

## **Select Commission Briefing - 9.30 a.m.**

### **SELF REGULATION SELECT COMMISSION**

**Venue: Town Hall, Moorgate  
Street, Rotherham.**

**Date: Thursday, 19th December, 2013**

**Time: 10.00 a.m.**

### **A G E N D A**

1. Apologies for Absence.
2. To determine if the following matters are to be considered under the categories suggested in accordance with the Local Government Act 1972.
3. To determine any item which the Chairman is of the opinion should be considered as a matter of urgency.
4. Declarations of Interest.
5. Questions from Members of the Public and the Press.
6. Communications.

#### **For Decision:-**

7. Minutes of the previous meetings held on 5th September and 21st November, 2013 (herewith) (Pages 1 - 8)

#### **For Monitoring:-**

8. The Draft Deregulation Bill (report herewith) (Pages 9 - 12)
9. Revenue Budget Monitoring for the period ending 31st October, 2013 (report herewith) (Pages 13 - 25)
10. Capital Programme Monitoring 2013/14 and Capital Programme Budget 2014/15 to 2016/17 (report herewith) (Pages 26 - 47)
11. Corporate Risk Register (report herewith) (Pages 48 - 57)

12. Complaints - Annual Report (April 2012 - March 2013) (herewith) (Pages 58 - 84)
13. Date and Time of Next Meeting - Thursday, 9th January, 2014 at 3.30 p.m.

**Members of the Self-Regulation Select Commission:-**

**Councillor Currie (Chairman)**  
**Councillor Beck (Vice-Chairman)**  
**Councillors Ahmed, Atkin, Beaumont, Ellis, Godfrey, J. Hamilton, Mannion, Pickering, Sharman, Tweed, Vines and Watson.**

**SELF REGULATION SELECT COMMISSION**  
**5th September, 2013**

Present:- Councillor Currie (in the Chair); Councillors Atkin, Beaumont, Ellis, Godfrey, J. Hamilton, Sharman, Tweed, Vines and Watson.

Apologies for absence were received from Councillor Beck.

**19.       DECLARATIONS OF INTEREST**

There were no declarations of interest made at this meeting.

**20.       QUESTIONS FROM MEMBERS OF THE PUBLIC AND THE PRESS**

There were no questions from members of the public or the press.

**21.       COMMUNICATIONS**

There were no items to report.

**22.       MINUTES OF THE PREVIOUS MEETING HELD ON 25TH JULY, 2013**

Resolved:- That the minutes of the previous meeting of the Self Regulation Select Commission held on 25<sup>th</sup> July, 2013 be approved as a correct record for signature by the Chairman.

**23.       CORPORATE PLAN OUTCOMES - OUTTURN 2012-13**

Consideration was given to the report, presented by the Performance and Quality Manager, which provided an analysis of the Council's current performance against the 29 key delivery outcomes contained within the Corporate Plan. The submitted report contained an outturn (for 2012/13) and current position statement based on available performance measures for all outcomes together with an analysis of progress on key projects and activities which contributed to delivery of the plan.

The report also aimed to highlight the various economic and political influences including changes in national policy and funding which were already, or could potentially impact, on the performance of the corporate plan outcomes.

As a result of service reductions, the Council's ability to deliver all the corporate plan objectives was a high risk. The potential for under performance as a result of budget reductions highlighted the importance of integrating performance, risk and financial reporting.

The current position was:-

- Red - 2 outcomes requiring major intervention at Strategic Leadership Team level.
- Amber - 8 outcomes requiring intervention at Directorate level.
- Green - 19 outcomes requiring no intervention at this time.
- 0 outcomes which cannot be assessed at this time.

The direction of travel between March, 2012 and April, 2013 had been positive, with a decrease in the number of Red and Amber rated outcomes demonstrating that effective performance management processes and procedures were in place across the Authority.

A recent Investors in People external review had resulted in the Authority retaining the 'Gold' standard, reinforcing performance to customers as being of utmost importance.

The review of the Council's Corporate Priorities has begun and a revised version of the Corporate plan-on-a-page had been developed and was included as part of this report. The revised plan was now subject to a period of consultation and had already been considered by the Overview and Scrutiny Management Board. As part of the consultation process, the Overview and Scrutiny Management Board asked the Self-Regulation Select Commission to examine the way in which the new priorities and commitments would be delivered through the Council's service plans and key strategies (i.e. the "golden thread"). There would be a separate meeting arranged to facilitate this process.

During discussion, Members raised the following issues:-

: Members questioned specific indicators where service performance could be improved; it was agreed that the appropriate departmental officers ought to attend future meetings and explain the reasons for current performance.

: reference was made to the various measures which under-pin each indicator and the work being undertaken to try and secure improvement in performance;

: the impact of budget reductions upon service performance (eg: highway maintenance and street cleansing);

: Members suggested ways in which the reporting of information could be improved, emphasising the direction established by Council policy;

: the impact of external influences (eg: national Government policy);

: the 'poverty gap' and the Council's work within deprived communities.

Resolved:- (1) That the report be received and its contents noted.

(2) That the current position against each of the Corporate Plan outcomes, ensuring implementation of the proposed interventions and corrective actions be endorsed.

(3) That performance issues be kept under close review to prevent green/amber outcomes becoming rated red.

(4) That, further to (3) above, the appropriate departmental officers responsible for specific indicators whose RAG rating changes shall attend future meetings of this Select Commission in order to explain the reasons for such changes.

(5) That the Corporate Plan outcomes currently being reviewed and undergoing a consultation process be noted and the results of this process shall be used to influence future performance reporting.

(6) That the Self-Regulation Select Commission be consulted on the developing outcomes and their performance management.

(7) That a group comprising the Chairman of the Self Regulation Select Commission and Councillors Atkin, Ellis, Godfrey and Watson be established to (i) work with officers from Performance and Quality and examine the Performance Management Framework for the newly-refreshed Corporate Plan, (ii) make recommendations for its further improvement and (iii) submit a report on the outcome of this process to a future meeting of the Self Regulation Select Commission.

#### **24. REVENUE BUDGET MONITORING FOR THE PERIOD ENDING 31ST MAY 2013**

Further to Minute No. 50 of the meeting of the Cabinet held on 24<sup>th</sup> July 2013, consideration was given to a report presented by the Director of Finance concerning the funding reductions implemented by the coalition Government since 2011 which have required the Council to make savings of over £70 millions, including £20.2 millions of savings which the Council must deliver during the 2013/14 financial year in order to achieve a balanced outturn budget.

The submitted report provided details of progress on the delivery of the Revenue Budget for 2013/14, based on performance for the first two months of the financial year. It was currently forecast that the Council would overspend against its budget by £4.849 millions (+2.2%). The main reasons for the forecast overspending were:-

- The continuing service demand and cost pressures for safeguarding vulnerable children across the Borough area.
- Income pressures within Environment and Development Services.
- Demand pressures for Direct Payments, Older People's Domiciliary Care services and day care for clients with Learning Disabilities.

- Additional, one-off property costs relating to the continued rationalisation of the Council's asset portfolio as part of the efficiency drive to reduce operational costs.
- Some savings targets were currently pending delivery in full during 2013/14.

Although the current forecast revenue pressure was significant, through the implementation of appropriate management actions it should be possible to mitigate the forecast pressure and prevent it from becoming serious. A strategy for addressing the forecast pressure was proposed within the submitted report. This strategy would ensure that the Council was able to deliver a balanced outturn and preserve its successful record of managing both its in-year financial performance and its overall financial resilience.

Support for the strategy was requested to address the 2013/14 forecast pressure of £4.849 millions. This proposed strategy consisted of three stages and incorporated key principles of increasing income, controlling costs and managing demand. Escalation to the subsequent stages of the strategy would be dependent upon the degree of success in reducing the forecast overspending towards a balanced outturn position.

Members raised the following issues during the debate of this report:-

: budget issues concerning Children and Young People's Services (including : school places; foster care placements within and outside the Authority area – and the consequent difficulty of being able to forecast budget spending accurately);

: spending on the use of consultants, which is reducing considerably (Members asked to be informed of the expenditure details); reference was made to the scrutiny review of the Council's use of consultants, containing a recommendation that no procurement process for the engagement of consultants should commence unless a clear business case is stated and can justify the appointment of external consultants (Minute No. C24 of the Cabinet meeting held on 17th June 2009 refers);

: reductions in income affecting several service areas across the Authority (including the impact upon Council facilities such as the Rockingham professional development centre);

: the impact of employee sickness absence;

: the use of shared service arrangements to try and achieve budget savings;

: the forthcoming scrutiny review of Elected Member structures and the scrutiny function, within the 2013/14 scrutiny work programme.

Resolved:- (1) That the report be received and its contents noted.

(2) That the current forecast outturn and significant financial challenge presented for the Council to deliver a balanced revenue budget for 2013/14 be noted.

(3) That the Cabinet's approval of the proposed strategy to bring spending in line with budget by 31<sup>st</sup> March, 2014, be noted.

**25. EXCLUSION OF THE PRESS AND PUBLIC**

Resolved:- That, under Section 100A(4) of the Local Government Act, 1972, the press and public be excluded from the meeting for the following item of business on the grounds that it involves the likely disclosure of exempt information as defined in Paragraph 3 of Part I of Schedule 12A to the Local Government Act (as amended March, 2006) (information relating to financial and business affairs of any particular person).

**26. DIGITAL REGION LIMITED**

Further to Minute No. 73 of the meeting of the Cabinet held on 4<sup>th</sup> September, 2013, consideration was given to a report presented by the Chief Executive with regard to the urgent decision taken by him, in accordance with delegated powers, in respect of the termination of the Digital Region Limited project. Discussion took place on the financial implications, the Council's management of risk and the forthcoming evaluation of the project.

Reference was made to the possibility of an investigation and evaluation of the project by the National Audit Office and of a joint scrutiny review by the four South Yorkshire local authorities.

Resolved:- (1) That the report be received and its contents noted.

(2) That the decision taken by the Chief Executive on 12th August, 2013, in accordance with his delegated powers, in respect of the termination of the Digital Region Limited project, be noted.

(3) That, in due course, a further report be submitted to Scrutiny Members on the outcome of the evaluation of the Digital Region Limited project and, in the meantime, the Director of Finance continue to report to Members on the financial aspects of the project.

**SELF REGULATION SELECT COMMISSION  
21st November, 2013**

Present:- Councillor Beck (in the Chair); Councillors Atkin, Beaumont, Ellis, J. Hamilton, Mannion, Sharman, Vines and Watson.

Apologies for absence:- Apologies were received from Councillors Currie, Godfrey and Tweed.

**27. DECLARATIONS OF INTEREST**

There were no declarations of interest made at this meeting.

**28. QUESTIONS FROM MEMBERS OF THE PUBLIC AND THE PRESS**

There were no questions from members of the public or the press.

**29. COMMUNICATIONS**

There were no items to report.

**30. MINUTES OF THE PREVIOUS MEETING HELD ON 5TH SEPTEMBER, 2013**

The minutes of the previous meeting held on 5<sup>th</sup> September, 2013 were deferred for consideration at the next meeting.

**31. EXCLUSION OF THE PRESS AND PUBLIC**

Resolved:- That, under Section 100A(4) of the Local Government Act, 1972, the press and public be excluded from the meeting for the following item of business on the grounds that it involves the likely disclosure of exempt information as defined in Paragraph 3 of Part I of Schedule 12A to the Local Government Act (as amended March, 2006) (information relating to financial and business affairs of any particular person).

**32. BUDGET 2014/15 AND 2015/16**

Stuart Booth, Director of Finance, gave a presentation on the approach to bridging the funding gap for the Budgets for 2014/15 and 2015/16, the timetable involved and the various options being explored.

It was noted that discussions were still taking place which would involve sensitive decisions being made with proposals having to be put to Elected Members for decision shortly.

The presentation highlighted information relating to:-

- Meeting the Budget Challenge – Update.



- Funding Gap 2014/15 and 2015/16 – Update.
- Revenue Savings Proposals.
- Meeting the Financial Challenge.
- Indicative Funding Gaps for 2014/15 and 2015/16.
- Summaries of the Savings Proposals as at 19<sup>th</sup> November, 2013.

The Strategic Directors were invited to explain each of their savings proposals in detail and the rationale behind each suggestion.

Joyce Thacker, Strategic Director for Children and Young People's Services, accompanied by Councillor Paul Lakin, Cabinet Member for Children, Young People and Families Services, reported on the five savings proposals.

The Select Commission asked a number of questions about the impact of these proposals, if they involved reductions in staff and the response to requests for a further review of some of the services.

Tom Cray, Strategic Director for Neighbourhoods and Adult Services, accompanied by Councillor Rose McNeely, Cabinet Member for Safe and Attractive Neighbourhoods, and Councillor John Doyle, Cabinet Member for Adult Social Care, reported on the various savings proposals from within the Neighbourhoods and Adult Services Directorate.

The Select Commission asked a number of questions about the rationale for the reviews, the impact of personalised budgets, justification for funding, demand, quality and flexibility, involvement of volunteers, staffing cohorts and the need to manage services efficiently.

Karl Battersby, Strategic Director for Environment and Development Services, accompanied by Councillor Amy Rushforth, Cabinet Member for Culture and Tourism, reported on the various savings proposals from within the Environment and Development Services Directorate.

The Select Commission asked a range of questions about the stages to reductions in base budgets, potential loss of income, increased community use of facilities and subsidies.

Stuart Booth, Director of Finance, reported on the various savings proposals from within the Resources Directorate.

The Select Commission again asked a range of questions relating to staff workloads and the impact on service delivery and the ability of some service areas to cover all expected of them.

The Select Commission also requested that as part of the next steps process consideration be given to moving forward with a small sub-group to look at potential savings by Elected Members.

Resolved:- (1) That Stuart Booth, Joyce Thacker, Tom Cray and Karl

Battersby be thanked for their input.

(2) That the information as presented be noted.

(3) That consideration be given to the formation of a small sub-group to look at savings proposals for Elected Members.

**33. DATE AND TIME OF NEXT MEETING**

Resolved:- That the next meeting of the Self Regulation Select Commission take place on Thursday, 9<sup>th</sup> January, 2014 at 3.30 p.m.

**ROTHERHAM BOROUGH COUNCIL – REPORT TO MEMBERS**

1.	<b>Meeting:</b>	<b>Self Regulation Select Commission</b>
2.	<b>Date:</b>	<b>19<sup>th</sup> December, 2013</b>
3.	<b>Title:</b>	<b>The Draft Deregulation Bill</b>
4.	<b>Programme Area:</b>	<b>Environment and Development Services</b>

**5. Summary**

This report informs the Commission of the content of the Draft Deregulation which is currently going through Parliament and its potential impacts on Rotherham.

**6. Recommendations**

**That the Commission:-**

- 1) Note the report**
- 2) Discuss potential impacts to Rotherham from the implementation of the bill.**

## **7. Proposals and Details**

### Background

The draft Deregulation Bill was published on 1 July 2013. It will be examined by a Joint Committee of both Houses of Parliament during the autumn; who have made a call for consultation to all interested parties. Legislation will be introduced 'when parliamentary time allows' and after the government has considered any recommendations made by the Committee.

The bill is aimed at three main groups:-

- Freeing business from red tape
- Making life easier for individuals and civil society
- Reducing bureaucratic requirements on public bodies and the taxpayer

The key issues for local authorities are likely to be the proposals on housing and the right to buy; energy and climate change; new structure for penalties for breaches of waste collection arrangements; repeals of requirements to prepare strategies and to consult; and modifications in the responsibility of regulatory bodies. There are also some deregulatory measures particularly in education which will be of interest.

Many of the changes will come into effect within two months of the Bill going onto the statute book: others will require consultation and may need regulations before being introduced.

### **Housing - right to buy**

It is intended that the qualifying period for the right to buy be reduced from five years to three, with the aim of reaching a further 200,000 households in England where the change applies. The amendment also applies to tenants of housing associations with the right to acquire.

### **Housing strategies**

A power in the Local Government Act 2003 for the Secretary of State to require local authorities to have housing strategies and to prepare housing statements is to be repealed, on the grounds that it has not been exercised, and there are no plans to do so.

### **Waste**

The draft deregulation Bill was introduced with headline regarding government plans to revise the scheme enforcing compliance with recycling arrangements in England. The principle objective has been decriminalisation, but the new proposals will replace the current scheme of penalties with a complex structure that could be costly to enforce and may be difficult for residents to follow.

Householders will receive a written warning, followed by what appears to be a complex scheme for issuing fixed penalty notices – enforced as a civil debt – where failure to comply with waste disposal requirements has caused or is likely to cause a nuisance or to be detrimental to local amenities. This is a narrower test of non-compliance than at present. The new scheme will be introduced by regulations at some point after the Bill becomes law.

### **Strategies and consultation requirements**

The repeal of the statutory duty on local authorities to prepare a sustainable community strategy was announced in April 2011 during the consultation on revised best value guidance. Local area agreements (LAAs) and multi-area agreements (MAAs) are also repealed. At the same time, the additional consultation requirements on best value authorities introduced by the Local Government and Public Involvement in Health Act 2007 will be repealed.

The government believes that local authorities can decide for themselves whether to prepare a sustainable community strategy. Local consultation will in future mainly focus on the basic best value requirements introduced in 1999, with which local authorities are still required to comply.

## **Regulators and economic growth**

Regulatory bodies carrying out certain regulatory functions – to be identified after consultation – will be under an additional duty to have regard to the desirability of promoting economic growth when exercising those functions. This will include ensuring that any regulatory activity is both necessary and proportionate.

This follows the post-implementation review of the Regulators' Compliance Code which found that regulators had a tendency to regard the promotion of economic growth as subsidiary to their statutory duties, and the Focus on Enforcement reviews which found that businesses experience inconsistent or disproportionate enforcement decisions. In his report, 'No stone unturned: in pursuit of growth', Lord Heseltine recommended that an obligation should be imposed on regulators to take proper account of the economic consequences of their actions.

## **Other deregulatory measures**

The Bill covers a wide range of subjects, with varying levels of relevance to local government. Those with road transport responsibilities or an interest in passenger rail may want to look carefully through the relevant schedules. Provisions of more general interest include:

### Apprenticeships

Measures recommended by the Richard Review "will remove a lot of prescriptive detail in the current legislation and clarify the employment status of apprentices".

### Public rights of way

Measures include devolving decisions on public rights of way to a local level.

### Education

The Bill addresses discipline suspension and dismissal of school staff; setting of school terms dates; home-school agreements; the availability of school OFSTED reports and the setting of statutory targets.

### Climate Change

The current duties on the Secretary of State are superseded by financially driven incentive schemes. The view of energy professionals is that these duties were complementary and their absence will slow down uptake of energy efficiency and renewable energy installations. The removal of these duties indicates a further confirmation of a hands-off approach to climate change and energy conservation on the part of government.

## **Summary**

Many of the changes introduced by the proposed Bill will be minor and simply repeal measures that have become outdated, or put into effect changes in policy that have already been announced. Others could have more far-reaching consequences.

The decision for the draft to be considered by a Joint Committee is welcome as any social implications and impact on public policy can be carefully considered, and there will be an opportunity for sectors affected by the changes to make written and oral submissions.

## **8. Finance**

Government estimates that reforms have already made savings of £212m per year for British businesses.

There is likely to be some savings to RMBC through the reduced requirements for strategies, plans, and other services, but at the current time it is not possible to quantify them.

## **9. Risks and Uncertainties**

It is difficult to estimate the potential risks and uncertainties with regard to how this bill will impact on the workings of the Council. In theory working with business should become more straightforward, but whether this is the case will become clearer as the legislation is implemented.

### **10. Policy and Performance Agenda Implications**

The Deregulation Bill is a very wide ranging document and as such will have an impact on many aspects of RMBC's policy and performance.

### **11. Background Papers and Consultation**

Government have recently carried out consultation on the contents of the draft bill, however due to the technical nature of the consultation and the limited timescale to respond; RMBC did not submit a response.

