



FINANCE & RESOURCES OVERVIEW AND SCRUTINY COMMITTEE AGENDA

Scrutiny making a positive difference: Member led and independent, Overview & Scrutiny Committees promote service improvements, influence policy development & hold Executive to account for the benefit of the Community of Dacorum.

WEDNESDAY 03 SEPTEMBER 2014 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.

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

(Substitute Members: Councillors Anderson, Elliot, Harris and McKay)

For further information, please contact Trudi Coston on Tel: 01442 228224, e-mail: Trudi.Coston@dacorum.gov.uk. Information about the Council is also to be found on our web-site: www.dacorum.gov.uk.

PART I

Item No.		Page
1	Minutes	2
2	Apologies for Absence	2
3	Declarations of Interest	2
4	Public Participation	2
5	Consideration of any matter referred to the committee in relation to call-in	2
6	Quarter 1 Finance & Resources Performance & Risk Report 2014/15	3
7	Quarter 1 Performance & Projects Performance & Risk Report 2014/15	15
8	Quarter 1 Legal Governance, Democratic Services and People Performance and Risk report 2014/15	34
9	Quarter 1 Risk Management Report 2014/15	53
10	Quarter 1 Budget Monitoring Report 2014/15	66
11	Shared and Outsourced Services Update – Customer Service Centre and Gateway Contract (CSCG)	81
12	Exclusion of the Public	89
	Appendix A - Work Programme for 2014/15	90

1. MINUTES

To confirm the minutes of 2 July 2014 as previously distributed; see link below:

<http://www.dacorum.gov.uk/home/council-democracy/meetings-minutes-and-agendas/events/2014/07/02/finance-and-resources-overview-and-scrutiny-committee/finance-and-resources>

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



AGENDA ITEM: 6

SUMMARY

Report for:	Finance & Resources Overview & Scrutiny Committee
Date of meeting:	3 September 2014
PART:	1
If Part II, reason:	

Title of report:	Finance & Resources Performance and Risk report Quarter 1, 2014/15
Contact:	Cllr Nicholas Tiley, Portfolio Holder for Finance & Resources James Deane, Assistant Director (Finance & Resources)
Purpose of report:	To provide Committee with analysis of quarterly performance and risk management within Finance & Resources for the quarter to 30 June 2014
Recommendations	That Committee notes the contents of the report and the performance of Finance & Resources for Quarter 1, 2014/15.
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 1 of 2014/15 (April - June).

Appendix A Performance Report

Appendix B Risk Report

1.2 Members' attention is drawn to the following risk, within Appendix B, which has had a change in rating since the Quarter 4 report in 2013/14 (an explanation is provided within the appendix itself):

FR_F03 Variances in General Fund revenue budget

F&R OSC QUARTERLY PERFORMANCE REPORT

Finance and Resources

June 2014



Measure	Owner & Updater	Jun 2013 Result	Trend	Mar 2014 Result	Trend	Jun 2014 Result	Sign Off	Comments	Flag
CP01 - Percentage of commercial property occupation	Mike Evans Adriana Livingstone	98.66% (589/597) Target: 95.00	↑	98.84% (595/602) Target: 95.00	↓	98.67% (594/602) Target: 95.00	✓	Owner With continued focus the team are sustaining very low void figures.	
FIN01 - Percentage of creditor trade invoices paid within 30 days	Richard Baker Catherine Hamilton	95.6% (5666/5926) Target: 95.0	↑	96.1% (6006/6251) Target: 95.0	↑	97.2% (6009/6182) Target: 95.0	✓		
FIN02 - Percentage of Sundry Debtors Paid	Richard Baker Clare Dempsey	81% Target: 90	↑	95% Target: 90	↓	83% Target: 90	✓		
FIN03 - General Fund expenditure – outturn forecast against budget	Richard Baker Marie Stokes	£16716000 Target: 16372000	↑	£18041000 Target: 17800000	↑	£20038000 Target: 20679000	✓	Updater The main reason for the underspend against the net service expenditure budget is the pension backfunding which was budgeted in 14/15 but paid in 2013/14. However, this is off-set by a corresponding change in the net movement on reserves and so has no impact overall on the wider financial position. At this point in the year there are pressures on the budgeted vacancy provision although this position is expected to improve as the year progresses	

Monitoring Information

Report run: 11/08/2014

F&R OSC Quarterly Performance Report - Finance and Resources June 2014

Page 1 of 3

Measure	Owner & Updater	Jun 2013 Result	Trend	Mar 2014 Result	Trend	Jun 2014 Result	Sign Off	Comments	Flag
FIN04 - HRA expenditure – outturn forecast against budget	Richard Baker Marie Stokes	£53386000 Target: 52973000	↑	£60356000 Target: 59121000	↑	£59833000 Target: 60083000	✓	Updater An underspend of £250k is currently projected for the year end. The two key variances are the provision for pension backfunding which was actually paid in 13/14 (£210k) and the over budgeting of electricity for flats management (£100k).	
FIN05 - HRA income – outturn forecast against budget	Richard Baker Marie Stokes	£53253000 Target: 53253000	↑	£53846000 Target: 54106000	↑	£56132000 Target: 56131000	✓	Updater On target.	
FIN06 - General Fund Capital Expenditure – outturn forecast against budget	Richard Baker Marie Stokes	£17094566 Target: 17094566	↑	£12935279 Target: 13940788	↓	£16657370 Target: 17806000	✓	Updater The key variance relates to the removal of the Decant budget from the capital program (£1.25m).	
FIN07 - HRA Capital Expenditure – outturn forecast against budget	Richard Baker Marie Stokes	£28180333 Target: 27180333	↑	£26782394 Target: 29038374	↑	£31881000 Target: 36050000	✓	Updater The key variances expected at this point of the year relate to the New Build scheme at London Road where delays due to technical difficulties have caused anticipated slippage of £2.8m into next year, and the Strategic Acquisitions budget, where the transfer of the Point from the General Fund is to be dealt with via the capital financing resulting in an underspend of £0.9m.	
FIN08 - Investment income – outturn forecast against budget	Richard Baker Tracy Claridge	£509400 Target: 514000	↑	£542990 Target: 514000	↑	£355000 Target: 287000	✓	Updater	
FIN11 - Investment Property Income ytd budget against ytd actual	Mike Evans Marie Stokes	£1791397 Target: 935795	↓	£3815530 Target: 3693177	↓	£1861036 Target: 1849000	✓	Owner Above target.	

Measure	Owner & Updater	Jun 2013 Result	Trend	Mar 2014 Result	Trend	Jun 2014 Result	Sign Off	Comments	Flag
FIN13 - Car Parking Income ytd budget against ytd actual	Mike Evans Marie Stokes	£491545 Target: 440803	↓	£2062362 Target: 1946910	↑	£525754 Target: 486300	✓	<p>Updater There is an overachievement year to date of 8%.</p> <p>Income to date is tracking above budget partly due to on-off items which are not expected to be on-going throughout the year including the introduction of Controlled Parking Zones.</p> <p>Overachievements for on-street PCNs and off-street P&D are expected to continue throughout the year.</p> <p>An overachievement in the region of £80k is expected at the end of the year.</p>	
RBF01 - Average time taken to decide a new claim for Housing Benefit	Chris Baker Claire Morrison	31.6 Days (22988/727) Target: 23.0	↑	20.2 Days (16214/803) Target: 23.0	↑	16.3 Days (10333/634) Target: 23.0	✓	<p>Updater A very good quarter with all 3 months well below target.</p>	
RBF02 - Average time taken to decide a change event for Housing Benefit	Chris Baker Claire Morrison	10.1 Days (61276/6065) Target: 13.0	↑	6.4 Days (78311/12164) Target: 13.0	↓	8.4 Days (67207/8029) Target: 13.0	✓	<p>Updater Change events for Quarter 1 have been very good with all three months below target.</p>	
RBF04 - NNDR (Business Rates) in-year collection rate	Chris Baker Jake Seabourne	31.4% Target: 31.2	↑	98.1% Target: 99.0	↑	28.4% Target: 24.8	✓	<p>Owner Comparison to last year is not possible due to the change from 10 to 12 instalments. Collection so far this year appears strong.</p>	
RBF05 - Council Tax collection rate	Chris Baker Jake Seabourne	30.3% Target: 30.0	↑	97.7% Target: 97.5	↑	30.4% Target: 30.0	✓	<p>Owner Collection is above target, and a small improvement on the same point last year.</p>	

OPERATIONAL RISK REGISTER

June 2014



Finance & Resources - James Deane					
FR_F02 Delays to Capital programme					
Category: Financial	Corporate Priority: Dacorum Delivers	Risk Owner: James Deane		Portfolio Holder: Cllr Nick Tiley	Tolerance: Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	2 Medium	6 Amber	4 Very Likely	2 Medium	8 Amber
Consequences		Current Controls		Assurance	
<p>Many of the major projects within the Capital Programme are fundamental to delivery of the Council's corporate objectives. Therefore significant delays can impact on the achievement of the corporate plan.</p> <p>Financial decision-making is negatively affected if the timing of projects in the Capital Programme is wrong. This can result in lost investment income or increased interest costs as the Council moves closer to the point where it will need to borrow.</p> <p>The estimated delivery date is considered as part of the decision to allocate capital funds to one project over another. If estimated timings are not accurate, there is a risk that the allocation of funds is not being decided on appropriately.</p> <p>If inaccurate project management is tolerated, there is a risk that the culture of financial management across the</p>		<p>Monthly meetings take place between accountants and budget holders to monitor progress against original timeframes and costs.</p> <p>Progress against capital schemes is included in the monthly Finance report to CMT.</p> <p>The Council has commissioned a consultancy firm, V4, to deliver a means of effective project reporting to Chief Officer Group (COG). These reports ensure that delivery and financial risks associated with key projects remain visible and subject to the scrutiny of the Council's most senior officers on a monthly basis.</p> <p>Reports go to Cabinet and all Overview and Scrutiny Committees (OSC) every quarter. These reports have been redesigned to focus on the more immediate risk of in-year delivery, highlighting higher risk areas to invite closer scrutiny from Members.</p>		<p>The 2013/14 Final Outturn showed that the slippage of capital projects was around 30% against the Original Budget approved by Members in February 2013. This is an improvement on previous years where slippage against Original Budget has been around 60%.</p>	

OPERATIONAL RISK REGISTER

June 2014



Council will be negatively affected which will have consequences for wider financial decision-making.		
Not delivering major projects within the timeframe to which it has committed itself exposes th		
Sign Off and Comments		
<p>Sign Off Complete</p> <p>There were improvements in 2013/14 compared to previous years both in terms of reduced slippage against the Original Budget and reduced slippage against the Revised Budget.</p> <p>Despite this, historical trends suggest it would be premature to downgrade the risk of slippage occurring in 2014/15.</p> <p>There will be continued focus on the management of capital projects throughout the year and budgetary performance will be kept under tight review. This is particularly important as the Council's Capital Programme demonstrates a need for borrowing in 2015/16 and there is a possibility that borrowing costs will be incurred unnecessarily if projects are subject to previous levels of slippage.</p>		

FR_F03 Variances in General Fund revenue budget					
Category:	Corporate Priority:	Risk Owner:	Portfolio Holder:	Tolerance:	
Financial	Dacorum Delivers	James Deane	Cllr Nick Tiley	Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	2 Medium	6 Amber	3 Likely	2 Medium	6 Amber
Consequences		Current Controls		Assurance	
Accurate, well-controlled budgeting relates directly to the achievement of the Dacorum Delivers corporate objective, and indirectly, through the financial decision-making process, to the achievement of all of the		The annual budget-setting process consists of an ongoing scrutiny process in which senior officers from across the Council, together with the Financial Services team, challenge the following year's budget bids from		The Council's budgetary controls are assessed each year by Internal Audit, and at the last assessment, in January 2013, received a 'Full' level of assurance.	

OPERATIONAL RISK REGISTER

June 2014



<p>Council's corporate objectives.</p> <p>Inaccurate budgeting negatively affects the Council's ability to make evidence-based decisions. A significant underspend at year-end could indicate that funds have been needlessly diverted from a competing priority. A significant overspend at year-end could result in reserves being used to support lower priority objectives. Both of these could result in reputational damage for the Council.</p> <p>Failure to address the causes of inaccurate budgeting could negatively impact the Council's culture of financial management, which in turn increases the risk of poor financial decision-making.</p>	<p>Group Managers.</p> <p>This scrutiny process is augmented by the Budget Review Group (BRG), consisting of Chief Officer Group and representatives from the Portfolio Holder group, which provides early Member-level challenge.</p> <p>There are two opportunities for OSCs to scrutinise the budget proposals and directly question the relevant officers before the budget report is finalised and considered by Cabinet and Council.</p> <p>Once approved, in-year budget performance is managed through monthly meetings between accountants and budget holders, which underpin monthly reports to CMT and quarterly reports to Cabinet and OSCs.</p> <p>The Council's Financial Regulations provide a guide to all budget-holders and are subject to annual review.</p>	
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Sign Off and Comments

Sign Off Complete

The inherent probability of this risk crystallising has been downgraded from Very Likely (4), to Likely (3).

There will inevitably be some variance from budget. However, the continued reductions in General Fund budget mean that the Council is less likely to underspend to the extent that it has in recent years.

