



MEETING : EXECUTIVE
VENUE : COUNCIL CHAMBER, WALLFIELDS, HERTFORD
DATE : TUESDAY 4 APRIL 2017
TIME : 7.00 PM

MEMBERS OF THE EXECUTIVE

Councillor Linda Haysey	-	Leader
Councillor Eric Buckmaster	-	Executive Member for Health and Wellbeing
Councillor Tony Jackson	-	Ambassador and Executive Member for Shared Services
Councillor Gary Jones	-	Deputy Leader and Executive Member for Economic Development
Councillor Graham McAndrew	-	Executive Member for Environment and the Public Space
Councillor Suzanne Rutland-Barsby	-	Executive Member for Development Management and Council Support
Councillor Geoffrey Williamson	-	Executive Member for Finance and Support Services

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DISCLOSABLE PECUNIARY INTERESTS

1. A Member, present at a meeting of the Authority, or any committee, sub-committee, joint committee or joint sub-committee of the Authority, with a Disclosable Pecuniary Interest (DPI) in any matter to be considered or being considered at a meeting:
 - must not participate in any discussion of the matter at the meeting;
 - must not participate in any vote taken on the matter at the meeting;
 - must disclose the interest to the meeting, whether registered or not, subject to the provisions of section 32 of the Localism Act 2011;
 - if the interest is not registered and is not the subject of a pending notification, must notify the Monitoring Officer of the interest within 28 days;
 - must leave the room while any discussion or voting takes place.
2. A DPI is an interest of a Member or their partner (which means spouse or civil partner, a person with whom they are living as husband or wife, or a person with whom they are living as if they were civil partners) within the descriptions as defined in the Localism Act 2011.
3. The Authority may grant a Member dispensation, but only in limited circumstances, to enable him/her to participate and vote on a matter in which they have a DPI.
4. It is a criminal offence to:
 - fail to disclose a disclosable pecuniary interest at a meeting if it is not on the register;
 - fail to notify the Monitoring Officer, within 28 days, of a DPI that is not on the register that a Member disclosed to a meeting;
 - participate in any discussion or vote on a matter in which a Member has a DPI;
 - knowingly or recklessly provide information that is false or misleading in notifying the Monitoring Officer of a DPI or in disclosing such interest to a meeting.

(Note: The criminal penalties available to a court are to impose a fine not exceeding level 5 on the standard scale and disqualification from being a councillor for up to 5 years.)

Public Attendance

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If you think a meeting you plan to attend could be very busy, you can check if the extra space will be available by emailing committee.services@eastherts.gov.uk or calling the Council on 01279 655261 and asking to speak to Democratic Services.

Audio/Visual Recording of meetings

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AGENDA

1. Apologies

To receive apologies for absence.

2. Leader's Announcements

3. Minutes (Pages 5 - 10)

To approve the Minutes of the meeting held on 21 March 2017.

4. Declarations of Interest

To receive any Member(s) declaration(s) of interest.

5. Property Investment Company (Pages 11 - 22)

6. Waste and Street Cleansing Vehicles (Pages 23 - 28)

7. Corporate Service Plan 2017/18 (Pages 29 - 54)

8. Risk Management Strategy (Pages 55 - 74)

9. Quarterly Corporate Healthcheck - Quarter 3 (December 2016) (Pages 75 - 122)

10. Urgent Business

To consider such other business as, in the opinion of the Chairman of the meeting, is of sufficient urgency to warrant consideration and is not likely to involve the disclosure of exempt information.

MINUTES OF A MEETING OF THE
EXECUTIVE HELD IN THE COUNCIL
CHAMBER, WALLFIELDS, HERTFORD ON
TUESDAY 21 MARCH 2017, AT 7.00 PM

PRESENT: Councillor L Haysey (Chairman/Leader)
Councillors E Buckmaster, G Jones,
G McAndrew, S Rutland-Barsby and
G Williamson.

ALSO PRESENT:

Councillors A Alder, M Allen, S Bull,
M Casey, M Freeman, J Goodeve, J Jones,
T Page and K Warnell.

OFFICERS IN ATTENDANCE:

Isabel Brittain	-	Head of Strategic Finance and Property
Martin Ibrahim	-	Democratic Services Team Leader
Helen Standen	-	Director
Alison Stuart	-	Head of Legal and Democratic Services
Adele Taylor	-	Director

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**EAST HERTS DISTRICT PLAN - REGULATION 22
CONSULTATION STATEMENT, MARCH 2017**

RECOMMENDED - that the Regulation 22 Consultation Statement, March 2017, as detailed at Essential Reference 'B' to the report submitted and now amended, be agreed as a companion document to the East Herts District Plan, for submission to the Planning Inspectorate.

(see also Minute 632)

623 **EAST HERTS DISTRICT PLAN - DUTY TO CO-OPERATE COMPLIANCE STATEMENT, MARCH 2017**

RECOMMENDED – that (A) the Duty to Co-operate Compliance Statement be agreed in support of the Pre-Submission District Plan; and

(B) the Head of Planning and Building Control, in consultation with the Leader of the Council, be authorised to agree any further amendments to the Duty to Co-operate Compliance Statement as required.

(see also Minute 632)

624 **EQUALITIES IMPACT ASSESSMENT OF THE EAST HERTS DISTRICT PLAN, MARCH 2017**

RECOMMENDED – that the Equality Impact Assessment, March 2017, as detailed at Essential Reference Paper 'B' of the report submitted, be agreed.

(see also Minute 632)

625 **EAST HERTS DISTRICT PLAN - PROPOSED MINOR CHANGES, SUBMISSION AND EXAMINATION**

RECOMMENDED – that (A) the schedule of Proposed Minor Changes, as detailed at Essential Reference Paper 'B' of the report submitted, be agreed, with any further additions authorised by the Head of Planning and Building Control, in consultation with the Leader of the Council;

(B) the submission of the District Plan and supporting documents to the Planning Inspectorate on 31 March 2017, be agreed;

(C) the process following submission of the District Plan be noted; and

(D) the Head of Planning and Building Control, in consultation with the Leader of the Council, be authorised to agree any further information required for the Examination.

(see also Minute 632)

626 **EAST HERTS INFRASTRUCTURE DELIVERY PLAN,
FEBRUARY 2017**

RECOMMENDED – that (A) the East Herts Infrastructure Delivery Plan, February 2017, as detailed at Essential Reference ‘B’ of the report submitted, be supported as part of the evidence base to support the East Herts District Plan; and

(B) the Head of Planning and Building Control, in consultation with the Leader of the Council, be authorised to update the Infrastructure Delivery Plan as required for the Examination.

(see also Minute 632)

627 **TRANSPORT MODELLING - COMET AND VISUM
TECHNICAL PAPERS**

RECOMMENDED – that (A) the COMET Technical Paper, January 2017, be agreed as part of the evidence base to support the East Herts District Plan;

(B) the outputs of VISUM modelling be noted;

(C) the Head of Planning and Building Control, in consultation with the Leader of the Council, be authorised to agree the VISUM Technical Paper prior to the submission of the District Plan to the Planning Inspectorate; and

(D) further transport modelling be undertaken prior to the District Plan Examination Hearing Sessions.

(see also Minute 632)

628 **APPROACH TO MASTER PLANNING AND DELIVERY OF STRATEGIC SITES**

RECOMMENDED – that the approach to Masterplanning set out in the report submitted, be agreed to support the delivery of sites allocated for development in the emerging District Plan.

(see also Minute 632)

629 **APOLOGIES**

An apology for absence was submitted on behalf of Councillor A Jackson.

630 **LEADER'S ANNOUNCEMENTS**

The Leader reminded everyone that the meeting was being webcast.

631 **MINUTES**

In respect of Minute 560 – Old River Lane Project Governance Structure, Councillor T Page referred to the advice given by Officers in response to his question on the timelines for the project and asked that the Minutes be amended to include 2023 as the indicative date for the build out for the development.

The Executive accepted this and agreed that the Minutes be amended to reflect this.

RESOLVED – that the Minutes of the Executive meeting held on 7 February 2017, be approved as a

correct record and signed by the Leader, subject to the following amendment:

3rd paragraph, 2nd sentence – add after “...less firm”, “but it was anticipated that the build out would be by 2023”.

632 DISTRICT PLANNING EXECUTIVE PANEL: MINUTES - 9 MARCH 2017

RESOLVED – that the Minutes of the District Planning Executive Panel meeting held on 9 March 2017, be received.

(see also Minutes 622 – 628)

The meeting closed at 7.09 pm

Chairman
Date

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EAST HERTS COUNCIL

EXECUTIVE - 4 APRIL 2017

REPORT BY THE EXECUTIVE MEMBER FOR FINANCE AND SUPPORT SERVICES

IN PRINCIPLE APPROVAL TO DEVELOP A PROPERTY INVESTMENT COMPANY

WARD(S) AFFECTED: ALL

Purpose/Summary of Report

- This report discusses the development of a property investment company, wholly owned by East Herts Council, as part of an approach to diversifying East Herts Council's investment portfolio.
- It is recommended that Executive approves in principle the development of a company, as described in this report, with incorporation of the company and commencement of trading subject to future approval of a financial business plan for the company.
- In principle approval to develop a company will trigger detailed work on the financial business plan, and options for the company's initial trading period, for which approval will be sought at a future date.
- In principle approval to develop a company will *not* trigger the incorporation or trading of the company at this stage. This is entirely reliant on approval of the financial business plan and allocation of resources in due course.
- A property investment company would form part of the council's overall portfolio of investments aimed at generating a revenue income stream to fund the council's priorities in the context of diminishing subsidy and grants from government. It would act in the market place to acquire residential properties for private rental and/or acquire commercial premises.

<u>RECOMMENDATION FOR EXECUTIVE:</u> That:	
(A)	in principle approval is granted to develop a property investment company, the incorporation and trading of which is subject to future approval of a full financial business plan for the company; and

(B)	Articles of Association and a Shareholder Agreement are drafted for consideration alongside the business plan at a future date.
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1.0 Background : the financial challenges facing the council

1.1 East Herts Council, like many local authorities, is facing reductions in subsidy and grants from central government and so is finding it increasingly challenging to fund both existing services and emerging priorities.

1.2 The Medium Term Financial Plan has highlighted:

- Revenue Support Grant funding from central government reduces from £1,145k in 2016/17 to £351k in 2017/18 and then reduces to zero from 2018/19. This is a significant loss in funding within the MTFP
- New Homes Bonus reforms have reduced the amount of grant received and have added a baseline amount which puts future funding at risk
- DCLG include in their assumptions that Council Tax will be increased by at least the referendum limit amount, £5 for East Herts Council, each year until 2019/20
- the proposed move to 100% Business Rates Retention will place additional risk to the future funding of local government from 2019/20. The tariff/top-up system will remain in the reformed scheme limiting the amount of Business Rates income that East Herts Council retains
- the funding formula which DCLG use to determine the baseline funding need for each Local Authority will also be revised significantly from 2019/20. This may also have a significant effect on the Business Rates income that East Herts Council retains.

1.3 Within this context, officers will need to identify options to put to members to increase returns on assets held and maximise the opportunities for revenue generation.

Investing to generate income

1.4 The council has made a number of investment decisions to date with the aim of securing a revenue return on assets held. The council's approach to investment is laid out in its Treasury

Management Strategy, devised to be compliant with CIPFA's Prudential Code. CIPFA defines effective treasury management as:

- the management of the Local Authority's investments and cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks.

1.5 The council's Investment Strategy is contained within the Treasury Management Strategy. The Investment Strategy is set with regard to the CIPFA Treasury Management in Public Services Code of Practice and Cross Sectoral Guidance Notes. The council's investment priorities are security first, liquidity second, then return. The aim is to avoid a concentration of risk.

1.6 Holding diversified forms of investment is a well-established way of mitigating risk. At present, the council has deployed its resources in a number of ways, principally:

- holding cash on deposit in the bank/short term investments
- investing in property funds
- investing directly in commercial property.

1.7 These investments provide revenue resources for the council to direct towards its priorities, rather than providing community benefits in themselves, as detailed in the MTFP.

1.8 This paper proposes to further mitigate the inherent risk, however slender, associated with higher yield investments by developing a company, wholly-owned by the council, to acquire and rent out residential and/or commercial property.

A property investment company: how would it work?

2.1 The respective roles of the council and the company would be as follows.

	Council's responsibility	Company's responsibility
Sets up the company	✓	
Writes the initial business plan for member approval	✓	
Appoints directors	✓	

	<i>acting as the shareholder</i>	
Drafts annual business plan (once the company is trading) covering proposals for: <ul style="list-style-type: none"> • acquiring properties in the coming year • financial resources required from the council • use of profits within the company or paid as dividends to the shareholder 		✓
Approves (or otherwise) the annual business plan for the company	✓ <i>acting as the shareholder</i>	
Provides financial resources and defines the terms of loans, equity investment, shareholder loans of similar	✓ <i>acting as the shareholder (for equity investment / shareholder loans)</i> <i>acting as 'banker' (for commercial loans)</i>	
Negotiates property purchases		✓ <i>the company may purchase this service from the council</i>
Lets, manages and maintains properties on a day-to-day basis (through agents unless more cost-effective to do so directly)		✓
Determines whether / when to dispose of properties	✓ <i>acting as the shareholder based on recommendations from the company</i>	
Determines use of revenue income to the council stemming from lending and recharges to the company and dividends from the company	✓	

2.2 The table above indicates that although the company would be managed on a day-to-day basis by its Board of Directors,

decisions on key aspects of the company's operations would be reserved for the shareholder, that is, the council.

- 2.3 The principle mechanism by which the shareholder would guide its company is through the approval, or otherwise, of the company's annual business plan. The exact contents and format of this business plan would be governed by the Articles of Association and Shareholder Agreement. Both are legal documents to which the council and company would adhere. The Executive is asked in this report to approve the drafting of both these documents for member consideration alongside the initial business plan in due course.

Potential community benefits derived from a property investment company

- 2.4 The primary role of a property investment company as proposed is to generate revenue income and capital growth. The nature of the company's operation would, however, also generate community benefits in the following ways:
- providing revenue income to combine with that from the council's property bonds and other investments to protect existing council services and/or fund emerging priorities
 - acting as a good landlord in the private housing rental market. East Herts is not immune to the activities of poor private landlords. For example, the Environmental Health team are currently dealing with 27 private sector housing complaints / cases of proactive action, including seven actions against houses in multiple occupation and four actions against particularly 'rogue' private landlords. This workload covers significant fire risks and instances of poor quality heating (excess cold risk). Anything to provide higher quality private rental alternatives is to be welcomed
 - providing a means of 'last resort' when working with poor private landlords and/or the owners of empty properties where engagement and enforcement action has failed to remedy the situation
 - providing good quality private lettings for professionals on short-term placement with East Herts' major employers, for example, GSK, Tesco and local hospitals
 - providing good quality commercial premises to encourage business growth.

- 2.5 The above community benefits would not, however, fetter the shareholder in using the company to acquire property outside of East Herts should this be considered financially beneficial for the council.

Legal basis of the company

- 2.6 Trowers and Hamlins has provided detailed advice on the legal aspects of establishing a company as proposed; the information in this section of the report has been taken from the advice provided.
- 2.7 Section 1 of the Localism Act 2011 provides local authorities with the power to do anything an individual may do, subject to a number of limitations. This is referred to as the 'general power of competence'. A local authority may exercise the general power of competence for its own purpose, for a commercial purpose and/or for the benefit of others.
- 2.8 In exercising this power, a local authority is still subject to its general duties, such as the fiduciary duties it owes to its rate and local tax payers and to the public law requirements to exercise the general power of competence for a proper purpose.
- 2.9 Section 4 of the Localism Act 2011 requires that where a local authority exercises the general power of competence for a commercial purpose it **must** do this through a company.
- 2.10 Section 95 of the Local Government Act 2003 is also of relevance. The associated regulations, Regulation 2 of the Local Government (Best Value Authorities) (Power to Trade) (England) Order 2009, require a business case to be prepared and approved by the council before a company starts trading. The financial business case would form part of a future report seeking resources for the company. This is outside of the matter under consideration in this report, that is, the case for establishing a property investment company.

Form of company and proposed governance arrangements

- 2.11 The Localism Act 2011 defines which forms of company a local authority can use to trade. These are; a company limited by shares, a company limited by guarantee and a community benefit society. Of note, a limited liability partnership is not an available legal structure.

- 2.12 The legal advice provided by Trowers and Hamlins is that the company should be a company limited by shares. This form of company complies with the ability to trade provisions set out within the Localism Act 2011. East Herts Council would own the entire share capital. There are certain requirements that would apply to the company, some of which are statutory such as the obligation to file annual returns and accounts, while others the council would be able to determine itself, including the governance arrangements.
- 2.13 It is proposed that the governance of the housing company would be as follows.

Body	Role
East Herts Council would be the sole shareholder	Full Council making decisions reserved for the shareholder in the company's articles of association and shareholder agreement. Such decisions would include the approval of the company's business plan on an annual basis
A group of three elected members would form a shareholder advisory group	Appointed by the Leader of the Council acting in consultation with the Chief Executive, this group would exercise oversight of the company's reports and performance, provide strategic guidance and advise to full Council when it is exercising its rights and responsibilities as the shareholder
The company's Board of Directors	This body would manage the affairs of the company on a day-to-day basis. It is proposed that in the first instance all directors would be officers of the council, who would not receive any additional remuneration for this role. In time, there may be provision for additional independent directors appointed for their expertise in regard to property management, finance and the like; independent directors would probably require some remuneration

- 2.14 While the company's Board of Directors would manage the company's affairs on a day-to-day basis, the council would have a number of ways in which it could legitimately guide the activity of the company, including:

- as the shareholder – appointing and removing directors, signing off the company’s annual business plan, and signing off any changes to the company’s Memorandum and Articles of Association, and making any other decisions reserved for the shareholder in the articles and shareholder agreement
- as a funder – deciding whether or not to make loans to the company and setting the terms of these loans
- as an owner of properties and/or land – making available properties and/or land to the company.

2.15 It is envisaged that the company would not employ its own staff during its early stages of operation, and indeed perhaps not unless approval is given in future to embark on housing development. It is believed that the necessary skills, at the initial stages, are available in-house or readily available in the local market, notably regarding property management.

2.16 For avoidance of doubt, the company would only be able to purchase properties in line with the annual business plan approved by the shareholder, that is, the council. In this way, the shareholder has the ability to approve, or otherwise:

- whether the company procures any properties in the forthcoming year, including perhaps setting minimum or maximum caps on the number of properties acquired
- whether the company divests itself of any properties
- gross rental yields that would be acceptable to the shareholder
- the circumstances in which finance will be provided and the conditions attached to this.

2.17 The company’s directors would, of course, be obliged under the Companies Act 2007 to ensure that the company’s financial circumstances are sound. It is envisaged that through on-going dialogue between the directors of the company and the council, principally represented through the shareholder advisory group, the company would be able to frame its draft annual business plan in line with the aims of its shareholder.

3 Comments from the Joint Meeting of Scrutiny Committees, 14 February 2017

3.1 Development of a property investment company has been discussed in some detail at the:

- Corporate Business Scrutiny meeting – 29 November 2016
- Joint Meeting of Scrutiny Committees meeting – 17 January 2017
- Joint Meeting of Scrutiny Committees meeting – 14 February 2017.

3.2 The discussion culminated at the meeting of 14 February at which members agreed to recommend to Executive that it should approve developing a property investment company in principle, pending a future decision on the financial business plan. The recommendation to Executive made in this report reflects this.

3.3 The members were also of the view that when considering the financial business plan at a future date, this should be within the context of a wider consideration of commercial options.

4 Financial matters

4.1 This report is seeking in principle approval to develop a property investment company. In principle approval will trigger detailed work on the financial business plan and options for the initial trading period of the company. Member approval of the company's initial financial business plan and allocation of council resources will be required to trigger incorporation and trading of the company.

4.2 As noted above, Section 95 of the Local Government Act 2003 and the associated regulations, Regulation 2 of the Local Government (Best Value Authorities) (Power to Trade) (England) Order 2009, require a business case to be prepared and approved by the council before a company starts trading.

4.3 Future member approval will be based on the business plan, and will identify the need for and request allocation of the council's capital resources. The scale of initial investment in and loan to the company would solely be a member decision. On an annual basis thereafter, Council, acting in its shareholder role, would decide on any further level of investment and/or lending.

4.4 For avoidance of doubt, the matter under consideration in this report, the case for developing a property investment company, does not have any financial implication beyond staff time to work on the financial business case and external legal advice on the drafting the Articles and Association and Shareholder agreement

for which resources have already been identified.

- 4.5 Furthermore, making a decision on the recommendation in this report will not incur any future financial liability as members' future consideration of the business plan and funding request will not be fettered by in principle approval to develop a company.

5 Implications/Consultations

- 5.1 Information on corporate issues and consultation associated with this report can be found within **Essential Reference Paper A**.

Background Papers

None

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ESSENTIAL REFERENCE PAPER 'A'

IMPLICATIONS/CONSULTATIONS

<p>Contribution to the Council's Corporate Priorities/ Objectives:</p>	<p>Priority 1 – Improve the health and wellbeing of our communities</p> <p>Priority 2 – Enhance the quality of people's lives</p> <p>Priority 3 – Enable a flourishing local economy</p> <p>The proposal is to develop a property investment company to provide good quality homes for private rental and, if financially advantageous, to invest in commercial property.</p> <p>The provision of good quality housing in all tenures plays a crucial role in meeting all three priorities, particularly, enhancing people's lives.</p>
<p>Consultation:</p>	<p>The proposals have been developed internally.</p>
<p>Legal:</p>	<p>Trowers and Hamlins solicitors have provided detailed advice on the legal aspects of developing a housing company. Of note, Section 1 of the Localism Act 2011 provides local authorities with the power to do anything an individual may do, subject to a number of limitations. This is referred to as the 'general power of competence'. Section 4 of the Localism Act 2011 requires that where a local authority exercises the general power of competence for a commercial purpose it must do this through a company.</p> <p>Section 95 of the Local Government Act 2003 is also of relevance. The associated regulations, Regulation 2 of the Local Government (Best Value Authorities) (Power to Trade) (England) Order 2009, require a business case to be prepared and approved by the Council before a company starts trading. This report includes the first draft of a business case for the housing company.</p>
<p>Financial:</p>	<p>Approval of the recommendation will trigger officers to finalise a detailed 30 year business plan, incorporating tax advice provided by from PwC. This will be subject to member approval in due course.</p> <p>There are no financial liabilities arising directly from this report.</p>

Human Resource:	<p>There are no TUPE implications.</p> <p>It is envisaged that the company would not employ its own staff during its early stages of operation, and indeed perhaps not unless approval is given in future to embark on housing development.</p>
Risk Management:	<p>The overall project group has considered the risks of the project and risk log is regularly reviewed.</p>
Health and wellbeing – issues and impacts:	<p>The proposal is to develop a property investment company to provide good quality homes for private rental and, if financially advantageous, to invest in commercial property.</p> <p>The provision of good quality housing in all tenures plays a crucial role in meeting all three priorities, particularly, enhancing people’s lives.</p> <p>Community benefits could include:</p> <ul style="list-style-type: none"> • providing income to protect existing council services and/or fund emerging priorities • acting as a good private sector landlord, putting increasing pressure on poorer landlords to improve • providing a potential ‘last resort’ action to tackle poor standards in the private sector and/or remedy empty properties where both informal advice and enforcement have failed • increasing the availability of good quality private rented accommodation for those on short-term placements with local employers • providing good quality commercial premises to encourage business growth.

EAST HERTS COUNCIL

EXECUTIVE - 4 APRIL 2017

REPORT BY EXECUTIVE MEMBER FOR FINANCE AND SUPPORT SERVICES

WASTE VEHICLE INVESTMENT

WARD(S) AFFECTED: ALL

Purpose/Summary of Report

- **To secure capital funding in principle for waste collection and street cleansing vehicles which will be required for the new joint waste and cleansing contract due to start May 2018.**

<u>RECOMMENDATIONS FOR COUNCIL:</u> That:	
(A)	capital funding in the range of £3.5 million to £4 million for the purchase of vehicles required to deliver the District's waste and street cleansing service from May 2018, be approved, subject to tender evaluation indicating that option provides a substantial saving to the Council.

1.0 Background

1.1 The joint waste and street cleansing contract with North Herts District Council is due to be awarded in September 2017. It is expected that contract mobilisation will start no later than late Autumn 2017 with the new contract starting in May 2018.

1.2 The purpose of the joint contract is to support each Council with its savings and efficiency targets. The core specification requires the provider (contractor) to provide a cost to supply the service including the purchase of waste collection and street cleansing vehicles. This means the Council paying for vehicles through monthly contract payments and therefore through the Council's revenue budget over the life of the contract (7years). The contract

offers an option for the Council to pay for the purchase of vehicles as a one off cost through the capital budget.

2.0 Report

2.1 This report seeks agreement in principle for the Council to pay for the purchase of vehicles through the capital budget programme, should this provide a substantial saving to the Council.

2.2 It is difficult to obtain an actual cost of vehicles required for the new contract as there are a number of service options that may impact the types of vehicles required i.e. a fully co-mingled service or partially co-mingled service, actual figures will be obtained at the tender evaluation stage. The funding request of £3.5million to £4million is an estimate based on current market costs and the number of vehicles used for the current waste service contract for East Herts Council.

2.3 If we were to provide the capital to purchase the vehicles, then we have to recognise the cost of using that capital rather than investing it elsewhere. Our current cost of capital is based on the average rate of return from investments, which we assume to be 2.3% for East Herts. The current annual cost of capital per £500k is £11,500. If these figures are applied to the funding request in this report, the capital costs to the council are shown in the table below:

Capital Required	Annual Cost of Capital	Cost of Capital over Life of Contract (7 years)
£3.5m	£80,500	£563,500
£4m	£92,000	£644,000

2.4 Interest rates are extremely hard to predict at the moment and the Council's advisors are not estimating past 31/12/18 but for every 0.25% interest rate rise, the annual cost of capital will increase by £1,250 for every £500k spend.

2.5 Bidders are required to provide a sum to reflect the annual reduction in the contract price in the tender submission should the Council purchase the vehicles. This figure will be split by 50% and multiplied by 7 (years of the contract) to provide the cost to East

Herts Council. Should this figure be more than the combined total for the capital purchase plus the estimated loss of interest from capital over the life of the contract, the officer recommendation to the Executive will be to award the contract with the option of capital investment. The award of the contract is due to take place in September 2017.

