



Public Document Pack

FINANCE AND RESOURCES OVERVIEW AND SCRUTINY 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.

TUESDAY 7 NOVEMBER 2017 AT 7.30 PM

CONFERENCE ROOM 2 - THE FORUM

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.

Membership

Councillor Howard	Councillor Silwal
Councillor Herbert Chapman (Chair)	Councillor Taylor
Councillor Douris (Vice-Chairman)	Councillor Tindall
Councillor Clark	Councillor Gbola Adeleke
Councillor E Collins	Councillor Armytage
Councillor Fethney	Councillor McLean

Substitute Members:

Councillors Anderson, Brown, Guest, Link, Matthews, Ransley, W Wyatt-Lowe and England

For further information, please contact member.support@dacorum.gov.uk

AGENDA

- 1. MINUTES**
To confirm the minutes from the previous meeting
- 2. APOLOGIES FOR ABSENCE**
To receive any apologies for absence
- 3. DECLARATIONS OF INTEREST**

To receive any declarations of interest

A member with a disclosable pecuniary interest or a personal 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, if the interest is a disclosable pecuniary interest, or a personal interest which is also prejudicial

- (ii) may not participate in any discussion or vote on the matter (and must withdraw to the public seating area) unless they have been granted a dispensation.

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

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

[If a member is in any doubt as to whether they have an interest which should be declared they should seek the advice of the Monitoring Officer before the start of the meeting]

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

6. ACTION POINTS FROM THE PREVIOUS MEETING

To follow.

7. BUDGET MONITORING QUARTER 2 (Pages 3 - 12)

8. Q2 PERFORMANCE REPORT - FINANCE & RESOURCES (Pages 13 - 49)

9. Q2 PERFORMANCE REPORT - LEGAL GOVERNANCE & DEMOCRATIC SERVICES (Pages 50 - 58)

To Follow.

10. Q2 PERFORMANCE REPORT - PERFORMANCE, PEOPLE & INNOVATION (Pages 59 - 77)

11. WORK PROGRAMME (Pages 78 - 80)



AGENDA ITEM: SUMMARY

Report for:	Finance and Resources Overview and Scrutiny Committee
Date of meeting:	7 November 2017
PART:	1
If Part II, reason:	

Title of report:	Budget Monitoring Quarter 2 2017/18
Contact:	Cllr Graeme Elliot, Portfolio Holder for Finance and Resources David Skinner, Assistant Director (Finance & Resources) Caroline Souto, Team Leader Financial Planning & Analysis
Purpose of report:	To provide details of the projected outturn for 2017/18 as at Quarter 2 for the: <ul style="list-style-type: none"> • General Fund • Housing Revenue Account • Capital Programme
Recommendations	That Committee note the forecast outturn position.
Corporate objectives:	Delivering an efficient and modern council
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.
Glossary of acronyms and any other abbreviations used in this report:	GF – General Fund HRA – Housing Revenue Account

1. Executive Summary

- 1.1 Projected General Fund revenue outturn - a surplus of £196k is forecast on the General Fund revenue account. This includes £400k of ongoing savings identified at outturn 2016/17, which have been factored into base budgets going forward.
- 1.2 Projected Housing Revenue Account outturn – a deficit of £431k is forecast. This deficit will need to be met from earmarked reserves.
- 1.3 Projected Capital forecast General Fund – slippage of 1.5%.
- 1.4 Projected Capital forecast HRA – slippage of 1.8%.
- 1.5 The report pack contains the following documents:
 - Appendix A – General Fund Summary Spreadsheet
 - Appendix B – HRA Summary Spreadsheet
 - Appendix C – Capital Programme

2. Introduction

- 2.1 The purpose of this report is to present the Council’s forecast outturn for 2017/18 as at 30 September 2017. The report covers the following budgets:
 - General Fund
 - Housing Revenue Account (HRA)
 - Capital Programme

3. General Fund Revenue Account

- 3.1 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).
- 3.2 The current budget is the original budget approved by Cabinet in February 2017, plus the following approved amendments:

Amendments	£000	Approved
2017/18 Original budget - cost of services	20,968	
Funding to support creation of Development Company	200	Council July 2017
Legal costs Regulatory Services	95	Council September 2017
Brownfield Register employees costs	60	Council September 2017
Increased budget recharged to HRA	44	Council September 2017
2017/18 Current Budget - cost of services	21,367	

3.3 Appendix A provides an overview of the General Fund provisional outturn position.

3.4 Variances on corporate items

The forecast for Investment Income is showing a deficit of £115k. This is due to the reduction in the Bank of England base rate during 2016/17. This has been amended for future years in the Medium Term Financial Strategy presented to Cabinet in July 2017.

The forecast for grant income is showing a surplus of £105k due to additional new burdens grants which have been received. Included in this is £70k of funding relating to the revenues and benefits service, and an adjustment of £7k to prior year new homes bonus.

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

	Current Budget £000	Forecast Outturn £000	Variance	
			£000	%
Finance & Resources	11,470	11,433	(37)	-0.3%
Housing & Community	1,744	1,650	(94)	-5.4%
Strategic Planning & Environment	8,153	8,276	123	1.5%
Total	21,367	21,359	(8)	0.0%
Investment Property	(3,736)	(3,798)	(62)	1.7%
Non-controllable budgets	(16,651)	(16,662)	(11)	0.1%
Earmarked Reserve movements	(981)	(1,095)	(114)	11.6%
Contribution (to)/from General Fund Working Balance	(1)	(196)	(195)	

3.6 The following sections provide an analysis of the projected outturn and major budget variances shown by Scrutiny area.

4. Finance and Resources

Finance & Resources	Current	Forecast	Variance	
	Budget £000	Outturn £000	£000	%
Employees	10,035	9,950	(85)	(0.8%)
Premises	2,041	2,048	7	0.3%
Transport	215	219	4	1.9%
Supplies & Services	3,992	4,166	174	4.4%
Third-Parties	533	546	13	2.4%
Transfer Payments	47,144	47,144	0	0.0%
Income	(4,906)	(5,056)	(150)	3.1%
Other Income	(47,584)	(47,584)	0	0.0%
	11,470	11,433	(37)	(0.3%)

4.1 Supplies & Services - £174k over budget (4.4%)

Pressure of £125k – Overall the budgeted savings in the Parking service are being achieved, however on the Supplies and Services line there is a pressure on the budget for the Parking Enforcement contract. Savings have been found in other areas within the Parking service, such as employees costs (£30k), and a surplus on parking income (see 4.2).

Pressure of £39k – A pressure is forecast in the Parking service for 2 new controlled parking zones. This will be funded from the earmarked reserve for on-street car parking, in accordance with its terms of use. A drawdown from the reserve will be requested in the budget monitoring report to Cabinet 28 November 2017.

4.2 Income £150k over-achievement of income (3.1%)

Over-achievement of income of £125k – Parking income is forecast to exceed budget by £125k. This is in line with the over-achievement in income realised last financial year, and is due to increased income from Council owned car parks and from on-street parking.

4.3 Investment Property - £62k net over-achievement of income (1.7%)

A surplus of income from Investment Property was realised in financial year 2016/17 as a result of turnover based rents on specific sites (£70k) and service charges (£30k) following efficiencies in the methodology for billing tenants. These are ongoing surpluses which can be factored into the base budgets going forward.

5. Strategic Planning and Environment

Strategic Planning and Environment	Current Budget £000	Forecast Outturn £000	Variance	
			£000	%
Employees	9,322	9,424	102	1.1%
Premises	991	1,030	39	3.9%
Transport	1,288	1,265	(23)	(1.8%)
Supplies & Services	1,987	2,170	183	9.2%
Third-Parties	80	80	0	0.0%
Income	(5,515)	(5,693)	(178)	(3.2%)
	8,153	8,276	123	1.5%

5.1 Employees - £102k over budget (1.1%)

Pressure of £120k – There is a pressure of £120k in the budgets for Employee costs in Building Control and Planning, due to ongoing recruitment issues. Vacant posts are being covered by agency staff, who are more expensive than the Council's own staff. Trainees have been recruited in Building Control to try to address recruitment issues, however there is still a need for agency staff in the medium term.

Pressure of £44k – A pressure has arisen in the Health and Safety service due to additional staffing requirements to ensure compliance. A proposal to fund this from earmarked reserves will be put forward in the November Cabinet.

5.2 Supplies & Services - £183k over budget (9.2%)

Pressure of £75k – A pressure of £75k has arisen in Strategic Planning and Regeneration from initial feasibility work on the proposed conversion of The Bury into a museum. Feasibility costs cannot be treated as capital expenditure in the evaluation stage of a project, and these costs have been treated as revenue expenditure accordingly.

Pressure of £31k – A pressure has arisen in the Health and Safety service from current compliance work taking place. A proposal to fund this from reserves will be taken to the November Cabinet.

Pressure of £30k – A budget of £100k funded from reserves for digitalisation of planning microfiche data, was approved in financial year 2016/17. Some of this expenditure has been incurred in 2017/18, which will be met from the approved reserve in this financial year.

5.3 Income - £178k over-achievement of budget (3.2%)

Overachievement of income £150k - An additional £150k of income is forecast in the Planning Service from a high volume of planning applications. During the first half of 2016/17 following uncertainty in the housing market after the EU referendum, a decline in planning income was forecast. A reduction of £50k in the base budget was therefore factored into budget 2017/18. Current trends

indicate that this was a temporary dip in the market rather than an ongoing one. It is proposed that this £50k reduction be removed from the base budget going forward.

Over-achievement of income £130k - An additional £100k of income is forecast as a result of incentive payments from Hertfordshire County Council (HCC), to reward Dacorum for improvements in the rate of recycling. This is under the Alternative Financial Model (AFM) methodology. Although the AFM has been reviewed and the overall size of the fund has decreased, the share to Dacorum remains above the budgeted amount. In addition, a surplus of £30k is forecast in recycling credits, following improved co-mingled and green waste tonnages. These increases in income will be factored into the base budget going forward.

Under-achievement of income of £90k – An under-achievement of £90k is expected in the Commercial Waste income budget. The overall budget for income is £1.07m, however an income stream of £980k is now expected. The decrease is due to a number of customers choosing other waste providers for commercial reasons.

Measures have been taken to review and optimise the round structure to ensure that collection is taking place in the most effective way, and the service as a whole is expected to contribute a net surplus of circa £100k.

6. Housing and Community

Housing & Community	Current Budget	Forecast Outturn	Variance	
	£000	£000	£000	%
Employees	3,164	3,271	107	3.4%
Premises	789	815	26	3.3%
Transport	17	14	(3)	(17.6%)
Supplies & Services	1,865	1,880	15	0.8%
Third Parties	245	245	0	0.0%
Transfer Payments	5	5	0	0.0%
Income	(4,341)	(4,580)	(239)	5.5%
	1,744	1,650	(94)	(5.4%)

6.1 Employees - £107k over budget (3.4%)

Pressure of £50k – A pressure has arisen in Strategic Housing due to a member of staff being seconded to The Elms homeless hostel. This is being recovered with no overall cost to the Council as set out below.

6.2 Income - £239k over-achievement of budget (5.5%)

Over-achievement of income £120k - An additional £120k of income is forecast from Temporary Accommodation due to ongoing increases in demand. This follows a surplus achieved last financial year from Council owned properties managed by commercial assets, which are being used to maximise occupancy

and to minimise expensive bed and breakfast provision for Housing. This increase will be factored into the base budget going forward.

Overachievement of £50k – Salary costs of a member of staff seconded to The Elms hostel are being recovered as set out above.

7. Housing Revenue Account (HRA)

7.1 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.

7.2 The projected HRA balance at the end of 2017/18 is £431k under the budgeted balance of £2.9m, at £2.5m.

7.3 Dwelling Rents - £126k under budget (0.2%)

A pressure is forecast in Dwelling Rents due to properties owned by the General Fund being used for Temporary Accommodation, rather than as budgeted for secured tenancies.

7.4 Tenants' Charges - £100k under budget (18.9%)

A deficit is expected in relation to the newly de-pooled service charges. Detailed calculations for setting rent and de-pooled charges have now been performed, and a shortfall is anticipated.

7.5 Contribution towards Expenditure - £125k overachievement of income (19.1%)

Additional income is being received for legal work carried out, such as issuing a deed of variation and lifting of restrictive covenants. This relates to certain properties in the borough, where there are restrictions over the land owned by the Housing Revenue Account, and charges are made for the lifting of these restrictions.

7.6 Supervision and Management - £254k over budget (0.9%)

A pressure of £425k is forecast on the Osborne pension liability, following the triennial pensions review. This is as a result of changes to pension regulations to consolidate bonus payments into pensionable pay.

A pressure of £100k is forecast for anticipated feasibility works on the new build programme. This is essential preparatory work in order to identify viable new build sites.

A pressure of £90k is forecast in the Tenants and Leaseholders service in two particular areas: firstly legal costs are higher than anticipated due to a high volume of legal cases; in addition bank charges have exceeded the budgeted position due to the council's provider changing their charging mechanism for debit cards from a flat fee to a percentage basis.

A saving of £140k is expected in premises expenditure in Supported Housing, on building repairs, maintenance and utilities for Elderly Persons' Dwellings. This is in line with a surplus reported in this area for the previous financial year.

Underspends are anticipated in salaries due to vacancies within the Property and Place service (£100k), in the Supporting People service (£100k) and also in the Housing Cleaning service (£40k).

7.7 Transfer to Housing Reserves - £431k under budget

The overall variance on the HRA is currently forecast to reduce balances by £431k. This will need to be funded from HRA earmarked reserves.

