

PERFORMANCE AND SCRUTINY OVERVIEW COMMITTEE

Venue: Town Hall,
Moorgate Street,
Rotherham. S60 2TH

Date: Friday, 25th February 2011

Time: 9.30 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.

For Discussion/Decision:-

6. Corporate Risk Register (report herewith) (Pages 1 - 26)
7. Payment of Invoices within Thirty Days - Former BVPI 8 (report herewith) (Pages 27 - 29)
8. Procurement Local Performance Indicators (report herewith) (Pages 30 - 36)
9. Procurement Strategy Action Plan Review (report herewith) (Pages 37 - 54)
10. RBT Performance Report Quarter 3 (herewith) (Pages 55 - 71)
11. Healthy Lives, Healthy People: Public Health White Paper - Consultation (report herewith) (Pages 72 - 88)
12. Government Consultations (report herewith) (Pages 89 - 92)

For Information/Monitoring:-

13. Minutes of the previous meeting held on 11th February, 2011 (herewith) (Pages 93 - 95)
14. Work in Progress (Chairs of Scrutiny Panels to report)
15. Call-in Issues - to consider any issues referred for call-in.

1.	Meeting:	Performance and Scrutiny Overview Committee
2.	Date:	25 th February 2011
3.	Title:	Corporate Risk Register
4.	Directorate:	Financial 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.

There are 4 red residual risks, relating to delivery of the Children’s Plan, Use of Resources for Children’s Services, Social Care Commissioning and achievement of the Cultural Quarter aspirations. This has reduced from 6 residual red risks in the previous quarter’s report, as positive progress relating to Children’s Services (intervention) and capital investment in schools has improved risks in these areas from red to amber.

This version of the corporate risk register was reported to the Strategic Leadership Team and Audit Committee in mid-January and does not reflect the letter sent to the Council on 13 January from the Minister confirming our Children’s Services were no longer in intervention. This development will be fully reflected in the next update of the risk register.

6. Recommendations

Performance, Scrutiny and Overview Committee is asked to:

- **note the updated corporate risk register summary attached at Appendix A**
- **indicate any further risks that the Committee 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 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**.

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 specific current risk scores and after mitigating actions, as well as the general risk category for each priority or project included in the register.

It should be noted that the authority is now using new Risk Management software known as JCAD Risk. The risk score for each risk is rated on a scale of 1 to 25 under the JCAD system, compared with 1 to 100 under the previous RISgen system. The report reflects risk scores held in the new system.

7.2 Changes since previous report.

Four priorities / projects have been removed from the corporate risk register:

- The YES project partnership with Oak Holdings has been removed following Cabinet's decision on 15th December 2010 to let the development agreement elapse.
- The former risk relating to 'Machinery of Government' proposals for the transfer of some additional Children's services to the local authority has been moved from the corporate risk register to the CYPs directorate register, following the re-direction of some responsibilities to the Young People's Learning Agency.
- The risk relating to the 2010 Rotherham Ltd In-House Service Provider has been removed from the corporate risk register following the commencement of new contracts for the delivery of the repairs and maintenance services.
- The risk relating to Local Area Agreement 2008-11 has been removed from the register as local area agreements have been abolished.

Other significant changes in this period include:

- The risk rating relating to the Schools' Capital Investment (Corporate Risk Register Reference 003 - formerly Building Schools for the Future) has been reduced from Red to Amber as some details relating to funding are becoming clearer.
- The residual risk relating to Children's Services intervention has been reduced from red to amber following positive progress (Ref 21).

- A new risk is added (Ref 28) to the register to recognise the potential impact of schools moving to academy status, the consequential reduction in local authority funding and the loss of the schools as community assets.
- There are four red residual risks, relating to Children’s Services (Ref. numbers 007 – Delivery of the Children’s Plan and 022 – Resources), Commissioning (Ref. 013) and achievement of the Cultural Quarter aspirations (Ref. 026).

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 and projects before risk management actions.

Probability:
Will it
Happen?

Almost certain			04 Cost of Capital Programme(20) 14 2010 Finance and Service Performance (20) 27 Managing Budget Adjustments (20)	07 Delivery of Children’s & Young Peoples Plan (25) 13 Commissioning (25) 21 Response to DFE notice to improve (25) 22 Resources (25)
Very Likely		01 Civic Building Accommodation (12) 05 Single Status (12) 18 EDRMS (12)	03 Schools Capital investment(16) 09 Implementation of Personalisation in Adult Social Services (16) 12 Local authority reform implementation Plan (16) 26 Cultural Quarter (16) 28 Academy Schools (16)	
Likely		02 Waste Management Strategy (9) 17 Carbon Reduction Commitment (9) 19 Relationship with RBT (9) 24 Community Stadium (9) 25 Civic Centre- Work Smart Project (9)		
Possible			08 ALMO Decent Homes(8)	
Unlikely				

Insignificant Minor Significant Major Catastrophic

Impact: Will it Hurt?

Note on the diagram entries
E.G. “ 04 Cost of Capital Programme (20)”. The first number, in this case 04, 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 (20), 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?**

Almost certain				
Very Likely		04 Cost of Capital Programme(12) 14 2010 Finance and Service Performance (12) 21 Response to DFE notice to improve (12) 27 Managing Budget Adjustments (12) 28 Academy Schools (12)	07 Delivery of Children’s & Young Peoples Plan (16) 13 Commissioning (16) 22 CYPS Resources (16) 26 Cultural Quarter (16)	
		03 Schools Capital Investment (9)		
	25 Civic Centre- Work Smart Project (4)	02 Waste Management Strategy (9) 05 Single Status (6) 17 Carbon Reduction Commitment (6) 24 Community Stadium (6)	09 Implementation of Personalisation in Adult Social Services (8) 12 Local authority reform implementation Plan (8)	
Likely	01 Civic Building Accommodation (2)	08 ALMO Decent Homes(3) 18 EDRMS (3) 19 Relationship with RBT (3)		

Insignificant Minor Significant Major Catastrophic

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	12		Red	4
Amber	9		Amber	8
			Green	NIL
			Amber	4
			Green	5

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	20.0	12.4	7.6
Amber	9.6	4.3	5.3

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 Agency 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

A Corporate Risk Register Summary

APPENDIX A: CORPORATE RISK REGISTER SUMMARY

Explanatory Note:

For the purposes of illustration, Risk Reference 12: ‘Local Government Reform Implementation Plan’ from the corporate risk register is extracted below:

