

PERFORMANCE AND RISK REPORT FOR THE 2nd QUARTER OF 2013/14

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 2013/14 as well as providing an update on the key business risks.

RECOMMENDATION(S): That the Committee reviews the Performance Indicators and Risks that are outlined in this report and feedback 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. If key business risks are not identified and monitored they cannot be mitigated effectively.

1.0 Introduction

- 1.1 This report provides Members with details of performance against the Corporate Plan and local service targets for the first two quarters of 2013/14. (Appendices 1- 6)
- 1.2 Appendices 7-12 show the higher impact risks from the Corporate Risk Register. This now includes operational and Health and Safety risks where their score meets the criteria for inclusion.
- 1.3 All the appendices are produced from SPAR, the corporate Service Performance and Risk Management system.

2.0 Management comment – corporate plan and local service performance targets

Managing the Environment Portfolio - Appendix 1

- 2.1 The prices for recycled materials have been fairly stable this year although they have not improved. The contract for paper and glass which forms 90% of the materials sold has recently undergone a Devon wide tender process the results of which will be known soon.

- 2.2 The performance on missed collections for both waste and recycling has been very good so far this year.

Decent and affordable Homes Portfolio - Appendix 2

- 2.3 Performance for repairs completion was above target for all 4 PIs as reported on Appendix 1. All 4 also improved on performance for the same quarter last year so this is pleasing.
- 2.4 Now that funding has been received the back log on bringing homes up to the decent homes standard can be reduced.

Community Well Being Portfolio - Appendix 3

- 2.5 All the PIs reported at Appendix 1 are on or above target with the exception of the anti-social behaviour contacts PI which is slightly below target. Quarter 2 was 68% which gives a cumulative figure for the first 2 quarters of 76% (target 80%). Satisfaction varies from service to service as shown in the note on Appendix 1.

Planning and Regeneration Portfolio - Appendix 4

- 2.6 The Head of Planning wants to improve the performance on major applications. This will be a priority over the next few months.

Working Environment Portfolio - Appendix 5

- 2.7 Customer First was short staffed in July due to holidays and sickness but still managed to achieve performance on or above target for most PIs. Satisfaction with front-line services is reported as well below target but the data from the kiosk in Phoenix House has not yet been fully verified.
- 2.8 Working days lost due to sickness is well above target, mainly due to a few instances of long term absence.

Finance Portfolio - Appendix 6

- 2.9 Most Internal Audit indicators are on or above target. The % of Core audits completed is below target at 20% compared to the target of 25%. All Core audits are still scheduled for completion by the end of January 2014.
- 2.10 % of invoices paid on time is below target at 90.7% against a target of 97.5% but a report run today shows invoices paid since 30 September were paid within terms 97.2% of the time.
- 2.11 Revenues and Benefits PIs are all above target.

Risk register – Appendix 7

- 2.9 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.

- 2.10 This report does not at present show target levels for risks set by MT, which is the tolerance level for each risk, however these are shown in the individual risk entries on SPAR where applicable.
- 2.11 Please note that where a risk has been identified by more than 1 leisure centre it has not been included twice on Appendix 7.
- 2.12 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.
- 2.13 The profile of these risks for this quarter is:

Impact	5	12	2	3	1	
	4				1	
	3					
	2					
	1					
		1	2	3	4	5
		Likelihood				

3.0 Conclusion and Recommendation

- 3.1 That the Committee reviews the performance indicators and risks that are outlined in this report and feedback any areas of concern to the Cabinet. .

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

Circulation of the Report: Management Team and Neal Davey

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

MTE PDG Performance Report - Appendix 1

Quarterly report for 2013-2014

No headings

For Environment - Cllr Clive Eginton 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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MTE PDG Performance Report - 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% by 2015</u>	487.71	470.00	117.50 (1/4)	106.50				↑
Management Notes: (Quarter 2)									
Data not yet available from WasteDataFlow									
(SK)									
Well below target	<u>Increase Dry Recycling Rate to 20% by 2015</u>	14.70%	20.00%	20.00% (1/4)	13.89%				↓
Management Notes: (Quarter 2)									
Data not yet available from WasteDataFlow									
(SK)									
Below target	<u>% of Household Waste Reuse, Recycled and Composted</u>	46.2%	50.0%	50.0% (1/4)	48.5%				↓
Management Notes: (Quarter 2)									
Data not yet available from WasteDataFlow									
(SK)									
Well above target	<u>% of missed collections per Quarter (refuse and organic waste)</u>	0.03%	0.30%	0.30% (2/4)	0.02%	0.04%			↓
Management Notes: (Quarter 2)									
This is well above target so far this year									
(SN)									
Well above target	<u>% of Missed Collections per Quarter (recycling)</u>	0.06%	0.30%	0.30% (2/4)	0.03%	0.04%			↑
Management Notes: (Quarter 2)									
Well above target so far									

MTE PDG Performance Report - Appendix 1

Performance Indicators									
Status	Title	Prev Year End	Annual Target	Current Target	Q1 Act	Q2 Act	Q3 Act	Q4 Act	Improvement
(SN)									
No Target	<u>Number of Missed Collections per Quarter (refuse and organic waste)</u>	n/a			163	327			n/a
Management Notes:									
No Target	<u>Number of Missed Collections per Quarter (Recycling)</u>	n/a			113	229			n/a
Management Notes:									

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SPAR.net

Print Date: Friday, November 15, 2013
14:40

DAH Performance Report - Appendix 2

Quarterly report for 2013-2014

No headings

For Decent and Affordable Homes - Ray Stanley 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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DAH Performance Report - Appendix 2

Performance Indicators									
Status	Title	Prev Year End	Annual Target	Current Target	Q1 Act	Q2 Act	Q3 Act	Q4 Act	Improvement
On target	<u>Deliver 15 homes per year by bringing Empty Houses into use</u>	33	15	8 (2/4)	4	7			↓
Management Notes:									
Well below target	<u>Number of affordable homes delivered (gross)</u>	77	100	50 (2/4)	11	22			↑
Management Notes: (Quarter 1 - 2)									
Although we completed 22 units during the last quarter and have more schemes that are due to complete before year end, we do not expect to achieve our target of 80 affordable units.									
(NS)									
Above target	<u>% Emergency Repairs Completed on Time</u>	99.74%	99.50%	99.50% (6/12)	100.00%	100.00%			↔
Management Notes:									
Above target	<u>% Urgent Repairs Completed on Time</u>	99.69%	98.50%	98.50% (6/12)	100.00%	100.00%			↑
Management Notes:									
Above target	<u>% Routine Repairs Completed on Time</u>	99.76%	98.50%	98.50% (6/12)	100.00%	99.96%			↑
Management Notes:									
Above target	<u>% Repairs Completed at First Visit</u>	99.33%	98.50%	98.50% (6/12)	100.00%	99.95%			↑
Management Notes:									
Above target	<u>Ratio of expenditure between planned and responsive repairs</u>	82.18	70.30	70.30 (2/4)	60.40	77.23			↑
Management Notes:									
Below target	<u>Rent Collected as a Proportion of Rent Owed</u>	99.74%	100.50%	100.50% (6/12)	98.00%	98.22%			↑
Management Notes:									
Well	<u>Rent Arrears as a</u>	0.86%	1.00%	1.00%	1.44%	1.92%			↑

DAH Performance Report - Appendix 2

Performance Indicators									
Status	Title	Prev Year End	Annual Target	Current Target	Q1 Act	Q2 Act	Q3 Act	Q4 Act	Improvement
below target	<u>Proportion of Annual Rent Debit</u>			(6/12)					
Management Notes: (October) Although outside target, performance remains in the top quartile. The Neighbourhood teams work very hard to collect rent and understand how a deterioration in the level of performance has a negative impact upon the revenue stream which in turn could impact upon the ability of the Housing Service to deliver the objectives set out in the long term business plan. (CF)									
Well below target	<u>% Decent Council Homes</u>	80.20%	95.00%	95.00% (6/12)	80.75%	81.69%			↓
Management Notes: (October) Another 19 properties have been brought up to the decent homes standard in the last quarter. it is envisaged that we will complete another 36 properties with backlog funding by the end of March 2014. (SB)									
Below target	<u>% Properties With a Valid Gas Safety Certificate</u>	99.90%	100.00%	100.00% (6/12)	100.00%	99.72%			↓
Management Notes: (October)									
Well below target	<u>Average Days to Re-Let Local Authority Housing</u>	17.01days	17.0days	17.0days (6/12)	20.8days	20.1days			↓
Management Notes: (October) Following meeting with the Voids Supervisor and implementation of the initial action plan we are starting to see some pay back on results. As further actions are completed it is envisaged that we will maintain this performance level. (MB)									

CWB PDG Performance Report - Appendix 3

Quarterly report for 2013-2014

No headings

For Community Well-Being - Cllr Bob Deed 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

CWB PDG Performance Report - 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>Reduce the number of empty shop units (TIVERTON)</u>	8.80%	8.00%	8.00% (2/4)	7.56%	5.76%			↑
Management Notes:									
Well above target	<u>Reduce the number of empty shop units (CREDITON)</u>	5.20%	8.00%	8.00% (2/4)	5.88%	6.72%			↑
Management Notes:									
Well below target	<u>Reduce the number of empty shop units (CULLOMPTON)</u>	14.70%	15.00%	15.00% (2/4)	16.84%	16.84%			↑
Management Notes:									
Above target	<u>Issue of Licences</u>	96%	95%	95% (2/4)	99%	98%			↑
Management Notes:									
No Target	<u>Monitor the vitality and Viability of Town centres by measuring changes in footfall (TIVERTON)</u>	-16.5%			n/a	n/a	n/a	11.1%	↑
Management Notes: (2013 - 2014)									
Reported annually in October									
(CY)									
No Target	<u>Monitor the vitality and Viability of Town centres by measuring changes in footfall (CREDITON)</u>	3.0%			n/a	n/a	n/a	-3.1%	↓
Management Notes:									
No Target	<u>Monitor the vitality and Viability of Town centres by measuring changes in footfall (CULLOMPTON)</u>	-8.2%			n/a	n/a	n/a	-8.3%	↓
Management Notes:									

CWB PDG Performance Report - Appendix 3

Performance Indicators									
Status	Title	Prev Year End	Annual Target	Current Target	Q1 Act	Q2 Act	Q3 Act	Q4 Act	Improvement
Below target	<u>Ensure 80% of people who contact the Council about anti-social behaviour see improvements</u>	79%	80%	80% (2/4)	83%	76%			↓
<p>Management Notes: (Quarter 2)</p> <p>Stats breakdown for info:</p> <p>Housing satisfaction 86%, Environ Health 50%, Estates/Enforcement 68%</p> <p>Average satisfaction across service areas 68%</p> <p>(JR)</p>									
On target	<u>Conduct a number of community action days</u>	3	2	1 (2/4)	0	0			↓
<p>Management Notes: (Quarter 2)</p> <p>Event Planned in Yeoford on 6 November 2013</p> <p>(JR)</p>									
Well above target	<u>Response to service requests</u>	99%	95%	48% (2/4)	99%	98%			↑
<p>Management Notes:</p>									
Well above target	<u>Response to water sampling requests</u>	100%	95%	48% (2/4)	100%	100%			↑
<p>Management Notes:</p>									
Well above target	<u>Response to Planning consultations</u>	87%	75%	75% (2/4)	92%	90%			↓
<p>Management Notes:</p>									
On target	<u>Investigate 100% of accidents Incident</u>	100%	100%	100% (2/4)	100%	100%			↔
<p>Management Notes:</p>									
On target	<u>Investigate 100% of accidents Complaint</u>	100%	100%	100% (2/4)	100%	100%			↔
<p>Management Notes:</p>									
Above target	<u>Operational Recovery Rate</u>	86.49%	87.50%	87.50% (2/4)	88.56%	88.13%			↑
<p>Management Notes:</p>									
Above target	<u>Retention Rate for Leisure Members</u>	95%	95.5%	95.5% (2/4)	95.6%	95.7%			↑
<p>Management Notes:</p>									
Above target	<u>Compliance with food hygiene law</u>	90%	90%	90% (2/4)	90%	91%			↑
<p>Management Notes:</p>									

CWB PDG Performance Report - 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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Print Date: Wednesday, November 20,
2013 09:44

Planning Performance Report - Appendix 4

Quarterly report for 2013-2014

No headings

For Planning and Economic Regeneration - Cllr Richard Chesterton 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 Performance Report - Appendix 4

Status	Title	Prev Year End	Annual Target	Current Target	Q1 Act	Q2 Act	Q3 Act	Q4 Act	Improvement
Above target	<u>Planning Applications: Householder Applications</u>	81%	80%	80% (2/4)	83%	82%			↑
<u>Management Notes:</u>									
Below target	<u>Enforcement site visits</u>	100%	87%	87% (2/4)	92%	87%			↓
<u>Management Notes:</u>									
Above target	<u>Delegated decisions</u>	93%	90%	90% (2/4)	93%	94%			↑
<u>Management Notes:</u>									
Well below target	<u>Planning Applications: over 13 weeks old</u>	45	45	45 (2/4)	50	57			↓
<u>Management Notes:</u>									
Well above target	<u>Customers rating the service good</u>	92%	75%	75% (2/4)	92%	96%			↑
<u>Management Notes:</u>									
Below target	<u>Searches carried out w/in 5 working days</u>	99.95%	100.00%	100.00% (2/4)	100.00%	98.32%			↓
<u>Management Notes:</u>									
(Quarter 2)									
Target missed due to Building Control not answering their part of the Con29 search on time. Land Charges are unable to complete searches until we have the Building Control information.									
(SK)									
Below target	<u>Building Regulation Applications</u>	92%	95%	95% (2/4)	93%	87%			↑
<u>Management Notes:</u>									
Above target	<u>Building Regulation Full Plan Applications</u>	100%	95%	95% (2/4)	100%	99%			↓
<u>Management Notes:</u>									
Well below	<u>Planning Applications: Major Applications</u>	70%	60%	60% (2/4)	0%	17%			↓

Planning Performance Report - Appendix 4

Performance Indicators									
Status	Title	Prev Year End	Annual Target	Current Target	Q1 Act	Q2 Act	Q3 Act	Q4 Act	Improvement
target									
Management Notes:									
Well below target	<u>Planning Applications: Minor Applications</u>	56%	65%	65% (2/4)	41%	45%			↓
Management Notes:									
Below target	<u>Planning Applications: 'Other' Applications</u>	78%	80%	80% (2/4)	76%	79%			↑
Management Notes:									
Below target	<u>New Performance Planning Guarantee</u>	n/a	100%	100% (2/4)	95%	94%			n/a
Management Notes:									

Working Environment Portfolio Performance - Appendix 5

Quarterly report for 2013-2014

No headings

For Working Environment and Support Services - Cllr Brenda Hull 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 Performance - 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>	91.89%	90.00%	90.00% (2/4)	91.42%	92.06%			↓
<u>Management Notes:</u>									
Below target	<u>% calls to Customer First answered within 2 minutes</u>	91.55%	95.00%	95.00% (2/4)	90.50%	92.10%			↓
<u>Management Notes:</u> (Quarter 2) Short staffed in July due to holidays & sickness (NC)									
No Target	<u>Number of phone calls to CF per month</u>	11,084	For Information Only	For Information Only	11,597	11,663			↑
<u>Management Notes:</u>									
On target	<u>% of visitors to reception seen to within 15 minutes of arrival</u>	96.00%	95.00%	95.00% (2/4)	96.00%	95.00%			↑
<u>Management Notes:</u>									
Well below target	<u>Satisfaction with front-line services</u>	88.50%	85.00%	85.00% (2/4)	0.00%	75.00%			↓
<u>Management Notes:</u> (Quarter 2) In March we ended our contract with Gov metric and wrote our own feedback system. This was not set up until August and had a few teething problems initially. The reports are still being worked on to ensure the data is correct. (LR)									
Well below target	<u>% complaints acknowledged w/in 3 days</u>	72%	80%	80% (2/4)	69%	71%			↓
<u>Management Notes:</u>									
Above target	<u>% of complaints resolved w/in timescales (10 days - 12 weeks)</u>	88%	90%	90% (2/4)	82%	97%			↑
<u>Management Notes:</u>									

Working Environment Portfolio Performance - 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>% Emails received by Customer Services responded to within 5 days</u>	99.3%	95.0%	95.0% (2/4)	99.7%	99.7%			↓
Management Notes:									
Above target	<u>95% of post received and scanned on date of receipt</u>	n/a	95.00%	95.00% (2/4)		98.00%			n/a
Management Notes:									
On target	<u>% of Minutes published</u>	100%	100%	100% (2/4)	100%	100%			↔
Management Notes:									
On target	<u>% of Committee Agendas</u>	100%	100%	100% (2/4)	100%	100%			↔
Management Notes:									
Below target	<u>Response to FOI Requests (within 20 working days)</u>	86%	100%	100% (2/4)	97%	94%			↑
Management Notes: (Quarter 2) Impact of volume and holidays (SK)									
Well below target	<u>Working Days Lost Due to Sickness Absence</u>	7.83days	7.00days	3.50days (2/4)	2.30days	4.55days			↓
Management Notes:									
Above target	<u>Customer Satisfaction IT Survey</u>	9.7	9.7	9.7 (2/4)	9.7	9.8			↑
Management Notes:									
Below target	<u>System Availability</u>	100.0%	99.9%	99.9% (2/4)	100.0%	95.0%			↑
Management Notes: (Quarter 2) following on from power outage in July (CC)									
Below target	<u>% SLA Achieved</u>	86%	84.00%	84.00% (2/4)	84.67%	82.14%			↓
Management Notes: (Quarter 2) Impact of volume and holidays (CC)									

Finance Portfolio Performance - Appendix 6

Quarterly report for 2013-2014
 No headings
 For Finance - Cllr Neal Davey 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 Performance - Appendix 6

Performance Indicators									
Status	Title	Prev Year End	Annual Target	Current Target	Q1 Act	Q2 Act	Q3 Act	Q4 Act	Improvement
Well below target	<u>% of core audits completed in financial year</u>	117%	100%	25% (2/4)	0%	20%			↓
Management Notes: (Quarter 1 - 2)									
All Core audits are still scheduled for completion by the end of January 2014.									
(CY)									
On target	<u>% of system audits completed in financial year</u>	67%	80%	40% (2/4)	25%	40%			↑
Management Notes:									
On target	<u>Percentage of customer satisfaction</u>	n/a	100%	100% (2/4)	0%	100%			n/a
Management Notes:									
Above target	<u>% total Council tax collected - monthly</u>	98.12%	98.00%	49.00% (6/12)	28.61%	56.22%			↓
Management Notes:									
Well above target	<u>% total NNDR collected - monthly</u>	97.56%	98.00%	49.00% (6/12)	25.36%	58.16%			↑
Management Notes:									
Below target	<u>Percentage of Invoices Paid on Time</u>	96.20%	97.50%	97.50% (1/2)	n/a	90.71%	n/a		↓
Management Notes: (April - September)									
The performance has been a bit lower for a couple of months this year due to staff changes and annual leave.									
(RF)									
Well above target	<u>Time taken to process Housing Benefit/Council Tax Benefit new claims and change events</u>	7days	14days	14days (2/4)	7days	9days			↓
Management Notes:									

Risk Report Appendix 7

Report for 2013-2014
 Filtered by Flag: Include: * CRR 5+ / 15+
 For MDDC - Services

Not Including Risk Child Projects records or Mitigating Action records

Key to Performance Status:

Risks: No Data (0+) High (15+) Medium (5+) Low (1+)

Risk Report Appendix 7

Risk: Asbestos Health risks associated with Asbestos products such as lagging, ceiling/wall tiles, fire control.

Effects (Impact/Severity):

Causes (Likelihood):

Service: Housing Services

Current Status:
Medium (5)

Current Risk Severity: 5 -
Very High

Current Risk Likelihood: 1 -
Very Low

Head of Service: Nick Sanderson

Review Note: Only non-licensed asbestos work shall be carried out. By removing the high risk licensed works the risk is immediately reduced

Risk: Breaches in Legislation Failure to keep Council policies up to date, that complement the appropriate legislation

Failure to develop staff knowledge and competence regarding legislation/changes

Effects (Impact/Severity): - The Council could face poor reports from assurance bodies
 - Failure to meet statutory duties could result in paying penalties, stretching already thin financial resources

- Failure to comply with legislation could lead to legal challenge against individuals or the Council as a whole

- Future legislation changes, their impact on services and the cost of implementing changes to policies, procedures and service delivery

- Use of unlicensed software could result in financial penalties

Causes (Likelihood):

Service: Management Team

Current Status:
Medium (5)

Current Risk Severity: 5 -
Very High

Current Risk Likelihood: 1 -
Very Low

Head of Service: Jill Stimpson

Review Note: - Policy framework

- 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

Risk Report Appendix 7

Risk: Breaches of Legislation Breaches of Anti-Money Laundering or Bribery Act both could result in a criminal conviction.

Effects (Impact/Severity):

Causes (Likelihood):

Service: Audit

**Current Status:
Medium (5)**

**Current Risk Severity: 5 -
Very High**

**Current Risk Likelihood: 1 -
Very Low**

Head of Service: Amy Tregellas

Review Note:

Risk: Chemicals Staff using chemicals incorrectly.

Effects (Impact/Severity):

Causes (Likelihood):

Service: Leisure Services

**Current Status:
Medium (10)**

**Current Risk Severity: 5 -
Very High**

**Current Risk Likelihood: 2 -
Low**

Head of Service: Jill Stimpson

Review Note: No changes to review

Risk: Contingency - Emergency Plan 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.

Effects (Impact/Severity): • Inadequate space made available for mass morgues / burials

Causes (Likelihood): • Instances of environmental health pollution such as Legionella or a Norovirus outbreak

Service: Management Team

**Current Status:
Medium (5)**

**Current Risk Severity: 5 -
Very High**

**Current Risk Likelihood: 1 -
Very Low**

Head of Service: Paul N Williams

Review Note: - MDDC has an Emergency Plan in place and works with other agencies in the event of an emergency - recent example is the flooding

Risk Report Appendix 7

Risk: Council Finances - Banking Arrangements Problems with banks and online services may affect ability to access funds when we need to or receive / process payments on a timely basis

Effects (Impact/Severity): Unable to promptly pay suppliers or treasury commitments

Causes (Likelihood): ICT systems down at Council or Bank so impossible to review cash position or make urgent payments

Service: Financial Services

Current Status:
Medium (5)

Current Risk Severity: 5 -
Very High

Current Risk Likelihood: 1 -
Very Low

Head of Service: Andrew Jarrett

Review Note: Cash balances are reviewed daily in accordance with approved policies.

A short term outage could occur, but previous experience suggests this is infrequent and the downtime is likely to be resolved within one or two days. In the event of an inability to access online services we could move monies by physically attending the high street branch of our bank to effect transactions. A reconciliations register is maintained in Finance, risk of loss in the event of a delay in reconciling the bank account is low.

Risk: Council Finances - Investments Failure to invest in the Council's funds in an efficient and effective manner may cause potential of a loss of monies invested

Effects (Impact/Severity): • Could result in cash flow loss of up to £3M

Causes (Likelihood): • Future banking collapses

Service: Financial Services

Current Status:
Medium (5)

Current Risk Severity: 5 -
Very High

Current Risk Likelihood: 1 -
Very Low

Head of Service: Andrew Jarrett

Review Note: Only invest in Government Accounts and main UK Banks and Building Societies that meet strict credit rating criteria

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

Risk: Council Finances - Treasury Management Failure to comply with the CIPFA Code of Practice on Treasury Management /local authority accounting would be a breach in statutory duty

Effects (Impact/Severity):

Causes (Likelihood):

Service: Financial Services

Current Status:
Medium (5)

Current Risk Severity: 5 -
Very High

Current Risk Likelihood: 1 -
Very Low

Head of Service: Andrew Jarrett

Review Note:

Risk Report Appendix 7

Risk: Document Retention If documents fail to be retained for the statutory period then we may face financial penalties

Effects (Impact/Severity):

- The Council may be disadvantaged in taking or defending legal action if prime documents are not retained;
- Performance statistics cannot be verified;
- The external auditor may not be able to verify the Council's final accounts and subsidy may be lost.
- Ability to meet Freedom of Information requests may be limited if data is not available.
- Mismanagement of burial records

Causes (Likelihood): • "Data debris" cluttering system and storage space

Service: Management Team

Current Status:
Medium (5)

Current Risk Severity: 5 -
Very High

Current Risk Likelihood: 1 -
Very Low

Head of Service: Christina Cross

Review Note: The Council has a guide to document retention on SharePoint. We are carrying out an information audit and the results will feed into any migrating actions to reduce this risk

Risk: Eastern Urban Extension Tiverton If progress on a masterplan is delayed, the Council becomes vulnerable to speculative planning applications being submitted which do not accord with adopted policies. This could lead to unsustainable development which would not meet policy requirements for essential infrastructure.

Effects (Impact/Severity): Delay will reduce confidence in the deliverability of the urban extension in a comprehensive and coordinated manner, thereby increasing the likelihood of planning applications being submitted for disparate areas of land without the necessary infrastructure provision or without a means of ensuring that infrastructure can be provided at the right time and in the right place. Additionally, individual applications increase the risk of proposals prejudicing the delivery of other areas of land within the allocation.

Causes (Likelihood):

Service: Management Team

Current Status: High
(15)

Current Risk Severity: 5 -
Very High

Current Risk Likelihood: 3 -
Medium

Head of Service: Jonathan Guscott

Review Note:

Risk Report Appendix 7

Risk: Failure to comply with card security standards As an organisation we need to comply with the requirements of TrustWave to be authorised as card payment processors.

Effects (Impact/Severity):

Causes (Likelihood):

Service: Management Team

Current Status: High (20)

Current Risk Severity: 5 - Very High

Current Risk Likelihood: 4 - High

Head of Service: Christina Cross

Review Note: At present MDDC has failed to comply with the most recent self assessment due to there being no policy in place. Plans are being made to have a policy in place by December 2013.

Risk: Fire and Explosion Risks associated with storage of combustible materials, fuels and flammable substances and sources of ignition, as well as emergency procedures (existence, display and knowledge of), accessibility (or obstruction) of emergency exits and walkways to. Also, risks associated with use of fire extinguishers, having correct type in location, in date and trained operatives on site.

Effects (Impact/Severity): Very High (5) – Although the risk is low, a fire in the server or storage room could potentially cause loss of life, have serious financial implications and severely impact the councils ability to provide services due to loss of IT infrastructure.

Causes (Likelihood): Very Low (1) – The likelihood of a fire within ICT is extremely low. No quantities of combustible materials are stored within the work area. There is easy access to the emergency exit and all staff have received fire awareness training.

Service: I C T

Current Status: Medium (5)

Current Risk Severity: 5 - Very High

Current Risk Likelihood: 1 - Very Low

Head of Service: Christina Cross

Review Note:

Risk Report Appendix 7

Risk: Health and Safety Inadequate Health and Safety Policies or Risk Assessments and decision-making could lead to Mid Devon failing to mitigate serious health and safety issues

Effects (Impact/Severity):

- An incident could result in death and/or serious injury to persons
- Claims against and prosecution of individual Members, Officers or the Council as a whole

Causes (Likelihood):

- No formal risk assessments have been drawn up specifically for the standby function although risks have been identified

Service: Management Team

Current Status: Medium (10)	Current Risk Severity: 5 - Very High	Current Risk Likelihood: 2 - Low
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Head of Service: Kevin Finan

Review Note: The Corporate Health & Safety Committee meet on a quarterly basis to ensure that all serious risks are mitigated and raised as issues to Management Team

SPAR risk reporting going live September 2013

Risk: Legionella No.9 Legionella

Effects (Impact/Severity):

Causes (Likelihood):

Service: Leisure Services

Current Status: Medium (5)	Current Risk Severity: 5 - Very High	Current Risk Likelihood: 1 - Very Low
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Head of Service: Jill Stimpson

Review Note:

Risk: Lifeguard Training Poor quality training. Improper use of rescue equipment

Effects (Impact/Severity):

Causes (Likelihood):

Service: Leisure Services

Current Status: Medium (5)	Current Risk Severity: 5 - Very High	Current Risk Likelihood: 1 - Very Low
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Head of Service: Jill Stimpson

Review Note: No changes to review

Risk Report Appendix 7

Risk: Security 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.

Effects (Impact/Severity): • The Council could be exposed to charges of corporate manslaughter and fines

Causes (Likelihood):

Service: Management Team

Current Status: Medium (5)

Current Risk Severity: 5 - Very High

Current Risk Likelihood: 1 - Very Low

Head of Service: Nick Sanderson

Review Note: - Cash is regularly banked and cash floats and controlled stationery are secured in safes

Risk: Security of tenure at Silverton Mill Security of tenure at Silverton Mill

Effects (Impact/Severity):

Causes (Likelihood):

Service: Waste Management

Current Status: High (15)

Current Risk Severity: 5 - Very High

Current Risk Likelihood: 3 - Medium

Head of Service: Paul N Williams

Review Note:

Risk: Waste Collection - Health and Safety Inadequate training with regards to Manual Handling and workplace hazards (eg contact with broken glass) could result in Health and Safety risks

Effects (Impact/Severity):

Causes (Likelihood): - Increasing demand and service costs due to increasing population, consumer society and an increasing amount of waste

Service: Waste Management

Current Status: High (15)

Current Risk Severity: 5 - Very High

Current Risk Likelihood: 3 - Medium

Head of Service: Paul N Williams

Review Note: There are undeniable risks; work is continuing to reduce the likelihood of an accident occurring.

Health and Safety training is ongoing - including annual driver competence checks and manual handling training programme for all waste operatives.

Risk Report Appendix 7

Risk: Welfare Reform Act - Benefits Failure to implement and communicate the new benefits framework effectively could result in applications not being completed in time

Effects (Impact/Severity): Impact on number of officers required in service

Causes (Likelihood): If the changes from current benefits system to Universal Credit go ahead, the system will require greater staff resource

Service: Management Team

**Current Status: High
(16)**

**Current Risk Severity: 4 -
High**

**Current Risk Likelihood: 4 -
High**

Head of Service: Andrew Jarrett

Review Note:

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