

**PERFORMANCE REPORT FOR THE FIRST HALF OF THE 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.

**RECOMMENDATION(S):** That the Committee make recommendations on any areas of concern to the Cabinet

**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 for the last 2 years at an above target rate; for 2012/13 we have continued this trend against the same period last year.

2.2 The figures for **missed collections** are well below target which is in the main because of the flooding in December 2012

### Decent and affordable Homes Portfolio - Appendix 2

- 2.3 We are still well below the annual target for **delivering 100 affordable homes**, while 42 units were completed during the third quarter of 2012/13 which is at above target rate we are not now expecting to reach the target for the financial year.
- 2.4 61 **empty homes** have been brought back into use during the 2012/13 financial year so far which is well above the target of 15 for the year.
- 2.5 The **balance of planned v responsive repairs** performed at a level of 77.23 which was above the target of 70:30.

### Community Well Being Portfolio - Appendix 3

- 2.6 Generally speaking the indicators shown have once again improved or remained unchanged.
- 2.7 Most of the **environmental health** targets are now on target despite the fact the Service still has one Manager on long term absence. In addition a new Environment & Enforcement Manager has been appointed with effect from 1 March which should relieve the stress on the Service.
- 2.8 **The Amount of External Funding Brought into Mid Devon** does not have target because the intention is just to raise as much as possible. The amount for the first nine months of 2012/13 already exceeds the total for 2011/12 which is an achievement in the current economic climate.

### Planning and Regeneration Portfolio - Appendix 4

- 2.9 Planning performance is on or above target for the first nine months except for **Minor Applications** which is just below target but improved from quarter 2.
- 2.10 **Land Charges Searches** are marginally below target along with **Building Regulation Applications**; both have improved since quarter 2. The figures in appendix 4 are cumulative.
- 2.11 For **empty shops** the position has improved in all areas.

### Working Environment Portfolio - Appendix 5

- 2.12 Most indicators are at or above target. **Working Days Lost due to Sickness Absence** has increased for quarter 3 but remains below the target to date.
- 2.13 The **% of incoming calls answered** is above target and the **% calls answered within 2 minutes** is better than this period last year.

### Finance Portfolio - Appendix 6

- 2.14 All of the indicators are above target with the exception of **Percentage of Invoices Paid on Time**. This indicator is only recorded twice a year and has

improved consistently for 4 years; the 100% target is a little unrealistic and will be reviewed for 2013/14.

- 2.15 The **% of core audits** completed so far for 2012/13 is over 100% because there was some work for 2011/12 undertaken in 2012/13.
- 2.16 The **Percentage of customer Satisfaction** will be reported in quarter 4.

Risk register – Appendix 7

- 2.17 The Corporate risk register has been reviewed by Management Team and updated. Risk reports to all committees will continue to include all strategic risks with a score of 15 or more and/or all those with an Impact score of 5.
- 2.18 The register now has an additional column for the “target score” which is the tolerance level for each risk as set by Management Team.
- 2.19 The stats for this quarter are:

<b>Impact</b>	<b>5</b>	<b>6</b>	<b>5</b>	<b>5</b>	<b>2</b>	<b>1</b>
	<b>4</b>	<b>1</b>	<b>13</b>	<b>8</b>	<b>7</b>	<b>3</b>
	<b>3</b>	<b>4</b>	<b>13</b>	<b>5</b>	<b>1</b>	<b>1</b>
	<b>2</b>		<b>1</b>	<b>2</b>		
	<b>1</b>					
		<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
		<b>Likelihood</b>				

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
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*Key to change on same period in previous year:*

