

PERFORMANCE AND RISK REPORT FOR THE 2012/13 FINANCIAL YEAR

Cabinet Member Cllr Neal Davey
Responsible Officer Head of Communities & Governance

Reason for Report: To provide Members with an update on performance against the corporate plan and local service targets for the 2012/13 financial year as well as providing an update on the key business risks.

RECOMMENDATION: That the Committee note the contents of the Report.

Relationship to Corporate Plan: Corporate Plan priorities and targets are effectively maintained through the use of appropriate performance indicators and regular monitoring

Financial Implications: None identified

Legal Implications: None

Risk Assessment: If performance is not monitored we may fail to meet our corporate plan and local service plan targets or take appropriate corrective action where necessary.

1.0 Introduction

- 1.1 This report provides Members with details of performance against the corporate plan and local service targets (Appendices 1- 6) for the 2012/13 financial year.
- 1.2 Appendices 1 - 6 have been taken directly from SPAR our Service Performance and Risk management system for this report. A glossary of terms for the Appendices is included at the end of this report.

2.0 Management comment – corporate plan and local service performance targets

Managing the Environment Portfolio - Appendix 1

- 2.1 The amount of **waste going to landfill** has decreased over the last 3 years at an above target rate despite the rate for 2012/13 being higher than 2011/12. There is an on-going campaign to achieve a corresponding increase in recycling rates which remain below target.
- 2.2 The annual figures for our **carbon footprint** for 2012/13 are now available and are below target. There was a large increase in gas use due to the extreme cold weather in March; this was partially offset by a saving on electricity due to the environmental measures we have put in place.

- 2.3 However the **degree day adjusted** figure is well above target because it reflects the effect of annual temperature variations on energy consumption.

Decent and affordable Homes Portfolio - Appendix 2

- 2.4 Delivering **affordable homes** is one aspect of our Corporate Plan priority; "Better homes". While only 77 **new** affordable homes have been built in 2012/13 over which MDDC has little control, 33 **empty houses** have been brought back into use which means overall we almost reached the joint target of 115 units for 2012/13. Both measures were a massive improvement on 2011/12: New: 77 units (28), Empty: 33 units (6).
- 2.5 The **repairs** service was above target for all its indicators and also exceeded last year's performance in all areas except **emergency repairs** which was marginally lower.
- 2.6 Current **rent arrears** have been kept at a low level exceeding the target for 3 years running. **Rent collection** is slightly below target and the service will need to keep a close watch on this as the effects of the benefit changes start to be felt in 2013/14.

Community Well Being Portfolio - Appendix 3

- 2.7 For **Community Development** performance has been good with most targets being exceeded for 2012/13 although not all were an improvement on 2011/12's performance.
- 2.8 **Leisure** has improved the retention rate for members compared to last year and exceeded their target for 2012/13 as well.

Planning and Regeneration Portfolio - Appendix 4

- 2.9 Planning performance is generally on or above target for the year.
- 2.10 **Land Charges Searches** are marginally below target along with **Building Regulation Applications**; both have improved since quarter 3 and in the case of building regulations from 2011/12 as well. The figures in appendix 4 are cumulative.
- 2.11 For **empty shops** the position has improved in all 3 major towns however **footfall** has not.

Working Environment Portfolio - Appendix 5

- 2.12 Most indicators are at or above target. **Working Days Lost due to Sickness Absence** remains just below 8 days for the year which is favourable.
- 2.13 The **% of incoming calls answered** is above target but the **% calls answered within 2 minutes** is not, although it is better than last year. The number of calls a month is up 5% on last year.

2.19 The register now has an additional column for the “target score” which is the tolerance level for each risk as set by Management Team.

2.20 We are still going through a risk review exercise with service managers; any risks from service business plans which meet the above criteria for inclusion will be added to the corporate risk register.

3.0 Conclusion and Recommendation

3.1 On the whole it can be seen from Appendices 1-6 that performance is positive. For those areas where performance is below target action is being taken to either address the issues or to make future targets more realistic.

Contact for more Information: Amy Tregellas, Head of Communities & Governance ext 4246

Circulation of the Report: Management Team and Cabinet Members

Glossary of Terms

Prev Year End: This is the actual final value for the year 2011/12

Annual Target: This is the year end target for 2012/13

Current Target: This is the profiled target for the 2012/13 year to date

Q1-Q4 Act: These are the actuals for the 2012/13 year to date quarter by quarter. Some indicators do not have results for every quarter.

Improvement: This is against the corresponding quarter last year

Managing the Environment Portfolio - Appendix 1

Quarterly report for 2012-2013

No headings

For Managing the Environment Portfolio

For MDDC - Services

Filtered by Performance Status: Exclude PI Status: Data not due, Not calculable

Key to Performance Status:

Performance Indicators:

No Data

Well below target

Below target

On target

Above target

Well above target

Key to change on same period in previous year:



Improved Performance



Worse Performance



Unchanged

Managing the Environment Portfolio - Appendix 1

Performance Indicators									
Status	Title	Prev Year End	Annual Target	Current Target	Q1 Act	Q2 Act	Q3 Act	Q4 Act	Improvement
Above target	<u>Reduce the amount of waste going to landfill by 9%</u>	470.48	490.00	490.00	121.12	236.12	362.37	487.71	↓
Management Notes:									
Well below target	<u>Reduce the carbon footprint of our offices and public buildings by 2% pre adjustment</u>	+8.8	+2.0	+2.0	n/a	n/a	n/a	-10.6	↓
Management Notes: (2012 - 2013) Increase due to gas usage during March, huge saving on electricity due to solar and CHP works. (AB)									
Well above target	<u>Reduce the carbon footprint of our offices and public buildings by 2% post adjustment</u>	-5.4%	0.5%	0.5%	n/a	n/a	n/a	5.8%	↑
Management Notes: (2012 - 2013) Due to extreme temperature variations between 2012-13 and 2011-12 - a difference of 450 degree days. (AB)									
Well below target	<u>Increase Dry Recycling Rate to 20% by 2013</u>	16.07%	20.00%	20.00%	14.61%	14.15%	13.95%	14.70%	↓
Management Notes: (Quarter 4) There is an on-going communications project to look at how we can improve recycling rates. (SN)									
Below target	<u>% of Household Waste Reuse, Recycled and Composted</u>	49.1%	50.0%	50.0%	48.6%	49.7%	47.4%	46.2%	↓
Management Notes:									
Well above target	<u>% of missed collections per Quarter (refuse and organic waste)</u>	n/a	0.30%	0.30%	0.02%	0.02%	0.05%	0.04%	n/a
Management Notes:									

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Managing the Environment Portfolio - Appendix 1									
Performance Indicators									
Status	Title	Prev Year End	Annual Target	Current Target	Q1 Act	Q2 Act	Q3 Act	Q4 Act	Improvement
Well above target	<u>% of Missed Collections per Quarter (recycling)</u>	n/a	0.30%	0.30%	0.03%	0.06%	0.04%	0.06%	n/a
Management Notes:									

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Decent and Affordable Homes Portfolio - Appendix 2

Quarterly report for 2012-2013

No headings

For Decent and Affordable Homes Portfolio

For MDDC - Services

Filtered by Performance Status: Exclude PI Status: Data not due, Not calculable

Key to Performance Status:

Performance Indicators:	No Data	Well below target	Below target	On target	Above target	Well above target
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Key to change on same period in previous year:

↑	Improved Performance	↓	Worse Performance	↔	Unchanged
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Decent and Affordable Homes Portfolio - Appendix 2

Performance Indicators									
Status	Title	Prev Year End	Annual Target	Current Target	Q1 Act	Q2 Act	Q3 Act	Q4 Act	Improvement
Well above target	<u>Deliver 15 affordable homes per year by bringing Empty Houses into use</u>	6	15	15	5	29	32	33	↑
Management Notes: (Quarter 4) The CT workload backlog prevents me from getting data to claim any gains for the final quarter. When they catch up it may produce better than expected results for 2013/14 first quarter. (HS)									
Well below target	<u>Number of affordable homes delivered (gross)</u>	28	100	100	21	21	63	77	↑
Management Notes: (Quarter 1 - 4) The economic climate has meant that the number of new developments has been less than hoped for (NS)									
Above target	<u>% Emergency Repairs Completed on Time</u>	99.82%	99.50%	99.50%	100.00%	100.00%	99.64%	99.73%	↓
Management Notes:									
Above target	<u>% Urgent Repairs Completed on Time</u>	98.9%	98.50%	98.50%	99.50%	99.58%	99.65%	99.74%	↑
Management Notes:									
Above target	<u>% Routine Repairs Completed on Time</u>	98.6%	98.50%	98.50%	99.49%	99.72%	99.76%	99.82%	↑
Management Notes:									
Above target	<u>% Repairs Completed at First Visit</u>	97.8%	98.50%	98.50%	98.60%	99.03%	99.18%	99.33%	↑
Management Notes:									
Above target	<u>Ratio of expenditure between planned and responsive repairs</u>	65.35	70.30	70.30	56.44	65.35	77.23	74.26	↑
Management Notes:									
Below target	<u>Rent Collected as a Proportion of Rent Owed</u>	100.85%	100.50%	100.50%	97.23%	97.48%	99.98%	99.74%	↓
Management Notes:									

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Decent and Affordable Homes Portfolio - Appendix 2

Performance Indicators									
Status	Title	Prev Year End	Annual Target	Current Target	Q1 Act	Q2 Act	Q3 Act	Q4 Act	Improvement
Above target	<u>Rent Arrears as a Proportion of Annual Rent Debit</u>	0.85%	1.00%	1.00%	1.66%	2.00%	1.13%	0.86%	↓
Management Notes:									
Well below target	<u>% Decent Council Homes</u>	84.5%	90.00%	90.00%	84.08%	83.85%	81.29%	80.20%	↓
Management Notes: (March) The first tranche of back log funding was not received until the first quarter of 13/14 which has delayed progress however we are still on target to achieve 100% by 2014/15 (NS)									
Below target	<u>% Properties With a Valid Gas Safety Certificate</u>	99.71%	100.00%	100.00%	99.90%	100.00%	100.00%	99.90%	↑
Management Notes:									
Above target	<u>Average Days to Re-Let Local Authority Housing</u>	17.32days	18.00days	18.00days	21.14days	15.52days	16.84days	17.01days	↑
Management Notes:									

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Community Well-Being Portfolio - Appendix 3

