)

There are three main variances:

- £65k from the provision of homelessness accommodation at Leys Road Hostel;
- £120k recovered housing benefit to off-set the cost of providing homelessness accommodation through private providers (Bed & Breakfast).  
Partly offset by:
- A £63k underachievement within Regulatory Services due to the cessation of drainage service provision to the HRA following the retirement of an employee.

## 6. Housing Revenue Account (HRA)

6.1 The HRA is a ring-fenced account relating to the Council's Landlord functions. A guiding principle of the HRA is that revenue raised from rents and service charges must be sufficient to fund expenditure incurred. The forecast outturn position for the HRA is shown at Appendix B.

6.2 The projected HRA balance at the end of 2013/14 is £2.549m. The forecast operating deficit is £228k – a change of £413k compared to the surplus of £185k originally budgeted. Significant variances are as follows:

### 6.3 Repairs and Maintenance - £410k over budget: (8.87%)

The repairs and maintenance budget is projecting an overspend due to an increase in responsive repairs and void repairs. There has been a sharp increase recently in the number of voids, which is attributed to the welfare reform changes and an increase in the number of tenants requesting to downsize. A review of planned maintenance projects is underway to try and identify savings to bring the overall budget back on track.

## 7 Capital Programme

7.1 The table below summarises forecast outturn for the capital programme by scrutiny committee. The detailed capital programme by scheme is set out at Appendix C.

	Current Budget £000	Forecast Outturn £000	Forecast Slippage £000	Forecast Variance	
				£000	%
Finance & Resources	9,486	6,492	2,954	(40)	-0.4%
Strategic Planning & Environment	2,797	2,759	0	(38)	-1.4%
Housing & Community	5,336	5,376	0	40	0.7%
<b>G F Total</b>	<b>17,619</b>	<b>14,627</b>	<b>2,954</b>	<b>(38)</b>	<b>-0.2%</b>
<b>HRA Total</b>	<b>27,180</b>	<b>27,180</b>	<b>0</b>	<b>0</b>	<b>0.0%</b>
<b>Grand Total</b>	<b>44,799</b>	<b>41,807</b>	<b>2,954</b>	<b>(38)</b>	<b>-0.1%</b>

7.2 The forecast variance is based upon the capital budget approved by Cabinet in February 2013 adjusted for slippage brought forward at outturn and items approved in year. The changes are detailed in the table below:

<b>Amendments</b>	<b>£000</b>	<b>Approved</b>
<b>2013/14 Original Budget</b>	<b>38,731</b>	
Affordable Housing Development Fund	524	Portfolio Holder Decisions
Slippage carried forward from 2012/13	2,775	Audit Committee - June 2013
Highbarns Land Stabilisation Project	750	Cabinet (CSSG) June 2013
St Nicholas Nursery - Structural Repairs	60	Cabinet (CSSG) June 2013
Entropy Management Software	38	Cabinet (CSSG) June 2013
Plant replacement at Commercial Properties	57	Cabinet (CSSG) June 2013
Legal Case Management Software	14	Cabinet (CSSG) June 2013
Play Area Refurbishment Programme	100	Cabinet (CSSG) June 2013
<b>General Fund Adjustments</b>	<b>4,318</b>	
Estate Improvements	750	Cabinet April 2013
Balcony Repairs	1,000	Cabinet April 2013
<b>HRA Adjustments</b>	<b>1,750</b>	
<b>2013/14 Current Budget</b>	<b>44,799</b>	

7.3. Major scheme variations are explained below:

#### **Berkhamsted Sports Centre – Roof Replacement**

The scheme has not been progressed as other options for the centre are currently being considered. The scheme is expected to slip into 2014/15

#### **Fleet Replacement Programme**

Work is currently in progress to revise the way the Council provides Waste Services. An integral part of the project is establishing and then procuring the appropriate vehicles to deliver the new service. It is expected that the majority of this cost will be incurred next year, hence the forecast slippage of £2.5m. When more details are known a report will be taken to cabinet as part of the new waste service project.



## Appendix A

## Appendix B

## Appendix C

## Appendix C

## Appendix C

## AGENDA ITEM: 9

### SUMMARY

<b>Report for:</b>	<b>Finance and Resources Overview &amp; Scrutiny Committee</b>
<b>Date of meeting:</b>	<b>03<sup>rd</sup> September 2013</b>
<b>PART:</b>	<b>1</b>

