

Tuesday, 22 September 2020

AUDIT COMMITTEE

A meeting of **Audit Committee** will be held on

Wednesday, 30 September 2020

commencing at **2.00 pm**

The meeting will be held remotely via Zoom (the links to the meeting are set out below)

<https://us02web.zoom.us/j/88204377598?pwd=V0g3WGdFL0tXNEZnUjZHZFVJUGJLQT09>

Meeting ID: 882 0437 7598

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Meeting ID: 882 0437 7598

Passcode: 714613

Members of the Committee

Councillor Loxton (Chairman)

Councillor Ellery

Councillor Howgate

Councillor Dart

Councillor Kennedy

Councillor Hill

Councillor O'Dwyer

Together Torbay will thrive

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Lisa Antrobus, Town Hall, Castle Circus, Torquay, TQ1 3DR

Email: governance.support@torbay.gov.uk - www.torbay.gov.uk

AUDIT COMMITTEE AGENDA

1. **Apologies**
To receive any apologies for absence, including notifications of any changes to the membership of the Committee.
2. **Declarations of interests**
 - (a) To receive declarations of non pecuniary interests in respect of items on this agenda
For reference: Having declared their non pecuniary interest members may remain in the meeting and speak and, vote on the matter in question. A completed disclosure of interests form should be returned to the Clerk before the conclusion of the meeting.
 - (b) To receive declarations of disclosable pecuniary interests in respect of items on this agenda
For reference: Where a Member has a disclosable pecuniary interest he/she must leave the meeting during consideration of the item. However, the Member may remain in the meeting to make representations, answer questions or give evidence if the public have a right to do so, but having done so the Member must then immediately leave the meeting, may not vote and must not improperly seek to influence the outcome of the matter. A completed disclosure of interests form should be returned to the Clerk before the conclusion of the meeting.

(**Please Note:** If Members and Officers wish to seek advice on any potential interests they may have, they should contact Governance Support or Legal Services prior to the meeting.)
3. **Urgent Items**
To consider any other items that the Chairman decides are urgent.
4. **Corporate Performance and Corporate Risk Report** (Pages 4 - 41)
To consider a report that provides a high level view of the council's progress and success in meeting the priorities of the Community and Corporate Plan as well as an overview of the council's overall performance.
5. **Audit Progress Report and Sector Update** (To Follow)
To note the report on the above.
6. **Appointment of Independent Person for Audit Committee** (Pages 42 - 43)
To consider a report on the above.
7. **Overview of Investigations** (Pages 44 - 45)
To note the exempt appendices and to give consideration to any further information or action that Audit Committee may require.

Instructions for the press and public for joining the meeting

If you are using an iPad you will need to install Zoom which can be found in the App Store. You do not need to register for an account just install the software. You only need to install the software once. For other devices you should just be taken direct to the meeting.

Joining a Meeting

Click on the link provided on the agenda above and follow the instructions on screen. If you are using a telephone, dial the Zoom number provided above and follow the instructions. (**Note:** if you are using a landline the call will cost up to 13p per minute and from a mobile between 3p and 55p if the number is not covered by your inclusive minutes.)

You will be placed in a waiting room, when the meeting starts the meeting Host will admit you. Please note if there are technical issues this might not be at the start time given on the agenda.

Upon entry you will be muted and your video switched off so that only the meeting participants can be seen. When you join the meeting the Host will unmute your microphone, ask you to confirm your name and update your name as either public or press. Select gallery view if you want see all the participants.

If you have joined the meeting via telephone, your telephone number will appear on screen and will be displayed for all to see until the Host has confirmed your name and then they will rename your telephone number to either public or press.

Meeting Etiquette - things to consider when attending a virtual meeting

- Background – the meeting is public and people will be able to see what is behind you therefore consider what you will have on display behind you.
- Camera angle – sit front on, upright with the device in front of you.
- Who else is in the room – make sure you are in a position where nobody will enter the camera shot who doesn't want to appear in the public meeting.
- Background noise – try where possible to minimise background noise.
- Aim to join the meeting 15 minutes before it is due to start.

TORBAY COUNCIL

Meeting: Audit Committee

Date: 30 September 2020

Wards Affected: All

Report Title: Corporate Performance and Corporate Risk Report

Is the decision a key decision? No

When does the decision need to be implemented? September 2020

Cabinet Member Contact Details: All Cabinet Members

Supporting Officer Contact Details: Mark Hammett, Strategic Support Manager, 01803 208002 and mark.hammett@torbay.gov.uk

1. Proposal and Introduction

1.1 The Corporate Performance and Risk report is produced for the Senior Leadership Team (SLT) and Cabinet Members to review on a quarterly basis, and is also presented to the Audit Committee). This report gives a high level view of the council's progress and success in meeting the priorities of the Community and Corporate Plan as well as an overview of the council's overall performance on key internal indicators such as workforce, financial and customer complaint performance.

The council is currently in the process of producing a new Performance and Risk Strategy and Framework and if agreed this will replace the current arrangements.

2. Reason for Proposal and associated financial commitments

2.1 To review the council's progress and success in meeting the priorities of the Community and Corporate Plan and to monitor the performance of key internal performance indicators and risks.

2.2 There are no financial commitments to the council beyond the officer time involved in collating this report.

3. Recommendation(s) / Proposed Decision

(i) That the Audit Committee are asked to note the contents of this report and take action where appropriate.

Appendices

Appendix One – Quarterly Performance Report – Quarter 1 2020/21

Appendix Two – Quarterly Risk Register – Quarter 1 2020/21

Section 1: Background Information

1.	<p>What is the proposal / issue?</p> <p>A High level report has been designed and produced with a series of key performance indicators and high scoring risks which align to the visions of the Community and Corporate Plan, and outline how well the council is performing against these key priorities. These performance indicators and risks are monitored within a series of 'dashboards', one for each vision of the Community and Corporate Plan.</p> <p>This report enables SLT, Cabinet Members and the Audit Committee to review and challenge our performance on a regular basis and to identify any improvement actions required. The performance indicators and risks listed within these reports may be exchanged for others as priorities and demand changes.</p>
2.	<p>What is the current situation?</p> <p>The performance indicators and risks within the report have been recently updated to align to the visions of the Community and Corporate Plan 2020 – 2023.</p>
3.	<p>What options have been considered?</p> <p>Not applicable.</p>
4.	<p>What is the relationship with the priorities within the Partnership Memorandum and the Council's Principles?</p> <p>This report gives an opportunity to monitor progress towards achieving the visions of the Community and Corporate Plan.</p>
5.	<p>How does this proposal/issue contribute towards the Council's responsibilities as corporate parents?</p> <p>The Report contains performance and risk information related to the council's role as corporate parents.</p>
6.	<p>How does this proposal/issue tackle poverty, deprivation and vulnerability?</p> <p>The Report contains performance and risk information related to the council's desire to tackle poverty, deprivation and vulnerability.</p>
7.	<p>How does the proposal/issue impact on people with learning disabilities?</p>

	The Report contains performance and risk information related to people with learning disabilities.
8.	<p>Who will be affected by this proposal and who do you need to consult with? How will the Council engage with the community? How can the Council empower the community?</p> <p>Not applicable.</p>
Section 2: Implications and Impact Assessment	
9.	<p>What are the financial and legal implications?</p> <p>There are no specific financial or legal implications associated with this report.</p>
10.	<p>What are the risks?</p> <p>There are no specific significant risks associated with this report.</p>
11.	<p>Public Services Value (Social Value) Act 2012</p> <p>Not applicable.</p>
12.	<p>What evidence / data / research have you gathered in relation to this proposal?</p> <p>Key performance indicators and risks have been identified in consultation with Senior Leadership Team members.</p>
13.	<p>What are key findings from the consultation you have carried out?</p> <p>Not applicable.</p>
14.	<p>Amendments to Proposal / Mitigating Actions</p> <p>Not applicable.</p>

Equality Impacts

15.	Identify the potential positive and negative impacts on specific groups		
	Positive Impact	Negative Impact & Mitigating Actions	Neutral Impact
Older or younger people			There is no differential impact.
People with caring Responsibilities			There is no differential impact.
People with a disability			There is no differential impact.
Women or men			There is no differential impact.
People who are black or from a minority ethnic background (BME) <i>(Please note Gypsies / Roma are within this community)</i>			There is no differential impact.
Religion or belief (including lack of belief)			There is no differential impact.
People who are lesbian, gay or bisexual			There is no differential impact.
People who are transgendered			There is no differential impact.
People who are in a marriage or civil partnership			There is no differential impact.
Women who are pregnant / on maternity leave			There is no differential impact.
Socio-economic impacts (Including impact on child			There is no differential impact.

	poverty issues and deprivation)			
	Public Health impacts (How will your proposal impact on the general health of the population of Torbay)			There is no differential impact.
16.	Cumulative Impacts – Council wide (proposed changes elsewhere which might worsen the impacts identified above)	No cumulative impacts within the council.		
17.	Cumulative Impacts – Other public services (proposed changes elsewhere which might worsen the impacts identified above)	No cumulative impacts with other public services.		