Quarterly report for 2012-2013

No headings

For Community Well-Being Portfolio

For MDDC - Services

Filtered by Performance Status: Exclude PI Status: Data not due, Not calculable

Key to Performance Status:

Performance Indicators:	No Data	Well below target	Below target	On target	Above target	Well above target
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Key to change on same period in previous year:

↑	Improved Performance	↓	Worse Performance	↔	Unchanged
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Community Well-Being Portfolio - Appendix 3

Performance Indicators									
Status	Title	Prev Year End	Annual Target	Current Target	Q1 Act	Q2 Act	Q3 Act	Q4 Act	Improvement
Well above target	<u>% Void Rate (Commercial Units)</u>	n/a	5.00%	5.00%	2.86%	8.57%	2.86%	2.86%	n/a
Management Notes:									
Well above target	<u>Number of Enquiries for Funding Advice</u>	252	100	100	45	91	125	196	↓
Management Notes:									
Above target	<u>% of Enquiries Responded to within 10 Working Days.</u>	99%	95%	95%	98%	100%	100%	97%	↓
Management Notes:									
No Target	<u>Total Amount of External Funding brought into Mid Devon</u>	£121,698			£32,500	£96,916	£123,866	£261,093	↑
Management Notes:									
Above target	<u>Number of Consultations Supported</u>	41	40	40	9	31	38	42	↑
Management Notes:									
On target	<u>£ Council Grants / Head of Population</u>	n/a	£3.21	£3.21	n/a	n/a	n/a	£3.21	n/a
Management Notes:									
Well above target	<u>Number of Citizen's Panel Mail-outs Per Year</u>	3	3	3	1	3	3	4	↑
Management Notes:									
Well above target	<u>Deliver services through Mid Devon Connect by providing six projects throughout the District</u>	7	6	6	1	7	7	8	↑
Management Notes:									
Below target	<u>Ensure 80% of people who contact the Council about anti-social behaviour see</u>	90%	80%	80%	83%	76%	78%		↓

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Community Well-Being Portfolio - Appendix 3

Performance Indicators									
Status	Title	Prev Year End	Annual Target	Current Target	Q1 Act	Q2 Act	Q3 Act	Q4 Act	Improvement
	<u>improvements</u>								
Management Notes: (Quarter 4)									
Some details collected by Services after the close of quarter so information will be available by 30 May 2013.									
(JR)									
Well above target	<u>Conduct a number of community action days</u>	4	2	2	0	1	1	3	↓
Management Notes:									
Well below target	<u>Deliver a number of community projects</u>	6	2	2	0	0	0	1	↓
Management Notes: (Quarter 4)									
The team is working on a number of community projects, most of which are reliant on external bodies (such as funding and suppliers) for their completion. Our focus is on supporting other people to deliver these projects, but the actual and timeliness of delivery is beyond our control.									
(ZL)									
Below target	<u>Inspections of food premises (annual figure)</u>	100%	100%	100%	n/a	n/a	n/a	92%	↓
Management Notes:									
Above target	<u>Response to service requests</u>	98%	95%	95%	96%	85%	96%	99%	↑
Management Notes:									
On target	<u>Response to water sampling requests</u>	100%	95%	95%	100%	83%	100%	100%	↔
Management Notes:									
Well above target	<u>Response to Planning consultations</u>	98%	75%	75%	98%	100%	98%	87%	↓
Management Notes:									
On target	<u>A and B1 risk inspections</u>	100%	100%	100%	100%	100%	100%	100%	↔
Management Notes:									
On target	<u>Investigate 100% of accidents Incident</u>	100%	100%	100%	100%	100%	100%	100%	↔
Management Notes:									
On target	<u>Investigate 100% of accidents Complaint</u>	100%	100%	100%	100%	100%	100%	100%	↔
Management Notes:									
Below target	<u>Operational Recovery Rate</u>	86.6%	86.50%	86.50%	86.34%	87.62%	86.78%	85.23%	↓
Management Notes:									
Above target	<u>Retention Rate for Leisure Members</u>	92%	95%	95%	94%	94%	96%	96%	↑

Community Well-Being Portfolio - Appendix 3**Performance Indicators**

Status	Title	Prev Year End	Annual Target	Current Target	Q1 Act	Q2 Act	Q3 Act	Q4 Act	Improvement
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Management Notes:

Below target	<u>Compliance with food hygiene law</u>	89%	90%	90%	90%	90%	89%	90%	↑
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Management Notes:

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Planning and Economic Development Portfolio - Appendix 4

Quarterly report for 2012-2013

No headings

For Planning and Economic Development Portfolio

For MDDC - Services

Filtered by Performance Status: Exclude PI Status: Data not due, Not calculable

Key to Performance Status:

Performance Indicators:	No Data	Well below target	Below target	On target	Above target	Well above target
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Key to change on same period in previous year:

↑	Improved Performance	↓	Worse Performance	↔	Unchanged
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Planning and Economic Development Portfolio - Appendix 4