<b>Title of report:</b>	<b>Shared and Outsourced Services Update – Customer Service Centre and Gateway Contract (CSCG)</b>
Contact:	<p>Cllr Neil Harden: Portfolio Holder for Residents &amp; Regulatory Services Cllr Brain Ayling, Cabinet Support Member</p> <p>Responsible Officer: Shane Flynn – Assistant Director (Performance and Projects)</p>
Purpose of report:	To update Members on progress with the Customer Service Centre and Gateway project.
Recommendations	That Members note progress and comment on the Customer Service Centre and Gateway project.
Corporate objectives:	Supporting the ‘Dacorum Delivers’ strategic change programme
Implications:	<p><u>Financial:</u> Efficiency savings have been identified as part of the overall project and will be monitored through the Performance Management Frameworks, which form part of the contract documentation.</p> <p><u>Value for Money:</u> Current central government legislation has identified that local authorities should seek to provide value for money for citizens by exploring partnership arrangements to deliver services. The Northgate proposal was tested against a public sector comparator to demonstrate that the contract will provide value for money.</p>
Value For Money Implications	
Risk Implications	A risk assessment of the CSCG project has been undertaken and reported to the Overview and Scrutiny Committee. An ongoing risk log was developed to cover all aspects of the transfer. Post contract completion a new project plan has been introduced and a revised risk register, focused on delivery, is being developed.
Equalities Implications	Equality Impact Assessment carried out This was included in the report to Cabinet on 26 <sup>th</sup> March 2013. Further impact assessments will be required to assess the impact of the Customer Relationship Management and Channel Shift projects.

Health And Safety Implications	There are no immediate health and safety issues. During the period March to July 2013 additional security arrangements were in place in the reception area to help manage the transition to Council Tax Support. The transition is now complete and therefore the additional security has been withdrawn. Normal security levels for staff are now in place.
Consultees:	<p>A corporate multi-disciplinary project team has been developing the CSCG project. In addition Customer Services staff have been engaged through regular staff meetings and the Staff Reference Group. Unison has also been consulted regularly.</p> <p>Approval for contract signature and transfer of service was delegated by Cabinet to the Portfolio Holder for Residents and Regulatory Services and the Corporate Director (Finance and Governance).</p>
Background papers:	<ul style="list-style-type: none"> <li>• Cabinet report, 26 March 2013 – Customer Service Centre and Gateway Tender Exercise (Part 2)</li> <li>• Cabinet report, 25 June 2013 – Customer Service Centre and Gateway Contract (Part 2)</li> <li>• Cabinet report, 23 July 2013 – Customer Service Unit Drawdown from Reserves</li> <li>• Discovery Report – available on request</li> <li>• Service Improvement Plan – available on request</li> <li>• Annex A – Example Operating Level Agreement</li> <li>• Annex B – Draft Performance Audit survey</li> </ul>
Historical background <i>(please give a brief background to this report to enable it to be considered in the right context).</i>	<p>In May 2011 Cabinet approved a Shared and Outsourced Services project. The project's objective was to explore shared service options for a number of Council services, including a 'strategic partnering' approach for Customer Services.</p> <p>The approved procurement process resulted in the Customer Service Centre and Gateway Invitation to Tender (ITT) being released to the market on 30th October 2012. On 26 March 2013 Cabinet approved the award of a four year contract to Northgate Information Solutions Ltd.</p> <p>On 25 June 2013, Cabinet delegated authority to the Portfolio Holder for Residents and Regulatory Services on the advice of the Corporate Director (Finance &amp; Governance) to bring forward the forward the contract signature date (the Effective Date) and Operational Service Commencement Date, subject to completion of agreed tasks.</p> <p>The Finance &amp; Resources Overview &amp; Scrutiny Committee has continued to receive quarterly updates on progress on the contract since September 2012.</p>
Glossary of acronyms and any	<p>CSCG - Customer Service Centre and Gateway</p> <p>CSU - Customer Service Unit</p>

other abbreviations used in this report:	ITT - Invitation to Tender CRM - Customer Relationship Management System OLA - Operating Level Agreements PMF - Performance Management Framework
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## 1. Background

- 1.1. At the Cabinet meeting on 26 March 2013, a decision was made to award the contract for the delivery of the Customer Service Centre and Gateway (CSCG) to Northgate Information Solutions UK Ltd (Northgate) as the future CSCG provider, with effect from 1 October 2013 for a term of 4 years; with an option to extend the contract for a period up to a further 6 years, subject to the outcome of the independent value for money benchmark review in 2016/17.
- 1.2. On 25 June 2013 Cabinet resolved to enable the contract to begin at an earlier stage, so as to maximise the benefits to the Council and minimise the disruption to the service and uncertainty for staff. Accordingly the contract was signed on 12 July and the service was transferred to Northgate on 5 August 2013.

## 2. Contract Sign Off conditions

- 2.1. The Council's legal team engaged Bevan Brittan, independent legal advisors, to work with the in-house team to finalise all legal documentation relating to the transfer. The contract and 18 Schedules detailing various matters were developed and reviewed in partnership between the in-house team, which comprised legal, finance, procurement, HR and project management officers and Bevan Brittan's legal, staffing and premises & leases experts.
- 2.2. In order to manage the transfer as effectively as possible, Northgate required an earlier date of contract signature (the 'effective date'). This would enable Northgate to mobilise resources to complete pre-transfer activities. The Cabinet resolution of 25 June therefore required four conditions to be met between the effective date and the operational Services Commencement Date. In the event that these conditions were not met the service would not transfer and the contract would be suspended until such a time as they were resolved. These four requirements were:
  - The completion of a Discovery Report by Northgate detailing the current conditions relating to the CSU, the findings of which were to be agreed by Council officers;
  - The publication of a Service Improvement plan detailing planned developments and a route map to service transformation by the end of year 1 of the contract, to be agreed by Council officers;
  - The agreement of Operating Level Agreements (OLAs) between Northgate and the 8 main back office users of the service and a ninth OLA for all other users
  - Agreement on all staff and TUPE matters.



