

CORPORATE RISK REGISTER

1 Purpose

- 1.1 To brief the committee on the updated Corporate Risk Register.

2 Recommendations/for decision

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| 2.1 | To review the Corporate Risk Register and associated actions (Appendix 2) and identify any issues for further consideration |
| 2.2 | To note the Planning Performance Report and consider the level of risk to attach to it. |

3 Corporate Risk Register - Supporting information

- 3.1 The Audit Committee has a role to monitor the effectiveness of risk management and internal control across the Council. As part of discharging this role the committee is asked to review the Corporate Risk Register.
- 3.2 The Corporate Risk Register provides evidence of a risk aware and risk managed organisation. It reflects the risks that are on the current radar for Strategic Board. Some of them are not dissimilar to those faced across other local authorities.
- 3.3 The risk register is reviewed regularly by Strategic Board and reported to the Audit Committee and Cabinet.
- 3.4 At the Audit Committee meeting in June 2018, members requested that a new risk be added to the corporate risk register to reflect the risk posed by a deterioration in the quality of delivery of the planning service. A report on planning performance in Quarter 1 of 2017/18 (April-June) is attached for consideration.
- 3.5 This contains a summary of performance in four key areas of work, planning applications, appeals, enforcement and informal enquiries, together with a brief commentary on each section. The purpose of this report is to demonstrate the performance of various planning teams against government set targets, particularly the decisions made within the 13 and 8 week determination periods, for major and all other applications respectively.

4 Reasons for Recommendation

- 4.1 To allow members of the Audit Committee to review the Corporate Risk Register.

5 Resource implications

- 5.1 None

Contact Officer

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Background Documents

None

Corporate Risk Register Update

The Corporate Risk Register (CRR) shows the key risks to the Council and the actions that are being taken to respond to these risks. The CRR is reviewed on a regular basis by Strategic Board and was last updated on 5 September 2018. Cabinet reviewed the CRR on 12 September 2018.

Since the CRR was last reported to Audit Committee in June 2018, the following risks have changed:

Risk Ref	Change	Comment
2) Organisational culture does not enable the strategy (Connected Vision, Connected Knowledge & commercial targets). Behaviour framework and Values are not embedded.	Reduced M→L	Becoming embedded into ongoing programmes and business as usual.
8) Fail to manage and deliver major capital projects on budget and to time - Pembroke Road redevelopment	Reduced H→M	Budget approved and tenders received are within budget. Planning approval obtained.
Impact of BREXIT	New	Working group established to assess impact of different scenarios and risks to AVDC
Deterioration of quality of planning service delivery, decisions and timeliness of response to applications; compounded by vacancies in the planning team (although reducing), reliance on consultants and the rate of growth within the Vale	New	Statistics show planning performance is improving, but ongoing concerns raised over quality of service. Audit committee to consider further at meeting on 8 October
Failure to effectively engage with members and the community around the Council's vision and strategy.	Closed	This arose during the restructure which is now complete. Team structures are in place to better support member engagement. The Democratic Services Manager has conducted a survey to ask members for input on their development needs. A programme is running to ensure all members are able to engage digitally, with appropriate data security controls, and a training programme is being developed based upon the responses received to the survey. Any further actions to be incorporated into BAU plans.

There are **26 risks** on the corporate risk register. The residual risk rating is summarised as follows:

Residual Risk Rating			
Low risk 2	Moderate risk 13	High Risk 7	Extreme risk 1
<p>18) Fraud, corruption, malpractice by internal or external threats.</p> <p>19) Equalities is not considered in decisions resulting in Judicial Review and other litigation.</p>	<p>1) Fail to achieve the Medium Term Financial Plan. Annual sector budgets are not delivered.</p> <p>2) Organisational culture does not enable the strategy.</p> <p>4) Portfolio of commercial (profit generating/cost recovery) activities and opportunities fails to produce the return on investment needed.</p> <p>6) Council owned or partly owned companies (AVE & AVB) fail to achieve the Council's objectives. Inadequate governance arrangements.</p> <p>7) Waste Transformation Project fails to deliver commercial, customer, H&S, Environmental objectives.</p> <p>8) Fail to manage and deliver major capital projects on budget and to time -Pembroke Road redevelopment</p> <p>10) Fail to recruit Technical Professional Specialists (Planning, IT, Property). Reliance on use of consultants / agency and not effectively managed.</p> <p>11) Fail to deliver a sound Vale of Aylesbury Local Plan.</p> <p>12) Health & Safety - Non-compliance with Fire and Health and Safety legislation.</p> <p>15) Information Governance - A significant data breach, Inappropriate access, corruption or loss of data</p> <p>16) Safeguarding arrangements, internal policies and processes are not adequate to address concerns about /protect vulnerable adults & children.</p> <p>21) Failure to provide Universal Credit applicants with the support needed to successfully claim; could result in increased rent arrears locally and subsequent pressure on homelessness services</p> <p>23) Inadequate working with stakeholders to ensure safety of residential buildings following Grenfell. Lessons learned from Grenfell are not implemented.</p>	<p>3) Failure to deliver the Connected Knowledge Strategy and achieve the Council's Digital objectives.</p> <p>9) Fail to manage and deliver major capital projects on budget and to time - The Exchange</p> <p>13) Fail to plan for a major or large scale incident. Risk to safety of public & staff.</p> <p>14) Business interruption affecting the Council's resources and its ability to deliver critical services.</p> <p>17) Failure to manage a major partnership (e.g. LEAP, Enterprise Zones) or a significant council contractor.</p> <p>22) Failure to adequately plan in an appropriate timeframe for the next round of growth following adoption of VALP; including consideration of CaMKOx Corridor and need to meet updated Objectively Assessed Need housing targets included in the National Planning Policy Framework.</p> <p>24) Implementation of new HR & Payroll system may not go live with 100% accuracy</p>	<p>20) Modernising Local Government decision: Disruption to service delivery due to resource detraction from day-job and ongoing uncertainty impacting all areas incl. retention and recruitment, procurement, working relationships across all stakeholders.</p>

Notes:

The following risks have not yet been fully assessed and rated:

- 5) Fail to deliver the Commercial Property Investment strategy and achieve planned return on investment - has not yet been fully assessed and rated.
- 25) Impact of BREXIT
- 26) Deterioration of the quality of planning service delivery

Risk Matrix

Impact	5	Catastrophic	5	10	15	20	25
	4	Major	4	8	12	16	20
	3	Moderate	3	6	9	12	15
	2	Minor	2	4	6	8	10
	1	Negligible	1	2	3	4	5
Score			Rare	Unlikely	Possible	Likely	Very Likely
			1	2	3	4	5
			Likelihood				

	1-3	Low Risk	Acceptable risk; No further action or additional controls are required; Risk at this level should be monitored and reassessed at appropriate intervals
	4 - 6	Moderate Risk	A risk at this level may be acceptable; If not acceptable, existing controls should be monitored or adjusted; No further action or additional controls are required.
	8 – 12	High Risk	Not normally acceptable; Efforts should be made to reduce the risk, provided this is not disproportionate; Determine the need for improved control measures.
	15 - 25	Extreme Risk	Unacceptable; Immediate action must be taken to manage the risk; A number of control measures may be required.