Performance Indicators									
Status	Title	Prev Year End	Annual Target	Current Target	Q1 Act	Q2 Act	Q3 Act	Q4 Act	Improvement
Above target	<u>Reduce the number of empty shop units (TIVERTON)</u>	8.4%	9.00%	9.00%	8.20%	8.40%	9.00%	8.80%	↓
Management Notes:									
Well above target	<u>Reduce the number of empty shop units (CREDITON)</u>	10.3%	12.00%	12.00%	6.90%	10.30%	5.50%	5.20%	↑
Management Notes:									
Above target	<u>Reduce the number of empty shop units (CULLOMPTON)</u>	15.0%	16.00%	16.00%	18.50%	20.70%	20.50%	14.70%	↑
Management Notes:									
Above target	<u>Planning Applications: Householder Applications</u>	85%	80%	80%	72%	80%	82%	81%	↓
Management Notes:									
Above target	<u>Enforcement site visits</u>	95%	87%	87%	100%	100%	100%	100%	↑
Management Notes:									
Above target	<u>Delegated decisions</u>	94%	90%	90%	93%	92%	92%	93%	↓
Management Notes:									
Above target	<u>Planning Applications: over 13 weeks old</u>	33	45	45	36	44	45	45	↓
Management Notes:									
Well above target	<u>Customers rating the service good</u>	92%	75%	75%	88%	87%	90%	92%	↔
Management Notes:									
Below target	<u>Searches carried out w/in 5 working days</u>	100.00%	100.00%	100.00%	100.00%	99.89%	99.93%	99.95%	↓
Management Notes:									
Below target	<u>Building Regulation Applications</u>	86.50%	95%	95%	80%	86%	90%	92%	↑

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Planning and Economic Development Portfolio - Appendix 4

Performance Indicators									
Status	Title	Prev Year End	Annual Target	Current Target	Q1 Act	Q2 Act	Q3 Act	Q4 Act	Improvement
Management Notes:									
Above target	<u>Building Regulation Full Plan Applications</u>	100.00%	95%	95%	100%	100%	99%	100%	↓
Management Notes:									
Well below target	<u>Monitor the vitality and Viability of Town centres by measuring changes in footfall (TIVERTON)</u>	0.2%	2.0%	2.0%	n/a	n/a	n/a	-16.5%	↓
Management Notes:									
Above target	<u>Monitor the vitality and Viability of Town centres by measuring changes in footfall (CREDITON)</u>	0.2%	2.0%	2.0%	n/a	n/a	n/a	3.0%	↑
Management Notes:									
Well below target	<u>Monitor the vitality and Viability of Town centres by measuring changes in footfall (CULLOMPTON)</u>	1.8%	2.0%	2.0%	n/a	n/a	n/a	-8.2%	↓
Management Notes:									
Well above target	<u>Planning Applications: Major Applications</u>	63%	60%	60%	57%	71%	68%	70%	↑
Management Notes:									
Well below target	<u>Planning Applications: Minor Applications</u>	73%	65%	65%	53%	60%	62%	56%	↓
Management Notes:									
Below target	<u>Planning Applications: 'Other' Applications</u>	84%	80%	80%	66%	76%	80%	78%	↓
Management Notes:									
Well above target	<u>Supply of ready to develop housing sites</u>	n/a	100%	100%	0%	0%	136%	136%	n/a
Management Notes:									
(Quarter 4)									
Only available Q3									
(PW)									

Working Environment Portfolio - Appendix 5

Quarterly report for 2012-2013

No headings

For Working Environment and Support Services Portfolio

For MDDC - Services

Filtered by Performance Status: Exclude PI Status: Data not due, Data not entered, Not calculable

Key to Performance Status:

Performance Indicators:	No Data	Well below target	Below target	On target	Above target	Well above target
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Key to change on same period in previous year:

↑	Improved Performance	↓	Worse Performance	↔	Unchanged
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Working Environment Portfolio - Appendix 5

Performance Indicators									
Status	Title	Prev Year End	Annual Target	Current Target	Q1 Act	Q2 Act	Q3 Act	Q4 Act	Improvement
Above target	<u>Issue at least 47 editions of The Link staff bulletin</u>	48	47	47	n/a	n/a	n/a	48	↔
Management Notes:									
On target	<u>Issue 12 editions of Mid Devon Talk</u>	12	12	12	n/a	n/a	n/a	12	↔
Management Notes:									
On target	<u>Issue 12 editions of Parish Matters</u>	12	12	12	n/a	n/a	n/a	12	↔
Management Notes:									
Well below target	<u>Issue at least 120 Press Releases Annually</u>	n/a	120	120	n/a	n/a	n/a	98	n/a
Management Notes:									
Above target	<u>% of incoming calls answered</u>	91%	90.00%	90.00%	92.02%	94.65%	92.86%	91.89%	↑
Management Notes:									
Below target	<u>% calls to Customer First answered within 2 minutes</u>	86%	95.00%	95.00%	90.35%	92.17%	92.00%	91.55%	↑
Management Notes:									
No Target	<u>Number of phone calls to CF per month</u>	10,575	For Information Only	For Information Only	10,770	10,711	10,736	11,084	↑
Management Notes:									
Above target	<u>% of visitors to reception seen to within 15 minutes of arrival</u>	99%	95.00%	95.00%	96.33%	89.67%	96.00%	96.00%	↓
Management Notes:									
Above target	<u>Satisfaction with front-line services</u>	88%	85.00%	85.00%	89.00%	89.00%	88.33%	88.50%	↑
Management Notes:									
Above target	<u>% of queries resolved at first point of contact</u>	67%	68%	68%	70%	70%	70%	70%	↑