Colleagues from Finance, RiDO, CYPS, Waste Management and Housing have been consulted in the production of this report.

A copy of the draft bill can be found at:-

<https://www.gov.uk/government/publications/draft-deregulation-bill>

### **Contact Name:**

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1	<b>Meeting:</b>	<b>Self Regulation Select Commission</b>
2	<b>Date:</b>	<b>19th December 2013</b>
3	<b>Title:</b>	<b>Revenue Budget Monitoring for the period ending 31st October 2013</b>
4	<b>Directorate:</b>	<b>Resources (for all)</b>

## 5 Summary

This report provides details of progress on the delivery of the Revenue Budget for 2013/14 based on performance for the first 7 months of the financial year. It is currently forecast that the Council will overspend against its Budget by £4.625m (+2.1%). This represents an improvement in the forecast outturn by -£835k since the September monitoring report. The main reasons for the forecast overspend continue to be:

- The continuing service demand and cost pressures for safeguarding vulnerable children across the Borough;
- Income pressures within Environment and Development and ICT Services;
- Continuing Health Care income pressures within Adult and Children's Services, with concern that this pressure is increasing further;
- Additional, one-off property costs relating to the continued rationalisation of the Council's asset portfolio as part of the efficiency drive to reduce operational costs; and
- Some savings targets are currently pending delivery in full in 2013/14.

The moratorium on all except 'essential' spend has been in place since 16<sup>th</sup> October and is starting to see a slow down in spend as has been experienced in previous years when a spending moratorium has been imposed. Services are also exploring opportunities to maximise the flexible use of grant funding, whilst ensuring grant conditions are complied with. Further, the recent opening of the offer for staff to apply for Voluntary Early Retirement/Voluntary Severance (VER/VS) will also generate savings which will contribute to both reducing the in year pressure and potentially contributing to closing the 2014/15 Budget Gap.

Monthly budget monitoring reports will now be brought to Cabinet to enable close monitoring of progress towards delivering a balanced outturn.

Members are asked to note that since the last report meetings have taken place with the Clinical Commissioning Group (CCG) about concerns over access to and timely payment of Continuing Health Care income for clients with Continuing Health Care needs. An Action Plan is being developed and updates presented to a series of future meetings between early December and the end of the financial year.

## Recommendations

**That the Self Regulation Select Commission note the request for Cabinet to note the current forecast outturn and significant financial challenge presented for the Council to deliver a balanced revenue budget for 2013/14 and the actions implemented to address the forecast overspend.**

## 7.1 Proposals and Details

This report presents details of spending against budget by Directorate covering the first 7 months of the 2013/14 financial year – April 2013 to October 2013 – and forecast costs and income to 31<sup>st</sup> March 2014.

Resources Services which are currently being matrix-managed by Environment & Development Services and Neighbourhood & Adult Services will be reported as part of these respective Directorates from, and including, this report.

## 7.2 The Overall Position

Directorate/Service	Annual Budget 2013/14	Projected Outturn 2013/14	Variance after Actions (over(+)/under(-) spend)	
	£'000	£'000	£'000	%
Children & Young People Services	46,108	47,453	+1,345	+2.9
Environment and Development Services	49,481	50,852	+1,371	+2.8
Neighbourhoods & Adult Services	79,060	80,173	+1,113	+1.4
Resources	10,514	10,172	-342	-0.3
Central Services	36,311	37,449	+1,138	+3.1
<b>TOTAL</b>	<b>221,474</b>	<b>226,099</b>	<b>+4,625</b>	<b>+2.1</b>
Housing Revenue Account (HRA)	73,090	72,336	-754	-1.0

Appendix 1 to this report provides a detailed explanation of the key areas of forecast over / underspend by Directorate. The summarised position for each Directorate is described below.

### **Children & Young People's Directorate (+£1,345k forecast overspend)**

The forecast overspend for Children's Services has improved by -£88k since the last report. (+£1.433m in the September monitoring report). The forecast overspend position is largely due to pressures within the Children & Families Safeguarding Service. The number of looked after children requiring placements at the end of October 2013 was 384, a reduction of 9 since the end of March 2013.

Pressures on budgets for provision of Out of Authority Residential placements (+£1.278m), remand placements (+£175k) and the provision of independent Foster Care placements (+£245k) are the main service pressures. Although the number of Looked After Children has fallen since March 2013 the cost of placements has increased as children are presenting with more complex needs. The service is looking at how they can find suitable, alternative, value for money placements to meet the needs of these young people.



The investment received in Foster Care Adoption is showing results. The service is projecting to have 30 new adopters by the end of March 2014 which is 9 above the Invest to Save target. The service is also projecting to be on target for the recruitment of new foster carers at a net gain of 21.

Forecast savings across other parts of the Directorate are helping to mitigate these key pressures. Details are shown in Appendix 1.

Children's Social Care services remain under pressure despite the services' proactive approach to drive down costs including:

- Continued operation and challenge by the Multi-Agency Support Panel
- Successful work undertaken by the Commissioning Team which has resulted in the commissioning and re-commissioning of service provider contracts with significant cost reductions/cost avoidance (£455k) to date in 2013/14.

**Environment & Development Services including Internal Audit, Asset Management, ICT, Communications & Marketing and Policy & Planning (+£1,371k forecast overspend)**

The Directorate is currently forecasting an overspend of +£1,371k largely due to pressures in Customer Services (+£356k) and Planning and Regeneration (+£307k), Asset Management (£233k) and income pressures in relation to the ICT service (£575k) due to reduced spend by Schools and Council departments and services. The Business Unit is reporting an underspend of -£78k and Streetpride a forecast underspend of -£81k.

The forecast overspend assumes that the Winter Pressures budget is sufficient to contain costs incurred over the Winter months (2013/14). It should however be noted that in 2012/13 this budget overspent by £466k. Details of the forecast overspend are included in Appendix 1.

**Neighbourhoods and Adult Services including Commissioning, Procurement, Performance & Quality and Cohesion (+£1,133k forecast overspend) and Public Health (-£382k forecast underspend)**

Overall the Directorate (excluding ring-fenced Public Health funded services) is forecasting an overspend of +£1.133m. Within this, Adult Services are forecasting an overspend (+£1.366m) and Neighbourhood services a forecast underspend of -£93k. Commissioning, Procurement, Performance & Quality and Cohesion services are forecasting a collective underspend of (-£160k). Key pressures include slippage on achieving budgeted income levels for clients with continuing health care needs (£1.5m) and the delays in implementing the restructure within in- house residential care services.

There are also recurrent budget pressures on demand for Direct Payments (Older People, Physical & Sensory Disability and Mental Health clients), Older People's domiciliary care, and day care provision for clients with Learning Disabilities.

Public Health Services are currently forecasting an underspend of -£382k. (Ring-fenced funding).

The forecast position for Neighbourhoods and Adult Services is made up of a number of under and overspends, detailed in Appendix 1.

Overall the Directorate is forecasting an underspend of -£342k. This is predominantly in respect of HR & Payroll reduced costs and increased income generation.

The forecast position for Resources is made up of both forecast under and overspends, detailed in Appendix 1.

**Central Services (+£1,138k forecast overspend)**

In setting the 2013/14 Budget, the Council proposed a recurrent savings target of £300k in respect of renegotiating Staff Terms and Conditions. Options for progressing this saving have been considered and rejected by the Unions. This target currently remains undelivered.

When the 2012/13 budget was agreed it included a £2m savings target for Commissioning Savings. Currently £387k of that target remains to be delivered. Progress against delivery of this balance will be reported in future Cabinet budget monitoring reports.

There is currently a forecast pressure of +£370k on the Land Bank due to the need to keep vacant council owned properties secure until they are sold or demolished.

There is also a forecast pressure of £81k in respect of Statutory Costs (eg Planning Notices and key investigations). In 2011/12 it was agreed that the earmarked reserve would be closed and in the event of any future pressure above the level of budget (£75k), this would be met from general reserves.

**7.3 Housing Revenue Account (HRA) (Forecast underspend -£754k)**

The Housing Revenue Account is forecasting a reduction in the transfer from reserves compared with the agreed budget. The HRA had budgeted to use £2.599m from reserves but current forecasts only require £1.845m, a reduction of -£754k.

**7.4 Agency, Consultancy and Non-Contractual Overtime Costs**

The forecast outturn position includes costs in respect of Agency staff, Consultancy and non-contractual overtime. Detailed below is the analysis by Directorate, including comparisons with 2012/13 financial year:

**Agency**

<b>Directorate</b>	<b>Outturn 2012/13</b>	<b>Cumulative to Oct 2012</b>	<b>Cumulative to Oct 2013</b>
	£'000	£'000	£'000
Children & Young People's Services	546	195	473
Neighbourhoods & Adult Services	530	172	257
Environment & Development Services	449	234	565
Resources	0	0	0
<b>TOTAL</b>	<b>1,525</b>	<b>601</b>	<b>1,295</b>

Agency staff have in the main, been used as a temporary measure to help introduce more robust and sustainable reductions to the overall staff cost base. This has shown a more marked increase this year to date compared to last year as a result of meeting the demands of various reviews and restructures. These are being kept under close review.

Within Children's Services the increase in agency costs is a result of the need to cover vacant social work and team manager posts; the Interim Director of Safeguarding ; and sickness and maternity leave in residential care.

Two extra posts, over establishment, have also been recruited to, that are peripatetic with the intention of providing cover for emergent vacancies rather than using agency staff. The costs of the agency employed interim Director will also have an effect on these figures pending the recruitment of a permanent post holder. The unspent revenue budget for the unfilled Director post significantly mitigates the agency cost of the temporary Director.

In children's residential care there has been an unprecedented level of sick leave and maternity leave in three of the five homes, resulting in the use of high levels of agency staff cover to ensure the required staff ratios are met. A number of those staff are on phased returns to work. Recruitment to fill vacancies caused by turnover has taken place, and a further recruitment round will start in January.

There have also been six children in the Orchard Centre with high levels of need requiring additional staff to care for them safely; these children would otherwise have had to be placed in out of authority residential placements.

The use of agency staff in Adult Services has increased compared to October 2012 levels due to social work vacancies and the need to maintain essential cover in some services areas, and provision of cover arrangements pending the implementation of a revised timetable, agreed with the Council, for the new staffing structure in Residential Care.

Environment and Development Services agency costs are greater compared with the cumulative spend to October last year due to cover arrangements within Waste services pending the implementation of a new structure and resourcing additional Highway Maintenance capital works. Also, seasonal Grounds Maintenance work is now undertaken by a combination of seasonally employed staff and agency workers to minimise the cost of cover arrangements. Agency spend also exists within ICT services where Agency staff are covering a key role (Senior Network Specialist) which the service has been unable to recruit to.

### Consultancy

Directorate	Outturn 2012/13	Cumulative to Oct 2012	Cumulative to Oct 2013
	£'000	£'000	£'000
Children & Young People's Services	338	173	105
Neighbourhoods & Adult Services	0	0	23
Environment & Development Services	108	80	194
Resources	1	1	10
<b>TOTAL</b>	<b>447</b>	<b>254</b>	<b>332</b>

Consultancy spend within Children’s Services for the first 7 months of 2013/14 has reduced considerably when compared with the same period last year. The consultancy expenditure predominantly relates to the School Effectiveness Service. This is funded from a combination of revenue budget, Dedicated Schools Grant (DSG) and earned income from Schools.

NAS Consultancy spend is within Neighbourhoods services and is in respect of Green Deal Housing energy advice. This spend is largely grant funded.

Consultancy costs within EDS predominantly relate to review of potential development sites and transportation links within the Local Development Plan and specialist ICT Services.

Consultancy spend within the Resources Directorate is predominantly in respect of Legal Services associated with the investigation into sexual exploitation of children.

**Non-Contractual Overtime**

Directorate	Outturn 2012/13	Cumulative to Oct 2012	Cumulative to Oct 2013
	£'000	£'000	£'000
Children & Young People’s Services	84	73	70
Neighbourhoods & Adult Services	456	218	239
Environment & Development Services	514	353	335
Resources	71	32	64
<b>TOTAL</b>	<b>1,125</b>	<b>676</b>	<b>708</b>

Children’s Services overtime is largely in respect of safeguarding in residential care homes. Recruitment to permanent posts at the homes has been delayed and OfSTED requirements are that agency staff are not used to cover vacancies, hence the increased reliance on overtime in the short term.

Overtime spend within Adult Services is mainly due to the need to maintain statutory staffing levels in residential, home care, day care services and social work posts and represents cover for sickness and slippage in recruiting to vacant posts.

Environment and Development Services overtime spend is predominantly in respect of Streetpride Services – Highways, Network Maintenance, Street Lighting, Street Cleansing and Grounds Maintenance where work is often undertaken at times to avoid inconvenience and danger to the public. Planning and Regeneration Services and Waste Management Services for sickness and holiday cover. The Environment & Development Services overtime cost to end of October also includes ICT Services – maintaining ICT systems (+£21k) and provision of cover within Facilities Services (+£19k).

The Resources Directorate’s overtime is predominantly in respect of Revenues and Benefits associated with the service carrying a number of vacancies and significant workload pressures primarily brought about by welfare reform changes that are resulting in additional customer contact and income collection and recovery activity (£46k), maintaining Financial systems (£1k), HR and Payroll Services (£7k), and Town Hall attendants (£9k).

**Council Tax:** Based on the first 7 months of 2013/14 collection rates indicate that the Council is on target to achieve the budgeted level of Council Tax - £78.3m. (97% Collection Rate).

**Business Rates:** The Council is currently on target to collect the budgeted level of business rates (£34.304m) as confirmed by a mid-year return for the DCLG.

This would be a considerable achievement – with regard to business rates, as previously reported, there has been considerable uncertainty over the number and value of appeals - particularly those backdated to earlier years – which can have a significant impact on the level of rates collectable going forward. Details of the number and value of appeals are held by the VOA which has only recently made this information available to authorities.

## 8. Finance

The financial issues are discussed in section 7 above.

Management actions need to be identified and implemented across all Directorates to bring projected spend in line with Budget limits by the end of March 2014.

## 9 Risks and Uncertainties

At a time of economic difficulty and tight financial constraints, managing spend in line with the Council's Budget is paramount. Careful scrutiny of expenditure and income across all services and close budget monitoring therefore remain a top priority if the Council is to deliver both its annual and medium term financial plans while sustaining its overall financial resilience.

Although both Council Tax and Business Rates collection levels are currently on target there remains a risk that this could change during the final months of the year.

The current forecast assumes that costs associated with the Winter Pressures will be contained within budget. In 2012/13 these costs exceeded budget by £466k.

## 10. Policy and Performance Agenda Implications

The delivery of the Council's Revenue Budget and Medium Term Financial Plan within the parameters agreed at the start of the current financial year is essential if the objectives of the Council's Policy agenda are to be achieved. Financial performance is a key element within the assessment of the Council's overall performance framework.

## 11. Background Papers and Consultation

- September Revenue Budget Monitoring Report – Cabinet 27<sup>th</sup> November 2013
- August Revenue Budget Monitoring Report – Cabinet 16<sup>th</sup> October 2013
- May Revenue Budget Monitoring Report – Cabinet 24<sup>th</sup> July 2013
- Revenue Budget and Council Tax for 2013/14 Report to Council 6th March 2013.
- Strategic Directors and Service Directors of the Council

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## Appendix 1

**Key reasons for forecast over / underspends****Children & Young People's Services (+£1.345m forecast overspend)**

The key factors contributing to the forecast overspend are:

**School Effectiveness (+£4k)**

Although Rockingham PDC is covering its own costs, this forecast overspend is due to not being able to fully achieve its additional income target of £33k.

**Special Education Provision (-£245k)**

Forecast overspends on Education Welfare (+£7k) due to loss of academy income caused by a change in legislation, SEN Assessment/Admissions Team (+£41k) due to additional hours to cover sickness and additional printing are all offset by staff savings from vacant posts in both Early Years ASD Support (-£26k), Learning Support Service (-£17k) and Education Psychology Service (-£22k). A further forecast underspend on Complex Needs placements (-£228k) is due to the projected achievement of commissioning savings.

**Safeguarding, Children and Families Service Wide (+£28k)**

The forecast over spend on legal fees (+£86k) and Agency costs (+£14k) is partially offset by staff cost savings (-£72k) in Business Support.

**Child Protection Teams (+£10k)**

This forecast overspend is in respect of Agency staff within the Safeguarding Unit.

**Children in Need Social Work Teams (+£87k)**

This forecast overspend is in respect of Agency staff costs & additional staff appointments within the Children in Need North team & the Borough Wide team.

**Looked After Children (+£1,473k)**

The service is forecasting an overspend mainly due to the cost of out of authority residential placements (+£1,278k), remand placements (+£175k) and independent fostering placements (+£245k). Further details of placements are below:

- The number of children in residential out of authority placements as at 31st October is 25 (a decrease of 3 since September). Since 2011/12 the average number of children in OOA residential placements per week has increased from 18 to 23 currently. Due to the increasing complexity of children's needs that are going into residential out of authority placements & despite successful negotiations by the Commissioning team to minimise the cost of these placements, the average cost per week of these has also increased over this period from £3,022 to £3,309;
- From 1 April 2013 children's remand placements are fully funded by the Local Authority & RMBC was provided with a national grant of £78k to cover these additional costs. The current projected cost of these placements is £252k which shows that the grant was grossly inadequate. There is currently 1 remand placement. (No change from September).
- The number of children in Independent foster care as at 31st October is 108 (a reduction of 7 since September & a reduction of 10 since the end of March 2013). The average number of children in these placements has reduced from 125 per week in 2011/12 to 108 currently in 2013/14.

- The number of children in in-house fostering placements as at end of October is 156 (a reduction of 12 since 31 March 2013). Since 2011/12 the average number of children placed in in-house fostering placements per week has increased from 159 to 172 currently. The average cost per week of these has also increased over this period from £230 to £249.
- The number of looked after children was 383 at end of October, a reduction of 9 since 31<sup>st</sup> March 2013

Additional overspends in this area are (+£28k) Consultancy costs to review health care contributions towards children's continuing health care needs, (+£7k) Fostering agency team manager and (+£19k) agency costs in respect of Contact workers. These pressures are partially offset by projected underspends in Children's Homes (-£80k) mainly due to not staffing the Silverwood annexe, Fostering Services (-£64k) due to a forecast underspend on fostering allowances, Residence Orders & Families together placements, (-£92k) due to the re-profiling of adoption placements and the impact of this on inter-agency adoption costs, (-£23k) reduced use of transport for LAC children & (-£20k) on Leaving care accommodation costs.

#### **Disability Services (+£83k)**

This service is now forecasting an overspend mainly due to overtime & agency costs at Cherry Tree & Liberty residential homes due to needing to cover sickness & vacancies (+£75k) and an overspend on Direct payments (+£51k) partially offset by staff costs underspends within the Disability Team (-£43k).

#### **Remaining CYPs Services (-£95k)**

The overall CYPs overspend is also partially offset by projected under spends on Pension costs (-£12k) due to a reduction in numbers receiving pension payments, (-£6k) due to reallocation of grant in the Early Years service and staff cost savings in the Integrated Youth Support Service (-£77k).

### **Environment & Development Services (+£1.371m forecast overspend)**

The above forecast overspend assumes that the Winter Pressures budget is sufficient to contain costs incurred over the Winter period - In 2012/13 these costs exceeded budget by £466k.

#### **Streetpride ( -£81k forecast underspend)**

#### **Network Management is projecting a pressure of +£65k.**

Network Management is projecting a shortfall on income recovery (+£154k) where income targets were inflated on Parking Services budgets by 2.5%, and a further (+£10k) to fund free parking on Saturdays prior to Christmas. Other service pressures (+£19k) are mitigated by increased income from Streetworks and Enforcements -£61k and reduced Street Lighting energy costs (-£38k), and reduced costs on Highways Maintenance -£19k.