Ref	Risk Area	Current Risk	Pre - Mitigation Risk Assessment	Lead Officer	Mitigating Controls & Current Position	After Man’t Control																							
Cross Cutting																													
0012	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; width: 30px; margin: 0 auto; text-align: center;">16</div>	Matt Gladstone	<p>All current statutory requirements are met.</p> <p>The implementation plan has been completely refreshed to provide workstreams covering coalition government commitments that are relevant to the Council. This is broader than the previous plan, which primarily covered governance issues.</p> <p>The previous version of the plan is being retained to cover commencement issues. These now primarily relate to e-petitions and byelaws.</p>	A M B E R <div style="border: 1px solid black; width: 30px; margin: 0 auto; text-align: center;">8</div>																							
	<table border="1" style="width: 100%; text-align: center; font-size: small;"> <tr> <td style="background-color: yellow;">L</td> <td style="background-color: blue;">Ac</td> <td style="background-color: blue;">Al</td> <td style="background-color: green;">S</td> <td style="background-color: red;">P</td> <td style="background-color: orange;">SD</td> <td style="background-color: grey;">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>Previous periods:</p> <table style="width: 100%; text-align: center; font-size: x-small;"> <tr> <td>-3</td> <td>-2</td> <td>-1</td> </tr> <tr> <td style="border: 1px solid red; width: 20px; height: 20px;"></td> <td style="border: 1px solid red; width: 20px; height: 20px;"></td> <td style="border: 1px solid red; width: 20px; height: 20px;"></td> </tr> </table>	-3	-2	-1				<p>Previous periods:</p> <table style="width: 100%; text-align: center; font-size: x-small;"> <tr> <td>-3</td> <td>-2</td> <td>-1</td> </tr> <tr> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> </tr> </table>	-3	-2	-1			
L	Ac	Al	S	P	SD	F																							
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-3	-2	-1																											
-3	-2	-1																											

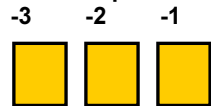
There are 3 overall categories of risk (RED, AMBER, GREEN), representing varying degrees of exposure. Each category contains a range of risk scores, so there are varying degrees of risk within each category. Scores have now been added to the register entries to show the specific risk assessments pre (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	16 to 25	High level of risk, requiring close and regular review and further preventive or remedial action as necessary
Amber	5 to 15	Medium level of risk, requiring regular monitoring and, in the event of any identified increase in risk, escalation for consideration of further actions.
Green	1 to 4	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	Pre - Mitigation Risk Assessment	Lead Officer	Mitigating Controls & Current Position	After Man't Control													
Major Projects																			
0001	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; font-size: 2em; font-weight: bold;">A M B E R</p> <div style="border: 1px solid black; width: 30px; margin: 0 auto; text-align: center; padding: 2px;">12</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>	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>Building progressing on time, no issues to report; fit out contract was entered into on 15th December 2010.</p> <p>Still expect to start to move into the new building in late 2011.</p>	<p style="text-align: center; font-size: 2em; font-weight: bold;">G R E E N</p> <div style="border: 1px solid black; width: 30px; margin: 0 auto; text-align: center; padding: 2px;">2</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>													
	<table border="1" style="width: 100%; text-align: center; font-size: 0.8em;"> <tr> <td style="background-color: yellow;">L</td> <td style="background-color: #ccccff;">Ac</td> <td style="background-color: #ccccff;">Al</td> <td style="background-color: #ccffcc;">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>√</td> <td>√</td> <td>√</td> <td>√</td> <td>√</td> <td>√</td> <td>√</td> </tr> </table>	L	Ac	Al	S	P	SD	F	√	√	√	√	√	√	√				
L	Ac	Al	S	P	SD	F													
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Ref	Risk Area	Current Risk	Pre - Mitigation Risk Assessment	Lead Officer	Mitigating Controls & Current Position	After Man't Control														
Major Projects																				
0002	<p>Delivery of the Waste Management strategy. Failure could involve significant penalties.</p> <p>Needs:</p> <ol style="list-style-type: none"> 1 Disposal facilities to be agreed with other authorities 2 Med term contracts 2008-2014/2015 3 Long term contract 2014 2015 onwards <p>Two treatment solutions are currently being considered, "energy from waste" and "mechanical biological treatment". Both treatment solutions will assist the Council in delivering a 50% recycling rate.</p> <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				√	√	√		<p>Potential significant financial penalties</p> <p>Adverse inspection assessment</p> <p>Failure to apply appropriate governance arrangements:</p> <ul style="list-style-type: none"> - procurement - risk transfer - affordability - deliverability - structures and controls <p>Failure to meet targets relating to the diversion of biodegradable municipal waste from landfill.</p>	<p>A M B E R</p> <div style="border: 1px solid black; width: 30px; height: 30px; margin: 0 auto; text-align: center; line-height: 30px;">9</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>	Karl Battersby	<p>BDR Waste Partnership has secured £74.4m in PFI credits. DEFRA has confirmed continuing support.</p> <p>PFI</p> <p>There is a detailed project plan in place with clear milestones; it allows for completion of the procurement by 31st March 2011, a date which is tight but achievable. Failure to hit that deadline puts the award of PFI credits at risk.</p> <p>Final Tender documents were issued to 2 bid consortia in December 2010</p> <p>Although the timetable has slipped due to closing off dialogue with bidders, the project is continuing to be supported by DEFRA to deliver a long term waste solution for the BDR Councils.</p> <p>The BDR Waste Partnership is seeking to obtain financial close on the Project in Summer 2011.</p>	<p>A M B E R</p> <div style="border: 1px solid black; width: 30px; height: 30px; margin: 0 auto; text-align: center; line-height: 30px;">6</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>
L	Ac	AI	S	P	SD	F														
			√	√	√															

Ref	Risk Area	Current Risk	Pre –Mitig'n Risk Assessment	Lead Officer	Mitigating Controls & Current Position	After Man't Control														
Major Projects																				
0003	Schools Capital Investment <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	√	√	√	√	√	√		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; width: 40px; margin: 0 auto; padding: 5px;">16</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: red;"></div> <div style="width: 20px; height: 20px; background-color: red;"></div> </div>	Karl Battersby	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. Following the asset management review and transfer of officers to EDS this risk has now been transferred to EDS Asset Management Service. In addition. The DfE decision on funding for schools has ensured that we can now allocate resources appropriately. As a result, the post mitigation RAG rating has been reduced to Amber.	A M B E R <div style="border: 1px solid black; width: 40px; margin: 0 auto; padding: 5px;">9</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: red;"></div> <div style="width: 20px; height: 20px; background-color: red;"></div> </div>
L	Ac	AI	S	P	SD	F														
√	√	√	√	√	√															
Major Projects																				
0004	Costs of the capital programme. Significant revenue consequences (£11m per year). <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	√	√	√	√	√	√	√	Significant financial impact and/or failure to deliver the capital programme.	R E D <div style="border: 1px solid black; width: 40px; margin: 0 auto; padding: 5px;">20</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; width: 40px; margin: 0 auto; padding: 5px;">12</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>
L	Ac	AI	S	P	SD	F														
√	√	√	√	√	√	√														

Ref	Risk Area	Current Risk	Pre –Mitig'n Risk Assessment	Lead Officer	Mitigating Controls & Current Position	After Man't Control
Cross Cutting						
0005	Impact of single status job evaluation.	Lengthy timescales, causing uncertainty and possible unrest unless resolved quickly. <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; width: 30px; margin: 0 auto; text-align: center;">12</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>	Phil Howe	<p>Phase 2 implemented successfully on 1/04/08. Through the effective implementation process RMBC has successfully avoided major industrial unrest.</p> <p>Barrister commissioned to help defend Equal Pay challenges. Reasonable conclusion on No Win No Fee and Trade Union solicitors' cases. There are two low value unresolved claims from the no win no fee solicitor.</p> <p>The memo of understanding with the trade unions has now been signed and individual offers of settlement were passed to the trade unions' solicitors. Thirty eight new claims from Trade Union Members have been received. No offers have been made to these new claimants.</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; width: 30px; margin: 0 auto; text-align: center;">6</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>