8. Capital Programme

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

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

The current budget is the original budget approved by Cabinet in February 2017, plus approved amendments, including re-phasing of the slippage identified at Quarter 1 into 2018/19.

The 'Rephasing' column refers to those projects where expenditure is still expected to be incurred, but it will now be in 2018/19 rather than 2017/18, or conversely, where expenditure planned initially for 2018/19 will now be in 2017/18.

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.

	Current Budget £000	Projected Outturn £000	Rephasing £000	Variance	
				£000	%
Finance & Resources	4,324	3,683	(70)	(571)	-13.2%
Strategic Planning & Environment	4,159	4,108	(20)	(31)	-0.7%
Housing & Community	647	3,181	(44)	2,578	398.5%
G F Total	9,130	10,972	(134)	1,976	21.6%
HRA Total	34,028	33,311	(603)	(114)	-0.3%
Grand Total	43,158	44,283	(737)	1,862	4.3%

8.2 General Fund Major Variances

There is an overall increase in projected spend of £1.84m on the General Fund. This is a combination of forecast overspend of £1.98m, and slippage of £0.13m into 2018/19.

The projected net overspend of £1.98m includes:

- Line 46: underspend of £630k on the Demolition of the Civic Centre. The tender for demolition of the Council's former offices was awarded in September 2017, and as per the current estimates, a budget underspend is expected.
- Line 122: Affordable Housing Development fund. A grant of £2.57m has been made to Hightown Praetorian and Churches Housing Association to contribute towards the provision of affordable homes in the borough. This is to be funded from receipts from the sale of council houses under the Right to Buy policy, known as "One for One" receipts. A supplementary budget funded from One for One receipts will be requested in the Quarter 2 Budget Monitoring report to Cabinet.

8.3 HRA Major Variances

There is an underspend on the HRA capital programme of £0.7m.

- Line 181: slippage of £400k Planned Fixed Expenditure (DBC Commissioned Capital Works). This is due to the re-profiling of budget priorities in year to safeguard ongoing compliance works following the Grenfell Tower tragedy.
- Line 187: overspend of £135k on Aspen Court. A further payment to the contractor is due in 2017/18 and additional work to improve security has been carried out.
- Line 190: accelerated spend of £1.2m on Wood House. As part of the re-phasing of the budget which took place at Q1, £2.4m was re-profiled into 2018/19. The latest forecasts indicate that £1.2m will in fact be required in 2017/18.
- Line 191: slippage of £1.1m on Stationers Place. Although budget of £2.7m was re-profiled into 2018/19 at Q1, a further £1.1m is now expected to be incurred later than expected. This is due to ongoing issues which are being worked through, concerning existing utilities, bore holes, culvert repairs, aquifer layers, foul drainage connections and rights of way.
- Line 193: underspend of £250k on Able House. The scheme has been delivered within the overall project budget as the full contingency sum was not required.
- Line 195: slippage of £331k on Swing Gate Lane. £450k, which was earmarked for the conversion part of the project, was re-profiled into 2018/19 as part of the re-phasing which took place at Q1. A further £331k is now forecast to slip into 2018/19. This is due to additional time taken to mobilise the ground works due to planning requirements.



Dacorum Borough Council
Revenue Budget Monitoring Report for September 2017 by Scrutiny Committee

APPENDIX A

	Month			Year-to-Date			Full Year		
	Budget £000	Actuals £000	Variance £000	Budget £000	Actuals £000	Variance £000	Budget £000	Forecast Outturn £000	Variance £000
Cost of Services									
Finance and Resources	662	505	(157)	6,233	5,755	(478)	11,470	11,433	(37)
Housing and Community	102	174	72	876	154	(722)	1,744	1,650	(94)
Strategic Planning and Environment	227	491	264	4,147	4,166	19	8,153	8,276	123
Net Cost of Services	991	1,170	179	11,256	10,075	(1,181)	21,367	21,359	(8)
Other Items									
Investment Property	25	(39)	(64)	(2,763)	(2,786)	(23)	(3,736)	(3,798)	(62)
Investment Income	(20)	(45)	(25)	(118)	(101)	17	(236)	(121)	115
Interest Payments and MRP	80	0	(80)	478	0	(478)	956	956	0
Parish Precept Payments	0	0	0	739	739	0	739	739	0
Government Grants	(277)	(184)	93	(1,665)	(2,406)	(741)	(3,330)	(3,435)	(105)
Revenue Contribution to Capital	0	0	0	0	0	0	3,124	3,124	0
Taxation (Council Tax and Business Rates)	(1,161)	(3,629)	(2,468)	(6,968)	(4,195)	2,773	(13,937)	(13,937)	0
Surplus / Deficit on Provision of Services	(1,353)	(3,897)	(2,544)	(10,297)	(8,749)	1,548	(16,420)	(16,472)	(52)
Transfers between Reserves / Funds									
Net Recharge to the HRA	(39)	(38)	1	(234)	180	414	(3,967)	(3,988)	(21)
Contribution To / (From) Earmarked Reserves	(74)	0	74	(443)	3	446	(981)	(1,095)	(114)
Net Movement on General Fund Working Balance	(475)	(2,765)	(2,290)	282	1,509	1,227	(1)	(196)	(195)

Interpreting this report

Net Cost of Services

This subtotal includes those costs which are directly attributable to specific Council services, excluding recharges and capital items.

Other Items

This subtotal shows corporate costs and income, including grants from central government and taxation.

Transfers between Reserves / Funds

This section shows funding from reserves and from the recharge to the HRA.

Net Movement on General Fund Working Balance

This line shows the increase or decrease to the General Fund working balance

OPERATIONAL RISK REGISTER

September 2017



Finance & Resources - David Skinner

FR_CPC01 Failure to comply with procurement legislation and internal controls

Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: David Skinner	Portfolio Holder: Graeme Elliot	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	
<ul style="list-style-type: none"> The Council would face an increased risk of legal challenge from unsuccessful bidders Contracts could be set aside by the courts The Council could face financial penalties under the Remedies Directive The delivery of contracts could be delayed Lack of a robust and transparent procurement process Unable to demonstrate value for money All of the above would result in damaging the Council's reputation 		<ul style="list-style-type: none"> The Commissioning & Procurement Standing Orders (CPSO's) have been re-written to complement the Public Contract Regulations 2015. The CPSO's have been written to simplify the processes for officers to follow. All OJEU tenders must be supported by an officer of the Commissioning & Procurement team. All procurement officers that manage the OJEU tenders are professionally qualified. 		<ul style="list-style-type: none"> The CPSO's are regularly updated following any policy notes or guidance as issued by Crown Commercial Services Awareness training on the CPSO's is offered to all GM's and their teams. Procurement officers keep abreast of changes in legislation and best practice within the industry. Internal audit have completed a draft report on Contract management that is still in discussions between officers and the internal auditors. The internal audit report has been finalised and provided a full and substantial level of assurance on contract management. 	

Sign Off and Comments

Sign Off Complete

The work of the team in scrutinising contracts and ensuring compliance with legislation is reflected in positive assurance from Internal audit as previously reported to the audit committee. The team are currently working on a number of high value contracts i.e. the Multi Storey Car Park, Car Parking Enforcement and the Leisure review and their assurance work is critical to delivering compliant contract awards.

Agenda Item 8

OPERATIONAL RISK REGISTER

September 2017



FR_CPC02 Continued Non-Authorised procurement expenditure					
Category: Reputational	Corporate Priority: Dacorum Delivers		Risk Owner: David Skinner	Portfolio Holder: Graeme Elliot	Tolerance: Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
4 Very Likely	2 Medium	8 Amber	1 Very Unlikely	3 High	3 Green
Consequences		Current Controls		Assurance	
<ul style="list-style-type: none"> • This expenditure may result in the Council being in breach of procurement legislation • This increases the risk of legal challenge and the Council could face penalties under the Remedies Directive • Lack of a robust procurement process may increase the risk of fraudulent activity • Potential for non-compliance with relevant legislation such as H&S • Poor financial management • All of the above would result in damaging the Council's reputation 		<ul style="list-style-type: none"> • The CPSO's have been re-written to complement the Council's Financial Regulations with regards to officer authorisation levels. • The CPSO's clearly define the processes that must be followed by officers when procuring goods, services and works. • Contracts have been set up for corporate requirements. 		<ul style="list-style-type: none"> • Working with colleagues in finance to implement a 'No PO No Pay' policy. • Working with colleagues in finance to roll out the 'Electronic Purchasing Card'. • Awareness training on the CPSO's is offered to all GM's and their teams. 	
Sign Off and Comments					
<p>Sign Off Complete</p> <p>The continued success of "No PO No Pay" is continuing with improved compliance levels. The percentage of trade creditor invoices being paid within 30 days has reduced slightly to 95.5% from 97.6% in quarter 1. This performance is consistent with the same point last year and reflects the vacancies, leave and sickness levels over the summer period.</p>					

OPERATIONAL RISK REGISTER

September 2017



FR_F02 Delays to Capital programme					
Category: Financial	Corporate Priority: Dacorum Delivers	Risk Owner: David Skinner	Portfolio Holder: Graeme Elliot	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 Council will be negatively affected which will have consequences for wider financial decision-making.</p> <p>Not delivering major projects within the timeframe to which it has committed itself exposes the Council to</p>		<p>The controls that have been implemented to mitigate this risk target the robustness of capital bids both at the time they are submitted and throughout the delivery phase of the projects.</p> <p>In particular, scrutiny is focussed on those elements of the capital bid that experience indicates are the primary cause of delays to capital projects. These include</p> <ul style="list-style-type: none"> • How robust are the assumptions on the estimated duration of the procurement exercise? • How realistic is the estimated time taken for contractors to deliver the works? • How realistic are the assumptions on officer availability to manage the project on time? <p>The rationale behind this approach is that an increased culture of challenge will lead to more realistic programming of future capital projects, and therefore a reduced likelihood of slippage.</p> <p>The following controls are in place with a view to</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> <p>As at the end of Quarter 2 2014/15 (the mid-point of the year), the capital forecast on the General Fund is broadly on budget, with no material slippage reported at this stage. Slippage on the HRA capital programme is forecast to be well below 5%.</p> <p>The budget position as at Quarter 3 was reported to Cabinet in February 2015. The report showed that forecast net slippage on the General Fund Capital Programme was low at around 3%. Forecast slippage on the HRA Capital Programme has, however, increased significantly since the Quarter 2 forecast, at around 25%.</p> <p>The Provisional Outturn was reported to Cabinet in May 2015. The report showed that slippage against the full year budget on the General Fund Capital Programme was around 10%. Outturn on the HRA shows slippage of</p>	

OPERATIONAL RISK REGISTER

September 2017



<p>reputational risk.</p>	<p>developing a culture of scrutiny and challenge for officers to improve the accuracy of future bids:</p> <ul style="list-style-type: none">• Capital Strategy Steering Group (CSSG) comprising senior officers from across the Council required to challenge new bids for robustness ahead of recommendation to Members;• Monthly meetings take place between accountants and budget holders to monitor progress against original timeframes and costs;• Corporate Management Team (CMT) receive a monthly report on the progress of capital projects against anticipated timeframes;• Performance Group comprising Chief Officers and cabinet Members receive a monthly report on the progress of current projects;• 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>around 24%. These are addressed in more detail in the sign-off notes, below.</p> <p>2014/15 Confirmed slippage into 2015/16 was £10.1m or 10% of the total approved capital programme according to the 2014/15 approved accounts.</p> <p>The Provisional Outturn was reported to Cabinet in May 2016. The report showed that slippage against the full year budget on the General Fund Capital Programme was around 28%. Outturn on the HRA shows slippage of around 5%.</p> <p>2015/16 Confirmed slippage into 2016/17 was £8.1m or 28% of the total approved capital programme according to the 2015/16 approved accounts.</p> <p>As at the end of Quarter 2 2016/17(the mid-point of the year), the capital forecast on the General Fund is broadly on budget, with no material slippage reported at this stage. Slippage on the HRA capital programme is forecast to be 8% or c£2m.</p> <p>AS at the end of Quarter 3 the HRA capital programme is on track with no material slippage. The forecast for the General Fund is reporting slippage of 5% (£873k).</p> <p>The Provisional Outturn was reported to May Cabinet. It shows the HRA capital programme is forecasting slippage of 29% (£7,881k). The General Fund is on track reporting slippage of 8.6% (£1,844k)</p>
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		<p>2017/18</p> <p>As at the end of quarter 1 forecast slippage for Capital schemes for the general Fund is 27%. The HRA capital programme is forecasting 22% slippage. Reports to Cabinet for September will re-profile the programme to reflect the latest updated position.</p> <p>As at the end of Quarter 2 slippage for the HRA is forecast to be £717k or 2% of the capital programme. The General Fund is forecast to overspend by c£1.7m or 19%. However if you remove the grant payments to registered providers of c£2.5m then there would be slippage of c£830k or 9%</p>
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Sign Off and Comments

Sign Off Complete

The action plan to rephrase the capital budgets has been actioned and the HRA is now back on track to reflect a more accurate position for monitoring the approved capital budgets. The General Fund will be back within acceptable tolerances following approvals for supplementary capital approvals for the grant payments.

FR_F03 Variances in General Fund revenue budget

Category: Financial	Corporate Priority: Dacorum Delivers	Risk Owner: David Skinner	Portfolio Holder: Graeme Elliot	Tolerance: Treating	
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	
Accurate, well-controlled budgeting relates directly to the achievement of the Dacorum Delivers corporate objective. and indirectly through the financial decision-		The following controls aim to reduce the probability of there being a variance in the General Fund Revenue Budget by ensuring that there is strong challenge put to		The Council's budgetary controls are assessed each year by Internal Audit. In January 2013, the Council received a 'Full' level of assurance.	