### **3. Discovery Report**

- 3.1. A copy of the Discover Report is available from Member Support. The report details Northgate's analysis of the current operating conditions of the service and therefore supported the development of the Service Improvement Plan (SIP). The report was compiled in partnership with the operational managers within the CSU and the Group Manager (Partnerships, Policy and Communications).
- 3.2. The report was reviewed by the Assistant Director (Project Governance) and specialist support provided by V4 Services Ltd. The findings were subject to challenge and revision before a final version was agreed on 9 July. The report sets out a comprehensive analysis of the current conditions relating to the CSU and performance on key measures.
- 3.3. In respect of the latter it is important to note that one of the performance indicators reported within the Council at present indicates a higher level of performance than will be reflected in future. This is because the means of measuring performance will change under the contract.
- 3.4. The target for calls answered within 20 seconds is 70%. Current performance is reported as 82%. Actual current performance on the measure used by Northgate (using data supplied and agreed by CSU officers) is 42%.
- 3.5. The contract includes as Schedule 5 a detailed statement of how progress towards the targets will be achieved by the end of Contract year 1.

### **4. Service Improvement Plan**

- 4.1. The SIP is a key document that forms part of Northgate's contractual obligations. It sets out a timetable for implementing key stages of the service development, including two specific projects relating to the transformation:
  - The introduction of a Customer Relationship Management (CRM) system;
  - Channel shift from face-to-face and call contact to web-based interaction where this improves access to services and promotes efficiency
- 4.2. Within the terms of the contract, specific items included in the SIP must be completed by the agreed dates. Otherwise the contractor will be deemed to be at fault and the Council will be entitled to seek remedy or, where failure is significant, seek termination of the contract. Development of the CRM system forms the main part of these requirements as the achievement of key performance targets – and efficiencies within the contract – is dependent upon the introduction of related technology.
- 4.3. The SIP also places significant obligations on the Council, particularly in terms of ICT support and web developments. An Operating Level Agreement (OLA) for the delivery of ICT support to Northgate was discussed during contract negotiations but this was rejected by the Council as the proposed terms could not be met within the context of the Council's own ICT strategy and resource constraints. A general obligation to provide ICT support was agreed.
- 4.4. An existing programme of work to develop the Council's website is in place. The timetable set out in the SIP was reviewed by ICT and Web officers but engagement with Group Managers will need to be strengthened to support

the proposed channel shift project. Monthly meetings between Group Managers and Northgate will form part of this increased programme of engagement.

- 4.5. A third area of the SIP which needs final confirmation is the responsibilities of each party in respect of customer insight. The Council will have access to the CRM system but the details of how data about customers will be stored, manipulated and reported by either party need to be finalised. Northgate's general obligations are set out in OLA 9 and meetings with Northgate's systems architect and Mobilisation manager have been agreed for 5 September.

## **5. Operating level Agreements**

- 5.1. As detailed in previous reports to the Committee, the contract includes a performance management system consisting of three elements:

- PMF 1 – core performance targets, primarily relating to response times and queue length
- PMF 2 – qualitative assessments by Group Managers of the CSCG's performance
- PMF 3 – Channel shift progress indicators.

- 5.2. PMF 1 indicators are as follows:

- Agreed % of calls answered with 20 seconds (up to a minimum of 70% by end of year 1)
- Acceptable % of calls abandoned (down to a maximum of 5% by end of year 1)
- Agreed % of customers seen with 5 minutes (up to a minimum of 70% by end of year 1)
- Longest wait time (at least 95% of customers waiting less than 30 minutes by end of year 1)

- 5.3. PMF 1 indicators will be monitored in aggregate for the purposes of the contract by the Operations Board. However they will also be monitored at an individual service level at monthly meetings between Northgate and Group Managers. The core purpose of these meetings will be to review the performance against Operating Level Agreements that have been drafted for the 8 core customer services of the CSCG. An example OLA is provided at Annex A.

- 5.4. For PMF 2, Group Managers will be able to assess performance quality through a quarterly audit process. An example of a quarterly survey is provided at Annex B. A detailed scoring mechanism has been agreed for the audits. Where scores fall below a specified level, service credits may be applied, thus providing a financial incentive for achieving high quality in service delivery. The audits will be introduced once the transformation process has been completed at the end of Year 1.

- 5.5. There are no service credits applicable to PMF 3. Achieving channel shift is an important means of delivering efficiencies for the provider. Therefore PMF carries its own financial incentives.