FR_I02 Failure to optimise income generated by commercial assets

Category:	Corporate Priority:	Risk Owner:	Portfolio Holder:	Tolerance:
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OPERATIONAL RISK REGISTER

June 2014



Infrastructure	Dacorum Delivers		James Deane	Cllr Nick Tiley	Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	3 High	9 Amber	1 Very Unlikely	3 High	3 Green
Consequences		Current Controls		Assurance	
<p>The council has a significant portfolio of commercially let properties, which provides one of the council's largest sources of income.</p> <p>Council officers must attempt to maximise income from these assets whilst avoiding the risk of vacant properties and increasing bad debts, which could arise if rents are set too high, and would jeopardise the council's achievement of its corporate objectives of Regeneration and Dacorum Delivers.</p> <p>The continuing recession and the difficulties it brings for local businesses increases the likelihood of this risk crystallising.</p>		<p>Estates officers responsible for negotiating rent reviews hold monthly meetings with the Debtors team to track current bad debtors. This increases their understanding of the economic pressures businesses are facing, and how it can impact on council income.</p> <p>There are currently Corvu performance targets to maintain the number of voids (empty properties) below 5%, and to keep the rent arrears below 10%. Failure to meet either of these targets would prompt further investigation.</p>		<p>The year-end performance figures for 2013/14 demonstrate that occupation rates are above target (98.8% against a target of 95%), and that the level of arrears is also better than target (at 7.32% against a target of 9.5%).</p>	
Sign Off and Comments					
<p>Sign Off Complete</p> <p>There has been a good start to Quarter 1 of 2014/15, with Performance Indicator (PI) CP01 showing a continuing low level of voids (below 2%), and PI FIN11 showing that Investment Property Income is over budget for the quarter and up on the same point last year.</p> <p>On this basis, the residual risk rating remains at 3 for the current quarter.</p>					

OPERATIONAL RISK REGISTER

June 2014



FR_I04 Failure to maintain an effective business continuity plan for all relevant service areas					
Category: Infrastructure	Corporate Priority: Safe and Clean Environment		Risk Owner: James Deane	Portfolio Holder: Cllr Nick Tiley	Tolerance: Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	2 Unlikely	4 Severe	8 Amber
Consequences		Current Controls		Assurance	
Disruption caused by service failure leading to hardship for individuals, potential loss of business and significant reputational damage		- Annual review process. - Corporate business continuity process and procedures set out in emergency response toolkit.			
Sign Off and Comments					
Sign Off Complete The Service continues to feed in to the Corporate Business Continuity Plan.					
FR_R01 Council Tax and Business Rates collections rates drop below budget					
Category: Reputational	Corporate Priority: Dacorum Delivers		Risk Owner: James Deane	Portfolio Holder: Cllr Nick Tiley	Tolerance: Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	2 Medium	6 Amber	4 Very Likely	2 Medium	8 Amber
Consequences		Current Controls		Assurance	
Distribution of collection fund to other preceptors is based on the budgeted collection level, if collection falls short this could lead to a cashflow issue within the		Profiled monthly collection rates form part of monthly monitoring.		The full year Council Tax Collection Rate for 2013/14 (Performance Indicator RBF05) was 97.7% against a budget of 97.5%.	

18/08/2014 11:33AM

Page 5 of 7

OPERATIONAL RISK REGISTER

June 2014



<p>Council's finances. The fund distribution is balanced after the end of the financial year.</p> <p>Reputational risk if collection rate falls significantly – this could also impact on future years' council tax base leading to increased budget pressures.</p> <p>Financial risk in relation to business rate retention scheme if rates collection falls below government set baseline.</p>	<p>Reasons for variance are investigated monthly.</p> <p>Direct debit payment is recommended for all customers – a pre-filled instruction is sent to all non-DD payers with their annual bill or a first bill for a new taxpayer.</p> <p>There is an active programme for taking formal recovery action against non payers.</p>	<p>The collection rate for NNDR (Performance Indicator RBF04) was under budget at 98.1% against a target of 99%.</p>
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Sign Off and Comments

Sign Off Complete

The Risk Rating remains the same as last year, as the 2013/14 outturn position showed that NNDR collection rates were below budget.

Collection rates for both targets are above budget for the the first quarter of 2014/15.

FR_R02 Delays and errors in the processing of Benefits claims

<p>Category: Reputational</p>	<p>Corporate Priority: Dacorum Delivers</p>	<p>Risk Owner: James Deane</p>	<p>Portfolio Holder: Cllr Nick Tiley</p>	<p>Tolerance: Treating</p>	
<p>Inherent Probability</p>	<p>Inherent Impact</p>	<p>Inherent Risk Score</p>	<p>Residual Probability</p>	<p>Residual Impact</p>	<p>Residual Risk Score</p>
<p>4 Very Likely</p>	<p>3 High</p>	<p>12 Red</p>	<p>2 Unlikely</p>	<p>2 Medium</p>	<p>4 Green</p>
<p>Consequences</p>		<p>Current Controls</p>		<p>Assurance</p>	
<p>This risk links to the corporate objective Dacorum Delivers, focussing on an efficient and effective council. Customers could suffer personal hardship resulting from</p>		<p>Quality checking and individual performance management is in place. These mean that each officer has targets for their personal productivity and accuracy, and information from quality checks is fed back in order</p>		<p>The successful and continuously improving management of this risk can be seen in the improved performance of KPI RBF01a - Average Time Taken to Decide a New Benefit Claim.</p>	

18/08/2014 11:33AM

Page 6 of 7

OPERATIONAL RISK REGISTER

June 2014



<p>delays or errors in the processing of claims.</p> <p>Significant reputational risk associated with high-profile errors.</p> <p>Staff time spent on addressing unnecessary errors leads to duplication of effort and is an inefficient use of resources.</p> <p>Government subsidy for housing benefit expenditure is based on external audit certification of the claim made. There is financial risk if errors on cases are identified during their testing.</p> <p>Communications with claimants needs to be well written and jargon-free in order to reduce the risk of repeat queries which puts pressure on limited staff resources.</p>	<p>to sustain improvement.</p> <p>Average time taken for processing new claims and changes in circumstances forms part of monthly monitoring.</p> <p>Processes are in place to expedite cases where the customer is vulnerable or facing eviction. These processes start when a case is identified within benefits, or by customer services, homelessness, housing etc.</p> <p>Monthly meetings are held between senior officers within Finance & Resources to monitor detailed performance levels at each stage of the claims process.</p> <p>This enables intermediary targets to be set for discrete elements of the process, which in turn enables the more effective monitoring which has resulted in significantly improved performance over the last 6 months.</p>	<p>Performance for the full year 13/14 was 27.4 days, which was an improvement of over 5 days against the 12/13 result of 32.8 days.</p> <p>Performance for the final quarter of 13/14 was 20.2 days, which is below the target of 23 days.</p>
<p>Sign Off and Comments</p>		
<p>Sign Off Complete</p> <p>The Risk Rating remains the same as the previous quarter as last year's good performance was continued into quarter 1 of 2014/15. This is demonstrated in PI RBF01, which was 16.3 days against a target of 23.</p>		



AGENDA ITEM: 7

SUMMARY

Report for:	Finance and Resources Overview & Scrutiny Committee
Date of meeting:	3 September 2014
PART:	1
If Part II, reason:	

Title of report:	Performance and Risk report Quarter 1 2014/15 – Performance and Projects
Contact:	Neil Harden, Portfolio Holder for Residents and Regulatory Services Author/Responsible Officer: Shane Flynn, Assistant Director (Performance and Projects) Ben Trueman, Group Manager (Information, Communication & Technology)
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 June 2014.
Recommendations	That the Committee notes the contents of the report and the performance of the division for Quarter 1, 2014/15.
Corporate objectives:	Effective performance and project managements supports the delivery of all five of the Council's objectives with particular focus on <i>Dacorum Delivers</i> .
Implications:	<u>Financial</u> None.

<p>'Value For Money Implications'</p>	<p><u>Value for Money</u></p> <p>Effective performance and project management supports the achievement of value for money in the pursuit of the Council's objectives.</p>
<p>Risk Implications</p>	<p>Risk Assessment reviewed June 2014</p>
<p>Equalities Implications</p>	<p>Equality Impact Assessment last reviewed on 30 September 2013. There are no direct equalities implications arising from this report.</p>
<p>Health And Safety Implications</p>	<p>There are no direct health and safety implications arising from this report</p>
<p>Consultees:</p>	<p>None</p>
<p>Background papers:</p>	<p>Attached:</p> <ol style="list-style-type: none"> 1. Quarter 1 performance report 2. Quarter 1 operational risk report
<p>Historical background <i>(please give a brief background to this report to enable it to be considered in the right context).</i></p>	<p>This is a regular report to the committee detailing the work of the division and its performance over the past quarter and highlighting plans for the forthcoming period based on a review of operational risks.</p> <p>On 1 July 2013 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>CMT: Corporate Management Team</p> <p>CIMS: Complaints Information Management System</p> <p>CSCG: Customer Service Centre and Gateway</p> <p>EDRMS: Electronic Document and Records Management</p>

	<p>System</p> <p>MFD: Multi-Functional Devices (copier/scanner/printers)</p> <p>PSN: Public Service Network</p> <p>PSQ: Public Service Quarter</p>
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1 Introduction

- 1.1 Performance reports are produced quarterly from the Council’s performance management system, CorVu. The service performance report for quarter 1 (January-March 2014), is provided at Appendix A and summarised below.
- 1.2 Detailed reviews of the risk registers relating to the service area were undertaken during quarter 4. Commentary on changes to risk levels is provided below. The operational risk register is attached at Appendix B. The register and detailed performance reports are available on the CorVu Portal, on the Council’s Intranet.

2 Performance indicators

- 2.1 Performance indicators relating to the Performance and Projects division are shown in Appendix A. The list includes the first set of indicators designed to monitor the performance of the division and there is, therefore, limited trend analysis. These indicators and performance during the first quarter are considered in the relevant sections of the report.
- 2.2 General indicators covering complaints handled by the division and sickness absence are reported separately. There were no concerns relating to these indicators in quarter 1 so they have not been included in the appendix.

3 Service reports

- 3.1 During quarter 1 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 4 of 2013/14 and developments against service plans.

4 Performance, Projects and Dacorum Anywhere

- 4.1 The Council is set to undergo major internal physical and cultural changes in 2014/15 because of the preparation for the move to the Public Service Quarter, schedule for 2016/17. This provides a huge opportunity to review a wide range of functions. Part of the responsibility of the division is to support this process and this is being managed through a range of projects under the Dacorum Anywhere banner. The need to control this is captured by risks PP_R02, PP_R03 and PP_R05:

PP_R02 Failure to develop a range of initiatives to contribute to the Council’s improvement and efficiencies agenda (no change)

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

PP_R05 Lack of ‘buy-in’ from services in terms of the culture changes needed to deliver innovative ways of working(no change)

- 4.2 These risks were reduced in quarter 4, 2013/14, because of the increased understanding at service level of the need for change and the significant progress made on related initiatives projects such as Electronic Document and Records Management (EDRMS), paper clearance, flexible working and the ‘Moving On’ programme.
- 4.3 Meanwhile, as significant progress has been made on the Dacorum Anywhere project the need for additional resources to support the transition was also reduced and the related risk score was reduced in quarter 4, 2013/14, accordingly:

PP_R08 Lack of Capital or Revenue funding (no change).

- 4.4 In order to measure progress on the transition towards flexible, modern working practices, and to ensure that the Council obtains value from its investment, four new indicators have been introduced for 2014/15, covering two issues:

Council-wide productivity:

PIT01a - Percentage of staff productivity PI's improved or unchanged since last quarter (63.3% compared to a target of 55%)

PIT01b - Percentage of staff productivity PI's improved or unchanged since same quarter previous year (57.28% compared to a target of 55%)

Progress on desk/staff ratio:

PIT02a - Desk provision – number of desks reduced (419 desks currently in use)

PIT02b - Desk provision – staff/desk ratio (93%)

Council-wide productivity

- 4.5 The Dacorum Anywhere set of initiatives are designed to enable smarter, more efficient ways of working and to improve services to the public through improved processing times, more instant and direct communications and extended hours of operation (through access to data presented 24 hours a day on the Council's website, for example).
- 4.6 In order to measure the impact of these developments all of the ‘productivity’ measures that are currently in use are collated and compared with the previous quarter and the previous year. As these use existing indicators, comparative trend data is available. The targets have been set reasonably low (55%) as this is the first year that the measure has been used and some assessment is required to provide a reasonable baseline for comparison.
- 4.7 Each of the ‘productivity’ measures focus on matters relating to performance delivery, such as speed of processing (number of applications processed within 20 days etc). The indicator therefore reflects the added value to customers and some of the benefit to the council of the Dacorum Anywhere approach.
- 4.8 The target will be tracked during the year to assess progress and also to identify areas where productivity is not showing improvement. This will highlight areas where more targeted support by the Performance and Projects Division can be provided alongside increased management energy to address performance issues.

Progress on desk/staff ratio

- 4.9 The new Public Service Quarter (PSQ) is due to open in 2016/17. Performance and Projects officers have been actively supporting the project during this quarter and will continue to do so. One of the features of the new building is that it will be smaller than the Civic Centre in terms of office space for the Council's staff. The target is a ratio of 70 desks per 100 members of staff (a 70% ratio).
- 4.10 To help prepare for this transition, staff currently working within Unit B will be transferred to the Civic Centre. A separate project is in place to support this, known as the Office Consolidation project. A report to CMT on 1 April 2014 set out a range of initiatives that are required to support this Consolidation and subsequent transitions. This includes commitments to:
- implement a clear desk policy within the Civic Centre by September 2014 and Council wide by April 2015
 - implement a protocol for desk sharing by September 2014
 - agree appropriate alternative ways of working for all staff.
- 4.11 In order to assess progress, the division is now tracking total desk numbers and the ratio of desks to staff, which currently stands at 98%. This indicator is expected to remain relatively static until significant change events take place, such as the office consolidation move scheduled for September. As with the productivity measure, analysis of the underlying detail, enables officers to identify those areas where flexible working, to support the transition to the PSQ, is releasing office space and where further work needs to be done to support managers to make this happen.

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.
- 5.2 The new corporate support structure was implemented in full from October 2013 when the new Chief Executive formally took up the post. The new structure was reported to the Committee in October and its operation was assessed in quarter 4 following the resignation of one member of the team. Positive feedback from Corporate Directors and Assistant Directors has been received regarding the new arrangements, although resources have been stretched by increased demand for meetings to be minuted.
- 5.3 To address the latter point, the Corporate Support team began a review of meeting management during the quarter. The results of the review have not yet been finalised. Consequently the related risk remains on the register:
- PP_R10 Insufficient capacity to support increasing number of formal meetings (no change)
- 5.4 A number of developments are underway which are part of the division's expanded role in supporting the PSQ transition. These include proposals for:
- a central e-document file system so that all staff who are not part of a formal EDRM team structure can receive electronic documents
 - routing all printing to a central point, thereby reducing reliance on the Ricoh Multi-Functional Devices (MFDs)

- improving the complaints system and expanding it to automate responses for Ombudsman and MP queries.
- 5.5 The central e-document filing system has been set up and officers across the Council have been trained on its use during quarter 1. This will increase the capacity of officers to work from alternative locations, as post will be delivered to them directly, rather than being held in paper form in the office until it can be picked up.
- 5.6 In addition, Corporate Support has taken on responsibility for the delivery of all EDRMS training where this has not been provided by the system suppliers Northgate and is undertaking paper clearance reviews with all services in support of flexible working.
- 5.7 E-postroom and e-printing are works in progress. Capital resources are available to support these and the relevant equipment has been purchased. Software solutions are now to be implemented so that these activities can be set up in good time. However, as the decant proposal has lapsed there is more time to ensure that the procedures are tested thoroughly before they are put in place. The relevant risk is therefore to be changed:

PP_R09 Suitable electronic systems for incoming and outgoing post are not established in time for decant (new wording required)

- 5.8 A specification for revising the complaints system has been drafted but there are proposals to simplify complaints systems at a national level, incorporating a two stage process, rather than a three-stage process as at present. The potential impact of this is being evaluated.
- 5.9 Meanwhile, in order to improve reporting of complaints and to strengthen complaints management further, corporate-wide complaints are now reported through this division so that the Council can track trends over time and develop insights into underlying data (CS01 and CS02). In addition a performance measure has been added relating to the speed of initial processing of complaints:

CS03 - Percentage of CIMS cases (including complaints) assigned within 1 working day (87.8% against a target of 100%)

- 5.10 An ambitious 100% target was set for this to challenge the team to achieve a strong performance during this first year. The target will be revised once a full year's worth of data is available which allows for capacity, technical issues and other factors.