Risk Ratings - Impact

Score	Descriptor	Compliance	Finance	Health and safety	Internal Control	Political	Reputational	Staffing & Culture
1	Negligible	No or minimal impact or breach of guidance/ statutory duty	Small loss risk of claim remote	Minor injury; Cuts, bruises, etc.; Unlikely to result in sick leave	Control is in place with strong evidence to support	Parties work positively together with occasional differences; Members & executive work co-operatively	Rumours; Potential for public concern	Short-term low staffing level that temporarily reduces service quality (<1 day)
2	Minor	Breach of statutory legislation; Reduced performance rating from external/internal inspector	Loss of 0.1-0.25 per cent of budget; Claim less than £20k	Moderate injuries; Likely to result in 1-7 days sick leave	Control in place with tentative evidence	Parties have minor differences of opinion on key policies; Members and executive have minor issues	Local media coverage short term reduction in public confidence; Elements of public expectation not met	Low staffing level that reduces the service quality
3	Moderate	Single breach in statutory duty; Challenging external or internal recommendations or improvement notice	Loss of 0.25-0.5 per cent of budget; Claims between £20k - £150k.	Major injuries; More than 7 days sick leave – notifiable to HSE	Control in place with no evidence to support	Members begin to be ineffective in role; Members and Executive at times do not work positively together	Local media coverage – long term reduction in public confidence	Late delivery of key objective/service due to the lack of staff; Low staff morale; Poor staff attendance for mandatory/key training
4	Major	Enforcement action; Multiple breaches of statutory duty; Improvement notices; Low performance ratings	Uncertain delivery of key objectives/loss of 0.5 – 1.0 percent of budget; Claims between £150k to £1m	Death; Single fatality	Partial control in place with no evidence	Members raise questions to officers over and above that amount tolerable; Strained relationships between Executive and Members	National media coverage with key directorates performing well below reasonable public expectation	Uncertain delivery of key objective/service due to lack of staff; Unsafe staffing level or competence; Loss of key staff; Very low staff morale; No staff attending training
5	Catastrophic	Multiple breaches in statutory duty; Prosecution; Complete system changes required; Zero performance against key priorities and targets	Non delivery of key objective/loss of >1 percent of budget; Failure to meet specification/slippage; Loss of major income contract	Multiple deaths; More than one Fatality	No control in place	Internal issues within parties which prevent collaborative working; Que from members shift resources away from corporate priorities	National media coverage, public confidence eroded; Member intervention/action	Non-delivery of key objective/service due to lack of staff; Ongoing unsafe staffing levels or competence; Loss of several key staff; Staff not attending training on ongoing basis

Risk Rating – Likelihood

	Likelihood	Likelihood Descriptors	Numerical likelihood
1	Rare	May occur only in exceptional circumstances	Less than 10%
2	Unlikely	Do not expect it to happen/recur but it is possible it may do so	Less than 25%
3	Possible	Might happen or recur occasionally	Less than 50%
4	Likely	Will probably happen/recur but it is not a persisting issue	50% or more
5	Very Likely	Will undoubtedly happen/recur, possibly frequently	75% or more

Capacity to Manage

Capacity to Manage	Description
Full	Full – all reasonable steps have been taken to mitigate the risk and are operating effectively. The cost / benefit considerations on implementing additional controls have been considered and no additional actions are proposed.
Substantial	Substantial – there are sound arrangements to manage the risk with some scope for improvement. Arrangements have had a demonstrable impact in reducing either the likelihood or consequence of the risk.
Moderate	Moderate – there are a number of areas for improvement in arrangements that would help to demonstrate effective and consistent management of the risk.
Limited	Limited – there are significant areas for improvement in arrangements that would help to demonstrate effective and consistent management of the risk.
None	None – there are a lack of clear arrangements in mitigation of the risk.

Planning Performance Report to Audit Committee

Workload and Performance Review for Quarter April to June 2018

Introduction for Audit Committee – 8 October 2018

The purpose of this report is to provide members with information to inform their discussions around the risk register, in particular the proposal to create a new risk described as "*Deterioration of quality of planning service delivery, decisions and timeliness of response to applications; compounded by vacancies in the planning team (although reducing), reliance on consultants and the rate of growth within the Vale*". The information provided is intended to help members to decide if the adoption of this new risk is needed, and if so the level of risk to attach to it.

The information below replicates the most recent planning performance report presented to the Development Management Committee. This contains a summary of performance in four key areas of work, planning applications, appeals, enforcement and informal enquiries, together with a brief commentary on each section.

The purpose of this report is to demonstrate to Development Management Committee the performance of various planning teams against government set targets, particularly the decisions made within the 13 and 8 week determination periods, for major and all other applications respectively.

In this report is set out the performance in Quarter 1 of 2017/18 (April-June). Key aspects to consider are the 2 year rolling targets prescribed by government; 60% in majors and 70% for all other applications determined in time. This includes 'extensions of time', where an extension of the prescribed 8/13 week timeframes is agreed by the Council and the applicant, and the application is determined within this extended time period, this is counted as being determined within the original timeframe by the government.

Planning in a significant growth area like Aylesbury Vale is under significant pressure due to the volumes of applications being made to the authority. Nationally, recruitment of experienced local government planners is challenging, however AVDC has seen some success in this area and over the last 12 months has recruited 16 planners at various levels to work in the development management service. Some of these planners are at the beginning or early stages of their careers (e.g. graduate –level planners) and require intensive training and support to ensure they are capable of managing a demanding workload.

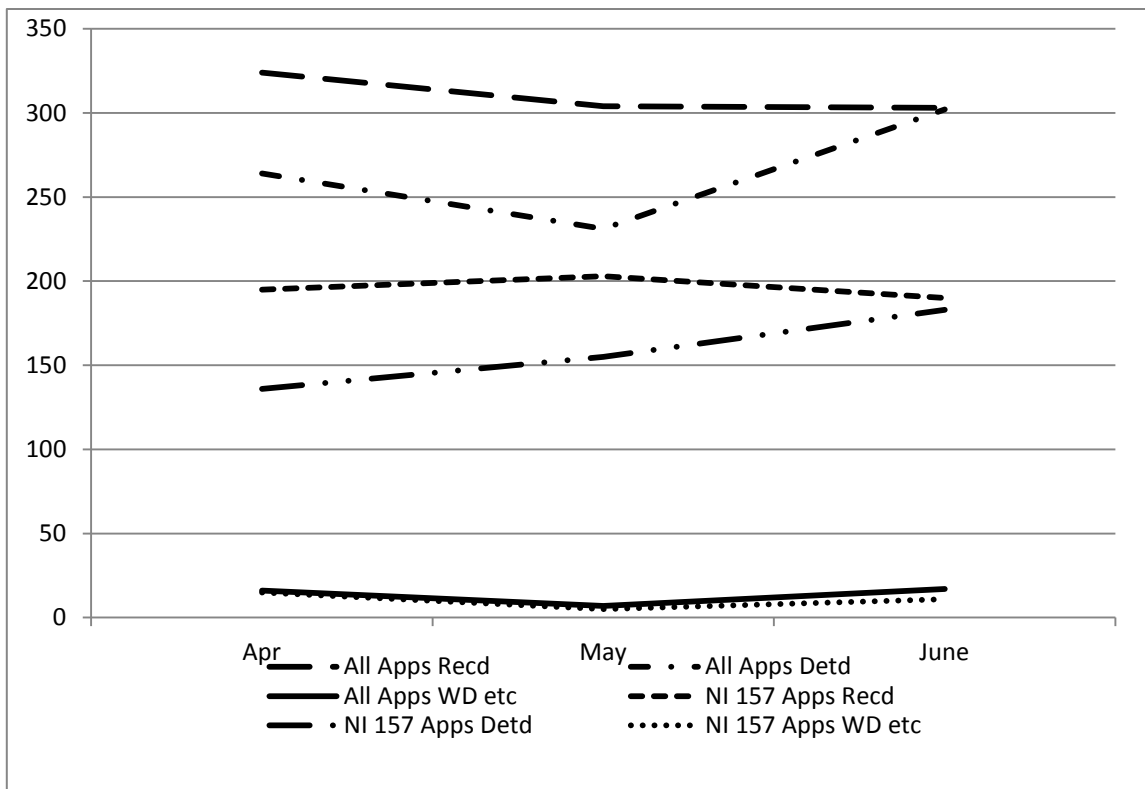
Ensuring that the quality of work produced by our planning staff is also a priority that often conflicts with the requirement to determine applications quickly. The government report on the number of decisions overturned at appeal and AVDC's record in this area is strong. We are committed to ensuring that the delegated powers given to officers to make planning decisions (without the need to go to committee) are given appropriately to planners who are ready for the responsibility. As we have many planners who have joined AVDC recently, a challenge to our performance has been ensuring these officers have the required skills and knowledge to operate with full delegation. Progress is being made in this area but it remains a serious challenge for performance of the development management teams.

