

CABINET

**Venue: Bailey Suite,
Bailey House,
Rawmarsh Road,
Rotherham**

Date: Wednesday, 21st July, 2010

Time: 10.30 a.m.

A G E N D A

1. To consider questions from Members of the Public.
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. Minutes of the previous meeting held on 7th July, 2010 (copy supplied separately)
5. Corporate Plan (report herewith) (Pages 1 - 6)
 - Chief Executive to report
6. Corporate Risk Register (report herewith) (Pages 7 - 36)
 - Chief Executive to report.
7. Proposed Changes to Planning Board (report herewith) (Pages 37 - 41)
 - Strategic Director of Environment and Development Services to report.
8. Exclusion of the Press and Public.
The following items are likely to be considered in the absence of the press and public as being exempt under those paragraphs listed below of Part 1 of Schedule 12A to the Local Government Act 1972 (as amended March 2006) (information relating to the financial or business affairs of any particular individual (including the Council)):-
9. TUPE Transfers (report herewith) (Pages 42 - 45)
 - Chief Executive to report.

(Exempt under Paragraph 4 of the Act – (Exempt under Paragraph 4 of the Act – information connected to labour relations matters)

10. HR Policies – Update (report herewith) (Pages 46 - 53)
 - Chief Executive to report.

(Exempt under Paragraph 4 of the Act – information connected to labour relations matters)
11. Town Centre Cultural and Ancillary Accommodation Strategy (report herewith) (Pages 54 - 80)
 - Strategic Director of Environment and Development Services to report.

(Exempt under Paragraph 3 of the Act – information relates to business or financial affairs)
12. TCN and Disposal of the Civic Site (report herewith) (Pages 81 - 90)
 - Strategic Director of Environment and Development Services to report.

(Exempt under Paragraph 3 of the Act – information relates to business or financial affairs)
13. Impact on RMBC of 2010 Rotherham Ltd Repair and Maintenance Externalisation (report herewith) (Pages 91 - 112)
 - Strategic Director of Neighbourhoods and Adult Services to report.

(Exempt under Paragraph 3 of the Act – information relates to business or financial affairs)
14. Asset Management Services (report herewith) (Pages 113 - 115)
 - Strategic Director of Environment and Development Services to report.

(Exempt under Paragraph 2 of the Act – information which is likely to reveal the identity of an individual)
15. Policy and Performance Function (Pages 116 - 120)
 - Strategic Director of Neighbourhoods and Adult Services to report

(Exempt under Paragraph 4 of the Act – information connected to labour relations matters)

ROTHERHAM BOROUGH COUNCIL – REPORT TO CABINET
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1.	Meeting:	Cabinet
2.	Date:	21st July 2010
3.	Title:	Corporate Plan
4.	Directorate:	Chief Executive's

5. Summary

This report provides Cabinet with the new Corporate Priorities, as set out in the “Plan on a Page”, (Appendix 1) for consideration and approval. It highlights some of the key changes made since the first draft document was presented and also provides key dates in the timeline to final approval of the plan by full council for consideration and approval.

6. Recommendations

That Cabinet:

- a) **Consider and approve the plan on a page**
- b) **Recommend that Full Council approve the plan at its meeting on the 28th July 2010 and that they be asked to delegate approval of the detailed plan to Cabinet**
- c) **Note and approve the proposed timeline for approval of the detailed plan**

7. Proposals and Details

The Council has set out its aim to review the corporate plan in the context of changes in the external environment and the context in which we are now working. The aims of the review are to ensure that the Council's corporate plan provides a clear statement of what we aim to achieve as a Council and how that supports delivery of the Sustainable Community Strategy.

The intention is to provide a shorter, sharper plan with a small number of high level priorities, which are clear and unambiguous and expressed in plain language. These priorities will reflect the things members, partners and stakeholders see as priorities. Importantly the plan will include:

- The **key** things which we do – not everything we do
- Where **most** not **all** of our resources are directed

An initial discussion on the priorities to be included in the plan took place informally, with SLT and Cabinet, in March and more recently the draft plan on a page was discussed as part of a Cabinet / SLT budget meeting. A seminar for members took place on the 29th March, which considered what priorities should be included in the plan and since then discussions have taken place with SLT, Directorate Management Teams, CEOG and an NHSR public health group. Feedback from these discussions has informed the emerging plan. Since the election in May the Coalition Government has made some significant announcements on budget and Policy direction which have also been considered in the development of the current draft of the plan.

The Corporate Plan is being developed at a time of significant and rapid change for Local Government and it is likely that further changes will emerge in the Comprehensive Spending Review in the autumn which will have further impact on what we do, how we do it and how we resource it. The future of the National indicator set as a whole is unclear currently. Although there will be some sort of performance framework for local government we do not know what this will look like and what it might mean for performance measures and targets. As a result the plan has been and continues to be in a state of flux with underpinning detail difficult to pin down with certainty.

Some clear messages are emerging that Local Government will not be doing everything that it currently does and that in particular that there will be a greater role for other sectors such as the voluntary and community sector and for community groups to take over service delivery. The language in the corporate plan needs to reflect that we will be working differently and that we will not be doing or providing everything directly.

Cabinet are asked to agree this as an interim plan which will require further work over the course of 2010/2011, to refine the detailed plan and the measures and targets which underpin the plan on a page.

The headline priorities and the outcomes set out on the plan on a page are probably less vulnerable to change than the detail of projects and programmes to deliver and

the measures and targets in the detailed plan. Cabinet are therefore asked to agree that the only element of the plan to be published in hard copy at this time is a poster sized version of the plan on a page, and that the detailed plan is an electronically based document held on the website and subject to regular review and updating over the course of the year. This will enable the Council to ensure that the final plan and longer term targets are more robust and deliverable in the new environment and that we build the buy in of members, staff partners and the community to the future direction of the Council.

The Council is about to embark on a programme of consultation to inform budget planning and this also provides an opportunity to consult on the corporate plan priorities, given that the plan is intended to detail the key priorities which account for most of our spending.

Plan on a Page (single plan)

The revised plan on a page attached at Appendix 1 has been revised in light of the various discussions with members and partners and in the context of changes in Government policy direction as detailed above, and the following tests applied:

- Is the priority (most important things that we do) still relevant?
- Does it reflect local priorities?
- Is it expressed in clear and unambiguous language?
- Are the outcomes (what we want to achieve) that that we will aim to deliver appropriate and realistic?
- Are the priorities and outcomes set out in the plan things where the Council is either the only, the main or one of the most significant drivers/ influencers of.

Cabinet are asked to consider the current plan and whether it meets the tests above and to approve or amend the content accordingly, and to recommend that the Plan be considered by PSOC at its meeting on 23rd July and recommended for approval to full Council on 28th July. It is intended to accompany this plan with a detailed plan that outlines projects and delivery as well as resources and performance measures, and more detail on the business principles. This will be referred to Cabinet and PSOC for consideration in September 2010.

Detailed Plan

The detailed plan will contain the following information.

For each of the outcomes (what we want to achieve) we will provide headline detail about:

- What we will do to deliver;
- How we will know we have succeeded; and
- Where the money comes from

Similarly for the business principles we will set out:

- What we want to achieve;
- What we will do; and
- How we will know we have succeeded

Appendices to the plan will include:

- The measures and targets and current performance data against which we will measure progress

Next steps

- Plan on a Page reported to Members as follows:
 - 21 July 2010 – Cabinet approval
 - 23 July 2010 – PSOC for comment
 - 28 July 2010 – approval at full Council
- Detailed Plan
 - August 2010 - Completion in consultation with directorates
 - September 2010 – Referred to Cabinet and PSOC

It is proposed that full Council are asked at their meeting on the 28th July to delegate approval of the Detailed Plan and appendices to Cabinet.

8. Finance

The only direct financial implication of the plan is the cost of production of the plan, this will depend on Cabinet's decision on what the approach to publication will be. Clearly it will be cheaper to produce a hard copy of the plan on a page alone.

The financial implications of the priorities outcomes, measures and targets set out in the plan are significant and it will be essential to ensure that financial and service planning is aligned to and reflects the corporate plan if we are to ensure that resources are targeted at these priority areas.

