

**FINANCE, PERFORMANCE AND RISK - MARCH 2019**

**Councillor Mordue**

**Cabinet Member for Finance and Resources**

**1 Purpose**

- 1.1 This report presents a summary of the financial outturn for the end of March 2019 as well as the Corporate Plan Report for the same period and the Risk Register.

**2 Recommendations/for decision**

- |     |  |
|-----|--|
| 2.1 | To consider and note the contents of the summary Financial Outturn report in appendix 1.   |
| 2.2 | To review the Corporate Plan report (appendices 2a and 2b) and identify any issues for further consideration.                          |
| 2.3 | To review the Corporate Risk Register and associated actions (appendices 3a and 3b) and identify any issues for further consideration. |

**3 Supporting information**

**Summary Financial Outturn**

- 3.1 The Council reported a surplus of £432,000 for the financial year 2018-2019 (before the transfer from general fund balances).
- 3.2 The forecast outturn is better than planned by £192,000 and better than forecast by £353,000. A planned surplus of £240,000 had been assumed in budget plans for 2018-2019.
- 3.3 Consequently, general fund balances will be marginally higher than predicted as at the end of March 2019.
- 3.4 The financial standing of the Council continues to be robust.
- 3.5 At the time of writing the report, the final accounts for the financial year 2018-2019 have been submitted to external auditors, but are still subject to audit.
- 3.6 Please see appendix 1 for the detailed summary.

**Corporate Plan Report**

- 3.7 The Council's Corporate Plan sets out 4 priorities: financially fit; leading and shaping our places; customer and innovation; partners, community and environment. There are 17 themes which sit under these 4 priorities. Key projects and performance measure have been identified to report on progress against these priorities.
- 3.8 The 2018/19 quarter 4 report set out in appendix 2a and 2b reports on these 17 themes. These are high level themes selected to give an overview of performance in each area. Projects and performance measures are assessed to see if they are on target (green), near target (amber) or need improvement (red).

**Corporate Risk Register**

- 3.9 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 risk register

was last reviewed by Cabinet on 14 January and by Audit Committee on 25 March 2019.

- 3.10 The Corporate Risk Register was fully updated in January 2019 to reflect the impact of the Secretary of State's decision to implement a single unitary authority for Buckinghamshire.
- 3.11 Please see appendix 3a and 3b for the detailed report.

#### **4 Reasons for Recommendation**

- 4.1 To allow Cabinet Members to review the Financial Outturn, Corporate Plan Report and the Corporate Risk Register.

#### **5 Resource implications**

- 5.1 None

Contact Officer	Tamsin Ireland 01296 585004
Background Documents	none

# Summary Financial Outturn

## Financial Position 2018-2019

The Council reported a surplus of £432,000 for the financial year 2018-2019 (before the transfer from general fund balances).

The forecast outturn is better than planned by £192,000 and better than forecast by £353,000. A planned surplus of £240,000 had been assumed in budget plans for 2018-2019.

Consequently, General fund balances will be marginally higher than predicted as at the end of March 2019.

The financial standing of the Council continues to be robust.

At the time of writing the report, the Final Accounts for the financial year 2018-2019 have been submitted to external auditors, but are still subject to audit.

## Final Outturn Position for 2018-19

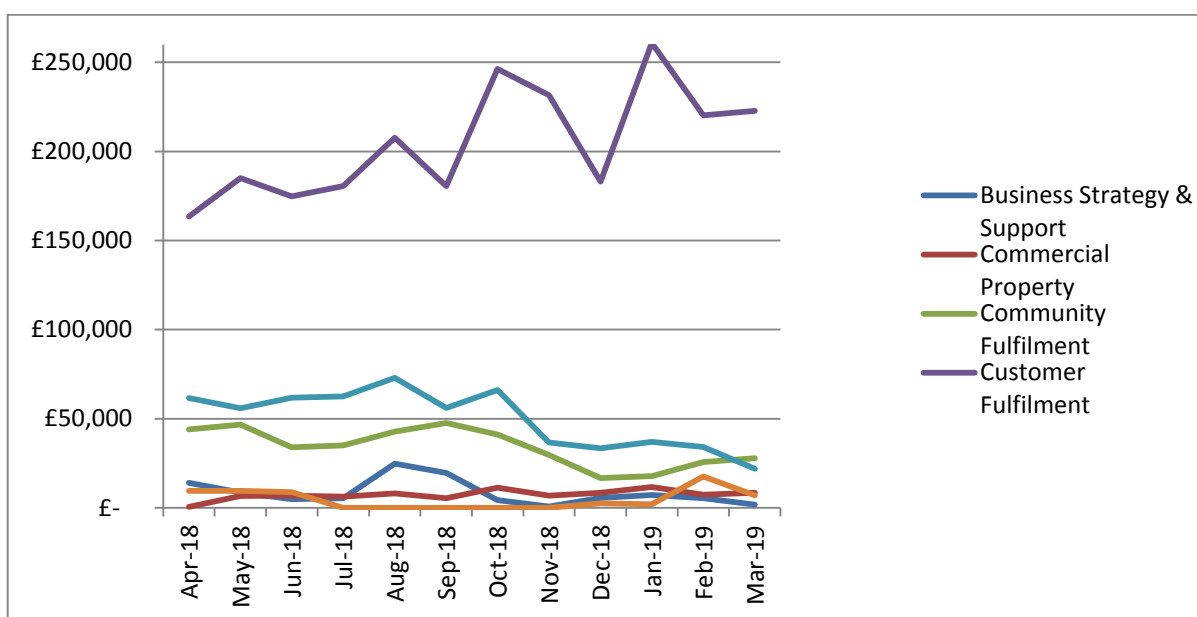
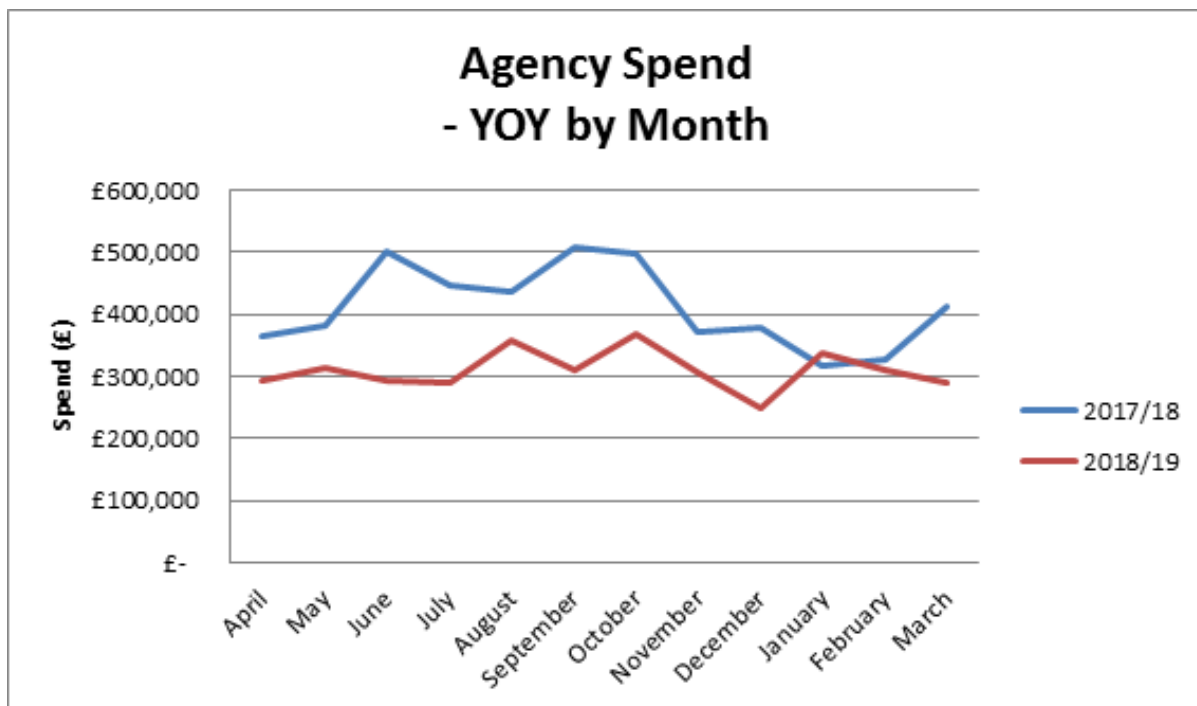
The table below details the budget, actual spend and variance by Portfolio. It also reports corporate income and expenditure in relation to financing items, special expenses, government grant and collection fund.