- 5.11 A further baselining measure has been introduced in 14/15, although no target has been set:

CS04 - Value of cash payments received and handled by Central Admin (£23,728.11)

- 5.12 The Council's policy is that cash is not taken as a matter of course at Council buildings. However circumstances arise where cash payments are offered either in person or through the post and these are handled by the Central Admin team in secure conditions. With the transfer of CSU staff to Northgate, new measures are needed to reduce the amount of cash presented at the front desk and this baseline indicator has been introduced accordingly.

6 Information, Communication and Technology

- 6.1 During this quarter the ICT division has worked hard to renew its PSN compliance certificate from the Cabinet Office which was due in July 2014. At the date of this report, PSN compliance has been achieved. This is a tremendous achievement given the number of non-

compliance issues that existed when the new Group Manager for ICT came into post in July 2013 and the wide range of other pressing technology issues that had to be dealt with during the intervening period.

- 6.2 PSN compliance has had a significant impact on the team's ability to support other activities. However, a consistent reporting process, greater stability in the service desk and a clearer alignment of staff to activities means that projects have continued to progress, particularly in relation to Dacorum anywhere. The Group Manager has appointed a new Team Leader, a Project Manager and Business Analyst and an Infrastructure Engineer. Consequently the risk of under-resourcing in relation to technology developments was reduced in the last quarter and can now be considered for deletion from the register:

PP_R04 Lack of capacity and financial resources to transform services through ICT (no change)

PP_R07 Other projects need heavy ICT resource (no change)

- 6.3 The ICT strategy was approved by Cabinet in January and adopted by the Council in February. This provides a framework for future technology development within the council and establishes eight key principles that are designed to:

- ensure that the ICT services effectively enable and support the Council's broader strategic vision
- ensure that ICT services are provided in line with Council's business needs and to meet the reasonable expectations of end-users
- maximise benefits from the deployment of ICT staff and from the ICT assets, including future investments
- provide a strong governance framework and sound communications between the ICT Section and users.

- 6.4 The first stage of the deployment of the strategy will be a review of systems across the Council to assess fitness for purpose and identify areas of development. A workplan has been drafted for implementing the strategy alongside draft service level agreements to strengthen support for service departments. Progress on these will reported to the committee for consideration in due course

- 6.5 Four new performance measures were introduced for ICT in this quarter

ICT01 - Percentage of incidents resolved in less than 2 days (88.43% against a target of 80%)

ICT02 - Availability of primary systems (office hours) (99.8% against a target of 99%)

ICT03 - Percentage of New Starter Requests processed in 5 working days from notification (95% against a target of 95%)

WEB01 - Percentage website availability (99.8% against a target of 99%)

- 6.6 As each of these is a new measure, targets will be revised once a full year's data has been assessed to produce a baseline for comparison.

- 6.7 ICT02 performance is likely to be affected in quarter 2 by a power outage resulting from a cable breached by a contractor working in the Watford area. This affected a wide range of

individuals and organisations in the area including the Civic Centre. The cable was repaired by the service company in just over 24 hours. Meanwhile, services were largely maintained by the capacity of officers to work remotely from the Civic Centre using the Dacorum Anywhere facility. At its peak, around 250 officers were working remotely during the power outage.

- 6.8 Analysis of the reasons for the outage and further steps to reduce the risk of such problem occurring in future will be provided to the committee in the quarter 2 report, once the analysis is complete.

QUARTERLY PERFORMANCE

Performance and Projects

June 2014

All Measures



Measure	Owner & Updater	Jun 2013 Result	Trend	Mar 2014 Result	Trend	Jun 2014 Result	Sign Off	Comments	Flag
CS01a - Total stage 1 complaints received for the Council	Shane Flynn Cassie O'Neil	116 Complaints Info Only	↗	240 Complaints Info Only	↘	209 Complaints Info Only	✓	Updater Additional data capture measures being implemented to identify complaint patterns/trends to establish any service issues impacting the increase against 2013 figures (taking into account the spike in complaints during the change over of CSU and telephony system)	
CS01b - Total stage 2 complaints received for the Council	Shane Flynn Cassie O'Neil	17 Complaints Info Only	↗	18 Complaints Info Only	↗	20 Complaints Info Only	✓	Updater No cause for concern Owner However, the trend is upward. Will need to keep this in view for next quarter.	
CS01c - Total stage 3 complaints received for the Council	Shane Flynn Cassie O'Neil	7 Complaints Info Only	↘	8 Complaints Info Only	↘	1 Complaints Info Only	✓	Updater No concerns	
CS02a - Percentage stage 1 complaints resolved in 20 days for the Council	Shane Flynn Cassie O'Neil	91.24% (125/137) Target: 80.00	↗	91.76% (156/170) Target: 80.00	↗	93.75% (225/240) Target: 80.00	✓	Owner Target met overall for the quarter	
CS02b - Percentage stage 2 complaints resolved in 20 days for the Council	Shane Flynn Cassie O'Neil	93.75% (15/16) Target: 80.00	↗	66.67% (10/15) Target: 80.00	↗	94.44% (17/18) Target: 80.00	✓	Owner Satisfactory	
CS02c - Percentage stage 3 complaints resolved in 20 days for the Council	Shane Flynn Cassie O'Neil	66.67% (6/9) Target: 80.00	↗	40.00% (2/5) Target: 80.00	↗	100.00% (5/5) Target: 80.00	✓	Owner Target exceeded this quarter	

Monitoring
 Information

Report run: 20/08/2014

Quarterly Performance - Performance and Projects June 2014

Page 1 of 3

Measure	Owner & Updater	Jun 2013 Result	Trend	Mar 2014 Result	Trend	Jun 2014 Result	Sign Off	Comments	Flag
CS03 - Percentage of CIMS cases (including complaints) assigned within 1 working day	Shane Flynn Cassie O'Neil	73.70% (213/289) Target: 100.00	↑	78.15% (415/531) Target: 100.00	↑	87.80% (468/533) Target: 100.00	✓	Updater Newly implemented indicator, improvement in performance following review of processes. Target to be reviewed Owner Trend shows improving position over time. Target will be reviewed following baselining exercise.	
CS04 - Value of cash payments received and handled by Central Admin	Shane Flynn Cassie O'Neil	No Data Info Only		No Data Info Only		£23728.11 Info Only	✓	Updater Baseline data to inform future work (Qtr 3) in reducing value of cash handled and exploring alternate methods of income receipt Owner More detailed analysis of the reasons for cash receipts to follow baselining period.	
ICT01 - Percentage of incidents resolved in less than 2 days	Ben Trueman Kashif Ghafoor	No Data No Target		No Data No Target		88.43% (1017/1150) Target: 80.00	✓	Updater	
ICT02 - Availability of primary systems (office hours)	Ben Trueman Kashif Ghafoor	No Data No Target		No Data No Target		99.80% Target: 99.00	✓	Updater	
ICT03 - Percentage of New Starter Requests processed in 5 working days from notification	Ben Trueman Kashif Ghafoor	No Data Target: 0		No Data Target: 0		95.00% (19/20) Target: 95.00	✓	Updater Figures only available for June	
PIT01a - Percentage of staff productivity PI's improved or unchanged since last quarter	Shane Flynn Heather Price	No Data Target: 0		No Data Target: 0		63.33% (76/120) Target: 55.00	✓	Updater This is a new PI, and is based on a number of productivity PI's across the council. The PI is collected to monitor productivity following the introduction of flexible and remote working. Data is also collected at GM level.	

Measure	Owner & Updater	Jun 2013 Result	Trend	Mar 2014 Result	Trend	Jun 2014 Result	Sign Off	Comments	Flag
PIT01b - Percentage of staff productivity PI's improved or unchanged since same quarter previous year	Shane Flynn Heather Price	No Data Target: 0		No Data Target: 0		57.28% (59/103) Target: 55.00	✓	Updater This is a new PI, and is based on a number of productivity PI's across the council. The PI is collected to monitor productivity following the introduction of flexible and remote working. Data is also collected at GM level.	
PIT02a - Desk provision - number of desks reduced	Shane Flynn Natasha Heron	No Data Info Only		No Data Info Only		419 Desks Info Only	✓	Owner This indicator shows the number of desks in use (not the number of desks reduced)	
PIT02b - Desk provision – staff/desk ratio	Shane Flynn Natasha Heron	No Data Info Only		No Data Info Only		93% (419/452) Info Only	✓	Owner This is a baseline measure. Comparison will begin from quarter 2.	
WEB01 - Percentage website availability	Ben Trueman Murtaza Maqbool	No Data No Target		No Data No Target		99.89% Target: 99.00	✓		

OPERATIONAL RISK REGISTER

June 2014



Performance and Projects - Shane Flynn					
PP_R01 Lack of capacity to bring together all of the strands of the information required					
Category: Reputational	Corporate Priority: Dacorum Delivers		Risk Owner: Shane Flynn	Portfolio Holder: Cllr Neil Harden	Tolerance: Tolerating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	2 Medium	6 Amber	2 Unlikely	2 Medium	4 Green
Consequences		Current Controls		Assurance	
Library not established and Council services do not have access to information to plan and monitor services. Members do not have sound information about citizens and the community to base decisions upon.		<ul style="list-style-type: none"> - Customer Insight post established to lead process. Key information systems already in place. - Monthly strategy meetings to monitor achievements and progress. - Evidence Based Decision Making project established. - Citizen Insight function incorporated into CSCG contract with Northgate. - Customer Focus project established, which will gather data on customer needs 		<ul style="list-style-type: none"> - EBDM PID - TOR of Customer Insight joint working group - Project documentation and TOR for Customer Focus group 	
Sign Off and Comments					
Sign Off Complete No change					

OPERATIONAL RISK REGISTER

June 2014



PP_R02 Failure to develop a range of initiatives to contribute to the Council's improvement and efficiencies agenda					
Category: Reputational	Corporate Priority: Dacorum Delivers		Risk Owner: Shane Flynn	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	3 Likely	3 High	9 Amber
Consequences		Current Controls		Assurance	
Books do not balance and services are at risk. Negative impact on Council Reputation.		- CMT support Dacorum Delivers improvement Programme - including corporate governance and 2 way communications mechanisms. - Programme and project management methodology in place to support continuous improvement. Performance Management cycle implemented to support Corporate Plan and Medium Term Financial Strategy.		- Project methodology guidance document. - Performance Management approach document. - Corporate Plan. - MTFS.	
Sign Off and Comments					
Sign Off Complete					
No change. The Budget Review Group began meeting in June and will gather options for efficiencies during the pre-budget setting and MTFS development.					

PP_R03 Services do not understand or support the need to innovate and improve.					
Category: Reputational	Corporate Priority: Dacorum Delivers		Risk Owner: Shane Flynn	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	2 Unlikely	3 High	6 Amber

18/08/2014 05:43PM

Page 2 of 8

OPERATIONAL RISK REGISTER

June 2014



Consequences		Current Controls		Assurance	
Initiatives are designed, but full implementation is not achieved.		- CMT support Dacorum Delivers improvement Programme - including corporate governance and 2 way communication mechanisms.		- Performance and Improvement Team service plan 2014/15	
Sign Off and Comments					
Sign Off Complete					
No change. Group Managers have been invited to express interest in taking on project lead roles for the Dacorum Anywhere programme so as to increase involvement in corporate change.					
PP_R04 Lack of capacity and financial resources to transform services through ICT					
Category: Reputational		Corporate Priority: Dacorum Delivers		Risk Owner: Shane Flynn	
				Portfolio Holder: Cllr Neil Harden	
				Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	2 Unlikely	2 Medium	4 Green
Consequences		Current Controls		Assurance	
Low levels of customer channel access shift. Lack of realisation of savings from channel shift. Customers are not able to access services in the way they wish.		- ICT Strategy and Improvement Plan. - Fully resourced ICT staffing structure (pending appointment of designated Team Leader). - Web architecture within ICT governance. - Web Content Editor in place to support channel shift. - Channel shift project included in CSCG contract and driven by financial incentives for contractor. - Dedicated project support- agreed for specific projects. - Technical project Manager in place		- ICT Strategy - Cabinet 21/01/14. - ICT staff structure. - TOR for joint Customer Insight working group. - Web and customer access strategy 2nd Edition (Cabinet May 2014).	
Sign Off and Comments					

OPERATIONAL RISK REGISTER

June 2014



Sign Off Complete Team Leader appointed, ICT project manager appointed and additional infrastructure resource recruited.					
PP_R05 Lack of 'buy-in' from services in terms of the culture changes needed to deliver innovative ways of working					
Category: Reputational	Corporate Priority: Dacorum Delivers		Risk Owner: Shane Flynn	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
2 Unlikely	4 Severe	8 Amber	2 Unlikely	2 Medium	4 Green
Consequences		Current Controls		Assurance	
Progress halted and opportunities for savings and modernisation lost. Council reputation lowers and is seen as 'old-fashioned'.		<ul style="list-style-type: none"> - Dacorum Delivers - internal improvements programme - t-3 programme working with a range of staff across the organisation in an 'activist' role to positively influence culture change. - Organisational Transformation Working Group acts as co-ordinating body to drive change - Dacorum Anywhere introducing new ways of working during roll out 		- Minutes of OT-CWG meetings	
Sign Off and Comments					
Sign Off Complete No change. See response to PP_R03.					

