



FINANCE & RESOURCES OVERVIEW AND SCRUTINY COMMITTEE AGENDA

TUESDAY 05 NOVEMBER 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. Information about the Council can also be found on our web-site: www.dacorum.gov.uk

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1. MINUTES

To confirm the minutes held on 08 October 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

6. ACTION POINTS FROM PREVIOUS MEETINGS

To discuss the action points and outcomes from previous meetings.

Item 6

Finance & Resources OSC Action Points List 2013/14

Item 6

Finance & Resources OSC Action Points List 2013/14

AGENDA ITEM: 7

SUMMARY

Report for:	Finance and Resources Overview & Scrutiny Committee
Date of meeting:	05th November 2013
PART:	1

Title of report:	Risk Management Report Quarter 2 2013/14
Contact:	Councillor Nick Tiley, Portfolio Holder for Finance Resources Sally Marshall, Director Finance & Corporate Services Linda Dargue, Insurance & Risk Manager
Purpose of report:	1. To provide the Quarter 2 report on the Strategic Risk Register 2. To provide the Quarter 2 report on the Operational Risk Registers
Recommendations	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: Value For Money Implications	<u>Financial</u> None identified. <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	Effective risk management is an important factor in all policymaking, planning and decision making. Failure to manage risk effectively could have serious consequences for the Council leading to increased costs, 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
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 Q2 2013/14 is attached at Appendix A for ease of reference. The table below provides a comparison of the risk scores from quarter 1 2013/14.

Risk	Q1 13/14	Q2 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	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. The following table shows those operational risks where the risk score has changed since quarter 4. A number of new operational risks have been added in quarter 2; these have been highlighted as have changes to existing risk scores.

Risk	Resp Off	Q1	Q2
PP_R01 – lack of capacity to bring together all strands of the information required	SF	6	4
PP_R02 0 Failure to develop a range of initiatives To contribute to the Council's improvements & efficiencies agenda	SF	8	12
PP_R04 – Lack of capacity & financial resources services through ICT	SF	6	8
PP_R05 – Lack of buy in from service sin terms of culture changes needed to deliver innovative ways of working	SF	8	6
PP_R07 Other projects need heavy ICT resource	SF	9	6
PP_R09 – Suitable electronic systems for incoming & outgoing post are not established in time for the decant	SF	-	3
PP_R10 – Insufficient capacity to support increasing number of formal meetings	SF	-	4
PP_R11 – the CSGC contractor focuses attention on meeting speed of response targets & not quality of service	SF	-	4
PP_R12 During the transformation of CSCG there is a high level of requirement for DBC staff resource	SF	-	9
PP_R13 The introduction of inform 360 & automated self-service options via telephone reduces access and/or satisfaction with contact	SF	-	6
PP_R14 Integration of CRM systems cannot be accomplished due to the technical difficulties or high cost	SF	-	9
PP_R15 Redundancy costs of transferred staff borne by DBC in first year of contract	SF	-	8

PDR_I03 Failure to deliver on the Regeneration & Sustainability agenda by failure of partners to engage	JD	6	9
PDR_R01 Local Development Framework (LDF) fails to meet milestones in Local Development Scheme	JD	3	9
HL_R03 Failure to deliver the Council's New Build Programme	EB	-	4
FR_R02 Delays & Errors in the processing of Benefits claims	JDe	4	8

Appendix A – Risk Register

Appendix A – Risk Register

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AGENDA ITEM: 8a

SUMMARY

Report for:	Finance and Resource Overview & Scrutiny
Date of meeting:	05th November 2013
PART:	1

Title of report:	Performance Report Quarter 2 – Legal Governance, Democratic Services and People
Contact:	<p>Cllr Neil Harden, Portfolio Holder for Residents and Regulatory Services (in respect of Legal Governance and People) Cllr Andrew Williams, Leader of the Council (in respect of Democratic Services)</p> <p>Author/Responsible Officers:</p> <p>Steven Baker, Assistant Director (Chief Executive's Unit)</p> <p>Mark Brookes, Group Manager (Legal Governance) Jim Doyle, Group Manager (Democratic Services) Matt Rawdon, Group Manager (People)</p>
Purpose of report:	To provide Members with the performance report for quarter 2 in respect to Legal Governance, Democratic Services and People.
Recommendations	That Members note the report.
Corporate objectives:	Resources and Value For Money; Optimise Resources and Implement Best Practice.
Implications:	<u>Financial</u>
'Value For Money Implications'	<p>None.</p> <p><u>Value for Money</u></p> <p>Monitoring Performance supports the Council in achieving Value for Money for its citizens.</p>
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	None

Implications	
Consultees:	Cllr Neil Harden, Portfolio Holder for Residents and Regulatory Services
Background papers:	Annex 1 : Quarter 2 Performance Report Annex 2: Quarter 2 Updated Operational Risk Register

1. Members will find attached to this report the Corvu performance data for Legal Governance, Democratic Services and People, together with the Operational Risk Register, in relation to the second 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 these services during quarter 2 which may be of particular interest to the Members of the Committee. The officers named in the contact box above will be present at the meeting to answer any questions that Members of the Committee may have.

2. PEOPLE GROUP

This report includes the performance information relating to those services which make up the new People Group i.e. Human Resources, Communications & Consultation and Community Partnerships. The Group Manager (People) reports to the Assistant Director (Chief Executive's Unit). Matt Rawdon was appointed as the Group Manager in August.

Human Resources (HR)

Corporate projects – HR Support

- 2.1 Human Resources continue to be heavily involved in many of the Council's critical projects. In particular, significant support is being provided in relation to the strategic procurement of Housing Maintenance (now referred to as the Total Asset Management contract), Customer Service Unit (CSU) Transfer, Dacorum Anywhere Programme, Electronic Document Records Management System (EDRMS) and the Decant project (which involves the relocation of Council staff from the Civic Centre to 39-41 Marlowes. A significant amount of time was spent in compiling the staff information and facilitating the consultation process as part of the CSU transfer to Northgate.

New Recruitment Website

- 2.2 On the 10th September, HR launched a new online Recruitment website, which sits within the Council's website. There are a number of advantages in this new system. Individuals wishing to apply for a vacancy will find the system much quicker and easier to use. Once individuals have registered on the system they will be able to apply for multiple roles, with a single application. They will also have the ability to adjust their application form to fit other roles, but they will only need to complete their personal details once. This will reduce time and avoid unnecessary duplication.
- 2.3 The majority of communication with candidates will be by email, if this is suitable for them. While there will initially be the ability for candidates to complete a paper copy of the application form, we will be encouraging online applications whenever possible. All adverts, whether on our website or in local publications and

newspapers, will refer candidates to the Council's website where they will be able to access the full details of the role. The new website will save time as communications can be sent out electronically to a number of candidates with one click.

Apprenticeship Scheme 2013/14.

- 2.4 The Council in September agreed the recommendation from Cabinet to implement a new apprenticeship scheme which will see apprentices employed by the Council and local businesses being able to apply for grants to assist them in employing apprentices.

Online Medical checks for new Starters

- 2.5 Working in partnership with Serco (our providers), medical checks have been moved from paper copy to online. This has reduced the amount of time it takes to medically clear an applicant from 1 week to two days.

HR Team Leader appointment

- 2.6 Anne Stunell has been appointed and commenced her new role on 21st October. Anne has been working for the Council for nine years and her last role was HR Lead Officer.

3. Communications & Consultation

Corporate projects – Communications Support

- 3.1 The communications team continue to support the Council's critical projects, in particular, the Decant project, Dacorum Anywhere, Hemel Evolution, and Behavioural Change.

Value for Money Campaign

- 3.2 This is a two year programme that promotes messages on the cost of services for residents.

Evidence Based Decision Making

- 3.3 A Project Initiation Document has been developed and approved by CMT. The objective of this project is that the Council will have developed the capacity to use internal and external data and evidence collectively to inform decision-making for service delivery and be better placed to assess the impact of its decisions.

Staff Survey

- 3.4 The next Staff Survey will soon be finalised and will be launched to staff on 11th November. Managers and trade unions have been consulted over the questions asked.

Social Media

- 3.5 Communications has recently implemented a social media management system called Crowd Control HQ which will put our Facebook, Twitter, LinkedIn and YouTube accounts into one system. Some of the key benefits will be-

- Keep accounts safe and secure by protecting passwords

- Save time by scheduling posts
- Automatically remove defamatory posts (even if they are posted out of hours)
- Measure and report what is happening on Twitter and Facebook
- Follow online discussions by searching the internet for key words.

4. Community Partnerships

Strategic Voluntary Sector Partners

- 4.1 New funding agreements have been drafted for the 10 core voluntary sector strategic partners and strategic partner mid-term interviews are currently being held.

Local Strategic Partnership (formerly known as Destination Dacorum)

- 4.2 There has been a recent review of the Local Strategic Partnership and the group agreed a fresh approach for the future. It was decided that it would operate as a senior networking group which would meet quarterly to discuss specific challenges/issues that face the locality. This would involve the engagement of all sectors, including the Herts Valleys Clinical Commissioning Group.

Voluntary Sector Organisations

- 4.3 Grant aid was distributed to small community and voluntary sector organisations via the internal grant process

Sportspace

- 4.4 We are working with Sportspace to understand their outcomes in the community. It is anticipated that in the future these outcomes will be jointly agreed and will target community groups.

5. Organisation Development and Training

E-Learning

- 5.1 The new E-learning Platform, DORIS, (Dacorum Online Resources for Interactive Study) was launched at the end of September. Most mandatory courses are available for staff to access and in time there will be a larger choice. This new platform allows us to re-use thousands of other courses that other organisations have developed. There will still be a need for 'class room' training, but in time this will reduce to a more blended approach with E-Learning. This also supports the Council's objectives in relation to the Dacorum Anywhere Programme.

Health and Safety

- 5.2 All Divisional Team Meetings throughout the year will now include health & safety on the agenda and a Health & Safety Risk Analysis, with any associated mitigating actions, will be entered onto CorVu by Group Managers.

6. LEGAL GOVERNANCE

- 6.1 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), and the Council's New Build Housing project.

6.2 Key developments in relation to the above projects during the last quarter include:

- The completion of the contract for Gas Servicing with Sun Realm.
- Progress on key development documents for the PSQ project, including heads of terms for the PSQ development procurement and a development agreement with Hertfordshire County Council.
- The completion of a building contract for the New Build project at Farm Place, Berkhamsted.

6.3 The increase in the number of Right to Buy transactions has continued into 2013/14 with 24 Right to Buy sales in the second quarter.

6.4 The legal team frequently represent the Council in the courts and tribunals, leading on injunctions, prosecutions and defending employment tribunal cases and obtained 2 anti-social behaviour injunctions during the last quarter.

Licensing

6.5 The licensing team are currently consulting on a new sex establishment policy which will update the current policy, but also bring in proposed areas within the borough where it will be suggested that no sexual entertainment venues will be appropriate.

6.6 The licensing team have also been consulting on a proposed increase in taxi fares, which was suggested by the trade. This will be reported to the Licensing Committee for final approval at the end of October. Further consultations are also taking place on the introduction of a basic communication test, a new on-line knowledge test, a practical driving test and the introduction of minimum age vehicle limits for newly licensed vehicles.

6.7 The enforcement section of the licensing team are currently investigating a number of drivers who are operating within the borough without a licence and have revoked one driver's licence for alleged dishonesty offences which are currently being investigated by the Police.

