

PERFORMANCE & RISK MANAGEMENT FRAMEWORK
REPORT OF: CHIEF OFFICER FOR CORPORATE GOVERNANCE & CUSTOMER ENGAGEMENT

WARDS AFFECTED: ALL WARDS

1. PURPOSE OF REPORT

1.1 To provide the council's year to date (2014/15) position on:

- Performance indicators including benchmark report on indicators agreed by East Midlands benchmark group
- Service improvement plans
- Corporate risks
- Service area risks

2. RECOMMENDATION

That members:

- 2.1 Note the year to date (2014/15) position for items listed at 1.1 above
- 2.2 Recommend actions to improve performance on indicators failing to meet target
- 2.3 Review red (risk score of 9, 8, or 7) risks to improve their risk scores

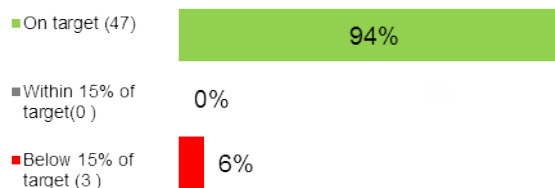
3. BACKGROUND TO THE REPORT

- 3.1 The Council reports quarterly on progress against its Performance, Service Improvement Planning and Risk Management Framework.
- 3.2 This report considers current performance with regard to the Corporate Plan Strategic aims

4. OVERALL SUMMARY – (Year to date 2014/15)

- 4.1 Performance indicators – all returns are at least to the end of September (2nd quarter). In a lot of cases where the return is required monthly the status captured is either as at the end of October or in some cases November, depending on the data collection requirements. This report is based on the status of the performance system as at 30 December 2014

Targets – year end estimates compared to set targets



4.1.1 Performance indicators predicting to miss target

PI (polarity denoted by arrow)	14/15 target	November actual return	Year end estimate	Comments
LCUS1b: Customer service – lost calls ↓	15%	18.11%	20%	Customer Services continue to try and resolve up to 70% of calls at first point of contact and this approach impacts on both average wait time and lost calls. Following customer feedback we introduced an initial holding message that advises customers of their position in the queue allowing them to make a decision on whether to hold for their call to be answered or to call back later.
LCUS3: Appropriate person sees customer within 10 minutes ↑	85%	68.6%	70%	The time taken to serve customers on the POD's continues to rise slightly month by month as the level of support required by customers continues to increase. All visitors are seen at Meet and Greet on arrival and only customers needing assistance are issued tickets to see an advisor. Satisfaction results continue to support customers are happy to wait for the service provided.
LHS212b: Average Time to Re-let General Needs Housing ↓	15	23	20	Performance has been affected by higher than normal minor repairs and some delays with repairs completion and high numbers of new voids being received. Discussions with the Repairs Team are commencing to find ways to improve void turnaround performance and a restructure within the Allocations and Housing Options Team is intended to release resource to address our performance.

The following indicators are reported on an annual basis only due to data capture requirements and are therefore excluded from the summary above.

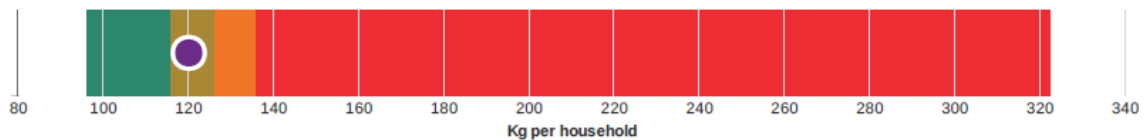
Reference	Description
LHE41	No of local authority parks with green flag award
BV03	Overall Satisfaction
BV086	Cost of Household Waste Collection
BV119a	Satisfaction: Sports/Leisure facilities
BV119e	Satisfaction: Parks/Open Space
BV89	Satisfaction: Street cleanliness
BV90a	Satisfaction: Waste Collection
BV90b	Satisfaction: Waste Recycling
LEH02	Response to service request within 2 working days
QOL2	Parks & open spaces improved/stayed same
NI158	Non-decent council homes
NI159	Supply of ready to develop housing sites
NI185	CO2 reduction from Local Authority operations