There is a reported overspend at portfolio level largely due to staff cost pressures but this is offset by favourable variances at a Corporate level including better than planned outturn on corporate budgets.

<i>All figures £000s</i>	2018-19 Budget	2018-19 Actual	2018-19 Variance to Budget
Expenditure/ Portfolio	£000s	£000s	£000s
Civic Amenities	393	-37	(430)
Communities	1,772	1,721	(51)
Economic Development	936	979	43
Environment & Leisure	4,695	4,536	(159)
Finance & Resources	8,517	9,026	509
Leader	2,013	2,342	329
Planning & Enforcement	756	1,415	659
Strategic Planning & Infrastructure	1,767	1,837	71
Waste & Licencing	8,081	7,849	(232)
<b>Sub-total : Portfolio</b>	<b>28,930</b>	<b>29,670</b>	<b>740</b>
Financing Items	-3,575	-4,263	(688)
Special Expenses	-865	-884	(19)
Government Grant and Collection Fund	-24,731	-24,955	(224)
<b>Total</b>	<b>-240</b>	<b>-432</b>	<b>-192</b>

The year end financial position is largely driven by exceptional staff costs and, in particular, spend on agency staff..

The graph below details the 'year to date' spend across the organisation, at Sector level and also comparative information for 2017/18.



The Council incurred circa £3.7m in agency costs in 2018/19. Agency spend is incurred for a number of reasons including:

- to support funded project work e.g. Connected Knowledge programme and GDPR;
- to support service delivery where there are vacancies or activity related pressures; and
- to provide flexibility in service provision.

The use of agency incurs a premium cost and results in an adverse variance to agreed budgets.

The use of agency has been largely for the planning department where staff vacancies and demands on workload continue to drive spend. Agency staff are also being utilised in the housing benefit administration and enforcement teams as a result of staff vacancies from sickness and turnover. Agency staffing is also used for digital (IT) services but in-year, the appointment of permanent staff resulted in a significant agency spend reduction over the last few months of the year. To a lesser extent, spend on agency staff has also been incurred within the people and payroll

department where agency costs have been incurred to support both vacancies and prolonged periods of sickness absences, and also at the depot where agency loaders provide flexibility to meet staffing patterns.

Despite these known pressures on staff costs, it has been possible to largely offset agency costs with additional efficiencies and income. These include:

- salary savings from vacant posts
- savings against budget in relation to transitional relief for business rates;
- increased income from commercial rents particularly at Pembroke Road, and for garden waste and commercial waste services;
- savings on interest charges due to lower than planned level of borrowing;
- savings on vehicle costs at the depot due to previous capital investment; and
- general efficiencies in the running costs of departments including savings on GDPR implementation provisions.

The draft outturn position is better than forecast at December 2018.

The variance, at portfolio level, remained largely as forecast. There were a number of changes in relation to the financing items, the overall impact of which was to improve the reported surplus. This included lower borrowing costs, lower than anticipated spend against the Council contingency budget, and higher than expected income from business rates.

#### Reserves and Provisions

The Council also holds earmarked reserves and provisions. The closing balance for the financial year is £30.608m. This represents a decrease of £3.391m over the balance held at the end of the previous financial year. These reserves are held against specific risks and commitments.

In year, a decision was made to utilise reserves to support the financial impact of the unitary decision. An ear-marked reserve of £5m has now been created.

#### Capital Spend

As well as the revenue budget, the Council also reported a total spend on its capital plans of £9.166m. Of this, £3.024m was incurred in the creation of new assets including the Public Realm Waterside North and the Pembroke Road depot scheme. A further £6.142m was incurred to support capital development in relation to financing for the Public Realm Waterside North scheme and also the Enterprise Zone at Silverstone.

Capital expenditure was financed by revenue contributions and capital receipts (which includes planned use of New Homes Bonus). It was anticipated during the year that a significant element of the programme would be funded from prudential borrowing. The Council has taken a prudent approach to financing the capital programme by deploying revenue reserves and cash balances instead of using external borrowing where possible as this produces a lower net cost. The change in funding has therefore reduced the on-going financing cost of the capital programme.

In relation to the capital schemes, it is anticipated that any slippage in spend from 2018-19 will be carried forward to 2019-20. There is no perceived risk on the delivery of the overall schemes.

#### Investments and Borrowing

The council had £35.66m invested at the end of March 2019, in a combination of banks, building societies and money market funds.

No new borrowing has been taken out so the current level remains at £18.5m.

With interest rates still at low levels, the actual amount of deposit income generated was £376,000. This was £16,000 higher than planned. This was due to the high level of money available for deposit from unspent reserves and balances held to meet capital programme obligations.

Summary position and Financial Outlook 2019-20

It is clear that the Council's financial performance in 2018/19 continues to be good. The overall revenue outturn surplus of £432,000 was better than planned and the Council has sufficient reserves and balances to provide financial resilience for 2019/20 and future years.

The 2018-2019 outturn financial position is an increase on the £240,000 surplus assumed in budget plans for 2019/20.

The financial environment for 2019/20 will remain challenging, particularly as the organisation will need to manage the uncertainty in relation to becoming a unitary organisation. In particular, it is recognised that the uncertainty from the unitary decision on staff retention and recruitment may potentially lead to further reliance on agency and temporary staffing arrangements. As a direct response to emerging financial risks, the Council will continue to identify where things could be done more efficiently, and at reduced cost, maximise all opportunities to increase income to the Council, and reduce spend on non-pay items where possible.