#### **Waste Services +£23k**

Waste Management services have pressures primarily on income from sale of recyclables as a result of a general reduction in waste volumes, and from commercial waste contracts which are still less than budgeted following the downturn in economic activity. Current projections show a pressure of +£337k, but Waste Disposal is projecting to be underspent by -£302k based on known changes to tipping locations, fluctuations in waste streams and an underspend of -£12k on the Waste PFI project.

Corporate Transport Unit is showing a forecast saving of -£160k mainly due to expected reduced costs on Home to School Transport. A surplus on Stores is now anticipated - £52k as a result of the materials issued, in the main for Street Lighting schemes.

### **Leisure and Green Spaces +£118k**

Green Spaces position now shows a pressure +£101k, (£36k allotments saving proposal undelivered, £123k Country Parks due to VAT issue - improved position from last month by -£36k due to HRA funding for Rotherham Rivers & additional car parking income, offset by savings on recreational grounds & urban parks mainly due to vacant posts, totalling -£22k), Leisure are reporting +£17k pressure: +£12k from Sports Development due to late implementation of saving at Herringthorpe Stadium, £2k vacancy factor pressure on Trees & Woodlands and £3k vacancy factor pressure on LGS Management & Admin.

Across the rest of Streetpride services an improved position is being reported, partially due in increased income from current transportation and highways work, -£126k which is offsetting some pressures within Community Services, mainly due to increased pressures regarding fly-tipping and a shortfall in income within grounds maintenance totalling +£51k.

### **Regeneration, Planning, Customer and Cultural Services (+£663k forecast overspend)**

The key pressures within Regeneration and Planning total +£307k and are: +£379k from Planning due to reduced income from planning applications, additional required spend on the Local Development Plan and a VAT payment due from previous years, resulting from an audit. Smaller pressures are reported in Regeneration (+£14k) and Markets (+£46k). These are being partially offset by identified savings -£96k from higher than expected occupancy levels at the Business Centres, and further savings of -£36k from other areas.

Within Customer and Cultural Services there is a forecast overspend of +£356k. The change in venue for celebratory services has created a pressure of (+£60k), which is being partially mitigated by some staff savings (-£35k) across Heritage Services. Across Theatres and Arts there is a combined saving of (-£13k), due to some salaries savings, increased one-off income and due to the moratorium. Within Library Services a forecast overspend of (+£71k) (due to pay pressures (+£40k) and a pressure on a revaluation of business rates which are unfunded (+£30k)). Within Customer Services there remains an unachievable saving from 2012/13 of (+£80k) and a further (+£120k) from the 2013/14 savings proposals and a further (+£73k) within the Customer Contact Centre.

### **Business Unit (-£78k)**

The Business Unit is forecasting an underspend due to the moratorium, including suspension of non-essential training.

### **Asset Management (+£233)**

There are pressures across the Asset Management service: unbudgeted property disposal fees (+£80k), Land & Property income under-recovery (+£55k), operational costs of Community Buildings (+£9k), increased accommodation costs, including energy, (+£89k).

### **ICT (+575k)**

The service is currently forecasting a pressure of +£575k as a result of lower than budgeted income because of reduced demand by Schools (relating to both Rotherham



Grid for Learning and general IT provision, £200k and reduced spend on IT by Council services (£275k); the latter being partly as a result of the moratorium on non-essential spend.

**Internal Audit** – A forecast overspend of +£20k due to staff cost pressures.

**Communications & Marketing** are forecasting an overspend of +£41k due to staff cost pressures.

**Policy & Partnerships** – a forecast underspend of -£2k.

These pressures continue to be reviewed, and wherever possible, the budget holders will look to reduce any costs to mitigate the forecast overspend.

### **Neighbourhoods & Adult Services (+£1.113m forecast overspend) and Public Health Services (-£382k forecast underspend)**

**Adult Services** are currently forecasting an overspend of **+£1.366m**. The key underlying budget pressures include:

#### **Older People (+£691k)**

Forecast over spend on In-House Residential Care due to delays in implementing the 2013/14 budget savings target (+£325k), increase in Direct Payments over budget (+£558k) and overall forecast over spend on Domiciliary Care services (+£529k) due to an increase in demand for independent sector care.

There is also a forecast overspend on independent sector residential and nursing care (+£618k) due to lower than expected discharges than forecast (47 additional clients in placement than budgeted), this is after additional income from property charges is being received. These pressures are being partially reduced by a number of forecast underspends including: planned delays in developing dementia services (-£248k), carers breaks (-£183k) and additional income and delays in enhancements in Rothercare (-£130k). Higher than anticipated staff turnover within Assessment & Care Management and community support plus additional income from Health (-£648k), staff vacancies within Day Care services (-£66k), additional income in Extra Care Housing (-£23k) and Transport (-£41k).

#### **Learning Disabilities (+£420k)**

There is a forecast overspend on Day Care (+£237k) due to delays in implementation of the day care review including an increase in fees and charges, plus a recurrent budget pressure on transport. There is a forecast overspend in independent sector home care (+£102k) due to slippage in meeting an agreed budget saving. Additional admissions into residential care are resulting in a forecast overspend of +£103k. High cost placements within independent day care and community support are resulting in a forecast overspend of +£164k. These forecast overspends are partially mitigated by slippage on developing Supported Living schemes plus additional funding from health (-£67k), efficiency savings on Service Level Agreements (SLA's) for advice and information (-£62k), lower than expected increase in demand for direct payments (-£25k) and planned delay in recruitment within Assessment & Care Management (-£32k).

#### **Mental Health (-£189k)**

There is a projected overspend on the residential care budget due to slippage on the budget savings plan to move clients into community support services and a continued

pressure on the direct payments budget (+£978k). These are more than offset by forecast underspends in the community support budget (-£367k).

### **Physical & Sensory Disabilities (+£562k)**

Further increase in demand for Direct Payments (+10 clients) together with recurrent cost pressure (+£642k) and a continued increase in demand for domiciliary care +£242k. These pressures are being partially offset by forecast underspends within residential and nursing care, day care, provision of equipment and savings on contracts (-£322k).

### **Adults Safeguarding (+£14k)**

Forecast overspend due to lower than expected staff turnover and use of agency support.

### **Supporting People (-£78k)**

Efficiency savings on subsidy contracts have already been identified against budget (-£78k).

### **Adults General (-£54k)**

This includes the cross cutting budgets (Workforce planning and training, and corporate charges) which are forecasting an overall underspend based on the level of charges incurred last year plus savings on training budgets.

### **Neighbourhoods General Fund (-£93k)**

The projected year end outturn position for Neighbourhoods shows a forecast underspend of (-£93k).

The main reason for the forecast underspend is higher than expected staff turnover within Trading Standards and Licensing, savings on non pay budgets due to the moratorium on non essential spend plus additional income from the Dignity contract. The overall forecast underspend includes underspends within the Members Community Leadership Fund (-£16k) and Dispersed Units Trading Account (-£36k) which are likely to be subject to a request for carry-forward at the year end.

**Commissioning, Policy & Performance** services are forecasting an underspend of -£145k mainly in respect of staff cost savings.

**Procurement Team** – a forecast underspend of -£15k in respect of staff cost savings.

### **Public Health (-£382k)**

Public Health services were transferred from Health to Local Authorities on 1 April 2013. The service is funded by a ring fenced specific grant from the Department of Health. For Rotherham this is £13.790m for 2013/14 and the service is currently forecasting an overall underspend of -£382k. The main reason is a variation in the sexual health contracts from the original budget. The grant conditions however allow for any underspend at the year end to be carried forward in a Public Health Grant Reserve.

### **Housing Revenue Account (HRA)**

The overall forecast as at end October 2013 is that the HRA will outturn on budget with a planned (budgeted) use of its working balance (reserves) of £1.845m a reduction of

Currently forecasts show an over-recovery of income from charges for services and facilities together with minor under spends on housing repairs and supervision and management and the cost of borrowing.

**Resources Directorate (-£342k forecast overspend)**

**Legal and Democratic Services** – A forecast overspend of +£39k due to income and postage cost pressures.

**Human Resources & Payroll** are forecasting an underspend of -£289k largely in respect of staff cost savings and additional income generation.

**Management savings** are also forecast across the service amounting to -£76k.

**Pension cost savings** of -£16k are also forecast across the Directorate.

<b>ROTHERHAM BOROUGH COUNCIL – REPORT TO MEMBERS</b>
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<b>1</b>	<b>Meeting:</b>	<b>Self Regulation Select Commission</b>
<b>2</b>	<b>Date:</b>	<b>19<sup>th</sup> December 2013</b>
<b>3</b>	<b>Title:</b>	<b>Capital Programme Monitoring 2013/14 and Capital Programme Budget 2014/15 to 2016/17</b>
<b>4</b>	<b>Directorate:</b>	<b>Resources</b>

## **5 Summary**

The purpose of this report is to provide details of the current forecast outturn for the 2013/14 programme and enable the Council to review the capital programme for the financial years 2014/15 to 2016/17.

## **6 Recommendations**

**SELF REGULATION IS ASKED TO NOTE THE REQUEST OF CABINET TO:**

**NOTE THE CONTENTS OF THIS REPORT; AND**

**RECOMMEND THE APPROVAL OF THE UPDATED 2013/14 TO 2016/17 CAPITAL PROGRAMME BY FULL COUNCIL.**

## **7 Proposals and Details**

### **7.1 Background - The Capital Programme**

Ongoing restrictions on Government funding for local government capital investment plans continue to limit the level of funding available to regenerate and enhance the Borough's infrastructure.

Concurrently, the Council has continued to be proactive in looking to rationalise its asset and buildings portfolio so as to realise revenue savings and potential capital receipts from any future asset sale. Generally, such capital receipts are expected to be used to reduce future capital financing costs so as to reduce the revenue cost of borrowing.

#### **The Capital Programme 2014/15 to 2016/17**

The budget process that has led to the recommended capital programme for 2014/15 to 2016/17 ensures that Council's capital investment plans are aligned with strategic priorities and available funding. The financial implications of the programme are reflected in the Council's Medium Term Financial Strategy (MTFS) and Treasury Management and Investment Strategy.

In 2013/14 the Council will have invested £82.395m in capital schemes across the Borough. A further £133.817m will be invested in regeneration and enhanced infrastructure schemes over the following three year period, including £59.348m in 2014/15. It should be noted that some grant funding notifications have not been received at this time, which has limited the development of schemes to be undertaken in 2015/16 onwards. Once those notifications are received reports will be brought before Members, which will expand the current programme.

The expenditure plans and profiles are reflected in the Directorate summary forecast capital spend table presented below. A detailed copy of the programme for each Directorate is attached at Appendices 1 to 4.

	2013/14 Revised Estimate	2013/14 Variance from Last Report	2014/15 Estimate	2014/15 Variance from Last Report	2015/16 Estimate	2015/16 Variance from Last Report	2016/17 Estimate
Directorate	£m	£m	£m	£m	£m	£m	£m
Children & Young People's Service	21.108	+0.615	10.948	+5.162	6.307	+2.600	3.257
Environment & Development Services	24.420	-1.116	14.239	+1.289	7.239	0.000	0.650
Neighbourhoods & Adult Services	34.478	-2.121	33.204	+2.584	28.014	-1.467	28.062
Resources	2.389	+0.109	0.957	-0.109	0.470	0.000	0.470
<b>TOTAL</b>	<b>82.395</b>	<b>-2.513</b>	<b>59.348</b>	<b>+8.926</b>	<b>42.030</b>	<b>+1.133</b>	<b>32.439</b>

## **7.2 Children and Young People's Services Capital Programme 2013/14 to 2016/17**

The revised proposed spend for 2013/14 is £21.108m, with a further £20.512m of investment in the following years of the programme.

A copy of the current full programme is attached to this report at Appendix 1. Commentary on the main aspects of the programme and the nature of the spend is given below.

### **Primary Schools**

Spend on Primary Schools is expected to be £8.419m in 2013/14, with a further £8.829m of planned spend in 2014/15 to 2016/17. The major investments to note in this area are:

- The extension and refurbishment at **Maltby Lilly Hall Primary** school is now complete (£1.600m in 2013/14). The work has created six new classrooms together with associated facilities and external play areas.
- An extension at **Flanderwell Primary** to provide 5 additional classrooms was completed in October (£1.117m in 2013/14). The extension was necessary in order to accommodate an increase in pupil numbers.
- Work has begun on the **Autism Resource at Flanderwell Primary School** (£0.543m in 2013/14). The resource will cater for 10 pupils who will benefit from a purpose built resource.

- Work is almost complete at **Herringthorpe Infant and Junior Schools** (£1.784m in 2013/14). The classrooms for both schools are complete, the remaining work is to the external areas which was scheduled to finish at the end of November.
- The new 4 classroom block at **Aston Hall Junior and Infant School** (£0.845m in 2013/14) was completed in September 2013.
- The extension to facilitate the expansion of **Wath CE Primary School** (£0.050m in 2013/14) is currently in the planning stage and is expected to start on site in February, with a completion in the summer of 2014.

In addition two new schemes have been introduced to the programme in order to accommodate an increase in pupil numbers:

- Design development has begun of the **New Central Primary School** to be located on Eldon Road Allotment site (£0.150 in 2013/14). Surveys and investigations will continue this financial year, with building on site to begin in the Summer of 2014 subject to necessary approvals.
- Early planning has begun to create additional teaching, learning and other required facilities at **Brampton Ellis Junior School**. A further 3 classrooms will be needed, construction of which is anticipated to begin in 2016/17, to accommodate additional pupil numbers.

### **Secondary Schools**

Spend on Secondary Schools is expected to be £7.250m in 2013/14 with a further £3.377m in the subsequent years. The most notable projects in this area are:

- **Maltby Academy** (£6.725m in 2013/14). The Council continues to have an interest in the buildings until finalisation of the proposed long term lease of the assets to the Academy and is providing professional and technical support for the project. The work commenced in September 2012 and several Blocks have already been refurbished and handed back to the Academy. The business and enterprise block has recently been completed enabling work to begin on the Sports Hall, which is programmed to be complete in February 2014.
- An additional project to provide an 18 block classroom extension at **Wickersley School and Sports College** (£0.200m in 2013/14) has been added to the programme. The work, which is required in order to address an increase in pupil numbers, is expected to start in December 2013 and be complete for October 2014.

## Other Projects

The other major investments to note are:

- Using Government funding minor enhancement works are carried out at schools. The **Capitalised Minor Enhancements** programme in 2013/14 is now forecast to be £2.465m, those works will include:
  - New kitchen lighting, ventilation and the replacement of a ceiling containing asbestos at **Bramley Grange Primary School**.
  - Partial re-roofing work, toilet refurbishment and work to address damp issues at **Harthill Primary**.
  - The replacement of windows at **Kiveton Park Meadows, Roughwood and Kelford Schools**.

A further £5.735m is due to be spent on similar schemes in the remaining years of this programme.

- **Devolved Formula Capital Grant (DFCG)** is paid annually to schools for them to use on small capital projects. In 2013/14 £1.572m is due to be spent with a further £2.421m to be allocated in subsequent years.
- The **Property Adaptations** programme (£0.859m in 2013/14) aims to deal with the 21 requests received from foster carers or family members for a property extension, 13 of which will give the Council greater capacity in terms of fostering placement. It is also anticipated that this project will result in the long term reduction of revenue costs for fostering placements.

## Environment and Development Services (EDS) Capital Programme 2013/14 to 2016/17

The revised proposed spend for 2013/14 is £24.420m with a further £22.128m of investment in subsequent years. A copy of the full programme is attached to this report at Appendix 2. Commentary on the main aspects of the EDS programme and the changes to planned spend are shown below:

### Culture and Leisure

The overall programme spend in 2013/14 is expected to be £1.562m including the planned works to the Borough's **Library facilities** (£0.159m in 2013/14). The refit work to the ground floor at Dinnington Library is now complete, including the service centre relocation. Similarly work facilitating the movement of the customer service centre into Swinton Library is nearing completion. In addition:

- The original intention of the **Wath Library Refurbishment** project (£0.155m in 2013/14) was to relocate services currently delivered from Wath Neighbourhood Office at Wath Town Hall. In view of the



asbestos and re-wiring issues, encountered during initial investigations, the project has been put on hold until a further review of accommodation in the north of the Borough has been concluded. A decision is expected by late December.

- Investment in **Brinsworth Library** (£0.499m in 2013/14) is still planned. Brinsworth Parish Council is currently carrying out a consultation on extending the building to form a library and arts centre. Discussions are also taking place with the Arts Council and other partners regarding funding for the renovation of the building fabric together with the mechanical and electrical services, which will allow the building to be used for the next ten years.
- The Completion of **Barkers Park Changing Facilities** (£0.322m in 2013/14) is imminent. The project will deliver 8 team and 1 officials changing room plus a disabled facilities unit and renewal of the drainage system.
- A new classroom and cycle centre are to be created at **Rother Valley Country Park** (£0.166m in 2013/14). The classroom will be used to increase the range and number of educational experiences for both young people and adults and support the development of corporate activities. The new cycle workshop will expand the range and number of cycles available to hire in the park, improving the user experience.

### Highways

The Council's highways continue to be a priority for investment with £21.800m expected to be spent in 2013/14 and a further £15.200m invested over the next three years. The current Government funding programme comes to an end in 2014/15 with the next round of funding expected to be announced at the end of 2014. As a result the Council is unable to introduce any grant funded spend to the programme beyond 2014/15 at this time. The main areas of investment to be made in 2013/14 are:

- The **A57 Improvement Scheme** (£6.748m in 2013/14) is on-going with work to apply final tarmac layers and install lighting and signals scheduled to be completed early in 2014. It is also anticipated that compensation for land acquisition will not be agreed and paid until the 2014/15 financial year and in addition planting mitigation works will now use the 2014 growing season to ensure best results.
- The **LTP Integrated Transport Block** (£2.170m in 2013/14). This funding stream will deliver a programme of schemes designed to address problems at identified accident black spots and investment in works that will promote walking, cycling and bus usage across the Borough.
- The **Highways Maintenance** programme (£4.093m in 2013/14) will deliver many improvements to the Borough's road infrastructure

including carriageway resurfacing on; Worksop Road, Lindrick; Bawtry Road at Bramley; and Chapelfield Road, Thorpe Hesley.

- The **LSTF Main Bid** (£1.811m in 2013/14) will deliver a number of schemes including:
  - An off road cycle route from Queens Street, Swinton to Manvers.
  - Surfacing of the canal towpath between Rotherham town centre and Sheffield city centre, in conjunction with Sheffield City Council.
  - Investment in identified bus hotspots on the A633 Dearne corridor.
- Anticipated spend on **Other Highways Projects** (£6.328m in 2013/14) has risen slightly due to an increase in costs associated with the creation of a priority bus lane and signalisation of the Oldgate Lane/TATA Steels junction. The Department for Transport have agreed to fund the additional cost.

#### **Other investments**

The Council will, in 2013/14, continued to invest in the Borough's infrastructure, in particular:

- **Rotherham Townscapes Heritage Initiative** (£0.325m in 2013/14) continues to deliver improvements to the town centre, investing in the renovation of shop frontages, structural works and roof replacements. The project has been granted an extension by the Heritage Lottery Fund to enable the completion of the remaining buildings and subsequent public realm works on the High Street. The main physical works on 10-12 High Street, the Three Cranes and Alfonso's buildings will now take place in 2014/15, along with the improvements to the surrounding public realm.
- Protracted negotiations over the **Drainage Works on Don Street** (£0.627m in 2013/14) are on-going. These are expected to be brought to a conclusion in 2013/14.

In addition a capital contribution is to be made in 2015/16 to the **PFI Residual Waste Facility** contractor. This payment will reduce the overall cost of the project by reducing any future debt burden. This project will deliver a new waste disposal facility operated in conjunction with Doncaster and Barnsley Councils.