Although new planners do take time to learn local policies and procedures, they also bring with them a wealth of knowledge about more efficient ways of operating, different working practices and generally a different perspective which is warmly welcomed. Planning is a diverse industry and the management team has been impressed with the quality and attitude of the new staff joining the authority, at all levels from graduate through to principal.

Section 1: Applications received and determined

Our application caseload comprises applications which form the basis for our performance measured against the Government performance target NI157 and other applications which are excluded from these categories and relating to proposals amongst which are applications from the County Council, Notifications for Agricultural, Telecommunications and works to trees. This is set in the context of the rolling 12 month period.

Applications Received and Determined

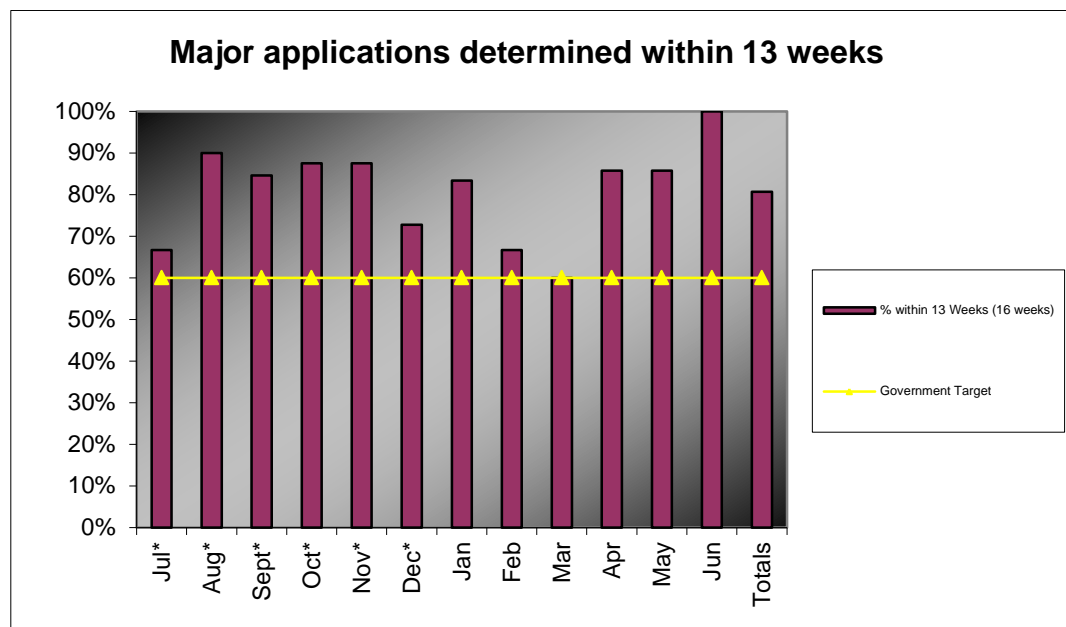


	Apr	May	June
All Apps Recd	324	304	303
All Apps Detd	264	231	302
All Apps WD etc	16	7	17
NI 157 Apps Recd	195	203	190
NI 157 Apps Detd	136	155	183
NI 157 Apps WD etc	15	5	11
All O/Standing			
NI 157 O/Standing	674	717	713

Section 2: NI 157 – Speed of Determination of applications

Introduction

This section sets out information regarding our performance in speed of decision for each of the 3 categories of applications, which are measured against the performance target – NI157 (a) major, (b) minor, and (c) other.



	Jul*	Aug*	Sept*	Oct*	Nov*	Dec*	Jan	Feb	Mar	Apr	May	Jun	Totals
Number of Major Applications Decided	6	10	13	8	8	11	6	3	10	7	7	4	93
Number within 13 Weeks (16 weeks) inc. Ext of time*	4	9	11	7	7	8	5	2	6	6	6	4	75
% within 13 Weeks (16 weeks)	67%	90%	85%	88%	88%	73%	83%	67%	60%	86%	86%	100%	81%
Government Target 50%, AVDC target 60%	60%	60%	60%	60%	60%	60%	60%	60%	60%	60%	60%	60%	60%

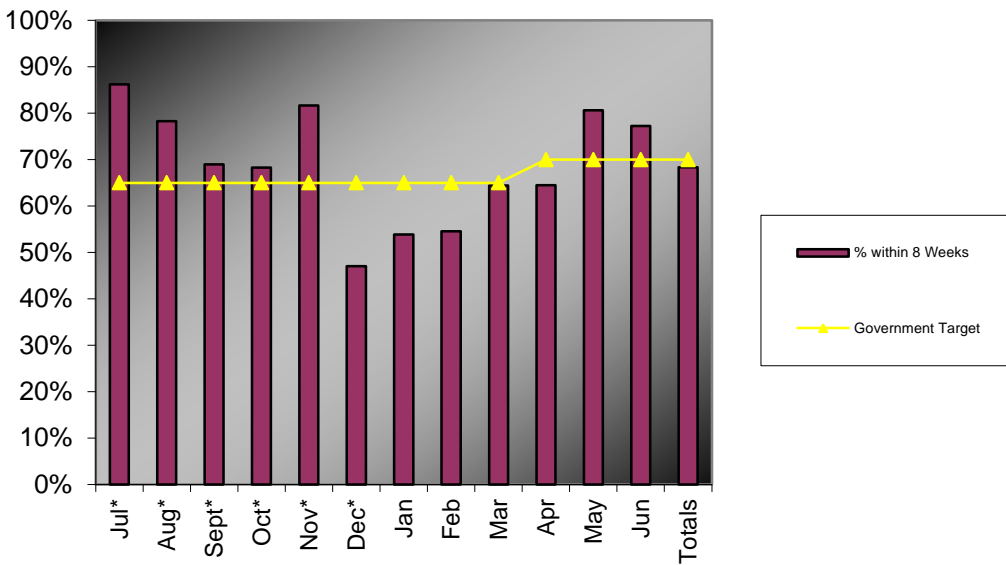
*Including extensions of time & PPAs

The quarterly performance achieved are:

April – June 2018: 89%

Rolling 2 year average: 78%

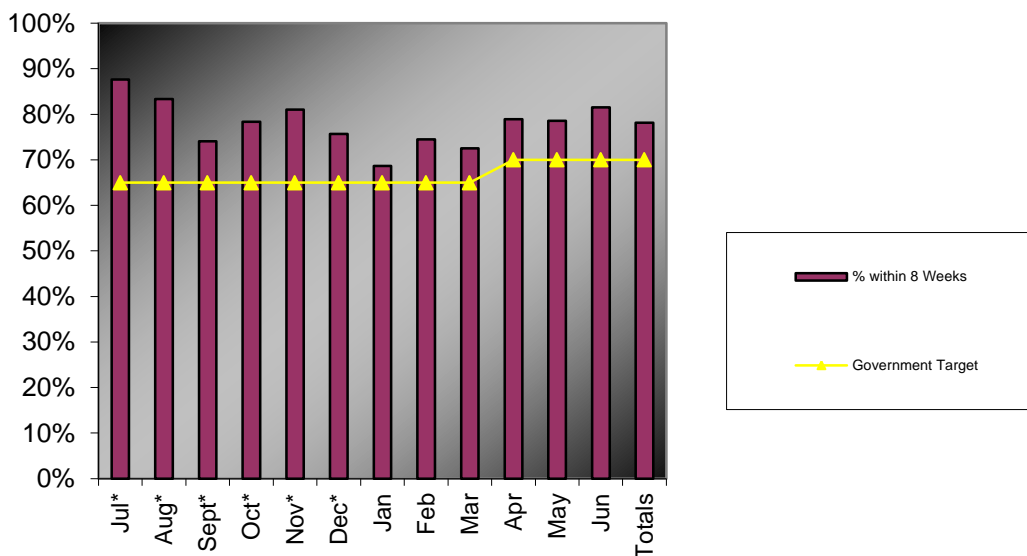
Minor applications determined within 8 weeks



	Jul*	Aug*	Sept*	Oct*	Nov*	Dec*	Jan	Feb	Mar	Apr	May	Jun	Totals
Number of Minor Applications Decided	29	46	29	41	49	51	39	33	45	31	31	44	468
Number within 8 Weeks inc. Ext of time*	25	36	20	28	40	24	21	18	29	20	25	34	320
% within 8 Weeks	86%	78%	69%	68%	82%	47%	54%	55%	64%	65%	81%	77%	68%
Government Target	65%	65%	65%	65%	65%	65%	65%	65%	65%	70%	70%	70%	70%

*Including extensions of time

Other applications determined within 8 weeks



	Jul*	Aug*	Sept*	Oct*	Nov*	Dec*	Jan	Feb	Mar	Apr	May	Jun	Totals
Number of Other Applications Decided	105	108	104	111	116	107	99	102	91	95	112	130	1280
Number within 8 Weeks inc. Ext of time*	92	90	77	87	94	81	68	76	66	75	88	106	1000
% within 8 Weeks	88%	83%	74%	78%	81%	76%	69%	75%	73%	79%	79%	82%	78%
Government Target	65%	65%	65%	65%	65%	65%	65%	65%	65%	70%	70%	70%	70%

For minor and other applications the government previously had no target and so the target of 80% shown was set internally by AVDC. From 1 April 2017 a government target of 65% has been set for minor and other applications increasing to 70% from 1 April 2018.

For the quarter April to June 2018 we achieved

Minors: 75% within the time period against a target of 70%

Others: 80% against a target of 70%

Joint minors and others: 79% against a target of 70%

Joint rolling 2 year average: 78% against a target of 70%

Appendix 1 details the Major applications determined in the quarter.

The first planning authorities subject to the Government's "special measures" regime for under-performing authorities were designated in October 2013, and performance data was published by the Department for Communities and Local Government (DCLG). Designations will be reviewed annually. Poorly performing authorities will be "designated" based on speed and quality:

- * Speed: less than 40% of majors determined within 13 weeks averaged over a two year period; or within such extended period as has been agreed in writing between the applicant and the local planning authority.
- * Quality: 20% or more of major applications that have been overturned at appeal (appeals allowed) over a two year period.

The government have announced new government targets increasing those on speed for majors to 50% in 2017 rising to 60% for 2018 based on the previous 2 years October to September. They have combined minors and others into a non major category with a target of 65% in 2017 rising to 70% for 2018 over this 2 year period. The quality targets will be 10% applications that have been overturned at appeal (appeals allowed) over a 2 year period.

Authorities could be designated on the basis of either criteria or both. The current performance over this 2 year period exceeds the threshold for speed and is less than the threshold for quality and thus does not fall within the poorly performing designation.

Section 3: Appeals against refusal of planning permission

Introduction

This section deals numerically with our performance in relation to appeals against refusal of planning permission. Whilst there is no government performance target a benchmarking measure is that we should seek to achieve success in 65% or more of appeals against planning decisions.

Determined	Dismissed	8
	Allowed	3
	Withdrawn/NPW	1
	Split	0
	Turned Away	0
	Varied	0
Costs	Against AVDC	
	For AVDC	

*Split decisions are counted as an Allowed appeal

In the quarter between April and June a total of 15 appeals were determined, 12 of which were against refusals of planning permission. Of the 12 appeals against refusals of planning permission which are used for reporting purposes 25% were allowed which is below the Council's target of not more than 35% appeals allowed.

Attached at Appendix 2 is a list of all of the appeal(s) which are used for reporting purposes against refusals of planning permission that were allowed. As there are a large number of appeals a summary on all has not been provided. There is a summary on some highlighted for awareness and learning points.

The government statistics published in August 2017 for quality show that the percentage of major applications that have been overturned at appeal is 2.4% and that for minor and other developments overturned at appeal is 1.1% for AVDC during the period of 24 months from July 2014 to June 2016. This is well below the governments threshold of 10% overturned for quality.

Section 4: Enforcement

Introduction

This section details statistics relating to Enforcement matters and details the numbers of complaints received, cases closed together with the number of cases which have led to Enforcement action. Enforcement appeals are also dealt with separately and performance can be assessed accordingly.

Cases on hand at beginning of quarter	441	Cases on hand at end of quarter	473
Cases Opened	151	No of Cases closed	119
No. of Enforcement Notices Served	0	No. of Temporary Stop Notices Served	0
No. of Stop Notices Served	0	No. of Breach of Condition Notices Served	0
		No. of Planning Contravention Notices Served	0

In the 3 month reporting period 116 cases were resolved as follows:

Performance Figure	Notes
24% of complaints were resolved within 14 days	Generally more straightforward cases where a yes/no decision is required following initial evidence gathering
41% of complaints were resolved within two months.	Normally requiring more extensive evidence gathering and/or consultations involving 3 rd parties.
61% of complaints were resolved within 5 months.	On top of the actions identified above these cases normally require some formal action or an application for retrospective planning permission.
Remainder	Where formal legal action is involved it can take many years to resolve complaints and can include appeals and further judicial review.

Enforcement Appeals

Lodged	PI (Public Inquiry)	0	Determined	Allowed	0
	IH (Hearing)	1		Dismissed	0
	WR (Written responses)	0		W/Drawn	0
	Total	0		Varied	0
				Total	0
Costs	For AVDC	0		Against AVDC	0

Enforcement Summary

The volume of planning enforcement complaints received is high and increasing and geographically reflects the areas where the delivery of development is highest. The service has seen a 27% increase in the number of complaints received over the last 3 years and the current team caseload is in the region of 450 open cases. Our response to complaints is prioritised based on the level of harm the suspected breach is causing. This means that 'low' category complaints will take longer to resolve than those that are causing a 'high' level of harm. A number of our Planning Enforcement Officers have recently moved on to other roles within the Council and elsewhere. We are currently actively recruiting new staff and have engaged additional temporary staff resources to help deal with demand during this period.