7. DEMOCRATIC SERVICES

Member Support

7.1 During Quarter 2, Member Support managed and organised the following:

- Published 23 agendas
- Completed 23 sets of minutes
- Spent 36 hours at evening meetings
- Processed 29 public speakers at Committee
- Processed 11 Portfolio Holder Decisions

Member Development

7.2 Three training sessions for members were provided during the second quarter and 44 councillors attended courses on Planning, Dacorum Anywhere and Public Speaking. The Public Speaking course was a joint authority training course and was attended by 13 councillors from other authorities.

- 7.3 The target set for Member training in 2013/14 is for each Councillor to attend at least three training sessions. Following the second quarter, member attendance is averaging 1.39 sessions per councillor, but training will step up over the winter months. There are four courses scheduled for the next four weeks and then the budget cycle begins, so the target is expected to be achieved.
- 7.4 Work is currently under way with Human Resources to provide, internally, Personal Development Plans for all Members early in 2014. Options are currently being considered and all members will be encouraged to take part.

Independent Remuneration Panel

- 7.5 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. The IRP met in September and carried out the review, which included the views of members garnered from a questionnaire on the Members Allowance Scheme and those members who spoke to the panel. The answers have been analysed and form part of the IRP report which will be presented first to this Committee and then Cabinet in January 2014.

Electoral Services – the Annual Canvass

- 7.6 The Annual Canvass of electors for the Electoral Register 2013 began in early October. As in previous years, electors were given various means of registering their details, such as paper reply with postage paid, the internet, Freephone or text.
- 7.7 The registration form allows electors to opt out from having their details appearing in the 'edited' version of the electoral register. This is the version of the register which can be purchased by members of the public, and is often purchased by commercial companies for marketing purposes. Electors can opt out by ticking the appropriate box on the form.
- 7.8 In previous years the Council, along with most other councils in the country, issued forms with a pre-printed tick in the 'opt-out' box to those electors who had previously ticked the box. However, this year 192.com issued a legal challenge against those councils who 'pre-tick' on the grounds that this was in breach of the legislation which requires the actual registration form issued by councils to be substantially the same as the form prescribed in Regulations. In their opinion, 'pre-ticking' substantially changes the effect of the form and is therefore illegal.
- 7.9 After consultation, the Electoral Commission also advised councils that the form should give the elector the option to opt-in or opt-out on an annual basis. Although some councils chose to ignore this advice, this Council's Monitoring Officer advised that 'pre-ticking' would risk having the whole canvass declared illegal and void.
- 7.10 The Monitoring Officer advised that this was too great a risk and that we should cease the practice of pre-ticking for the 2013 canvass in return for 192.com's agreement that, should their court action be successful, this Council would not be liable for any legal costs. Some other councils have also adopted this course of action, although others have decided to continue pre-ticking and defend the court action.

- 7.11 Unfortunately, due to an omission on the part of the Council's contractors, Electoral Reform Services (ERS), those electors who replied using the internet and Freephone options were not given the opportunity to 'opt-in' or 'opt-out' of the 'edited' register. Anyone who registered by internet or Freephone between the process going live on Friday 11 October and 9.30am on Monday 13 October, when the mistake was corrected, had to be contacted by ERS and asked to repeat the process.
- 7.12 ERS immediately accepted full responsibility for the mistake and acted swiftly to rectify the error by contacting the 7,500 electors affected. Electors who responded online were contacted by e-mail. Those that did not leave an email address, or registered by Freephone, received a letter apologising for the inconvenience caused and requesting that they re-submit their registration. At the time of writing, there is no evidence that this mistake has affected the number of electors registering to vote.

Town & Parish / Communities

- 7.13 Responsibility for supporting the Town and Parish Councils has now transferred to Democratic Services from the Partnerships Team. Sharon Collins (the Town, Parish and VCS Officer) is now located in the Member Support Team and will continue to provide support to the Community and Neighbourhood Centres in Hemel Hempstead and the voluntary sector, as well as the Town and Parish Councils. This includes-
- Organising the Town & Parish Council Conference in November
 - Carrying out 10 review meetings with Strategic Partners
 - Organising two training sessions on roles & responsibilities of trustees and committee members
 - Providing specific support to a particular Community Association

8. Operational Risk Register

- 8.1 The operational risk register relating to the services covered by this report shows no changes to the risk scores since the last quarter. Members should note that the risk owner in respect of CE_M01, CE_R04 and CE_R06 will become David Austin (Assistant Director – Neighbourhood Delivery) who is now responsible for Regulatory Services.

Appendix A – Quarterly Performance Report

Appendix A – Quarterly Performance Report

Appendix B – Operational Risk Register

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AGENDA ITEM: 8b

SUMMARY

Report for:	Finance and Resources Overview & Scrutiny Committee
Date of meeting:	05th November 2013
PART:	1

Title of report:	Performance and Risk report Quarter 2 2013/14 – Performance and Projects
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 division of the Chief Executive's Department to 30 September
Recommendations	That the Committee notes the contents of the report and the performance of the division for Quarter 2, 2012/14.
Corporate objectives:	Effective performance and project managements support 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 September 2013
Equalities Implications	Equality Impact Assessment reviewed on 30 September 2013. There are no direct equalities implications arising from this report.
Health And Safety Implications	There are no direct health and safety implications arising from this report
Consultees:	None
Background papers:	Attached: 1. Quarter 2 Performance Indicators report 2. Quarter 2 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. The Performance and Projects division was created to bring together corporate functions supporting the Council's continuous improvement programme, specifically:</p> <ul style="list-style-type: none"> • Performance • Projects • Dacorum Anywhere • Corporate Support • Information, Communications and Technology
<p>Glossary of acronyms and any other abbreviations used in this report:</p>	<p>CSCG: Customer Service Centre and Gateway</p> <p>EDRMS: Electronic Document and Records Management System</p> <p>PSN: Public Service Network</p> <p>SIP: Service Improvement Plan (for Northgate CSCG)</p>

1 Introduction

1.1 Performance reports are produced quarterly from the Council's performance management system, CorVu. The service performance report for quarter 2 (June to September 2013), is provided at Appendix A. These are currently limited to targets relating to the performance of the Customer Service Centre and Gateway (CSCG) and all indicators are within tolerance levels. Performance targets for other parts of the Performance and Projects division are being developed for 2014/15.

1.2 Detailed reviews of the risk registers relating to those service area were undertaken during quarter 2. Commentary on changes to risk levels is provided below. The operational risk register and detailed performance reports are available on the CorVu Portal, on the Council's Intranet.

2 Performance indicators

2.1 The performance of the division for the second quarter of 2013/14 was strong with all indicators being within tolerance levels. A more detailed review of the CSCG performance is provided elsewhere on the agenda. However three indicators require specific commentary:

CSU02 - Percentage of enquiries that are resolved at first point of contact within the Customer Service Centre

CSU02 - Percentage of enquiries that are resolved at first point of contact within the Contact Centre

and

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

71.07% against a target of 70%.

2.2 The two indicators which relate to the percentage of enquiries dealt with at first point of contact are measured by operatives who note, at the end of each call, whether the call was resolved or not. There are four categories:

1. resolved/avoidable
2. resolved/unavoidable
3. unresolved/avoidable
4. unresolved/unavoidable

2.3 The quarter 2 performance declined on quarter 1, although it remains above target. This needs to be carefully monitored for two reasons:

- to maintain the principle that the CSCG will act as the first point of contact, with calls direct to the back office remaining minimal; and
- to ensure that, as channel shift increases, the number of avoidable contacts reduces (as people no longer feel the need to phone or call in with queries).

2.4 The slight drop in performance in quarter 2 is not a cause for concern at this stage as it is understood to reflect more precise recording of call outcomes. However, it will be kept under review.

2.5 The indicator relating to calls answered within 20 seconds has dropped significantly from quarter 1. This is not a result of reduced performance but from a change in the way that the indicator is reported. Since August 2013 only those calls answered directly by the CSCG operatives are reported against this indicator. Prior to that all calls received by the council were included. This change has been made to allow performance of the CSCG contract to be monitored. The current target within the contract is 42% which was the actual number of calls answered within 20 seconds by the CSU at 5 August.

2.6 Sickness absence levels within the division were recorded as very low during the second quarter of 2013/14. There are no direct comparisons with quarter 1 because of the restructure. There are no significant long term absences.

3 Service reports

3.1 During quarter 2 the operational risk register relating to Performance and projects was reviewed. Reports for the service areas for the division are given in the following sections. These reflect changes to the risk register since quarter 1 and developments against service plans.

4 Performance, Projects and Dacorum Anywhere

4.1 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 strategic matters relating to the contract, including Customer Relationship Management (CRM) and Channel Shift are reported here.

- 4.2 Since the implementation of the contract in August the focus has been on performance improvement (reported on separately) and increasingly on the development of the CRM (including Citizen Insight) and Channel shift projects. Consequently the following risks have reduced as governance structures and project plans have now been developed:

PP_R01 Lack of capacity to bring together all of the strands of the information required (reduced from 6 to 4)

PP_R04 Lack of capacity and financial resources to transform services through ICT (reduced from 8 to 6)

- 4.3 In addition five new items have been added to the risk register relating to the CSCG transformation. These include the CRM and channel shift projects and the potential impact of these on resources across the Council and for ICT in particular:

PP_R11 The CSGC contractor focuses attention on meeting speed of response targets and not quality of service (current residual risk level: 4)

PP_R12 During the transformation of the CSCG there is a high level of requirement for DBC staff resource (current residual risk level: 9)

PP_R13 The introduction of inform 360 and automated self-service options via telephone reduces access and/or satisfaction with contact (current residual risk level: 6)

PP_R14 Integration of CRM systems cannot be accomplished due to technical difficulties or high cost (current residual risk level: 9)

PP_R15 Redundancy costs of transferred staff borne by DBC in first year of contract (current residual risk level: 8)

- 4.4 A significant aspect of the division's work in the second quarter has been in relation to establishing suitable governance arrangements for the contract and for the two related projects. The key task is to align the project plans set out by Northgate in the Service Improvement Plan (SIP) with the Council's own improvement programmes and resource commitments. As part of this, joint operational working groups have been set up to manage each of the projects and the Council's Web and Customer Access Strategy (September 2011) is being revised.

- 4.5 Outside of the CSCG contract, the division has continued to focus on introducing a Performance Management approach as a means of addressing two key risks:

PP_R02 Failure to develop a range of initiatives to contribute to the Council's improvement and efficiencies agenda (increased from 8 to 12)

PP_R03 Services do not understand or support the need to innovate and improve (no change: level 8)

- 4.6 The risk has increased due to the revised Medium term Financial Strategy which anticipates that savings of around £5m will be needed over the next four years. This increases the need to ensure that all activities are geared towards key aims and that resources are deployed as efficiently as possible to achieve those aims.

- 4.7 The revised Corporate Plan is due for submission to Cabinet in November. Targets for most of the Key Performance Indicators have now been set, although further

revision will be possible between Cabinet approval in November and publication in the spring. There is a separate report on this process on the agenda.