Interim Corporate Performance Report: Quarter 1 2020/21

Performance
Indicators:

In
Development
/No Target

Well
Above/Below
Target

Above/Below
Target

On Target

Above/Below
Target

Well
Above/Below
Target

Thriving People

Thriving People: We will turn the tide on poverty

Community and Corporate Plan Delivery Plan Action	What have we done in the last quarter?	What are the priorities for the next quarter?
1. Agree the Housing Strategy action plan.	Housing Strategy Action Plan agreed in May.	Actions being addressed in various Services and through the Officer Housing Delivery Group.
2. Ensure Tor Vista achieves Registered Provider status and commence its work programme.	Torvista on the brink of securing Registered Provider status.	Assist with Torvista-led housing schemes across the Bay.
3. Ensure continued delivery against the Children's Services Improvement Plan.	All priorities for this quarter have been achieved, specifically in relation to recruitment, retention, permanence for children, increased fostering resources and putting in place training for all social care staff in Restorative Practice.	Continue to monitor the implementation of the Sufficiency Strategy Launch the Early Help Strategy and implement the workstream. Launch and implement the Learning Academy. Finalise the way forward in providing the residential resource for Torbay children. Complete the Restorative Practice training. Launch the new Multi-Agency Safeguarding Arrangements through the Torbay Safeguarding Children Partnership.
4. Develop a forward investment programme for affordable and social housing in association with registered providers across Torbay.	Contact re-established with Registered Providers. Internal Officer Housing Delivery Group re-established.	Series of liaison meetings with Registered Providers and Homes England to seek out opportunities for new and stalled developments.
5. Explore opportunities for joining the Co-operative Councils Innovation Network and, as part of the Network, consider the options available to support communities to access affordable finance.	The Council is now a member of the Co-operative Councils Innovation Network, with officers attending Network meetings and starting to share good practice with colleagues.	The process of self-assessment ahead of a peer review will start, with the aim of developing an action plan to ensure we are an enabling council.
6. Explore opportunities to bring forward a 'Torbay Promise' to identified areas in Torbay.	We have reviewed our Early Help provision and model. This has incorporated partners and stakeholders views and how we propose to integrate a collaborative model of Early Help.	This is incorporated into the PeopleToo work and the Early Help Sufficiency Strategy. So will not be a "stand alone" piece of work.
7. Agree the refreshed Children and Young People's Plan and associated action plan.	Discussion with Cllr Law about the proposals and changes. Discussion with Governance in respect of sign off of any changes to the plan	To finalise the version and hopefully use delegated powers to amend and update avoiding the need to return to Cabinet for discussion on the minor updates.

Code	Title	Polarity	Status	Prev Year End	Target	Quarter 2 2019/20	Quarter 3 2019/20	Quarter 4 2019/20	Quarter 1 2020/21	Last period value
	Numbers Housed through Devon Home Choice	It's better to be low	(monitoring only)	256	No target set	66	84	39 Data not available for February - Partial quarter	25	25
ASPI02	Numbers in temporary accommodation	It's better to be low		532	Target in development	116	95	175	214	214
	- Of which are single persons					63	50	117	180	14
	- Of which are couples					5	8	7	14	14
	- Of which are families					48	37	51	20	20

(Children's PI data is derived from a live database that is continually updated. Previously reported numbers are subject to change)

Code	Title	Polarity	Status	Prev Year End	Target	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20	Apr-20	May-20	Jun-20	Last period value
	Contacts	TBC	TBC	531	TBC	TBC	615	692	719	620	472	598	533	531	449	524	640	640
	Targetted Help Referrals	TBC	TBC	54	TBC	TBC	79	85	95	131	72	72	73	54	17	39	125	125
	Social Care Referrals	TBC	TBC	78	TBC	TBC	99	192	131	200	184	219	135	78	88	244	222	222
	Initial Strategy Discussions	TBC	TBC	85	TBC	TBC	65	116	72	116	103	108	101	85	103	114	158	158
	S47 Outcomes	TBC	TBC	56	TBC	TBC	50	71	51	40	83	55	77	56	68	88	95	95
	ICPCs	TBC	TBC	39	TBC	TBC	15	14	18	10	29	31	22	39	20	39	23	23

Code	Title	Polarity	Status	Prev Year End	Monthly Target	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20	Apr-20	May-20	Jun-20	Last period value
SC-007b	Number of overdue reviews for out of area placements (not reviewed within 15 months) (Snap shot)	It's better to be low	On target	0	0	2	3	1	2	2	1	2	2	0	0	0	0	0
L1404	No. of permanent care home placements. (snapshot) (Adults)	It's better to be low	On target	632	600	629	634	648	641	640	645	627	624	632	628	623	623	623
NI135	Carers receiving needs assessment, review, information or advice etc.	It's better to be high	Well above target	40%	9%	19%	23%	27%	29%	28%	35%	37%	39%	40%	2%	4%	10%	10%
ASC 1E	Percentage of adults with a learning disability in paid employment	It's better to be high	Well above target	8.8%	7.0%	8.5%	8.5%	8.5%	8.6%	8.8%	9.0%	8.9%	8.8%	8.8%	8.9%	8.9%	8.9%	8.9%
SC-011	Number of people discharged from hospital into permanent residential care (social care funded)	N/A	(monitoring only)	13	No target set	2	2	5	6	8	10	10	11	13	0	0	1	1
ASC 20p2x	Delayed transfers of care from hospital. Part 2 - attributable to social care	N/A	(monitoring only)	N/A	No target set	3.2	3.7	4.1	4.2	4.0	4.2	4.5	4.5	N/A	N/A	N/A	N/A	Return suspended due to COVID-19 - no further data available.
ASC 1Hx	Proportion of adults in contact with secondary mental health services who live independently, with or without support (commissioned outside ICO)	It's better to be high	Below target	49.2%	60.0%	54.8%	55.7%	54.5%	52.9%	49.6%	51.6%	49.2%	48.8%	49.2%	47.9%	46.3%	54.1%	54.1%

Community and Corporate Plan Delivery Plan Action	What have we done in the last quarter?	What are the priorities for the next quarter?
8. Learning from elsewhere, develop Torbay's approach to Family Friendly Torbay.	Discussion in the CSIB as to how to incorporate this into the present CSIP. Ongoing discussion with Children's commissioner about the priorities and linking to a wider agenda than just children's.	To consider this as part of a wider SLT agenda as it links with regeneration, planning, and other portfolio areas.
9. Support the roll out of Torbay (self-harm) family intervention and mental health support teams.	The self-harm in schools pilot project was adapted as an online / virtual offer across all schools during lock down and over the school holidays. The Mental Health Support Teams (MHST) in schools also adapted their offer to schools, as part of the delivery of Wave 2 and 3.	Self-Harm: focus will be on establishing the pilot at Spires School. Additional work will focus on understanding the needs of those presenting to Emergency Departments, with a specific piece of research funded by NHSE to better understand female suicide / self-harm rates across the Bay. MHST: continue to roll out MHST across additional 11 schools in Torbay (Wave 3).
10. Work in partnership to deliver the Torbay Multi-agency Suicide and Self-harm Prevention Plan.	With public health resources having been redirected to support the local Covid19Test, Track and Contain programme, a public mental health consultant was recruited in July to drive forward efforts aimed at building local capacity to support emotional resilience, as well as the continuation of facilitative work that nurtures a system wide approach to meeting a range of mental health need. Groundwork has now been completed to enable delivery of the agreed actions (see priorities for next quarter).	Development of Torbay Mental Health Network: a whole system approach to addressing mental health needs and suicide prevention. The LGA Shaping Places Bid (due end Sep) aims to generate funding to support the network to deliver its desired systems change. Development of suicide prevention pathways: An alternative to a suicide prevention action plan, this approach will identify required actions from the perspective of and in response to someone in distress, and who may or may not be considering taking their life. This places the person at the heart of planned interventions and enables agencies and stakeholders to focus on needs and identify gaps. Innovation in community based suicide prevention: Enhancing the role and value of primary care networks and the voluntary and community sector in the provision of timely mental health advice and support.
11. Improve the outcomes for those most vulnerable in our communities through the comprehensive re-procurement of substance misuse services, as part of a wider multiple complex needs alliance.	Programme Manager is in place with the resultant structures, project plan, work packages and timelines agreed. Extension of timeline by 6 months required due to Covid-19. Progress is on track and within tolerance.	Specification development for each of the service areas and the Alliance Contract. Questions and panel agreed for the procurement.
12. Agree the refreshed Education Strategy, SEND Strategy and Disadvantaged Strategy and associated action plans.	Draft strategy documents are being prepared internally. Consultation with Lead Member on priorities. Local Education Board being engaged.	Share draft document through SLT, Informal Cabinet, Cabinet ready for consultation.
13. Provide Healthy Lifestyles services to those that need it whilst reviewing best practice elsewhere to inform future models of delivery.	Redeployment of Lifestyles Service staff to Torbay council's Shielding Hub. Capacity constraints due to Covid-19 response and commissioning priorities of MCN and Sexual Health have meant temporary suspension of this work. VEAT notice has been published stating Torbay Council intent to extend contract.	Will be dependent on Public Health capacity and responses to VEAT notice.
14. Implement the trauma-informed approach across services.	Suspended due to Covid-19 response.	Dependent upon capacity.
15. Deliver the healthy weight declaration.	Suspended due to Covid-19 response.	Establish current PHE/Food Active offer and requirements post review of Local Authority Healthy Weight Declaration Establish opportunity for joint declaration and adoption across Devon
16. Develop an oral health promotion service.	Suspended due to Covid-19 response.	Resume targeted Oral Health project delivery for adults and children: • Supervised Tooth Brushing • Dental First Steps • Leonard Stocks Project Complete an Oral Health Needs Assessment. Develop an oral health training plan for Care Homes, Domiciliary Care and Supported Living Providers.
17. Work in partnership with the Torbay and South Devon NHS Foundation Trust in order to optimise the resulting benefits of investment in the hospital infrastructure and services and the resulting transformation of service delivery to ensure high quality new and responsive services for patients and service users.	We continue to work closely with the Trust to agree shared office accommodation for Adult Social Care teams.	The development stages of investment in hospital buildings is starting and our focus is on working closely with NHS partners to ensure that this benefits Torbay residents and our economy.
18. Play our part as a critical partner within the Devon-wide Sustainability and Transformation Programme.	Suspended due to Covid-19 response.	Resumption of Prevention workstream.