Section 5: Other Workload

Introduction

In addition the teams have dealt with the following:-

Discharge of Conditions and non material amendments.

Quarter – Out 145

Chargeable Pre-Application Advice, including commercial

Quarter - Out 143

Non chargeable Informals

Quarter - Out 24

Conclusion and Recommendation

It is recommended that the Committee **NOTE** the report.

This report intends to give details of factual information of service area performance, based on statistical data we hold.

It is hoped that Members find the report's content helpful.

Major Applications Determined: Quarter April to June 2018

Bold numbers denote applications determined outside the target period. Performance for this quarter is 89% which is above target; * denotes those applications that had an extension of time request agreed. The small number of applications mean that performance is volatile and in this quarter involved applications where securing the right outcome outweighed the need to meet targets and applications where the revocation of the regional spatial strategy required a reassessment of the scheme.

Reference	Off	Received	Proposal	Address	Valid	Decision Date	Decision
17/03745/APP*	SCOHAC	26/09/2017	Erection of an additional storage building for raw materials and relocation of the waste water lagoon	Sugarich (Brackley Dryers) Biddlesden Road Westbury Buckinghamshire	18/10/2017	25/04/2018	AVDC application - Approved
15/02615/ADP*	NKJ	28/07/2015	Approval of reserved matters pursuant to outline permission 03/02386/AOP relating to the construction of the link road from Parcel HW14 to Berryfields Lane (adjacent to the second primary school site) and ancillary works.	Berryfields Mda Bicester Road Quarrendon Buckinghamshire	18/08/2015	24/04/2018	Details Approved
17/04039/ADP*	SP	20/10/2017	Approval of reserved matters pursuant to outline permission 14/01010/AOP relating to access, appearance, landscaping, layout and scale for a residential development of up to 135 residential dwellings.	Former Bpc Hazells Tring Road Aylesbury Buckinghamshire	25/10/2017	23/04/2018	Details Approved

Reference	Off	Received	Proposal	Address	Valid	Decision Date	Decision
17/01840/AOP*	CLB	12/05/2017	Outline application for mixed use development comprising education including on site student accommodation (Use class D1 and C2), one hotel and short stay accommodation (C1), brand centre facilities supporting motorsport activities (sui generis), sports and leisure/adrenaline facility and family entertainment centre (D2), other motorsport related activity (sui generis). Parking and access arrangements, infrastructure including highways and utilities improvements. Associated landscaping and other ancillary works. (Application accompanied by an Environmental Statement)	Silverstone Motor Racing Circuit Silverstone Road Biddlesden Buckinghamshire NN12 8TN	31/05/2017	17/05/2018	Outline Permission Approved
16/03068/APP*	JAD	19/08/2016	Erection of a building for indoor equestrian exercise and storage of associated tack on land previously used for outdoor equestrian exercise and grazing.	Hollington Grange Grove Farm Lane Hollington Soulbury Buckinghamshire LU7 0DN	23/08/2016	14/05/2018	Refused
17/02222/APP*	NBU	11/06/2017	Redevelopment of the site to provide 14 residential dwellings, including access and parking (Revised Plans and Supporting Documentation submitted w/e 26/01/2018).	Land Rear Of Good Intent Edlesborough Buckinghamshire	19/06/2017	30/05/2018	Refused
17/01756/APP*	SP	09/05/2017	Erection of ten dwellings.	Land Rear Of 197 - 207 Aylesbury Road Wendover Buckinghamshire HP22 6AA	11/05/2017	20/04/2018	Refused

Reference	Off	Received	Proposal	Address	Valid	Decision Date	Decision
18/00216/APP*	JASTRA	18/01/2018	Erection of 20 no. two bed flats	Station House Tingewick Road Buckingham Buckinghamshire MK18 1ST	12/02/2018	14/05/2018	Refused
16/02641/APP*	JASTRA	18/07/2016	Demolition of existing Class B2 warehouse and construction of 50 residential units with access and associated parking	Hamilton Precision Ltd 10 Tingewick Road Buckingham Buckinghamshire	21/07/2016	20/04/2018	Approved
17/01841/ADP*	JASTRA	08/05/2017	Approval of reserved matters of appearance, landscaping, layout and scale relating to Phases 1 and 2 of outline permission 14/02666/AOP comprising 147 dwellings (including affordable and age-restricted dwellings), along with public open space, LEAP/NEAP, car and cycle parking, drainage and associated works.	Land At Haddenham Glebe Stanbridge Road Haddenham Buckinghamshire	08/05/2017	10/05/2018	Approved
17/01940/APP*	NKJ	19/05/2017	Erection of part two storey, part three storey 62 bed care home with associated access, parking and landscaping.	Land At Lace Hill London Road Buckingham Buckinghamshire	23/05/2017	27/04/2018	Approved
17/02012/APP*	NBU	24/05/2017	Development of land into a new motor dealership including erection of a new dealership facility comprising of showroom with administration offices, workshop with a MOT facility and associated parking, external display and valeting bays.	Land To East College Road North Aston Clinton Buckinghamshire	08/06/2017	11/05/2018	Approved
17/02994/APP*	JAMWIL	04/08/2017	Demolition of all existing buildings and structures and erection of 23 residential dwellings with associated landscaping, infrastructure and car parking.	Park Farm Church Lane Aston Clinton Buckinghamshire HP22 5HJ	04/08/2017	04/04/2018	Approved

Reference	Off	Received	Proposal	Address	Valid	Decision Date	Decision
17/04105/ADP*	SCOHAC	26/10/2017	Approval of reserved matters pursuant to outline permission 15/03814/AOP relating to appearance, landscaping, layout and scale for a residential development of up to 40 residential dwellings.	Land At Leighton Road Wingrave Buckinghamshire	26/10/2017	16/06/2018	Approved
17/03384/AOP*	NBU	31/08/2017	Outline application (including layout, scale and access) for a residential development of 21 dwellings, with associated car parking, landscaping and formation of new access	Land Adjacent To Bushmead Road Whitchurch Buckinghamshire	31/08/2017	01/06/2018	Approved
18/01250/APP	DW	09/04/2018	Creation of reptile embankments, hibernaculum and new natural habitat.	Land West Of Sandhill Road Middle Claydon Buckinghamshire MK18 2LD	10/04/2018	25/06/2018	Approved
18/01251/APP	DW	10/04/2018	Creation of reptile embankments, artificial badger setts, hibernacula and new natural habitat.	Land East Of Queen Catherine Road Steeple Claydon Buckinghamshire MK18 2ES	10/04/2018	25/06/2018	Approved
18/00951/APP*	DW	15/03/2018	Creation of two ponds, earthworks, hibernaculum, and new natural habitat	Land East Of Clare Farm Winslow Road Little Horwood Buckinghamshire MK18 3JW	20/03/2018	29/05/2018	Approved

Appeal performance – Quarter April to June 2018

In the quarter between **April** and **June** a total of 15 appeals were determined, 12 of which were against refusals of planning permission. Of the 12 appeals against refusals of planning permission which are used for reporting purposes 25% were allowed which is below the Council's target of not more than 35% appeals allowed.