9. Risks and Uncertainties

The Government policy agenda for local government is being established through a series of announcements rather than being set out in any comprehensive policy or White paper.

The finer details remain unknown, which creates risks for the Council's own policy planning processes. The Council will need to continuously monitor the Government's policy development and consider how we should respond. This will be achieved through refreshing the Council's Local Government Reform Resource Library and implementation plan, with reports being presented as appropriate.

10. Policy and Performance Agenda Implications

Government policy direction and budgets will have implications for the Council's policy framework and corporate plan, along with how the Council works with partner organisations in the public sector.

The Government has announced that it has cancelled any further work on the Comprehensive Area Assessment (CAA) for this year. Primary legislation will be required to abolish CAA. It is clear that there will be a new performance framework for Local Authorities however at this stage it is not clear whether the National

Indicator Set will continue and in what form. It is likely there will be a smaller set of national indicators and that centrally driven targets will be removed, for example regional spatial strategies and the housing targets generated have already been scrapped. It is not clear at this stage how the future role of inspectorates will contribute to performance management, other than the statutory audit. We will need to review measures and targets in the corporate plan in the coming months to ensure they remain relevant and achievable in the context of reducing resources.

It is likely that any future performance framework will have a greater emphasis on value for money given the current climate and this should be reflected in the plan and the measures put in place.

11. Background Papers and Consultation

Review of Area assembly Consultations and key findings

Consultation through:

M3 managers meeting;

Member Workshop;

SLT / Cabinet;

Officer focus groups;

Rotherham Partnership Chief Executive Officers Group;

NHSR Public Health Officers Group

Background papers

Sustainable Community Strategy

Corporate Plan 2008- 2011

Coalition agreement

Queens speech and legislative programme

DCLG "Local Government's Contribution to £6.2 billion Efficiencies in 2010-11"

Contact Name:

Julie Slatter Head of Policy and performance, extension 22737,
julie.slatter@rotherham.gov.uk

Our Vision for Rotherham is:	Rotherham is a prosperous place and Rotherham people have choices and opportunities to improve the quality of their lives. Rotherham communities are safe, clean, and green and everyone can enjoy a healthy and active life.				
The most important things that we do are:	Making sure no community is left behind	Providing quality education; ensuring people have opportunities to improve skills, learn and get a job.	Ensuring care and protection are available for those people who need it most	Helping to create safe and healthy communities.	Improving the environment
What we want to achieve is:	<ul style="list-style-type: none"> Fewer children are living in poverty Everyone can expect to live longer lives, regardless of where they live. The gap in average earnings is reduced Less people struggle to pay for heating and lighting costs More people in our poorest communities are in work. 	<ul style="list-style-type: none"> More people have formal qualifications and skills More successful new businesses More people come to the Town Centre for work, shopping and for things to do and see. More people are in work or training and less are living on benefits All 16-18 years olds are in employment, education or training Babies and pre school children have a good start in life More higher paid jobs. 	<ul style="list-style-type: none"> All children in Rotherham are safe. Vulnerable people are protected from abuse. People in need of support and care have more choice and control to help them live at home. People in need get help earlier, before reaching crisis. Carers get the help and support they need 	<ul style="list-style-type: none"> People are happy and feel safe where they live Anti social behaviour and crime is reduced and more people feel that Rotherham is safe People are able to live in decent affordable homes of their choice. More people are physically active and have a healthy way of life People from different backgrounds get on well together People enjoy parks, green spaces, leisure, and cultural activities. 	<ul style="list-style-type: none"> Rotherham is prepared for present and future climate change. Clean streets Safer and well maintained roads Reduced CO2 emissions and lower levels of air pollution More people are recycling. More people are cycling, walking or using public transport
The way we will do this is:	<ul style="list-style-type: none"> Economic Plan All Age Learning Public Health Social Care Closing the Gap Single Equality Scheme One Town One Community Children and Young Peoples Plan 	<ul style="list-style-type: none"> Economic Plan Children and Young People's Plan All Age Learning Children and Young Peoples Plan Local Development Framework 	<ul style="list-style-type: none"> Children and Young Peoples Plan Public Health Social Care/Older Peoples Strategy 	<ul style="list-style-type: none"> Safer Rotherham Housing Strategy One Town, One Community Local Development Framework Children and Young Peoples Plan Community Engagement Framework 	<ul style="list-style-type: none"> Environment and Climate Change Strategy Transport Local Development Framework
Links to Rotherham Partnership priority themes:	All 5 themes and Fairness, Sustainable Development	Achieving, Learning, Fairness Sustainable Development	Safe, Alive, Sustainable Development, Fairness	Alive, Safe, Proud, Fairness Sustainable Development	Alive, Safe, Sustainable development
The way we do business is by:	Talking and listening to all our customers and treating everyone fairly and with respect	Supporting and enabling our communities to help themselves, whilst meeting the needs of the most vulnerable	Improving the way we work and getting better value for money	Having the right people, with the right skills in the right place at the right time	

ROTHERHAM BOROUGH COUNCIL – REPORT TO CABINET
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1.	Meeting:	Cabinet
2.	Date:	21 July 2010
3.	Title:	Corporate Risk Register
4.	Directorate:	Financial Services

5. Summary

Attached to this report is the current corporate risk register summary. The register shows the risks associated with the Council's most significant priorities and projects, and a summary of the actions being taken to mitigate these risks.

There are a number of significant changes this period, including the addition of the cultural quarter, transfer of responsibilities for 16-19 year olds to the Council (known as 'Machinery of Government'), the community stadium and the recognition of major budget announcements made by the Government and the need to respond to these. A number of older priorities have been removed from the register.

Various risks relating to Children's Services' have been re-assessed as red (high risk), mainly relating to increasing financial challenges and the needs to use resources more efficiently and effectively.

There are now six red residual risks in total (Building Schools for the Future, four other priorities relating to Children's Services and the achievement of the Cultural Quarter aspirations).

6. Recommendations

Cabinet is asked to:

- **note the updated corporate risk register summary attached at Appendix A**

7. Proposals and Details

7.1 Format

This report contains the latest position on the Corporate Risk Register. The report has two key parts:

- An '*at a glance*' picture showing the pattern of risk assessments for corporate priorities or projects both before and after risk management actions – see 7.3 below.
- A more detailed summary of the risk register that reflects the current risk assessments for each corporate priority or project. This is attached at **Appendix A**.

Appendix A has been enhanced to include details explaining the risk register entries. 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 also now shows specific current risk scores before and after mitigating actions, as well as the general risk category for each priority or project included in the register.

Additionally, following a request by Members, Appendix A now shows the risk categories for each priority for the previous 3 reports, which provides an indication of the degree of change in risk assessments over time.

7.2 Changes since previous report.

The main changes occurring since the previous report are as follows:

- The Government's withdrawal of funding for Building Schools for the Future (BSF – register reference 10), places the Council's programme at significant risk. The risk is now assessed as 'Red'.
- Four other Children's Services risks have been reassessed from amber to red risk:
 - Ref 22 – Delivery of Children's Plan
 - Ref 44 – Commissioning
 - Ref 58 – Children's Improvement Notice
 - Ref 59 – Use of Resources in Children's

These risks have been reassessed as a result of the Government's announcements of grant reductions and they reflect the increasing need to use available resources more efficiently. However, Cabinet and the Strategic Leadership Team are looking at action across the Council to address Budget issues and these risks and their status will be subject to further review in the light of this.

- The addition of significant priorities relating to
 - Machinery of Government Ref (Ref 60)
 - Community stadium Ref (Ref 61)
 - Culture quarter (Ref 63)
 - Managing the budget adjustments resulting from Government reductions in spending (Ref 64).

- The risks relating to Civic Accommodation (formerly Ref 4), Westgate Demonstrator Project (7), Private Sector Housing (28) Reservoirs (31) and the Economic Downturn (36) have been removed from the corporate risk register because these have now been achieved or substantially completed, or because their significance has reduced. Any outstanding risks in these areas will be managed with directorate risk registers.
- The Comprehensive Area Assessment (14) has been removed from the corporate risk register because the methodology has been abolished.