Code	Title	Polarity	Status	Prev Year End	England Value		Last period value
PHAP-14	Admission episodes for alcohol-related conditions (persons: narrow definition)	It's better to be low	Well above target	788	664	2018/19	808
PHOF-C06	Smoking status at the time of delivery	It's better to be low	Well above target	14.5%	10.6%	2018/19	13.3%
PHOF-C09a	Reception: prevalence of overweight (including obesity)	It's better to be low	Well above target	Not published for data quality reasons	22.6%	2018/19	25.1%
PHOF-C16	Percentage of adults classified as overweight or obese	It's better to be low	On target	59.8%	62.3%	2018/19	59.8%
PHOF-C17a	Percentage of physically active adults	It's better to be high	On target	70.7%	67.2%	2018/19	69.8%
PHOF-C19a	Successful completion of drug treatment – opiate users	It's better to be high	Well below target	7.5%	5.8%	2018	5.0%

Community and Corporate Plan Delivery Plan Action	What have we done in the last quarter?	What are the priorities for the next quarter?
19. Work with the Community Safety Partnership on its next Strategic Assessment to identify priorities for building safer communities in Torbay, and ensure that Council activities align and support this approach.	A review of the evidence base has been completed based on crime data etc to inform priorities. A further peninsular assessment and evaluation is in progress to inform wider strategic thinking.	The evidential priorities will be used to inform community based discussions using the morile framework which is a risk and impact model. This will be used across the peninsular, also enabling comparisons to be made. Community engagement to be completed Sept/Oct. Final report in November 20.
20. Ensure an effective partnership approach to reducing domestic abuse and sexual violence to ensure that all agencies are working together.	A strong partnership is in place and the DASV strategy continues to be delivered. The operational group has been further enhanced through voluntary sector involvement, who have also obtained external funding to facilitate additional delivery.	DA will be picked up as part of the wider Children Services restructure, embedding partnership activity further across all services of the Council.
21. Ensure a focus on the risk to and impact of exploitation of children and vulnerable adults, working in partnership with community groups.	An exploitation team has been established within Children's Services that will lead on this area of work. Focus within Community Safety has focused on DASV.	A sub group will be established as part the Prevent picking up exploitation elements of this agenda.
22. Co-locate police officers within Children's Services' teams to continue to improve outcomes for children and families.	Met with relevant stakeholders and discussed with Borough Commander.	Further discussion but on hold whilst the police are restructuring their internal delivery model.
23. Support Devon and Cornwall Police in securing a response location in Paignton.	Due to Covid no discussions have taken place on this as focus has been on operational delivery.	Assessment of establishing the Polices positon and need.
24. Work proactively with local NHS partners to deliver Health and Wellbeing Hubs in Paignton and Torquay and to maximise the impact of the Health Improvement Programme.	No update.	Reframe priorities to align to COVID recovery priorities.
25. Support the implementation of the Evening and Night Time Economy Strategy.	Due to the impact of Covid, this work has been paused as the sector focus upon adapting their business models. The principles of the strategy have been encompassed in changes to the licencing policy, which has been agreed this quarter, hence setting a wider framework for its implementation.	Work will commence now that stability is returning to the sector. Pre Covid there had been positive engagement and buy in to the strategy from the BID and sector, hence work will continue on its implementation.

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Code	Title	Polarity	Status	Prev Year End	Quarter Target	Quarter 2 2019/20	Quarter 3 2019/20	Quarter 4 2019/20	Quarter 1 2020/21	Last period value
1a	Torbay Domestic Abuse Service - New placements in the service - Adults	N/A	(monitoring only)	1,455	No target set	400	342	343	300	300
2a	Torbay Domestic Abuse Service - New placements in the service - Number of Children of clients	N/A	(monitoring only)	1,012	No target set	280	289	264	187	187
3a	Torbay Domestic Abuse Service - New placements in the service - 1c) Number of standard risk cases out of above (all others are either medium or high risk as determined by a DA risk assessment tool)	N/A	(monitoring only)	47	No target set	12	11	10	4	4

Code	Title	Polarity	Status	Prev Year End	Monthly Target	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20	Apr-20	May-20	Jun-20	Last period value
	Child Protection Plans	TBC	TBC	194	TBC	TBC	222	207	185	177	192	199	192	194	197	223	218	218
	Children Looked After	TBC	TBC	354	TBC	TBC	353	350	343	345	356	368	365	354	348	340	338	338
	Starting CLA	TBC	TBC	5	TBC	TBC	11	15	8	8	15	18	10	5	2	4	7	7
	Ceasing CLA	TBC	TBC	15	TBC	TBC	15	18	1	7	5	6	14	15	8	11	9	9
ASCP10 0x	Number of adults safeguarding referrals (S.42 Enquiries)	N/A	(monitoring only)	31	No target set	19	18	5	7	7	14	5	6	31	24	23	37	37
TCT14b	Safeguarding Adults - % repeat SG referrals in last 12 months	It's better to be low	Well above target	7.8%	8.0%	10.2%	9.1%	7.7%	7.9%	8.1%	8.5%	7.6%	7.1%	7.8%	7.2%	9.0%	10.3%	10.3%

A Thriving Economy: We will create an environment in which businesses and jobs can grow

Community and Corporate Plan Delivery Plan Action	What have we done in the last quarter?	What are the priorities for the next quarter?
26. Agree the COVID-19 Economic Recovery Plan.	Complete.	Agreeing the action plan and leads for individual actions.
27. Explore the potential for the community wealth building approach to develop new ways of working with our public and private sector partners to maximise local economic benefits, including public sector procurement.	Engaged with all key partners to secure commitment. Arranged programme board meeting.	Programme board due to meet 2nd October.
28. Progress, using our relevant powers, the possession of the Crossways site in Paignton.	Provided design presentation to all political groups and Paignton Neighbourhood planning forum. Undertaken public consultation exercise. Design work was subsequently concluded and a planning application for the site has been submitted. CPO is due to be served in the last week of August.	Statutory period for objections. Statement of case lodged if objections received.
29. Protect and accelerate the development of employment space to accommodate business growth.	Identified opportunities for Getting Building Fund and submitted business cases to HoSW LEP for Edginswell & Lymington Rd.	Lobby for the business cases. Assuming funding secured pursue planning decisions.
30. Explore funding opportunities to create greater capacity and enhanced capability for Brixham Fish Market.	Regular liaison with local MP, Brixham Trawler Agents, British Ports Association, HoSW LEP and TDA to keep abreast of funding options. EIA scoping work undertaken.	Continue the regular liaison with local MP, Brixham Trawler Agents, British Ports Association, HoSW LEP and TDA. Undertake further work towards the land reclamation project, including cost estimates and necessary consents i.e. MMO & planning.
31. Promote opportunities for investment through the Torbay Economic Growth Fund with the aim of regenerating all of our town centres and diversifying the economy.	No actions.	Identify opportunities for the Fund including for the employment sites noted at #29.
32. Close the educational attainment gap and broaden the skills base within the workforce and further the growth of apprenticeships.	Economic Recovery Board established and work programme being created. Revenue ask in Torquay Town Fund bid for technical (level 3) training.	RW & AD to plan how the Local Education Board & economic recovery work can be aligned. Consider whether additional intelligence is needed on skills needs. Review opportunities.
33. Support South Devon College's HE Vision including to secure Full Taught Degree Awarding Powers by 2022 and University College status by 2025.	No actions required.	Review with SDC Principal what support is required.