OPERATIONAL RISK REGISTER

June 2014



PP_R06 Lack of Resources					
Category: Reputational	Corporate Priority: Dacorum Delivers		Risk Owner: Shane Flynn	Portfolio Holder: Cllr Neil Harden	Tolerance: Tolerating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	2 Medium	6 Amber	2 Unlikely	2 Medium	4 Green
Consequences		Current Controls		Assurance	
The continuous improvement programme will miss timescales and will slip		<ul style="list-style-type: none"> - Programme Plan with resources linked - Regular cycle of reporting to Performance Board - Regular reconciliation of resources required to resources provided in project reports - Project Management methodology and gateway process in place 		<ul style="list-style-type: none"> - Monthly project reports available on Corvu. - Project Management methodology document 	
Sign Off and Comments					
Sign Off Complete					
No change. Additional project management resources are developing in ICT and across projects by involvement of Group Managers.					

PP_R07 Other projects need heavy ICT resource					
Category: Reputational	Corporate Priority: Dacorum Delivers		Risk Owner: Shane Flynn	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
4 Very Likely	3 High	12 Red	1 Very Unlikely	2 Medium	2 Green
Consequences		Current Controls		Assurance	

OPERATIONAL RISK REGISTER

June 2014



The continuous improvement programme will be forced to slip or be put on hold	<ul style="list-style-type: none"> - Project Plan with resources linked - High level plan of the Council's critical projects with resources - Dedicated GM, supportive staff structure and ICT project management resources in place. - weekly ICT project updates 	<ul style="list-style-type: none"> - ICT staff structure chart - ICT Strategy (draft) - Project monitoring and control document (updated weekly)
Sign Off and Comments		
Sign Off Complete		
No change. The ICT strategy has been supplemented by draft work programmes as per the ICT service plan which will ensure delivery of core projects and develop a blueprint and change map for future ICT architecture.		

PP_R08 Lack of Capital or Revenue funding

Category: Reputational	Corporate Priority: Dacorum Delivers		Risk Owner: Shane Flynn	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	2 Unlikely	2 Medium	4 Green
Consequences		Current Controls		Assurance	
Unable to deliver significant parts of the transformation programme.		The earmarked Management of Change Reserve and Technology Reserve are available to absorb revenue pressures if required. The Capital programme includes ongoing resources for maintaining the ICT asset base over a five year rolling programme.			
Sign Off and Comments					
Sign Off Complete					

OPERATIONAL RISK REGISTER

June 2014



No change

PP_R09 Suitable electronic systems for incoming and outgoing post are not established in time for decant

Category: Financial	Corporate Priority: Dacorum Delivers	Risk Owner: Shane Flynn	Portfolio Holder: Cllr Neil Harden	Tolerance: Terminating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	2 Medium	6 Amber	3 Likely	1 Low	3 Green
Consequences		Current Controls		Assurance	
Paper based systems are retained, reducing the capacity for flexible working. Change to new ways of working not achieved. Loss of information due to multiple systems in operation and increased use of mail posting to home addresses		<ul style="list-style-type: none"> - Pilot work for incoming post completed as feasibility study - EDRMS system in place and being rolled out to all departments - Repographics equipment in place but integration software needed for outgoing post 		- Report to CMT 1 October 2013.	
Sign Off and Comments					
Sign Off Complete					
Risk to be changed to completion of work in time for PSQ as decant is no longer happening.					

PP_R10 Insufficient capacity to support increasing number of formal meetings

Category: Infrastructure	Corporate Priority: Dacorum Delivers	Risk Owner: Shane Flynn	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score

OPERATIONAL RISK REGISTER

June 2014



3 Likely	2 Medium	6 Amber	2 Unlikely	2 Medium	4 Green
Consequences		Current Controls		Assurance	
Meetings are not adequately minuted so that all decisions are recorded appropriately. Reduced support to service departments from Business Support Officers, leading to inefficiencies in business activity		<ul style="list-style-type: none"> - Full staffing complement under new structure in pooled arrangement - Voice recording facility in Mittel software 			
Sign Off and Comments					
Sign Off Complete					
No change. Comprehensive audit of meetings supported by Corporate Support underway to achieve improved scheduling based on defined priorities.					



AGENDA ITEM: 8

SUMMARY

Report for:	Finance and Resources Overview & Scrutiny Committee
Date of meeting:	3 September 2014
PART:	1
Title of report:	Performance Report Quarter 1 – 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)</p> <p>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)</p> <p>Jim Doyle, Group Manager (Democratic Services)</p> <p>Matt Rawdon, Group Manager (People)</p>
Purpose of report:	To provide Members with the performance report for quarter 1 in relation 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> None.
'Value For Money Implications'	<u>Value for Money</u> Monitoring Performance supports the Council in achieving Value for Money for its citizens.

Risk Implications	Risk Assessment completed for each service area as part of service planning and reviewed quarterly.
Equalities Implications	Equality Impact Assessment completed for each service area as part of service planning and reviewed quarterly.
Health And Safety Implications	None
Consultees:	Cllr Neil Harden, Portfolio Holder for Residents and Regulatory Services
Background papers:	Annex 1 : Quarter 1 Performance Report Annex 2: Updated Operational Risk Register

- 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 quarter 1 of 2014/15. The performance data does not reveal any major areas of concern which need to be particularly drawn to Members' attention. Set out below is some supplementary information about performance and activities of the services during quarter 1 which may be of interest to the Members of the Committee.

PEOPLE GROUP

- This report includes the performance information relating to those services which make up the People Group i.e. Human Resources, Organisation Development & Training, Communications & Consultation and Community Partnerships.

HUMAN RESOURCES (HR)

Corporate projects & HR transactional work

- HR continues to be heavily involved in many of the Council's critical projects, in particular; the Office Consolidation Project and the Electronic Document Management System (EDRMS). The team has supported 18 employee relation cases, processed 16 new starters and 27 leavers.

Mental Health First Aid Programme

- The Council now has a trained community of 30 mental health first aiders. The first session of mental health awareness training is due to be delivered on 3 September to the members of Corporate Management Team and Group Managers.

Policy Development

- All Council employment policies have been reviewed to update them in light of employment law changes and amendments to job titles.

COMMUNICATIONS & CONSULTATION

Corporate projects – Communications Support

6. The Communications Team is supporting the 'Hemel Evolution, Dacorum - Look No Further' project and the new 'Recycle for Dacorum' waste collection service which comes into effect on 24 November 2014.

Press Enquires and Press Releases

7. The team responded to 79 press enquiries and submitted 26 press releases

Website

8. Work to improve the navigation and transactional elements of the website continues. The vacancy for the web content communications officer has been filled and the new post holder will start this month. The purpose of the role is to work with the Council's services to improve the data and web structure to increase the functionality of the Council's website. This is a critical role considering the customer experience, channel shift, and digital inclusion aims.

COMMUNITY PARTNERSHIPS

Get Set, Go Dacorum

9. The Council's application to Sport England for the Community Sports Activation Fund was successful and the Council was awarded the full £250,000. This will release £45,000 from Dacorum Borough Council, £17,500 from Sportspace and a further £77,250 of in-kind support from local Voluntary Sector organisations.
10. The three year project is now called Get Set, Go Dacorum and commences on 22 September 2014. The project will aim to use sport and physical activity as a mechanism for dealing with some of the social problems that are experienced in some wards in the Borough and will involve working in partnership with over 20 partner organisations.
11. A launch date has been set for 20 September in Randalls Park, Highfield and preparations are underway with the partners. More information regarding the launch will be available in the next few weeks. The lead officer on this project is Claire Lynch who is the Team Leader for the Partnerships Team.

Volunteer Management

12. The Volunteer Management Policy was approved by Cabinet in June. Internal volunteer management training is now being developed and will be offered to current volunteer managers.

ORGANISATIONAL DEVELOPMENT AND TRAINING

National Graduate Development Programme (NGDP)

13. Two graduates have been appointed and will start this month. The first placements will be supporting the Get Set, Go Dacorum Project and the Neighbourhood engagement project.

LEGAL GOVERNANCE

14. 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 Gade Zone regeneration project. Following the selection of the preferred development partner the team are leading on negotiations to settle the terms of the development agreement. The team are also supporting the Council House New Build project by acquiring sites and dealing with associated planning agreements.
15. The Legal Governance and Housing teams won an important housing case in the Supreme Court relating to joint tenancies. This case was vital to how all Councils manage their housing stock in the future and has received national legal press coverage.
16. Legal Governance supported the Planning, Development and Regeneration Team in successfully defending a High Court challenge to the Council's Core Strategy. In a judgement handed down on the 12th June. The Judge found in favour of the Council and dismissed both grounds of challenge. The Council was also awarded the full legal costs of the challenge.
17. Legal Governance also provided legal advice and assistance In the first quarter to four Development Control Committees, one Licensing and Health & Safety Enforcement Committee, four Housing Appeals, and three Cabinet meetings.
18. The team completed 39 Right to Buy sales (26 houses and 13 flats) in the first quarter.
19. The team frequently represent the Council in the courts and tribunals, leading on injunctions, prosecutions and defending employment tribunal cases. The following cases may be of particular interest to Members:
 - The team successfully prosecuted a person who owned an unlicensed House in Multiple Occupation ('HMO') and secured a conviction and fine of £10,520;
 - Successfully obtained a possession order of a council house where the tenant assaulted a neighbour; and
 - Successfully obtained a declaration through the County Court regarding the width of a footpath in Wilstone and an undertaking from the landowner not to carry out any unauthorised work to the path thereby settling a dispute which had been ongoing for 25 years.

GIS and Freedom of Information

20. CadCorp have been selected as the supplier for a new Geographical Information System, which will provide the means for the Council to share data internally and with the public and our partners. The new product will now be implemented with an operational system going live in January 2015. In sharing data more widely it will improve the quality of our own data, reduce telephone and written requests for information between departments, partners and the public as well as enhancing our decision making process. It will provide one version of accurate data to many users to ensure that the Council reports are consistently correct.
21. Freedom of Information ('FOI') and Data Protection ('DPA') requests remain steady. In the first quarter the Council managed to complete 96.93% (158/163) of FOI requests within the target time and 100% of DPA requests.

Licensing

22. A new agreement has been signed between Licensing and the Public Fundraising Regulatory Association (PFRA), to bring voluntary regulation to direct debit charity collectors working in Hemel Hempstead town centre. The PFRA now operate a booking system for direct debit collections in the town centre, with the Council retaining responsibility for cash collections. The agreement includes limits on frequency and numbers of collectors, to prevent the town centre from being saturated during the upcoming redevelopment works. The agreement should also mean that a wider range of charities will have the chance to collect in Dacorum, and enables the Council for the first time to act on complaints from members of the public.
23. Under the agreement, charities and corporate collectors are obliged to follow a 'rule book' setting out permitted conduct for collectors, and breaches can result in censure or sanctions, including exclusion from future collection slots, or monetary penalties.

DEMOCRATIC SERVICES

Member Support Services

24. During Quarter 1, Member Support managed and organised the following:

- Published 37 agendas
- Completed 32 sets of minutes
- Spent 33 hours at evening meetings
- Processed 20 public speakers at Committee
- Processed 12 Portfolio Holder Decisions

Member Development

25. The target set for Member training in 2014/15 has been set for each Councillor to attend at least three training sessions. Unfortunately there were no training sessions held during the first quarter. There was a break between April and May in order to accommodate the election. During this time though, all Councillors were asked to complete a self-assessment questionnaire.

26. The questionnaires were analysed and a list of requested/required areas of training was considered by the Member Development Steering Group. Once topics had been approved to help populate the training programme, officers booked the training providers. A completed programme has now been circulated to all Members in 'Members News'.
27. The programme for this financial year is now full and already many sessions have been provided with good attendance figures.
28. The Member Development Steering Group will soon be looking at the Members Induction plan for 2015, following the elections and arrangements for Members Personal Development plans for the same period.

Electoral registration

29. The Electoral Registration Team has completed the preparations for the implementation of Individual Electoral Registration. All Dacorum residents were sent a letter during the week ending 16 August 2014 which explained the new registration system which amounts to the biggest change to the electoral registration system in nearly 100 years.
30. The letter explains that a new, more secure, system of Individual Electoral Registration is being introduced to replace the old system (which dates back to the Victorian era) where the "head of the household" of a particular property registered everyone living in that property. Now, each individual living within a particular property will be responsible for registering themselves.
31. Almost 83% of Dacorum residents will automatically move onto the new electoral register. However, some residents will need to take action to join or remain on the register, which they will now also be able to do for the first time by registering online.

Operational Risk Register

34. Risk CE_RO7 has been deleted as this duplicated CE_RO5. This was agreed by Members at the last meeting. Otherwise, there are no other changes to the operational risk register to bring to Members' attention.