The focus of the Council continues to be delivering financial stability and a balanced position for the new unitary Council.

Aylesbury Vale District Council has led on strong and robust financial planning, against the backdrop of the most challenging times for local government. It has faced these unprecedented financial challenges with honesty, ingenuity and ambition. It is expected that the new Buckinghamshire Council will adopt similar values in forging its own unitary budget.

# Corporate Plan Report Summary

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- 1.1 The Council's Corporate Plan sets out 4 priorities: Financially Fit, Leading and Shaping our Places, Customer and Innovation and Partners, Community and Environment. There are 17 themes which sit under these 4 priorities. Key projects and performance measure have been identified to report on progress against these priorities.
- 1.2 The 2018/19 quarter 4 report set out in Appendix 2 reports on these 17 themes. These are high level themes selected to give an overview of performance in each area. Projects and performance measures are assessed to see if they are on target (green), near target (amber) or need improvement (red).
- 1.3 Of the 48 Projects and Measures 31 are green, 6 are amber and 9 are red. We are still awaiting figures for 2 measures. The red items are detailed below and the detail for the remaining items can be found in appendix 2.
- 1.4 **Information Security Incidents (R)** - None of the Information security incidents were reportable to the ICO. The incidents have all been investigated and action taken to prevent or mitigate this happening again.
- 1.5 **Consultant Spend (R)** - The Council is reporting a total spend of £2,206,172 on consultancy, this is against a budget of £1,961,500. There is resultant overspend of £244,672.
- 1.6 **Reduction in debt (R)** - Overall, the reported debt has increased by £1.2m. Debt is all money owing to the Council, but will include both debt not yet payable and overdue debt. The increase can be explained by:
- A total Increase of £0.4m relating to all Housing Benefit
  - Debts relating to S106 of circa £0.7m were raised on 31 March, inflating the overall figures
  - There remain some consistent issues with some debtors which are being reviewed and actively chased, but debt has increased while queries are addressed.
- 1.7 **Exchange phase 2 (R)** - On hold pending discussions with BCC and owners of Friars Square shopping centre to better understand plans for their respective land and property holdings. Efforts made to meet with Rockspring and BCC to understand respective plans but diaries not compatible. On-going monitoring of the market dynamics, particularly retail.
- 1.8 **Kingsbury and market square regeneration (R)** - Brief for procurement of public realm architects enhanced. No further progress due to capacity issues.
- 1.9 **Car parking strategy (R)** - Performance is 'amber' for Aylesbury and 'red' for Buckingham and Winslow. Procurement for installation of new pay equipment for Aylesbury car parks underway. Draft reports from Arups received for other towns. Awaiting AVDC comment.

- 1.10 **Staff turnover (A)** - Staff turnover is higher than the local government average which is 13%. It is thought that the higher turnover rate at the moment is due to the move to a Unitary Council and the current level of uncertainty for staff at this time.
- 1.11 **Staff & member engagement with workplace (A)** - We introduced Workplace by Facebook as a replacement for our intranet in March 2019. We are completing a phased roll out to staff and members over the next few months. By the end of March engagement with the system was at 80%.
- 1.12 **Staff sickness (A)** - Although the average number of days sick per employee of 6.64 days is worse than the target of an average of 5 days per employee, it is considerably lower than the average number of days sick per employee in local government (8.1 days) (Local Government Workforce Survey).



# Corporate Plan Summary

To lead, shape and enhance the economic, social and environmental wellbeing of the vale, embedding AVDC values in the new unitary council

## Financially Fit



### Balanced Budget

#### Comments

**Portfolio Financial Position (G)** - We have ended the year in a better position than originally forecast. However this masks an underlying and significant overspend on pay budgets. The year end financial position is largely being driven by a higher than budgeted spend on agency costs, a total spend of circa. £3.7m was incurred in 2018-19. This has resulted in an overspend against budgets of £1.9m. The use of agency to support vacancies and activity pressures incurs a premium cost and adverse variance to agreed budgets and this needs to be managed to avoid budgetary overspends. Agency spend is incurred for a number of reasons including a) to support funded project work b) to support service delivery where there are vacancies or activity related pressures and c) to provide flexibility of service provision. **Financial Outturn (G)** - Despite known pressures on staff costs, it has been possible to largely offset agency costs with additional efficiencies and income for the year including savings against budget in relation to transitional relief for business rates, Increased income from commercial rents particularly at Pembroke Road, for garden waste and commercial waste services, lower than planned level of borrowing and general efficiencies in running costs of departments. **Grow our income streams (G)** - As mentioned above.

Measure Name	Quantitative Measures			Unit	Source Date
	Actual	Target			
Portfolio Financial Position	★ 29,672,926.00	28,943,900.00	£s	Mar-2019	
Financial Outturn	★ 451,010	240,000	£s	Mar-2019	
Continue to grow our income streams	★ 2,362,479	2,200,000	£s	Mar-2019	



### Well run and well governed

#### Comments

**Management Information reporting embedded (G)** - Strategic dashboard well established. Monitoring for new corporate plan in place with first report to cabinet in June 19. Dashboards in place for business strategy and support, HR, contract and procurement. Commercial dashboard to be presented at next commercial board meeting. **Robust control environment (A)** - Action on post GDPR programme continues. Privacy Notices created, concentrating on areas of high risk and demand. Data Protection Impact Assessments created. Data Sharing Agreements managed by AVDC updated. New data protection elearning module completed by all staff. The data governance manager and HR Manager have been heavily involved in Unitary work so resource to progress this action has been less than planned. Work to update policies is currently on hold pending unitary, unless required for legal compliance. **Information Security Incidents (R)** - None of the Information security incidents were reportable to the ICO. The incidents have all been investigated and action taken to prevent or mitigate this happening again. **% audit actions that are high risk (G)** - As reported to the March Audit committee, 70% of audit actions due had been completed 4 of these were high risk actions.

Measure Name	Quantitative Measures			Unit	Source Date
	Actual	Target			
% of audit actions that are high risk	★ 6.67	10.00	Percentage	Mar-2019	
Information Security Incidents	▲ 12	0	Number	Mar-2019	



## Efficiency in service delivery

### Comments

**Successful delivery of streetscene programme (G)** - All of the projects within this Streetscene Programme are on track. Work is underway to collate the existing H&S documents for this work-stream and cross reference to job roles. Procurement is underway for equipment and vehicles. Specifications are being produced and data is being reviewed. Demonstrations of specific software is underway. **Consultant Spend (R)** - The Council are reporting a total spend of £2,206,172 on consultancy, this is against a budget of £1,961,500. There is resultant overspend of £244,672. **Reduction in debt (R)** - Overall, the reported debt has increased by £1.2m. Debt is all money owing to the Council, but will include debt not yet payable and overdue debt. The increase can be explained by: A total Increase of £0.4m relating to all HB debt; As at 31st March 2019, debts relating to S106 of circa £0.7m were raised inflating the overall figures at March 19.; There remain some consistent issues with some debtors which are being reviewed and chased, but debt has increased while queries addressed. **Contract cost reduction (G)** - Cost reduction was achieved by tendering the Car Lease contract. The savings of £166k are spread across the 3 years of the contract, with an annual budget reduction of £55k.