A list of all the reportable allowed appeals in this quarter is set out below.

Application Reference: 16/00847/APP	Decision: Committee
Site: West End Farm, Brackley Road, Buckingham, Buckinghamshire, MK18 1JA	
Development: Demolition of existing buildings and erection of 72 extra care units, ancillary community facilities, including ancillary guest room, parking, landscaping and associated works.	
Note:	

Application Reference: 17/02448/APP	Decision: Delegated
Site: 16 Meadow Gardens, Buckingham, Buckinghamshire, MK18 1BJ	
Development: Erection of a 6ft close boarded and 4ft picket fence around the front of property - Retrospective	
Note:	

Application Reference: 17/03270/APP	Decision: Delegated
Site: The Old Piggery, The Common, Preston Bissett, Buckinghamshire	
Development: Demolition of existing buildings and erection of three dwellings including alterations to existing access	
Note:	

AVDC Corporate Risk Register

Last review date: 17 September 2018

Ref	Risk Owner	Delegated Manager	Risk	Potential Consequences	Inherent Risk Rating			Capacity to Manage Risk	Existing Controls	Residual Risk Rating			DoT (up = increasing risk)	Proposed Actions/Comment	Completion Date	Connected Vision
					Likelihood	Impact	Overall Risk Rating			Likelihood	Impact	Overall Risk Rating				
1	Andrew Small	Strategic Board	Fail to achieve the Medium Term Financial Plan. Annual sector budgets are not delivered.	Failure to meet statutory obligations and business objectives; Pressure on budgets increase; Inefficient and ineffective use of resources; Poor publicity and reputation damage; Inability to meet the demands of the future and ensure continuous improvement of services.	4	5	20	Moderate	Balanced MTFP to 2021/22 (approved Feb18). Strategic Board monitoring the budget; regular reporting through Cabinet. Quarterly financial digest. Budget managers review cost centre reports.	1	4	4	↑	Detailed budget process for 2019/20 will start in September which will involve revisit of MTFP. Previous assumptions, pressures and savings will be evaluated and may be subject to change	Nov-18	Financially Fit
2	Andrew Grant	Strategic Board	Organisational culture does not enable the strategy (Connected Vision, Connected Knowledge & commercial targets). Behaviour framework and Values are not embedded. Lack of clarity on AVDC "Brand" and what a "Commercial Culture" means.	Failure to achieve strategy, lack of staff commitment to implement change, poor morale & performance.	3	3	9	Moderate	Behavioural Framework used for candidate selection and case studies being refreshed and new "cloud" introduced REACH performance development becoming embedded and REACH toolkit produced. This includes building behaviours more formally into the REACH process. Employee Relations - Collaboration and healthy challenge with trade union and staff representatives and challenges addressed in partnership. New E'ee reps added to current group Wellbeing - Outplacement scheme implemented. Coaching programme in place. Connected Working programme linked with other projects to support CK and IT Strategy. Regular staff comms from Directors to engage on corporate vision and direction.	2	3	6	↓	1. People & Culture Strategy developed and due to be communicated as part of wider corporate communication 2. Connected Working Strategy development is progressing with project briefs completed. 3. Procuring new HR system which will address user and reporting issues (go live Nov18) (see risk below) 4. Focus on embedding behaviours, training and induction Note - ongoing uncertainty over Unitary decision impact on staff - risk is reflected under specific MLG risk #21	July 18 July 18 Oct 18 Sept 8	Commercially Minded
3	Andrew Grant	Maryvonne Hassall	Failure to deliver the Connected Knowledge Strategy and achieve the Council's Digital objectives. Lack of alignment to wider strategic objectives. New and existing systems/processes are not fully integrated.	Operational - New systems lack robust business processes and controls; poor integration between systems; failure to comply with GDPR and other legislative requirements exposing the Council to potential breaches; Data sharing of personal & sensitive information, cyber risk. Financial - VFM & unbudgeted costs Reputational - damage to reputation and standing as a "Digital Council", relationship with suppliers, disengage community through lack of access to digital services. Staff - capacity issues to implement changes whilst still delivering "day job"	3	4	12	Moderate	CK Strategic Board set up to ensure alignment and oversight (Sept 17). Funding agreed for 2018/19 Programme governance arrangements, steering group, regular reporting to CAVDC Board	2	4	8	→	Include CK in 2018/19 internal audit work programme		Customer & Innovation
4	Andrew Grant	Strategic Board	Portfolio of commercial (profit generating/cost recovery) activities and opportunities fails to produce the return on investment needed to support a sustainable Council.	Failure to meet statutory obligations and business objectives; Pressure on budgets increase; Inefficient and ineffective use of resources; Poor publicity and reputation damage; Inability to meet the demands of the future and ensure continuous improvement of services.	4	3	12	Moderate	"Commercial Oversight" group established to monitor activity and income. Income and costs included in budget and monitored. SEED strategy and business plan in place. KPIs to measure and track performance.	2	3	6	→			Financially Fit
5	Andrew Small	Teresa Lane	Fail to deliver the Commercial Property Investment strategy and achieve planned return on investment.		4	4	16	Limited	Property Investment Strategy approved by Cabinet Sept 17. Delivery of strategy deferred to take account of consultation and subsequent revised Prudential Code. Meeting held with Montague Evans to review strategy in light of the new Code and strengthen governance arrangements. Proposed that most roles and tasks relating to delivery will be outsourced for at least the first year.			TBA	New	Group Leaders meeting 31 September. Board to be nominated. The Board will then set the Governance and Reporting arrangements for the investment portfolio.		Commercially Minded
6	Andrew Small	Teresa Lane	Council owned or partly owned companies (AVE & AVB) fail to achieve the Council's objectives. Inadequate governance arrangements over Companies.	Inability to achieve expected distribution from the partnerships and grow AVDC's investments; security of loans. Satisfaction/relationship with existing customers/community deteriorates; Reputational damage to Council and Members if high profile ventures fail; negative impact of "commercial" decisions on Council's wider strategic & community objectives.	4	4	16	Moderate	Information to be included in Qly Digest to reflect all investments & performance. AVDC role of Corporate Commercial Strategy Manager appointed to ensure oversight/coordination of commercial activities. AVE - AVE 18/19 business plan went to Scrutiny & Cabinet Jan18. Robust challenge and stretch targets to deliver. Held Risk Workshop with AVE (Jan17) and developed risk register. Independent legal advice taken on Members' Agreement. Partnership Agreement in place, business plan process in place and plan subject to scrutiny and cabinet approval. AVDC representatives on AVE abreast of issues. On-going monitoring and monthly meetings taking place. Asset Managers have been directly advised of performance concerns. AVB - sale of AVB business completed 30.12.17.	2	3	6	→	AVB - Audit Committee approved independent review report and recommendations in May18. Recommendations to be overseen by Cross Party Working Group (1st meeting 10 Sept). Warranty period expires March 2019. AVE - Internal audit review in 2018/19	Dec 18 by Mar 19	Financially Fit
7	Tracey Aldworth	Isabel Edgar Briancon	Waste Transformation Programme fails to deliver commercial, customer, H&S, Environmental objectives.	Inability to deliver services to public; death or injury to public or staff; regulatory fines; criminal prosecution or civil litigation; reputational damage; financial cost.	3	4	12	Moderate	Programme of works to March 2019 mapped out. Dedicated programme manager. Operations H&S officer in post. Monthly Programme Board oversight; quarterly updates to Strategic Board	2	3	6	↓	Majority of programme will be completed Nov 18. Continue to monitor progress on CRR until then. Currently on target.	Nov-18	Customer & Innovation
8	Andrew Small	Teresa Lane / Isabel Edgar Briancon	Fail to manage and deliver major capital projects on budget and to time - Pembroke Road redevelopment	Costs exceed budget; inability to expand services and generate commercial income (e.g. HGV MOTs); damage relationships with future/existing tenants; Reputation damage	3	4	12	Substantial	Major Capital Projects Member group – Highlight reports, challenge from legal, finance and risk; Project teams with external contractors in place with established governance processes.	2	3	6	↓	Budget approved and tenders received are within budget. Planning approval obtained.		Commercially Minded
9	Andrew Small	Teresa Lane	Fail to manage and deliver major capital projects on budget and to time - The Exchange	Costs exceed budget; damage relationships with future/existing tenants; Reputation damage; impact on wider Town Centre Regeneration programme and ability to enhance existing assets.	3	3	9	Substantial	Major Capital Projects Member group – Highlight reports, challenge from legal, finance and risk; Project teams with external contractors in place with established governance processes.	3	3	9	→	Public realm work delayed approx. 2 months - expected completion end Nov18 - uncertainties for prospective tenants and pre-Christmas marketing. Softening of F&B market - challenges in letting vacant units. More flexible terms and targeting of operators with small but expanding portfolios. Financial impact (2019/20) being monitored through budget pressures		Commercially Minded