- 4.8 The next stage will be to review the existing suite of detailed performance indicators to determine whether these provide the right information to the right people for the right purposes. As part of this process existing PIs are being categorised into:
- Outcomes measures (what impact are we having?)
 - Customer satisfaction measures (are we doing the things we said we would to the right level of quality?)
 - Internal Health (are we economic, efficient and effective in our operations and managing our resources, including people, well?)
- 4.9 Assistant Directors have been provided with a statement of which indicators are reported to which committees and have been asked to review them with a view to reducing the number and improving reporting to Members.
- 4.10 Alongside this, the new project management system is being launched at a joint CMT/Group Managers meeting on October 23rd. This will establish stronger governance arrangements based on a gateway process and will include revised and simplified documentation. As a result, a more comprehensive set of monitoring reports is now provided to the Performance Board each month.
- 4.11 The Dacorum Anywhere programme continues to progress. Specific ICT resources have been identified to support Dacorum Anywhere and the related roll out of Northgate's Information@Work Electronic Document and Records Management System (EDRMS). This has resolved the problems with delivery encountered during the earlier part of the year. The main areas of increased activity are:
- Delivery of the first tranche of Housing files to Northgate for backscanning
 - Planning the roll out of DBC authorised devices to Members resulting from the Cabinet Office's new stringent requirements for Public Service Network (PSN compliance).
- 4.12 As this project engages with more service areas, so the potential opportunities provided by new ways of working is being realised. Evidence for this is from the increased requests for information about the roll out of the various elements of the programme. To support the transition a set of supporting documents are being prepared for Group Managers including ideas for making the most of the opportunities afforded by Dacorum Anywhere. Consequently the following risk has been reduced:
- PP_R05 Lack of 'buy-in' from services in terms of the culture changes needed to deliver innovative ways of working (reduced from 8 to 6)**

5 Corporate Support

- 5.1 Corporate Support forms part of the core structure of the Council and therefore has a central role to play in the improvement programme. Two new items have been added to the risk register to reflect key work strands that have been affected by the transition from the Performance Improvement Directorate and the change programme:

PP_R09 Suitable electronic systems for incoming and outgoing post are not established in time for decant (current residual risk level: 3)

PP_R10 Insufficient capacity to support increasing number of formal meetings (current residual risk level: 4)

- 5.2 The first reflects the role that Corporate Support will play in ensuring the efficient flow of information through the organisation, including workflows relating to complaints, MP queries and Ombudsman queries, all of which are managed by the division.
- 5.3 On 1 October the Corporate Management Team accepted a detailed report of a pilot exercise designed to assess the resources required to move from paper-based approaches to electronic post arrangements. The pilot demonstrated that the transition could be made with no increase in existing resources: that is, the time taken to circulate paper manually can be reallocated to scanning and posting items electronically to departments to index and file as needed.
- 5.4 Consequently the risks of failure to introduce an EDRMS are currently low. However, the development of a full incoming post solution need to match the roll out of the EDRMS and a decision is also required regarding external post arrangements. Therefore this needs to be kept under review. In addition, the management of MP and Ombudsman queries need to be strengthened. Development of the complaints system is currently being considered as the way forward but this needs to be integrated with the development of the CRM solution so that all interactions with the public can be managed consistently.
- 5.5 The second risk relates to the loss of an experienced Directorate Support Officer on the transition to the new corporate structure and the increased need to manage meetings to support the transition to flexible working. A structure chart for the division is provided at Appendix C. Two Directorate Support Assistants are now supporting the Chief Executive's department with a direct report line to the Chief Executive. These sit outside the Corporate Support structure. For the remaining directorates, and support for Corporate groups, a pooled arrangement has been created which is managed operationally by a new Team Leader.
- 5.6 The pool arrangements should ensure that sufficient support is available but ICT solutions are also being considered, such as meeting recording, to help manage the increasing emphasis on controlled meeting arrangements. Flexible and remote working will increase reliance on tele- and video-conferencing and on the management of meetings including the management of meeting rooms.

6 Information, Communication and Technology

- 6.1 Risk scores in relation to ICT resources remain high but have begun to reduce. Included in this assessment are wider resources for the transition and continuous improvement programmes as these have significant overlaps with the CRM/Customer Insight and Channel Shift projects. Moreover, the main form of capital investment required for the transition is ICT related.

PP_R06 Lack of Resources (reduced from 6 to 4)

PP_R07 Other projects need heavy ICT resource (reduced from 9 to 6)

PP_R08 Lack of Capital or Revenue funding (no change: level 6)

- 6.2 These indicators relate to the wider commitment of resources to the improvement programme across the council. To address the potential impact of that programme on business as usual activities the ICT team has been strengthened by the new ICT Group Manager and recruitment to the approved structure is underway. In addition, the Council is currently over-reliant on specialist contractors to deliver the ICT element of projects. Application has therefore been made for a full time business analyst and project manager.
- 6.3 Large development projects over the next 2 years are expected to include the following:
- Decant and preparation for PSQ
 - EDRMS (continuing)
 - Customer Relationship Management
 - Channel Shift
 - Sports Bookings/Allotments
 - Legal Case Management
 - Intranet Replacement
 - HR system Replacement
 - Planning system development or replacement.
- 6.4 Using the existing approach, it is estimated that purchasing Consultancy Services to cover all of these projects would cost the Council between £200,000 and £240,000 (3 days per week at £650 - £800 per day). The full cost of a Business Analyst/Project Manager would be around £50,000 per annum (excluding on costs), representing a saving of around £100,000 to £140,000 across the two years.

Table 1 – cost comparison

	Y1 £	Y2 £	Totals £
DBC Resource	50,000	50,000	100,000
3rd party Resource (average)	110,000	110,000	220,000
Difference	(60,000)	(60,000)	(120,000)

- 6.5 More widely, additional resources have been provided for procurement, project management (particularly for PSQ and decant), contract management (CSCG) and Total Asset Management). The risk that resources will not be available to support the transition and continuous improvement programmes has therefore reduced.
- 6.6 The requirement for capital and revenue resources for the improvement programme remains high. However, the new project management system enables a monthly reconciliation for the approved budgets with required and actual spend. There is a reduced risk of resources not being in place to meet the costs of the change, therefore, but the risk score has not been changed as significant risks exist in relation to the decant and PSQ projects where there is still some uncertainty around the likely actual full costs of these projects
- 6.7 In addition to supporting the change programme, the ICT service has been faced with two key issues this quarter:

- The need for increased resilience following disruption caused by two power outages in August
 - Production of a submission to the Cabinet Office in respect of PSN compliance under threat of termination of GCSX services
- 6.8 The power outages were caused by breakages of external cables, one of which was caused by contractors working at the Highbarns Chalkmine. As the outages were caused externally, the Council was able to invoke clauses in the contract with the supplier Vtesse, requiring reinstatement within a given period and this was achieved. The incidents also proved the efficacy of the Dacorum Anywhere solution as most homeworkers were able to continue working while office-based workers could not access systems.
- 6.9 However, the incidents highlighted a key flaw in the contract with Vtesse which provides for external routing of data to and from the Council's sever farm at Amersham through fibre optic cables. The contract with Vtesse specifies the delivery of two cables to provide increased capacity and resilience. However both of these cables are routed along the same channels, whereas, for increased resilience, they should be routed along different channels. The original intention was to establish a route through Aylesbury as part of the planned shared service ICT arrangements between the Council and Aylesbury Vale District Council. When the shared service was halted, the planned routing solution was not implemented.
- 6.10 To address the resilience issue an urgent request for a contract variation has been put forward to Cabinet in October as the least cost and quickest option. Detailed questions relating to the contract arrangements have been raised by Members as part of this procurement request which will be addressed separately and circulated to the committee, as required.
- 6.11 In respect of PSN compliance, the submission was provided by the due date of 11 October. In the meantime, the Cabinet Office withdrew the immediate threat to terminate GCSX services due to its underestimating the capacity required to support the process. The submission will now be reviewed and the Council will be advised in due course whether it is in compliance with PSN requirements in preparation for the conversion from GCSX to PSN from April 2014.
- 6.12 The submission includes an action plan to address areas where the Council currently does not meet the expected standard. This will mean changes to current working practices, including, in particular:
- the management of administrator passwords which are embedded across multiple systems within the Council
 - the availability of open, unsecure connections in meeting rooms
 - the use of non-authorized devices to access systems, including webmail.
- 6.13 Chief responsibility for these matters rests with the Information Security Officer within the Chief Executive's Division but there is a significant input from ICT. Therefore progress will continue to be reported to the committee as appropriate.

Appendix A – Performance Report

Appendix A – Performance Report

Appendix B – Operational Risk Register

Appendix B – Operational Risk Register

Appendix B – Operational Risk Register

Appendix B – Operational Risk Register

Appendix B – Operational Risk Register

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Appendix B – Operational Risk Register

Appendix C – Structure Chart

AGENDA ITEM: 8c

SUMMARY

Report for:	Finance and Resources Overview & Scrutiny Committee
Date of meeting:	05th November 2013
PART:	1

Title of report:	Finance & Resources Performance and Risk report Quarter 2, 2013/14
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 September 2013
Recommendations	That the Committee notes the contents of the report and the performance of Finance & Resources for Quarter 2, 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	Contained within the body of the report.
Equalities Implications	None
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:	None

1. Introduction

1.1 The attached appendices provide comprehensive risk and performance information for Finance & Resources for Quarter 2 of 2013/14 (July - September).

Appendix A	Performance Report
Appendix B	Risk Report

1.2 Members' attention is drawn to the following risks, within Appendix B, which have had a change in rating since the Quarter 1 report (explanations are provided within the appendix):

FR_F02	Delays to Capital Programme
FR_F03	Variances in General Fund revenue budget
FR_I02	Failure to optimise income generated by commercial assets

Appendix A - Quarterly Performance

Appendix A- Quarterly Performance

Appendix A - Quarterly Performance

Appendix A- Quarterly Performance

Appendix A - Quarterly Performance

Appendix B – Operational Risk Register

Appendix B – Operational Risk Register

Appendix B – Operational Risk Register

Appendix B – Operational Risk Register

Appendix B – Operational Risk Register

Appendix B – Operational Risk Register

Appendix B – Operational Risk Register

Appendix B – Operational Risk Register

AGENDA ITEM: 9

SUMMARY

Report for:	Finance and Resources Overview & Scrutiny Committee
Date of meeting:	05th November 2013
PART:	1

Title of report:	Quarter 2 Financial Outturn Report 2013/14
Contact:	Cllr Nicholas Tiley, Portfolio Holder Finance & Resources James Deane, Assistant Director (Finance & Operations) Author: Paul Sutton, Group Manager (Financial Services)
Purpose of report:	To provide details of the forecast outturn position as at the end of Quarter 2 2013/14.
Recommendations	That Committee note the forecast outturn position
Corporate objectives:	Budget managers
Background papers:	Not Applicable.
Glossary of acronyms and any other abbreviations used in this report:	F & R – Finance & Resources H & C – Housing & Communities HRA – Housing Revenue Account SPE – Strategic Planning & Environment

1. Introduction

1.1 The purpose of this report is to outline Council's forecast outturn for 2013/14 as at 30 September 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.