F&R OSC QUARTERLY PERFORMANCE REPORT

Chief Executive's Unit

June 2014



Measure	Owner & Updater	Jun 2013 Result	Trend	Mar 2014 Result	Trend	Jun 2014 Result	Sign Off	Comments	Flag
DPA01 - Percentage of DPA requests met in 40 days	Mark Brookes John Worts	90.91% (10/11) Target: 95.00	↗	100.00% (6/6) Target: 95.00	↘	100.00% (10/10) Target: 100.00	✓	Owner 100% is pleasing to note	
FOI01 - Percentage FOI requests satisfied in 20 days	Mark Brookes John Worts	97.58% (121/124) Target: 95.00	↘	94.44% (187/198) Target: 95.00	↘	96.93% (158/163) Target: 100.00	✓	Owner The target was increased from 95% to 100% this year to keep performance improving. 100% will always be very difficult to achieve as final responses are sent out by the relevant service GM's. Accordingly, 96.93 % is a good result.	
HR01 - Total number of staff in post	Matt Rawdon Kim Howard	804 Staff Info Only	↘	740 Staff Info Only	↘	729 Staff Info Only	✓	Updater Overall there are less employees than last month and last year Owner	
HR02 - Total number of leavers	Matt Rawdon Kim Howard	18 Leavers Info Only	↗	9 Leavers Info Only	↗	27 Leavers Info Only	✓	Updater There are more leavers that last month and last year. 8 TUPE transferred at the end of June and 1 that was due to transfer retired	
HR03 - Total days lost through sickness absence	Matt Rawdon Kim Howard	1290.89 Days Info Only	↗	1559.93 Days Info Only	↘	1393.80 Days Info Only	✓	Updater Absence is significantly less than last quarter	
HR04a - Total days lost through SHORT TERM sickness absence	Matt Rawdon Kim Howard	623.55 Days Info Only	↘	596.99 Days Info Only	↘	443.89 Days Info Only	✓	Updater Short term absence is significantly less than last quarter	

Monitoring Information

Report run: 11/08/2014

F&R OSC Quarterly Performance Report - Chief Executive's Unit June 2014

Page 1 of 4

Measure	Owner & Updater	Jun 2013 Result	Trend	Mar 2014 Result	Trend	Jun 2014 Result	Sign Off	Comments	Flag
HR04b - Total days lost through LONG TERM sickness absence	Matt Rawdon Kim Howard	667.34 Days Info Only		962.94 Days Info Only		949.91 Days Info Only		Updater Absence is less than last quarter. HR and management are working hard to support employees back to work Owner Long term sickness is still higher than anticipated, but HR continue to support managers to either get staff back to work or look at ill health retirement.	
HR05 - Average days lost due to sickness absence per FTE	Matt Rawdon Kim Howard	1.90 Days (1291/680) Target: 2.00		2.31 Days (1560/676) Target: 2.00		2.02 Days (1394/691) Target: 2.00		Owner On target.	
HR06 - Average number of days lost due to sickness absence per FTE (end of year profile)	Matt Rawdon Kim Howard	5.11 Days Target: 8.00		9.63 Days Target: 8.00		8.00 Days Target: 8.00		Updater Less than last quarter; on target	
HR10 - Percentage of employees who have been absent on more than 2 occasions in the quarter	Matt Rawdon Kim Howard	6.55% (45/687) Target: 7.90		7.05% (51/723) Target: 7.90		6.21% (44/709) Target: 8.00		Updater Less than last quarter and last year; under target	
LG01 - Percentage of draft new commercial leases sent to the prospective tenants/their Solicitors within 10 working days of receipt of full instructions	Mark Brookes Paulette Tedd	100.00% (4/4) Target: 95.00		100.00% (2/2) Target: 95.00		100.00% (1/1) Target: 100.00		Owner Volumes of new commercial leases remain low.	
LG02 - Percentage of draft commercial lease renewals sent to tenants/their Solicitors within 15 working days of receipt of full instructions	Mark Brookes Paulette Tedd	100.00% (4/4) Target: 95.00		100.00% (1/1) Target: 95.00		100.00% (1/1) Target: 100.00		Updater	
LG03 - Percentage of Right to Buy documents sent to tenants/their Solicitors within 15 working days of receipt of full instructions	Mark Brookes Paulette Tedd	100.00% (16/16) Target: 95.00		100.00% (12/12) Target: 95.00		100.00% (30/30) Target: 100.00		Owner RTB applications remain high so it is pleasing to note that all documents have been sent out within the deadline.	

Monitoring Information

Report run: 11/08/2014

F&R OSC Quarterly Performance Report - Chief Executive's Unit June 2014

Page 2 of 4

Measure	Owner & Updater	Jun 2013 Result	Trend	Mar 2014 Result	Trend	Jun 2014 Result	Sign Off	Comments	Flag
LG04 - Percentage of homelessness appeal decision letters sent to appellants/their Solicitors within 14 working days of the date of the appeal hearing	Mark Brookes Barbara Lisgarten	100.00% (7/7) Target: 100.00	→	100.00% (2/2) Target: 100.00	→	100.00% (6/6) Target: 100.00	✓	Owner No comments	
LG05 - Percentage of Section 106 Planning Obligations drafted and sent to the client officer within 10 working days of receipt of full instructions	Mark Brookes Paulette Tedd	No Data No Target		No Data No Target		100.00% (1/1) Target: 100.00	✓	Updater	
LG06 - Percentage of housing possession proceedings commenced within 20 working days of receipt of full instructions	Mark Brookes Barbara Lisgarten	100.00% (2/2) Target: 95.00	↘	No Incidents (0/0) Target: 95.00		100.00% (2/2) Target: 100.00	✓	Updater	
LG07 - Percentage of Licensing Act 2003 decision letters sent to applicants/licensees within 5 working days of the date of the Sub Committee hearing	Mark Brookes Barbara Lisgarten	100.00% (1/1) Target: 95.00	↘	No Incidents (0/0) Target: 95.00		100.00% (2/2) Target: 100.00	✓	Updater	
LG08 - Percentage of decision letters produced by Legal Services which are sent to hackney carriage/private hire drivers within 14 working days of the sub-committee hearing date	Mark Brookes Barbara Lisgarten	100.00% (6/6) Target: 95.00		100.00% (1/1) Target: 95.00		No Incidents (0/0) Target: 100.00	✓	Owner No Licensing meetings within the last quarter relating to taxi matters	
LG09 - Percentage of prosecution proceedings commenced within 20 working days of receipt of full instructions	Mark Brookes Barbara Lisgarten	100.00% (1/1) Target: 95.00	↘	100.00% (3/3) Target: 95.00	↘	100.00% (2/2) Target: 100.00	✓	Updater	

Measure	Owner & Updater	Jun 2013 Result	Trend	Mar 2014 Result	Trend	Jun 2014 Result	Sign Off	Comments	Flag
MS01 - Average number of training opportunities taken up per Member	Jim Doyle Michelle Anderson	0.5 Opportunities (24/51) Target: 1.0	↓	0.7 Opportunities (34/51) Target: 1.0	↓	0.0 Opportunities (1/51) Target: 1.0	✓	Updater There was no training scheduled for April or May due to the European election preparations. During June the Member Development Steering group has been coordinating the future programme, which starts in July. Figures for the next quarter should therefore reflect this.	

OPERATIONAL RISK REGISTER

June 2014



Chief Executive's Unit - Steve Baker					
CE_F01 Lack of resources to be able to spend the appropriate time analysing the Councils 3rd party expenditure					
Category: Financial	Corporate Priority: Dacorum Delivers	Risk Owner: Steve Baker	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	1 Very Unlikely	4 Severe	4 Green
Consequences		Current Controls		Assurance	
Continued delivery of a reactive service. Potential breach of the Public Contract Regs via non-aggregation. Off-contract spend. Reduced savings.		- Spikes Cavell spend analysis undertaken - Realignment of the Service will increase resource capacity -Stradia procurement consultants have been appointed to provide additional support for the procurement of the Total Asset Mangement Contract, the affordable housing new build and the PSQ thereby releasing capacity within the in house procurement team to analyse 3rd party expenditure.			
Sign Off and Comments					
Sign Off incomplete					

OPERATIONAL RISK REGISTER

June 2014



CE_F02 Lack of resources to be able to design and implement a Category Management approach to the Councils 3rd party expenditure					
Category: Financial	Corporate Priority: Dacorum Delivers	Risk Owner: Steve Baker	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
4 Very Likely	3 High	12 Red	1 Very Unlikely	3 High	3 Green
Consequences		Current Controls		Assurance	
Lack of strategic direction. Reduced savings. Procurement silos. Increased workload.		Realignment of Service will increase the resource capacity. The appointment of Stradia procurement consultants to provide additional support for the major procurement contracts has increased the capacity of the in house team to deliver category management.			
Sign Off and Comments					
Sign Off incomplete					

CE_M02 Failure of Council staff and Members to understand and embrace localism					
Category: Marketplace	Corporate Priority: Building Community Capacity	Risk Owner: Steve Baker	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	3 High	9 Amber	1 Very Unlikely	3 High	3 Green
Consequences		Current Controls		Assurance	

OPERATIONAL RISK REGISTER

June 2014



Poor service to communities, intervention from Government, Poor reputation.	- Officer training Localism policy and strategy being developed.	
Sign Off and Comments		
Sign Off incomplete		

CE_M03 Failure to prepare policy and strategy around Localism					
Category: Marketplace	Corporate Priority: Building Community Capacity		Risk Owner: Steve Baker	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	3 High	9 Amber	1 Very Unlikely	4 Severe	4 Green
Consequences		Current Controls		Assurance	
Poor service to communities, intervention from Government, Poor reputation.		- Officer/member training events. Localism policy and strategy being developed. Localism Working Group set up. Guidance and processes being produced			
Sign Off and Comments					
Sign Off incomplete					

CE_R01 Failure to deliver successful elections					
Category: Reputational	Corporate Priority: Dacorum Delivers		Risk Owner: Steve Baker	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score

OPERATIONAL RISK REGISTER

June 2014



4 Very Likely	4 Severe	16 Red	1 Very Unlikely	4 Severe	4 Green
Consequences		Current Controls		Assurance	
<p>Legal sanction and re-run of election at DBC expense. Loss of faith in elections process. Intense scrutiny on future referenda Potential 'Failed service' designation from Electoral Commission. Personal Financial liability for Returning Officer. Invalid or unsubstantiated election Results. Dissatisfaction of key stakeholders with the borough council elections and the process for future referenda.</p>		<ul style="list-style-type: none"> - Election Preparation Plan and Risk Assessment - Establish Election Team, allocate resources, audit and prepare equipment - Oversee actual Election - Check Results - Conclude election paperwork - Clear and Store election equipment - Prepare Election Accounts - Consult Key stakeholders - Produce 'Mop-up' report for Autumn Overview & Scrutiny - Implement recommendations from Overview & Scrutiny in preparation for future elections 			
Sign Off and Comments					
Sign Off Incomplete					

CE_R03 Failure to maintain Lexcel accreditation					
Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: Steve Baker	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
4 Very Likely	3 High	12 Red	1 Very Unlikely	3 High	3 Green

OPERATIONAL RISK REGISTER

June 2014



Consequences	Current Controls	Assurance
Loss of confidence in the service, adverse effect on staff morale, processes not improved, waste of officer time and waste of consultant's costs and assessment fee.	<ul style="list-style-type: none"> - IDP framework - Engaged specialist consultant - Support from Policy and Improvement Officer - Support and active participation of Legal Team members 	
Sign Off and Comments		
Sign Off Incomplete		

CE_R05 Failure to adopt a service specific best practice approach to managing Health and Safety					
Category:	Corporate Priority:	Risk Owner:	Portfolio Holder:	Tolerance:	
Reputational	Dacorum Delivers	Steve Baker	Cllr Neil Harden	Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	1 Very Unlikely	4 Severe	4 Green
Consequences	Current Controls	Assurance			
Death or injury to staff; residents or contractors' staff; reputation; litigation and charges of corporate manslaughter	<ul style="list-style-type: none"> - Service specific health and safety policies in respect of Council buildings and commercial properties. - Ongoing training for staff in key areas. 				
Sign Off and Comments					
Sign Off Incomplete					

OPERATIONAL RISK REGISTER

June 2014



CE_R07 Failure to adopt a service specific best practice approach to managing Health and Safety					
Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: Steve Baker	Portfolio Holder: Cllr Neil Harden	Tolerance: Tolerating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	2 Unlikely	4 Severe	8 Amber
Consequences		Current Controls		Assurance	
Death or injury to staff; residents or contractors staff; reputation; litigation and charges of corporate manslaughter.		- Service specific H&S Risk Registers produced and monitored quarterly at DMT - Corporate H&S policy under review - Ongoing training for staff in key areas			
Sign Off and Comments					
Sign Off Incomplete					
CE_R08 The CSGC contractor focuses attention on meeting speed of response targets and not quality of service					
Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: Steve Baker	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
2 Unlikely	3 High	6 Amber	3 Likely	3 High	9 Amber
Consequences		Current Controls		Assurance	
Calls are not resolved at first point of contact. Insufficient time is dedicated to callers to ensure that		- Govmetric surveys each month assess quality - Six monthly customer satisfaction survey		- Monthly performance reports - Minutes of Operational Board meetings	

11/08/2014 03:25PM

Page 6 of 10

OPERATIONAL RISK REGISTER

June 2014



call has been fully resolved in a satisfactory manner. Reputational damage to the Council.		- Quarterly quality assessment by Group Managers - Monthly meetings with back officers to assess service delivery and monthly operational Board meetings to escalate issues.			
Sign Off and Comments					
Sign Off Incomplete					
CE_R09 During the transformation of the CSCG there is a high level of requirement for DBC staff resource					
Category: Financial		Corporate Priority: Dacorum Delivers		Risk Owner: Steve Baker	Portfolio Holder: Cllr Neil Harden
					Tolerance: Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
4 Very Likely	3 High	12 Red	3 Likely	3 High	9 Amber
Consequences		Current Controls		Assurance	
The Customer Relationship Management and Channel Shift projects cannot be implemented in the timescales resulting in reduced value from the contract or increased resource impact on DBC to maintain the pace.		- Service Improvement Plan includes key milestones for engagement - SIP reviewed to identify resource implications for DBC - Joint Customer Insight and channel Shift working group established		- Terms of Reference of Channel Shift and Citizen Insight operational Board. - Project plans for CRM and channel shift implementation. - September 2011 Cabinet report: Web and Customer Access Strategy (currently being revised)	
Sign Off and Comments					
Sign Off Incomplete					

OPERATIONAL RISK REGISTER

June 2014



CE_R10 The introduction of inform 360 and automated self-service options via telephone reduces access and/or satisfaction with contact					
Category: Reputational	Corporate Priority: Dacorum Delivers		Risk Owner: Steve Baker	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	3 Likely	3 High	9 Amber
Consequences		Current Controls		Assurance	
Increase in customer dissatisfaction with the Council. Potential reduction in contact with customers and missed opportunities for citizen insight		- Service Improvement Plan includes key milestones for engagement and tasks to be completed, including communications - Customer Insight and Channel Shift working group established to review progress - Monthly meetings and quarterly audits with GMs to assess quality of customer contacts		- Minutes of Operational and Partnership Board meetings	
Sign Off and Comments					
Sign Off Incomplete					

CE_R11 Integration of CRM systems cannot be accomplished due to technical difficulties or high cost					
Category: Infrastructure	Corporate Priority: Dacorum Delivers		Risk Owner: Steve Baker	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	3 Likely	3 High	9 Amber

OPERATIONAL RISK REGISTER

June 2014



Consequences	Current Controls	Assurance
The CRM project cannot be completed resulting in failure of the CSOG project and reduced impact of Citizen Insight and Evidence Based Decision Making initiatives. Resource intensive manual operations introduced as work around solutions	<ul style="list-style-type: none"> - Integration requirements included in Service Improvement Plan - Alternative options clause included in contract in the event that integration is untenable - Customer Insight and Channel Shift working group set up to manage progress 	
Sign Off and Comments		
Sign Off Incomplete		