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10	Strategic Board	Jeff Membery/Teresa Lane/Isabel Edgar Briancon	Fail to recruit Technical Professional Specialists (Planning, IT, Property). Reliance on use of consultants / agency and not effectively managed.	Impact on service delivery; Increase in staff stress levels; financial cost of agency staff.	5	3	15	Moderate	Active recruitment ongoing with a range of strategies: Graduate Fairs, review of reward packages etc. Working with County and Districts on opportunities for Planning officer recruitment. Use of contractors to cover permanent vacancies. Contractor (Agency) costs are monitored monthly.	2	2	4	↓	Currently have 5 technical specialist vacancies that we haven't been able to recruit (1xIT, 2xBC, 1xPL, 1xPrpty). IR35 review group established to monitor ongoing compliance.	Ongoing Dec 18	Financially fit
11	Tracey Aldworth	Will Rysdale	Fail to deliver a sound Vale of Aylesbury Local Plan; Strategic partner objections	Opportunistic planning applications; Loss of local control; Government send in own planning team; Loss of New Homes Bonus.	3	3	9	Moderate	VALP approved by Council 18 October. Project manager in place. Weekly action plans and progress monitoring. Regular engagement and communication with CLG to discuss timeframes. Early engagement of QC. Support from the Planning Officers Society; Advice from Planning Inspectorate; Working with the Bucks Planning Officers Group.	2	3	6	→	Examination held. Awaiting Planning Inspectors report.	TBA	Community Focused
12	Andrew Small	Isabel Edgar Briancon	Health & Safety - Non compliance with Fire and Health and Safety legislation. Failure to provide a safe place for staff and visitors on AVDC property.	Death or injury to public or staff; criminal prosecution or civil litigation; Service stopped; Loss of public trust; Action by Health and Safety Executive or Bucks Fire and rescue, e.g. fine up to £4m, corporate manslaughter charges; Insurance claims/ financial loss	2	4	8	Moderate	Revised H&S policy & strategy approved Sept 17. Fully staffed: Corporate H&S Manager, part-time H&S Advisor, Operations H&S Officer at Pembroke Road. Fire Risk Assessments performed for all property (Apr17) and reviewed (Dec17). Strategic Health and Safety Board monitor risk and performance. H&S Committee meets every 3 mths. Management of contractors procedure in place and training provided. Ongoing training planned throughout 2018. New M&E service provider selected (Apr18) which will see a more uniformed and monitored approach to pre-planned maintenance and reactive work	2	3	6	↑	1. New lone working devices and 3 year contract purchased. Roll out to be completed end July 2018. Management of legionella currently being reviewed in line with new M&S service contract. Statutory programme to be followed - ongoing. 2. Sector Managers to receive IOSH Working Safely accreditation during 2018 to provide competency for carrying out their own risk assessments and risk profiling 3. Ongoing work following assessment visit in April from Counter Terrorism Prevention Advisor (CTPA) about the new CSC, safety of staff and general security of the building. Report is expected and then full review risk assessments, policy and procedures. 4. Internal Audit in progress - due Oct 18	Jul 18 Dec 18 TBA	Financially fit
13	Andrew Small	Will Rysdale	Fail to plan for a major or large scale incident (accident, natural hazard, riot or act of terrorism). Risk to safety of public & staff	Public safety. Service delivery disruption and impact on the Council's ability to deliver critical services. Reputational damage to the council.	2	4	8	Moderate	Community Safety Manager appointed (Apr17) with responsibility for Emergency Plan and Community Resilience. Public Events Management steering group set up & Duty holders established. EP & BC Steering Group established to ensure coordination. Resilience workshop with Local Resilience Forum to focus on long term response planning. Thames Valley Local Resilience Plan in place, with AVDC representation at District level.	2	4	8	→	Events Safety Management Framework to be agreed to ensure consistent approach and accountability. To reflect learnings from Whizzfizz and Waterside Festival.	Nov 18	Community Focused
14	Andrew Small	Isabel Edgar Briancon	Business interruption affecting the Council's resources and its ability to deliver critical services. Loss of IT due to failure or cyber attack.	Service delivery disruption and impact on the Council's ability to deliver critical services. Reputational damage to the council.	2	4	8	Moderate	EP & BC Steering Group established to ensure coordination. Increased use of cloud technology, less paper documents.	2	4	8	→	New manager appointed (May18) to carry forward all the BCPs prepared and ensure fit for purpose. Meeting of the EP and BCP board demonstrated a need for closer integration of the plans. A schedule of verifying and prioritising plans over the next 3 months. Desktop exercise will be run to test strength of plan.	Oct 18	Community Focused
15	Andrew Small	Andy Barton	Information Governance - Non compliance with legislation, a significant data breach, Inappropriate access, corruption or loss of data.	Exposure of confidential information or corruption of data; Prosecution or fine for statutory breach; Loss of public trust	3	4	12	Substantial	Data Governance Officer with responsibility for DP and info governance. IGG monitors specific risks and has its own action plan. Information Management Strategy has been revised in readiness for GDPR. Mandatory training; Investigations into data breaches. Periodic data sweep. HB Law supporting. Information Asset Registers, identified Information Asset Owners, retention schedules in place. Privacy Impact Assessments for all projects	2	3	6	↓	GDPR programme targets achieved for compliance by May2018. Post GDPR programme to complete remaining tasks, including full policy review and breach procedures. Dual factor sign in roll-out in progress, almost finished. Programme for Member email usage compliance in progress.	Dec 18 Sep 18	Financially fit
16	Andrew Grant	Will Rysdale	Safeguarding arrangements are not adequate to effectively address concerns about vulnerable adults & children who may be at risk of significant harm. Requirements of "Prevent" are not implemented and applied. Internal processes and controls are inadequate to effectively prevent dangerous individuals from gaining access to opportunities where that may place vulnerable adults and children at harm (e.g. Taxi licensing).	Failure to refer concerns to the appropriate agency for investigation; Damage to reputation; Harm to vulnerable adult or child as a result of failure to refer. Reputational damage to the council should perpetrator of terrorism be living or radicalised within the borough. A known sex offender is not prevented from having access to vulnerable adults and children.	2	4	8	Moderate	Internal AVDC safeguarding board with membership across all sectors. Mandatory training rolled out to all staff. Use self reporting template/RAG framework (S11); Meeting with Chair of Bucks safeguarding board – questions asked about current safeguarding arrangement and recommendations made; AVDC Chairs Community Safety Partnership (Prevent). Check applications for taxi licenses with disclosure Scotland. Whistleblowing policy in place and Managing volunteers policy in place. Members training on Prevent (WRAP) (Oct17). Internal audit (May17).	2	3	6	→	-Training sessions to be provided to elected members. -Training needs assessment for different roles to be completed -New starter mandatory induction training - IT solution to monitor & enforce completion	Jul 18 TBA	Community Focused
17	Andrew Small	Isabel Edgar Briancon	Failure to manage a major partnership (e.g. LEAP, Enterprise Zones) or a significant council contractor.	Financial Loss; Damage to Reputation; Impact on service provision; Unable to achieve Commercial AVDC objectives.	4	3	12	Substantial	Proforma high and low value contracts T&Cs developed. Contracts register developed and risk assessment of portfolio completed. Contracts & Procurement Manager & 2 officers in post. Silverstone Park Enterprise Zone Infrastructure funding has business rates retention recovery plans in pace.	3	3	9	↓	1. Performance issues with Street Cleaning Contract - Improvement plan is in place for Contractor. New Manager appointed by SUEZ to oversee rest of the contract. Improvements to H&S already being seen. 2. Sign off of the approach to procurement and purchasing criteria. Training being roll out for managers, and a how to guide on connect. New set of KPI's being reported Quarterly to monitor contracts and procurement across AVDC. Contract & procurement Internal Audit in progress - due Oct18	Nov-18	Financially fit
18	Andrew Small	Andy Barton	Fraud, financial impropriety or improper business practices. Potential for fraud, corruption, malpractice or error, by internal or external threats.	Immediate financial loss; reputational harm; inquiry costs and penalties.	2	3	6	Substantial	Compliance team focus on CT liability, Housing Benefit, Tax Reduction entitlement, exemptions and discounts. New Fin Regs & Procedures update financial controls. Internal audit reviews and oversight of fraud action plan. Fraud Awareness session provided at Manager Training.	1	3	3	→	Fraud polices to be reviewed. Finance processes training to be reviewed	Jul-18	Financially fit
19	Andrew Small	Andy Barton	Equalities - Decisions taken by the Council do not consider equalities resulting in Judicial Review and other litigation	Reputational risk to the authority and inability to progress with strategic objectives of the organisation; potential cost to the Council if decisions made against the authority.	2	3	6	Moderate	Equalities steering group. Equality Impact Assessments performed. Annual Equalities report to Cabinet Jan18Post restructure, AVDC profile has been reviewed and is broadly consistent.	1	2	2	→	P&C Manager coordinating and setting out action plan	TBC	Community Focused