	Current Budget £000	Provisional Outturn £000	Forecast Variance	
			£000	%
Finance & Resources	12,245	12,010	(235)	-1.9%
Strategic Planning & Environment	6,343	5,973	(370)	-5.8%
Housing & Community	1,889	1,849	(40)	-2.1%
Total	20,477	19,832	(645)	-3.1%

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

Amendments	£000	Approved
2013/14 Original budget	19,473	
Transfer from Car Park Reserve	60	Audit Committee May 2013
Transfer from Management of Change Reserve for EDRMS	203	Council July 2013
Transfer from Technology Reserve for IT	102	Council April 2013
Transfer from Management of Change Reserve for Apprentices	25	Council September 2013
Transfer from reserves for the Customer Service Unit contract.	614	Council September 2013
2013/14 Current Budget	20,477	

3. Finance & Resources

Finance & Resources	Controllable Budget £000	Forecast Outturn £000	Forecast Variance	
			£000	%
Employees	10,511	10,569	58	0.6%
Premises	2,399	2,297	(102)	-4.2%
Transport	43	40	(3)	-8.0%
Supplies & Services	4,932	4,815	(117)	-2.4%
Third-Parties	1,431	1,378	(53)	-3.7%
Transfer Payments	47,209	47,209	0	0.0%
Income	(54,280)	(54,299)	(19)	0.0%
	12,245	12,010	(235)	-1.9%

3.1 Employees – £58k over budget (0.6%)

The employees forecast outturn reflects three main variances:

- A £60k pressure is forecast within Legal Governance due to Agency costs required to cover a maternity leave.
- A £70k 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 £105k 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 Premises – £102k under budget (-4.2%)

The underspend relates primarily to a reduction in Business Rates for empty Commercial Properties (£80k). A key factor in this is the continued increase in occupancy levels. There has also been a reduction in Business Rates at the Civic Centre (£20k).

3.3 Supplies and Services – £117k under budget (-2.4%)

The main underspend relates to the transfer of spend for discretionary rate relief to the collection fund (£150k). This is a requirement under the new scheme for managing business rates.

3.4 Third Parties – £53k under budget (-3.7%)

The saving has been achieved from the change of internal audit provider. This is currently being reviewed due to a further change in audit provider.

4 Strategic Planning & Environment

Strategic Planning and Environment	Controllable Budget £000	Forecast Outturn £000	Forecast Variance	
			£000	%
Employees	8,190	8,187	(3)	0.0%
Premises	877	875	(2)	-0.2%
Transport	1,383	1,427	44	3.2%
Supplies & Services	5,138	4,989	(149)	-2.9%
Third-Parties	131	143	12	9.2%
Income	(9,377)	(9,649)	(272)	-2.9%
	6,342	5,972	(370)	-5.8%

4.1 Transport - £44k over budget (3.2%)

There are two major variances:

- A £58k pressure within Fleet Management (Vehicle Repair Shop) due to increased repairs to ageing vehicles. A review of the Fleet management strategy is underway and replacement vehicles are expected 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.

4.2 Supplies & Services - £149k under budget (-2.9%)

The major underspend (£124k) relates to works on the Local Development Framework (LDF), which will now be undertaken in 2014/15. There are underspend on various elements of LDF work streams caused by a combination of external influences impacting upon timetable deadlines and internal capacity to complete work.

4.3 Income - £272k over achieved (-2.9%)

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

- The current projection for car parking income is for £180k more than budgeted. Work continues to refine the projections for income and to produce accurate breakdowns between on and off street parking and between pay and display income and penalty charge notices.
- An additional £160k 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.

- The second is a £53k pressure projected because of a reduction in the amount of paper recycled. The tonnages recycled in the 1st 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	3,008	3,097	89	3.0%
Premises	398	398	0	0.0%
Transport	58	49	(9)	-15.5%
Supplies & Services	2,196	2,193	(3)	-0.1%
Third Parties	25	25	0	0.0%
Transfer Payments	5	5	0	0.0%
Income	(3,801)	(3,918)	(117)	-3.1%
	1,889	1,849	(40)	-2.1%

5.1 Employees - £89k over budget (3%)

The major variance (£60k) 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.

5.2 Income - £117k over budget (-3.1%)

There are three main variances:

- £65k from the provision of homelessness accommodation at Leys Road Hostel;
- £100k 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 £1.962m. The forecast operating deficit is £815k – a change of £1m compared to the surplus of £185k originally budgeted. Significant variances are as follows:

6.3 **Repairs and Maintenance - £1m over budget: (9.4%)**

Day to Day Repairs

The current projected overspend of £450k on responsive (day to day) repairs is caused by an increase in demand. The volume of repairs carried out in the first six months of 2013/14 has exceeded predictions and is significantly up on last year. Work is taking place to analyse the types of repairs so that this can inform our future repairs policy, the new Total Asset Management Contract and future planned programmes.

It is felt that the increased activity since self-financing on repairs, planned works, consultation and communication has resulted in increased expectations from our tenants and leaseholders. The consequence is that more tenants are choosing to report repairs with a confidence that they will be completed.

Empty Homes – Void Repairs

There is a projected overspend of approximately £800k. There are two main reasons for the projected overspend in this area:

- Lettings are projected to be approximately 10% higher than in 2012/13. This is attributed in part to the welfare reform changes, which results in an increase in the number of tenants wishing to move to a smaller home;
- The budget for 2013/14 was set using the empty homes standard for 2013/14 rather than the agreed revised standard. The difference is an average of around £500 per void repair;
- It is clear from DBC officer networks and from discussions with ARCH (Association of Retained Council Housing) that many authorities are experiencing similar pressures on their empty homes budget.

Planned Maintenance

A review of planned maintenance has been undertaken and total works of £250k identified that could be saved against the 2013/14 budget and completed in 2014/15

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	3,827	3,292	492	(43)	-1.1%
Strategic Planning & Environment	9,302	6,217	3,141	56	0.6%
Housing & Community	8,037	7,730	353	46	0.6%
G F Total	21,166	17,239	3,986	59	0.3%
HRA Total	32,180	32,180	0	0	0.0%
Grand Total	53,346	49,419	3,986	59	0.1%

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:

Amendments	£000	Approved
2013/14 Original Budget	38,731	
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	Council July 2013
St Nicholas Nursery - Structural Repairs	60	Council July 2013
Entropy Management Software	38	Council July 2013
Plant replacement at Commercial Properties	57	Council July 2013
Legal Case Management Software	14	Council July 2013
Play Area Refurbishment Programme	100	Council July 2013
Market Square & Bus Interchange	2,160	Council September 2013
Maylands Gateway	1,000	Council September 2013
Neighbourhood Centre Improvements	24	Council September 2013
Customer Service Unit	363	Council September 2013
General Fund Adjustments	7,865	
Estate Improvements	750	Council July 2013
Balcony Repairs	1,000	Council July 2013
Strategic Acquisitions	5,000	Council September 2013
HRA Adjustments	6,750	
2013/14 Current Budget	53,346	

7.3. Major scheme variations are explained below:

General Fund Schemes

Berkhamsted Sports Centre – Roof Replacement (line 63)

The scheme (£400k) has not been progressed as other options for the centre are currently being considered. The scheme is expected to slip into 2014/15.

Decent Homes in the Private Sector (line 125)

A review is currently being undertaken as to how this external funding should be best used to improve homes in the private sector. It is therefore not expected that the budget (£353k) will be spent this year.

Fleet Replacement Programme (line 158)

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 £2.6m. When more details are known a report will be taken to cabinet as part of the new waste service project.

Old Town Environmental Enhancements (line 166)

The original £1m budget was split between 2013/14 and 2014/15. The majority of the cost (£900k) is now expected to be delivered this year. The scheme is expected to overspend by £100k.

GAF - Neighbourhood Centre Improvements (line 169) & GAF - Urban Park/Education Centre (line 170)

The expected delivery timescales for these projects have been reviewed and will result in slippage (£334k) to 2014/15.

Regeneration of Hemel Town Centre (line 171) & Water Gardens (line 174)

The expected delivery timescales for these projects have been reviewed and will result in slippage (£656k) to 2014/15.

Appendix A

Appendix A

Appendix B

Appendix C

Appendix C

Appendix C

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Appendix C

AGENDA ITEM: 10

SUMMARY

Report for:	Finance and Resources Overview & Scrutiny Committee
Date of meeting:	05th November 2013
PART:	1

Title of report:	Community Infrastructure Levy (CIL) Update
Contact:	<p>Cllr Andrew Williams, Leader of the Council and Portfolio Holder for Planning and Regeneration</p> <p>Robert Freeman – Strategic Planning and Regeneration Officer (Infrastructure Planning) (ext 2663)</p> <p>James Doe – Assistant Director, Planning, Development and Regeneration (ext 2583)</p>
Purpose of report:	To update Members on the progress towards the adoption of CIL and seek support for public consultation on a Draft Charging Schedule and associated policies.
Recommendations	<ol style="list-style-type: none">1. To note the progress and programme for the development of a CIL for Dacorum.2. To note the content of the Draft Charging Schedule and policies on Discretionary Relief, Exceptional Circumstances Relief from CIL, Instalments, Payments in Kind and Regulation 123 List and support consultation with the public thereon.
Corporate objectives:	<p>Preparation and implementation of a CIL contributes to all of the corporate objectives.</p> <p><u>Affordable Housing</u> Affordable housing will be exempt from paying CIL, and the CIL revenues cannot currently be used for provision of Affordable Housing, which will continue to be provided via S106. Officers from the Strategic Housing service are involved in developing the CIL charging schedule, for which affordable housing requirements will be a key consideration. If CIL is set too high then developers may not be able to meet the affordable housing policy requirements.</p> <p><u>Safe and Clean Environment</u> The infrastructure provided through CIL monies is likely to include open space and urban realm improvements to support the development of the borough, both of which contribute to a safe and clean environment.</p>

	<p><u>Building Community Capacity</u> CIL revenues may be used to social enterprise and local community infrastructure which supports those in the most deprived areas.</p> <p><u>Regeneration</u> CIL will be used in combination with S106 to support the delivery of the key regeneration priorities for the Council.</p> <p><u>Dacorum Delivers</u> Developing the CIL represents Value for Money as it will become cost-neutral once it is up and running as explained below. It will lead to the delivery of infrastructure required to support new development so will improve the reputation of the Council.</p>
<p>Implications:</p> <p>Value For Money Implications</p>	<p><u>Financial</u> The cost of developing and implementing CIL is being borne by the Local Development Framework (LDF) budget, and may be repaid from future CIL receipts. Once implemented, up to 5% of CIL receipts may be used for its administration. The project is therefore expected to be cost-neutral in the long term.</p> <p>Once CIL is in place the Council will be responsible for collecting and allocating significant sums of money.</p> <p><u>Value for money</u> Where possible, technical work that supports the CIL has been jointly commissioned with adjoining authorities to ensure value for money. Also, see above regarding the project ultimately being cost neutral.</p> <p><u>Legal</u> CIL should reduce the need for involvement of the Council's planning solicitor, as it will reduce the role of s106 agreements. The Council's legal department may need to become involved in cases where liable parties do not pay CIL.</p> <p><u>Human Resources</u> A member of the Strategic Planning and Regeneration team has taken over the role of leading CIL development and associated infrastructure planning work, for an initial two year period. Any additional staff needs will be considered as the project develops. It is likely that the current secondment which ends in early 2014 will need to be extended to cover the CIL examination and the early implementation of CIL.</p> <p><u>Land</u> Once in place, CIL will be payable for any chargeable development on Council owned land. The opportunity also exists for the Council to accumulate land for the delivery of infrastructure in lieu of CIL payment in accordance with Regulation 73 of the CIL Regulations. A draft policy on Payments in Kind is included at Appendix 6.</p>