- 5.6. At each of the monthly meetings with Group managers the OLAs will be discussed and performance assessed. The OLAs also place obligations on

services to provide up to date and accurate information to the CSCG in advance of any planned changes and to respond in a timely and appropriate manner to unexpected events. Where there is a particularly high level of responsiveness, this may require changes to current operational procedures.

- 5.7. The overall operation of the contract will be reviewed by a Partnership Management Board which will meet quarterly and consists of relevant senior personal of Northgate and the Council, including the Chief Executive and Portfolio Holder for Residents & Regulatory Services. Further details of governance arrangements were reported to the Committee at its meeting of 4 June 2013.

## **6. Staff and TUPE matters**

- 6.1. The Assistant Director (Performance and Projects) met with members of staff regularly during the mobilisation period at meetings with the CSU management team and through attendance at team meetings in May and June. Fortnightly meetings were also held with Unison representatives and the regional Unison representative attended the June meeting with staff.
- 6.2. Staff had the opportunity to raise questions and receive answers through an online Frequently Asked Questions facility and also met with Northgate representatives on a one-to-one basis prior to the contract go-live date.
- 6.3. At the date of transfer Northgate had not achieved admitted Body status to the Council's pension fund. All information required had been made available to the Pension Fund Authority but limitations of resources with the pension's management team meant that the information could not be processed in time. Northgate is already an admitted body to the Herts Pension Fund through a contract with a neighbouring authority. Achieving admitted body status is therefore considered to be a formality. However, the Council has sought additional guarantees pending the completion of due processes:
- 6.4. Northgate have provided a letter of assurance that all pensions rights will be safeguarded and all contributions collected until such as a time as admitted body status has been achieved when contributions will be paid across
- 6.5. Staff have received written assurance from the regional Unison representative that this is a normal circumstance and does not represent a threat to their pension rights.
- 6.6. Sufficient assurance was therefore gained that delayed resolution of this issue was not grounds for suspending the transfer of the service on 5 August as planned.

## **7. Conclusion**

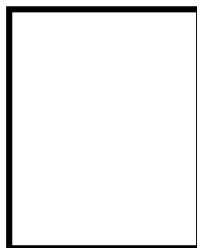
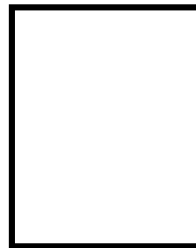
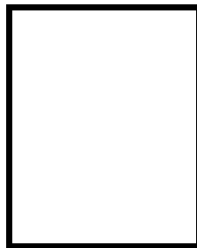
- 7.1. The transfer of the CSU to Northgate has been undertaken within the requirements of the Cabinet decisions and in the light of comments of the Overview and Scrutiny Committee at its meeting of 4 June. A positive start has been made. Strong contract management arrangements are now needed to ensure that the Council achieves maximum benefit from its partnership with Northgate. A permanent contract manager is to be appointed within the Procurement Service to oversee the contract. In the meantime, the Assistant Director (Performance and Projects) will retain client side responsibility for contract management with the support of specialist advisers V4 until December 2013.

**ANNEX A**

**Example Operating Level Agreement**



**OPERATIONAL SERVICE AGREEMENT**  
between  
**Customer Service Unit**  
and  
**WASTE and 'CLEAN, SAFE and GREEN'**  
**SERVICE**  
June 2013



**Purpose of the agreement: -**

This Service Level Agreement forms the basis of a partnership between the Customer Service Unit (CSU) and the Waste and "Clean, Safe and Green" Service at Dacorum Borough Council for the provision of telephone, electronic and face to face customer contact. The purpose of this agreement is to ensure that the services are delivered to satisfy customer requirements, that outcomes and service standards are clarified and agreed, and that the services delivered are effective, efficient and of a high quality.

**Partnership Management: -**

- The partnership approach between the CSU and the Waste and CSG services represents a commitment towards open and honest dialogue, based on constructive suggestions to support a culture of continuous improvement in delivery of service to customers.
- Joint management of monthly performance will be via a monthly report, to be reviewed by joint representatives at the monthly Performance Meeting. Here, performance will be assessed against the targets and key variances discussed, all actions are to be jointly agreed.
- Quarterly meetings between the CSU and Group Manager (WCSG) will review the key trends of the performance metrics and identify processes which are generating significant call volumes for review. Any improvements to the service delivered will be discussed and agreement reached as to implementation.
- Exception reports (verbal and/or written as appropriate) will be produced and escalated as required where performance and/or quality targets are not being met.
- The agreement is based on customer contact volumes in 2012/13. Call volumes will be subject to ongoing monitoring and any significant variance will be brought to the attention of the service.

**Nature of the services: -**

Staff in the CSU and the Waste and CSG services are advocates of excellent customer service and need to be empowered and enabled to carry out their responsibilities in an efficient manner to be able to deliver an end to end service to our customers.