- 2.6 Where the means of procurement (of Vehicles) by the Council generates savings in the prices set out in the Tender, the Council may vary the Agreement in accordance with the Conditions of Contract. The Council will then procure the vehicles in accordance with the specification set out by the provider.
- 2.7 By entering into the User Agreement, the provider undertakes to meet the cost of maintaining the vehicles to a safe and suitable operating standard for the performance of the contract and maintaining insurances to ensure the continuation of service in the event of vehicle write-off (or similar). The provider will also return the vehicles to the Council at the end of the contract in a condition that is in accordance with its age and usage.
- 2.8 Should the Council decide to purchase the vehicles the funding will be required for financial year 2017/18 which is why an in principle agreement to fund is necessary.
- 2.9 Should the Council purchase these vehicles, the Council will be able to reclaim the VAT as this is a purchase of a commercial vehicle. If the provider purchases the vehicles and charges the Council through the contract, this would be a revenue charge and the Council would be charged VAT on the invoices which the Council would also be able to reclaim.
- 3.0 Implications/Consultations
- 3.1 Information on any corporate issues and consultation associated with this report can be found within Essential Reference Paper 'A'.

Background Papers

None

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ESSENTIAL REFERENCE PAPER 'A'

IMPLICATIONS/CONSULTATIONS

Contribution to the Council's Corporate Priorities/ Objectives :	Priority 1 – Improve the health and wellbeing of our communities Priority 2 – Enhance the quality of people's lives Priority 3 – Enable a flourishing local economy
Consultation:	None
Legal:	None
Financial:	<ul style="list-style-type: none">• The vehicle investment report asks for funding in principle through capital funds and will only be used if a substantial saving can be made• An assumption has been made on loss of interest from capital investment and will be taken into consideration when comparing the costs received from tenderers
Human Resource:	There are no staffing implications for this proposal.
Risk Management:	Timescales for award of contract and related options must be determined by September 2017 Executive to allow sufficient time for contract mobilisation including ordering of vehicles.
Health and wellbeing – issues and impacts:	None

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EAST HERTS COUNCIL

EXECUTIVE - 4 APRIL 2017

REPORT BY EXECUTIVE MEMBER FOR FINANCE AND SUPPORT SERVICES

2017/18 SERVICE PLANS

WARD(S) AFFECTED: ALL

Purpose/Summary of Report

- To present a draft of the council's service plan which outlines its priorities for the next year (2017/18) and going forward those key outcomes it is looking to achieve.

<u>RECOMMENDATIONS FOR EXECUTIVE:</u> that:	
(A)	the comments of the joint meeting of Scrutiny Committees, be received; and
(B)	the 2017/18 draft service plans, designed to support delivery of Corporate Strategic Plan objectives, be endorsed.

1.0 Background

1.1 The attached draft service plan (as set out in **Essential Reference Paper B**) details actions and initiatives planned for 2017/18 which will ensure delivery of Member priorities set out in the Corporate Strategic Plan. The process of agreeing this service plan has been aligned to the Medium Term Financial Strategy process to ensure 2017/18 activity is within budget.

1.2 The draft service plan was agreed by the Leadership Team on 16th January 2017 and proposed to Joint Scrutiny on 14th February 2017. Joint Scrutiny subsequently supported a recommendation that the draft plans be proposed to Executive for final agreement.

2.0 Report

2.1 The draft service plan sets out planned progress in relation to ongoing key actions and initiatives carried forward from 2016/17 in addition to new actions and initiatives planned for 2017/18 and beyond. Many of the actions are operational and detailed in nature. Those shaded in blue are high profile actions which are directly relevant to the Corporate Strategic Plan. It is these actions that will be regularly reported to Members through a performance report on a quarterly basis to Scrutiny and Executive. A more detailed narrative on performance, key actions and projects will also be provided every six months.

3.0 Implications/Consultations

3.1 Information on any corporate issues and consultation associated with this report can be found within Essential Reference Paper 'A'.

Background Papers

None

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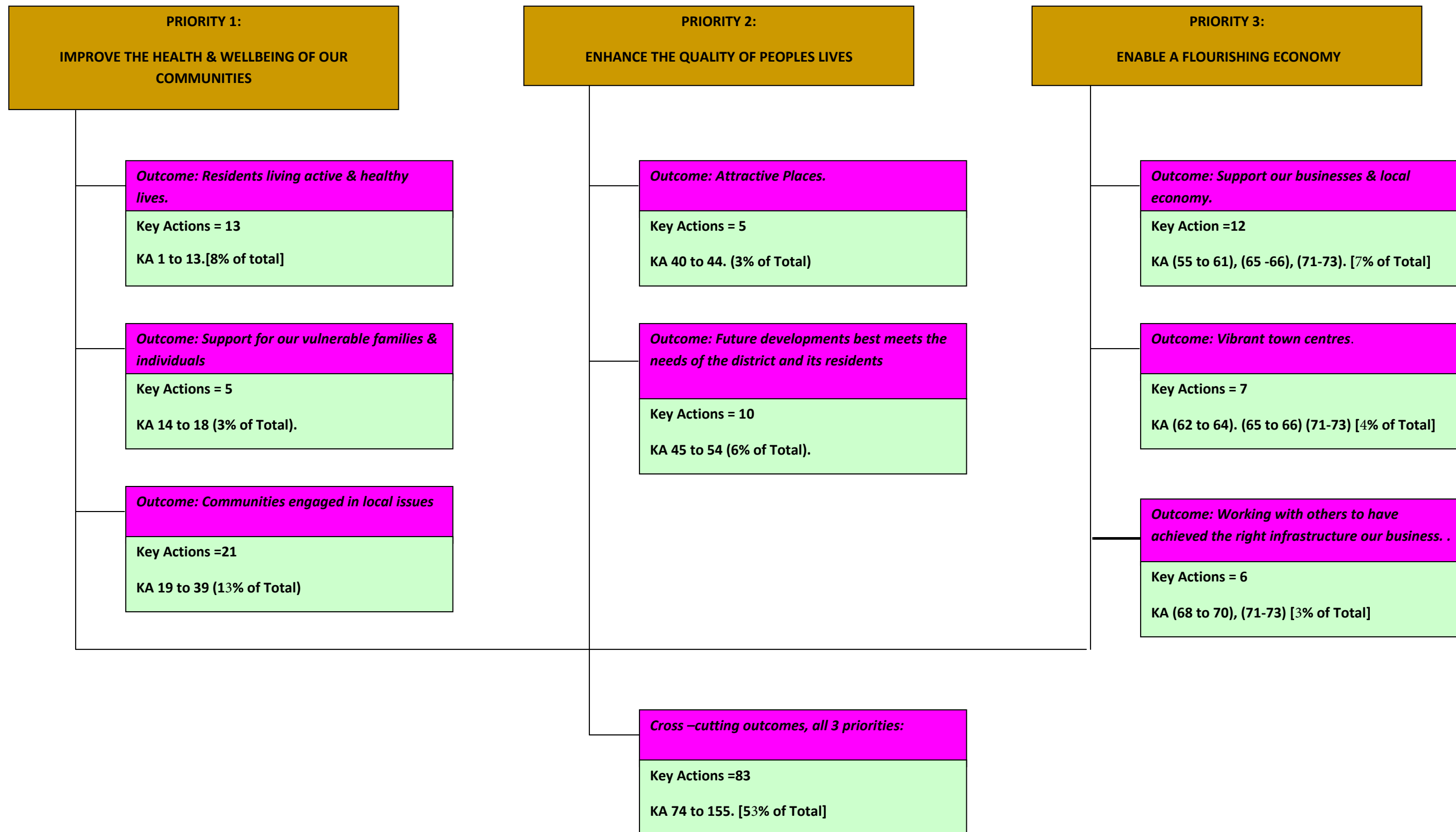
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ESSENTIAL REFERENCE PAPER 'A'

IMPLICATIONS/CONSULTATIONS

Contribution to the Council's Corporate Priorities/ Objectives:	Priority 1 – Improve the health and wellbeing of our communities Priority 2 – Enhance the quality of people's lives Priority 3 – Enable a flourishing local economy
Consultation:	The draft service plan was supported by the joint meeting of Scrutiny Committees on 14 February 2017.
Legal:	N/A
Financial:	Financial resourcing of the draft service plan is contingent on setting of the Annual Budget by the Full Council on 1st March 2017.
Human Resource:	N/A
Risk Management:	The draft service plans have been subject to formal scrutiny by the Council's Corporate Risk Management Function.
Health and wellbeing – issues and impacts:	The draft service plan sets out those on-going and proposed delivery actions in support of the Council's priorities and outcomes in respect of Health and Wellbeing.

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SERVICE PLANS 2017/18 – 2019/20

CORPORATE PRIORITY: IMPROVE THE HEALTH AND WELLBEING OF OUR COMMUNITIES					
Outcome: Residents living active and healthy lives					
Key Action No:	Action	Measure/Key milestone/KPI	Deadline	Lead Officer	Service Ref
KA.1	Set up a shared service Home Improvement Agency (HIA)	Commence HIA in shadow form Complete TUPE arrangements if/where applicable Commence full shared service MEHPI 132 – % of full applications for Disabled Facilities Grant (DFG) approved within 7 weeks – collected Monthly	April 2017 September 2017 September 2017	Head of Housing and Health	HH2.1
KA.2	Register of East Herts land drainage assets	Complete the register of assets Identify essential works arising from the review and complete works in line with allocated resources	April 2017 March 2018	Service Manager – Environmental Health	HH3.1
KA.3	Align various grant programmes with Health and Wellbeing priorities	Review all East Herts grant programmes' eligibility criteria and priorities Amend grant programmes in line with Health and Wellbeing priorities	June 2017 August 2017 (<i>or sooner if necessary to meet bidding timescales</i>)	Service Manager – Community Wellbeing and Partnerships	HH4.1
KA.4	With partner agencies, review and monitor the Air Quality Action Plan	Member approval of revised Air Quality Action Plan Submit annual monitoring report to DEFRA Deliver key actions for 2017/18 in the Action Plan	June 2017 September 2017 March 2018	Service Manager – Environmental Health	HH14.1
KA.5	Maximise impact of Prevent Agenda	Ensure publically owned venues do not provide a platform for extremists and/or forced gender segregation and are not used to discriminate extremist views by distribute safer bookings leaflet to council owned venues. Contribute to Prevent training of personnel of partner agencies	April 2017 March 2018	Service Manager – Community Wellbeing and Partnerships	HH15.1

KA.6	Raise awareness of Safety Advisory Group	Engage with Parish and Town Councils in regards to the safety Advisory Group process and how it works.	June 2017		HH17.1
KA.7	Assess the feasibility of a social prescribing project in East Herts	Outcome of feasibility study with recommendations reported to members	June 2017	Service Manager – Community Wellbeing and Partnerships	HH5.1
KA.8	Produce a leisure strategy to determine future direction and planning for the council's two Leisure Centres and three joint use swimming pools.	Milestones: Member Task and Finish Group report Outline proposals to Executive Sports and Physical Activity Strategy approved Approved Strategy on future direction of our two centres and joint use pools Contract procurement New contract starts	February 2017 June 2017 July 2017 July 2017 January 2019	Leisure Services Development Manager	O1.1

	Action	Measure/Key milestone/KPI	Deadline	Lead Officer	Service Ref
KA.9	Ensure cost-effective maintenance of facilities	Review business critical maintenance/capital works at leisure centres	March 2018	Leisure Services Manager	O1.2
KA.10	Invest in our parks and open spaces to encourage health and fitness.	Deliver management plan for Hertford Castle Grounds in partnership with the Town Council. New play area and footpath improvements at Grange Paddocks. Continue process to deliver connected links between open spaces. Improve Hartham Common by: a) Commissioning initial stages of a project to improve Hartham Common entrance area b) Delivering a new destination play area at Hartham Common Seek grant funding from Heritage Lottery fund (HLF) to commission an archaeological and access project at Pishiobury Park, Sawbridgeworth. Deliver car park, footpath improvements & health/play facilities at Bishops Park. Presdales Recreation Ground, Ware - Installation of a circular walk, car park improvements and woodland restoration.	March 2017 March 2017 March 2017 TBC March 2018 March 2018 March 2018 March 2018	Parks and Open Space Manager	O2.1

KA.11	Deliver successful Heritage Lottery Fund (HLF) Stage 1 bid for Waytemore Castle, Bishop's Stortford.	Attract external funding c. £1.2m+ to develop the site to destination status. Provide improve facilities for the local community of Bishop's Stortford in partnership with the Town Council. Improve the attractiveness of the town as a place to visit. Milestones: Development Phase. Implementation Phase.	2017 – 2018 2019 – 2020	Parks and Open Space Manager	O2.2
KA.12	Re-tendering of Grounds Maintenance Contract	Project plan Procurement timetable Contract Start	April 2017 Dec 2019	Parks and Open Spaces Manager	O2.3
KA.13	Hertford Theatre – Develop business models for expansion	Approved direction of travel via Executive	September 2017	Theatre Director	O7.1

Other Performance Indicators that support Corporate Outcome: Residents living active and healthy lives

AEHPI 130 - Number Of Green Flag awards. Collected Monthly

QEHPI 140 – Number of over 50s participating in Forever Active programme- Collected Quarterly- Change from 2016/17

CORPORATE PRIORITY: IMPROVE THE HEALTH AND WELLBEING OF OUR COMMUNITIES					
Outcome: Support for our vulnerable families and individuals					
Key Action No	Action	Measure/Key milestone/KPI	Deadline	Lead Officer	Service Ref
KA.14	Review of temporary accommodation	Complete review of current provision (commenced in 2016/17 Gain member approval for actions Seek resources through the Medium Term Financial Plan as appropriate Revise procedures and policies regarding the allocation of suitable temporary accommodation QEHPI 151 – Number- of homeless households living in temporary accommodation [This is now reported Quarterly instead of annually change from 2016/17}	April 2017 June 2017 September 2017 March 2018	Service Manager – Housing Services	HH1.1
KA.15	Process new housing benefit claims and changes in circumstances within 10 working days	MEHPI 181 – Time taken to process Housing Benefit new claims and change events achieved. [Collected monthly]	March 2018	Head of Revenues and Benefits	RB3.1
KA.16	Work with partners to provide support to customers in difficulty.	Customers appropriately signposted to support agencies and partners.	31 March 2018	Head of Revenues and Benefits	RB3.4
KA.17	Utilise discretionary Housing Payments to alleviate transitional difficulties.	Customers assisted with additional short term awards to transition between changes in circumstances.	31 March 2018	Head of Revenues and Benefits	RB3.5
KA.18	Work with partners to assist customers through the transition into universal credit.	Customers assisted and signposted appropriately when transitioned into universal credit.	31 March 2018	Head of Revenues and Benefits	RB3.6
Other Performance Indicators that support Corporate Outcome: Support for our vulnerable families and individuals QEHPI 150 – Number of prevented homeless applications [Collected Quarterly]					

CORPORATE PRIORITY: IMPROVE THE HEALTH AND WELLBEING OF OUR COMMUNITIES					
Outcome: Communities engaged in local issues					
Key Action No:	Action	Measure/Key milestone/KPI	Deadline	Lead Officer	Service Ref
KA.19	Work with local community groups to develop community energy schemes in East Herts.	Number of community groups delivering local energy projects. Actual measure of energy generated (kWhrs) and reinvestment (£). Milestones: Develop a scheme of renewable energy in relation to the Council's estate and act as a source of publicity, information and advice on community energy schemes through appropriate media	31 March 2018	Environmental Strategy and Development Manager	O3.1
KA.20	Implement the climate change action plan	Actions reflecting work wider than Council assets - TBC.	March 2018	Environmental Strategy and Development Manager	O3.2
KA.21	Establish Local Nature Reserve Status for Pishiobury Park		March 2018	Environmental Strategy and Development Manager	O3.3
KA.22	Co-ordination and promotion of the arts and cultural offer in East Herts.	Local network to be established/attended by East Herts Arts and Cultural team* promoting the range of arts and cultural activities which promote health, social and the economic well-being of East Herts Residents. Identify and plug potential gaps in provision to increase engagement in arts and cultural activities. *Dependant on resource discussions.	March 2018	Theatre Director	O6.1
KA.23	Support ward councillors in rural areas to facilitate installation of super-fast broadband and continue marking options available to maintain interest.	AEHPI 5.11 – % of superfast broadband in the district to homes and businesses (measured as over 30 Mb/s). Collected Annually Support residents in Hertford Heath with accessing rural broadband.	May 2017	Economic Development Manager	CSP1.1
KA.24	Work with the Ware Society to take on full ownership of the Grotto.	Successful asset transfer.	March 2018	Economic Development Manager	CSP2.1
KA.25	Implement new website for the council.	MEHPI 5.13c Customer satisfaction with the website. Collected Monthly.	May 2017	Head Comms, Strategy & Policy.	CSP3.1
KA.26	Supporting deployment and implementation of self-service tools in all services as part of the digital East Herts programme.	Focused and prioritised creation and deployment of self service solutions based on best practice.	March 2018	Improvement and Insight Manager	CSP3.2

KA.27	Provision of efficient, easy to use payment facilities avoiding the need to queue or assisted service.	Procure replacement kiosks for payment in our Customer Service Centres. Explore potential of remote service kiosks to enable customers to access services without travelling to our major towns.	March 2018	Customer Service Manager	CSP3.3
KA.28	Develop a new Target Operating Model (TOM) for the Council that will deliver an improved digital offer for our customers. Undertake process reviews to ensure that our digital offer is efficient, effective and responsive	Increased digital access for our customers, process reviews of our key services to ensure that services are delivered to most effective digital standards and embracing new technology to shape our customer service offer	June 2016-June 2018	Director (AT)	D.1
	Action	Measure/Key milestone/KPI	Deadline	Lead Officer	
KA.29	Support the development and implementation of a Target Operating Model for the council.	AEHPI 5.10 % of services accessible via digital channels. Collected Annually	March 2019	Improvement and Insight Manager	CSP4.1
KA.30	Provision of efficient, easy to use telephony facilities to access services and for staff to have the tools required to support efficient working.	Delivery of the Telephony Improvement Project Phase 2.	March 2017	Customer Services Manager	CSP4.2
KA.31	Provision of efficient, effective face to face services ensuring customers can access the services they need as quickly as possible when visiting our offices.	Re-configuration of physical Customer Service Centres to support assisted digital self-service and encourage channel shift. Proposals for technology and physical environment.	March 2017	Customer Services Manager	CSP4.3
KA.32	Review of licensing policies and procedures	Agree timetable for completing review of all licensing policies and procedures Complete review and gain member approval where required	May 2017 December 2017	Service Manager – Licensing and Enforcement	HH6.1
KA.33	Support the administrative processes to deliver lawful decision making.	Compliance with statutory requirements. Failure to do so could lead to judicial review of decisions with the potential for significant unplanned costs and reputational damage.	Ongoing	Head of Democratic and Legal Services	DLS1.1
KA.34	Delivery of County Council Elections, any by-elections and Referendums	Elections held without challenge and in accordance with Electoral Commission performance standards.	Ongoing	Head of Democratic and Legal Services	DLS1.2
KA.35	Embracing the council's digital programme-	Use of Electoral Management System to send letters, forms etc. via e-mail (where permitted by law/guidance) to reduce costs	Ongoing	Head of Democratic and Legal Services	DLS1.3
KA.36	Publication of Register of Electors.	Individual electoral registration processes comply with statutory requirements. Failure to do so could lead to election petitions and non-compliance with Electoral Commission performance standards that would both have a significant impact on the Authority's	December each year but updated monthly and three times prior to each election	Head of Democratic and Legal Services	DLS1.4

		reputation.			
KA.37	Support for the review and rationalisation of scrutiny committees	A scrutiny committee structure that meets Members' needs	May 2017	Head of Legal and Democratic Services	DLS1.5
KA.38	Support the Digital East Herts programme by increasing the range of online services available in ModGov	More paperless Member/Officer participation at meetings	Ongoing	Head of Legal and Democratic Services	DLS1.6
KA.39	Provision of advice and guidance on the standards regime for local councillors within East Hertfordshire.	Local councillor adherence to Code of Conduct provisions. Failure to deliver guidance and training would reflect negatively on the Authority and could lead to an increase in substantiated complaints of code breaches.	Ongoing	Head of Legal and Democratic and Services	DLS1.7

Other Performance Indicators that support this Corporate Outcome: Communities engaged in local issues

MEHPI 5.13a- Customer Satisfaction (GovMetric) Face to Face. Collected Monthly

MEHPI 5.13b- Customer Satisfaction (GovMetric) Telephone. Collected Monthly

QEHPI 141 - East Herts Residents & East Herts employees registered with Team Herts volunteering scheme { Change of wording from 2016/17}

CORPORATE PRIORITY: ENHANCE THE QUALITY OF PEOPLE'S LIVES					
Outcome: Attractive places					
Key Action No:	Action	Measure/Key milestone/KPI	Deadline	Lead Officer	Service Ref
KA.40	Implement the Council Environmental Crime Strategy and associated Public Space Protection Orders (PSOPs).	Raised awareness of effects of environmental crime; its impact on the environment and penalties for offenders. Milestones: Media Campaign on environmental crime including fly, tipping, dog fouling, new measures and penalties. Review fixed penalty notices pilot	March 2017 February 2016 – March 2017 August 2017	Environmental Inspection Team Manager	O4.1
KA.41	Develop a Shared Service for Waste and Street Cleansing with North Herts District Council.	Efficiency savings delivered. Milestones: Contract award. Contract commences.	April 2017 June/July 2017 May 2018	Head of Operations	O5.1
KA.42	Increase domestic recycling volumes	Communication strategy and targeted project planning	Aug 2017	Waste Services Manager	O5.2
KA.43	Provision of a proactive service, delivering advice and guidance to customers on heritage and urban design issues	Completion of 35 or more conservation area assessment reports, review of Heritage at Risk Register, production of heritage guidance information and provision of an urban design advice service	Ongoing – throughout year with completion by end Mar 18	Head of Planning and Building Control and Conservation and Urban Design Officer	PBC3.1
KA.44	Appropriate control in relation to unauthorised development in the district.	Ensure delivery in relation to Planning Enforcement performance measures Customer service expectations met by achieving targets : <ul style="list-style-type: none"> • MEHPI 205 – Percentage of site visits undertaken in relation to urgent cases within 2 workings days of 'start date'. Collected monthly. 	Ongoing – throughout year	Development Manager and Principal Planning Enforcement Officer	PBC4.1
		<ul style="list-style-type: none"> • EHPI 206 – Percentage of site visits undertaken in relation to all other cases within 15 workings days of 'start date' • EHPI 207– Percentage of decisions made, within five weeks of 'start date', whether it is expedient to either undertake or not undertake formal action or it is determined that it is not possible to make a decision 			

Other Performance Indicators that support this Corporate Outcome: Attractive places

QEHPI 2.4 Fly Tip Removals. Collected Quarterly

AEHPI 195a – Improved Street & Environmental cleanliness: Litter. Collected Annually

AEHPI 195b – Improved Street & Environmental cleanliness: Detritus . Collected Annually

MEHPI 191- Residual Household waste per household. Collected monthly

MEHPI 192 - % of household waste sent for reuse, recycling and composting. Collected monthly

MEHPI 2.2 – Missed collections per 100,000 collections of households waste

CORPORATE PRIORITY: ENHANCE THE QUALITY OF PEOPLE'S LIVES					
Outcome: Future developments best meets the needs of the district and its residents					
Key Action No:	Action	Measure/Key milestone/KPI	Deadline	Lead Officer	Service Ref
KA.45	Ensure that an appropriate policy framework is in place to enable residential and commercial development and to support key infrastructure decisions.	Progress to examination and adoption of District Plan (DP). AEHPI 159 – Supply of ready to develop housing sites achieved. Collected Annually EHPI 154 – Net additional homes provided. Collected Annually Target	Examination by end June 2017 and adoption by end Dec 17	Planning Policy Manager	PBC1.1
KA.46	Requirement to manage and proactively respond to key development proposals to enable acceptable development to be delivered.	Key development proposals include: - Goods yard, BS - Old River Lane, BS - Hertford Town Centre - Birchall Garden Suburb, East of WGC - Gilston - East of Stevenage Management of development proposals in relation to these and other key sites in agreement with landowner and promoter parties. MEHPI 157a – Processing of planning applications: Major applications. Collected Monthly MEHPI 157b – Processing of planning applications: Minor applications. Collected Monthly MEHPI 157c – Processing of planning applications: Other applications. Collected	Ongoing	Development Manager	PBC2.1

KA.47	Identify ways to encourage downsizing in all tenures	Identify potential to encourage downsizing Seek resources through the Medium Term Financial Plan as appropriate Agree actions to encourage downsizing HEHPI 148 – Number of applicants on the housing register broken down by demand for property sizes – Collected every 6 months	June 2017 September 2017 September 2017	Service Manager – Housing Services	HH8.1
KA.48	Undertake feasibility work on setting up a company to build new homes	Subject to member approval, Company to commence acquisition of properties Determine feasibility of housing development by a Company Subject to there being a feasible business case, seek member approval for development	April 2017 September 2017 November 2017	Head of –Housing and Health	HH9.1
KA.49	Support and maximise the provision of additional affordable housing in association with developers and registered providers	Review options for maximising affordable housing delivery in light of the Housing and Planning Act 2016, new products, the Housing Company and the like Revise the Affordable Housing Supplementary Planning Document in line with the District Plan timetable EQEHPI 155 – Number of affordable homes delivered – Collected quarterly QEHPI 149c - % Affordable homes delivered on section 106 developments in Towns. Collected Quarterly QEHPI 149d Affordable homes delivered on section 106 developments in Villages. Collected Quarterly	June 2017 March 2018	–Service Manager – Housing Services	HH9.2
KA.50	Work with owners to return long-term empty properties back into use	Promote and publicise our approaches to bringing long-term empty properties back into use so as to increase returns QEHPI 64 – Number of long-term private sector vacant dwellings that are returned into occupation or demolished. Collected Quarterly – Change from 2016/17.	June 2017	Service Manager – Housing Services	HH10.1

	Action	Measure/Key milestone/KPI	Deadline	Lead Officer	Service Ref
KA.51	Sustainable Drainage Systems (SuDS)	Review the approach to assessing developers' SuDS proposals	June 2017	Service Manager – Environmental Health	HH11.1
KA.52	To provide legal support in relation to the publications and adoption of the District Plan	Adoption of the District Plan 2031	2017	Head of Legal and Democratic Services	DLS2.1
KA.53	To provide legal support development proposals for key sites in the district and deliver corresponding legal agreements	Key sites are developed in line with the District Plan	Ongoing but will vary with each site	Head of Legal and Democratic Services	DLS2.2
KA.54	Providing legal support to the council to enable empty properties are brought back into use	Decrease of empty properties in the district	Ongoing but will vary with each site	Head of Legal and Democratic Services	DLS2.3

