




Quarter 3 Performance Report Summary

Presented below is a summary of performance up to the end of December 2020, in line with the commitments made in the Council Plan 2019 - 2023. The table provides a summary of the differences that we are making for Derby and the on-going impacts of COVID-19 that we are working to mitigate; as we seek to support the city to live with, and recover from, COVID-19.

More detailed updates are provided on pages 3 to 21.

Council Plan 2019-2023 priorities	Reflecting on the on-going impacts of COVID-19 on our performance	Continuing to make a difference for Derby
<p>A city with big ambitions</p> 	<ul style="list-style-type: none"> ➤ Over the last quarter, as we have entered on-going periods of lockdown our economic activity has been focused on supporting the national COVID response for businesses. Our local activity and the successful payment of grants has supported in a reduced risk on business resilience, which is under regular review through our Economic Steering Group and supporting Taskforce. Key actions for recovery have been published within the Derby Recovery Plan 2021/22. 	<ul style="list-style-type: none"> ➤ Despite the restrictions local areas are facing in hosting and supporting access to cultural events during periods of national restrictions, we have worked with our partners to host events on the Market Place and at Markeaton Park, which attracted over 20,000 attendances in COVID secure settings. ➤ We are improving our processing timescales for Education, Health and Care Plans, with 81% of all <u>requests received since April 2020</u> being issued within target timescales. We have also worked across the local area to co-produce our improvement activities, which has resulted in our strategic Written Statement of Action risk also now being assessed as an opportunity to exploit. ➤ The Derby Climate Change Commission has been established as the partnership oversight group. It is in the process of establishing four action hubs, which will focus on housing, transport, business and community. These were selected because of their impact on Derby's carbon footprint. ➤ Detailed planning permission has been granted for the first phase of the £200 million regeneration of the Becketwell area of Derby city centre, with development work to start in late Spring.
<p>A city of health and happiness</p> 	<ul style="list-style-type: none"> ➤ There continues to be high demand for our statutory social care services. Whilst we have not enacted any of the Care Act easements, we have seen a rise in pressure within our Children's Services Reception Team, which has resulted in an increase in agency staff within the service. Our priority will continue to be making sure we are effectively safeguarding our children, young people and older people. ➤ The pandemic has created further integrated working opportunities around hospital discharge, care home support and protecting vulnerable residents. ➤ Whilst we have continued to work with our NHS providers to deliver our programme of work to reduce health inequalities within the city, progress on some of our strategic plans has been impacted by COVID, as capacity has been moved to support the city's response. 	<ul style="list-style-type: none"> ➤ Through effective and robust implementation of thresholds and working to support children and young people to exit care safely and appropriately, we have worked to stabilise the total number of children in care, pausing a previously increasing trend. ➤ There have been 544 homelessness approaches during this quarter, with 378 of these resolved in the prevention or relief duty. During the quarter, there were also an additional 63 private rented tenancies made available for Housing Options customers reducing the need for temporary accommodation. ➤ The Handyperson and Healthy Housing Hub services have been heavily involved with supporting hospital discharge works, focusing support in line with the greatest areas of need. In total, since the start of April, we have supported 622 households through the Handyperson service and 475 through the Healthy Housing Hub. ➤ We are on target to achieve approximately 234 affordable homes by the end of 2020/21, which is an increase on historical outturns. ➤ Work on Derby's Moorways Sports Village has reached an important milestone; the steelwork and

Council Plan 2019-2023 priorities	Reflecting on the on-going impacts of COVID-19 on our performance	Continuing to make a difference for Derby
	<ul style="list-style-type: none"> ➤ We have seen a reduction in crime and anti-social behaviour incidents in the city centre, as footfall has reduced. 	<p>main structure of the building have been completed allowing our contractors to move on to cladding and internal fit-out, as the development moves towards opening in spring of 2022.</p> <ul style="list-style-type: none"> ➤ Despite the pandemic impacting on our strategic delivery in public health services we have continued to work with health providers across the NHS to support improved outcomes for our residents.
<p>A council focused on the things that matter</p> 	<ul style="list-style-type: none"> ✓ Despite a reduction in the overall working days lost to sickness, we have seen an increase in the percentage of all absences due to stress/anxiety, which may have been impacted by the pandemic. Furthermore, without the recorded COVID related absences our total working days lost due to sickness absence (per full-time equivalent) would be just over 7 days, which would have put us in line with our local targets. 	<ul style="list-style-type: none"> ➤ We have continued to deploy digital technology to support our colleagues to work safely, remotely and effectively. ➤ We have launched our new website and supported the COVID response by ensuring requests for support are available online. ➤ A colleague portal on our intranet has been launched with a focus on mental health and well-being and we have hosted a number of sessions for our colleagues during this quarter led by Dr Andy Cope and his team (The Art of Brilliance).






A city with big ambitions





Derby is a great city, but we can be even better. We're already world leaders in some fields and, with the right support, our citizens can achieve great things. This theme is about ambition, being connected to the world and ready to optimise the opportunities that lie ahead.



Key highlights – making a difference



Item description	Type*	Q3 position	Additional information
CYP DA04 1920 - Work with the schools' sector to improve inclusion		On track	<p>Building on the previous quarter, the activity to support reductions in school exclusions continues to be delivered despite the challenges that COVID presents.</p> <p>SEND activity has also continued at a pace, with improving outcomes being reported in our Written Statement of Action progress meetings with the Department for Education and NHS England. Progress is monitored locally through our Local Area SEND Board.</p>
RE5 – Becketwell		Amber / Red	<p>Positive progress has been made with this project over the last reporting period (as reported to the Project Board) including:</p> <ol style="list-style-type: none"> 1) Duckworth Square Exclusivity Agreement (EA): Agreed Heads of Terms for Option Agreement 2) Funding: Submitted Full Business Case (FBC) to D2N2 (Local Enterprise Partnership for Derby, Derbyshire, Nottingham and Nottinghamshire). 3) Pennine Demolition: Executed demolition contract. 4) Commenced detailed design Public Square and Phase 1A development. 5) Phase 1 - Build to Rent Scheme (SJS): Resolved funding gap issue. 6) Project Management: Programme Management Office (PMO) Board gateway review held 18 November 2020 and passed. <p>It should however be noted that whilst the project is assessed as deliverable, there are a number of significant risks, which is a key contributor to the current project status.</p>
FD2 – Our City Our River: Package1 & committed works in Package 2&3 (Munio)		Green	<p>An update on Our City Our River (OCOR) project was reported to the PMO Board in January 2021. The following updates were noted:</p> <p>Phase 1 is near completion and the outputs from the works completed are in line with initial project aims (i.e. 810 homes and 330 businesses protected through the works completed).</p> <p>Phase 2 – work is on-going from January 2019 to the end of December 2022 including:</p> <ul style="list-style-type: none"> o delivery of flood gate at Derwent St, flood resilience for Riverside Gardens, enhanced protection in Pride Park o a new Pumping Station at Mill Fleam for Markeaton Brook flow into the Derwent (Tender for Design & Build Construction Contract scheduled for Spring 2021)