7.3 Corporate Risks at a Glance

7.3.1 Risk assessments prior to mitigating actions.

The first diagram shows the pattern of risk assessments for corporate priorities or projects before risk management actions.

Probability: Will it Happen?	Very high				59 CYPs Resources (80) 22 Children's Plan (72) 58 DCSF imp't plan (72)
	High		19 Public Image (48) 37 YES Project (48) 51 Carbon Red'n (48) 47 Narrowing gap (48) 52 LAA (44)	43 LG Reform (60) 45 2010 Fin. Perf. (56) 11 Capital Program (52) 29 Adults Demand (52) 46 In House Prov. (52)	10 BSF (64) 38 Safeguarding Adults & Physical Disabilities (64) 44 Commissioning (64) 63 Cultural Quarter (64) 60 Machinery of Govt (64) 64 Managing budget adjustments (64)
	Medium		55 RBT contract (36) 3 Civic Accom (34) 53 EDRMS (33) 15 Single Status (33)	6 Waste Management Strategy (48) 26 Decent Homes (42) 61 Community Stadium (39) 62 Civic Centre (38)	
	Low				
	Very low				
	Minimal	Minor	Moderate	Serious	Severe
	Impact: Will it Hurt?				

Note on the diagram entries:
EG “19 Public Image (48)”. The first number, in this case 19, is the reference number of the risk. Risks are listed in reference number order in the risk register summary at Appendix A. The second number in brackets, in this instance (48), shows the risk score. The higher the score, the greater the risk.

7.3.2 Risk Assessments after allowing for mitigating controls

The second diagram shows the pattern of risk assessments for corporate priorities or projects after risk management actions.

Probability: Will it Happen?	Very High				
	High		46 In House Prov. (40) 52 LAA (40)		22 Children's Plan (64) 44 Commissioning (60) 58 DCSF imp't plan (64) 59 CYPs Resources (64) 63 Cultural Quarter (60) 10 BSF (60)
	Medium		19 Public Image (36) 37 YES Project (36) 38 Safeguarding Adults & Physical Disabilities (36) 47 Narrowing gap (36) 29 Adults Demand (33) 26 Decent Homes (33) 60 Machinery of Govt (33) 64 Managing budget adjustments (33) 51 Carbon Red'n (30) 52 LAA (28) 15 Single Status (27)	45 2010 Fin. Perf. (42) 11 Capital Prog (39)	
	Low		43 LG Reform (26) 3 Civic Accom (26)	6 Waste Man't Strategy (30)	
	Very low				
	Minimal	Minor	Moderate	Serious	Severe
	Impact: Will it Hurt?				

It can be seen from the second chart, that risk is being reduced by management actions. The following tables provide a summary of the risk reduction achieved.

Table 1 shows the risk category that initial red and amber risks are converted to, following mitigating actions:

Risk category	Number of Projects / Priorities in the category BEFORE mitigating actions		Risk category	Number of Projects / Priorities in the category AFTER mitigating actions
Red	14	→	Red	6
Amber	13		Amber	8
			Green	NIL
			Amber	9
			Green	4

Table 2 shows the average risk score for priorities rated as red and amber prior to mitigating actions, and the average reduction in risk scores resulting from the mitigating actions:

Risk category	Average risk score BEFORE mitigating actions	Average risk score AFTER mitigating actions	Reduction in average risk score as a result of mitigating actions
Red	63	47	16
Amber	41	27	14

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 Strategic Leadership Team and Members for consideration on a case by case basis.

9. Risks and Uncertainties

It is important to review the effectiveness of our approach to capturing, managing and reporting 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

The content of this report has been informed by consultation with Directorates.

Contact Names:

Colin Earl, Director of Audit and Governance, x22033

Rob Houghton, Governance and Risk Manager, x54424

Appendices

Appendix A: Corporate Risk Register Summary

APPENDIX A: CORPORATE RISK REGISTER SUMMARY

Explanatory Note:

For the purposes of illustration, Risk Reference 37: 'YES Project' from the corporate risk register is extracted below:

Ref	Risk Area	Current Risk	Current Risk Assessment	Lead Officer	Mitigating Controls & Current Position	After Man't Control																			
Major Projects																									
37	EDS – YES Project	Risk of project not being implemented in full by preferred developer due to lack of attractiveness of the scheme to investors, with consequential loss of income.	A M B E R <div style="border: 1px solid black; width: 30px; margin: 0 auto; text-align: center;">48</div>	Karl Battersby	<p>Signed Development Agreement with Oak Holdings in November 08.</p> <p>Planning application for renewal of the permission submitted Jan 2010.</p> <p>Action plan obstacles are up to date</p> <p>May 2010 Planning application to Planning Board, which is disposed to grant approval. The application is now with the Government for a decision.</p> <p>Transfer of Rother Valley management to Oak Holdings for 7 years from May 2009 to improve chances of a positive outcome.</p>	A M B E R <div style="border: 1px solid black; width: 30px; margin: 0 auto; text-align: center;">36</div>																			
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="background-color: yellow;">L</td> <td style="background-color: #cccccc;">Ac</td> <td style="background-color: #cccccc;">Al</td> <td style="background-color: #90ee90;">S</td> <td style="background-color: #ffcccc;">P</td> <td style="background-color: #ffcccc;">SD</td> <td style="background-color: #cccccc;">F</td> </tr> <tr> <td style="text-align: center;">√</td> <td style="text-align: center;">√</td> <td style="text-align: center;">√</td> <td style="text-align: center;">√</td> <td style="text-align: center;">√</td> <td style="text-align: center;">√</td> <td style="text-align: center;">√</td> </tr> </table>	L	Ac	Al	S	P	SD	F	√	√	√	√	√	√	√		<p>Previous periods:</p> <p>-3 -2 -1</p> <table style="width: 100%; text-align: center;"> <tr> <td style="border: 1px solid black; width: 30px; height: 30px;"></td> <td style="border: 1px solid black; width: 30px; height: 30px;"></td> <td style="border: 1px solid black; width: 30px; height: 30px;"></td> </tr> </table>					<p>Previous periods:</p> <p>-3 -2 -1</p> <table style="width: 100%; text-align: center;"> <tr> <td style="border: 1px solid black; width: 30px; height: 30px;"></td> <td style="border: 1px solid black; width: 30px; height: 30px;"></td> <td style="border: 1px solid black; width: 30px; height: 30px;"></td> </tr> </table>			
L	Ac	Al	S	P	SD	F																			
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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. Scores have now been added to the register entries to show the specific risk assessments pre (48 in this example) and post (36) mitigating actions, in order to demonstrate the effectiveness of mitigating actions, particularly where the overall risk category for any priority or project has not changed, as is the case in the example above.

The following table gives more information:

Risk Category	Range of risk scores	Level of Risk
Red	More than 50	High level of risk, requiring close and regular review and further preventive or remedial action as necessary
Amber	26 to 50	Medium level of risk, requiring regular monitoring and, in the event of any identified increase in risk, escalation for consideration of further actions.
Green	Up to and including 25	Low level of risk, initially requiring regular monitoring and reporting.

The register shows the respective risk categories for the last 3 risk registers, as follows:

Previous periods:



In this case, the risk category has been amber both before and after mitigating actions in each of the last 3 periods. Where any period has no colour (i.e. is white), this indicates that the priority or project was not included in the risk register in that period.

The register also shows the corporate priorities that each project or priority included in register contributes to. This is indicated in the 'Risk Area' column for each priority / project included in the register.