L	Ac	AI	S	P	SD	F
				√		√

Ref	Risk Area	Current Risk	Pre –Mitig'n Risk Assessment	Lead Officer	Mitigating Controls & Current Position	After Man't Control
CYPS						
0007	<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> <p>25</p> <p>Previous periods: -3 -2 -1</p> <p> </p>	Joyce Thacker	<p>Overall Annual Performance Assessment judgement is 2. 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. Dep't For Education (DFE) issued notice to improve and the improvement plan is monitored fortnightly internally and monthly by DFE.</p> <p>Risk is increasing due to reduced funding. '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 22). Assessment of impact of Government settlement will be completed by end of Jan. 2011. CYPS DLT is reviewing priorities for expenditure within these more restrictive parameters.</p>	<p>R E D</p> <p>16</p> <p>Previous periods: -3 -2 -1</p> <p> </p>

L	Ac	AI	S	P	SD	F
√	√	√	√	√	√	√

Ref	Risk Area	Current Risk	Pre - Mitigation Risk Assessment	Lead Officer	Mitigating Controls & Current Position	After Man't Control														
Neighbourhoods and Adult Services																				
0008	ALMO delivery of decent homes programme. <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		√	√	√	√	√	√	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: 30px; height: 30px; margin: 0 auto; text-align: center; line-height: 30px;">8</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	Work has now been carried out throughout this year to ensure that the programme was completed by the deadline date (December 2010) and that the delivery of the programme is affordable by utilising the entire available budget.[The figure for decent homes completion is 100% as at the end of December 2010 This figure includes refusals and no access properties which are deemed as decent until they become vacant. The final refusal – no access figure was 9.01%	G R E E N <div style="border: 1px solid black; width: 30px; height: 30px; margin: 0 auto; text-align: center; line-height: 30px;">3</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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0009	Adult Social Services: - Demand continues to increase and only the most vulnerable are being helped - in-house costs are higher than independent sector costs - recruitment, retention, resources	Significant adverse impact on council financial position Adverse inspection outcomes. Adverse press reaction and user / public satisfaction	R E D <div style="border: 1px solid black; width: 30px; margin: 0 auto; text-align: center;">16</div>	Chrissy Wright	<p>The 2010/11 & 11/12 budget setting process has proposals to minimise the impact of cost and demographic pressures: (1) re negotiating contracts to achieve efficiency savings, (2) transforming traditional services to provide better outcomes, (3) reviewing high cost areas (4) increasing income – bringing charges in line with other LA's, and (5) continuing shifting the balance of care to the independent sector.</p> <p>An Ageing Well Group has been established with representation from all partners. The work is progressing well, with a target April 2011 for the delivery of the Ageing Well Strategy and the implementation plan.</p> <p>An initial self assessment against the 12 criteria in DoH "Use of Resources in Adult Social Care" identifies key actions to be taken. These are in the Directorate Service Plan.</p> <p>Members have agreed to merge Re-enabling and wardens services to create a prevention/early intervention service. Merger will deliver full year savings of £1.3m and create capacity.</p>	A M B E R <div style="border: 1px solid black; width: 30px; margin: 0 auto; text-align: center;">8</div>												
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0012	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; width: 30px; margin: 0 auto; text-align: center;">16</div>	Matt Gladstone	<p>All current statutory requirements are met.</p> <p>The implementation plan has been completely refreshed to provide workstreams covering coalition government commitments that are relevant to the Council. This is broader than the previous plan, which primarily covered governance issues.</p> <p>The previous version of the plan is being retained to cover commencement issues. These now primarily relate to e-petitions and byelaws.</p>	A M B E R <div style="border: 1px solid black; width: 30px; margin: 0 auto; text-align: center;">8</div>																																		
	<table border="1" style="width: 100%; text-align: center;"> <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: #cccccc;">P</td> <td style="background-color: #ffcc99;">SD</td> <td style="background-color: #cccccc;">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	√	√	√	√	√	√	√					<table border="1" style="width: 100%; text-align: center;"> <tr> <td colspan="3">Previous periods:</td> </tr> <tr> <td>-3</td> <td>-2</td> <td>-1</td> </tr> <tr> <td style="background-color: red;">□</td> <td style="background-color: red;">□</td> <td style="background-color: red;">□</td> </tr> </table>	Previous periods:			-3	-2	-1	□	□	□		<table border="1" style="width: 100%; text-align: center;"> <tr> <td colspan="3">Previous periods:</td> </tr> <tr> <td>-3</td> <td>-2</td> <td>-1</td> </tr> <tr> <td style="background-color: yellow;">□</td> <td style="background-color: yellow;">□</td> <td style="background-color: yellow;">□</td> </tr> </table>	Previous periods:			-3	-2	-1	□	□	□
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0013	Commissioning	We continue to commission services in a traditional, unaffordable manner resulting in a failure to achieve better VFM and improved outcomes.	R E D <div style="border: 1px solid black; width: 30px; margin: 0 auto; text-align: center;">25</div>	Matt Gladstone	<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. Assistance being given from commissioning staff from NAS.</p> <p>The Council has just completed a review of policy and performance resources across the Council and this includes commissioning resources. Appointments have been made to almost all posts within the structure and the new Director will now concentrate on ensuring that commissioning priorities are agreed by SLT and resources redeployed to match those priorities.</p> <p>The Commissioning VFM review which is seeking to improve outcomes and better VFM can now be quickly progressed.</p>	R E D <div style="border: 1px solid black; width: 30px; margin: 0 auto; text-align: center;">16</div>																									
	<table border="1" style="width: 100%; text-align: center;"> <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	√	√	√	√	√	√	√		<p>Previous periods:</p> <table style="width: 100%; text-align: center;"> <tr> <td>-3</td> <td>-2</td> <td>-1</td> </tr> <tr> <td style="background-color: red; width: 20px; height: 20px;"></td> <td style="background-color: red; width: 20px; height: 20px;"></td> <td style="background-color: red; width: 20px; height: 20px;"></td> </tr> </table>	-3	-2	-1					<p>Previous periods:</p> <table style="width: 100%; text-align: center;"> <tr> <td>-3</td> <td>-2</td> <td>-1</td> </tr> <tr> <td style="background-color: yellow; width: 20px; height: 20px;"></td> <td style="background-color: red; width: 20px; height: 20px;"></td> <td style="background-color: red; width: 20px; height: 20px;"></td> </tr> </table>	-3	-2	-1			
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0014	2010 Finance & Service Performance	Adverse impact on Housing Revenue Account balance sheet.	R E D <div style="border: 1px solid black; width: 20px; margin: 5px auto; text-align: center;">20</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;"></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	<p>2010 Core costs have been reduced and are in line with projected budget.</p> <p>Costs associated with the capital programme are projected to be less than originally anticipated.</p> <p>A strategy for ongoing 2010 debts will need to be agreed.</p>	A M B E R <div style="border: 1px solid black; width: 20px; margin: 5px auto; text-align: center;">12</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;"></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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Cross Cutting						
0017	Carbon Reduction Commitment (CRC)	<p>Risk of non compliance with Carbon Reduction Order due to inadequate funding.</p> <p>The coalition government announced in the Comprehensive Spending Review that significant changes would be made to the Carbon Reduction Commitment (CRC) Energy Efficiency Scheme</p>	<p style="text-align: center;">A M B E R</p> <p style="text-align: center;">9</p> <p>Previous periods: -3 -2 -1</p> <p style="text-align: center;"> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </p>	Andrew Bedford	<p>Carbon Reduction Fund to be set up. Registration for the scheme is complete. A Carbon Reduction Officer has been appointed to assist with identifying energy reductions & engaging with staff, clients, customers and schools to encourage energy efficiency.</p> <p>Systems already in place to produce the data required for the scheme, but improvements on accuracy, property changes and reporting in process.</p> <p>Risk is lowering in terms of our ability to participate in the scheme and produce accurate data. Available finance is a risk though given our future budget challenges.</p> <p>Works with schools continue but RMBC have no control over their emissions, only influence. Work continues on reducing emissions across RMBC operational properties and Street lighting.</p>	<p style="text-align: center;">A M B E R</p> <p style="text-align: center;">6</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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0018	EDRMS - Failure to implement EDRMS effectively across the Council. <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	√	√	√	√	√	√	√	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; height: 30px; margin: 0 auto; text-align: center; line-height: 30px;">9</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100%;"> <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>	Andrew Bedford	<p>First phase of the project successfully completed including full information audit and production of a draft file plan.</p> <p>A Steering Group with representation from all Directorates and RBT has been established and is meeting monthly to drive the programme forwards. Project plan produced setting out the roll out plan for all Directorates in the run up to the opening of the civic office. Project management arrangements are being established.</p>	G R E E N <div style="border: 1px solid black; width: 30px; height: 30px; margin: 0 auto; text-align: center; line-height: 30px;">3</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100%;"> <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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0019	Maximising the value from the renegotiated RBT contract <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 fully realise the benefits of the strategic partnership with BT.	A M B E R <div style="border: 1px solid black; width: 30px; height: 30px; margin: 0 auto; text-align: center; line-height: 30px;">9</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100%;"> <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>	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; height: 30px; margin: 0 auto; text-align: center; line-height: 30px;">3</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100%;"> <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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CYPS																			
0021	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;">25</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;"></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>Service improvement and school attainment improvement plan is monitored fortnightly internally and monthly by DFE. Milestones meeting confirmed that Ministers felt progress was satisfactory.</p> <p>Fostering inspection June 2010 outcome satisfactory.</p> <p>Safeguarding and Looked After Children (LAC) inspection July 2010 outcome satisfactory. Action plans in place.</p> <p>If achievements and progress remain on trajectory against target, it is possible that Ministers will remove Notice to Improve.</p> <p>Positive meeting with DFE on 15/12/10. Representatives to feed back to Ministers for their decision.</p>	A M B E R <div style="border: 1px solid black; padding: 2px; width: 30px; margin: 0 auto;">12</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;"></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>													
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0022	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; width: 40px; margin: 0 auto; text-align: center;">25</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: red; border: 1px solid black;"></div> <div style="width: 20px; height: 20px; background-color: red; 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. Regular monitoring and reporting of risks and progress to Cabinet, Scrutiny and Directorate Leadership Team.</p> <p>A review of partnerships and contributions is being undertaken. Savings work programme being implemented in key areas where savings have either already been assumed in budget setting or need to be delivered. 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 at risk grant funding we are looking at all non statutory services to assess the need to continue. Risks continue to rise as despite removing some Looked After Children (LAC), September has seen an increase due to court order placements.</p> <p>Council financial injection in December 2010 to help for 2010/11. Risk to be reviewed in January 2011 post assessment of financial settlement and indications of CYPS budget for 2011/12.</p>	R E D <div style="border: 1px solid black; width: 40px; margin: 0 auto; text-align: center;">16</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: red; border: 1px solid black;"></div> <div style="width: 20px; height: 20px; background-color: red; border: 1px solid black;"></div> </div>