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<p>making process, to the achievement of all of the 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>Budget Holders on the robustness of their assumptions, from a range of audiences.</p> <p>It is intended that these controls will increase the opportunity for flawed assumptions to be exposed as soon as possible, as well as inculcating a stronger culture of financial management across the Council leading to continuous improvement in the setting of accurate budgets.</p> <p>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 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>	<p>A further Internal Audit on the Council's budgeting process, undertaken in September 2014, resulted in a 'Substantial' level of assurance. Despite this being a lower mark than the exceptional one achieved in the previous audit, it should be noted that it remains a good result.</p> <p>The recommendations of the Internal Auditor that led to the reduced marking were not systemic in nature, and they do not pose a material threat to the overall control environment of the budget-setting process. Efforts have, however, been redoubled, and the causes of the recommendations have been addressed.</p> <p>An Internal Audit report on the Council's 'Main Accounting' function was presented to Audit Committee in February 2015, in which a 'Full' level of assurance was awarded. This audit covered a range of areas including integrity of transactions, manual adjustments, and year-end procedures. All of these areas contribute to the accuracy of the in-year monitoring reports that the Finance team is able to produce. Consequently, Members can draw assurance from this audit opinion that the chances of this risk crystallising are reduced by the robust financial management procedures the Council has in place.</p> <p>Final confirmed outturn for 2014/15 was within £48k of budget (after contributions to and from reserves) as reported to Audit committee and approved as part of the audited accounts and was consistent with the budget monitoring over the preceding year.</p>
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An Internal Audit report on the Council's 'Budgetary Control' function was presented to Audit Committee in April 2016, in which a 'Full' level of assurance was awarded. This audit covered a range of areas including budget setting; budget upload; budget monitoring and savings realization; budget alterations and virements; and management information. All of these areas contribute to the accuracy of the in-year monitoring reports that the Finance team is able to produce. Consequently, Members can draw assurance from this audit opinion that the chances of this risk crystallising are reduced by the robust financial management procedures the Council has in place.

The 2015/16 audit of Core Financial Systems was also reported to have either Full or Substantial levels of assurance.

Final confirmed outturn for 2015/16 was within 2% of budget (after contributions to and from reserves) as reported to Audit committee and approved as part of the audited accounts and was consistent with the budget monitoring over the preceding year.

Provisional Outturn reported to Cabinet in May 2016 demonstrated that the Council was on target (after contributions to and from reserves). Additional income was included within the outturn reported to Cabinet and meant that additional contributions could be made to reserves.

The 2016/17 Statement of Accounts were approved by Audit Committee on the 20th September and the Council received an unqualified opinion from the auditors on

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the 29th September with no material changes to the accounts presented in June.

Sign Off and Comments

FIN03 is GREEN and is projecting a favourable variance of £70k. There is an additional £125k favourable variance in reserve movements and non-controllable items which means that the quarter position is consistent with both the quarter 1 forecast and the 2016/17 outturn position.

FR_I02 Failure to optimise income generated by commercial assets

Category: Infrastructure	Corporate Priority: Dacorum Delivers	Risk Owner: David Skinner	Portfolio Holder: Graeme Elliot	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	3 High	9 Amber	2 Unlikely	3 High	6 Amber
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>The following controls aim to mitigate the risk of underperformance of the Council's commercial assets by maintaining good communication links between relevant Council services, and by regularly monitoring performance against targets (see KPIs CP01 and CP02) to ensure that underperformance is identified and addressed as quickly as possible. The existence of these controls has led to the 'Inherent Probability' of this risk occurring reducing from a score of 3, which is shown in the Residual Probability (i.e. after controls implemented) being a 1.</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</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> <p>The year-end performance figures for 2014/15 demonstrate an occupation rate of 98.3% against a target of 95%. The level of arrears is at 6.5% against a target of 9.5%.</p> <p>Quarter 1 performance for 2015/16 are above target and demonstrate an occupation rate of 98.66 versus a target of 95%. The level of arrears has increased slightly to 7.3% versus a target of 9%.</p>	

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<p>Page 21</p>	<p>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>Q2 occupation levels are holding up well at 98.49% and arrears are being held within acceptable levels at 8.1%. Q3 occupation levels are marginally down at 97.99% and arrears have improved significantly by 1.7% to 6.4%.</p> <p>Q4 occupation rates have increased slightly to 98.49% and arrears have reduced from 6.45 down to 5%.</p> <p>Q1 occupation rates have reduced slightly to 97.99% versus a target of 95% and arrears have slightly increased to 7.3% versus a target of 8.8%</p> <p>Q2 occupation rates are 97.32% versus a target of 95% and arrears are at 8.1% versus a target of 8.8%. Investment property income is exceeding target and is £324k ahead of the Q2 result for 2015/16.</p> <p>Q3 occupation rates are 97.16% versus a target of 95% and arrears have reduced to 5.3% against a target of 8.8%. Investment property income is slightly ahead of target by 1% (£42k).</p> <p>2016/17 Q4 occupation rates have stabilized at 97.16% versus a target of 95% and arrears have increased slightly to 7.3% against a target of 8.8%. Investment property income is exceeding target by £475k.</p> <p>2017/18 Quarter 1 performance for 2017/18 is above target and demonstrate an occupation rate of 96.99 versus a target of 95%. The level of arrears has increased slightly to 7.94% versus a target of 7.5%.</p>
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		<p>Quarter 2 performance for 2017/18 is above target and demonstrate an occupation rate of 97.99% versus a target of 95%. The level of arrears has increased slightly to 9.33% versus a target of 8.5%.</p>
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Sign Off and Comments

Sign Off Complete

Delivery on both occupation rates and arrears levels continues to be strong but with a slight deterioration in arrears. This is a result of arrears on one significant tenant who historically pays late but does pay. Investment property income is exceeding target by 4% (£114k) as a result of turnover based rents exceeding historic trends and improved methods for the recovery of service charges.

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FR_104 Failure to maintain an effective business continuity plan for all relevant service areas

Category: Infrastructure	Corporate Priority: Safe and Clean Environment	Risk Owner: David Skinner	Portfolio Holder: Graeme Elliot	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		These controls are implemented to ensure that the Council is adequately prepared and able to continue providing key services in the event of an emergency situation. Through this control, the probability of the Council being unable to respond to such an emergency is reduced. - Annual review process.		A CMT emergency planning exercise was conducted in October which all members of the Finance and Resources DMT attended.	

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- Corporate business continuity process and procedures set out in emergency response toolkit.
Sign Off and Comments
<p>Sign Off Complete</p> <p>Departmental business continuity plans have been reviewed to reflect the move to the Forum and will be monitored for on-going changes.</p>

FR_R01 Council Tax and Business Rates collections rates drop below budget					
Category:	Corporate Priority:	Risk Owner:		Portfolio Holder:	Tolerance:
Reputational	Dacorum Delivers	David Skinner		Graeme Elliot	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	
<p>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 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>The following controls aim to identify as quickly as possible if the Council is falling behind on its collection rates target for the year. If a problem is identified, the Council is then able to invoke a range of options to minimise the ongoing negative impact on collection.</p> <p>Profiled monthly collection rates are monitored monthly - see KPIs RBF04 and RBF05. Reasons for variances are then investigated in order to address problems quickly as possible.</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. The direct debit method reduce the risk of under-collection because it eliminates the risk of a paver</p>		<p>The full year Council Tax Collection Rate for 2013/14 (Performance Indicator RBF05) was 97.7% against a budget of 97.5%.</p> <p>The full year Business Rates collection rate in 2014/15(Performance Indicator RBF04) was under budget at 98.1% against a target of 99%.</p> <p>Q1 Council Tax collection rates is 30.2% versus a target of 30.1%</p> <p>Q1 Business Rates collection is 30.2% versus a target of 24.8%</p> <p>Q2 Business rates collection is 52.6% achieved versus a target of 51.5%.</p> <p>Council tax collection is on target at 58%.</p>	

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<p>Page 24</p>	<p>forgetting to make a monthly payment.</p> <p>There is an active programme for taking formal recovery action against non payers.</p>	<p>Q3 Business rates collection is 77.2% and is running at 0.5% ahead of target. Council tax collection is at 86.2% which is 0.2% off target but is a 0.1% improvement from the same period last year.</p> <p>Internal Audit have performed a routine assessment of the control environment within Council Tax collection and have given an assurance of Full/Substantial . This is a good result and has highlighted a number of minor improvements that can be made to the timeliness of some work. This does however provide assurance to members that the fundamental design and operation of the control processes are robust.</p> <p>Members can gain additional assurance from the routine Internal Audit assessment of Business Rates as being at Full/Substantial levels.</p> <p>Council tax collection for 2015/16 was 98% which is 0.3% improvement on 2014/15. Business rate collection was 98.3% narrowly missing the target of 99% but improving on the 2014/15 performance by 0.2%.</p> <p>Q1 Business Rates collection is 27.7% which is exactly on target and Council tax Collection is 30.4% which is 0.2% up on target.</p> <p>Q2 Business Rates collection is 52.3% which is ahead of target (51.6%)and Council tax Collection is 58.2% which is 0.2% up on target.</p>
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Q3 Business rates collection is slightly ahead of target(76.2) at 77.5%. Council tax collection is broadly on target (86%) at 86.2%.

Internal audit have presented two reports to audit committee giving 3/4 full levels of assurance to members on Council Tax and NNDR.

2016/17 Q4 Business Rates collection is slightly below target (98.4%) at 97.9%.
Council tax collection is ahead of target (98.1%) at 98.4%.

2017/18

Q1 Business Rates collection is 29% which is ahead of target of 27.7% and ahead of the same point last year. Council Tax Collection is 30.2% which is 0.2% down on target and the same point last year.

Q2 Business Rates collection is 51.9% which is just behind target of 52.3%. Council Tax Collection is 58% which is 0.2% down on target and the same point last year.

Sign Off and Comments

Sign Off Complete

The team continues work to improve Business Rates Collection rates and coupled with the assurance statements from internal audit on the sound control environment will allow them to continue to develop the approaches required to deliver the high levels of collection required. The drop in Council Tax collection reflects the increasing trend towards payment in 12 instalments instead of the traditional 10 instalments. The team are working to look at re-profiling the collection rate to reflect the emerging trend but need a longer time series of data to model the future profile.

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FR_R02 Delays and errors in the processing of Benefits claims					
Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: David Skinner	Portfolio Holder: Graeme Elliot	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	2 Medium	6 Amber
Consequences		Current Controls		Assurance	
<p>This risk links to the corporate objective Dacorum Delivers, focussing on an efficient and effective council.</p> <p>Customers could suffer personal hardship resulting from 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>The controls in place aim to mitigate this risk by closely monitoring performance to assist with effective decision-making around resource allocation. This is a heavily process driven service area and close monitoring also helps to identify bottle necks in the process which need to be improved to optimise performance. By subjecting the process to this regular in-depth scrutiny the Service is able to reduce the probability of the risk crystallising, hence the reduction between the Inherent Risk score (4) and the Residual Risk score (2) after the controls have been taken into account.</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 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</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> <p>Performance for the full year 14/15 was 22.9 days, which was within the target of 23 days for the first time.</p> <p>This represents an improvement of 4.5 days over the 27.4 days average in 2014/15, and an improvement of 9.9 days against the 12/13 result of 32.8 days.</p> <p>It should be noted that these improvements have been achieved without additional resource. It has purely been the result of improved process design and increased efficiency.</p> <p>Average time taken to decide a new claim for Housing benefit is 22.7 days versus a target of 23. This is the first quarter since the same period last year where the target has been met.</p> <p>Average time taken to decide a change event in Housing Benefit is at 12.3 days versus a target of 13.0.</p>	

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<p>Page 27</p>	<p>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>Q2 performance has been very good in relation to new claims. The team have achieved 19.6 days versus a target of 23 days.</p> <p>Q3 performance has been very good. New claims are now being processed within 17.4 days versus a target of 23 days. This is an improvement of 9.2 days on the same period last year and 2.2 days improvement on the previous quarter.</p> <p>The average time taken to decide on a change event in Housing benefit is 10.8 days versus a target of 13 days. This is an improvement of 5.6 days on the same period last year and an improvement of 1.5 days on the previous quarter in this year.</p> <p>Q4 performance has been very good. New claims are now being processed within 18.4 days versus a target of 23 days. This is an improvement of 6.2 days on the same period last year.</p> <p>The average time taken to decide on a change event in Housing benefit is 4.9 days versus a target of 13 days. This is an improvement of 2.2 days on the same period last year and an improvement of 5.9 days on the previous quarter in this year. This reflects the inclusion of calculations relating to annual benefit uprating and rent changes but is still better than last year when similar changes occurred.</p> <p>Q1 performance for the average time taken to decide a new claim for Housing Benefit is 20.8 days versus a target of 20 days. This is still 1.9 days better than the same point last year.</p> <p>The average time taken to decide a change event is 8</p>
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days versus a target of 11.5 and is 4.3 days better than the same point last year.

Q2 performance for the average time taken to decide a new claim for Housing Benefit is 17.4 days versus a target of 20 days. This is an improvement of 2.2 days on the same point last year.

The average time taken to decide a change event is 9.9 days versus a target of 11.5 and is 5.4 days better than the same point last year.

Q3 performance for the average time taken to decide a new claim has improved to 15.3 days against a target of 20 days. This is an improvement of 2.1 days on the previous quarter.

The average time taken to decide a change event is 9.3 days against a target of 11.5 days. This shows an improvement of 0.6 days on the previous quarter.