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Code	Title	Polarity	Status	Prev Year End	Quarter Target	Quarter 2 2019/20	Quarter 3 2019/20	Quarter 4 2019/20	Quarter 1 2020/21	Last period value								
	Gross rateable value of Business Rates (NDR)	It's better to be high	On target	£93,858,989	£94,136,282	£93,678,074	£94,018,759	£93,858,989	£94,582,264	£94,582,264								
Code	Title	Polarity	Status	Prev Year End	Great Britain / Month Target	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20	Apr-20	May-20	Jun-20	Last period value
	Out of Work Benefits Claimant Count	It's better to be low	Well above target	3.5%	6.2%	3.0%	3.0%	3.0%	3.1%	3.1%	3.1%	3.2%	3.5%	3.5%	7.1%	8.0%	7.6%	7.6%
Code	Title	Polarity	Status	Prev Year End	Great Britain Value													Last period value
TEPI07	Percentage of workless households in Torbay	It's better to be low	Well above target	17.1%	13.9%	2019												16.3%
Code	Title	Polarity	Status	Prev Year End	Great Britain Value	Jul 2018-Jun 2019	Oct 2018-Sep 2019	Jan 2019-Dec 2019	Apr 2019-Mar 2020	Last period value								
TEPI08	Percentage of people in Torbay who are economically active	It's better to be high	On target	78.1%	79.1%	77.9%	78.2%	78.1%	77.1%	77.1%								
TEPI09	Percentage of people in Torbay in employment	It's better to be high	On target	74.2%	76.0%	74.4%	74.1%	74.9%	73.1%	73.1%								

A Thriving Economy: We will become the premier tourist resort in the UK

Community and Corporate Plan Delivery Plan Action	What have we done in the last quarter?	What are the priorities for the next quarter?
34. Ensure the COVID-19 Economic Recovery Plan links with the sector specific recovery plan for the tourism industry.	Close liaison has continued between the Council, the English Riviera BID company, the TDA and regional/national tourism bodies i.e. Visit Devon & Visit England.	Further liaison will continue along with collaborative and collective lobbying for sector specific support.
35. Invest up to an additional £0.6 million in public toilet provision enabling investment at Goodrington South, Meadfoot, Broadsands, Goodrington North, Abbey Meadows and Preston Bus Shelter.	Several projects delayed by the Covid-19 lockdown and the need to avoid summer disruption. Goodrington South - all works completed and unit operational.	Meadfoot Project start date 16th November completion estimated 22nd January 2021. Broadsands Modular unit under construction, drainage and foundation works scheduled for 14th September 30th October. Completion of unit detail awaited dependant on drainage plans. Goodrington North Project estimated start date 30th November 2020 completion estimate 5th February 2021. Abbey Meadows Project start date 28th September completion estimated 6th November
36. Work to identify a third party provider to operate the public toilets at Corbyn Head from 2021/2022 onwards.	Marketing of this site has commenced using a local agent with support from the TDA. Positive media coverage provided on this opportunity.	The next phase is to identify interested parties and look at the proposals. Due diligence will be necessary. The nature of the offer will determine the decision making process.
37. Work with partners to develop a Town Investment Plan for Torquay which secures the highest allocation of Town Deal investment.	Submitted 31st July.	Awaiting heads of terms decision from Government. If Investment Plan agreed then develop business cases.
38. Ensure that the Future High Streets Fund application for Paignton secures investment to accelerate the regeneration of Paignton.	Submitted 24th July.	Lobby in support of the application.
39. Submit our application to the Heritage Lottery Fund for Phase 3 of the renovations at Torre Abbey.	The Heritage Lottery Fund (HLF) has ceased normal funding applications due to Covid-19. Work has continued on preparing for public consultation. A bid has been submitted to the Arts Council/HLF Recovery Fund.	The next quarter is unlikely to see any resumption of the normal application process. Officers will monitor the situation and any other funding opportunities.
40. Support the Heritage Lottery Resilience Fund bid for Oldway Mansion in order to support the submission of a Heritage Lottery Fund bid, the new Oldway Trust and volunteer activities.	The Heritage Lottery Fund (HLF) has ceased Resilience Fund applications due to Covid-19. Work has continued with the Oldway Trust, the Friends of Oldway and other volunteers. A key holder agreement has been signed and the old Tea Rooms are due to re-open.	The next quarter is unlikely to see any resumption of the application process. Officers will monitor the situation and any other funding opportunities.
41. Develop plans for the long term future of the Pavilion in Torquay.	Held dialog meetings with the leaseholder and Cabinet members on more than one occasion. Options and principles discussed on how to bring the building back into use.	Await proposals and drawings from the leaseholder to consider with Members.
42. Support the community in their development and delivery of projects which will improve our beaches and seafront areas.	Work has continued with beach and seafront tenants to improve their areas and/or support their projects i.e. Fishcombe Cove Café, the Old Toll House & Pierpoint.	Further support and encouragement will be provided to the community in their development and delivery of projects which will improve our beaches and seafront areas.
43. Maximise the use of investment from new businesses in Torbay through the use of Section 106 monies, Community Infrastructure Levy and sponsorship.	Section 106 Member Task Force established. Community Infrastructure Levy Neighbourhood Share spend process agreed through Cabinet.	Look at creative ways to invest the collected legacy s106 monies. Run first Community Infrastructure Levy Neighbourhood Spend Board, distribute funds.
44. Work with destination management partners to maximise all available funding for Torbay.	Successful bid for Visit South West domestic marketing campaign. The Visit South West domestic marketing campaign is a Government Cabinet Office funded campaign awarded to the Great South West DMO partnership, (including ERBIDCo, Visit Devon, Destination Plymouth, Visit Cornwall, Visit Somerset, Visit Exmoor, Visit Dorset). The campaign value in the end is £340,000. It went live on 1st September running for 3 weeks across digital display, social media, print and radio to an audience within 2 hour travel time of our region.	The Council will continue to work with the Destination Marketing Group, which is supported by the TDA.
45. Support Torbay Culture in advocating for the culture sector to work with partners to ensure a good quality submission to Creative People and Places.	Detailed response to Parliamentary inquiry into impact of COVID-19 on DCMS sectors. Participation in the Torbay strategic recovery plan, and the UNESCO Global Geopark transformation plan. Bespoke advice to organisations and individuals, especially in respect of the national Emergency Response Funding (ERF) during first phase of pandemic; and the recent / current Culture Recovery Fund (being distributed by Arts Council, BFI, Heritage Fund and Historic England). Launched ERF programme Create To Recover "	Pending Create to Recover outcome identify other funding streams. Explore how the Torbay Culture exec role can be sustained.

<p>46. Work with the Destination Management Group to ensure alignment with Destination Management Plan objectives and advocate that regional partners recognise the importance of the visitor economy for Torbay.</p>	<p>New chair appointed. Supported reopening of accommodation & attractions. Gather industry intelligence. Supporting Great SW. Coordinating launch of Be the Business.</p>	<p>GSW Tourism Survey review. Launch of Be the Business. Review of DMP. Supporting HotSWLEP Tourism and Visitor Economy Recovering Plan partners.</p>
<p>47. Work with the community to empower them to manage flower beds and promote civic pride.</p>	<p>Before the Covid-19 lockdown, work was progressing which included the Torbay Community Development Trust undertaking engagement about the community looking after flower beds, extending the Council's work with Groundwork South to co-ordinate the work of volunteers and developing Community Action Plans for the flowerbeds and greenspaces. Understandably, this work has slowed considerably but now needs to be progressed.</p>	<p>A new work stream has been established entitled "Green Infrastructure – Increasing Community Empowerment". The work stream Project Board will now start work to address the four overarching (and related) messages from the first Community Conference held in September 2019:</p> <ul style="list-style-type: none"> • There needs to be a change of culture in the Council and also in communities. • Trusted relationship with communities need to be built. • Communication with communities and individuals needs to improve. • Celebration of Torbay's assets and civic pride need to be encouraged.

Performance Indicators are in development for this section. Information below was provided by the English Riviera Bid Company Ltd with data from The South West Research Company Ltd.

Holiday visits to the English Riviera in 2018* had increased by 4% for staying trips and 3% for spend compared to the ERBID baseline year of 2016. This growth is higher than the national average for domestic staying trips. Overseas study nights were also 4% higher. A key objective is to extend the season and increase shoulder season occupancy. This has also been achieved. Shoulder season occupancy in both Q1 (Jan-Mar) and Q4 (Oct-Dec) both increased for every recorded year since the ERBID was launched in 2017. Staying and day visitors combined spent £425 million on the Riviera in 2018, generating £566 million in local business turnover and supporting approximately 11,000 actual jobs. 2019 data is expected mid-October.