CE_R12 Redundancy costs of transferred staff borne by DBC in first year of contract					
Category:	Corporate Priority:	Risk Owner:	Portfolio Holder:	Tolerance:	
Financial	Dacorum Delivers	Steve Baker	Cllr Neil Harden	Terminating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
4 Very Likely	2 Medium	8 Amber	4 Very Likely	1 Low	4 Green
Consequences	Current Controls	Assurance			
Unrecognised costs have an impact on Council reserves and reduce the value of the contract	<ul style="list-style-type: none"> - Earmarked Redundancy Reserve available to meet impact - Potential redundancy costs factored in to Value for Money assessment at tender stage 				
Sign Off and Comments					
Sign Off Incomplete					



AGENDA ITEM: 9

SUMMARY

Report for:	Finance and Resources Overview & Scrutiny Committee
Date of meeting:	3 September 2014
PART:	1
If Part II, reason:	

Title of report:	Risk Management Report Quarter 1 2014/15
Contact:	Councillor Nick Tiley, Portfolio Holder for Finance Resources Martin Hone, Corporate Director Finance & Governance Linda Dargue, Insurance & Risk Manager
Purpose of report:	1. To provide the Quarter1 report on the Strategic Risk Register 2. To provide the Quarter1 update on the Operational Risk Registers
Recommendations	1. That the content of this report is noted and recommended to Cabinet for approval together with any associated comments.
Corporate objectives:	Dacorum Delivers – Risk management is an essential part of ensuring that the Council meets all of its objectives
Implications:	<u>Financial</u> None identified.
'Value For Money Implications'	<u>Value for Money</u> Risk management is closely linked to the Council's commitment to ensure that all resources are used efficiently and forms part of effective financial planning. The Council also needs to ensure that adequate provisions are in place to address anticipated risks but that these are no greater than

	necessary so that maximum resources are applied to services as required. To this end the Council sets minimum target working balances for both the general fund and HRA and at the date of this report this minimum balances are secured. Budget exercises for 2012/13 have ensured that the minimum balance requirements will also be met for the next financial year.
Risk Implications	<p>Effective risk management is an important factor in all policymaking, planning and decision making.</p> <p>Failure to manage risk effectively could have serious consequences for the Council leading to increased costs, wasted resources, prosecution and criticism under external assessments</p>
Equalities Implications	<p>Equality Impact Assessment reviewed/carried out*</p> <p>Not applicable</p>
Health And Safety Implications	Not applicable
Consultees:	CMT
Background papers:	<p>Risk Management working paper files</p> <p>Report to CMT 15 August 2014 – circulated electronically 18 August 2014</p>
Historical background <i>(please give a brief background to this report to enable it to be considered in the right context).</i>	Not applicable
Glossary of acronyms and any other abbreviations used in this report:	

BACKGROUND

1. The revised Strategic Risk register showing the position at the end of Q1 2014/15 is attached at Appendix A for ease of reference. The table below provides a comparison of the risk scores from the previous quarter.

Risk	Q4 13/14	Q1 14/15
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
	Q4 13/14	Q1 14/15
F5 Risk of collapse from chalk mine activity following subsidence at 1 Meadow Road	9	9
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	3	3

delivery with budget pressures		
R3 – Disclosure of personal data in breach of the Data Protection Act	8	8

2. The following table shows those operational risks where the risk score has changed since Quarter 4.

Risk	Resp Off	Q4	Q1
		13/14	14/15
FRF03 Variances in General Fund revenue budget	J De	8	6
CE_R12 Redundancy costs of transferred staff borne by DBC in first year of contract	SF	4	-

Risk CE_R12 has been closed as redundancy costs in first year of the Northgate contract were well within the estimate of costs completed during tender evaluations.

3. At its meeting on 22 July 2014 , Cabinet agreed a revised approach to developing and managing the Strategic Risk Register, to ensure that:

- It is synchronised with the Corporate Plan with both documents showing all current strategic risks and the risk owner for each
- It is synchronised with the MTFS to ensure that resources have been prioritised to deal with strategic risks that cannot easily be mitigated
- It covers the same planning period as the Corporate Plan and the MTFS
- It includes the opportunities facing the Council over the planning period as well as the known risks
- The SRR is jointly 'owned' by the executive (Cabinet) and senior management (CMT)
- It shows clearly how corporate risk management supports the Council's change agenda (e.g. an agreed approach to dealing with risks from Cabinet, OSC'S COG CMT etc, improved communication across the Council; increased confidence in the

ability to manage and deliver services/projects; external confidence with partners, peers; focus and prioritisation of scarce resources based on evidence or risk reduction/mitigation).

Therefore this quarterly report will be the last in its present format. An updated strategic risk and opportunity register will be form the Quarter 2 report.

STRATEGIC RISK REGISTER

June 2014



F1 - Resource base affected by slow recovery from recession resulting in lack of funds to deliver on commitments & policies					
Category: Financial	Corporate Priority: Dacorum Delivers		Risk Owner: Martin Hone	Portfolio Holder: Cllr Nick Tiley	Tolerance: Tolerating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
4 Very Likely	4 Severe	16 Red	2 Unlikely	2 Medium	4 Green
Consequences		Current Controls		Assurance	
<ul style="list-style-type: none"> - Dissatisfaction - Political fallout - Reputation damage 		<ul style="list-style-type: none"> - Corporate plan kept under review - MTFS kept under review - Fees & Charges strategy kept under review - Capital Strategy kept under review - Aspirations managed via communication e.g. articles in Dacorum Digest, press releases 		Medium Term Financial Strategy uploaded into Corvu Capital Strategy uploaded into Corvu	
Sign Off and Comments					
Sign Off Complete The Council's Medium-Term Financial Strategy is currently being rolled forward to cover the period 2014/15 to 2018/19 and will be put to Council in September. Detailed preparations for the 2015/16 budget have commenced in line with the planned timetable.					

F2 - Lack of effective procurement and contract management					
Category: Financial	Corporate Priority: Dacorum Delivers		Risk Owner: Martin Hone	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
4 Very Likely	4 Severe	16 Red	2 Unlikely	3 High	6 Amber

STRATEGIC RISK REGISTER

June 2014



Consequences	Current Controls	Assurance
<ul style="list-style-type: none"> - Increased budgets - Reduced service quality - Contractual disputes - Impact on reputation - Decision makers not fully briefed 	<ul style="list-style-type: none"> - Financial Regulations - Corporate Financial System - Agresso - Corporate Procurement Strategy - Procurement Standing Orders - continuously reviewed - Use of Herts Marketplace - Joint Procurement activity - Asset Management Group - Training programme - Corporate Procurement Group, with updated terms of reference - 6 monthly monitoring reports on procurement to Scrutiny Committees and Cabinet 	
Sign Off and Comments		
<p>Sign Off Complete</p> <p>In July, Council: agreed amendments to Financial Regulations; adopted a new Commissioning & Procurement Strategy; and amended its Commissioning & Procurement Standing Orders.</p>		

F3 - Failure to achieve identified savings to ensure that the budget remains balanced

Category: Financial	Corporate Priority: Dacorum Delivers	Risk Owner: Martin Hone	Portfolio Holder: Cllr Nick Tiley	Tolerance: Tolerating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
4 Very Likely	4 Severe	16 Red	1 Very Unlikely	4 Severe	4 Green
Consequences		Current Controls		Assurance	
<ul style="list-style-type: none"> - Reactive service changes rather than proactive - Damage to reputation 		<ul style="list-style-type: none"> - Budget process - Monthly budget monitoring 			

18/08/2014 10:53AM

Page 2 of 8

STRATEGIC RISK REGISTER

June 2014



- Criticism from external inspectors	- 'in year' budget management - Monthly performance report to Leader of Council
Sign Off and Comments	
Sign Off Complete	
Financial performance information to the end of June indicates that the Council's planned savings for 2014/15 are being achieved.	

F5 - Risk of extensive damage to property arising from adverse weather conditions and/or unstable ground within the Dacorum area					
Category: Financial	Corporate Priority: Safe and Clean Environment	Risk Owner: Martin Hone	Portfolio Holder: Cllr Nick Tiley	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	3 Likely	3 High	9 Amber
Consequences		Current Controls		Assurance	
<p>That external funding is not made available for treatment and this gives rise to an expectation that the Council will provide funding for treatment works.</p> <p>That extensive response measures with partner agencies are required, with impact on the Council's capacity to respond, its resources and reputation if these are not well planned and well executed.</p>		<p>Responsibilities exists under the Civil Contingencies Act which are restricted to assessing the danger to the public and taking action to mitigate immediate danger. These responsibilities are shared with other public agencies.</p> <p>The council has received Counsel opinion that its duties are limited to taking reasonable steps to prevent risk to health and safety and do not extend to funding treatment costs.</p> <p>Emergency Plan.</p>			
Sign Off and Comments					

STRATEGIC RISK REGISTER

June 2014



Sign Off Complete

There have been no major issues arising in the first quarter of the year over and above those already known about and currently being treated.

I2 - Failure to effectively manage health and safety

Category: Infrastructure	Corporate Priority: Dacorum Delivers	Risk Owner: Sally Marshall	Portfolio Holder: Cllr Andrew Williams	Tolerance:	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	1 Very Unlikely	4 Severe	4 Green
Consequences		Current Controls		Assurance	
<ul style="list-style-type: none"> - Death/Injury - Litigation - Prosecution - Reputation damage - Low staff morale - Increased costs - Criticism by Regulatory bodies - Adverse impact on local environment & community 		<ul style="list-style-type: none"> - Health & Safety Training - HR Service – implementation of policies and procedures - Sickness absence monitoring - Accident monitoring - Workplace Options - Appraisals - Flexible working policies - Quarterly reporting to CMT - Service H&S prioritised risk registers 		<ul style="list-style-type: none"> Audit Committee report 25/4/12 Corporate Health & Safety Strategy Health & Safety Coordinator Role 	
Sign Off and Comments					
Sign Off Incomplete					

STRATEGIC RISK REGISTER

June 2014



M1 - Failure to deliver required regeneration and economic growth					
Category: Marketplace	Corporate Priority: Regeneration	Risk Owner: Mark Gaynor	Portfolio Holder: Cllr Andrew Williams	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	3 Likely	3 High	9 Amber
Consequences		Current Controls		Assurance	
<ul style="list-style-type: none"> - Unforeseen changes in levels of demand for services - Political fallout - Failure by Council to meet citizen's needs - Unplanned for financial implications - Regeneration of key areas e.g. Town Centre - does not happen 		<ul style="list-style-type: none"> - Sustainable Community Strategy - Local Development Framework - Dacorum Partnership - Local Investment Plan & partnership working with HCA 		Sustainable Community Strategy uploaded into Corvu	
Sign Off and Comments					
Sign Off Incomplete					

M2 - Failure to shape services based on robust understanding of customer's needs					
Category: Marketplace	Corporate Priority: Dacorum Delivers	Risk Owner: Sally Marshall	Portfolio Holder: Cllr Neil Harden	Tolerance: Tolerating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
4 Very Likely	4 Severe	16 Red	2 Unlikely	2 Medium	4 Green
Consequences		Current Controls		Assurance	

STRATEGIC RISK REGISTER

June 2014



<ul style="list-style-type: none"> - Poor external assessment & opinion - Reputation damage - Political fallout - High level of complaints - Potential loss of non statutory services - Decreased customer satisfaction levels - Provision of inappropriate services - Wasted resources 	<ul style="list-style-type: none"> - Customer & Community consultation processes - Reporting the results of the consultation to members - Code of Corporate Governance - View Point Action Plan - Consultation & Communication Strategy - Community Plan Consultation - Dacorum Delivers Programme - Customer Insight Officer - Consultative outcomes fed into Service Planning process - Neighbourhood Action - Citizens Panel - My Place Survey 	
Sign Off and Comments		
Sign Off Incomplete		

R1 - Failure to align political aspirations for service delivery with budget pressures					
Category:	Corporate Priority:	Risk Owner:	Portfolio Holder:	Tolerance:	
Reputational	Dacorum Delivers	Sally Marshall	Cllr Andrew Williams	Tolerating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
2 Unlikely	4 Severe	8 Amber	1 Very Unlikely	3 High	3 Green
Consequences		Current Controls		Assurance	
<ul style="list-style-type: none"> - Failure to deliver on aspirations - Financial implications - Adverse publicity 		<ul style="list-style-type: none"> - Regular 1 to 1's between Chief Executive & Leader - Portfolio Hold COG meetings raises awareness of situation 			

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Page 6 of 8

STRATEGIC RISK REGISTER

June 2014



- Political fall out for members	- Directors meet with Portfolio Holders - Group meetings	
Sign Off and Comments		
Sign Off Incomplete		

R3 - Disclosure of personal data in breach of the Data Protection Act					
Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: Steve Baker	Portfolio Holder:	Tolerance: Tolerating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
4 Very Likely	4 Severe	16 Red	2 Unlikely	4 Severe	8 Amber
Consequences		Current Controls		Assurance	
Complaint to the ICO and a fine of up to £500,000 in serious cases. Reputational damage (which could be national as well as local).		The appointment of an Information Security Team Leader with the role of ensuring that the Council complies with the requirements of the Data Protection Act. Existence of a Records Management Policy and other associated policies and procedures including a Retention Schedule Policy which deals with the secure storage and destruction of personal data. Regular review and updating of the policies and procedures referred to above. Information audit and physical storage audit has been			

STRATEGIC RISK REGISTER

June 2014



	<p>carried out to establish the type of personal data being stored (either as paper documents or electronically), where and how the data is being stored and who by.</p> <p>Arrangements in place for the secure disposal of confidential waste which include the provision of locked bins located around the Civic Centre and special arrangements for the disposal of bulk confidential waste by a specialist contractor.</p> <p>Frequent mandatory training of staff provided and run by the Information Security Team Leader.</p> <p>In addition to the mand</p>	
Sign Off and Comments		
Sign Off Incomplete		



AGENDA ITEM: 10

SUMMARY

Report for:	Finance and Resources Overview and Scrutiny Committee
Date of meeting:	3rd September 2014
PART:	1
If Part II, reason:	

Title of report:	Budget Monitoring Quarter 1 2014/15
Contact:	Cllr Nicholas Tiley, Portfolio Holder for Finance and Resources James Deane, Assistant Director (Finance & Resources) Richard Baker, Group Manager (Finance and Resources)
Purpose of report:	To provide details of the projected outturn for 2014/15 as at Quarter 1 for the: <ul style="list-style-type: none"> • General Fund • Housing Revenue Account • Capital Programme <p>To provide details of the proposed transfers to and from earmarked reserves.</p>
Recommendations	That Committee note the forecast outturn position.
Corporate objectives:	Dacorum Delivers
Implications:	Financial and Value for Money implications are included within the body of the report.
Risk Implications	Risk implications are included within the body of the report.