CORPORATE PRIORITY: ENABLE A FLOURISHING LOCAL ECONOMY					
Outcome: Support for our businesses and the local economy					
Key Action No:	Action	Measure/Key milestone/KPI	Deadline	Lead Officer	Service Ref
KA.55	Review the Environmental Health 'offer' to local businesses	Review opportunities and produce options paper	September 2017	Service Manager – Environmental Health	HH12.1
KA.56	Conduct cross-boundary licensing enforcement activity	Carry out at least one licensing enforcement exercise with neighbouring districts	September 2017	Service Manager – Licensing and Enforcement	HH12.2
KA.57	Strengthen networks with local businesses.	Number of businesses on East Herts Council local directory (new measure).	March 2018	Economic Development Manager	CSP5.1
KA.58	Review business start-up provision.	Number of businesses supported through WENTA contract.	July 2017	Economic Development Manager	CSP5.2
KA.59	Liaise with LEP Growth Hub to ensure East Herts businesses benefit.	Number of East Herts registered businesses supported by the Growth Hub programme.	March 2019	Economic Development Manager	CSP5.3
KA.60	Ensure successful delivery of the Rural Development Programme.	Number of businesses supported by the RDP.	March 2019	Economic Development Manager	CSP6.1
KA.61	Support Visit Herts with delivery of a destination management programme.	(1) Spend in the district relating to day trips and overnight stays (2) Number of jobs in the district related to the visitor economy	March 2018	Economic Development Manager	CSP6.2
Other Performance Indicators that support this Corporate Outcome: Support for our businesses and the local economy					
QEHPI 11a – Number of active businesses with their registered office in East Herts. Collected Quarterly					
QEHPI 11b – Number of active businesses with their registered office & a trading address in East Herts. Collected Quarterly					
QEHPI 32 % planned premises licencing enforcement visits due that were undertaken. Collected quarterly					
QEHPI 184 - % of food premises in the area those are broadly compliant with food hygiene law. Collected Quarterly					

CORPORATE PRIORITY: ENABLE A FLOURISHING LOCAL ECONOMY					
Outcome: Vibrant town centres					
	Action	Measure/Key milestone/KPI	Deadline	Lead Officer	Service Ref
KA.62	Support delivery of a Business Improvement District in Bishop's Stortford.	1. Feasibility testing stage 2. Development phase (contingent to feasibility phase approval) 3. Campaign phase	Jul- Dec 2017 Jan-Jul 2017 Aug- Oct 2017	Economic Development Manager	CSP7.1
KA.63	Implementations of the Planning framework for Bishop's Stortford Town Centre, focusing on Old River Lane and key ad joining town centre sites and develop a master plan for Old River Lane.	Completed Framework for BS town centre Completion of master planning for the Old River Lane site	March 2017 December 2017	Head of Planning and Building Control	PBC5.1
KA.64	Implementation of Hertford Urban Design Study	Progress in relation to initial significant scheme identified in the Study – public realm in Maidenhead Street/ The Wash/ Bull Plain	March 2018		PBC5.2
Other Performance Indicators that support this Corporate Outcome: Vibrant town centres MEHPI 11.6 – Town Centre footfall (Using Wi-Fi connections as a proxy). Collected Monthly					

CORPORATE PRIORITY: ENABLE A FLOURISHING LOCAL ECONOMY					
Outcome: Support for our businesses and the local economy and Vibrant town centres					
Key Action No:	Action	Measure/Key milestone/KPI	Deadline	Lead Officer	
KA.65	Delivery of a cost effective on-street and off-street enforcement function that fulfils the objectives of the Traffic Management Act 2004 - e.g. in keeping the highway safe and clear for all users - at the lowest possible cost to the taxpayer.	Engagement of consultants to support the Council in the preparation of a Specification and manage arrangements for the re-tendering of the parking enforcement contract. Confirmation of new Agency Agreements from partner councils. Task and Finish/Scrutiny Committee input into development of new Specification Compilation of Specification and all other tender documents. Issue ITT	March 2017 April 2017 September 2017 February 2018 April 2018	Parking Manager	O8.1
KA.66	Optimisation of on-street parking for all user groups within existing Resident Permit Zones.	Detailed survey of 12 existing Resident Permit Zones to identify opportunities to minimise on-street restrictions for the benefit of all motorists. Any opportunities to extend use of underutilised parking space in controlled zones presented to members.	September 2017	Parking Manager	O8.2

CORPORATE PRIORITY: ENABLE A FLOURISHING LOCAL ECONOMY					
Outcome: Working with others, to have achieved the right infrastructure for our businesses and communities					
Key Action No:	Action	Measure/Key milestone/KPI	Deadline	Lead Officer	Service Ref
KA.67	Support a Task and Finish Group to review options for sustainable transport in the district.	Recommendations to Environment Scrutiny Committee	7 th March 2017	Head of Communications, Strategy and Policy	O8.2
KA.68	Work with key partners such as the County Council on sustainable transport solutions for East Herts, including community transport and green travel planning.	Review opportunities for developing community transport to further the council's Health and Wellbeing objectives	September 2017	Service Manager – Community Wellbeing and Partnerships	HH7.1
KA.69	Review CCTV	Review the need for replacement/upgrade of existing cameras Review coverage Seek resources through the Medium Term Financial Plan as appropriate Review client and governance arrangements regarding the shared CCTV service	June 2017 June 2017 September 2017 December 2017	Service Manager – Community Wellbeing and Partnerships	HH13.1

CORPORATE PRIORITY: ENABLE A FLOURISHING LOCAL ECONOMY					
Outcome: Support for our businesses and the local economy and Vibrant town centres and to have achieved the right infrastructure for our businesses and communities					
Key Action No:	Action	Measure/Key milestone/KPI	Deadline	Lead Officer	Service Ref
KA.70	To provide legal support to develop a Shared Service for Waste and Street Cleansing with North Herts District Council	Shared Service in place successfully	Ongoing	Head of Legal and Democratic Services	DLS3.1
KA.71	To provide legal support for the re-tendering of key contracts (such as parking enforcement and ground maintenance) to ensure value for money.	Contracts successfully appointed	Ongoing	Head of Legal and Democratic Services	DLS3.2
KA.72	Develop the role of legal services to deliver advice and guidance in a timely and cost effective manner and reducing the council spend on external legal advice	Increase in staff and decrease in external reliance for legal support	April 2017	Head of Legal and Democratic Services and Legal Services Manager	DLS3.3

Service Plan actions that cut across all priorities and outcomes

CORPORATE PRIORITY: IMPROVE THE HEALTH AND WELLBEING OF OUR COMMUNITIES ENHANCE THE QUALITY OF PEOPLE'S LIVES ENABLE A FLOURISHING LOCAL ECONOMY					
Outcome: All Outcomes					
Key Action No:	Action	Measure/Key milestone/KPI	Deadline	Lead Officer	Service Ref
KA.73	Demonstrate financial stewardship through proper accounting policies and treatments during the previous financial year.	Accounts approved by Audit Committee with an unqualified audit opinion from the External Auditor.	30 September 2017	Head of Strategic Finance & Property	SFP1.1
KA.74	Model future income and expenditure with clearly defined assumptions over the next four years.	Medium Term Financial Plan (MTFP) approved by Scrutiny, Executive and Council.	January/February 2018	Head of Strategic Finance & Property	SFP2.1
KA.75	Produce a balanced budget for the following financial year.	Budget approved by Scrutiny, Executive and Council.	January/February 2018	Head of Strategic Finance & Property	SFP2.2
KA.76	Monitor financial performance against budget during the current financial year.	Performance Report presented to Leadership Team each month and to Scrutiny and Executive each quarter.	Performance Report presented to Leadership Team each month and to Scrutiny and Executive each quarter.	All Heads of Service	SFP2.3
KA.77	Model the inflow and outflow of cash to ensure that cash balances held are minimised optimising liquidity and investment yield.	Produce a Cash-flow forecast on a regular basis.	Quarterly cash-flow report to Heads of Service.	Principal Accountant	SFP3.1
KA.78	Maximise yield through a spread of financial instruments, maturity dates and counterparties whilst considering the risk of each investment in accordance with the Investment Strategy.	Interest income performance against budget monitored through Healthcheck reports and full year performance reported annually.	Treasury Management Outturn report: September 2017	Principal Accountant	SFP3.2
KA.79	Monitor the council's investment in the Capital programme to ensure that resources are delivering the assets required to deliver services/benefit to local taxpayers.	The progress in delivering each capital scheme, financial and timeframe, will be reported through the quarterly performance reports.	Quarterly Performance report approved by Leadership team, Scrutiny and Executive each quarter	Finance Officer	SFP3.3
KA.80	Provide financial advice to support strategic and operational decision making.	Finance are represented on project teams at the outset of any project.	Ad-hoc	Various dependant on project.	SFP4.1
KA.81	Ensure reports and business cases demonstrate clear economic cost/benefit analysis and identified sources of funding where appropriate.	Finance sign-off each report to LT, Scrutiny, Executive and Council.	Ad-hoc	Various dependant on project.	SFP4.2

	Action	Measure/Key milestone/KPI	Deadline	Lead Officer	Service Ref
KA.82	Fully Electronic processing of accounts payable and receivable payments.	E-invoicing implemented to ensure a fully automated payment method is in place. MEHPI 8 - % of invoices paid on time met. Collected Monthly Target for % of invoices paid on time to SME's.	30 September 2017 30 September 2017 30 September 2017	Head of Strategic Finance & Property alongside Procurement Officer	SFP5.1
KA.83	Improved procurement knowledge and standard processes used across the council.	Further Procurement training delivered. Greater engagement with SME's and local suppliers to enable them to bid for work in line with the National Procurement Strategy and EU Directive. Full use of e-sourcing tool embedded. Quarterly spend analysis report to Leadership Team to be delivered (Q1 2017)	31 May 2017 31 March 2017 31 July 2017	Procurement Officer Procurement Officer Procurement Officer	SFP6.1
KA.84	Improved contract management	Analysis of and engagement with contractors to identify and negotiate efficiencies. In-house contract management training	31 March 2017	Procurement Officer	SFP6.2
KA.85	Manage the insurance portfolio following cover commencing on 31 May 2016.	Insurance arrangements in place.	31 March 2018	Risk Assurance Officer	SFP7.1
KA.86	Optimum balance between retained and insured risk.	Establishment of insurance fund enables consideration of significant levels of excess	31 March 2018	Risk Assurance Officer	SFP7.2
KA.87	Review of Shared Audit Service.	Adequate & effective audit arrangements in place.	March 2018	Head of Strategic Finance and Property	SFP8.1
KA.88	Review of Shared Anti-Fraud Service.	Adequate and effective anti-fraud arrangements in place.	March 2018	Head of Strategic Finance and Property	SFP8.2
KA.89	Review Local Government Transparency Code	Compliance with the requirements of the Code.	31 March 2019	Head of Strategic Finance & Property	SFP8.3
KA.90	Compliance surveys identify issues that must be addressed to ensure compliance with Health & Safety and Building Regulations.	Quarterly report to Leadership Team with Compliance action plan update.	Each Quarter	Property Manager	SFP9.1
KA.91	Provide property management advice to support strategic and operational decision making.	Property Services are represented on relevant project teams at the outset of any project.	Ad-hoc	Property Manager	SFP9.2
KA.92	Planned, Preventative Maintenance ensures that plant and equipment are adequately maintained.	A PPM programme is updated and monitored throughout the year.	Throughout year	Property Manager	SFP10.1
KA.93	The corporate capital programme ensures that assets are upgraded to enhance their operational life at the appropriate time.	Capital programme monitored through Performance Reports to LT each month and Executive each quarter.	Performance Report presented to LT each month and Scrutiny and Executive each quarter.	Property Manager	SFP10.2

	Action	Measure/Key milestone/KPI	Deadline	Lead Officer	Service Ref
KA.94	The corporate property revenue budgets ensure assets are correctly maintained.	Revenue budgets monitored through Performance Reports to LT each month and Executive each quarter.	Performance Report presented to LT each month and Scrutiny and Executive each quarter.	Property Manager	SFP10.3
KA.95	Property asset holdings are constantly reviewed to ensure that assets are fit for purpose and utilised to their full potential.	Undertake negotiations for the acquisition, disposal, and leasing of property to secure best value and maximise returns.	Ad-hoc	Assets and Estates Manager	SFP11.1
KA.96	Provide asset management advice to support strategic and operational decision making.	Asset Management are represented on relevant project teams at the outset of any project.	Ad-hoc	Assets and Estates Manager	SFP11.2
KA.97	Properties are valued to comply with legal and audit requirements and accounting practices.	Undertake, supervise and commission the valuation of property for all purposes including sale, purchase, leasing, insurance, rating and capital accounting.	Ad-hoc	Assets and Estates Manager	SFP11.3
KA.98	Minor Works Contract (5 Years)	Collaborative contract with schedule of rates from Property Services Agency (PSA) now Carillion that reflects VFM	30 June 2017	Procurement Officer, Facilities Manager and Property Team	SFP12.1
KA.99	Archive/Storage Contract (7 years)	Corporate contract in place, one site local storage facility with scanning option and confidential waste.	31 August 2017	Facilities Manager and Procurement Officer	SFP12.2
KA.100	Mobile Phone Contract	Corporate contract in place. Business process in place for authorisation.	1 December 2017	Facilities Manager/ IT supported by Procurement Officer. Specific roles and responsibilities to be clarified.	SFP12.3
KA.101	Webcasting Contract Review	Corporate Contract in place and appropriate contract management arrangements in place.	12 May 2018	Facilities Manager/ IT and Comms, supported by Procurement. Officer. Specific roles and responsibilities to be clarified.	SFP12.4
KA.102	Deliver the milestones for 2017/18 set out in the four year ICT Strategy.	EHPI 9.8 – Delivery of Key Milestones in the ICT Strategy	March 2018	Head of Business & Technology Services	SBT1.12
KA.103	Provide a strong foundation for digital delivery	<ul style="list-style-type: none"> • Harmonisation of applications across both councils • EHPI 9.1 – % availability of core systems during supported hours • EHPI 9.2 – % resolution of incidents within 4 hours • EHPI 9.3 – % reduction in the number of incidents • EHPI 9.4 – % of calls abandoned on ICT Service desk • NEW EHPI 9.5 – Responsiveness to IT Service requests • EHPI 9.6 – Satisfaction with ICT Services 	31 March 2018	Head of Business & Technology Services	SBT1.2
KA.104	Training and developing ICT staff	<ul style="list-style-type: none"> • Implement revised L&D programme for BATS staff 	31 March 2018	Head of Business & Technology Services	SBT1.3

KA.105	Support Digital East Herts	<ul style="list-style-type: none"> Establish an ICT architecture to support DEH that is scalable, high performing and resilient Work with colleagues to facilitate greater use of modern ICT devices and applications to deliver business benefits to customers 	TBI	Head of Business & Technology Services	SBT1.4
			TBI	Head of Business & Technology Services	

	Action	Measure/Key milestone/KPI	Deadline	Lead Officer	Service Ref
KA.106	More efficient and resilient Print Services	Consolidate the implementation of new print arrangements	31 March 2018	Print and Graphic Design Manager	SBT2.1
KA.107	Review and deploy new communication technologies and methods.	Support member and officer working group on new ways of communicating. QEHPI 5.12a – Social Media: Number of followers (twitter followers)- Collected quarterly QEHPI 5.12b – Social Media: Number of followers (Facebook likes) Collected quarterly	March 2017	Communications and Digital Media Manager	CSP9.1
KA.108	Deliver successful legacy campaigns for the Council.	Positive/ negative media coverage	May 2019	Communications and Digital Media Manager	CSP9.2
KA.109	Support delivery of key projects.	Project days available Manager feedback	On-going	Improvement and Insight Manager	CSP10.0
KA.110	Ensure performance metrics, data and user experience data is made available.	Manager feedback	On-going	Improvement and Insight Manager	CSP10.2
KA.111	Ensure regular analysis of national and regional policy agenda.	Manager feedback	On-going	Policy Officer	CSP10.3
KA.112	Graduate support.	Feedback from heads of service	September 2018	Head of Comms, Strategy & Policy	CSP10.4
KA.113	To deliver the Organisational Development (OD) Strategy 2015-2019.	As set out in the OD Strategy. Prioritisation of OD Strategy action and capacity of HR team. MEHPI 12a – Number of short – term sickness absence days per FTE staff in post. Collected Monthly MEHPI 12b – Number of long – term sickness absence days per FTE staff in post. Collected Monthly MEHPI 12c – Total number of sickness absence days per FTE staff in post. Collected Monthly	2015 – 2019	Head of HR and OD	HROD1.1
KA.114	To deliver the learning and development plan(L&D) 2016-2018	Delivery of programmes as detailed in the L&D plan and annual report	31 March 2018	HR Officers	HROD1.2
KA.115	Launch of the new HR and Payroll system including self-service and future modules (e.g. recruitment)	Roll out of self-service and modules	2016/2017	Head of HR and OD/Project team	HROD1.3
KA.116	To continue implementation of the Recruitment Review 2015 recommendations and action plan	Action plan completed	2015-2017	Head of HR and OD HR Officers	HROD1.4
KA.117	To complete Policy Review Plan, developing and reviewing policies in terms of best practice and legislation changes	Policy Review Plan completed	2015-2017	HR Officers	HROD1.5
KA.118	To support the council by providing HR business partner support	As set out in the OD Strategy	Ongoing	Head of HR and OD HR Officers	HROD1.6
KA.119	To implement reward programme	Reward and benefit packages that give choice to our workforce and support work life balance. Support recruitment, retention and workforce planning	2016-2017	Head of HR and OD	HROD1.7

	Action	Measure/Key milestone/KPI	Deadline	Lead Officer	Service Ref
KA.120	Grow commercial side of the service - selling services to small parties e.g. Hertford Town Council	Delivering value for money.	Ongoing	Head of HR and OD	HROD1.8
KA.121	Equal pay audit	Pay audit completed	2017	Head of HR and OD	HROD1.9
KA.122	Embedding the council's values and behaviours	As set out in the OD Strategy	Ongoing	Head of HR and OD HR Officers	HROD1.10
KA.123	Middle managers have the tools, skills, development and space to lead and be viewed as role models	Create middle managers group	2016 - 2017	Head of HR and OD Leadership team	HROD2.1
KA.124	Develop a leadership and management development programme	Working with managers to create a meaningful programme	2016 - 2017	Head of HR and OD HR Officers	HROD2.2
KA.125	Develop Apprenticeship programme 2017	Implement Apprenticeship levy April 2017	Ongoing	Head of HR and OD HR Officers	HROD3.1
KA.124	Continue engagement with local schools	Career fayres, work experiences, takeover challenge, dragons apprentice challenge	2017	Head of HR and OD HR Officers	HROD3.2
KA.125	Develop and implement workforce planning actions that support the delivery of the OD Strategy focusing on succession planning, recruitment challenges and pay issues.	As set out in the OD Strategy	2015-2019	Head of HR and OD HR Officers	HROD3.3
KA.126	Deliver the development programme for Digital EH	Employees and councillors have the skills/knowledge to work in a digital environment	2016-2018	Head of HR Digital EH Steering Group	HROD3.4
KA.127	Process monthly payroll including changes and temporary variations changes to reward	Processing employee payroll (approximately 400 employees – including casuals) Processing members payroll (50 Councillors) Processing elections payroll (up to 400 employees)	Monthly Monthly As required	Payroll Manager	HROD4.1
KA.128	Submit pension information to London Pension Fund Authority (LPFA)	Submit details for new starters, changer and leavers	Monthly and annually (year- end)	Payroll Manager	HROD4.2
KA.129	Submit Real Time Information (RTI)	Tax and National Insurance information submitted	Monthly and annually (year- end)	Payroll Manager	HROD4.3
KA.130	Process review - Streamline and automate processes	Processes are constantly reviewed to ensure an efficient service is delivered (Teal)	2016-2017	HR service	HROD4.4
KA.131	Support services to adopt best practice and react to changes in legislation	The potential to further reduce accidents to staff, public and contractors, and the consequential impacts.	Ongoing	Health and Safety Officer	HROD5.1
KA.132	Complete H&S audit and peer review to ensure compliance and best practice	Implement recommendations from the H&S audit and peer review action plan	2016 - 2017	Health and Safety Officer	HROD5.2
KA.133	To complete policy review, developing and reviewing policies, procedures in terms of best practice and legislation changes	Policies, procedures, guidance documents are up-to-date	2016 - 2017	Health and Safety Officer	HROD5.3
KA.134	To proactive promote health and safety to employees, councillors, partners and to report to Committee	The potential to further reduce accidents to staff, public and contractors, and the consequential impacts.	Ongoing	Health and Safety Officer	HROD5.4

	Action	Measure/Key milestone/KPI	Deadline	Lead Officer	Service Ref
KA.135	To work with Officers on accommodation review ensuring health and safety compliance	To ensure all office accommodation meets health and safety requirements	2016 - 2017	Director Facilities Manager Health and Safety Officer	HROD5.5
KA.136	To support Officers on delivery of the Health and Wellbeing Safety	To support the wider agenda of health and wellbeing for employees and councillors	Ongoing	Health and Safety Officer	HROD5.6
KA.137	Maximisation of in-year council tax collection.	MEHPI10.2 – Council tax collection, % of current year liability collected achieved. Collected Monthly	March 2018	Head of Revenues and Benefits	RB1.1
KA.138	Maximisation of collection of prior year arrears.	Level of outstanding arrears reduced.	31 March 2018	Head of Revenues and Benefits	RB1.2
KA.139	Provision of support and advice to customers experiencing difficulty in paying their liability.	Customer sustain repayment arrangements thus avoiding enforcement action.	31 March 2018	Head of Revenues and Benefits	RB1.3
KA.140	Proactive anti-fraud and avoidance activity to minimise loss of liability.	Reliefs and discounts are reviewed and monitored using data matching etc. where appropriate.	31 March 2018	Head of Revenues and Benefits	RB1.4
KA.141	Maximisation of new liability.	Regular monitoring of all localities to identify and verify the timely inclusion of new builds and other developments into the rating list is carried out throughout the year.	31 March 2018	Head of Revenues and Benefits	RB1.5
KA.142	Provision of a professional and appropriate service to all customers needing to engage with the service.	Customer satisfaction levels.	31 March 2018	Head of Revenues and Benefits	RB1.6
KA.143	Maximise collection of overpaid benefits within the constraints of government controls.	Level of overpayment recovery increased	31 March 2018	Head of Revenues and Benefits	RB3.2
KA.144	Proactively work to avoid fraud and to ensure suspected cases are investigated	Level of referrals to SAFS and SIFS increased	31 March 2018	Head of Revenues and Benefits	RB3.3
KA.145	Maximisation of in-year Business Rates collection.	MEHPI 10.4 – NNDR (business rates) collection, % of current year liability collected achieved. Collected Monthly	March 2018	Head of Revenues and Benefits	RB2.1
KA.149	Maximisation of collection of prior year arrears.	Level of outstanding arrears reduced.	31 March 2018	Head of Revenues and Benefits	RB2.2
KA.150	Provision of support and advice to customers experiencing difficulty in paying their liability.	Customer sustain repayment arrangements thus avoiding enforcement action.	31 March 2018	Head of Revenues and Benefits	RB2.3
KA.151	Proactive anti-fraud and avoidance activity to minimise loss of liability.	Reliefs and discounts are reviewed and monitored using data matching etc. where appropriate.	31 March 2018	Head of Revenues and Benefits	RB2.4
KA.152	Maximisation of new liability.	Regular monitoring of all localities to identify and verify the timely inclusion of new builds and other developments into the rating list, is carried out throughout the year.	31 March 2018	Head of Revenues and Benefits	RB2.5
KA.153	Provision of a professional and appropriate service to all customers needing to engage with the service.	Customer satisfaction levels.	31 March 2018	Head of Revenues and Benefits	RB2.6
KA.154	Provision of timely and accurate information to relevant parties in relation to the Business Rates values and appeals.	Officers provided with appropriate information to support their areas of work.	March 2018	Head of Revenues and Benefits	RB2.7
KA.155	Respond to customers desire to access services 24/7 using e technology.	Increase in self-service options for customers.	March 2018	Head of Revenues and Benefits	RB4.1

Other Performance Indicators that support ALL Corporate Outcomes:

QEHPI 5.1 – Complaints dealt with within 10 working days. Collected Quarterly

QEHPI 5.2a -% of complaints about the council that are upheld at stage 1

QEHPI 5.2b -% of complaints about the council that are upheld at stage 2

Key:

	Activity that has been shaded highlights the key actions that feature in the Executive Summary of Service Plans and will be monitored six monthly to ensure the council’s corporate strategic plan is being delivered.
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EAST HERTS COUNCIL

EXECUTIVE – 4 APRIL 2017

REPORT BY THE EXECUTIVE MEMBER FOR FINANCE AND SUPPORT SERVICES

RISK MANAGEMENT STRATEGY

WARD(S) AFFECTED: ALL

Purpose/Summary of Report

- The Risk Management Strategy has been reviewed and updated.

<u>RECOMMENDATIONS FOR EXECUTIVE: That:</u>	
(A)	the comments of Audit and Governance Committee be received; and
(B)	the Risk Management Strategy be approved.

1.0 Background

1.1 The Risk Management Strategy is reviewed annually. This report details amendments since 2016/17.

2.0 Report

2.1 Risk management can be defined as: The process which aims to help organisations understand, evaluate and take action on all their risks with a view to increasing the probability of their success and reducing the likelihood of their failure. (Source: The Institute of Risk Management).

2.2 By managing risks effectively, the Authority is in a stronger position to deliver services in accordance with corporate priorities. By managing opportunities, it is better positioned to provide continuous improvement in its services, and better value for money.

2.3 The Risk Management Strategy is reviewed annually and was presented to Audit Committee on 16 March 2016.

- 2.4 Audit Committee supported the revised Risk Management Strategy in principle, but requested that changes to the senior management structure be reflected. The impact of the senior management and meeting structure on risk management processes were therefore considered and trialled in quarter two before resubmission to Audit and Governance Committee on 23 November 2016 and Executive on 6 December 2016.
- 2.5 Only minor changes have been necessary this year as the strategy remains fit for purpose. Most amendments concern the management structure.
- 2.6 Alterations have been tracked.
- 2.7 Any comments from Audit and Governance Committee will be relayed verbally due to the Executive report deadline preceding Audit and Governance Committee.
- 3.0 Implications/Consultations
- 3.1 Information on any corporate issues and consultation associated with this report can be found within **Essential Reference Paper 'A'**.

Background Papers

Risk Management Strategy – Executive 6 December 2016

<http://democracy.eastherts.gov.uk/ieListDocuments.aspx?CId=119&MId=2642>

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ESSENTIAL REFERENCE PAPER 'A'

IMPLICATIONS/CONSULTATIONS

Contribution to the Council's Corporate Priorities/ Objectives:	Priority 1 – Improve the health and wellbeing of our communities Priority 2 – Enhance the quality of people's lives Priority 3 – Enable a flourishing local economy
Consultation:	There are no specific consultation implications arising directly from this report.
Legal:	There are no specific legal implications arising directly from this report.
Financial:	There are no specific financial implications arising directly from this report.
Human Resource:	There are no specific human resource implications arising directly from this report.
Risk Management:	There are no additional risk management implications to those already contained in this report. However, it should be noted that if East Herts did not have a risk management monitoring process, the Authority would be seen to be not managing risks appropriately, which would have a significant negative impact on recommendations made by the External Auditors through the Annual Audit Letter.
Health and wellbeing – issues and impacts:	There are no specific health and wellbeing implications arising directly from this report.