↑	Improved Performance	↓	Worse Performance	↔	Unchanged
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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
Above target	<b><u>Reduce the amount of waste going to landfill by 9%</u></b>	470.48	490.00	367.50 (3/4)	121.12	236.12	362.37		↓
<b><u>Management Notes:</u></b>									
Well below target	<b><u>Increase Dry Recycling Rate to 20% by 2013</u></b>	16.07%	20.00%	20.00% (3/4)	14.61%	14.15%	13.95%		↓
<b><u>Management Notes:</u></b> (Quarter 3)  There is an ongoing communications campaign/ project to increase recycling  (AT)									
Below target	<b><u>% of Household Waste Reuse, Recycled and Composted</u></b>	49.1%	50.0%	50.0% (3/4)	48.6%	49.7%	47.4%		↓
<b><u>Management Notes:</u></b> (Quarter 3)  There is an ongoing communications campaign/ project to increase recycling  (AT)									
Well above target	<b><u>% of missed collections per Quarter (refuse and organic waste)</u></b>	n/a	0.30%	0.30% (3/4)	0.02%	0.02%	0.05%		n/a
<b><u>Management Notes:</u></b>									
Well above target	<b><u>% of Missed Collections per Quarter (recycling)</u></b>	n/a	0.30%	0.30% (3/4)	0.03%	0.06%	0.04%		n/a
<b><u>Management Notes:</u></b>									

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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	11 (3/4)	5	29	61		↑
<u>Management Notes:</u>									
Well below target	<u>Number of affordable homes delivered (gross)</u>	28	100	75 (3/4)	21	21	63		↑
<u>Management Notes:</u>									
Above target	<u>% Emergency Repairs Completed on Time</u>	99.82%	99.50%	99.50% (10/12)	100.00%	100.00%	99.64%		↓
<u>Management Notes:</u>									
Above target	<u>% Urgent Repairs Completed on Time</u>	98.9%	98.50%	98.50% (10/12)	99.50%	99.58%	99.65%		↑
<u>Management Notes:</u>									
Above target	<u>% Routine Repairs Completed on Time</u>	98.6%	98.50%	98.50% (10/12)	99.49%	99.72%	99.76%		↑
<u>Management Notes:</u>									
Above target	<u>% Repairs Completed at First Visit</u>	97.8%	98.50%	98.50% (10/12)	99.22%	98.61%	98.91%		↑
<u>Management Notes:</u>									
Above target	<u>Ratio of expenditure between planned and responsive repairs</u>	65.35	70.30	70.30 (3/4)	56.44	65.35	77.23		↑
<u>Management Notes:</u>									
Below target	<u>Rent Collected as a Proportion of Rent Owed</u>	100.85%	100.50%	100.50% (10/12)	97.23%	97.48%	99.98%		↓
<u>Management Notes:</u>									
Well below target	<u>Rent Arrears as a Proportion of Annual Rent Debit</u>	0.85%	1.00%	1.00% (10/12)	1.66%	2.00%	1.13%		↓
<u>Management Notes:</u>									
Below	<u>% Decent Council</u>	84.5%	90.00%	90.00%	84.08%	83.85%	81.29%		↓

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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
target	<b>Homes</b>			(10/12)					
<b>Management Notes:</b>									
On target	<b><u>% Properties With a Valid Gas Safety Certificate</u></b>	99.71%	100.00%	100.00% (10/12)	99.90%	100.00%	100.00%		↑
<b>Management Notes:</b>									
Above target	<b><u>Average Days to Re-Let Local Authority Housing</u></b>	17.32days	18.00days	18.00days (10/12)	21.14days	15.52days	16.84days		↑
<b>Management Notes:</b>									

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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%	3.75% (3/4)	2.86%	8.57%	2.86%		n/a
<b>Management Notes:</b>									
Well above target	<u>Number of Enquiries for Funding Advice</u>	252	100	75 (3/4)	45	91	125		↓
<b>Management Notes:</b>									
Above target	<u>% of Enquiries Responded to within 10 Working Days.</u>	99%	95%	95% (3/4)	98%	100%	100%		↑
<b>Management Notes:</b>									
No Target	<u>Total Amount of External Funding brought into Mid Devon</u>	£121,698			£32,500	£96,916	£123,866		↑
<b>Management Notes:</b> (Quarter 3)  This figure is for information purposes only.  (SK)									
Well above target	<u>Number of Consultations Supported</u>	41	40	30 (3/4)	9	31	38		↑
<b>Management Notes:</b>									
Well above target	<u>Number of Citizen's Panel Mail-outs Per Year</u>	3	3	2 (3/4)	1	3	3		↑
<b>Management Notes:</b>									
Well above target	<u>Deliver services through Mid Devon Connect by providing six projects throughout the District</u>	7	6	5 (3/4)	1	7	7		↑
<b>Management Notes:</b>									
Below target	<u>Ensure 80% of people who contact the Council about anti-social</u>	90%	80%	80% (3/4)	83%	76%	78%		↓