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Working Environment Portfolio - Appendix 5									
Performance Indicators									
Status	Title	Prev Year End	Annual Target	Current Target	Q1 Act	Q2 Act	Q3 Act	Q4 Act	Improvement
Management Notes:									
Well below target	<u>% complaints acknowledged w/in 3 days</u>	75%	80%	80%	75%	81%	72%	64%	↓
Management Notes:									
Below target	<u>% of complaints resolved w/in timescales (10 days - 12 weeks)</u>	82%	90%	90%	83%	94%	86%	88%	↑
Management Notes:									
Above target	<u>% Emails received by Customer Services responded to within 5 days</u>	99.5%	95.0%	95.0%	99.8%	99.8%	98.8%	99.3%	↓
Management Notes:									
On target	<u>% of Minutes published</u>	100%	100%	100%	100%	100%	100%	100%	↔
Management Notes:									
On target	<u>% of Committee Agendas</u>	100%	100%	100%	100%	100%	100%	100%	↔
Management Notes:									
Well above target	<u>% electoral registration forms returned during annual canvass of electors</u>	97%	75%	75%	0%	95%	95%	95%	↓
Management Notes:									
On target	<u>% Electoral Commission Registration Performance Standards</u>	90%	90%	90%	0%	0%	90%	90%	↔
Management Notes:									
On target	<u>% Electoral Commission Returning Officer Performance Standards</u>	100%	100%	100%	n/a	n/a	n/a	100%	↔
Management Notes:									
On target	<u>Organise annual meeting for Parish Clerks</u>	n/a	1	1	n/a	n/a	n/a	1	n/a
Management Notes:									
On target	<u>Organise at least 2 all staff briefings</u>	n/a	2	2	n/a	n/a	n/a	2	n/a
Management Notes:									
Above target	<u>Working Days Lost Due to Sickness Absence</u>	9.20days	8.00days	8.00days	1.83days	3.63days	5.73days	7.83days	↑
Management Notes:									
On target	<u>Customer Satisfaction IT Survey</u>	9.8	9.7	9.7	9.7	9.6	9.7	9.7	↓

Working Environment Portfolio - Appendix 5									
Performance Indicators									
Status	Title	Prev Year End	Annual Target	Current Target	Q1 Act	Q2 Act	Q3 Act	Q4 Act	Improvement
Management Notes:									
Above target	<u>System Availability</u>	99.00%	99.9%	99.9%	99.9%	93.0%	100.0%	100.0%	↑
Management Notes:									
Above target	<u>% SLA Achieved</u>	82.35%	84%	84%	84%	84%	83%	86%	↑
Management Notes:									

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Finance Portfolio - Appendix 6

Quarterly report for 2012-2013
No headings
For Finance Portfolio
For MDDC - Services

Key to Performance Status:

Performance Indicators:	No Data	Well below target	Below target	On target	Above target	Well above target
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Key to change on same period in previous year:

↑	Improved Performance	↓	Worse Performance	↔	Unchanged
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Finance Portfolio - Appendix 6

Performance Indicators									
Status	Title	Prev Year End	Annual Target	Current Target	Q1 Act	Q2 Act	Q3 Act	Q4 Act	Improvement
Well above target	<u>% of core audits completed in financial year</u>	93%	100%	100%	17%	29%	102%	117%	↑
Management Notes: (Quarter 1 - 4)									
17% for 2011/12, 100% for 2012/13									
(CY)									
Well below target	<u>% of system audits completed in financial year</u>	15%	80%	80%	24%	38%	38%	67%	↑
Management Notes: (Quarter 1 - 4)									
Work on Core audits b/f from 2011/12 inevitably affected time for Systems audits as the Core audits take priority. I had hoped we would catch up but work for other departments and study leave took their toll this quarter.									
(CY)									
Above target	<u>% total Council tax collected - monthly</u>	98.20%	98.00%	98.00%	29.67%	56.85%	83.24%	98.12%	↓
Management Notes:									
Below target	<u>% total NNDR collected - monthly</u>	98.60%	99.00%	99.00%	27.77%	56.77%	82.72%	97.56%	↓
Management Notes:									
Below target	<u>Percentage of Invoices Paid on Time</u>	92.95%	100.00%	100.00%	n/a	96.91%	n/a	96.20%	↑
Management Notes:									
Well above target	<u>Time taken to process Housing Benefit/Council Tax Benefit new claims and change events</u>	8days	14days	14days	8days	8days	8days	7days	↑
Management Notes:									