#### **Neighbourhoods and Adults Services Capital Programme 2013/14 to 2016/17**

The forecast spend for 2013/14 is £34.478m, with a further £89.280m planned in the remainder of the programme. A copy of the full revised programme is attached to this report at Appendix 3.

## Adult Services

The Service is expecting to spend £0.690m in 2013/14, the main projects being:

- The **Assistive Technology** scheme (£0.400m in 2013/14) will enable people requiring care support services to live independently within their own home through the purchase of telecare equipment. This equipment includes fall detectors and monitoring alarms. The project has now been extended into 2014/15 and will help to generate revenue savings over its lifetime.
- **REWS (Rotherham Equipment and Wheelchair Service) Equipment** (0.190m in 2013/14) – the purchase of equipment, after Occupational Therapist assessment, to support people within their own homes. Equipment will include a range of specialist bath and shower aids and mattresses and will be managed by Rotherham Foundation Hospital Trust. Again the project has now been extended into 2014/15 and will help to generate revenue savings over its lifetime.

## Neighbourhoods Services

For 2013/14 the Service is expected to spend £33.788m with a further £88.690m to be invested during the remaining period of the current programme. There have been a number of movement's to the planned Housing Capital programme for 2014/15 onwards due to better use of asset management intelligence. This has resulted in reductions to external and internal work budgets following significant investment during the Decent Homes programme. Going forward programmes will increasingly focus on investment to empty properties, due to increasing volumes as a consequence of welfare reform and rationalising, plus refurbishing existing District Heating networks across the borough.

A copy of the existing programme is attached to this report at Appendix 3 and the most notable items are detailed below.

**Improving Council Housing & Housing Services** - The programme for 2013/14 is now £27.553m with the only change being to the **Strategic Acquisitions** programme (£0.725m in 2013/14) where the purchase of properties in Wickersley and Rawmarsh is not expected to complete until 2014/15.

Other notable investments in this area are:

- **Refurbishment Works** (£14.000m in 2013/14) will be carried out to improve the quality of the housing stock both internally and externally across the borough. Those works will include; roof and gutter works at 1,600 properties in six areas across the Borough; roof and chimney replacements in flats in Wingfield and Greasbrough; wall renovation and insulation work in the North Anston, Maltby and Wath areas.

- **Environmental Works** (£1.485m in 2013/14) – schemes include improvements to parking, fencing and footpaths and the introduction of purpose built communal bin stores. Most notably work is on-going at Pike Road, Brinsworth, with an anticipated completion date of December 2013. Work will also be undertaken at Birk's Holt at Maltby, where improvements are to be made to the boundary fences and railings.
- The **Decent Homes Void Programme** (£1.819m in 2013/14) is on-going with 128 major voids completed and re-let so far in 2013/14.
- Under the **Replacement of Central Heating** programme (£3.010m in 2013/14) the Council has replaced 312 boilers under the planned programme and 212 boilers that were unplanned. A further 21 boilers are scheduled to be replaced before the financial year end.
- **Non-traditional Investment** (£1.841m in 2013/14). Work to renovate non-traditional properties is planned in four areas of the Borough:
  - Work on 84 properties in the Rawmarsh area has commenced and should be completed in February 2014.
  - Renovation work, which commenced in 2012/13, on properties in the Swallownest area has now been completed.
  - Work on a further 133 properties is continuing in the Wath area with completion now expected in January 2014, which is earlier than originally anticipated.
  - 97 properties in the Rawmarsh Manor Farm area will also receive external wall insulation. The work is currently out to tender and is expected to commence in 2014/15.

In addition two new programmes have been introduced from 2014/15 onwards:

- **New Build Disabled Persons Unit (DPU) Bungalows.** The Council is to invest in the building of four bungalows, two in Kimberworth and two in Thurcroft, specifically designed to cater for the needs of disabled tenants.
- Investment will be made **into Enabling Works on HRA Land.** These works will facilitate the releasing of HRA land for new build housing development

**Fair Access To All: Disabled Adaptations** (£3.784m in 2013/14) – work is on-going to ensure these demand-led works are completed within the statutory timescales. Up to the end of October 445 major and 2108 minor adaptations had been completed.

Investment into **Neighbourhood Regeneration & Renewal** (£1.981m in 2013/14) will continue with the most notable projects being:

- **Canklow Phase 1 & 2** (£0.450m in 2013/14) where there are seven properties identified for purchase, with negotiations on-going. A programme of demolition is also being prepared to clear the land where a further twenty properties have already been purchased.
- **Bellows Road, Rawmarsh, Service Centre Clearance** (£0.585m in 2013/14). Work is continuing to demolish the remaining shops in this precinct, although there has been some delay due to the need to find a suitable site for the relocation of a telecom mast.
- **Garage Site Investment** (£0.500m in 2013/14) which will see the renovation of a number of garage sites across the Borough, making them safe and secure for use.
- The **Fuel Poverty – Vulnerable People** project (£0.424m in 2013/14) will deliver low cost energy efficiency improvements to private sector households in areas of the Borough with high levels of fuel poverty. Phase 1 has been delivered with cavity and loft insulation being installed in 130 properties in a number of areas across Rotherham. Building on the success of Phase 1, a second phase of the project is currently being developed.

**Neighbourhoods Improvements Non-HIP Programme** (£0.470m in 2013/14) – the majority of the spend in this area will be on the **Landfill Sites** (£0.458m in 2013/14) where work is continuing to improve the gas/leachate systems and restore the land in order to make the sites safe. Work at three of the sites, Maltby, Droppingwell and Kiveton Park, is nearing completion whilst that at Rawmarsh and Wath is still ongoing.

#### **Resources Capital Programme 2013/14 to 2016/17**

Overall the 2013/14 programme is expected to spend £2.389m with a further £1.897m to be invested in the ensuing years. A copy of the full programme is attached to this report at Appendix 4, the main aspects being:

#### **Asset Management (£0.552m in 2013/14)**

- The **Ancillary Services Building** project (£0.262m in 2013/14) is continuing, with the focus in 2013/14 being the relocation of the York and Lancaster Regimental Museum. Work to improve customer access and the overall visitor experience is continuing with new display cases and signage due to be fully installed in December 2013.
- Work has commenced on the **Bailey House Renovation** project (£0.277m in 2013/14). Following a review of options it was determined that there is no viable early exit strategy from the building and that it should now be considered a long term operational asset, utilised to enable further rationalisation of the

Council's estate. Work is to be carried out to address issues which include the leaking plant room roof, the heating of offices and the replacement of fire doors. The intention is to then move services from both the Station Road and Canklow Depots allowing those facilities to be closed. Work should be completed by the end of March 2014

- The Council continues to invest in its **ICT infrastructure** (£1.837m in 2013/14) as part of its ICT Strategy. The Strategy is focussed on ensuring the Council is able to support effectively the services it delivers and promote new, innovative, ways of working that will result in greater efficiencies and effectiveness. The most notable projects are:
  - **Developing Customer Access and On-line Self Service.** Making customers' data available on-line in a secure way to improve customer service and realise efficiencies by moving transactions from more expensive contact channels.
  - **Upgrading Key Financial Management Systems** to support on-going improvements to the Council's financial management capability.
  - The **Electronic Document Records Management** project, designed to enable staff to access the information they need to do their jobs from any location and to reduce the amount of paper document storage.

### 7.3 Funding of the Programme

The table shown below outlines the funding strategy associated with the schemes profiled above and detailed in the Appendices 1 to 4.

<b>Funding</b>	<b>2013/14 Revised Estimate</b>	<b>2013/14 Variance from Last Report</b>	<b>2014/15 Estimate</b>	<b>2014/15 Variance from Last Report</b>	<b>2015/16 Estimate</b>	<b>2015/16 Variance from Last Report</b>	<b>2016/17 Estimate</b>
	<b>£m</b>	<b>£m</b>	<b>£m</b>	<b>£m</b>	<b>£m</b>	<b>£m</b>	<b>£m</b>
Grants & Contributions	39.552	+0.217	23.188	+5.881	5.236	+0.600	4.186
Unsupported Borrowing	11.209	-2.770	7.599	+2.730	9.759	+2.000	1.170
Usable Capital Receipts	1.815	+0.040	0.782	-0.045	0.332	0.000	0.332
Major Repairs Allowance (HRA)	21.037	0.000	20.024	-0.140	20.664	-1.000	20.664
Revenue Contributions	8.782	0.000	7.755	+0.500	6.039	-0.467	6.087
<b>Total</b>	<b>82.395</b>	<b>-2.513</b>	<b>59.348</b>	<b>+8.926</b>	<b>42.030</b>	<b>+1.133</b>	<b>32.439</b>

#### 7.4 Amount of Capital Expenditure on a Ward Basis

The table shown below shows the expenditure associated with the schemes profiled above, and detailed in the Appendices 1 to 4, on a Ward basis.

Ward	2013/14 Revised Estimate	2013/14 Variance from Last Report	2014/15 Estimate	2014/15 Variance from Last Report	2015/16 Estimate	2015/16 Variance from Last Report	2016/17 Estimate
	£m	£m	£m	£m	£m	£m	£m
Anston & Woodsetts	0.160	+0.091	0.036	0.000	0.036	0.000	0.036
Boston Castle	3.391	-1.111	5.485	+1.164	0.034	0.000	0.034
Brinsworth & Catcliffe	2.996	+0.103	0.628	0.000	0.035	0.000	0.035
Dinnington	0.350	+0.171	0.037	+0.001	0.036	0.000	0.036
Hellaby	1.856	+0.026	0.052	0.000	0.052	0.000	0.052
Holderness	4.507	+0.227	0.381	0.000	0.031	0.000	0.031
Hooper	0.448	+0.036	0.014	-0.045	0.014	0.000	0.414
Keppel	0.153	+0.043	0.056	0.000	0.056	0.000	0.056
Maltby	6.821	+0.008	0.020	0.000	0.020	0.000	0.020
Rawmarsh	1.169	+0.456	1.088	+0.150	0.051	0.000	0.051
Rother Vale	0.283	+0.034	0.023	0.000	0.023	0.000	0.023
Rotherham East	0.553	+0.171	2.660	+2.600	2.660	+2.600	0.060
Rotherham West	0.300	+0.086	0.042	0.000	0.042	0.000	0.042
Silverwood	0.150	+0.008	0.035	0.000	0.035	0.000	0.035
Sitwell	0.096	+0.029	0.034	0.000	0.034	0.000	0.034
Swinton	0.463	+0.115	0.293	0.000	0.043	0.000	0.043
Valley	4.408	+0.226	2.290	0.000	0.058	0.000	0.058
Wales	4.803	+0.485	0.377	0.000	0.827	0.000	0.027
Wath	0.466	+0.080	1.433	0.000	0.056	0.000	0.056
Wickersley	2.369	+0.461	2.861	+2.827	0.034	0.000	0.034
Wingfield	0.169	+0.072	0.075	0.000	0.030	0.000	0.030
All Wards	46.484	-4.330	41.428	+2.229	37.823	-1.467	31.232
<b>Total</b>	<b>82.395</b>	<b>-2.513</b>	<b>59.348</b>	<b>+8.926</b>	<b>42.030</b>	<b>+1.133</b>	<b>32.439</b>

#### 8. Finance

Financial implications are contained within the body of this report. Any revenue implications from the revised programme have been fully reflected in the Council's latest 2013/14 outturn revenue forecast and its updated Medium Term Financial Strategy.

**9. Risks & Uncertainties**

The Capital Programme is funded through a number of sources: unsupported borrowing, capital grants & contributions, revenue contributions and capital receipts. Any uncertainty over the funding of the Programme rests on confirmation that grants/contributions and capital receipts continue to be available in coming years. Where funding sources are volatile in nature the risks will be managed by continually keeping the programme under review.

**10. Policy and Performance Agenda Implications**

The preparation of the Medium Term Financial Strategy incorporating a profiled capital programme and the associated revenue consequences, together with regular monitoring, highlights the Council's commitment to sound financial management.

**11. Background Papers and Consultation**

- Capital Programme Monitoring 2013/14 and Capital Programme Budget 2014/15 to 2015/16.
- Project / Scheme monitoring reports
- Monitoring returns and budget setting details from Directorates.

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**CHILDREN AND YOUNG PEOPLE'S CAPITAL PROGRAMME 2013/14 - 2016/17**  
**FINANCIAL SUMMARY STATEMENT**

CAPITAL INVESTMENT BY PROJECT	SPEND AND FUNDING STATEMENT						
	2013/14 Estimate	2013/14 Variance to Previous Report	2014/15 Estimate	2014/15 Variance to Previous Report	2015/16 Estimate	2015/16 Variance to Previous Report	2016/17 Estimate
	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s
<b>PRIMARY</b>							
MALTBY LILLY HALL	1,600	0					
KILNHURST ST THOMAS EXTRA CLASSROOM	253	0					
FLANDERWELL PRIMARY EXTENSION	1,117	0					
HERRINGTHORPE INFANT & JUNIOR SCHOOLS EXPANSION	1,784	0					
ASTON HALL INFANT & JUNIOR SCHOOL EXPANSION	845	0					
FLANDERWELL PRIMARY AUTISM RESOURCE	543	0					
WEST MELTON PRIMARY SCHOOL EXTENSION	384	0					
BROOM VALLEY COMMUNITY PRIMARY SCHOOL EXPANSION	195	0					
BRINSWORTH HOWARTH PRIMARY SCHOOL - MODULAR CLASSROOMS	350	0					
BRAMLEY SUNNYSIDE INFANT SCHOOL RENOVATION	60	0	1,350	0			
BRAMLEY SUNNYSIDE JUNIOR SCHOOL RENOVATION	115	0					
WATH C OF E PRIMARY SCHOOL EXPANSION	50	0	159	0			
RAWMARSH MONKWOOD PRIMARY SCHOOL EXPANSION			920	0			
DALTON LISTERDALE JUNIOR AND INFANT SCHOOL EXPANSION	30	0					
KIVETON PARK MEADOWS JUNIOR SCHOOL EXPANSION	415	0					
WALES PRIMARY SCHOOL EXPANSION	400	0			800	0	
BADSLEY MOOR INFANTS RECEPTION ALTERATIONS	90	0					
TREETON C OF E NEW SPORTS PITCH	38	0					
NEW CENTRAL PRIMARY SCHOOL	150	150	2,600	2,600	2600	2600	
BRAMPTON ELLIS JUNIOR SCHOOL							400
<b>SECONDARY</b>							
SUPPORT TO SCHOOLS	150	0	150	0	150	0	
MALTBY ACADEMY	6,725	0	250	0			
SWINTON COMMUNITY SCHOOL IMPROVEMENTS							
CLIFTON SCHOOL CARETAKERS CONVERSION	175	0	2,827	2,827			
WICKERSLEY SCHOOL AND SPORTS COLLEGE	200	200					
<b>CITY LEARNING CENTRES</b>							
CLC RAWMARSH	28	0					
<b>CAPITALISED MINOR ENHANCEMENTS</b>	2,465	265	1,835	-265	1900	0	2,000
<b>OTHER SCHEMES</b>							
DFCG	1,572	0	807	0	807	0	807
KIMBERWORTH CO-LOCATION	50	0	50	0	50	0	50
PROPERTY ADAPTATIONS	859	0					
ORCHARD CENTRE - SOFT PLAY AREA/INTERNAL FLOOR COVERING	15	0					
ENTITLEMENT FOR EARLY YEARS PROVISION (TWO YEAR OLDS)	450	0					
<b>CYPS CAPITAL PROGRAMME</b>	<b>21,108</b>	<b>615</b>	<b>10,948</b>	<b>5,162</b>	<b>6,307</b>	<b>2,600</b>	<b>3,257</b>

SOURCES OF FUNDING	2013/14 Estimate	2013/14 Variance to Previous Report	2014/15 Estimate	2014/15 Variance to Previous Report	2015/16 Estimate	2015/16 Variance to Previous Report	2016/17 Estimate
	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s
	SUPPORTED CAPITAL EXPENDITURE (REVENUE)						
GRANTS AND CONTRIBUTIONS	20,249	615	10,898	5,162	4257	600	3207
REVENUE CONTRIBUTION							
USABLE CAPITAL RECEIPTS							
PRUDENTIAL BORROWING	859	0	50	0	2050	2000	50
MAJOR REPAIRS ALLOWANCE							
<b>CYPS CAPITAL PROGRAMME</b>	<b>21,108</b>	<b>615</b>	<b>10,948</b>	<b>5,162</b>	<b>6,307</b>	<b>2,600</b>	<b>3,257</b>

**CYPS CAPITAL INVESTMENT BY WARD 2013/14 - 2016/17**

CYPS CAPITAL INVESTMENT BY WARD	2013/14 Estimate	2013/14 Variance to Previous Report	2014/15 Estimate	2014/15 Variance to Previous Report	2015/16 Estimate	2015/16 Variance to Previous Report	2016/17 Estimate
	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s
	ANSTON & WOODSETTS	160	91	36	0	36	0
BOSTON CASTLE	307	39	34	0	34	0	34
BRINSWORTH & CATCLIFFE	521	103	35	0	35	0	35
DINNINGTON	243	174	36	0	36	0	36
HELLABY	1,726	26	52	0	52	0	52
HOLDERNESS	1,133	227	31	0	31	0	31
HOOBER	448	36	14	0	14	0	14
KEPPEL	153	43	56	0	56	0	56
MALTBY	6,773	8	20	0	20	0	20
RAWMARSH	584	456	210	0	51	0	51
ROTHER VALE	117	34	23	0	23	0	23
ROTHERHAM EAST	553	171	2,660	2,600	2660	2,600	60
ROTHERHAM WEST	233	86	42	0	42	0	42
SILVERWOOD	76	8	35	0	35	0	35
SITWELL	96	29	34	0	34	0	34
SWINTON	455	119	293	0	43	0	43
VALLEY	2,005	67	978	0	58	0	58
WALES	1,353	485	27	0	827	0	27
WATH	239	80	1,406	0	56	0	56
WICKERSLEY	2,369	461	2,861	2,827	34	0	34
WINGFIELD	130	72	30	0	30	0	30
ALL WARDS	1,434	-2,200	2,035	-265	2100	0	2,050
<b>CYPS CAPITAL PROGRAMME</b>	<b>21,108</b>	<b>615</b>	<b>10,948</b>	<b>5,162</b>	<b>6,307</b>	<b>2,600</b>	<b>3,257</b>



**EDS HIGHWAYS CAPITAL PROGRAMME 2013/14 to 2016/17**  
**FINANCIAL SUMMARY STATEMENT**

CAPITAL INVESTMENT	SPEND AND FUNDING STATEMENT						
	2013/14 Estimate	2013/14 Variance to Previous Report	2014/15 Estimate	2014/15 Variance to Previous Report	2015/16 Estimate	2015/16 Variance to Previous Report	2016/17 Estimate
	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s
A57 IMPROVEMENTS	6,748	0	700	0			
LTP INTEGRATED TRANSPORT BLOCK	2,170	20	1,836	0			
LTP HIGHWAY MAINTENANCE	4,093	0	2,000	0			
LSTF MAIN BID	1,811	0	1,312	0			
REPLACEMENT/UPGRADE STREET LIGHT	650	0	650	0	650	0	650
OTHER HIGHWAYS PROJECTS	6,328	28	6,577	125	825	0	
<b>EDS HIGHWAYS CAPITAL PROGRAMME</b>	<b>21,800</b>	<b>48</b>	<b>13,075</b>	<b>125</b>	<b>1,475</b>	<b>0</b>	<b>650</b>