The Customer Service Unit (CSU) team aims to provide a comprehensive, professional, accurate and timely service to the Council's customers, contractors and service providers

**Hours of Operation**

The Customer Service Centre and Reception Desk at Hemel Hempstead will be open to the public:

Monday to Thursday	8:45 - 17:15
Friday	8:45 - 16:45

The Customer Service Centre at Berkhamsted will be open to the public:

Monday	9.00 – 17.00	(Closed between 12.30 and 1.30)
Tuesday	9:30 – 14.00	
Thursday	9:30 – 14.00	
Friday:	9:30 – 14.00	

The Customer Service Centre at Tring will be open to the public:

Monday	9.00 – 17.00	(Closed between 12.30 and 1.30)
Wednesday	9:30 – 14.00	
Friday:	9:30 – 14.00	

The telephone Contact Centre will be open

Monday to Friday	8:00 - 18:30
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Cupid Green Office is open Monday to Thursday 8am – 5pm and 8am – 4.30pm on Fridays

Service Description

The CSU provides a service to:

- Waste and 'Clean, Safe and Green' service customers,
- Other Council Customers
- Stakeholders
- External suppliers and contractors
- Other agencies and individuals

CSU will seek to resolve the customer's business at the first point of contact without the need for referral to service departments. CSU will ensure that appropriate records and computer systems are updated and referrals to other agencies carried out quickly and effectively.

If it is not possible to resolve at first point of contact, we will take action to ensure resolution including:

- Escalating the enquiry in line with agreed procedures
- Liaising with appropriate service departments
- Referring the matter to an appropriate or designated Officer

## **SECTION ONE - The Service**

### **CSU responsibilities:**

#### Waste Services

- Advise customers on when their bin will be collected, report missed bin collections, and advise on what waste goes in what bins.
- Report missing or damaged bins for repair or replacement
- Take request for second bins and take payments where applicable
- Book in and process the collection of bulky waste items and take payments. Advise on relevant applicable discounts such as Dacorum Card etc.
- Take requests for assisted collection service and advise of the process for arranging this for customers.
- Provide sacks for customers to purchase for different types of waste i.e. domestic, recycling, excess and commercial
- Provide advice and information to residents relating to the storage and disposal of hazardous, commercial and industrial waste.

#### Clean, Safe and Green Services

- Provide advice and information on requests relating to for trees, hedges, grass and general parks and open spaces, and awareness of the cycle of these events/seasons and log necessary service requests
- Provide advice on process for dealing with abandoned vehicles, fly tipping graffiti, dead animals and log necessary service requests.
- Provide advice on Tree Preservation Orders and direct more detailed requests to the appropriate department. Provide advice and information on special events, sports pitches, pavilions, outdoor recreation facilities and sponsorship requests
- Provide advice and information on Parks and Open Spaces including Countryside Access, rights of way and cycle routes etc.

### **Waste and 'Clean, Safe and Green' Service Responsibilities**

- Provide access to specialist internal training as agreed following any changes to services or systems, or as required to support the training of Customer Service staff
- Provide timely and appropriate information relating to service or legislative changes which directly or indirectly impact on the CSUs ability to deliver the service
- Provide daily access to specialist personnel required for the provision of services / referrals / specialist enquiries which are deemed to be outside of the CSU function or above their limits of responsibility who can resolve operational issues (e.g.: Duty Officers)
- Take ownership of customer issues that CSU cannot resolve
- Provide timely responses to customer issues to ensure delivery of the service
- Provide access to appropriate systems to operate the service (e.g.: Flare and Web view)
- Send an appropriate service representative to a regular CSU liaison meeting
- Provide performance monitoring of calls and visitors to the CSU to agreed levels in line with the schedule in the Performance Management Framework (PMF2)

## **SECTION TWO – Performance and Key Performance Indicators**

- We aim to serve at least 70% of our face to face customers within 5 minutes
- We aim to resolve at least 90% of all customer enquiries at first point of contact
- We aim that 90% of customers will be satisfied with service received by staff
- We aim to answer 70% of telephone calls in the Contact Centre within 20 seconds

### **Key performance Indicators for the Customer (PMF1): -**

The key performance Indicators and performance are as follows: -

Measures	Targets			
	Average 2012/13	July 2013	Oct 2013	Jan 2014
Total visitors served	575			
Average Wait Time in CSC	6m 54s			
Average serve time in CSC	9m 18s			
% wait under 5 minutes	55%			
Wait Time (Target - fewer than 30 min wait for 95% customers)	98%*			
*Average across all services				
Total Calls	18,012			
% Calls answered in 20s	47			
% Abandoned	12%			
Average Call wait	1m 25s			
Average call duration	3m 36s			

Quality monitoring will be used to ensure that high standards of customer service are consistently maintained, training issues are identified and addressed and staff are supported. This promotes professionalism and the use of correct procedures and salutations. The focus on monitoring is planned to ensure that minimum levels of service are exceeded and that procedures are correctly followed. Customer contact, both face to face and via the telephone, within the Customer Service Unit is subject to quality monitoring and an analysis of this will be provided to Group Managers monthly