KEY BUSINESS RISK REGISTER – ACTION PLAN

Risk	Current Risk Score	Mitigating Actions Required	Lead Officer / Timescale	Target Risk Score
CABINET MEMBER FOR COMMUNITY WELL-BEING – BOB DEED				
HEALTH AND SAFETY <ul style="list-style-type: none"> Inadequate Health and Safety Policies or Risk Assessments and decision-making could lead to Mid Devon failing to mitigate serious health and safety issues 	10 (5x2)	Review risk assessments and procedures to ensure that we have robust arrangements in place All staff to comply with and keep up to date with any changes to legislation affecting their areas of there	In progress ready for September reports Management Team Ongoing	
CABINET MEMBER FOR FINANCE – NEAL DAVEY				
REDUCED FUNDING				
Budget Cuts <ul style="list-style-type: none"> The Council fails to review performance standards and objectives, as well as the equality impact arising from budget cuts leading to service failure and a loss in reputation If we concentrate on short term cost savings, it may increase long term impact of decisions 	25 (5x5)	Service Business Plans are being finalised for 2013/14 financial year with suggestions for revised performance targets based on budget to be agreed by Cabinet Member and PDG Provisional grant for 2014/15 indicates that our RSG will be cut by £621k. Plans are now being drawn up for discussion with the relevant PDG's and Cabinet Have taken action to keep reserves well built up in order to help mitigate any funding cut and continuing to regularly monitor budget for 2013/14 Taking proactive steps to increase income and reduce expenditure through efficiencies, vacancies that arise and delivering services in a different way	Heads of Service End of June 2013 Head of Finance 26 th February 2014 Head of Finance Ongoing throughout the financial year Head of Finance Ongoing throughout the financial year Heads of Service Ongoing throughout the financial year	20
Service Cuts <ul style="list-style-type: none"> To continue to offer a broad range of non-statutory services with reduced funding could lead to failure to meet statutory obligations. 	16 (4x4)	With continued reductions in funding, there may be a long-term need to plan reduced or cease non-statutory services. Reports have been sent to PDGs listing statutory and non-statutory services with budget information. Management Team and Cabinet will undertake a comprehensive review to balance necessary budgetary cuts with service provision.		16
HRA BORROWING <ul style="list-style-type: none"> Failure to repay the debt would invoke default provisions associated with the loan agreement 	10 (5x2)	Processes and procedures in place to ensure that rent is collected and outstanding debt chased to ensure that we can repay the HRA borrowing. Rent arrears will continue to be closely monitored especially in light of the changes under Welfare Reform	Head of Housing & Property Services Monthly arrears monitoring throughout the year	10
CONTRACTS <ul style="list-style-type: none"> Failure to adequately manage high value contracts could result in poor service delivery, contractors not meeting agreed conditions and customers receiving 	10 (5x2)	Procurement have a framework in place for the tender process & letting of contracts to ensure that issues such as Data Protection are picked up	Head of Finance	10

KEY BUSINESS RISK REGISTER – ACTION PLAN

Risk	Current Risk Score	Mitigating Actions Required	Lead Officer / Timescale	Target Risk Score
<p>poor quality service</p> <ul style="list-style-type: none"> An insufficient behavioural culture of 'data protection' with supplier/contractor could result in a Data Protection breach Failure to apply due diligence in contracting new suppliers could lead to service delivery problems 		<p>Financial and Contract Procedure Rules currently in draft and to go through the Committee process in March 2013. These include more detail in relation to procurement</p>	<p>Head of Finance End April 2013</p>	
<p>COUNCIL FINANCES</p> <p>Treasury Management</p> <ul style="list-style-type: none"> Failure to comply with the CIPFA Code of Practice on Treasury Management /local authority accounting would be a breach in statutory duty <p>Investments</p> <ul style="list-style-type: none"> Failure to invest the Council's funds in an efficient and effective manner may cause potential of a loss of monies invested <p>Banking Arrangements</p> <ul style="list-style-type: none"> Problems with banks and online services may affect ability to access funds when we need to or receive / process payments on a timely basis 	<p align="center">5 (5x1)</p>	<p>Treasury Management Policy continues to be reviewed on a half yearly basis.</p> <p>Only invest in Government Accounts and main UK Banks & Building Societies who meet strict credit rating criteria</p> <p>The Chief Executive, Leader and Finance Cabinet Member are kept up to date on any investments that are made and any developments within the banking sector</p>	<p>Head of Finance Ongoing</p> <p>Head of Finance Ongoing</p> <p>Head of Finance Ongoing</p>	<p align="center">5</p> <p align="center">5</p> <p align="center">5</p>
CABINET MEMBER FOR HOUSING – RAY STANLEY				
<p>CARE SERVICES</p> <ul style="list-style-type: none"> If funding is withdrawn from Supporting People then the HRA would have to subsidise this non-statutory service 	<p align="center">16 (4x4)</p>	<p>A restructuring of Care Services is currently being undertaken to mitigate the risk of subsidy. A further report will be submitted to the Decent and Affordable Homes PDG for discussion.</p>	<p>Head of Housing & Property Services By end July 2013</p>	<p align="center">9 (3x3)</p>
<p>HOUSING CONTRACTS</p> <ul style="list-style-type: none"> Failure to adequately procure and monitor contracts for the Housing Service could result in housing stock that fails to meet the Decent Homes Standard 	<p align="center">15 (5x3)</p>	<p>We already have a contract register which is reviewed periodically with the Head of Finance and Cabinet Member for Housing.</p>	<p>Head of Housing & Property Services Ongoing</p>	<p align="center">8 (4x2)</p>
<p>HOMELESSNESS</p> <ul style="list-style-type: none"> Insufficient resources to support an increased homeless population could result in failure to meet statutory duty to provide advice and assistance to anyone who is homeless 	<p align="center">15 (5x3)</p>	<p>Review and adopt new Homelessness Strategy in compliance with legislation. Staffing resources are adequate to meet demand currently and will be reviewed quarterly by the Head of Service.</p>	<p>Head of Housing & Property Services October 2013 Ongoing</p>	<p align="center">10 (5x2)</p>
<p>AFFORDABLE AND COUNCIL HOUSING DEMAND</p> <ul style="list-style-type: none"> Housing supply does not meet local demand or reflect demographic shifts like increased demand for single occupancy 	<p align="center">15 (3x5)</p>	<p>Review of housing Needs Register is carried out periodically and a review of Devon Home Choice is currently being undertaken. A restructure of the Housing Enabling function will see a much more coordinated approach to the provision of Affordable</p>	<p>Head of Housing & Property Services Ongoing</p>	<p align="center">9 (3x3)</p>