Tackling Climate Change

Tackling Climate Change: We will become a carbon neutral council and work with others to create a carbon neutral community

Community and Corporate Plan Delivery Plan Action	What have we done in the last quarter?	What are the priorities for the next quarter?
48. Deliver a successful transition of services to SWISCo, in particular ensuring that there is a focus on increasing recycling rates.	A successful transition of services to SWISCo was achieved on 1st July.	A new Waste Strategy will be consulted on during this quarter for adoption in December 2020. There will be a clear focus on increasing recycling rates.
49. Review and develop plans to improve communications and transport connectivity and sustainability, including the submission of a bid for Edginswell Rail Station.	Bid submitted for Edginswell Rail Station. Secured some of the Governments Active Travel Funding.	Pursue the Bid, ensure the Council are prepared for positive outcome. Consider bids for the next tranche of Active Travel Funding. Continued progress on the LCWIP.
50. Appoint a dedicated Climate Change Officer, to co-ordinate Council activities as part of the Devon Climate Emergency Response Group and develop an action plan to address climate change in Torbay.	Appointment made, 28.08.2020 - start date to be confirmed. Continue to actively attend the Devon wide groups.	Engage with Overview & Scrutiny over the review of the Climate Change Strategy. Respond to the consultation on the Devon Carbon Plan.
51. Introduce and maintain close oversight of the impacts of charging for household DIY waste at the Recycling Centre.	Capital works have been designed and the contractor instructed. Household DIY waste charging is due to be introduced in early October.	SWISCo will maintain oversight of the impacts of charging for household DIY waste at the Recycling Centre once it is introduced.
52. Develop plans for a trial and roll out of three-weekly refuse collections	Progress has been delayed by other key actions, including the TUPE transfer of teams into SWISCo. A Project Board has been established.	The Project Board will continue to meet to properly plan the trial areas. It is intended that the trials will commence in early February 2021.
53. Introduce a mechanism to ensure all council decisions are informed by an analysis of whether they would help or hinder climate change.	The report template is being updated to reflect this requirement and will be introduced for meetings from October 2020.	We will ensure that the mechanism introduced delivers the action identified.
54. Work as a member of the Peninsula Transport Body to tackle climate change through the transport agenda.	Continued to be actively involved in the partnership.	Contribute to the consultation response on the Devon Carbon Plan and the content of the Torbay Climate Change Strategy.
55. Bring forward Trees for the Future setting out how we will work as a community to protect and enhance our treescape and introduce appropriate re-wilding.	A Trees for the Future document was agreed in principle in April.	The Trees for the Future document will need to be incorporated into the wider work on Green Infrastructure.
56. Explore opportunities to produce our own solar and other renewable electricity and introduce electric vehicle charging points and make best use of the planning system to drive this agenda across Torbay.	Facilitate pre-app discussions on the two solar farm proposals. Encourage other renewable projects in the right locations.	Negotiate with developers for electric charging points within developments and the use of Community car schemes. Negotiate the use of renewables within new residential development.
57. Implement the Environmental Enforcement Service.	Contract is currently out to tender.	If a successful tender process is completed, the contract will be live in December 20.
58. Review and develop plans to address flooding risks within Torbay.	The Torbay Flood Steering Group held a meeting in July. Membership includes Councillors, Council Officers, TDA, the Environment Agency and South West Water.	The Torbay Flood Steering Group are due to meet again in December or January. A revised Torbay Local Flood Risk Management Strategy will be presented to Cabinet for approval in early 2021. In the meantime several flood alleviation schemes continue to be progressed.
59. Encourage a sustainably developed built environment through review of Local Development Scheme (Local Plan Review).	Local Plan Working Group agreed through Cabinet. Review work & evidence gathering continues to be undertaken.	First Local Plan Working Group meeting 7th October. Establish the scope of the review. Publish the Local Development Scheme (LDS) in December.

Further performance indicators for this section are being explored in combination with the review of the Climate Change Strategy.

Code	Title	Polarity	Status	Prev Year End	Target	Quarter 2 2019/20	Quarter 3 2019/20	Quarter 4 2019/20	Quarter 1 2020/21	Last period value
NI191	Residual household waste per household	It's better to be low	Well above target	143	120kg	136kg	126kg	143kg	135kg	135kg
NI192	Percentage of household waste sent for reuse, recycling and composting (LAA)	It's better to be high	Well below target	40.25%	50.00%	42.68%	41.68%	40.25%	31.84%	31.84%

A Council Fit for the Future

A Council Fit for the Future: We will become a Council fit for the future, working with our communities to create a culture of partnership

Community and Corporate Plan Delivery Plan Action	What have we done in the last quarter?	What are the priorities for the next quarter?
60. To build upon and embed the successful collaboration that saw residents, communities, partnerships and the Council working together differently in the response to the pandemic.	The Opportunity, Impact and Risk Assessment in relation to Covid-19 on the community and the wider Community and Voluntary Sector is currently being drafted (including feedback from surveys undertaken by Torbay Community Development Trust).	The Assessment will be used to identify actions which need to be taken. These actions will be incorporated into the project plan for the Our Communities project of the Council Redesign Programme.
61. Roll out and embed Crowdfunding to support community projects and establish Community Grant Funding schemes.	The Crowdfund Torbay initiative is up and running, with the Torbay Food Alliance being successful in securing funding through this avenue. A budget for the Community Enablement Fund was agreed with the Revenue Budget for 2020/2021. Two grant funding schemes operated during the Covid pandemic with many community and voluntary sector organisations securing funding through these.	Work will be stepped up to determine the mechanism for allocating the Community Enablement Fund. Work will also continue on ensuring that there is a cohesive approach to all available funds/schemes available for the community from the Council.
62. Re-energise take up of the Torbay Lottery as a means of funding for community projects.	We allocated £9,480 to six local good causes from the Torbay Lottery Small Grants Fund for 2019/2020.	This action will be included within cohesive approach to funds/schemes available for the community from the Council (as per action 61 above).
63. Agree a Community Engagement and Empowerment Strategy, including an 'Enabling Council' action plan.	The draft Community Engagement and Empowerment Strategy is been drafted and engagement on the draft Strategy will be started at the Community Conference in September 2020. The current draft is based on the suggestions and ideas identified at the initial Community Conference.	Engagement on the draft Community Engagement and Empowerment Strategy will take place during the Autumn, with the final Strategy being presented to Council in early 2021.
64. Strengthen relationships with the Community Partnerships through the appointment of Ward Ambassadors within the Council.	Following discussions with Group Leaders, members of the senior leadership team have been appointed as Ward Ambassadors (one for each Community Partnership).	An all member briefing has been arranged for the first week of September 2020, with the launch of the Ward Ambassador scheme planned for the week after.
65. Strengthen relationships with the community by undertaking town visits by Leader and Chief Executive.	An initial virtual pre-meeting for a Brixham Town Visit has been held with a socially distanced Town Visit planned for early September. Within the Council Redesign Programme, the Our Organisation project is working to ensure the Council can make best use of technology. This includes the roll out of Office 365, developing a business case for a Customer Relationship Management system, and undertaking business process mapping of specific services.	A schedule of Town Visits will be prepared by mid-September.
66. Simplify and standardise how the Council works through making the best use of technology.	Within the Council Redesign Programme, the Our Organisation project is working to ensure the Council can make best use of technology. This includes the roll out of Office 365, developing a business case for a Customer Relationship Management system, and undertaking business process mapping of specific services.	The business process mapping of services will continue. This will ensure that we can identify the most effective way to deliver services whilst ensuring the customer and the community are at the heart of everything we do.
67. Review the continued rationalisation of council assets.	The Corporate Asset Management Group (CAMG) held a meeting in June. Part of CAMG's role is to provide advice on assets that are surplus to service requirements.	The work of CAMG will continue with a focus on the potential for a reduction in the need for office space post Covid-19.
68. Ensure that Torbay Council collaborates effectively locally, regionally and nationally.	Work is progressing with developing an External Affairs Strategy whilst at the same time ensuring that the Council is represented at appropriate regional and national forums. Work has also been undertaken to ensure that priority areas are identified to ensure that Torbay is making its case for regional and national support.	Work will continue of developing the Strategy and the different campaigns. Attendance at appropriate local, regional and national forums will continue to be prioritised.

Code	Title	Polarity	Status	Prev Year End	Monthly Target	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20	Apr-20	May-20	Jun-20	Cumulative to date
RECP101	Agency Staff Cost (excluding schools)	It's better to be low	Well above target	£4,865,773	£470,950	£347,785	£437,377	£349,363	£349,363	£363,340	£587,165	£519,888	£411,082	£806,694	£213,420	£394,102	£323,976	£931,498
Adults £0k, Children's £300k, Public Health £0k, Business Services £0.4k, Corporate Services £23.5k, Planning & Transport £0k																		

Code	Title	Polarity	Status	Prev Year End	Annual Target	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20	Apr-20	May-20	Jun-20	Last period value
RECP102	Variance Against Revenue Budget (projected)	It's better to be low	Below target	£3,081,000	£0	£3,581,000	£4,017,000	£3,890,000	£3,228,000	£3,388,083	£2,874,000	£3,285,388	£3,206,488	£3,081,000	£7,769,000	£7,769,000	£4,800,000	£4,800,000

Code	Title	Polarity	Status	Prev Year End	Target	Quarter 2 2019/20	Quarter 3 2019/20	Quarter 4 2019/20	Quarter 1 2020/21	Last period value
HR 001	Staff sickness – % working days lost as an overall organisation	It's better to be low	Well below target	4.9%	3.5%	3.8%	4.4%	4.6%	2.9%	2.9%
RECP106	Number of Corporate Complaints received	It's better to be low	Monitoring only	456	No target set	155	86	69	60	60
RECP105	Number of Corporate Complaints - Dealt with within timescales	It's better to be high	Well below target	83%	90%	57%	74%	83%	57%	57%
	Number of Corporate Complaints upheld / partly upheld	N/A	Monitoring only	181	No target set	97	10	17	17	17
	Number of FOIs / EIRs received	N/A	Monitoring only	1426	No target set	341	307	469	235	235
FSIT012	Number of FOIs / EIRs - Dealt with within statutory timescales	It's better to be high	Well below target	83%	95%	81%	85%	89%	84%	84%
IG001	Number of subject access requests (SARs) received	N/A	Monitoring only	55	No target set	16	13	21	27	27
FSIT011	Number of subject access requests (SARs) - Dealt with within statutory timescales	It's better to be high	Well below target	29%	95%	13%	33%	29%	27%	27%