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			Phase 3 <ul style="list-style-type: none"> City Centre activities will be part of the 'refreshed Masterplan' that is a key action within the Derby Recovery Plan.
HT11 / HT16 - A52 Strategic Transport Scheme		Green	<p>The footbridge opened on 29 October 2020. The attenuation tanks (storage system for rainwater & surface water) are now fully completed and operational. The scheme has substantially been completed, with all traffic management removed and the road network is now fully open.</p> <p>Work will continue on landscaping and the public realm, to be completed between January 2021 and the end of March 2021.</p> <p>It should be noted that due to the progress that has been made that the risk associated with this project (Inability to deliver the A52 programme), which has previously been a strategic risk, has been reduced down to a score of 3; as the likelihood is now judged to be 'low'.</p>
RE10 – Castleward		Amber / Green	<p>The progress status of this project remains unchanged from the position reported at the end of September 2020.</p> <p>Activity is continuing on the Compulsory Purchase Orders and a Public Inquiry is scheduled for January 2021.</p> <p>At the end of December 2020, work on the school was on target and within budget.</p> <p>The next phase of the project will be demolition once site inspections have been completed.</p>
SR 6 - Ineffective project management governance: Variable approaches across the Council in the management and delivery of major capital projects to agreed objectives and budget		Risk score 9	<p>This risk remains medium (likelihood 'probable' with a 'high' impact) and the position is unchanged from that reported at the end of September 2020.</p> <p>It should be noted that one previously established control is no longer in place, as the Corporate Capital Programme Board is not meeting. Regular monitoring of capital spend does however continue, and a wider review of project governance is underway to align activity with our Recovery Plan 2021/22.</p>
GL DA05 1920 - Ensure effective oversight of project activity through the Programme Management Office and stronger project management documentation and processes		Some slippage	<p>A roadmap for the development of the Programme Management Office is in place and recruitment to an Assurance Lead has commenced, which will strengthen mitigations.</p> <p>Activity over the next quarter will focus on governance and reviewing risk registers, with a particular focus on our high priority projects.</p>
RPP DA12 1920 - Develop the Transforming Cities Fund (TCF) programme with Nottingham City Council and deliver Tranche 1		On track	<p>TCF activity has been established under a new Mobility Programme, which brings together several external funding programmes. A Derby Board has been established and a workshop with the extended membership will be held in February 2021 to gain greater understanding of the Mobility programme across a wider audience. There are also presentations planned to a range of forums, which included an update to the PMO Board in January 2021.</p> <p>Tranche 1 schemes are nearing completion in the next</p>


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			quarter and continue to move positively. Tranche 2 feasibility and design activity are under way and we work with Nottingham on programme assurance using the D2N2 LEP (Local Enterprise Partnership for Derby, Derbyshire, Nottingham and Nottinghamshire) framework.
SR 19 - Business resilience and loss of jobs: Business resilience and loss of jobs in light of COVID-19		Risk score 6	<p>The risk definition has been updated to <i>“Business resilience in Derby is impacted by COVID-19”</i> recognising that we cannot control all the things that will have a negative impact on business resilience within the city. Our mitigations and actions describe the contribution and interventions we are making locally; alongside, in addition to, and as part of the national effort/strategy.</p> <p>Overall, since the position reported at the end of September 2020, the risk likelihood has decreased from 'almost certain' to 'probable' while the impact has decreased from 'high' to 'medium' (discussion at COVID Programme Board 08.12.2020).</p> <p>Key actions in place to control and mitigate this risk include:</p> <ul style="list-style-type: none"> • Administration of government packages of support. • An Economic Taskforce is in place to drive recovery across the business sector. Chaired by the Chief Executive, the Steering Group will create a robust economic impact assessment to understand the impact on different sectors of the economy and how we can support business to adapt to the future, establishing a range of measures to support those who become unemployed. The Group will also create a new city centre masterplan and Economic Recovery Fund to drive resilience. • We continue working with local businesses to create a safe, COVID secure environment. • We are taking quick reactive and proactive steps as guidelines change, or as we become aware of issues.
Regen PM18 - Investment generated in Derby as a result of Council interventions		£26.466 million	The local area has been focused on supporting our economic response and recovery to COVID, consequently, there has been no change in the investment generated since the position reported at the end of September 2020. To date this year, 42 Derby Enterprise Growth Fund (DEGF) projects have been closed since the start of April 2020 and over £26 million has been generated.
L&C PM04 - Attendance at Derby Live produced, presented and supported events and performances		27,297	Despite the impacts of COVID on our events, between October and December 2020 we were able to host events on the Market Place and at Markeaton Park, which attracted over 20,000 attendances in COVID secure settings.
SP DA03 1920 - Explore ways in which climate change can be mitigated		Some slippage	<p>The Derby Climate Change Commission has been established as the partnership oversight group. It is in the process of establishing four action hubs, which will focus on housing, transport, business and community. These were selected because of their impact on Derby's carbon footprint.</p> <p>The Hubs will assess current activity over the coming months and work up plans to further decarbonize during</p>

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			<p>2021 and 2022. The Council has also set out a vision for Derby as a centre for future fuel technology and commissioned a study into the potential to create a hydrogen economy in the region. The study has already gained considerable momentum and collaboration across businesses and local authorities.</p> <p>The internal working group is looking at how Derby City Council can be less carbon intensive and more climate resilient. An assessment of current activities is on-going to identify good practice and key gaps. An action plan will be developed to help to prioritise projects to drive down carbon emissions.</p>

Key highlights - our priorities for improvement

Item description	Type*	Q3 position	Additional information
SR17 - Inability of Local Authority and Local Area (Local Authority and key local Health partners jointly) to implement the SEND reform: Failure to make sufficient progress against the WSoA before next OFSTED inspection (a year to 18 months from when the Written Statement of Action (WSoA) was agreed – Dec 2019)		<p>Risk score 8</p> <p>Opportunity score 12</p>	<p>This risk remains a 'medium' threat ('possible' likelihood with 'very high' impact) and continues to be treated via the controls and actions in place and on-going...</p> <ul style="list-style-type: none"> Established Local Area Board, Delivery Group and Impact and Analysis Group to support the delivery, monitoring and evaluation of the Written Statement of Action. The Project Board meets fortnightly and provides strong project governance with regular reviews of progress, issues and risks. All groups within the Local Area SEND governance structure receive monthly progress reporting, copies of summarised reporting (to and from the Delivery Group) and a full issue and risk log to review in line with their specific responsibilities <p>There has been a new mitigating action added over the last reporting period – <i>"Full review of (WSoA) actions and progress reporting"</i>. To date on this action, a revised a project plan was developed throughout November for outstanding works, which was considered at the Local Area SEND Board in December 2020, and is now complete subject to a final review by Senior Responsible Officers and Local Area SEND Board sign off.</p> <p>Under our updated risk and opportunity risk matrix, this risk has also been re-assessed as an 'opportunity', which is to be exploited. The risk opportunity rating is considered to be 'probable' with a 'significant impact'.</p>
IC Obj02 1920 - Improve SEND Service performance and meet statutory deadlines in line with SEND Code of Practice		<p>On track</p>	<p>Improvement work has continued throughout COVID with many workstreams reported as 'complete' (please refer to the update presented on the WSoA risk).</p> <p>There is improving performance on the completion of Education Health and Care Plans (EHCPs).</p> <p>Impact summary reports have been developed to capture project impact and next steps (reflecting sustainability), which has informed the identification of this area of activity as an 'opportunity'.</p> <p>COVID impacts on specific areas are known and managed through COVID Impact Management Group,</p>