KEY BUSINESS RISK REGISTER – ACTION PLAN

Risk	Current Risk Score	Mitigating Actions Required	Lead Officer / Timescale	Target Risk Score
<p>RIGHT TO BUY</p> <p>Re-investing Receipts in New Affordable Rented Homes</p> <ul style="list-style-type: none"> If we fail to reinvest Right to Buy money in affordable housing then may have to pay back money to DCLG (plus interest) 	<p style="text-align: center;">5 (5x1)</p>	<p>Housing with better dialogue between Housing Needs, planning, Registered Social landlords, Developers and the Community Council for Devon.</p> <p>Development schemes have been identified.</p>	<p>Head of Housing & Property Services Completed</p>	<p style="text-align: center;">5 (5x1)</p>
<p>LEADER OF THE COUNCIL – PETER HARE-SCOTT</p>				
<p>WELFARE REFORM ACT (Council wide)</p>				
<p>Benefits</p> <ul style="list-style-type: none"> Failure to implement and communicate the new benefits framework effectively could result in applications not being completed in time <p>Revenues</p> <ul style="list-style-type: none"> Collection rates may drop due to changes to Local Council Tax Scheme Failure to adopt a Local Council Tax Scheme that meets the criteria in time <p>Housing Services</p> <ul style="list-style-type: none"> Changes to benefits payment system could result in increased rent arrears 	<p style="text-align: center;">20 (4x5)</p> <p style="text-align: center;">20 (5x4)</p> <p style="text-align: center;">20 (4x5)</p>	<p>Introduction of Corporate Officer Group</p> <p>Revise Allocations and Lettings Policy to reflect changes in criteria for Occupancy Benefit</p> <p>Revise current tenant and former tenant rent arrears processes including revisions to the Housing Management System</p> <p>Review structure of Neighbourhood Teams and increase capability of tenancy sustainment through the introduction of dedicated rent arrears team and Welfare Rights Officer</p>	<p>Head of Finance</p> <p>Head of Housing and Property Services March 2013</p> <p>Head of housing and Property Services Ongoing</p> <p>Head of Housing and Property Services March 2013</p>	<p style="text-align: center;">15</p> <p style="text-align: center;">15</p> <p style="text-align: center;">15</p>
<p>REDUNDANCY</p> <ul style="list-style-type: none"> Reductions in Central Government funding as well as impacts from legislation changes could impact on staffing resources, leading to potential need for redundancies 	<p style="text-align: center;">16 (4x4)</p>	<p>When a vacancy arises each case is looked at on its own merit as to whether to replace or redistribute the work within the remaining establishment – aim is to reduce the likelihood of redundancies.</p> <p>The Council has a redundancy and redeployment policy in place and where a member of staff is at risk of redundancy it is our policy to redeploy, where appropriate.</p>	<p>Head of HR & Development Nothing to be actioned at the current time</p>	

KEY BUSINESS RISK REGISTER – ACTION PLAN

Risk	Current Risk Score	Mitigating Actions Required	Lead Officer / Timescale	Target Risk Score
<p>EQUALITY AND DIVERSITY</p> <ul style="list-style-type: none"> The Council could face legal action through failure to meet equality legislation either as an authority or as a result of action by one of its employees/Members. 	<p>10 (5x2)</p>	<p>We actively consult with staff and managers on alternative options. We also have an open dialogue with the Union and the Chief Executive and Head of HR & Development meet with them on a monthly basis. We also have the Joint Negotiation and Consultative Committee where Management and the Union discuss any changes affecting staff.</p> <p>All staff were briefed on the changes to the Equality Act 2010.</p> <p>The Corporate Equalities Group meets on a quarterly basis to pick up any issues and refer them to Management Team. Also have the Mid Devon Equality Forum where we consult external partners on equality issues to improve our services.</p> <p>Have variety of HR policies in place to pick up issues relating to the action of any officers and also have the Code of Conduct for Councillors.</p>	<p>Head of Communities & Governance Nothing to be actioned at the current time</p>	
<p>PROPERTY AND LAND MAINTENANCE</p> <ul style="list-style-type: none"> If Council buildings and land (eg parks) are not properly maintained, the Council could suffer financially through large repair works or through compensation claims 	<p>10 (5x2)</p>	<p>Managing the Environment PDG recommended a number of changes to the Cabinet on 15th January regarding the maintenance of play areas. Once this is approved by Cabinet the recommendations will be enacted.</p> <p>The Estates team look at the maintenance of Council assets and any maintenance is programmed into the Capital Programme</p>	<p>Head of Environmental Services</p> <p>Head of Housing & Property Services</p>	
<p>BREACHES IN LEGISLATION</p> <ul style="list-style-type: none"> Failure to keep Council policies up to date, that complement the appropriate legislation 	<p>5 (5x1)</p>	<p>All Heads of Service keep up to date with changes to legislation in their area and brief Management Team and Members as and when appropriate</p>	<p>Chief Executive Nothing to be actioned at the current time</p>	
CABINET MEMBER FOR PLANNING AND ECONOMIC REGENERATION – RICHARD CHESTERTON				
<p>NEW HOMES</p> <ul style="list-style-type: none"> A low housing build rate, would equal less affordable housing resulting in a reduction in potential New Homes Bonus 	<p>20 (4x5)</p>	<p>A Development Management approach will promote delivery of Tiverton Eastern Urban Extension</p> <p>Review of Core Strategy in 2013</p>	<p>Head of Planning & Regeneration ???</p>	
<p>BUILDING CONTROL</p> <p>Competitiveness</p> <ul style="list-style-type: none"> Inability to compete with neighbouring building control firms could result in reduced custom / use 	<p>16 (4x4)</p>	<p>There is a need to increase income generation through improving customer experience of written and electronic material</p>	<p>Head of Planning & Regeneration ???</p>	
<p>Accounts</p> <ul style="list-style-type: none"> Failure to provide an annual financial statement within 6 months of the end of the financial year 	<p>20 (5x4)</p>	<p>A set of accounts is being presented to the Planning Committee on 19 December 2012 to provide this information</p>	<p>Head of Planning & Regeneration December 2012</p>	