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Risk Management Strategy

2017/18 Review

Leadership Team
Audit and Governance Committee
Executive
Council

6 February 2017
22 March 2017
TBA
TBA

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Section 1 - Context

Policy statement

Risk is present in everything that we do, so it is our policy to identify, assess and manage the key areas of risk.

East Herts Council recognises that risk management is an essential element of good governance and must be embedded in the culture of the Authority. This includes the strategic decision making process, service planning, project management, partnerships, audit, procurement and contracts. It supports informed decision making thereby enabling opportunities to be exploited, or action to be taken to mitigate or manage risk to an acceptable level.

In order to obtain a clear picture of the risks that threaten the Council's ability to achieve its objectives, it is important that the Council determines its 'risk appetite' – the level of risk that is considered acceptable for the organisation to be exposed to. The Risk Management Strategy reflects our 'risk appetite', the size of the Authority, the nature of our operations and the drive to reduce bureaucracy.

The processes in place should provide assurance to all stakeholders that the identification and management of risk plays a key role in the delivery of our strategy and related objectives.

The objectives of this strategy are:

- Define what risk management is about and what drives risk management within the Council.
- Set out the benefits of risk management and the strategic approach to risk management.
- Outline how the strategy will be implemented.
- Identify the relevant roles and responsibilities for risk management within the Council.
- Formalise the risk management process across the Council.

Approval, Communication, Implementation and Review of the Risk Management Strategy

The Risk Management Strategy is on the intranet, and is specifically issued to:

- The Executive
- Audit and Governance Committee
- Leadership Team

Training is provided to those listed above, members of staff who prepare committee reports and / or those who should consider risk in the roles that they perform.

The strategy is reviewed each year, and following key changes in central or local policies. Risk management is also subject to frequent audit by the Shared Internal Audit Service (SIAS).

Section 2 - What is risk management and why do we do it?

Risk Management can be defined as:

The process which aims to help organisations understand, evaluate and take action on all their risks with a view to increasing the probability of their success and reducing the likelihood of their failure. (Source: The Institute of Risk Management).

Risk management therefore is essentially about identifying all the obstacles and weaknesses that exist within the Council. The approach is vital to ensuring that all elements of the organisation are challenged including decision making processes, working with partners, consultation processes, existing policies and procedures and also the effective use of assets – both staff and physical assets.

Once the obstacles have been identified, the next stage is to prioritise them to identify which are key to the Council moving forward. It is essential that steps are then taken to manage these effectively. The result is that major risks / obstacles that exist can be mitigated / controlled, providing the Council with a greater chance of being able to achieve objectives.

There should also be a consideration of the positive or 'opportunity' risk aspect. (For more information see Section 3, 'risk identification').

National drivers behind strategic risk management

- The CIPFA/SOLACE framework on Corporate Governance requires the Council to manage risks and performance through robust internal control and strong public financial management. Risk management and internal control are integral parts of a performance management system and are crucial to the achievement of outcomes. Robust and integrated risk management arrangements are required, and risk should be addressed as part of all decision making activities.
- ~~make a public assurance statement annually, on amongst other areas, the Council's risk management strategy, process and framework. The framework requires the Council to establish and maintain a systematic strategy, framework and processes for managing risk.~~
- Risk management is best practice in both the public and private sectors.

This means that going forward local authorities are in control of their systems and processes to allow them to fulfil their commitment to deliver their priorities and to account to their local communities for their performance.

Therefore it is essential that, and without unnecessary layers of bureaucracy, the Council's business planning and performance management processes are relevant and fit for purpose to support the delivery of the council's three key priorities – People, Place and Prosperity. Within this framework it is important that risk management continues to be a key discipline that is carried out.

Local drivers behind strategic risk management

The Council's vision is:

~~'To preserve the unique character of East Herts and ensure it remains one of the best places to live and work To improve the quality of people's lives and preserve all that is best in East Herts'.~~

~~The Council's Strategic Priorities:~~

~~'East Herts Council is here to help you. We are committed to the communities we serve; delivering good quality services that reflect local priorities and resources'.~~

In order to strive to meet the vision ~~and priority~~, East Herts Council has recognised the need to further embed its risk management arrangements, particularly across projects. The desired outcome is that risks associated with these objectives can be managed and the potential impact limited, providing greater assurance that the vision will be achieved.

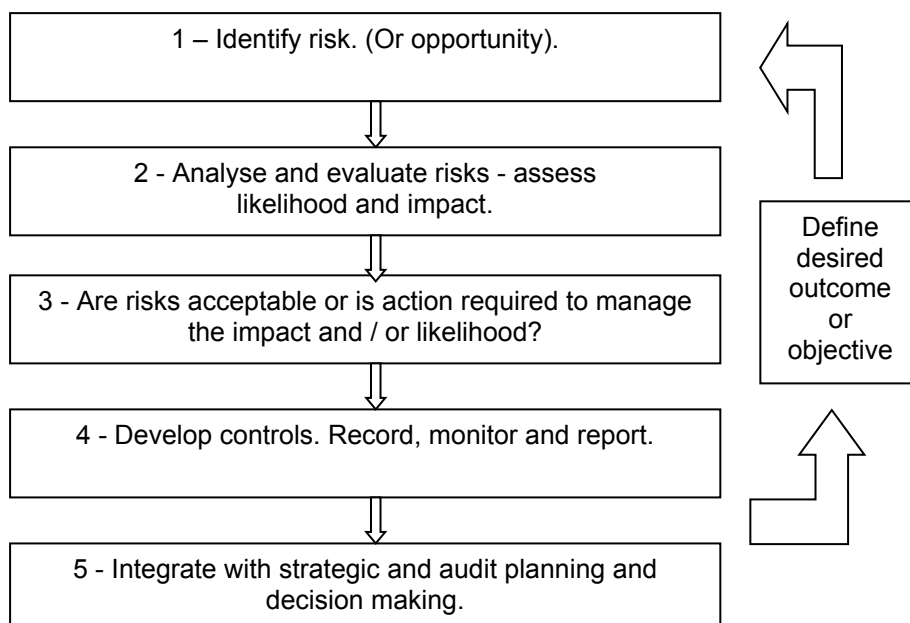
Benefits of risk management

Implementation of risk management produces many benefits for the Council including:

- Improved efficiency of operations.
- Protection of budgets from unexpected financial losses.
- Protection of reputation.
- Reduced losses arising from accidents and illnesses.
- Increased chance of achieving strategic / project objectives as key risks are minimised.
- The possibility of becoming less risk averse because risks are understood.
- Improved performance (accountability and prioritisation) - feeds into performance management framework.
- Better governance can be demonstrated to stakeholders.

Section 3 - Implementation of risk management

Implementing the strategy involves a 5-stage process:



Stage 1 – Risk identification

What could prevent the Council, your service, project or partnership from meeting objectives or outcomes? It is important that those involved with the process clearly understand what the Council wants to achieve in order to be able to identify the barriers.

When identifying risks it is important to remember that risk management is also about making the most of opportunities. For example:

- Making bids for funding.
- ~~Pursuing beacon status or other awards.~~
- Taking a national or regional lead on policy development.
- Savings that may be achievable if a project goes to plan.
- A 'spend to save' initiative.
- Tendering a large contract also provides an opportunity to reshape service delivery.

Using appendix 1 as a prompt, various techniques can then be used to begin to identify risks including:

- A 'brainstorm' session
- Own (risk) experience
- ~~Challenge within team meetings~~
- 'Strengths, Weakness, Opportunities and Threats' analysis or similar
- ~~Experiences of others – can we learn from others mistakes?~~
- Exchange of information / best practice with other authorities, organisations or partners.

The process for the identification of risk should be undertaken for projects (at the start of each project stage), partnerships, service planning and at a strategic / corporate level. Details of who contributes to these stages are explained further in the roles and responsibilities section.

Stage 2 – Analysing and evaluating the risks

The risk should be given a clear and concise title. A fuller description to include the root cause and the possible consequences of the risk if it occurs should be provided separately, e.g.

Title	Description
Insurance tender. The tender, and establishment of the insurance reserve, provide an opportunity to self-fund well managed risks.	The insurance contract is subject of a full OJEU tender process. A hard insurance market may result in premium increases. Increasing deductibles, without robust risk management practices, may leave the Council exposed to increased expense. However the tender, combined with other initiatives, present an opportunity to review self-insurance levels and establish an appropriate fund for well managed risks.

where possible. ~~These corporate themes are raised with each Head of Service quarterly.~~

Risk appetite

A material risk is deemed to be any risk rated higher than 2:2. This is the Council's 'risk appetite' i.e. the level of risk that it is prepared to tolerate without need for ongoing monitoring or reporting. Where a risk rating exceeds this 'control' area of tolerance, demonstrable evidence of how risks are being mitigated will be required, together with proposals for future controls.

Increasing pressure on public finances means that Local Authorities are obliged to have more appetite for risk. The Council cannot deliver everything it would ideally like to deliver and tough choices are necessary. The Council is therefore open to considering all delivery options, accepting increased levels of risk in order to secure the successful outcomes or rewards.

Risk management is essential in supporting innovation and moving from a 'risk averse' to a more 'risk aware' approach. An example is the acquisition of Old River Lane, Bishop's Stortford. The financial commitment is significant but the acquisition provides an opportunity to shape the town centre, and an additional income stream.

Stage 3 – Respond to risks

This is the process of turning 'knowing' into 'doing'. It is assessing whether to control, accept transfer or terminate the risk or the opportunity presented. Risks may be able to be:

Controlled - It may be possible to mitigate the risk by 'managing down' the likelihood, the impact or both. The control measures should, however, be commensurate with the potential frequency, severity and financial consequences of the risk event.

Accepted - Certain risks may have to be accepted as they form part of, or are inherent in, the activity. The important point is that these risks have been identified and are clearly understood.

Transferred - to another body or organisation i.e. insurance, contractual arrangements, outsourcing, partnerships etc. (Liabilities cannot be contracted out in their entirety. The Council will often retain overall accountability; and certainly for health and safety risks).

Terminated - By ending all or part of a particular service or project.

It is important to recognise that, in many cases, controls will already be in place. It is therefore necessary to look at these controls before considering further action. They may be out of date or not complied with.

~~The potential for controlling the risks identified will be addressed through service plans. Most risks are capable of being managed, either by managing down the likelihood or impact or both. Relatively few risks have to be transferred or terminated. These service plans will also identify the resources required to deliver the improvements, timescale and monitoring arrangements.~~

Stage 4 – Recording, monitoring and reporting

Existing controls of strategic risks, their adequacy, new mitigation measures and associated action planning information are to be recorded on the Strategic Risk Register, ~~including ownership of the risk and allocation of responsibility for each mitigating action.~~

~~With effect from 2016/17 a target residual risk score will also be agreed at the beginning of each financial year to focus minds on risk mitigation and recording of actions planned and achieved.~~

The ~~target residual risk~~ score, planned and implemented controls will all be recorded on the risk register.

~~Leadership Team is responsible for ensuring that strategic risks are managed and will report to the Executive quarterly within the Corporate Healthcheck report. Audit and Governance Committee will also receive four strategic risk monitoring reports each year.~~

~~To reduce bureaucracy, a less formal approach is taken for operational (or service) risks. A discussion takes place quarterly between Heads of Service and the Risk Assurance Officer and service managers, with a register recording the highest scored risks prepared and submitted to Heads of Service for monitoring.~~

~~Whilst a minimalist risk register operates, Strategic risks are not recorded on Covalent for Members' benefit but operational risks are not. However any significant concerns are escalated to Leadership Team.~~

~~Stage 4 – Recording, monitoring and reporting~~

~~Leadership Team is responsible for ensuring that strategic risks are managed.~~

~~The Operational Risk Management Group is responsible for ensuring that Council-wide operational risks are managed.~~

~~Heads of Service are responsible for ensuring that key risks in their service are managed.~~

~~Council-wide operational risks are also considered, with comments collated and reported to risk owners, Leadership Team or the Operational Risk Management Group as necessary.~~

~~Leadership Team will report strategic risks to the Executive quarterly as part of the Corporate Healthcheck report. Audit and Governance Committee will receive four monitoring reports each year.~~

Stage 5 - Integrate with strategic and audit planning and decision making

In order to formalise and structure risk management at the Council, it is recognised that there are obvious and clear links between risk management and strategic planning; financial planning; policy making and review and performance management. The linkages are as follows:

- Risk management is a key part of the business planning process and therefore forms one of the key elements of the integrated **Strategic and Financial Planning framework**. Guidance on the framework is issued annually to senior managers with the publication of the Medium Term Financial Strategy. The guidance includes a section on risk assessments, which clearly explains that services need to recognise risk not just in relation to planned activity coming out of the service planning process (that supports the Council's priorities) but also in terms of the broader objectives of the service.
- Risks that have been identified that have a potential financial impact need to be considered as part of the preparation of the Medium Term Financial Plan (MTFP). Sources of funding the mitigation of risks, or the consequences of risk assessment need to be clearly identified within the MTFP, either as specific budget lines, provisions or use of general reserves. In addition, consideration of the Council's ability to withstand shocks from external factors is included as part of the Consolidated Budget report annually, which stress tests the MTFP and ability to withstand unexpected events.
- Financial Regulations apply to every Member and officer of the Council, and anyone acting on its behalf. East Herts encourages innovation, providing this is within the framework laid down by the Financial Regulations, and the necessary risk assessment and approval safeguards are in place.
- Risk registers will be shared with the Shared Internal Audit Service for the purposes of audit planning.
- The Council's **performance management framework** supports the monitoring of strategic risks through the Council's **Corporate Healthcheck Report**. This encourages greater ownership and accountability by service heads in managing budgets, more prudent and focused management of service performance and risk management.
- The Council's **Performance Development Review (PDR) scheme** flows through the organisation from the Chief Executive to staff and ensures that all employees have clear accountabilities and objectives linked to those of the service and the Council.

Section 4 - Risk management in projects and partnerships

Risk management needs to be a key part of the ongoing management of projects and partnerships, including shared services.

Project / Programme management

There is a need for consistent and robust approach to risk management in significant projects, both at the initiation stage and throughout the entire project. This is based largely on the approach used across the authority. Written Guidance is available on the intranet.

<http://www.eastherts.gov.uk/intranet/media.jsp?mediaid=2438&filetype=PDF>

Risk management should feature regularly on meeting agendas and a reporting mechanism agreed with the Head of Service or Risk Assurance Officer.

Partnerships

Reduced funding is leading to more public services and community projects being delivered through partnerships between the public, private and third sectors. Partnerships are essential to deliver benefits to residents, businesses, and visitors, but they bring risks as well as opportunities.

Assurance should be gained and evidenced on risks associated with delivering services through third parties, and accountability should be clear and recognised.

The Council's 'Partnership Protocol' sets out the expectations and requirements for managing risks associated with Partnership working.

In November 2015 Corporate Business Scrutiny Committee agreed that the Protocol be reviewed to focus on informal partnerships and collaborative arrangements where assurance processes were not in place.

It was concluded that the remaining (significant) partnerships are underpinned by formal mechanisms and agreements. A 'Partnership Map' maintained by the Head of Communications, Strategy and Policy has replaced a Partnership Register.

Section 5 - Roles and responsibilities

The following describes the roles and responsibilities that Members and officers have in introducing, embedding and owning the risk management process:

Members

Elected Members are responsible for governing the delivery of services to the local community. Members have a responsibility to understand the strategic risks that the Council faces, and will be made aware of how these risks are being managed through the annual strategic and service planning process, and through reports to the Executive and Audit and Governance Committee.

All Members will have the responsibility to consider the risks associated with the decisions they undertake and will be informed of these risks in the reports that are submitted to them. They cannot seek to avoid or delegate this overall responsibility, as it is key to their stewardship responsibilities. Awareness training will be available for all Members when specific training needs are identified.

All Members can access all strategic risks on Covalent.

Full Council

Full Council recognises the importance of effective risk management and considers risk management issues when making decisions.

Executive

- To receive regular reports, covering implementation of the Council's risk management policy and strategy to determine whether corporate strategic risks are being actively managed.

- Agree the Risk Management Policy and Strategy on an annual basis, or if significant changes require a revision.
- Agree / set the Council's risk appetite.
- Allocate sufficient resources to address top risks.
- The Portfolio Holder for Risk Management is recognised as the Member champion for Risk Management

Audit and Governance Committee

- To monitor the effective development and operation of risk management and corporate governance in the Council.
- Receive updates regarding the mitigation and control of strategic risks four times per year, and gain assurance that risk management is properly undertaken.

Corporate Business Scrutiny Committee

- To develop policy options and to review and scrutinise the policies of the Council including Risk Management.

Chief Executive and Leadership Team

- To ensure that effective systems of risk management and internal control are in place to support the Corporate Governance of the Council.
- Take a leading role in identifying and managing the risks and opportunities to the Council and to set the example and standards for all staff. Advise the Executive and Council on the risk management framework, policy, strategy and processes.
- Advise on the management of strategic and other significant risks.
- Ensure that the Policy and Strategy are communicated, understood and implemented by all Members, managers and staff and fully embedded in the Council's service planning and monitoring processes.
- Identify, analyse and profile high-level corporate and cross-cutting risks on a regular basis as outlined in the monitoring process. Refer key corporate and service specific operational risks to the [Service Managers Operational Risk Management](#) Group for action.
- To report to Members on the management of strategic risks.
- Ensure that appropriate risk management skills training and awareness is provided to ~~all~~ Members and appropriate staff.

Directors

- To ensure that the risk management process is part of all major projects, partnerships and change management initiatives.

Heads of Service

- To be individually responsible for their service risks.
- Be actively involved in the identification and assessment of ~~service-risks~~ [through the service planning process](#).
- Ensure that all reports of a strategic nature written for Members include risk commentary.
- ~~To maintain the awareness of risks and the risk identification process.~~
- To implement the detail of the Risk Management Strategy and risk related corporate policies, e.g. Health and Safety, Data Protection.

~~Share / exchange relevant information with colleagues in other service areas.~~

Service Managers

- Manage service level risks and maintain a risk register in conjunction with the Risk Assurance Officer.
-
- **Operational Risk Management Group**
-
- To review operational risks that affect numerous teams within the authority. Plan mitigation activity and ~~produce~~ support the development of procedures / policies.
- To support the maintenance of the Council's Business Continuity Plan including testing.
- Provide a summary of controls for the Council as a whole and feedback to services and committees where necessary.
- ~~To monitor health and safety compliance and land management standards.~~
- ~~To act as a forum for the sharing of best practice.~~
- To consider concerns escalated by the Council's Safety Committee and update / act on risks as appropriate.

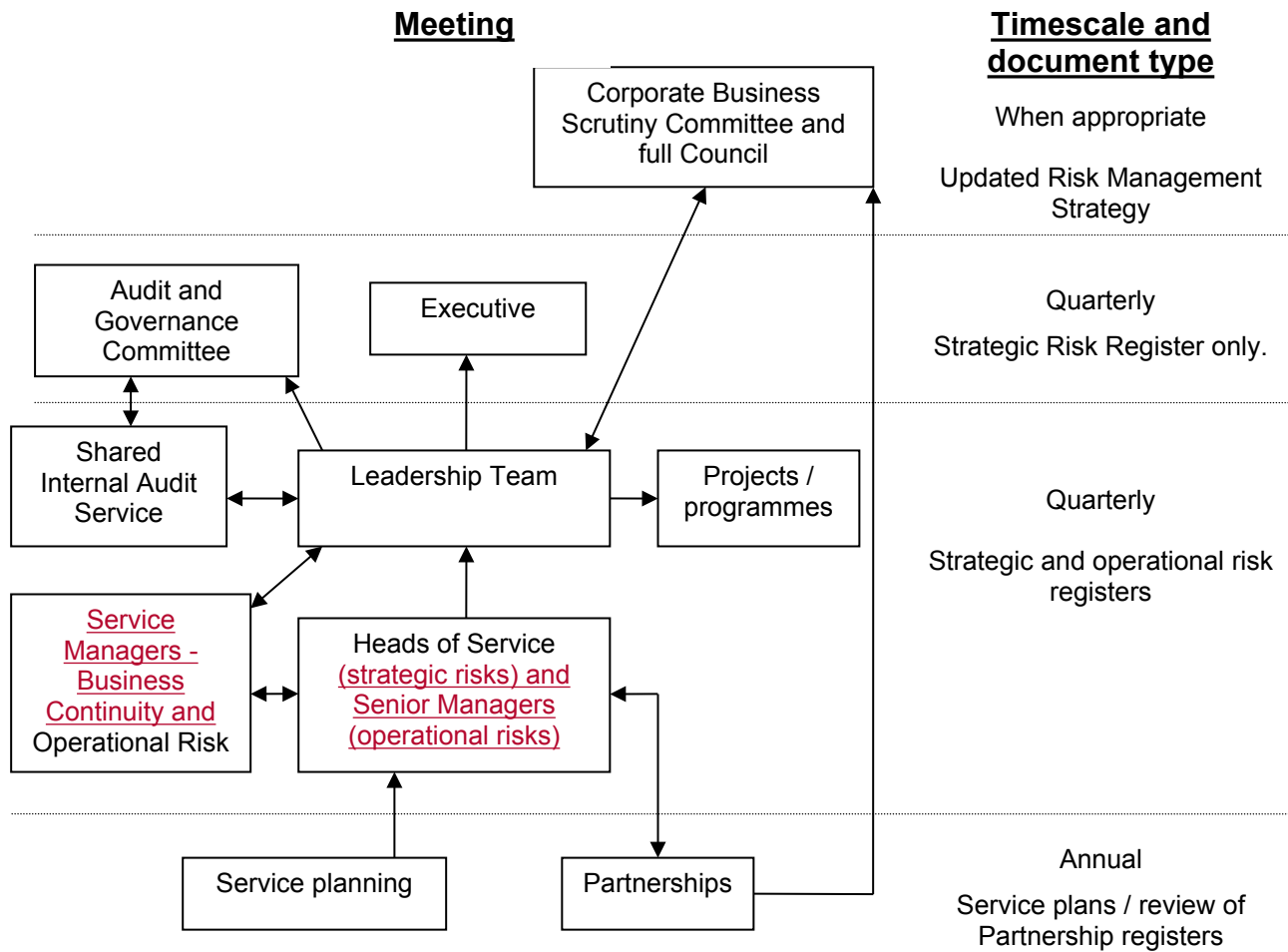
Strategic Finance and Property Team

- Co-ordinate risk management activities and prepare related reports for management and Members.
 - Review and develop the Risk Management Strategy and processes.
 - Facilitate risk discussion workshops and support and assist the maintenance of risk registers. Gain assurance on the process being conducted.
 - Facilitate / arrange risk management training for staff and Members.
 - To play an active role within co-ordinate the Business Continuity Plan and service and operational risk registers. ~~Operational Risk Management Group.~~
- ~~Pass experiences of strategy implementation to the appropriate services.~~
~~Maintain awareness of risks and feed them into the risk identification process.~~
Support the risk based audit planning process.

Shared Internal Audit Service

- To provide assurance to the Council through an independent and objective opinion on the control environment comprising risk management, control procedures and governance.
- To provide an annual Audit Plan that is based on a reasonable evaluation of risk, and to provide an annual assurance statement to the Council based on work undertaken in the previous year.
- Review and challenge the effectiveness of the risk management framework.

The following table shows the risk management reporting arrangements:



Section 6 - Conclusion

Risk management is integrated into the Council's culture. The Strategy formalises the process to be applied across the Council to ensure consistency and clarity in understanding the role and benefits of strategic risk management.

The reporting and escalation of risks from services to Leadership Team interlocks with the existing quarterly healthcheck.

Appendix 1 – Categories of risk

Risk	Definition	Examples
Political	Associated with the local or central government policy or the local administration's manifest commitment.	New political arrangements. Political personalities. Political make-up. Policy and decisions.
Economic	Affecting the ability of the Council to meet its financial commitments. These include internal budgetary pressures, external macro level economic changes or consequences of proposed investment decisions.	Financial climate. Cost of living. Changes in interest rates. Inflation. Poverty indicators.
Social	Relating to the effects of changes in demographic, residential or socio-economic trends on the Council's ability to meet its objectives.	Ageing population. Health statistics. Crime rates.
Technological	Associated with the capacity of the Council to deal with the pace/scale of technological change, or its ability to use technology to address changing demands. They may also include the consequences of internal technological failures on the Council's ability to deliver its objectives.	E-Gov. IT infrastructure. Staff/client needs. Security standards.
Legislative	Associated with current or potential changes in national or European law.	Human rights. TUPE regulations
Continuity / service delivery	Ability to deliver services.	Loss of key staff, building, documents or IT.
Environmental	Relating to the environmental consequences of progressing the Council's strategic objectives.	Land use. Recycling. Pollution. Extreme weather events.
Competitive	Affecting the competitiveness of the service (in terms of cost or quality) and/or its ability to deliver best value.	Fail to win quality accreditation. Alternative service providers.
Customer/ Citizen	Associated with failure to meet the current and changing needs and expectations of customers and citizens.	Managing expectations. Extent of consultation.
Managerial/ Professional	Associated with the particular nature of each profession, internal protocols and managerial abilities.	Staff restructure. Internal capacity.
Financial	Associated with financial planning and control.	Income streams. Budget overspends. Level of Council tax. Level of reserves.
Legal	Related to possible breaches of legislation.	Client brings legal challenge.
Partnership/ Contractual	Associated with failure of contractors and partnership arrangements to deliver services or products to the agreed cost and specification.	Contractor fails to deliver. Partnership agencies do not have common goals. Shared services.

Physical	Related to fire, security, accident prevention and health and safety.	Land / facility management. Health and safety risks.
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EAST HERTS COUNCIL

EXECUTIVE – 4 APRIL 2017

QUARTERLY CORPORATE HEALTHCHECK –
QUARTER 3 DECEMBER 2016

REPORT BY EXECUTIVE MEMBER FOR FINANCE AND SUPPORT
SERVICES

WARD (S) AFFECTED: All

Purpose/Summary of Report:

- To provide a report on finance, performance and strategic risk monitoring for East Herts Council for 2016/17 as at December 2016.
- The revenue budget for 2016/17 is £14.134m. The forecast position as at 31 December 2016 shows an overspend of £89k in 2016/17.
- The revised capital budget for 2016/17 is £6.157 m. The forecast position shows a variance of £1.122m underspent.
- 13 of the 16 indicators that had a target against them achieved or exceeded their targets. There were two were not concluded as their monthly/quarterly figures were unavailable
- Of the 8 Performance Indicators that are trend only data,
 - a) Five indicators are new for 2016/17 and are reporting data for the first time so there is no previous period data to produce a trend comparison.
 - b) One indicator is a long established indicator which has no target
 - c) Two indicators have not provided there monthly position.