Item description	Type*	Q3 position	Additional information
			including the bid for funding to support families directly. Virtual SEND Family Hubs are being implemented to manage demand on SEND services, EHCPs and E3 (high needs) top up funding. This transformational community-based model will build capacity through investment in the third sector and partners, focussed on providing essential early support.
SEND 06 (L&I PM26a) - Percentage of new Education Health Care Plans (EHCPs) issued in 20 weeks		24% of all plans have been issued in 20 weeks	The performance of 24% represents the cumulative position, including 'backlog' plans received before April 2020, where the statutory timescales had already been exceeded. For those requests for plans received between April 2020 and December 2020, 81% have been processed in target timescales. <i>It should be noted that following the recommendation from Executive Scrutiny that Annual Reviews performance will be monitored from April 2021 onwards, in line with the Derby Recovery Plan and SEND Strategy.</i>
C PM23 - Number of students at specialist out of area educational settings (INMSS and SP16i)		201	There has been an increase (nine placements) in the number of students in placements outside of educational settings from the position reported at the end of September 2020. We continue to monitor placements closely through our Resource Allocation Panel, seeking in-area placements, where possible.
PR4/ PM52 – The Market Hall transformation <i>It should be noted that the financial delivery confidence rating for this project has improved from 'red' to 'amber/red'.</i>		Amber / Red	The focus during this reporting period has been to progress Phase 1 works on site, alongside commencing a review of Phase 2 design and undertaking an options appraisal of the decant of traders from the Market Hall by 7 June 2021 (Section 25 notices were issued to traders on 4 December 2020). Decent options still need to be confirmed to limit the impacts on this project.
CD&G Obj02 1920 - Refresh the City Centre Masterplan and deliver major regeneration projects in line with the Masterplan and Economic Growth strategy		N/A Update to be presented at the end of Q4 as this action has been re-defined in line with our Recovery Plan	The refresh of our City Centre Masterplan is within our Recovery Plan 2021/22 – “Create a new Derby City Centre Masterplan, which addresses head-on the need to reinvent the purpose of the central business district”. The deadline for the completion of this activity is the end of December 2021, and key outputs and outcomes we are aspiring to achieve include: <ul style="list-style-type: none"> a published City Centre Masterplan, which sets out a clear longer-term vision for the re-invention of the city centre a more vibrant, active and connected city centre that has a clear role and purpose and which provides a destination people will choose to visit more businesses and office workers in the city centre more people living in and close to the city centre.
PTE Obj02 1920 - Develop the Derby Infrastructure Plan in collaboration with the National Infrastructure Commission		Some slippage	The options and issues report are reaching the end of the second phase of the consultation process. This tested the six themes and seven objectives that had emerged from the initial engagement. Pressures from the pandemic continue to have an impact on the pace of work, but the final report will be completed by the end of March 2021, which will inform

Item description	Type*	Q3 position	Additional information
SR11 - BREXIT transition affects delivery of services: BREXIT transition impacting the delivery of council services and wider outcomes for the city		Risk score 9	<p>the development of the Derby Vision.</p> <p>The position at the end of December 2020, represented an increase in risk from that at the end of September 2020. With the risk likelihood being increased from 'possible' to 'probable', due to the proximity to the end of the transition period. The risk impact stayed 'high'.</p> <p>To mitigate this risk, the Brexit Planning Group increased frequency of meetings to fortnightly in December 2020. Our risk register was updated and reported to Corporate Leadership Team and additional Brexit Fund approvals were made. Horizon scanning for new guidance was in place and we were taking part in weekly Local Resilience Forum meetings during December. The deal was not announced until 24 December, and subsequently a summary of this was circulated to Brexit Working Group on 29 December and local impacts were considered in January 2021.</p>

* Type – for the type of metrics and guidance please refer to pages 22 and 23.







A city of health and happiness





Whilst we look to the future, we are also focussed on making Derby a great place to live in the here and now – somewhere that people from all generations and all backgrounds can have a good quality of life, and feel part of a thriving community, because we know that a happy city is a healthy city.












Key highlights - making a difference

Item description	Type*	Q3 position	Additional information
ASC DA02 - Maximise the potential of working with the NHS and other partners to produce efficiencies and better service outcomes (ASC)		On track	<p>Despite the focus on COVID, there has been positive progress in this area...</p> <ul style="list-style-type: none"> • Priorities within the Derby Place Alliance have been agreed and the 'Strategy for Place' has been published. • The winter plan support to Royal Derby hospital is in place. • A joint commissioning opportunity programme with the NHS Derby and Derbyshire Clinical Commissioning Group and County Council is being scoped. • There is a care homes support and GP home visiting service in place. • The pandemic has also created further integrated working opportunities around hospital discharge, care home support and protecting vulnerable residents.
CD&G Obj04 1920 - Support residents to remain safe and independent in their own homes through repairs, adaptations, aids and advice		Some slippage	<p>The Handyperson and Healthy Housing Hub services have been heavily involved with supporting hospital discharge works, focusing support in line with the greatest areas of need.</p>
IC PM06 - Number of households assisted through the Healthy Housing Hub with repairs, improvements, adaptations, and advice		475 households	<p>Other activity normally carried out through both services, and the Disabled Facilities Grants Team, has been put on hold at various points in the year due to the vulnerability of the client groups that these teams support.</p>
IC PM05 - Number of cases completed by Handyperson Service		622 cases	<p>It should also be noted that some jobs are taking longer to complete; as contractors and customers have either had COVID or had symptoms, which has prevented visits/works in homes. Best practise continues to be observed to ensure safe working with our vulnerable clients during the pandemic.</p>
IC PM07 - Number of Disabled Facilities Grant adaptations completed		77 adaptations	<p>Despite the need to prioritise and the challenges which COVID has presented, activity has continued to ensure we can effectively support some of our vulnerable residents.</p>
PH Obj02 - Improve health and wellbeing through effectively commissioned and managed provided services that are Adverse Childhood Experience (ACE) informed		Major slippage	<p>Capacity to progress this area has been impacted by COVID. We have seen 50% of our Commissioners re-allocated to focus on COVID, and delivery by providers (mainly the NHS) has also been dramatically impacted. NHS staff were redeployed to COVID wards, self-isolating, off work (ill) or shielding.</p> <p>The combined result has been a limited ability to performance assure Public Health contracts (by Commissioners) and an inevitable impact on</p>