Q4 performance for the average time taken to decide a new claim increased to 22.6 days against a target of 20 days. This was an increase of 7.3 days on the previous quarter and reflects the resourcing shortages experienced during the year.

The average time taken to decide a change event is 3.2 days against a target of 11.5 days. This shows an improvement of 1.7 days on the same period last year.

2017/18 Q1 performance for the average time taken to decide a new claim for Housing Benefit is 19.9 days versus a target of 20 days. This is 0.9 days better than the same point last year.

The average time taken to decide a change event is 7.8 days versus a target of 10 days and is 0.2 days better

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		<p>than the same point last year.</p> <p>Q2 performance for the average time taken to decide a new claim for Housing Benefit is 24.3 days versus a target of 20 days.</p> <p>The average time taken to decide a change event is 11.5 days and is on target.</p>
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Sign Off and Comments


Sign Off Complete

The reduced performance in Quarter 2 reflects the high number of vacancies with the service coupled with the summer annual leave factor. The service are working to implement new ways of working to mitigate the continued trend of high staff turnover.


The risk score is maintained at amber to reflect the risk of performance continuing to reduce if we are unable to recruit new staff.

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OSC Report - Finance & Resources Department - Finance and Resources Sep-2017

Indicator Name	Results Sep-2017	Last Months Results Jun-17	Last Years Results Sep-16	RAG 	Comments	Actions
Dacorum Delivers - Efficiencies						
RBF01 - Average time taken to decide a new claim for Housing Benefit	24.3 Days 11827 / 487 Target: 20	19.9 Days 9512 / 477 Target: 20	17.4 Days 9812 / 564 Target: 20	1 1 2		No Info
RBF02 - Average time taken to decide a change event for Housing Benefit	11.5 Days 66888 / 5793 Target: 11.5	7.8 Days 63286 / 8069 Target: 10	9.9 Days 59880 / 6036 Target: 11.5	0 1 3	Approver Comments: The team has worked hard and has successfully kept this indicator within target despite the resourcing problems during the summer months.	No Info
FIN03 - General Fund expenditure - outturn forecast against budget	£17561000 Target: 17631000	£17154000 Target: 17433000	£18716000 Target: 18511000	0 0 4	No Comments	No Info
FIN04 - HRA expenditure outturn forecast against budget	£56607000 Target: 56607000	£56479000 Target: 56607000	£44523000 Target: 44101000	0 1 3	Updater Comments: The key variances are detailed within the supporting financial performance report	No Info
FIN05 - HRA income - outturn forecast against budget	£56462000 Target: 56607000	£56712000 Target: 56607000	£57386000 Target: 57654000	0 3 1	Updater Comments: The key variances are detailed within the supporting financial performance report	No Info
FIN06 - General Fund Capital Expenditure - outturn forecast against budget	£10871941 Target: 9130071	£8947000 Target: 12252000	£21143000 Target: 21202893	1 0 3	Updater Comments: The key variances are detailed within the supporting financial performance report	No Info
FIN07 - HRA Capital Expenditure: outturn forecast against budget	£33310862 Target: 34028053	£33694000 Target: 43310000	£25233622 Target: 27389688	0 0 4	Updater Comments: The key variances are detailed within the supporting financial performance report	No Info
FIN08 - Investment income: outturn forecast against budget	£313090 Target: 442000	£283460 Target: 442000	£437750 Target: 448000	2 0 2	No Comments	No Info

Indicator Name	Results Sep-2017	Last Months Results Jun-17	Last Years Results Sep-16	RAG	Comments	Actions
FIN11 - Investment Property Income ytd budget against ytd actual	£3209090 Target: 3095582	£2077164 Target: 2077075	£3142056 Target: 3091741	0 0 4	Updater Comments: Currently 4% above target	No Info
FIN13 - Car Parking Income ytd budget against ytd actual	£1137125 Target: 1055070	£580899 Target: 527535	£1084193 Target: 1042570	0 0 4		N/A
RBF06 - Council Tax customer contact response (percentage of contacts responded to within 14 days)	92% 8760 / 9472 Target: 98	90% 8519 / 9485 Target: 98	95% 8756 / 9259 Target: 98	1 1 2	<p>Updater Comments: Although we did not achieved the target this quarter, it is still pleasing to see we are achieving a high performance overall for our customers.</p> <p>Having identified August as being the blip in performance, this is a month where our resources are usually stretched, but overall during this busy quarter our customer have received a response from us within 14 days.</p> <p>During September we also challenged our new processes, which we put in place following the launch of our new service, which enables a channel swift away from manually updating some of our customers' accounts. We have been able to reduce the need for officer intervention, so focus can be given to our customer contact documents.</p>	No Info
Dacorun Delivers - Performance excellence						
FIN01 - Percentage of creditor trade invoices paid within 30 days	95.5% 3001 / 3142 Target: 97	97.6% 2797 / 2865 Target: 97	95.8% 3124 / 3261 Target: 96	0 1 3	No Comments	No Info

Indicator Name	Results Sep-2017	Last Months Results Jun-17	Last Years Results Sep-16	RAG	Comments	Actions
FIN02a - Time taken for debtors to pay	46.6 Days Target: 40	47.2 Days Target: 40	35.6 Days Target: 40	 2 1 1	Updater Comments: The increase is due to a number of large value invoices remaining unpaid	No Info
Dacorum Delivers - Value for money						
RBF04 - NNDR (Business Rates) in-year collection rate	51.9% Target: 52.3	29% Target: 27.7	52.3% Target: 51.6	0 2 2	Approver Comments: Analysis has shown that there are two main reasons why the collection rate is under the profiled target at this time. These are: the need to award revaluation relief in line with the decision made by Council on 27 September; and some large backdated increases to rateable value on some premises. The combined impact of these is to delay collection into the latter part of the year, but we currently expect to achieve the target year-end collection level.	No Info
RBF05 - Council Tax collection rate	58% Target: 58.2	30.2% Target: 30.4	58.2% Target: 58	0 2 2	Approver Comments: Collection remains slightly down on the profiled target. This is due to more residents choosing instalment plans that include February and March than in previous years.	No Info
Regeneration - Drive value from Council owned assets						
CP01 - Percentage of commercial property occupation	97.49% 583 / 598 Target: 95	96.99% 580 / 598 Target: 95	97.32% 582 / 598 Target: 95	0 0 4	Updater Comments: The team have let some properties so the void levels continue to remain very low.	No Info
CP02 - Percentage arrears on commercial property rents	9.33% 4542.22 / 5085000 Target: 8.5	7.94% 403886.03 / 5085000 Target: 7.5	8.09% 343362.06 / 4244200 Target: 8.75	0 2 2	Updater Comments: Estates and Customer Accounts continue to action the arrears. This continues to be a challenge around current resources in both teams.	No Info

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Finance & Resources - David Skinner

FR_CPC01 Failure to comply with procurement legislation and internal controls

Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: David Skinner	Portfolio Holder: Graeme Elliot	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	
<ul style="list-style-type: none"> The Council would face an increased risk of legal challenge from unsuccessful bidders Contracts could be set aside by the courts The Council could face financial penalties under the Remedies Directive The delivery of contracts could be delayed Lack of a robust and transparent procurement process Unable to demonstrate value for money All of the above would result in damaging the Council's reputation 		<ul style="list-style-type: none"> The Commissioning & Procurement Standing Orders (CPSO's) have been re-written to complement the Public Contract Regulations 2015. The CPSO's have been written to simplify the processes for officers to follow. All OJEU tenders must be supported by an officer of the Commissioning & Procurement team. All procurement officers that manage the OJEU tenders are professionally qualified. 		<ul style="list-style-type: none"> The CPSO's are regularly updated following any policy notes or guidance as issued by Crown Commercial Services Awareness training on the CPSO's is offered to all GM's and their teams. Procurement officers keep abreast of changes in legislation and best practice within the industry. Internal audit have completed a draft report on Contract management that is still in discussions between officers and the internal auditors. The internal audit report has been finalised and provided a full and substantial level of assurance on contract management. 	

Sign Off and Comments

Sign Off Complete

The work of the team in scrutinising contracts and ensuring compliance with legislation is reflected in positive assurance from Internal audit as previously reported to the audit committee. The team are currently working on a number of high value contracts i.e. the Multi Storey Car Park, Car Parking Enforcement and the Leisure review and their assurance work is critical to delivering compliant contract awards.

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FR_CPC02 Continued Non-Authorised procurement expenditure					
Category: Reputational	Corporate Priority: Dacorum Delivers		Risk Owner: David Skinner	Portfolio Holder: Graeme Elliot	Tolerance: Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
4 Very Likely	2 Medium	8 Amber	1 Very Unlikely	3 High	3 Green
Consequences		Current Controls		Assurance	
<ul style="list-style-type: none"> • This expenditure may result in the Council being in breach of procurement legislation • This increases the risk of legal challenge and the Council could face penalties under the Remedies Directive • Lack of a robust procurement process may increase the risk of fraudulent activity • Potential for non-compliance with relevant legislation such as H&S • Poor financial management • All of the above would result in damaging the Council's reputation 		<ul style="list-style-type: none"> • The CPSO's have been re-written to complement the Council's Financial Regulations with regards to officer authorisation levels. • The CPSO's clearly define the processes that must be followed by officers when procuring goods, services and works. • Contracts have been set up for corporate requirements. 		<ul style="list-style-type: none"> • Working with colleagues in finance to implement a 'No PO No Pay' policy. • Working with colleagues in finance to roll out the 'Electronic Purchasing Card'. • Awareness training on the CPSO's is offered to all GM's and their teams. 	
Sign Off and Comments					
<p>Sign Off Complete</p> <p>The continued success of "No PO No Pay" is continuing with improved compliance levels. The percentage of trade creditor invoices being paid within 30 days has reduced slightly to 95.5% from 97.6% in quarter 1. This performance is consistent with the same point last year and reflects the vacancies, leave and sickness levels over the summer period.</p>					

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FR_F02 Delays to Capital programme					
Category:	Corporate Priority:	Risk Owner:		Portfolio Holder:	Tolerance:
Financial	Dacorum Delivers	David Skinner		Graeme Elliot	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 Council will be negatively affected which will have consequences for wider financial decision-making.</p> <p>Not delivering major projects within the timeframe to which it has committed itself exposes the Council to</p>		<p>The controls that have been implemented to mitigate this risk target the robustness of capital bids both at the time they are submitted and throughout the delivery phase of the projects.</p> <p>In particular, scrutiny is focussed on those elements of the capital bid that experience indicates are the primary cause of delays to capital projects. These include</p> <ul style="list-style-type: none"> • How robust are the assumptions on the estimated duration of the procurement exercise? • How realistic is the estimated time taken for contractors to deliver the works? • How realistic are the assumptions on officer availability to manage the project on time? <p>The rationale behind this approach is that an increased culture of challenge will lead to more realistic programming of future capital projects, and therefore a reduced likelihood of slippage.</p> <p>The following controls are in place with a view to</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> <p>As at the end of Quarter 2 2014/15 (the mid-point of the year), the capital forecast on the General Fund is broadly on budget, with no material slippage reported at this stage. Slippage on the HRA capital programme is forecast to be well below 5%.</p> <p>The budget position as at Quarter 3 was reported to Cabinet in February 2015. The report showed that forecast net slippage on the General Fund Capital Programme was low at around 3%. Forecast slippage on the HRA Capital Programme has, however, increased significantly since the Quarter 2 forecast, at around 25%.</p> <p>The Provisional Outturn was reported to Cabinet in May 2015. The report showed that slippage against the full year budget on the General Fund Capital Programme was around 10%. Outturn on the HRA shows slippage of</p>	

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<p>reputational risk.</p> <p>Page 36</p>	<p>developing a culture of scrutiny and challenge for officers to improve the accuracy of future bids:</p> <ul style="list-style-type: none">• Capital Strategy Steering Group (CSSG) comprising senior officers from across the Council required to challenge new bids for robustness ahead of recommendation to Members;• Monthly meetings take place between accountants and budget holders to monitor progress against original timeframes and costs;• Corporate Management Team (CMT) receive a monthly report on the progress of capital projects against anticipated timeframes;• Performance Group comprising Chief Officers and cabinet Members receive a monthly report on the progress of current projects;• 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>around 24%. These are addressed in more detail in the sign-off notes, below.</p> <p>2014/15 Confirmed slippage into 2015/16 was Â£10.1m or 10% of the total approved capital programme according to the 2014/15 approved accounts.</p> <p>The Provisional Outturn was reported to Cabinet in May 2016. The report showed that slippage against the full year budget on the General Fund Capital Programme was around 28%. Outturn on the HRA shows slippage of around 5%.</p> <p>2015/16 Confirmed slippage into 2016/17 was £8.1m or 28% of the total approved capital programme according to the 2015/16 approved accounts.</p> <p>As at the end of Quarter 2 2016/17(the mid-point of the year), the capital forecast on the General Fund is broadly on budget, with no material slippage reported at this stage. Slippage on the HRA capital programme is forecast to be 8% or c£2m.</p> <p>AS at the end of Quarter 3 the HRA capital programme is on track with no material slippage. The forecast for the General Fund is reporting slippage of 5% (£873k).</p> <p>The Provisional Outturn was reported to May Cabinet. It shows the HRA capital programme is forecasting slippage of 29% (£7,881k). The General Fund is on track reporting slippage of 8.6% (£1,844k)</p>
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		<p>2017/18</p> <p>As at the end of quarter 1 forecast slippage for Capital schemes for the general Fund is 27%. The HRA capital programme is forecasting 22% slippage. Reports to Cabinet for September will re-profile the programme to reflect the latest updated position.</p> <p>As at the end of Quarter 2 slippage for the HRA is forecast to be £717k or 2% of the capital programme. The General Fund is forecast to overspend by c£1.7m or 19%. However if you remove the grant payments to registered providers of c£2.5m then there would be slippage of c£830k or 9%</p>
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Sign Off and Comments

Sign Off Complete

The action plan to rephrase the capital budgets has been actioned and the HRA is now back on track to reflect a more accurate position for monitoring the approved capital budgets. The General Fund will be back within acceptable tolerances following approvals for supplementary capital approvals for the grant payments.