The corporate plan priorities are as follows:

- | | | | | | |
|---|---|----------------------------|---|---|--------------------------------|
|  | = | Rotherham Learning |  | = | Rotherham Proud |
|  | = | Rotherham Achieving |  | = | Sustainable Development |
|  | = | Rotherham Alive |  | = | Fairness |
|  | = | Rotherham Safe | | | |

CORPORATE RISK REGISTER

Ref	Risk Area	Current Risk	Current Risk Assessment	Lead Officer	Mitigating Controls & Current Position	After Man't Control														
Major Projects																				
3	Civic Building accommodation	<p>New accommodation not fit for purpose</p> <p>Failure to maximise use of resources</p> <p>Failure to modernise services and respond to changing needs</p> <p>Failure to apply appropriate governance arrangements: procurement; risk transfer; affordability; deliverability; structures and controls.</p>	<p style="text-align: center;">A M B E R</p> <p style="text-align: center;">34</p> <p>Previous periods: -3 -2 -1</p> <p style="text-align: center;"> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </p>	Karl Battersby	<p>The business case was agreed by Cabinet in September 2008.</p> <p>Planning permission granted in June 2009. Judicial Review ended 22 Dec 09. Land works commenced on site Jan 2010.</p> <p>The contract went unconditional in December. All pre-commencement conditions have been discharged.</p> <p>Expect to start to move into the new building in late 2011.</p>	<p style="text-align: center;">A M B E R</p> <p style="text-align: center;">26</p> <p>Previous periods: -3 -2 -1</p> <p style="text-align: center;"> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </p>														
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L	Ac	Al	S	P	SD	F														
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Ref	Risk Area	Current Risk	Current Risk Assessment	Lead Officer	Mitigating Controls & Current Position	After Man't Control														
Major Projects																				
6	<p>Delivery of the Waste Management strategy. Failure could involve significant penalties.</p> <p>Needs: 1 Disposal facilities to be agreed with other authorities 2 Medium term contract 2008-2014 3 Long term contract 2014 onwards</p> <p>“energy from waste” is a possible favoured scheme, but consultees prefer a higher cost option.</p>	<p>Potential significant financial penalties</p> <p>Adverse inspection assessment</p> <p>Failure to apply appropriate governance arrangements: - procurement - risk transfer - affordability - deliverability - structures and controls</p>	<p>A M B E R</p> <p style="border: 1px solid black; display: inline-block; padding: 2px;">48</p>	Karl Battersby	<p>BDR Waste Partnership has secured £74.4m in PFI credits.</p> <p>PFI 4 bids have been evaluated and a recommendation made to the Project Board to reduce to 2 final bids. An affordability report is being completed.</p> <p>DMBC had called a break point review to determine whether they should withdraw from the project, but have since decided to continue with the PFI.</p> <p>The project plan is being revised to reflect slight delays in determining affordability options, but the overall project is on target for agreement by August 2010.</p> <p>Interim arrangements are in place and operating.</p>	<p>A M B E R</p> <p style="border: 1px solid black; display: inline-block; padding: 2px;">30</p>														
			<p>Previous periods: -3 -2 -1</p> <p style="text-align: center;"> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </p>			<p>Previous periods: -3 -2 -1</p> <p style="text-align: center;"> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </p>														
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Major Projects																				
10	Building Schools for the Future (BSF) and 'Primary Capital Programme * ¹ ' projects <table border="1"> <tr> <td>L</td><td>Ac</td><td>Al</td><td>S</td><td>P</td><td>SD</td><td>F</td> </tr> <tr> <td>√</td><td>√</td><td>√</td><td>√</td><td>√</td><td>√</td><td></td> </tr> </table>	L	Ac	Al	S	P	SD	F	√	√	√	√	√	√		The Secretary of State has closed the BSF programme to those authorities "not at financial closure with their partners". This does not necessarily mean the end of capital spend on schools but further details will be given following the review in the autumn.	R E D <div style="border: 1px solid black; padding: 5px; width: 40px; margin: 0 auto;">64</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="width: 20px; height: 20px; background-color: yellow;"></div> <div style="width: 20px; height: 20px; background-color: yellow;"></div> <div style="width: 20px; height: 20px; background-color: yellow;"></div> </div>	Joyce Thacker	The Government's withdrawal of funding for BSF puts Rotherham's programme at significant risk. The Council will prepare for the outcome of the autumn review by prioritising schools for any future funding. This will be based on the current condition and suitability of each school. The Council will seek clarity from the Department For Education regarding Maltby Academy	R E D <div style="border: 1px solid black; padding: 5px; width: 40px; margin: 0 auto;">60</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="width: 20px; height: 20px; background-color: lightgreen;"></div> <div style="width: 20px; height: 20px; background-color: lightgreen;"></div> <div style="width: 20px; height: 20px; background-color: lightgreen;"></div> </div>
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Major Projects																				
11	Costs of the capital programme. Significant revenue consequences (£11m per year). <table border="1"> <tr> <td>L</td><td>Ac</td><td>Al</td><td>S</td><td>P</td><td>SD</td><td>F</td> </tr> <tr> <td>√</td><td>√</td><td>√</td><td>√</td><td>√</td><td>√</td><td>√</td> </tr> </table>	L	Ac	Al	S	P	SD	F	√	√	√	√	√	√	√	Significant financial impact and/or failure to deliver the capital programme.	R E D <div style="border: 1px solid black; padding: 5px; width: 40px; margin: 0 auto;">52</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="width: 20px; height: 20px; background-color: red;"></div> <div style="width: 20px; height: 20px; background-color: red;"></div> <div style="width: 20px; height: 20px; background-color: red;"></div> </div>	Andrew Bedford	Detailed financial calculations are included in the MTFs. These are being reviewed as part of the Council's on-going budget monitoring and financial planning processes	A M B E R <div style="border: 1px solid black; padding: 5px; width: 40px; margin: 0 auto;">39</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="width: 20px; height: 20px; background-color: yellow;"></div> <div style="width: 20px; height: 20px; background-color: yellow;"></div> <div style="width: 20px; height: 20px; background-color: yellow;"></div> </div>
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¹ 5% new build, 45% refurbishment, 50% premium maintained