SOURCES OF FUNDING	2013/14 Estimate	2013/14 Variance to Previous Report	2014/15 Estimate	2014/15 Variance to Previous Report	2015/16 Estimate	2015/16 Variance to Previous Report	2016/17 Estimate
	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s
	SUPPORTED CAPITAL EXPENDITURE (REVENUE)						
GRANTS AND CONTRIBUTIONS	16,654	173	9,997	0			
REVENUE CONTRIBUTION	194	0					
USABLE CAPITAL RECEIPTS							
PRUDENTIAL BORROWING	4,952	-125	3,078	125	1,475	0	650
MAJOR REPAIRS ALLOWANCE							
<b>EDS HIGHWAYS CAPITAL PROGRAMME</b>	<b>21,800</b>	<b>48</b>	<b>13,075</b>	<b>125</b>	<b>1,475</b>	<b>0</b>	<b>650</b>

**EDS ECONOMIC REGENERATION CAPITAL PROGRAMME 2013/14 - 2016/17**  
**FINANCIAL SUMMARY STATEMENT**

CAPITAL INVESTMENT	SPEND AND FUNDING STATEMENT						
	2013/14 Estimate	2013/14 Variance to Previous Report	2014/15 Estimate	2014/15 Variance to Previous Report	2015/16 Estimate	2015/16 Variance to Previous Report	2016/17 Estimate
	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s
<b>MASTERPLAN</b>							
ROTHERHAM TOWNSCAPE HERITAGE INITIATIVES	325	-1,164	1,164	1,164			
<b>FLOOD ALLEVIATION</b>							
DRAINAGE WORKS DON STREET	627	0					
<b>EDS ECONOMIC REGENERATION CAPITAL PROGRAMME</b>	<b>952</b>	<b>-1,164</b>	<b>1,164</b>	<b>1,164</b>	<b>0</b>	<b>0</b>	<b>0</b>

SOURCES OF FUNDING	2013/14 Estimate	2013/14 Variance to Previous Report	2014/15 Estimate	2014/15 Variance to Previous Report	2015/16 Estimate	2015/16 Variance to Previous Report	2016/17 Estimate
	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s
	SUPPORTED CAPITAL EXPENDITURE (REVENUE)						
GRANTS AND CONTRIBUTIONS	289	-558	558	558			
REVENUE CONTRIBUTION							
USABLE CAPITAL RECEIPTS							
PRUDENTIAL BORROWING	663	-606	606	606			
MAJOR REPAIRS ALLOWANCE							
<b>EDS ECONOMIC REGENERATION CAPITAL PROGRAMME</b>	<b>952</b>	<b>-1,164</b>	<b>1,164</b>	<b>1,164</b>	<b>0</b>	<b>0</b>	<b>0</b>

**EDS - OTHER CAPITAL PROGRAMMES 2013/14 - 2016/17**  
**FINANCIAL SUMMARY STATEMENT**

CAPITAL INVESTMENT	SPEND AND FUNDING STATEMENT						
	2013/14 Estimate	2013/14 Variance to Previous Report	2014/15 Estimate	2014/15 Variance to Previous Report	2015/16 Estimate	2015/16 Variance to Previous Report	2016/17 Estimate
	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s
WASTE MANAGEMENT PFI RESIDUAL WASTE FACILITY					5,764	0	
ROTHERHAM ECONOMIC REGENERATION FUND TOWN CENTRE BUSINESS VITALITY SCHEME-PRIVATE PROPERTIES	84	0					
TOWN CENTRE BUSINESS VITALITY SCHEME-RMBC PROPERTIES	22	0					
<b>EDS - OTHER CAPITAL PROGRAMMES</b>	<b>106</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>5,764</b>	<b>0</b>	<b>0</b>

SOURCES OF FUNDING	2013/14 Estimate	2013/14 Variance to Previous Report	2014/15 Estimate	2014/15 Variance to Previous Report	2015/16 Estimate	2015/16 Variance to Previous Report	2016/17 Estimate
	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s
	SUPPORTED CAPITAL EXPENDITURE (REVENUE) GRANTS AND CONTRIBUTIONS REVENUE CONTRIBUTION USABLE CAPITAL RECEIPTS PRUDENTIAL BORROWING MAJOR REPAIRS ALLOWANCE	106	0			5,764	0
<b>EDS - OTHER CAPITAL PROGRAMMES</b>	<b>106</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>5,764</b>	<b>0</b>	<b>0</b>

**SUMMARY EDS CAPITAL PROGRAMME 2013/14 - 2016/17**

	2013/14 Estimate	2013/14 Variance to Previous Report	2014/15 Estimate	2014/15 Variance to Previous Report	2015/16 Estimate	2015/16 Variance to Previous Report	2016/17 Estimate
	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s
TOTAL EDS INVESTMENT	24,420	-1,116	14,239	1,289	7,239	0	650

SOURCES OF FUNDING	2013/14 Estimate	2013/14 Variance to Previous Report	2014/15 Estimate	2014/15 Variance to Previous Report	2015/16 Estimate	2015/16 Variance to Previous Report	2016/17 Estimate
	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s
SUPPORTED CAPITAL EXPENDITURE (REVENUE)							
GRANTS AND CONTRIBUTIONS	17,172	-385	10,555	558			
REVENUE CONTRIBUTION	345	0					
USABLE CAPITAL RECEIPTS	85	0					
PRUDENTIAL BORROWING	6,818	-731	3,684	731	7,239	0	650
MAJOR REPAIRS ALLOWANCE							
<b>EDS CAPITAL PROGRAMME</b>	<b>24,420</b>	<b>-1,116</b>	<b>14,239</b>	<b>1,289</b>	<b>7,239</b>	<b>0</b>	<b>650</b>

**EDS CAPITAL INVESTMENT BY WARD 2013/14 - 2016/17**

EDS CAPITAL INVESTMENT BY WARD	2013/14 Estimate	2013/14 Variance to Previous Report	2014/15 Estimate	2014/15 Variance to Previous Report	2015/16 Estimate	2015/16 Variance to Previous Report	2016/17 Estimate
	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s
ANSTON & WOODSETTS	0	0	0	0	0	0	0
BOSTON CASTLE	2,082	-1,163	5,001	1,164	0	0	0
BRINSWORTH & CATCLIFFE	2,475	0	593	0	0	0	0
DINNINGTON	74	0	0	0	0	0	0
HELLABY	0	0	0	0	0	0	0
HOLDERNESS	3,374	0	350	0	0	0	0
HOOBER	0	0	0	0	0	0	0
KEPPEL	0	0	0	0	0	0	0
MALTBY	48	0	0	0	0	0	0
RAWMARSH	0	0	0	0	0	0	0
ROTHER VALE	166	0	0	0	0	0	0
ROTHERHAM EAST	0	0	0	0	0	0	0
ROTHERHAM WEST	0	0	0	0	0	0	0
SILVERWOOD	0	0	0	0	0	0	0
SITWELL	0	0	0	0	0	0	0
SWINTON	8	-4	0	0	0	0	0
VALLEY	2,403	159	1,312	0	0	0	0
WALES	3,374	0	350	0	0	0	0
WATH	155	0	0	0	0	0	0
WICKERSLEY	0	0	0	0	0	0	0
WINGFIELD	0	0	0	0	0	0	0
ALL WARDS	10,261	-108	6,633	125	7,239	0	650
<b>EDS CAPITAL PROGRAMME</b>	<b>24,420</b>	<b>-1,116</b>	<b>14,239</b>	<b>1,289</b>	<b>7,239</b>	<b>0</b>	<b>650</b>

**NEIGHBOURHOODS & ADULT SERVICES CAPITAL PROGRAMME 2013/14 - 2016/17**  
**FINANCIAL SUMMARY STATEMENT**

CAPITAL INVESTMENT BY PROJECT	SPEND AND FUNDING STATEMENT						
	2013/14 Estimate	2013/14 Variance to Previous Report	2014/15 Estimate	2014/15 Variance to Previous Report	2015/16 Estimate	2015/16 Variance to Previous Report	2016/17 Estimate
	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s
<b>ADULT SERVICES</b>							
ASSISTIVE TECHNOLOGY	400	0	400	0			
REWS EQUIPMENT	190	0	190	0			
DAVIES COURT GARDEN STRUCTURES	11	0					
ADULT SOCIAL CARE NEW IT EQUIPMENT	89	0					
<b>IMPROVING COUNCIL HOUSING &amp; HOUSING SERVICES</b>							
REFURBISHMENT	14,000	0	11,095	-2,874	12,112	-4131	12,148
REPLACEMENT WINDOWS	610	0	400	-40			
ENVIRONMENTAL WORKS	1,485	0	1,500	0	1,500	0	1,500
DECENT HOMES VOID PROGRAMME	1,819	0	2,900	1,133	2,950	1185	3,000
REPLACEMENT OF CENTRAL HEATING	3,010	0	3,261	341	3,261	341	3,261
ELECTRICAL BOARD & BOND	200	0	200	0	205	5	210
REPLACEMENT OF COMMUNAL DOORS (HIGH SECURITY)	930	0	840	540	500	500	500
ASBESTOS TESTING	370	0	380	10	400	30	410
LIFT REPLACEMENTS	75	0					
FLAT DOOR REPLACEMENT	620	0	0	-500			
DISTRICT HEATING CONVERSIONS	218	0	2,000	1,650	1,000	650	1,000
BOUNDARY WALL TREATMENTS	200	0	625	425	625	425	625
GENERAL STRUCTURES	650	0	650	0	650	0	650
EXTERNAL INSULATION	475	0	50	-425	50	-425	50
NEW IT SYSTEMS	325	0					
NON-TRADITIONAL INVESTMENT	1,841	0	1,400	0	1,400	0	1,400
STARTEGIC ACQUISITIONS	725	-2,108	2,836	2,108			
NEW BUILD DPU BUNGALOWS			500	500			
ENABLING WORKS HRA LAND			100	100	100	100	100
<b>FAIR ACCESS TO ALL</b>							
DISABLED FACILITIES GRANT (PRIVATE SECTOR)	1,639	0	1,311	0	1,311	0	1,311
DISABLED ADAPTATIONS (PUBLIC SECTOR)	2,145	0	1,878	0	1,950	53	1,897
<b>NEIGHBOURHOOD REGENERATION &amp; RENEWAL</b>							
GALLERY TOWN - DINNINGTON IMPROVEMENTS	22	-3	1	1			
CANKLOW PHASE 1 & 2	450	0	450	0			
BELLOWS ROAD SERVICE CENTRE CLEARANCE	585	0	150	150			
OCCUPATION ROAD CLEARANCE PROJECT			0	-45			
GARAGE SITE INVESTMENT	500	0	0	-500	0	-200	
FUEL POVERTY - VULNERABLE PEOPLE	424	0					
<b>NEIGHBOURHOODS IMPROVEMENTS NON-HIP PROGRAMME</b>							
AIR QUALITY GRANT	2	-3	8	3			
AIR QUALITY EQUIPMENT/SOFTWARE	10	-7	7	7			
LANDFILL SITES	458	0	72	0			
<b>NEIGHBOURHOODS &amp; ADULT SERVICES CAPITAL PROGRAMME</b>	<b>34,478</b>	<b>-2,121</b>	<b>33,204</b>	<b>2,584</b>	<b>28,014</b>	<b>-1,467</b>	<b>28,062</b>

SOURCES OF FUNDING	2013/14 Estimate	2013/14 Variance to Previous Report	2014/15 Estimate	2014/15 Variance to Previous Report	2015/16 Estimate	2015/16 Variance to Previous Report	2016/17 Estimate
	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s
	SUPPORTED CAPITAL EXPENDITURE (REVENUE)						
GRANTS AND CONTRIBUTIONS	2,131	-13	1,735	161	979	0	979
REVENUE CONTRIBUTION	8,437	0	7,755	500	6,039	-467	6,087
USABLE CAPITAL RECEIPTS	1,730	40	782	-45	332	0	332
PRUDENTIAL BORROWING	1,143	-2,148	2,908	2,108			
MAJOR REPAIRS ALLOWANCE	21,037	0	20,024	-140	20,664	-1,000	20,664
<b>NEIGHBOURHOODS &amp; ADULT SERVICES CAPITAL PROGRAMME</b>	<b>34,478</b>	<b>-2,121</b>	<b>33,204</b>	<b>2,584</b>	<b>28,014</b>	<b>-1,467</b>	<b>28,062</b>

**NEIGHBOURHOODS & ADULT SERVICES CAPITAL INVESTMENT BY WARD 2013/14 - 2016/17**

NEIGHBOURHOODS & ADULT SERVICES CAPITAL INVESTMENT BY WARD							
	2013/14 Estimate	2013/14 Variance to Previous Report	2014/15 Estimate	2014/15 Variance to Previous Report	2015/16 Estimate	2015/16 Variance to Previous Report	2016/17 Estimate
	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s
ANSTON & WOODSETTS	0	0	0	0	0	0	0
BOSTON CASTLE	450	0	450	0	0	0	0
BRINSWORTH & CATCLIFFE	0	0	0	0	0	0	0
DINNINGTON	33	-3	1	1	0	0	0
HELLABY	130	0	0	0	0	0	0
HOLDERNESS	0	0	0	0	0	0	0
HOOBER	0	0	0	-45	0	0	0
KEPPEL	0	0	0	0	0	0	0
MALTBY	0	0	0	0	0	0	0
RAWMARSH	585	0	878	150	0	0	0
ROTHER VALE	0	0	0	0	0	0	0
ROTHERHAM EAST	0	0	0	0	0	0	0
ROTHERHAM WEST	67	0	0	0	0	0	0
SILVERWOOD	74	0	0	0	0	0	0
SITWELL	0	0	0	0	0	0	0
SWINTON	0	0	0	0	0	0	0
VALLEY	0	0	0	0	0	0	0
WALES	76	0	0	0	0	0	0
WATH	72	0	27	0	0	0	0
WICKERSLEY	0	0	0	0	0	0	0
WINGFIELD	39	0	45	0	0	0	0
ALL WARDS	32,952	-2,118	31,803	2,478	28,014	-1,467	28,062
<b>NEIGHBOURHOODS &amp; ADULT SERVICES CAPITAL PROGRAMME</b>	<b>34,478</b>	<b>-2,121</b>	<b>33,204</b>	<b>2,584</b>	<b>28,014</b>	<b>-1,467</b>	<b>28,062</b>



**RESOURCES CAPITAL PROGRAMME 2013/14 - 2016/17**  
**FINANCIAL SUMMARY STATEMENT**

CAPITAL INVESTMENT BY PROJECT	SPEND AND FUNDING STATEMENT						
	2013/14 Estimate	2013/14 Variance to Previous Report	2014/15 Estimate	2014/15 Variance to Previous Report	2015/16 Estimate	2015/16 Variance to Previous Report	2016/17 Estimate
	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s
<b>ASSET MANAGEMENT</b>							
TOWN CENTRE DESIGN WORK	13	0					
ANCILLARY SERVICES BUILDING	262	0					
BAILEY HOUSE RENOVATION	277	0					
<b>ICT</b>							
ICT STRATEGY	204	0	66	-14			
ICT STRATEGY (2)	1,163	109	421	-95			
ICT REFRESH	470	0	470	0	470	0	470
<b>RESOURCES CAPITAL PROGRAMME</b>	<b>2,389</b>	<b>109</b>	<b>957</b>	<b>-109</b>	<b>470</b>	<b>0</b>	<b>470</b>

SOURCES OF FUNDING	2013/14 Estimate	2013/14 Variance to Previous Report	2014/15 Estimate	2014/15 Variance to Previous Report	2015/16 Estimate	2015/16 Variance to Previous Report	2016/17 Estimate
	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s
	<b>SUPPORTED CAPITAL EXPENDITURE (REVENUE)</b>						
GRANTS AND CONTRIBUTIONS							
REVENUE CONTRIBUTION							
USABLE CAPITAL RECEIPTS							
PRUDENTIAL BORROWING	2,389	109	957	-109	470	0	470
MAJOR REPAIRS ALLOWANCE							
<b>RESOURCES CAPITAL PROGRAMME</b>	<b>2,389</b>	<b>109</b>	<b>957</b>	<b>-109</b>	<b>470</b>	<b>0</b>	<b>470</b>

**RESOURCES CAPITAL INVESTMENT BY WARD 2013/14 - 2016/17**

RESOURCES CAPITAL INVESTMENT BY WARD	2013/14 Estimate	2013/14 Variance to Previous Report	2014/15 Estimate	2014/15 Variance to Previous Report	2015/16 Estimate	2015/16 Variance to Previous Report	2016/17 Estimate
	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s	£'000s
	ANSTON & WOODSETTS	0	0	0	0	0	0
BOSTON CASTLE	552	13	0	0	0	0	0
BRINSWORTH & CATCLIFFE	0	0	0	0	0	0	0
DINNINGTON	0	0	0	0	0	0	0
HELLABY	0	0	0	0	0	0	0
HOLDERNESS	0	0	0	0	0	0	0
HOOBER	0	0	0	0	0	0	0
KEPPEL	0	0	0	0	0	0	0
MALTBY	0	0	0	0	0	0	0
RAWMARSH	0	0	0	0	0	0	0
ROTHER VALE	0	0	0	0	0	0	0
ROTHERHAM EAST	0	0	0	0	0	0	0
ROTHERHAM WEST	0	0	0	0	0	0	0
SILVERWOOD	0	0	0	0	0	0	0
SITWELL	0	0	0	0	0	0	0
SWINTON	0	0	0	0	0	0	0
VALLEY	0	0	0	0	0	0	0
WALES	0	0	0	0	0	0	0
WATH	0	0	0	0	0	0	0
WICKERSLEY	0	0	0	0	0	0	0
WINGFIELD	0	0	0	0	0	0	0
ALL WARDS	1,837	96	957	-109	470	0	470
<b>RESOURCES CAPITAL PROGRAMME</b>	<b>2,389</b>	<b>109</b>	<b>957</b>	<b>-109</b>	<b>470</b>	<b>0</b>	<b>470</b>

**ROTHERHAM BOROUGH COUNCIL – REPORT TO SELF REGULATION  
SELECT COMMISSION**

<b>1.</b>	<b>Meeting:</b>	Self Regulation Select Commission
<b>2.</b>	<b>Date:</b>	19 <sup>th</sup> December, 2013
<b>3.</b>	<b>Title:</b>	Corporate Risk Register
<b>4.</b>	<b>Directorate:</b>	Environment & Development Services

**5. Summary**

Attached to this report is the current Corporate Risk Register summary. The summary shows the risks associated with the Council's most significant priorities and projects, and actions being taken to mitigate these risks.

The Council's key current risks continue to relate to the financial pressures faced by the Council and the implications of the Welfare Reforms. The report summarises the management actions that are being taken to mitigate these and other risks in the register.

The risk score on the priority relating to achieving economic growth remains high in recognition of the on-going weak economic conditions.

**6. Recommendations**

**The Self Regulation Select Commission is asked to:**

- **note the Corporate Risk Register summary attached at Appendix A**
- **confirm the current assessment of the Council's top corporate risks**
- **indicate any further risks or opportunities that it feels should be added to the risk register.**

## 7 Proposals and Details

### 7.1 Format

This report contains the latest position on the Corporate Risk Register. The Corporate Risk Register summary is attached at **Appendix A**. This reflects the current risk assessments for each corporate priority or project in the Corporate Risk Register.

This covering report highlights the top inherent risks.

There are 3 overall categories of risk (RED, AMBER, GREEN) representing varying degrees of exposure. Each category contains a range of risk scores, so there are varying degrees of risk within each category. Appendix A shows the risk category and score for each priority or project included in the register before and after risk mitigation actions.

### 7.2 Highest inherent risks

The risk register summary shows risks in descending inherent risk order, to emphasize the most significant risks faced by the Authority. The top risks requiring close monitoring are:

- Managing Government budget reductions - unable to maintain key services due to budgetary limits.