RECOMMENDATIONS FOR EXECUTIVE: That:

(A)	the revenue budget forecast overspend of £89k in 2016/17 be noted (paragraph 2.1);
(B)	the capital budget forecast underspend of £1.122m be noted (paragraph 6.1);

(C)	the reported performance for the period October 2016 to December 2016 be noted; and
(D)	the risk management controls (paragraphs 9.1 to 9.4) be approved.

1 BACKGROUND

- 1.1 This is the finance, performance and risk monitoring report for the council.
- 1.2 In February 2016 Council agreed a balanced budget for the 2016/17 financial year. This report sets out the financial position for the year to date and provides forecasts for the outturn position.
- 1.3 Following the Senior Management restructure in April 2016 the 2016/17 revenue and capital budgets have been realigned in line with the new structure.
- 1.4 In 2014 Council approved the performance measures that would be monitored. This report sets out the year to date performance against those targets
- 1.5 This report contains the following sections and Essential Reference Papers:

REPORT SECTIONS	
2	Revenue budgets
3	Corporate budgets
4	Reserves
5	Financing
6	Capital budgets
7	Debtors
8	Performance monitoring
9	Risk

ESSENTIAL REFERENCE PAPERS	
B	Revenue budget
C	Capital Monitor
D	Debtors, aged debt profile
E	Performance monitoring
F	Risk

2 REVENUE BUDGET

- 2.1 The Council is forecast to overspend in 2016/17 by £89k. Table 1 below shows the current forecast outturn position as at 31 December 2016 by Head of Service followed by variance explanations for each service.
- 2.2 In the budget report approved by Executive in February 2016 the budgeted use of reserves to fund revenue services was £936k (38% of the total use of reserves). The forecast use of reserves as at 31 December 2016 is £1,067k. Further information on the use of reserves can be found in section 4 below.
- 2.3 In the report at the end of Quarter Two (September 2016) an overspend of £177k was reported to Corporate Business Scrutiny and Executive. The Councils budgets are monitored on a monthly basis and the information included in this report represents the position as at the end of Quarter Three.

Table 1: Revenue forecast outturn

	Original Budget 2016/17	Forecast outturn	Variance
	£'000	£'000	£'000
Chief Executive & Directors	466	430	(36)
Communications, Strategy & Policy	1,165	1,177	12
HR & Organisational Development	469	481	12
Strategic Finance & Property	1,445	1,839	394
Housing & Health	2,407	2,558	151
Democratic and Legal	1,102	1,200	98
Planning & Building Control	1,044	1,132	88
Operations	4,490	4,577	87
Shared Revenues & Benefits Service	273	198	(75)
Shared Business & Technology Services	1,298	1,318	20
Total Net Cost of Services	14,159	14,910	751
Corporate Budgets (Section 3)	1,436	1,282	(154)
Contributions to reserves	1,227	829	(398)
Contributions (from) reserves	(2,174)	(2,284)	(110)
TOTAL:	14,648	14,737	89

2.4 The main variances in the forecast outturn are set out below by Head of Service.

Strategic Finance and Property

2.5 Following the senior management restructure the salary budget has been aligned with the new structure resulting in a £177k predicted underspend. Redundancies and pension strain costs of £317k will be partially funded from this underspend, the balance will be funded from the Transformation Reserve.

2.6 The Council is looking to replace its financial management system, consultants have been bought in to provide guidance and assistance.

This will cost £39k in 2016/17 and will be funded through use of the Transformation reserve.

- 2.7 Consultation costs for the Bishop's Stortford town centre planning framework is £95k in 2016/17. This will be funded through use of the priority spend earmarked reserve.
- 2.8 The management fees for the property funds that the Council has invested in are lower than budgeted, resulting in a £50k underspend in 2016/17. This is a saving item on the MTFP for future years.
- 2.9 In 2015/16 the Council sublet part of the office space that it uses in Charringtons House. This arrangement came to an end after the 2016/17 budgets were set. This results in a £55k overspend against the budget.

Housing and Health

- 2.10 An underspend of £169k is reported against the Environmental Health Promotion budget. Part of this budget is funded by a contribution from HCC and part from EHC, the profile of this expenditure has altered from when the budget was set in February 2016 resulting in an underspend in 2016/17.
- 2.11 The total fee for the Pole hole site works has increased this is due to the requirements of additional equipment at the site as ground conditions were worse than originally anticipated and an increase in time taken for works to be carried out. This has resulted in a £35k cost in 2016/17.
- 2.12 A government grant was received to support local businesses following flooding damage in 2013/14, the unspent element of this grant was transferred to a reserve in 2014/15. £37k will be spent in 2016/17 to support businesses which will be funded from this reserve.
- 2.13 The forecast outturn figures exclude the Disabled Facilities Grant income for 2016/17 as this is income that is used to fund capital activities. This results in a £244k overspend against the 2016/17 budget.

Democratic and Legal

- 2.14 There are increased salary costs of £70k in Democratic and Legal

Services due to the use of agency staff, staff appointment expenses, overtime payments and redundancy costs.

- 2.15 Income from land charges is expected to be £33k below the 2016/17 budget due to less activity in the housing market.

Planning and Building Control

- 2.16 An overspend of agency staff costs of £163k in Development management are partially offset by a £50k underspend against the salary budget and £31k additional fee income.

Operations

- 2.17 It is anticipated that pay and display income from car parks will be 5% above the 2016/17 budget, resulting in an additional £143k of income. This is due to car park usage being greater than assumed when the budget was set. This increase in income is in line with the 2015/16 outturn position.
- 2.18 Consultants have been engaged to carry out an off street parking need survey in Bishop's Stortford, Hertford and Ware to identify future parking provision requirements. The total cost is estimated to be £33k and is to be funded through the additional pay and display income as per paragraph 2.13.
- 2.19 It is anticipated that £70k less income will be distributed to EHC from HCC in 2016/17 with regards to the Alternate Financial Model (AFM) which allocates funding to the districts across Hertfordshire based on the level of waste diverted from landfill. This is a complex formula based on the levels of waste recycled and sent to landfill at East Herts and the other districts, which results in variations from the budget. A growth proposal has been included in the 2017/18 budget to reflect this reduction in income on an ongoing basis.
- 2.20 A change to the disposal of dry recyclable materials resulting in transport cost rather than income being generated is expected to lead to an overspend of £74k in 2016/17.

Shared Revenues & Benefits

- 2.21 An increase in the summons costs recovered will result in £77k additional income in 2016/17. This is in line with the outturn position for 2015/16 and is reflected in the changes to the MTFP for 2017/18.

Shared Business and Technology Services

2.22 A overspend of £19k is reported against the IT licences budget this relates to the licence for the HR system and is a one off cost.

3 CORPORATE BUDGETS

3.1 Corporate budgets are costs and income received by the Council that are not service specific these include income from the Councils investments, pension deficit contributions and New Homes Bonus grants to Town and Parish Councils.

3.2 Table 2 below shows the forecast outturn position against the corporate budgets. Details of movements against the original budget are shown in the paragraphs below.

Table 2: Corporate budgets forecast outturn

	Original Budget 2016/17	Forecast outturn	Variance
	£'000	£'000	£'000
NHB Grants to Town & Parish Councils	901	901	-
Contingency Budget	150	14	(136)
Interest Payments	662	662	-
Interest & Investment income	(902)	(920)	(18)
RCCO (Revenue Contribution to Capital Outlay)	25	25	-
Pension Fund Deficit contribution	600	600	-
Corporate Budgets Total:	1,436	1,282	(154)

3.3 Currently £14k has been committed from the contingency budget in 2016/17; £2k is allocated to fund posts in Environmental Health and £12k is allocated to fund the external lone working solution, a growth proposal for which has been included in the 2017/18 budget on an ongoing basis. Any balance on this budget at the end of the year will be transferred to the transformation reserve.

3.4 Income from investments and interest is difficult to predict following

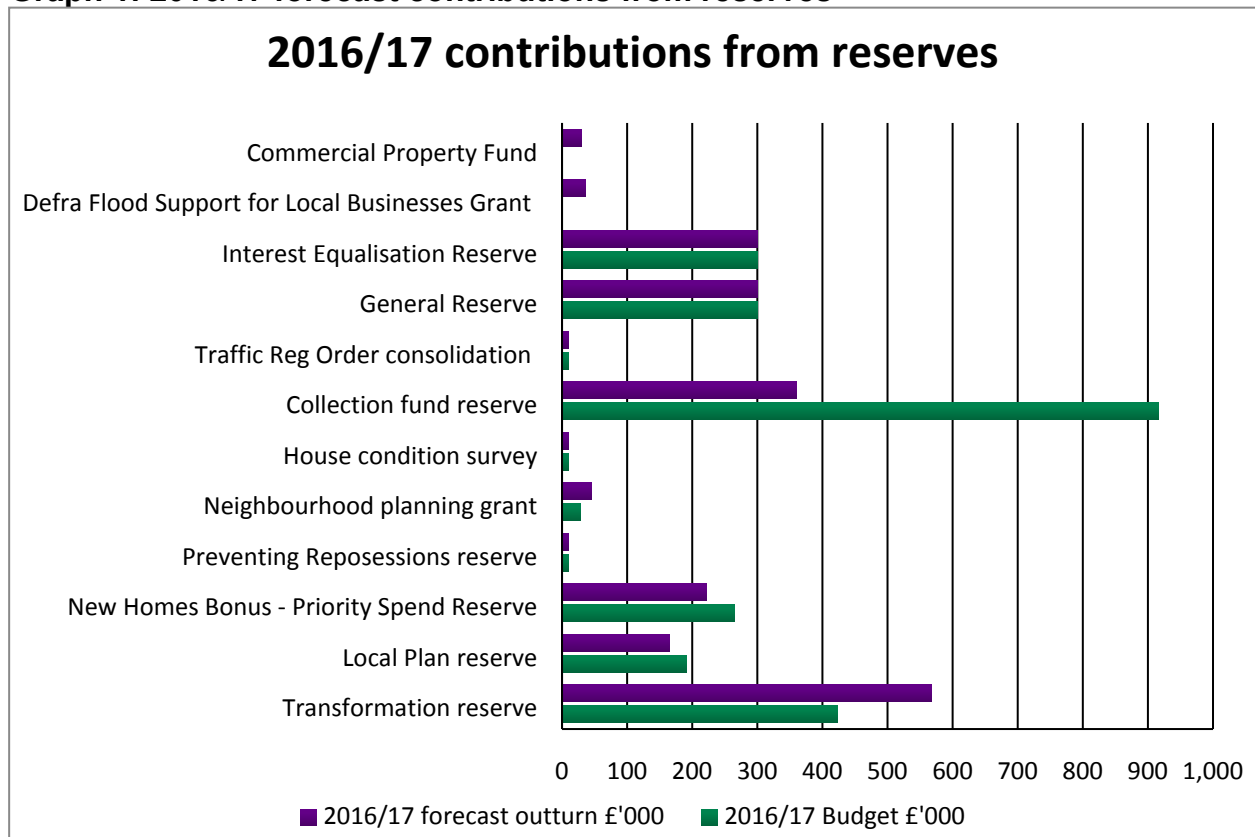
Brexit and continued uncertainty over the Bank of England interest base rate. The £18k favourable forecast outturn position represents additional income from the Councils investment in two property funds, this is slightly below the 2015/16 outturn position.

4 RESERVES

4.1 The Council holds earmarked reserves to fund unpredictable financial pressures and to smooth the effect of known spending over time. Graphs 1 and 2 below reflect the forecast outturn position as at 31 December 2016.

4.2 Funding from reserves will offset expenditure shown in section 2 of this report whilst a contribution to reserves will be shown as income in the revenue forecast outturn.

Graph 1: 2016/17 forecast contributions from reserves



4.3 As at 31 December 2016 it is forecast that there will be contribution from reserves of £2.284m in 2016/17 this is £110k higher than approved as part of the 2016/17 budget setting process. The significant variances are reported in the following paragraphs.

4.4 The transformation reserve was created to fund transitional staffing

costs and service improvements. The total use of reserve is £146k above 2016/17 budget. This is made up of:

- £39k funding for costs relating to consultants for the procurement of a new financial system
- £16k to fund a new graduate from October 2016
- £30k funding for Building Control project
- £200k reduced use of reserve relating to a review of Community Safety Service
- £20k to fund temporary posts in Environmental Health
- £17k to fund apprentice salaries in 2016/17
- £31k to fund leisure consultants
- £149k to fund pension strain costs and redundancies

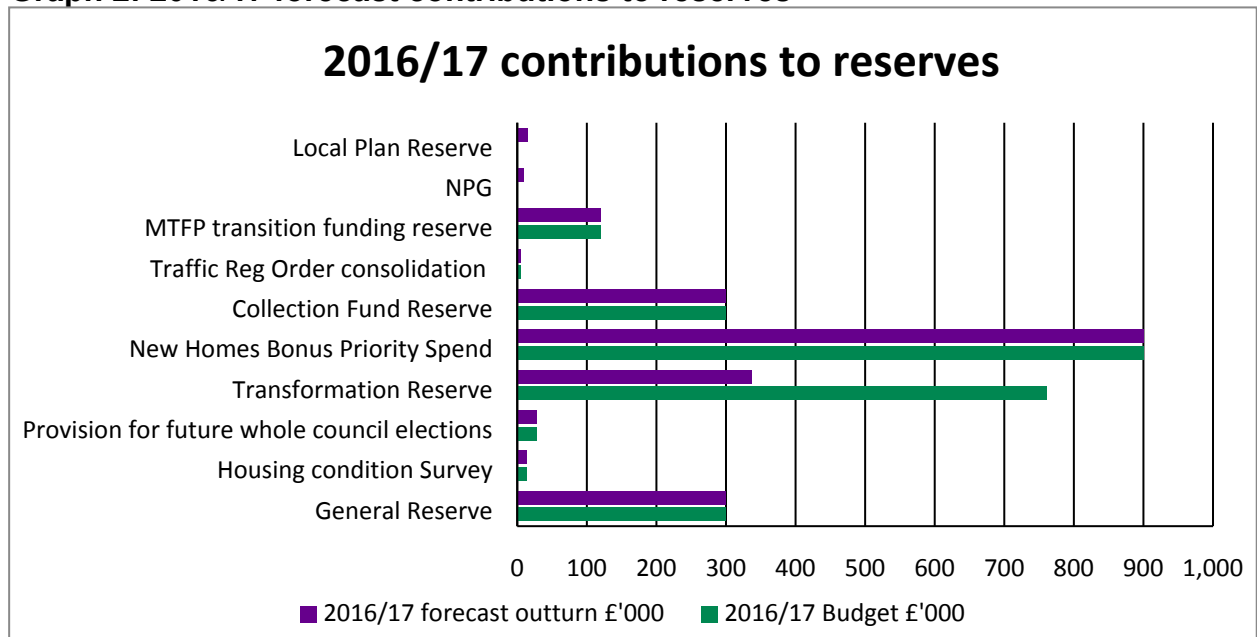
4.5 The New Homes Bonus – Priority spend reserve was established from unspent New Homes Bonus monies and utilised to fund items agreed by Leadership Team and Executive. The use of this reserve is £43k below budget. The main items are:

- £200k reduced use of reserve for Old River Lane Planning costs, £95k of the reserve will be used to fund Bishop's Stortford consultation costs.
- £100k to fund East Herts contribution to Public Health projects, to match funding received from Hertfordshire county Council.
- £10k to fund consultants for setting up a Business Improvement District
- £25k to fund consultants with regards to East Herts Digital Transformation.

4.6 The DEFRA flood support for local business was established from an unspent element of a DEFRA grant received to enable the Council to support local businesses following flooding in 2013/14. It is anticipated that £37k (the balance on the reserve) will be spent in 2016/17.

4.7 The Collection Fund Reserve was set up to smooth the impact of surplus's and deficits from the Council Tax and Non Domestic Rates Collection Funds on the budget. The anticipated use of this reserve has been reviewed which resulted in a £360k use in 2016/17 rather than the £917k that was budgeted.

Graph 2: 2016/17 forecast contributions to reserves

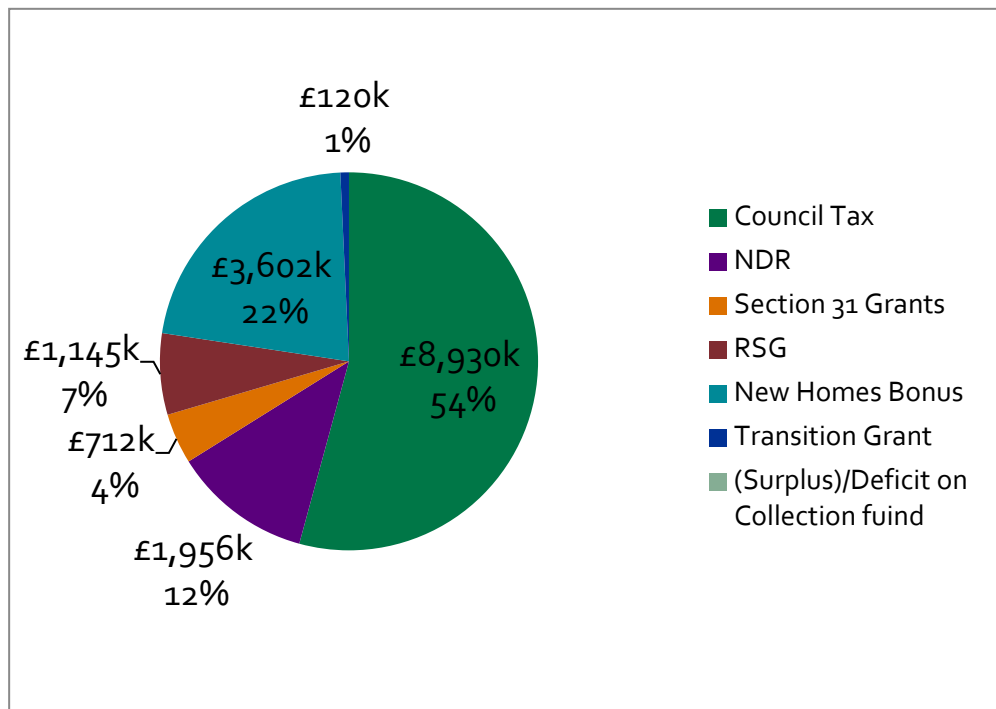


4.8 The forecast outturn contribution to reserves has decreased by £398k to £829k from the 2016 /17 budgeted position. This is due to;

- £10k - Neighbourhood Planning Grant received from the DCLG in relation to Bishop's Stortford south referendum which will be transferred to the Neighbourhood Planning Grant reserve.
- £15k – contribution from Harlow Council to be distributed to partners across the Housing Market Area. This will be transferred to the Local Plan reserve.
- A reduction in the estimated surplus at the end of the year from £761k to £337k

5 FINANCING

5.1 These income budgets are general and non-service specific income sources. The following pie chart shows the value and percentage split of these budgets.



6 CAPITAL PROGRAMME

- 6.1 The revised 2016/17 budget has increased from £5.58m to £6.157m. This is an increase of £577k, this relates to grants for Network Homes for the Ridgeway scheme and Gladstone Road scheme. As at 31 December 2016 an underspend of £1.122m is reported. Details of the movements against budget that make up this underspend can be found in the following paragraphs.
- 6.2 The 2016/17 capital forecast expenditure is summarised in Table 3 below. **Essential Reference Paper C** sets out the detailed forecast on each scheme.

Table 3: Capital forecast outturn

	2016/17 Original Budget	2016/17 Revised Budget	2016/17 Total to Date	2016/17 Forecast Outturn	Variance between Forecast Outturn & Revised Budget
	£'000	£'000	£'000	£'000	£'000
Strategic Finance & Property	764	929	293	1,207	278
Shared Business & Technology Services	675	1,076	109	971	(105)
Operations	1,030	1,325	340	1,019	(306)
Housing & Health	2,028	2,711	308	1,162	(1,549)
Planning & Building Control	92	68	54	68	-
Communications, Strategy & Policy	20	48	9	41	(7)
Director	-	-	29	567	567
TOTAL	4,609	6,157	1,142	5,035	(1,122)

6.3 A £278k overspend is predicted against the capital schemes that sit under the Head of Strategic Finance and Property. This includes;

- an estimated £600k for demolition of Number 1 The Causeway building. This was not included in the original capital programme for 2016/17 as is a result of decisions taken in year. This will be funded from the Commercial Property Reserve.
- £230k underspend against the operational building rolling programme.
- Capital works at the Council's swimming pools are part of a leisure review that is currently taking place, revised schemes are expected to be submitted for 2017/18, a £92k underspend in 2016/17 is reported.

6.4 The rolling programme budget to be utilised on ICT projects is showing a £105k underspend. £293k of the £398k budget has been committed by ITSG (IT Steering Group) in 2016/17.

6.5 A £306k underspend is reported against the budgets that come under the Head of Operations. This includes;

- The scheme to provide a small hydro-electricity turbine at the castle weir in Herford is currently under discussion with the Environment Agency. Project completion is anticipated in early 2017 and the project will not slip into 2017/18. An underspend of £201k is reported in 2016/17.

- Progress on the capital scheme to modernise the public conveniences at Bell Street in Sawbridgeworth is being made at a very slow pace. Project completion is not expected in 2016/17, a £67k underspend is reported.
- An overspend of £36k is reported on the refurbishment of Hartham Pavillion, as the priced specification came in over the budgeted amount. This overspend will be fully funded from section 106 contributions.
- The capital scheme for Hartham common major play works will be reviewed in 2017/18 pending the review of Leisure facilities. A £25k underspend is reported.
- A £42k underspend is reported on the markets improvement budget. Options appraisals for markets will be taken to Scrutiny in March 2017.

6.6 Underspends of £1.549m are reported against the capital schemes under Housing and Health. These include;

- A countywide review of Disabled Facilities Grants is underway. However the outcomes of this review are not expected to impact on referral rates until 2017/18. In line with the 2015/16 outturn this budget is expected to be £294k underspent in 2016/17. Total grant funding of £530k has been received in 2016/17.
- There is currently only £3k committed against the Decent Homes Grant capital scheme. It is unlikely that more than £50k will be required in 2016/17, resulting in an underspend of £50k.
- There are only a few cases in the pipeline in respect of the capital Energy Grants, a maximum spend in 2016/17 of £100k is anticipated, this will leave £50k unspent.
- Underspend of £289k against the £577k grants to Network Homes (mentioned in paragraph 6.1) as 50% of the grant is to be paid on completion (not expected until 2018).
- The capital budget for future social housing schemes of £821k remains unspent as the first priority in 2016/17 has been to utilise Section 106 funds for affordable housing in the district.

6.7 Capital grants totalling £67k to town and parish councils will be fully funded from section 106 contributions in 2016/17, these are:

- Watton-at-Stone Parish Council - new tennis courts (£38k)
- Bishop's Stortford Town Council – path works on Sworders Field

6.8 A Council contribution of £500k for improvements to Hertford Town Centre (The Wash, Maidenhead Street and Bull Plain) will be funded from unallocated capital funds.

7. DEBTORS

- 7.1 Total Outstanding debt as at 31st December 2016 is £1.252m. This is a 15% decrease from the previous quarter.
- 7.2 The outstanding debt over 120 days old totals £609k. Of this debt, over 90% relates to disputed invoices where negotiations are ongoing to collect the debt owed on a complex lease arrangement for a property ground lease in Bishop's Stortford. The remainder of the debts over 120 days are invoices relating to environmental health enforcement, where a charge is held against property to pay the debt once the property is sold, or housing debts where repayments are being made with a payment plan over several months.
- 7.3 **Essential Reference Paper D** analyses the profile of aged debtors

8 PERFORMANCE ANALYSIS

Performance against targets

- 8.1 Please refer to performance indicator summary analysis in **Essential Reference Paper E** for full performance indicator analysis.
- 8.2 Q3 results show 24 performance indicators that are divided into the three corporate priorities and supporting priorities (corporate health). The performance of these indicators are discussed below:-
- 8.3 **Corporate priority 1: Improve the health and wellbeing of our communities (10 Performance Indicators)**

Performance indicators for this priority are generally being met when targets have been set and are improving in trend only performance indicators. The only exceptions to these are:-

- **EHPI 5.13b % Good Satisfaction (GovMetric) - Telephone.**
There was no data gathered from Gov Metric on satisfaction with phone calls in any of the months within the quarter. How our telephone system informs customers of a satisfaction survey at the end of the phone call needs to be reviewed and there is potential for trying to make it a more customer friendly experience.

- **EHPI 5.13c – Customer Satisfaction (GovMetric) – Website.**
Performance was 'Red' in all three months of this quarter, missing its target of 35% by varying margins. This is a reoccurring trend and with the new website in the process of being developed, it is hoped that the new improved website will help users to navigate and address many of the issues often raised in comments.

8.4 Corporate priority 2: Enhance the quality of people's lives (8 Performance Indicators

Of the 8 performance indicators that are reported in this quarter, six were within or meeting their targets

The remaining indicators gathered (EHPI 191 + EHPI 192) source data from external sources, thus the data was not available at joint scrutiny. These results have now been presented and sit in a positive light in relation to the previous year

8.5 Corporate priority 3: Enable a flourishing local economy (2 Performance Indicators)

Of these two indicators, one achieved above its target whereas the other trend indicator showed a decline month by month but reflects the time of the year

8.6 Corporate priority: Corporate Health (4 Performance Indicators)

Of the 4 performance indicators, two met their target, two missed:-

- **EHPI 5.1 – % of complaints resolved in 14 days or less.**
51.85% of complaints were resolved within 14 days (10 working days). This mirrored the previous quarter results and misses the 70% target.
- **EHPI 5.2a % of complaints about the Council and its services that are upheld: 1st stage**
39% of complaints were upheld, this was above the 30% target for the fourth consecutive quarter. A great deal of these related to waste management where we accept responsibility on our Contractors behalf.

9 STRATEGIC RISKS

- 9.1 The Strategic Risk Register was last considered by The Executive on 6 December 2016.
- 9.2 Controls implemented during the period October to December 2016 have been recorded. Please refer to **Essential Reference Paper F** for more information.
- 9.3 There have been no changes to scoring of any risks.
- 9.4 The Strategic Risk Register was considered by Audit and Governance Committee on 22 March 2017. Any comments will be reported verbally.

10 IMPLICATIONS/CONSULTATIONS

- 10.1 Information on any corporate issues and consultation associated with this report can be found within **Essential Reference Paper A**.