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20	Andrew Grant	Tracey Aldworth	Modernising Local Government decision: Disruption to service delivery due to resource detraction from day-job and ongoing uncertainty impacting all areas incl. retention and recruitment, procurement, working relationships across all stakeholders.	Adverse impact on service delivery due to deflection of resource to reorganisation; loss of key staff; inability to attract staff during time of uncertainty; uncertainty over future direction impacts all areas of activity.	5	4	20	Moderate	Minded to decision announced 12 Mar in support of a single unitary for Bucks. Ongoing comms to update members and staff. Prep work done to enable timely response to decision.	5	4	20		Representation from 4 districts submitted to Secretary of State. Mgr briefings and staff comms, message sent to recruitment applicants		Community Focused
21	Tracey Aldworth	Jeff Membery	Failure to provide Universal Credit applicants with the support needed to successfully claim; could result in increased rent arrears locally and subsequent pressure on homelessness services	Vulnerable people are not adequately supported; increased homelessness; legal challenge / appeals; Reputational and political risk; Financial cost; inefficient use of resources.	3	3	9	Moderate	Training for legislation & process changes, member briefings, public awareness.	2	2	4		Universal Credit comes in Sept 2018.		Community Focused
22	Tracey Aldworth	Will Rysdale	Failure to adequately plan in an appropriate timeframe for the next round of growth following adoption of VALP; including consideration of CaMKOX Corridor and need to meet updated Objectively Assessed Need housing targets included in the National Planning Policy Framework.	Expose district to "planning by appeal"; developer challenge; Government sanctions; lack of ability to secure strategic infrastructure.	3	3	9	Moderate	Working with other L.As. Council agreed to join Central growth Board	3	3	9		Highways England announced Corridor B is preferred route for the proposed CaMKOX Expressway (12.9). Infrastructure grant bid for £200m. Exploring potential for growth deal with government to help secure funding for future growth. LEP review in progress. Potential impact of final unitary decision on growth strategy.		Community Focused
23	Andrew Grant	Will Rysdale	Inadequate working with stakeholders to ensure safety of residential buildings following Grenfell. Lessons learned from Grenfell are not implemented.	Death or injury to public; loss of public trust; damage to reputation	2	5	10	Substantial	Liaising with MHCLG, working with leaseholder and housing association	2	3	6		Friars House in Aylesbury is over 18 meters tall and is fitted with ACM cladding. We are working closely with Moreland Estate Management, the Vale of Aylesbury Housing Trust (VAHT), Bucks Fire and Rescue and MHCLG to ensure the safety of residents.		Community Focused
24	Andrew Small	Andy Barton	Implementation of new HR & Payroll system may not go live with 100% accuracy.	AVDC staff will not get paid, or paid incorrectly. Provision of external service may be impacted; errors/inaccurate which may lead to reputational damage and potential loss of payroll customers. HR data may be incorrect for line managers and staff to use. People will therefore not trust the system. Could also impact the next stages of the project - T&A and Recruitment.	4	4	16	Substantial	Planned in parallel running for 3 months. Test data load before parallel running is being done. Close working with supplier. Joint ownership of risk & new resource to focus on client liaison.	3	3	9		Weekly board meetings, Fortnightly with supplier (Inc MD of supplier). Detailed plans for AVDC elements of work. Temporary increases in available staff resource and prioritisation of work, with options for supplier to undertake more. Dedicated customer rep for customer accounts. daily project management contact between AVDC Project Managers and suppliers.	Apr-19	Financially Fit
25	Andrew Small	Andy Barton	Impact of BREXIT - financial, procurement, employment, regulatory, environmental, major projects//partnering arrangements	Impacts all areas of Council activities	4	4	16	Substantial				TBA	New	Detail risk register and action plan to be developed by working group - 1st mtg 20 Sept.	Ongoing	Financially Fit
26	Jeff Membery	Henry Allmand	Deterioration of quality of planning service delivery, decisions and timeliness of response to applications; compounded by vacancies in the planning team (although reducing), reliance on consultants and the rate of growth within the Vale	Damage to reputation, customer complaints/appeals, status as Planning Authority.	4	3	12	Substantial				TBA	New	Planning performance report to Audit Committee on 8 October and committee to consider residual risk rating and actions; customer journey analysis, member case load, planning updates & communications etc.	Oct-18	Community Focused