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EDS						
0024	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;">9</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 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>The purchase of the site from Evans of Leeds has been successfully negotiated, and the planning application is due to be considered by Planning Board on the 4th November.</p> <p>Outline planning permission has been granted. Guest & Chrimes site purchased by RMBC.</p> <p>Lease agreement between RMBC and RUFC to be finalised. RUFC to obtain full planning permission: RUFC to build the stadium.</p>	<p style="text-align: center;">A M B E R</p> <p style="text-align: center;">6</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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0025	Civic Centre - WorkSmart Project <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	√							Parts of the new building are not taken up. The existing estate remains partly occupied. Incomplete adoption of WorkSmart practices.	A M B E R <div style="border: 1px solid black; width: 40px; height: 30px; margin: 0 auto; text-align: center;">9</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;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> </div>	Karl Battersby	Effective leadership and adoption by departments of WorkSmart. Effective project management- contractual and logistical tasks re: detail programmes. Continuation of Chief Executive led steering group, with appropriate sponsorship and governance. WorkSmart Steering Group is being disbanded; the construction project will now report to Strategic Director, EDS and WorkSmart to the Estates Manager, EDS through Directorate Champions.	G R E E N <div style="border: 1px solid black; width: 40px; height: 30px; margin: 0 auto; text-align: center;">4</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;"></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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0026	Cultural Quarter <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	√							Cultural Quarter affordability. Forge Island option is unaffordable before 2015, requiring a temporary solution at least until that time. Otherwise the deal cannot proceed.	R E D <div style="border: 1px solid black; width: 40px; height: 30px; margin: 0 auto; text-align: center;">16</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;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> </div>	Karl Battersby	Cost and plan a solution utilising Bailey House to receive displaced services e.g. library, regimental museum, archives and storage A number of options have been explored. It was agreed on 10 August that the library would re locate to Riverside house and that we would keep the existing Civic Theatre in the medium term.	R E D <div style="border: 1px solid black; width: 40px; height: 30px; margin: 0 auto; text-align: center;">16</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;"></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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Ref	Risk Area	Current Risk	Pre - Mitigation Risk Assessment	Lead Officer	Mitigating Controls & Current Position	After Man't Control													
Cross Cutting																			
0027	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>	R E D <div style="border: 1px solid black; width: 40px; margin: 5px auto; text-align: center;">20</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>	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>	A M B E R <div style="border: 1px solid black; width: 40px; margin: 5px auto; text-align: center;">12</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>													
	<table border="1" style="width: 100%; text-align: center; border-collapse: collapse;"> <tr> <td style="background-color: yellow;">L</td> <td style="background-color: #ccccff;">Ac</td> <td style="background-color: #add8e6;">Al</td> <td style="background-color: #90ee90;">S</td> <td style="background-color: #ffcccc;">P</td> <td style="background-color: #ffcc99;">SD</td> <td style="background-color: #cccccc;">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	√										
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Ref	Risk Area	Current Risk	Pre - Mitigation Risk Assessment	Lead Officer	Mitigating Controls & Current Position	After Man't Control														
CYPS																				
0028	Academy Schools <table border="1" style="margin-top: 10px;"> <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	√							Independently funded state schools, no longer receiving budget from Local Authority. Staff, land and premises transfer to Academy trusts. Partnerships with and between schools could be undermined.	R E D <div style="border: 1px solid white; padding: 5px; width: 40px; margin: 0 auto;">16</div> Previous periods: -3 -2 -1 <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="border: 1px solid white; width: 20px; height: 20px;"></div> <div style="border: 1px solid white; width: 20px; height: 20px;"></div> <div style="border: 1px solid white; width: 20px; height: 20px;"></div> </div>	Joyce Thacker	Budget being removed from Local Authority and protection of school as a community asset. Maximise potential for income generation via SLAs with Academies and delivery of high quality services for the benefit of Rotherham's Children and Young People. Maintain professional relationships between Academies and Local Authority for the benefit of Rotherham's Children and Young People. Staff HR issues to address with transfer of staff to Academy trust employment. Rotherham currently has 3 Academy Trusts: Maltby, Brinsworth and Wales with the potential for further schools to apply for Academy Trust status in the future.	A M B E R <div style="border: 1px solid black; padding: 5px; width: 40px; margin: 0 auto;">12</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;"></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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ROTHERHAM BOROUGH COUNCIL – REPORT TO MEMBERS
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1.	Meeting:	Performance & Scrutiny Overview Committee
2.	Date:	25th February 2011
3.	Title:	Payment of invoices within 30 days (former BVPI8)
4.	Directorate:	Commissioning, Policy & Performance