**Key performance measures for the Service (PMF2):-**

Description	Indicator
Customer details will be recorded accurately, comprehensively and consistently, in line with agreed procedures, to enable the Waste and CSG service to deal with reports efficiently and effectively (Civica Flare Reporting/Customer portal)	To be baselined
Customer details to be referred to Waste and CSG service staff by telephone in a timely manner and in line with agreed standards to avoid the need for 'call-backs'	To be baselined
Accurate service referrals made to Waste and CSG service to ensure correct assignment of tasks and DBC responsibility in line with agreed procedure	To be baselined
Accurate booking and payments for the 'Bulky Items' service in line with agreed procedure	To be baselined
Transfer of calls and referrals are meeting documented Process criteria.	To be baselined
<b>Service /CSU Improvements and Aspirations</b>	
CSU to have access to real time data via the Bartec and web view Systems	
CSU to have the ability to book bulky item appointments direct without the need to ring the back office for appointment availability – move from paper to electronic diary and to deal with any misinformation complaints that may arise.	

**SECTION THREE – If it goes wrong**

**Complaints: -**

The Group Manager will be provided with copies of all complaints received about the Customer Service Unit where they relate to the Waste and CSG service. All complaints will be registered in accordance with the council's specified complaints procedure.

The CSU will respond to all complaints regarding the service provided by the CSU.

Copies of complaints received by Waste CSG service and relevant to the service provided by the CSU will be forwarded to the CSU Manager for investigation.

The Group Manager Waste and CSG services will be responsible for all complaints regarding the service provided by WCSG.

Complaints will be dealt with in accordance with the council's complaints procedures.



**Arbitration: -**

Any disputes between the parties to the agreement which cannot be satisfactorily resolved should be referred to either/or both the CSU Manager and the Group Manager (Waste and CSG services). This is to include any complaints about staff or the level of service provided.

**The Issues Management Log**

The Issue Management Log is an open database of issues and events kept on the Council's Sharepoint account. Issues, events and complaints relating to the CSU service can be recorded on the Issues Management Log for investigation and resolution.

**SECTION FOUR – The CSR Training and Procedure Manual Update responsibilities**

<b>Service &amp; Process document</b>	<b>Ref</b>	<b>Last review date</b>	<b>Next review date</b>	<b>DBC accountable Officer (GM)</b>	<b>DBC Reviewer/ service manager</b>
<b>Clean, Safe &amp; Green (CSG)</b> Useful contact numbers	CSG2	April 2013	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG –</b> Useful information overview	CSG3	April 2013	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG –</b> Countryside access	CSG4	August 2012	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG –</b> Flower beds & hanging baskets	CSG5	August 2012	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG –</b> Grass	CSG6	August 2012	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG –</b> Grass verge & amenity greens (These could also relate to Housing or Herts County council)	CSG6a	August 2012	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG –</b> Gritting – HCC responsibility	CSG7	August 2012	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG –</b> EPD's Housing	CSG8	August 2012	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG –</b> Hedges Housing	CSG9	August 2012	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG –</b> High hedges Housing	CSG10	August 2012	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG -</b> Japanese	CSG1	August	By Dec	Craig	Shirley

knotweed	0a	t 2012	2013	Thorpe	Hermitage/Vanessa Johnson
<b>CSG – Leaves</b>	CSG1 1	August t 2012	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG – Litter &amp; Fly tipping</b>	CSG1 2	August t 2012	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG - Parks</b>	CSG1 3	August t 2012	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG – Play areas</b>	CSG1 4	April 2013	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG - Shrubs</b>	CSG1 5	August t 2012	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG – Tenanted gardens &amp; EPD Housing</b>	CSG1 6	August t 2012	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG – Weeds</b>	CSG1 7	April 2013	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG – Trees &amp; Woodland FAQ</b>	CSG1 8	August t 2012	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG - Trees &amp; Woodlands</b>	CSG2 0	April 2013	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG – Works to trees form</b>	CSG2 1	August t 2012	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG – Tree Surgeon’s list</b>	CSG2 2	August t 2012	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG – Storm damage</b>	CSG2 3	August t 2012	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG- Storm damage form</b>	CSG2 3a	August t 2012	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG – Allotments info Facilities Management</b>	CSG2 6	August t 2012	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG - Special Events Info</b>	CSG2 8	April 2013	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG – Sport pitches &amp; pavilions Bookings – Facilities Management</b>	CSG2 9	August t 2012	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson

<b>CSG – Sport &amp; Outdoor Rec facilities</b>	CSG30	August 2012	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG – Sponsorship request Facilities management</b>	CSG31	April 2013	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG – EGGP system notes</b>	CSG32	August 2012	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG – Ezytreev system notes</b>	CSG33	August 2012	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG – Flare system notes</b>	CGS34	March 2013	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG – Ash trees</b>	CSG35	August 2012	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson
<b>CSG – Environmental services Ext.no's</b>	CSG36	Feb 2013	By Dec 2013	Craig Thorpe	Shirley Hermitage/Vanessa Johnson

Shaded areas need clarification

We jointly agree to the Partnership Management terms contained within this Service Level Agreement:

**Customer Service Centre: Green'**

**Name:**

**Signature:**

**Date:**

**Waste and 'Clean Safe and**

**Name:**

**Signature:**

**Date:**

**ANNEX B**

**Draft Quarterly Performance Audit survey (to be completed by Group Managers)**

<b>Timeliness (PMF 1 – by service)</b>	<b>1</b>	<b>The Service responds promptly to the initial customer contact and deals with the request in a timely manner</b>	
<b>Criteria</b>	<b>Result</b>	<b>Score (out of 10)</b>	
	Very Satisfied	10	70% of call answered within 20 seconds
	Satisfied	8	60% of calls answered within 20 seconds
	Dissatisfied	4	50% of calls answered within 20 seconds
	Very Dissatisfied	0	Less than 50% of calls answered within 20 secs
<b>Information (Service Area Call Calibration / Observation of Visits)</b>	<b>2</b>	<b>Information given to customers is accurate and comprehensive</b>	
<b>Criteria</b>	<b>Result</b>	<b>Score (out of 10)</b>	
	Very Satisfied	10	100% of Calls listened to / Visits observed meet criteria
	Satisfied	8	80% of Calls listened to / Visits observed meet criteria
	Dissatisfied	4	60% of Calls listened to / Visits observed meet criteria
	Very Dissatisfied	0	50% of Calls listened to / Visits observed meet criteria
<b>Professionalism (Complaints)</b>	<b>3</b>	<b>Our Staff are competent, professional and treat customers fairly</b>	
<b>Criteria</b>	<b>Result</b>	<b>Score (out of 10)</b>	
	Very Satisfied	10	No complaints in period
	Satisfied	8	Less than 5 complaints in period
	Dissatisfied	4	5 to 10 complaints in period
	Very Dissatisfied	0	More than 10 complaints in period
<b>Problem Mgt (Issues Management Register)</b>	<b>4</b>	<b>Potential problems are identified, communicated and dealt with quickly and effectively</b>	
<b>Criteria</b>	<b>Result</b>	<b>Score (out of 10)</b>	
	Very Satisfied	10	100% of issues resolved within 1 month
	Satisfied	8	80% of issues resolved within 1 month
	Dissatisfied	4	60% of issues resolved within 1 month i
	Very Dissatisfied	0	Only 50% of issues resolved in 1 month

Insight (Response to change / service improvements identified)	5	The Service understands my business needs and is proactive in identifying changes in requirements		
Criteria	Result	Score (out of 10)		
	Very Satisfied	10	Quick / Proactive response to change identified – within 1 week	
	Satisfied	8	Reasonable response – within 1 month	
	Dissatisfied	4	Poor response – within 3 months	
	Very Dissatisfied	0	Unacceptable response – within 6 months	
Quality (PMF 2 - Key Performance Indicators – Customer Surveys) 6 – Monthly measure	6	The Service being provided to our customers is of a high quality		
Criteria	Result	Score (out of 10)		
	Very Satisfied	10		
	Satisfied	8		
	Dissatisfied	4		
	Very Dissatisfied	0		
Delivery (Adherence to Documented Process & Standards as set out in the OLA – Quality Control)	7	The Service delivers the outcomes it promised within the OLA		
Criteria	Result	Score (out of 10)		
	Very Satisfied	10		
	Satisfied	8		
	Dissatisfied	4		
	Very Dissatisfied	0		

**10. EXCLUSION OF PUBLIC**

To consider passing a resolution in the following terms:

That, under s.100A (4) of the Local Government Act 1972 Schedule 12A Part 1 as amended by the Local Government (Access to Information) (Variation) Order 2006 the public be excluded during the item in Part II of the Agenda for this meeting, because it is likely, in view of the nature of the business to be transacted, that, if members of the public were present during that item, there would be disclosure to individual employees and information relating to:

Appendix A - FINANCE AND RESOURCES: Overview & Scrutiny Committees: Work Programmes 2013/14

Date:	Report Deadline	Items:	Type:	Contact details:	Background information	Outcome of Discussion
30 January 2013	15 January 2013	Quarter 3 Performance & Operational Risk Register Reports 2012/2013	PM	S Baker, Assistant Director – Legal, Democratic & Regulatory Services J Milsom, Assistant Director - Performance, Improvement & Transformation J Deane, Assistant Director, Finance & Resources		
		Quarter 3 Risk Management Report 2012/2013	PM	L Dargue, Insurance & Risk Manager		
		Sportspace Annual Finance Report	PM	Eli Tweed, Policy, Partnerships & Innovation Bill Turner, Sportspace Finance Director Matthew Armstrong, Chair of Sportspace Finance Committee Dave Cove, Chief Executive Sportspace		
		Amendment to Probation Procedures	PM	Matt Rawdon, Human Resources Team Leader		
		Quarter 3 Financial Outturn Report	PM	J Deane, Assistant Director, Finance & Resources		