Code	Title	Polarity	Status	Prev Year End	Target	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20	Apr-20	May-20	Jun-20	Last period value
REG001 B	Registration of births - Registered within statutory timescales	It's better to be high	Well below target	98.4%	98%	98.3%	98.4%	98.3%	98.6%	98.6%	98.4%	98.4%	98.5%	98.4%	No births registered	No births registered	67.7%	67.7%
REG001 D	Registration of deaths - Registered within 5 days	It's better to be high	Well below target	74.5%	90.0%	74.3%	74.4%	74.0%	74.6%	75.4%	75.2%	74.1%	74.6%	74.5%	75.0%	79.0%	81.7%	81.7%
	SWISCO - Complaints per 100,000	It's better to be low	TBC	Data not yet available	TBC	Data not yet available			Data not yet available			Data not yet available		Data not yet available		Data not yet available		
	SWISCO - Compliments per 100,000	It's better to be high	TBC	Data not yet available	TBC	Data not yet available			Data not yet available			Data not yet available		Data not yet available		Data not yet available		
	Number of Planning Applications determined in time - with extensions	It's better to be high	Monitoring only	691	No target set	171			176			145		75		75		
	Number of Planning Applications determined in time - without extensions	It's better to be high	Monitoring only	Data not yet available	No target set	Data not yet available			Data not yet available			Data not yet available		23		23		

TORBAY COUNCIL

Corporate Risk Register Quarter 1 2020/21

KEY TO RISK REGISTER

The below Risk Matrix has been used to score the risks and only those that register as High (16 and above) and Medium/High (10 to 15) are included.

2.2 Risk Matrix

Impact	Critical	5	10	15	20	25
	Major	4	8	12	16	20
	Moderate	3	6	9	12	15
	Minor	2	4	6	8	10
	Insignificant	1	2	3	4	5
		Rare	Unlikely	Possible	Likely	Almost Certain
		Probability				

Community and Corporate Plan Priority: Thriving People and Communities

Score and RAYG	Title	Description	Probability Score	Impact Score	Mitigation	Risk Owner
12	Increased demand for Children's Services	The number of children that are cared for by the local authority increases and puts pressure on sufficiency of placement and the budget.	3 - Possible	4 - Major	We have robust oversight of our cared for population and those children who enter care. A number of panels have been put in place to monitor and track children. These include a pre-birth tracker, permanence panel and the placement panel that reviews children in independent care settings. Cases are tracked on a weekly basis. There is now an Edge of Care offer which focusses on children who have the potential to become cared for. There is now more effective use of PARIS with the use of daily alerts specifically related to COVID-19 to support us in identifying the most vulnerable children in this challenging time.	Nancy Meehan
20	Impact upon the council's ability to meet statutory timescales	Increased demand could impact on our ability to meet statutory timescales for the completion of assessments and meetings such as child protection case conferences.	5 – Almost Certain	4 - Major	Quality assurance activity is being undertaken to ensure that the thresholds remain robustly applied. Every remit within the Children's Services provides monthly performance reporting to identify where there are concerns about statutory timescales being met. There is now more effective use of PARIS with the use of daily alerts.	Nancy Meehan
15	Failure to deliver the Children's Services Improvement Plan	The last Ofsted Inspection judgement was that Children's Services are inadequate. If the next inspection judges us as inadequate it is highly	3 - Possible	5 - Critical	A Children's Commissioner is in place as part of a DFE statutory direction. The Commissioner chairs the improvement board and the board has been reviewed	Nancy Meehan

		likely that the delivery of Children's Services will be removed from Council control.			to further strengthen its function. There is also stronger quality assurance and a better understanding of performance.	
12	Delivery of Liquid Logic	If timescales are not met for the delivery of Liquid Logic (February 2021) this will have significant budget implications with Liquid Logic and will leave the Council with a data deficiency.	3 - Possible	4 – Major	There is a governance structure around the implementation of the system and progress is being reported to SLT.	Nancy Meehan
16	Local Area SEND Inspection	The Local Area SEND inspection conducted by Ofsted and the CQC will take place before July 2020. The local area preparations and self- evaluation currently demonstrates an inability to be compliant with the legislative code, due to the capacity within the system. If inspectors confirm this self-analysis, it is anticipated that the Local Area will receive a 'statement of action' and inspectors will evaluate progress with programme of monitoring visits.	4 - Likely	4 – Major	The Ofsted Inspection Process is currently on hold due to Covid 19 and there is no definitive information about when 'normal' inspection activity will commence. The preparation processes are continuing and the inspection self-evaluation document is being updated. The impact of Covid 19 on SEND delivery is being documented and the changes to SEND legislation are being addressed. However, there is a realistic risk that the authority and partners will not be able to meet the expectations to review all plans as frequently as being requested. The SEND staff posts will be filled by September 2020, which will add much needed capacity to the service area.	Rachael Williams
TBC	Achievement of £6m of Adult Social Care savings by March 2023	The ASC Improvement Plan has been created to deliver the £6m saving through operational redesign and further strengthening the Community Led Support Approach and Strength Based Approach to social care. The projects within the plan have been designed in year one to realise	TBC	TBC	Adult Social Care Improvement Board will review risks and mitigate using the integrated Project Management Office as a function of the plan. Project risks will be mitigated at project level and escalated where there is likely to be a broader ASC Improvement Plan negative strategic or operational impact.	Jo Williams

		savings from critical projects whilst allowing corresponding projects to be set up to realise savings in years two and three.				
16	Domiciliary Care Capacity	A deficit in the required capacity to meet all care requirements	4 - Likely	4 – Major	Triaging of care packages. Development of market – retention, recruitment including voluntary capacity. Increased independence through enablement and circles of support. Wellbeing and resilience support for care workers/staff. Development of esteem and value associated with care work.	Jo Williams
10	Adult social care assessment of working age adults with poor mental health is not wholly compliant with the Council's duties under Care Act 2014.	Responsibility for delivery of social care services for mental health working age adults is delegated under MoU to DPT by Torbay Council. There are currently (July 2020) 500 people on waiting list for a secondary MH service, some of whom may also have an entitlement to SC support under the Care Act, but have not yet received a Care Act eligibility assessment. Therefore people eligible for SC support will have delayed access to it which could lead to unnecessary deterioration in wellbeing, risks to mental health and potential escalation of support needs. Also those people referred for MHAT but assessed as not entitled to secondary mental health service have not been assessed for eligibility for support under Care Act, or offered	5 – Almost Certain	2 - Minor	Assessments are mainly undertaken by Devon Partnership Trust (DPT). Care Act eligibility indicator questions have been introduced into DPT's Mental Health Assessment Team's assessment so in future it will be known who has an entitlement under the Care Act 2014. Where remedial action for those currently on list is required, this is being undertaken through the improved Better Care Fund funded DPT/Step One waiting list project.	Jo Williams

		info about informal community support.				
16	Increased demand in homelessness	The level of homelessness experienced as a result of COVID-19 is expected to increase. Increased demand could impact on the Councils ability to meet statutory requirements and provide appropriate safeguarding.	4 - Likely	4 – Major	The economic consequences of COVID-19 and subsequent impact on homelessness are being addressed through a partnership work steam and recovery plan.	Tara Harris
16	Insufficient capacity to response to increase in Covid-19 pandemic infection rates or community outbreak numbers 20/21	Local outbreak Management Plans require all local authorities to oversee the response to the Covid-19 pandemic at local level and to work in partnership with PHE, NHS, Care, Education, voluntary and business partners to prevent and respond to outbreaks.	4 - Likely	4 – Major	Robust measures are needed and will include: <ul style="list-style-type: none"> • 24/7 multi-disciplinary rota to coordinate response to cases & outbreaks • Dedicated intensive support team to provide proactive and reactive infection control guidance & swabbing • Comprehensive intelligence systems mapping cases, outbreaks and risk settings, identifying patterns of spread, & helping to guide the response. • Strong, effective communications & engagement plans with communities and partners promoting behaviours which will prevent the spread of infection and compliance with isolation guidance • Training of existing staff & introduction of SOPs to enable 24/7 response over the long term Recruitment of additional skilled staff to build resilience in delivering response & intensive support.	Caroline Dimond
16	Insufficient capacity to prevent & respond to high	Flu is anticipated to present a higher than usual risk in 20/21 due to the	4 - Likely	4 - Major	A combined Covid-19 and flu response will provide the highest chance of success. Measures include:	Caroline Dimond

	<p>flu levels Winter 2020/21</p>	<p>continuation of Covid-19 infection in the population. Vaccines will be available for eligible groups and high uptake will be needed to reduce the incidence and the impact of disease.</p>			<ul style="list-style-type: none"> • Dedicated, flexible, mobile vaccination teams targeting all risk settings and high risk groups (care sector, education, hostels, carers, people with health risk conditions, shielded population, pregnant women, young children) in parallel with the primary care vaccine delivery programme to people 60 and over. • Dedicated intensive support teams delivering swabbing and infection control support for settings with cases or outbreaks to prevent spread. 	
<p>12 Page 31</p>	<p>Inadequate measures to prevent suicide & self-harm, promote good mental health & wellbeing, and support bereavement & loss</p>	<p>The impact of Covid-19 is modelled to produce an increase in mental distress, bereavement trauma and suicide risk. Torbay already has one of the high rates in the country for both suicide and self-harm. Comprehensive & effective prevention and postvention pathways need to be in place across our three communities to identify people in need & to ensure they receive appropriate information, signposting, support and intervention.</p>	<p>4 - Likely</p>	<p>3 - Moderate</p>	<p>Put capacity in place to work with partners locally, across the STP & regionally to:</p> <ul style="list-style-type: none"> • Put in place a new suicide surveillance & postvention system & expand this to include suicide attempts as well as completed suicides • Commission (NHSE funded) research with people with lived experience into high incidence of female suicides & self-harm • Work with three communities to implement new (NHSE funded) community grant fund for 'safer suicide community' initiatives • Carry out a training needs analysis to inform allocation of the (NHSE funded) training programmes • Develop new Torbay mental wellbeing alliance spanning community & statutory providers developing improved pathways for mental distress 	<p>Caroline Dimond</p>