Quantitative Measures					
Measure Name		Actual	Target	Unit	Source Date
Reduction in debt owed to the council	▲	7,304,671.00	6,090,474.00	£s	Mar-2019
Consultant Spend	▲	2,206,172	1,961,500	£s	Mar-2019
Improved procurement efficiency	★	166,298.60	100,000.00	£s	Mar-2019

# Leading & shaping our places



## Adoption of a clear spatial & infrastructure plan

### Comments

**VALP adoption progress (A)** - We have been working on the proposed modifications to VALP following the Inspector's interim findings including additional evidence gathering.



## Delivery of planned homes and jobs for our people

### Comments

**Affordable homes built (G)** - Performance this year has exceeded our target of 225 affordable home, with a total of 337 properties being completed. Of these 7 were for social renting, 123 were for shared-ownership and 207 were for affordable-renting. There were 19 one-bed, 216 two-bed, 93 three-bed and 5 four-bed properties completed. (Room numbers for 4 properties were not recorded). **Housing completions** - Provisional figures show that performance this year has exceeded the target with 1797 properties being completed. Of these 427 were built on brownfield sites and 1370 on greenfield sites. **Housing starts on site** - At the end of March there were 1277 properties under construction.

Quantitative Measures					
Measure Name		Actual	Target	unit	Source Date
Affordable homes built	★	337	225	Number	Mar-2019
Housing Completions	★	1,797	1,615	Number	Mar-2019
Housing Starts on site	!	1,277	?	Number	Mar-2019



## Enhancing the character of our built and green places

### Comments

**Garden town masterplan progress (A)** - The first working draft of the Masterplan has gone out to consultation with key stakeholders and partners. A series of consultation sessions were also held. Feedback and comments will be fed into the Master-planning process. The draft version of the Masterplan is due to be finalised by the AGT Board in early July. It is anticipated that the Draft Masterplan will go out for public consultation later this year. There are a number of risks affecting the delivery of the Masterplan including sign off and support of the documentation, the Unitary transition and change in appetite from politicians for the AGT agenda. There are also challenges with staff resourcing, but these are being mitigated. The key risk to the programme is further delays to the adoption of VALP.



## Seizing the opportunities and mitigating the negative impacts of growth

### Comments

**New depot opens (A)** - Due to cost pressures we are currently reviewing all aspects of the new depot scheme to ensure that we are able to deliver a depot that meets all of our operational and regulatory requirements. **New homes bonus microgrants awarded (G)** - The council awarded 43 micro-grants in 2018/19 totalling £36,390. a total of 64 micro-grants have been awarded in the first 18 months of its administration totalling £58,085. **Our vale crowd funding platform (G)** - At the end of March 2019 there was 1 "live" crowdfunding campaign on Our Vale. AVDC pledges totalling £8,450 have helped three campaigns to reach their targets since the scheme was launched. Average pledge £3,363. Total value of successful projects backed £57,913 in total. Number of backers = 147. Leverage ratio = 6.85

Quantitative Measures					
Measure Name	Actual	Target	Unit	Source Date	
Number of live projects on Our Vale crowdfunding platform	★	3	3 Number	Mar-2019	
Number of New Homes Bonus micro-grants awarded	★	43	40 Number	Mar-2019	



## Regenerating and improving our towns

### Comments

**The exchange phase 1 (G)** - The public space opened. The food and beverage units were completed. Loungers started fit-out. Work on Long Lion started. Remaining £1.65m of SEMLEP grant received. **Exchange phase 2 (R)** - On hold pending discussions with BCC and owners of Friars Square shopping centre to better understand plans for their respective land and property holdings. Efforts made to meet with Rockspring and BCC to understand respective plans but diaries not compatible. On-going monitoring of the market dynamics, particularly retail. **Kingsbury and market square regeneration (R)** - Brief for procurement of public realm architects enhanced. No further progress due to capacity issues. **Car parking strategy (R)** - Performance is Amber for Aylesbury and red for Buckingham and Winslow. Procurement for installation of new pay equipment for Aylesbury car parks underway. Draft reports from Arups received for other towns. Awaiting AVDC comment.

# Customer & Innovation



## Lead public sector innovation & delivery

### Comments

**Connected knowledge projects on track (G)** - Of the 25 projects in the programme; 2 are on hold, 11 are on target, 10 are experiencing obstacles, 1 is at risk and 1 is compromised. Of those at risk or compromised The Garden waste project - four process options considered for project, decision made to push forward with the TechOne solution now awaiting confirmation of resources and timescales. Let's talk rubbish - 2 possible ways of showing garden waste data identified, working alongside Corporate Governance manager with regards to potential GDPR risk. In discussions with supplier about how best to move forward.



## Deliver high quality and reliable services

### Comments

**Deliver targets in the customer charter (G)** - Performance against the targets in our customer charter have improved significantly over the year with all measures currently better than target. This feels like a very good end to the year for Customer Relationship and it's great to see where improvement has been made. **Extended hours of customer service delivery (A)** - There have been no changes to our customer service hours at present, work on Project Sparkle, which would have helped to deliver changes, has been impacted by resource requirements for the new unitary council, however we are still keen to progress this. **% of missed bins (G)** - After a slight increase in missed bins in the second quarter due to round changes, the number of missed bins has continued to decrease over the last half of the year.

Quantitative Measures					
Measure Name	Actual	Target	Unit	Source Date	
% of missed bins	☆ 0.05	0.10	Percentage	Mar-2019	



## Improve our customer satisfaction levels

### Comments

**% of CSC customers satisfied with their overall experience (G)** - Customers continue to be satisfied with the service they receive in the customer service center, with satisfaction scores consistently above the target of 85%; scores have been 100% for the last quarter.. We are looking to expand our customer satisfaction monitoring in the future but this is dependent on resource implications of the new unitary council. Still hoping to undertake a public consultation exercise later in the year dependent on resources and budget.

Quantitative Measures					
Measure Name	Actual	Target	Unit	Source Date	
% of CSC customers satisfied with their overall experience	☆ 100.00	80.00	Percentage	Mar-2019	



## Enabling our staff to improve delivery & support our customers

### Comments

**Staff turnover (A)** - Staff turnover is higher than the local government average which is 13%. It is thought that the higher turnover rate at the moment is due to the move to a Unitary Council and the current level of uncertainty for staff at this time. **Staff & member engagement with workplace (A)** - We introduced Workplace by Facebook as a replacement for our intranet in March 2019. We are completing a phased roll out to staff and members over the next few months. By the end of march engagement with the system was at 80%. **Staff sickness (A)** - The average sickness days per employee is 6.64 days, above the target of 5 days per employee. However this is still lower than the average number of days sickness per employee in local government (8.1 days) (Local Government Workforce Survey).