		Shared and Outsourced Update – Customer Service Centre & Gateway	PM	D Gill, Group Manager – Partnerships & Citizen Insight		
<b>5 February 2013</b> <b>Joint OSC meeting</b>	<b>24 January 2013</b>	Budget 2013-2014  <i><b>Ideally no further items to be added</b></i>	SC	S Marshall, Corporate Director Finance & Governance J Deane, Assistant Director , Finance & Resources		
<b>5 March 2013</b>	<b>20 February 2013</b>	Shared and Outsourced Update Report – Customer Service Centre Gateway	SC	D Gill, Group Manager – Partnerships & Citizen Insight		
<b>4 June 2013</b>	<b>21 May 2013</b>	Quarter 4 Risk Management Report 2013/14	PM	Linda Dargue, Insurance & Risk Manager		The report was noted.
		Quarter 4 Performance & Operational Risk Register Reports	PM	S Baker, Assistant Director – Legal, Democratic & Regulatory Services J Milsom, Assistant Director Strategy & Transformation, Community & Organisation. J Deane, Assistant Director, Finance & Resources.		The report was noted.
		Quarter 4 Provisional Financial Outturn Report 2013/14	PM	James Deane, Assistant Director, Finance & Resources		The report was noted.
		Quarter 4 Licensing Report	PM	M Brookes, Group Manager – Legal		The report was



				Governance		noted.
		Community Infrastructure Levy	PM	Chris Taylor – Group Manager – Strategic Planning & Regeneration	To consider the next steps for the introduction of Community Infrastructure Levy for Dacorum. J Doe attending as CT will be on leave.	The report was noted.
		Review of Discretionary Policies for Revenue and Benefits	PM	Chris Baker – Revenue & Benefits Support Manager		The report was noted.
		Funding of Core Funder Community Groups	PM	D Gill, Group Manager – Partnerships & Citizen Insight		The report was noted.
		Shared and Outsourced Update Report – Customer Service Centre Gateway	SC	J Milsom, Assistant Director Strategy & Transformation, Community & Organisation.		The report was noted.
<b>2 July 2013</b>	<b>19 June 2013</b>	Shared and Outsourced Update Report – Customer Service Centre Gateway	SC	J Milsom, Assistant Director Strategy & Transformation, Community & Organisation.		This meeting was cancelled.
<b>3 September 2013</b>	<b>21 August 2013</b>	Quarter 1 Risk Management Report 2013/2014	PM	Linda Dargue, Insurance & Risk Manager		
		Quarter 1 Performance & Operational Risk Register	PM	S Baker, Assistant Director – Legal, Democratic & Regulatory Services J Milsom, Assistant Director -		

		Reports		Performance, Improvement & Transformation J Deane, Assistant Director, Finance & Resources		
		Quarter 1 Forecast Financial Outturn Report 2013/14	PM	J Deane, Assistant Director, Finance & Resources		
		Quarter 1 Licensing Report	PM	M Brookes, Group Manager – Legal Governance		
		Shared and Outsourced Update Report – Customer Service Centre Gateway	SC	J Milsom, Assistant Director Strategy & Transformation, Community & Organisation.		
<b>8 October 2013</b>	<b>24 September 2013</b>	Community Infrastructure Levy	PM	Chris Taylor - Group Manager – Strategic Planning & Regeneration		
		Shared and Outsourced Update Report – Customer Service Centre Gateway	SC	J Milsom, Assistant Director Strategy & Transformation, Community & Organisation.		
<b>5 November 2013</b>	<b>22 October 2013</b>	Quarter 2 Risk Management Report 2013/14	PM	L Dargue, Insurance & Risk Manager		
		Quarter 2 Performance & Operational Risk Register Reports	PM	S Baker, Assistant Director – Legal, Democratic & Regulatory Services J Milsom, Assistant Director - Performance, Improvement &		

				Transformation J Deane, Assistant Director, Finance & Resources		
		Quarter 2 Forecast Financial Outturn Report 2013/14	PM	J Deane, Assistant Director, Finance & Resources		
		Quarter 2 Licensing Report	PM	M Brookes, Group Manager – Legal Governance		
		Shared and Outsourced Update Report – Customer Service Centre Gateway	SC	J Milsom, Assistant Director Strategy & Transformation, Community & Organisation.		
<b>7 January 2014</b>	<b>17 December 2013</b>	Quarter 3 Risk Management Report 2013/14	PM	L Dargue, Insurance & Risk Manager		
		Quarter 3 Performance & Operational Risk Register Reports.	PM	S Baker, Assistant Director – Legal, Democratic & Regulatory Services J Milsom, Assistant Director - Performance, Improvement & Transformation J Deane, Assistant Director, Finance & Resources		
		Quarter 3 Licensing Report	PM	M Brookes, Group Manager – Legal Governance		
		Shared and Outsourced Update Report – Customer Service Centre Gateway	SC	J Milsom, Assistant Director Strategy & Transformation, Community & Organisation.		

4 March 2014	20 February 2014	Shared and Outsourced Update Report – Customer Service Centre Gateway	SC	J Milsom, Assistant Director Strategy & Transformation, Community & Organisation.		
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**Future Items**

**PM- Performance management    PD- Policy Development    Sc- Scrutiny**