*Despite very challenging circumstances, the Council has maintained its successful track record of containing spending within available budget. This performance is to the Council's credit. However, the Council has to save a further £40m+ in the next two years, making it even harder to manage within available resources.*

*There will be a change in the way the Council works with communities and its citizens to meet their needs in response to the significance of the financial challenges facing the Council that lie ahead. SLT and Cabinet will continue to monitor very closely the overall financial performance and position of the Council and put in place a strategy to take proportionate and appropriate actions to ensure the Council budget and financial position is sustainable.*

- Welfare Reforms

*Government welfare reforms implemented from April 2013 are beginning to have substantial implications for residents affected by benefits reductions and there is a knock-on impact on Council services.*

*Services are tracking implications and informing Members as appropriate, so that appropriate decisions can be made where necessary.*

- Delivering effective Children's Services within budget

*On-going action is being taken by management to provide services within the budget available. Cabinet is being kept informed of the relevant financial challenges as part of the budget monitoring and budget setting processes and is making decisions accordingly.*

- Digital Region

A decision has been taken by all South Yorkshire councils to close the network following BIS's decision to withdraw future funding for the project. A closure plan has been formulated and is progressing and whilst, at this stage, the funding in place is considered sufficient to meet expected liabilities, closure remains at an early stage.

- Economic Growth

*The risk associated with achieving Economic Growth remains Red in recognition of the on-going weak economic conditions.*

### **7.3 Other key developments / changes during the period**

An initial assessment of councils' liabilities relating to aged insurance claims was made by the Municipal Mutual Insurance Company administrators in early 2013. This indicated a potential liability for the Council of up to £1.32m, which has been provided for in the Council's budget. Current indications are that there may be a further small increase in the liability during 2013/14.

The former risk relating to the implementation of the Localism Act has now been removed as the Council has successfully responded to relevant requirements. Any specific future risks (for example relating to the setting of Council Tax levels / referenda) will be included as separate items as appropriate.

## **8. Finance**

The risks contained in the register require ongoing management action. In some cases additional resources may be necessary to implement the relevant actions or mitigate risks. Any additional costs associated with the risks should be reported to the SLT and Members for consideration on a case by case basis.

## **9. Risks and Uncertainties**

It is important to review corporate risks on an ongoing basis, to ensure risks relating to the Council's key projects and priorities are effectively monitored and managed by the Strategic Leadership Team and Members.

## **10. Policy and Performance Agenda Implications**

Risk Management is part of good corporate governance and is wholly related to the achievement of the objectives in the Council's Corporate Plan.

## **11. Background Papers and Consultation**

This report reflects the latest updates provided by the respective 'lead officers'.

### **Contact Names:**

*Colin Earl, Director of Audit and Asset Management, x22033*

*Andrew Shaw, Insurance and Risk Manager, x22088*

## **Appendices**

### **Appendix A Corporate Risk Register Summary**

## APPENDIX A: SUMMARY CORPORATE RISK REGISTER

No	Risk	Pre Controls 1- 25	<u>Lead officer</u>  Key Actions/Updates	Post Controls 1 - 25	Links to Corporate Priorities
0027	Managing Government budget reductions - unable to maintain key services due to budgetary limits	<b>25</b>	<u>Martin Kimber</u> <ul style="list-style-type: none"> <li>• High priority, driven through Strategic Leadership Team and Cabinet</li> <li>• Actions to mitigate budget reductions are continually being identified</li> <li>• Budget principles have been revised which will see a different approach to the way services are delivered.</li> </ul>	<b>20</b>	All Priorities
0037	Welfare Reform: <ul style="list-style-type: none"> <li>• Significant pressures arising from the localisation of various resources and a reduction in overall funding available, limited administration capacity and reduced collection of Council Tax.</li> <li>• Potential major impact of reduced housing benefits, leading to higher debts, increasing demand for shrinking services, and increasing poverty and vulnerability. Potential to increase gap in communities' needs.</li> <li>• Negative overall impact on the local economy, with spiralling consequences.</li> <li>• Potential increase in crime.</li> </ul>	<b>25</b>	<u>Karl Battersby</u> <ul style="list-style-type: none"> <li>• Effective communications especially in relation to discretionary benefits administered by the Council and arrangements for assisting those in need to access benefits.</li> <li>• Provision of food banks expending through local welfare provision.</li> <li>• Corporate Policy on the top 11 deprived areas.</li> <li>• Additional HRA resources are being deployed to support Council tenants.</li> <li>• The significant risk is now associated with uncertainty over the introduction of Universal Credit by the Government. Implementation should have commenced in October, but there is still no date or any other details as the nationwide programme has slipped.</li> </ul>	<b>16</b>	All Priorities

No	Risk	Pre Controls 1- 25	Lead officer  Key Actions/Updates	Post Controls 1 - 25	Links to Corporate Priorities
0022	Unable to deliver effective Children's Services within budget	25	<u>Joyce Thacker</u> <ul style="list-style-type: none"> <li>• Continuous monitoring of budget and reporting to SLT / Cabinet</li> <li>• Work continues in relation to reviews of service provision and structures in line with more restrictive financial parameters.</li> <li>• On-going monitoring and reporting of budget position, with improvement expected in the budget outturn position.</li> <li>• Ofsted inspection profile maintained / improved.</li> </ul>	16	<b>Priority 2</b> - Providing quality education <b>Priority 3</b> - Care and protection for those people who need it most
0033	Funding of the Digital Region Project to provide comprehensive broadband facilities across South Yorkshire	20	<u>Martin Kimber</u> <ul style="list-style-type: none"> <li>• A decision has been taken by South Yorkshire Councils to close the network in an orderly and solvent manner, following BIS's decision (as the major shareholder) to withdraw future funding for the project.</li> <li>• Closure plan in place and progressing.</li> <li>• Funding for closure in place; at this stage funding is considered sufficient to meet expected liabilities.</li> </ul>	16	<b>Priority 1:</b> No community left behind
0040	Developing economic growth, increase business rates income and increase opportunities for residents	20	<u>Karl Battersby</u> <ul style="list-style-type: none"> <li>• Significant and previously successful inward investment activity</li> <li>• Detailed support programme for local businesses</li> <li>• High quality start up facilities</li> <li>• Maximising location and transport advantages.</li> </ul>	16	<b>All Priorities</b>

No	Risk	Pre Controls 1- 25	Lead officer <u>Key Actions/Updates</u>	Post Controls 1 - 25	Links to Corporate Priorities
0021	Failure to sustain improvement in Children's Services	<b>20</b>	<u>Joyce Thacker</u> <ul style="list-style-type: none"> <li>• Attainment at Key Stage 4 in the 5 + A* - C, including English and Maths, is 3.3% above national average. 5 + A* - C in all subjects is 2.1% above national average.</li> <li>• Key Stage 2 attainment in reading, writing and maths combined increased 1.6% to 71.6% against current national average of 76%. Gap reduced by 0.6% during 12/13 academic year.</li> <li>• Investigation by South Yorkshire Police continues into historical Child Sexual Exploitation cases. RMBC continues to offer full support to this process.</li> <li>• Ofsted profile of grades good or better across the Borough is currently 69.7% reflecting the new and much more challenging inspection framework.</li> <li>• OFSTED is now operating under a new inspection framework for Children's Services which is a much harder test and now encompasses the whole of Safeguarding Children and Families activities under a single framework. Preparation for inspection is underway and being monitored by the CYPS Improvement Panel.</li> </ul>	<b>12</b>	<b>Priority 2</b> - Providing quality education <b>Priority 3</b> - Care and protection for those people who need it most

No	Risk	Pre Controls 1- 25	Lead officer Key Actions/Updates	Post Controls 1 - 25	Links to Corporate Priorities
0041	Improving health and well-being	<b>20</b>	<u><b>Tom Cray</b></u> <ul style="list-style-type: none"> <li>• Health and Wellbeing strategy in place and being delivered through a set of six work stream action plans</li> <li>• Strong focus on prevention and independence</li> <li>• Good partnership working</li> <li>• Formal transfer of public health responsibilities from the NHS to RMBC took place in April 2013.</li> </ul>	<b>12</b>	<b>Priority 1:</b> No community left behind
0044	Family Poverty <ul style="list-style-type: none"> <li>• Tackling poverty is a key priority for the Health and Wellbeing Board and the 11 most deprived neighbourhoods agenda</li> </ul>	<b>20</b>	<u><b>Joyce Thacker</b></u> <ul style="list-style-type: none"> <li>• ‘Families for Change’ programme established - targeted support for Families around money management</li> <li>• Families for Change contract let</li> <li>• Early help family support programme in place</li> <li>• Ofsted evidence shows that schools are making effective use of the additional pupil premium funding designed to help disadvantaged families.</li> <li>• Level and eligibility for free school meals is increasing from 7,997 in 2012 to 8,098 in October 2013. Take up was 74.28% in 11/12. Current take up is 72.35%. There is a traditional seasonable increase in take up so this figure is expected to rise up to and after the Christmas period.</li> </ul>	<b>12</b>	



No	Risk	Pre Controls 1- 25	Lead officer  Key Actions/Updates	Post Controls 1 - 25	Links to Corporate Priorities
0031	Academies, Free Schools and other school settings - Potential impact on LA schools and the Council e.g. loss of revenue, falling pupil numbers, reduced attainment, breakdown in relationships etc	<b>16</b>	<u>Joyce Thacker</u> <ul style="list-style-type: none"> <li>• There are currently no free school applications active within the Borough.</li> <li>• Maximise potential for income generation with Academies through the provision of quality services via competitive SLA agreements.</li> <li>• Continue to enhance current strong working relationships with converted and proposed future Academy Trusts.</li> <li>• Continue to work with Academies to gain commitment to the Rotherham School Improvement Partnership. School Governing Bodies continue to meet in whole Learning Community meetings, exploring the implications of Academy conversion, collaborative / partnership working and other models</li> <li>• By April 2014 there will be 24 schools in the Borough converted to Academy status. Academy converts have reaffirmed their commitment to the Rotherham mission.</li> <li>• Academy sponsor for the new Central Primary School has been selected by a convened panel, approved by Cabinet and DfE notified.</li> </ul>	<b>12</b>	Priority 2 - Providing quality education

No	Risk	Pre Controls 1- 25	<u>Lead officer</u> Key Actions/Updates	Post Controls 1 - 25	Links to Corporate Priorities
0030	Schools Collaboration- impact of schools commissioning on LA services	<b>16</b>	<u>Joyce Thacker</u> <ul style="list-style-type: none"> <li>Monitoring of schools' appetite for change is on-going. Positive discussions continue between the Rotherham School Improvement Partnership and Teaching School Alliance</li> <li>Portfolio of services review completed. Schools and Academies continue to procure many RMBC services at present via Service Level Agreements</li> <li>Work continues in relation to the new schools funding arrangements effective from 2013 onwards.</li> </ul>	<b>12</b>	<b>Priority 2</b> - Providing quality education
0042	Maximising reputation opportunities; enhancing reputation as a leading authority, delivering services to others, attracting businesses, positive Public recognition.	<b>12</b>	<u>Martin Kimber</u> <ul style="list-style-type: none"> <li>Highlighting good performing service delivery</li> <li>Emphasizing major achievements including successful business development</li> <li>Successful delivery of services to others</li> <li>Regional and national awards</li> <li>Responding to Public consultation</li> <li>Strong communications.</li> </ul>	<b>9</b>	<b>All priorities</b>

No	Risk	Pre Controls 1- 25	<u>Lead officer</u>  Key Actions/Updates	Post Controls 1 - 25	Links to Corporate Priorities
0035	<p>Failure to minimise property ownership and maximise the use of retained properties.</p> <p>Failure to maximise savings and benefits from the roll out of WorkSmart arrangements to all relevant staff.</p>	<b>12</b>	<p><u>Karl Battersby</u></p> <ul style="list-style-type: none"> <li>• Asset management strategy being finalised</li> <li>• Proposals will be partly dependent upon 2014/15 budget decisions about future services</li> <li>• Future options are being considered for extending Worksmart to staff in non-central buildings, to facilitate further property rationalisation</li> </ul>	<b>6</b>	<p><b>Priority 5</b> Improving the Environment</p>
0039	<p>Municipal Mutual Insurance (MMI): Insurance Liabilities</p> <p>MMI has gone into administration following a landmark ruling by the Supreme Court ruling on Employer's Liability relating to asbestos claims.</p> <p>As a stakeholder, the Council will have to contribute to any company deficits resulting from the ruling.</p>	<b>9</b>	<p><u>Martin Kimber</u></p> <ul style="list-style-type: none"> <li>• Initial levy of up to £1.32m advised by the Administrators in early 2013.</li> <li>• A provision in the 2012/13 accounts has been created to meet this liability.</li> <li>• Potential requirement for a marginal increase in the current provision, when an update is provided by the administrators in January 2014.</li> </ul>	<b>6</b>	<p><b>All Priorities</b></p>

<b>ROTHERHAM METROPOLITAN BOROUGH COUNCIL</b>
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<b>1. Meeting:</b>	<b>Self Regulation Select Commission</b>
<b>2. Date:</b>	<b>19<sup>th</sup> December, 2013</b>
<b>3. Title:</b>	<b>Complaints – Annual Report (April 2012 – March 2013)</b>
<b>4. Directorate:</b>	<b>All</b>

**5. Summary**

This report presents information about complaints made between 1 April 2012 and 31 March 2013 under the Corporate Complaint's Procedure, the Adult Social Services and Children's Social Services complaint regulations

The figures in the report include details of the number of complaints, compliments and Councillor Surgery enquiries received by the Council and each Directorate area has provided information and a breakdown summary.

In total over the last 12 months the number of complaints received by the Council is **668** (**8%** decrease - **724** received 2011-12)

Overall **98%** of all complaints were responded to within the timescales promised, compared to **94%** (2011/12) and **76%** (2010/11).

**6. Recommendations**

That the Commission note the content of the report.

## 7. Proposals and Details

In 2012-13 the Council continued to provide excellent performance in terms of complaints dealt with in target time. The number of complaints received and the number of escalations through the complaint procedure reduced. There was a better focus on dealing with customer complaints at the earliest opportunity and making sure that issues leading to complaints were not repeated.

The improvement in performance continues the Council's progressive approach to performance management, leading to year on year improvement. All Directorate leads are targeted to achieve 100% performance.

### Headline Results April 2012 to March 2103

↓	Number of formal complaints (at all levels), <b>668</b> , decrease from 2011-12. ( <b>724</b> received 2011-12)
↓	Complaints for Neighbourhoods and Adult Services, <b>413</b> decrease from total in 2011-12. ( <b>478</b> received 2011-12)
↑	Complaints for Resources, <b>69</b> , increase from total in 2011-12.( <b>44</b> received 2011-12)
↓	Complaints for Children and Young Peoples services, <b>76</b> , decrease from total in 2011-12. ( <b>87</b> received 2011-12)
↓	Complaints for Environment and Development services, <b>110</b> , decrease from total in 2011-12. ( <b>115</b> received 2011-12)
↑	Number of Councillor Surgery's received was <b>572</b> , increase from 2011-12. ( <b>531</b> received in 2011-12)
↑	<b>98%</b> of complaints were responded to within timescales.
↓	The proportion of complaints (at all stages) upheld, <b>256, 38%</b> . ( <b>319, 43%</b> upheld 2011-12)
↓	The number of complaints escalating, <b>7%, 48</b> Stage 1 complaints escalated to Stage 2. ( <b>8%, 61</b> escalated in 2011-12)
↑	Complaints about quality of service, <b>291</b> , increase from total in 2011-12.( <b>195</b> received 2011-12)
↓	Complaints about actions of staff, <b>138</b> , decrease from total in 2011-12.( <b>176</b> received 2011-12)
↓	Ombudsman average response time was <b>13</b> days. <b>30</b> first enquiries were received. ( <b>25.1</b> from <b>14</b> first enquiries in 2011-12). There were no decisions of Maladmistration.
↑	Total compensation awards made, <b>£1433.40</b> , increase from total in 2011-12.( <b>£540</b> received 2011-12)
↑	External complaint investigation costs in CYPS, <b>£24,384</b> , increase from total in 2011-12. ( <b>£12,592</b> in 2011-12)
	Number of compliments recorded by the Complaint Team was <b>714</b> .
↓	Number of informal complaints* received, <b>1206</b> , decrease from 2011-12.( <b>1457</b> received 2011-12)

## **8. Risks and uncertainties**

Although positive management of complaints can be achieved, the number and type of complaints received is determined by circumstances beyond the control of the services. Regardless of any external factors the service is required to maintain a high level of performance and excellent customer care.

The current financial decisions the Authority is making is also affect the number of complaints received (see full report for details), changes to services drive the level of complaints received.

## **9. Policy and Performance Agenda Implications**

The complaints report reflects the policy and performance agenda requirements of both national government and the Council. These include;

- Local Authority Social Services and National Health Service Complaints (England) Regulations 2009 (Making Experiences Count).
- The Children Act 1989 Representations Procedure (England) Regulations 2006.
- Corporate Complaint procedure (Making Experiences Count)
- Rotherham's local plans including corporate and service plans.

## **10. Background Papers and Consultation**

- Appendix 1 Complaints Annual Report (April 2012 – March 2013)

### **Contact Names:**

Stuart Purcell, Performance and Improvement Officer, ext 22661  
Dave Roddis, Performance and Quality Manager, ext 23781

# Annual Report

April 2012 to March 2013

## Complaints

Rotherham  
Metropolitan  
Borough Council   
Where Everyone Matters

## Executive Summary

This report provides information about complaints made between **1 April 2012 and 31 March 2013** to the Local Authority, under the Corporate Complaint's Procedure, the Adult Social Services and Childrens Social Services complaint regulations

The figures in the report include details of the number of customers and the number of complaints they have made, each Directorate area has provided information and a breakdown summary.

**In total over the last 12 months the number of complaints received by the Council is 668 (8% decrease - 724 received 2011-12)**

This reduction is due to continued improvements in the management of complaints led by the improvements brought about by the creation of a centralised complaint function in 2012. There is an embedded one Council approach to complaint handling, best practice was brought together and shared and continuous improvement maintained throughout the year. There is better focus on the first response to the complaint, complaints are quality assured before they are sent and review for any learning and service development issues to prevent complaints being repeated.

Overall **98%** of all complaints were responded to within the timescales promised, compared to **94%** (2011/12) and **76%** (2010/11). This continues the Council's progressive approach to performance management, leading to year on year improvement. All Directorate leads are targeted to achieve 100% performance.

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	Number of compliments recorded by the Complaint Team was <b>714</b> .
↓	Number of informal complaints* received, <b>1206</b> , decrease from 2011-12.( <b>1457</b> received 2011-12)

*\* Please note, informal complaints are defined as contacts by customers who are expressing dissatisfaction but the Council has been previously unaware of the concern and has not had an opportunity to put things right. These complaints have been dealt with and resolved to the customer's satisfaction at this first point of contact and as a result the customer has not wanted to enter formal complaint proceedings. This is done with the agreement of the customer and it means that a large number of enquiries are dealt with much quicker and at less cost to the Council.*

The Directorate complaints team has continued to maintain recent significant improvements in the following areas:

- Learning from all Complaints to identify service improvements
- Improved performance on enquiries responded to in time
- Reduced the number of complaints received
- Reduced the number of informal complaints received
- Reduced number of complaints escalating through the complaint procedure
- Less complaints upheld
- Reduced the time taken to respond to Ombudsman enquiries.
- Improving the quality of responses
- Has assisted with more Councillor Surgery enquiries

### Complaint Trends

The number of complaints received has continued to reduce but the reduction is not as extensive as last year. The improvements in complaint handling introduced in year 2011-12 have been continued this year and is responsible for the continuation of the downward trend in formal complaints and complaints escalating through the complaint procedure. All complaint responses are quality assured before being sent to the customer and all possible remedies are considered to ensure the best response to the complaint.

The Council's budget reductions this year are not really apparent in the formal complaint figures, the majority of the formal complaints received are individual in nature. Some low level quick response complaints were received relating to grass cutting and the changes in housing benefit, but these did not lead to escalating through the formal complaint procedure.

However, it is expected to see this as a more prominent trend this year as more customers are directly affected.

Improved reporting and improved ownership of complaints by individual services can explain the increase in the amount of compensation paid. Typically these small payments are for low level quantifiable costs identified by customers. In some cases we have also awarded for non quantifiable loss such as inconvenience caused.