Risk Implications	The Project Initiation Document (PID) was updated in February 2013 and sets out full details of the risks associated with the introduction of a CIL. They include insufficient buy-in from infrastructure providers and key stakeholders, changes in Government policy and team capacity.
Equalities Implications	An Equality Impact Assessment has been carried out for CIL in support of the PID. No significant issues have arisen, largely as any expenditure from CIL monies will need to be reflective of the need to develop infrastructure in the Borough, as set out in the Borough's Infrastructure Delivery Plan.
Health And Safety Implications	None
Sustainability implications:	The CIL charging schedule is intended to enable the delivery of infrastructure required to support development planned through the Core Strategy; the Core Strategy has been subject to Sustainability Appraisal incorporating a Strategic Environment Assessment.
Consultees:	<p>The CIL Task and Finish Group have discussed the programme for the introduction of CIL and draft versions of the Instalments policy and the Regulation 123 List.</p> <p>The supporting CIL policies have been circulated to members of the CIL Task and Finish Group and members of the CIL Working Group by email.</p> <p>The County Council have been regularly consulted over the content of all CIL documents. Their comments and advice received is reflected in this report.</p>
Background papers:	<ul style="list-style-type: none"> • Cabinet Report – 23rd July 2013 • CIL Guidance Notes 2013 (Department for Communities and Local Government) • CIL Regulations 2010 (amended 2011, 2012 and 2013) • Community Infrastructure Levy Viability Study (BNP Paribas Real Estate) (December 2012) • Community Infrastructure Levy Viability Study Update (BNP Paribas Real Estate) (June 2013) • Core Strategy 2006-2031 • Dacorum Infrastructure Delivery Plan (June 2012) • Infrastructure Funding Gap Assessment (December 2012) • Preliminary Draft Charging Schedule (December 2012) • Project Initiation Document • Strategic Planning and Environment OSC – June 2013 <p>Key documents can be located on the Council's CIL web pages.</p>

Glossary of acronyms and any other abbreviations used in this report:	BCIS – Building Cost Information Service CIL – Community Infrastructure Levy DCLG – Department for Communities and Local Government DCS – Draft Charging Schedule ECR – Exceptional Circumstances Relief IFGA – Infrastructure Funding Gap Assessment InDP – Infrastructure Delivery Plan NPPF – National Planning Policy Framework PDCS – Preliminary Draft Charging Schedule PID – Project Initiation Document
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BACKGROUND

1.0 Introduction:

- 1.1 The Community Infrastructure Levy is a new way of collecting financial contributions from new developments to help fund the provision of infrastructure required to support growth in the Borough. It is a tariff style system applied to the area of the development as a cost per square metre and may vary by both use and location. The level of charge must be informed by evidence of infrastructure need and scheme viability, and once set will be mandatory for developers to pay.
- 1.2 DBC is responsible for setting the charges, collecting the money and allocating the money for spend. Both the rate at which CIL is set and how its revenue is used will have a big impact on the future growth of the borough. The Council can spend CIL revenues on *'infrastructure to support development of its area'*; it can be spent on the provision of new infrastructure or the on-going costs of infrastructure – but it cannot be used to correct existing deficits in infrastructure provision.
- 1.3 The current mechanism for raising funds from new developments to mitigate the impact upon infrastructure is through the use of planning obligations secured under Section 106 of the Town and Country Planning Act 1990 (as amended). These will continue to play a role in funding new infrastructure. However the way that they may be applied to new developments will significantly change. The Government has made it clear through the CIL Regulations and CIL Guidance that it expects the use of S.106 to be scaled back to those matters that are directly related to a specific site and those which are not identified in CIL spending plans. The Government introduced restrictions upon pooling of S.106 agreements at an early stage in the introduction of CIL. The Council will need to develop a clear and co-ordinated approach to the collection and use of CIL and S106.
- 1.4 Regulation 14 of the CIL Regulations requires the charging authority to strike what it considers to be the appropriate balance between the desirability of funding infrastructure from the levy and the potential effects of the levy on the economic viability of the development across the area. The Council set out its initial proposals for CIL rates in a Preliminary Draft Charging Schedule (PDCS) and consulted on a PDCS between December 2012 and March 2013. Members agreed both the timetable for the adoption of CIL and a response to this public consultation at the meeting of Cabinet on the 23rd July 2013.

2.0 The Draft Charging Schedule

- 2.1 The next stage towards the adoption of a CIL is to publish the Draft Charging Schedule (DCS). The DCS should be made available for inspection at the Council offices together with relevant evidence and a Statement of Representations. These documents should also be published on the Council's website.
- 2.2 The DCS is required by Regulation 12 of the CIL Regulations to contain information on (a) the name of the charging authority, (b) the rates (in pounds per square metre) at which CIL is to be charged, (c) the location and boundaries of the zones for differential rates, on an Ordnance Survey base showing grid lines and references, and (d) an explanation of how the charge will be calculated. A copy of the draft DCS is included in Appendix 1 to this report. Members are asked to support the publication of the DCS.
- 2.3 The DCS must undergo a minimum period of 4 weeks consultation, prior to its submission for examination, in accordance with the CIL Regulations 2010 (as amended). It has been proposed to extend this period to some 6 weeks under the DCLG CIL – Further Reforms. Although no formal statement has been made on the conclusions of this consultation, Officers are expecting this recommendation to be endorsed. It is intended to carry out consultation over a 6 week period commencing shortly after the Full Council meeting of the 15th January 2014. It is considered that 6 weeks would be a more appropriate consultation period in view of the number of supporting policy documents upon which comments will be sought.
- 2.4 The Council's legal team has recommended that the DCS should be approved for consultation by Full Council to accord with the requirements of Section 212 of the Planning Act 2008 and as such it is not possible to carry out consultation on the DCS until January 2014. This change to the timetable for the adoption of CIL should not prevent the submission and examination of the Charging Schedule in accordance with the current timetable as it is considered that time savings will be gained in preparing the Charging Schedule. Members are asked to note this change to the timetable for the adoption of CIL.
- 2.5 The DCS would charge development as set out in Table 1 below. The Charging Schedule is largely as set out in the report to Cabinet of the 23rd July 2013 except for the inclusion of a new charging zone for residential development on Identified Sites.

Table 1: Draft CIL Charging Schedule rates for inclusion in the DCS (November 2013)

Development Type	CIL rate (per sq.m)			
	Zone 1: Berkhamsted and surrounding area	Zone 2: Elsewhere	Zone 3: Hemel Hempstead and Markyate	Zone 4: Identified Sites
Residential	£250	£150	£100	£0
Retirement	£125	£0		

Housing		
Convenience based supermarkets and superstores and retail warehousing (net retailing space of over 280 square metres)		£150
Other		£0
Retirement housing is housing which is purpose built or converted for sale to elderly people with a package of estate management services and which consists of grouped, self-contained accommodation with communal facilities amounting to less than 10% of the gross floor area These premises often have emergency alarm systems and/or wardens. These properties would not however be subject to significant levels of residential care (C2) as would be expected in care homes or extra care premises.		

Viability Evidence

- 2.6 The Council's CIL rates are set on the basis of viability evidence. The Council's viability evidence comprises a number of documents produced by the consultants BNP Paribas Real Estate. An initial viability study was undertaken prior to consultation on the PDCS and this work was updated following the feedback from the public consultation thereon.
- 2.7 The Council concluded at its Cabinet meeting of the 23rd July 2013 to amend the description of retail development which was subject to a CIL charge and remove charges for retirement housing in the lower value housing sub markets in accordance with the recommendations of this work.
- 2.8 The description of retirement housing has been updated in Table 1 to reflect the comments of consultants BNP Paribas Real Estate in relation to scheme viability. A critical issue in the determining the relative viability of these schemes, care homes and extra care housing is the provision of communal floor space. The proposals are less viable once more than 10% of the gross internal floor area is utilised for communal purposes.

Identified Sites

- 2.6 During the consultation on the PDCS concerns were raised by a number of landowners in the Borough regarding the impact of CIL upon the viability of large housing sites, particularly those set out as Strategic sites and Local Allocations within the Core Strategy. These sites are vital to the overall supply of housing within the Borough.
- 2.7 A number of these sites have key pieces of infrastructure associated with them (often site-specific infrastructure) which the Council and County Council may prefer to secure through the use of S.106. There is perception amongst the development industry that developers will effectively be 'double charged' for these works through CIL and that the costs associated with the planning

requirements, CIL and S.106 may be prohibitively high undermining housing delivery.

- 2.8 The Council appointed BNP Paribas to undertake additional site specific viability work to consider the ability of Strategic Sites and Local Allocations and other key housing sites to contribute to the delivery of infrastructure using both planning obligations and CIL payments. This approach was encouraged by the DCLG CIL Guidance 2013.
- 2.9 The following sites were subject to additional viability testing:
- Land at Durrants Lane and Shootersway (SS1)
 - Land at Hicks Road (SS2)
 - Marchmont Farm (LA1)
 - Old Town (LA2)
 - Land West of Hemel Hempstead (LA3)
 - Land at Hanbury's, Shootersway (LA4)
 - Land off Icknield Way (LA5)
 - Land at Chesham Road/Molyneaux Avenue (LA6)
 - Land at Spencers Park/East Hemel Hempstead
 - Hemel Hempstead Town Centre.
- 2.10 A draft of the report looking at these identified sites has been received from BNP Paribas Real Estate. This report concludes that all of the sites identified would be capable of paying CIL in accordance with the rates identified in the PDCS. It has therefore been concluded that there are no viability grounds to justify the introduction of a new charging zone. This report is based on the current information available on the delivery of these sites and there may be changes in circumstances which could impact on scheme viability. The Council should however be reassured by estimates of proposed growth in the housing market which should make these schemes more viable come 2021 when the majority of the sites identified in the Core Strategy are due for delivery.
- 2.11 Notwithstanding the viability evidence, Officers consider that it is appropriate to introduce a new 'nil' charging area in order to secure the delivery of key items of infrastructure on a selective number of sites where there is a need for a significant S.106 contributions and higher levels of affordable housing. The viability report sets out that there are large S.106 bills associated with the developments of land at West Hemel Hempstead (LA3), Icknield Way (LA5) and Spencer's Park, Hemel Hempstead. These sites are likely to deliver key pieces of infrastructure (for example new education premises) which are likely to exceed the value of the CIL bill. The delivery of site specific infrastructure associated with these proposals is fundamental to the delivery of sustainable forms of development at these sites and it would be reasonable and fair to reflect such costs in the CIL Liability. These sites are considered appropriate for a 'nil' charge in the CIL Charging Schedule. The County Council is in favour of this approach to the sites identified as they consider the use of a S.106 agreement to be the most appropriate mechanism for delivery of infrastructure in these cases.