4.1.2 Benchmarking

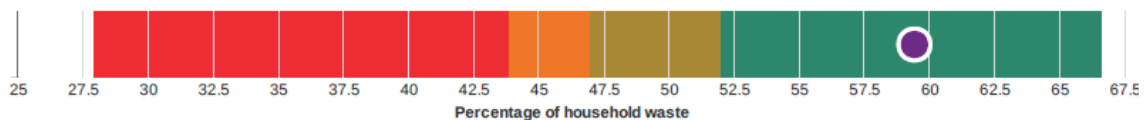
More indicators may be added during 2015 as the group works to agree further comparable methods of data capture.

2014/15 1st Qtr outturns for selected indicators agreed by East Midlands benchmark group. Quantiles of all East Midlands district councils that have participated.

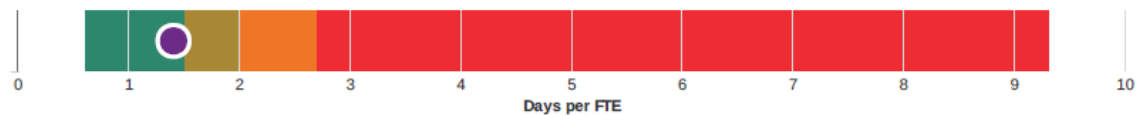
Residual household waste per household (participating councils: 14)



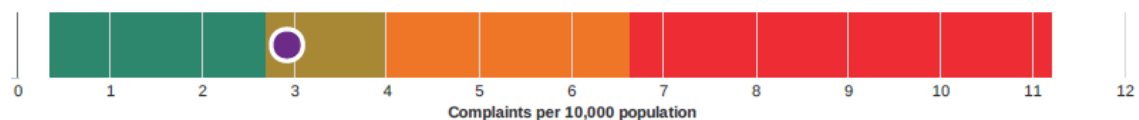
Percentage of household waste sent for reuse, recycling and composting (participating councils: 7)



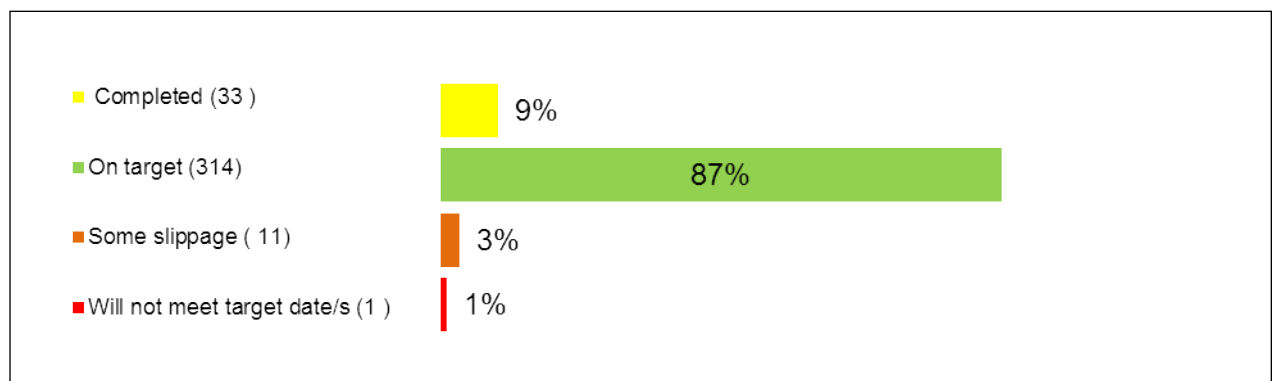
Average number of working days lost due to sickness absence per FTE (full-time equivalent) employee (excluding schools) - participating councils: 6



Number of formal complaints received per 10,000 population (participating councils: 7)