					& matching needs with supply for mental health and wellbeing, suicide prevention, and bereavement support.	
12	Inability to deliver the Housing Strategy	National policies have served to reduce affordable housing development, increase affordability pressure in the private rented sector and make it increasingly difficult to access decent housing, for people who are on low incomes or benefits increasing deprivation and related health concerns for residents.	3 - Possible	4 - Major	Officer resource has been increased. The new housing company, TorVista Homes, has established its own Board and will be regulated by Homes England. TorVista has submitted its application and are already working to bring forward a number of affordable housing schemes. The Housing strategy Action Plan is in development. There has been increased partnership working with providers such as landlords and health services.	David Edmondson

Community and Corporate Plan Priority: Thriving Economy

Score and RAYG	Title	Description	Probability Score	Impact Score	Mitigation	Risk Owner
12	Ability to meet land supply requirements	If we do not have a five year land supply then the National Planning Policy Framework cannot be considered up to date. Ability to meet land supply requirements could impact income generation from new homes bonus and S106 monies. Failure to have 5 year land supply risks development outside of the local plan.	3 - Possible	4 - Major	At this time we have achieved a three year housing land supply and with three neighbourhood plans, one for each town, formally adopted at Full Council last year, this means we can defend against inappropriately sited development.	David Edmondson
16	A weak local economy due to COVID-19	As a result of the COVID-19 pandemic the local economy is	4 - Likely	4 - Major	There is an IMT work stream specifically set up to review this matter and support recovery of Torbay's economy.	Kevin Mowat

Page 33		weakened resulting in an impact on our residents and visitors.			<p>Following consultation with stakeholders and the business community, the Economic Reposition Plan has been produced. The plan seeks commitment from stakeholders and businesses to support Torbay's recovery and repositioning as a result of Covid, and focusses on 6 themes:</p> <ul style="list-style-type: none"> • Town centres • Visitor economy • Cultural development • Community wealth building • Growth • Employment and skills <p>An influencing and lobbying campaign is in development to raise the profile of Torbay Council, and Torbay as a whole</p>	
	Riviera International Conference Centre could close permanently	It is essential to ensure that RICC remains a viable entity to ensure contribution to local economy and Torbay as the Premier UK resort	4 – Likely	3 - Moderate	<ul style="list-style-type: none"> • Work towards move to new operator – Parkwood Leisure in November • Complete essential backlog works 	Kevin Mowat
	16	Princess Theatre could close permanently	Currently run by Ambassador Theatre Group (ATG) on behalf of Torbay Council. ATG have been significantly affected due to COVID-19 and the theatre still remains closed like all of ATGs other assets. The loss of the theatre would have a significant impact on the local economy both directly in terms of jobs and income and indirectly income around hospitality sector etc. As a Torbay Council asset the decline of ATG would mean the	4 – Likely	4 – Major	<ul style="list-style-type: none"> • Applications for (govt) grant funding to support ATG through Covid crisis • The site could be run by a different operator however this would be difficult in the current climate. • Investment in the theatre from Torbay Council to improve facilities to make it more commercially viable when it does it reopen.

		running of the theatre would revert back to the Council.				
16	Financially unsustainable future for Torre Abbey	Torre Abbey is currently a loss making asset. The focus must be switched to a commercial approach to ensure income generated meets or exceeds spend. Income is also currently impacted by reduced opening hours due to COVID-19. The building is subject to significant water ingress and has structural concerns.	4 – Likely	4 – Major	<ul style="list-style-type: none"> • Operations are being reviewed to develop a more commercial model. • There is potential to develop the café as a quality “in-house” offer to drive up commercial income and help support the long-term sustainability of Torre Abbey. • Grant applications e.g. to National Lottery Heritage Fund, are being made to secure funding to help resolve some of the issues and challenges. 	Kevin Mowat

Community and Corporate Plan Priority: Tackling Climate Change

Score and RAG	Title	Description	Probability Score	Impact Score	Mitigation	Risk Owner
10	Inadequate response to the climate change emergency.	If our response is inadequate it will have reputational repercussions for the organisation.	2 - Unlikely	5 - Critical	Work with local, regional and national partners to deliver a collaborative Climate Change Emergency Response Strategy. Projects are being progressed to deliver Solar Farm developments at Nightingale Park and adjacent to Brokenbury Quarry, with a 25 year lifespan. Roll out of EV charging infrastructure.	Kevin Mowat
25	Climate change impact on Tor Bay	Expectation of more frequent extreme rainfall events. Sea level forecast to rise by 70cm by 2050 which will significantly increase the risk of	5 – Almost Certain	5 - Critical	There are a number of contingency measures being considered to respond to coastal and pluvial flooding e.g. enhanced coastal sea defences.	Kevin Mowat

		coastal flooding of low-lying areas (particularly Paignton Green), increase in the frequency and power of storm events, increase rate of coastal erosion/damage to quays, slipways and other hard infrastructure on the shoreline. Increased disruption to maritime activities e.g. commercial fishing and marine leisure			The Port Master Plan also contains climate change countermeasures e.g. further rock armouring of Victoria Breakwater, but no funding routes have been identified yet. Work continues to address sustainable urban drainage systems (SUDS) and close collaboration with the Environment Agency is critical.	
20	Failing coastal infrastructure.	A number of coastal assets are at a tipping point of deterioration and require significant investment to ensure longevity and fitness for purpose.	5 – Almost Certain	4 - Major	Periodic inspection regime to monitor degradation. Need to identify funding solutions or agree a process of managed retreat.	Kevin Mowat

Community and Corporate Plan Priority: Council Fit for the Future

Score and RAYG	Title	Description	Probability Score	Impact Score	Mitigation	Risk Owner
12	Difficulties in social work recruitment to frontline safeguarding teams	There have been recent difficulties in recruiting social work staff both on a permanent and agency basis. The situation in the last year has been compounded due to potential recruits not wishing to relocate during the COVID-19 pandemic.	4 – Likely	3 - Moderate	Changes are being made to the structure of the Children’s Service in line with our service redesign to make them fit for purpose, the new restorative social work model is currently being implemented (and all staff are being trained) and there is now a social work offer in place for new staff which is having some positive impact on the recruitment process which is supported by a dedicated microsite	Nancy Meehan

					and increased funding to expand the establishment. A learning academy went live on 03 September 2020 and this is already proving to be a positive attribute in our campaign to recruit and retain staff.	
16	School High Needs Block spending pressures	The School Forum currently have a deficit budget position of circa 2.5 million for 2020/21 and cumulative deficit from previous years of 3.8 million.	4 – Likely	4 – Major	The School Forum is working with the Education Skills and Funding Agency (EFSA) to consider the actions that are needed to mitigate spend. The National system of funding pupils with higher need is under review. This could in part lead to additional funds being made available to the local area. The School Forum has established a Higher Needs Recovery Group to work through mitigating actions. These are being delivered and are anticipated to generate savings.	Rachael Williams
16	SWISCo commissioning resource	Insufficient commissioning resource for SWISCo.	3 - Possible	4 – Major	Delivery expectations have been reduced. TUPE transfer key service areas into SWISCo and operate a 'thin' client model.	Kevin Mowat
15	Failure to comply with GDPR	The General Data Protection Regulation (GDPR) tightens existing data protection requirements on organisations. The Council needs to be able to demonstrate compliance to the regulation in all of its processing activities. Failure to do so could result in enforcement action from ICO, damage to reputation and potential increase in complaints and claims.	5 – Almost certain	3 - Moderate	A GDPR compliance project has been undertaken and regular staff awareness campaigns are also undertaken to ensure staff keep data protection at the forefront of their minds, with the aim of reducing breaches.	Matt Fairclough-Kay
12	Balancing 20/21 budget in light of	The Council's revenue budget remains under significant pressure. The total financial pressures faced are	3 - Possible	4 – Major	The moratorium on non-essential spend within the Council is maintained.	Martin Phillips