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			<p>performance reporting for areas such as sexual health and 0-19 Public Health Nursing (with associated drops in outcomes). It should be noted that quarter 4 is likely to be similarly impacted.</p> <p>Despite these challenges, we have continued to deliver services to support and improve public health, as identified by our performance measures below.</p>
PH PM14 - Successful completions as a proportion of all those in drug treatment (opiates)		6%	<p>The successful completion rate at quarter 3 is 6%. National guidelines have restricted access to non-treatment community support services and most remain closed. Therefore, treatment services encourage individuals to remain open to them to monitor risks.</p> <p>It should be noted that due to the pandemic face to face support is limited.</p>
PH PM15 - Total numbers in effective alcohol treatment		484 individuals	<p>At the end of December 2020, there were 484 individuals in effective alcohol treatment. The treatment provider is following national guidance, so face to face support continues to be limited.</p> <p>We expect to see an increase in demand for alcohol services due to the pandemic and subsequently alcohol treatment services need to be promoted and capacity increased to support delivery as we progress through 2021 and beyond.</p>
PH PM16 - Smoking quit rate (percentage stopping at 4 weeks)		61%	<p>Smoking cessation has remained consistent throughout the year and it is anticipated that the outcome target will be exceeded at the end of March 2021.</p> <p>The service is being offered remotely and is supported by the Nicotine Replacement Therapy delivery service.</p>
PH PM17- Total number of first attendances in Sexual Health clinics (in area) % (this includes all attendances/contact)		5,457 attendances	<p>Whilst only slight down (2.9%) on the same period last year, the impact of the initial and current lockdown continues to affect in-clinic service provision.</p> <p>The service provider continues to follow national guidance to reduce face to face services to all but urgent/emergency cases.</p> <p>The use of digital services continues to increase and has been expanded to ensure services remain accessible.</p>
PH PM18 - Percentage of children and young people that have had a 6 to 8-week Public Health Nursing review		97.6%	<p>This health review has continued to be prioritised during the pandemic. The reviews are completed through a range of methods depending on the circumstances of the family including home visits, clinic appointments, virtual discussions and telephone interviews.</p> <p>Robust risk assessments are completed to determine the best approach for each individual case.</p>
PH PM19 - Total number of universal health assessments (0-5 years)		9,795 assessments	<p>Performance has remained positive despite the restrictions around home visiting and the cessation of the National Child Measurement Programme and vision and hearing screening programmes.</p> <p>Reviews have been completed through a range of methods including, home visiting, clinic appointments, video conferencing and telephone interviews; depending on the circumstances and needs of the family. Robust risk assessments are completed to determine the best approach in each circumstance.</p>





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DD6 - Swimming Pool/Moorways		Amber / Green	<p>The construction contract/works commenced in February 2020...</p> <ul style="list-style-type: none"> • Roadways tarmacked • Underground service ducts installed • Steel superstructure erected • Concrete pour to main pool base • Walls completed. <p>Overall, progress has been positive with effective COVID secure measures being demonstrated.</p> <p>The capital element of the scheme is forecast to be delivered within budget, assuming: COVID costs are a contractor risk, there are no programme changes and that changes to the scope for the project are limited.</p> <p>Reviewable Design Data (RDD's) and Request for Information (RFI's) continue to be progressed well with many RFI's around design being closed out.</p> <p>Terms of Reference for the Board have been reviewed and updated in November 2020, and all risks are reviewed and updated on a monthly basis.</p>
PPS PM01 - Number of recorded crimes in the city centre (rolling 12 months)		2,817 crimes	<p>The position reported is the 12-month rolling period from November 2019 to November 2020. Overall, the total number of crimes has reduced. Incidents of violence, robbery and personal crimes are down within the city centre due to the lack of opportunity with suppressed footfall because of COVID restrictions (including impacts of the night-time economy being closed).</p> <p>It should be noted that historically crime increases in December and we need to continue to work with stakeholders across the city to minimise the impacts of any crime (i.e. shoplifting) on our recovery.</p>
PPS PM02 - Number of reported anti-social behaviour (ASB) incidents in the city centre (rolling 12 months)		1,142 incidents	<p>The position reported is the 12-month rolling period from November 2019 to November 2020. Incidents of anti-social behaviour within the city centre have reduced because of a decline in footfall due to COVID. There have been some identified issues within the city centre between vulnerable members of our communities and targeted activity is on-going to address this and support individuals.</p> <p>Environmental issues such as fly-tipping have risen across the city.</p> <p>Falls in cycle thefts are due to concerted efforts to detect a small number of key offenders responsible for multiple crimes.</p> <p>It is positive that there has been a reduction in knife offences, but public order incidents have increased slightly with December not being included within this period.</p>
YA&H PM08 - Number of new affordable homes provided (gross)		151 homes	<p>Despite the fact there have been some slippages in completions due to COVID (lockdown periods impacting on onsite work and supply chains), the position has increased from 87 to 151 over the third quarter of 2020/21; with a forecasted figure of 234 completions by the end of March 2021.</p>




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CD&G Obj03 1920 - Accelerate the delivery of new housing, including affordable housing		Some slippage	The effects of COVID and the associated lockdowns have inevitably had some effect on the pace and delivery of both private and public sector housing developments in the city. Despite this, we are on target to achieve approximately 234 affordable homes at the end of 2020/21, which is an increase on historical outturns and exceeds our local targets.
ASC DA04 1920 - Reducing homelessness and enabling access to affordable housing		On track	<p>There have been 544 homelessness approaches during this quarter, with 378 of these resolved in the prevention or relief duty.</p> <p>During the quarter there were an additional 63 private rented tenancies made available for Housing Options customers.</p> <p>The number of evictions from privately rented housing remained very low due to the suspension of court proceedings during the lockdown and a 6-month notice period now required to be given by landlords.</p>
DH H&A PM02 - Number of homeless approaches - those where an HRA application is activated on RARS		1,642 approaches	<p>The total number of approaches since the beginning of April 2020 is 1,642.</p> <p>There were 544 new approaches this quarter, a 6% decrease on the last quarter's figure. Based on historical trends there is generally less 'new' activity in the third quarter of the year, because families are more accommodating for the Christmas period and there are fewer working days in December (however, lockdown and COVID restrictions may have limited opportunities for this).</p> <p>The greatest decrease (31%) was in the number of applications made due to domestic abuse, which needs to be monitored closely as COVID restrictions may be impacting on the ability of victims to access services and seek assistance.</p>
DH H&A PM06a - Number of new households placed in bed and breakfast (B&B) in a month - singles		324 individuals	<p>Since the beginning of April 2020, 324 single households have been placed in B&B. There were 25 new placements in December, 6 fewer than in November but this is still relatively high and partly due to the continuance of the 'Everyone In' policy.</p> <p>The Severe Weather Emergency Provision is also using B&B as one option because the Night Shelter is not deemed suitable during the pandemic.</p>
DH H&A PM06b - Number of new households placed in bed and breakfast (B&B) in a month - families		73 households	There have been 73 families placed in B&B since April 2020 with 7 of those placed during December. This is 2 fewer than those placed in November and is lower than the average number of monthly placements in 2019/20. This is partly due to successful prevention action being taken before a household becomes homeless. Demand has also been affected by the lack of court eviction proceedings due to the special COVID measures.
DH H&A PM09 - Number of new households placed in temporary accommodation other than bed & breakfast in a month		119 households	<p>Since the beginning of April 2020 there have been 119 new households in temporary accommodation, other than B&B, with 13 of these being placed in December.</p> <p>This is in line with the average number of placements per month for this financial year.</p>