### 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>behaviour see improvements</u>								
<b>Management Notes:</b>									
Well below target	<u>Conduct a number of community action days</u>	4	2	2 (3/4)	0	1	1		↓
<b>Management Notes:</b> (Quarter 3)									
No multi-agency Have Your Say Events were held during Q3 however two events are planned for Q4.									
(JR)									
Well below target	<u>Deliver a number of community projects</u>	6	2	2 (3/4)	0	0	0		↓
<b>Management Notes:</b>									
Above target	<u>Response to service requests</u>	98%	95%	95% (3/4)	96%	85%	96%		↓
<b>Management Notes:</b>									
On target	<u>Response to water sampling requests</u>	100%	95%	100% (3/4)	100%	83%	100%		↔
<b>Management Notes:</b>									
Well above target	<u>Response to Planning consultations</u>	98%	75%	75% (3/4)	98%	100%	98%		↓
<b>Management Notes:</b>									
On target	<u>A and B1 risk inspections</u>	100%	100%	100% (3/4)	100%	100%	100%		↔
<b>Management Notes:</b>									
On target	<u>Investigate 100% of accidents Incident</u>	100%	100%	100% (3/4)	100%	100%	100%		↔
<b>Management Notes:</b>									
On target	<u>Investigate 100% of accidents Complaint</u>	100%	100%	100% (3/4)	100%	100%	100%		↔
<b>Management Notes:</b>									
Above target	<u>Operational Recovery Rate</u>	86.6%	86.50%	86.50% (3/4)	86.34%	87.62%	86.78%		↑
<b>Management Notes:</b>									
Above target	<u>Retention Rate</u>	92%	95%	95% (3/4)	94%	94%	96%		↑
<b>Management Notes:</b>									
Below target	<u>Compliance with food hygiene law</u>	89%	90%	90% (3/4)	90%	90%	89%	90%	↑
<b>Management Notes:</b>									

## 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% (3/4)	8.20%	9.00%	8.80%		↑
<u>Management Notes:</u>									
Well above target	<u>Reduce the number of empty shop units (CREDITON)</u>	10.3%	12.00%	12.00% (3/4)	6.90%	5.50%	5.20%		↑
<u>Management Notes:</u>									
Above target	<u>Reduce the number of empty shop units (CULLOMPTON)</u>	15.0%	16.00%	16.00% (3/4)	18.50%	20.70%	14.70%		↑
<u>Management Notes:</u>									
Above target	<u>Planning Applications: Householder Applications</u>	85%	80%	80% (3/4)	72%	80%	82%		↓
<u>Management Notes:</u>									
Above target	<u>Enforcement site visits</u>	95%	87%	87% (3/4)	100%	100%	100%		↑
<u>Management Notes:</u>									
Above target	<u>Delegated decisions</u>	94%	90%	90% (3/4)	93%	92%	92%		↓
<u>Management Notes:</u>									
Above target	<u>Planning Applications: over 13 weeks old</u>	33	45	45 (3/4)	36	44	45		↓
<u>Management Notes:</u>									
Well above target	<u>Customers rating the service good</u>	92%	75%	75% (3/4)	88%	87%	90%		↑
<u>Management Notes:</u>									
Below target	<u>Searches carried out w/in 5 working days</u>	100.00%	100.00%	100.00% (3/4)	100.00%	99.89%	99.93%		↓
<u>Management Notes:</u>									
Below target	<u>Building Regulation Applications</u>	86.50%	95%	95% (3/4)	80%	86%	90%		↑