FR_F03 Variances in General Fund revenue budget

Category: Financial	Corporate Priority: Dacorum Delivers	Risk Owner: David Skinner	Portfolio Holder: Graeme Elliot	Tolerance: Treating	
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	
Accurate, well-controlled budgeting relates directly to the achievement of the Dacorum Delivers corporate objective. and indirectly through the financial decision-		The following controls aim to reduce the probability of there being a variance in the General Fund Revenue Budget by ensuring that there is strong challenge put to		The Council's budgetary controls are assessed each year by Internal Audit. In January 2013, the Council received a 'Full' level of assurance.	

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<p>making process, to the achievement of all of the 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>Budget Holders on the robustness of their assumptions, from a range of audiences.</p> <p>It is intended that these controls will increase the opportunity for flawed assumptions to be exposed as soon as possible, as well as inculcating a stronger culture of financial management across the Council leading to continuous improvement in the setting of accurate budgets.</p> <p>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 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>	<p>A further Internal Audit on the Council's budgeting process, undertaken in September 2014, resulted in a 'Substantial' level of assurance. Despite this being a lower mark than the exceptional one achieved in the previous audit, it should be noted that it remains a good result.</p> <p>The recommendations of the Internal Auditor that led to the reduced marking were not systemic in nature, and they do not pose a material threat to the overall control environment of the budget-setting process. Efforts have, however, been redoubled, and the causes of the recommendations have been addressed.</p> <p>An Internal Audit report on the Council's 'Main Accounting' function was presented to Audit Committee in February 2015, in which a 'Full' level of assurance was awarded. This audit covered a range of areas including integrity of transactions, manual adjustments, and year-end procedures. All of these areas contribute to the accuracy of the in-year monitoring reports that the Finance team is able to produce. Consequently, Members can draw assurance from this audit opinion that the chances of this risk crystallising are reduced by the robust financial management procedures the Council has in place.</p> <p>Final confirmed outturn for 2014/15 was within £48k of budget (after contributions to and from reserves) as reported to Audit committee and approved as part of the audited accounts and was consistent with the budget monitoring over the preceding year.</p>
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An Internal Audit report on the Council's 'Budgetary Control' function was presented to Audit Committee in April 2016, in which a 'Full' level of assurance was awarded. This audit covered a range of areas including budget setting; budget upload; budget monitoring and savings realization; budget alterations and virements; and management information. All of these areas contribute to the accuracy of the in-year monitoring reports that the Finance team is able to produce. Consequently, Members can draw assurance from this audit opinion that the chances of this risk crystallising are reduced by the robust financial management procedures the Council has in place.

The 2015/16 audit of Core Financial Systems was also reported to have either Full or Substantial levels of assurance.

Final confirmed outturn for 2015/16 was within 2% of budget (after contributions to and from reserves) as reported to Audit committee and approved as part of the audited accounts and was consistent with the budget monitoring over the preceding year.

Provisional Outturn reported to Cabinet in May 2016 demonstrated that the Council was on target (after contributions to and from reserves). Additional income was included within the outturn reported to Cabinet and meant that additional contributions could be made to reserves.

The 2016/17 Statement of Accounts were approved by Audit Committee on the 20th September and the Council received an unqualified opinion from the auditors on

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the 29th September with no material changes to the accounts presented in June.

Sign Off and Comments

FIN03 is GREEN and is projecting a favourable variance of £70k. There is an additional £125k favourable variance in reserve movements and non-controllable items which means that the quarter position is consistent with both the quarter 1 forecast and the 2016/17 outturn position.

FR_I02 Failure to optimise income generated by commercial assets

Category: Infrastructure	Corporate Priority: Dacorum Delivers	Risk Owner: David Skinner	Portfolio Holder: Graeme Elliot	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	3 High	9 Amber	2 Unlikely	3 High	6 Amber
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>The following controls aim to mitigate the risk of underperformance of the Council's commercial assets by maintaining good communication links between relevant Council services, and by regularly monitoring performance against targets (see KPIs CP01 and CP02) to ensure that underperformance is identified and addressed as quickly as possible. The existence of these controls has led to the 'Inherent Probability' of this risk occurring reducing from a score of 3, which is shown in the Residual Probability (i.e. after controls implemented) being a 1.</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</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> <p>The year-end performance figures for 2014/15 demonstrate an occupation rate of 98.3% against a target of 95%. The level of arrears is at 6.5% against a target of 9.5%.</p> <p>Quarter 1 performance for 2015/16 are above target and demonstrate an occupation rate of 98.66 versus a target of 95%. The level of arrears has increased slightly to 7.3% versus a target of 9%.</p>	

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<p>Page 41</p>	<p>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>Q2 occupation levels are holding up well at 98.49% and arrears are being held within acceptable levels at 8.1%. Q3 occupation levels are marginally down at 97.99% and arrears have improved significantly by 1.7% to 6.4%.</p> <p>Q4 occupation rates have increased slightly to 98.49% and arrears have reduced from 6.45 down to 5%.</p> <p>Q1 occupation rates have reduced slightly to 97.99% versus a target of 95% and arrears have slightly increased to 7.3% versus a target of 8.8%</p> <p>Q2 occupation rates are 97.32% versus a target of 95% and arrears are at 8.1% versus a target of 8.8%. Investment property income is exceeding target and is £324k ahead of the Q2 result for 2015/16.</p> <p>Q3 occupation rates are 97.16% versus a target of 95% and arrears have reduced to 5.3% against a target of 8.8%. Investment property income is slightly ahead of target by 1% (£42k).</p> <p>2016/17 Q4 occupation rates have stabilized at 97.16% versus a target of 95% and arrears have increased slightly to 7.3% against a target of 8.8%. Investment property income is exceeding target by £475k.</p> <p>2017/18 Quarter 1 performance for 2017/18 is above target and demonstrate an occupation rate of 96.99 versus a target of 95%. The level of arrears has increased slightly to 7.94% versus a target of 7.5%.</p>
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		Quarter 2 performance for 2017/18 is above target and demonstrate an occupation rate of 97.99% versus a target of 95%. The level of arrears has increased slightly to 9.33% versus a target of 8.5%.
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Sign Off and Comments

Sign Off Complete

Delivery on both occupation rates and arrears levels continues to be strong but with a slight deterioration in arrears. This is a result of arrears on one significant tenant who historically pays late but does pay. Investment property income is exceeding target by 4% (£114k) as a result of turnover based rents exceeding historic trends and improved methods for the recovery of service charges.

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FR_104 Failure to maintain an effective business continuity plan for all relevant service areas

Category: Infrastructure	Corporate Priority: Safe and Clean Environment	Risk Owner: David Skinner	Portfolio Holder: Graeme Elliot	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		These controls are implemented to ensure that the Council is adequately prepared and able to continue providing key services in the event of an emergency situation. Through this control, the probability of the Council being unable to respond to such an emergency is reduced. - Annual review process.		A CMT emergency planning exercise was conducted in October which all members of the Finance and Resources DMT attended.	

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- Corporate business continuity process and procedures set out in emergency response toolkit.
Sign Off and Comments
<p>Sign Off Complete</p> <p>Departmental business continuity plans have been reviewed to reflect the move to the Forum and will be monitored for on-going changes.</p>

FR_R01 Council Tax and Business Rates collections rates drop below budget					
Category: Reputational	Corporate Priority: Dacorum Delivers		Risk Owner: David Skinner	Portfolio Holder: Graeme Elliot	Tolerance: 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	
<p>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 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>The following controls aim to identify as quickly as possible if the Council is falling behind on its collection rates target for the year. If a problem is identified, the Council is then able to invoke a range of options to minimise the ongoing negative impact on collection.</p> <p>Profiled monthly collection rates are monitored monthly - see KPIs RBF04 and RBF05. Reasons for variances are then investigated in order to address problems quickly as possible.</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. The direct debit method reduce the risk of under-collection because it eliminates the risk of a paver</p>		<p>The full year Council Tax Collection Rate for 2013/14 (Performance Indicator RBF05) was 97.7% against a budget of 97.5%.</p> <p>The full year Business Rates collection rate in 2014/15(Performance Indicator RBF04) was under budget at 98.1% against a target of 99%.</p> <p>Q1 Council Tax collection rates is 30.2% versus a target of 30.1%</p> <p>Q1 Business Rates collection is 30.2% versus a target of 24.8%</p> <p>Q2 Business rates collection is 52.6% achieved versus a target of 51.5%.</p> <p>Council tax collection is on target at 58%.</p>	

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<p>Page 44</p>	<p>forgetting to make a monthly payment.</p> <p>There is an active programme for taking formal recovery action against non payers.</p>	<p>Q3 Business rates collection is 77.2% and is running at 0.5% ahead of target. Council tax collection is at 86.2% which is 0.2% off target but is a 0.1% improvement from the same period last year.</p> <p>Internal Audit have performed a routine assessment of the control environment within Council Tax collection and have given an assurance of Full/Substantial . This is a good result and has highlighted a number of minor improvements that can be made to the timeliness of some work. This does however provide assurance to members that the fundamental design and operation of the control processes are robust.</p> <p>Members can gain additional assurance from the routine Internal Audit assessment of Business Rates as being at Full/Substantial levels.</p> <p>Council tax collection for 2015/16 was 98% which is 0.3% improvement on 2014/15. Business rate collection was 98.3% narrowly missing the target of 99% but improving on the 2014/15 performance by 0.2%.</p> <p>Q1 Business Rates collection is 27.7% which is exactly on target and Council tax Collection is 30.4% which is 0.2% up on target.</p> <p>Q2 Business Rates collection is 52.3% which is ahead of target (51.6%)and Council tax Collection is 58.2% which is 0.2% up on target.</p>
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Q3 Business rates collection is slightly ahead of target(76.2) at 77.5%. Council tax collection is broadly on target (86%) at 86.2%.

Internal audit have presented two reports to audit committee giving 3/4 full levels of assurance to members on Council Tax and NNDR.

2016/17 Q4 Business Rates collection is slightly below target (98.4%) at 97.9%.
Council tax collection is ahead of target (98.1%) at 98.4%.

2017/18

Q1 Business Rates collection is 29% which is ahead of target of 27.7% and ahead of the same point last year. Council Tax Collection is 30.2% which is 0.2% down on target and the same point last year.

Q2 Business Rates collection is 51.9% which is just behind target of 52.3%. Council Tax Collection is 58% which is 0.2% down on target and the same point last year.

Sign Off and Comments

Sign Off Complete

The team continues work to improve Business Rates Collection rates and coupled with the assurance statements from internal audit on the sound control environment will allow them to continue to develop the approaches required to deliver the high levels of collection required. The drop in Council Tax collection reflects the increasing trend towards payment in 12 instalments instead of the traditional 10 instalments. The team are working to look at re-profiling the collection rate to reflect the emerging trend but need a longer time series of data to model the future profile.

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FR_R02 Delays and errors in the processing of Benefits claims					
Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: David Skinner	Portfolio Holder: Graeme Elliot	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	2 Medium	6 Amber
Consequences		Current Controls		Assurance	
<p>This risk links to the corporate objective Dacorum Delivers, focussing on an efficient and effective council.</p> <p>Customers could suffer personal hardship resulting from 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>The controls in place aim to mitigate this risk by closely monitoring performance to assist with effective decision-making around resource allocation. This is a heavily process driven service area and close monitoring also helps to identify bottle necks in the process which need to be improved to optimise performance. By subjecting the process to this regular in-depth scrutiny the Service is able to reduce the probability of the risk crystallising, hence the reduction between the Inherent Risk score (4) and the Residual Risk score (2) after the controls have been taken into account.</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 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</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> <p>Performance for the full year 14/15 was 22.9 days, which was within the target of 23 days for the first time.</p> <p>This represents an improvement of 4.5 days over the 27.4 days average in 2014/15, and an improvement of 9.9 days against the 12/13 result of 32.8 days.</p> <p>It should be noted that these improvements have been achieved without additional resource. It has purely been the result of improved process design and increased efficiency.</p> <p>Average time taken to decide a new claim for Housing benefit is 22.7 days versus a target of 23. This is the first quarter since the same period last year where the target has been met.</p> <p>Average time taken to decide a change event in Housing Benefit is at 12.3 days versus a target of 13.0.</p>	

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<p>Page 47</p>	<p>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>Q2 performance has been very good in relation to new claims. The team have achieved 19.6 days versus a target of 23 days.</p> <p>Q3 performance has been very good. New claims are now being processed within 17.4 days versus a target of 23 days. This is an improvement of 9.2 days on the same period last year and 2.2 days improvement on the previous quarter.</p> <p>The average time taken to decide on a change event in Housing benefit is 10.8 days versus a target of 13 days. This is an improvement of 5.6 days on the same period last year and an improvement of 1.5 days on the previous quarter in this year.</p> <p>Q4 performance has been very good. New claims are now being processed within 18.4 days versus a target of 23 days. This is an improvement of 6.2 days on the same period last year.</p> <p>The average time taken to decide on a change event in Housing benefit is 4.9 days versus a target of 13 days. This is an improvement of 2.2 days on the same period last year and an improvement of 5.9 days on the previous quarter in this year. This reflects the inclusion of calculations relating to annual benefit uprating and rent changes but is still better than last year when similar changes occurred.</p> <p>Q1 performance for the average time taken to decide a new claim for Housing Benefit is 20.8 days versus a target of 20 days. This is still 1.9 days better than the same point last year.</p> <p>The average time taken to decide a change event is 8</p>
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days versus a target of 11.5 and is 4.3 days better than the same point last year.