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Cross Cutting																				
15	Impact of single status job evaluation.	<p>Lengthy timescales, causing uncertainty and possible unrest unless resolved quickly.</p> <ul style="list-style-type: none"> - potential dispute - costs - possible negative impact on staff retention, depending upon the evaluation outcomes 	A M B E R <div style="border: 1px solid black; padding: 2px; width: 30px; margin: 0 auto;">33</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="width: 20px; height: 20px; background-color: red; margin: 2px;"></div> <div style="width: 20px; height: 20px; background-color: red; margin: 2px;"></div> <div style="width: 20px; height: 20px; background-color: yellow; margin: 2px;"></div> </div>	Phil Howe	<p>Phase 2 implemented successfully on 1/04/08. Through the effective implementation process RMBC has successfully avoided the major industrial unrest experienced by some Local Councils.</p> <p>Barrister commissioned to help defend Equal Pay challenges. Reasonable settlement agreed with both the No Win No Fee and Trade Union solicitors. This settlement was achieved within the prescribed Capitalisation Directions obtained through Financial Services. Further attempts were made with HMRC to seek to reduce the tax demand on these payments. These efforts have been successful and HMRC have agreed the tax liabilities.</p> <p>There are a very small number of unresolved residual claims from the no win no fee solicitor.</p> <p>The memorandum of understanding with the trade unions has now been signed and individual offers of settlement are being passed to the trade union's solicitors.</p> <p>There will always remain some as yet 'unknown' element of risk of challenge under Equal Pay & Single Status, which could in future require resources to defend.</p>	A M B E R <div style="border: 1px solid black; padding: 2px; width: 30px; margin: 0 auto;">27</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="width: 20px; height: 20px; border: 1px solid black; margin: 2px;"></div> <div style="width: 20px; height: 20px; border: 1px solid black; margin: 2px;"></div> <div style="width: 20px; height: 20px; border: 1px solid black; margin: 2px;"></div> </div>														
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Cross Cutting																				
19	Public satisfaction / Image. Press negative <table border="1"> <tr> <td>L</td> <td>Ac</td> <td>AI</td> <td>S</td> <td>P</td> <td>SD</td> <td>F</td> </tr> <tr> <td>√</td> <td>√</td> <td>√</td> <td>√</td> <td>√</td> <td>√</td> <td>√</td> </tr> </table>	L	Ac	AI	S	P	SD	F	√	√	√	√	√	√	√	Failure to improve public satisfaction and engagement	A M B E R <div style="border: 1px solid black; width: 40px; margin: 0 auto; padding: 5px;">48</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; margin-top: 5px;"> <div style="border: 1px solid black; width: 25px; height: 25px;"></div> <div style="border: 1px solid black; width: 25px; height: 25px;"></div> <div style="border: 1px solid black; width: 25px; height: 25px;"></div> </div>	Matt Gladstone	<p>Following the place survey, a postal questionnaire on public views, the results have been built into the Learning from Customers action plan and work on this is still on going.</p> <p>The Place Survey for 2010/11 has been suspended but officers are working together to see how the Council will collate perception data in the future.</p> <p>Through the NI4 Target Support Funding 4, further community engagement bulletins called 'Rotherham People Power' will be produced this year (2010/11) alongside the LSP newspaper 'Rotherham News' involving a VCS editorial reference group and training and development for local people to be involved in the community engagement bulletins. A Rotherham People Power Bulletin was published and disseminated in February 2010.</p>	A M B E R <div style="border: 1px solid black; width: 40px; margin: 0 auto; padding: 5px;">36</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; margin-top: 5px;"> <div style="background-color: #90EE90; border: 1px solid black; width: 25px; height: 25px;"></div> <div style="border: 1px solid black; width: 25px; height: 25px;"></div> <div style="border: 1px solid black; width: 25px; height: 25px;"></div> </div>
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CYPS																				
22	<p>Delivery of the Children's single plan priorities, such as:</p> <ul style="list-style-type: none"> - performance in schools (particularly Primary) - health inequalities - quality social care - post-16 education and employment 	<p>Failure to make a difference; to deliver community and corporate priorities relating to Rotherham Learning</p> <p>Adverse inspection comment / rating and impact on CPA assessment</p> <p>An unannounced Inspection of Contact, Assessment and Referral in August led to finding that social worker's caseloads were too heavy. Caseloads still not addressed due to the continuous high level of vacancies at both Social Worker and Team Manager levels.</p> <p>Pressures in relation to budget and service demands continue to increase the risk of failure to deliver services within budget allocation.</p>	<p>R E D</p> <div style="border: 1px solid black; width: 30px; margin: 0 auto; padding: 2px;">72</div> <p>Previous periods: -3 -2 -1</p> <div style="display: flex; justify-content: space-around;"> <div style="width: 15px; height: 15px; background-color: yellow;"></div> <div style="width: 15px; height: 15px; background-color: yellow;"></div> <div style="width: 15px; height: 15px; background-color: yellow;"></div> </div>	Joyce Thacker	<p>Overall Annual Performance Assessment judgement is 2. CYPS CAA judgement is 1. Previous key areas for development (Improving attainment at Key Stage1 and Increasing the proportion of 16-19 year olds who are in education, employment or training) are being addressed.</p> <p>Children First Review completed and an Action Plan produced. An Improvement Board has been formed from across the Council to oversee progress. DCSF issued notice to improve and the improvement plan is monitored fortnightly internally and monthly by DCSF.</p> <p>Risk is increasing as grant funding starts to be withdrawn ahead of scheduled dates. 'Together for Children' grant withdrawn for pilot programme and £2.1m Area Based Grant has been withdrawn.</p> <p>Further mitigating actions are being identified, however posts are at risk and the achievement of priorities will be continue to be challenging. (See also risk 59).</p>	<p>R E D</p> <div style="border: 1px solid black; width: 30px; margin: 0 auto; padding: 2px;">64</div> <p>Previous periods: -3 -2 -1</p> <div style="display: flex; justify-content: space-around;"> <div style="width: 15px; height: 15px; background-color: yellow;"></div> <div style="width: 15px; height: 15px; background-color: yellow;"></div> <div style="width: 15px; height: 15px; background-color: yellow;"></div> </div>														
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26	ALMO delivery of decent homes programme. <table border="1"> <tr> <td>L</td> <td>Ac</td> <td>AI</td> <td>S</td> <td>P</td> <td>SD</td> <td>F</td> </tr> <tr> <td></td> <td>√</td> <td>√</td> <td>√</td> <td>√</td> <td>√</td> <td>√</td> </tr> </table>	L	Ac	AI	S	P	SD	F		√	√	√	√	√	√	Late or non achievement of targets Potential loss / re-profiling of funding Adverse public / tenants satisfaction Adverse inspection outcomes.	A M B E R <div style="border: 1px solid black; width: 40px; height: 30px; margin: 0 auto; text-align: center;">42</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; margin-top: 5px;"> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> </div>	David Richmond	There has been further significant reductions in non decent council homes and at the end of March 2010 1,319 homes (6.29% of the stock) remain to be brought to decency standards. This figure includes refusals and no access properties which are deemed as decent until they become vacant. Work was carried out in the last quarter to ensure that the delivery of the programme was affordable and that the December 2010 target date would be met.	A M B E R <div style="border: 1px solid black; width: 40px; height: 30px; margin: 0 auto; text-align: center;">33</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; margin-top: 5px;"> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> </div>
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Neighbourhoods and Adult Services																			
29	<p>Adult Social Services:</p> <ul style="list-style-type: none"> - Demand continues to increase and only the most vulnerable are being helped - in-house costs are higher than independent sector costs - recruitment, retention, resources 	<p>Significant adverse impact on council financial position</p> <p>Adverse inspection outcomes.</p> <p>Adverse press reaction and user / public satisfaction</p>	<p>R E D</p> <div style="border: 1px solid black; width: 40px; margin: 10px auto; text-align: center;">52</div> <p>Previous periods: -3 -2 -1</p> <div style="display: flex; justify-content: space-around;"> <div style="border: 1px solid black; width: 30px; height: 30px;"></div> <div style="border: 1px solid black; width: 30px; height: 30px;"></div> <div style="border: 1px solid black; width: 30px; height: 30px;"></div> </div>	Chrissy Wright	<p>The 2010/11 budget setting process reflects further progress needed, including: (1) re negotiating contracts to achieve efficiency savings, (2) transforming traditional services to provide better outcomes and better use of resources, (3) reviewing high cost areas and (4) increasing income – bringing charges in line with other LA's.</p> <p>We have carried out an initial self assessment against the 12 criteria using the DoH "Use of Resources" in Adult Social Care" The self assessment identifies key actions to be taken. The Directorate Service Plan Priorities these in an action plan to ensure delivery against the 10 criteria.</p>	<p>A M B E R</p> <div style="border: 1px solid black; width: 40px; margin: 10px auto; text-align: center;">33</div> <p>Previous periods: -3 -2 -1</p> <div style="display: flex; justify-content: space-around;"> <div style="border: 1px solid black; width: 30px; height: 30px;"></div> <div style="border: 1px solid black; width: 30px; height: 30px;"></div> <div style="border: 1px solid black; width: 30px; height: 30px;"></div> </div>													
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EDS																													
37	EDS – YES Project	Risk of project not being implemented in full by preferred developer due to lack of attractiveness of the scheme to investors, with consequential loss of income.	A M B E R <div style="border: 1px solid black; padding: 2px; width: 30px; margin: 0 auto;">48</div>	Karl Battersby	<p>Signed Development Agreement with Oak Holdings in November 08.</p> <p>Planning application for renewal of the permission submitted Jan 2010.</p> <p>Action plan obstacles are up to date</p> <p>May 2010 Planning application to Planning Board, which is disposed to grant approval. The application is now with the Government for a decision.</p> <p>Transfer of Rother Valley management to Oak Holdings for 7 years from May 2009 to improve chances of a positive outcome.</p>	A M B E R <div style="border: 1px solid black; padding: 2px; width: 30px; margin: 0 auto;">36</div>																							
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38	Safeguarding Adults/Physical Disability	Adverse inspection outcomes.	R E D <div style="border: 1px solid black; padding: 2px; width: 30px; margin: 0 auto;">64</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="border: 1px solid black; width: 20px; height: 20px; background-color: red;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; background-color: red;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; background-color: red;"></div> </div>	Shona McFarlane	<p>The inspections were completed in July 2009 and the reports published on the 23rd September 2009. The ratings were 'performing well' for safeguarding and choice and control and 'performing adequately' for quality of life. CQC have praised the Council's Sustaining Excellence Plan for improvement. CQC have reviewed progress in November 2009 and March 2010 noted the significant progress made to date.</p> <p>The Sustaining Excellence Plan was reported to Audit Committee and Cabinet in December 2009 / January 2010 respectively. The plan contained improvement actions identified by the Council and CQC during the Annual Performance Assessment process. At the end of March 2010, all 20 headline recommendations were completed or were on target. Of the remaining 26 areas for development contained within the inspection report, all (100%) were completed or were on target to achieve their target dates.</p>	A M B E R <div style="border: 1px solid black; padding: 2px; width: 30px; margin: 0 auto;">36</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="border: 1px solid black; width: 20px; height: 20px; background-color: yellow;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; background-color: green;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; background-color: yellow;"></div> </div>													
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Cross Cutting																													
43	Local Government Reform Implementation Plan	Failure to implement statutory reforms provided for in national policy and new legislation	R E D <div style="border: 1px solid black; padding: 5px; width: 30px; margin: 0 auto;">60</div>	Matt Gladstone	<p>All current statutory requirements are met.</p> <p>New Governance and requirements in relation to petitions are the most recent to be implemented.</p> <p>Many of the workstreams in the plan implemented statutory duties that are now being scrapped by the new government. Additionally, some others including the duty to promote democracy are very unlikely to commence.</p> <p>A major refresh of the implementation plan is being prepared using government announcements to date. This will then be developed as more detail of the new policy agenda becomes available including legislation expected in the autumn.</p> <p>The refreshed implementation plan will provide risk assurance into the future in the same way as it has in the past.</p>	A M B E R <div style="border: 1px solid black; padding: 5px; width: 30px; margin: 0 auto;">26</div>																							
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44	Commissioning	We risk failing to ensure that Commissioning and procurement decisions are made on the basis of a clear understanding of need and support delivery of priority outcomes.	R E D <div style="border: 1px solid black; padding: 5px; width: 30px; margin: 0 auto;">64</div>	Joyce Thacker	<p>Commissioning Directors' Group in place. Directorates are looking at information already held on need, priorities and commissioning that has already taken place. Joint review (with NHS Rotherham) of activity has commenced.</p> <p>Manager competencies have been reviewed to include commissioning & procurement.</p> <p>Further review being carried out with any new arrangements to be agreed and implemented by April 2010 (deferred until July 2010).</p> <p>The risk relating to the commissioning of some Children's Services increased due to a halt on some contracts as a result of £2.1m reduction in Area Based Grant. All contracts will be reviewed to ensure exit strategies are up to date and applied where appropriate. Position adversely affects chances of achieving commissioning objectives.</p>	R E D <div style="border: 1px solid black; padding: 5px; width: 30px; margin: 0 auto;">60</div>																
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45	2010 Finance & Service Performance	Adverse impact on Housing Revenue Account balance sheet.	R E D	David Richmond	<p>With Council support, 2010 developed a detailed plan to improve financial performance.</p> <p>Managers have undergone a Management Leadership Development Programme which will equip them with leading edge management techniques. This will enhance the ALMO's capacity to deliver further improvements.</p> <p>All members of the Board are now much clearer about the implications of the financial information presented to them, as reports include a narrative explanation of variations to the budget along with recommended remedial actions.</p> <p>The repairs and maintenance externalisation process has involved tenants in assessing potential contractors. The process is on schedule to identify preferred contractors by the end of June, to start in October.</p>	A M B E R												
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46	In House Service Provider	Continual financial deficit and regulatory risks as it has been continually flagged up by the Audit Commission.	R E D <div style="border: 1px solid black; padding: 2px; width: 30px; margin: 0 auto;">52</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="width: 20px; height: 20px; background-color: yellow; border: 1px solid black;"></div> <div style="width: 20px; height: 20px; background-color: yellow; border: 1px solid black;"></div> <div style="width: 20px; height: 20px; background-color: red; border: 1px solid black;"></div> </div>	David Richmond	<p>2010 Rotherham Ltd is managing the project with the Council's Landlord Officer and reporting to Board and Cabinet Member.</p> <p>Repairs & Maintenance Procurement Process and Timescales in place with mobilisation expected by late 2010' 6 bidders interested for 2 contracts, including the In House Provider.</p> <p>In order to offset potential restructuring costs it has been indicated to bidders that there may be an opportunity to allocate some housing capital works to increase contract values. The procurement is on target for delivery in late 2010.</p>	A M B E R <div style="border: 1px solid black; padding: 2px; width: 30px; margin: 0 auto;">40</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="width: 20px; height: 20px; background-color: yellow; border: 1px solid black;"></div> <div style="width: 20px; height: 20px; background-color: yellow; border: 1px solid black;"></div> <div style="width: 20px; height: 20px; background-color: yellow; border: 1px solid black;"></div> </div>