**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
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**Management Notes:**

Above target	<b><u>Building Regulation Full Plan Applications</u></b>	100.00%	95%	95% (3/4)	100%	100%	99%		↓
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**Management Notes:**

Above target	<b><u>Planning Applications: Major Applications</u></b>	63%	60%	60% (3/4)	57%	71%	68%		↑
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**Management Notes:**

Below target	<b><u>Planning Applications: Minor Applications</u></b>	73%	65%	65% (3/4)	53%	60%	62%		↓
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**Management Notes:**

On target	<b><u>Planning Applications: 'Other' Applications</u></b>	84%	80%	80% (3/4)	66%	76%	80%		↓
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**Management Notes:**

On target	<b><u>Supply of ready to develop housing sites</u></b>	n/a		0% (2/4)	0%	0%			n/a
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**Management Notes:**

## 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, 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>% of incoming calls answered</u>	91%	90.00%	90.00% (3/4)	92.02%	94.65%	92.86%		↑
<b>Management Notes:</b>									
Below target	<u>% calls to Customer First answered within 2 minutes</u>	86%	95.00%	95.00% (3/4)	90.35%	92.17%	92.00%		↑
<b>Management Notes:</b> (Quarter 3)									
The team consistently answer 92% of external calls within 2 minutes, the majority of calls are within 1 minute but at peak times a percentage of callers will wait longer than 2 minutes. Staff rota's are done daily to ensure maximum available staff through out the day, leave is monitored and restricted to make the best use of resource. The target may not be realistic with the resource available and will be reviewed at the end of the year.									
(LR)									
Above target	<u>% of visitors to reception seen to within 15 minutes of arrival</u>	99%	95.00%	95.00% (3/4)	96.33%	89.67%	96.00%		↓
<b>Management Notes:</b>									
Above target	<u>Satisfaction with front-line services</u>	88%	85.00%	85.00% (3/4)	89.00%	89.00%	88.33%		↑
<b>Management Notes:</b>									
Above target	<u>% of queries resolved at first point of contact</u>	67%	68%	68% (2/4)	70%	70%			↑
<b>Management Notes:</b>									
Well below target	<u>% complaints acknowledged w/in 3 days</u>	75%	80%	80% (3/4)	75%	81%	72%		↓
<b>Management Notes:</b>									
Below target	<u>% of complaints resolved w/in timescales (10 days - 12 weeks)</u>	82%	90%	90% (3/4)	83%	94%	86%		↓
<b>Management Notes:</b>									
Above target	<u>% Emails received by Customer Services responded to within 5 days</u>	99.5%	95.0%	95.0% (3/4)	99.8%	99.8%	98.8%		↓

## 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
<b>Management Notes:</b>									
On target	<u>% of Minutes published</u>	100%	100%	100% (3/4)	100%	100%	100%		↔
<b>Management Notes:</b>									
On target	<u>% of Committee Agendas</u>	100%	100%	100% (3/4)	100%	100%	100%		↔
<b>Management Notes:</b>									
Well above target	<u>% electoral registration forms returned during annual canvass of electors</u>	97%	75%	75% (3/4)	0%	95%	95%		↓
<b>Management Notes:</b>									
On target	<u>% Electoral Commission Registration Performance Standards</u>	90%	90%	90% (3/4)	100%	90%	90%		↔
<b>Management Notes:</b>									
Above target	<u>Working Days Lost Due to Sickness Absence</u>	9.20days	8.00days	6.00days (3/4)	1.83days	3.63days	5.73days		↑
<b>Management Notes:</b>									
On target	<u>Customer Satisfaction</u>	9.8	9.7	9.7 (3/4)	9.7	9.6	9.7		↓
<b>Management Notes:</b>									
Above target	<u>System Availability</u>	99.00%	99.9%	99.9% (3/4)	99.9%	93.0%	100.0%		↔
<b>Management Notes:</b>									
Below target	<u>% SLA Achieved</u>	82.35%	84%	84% (3/4)	84%	84%	83%		↓
<b>Management Notes:</b>									