Complaint investigation costs in Children's Social Services have also increased, although only one more Stage 2 complaint was received compared the last year (6 in 2012-13 and 5 in 2011-12), the complexity and time taken to complete the investigations increased. Also some investigations for the previous year were invoiced and paid for in 2012-13.

Directorate complaint teams have reported complaint trends in the following areas;

### **Neighbourhoods and Adult Services**

In Adult Social Services, **88** complaints received, the headline complaint trend was again around changes to care packages and the quality of assessments. Customer's also raised concerns over perceived delays in assessments and the outcome they were seeking, i.e. the level of care offered was not felt sufficient to meet their needs. Other complaints received were regarding Direct Payments (DP's), from customers requesting DP's paid to family members, and as a result of the day services review, customers were very concerned regarding how the review could impact on their care.

In Housing and Neighbourhoods Services, **325** complaints were received, nearly half of all complaints in the period (**156, 48%**) involved the council housing repair service delivered by Contract and Service Development Services and the Repairs Contractors. The most common complaints being about damp, gas boiler/heating issues, delay in repairs and action/attitude of contractors employees. Trends arising from the upheld and partially upheld repairs complaints include issues relating to rainwater goods, roof leaks and damp (Contract and Service Development Team) and missed appointments/Boiler issues (Willmott Dixon Partnership). The next highest volume of complaints (**91, 28%**) were made about services provided by the Housing and Communities Team. The largest number of the complaints being about the actions or attitude of staff, primarily complaints about enforcement actions taken by Housing Champions in relation to anti-social behaviour with almost a quarter being partially or fully upheld. Analysis indicates further guidance on communication skills may help reduce the number of this type of complaint. The Customer Contact Centre was also the subject of a significant number of complaints mainly relating to delays on the phone, with almost all being upheld.

### **Children and Young Peoples Services**

In total **76** formal complaints were received. Complaints were received in relation to communication and customer care issues relating to Children's Safeguarding. Complaints were also raised regarding lack of information about any action taken or delays occurring in information being provided. The number and type of complaints are consistent with those received in previous 6 months.

Another consistent trend is the number of comments received relating to schools. Although subject to direct referral to the school in question, these require appropriate signposting and some advocacy work by the Complaints Team. Again numbers remain constant; however

there are always parents who require re-assurance their concerns will be dealt with properly by the school in question. The team also provided support and guidance to staff in schools in relation to the complaints process.

### Environment and Development Services

In total **110** complaints were received. The highest number of complaints received related to Streetpride Services and were specifically around services delivered by Network Management where customer's complained about the content of standard letters, lack of maintenance of road surfaces and number of pot holes evident across the borough along with lack of feedback received from Streetpride Connect contacts. Complaints were also received relating to Waste Management and problems being experienced with Waste Collections crew re-siting bins in the wrong location and assisted collections being missed.

### Resources

In total **69** complaints were received. The Revenues and Benefits Service and Local Taxation received the highest number of complaints. These were mainly regarding advice and information provided by staff.

## Directorate Performance in 2012/13

### Neighbourhood and Adult Services

Neighbourhood and Adult Services Directorate complaints are split into statutory (Adult Services) and non statutory complaints (Housing and Neighbourhood Services). They are usually recorded and reported separately.

However, combined results for the whole Directorate are as follows;

**The total number of complaints received for Neighbourhood and Adult Services was 413 (Total received in 2011/12 – 478)**

**Overall 100% of all complaints were responded to within the timescales, compared to 91% in 2011/12.**

↓	Total number of complaints upheld was <b>177</b> . ( <b>233</b> in 2011/12)
↓	Number of complaints escalating :- <b>25</b> Stage 1 complaints escalated to Stage 2. ( <b>44</b> in 2011/12)
↑	<b>£1240</b> compensation payments. ( <b>£440</b> in 2011/12 )
	Number of Councillor Surgery's received was <b>261</b> .
	Number of Compliments received was <b>450</b> .
↓	Number of informal complaints <b>377</b> . ( <b>774</b> in 2011/12)

### Adult Services

Adult Services Complaints are dealt with under a separate complaint procedure, the complaints and representations procedures established through the Local Authority Social Services and National Health Service Complaints (England) Regulations 2009 (Making Experiences Count).

**Over the last 12 months the total number of complaints received for Adult Social Services was 88 (Total received in 2011-12 - 108)**

**Overall 100% of all complaints were responded to within the statutory timescales.** This performance again benchmarks the best against the regional Yorkshire and Humberside Local Authority complaints group based on numbers received (15 Local Authority areas).

### Headline Results 2012/13

↓	Number of complaints, <b>88</b> , decrease from <b>108</b> received 2011-12.
↓	The proportion of complaints (at all stages) upheld, <b>16</b> , decrease from <b>43</b> upheld in 2011-12.
↓	The number of complaints escalating, <b>12%</b> , <b>9</b> Stage 1 complaints escalating to Stage 2, from <b>75</b> Stage 1 complaints. Decrease from <b>15%</b> in 2011/12. ( <b>14</b> Stage 2 complaints and <b>90</b> Stage 1 complaints)
↑	Complaints about quality of service, <b>52</b> , increase from <b>28</b> received in 2011/12.
↔	Complaints about actions of staff <b>23</b> , remains the same as <b>23</b> in 2011/12.
↑	Ombudsman average response time was <b>20</b> days from <b>3</b> first enquiries
↔	Total compensation awards made, <b>£0</b>
↑	External complaint investigation costs, <b>£2,345.01</b>
↑	Number of Councillor Surgery's received was <b>15</b>
↑	Number of Compliments received was <b>147</b>
↓	Number of informal complaints received, <b>40</b> , decrease from <b>100</b> received in 2011-12.

The Adult Social Services complaints team has maintained the recent significant improvements in the following areas:

- Reduced the number of complaints received
- Reduced the number of complaints escalating through the complaint procedure
- Maintained performance at 100%
- Maintained high levels of satisfaction with the complaint process
- Promoting and increasing accessibility of the complaints procedure through the development of the internet, SMS, information packs and campaigns in our reception areas.
- Learning from complaints – all complaints interrogated for learning.
- No compensation paid.

## **Top complaint issues**

### **Assessment and Care management**

The highest number of complaints received was regarding assessment outcomes. Customer's complained if they felt that the level of care was not adequate to meet their needs or the needs of a family member. The response to these complaints was to review the assessment provided and to provide assurances about the care provided. Complaints were received relating to both community and residential care provision.

Some complaints were regarding delays in assessment and about information and advice provided. Although these complaints were low in number and based on individual circumstances, services still considered the issues raised for learning and service improvement. Issues were raised with staff at team meetings and documentation was changed and improved.

### **Direct payments**

The trend from 2011/12 continued into 2012/13 with more complaints relating to the request and provision of direct payments. In general this reflects the increase number of customers in receipt of direct payment and an increase in demand. Learning in this area was centred around making information and advice as clear as possible to customers and making sure that Council procedures regarding eligibility were streamlined and that all key staff are fully aware.

### **Financial Assessment**

Complaints around the financial assessment procedure also maintained at a relatively high level. These were regarding information and advice provided. Some customers complained about a lack of information about care charges, that they were not made aware of the potential cost of care at assessment. Learning from this we have continued to strengthen the provision of information about the financial assessment process at assessment.

### **Councillor Surgeries 2012/3**

Only **15** Councillor Surgery's enquiries were received regarding Adult Social Care services. The majority were requests for Occupational Therapy assessments or chasing up equipment following assessment. Other requests were received asking for Social care assessments to be completed. These were all directed to appropriate channels and the request completed.

### **Compliments 2012/13**

**147** compliments were received regarding Adult Social Care services, some examples are as follows;

Compliment for **Enabling Service** "I would like to say that during the recent bad weather the staff were brilliant in getting to me. Thank you very much"

Compliment for **Ms D Peters, Community Occupational Therapy Service** "she was excellent in giving me all the information and equipment which is very helpful for my condition".

Compliment for **Adult Care Management, Antonia Lees** “she is a true professional, very caring and explained matter at great length”

Compliment for **Helen Sanders, Social Services Officer, Assessment Team** “Care package Helen organised has been brilliant”

### *Housing and Neighbourhood Services*

Housing and Neighbourhood Services’ complaints are dealt with under the Council’s Corporate Complaint’s Procedure, Tell Us Your Views.

There was a **12%** reduction in the number of complaints in the period. The decline in complaints suggests the service is putting right what has gone wrong and learning from the customer experience to improve services. At the same time there has been a **47%** reduction of complaints progressing to stage two, this appears to reflect improved investigation of complaints and communication skills.

**100%** of complaints were responded to within the target timescales compared to **89%** in 2011/12.

### Headline Results 2012/13

↓	Number of complaints (at all levels) was <b>325</b> , <b>12%</b> reduction on the <b>370</b> received in 2011/12.
↓	<b>305</b> New (stage 1) complaints were received, <b>9%</b> reduction on the <b>336</b> received in 2011/12.
↓	The total number of complaints fully upheld was <b>161</b> , <b>15%</b> reduction on the 190 received in 2011/2
↓	<b>16</b> complaints escalated from stage 1 to stage 2 or equivalent to a <b>47%</b> reduction on the <b>30</b> received in 2011/12
↓	Complaints about lack of service decreased from <b>110</b> in of 2011/12 to <b>85</b> a 23 % reduction
↓	Complaints about delays in service decreased from <b>93</b> in 2011/12 to <b>48</b> a 48% reduction
↑	Complaints about actions of staff increased by one from <b>71</b> in the in 2011/12 to <b>72</b> in 2012/13
↑	There were <b>92</b> new complaints about the quality of service, <b>45 %</b> increase on the 51 received in 2011/12.
↑	There were <b>6</b> complaints about the lack of information compared to <b>3</b> in 2011/12
↑	There were <b>2</b> complaints about the cost of the service compared to <b>1</b> in 2011/12.
↑	<b>£1,240</b> compensation awards made.
↓	<b>No</b> Ombudsman investigations were received
	Number of Service Requests received was <b>300</b>
	Number of Councillor Surgery’s received was <b>246</b>
	Number of Compliments received was <b>303</b>
↓	<b>337</b> informal complaints were received in the period, representing a significant reduction on the <b>674</b> received in 2011/12

## **Top complaint issues**

### **First Contact Team Complaints**

It is critical that the service's access channels provide excellent customer service if the Council is to achieve its aim of becoming the best housing provider in the country. The First Contact Team experienced an unacceptable rate of abandoned calls in the period causing distress and inconvenience to customers. In response to this problem Housing and Neighbourhood Services took the following steps;

- Housing Champion's were introduced into the team on a temporary basis to ensure sufficient resources to meet demand. The move has also support the team by providing a greater depth of knowledge allowing enquiries to be answered first time.
- Neighbourhood and Housing Services conducted a Housing Access Review in the period. In October Cabinet agreed to implement the reviews findings to create an integrated call centre merging the First Contact Team, Corporate Call Centre and Rothercare, creating a 24 hour telephone access channel via a single number. Implementation of the review commenced for the start of 2013/4. Implementation of the Housing Access Review will improve customer choice and improve efficiency as web based self help routes are implemented.

The wider impact of the Housing Access Review will not be fully met until 2013/14 and the implementation of CIVICA but complaints of telephone delays had dramatically reduced by the end of the year.

### **Roofing/Rainwater Goods**

The period has seen a trend of complaints about leaking roofs and rainwater goods, this appears to reflect past investment decisions about external enveloping of Council dwellings. A particular issue has been the number of complaints involving delays caused by the need to erect scaffolding. The need for scaffolding has also had a significant impact on the HRA because it has resulted in considerable variation costs. This is particularly an issue when scaffolding is required to deal with problems associated with three storey flats.

The service recognises the need for a clear capital strategy to address external envelope works. Capital and revenue programmes are being developed for the coming years although there is no short term solution because a 5-10 year programme may be required. High costs and repair histories are targeting and driving the programmes resources, this means in the last quarter of 2012/3 over two thirds of the flats in the Rockingham area will be reroofed, with the remainder due to be completed in 2013/4.

The wider impact of the strategy will take some time before it is completed but the targeted approach based on repair history will begin to have a positive affect on complaints in 2013/4 onwards.

### **Appointments**

The number of complaints about the Willmott Dixon Partnership (WDP) significantly reduced in the period. However, there were a number of upheld complaints relating to missed appointments mostly caused by operatives running over time on the previous job. This appears to be linked to the Contractors use of Opti-time automated work allocation system rather than the use of work planners as used by Morrison Facility Services. One benefit of

using planners to allocate work to operatives is that it appears more customer friendly and the planner can intervene and phone the customer where the operative is running late.

The Contract and Service Development Team have been working closely with WDP to minimise the problem and during quarter one of 2013/4 its is planned for commence a three month pilot with the WDP to stop using the work allocation system for gas, 4 hour and 24 hour repairs and thereafter stop using it for all responsive repairs. An alternative work planning system will be used.

The Council and WDP have also introduced resources between 5.00PM and 8.00PM to contact customers and confirm and arrange appointments to minimise the number of aborted visits. It is envisaged the course of action taken will minimise avoidable abortive calls and contribute to a reduction of the total number of complaints.

### Councillor Surgeries 2012/3

Service Area	Number of Surgeries
Contract & Service Development	87
Housing & Communities	77
Housing Options	59
Safer Neighbourhoods	17
Strategic Housing Services	5
Business regulation	1
Total	246

**246** Councillor enquiries were received in the year, the vast majority being related to services received by existing or perspective council tenants. Repair issues (**87**) were the subject of the largest number of enquiries with damp (**8**), leaks (**7**), gutters (**7**) and footpaths (**6**) being the most common issues raised. Second in order of number of enquiries received were those made to the Housing and Communities service area (**77**) the dominant issues being raised were ASB/nuisance (**17**) and grounds maintenance related (**17**). A further **9** enquiries about ASB/Nuisance related issues were also referred to the Safer Neighbourhoods service area.

The Housing Options service received the next highest number of enquires with almost all relating to customers request for re-housing.

### Compliments 2012/13

**303** compliments were received regarding Housing and Neighbourhood services, some examples are as follows;

Compliment for **Community Protection** "Thanks so much for your support and for your colleagues' involvement in leafleting and engagement which is still going on."

Compliment for **Catherine Palmowski, Housing and Communities** "Wanting to thank Catherine for all the work she has put in to remedy the tree problem that has been ongoing over the last 2 years"

Compliment for **Terry Quinn, Housing and communities**" Terry Quinn and others were great with dealing with our problems"



Compliment for **Barry Senior, Ian Smith Key Choices Property Shop, empty homes**” A thank you for your kindness, advice consideration, sympathy, made are difficult situation easier“

## Learning from complaints case studies

### Housing and Neighbourhood Services

1. A customer registering an application for a garage and complained he had not received any notification whether he was registered on the garage waiting list.

In response to their concerns we have;

- Improved our reporting system which means when an applicant is registered on the garage waiting list it automatically generates an application number and acknowledgement letter confirming registration number along with the customer's areas of choice.

2. A new tenant complained about an asbestos garage, the garage should have been removed prior to letting. The complaint raised the issue of new lettings and the notification of asbestos.

In response to this problem;

- A report was designed to extract information from APEX and put it into a standard easy to read letter for new tenants identifying the type and location and level of risk of asbestos in each room.
- An easy to read advice leaflet was designed to reassure customers.
- The allocation process was amended and training given to allocation officers to advise prospective tenants of the presence of asbestos.

3. A resident complained about the impact of an overgrown regeneration site on their home. The complaint revealed the Strategic Housing Investment Team had no budget for the maintenance of such sites.

In response we have;

- Created a budget of £10,000 to maintain sites awaiting development.

4. A customer complained about a delay in resolving a problem with communal lighting in flats. The problem was in part caused by an issue with accessing keys. Similar issues have been experience by cleaners when cupboards have been broken into and locks changed.

In response to their concerns we are;

- Replacing all communal facility cupboards with key pads to avoid future delays.

5. Customer was concerned that the Assessment Direct hold message was difficult to hear and this could be a problem for other customers who were hard of hearing.

In response we have;

Reviewed the message and slowed it down making it easier to hear.

6. It was felt that there was a lack of clear advice provided to customers in respect of eligibility for Direct Payments

In response to their concerns we have;

- A clear Direct Payment policy is being written down and circulated to all relevant staff. In order to improve the information and advice provided to customers.

### **New Developments during 2012/3**

- There is a continued commitment to putting things right and that enquiries and concerns are dealt with at the earliest opportunity. This has again seen a reduction in the number of complaints received.
- Improvement in learning from complaints; all complaints are reviewed by the complaint team and opportunity for learning and improvement is discussed with the investigating manager. All learning outcomes are reported to Directorate management team.
- The Key Choices website has been reviewed and redesigned to improve the accessibility of the service. Issues with the site were forcing customers to log simple service requests via the Councils Complaints web page rather than direct to the Key Choices Team. This change resulted in a more immediate service for the customer and improved the efficiency of the service.
- Weekly feedback sessions to the Director Of Housing and Neighbourhood Services has improved accountability, reduced risk and ensured timely service improvements.
- In June staff learning from complaints workshops was held engaging front line staff in the service improvement process.

### **2013/14 Improvement Actions**

- Continue to work with managers and staff around learning and improvement, roll out staff workshops and training. To learn from complaints and improve customer satisfaction with how we respond to complaints.
- Information and advice relating to Adult Services complaints will be reviewed and refreshed. This will include all potential access channels, both online and through assessment channels.
- Maintain improvements in the complaint handling; continue to reduce the numbers of complaints received and to reduce the number of complaints escalating through the complaint procedure.
- Analysis of complaints by service and type will continue to inform service improvements and the corporate complaints teams focus. The Service will monitor the implementation of improvement plans generated by individual complaints.
- Training will be provided in complaint handling to all investigation managers on an ongoing basis. This will include supporting the Housing Access Review by providing complaints handling training to officers in the integrated call handling centre.
- Focus on improving the quality of Stage 1 complaint investigation and responses to drive service improvements and customer satisfaction.
- The Performance and Quality Unit will work closely with the CIVICA implementation manager to ensure the complaints investigation maximises the opportunities offered by the implementation of CIVICA.
- Changes to Housing (tenancy management and repair) complaints introduced under the Localism Act 2011. From April 2013 complaints are investigated by the Housing Ombudsman and not the Local Government Ombudsman. The outcome from the changes is that we will have a new two stage complaint procedure for housing complaints that accommodates the new right of the tenant to refer the complaint to their local MP, Councillor or tenant complaint panel.

<b>Children and Young People Services</b>
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Children and Young People's Services complaints are responded to in accordance to The Children Act 1989 Representations Procedure (England) Regulations 2006.

The Service records customers and complaint points as is required under their regulations.

**The number of complaints was 76, (87 in 2011/12)**

**Overall 84% of all complaints were responded to within the statutory timescales, compared to 91% (2011/12).**

### Headline Results 2012-13

↓	Number of school complaint enquiries, <b>82</b> . Decreased from <b>161</b> in 2011-12
↑	Number of enquiries from MPs, <b>23</b> . Increased from <b>13</b> in 2011-12.
↑	Number of enquiries from Local Government Ombudsman, <b>14</b> . Increased from <b>7</b> in 2011-12. Average response time was 14 days.
↓	Number of complaints at all levels, <b>76</b> . Decreased from <b>87</b> in 2011-12
↓	Number of Stage 1 complaints, <b>68</b> . Decreased from <b>82</b> in 2011-12.
↑	Number of Stage 2 complaints, <b>6</b> . Increased from <b>5</b> in 2011-12.
↑	Number of Stage 3 complaints, <b>2</b> . Increased from <b>0</b> in 2011-12.
↑	Number of complaints escalating from Stage 1 to Stage 2, <b>6, 9%</b> . Increased from <b>5, 6%</b> in 2011-12.
↑	Number of complaints upheld at all levels, <b>17, 38%</b> . Increased from <b>16%</b> in 2011/12.
↓	Percentage of complaints at all levels responded to in timescales, <b>83%</b> . Decreased from <b>91%</b> in 2011-12
↑	External complaint investigation costs, <b>£22,039</b> . Increased from <b>£12,592</b> in 2011-12.
↔	Number of Councillor Surgery enquiries <b>2</b>
↓	Number of compliments received about services, <b>31</b> . Decreased from <b>43</b> in 2011-12.
↓	Number of informal complaints received, <b>119</b> . Decreased from <b>241</b> in 2011-12.