Background papers:

None

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ESSENTIAL REFERENCE PAPER 'A'

IMPLICATIONS/CONSULTATIONS

Contribution to the Council's Corporate Priorities/ Objectives:	Priority 1 – Improve the health and wellbeing of our communities Priority 2 – Enhance the quality of people's lives Priority 3 – Enable a flourishing local economy
Consultation:	Discussions have taken place with Chief Executive, Directors, Heads of Service and external partners to construct an accurate revenue and capital financial forecast and performance report.
Legal:	There are no legal implications.
Financial:	Financial implications are included in the body of the report.
Human Resource:	There are no Human Resources implications.
Risk Management:	The Healthcheck report considers emerging risks to the in-year delivery of the Council budget and performance targets and sets out the mitigation of those risks.
Health and wellbeing – issues and impacts:	There no direct Health and Wellbeing issues arising as a result of the recommendations in this report.

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		Original Budget 2016/17	Budget to date	Actual to date	Variance to date	Forecast outturn	Variance	Variance
		£'000	£'000	£'000	£'000	£'000	£'000	%
Net Cost of Services	Chief Executive & Directors	466	305	274	(31)	430	(36)	-7.7%
	Communications, Strategy & Policy	1,165	768	884	116	1,177	12	1.0%
	HR & Organisational Development	469	316	314	(2)	481	12	2.6%
	Strategic Finance & Property	1,445	930	2,398	1,468	1,839	394	27.3%
	Housing & Health	2,407	1,778	1,141	(637)	2,558	151	6.3%
	Democratic and Legal	1,102	724	830	106	1,200	98	8.9%
	Planning & Building Control	1,044	644	603	(41)	1,132	88	8.4%
	Operations	4,490	3,332	2,217	(1,115)	4,577	87	1.9%
	Shared Revenues & Benefits Service	273	25,467	24,426	(1,041)	198	(75)	-27.5%
	Shared Business & Technology Services	1,298	866	1,105	239	1,318	20	1.5%
	Total Net Cost of Services	14,159	35,130	34,192	(938)	14,910	751	5.3%
Corporate Budgets	NHB Grants to Town & Parish Councils	901	901	-	(901)	901	-	0.0%
	New Homes Bonus Priority Spend	901	901	-	(901)	901	-	0.0%
	Contingency Budget	150	150	-	(150)	14	(136)	-90.7%
	Interest Payments	662	662	-	(662)	662	-	0.0%
	Interest & Investment income	(902)	(902)	-	902	(920)	(18)	2.0%
	RCCO	25	25	-	(25)	25	-	0.0%
	Pension Fund Deficit contribution	600	600	-	(600)	600	-	0.0%
	Corporate Budgets Total:	2,337	2,337	-	(1,737)	2,183	(154)	-6.6%
Use of Reserves	Contributions to Earmarked reserves	1,227	1,227	-	(1,227)	829	(398)	-32.4%
	Contributions from Earmarked reserves	(2,174)	(2,174)	-	2,174	(2,284)	(110)	5.1%
	Net Use of Reserves:	(947)	(947)	-	947	(1,455)	(508)	
Net Cost of Services Total:		15,549	36,520	34,192	(2,328)	15,638	89	0.6%
Funding	RSG	(1,145)	(1,145)	-	1,145	(1,145)	-	0.0%
	NDR	(1,956)	(1,956)	-	1,956	(1,956)	-	0.0%
	Section 31	(712)	(712)	-	712	(712)	-	0.0%
	(Surplus)/Deficit on Collection fund	917	917	-	(917)	360	(557)	-60.7%
	Other General Grants	(120)	(120)	-	120	(120)	-	0.0%
	New Homes Bonus	(3,602)	(3,602)	-	3,602	(3,602)	-	0.0%
Non Departmental Budgets Total:		(6,618)	(6,618)	-	6,618	(7,175)	(557)	8.4%
Total:		8,930	29,902	34,192	4,290	8,463	(468)	

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2016/17 CAPITAL MONITORING DECEMBER 2016

Exp Code	2016/17 Approved Schemes	Project Manager	Original Completion Date	Expected Completion Date	Project RAG Status	2016/17 Original Budget	2015/16 Slippage	2016/17 Amendments	2016/17 Revised Budget	2016/17 Actual to Date	2016/17 Commitment to Date	2016/17 Total to Date	2016/17 Forecast Outturn	Variance between Forecast Outturn & Revised Budget	Outturn RAG Status	COMMENTS
						£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000		
TOTAL						4,609	291	1,256	6,156	864	257	1,121	5,036	(1,120)		
RP - ROLLING PROGRAMME																
Head of Strategic Finance & Property																
72356/7502	Fabric Improvements to Swimming Pools	S. Whinnett	Not known	2017/18	RED	40			40	19	3	22	40	-	GREEN	Works commenced. Estimated spend as budget.
72357/7502	Glazing & equalities access works to Swimming Pools	S. Whinnett	Not known	2018/19	RED	40			40			-	0	(40)	RED	Slip to 18/19
72355/7502	Grange Paddocks Teaching Pool - Replace existing handrail & tiles to walls, steps & base of pool	S. Whinnett & M. Kingsland	Jan-16	Dec-16	RED			34	34		22	22	34	-	GREEN	Works programmed for Xmas closedown. Start date panned for 12/12/2016
72338/7502	Leventhorpe Swimming Pool - Renew main supply fan to the main pool area	S. Whinnett	Sep-13	2018/19	RED	25			25			-	0	(25)	RED	Slip to 18/19
72352/7531	Hartham Swimming Pool - Refurbishment of Pool Filters to ensure the efficiency of the pools filtration plant operation & to maintain the pools water quality	S. Whinnett	Dec-16	Feb-17	AMBER	25			25			-	25	-	GREEN	Works due to commence Feb half term.
72353/7502	Fanshawe Swimming Pool - Joint Provision Pools (Ward Freman, Leventhorpe & Fanshawe) - Replacement Air Conditioning to Offices	S. Whinnett	Apr-14	2018/19	RED	15			15			-	0	(15)	RED	Slip to 18/19
72345/7531	Fanshawe Swimming Pool - Refurbish/Replace Pool Filters, to maintain efficient operation of the pool filter & pool water quality	S. Whinnett	Not known	Mar-17	RED	20			20			-	28	8	AMBER	Works planned for Xmas closedown. Filters need replacing not refurbishing. Scheme will overspend as costs have increased since the PID was submitted.
72346/7531	Fanshawe Swimming Pool - Replace Pool Circulating Pumps	S. Whinnett	Dec-13	2017/18	RED	20			20			-	0	(20)	RED	Slip to 17/18
OPERATIONAL BUILDINGS																
71280/7502	Rolling programme for planned preventative capital maintenance of operational buildings	S. Whinnett & J. Earley	RP	RP		195		85	280			-	50	(230)	RED	Budget in place to allow appropriate schemes to go forward upon provision of appropriate business case. No further planned schemes this year, but will leave £50k in the budget in case of emergency works
Hertford Theatre																
72706/7502	Entrance Lobby Roof - to replace the existing defective roof with new leak free, energy efficient roof and reduce overheating in the entrance lobby / foyer area in summer months	S. Whinnett & J. Earley	Sep-15	Sep-16	RED	19			19	18		18	18	(1)	GREEN	Completed
72711/7502	Hertford Theatre - Flood Alleviation Works to Sump Pumps - To modify the existing sump pump installation to reduce the likelihood of any future flooding of the Theatre	S. Whinnett & J. Earley	Aug-16	Mar-17	RED	20			20	4		4	20	-	GREEN	1st phase of work completed. 2nd phased 17/18.

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						£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000		
71286/7502	Hertford Theatre - Emergency Lighting works to backstage areas	S. Whinnett & J. Earley		Aug-16	GREEN			11	11	10		10	10	(1)	GREEN	Completed.
71284/7502	Buntingford Service Centre - Energy Saving Lighting - To replace the existing lighting in the recycling, workshop and storage area with energy efficient/low maintenance LED lighting	S. Whinnett & J. Earley	Jun-16	Oct-16	RED	35		10	45	47		47	47	2	GREEN	Completed.
75272/7502	Library Car Park, Ware - to carry out drainage & resurfacing works to the annexe area of the public car park	S. Whinnett & J. Earley	Oct-16	Aug-16	GREEN			20	20	20		20	20	-	GREEN	Completed.
71203/7531	Replacement of Chairs & Desks	T. Smith	RP	RP		10	(6)		4	3	1	4	4	-	GREEN	
Charringtons House 2nd Floor Suite Refurbishment																
71285/7502	Maximise return from Council assets by generating rental income & business rates income from Charringtons House for the Council once the suite is refurbished	A. Osborne	Apr-16	Dec-16	RED	300			300	103		103	300	-	GREEN	First phase of refurbishment complete and paid, second phase now complete with invoice for £48k received for processing. 3rd phase being drawn up with LSH.
71287/7502	Demolition 1 The Causeway, B/S	S. Whinnett		Mar-17					-	29	14	43	600	600	GREEN	Planning application stage. Funded from Commercial Property Fund
72568/7502	North Drive, Ware - reconstruct road & drainage	A. Osborne	Mar-10	Not known	RED		(2)	12	10			-	10	-	GREEN	Planning Enforcement negotiating with developer to try and resolve outstanding issues
Total Strategic Finance & Property						764	(8)	172	928	253	40	293	1,206	278		
Head of Shared Business & Technology Services																
71414/7531	Replacement Infrastructure	P. Wain	RP	RP		35	12		47	7		7	47	-	GREEN	SHARED SCHEME w/Stevenage BC A 5yr investment programme for the shared ICT Infrastructure is being developed and proposals will be brought forward shortly.
71416/7531	Merging IT systems - Licensing & Env Health	J. Geall		Aug-16			9	40	49	30		30	49	-	GREEN	Additional draw down from rolling programme for consultancy to support transition to the new system
71416/7513	Merging IT systems - Licensing & Env Health. Capital Salaries	J. Geall						25	25			-	25	-	GREEN	Budget drawn down from rolling programme to fund contract extension in Env Health to support the implementation project. Additional costs in relation to IDOX project to be incurred, contract further extended for existing member of staff. To be drawn down from Rolling Programme.
71431/7531	Establishment of LES & internet links to replace MPLS	H. Lewis		Oct-16			24		24	2		2	24	-	GREEN	Work to migrate the data connections is now completed. Planning to migrate the telephony connections is now underway with the majority of remaining spend expected in Q3.
71435/7531	Funding for Applications	P. Tyler	RP	RP		40		(40)	-			-	-	-	GREEN	This scheme has been superseded by the Rolling programme to fund ICT projects (71450/7531)
71439/7531	Service Desk & Utilities	H. Lewis		Mar-17			25		25			-	25	-	GREEN	Work to harmonise security software is ongoing with implementation expected March 2017
71440/7531	Shared service print investment costs 50%	H. Lewis						21	21			-	21	-	GREEN	SHARED SCHEME w/Stevenage BC Work is currently being undertaken to review the way forward, as a number of new opportunities have been identified. A business case will be presented in the near future, clear identifying the investment required
71449/7531	New Desktop Software	H. Lewis					4	(4)	-			-	-	-	GREEN	Funds transferred to Rolling programme (71450/7531).

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						£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000		
71453/7531	New HR & Payroll System	N. Roberson		Mar-17				55	55			-	55	-	GREEN	SHARED SCHEME w/Stevenage BC NGA selected as preferred solution and project kick off taking place in July. First payroll on new system anticipated in Apr-17, although some HR self-serve elements may be launched sooner.
71459/7531	New Finance System	P. Gregory		Mar-17		175			175			-	175	-	GREEN	Tender to go out Aug/Sept, update on prices once offered. Predict most will be in 16/17
71460/7531	New Asset Management System	P. Gregory	Sep-16	Dec-16		20			20			-	20	-	GREEN	System is the next in line for implementation following the upgrade of Uniform to v10, anticipated completion by Dec-16
71456/7531	Client Equipment	H. Lewis	RP	RP			5	10	15	11		11	15	-	GREEN	Budget used to service new and replacement equipment needs identified within year
71458/7531	Electoral Management Software							75	75			-	75	-	GREEN	The procurement documentation is complete, and the formal procurement process can start when it fits in with the service's timetable (the european referendum has delayed matters).
71461/7531	Revs & Bens EDM Solution	R. Brock		Dec-17				110	110	37		37	110	-	GREEN	Northgate I@W selected as the preferred solution and the project kick-off taking place in July.
71462/7531	Car Park Data Warehousing	P. Tyler						22	22	22		22	22	-	GREEN	Drawn down from rolling programme. Work is progressing with the supplier to define the data requirements
71463/7531	Audio & Visual Equipment Council Chamber Wallfields	P. Wain						5	5				5	-	GREEN	Drawn down from rolling programme
71464/7531	Audio & Visual Equipment Hertford Theatre	P. Wain						10	10				10	-	GREEN	Drawn down from rolling programme
71450/7531	Rolling programme to be utilised on ICT projects subject to ITSG review	H. Lewis	RP	RP		405	171	(178)	398			-	293	(105)	AMBER	Additional draw down anticipated for infrastructure investment and any early projects to support the digital strategy
Total Shared Business & Technology Services						675	250	151	1,076	109	-	109	971	(105)		

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						£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000		
	Head of Operations															
71253/7531	Car Park Management System - To implement a cost effective car park management system for the Council to manage its car parks for the next 10 years	A. Pulham	Sep-16	Oct-16	AMBER	340			340	14	6	20	340	-	GREEN	Order raised for new tariff board signs. Completion of scheme in October 16
	Refurbishment of Hertford Theatre Café/Bar								-							
72712/7502	The layout, design and equipment provision is in need of upgrade in order to meet the needs of our customers and maximise the potential for revenue generation	B. Cannell	Sep-16	Dec-16	AMBER	50			50			-	50	-	GREEN	Final designs received 19.9.16. Completion in December
72710/7531	Hertford Theatre replacement of 6 lighting hoists	B. Cannell	Dec-15	Aug-16	RED			13	13	11	2	13	13	-	GREEN	Partly completed in 15/16, however, due to timescales of events at the Theatre, the remaining work had to be completed in August 2016 when the Theatre closed for 2 weeks
	Refuse Collection & Recycling															
75165/7531	Containers Replacement Programme	D. Allen	RP	RP		100	19	(10)	109	70	-	70	109	-	GREEN	Rolling programme for containers - on target
75145/7531	Replacement Litter Bins	D. Allen	RP	RP		6	3	(1)	8	5		5	8	-	GREEN	Rolling programme for litter bins - on target
75152/7531	Commercial Waste Bins	D. Allen	RP	RP		34	11	12	57	7	4	11	57	-	GREEN	Rolling programme for commercial bins - on target
72513/7502	Bell Street, Sawbridgeworth - Modernise the public convenience facilities, in preparation for transferring the operation to Sawbridgeworth Town Council under an agency agreement	D. Allen	Sep-15	2017/18	RED			67	67	(2)	2	-	0	(67)	RED	Progress is being made at a very slow pace. The Service Level Agreement is has been sent to STC however they have asked to revisit plans. Head of Ops exploring options. Scheme will slip.
72517/7502	Hartham Pavilion Refurbishment - Replace public toilets, redevelop existing café area, create functional changing area for footballers & incorporate meeting/training room.	M. Kingsland & S. Whinnett	Dec-15	Mar-17	RED		1	58	59		91	91	95	36	RED	Additional S106 funding of £36k approved at Leadership Team to cover priced specification that came in above initial estimate. Contractor selected, works have commenced.
72522/7531	Play Area Grange Paddocks, B/S - Install new play area, to include new activity equipment & surfacing. New footpath & installation of new seating.	I. Sharratt	Mar-17	Feb-17	GREEN	95			95		81	81	95	-	GREEN	Officers carried out desktop assessment of project in June. Concept plans have been drawn up and the consultation with residents is underway. The consultation is complete & consultees have all been responded to. Some minor areas were modified. Contract has been awarded . Works are now due to start January 2017 with completion by end February. 2017.
72504/7531	Play equipment & infrastructure replacement	I. Sharratt	RP	RP		50			50			-	50	-	GREEN	A project is underway with CMS to design the Hartham Common & Beyond scheme part of which will be funded through this budget along with a range of play area and access improvements across the district to be finalised by the end of October 16 and delivered by March 17
72516/7531	Play Area, The Bourne, Ware (Phase 2) - Installation of a fitness & play facility for older children & open space access improvements.	I. Sharratt	Mar-16	Nov-16	RED			41	41	43	2	45	48	7	AMBER	All works are now completed satisfactorily. A final sign off meeting will be conducted by the end of October 16. Full payment has now been made, less 5% retention.
72508/7531	Hartham Common, Hertford - Preliminary works associated with the development of the major play site development project to be undertaken in 2016/17 in accordance with Hartham Common Development Plan	I. Sharratt	Mar-13	2017/18	RED	25			25			-	0	(25)	RED	This project is to be delayed & reviewed in 2017/18 pending decisions on plans for the leisure centre. The play area revamp is still an important improvement but may benefit from being considered as part of a larger project. A draft brief has been created & is ready to modify in line with any new objectives. Scheme will slip.
72521/7502	Open Space improvements Bishop's Park, B/S - Installation of a car park, footpath improvements & health/play facilities	I. Sharratt	Mar-17	Mar-17	GREEN	106			106			-	106	-	GREEN	Discussions are underway with County officers to explore Rights of Way further and opportunities for joined up approach with Safer Routes to School. The impact of access improvements on school routes and the technical element of negotiating the road across the park need to be established before consulting with the public. The Council's Health & Safety Officer has provided his feedback on the scheme. Preliminary designs have been considered and public engagement was delayed until October 16. Public consultation has now finished and tenders will be put together week commencing 12th December 2016. Project to be delivered by March 17.

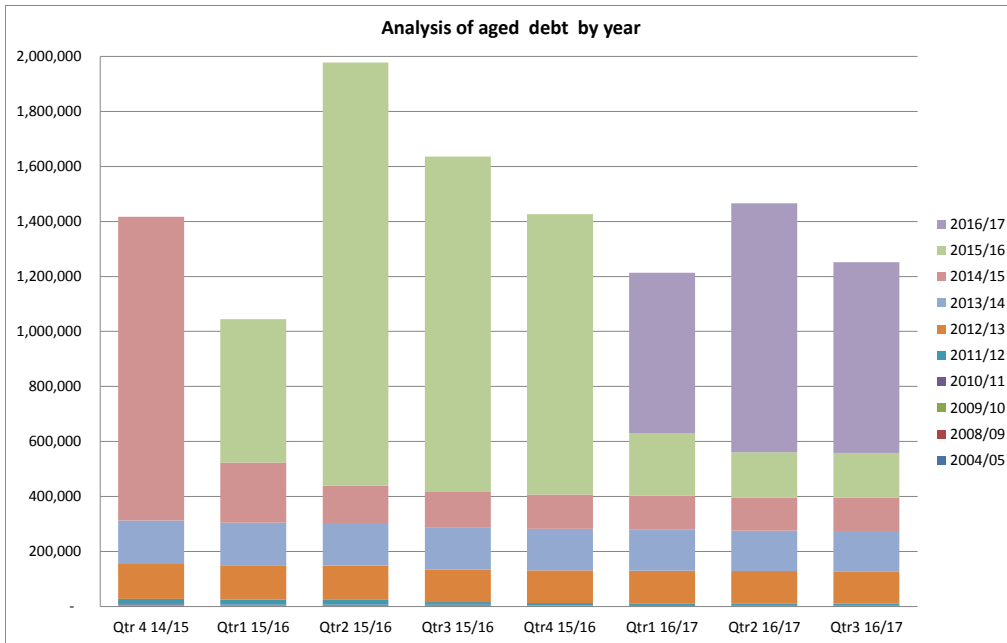
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						£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000		
72507/7531	Pishiobury Park, Sawbridgeworth - Wetland Habitat Project - improvements to boardwalk/paths permitting safe access to the wetland area of the park	I. Sharratt	Mar-13	Dec-16	RED		12		12			-	0	(12)	GREEN	Plans still temporarily on hold due to delays in completing agreement with current owners of the Osier Bed woodland. EHDC legal documents to secure the transfer have now been issued following agreement from the owners who are currently instructing their solicitors. Works were not possible over the summer due to bird nesting. EHDC now have the land on a long term lease. However significant consultation to take place around tree work to install the boardwalk. Therefore this will now slip to 2017/18.
72511/7531	Buryfield Recreation Ground, Ware - Installation of play area to encourage healthy activity for younger children	I. Sharratt		Oct-16	GREEN		3		3		3	3	3	-	GREEN	Retention only

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						£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000		
75168/752	Energy Efficiency & Carbon Reduction Measures - Installation of solar panels at Wallfields, Hertford	D. Thorogood/S. Whinnett	Mar-12	Nov-16	RED			45	45			-	45	-	GREEN	Potential contractors are being asked to provide revised costings and estimated FIT paybacks for the project (after revisions to government tariff payments). Assuming paybacks are satisfactory scheme start anticipated winter 2016.
72591/7502	Castle Weir Micro Hydro Scheme - To provide a small Hydro-electricity turbine in the river Lee at Hertford Weir. This is an invest to save project and will generate electricity providing power for Hertford Theatre and for sale to the Grid. The scheme is subject to a rigorous approval process by the Environment Agency for flood risk and protection of biodiversity.	D. Thorogood	Mar-12	2017/18	RED	201			201			-	0	(201)	RED	Currently in discussion with EA to agree with EA consultants the final operating protocols together with revised water flow data following improvement works and automation of the main weir gates, which impacts upon flood risk modelling for the hydro scheme. Once data confirmed this will allow revised modelling and paybacks to be completed and scheme to progress. Project completion currently anticipated early 2017/18 year.
74106/7531	Market Improvement Scheme	N. Kirby		2017/18	RED	23		21	44	2		2	2	(42)	RED	Options appraisal for markets going to Community Scrutiny March 2017, therefore, slip. Funds could support HUDS work potentially.
Total Head of Operations						1,030	49	246	1,325	150	191	341	1,021	(304)		
Head of Housing & Health																
72442/7601	Community Capital grants - to provide the right tools for people to get involved with projects that improve facilities such as green spaces or community buildings – inspiring ownership and pride.	C. Pullen	RP	RP	AMBER	120	(24)	41	137	54		54	92	(45)	AMBER	Of the 9 awards allocated in June 2016, 5 of those have now made a claim. Of the 28 awards made in 15/16, 21 have now claimed payment and others are expected in by the end of December. In the 2nd funding round, 11 organisations were awarded a grant. There is still funds remaining to be allocated so a 3rd deadline will be set. Note: spending this budget is always dependant on successful applicants being able to complete their project within the 1 year time frame or 6 months in case of a small capital grant. Still anticipate spending the all the budget but will chase successful applicants for status check on their project.
72685/7601	Future Social Housing Schemes	L. Harris				821			821			-	0	(821)	RED	No current commitments. First priority is to spend S106 sums which have been collected for affordable housing.
72685/7601	Ridgeway Scheme, Hertford (Network Homes)	L. Harris		Dec-16				500	500			-	250	(250)	RED	Grant to be paid to Network Homes - fully funded from S106 commuted sum. To build 120 new build properties which will all be affordable housing units, expecting payment to be made December when work on site commences. EHDC contributing to Phase 1, major project should be completed late 2018. 50% to be paid when work commences on site & 50% on completion. Invoice for £250k received for payment.
72686/7601	Gladstone Road, Ware (Network Homes)	L. Harris						77	77				38	(39)	RED	Grant to be paid to Network Homes - fully funded from S106 commuted sum. To build 10 affordable housing units. Scheme should be completed by early 2018. 50% to be paid when work commences on site & 50% on completion. Invoice for £38k received for payment.
Private Sector Improvement Grants																
72602/7601	Disabled Facilities (Govt funding of £530,136 rec'd for 16/17)	S. Winterburn	RP	RP		694			694	149		149	400	(294)	AMBER	Government funding through Better Care Fund has increased for 2016/17 to £530,136. This exceeds recent (though not historic) spend. Only £321K was spent on DFG in previous year. A county wide review of DFG services is underway, but is not expected to affect referral rates until next year. HCC's DHCS has confirmed that unspent BCF allocation can be carried forward to next year. Discussions underway to resolve OT waiting list, but currently expect max spend to be £400k. Current commitment (i.e., approved, unpaid grants) is £126k.
72605/7601	Disabled Facilities - Discretionary	S. Winterburn	RP	RP		100			100			-	50	(50)	RED	Current commitment on DDFG budget is only £31.6k. Unlikely to need more than £50k.
72606/7601	Decent Home Grants	S. Winterburn	RP	RP		150			150	12		12	100	(50)	AMBER	A few cases in pipeline. Current commitment +spend is £15k. Anticipate max spend of £100k.
72604/7601	Energy Grants	S. Winterburn	RP	RP		20		38	58			-	58	-	GREEN	Scope to expand range of measures was identified in energy strategy, to include higher cost measures enabling spend of budget.
71201/7513	Capital Salaries	P. Gregory	RP	RP		26			26			-	26	-	GREEN	