## 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

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% (3/4)	17%	29%	102%	117%	↑
<b>Management Notes:</b>									
Above target	<u>% of system audits completed in financial year</u>	15%	80%	40% (3/4)	24%	42%	42%		↑
<b>Management Notes:</b>									
On target	<u>Percentage of customer satisfaction</u>	n/a	80%	0% (3/4)	0%	0%	0%		n/a
<b>Management Notes:</b>									
Above target	<u>% total Council tax collected - monthly</u>	98.20%	98.00%	73.50% (9/12)	29.67%	56.85%	83.24%		↓
<b>Management Notes:</b>									
Above target	<u>% total NNDR collected - monthly</u>	98.60%	99.00%	74.25% (9/12)	27.77%	56.77%	82.72%		↑
<b>Management Notes:</b>									
Below target	<u>Percentage of Invoices Paid on Time</u>	92.95%	100.00%	100.00% (1/2)	n/a	96.91%	n/a		↑
<b>Management Notes:</b> (April - September)									
This indicator has improved for over 4 years									
(CY)									
Well above target	<u>Time taken to process Housing Benefit/Council Tax Benefit new claims and change events</u>	8days	14days	14days (3/4)	8days	8days	8days		↑
<b>Management Notes:</b>									

**KEY BUSINESS RISK REGISTER – ACTION PLAN**

Risk	Current Risk Score (impact x likelihood)	Mitigating Actions In Place/ Required	Lead Officer / Timescale
<b>CABINET MEMBER FOR COMMUNITY WELL-BEING – BOB DEED</b>			
<b>HEALTH AND SAFETY (LEISURE CENTRES)</b> <ul style="list-style-type: none"> <li>Inadequate Health and Safety Policies or Risk Assessments and decision-making could lead to Mid Devon failing to mitigate serious health and safety issues</li> </ul>	<b>10 (5x2)</b>	Leisure Services has a comprehensive set of risk assessments in place across all three sites. These are reviewed regularly and when any changes arise they are updated if appropriate	<b>Leisure Facilities Manager</b> As and when appropriate
<b>CABINET MEMBER FOR FINANCE – NEAL DAVEY</b>			
<b>REDUCED FUNDING</b>			
<b>Budget Cuts</b> <ul style="list-style-type: none"> <li>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</li> <li>If we concentrate on short term cost savings, it may increase long term impact of decisions</li> </ul> <b>Service Cuts</b> <ul style="list-style-type: none"> <li>With continued reductions in funding, there may be a long-term need to plan reduced or cease non-statutory services.</li> </ul>	<b>25 (5x5)</b>	Financial settlement for 2013/14 £217k less than anticipated leaving a deficit of £173k which it is suggested it taken from reserves to set a balanced budget. Report to Cabinet on 14 <sup>th</sup> Feb then Full Council on 27 <sup>th</sup> Feb.  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	<b>Head of Finance</b> 27 <sup>th</sup> February 2013  <b>Head of Finance</b> 26 <sup>th</sup> February 2014  <b>Head of Finance</b> Ongoing throughout the financial year  <b>Head of Finance</b> Ongoing throughout the financial year
<b>HRA BORROWING</b> <ul style="list-style-type: none"> <li>Failure to repay the debt would require intervention from DCLG</li> </ul>	<b>15 (5x3)</b>	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 Procurement have a framework in place for the tender process & letting of contracts to ensure that issues such as Data Protection are picked up	<b>Head of Housing &amp; Property Services</b> Monthly arrears monitoring throughout the year
<b>CONTRACTS</b> <ul style="list-style-type: none"> <li>Failure to adequately manage contracts could result in poor service delivery, contractors not meeting agreed conditions and customers receiving poor quality service</li> </ul>	<b>10 (5x2)</b>	Financial and Contract Procedure Rules currently in draft and to go through the Committee process in March 2013. These	<b>Head of Finance</b> End April 2013