Item description	Type*	Q3 position	Additional information
<p>SR 25 - COVID exit plans are not sufficiently robust to support the long-term response to rough sleeping and homelessness (including those at risk) in the city</p> <p><i>This risk is jointly owned with MHCLG.</i></p>		<p>Risk score 12</p>	<p>The risk rating remains the same as the position reported at the end of September 2020. We have been notified that our grant levels for homelessness in 2021/22 will be at least comparable with 2020/21 levels; this would reduce the likelihood of the risk in the short term, however the risk remains the same for longer term (3+ years based on the guidance for assessing this as a strategic risk). We will have further bid opportunities commencing in February 2021, which will be reported in the quarter 4 report.</p> <p>To mitigate this risk the following controls are in place and actions completed:</p> <ul style="list-style-type: none"> Working with homelessness forum partners to discuss future provision of supported accommodation, with the group widened to include a wider cohort of Supported Housing Providers over the last quarter. Private Rented Sector Landlords Recovery Plan in place. Regular reviews of the rough sleeping action plan. Registered Providers (RP) workshops completed to enlist support of sector in responding to the city's housing priorities during COVID.
<p>LCT Obj11 1920 - Complete the next steps of the Options Appraisal for Leisure, Culture and Tourism</p>		<p>On track</p>	<p>Progress continues to be made in this area:</p> <ul style="list-style-type: none"> Business case figures have been reviewed. Market engagement exercise completed, and results shared. Options analysis exercise has been completed, the results have been shared, and briefings have been completed. Options appraisal report has been finalised and will be communicated. Briefings have been provided on operator models for Moorways Sports Village. A tax workshop has been completed with Tax Advisor. <p>Given the impacts of COVID, an assessment of its implications on the leisure market have also taken place; with key actions to support response with the Recovery Plan 2021/22.</p>
<p>LCT PM05 1920 Proportion of adults who are physically inactive (from Active Lives survey)</p> <p><i>Bi-annual national survey measure</i></p>		<p>25%</p>	<p>The latest data shows a slight increase in physical <u>inactivity</u> levels in adults (16yrs+).</p> <p>COVID has had a significant impact on physical activity levels, and whilst there was a slight increase in the number of active people (achieving Chief Medical Officer recommendations for physical activity of 150 minutes per week) there remain inequalities in activity levels, which we will target through our local area Recovery Plan.</p>

Key highlights - our priorities for improvement

Item description	Type*	Q3 position	Additional information
SR 18 - Increase in number of individuals/households 'in need' following COVID		Risk score 16	<p>This remains a significant risk as we have seen a rise in need across both services for children, young people and adults:</p> <ul style="list-style-type: none"> We have recorded over 1,600 homelessness approaches (including those at risk of losing their home) in the first 9 months of 2020/21, despite national policy to limit evictions during COVID Between April 2020 and the end of December 2020 there was a 35% increase in referrals, compared to 2019, to our Adults Multi- Agency Safeguarding Hub, with increased complexity of need in the cases we are supporting. We recorded a 26% rise in referrals to Children's Social Care during the first 9 months of 2020/21 compared to 2019/20, including a 38% rise in domestic abuse referrals. <p>Controls to mitigate this risk remain in place with regular senior oversight with further actions taken as appropriate (i.e. use of agency staff); however, it should be noted that due to a rise in demand the department risk score on capacity within Early Help and Children's Social Care has increased.</p>
PH Obj05 - Support improvements in health and wellbeing through a focus on health improvements and wider determinants		Major slippage	<p>The Tobacco Control Strategy and Plan is still on hold, though existing work is continuing. Drinkaware are reviewing proposals to see what interventions can be implemented during current pandemic restrictions, whilst the main project is continuing to be postponed.</p> <p>Most of the work in this area has continued to be put on hold due to resources being required for COVID. Work has however continued building on the strong community response to the COVID crisis to develop future community assets and resilience, which are areas reflected in the Derby Recovery Plan 2021/22.</p>
EHCS PM22 - Total number of agency workers in Children's Social Care		17 workers	<p>The number of agency staff has increased this quarter (there were 12 at the end of September 2020).</p> <p>Some additional capacity has been required in the Reception Service due to COVID pressures (please refer to risk SR 18 - Increase in number of individuals/households 'in need' following COVID), alongside a high number of maternity posts to cover.</p> <p>Senior Managers continue to review this position monthly, including through our Derby Safeguarding Assurance Meetings, and service leads progress social worker interviews on a regular basis to ensure we have sufficient permanent workers in post.</p>
SS PM07 - Children in Care per 10,000 population aged under 18 (EISS PM05)		106.9 per 10,000 population	<p>At the end of December 2020, there were a total of 640 children in care in Derby, which is above the comparable position in 2019 when 574 were in care.</p> <p>Despite rises at the start of 2020/21, we have seen our position stabilise with there being 641 children in care at the end of September. Actions that we have taken, which may have contributed to this position include:</p> <ul style="list-style-type: none"> more robust thresholds applied at gateways panel a number of adoptions achieved this year,