Q2 performance for the average time taken to decide a new claim for Housing Benefit is 17.4 days versus a target of 20 days. This is an improvement of 2.2 days on the same point last year.

The average time taken to decide a change event is 9.9 days versus a target of 11.5 and is 5.4 days better than the same point last year.

Q3 performance for the average time taken to decide a new claim has improved to 15.3 days against a target of 20 days. This is an improvement of 2.1 days on the previous quarter.

The average time taken to decide a change event is 9.3 days against a target of 11.5 days. This shows an improvement of 0.6 days on the previous quarter.

Q4 performance for the average time taken to decide a new claim increased to 22.6 days against a target of 20 days. This was an increase of 7.3 days on the previous quarter and reflects the resourcing shortages experienced during the year.

The average time taken to decide a change event is 3.2 days against a target of 11.5 days. This shows an improvement of 1.7 days on the same period last year.

2017/18 Q1 performance for the average time taken to decide a new claim for Housing Benefit is 19.9 days versus a target of 20 days. This is 0.9 days better than the same point last year.

The average time taken to decide a change event is 7.8 days versus a target of 10 days and is 0.2 days better

OPERATIONAL RISK REGISTER

September 2017



		<p>than the same point last year.</p> <p>Q2 performance for the average time taken to decide a new claim for Housing Benefit is 24.3 days versus a target of 20 days.</p> <p>The average time taken to decide a change event is 11.5 days and is on target.</p>
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Sign Off and Comments

Sign Off Complete

The reduced performance in Quarter 2 reflects the high number of vacancies with the service coupled with the summer annual leave factor. The service are working to implement new ways of working to mitigate the continued trend of high staff turnover.

The risk score is maintained at amber to reflect the risk of performance continuing to reduce if we are unable to recruit new staff.

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Agenda Item 9



AGENDA ITEM:

SUMMARY

Report for:	Finance and Resources Overview & Scrutiny Committee
Date of meeting:	7 th November 2017
PART:	1
If Part II, reason:	

Title of report:	Quarter 2 Performance Report – Legal Governance and Democratic Services
Contact:	<p>Cllr Neil Harden, Portfolio Holder for Residents and Corporate Services</p> <p>Author/Responsible Officers:</p> <p>Mark Brookes (Solicitor to the Council)</p> <p>Jim Doyle, Group Manager (Democratic Services)</p>
Purpose of report:	To provide Members with the performance report for quarter four in relation to Legal Governance and Democratic Services.
Recommendations	That Members note the report.
Corporate objectives:	Resources and Value For Money; Optimise Resources and Implement Best Practice.
Implications:	<u>Financial</u>
	None.
'Value For Money Implications'	<p><u>Value for Money</u></p> <p>Monitoring Performance supports the Council in achieving Value for Money for its citizens.</p>
Risk Implications	Risk Assessment completed for each service area as part of service planning and reviewed quarterly.
Equalities	Equality Impact Assessment completed for each service area

Implications	as part of service planning and reviewed quarterly.
Health And Safety Implications	None
Consultees:	Cllr Neil Harden, Portfolio Holder for Residents and Corporate Services
Background papers:	Annex 1: Quarter 2 Performance Report Annex 2: Quarter 2 Operational Risk Register

1. Members will find attached to this report the Corvu performance data for Legal Governance and Democratic Services, together with the Operational Risk Register, in relation to quarter 2 of 2017/18.
2. Members will also note that the only Operational Risk which falls within this area is CE_R01 Failure to deliver successful elections.

LEGAL GOVERNANCE

The Legal Team

3. The Legal team frequently represent the Council in the courts and tribunals, leading on injunctions, prosecutions and defending employment tribunal cases and judicial review proceedings. In the last quarter the Legal team presented the following cases in court:-
 - DBC v Kieron Podd – breach of an injunction. 14 day imprisonment suspended on terms that the defendant complies with the injunction order until the end of its term.
 - DBC v Sheridan Richardson – seeking a closure order on a Council owned residential property against the tenant's son. Determined by the Court on 9/10/2017. Closure order granted against all persons aside from the tenant, DBC and Herts CC officers/agents and anyone authorised in writing by DBC
 - DBC v Talet Malik – breach of a planning enforcement notice. Heard by the Court on 25/9/2017. Fine of £2,000 per breach (£4,000 total), £200 surcharge, £3,240 costs.
 - DBC v Nicholas Couldridge – prosecution for knowingly subletting 54 The Bourne, a property owned by Hightown & Praetorian Housing Association. The profit made by the defendant was estimated at £9,250. Heard on 18/10/17. Defendant was fined £1,600. Costs of £405, victim surcharge of £160, with an unlawful profit order of £5,000 (the maximum that could be recovered despite the actual estimated profit. All to be paid within 28 days.
 - DBC v Kathleen Neal – Breach of a Community Protection Notice.

- DBC v Victoria Hughes – prosecution for animal welfare offences. The Defendant was found guilty of two charges regarding not microchipping her dog, and the seizure of her stray dog. Fined £100 for first charge, £50 for the second. £30 vic surcharge, £405 costs.
 - DBC v John Dick – demotion application, to turn his secure tenancy into a non-secure one because of an incident in which he threatened a council employee. He was convicted of that offence in the Magistrates court. Did not proceed because we agreed to the defendant giving undertakings to the court to behave. They remain in place for 12 months.
 - DBC v Dawn Donaldson – closure order – 67 Homefield Road. Anti-Social Behaviour.
 - DBC v Tony Maguma – Injunction preventing rough sleeping in Watergardens car park
4. The team have been active completing a number of planning and conveyancing transactions bringing significant income into the Council. The following land transactions were particularly noteworthy in the last quarter:
- Sale of land at Jarman Park, Hemel Hempstead to Kier Property. Kier acquired the land to develop a retail warehouse scheme.
 - 8 S.106 planning agreements including two significant sites at Martindale School (DBC Housing development) and Prologis site (Maylands Avenue).
 - The team also dealt with over 80 new property and planning instructions which were a mixture of leases, licences, easements and enforcement work.
5. The team have been leading on a consultation for a Public Spaces Protection Order aimed at preventing various forms of anti-social behaviour in the town centre. The consultation closed in October and over 800 responses were received. The responses are now being analysed and a report will be taken to Cabinet in January to decide if members wish to proceed with the order.
6. Staffing update: The Legal Governance Team Leader (Barbara Lisgarten will be leaving the team in December to take up a new position at Ipswich Borough Council. Recruitment has begun to fill the role.

The Licensing Team

7. The last quarter was very much business as usual with no significant service developments to report.
8. Staffing update: The Licensing Team Leader (Ross Hill) will also be leaving the service to start a new position with the Information Technology team on 1st January and therefore recruitment has begun to fill the vacant position.

DEMOCRATIC SERVICES

Elections/Electoral Registration

9. Most of Quarter 2 has been spent preparing for and organising the Annual Canvas of Electors, prior to the collation of the Electoral Register to be published on 1 December this year. The annual canvass began in August, which saw 63,896 Household Enquiry Forms (HEF) being sent to all properties across Dacorum. Reminder forms have since been sent to around 26,000 properties. During October, door to door enquiries will be carried out by canvassers to contact all those households who have not yet responded to the initial HEF.
10. The figures for the monthly alterations, and HEF's processed are as follows:

Register alterations:

July	730
August	773
Sept	721

HEF's processed (as at 23/10/17):

17,000 manually processed HEF's (around 11,000 have been 'no changes')
29,732 Imported IVR records (people who have responded via internet (17,766), text (4,041) or telephone (7,925))
2,000 Invitations To Register sent out

Member Support Services

11. During Quarter 2, in addition to helping to organise the two elections, Member Support managed the business as usual and carried out the following:
- Published 20 agendas
 - Completed 20 sets of minutes
 - Spent 34 hours at evening meetings
 - Processed 42 public speakers at Committee
 - Published 5 Portfolio Holder Decisions
 - Published 6 Officer Decisions
 - Spent 2 hours 50 minutes at daytime meetings

Town & Parish Liaison

12. During the quarter the following were supported
- 6 x Community Association Meetings
 - 1 x Community Association AGM
 - 1 x Mayor's Tour Meeting
 - 2x High Sheriff Tour Meetings
 - 2x Lord-Lieutenant Tour Meetings
 - 4x Queens Award for Voluntary Service
 - 3x Mayors Civic Reception Meetings
 - Organised the High Sheriff and the Lord-Lieutenant Tours
 - Organised and run the Community Centre Managers Meeting
 - Organised and run the Town & Parish Clerks Meeting
 - Arranged and attended visits with the Mayor to Berkhamsted Town Council, Tring Town Council and Great Gaddesden Parish council

Civic Events Support

13. As usual, the Mayor had a very full programme of meetings including attending 16 events in July, 6 events in Aug and 12 events in Sept. Total for this period 34.


The Deputy Mayor attended 13 events over this period.

The major event of the period was the Regional Launch of the Tour of Britain at Dacorum Cycle Hub and then the Tour of Britain Stage 7 start from Bank Court.

The Mayor and Mayoress attended the retirement of Lady Verulum as the Lord Lieutenant of Hertfordshire and the following month hosted a visit and tour for the new Lord Lieutenant MR Robert Voss CBE.

OSC Report - Finance & Resources Department - Performance and Projects Sep-2017

Indicator Name	Results Sep-2017	Last Months Results Jun-17	Last Years Results Sep-16	RAG	Comments	Actions
Dacorum Delivers - Performance excellence						
HR02a - Turnover of staff	11 % Info Only	8 % Info Only	No Data Info Only		Updater Comments: Higher than last quarter. No data for last year	No Info
ICT01 - Percentage of incidents resolved in less than 2 days	91.34% 2195 / 2403 Target: 90	92.06% 2121 / 2304 Target: 90	90.65% 950 / 1048 Target: 90	0 2 2	Approver Comments: Good performance across the quarter	No Info
ICT02 - Availability of primary systems (office hours)	100% Target: 99	99.9% Target: 99	100% Target: 99	0 0 4	Approver Comments: Excellent availability	No Info
HR03 - Total days lost through sickness absence	1783 Days Info Only	1233.75 Days Info Only	1464.25 Days Info Only			No Info
HR04a - Total days lost through SHORT TERM sickness absence	524.5 Days Info Only	293.75 Days Info Only	408.25 Days Info Only		Updater Comments: Higher than last quarter and last year	No Info
HR04b - Total days lost through LONG TERM sickness absence	1258.5 Days Info Only	940 Days Info Only	1056 Days Info Only			No Info
HR05 - Average days lost due to sickness absence per FTE - profiled target	0.9 Days 594.33 / 663 Target: 0.76	0.64 Days 411.25 / 647 Target: 0.54	0.75 Days 488.08 / 652 Target: 2	0 3 1		No Info
ICT06 - Total number of incidents and service requests reported (ICT)	3714 Info Only	3558 Info Only	2245 Info Only		Approver Comments: Broadly in line with previous quarters	No Info
Dacorum Delivers - Reputation and profile delivery						
WEB03 - Number of Website Users	128218 Info Only	132907 Info Only	No Data Info Only		Updater Comments: In Q2 we have seen 253,956 sessions from 128,218 unique users on our website	No Info

Indicator Name	Results Sep-2017	Last Months Results Jun-17	Last Years Results Sep-16	RAG	Comments	Actions
CS02a - Percentage stage 1 complaints resolved in 15 days for the Council	80.3% 53 / 66 Target: 80	71.11% 32 / 45 Target: 80	93.75% 135 / 144 Target: 80	 1 0 3	Updater Comments: Performance meeting target and on continual improvement Directorate Support have added measures during the qtr to monitor complaint deadlines and work with GMs to ensure they are met	No Info
CS02b - Percentage stage 2 complaints resolved in 15 days for the Council	100% 2 / 2 Target: 80	25% 1 / 4 Target: 80	85% 17 / 20 Target: 80	1 1 2	Updater Comments: Performance exceeding target at 100% - no actions required at this time	No Info



PERFORMANCE DASHBOARD

Performance Report by Group Manager

KEY			
Target missed	■	No data	■
Within tolerance	■	No target	■
Target met / exceeded	■	Hover text	i