	COVID financial pressures	£18.7m before use of specific reserves. This takes account of the financial impact of Covid-19. The main pressures are due to the Covid-19 pandemic and the financial impact of the changes we have had to make to service delivery and the changes in behaviour of the general public.			Sources of funding that could be applied against in-year shortfalls are being reviewed, although such use would result in an “opportunity cost” in relation to the original intention for the funding. We are making our own case to the Ministry of Housing, Communities and Local Government, as well as supporting national and regional lobbying, for further Covid- 19 related funding from Government. The Chief Financial Officer will use virements to revise the 2020/2021 budget in order to re-establish a baseline budget. The revised budget is intended to be flexible as there are still a wide range of unknown factors. The shortfall can be spread over future years. There is regular financial reporting to senior officers and members.	
16	Balancing 21/22 budget in light of COVID financial pressures	The financial impact of Covid-19 in future years is still being assessed. A number of the spending pressures seen in 2020/21 could reoccur in 2021/22. In addition, if the economy is impacted as predicted, a number of income sources will continue to be affected. In addition, the Government announced the deferral to 2021/22 of the Fair Funding Formula and the changes to the NNDR retention scheme. The timing and impact of any	4 - Likely	4 – Major	The Senior Leadership Team have prepared initial business cases and have provided feedback to the Finance Team on proposals which could form the basis of the 2021/2022 revenue budget. The timetable for the 2021/22 budget process is being adhered to and the Star Chamber process is under way to review proposals and identify Covid-19 related changes to base budgets. Following the Star Chambers, SLT will develop the set of proposals to be taken forward for formal decision making and the Head of Finance will prepare the	Martin Phillips

		Spending Review and/or Emergency Budget are also unknown.			outline, high level budget position for 2021/2022 (taking into account any changes to budget required as a result of COVID-19, other emerging pressures and the operational changes in services discussed at the Star Chambers. An influencing and lobbying campaign is in development to raise the profile of Torbay Council, and Torbay as a whole.	
12	Achieving a balanced budget over the period of the medium term financial plan	The projected budget gap over the life of the Medium Term Resource Plan (MTRP) is an estimated position and is subject to change and is based upon a series of assumptions and projections which will be regularly reviewed for future years to ensure they continue to be realistic. There is therefore a risk that the projections for the budget deficit may prove to be either under or over estimates.	3 - Possible	4 – Major	The MTRP will be updated as appropriate to take account of changing circumstances and new intelligence. An influencing and lobbying campaign is in development to raise the profile of Torbay Council, and Torbay as a whole.	Martin Phillips
	Proportionality of borrowing and commercial risk	The risk that council will be unable to meet its fixed borrowing liabilities if income streams associated with that borrowing are not maintained or fluctuate. The more the council borrows and the more it relies on that commercial income to support services, the greater the risk. The Ministry of Housing Communities and Local Government refers to this as “proportionality”. This risk is compounded by the economic impact of COVID and lockdown, impacting on investment property rental income.	4 - Likely	4 – Major	Regarding our investment properties; As part of the IMT recovery a sub group has been put in place for this key area and the TDA are in frequent contact with tenants. Investment management meetings have become more frequent.	Martin Phillips / Kevin Mowat

12	Corporate Health and Safety	Non-compliance to health and safety requirements across the local authority increases the risk to public and staff safety, this includes gaining appropriate certifications for some of our assets.	3 - Possible	4 – Major	Significant progress has been made in delivering the work place implementing new processes and working practices. Risk remains possible due to temporary reduction in personal as a result of Swisco transition and new associated risks associated with COVID-19.	Tara Harris
12	Capacity of legal services to deal with care proceedings before the court	As the numbers of children looked after increases, as does the requirement for legal services to support care proceedings which will go before the court. This increase could lead to lack of capacity to deal with cases in a timely and effective manner.	3 - Possible	4 – Major	Required resources are kept under close review, and the teams are currently supplemented by agency workers, to give capacity and ensure that vacant posts are filled. This does however lead to a significant budgetary pressure.	Anne-Marie Bond
12	Change management capability across the Council	The Council is embarking upon an ambitious programme of transformation, together with delivering changes required as a result of budgetary decisions. The risk is the workforce in unable to deliver the amount of Council-wide and service change service needed, whilst ensuring the continued delivery of services, and achieving required budgetary savings.	3 - Possible	4 – Major	Council Redesign Programme Board is reviewing the prioritisation of projects, and workstreams therein so as to ensure that the workforce can deliver, or that additional resources are identified in order to deliver within required timeframes.	Anne-Marie Bond
20	Staff resilience	Staff resilience on an on-going basis has been incredibly challenged given the 40% reduction in staff numbers during austerity. With the pressures that Covid brings, there are some teams in the Council where the risks around resilience are now critical.	5 – Almost certain	4 – Major	All Directors are keeping under constant review the pressures and resilience issues in their teams (especially those who are undertaking specific Covid response/recovery activities), to identify those where additional resources are required,	All Directors
12	Reputation and engagement	The risk is that the Council's reputation deteriorates with its	3 - Possible	4 – Major	The Council's Community and Corporate Plan sets a clear ambition for the Council	Anne-Marie Bond

		communities, when it needs to improve, and this has a detrimental impact on our ability to gain public support for the actions that will realise the Council's priorities.			to become an enabling Council, and one which has a very different and improved relationship with residents. This is supported by the Council Redesign programme, which aims to put residents at the centre of everything we do and which seeks to engage and empower them.	
15	Response times in respect of Subject Access Requests, Complaints, Freedom of Information requests and Equality Impact Assessments	The Information Compliance Team is managing year on year increases in the volume of requests, and delays and non-compliance with timescales is common. There is a risk of a detrimental impact on the Council's reputation, and of investigation by the Information Commissioners Office.	5 – Almost certain	3 - Moderate	In respect of Complaints, a one stage process is now embedded, and the permanent appointment of 2 Complaints Officers who independently investigate/oversee complaints, has improved the Council's performance significantly. Subject Access Requests are at a record level, and an individual request can take hundreds of hours to complete, and significant delays are common place. Whilst more members of the team are now processing these requests, given the increase in volume this is not improving the overall position. We have sought support from other Council's to undertake a small number on our behalf, but that has cost implications. A Business Case is being prepared to seek additional funding as fundamentally additional resources are required.	Anne-Marie Bond
12	Government Devolution White Paper	The UK Government have pledged to bring forward a White Paper to set out their proposals for English Devolution. This could include proposals for local government reorganisation where	3 - Possible	4 – Major	The White Paper is anticipated to be published for responses in the autumn of 2020.	Anne-Marie Bond

		existing Local Authorities are combined into single Councils.				
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Meeting: Audit Committee

Date: 30 September 2020

Wards Affected: All

Report Title: Appointment of Independent Person for Audit Committee

Cabinet Member Contact Details: Councillor Carter, Cabinet Member for Corporate and Community Services, christine.carter@torbay.gov.uk

Director/Assistant Director Contact Details: Anne-Marie Bond, Interim Chief Executive, anne-marie.bond@torbay.gov.uk. Martin Phillips, Chief Finance Officer, martin.phillips@torbay.gov.uk.

1. Introduction

- 1.1 Following a request by the Audit Committee, Council on 26 September 2019 agreed a job advert and role profile for the Council to seek a suitable person to join the Audit Committee as an Independent Advisor and that the Employment Committee be delegated authority to appoint a suitable candidate.
- 1.2 CIPFA's 'Audit Committees: Practical Guidance for Local Authorities and Police' 2018 Edition, recommends local authorities actively explore the appointment of an independent member to join local authority Audit Committees. Good practice has shown that co-option of Independent Person(s) is beneficial to audit committees with the appointment of an Independent Person providing additional benefits such as:
- Additional knowledge and expertise to the committee;
 - Reinforcement of the political neutrality and independence of the Audit Committee; and
 - Continuity of committee membership where membership is affected by the electoral cycle.
- 1.2 The recruitment initially resulted in two interested parties applying, the subsequent applications were assessed by the Employment Committee in December and were deemed to be unsuitable for the role. A further advert was placed on the Council's website and shared via the Council's social media platforms in January 2020. On this occasion there were no applicants.
- 1.3 As a result, the Audit Committee's views are sought on the next steps. Members of the Audit Committee have particular skills and qualifications that the Independent Person were expected to possess. These skills and qualifications held by Members of the Audit Committee are also complemented by the independent roles performed by the Council's external and internal auditors. Therefore Members are asked to consider whether an Independent Person is required, whilst CIPFA recommends 'actively exploring' the appointment of an Independent Person as being good practice, Members have themselves demonstrated the ability to challenge and hold the authority to account without the input of an Independent Member. Members are

therefore asked to consider whether it is prudent to continue to try and recruit an Independent Person.

3. Recommendation(s) / Proposed Decision

That Members determine whether efforts to appoint an independent person should continue.

Appendices

None

Background Documents

Audit Committees: Practical Guidance for Local Authorities and Police' 2018 Edition.



Meeting: Audit Committee

Date: 30 September 2020

Wards Affected: All

Report Title: Overview of Investigations

Is the decision a key decision? No

When does the decision need to be implemented? n/a

Supporting Officer Contact Details: Anne-Marie Bond, Interim Chief Executive, 01803 207160, anne-marie.bond@torbay.gov.uk

1. Introduction

1.1 Following previous debate within Audit Committee, it was agreed that a high level overview will be given to Audit Committee of any alleged fraud by staff or alleged financial irregularities.

1.2 The exempt Appendix, sets out such an overview.

2. Reason for Proposal

2.1 To provide a greater level of detail to Audit Committee.

3. Recommendation (s) / Proposed Decision

3.1 That Audit Committee note the contents of Exempt Appendix, and give consideration to any further information or action that they require.

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