Item description	Type*	Q3 position	Additional information
			<p>supporting children and young people to exit care safely and appropriately</p> <ul style="list-style-type: none"> the work of our Child Permanency Team (CPT) and the wider implementation of our Staying Together Team. <p>Over the final quarter of the year we will continue to seek opportunities for children to safely exit care (i.e. through our CPT, where we have some new starters, and our Independent Reviewing Officers), and where possible support families to stay safely together.</p>
PS2 - Strategic Demand Management (high demand, sufficiency challenges and budget implications)		Amber / Green	<p>There continues to be progress made on several workstreams within this programme of work:</p> <ul style="list-style-type: none"> Home to School Travel – the block contract for provision has gone live, which will generate savings estimated of more than £100,000. Our Children's Payment Process is now largely in place, and additional enhancements will be progressed following the completion of other priorities in systems developments for SEND. Services Interventions and Prevention – Our 'Room to Spare, Time to Care' initiative has been handed over to Community Action Derby to progress. There has however been a delay in opening the second Children's Home due to delays in recruiting a Home Manager, which will impact on placement choices. Close links with Derby Adult Learning Service have been established to create a recruitment pipeline and help to invest in wider city issues. <p>It should be noted that the financial assessment for this project remains assessed as 'amber/red' due to pressures created through increase in need for placements for our children in care.</p> <p>Overall, whilst programme activity continues, it should be noted that 'slight slippage' is reported by the Project Manager due to COVID impacts on capacity.</p>
S10 - Budget overspend due to high numbers of children in care: Continued high demand for statutory children's social care services, with insufficient numbers of Derby Foster Carers to reduce our spend on external IFA placements		Risk score 16	<p>This remains a significant area of risk given the high numbers of children in care that we are supporting.</p> <p>A review of the likely impact of the Children's Social Care budget has been commissioned as a result of the pandemic. This is currently out for consultation and will be approved as part of next year's budget.</p> <p>All established controls in place to mitigate this risk continue, alongside work to progress our additional actions highlighted.</p>
CYP DA02 1920 - Safely reduce the number of looked after children, including those placed out of area using expensive Independent Fostering Agencies		Major slippage	<p>The service has built on the progress achieved in quarter two, by continuing to reduce the percentage of children in Independent Fostering Agency (IFA) placements from 74% at the end of September 2020 to 73.2% at the end of December 2020.</p>
SS PM23b - Percentage of children placed with independent fostering agencies (IFA)		73.2%	<p>This has been achieved by using an agile approach to placing children with in-house carers.</p> <p>Recent recruitment has helped to match various types of demand with supply. A payment for skills initiative has also helped to attract such carers, improving Derby City Council capabilities and capacity.</p>

Item description	Type*	Q3 position	Additional information
CYP2 - Corporate Fostering Recruitment Board		Amber / Green	Overall, there has been a slight decline in the number of mainstream fostering households from the position of 104 reported at the end of March 2020. This is largely due to 13 de-registrations and recruitment activity falling slightly below this with 11 approvals.
SS PM34 - Total number of active approved fostering households		102 households	<p>Recruitment activity has however included the approval of some experienced, previously IFA carers, which has helped to match various types of demand to supply.</p> <p>During the COVID pandemic, the fostering service has adapted by holding virtual marketing/recruitment events. These have helped to maintain a healthy number of enquiries.</p> <p>Assessments, training, and panels have also been undertaken virtually. This has however caused some difficulties, particularly in terms of timescales for statutory checks.</p> <p>As at the end of December 2020, the forecast for the end of March 2021 is 108 households, which is based upon an assumption of nine scheduled approvals and three anticipated de-registrations occurring between January to March 2021.</p>
SR 24 - Inability to meet statutory duties in key service areas due to COVID		Risk score 12	<p>Due to the complex demands of the pandemic this continues to be a significant risk.</p> <p>We are currently experiencing key pressures in relation to our Environmental Health services (specifically food safety); however, we are working to increase capacity and resilience through external recruitment. Internal re-allocations processes have also been reviewed to maximise opportunities for support to be identified.</p> <p>It should be noted that whilst we have not enacted the easements of the Care Act in Adult Social Care, there remains significant demands on the service in response to the pandemic. This primarily relates to:</p> <ul style="list-style-type: none"> • supporting external care providers and family carers to maintain a safe level of support. • having adequate Personal Protective Equipment and robust infection control measures • complying with national guidance and directives, such as testing. <p>Our own in-house care services are also experiencing business disruptions due to front line care staff needing to self-isolate due to COVID exposure or symptoms. There have been multiple COVID outbreaks in care settings that have needed the support of Council officers so that our statutory duty to maintain care for people under the Care Act can be fulfilled. Significant resources are also being deployed to support the NHS, particularly with regards to managing safe hospital discharges and transfers of care.</p> <p>There is monthly reporting to the Children's Safeguarding Assurance Meeting on caseloads, where pressures are reviewed and additional capacity commissioned through agency staff, as required.</p>

Item description	Type*	Q3 position	Additional information
SR 23 - Localised outbreak of COVID: Outbreak of COVID in Derby		Risk score 16	<p>This risk remains unchanged from the position reported at the end of September 2020, given the national context and current lockdown arrangements.</p> <p>To identify and mitigate risks there are a number of controls in place:</p> <ul style="list-style-type: none"> • COVID Programme Board and our Strategic COVID Group (SCG) • Local Outbreak Management Plan • Weekly surveillance reports are published • Test, trace and isolate activity • Extended COVID governance (i.e. the Joint COVID Health Protection Board, the Local Resilience Forum, the Operational Outbreak Group and the Local Engagement Board) • Leading and supporting the vaccination programme
SR14 - Adverse Outcome to estimated fair value determination: Adverse outcome to estimated fair value determination of Long-Term Waste Management Contract		Risk score 16	<p>Work continues to determine the condition of the facility, which has continued throughout quarter 3, with limitations to allow for safe working practice and social distancing.</p>
VP8 - Waste Disposal New Treatment Plant		Red	<p>In addition, there are also wider on-going reviews of the condition of the plant, insurance costs and commercial risk.</p>
DD29 – Roadside NO2 Local Air Quality Plan		Red	<p>Junction amendments works procurement has been completed and a contract has been awarded, with communications drafted ahead of scheduled work.</p> <p>The Urban Traffic Management Control tender process has also been completed and the contract has been awarded.</p> <p>The Senior Responsible Officer has written to the Joint Air Quality Unit to confirm they are up to date on the project and impacts on delivery times. A project plan was shared in December 2020 and monthly meetings have been established.</p> <p>Key areas of risk continue to be COVID, alongside the funding available against the estimated costs of the project.</p>





* Type – for the type of metrics and guidance please refer to pages 22 and 23.





A Council focussed on the things that matter

The City Council is here for Derby, and our third theme brings together all the action we're taking to make sure we are serving the city in a modern and efficient way, and securing the most benefit for every pound we spend. We are your council, governed by the councillors you elect and funded by taxpayers, so listening to your views is a priority for us.