5. Summary

Former Best Value Performance Indicator 8 measures the payment of undisputed invoices within 30 days. The Council has agreed an average annual target of 96% for performance of BVPI8 for 2010/11.

Out turn performance for recent years has achieved:

2006/07	91%
2007/08	94%
2008/09	92%
2009/10	94.65%

Performance against BVPI8 has not been as consistent as it should have been and it has been recognised that the Council should act to instil and embed good practice in this area and work is ongoing to this effect. Recent performance for the current financial year has achieved:

April	98.15%
May	96.90%
June	94.87%
July	94.84%
August	94.21%
September	94.47%
October	93.12%
November	95.55%
December	94.47%
January	90.36%

Year to Date 94.69%

6. Recommendations

That the current position in respect of BVPI8 is noted.

7. Proposals and Details

Although this indicator no longer exists as a Best Value Performance Indicator, performance of the measure is still seen as important for the following reasons:

- Reputation – we need to maintain our reputation as a prompt payer
- Savings – we have a number of early payment discounts set up with suppliers
- Policy – Council priorities include supporting our local economy and SMEs (small to medium enterprises) which may be at risk if their cash flow is affected by late payment

The indicator therefore continues to receive a considerable amount of attention with reports being submitted to a number of Member meetings. Performance against this indicator will continue to be reported monthly to Procurement Panel and quarterly to PSOC and Procurement Champions' meetings.

For information a comparison is given below of the current position against the same point in the previous financial year.

Month	2010/11	2009/10
April	98.15%	96.65%
May	96.90%	96.44%
June	94.87%	93.47%
July	94.84%	94.37%
August	94.21%	93.78%
September	94.47%	92.46%
October	93.12%	92.00%
November	95.55%	95.58%
December	94.47%	95.49%
January	90.36%	93.71%
Year to Date	94.69%	94.31%

The indicator was impacted by the severe weather which caused no post to be received for a full week. As a result the following week saw the backlog of invoices being received along with the usual post, creating a sudden influx of invoices to be handled. The situation was then compounded by the Christmas closedown period.

8. Finance

There will be a cost / resource implication of continuing to chase GRNs from officers.

The Council and RBT may also miss out on early payment discount savings whenever GRNs are delayed. The amount targeted for early payment discount savings in 2010-11 is £220,000.

9. Risks and Uncertainties

If the Council under performs on BVPI8 vulnerable smaller suppliers may experience financial difficulties due to delayed payment which goes against our commitment to the SME Friendly Concordat.

Making late payments to suppliers can damage relationships between the Council and suppliers and could potentially cause cash flow difficulties for suppliers, dependant on invoice values and suppliers' turnover. It is possible that late payments could result in suppliers putting our account 'on stop' which could cause delays to Council projects. Ultimately late payment could result in the matter being referred to court.

10. Policy and Performance Agenda Implications

BVPI 8 performance
SME Friendly Concordat

11. Background Papers and Consultation

Reports to Procurement Panel and PSOC

12. Contact Name:

Sarah McCall ex 54529
Sarah.mccall@rotherham.go.uk

ROTHERHAM BOROUGH COUNCIL – REPORT TO MEMBERS
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1.	Meeting:	Performance & Scrutiny Overview Committee
2.	Date:	25th February 2011
3.	Title:	Procurement Local Performance Indicators
4.	Directorate:	Commissioning, Policy & Performance

5. Summary

A set of local indicators were developed in 2007 in order to measure the Council's procurement function in terms of delivery of the Procurement Strategy and day-to-day management of the procurement function. The suite of indicators was updated in 2009 to ensure effective monitoring.

This report sets out details of the indicators, targets and performance for quarter three of the financial year 2010-11.

6. Recommendations

- **That current performance is noted.**

7. Proposals and Details

7.1 *Current Performance*

Rotherham's Corporate Procurement Strategy was developed in line with the National Procurement Strategy and as such many of the actions contained within our Strategy fall from the National Strategy. The suite of indicators developed reflect key issues within the Strategy and are detailed at appendix A together with current performance.

Performance against LPIs is reported to Procurement Panel, PSOC and Achieving Board on a quarterly basis; performance against procurement savings continues to be undertaken on an ongoing basis at Procurement Champions' meetings.

Of the 12 indicators, full details of which are attached at Appendix A:

- 5 are status green with performance on or above target
- 2 are status red with performance below target
- 2 are for annual monitoring with information given quarterly for monitoring purposes.
- 2 are for information only with no targets
- 1 has not yet been reported

7.2 *Red Indicators*

LPI 1 Local Spend

Performance information for the current financial year relates to spend during the year 2009-10 due to time lags involved in collating data following year end. Performance reported during the year 2009-10 achieved 25.41% against a target of 35%. This year a significant improvement is being reported with performance achieving 32.8%. Whilst this is below target and the indicator is still rated as status red, the work undertaken around local spend is clearly showing an improved direction of travel.

During the current year, two performance clinics have been held to look at how performance against this indicator can be improved, resulting in a working group to take actions forwards. Part of the discussions at the clinics have been around the definition of local and as a result additional information is attached at Appendix B showing a tiered approach to reporting spend.

LPI 2 SME Spend

Performance against this indicator has achieved 37.52% against a target of 56% and previous year's performance of 39.60%. As with LPI 1 performance information for the current financial year relates to spend during the year 2009-10.

The target of 56% for this indicator was set in 2006 and based on the sub-regional average at that time. The next available sub-regional average was in 2007 and showed a revised sub-regional average of 43%. Sub-regional information is no longer available in the previous format, but a wider regional project is looking to develop this information.

Work is ongoing to improve performance against this target, including strengthening links with the Chamber of Commerce and Federation of Small Businesses.

7.3 *Issues*

LPI 5 2 of RMBC's top 50 suppliers to be audited annually for equality & diversity and environmental issues

The reasons for conducting equality and diversity audits on key suppliers every year are:

- To ensure key suppliers are carrying out their equality and diversity duties as per their policies
- To promote the importance of equality and diversity issues throughout the supply chain
- To work with our suppliers to agree any remedial action that may be required and ensure it is carried out to an action plan
- To ensure that the Council's reputation for working with compliant suppliers remains unblemished

To date no supplier audits have been undertaken for equality and diversity issues due to a lack of resource. Discussions with colleagues in the Community Engagement & Cohesion Team have resulted in this being rescheduled as a priority for 2011/12.