Equalities Implications	There are no equality implications.
Health And Safety Implications	There are no health and safety implications.
Monitoring Officer/S.151 Officer Comments	Monitoring Officer No further comments to add. Deputy S.151 Officer This is a Section 151 Officer report.
Consultees:	Budget Managers.
Glossary of acronyms and any other abbreviations used in this report:	GF – General Fund HRA – Housing Revenue Account

1. Introduction

1.1 The purpose of this report is to outline the Council's forecast outturn for 2014/15 as at 30th June 2014. 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 adjusted budget is the original budget approved by Cabinet in February 2014 plus the following approved amendments:

Amendments	£000	Approved
2014/15 Original budget	19,416	
Replacement Street Name Plates	40	Council February 2014
Dacorum Sports Trust	100	Cabinet April 2014
Apprentices	68	Audit Committee June 2014
EDRMS	90	Audit Committee June 2014
Category Management	75	Cabinet June 2014
2014/15 Adjusted Budget	19,789	

2.5 The table below provides an overview by Scrutiny area of the current forecast outturn for controllable budgets within the General Fund.

	Adjusted Budget £000	Projected Outturn £000	Variance	
			£000	%
Finance & Resources	12,605	11,815	(790)	-6.3%
Housing & Communities	1,751	1,869	118	2.2%
Strategic Planning & Environment	5,433	5,621	188	3.5%
Total	19,789	19,305	(484)	-2.4%

2.6 The following sections provide a subjective analysis of the projected outturn and major budget variances shown by Scrutiny area.

3. Finance and Resources

Finance & Resources	Controllable Budget £000	Projected Outturn £000	Variance	
			£000	%
Employees	11,089	10,379	(710)	-6.4%
Premises	1,718	1,711	(8)	-0.4%
Transport	36	37	1	2.5%
Supplies & Services	4,552	4,502	(50)	-1.1%
Third-Parties	1,798	1,764	(35)	-1.9%
Income	(6,589)	(6,578)	11	-0.2%
	12,605	11,815	(790)	-6.3%

3.1 Employees - £710k under budget (6.4%)

Following the triennial actuarial review of the Council's pension scheme, provision was made in the 2014/15 budget to fund a one off deficit reduction payment of £745k (General Fund element). The payment however, was actually made in 2013/14 resulting in an underspend against the 2014/15 budget. The payment was to be funded from reserves and so there is no impact of the overall financial position. Cabinet will be asked to recommend to Council the transfer of the current service saving to the Pension Reserve is being requested.

In addition, the pension contribution rate is 16%. This is below the assumed rate for 2014/15 following the triennial review. Cabinet will be asked to recommend to Council the transfer of the service saving (£273k) to the Pensions Reserve is being requested.

There is a further underspend of £15k related to delays in the recruitment of a Business Analyst within the ICT department. This is a fixed term post funded by the Management of Change Reserve. Cabinet will be asked to recommend to Council the change in contribution required from the reserve – the balance being required in 2015/16.

The underspends referred to above are offset by the following:

- £120k pressure within Revenues and Benefits for agency costs. Following a period of particularly high staff turnover and increased work volumes linked to the general economic downturn there are currently 3 agency FTE (6 FTE earlier in the year) to support the processing of benefit claims. This will be funded by unringfenced New Burdens grant income so does not impact on the wider financial provision.
- £32k linked to the redundancy of the Corporate Safety Health and Care Officer as part of the review and transfer of the Health and Safety Service from People to Regulatory Services. Cabinet will be asked to recommend to Council funding this from the Management of Change Reserve.
- £108k across services linked to the vacancy provision - a target set at 5% of direct salary costs for 2014/15. This position will continue to be monitored, but, in line with last years trend in natural staff turnover, an improvement is expected.

3.2 Supplies and Services - £50k under budget (1.1%)

The ICT budget within Revenues Benefits and Fraud Management was increased by £25k to fund the planned implementation of electronic housing benefit claim forms by an external contractor. Corporate focus on e-solutions to meet customer needs has evolved to subsume this development and the budget is no longer required.

In addition, a provision to reflect a potential liability for legal costs within Revenues will be released this financial year. This will result in a credit to the service of £20k.

3.3 Third Parties - £35k under budget (1.9%)

This relates primarily (£50k) to savings on Internal Audit which were not factored in to the 2014/15 budget.

4. Strategic Planning and Environment

Strategic Planning and Environment	Controllable Budget £000	Projected Outturn £000	Forecast Variance	
			£000	%
Employees	8,112	8,190	78	1.0%
Premises	833	863	30	3.6%
Transport	1,426	1,415	(10)	-0.7%
Supplies & Services	4,270	4,404	134	3.1%
Third-Parties	189	189	0	0.0%
Income	(9,398)	(9,441)	(43)	-0.5%
	5,433	5,621	188	3.5%

4.1 Employees - £78k over budget (1%)

£110k across services linked to the vacancy provision - a target set at 5% of direct salary costs for 2014/15. This position will continue to be monitored

This pressure is offset by the net savings (£42k) to be generated by the reconfiguration of Waste Services as follows:

- £107k saving from the proposed reduction in establishment of two FTE following the optimization of 'round' structure.
- £25k saving from the creation of a staff pool (9 staff) to cover sickness and holidays negating the need for agency staff.
- £20k saving from the closure of the MRF (3 FTE).
- £110k pressure for the cost of project implementation team salaries – revenue expenditure budgeted initially in capital. Cabinet will be asked to recommend to

Council an increase in revenue budget to be funded through reductions in revenue contributions to capital.

4.2 Transport – 10k under budget (0.7%)

There is a projected net saving of £13k arising from the reconfiguration of Waste Services as follows:

- £50k saving in fuel costs generated from the planned reduction in the number of rounds from 26 to 21 (£42k) and the closure of the MRF (£8k).
- £30k saving on vehicle hire costs – repairs and maintenance of fleet vehicles are expected to decline following the introduction of the new fleet vehicles (thus the requirement to hire additional 'cover' vehicles is also expected to decline).
- £67K pressure expected to arise for the haulage of co-mingled material to the re-processing plant. This is based on an estimated volume of 5,600 tonnes following implementation costing £12 per tonne.

4.3 Supplies and Services – 134k over budget (3.1%)

The new Waste Service will need to be promoted to residents. The estimated costs of marketing (£45k) includes materials, leaflet distribution and roadshows.

Compostable liners for the new replacement bins will also need to be delivered to residents for the implementation of co-mingled waste collection (£64k).

These costs were initially included within the capital budget and have been transferred to revenue. Cabinet will be asked to recommend to Council an increase in revenue budget to meet this pressure (£109k) funded by a reduction in revenue contributions to capital.

There will be a small saving of £10k arising from a reduction on equipment related expenditure following the closure of the MRF.

4.4 Income - £43k over budget (0.5%)

The legal challenge to the adoption of the Local Development Framework Core Strategy has been defeated. This will result in the unbudgeted recovery of legal expenses (£60k).

Car parking income is expected to be above budget - the key driver being income from on-street penalty charge notices which is expected to be over budget by £60k at the end of the year based on the trend to date. A further contribution is unbudgeted income received following the introduction of Controlled Parking Zones in residential areas from the beginning of this year which resulted in a peak during the first quarter following the purchase of annual permits. A total overachievement in the region of £80k is anticipated.

These surpluses are off-set by a net pressure (£109k) arising from the reconfiguration of the Waste Service as follows:

- £148k pressure as the sale of recycled materials declines.

- £34k pressure relating to a prior year adjustment for the AFM. Work is currently underway to further assess the impact of the transition to co-mingled waste collection upon the model.
- £73k overachievement of income from recycling credits following an expected increase in tonnage post implementation. This reflects an increase in volume of just over 50%, but the actual increase is expected to be higher. Work to clarify the impact upon volumes is in-progress.

5 Housing and Community

Housing & Community	Controllable Budget £000	Projected Outturn £000	Forecast Variance	
			£000	%
Employees	3,171	3,221	50	1.6%
Premises	435	452	17	3.9%
Transport	43	39	(5)	-10.5%
Supplies & Services	2,217	2,225	8	0.4%
Third Parties	25	25	0	0.0%
Income	(4,141)	(4,093)	47	-1.1%
	1,751	1,869	118	6.7%

5.1 Employees - £50k over budget (1.6%)

The main pressure is £22k within Regulatory Services linked to a shortfall against the budgeted vacancy provision.

5.2 Income - £47k under budget (1.1%)

Clinical commercial waste collections have ceased during the first quarter of this year (resulting in a £60k loss of income for the year). This was part of a wider initiative to focus operations on higher revenue generating streams over the longer term within Environmental Health – namely Pest Control which has implemented a charging policy. Growth in this service is expected to yield significantly increased income over the coming years.

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 2014/15 is £3.38m. The forecast operating surplus is £603k – a change of £364k compared to the surplus of £239k originally budgeted. Significant variances are as follows:

6.3 Contribution towards expenditure - £160K surplus (34.8%)

£160K surplus due to Green Deal energy income being received that wasn't budgeted.

6.4 Repairs and Maintenance – £1.1M over budget (9.7%).

There is a forecast pressure of £1.1m on the Responsive Repairs and Maintenance budget. This is due primarily to the following:

- Cessation of planned repairs by Keepmoat has caused an expected overspend of £490k on responsive repairs.
- Overhead costs built into the base budget differ to the tendered rates, causing a projected pressure of £200k.
- An increase in the number of voids, and increased costs per repair for voids suggests a projected overspend of £300k.
- An increase in the number of drain blockages has led to an overspend on the drainage budget causing a projected pressure of £180K.

The position will be contained by transferring resource from the capital planned repairs budget via a reduced revenue contribution to capital (£1M).

6.5 Supervision and Management – 355k under budget (3.3%)

The expected underspend relates to:

- Pension backfunding paid in 2013/14 – £210K.
- Electricity for flats management - £100K savings from the implementation of energy efficiency projects.
- Supporting People – Saving in agency staff budget of approximately £33K due to service being close to full capacity.
- Housing Cleaning Service – Saving in employees budget of approximately £42K due delayed recruitment to four new posts.
- Housing Landlord Management - £44K saving due to Corporate Graduate post remaining vacant and over budgeted GM post.

Off-set by pressures from:

- Uninsured losses relating to insurance claims from tenants - £50k
- ICT Orchard maintenance costs - £20k

7. Capital Programme

7.1 Appendix C shows the projected capital outturn in detail by scheme.

The table below summarises the overall capital outturn position by Scrutiny area.

The 'Rephasing' column refers to those projects where expenditure is still expected to be incurred, but it will now be in 2015/16 rather than 2014/15, or conversely, where expenditure planned initially for 2015/16 will now be in 2014/15.

The 'Variance' column refers to those projects which are now complete, but have come in under or over budget and those projects which are no longer required.

	Adjusted Budget £000	Projected Outturn £000	Rephasing £000	Variance	
				£000	%
Finance & Resources	3,891	2,749	100	(1,242)	-31.9%
Housing & Community	5,331	5,433	55	47	0.9%
Strategic Planning & Environment	8,584	8,278	68	(374)	-4.4%
G F Total	17,806	16,460	223	(1,569)	-8.8%
HRA Total	36,050	31,380	(2,758)	(1,912)	-5.3%
Grand Total	53,856	47,840	(2,535)	(3,481)	-6.5%

7.2 General Fund Major Variances

As at quarter 1 there is an overall projected underspend of £1.346m on the General Fund capital programme. This is a combination of underspending of £1.569m on planned works off-set by net in-year pressures of £223k – which will be funded by rephasing future year allocations.

The projected underspend of £1.569m is comprised of:

- £385k underspend on Waste and Recycling Service Improvements as wheeled bins were procured more cheaply than expected. Also, expenditure for employees (£110k), equipment (£64k) and marketing and publicity (£45k) relating to the reconfiguration of the Waste Service has been reclassified as revenue. Cabinet will be asked to approve a reduction in the capital programme and capital financing requirement. See section 4 above.
- £1,250k underspend on the Decant works, which following a decision to remain in the Civic Centre will now not go ahead.

- £80k pressure on works at the Old Town Hall due to higher than anticipated tender prices and increased complexity of works. Further pressure is expected due to delays.

The projected rephasing of £223k from future budget allocations include:

- £68k pressure on the multi-story car park at Berkhamstead due to higher than budgeted planning and design costs. The scheme continues to evolve but at this stage completion is expected to be within the overall budget allocation.
- £125k pressure on Enterprise Licence Agreements due to a change in licensing arrangements to be funded from future years budget.

7.3 Housing Revenue Account Major Variances

There is a projected underspend on the HRA capital program of £1.911m. This includes:

- £1m underspend on Planned Fixed Expenditure as discussed above (point 6.4). Cabinet will be asked to approve a reduction in the Capital Programme and capital financing requirement.
- £912k underspend relating to Strategic Acquisitions: The budget allocation for the transfer of the Point between the General Fund and HRA is no longer required as provision for this transaction will be made in the financing of the capital program.

There is projected slippage of £2.758m into 2015/16 due to delays on the New Build scheme at London Road. Construction works have been delayed due to difficulties relocating the substation during the initial phase of the scheme. Works are due to commence in September.

APPENDIX B



AGENDA ITEM: 11

SUMMARY

Report for:	Finance & Resources Overview & Scrutiny Committee
Date of meeting:	3 September 2014
PART:	1
If Part II, reason:	

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 Officers:</p> <p>Steve Baker – Assistant Director</p> <p>Ben Hosier – Group Manager (Procurement)</p> <p>Mark Housden - Commercial Contracts Lead Officer</p>
Purpose of report:	To update Members on progress with the Customer Service Centre and Gateway project.
Recommendations	That Members note progress and comment on the Customer Service Centre and Gateway project.
Corporate objectives:	Supporting the ‘Dacorum Delivers’ strategic change programme
Implications:	<p><u>Financial:</u></p> <p>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>'Value For Money Implications'</p>	<p><u>Value for Money:</u></p> <p>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>
<p>Risk Implications</p>	<p>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.</p>
<p>Equalities Implications</p>	<p>Equality Impact Assessment carried out This was included in the report to Cabinet on 26th March 2013. Further impact assessments will be required to assess the impact of the Customer Relationship Management and Channel Shift projects.</p>
<p>Health And Safety Implications</p>	<p>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.</p>
<p>Consultees:</p>	<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>
<p>Background papers:</p>	<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

<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>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>
<p>Glossary of acronyms and any other abbreviations used in this report:</p>	<p>CSCG - Customer Service Centre and Gateway</p> <p>CSU - Customer Service Unit</p> <p>ITT - Invitation to Tender</p> <p>CRM - Customer Relationship Management System</p> <p>OLA - Operating Level Agreements</p> <p>PMF - Performance Management Framework</p>

1. Background

- 1.1. 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.
- 1.2. This report provides an update on the performance of the contract.