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47	Narrowing the gap in neighbourhoods	Failure to identify resources for narrowing the gap in neighbourhoods. Not learning lessons of Chesterhill.	A M B E R <div style="border: 1px solid black; width: 30px; height: 30px; margin: 0 auto; text-align: center;">48</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="border: 1px solid black; width: 25px; height: 25px;"></div> <div style="border: 1px solid black; width: 25px; height: 25px;"></div> <div style="border: 1px solid black; width: 25px; height: 25px;"></div> </div>	David Richmond	<p>Chesterhill evaluated and reflected well within CAA. £700k identified to resource 3 additional areas which will benefit from intensive neighbourhood management.</p> <p>The Strategic Leadership Team has agreed a specific corporate role for Neighbourhoods and Adult Services to develop a clear process for tackling Place Survey deficits at a neighbourhood level. Reports have been prepared and consultation is underway with Area Chairs to ensure plans are established to tackle the place survey issues. Work has commenced in the 3 identified areas of Canklow, Ferham and East Herringthorpe.</p>	A M B E R <div style="border: 1px solid black; width: 30px; height: 30px; margin: 0 auto; text-align: center;">36</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="border: 1px solid black; width: 25px; height: 25px;"></div> <div style="border: 1px solid black; width: 25px; height: 25px;"></div> <div style="border: 1px solid black; width: 25px; height: 25px;"></div> </div>
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51	Carbon Reduction Commitment	Risk of non compliance with Carbon Reduction Order due to inaccurate projections of consumption and inadequate funding.	A M B E R <div style="border: 1px solid black; width: 30px; height: 30px; margin: 0 auto; text-align: center;">48</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="border: 1px solid black; width: 25px; height: 25px;"></div> <div style="border: 1px solid black; width: 25px; height: 25px;"></div> <div style="border: 1px solid black; width: 25px; height: 25px;"></div> </div>	Andrew Bedford	<p>Strategic Director of Finance nominated as RMBC Carbon Reduction Commitment (CRC) Legal Representative. Finance Officer nominated to take on responsibility for carbon trading and reporting.</p> <p>Carbon Reduction Fund to be set up. Energy Efficiency Policy to be developed. CRC baseline to be determined. Training course being organised.</p>	A M B E R <div style="border: 1px solid black; width: 30px; height: 30px; margin: 0 auto; text-align: center;">30</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="border: 1px solid black; width: 25px; height: 25px;"></div> <div style="border: 1px solid black; width: 25px; height: 25px;"></div> <div style="border: 1px solid black; width: 25px; height: 25px;"></div> </div>

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52	Local Area Agreement 08-11	Risk that the Local Area Agreement targets are not met.	A M B E R <div style="border: 1px solid black; width: 30px; margin: 0 auto; text-align: center;">44</div> Previous periods: -3 -2 -1 <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Matt Gladstone	<p>Quarterly performance reporting to the Strategic Leadership Team, Cabinet and PSOC. Improvement plans in place and managed by the Local Strategic Partnership Theme Boards with support from the LSP's Chief Executives' Group (CEOG). Performance Clinics are available as and when required. Quarterly performance reports for the remaining period of the LAA will be taken to LSP CEOG and LSP Board</p> <p>Systems are in place to monitor and produce improvement plans. These have been discussed and implemented through the theme boards. The LAA was successfully renegotiated and has ministerial approval and sign off in March 2010.</p> <p>Economic targets were reduced and refreshed. however, due to the uncertainty around the economy there is a risk that these targets won't be met. Confirmation has been received from CLG that there will be no LAA reward grant for the 08-11 LAA.</p>	A M B E R <div style="border: 1px solid black; width: 30px; margin: 0 auto; text-align: center;">28</div> Previous periods: -3 -2 -1 <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