During the current year one supplier has been audited for environmental purposes; it is not anticipated that a second supplier will be audited due to lack of resource.

LPI 10 Overall % of excavated materials diverted away from landfill

This indicator relates to one supplier only, Ringway, and was originally requested by them in order to demonstrate their commitment to sustainability. Due to budget reductions there has been very little work for Ringway during the quarter and it is anticipated that there will be little prior to the end of the contract in July 2011. It is therefore recommended that continuing to collect this data is not a good use of current resource.

8. Finance

All costs for developing the suite of indicators are currently being absorbed within existing budgets though some unbudgeted costs may arise and funding sources may need to be identified.

9. Risks and Uncertainties

Performance against these LPIs will reflect how the Corporate Procurement Strategy is being implemented and embedded across the Council which could impact on the Council's ability to evidence value for money and provide evidence for future assessments.

10. Policy and Performance Agenda Implications

Delivery of the Corporate Procurement Strategy
SME Friendly Concordat

11. Background Papers and Consultation

Corporate Procurement Strategy
National Procurement Strategy

12. Contact Name

Sarah McCall ex 54529
Sarah.mccall@rotherham.gov.uk

Appendix A - Procurement LPIs

Ref	Definition	Reporting Period	Target	09/10 Actual	10/11				RAG Status	Comments
					Q1	Q2	Q3	Q4		
1	To maintain our level of spend with local businesses at 35% of our core trade spend (also Appendix B)	Annual	35%	25.41%	n/a	32.8%	n/a		Red	Annual measure. Measure is red but direction of travel is showing improvement. Data shown relates to Rotherham Borough, full details of local spend shown at Appendix B below
2	To increase the Council's percentage of core trade spend with SMEs by 5% to match the sub-region's average of 56% by April 2008	Annual	56%	39.60%	n/a	37.52%	n/a		Red	Annual measure
3	% of paper bought by the Council with recycled content and/or sustainable sources	Quarterly	100%	100%	100%	100%	100%		Green	
4	% of timber to be procured from sustainable sources that are accredited through a recognised scheme ie FSC Certification	Quarterly	100%	100%	100%	100%	100%		Green	
5	2 of RMBC's top 50 suppliers to be audited annually for equality and diversity and environmental issues	Annual	2	0	n/a	0.5	0.5		None	Annual measure; at Q3 1 supplier audited for environmental issues. Audits for E&D unable to go ahead due to resource levels but prioritised for 2011-12
6	To achieve procurement savings in accordance with current Annual Plan	Annual	£3.451	£3.5m	£1.29 m	£1.976 m	£2.935 m		None	Annual measure with quarterly reporting for monitoring purposes
7	Tenders for contracts valued at £50k and over to be	Quarterly	100%	100%	100%	100%	100%		Green	

	conducted electronically									
8	% of contracts or framework agreements to be let with equality and diversity issues being considered at tender or pre-tender stage	Annual	100%	100%	100%	100%	100%		Green	Annual target with quarterly reporting for monitoring purposes
9	100% of contracts to be let with whole life costings being considered at tender stage	Quarterly	98%	100%	100%	100%	100%		Green	
10	Overall % of excavated materials diverted away from landfill (based on tonnage)	Quarterly	70%	99%	99.4%	Not known	n/a		None	Due to limited work being undertaken by Ringway due to budget cuts LPI is no longer relevant
11	3 rd sector spend as a % of total spend	Annual	n/a	6.02%	n/a	12.25%	n/a		None	Annual measure. Measure does not have a target but direction of travel is improving
12	Freedom of Information Act requests & challenges from potential & actual suppliers	Quarterly	n/a	7 over year	7	4	1		None	Indicator is currently for monitoring purposed only and has no target set

Appendix B

Area	Local Spend 2008-09	% Local Spend 2009-10 (of known spend)	Actual Local Spend 2009-10
Rotherham	25.41%	32.8%	74,238,628
South Yorkshire	30.76%	38.38%	86,865,820
Yorkshire & Humberside	42.58%	45.4%	102,752,607
LEP City Region		39.29%	88,940,555
United Kingdom	99.04%*	100%	226,327,330
Spend with unknown location	0.96%*	1.33%*	3,050,257

* Based on total spend. All other figures are % of spend where location is known

ROTHERHAM BOROUGH COUNCIL – REPORT TO MEMBERS
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1.	Meeting:	Performance & Scrutiny Overview Committee
2.	Date:	25th February 2011
3.	Title:	Procurement Strategy Action Plan Review
4.	Directorate:	Commissioning, Policy and Performance

5. Summary

5.1 Procurement Strategy

The purpose of the Procurement Strategy is to set out how the Council intends to procure its goods, works and services in order to support the Authority's overall aims and objectives over the life span of the Strategy. It outlines the Council's current position and clearly points to areas where we need to improve with a supporting action plan to deliver those areas. The action plan is managed by the Council's Procurement Panel.

In light of the recent restructuring in the Council, the action plan is in the process of being reviewed to ensure that actions are still relevant and limited resources are focused on the Council's priorities.

5.2 BVPI8

Former Best Value Performance Indicator 8 measures the payment of undisputed invoices within 30 days. Although this measure is no longer a national indicator, the Council values performance against the measure as it is important that we pay our suppliers promptly.

However in light of the recent restructures within the Council, this paper proposes that as the level of resources required to actively manage performance in this area are proportionately high, performance management could be scaled down.

6. Recommendations

That the proposals outlined in this paper are noted and agreed.

7. Proposals and Details

The Strategy action plan is set out in 9 themes in line with the Procurement Strategy:

- Supporting the Local Economy
- Engaging with the Voluntary and Community Sector
- Equality and Diversity
- Fairtrade and Trade Justice
- Environmentally Friendly Procurement
- Legal Procurement
- e-Procurement
- Achieving Value for Money
- Building Capacity

Full details of all actions and current status are attached at Appendix A. Only amber and red actions were reviewed.

7.1 Supporting the Local Economy

3 actions within this theme:

2 are complete

1 action to remain unchanged.

7.2 Engaging with the Voluntary and Community Sector

3 actions within this theme:

1 is complete

1 date to be reset

1 action to be deleted

7.3 Equality and Diversity

7 actions within this theme:

3 are complete

4 dates to be reset

7.4 Fairtrade and Trade Justice

3 actions within this theme:

2 are complete

1 action has moved to another working group and is to be monitored

7.5 Environmentally Friendly Procurement

11 actions within this theme:

8 are complete

2 actions to remain unchanged

1 to be deleted

7.6 Legal Procurement

3 actions within this theme:
 2 are complete
 1 date to be reset

7.7 e-Procurement

2 actions within this theme:
 1 is complete
 1 date to be reset

7.8 Achieving Value for Money

6 actions within this theme:
 5 are complete
 1 action to remain unchanged

7.9 Building Capacity

These actions relate to other actions already reviewed in the plan.

7.10 Overview

38 actions overall
24 complete
7 dates reset
4 unchanged
2 deleted
1 action moved to another group

7.11 BVPI8

The BVPI8 performance indicator (payment of invoices within 30 days) is no longer a national indicator. However, the Council has always monitored and managed performance in this area as it is seen as important that it pays its suppliers – particularly small, local suppliers – on a timely basis.