Measure Name	Quantitative Measures				Source Date
		Actual	Target	Unit	
Staff Turnover	▲	16.43	13.00	Percentage	Mar-2019
Staff & Member engagement with Workplace	▲	80.04	90.00	Percentage	Mar-2019
Sickness per FTE	▲	6.64	5.00	Days	Mar-2019

# Partners, community & environment



## Placing local councils at the heart of our approach

### Comments

**Parish engagement (G)** - Parish newsletters have been sent out every quarter. In April/May 2018 there was work carried out to poll all parish/town councillors about MLG by ERS. We actively engage with parishes in relation to local elections. We meet with the Aylesbury Vale Association of Local Councils (AVALC) every 3-4 months. The meetings are an opportunity for the Association to raise the concerns of Parishes with senior AVDC officers including Directors and Assistant Directors. The parish liaison officer responds to queries from parishes, mainly assisting with planning related queries. They also provide assistance with submitting comments on planning applications, providing specific details and clarification on applications, liaising with staff about dog bin invoicing and dog bin collection, liaising with officers about broken street signs and replacements.



## Influencing partners to ensure delivery of our plans

### Comments

**HS2 assurances (A)** - The assurances are being monitored as part of the HS2 process with discussions taking place, although this is still early stages in the design process. This continues to remain a controversial development for local communities and we are committed to ensuring the benefits sought through assurances are delivered. **Input into the route planning of the expressway (G)** - Attended Expressway engagement events and workshops when held, to input technical information and comments at appropriate times, however, quarterly meeting was cancelled by Highways England in March and April. Cabinet briefing to be held 7th May for further steer on how best to work with BCC on the above in light of unitary. **Engage with government & partners on the Ox/Cam arc (G)** - Staff attended various meetings and been feeding in to the workstreams set up to bring forward the Oxford to Cambridge Arc including inputting into the emerging Local Industrial Strategies for BTVLEP, SEMLEP and Arc wide (including from cabinet briefing in March). Meeting held with Aecom and MHCLG on studies being undertaken building on NIC recommendations for the Arc



## Protecting & supporting out vulnerable

### Comments

**Percentage of people prevented from becoming homeless (G)** - This is the number of cases where we have been able to secure either the existing accommodation, or alternative accommodation, before the client becomes homeless. Benchmarking data is emerging as new reporting and statistical releases bed in, post implementation of the Homelessness Reduction Act. Initial information suggests that performance is either as good as, or in excess of the average in England. **Number of rough sleepers helped (G)** - We helped 38 rough sleepers in 2018/19 as a direct result of the funding under the project into emergency accommodation (1st step), 2 further were assisted into emergency accommodation with our Outreach service, we fund this separately. 15 were helped in Qtr 4. **Percentage of long term empty properties (G)** - This is the number of homes that were empty for 12 months or more expressed as a percentage of all rateable dwellings. Benchmarking data considers homes empty for 6 months or more and performance against this measure (0.5%) compares favourably to the average in England (1%). **Anti-social behaviour reports (G)** - awaiting comment.

### Quantitative Measures

Measure Name	Actual	Target	Unit	Source Date
Anti-social Behaviour calls received by TVP	256	278	Number	Mar-2019
% of long term empty properties	0.24	0.30	Percentage	Mar-2019
% of people prevented from becoming homeless	52.00	50.00	Percentage	Mar-2019
Number of rough sleepers helped	40	24	Number	Mar-2019



## Continue to host iconic events for the community

### Comments

**Number of activity/stall providers at play in the park (G)** - To date all the larger attractions have been booked for play in the park, and we are now looking to secure food vendors and activity demonstrations for the event. **Parishes booked into play in the parishes (G)** - Twenty parishes already booked in to play in the parishes, with several new parishes who didn't book last year. Bookings are still open and we expect to fill all the spaces. **Deliver WhizzfizzFest in budget (G)** - Event planning for WhizzfizzFest on track, full programme confirmed. Security appointed through corporate procurement exercise. Tickets for author events are selling well to date. For full details of the programme see [WhizzfizzFest.org.uk](http://WhizzfizzFest.org.uk) **Deliver Paralympic heritage flame lighting ceremony (G)** - Paralympic Heritage Flame Lighting Ceremony will be in August 2020 - early stages of planning underway and creative company has been approached. **Secure sponsorship and external funding for events (G)** - Security provider appointed as part of corporate process for events security. £10,950 of sponsorship secured to date for WhizzFizzFest 2019 - still seeking 1-2 additional 'Gold sponsors' for packages at £5000 each.

Quantitative Measures					
Measure Name		Actual	Target	Unit	Source Date
Number of parishes who have booked at least one play in the parishes	★	20		18 Number	Mar-2019
Sponsorship and external funding secured for events	★	10,950		8,000 £s	Mar-2019
Number of activity/stall providers in attendance at play in the park	★	26		20 Number	Mar-2019



## Environmental Wellbeing

### Comments

**Promotion of clean air day (G)** - National Clear Air Day was held on 21 June 2018. AVDC actively promoted this campaign via social media, and worked in partnership with Bucks County Council to promote via roadside information systems. National Clean Air day for 2019 is on 20 June. **Secure green flag awards (G)** - Our Green Flag sites include Bedgrove Park and Vale Park in Aylesbury, and Heartlands open space in Buckingham. Applications including updated full management plans were submitted January 2019 and the outcome will be known July 2019. **Plant 200 trees (G)** - 180 trees have been planted at Bedgrove Park Spinney along with volunteers from Aylesbury Rotary Club. The remaining trees have been planted at various locations across Aylesbury and Winslow. **Delivery of volunteer hours for ecology projects (G)** - AVDC support several volunteer groups across Aylesbury Vale. Vale Countryside Volunteers undertake general conservation work mainly on farmland, woodland meadows, protected sites, including some AVDC owned sites, while others have focus on particular species.

Quantitative Measures					
Measure Name		Actual	Target	Unit	Source Date
Delivery of volunteer hours for ecology projects	★	5,356		5,200 Number	Mar-2019
Plant 200 trees as part of the Trees Please project	★	250		200 Number	Mar-2019



# 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 risk register was last reviewed by Cabinet on 14 January and by Audit Committee on 25 March 2019.

The Corporate Risk Register was fully updated in January 2019 to reflect the impact of the Secretary of State’s decision to implement a single unitary authority for Buckinghamshire. The table below shows the changing risk profile over time.