3.0 CIL Spending Plans – The Interaction of Regulation 123 and S.106

- 3.1 When setting the CIL charging rates it is important to understand the dynamics of CIL and S.106 and how they may be utilised once CIL has been introduced to deliver infrastructure works within the Borough.
- 3.2 The Council is required under Regulation 123 of the CIL Regulations to publish a list of infrastructure types or specific infrastructure schemes that will be wholly or partially funded by CIL (the Regulation 123 List). The Council will not be able to seek S.106 contributions towards infrastructure items upon this list and will be subject to restrictions over the use and pooling of future S.106 monies once a CIL is adopted (or April 2014 whichever is earliest¹). Only five contributions under S.106 may be pooled to any one infrastructure project or type. S.106 agreements will however remain an important and appropriate mechanism to enable the expedient delivery of relevant on site infrastructure and affordable housing.
- 3.3 The Regulation 123 List does not form part of the DCS under Regulation 12 and there is no requirement under Regulations 15 and 16 of the CIL Regulations to publish the Regulation 123 list alongside the DCS for consultation. However, it is considered that DBC should publish the list at this stage to demonstrate that the Council has considered the mechanism for delivering infrastructure when setting the CIL charge. The publication of this list will provide an opportunity to seek feedback on our approach to delivering infrastructure and allow Officers to prepare for issues that are likely to be raised at examination.
- 3.4 Officers have therefore been set the challenging task of determining from the Infrastructure Delivery Plan (InDP) project schedule and the Infrastructure Funding Gap Assessment (IFGA) those items which will be funded by CIL and those which should or could be secured through S.106 agreement. Officers have been careful to avoid double charging developers when drafting the Regulation 123 list.
- 3.5 The draft Regulation 123 list sets out a number of exclusions (those items which will be secured through S.106) in order to provide the required clarification on how CIL may be spent and to address concerns that developers may be charged twice for the same item of infrastructure. Further clarification and certainty is provided by the removal of a CIL charge for those housing sites at west Hemel Hempstead (LA3), Icknield Way (LA5) and Spencers Park. The use of a S.106 agreement will inevitably be preferable where it would provide greater certainty over the delivery of the site specific infrastructure items for both the developer and infrastructure provider than may otherwise be provided under CIL, for example the County Council has a clear preference for the use of a S.106 agreement to deliver a new school at LA3 – Land to the west of Hemel Hempstead. The Council has a comprehensive list of infrastructure improvements associated with Strategic Sites, Local Allocations and key development sites which will be secured in this way.
- 3.6 It is important to note that CIL and S.106 may still be charged on the same site providing one is clear that the S.106 funds will not support the delivery of

¹ This date is currently subject to consultation on CIL – Further Reforms. The Government are proposing to extend this deadline to April 2015.

items on the Regulation 123 list and that appropriate monitoring of the CIL spending is undertaken. Indeed it may often be the case that CIL funds from other sites may be used to supplement S.106 projects on individual sites.

- 3.7 A draft Regulation 123 list is set out at Appendix 2 to this report. Members are asked to support the publication of this list alongside the DCS.
- 3.8 The draft Regulation 123 list has been subject to consultation with the CIL Task and Finish Group, members of the CIL Working Group and key officers at the County Council with the responsibility of delivering Children, Schools and Family services and Transport proposals.
- 3.9 Members of the CIL Task and Finish Group recognised the need to deliver site specific infrastructure through the use of S.106 agreements and the need therefore to provide two distinct lists as part of the Regulation 123 list (a CIL list with a number of exclusions under S.106) The group assisted in the construction of an early version of the list, agreeing to provide large items of infrastructure on the large housing sites in the Core Strategy through S.106, suggesting that CIL may be used to fund improvements on the hospital site and health services and excluding utilities infrastructure from CIL and S.106 funding.
- 3.10 The Borough Council is required to collaborate with the County Council on the formation of CIL policies and on the formulation of the Regulation 123 list in accordance with paragraph 48 of the DCLG CIL Guidance 2012. County Council officers have informally considered the content of the Regulation 123 list and made some adjustments to introduce thresholds for the provision of County services such as new school buildings and large items of highways infrastructure which would be easier for them to ensure timely delivery through the use of S.106 agreements.

4.0 Supporting Policies

- 4.1 Paragraphs 173-178 of the NPPF place an obligation on the Council to ensure that sufficient measures are in place to facilitate the delivery of the Core Strategy and ensure that the viability of schemes is not threatened. The Council has a number of mechanisms that can be used to assist developers with scheme viability. There was clear support during the consultation of the PDCS to the production of the following policies:

Discretionary Charitable Relief Policy

- 4.2 The scope for charitable relief from the payment of CIL may be extended only through the adoption of a Discretionary Charitable Relief policy for which formal notification must be given. Charitable organisations already benefit from a statutory exemption to paying CIL where they can clearly demonstrate they are developing their own land for charitable purposes. They would not qualify for relief were the development not explicitly for charitable purposes such as an investment by a charity from which profits may be used for charitable purposes. Cabinet has opted to offer Discretionary Charitable Relief under Regulations 44 and 45 of the CIL Regulations. This would allow charities to carry out enabling development without triggering a CIL payment. A Discretionary Charitable Relief policy has been drafted setting out to whom and how the rate will be applied. This is included at Appendix 3 to this report. Members are requested to support public consultation on this document.

- 4.3 The primary concern of the CIL Task and Finish Group was that charitable relief should not be open to abuse by developers. The policy has been drafted so that the charities that might benefit from Discretionary Charitable Relief will need to demonstrate that they provide a local service. The level of relief is set to account for the requirement to pass a proportion of CIL to the local community for infrastructure works and to limit cases where the offer of relief may raise issues regarding State Aid.

Exceptional Circumstances Relief Policy

- 4.4 Cabinet recommended the publication of a policy on Exceptional Circumstances Relief (ECR) under Regulation 56 of the CIL Regulations. The ECR policy would allow the Council to offer relief from the payment of CIL should there be exceptional development costs which would undermine the viability of a scheme. A draft ECR policy is included in Appendix 4. Members are asked to support public consultation on the ECR policy.
- 4.5 The use of an ECR policy has been limited at a national level with a number of authorities opting not to pursue its use. This has not been met favourably by the DCLG. The CIL Regulations currently make it a pre-requisite for ECR that the value of a S.106 agreement must exceed CIL before relief may be offered. However, the DCLG consultation on CIL - Further Reforms seeks to address the poor use of this policy by authorities which have already implemented CIL by proposing to alter the percentage of the CIL bill which would need to be exceeded by a S.106 agreement in order to qualify for ECR.
- 4.6 Those authorities that do offer ECR are in a minority and do not appear to provide any additional guidance on its application other than that set out within the CIL Regulations. The introduction of local criteria will need to be carefully considered and should aim to minimise the number of applications which may be deemed inappropriate. The proposed policy seeks to restrict applications for ECR to those applications with a significant scale of development or those delivering local infrastructure priorities.
- 4.7 The ECR has been drafted in consultation with the County Council. The County Council understands that the wording in this policy and the exceptions in the Regulation 123 list are designed to ensure that large items of infrastructure which may be necessary as a result of speculative developments (such as GUI) or large windfall proposals are still capable of being delivered via their preferred S.106 route without prejudicing the economic viability of proposals.

Instalments

- 4.8 Cabinet recommended that the Council facilitates the delivery of new residential and commercial developments by opting to introduce an Instalments policy for the payment of CIL. The Council is able to adopt an Instalments policy under Regulation 69B of the CIL Regulations. A draft CIL Instalments policy is included at Appendix 5 to this report. The Instalments policy does not form a formal part of the examination of the CIL Charging Schedule however it is considered an intrinsic part of the CIL “story” which will be presented to the examiner to demonstrate compliance with the requirements of the NPPF. Members are asked to support public consultation on the draft CIL Instalments policy.

- 4.9 The draft Instalments policy has been subject to consultation with members of the CIL Task and Finish Group and CIL Working Group. Members were broadly satisfied that the thresholds for instalments set out in this draft policy are appropriate and strike an appropriate balance between enabling development, administering the charge and funding the delivery of infrastructure. The basic principle within the instalments policy is that most small residential schemes should continue to pay for infrastructure at an early stage in construction in either one or two payments (payments are required prior to the commencement of development under the existing S.106 programme) with longer timescales and more complex arrangements for paying significant sums of money due from larger residential proposals.

Payments in Kind

- 4.10 Cabinet recommended the production of a Payment in Kind policy to highlight the provisions in Regulation 73 of the CIL Regulations which allow for such payments and to encourage the use of this mechanism where appropriate. The Council recognises that there are circumstances where it may be preferable to secure land for the delivery of Infrastructure (or indeed the infrastructure itself) needed to support the growth of the Borough. A draft policy has been written setting out the circumstances in which a land payment may be acceptable to the Council and is included in Appendix 6.
- 4.11 Under the terms of the draft policy, land will only be accepted where it is in an appropriate condition to enable infrastructure to be provided and will be transferred for an appropriate market value. This valuation will need to be undertaken by an independent person(s). The Council may identify suitable sites for transfer through the Site Allocations DPD or Supplementary Planning Documents. Officers have also discussed the creation of a Register of Land of Interest whereby the Council would identify land upon which they would like to deliver new infrastructure. This could encourage the transfer of land as a CIL payment.
- 4.12 Members are requested to support public consultation on the draft Payment in Kind policy.

5.0 The CIL Timetable

- 5.1 The following timescales for the project are now envisaged:
- Consideration of DCS and related CIL policies: November 2013
 - Consideration of DCS and related CIL policies: January 2014
 - Public Consultation on the DCS: January 2014 – March 2014
 - Prepare Charging Schedule for examination: February 2014 - April 2014
 - Submission to the Planning Inspectorate for examination: April 2014
 - Examination completed and Examiner's report received: June 2014
 - Final Charging Schedule considered by Cabinet and Full Council: October 2014-November 2014
 - Adopt CIL in January 2015.

6.0 Recommendations

- 6.1 The Committee is asked to note the timescales for the introduction of CIL as outlined in this report. The key dates within the timetable are set out at paragraph 5.0 of this report.
- 6.2 The Committees are also asked to note the policies at Appendices 1-6 and support carrying out public consultation upon these documents.

APPENDIX 1 – DRAFT CHARGING SCHEDULE

APPENDIX 1 – DRAFT CHARGING SCHEDULE

APPENDIX 2 – DRAFT REGULATION 123 LIST

APPENDIX 2 – DRAFT REGULATION 123 LIST

APPENDIX 2 – DRAFT REGULATION 123 LIST

APPENDIX 3 – DRAFT CHARITABLE RELIEF POLICY

APPENDIX 3 – DRAFT CHARITABLE RELIEF POLICY

APPENDIX 4 – DRAFT EXCEPTIONAL CIRCUMSTANCES POLICY

APPENDIX 4 – DRAFT EXCEPTIONAL CIRCUMSTANCES POLICY

APPENDIX 5 – DRAFT INSTALMENTS POLICY

APPENDIX 5 – DRAFT INSTALMENTS POLICY

APPENDIX 5 – DRAFT INSTALMENTS POLICY

APPENDIX 5 – DRAFT INSTALMENTS POLICY

APPENDIX 6 – DRAFT PAYMENT IN KIND POLICY

APPENDIX 6 – DRAFT PAYMENT IN KIND POLICY

AGENDA ITEM: 11

SUMMARY

Report for:	Finance and Resources Overview & Scrutiny Committee
Date of meeting:	05th November 2013
PART:	1