**KEY BUSINESS RISK REGISTER – ACTION PLAN**

Risk	Current Risk Score (impact x likelihood)	Mitigating Actions In Place/ Required	Lead Officer / Timescale
<ul style="list-style-type: none"> <li>An insufficient behavioural culture of 'data protection' with supplier/contractor could result in a Data Protection breach</li> <li>Failure to apply due diligence in contracting new suppliers could lead to service delivery problems</li> </ul>		include more detail in relation to procurement	
<p><b>COUNCIL FINANCES</b></p> <p><b>Treasury Management</b></p> <ul style="list-style-type: none"> <li>Failure to comply with the CIPFA Code of Practice on Treasury Management /local authority accounting would be a breach in statutory duty</li> </ul> <p><b>Investments</b></p> <ul style="list-style-type: none"> <li>Failure to invest the Council's funds in an efficient and effective manner may cause potential of a loss of monies invested</li> </ul> <p><b>Banking Arrangements</b></p> <ul style="list-style-type: none"> <li>Problems with banks and online services may affect ability to access funds when we need to or receive / process payments on a timely basis</li> </ul>	<p align="center"><b>5</b> <b>(5x1)</b></p>	<p>Only invest in Government Accounts and main UK Banks &amp; Building Societies who meet strict credit rating criteria</p> <p>Treasury Management Policy continues to be reviewed on a half yearly basis.</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><b>Head of Finance</b> Ongoing</p> <p><b>Head of Finance</b> Ongoing</p> <p><b>Head of Finance</b> Ongoing</p>
<b>CABINET MEMBER FOR HOUSING – RAY STANLEY</b>			
<p><b>CARE SERVICES</b></p> <ul style="list-style-type: none"> <li>If funding is withdrawn from Supporting People then the HRA would have to subsidise this non-statutory service – Devon County Council have confirmed a 10% cut in funding for 2013/14</li> </ul>	<p align="center"><b>16</b> <b>(4x4)</b></p>	A report on the future of the service to Decent & Affordable Homes PDG on 22 <sup>nd</sup> January 2013 and then to Cabinet and Full Council. This outlines the options for the service along with associated risks. Any changes to service to then be implemented as well as considering future for 2014/15 onwards	<b>Head of Housing &amp; Property Services</b> By end March 2013
<p><b>AFFORDABLE AND COUNCIL HOUSING DEMAND</b></p> <ul style="list-style-type: none"> <li>Housing supply does not meet local demand or reflect demographic shifts like increased demand for single occupancy</li> </ul>	<p align="center"><b>15</b> <b>(3x5)</b></p>		Head of Housing & Property Services
<p><b>RIGHT TO BUY</b></p> <p><b>Re-investing Receipts in New Affordable Rented Homes</b></p> <ul style="list-style-type: none"> <li>If we fail to reinvest Right to Buy money in affordable housing then may have to pay back</li> </ul>	<p align="center"><b>15</b> <b>(5x3)</b></p>		Head of Housing & Property Services

**KEY BUSINESS RISK REGISTER – ACTION PLAN**

Risk	Current Risk Score (impact x likelihood)	Mitigating Actions In Place/ Required	Lead Officer / Timescale
money to DCLG (plus interest)			
<b>HOUSING CONTRACTS</b> <ul style="list-style-type: none"> <li>Failure to adequately procure and monitor contracts for the Housing Service could result in housing stock that fails to meet the Decent Homes Standard</li> </ul>	<b>15 (5x3)</b>		Head of Housing & Property Services
<b>HOMELESSNESS</b> <ul style="list-style-type: none"> <li>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</li> </ul>	<b>15 (5x3)</b>		Head of Housing & Property Services March 2013
<b>LEADER OF THE COUNCIL – PETER HARE-SCOTT</b>			
<b>WELFARE REFORM ACT (Council wide)</b>	<b>20 (4x5)</b>		
<b>Benefits</b> <ul style="list-style-type: none"> <li>Failure to implement and communicate the new benefits framework effectively could result in applications not being completed in time</li> </ul>		Introduction of Corporate Officer Group	Head of Finance
<b>Revenues</b> <ul style="list-style-type: none"> <li>Collection rates may drop due to changes to Local Council Tax Scheme</li> <li>Failure to adopt a Local Council Tax Scheme that meets the criteria in time</li> </ul>			Head of Housing & Property Services March 2013
<b>Housing Services</b> <ul style="list-style-type: none"> <li>Changes to benefits payment system could result in increased rent arrears</li> </ul>			Head of Housing & Property Services Ongoing
		Revise Allocations and Lettings Policy to reflect changes in criteria for Occupancy Benefit  Revise current tenant and former tenant rent arrears processes including revisions to the Housing Management System  Review structure of Neighbourhood Teams and increase capability of tenancy sustainment through the introduction of dedicated rent arrears team and Welfare Rights Officer	Head of Housing & Property Services March 2013