The indicator is currently actively managed by the procurement champions who look at monthly reports of late payments. Champions and their network of procurement buddies then look for the reasons behind payment delays, and seek to improve future performance through awareness raising, training, and problem solving.

Actively managing performance in this way has improved payment within 30 days from 91% to 94.69% over 5 years.

However, following the recent structure reviews, many champions advise that they have fewer buddies to help them with this work now and without this resource would struggle to maintain this level of performance management.

It is proposed that due to a reduction in resources we scale back the level of management for this indicator. The client team and RBT could monitor levels of performance to ensure there is no major slippage, and champions could either:

- Action quarterly reports
- Action half yearly reports
- Action reports if slippage drops below 91% over a period of 6 months

8. Finance

All costs for implementing the Corporate Procurement Strategy are currently being absorbed within existing budgets though some unbudgeted costs may arise and funding sources may need to be identified.

9. Risks and Uncertainties

If the actions in the above plan are not met the Corporate Procurement Strategy may not be fully implemented and embedded across the Council which could impact on the Council's ability to evidence value for money.

10. Policy and Performance Agenda Implications

Delivery of the Corporate Procurement Strategy
SME Friendly Concordat
LAA indicators around the Third Sector

11. Background Papers and Consultation

Corporate Procurement Strategy
National Procurement Strategy

12. Contact Name:

Helen Leadley
helen.leadley@rotherham.gov.uk

Ref	Description	Resource Required	Action Owner(s)	Target completion date	Comment	Status	2011 Review Comments	2011 Review Proposal
Theme 1 - Supporting the Local Economy								
1.01	To deliver an annual Meet the Buyer and Supplier Awards Event.	£6000 (x3)	Helen Leadley / Sarah McCall	Mar-10-11-12	Progressing. The second successful Meet the Buyer event was held on 26.01.10. The third event is scheduled for 10.03.11	Amber	This action remains a priority. Work on 2011 MTB is ongoing and event due to take place in March.	No change to this action.
1.02	To agree and publish a common set of basic standards so that potential suppliers can gear up to bidding for contracts.		Sarah McCall	Dec-09	Complete. Information on required standards is published on the procurement web pages at www.rotherham.gov.uk/procurement	Green		
1.03	To roll out the use of the SCMS e-tendering system so that it is being used across the whole of the Council.		Simon Bradley / Tim Spensley	Jan-09	Complete. All staff identified for training have now been trained and roll out is ongoing within Directorates.	Green		
Theme 2 - Engaging with the Voluntary and Community Sector								
2.01	To agree across the Council on the best way to calculate the Council's spend with the Voluntary and Community Sector.		Helen Leadley & Zafar Saleem	Dec-09	Complete. Methodology agreed using Spikes Cavell data; calculation undertaken on 08-09 and 09-10 spend and improvement shown.	Green		

2.02	To write and publish a Rotherham centric "Procurer's guide to dealing with the Third Sector". This guide to be approved by the Procurement Panel and be adhered to in the tendering and management of future contracts.		Zafar Saleem. Awaiting VCS / Procurement Issues officer (to be employed in CX Dept when NRF funding received)	TBC	Agreed. ZS advised that this will not be a new post but match funding is to be provided for an existing officer to undertake the work; staff shortages in CEX's have made this difficult but SZ and Debbie Fellowes are looking at this. Julie Slatter advised looking at whether VAR can deliver this; Meeting arranged 11.11.10 between SM & Julie Slatter to progress. Generic information circulated to procurement officers as interim measure; action to be revisited once resources available known & as part of wider review of Strategy action plan.	Red	The NAO Successful Commissioning Toolkit to be used by RMBC as the standard approach to be taken with the VCS. This to be agreed at Panel and officers to ensure that commissioners use the site as appropriate.	Completion date to be set for April 11.
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2.03	VCS Training to be provided for procurement officers.	NRF funding being sought by Zafar Saleem	Zafar Saleem. Awaiting VCS / Procurement Issues officer (to be employed in CX Dept when NRF funding received)	TBC	Agreed. ZS advised that this will not be a new post but match funding is to be provided for an existing officer to undertake the work; staff shortages in CEX's have made this difficult but SZ and Debbie Fellowes are looking at this. Julie Slatter advised looking at whether VAR can deliver this; Meeting arrange 11.11.10 between SM & Julie Slatter to progress; action to be revisited once resources available known & as part of wider review of Strategy action plan.	Red	The NAO Successful Commissioning Toolkit is comprehensive , and includes links to associated guidance such as legal issues. It is also kept up to date. Therefore no training should be required. If officers need clarification on any matters, issues should be raised with the Panel. Action to be completed.	Action to be deleted.
Theme 3 - Equality and Diversity							A	
3.01	To recheck our procurement processes to ensure that they are inclusive to BME, disabled and women owned organisations.		Carol Adamson	Sep-11	Agreed. Awaiting finalisation of public sector specific duties for the new Equality Act. Date revised to align with anticipated timelines for national guidance.	Amber	Remains a priority. ZS to discuss at next Panel meeting.	Completion date to be set for Sept 11

3.02	To consider the option of reserving a contract to be delivered by a disability owned organisation.		Procurement Panel	Dec-10	Progressing. Report to be submitted to December Panel	Amber	Tim Spensley submitting a report for March's Panel.	Completion date to be set to Oct 11.
3.03	To provide signposting information for suppliers who require help in improving their equality and diversity policies.		Carol Adamson	Aug-09	Complete. Available on the Council website procurement pages at www.rotherham.gov.uk/procurement	Green		
3.04	To start to use the newly developed equality and diversity questionnaire to help monitor supplier's compliance to equality and diversity legislation.		Procurement Managers	Jan-09	Complete. Monitoring ongoing	Green		

3.05	To conduct equality and diversity audits on 2 key suppliers per year.		Carol Adamson	Mar-12	Agreed. Advice on which suppliers to audit sought from Panel 09.11.09; audits not undertaken during 2009-10 due to lack of resource; work to be recommenced during 2010-11; E&D Team reconsidering how to take this work forward; Democratic Renewal Scrutiny Panel to look at. Action to be revisited once resources available known & as part of wider review of Strategy action plan.	Red	This remains a priority. The Equality and Diversity team has been superceded by the Community Engagement Cohesion Team. ZS advises that now his team has been strengthened that this can now be rescheduled and delivered. ZS will attend Feb Procurement Panel to discuss.	Completion date to be set for Sept 11
3.06	To compile examples of good practice regarding equality and diversity in procurement and publish them on our website in order to promote and encourage supplier activity.		Sarah McCall	Mar-11	Progressing. Case studies requested from Panel members on 09.11.09 & 12.04.10 & 26.07.10; Equality & Diversity category for Supplier Awards 2011 to hopefully provide case studies.	Amber	This action remains a priority but has been delayed due to changes in roles and restructures.	Completion date to be reset for Dec12.