### Learning from complaints case studies - Children and Young People services

1. Customer complained to the Local Government Ombudsman that the School Admissions Appeals process had not been conducted effectively and this had led to their appeal regarding their child's school place being not upheld.

The Local Government Ombudsman concluded that there was an administrative fault in the way that the Appeal Panel carried out the Appeal and the way in which the Council applied the School Admissions Appeal Code and this had resulted in an injustice for the customer.

A new Appeal Panel was offered which remedied the injustice.

In response to their concerns we have;

- Made changes to the wording of the Appeal Panel's Decision Letter to clarify the reasons for the Panel's decision.
- The Local Authority also amended its statements supplied on behalf of the Admissions Authority to include further information.
- As a result we have addressed the administrative fault and demonstrated the School Admissions Appeal Code being correctly applied; which has led to no further findings of fault.

2. Customer complained about the way in which their personal information had been shared with a third party without their consent.

Although this complaint was not upheld, concerns were raised by the Team Manager over the guidance available to staff regarding procedures for sharing of information.

In response to their concerns we have;

- Revisited our Safeguarding Procedures to ensure that relevant guidance is provided.
- We have held workshops with staff across all social care team to provide advice and guidance to social workers about data protection and sharing of information.

### Top complaint issues

#### Content and timeliness of assessments and reports

The most common types of assessments and reports which form the subject of complaints are Initial and Core Assessments, case conference reports; and Section 7 Welfare Reports.

- Customers unhappy with what is written about them in reports and assessments
- Customers are entitled and encouraged to share their views with the relevant social worker as part of the assessment and child in need or child protection process.
- Customers' views can be recorded in the appropriate section of the assessment.

Complaints about Section 7 Welfare Reports typically result in customer complaints as the reports are usually completed as part of contested private court proceedings between parents in divorce/separation. Customers typically complain as they feel that reports favour one party and are inaccurate or omit facts about the other party in the case.

## **Communication and Customer Service**

Complaints about phone calls not being returned or customers being unable to contact members of staff account for a significant proportion of all complaints received, particularly in relation to Children's Social care. These types of complaints rarely form the basis of a complaint. Tend to be raised supplementary to the customer's main issues which they have complained about.

Cancellation of appointments or visits at short notice. Acknowledged that this issue arises from the significant demands on social workers time and often the immediate need to respond to emergency matters that may arise.

Application of criteria for accessing services. Particularly in relation to Children's Disability Service and Child in Need Assessment.

## **Actions, Conduct and Professionalism of Staff**

Complaints are usually made supplementary to the main issues which the customer has complained about.

Particularly refer to verbal informal complaints or conduct by social workers while undertaking their duties and it is acknowledged that in most cases there is little evidence to support or disprove the complaint being made.

## **School Admissions**

A formal appeals process exists for school admissions. Where parents are unhappy with outcome of a School Admission Appeal then they may approach the Local Government Ombudsman if they feel that the appeal was not conducted properly.

There has been an increase in the number of parents complaining to the Local Government Ombudsman about School Admission Appeals in 2012-13. This should be considered in the context of a **65%** increase (**448** to **688**) in the number of school admission appeal panels taking place in 2012-13.

## **School Complaints**

School complaints cover a diverse range of issues which include:

- Bullying by pupils
- Actions, conduct and professionalism of the head teacher and other school staff
- Complaints from parents of pupils who have been excluded from school
- Pupil attendance issues
- School uniform issues
- Examination issues

### **Councillor Surgeries 2012/3**

Only 2 Councillor Surgeries enquiries were received regarding Children's Social Care services. They were both relating to concerns raised by parents about their child's school. One was referred directly to the school to respond to (regarding the alleged victimisation of the child by the school) and one was dealt with by the Council's Learning support service in conjunction with the school. (Regarding mixed age group classes)

### **Compliments 2012/13**

31 compliments were received regarding Children's Social Care services, some examples are as follows;

'I am much happier where I am living now' – Compliment from **child recently placed in foster family**.

'Very impressed by the staff at Silverwood who cannot do enough for them. They are professional in the way they work and will go the extra mile and always give them time even when busy' They said that on occasions they have rung and could hear that things were happening in the background and even if they said we will ring you back the staff declined this and gave them time to discuss things with them' – compliment from **foster carers about staff at Children's Home**.

'You are brilliant, superb with J - you talk naturally to him and he is so comfortable with you that he is able to talk easily to you'. 'You have established a great relationship with him and that you are always totally honest with him.' – Compliment from **foster carers about social worker**.

Rotherham area were super for fostering and if she had any problems there was always somebody there to help her. State she was very pleased with the service provided as the others in the Fostering Dept. Said she had been fostering for eleven years and it was a brilliant service. Wanted to give credit where it was due. – Compliment from **foster carer about the Fostering Service**.

### **New Developments 2012/13**

- Introduction of a new reporting framework including monthly reporting to Safeguarding Children and Families Management Team and quarterly reporting to the Performance and Quality Sub-Group of the Rotherham Local Safeguarding Children Board.
- Development of budget monitoring process to ensure that all expenditure on Stage 2 and Stage 3 complaints is regularly validated and reported.
- Business Process Review undertaken in relation to Stage 2 Complaint processes.
- Started work with disabled children to improve access to the complaints procedure by producing complaints information in accessible formats.
- Improvement in the published information about school complaints and introduction of email referral process for all school complaints so that complaints are quickly redirected to schools.

## 2012/13 Improvement Actions

- Re-focus on performance management of complaints at all stages.
- Review the process for dealing with enquiries from local MPs to ensure that recording is consistent and not duplicated.
- Continue to reduce the number of complaints dealt with through the formal complaints process by working with teams to take immediate actions to put things right at the earliest opportunity and achieving resolution for our customers.
- Work with managers through consultation and provide training to all managers in complaints investigation, response and resolution at Stage 1; to improve the quality and effectiveness of Stage 1 complaints process.
- Focus on improving the quality of complaints responses through the introduction of quality checks on response letters.
- Address the outcomes of the business process review of the Stage 2 Complaints process to improve the timeliness and quality of Stage 2 Complaint response.
- Learn from customers by ensuring that learning issues and actions are identified for all complaints where appropriate; and improve the recording and reporting of informal complaints so that learning issues are identified and implemented.
- Re-introduce processes to capture the satisfaction of customers with the complaints handling process.
- Improve access to the complaints procedure for children in care and children with disabilities by improving information provided to them and opportunities to tell us their views.

### Environment and Development Services

Environment and Development Services' complaints are dealt with under the Council's Corporate Complaint's Procedure, Tell Us Your Views.

**Over the last 12 months the total number of complaints received for Environment and Development Services was 110.** This represents a slight decrease over the last year from **115** to **110**. However **578** informal complaints have also been received.

**Overall 100% of all complaints were responded to within the statutory timescales.**

### Headline Results 2012/13

↓	Number of complaints (at all levels) <b>reduced</b> from <b>115</b> in 2011/2012 to <b>110</b> .
↑	Complaints regarding Streetpride <b>64, 58%</b> (2011/2012, <b>66, 57%</b> )
↑	Complaints regarding Planning, Regeneration & Cultural Services <b>46, 42%</b> (2011/2012, <b>47, 41%</b> )
↓	Total number of complaints upheld was <b>42, 38%</b> (2011/2012, <b>39, 45%</b> )
↑	A slight increase in the number of complaints escalating has been seen:- From <b>12</b> in 2011/12 to <b>14</b> for Stage 1 complaints escalating to Stage 2 in 2012/13.
↑	Complaints about quality of service increased to <b>67, 61%</b> (2011/2012, <b>48, 42%</b> )
↓	Complaints about actions of staff reduced to <b>14, 13%</b> (2011/2012, <b>32, 28%</b> )
	Three compensation awards were made, in total <b>£93.40</b>



	Ombudsman average response time was <b>10</b> days from <b>12</b> first enquiries
	Number of Councillor Surgery's received was <b>303</b> .
	Number of Compliments received was <b>224</b> . The majority of compliments received related to the high level of winter maintenance offered.
↓	Number of informal complaints <b>decreased</b> to <b>578</b>

Environment and Development Services has maintained the recent significant improvements in the following areas:

- Improving the timeliness of responses to customers
- Improving the quality of responses to customers
- Improving satisfaction of the complaint management process
- Learning from all Complaints to identify service improvements

### Learning from complaints case studies - Environment and Development Services

1. A customer complained that a lack of direct consultation regarding the receipt of a planning application had meant that he had not had an opportunity to object to the application.

In response to their concerns we have;

- Apologised to the customer for not contacting his property directly and identified that additional public notices should have been erected on both sides of the road to allow greater consultation. However, it was considered that the objections put forward by the customer would not have changed the decision on the application when determined.

2. A customer complained that a visit to Thrybergh Country Park was unsatisfactory due to the toilet/shower facilities being out of order for the duration of the stay and the disabled toilet facility also being out of use

In response to their concerns we have;

- Apologised to the customer and offered a payment as a goodwill gesture.

## Top complaint issues

### Streetpride

The highest number of complaints received related to Streetpride Services and were specifically around services delivered by Network Management e.g. perceived lack of road maintenance.

Waste Management received complaints specifically around re-siting of bins once collected and pre-authorised visits to Household Waste Recycling Centres not being honoured.

Complaints were also received for the Home to School Transport Service concerning a users entitlement to transport provision being questioned when specific issues of where consideration to removal of facility were not evident within the Post 16 Transport Policy.



### Planning, Regeneration and Cultural Services

Complaints were received around the consultation process undertaken and the suggestion that informal complaints supplied by a Parish Council should have been treated as a formal objection.

Complaints were also received relating to advice offered by Customer Service Advisers in a number of Customer Service Centres along with delays experienced by customers waiting to see a Customer Service Adviser.

### Councillor Surgeries 2012/3

**303** enquiries were received

Service Area	Number of Surgeries
Network Management	<b>113</b>
Leisure & Community Delivery	<b>132</b>
Waste Management	<b>16</b>
Highways Design and Transportation	<b>29</b>
Regeneration	<b>1</b>
Customer & Cultural Services	<b>1</b>
Planning	<b>1</b>
<b>Total</b>	<b>303</b>

**303** Councillor enquiries were received in the year, the vast majority being related to services delivered by Network Management and Leisure and Community Services. Issues relating to Litter, Bins, Fly Tipping (**132**) were the subject of the largest number of enquiries. Second in order of number of enquiries received were those made to the Network Management service area (**113**) the dominant issues being raised were around potholes, street furniture and street lighting. Highways Design and Transportation received enquiries (**29**) relating to road design, speeding vehicles and parking enforcement whilst Waste Management received (**16**) enquiries relating to cardboard collection and waste collection in general.

### Compliments 2012/13

**224** compliments were received regarding EDS, some examples are as follows;

Compliment received for Drainage Team, Network Management, Streetpride relating to the efficient service received when requesting septic tank emptying

Compliment received relating to contact with members of staff in Streetpride particularly Jane Donaldson, Ian Hall and Peter Moorehouse.

Compliment for Network Management relating to the speedy clearing of a bridleway and service received from Alex Cousins and Richard Pett.

Compliment received quality of service received for work on a footpath connecting Anston Village and Greenlands School.

### New Developments 2012/13

- EDS Directorate Management Team receives monthly exception reports which identify all new customer complaints received along with service improvement opportunities to reduce the likelihood of similar complaints being received in the future.

### 2012/13 Improvement Actions

- Environment and Development Services will continue to assist the service to make service improvements based on the outcomes of the complaints received, and on what our customers have told us are their main concerns.
- The Directorate lead will work with management and staff to improve customer care around; information and advice, seek to continue to reduce complaints regarding actions of staff and lack of service. The team will continue to highlight the need for improvements where customers express a concern regarding quality of service.
- Training will be provided in complaint handling to all managers and senior staff in EDS on an ongoing basis.

### Resources

Resources complaints are dealt with under the Council's Corporate Complaint's Procedure, Tell Us Your Views.

**Over the last 12 months the total number of complaints received for Resources was 69.** This represents an increase over the last year from **44** to **69**. However **142** customer informal complaints have also been received.

The Revenues and Benefits Service and Local Taxation received the highest number of complaints. These were mainly regarding advice and information provided by staff. **61%** of complaints received were around the quality of service received.

**Overall 93% of all complaints were responded to within the statutory timescales.**

### Headline Results 2012/13

↑	Number of complaints (at all levels) was <b>69</b> , increase from 12 month total in 2011-12 – <b>44, 64%</b> .
↑	Total number of complaints upheld was <b>20, 29%</b> compared to <b>17, 38%</b> (12 month total) in 2011/12.
↑	Increase in the number of complaints escalating:- From <b>0</b> in 2011/12 to <b>3</b> for Stage 1 complaints escalating to Stage 2 in 2012/13.
↑	Complaints about quality of service was <b>42, 61%</b> (2011/2012, <b>16, 23%</b> )
↑	Complaints about actions of staff was <b>8, 11%</b> (2011/2012, <b>19, 27%</b> )
↑	<b>1</b> compensation award made of <b>£100</b> , (2011/2102 <b>nil</b> )
	Ombudsman average response time was <b>25</b> days from <b>1</b> first enquiry
	Number of Councillor Surgery's received was <b>16</b> .
	Number of Compliments received was <b>9</b> .
↓	Number of informal complaints was <b>132, decrease</b> from 12 month total in 2011-12 – <b>178</b> .

Resources maintained the recent significant improvements in the following areas:

- All complaint and informal complaints quality assured
- More timely responses to customer enquires
- More learning from all complaints issues identified

### Learning from complaints case studies – Resources

1. A customer complained that the Council held wrong data about her on the Benefits System. This had lead to the DWP being advised that she had died and the information being passed to her husband during a telephone conversation.

In response to their concerns we have;

- Provided the customer with an apology
- Staff were reminded to check before divulging sensitive data to customers to ensure they are speaking to the correct person before proceeding with a call to validate information held on the Benefits System

2. A customer complained that a security breach had occurred which had potentially lead to personal bank details being shared with council creditors

In response to their concerns we;

- Apologised to the customer
- Investigated and rectified the IT failure which led to the error
- Paid £100 as a goodwill gesture

### Top complaint issues

#### Revenue and Benefits

The majority of complaints for the Directorate were received in Revenue and Benefits. These complaints were mostly regarding how people had been dealt with by staff and the advice that they had been provided. Complaints were received around delays in processing benefit applications. Issues were resolved locally and individuals dealt with but learning and service improvements for the whole service were made.

#### Councillor Surgeries 2012/3

Only **16** Councillor Surgery enquiries were received in the year, the vast majority being related to services delivered by Asset Management and Local Taxation. Issues relating to Asset Management (**9**) were the subject of the largest number of enquiries then Local Taxation area (**4**). The types of enquiries received related to way customers were affected by changes in legislation relating to housing benefit and local taxation. Assessment management received enquiries relating to the maintenance of Council buildings.

#### Compliments 2012/13

**15** compliments were received regarding Resources some examples are as follows;

Compliment for Registrars, customer thanked them for sending out her birth certificate, she was very impressed and wished to pass on her thanks to everyone.

Compliment for Town Hall team. "Having visited the Town Hall Saturday 2nd June 2012 we were shown around by Mrs Tracy Maycock. I would like to express our thanks for her enthusiasm and information during our enjoyable visit. We really enjoyed the D.V.D. presentation of 1950s Rotherham."

Compliment for RiDO and Asset Management service. "I would like to take this opportunity to thank you and the property team which has helped me to get my business up and running with very few snags along the way. You and Marcus Rudkin will be the first port of call if Mr Snax expands further in Rotherham."

Compliment for Registrars. "We had our wedding at Rotherham Town Hall on 2 June. We just wanted to say thanks for an absolutely fantastic service; we were both put at ease and really enjoyed every part of the ceremony. Thank you for such a professional and friendly service."

### **New Developments 2012/13**

- Improved quality assurance process for all responses. Complaints Team supporting managers to check 100% of response letters.
- Improved complaint investigations and responses, all investigating managers will make direct contact with the customer before responding to the complaint.
- Improved learning and service improvements from complaints, 100% of complaints considered for potential learning.

### **2012/13 Improvement Actions**

- Revised training programme for investigating managers, bespoke training to be developed incorporating discussions around learning from complaints.
- Strategy developed to respond to a potential increase in complaints following changes to welfare system. Strategy to include training for staff on how to best to prevent customer contacts entering the complaint system.

## **New Developments in 2012/13**

The Complaint team continued to make improvements in complaint handling attempting to reduce unnecessary processes for customers. There is a focus on putting things right, dealing with the issue of concern at the earliest possible opportunity. Customers are being responded to more effectively and their concern is dealt with quickly and at a lower cost.

Following the Internal Complaint review in 2011, we have continued to deliver on its recommendations;

- Improved performance in complaint handling – an aim to achieve 100% complaints responded to in time and where not this is by extreme exception.
- Reduced number of complaints escalating through the complaint procedure (Stage 2 and Stage 3) through an earlier resolution and acceptance of service failure.
- Improved customer satisfaction, as evidenced in best practice models that exist across the council.

- Improve the learning and service improvement from complaints.
- A better experience for customers making a complaint.

In addition, the following actions have been completed and embedded in 2012/13;

- Corporate functions of complaint management into the Performance and Quality Teams within current Commissioning, Policy and Performance Structure.
- Procedures have been strengthened for all for complaints to be dealt with and resolved at the earliest opportunity. Informal complaints and right first time protocols
- Improved process for filtering out service requests (received by Complaint Team) at point of contact so that they are dealt with promptly for the customer.
- Absorbed Chief Executive complaints' handling within the Performance and Quality structure.
- Performance and Quality Managers now perform the strategic corporate overview role for complaints.
- Strengthened the approach to learning from complaints at service manager level.
- Improvements in the management of Local Government Ombudsman enquiries, improving the process, shortening the response time and reviewing the outcome of all enquiries to identify wider council improvement.
- Decision implemented to direct complaints around the schools admissions appeals process to Local Government Ombudsman.
- Reviewed the complaints database to ensure it provides value for money and it is fit for purpose.
- Removed the need for secondary complaints monitoring systems. One system now in operation.  
Introduced a new customer complaint channel, complaints can be made by text.
- New streamlined, print on demand, customer complaint literature.
- Redesigned and updated complaint web page

Finally working with Self Regulation Select Commission we have;

- Improved sharing best practice in complaint handling between Directorates.
- Clarified how complaints are recorded classified, removing the classification of "comment".
- All Councillor Surgeries are now administrated by the Complaint Team
- Improved reporting and response to school complaint enquiries

## **2013/14 Improvement Actions**

The following improvement actions are ongoing into year 2013/14;

- Review statutory responsibilities for Children's and Adult Social Care and revise structures accordingly in line with legislative guidance and best practice
- Put in place a consistent training programme for all investigating officers and Members.
- Develop an online mandatory complaints handling training package for all staff and managers.

- Strengthen guidance and training around apologising and early resolution to reduce complaints time and costs and ensure that this is embedded into general customer service at front end.
- Review the commissioning of independent investigator and independent person at Stage 2 to reduce costs.
- Publish performance with regards to complaints to customers including learning and improved outcomes.
- Review the handling of school complaints
- Introduce new complaint procedure for Housing to accommodate requirements in complaint handling due to the Localism Act 2011.
- Accommodate complaints received from Public Health services