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53	EDRMS - Failure to implement EDRMS effectively across the Council.	Risk to Accommodation Strategy and WorkSmart Programme and unable to realise savings.	A M B E R <div style="border: 1px solid black; width: 30px; margin: 0 auto; text-align: center;">33</div>	Andrew Bedford	<p>First phase of the project successfully completed including full information audit and production of a draft file plan.</p> <p>Document and Records Management Steering Group established to drive the project forwards.</p> <p>Draft project plan produced setting out the roll out plan for DRM across all Directorates in the run up to the opening of the new building.</p> <p>First phase of the project successfully completed. All Directorates engaged in the programme.</p> <p>Final plan and resource requirement to be approved by SLT in July.</p>	G R E E N <div style="border: 1px solid black; width: 30px; margin: 0 auto; text-align: center;">16</div>																							
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55	Maximising the value from the renegotiated RBT contract	Failure to fully realise the benefits of the strategic partnership with BT.	A M B E R <div style="border: 1px solid black; width: 30px; margin: 0 auto; text-align: center;">36</div>	Andrew Bedford	<p>Strong partnership governance arrangements and strengthened client arrangements in place.</p> <p>Further development of benchmarking to ensure value for money.</p> <p>Developing Joint Forward Plan.</p> <p>Exploring synergies with other BT sites.</p>	G R E E N <div style="border: 1px solid black; width: 30px; margin: 0 auto; text-align: center;">24</div>																							
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58	Response to DFE notice to improve	<p>Future intervention from OFSTED/DFE.</p> <p>Children exposed to inadequately managed risk.</p> <p>Council exposed to financial and reputational risks.</p> <p>Impact on future inspection outcomes.</p>	R E D <div style="border: 1px solid black; padding: 2px; width: 30px; margin: 0 auto;">72</div>	Joyce Thacker	<p>Compliance with requirements of Children's Act. Ensuring that targets for attainment are achieved.</p> <p>Increase in carers by March 2010 as a result of investment in 2009/10. Analysis of need being undertaken to inform more targeted recruitment in new campaign 2010.</p> <p>Multi-agency child protection procedures are fully implemented and embedded.</p> <p>Continue service improvement and school attainment. Improvement plan is monitored fortnightly internally and monthly by DFE. Monitoring milestones meeting confirmed that Ministers felt progress was satisfactory.</p> <p>Some of the work related to the Notice to Improve is mainstream. However, a significant proportion is reliant upon additional resources, which could be lost as a result of the withdrawal of grant funding.</p>	R E D <div style="border: 1px solid black; padding: 2px; width: 30px; margin: 0 auto;">64</div>																								
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59	CYPS Resources	Insufficient and Ineffective use of resources to meet statutory and moral obligations due to focus on high priority services.	R E D <div style="border: 1px solid black; padding: 5px; width: 40px; margin: 0 auto;">80</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="width: 20px; height: 20px; background-color: white; border: 1px solid black;"></div> <div style="width: 20px; height: 20px; background-color: white; border: 1px solid black;"></div> <div style="width: 20px; height: 20px; background-color: yellow; border: 1px solid black;"></div> </div>	Joyce Thacker	<p>Additional funding made into the service in 2010/11 and plans are being implemented to improve the use of existing resources.</p> <p>A review of partnership arrangements and contributions is being undertaken.</p> <p>Regular monitoring and reporting of risks and progress to cabinet, Directorate Leadership Team and Scrutiny Panel.</p> <p>Savings work programme being implemented in key areas where savings have either already been assumed in budget setting or need to be delivered.</p> <p>All high spend areas are under review but these are mainly volatile and related to children in care.</p> <p>Due to high proportion of grant funding in CYPS we are examining all non statutory services to determine the need to continue.</p> <p>Risk is increasing as grant funding starts to be withdrawn ahead of scheduled date.</p>	R E D <div style="border: 1px solid black; padding: 5px; width: 40px; margin: 0 auto;">64</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="width: 20px; height: 20px; background-color: white; border: 1px solid black;"></div> <div style="width: 20px; height: 20px; background-color: white; border: 1px solid black;"></div> <div style="width: 20px; height: 20px; background-color: yellow; border: 1px solid black;"></div> </div>													
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Ref	Risk Area	Current Risk	Current Risk Assessment	Lead Officer	Mitigating Controls & Current Position	After Man't Control														
CYPS																				
60	<p>'Machinery of Government' – the transfer of services to the local authority, including funding and regulation of 6th form colleges, 16-19 funding and delivery of some young people's learning services</p> <table border="1" data-bbox="210 810 544 906"> <tr> <td>L</td> <td>Ac</td> <td>Al</td> <td>S</td> <td>P</td> <td>SD</td> <td>F</td> </tr> <tr> <td>√</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </table>	L	Ac	Al	S	P	SD	F	√							<p>Inadequate infrastructure and lack of clarity creates a lack of capacity to deliver key responsibilities.</p> <p>This could lead to failure to undertake critical tasks and impact on planning to put in place commissioning and allocation processes.</p>	<p>R E D</p> <div style="border: 1px solid black; width: 40px; margin: 0 auto; text-align: center;">64</div> <p>Previous periods: -3 -2 -1</p> <div style="display: flex; justify-content: space-around;"> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> </div>	Joyce Thacker	<p>Expert groups established sub regionally with clearly defined remits. Attendance at meeting by officers is essential.</p> <p>Production of a sub regional action plan for 2010/11 by July 2010. Participation within sub regional planning group (monitor and develop action plan) monthly.</p> <p>Report to Directors of Children's Services every term on progress and action required by individual Authorities. Attendance at change group meetings with other directorates as required.</p> <p>Weekly meetings with the Young People's Learning Agency re critical developments.</p> <p>Transfer and integration of staff from the Learning and Skills Council to resolve.</p> <p>Quarterly contract performance management and skills funding agency reporting set up.</p> <p>Change management reporting to Directorate Leadership Team and Cabinet as required.</p>	<p>A M B E R</p> <div style="border: 1px solid black; width: 40px; margin: 0 auto; text-align: center;">33</div> <p>Previous periods: -3 -2 -1</p> <div style="display: flex; justify-content: space-around;"> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> </div>
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61	Community Stadium	<p>Failure by Rotherham UFC to secure funding to build a stadium, resulting in a lack of a crucial community facility. The site will not be purchased if the lease is not acceptable to the club.</p> <p>No provision has been made in the Council's MTFS for the payback of the bond, should the football club fail to move back into Rotherham.</p> <p>Reputation damage.</p>	<p style="text-align: center;">A M B E R</p> <p style="text-align: center;">39</p> <p>Previous periods: -3 -2 -1</p> <p style="text-align: center;">□ □ □</p>	Karl Battersby	<p>The Council and the land owner are close to finalising the conditions of land acquisition. If the build subsequently falls through, the land ownership would revert to RMBC.</p> <p>RMBC would then be liable for the listed building and would need to identify funding for maintenance, restoration and security etc.-</p>	<p style="text-align: center;">G R E E N</p> <p style="text-align: center;">16</p> <p>Previous periods: -3 -2 -1</p> <p style="text-align: center;">□ □ □</p>														
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62	Civic Centre - WorkSmart Project	<p>Parts of the new building are not taken up. The existing estate remains partly occupied.</p> <p>Incomplete adoption of WorkSmart practices.</p>	<p style="text-align: center;">A M B E R</p> <p style="text-align: center;">38</p> <p>Previous periods: -3 -2 -1</p> <p style="text-align: center;">□ □ □</p>	Karl Battersby	<p>Effective leadership and adoption by departments of WorkSmart.</p> <p>Effective project management-contractual and logistical tasks re: detail programmes.</p> <p>Continuation of Chief Executive led steering group and hence sponsorship also governance.</p>	<p style="text-align: center;">G R E E N</p> <p style="text-align: center;">16</p> <p>Previous periods: -3 -2 -1</p> <p style="text-align: center;">□ □ □</p>														
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Ref	Risk Area	Current Risk	Current Risk Assessment	Lead Officer	Mitigating Controls & Current Position	After Man't Control													
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63	Cultural Quarter	<p>Cultural Quarter affordability.</p> <p>Forge Island option is unaffordable before 2015, requiring a temporary solution at least until that time. Otherwise the deal cannot proceed.</p>	<p style="text-align: center;">R E D</p> <p style="text-align: center;">64</p> <p>Previous periods: -3 -2 -1</p> <p style="text-align: center;">□ □ □</p>	Karl Battersby	<p>Cost and plan a medium term solution utilizing Bailey House to receive displaced services e.g. library, regimental museum, archives and storage</p> <p>A number of options have been explored, and Cabinet will be considering a report on these on 21 July.</p>	<p style="text-align: center;">R E D</p> <p style="text-align: center;">60</p> <p>Previous periods: -3 -2 -1</p> <p style="text-align: center;">□ □ □</p>													
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64	Managing budget adjustments	<p>Failure to deliver relevant services and achieve substantial budget reductions.</p> <p>Change management relating to the service adjustments necessary.</p>	<p style="text-align: center;">R E D</p> <p style="text-align: center;">64</p> <p>Previous periods: -3 -2 -1</p> <p style="text-align: center;">□ □ □</p>	Andrew Bedford	<p>Given highest priority through the Strategic Leadership Team and Cabinet having an ongoing focus on Government announcements made and by considering future options for services.</p> <p>Additional actions to mitigate the impact of budget reductions are being identified and implemented.</p>	<p style="text-align: center;">A M B E R</p> <p style="text-align: center;">33</p> <p>Previous periods: -3 -2 -1</p> <p style="text-align: center;">□ □ □</p>													
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ROTHERHAM BOROUGH COUNCIL – REPORT TO MEMBERS
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1.	Meeting:	Cabinet
2.	Date:	21st July, 2010
3.	Title:	Proposed Changes to Planning Board
4.	Programme Area:	Environment and Development Service

5. Summary

Proposed adoption of Development Management approach to the Planning Service and the implications for Planning Board.

Recommendation:

That Cabinet approves

- i) The implementation of Development Management.
- ii) A refresh of the Council's Probity in Planning: Code of Practice.
- iii) The reduction of Planning Board to 2 Members per Area Assembly.
- iv) An enhanced Planning Board Member Training Programme, developed in conjunction with the Member's Training and Development Panel.

7. Proposals and Details

Introduction to Development Management

Development Management is the title being introduced nationally for Development Control. The principle behind the change is to further modernise the Planning Service and to make sure that we are offering a problem-solving approach to planning in addition to more familiar development control activities.

In order to fulfil this role we need to further develop our abilities to:

- facilitate development opportunities
- influence development proposals to achieve quality outcomes and
- solve problems to deliver sustainable development

Achieving our objectives for development management will require the Planning Service to be more proactive and delivery focused, whilst being better aligned with other strategic functions, including plan-making. We have already adopted aspects of development management in our planning services through, for example, a significant increase in pre-application discussions but this can be developed further.

Role of Planning Board Members

As part of development management, Planning Board Members are encouraged to fulfil their roles as local authority representatives and civic leaders in the planning system and this includes involvement in the pre-application phase of development.

Pre-application involvement

Councils who have introduced pre application engagement for Planning Board Members have found that:

- A clear member protocol is essential.
- Comprehensive training is required to ensure that Board Members are better informed and able to raise issues at a formative stage.

Department of Communities and Local Government (DCLG) guidance suggests that to help with this role, it is clear that Members will need to fully understand the spatial planning system and the need to make decisions based on impacts and outcomes rather than prescriptive rules.

Their draft PPS (Development management: Proactive planning from pre-application to delivery) states that:

“Development management is a positive and proactive approach to shaping, considering, determining and delivering development proposals..... and supports the delivery of key priorities and outcomes.

Part of this process requires early engagement of members in major proposals, which allows councillors to fulfil both their strategic leadership and community champion roles, and for all local issues to be identified and considered before an application is submitted.”

In further developing the role as strategic leaders for the authority Board members would move away from their traditional roles as “ward councillors” and as a Board take a strategic view relating to the key priorities of the Council.

There is evidence from Planning Advisory Service research that a traditional, large Planning Board tends to be less separated from its constituency role, has a greater tendency to depart from planning policy and members do not feel that they have a special role in determining applications for the wider Council.

Conversely members of a smaller Board are much more likely to take impartial decisions based on material planning considerations being more streamlined with a more strategic focus.

Rotherham’s Planning Board was initially established to be made up of representatives from each ward and therefore consideration has been given to moving away from this arrangement in order to facilitate these aims.

Consultation with Planning Board

Planning Board raised comments relating to the number of Board Members. Currently Board is made up of 21 members but not all regularly attend. The reduction in the number of members was considered manageable and therefore supported.

It was suggested that a board made up of 14 members (2 from each Area Assembly Area) could be a workable number with the potential for a substitute for each Area Assembly to be available if necessary.

There was a general feeling that the profile of planning should be raised and commitment to attending Board and training events discussed and agreed with members of a scaled down Board.

It was considered by Board members that a single Board made up of members with good access to training who are committed to regularly attending the meetings once every third week and moving away from ward representation would ensure consistency in decision making.

Training

It is recognised that planning can be a complex area for elected members. Planning decisions are constrained by the need to operate within a legal and policy framework.

In addition the planning system is constantly changing, no more so than during the last couple of years, and again with the legislative changes already being brought in by the new coalition government.

Currently training is ad hoc and other than the compulsory introductory training, not all Board members regularly attend training sessions, making it difficult to ensure that consistent information is provided.

A smaller Board, a core group of members who have the opportunity to undertake further training and development in order that they are in an informed position, in relation to relevant issues and material planning considerations would assist to achieve the aims of Development Management.

This could be achieved by building on the existing Member's Development Charter and making a number of internal training sessions available at times where the maximum number of Members can attend.

Conclusion

The aim is to build a good, strong working relationship with a smaller core of members. This, together with involvement at a pre-application stage, would provide an enhanced service for developers and assist with the Council's regeneration priorities e.g. focusing development within the town centre.

Government advice relating to development management and in particular the members role in this process and relevant training requirements can be found in the document *"Probity in Planning: the role of councillors and officers – revised guidance note on good planning practice for councillors and officers dealing with planning matters; Local Government Association; May 2009."*

The guidance recommends that:

- Consideration should be given to an enhanced training programme and a core group of members who will be fully involved in the further development of the Planning Service and its move towards development management – and the implications for members (i.e. Pre-application involvement)
- Consideration should be given to changing the structure of Planning Board in the future and reducing the number of members by moving away from ward representation as the basis for membership
- Review of the Model Member's Planning Code of Good Practice

The benefits of implementation can be summarised as:

- reducing uncertainty for developers - and would therefore support the aim of Rotherham to be **"a good place to do business"**

More focussed meetings where comments are restricted to material planning considerations and fully justified decision making.

8. Finance

There are no financial implications.

9. Risks and Uncertainties

The proposal would reduce risks and uncertainty in the planning application process.

10. Policy and Performance Agenda Implications

The proposal would contribute to the Council's performance figures relating to the determination of planning applications.

11. Background Papers and Consultation

Draft PPS - Development management: Proactive planning from pre-application to delivery

Planning Advisory Service guidance: Approaches to the role of councillors in development management

The proposal was discussed at Planning Board on 1st July 2010 where there was general support for the proposal, the specific comments made have been incorporated within the report.

Contact Name : Bronwen Peace
Planning Manager
Planning and Regeneration Service

Contact details 01709 823866
bronwen.peacerotherham.gov.uk

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