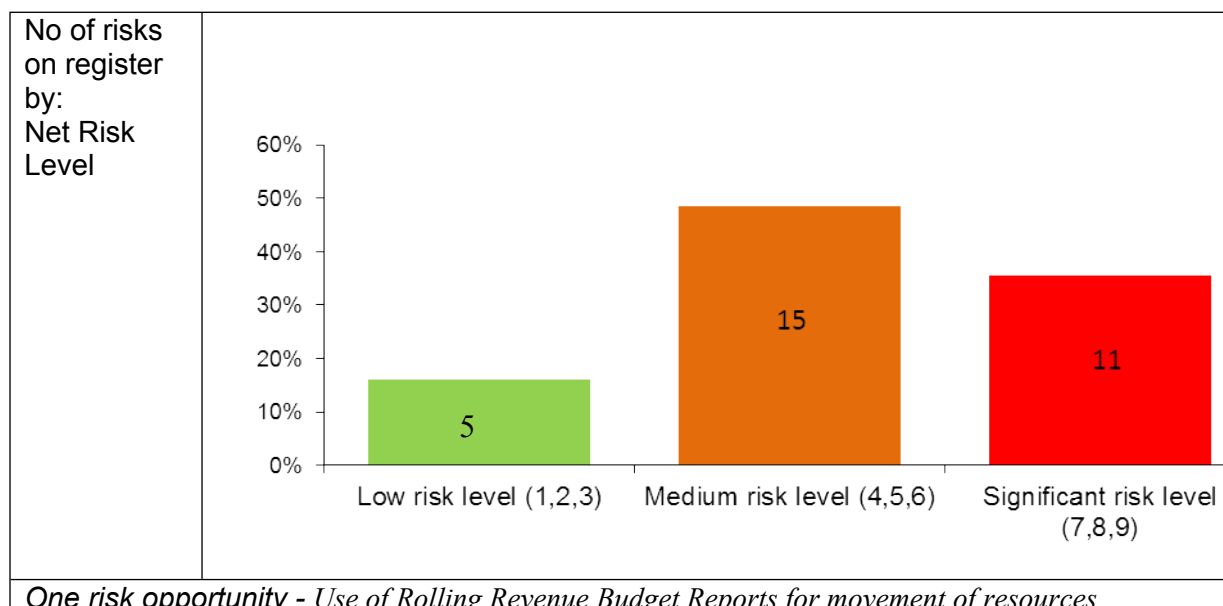
4.2 Service improvements plans



4.2.1 Service improvements plans showing signs of slippage

Outcome	Action	Lead Officer	Progress
Protect & improve our parks & open spaces	Preston Rd POS, provision of a new toddler/junior play area and landscaping to site (GSDP 1, March 2016)	Ian Pinfold / Paul Scragg	Consultation carried out. Works to take place once section 106 money has been received. Q2 - highly unlikely S106 will be received in time for works to be completed this financial year. Completion date amended.
Identify & support the most vulnerable people	Create Prompt Register for Choice Based Lettings	Patricia Lavender	Q1 - Work to commence in quarter 2 along with Scrutiny report on Allocations/CBL
Reduce our impact on the environment	Develop business case for in cab software for refuse and recycling collections to improve efficiency, recycling rates etc (Sept 2015)	Caroline Roffey	Project to be extended to implementation if viable / good vfm. Sept 14 - target date extended by 12 months. No capacity to pursue due to Project Recycle Right and implications arising from LCC changes to recycling credits. Therefore lower priority and completion date amended accordingly.
Move towards early intervention & prevention	Fund delivery of "Until Its Gone" Performances to Year 10 students dealing with issues concerning homelessness, ASB, drugs, teenage pregnancy, immigration and alcohol abuse	Jo Wykes	Use of prevention fund currently being re-evaluated.
Reduce our impact on the environment	Identify properties that may be eligible for ECO and Green Deal funding and advise the occupiers / owners of these schemes. Raise the profile of ECO and Green Deal locally by leaflets, promotions and targeted marketing.	Rosemary Leach	Q1 ECO and green deal future uncertain the team is exploring ways of accessing external funding to support this work Q2 Due to a relaxation in the targets for energy companies, the scheme virtually stopped in 2014. New negotiations have commenced with energy companies for work locally from March 2015. Once schemes are clear marketing will resume
Identify & support the most vulnerable people	Look to develop partnership working and options to cope with increasing demand for domestic abuse outreach services	Rachel Burgess	Q1 Funding in place and to ensure 6 day / week cover for outreach service from Sept 2014- March 2015 Q3 Still issues with capacity. Currently have funding for 1 extra day a week but this funding runs out March 15.
Improve confidence, perception & pride in communities	Support the new Wharf Community Consortium to develop the facility	Graeme Chilvers	Q1 and Q2: Support provided to groups around possible funding streams while waiting for legal process surrounding ownership to be resolved.
Efficient, effective & pro-active services	Service of new noise notice to control noise from use of Mallory Park Racing Circuit	Rob Parkinson	Executive report 24th November deferred service of notice to CX and Exec Lead following further submission of evidence and planning application. Formal complaint from residents received and responded
Efficient, effective & pro-active services	App07_Upgrade LocalView [14/07]	Lee McMahon	[14/08] Installation is progressing. Issues have been encountered with ESRI. These are being resolved. This is not affecting live users or live functionality (PL). [14/11] ESRI have provided solutions, Test system being updated. (PL)
Improve health & wellbeing	Deliver minor and major social services adaptations within required timescales and budget by Apr 2015	Joe Preston	Now forecasting a budget pressure and currently working through future demand to calculate likely amount.
Efficient, effective & pro-active services	ICT03_Implement Windows 7 on PC's [9/14]	Mike Dungey	[14/08] Ongoing. 60% of PC's have been upgraded. Others being rolled out during September. (PL) [14/11] Complete subject to a final audit of the network. (PL)
Efficient, effective & pro-active services	ICT04_Upgrade MS Desktop Suite [9/14]	Mike Dungey	[14/08] Desktop Suite has been provisioned on the new servers and is being rolled out. 20% of users have moved across. The remainder will be migrated (subject to team approval) during September. (PL) [14/11] 70% of Users have been moved across to the new Citrix environment. Some delays due to agreeing schedules with teams. (PL)

4.3 Corporate/Strategic risks



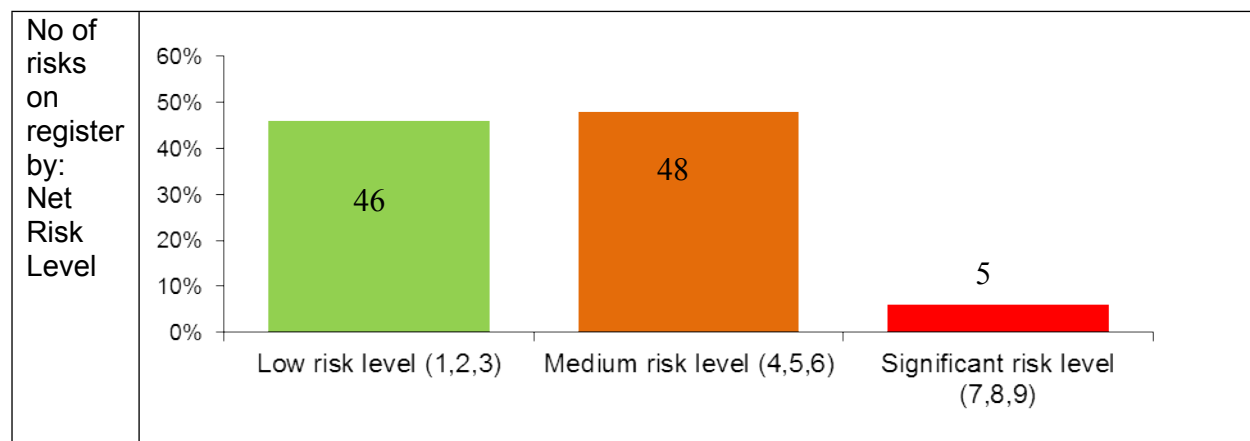
4.3.1 Corporate/Strategic risks with a net risk level of 7, 8 or 9 (red)

Risk	Risk failure leads to:	Net Risk Level	Review commentary	Last reviewed	Risk Owner
S.06 - Failure to implement the Town Centre Plan	lack of member support, private sector investment interest, public sector funding, public support, planning permission for the development and Lack of progress on Town Centre regeneration	9: Likelihood (high) - Impact (high)	Works continue on programme with major piling underway. Steelwork for the main buildings will commence in November. Legal contracts have advanced for the new Squash complex with work programmed to start later this Autumn with Squash Club temporarily relocating from December. Arrangements are in place to operate for competitions at Leicester Road facility and at Leisure centre for casual use.	Oct 14/15	Bill Cullen
S.11 - Failure to successfully deliver the Medium Term Financial Strategy	Underperformance, inadequate cashflow, ineffective financial planning	9: Likelihood (high) - Impact (high)	The financial position of the Council becomes more challenging. Members made the decision at full Council on 2nd September 2014 to add to the specification of the swimming pool in the new Leisure Centre. This will add a further £500K to £705K to the cost of the Leisure centre (this is in addition to the £1m cost of the ground remediation work that was previously reported). This now takes the total cost of construction to just over £15m. The cost of the ground works and the moveable floor has resulted in a shortfall in capital funding which has been met through utilisation of the Hub rental reserve (£1m) and by borrowing. The total impact on the Revenue funding is a further strain of just over £130K for 2015/16. This together with the known circa 16.8% reduction in RSG and reductions in budgets by the County Council having a direct impact on this Council's budgets means that the shortfall in funding for 2015/16 exceeds £500,000 and for 2016/17 could increase to £1.2m with further removal of dry recycling credits by LCC. Meetings have taken place with the ruling (Lib Dem) group and Middle Managers to identify areas for savings and additional revenue generation. A key decision has been made by Council to withdraw the 25% of NHB support given to Parish Councils from 2015/16 but to carry on with the LCTS support to Parishes. This decision means that the Borough Council's budgets will be better off by over £350K. Further support has been demonstrated by the ruling group over introducing new charges e.g charge for pre-application planning advice for domestic planning applications and a charge for replacement bins that have been damaged by residents. Also considering introducing a charge for green waste	Oct 14/15	Sanjiv Kohli

			recycling		
S.12 - Insufficient Business Continuity Management (incl Disaster recovery) arrangements	Inability to deliver services following fortuitous events, poor reputation, breach of Civil Contingencies Act	8: Likelihood (medium) - Impact (high)	All Business Continuity Plans have been re-written to reflect the requirements of the new BS25999 standard. COB has now reviewed the position to ensure progress is maintained	Oct 14/15	Steve Atkinson - Chief Executive
S.15 - Failure to successfully adopt and deliver the LDF leads to:	Penalties from govt, loss of Planning Delivery Grant, uncontrollable development pressure,, unsustainable development, no clear spatial strategy, loss of employment/housing opportunities, impact on environment	8: Likelihood (medium) - Impact (high)	The Housing Allocations DPD is due to be considered by Executive on 29th October and Council in November.	Oct 14/15	Bill Cullen
S.22 - Failure of County Council Support/ engagement for the Local Strategic Partnership	No recognition of local priorities at County level, Potential loss resource to assist delivery of objectives, missed advantage/opportunities	8: Likelihood (medium) - Impact (high)	LCC have still not responded to a request to complete its own benchmarking exercise for Leicestershire Together. However, LCC have recently announced a fundamental review of Leicestershire Together, with a view to reducing resourcing to the Partnership along with questions being raised by LCC Chief Executive over the effectiveness of the Partnership April update: LCC have not yet published outcomes of its review of Leicestershire Together.	Oct 14/15	Bill Cullen
S.33 - MIRA RGF Fund	Impact on development of MIRA on the A5	9: Likelihood (high) - Impact (high)	The RGF programme for delivery remains on target for completion by March 2015. A new procurement process for the Mira buses is being led by LCC to secure new bus services linking the site to Hinckley and Nuneaton. This will be targeted to commence by April 2015. State Aid advice is being secured for funding onsite cycle ways and bicycles outcomes expected by end of October. A business case has now been prepared by the Highway Agency consultants on behalf of Partners and is being submitted into DFT in Government for consideration. Briefings have taken place with local MP's who are seeking to facilitate a pre adjournment debate to secure a commitment to resourcing further work for the dualling of the A5	Oct 14/15	Bill Cullen
S.34 - Safeguarding of vulnerable adults, children & young people	Death or serious injury of a child, young and/or vulnerable adult	8: Likelihood (medium) - Impact (high)	HBBC are involved in a pre OFSTED Inspection review. Two local cases have been reviewed. Issues remain over the sharing of specific information between Social Services and HBBC. The Vulnerable Adults Safeguarding Policy is currently being refreshed. The roll out of the competency framework is underway. The number of referrals made by HBBC Officers between April 2014 to October 2014 was 82 cases - 30 of which have been previously referred i.e. are complex.	Oct 14/15	Simon D. Jones
S.36 - Variances to Housing Repairs Account	Risk of additional expenditure	8: Likelihood (medium) - Impact (high)	Budget continues to be monitored and new SORs implemented which will reduce likelihood.	Oct 14/15	Julie Kenny
S.37 - Non delivery of capital projects which are interdependent	Issues to Town Centre plan and Leisure Centre Plans (S.06 and S.25)	8: Likelihood (medium) - Impact (high)	Members made the decision at full Council on 2nd September 2014 to add to the specification of the swimming pool in the new Leisure Centre. This will add a further £500K to £705K to the cost of the Leisure centre (this is in addition to the £1m cost of the ground remediation work that was previously reported). This now takes the total cost of construction to just over £15m. The cost of the ground works and the moveable floor has resulted in a shortfall in capital funding which has been met through utilisation of the Hub rental reserve (£1m) and by borrowing. This has meant that the Council can no longer consider the following capital schemes that were being considered: <ul style="list-style-type: none"> • Purchase/development of staff car park (est £900K) • Purchase of HUFCC (est £750K) • Purchase/rescue of Springfield Park (not quantified) • Resolution of Klondyke 	Oct 14/15	Sanjiv Kohli

			Meetings have taken place with the ruling (Lib Dem) group and Middle Managers to identify areas for savings and additional revenue generation. A key decision has been made by Council to withdraw the 25% of NHB support given to Parish Councils from 2015/16 but to carry on with the LCTS support to Parishes. This decision means that the Borough Council's budgets will be better off by over £350K. Further support has been demonstrated by the ruling group over introducing new charges e.g charge for pre-application planning advice for domestic planning applications and a charge for replacement bins that have been damaged by residents. Also considering introducing a charge for green waste recycling.		
S.43 - Leicestershire County Council budget cuts	Reduction in budgets for service delivery, therefore increasing the risk that services will be adversely impacted or charges may be required to recoup funding lost	9: Likelihood (high) - Impact (high)	LCC have given notice of withdrawal of green recycling credits from 2015/16. This impacts HBBC budgets by taking away income of around £320K. LCC also announced that their financial position has worsened so it is likely that they will also remove dry recycling credits from 2016/17 (previously anticipated in 2017/18). This could mean a further £550 loss of income. In addition, as LCC position worsens to a budget gap of £130m with £50m of savings not yet identified there is a likelihood that their further decisions on budget reductions will continue to have an on going impact on Leicestershire District councils budgets.	Oct 14/15	Sanjiv Kohli
S.45 - Council does not prevent or detect fraudulent activities	Loss of income and reputation	8: Likelihood (medium) - Impact (high)	Awaiting outcome from the Transformation bid (expected end of October 2014) Review of Whistle blowing Policy complete. This revealed a lack of understanding of process to follow. Chief Executive has included a clarification note in the Monthly Newsletter. Will review and take appropriate action to inform members of staff and elected Members	Oct 14/15	Sanjiv Kohli

4.4 Service area risks



4.4.1 Service risks with a net risk level of 7, 8 or 9 (red)

Risk	Risk failure leads to:	Net Risk Level	review commentary	Last reviewed	Risk Owner
CPS.41 - Staff levels	Failure to maintain staffing levels within Corporate Services to deal with works required	8: Likelihood (medium) - Impact (high)	There are currently capacity problems predominantly within the Legal Team due to high workload and turnover - Legal Services Manager developed a new structure in order to increase resource and to redistribute workload. Engaged 3 locums to deal with backlog and ongoing workload - re-advertising property solicitor post after unsuccessful recruitment campaign	Nov 14/15	Julie Stay
PHR.11 - Tenants - heating affordability	Economic Climate impacting on affordability for tenants to heat homes resulting in increased damp and condensation issues	7: Likelihood (high) - Impact (medium)	To mitigate the effects of black spot mould forming in Council dwellings, a process and procedure document has in collaboration with the Anti-Social Behaviour and Tenancy Manager been written. This highlights the required procedure when dealing with a report of black spot mould, a surveyors defects tick sheet to	Dec 14/15	Julie Kenny

			<p>identify or eliminate constructional defects, a risk assessment tick sheet to identify tenants issues and the potential intervention of the Energy Officer from the Private Sector Housing Team to alleviate fuel poverty.</p> <p>Also in an attempt to alleviate fuel poverty the Housing Repairs team in association with the Private Sector Housing team are developing a project to install Photo Voltaic (PV) Cells on suitable Council properties to provide free daytime electricity. (at no cost to the Council or tenants)</p>		
DLS.42 - Meet the need of Gypsy and Travellers in the borough	Illegal incursions	8: Likelihood (medium) - Impact (high)	<p>One additional site has been identified for additional pitches however concern has been raised by the owner that any future application should be considered on it's planning merits. Additional sites are being granted permission, so the supply of sites is increasing but this need to continue to meet the on-going requirement.</p> <p>An updated Gypsy and Traveller Accommodation Assessment is being commissioned to ensure compliance with the Planning Policy for Travellers</p>	Dec 14/15	Sally A Smith Rachel Dexter Nic Thomas
DLS.44 - Five year housing land supply	Speculative unplanned housing developments plus additional costs incurred due to planning appeal process.	9: Likelihood (high) - Impact (high)	<ol style="list-style-type: none"> 1. Barwell & Earl Shilton APP to be adopted at September 2014 Council - Completed on time. 2. Barwell Section 106 Agreement to be prioritised so permission can be issued and work on site can begin. 3. Earl Shilton SUE planning application to be encouraged from developers. 4. Sites within the Site Allocations document are being promoted for early delivery. Grant received for additional resource to facilitate. 5. Member engagement / training in relation to housing developments has taken place, but this needs to be a continual engagement and message for Members. 6. Progress of the Site Allocations & DM Policies DPD being prioritised. Modifications being consulted upon Dec-14 - Jan-15 7. Encourage additional SHLAA sites to come forward for development as per paragraph 4.12 of the Core Strategy. 	Dec 14/15	Sally A Smith Nic Thomas Rachel Dexter
SS.37 - External funding	Certain projects / improvements would not be delivered inline with the timescale identified within action plan, and in extreme cases not delivered at all, unless other sources of funding were to be secured.	9: Likelihood (high) - Impact (high)	<p>Q2 - LCC will be significantly reducing the funding for green waste collections.</p> <p>At a full Council meeting, councillors agreed to use additional income from planning fees in 2014/15 to cover the cost of the garden waste collection service from April 2015 until March 2016, in order to allow more time for all of the alternative options to be explored more fully within the council and with residents.</p>	Dec 14/15	Caroline Roffey

5. FINANCIAL IMPLICATIONS [KP]

None

6. LEGAL IMPLICATIONS [MR]

None arising directly from this report

6. CORPORATE PLAN IMPLICATIONS

The report provides an update on the achievement of the Council's vision and revised Corporate Plan 2013 - 2016. The issues covered in this report relate to, and support the achievement of all the Council's Strategic Aims:

- Creating a vibrant place to work and live
- Empowering communities
- Supporting individuals
- Providing value for money and pro-active services

7. CONSULTATION

Each Service Manager has contributed information to the report and the performance outturn information is available on the Intranet via the TEN system

8. RISK IMPLICATIONS

It is the Council's policy to proactively identify and manage significant risks which may prevent delivery of business objectives.

This report summarizes all risks, strategic and operational (SIP) and therefore considers the risk implications with regards to the Corporate Plan.

9. KNOWING YOUR COMMUNITY – EQUALITY AND RURAL IMPLICATIONS

Equality and Rural implications are considered as part of the implementation of the Corporate Plan 2013-16.

10. CORPORATE IMPLICATIONS

None

Background papers: None

Contact Officer: Cal Bellavia ☎5795

Executive Member: Councillor BM Witherford