Quarterly Performance Report - by Group Manager			Reporting Period - September 2017					
Indicator Name	Indicator Owner	Updater & Secondary updater	Results Sep-17	Last Months Results Jun-17	Last Years Results Sep-16	Rolling RAG	Comments	Actions
Legal Governance								
Dacorum Delivers - Reputation and profile delivery								
DPA01 - Percentage of DPA requests met in 40 days	Mark Brookes	John Worts Barbara Lisgarten	No Data Info Only	100% 14/14 Target: 100	100% 9/9 Target: 100	0 0 4		
FOI01 - Percentage FOI requests satisfied in 20 days	Mark Brookes	John Worts Barbara Lisgarten	No Data Info Only	98% 147/150 Target: 100	97.37% 148/152 Target: 100	1 3 0		
Dacorum Delivers - Performance excellence								
LG03 - Percentage of Right to Buy documents sent to tenants/their Solicitors within 15 working days of receipt of full instructions	Mark Brookes	Christopher Gaunt Barbara Lisgarten	100% 15/15 Info Only	100% 21/21 Info Only	100% 25/25 Info Only	0 0 1	i	
LG06 - Percentage of housing possession proceedings commenced within 20 working days of receipt of full instructions	Mark Brookes	Barbara Lisgarten Barbara Lisgarten	100% 2/2 Info Only	No Data 0/0 Info Only	100% 3/3 Info Only	0 0 1	i	
LG09 - Percentage of prosecution proceedings commenced within 20 working days of receipt of full instructions	Mark Brookes	Barbara Lisgarten Barbara Lisgarten	100% 4/4 Info Only	100% 2/2 Info Only	No Data 0/0 Info Only	0 0 1	i	
Democratic Services								
Dacorum Delivers - Reputation and profile delivery								
MS01 - Average number of training	Jim Doyle	Trudi Coston	No Data	No Data	No Data	0 0 0		

opportunities taken up per Member	Jim Doyle	Trudi Coston	Info Only	Info Only	Info Only	0 0 0		
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AGENDA ITEM:

SUMMARY

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

Title of report:	Performance and Risk report Quarter 2 2017/18 – Performance, People & Innovation
Contact:	Neil Harden, Portfolio Holder for Residents and Corporate Services Author/Responsible Officer: Robert Smyth, Assistant Director - Performance, People & Innovation
Purpose of report:	To provide the Committee with analysis of performance and risk management for the services and functions provided by the Performance, People & Innovation Division.
Recommendations	That the Committee notes the contents of the report and the performance of the division for Quarter 2 2017/18.
Corporate objectives:	The Performance, People & Innovation division supports the delivery of all corporate objectives, although there is a particular focus on 'modern and efficient council'. That is why it is important that it is able to meet its performance objectives and manage risk.
Implications:	<u>Financial</u> Poor performance could lead to increases in costs as well as reducing the value of our service offer.
'Value For Money Implications'	<u>Value for Money</u> The work of the division supports the achievement of value for money in the pursuit of the Council's objectives
Risk Implications	Risk Assessment reviewed October 2017.
Equalities Implications	There are no equalities implications arising from this report.

Health And Safety Implications	There are no health and safety implications arising from this report.
Consultees:	None
Background papers:	Attached: 1. Quarter 2 Operational Risk and Performance reports
Historical background <i>(please give a brief background to this report to enable it to be considered in the right context).</i>	<p>This is a regular report to the committee detailing the performance of the division over the last quarter.</p> <p>The review also considers operational risks and highlights any additional controls and assurances needed to address the issues raised.</p> <p>The focus of the service has recently expanded and it now includes:</p> <ul style="list-style-type: none"> - Performance, innovation and project management - IT and digital services - Corporate admin and support - HR and organisational development - Communications - Community partnerships and leisure
Glossary of acronyms and any other abbreviations used in this report:	<ul style="list-style-type: none"> • IT – Information Technology team • FirstCare – The Council’s sickness management system • KPIs – Key performance indicators

Introduction

- 1.1 Performance reports are produced on a quarterly basis with information collated in the Council's new performance management system (Rocket).
- 1.2 The performance report for the division is attached and it examines progress in relation to three key themes:
 - 1.2.1 Complaints handling
 - 1.2.2 Human Resources
 - 1.2.3 IT and Digital Services
- 1.3 Targets are included in those areas where it would act as a positive driver on performance behaviour.

Monitoring Performance

Summary

- 2.1 Following an annual review (and linked to the new Service Plan) the Department has amended the indicator list, to ensure that performance monitoring focuses on the most important areas.
- 2.2 Based on the new list, overall performance in quarter 2 is positive. Of the five targetable indicators, four were green and one was amber. The amber indicator was the "average days lost due to sickness per FTE".

Detailed Analysis

Complaints Handling

- 2.3 The total number of Stage 1 complaints (66) is significantly below the previous quarter (144). Stage 2 complaints has also reduced. This is likely to be due to improvements in our complaints policy.
- 2.4 Overall performance has also improved significantly with 80.3% of Stage 1 complaints now being resolved in the new target of 15 days. 100% of Stage 2 complaints met the target.

HR

- 2.5 Sickness absence has increased by 318.75 days. A worsening in both short-term and long-term sickness causes this. This is disappointing, but the Council is continuing to operator a robust management process that involves a senior management team (supported by HR) reviewing every case of sickness on a monthly basis to ensure that we are taking robust action. We have also launched a second phase sickness project to identify and address the underlying causes of high levels of sickness. We are also implementing a programme of wellbeing initiatives including the workplace online fitness challenges and wellbeing courses.

2.6 Staff turnover is a new indicator, which can help the organisation to understand its performance in relation to employee retention and motivation. The average rate in Q1 was 11% compared to a public sector average of 12% and a broader business average of 15%.

IT and Digital Services

2.7 The percentage of incidents resolved in less than two days (91.34%) was above target, which reflects the good work of the Service Desk. However, we are undertaking a piece of work to understand the significant increase in incidents and requests.

2.8 In Q2, we have seen 253,956 sessions with 128,218 unique users.

Risk Management

PP_R011 Failure to deliver Digital Dacorum leads to poor customer experiences and increased costs from calls and face-to-face visits

2.9 In the last quarter we have launched a new digital council tax enquiry form and run pilots for e-benefits notices and e-landlord schedules.

PP_R012 Failure to deliver an effective approach to the management of performance, projects and complaints

2.10 The majority of performance indicators and 85% of projects are in target. We have also provided 50 days on internal consultancy support to help support service re-design.

PP_R014 Failure to achieve the service outcomes outlined in each of the new community and Leisure contracts (reworded risk)

2.11 The community contracts are continuing to perform effectively. The leisure commissioning process has gone live and we will be evaluating bids in November.

PP_R015 Failure to effectively and proactively manage the media profile of DBC including social media

2.12 In Q2, we posted over 1,710 outbound messages across our 18 social media accounts, received 663 direct messages and had a total twitter reach of 4.59 million viewers.

PP_R016 Failure to effectively and proactively manage all aspects of employee relations

2.13 We continued to provide dedicated support and coaching for all managers engaged in employee relation issues. Staff turnover rates (as measured in Q2) remains low at 11%.

PP_R017 Failure to support the organisation, and in particular the leadership team, to manage organisational change and staff development including the move to the Forum

2.14 In the last quarter the Improvement and Innovation team have provided 50 days of internal 'change consultancy' to help services. We have also begun work on a number of transformation projects and in promoting a culture of challenge.

PP_R018 Failure to understand and respond to the current and future technology needs of the Council


2.15 Work is underway to prepare the replacement of existing PCs and the tender will close at the end of October. We are also exploring future technology concepts.

PP_R04 Failures in ICT resilience or security leading to significant system downtime

2.16 In Q2 overall systems availability was 100%. The Council deploys a wide range of security controls and work is progressing on delivery of resilient lines on the BT network to the Council's data centre.

OSC Report - Finance & Resources Department - Performance and Projects Sep-2017

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Dacorum Delivers - Performance excellence						
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HR04a - Total days lost through SHORT TERM sickness absence	524.5 Days Info Only	293.75 Days Info Only	408.25 Days Info Only		Updater Comments: Higher than last quarter and last year	No Info
HR04b - Total days lost through LONG TERM sickness absence	1258.5 Days Info Only	940 Days Info Only	1056 Days Info Only			No Info
HR05 - Average days lost due to sickness absence per FTE - profiled target	0.9 Days 594.33 / 663 Target: 0.76	0.64 Days 411.25 / 647 Target: 0.54	0.75 Days 488.08 / 652 Target: 2	0 3 1		No Info
ICT06 - Total number of incidents and service requests reported (ICT)	3714 Info Only	3558 Info Only	2245 Info Only		Approver Comments: Broadly in line with previous quarters	No Info
Dacorum Delivers - Reputation and profile delivery						
WEB03 - Number of Website Users	128218 Info Only	132907 Info Only	No Data Info Only		Updater Comments: In Q2 we have seen 253,956 sessions from 128,218 unique users on our website	No Info

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Performance and Projects - Robert Smyth

PP_R011 Failure to deliver Digital Dacorum leads to poor customer experiences and increased costs from calls and face to face visits

Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: Robert Smyth	Portfolio Holder: Neil Harden	Tolerance: Treating
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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
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<p>85% of adults use the internet regularly and people expect services that reflect their 24/7 online lives.</p> <p>Digital services also provide an opportunity to use new technology to reduce costs while maintaining or improving service quality.</p> <p>However if we don't deliver our digital vision (Digital Dacorum) this will have major consequences.</p> <p>It will mean that we can't provide services in the most effective way. It will also lead to improvements and savings not being realised. Also systems and processes will fall further behind the expectations of residents.</p> <p>Failure to deliver an effective approach to digital services will also result in reputational damage.</p> <p>The customer experience will also suffer as residents</p>	<p>We initially created a detailed Digital Dacorum programme and plan to help develop our digital aspirations.</p> <p>This has now been delivered and we are moving onto the next phase which will be delivered through our Technology and Digital Transformation Strategy and our Transforming the way we work strategy.</p> <p>These actions are managed and supported by the Digital team and governed by a Digital Project Board. They are also monitored at the monthly Performance Board.</p>	<ul style="list-style-type: none"> - Specialist digital staff are in place - ICT and Digital Transformation Strategy and Transforming the way we work Strategy - New website has gone live - New content management and governance process has been introduced - Schedule for re-design of services.
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September 2017



cannot access services at a time and in a way that is best for them.		
Sign Off and Comments		
<p>Sign Off Complete</p> <p>We have continued to make progress on the development of our digital strategy. We launched new digital council tax enquiries form which has had 1199 new applications, reducing data entry costs and risks. We have also continued to reduce postage costs by 19% in Q2 2017 compared to Q2 2016. We have also been working on address cleansing to ensure we get the best possible discount for clean mail. Over this period, we have run a pilot for E-benefits Decision Notices and E-Landlord Schedules. This should further reduce postage.</p>		

PP_R012 Failure to deliver an effective approach to the management of performance, projects and complaints					
Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: Robert Smyth	Portfolio Holder: 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	4 Severe	8 Amber
Consequences		Current Controls		Assurance	
<p>The ability to manage performance, projects and complaints is vital if we are going to successfully deliver the Council's objectives and priorities.</p> <p>Effective project and performance management ensures that we can deliver what's expected on time and under budget. It also enables us to maximise value for money.</p> <p>However poor project and performance management leads to cost overruns, delays and a failure to achieve outcomes. It also causes opportunity costs and can leads</p>		<p>We have recently launched Managing Projects Successfully, our new approach to project management. This provides detailed step-by-step guidance on how to develop, define, manage and evaluate a project.</p> <p>We have a well established performance management system (Corvu) underpinned by a detailed performance framework.</p> <p>We have a team of performance and project management specialists and on a monthly basis we</p>		<p>- We monitor performance, projects and complaints on a monthly, quarterly and annual basis</p> <p>- We have a dedicated performance and project management system (Rocket and PMO online)</p> <p>- We have a project management framework (managing projects successf</p>	

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to expensive or ineffective remedial work. Failure to manage complaints can lead to poor service, dissatisfaction and an inability to learn from mistakes and issues.	produce programme and performance monitoring reports which are scrutinised at a Member led Performance Board and Group. We have a robust complaints policy and a specialist complaints management system.	
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Sign Off and Comments

Sign Off Complete

We continue to deliver effective performance and project management. The majority of projects are being delivered on time and 85% of projects are in target (with a further 10% currently amber). The Improvement and Innovation Team have provided over 50 days of internal consultancy helping to support service re-design and innovation. The new performance reporting system and online project office have been successfully rolled out and we are seeing positive feedback from managers. The project management office is now being used across all directorates with a variety of projects. The new complaints policy and system has also been implemented and this is resulting in a streamlined approach.

PP_R014 Failure to achieve the service outcomes for the community and Leisure Contracts

Category: Organisational/Management	Corporate Priority: Dacorum Delivers	Risk Owner: Robert Smyth	Portfolio Holder: 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	4 Severe	8 Amber
Consequences		Current Controls		Assurance	
The community contracts provide vital support services for some of the most vulnerable residents in Dacorum. The contracts are: - Information, Advice and Advocacy		We have introduced a number of controls which manage the risk of not achieving the service outcomes: We have and are undertaking a comprehensive and robust commissioning process, which ensures that we		- Commissioning Tender Returns - Contracts and Agreements - KPI Monitoring Reports/Surveys etc.	

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<ul style="list-style-type: none"> - Supporting the Voluntary Sector - Reducing Social Isolation - Living Stable Lives - Promoting Healthy Relationships <p>The forthcoming leisure contract will ensure that our leisure facilities are managed in the most effective way possible.</p> <p>However if we don't achieve the outcomes from each contract, the community will receive inadequate services which can have serious consequences.</p> <p>Failure to deliver would also adversely affect the capacity of the local VCS and the community and local sports clubs.</p> <p>There would also be negative implications for the reputation of the Council and for the services involved.</p>	<p>select providers that can deliver on our objectives.</p> <p>We will agree KPIs with each contract.</p> <p>We will conduct regular contractual performance meetings and we have a well established process for dealing with any issues.</p> <p>All the contracts will be managed by senior officers with oversight from the Group Manager and Assistant Director.</p> <p>We have also commissioned audits of our processes by Mazars.</p> <p>We have commissioned specialist advice from legal and leisure consultants.</p>	
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Sign Off and Comments

Sign Off Complete

Community Contracts:

The community contracts are continuing to performance effectively. We hold regular meetings with each of the service providers and we are reviewing contract performance data.

