

EXECUTIVE

**10TH AUGUST 2009
AT 1000 HOURS**

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Sherwood Lodge
Bolsover
Derbyshire
S44 6NF

Date: 31st July, 2009

Dear Sir or Madam,

You are hereby summoned to attend a meeting of the Bolsover District Council to be held in the Council Chamber, Sherwood Lodge, Bolsover, on Monday, 10th August, 2009 at 1000 hours.

Members are reminded that under Section 51 of the Local Government Act 2000 the Bolsover Code of Conduct was adopted by the Council on 16th May 2007. It is a Councillor's duty to familiarise him or herself with the rules of personal conduct by which Councillors must conduct themselves in public life. In addition, Members should review their personal circumstances on a regular basis with these rules in mind and bearing in mind the matters listed on the Agenda for discussion at this meeting.

Copies of the Bolsover Code of Conduct for Members will be available for inspection by any Member at the meeting.

Register of Members' Interest - Members are reminded that a Member must within 28 days of becoming aware of any changes to their interests under paragraph 14 or 15 of the Code of Conduct provide written notification to the Authority's Monitoring Officer.

Members are reminded of the provisions of Section 106 of the Local Government Finance Act 1992 and the responsibility of Members to make a declaration at this meeting if affected by the Section and not to vote on any matter before this meeting which would have an affect on the Council's budget.

You will find the contents of the agenda itemised on pages 156 and 157.

Yours faithfully,



Chief Executive Officer

To: Chairman & Members of the Executive

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Chief Executive Officer: Wes Lumley, B.Sc.,F.C.C.A.

DECLARATION OF INTERESTS

EXECUTIVE

DATE: 10TH AUGUST 2009

NAME OF MEMBER- _____

Levels of Interest 1. Personal
 2. Personal and prejudicial

Nature of Interest _____

AGENDA ITEM	SUBJECT	LEVEL OF INTEREST
Signed		
Dated		

Note

Completion of this form is to aid the accurate recording of your interest in the minutes only. This form, duly signed, should be provide to the Clerk at the conclusion of the meeting.

Good practice to give nature of interest – without declaring any confidentiality.

It is still your responsibility to disclose any interests which you may have at the commencement of the meeting, and before the relevant item on the agenda is discussed.

A nil return is not required.

EXECUTIVE

Minutes of a meeting of the Executive of the Bolsover District Council held in the Council Chamber, Sherwood Lodge, Bolsover, on Monday, 13th July 2009 at 1000 hours.

PRESENT:-

Members:-

Councillor E. Watts – Chair

Councillors J.E. Bennett, K. Bowman, A.J. Hodkin, D. Kelly, B.R. Murray-Carr, A. Syrett and A.F. Tomlinson.

Officers:-

W. Lumley (Chief Executive Officer), S. Tomlinson (Director of Strategy), J. Brooks (Director of Resources), J. Sherwood (Environmental Health Residential Manager)(until Minute No. 141), L. Hicken (Leisure Operations Manager)(until Minute No. 146), D. Eccles (Head of Regeneration)(from Minute No. 148), D. Troop (Housing Strategy and Enabling Manager)(from Minute No. 150), P. Campbell (Head of Housing), A. Turner (Legal and Standards Officer) and A. Bluff (Democratic Services Officer).

135. APOLOGY

An apology for absence was received on behalf of Councillors D. McGregor

136. URGENT ITEMS OF BUSINESS

There were no urgent items of business to consider.

137. DECLARATION OF INTERESTS

The following declarations of interest were made;

Minute No.	Councillor	Level of Interest
145	Councillor J.E. Bennett	Personal & Prejudicial
145	Councillor K. Bowman	Personal & Prejudicial

EXECUTIVE

138. CHANGE TO ORDER OF BUSINESS

The Chair consented to a change in order of business on the agenda. Due to additional information of an exempt nature being raised on agenda item 11, 'Procurement of Developer Panel – Tarran Bungalows', this item would be dealt with under Exempt business.

139. MINUTES – 15th JUNE 2009

The Directory of Strategy advised the meeting that recommendation three of minute number 69, 'Charging for Pre Application Planning Advice', was unrelated to the first and second recommendations as approved at the meeting of 15th June 2009 and would need to be removed from the minutes.

Moved by Councillor E. Watts, seconded by Councillor A.F. Tomlinson

RESOLVED that subject to the removal of recommendation three from minute number 69, 'Charging for Pre Application Planning Advice', the minutes of a meeting held on 15th June 2009 be approved as a correct record.

(Head of Democratic Services)

140. RECOMMENDED ITEM FROM SCRUTINY COMMITTEE HELD ON 8TH JUNE 2009 – GYPSIES, TRAVELLERS AND TRAVELLING SHOW PEOPLE POLICY

The Environmental Health Residential Manager presented the Gypsies, Travellers and Show People policy which had been developed through the Patch Management process.

Moved by Councillor J.E. Bennett, seconded by Councillor A. Hodkin

RESOLVED that the Gypsies, Travellers and Show People policy be approved.

(Environmental Health Residential Manager)

Reason for Decision: In order to approve the Gypsies, Travellers and Show People Policy.

The Environmental Health Residential Manager left the meeting at this point.

141. ADULT SOCIAL SERVICES PARTNERSHIP BOARD MEETING

As Portfolio Holder for Social Inclusion, Councillor Syrett had been invited to sit on the Adult Social Services' Partnership Board meetings.

EXECUTIVE

Councillor Bennett confirmed that she would like to substitute for Councillor Syrett if she was unable to attend any of the meetings.

Moved by Councillor E. Watts, seconded by Councillor K. Bowman

RESOLVED that 1) Councillor Syrett attend the Adult Social Services Partnership Board meetings,

2) Councillor Bennett to substitute for Councillor Syrett if she was unable to attend any of the meetings.

(Chief Executive Officer / Head of Democratic Services)

Reason for Decision: To ensure appropriate representation at meetings.

142. KEY DECISION NOTICES FROM THE JOINT BOARD HELD ON 26TH MAY 2009

Councillor Tomlinson had attended the Joint Board meeting held on the 26th May 2009 on behalf of Councillor Watts who was unable to attend.

Moved by Councillor A.F. Tomlinson, seconded by Councillor J.E. Bennett

RESOLVED that the Key Decision Notices from the Joint Board held on 26th May 2009 be noted.

Reason for decision: To keep Members informed of key decisions made by the Leader as part of the Joint Board.

143. RENT ARREARS – VERBAL UPDATE

The Head of Housing circulated information on area based targets in respect of housing rent arrears and also former tenants rent arrears.

He informed Members that the Authority was now feeling the impact of the credit crunch as the courts were being more lenient with tenants in severe rent arrears.

Members asked questions and lengthy discussion took place.

Moved by Councillor K. Bowman, seconded by Councillor J.E. Bennett

RESOLVED that the report be noted.

(Head of Housing)

Reason for Decision: To keep Members updated on the present position of housing rent arrears.

EXECUTIVE

144. CUSTOMER SERVICE AND ACCESS STRATEGY 2009-2011

The Customer Service and Access Officer presented the report which included the Customer Service and Access Strategy 2009-2011 and Implementation Plan 2009-2011.

In 2007 it was decided to produce a Customer Service and Access Strategy over a two year period (2007-2009) and within that period undertake a Best Value Review of Customer Service and Access.

The Customer Service and Access Strategy 2007-2009 had now been reviewed and evaluated. The long term vision and workstreams were still valid and important and as such, to enable future strategies to dovetail with the Corporate Plan, this reviewed strategy would run up to March 2011 and concentrate on achieving further improvements under the respective workstreams.

Moved by Councillor E. Watts, seconded by Councillor J.E. Bennett

RESOLVED that, in line with the corporate plan target, the Customer Service and Access Strategy 2009 – 2011 and the Implementation Plan 2009-2011 be approved.

(Customer Service and Access Officer)

Reason for Decision: To have an approved Customer Service and Access Strategy to cover the period July 2009 to March 2011.

Councillors Bowman and Bennett declared a level 2 interest in the following item and left the meeting.

145. OLD BOLSOVER TOWN COUNCIL PLAYGROUND ENHANCEMENT PROGRAMME

The Leisure Operations Manager presented the report.

Old Bolsover Town Council were looking to refurbish and upgrade their play equipment and play area stock and had identified two sites for improvement as part of the programme; these were Shuttlewood Recreation Ground and Hornscroft Park.

They were looking to invest further in the Shuttlewood Recreation Ground site by replacing the infant / junior play facilities – a project which in total would cost £40,000. To fund this project the Town Council had sought funding from the Landfill Communities Fund.

Some improvements were undertaken to the Hornscroft Park site in 2008 and the opportunity to invest further in the site would include a teenage focused recreation activity facility (multi use games area), a teen focused play/socialising area and general upgrading of the site – a project which in total would cost £150,560. To fund

EXECUTIVE

this project the Town Council again had sought funding from the Landfill Communities Fund.

Old Bolsover Town Council had approached the Authority to become a Third Party Contributor to the two projects. This contribution could be funded from section 106 monies held by the Authority for formal / informal recreation generated through planning gain which are to be used for the purpose of benefitting the people of Bolsover and the surrounding communities. The Old Bolsover Town Council 'Playground Enhancement' programme fits the criteria to access the monies held.

Councillor Murray-Carr raised concern that he had written to Old Bolsover Town Council in February this year with regard to the park at Sherwood Street, Carr Vale, which had been neglected for a number of years and suffered from antisocial behaviour. Old Bolsover Town Council had written back to Councillor Murray Carr advising him there was no intention by them to address the issues at Sherwood Street park. Councillor Murray-Carr noted that this was disappointing as Old Bolsover Town Council was a signed up member of the Bolsover District Council led '*Bolsover District Play Partnership*'.

Discussion took place and it was agreed that the Leader would write to Old Bolsover Town Council asking that they review their decision with regard to restoring the play area on Sherwood Street, by cutting the grass and tidying up the area.

Moved by Councillor A.M. Syrett, seconded by Councillor A. Hodkin

RESOLVED that 1) the use of the section 106 monies held for formal / informal recreation for the benefit of the people of Bolsover and the surrounding communities, to support the Old Bolsover Town Council 'Playground Enhancement' programme be approved,

2) the Leader write to Old Bolsover Town Council asking that they review their decision with regard to restoring the play area on Sherwood Street, Carr Vale, by cutting the grass and tidying up the area.

(Leisure Operations Manager / Leader)

Reason for decision: **To consider support for this particular programme and others in the future from monies secured and held by this Authority through section 106 contributions to benefit the people of Bolsover and surrounding areas.**

The Leisure Operations Manager left the meeting at this point.

146. CLIMATE CHANGE STRATEGY

The Director of Strategy presented the report which included a slide presentation.

EXECUTIVE

A draft Climate Change Strategy had been prepared which outlined the various issues and impacts of climate change and proposed how the Council would respond. A report from the Energy Savings Trust was also presented to Members assessing the Council's current situation in responding to various climate change issues.

A high level action plan was included and this would be delivered and supported by various work strands, some of which were co-ordinated via both officer and Member working Groups.

Members discussed the issues of climate change at length, including recycling, the travel to work scheme and car sharing.

Moved by Councillor D. Kelly, seconded by Councillor E. Watts

RESOLVED that 1) the Climate Change Strategy and Energy Saving trust report be approved,

2) suitable training and awareness sessions be organised for both Members and officers on climate change issues,

3) the £22,500 Area Based Grant allocation for climate change be allocated to a reserve for Climate Change initiatives in 2009/10 to pump prime investment,

RECOMMENDED that 4) Council agree that £48,500 of the general reserve be allocated to the Climate Change initiatives reserve to further invest in sustainable energy projects to be prepared by the Climate Change Group, such projects to be approved by Executive, unless payback periods are within the current delegation to the Director of Strategy.

RECOMMENDED that 5) the predicted savings from such projects be re-invested into further energy projects.

(Director of Strategy / Head of Democratic Services)

Reason for decision: To assist the Council in meeting its climate change targets and obligations and to generate ongoing savings.

147. BUDGET STRATEGY 2010/11 TO 2012/13

The Director of Resources presented the report.

A draft Budget Strategy was attached to the report and covered the period 2010/11 to 2012/13. The Strategy detailed the process to be adopted for compiling the Council's budgets during this period and highlighted key issues for consideration when adopting the budget and determining future Council Tax levels.

EXECUTIVE

The report would be considered by Scrutiny Committee on 14th July 2009 and their comments taken to Cabinet on 21st July 2009. A presentation would be given to Council on 12th August 2009.

The first quarterly report on performance and budget monitoring, (to include arrears, borrowing and investments), would be presented to Executive on 10th August 2009. Members asked questions.

The Director of Resources added that a report on efficiency savings for 2008/09 – 'backward look', would be presented to the next Executive meeting.

Members requested that they have the opportunity to look at all the suggestions put forward for efficiency savings and possible different ways of working that are presented to SMT.

Moved by Councillor E. Watts, seconded by Councillor A.F. Tomlinson
RESOLVED that in accordance with the Budget and Policy Framework, the Council's Budget Strategy for 2010/11 to 2012/13 be forwarded to Scrutiny Committee for consideration and approval by Council.

(Director of Resources / Head of Democratic Services)

Reason for decision: To inform Members of the proposed three year Budget Strategy.

The Head of Regeneration entered the meeting at this point.

148. RIVERSIDE DEPOT – ADDITIONAL LAND LEASE AGREEMENT

The Head of Regeneration presented the report which included a plan of the Riverside Depot site.

Subject to planning consent, Members approval was sought to enter into a land lease agreement with Derbyshire County Council for the land on the eastern boundary of the Riverside Depot site to enable the Authority to provide an additional forty 'off road' parking spaces.

Three quotes had been received for the construction of the car park and with the intention of accepting the lowest quote, the costs would be met from within the approved capital budget for the project, along with the costs for the boundary fence work and professional fees.

Members asked questions.

Moved by Councillor A.F. Tomlinson, seconded by Councillor B.R. Murray-Carr
RESOLVED that subject to the grant of planning permission, the Council enter into a

EXECUTIVE

lease agreement with Derbyshire County Council for the land adjoining the eastern boundary of Riverside Depot, as shown on the attached plan.

(Head of Regeneration)

Reason for decision: To assist in the efficient delivery of services.

149. THE LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985

Moved by Councillor D. Kelly, seconded by Councillor E. Watts

RESOLVED that under Section 100(A)(4) of the Local Government Act 1972 (as amended), the public be excluded from the meeting for the following items of business on the grounds that they involve the likely disclosure of exempt information as defined in the stated Paragraph of Part 1 of Schedule 12A of the Act and it is not in the public interest for that to be revealed.

150. PROCUREMENT OF DEVELOPER PANEL – TARRAN BUNGALOWS EXEMPT PARAGRAPH 3

The Head of Regeneration and the Housing Strategy & Enabling Manager jointly presented the report.

Member's approval was sought to revert to recommendation three of the original report presented to Council on 8th September 2008, with regard to the Tarran bungalows, Minute Number 316 refers.

In August 2008 the Housing Minister announced proposed rule changes that could allow stock retaining authorities to develop new council housing. A new recommendation was added into the Tarran paper requiring full investigation of the Council's ability to access Housing Corporation (HCA) grant to replace the unfit units.

The 17th April 2009 Budget included a statement by the Chancellor that grant funding was to be made available to local authorities wishing to build new affordable housing. Detailed guidance was not made available until May 2009 and this was now outlined in the report.

To clarify what was required for potential bid success, a meeting was held in London on the 15th May 2009, with the HCA National Head of Investment; attended by the Leader, Deputy Leader, Head of Shared Procurement and the Housing Strategy & Enabling Manager.

EXECUTIVE

151. LUNCHTIME ADJOURNMENT

The time being 1230 hours, consideration was given as to whether the day's business could be concluded by 1400 hours.

Moved by Councillor E. Watts, seconded by Councillor A.F. Tomlinson

RESOLVED that the meeting continue.

150. CONTINUED - PROCUREMENT OF DEVELOPER PANEL – TARRAN BUNGALOWS EXEMPT PARAGRAPH 3

Appendix C of the report detailed work undertaken by the Head of Finance to cost options available to the Authority.

Housing Needs and Housing Strategic Services had undertaken tenant liaison work to ensure that tenants were kept up to date with developments. Existing tenants had raised concerns at the length of time waiting for funding decisions to be resolved.

Members sought the views of the Head of Housing who advised Members that he supported the proposals in the report.

Councillor Bowman requested clarification with regard to recommendation four. The Head of Regeneration replied that for clarity, recommendation four should read, 'the approval of Officer communication to the Tarran residents of the decision to procure a suitable RSL partner to take forward the development, subject to any further funding announcements'.

Further to a question raised by Councillor Bennett discussion took place on how the communication would be delivered to the Tarran residents.

Further discussion took place.

Councillor Tomlinson raised that the relevant Portfolio Holders be involved in the selection process for a suitable RSL partner and that this be added as a further recommendation.

Moved by Councillor A.F. Tomlinson, seconded by Councillor K. Bowman

RESOLVED that 1) submission to the Local Authorities Bidding for Social Housing Grant (Appendix B) would require delivery of 216 social rented units, borrowing of £9.12 million minimum (Appendix C) and provision of land worth £3.95 million (Appendix D) at nil value is recognised by Members,

2) that officers have exhausted the requirement to exhaust Council ability to rebuild Tarran stock as Landlord through monies announced in the 2009 April budget under Minute 316 of 8th September 2008 Council is recognised by Members,

EXECUTIVE

3) reversion to recommendation 3 of Appendix A, commencing with immediate effect and not at autumn 2008 as stated. In recognition of the announcement of new monies, June 30th 2009, to extend that recommendation to cover developer contractors in addition to Registered Social Landlords be approved,

4) Officer communication to the Tarran residents of the decision to procure a suitable Registered Social Landlord partner, to take forward the development, subject to any further funding announcements' be approved,

5) the transfer of Council Land to deliver 108 units at an undervalue to the successful Tarran Redevelopment partner under the Local Government Act 1972 General Disposal Consent 2003 be approved,

6) retention of land not required for Tarran bungalow replacement on the basis that delivery of open market units will assist with delivery of balanced communities in low value areas such as New Houghton and Langwith Junction be approved,

7) the relevant Portfolio Holders be involved in the selection process for a suitable Registered Social Landlord partner.

(Head of Regeneration / Housing Strategy & Enabling Manager)

Reason for decision: To resolve the issue of the future of the Tarran bungalows.

152. GEORGE INN, WHITWELL EXEMPT PARAGRAPH 3

The Head of Regeneration presented the report.

At a meeting of the Executive held on 8th September 2008, Members approved the sale of the George Inn property at Whitwell by way of public auction.

The property had been marketed by agents on behalf of the Authority and an offer of £175,000 had been received.

Moved by Councillor A.F. Tomlinson, seconded by Councillor K. Bowman

RESOLVED that the Council sells the freehold of George Inn Whitwell on the terms proposed by the Senior Valuer.

(Senior Valuer)

Reason for decision: In order to secure a capital receipt for the Council from the sale of a property that is surplus to requirements.

EXECUTIVE

153. KITCHEN CROFT, BOLSOVER EXEMPT PARAGRAPH 3

The Head of Regeneration presented the report.

At a meeting of the Executive held on 4th February 2008, Members approved the sale of Kitchen Croft and the adjacent car park to Derbyshire Police. The Police had intended to sell the Limekiln Fields Road Police Station to enable them to finance the purchase of Kitchen Croft but due to the downturn in the property market only one offer had been made and this had fallen far short of the valuation.

Terms had now been agreed whereby the Police proceed with the purchase of the Kitchen Croft car park but take a 25 year lease of the building. The rental would be reviewable every five years and the Police would be responsible for all repairs to the building.

If the Police were able to negotiate a sale of the existing Police Station in the future, they had advised that they would wish to purchase the freehold in Kitchen Croft.

Moved by Councillor A.F. Tomlinson, seconded by Councillor B.R. Murray-Carr
RESOLVED that 1) the car park adjacent to Kitchen Croft be sold to Derbyshire Police on the terms now proposed,

RECOMMENDED that 2) Council earmark the capital receipt to construct replacement car parking facilities in the grounds to Sherwood Lodge,

RESOLVED that 3) the Council enters into a 25 year lease of Kitchen Croft with the Police on the terms proposed by the Senior Valuer,

4) delegated powers be given to the Head of Regeneration to negotiate a sale price with the Police should they wish to purchase Kitchen Croft during the term of the lease.

(Senior Valuer)

Reason for decision: In order to secure an income from a Council property and to facilitate the relocation of Bolsover Police Station to Bolsover town centre.

The meeting concluded at 1300 hours.

AGENDA ITEM 5
RECOMMENDED ITEM FROM SCRUTINY COMMITTEE
14TH JULY 2009

159. RISK MANAGEMENT

The Director of Strategy presented the report to update Members on progress with Risk Management since the last report in March 2009.

A total of 228 risks had been identified with 88 having a score of 8 or above and therefore reportable to Members.

All Project and Partnership risks had been identified separately in the report for Members consideration. Risks associated with climate change had also been identified by the Business Risk and Climate Change groups, these included floods, extreme cold weather, heat waves, reduced water availability and storms/high winds. Members' attention was brought to the processes in place to mitigate the associated risks, particularly those having a high impact on individuals and those requiring nil or negligible cost.

Members questioned why Swine Flu had not been identified as a risk. The Director of Strategy drew Members' attention to SR9 on the Strategic Risk Register which identified the risk factor of a major industrial action or sickness epidemic. The risk level was being kept under review as new guidance and information was received. All departments had been requested to review their business continuity planning procedures.

It was noted that the Legal Time Management System (Risk Leg2005/10) was no longer supported and an explanation was requested. Members were advised that the Time Management software used by Legal was no longer supported by the software company as the necessary upgrade had been unaffordable due to other budget constraints. The register indicated the potential impact to Legal Services if the Time Management system was withdrawn. The Principal Senior Solicitor advised that a paper based system was currently being drafted and would be in place in the near future.

Questions were raised with regard to the current status of the Legionella risk. The Director of Strategy advised that training had been provided to all staff working in premises where there may be a potential for Legionella to be present and a robust system was in place for managing and monitoring the risks.

Members asked questions regarding the measures in place to mitigate the impact of a potential flood. The Director of Strategy advised that a number of measures were being considered with Derbyshire County Council who had carried out a local climate assessment of the area. Numerous County wide initiatives were ongoing to assess and monitor climate related risks and ensure those residents most vulnerable to flooding were notified of potential problems.

In response to questions raised with regard to availability of funding for housing grants, the Director of Strategy advised that private sector housing grants were provided within the limits of the available budget and the Council's priorities. Additional funding was continually sought from other sources wherever possible.

Moved by Councillor J. E. Smith, seconded by Councillor M. Dooley

RECOMMENDED that (1) the contents of the report be noted;

(2) that Executive be recommended to agree the climate change risks that can be improved by nil cost or negligible action be progressed.

(Director of Strategy/Democratic Services)

Committee:	Scrutiny	Agenda Item No.:	6
Date:	14 th July 2009	Category	3
Subject:	Risk Management	Status	Open
Report by:	Director of Strategy		
Other Officers involved:	Business Risk Group Senior Management Team Heads of Service		
Director	Strategy		
Relevant Portfolio Holder	Strategic Organisational Development		

RELEVANT CORPORATE AIMS

CUSTOMER FOCUSED SERVICES – Providing excellent customer focused services

STRATEGIC ORGANISATIONAL DEVELOPMENT – Continually improving our organisation.

By adopting a corporate approach to risk management, the Council minimises potential difficulties that could impact upon its abilities to deliver Customer Focussed Services.

TARGETS

A priority identified in the Corporate Plan is to ensure that all Strategies and Plans have robust monitoring, assessment and review functions

VALUE FOR MONEY

Proactive risk management avoids unnecessary expenditure in resolving issues that could otherwise be avoided or minimised by forward planning.

THE REPORT

This report updates Members on progress with Risk Management since the last report in March 2009. In particular it provides details of the quarterly review of both Operational and Strategic Risk Registers.

ISSUES FOR CONSIDERATION

As a result of this review there are now a total of 228 identified risks (as opposed to 197 in March 2009), of which 201 (169) are Operational and 27 (27) are Strategic. During the course of the review 32 new Operational risks have been identified, 16 amended and 3 deleted. There have been no amendments to the Strategic risks.

Members will recall that to assist in embedding risk management monitoring now takes place for any risks with an “initial” risk score of 8 or more. Monitoring is now beginning to focus on the completion of actions to alleviate or reduce risks to their residual scores. If these scores remain at 8 or more they will continue to be reported but if following completion of appropriate actions the residual score reduces below 8 they will no longer be reported to Members, but remain on the Master Risk Register. To assist Members in monitoring progress Annex 1 contains shading to highlight any risks where changes have taken place since the last report. The “Comments” column is used to provide brief updates of progress on individual risks for Members.

As a result of the changes referred to above, there are now 88 (79) risks with such a score. 71 (62) Operational risks have an initial score of 8 or more of which 8 are new, 14 have been amended and none deleted. There are 17 Strategic risks with such scores, with no amendments, additions nor deletions. The revised Risk Registers are shown in Annex 1.

In March it was reported that risks connected with projects and partnerships are now beginning to be included within the risk registers. As a result of concerted action it is pleasing to note that progress is being made on managing these types of risks. There are now 32 project risks identified at Annex 2 and 22 partnership risks at Annex 3. To assist in the management of health and safety risks, these are also now separately identified and there are 45 such risks at Annex 4. As this is the first time that Members have received this separate information all risks have been identified even if their initial score is less than 8. In future it is proposed that reporting will be restricted to those risks scoring 8 or more but they can be separately identified if Members find this helpful.

In response to potential risks associated with climate change and as part of the self assessment of our adaptation to climate change required by NI 188, a joint meeting of the Business Risk and Climate Change Groups considered a number of potential risks. These have not yet been entered onto the Master Risk Register, pending Members consideration of the issues involved. 5 generic risks have been identified covering floods, extreme cold weather, heatwaves, reduced water availability and storms / high winds. Details are provided at Annex 5.

Members will note that none of the risks have initial scores greater than 8 and would not normally be reported. However in view of the potential for specific action to be taken to reduce these risks Members views are invited. Clearly there is always more that could be done to reduce risks but this will require

additional resources or the diversion of existing resources from current work. In response to questions on how such risks should be managed, GOEM advised that if they are below our normal reporting thresholds, there is no requirement for specific actions to be taken other than reporting to Members and subsequent monitoring. Risk assessment scores have been arrived at based upon the overall impact upon the district and the capability of the Council to respond. However, should any of these risks occur, their impact upon individuals / affected households can be quite devastating. It is therefore proposed that an exception to normal practice be introduced for these risks. Within Annex 5 Members will not have a column entitled "Additional risk control measures that could be introduced". It is proposed that where the cost of such measures has been classed as "nil" or negligible that action be taken to progress the measures identified.

Members are requested to consider the contents of this report and to identify any issues they require further information upon, in particular whether or not they require different categories of risk to be separately identified.

IMPLICATIONS

Financial: All costs associated with the introduction of the risk management strategy and the development of strategic and operational risk registers will be accommodated within existing budgets. Following further assessment of risks with an "initial" score of 8 or more it may be necessary to seek budgetary approval to undertake action to mitigate certain risks. All issues of this nature will be the subject of future reports to Members.

Legal: None

Human Resources: Officer and Member time to support and embed a risk management culture within the Council.

RECOMMENDATIONS

- 1. That the contents of the report be noted and Members indicate any issues they require further information upon, particularly whether or not future reports are to separately identify different categories of risk.**
- 2. That a recommendation be made to Executive that climate change risks that can be improved by nil cost or negligible action be progressed.**

ATTACHMENT: Strategic and Operational Risk Register

FILE REFERENCE:

SOURCE DOCUMENT: Risk Management Strategy

MASTER RISK REGISTER DATA SUMMARY

Revisions June 2009

	ALL	NEW	AMEND	DELETE
TOTAL OF ALL RISKS				
OPERATIONAL RISKS	201	32	16	3
STRATEGIC RISKS	27	0	0	0
TOTAL RISKS (OVERALL)	228	32	16	3

RISKS GREATER THAN OR EQUAL TO A SCORE OF 8

OPERATIONAL RISKS	71	8	14	0
STRATEGIC RISKS	17	0	0	0
TOTAL RISKS (>= 8)	88	8	14	0

ADDENDUM

PROJECT RISKS	32	(3 OF WHICH ARE TO BE DELETED)
PARTNERSHIP RISKS	22	
HEALTH & SAFETY	45	

Strategic Risk Register 2009

SCORE IS GREATER THAN, OR EQUAL TO 8

	Department Risk Owner	Brief Description of Risk	Brief Service / Issues Description	Assessment of Risk with Current Controls in place			Assessment of Risk Control Measures that could be introduced			Date for completion of Action	Actual Completion Date	Status A=Amend N=New D=Delete	Category	Comments / Controls
				Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score					
CEPT 002/06	CEPM	Inability to deliver key services as a result of specialised staff being absent or leaving.	CEPT	3	3	9	3	2	6	Mar-09				PPMO left 20/02/09 - PLO post ends 31/03/09. Action Plan produced 25.03.09 to be completed by 30.06.09.
CSO 004	Comm Safety	Staff contaminated by syringe or toxic waste	Rangers	5	2	10	5	1	5	Mar-06	Oct-06		HS	Link to Strategic risk SR19, but to be retained as operational risk
CSO 005	Comm Safety	Child Protection & duty of care of young people	All C/S staff	5	2	10	5	1	5	Apr-08	N/a			Strategic Risk - being addressed at Corporate level, but needs monitoring at dept level as well
CSO 006	Comm Safety	Lack of external funding	CSP & N.MGT	5	3	15	5	2	10	Apr-08	n/a			Strategic Risk - being addressed at Corporate level, but needs monitoring at dept level as well
CSPD 002/05b	Head of Customer Service & Performance	Insufficient training on software for management and systems administration	Customer Service and Performance	3	3	9	3	2	6		n/a			Training on specialist software being provided - Programme in place
CSPD 014/05	Head of Customer Service & Performance	Break in/ Theft/ Vandalism to contents and building	Contact Centres Area-based one-stop service	3	3	9	3	3	9		n/a			Risk Assessment revisited in Jan 2009. New judgement made. See CSPD 01/09
CSPD 04/08	Customer Service & Performance Manager	All CSPD staff (Sherwood Lodge based & Contact Centres) need to understand fire evacuation procedures to avoid the risk of being caught in a burning building.	All CSPD staff (Sherwood Lodge-based & Contact Centres) need to understand their responsibilities in the event of a fire whether its ordinary members of staff or as trained Fire Marshals	4	2	8	4	1	4				HS	Fire Drill in place, 2 trained Fire Marshals in place, regular fire evacuation tests carried out, 'lessons learnt' fed back to Chief Fire marshal and H & S Officer after each test & alarm. Low likelihood and comprehensive arrangements to address any shortfall in Fire Drill. An annual reminder for all CSPD staff of the fire drill process would further strengthen those arrangements.
CSPD 07/08	Customer Service & Performance Manager	All CSPD Officers (Sherwood Lodge-based & Contact Centres) need to understand the importance to the authority of implementing Risk-based decision making and the consequences of failing to implement this approach to Council business.	The Head of Service needs to ensure that all relevant staff understand the authority's approach to managing Business Risk and it's objectives	4	2	8	4	1	4					Ensure that RAs are in place for irregular activities by contacting managers. E.g. P Brown for Chauffeuring, L Hickin for Fireworks, etc. Generic RA to be produced to cover events management within the dept to cover, lifting/ handling, public liability, fire safety, etc.
CSPD 08/08	Customer Service & Performance Manager	Lone Working – All those staff that may at some time being working alone, in the District, may be vulnerable to attack (verbal and/or physical), kidnap, theft of personal or Council property, hate-crime harassment, etc	The Head of Service needs to ensure that all relevant staff are aware of the dangers and the importance of following safe-working processes.	4	2	8	4	1	4				HS	Personal job-specific risk assessments are undertaken and appropriate action taken
ENV5	Environmental & Depot	Failure to Reduce the Number of Accidents & Days Lost due to Accidents to the Best in Class for the Depot and Street Services	Depot & Street Services	3	3	9	3	2	6	31/10/2006	31/10/2006		HS	Health & Safety Improvement Plan in place with key milestones up to 2008/9. Plan being monitored by SMT.
ENV6	Environmental & Depot	Failing to protect employees from Health and Safety risks of Hand Arm Vibration, Hazardous Substances, Work Equipment, Noise, Manual Handling, Working at Height	Depot & Street Services	3	3	9	3	2	6	31/12/2008			HS	Policies and guidance in process of drafting & approval, interim measures in place

Strategic Risk Register 2009

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ENV7	Environmental & Depot	Meden Valley Making Places 1. Strategic Direction	Non achievement of objectives	4	2	8	4	2	8	ongoing	01/04/2011		PS	Partnership
ENV8	Environmental & Depot	Meden Valley Making Places 2. Performance	Failure to deliver renewal programme	4	2	8	4	2	8	ongoing	01/04/2011		PS	Partnership
ENV12	Environmental & Depot	North Derbyshire Home Improvement Agency (Bolsover DC, Chesterfield BC, North East DC) 1. Strategic Direction	Non achievement of objectives	4	2	8	4	2	8	ongoing		N	PS	Partnership. External review currently being undertaken may lead to changes within the partnership.
ENV13	Environmental & Depot	North Derbyshire Home Improvement Agency (Bolsover DC, Chesterfield BC, North East DC) 2. Performance	Failure to deliver agreed services	4	2	8	4	2	8	ongoing		N	PS	Partnership. External review currently being undertaken may lead to changes within the partnership.
ENV15	Environmental & Depot	North Derbyshire Home Improvement Agency (Bolsover DC, Chesterfield BC, North East DC) 4. Financial	Insufficient capital funding to meet the council's contribution to the agency resulting in failure to meet agreed objectives/outcomes within service level agreement. Supporting People reduce financial support resulting in further financial input by the Council	4	2	12	4	3	12	ongoing		N	PS	Partnership. External review currently being undertaken may lead to changes within the partnership.
ENV30	Environmental & Depot	Project - Disabled Facilities Grant - C020 4035 2. Demand	High level of demand cannot be dealt with through lack of staffing/financial resources. Failure to meet customer expectations.	4	3	12	4	3	12	ongoing		N	PR	
ENV31	Environmental & Depot	Project - Disabled Facilities Grant - C020 4035 3. Financial implications	Inadequate budgetary provision and failure to deal with mandatory applications for grant. Ombudsman involvement. Impact on other private sector housing capital projects	4	3	12	4	3	12	ongoing		N	PR	

Strategic Risk Register 2009

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ENV33	Environmental & Depot	Project -Private Sector Housing Grants Codes C187/C033 2. Demand	High level of demand cannot be dealt with through lack of staffing/financial resources. Failure to meet customer expectations.	2	4	8	2	4	8	ongoing		N	PR	
ENV34	Environmental & Depot	Project -Private Sector Housing Grants Codes C187/C033 3. Financial Implications	Inadequate budgetary provision to meet demand. Ombudsman involvement. Provides HIA support. Funds Capital salaries.	3	4	12	3	4	12	ongoing		N	PR	
HRO 2005/05	Health & Safety Officer	Failure to Reduce the Number of Accidents & Days Lost due to Accidents to the Best in Class	HR	3	3	9	3	2	6	31/10/2006	31/10/2006		HS	Health & Safety Improvement Plan in place with key milestones up to 2008/9. Plan being monitored by SMT.
HRO 2005/10	Senior Training Officer	Deliver a Leadership/Management Development Programme for Each Level of Management	HR	3	3	9	3	2	6	31/03/2009	31/03/2009		HS	Senior and Middle Managers Leadership Development Programme Complete. Junior Managers and Team Leaders underway All training programmes complete. Training is ongoing until March 2010
HRO 2007/04	Health & Safety Officer	Inadequate arrangements in place re. revising Health & Safety Policies	HR	4	2	8	4	1	4	31/03/2008	31/03/2008		HS	
HRO 2007/05	Health & Safety Officer	Failing to protect workers from potential workplace or work related violence, failing to protect the council and employees from the actions of visitors	HR	3	3	9	3	2	6	31/03/2008	31/03/2008		HS	
HRO 2007/06	Health & Safety Officer	Failing to ensure adequate means of undertaking audits, inspections, accident investigations and risk assessments	HR	4	3	12	4	1	4	31/12/2008	31/12/2008		HS	Policies, procedures, audit and management systems have been reviewed and improved over 2008
HRO 2007/07	Health & Safety Officer	Not having adequate fire safety management systems in place to manage fire risk	HR	4	3	12	4	1	4	30/09/2008	30/08/2008		HS	Fire safety policy in place. Fire risk assessments completed and under review. Premises arrangements completed and under review.
HRO 2007/08	Health & Safety Officer	Failing to protect employees from Health and Safety risks of Hand Arm Vibration, Hazardous Substances, Work Equipment, Noise, Manual Handling, Working at Height	HR	3	3	9	3	2	6	31/12/2008	30/08/2008		HS	Policies and guidance in place, training and training programmes being delivered / developed
HRO 2007/09	Health & Safety Officer	Not having an updated means of managing the risks associated with Display Screen Equipment (computer workstations)	HR	3	3	9	3	1	3	30/09/2008	30/09/2008		HS	New policy and guidance adopted
HRO 2007/10	Health & Safety Officer	Not having adequate means to manage the risk from exposure to asbestos	HR	4	2	8	4	1	4	31/09/2008			HS	Revised draft Policy and Guidance circulated. Awareness training programme and management training complete. Additional task training required.

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HRO 2007/11	Health & Safety Officer	Failure to implement the HSE's Stress Standards in revised policy documentation for stress management	HR	3	3	9	3	2	6	31/12/2008			HS	Drafted, circulated, being piloted by Housing and Planning, extensive amendments suggested by HOS group
Hou 004/05	Head of Housing	Loss of life/injury due to carbon monoxide poisoning	Repair & Maintenance	5	2	10	5	1	5	Procedure by Sept 2006	Sep-06		HS	Procedure agreed - not tested in practice
Hou 006/5	Head of Housing	24 hour Central Control Service interrupted (note central control provides cover for other sections of authority)	Housing Services	5	3	15	5	1	5	April 2007 - Subject to capital bid.	May 2007 - backup installed			Bid successful - equipment procured and installed Q1/07. Risk to be removed
Hou 007/05	Head of Housing	Lone Worker threat	Housing Services	4	2	8	4	1	4	Ongoing			HS	Ongoing. Link to SR19
Hou 009/05	Head of Housing	Legionella outbreak in sheltered housing scheme	Housing Services	4	2	8	4	1	4	Guidance revised Sept06			HS	Guidance restated Oct 06 - Sep 08 Monitoring continues
Hou 0011/05	Head of Housing	Failure to meet Decent Homes Standard within Govt Timescales	Housing Services	5	2	10	5	1	5	Ongoing until 2010				Monitoring group established. Sep 08 - Consultancy commissioned confirms on track. Options for Tarran bungalows
Hous 0013/05	Head of Housing	Increase in homelessness to point where there is insufficient accommodation	Housing Services	3	3	9	3	1	3	April 2007 - subject to revenue bid & external funding	December 2006 - succeeded by Hous 003/06			Report to council December 2006 - agreed use of existing stock. Additional measures within SDP for 2007/8
Hous 0014/05	Head of Housing	Failure to meet new Fire Safety Standards (following regulatory reform order) in Group Dwellings	Housing Services	4	2	8	4	1	4	Ongoing	Mar-09			To be addressed at Capital Programme. Sep 08 - work completed Q3/08.
Hous 001/06	Head of Housing	Reliance of microfiche system	Housing Services	3	4	12	3	4	12	Dec-09		A		Budget bid unsuccessful - risk remains unacceptable (with system would be likelihood of 2) Link to SR17. Spe 08 -Bid successful implementation commenced (when in place risk will reduce)
Hous 002/06	Head of Housing	Loss of Supporting People Contract	Housing Services	4	4	16	4	2	8	Sep-09		A		Activities with housing SDP for 2007/8 to obtain accreditation for service. For 2007/8 SP team only offering 1 year contract. Risk rescored Dec 08 - SP are looking to review of all services together with move to individual contracts. BDC must ensure service meets new guidance, and obtains external accreditation for quality.
Hous 004/06	Head of Housing	Asbestos in council property	Housing Services	4	3	15	4	1	5	01/04/2010 *(revised)		A	HS	Asbestos database purchased - access to be available to contractors. Sep 08 - Additional surveys needed - asnd build linke with new asbestos policy.
Hous 005/06	Head of Housing	Insurance risk / not sustainable garage sites	Housing Services	3	4	12	3	2	6	Ongoing				Risk based surveys to be completed at all sites. Policy agreed by council. Proceeds from disposals to assist HOU011/05. Sep 08 - Survey and assessment complete - to report to HSMG and members.
Hous 006/06	Head of Housing	Attack on Street Cash Collector	Housing Services	4	3	12	4	3	12	31.03.06			HS	Political decision not to progress the action at the present time.
Hous 002/08	Head of Housing	Failure of stores project	Housing Services	3	3	9	3	2	6	Jul-09		N		Safeguards built into plan - robust business case etc and use of either internal stores (no current risk recorded from Street Services) or established external supplier. Likelihood increase due to curttual changes needed if external contractor appointed
AIT/2006/023	Head of ICT	No policy or guidance for the identification and storage of corporate records	ICT Services	3	3	9	3	3	9	31/03/2006	31/03/2006			Political decision not to progress the action at the present time. Unsuccessful bid for Records Management system.
AIT/2007/024	Head of ICT	Damage to Corporate reputation if illicit images stored on network	ICT Services	3	3	9	3	1	3		Jun-08			Audit of network has taken place and Heads of Service informed where there is an issue in their Departments.
Leg/2005/10	Sol	Time Management System is no longer supported	Legal/Licensing	3	5	15	3	5	15	31/12/2008				An alternate method of time recording without the use of Timebase is being considered.
Leg/2005/11	Sol	Number of employee and member conduct related hearings increases beyond current levels.	Legal/Licensing	4	3	12	4	3	12					Cannot put in place any controls to lessen either impact or likelihood

Strategic Risk Register 2009

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Regen 3	D Eccles	Lack of maintenance of roads, footpaths etc causing injury	Consultancy Services	3	3	9	3	2	6	01/12/2008		A	HS	Full survey undertaken and included within asset management plan. Update May 08, under review only difficulty will be lack of funds to undertake work. Depends on adjustments to capital programme - will update next quarter. Sept 2008 - awaiting further deliberations with finance as to funding of further capital works. January 2009 update - process identified now through asset management group. June 2009
Regen 6	D Eccles	Accident or injury from dangerous structures	Engineers	4	2	8	4	2	8	1st Sept 2008	On going see notes		HS	Being review as part of emergency planning process. Review 30th November 2006. Feb 2007 raised as part of business continuity- awaiting corporate decision. June 2007 No further action as yet. Up date 4th Dec 2007 - further fire risk assessment work on going. Tim Walker working on evacuation plan. Insurers assessors visited and advised Vale house probably presents a problem as it could block the road. Talking to Conservation about possible demolition. Update May 2008 - work arranged on site at Pleasley Vale Mill. Partial demolition to be completed over next month. Work completed at PV Mills - just generally to keep this risk under review
Regen 7	D Eccles	Injury at Pleasley Vale Mills	Property Management	4	3	12	4	3	12	1st Sept 2008	On going see notes	A	HS	Recent approval for extensive repairs and addition of new lift to Mill 1, and car park to Mill 1. Fire risk assessments undertaken and asset management capital and revenue bids submitted. Feb 2007 large amount of capital work underway, fire officer has visited Mill 1 and offered recommendations June 2007 as above - also flood damage being examined and further work may be required. May 2008 update - extensive survey undertaken of culvert of Mills, high cost over £100,000 to rectify silt build up. Will be considered as part of future proposals for Mills - will keep under review. June 2009 update - recent review of external area undertaken by LSO, and risk assessed, being attended to by LS staff and consultancy services.
Regen 8	D Eccles	Commercial management at Pleasley Mills	Property Management	4	3	12	4	3	12	1st July 2009	On going see notes	A		Update produced, audit review undertaken, debt reviewed more regularly documents being prepared for EU tender of commercial management. Review 30th November 2006. Review 30th November 2006. Feb 2007 recent Council report now allowing for risk sharing/disposal options to be considered. Also Innes England instructed on outstanding debt and improved marketing June 2007 update - under constant financial review, development brief being prepared with the intention of securing the long term future of the mills. This includes the possibility of attracting a private sector partner. Up date 4th Dec 2007 Saville's appointed to handle searching for partner. Historic debt being reviewed constantly as well. May 2008 update - reasonable out turn although increase in power charges. Looking actively at future options to obtain investment from the private sector. Sept 2008 property in the process of going out to the market, decision on management taken after this. June 2009 update - some interest in Mill sale being pursued by Savills, also looking into testing the market with current financial arrangements
Regen 9	D Eccles	Legionella control	Facilities management/ Other services	4	2	8	4	1	4	1st June 2007	On going see notes	A	HS	Sampling regime being reviewed, new risk assessments taking place, training programme being drawn together. Up date by 30th November 2006. Plan produced and additional training implemented. Creswell being constantly sampled and reviewed (currently closed) and is the subject of a report to full council 4th April. June update - dosing equipment installed at Creswell and centre now open - work proceeding at other sites. 4th Dec 2007 update. Work at Creswell complete, majority of work complete on Legionella plan - responsible persons on site now identified, further training ref housing issues to take place shortly. May 2008 - Now dealt with through Legionella group June 2009 update - further legionella training to take place this month. New risk assessments being carried out.

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Regen 10	D Eccles	Flooding to Pleasley Business Park	Adverse effect on tenants businesses affecting power and access	4	2	8	3	2	6	1st Sept 08	1st Sept 2008			Some measures have / will be introduced to reduce the impact of flooding such as watertight panels to secure over openings to units and critical areas such as sub - stations. Ensuring that watercourses are kept clear. <i>May 2008 update See earlier note on culverts under accident occurrence. This relates to incidents of damage caused by heavy rainfall. Incident occurred late April, fetched ceiling tiles off again. Tim Robinson looking at possible remedial work. Sept 2008 - taken through SMT no further action</i>	
Regen 13	Head of regeneration/Health and Safety Officer	Asbestos Management	Managing asbestos within council buildings and on council property. Controlling exposure of employees and others to asbestos.	4	2	8	4	2	8	Quarterly review by AMG		A	HS	Introduction of new polices procedures and working methods. New system for identifying, assessing & managing asbestos materials that the council has responsibility for. To be monitored by Asset Management Group. June 2009 update - training of key staff recently taken place, new surveys being undertaken, roles being defined.	
Regen 12	D Eccles	LEGI - not requirement for forward strategy	Regeneration	3	3	9	2	2	4	1st Sept 2009		A	PS	Appointment of new Project Director required - should take place in March. June 2009 update - All workstreams reviewed. New appointment of director - totake up post in July	
PLA/2005/1/a	Head of planning	Planning decision on application or enforcement case based on faulty or unustifiable judgement, or legal failing, leading to judicial review	Planning	2	4	8	2	3	6	Mar-07	13/07/2007			Split PLA/2005/1 into two separate risks. New Action Plan prepared 30.11.07	
PLA/2005/2/a	Head of Planning	Legal challenge to a development plan document or other statutory plan	Planning	3	3	9	3	2	6	Mar-06	25/01/2008				
LEI007	Leisure Operations Manager	Unexpected downturn in fees, charges & grants income	Leisure	4	2	8	4	1	4	Mar-06	07/03/2006			EXISTING CONTROLS: Monitor income on a monthly basis. Have as many 3 rd party funders as possible. Re-adjust expenditure to compensate for income. ADDITIONAL MEASURES: Monitor income daily with income trackers. Response to slumps will be quicker. Facilitate greater marketing activity to ensure targets are hit. Improve our service standards to improve our retention and loyalty.	
LEI009	Leisure Operations Manager	Legionella found in Council sport & leisure buildings	Leisure	4	2	8	4	1	4	Oct-06	Rec'mnded measures complete - monitoring ongoing -dosing system now fitted to water system to prevent legionella formation - new risk assessment now created following the works. Re-opened and operational from May 2007			HS	Covered by SR23 (new strategic risk created) EXISTING CONTROLS: Adherence to section 22 of leisure services h & s manual. Annual super chlorination of water systems at leisure centres.Monthly de-scale of shower heads – via monitoring sheet.Daily shower flushes – via daily operational checklist.Monitoring of temperatures of water storage vessels – via Elyo monthly inspections. Chemical dosing system now in place. ADDITIONAL MEASURES: Respond to advice following external legionella risk assessment.

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LEI010	Leisure Operations Manager	Injury to staff or members of the public resulting from defective & damaged buildings, fixtures & fittings.	Leisure	4	2	8	4	1	4	Mar-07	Mar-07	HS	<p>Covered by SR8 & SR19</p> <p>EXISTING CONTROLS: Recorded buildings, fixtures and fittings checks. Public and employee liability insurance in place. Asset Management Plan incorporating Planned Maintenance Programmes. Contract with specialist property maintenance contractors.</p> <p>ADDITIONAL MEASURES: Corporate approach to asset management – ie capital bidding cycle done collectively.</p>	
LEI011	Leisure Operations Manager	Injury from control, handling or use of chemicals & other toxic substances deemed hazardous to health	Leisure	4	2	8	4	1	4	Mar-07	toolbox talk' training tool created - this now to be delivered for teams to use - request New target date Sep 09	A	HS	<p>Covered by SR19</p> <p>EXISTING CONTROLS: COSHH complaint procedures and working practices in place. COSHH training for staff. Public and employee liability insurance in place. Secure – non public storage areas provided.</p> <p>ADDITIONAL MEASURES: "Toolbox talks" training matrix to be introduced – a condensed series of training sessions covering a vast array of themes. can be delivered in 10 mins each anywhere.</p>
LEI012	Leisure Operations Manager	Staff or members of the public contracting a disease, injury or poor health due to adverse hygiene, sanitation & environmental conditions	Leisure	4	2	8	4	1	4	Mar-07	toolbox talk' training tool created - this now to be delivered for teams to use - request New target date sep 09	A	HS	<p>EXISTING CONTROLS: Public and Employee Liability Insurance in place Ongoing monitoring of environmental conditions in all sport & leisure buildings Ensure an effective cleaning regime is in place in all leisure buildings especially in hygiene critical areas like changing rooms, showers and toilets.</p> <p>ADDITIONAL MEASURES: "Toolbox talks" training matrix to be introduced – a condensed series of training sessions covering a vast array of themes. can be delivered in 10 mins each anywhere</p>
LEI014	Leisure Operations Manager	Financial loss due to wet weather cancellation of outdoor events & activities	Leisure	4	2	8	4	1	4	Mar-07	Events consultation moved back pending discretionary services review - review complete - report to go to exec 26/1/09 Rport now gone to exec - events officer and main fireworks event will no longer exist amongst others.	A		<p>EXISTING CONTROLS: Take out 'Pluvius' Insurance where appropriate. Have as many 3rd party funders tied in as possible. Re- adjust expenditure levels to compensate for reduced income.</p> <p>ADDITIONAL MEASURES: Review events profile – i.e. spread the risk by holding/assisting a series of smaller events</p>

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LEI015	Leisure Operations Manager	Transporting participants to and from activities	Leisure	4	2	8	4	1	4		2 staff now qualified Nov 06 - 3 additional staff identified for training as part of 08 training requirements - will be trained by Mar 09 this has been delayed - looks likely to be Sep/Oct 09	A	HS	EXISTING CONTROLS: Public and employee liability insurance in place Transport procedures in place. ADDITIONAL MEASURES: Drivers to undertake MIDAS training course
LEI016	Leisure Operations Manager	Injury to staff or members of the public from incorrectly used, defective or damaged plant, equipment, tools & materials	Leisure	4	2	8	4	1	4	Mar-07	toolbox talk' training tool created - this now to be delivered for teams to use -request New target date Sep 09	A	HS	Covered by SR8 & SR19 EXISTING CONTROLS: Public and Employee Liability Insurance in place Recorded plant, equipment and tools checks undertaken Service contracts in place where appropriate Ensure staff are trained in the safe set up and use of plant equipment, tools and materials. ADDITIONAL MEASURES: Toolbox talks training matrix to be introduced - a condensed series of training sessions covering a vast array of themes. can be delivered in 10 mins each anywhere.
LEI024	Leisure Operations Manager	Partnership working - includes the following partnerships: Bolsover Baths Bolsover Countryside Partnership Bolsover District Cultural Forum Bolsover District Play Partnership Bolsover District school sports partnership Bolsover District Sports Partnership Bolsover Ngage partnership BSF extended services Creative Partnerships Derbyshire sport Partnership Frederick Gent Partnership Greenhouse partnership Greenspace forum Living Literacy Partnership SHBK MEM sports ground committee Wellness Partnership Community Sports Action Groups Derbyshire Leisure Officers Group Local Football Partnership North Derbyshire Disability Sports Partnership.	Leisure	4	2	8	4	2	8	Quarterly review			PS	Partnership Agreement / Service level agreements / Concordats which should include as a minimum: <ul style="list-style-type: none"> The name of the partnership & the individual partners. Indicate legal status of the partnership Indicate geographical area covered by the partnership The long-term vision for the partnership and also its objectives. Performance indicators Longevity of the partnership Compliance with key legislation The protocols for sharing information The roles, duties and responsibilities of partners The resources required and describe how they will be provided (and by whom) The ownership of assets The decision-making process The secretariat role How the partnership will monitor and evaluate activities The organisational structure A Time-line setting out key milestones The management structure The Accountable Body Partnership capital Income and expenditure Grants and funding Banking and financial arrangements Accounting arrangements Insurance policy information Results of the partnership risk assessment Circumstances necessary to expel a partners Dispute resolution and complaints procedures (between partners) Procedures for breach of protocol Termination provisions
PR4	Head of Shared Procurement Unit	Bankruptcy / administration of key suppliers on contracts managed by SPU	SPU	4	2	8	4	2	8	Quarterly review	Mar-08			Procedures in place for robust supplier selection and management. PQQ evaluation now augmented by Experian credit checks and financial monitoring
PR8	Head of Shared Procurement Unit	Poor performance / cost increase / poor standards from suppliers	SPU	4	2	8	4	2	8	Quarterly review	Mar-08			Procedures in place for robust supplier selection and management. PQQ evaluation now augmented by Experian credit checks and financial monitoring
PR9	Head of Shared Procurement Unit	Lack of adherence to EU Procurement Rules	SPU	2	4	8	2	2	4	Mar-08	N/A			Training for staff. Publicity for SPU advising staff to speak to SPU if concerned about any procurement issue.

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				Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score					
REV1	Head of Revenue Services	Loss of Housing and Council Tax Benefit Subsidy	Loss of income to the Council	3	3	9	3	2	6	Mar-09			Introduce Monthly Subsidy Reconciliations/ Checking/ Scrutinising of critical subsidy cells	
REV2	Head of Revenue Services	Write-off of NNDR which cannot be reclaimed from the National NNDR Pool	Cost to the Council	3	3	9	3	2	6	Mar-09			Re-instatement of links/contacts to identify new/occupied/unoccupied businesses. Problem post now filled which when fully effective will minimise risk. Management checks put in place to ensure adherence to procedures	
SR1	SMT	Capacity issues	Insufficient human resources to deliver council services	4	2	8	4	2	8	Quarterly review			Likelihood score reduced to reflect additional capacity provided through, e.g. new Housing Department, recruitment and retention policies, reduced sickness, collaboration, etc. SMT continuing to monitor	
SR2	SMT	CAA, LAA, SNR	Loss of funding / trading / other powers Increased inspection regime	4	2	8	4	2	8	Annual Review			Risk re-assessed from CPA to reflect current issues and ongoing uncertainties in new Inspection and assessment regime	
SR4	SMT	Single Status	Process may require resources the Council cannot afford	4	4	16	4	3	12	Quarterly review			Implementation Plan in place and being monitored by SMT. Results issued - implementation date expected April 2009	
SR5	SMT	Budget / efficiency pressures	Inadequate financial resources to deliver the Council's vision and inability to make efficiencies	4	4	16	4	4	16	Quarterly review			Risk score increased to reflect challenges of both budgetary pressure needing £1.1m of savings / efficiencies in 2009/10 and the need to deliver £1.8m of efficiencies following CSR 07. Also includes current unknown and anticipated costs of energy, job evaluation, etc	
SR7	SMT	Inadequate Risk and Business Continuity Management	Full or partial loss of services Disruption of essential services	4	2	8	4	2	8	Quarterly review			Scores reduced to reflect how Risk Management and Business Continuity arrangements continue to be embedded	
SR8	SMT	Asset management	Long term running costs for assets not budgeted for	4	2	8	4	2	8	Quarterly review			Score reduced to reflect co-ordinated Asset Management Plan approved April 2007 and continual review of new monitoring arrangements for effectiveness. Processes have improved but budget pressures make delivery of AMP difficult to achieve	
SR9	SMT	Workforce related issues	Major industrial action to sickness epidemic	4	2	8	4	2	8	Quarterly review			Score reduced as it is accepted that this risk fluctuates dependant upon current issues. At present time likelihood of strikes has reduced. However ongoing risks associated with pay negotiations and continuing BCM arrangements, e.g. flu pandemic	
SR12	SMT	Services failing to meet customer needs	Services not delivering the appropriate services/not meeting customers needs	3	3	9	3	2	6	Quarterly review			Service standards being developed	
SR13	SMT	Failure to meet / deliver corporate requirements / initiatives	e.g. E Government, Change Management, NRF delivery, etc	4	2	8	4	1	4	Quarterly review			Score reduced to reflect recent changes. Continue to monitor with current arrangements and external funding streams	
SR16	SMT	Fraud and Corruption	Actual and perceived	4	2	8	4	2	8	Quarterly review			No change to scores but noted that good reports and no specific issues identified by Audit Commission or Internal Audit. Recent results positive - Best Value reviews, Chartermark award. Under performing areas, e.g. rent collection being monitored	

Strategic Risk Register 2009

SCORE IS GREATER THAN, OR EQUAL TO 8

	Department Risk Owner	Brief Description of Risk	Brief Service / Issues Description	Assessment of Risk with Current Controls in place			Assessment of Risk Control Measures that could be introduced			Date for completion of Action	Actual Completion Date	Status A=Amend N=New D=Delete	Category	Comments / Controls
				Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score					
SR17	SMT	ICT Disaster recovery	Loss of key communication and technology systems and records due to malicious acts, viruses, loss of building, etc	3	3	9	3	3	9	Quarterly review				Disaster recovery arrangements currently being investigated - revised per AIT/2006/022 - work in progress analysing variety of options working in collaboration with CBC and NEDDC. Site has been identified; operational strategy to be implemented. IT Strategy Group monitoring progress.
SR19	SMT	Health and Safety of Employees	Risk of injury or abuse of staff inside and outside the office environment. Including lone working.	3	3	9	3	2	6	Quarterly review			HS	Risk concerns potential injury or abuse of employees inside or outside the office environment, taking account of lone worker, home working and other protection arrangements being addressed by a number of corporate policies. Monitor to ensure effectiveness and embedding into normal operations.
SR20	SMT	Transport / Council Vehicles	Motor Accident / Failure to provide fleet vehicles.	3	3	9	3	2	6	Quarterly review				Risk concerns motor accidents, failure to provide a fleet of vehicles, damage to vehicles at depots and on site, fuel shortages, etc. Local insurance claim trends currently being investigated by BRG
SR21	SMT	Loss of Manual & Electronic records	Failure to retrieve records	3	3	9	3	2	6	Quarterly review				Score increased to reflect recent national incidents where loss of personal data has occurred. Risk also concerns failure to retrieve manual and other records held in "redundant" IT systems, damage to or loss of paper records, including at Pleasley Mills archive. Specific action being taken to assess arrangements to ensure data quality and safety.
SR23	SMT	Legionella found in Council Buildings	Outbreak of Legionella due to inadequate controls & inspection regime	4	2	8	4	1	4	Quarterly review			HS	Implement inspection regime at all properties. Annual super chlorination of domestic water systems. Monthly de-scale of shower heads – via monitoring sheet. Daily shower flushes – via daily operational checklist. Monitoring of temperatures of water storage vessels – via Elyo monthly inspections. Chemical dosing system if persistent problem. Undertake Legionella risk assessment and respond promptly to recommended actions. Situation continues to be monitored by Legionella Working Group.
SR25	SMT	Third party claims resulting from Slips Trips & Falls	Injury to person and/or property	4	2	8	4	1	4	Quarterly review				Review of local claims trend analysis recently undertaken and follow up investigation ongoing
SR 28	SMT	Contractor Failure	In view of the current economic crisis, monitoring arrangements have been established for regular review of the credit worthiness and ability of Contractors undertaking work for the Council to complete their obligations	3	3	9	3	3	9	Quarterly review				Monitoring is currently being undertaken by the Procurement Section
Total number of risks						88								

Strategic Risk Register 2009

PARTNERSHIPS

	Department Risk Owner	Brief Description of Risk	Brief Service / Issues Description	Assessment of Risk with Current Controls in place			Assessment of Risk Control Measures that could be introduced			Date for completion of Action	Actual Completion Date	Status A=Amend N=New D=Delete	Category	Comments / Controls
				Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score					
CSPD 09/08	Customer Service & Performance Manager	PARTNERSHIP Joint Service Centre Board (contributing partner, South Normanton) Officers: CEO, Heads of CSPD & Regen.										PS	Generic Risk Assessment for informal partnerships under consideration by Business Risk Group - 12/11/08	
CSPD 10/08	Customer Service & Performance Manager	PARTNERSHIP Derbyshire Consultation Group (including Derbyshire Consultation Technical Group and Community Safety Consultation Sub Group) Lead: Ann Bedford Engagement with Partners	1 Engaging with Service Users 2 Avoiding duplication of consultation functions across the region 3 Sharing of Best Practice 4 Improving buying power thru' consortium 5 Failure to comply with AC guidelines 6 Getting a better understanding of community needs to design/refine services	3 2	2 4	6 8				N/A		PS	In the past, the Partnership has fragmented when considering the procurement of large scale consultation projects.. The County Partner has invested in certain facilities and services (e.g. envelope stuffing service, printing and other stationary services) and has offered these to the Partnership (at favourable rates) but the rest of the Partners have gone to commercial providers as they offer a more complete service (e.g. summaries and analysis bound together within the same report as well as the stationary services). The Districts do not have the resources in-house for elements like analysis so have tended to organise their own smaller consortia. (Examples: 2006/07 BV US Survey, PLACE survey 2008). If the Partnership could work more closely together when purchasing the larger projects, greater savings maybe achieved.	
CSPD 13/08	Customer Service & Performance Manager	PARTNERSHIP Derbyshire/Nottinghamshire Scrutiny Officer Network Lead: Bernie O'Donnell	1 Duplication of effort and no sharing of Best Practice 2 Loss of buying power as a result of not using consortium procurement 3 Opportunities to access external funding may be diminished	1	3	3				N/A		PS	Generic Risk Assessment for informal partnerships under consideration by Business Risk Group - 12/11/08	
CSPD 14/8	Customer Service & Performance Manager	PARTNERSHIP Local Government East Midlands (LGEM) Scrutiny Network Lead: Bernie O'Donnell	1 Duplication of effort and no sharing of Best Practice 2 Loss of buying power as a result of not using consortium procurement 3 Opportunities to access external funding may be diminished	1	3	3				N/A		PS	Generic Risk Assessment for informal partnerships under consideration by Business Risk Group - 12/11/08	
ENV7	Environmental & Depot	Meden Valley Making Places 1. Strategic Direction	Non achievement of objectives	4	2	8	4	2	8	ongoing	01/04/2011	PS	Partnership	

Strategic Risk Register 2009

PARTNERSHIPS

	Department Risk Owner	Brief Description of Risk	Brief Service / Issues Description	Assessment of Risk with Current Controls in place			Assessment of Risk Control Measures that could be introduced			Date for completion of Action	Actual Completion Date	Status A=Amend N=New D=Delete	Category	Comments / Controls
				Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score					
ENV8	Environmental & Depot	Meden Valley Making Places 2. Performance	Failure to deliver renewal programme	4	2	8	4	2	8	ongoing	01/04/2011		PS	Partnership
ENV9	Environmental & Depot	Meden Valley Making Places 3. Reputation	Actions of partners damage the Council's reputation by association	3	2	6	3	2	6	ongoing	01/04/2011		PS	Partnership
ENV10	Environmental & Depot	Meden Valley Making Places 4. Financial	Insufficient funding to achieve renewal programme resulting in further financial input by the Council	3	2	6	3	2	6	ongoing	01/04/2011		PS	Partnership
ENV11	Environmental & Depot	Meden Valley Making Places 5. Legal	A legal claim against the partnership	2	2	4	2	2	4	ongoing	01/04/2011		PS	Partnership
ENV12	Environmental & Depot	North Derbyshire Home Improvement Agency (Bolsover DC, Chesterfield BC, North East DC) 1. Strategic Direction	Non achievement of objectives	4	2	8	4	2	8	ongoing		N	PS	Partnership. External review currently being undertaken may lead to changes within the partnership.
ENV13	Environmental & Depot	North Derbyshire Home Improvement Agency (Bolsover DC, Chesterfield BC, North East DC) 2. Performance	Failure to deliver agreed services	4	2	8	4	2	8	ongoing		N	PS	Partnership. External review currently being undertaken may lead to changes within the partnership.
ENV14	Environmental & Depot	North Derbyshire Home Improvement Agency (Bolsover DC, Chesterfield BC, North East DC) 3. Reputation	Actions of partners damage the Council's reputation by association	3	2	6	3	2	6	ongoing		N	PS	Partnership. External review currently being undertaken may lead to changes within the partnership.
ENV15	Environmental & Depot	North Derbyshire Home Improvement Agency (Bolsover DC, Chesterfield BC, North East DC) 4. Financial	Insufficient capital funding to meet the council's contribution to the agency resulting in failure to meet agreed objectives/outcomes within service level agreement. Supporting People reduce financial support resulting in further financial input by the Council	4	2	12	4	3	12	ongoing		N	PS	Partnership. External review currently being undertaken may lead to changes within the partnership.
ENV16	Environmental & Depot	North Derbyshire Home Improvement Agency (Bolsover DC, Chesterfield BC, North East DC) 5. Legal	Legal claim against the HIA	3	2	6	3	2	6	ongoing		N	PS	Partnership. External review currently being undertaken may lead to changes within the partnership.

Strategic Risk Register 2009

PARTNERSHIPS

	Department Risk Owner	Brief Description of Risk	Brief Service / Issues Description	Assessment of Risk with Current Controls in place			Assessment of Risk Control Measures that could be introduced			Date for completion of Action	Actual Completion Date	Status A=Amend N=New D=Delete	Category	Comments / Controls
				Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score					
ENV17	Environmental & Depot	North Derbyshire Home Improvement Agency (Bolsover DC, Chesterfield BC, North East DC) 6. Personnel	Unforeseen financial cost to the council through redundancy/unfair dismissal claims, equal pay and accident claims.	2	3	6	2	3	6	ongoing		N	PS	Partnership. External review currently being undertaken may lead to changes within the partnership.
HRO 2008/05	Health & Safety Officer	Failure of partnership to deliver required occupational health provision	HR	2	3	6	2	3	6	N/A	N/A		PS	Existing control measures ensure regular review of the partnership and clear standards/accountability/responsibility. Additional Risk Control Measures involve having a contingency plan in the event of failure.
AIT/2008/024	Head of ICT	Derbyshire Transformational partnership fails leading to a reduction in the reported efficiencies	ICT Services	2	1	2	2	1	2				PS	PARTNERSHIP Agreement in place, ensure active participation in Partnership to monitor performance
Regen 12	D Eccles	LEGI - not requirement for forward strategy	Regeneration	3	3	9	2	2	4	1st Sept 2009		A	PS	Appointment of new Project Director required - should take place in March. June 2009 update - All workstreams reviewed. New appointment of director - totake up post in July
PLA/2008/3	Head of Planning	Partnership Working, Creswell THI.	Planning	3	2	6	3	2	6	N/A	N/A		PS	Partnership Working, Creswell THI.
LEI024	Leisure Operations Manager	Partnership working - includes the following partnerships: Bolsover Baths Bolsover Countryside Partnership Bolsover District Cultural Forum Bolsover District Play Partnership Bolsover District school sports partnership Bolsover District Sports Partnership Bolsover Ngage partnership BSF extended services Creative Partnerships Derbyshire sport Partnership Frederick Gent Partnership Greenhouse partnership Greenspace forum Living Literacy Partnership SHBK MEM sports ground committee Wellness Partnership Community Sports Action Groups Derbyshire Leisure Officers Group Local Football Partnership North Derbyshire Disability Sports Partnership.	Leisure	4	2	8	4	2	8	Quarterly review			PS	Partnership Agreement / Service level agreements / Concordats which should include as a minimum: <ul style="list-style-type: none"> • The name of the partnership & the individual partners. • Indicate legal status of the partnership • Indicate geographical area covered by the partnership • The long-term vision for the partnership and also its objectives. • Performance indicators • Longevity of the partnership • Compliance with key legislation • The protocols for sharing information • The roles, duties and responsibilities of partners • The resources required and describe how they will be provided (and by whom) • The ownership of assets • The decision-making process • The secretariat role • How the partnership will monitor and evaluate activities • The organisational structure • A Time-line setting out key milestones • The management structure • The Accountable Body • Partnership capital • Income and expenditure • Grants and funding • Banking and financial arrangements • Accounting arrangements • Insurance policy information • Results of the partnership risk assessment • Circumstances necessary to expel a partners • Dispute resolution and complaints procedures (between partners) • Procedures for breach of protocol • Termination provisions
PR5	Head of Shared Procurement Unit	Decision by one or more of the partner Councils to withdraw from the procurement consortium	SPU	5	1	5	5	1	5	Quarterly review	N/A		PS	Partnering agreements drawn up. Lots of contact and discussion via Joint Management Board. Link to corporate activity SR22
SR11	SMT	Breakdown in key partnerships / relationships	e.g. Standards Board, Audit Commission, LSP	3	2	6	3	2	6	Annual Review			PS	CPA Stakeholder survey 2007 confirms BDC has good partner relations Review when current work on partnership evaluation completed
Total number of risks 22														

Strategic Risk Register 2009

PROJECTS

	Department Risk Owner	Brief Description of Risk	Brief Service / Issues Description	Assessment of Risk with Current Controls in place			Assessment of Risk Control Measures that could be introduced			Date for completion of Action	Actual Completion Date	Status A=Amend N=New D=Delete	Category	Comments / Controls
				Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score					
				CSPD 002/05a	Head of Customer Service & Performance	Training – Insufficient project management training results in projects coming in late or off target	Customer Service and Performance	2	2					
ENV18	Environmental & Depot	Project - New Houghton remodelling scheme Code **** 1. Staff resources	Inability to deliver/manage project	4	1	4	4	1	4	ongoing	31/03/2010	N	PR	
ENV19	Environmental & Depot	Project - New Houghton remodelling scheme Code **** 2. Level of take up within scheme	Low take up reduces the effectiveness of the scheme. May make scheme non viable. Fail to meet objectives/outcomes	3	2	6	3	2	6	ongoing	31/03/2010	N	PR	
ENV20	Environmental & Depot	Project - New Houghton remodelling scheme Code **** 3. Financial implications	Failure to recognise full cost implications and resultant inadequate budgetary provision. Unforeseen works.	4	1	4	4	1	4	ongoing	31/03/2010	N	PR	
ENV21	Environmental & Depot	Project - New Houghton remodelling scheme Code **** 4. Project Management	Inadequate project management leading to the failure of elements of the project or the project completely	4	1	4	4	1	4	ongoing	31/03/2010	N	PR	
ENV22	Environmental & Depot	Project - New Houghton remodelling scheme Code **** 5. Partnership Involvement	Partners fail to deliver their elements of the project	4	1	4	4	1	4	ongoing	31/03/2010	N	PR	
ENV23	Environmental & Depot	Project - New Houghton remodelling scheme Code **** 6. Exit Strategy	Lack of an exit strategy provides uncertainty for those involved in the project	2	1	2	2	1	2	ongoing	31/03/2010	N	PR	
ENV24	Environmental & Depot	Project - Group Repair Code *** 1. Staff Resources	Inability to deliver/manage project	4	1	4	4	1	4	ongoing		N	PR	
ENV25	Environmental & Depot	Project - Group Repair Code *** 2. Level of Take up within Scheme	Low take up reduces the effectiveness of the scheme. May make scheme non viable. Fail to meet objectives/outcomes	3	2	6	3	2	6	ongoing		N	PR	
ENV26	Environmental & Depot	Project - Group Repair Code *** 3. Financial	Failure to recognise full cost implications and resultant inadequate budgetary provision. Unforeseen works.	4	1	4	4	1	4	ongoing		N	PR	
ENV27	Environmental & Depot	Project - Group Repair Code *** 4. Project Management	Inadequate project management leading to the failure of elements of the project or the project completely	4	1	4	4	1	4	ongoing		N	PR	

Strategic Risk Register 2009

PROJECTS

	Department Risk Owner	Brief Description of Risk	Brief Service / Issues Description	Assessment of Risk with Current Controls in place			Assessment of Risk Control Measures that could be introduced			Date for completion of Action	Actual Completion Date	Status A=Amend N=New D=Delete	Category	Comments / Controls
				Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score					
ENV28	Environmental & Depot	Project - Group Repair Code *** 5. Exit Strategy	Lack of an exit strategy provides uncertainty for those involved in the project	2	1	2	2	1	2	ongoing		N	PR	
ENV29	Environmental & Depot	Project - Disabled Facilities Grant - C020 4035 1. Staff Resources	Inability to deliver/manage project	4	1	4	4	1	4	ongoing		N	PR	
ENV30	Environmental & Depot	Project - Disabled Facilities Grant - C020 4035 2. Demand	High level of demand cannot be dealt with through lack of staffing/financial resources. Failure to meet customer expectations.	4	3	12	4	3	12	ongoing		N	PR	
ENV31	Environmental & Depot	Project - Disabled Facilities Grant - C020 4035 3. Financial implications	Inadequate budgetary provision and failure to deal with mandatory applications for grant. Ombudsman involvement. Impact on other private sector housing capital projects	4	3	12	4	3	12	ongoing		N	PR	
ENV32	Environmental & Depot	Project -Private Sector Housing Grants Codes C187/C033 1. Staff Resources	Inability to deliver/manage project	4	1	4	4	1	4	ongoing		N	PR	
ENV33	Environmental & Depot	Project -Private Sector Housing Grants Codes C187/C033 2. Demand	High level of demand cannot be dealt with through lack of staffing/financial resources. Failure to meet customer expectations.	2	4	8	2	4	8	ongoing		N	PR	
ENV34	Environmental & Depot	Project -Private Sector Housing Grants Codes C187/C033 3. Financial Implications	Inadequate budgetary provision to meet demand. Ombudsman involvement. Provides HIA support. Funds Capital salaries.	3	4	12	3	4	12	ongoing		N	PR	
ENV35	Environmental & Depot	Project - Stray Dog Service (Kennels) - Code G026 1. Legal	Breach of Confidentiality /Data Protection Act. Not meeting statutory duties/deadlines. Non-compliance with health and safety legislation	2	2	4	2	2	4	ongoing		N	PR	
ENV036	Environmental & Depot	Project - Stray Dog Service (Kennels) - Code G026 2. Contractual	Failure of outsource provider to deliver	2	3	6	2	3	6	ongoing		N	PR	

Strategic Risk Register 2009

PROJECTS

	Department Risk Owner	Brief Description of Risk	Brief Service / Issues Description	Assessment of Risk with Current Controls in place			Assessment of Risk Control Measures that could be introduced			Date for completion of Action	Actual Completion Date	Status A=Amend N=New D=Delete	Category	Comments / Controls
				Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score					
ENV037	Environmental & Depot	Project - Stray Dog Service (Kennels) - Code G026 3. Physical	Attacks on personnel (by dogs and by owners). Non compliance with health and safety legislation. Dog escape	3	2	6	3	2	6	ongoing		N	PR	
ENV038	Environmental & Depot	Project - Stray Dog Service (Out of Hours Contractor) - Code G026 1. Legal	Breach of Confidentiality /Data Protection Act. Not meeting statutory duties/deadlines. Non-compliance with health and safety legislation	2	2	4	2	2	4	ongoing		N	PR	
ENV039	Environmental & Depot	Project - Stray Dog Service (Out of Hours Contractor) - Code G026 2. Contractual	Failure of outsource provider to deliver	2	3	6	2	3	6	ongoing		N	PR	
ENV040	Environmental & Depot	Project - Stray Dog Service (Out of Hours Contractor) - Code G026 3. Physical	Attacks on personnel (by dogs and by owners). Non compliance with health and safety legislation. Dog escape	3	2	6	3	2	6	ongoing		N	PR	
AIT/2005/014	Head of ICT	Incompatibility of new hardware with existing systems	IT Services	5	1	5	5	1	5	Mar-09	31/03/2009	D	PR	Initiation of VM project - June 08
AIT/2008/025	Head of ICT	Failure to implement the new version of CRM within timescale	ICT Services	3	2	6	3	1	3	31/03/2009	5th May 2009	D	PR	PROJECT seconded member of staff from Contact Centres to assist with this, prioritised as the focus of the IT Projects Team work for last two quarters of 2008/2009
AIT/2008/026	Head of ICT	Fail to meet the DWP deadline of 31/03/09 for Connection to Government Connect	ICT Services	3	2	6	3	1	3	31/03/2009	5th May 2009	D	PR	PROJECT monitoring progress weekly, in regular contact with GC account manager. Purchasing additional security measures as advised.
AIT/2008/027	Head of ICT	Virtualisation of servers, a project costing more than £10k and likely to last more than three months	ICT Services	2	2	4	2	1	2	31/03/2011			PR	PROJECT Initial virtualisation successfully achieved
LSP006/08	LSP Chair	Current economic downturn may hinder progress against achievement of NI 153 target (LAA Indicator)	LSP	2	3	6	3	2	6	N/A	N/A		PR	Project
PLA/2009/4	Heand of Planning	Conservation Area Appraisal and Management plan project	Planning	3	2	6	3	2	6	N/A	N/A	N	PR	Grant -aided project

Strategic Risk Register 2009

PROJECTS

	Department Risk Owner	Brief Description of Risk	Brief Service / Issues Description	Assessment of Risk with Current Controls in place			Assessment of Risk Control Measures that could be introduced			Date for completion of Action	Actual Completion Date	Status A=Amend N=New D=Delete	Category	Comments / Controls
				Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score					
EI 25	Leisure Operations Manager	Project Planning – to be applied to projects longer than 3 months in duration or over £10,000 in value. Some of the projects included are: C126 Clune Street Recreation Ground C128 Neighbourhood Sports Fund C129 Green Space Strategy and Green Flag Park C130 Bolsover Improving Play Pitches Initiative C131 Clowne Youth Focused Play Area C133 Playground Upgrade Programme C135 Pleasley Vale Outdoor Education Centre Phase 2 Kissingate Reinstatement program	Leisure	3	2	6	3	2	6	Quarterly review		A	PR	Project management training which includes Knowing how to: <ul style="list-style-type: none"> • Bring teams along by involving them at the outset and explaining the need & benefits of the project. Define the project vision and where possible include them in the project development. • Development of a communication plan and good public relations • H&S risk assessment • Environmental risk assessment • Equalities impact assessment. • The development of a project plan which includes the creation of a project schedule & resources plan • Ensure project fits with the corporate aims of the authority. • Ensure a comprehensive project outline has been prepared and if necessary taken through the relevant group/committee etc. • Understand the scope of the plan and understand the resources needed. • Create a realistic project schedule. • Ensure there is constant monitoring and review built in.
SR3	SMT	Failure to deliver the long term Vision and Objectives	Decisions are influenced by short term expediency to the detriment of long term thinking/planning	3	2	6	3	2	6	Annual Review			PR	New processes require sustainability / exit strategies for new projects / initiatives etc
Total number of risks				32										

ANNEX 5

No.	Risk Threat to achievement of business objective	Scope/potential consequences of risk	Existing control measures in place	Assessment of Risk (Impact x Likelihood) with current controls in place			Additional Risk Control Measures that could be introduced	Cost of Measure	Assessment of Residual Risk (Impact x Likelihood) With additional control measures		
				Impact	Like-likelihood	Risk Score			Impact	Like-likelihood	Risk Score
Climate Change							£				
CC 1	<p>Flood Risk</p> <p>Local urban flooding –known areas River Doe Lea – on Buttermilk (transport) River Meden - Pleasley Vale Mills (business) River Erewash Pinxton (housing)</p> <p>Council premises – Sherwood – none New Depot – none Contact centres – Clowne, South Normanton, OK Shirebrook possibly for Cellar Leisure centres – none Group Dwellings - none</p> <p>Staff may have difficulty getting to or from work (e.g. Chesterfield)</p>	<p>Not considered a major issue Small number of homes / workplaces flooded Low risk of infection / pollution of water supplies Low risk of critical utilities compromised - PVM Electricity Clean up of silt Temporary re housing very rare</p>	<p>Emergency and Business Continuity Plans in place and regular exercises undertaken Mapped “at risk” areas Local urban flooding – when homes involved we have list of properties receiving sand bagging Information campaign for affected areas</p>	2	2	4	<p>Strategic flood risk assessment for LDF to be shared with relevant services (Planning)</p> <p>GIS mapping of flood risk areas to be completed by County Council / Environment Agency (Env H & Street Services)</p> <p>Info Campaign (CSPD)</p> <p>Highway infrastructure – gully clearance reduced to 1 p.a from 2 p.a by County Council (Env H & Street Services)</p> <p>Many gullies go to soakaways – need to map in “at risk” areas by County Council (Env H & Street Services)</p> <p>Increase sand bagging when flooding alerts received (Env H & Street Services)</p>	<p>Nil</p> <p>1 Negligible</p> <p>1 Negligible</p> <p>3 Moderate</p> <p>2 Minor</p> <p>2 Minor</p>	2	2	4

No.	Risk Threat to achievement of business objective	Scope/potential consequences of risk	Existing control measures in place	Assessment of Risk (Impact x Likelihood) with current controls in place			Additional Risk Control Measures that could be introduced	Cost of Measure	Assessment of Residual Risk (Impact x Likelihood) With additional control measures		
				Impact	Like-likelihood	Risk Score			Impact	Like-likelihood	Risk Score
Climate Change							£				
CC 2	Extreme cold weather	<p>Possible hypothermia (elderly could cut down on heating because of high price of fuel)</p> <p>More accidents potential insurance liabilities for injuries / damage sustained</p> <p>Identifying which areas to grit, size of stocks</p> <p>Potential staff injuries, e.g. slips</p> <p>Inability to open satellite buildings</p> <p>Staff may have difficulty getting to or from work (e.g. Chesterfield)</p> <p>Increased power demands</p> <p>Increased demand on certain services, e.g. Housing repairs</p> <p>Possible need to temporarily suspend some services</p> <p>Impact on elderly residents in sheltered and tenanted accommodation – loss of central heating (even gas systems usually stop in power cuts)</p> <p>Possible fuel shortages due to increased demand / damage to power lines</p> <p>Adverse impact upon biodiversity in prolonged cold periods, e.g. wren population can reduce by 50%</p>	<p>Emergency and Business Continuity Plans in place and regular exercises undertaken</p> <p>Custom & practice / procedures in place for suspending services</p> <p>Ability to redeploy certain employees</p> <p>Patch Management policy on winter gritting being developed</p>	2	2	4	<p>Determine how much grit to store (EH & St Servs)</p> <p>Consider alternative Staff transport arrangements (HR)</p> <p>4 x 4 vehicles who's got them and where (EH & St Servs)</p> <p>Identify additional support mechanisms for at risk groups, e.g. elderly tenants support by Tenancy Management Officers</p> <p>Emergency / mobile generators for Council properties and sheltered accomodation(Regen & Housing)</p>	<p>Nil</p> <p>1 Negligible</p> <p>Nil</p> <p>2 Minor</p>	2	2	4

No.	Risk Threat to achievement of business objective	Scope/potential consequences of risk	Existing control measures in place	Assessment of Risk (Impact x Likelihood) with current controls in place			Additional Risk Control Measures that could be introduced	Cost of Measure	Assessment of Residual Risk (Impact x Likelihood) With additional control measures		
				Impact	Likelihood	Risk Score			Impact	Likelihood	Risk Score
Climate Change							£				
CC 3	<p>Heatwaves / prolonged periods of increased average temperatures</p> <p>Increased vulnerability to heat related disease / medical conditions</p> <p>Adverse impact on biodiversity, both flora and fauna</p>	<p>Impact on elderly residents in sheltered and tenanted accommodation</p> <p>Possible increased need for mortuary procedures</p> <p>Longer growing season for plants / weeds</p> <p>Rubbish decaying quicker – pests / Infectious diseases</p> <p>Increased risk of food poisoning</p> <p>Stresses on water supply</p> <p>Increase in vector borne diseases</p> <p>Increased vulnerability to heat related disease / medical conditions</p> <p>Increased demand for water</p> <p>Increased demand for air conditioning and electricity</p> <p>Increased fire risk in public open spaces</p> <p>Possible structural damage</p>	<p>Emergency and Business Continuity Plans in place and regular exercises undertaken</p> <p>Wardens available to assist in sheltered accommodation</p> <p>Reactive service available for EH related issues, including reciprocal arrangements with other councils</p>	2	2	4	<p>Less grass cutting – (Env H & St Servs)</p> <p>Additional support for pest control & food hygiene inspections / controls (EH & Health Protection Agency)</p> <p>Reduce programmed outdoor Leisure activities including possible closure of e.g. fishing areas (Leisure)</p> <p>Increase availability of swimming pool activities (Leisure)</p> <p>Sheltered accommodation – reduce temperatures – mobile air conditioning (Housing)</p> <p>Identify additional support mechanisms for at risk groups, e.g. elderly tenants support by Tenancy Management Officers (Housing)</p> <p>Produce information campaign (CSPD)</p>	<p>Nil (possible saving)</p> <p>2 Minor</p> <p>Nil (possible saving)</p> <p>1 Negligible</p> <p>2 Minor</p> <p>2 Minor</p> <p>1 Negligible</p>	2	2	4

No.	Risk Threat to achievement of business objective	Scope/potential consequences of risk	Existing control measures in place	Assessment of Risk (Impact x Likelihood) with current controls in place			Additional Risk Control Measures that could be introduced	Cost of Measure	Assessment of Residual Risk (Impact x Likelihood) With additional control measures		
				Impact	Likelihood	Risk Score			Impact	Likelihood	Risk Score
Climate Change							£				
CC 4	Reduced water availability	Drought Algal "blooms" Lowering of water table – potential impact upon subsidence Some playing pitches /public open space availability to be reduced Reduced need for grounds maintenance Adverse effect on biodiversity Impact on elderly residents in sheltered and tenanted accommodation Grass roof at new Depot requires watering in drought conditions	Emergency and Business Continuity Plans in place and regular exercises undertaken Wardens available to assist in sheltered accommodation Rain water harvesting system at new Depot	1	2	2	Plant drought resistant species of grass/shrubs etc. (Planning / Leisure) Undertake impact analysis of biodiversity effects on habitats and species (Planning / Leisure) Planning documents to require planting of non-native plants or more drought resistant species (Planning / Bolsover Countryside Partnership) Promote water storage + more efficient use in public buildings, homes and businesses(CSPD / Regen) Promote efficient use of "run off" measures to retain water in times of flood e.g. use of ponds and storage of water from underground workings (Planning / Regen) Introduce rainwater harvesting at council buildings and housing (Regen & Housing) Close relevant pitches / play areas (Leisure) Reduce grass cutting programmes for Leisure sites, verges, etc (Env H & Street Services) Re-assess agricultural land classification for likely most affected areas (Planning / DEFRA) Potable water liaison with severn trent / Yorkshire (ENV H & Street Services)	1 Negligible 2 Minor Nil 1 Negligible 1 Negligible 2 Minor 1 Negligible Nil (possible saving) 1 Negligible 2 Minor	1	2	2

No.	Risk Threat to achievement of business objective	Scope/potential consequences of risk	Existing control measures in place	Assessment of Risk (Impact x Likelihood) with current controls in place			Additional Risk Control Measures that could be introduced	Cost of Measure	Assessment of Residual Risk (Impact x Likelihood) With additional control measures		
				Impact	Like- lihood	Risk Score			Impact	Like- lihood	Risk Score
Climate Change							£				
CC 5	Storms / high winds	Power disruption e.g. Pylons Scarcliffe Damage to council owned and private buildings Bolcked roads due to trees blown down Council properties exterior fitting Pleasley Vale Mills – possible damage to high/ parts of building age /height Water driven into buildings through cracks Disruption to communications Increased risk to staff engaged in reactive emergency repairs No in built resilience at Contact Centres Low level local residence Sherwood lodge on a ridge – but most power underground. Potential loss of “significant trees” leading to gaps in green infrastructure	Tree Management Policy agreed by Patch Management group	2	3	6	Identify additional contractors to undertake building repairs and deal with dangerous trees(Housing, Regen and Env H & St Servs) Complete Community Response Plans for local resources – County Council to implement (Env H & St Servs) Establish procedures on how Tenants can get repairs done quickly using private contractors (Housing and Finance (Insurance) Establish procedures for prioritising buildings with damage at height and other “at risk” buildings Regen and Housing) Undertake Tree management survey + Action to mitigate risk (Leisure / EH & St Servs) Feed corporate weather warnings to relevant departments (adverse weather alerts) (CEO / CSPD) Develop robust reporting mechanism for damage (Regen, Housing and EH & St Servs) Decant residents from group dwellings if needed. (Housing) UPS (?) back up for central control (ICT)	1 Negligible 1 Negligible 2 Minor 1 Negligible 2 Minor Nil 1 Negligible 3 Moderate 2 Minor			

Committee:	Executive	Agenda Item No.:	7.
Date:	10th August 2009	Status	Open
Category	3. Part of the Budget and Policy Framework		
Subject:	Annual Review from the Local Government Ombudsman		
Report by:	Customer Service and Access Officer		
Other Officers Involved	Support Officer (Customer Service)		
Director	Chief Executive Officer		
Relevant Portfolio Holder	Customer Focused Service		

RELEVANT CORPORATE AIMS

CUSTOMER FOCUSED SERVICES – Providing excellent customer focused services

STRATEGIC ORGANISATIONAL DEVELOPMENT – Continually improving our organisation.

The effective management of complaints is central to good customer service. It also provides a good source of information which the Council can use to improve services.

TARGETS

Local Performance Indicators CSP3, CSP4 and CSP5 for number of complaints and response times

VALUE FOR MONEY

N/A

THE REPORT

Purpose

To provide information contained within the Annual Review 2008/09 from the Local Government Ombudsman (LGO).

The Annual Review provides a summary of the complaints that the LGO received for Bolsover District Council over the last financial year. It also contains a covering letter and a statistical breakdown of the complaints together with an explanatory note. You will notice that the Ombudsman has also changed the way they report the information, distinguishing between the LGO Advice Team (enquiries and complaints) and Investigative Team (decisions). These documents have been appended for your information.

Key points from the Annual Review:

The LGO received 13 enquiries and complaints during 2008/09, of which 7 were forwarded to the Investigative Team. The spread of complaints by subject is fairly evenly divided between Housing and Other, there were no Planning complaints.

Our average response time to first enquiries was 24.7 days, a significant improvement to the 2007/08 figure of 34.8 days and well within the LGO's target of 28 days.

The LGO has noted that the Council's prompt response to enquiries is important in helping them provide a quality service to complainants.

The LGO decided 12 complaints, 5 were found to have insufficient evidence of maladministration, 4 were discontinued, 2 were outside jurisdiction and 1 resulted in a local settlement.

ISSUES/OPTIONS FOR CONSIDERATION

The contents of the Ombudsman's letter and the Council's performance

IMPLICATIONS

Financial: - None

Legal: - None

Human Resources: None

RECOMMENDATION(S)

That Executive receive the report and the LGO Annual Review 2008/09

REASON FOR DECISION TO BE GIVEN IN ACCORDANCE WITH THE CONSTITUTION

To keep Members informed of Ombudsman complaints

ATTACHMENTS: - Annual Review 2008/09 dated June 2009

FILE REFERENCE:

SOURCE DOCUMENT:

16 June 2009

Mr W Lumley
Chief Executive Officer
Bolsover District Council
Sherwood Lodge
Bolsover
CHESTERFIELD S44 6NF

Our Ref: Annual Letter/AS/sw
(Please quote our reference when contacting us)

Dear Mr Lumley

Annual Review 2008/09

I enclose an annual review summarising the complaints about your Council that my office has dealt with over the past year. I hope you find the review a useful addition to other information you have on how people experience or perceive your services.

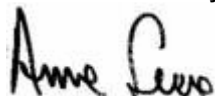
The review is split into two sections. The first is about complaints about your Council and the second provides a general update on LGO developments. This includes our proposal to introduce 'statements of reasons' for Ombudsmen decisions. I would welcome your views on this.

All the annual reviews will be published on our website (www.lgo.org.uk) and shared with the Audit Commission four weeks after this letter. If you feel there is any material factual inaccuracy in the review please let me know so that I can consider and, if necessary, reissue the review. A summary of statistics for all authorities will also be published on our website.

If it would be helpful, I or a senior colleague would be willing to present and discuss the annual review with councillors or staff.

A copy of this letter and the review is being sent to you electronically. I should be grateful if you could put the annual review on your Council's website. You do not need to include this covering letter on your website.

Yours sincerely



Anne Seex
Local Government Ombudsman

**The Local Government Ombudsman's
Annual Review
Bolsover District Council
for the year ended
31 March 2009**

The Local Government Ombudsman (LGO) provides a free, independent and impartial service. We consider complaints about the administrative actions of councils and some other authorities. We cannot question what a council has done simply because someone does not agree with it. If we find something has gone wrong, such as poor service, service failure, delay or bad advice, and that a person has suffered as a result, the Ombudsmen aim to get it put right by recommending a suitable remedy. The LGO also uses the findings from investigation work to help authorities provide better public services through initiatives such as special reports, training and annual reviews.

Contents of Annual Review

<u>Section 1: Complaints about Bolsover District Council 2008/09</u>	7
<u>Introduction</u>	7
<u>Enquiries and complaints received</u>	7
<u>Complaint outcomes</u>	7
<u>Liaison with the Local Government Ombudsman</u>	8
<u>Training in complaint handling</u>	8
<u>Conclusions</u>	8
<u>Section 2: LGO developments</u>	9
<u>Introduction</u>	9
<u>Council First</u>	9
<u>Statement of reasons: consultation</u>	9
<u>Making Experiences Count (MEC)</u>	9
<u>Training in complaint handling</u>	9
<u>Adult Social Care Self-funding</u>	9
<u>Internal schools management</u>	9
<u>Further developments</u>	9
<u>Appendix 1: Notes to assist interpretation of the statistics 2008/09</u>	11
<u>Appendix 2: Local authority report 2008/09</u>	

Section 1: Complaints about Bolsover District Council 2008/09

Introduction

This annual review provides a summary of the complaints we have dealt with about Bolsover District Council.

I hope that the review will be a useful addition to other information your authority holds on how people experience or perceive your services.

Two appendices form an integral part of this review: statistical data for 2008/09 and a note to help the interpretation of the statistics.

Changes to our way of working and statistics

A change in the way we operate means that the statistics about complaints received in 2008/09 are not directly comparable with those from 2007/08. Since 1 April 2008 the new LGO Advice Team has been the single point of contact for all enquiries and new complaints. The number of telephone calls to our service has increased significantly since then to more than 3,000 a month. Our advisers now provide comprehensive information and advice to people who telephone, write or e-mail. It enables citizens to make informed decisions about whether to put their complaint to us.

This means that direct comparisons with some previous year-statistics are difficult and could be misleading. So this annual review focuses mainly on the 2008/09 statistics without drawing those comparisons.

Enquiries and complaints received

A total of 13 enquiries and complaints were made about your Council in 2008/09. These were evenly divided between Housing and Other. Seven complaints were received by the investigation team, four about housing and three about other issues. Although direct comparisons cannot be made with previous years because of the changes in how we record contacts, it is interesting that there were no enquiries or complaints about Planning and Building Control, in contrast to previously.

Complaint outcomes

Local settlements

We will often discontinue enquiries into a complaint when a council takes or agrees to take action that we consider to be a satisfactory response – we call these local settlements. In 2008/09, 27.4% of all complaints the Ombudsmen decided and which were within our jurisdiction were local settlements. Of the complaints we decided on the same basis against your authority, only one led to a local settlement (10% of the total).

The local settlement was for a waste management complaint. The complainants' bin was stolen. The Council refused to replace it and said they had to buy a new bin without serving the proper notice, which denied them their right of appeal. No rubbish was collected for six months because of the dispute. During the investigation it became clear that the Council could not locate its policy. The Council told my office that it had no

discretion to act outside the policy it could not find. To resolve the complaint, the Council provided a new bin and paid £75 for time and trouble in pursuing the matter. It also agreed to locate the policy and publish it on its website. If it could not be located, then it would adopt and publish one urgently.

Liaison with the Local Government Ombudsman

We made three first enquiries to your Council during 2008/09 and the average response time was 24.7 days. This is within the target of 28 days and a significant improvement on the time taken in the previous two years (34.8 days and 34.1 days respectively). The Council's prompt responses to enquiries are important in helping us to provide a quality service to complainants.

Training in complaint handling

Part of our role is to provide advice and guidance about good administrative practice. We offer training courses for all levels of local authority staff in complaints handling and investigation. All courses are presented by experienced investigators. They give participants the opportunity to practise the skills needed to deal with complaints positively and efficiently. We can also provide customised courses to help authorities to deal with particular issues and occasional open courses for individuals from different authorities.

I have enclosed some information on the full range of courses available together with contact details for enquiries and bookings.

Conclusions

I welcome this opportunity to give you my reflections about the complaints my office has dealt with over the past year. I hope that you find the information and assessment provided useful when seeking improvements to your Council's services.

**Mrs A Seex
Local Government Ombudsman
Beverley House
17 Shipton Road
YORK
YO30 5FZ**

June 2009

Section 2: LGO developments

Introduction

This annual review also provides an opportunity to bring councils up to date on developments – current and proposed – in the LGO and to seek feedback. It includes our proposal to introduce a ‘statement of reasons’ for Ombudsmen decisions.

Council First

From 1 April 2009, the LGO has considered complaints only where the council’s own complaints procedure has been completed. Local authorities have been informed of these new arrangements, including some notable exceptions. We will carefully monitor the impact of this change during the course of the year.

Statement of reasons: consultation

The Local Government and Public Involvement in Health Act 2007 made provision for the LGO to publish statements of reasons relating to the individual decisions of an Ombudsman following the investigation of a complaint. The Ombudsmen are now consulting local government on their proposal to use statements of reasons. The proposal is that these will comprise a short summary (about one page of A4) of the complaint, the investigation, the findings and the recommended remedy. The statement, naming the council but not the complainant, would usually be published on our website.

We plan to consult local authorities on the detail of these statements with a view to implementing them from October 2009.

Making Experiences Count (MEC)

The new formal, one stage complaint handling arrangement for adult social care was also introduced from 1 April 2009. The LGO is looking to ensure that this formal stage is observed by complainants before the Ombudsmen will consider any such complaint, although some may be treated as exceptions under the Council First approach. The LGO also recognises that during the transition from the existing scheme to the new scheme there is going to be a mixed approach to considering complaints as some may have originated before 1 April 2009. The LGO will endeavour to provide support, as necessary, through dedicated events for complaints-handling staff in adult social care departments.

Training in complaint handling

Effective Complaint Handling in Adult Social Care is the latest addition to our range of training courses for local authority staff. This adds to the generic Good Complaint Handling (identifying and processing complaints) and Effective Complaint Handling (investigation and resolution), and courses for social care staff at both of these levels. Demand for our training in complaint handling remains high. A total of 129 courses were delivered in 2008/09. Feedback from participants shows that they find it stimulating, challenging and beneficial in their work in dealing with complaints.

Adult Social Care Self-funding

The Health Bill 2009 proposes for the LGO to extend its jurisdiction to cover an independent complaints-handling role in respect of self-funded adult social care. The new service will commence in 2010.

Internal schools management

The Apprenticeship, Skills, Children and Learning Bill (ASCL) 2009 proposes making the LGO the host for a new independent complaints-handling function for schools. In essence, we would consider the complaint after the governing body of the school had considered it. Subject to legislation, the new service would be introduced, in pilot form, probably in September 2010.

Further developments

I hope this information gives you an insight into the major changes happening within the LGO, many of which will have a direct impact on your local authority. We will keep you up to date through LGO Link as each development progresses but if there is anything you wish to discuss in the meantime please let me know.

**Mrs A Seex
Local Government Ombudsman
Beverley House
17 Shipton Road
YORK
YO30 5FZ**

June 2009

Appendix 1: Notes to assist interpretation of the statistics 2008/09

Introduction

This year, the annual review only shows 2008/09 figures for enquiries and complaints received, and for decisions taken. This is because the change in the way we operate (explained in the introduction to the review) means that these statistics are not directly comparable with statistics from previous years.

Table 1. LGO Advice Team: Enquiries and complaints received

This information shows the number of enquiries and complaints received by the LGO, broken down by service area and in total. It also shows how these were dealt with, as follows.

Formal/informal prematures: The LGO does not normally consider a complaint unless a council has first had an opportunity to deal with that complaint itself. So if someone complains to the LGO without having taken the matter up with a council, the LGO will usually refer it back to the council as a 'premature complaint' to see if the council can itself resolve the matter. These are 'formal premature complaints'. We now also include 'informal' premature complaints here, where advice is given to the complainant making an enquiry that their complaint is premature. The total of premature complaints shown in this line *does not include* the number of resubmitted premature complaints (see below).

Advice given: These are enquiries where the LGO Advice Team has given advice on why the Ombudsman would not be able to consider the complaint, other than the complaint being premature. For example, the complaint may clearly be outside the Ombudsman's jurisdiction. It also includes cases where the complainant has not given enough information for clear advice to be given, but they have, in any case, decided not to pursue the complaint.

Forwarded to the investigative team (resubmitted prematures): These are cases where there was either a formal premature decision, or the complainant was given informal advice that their case was premature, and the complainant has resubmitted their complaint to the Ombudsman after it has been put to the council. *These figures need to be added to the numbers for formal/informal premature complaints (see above) to get the full total number of premature complaints. They also needed to be added to the 'forwarded to the investigative team (new)' to get the total number of forwarded complaints.*

Forwarded to the investigative team (new): These are the complaints that have been forwarded from the LGO Advice Team to the Investigative Team for further consideration. The figures may include some complaints that the Investigative Team has received but where we have not yet contacted the council.

Table 2. Investigative Team: Decisions

This information records the number of decisions made by the LGO Investigative Team, broken down by outcome, within the period given. **This number will not be the same as the number of complaints forwarded from the LGO Advice Team** because some complaints decided in 2008/09 will already have been in hand at the beginning of the year, and some forwarded to the Investigative Team during 2008/09 will still be in hand at the end of the year. Below we set out a key explaining the outcome categories.

MI reps: where the LGO has concluded an investigation and issued a formal report finding maladministration causing injustice.

LS (local settlements): decisions by letter discontinuing our investigation because action has been agreed by the authority and accepted by the Ombudsman as a satisfactory outcome for the complainant.

M reps: where the LGO has concluded an investigation and issued a formal report finding maladministration but causing no injustice to the complainant.

NM reps: where the LGO has concluded an investigation and issued a formal report finding no maladministration by the council.

No mal: decisions by letter discontinuing an investigation because we have found no, or insufficient, evidence of maladministration.

Omb disc: decisions by letter discontinuing an investigation in which we have exercised the Ombudsman's general discretion not to pursue the complaint. This can be for a variety of reasons, but the most common is that we have found no or insufficient injustice to warrant pursuing the matter further.

Outside jurisdiction: these are cases which were outside the Ombudsman's jurisdiction.

Table 3. Response times

These figures record the average time the council takes to respond to our first enquiries on a complaint. We measure this in calendar days from the date we send our letter/fax/email to the date that we receive a substantive response from the council. The council's figures may differ somewhat, since they are likely to be recorded from the date the council receives our letter until the despatch of its response.

Table 4. Average local authority response times 2008/09

This table gives comparative figures for average response times by authorities in England, by type of authority, within three time bands.

LGO Advice Team

Enquiries and complaints received	Children and family services	Housing	Other	Total
Formal/informal premature complaints	0	3	1	4
Advice given	1	0	1	2
Forwarded to investigative team (resubmitted prematures)	0	1	1	2
Forwarded to investigative team (new)	0	3	2	5
Total	1	7	5	13

Investigative Team

Decisions	MI reps	LS	M reps	NM reps	No mal	Omb disc	Outside jurisdiction	Total
01/04/2008 / 31/03/2009	0	1	0	0	5	4	2	12

Response times

	FIRST ENQUIRIES	
	No. of First Enquiries	Avg no. of days to respond
1/04/2008 / 31/03/2009	3	24.7
2007 / 2008	4	34.8
2006 / 2007	11	34.1

Average local authority response times 01/04/2008 to 31/03/2009

Types of authority	<= 28 days %	29 - 35 days %	> = 36 days %
District councils	60	20	20
Unitary authorities	56	35	9
Metropolitan authorities	67	19	14
County councils	62	32	6
London boroughs	58	27	15
National park authorities	100	0	0

Committee:	Executive	Agenda Item No.:	8.
Date:	10 th August 2009	Status	Open
Category	3. Part of the Budget and Policy Framework		
Subject:	Compliments, Comments, Complaints and Freedom of Information Requests		
Report by:	Customer Service and Access Officer		
Other Officers Involved	Support Officer		
Director	Chief Executive Officer		
Relevant Portfolio Holder	Customer Focused Services		

RELEVANT CORPORATE AIMS

CUSTOMER FOCUSED SERVICES – Providing excellent customer focused services

STRATEGIC ORGANISATIONAL DEVELOPMENT – Continually improving our organisation.

The effective management of complaints and customer requests is central to good customer service. It also provides a good source of information which the Council can use to improve services.

TARGETS

Local performance indicators for handling written complaints and Ombudsman complaints.

VALUE FOR MONEY

A centralised complaints and freedom of information requests service maximises the use of staffing resources as well as the provision of management information.

THE REPORT

To provide information on the number of compliments, comments, complaints, freedom of information and personal data requests for the period 1st April 2009 to 30th June 2009.

Compliments

Table A shows the number of written compliments received for the period. In total 20 written compliments were received thanking the Council for efficient and helpful service across a variety of departments.

Comments

Table B shows the number of written comments received for the period – 14 in total. 12 of the comments received were responded to within standard (20 working days), with the two outstanding still within the timescale for a response.

Five comments concerned the charging of bulky waste collections.

Table C shows the above information by department.

Complaints

Stage one

Stage one complaints refer to expressions of dissatisfaction made verbally by customers. The table below provides a breakdown of stage one complaints handled by the Contact Centres by service area and volume for the period 01/4/09 to 30/06/09:

Stage One Complaints	
Service Area	01/04/09 - 30/06/09
Complaints regarding housing repairs e.g. out of time, quality	1
Complaints regarding refuse, grounds maintenance, cleansing services e.g. not returning bin to collection point, missed green bin collection	70
Missed clinical waste collection	27
Missed domestic bin collection	296
Missed blue box collection	51
Bin not fully emptied	4
Total	449

For the same period Contact Centres handled 8,740 requests for service in total.

Stage two

Table D shows the number of stage two or written complaints received for the period by date order. Of the 19 complaints received, all 19 (100%) were responded to within our customer service standard of 20 working days.

Table E shows the above information by department.

There were no trends for the period.

Stage three

Table F shows the number of stage three complaints received for the period by date order. These are complainants who have already made a stage two complaint and still feel dissatisfied. During this period 10 stage three complaints were received and all have been responded to within standard.

Ombudsman

Table G shows the status of Ombudsman complaints for 2009/10 as of 30th June 2009. During this period four complaints were received, one of which was informal. Three of the complaints were responded to within the Local Government Ombudsman's timescale of 28 calendar days, with the one outstanding still within the timescale for a response. One decision was received, recording a 'no or insufficient evidence of maladministration' outcome, two are awaiting the Ombudsman's decision and one is open.

Freedom of Information (FOI)

Table H shows the number of requests for 'freedom of information' for the period by date order. Of the 64 requests received, all (100%) were responded to within the government standard of 20 working days.

Personal Data requests (DP)

Table I shows the number of requests for 'Personal Data' for the period by date order. There were 17 requests made. Although the timescale for Data Protection requests is 40 calendar days, requests made under authority from the Police (for the apprehension/ prosecution of offenders etc) are dealt with swiftly and responses are sent as soon as possible.

Table J shows the number of freedom of information and personal data requests by department.

Performance

A target of 93% has been set for responding to stage two complaints within 20 working days for 2009/10. For this period 100% has been achieved.

ISSUES/OPTIONS FOR CONSIDERATION

The contents of the report.

IMPLICATIONS

Financial: - None

Legal: - None

Human Resources: - None

RECOMMENDATION

that the report be received

REASON FOR DECISION TO BE GIVEN IN ACCORDANCE WITH THE CONSTITUTION

To keep Members informed of volumes and trends regarding compliments, comments, complaints and freedom of information requests.

ATTACHMENTS: **Y**

Table A: Compliments summary for the period 01/04/09 – 30/06/09

Table B: Comments summary for the period 01/04/09 – 30/06/09

Table C: Comments summary by department 2009/10

Table D: Stage two complaints summary for the period 01/04/09 – 30/06/09

Table E: Stage two complaints summary by department 2009/10

Table F: Stage three complaints summary for the period 01/04/09 – 30/06/09

Table G: Ombudsman complaints summary for 2009/10

Table H: Freedom of information summary for the period 01/04/09 – 30/06/09

Table I: Personal data requests for the period 01/04/09 – 30/06/09

Table J: Freedom of information and personal data requests summary by department 2009/10

FILE REFERENCE: - N/A

SOURCE DOCUMENT: - N/A

Table A - COMPLIMENTS SUMMARY 01/04/09 – 30/06/09

Date Received	Area	Summary of Compliment	Departments Involved
20/04/09	Bolsover	Thanks for the standard of grass cutting near home	Contact Centre Street Services
15/04/09	Langwith	Thanks for the new kitchen and helpful service	Housing
21/04/09	Bolsover	Thanks for a good job done by road cleaners	Street Services
21/04/09	Newark	Thanks for a helpful service	Revenues
24/04/09	Tibshelf	Thanks for polite and helpful service regarding repairs to house	Housing
24/04/09	North Wingfield	Thanks for Sporting Achievement presentation	Leisure
28/04/09	Not known	Thanks to the Dog Warden for doing a great job	Environmental Health
06/05/09	Smalley	Thanks for invitation to Choir Competition	Leisure
06/05/09	Shirebrook	Thanks for a helpful service	Revenues
07/05/09	Bolsover	Thanks for a helpful service, which aided a quicker recovery from poor health	Housing
14/05/09	Bolsover	Thanks for a helpful and efficient service	Revenues
21/05/09	South Normanton	Thanks for a helpful, prompt and efficient service	Contact Centre
22/05/09	Scarcliffe	Thanks for a helpful and polite service	Revenues
22/05/09	South Normanton	Thanks for a helpful and understanding service	Revenues
03/06/09	London	Thanks for helpful and useful assistance	Planning
10/06/09	Worksop	Compliment for pool party made enjoyable by excellent staff	Leisure
18/06/09	Creswell	Compliment for all the staff who always provide a very enjoyable experience	Leisure
26/06/09	Worksop	Thanks for a prompt and efficient service regarding removal of fly tipping	Contact Centre Street Services
30/06/09	Mansfield	Thanks for the repair to house and helpful service	Contact Centre Housing
30/06/09	Bolsover	Thanks for a helpful and prompt service	Contact Centre

Table B - SUMMARY OF COMMENTS 01/04/09 – 30/06/09

Date Received	Area	Summary of Comment	Departments Involved	Date Response Sent	No of work days	Summary of Response
03/04/09	Bolsover	Unhappy about having to pay for a bulky waste collection	Street Services	30/04/09	19	Explanation given why bulky waste removal is now not a free service
23/04/09	Tibshelf	Unhappy that a payment for a large refuse removal had to be made prior to receiving a removal date	Street Services	14/05/09	14	Informed that appropriate amendments will be made in the near future. Apologies given
30/04/09	Clowne	Unhappy about having to pay for a bulky collection - feels they are already paying for this service	Street Services	19/05/09	12	Explanation given why bulky waste removal is now not a free service
01/05/09	Not known	Unhappy about having to pay for a bulky collection	Street Services	19/05/09	11	Explanation given why bulky waste removal is now not a free service
14/05/09	Hardstoft	Not happy about having to pay for a collection of green waste	Street Services	09/06/09	17	Explanation given why bulky waste removal is now not a free service
28/05/09	Alfreton	Concerns about a neighbours' living arrangements regarding claims for benefits and anti social behaviour	Housing Revenues	11/06/09	10	Advised that the Anti Social Behaviour Caseworkers are working with the family to improve behaviour. Advised that Head of Revenue Services wrote regarding non occupancy and that investigations were still being carried out

Table B - SUMMARY OF COMMENTS 01/04/09 – 30/06/09

Date Received	Area	Summary of Comment	Departments Involved	Date Response Sent	No of work days	Summary of Response
01/06/09	Broadmeadows	Regarding hedgerows in the district	Planning	15/06/09	10	Explained that hedgerows protected by planning legislation and apology for the delay in replying
15/06/09	Whitwell	Unhappy about having to pay for a bulky collection	Street Services	16/06/09	1	Explanation given why bulky waste removal is now not a free service
15/06/09	Shirebrook	Regarding the increasing problem of fly tipping in Shirebrook	Environmental Health Street Services	03/07/09	14	Advised that fly tipping is being investigated and a litter pick in the area arranged
15/06/09	Shirebrook	Regarding fly tipping not being removed	Contact Centre	17/06/09	2	Explanation given as to why fly tipping had not been removed and apology for the error made
17/06/09	Clowne	Housing Benefit paid is insufficient to cover rent (private accommodation)	Housing Revenues	13/07/09	19	Explanation regarding Housing Benefit and the Discretionary Housing Payment. Offered home visit
24/06/09	Bolsover	Unhappy about untidy areas in the District	Environmental Health Street Services Leisure Community Services	16/07/09	16	Informed that a litter pick will be carried out and that the Council has not undertaken any tree work
30/06/09	Clowne	Request for a combi-boiler following long standing trouble with heating system	Housing	Open but within timescale		

Table B - SUMMARY OF COMMENTS 01/04/09 – 30/06/09

Date Received	Area	Summary of Comment	Departments Involved	Date Response Sent	No of work days	Summary of Response
30/06/09	Clowne	Requesting information about the waste collection service at a property suspected of not paying Council Tax	Street Services Revenues	Open but within timescale		

Table C: Comments Summary by Department 2009/10

Department/Section	01/04/09 – 30/06/09		
	No. of Comments	No. Responded to in time	No. responded to out of time
Contact Centres	1	1	
Customer Service & Performance Community Services	1	1	
Environmental Health	2	2	
Street Services	9	9	
Housing	3	3	
Legal			
Leisure	1	1	
Planning	1	1	
Regeneration			
Revenues	3	3	
Totals	21	21	

Table D – Summary of Stage Two Complaints 01/04/09 – 30/06/09

Date Received	Area	Summary of Complaint	Departments Involved	Date Response Sent	No of work days	Remedy
01/04/09	Creswell	Regarding a noise complaint that has been ongoing and not resolved	Environmental Health	27/04/09	17	An explanation given as to why the situation arose and informed of the actions taken
06/04/09	Langwith	Regarding the stress caused when applying for housing benefit due to receiving a cheque in the incorrect name	Revenues	01/05/09	17	An explanation given as to why the payment was late and the apology reiterated
14/04/09	Creswell	Regarding the distress caused by the way council tax payment procedure is undertaken	Revenues	12/05/09	17	A full chronology of the complainants Council Tax payments history
17/04/09	Shirebrook	Unhappy that street lights in district taken so long to be repaired	Contact Centre Community Services	12/05/09	18	Confirmed the lights have now been repaired by DCC. Apologies for any misunderstanding
21/04/09	Bolsover	Requesting reimbursement for a bank charge for a late direct debit payment	Revenues	14/05/09	16	An explanation regarding direct debit payment and informed that bank charge incurred will not be reimbursed
27/04/09	New Houghton	Regarding repairs to soffits and fascias of Council house	Housing	14/05/09	12	Advised that we will be surveying all affected properties and work will be carried out shortly after
30/04/09	Blackwell	Regarding the lack of response about grass cuttings on pavements	Street Services	27/05/09	17	Advised that telephone messages not on record and apology given. Advised that an Officer will visit the resident adjacent to discuss removing the strip of grass causing the problem

Table D – Summary of Stage Two Complaints 01/04/09 – 30/06/09

Date Received	Area	Summary of Complaint	Departments Involved	Date Response Sent	No of work days	Remedy
11/05/09	Shirebrook	Regarding the timescales council tax benefit procedure takes	Revenues	04/06/09	17	Apology and explanation why there were delays (complexity of claim and delays caused by claimant)
13/05/09	Clowne	Noise problems with engineering company recently set up near them. Feel Council ignoring their complaints about the noise	Environmental Health Planning	11/06/09	20	An explanation from a Planning and an Environmental Health perspective and advised that further noise monitoring will be carried out to improve the situation
14/05/09	Creswell	Requires an apology regarding the treatment received when visiting the Council to make a complaint about a neighbours' garden. Would also like to know the Council's standards on housing matters	Housing	09/06/09	17	Apology given. Informed that there is no standard for gardens
15/05/09	Shuttlewood	Regarding weed killer sprayed over plants not belonging to the Council	Street Services	08/06/09	15	Explained that the flowers had been sprayed due to a misunderstanding over the ownership of the footpath. Apology given and advised arrangements have been made to replace the flowers as soon as possible
19/05/09	Clowne	Unhappy with the remaining fly posting after it had been reported	Contact Centre	21/05/09	2	An explanation regarding why fly posting had not been removed and apology given for misunderstanding
19/05/09	Clowne	Attitude of Contact Centre staff when ordering a replacement new bin after the original was stolen	Contact Centre Revenues	11/06/09	16	Advised that the information given was correct, with a reminder to the complainant to be courteous when contacting the Council in future.

Table D – Summary of Stage Two Complaints 01/04/09 – 30/06/09

Date Received	Area	Summary of Complaint	Departments Involved	Date Response Sent	No of work days	Remedy
						Notice could be served if not presenting waste in a suitable receptacle
26/05/09	Clowne	Regarding treatment received when applying to be re-housed	Housing	16/06/09	15	An explanation, summary and conclusion regarding homeless situation direct from the Housing Department. Advised that the Housing Department remain willing to considering future housing options
03/06/09	Rowsley	Regarding the amount of time taken to respond to requests for Ordnance Survey prints	Planning Contact Centre	25/06/09	16	An explanation regarding delay in producing Ordnance Survey maps and an apology given for inconvenience caused
17/06/2009	Clowne	Complaint concerns a member of staff following a request for help with financing a bond for a privately rented flat	Housing	10/07/09	17	An explanation regarding housing application position, the Council's right to remove items from property once vacated and the debt left on account. Advised to contact the Council to clear debt and provide more information
22/06/2009	Newton	Incorrect information on the website regarding bulky waste collection	Street Services	13/07/09	15	Apologised again for the mistake and informed a free bulky waste collection was not possible
23/06/2009	Whitwell	Regarding a piece of land that may be causing a problem with vermin	Environmental Health	16/07/09	18	Advised that service provided when it was asked for at the time and no further complaints received. Informed that the matter will be investigated further regarding overgrown land

Table D – Summary of Stage Two Complaints 01/04/09 – 30/06/09

Date Received	Area	Summary of Complaint	Departments Involved	Date Response Sent	No of work days	Remedy
29/06/09	Tibshelf	Regarding blue box missed for a second time and perceives the recycling service to be poor	Street Services	17/07/09	15	Explanation about problems with road which is very narrow and process to report missed collection

Table E - Complaints (Stage 2) Summary by Department 2009/10

Department/Section

01/04/09 – 30/06/09

	No. of Complaints	No. Responded to in time	No. responded to out of time
Contact Centres	4	4	
Customer Service & Performance			
Community Services	1	1	
Environmental Health	3	3	
Street Services	4	4	
Finance			
Housing	4	4	
ICT			
Legal			
Leisure			
Planning	2	2	
Regeneration			
Revenues	5	5	
Totals	23	23	

Table F - Summary of Stage Three Complaints 01/04/09 – 30/06/09

Date Received	Area	Summary of Complaint	Departments Involved	Date Response Sent	No of work days	Remedy
06/04/09	South Normanton	Still unhappy regarding the damp within property feels treated unfairly	Housing	07/05/09	20	Advised that someone will visit the property to carry out another inspection of the door
09/04/09	Alfreton	Not satisfied with second stage response regarding glass he feels was left by blue bin removal staff which caused tyre on car to go flat. Seeking compensation	Street Services	12/05/09	18	Reiterated that no compensation will be given as there is not sufficient evidence the contractors had caused the problem
14/04/09	Shirebrook	Requires further investigations to be made regarding upgrade of electrics in the house	Housing	12/05/09	17	Explained that after further investigation, a fault had occurred. The Contractor and the Council have apologised for any inconvenience
22/04/09	Shirebrook	Not satisfied with second stage response regarding damp problems after new windows installed	Environmental Health	21/05/09	20	Informed that whilst recognising the works were completed a very long time ago and the Council currently has not accepted liability, Environmental Health are prepared to look at the report produced by the insurers. Also advised to seek legal advice on this matter
23/04/09	Creswell	Not satisfied with second stage response regarding seeking compensation due to anti-social behaviour suffered	Housing	19/05/09	17	Informed that there is nothing more to be done regarding this matter. Regarding the Council Tax, explained that a reminder was sent and that an arrangement was agreed

Table F - Summary of Stage Three Complaints 01/04/09 – 30/06/09

Date Received	Area	Summary of Complaint	Departments Involved	Date Response Sent	No of work days	Remedy
29/04/09	South Normanton	Unhappy with second stage response regarding the drainage solution to water running off the recreation area onto garden	Leisure Regeneration	28/05/09	19	Re-iterated the benefits of the 'French drain'. Advised any anti-social behaviour should be directed to the CAN Rangers or Police
07/05/09	Newton	Further correspondence regarding a trampoline in neighbours' back yard	Housing	14/05/09	5	Informed of the updated situation, that an agreement was in place and it had been working. Advised for complainant to contact Housing section or the Ombudsman
29/05/09	Shirebrook	Unhappy that street lights in district taken so long to be repaired	Contact Centre Community Services Regeneration	19/06/09	15	Agreed that the length of time is unacceptable to arrange repairs to street lighting and apologised for the level of service. Advised that relevant Head of Service is to undertake a review to improve the standard of service we are providing for street lights
18/06/09	Shirebrook	Regarding the timescales concerning the way council tax benefit procedure is undertaken	Revenues	08/07/09	14	Advised that to make an appeal, it should be done in writing to the Revenues Department within 10 calendar days from the date of letter. Explanation to issues raised and assured that the Council would not stop anyone going into court if they wished

Table G - Summary of Ombudsman Complaints 2009/10

Date Received	Area	LGO's Summary of Complaint	Departments Involved	Date Response sent	No. of Calendar Days	Date Decision Letter Received	Ombudsman's Decision
19/05/09	Whitwell	In 2007 the Council refused to install gas to allow for a gas cooker and subsequently undertook work to replace the existing heating system in the property with an alternative system without proper consideration of personal preferences. Furthermore, the Council has failed to make any allowance for the damage to the living room carpet and internal decoration as a result of the renovations	Housing	16/06/2009	27	07/07/09	No or insufficient evidence of maladministration.
09/06/09	Creswell	The Council delayed dealing with anti-social behaviour from neighbours and allowed confidential diary sheets to be passed to the alleged perpetrators, which resulted in being attacked. Also feels that the Council should have provided him with alternative safe accommodation whilst it investigated his allegations of anti-social behaviour	Housing	03/07/09	24		Open, awaiting decision
24/06/09	Clowne	Informal complaint - Complained that notice not to quit private rented accommodation and the Council will not help	Housing	06/07/09	12		Open, awaiting decision
25/06/09	Clowne	The Council removed most of the pebble dash coating to the property last year and has not returned to replace it. Complained before about the appearance of the property but has received no response	Housing	Open but within timescale			

Table H - Summary of FOI Requests 01/04/09 – 30/06/09

Date Received	Summary of FOI	Departments Involved	Date Response Sent	No of work days	Information released
02/04/09	Information regarding in-house legal team, staff and systems	Legal HR and Payroll	27/04/09	15	Yes
03/04/09	Pet Shop Licences	Environmental Health	28/04/09	16	Yes
03/04/09	Local council international travel	HR and Payroll	28/04/09	16	No - No information held
06/04/09	Housing for children under 16	DCC	06/04/09	1	No - Transferred
07/04/09	Requests for information regarding non domestic rates	Revenues	28/04/09	13	Yes
08/04/09	Home schooling figures requested	DCC	08/04/09	1	No - Transferred
07/04/09	Medium term financial budget and budget setting for 2008/09	Finance	06/05/09	17	Yes
08/04/09	Information regarding the fire at Kissinggate Leisure Centre	Leisure	06/05/09	17	Yes
08/04/09	Information held by the council relating to the future of the Council	Finance	08/05/09	19	No - No information held
09/04/09	Information about traffic wardens	DCC	09/04/09	0	No - Transferred
09/04/09	Information regarding adoptions	DCC	14/04/09	1	No - Transferred
14/04/09	Details of how much Council spent on interpreting and translation services	Finance Environmental Health CSPD	08/05/09	17	Yes
14/04/09	Requires a list of properties under rateable value £10,000 not in receipt of Small Business Rates Relief where the occupier is a sole	Revenues	08/05/09	17	Yes

Table H - Summary of FOI Requests 01/04/09 – 30/06/09

Date Received	Summary of FOI	Departments Involved	Date Response Sent	No of work days	Information released
	trader				
15/04/09	Surveys of residents bins in the past five years	Street Services	11/05/09	17	Yes
15/04/09	Cost of cameras supplied and installed by Council in CCTV Project	Community Services	12/05/09	18	Yes
15/04/09	Request regarding information relating to all deposits held by your local authority in the Icelandic banks that failed in the summer/autumn period of 2008	Finance	11/05/09	17	Yes
16/04/09	Request regarding ICT information	ICT	12/05/09	17	Yes
16/04/09	Request regarding information on bed bugs in area	Environmental Health	13/05/09	18	Yes
16/04/09	Requires a list of any schemes offered by the Council under which people are offered incentives for healthy or good behaviour	Leisure CSPD	14/05/09	19	Yes
19/04/09	Information relating to the Anchor Inn, Mill Street, Clowne (EIR ¹)	Environmental Health	06/05/09	11	EIR
20/04/09	Figures for the number of CCTV cameras operated by the council between 2004 and 2008	Community Services Leisure Regeneration	18/05/09	19	Yes
23/04/09	Pay and grading information	HR and Payroll	15/05/09	15	Yes
23/04/09	Information regarding if the council sold off any public parks (or sections of public parks) in the last five years	Regeneration Leisure	15/05/09	15	Yes
27/04/09	Information about the most recent contract agreed for the purchase of road salt	Street Services	15/05/09	13	No - No information held
27/04/09	Regarding a list of all contact details for organisations providing outreach to pensioners, recreational facilities for pensioners or support to pensioners	Housing Leisure	26/05/09	19	Yes

Table H - Summary of FOI Requests 01/04/09 – 30/06/09

Date Received	Summary of FOI	Departments Involved	Date Response Sent	No of work days	Information released
29/04/09	Regarding expenses of the Chief Executive for each of the last two years	HR and Payroll	Clarification sought	1	Not provided by requester – request now closed
29/04/09	Regarding number of football pitches, swimming pools, athletics tracks, and sports halls that are owned by the Council	Leisure	20/05/09	14	Yes
30/04/09	How many complaints received regarding noise disturbance from private residences in the last 12 months and how many Anti Social Behaviour Orders have been issued in the last five years	Community Services Environmental Health	20/05/09	13	Yes
01/05/09	Financial rewards to members of the public for information after an alleged crime	Community Services	20/05/09	12	No - No information held
01/05/09	Housing benefit claims and claimants	Revenues	29/05/09	18	Yes
06/05/09	Further request (223/0910) - Requests for non domestic rates	Revenues	29/05/09	16	Yes
07/05/09	Regarding the standard annual leave available to full-time employees of the council	HR and Payroll	01/06/09	16	Yes
07/05/09	Details of empty commercial properties	Revenues	01/06/09	16	Yes
08/05/09	How Council are tackling the issue of reducing carbon emissions / achieving carbon neutrality specifically within ICT / IT	ICT	03/06/09	17	Partially - some information provided, some not held
13/05/09	Further request - Cost of cameras supplied and installed by Council in CCTV Project	Community Services	27/05/06	9	Partially - some information provided
13/05/09	Regarding complaints handling across UK local government	CSPD	02/06/09	13	Partially - some information provided, some exempt
14/05/09	Request for staff structure of Legal section	Legal	14/05/09	1	No – Exempt – information is publicly available

Table H - Summary of FOI Requests 01/04/09 – 30/06/09

Date Received	Summary of FOI	Departments Involved	Date Response Sent	No of work days	Information released
15/05/09	Information passed to Treasury Solicitor relating to persons dying	Environmental Health	02/06/09	11	Yes
20/05/09	Relating to councillor's allowances and expenses	HR and Payroll	26/05/09	3	Partially - some information provided
21/05/09	How much money has been spent on creating, developing and running the public website for each year since it was launched	ICT	10/06/09	13	Partially - some information provided
22/05/09	Regarding tendering information about stair lifts	Housing	22/06/09	20	Partially - some information provided
22/05/09	Regarding a complaint from the member of the public and officer time taken to deal with it	Planning	11/06/09	13	No - No information held
27/05/09	Relating to executive members and special responsibility allowances	Democratic Services	15/06/09	13	No – Exempt – information is publicly available
28/05/09	Request for a complete list of subcontractors, suppliers and consultants that have worked on or are working on the construction of the depot	Regeneration	17/06/09	14	No - No information held
01/06/09	Information about traffic wardens	DCC	01/06/09	1	No - Transferred
01/06/09	Information regarding budgets and staff information for the financial year of 2009/2010	HR and Payroll Procurement ICT	24/06/09	17	Yes
04/06/09	Information regarding the amount spent on consultancy services for the financial years 2006-2007, 2007-2008 and 2008-2009 and the names of and the projects/work undertaken by consultancy service providers	Procurement	24/06/09	14	No – exceeds time limit
04/06/09	Mortuaries and funerals	Environmental Health	24/06/09	14	Partially - some information provided

Table H - Summary of FOI Requests 01/04/09 – 30/06/09

Date Received	Summary of FOI	Departments Involved	Date Response Sent	No of work days	Information released
04/06/09	Information regarding the total cost of all translation services used in 1998-99, 2003-04, 2004-05, 2005-06, 2006-07, 2007-08	Environmental Health CSPD Finance	25/06/09	15	Yes
05/06/09	Information about Education Counsellors	DCC	05/06/09	0	No - Transferred
10/06/09	The names and contact details of all companies holding a contract with the Council and the nature of the contract	Procurement	29/06/09	13	Partially - some information provided
15/06/09	Request for copies of the letters sent out to Derbyshire County Council, Barlborough Parish Council and BT regarding removal of fly posting	Planning Street Services	30/06/09	11	No - No information held
17/06/09	Regarding meals on wheels service	DCC	18/06/09	1	No - Transferred
17/06/09	Request for information regarding the cost to the Council of allotment services and arboriculture services	Regeneration Street Services	30/06/09	9	Partially - some information provided
17/06/09	Regarding IT procurement policy and IT infrastructure	Procurement ICT	10/07/09	17	Partially - some information provided
22/06/09	Relating to request 191/0809- Would like a copy of any policy, reports etc regarding allocation of Section 106 Monies	Planning	03/07/09	9	No – Exempt – information is publicly available
22/06/09	Request with regards to car parking	Regeneration	23/06/09	1	No – Exempt – information is publicly available
22/06/09	Request for contact details, structures and Council documents	Finance	23/06/09	1	Partially - some information provided, some exempt
22/06/09	Information concerning properties that are generally described as defective or non-standard construction	Environmental Health Housing	10/07/08	14	Yes

Table H - Summary of FOI Requests 01/04/09 – 30/06/09

Date Received	Summary of FOI	Departments Involved	Date Response Sent	No of work days	Information released
23/06/09	Request for a copy of policy on fly posting and the suggested amendments	Planning	16/07/09	17	No – Exempt – information is publicly available
24/06/09	How many people have been awarded council housing who at the time of application had a salary worth £30,000	Housing	15/07/09	15	No - No information held
26/06/09	Current contracts for the provision of services	Heads of Service- All departments	13/07/09	11	Partially - some information provided, some not held
30/06/09	External Funding Software over the last three years	Regeneration	17/07/09	13	Partially - some information provided, some not held
30/06/09	The names and contact details of all companies holding a contract with the Council and the nature of the contract	Procurement	17/07/09	13	Yes

¹ EIR – Environmental Information Request

Table I - Summary of Data Protection Requests 2009/10

Date Received	Reason for Request (and section request made if applicable)	Departments Involved	Date Response Sent	Number of work days	Information released
02/04/2009	Detection of crime 30(1)	Housing Revenues	03/04/2009	1	Yes
03/04/2009	Detection of crime	Housing Revenues	03/04/2009	0	Yes
07/04/2009	Detection of crime	Housing Revenues	07/04/2009	0	Yes
07/04/2009	Detection of crime	Housing Revenues	07/04/2009	0	Yes
07/04/2009	Detection of crime	Housing Revenues	07/04/2009	0	Yes
08/04/2009	Detection of crime	Housing Revenues	14/04/2009	3	Yes
16/04/2009	Detection of crime	Revenues	17/04/2009	1	Yes
20/04/2009	Detection of crime	Housing Revenues	21/04/2009	1	Yes
23/04/2009	Detection of crime	Housing Revenues	24/04/2009	1	Yes
23/04/2009	Detection of crime	Housing Revenues	24/04/2009	1	Yes
23/04/2009	Detection of crime apprehension of offenders 30(1) and (5)	Revenues Democratic Servs	07/05/2009	9	Yes

Table I - Summary of Data Protection Requests 2009/10

Date Received	Reason for Request (and section request made if applicable)	Departments Involved	Date Response Sent	Number of work days	Information released
24/04/2009	Incident (CCTV)	Community Services	24/04/2009	0	Not held
29/04/2009	Detection of crime apprehension of offenders 30(1) and (5)	Housing Revenues	30/04/2009	1	Yes
30/04/2009	Incident (CCTV)	Legal	30/04/2009	0	Not held
01/05/2009	Detection of crime apprehension of offenders	Housing Revenues	07/05/2009	3	Yes
03/06/2009	Apprehension and prosecution	Housing Revenues	09/06/2009	4	Yes
10/06/2009	Detection of crime apprehension of offenders 29(3)	Revenues	12/06/2009	2	Yes

Table J: Freedom of Information and Data Protection Summary by Department 2009-10

Department/Section	01/04/09 – 30/06/09			
	No. of Requests	FOI	DP	EIR
All	1	1		
CEPT				
Customer Service and Performance	3	3		
Community Services	6	5	1	
Democratic Services	2	1	1	
Environmental Health	9	8		1
Street Services	4	4		
Finance	6	6		
Housing	16	4	12	
HR & Payroll	7	7		
ICT	6	6		
Legal	3	2	1	
Leisure	6	6		
Planning	4	4		
Procurement	5	5		
Regeneration	6	6		
Revenues	20	5	15	
Transferred	7	7		
Totals	111	80	30	1

Committee:	Executive	Agenda Item No.:	9.
Date:	10 th August 2009	Status	Open
Category	3. Part of the Budget and Policy Framework		
Subject:	Financial Management Performance – Quarter 1 in 2009/10		
Report by:	Director of Resources		
Other Officers Involved	Head of Finance, Chief Accountant, Principal Accountant, Head of Revenue, Head of Housing		
Director	Director of Resources		
Relevant Portfolio Holder	Leader of the Council		

RELEVANT CORPORATE AIMS

STRATEGIC ORGANISATIONAL DEVELOPMENT – Continually improving our organisation. Monitoring of budgets evidences that professional standards are being maintained and are evidence that Corporate Aims are being achieved.

TARGETS

The development of Policy Led Budgeting will help to inform future spending plans and assist in the delivery of efficiency gain targets that are monitored via National Indicator 179. In addition, the annual Use of Resources Assessment is supported by evidence of budget monitoring.

VALUE FOR MONEY

The Budget Process challenges existing spending levels and new spending proposals to ensure that resources are effectively used and directed towards the delivery of the Corporate Aims.

Introduction

1. In March 2009 the Council set the Council Tax and rent levels that supported the (net) expenditure levels for the General Fund and Housing Revenue Account. In addition, the available Capital resources were allocated to the various capital expenditure schemes.

2. Throughout the period April to June these various budgets have been enabling officers to progress work to support the Council's Corporate Aims in 2009/10.
3. This 3 month period is the first quarter of the financial year and is reported to Members.

General Fund

4. Through out the quarter period officers have been monitoring financial activity against the approved income and expenditure budgets.
5. The first 3 months activities of the Council has generated the following financial performance:

Description of Financial Performance	£'000
Payments to employees	2,744
Invoices paid	1,978
Fees and charges collected	(128)
Utility bills paid	82

6. The main variances in Quarter 1 to be reported to Members are listed below and detailed in Appendix 1:

Kissingate Leisure Centre - Due to the fire, income of £35,000 was accrued for in 2008/09. This was in respect of the insurance claim we were expecting for Business Interruption. The insurance company are now disputing this claim, and at this time it is unsure as to whether we will receive any of this income.

Planning Development, Planning Fees - The economic downturn is still affecting fees. No large planning developments, which bring in the higher revenue, are being undertaken.

Concessionary Fares - DCC are experiencing problems with receiving usage data from the bus operators. Therefore, as yet, DCC have not been able to invoice fully.

Superannuation backfunding - The budget has not been revised since the percentages changed from 10.38% to 7.80%. The budget will be revised for the 2009/10 Outturn.

7. The budgets reflect an anticipated pay award to employees of 1.75% from 1st April 2009. The various unions have not yet agreed a settlement of the pay award.
8. The budget also included for the first time the income associated with the charging for bulky waste removal. The budget expectation was for income of £27,000, the actual income collected is £8,000. Staffing levels / agency staff are being adjusted to reflect this reduction in work.

9. When the budget was set certain budgets had seen significant change due to the economic downturn. The performance of these budgets in the first quarter is as follows:

Planning Fees - The income is approximately 54% lower than what was originally budgeted for. Since the end of the quarter a larger application has been received that will improve the future budget variance to approximately 30% below budget. This will continued to be monitored and the Outturn budget may well be amended to reflect the decrease in income.

Land Charges Fees – Revisions to prices and additional marketing have seen the income for the quarter exceed the budget by approximately 10%.

BCN trading performance – This is accounted for by Chesterfield BC then charged to Bolsover DC at the year end. The income is currently 50% lower than expected. The actual net effect to Bolsover DC will not be known until the year-end, however, revised budget figures have been requested from Chesterfield BC.

Energy - Energy suppliers were changed at the beginning of this financial year as part of the Notts County Council contract. As yet we have received limited invoices but costs at this stage appear to be in line with budgets.

Restaurant – This is currently under review.

10. Overall, the General Fund is operating within its expected budget and variations in the first quarter will be monitored during the year.
11. Officers are currently involved in monitoring a number of items that may impact on the budget during the following 3 quarters:

Land Charges – The Information Commissioner's Office (ICO) has recently issued guidance relating to the treatment of property search data. The ICO's view is that the majority of property search data is environmental data and that local authorities should not be charging for this data. The total 2009/10 budgeted income for all land charges fees is £73,000. The local Government Association is currently challenging this guidance, and is seeking legal advice. Future reports will update Members.

Concessionary Travel costs – the revised cost share has recently been the subject of a further challenge by Chesterfield BC based on the latest Counsel option they sought. Derbyshire CC has indicated that they expect other Districts to pick up this share. This would impact on the 2008/09 accounts. Officers are reviewing this situation.

Local Authority Business Growth Incentive (LABGI) – the Council has just received the latest revision to the scheme and will update Members in future reports.

Housing Revenue Account (HRA)

12. As with the General Fund, the Housing Revenue Account's budgets have been subject to officers monitoring financial activity against the approved income and expenditure budgets.
13. The first 3 months activities if the Council has generated the following financial performance:

Description of Financial Performance	£'000
Payments to employees	671
Invoices paid	445
Rent collected	(3,726)
Fees and charges collected	(1)
Utility bills paid	76

14. The preparing of the Statement of Accounts identified that the budget in 2008/09 had overstated the income from rents. This error is reflected in the budgets for future years. The correction of this results in the following:

	£'000
Original Rent budget	(15,565)
Less:	
- Voids (omitted from the original budget)	311
- Garage rents (included twice)	170
- Garage Site Rents	25
Revised Total Rent budget	(15,059)

15. As a result of this change in income level a separate piece of work is underway to review the HRA budgets and the impact on the working balance going forward to 2011/12.
16. The reduction to the rent increase that the Government has been consulting on is currently at the following stage:

The rent increase percentage would drop from 7.37% to 3.42%
Average rent would drop from £58.00 to £56.15 per week, resulting in a total annual loss in rent of £520,630.
The subsidy payable would decrease by £506,560.
The net cost to the HRA would be £14,070

A report is being prepared for Council to consider this potential change.

17. Appendix 2 details other variances on the HRA. Repairs & Maintenance – Voids subcontractors is the most significant variance that officers are seeking to ensure appropriate controls are in place.
18. The HRA budgets also reflect an anticipated pay award to employees of 1.75% from 1st April 2009. The actual pay award has not yet been settled.
19. This is an update for members but a further report will be presented prior to the next quarter to address in more detail the impact on the HRA of the changes necessary due to the incorrect rent budget being set, revised working balances and the potential impact of equal pay claims.

Capital expenditure

20. The planning and procurement processes which need to be put in place before spend on capital budgets can begin means the expenditure for the first quarter of the financial year is usually low.
21. Expenditure is monitored on a monthly basis by an officer group. A capital programme monitoring report was produced for the meeting on 26th June which is attached to this report as Appendix 3. The main items for Members to be aware of are:

Capital expenditure of £443,019 was not fully spent in 2008/09 and will be carried forward into 2009/10 with the equivalent amount of funding. Appendix 3 does not show the slippage as this was approved at in the Outturn report to Council at the end of June. The Appendix therefore shows some schemes as temporarily without a budget.

In order to prepare the Statement of Accounts capital expenditure is maintained on an accruals basis. The report at Appendix 3 shows the reversals of the accruals and retentions as credits until sufficient expenditure is incurred to clear them to zero.

The external funding for schemes C145 and C157 had not been input as it needed to be allocated by the Creswell THI project officer.

Internal recharges between the HRA and the capital programme had not been done at 26th June which meant C109 and C116 show zero expenditure.

Vehicles are financed by operating lease and the budget amounts are only estimates of the capital cost of the vehicle.

Ashford Construction who built the Riverside Depot is in administration. As at 21st July we are holding a retention

amount of £66,048 and have not made any payments to the contractor since 10th June. The Depot and Resources Manager is taking steps to deal with outstanding defects.

22. Capital expenditure is funded from various sources including major repairs allowance, capital receipts, operating leases and private sector contributions. Capital receipts generated in the current financial year are used to fund future years' expenditure. In the first quarter capital receipts have been generated from the following sources:

Council house sales – two sales totalling £112,380
Other asset sales – various small sales totalling £4,775

23. The Council has a programme of asset sales. There have not been any changes to this in the first quarter.
24. Overall, the Capital Expenditure in the first quarter is within budget and will be monitored during the remaining periods of the financial year

Treasury Management

25. The Council has budgets associated with its investments and borrowing activities.
26. Investments during the period are summarised in the table below:

	£m
Opening balance	16,810
Investments made in the period	5,518
Investments maturing during the period	(5,210)
Closing Balance	17,118

27. The investments have been made in accordance with the Council's Treasury Management Strategy.
28. These investments have generated interest of £98,833. When compared to the budget this is over achieving slightly but it must be remembered that the levels of resources available for investment will fall as expenditure on the capital programme gets underway. The average rate of interest earned is 2.45% compared to the Bank of England base rate that has remained at 0.50% throughout the quarter. Throughout the first quarter we still held two investments with interest rates over 5.5%, this being the reason for such a favourable variation.
29. The Council's Public Works Loans Board debt has remained at £19.1m during the quarter.

30. Parish Council investments with the Council have increased by £121,034 making the balance £658,178.

31. The Council approves annually Prudential Indicators. At the first quarter end the only changes are:

The estimate of capital expenditure to be incurred for HRA and Non-HRA has increased due to the slippage of expenditure between years.

The capital financing requirement for HRA and Non-HRA has changed due to the temporary setting aside of capital receipts in 2008/09.

32. The Council remains a creditor for its investments in Landsbanki. The latest updates associated with this are:

Some of the other Icelandic banks have started to repay part of the investments councils hold with them

The next significant date for the meeting of the administrators / Local Government Association legal representatives will be after the summer recess.

Estimates of the levels of repayment have varied since the guidance was provided for the Statement of Accounts to be compiled. We await the next update which will be reflected in the Statement of Accounts at 30th September 2009.

Reserves

33. The table below show the reserves / balances of the Council as at 31st March 2009.

	Balance as at 31/03/09	Balance as at 31/03/08	Change in years
	£'000	£'000	£'000
General Reserve	(685)	(1,883)	1,198
Earmarked Reserves	(3,834)	(2,125)	(1,709)
Capital	(255)	(255)	0
Insurance	(156)	(135)	(21)
Total Reserves and Provisions	(4,930)	(4,398)	(532)

	Balance as at 31/03/09	Balance as at 31/03/08	Change in years
	£'000	£'000	£'000
General Fund Balance	(1,527)	(1,400)	(127)
HRA Balance	(647)	(980)	333

Risk Management

34. When the budget was approved it was accompanied by details of Revenue and Capital risks. These have been reviewed and updated for Members as part of the Quarterly report, see Appendices 4 and 5. There are no concerns that are not detailed in this report at this time.

Collection of Debts

35. The Council's main income streams are associated with Council Tax, Business Rates (National Non Domestic Rates), Housing Rents and Sundry Debtors.
36. Executive receive a monthly update from the Head of Housing for the current performance in recovering current tenant and former tenant arrears. In addition there are a number of performance indicators reported to the PPMG.
37. These main income streams are shown in the tables below. The first table shows the percentage of debt recovered that has been raised in this financial year. The Local Performance Indicators record the performance for PPMGs to consider.

Category of Debt	2009/10 Quarter 1	2008/09 Quarter 1	Variance
Debt raised for the year:			
Council Tax	32.3%	32.3%	0.0
Business Rates (NNDR)	32.0%	29.2%	+2.8%
Debt raised during the year			
Sundry Debts	82.6%	78.5%	+4.1%
Rents – current tenants	100.9%	90.9%	+9.94%

38. For each of these categories of debt there is also debt from previous years that was still to be collected at the year end. The performance in the quarter for the reduction in the debt is shown below.

Category of Debt / LPI	Arrears collected £'000	% collected	Target for the Quarter	Balance £'000
Council Tax (RS 6)	£226	17.7%	20.0%	£1,050
Business Rates (NNDR) (RS 7)	£183	30.6%	30.0%	£417
Sundry Debts (RS 5)	£540	54.5%	40.0%	£451

	Qtr end Balance £'000	Qtr 1 '08 Balance £'000	Change £'000
Rents			
– current tenants	£661	£768	(£107)
– former tenants	£521	No data available	N/A

Suspense accounts

39. Not all payments to the Council are clearly identifiable to the debt it should be associated with. To accommodate this, the Council has a number of suspense accounts. This quarter the balance on the General Ledger suspense accounts is £203.60.

Write-offs

40. The debts due to the Council are reviewed on a regular basis to ensure the balance collectable is achievable based on information gathered by the process of seeking to collect the various debts.
41. The Council manages is by delegation to the Director of Resources for those below £1,000 and by Executive approval for items over £1,000.
42. The write-offs during the quarter are shown below:

Category of Debt	Less than £1,000	Greater than £1,000
Council Tax	-£109.66	£5,144.25
Business Rates (NNDR)	£570.43	£51,171.96
Sundry Debts	£44.86	£15,689.13

Category of Debt	Less than £1,000	Greater than £1,000
Rents	£0	£0
Former Tenants' Arrears	£0	£0

Reconciliations

43. For the General Ledger to generate reliable financial information it is vital that it is reconciled to various IT and Revenue systems. This results in over 50 income and expenditure reconciliations being completed each month. These reconciliations have proven to be reliable for all systems and also vital to the preparation of the Council's year end Statement of Accounts.

Internal Audit

44. The Internal Audit Consortium reports on a quarterly basis to the Audit Committee on the work done during that period. The work done between April and June were reported to the June 29th meeting of the Committee.
45. During this period the Consortium was fully staffed with minimal levels of sickness.

Efficiencies

46. Efficiencies achieved in 2008/09 are reported against the performance indicator NI 179. The efficiency agenda in 2008/09 had migrated from cashable and non cashable Gershon saving to solely 3% cashable savings.
47. Guidance from the Treasury published at the beginning of July 2009 now dictates that the Council is not able to carry forward any cashable efficiencies from previous years.
48. The mid year estimate projected that the Council would achieve in year efficiencies of £330,000. These efficiencies, with the carry forward of approximately £170,000 gave a projected target of £500,000.
49. The end of year outturn for 2008/09 has been calculated and amounts to £709,000. The details associated with this calculation are shown in the table below.

Efficiency Details	£'000
General Fund Salary savings (from disestablished posts, reduced sickness, vacancy savings etc) net of extra costs on agency staff, overtime and services impacted upon by the downturn)	550
HRA Salary savings	19
Creswell Pool savings	5
Server virtualisation programme	19
Reduced Portable Appliance Testing	1
Changes to Letterhead printing	1
Changes in Sundry Debtor collection	6
Procurement	108
Total	709

50. For 2009/10 the Council has an efficiency log that is being maintained on a regular basis by SMT. Reports to Council will continue to identify cashable gains during the year.

Vacancy Saving

51. When the Council approved the budget in March 2009 for 2009/10 included within it was a budgeted saving of £355,000 from General Fund vacancies and £100,000 from the HRA, totalling £455,000 for the Council overall. The first quarter data cannot easily be split but overall vacancy savings (net of additional overtime and agency staff) shows a saving of just over £157,000. This would indicate the savings will be achieved.

IMPLICATIONS

Financial: Included within the report
 Legal: None
 Human Resources: None

RECOMMENDATION(S)

1. **That the first quarter performance on budgeted income and expenditure for the General Fund and Housing Revenue Account be noted.**
2. **That the first quarter review of the main areas covered by the Budget Risk Assessment be noted.**

3. That the report on the Treasury Management activities and Prudential Indicators be received.

REASON FOR DECISION TO BE GIVEN IN ACCORDANCE WITH THE CONSTITUTION

The Executive can evidence robust consideration of the details associated with the financial performance of the Council.

ATTACHMENTS: Y/N
FILE REFERENCE:
SOURCE DOCUMENT:

APPENDIX 1**GENERAL FUND - MAIN VARIANCES IN QUARTER 1 OF 2009/10**

	DESCRIPTION	BUDGET	ACTUAL	VARIANCE (Negative)	EXPLANATION
		£	£	£	
1	Planning Development – Planning Fees	(109,962)	(50,990)	(58,972)	The economic downturn is still affecting fees. No large planning developments, which bring in the higher revenue, are being undertaken.
2	Concessionary Fares	254,223	173,320	80,903	DCC are experiencing problems with receiving usage data from the bus operators. Therefore, as yet, DCC have not been able to invoice us fully.
3	Superannuation backfunding	260,436	78,862	181,574	The budget has not been revised since the percentages changed from 10.38% to 7.80%. The budget will be revised for the 2009/10 Outturn.
4	Kissingate LC – Insurance Income	0	105,805	(105,805)	The 2008/09 accounts accrued for the income expected from the insurance claim due to the fire. At least £35,000 of this income is in dispute with the insurers.
5	Creswell LC – Revenue Grants	(10,950)	(67,974)	57,024	DCMS have increased their original grant allocation for free swimming for over 60s and under 16s. The 2009/10 Outturn budget will be increased to reflect this.

	DESCRIPTION	BUDGET	ACTUAL	VARIANCE (Negative)	EXPLANATION
		£	£	£	
6	Street Cleansing - Salaries	80,547	43,628	36,919	The Street Cleansing staff are paid via the monthly manual payroll run, which is always a month in arrears. The department is also currently carrying three vacancies. Some additional agency expenditure has been incurred with £13,000 spent against £9,000 budget for the quarter.
7	Grounds Maintenance - Salaries	110,285	70,840	39,445	The Grounds Maintenance staff are paid via the monthly manual payroll run, which is always a month in arrears. The department is also currently carrying two vacancies. Some additional agency expenditure has been incurred with £13,000 spent against £12,000 budget for the quarter.
8	ICT – Software Maintenance / Rental	55,356	188,695	(137,734)	All software contracts are paid annually, and most are paid at the beginning of the financial year. The contract prices increase annually and the budget is amended each year to reflect this. It appears at this point in time that the actual costs may exceed the current budget. A full review of all contracts will be undertaken.

APPENDIX 2**HOUSING REVENUE ACCOUNT - MAIN VARIANCES IN QUARTER 1 OF 2009/10**

	DESCRIPTION	BUDGET £	ACTUAL £	VARIANCE £	EXPLANATION
1	Supervision & Management - Rents	1,377	22,125	(20,748)	£20,000 in respect of the surrender of the Dunholme lease, which was not originally budgeted for.
2	Special Services - Electricity	20,886	12,485	8,401	All of the invoices have not yet been posted to the ledger but it would appear that there was an over accrual of £5,000 in the 2008/09 final accounts.
3	Repairs & Maintenance – Voids subcontractors	47,286	94,633	(47,347)	The current spend level has been highlighted to the Head of Housing to ensure that any necessary corrective action can be taken to avoid any potential overspending. A portion of this may relate to capital work.
4	Supporting People - Lifelines	10,008	95	9,913	There should be no problem with the budget. The contract is usually paid in June.
5	Special Services - Gas	89,910	48,171	41,739	There are only two months invoices posted to the ledger, and the winter months' invoices are substantially higher than the summer months. At this point there is nothing to indicate that there will be a problem with the budget.

APPENDIX 3

CAPITAL PROGRAMME MONITORING REPORT – AS AT 25TH JUNE 2009

Description		Project	Original	Changes	Latest	Spend to	Under/ (Over) Spend	Comments
		Officer	Budget		Budget	Date		
			£	£	£	£	£	
<u>Environmental Services</u>								
C020	Disabled Facility Grants (Mandatory)	JS/SB	579,000.00		579,000.00	85,649.24	493,350.76	
C023	Whaley Thorns Group Repair	JS/SB	100,000.00		100,000.00	(17,724.97)	117,724.97	Accrual/retention from 08/09
C024	New Terrace Pleasley	JS/SB	50,000.00		50,000.00	969.00	49,031.00	
C025	Whaley Thorns Environmental Imps	JS/SB	0.00		0.00	1,595.00	(1,595.00)	Slippage not yet input
C026	Shirebrook Renewal Area	JS/SB	0.00		0.00	(710.94)	710.94	Accrual/retention from 08/09
C027	Shirebrook Group Repair	JS/SB	200,000.00		200,000.00	15,656.00	184,344.00	
C028	Carr Vale Environmental Improvements	JS/SB	25,000.00		25,000.00	0.00	25,000.00	
C029	Carr Vale Group Repair	JS/SB	125,000.00		125,000.00	29,502.23	95,497.77	
C030	Creswell Model Village Improvement Grants	JS/SB	25,000.00		25,000.00	918.00	24,082.00	
C032	Byron Street Shirebrook	JS/SB	34,691.00		34,691.00	(2,937.57)	37,628.57	Accrual/retention from 08/09
C034	Church Drive Energy Project	JS/SB	0.00		0.00	(9,578.80)	9,578.80	Accrual/retention from 08/09
C035	New Houghton Renewal Area	JS/SB	700,000.00		700,000.00	182,212.24	517,787.76	
C038	Station Road Shirebrook	JS/SB	450,000.00		450,000.00	127,523.19	322,476.81	
C187	Private Sector Decent Homes	JS/SB	300,000.00		300,000.00	42,498.98	257,501.02	

Description	Project	Original	Changes	Latest	Spend to	Under/	Comments
		Officer	Budget	Budget	Date	(Over)	
			£	£	£	£	
<u>Housing Services</u>							
C092	Disabled Adaptations	PC	384,022.00		384,022.00	26,120.00	357,902.00
C097	Repair Inspector (MRA programme)	PC	40,000.00		40,000.00	6,164.35	33,835.65
C099	Window Replacement General	CS	10,000.00		10,000.00	9,616.15	383.85
C100	Electrical Rewiring	CS/PH	700,000.00		700,000.00	162,206.21	537,793.79
C103	Electrical Relets	PC/PH	200,000.00		200,000.00	53,459.73	146,540.27
C104	Roof Tile Vents	CS	0.00		0.00	(5,072.69)	5,072.69 Accrual/retention from 08/09
C105	Smoke Detection in Group Dwellings	PC	55,000.00		55,000.00	0.00	55,000.00
C107	Cavity Wall and Loft Insulation	CS	160,000.00		160,000.00	48,778.46	111,221.54
C109	Heating Relets	PC	106,673.00		106,673.00	0.00	106,673.00
C113	External Door Replacements	DE	135,000.00		135,000.00	14,232.43	120,767.57
C114	Heating Upgrades	MB	100,000.00		100,000.00	(19,942.11)	119,942.11 Accrual/retention from 08/09
C115	Environmental Works	PC	70,000.00		70,000.00	0.00	70,000.00
C116	Major Relet Repairs	PC	576,033.00		576,033.00	0.00	576,033.00
C117	Decent Homes Standard	DE	263,847.00		263,847.00	36,801.00	227,046.00
C118	Kitchen Replacements - Decent Homes	CS	1,050,000.00		1,050,000.00	16,432.76	1,033,567.24
C120	Improvements towards tenants' aspirations	DE	0.00		0.00	(5,667.50)	5,667.50 Accrual/retention from 08/09
C141	DLG Schemes	DE	0.00		0.00	(16.39)	16.39 Accrual/retention from 08/09

Description	Project	Original	Changes	Latest	Spend to	Under/	Comments	
		Officer	Budget		Budget	Date		(Over) Spend
		£	£	£	£	£		
C165	Main St Car Park Ph4	DE	0.00		0.00	(1,040.96)	1,040.96	Accrual/retention from 08/09
C168	DLG Pleasley Mills	DE	0.00		0.00	(4,035.00)	4,035.00	Accrual/retention from 08/09
C172	Pump Priming - Deferred Charge	DE	0.00		0.00	1,699.00	(1,699.00)	Slippage not yet input
C173	Northern Housing Market Needs Survey	PC	0.00		0.00	187.50	(187.50)	Slippage not yet input
C184	Choice Based Lettings IT Equipment	PC	42,674.00		42,674.00	0.00	42,674.00	
<u>Leisure Services</u>								
C102	DCMS Creswell LC Capital Grant	LH	0.00		0.00	8,720.59	(8,720.59)	Slippage not yet input
C126	Clune Street Recreation Ground	LH	85,000.00		85,000.00	117.00	84,883.00	
C129	Green Space Strategy + Green Flag Park	LH	0.00	13,340.00	13,340.00	5,769.05	7,570.95	
C130	Bolsover Improving Play Pitches Initiative	LH	0.00		0.00	1,397.15	(1,397.15)	Slippage not yet input
C131	Clowne Youth Focused Play Area	LH	0.00		0.00	1,022.00	(1,022.00)	Slippage not yet input
C132	Playful Spaces	MC	150,000.00		150,000.00	17,253.90	132,746.10	
C135	Houfton Road Park, Bolsover	MC	0.00		0.00	908.00	(908.00)	Slippage not yet input
C138	P Vale Outdoor Education Centre Ph 2	LH	0.00		0.00	92,450.00	(92,450.00)	Slippage not yet input
<u>Planning Services</u>								
C145	Creswell Schools	CM	0.00		0.00	286,484.48	(286,484.48)	Budget to be allocated by Creswell THI
C153	Creswell Properties Phase 2	CM	0.00		0.00	(77,282.56)	77,282.56	Accrual/retention from 08/09

	Description	Project	Original	Changes	Latest	Spend to	Under/ (Over) Spend	Comments
		Officer	Budget		Budget	Date		
			£	£	£	£	£	
C154	Creswell Former Co-op Store	CM	24,845.00		24,845.00	0.00	24,845.00	C154
C157	Creswell MV Villas	CM	0.00		0.00	46,511.01	(46,511.01)	Budget to be allocated by Creswell THI
C159	Creswell Elmton Road Project	CM	96,935.00		96,935.00	0.00	96,935.00	
<u>Regeneration</u>								
C095	AMP - Riverside Depot	GG	40,000.00		40,000.00	0.00	40,000.00	
C096	Clowne Incubation Centre - 2 Station Rd	HD/MB	0.00		0.00	(7,890.35)	7,890.35	Accrual/retention from 08/09
C111	Pleasley Vale Creative Industries	MB	0.00		0.00	(11,252.88)	11,252.88	Accrual/retention from 08/09
C147	AMP - Engineers	GG	120,000.00		120,000.00	52,159.40	67,840.60	
C148	AMP - Sherwood Lodge	DE/TR	182,835.00		182,835.00	105,578.66	77,256.34	
C149	AMP - PV Lodges	GG	238,195.00		238,195.00	9,511.00	228,684.00	
C150	AMP - Community Houses	GG	20,370.00		20,370.00	0.00	20,370.00	
C166	Shirebrook Business Realm Improvements	MBr	0.00		0.00	1,104.72	(1,104.72)	Slippage not yet input
C167	Shirebrook Station House	MBr	0.00	20,000.00	20,000.00	16,724.48	3,275.52	
C169	Street Services Depot Relocation	DE/MB	1,195,450.00		1,195,450.00	570,214.58	625,235.42	
C174	S/Normanton + Pinxton Master plan	MBr	58,150.00		58,150.00	10,055.00	48,095.00	
C176	AMP - Leisure Buildings	GG	120,180.00		120,180.00	3,633.00	116,547.00	
C183	Fees - Regen Mgmt + Admin	FIN	339,780.00		339,780.00	84,945.00	254,835.00	
<u>Street Services</u>								
C006	Tractor (market FL51 LXF)	AL	12,000.00		12,000.00	0.00	12,000.00	

	Description	Project	Original	Changes	Latest	Spend to	Under/ (Over) Spend	Comments
		Officer	Budget		Budget	Date		
			£	£	£	£	£	
C008	4 Cars (wardens YT52 EAA MOU MMF EAJ)	AL	40,000.00		40,000.00	0.00	40,000.00	
C009	Van (R+M YR52 UTU)	AL	18,000.00		18,000.00	15,578.00	2,422.00	
C010	Van (R+M YR52 UTV)	AL	18,000.00		18,000.00	15,578.00	2,422.00	
C011	Van (R+M YR52 UTW)	AL	18,000.00		18,000.00	19,934.00	(1,934.00)	Financed by lease – estimate only of vehicle cost
C039	Van (GM) FD54 ZLK	AL	18,000.00		18,000.00	19,144.25	(1,144.25)	Financed by lease – estimate only of vehicle cost
C041	Van (GM) FD54 ZDC	AL	18,000.00		18,000.00	19,144.25	(1,144.25)	Financed by lease – estimate only of vehicle cost
C042	Van (GM) FD54 ZKC	AL	18,000.00		18,000.00	19,144.25	(1,144.25)	Financed by lease – estimate only of vehicle cost
C043	Pick Up (Garage) FG54 HVX	AL	14,000.00		14,000.00	12,205.00	1,795.00	
C044	Van (Drains) FD54 ZKW	AL	20,000.00		20,000.00	20,505.00	(505.00)	Financed by lease – estimate only of vehicle cost
C059	8 x Hedge cutters	AL	4,000.00		4,000.00	2,392.00	1,608.00	
C068	Refuse Vehicle (YR02 RDO)	AL	140,000.00		140,000.00	0.00	140,000.00	
C080	8 Hedge cutters	AL	4,000.00		4,000.00	0.00	4,000.00	
C081	10 Strimmers	AL	5,000.00		5,000.00	4,250.00	750.00	
C089	Van (R+M YR52 UTT)	AL	18,000.00		18,000.00	15,578.00	2,422.00	
			<u>9,518,680</u>	<u>33,340</u>	<u>9,552,020</u>	<u>2,177,081</u>	<u>7,374,939</u>	

REVENUE RISK ASSESSMENT UPDATE FOR QUARTER 1 OF 2009/10

NO.	BUDGET ITEM	RISK	IMPACT	ACTIONS REQUIRED	FIRST QUARTER PROGRESS
1.	Pay Awards	Settlement for 2008/09 increased at arbitration and future settlements exceed the percentage increase provided for in the budget.	Additional cost for the Council.	Prudent budget estimates and regular budget monitoring to determine overall financial position.	Pay award not yet settled. Continue to monitor progress.
2.	Pay and Grading Review	The costs associated with the Pay and Grading Review appeals, equality audit and any resulting equal pay claims cannot be met from within existing resources	Additional cost for the Council.	Ensure the financial implications reports reflect all options to contain costs within acceptable budget limits and that the settlement of Equal Pay Claims are fully considered and monitored.	Appeals have been ongoing during the quarter and will be ongoing in the second quarter. The equal pay audit is scheduled for the summer / autumn period.

NO.	BUDGET ITEM	RISK	IMPACT	ACTIONS REQUIRED	FIRST QUARTER PROGRESS
3.	Fuel Costs	The increases in Gas and Electricity exceed the budget provision.	Additional cost for the Council.	Regular budget monitoring and maintenance of adequate reserves and working balance levels to deal with any major fluctuations. In addition seek to progress energy reduction schemes linked to climate change.	No significant cost increased notified to the Council. The recent approval of the Climate Change Strategy will seek to reduce future costs.
4.	Investment Income	Available cashflow surpluses are lower than anticipated and/or lower than expected interest rates.	Reduction in the level of income earned on investments	Monitor the average rate of interest received and changes to levels of balances. Liaise with Treasury Management Consultants to ensure the maximum potential is being realised from investment activities.	Current results are good. Changes have been approved to the Treasury Management Counterparties list to ensure the Council can maintain secure investments.
5.	Income from Fees and Charges	Reduction in the number of users/applications.	Shortfall in the amount of anticipated income	Regular budget monitoring, which must identify any primary reasons for reductions.	Monitoring continuing.

NO.	BUDGET ITEM	RISK	IMPACT	ACTIONS REQUIRED	FIRST QUARTER PROGRESS
6.	Pleasley Vale Mills	Loss of key tenants and/or rise in repairs and maintenance costs.	Either of these factors will have an adverse effect on the Council's budget.	Regular monitoring and liaison with the Management Company. Also need to progress options for sale of the Mills.	No changes currently impacting on this.
7.	Concessionary Fares	The financial implications of an appeal lodged by key Bus Operators are higher than anticipated.	The costs of the national scheme exceed the budget provision.	Monitor the outcome of the appeal and continue to liaise with the Department for Transport and the Local Government association regarding the cost to the Council.	No change in operator appeals but the report details potential cost increases if the sharing of cost based on usage were to change.
8.	Housing Benefits and Subsidy	An increase in the level of Benefit Overpayments,	Lower than expected levels of Subsidy Grant income.	Full Subsidy is only payable on correctly paid benefits; therefore there is a need to monitor the levels and recovery of benefit overpayments.	Continued monitoring is in place.
9.	Council Tax and NNDR Income	Failure to achieve collection rate targets.	Adverse effect on the Council's overall cashflow position and collection fund.	Monitor monthly and evaluate the effectiveness of recovery procedures compared with other Council's in Derbyshire.	Current levels of recovery are exceeding targets.

NO.	BUDGET ITEM	RISK	IMPACT	ACTIONS REQUIRED	FIRST QUARTER PROGRESS
10.	Supporting People	The Council may receive a lower than expected contribution from the central fund, administered by Derbyshire County Council.	Any shortfall between the actual costs incurred in the Supporting People scheme and the contribution received will have to be met by the Council. Charging policy may have to be reviewed.	Liaise closely with the Supporting People Team and monitor costs. Tenant consultation to take place prior to charging.	No changes currently being considered.
11.	HRA Rent Income	Higher than anticipated void property levels or right to buy sales.	Either of these options will reduce the levels of Rent Income.	Regular budget monitoring and review the procedures to manage void properties.	The arrangements for the management of voids is being reviewed and enhancements are planned.
12.	Housing Rent Arrears	Little or no improvement in the collection of arrears.	Adverse effect on the Council's overall cashflow position.	Monitor monthly and evaluate the effectiveness of recovery procedures.	Monitoring enhanced to include Former Tenants Arrears. Developments to the process will be reported to Members.

NO.	BUDGET ITEM	RISK	IMPACT	ACTIONS REQUIRED	FIRST QUARTER PROGRESS
13.	Efficiency Gains	Efficiency targets cannot be met.	If the efficiency targets are not achieved, this will require a reduction in the current working balance levels in order to maintain a balanced budget. Consistent failure to meet targets could lead to Government intervention.	Develop a Savings Strategy and monitor progress against target on a quarterly basis.	Significant progress has been made on Mobile working / Stores. The second quarter will include significant staffing reports. Monthly monitoring remains in place.
14.	Vacancy Factor	Vacancy Factor cannot be met.	If the Vacancy Factor is not achieved, this will require a reduction in the current working balance levels in order to maintain a balanced budget.	Monitor progress against target on a monthly basis. If this is underachieving options include increasing the recruitment drag, introduce a moratorium on filling vacancies and review service levels.	Vacancies in 2008/09 exceeded levels used in 2009/10 budget. Continued monitoring is in place.

NO.	BUDGET ITEM	RISK	IMPACT	ACTIONS REQUIRED	FIRST QUARTER PROGRESS
15.	Investment risk	Investments not repaid on maturity due to current economic climate.	Investment and associated interest not repaid. Future year costs to account for the loss in value of the asset.	Take advice from the Council's Treasury management advisors. Reduce the counterparty maximum limit, spread investments to secure organisations, look to maximise investments with Government investment schemes and Government backed institutions.	The Treasury management advisors have recently visited the Council to discuss the current portfolio of investments and future plans. No concerns have been raised.

CAPITAL RISK ASSESSMENT UPDATE FOR QUARTER 1 OF 2009/10

NO.	BUDGET ITEM	RISK	IMPACT	ACTIONS REQUIRED	FIRST QUARTER PROGRESS
1.	External Funding	Loss of anticipated external funding to support Capital Projects.	A funding shortfall would occur which may jeopardise the delivery of the project.	Ensure all external funding is secured before project work commences.	Only expenditure on secured schemes is approved.
2.	Capital Expenditure	Increase in the expected level of financial commitment required to deliver the project.	Potentially this could mean additional cost for the Council.	Monitor expenditure and outcomes on a regular basis, and if necessary, explore avenues for additional external funding.	Not currently known to be an issue.
3.	Capital Receipts	Lower than anticipated Capital Receipts available to finance the Capital Programme.	Anticipated funding would not be available to support certain Capital projects.	Monitor income and trends in numbers and values of sales.	As anticipated asset sales are low – continuing to monitor.

NO.	BUDGET ITEM	RISK	IMPACT	ACTIONS REQUIRED	FIRST QUARTER PROGRESS
4.	Prudential Borrowing	Borrowing costs will cause pressure on the Revenue Budgets.	Revenue Budget developments may be compromised as a result of financing borrowing costs associated with Capital projects.	Monitor the relationship between debt charges and investment income. Ensure Prudential Indicators are also monitored and that the financial implications of any project are fully evaluated.	No new prudential borrowing undertaken.
5.	Capital expenditure	Contractor failure	Work not completed, delays in finishing, potential for higher cost.	Financial vetting of potential suppliers should take into account the current financial climate. Contract securities appropriate to the contract should be sought.	Contractor failure occurred on the Depot project. Main contract works already completed with defects being dealt with internally. Retention held.

Committee:	Executive	Agenda Item No.:	10.
Date:	10 th August 2009	Status	Open
Category	3. Part of the Budget and Policy Framework		
Subject:	Arrears – Irrecoverable Items over £1000		
Report by:	Head of Revenue Services		
Other Officers Involved			
Director	Director of Resources		
Relevant Portfolio Holder	Social Inclusion		

RELEVANT CORPORATE AIMS

STRATEGIC ORGANISATIONAL DEVELOPMENT – Continually improving our organisation.

To maintain sound Financial Management and continue to seek efficiency savings. As part of sound financial management it is necessary to recognise and deal with money owed where no further effective steps can be taken for recovery. This also goes to providing efficient Council services.

TARGETS

Does not apply to this report.

VALUE FOR MONEY

Ensuring that the limited resources are concentrated on recovery of debt that is collectable. Under current Council guidance, it has been considered not cost-effective to spend more money on outside agencies to take further action.

THE REPORT

IRRECOVERABLE ITEMS

Executive is requested to approve the write off of the under-mentioned irrecoverable items including costs amounting to £36,339.83 as itemised on the attached schedules.

Bankruptcy/ Liquidation		
No of Accounts	Type of Account	
9	Council Tax	£6,427.29
6	Business Rates	£17,555.75
	Total	£23,983.04

No Trace		
No of Accounts	Type of Account	
2	Council Tax	£3,027.20
2	Business Rates	£9,329.59
	Total	£12,356.79

Where debtors leave the property without forwarding addresses extensive efforts are made to trace them. In addition to departmental checks, statutory undertakers and other agencies are contacted, enquiries are made of neighbours and family or employers where known. Where it is known that a person has moved to another area contact is made with the relevant local authority to alert them and request reciprocal information.

ISSUES/OPTIONS FOR CONSIDERATION

Writing off the outstanding debts in respect of persons unable to trace/ bankrupt or companies in liquidation.

IMPLICATIONS

Financial: None

Legal: None

Human Resources: None

RECOMMENDATION

That approval is given to write off the irrecoverable items including costs amounting to £36,339.83 with the proviso that should any of the debts become collectable the amounts be re-debited.

REASON FOR DECISION TO BE GIVEN IN ACCORDANCE WITH THE CONSTITUTION

In order that outstanding debts can be written off.

ATTACHMENTS:

Y

SOURCE DOCUMENT: Official Receiver/ Internal records.

COUNCIL TAX: AMOUNTS FOR WRITE OFF: BANKRUPTCY/ LIQUIDATION

	<u>Account Reference</u>	<u>Lead Liabile Name</u>	<u>Address</u>	<u>Account Balance</u>	<u>Liabile From</u>	<u>Liabile To</u>	<u>Bill Balance</u>
1	901097783	MCDONALD,MR KEVIN	26 MOORFIELD AVENUE BOLSOVER S44 6EJ	£ 2,158.37	01/04/2006 01/04/2007 01/04/2008	01/04/2007 01/04/2008 08/09/2008	£852.05 £935.96 £370.36
2	901280713	BEDWORTH DEVELOPMENTS LTD	1 THE CROFT, SHIREBROOK	£ 148.97	18/03/2009 01/04/2009	01/04/2009 22/05/2009	£ 64.33 £ 84.64
3	901280731	BEDWORTH DEVELOPMENTS LTD	3 THE CROFT, SHIREBROOK	£ 148.97	18/03/2009 01/04/2009	01/04/2009 22/05/2009	£ 64.33 £ 84.64
4	901280740	BEDWORTH DEVELOPMENTS LTD	4 THE CROFT, SHIREBROOK	£ 148.97	18/03/2009 01/04/2009	01/04/2009 22/05/2009	£ 64.33 £ 84.64
5	90128075X	BEDWORTH DEVELOPMENTS LTD	5 THE CROFT, SHIREBROOK	£ 148.97	18/03/2009 01/04/2009	01/04/2009 22/05/2009	£ 64.33 £ 84.64
6	901280769	BEDWORTH DEVELOPMENTS LTD	6 THE CROFT, SHIREBROOK	£ 148.97	18/03/2009 01/04/2009	01/04/2009 22/05/2009	£ 64.33 £ 84.64
7	901280778	BEDWORTH DEVELOPMENTS LTD	10 THE CROFT, SHIREBROOK	£ 148.97	18/03/2009 01/04/2009	01/04/2009 22/05/2009	£ 64.33 £ 84.64
8	901302283	BEDWORTH DEVELOPMENTS LTD	2 THE CROFT, SHIREBROOK	£ 437.67	18/09/2008 01/04/2009	01/04/2009 24/06/2009	£353.03 £ 84.64
9	900998030	HAYES,MISS KENDAL	7 BLACKCLIFFE FIELD CLOSE WHITWELL S80 4NY	£ 2,937.43	01/04/2003 01/04/2005 01/04/2006 01/04/2007 01/04/2008 01/04/2009	01/04/2004 01/04/2006 01/04/2007 01/04/2008 01/04/2009 01/04/2010	£ 60.27 £314.92 £615.41 £305.54 £807.30 £833.99
				£ 6,427.29			

BUSINESS RATES: AMOUNTS FOR WRITE OFF: BANKRUPTCY/ LIQUIDATION

<u>Account Reference</u>	<u>Lead Liabile Name</u>	<u>Address</u>	<u>Account Balance</u>	<u>Liabile From</u>	<u>Liabile To</u>	<u>Bill Balance</u>
1 800146570	WILMAT CONSTRUCTION	23B GANDER LANE BARLBOROUGH	£ 6,717.65	01/04/2006 01/04/2007	01/04/2007 01/04/2008	£2,480.59 £4,237.06
2 800144954	BEDWORTH DEVELOPMENTS LTD	2 THE CROFT SHIREBROOK	£ 1,139.94	01/06/2008	18/09/2008	£1,139.94
3 800131164	MS JACKIE BRADBURY	ELM TREE INN ELMTON	£ 5,125.31	01/04/2007 01/04/2008	01/04/2008 16/09/2008	£ 656.57 £4,468.74
4 800123088	OCEANS SALONS LTD	15 ASH CLOSE BARLBOROUGH	£ 1,785.58	01/04/2008 01/04/2009	01/04/2009 14/05/2009	£1,376.00 £ 409.58
5 800143636	JSS POTATOES UK LTD	11 REDBRIDGE CLOSE SHIREBROOK	£ 1,451.01	01/04/2009	27/05/2009	£1,451.01
6 800145510	BRITANNIA ENV & PROP MAINT	UNIT 12 HIGH ASH FARM CLOWNE	£ 1,336.26	01/04/2008	01/02/2009	
			<u>£ 17,555.75</u>			

COUNCIL TAX: AMOUNTS FOR WRITE OFF: NO TRACE

	<u>Account Reference</u>	<u>Lead Liabile Name</u>	<u>Address</u>		<u>Account Balance</u>	<u>Liabile From</u>	<u>Liabile To</u>	<u>Bill Balance</u>
1	901142176	JARVIS,MR JULIAN	3 TRANSVAAL TERRACE PALTERTON S44 6UL	£	1,152.16	07/05/2005 01/04/2006	01/04/2006 31/03/2007	£629.23 £522.93
2	900733700	BAYLISS,MR MELVYN	71 MAIN STREET SHIREBROOK NG20 8DD	£	1,875.04	06/03/2006 01/04/2006 01/04/2007 01/04/2008	01/04/2006 01/04/2007 01/04/2008 04/06/2008	£ 18.91 £724.46 £916.67 £215.00
					£	3,027.20		

BUSINESS RATES: AMOUNTS FOR WRITE OFF: NO TRACE

<u>Account Reference</u>	<u>Lead Liabe Name</u>	<u>Address</u>	<u>Account Balance</u>	<u>Liabe From</u>	<u>Liabe To</u>	<u>Bill Balance</u>
1 800143814	TRIPLE EXTREME BODY	7 EREWASH ROAD BROOKHILL INDUSTRIAL EST PINXTON	£ 5,287.68	11/11/2007 01/04/2008	01/04/2008 15/12/2008	£1,858.75 £3,428.93
2 800136054	MR LUKE GRIFFITHS	THE WHITE LION 128 MARKET STREET SOUTH NORMANTON	£ 4,041.91	11/06/2007	19/12/2007	£4,041.91
			<u>£ 9,329.59</u>			

AGENDA

Monday 10th August 2009 at 1000 hours

Item No.		Page No.(s)
	PART 1 – OPEN ITEMS	
1.	To receive apologies for absence, if any.	
2.	To note any urgent items of business which the Chairman has consented to being considered under the provisions of Section 100(B) 4 (b) of the Local Government Act 1972.	
3.	Members should declare the existence and nature of any personal and prejudicial interests in respect of: a) any business on the agenda b) any urgent additional items to be considered c) any matters arising out of those items and if appropriate, withdraw from the meeting at the relevant time.	3
4.	To approve the minutes of a meeting held on 13 th July, 2009	4 to 14
5.	Recommended Item from Scrutiny Committee held on 14 th July, 2009 – Minute No. 159 – Risk Management Recommendation on page 16	15 to 42
6.	Rent Arrears – Verbal Update	Verbal Report
7.	Annual Review from the Local Government Ombudsman	43 to 54
8.	Compliments, Comments, Complaints and Freedom of Information Requests	55 to 78
9.	Financial Management Performance – Quarter 1 in 2009/10	79 to 106
10.	Arrears – Irrecoverable Items over £1000	107 to 112
	PART 2 – EXEMPT ITEMS <i>The Local Government (Access to Information) Act 1985, Local Government Act 1972, Part 1, Schedule 12a</i>	
11.	Exempt Paragraph 3 Arrears – Irrecoverable Items over £1000	113 to 116

12.	Exempt Paragraph 3 Arrears Irrecoverable Items	117 to 126
13.	Exempt Paragraph 3 Discretionary Rate Relief	127 to 135
14.	Exempt – Paragraphs 4 and 5 Shirebrook Enterprise Centre	136 to 139
15.	Exempt Paragraph 3 Best Value of the Staff Restaurant	140 to 151
16.	Exempt Paragraph 3 Tender Opening - Shirebrook Group Repairs	152
17.	Exempt Paragraph 3 Tender Opening – Carr Vale Group Repairs	153
18.	Exempt Paragraph 3 Tender Opening – Demolition of 1, 3, 5, 7 Station Road, Shirebrook	154
19.	Exempt Paragraph 3 Tender Opening – For the Provision of Cleaning Services at Pleasley Vale Mills	155