Title of report:	Corporate Plan
Contact:	<p>Cllr Neil Harden, Portfolio Holder for Residents & Regulatory Services</p> <p>Cllr Brian Ayling, Cabinet Support Member</p> <p>Responsible Officer: Shane Flynn – Assistant Director (Performance and Projects)</p>
Purpose of report:	To outline the corporate planning process to be introduced from Autumn 2013 and seek review of the Corporate Plan to be published in spring 2014.
Recommendations	That Members note progress and comment on the Corporate Plan and Performance Management cycle
Corporate objectives:	Corporate planning supports all five of the Council's strategic objectives by setting the overall direction for achieving the desired outcomes and in particular supports the aims of 'Dacorum Delivers'.
Implications: Value For Money Implications	<p><u>Financial:</u></p> <p>There are no direct financial implications but advanced corporate planning should improve budgeting processes, thereby helping the Council to achieve the financial targets set out in the Medium Term Financial Strategy</p> <p><u>Value for Money:</u></p> <p>Putting service planning at the start of the budgeting cycle will provide opportunities for service departments to identify alternative approaches and efficiencies that can feed into the budget setting process. This is an alternative to a process whereby budgets are set and then activities become 'business as usual'.</p>
Risk Implications	No risk assessment has been undertaken in respect of the Corporate Plan. The strategic risk register needs to be reviewed to ensure that it reflects the key risks inherent in delivering the Council's strategic objectives. This review is scheduled for later in 2013 as part of a wider review of risk management within the Council.
Equalities Implications	There are no direct equalities implications. Corporate plan targets are derived from service level plans. Therefore equalities assessments should be undertaken at service level to consider the implications of any redirection of resources

	towards revised goals.
Health And Safety Implications	There are no immediate health and safety implications arising from this report
Consultees:	The draft corporate plan was approved by Cabinet in November 2012. Extensive consultations have taken place at Assistant Director level in the development of the final version.
Background papers:	Cabinet report, 27 November 2012 – Corporate Plan 2012-15
Historical background <i>(please give a brief background to this report to enable it to be considered in the right context).</i>	In November 2012 Cabinet approved a draft Corporate Plan for 2012-15 and required a report on progress to be provided in November 2013. The final version has now been compiled, within the context of a Performance Management cycle which combines setting targets for progress in the coming year and publishing progress in an annual report alongside the account summary in the autumn.
Glossary of acronyms and any other abbreviations used in this report:	KP: Key Performance Indicators

1. Background

- 1.1. Following the adoption of five strategic objectives by the Council in October 2010, the Corporate management Team developed a summary Corporate Plan based on the key activities that would enable the Council to deliver against those strategic objectives.
- 1.2. Senior officers recognised that while this provided a road map to achievement of key aims it did not provide an overall context or strategic direction for business as usual activities as well as corporate and departmental initiatives. Therefore a draft Corporate Plan was developed which:
 - Highlighted the key aims of the Council within the context of the five strategic objectives (primarily housing development and regeneration)
 - Set out guiding principles for service delivery
 - Suggested the development of a range of Key Performance indicators (KPIs) that would be reported publicly to chart progress against key aims.
- 1.3. Cabinet approved this draft Corporate Plan subject to the indicators being developed and agreed and progress reported in November 2013.

2. Final Corporate Plan

2.1. A revised draft of the Corporate plan is attached at Appendix A. This version has two key changes from the original draft:

- KPIs have been developed and aligned with the Council's five strategic objectives
- The core programme of initiatives designed to progress the Council's aims and the overarching principles of service development have been moved to appendices.

2.2. These changes are designed to make the document more accessible to the public and key stakeholders. The intention is to publish the plan on the Council's website only and to make printed copies available on request.

2.3. Further refinements are needed before publication, including finalising the targets for 2014/15 prior to publication alongside the 2014/15 budget.

3. Performance management and the annual reporting cycle

3.1. Currently the Council publishes some performance information alongside a summary of the accounts in Dacorum Digest each autumn. The intention is to include in this annual report progress against the KPIs for the previous financial year. In autumn 2013 we will, therefore, be publishing the results for 2012/13. The published Corporate Plan will replicate these results to enable simple comparison with targets for the coming financial year.

3.2. To achieve this cycle of performance management a revised planning cycle is required. Appendix B provides a Performance management approach which has been discussed at Assistant Director level. This requires service planning to be brought forward in advance of, and parallel, with the budget setting cycle so that departments can review progress on the previous KPIs, develop initiatives and set KPIs for the coming financial year while agreeing the resources required to deliver these aims.

3.3. As this process is still under development, it has been only partially implemented in 2014/15. It is expected to be fully developed for the 2015/16 budget cycle. This will be essential if the Council is to meet its financial targets within the Medium Term Financial Strategy over the next four years

3.4. The next stage is to review the existing suite of operational performance indicators to determine how this can best be developed to support analysis of progress against the key aims. The first step is complete, which was to analyse the existing indicators into these which:

- Show progress against outcomes
- Indicate customer satisfaction
- Provide information on organisational health

3.5. Consultation with the Overview and Scrutiny committees and other information users will be needed to determine the value of the indicator set for reporting purposes. This will take place in due course.

Appendix A

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AGENDA ITEM: 12

SUMMARY

Report for:	Finance and Resources Overview & Scrutiny Committee
Date of meeting:	05th November 2013
PART:	1

Title of report:	Shared and Outsourced Services Update – Customer Service Centre and Gateway Contract (CSCG)
Contact:	<p>Cllr Neil Harden, Portfolio Holder for Residents & Regulatory Services</p> <p>Cllr Brian 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: "Value For Money 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>
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, has been developed.
Equalities Implications	Equality Impact Assessment carried out This was included in the report to Cabinet on 26 th 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"> • Cabinet report, 26 March 2013 – Customer Service Centre and Gateway Tender Exercise (Part 2) • Cabinet report, 25 June 2013 – Customer Service Centre and Gateway Contract (Part 2) • Cabinet report, 23 July 2013 – Customer Service Unit Drawdown from Reserves
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 & 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 & Resources Overview & Scrutiny Committee has continued to receive updates on progress on the contract since September 2012.</p>
Glossary of acronyms and any other abbreviations used in this report:	<p>CSCG - Customer Service Centre and Gateway CSU - Customer Service Unit ITT - Invitation to Tender CRM - Customer Relationship Management System OLA - Operating Level Agreements PMF - Performance Management Framework</p>

4. Background

- 4.1. The contract for the delivery of the Customer Service Centre and Gateway (CSCG) to Northgate Information Solutions UK Ltd (Northgate) was signed on 12 July and the service was transferred to Northgate on 5 August 2013.
- 4.2. This report provides an update on performance for the second month of the contract.

5. Financial monitoring

- 5.1. Close financial monitoring of the contract will be required to ensure that the anticipated benefits are realised by year four, and beyond. This should be straightforward in respect of the payments required under the contract as the amounts payable are stated in cash terms, as is the requisite payment date. As at 30 September all payments are up to date.
- 5.2. Detailed analysis of the efficiencies to be gained from the contract was provided in the Part 2 Cabinet report of 26 March 2013. The analysis showed that the contract delivered efficiencies against existing budgets of £1.091m over the four years of the contract. However, once upfront investments and potential redundancy costs are taken into account the estimated four-year savings total was reduced to £81k. From then onwards, it was estimated that the contract would generate savings of £668k per annum.
- 5.3. A detailed benefits realisation analysis confirms this figure but the actual benefit within four years increases slightly to £91k. This takes into account ICT and telephony costs which were not transferred during contract negotiations, some of the impact of channel shift on the back office and overheads which will be reallocated to other cost centres. The detailed benefit analysis document is available from Member Support, if required.

6. Performance monitoring

- 6.1. Performance of the contract is managed in partnership with Northgate through an Operations Board which meets monthly to consider:
 - Achievement against Key Performance Indicators (KPIs) for the preceding month and any service credits due
 - Management issues
 - Progress against the two core projects in the transformation programme: Customer Relationship Management (CRM) and channel shift
 - Risk associated with the contract and delivery of the transformation programme.
- 6.2. For the second month of the contract the results against the KPIs were as shown in Table 1. All of the KPIs were met including calls answered in less than 20 seconds, which was subject to a 'right to remedy' following failure in the previous month.

Table 1: CSCG KPIs, August 2013

KPI	September target	September result
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Agreed % of calls answered within 20 seconds	42%	56%
Acceptable % of calls abandoned	15%	7%
Agreed % of customers seen with 5 minutes	63%	65%
Longest wait time (% waiting less than 30 minutes)	95%	99%

6.3. In addition, the contact centre improved its position on the Govmetric league tables rising to 5th out of the 70 councils providing benchmark data. Performance for telephone contact feedback remains outside the top ten, however.

6.4. Other performance monitoring information is available under the terms of the contract but it is for monitoring purposes only. The data for August is shown in the table below. Data regarding staff utilisation and sickness absence has been requested for September but has not been received to date.

Table 2: Non-KPI Data, August 2013

Average wait time	2.09 minutes
Longest wait time	26.10 minutes
Standard call length	3.21 minutes
Complex call length	Not currently measured
Enquiries resolved at first point of contact	99%

6.5. No complaints were received by the CSCG. Two compliments were received.

7. Factors affecting performance

7.1. Performance monitoring systems for individual staff are now being put in place. Key factors highlighted by the second month of operations were:

- There are times in the day when the number of available advisors falls below the required number. This is due to the inflexibility of current contracts and staff attrition
- Call lengths are well above the average at around 6 min 30 sec. Northgate would expect average call lengths in the contact centre to be 5 minutes. An analysis of calls has identified issues with transferring calls to back offices. In one particular instance it took 10 minutes for an advisor to successfully transfer a call
- There is a continued lack of real time performance management information to flex service requirements during the day. This is being progressed and will assist better management of resources
- Senior managers and team leaders are now focused on performance and are actively managing peaks and troughs in customers demand.

7.2. The key service developments in September were as follows:

- Monthly OLA meetings started with group managers. The meetings introduced the joint planning calendar which will enable the contractor to

forecast the impact on Customer Services of initiatives and developments in back offices

- Daily team performance briefings (huddles) were introduced, which are designed to encourage proactivity and increase understanding of performance drivers. Team leaders taking a more proactive role in managing service levels
- First planning workshop was held with Inform360 to commence implementation planning. Now expecting implementation plan from supplier
- Initial joint customer insight meeting held between Northgate and Council lead officers
- Experian have completed first cut of Dacorum customer insight data. This is now being shared with Northgate team who will interpret the results
- Work underway on identifying customer demand reasons and mapping processes: to be used during the CRM system build and training.

7.3. The impact of these changes appears to have been positive as far as the key performance measures are concerned. A number of them are important components in the delivery of the Service Improvement Plan which is discussed below.

8. Service Improvement Plan

8.1. 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.

8.2. Progress on both of these projects depends to a high degree on technology and the compatibility and integration of systems. Work is continuing to align the CRM project plans provided by Northgate with the Council's own resource plans. Working group meetings are now taking place to co-ordinate activities and share understanding around the proposals.

8.3. The first meeting of the Customer Insight and Channel Shift Forum established the terms of reference for the group which were presented at the Committee's October meeting and are reproduced at Annex A for ease of reference. This sets out an overall roadmap for progress over the coming year. It anticipates four stages:

Data gathering

This involves combining data provided by data analysis company Experian, existing data available within the Council, publicly available data from Data.Gov.Uk and the Office for National Statistics (ONS), and socio-economic data from Turning Point – a national Health and Social Care provider that can provide social data to support interactions.

CRM development

While data gathering is being completed, insights drawn from it can be added into the CRM system. For example, the initial cut of data from Experian has highlighted the prevalence of certain social groups within the Dacorum area in comparison with similar areas. These insights enable CSCG operatives to engage proactively with customers contacting the Council to offer further types of support.