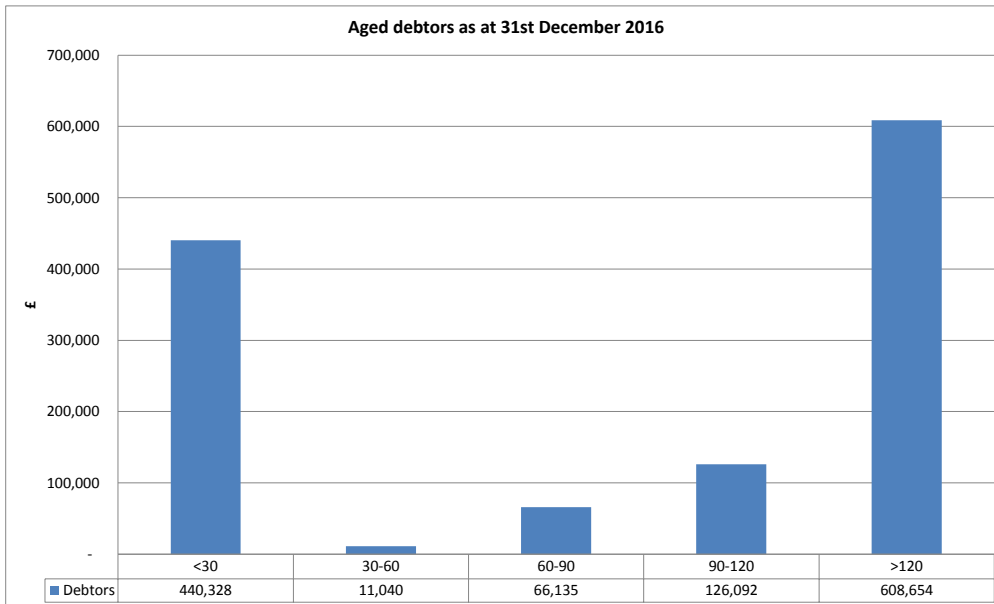
Exp Code	2016/17 Approved Schemes	Project Manager	Original Completion Date	Expected Completion Date	Project RAG Status	2016/17 Original Budget	2015/16 Slippage	2016/17 Amendments	2016/17 Revised Budget	2016/17 Actual to Date	2016/17 Commitment to Date	2016/17 Total to Date	2016/17 Forecast Outturn	Variance between Forecast Outturn & Revised Budget	Outturn RAG Status	COMMENTS
						£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000		
75160/7502	River & Watercourse Structures - Improve, maintain & renew structures along rivers and watercourses to alleviate possible flooding throughout the district.	G. Field	RP	RP		47	8		55	8	4	12	55	-	GREEN	Bridge surveys on East Herts owned bridges have now been completed. We are waiting for the Report and if remedial works are identified these will be carried out depending on priority & budget available. The new grille and headwall at a flood site in Bishops Stortford has now been installed and will be added to the monthly inspection & clearance programme. Quotes have been requested for flood modelling for a site in Ware to assess flood alleviation works required as part of a Surface Water Management Plan area (SWMP)
75172/7502	Air Quality Capital Grant Scheme - Subway improvement works in Hertford to include bespoke artwork & signage	G. Field					1		1	1		1	1	-	GREEN	Small underspend from 15/16 (from DEFRA Grant of £31,320), to be used to install information signage.
75163/7502	Land Management Programme - Land Management Asset Register & Associated Works	G. Field	RP	RP		50	(4)	18	64	25	13	38	64	-	GREEN	Works are ongoing. Many assets have been identified and surveyed with areas still to investigate. The data will be correlated and any remedial and/or major works that are identified will be carried out depending on priority & budget available. Some safety works have been identified and work carried out.
75163/7513	Land Management Programme - Land Management Asset Register & Associated Works. Capital Salaries	G. Field	RP	RP				8	8			-	8	-	GREEN	To fund 7 1/2 hour post until September 16. Contract extended to March 2017
75173/7531	Air Pollution Monitoring Equipment	G. Field	Feb-16	Jul-16	RED		20		20	20		20	20	-	GREEN	Fully funded from HCC Contribution
Total Housing & Health						2,028	1	682	2,711	269	17	286	1,162	(1,549)		
Head of Planning & Building Control																
74102/7601	Historic Building Grants - Enable grants to be offered to the owners of historic buildings to encourage their maintenance and upkeep.	K. Steptoe	RP	RP		92	(1)	(23)	68	54		54	68	-	GREEN	Claimants have 6 months from grant offer date to complete works. Maximum payment now £2,000. However, if a grant is approved for a property on the Buildings at Risk Register, maximum payment will be £10,000.
Head of Communications, Strategy & Policy																
71252/7531	Device Responsive Template - Revised website templates including new navigation, enhanced accessibility and device responsiveness	A. McWilliams	Not known	Oct-16	AMBER	20			20		9	9	13	(7)	AMBER	Negotiated delivery of new templates for public website to be bundled with existing project for delivery of new Intranet Templates – expected saving of at least £7,000
74105/7601	Environmental Enhancements to East Herts town centres	P. Pullin	Not known	Mar-17	RED			28	28			-	28	-	GREEN	This scheme was expected to complete last year but there have been delays in the delivery of the Tudor Square project by Ware Town Council. Town Council have given reassurances that the scheme will be delivered this year.
Total Communications, Strategy & Policy						20	0	28	48	0	9	9	41	(7)		
Director																
72523/7502	Watton-at-Stone Parish Council - New Tennis Courts	A. Taylor							-			-	38	38	GREEN	Fully funded from S106 as agreed at CMT 9.2.16
72524/7502	Bishops Stortford Town Council - path works on Sworders Field	A. Taylor							-	29		29	29	29	GREEN	Fully funded from S106 as agreed in May 2014

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The following graph shows the Council's aged debt by year that the debt was raised. This position is shown for the most recent period and the preceding 7 periods. The debt outstanding as at 31st December 2016 is £1.3m




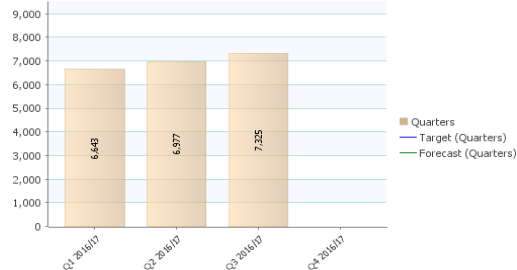

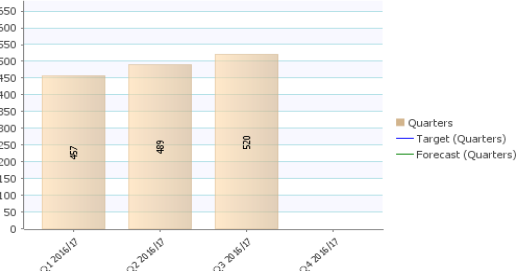

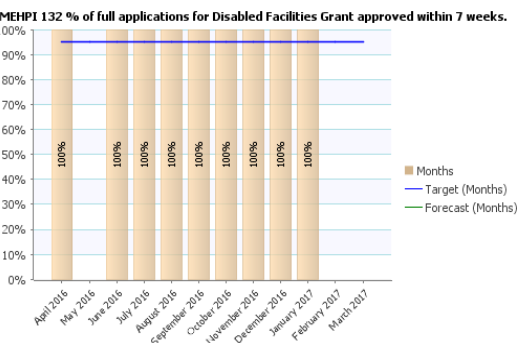
The following graph shows the age of the £1.5m of debts outstanding as at 31st December 2016.



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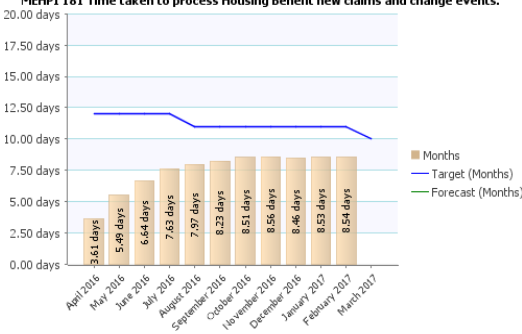

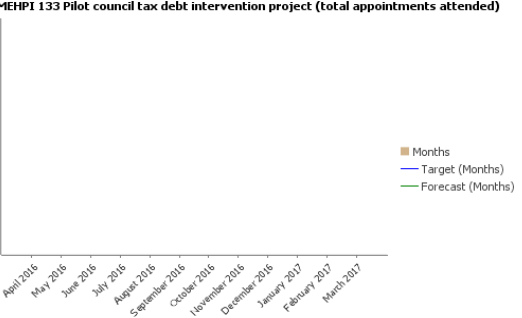
Essential Reference Paper E: Q3 Leadership Team, Exec & CBS Quarterly report

PI Code & Name	Status	Q3 Value	Target	Movement since last update	Performance Data Trend Chart	Notes & History Latest Note																										
Service Area Communications, Strategy and Policy. Priority 1: Improve the health & wellbeing of our communities																																
MEHPI 5.13a % Good Satisfaction (GovMetric) - Face to Face.		83%	80%	↓	<table border="1"> <caption>MEHPI 5.13a % Good Satisfaction (GovMetric) - Face to Face</caption> <thead> <tr> <th>Month</th> <th>Value (%)</th> </tr> </thead> <tbody> <tr><td>April 2015</td><td>81%</td></tr> <tr><td>May 2015</td><td>82%</td></tr> <tr><td>June 2015</td><td>91%</td></tr> <tr><td>July 2015</td><td>84%</td></tr> <tr><td>August 2015</td><td>80%</td></tr> <tr><td>September 2015</td><td>85%</td></tr> <tr><td>October 2015</td><td>87%</td></tr> <tr><td>November 2015</td><td>87%</td></tr> <tr><td>December 2015</td><td>83%</td></tr> <tr><td>January 2016</td><td>87%</td></tr> <tr><td>February 2016</td><td>87%</td></tr> <tr><td>March 2016</td><td>87%</td></tr> </tbody> </table>	Month	Value (%)	April 2015	81%	May 2015	82%	June 2015	91%	July 2015	84%	August 2015	80%	September 2015	85%	October 2015	87%	November 2015	87%	December 2015	83%	January 2016	87%	February 2016	87%	March 2016	87%	83% or 130 people gave a 'Good' score with F2F. 6% gave a medium while 11% gave a poor score. 157 people in total rated during this month.
Month	Value (%)																															
April 2015	81%																															
May 2015	82%																															
June 2015	91%																															
July 2015	84%																															
August 2015	80%																															
September 2015	85%																															
October 2015	87%																															
November 2015	87%																															
December 2015	83%																															
January 2016	87%																															
February 2016	87%																															
March 2016	87%																															
MEHPI 5.13b % Good Satisfaction (GovMetric) - Telephone.	?	N/A	90%	n/a	<table border="1"> <caption>MEHPI 5.13b % Good Satisfaction (GovMetric) - Telephone</caption> <thead> <tr> <th>Month</th> <th>Value (%)</th> </tr> </thead> <tbody> <tr><td>April 2015</td><td>100%</td></tr> <tr><td>May 2015</td><td>100%</td></tr> <tr><td>June 2015</td><td>100%</td></tr> <tr><td>July 2015</td><td>100%</td></tr> <tr><td>August 2015</td><td>100%</td></tr> <tr><td>September 2015</td><td>100%</td></tr> <tr><td>October 2015</td><td>100%</td></tr> <tr><td>November 2015</td><td>100%</td></tr> <tr><td>December 2015</td><td>100%</td></tr> <tr><td>January 2016</td><td>100%</td></tr> <tr><td>February 2016</td><td>100%</td></tr> <tr><td>March 2016</td><td>100%</td></tr> </tbody> </table>	Month	Value (%)	April 2015	100%	May 2015	100%	June 2015	100%	July 2015	100%	August 2015	100%	September 2015	100%	October 2015	100%	November 2015	100%	December 2015	100%	January 2016	100%	February 2016	100%	March 2016	100%	There were no records received during this month. This PI and its collection needs to be reviewed to ensure we are enticing customers to take time out to rate their experience.
Month	Value (%)																															
April 2015	100%																															
May 2015	100%																															
June 2015	100%																															
July 2015	100%																															
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January 2016	100%																															
February 2016	100%																															
March 2016	100%																															
MEHPI 5.13c % Good Satisfaction (GovMetric) - Website.		26%	35%	↓	<table border="1"> <caption>MEHPI 5.13c % Good Satisfaction (GovMetric) - Website</caption> <thead> <tr> <th>Month</th> <th>Value (%)</th> </tr> </thead> <tbody> <tr><td>April 2015</td><td>27%</td></tr> <tr><td>May 2015</td><td>36%</td></tr> <tr><td>June 2015</td><td>33%</td></tr> <tr><td>July 2015</td><td>24%</td></tr> <tr><td>August 2015</td><td>33%</td></tr> <tr><td>September 2015</td><td>28%</td></tr> <tr><td>October 2015</td><td>29%</td></tr> <tr><td>November 2015</td><td>34%</td></tr> <tr><td>December 2015</td><td>26%</td></tr> <tr><td>January 2016</td><td>31%</td></tr> <tr><td>February 2016</td><td>31%</td></tr> <tr><td>March 2016</td><td>31%</td></tr> </tbody> </table>	Month	Value (%)	April 2015	27%	May 2015	36%	June 2015	33%	July 2015	24%	August 2015	33%	September 2015	28%	October 2015	29%	November 2015	34%	December 2015	26%	January 2016	31%	February 2016	31%	March 2016	31%	As with most months throughout its collection, satisfaction remains very low. There are major improvements planned for the internet going forward which will hopefully improve the user experience
Month	Value (%)																															
April 2015	27%																															
May 2015	36%																															
June 2015	33%																															
July 2015	24%																															
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February 2016	31%																															
March 2016	31%																															

Essential Reference Paper E: Q3 Leadership Team, Exec & CBS Quarterly report						
PI Code & Name	Status	Q3 Value	Target	Movement since last update	Performance Data Trend Chart	Notes & History Latest Note
QEHPI 5.12a Number of Twitter followers	Trend only	7,325	none set		<p>QEHPI 5.12a Number of Twitter followers</p> 	The Number of Twitter followers rose a further 348 followers in the last quarter to 7,325
QEHPI 5.12b Number of Facebook followers (Facebook likes).	Trend only	520	none set		<p>QEHPI 5.12b Number of Facebook followers (facebook likes).</p> 	The number of people following or 'liking us' on Facebook rose a further 31 in the Q3 period. As Twitter is currently the most prominently used social method tool the Council uses, this small increase is of no great surprise
Service Area Health and Housing - Priority 1: Improve the health & wellbeing of our communities						
MEHPI 132 % of full applications for Disabled Facilities Grant approved within 7 weeks.		100%	95%		<p>MEHPI 132 % of full applications for Disabled Facilities Grant approved within 7 weeks.</p> 	December 2016 - Target exceeded. 100% of housing grant applications processed within target times. This represents 28 approved in target times since April 2016.

Essential Reference Paper E: Q3 Leadership Team, Exec & CBS Quarterly report

PI Code & Name	Status	Q3 Value	Target	Movement since last update	Performance Data Trend Chart	Notes & History Latest Note								
QEHPI 151 Number of homeless households living in temporary accommodation at the end of the quarter.	Trend only	10	none set	↓	<p>QEHPI 151 Number of homeless households living in temporary accommodation at the end of the quarter.</p> <table border="1"> <caption>QEHPI 151 Data</caption> <thead> <tr> <th>Quarter</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td>Q1-2016/17</td> <td>13</td> </tr> <tr> <td>Q2-2016/17</td> <td>13</td> </tr> <tr> <td>Q3-2016/17</td> <td>10</td> </tr> </tbody> </table>	Quarter	Value	Q1-2016/17	13	Q2-2016/17	13	Q3-2016/17	10	<p>At end of December 2016 there were 10 households in temporary accommodation. The council owned temporary accommodation (hostel) were occupied with 6 households. No households were in B&B. Two households were in temporary supported accommodation due to mental health issues and two were in longer-term private sector leased accommodation.</p> <p>This is a low number of households in temporary accommodation and reflects the low number of homeless presentations in December and the increased rehousing opportunities from the 110 new affordable homes developed since April 2016.</p>
Quarter	Value													
Q1-2016/17	13													
Q2-2016/17	13													
Q3-2016/17	10													
QEHPI 150 Number of prevented homeless applications		96	50	↑	<p>QEHPI 150 Number of prevented homeless applications</p> <table border="1"> <caption>QEHPI 150 Data</caption> <thead> <tr> <th>Quarter</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td>Q1-2016/17</td> <td>63</td> </tr> <tr> <td>Q2-2016/17</td> <td>50</td> </tr> <tr> <td>Q3-2016/17</td> <td>96</td> </tr> </tbody> </table>	Quarter	Value	Q1-2016/17	63	Q2-2016/17	50	Q3-2016/17	96	<p>The council prevented 96 households from becoming homeless by the provision of advice to relieve homelessness or securing alternative accommodation through the housing register, supported accommodation or actively assisting the household secure accommodation in the private rented sector. The cumulative number of preventions since April 2016 is 207 households.</p>
Quarter	Value													
Q1-2016/17	63													
Q2-2016/17	50													
Q3-2016/17	96													
<p>Service Area Revenues and Benefits - Priority 1: Improve the health & wellbeing of our communities</p>														

Essential Reference Paper E: Q3 Leadership Team, Exec & CBS Quarterly report																																
PI Code & Name	Status	Q3 Value	Target	Movement since last update	Performance Data Trend Chart	Notes & History Latest Note																										
MEHPI 181 Time taken to process Housing Benefit new claims and change events.		8.56 days	11.00 days		<p>MEHPI 181 Time taken to process Housing Benefit new claims and change events.</p>  <table border="1"> <caption>MEHPI 181 Time taken to process Housing Benefit new claims and change events (Days)</caption> <thead> <tr> <th>Month</th> <th>Value (Days)</th> </tr> </thead> <tbody> <tr><td>April 2016</td><td>5.81</td></tr> <tr><td>May 2016</td><td>5.49</td></tr> <tr><td>June 2016</td><td>6.44</td></tr> <tr><td>July 2016</td><td>7.63</td></tr> <tr><td>August 2016</td><td>7.97</td></tr> <tr><td>September 2016</td><td>8.22</td></tr> <tr><td>October 2016</td><td>8.51</td></tr> <tr><td>November 2016</td><td>8.56</td></tr> <tr><td>December 2016</td><td>8.46</td></tr> <tr><td>January 2017</td><td>8.53</td></tr> <tr><td>February 2017</td><td>8.54</td></tr> <tr><td>March 2017</td><td>8.54</td></tr> </tbody> </table>	Month	Value (Days)	April 2016	5.81	May 2016	5.49	June 2016	6.44	July 2016	7.63	August 2016	7.97	September 2016	8.22	October 2016	8.51	November 2016	8.56	December 2016	8.46	January 2017	8.53	February 2017	8.54	March 2017	8.54	
Month	Value (Days)																															
April 2016	5.81																															
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December 2016	8.46																															
January 2017	8.53																															
February 2017	8.54																															
March 2017	8.54																															
MEHPI 133 Pilot council tax debt intervention project (total appointments attended)	Trend only	4	none set		<p>MEHPI 133 Pilot council tax debt intervention project (total appointments attended)</p> 	Project has now ended																										

Service Area Operations **Priority 2: Enhance the quality of people's lives**


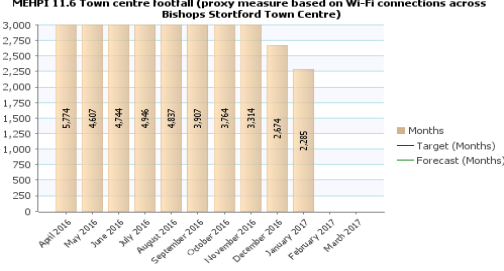

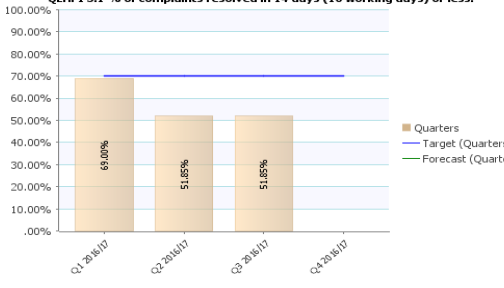
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PI Code & Name	Status	Q3 Value	Target	Movement since last update	Performance Data Trend Chart	Notes & History Latest Note																										
QEHPI 2.4 Fly-tips: removal.		1.45 days	2.00 days	↓	<p>QEHPI 2.4 Fly-tips: Time taken for removal.</p> <table border="1"> <caption>QEHPI 2.4 Fly-tips: Time taken for removal (Days)</caption> <thead> <tr> <th>Quarter</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td>Q1 2016/17</td> <td>1.88</td> </tr> <tr> <td>Q2 2016/17</td> <td>1.55</td> </tr> <tr> <td>Q3 2016/17</td> <td>1.45</td> </tr> <tr> <td>Q4 2016/17</td> <td>-</td> </tr> </tbody> </table>	Quarter	Value	Q1 2016/17	1.88	Q2 2016/17	1.55	Q3 2016/17	1.45	Q4 2016/17	-	Q3 performance continues to be well within target even though the number of fly tips removed is greater than for the same period last year (Fly tips removed Q1-Q3, 841 in 2016/17 compared to 708 in 2015/16)																
Quarter	Value																															
Q1 2016/17	1.88																															
Q2 2016/17	1.55																															
Q3 2016/17	1.45																															
Q4 2016/17	-																															
MEHPI 2.2 Waste: missed collections per 100,000 collections of household		29.59	30	↑	<p>MEHPI 2.2 Waste: missed collections per 100,000 collections of household.</p> <table border="1"> <caption>MEHPI 2.2 Waste: missed collections per 100,000 collections of household</caption> <thead> <tr> <th>Month</th> <th>Value</th> </tr> </thead> <tbody> <tr><td>April 2016</td><td>26.02</td></tr> <tr><td>May 2016</td><td>27.02</td></tr> <tr><td>June 2016</td><td>22.02</td></tr> <tr><td>July 2016</td><td>26.06</td></tr> <tr><td>August 2016</td><td>24.82</td></tr> <tr><td>September 2016</td><td>26.05</td></tr> <tr><td>October 2016</td><td>34.64</td></tr> <tr><td>November 2016</td><td>24.78</td></tr> <tr><td>December 2016</td><td>29.59</td></tr> <tr><td>January 2017</td><td>36.67</td></tr> <tr><td>February 2017</td><td>23.17</td></tr> <tr><td>March 2017</td><td>-</td></tr> </tbody> </table>	Month	Value	April 2016	26.02	May 2016	27.02	June 2016	22.02	July 2016	26.06	August 2016	24.82	September 2016	26.05	October 2016	34.64	November 2016	24.78	December 2016	29.59	January 2017	36.67	February 2017	23.17	March 2017	-	Although the missed collection rate remains under target we are disappointed that its has not fallen as expected for this time of year. This is a result of the changes in rounds settling down.
Month	Value																															
April 2016	26.02																															
May 2016	27.02																															
June 2016	22.02																															
July 2016	26.06																															
August 2016	24.82																															
September 2016	26.05																															
October 2016	34.64																															
November 2016	24.78																															
December 2016	29.59																															
January 2017	36.67																															
February 2017	23.17																															
March 2017	-																															
MEHPI 191 Cumulative Annual Residual household waste per household.	Trend only	328kg	none set	N/A	<p>MEHPI 191 Residual household waste per household.</p> <table border="1"> <caption>MEHPI 191 Residual household waste per household (kg)</caption> <thead> <tr> <th>Month</th> <th>Value</th> </tr> </thead> <tbody> <tr><td>April 2016</td><td>4</td></tr> <tr><td>May 2016</td><td>78</td></tr> <tr><td>June 2016</td><td>112</td></tr> <tr><td>July 2016</td><td>147</td></tr> <tr><td>August 2016</td><td>179</td></tr> <tr><td>September 2016</td><td>220</td></tr> <tr><td>October 2016</td><td>254</td></tr> <tr><td>November 2016</td><td>295</td></tr> <tr><td>December 2016</td><td>328</td></tr> <tr><td>January 2017</td><td>328</td></tr> <tr><td>February 2017</td><td>368</td></tr> <tr><td>March 2017</td><td>-</td></tr> </tbody> </table>	Month	Value	April 2016	4	May 2016	78	June 2016	112	July 2016	147	August 2016	179	September 2016	220	October 2016	254	November 2016	295	December 2016	328	January 2017	328	February 2017	368	March 2017	-	Residual waste continues to be less than the same period last year December (349kg) which has a positive effect on the recycling rate.
Month	Value																															
April 2016	4																															
May 2016	78																															
June 2016	112																															
July 2016	147																															
August 2016	179																															
September 2016	220																															
October 2016	254																															
November 2016	295																															
December 2016	328																															
January 2017	328																															
February 2017	368																															
March 2017	-																															