Key highlights - making a difference

Item description	Type*	Q3 position	Additional information
DBD1 - Digital by Default Programme		Green	<p>Key achievements over the last quarter have included:</p> <ul style="list-style-type: none"> • Our refreshed website has been relaunched • Local test and trace system implementation have been completed • A Display Screen Equipment form has been developed • We have enabled the processes for: <ul style="list-style-type: none"> ◦ Business Support Grants after National Lockdown 2 - Open and Closed Grants (Tier 3 Business Support Grants) ◦ Wet-led pubs Christmas Grant (£1,000) ◦ Covid Winter Fuel Grant
ITC2 - Implementation of Windows 10 and Office 365 (Digital Workforce)		Green	<p><u>Windows 10 now production ready</u> Rolled out to over 3,000 live users. Device allocation on-going and we are 'on track' to complete the entire rollout by December 2021.</p> <p><u>Email</u> Physical servers have now been removed from the data centre. Email is now complete.</p> <p><u>Citrix</u> DCC Citrix complete.</p> <p><u>Skype</u> Complete and transferred to business as usual activity</p> <p><u>Software packages</u> Approximately 10 applications remain to be packaged. Expect to be complete within the final quarter of 2020/21.</p>
CM PM01a - Payment of invoices within 30 (+2) days of invoice date		78% within 30 days	<p>Legacy issues for the Accounts Payable service have been effectively resolved, which has resulted in sustainable performance throughout 2020/21.</p> <p>Business as usual payments have continued, alongside COVID grant payments and ensuring responsive payments to small businesses and individuals.</p> <p>Data cleansing continues to ensure accurate and effective performance.</p>
L&D PM07b - Average time taken (days) to issue a Local Land Charges search		12 days	<p>Over the last quarter there has been an increase in demand due to the stamp duty holiday, which is scheduled to cease at the end of March 2021. The service continues to use data to inform efficiencies in the process and reduce the turnaround time.</p> <p>It should be noted that despite the increase in demand, the current performance represents a significant improvement on the 2019/20-year end position of 26 days.</p>

Item description	Type*	Q3 position	Additional information
HR Obj06 1920 Develop a culture where health, wellbeing and attendance is proactively managed		Completed	Completed and launched a portal, with support materials, for colleagues in November 2020.
CP 08f - Average working days per employee (full time equivalents) per year lost through sickness absence - Excluding Schools		7.90 days per full-time equivalent	<p>The year to date figure of 7.90 days shows a decline in absence rate when compared to the comparable period in 2019/20, when there were 8.91 days lost.</p> <p>The top three reasons for sickness remain consistent with those reported at the end of quarter 2...</p> <ul style="list-style-type: none"> Stress/anxiety (30.63% - <i>an increase from the Q2 position of 28.66%</i>) COVID (10.79% - <i>this has increased in prominence from the third most common reason at the end of September with 9.01% to the current result</i>) Absences categorised as 'Other' – (7.27% - <i>this is a reduction from the position of 10.08% recorded at the end of September 2020</i>)
Capacity: There is a lack of capacity within some teams to deliver core service offers, and in some instances meet statutory duties		Risk score 6	<p>This is a new strategic risk, which is assessed as a 'medium' threat at present. It is being 'treated' by a number of established controls:</p> <ul style="list-style-type: none"> Identification of priority services – our 'must do's' within services. Use of agency workers in agreed services. Re-deployment / agile working. <p>It should be noted that there has been 'some slippage' in progress with two additional actions that are being progressed to further reduce this area of threat:</p> <ul style="list-style-type: none"> Define and embed what great leadership looks like at Derby. Identification of lack of capacity/vacancy hotspots to enable service decisions/interventions.
Health and wellbeing: Perceived low levels of emotional health and wellbeing amongst council colleagues		Opportunity score 6	<p>This is a new strategic risk, which has been evaluated as an 'opportunity', which we are seeking to exploit, whilst treating the associated threat by:</p> <ul style="list-style-type: none"> the signposting of wellbeing support and tools available, internally and externally implementing our sickness absence policies and procedures that are in place with regular insight available to managers our Employee Assistance Programme on-going stress risk assessments authentic leadership of remote teams and leaders knowing their teams. <p>It should be noted that the opportunity is currently assessed as 'unlikely' with a moderate impact; given the number of sickness days lost due to stress/anxiety.</p> <p>Over the next quarter there will be further work on additional actions that have been identified:</p> <ul style="list-style-type: none"> hotspot analysis and targeted support for managers defining and embedding what great leadership looks like at Derby.

Key highlights - our priorities for improvement

Item description	Type*	Q3 position	Additional information
SR15 - Inability to deliver a balanced Medium-Term Financial Plan (MTFP): Changes in Government Funding frameworks alongside increasing local budget pressures		Risk score 16	<p>This risk remains 'significant' for the council.</p> <p>The MTFP is currently being finalised for the February Budget setting report. It will balance in Year One. A residual budget gap of £10.507million remains for 2022/23 rising to £13.097million in 2023/24. This is emerging because of the £13million of temporary funding used to balance 2021/22. The impact of the capital programme has been included, however any new pressures and the impact of quarter 3 are not included in these figures.</p> <p>Reserves are monitored on an on-going basis and reported to Cabinet quarterly. We are currently working through the reserves adequacy report that is required to accompany the budget setting process.</p>
SR16 - Failure to deliver against our annual revenue budget: Insufficient resources to meet planned expenditure; external impacts which may impact on long-term financial resilience such as COVID		Risk score 12	<p>Risk remains 'significant'; 'almost certain' with a 'high impact' and continues to be treated via the controls in place. There are sufficient reserves to tolerate the risk at the current level.</p> <p>Tolerance impact score has subsequently been corrected from '4' to '3' to reflect the level of risk appetite currently within this area.</p>
EARS PM53 - Percentage of sickness incidents where a return to work interview has been completed within three working days		70.2% completed in 3 working days	<p>Overall, completion rates are down on the start of 2020/21 and below the comparable period in 2019/20, when 81.8% were completed in timescale at the end of December 2019.</p> <p>The HR and OD service continue to discuss performance data with services and to support managers in achieving improvements, ensuring we are effectively and appropriately supporting our colleagues back to work.</p>
SR 3 - Cyber threats to our systems: vulnerability of the Council's IT estate to cyber attacks		Risk score 12	<p>There has been no change in this risk score from the position reported at the end of September. Our approach to maintaining the security and integrity of our network is nearing completion, including enhanced auditing capabilities.</p> <p>The Information Security Working Group (ISWG) comprises of Information Governance and Technical professionals and meets monthly to identify and address issues as they arise.</p> <p>The completion of revised GDPR (General Data Protection Regulation) and Cyber Security eLearning continues to be a priority with 20% of staff still needing to complete this, and 31% of councillors.</p>
SR 8 - Poor data and records management: Poorly defined, inconsistent records management systems and processes		Risk score 9	<p>A robust data breach reporting process is in place and 'lessons learned' are implemented. 'Lessons learned' are implemented after data breaches and actions, identified as part of audits of key systems, are managed. Security enhancements are also starting to be leveraged.</p>

Item description	Type*	Q3 position	Additional information
PROP Obj03 1920 - Extend the property rationalisation programme to make the most of property we own and dispose of any we no longer need			This risk has been subject to a deep dive risk conversation through the Corporate Risk Management Group in February 2021, to seek further assurances on controls and actions.
SR5 - Non-compliant condition of Council properties		Risk score 12	<p>There are three main areas where we are seeking to mitigate this risk:</p> <ul style="list-style-type: none"> • development of policies, which have been accepted by Policy Committee and are awaiting final sign off. A key next step will be communication and making these documents accessible and impactful • 3rd party leased out property compliance audits where we have considered high risk assets and actioned • Revising our thinking on our buildings manual to make this accessible.
<p>SR7 - Ineffective contract management: Inconsistent and/or poor contract management arrangements that are not in line with our agreed standards</p> <p><i>The risk score has increased from 8 (medium risk) at the end of September 2020 to 12 (significant risk)</i></p>		Risk score 12	<p>Risk likelihood has increased from 'possible' to 'probable' by Corporate Resources Directorate Leadership Team in January 2021; during the quarter three review and challenge on our risks.</p> <p>The main issue identified is training, which has also been added to our emerging risk log, to allow reflection on other areas of learning for our colleagues.</p>

* Type – for the type of metrics and guidance please refer to pages 22 and 23.