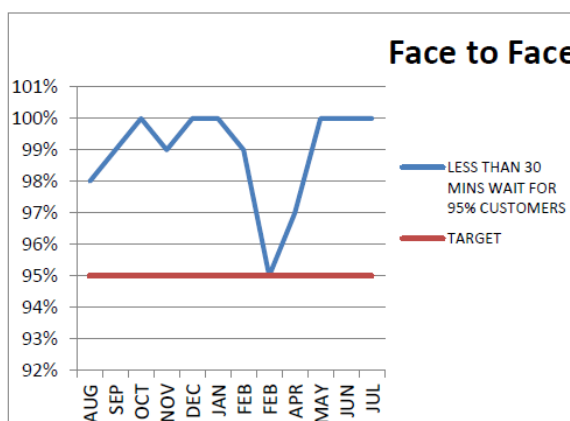
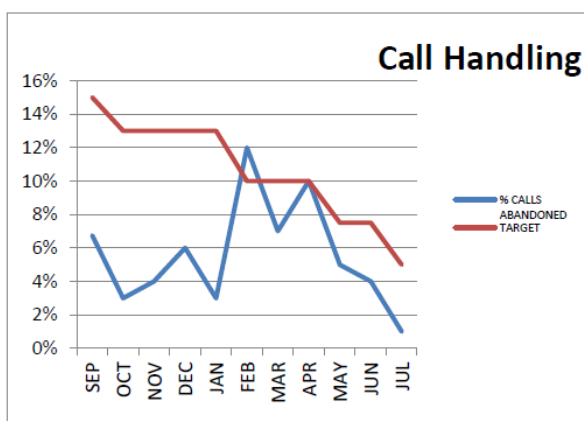
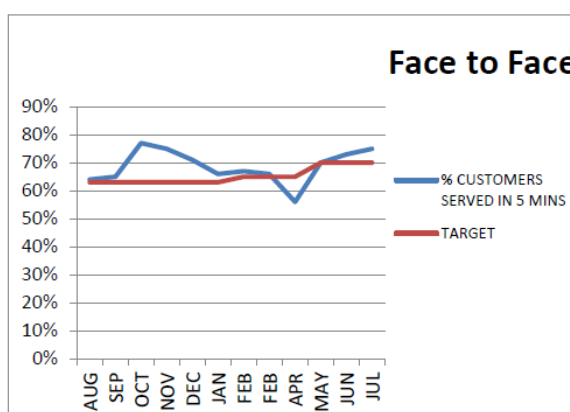
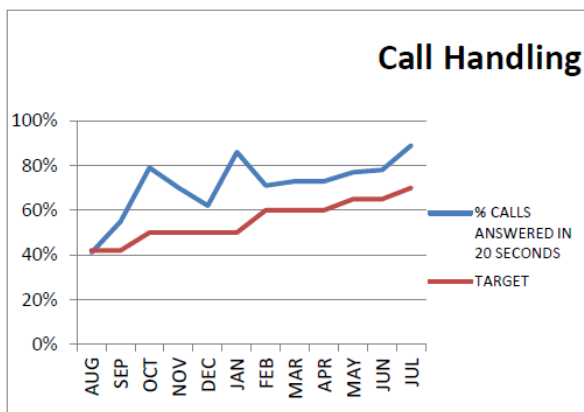
2. Financial monitoring

- 2.1. Not included in this report.

3. Performance monitoring

- 3.1. The Commercial Contracts Lead Officer manages the contract on a day to day operational basis with a focus on client side monitoring, assessment and management of the contract.
- 3.2. 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.
- 3.3. In addition a quarterly Customer Service Unit (CSU) Strategic Board is held to oversee progress and support the Operations Board.
- 3.4. The KPI results for the contract are shown in the tables below and shows continued performance during June and July.

CALL HANDLING	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL
% CALLS ABANDONED	14%	7%	3%	4%	6%	3%	12%	7%	10%	5%	4%	1%
TARGET	15%	15%	13%	13%	13%	13%	10%	10%	10%	7.5%	7.5%	5.0%
% CALLS ANSWERED IN 20 SECONDS	41%	55%	79%	70%	62%	86%	71%	73%	73%	77%	78%	89%
TARGET	42%	42%	50%	50%	50%	50%	60%	60%	60%	65%	65%	70%
OPENING HOURS ACTUAL	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
OPENING HOURS TARGET	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
FACE TO FACE	AUG	SEP	OCT	NOV	DEC	JAN	FEB	FEB	APR	MAY	JUN	JUL
% CUSTOMERS SERVED IN 5 MINS	64%	65%	77%	75%	71%	66%	67%	66%	56%	70%	73%	75%
TARGET	63%	63%	63%	63%	63%	63%	65%	65%	70%	70%	70%	70%
LESS THAN 30 MINS WAIT FOR 95% CUSTOMERS	98%	99%	100%	99%	100%	100%	99%	95%	97%	100%	100%	100%
TARGET	95%	95%	95%	95%	95%	95%	95%	95%	95%	95%	95%	95%
OPENING HOURS ACTUAL	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
OPENING HOURS TARGET	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%



3.5. One of the KPIs within the contract is face to face waiting times. There are two indicators:

- Average wait time: The current target was increased from 65% in February 2014 and to 70% in May. Northgate have reported that this target is difficult to achieve pulling resources from the team answering telephone calls. However the target has been met and exceeded during July.
- Longest wait time: the current target is that no more than 5% of customers have to wait longer than 30 minutes to be seen. This indicator exists to ensure that where increased volumes of customers come into the Council, the contractor commits additional resources to reduce the impact on waiting times. The indicator remains at 95% throughout the transition period and beyond.

3.6. The KPIs within the contract for telephony increased from 65% to 70% answered within 20 seconds, and calls abandoned reduced from 7.5% to 5%. These were met during July

3.7. The contract allows for the Council to alter targets to drive improved performance over time. The first stage for reviewing the operation of the targets is at the end of the transition phase in July 2014. Discussions regarding the altering the KPIs is ongoing with a view to introduce more relevant measures of performance

3.8. Other performance monitoring information is available under the terms of the contract but it is for monitoring purposes only. Data for July 2014 is shown in the table below

Non-KPI Data, July 2014

Average wait time	1 minutes 8 seconds
Longest wait time	34 minutes 41 seconds
Average call length	2 minutes, 53 seconds
Enquiries resolved at first point of contact	96%
Staff utilisation	73%

4. Factors affecting performance

- 4.1. The actions taken following the extraordinary meeting of the CSU Strategic Board held on the 15th May 2014 have brought stability to the service and the numbers of complaints have reduced significantly. The actions taken included taking on additional staff and reviewing the existing Inform360 scripts.
- 4.2. The Housing repair calls were successfully transferred to Osborne Property Services at the beginning of July.
- 4.3. Implementation of CRM system has been on hold awaiting PSN accreditation. This was achieved during June. The system is now ready and is now awaiting final connectivity between systems to be completed. It is now anticipated that this will be achieved mid-August and staff will be using CRM from September.
- 4.4. The replacement of Braxtel took place in early June and this is now providing real-time management information to support day to day decisions on resource flexing between face to face and telephony. It is also now providing information to support reviews of calls being handled to identify problems.
- 4.5. The reception area and Face to Face Layout is under review to identify possibilities and costs to improve the customer experience including flow, layout, payment and self-service zones and express service along with improved signage and to use the opportunity of weekend availability following the decision to accommodate the library service at the civic centre.

5. The key service developments during June and July were as follows:

- Q-Matic system has been installed allowing customers to have visibility of queues.
- Netcall telephony queues now shown on large screens in call centre allowing all staff to see current status and calls waiting.
- Customer insight activity to review /position channel access strategies continues
- Analysis of use of Berkhamsted, Tring and Civic Centre continues
- Action plan agreed with Environment to handle communications regarding the new waste bin distribution and operation.
- Active engagement with the Customer Focus group has helped identify a number of causes of avoidable contact and areas where Inform360 scripts and Website enhancements can be made.
- Web recommendation report issued by Northgate.

6. Service Improvement Plan

6.1. 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, including Citizen Insight.
- Channel shift from face-to-face and call contact to web-based interaction where this improves access to services and promotes efficiency.

CRM

6.2. The Customer Relationship Management System was due to be introduced during November but a variety of technical issues have delayed implementation. These relate to ICT matters primarily concerning the suitability of firewall arrangements. The Firewall is now implemented and IT / Northgate are working to test and ensure connectivity between systems. It is anticipated that CSU staff will start using the system in September.

6.3. The CRM system operates by drawing information from back office systems into one system to provide a 'single view of the customer'. This means that when customers contact the council all their details and transactions can be accessed quickly and easily by CSU staff. The impact of the delays in CRM is minimal as staff continue to have access to back office systems with which they are familiar. The CRM system will bring benefits over time in terms of:

- improving the quality of interactions with customers
- reducing training for new staff who will only have to view one system which brings in data from back office systems.

6.4. However, the introduction of CRM is a key item within the agreed Service Improvement Plan and we will continue to monitor progress to ensure that the Council realises the full benefits of the contract once the system goes live.

Channel shift

6.5. This has been a significant area of activity for some time and has led to a number of outputs to date that are designed to increase the extent that services are shaped around customers' needs and to increase access to services through increased use of the Council's website and other media:

- Web and Customer Access Strategy, updated edition agreed May 2014
- Re-launch of the website in April 2013
- The Customer Promise published in June 2013 and reproduced at: <http://www.dacorum.gov.uk/home/customer-promise>
- The inclusion in the CSCG contract with Northgate of Customer Relationship Management and Citizen Insight projects
- The development of a database of indicators of wellbeing and the Evidence Based Decision Making project
- The Digital Inclusion project
- Two-day leadership team development programme with customer focus as the central theme
- The development of a Customer Focus Group to review activities within Dacorum to ensure changes are implemented to support channel shift

6.6. Each component of this shift to digital access has to date been managed separately. The inclusion of related projects within the Northgate contract was designed to move things forward through a partnership approach. However, the contract has limited objectives which relate to the impact of CRM and Channel Shift on the function of the Customer Services Centre rather than on the Council as a whole

6.7. A wider need has been recognised to engage all services and functions in the pursuit of increased customer focus. Therefore it is necessary to bring all of these strands together in a co-ordinated way and to establish the Customer Focus theme as central to departmental strategies and operational plans.

6.8. A cross organisation Customer Focus project has been established to gain customer perspectives on service delivery and to deliver internal changes in support of channel shift and to reduce failure demand.

7. Risk management

7.1. 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 at the July Operational Board meeting.

CSCG issues and actions as at July 2014

Issue	Action taken
SLA	Discussion over service levels is still taking place. An IT SLA has been issued and is under discussion between Northgate and IT prior to sign off.
CRM	Go Live will take place on 13 th August within CSU. DBC IT have been working with Northgate to implement the necessary changes. Revs and Bens are also assisting with data load validation in the run up to go live

8. Conclusion

8.1. This report reflects a period of calm and where the service delivery has improved.

8.2. Points of failure are being identified and addressed both by Northgate and within Dacorum through the Customer Focus project.

12. 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 items 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 these items there would be disclosure to them of exempt information relating to:

Finance and Resources Overview and Scrutiny Committee Work Programme 2014/15

Date:	Report Deadline	Items:	Type:	Contact details:	Background information	Outcome of Discussion
7th Oct 2014	23rd September 2014	Shared and Outsourced Update Report – Customer Service Centre and Gateway	SC	S Flynn, Assistant Director – Project Governance (Residents & Regulatory Services – PH – N Harden)		
		Action Points from previous meetings	SC	All Members to discuss		
5th November 2014	21st October 2014	Q2 Risk Management Report 2014/2015	PM	L Dargue, Insurance & Risk Manager		
		Q2 Performance & Operational Risk Register Reports	PM	S Baker, Assistant Director – Chief Executive’s Unit (MO) S Flynn, Assistant Director – Project Governance – Residents & Regulatory Services – PH – N Harden) J Deane, Assistant Director, Finance & Resources – PH – N Tiley		
		Q2 Forecast Financial Outturn Report 2014/15	PM	R Baker, Group Manager, Financial Services		

		Action Points from previous meetings	SC	All Members to discuss		
		Shared and Outsourced Update Report – Customer Service Centre and Gateway	SC	S Flynn, Assistant Director – Project Governance (Residents & Regulatory Services – PH – N Harden)		
		Community Infrastructure Levy	PD	H Overhead, Assistant Team Leader – Strategic Planning and Regeneration J Doe, Assistant Director Planning, Development & Regeneration (PH – A Williams)		
10th Dec 2014 (Joint OSC)	28th November 2014	Budget 2015-16 <i>Ideally no further items to be added</i>		M Hone, Corporate Director Finance & Operation		
		Action Points from previous meetings	SC	All Members to discuss		
6th Jan 2015	11th Dec 2014	Action Points from previous meetings	SC	All Members to discuss		
		Shared and Outsourced Update Report – Customer Service Centre and Gateway	SC	S Flynn, Assistant Director – Project Governance (Residents & Regulatory Services – PH – N Harden)		

4th Feb 2015 (Joint OSC)	22nd Jan 2015	Budget 2015 -16 <i>Ideally no further items to be added</i>	SC	M Hone, Corporate Director Finance & Operation		
		Action Points from previous meetings	SC	All Members to discuss		
3rd March 2015	12th Feb 2015	Action Points from previous meetings	SC	All Members to discuss		
		Q3 Performance & Operational Risk Register Reports	PM	S Baker, Assistant Director – Chief Executive’s Unit (MO) S Flynn, Assistant Director – Project Governance – Residents & Regulatory Services – PH – N Harden) J Deane, Assistant Director, Finance & Resources – PH – N Tiley		
		Q3 Risk Management Report 2014/2015	PM	L Dargue, Insurance & Risk Manager		
		Q3 Forecast Financial Outturn Report 2014/15	PM	R Baker, Group Manager, Financial Services		
		Shared and Outsourced Update Report – Customer Service Centre and Gateway	SC	S Flynn, Assistant Director – Project Governance (Residents & Regulatory Services – PH – N Harden)		