**KEY BUSINESS RISK REGISTER – ACTION PLAN**

Risk	Current Risk Score (impact x likelihood)	Mitigating Actions In Place/ Required	Lead Officer / Timescale
<p><b>REDUNDANCY</b></p> <ul style="list-style-type: none"> <li>Reductions in Central Government funding as well as impacts from legislation changes could impact on staffing resources, leading to potential need for redundancies</li> </ul>	<p><b>16</b> <b>(4x4)</b></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>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 &amp; 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><b>Head of HR &amp; Development</b> Nothing to be actioned at the current time</p>
<p><b>EQUALITY AND DIVERSITY</b></p> <ul style="list-style-type: none"> <li>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.</li> </ul>	<p><b>10</b> <b>(5x2)</b></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 &amp; Governance Nothing to be actioned at the current time</p>
<p><b>PROPERTY AND LAND MAINTENANCE</b></p> <ul style="list-style-type: none"> <li>If Council buildings and land (eg parks) are not properly maintained, the Council could suffer financially through large repair works or through compensation claims</li> </ul>	<p><b>10</b> <b>(5x2)</b></p>	<p>Managing the Environment PDG recommended a number of changes to the Cabinet on 15<sup>th</sup> 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 &amp; Property Services</p>
<p><b>BREACHES IN LEGISLATION</b></p> <ul style="list-style-type: none"> <li>Failure to keep Council policies up to date, that complement the appropriate legislation</li> </ul>	<p><b>5</b> <b>(5x1)</b></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>
<p><b>CABINET MEMBER FOR PLANNING AND ECONOMIC REGENERATION – RICHARD CHESTERTON</b></p>			
<p><b>NEW HOMES</b></p> <ul style="list-style-type: none"> <li>A low housing build rate, would equal less</li> </ul>	<p><b>20</b> <b>(4x5)</b></p>	<p>A Development Management approach will promote delivery of</p>	<p>Head of Planning &amp; Regeneration</p>