KEY BUSINESS RISK REGISTER – ACTION PLAN

Risk	Current Risk Score	Mitigating Actions Required	Lead Officer / Timescale	Target Risk Score
identifying any surplus or deficit in relation to Building Control would result in 1) failure to recover costs and 2) inspection from DCLG				
ECONOMIC DEVELOPMENT				
Economic Decline <ul style="list-style-type: none"> Failure to promote economic activity within the District will suppress the potential for new jobs and increased prosperity for residents A continuing economic recession could jeopardise our ability to achieve corporate objective of 'A Thriving Economy' 	16 (4x4)	New posts in Planning Review of Core Strategy commencing 2013 Local Plan Part 3 adopted 2013	Head of Planning and Regeneration ??? Head of Planning and Regeneration ???	
COMMUNITY INFRASTRUCTURE LEVY (CIL) <ul style="list-style-type: none"> Failure to manage the transition, introduction and adoption of the Community Infrastructure Levy (CIL) would affect capacity to take on collection work 	15 (5x3)		Head of Planning & Regeneration	
CABINET MEMBER FOR ENVIRONMENT – CLIVE EGINTON				
WASTE COLLECTION				
Service <ul style="list-style-type: none"> Failure to carry out a functioning waste collection service would result in a breach of statutory duty 	16 (4x4)	Key risk is that inclement weather will postpone service. The Waste Efficiency group from MTE is looking at a policy of service recovery, waste minimisation and optimisation to redefine service standards	Head of Environmental Services	
Health and Safety <ul style="list-style-type: none"> Inadequate training with regards to Manual Handling and workplace hazards (eg contact with broken glass) could result in Health and Safety risks 	5 (5x1)	Health and safety training is on-going – including annual driver competence checks. As new risks are identified assessment and control measures will be agreed.	Waste & Transport Manager Ongoing	5
GROUPS MAINTENANCE <ul style="list-style-type: none"> Inadequate training with regards to the use of Grounds Maintenance machinery / equipment could result in Health and Safety risks 	5 (5x1)	Grounds Maintenance risks are currently under review with regards to burials; on-going training and supervision keeps these risks at a low level	Works Manager Ongoing	5
CABINET MEMBER FOR WORKING ENVIRONMENT AND SUPPORT SERVICES – BRENDA HULL				
CONTINGENCY				

KEY BUSINESS RISK REGISTER – ACTION PLAN

Risk	Current Risk Score	Mitigating Actions Required	Lead Officer / Timescale	Target Risk Score
<p>Emergency Plan</p> <ul style="list-style-type: none"> The Council fails to have an effective Emergency Plan / Pandemic Plan in place that is up-to-date and complements the Business Continuity Plan, Disaster Recovery Plan and Risk Management Plan leading to service failure and loss in reputation. 	<p align="center">5 (5x1)</p>	<p>MDDC has an Emergency Plan in place and works with other agencies in the event of an emergency – recent example is the flooding</p>	<p>Head of Environmental Services Nothing to be actioned at the current time</p>	
<p>HUMAN RESOURCES</p> <p>Project: HR / Payroll System</p> <ul style="list-style-type: none"> The project may exceed timescale / costs 	<p align="center">5 (5x1)</p>	<p>Project currently on target and budget. This is being monitored on a regular basis</p>	<p>Head of HR & Development Nothing to be actioned at the current time</p>	
<p>SECURITY</p> <ul style="list-style-type: none"> The Council and its employees could suffer financially and physically through lack of security of valuables (such as cash, keys, safe), buildings (including offices and car parks), plant and equipment and personal belongings. 	<p align="center">5 (5x1)</p>			
<p>DOCUMENT RETENTION</p> <ul style="list-style-type: none"> If documents fail to be retained for the statutory period then we may face financial penalties 	<p align="center">5 (5x1)</p>	<p>ICT are currently undertaking a review of ICT storage files</p>	<p>Head of ICT March 2013</p>	