Supporting notes

All assessments for the 'Q3 position' reflect the **present** position (as at the end of December 2020), not future forecasts. A summary of the criteria for each assessment is provided below:

Performance measures (🏗️) and Council Delivery Plan action status (📊)

Colour	Status	Measure
Blue	Completed	Performance above the target by 10% or more
Green	On track	Performance is 2% below the target or exceeds it by up to 10% over
Amber	Minor slippage	Performance is between 2% and 10% below the target
Red	Major slippage	Performance more than 10% adverse of target

Projects, marked with the symbol 📋

GUIDANCE on RAG and DCA (Delivery Confidence Assessment)	
RAG rating criteria for Programmes/Projects (PRESENT State)	
Key Criteria	<ul style="list-style-type: none"> Project or Programme is running to time against key milestones and plans The forecast cost is still unchanged from that originally budgeted or the agreed revised budget The scope as agreed by the project /programme board can be achieved within tolerance The business benefits are on track to be realised in line with planned realisation criteria and agreed tolerance levels The RAG rating reflects the assessment that the key risks to the project or programme are managed and mitigated, and the business benefits tracked monitored and managed to ensure that the expected business benefits are realised
Green	All key criteria (Time, Cost, Scope and Benefits) are on track to be achieved. Risks are being managed and do not require escalation.
Amber / Green	One of the key criteria may not be delivered within tolerance; Risks are being managed and do not require escalation
Amber / Red	Two or Three of the key criteria may not be delivered within tolerance. Risks are being managed and do not require escalation
Red	All four key criteria cannot be delivered without further significant intervention (Consider whether the project should continue). Risks are being managed and do not require escalation
Pre Start / Completed	Project / Programme closed / historically not reported on the dashboard/Pre START Stage
DCA rating criteria for Programmes/Projects (Future State)	
Key Criteria	The Delivery Confidence Assessment (DCA) is a statement of the likelihood of the programme/project delivering successfully and achieving the required outcome (FUTURE state) and will sit alongside the RAG status that reflects progress against Time, Cost, Scope and Benefits (PRESENT state).
Green	Successful delivery of the project/programme appears highly likely given all we know and there are no major outstanding issues that at this stage appear to threaten delivery significantly
Amber / Green	Successful delivery appears feasible but significant issues already exist requiring management attention. These appear resolvable at this stage and if addressed promptly, should not present a cost/schedule overrun
Amber / Red	Successful delivery of the project/programme is in doubt with major risks or issues apparent in a number of key areas. Urgent action is needed to ensure these are addressed, and whether resolution is feasible
Red	Successful delivery of the project/programme appears to be unachievable. There are major issues on project/programme definition, schedule, budget, required quality or benefits delivery, which at this stage does not appear to be manageable or resolvable
Pre Start / Completed	Project / Programme closed / historically not reported on the dashboard/Pre START Stage

Strategic Risks, marked with the symbol



Risk – Threats					
Impact	Very high – 4	4	8	12	16
	High - 3	3	6	9	12
	Medium - 2	2	4	6	8
	Low – 1	1	2	3	4
		1	2	3	4
		Remote	Possible	Probable	Highly probable
Likelihood					

Threats criteria	
Impact	Thresholds and Description
1 – Low	Limited impact on service objectives if any, section objectives unlikely to be met, financial loss less than £500k, no media attention.
2 – Medium	Slight delay in achievement of service objectives, minor injuries, financial loss over £500k, adverse local media attention, breaches of local procedures.
3 – High	Significant threat to council objectives. Non-statutory duties not achieved, permanent injury, financial loss over £1million, negative national media attention, litigation expected, serious issues raised through inspection, breakdown of confidence of partners.
4 – Very high	Objectives cannot be delivered. Statutory duties not achieved, death, financial loss over £5million, adverse national media attention, litigation almost certain, prosecutions, breaches of law, inspection highlights inadequate service, council unable to work with partner organisation.

Threats criteria	
Likelihood	Description
1 – Unlikely	May occur only in exceptional circumstances (e.g. once in 10 years).
2 – Possible	Unlikely to occur but could at some time (e.g. once in 3 years).
3 – Probable (in 2 years)	Fairly likely to occur at some time or under certain circumstances (e.g. once in 2 years).
4 – Highly probable (in 12 months)	Will probably occur at some time or in most circumstances (e.g. once in 12 months).

Risk – Opportunities					Impact
16	12	8	4	Significant - 4	
12	9	6	3	Moderate - 3	
8	6	4	2	Minor - 2	
4	3	2	1	Insignificant – 1	
4	3	2	1		
Highly probable	Probable	Unlikely	Rare		
Likelihood					

Opportunities criteria	
Impact	Thresholds and Description
1 – Insignificant	- Little or no improvement to service. - Little or no improvement to welfare of staff / public. - Little or no financial income / efficiency savings (less than £500k). - Little or no improvement to environment or assets. - Little or no feedback from service users.
2 – Minor	- Minor improvement to service. - Minor improvement to welfare of staff / public. - Improvement that produces £500k+ of income / efficiency savings. - Minor improvement to environment or assets. - Positive user feedback.
3 – Moderate	- Moderate improvement to service. - Moderate improvement to welfare of staff / public. - Improvement that produces £1million of income / efficiency savings. - Moderate improvement to environment or assets. - Positive local media contact.
4 – Significant	- Significant improvement to service. - Significant improvement to welfare of staff / public. - Improvement that produces £5million or more income / efficiency savings. - Significant improvement to environment or assets. - Positive local media coverage.

Opportunities criteria	
Likelihood	Description
1 – Rare	Opportunity has not been fully investigated but considered extremely unlikely to materialise.
2 – Unlikely	Opportunity has not been fully investigated; achievability is unproven / in doubt.
3 – Probable (in 2 years)	Opportunity may be achievable, but requires significant management, planning and resources.
4 – Highly probable	Opportunity is achievable with careful management.