**KEY BUSINESS RISK REGISTER – ACTION PLAN**

Risk	Current Risk Score (impact x likelihood)	Mitigating Actions In Place/ Required	Lead Officer / Timescale
affordable housing resulting in a reduction in potential New Homes Bonus		Tiverton Eastern Urban Extension Review of Core Strategy in 2013	???
<b>BUILDING CONTROL</b> <b>Competitiveness</b> <ul style="list-style-type: none"> <li>Inability to compete with neighbouring building control firms could result in reduced custom / use</li> </ul> <b>Accounts</b> <ul style="list-style-type: none"> <li>Failure to provide an annual financial statement within 6 months of the end of the financial year identifying any surplus or deficit in relation to Building Control would result in 1) failure to recover costs and 2) inspection from DCLG</li> </ul>	<p align="center"><b>16</b> <b>(4x4)</b></p> <p align="center"><b>20</b> <b>(5x4)</b></p>	<p>There is a need to increase income generation through improving customer experience of written and electronic material</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 &amp; Regeneration ???</p> <p>Head of Planning &amp; Regeneration December 2012</p>
<b>ECONOMIC DEVELOPMENT</b> <b>Economic Decline</b> <ul style="list-style-type: none"> <li>Failure to promote economic activity within the District will suppress the potential for new jobs and increased prosperity for residents</li> <li>A continuing economic recession could jeopardise our ability to achieve corporate objective of 'A Thriving Economy'</li> </ul>	<p align="center"><b>16</b> <b>(4x4)</b></p>	<p>New posts in Planning</p> <p>Review of Core Strategy commencing 2013</p> <p>Local Plan Part 3 adopted 2013</p>	<p>Head of Planning and Regeneration ???</p> <p>Head of Planning and Regeneration ???</p>
<b>COMMUNITY INFRASTRUCTURE LEVY (CIL)</b> <ul style="list-style-type: none"> <li>Failure to manage the transition, introduction and adoption of the Community Infrastructure Levy (CIL) would affect capacity to take on collection work</li> </ul>	<p align="center"><b>15</b> <b>(5x3)</b></p>		<p>Head of Planning &amp; Regeneration</p>
<b>CABINET MEMBER FOR ENVIRONMENT – RAY RADFORD</b>			
<b>WASTE COLLECTION</b> <b>Service</b> <ul style="list-style-type: none"> <li>Failure to carry out a functioning waste collection service would result in a breach of statutory duty</li> </ul>	<p align="center"><b>16</b> <b>(4x4)</b></p>		<p>Simon Newcombe</p> <p>???</p>
<b>Health and Safety</b> <ul style="list-style-type: none"> <li>Inadequate training with regards to Manual Handling and workplace hazards (eg contact with broken</li> </ul>	<p align="center"><b>5</b> <b>(5x1)</b></p>	<p>Actively promote green travel through a "Green Travel Plan"</p>	

**KEY BUSINESS RISK REGISTER – ACTION PLAN**

Risk	Current Risk Score (impact x likelihood)	Mitigating Actions In Place/ Required	Lead Officer / Timescale
glass) could result in Health and Safety risks			
<b>HSE IMPROVEMENT NOTICES</b> <ul style="list-style-type: none"> <li>If we fail to improve satisfactorily against HSE Improvement Notices then the Council could face legal action</li> </ul>	<p align="center"><b>10 (5x2)</b></p>	Action Plan to meet HSE Improvement Notice, including: <ul style="list-style-type: none"> <li>Put information together for the HSE to review</li> <li>Identify a safe system of working on the rural collection rounds that were previously undertaken by lone workers</li> </ul>	Simon Newcombe January 2013
<b>GROUND'S MAINTENANCE</b> <ul style="list-style-type: none"> <li>Inadequate training with regards to the use of Grounds Maintenance machinery / equipment could result in Health and Safety risks</li> </ul>	<p align="center"><b>5 (5x1)</b></p>	The Grounds Maintenance Service have comprehensive set of risk assessments in place. These are reviewed regularly and when any changes arise they are updated if appropriate	Head of Environmental Services As and when appropriate
<b>CABINET MEMBER FOR WORKING ENVIRONMENT AND SUPPORT SERVICES – CLIVE EGINTON</b>			
<b>CONTINGENCY</b>  <b>Emergency Plan</b> 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"><b>5 (5x1)</b></p>	MDDC has an Emergency Plan in place and works with other agencies in the event of an emergency – recent example is the flooding	Head of Environmental Services Nothing to be actioned at the current time
<b>HUMAN RESOURCES</b>  <b>Project: HR / Payroll System</b> <ul style="list-style-type: none"> <li>The project may exceed timescale / costs</li> </ul>	<p align="center"><b>5 (5x1)</b></p>	Project currently on target and budget. This is being monitored on a regular basis	Head of HR & Development Nothing to be actioned at the current time
<b>SECURITY</b> <ul style="list-style-type: none"> <li>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.</li> </ul>	<p align="center"><b>5 (5x1)</b></p>		
<b>DOCUMENT RETENTION</b> <ul style="list-style-type: none"> <li>If documents fail to be retained for the statutory period then we may face financial penalties</li> </ul>	<p align="center"><b>5 (5x1)</b></p>	ICT are currently undertaking a review of ICT storage files	Head of ICT March 2013