	Total	Low	Moderate	High	Extreme	Not yet assessed
<b>May 2019</b>	<b>23</b>	<b>4</b>	<b>8</b>	<b>9</b>	<b>2</b>	-
March 2019	23	3	8	7	4	1
January 2019	23	3	8	7	4	1
October 2018	26	2	13	7	1	3
June 2018	25	2	12	9	1	1
March 2018	22	2	12	6	1	1

## Staff capacity

The highest risk currently facing AVDC (represented on the CRR by risks 2,3,4) is the lack of staff capacity to maintain services and deliver priority projects. There is increasing recognition that there is no longer “business as usual”; we need to operate under a new model as we transition away from AVDC and towards the new Buckinghamshire Council.

We are currently operating in an environment of ambiguity over the shape and structure of the new Council. The likelihood of restructuring and potential job changes / losses leads to a threat to perceived job security in a high employment geography. In an environment where the organisation has been run on a lean basis, protecting public funds, the significant additional responsibilities of preparing for the new Buckinghamshire Council both in terms of direct involvement and backfilling has led to concerns over flight risk, the loss of discretionary effort and disengagement. The strain on the organisation and stress on individuals this engenders may manifest itself in increased sickness absence. This is should also be viewed in the context of increasing challenges to hire into roles where there is so much uncertainty,

## Support to Unitary Implementation

We have already “lost” 5 full time staff members to the Unitary Implementation team and are aware of others who may be considering moves. This is a credit to the calibre of AVDC staff who have been successful in being recruited to these roles, and we should encourage our staff to take opportunities for development whenever they can; but this leaves a gap that can not easily be filled in most cases.

We are also experiencing increasing demands on “Experts” to resource unitary work streams, in some cases, AVDC senior managers are providing 50% or more of their time to support unitary work. Across all areas the pressure is increasingly being felt, across front line services, and “back office”; Finance, HR, IT and Communications in particular, are already heavily involved. Most of our Senior Managers and all of our Assistant Directors and Directors are spending considerable time, every week, engaging in Unitary activities.

The scope and scale of resource involvement is likely to increase over time. We have very little control over the demands of Unitary and the “pull” on our resources to support the various workstreams. None of our services are built or staffed to deliver this type of impact and also continue to manage services in a continuing entity context.

### **Staff retention and recruitment**

We are also losing key staff to outside organisations. Staff may see that a more secure future lies outside the Buckinghamshire Council, and having recently gone through a major organisational transformation programme at AVDC, the thought of another, and the uncertainty in the meantime, may be a “push” factor.

We already have a number of hard to fill posts (Development Management for example), when the instability associated with the unitary transition is overlaid, recruitment is likely to be increasingly challenging, if not impossible.

Currently, there is a lack of clarity coming from the Unitary programme about the processes for recruitment and uncertainty about structure. We may expect a second wave of leadership exits when the recruitment process for Tiers 2 and 3 starts. There is an increasing risk that our existing leadership structures will no longer be sufficient to operate as they have done previously, and be able to provide the same levels of support to in-flight projects, new initiatives and day-to-day management.

### **Managing the risk**

It is essential that critical services are maintained, priorities delivered, and that AVDC transitions to the new Council in an orderly fashion. The risk of losing key staff on our ability to achieve this is greater in some areas than others at the current time, but is likely to increase everywhere as we approach April 2020.

A range of options are being applied to address the staff capacity issues on a case by case basis. Certain roles have been initially identified as 'key' either due to the nature of the service or the circumstances surrounding them. The loss of these individuals is being considered and a range of mitigations put in place, including succession planning, cross council working and retention packages.

We have also assessed the risk for each of our core activities (services/activities/programmes) and produced a risk rated list (RAG); which highlights priority areas and actions. A process is being developed to prioritise work and resource allocation accordingly over the transition period. This will need regular review and ongoing consideration and decisions about of priorities and scope of work. Cabinet members have been briefed on this process and will continue to engage as risks and priorities are reviewed and further actions required.

Additional support has also been identified to provide stability and consistency to the leadership team and take forward actions. We have engaged a consultant to provide programme management support for the transition of AVDC to the new Unitary Council and help establish a framework for decision making and a prioritisation process for the evaluation of current services and for proposed new projects and programmes. This will be overseen by Kate Mulhearn who, in addition to her existing responsibilities as Corporate Governance Manager, will provide oversight of the programme to ensure the “safe and legal”, orderly transition of AVDC, reporting to the Directors.

This is not just an AVDC challenge. It is also worth recognising that as the Unitary Programme moves forward, there will be an increase in demands on all of the organisations and their resources to effectively gear up for the new Council, whilst at the same time managing the existing 5 Councils.

**Risks associated with “No-deal Brexit”**

In line with advice from MHCLG, we have for some time been monitoring the potential risks associated with Brexit. Risk #15 on the CRR reflects the overall level of risk to AVDC. In recent months, we have focused on risks associated with a “no deal Brexit”. The risks are regularly updated as more information is released from Central Government. In March 2019 Audit Committee received a report summarising the identified key risks that AVDC may face should the UK exit the EU without a deal. This provided a level of assurance to the Audit Committee that, as far as possible, appropriate planning and/or contingencies are in place should the UK exit the EU without a deal.

There are **23 risks** on the corporate risk register. The residual risk rating is summarised as follows:

Residual Risk Rating			
Low risk 4	Moderate risk 8	High Risk 9	Extreme risk 2
<p>1) Fail to achieve the Medium Term Financial Plan. Annual sector budgets are not delivered</p> <p>10) Fail to manage and deliver major capital projects on budget and to time - The Exchange</p> <p>22) Fraud, corruption, malpractice by internal or external threats.</p> <p>23) Equalities is not considered in decisions resulting in Judicial Review and other litigation.</p>	<p>4) Staff morale, mental, physical wellbeing deteriorates, increased demand on HR resource to support staff</p> <p>12) Aylesbury Vale Estates (AVE) does not deliver capital receipts and objectives of business plan.</p> <p>13) Fail to deliver a sound Vale of Aylesbury Local Plan before the transition to new unitary council.</p> <p>17) Health &amp; Safety - Non-compliance with Fire and Health and Safety legislation. Failure to provide a safe place for staff and visitors on AVDC property and/or events.</p> <p>18) Fail to plan for a major or large scale incident. Risk to safety of public &amp; staff.</p> <p>19) Business interruption affecting the Council's resources and its ability to deliver critical services.</p> <p>20) Information Governance - A significant data breach, Inappropriate access, corruption or loss of data</p> <p>21) Safeguarding arrangements, internal policies and processes are not adequate to address concerns about /protect vulnerable adults &amp; children.</p>	<p>5) Lack of clarity and/or political engagement with partners hinders ability to engage in &amp; influence next round of growth including consideration of CaMKOx Corridor, HS2, housing need targets. A Bucks wide plan could result in even more housing in the Vale geography.</p> <p>6) Failure to deliver the Connected Knowledge Strategy and achieve the Council's Digital objectives within AVDC lifetime. Lack of alignment to wider strategic / unitary authority objectives. New and existing systems/processes are not fully integrated.</p> <p>7) In-housing of Street and Horticulture service (Streetscene) is not completed by the end of the current contracts (January 2020), and in line with AVDC Council decision.</p> <p>8) Depot Transformation Programme fails to deliver commercial, customer, H&amp;S, Environmental objectives</p> <p>9) Pembroke Road Redevelopment programme is not delivered to time or budget - EA Fire Prevention Plan required resulting in possible extra capital cost up to £1m - risk assessing options to understand impact and time delay</p> <p>11) Decline in retail sector reduces ongoing viability of AVDCs Town Centre assets and limits success of regeneration programme</p> <p>14) Inadequate working with stakeholders to ensure safety of residential buildings following Grenfell.</p> <p>15) Impact of BREXIT - financial (eg fuel costs), procurement, employment, regulatory, environmental, major projects//partnering arrangements</p> <p>16) Deterioration of quality of planning service delivery, decisions and timeliness of response to applications in the face of increasing growth demand; compounded by vacancies in the planning team, reliance on consultants and the national reduction in applicants; challenge locally due to job market and growth, unitary uncertainty</p>	<p>2) Loss of AVDC leadership and vision as the unitary programme progresses</p> <p>3) Loss of key staff (external or to Unitary programme) &amp; inability to recruit high performing individuals</p>