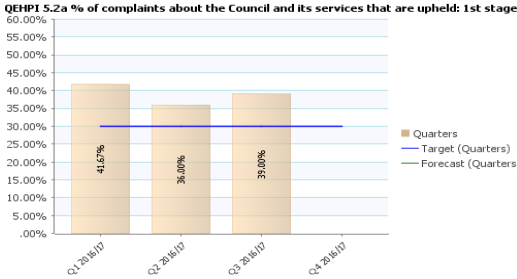
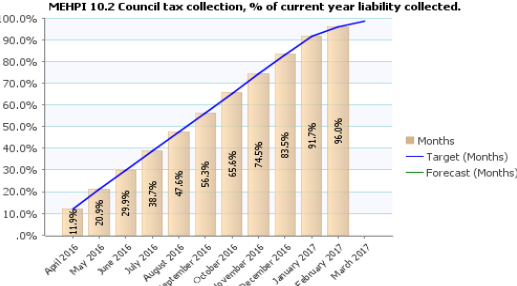
Essential Reference Paper E: Q3 Leadership Team, Exec & CBS Quarterly report																																
PI Code & Name	Status	Q3 Value	Target	Movement since last update	Performance Data Trend Chart	Notes & History Latest Note																										
MEHPI 192 % of household waste sent for reuse, recycling and composting.	Trend only	53.46%	none set	↑	<p>MEHPI 192 % of household waste sent for reuse, recycling and composting.</p> <table border="1"> <caption>MEHPI 192 % of household waste sent for reuse, recycling and composting</caption> <thead> <tr> <th>Month</th> <th>Value (%)</th> </tr> </thead> <tbody> <tr><td>April 2016</td><td>50.0%</td></tr> <tr><td>May 2016</td><td>52.62%</td></tr> <tr><td>June 2016</td><td>54.17%</td></tr> <tr><td>July 2016</td><td>55.68%</td></tr> <tr><td>August 2016</td><td>55.11%</td></tr> <tr><td>September 2016</td><td>55.40%</td></tr> <tr><td>October 2016</td><td>51.25%</td></tr> <tr><td>November 2016</td><td>53.02%</td></tr> <tr><td>December 2016</td><td>53.46%</td></tr> <tr><td>January 2017</td><td>53.46%</td></tr> <tr><td>February 2017</td><td>53.46%</td></tr> <tr><td>March 2017</td><td>52.97%</td></tr> </tbody> </table>	Month	Value (%)	April 2016	50.0%	May 2016	52.62%	June 2016	54.17%	July 2016	55.68%	August 2016	55.11%	September 2016	55.40%	October 2016	51.25%	November 2016	53.02%	December 2016	53.46%	January 2017	53.46%	February 2017	53.46%	March 2017	52.97%	December levels show a value of 53.46%. Despite the decreased organic waste tonnage the recycling rate is still in the 50's which indications we should see the annual figure remaining above 50%
Month	Value (%)																															
April 2016	50.0%																															
May 2016	52.62%																															
June 2016	54.17%																															
July 2016	55.68%																															
August 2016	55.11%																															
September 2016	55.40%																															
October 2016	51.25%																															
November 2016	53.02%																															
December 2016	53.46%																															
January 2017	53.46%																															
February 2017	53.46%																															
March 2017	52.97%																															
Service Area Planning and Building Control <input type="checkbox"/> Priority 2: Enable a flourishing local economy																																
MEHPI 157a % Processing of planning applications dealt with in timely manner - Major applications.		75.00%	60.00%	↓	<p>MEHPI 157a % Processing of planning applications dealt with in timely manner - Major applications.</p> <table border="1"> <caption>MEHPI 157a % Processing of planning applications dealt with in timely manner - Major applications</caption> <thead> <tr> <th>Month</th> <th>Value (%)</th> </tr> </thead> <tbody> <tr><td>April 2016</td><td>100.00%</td></tr> <tr><td>May 2016</td><td>100.00%</td></tr> <tr><td>June 2016</td><td>100.00%</td></tr> <tr><td>July 2016</td><td>92.00%</td></tr> <tr><td>August 2016</td><td>100.00%</td></tr> <tr><td>September 2016</td><td>78.00%</td></tr> <tr><td>October 2016</td><td>100.00%</td></tr> <tr><td>November 2016</td><td>100.00%</td></tr> <tr><td>December 2016</td><td>75.00%</td></tr> <tr><td>January 2017</td><td>75.00%</td></tr> <tr><td>February 2017</td><td>100.00%</td></tr> <tr><td>March 2017</td><td>100.00%</td></tr> </tbody> </table>	Month	Value (%)	April 2016	100.00%	May 2016	100.00%	June 2016	100.00%	July 2016	92.00%	August 2016	100.00%	September 2016	78.00%	October 2016	100.00%	November 2016	100.00%	December 2016	75.00%	January 2017	75.00%	February 2017	100.00%	March 2017	100.00%	3 out of 4
Month	Value (%)																															
April 2016	100.00%																															
May 2016	100.00%																															
June 2016	100.00%																															
July 2016	92.00%																															
August 2016	100.00%																															
September 2016	78.00%																															
October 2016	100.00%																															
November 2016	100.00%																															
December 2016	75.00%																															
January 2017	75.00%																															
February 2017	100.00%																															
March 2017	100.00%																															
MEHPI 157b % Processing of planning applications dealt with in timely manner- Minor applications.		94.00%	80.00%	↑	<p>MEHPI 157b % Processing of planning applications dealt with in timely manner- Minor applications.</p> <table border="1"> <caption>MEHPI 157b % Processing of planning applications dealt with in timely manner- Minor applications</caption> <thead> <tr> <th>Month</th> <th>Value (%)</th> </tr> </thead> <tbody> <tr><td>April 2016</td><td>95.00%</td></tr> <tr><td>May 2016</td><td>93.00%</td></tr> <tr><td>June 2016</td><td>92.00%</td></tr> <tr><td>July 2016</td><td>93.00%</td></tr> <tr><td>August 2016</td><td>93.00%</td></tr> <tr><td>September 2016</td><td>95.00%</td></tr> <tr><td>October 2016</td><td>100.00%</td></tr> <tr><td>November 2016</td><td>88.00%</td></tr> <tr><td>December 2016</td><td>94.00%</td></tr> <tr><td>January 2017</td><td>95.00%</td></tr> <tr><td>February 2017</td><td>95.00%</td></tr> <tr><td>March 2017</td><td>82.00%</td></tr> </tbody> </table>	Month	Value (%)	April 2016	95.00%	May 2016	93.00%	June 2016	92.00%	July 2016	93.00%	August 2016	93.00%	September 2016	95.00%	October 2016	100.00%	November 2016	88.00%	December 2016	94.00%	January 2017	95.00%	February 2017	95.00%	March 2017	82.00%	30 out of 32
Month	Value (%)																															
April 2016	95.00%																															
May 2016	93.00%																															
June 2016	92.00%																															
July 2016	93.00%																															
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PI Code & Name	Status	Q3 Value	Target	Movement since last update	Performance Data Trend Chart	Notes & History Latest Note																										
MEHPI 157c % Processing of planning applications dealt with in timely manner- Other applications.		95.00%	90.00%	↓	<p>MEHPI 157c % Processing of planning applications dealt with in timely manner- Other applications.</p> <table border="1"> <caption>MEHPI 157c % Data</caption> <thead> <tr><th>Month</th><th>Value</th></tr> </thead> <tbody> <tr><td>April 2016</td><td>96.00%</td></tr> <tr><td>May 2016</td><td>96.00%</td></tr> <tr><td>June 2016</td><td>96.00%</td></tr> <tr><td>July 2016</td><td>97.00%</td></tr> <tr><td>August 2016</td><td>94.00%</td></tr> <tr><td>September 2016</td><td>95.00%</td></tr> <tr><td>October 2016</td><td>88.00%</td></tr> <tr><td>November 2016</td><td>96.00%</td></tr> <tr><td>December 2016</td><td>95.00%</td></tr> <tr><td>January 2017</td><td>91.00%</td></tr> <tr><td>February 2017</td><td>91.00%</td></tr> <tr><td>March 2017</td><td>85.00%</td></tr> </tbody> </table>	Month	Value	April 2016	96.00%	May 2016	96.00%	June 2016	96.00%	July 2016	97.00%	August 2016	94.00%	September 2016	95.00%	October 2016	88.00%	November 2016	96.00%	December 2016	95.00%	January 2017	91.00%	February 2017	91.00%	March 2017	85.00%	113 out of 119
Month	Value																															
April 2016	96.00%																															
May 2016	96.00%																															
June 2016	96.00%																															
July 2016	97.00%																															
August 2016	94.00%																															
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December 2016	95.00%																															
January 2017	91.00%																															
February 2017	91.00%																															
March 2017	85.00%																															
MEHPI 205 % of site visits undertaken in relation to urgent cases within 2 workings days of 'start date'.		100%	100%	↔	<p>MEHPI 205 % of site visits undertaken in relation to urgent cases within 2 workings days of 'start date'.</p> <table border="1"> <caption>MEHPI 205 % Data</caption> <thead> <tr><th>Year</th><th>Value</th></tr> </thead> <tbody> <tr><td>2016/17</td><td>100%</td></tr> </tbody> </table>	Year	Value	2016/17	100%	1 out of 1																						
Year	Value																															
2016/17	100%																															
Service Area Governance and Risk Management ☐ Priority 3: Enable a flourishing local economy																																
MEHPI 8 % of invoices paid on time.		99.68%	98.50%	↓	<p>MEHPI 8 % of invoices paid on time.</p> <table border="1"> <caption>MEHPI 8 % Data</caption> <thead> <tr><th>Month</th><th>Value</th></tr> </thead> <tbody> <tr><td>April 2016</td><td>98.12%</td></tr> <tr><td>May 2016</td><td>98.33%</td></tr> <tr><td>June 2016</td><td>98.29%</td></tr> <tr><td>July 2016</td><td>99.18%</td></tr> <tr><td>August 2016</td><td>99.31%</td></tr> <tr><td>September 2016</td><td>98.42%</td></tr> <tr><td>October 2016</td><td>97.50%</td></tr> <tr><td>November 2016</td><td>99.68%</td></tr> <tr><td>December 2016</td><td>98.53%</td></tr> <tr><td>January 2017</td><td>99.29%</td></tr> <tr><td>February 2017</td><td>99.29%</td></tr> <tr><td>March 2017</td><td>99.03%</td></tr> </tbody> </table>	Month	Value	April 2016	98.12%	May 2016	98.33%	June 2016	98.29%	July 2016	99.18%	August 2016	99.31%	September 2016	98.42%	October 2016	97.50%	November 2016	99.68%	December 2016	98.53%	January 2017	99.29%	February 2017	99.29%	March 2017	99.03%	Target reached and exceeded
Month	Value																															
April 2016	98.12%																															
May 2016	98.33%																															
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July 2016	99.18%																															
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September 2016	98.42%																															
October 2016	97.50%																															
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December 2016	98.53%																															
January 2017	99.29%																															
February 2017	99.29%																															
March 2017	99.03%																															
Service Area Communications, Strategy and Policy ☐- Priority 3: Enable a flourishing local economy																																

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PI Code & Name	Status	Q3 Value	Target	Movement since last update	Performance Data Trend Chart	Notes & History Latest Note																										
MEHPI 11.6 Town centre footfall (proxy measure based on Wi-Fi connections on market days).	Trend only	3,764	none set		<p>MEHPI 11.6 Town centre footfall (proxy measure based on Wi-Fi connections across Bishops Stortford Town Centre)</p>  <table border="1"> <caption>MEHPI 11.6 Town centre footfall (proxy measure based on Wi-Fi connections across Bishops Stortford Town Centre)</caption> <thead> <tr> <th>Month</th> <th>Value</th> </tr> </thead> <tbody> <tr><td>April 2016</td><td>5,774</td></tr> <tr><td>May 2016</td><td>4,667</td></tr> <tr><td>June 2016</td><td>4,744</td></tr> <tr><td>July 2016</td><td>4,946</td></tr> <tr><td>August 2016</td><td>4,837</td></tr> <tr><td>September 2016</td><td>5,307</td></tr> <tr><td>October 2016</td><td>3,764</td></tr> <tr><td>November 2016</td><td>3,314</td></tr> <tr><td>December 2016</td><td>2,674</td></tr> <tr><td>January 2017</td><td>2,285</td></tr> <tr><td>February 2017</td><td>2,285</td></tr> <tr><td>March 2017</td><td>-</td></tr> </tbody> </table>	Month	Value	April 2016	5,774	May 2016	4,667	June 2016	4,744	July 2016	4,946	August 2016	4,837	September 2016	5,307	October 2016	3,764	November 2016	3,314	December 2016	2,674	January 2017	2,285	February 2017	2,285	March 2017	-	<p>There were 2,674 distinct Clients for the December period with an average of 229 clients daily. This was a big drop in the previous month but this reflected the public holidays and days where many shops were shut</p>
Month	Value																															
April 2016	5,774																															
May 2016	4,667																															
June 2016	4,744																															
July 2016	4,946																															
August 2016	4,837																															
September 2016	5,307																															
October 2016	3,764																															
November 2016	3,314																															
December 2016	2,674																															
January 2017	2,285																															
February 2017	2,285																															
March 2017	-																															
Supporting these Priorities: Service Area Communications Strategy and Policy.																																
QEHP1 5.1 % of complaints resolved in 14 days (10 working days) or less.		51.85%	70.00%		<p>QEHP1 5.1 % of complaints resolved in 14 days (10 working days) or less.</p>  <table border="1"> <caption>QEHP1 5.1 % of complaints resolved in 14 days (10 working days) or less.</caption> <thead> <tr> <th>Quarter</th> <th>Value</th> </tr> </thead> <tbody> <tr><td>Q1 2016/17</td><td>69.00%</td></tr> <tr><td>Q2 2016/17</td><td>51.85%</td></tr> <tr><td>Q3 2016/17</td><td>51.85%</td></tr> <tr><td>Q4 2016/17</td><td>51.85%</td></tr> </tbody> </table>	Quarter	Value	Q1 2016/17	69.00%	Q2 2016/17	51.85%	Q3 2016/17	51.85%	Q4 2016/17	51.85%	<p>14 out of 27 complaints were dealt with within 14 days/ 10 working days with Q3. Performance has been below target since the start of this year which is a concern. This has been raised at the council's leadership team and weekly reports on open complaints are being sent to all heads of service to ensure they are being dealt with in a timely manner. We hope to see an improvement in performance in Q4.</p>																
Quarter	Value																															
Q1 2016/17	69.00%																															
Q2 2016/17	51.85%																															
Q3 2016/17	51.85%																															
Q4 2016/17	51.85%																															

Essential Reference Paper E: Q3 Leadership Team, Exec & CBS Quarterly report

PI Code & Name	Status	Q3 Value	Target	Movement since last update	Performance Data Trend Chart	Notes & History Latest Note																												
QEHP1 5.2a % of complaints about the Council and its services that are upheld: 1st stage		39.00%	30.00%		<p>QEHP1 5.2a % of complaints about the Council and its services that are upheld: 1st stage</p>  <table border="1"> <caption>QEHP1 5.2a % of complaints about the Council and its services that are upheld: 1st stage</caption> <thead> <tr> <th>Quarter</th> <th>Value (%)</th> </tr> </thead> <tbody> <tr> <td>Q1-2016/17</td> <td>41.5%</td> </tr> <tr> <td>Q2-2016/17</td> <td>36.0%</td> </tr> <tr> <td>Q3-2016/17</td> <td>39.0%</td> </tr> <tr> <td>Target (Quarters)</td> <td>30.0%</td> </tr> </tbody> </table>	Quarter	Value (%)	Q1-2016/17	41.5%	Q2-2016/17	36.0%	Q3-2016/17	39.0%	Target (Quarters)	30.0%	<p>7 out of 18 complaints were upheld at stage 1 in Q3. 4 of the 7 related to missed bin collections which were always investigated in collaboration with the contractor. Performance on missed bin collections (EHPI 2.2) seldom falls over our set target of 30 per 100,000 households. One of the 7 related to a member of agency staff who was found to be rude towards a resident in the District. The other two related to a planning complaint and a Council Tax dispute. As per the above, performance has been below target since the start of this year which is a concern. This has been raised at the council's leadership team and weekly reports on open complaints are being sent to all heads of service to ensure they are being dealt with appropriately and to ensure we are learning from complaints where the council was at fault. We hope to see an improvement in Q4 of this year.</p>																		
Quarter	Value (%)																																	
Q1-2016/17	41.5%																																	
Q2-2016/17	36.0%																																	
Q3-2016/17	39.0%																																	
Target (Quarters)	30.0%																																	
Supporting these Priorities: Service Area Revenues & Benefits																																		
MEHPI 10.2 Council tax collection, % of current year liability collected.		83.50%	83.00%	N/A	<p>MEHPI 10.2 Council tax collection, % of current year liability collected.</p>  <table border="1"> <caption>MEHPI 10.2 Council tax collection, % of current year liability collected.</caption> <thead> <tr> <th>Month</th> <th>Value (%)</th> </tr> </thead> <tbody> <tr><td>April 2016</td><td>11.9%</td></tr> <tr><td>May 2016</td><td>20.0%</td></tr> <tr><td>June 2016</td><td>29.9%</td></tr> <tr><td>July 2016</td><td>38.7%</td></tr> <tr><td>August 2016</td><td>47.6%</td></tr> <tr><td>September 2016</td><td>56.3%</td></tr> <tr><td>October 2016</td><td>65.6%</td></tr> <tr><td>November 2016</td><td>74.5%</td></tr> <tr><td>December 2016</td><td>83.5%</td></tr> <tr><td>January 2017</td><td>91.7%</td></tr> <tr><td>February 2017</td><td>94.0%</td></tr> <tr><td>March 2017</td><td>96.0%</td></tr> <tr><td>Target (Months)</td><td>83.0%</td></tr> </tbody> </table>	Month	Value (%)	April 2016	11.9%	May 2016	20.0%	June 2016	29.9%	July 2016	38.7%	August 2016	47.6%	September 2016	56.3%	October 2016	65.6%	November 2016	74.5%	December 2016	83.5%	January 2017	91.7%	February 2017	94.0%	March 2017	96.0%	Target (Months)	83.0%	<p>PI slightly above targets which were based on 2015/16 period</p>
Month	Value (%)																																	
April 2016	11.9%																																	
May 2016	20.0%																																	
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PI Code & Name	Status	Q3 Value	Target	Movement since last update	Performance Data Trend Chart	Notes & History Latest Note																																							
MEHPI 10.4 NNDR (Business rates) collection, % of current year liability collected.		83.80%	83.40%	N/A	<table border="1"> <caption>MEHPI 10.4 NNDR (Business rates) collection, % of current year liability collected</caption> <thead> <tr> <th>Month</th> <th>Actual (%)</th> <th>Target (%)</th> </tr> </thead> <tbody> <tr><td>April 2016</td><td>9.4%</td><td></td></tr> <tr><td>May 2016</td><td>20.0%</td><td></td></tr> <tr><td>June 2016</td><td>30.4%</td><td></td></tr> <tr><td>July 2016</td><td>38.9%</td><td></td></tr> <tr><td>August 2016</td><td>47.5%</td><td></td></tr> <tr><td>September 2016</td><td>55.0%</td><td></td></tr> <tr><td>October 2016</td><td>64.4%</td><td></td></tr> <tr><td>November 2016</td><td>75.5%</td><td></td></tr> <tr><td>December 2016</td><td>83.6%</td><td></td></tr> <tr><td>January 2017</td><td>91.8%</td><td></td></tr> <tr><td>February 2017</td><td>95.1%</td><td></td></tr> <tr><td>March 2017</td><td></td><td></td></tr> </tbody> </table>	Month	Actual (%)	Target (%)	April 2016	9.4%		May 2016	20.0%		June 2016	30.4%		July 2016	38.9%		August 2016	47.5%		September 2016	55.0%		October 2016	64.4%		November 2016	75.5%		December 2016	83.6%		January 2017	91.8%		February 2017	95.1%		March 2017			PI slightly above targets which were based on 2015/16 period
Month	Actual (%)	Target (%)																																											
April 2016	9.4%																																												
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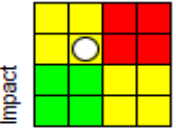
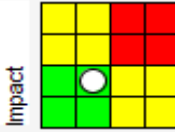
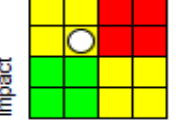
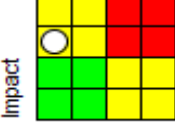
PI Status

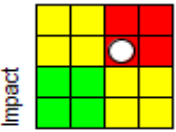
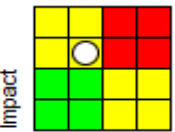
Performance is 6% or more off target	
Performance is on target or exceeding target	
No target to set performance against	Trend Only
Latest data unavailable - last data shown	

Movement since last period

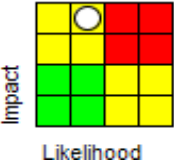
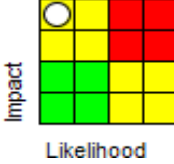
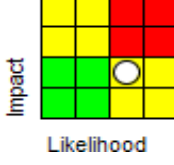
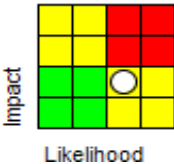
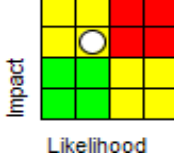
Value is higher than previous period & this is positive movement	↑
Value is higher than previous period but this is negative movement	↑
Value is lower than previous period but this is positive movement	↓
Value is lower than previous period & this is negative movement	↓
Value is the same as previous period	▬
N/A -Cumulative so will always be above previous period	n/a

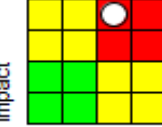
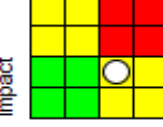
Code 16SR	Title	Description	Inherent Risk Matrix	Inherent Impact	Inherent Likelihood	Controls introduced in quarter three, and future controls planned	Residual Risk Matrix	Residual Impact	Residual Likelihood	Managed By
1a	Risk of significant deviation from plan in terms of funding. This is predominately a risk of a significant reduction but a significant increase could also cause risks to materialise.	There is uncertainty around future funding, both from Government and other areas such as income from commodities markets for recycled materials. There is some clarity on 2016/17 but little beyond then, particularly with the potential impact of leaving the EU and on trade relations. There are cost pressures combined with an increased awareness and scrutiny of financial position.		3	3	October to December 2016: The referendum vote to exit the EU has resulted in continued uncertainty. DCLG have indicated that they expect 100% Business Rates Retention to launch from April 2019. The funding situation is being carefully monitored. The Healthcheck reporting process remains in place.		3	3	Isabel Brittain
1b	Business rate income significantly reduced from planned anticipated level (and current levels).	Appetite and ability as a Council to influence economic development. Neighbouring authorities reducing rates. Revaluation and appeals. (Maximum liability circa £10m if all appeals were granted). Inability to influence economic regeneration. Economic vitality.		4	4	October to December 2016: Consultation for 100% business rate retention closed. DCLG to review fair funding - EHDC could benefit but could lose out.		4	3	Isabel Brittain
2	Risk of not having capacity / capability and flexibility to continue to deliver service levels over time.	There are challenges to ensure the Council is fit for the future, in terms of workforce skills, capacity and flexibility. Also about being fleet of foot and responsiveness.		3	3	October to December 2016: Four services restructuring at present. Resource and capacity of service areas being considered.		3	2	Emma Freeman
3	Risk that supplier / contractor or key third sector partner fails or fails to deliver.	A number of key services are delivered through major contracts, both directly and in consortia. This is both through private sector supply chains and in conjunction with the voluntary and third sector.		3	2	October to December 2016: No concerns reported with any major contracts or shared service. Waste tender four months behind but under control and not a significant cause of concern at present.		3	1	All Heads of Service

	Title	Description	Inherent Risk Matrix	Inherent Impact	Inherent Likelihood	Controls introduced in quarter three, and future controls planned	Residual Risk Matrix	Residual Impact	Residual Likelihood	Managed By
4	Risk that investment and effort in alternative service delivery models does not deliver benefits and returns.	Moving more towards other delivery models in future with public sector partners. This is part of the wider context of the changing role of Local Government moving forward. Potential for lack of consistent political buy-in by all partners resulting in considerable effort without benefit. There is also a challenging skill set for managers due to the complexity.	 <p style="text-align: center;">Likelihood</p>	3	2	October to December 2016: Work has commenced to investigate the viability of a Council-owned housing company. Member briefing session scheduled for 10 January 2017, with Chief Executive of another authority invited to discuss experience.	 <p style="text-align: center;">Likelihood</p>	2	2	All relevant Heads of Service
5	Information management: Misuse or loss of key information leading to breach. The potential disclosure of personal data inappropriately.	The Council handles a large amount of information and data which if not managed properly could be compromised. This could be perhaps through carelessness or hacking and security of the information could be compromised. Failure to comply with information governance principles. Action may be taken by the ICO. Individuals may suffer if their personal data, particularly sensitive personal data is disclosed.	 <p style="text-align: center;">Likelihood</p>	3	2	October to December 2016: No reportable data breaches.	 <p style="text-align: center;">Likelihood</p>	3	1	Kevin Williams

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6	Impact of Housing and Planning Act.	<p>The key potential impacts are:</p> <ul style="list-style-type: none"> • Introduction of Starter Homes as a form of affordable housing, with nationally prescribed percentages to be delivered through the planning process, is likely to reduce the supply of new affordable rented homes thus reducing housing options for those on no / low incomes. This could place increased pressure on existing housing stock and potentially increase homeless approaches to the Council, leading to higher workloads • The opening up of the planning application assessment process to third parties could see workloads/income drop for the Council and its influence in decision making reduced. Potential for significant impact on staff resources, income and the ability to support direct and back office services. • Provisions for the Government to determine district plans where local authorities have not done so within certain time limits could erode the Council's reputation and ability to shape local development. • Further provisions for flexibilities with regard to fee levels and self setting of fees if the Council continues to operate established performance levels. 		3	3	<p>October to December 2016: The Housing Service is closely monitoring levels of demand. Work has commenced to investigate the viability of a Council-owned housing company which could contribute to local supply of housing in all tenures. Member briefing session about housing company scheduled for 10 January 2017.</p> <p>District Plan published for consultation in November 2016, and process concluded December 2016.</p>		3	2	Jonathan Geall and Kevin Steptoe

	Title	Description	Inherent Risk Matrix	Inherent Impact	Inherent Likelihood	Controls introduced in quarter three, and future controls planned	Residual Risk Matrix	Residual Impact	Residual Likelihood	Managed By
7	Development of a District Plan that is acceptable to the community and the planning inspectorate.	Risk of not being able to agree plan in timeframe meaning: Increased costs, Lack of effective development management, Cannot bid for funding for infrastructure, lost opportunity, open to challenge in meantime, legal / reputational / political issues. Impact on New Homes Bonus.		3	2	October to December 2016: District Plan published for consultation in November 2016, and process concluded December 2016. Further steps achieved towards final plan.		3	2	Kevin Steptoe
8	Significant development proposals at strategic sites (Welwyn Garden City, Bishop's Stortford) - need to ensure good quality developments securing all necessary infrastructure.	Ambitions not achieved. Ability of building industry to deliver, including contribution for infrastructure. Poor environment. Loss of development opportunity. Reputational risk.		4	3	October to December 2016: Continue to maintain dialogue with potential developers.		4	1	Kevin Steptoe
9	Failure to deliver Digital East Herts.	Risk that services are not provided across multiple channels to improve the customer experience and realise efficiency gains. Step change to digital basis for service delivery will not be made within the window of invest opportunity in the next two years.		3	2	October to December 2016: Agreed programme plan at Leadership Team in December 2016, and prioritisation session then held with Managers. Detailed prioritisation plan to be discussed with Heads of Service in January 2017 to exploit opportunities for quick wins, as well as ensuring process reviews link in with other projects being delivered across the organisation.		2	2	Adele Taylor
10	Compliance with the Childrens Act 2004.	Whilst the Council's self-assessment obtained ratings of at least 'adequate' there is a commitment to improve and thereby ensure the safety of children.		4	2	October to December 2016: Thorough self-audit undertaken using Hertfordshire County Council template. Issues of concern have been addressed.		4	1	Jonathan Geall
11	Safeguarding adults.	Maintain and develop interagency relationships, Council policy and training.		3	2	October to December 2016: WRAP / Prevent training almost complete. One final session remains. Dementia Friends training offered to staff.		3	1	Jonathan Geall

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12	Encouragement of economic vitality cross the District.	Risk that opportunities to develop and improve Bishop's Stortford and Hertford town centres are not maximised through the Old River Lane Planning Framework and Hertford Urban Design Study. Also ensure regular dialogue with business and organisations representative of business. Interventions to be proposed where appropriate e.g. business improvement district opportunities.		4	2	October to December 2016: Member steering groups established. Funding achieved for HUDS first project.		4	1	Ben Wood
13	Extreme weather - Either unable to resource or prioritise emergency planning response and other mitigation measures.	Frequency of events likely to increase. Emergency planning response could be compromised. Impact on east/west travel in District and on infrastructure, especially transportation. Lack of resource for mitigation activity e.g. land drainage function. Impact on Council properties, particularly sites on flood plains.		3	3	October to December 2016: Emergency Plan placed on website to improve resilience, replacing memory sticks. Testing of out of hours escalation / call cascade undertaken. Test of Business Continuity Plan took place on 31 October 2016, with weaknesses identified now being tackled. All services are also preparing their own specific plans.		2	3	Jonathan Geall
14	Devolution - fail to engage, and influence partners to engage, leading to missed opportunities.	Hertfordshire not seen as a 'player' nationally and regionally. Unable to be proactive and engage early on in this agenda. Missed opportunities to maximise benefit.		2	3	October to December 2016: Some work is continuing across the 10 districts and county in relation to the proposed options for collaboration (rather than devolution). Still lack of clarity from government about options for devolution in two tier areas, especially non-mayoral options.		2	3	Liz Watts
15	Referendum vote to leave EU.	Further budget reductions likely. Potential impact on the economy, particularly employment and the housing market. Loss of EU funding for local schemes. Legislative changes.		3	3	October to December 2016: Rural Development Programme funding has been guaranteed by the Government up to the point at which the UK leaves the EU.		3	2	Ben Wood

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New 16	Development of Old River Lane, Bishop's Stortford.	The acquisition of the Old River Lane site presents opportunities to revitalise and shape the town centre, but there are risks around undertaking large-scale development, including land use choices, viability, impact on other areas and functions of the town centre, etc.		4	3	October to December 2016: Draft vision and planning framework for the town centre released, and public exhibition / consultation undertaken.		2	3	Liz Watts