MS Dynamics and Analytics

Micro Soft Dynamics is the operating system on which the CRM system is built. Analytics refers to analysis of the data sets, including analysis of patterns of behaviour on the Council’s website. This analysis will enable the next step: determining the best means of making information available *before* customers contact the council

Insight Analysis

The data gathering and analysis undertaken above will support the development of Customer Relationship Management. However the Council is also interested in using this data to shape services according to the needs of our communities. This final phase will focus on using the value in the contract to deliver analysis to the Council as part of its Evidence-Based Decision Making approach. It will also be used to gain insights which can lead to reconfiguration of services.

8.4. The detailed project plans supporting this and related developments is provided at Annex B. This anticipates completion of this work within the first twelve months of the start of the contract (i.e. by end July 2014). Completion of this timetable will be subject to effective and timely ICT support and the development of core databases. The co-ordination groups that have been established will act as the means of steering progress on these projects to ensure that resources are drawn in at the appropriate stages.

9. Risk management

9.1. Risk registers relating to the delivery aspect of the CSCG project are reviewed monthly by the Operational Board. An ongoing log of issues is also being maintained with action points to be agreed at the Board meetings. The following issues were logged in September.

Table 3: CSCG issues and actions as at September 2013

Issue	Action taken
There are still hot-spots during the day where available staff levels fall below required levels to maintain at all times optimum performance	Where possible staff hours were adjusted to meet customer demand. Temporary staff have been appointed which will enable performance to be maintained going forward whilst transformation takes place.
Call lengths are significantly longer than expected	Issues log established and being discussed with service areas. Two service Areas reviewing handoff arrangements at present
Lack of visibility surrounding unit real time	Proposals received from Suppliers. (Braxtel, Integra & Netcall). Recommendations and supporting business case being developed.

performance	
Absence of targets and measures at individual level	Department dashboard has been established. Development of staff performance targets complete and live from October.
Not enough staff can flex between contact and/face to face; Incomplete multi skilling across contact staff limits opportunities to maximise call handling capability.	Staff are now more flexible between contact centre and face to face. Staff at Berkhamsted and Tring now take calls to support contact centre. Staff training plan still to be developed.
Lack of clarity around role of Team Leaders: focus needs to be more on driving outputs.	New role description has been developed which focuses on coaching, developing and driving outputs. This will be implemented as a part of the restructure review
Lack of clarity surrounding face to face service delivery. The `flow` through the customer area is muddled with associated impact on queuing times.	Proposals for changes to face to face service delivery under development

10. Conclusion

- 10.1.** The positive start made in August has been built on with improvements in performance levels in September leading towards the increased targets set for October. The extent to which the core projects can be achieved is becoming a more critical issue now as they require a significant commitment of Council resources.

ANNEX A

Customer Insight and Channel Shift Forum - Terms of Reference

NPS & Dacorum – Customer Insight and Channel Shift Forum

Monthly forum chaired by the CSCG Customer Insight Manager

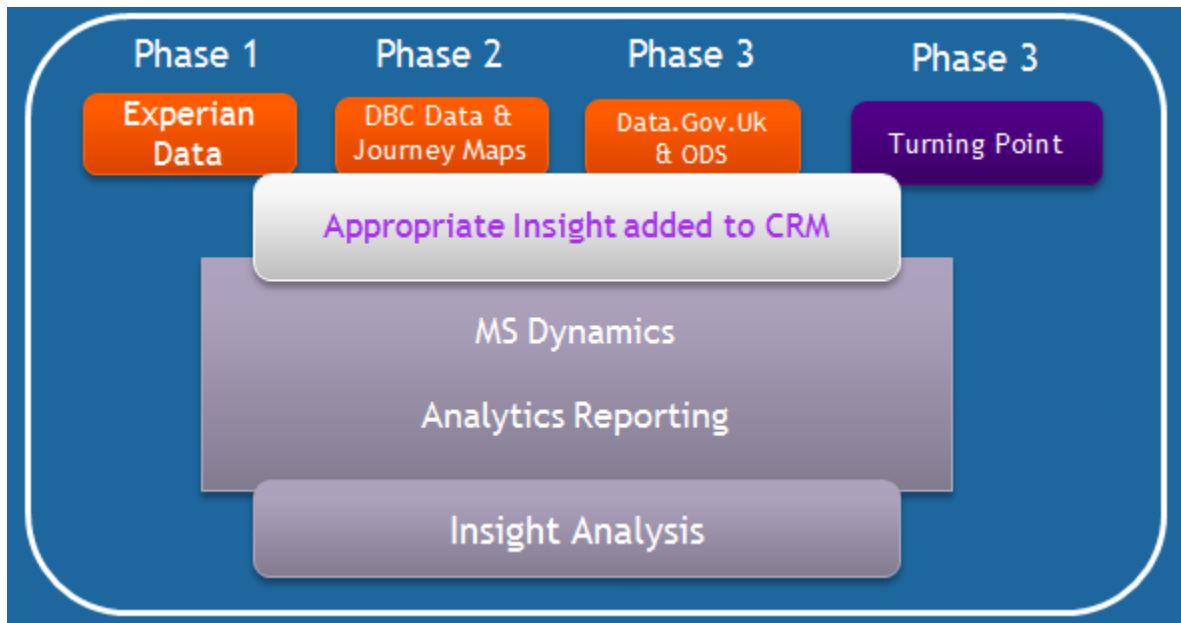


Forum Terms of Reference:

The following is proposed as the TOR for the forum:

- To monitor activity and receive a progress report on the Customer Insight and Channel Shift activities for the CSCG programme.
- To monitor and analyse customer insight data from the CSCG programme
- To identify related information sources relevant to the Customer Insight programme for the CSCG
- Agree data 'linkages' for the CSCG programme
- To agree reporting from Customer Insight
- To evaluate Channel Shift recommendations from the Channel Shift Delivery Manager
- To agree the Channel Shift recommendations for implementation
- Engage with the Dacorum Community Communications activities
- Engage with the Dacorum Customer Insight 'Evidence Based Decision Making' programme
- Enable where possible, re-use of customer insight from the CSCG programme with the Dacorum 'Well Being' programme
- Agree the programme approach (as illustrated below)
- Recommend programme changes when applicable via change control

Agreed Initial Programme Roadmap:



Regular Forum Attendees:

Dacorum BC	Northgate	Partners
Regular Forum Attendees:		
Elissa Rospigliosi (ER) Murtaza Maqbool (MM) Ben Trueman (BT)	Chris Nicholson (CN) Dale McNeil (DM) Mike Small (MS) – Acting Chair CSCG Customer Insight Manager – CIM – Strategic Chair CSCG Channel Shift Delivery Manager - CSDM Tim Osei CI Researcher (TO)	
Attendee's on request:		
Shane Flynn (SF)	Funsho Salawu (FS) Dave Dunn (DD)	Experian 3 rd Sector

Standard Forum Agenda

- Apologies Chair
- Review actions from previous meeting All

- Review activities since the last forum for:
 - Customer Insight CIM
 - Channel Shift CSDM
 - Dacorum 'Health & Wellbeing' programme ER
 - Web Services MM

- Review emerging customer insight & Recommendations CIM/All
- Review emerging channel shift recommendations CSDM

- Programme monitoring (and any required changes) Chair
- Data set Review
- Reporting Review Chair/All

- AOB All

- Agree date of next meeting and attendees All

ANNEX B

Customer Insight and Channel Shift Programmes - Milestone Roadmap

See next page

Annex B

13. 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	PM	D Gill, Group Manager – Partnerships		

		Update – Customer Service Centre & Gateway		& Citizen Insight		
5 February 2013 Joint OSC meeting	24 January 2013	Budget 2013-2014 <i>Ideally no further items to be added</i>	SC	S Marshall, Corporate Director Finance & Governance J Deane, Assistant Director , Finance & Resources		
5 March 2013	20 February 2013	Shared and Outsourced Update Report – Customer Service Centre Gateway	SC	D Gill, Group Manager – Partnerships & Citizen Insight		
4 June 2013	21 May 2013	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 Governance		The report was noted.

		Community Infrastructure Levy	PM	Chris Taylor – Group Manager – Strategic Planning & Regeneration	To consider the next steps for the introduction of CIL.	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.
2 July 2013	19 June 2013	Shared and Outsourced Update Report – Customer Service Centre Gateway	SC	J Milsom, Assistant Director Strategy & Transformation, Community & Organisation.		This meeting was cancelled.
3 September 2013	21 August 2013	Quarter 1 Risk Management Report 2013/2014	PM	Linda Dargue, Insurance & Risk Manager		That the content of the report is noted and recommended to Cabinet for approval together with any associated comments.
		Quarter 1 Performance & Operational Risk Register Reports	PM	S Baker, Assistant Director – Legal, Democratic & Regulatory Services S Flynn, Assistant Director – Project		That Members note the report. That the Committee notes

				Governance J Deane, Assistant Director, Finance & Resources		the contents of the report and the performance of the division for Quarter 1, 2013/14. That the committee notes the content of the report and the performance of Finance & Resources for Quarter 1, 2013/14.
		Quarter 1 Forecast Financial Outturn Report 2013/14	PM	Paul Sutton, Group Manager.		That the Committee note the forecast outturn position.
		Shared and Outsourced Update Report – Customer Service Centre Gateway	SC	S Flynn, Assistant Director – Project Governance		That Members note the progress and comment on the Customer Service Centre and Gateway project.
8 October 2013	24 September 2013	Shared and Outsourced Update Report – Customer Service Centre Gateway	SC	S Flynn, Assistant Director – Project Governance		Members noted the progress and comment on the Customer Service Centre and Gateway project.

		OSC Vision	SC	Jim Doyle, Group Manager – Democratic Services Michelle Anderson, Corporate Support Team Leader – Democracy		1. Members noted the report. 2. Members contributed suggestions via the appropriate Chairman as to the content of the Overview & Scrutiny vision.
5 November 2013	22 October 2013	Introduction to the Corporate Plan	PM	S Flynn, Assistant Director – Project Governance		
		Quarter 2 Performance & Operational Risk Register Reports	PM	S Baker, Assistant Director – Legal, Democratic & Regulatory Services S Flynn, Assistant Director – Project Governance J Deane, Assistant Director, Finance & Resources		
		Action Points from previous meetings	SC	All Members to discuss		
		Quarter 2 Forecast Financial Outturn Report 2013/14	PM	Paul Sutton, Group Manager		
		Quarter 2 Risk Management Report 2013/14	PM	L Dargue, Insurance & Risk Manager		

		Community Infrastructure Levy	PM	Chris Taylor - Group Manager – Strategic Planning & Regeneration		
		Shared and Outsourced Update Report – Customer Service Centre Gateway	SC	S Flynn, Assistant Director – Project Governance		
7 January 2014	17 December 2013	Shared and Outsourced Update Report – Customer Service Centre Gateway	SC	S Flynn, Assistant Director – Project Governance		
		Corporate Plan	PM	S Flynn, Assistant Director – Project Governance		
4 March 2014	20 Feb 2014	Staff Survey Update	SC	S Flynn, Assistant Director – Project Governance		
		Quarter 3 Performance & Operational Risk Register Reports.	PM	S Baker, Assistant Director – Legal, Democratic & Regulatory Services S Flynn, Assistant Director – Project Governance J Deane, Assistant Director, Finance & Resources		
		Quarter 3 Risk Management Report 2013/14	PM	L Dargue, Insurance & Risk Manager		

PM- Performance management PD- Policy Development SC- Scrutiny