**Risk Matrix**

<b>Impact</b>	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
<b>Score</b>		Rare	Unlikely	Possible	Likely	Very Likely	
		1	2	3	4	5	
		<b>Likelihood</b>					

1-3	Low	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	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	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	Unacceptable; Immediate action must be taken to manage the risk; A number of control measures may be required.

**Risk Rating – Likelihood**

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

**Risk Rating - 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

**Capacity to Manage**

Capacity to Manage	Description
<b>Full</b>	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.
<b>Substantial</b>	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.
<b>Moderate</b>	There are a number of areas for improvement in arrangements that would help to demonstrate effective and consistent management of the risk.
<b>Limited</b>	There are significant areas for improvement in arrangements that would help to demonstrate effective and consistent management of the risk.
<b>None</b>	There is a lack of clear arrangements in mitigation of the risk.

**AVDC Corporate Risk Register**

Last review date: 1 June 2019

Ref	Risk Owner	Delegated Manager	Risk	Potential Consequences	Inherent Risk Rating			Capacity to Manage Risk	Existing Controls & Mitigation	Residual Risk Rating			DoT (up = increasing risk)	Proposed Actions/Comment	Completion Date
					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	Substantial	Longer term view, still maintain 4 years balanced budget, but working towards March 2020. Strategic Board monitoring the budget; regular reporting through Cabinet. Quarterly financial digest. Budget managers review cost centre reports.	1	3	3		Draft 19/20 budget and MTFP to 2023 to Cabinet in December, scrutiny in January and Full Council in Feb 2019. Balanced budget for the timeframe of AVDC.	
2	Tracey Aldworth	Strategic Board	Loss of AVDC leadership and vision as unitary programme progresses.	Uncertainty over future direction impacts all areas of activity; Impact felt through organisation, lack of vision/purpose, knock on effect to other staff, loss of discretionary effort, AVDC reputation for innovation and forward thinking is diminished.	4	5	20	Moderate	Staff communication, smooth handover, additional support to leadership team; Ongoing monitoring of KPIs and metrics established to support AVDC updated "vision"	3	5	15		Internal & Member comms plan - strong message from leadership team.	
3	Andrew Small	Strategic Board	Loss of key staff (external or to Unitary programme) & inability to recruit high performing individuals.	Core service - deterioration in delivery due to loss of key staff & inability to recruit or retain high performing staff Projects (capital, improvement, transformation) are delayed/cancelled; Financial cost of agency staff.	5	5	25	Moderate	Unitary HR protocols in place - recruitment aligned across all 5 councils. Behavioural Framework used for candidate selection and case studies refreshed. REACH relaunched, 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. Recruitment ongoing with a range of strategies - new roles updated to reflect Unitary decision. Use of contractors to cover permanent vacancies. Contractor (Agency) costs are monitored monthly.	4	4	16		Impacts across all areas of AVDC. Ongoing risk analysis and clear process for assessing priorities - finish/continue/stop/delay. Member engagement in priorities and risks. Range of HR strategies considered to secure and recruit staff Tracking staff involvement in unitary and impact on "day job" Ongoing focus on staff development. £95k cap review ~ approx 90 staff over 55yrs, 60% current employees <2yrs.	
4	Andrew Small	Strategic Board	Staff morale, mental, physical wellbeing deteriorates, increased demand on HR resource to support staff	increased sickness, Increase in staff stress levels; impact on service delivery	3	3	9	Moderate	Staff development opportunities, promote flexible working, REACH	2	3	6	New	Continued focus on Staff Comms to maintain focus and discretionary effort. Increase in training spend Continued focus on Wellbeing and Mental Health including external providers for support. Consider potential for additional recognition opportunities	
5	Tracey Aldworth	Will Rysdale	Lack of clarity and/or political engagement with partners hinders ability to engage in & influence next round of growth including consideration of CaMKOx Corridor, HS2, housing need targets. A Bucks wide plan could result in even more housing in the Vale geography.	Lack of engagement in planning issues impacting the Vale geography; expose district to "planning by appeal"; developer challenge; Government sanctions; lack of ability to secure strategic infrastructure; additional housing growth absorbed by Aylesbury Vale.	4	4	16	Moderate	AVDC and other Bucks DCs are part of Central Area Growth Board . Close working with other neighbouring LA's.	3	4	12		AVDC is part of Econ & Regen Unitary workstream looking at how to tackle Bucks wide growth after 1 April 2020 - incl. CaMKOx, HS2 and response to consultation. Need focus on delivering local plans as a priority (refer risk #13) - Unitary HG&E Board to table policy paper (July19) for recommended approach. Clarity on comms with external partners and key stakeholders. Visibility of AVDC and "seat at the table" important to maintain.	
6	Andrew Small	Maryvonne Hassall	Failure to deliver the Connected Knowledge Strategy and achieve the Council's Digital objectives within AVDC lifetime. Lack of alignment to wider strategic / unitary authority objectives. New and existing systems/processes are not fully integrated.	Unitary - AVDC achievements and plans for digitisation of services is not pursued. 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" - flight risk of key people.	4	4	16	Moderate	CK Programme Board combined with wider Project Board (May19) to ensure prioritisation of all projects considering capacity and unitary. Funding agreed for 2019/20 Programme governance arrangements, steering group, regular reporting to CAVDC Board	3	4	12		Currently half way through Phase 2 of programme. Project prioritisation, across all projects, inc CK, review commencing June2019, focus on completing what we have started and need to consider impact of Unitary on new activities and capacity to deliver. AVDC Digital programme lead engaged with Unitary Workstream.	
7	Tracey Aldworth	Will Rysdale	Inhousing of Street and Horticulture service (Streetscene) is not completed by the end of the current contracts (January 2020), and in line with AVDC Council decision.	Failure to deliver services, financial costs, damage to AVDC reputation.	3	3	9	Substantial	Full Council approval, Project Manager, Operations Board for oversight & governance, budget approved, Project plan developed and work has commenced.	3	3	9		Need to ensure continued focus and relevant priority given to project given tight timescale and potential for delays. Need to consider implication of Unitary Waste Service review.	Jan-20
8	Tracey Aldworth	Will Rysdale	Waste & Operations 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	5	15	Moderate	Programme of works to March 2019 mapped out. Dedicated programme manager. Monthly Programme Board oversight; quarterly updates to Strategic Board	3	3	9		Process in place to move to Competent Authority status to remove need for reliance on key individuals to ensure compliance with operating licence requirements. Also staff capacity review and wider training programme in progress. Original business plan for ATF lane to be reviewed as no more licences are being granted. Staff capacity may impact scope of programme.	Jun-19

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9	Andrew Small	Teresa Lane /Will Rysdale	Pembroke Road Redevelopment programme is not delivered to time or budget - EA Fire Prevention Plan required resulting in possible extra capital cost up to £1m - risk assessing options to understand impact and time delay	Delay to the scheme, and potential to fail to deliver part/all of scheme. This would allow us to maintain our current service provision but could cause a reduction of service linked to the level of growth in the district. Costs exceed budget; inability to expand services and generate commercial income (e.g. HGV MOTs); damage relationships with future/existing tenants; Reputation damage	3	5	15	Substantial	External specialist consultant and programme manager recruited to help assess appropriate mitigation measures. Working with the Env Agency to understand their requirements and re-designing scheme where appropriate. 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		Risk assessment of options complete and now consulting with EA on proposals - waiting on consultant feedback. Options presented on ways to manage costs within original budget envelope - waiting on further detail to confirm asap. Delays to workshop (2020) due to discharge of 2 reserve planning matters (archaeological & contamination) with requirements for additional surveys.	Jun-19
10	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.	1	3	3		Exchange opened 8 March. 3/4 of the F&B units have been let with interest in fourth. More positive outcomes of recent negotiations with potential tenants. Commercial units let on Long Lion. Financial impact (2019/20) being monitored through budget pressures	
11	Andrew Small	Teresa Lane	Decline in retail sector reduces ongoing viability of AVDCs Town Centre assets and limits success of regeneration programme	Decline in town centre investment, vacant property, reduced return on investment, increasing unemployment, reduction in business rates income.	4	4	16	Moderate	Aylesbury Town Centre plan and regeneration programme; joint Officer Steering Group (AVDC, BCC, ATC) monitors progress against action plan and receives new ideas/challenges. AGT Board and Project Team is overseeing & reviewing the masterplan for the Garden Town which includes the town centre.	3	3	9		Need to consider future Regeneration plans in line with staff capacity and prioritise activities during AVDC transition year. AVDC investment in The Exchange will deliver new public space, restaurants, businesses, helping to change the town centre offering. AGT status is enabling bids for funding to support the town centre. Bids for the new £675m High Street fund are currently being considered. AVDC&BCC mtg to discuss future strategy for Ayl Town Centre.	
12	Andrew Small	Teresa Lane	Aylesbury Vale Estates (AVE) does not deliver capital receipts and objectives of business plan.	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	Internal audit review of AVE governance arrangements (Jan19). 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.	2	2	4		Private sector uncertainty. Unclear about working with new authority.	
13	Tracey Aldworth	Will Rysdale	Fail to deliver a sound Vale of Aylesbury Local Plan before the transition to new unitary council.	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. Draft modifications and updated sustainability appraisal to the Inspector by the end of June. Modifications will be published for comment for at least six weeks towards the end of summer. Inspector is likely to consider the representations in the autumn, following which he will issue his final, binding, report (refer also risk #5).	Oct-19
14	Andrew Grant	Will Rysdale	Inadequate working with stakeholders to ensure safety of residential buildings following Grenfell.	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	4	8		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. New government guidance and powers issued January 2019 and in May Government announced £200m fund to remove cladding from private blocks. AVDC to take next steps accordingly.	TBA
15	Andrew Small	Andy Barton	Impact of BREXIT - financial (eg fuel costs), procurement, employment, regulatory, environmental, major projects/partnering arrangements	Impacts all areas of Council activities	4	4	16	Substantial	Detail risk register and action plan, working group monitoring	3	3	9		Brexit risk register updated to reflect possibility of "no-deal". Continue to monitor.	Ongoing
16	Tracey Aldworth	Jeff Mambery	Deterioration of quality of planning service delivery, decisions and timeliness of response to applications in the face of increasing growth demand; compounded by vacancies in the planning team, reliance on consultants and the national reduction in applicants; challenge locally due to job market and growth, unitary uncertainty	Damage to reputation, customer complaints/appeals, delayed applications, status as Planning Authority.	4	3	12	Substantial	Planning Advisory Authority workshop, Planning performance report to Audit Committee October 18; customer journey analysis, member case load, planning updates & communications etc, range of recruitment strategies	3	3	9		2 new roles approved November 18 - ongoing focus on recruitment and retention Process review of caseload management Consider planning improvement priorities as part of Transition year plan.	



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17	Andrew Small	Andy Barton	Health & Safety - Non compliance with Fire and Health and Safety legislation. Failure to provide a safe place for staff and visitors on AVDC property and/or events.	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. 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 mnths. 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. New lone working devices and 3 year contract purchased.	2	3	6		Resource/capacity challenges - recruitment of full time H&S manager in May 19 but vacant positions H&S Advisor, Operations H&S Manager at Pembroke Road - to recruit, then can deliver workplan. 1. Management of asbestos & legionella currently being reviewed in line with new M&S service contract. Statutory programme to be followed - ongoing. 2. Sector risk assessments and risk profiling in progress 3. Action plan developed following assessment visit in April from Counter Terrorism Prevention Advisor (CTPA) about the new CSC, safety of staff and general security of the building.	May-19
18	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. Table top exercise run Dec2018. Public Events Management steering group set up & Duty holders established. Security contract in place and Silver command. Crowd Safety Management consultancy review. Resilience workshop with Local Resilience Forum to focus on long term response planning. Thames Valley Local Resilience Plan in place,	2	3	6		Events Safety Management Frame work agreed to ensure consistent approach and accountability. Crowd Safety consultancy has advised on Safety Plans prior to WhizzFizz. Future events will build on this.	
19	Andrew Small	Andy Barton	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	3	6		All the BCPs being reviewed and updated to ensure fit for purpose.	Jun-19
20	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 completed.	Mar-19
21	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). Member training on Safeguarding 2018.	2	3	6		Training needs assessment for different roles to be completed. Training for level 2,3,4, being developed. New starter mandatory induction training - IT solution to monitor & enforce completion	Jun-19
22	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			
23	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			

**Corporate compliance/safety risks:**