Leisure

The leisure commissioning process has gone live and we will be evaluating bids in November. We are also working closely with clubs and users on the development of a new sports and physical activity strategy. As has been noted before, the procurement process has been independently audited by Mazars and they found this was undertaken in line with good practice and Council rules.

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PP_R015 Failure to effectively and proactively manage the media profile of DBC including social media					
Category: Service Delivery	Corporate Priority: Dacorum Delivers	Risk Owner: Robert Smyth		Portfolio Holder: Neil Harden	Tolerance: Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
2 Unlikely	4 Severe	8 Amber	1 Very Unlikely	4 Severe	4 Green
Consequences		Current Controls		Assurance	
<p>The media profile of the organisation is a major issue. If our media profile is not professionally managed, it could lead to reputational risk for the council. This includes reputational risk/damage to members and council staff, and questions being asked about service delivery (as a council) and value for money.</p> <p>A positive media profile also offers a real opportunity to attract new investment and resources.</p> <p>The risks from social media occur either because we aren't using the tool to engage residents restricting our contact with key demographics, or because our reputation has been damaged due to inappropriate or negative use or postings.</p>		<p>We have a number of controls in place to mitigate these risks:</p> <p>For press and media coverage we use a press management system called Vuelio. This enables us to plan for both proactive and reactive issues and maintain control of all outbound and inbound media activities.</p> <p>We have developed good working relationships with the local press and media and continue to involve them in our important activities. Similarly the press are in regular contact with the communications team for comments or further information regarding campaigns and activities.</p> <p>For social media we use Crowd Control (CCHQ) which is the UK's leading risk management software for managing all social media accounts across the council. CCHQ is a web-based risk management platform that enables us to efficiently control access to our social</p>		<p>- We have a dedicated and experienced communications team with expertise across all forms of media.</p> <p>- The majority of press coverage has been positive with a large emphasis on the Hemel Evolution programme and the various zones that have been complete</p>	

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pages, keeping them safe and secure.

We also require all staff to read, understand and sign a number of policies relating to the use of social media and ICT.

Sign Off and Comments

Sign Off Complete

In Q2 we posted over 1,710 outbound messages across our 18 social media accounts, received over 663 direct messages which were responded to in accordance with our social media policy and guidance, and had a total potential twitter reach of 4.59 million viewers across our social media networks. We continue to operate a proactive and engaged social media programme, which is managed by a Communications Team with significant social media experience.

Some of the campaigns during this period include the announcement of the new splash park, launch of the renovated Water Gardens, Tour of Britain and Public Space Protection Order (PSPO) consultation. The success of our social media work is reflected in the local government ranking which regularly places Dacorum Borough Council as one of the highest ranked (of the 10 borough councils in Hertfordshire).

PP_R016 Failure to effectively and proactively manage all aspects of employee relations

Category: Service Delivery	Corporate Priority: Dacorum Delivers	Risk Owner: Robert Smyth	Portfolio Holder: 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	4 Severe	8 Amber
Consequences		Current Controls		Assurance	
Having highly motivated and productive staff is central to everything we do.		We have a number of controls in place to mitigate these risks:		- No Employment Tribunals over the last two years and very few employment appeals to Members.	
Failure to effectively manage all aspects of employee relations can have a number of implications.		We have robust employment policies that are reviewed regularly to ensure they are in line with good practice		- Staff turnover is low. Across 2015/16 the Council had a voluntary annual turnover rate of 10.6% (76 staff).	

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<p>A less motivated and productive workforce will lead to issues of poor service and performance. It can also cause high levels of sickness and dissatisfaction.</p> <p>It could also result in appeals and employment tribunal cases and staff turnover will increase causing additional disruption and cost.</p>	<p>and the latest employment legislation.</p> <p>We have regular employee relation meetings with trade unions and we consult with them on changes to any relevant policies and procedures.</p> <p>We provide training for managers on employment policies and all managers leading employee relation cases are supported by a qualified HR professional.</p> <p>We also undertake staff surveys and have recently set up a project to understand and respond to the findings of the most recent survey.</p>	<p>This compares positively to the public sector a</p>
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Sign Off and Comments

Sign Off Complete

We ensure that our employment policies and procedures are robust and reflect good practice and the latest developments in Employment Law. The HR team provides dedicated support and coaching for all managers when dealing with employee relation cases. Staff turnover remains low at 11% (based on Q2 figures). The new People Strategy has been implemented and a number of critical projects are soon to be implemented. This includes a new approach to corporate training, recruitment & selection and staff recognition.

PP_R017 Failure to support the organisation, and in particular the leadership team, to manage organisational change and staff development including the move to the Forum

Category: Service Delivery	Corporate Priority: Dacorum Delivers	Risk Owner: Robert Smyth	Portfolio Holder: 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	4 Severe	8 Amber

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Consequences	Current Controls	Assurance
<p>Managing and adapting to change is key if we are going to deliver the Council's vision.</p> <p>That's why we need to develop and foster a workforce that is flexible, responsive and able to manage organisation change.</p> <p>The consequences of this risk include dis-engaged staff, service delivery issues and low productivity.</p> <p>We could also experience high levels of turnover and a likelihood that key staff would relocate to other organisations.</p> <p>Staff not understanding the new culture within the forum could also cause productivity issues and relationship problems.</p>	<p>We have introduced a number of controls which manage the risk:</p> <p>Our Corporate training programme (featuring mandatory training courses) ensures that staff have the right skills.</p> <p>We have created a Forum Cultural Board to ensure we have the right tools and culture to work in a modern and efficient way.</p> <p>The Managing in Dacorum Programme – identifies and develops key management skills in our Leaders.</p> <p>The Organisational transformation group provides strategic advice and support.</p> <p>We are currently developing a people strategy to ensure staff have the skills, values and experience.</p> <p>Our Service Efficiency Programme (overseen by the Chief Operating Group) will also help to develop the change attitude within the organisation.</p>	<p>- 87% of staff are willing to work with change (staff survey)</p> <p>- Regular staff forum briefings with a bespoke information section on the intranet</p> <p>- Good attendance in the managing in Dacorum Programme</p> <p>- Services are well received from the public</p>
Sign Off and Comments		
Sign Off Complete		

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We have continued to undertake activities and projects to support organisational change and build up a culture of innovation. For example, text messaging as our first stage of council tax reminders (run through Gov.Notify) and Electronic landlord notifications for their scheduled payments and their notifications. We have been implementing the new transformation strategy and have begun work on several projects including IT training development, Digital Audits and automation of performance measures to assist in service planning and contract maintenance. We have also developed a series of projects to review and improve our approach to organisational development, coaching and leadership as well as to promote a challenge culture.

PP_R018 Failure to understand and respond to the current and future technology needs of the Council

Category: Technical/Operational	Corporate Priority: Dacorum Delivers	Risk Owner: Robert Smyth	Portfolio Holder: 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	4 Severe	8 Amber
Consequences		Current Controls		Assurance	
<p>ICT is central to the performance of departments. This includes both hardware and business applications (i.e. software) as well as the service desk and special projects.</p> <p>Poor ICT makes it difficult for departments to provide their services effectively. Issues with ICT can also have a negative impact on the reputation of DBC.</p> <p>In addition there can be significant knock-on costs as a result problems with IT including delays in processing benefits or responding to service requests.</p> <p>It will also make other agenda's like Digital Dacorum harder to implement.</p>		<p>We have put in place the necessary structure, strategy, plans, budgets and vision to ensure we respond to the current and future needs of the business.</p> <p>The service is based around four core elements:</p> <ul style="list-style-type: none"> - the service desk - infrastructure - special projects - business applications <p>In terms of controls we have a detailed ICT Strategy and Improvement Plan.</p> <p>We also have an established staffing compliment and</p>		<ul style="list-style-type: none"> - Regular dialogue between ICT and other services. - Technology is discussed regularly at Leadership Team meetings - ICT Strategy and Service Plan. - TOR for joint Customer Insight working group. - Digital Dacorum Strategy 	

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Page 75	<p>budget which has been shaped around the ICT needs of DBC.</p> <p>Having a technical project Manager in place has also ensured that further improvements are made.</p> <p>Each service has an in-team specialist business applications resource and there is a central applications lead to coordinate work.</p> <p>All staff are provided with the necessary hardware including the roll out of laptops as part of the Dacorum Anywhere programme.</p> <p>We have regular conversations with other council services and we take a category management approach to procurement.</p>	
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Sign Off and Comments

Sign Off Complete

We are continuing to implement the Council's new Technology & Digital Transformation Strategy. The tender process for the desktop refresh will close at the end of October with roll-out beginning in December. The new Applications Roadmap will shortly be launched and we are continuing work to upgrade our elections system (Strand), Finance System (Agresso) and Planning System (Accolaid). We are also planning to explore future technology concepts including software as a service and infrastructure as a service. A new application specialist for Civica Flare is being recruited as part of the centralisation of application support in addition to a developer to assist the Web Team lead the implementation of a new CRM system.

PP_R04 Failures in ICT resilience or security leading to significant system downtime

Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: Robert Smyth	Portfolio Holder: Neil Harden	Tolerance: Treating
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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	
<p>ICT is central to the performance of departments.</p> <p>A failure in ICT resilience or security would see loss of access to some or potentially all ICT applications and services.</p> <p>This would have serious consequences for productivity, communication links with the public and would have a major impact on public facing services.</p> <p>It could also lead to reputational damage or concerns about our capacity.</p>		<p>We have introduced a number of controls which manage the risk:</p> <p>Technical Controls -</p> <p>The Council has a secondary data centre in Aylesbury which can be put into action in the event of a serious failure of the primary data centre.</p> <p>Our Wide Area Network design provides resilient connectivity (diverse routing) so that if the direct connection from the Civic Centre to the primary data centre (Amersham) is severed, traffic will be re-routed to run via the secondary data centre (Aylesbury). NB: currently there is a common path to both connections between the Civic Centre and the nearest BT exchange.</p> <p>Servers exist in a virtual environment and are hosted across multiple physical machines, meaning there is less dependence on individual components.</p> <p>Data is replicated across the two data centres and is also backed up so that it can be called back and restored if required.</p>		<p>Assurance</p> <ul style="list-style-type: none"> - KPI's - ICT01 - % of incidents resolved in less than 2 days. ICT02 - Availability of primary systems. WEB01 - Website availability - High Level Recovery Plan available on request - Successful tests of DR procedure – assuring that services can be restored within the secondary data centre using replicated data. - PSN Compliance. 	

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Process controls -

Data back-ups are stored off site at Cupid Green.

Security -

We have a number of security processes in place, all of which is underpinned (and assured) by our PSN compliance.

These include corporate firewalls, anti-virus software on end point devices, end point security solutions to block unknown devices, encrypted hard drives, managed permissions and a two factor authentication process (name and crypto card).

Sign Off and Comments

Sign Off Complete

Our approach to ICT resilience continues to be effective and robust. Overall systems availability in Q2 was 100% and we are continuing to work through our annual PSN compliance process. We have a wide range of security controls in place including anti-virus software, corporate firewalls and various authentication processes. We are also shortly going to begin a refresh of our desktop provision which will contain our new remote working solution followed in the new year by the renewal of data centre technology expected to be smaller, more robust and to consume less energy. Work is also progressing on delivery of resilient lines on the BT network to the Council's data centre. We have also presented a report to CMT on ways to improve the technology skills and confidence of staff.

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FINANCE AND RESOURCES Overview & Scrutiny Committee: Work Programme 2017/18

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

Meeting Date:	Report Deadline	Items:	Contact details:	Background Information
7 November 2017	25 October 2017	<p>Action Points (from previous meeting)</p> <p>Budget Monitoring Report</p> <p>Quarter 2 Performance Reports (& Quarter 2 Operational Risk Reports)</p> <p>Legal Governance & Democratic Services</p> <p>Performance, People & Innovation</p> <p>Finance & Resources</p>	<p><i>PH – Cllr Harden & Cllr Elliot)</i></p> <p>Chairman</p> <p>D Skinner, Assistant Director, Finance & Resources</p> <p>M Brookes, Solicitor to the Council</p> <p>R Smyth, Assistant Director, Performance, People & Innovation</p> <p>D Skinner, Assistant Director, Finance & Resources</p>	

Meeting Date:	Report Deadline	Items:	Contact details:	Background Information
Joint Budget 5 December 2017	22 November 2017	Joint Budget OSC <i>Ideally no further items to be added</i>	J Deane, Director (Finance & Resources) D Skinner, Assistant Director (Finance & Resources) R Baker, Group Manager (Finance & Resources)	
9 January 2018	27 December 2017	Action Points (from previous meeting)		
Joint Budget 6 February 2018	24 January 2018	Joint Budget OSC <i>Ideally no further items to be added</i>	J Deane, Director (Finance & Resources) D Skinner, Assistant Director (Finance & Resources) R Baker, Group Manager (Finance & Resources)	
6 March 2018	21 February 2018	Action Points (from previous meeting) Budget Monitoring Report Quarter 3 Performance Reports (& Quarter 3 Operational Risk Reports)	(PH – Cllr Harden & Cllr Elliot) Chairman D Skinner, Assistant Director, Finance & Resources	

Meeting Date:	Report Deadline	Items:	Contact details:	Background Information
		<p><i>Legal Governance & Democratic Services</i></p> <p><i>Performance, People & Innovation</i></p> <p><i>Finance & Resources</i></p>	<p>M Brookes, Solicitor to the Council</p> <p>R Smyth, Assistant Director, Performance, People & Innovation</p> <p>D Skinner, Assistant Director, Finance & Resources</p>	

Items to be scheduled: