

The Arc
High Street
Clowne
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To: Chair & Members of the Executive

Friday 21st October 2022

Contact: Alison Bluff
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Dear Councillor

EXECUTIVE

You are hereby summoned to attend a meeting of the Executive of the Bolsover District Council to be held in the Council Chamber, The Arc, Clowne on Monday 31st October 2022 at 10:00 hours.

Register of Members' Interests - Members are reminded that a Member must within 28 days of becoming aware of any changes to their Disclosable Pecuniary Interests provide written notification to the Authority's Monitoring Officer.

You will find the contents of the agenda itemised on page 3 onwards.

Yours faithfully



Solicitor to the Council & Monitoring Officer

Equalities Statement

Bolsover District Council is committed to equalities as an employer and when delivering the services it provides to all sections of the community.

The Council believes that no person should be treated unfairly and is committed to eliminating all forms of discrimination, advancing equality and fostering good relations between all groups in society.

Access for All statement

You can request this document or information in another format such as large print or **language** or contact us by:

- **Phone:** [01246 242424](tel:01246242424)
- **Email:** enquiries@bolsover.gov.uk
- **BSL Video Call:** A three-way video call with us and a BSL interpreter. It is free to call Bolsover District Council with Sign Solutions, you just need WiFi or mobile data to make the video call, or call into one of our Contact Centres.
- Call with [Relay UK](#) - a free phone service provided by BT for anyone who has difficulty hearing or speaking. It's a way to have a real-time conversation with us by text.
- **Visiting** one of our [offices](#) at Clowne, Bolsover, Shirebrook and South Normanton

EXECUTIVE

AGENDA

Monday 31st October 2022 at 10:00 hours taking place in the Council Chamber, The Arc, Clowne

Item No.		Page No.(s)
1.	Apologies For Absence	
2.	Urgent Items of Business	
	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.	Declarations of Interest	
	Members should declare the existence and nature of any Disclosable Pecuniary Interest and Non Statutory Interest as defined by the Members' Code of Conduct 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.	
4.	Minutes	5 - 12
	To consider the minutes of the last meeting held on 3 rd October 2022	
	<u>NON KEY DECISIONS</u>	
5.	Creation of a local nature recovery champion, and appointment.	13 - 16
6.	Risk Management Strategy	17 - 56
	<u>BUDGET & POLICY FRAMEWORK ITEMS</u>	
7.	Budget Monitoring Quarter 2 - 2022/23	57 - 80
	<u>KEY DECISION</u>	
8.	Safe and Warm Upgrade at Jubilee Court, Pinxton	81 – 83

9. Exclusion of the public

To move:-

“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 Part 1 of Schedule 12A of the Act and it is not in the public interest for that to be revealed.” [The category of exempt information is stated after each item].

PART 2 - EXEMPT ITEMS

NON KEY DECISION

BUDGET & POLICY FRAMEWORK ITEMS

- | | | |
|------------|--|----------------|
| 10. | Management of Corporate Debt - Write Off of Outstanding Amounts
Exempt Paragraphs 1 & 3 | 84 - 89 |
|------------|--|----------------|

KEY DECISIONS

- | | | |
|------------|---|------------------|
| 11. | Outcome of Call-In of Decision EX41-22/23 - Future Skills Hub
Exempt Paragraph 3 | 90 - 118 |
| 12. | Potential Lease of a Commercial Property
Exempt Paragraph 3 | 119 - 141 |

EXECUTIVE

Minutes of a meeting of the Executive of the Bolsover District Council held in the Council Chamber, The Arc, Clowne, on Monday 3rd October 2022, at 1000 hours.

PRESENT:-

Members:-

Councillor Steve Fritchley in the Chair

Councillors Mary Dooley, Sandra Peake, Duncan McGregor, Clive Moesby, Liz Smyth and Deborah Watson.

Officers:- Karen Hanson (Executive Director Resources), Grant Galloway (Executive Director Strategy and Development), Pam Brown (Assistant Director Leader's Executive, Partnerships, Governance and Communications), Jim Fieldsend (Monitoring Officer), Theresa Fletcher (Treasurer), Ian Barber (Assistant Director Property Services and Housing Repairs), and Alison Bluff (Acting Governance and Civic Manager).

Also in attendance at the meeting for Minute Number EX48-22/23 only was Councillor Jen Wilson and Joanne Wilson (Scrutiny and Elections Officer).

EX44-22/23. APOLOGIES

Apologies for absence were received on behalf of Councillors David Downes and Tom Kirkham.

EX45-22/23. URGENT ITEMS OF BUSINESS

The Chair advised the meeting of an urgent item of business to be considered which would be discussed in exempt business as the last item on the agenda.

EX46-22/23. DECLARATIONS OF INTEREST

There were no declarations of interest made.

EX47-22/23. MINUTES – 5TH SEPTEMBER 2022

Moved by Councillor Steve Fritchley and seconded by Councillor Duncan McGregor **RESOLVED** that Minute Numbers EX35-22/23 to EX42-22/23 of the Minutes of the Executive meeting held on 5th September 2022, be approved as a correct record.

Moved by Councillor Duncan McGregor and seconded by Councillor Clive Moesby **RESOLVED** that Minute Number EX43-22/23 be approved as a correct record.

EXECUTIVE

EX48-22/23. REVIEW OF INTEGRATION OF SOCIAL VALUE TO BDC POLICY AND DELIVERY

Executive considered a detailed report presented by the Chair of Local Growth Scrutiny Committee, Councillor Jen Wilson, in relation to a Review undertaken by the Committee regarding integration of social value to BDC policy and delivery.

The objectives agreed were to review how social value could be integrated in to current policy and delivery, based on best practice examples, investigate how the Council could maximise the social value benefits of the Coalite development, with specific emphasis on skilled jobs, and how this could be applied to other development sites within the District. Assess how wide the social value strategy should be developed, engaging with other service areas/Scrutiny Committees as required, and assess how the integration of social value could be supported by developing a 'cooperative council' approach.

The key issues identified for investigation were detailed in the report. The key findings arising from the review were that the Council was well placed to move forward in this area following initial integration of social value by the Partnerships team. The draft Policy produced was in line with national guidance for such documents and mirrored those of best practice authorities, and the procurement of a social value calculator tool had been robust with significant officer and Member input.

Scrutiny Committee had put together six recommendations, as detailed in the report, which would hopefully assist the Council in embedding social value in to the wider policy structures and operational delivery of the Council.

Councillor McGregor noted the report was a good report. He referred to paragraph 2.3 and advised the meeting that a system had been in place for a long time which enabled evidence of section 106 agreements agreed as part of planning permissions. He added that the Scrutiny Committee could seek information regarding this system from the Interim Planning Policy Manager.

The Assistant Director Leader's Executive, Partnerships, Governance and Communications noted that this was originally trialled via a tool acquired from the Cabinet Office and used by the Partnership Team to monitor grants to voluntary organisations, which turned out to be a really successful exercise to demonstrate the amount pound for pound, that the Council received for investing in grants to the voluntary organisations programme. She added that it was good to see that this would be used for all the projects and initiatives across the Council, particularly in terms of parish and town councils and communities across the District.

Moved by Councillor Duncan McGregor and seconded by Councillor Liz Smyth
RESOLVED that (1) the recommendations of the review as outlined in section 2 of the report be endorsed,

(2) monitoring by Scrutiny Committee takes place over a twelve month period via the PERFORM system with an update report to Committee at the end of the monitoring period.

EXECUTIVE

Reasons for Recommendation

The Scrutiny Committee have put together six recommendations which will hopefully assist the Council in embedding social value in to the wider policy structures and operational delivery of the Council.

Alternative Options and Reasons for Rejection

Due to the requirements of the Public Services (Social Value) Act 2012, the Council must seek to bolster compliance and refresh the approach to securing social value outcomes. As such a 'do nothing' approach is not a viable option. Executive could choose not to endorse the recommendations of the review, where they feel the course of action recommended is beyond the delivery capacity of the Authority

NON KEY DECISION

EX49-22/23. AMBITION PLAN TARGETS PERFORMANCE UPDATE – APRIL TO JUNE 2022 (QUARTER 1 – 22/23)

Executive considered a detailed report presented by the Portfolio Holder for Corporate Governance, in relation to outturn performance against the Council's Ambition Targets for the April to June 2022 quarter.

Out of the 31 targets, 22 were on track (71%), 1 had achieved its annual outturn in 2021/22 (3%), 1 had been left on alert (3%) and 7 had been achieved previously (23%).

The Portfolio Holder for Corporate Governance commented that the report was a good report, noting that CUS.07 - *Reduce average relet times for standard voids (Council properties) to 20 calendar days by March 2021 and maintain thereafter*, was on alert.

Moved by Councillor Duncan McGregor and seconded by Councillor Sandra Peake **RESOLVED** that the quarterly outturns against the Council Ambition 2020-2024 targets be noted.

Reasons for Recommendation

Out of the 31 Council plan targets, 22 are on track (71%), 1 achieved its annual outturn in 2021/22 (3%), 1 left on alert (3%) and 7 achieved previously (23%).

This is an information report to keep Members informed of progress against the Council Ambition targets noting achievements and any areas of concern.

Alternative Options and Reasons for Rejection

Not applicable to this report as providing an overview of performance against agreed targets.

BUDGET AND POLICY FRAMEWORK ITEMS

EX50-22/23. ANTI-FRAUD, BRIBERY AND CORRUPTION POLICY

Executive considered a detailed report presented by the Portfolio Holder for Finance, Councillor Clive Moesby, in relation to the council's updated Anti-Fraud, Bribery and Corruption Policy which was attached as an appendix to the report.

EXECUTIVE

The Anti-Fraud, Bribery and Corruption policy aimed to help employees (including temporary and agency workers), Elected Members and Co-opted Members on the Council's committees, to understand their roles in the Council regarding fraud, bribery and corruption. Employees must ensure that they adhered to legal and contractual requirements and ensure that all procedures and practices remained above reproach.

The policy also aimed to help partners, contractors, suppliers, voluntary organisations and members of the public to understand how and when to contact the Council with their concerns.

Moved by Councillor Clive Moesby and seconded by Councillor Duncan McGregor **RESOLVED** that the Anti-Fraud, Bribery and Corruption Policy as set out in Appendix 1 to the report be approved.

Reasons for Recommendation

The current policy is at least 6 years old so this new policy is a complete re-write. The Policy has been updated to take account of all legislative and operational changes to ensure it is fit for purpose. The policy was presented to the Audit and Corporate Overview Scrutiny Committee on 13th September 2022 for comments.

Alternative Options and Reasons for Rejection

No alternatives found – the Council is required to have a policy and this ensures we set the standard at a sufficiently high level to send a clear message that fraud, bribery or corruption will not be tolerated, that all reported or identified instances will be dealt with in a professional and timely manner, that we are committed to preventing and detecting fraud, bribery or corruption and that those perpetrating the aforementioned acts will be dealt with swiftly and firmly and be prosecuted using all the sanctions available.

EX51-22/23. COVID 19 GOVERNMENT FUNDING RECEIVED

Executive considered a detailed report, presented by the Treasurer, which provided financial details of all grants, reliefs and compensation schemes the Council had received from central Government in response to the Coronavirus pandemic now that the final grant schemes have been reconciled.

In addition to receiving funding or reliefs to pass onto businesses and individuals, the Council also received funding to cover the financial effect of the pandemic. Some of this funding was simply a pot of Government support allocated between all councils on an arbitrary basis but some of the support was given to the Council based on its assessment of what it would need, or thought it would need based on information at the time.

Moved by Councillor Clive Moesby and seconded by Councillor Duncan McGregor **RESOLVED** that the report be noted.

Reasons for Recommendation

The report is for Member's information.

Alternative Options and Reasons for Rejection

No alternatives found – the report is a factual report based on all grants and contributions received throughout the period 11th March 2020 to 9th September 2022.

EXECUTIVE

KEY DECISIONS

EX52-22/23. PROVISION OF SCAFFOLDING SERVICES FOR THE COUNCIL'S DOMESTIC HOUSING STOCK

Executive's approval was sought to award a contract for the provision of Scaffolding Services to the Council.

The Portfolio Holder for Housing presented the report which informed Members that a procurement exercise had recently been undertaken in line with the Council's procurement rules and the Public Contracts Regulations 2015. The procurement was undertaken using a competitive tender procedure.

Following advertisement of the contract, only one submission was received and this was from the incumbent contractor, Dark Scaffolding.

Moved by Councillor Sandra Peake and seconded by Councillor Duncan McGregor **RESOLVED** that (1) the contract for the provision of Scaffolding Services to the Council be awarded to Dark Scaffolding,

(2) delegated powers be given to the Assistant Director of Property Services and Housing Repairs for extension to the contract after the first 2 years should service provision continue to meet the agreed standards and provide value for money.

Reasons for Recommendation

After carrying out a comprehensive tender process, only one submission was received which was from the incumbent contractor.

The evaluation process identified a 9% uplift in the schedule of rates which is in line with current inflation rates and good value based upon their previous rates.

Alternative Options and Reasons for Rejection

To undertake a further procurement exercise which may not provide any more submissions but would add additional delay, officer time and expense.

EX53-22/23. WELFARE ADAPTATIONS INSTALLATION CONTRACT

Executive's approval was sought to award a contract for the installation of welfare adaptation works to the Council's domestic housing stock to a framework of three contractors in accordance with Council Procurement Rules.

The Portfolio Holder for Housing presented the report which informed Members that the last contract for the provision of welfare adaptation works for the Council's Housing Repairs Service had expired on 3rd September 2022.

The Housing Repairs Service was required to deliver welfare adaptations to Council properties across the District. The number of adaptations varied each year depending on the number of applications and types of adaptations required. Examples of adaptations included grab rails, access improvements, specialist toilet facilities and ramps. The framework of three companies provided the Council with the resource,

EXECUTIVE

resilience and flexibility for the range of installations required.

Following a comprehensive assessment of the submissions, Swinstead Enterprises Ltd, Acis Group and T&S Heating met the suitability assessment and were considered to be economically advantageous based on the award criteria.

Moved by Councillor Sandra Peake and seconded by Councillor Duncan McGregor
RESOLVED that (1) Swinstead Enterprises Ltd, Acis Group and T&S Heating Ltd, be awarded the framework contract for the installation of welfare adaptation works to the Council's domestic housing stock,

(2) delegated powers be given to the Assistant Director of Property Services and Housing Repairs for extension to the contract after the first 2 years should service provision continue to meet the agreed standards and provide value for money.

Reasons for Recommendation

After carrying out a comprehensive procurement process, three submission are considered to meet the award criteria required to carry out the welfare adaptations to Council owned property.

Alternative Options and Reasons for Rejection

The alternative of not awarding the contracts has been rejected as welfare adaptations are an essential service to the public.

EX54-22/23. MINOR WORKS CONTRACT

Executive's approval was sought to award a contract for minor works on the Council's domestic housing stock to a framework of three contractors in accordance with Council Procurement Rules.

The Portfolio Holder for Housing presented the report which informed Members that the last contract for the provision of minor works for the Council's Housing Repairs Service had expired on 3rd September 2022.

The Housing Repairs Service was required to deliver minor works to Council properties across the District. The number of works varied each year and examples included repairs to masonry, roof repairs and fencing installations. The framework of three companies provided the Council with the resource, resilience and flexibility for the range of works required.

Following a comprehensive assessment of the submissions, Swinstead Enterprises Ltd, M & J's Building Services and T&S Heating met the suitability assessment and were considered to be economically advantageous based on the award criteria. This was in line with the previous framework contract of three contractors which had worked successfully for the last 4 years.

Moved by Councillor Sandra Peake and seconded by Councillor Liz Smyth
RESOLVED that (1) Swinstead Enterprises Ltd, M & J's Building Services and T&S Heating Ltd be awarded the framework contract for minor works to the Council's domestic housing stock,

EXECUTIVE

(2) delegated powers be given to the Assistant Director of Property Services and Housing Repairs for extension to the contract after the first 2 years should service provision continue to meet the agreed standards and provide value for money.

Reasons for Recommendation

After carrying out a comprehensive procurement process, the three submissions are considered to meet the award criteria required to carry out the minor works required to Council owned property.

Alternative Options and Reasons for Rejection

The alternative of not awarding the contracts has been rejected as minor works are essential to maintain the condition of the Council's housing stock.

EX55-22/23. EXCLUSION OF THE PUBLIC

Moved by Councillor Duncan McGregor and seconded by Councillor Steve Fritchley **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 Part 1 of Schedule 12A of the Act and it is not in the public interest for that to be revealed. [The category of exempt information is stated after each Minute].

URGENT ITEM OF BUSINESS

EX56-22/23. WHOLLY OWNED COMPANY EXEMPT PARAGRAPH 3

Executive considered a detailed report, presented by the Executive Director of Strategy and Development, which provided an update on the position of Dragonfly and the conversion of Dragonfly into a wholly owned company. Also, to request that Executive consider a proposal for board membership for Dragonfly as a wholly owned company, to approve monies from the transformation reserve to obtain legal and professional advice to inform the formulation of the company, and to give delegated authority to the Executive Directors of the Council to enable new structures for the Council and Dragonfly to be finalised and implemented.

The Portfolio Holder for Finance asked various questions regarding the proposals to which the Executive Director of Strategy and Development and the Executive Director of Resources replied.

The Portfolio Holder for Governance thanked officers for the report and noted that a lot of hard work had gone into producing report.

Moved by Councillor Duncan McGregor and seconded by Councillor Sandra Peake **RESOLVED** that (1) the decision by Dragonfly Development Ltd to 'buy out' Woodhead Regeneration from the Joint Venture be endorsed,

EXECUTIVE

(2) the amendments to Dragonfly Development Ltd as outlined in the report be approved,

(3) the sum of monies as stated in the report from the transformation reserve to obtain legal and other professional advice and services be approved,

(4) delegated authority be given to the Executive Directors of the Council, in consultation with the Leader, to enable new structures for the Council and Dragonfly to be finalised and implemented.

Reasons for Recommendation

The wholly owned management company has been established in order to comply with the Localism Act to promote the regeneration of the District and to secure improved financial returns for the Council from its asset base. This will provide a mechanism to deliver good quality private rented accommodation across the District, to invest in commercial and retail property to generate a return on investment and to provide a management company service to deliver new build capital projects as the main contractor.

Alternative Options and Reasons for Rejection

As detailed in the report.

The meeting concluded at 1115 hours.

Bolsover District Council

Meeting of the Executive on Monday 31st October 2022

BOLSOVER LOCAL NATURE RECOVERY CHAMPION

Report of the Assistant Director of Development

Classification	This report is Public
Report By	Chris McKinney Interim Planning Policy Manager
Contact Details	01246 242292 chris.mckinney@bolsover.gov.uk

PURPOSE / SUMMARY OF REPORT

- To seek agreement to create a Local Nature Recovery Champion Member role and to select from the available volunteers a Member to fulfil this role.

REPORT DETAILS

1. Background

- 1.1 Members will recall that the Executive at its meeting on 28th September 2020 approved a budget for the Planning Policy team to oversee the preparation of a Local Nature Recovery Strategy for Bolsover District in order to ready the Council for the duties emerging from the enactment of the Environment Act 2021.
- 1.2 To deliver the Local Nature Recovery Strategy, the Council commissioned the Derbyshire Wildlife Trust given both their expertise in matters relating to biodiversity and nature recovery and their role in holding the record for local wildlife sites within Bolsover District and wider Derbyshire.
- 1.3 This work had experienced a number of delays during the initial part of the commission, stemming from the uncertainties of the eventual form and provisions during the Parliamentary progression of the Environment Act and work carried out by Derbyshire County Council. However, once these and other matters had been resolved progress has been swift and a final document has now been received and was reported to the Council's Local Plan Implementation Advisory Group at its meeting on 21st September 2022.
- 1.4 At this meeting, the Group welcomed the update on the preparation of the Bolsover Local Nature Recovery Strategy and advised that it provided the Council with the opportunity to make a real difference on Local Nature Recovery. The Group also stressed the importance of engagement with local community groups in recognition of their great volunteering work and in order that they could feel a sense of ownership going forward.

- 1.5 Going forward, the Group welcomed the suggestion to arrange a Bolsover Local Nature Recovery Summit in November and advised that it would be appropriate to create a new Local Nature Recovery Champion Member role in advance of the Summit.
- 1.6 As a consequence, this report seeks to take forward the advice from the Local Plan Implementation Advisory Group in relation to the creation of a new Local Nature Recovery Champion Member role.

2. Details of Proposal or Information

- 2.1 Local Nature Recovery Champions are not yet widely established across the country and so this offers the Council the chance to demonstrate yet further its ability to promote the District through its leadership and innovation.
- 2.2 As such, the remit of the role would need to be drawn up and the Council is thus free to tailor its Member role to suit its needs. Officers have given thought to the remit of the role and in doing so have drawn upon the more established area of Heritage Champions as promoted by Historic England.
- 2.3 Based on this work, it would be possible for the Local Nature Recovery Champion role to seek to champion Bolsover District's natural environment in the following ways:
 - Inspire - Generate enthusiasm and awareness for the importance of Bolsover District's natural environment within the Council and the wider community; and to stand up as a point of contact for support and information on local nature related issues from both the local community and others outside the authority.
 - Advocate - Promote opportunities that draw attention to the natural environment across Bolsover District and to help ensure that commitment to the proper care of the natural environment is embedded in all activities over which the authority has influence.
 - Influence - To influence those stakeholders around Bolsover District for the benefit of the natural environment.
 - Communicate - To be a voice within the Council to communicate the importance of Local Nature Recovery.
- 2.4 As this is a Member role, should it be decided to create the Local Nature Recovery Champion role it would also be appropriate for the Executive to select the Member to fulfil this role.
- 2.5 To aid with this selection, the leaders of the Council's political groups have been emailed to notify them of this potential opportunity and to establish whether there are any interested Members that would wish to volunteer for the Local Nature Recovery Champion role. Volunteers have been asked to direct their interest to the Governance team by 5pm on Friday 28th October 2022 so that a list of any volunteers can be brought to the meeting for consideration.

3. Reasons for Recommendation

- 3.1 To enable the Members to consider the advice of the Local Plan Implementation Advisory Group in relation to Local Nature Recovery and particularly the suggestion of creating a Local Nature Recovery Champion Member role.
- 3.2 Therefore, the agreement of the Executive is sought to create a Local Nature Recovery Champion Member role and to appoint a Member to the role.

4 Alternative Options and Reasons for Rejection

- 4.1 It would be possible to not create a Local Nature Recovery Champion, although this would not achieve the benefits stated in the report. Therefore, officers have not considered this option.

RECOMMENDATION(S)

That Executive agree to the creation of a Local Nature Recovery Champion Member role and appoint a Member to the role.

Approved by the Portfolio Holder for Corporate Governance

IMPLICATIONS:

Finance and Risk: Yes No

Details: There are no specific finance or risk issues arising from this report.

On behalf of the Section 151 Officer

Legal (including Data Protection): Yes No

Details: There are no specific legal or data protection issues arising from this report.

On behalf of the Solicitor to the Council

Staffing: Yes No

Details: There are no human resources implications arising from this report.

On behalf of the Head of Paid Service

DECISION INFORMATION

Is the decision a Key Decision? A Key Decision is an executive decision which has a significant impact on two or more District wards or which results in income or expenditure to the Council above the following thresholds: Revenue - £75,000 <input type="checkbox"/> Capital - £150,000 <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <i>Please indicate which threshold applies</i>	No
Is the decision subject to Call-In? (Only Key Decisions are subject to Call-In)	No

District Wards Significantly Affected	All
Consultation: Leader / Deputy Leader <input checked="" type="checkbox"/> Executive <input type="checkbox"/> SLT <input type="checkbox"/> Relevant Service Manager <input type="checkbox"/> Members <input type="checkbox"/> Public <input type="checkbox"/> Other <input checked="" type="checkbox"/>	Yes Details: Chair of Local Plan Implementation Advisory Group

Links to Council Ambition: Customers, Economy and Environment.
Focussing on Our Customers Focussing on Our Economy Focussing on Our Environment

DOCUMENT INFORMATION

Appendix No.	Title

Background Papers
<i>(These are unpublished works which have been relied on to a material extent when preparing the report. They must be listed in the section below. If the report is going to Executive you must provide copies of the background papers).</i>

Bolsover District Council

Meeting of the Executive on Monday 31st October 2022

Risk Management Strategy

Report of the Executive Director of Resources and Head of Paid Service

Classification	This report is Public
Report By	Karen Hanson, Executive Director of Resources
Contact Officer	Karen Hanson, Executive Director of Resources karen.hanson@bolsover.gov.uk

PURPOSE/SUMMARY OF REPORT

- To update Members of the Executive of the current position regarding risk management arrangements and the Council’s Strategic Risk Register.
- To provide Members of the Executive with the refreshed Risk Management Strategy 2022 for consideration and approval.

REPORT DETAILS

1. Background

Risk Management Strategy

- 1.1 The Council’s Audit Committee has previously endorsed the Council’s Risk Management Strategy which was then approved by Executive in March 2020. The Strategy has been in place for 2 years and is due to be reviewed and refreshed. This has taken place and is attached, with an updated action plan at **Appendix 1**. The Strategy includes but is not limited to the following;
- The nature of ‘risk’ both the ‘threats’ and the ‘opportunities’
 - The benefits of a robust risk management approach
 - The Council’s risk appetite
 - Risk categorisation – Operational, Governance, Strategic
 - Project and Partnership risk
 - The Council’s risk management approach and arrangements including a new ‘Risk Management Group’
 - Roles and responsibilities including Senior Risk Officer and Senior Information Risk Officer (SRO and SIRO)
- 1.2 The Strategy also details the work of the Risk Management Group (RMG). This is chaired by the appropriate Cabinet Member and includes the Council’s Senior Risk Officer (SRO), Senior Information Risk Officer (SIRO), S151 Officer, Senior

Managers, Internal Audit and Health and Safety. The group provides a comprehensive oversight of risk throughout the organisation.

- 1.3 The Group oversees all Council operational and strategic risk registers ensuring they are up to date and accurate whilst offering challenge to the assessment process itself. It is responsible for risk management reporting to stakeholder groups across the Council, including this Committee and supports the production of the Annual Governance Statement. The Group leads on the development and review of all risk related policies, plans and strategies across the Council and oversees and champions the implementation of the Risk Management Strategy and associated action plan.
- 1.4 Following completion of the previous action plan, a refreshed action plan is contained within the Risk Management Strategy 2022. The actions outlined for the Risk Management Group are as follows:
 - Develop an annual programme of operational risk register reviews to ensure all are reviewed every 12 months
 - Further develop project and partnership risk management arrangements and reporting to the RMG
 - Develop and undertake refreshed risk management awareness training for all staff
 - Develop and undertake risk management awareness training for all Members (as part of the induction training following the Elections in May 2023)

2. Details of Proposal or Information

Update of the Risk Management Group (RMG)

Corporate Strategic Risk Register

- 2.1 The Risk Management Group is chaired by the Cabinet Portfolio Holder, with the Council's Executive Director of Resources and Section 151 Officer in attendance. Meetings take place quarterly and there is an expectation that all required officer attend. A recent amendment to the Terms of Reference has clarified that, in the absence of an Assistant Director, a substitute (with the ability to make strategic decisions) must attend in their place.
- 2.2 The RMG regularly undertakes a review and gives consideration to the Council's Strategic Risk Register (**Appendix 2**).
- 2.3 Over the last 12 months, the RMG has considered (and continues to consider) the following arising issues and their impact on the Council:
 - The impact of the Autumn Budget and Bolsover's settlement (December 2021) on the Council's Medium Term Financial Plan
 - The impact of the Government's Levelling Up White Paper and Bill
 - The impact of Local Government Reform including a County Deal for the East Midlands and the development of a Combined Mayoral Authority
 - Cyber risks and ransomware attacks
 - Ongoing national issues regarding cost of living, fuel and food prices, annual staff pay rise and inflation

- Housing pressures taking into consideration the Homelessness Duty, the impact of Covid and subsequent Section 21 notices being issued and several refugee and asylum dispersal schemes
- The impact of Climate Change

2.4 These issues will remain under constant review, alongside all risks within the Strategic Risk Register, by the RMG and appropriate additions and/or amendments to the Council's Strategic Risk Register will take place at the appropriate time.

Operational Risk Registers

2.5 In addition to the Corporate Strategic Risk Register, the RMG reviews individual operational risk registers for specific service areas. This is undertaken on a rolling programme to ensure all services have appropriate and up-to-date risk registers in place.

2.6 In the last 12 months, the RMG has received reports on the following operational risk registers:

- Leisure
- Business Growth
- Housing and Community Safety
- Environmental Health
- Payroll

2.7 Service leads provided presentations to the Group to enable appropriate review and scrutiny to take place.

Corporate Insurance renewal

2.8 The Council's insurance portfolio was renewed on 1st October 2022 following annual reviews of policies to minimise and mitigate risks. This is normal practice. The Council's Insurance Officer regularly attends the Risk Management Group and also maintains the master copy of the risk registers. It is expected that increasing building costs may result in higher insurance premiums this year.

3. Reasons for Recommendation

3.1 The Audit and Corporate Overview Scrutiny Committee has considered and noted this report from the Risk Management Group as part of the Council's robust approach to risk management. The Risk Management Group provides a comprehensive oversight of risk throughout the organisation.

3.2 The Risk Management Group has made significant progress in ensuring that risk is effectively managed within the Council. By leading on the development and review of all risk related policies, plans and strategies across the Council, the Group provides consistency of approach and alignment of all service areas in relation to risk management.

4 Alternative Options and Reasons for Rejection

4.1 It is good practice for the Council to develop and regularly review its Risk Management Strategy, Strategic Risk Register and associated risk management

processes and policies. Given the importance of these arrangements for the overall performance and governance of the Council the alternative of not providing them is rejected.

RECOMMENDATION(S)

1. That Executive consider and approve the refreshed Risk Management Strategy at Appendix 1.
2. That Executive notes the report and Strategic Risk Register as set out in Appendix 2.

Approved by the Portfolio Holder for Finance, Councillor Clive Moesby

<u>IMPLICATIONS:</u>	
<u>Finance and Risk:</u>	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Details: There are no additional financial implications arising out of this report. Whilst, where appropriate, additional mitigation measures have been identified and implemented during the course of preparing the strategic and operational risk registers, the cost of implementing this mitigation is met from within existing service budgets	
On behalf of the Section 151 Officer	
<u>Legal (including Data Protection):</u>	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Details: There are no legal or data protection issues arising directly out of this report	
On behalf of the Solicitor to the Council	
<u>Staffing:</u>	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Details: There are no human resource issues arising directly out of this report.	
On behalf of the Head of Paid Service	

DECISION INFORMATION

<p>Is the decision a Key Decision? A Key Decision is an executive decision which has a significant impact on two or more District wards or which results in income or expenditure to the Council above the following thresholds:</p> <p>Revenue - £75,000 <input type="checkbox"/> Capital - £150,000 <input type="checkbox"/> <input checked="" type="checkbox"/> <i>Please indicate which threshold applies</i></p>	No
<p>Is the decision subject to Call-In? <i>(Only Key Decisions are subject to Call-In)</i></p>	No

District Wards Significantly Affected	None directly
Consultation: Leader / Deputy Leader <input type="checkbox"/> Executive <input type="checkbox"/> SLT <input checked="" type="checkbox"/> Relevant Service Manager <input checked="" type="checkbox"/> Members <input type="checkbox"/> Public <input type="checkbox"/> Other <input checked="" type="checkbox"/>	Yes Details: Portfolio Holder Audit and Corporate Overview Scrutiny Committee

Links to Council Ambition: Customers, Economy and Environment.
All

DOCUMENT INFORMATION	
Appendix No	Title
1	Risk Management Strategy 2022
2	Strategic Risk Register

Background Papers
<i>(These are unpublished works which have been relied on to a material extent when preparing the report. They must be listed in the section below. If the report is going to Executive you must provide copies of the background papers).</i>



RISK

Management Strategy

2022

Managing the risks, maximising the opportunities

Contents

Introduction	3
Scope and Objectives	4
Benefits of Risk Management	5
Risk Categorisation	6
Risk Management Process	9
Risk Appetite	14
Our Risk Management Arrangements	16
Risk Management Framework	21
Action Plan - Appendix 1	22

Introduction

When we think of 'Risk' most of us are conditioned to think of this in a negative sense - the risk of a negative outcome. Increasingly however, there is a realisation that risk is a double sided concept, with both positive and negative outcomes. To manage risk effectively we need to perhaps think of risk as 'uncertainties that affect us' - not all of which are bad. In other words; an uncertainty that, if it occurs, will have a negative effect might be seen as a **Threat**, whereas an uncertainty that, if it occurs, will have a positive effect might be known as an **Opportunity**. Both of these are 'uncertainties that affect us'.

Risk is integral to everything we do, every action we take, every decision we make - part of our everyday. Whether we realise it or not we are managing risk constantly - it is our attempt to prevent something going wrong and causing us harm or helping something to go well and producing benefits. When driving we will wear a seatbelt, when it comes to our money we will keep it in a bank and when the clouds are grey we might choose to take an umbrella with us on our way to work... these are all risk management decisions and actions designed to either reduce the potential consequence or support the realisation of the benefits associated with our actions.

None of these 'risk management' decisions and actions however, will either remove the threat or guarantee the benefits completely... for example; wearing a seatbelt will not remove the risk of accident or injury, it may however allow us to manage the risk to a level that allows us to make the decision to drive a car. If

our aim is to remove the threats associated with driving the car completely, then we simply don't drive the car - this would of course also result in the loss of the possible benefits resulting from driving the car. Taking risks therefore is an inevitable part of our daily lives - without risk taking we simply could not advance, progress and achieve.

Risks will however be interpreted differently by each individual because we all have a different perception of the threat or opportunity depending on our propensity to take risk or avoid it. Using the car as an example, wearing a seatbelt and driving at a certain speed will be enough for some of us to manage the threat presented whilst enjoying the benefits, for others they may choose to manage this threat further by avoiding a motorway or driving at busy times, this approach will of course impact upon the benefits or opportunities too. This is known as our **Risk Appetite**, the level of risk that an individual is prepared to take in order to pursue their goals.

When considering the business of the Council, the same principles apply. Risk taking is something we simply can't avoid... therefore, the success and operability of our organisation depends on how well we manage our risks. We need to know what they are, understand them, identify ways to mitigate or exploit them and control them in line with our organisational risk appetite. Where risks are effectively managed, the chances of achieving our objectives will be optimised. Conversely, poor risk management will reduce the likelihood of success.

This Strategy sets out the mechanisms and

Scope and Objectives

processes for both the maintenance and development of Risk Management within the Council's operational framework. Whilst the main focus of the arrangements set out within this Strategy will be in respect of the Council's own activities, it also recognises that key elements of the Council's service delivery may well be delivered by way of Partnership working. Accordingly the Council's own risk management approach needs to ensure that the risks arising from partnering with others are appropriately addressed as part of this Strategy.

Our organisation needs to be risk aware rather than risk averse as the decision whether to accept risk should be taken in light of the potential benefits of a proposed course of action. The extent to which the Council is risk averse, will undoubtedly impact on its potential to progress available opportunities to secure benefits for local residents.

Risk management, both in the identification of risks and the action taken to address the risks, needs to be flexible and have the ability to respond to change. National policies, service delivery arrangements, national and local circumstances, together with Council priorities will change and evolve over time. Risk Management focus and arrangements need to adjust in order to ensure that current threats and opportunities are effectively addressed and not stifled by inappropriate risk management arrangements.

The Council is committed to maintaining,

developing and actively monitoring the operation of a formal and systemic approach to Risk Management. The key objectives of this Strategy are as follows:

- To operate in line with best practice and update our approach to reflect evolving best practice
- To protect service delivery arrangements, the reputation and the financial position of the Council by managing risk effectively
- To maintain and strengthen robust managerial and governance arrangements within the Council
- To promote risk awareness, risk intelligence and risk management throughout the Council
- To ensure programme, project and partnership risk is effectively managed
- To ensure there are clear roles, responsibility and accountability for risk management within the Council
- To ensure the effective identification of risks relating to service delivery, a new project, new initiative, external origins or circumstance to ensure fully informed decisions are made and measures to mitigate or exploit are in place
- To ensure that the Council has a fully informed level of awareness of its overall risk exposure

The challenges faced by local government

Benefits of Risk Management

in recent years have been significant often resulting in a great deal of uncertainty - 'uncertainty that affects us' or in other words 'risk'. Our ability to manage these risks or those 'uncertainties that affect us', both the threats and the opportunities, will have a direct bearing on the Council's ability to succeed.

Risk management is a tool and should

not be seen as something we 'must do' but rather something we 'need to do' to achieve the Council's objectives. It is an essential tool in helping to bring a greater level of understanding of those risks; it enables the Council to be more prepared, more resilient to change, more able to minimise threats and more able to seize opportunities.

Below are a number of widely accepted benefits resulting from the effective management of risk:

Improved efficiency of services

Reduced likelihood of workplace accidents

Protection of financial resources

Maximised opportunities

Better mitigation of risks

Protection of Council assets

Improved delivery of intended outcomes

Demonstrable good governance

Improved business and service planning

Protected reputation of the Council

Enhanced community support and trust

Increased effectiveness of business transformation

Greater achievement of Council objectives

Greater level of insight

Improved management information

Risk Categorisation



Risk management is a complex subject due in part to the multi-dimensional nature of the risks that we face, the illustration on the previous page highlights some of these along with a high level categorisation of risk types. Some risk areas will have varying risk types, for example; Financial risks may be identified within all broad risk type categories; Strategic - perhaps due to legislative change; Operational - service area budgets; and Governance - the way we deal with our Treasury Management for instance. The endless nature of risk management makes it impossible to list every single risk and future risk specifically within this document, the following areas do however provide an approach that will support the identification and appropriate management of risks in the context of our organisation.

Strategic Risks

Strategic Risks are those which have the potential to have a significant impact upon the Council as a whole. Such risks might include; changes in government policy; legal and regulatory change; Brexit; environmental and social factors and high operational risk factors such as investment, safeguarding and emergency planning. Due to the nature and scale of the possible threat and potential opportunity arising from this level of risk, strategic risks should be owned by the Senior Management Team.

In order for the Council to have a clear overall position in relation to its strategic risks and to be able to track and review them regularly, strategic risks will be contained within the Councils **Strategic Risk Register**. This register identifies the strategic risks facing the Council so that elected Members and senior management

can make informed decisions and prioritise actions, with these high level risks in mind.

Operational Risks

Operational Risks are those that relate to a given service area which have the potential to have a significant impact on the delivery of that service. These might include; human resources; health and safety; procurement; asset management and systems failure. These risks are more closely associated with the 'day to day' operation of the service areas within the Council, service based risks that may prevent individual service aims and objectives being met.

Risks within this category are identified, assessed and dealt with within the operational service area. These risks are contained within an **Operational Risk Register** that is unique to the given service area, although the process by which they are managed remains the same as those of a strategic nature.

Governance Risks

Governance related risks are those that relate to 'how we do things' as an organisation, including; how we manage our risks. These might also include; the Council's Constitution; data protection; policy and strategy; leadership and accountability; contracting arrangements and performance management. As with high level operational risks, governance related risks might also be managed as strategic risks, depending upon the nature and scale of the risk. Ordinarily however, these risks are associated with the broader organisational 'day to day' framework of running our organisation. Risks associated

with the Council's governance will feature in both the Operational Risk Registers of those service areas who 'own' the governance related risk along with the Strategic Risk Register where appropriate.

Project Risks

Project risks are those risks that are integral to or arise during the lifecycle of a project. These may relate to; roles and responsibilities; timescales; resources; objectives; communication and monitoring for example. These risks will usually start and end with the project and need to be treated separately to those linked with the everyday operation of the Council.

With projects, it is vitally important that risks are identified and assessed early in the planning process. When undertaking a project, the Council will create a **Project Plan** in order to effectively manage the project, the plan might include; scope management; planning and delivery; budget; monitoring and control; administration; communication and risk management.

The project related risks are managed through a **Project Risk Register** which is developed specifically for the project at hand and maintained throughout the life of that project.

Partnership Risks

Reduced public service funding is leading to more services and community projects being delivered through different forms of partnership involving the public, private and third sector. Partnership working can take many forms including; integrated services; joint ventures; shared procurement; and co-ordination of activities. The use of risk management to mitigate threats whilst also exploring opportunities is key to ensuring that collaborative working arrangements contribute positively to service delivery. Partnership related risks might include; lack of relevant skill levels; differing legislative environments of the partners; differing governance arrangements and differing agendas.

Effective partnership working is not an easy process and often requires a significant investment of time and energy to build trust between the partners and to develop the working relationships required to ensure successful delivery of the project or service. Key considerations prior to entering into or reviewing a partnership need to include whether or not; the partnership helps secure the Council's objectives; it provides value for money; there are any alternatives; the governance arrangements are robust; and whether or not the Council have a legal duty or duty to enter into the partnership at all.

The risks related to the partnership will be managed through a **Partnership Risk Register** which is developed specifically for the partnership at hand and maintained throughout the life of that partnership.

Risk Management Process

To ensure risk management is effective it must be part of an overall framework and be supported by processes and procedures - a systemic and consistent approach. Whether the 'risk' poses a threat or an opportunity - the stages remain the same. A '*Risk Assessment*' template/form shall be used when carrying out the stages below - the findings of which will be included on the appropriate 'Risk Register'.

RISK IDENTIFICATION

Threats or opportunities which might prevent or help achieve, delay or accelerate the objectives of the Council



RISK ANALYSIS & ASSESSMENT

Following identification of the threats/opportunities, the risks need to be assessed



RISK CONTROL

Taking risk appetite into account, the risks now need to be controlled



RISK MONITORING

Most risks will change over time, timely, regular and appropriate monitoring must take place

Risk Identification

The identification of risks will be the result of a variety of sources and endeavours including but not limited to; lessons learned and analysis of previous events; technical briefings; national reports; workshops; team meetings; networking; management experience; and through a 'staple' element of the **Risk Management Group** - something we will cover in later sections of this strategy. Another key source of risk identification will of course be the business/service planning process where SWOT (strengths, weaknesses, opportunities, threats) and PESTEL (political, economic, social, technological, environmental, legal) analysis takes place.

Traditionally this stage of the risk management process has focussed on the things that can go wrong or the threats, if the organisation wishes to improve outcomes however, then it must search for the 'upside risks' or opportunities to make things better and maximise any potential benefits that may also be available. If an opportunity risk is identified, decisions can be made to pursue and increase the likelihood/impact of the opportunity - i.e. it can be managed in the way a negative risk can, to make the most of the potential offered.

N.B. It is important to note here that when attempting to capture the opportunity risk description that we do not attempt to replace or duplicate the 'purpose' or 'rationale' for a given activity. Opportunity risk is not the argument or reason for doing something - it is the awareness and control of the 'uncertainties that matter' in relation to the 'upside' risks involved with the activity or issue at hand.

Risk Analysis and Assessment

Once the risks have been identified and articulated they need to be assessed using the **Risk Matrix** in terms of the '**Likelihood**' of them occurring and the '**Impact**' of them if they do. This will provide an indication of the '**Inherent risk**' - the level of risk prior to any action being taken.

Likelihood is scored based upon probability of the risk occurring and impact based on the consequences of the risk occurring. Taking each threat/ opportunity in turn the risk should be assessed using the impact/ likelihood tables. The ratings may well be mixed as one overarching risk could have a number of threats/opportunities associated with it, for example the consequence may carry a moderate threat financially but may have a significant impact upon reputation.

Once the consequence is understood for all of the threats/opportunities associated with the risk, a 'best fit' impact rating shall be determined and the '**Inherent Risk Value**' identified. For example; if the impact of all of the threats/opportunities associated with the risk are significant with only one moderate, then the overall impact would be significant. It is important to note that the tables and descriptions are not and can never be exhaustive, they are designed to give a common perspective but not to be prescriptive.

Risk Matrix

IMPACT	5	5	10	15	20	25
	4	4	8	12	16	20
	3	3	6	9	12	15
	2	2	4	6	8	10
	1	1	2	3	4	5
		1	2	3	4	5
LIKELIHOOD						

Impact Table

Score	Description	Examples/guidance
5	Catastrophic	Risks that can have a catastrophic impact on the operation of the Council or service, for example; <ul style="list-style-type: none"> • Death • Unable to function without Government or other agency intervention • Inability to fulfil obligations • Adverse national publicity - highly damaging, loss of public confidence
4	Severe	Risks which can have a severe impact on the operation of the Council or service, for example; <ul style="list-style-type: none"> • Extensive injury, major permanent harm • Significant impact on service objectives • Short to medium term impairment to service capability • Major adverse local publicity
3	Moderate	Risks which have a noticeable impact on the services provided. Will cause a degree of disruption to service provision / impinge on the budget, for example; <ul style="list-style-type: none"> • Medical treatment required, semi-permanent harm up to 1 year • Short term disruption to service capability • Significant financial loss • Some adverse publicity, needs careful public relations
2	Minor	Risks where the impact and any associated losses will be minor, for example; <ul style="list-style-type: none"> • First Aid treatment, non-permanent harm up to 1 month • Minor impact on service objectives • Financial loss that can be accommodated at service level • Some public embarrassment, no damage to reputation
1	Negligible	Risks where the impact and any associated losses will be small, for example; <ul style="list-style-type: none"> • No obvious harm or injury • Negligible impact on service capability • Minimal financial loss • Unlikely to cause any adverse publicity, internal only

Likelihood Table

Score	Description	Examples/guidance
5	Common	<ul style="list-style-type: none"> • Is expected to occur in most circumstances • Perhaps annually or more frequent
4	Likely	<ul style="list-style-type: none"> • Will probably occur in most circumstances • Not persistent, perhaps once in 3 years
3	Foreseeable	<ul style="list-style-type: none"> • Could occur in certain circumstances • Perhaps once in 10 years
2	Occasional	<ul style="list-style-type: none"> • May occur in exceptional circumstances • Not expected to happen, perhaps every 25 years
1	Freak event	<ul style="list-style-type: none"> • Is never likely to happen or no knowledge of this happening before • Very unlikely, perhaps once in 50 years

Risk Control

When deciding how to control the ‘downside’ risks or threats there are four options available, sometimes more than one option may be chosen, the Council could transfer and treat for example;

Negative Risk (threat) Control Measures			
<p>Transfer E.G. Insurance, Outsource, Partnerships</p>	<p>Treat E.G. Mitigation, Likelihood & Consequence</p>	<p>Tolerate Understand and live with the risk</p>	<p>Terminate Avoid the risk, Do not pursue</p>

Transfer the Risk - this might include transferring some of the consequence to an insurer e.g. legal liability, property, vehicles etc. Other examples might include services being delivered on the Councils behalf through outsourcing. When deciding to transfer, it must be acknowledged that this does not mean that the risk disappears, some risks may whilst others remain such as responsibility for the service being delivered and the reputational risk remaining with the Council for example.

Treat the Risk - the risk at this stage is unacceptable to the Council as it stands. Action needs to be taken and controls put in place to mitigate and reduce the risk to an acceptable level - the ‘Residual risk’. This might include putting procedures in place or modifying the activity to reduce the risk.

Tolerate - the Council intends to do nothing different to manage the risk identified aside from the usual management arrangements that are in place.

Terminate - the risk is so significant that even with control measures in place or modifications being made, the risk cannot be reduced to an acceptable level for the Council.

When attempting to control the ‘upside’ risks or opportunities, the four options above will be replaced by the three below;

Positive Risk (opportunity) Control Measures		
<p>Share E.G. Joint Venture, Design and Build Contract</p>	<p>Enhance E.G. Action, Likelihood & Consequence</p>	<p>Accept Understand and accept the risk</p>

Share - the benefits of the opportunity risk might be shared, a project being completed early for instance which would save money overall.

Enhance - using the project example again, action might be taken to improve the likelihood and consequence of the project completing early.

Accept - as with tolerating a threat, the Council intends to do nothing different to manage the risk identified aside from the usual management arrangements that are in place.

By this stage, using the '**Risk Assessment**' template/forms, the risks have been identified and analysed taking into account any current controls in place, giving an '**Inherent Risk Value**', beyond this other control measures may have been put in place resulting in a '**Residual Risk Value**'. The Council will now consider the residual risk and decide how this fits with the Councils '**Risk Appetite**' in terms of acceptability - this shall be detailed in a later section of the strategy.

Risk Monitoring

Now that the risks have been identified, analysed, controlled and scored according to the risk matrix, the final stage of the effective risk management process begins - risk monitoring. It is critical that risk assessments and action plans relating to them are monitored and reported on regularly to ensure progress is being made in both the management of the threats, or the taking advantage of the opportunities.

Risk registers are an important tool within the risk monitoring stage as long as they are kept up to date and accurate. Previously identified risks will change over time; some may become less of an issue once planned activity has taken place, therefore reducing the likelihood of the risk occurring. Others may have an increased level of risk due to external changes or important milestones approaching. When things change, or at a given frequency, the reassessment of the risk is necessary.

When reviewing, the following should be considered;

- Is the risk still valid?
- Has any of the circumstances or the situation changed?

- Has any planned mitigation/treatment/enhancement or action now taken place which has affected the '**Residual Risk Value**'?
- Has the planned mitigation/treatment/enhancement or action been deemed effective?
- Is there more that the Council should be doing?
- Has the threat/opportunity passed?

Along with those sources listed in the Risk Identification stage previously, the risk monitoring and review stage is also a good time to consider the following;

- Has anything new happened either externally or within the service, department, Council, project or partnership?
- As a result, are there any new threats or opportunities facing the service, department, Council, project or partnership?

Part of the monitoring process is of course '**Risk Reporting**'. This is required to ensure that managers, senior officers and elected Members are fully aware of the risks when making decisions and taking any action. Effective risk reporting should provide management and elected Members with assurance that all risks have been identified, assessed, controlled and are being effectively monitored - this shall be detailed further in a later section of the strategy.

Risk Appetite

Risk appetite for local authorities on the whole will most likely be lower than that of many other organisations due in part to the regulatory nature of most of its services and because of its stewardship obligations for public resources. It is however, increasingly important for the Council to identify innovative solutions and new ways of working in the delivery of its services and operations.

New opportunities or changes to the way we do things will often bring new risks, both specific to the change at hand and to the Council as a whole. A key determinant in the risk management process is the Council's risk appetite and the scalability of this depending upon the individual circumstances.

The Council's risk appetite in relation to a given opportunity needs to be gauged individually to ensure that the tolerance level of the risks at hand are adjusted in accordance with the level or scale of the risk. A specific project may well have a different risk tolerance level to that of the wider operation of the Council or a health and safety matter for example. The Council should not be risk averse but risk aware and able to accept risk at a level that meets the Council's risk appetite.

Risk aware

Sensible management of threats and opportunities



Risk unaware

- Exposed to threats
- Too opportunity focussed

Risk averse

- Excessive management of threats
- Do not maximise opportunities

As mentioned previously, effective risk management is about managing uncertainties that affect us, this includes both the negative uncertainties or threats and the positive uncertainties or opportunities. Effective risk management aims to minimise the likelihood and impact of the threats whilst maximising the likelihood and impact of the opportunities.

Acknowledgement and awareness of the two aspects of risk – the ‘upside’ and ‘downside’

increases the importance of an effective risk appetite framework which has the ability to be repositioned along the continuum on the previous page in line with the given subject matter at hand.

Generally speaking, the amount of risk that the Council are willing to take on, tolerate or be exposed to in the pursuit of its objectives can be illustrated below;

Risk Matrix

IMPACT	5	5	10	15	20	25
	4	4	8	12	16	20
	3	3	6	9	12	15
	2	2	4	6	8	10
	1	1	2	3	4	5
		1	2	3	4	5
	LIKELIHOOD					

Green = Low Priority - no immediate action other than to set a review date to re-consider assessment.

Amber = Medium Priority - check current controls and consider if others are required.

Red = High Priority - must take action to mitigate or terminate if not possible to do so.

Any threats that are an unacceptable level to the Council have to be mitigated as far as possible. Where a proposed activity has a residual risk value that is considered unacceptable and there is no means of reducing this value, then the activity will be rejected. Therefore the Council’s risk appetite threshold is 15 or above, in other words if the residual risk is 15 or above the Councils risk appetite has been exceeded and the activity will be terminated.

There may be however, occasions where there is a statutory obligation to undertake a given activity despite the risk exposure. There may also be occasions where, in entrepreneurial terms, it will be appropriate to take measured but increased levels of risk in furtherance of the Council’s business objectives.

In determining the Council’s risk appetite, elected Members and senior officers will consider many things including, but not limited to the following;

- Wider macro-economic factors including legislation
- The level of risk that can be justified
- The Council’s capacity to bear the risk
- The Council’s resource, expertise and skill-set for taking the risk
- The extent and prevalence of operational and commercial opportunities capable of being exploited by the Council

Our Risk Management Arrangements

This strategy sets out to ensure that effective risk management is embedded throughout all levels of the Council. Whether it relates to ‘day to day’ service delivery or the decision making process of elected Members, the Council and its employees need to know what the risks are, understand them, identify ways to mitigate or exploit them and control them in line with the Council’s risk management processes and appetite.

Risk Management Roles and Responsibilities

Elected Members

All elected Members are responsible for effective governance in the delivery of services to the local community and the achievement of the Council’s objectives. Elected Members have a responsibility to understand the risks that the Council faces and will be made aware of how these risks are being managed through a variety of mechanisms including, but not limited to; the corporate, strategic and service planning and delivery process. It is the responsibility of all elected Members to support and promote an effective risk management culture and consider the risks associated with recommendations put forward in reports to the various committees at which decisions are made.

Executive

Executive has a fundamental role to play in the management of risk. Its role is to set the risk appetite and influence the culture of risk management within the organisation. Executive will ensure that risks are fully considered as part of every decision it makes whilst ensuring effective procedures are in place to monitor the management of significant risks. Executive will establish Portfolio Holder representation on the Risk Management Group and regularly review the content of the strategic risk register. Executive will periodically review the Council’s approach to risk management and approve changes or improvements to processes and procedures.

Audit and Corporate Overview Scrutiny Committee

The Audit and Corporate Overview Scrutiny Committee has responsibility for overseeing all aspects of Risk Management, Governance and Internal Control. The Committee will provide guidance and oversight to the management of risk but also challenge the effectiveness of the risk management arrangements within the Council. The Committee will look to seek assurance for the Council that risk management is being effectively undertaken and that all risk related processes and procedures are being implemented. To this end, the Committee

will receive reports on behalf of the Council including but not limited to; Quarterly Risk Management Group reports, Internal Audit reports, External Audit reports and the Annual Governance Statement.

Scrutiny

In their role of scrutinising decisions taken by the Executive, Scrutiny Members should ensure that associated risks have been taken into account. Scrutiny Committees also have a role in bringing potential risks that have not previously been identified to the attention of the organisation.

Head of Paid Service

The Head of Paid Service leads on the wider Corporate Governance arrangements of the Council of which Risk Management is a part. The Head of Paid Service has ultimate responsibility for risk management within the paid service and will support the Senior Risk Officer (SRO) and Senior Information Risk Officer (SIRO) in carrying out their roles and responsibilities.

Senior Risk Officer (SRO)

The SRO plays an important role in raising the profile and promoting the benefits of risk management to elected Members and officers. The SRO also ensures that the accountability and responsibility of elected Members, officers and staff is understood by embedding risk management throughout every level of the Council and by overseeing the implementation of the Risk Management Strategy and Action Plan.

Senior Information Risk Owner (SIRO)

Information has never been more important to the essential working of the Council. As the quantity, diversity and nature of Council information changes, so will the risks. The role of the SIRO is to ensure that 'information' related risks are identified and addressed. The SIRO will establish an Information Risk Management Framework which allows information based threats and opportunities to be managed effectively.

Section 151 Officer

Section 151 of the Local Government Act 1972 requires all Councils to make arrangements for the proper administration of its financial affairs and to secure that one of its officers has the responsibility for the administration of those affairs. For this Council this statutory role is carried out by the Head of Finance and Resources. The Section 151 Officer is a key member of the Senior Management Team who helps to develop and implement the strategy and appropriate resourcing to deliver the Council's objectives sustainably and in the public interest. The role brings influence and bearing on all material business decisions to ensure opportunities and threats are fully considered and aligned to the Council's financial strategy. The Section 151 Officer leads on the promotion of good financial management by the whole organisation so that public money is safeguarded at all times and used appropriately, economically, efficiently and effectively.

Risk Management Group

The Risk Management Group shall be elected Member led and will include the Councils SRO, SIRO, S151 Officer, representation from senior management, Internal Audit and Health and Safety. The group will provide a comprehensive oversight of risk throughout the organisation and be the conduit to and from the whole organisation in terms of risk management. The group will 'regularly' and 'consistently' oversee, at least quarterly, all of the risk registers ensuring they are up to date and accurate whilst offering challenge to the assessment process itself. It will be responsible for risk management reporting to stakeholder groups across the Council and support the production of the Annual Governance Statement. The group will lead on the development and review of all risk related policies, plans and strategies across the Council and will oversee and champion the implementation of the Risk Management Strategy and associated action plan including training 'relating to' and the 'embedding of' an effective risk management culture.

Directors and Assistant Directors

Directors and Assistant Directors are responsible for creating an environment and culture within their Directorate and portfolio of Services where risk management is promoted, facilitated and effectively undertaken. They will drive forward risk management to raise its profile and ensure that Service Managers and their teams understand the importance and benefits of effective risk management, embedding the Risk Management Strategy and arrangements throughout their

span of control. They will include risk management as a standing item on all Directorate, Service and team meeting agendas to keep risk management 'ever present' and ensuring effective, regular and consistent 'check and challenge' is in place throughout the Directorate. Directors and Assistant Directors will review the content of the strategic risk register and their Directorate operational risk registers at least quarterly and represent their Directorate and portfolio of services at the Risk Management Group. They will identify existing and emerging risks, address them in line with the risk management arrangements and ensure sufficient resource is allocated to for this purpose within their span of control including identifying and meeting any risk management training needs within the Directorate.

Service Managers

As with the Directors and Assistant Directors, Service Managers will support the creation of an environment where risk management is promoted, facilitated and effectively undertaken within their service area. Service Managers will also form part of the quarterly review process of their service related operational and when necessary, strategic risks. They will work with the Directors and Assistant Directors to identify and address existing and emerging risks within their service area and ensure that training needs are identified and addressed in relation to risk management within their service area. Service Managers will be the consistent 'day to day' champions of an effective risk management culture throughout their service area and will ensure that the risk management strategy and arrangements are understood, embedded and implemented by their team.

Project and Partnership Leads

Project and Partnership Leads are responsible for ensuring that the project or partnership is being effectively managed in terms of risk and that the Risk Management Strategy and arrangements are implemented fully throughout the lifecycle of the project or partnership. As mentioned in previous sections of the document however, project risks and partnership risks do need to be treated slightly differently to the Council's other risks.

The Project Lead will;

Ensure that there is senior management team commitment to and involvement in the project/programme delivery. They will set out clearly defined roles and responsibilities at all levels within the project/programme with responsibility for risk identified and agreed. The Project Lead will ensure stakeholder engagement in the early identification of the risks which will inform the project/programme scope, objectives and outcomes. They will embed the active management of risk throughout the lifecycle of the project/programme through the development of a Project Plan.

The Partnership Lead will;

Ensure that the partnership has a senior management team made up of members from all organisations involved who will support, own and lead on risk management. The Partnership Lead will ensure that an agreed risk management framework is in place and managed on an ongoing basis. They will promote a partnership culture which supports an effective and appropriate approach to managing risks by reducing the threats and maximising the opportunities that the partnership will bring.

Both Leads will approach the project/programme/partnership in line with the Risk Management Strategy and arrangements set out within. They will ensure that the risk management process is followed, risk assessments completed, control measures are in place and risk registers are maintained throughout. The Leads will report to the Risk Management Group quarterly and assist in the production of the Risk Management Group reporting process.

Internal Audit

Internal Audit's role is to maintain independence and objectivity, they are not responsible for risk management or for managing risks on behalf of others. Internal Audit will check, challenge and test the risk management process and arrangements for adequacy in order to provide assurance to the Council that risk is being effectively managed.

All Staff

All staff have a responsibility for identifying threats and opportunities in performing their day to day duties. They also have a responsibility to participate in training, supporting the risk assessment process and action planning where appropriate.

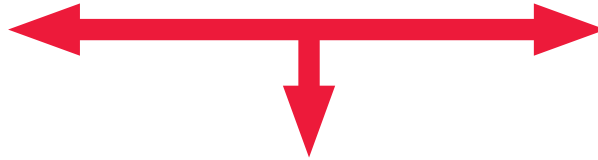
Roles and responsibilities summary table:

Group or individual	Roles & Responsibilities
Elected Members	<ul style="list-style-type: none"> • Support and promote an effective risk management culture • Understand the strategic risks that the Council faces and how these risks are being managed • Consider the risks associated with recommendations put forward in reports
Executive	<ul style="list-style-type: none"> • Provide leadership on risk management within the Council • Monitor the Council's risk management arrangements • Assess the risks in Cabinet reports and provide challenge where necessary particularly in relation to key decisions
Audit and Corporate Overview Scrutiny Committee	<ul style="list-style-type: none"> • Overseeing all aspects of risk management, governance and internal control • Provide guidance and oversight to the management of risk and challenge the effectiveness of arrangements • To seek assurance for the Council that risk management is being properly undertaken
Scrutiny	<ul style="list-style-type: none"> • In their role of scrutinising decisions taken by Executive, Scrutiny Members will ensure that associated risks have been taken into account • Identifying potential risks that may not have been previously identified
Head of Paid Service	<ul style="list-style-type: none"> • Leads on the wider Corporate Governance arrangements of which Risk Management is a part • Overall responsibility for ensuring that strategic risks are effectively managed within the Council
Senior Risk Officer (SRO)	<ul style="list-style-type: none"> • Raising the profile of risk management • Promoting the benefits of risk management • Promoting the accountability and responsibility of all staff • Embedding risk management throughout all levels of the Council
Senior Information Risk Owner (SIRO)	<ul style="list-style-type: none"> • Manage information risk from a business perspective • Establish an effective information governance framework • Ensure compliance with regulatory, statutory and organisational information security policies and standards
Section 151 Officer	<ul style="list-style-type: none"> • To assist with the development and implementation of the strategy and resourcing required to deliver the Council's objectives sustainably and in the public interest • To ensure opportunities and risks are fully considered and aligned to the Council's financial strategy • Leads on the promotion of good financial management by the whole organisation
Risk Management Group	<ul style="list-style-type: none"> • To provide a comprehensive oversight of risk throughout the organisation and become an effective conduit to and from the whole organisation in terms of risk management • To 'regularly' and 'consistently' oversee, at least quarterly, all of the risk registers ensuring they are up to date and accurate whilst offering challenge to the assessment process itself • To be responsible for risk management reporting to stakeholder groups • To review and support the development of all risk related policies, plans and strategies • To oversee the implementation of the Risk Management Strategy
Directors and Assistant Directors	<ul style="list-style-type: none"> • To review the content of the strategic risk register at least quarterly • To allocate sufficient resources to address strategic and operational risks • To identify emerging risks and address them through the risk management arrangements • To ensure that operational risks are being managed in line with the risk management arrangements and that the service area operational risk registers are up to date • Escalate when necessary
Service Managers	<ul style="list-style-type: none"> • To implement the risk management strategy and arrangements within their service area • To review the content of their operational risk register at least quarterly and provide assurance to stakeholders that risks are being effectively managed • To identify emerging operational risks and address them through the risk management arrangements • Escalate when necessary
Project / Partnership Leads	<ul style="list-style-type: none"> • To ensure that the risks associated with the project / partnership are identified and managed in line with the risk management arrangements • To review the content of their project/partnership risk register regularly depending upon the project/partnership this could be weekly • To identify emerging project/partnership risks and address them through the risk management arrangements • Escalate when necessary
Internal Audit	<ul style="list-style-type: none"> • Audit the risk management process • Assess the adequacy of the arrangements • Provide assurance to officers and elected Members on the effectiveness of the processes and arrangements • Be guided by the risk registers in terms of the annual audit plan - areas of greatest risk = greatest need for assurance
All Staff	<ul style="list-style-type: none"> • To adhere to the risk management strategy and arrangements • Report emerging or new threats and opportunities to their manager • Participate in training, risk assessments and action planning where appropriate

Risk Management Framework

Risk aware

Sensible management of threats and opportunities

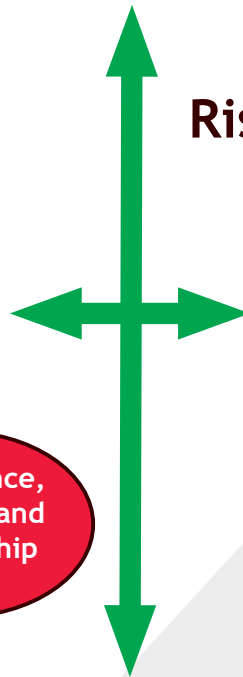


Risk unaware

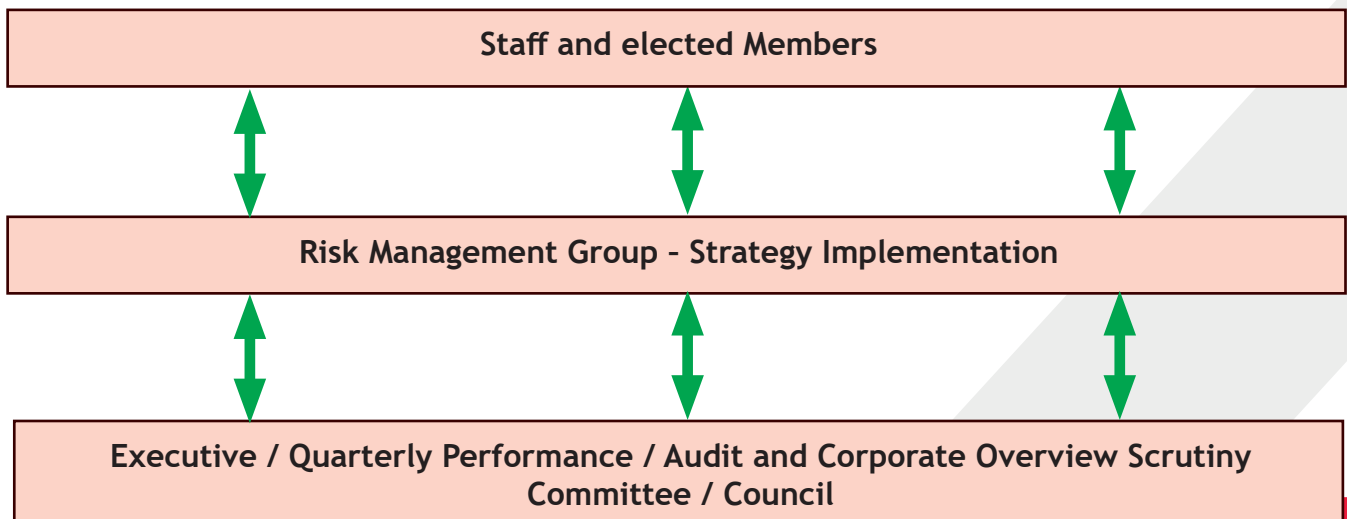
Risk averse

Risk Categorisation

Risk Management Process



Training & Development Roles & Responsibilities



Action Plan

Appendix 1

Ref:	Action	Responsibility	Target Date
RMS1	Develop an annual rolling programme of operational risk register reviews.	RMG	Dec 2022
RMS2	Further develop project and partnership risk, management arrangements and reporting.	RMG	March 2023
RMS3	Ensure all staff undertake Risk Management Awareness Training.	RMG/Executive Director	March 2023
RMS4	Ensure Members are offered Risk Management Awareness Training following the election in May 2023.	RMG/Executive Director	Summer 2023



We speak your language

Polish

Mówimy Twoim językiem

Slovak

Rozprávame Vaším jazykom

Chinese

我们会说你的语言

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STRATEGIC RISK REGISTER As of October 2022

45

Area Of Risk (Reference / Date)		Threats / Opportunities			Mitigation / Controls In Place / Actions Undertaken			Potential Further Action / Action Planned / When By Date	
STR1 The introduction of government legislation or parliamentary uncertainty which has an adverse impact on the Council's budget or ability to carry out its statutory functions, for example the Government's White Paper on Levelling Up and the potential impact of an East Midlands Combined Mayoral Authority.		<ul style="list-style-type: none"> • Unable to deliver services that meet changing local needs and aspirations. • Reduced influence over delivery of local services. • Unable to effectively support local communities. • Increased demands on Council services 			<ul style="list-style-type: none"> • The Council is outward looking and actively works to understand proposed changes and the approaches that might be adopted to mitigate any adverse impacts of these. • The Council has effective political and managerial (governance) arrangements in place to manage change. • Appropriate levels of financial reserves / investment funding are maintained to fund strategic shifts in service delivery. • Effective engagement with staff to ensure they embrace necessary change. 				
STR1	16/11/20	Inherent Risk Score (Likelihood x Impact)	5x4	16	Residual Risk Score (Likelihood x Impact)	3x4	12	Risk Owner / Lead Officer	SAMT / Political Leadership
STR2 Failure to deliver a balanced budget in line with the MTFP.		<ul style="list-style-type: none"> • Impact upon ability to deliver current level of services. • Unable to resource acceptable levels of service. • Significant adverse reputational Impact. 			<ul style="list-style-type: none"> • The Council has effective financial and wider management arrangements in place to ensure budget / service delivery arrangements are robust. • The current MTFP indicates challenging but manageable savings 				

Area Of Risk (Reference / Date)		Threats / Opportunities			Mitigation / Controls In Place / Actions Undertaken			Potential Further Action / Action Planned / When By Date	
					targets. A key risk is that under 'localism' there is less certainty concerning income (NNDR, NHB). <ul style="list-style-type: none"> The Council has 'adequate' financial reserves in place to cushion against any loss of income for a period of at least one financial year. 				
STR2	16/11/20	Inherent Risk Score (Likelihood x Impact)	4x4	16	Residual Risk Score (Likelihood x Impact)	3x4	12	Risk Owner / Lead Officer	Political Leadership / S151 Officer/ SAMT
STR3 Operational failure which has a major impact upon the provision of services to residents, communities and/or businesses (for example, ICT failure, utilities failure, or building failure).		<ul style="list-style-type: none"> A significant service failure associated with a major impact on the local community, leading to a wider detrimental corporate impact. Deterioration in services to the public, potentially a major initial impact upon a local resident or a group of local residents. Significant staff and financial resources required to resolve position, impacting on other services. A major service has its operating capacity significantly impact and is required to introduce major reform in its approach to service delivery 			<ul style="list-style-type: none"> The Council has appropriate managerial arrangements in place supported by staff recruitment and training to ensure these risks are effectively managed. The Council has a Performance Management Framework in place to help ensure that services are delivered in line with good practice and industry standards. Ongoing monitoring and regular reporting will help ensure that any emerging issues re service performance are effectively identified and resolved at the earliest possible opportunity 				
STR3	16/11/20	Inherent Risk Score (Likelihood x Impact)	3x5	15	Residual Risk Score (Likelihood x Impact)	2x5	10	Risk Owner / Lead Officer	SAMT

Area Of Risk (Reference / Date)		Threats / Opportunities			Mitigation / Controls In Place / Actions Undertaken			Potential Further Action / Action Planned / When By Date	
STR4 Difficulty recruiting to professional posts (for example Environmental Health Officers, qualified lawyers and auditors).		<ul style="list-style-type: none"> • Deterioration in services to the public. • Increasing inefficiencies in service provision. • Weakening of Internal Control arrangements. • Increased pressure on other members of staff. 			<ul style="list-style-type: none"> • There is sufficient funding to bring in agency staff where required to maintain service performance. • At this stage the problematic areas are those where there are national 'shortages'. In the majority of areas it has proved possible to recruit appropriate replacement staff. • Appropriate training budgets are in place to ensure that staff receive necessary training to maintain service quality. • The Council will look at introducing appropriate apprenticeship / training schemes in order to develop employees to meet our requirements. 				
STR4	16/11/20	Inherent Risk Score (Likelihood x Impact)	3x4	12	Residual Risk Score (Likelihood x Impact)	2x4	8	Risk Owner / Lead Officer	SAMT
STR5 Delivery of statutory services alongside the Council's Vision, initiatives, major projects and reforms, potentially overstressing limited resources.		<ul style="list-style-type: none"> • New initiatives are not delivered in a cost-effective manner. • Failure to maintain / improve services in line with local aspirations. • Failure to generate the savings required to balance the budget. • Financial savings measures weaken Governance / Internal Control arrangements. 			<ul style="list-style-type: none"> • The Council has effective prioritisation and project management arrangements in place to ensure resources are directed at key objectives. • The Council has made efforts to ensure effective use of employees by utilising shared services to protect service resilience, by maintaining appropriate training 				

Area Of Risk (Reference / Date)		Threats / Opportunities			Mitigation / Controls In Place / Actions Undertaken			Potential Further Action / Action Planned / When By Date	
		<ul style="list-style-type: none"> Service deterioration / failure arising from capacity issues. 			arrangements and by investing in transformational ICT projects. <ul style="list-style-type: none"> The Council has a robust performance management framework intended to highlight emerging issues. 				
STR5	16/11/20	Inherent Risk Score (Likelihood x Impact)	3x4	12	Residual Risk Score (Likelihood x Impact)	2x4	8	Risk Owner / Lead Officer	SAMT
STR6 Emergency Planning and Business Continuity arrangements fail to meet required standards.		<ul style="list-style-type: none"> Inability of Council to provide services as a consequence of a severe catastrophic external event (e.g. flooding, major terrorist incident, flu pandemic, fire). Failure of IT infrastructure, leading to inability to effectively operate services and to safeguard income streams. Business Continuity Plans prove ineffective in practice 			<ul style="list-style-type: none"> The Council works in partnership with a range of partners on its Emergency Planning arrangements to ensure that we operate in line with best practice. There is an annual 'desktop' scenario to test officers understanding of the arrangements and that they are fit for purpose in a realistic 'trial' scenario. All sections have Business Continuity plans in place which identify key risks and mitigation. Corporate IT systems have been tested against Industry standards for Business Continuity. The Council works in partnership with a range of other agencies that should be able to provide support in the event of the Council's own procedures failing to be effective. 				

Area Of Risk (Reference / Date)		Threats / Opportunities			Mitigation / Controls In Place / Actions Undertaken			Potential Further Action / Action Planned / When By Date	
					<ul style="list-style-type: none"> The Council has put in place industry standard measures to minimise the risk of cyber crime. 				
STR6	16/11/20	Inherent Risk Score (Likelihood x Impact)	5x5	25	Residual Risk Score (Likelihood x Impact)	5x3	15	Risk Owner / Lead Officer	SAMT
STR7 Lack of appropriate strategic direction.		<ul style="list-style-type: none"> Failure to deliver high quality services which address national and local priorities. Deterioration in Governance Arrangements. Refocus of current services necessary with associated disruption 			<ul style="list-style-type: none"> There are appropriate structured training arrangements in place for both Members and Officers. The Council is an outward looking organisation where both Members and Officers are encouraged to network with peer groups to ensure a developed awareness of the broader environment within which we operate. 				
STR7	16/11/20	Inherent Risk Score (Likelihood x Impact)	3x4	12	Residual Risk Score (Likelihood x Impact)	2x4	8	Risk Owner / Lead Officer	SAMT / Political Leadership
STR8 Failure to meet required standards of governance.		<ul style="list-style-type: none"> Adverse Impact upon Service Quality. Failure to deliver high quality services which address national and local priorities. Significant adverse reputational impact 			<ul style="list-style-type: none"> The Council has appropriate managerial arrangements in place supported by staff recruitment and training to ensure these risks are effectively managed. The Council has an active Standards and Audit Committee which provide independent review of the Governance arrangements in the Council. 				

Area Of Risk (Reference / Date)		Threats / Opportunities			Mitigation / Controls In Place / Actions Undertaken			Potential Further Action / Action Planned / When By Date	
					<ul style="list-style-type: none"> The Annual Governance Statement sets out an evidence based structured assessment of the operation of the Council's governance arrangements. 				
STR8	16/11/20	Inherent Risk Score (Likelihood x Impact)	3x4	12	Residual Risk Score (Likelihood x Impact)	2x4	8	Risk Owner / Lead Officer	S151 Officer / Monitoring Officer / SAMT
STR9 Failure to have in place robust, comprehensive and up to date policies and procedures for safeguarding children and vulnerable adults.		<ul style="list-style-type: none"> Profile of safeguarding is poor Staff and members do not know what safeguarding is and their role within it Staff and members do not know how to spot the signs Staff and members do not know how to report it and to who? Lack of public confidence in Council policies plans and staff Reputational damage Potential significant harm to individuals resulting from abuse and neglect of Children and/or Vulnerable Adults possibly leading to personal harm, injury and death 			<ul style="list-style-type: none"> The Council has in place up to date policies for safeguarding both Children and Vulnerable Adults. These policies are aligned to DCC policies which in turn are in line with legislation, regulation and statutory duties placed on Local Authorities. The Council has in place and maintain systems of working practice to safeguard children and vulnerable adults at Council activities and those who receive Council services. Staff recognised as appropriate to do, are DBS/CRB checked All staff receive mandatory safeguarding training Safeguarding is widely promoted and embedded throughout the organisation with all staff being issued with a wallet sized 'safeguarding quick reference guide' 				

Area Of Risk (Reference / Date)		Threats / Opportunities			Mitigation / Controls In Place / Actions Undertaken			Potential Further Action / Action Planned / When By Date	
					<p>which details what to look out for and what to do</p> <ul style="list-style-type: none"> • The Council has an internal safeguarding group which meets quarterly which has representation from all service areas of the Council. • The Council host and Chair the Countywide Derbyshire Safeguarding Leads Sub Group of the Derbyshire Safeguarding Childrens Board and Derbyshire Safeguarding Adults Board • The Council are represented on both the Derbyshire Safeguarding Children's Board (DSCB) and the Derbyshire Safeguarding Adults Board (DSAB) 				
STR9	16/11/20	Inherent Risk Score (Likelihood x Impact)	5x4	20	Residual Risk Score (Likelihood x Impact)	4x3	12	Risk Owner / Lead Officer	SAMT / Political Leadership
STR10 Failure to recover from the impact of COVID-19 upon the organisation, local economy and community		<ul style="list-style-type: none"> • Loss of income to the Council • Inability to provide safe working environment resulting in COVID contamination and infection • Adverse impact on employee health • Inability to change the Councils 'ways of working' to meet the current challenges 			<ul style="list-style-type: none"> • The Council plays an active role in the Local Resilience Forum (LRF) working to effectively and collectively tackle the impact of COVID within the County. • The Council has in place effective business continuity and emergency action plans 				

Area Of Risk (Reference / Date)		Threats / Opportunities			Mitigation / Controls In Place / Actions Undertaken			Potential Further Action / Action Planned / When By Date	
		<ul style="list-style-type: none"> Increased Cybersecurity and ICT related risk due to remote working increase Inability to support local businesses and employers Inability to support the community and in particular vulnerable people 			<ul style="list-style-type: none"> The Council has in place robust recovery plans which include: <ul style="list-style-type: none"> Maintaining financial control Workplace safety New ways of working ICT and cybersecurity External recovery plans 				
STR10	16/11/20	Inherent Risk Score (Likelihood x Impact)	5x5	25	Residual Risk Score (Likelihood x Impact)	5x3	15	Risk Owner / Lead Officer	SAMT / Political Leadership
STR11 Cyber security attack which severely impacts ICT systems and data. E.g. Ransomware attack rendering access to ICT unavailable for some time.		<ul style="list-style-type: none"> Inability of Council to provide services as a consequence of a severe catastrophic event which renders access to ICT unavailable such as Ransomware attack. Potential ICO Fines and reputational damage. Adverse Impact upon Service Quality and income streams. Failure to deliver high quality services which address national and local priorities. Potential ICO fines for loss of data Significant adverse reputational impact. Significant cost to Council. 			<ul style="list-style-type: none"> See Operational level activities risk reference ICT1 The Council works in partnership with a range of partners on its Emergency Planning arrangements to ensure that we operate in line with best practice. All sections have Business Continuity plans in place which identify key risks and mitigation. Corporate IT systems have been tested against Industry standards for Business Continuity. 			Emergency planning to run Cyber security training events. Improved awareness to Service Managers. Service Managers to review business continuity plans specifically relating to cyber-attack.	

Area Of Risk (Reference / Date)		Threats / Opportunities			Mitigation / Controls In Place / Actions Undertaken			Potential Further Action / Action Planned / When By Date	
STR11	08/02/2021	Inherent Risk Score (Likelihood x Impact)	5x5	25	Residual Risk Score (Likelihood x Impact)	5x5	25	Risk Owner / Lead Officer	SAMT / Political Leadership
STR12 Significant increases to general cost of living which may impact on Council income including Council Tax, Business Rates, increased rent arrears and reduced leisure income. Significant increases in fuel prices (both vehicle and property) having an adverse effect on the Council's budget.		<ul style="list-style-type: none"> • Reduced income to the Council which impacts on the Council's MTFP including: • Reduced income from leisure services and other council services which attract income • Reduced Council Tax, rent and Business Rates income • Increase in fuel prices • Increase in energy prices • Increases in staff pay award above the budgeted amount 			<ul style="list-style-type: none"> • Early identification of reduced income to mitigate impact • Early engagement with residents, tenants, businesses and service users in relation to payment plans • Procurement of fuel to achieve best prices • Regular monitoring of energy prices and assessments of impact against budget • Regular budget monitoring • Potential for future Government support 				
STR12	08/04/22	Inherent Risk Score (Likelihood x Impact)	4x4	16	Residual Risk Score (Likelihood x Impact)	4x3	12	Risk Owner / Lead Officer	SAMT / Political Leadership
STR13 Housing pressures: Homelessness and pressure on suitable housing provision across the District. Increases in the number of Section 21 Notices being		<ul style="list-style-type: none"> • Increases in Section 21 Notices and residents notifying as homeless • Impact of the cost of living crisis on homelessness • Lack of suitable available housing including family sized appropriate accommodation 			<ul style="list-style-type: none"> • Close working with Derbyshire County Council Resettlement Team to ensure data is accurate and complete. Use of alternative ICT programmes to share and update records i.e. Sharepoint • Development of a standard proforma for property inspections. Timely feeding back of information 				

Area Of Risk (Reference / Date)		Threats / Opportunities			Mitigation / Controls In Place / Actions Undertaken			Potential Further Action / Action Planned / When By Date	
<p>issued by private sector landlords.</p> <p>Housing resettlement programmes including the Afghan Resettlement Scheme and the Homes for Ukraine Scheme. Potential housing availability pressures, safeguarding, potential homelessness and effective co-ordination of the schemes whilst in the early stages of development.</p>		<ul style="list-style-type: none"> • Additional pressures on housing provision arising from resettlement programmes • Initial data issues from the Government portal (Homes for Ukraine Scheme) • Identification of safeguarding issues, including unaccompanied children, vulnerable adults and inappropriate housing • Lack of resources to undertake timely inspections • Breakdown in relationships with hosts leading to homelessness and the requirement to find alternative housing • Uncertainty of long term options 			<p>to DCC with any concerns raised immediately.</p> <ul style="list-style-type: none"> • Use of paid overtime for staff to undertake inspections • Access to government funding via the DCC allocation • Use of homelessness provisions within the Council's housing team including emergency and temporary accommodation • Use of safeguarding reporting in accordance with established policies • Early consideration of potential increases in homelessness as the scheme approaches 6 & 12 month timescales 				
STR13	08/04/22	Inherent Risk Score (Likelihood x Impact)	5x4	20	Residual Risk Score (Likelihood x Impact)	4x4	16	Risk Owner / Lead Officer	SAMT / Political Leadership
<p>STR14</p> <p>The impact of Climate Change</p>		<ul style="list-style-type: none"> • Failure to meet government policy and targets • Failure to meet Council targets • Impact of statutory requirements and targets on the Council's budget • Damage to the Council's reputation • Responding to environmental events including weather and land issues 			<ul style="list-style-type: none"> • Delivery of the Climate Change Strategy and Group Action Plan • Training and qualifications on climate change and carbon literacy • Appropriate emergency plan, business continuity plans and weather planning • Close monitoring of new policy requirements and targets 				

Area Of Risk (Reference / Date)		Threats / Opportunities			Mitigation / Controls In Place / Actions Undertaken			Potential Further Action / Action Planned / When By Date	
STR14	08/04/22	Inherent Risk Score (Likelihood x Impact)	4x4	16	Residual Risk Score (Likelihood x Impact)	3x4	12	Risk Owner / Lead Officer	SAMT / Political Leadership
STRxx		•			•				
STRxx	16/11/20	Inherent Risk Score (Likelihood x Impact)			Residual Risk Score (Likelihood x Impact)			Risk Owner / Lead Officer	SAMT / Political Leadership

Bolsover District Council

Meeting of the Executive on Monday 31st October 2022

Budget Monitoring Report

Report of the Portfolio Holder for Finance

Classification	This report is public
Report By	Assistant Director of Finance and Resources
Contact Officer	Assistant Director of Finance and Resources Theresa Fletcher 01246 242548 theresa.fletcher@bolsover.gov.uk

PURPOSE/SUMMARY OF REPORT

To update Executive on the financial position of the Council following the second quarter's budget monitoring exercise for the General Fund, the Housing Revenue Account (HRA), Capital Programme and Treasury Management activity.

REPORT DETAILS

1.1 This report provides the current financial position following the 2022/23 quarter 2 monitoring exercise.

General Fund Revenue Account

1.2 The General Fund Revenue Account summary is shown in Appendix 1. The original budget for 2022/23 showed a funding deficit of £0.082m. The current budget shows this has reduced to £0.138m surplus after the Council tax increase, Q1 vacancy savings and other small movements are included. As savings are identified and secured they are moved into the relevant cost centres within the main General Fund Directorates. Appendix 2 details the net cost of each cost centre within the Directorates.

1.3 After quarter 1 the salary budgets were adjusted to remove the £0.131m identified in the report. This saving was due to a combination of vacant posts taking longer to fill, maternity leave and restructuring changes. Salary budgets are already being reviewed for further savings as part of the revised budget process and savings will be removed from budgets where possible.

1.4 Within the Directorates there is the following to report:

- The Resources Directorate shows a favourable variance of £0.463m. This relates mainly to :
 1. Under spends due to invoices not yet paid and vacancies at the end of the quarter (£0.632m) – favourable.
 2. Income received in advance of any expenditure (£1.016m) – favourable
 3. Annual invoices were paid in quarter 1 which makes the profiled budget look overspent (£0.467m) – adverse.
 4. Expenditure has been spent but the income hadn't been received as it is claimed in arrears (£0.513m) – adverse.
 5. Over spends against quarter 1 budget due to less income received, new pressures or where expenditure is seasonal and not profiled over 4 quarters (£0.239m) – adverse

- The Strategy and Development Directorate shows a favourable variance of £0.444m. This relates mainly to:
 1. Under spends due to invoices not yet paid and vacancies at the end of the quarter (£0.738m) – favourable.
 2. Income received in advance of any expenditure (£0.280m) – favourable.
 3. Annual invoices were paid in quarter 1 which makes the profiled budget look overspent (£0.315m) – adverse.
 4. Expenditure has been spent but the income hadn't been received as it is claimed in arrears (£0.238m) – adverse.
 5. Over spends against quarter 1 budget due to less income received, new pressures or where expenditure is seasonal and not profiled over 4 quarters (zero) – adverse.

- 1.5 In order to improve the monitoring and control of Section 106 monies received by the Council, the sums due to be utilised in a financial year are now recorded within the General Fund directorate budgets with the expenditure recorded against these sums. The amount budgeted to be spent in 2022/23 is £1.449m. Of this £0.030m has to be spent by 1/11/22 and a further £0.068m has to be spent by December 2022. Officers are working to ensure that this spend is undertaken in line with the S106 legal requirements.

- 1.6 The overall position at the end of quarter 2 shows that there is a favourable variance of £0.907m, with most identified variances as a consequence of timing. However, work is already under way to establish a revised budget position for 2022/23. Finance began working with budget managers during quarter 2 to establish the necessary increases to fuel, utilities and inflation linked non-staff budgets caused by the current level of inflation. We will include an increase in the revised budgets for the most up-to-date position on the Local Government pay award, nearer to our cut-off time in November. Estimates of income from fees and charges, plus the latest predictions for growth are also being updated.

- 1.7 The table below shows the latest position of all years in the current MTFP. It should be remembered that for all years from 2023/24 there is a transfer into the general fund from the NNDR Growth Protection Reserve to replace the losses caused by changes in Government funding. As a Council we made it our strategy to save

extra income earned in years when we received more than we estimated, to be able to use it in future years' when income was reduced.

- 1.8 These transfers are £0.004m into the reserve in 2022/23, then contributions from the reserve of £3.262m in 2023/24, £2.990m in 2024/25 and £1.802m 2025/26. Any surplus made since April 2022 will be returned to the reserve to extend the use of the reserve for as long as possible.
- 1.9 This reserve is not a sustainable source of income for the general fund. For this reason we now include in table1, estimates of potential new income from current projects and plans known about by the Council. As mentioned in 1.6, as part of updating the revised budgets and the MTFP these income estimates will be updated.

<u>Table 1</u>	2022/23 Budget £000	2023/24 Budget £000	2024/25 Budget £000	2025/26 Budget £000
Budget Shortfall – MTFP Feb 2022	82	18	0	1,212
Pension costs to be funded by GF balance	(82)	(18)	0	0
Efficiencies identified to date (removed from budget)	(220)	(112)	(112)	(112)
Current Budget Shortfall/(Surplus)	(220)	(112)	(112)	1,100
Efficiencies identified <u>not yet realised</u>	0	(110)	(220)	(330)
Potential new income	(443)	(1,097)	(1,682)	(2,141)
Target Budget Surplus	(663)	(1,319)	(2,014)	(1,371)

- 1.10 Once work on revised budgets has been completed, the revised position will be presented to Members in November and December. The work on the MTFP update and the new year which also began in quarter 2 will be presented to Members in January and February.

Government funding update

- 1.11 During September the Chancellor of the Exchequer announced his mini budget. There were plenty of changes to taxes but it changed very little for local government, at least directly.
- 1.12 The budget said nothing about revisiting last year's Spending Review which was announced in November 2021, even though the figures used at that time were based on 3% annual inflation and public pay rises of 1% - 2%. Inflation and pay are likely to be triple the original forecasts.

- 1.13 The Chancellor has released a statement saying that he will publish a Medium-Term Fiscal Plan on 23rd November 2022. The Fiscal Plan “will set out further details on the government’s fiscal rules.” The Government “is sticking to spending settlements for this spending review period”. Getting confirmation of the current spending review spending settlements will provide us with some short-term certainty but it also strongly implies that there will be no additional funding for inflation pressures over the next two years.
- 1.14 The medium term financial plan will be updated as far as possible to include all known implications from the new Spending Review 2022. No mention has been made of the delayed Fair Funding Review so our assumption remains that these have all been pushed back to 2025/26.

Housing Revenue Account (HRA)

- 1.15 The Housing Revenue Account summary for the second quarter of 2022/23 is set out in Appendix 3 to this report. At the end of quarter 2 the HRA is showing a net surplus of £0.510m.

Expenditure

- 1.16 Expenditure shows an overall favourable variance of £0.558m. The main areas to highlight are listed below:

1. Vacancies for quarter 2 across all areas of the HRA are £0.249m. Attempts have been made to recruit to numerous vacant post but not all have been filled at this time. The savings from vacancies will be removed as part of the revised budget process.
2. Subcontractor payments within repair and maintenance are under spent by £0.115m due to the timing of invoices being received.
3. Rent, Rates, Taxes and Other Charges expenditure is £0.124m under spent due to the Council Tax liability on void properties not being paid until later in the year.
4. Within supervision and management, disturbance allowance payments are over spent at £0.046m due to decanting people out of properties connected to the Bolsover Homes projects, that weren’t included in the original budget.
5. Expenditure on new build scheme evaluations looks under spent for the quarter by £0.120m because the expenditure can’t be evenly profiled throughout the year.

Income

- 1.17 The quarter 2 income figures show an adverse variance of £0.048m. The largest variance is due to voids at £0.144m. The budget was based on a 3% voids level assumption but at the end of quarter 2, the voids were averaging 3.52% which is a slight reduction on the quarter 1 average of 3.86%.

- 1.18 Other variances for income are £0.026m adverse variance where the Travis Perkins profit share has not yet been received for 2021/22 and favourable variances for the independent living service and community alarms due to DCC notifying us after we'd produced the budget that they were extending their use of the services mentioned.

HRA – Overall Summary

- 1.19 In light of the above and the expenditure patterns to date, the only significant issue to report regarding the overall position for the HRA at the end of the second quarter is the reduction in income caused by voids being at a level higher than budgeted for.
- 1.20 The additional void rent loss is as a result of the on-going ambitions of the Council with the delivery of a wide range of capital schemes, the nature of these schemes often requires the decanting of tenants. Once schemes are completed it is the aim to then let all of the properties within the scheme.

Rent rise cap consultation – 2023/24

- 1.21 Members will be aware that The Department for Levelling Up, Housing and Communities (DLUHC) Policy Statement on rents for social housing – published February 2019 states, *'In October 2017, the government announced its intention to set a long-term rent deal for both local authority landlords and housing associations. This would permit annual rent increases on both social rent and affordable rent properties of up to CPI (Consumer Price Index) plus 1 percent from 2020, for a period of at least five years.'*
- 1.22 With inflation at 10% during September this could have meant potential increases to social housing rents for 2023/24 of 11% on top of the soaring cost of living already faced. The Government has launched a consultation on the rent rise cap seeking views on whether 3%, 5%, 7% or any other limit would be more appropriate than 11%. I have responded to the consultation on behalf of the Council.
- 1.23 There is clearly a balancing act needed to protect tenants from huge, potentially unaffordable increases while at the same time making sure the HRA 30-year business plan remains sustainable. For the life of the current medium term financial plan, we have estimated a rent increase of 2%. We have estimated the pay and inflation increases at 2.25% and 2% respectively. However, with current potential pay awards being settled much higher than this and inflation running around 10%, it is easy to see how different scenarios could cause the HRA business plan to be unbalanced.
- 1.24 Although this rent rise cap will not have any effect on the 2022/23 HRA income figures it is hoped the results of the consultation are known about in plenty of time to feed into the update of the medium term financial plan.

Capital Programme

Capital Expenditure

- 1.25 The capital programme summary for the second quarter of 2022/23 is provided in Appendix 4 to this report.

- 1.26 In headline terms, the capital programme profiled budget for quarter 2 is £13.324m and the actual spend and known commitments total £9.895m, which is £3.429m behind the planned spend position. The main areas to highlight are listed below:
1. The Shirebrook Crematorium is over spent for the quarter by £0.306m but is within the years' budget. This is preliminary work being undertaken that can't be profiled evenly.
 2. Dragonfly loan and acquisition of share capital are showing as £1.105m under spent. This scheme is now being reconsidered in light of recent events.
 3. The GF Vehicle Replacements are showing as over spent for the quarter £0.633m but the scheme can't be quarterly profiled.
 4. The new build HRA properties are together £2.401m under spent for the quarter due to the phasing of the individual schemes.
 5. The HRA Vehicle Replacements appear over spent at £0.110m but again the scheme can't be quarterly profiled.
 6. The Safe and Warm scheme is currently £1.156m under spent at the end of the quarter.
- 1.27 Whilst there are no significant financial issues to report regarding capital expenditure at the end of the second quarter, it must be noted that the delivery of the approved capital programme is behind the profiled position as at quarter 2. This is not unusual.

Capital Resources

- 1.28 HRA – The Council has sufficient capital resources in place to finance the HRA actual expenditure and commitments at the end of the second quarter.

General Fund – The financing of the General Fund part of the capital programme is in line with the approved financing arrangements.

Treasury Management

- 1.29 The treasury management function covers the borrowing and investment of Council money. This includes both the management of the Council's day to day cash balances and the management of its long term debt. All transactions are conducted in accordance with the Council's approved strategy and the CIPFA Code of Practice. Good treasury management plays an important role in the sound financial management of the Council's resources.
- 1.30 The Council approved the 2022/23 Treasury Management Strategy at its meeting in February 2022. Appendix 5 identifies the Treasury Management activity undertaken during the second quarter of 2022/23 and demonstrates that this is in line with the plans agreed as part of the strategy. The income received from investments is currently much higher than budgeted. This is due to the increases in the Bank base rate we have seen since the budget was set in December. This budget will be reviewed as part of the revised budget process.
- 1.31 We have used a number of Money Market Funds (MMF's) during quarter 2 to place the cash that we don't have an immediate need to use. MMF's are currently offering better interest rates than banks although we are still achieving below bank base rate on our investments. Careful monitoring of our cash balances is being

undertaken on a daily basis and we are looking where we could put investments out for a longer period in order to obtain better rates. A full assessment of this is being done to update the revised budgets.

2 Reasons for Recommendation

- 2.1 The report summarises the financial position of the Council following the second quarter's budget monitoring exercise for the General Fund, the Housing Revenue Account, Capital Programme and Treasury Management activity.

3 Alternative Options and Reasons for Rejection

- 3.1 The Budget Monitoring report for 2022/23 is primarily a factual report which details progress against previously approved budgets. Accordingly, there are no alternative options to consider.

RECOMMENDATION(S)

- 1 That Executive notes the monitoring position of the General Fund at the end of the second quarter as detailed on Appendix 1 (A net favourable variance of £0.907m against the profiled budget) and the key issues highlighted within this report.
- 2 That Executive notes the position on the Housing Revenue Account (HRA), the Capital Programme and Treasury Management at the end of the second quarter (Appendices 3, 4 and 5).

Approved by the Portfolio Holder for Finance, Councillor Clive Moesby

IMPLICATIONS:

Finance and Risk: Yes No

Details:

Financial implications are covered throughout this report.

The issue of Financial Risk is covered throughout the report. In addition, however, it should be noted that the risk of not achieving a balanced budget is outlined as a key risk within the Council's Strategic Risk Register. While officers are of the view that these risks are being appropriately managed it needs to be recognised that there may be pressures on all of the Council's main budgets as these have been or are being reduced to minimum levels. These will need to be managed carefully during the course of this financial year if we are to protect the existing financial balances and reduce the funding deficit in 2025/26 in light of current inflation levels.

On behalf of the Section 151 Officer

Legal (including Data Protection): Yes No

Details:

There are no legal or data protection issues arising directly from this report.

On behalf of the Solicitor to the Council

Staffing: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Details: There are no human resource issues arising directly out of this report. <div style="text-align: right;">On behalf of the Head of Paid Service</div>

DECISION INFORMATION

Is the decision a Key Decision? A Key Decision is an executive decision which has a significant impact on two or more District wards or which results in income or expenditure to the Council above the following thresholds: Revenue - £75,000 <input type="checkbox"/> Capital - £150,000 <input type="checkbox"/> <input checked="" type="checkbox"/> <i>Please indicate which threshold applies</i>	No
Is the decision subject to Call-In? <i>(Only Key Decisions are subject to Call-In)</i>	No

District Wards Significantly Affected	All
Consultation: Leader / Deputy Leader <input type="checkbox"/> Executive <input type="checkbox"/> SLT <input type="checkbox"/> Relevant Service Manager <input type="checkbox"/> Members <input type="checkbox"/> Public <input type="checkbox"/> Other <input type="checkbox"/>	Details: Portfolio Holder for Finance

Links to Council Ambition: Customers, Economy and Environment.

DOCUMENT INFORMATION	
Appendix No	Title
1	General Fund Summary
2	General Fund Detail
3	HRA Summary
4	Capital Programme
5	Treasury Management Update
Background Papers	
<i>(These are unpublished works which have been relied on to a material extent when preparing the report. They must be listed in the section below. If the report is going to Executive you must provide copies of the background papers).</i>	
None	

Appendix 1

GENERAL FUND SUMMARY - 2022/23

APPENDIX 1

	Per Council	Per FMS			
	2/2/22	Current	6 months	6 months	6 months
	Original	Budget	Budget	Actuals	Variance
	Budget	Budget	Budget	Actuals	Variance
	£	£	£	£	£
Resources	5,747,889	11,175,419	5,587,710	5,604,911	17,201
Strategy and Development	4,767,755	5,129,021	2,564,511	2,376,540	(187,970)
<u>S106 due in year</u>					
Resources	534,579	659,176	329,588	(150,853)	(480,441)
Strategy and Development	789,479	789,908	394,954	138,713	(256,241)
Net Cost of Services	11,839,702	17,753,524	8,876,762	7,969,311	(907,451)
Debt Charges	562,762	562,762	281,381	281,381	0
Investment Interest	(97,944)	(97,944)	(48,972)	(48,972)	0
Contributions to Reserves	1,411,667	1,502,185	751,093	751,093	0
Contributions from Earmarked Reserves	(316,084)	(468,507)	(234,254)	(234,254)	0
Contribution (from)/to S106 Holding A/cs and Miscellaneous Holding A/cs	(1,600,416)	(1,846,412)	(923,206)	(923,206)	0
Contribution from Grant A/cs	0	(8,517,568)	(4,258,784)	(4,258,784)	0
Parish Precepts	3,294,344	3,645,990	1,822,995	1,822,995	0
Total Spending Requirement	15,094,031	12,534,030	6,267,015	5,359,564	(907,451)
Revenue Support Grant	(1,231,521)	(1,231,521)	(615,761)	(615,761)	0
Business Rate Retention	(5,325,514)	(5,325,514)	(2,662,757)	(2,662,757)	0
New Homes Bonus Grant	(1,036,272)	(1,036,272)	(518,136)	(518,136)	0
BDC Council Tax Requirement	(4,124,314)	(4,323,074)	(2,161,537)	(2,161,537)	0
Parish Council, Council Tax Requirement	(3,294,344)	(3,645,990)	(1,822,995)	(1,822,995)	0
COVID-19 Related Support funded by Grants	0	2,889,884	1,444,942	1,444,942	0
Funding Requirement	(15,011,965)	(12,672,487)	(6,336,244)	(6,336,244)	0
Funding gap/(surplus)	82,066	(138,457)	(69,229)	(976,680)	(907,451)

General Fund Detail - 2022/23

APPENDIX 2

List of net budgets per cost centre per directorate			Full Years	6 months	6 months	6 months	
			Budget	Budget	Actuals	Variance	
			£	£	£	£	
RES	G001	Audit Services	128,660	64,330	128,660	64,330	Budget committed for the full year (call-off order).
RES	G002	I.C.T.	966,750	483,375	561,582	78,207	Business software contracts paid for full year £141k. Hired + contract £8k under spent. M365 funded by covid not yet spent £43k and leased lines £7k under spent.
RES	G007	Community Safety - Crime Reduction	62,755	31,378	23,943	(7,435)	
RES	G008	Community Safety Grant	0	0	14,558	14,558	
RES	G010	Neighbourhood Management	66,885	33,443	32,789	(654)	
RES	G013	Community Action Network	303,367	151,684	160,121	8,437	
RES	G014	Customer Contact Service	763,602	381,801	366,288	(15,513)	Salaries under spent.
RES	G017	Private Sector Housing Renewal	85,378	42,689	38,290	(4,399)	
RES	G018	Environmental Health Covid Team	40,448	20,224	146	(20,078)	Recharge from NE Q2 outstanding.
RES	G020	Public Health	(70,000)	(35,000)	70,000	105,000	£70k income accrual still outstanding from CBC. Usually paid in July. 2022/23 income will not be received until July 2023.
RES	G021	Pollution Reduction	234,844	117,422	116,763	(659)	
RES	G022	Env Health - Health + Safety	0	0	(239)	(239)	
RES	G023	Pest Control	33,314	16,657	15,410	(1,247)	
RES	G024	Street Cleansing	330,528	165,264	156,175	(9,089)	
RES	G025	Food, Health & Safety	133,397	66,699	59,783	(6,915)	
RES	G026	Animal Welfare	98,632	49,316	46,178	(3,138)	
RES	G028	Domestic Waste Collection	1,020,931	510,466	517,456	6,991	
RES	G030	Street Trading	0	0	(452)	(452)	
RES	G032	Grounds Maintenance	717,112	358,556	365,780	7,224	

Appendix 2

General Fund Detail - 2022/23

APPENDIX 2

List of net budgets per cost centre per directorate			Full Years	6 months	6 months	6 months	
			Budget	Budget	Actuals	Variance	
			£	£	£	£	
RES	G033	Vehicle Fleet	1,031,204	515,602	667,986	152,384	Staff costs £24k under spent for 1/4. Fuel showing £140k over the 1/4 due to price increases. Hired + contract committed more than 1/4 £35k. Diesel recharge to NE over achieved due to price increases £16k. MOT income under achieved by £10k.
RES	G036	Environmental Health Mgmt & Admin	261,162	130,581	124,863	(5,718)	
RES	G038	Concessionary Fares & TV Licenses	(10,380)	(5,190)	(326)	4,864	
RES	G040	Corporate Management	185,183	92,592	54,840	(37,751)	Not yet received invoice for Q1 + Q2 22/23, payable to Mazars.
RES	G041	Non Distributed Costs	664,737	332,369	198,302	(134,067)	September superann. payment £80k not due until October. Added years commitment for Q2 not yet on - £50k.
RES	G043	Director of Resources	141,306	70,653	68,957	(1,696)	
RES	G044	Financial Services	325,785	162,893	154,125	(8,768)	
RES	G046	Homelessness	180,111	90,056	31,034	(59,022)	Grant funding received in advance £73k and homelessness prevention £15k committed for more than 1/4 year.
RES	G047	Household Support Fund	0	0	102,423	102,423	Grant funding to be received from DCC after expenditure incurred.
RES	G048	Town Centre Housing	(10,600)	(5,300)	0	5,300	
RES	G053	Licensing	34,049	17,025	20,156	3,132	
RES	G061	Bolsover Wellness Programme	64,921	32,461	70,688	38,227	Income not yet received.
RES	G062	Extreme Wheels	(3,408)	(1,704)	28,455	30,159	Income not yet received.
RES	G063	This Girl Can	1,908	954	409	(545)	
RES	G064	Bolsover Sport	140,573	70,287	51,415	(18,872)	Salary under spends.
RES	G065	Parks, Playgrounds & Open Spaces	41,364	20,682	17,360	(3,322)	
RES	G069	Arts Projects	51,157	25,579	22,648	(2,931)	
RES	G070	Outdoor Sports & Recreation Facilities	19,663	9,832	12,151	2,320	

General Fund Detail - 2022/23

APPENDIX 2

List of net budgets per cost centre per directorate			Full Years	6 months	6 months	6 months	
			Budget	Budget	Actuals	Variance	
			£	£	£	£	
RES	G071	New Creswell Leisure Centre	0	0	9,892	9,892	To be fully recharged to the Health + Wellbeing Trust.
RES	G072	Leisure Services Mgmt & Admin	259,237	129,619	104,810	(24,809)	Bolsover Countryside Partnership contribution not yet due.
RES	G097	Groundwork & Drainage Operations	72,914	36,457	27,866	(8,591)	
RES	G100	Benefits	403,371	201,686	97,690	(103,995)	£113k income received in advance for the year. Software maintenance invoices paid for full year £23k and postage £4k under spent.
RES	G103	Council Tax / NNDR	379,983	189,992	296,318	106,327	Fees + charges income not transferred until year end showing £118k under for the 1/2. Invoices paid in advance for the year £10k. Salaries under spent £16k.
RES	G105	Council Tax Energy Rebate	5,327,550	2,663,775	2,663,775	0	£5,356,704 of the grant is paid to date - difference to be funded by Government.
RES	G106	Housing Anti Social Behaviour	137,313	68,657	58,957	(9,699)	
RES	G113	Parenting Practitioner	37,779	18,890	18,126	(764)	
RES	G117	Payroll	75,160	37,580	36,825	(755)	
RES	G123	Riverside Depot	164,981	82,491	118,568	36,077	Business rates paid for year £21k plus repair + maintenance paid more than 1/4 £8k.
RES	G124	Street Servs Mgmt & Admin	46,078	23,039	25,931	2,892	
RES	G125	S106 Percent for Art	30,985	15,493	(9,869)	(25,361)	Income received from developer, can't be 1/4ly profiled.
RES	G126	S106 Formal and Informal Recreation	203,328	101,664	(116,795)	(218,459)	Income received from developer, can't be 1/4ly profiled.
RES	G135	Domestic Violence Worker	76,985	38,493	(10,421)	(48,913)	Grant Received for year £32k - Cannot Profile 1/4ly plus Hired + contract under spent for 1/4 £15k.
RES	G142	Community Safety - CCTV	4,937	2,469	1,470	(999)	
RES	G143	Housing Strategy	37,731	18,866	19,992	1,127	
RES	G144	Enabling (Housing)	19,249	9,625	9,419	(205)	
RES	G146	Pleasley Vale Outdoor Activity Centre	85,922	42,961	30,994	(11,967)	

General Fund Detail - 2022/23

APPENDIX 2

List of net budgets per cost centre per directorate			Full Years	6 months	6 months	6 months	
			Budget	Budget	Actuals	Variance	
			£	£	£	£	
RES	G148	Commercial Waste	(141,600)	(70,800)	(367,002)	(296,202)	Income over achieved by £198k as sundry debtor invoices have been raised for Mth 1-12. Waste disposal cost awaiting invoices for Q1 + Q2 22/23 £90k.
RES	G149	Recycling	298,950	149,475	187,355	37,880	No invoices received for hired and contract £128k. Income credits not raised £215k, salaries under spent £33k and invoice payable to NE not received yet £9k.
RES	G153	Housing Advice	15,927	7,964	7,320	(643)	
RES	G155	Customer Services	37,655	18,828	17,422	(1,406)	
RES	G161	Rent Rebates	(134,349)	(67,175)	(67,174)	1	
RES	G162	Rent Allowances	38,352	19,176	19,176	0	
RES	G164	Support Recharges	(4,393,307)	(2,196,654)	(2,196,653)	0	
RES	G168	Multifunctional Printers	37,600	18,800	28,113	9,313	
RES	G170	S106 Outdoor Sports	424,863	212,432	(24,190)	(236,621)	Income received from developer and expenditure not yet incurred, can't be 1/4ly profiled.
RES	G176	Affordable Warmth	21,631	10,816	15,000	4,185	
RES	G179	School Sports Programme	0	0	6,121	6,121	
RES	G181	STEP	0	0	295	295	
RES	G182	Community Outreach Programmes	12,879	6,440	4,622	(1,818)	
RES	G183	Holiday Activity + Food (HAF) programme	0	0	(3,826)	(3,826)	
RES	G197	Assistant Director of Finance + Resources	93,665	46,833	45,549	(1,283)	
RES	G198	Assistant Director of Housing (GF)	35,049	17,525	16,915	(609)	
RES	G199	Assistant Director of Street Scene	86,530	43,265	42,558	(707)	
RES	G207	Cycling	0	0	257	257	
RES	G221	Sports Leaders	0	0	(12)	(12)	

General Fund Detail - 2022/23

APPENDIX 2

List of net budgets per cost centre per directorate			Full Years	6 months	6 months	6 months	
			Budget	Budget	Actuals	Variance	
			£	£	£	£	
RES	G228	Go Active Clowne Leisure Centre	909	455	40,838	40,383	Total income £120k over achieved but can't be quarterly profiled, business rates bill paid 12 months for £82k, plus net over spends for utilities for 1/4 £49k and salaries £19k for 1/4, but September income not yet included.
RES	G229	Housing Standards	0	0	(1,214)	(1,214)	
RES	G239	Housing + Comm Safety Fixed Penalty Acc	1,000	500	323	(178)	
		Total for Resources Directorate	11,834,595	5,917,298	5,454,058	(463,240)	
STR	G003	Communications, Marketing + Design	287,854	143,927	138,713	(5,214)	
STR	G006	Partnership, Strategy & Policy	427,459	213,730	198,216	(15,513)	
STR	G009	Dragonfly	0	0	(2,580)	(2,580)	
STR	G011	Assistant Director of Leader's Executive Team	86,903	43,452	42,195	(1,256)	
STR	G012	Community Champions	14,397	7,199	13,553	6,354	
STR	G015	Customer Service + Improvement	130,942	65,471	59,677	(5,794)	
STR	G016	Skills Audit	15,160	7,580	8,003	423	
STR	G019	Kickstart	0	0	(2,679)	(2,679)	
RES	G027	Emergency Planning	16,447	8,224	16,598	8,374	
STR	G031	S106 - Biodiversity	14,679	7,340	0	(7,340)	
STR	G039	Children and YP Emotional Well-being	37,500	18,750	0	(18,750)	Expenditure not yet incurred.
STR	G052	Human Resources	212,352	106,176	87,762	(18,414)	Salaries under spent.
STR	G054	Electoral Registration	184,499	92,250	81,221	(11,029)	
STR	G055	Democratic Representation & Management	521,076	260,538	266,533	5,995	
STR	G056	Land Charges	(1,378)	(689)	(1,810)	(1,121)	
STR	G057	District Council Elections	25,000	12,500	0	(12,500)	
STR	G058	Democratic Services	297,418	148,709	72,805	(75,904)	Salaries under spent £69k due to vacancies.
STR	G060	Legal Services	243,175	121,588	89,448	(32,139)	Salaries under spent.
STR	G073	Planning Policy	281,669	140,835	125,800	(15,035)	Professional fees under spent.

General Fund Detail - 2022/23

APPENDIX 2

List of net budgets per cost centre per directorate			Full Years	6 months	6 months	6 months	
			Budget	Budget	Actuals	Variance	
			£	£	£	£	
STR	G074	Planning Development Control	23,352	11,676	(81,518)	(93,194)	Planning fee income £113k over achieved.
STR	G076	Planning Enforcement	118,686	59,343	39,409	(19,934)	Salaries under spent.
STR	G077	LGA Housing Advisers Programme (HAP)	25,000	12,500	0	(12,500)	
STR	G078	LGA Net Zero Innovation Programme (NZIP)	30,000	15,000	8,308	(6,692)	
STR	G079	Senior Urban Design Officer	23,174	11,587	10,510	(1,077)	
STR	G080	Engineering Services (ESRM)	99,280	49,640	71,864	22,224	Business rates bill paid for 12 months.
STR	G082	Tourism Promotion + Development	32,112	16,056	0	(16,056)	Salary under spends.
STR	G083	Building Control Consortium	55,000	27,500	0	(27,500)	Q1 + Q2 invoices not yet received.
STR	G085	Economic Development	53,387	26,694	28,407	1,714	
STR	G086	Alliance	5,250	2,625	3,413	788	
STR	G088	Derbyshire Economic Partnership	15,000	7,500	0	(7,500)	
STR	G089	Premises Development	(44,030)	(22,015)	(3,958)	18,057	Business rates bill paid for 12 months.
STR	G090	Pleasley Vale Mills	(156,231)	(78,116)	(26,977)	51,139	Hired & Contract and repairs budgets committed for the year £87k + income received in advance £57k, business rates paid for 12 months £15k.
STR	G092	Pleasley Vale Electricity Trading	(67,312)	(33,656)	62,535	96,191	Income not yet invoiced.
STR	G095	Estates + Property	544,967	272,484	252,292	(20,191)	Salaries under spent £17k.
STR	G096	Building Cleaning (General)	105,222	52,611	55,907	3,296	
STR	G099	Catering	500	250	0	(250)	
STR	G109	Director of Strategy and Development	141,401	70,701	69,257	(1,444)	
STR	G110	Assistant Director of Development	86,888	43,444	42,252	(1,192)	
STR	G111	Shared Procurement	49,171	24,586	12,801	(11,784)	
STR	G114	Strategic Investment Fund	100,000	50,000	0	(50,000)	Can't be 1/4ly profiled.
STR	G116	Parish Council Elections	0	0	0	0	
STR	G129	Bolsover Apprenticeship Programme	0	0	(4,500)	(4,500)	

General Fund Detail - 2022/23

APPENDIX 2

List of net budgets per cost centre per directorate			Full Years	6 months	6 months	6 months	
			Budget	Budget	Actuals	Variance	
			£	£	£	£	
STR	G131	Bolsover Community Woodlands Project	0	0	20,286	20,286	Expenditure not yet incurred £28k. Income not yet received £49k.
STR	G132	Planning Conservation	29,231	14,616	22,113	7,498	
STR	G133	The Tangent Business Hub	(56,528)	(28,264)	27	28,291	Hired & Contract budget & Telephone budget committed for the year.
STR	G138	Bolsover TC Regeneration Scheme	0	0	19,350	19,350	Budget not yet allocated for reserve expenditure.
STR	G139	Proptech Engagement Fund	152,391	76,196	127,106	50,910	Grant funded scheme but can't be 1/4ly profiled.
STR	G151	Street Lighting	38,604	19,302	22,811	3,509	
STR	G156	The Arc	153,472	76,736	163,934	87,198	Business rates bill paid for full year £50k and repair and maintenance committed more than 1/4 £24k.
STR	G157	Controlling Migration Fund	14,597	7,299	1,156	(6,142)	
STR	G167	Facilities Management	10,571	5,286	72,150	66,865	Accrual for NEDDC income due still outstanding from 21/22.
STR	G169	Closed Churchyards	10,000	5,000	0	(5,000)	
STR	G172	S106 - Affordable Housing	1,116	558	0	(558)	
STR	G188	Cotton Street Contact Centre	31,007	15,504	19,559	4,055	
STR	G191	Bolsover Community Lottery	6,250	3,125	(237)	(3,362)	
STR	G192	Scrutiny	23,308	11,654	10,679	(975)	
STR	G193	Economic Development Management + Admin	384,176	192,088	181,311	(10,777)	
STR	G195	Assistant Director of Governance + Monitoring	94,105	47,053	37,468	(9,585)	
STR	G200	Assistant Director of Property + Housing Repairs	8,688	4,344	4,244	(100)	
STR	G211	UK Shared Prosperity Fund	0	0	51,690	51,690	Grant not yet received.
STR	G216	Raising Aspirations	51,250	25,625	61,500	35,875	Self financing cost centre, spend cannot be profiled quarterly.
STR	G218	I-Venture/Namibia Bound	12,484	6,242	25,900	19,658	Self financing cost centre, spend cannot be profiled quarterly.
STR	G220	Locality Funding	5,050	2,525	17,327	14,802	Self financing cost centre, spend cannot be profiled quarterly.

General Fund Detail - 2022/23

APPENDIX 2

List of net budgets per cost centre per directorate			Full Years	6 months	6 months	6 months	
			Budget	Budget	Actuals	Variance	
			£	£	£	£	
STR	G226	S106 - Highways	569,000	284,500	0	(284,500)	Expenditure not yet incurred, can't be 1/4ly profiled.
STR	G227	S106 - Public Health	205,113	102,557	(48,040)	(150,596)	Expenditure not yet incurred and extra income received. Can't be 1/4ly profiled.
STR	G238	HR Health + Safety	96,605	48,303	40,921	(7,381)	
STR	G241	Community Rail	4,025	2,013	(89,459)	(91,472)	External funding received in advance and expenditure not being spent in quarters.
STR	G244	Bolsover Business Growth Fund	38,445	19,223	20,000	778	
		Total for Strategy + Development Directorate	5,918,929	2,959,465	2,515,253	(444,212)	
		Total Net Cost of Services	17,753,524	8,876,762	7,969,310	(907,452)	

Appendix 3

APPENDIX 3

Housing Revenue Account - 2022/23

	Full Years Budget £	6 months Budget £	6 months Actuals £	6 months Variance £
Expenditure				
Repairs and Maintenance	5,886,947	2,943,474	2,659,753	(283,720)
Rents, Rates, Taxes + Other Charges	295,675	147,838	23,861	(123,977)
Supervision and Management	5,944,344	2,972,172	2,988,902	16,730
Special Services	436,940	218,470	200,943	(17,527)
Housing Related Support - Wardens	639,755	319,878	296,776	(23,101)
Housing Related Support - Central Control	343,721	171,861	167,155	(4,705)
Tenants Participation	71,055	35,528	33,272	(2,256)
New Build Schemes Evaluations	915,000	457,500	337,872	(119,628)
New Bolsover Project	5,000	2,500	808	(1,693)
Leasehold Flats	4,834	2,417	-	(2,417)
Debt Management Expenses	8,250	4,125	8,540	4,415
Total Expenditure	14,551,521	7,275,761	6,717,883	(557,877)
Income				
Dwelling Rents	(21,768,926)	(10,884,463)	(10,740,291)	144,172
Non-dwelling Rents	(117,402)	(58,701)	(64,777)	(6,076)
Leasehold Flats and Shops Income	(14,480)	(7,240)	(4,674)	2,566
Repairs and Maintenance	(17,708)	(8,854)	15,424	24,278
Supervision and Management	-	-	(809)	(809)
Special Services	(32,145)	(16,073)	(10,112)	5,961
Housing Related Support - Wardens	(129,906)	(64,953)	(134,709)	(69,756)
Housing Related Support - Central Control	(210,767)	(105,384)	(152,858)	(47,475)
Tenants Participation	-	-	(5,005)	(5,005)
Total Income	(22,291,334)	(11,145,667)	(11,097,810)	47,857
Net Cost of Services	(7,739,813)	(3,869,907)	(4,379,927)	(510,020)
Appropriations				
Provision for Doubtful Debts	130,000	65,000	65,000	-
Capital Interest Costs	3,095,942	1,547,971	1,547,971	-
Investment Interest Income	(1,985)	(993)	(993)	-
Depreciation	4,274,630	2,137,315	2,137,315	-
Transfer to Major Repairs Reserve	725,370	362,685	362,685	-
Contribution to HRA Reserves	566,000	283,000	283,000	-
Use of HRA Earmarked Reserves	(1,012,134)	(506,067)	(506,067)	-
Contribution from HRA Balance	(38,693)	(19,347)	(19,347)	-
Net Operating (Surplus) / Deficit	(683)	(342)	(510,362)	(510,020)

CAPITAL PROGRAMME SUMMARY - 2022/23

APPENDIX 4

	Full Years Budget £	6 months Budget £	6 months Actuals £	6 months Variance £
General Fund				
Asset Management Plan				
Investment Properties	4,008	2,004	3,643	1,639
Leisure Buildings	22,000	11,000	0	(11,000)
Pleasley Vale Business Park	135,574	67,787	20,522	(47,265)
Riverside Depot	5,463	2,732	5,463	2,731
The Arc	83,336	41,668	45,086	3,418
The Tangent	15,000	7,500	0	(7,500)
Contact Centres	10,000	5,000	9,483	4,483
General	8,760	4,380	8,739	4,359
AMP not yet allocated to a scheme	45,442	22,721	0	(22,721)
	329,583	164,792	92,936	(71,856)
Engineering Asset Management Plan				
Car Parks	27,986	13,993	0	(13,993)
Shelters	11,128	5,564	11,100	5,536
Lighting	15,000	7,500	0	(7,500)
	54,114	27,057	11,100	(15,957)
Assets				
Car Parking at Clowne	13,416	6,708	0	(6,708)
Pleasley Vale Mill - Dam Wall	100,410	50,205	3,796	(46,409)
Land at Portland Street	109,750	54,875	43,472	(11,404)
Shirebrook Crematorium	623,750	311,875	617,442	305,567
CISWO - former Creswell LC	166,000	83,000	166,000	83,000
	1,013,326	506,663	830,709	324,046
ICT Schemes				
ICT infrastructure	306,825	153,413	9,878	(143,535)
Digital Screens	31,970	15,985	26,016	10,031
Town Centre Regeneration	29,000	14,500	27,070	12,570
	367,795	183,898	62,964	(120,933)
Leisure Schemes				
Playing Pitch Improvements (Clowne)	440,284	220,142	321,856	101,714
Kitchen & Associated Equipment	25,000	12,500	6,106	(6,394)
Go-Active Equipment	15,000	7,500	8,582	1,082
Houfton Rd Play Area (Insurance)	25,000	12,500	20,191	7,691
Community Assets (Leisure)	10,000	5,000	5,630	630
	515,284	257,642	362,366	104,724
Private Sector Schemes				
Disabled Facility Grants	500,000	250,000	346,984	96,984
Joint Venture				
Dragonfly Joint Venture Shares	519,150	259,575	31,235	(228,340)
Dragonfly Joint Venture Loan	1,753,202	876,601	0	(876,601)
	2,272,352	1,136,176	31,235	(1,104,941)
Vehicles and Plant				
Vehicle Replacements	1,644,933	822,467	1,462,172	639,706
Vehicle Wash Area	1,000	500	811	311
CAN Rangers Equipment	14,231	7,116	0	(7,116)
	1,660,164	830,082	1,462,983	632,901
Total General Fund	6,712,618	3,356,309	3,201,276	(155,033)

CAPITAL PROGRAMME SUMMARY - 2022/23
APPENDIX 4

	Full Years Budget £	6 months Budget £	6 months Actuals £	6 months Variance £
Housing Revenue Account				
New Build Properties				
Alfreton Rd Pinxton	568,560	284,280	0	(284,280)
Ashbourne Extension	1,023,093	511,547	692,857	181,311
Bolsover Homes-yet to be allocated	1,468,325	734,163	0	(734,163)
Harlethorpe Ave adaptation	125,000	62,500	0	(62,500)
Keepmoat Properties at Bolsover	818,500	409,250	560,400	151,150
Market Close Shirebrook	3,928,644	1,964,322	682,694	(1,281,628)
Sandy Lane/Thorpe Ave Whitwell	376,740	188,370	237,206	48,836
The Whitwell Cluster	239,058	119,529	9,471	(110,058)
The Woodlands Langwith	3,000,000	1,500,000	1,989,740	489,740
Valley View (Bungalows & extension)	750,000	375,000	0	(375,000)
West Street Langwith	850,000	425,000	232	(424,768)
	13,147,920	6,573,960	4,172,600	(2,401,360)
Vehicle Replacements	615,600	307,800	417,475	109,675
	615,600	307,800	417,475	109,675
Public Sector Housing				
Electrical Upgrades	125,000	62,500	45,843	(16,657)
External Door Replacements	80,000	40,000	70,188	30,188
External Wall Insulation	756,211	378,106	439,540	61,434
Fencing	80,000	40,000	75,000	35,000
Flat Roofing	75,000	37,500	59,710	22,210
Heating Upgrades	78,740	39,370	46,216	6,846
Kitchen Replacements	200,000	100,000	140,373	40,373
Re Roofing	750,000	375,000	419,843	44,843
Property Services Mgmt. & Admin	97,810	48,905	48,905	(0)
Safe & Warm	2,774,946	1,387,473	231,728	(1,155,745)
Soffit and Facia	30,000	15,000	0	(15,000)
Unforeseen Reactive Capital Works	162,190	81,095	40,150	(40,945)
Welfare Adaptations	423,761	211,881	354,996	143,115
Wet Rooms	200,000	100,000	48,970	(51,030)
	5,833,658	2,916,829	2,021,461	(895,368)
HRA ICT Schemes				
Careline Upgrade	6,436	3,218	0	(3,218)
Rent Arrears Management System	112,000	56,000	56,332	332
Open Housing	79,686	39,843	20,214	(19,629)
	198,122	99,061	76,546	(22,515)
New Bolsover Scheme				
New Bolsover-Regeneration Scheme	140,000	70,000	5,626	(64,374)
	140,000	70,000	5,626	(64,374)
Total HRA	19,935,300	9,967,650	6,693,708	(3,273,942)
TOTAL CAPITAL EXPENDITURE	26,647,918	13,323,959	9,894,984	(3,428,975)

CAPITAL PROGRAMME SUMMARY - 2022/23

APPENDIX 4

	Full Years Budget £	6 months Budget £	6 months Actuals £	6 months Variance £
Capital Financing				
General Fund				
Better Care Fund	500,000	250,000	346,984	96,984
Reserves	5,123,750	2,561,875	2,285,008	(276,867)
Capital Receipts	512,614	256,307	188,520	(67,787)
External Funding	576,254	288,127	380,763	92,636
	6,712,618	3,356,309	3,201,276	(155,033)
HRA				
Major Repairs Allowance	5,973,658	2,986,829	2,021,461	(965,368)
Prudential Borrowing	2,898,093	1,449,047	0	(1,449,047)
Reserves	9,541,580	4,770,790	3,989,553	(781,237)
External Funding	1,521,969	760,985	682,694	(78,291)
	19,935,300	9,967,650	6,693,708	(3,273,942)
TOTAL CAPITAL FINANCING	26,647,918	13,323,959	9,894,984	(3,428,975)

Treasury Management Update - Quarter 2 2022/23

APPENDIX 5

The Council's main current account is held with Lloyds Bank and the current contract is due to expire on 9th February 2025.

PWLB Borrowing

As at 1 April 2022 the Authority's total outstanding PWLB debt amounted to £93,400,000.

The Council has not taken any new loans from the PWLB during the first six months.

At 30 September 2022 £2,000,000 has been repaid to the PWLB.

The profile of the outstanding debt is analysed as follows:

PWLB Borrowing Term	Maturity Profile 30-Sep-22 £
12 Months	2,000,000
1-2 years	7,200,000
2-5 years	12,400,000
5-10 years	24,800,000
10-15 years	25,000,000
over 15 years	20,000,000
Total PWLB Debt	91,400,000

PWLB Interest

The total interest cost to the Council of the PWLB debt for 2022/23 is estimated at £3,204,492. This cost is split between the HRA and General Fund based on the level of debt outstanding. Interest paid to the PWLB in the six months was £1,634,350.

Temporary Borrowing

Cash flow monitoring and management identifies the need for short term borrowing to cover delays in the receipt of income during the year. No interest charges were incurred during the six months on overdrawn bank balances. At 30 September 2022 the only temporary borrowing undertaken by the Council was £1,532,925 which is the investment balances held on behalf of Parish Councils.

Compliance with Treasury Limits

During the financial year the Council continued to operate within the treasury limits set out in the Council's Borrowing and Investment Strategy.

	Actual to Date 2022/23	Approved Limits 2022/23
Authorised Limit (Total Council external borrowing limit)	£118,770,839	£127,888,000
Operational Boundary	£118,770,839	£122,888,000

Temporary Investments

Interest Received

The performance of the Council's investments is as follows:

	6 months Actual	6 months Budget	6 months Variance
Interest generated (£)	(183,661)	(22,250)	(161,412)
Average rate of interest	1.04%	0.25%	-
Average Bank of England base rate	1.40%	0.25%	-

The investments have been made in accordance with the Council's Treasury Management Strategy.

The Bank of England base rate is currently 2.25%. In the table above, the actual figure is the 6 month average rate and the budget figure is the base rate used when setting the budget.

Interest rates offered by most institutions still remain low and haven't yet caught up with the most recent bank base rate increase.

The following tables show the investments and interest earned to 30 September 2022:

Investments on call

Counterparty	Balance at 1/4/22	Deposits	Withdrawals	Interest received	Balance at 30/09/22
	£	£	£	£	£
Aberdeen (MMF)	5,000,000	0	(29,170)	29,170	5,000,000
Federated (MMF)	5,000,000	4,500,000	(4,528,211)	28,211	5,000,000
Invesco (MMF)	2,000,000	4,500,000	(1,526,133)	26,133	5,000,000
CCLA (MMF)	5,000,000	3,600,000	(4,627,945)	27,945	4,000,000
Aviva (MMF)	5,000,000	0	(24,917)	24,917	5,000,000
SSGA (MMF)	5,000,000	0	(28,860)	28,860	5,000,000
Blackrock (MMF)	0	2,000,000	(2,002,023)	2,023	0
Santander	5,000,000	1,700,000	(6,702,993)	2,993	0
	32,000,000	16,300,000	(19,470,252)	170,252	29,000,000

Fixed-term investments

Counterparty	Term of Loan	Balance at 1/4/22	Deposits	Withdrawals	Interest received at six months	No of Days Interest at six months	Balance at 30/09/22	Maturity Date
		£	£	£	£		£	
Local Authorities								
Thurrock Council (Unitary)	1 year	5,000,000	0	0	8,774	183	5,008,774	03/01/23
Shirebrook Town Council	6 months	459,037	0	(459,176)	139	13	0	15/04/22
London Borough of Waltham Forest	1 year	5,000,000	0	(5,004,185)	4,185	47	0	18/05/22
Shirebrook Town Council	29 days	0	460,972	(461,283)	311	29	0	13/05/22
		10,459,037	460,972	(5,924,644)	13,409		5,008,774	



Bolsover District Council

Meeting of the Executive on Monday 31st October 2022

Safe & Warm Upgrade at Jubilee Court Pinxton

Report of the Portfolio Holder for Housing and Community Safety

Classification	This report is Public
Report By	Helena Skeavington Contract Administrator (QS) 01246 242328 helena.skeavington@bolsover.gov.uk
Contact Officer	Richard Mooney Contract Administrator (Surveyor) 01246 242352 richard.mooney@bolsover.gov.uk

PURPOSE/SUMMARY OF REPORT

To seek approval for the appointment of Contractor to undertake the Safe & Warm Upgrade work at Jubilee Court Sheltered scheme.

REPORT DETAILS

1. Background

- 1.1 Housing Services have identified a need improve facilities including replacement of ageing heating system, alter flat layouts at this Group Dwelling. Space for additional bungalows has also been identified.
- 1.2 This project is concerned with replacing the communal heating system, installing wet rooms, installing sprinkler system and upgrading fire safety measures. Changing bedsits to 1 bed flats, the construction of two bungalows.
- 1.3 Working in conjunction with the Procurement Team, the works were tendered in accordance with Council procedures.
- 1.4 3 Nr. tenders were received and was evaluated on 21st September 2022. Davlyn Construction Ltd (Derby) scored 98 out of 100.

2. Details of Proposal or Information

- 2.1 Modern heating will be more efficient leading to energy and cost savings. Each flat will have its own wetroom. Safety improvements through enhanced fire protection including new sprinkler system.

2.3 Resized flats will be easier to let and will attract extra rent.

3. Reasons for Recommendation

3.1 The evaluation group were in unanimous agreement that this tender represented a competitive submission received from Davlyn Construction Ltd (Derby)

4 Alternative Options and Reasons for Rejection

4.1 None.

RECOMMENDATION(S)

1. It is recommended that Davlyn Construction be awarded Contract to carry out Safe & Warm Upgrade at Jubilee Court Pinxton in accordance with tendered specification and following tender evaluation.
2. That progress on this contract is reported through the Housing Stock Management Group.

Approved by the Portfolio Holder for Housing, Councillor Sandra Peake

IMPLICATIONS:

Finance and Risk: Yes No

Details:

This scheme is contained within the approved capital programme for the Housing Revenue Account.

The investment in improved facilities, alteration to layouts and additional provision of sheltered flats and bungalows should show returns in additional rental incomes. The financial risk carried for the duration of this scheme is minimum as the authority will only be paying for specified works upon completion.

On behalf of the Section 151 Officer

Legal (including Data Protection): Yes No

Details:

The procurement of these works has been undertaken in compliance of standard council procedures. Industry standard contract documentation will be prepared for both parties to sign prior to commencement of works. The issue of sensitive data such as names, addresses and contact numbers of council tenants while undertaking this project shall comply in full with council and data protection policy guidelines.

On behalf of the Solicitor to the Council

Staffing: Yes No

Details:

The works will result in no direct staffing implications.

On behalf of the Head of Paid Service

DECISION INFORMATION

<p>Is the decision a Key Decision? A Key Decision is an executive decision which has a significant impact on two or more District wards or which results in income or expenditure to the Council above the following thresholds:</p> <p>Revenue - £75,000 <input type="checkbox"/> Capital - £150,000 <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <i>Please indicate which threshold applies</i></p>	<p>Yes</p>
<p>Is the decision subject to Call-In? <i>(Only Key Decisions are subject to Call-In)</i></p>	<p>Yes</p>

<p>District Wards Significantly Affected</p>	<p>Pinxton</p>
<p>Consultation: Leader / Deputy Leader <input type="checkbox"/> Executive <input type="checkbox"/> SLT <input type="checkbox"/> Relevant Service Manager <input type="checkbox"/> Members <input type="checkbox"/> Public <input type="checkbox"/> Other <input type="checkbox"/></p>	<p>Details: Ward Members</p>

<p>Links to Council Ambition: Customers, Economy and Environment.</p>
<p>Links to Environment ambition as should reduce energy use and CO2 emissions. Links to Customer aims as will improve fire safety for residents.</p>

DOCUMENT INFORMATION	
Appendix No	Title

<p>Background Papers <i>(These are unpublished works which have been relied on to a material extent when preparing the report. They must be listed in the section below. If the report is going to Executive you must provide copies of the background papers).</i></p>
<p> </p>

Agenda Item 10

By virtue of paragraph(s) 1, 3 of Part 1 of Schedule 12A of the Local Government Act 1972.

Document is Restricted

Agenda Item 11

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A of the Local Government Act 1972.

Document is Restricted

Agenda Item 12

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A of the Local Government Act 1972.

Document is Restricted