3.07	To investigate how we can compile Equality and Diversity information through the SCMS e-tendering system.		Simon Bradley	Apr-10	Complete. Tim Spensley advised that E&D information recorded on SCMS & reports can be extracted. Further work required to implement monitoring of individual contract opportunities; SCMS unable to extract required information; action complete for the purposes of this plan but further actions may fall out of the awaited revised guidance & legislation.	Green		
Theme 4 - Fairtrade and Trade Justice								
4.01	To ensure the use by default of Fairtrade products in all Council owned cafes.		Helen Chambers & Rob Holsey	Dec-10	Progressing. Fairtrade Steering Group advice sought. Group approved policy; Kate Taylor to progress with Cllr Wyatt; meeting to be arranged to progress; meeting cancelled, new date to be agreed	Amber	This is now a matter for the Fairtrade steering group. Action to be monitored by the Panel.	Action to be monitored.
4.02	To improve the competitiveness of Fairtrade products on our e-catalogue.		Simon Bradley	Sep-09	Complete. New contract in place with Peros to supply Fairtrade goods.	Green		

4.03	To provide Fairtrade refreshments at all Council hosted events held in Rotherham.		Simon Bradley	Dec-11	Complete. All venues have agreed. Expotel will now book Fairtrade for all RMBC conferences as default. Fairtrade goods are also available on the catalogue for internal meetings. Local venues are now extending Fairtrade goods to other organisations.	Green		
Theme 5 - Environmentally Friendly Procurement								

5.01	To set clear guidelines on the procurement of environmentally friendly products eg - electrical goods.		David Rhodes	Dec-10	Complete. Draft Sustainable Procurement Policy outline presented to Procurement Panel 12/10/09. Work commented to develop the policy and look at areas of high risk spend; officers undergoing sustainable procurement training to feed into policy. Date revised to allow for additional work; work ongoing with policy presented to July Panel for comment, feedback to be provided by end of August; 2nd draft presented to October Panel & approved CoP. To be progressed through usual approval routes; due at Cabinet 01.12.10. Cabinet approved Code of Practice, roll out to be undertaken and additional supporting materials to be developed.	Green		
5.02	To investigate the ways in which we can better use budgeting processes to support sustainable development.		Helen Leadley	Jan-12	Agreed. Investigations to be undertaken on how capital and revenue budgets can be balanced where sustainable development required additional capital investment but delivers revenue benefits.	Amber		No change to this action.

5.03	To develop capacity within the Council through sustainability training and awareness raising.		Helen Leadley	Dec-11	Agreed. Training made available by RIEP - 3 key officers trained in order to develop the Sustainable Procurement and Commissioning Protocol. Awareness raising of the protocol to follow.	Amber	This action is still a priority. Awareness raising and communication plan to be rolled out.	No change to this action.
5.04	Identifying supplier incentives for environmentally friendly procurement.		Helen Leadley	Jul-09	Complete. Environmentally Friendly Supplier Award created and first awarded at 2009 Meet the Buyer Awards.	Green		
5.05	Ensure that scrutiny of capital projects includes checks on sustainable proofing by gateway panels.		Brian Barrett	Oct-10	Complete. Refreshed Capital Projects Procedure incorporates Scrutiny which is able to scrutinise any capital project in progress.	Green		
5.06	Investigate whether we should use the Carbon Disclosure project as a way to measure and manage carbon in our supply chain.		Helen Leadley	Jan-12	Agreed. Investigations to commence early in January 11 on the resources required and the value the project would add.	Amber	On advice from the Sustainable Procurement and Commissioning working party, this action would require high resources and yield few benefits.	Action to be deleted.

5.07	Assess the Council's procurement processes against the Flexible Framework and develop an action plan to ensure compliance.		Helen Leadley	Nov-09	Complete. Assessment undertaken. Actions required to improve our scores against the framework are around sustainability and will be picked up as part of training and the Sustainable Procurement Policy work.	Green		
5.08	Report on the exercise undertaken by RCP to assess the success of monitoring and setting targets for minimum recycled content.		Brian Barrett	Jun-09	Complete. Following this pilot RCP have reported to the procurement managers forum that the benefits of this do not warrant the efforts required to capture the information. A suite of sustainability LPIs have been built in to the YorBuild framework, which has replaced RCP, in order to take this work forward.	Green		
5.09	Explore specifying sustainable construction standards in developments where the council sells land to developers and has an influence on what is built.		John Smales / Paul Woodcock / Carole Smith	Jun-09	Complete. When we sell land we do not and cannot, sell it subject to the purchaser building a sustainable development. Sustainability considerations would be picked up for any subsequent redevelopment as part of planning permission. The only influence we may bring to bear would be through conditioning a subsequent planning	Green		

5.10	Capture the successes of the RAY project undertaken last year in a case study that can be used as a "lead by example" story within the borough.		Sarah McCall	Jun-09	Complete. Case study published on procurement web pages at www.rotherham.gov.uk/procurement	Green		
5.11	Develop a sustainable procurement handbook to be endorsed by Panel, CMT and Cabinet and published on the procurement pages of the website		David Rhodes	Dec-10	Complete. Working party formed. Ties to action 5.01; work ongoing with policy presented to July Panel for comment; 2nd draft presented to October Panel & approved. To be progressed through normal approval routes; due at Cabinet on 01.12.10 Cabinet approved, Code of Practice to be rolled out and additional supporting materials to be developed	Green		
Theme 6 - Legal Procurement								
6.1	Monitor and analyse procurement related Freedom of Information requests in order to see where we can improve transparency and / or learn from mistakes.		Helen Leadley / Sarah McCall	Jan-10	Complete. First report to be provided to December Panel; further reports will be presented to Panel on a 6 monthly basis; information now incorporated with quarterly LPI reporting	Green		
6.2	Produce an up to date Contracts Register and publish on procurement pages of the website		Helen Leadley / Sarah McCall	Dec-10	Progressing. Work undertaken to look at developing the register from SCMS; work is ongoing on using Spikes Cavell to provide a register as part of work around publishing spend information.	Amber	Remains a priority. Delays have occurred due to uncertainty around the restructures of the Council.	Completion to be reset for Oct 11

6.3	Produce a high level procurement structure showing where procurement occurs and governance structures around procurement		Helen Leadley	Mar-10	Complete. Available on the Council website at www.rotherham.gov.uk/provurement	Green		
Theme 7 - e-Procurement								
7.1	Agree an acceptable turn around for e-RFQ quotations		Helen Leadley & Simon Bradley	Sep-09	Complete. Turn around of 85% in 4 days agreed and implemented.	Green		
7.2	To investigate the extent to which we can store all invoices electronically.		Steve Heron	Mar-11	Agreed. Actions to be confirmed once the first phase of the Corporate EDRMS Project has been rolled out; RBT undertaking transformation work to support this; work is progressing on how to address invoices for external funding purposes	Amber	A project Manager for the EDRMS project is required. Interviews taking place late Jan 11.	Completion date to be reset following appointment of EDRMS project manager.
Theme 8 - Achieving Value for Money VFM								
8.01	Investigate the DEFRA Shadow price of carbon where emissions are given a monetary value to aid cost benefit analysis.		David Rhodes	Feb-10	Complete (for the purpose of this plan). Now replaced by the Carbon Reduction Commitment. DR presented to Panel 12.10.09; work ongoing to implement CRC under separate plans.	Green		
8.02	Utilise the Council's Consultation and Community Involvement (CCI) Framework for large public facing procurement projects.		Helen Leadley	Feb-10	Complete. Feedback sought from Panel members 09.11.09; CCI Framework to be used as appropriate.	Green		

8.03	Introduce risk assessments for procurement impact on the local economy for bought in goods and services.		Simon Bradley	Sep-09	Complete. Risk assessments introduced and reported on a quarterly basis.	Green		
8.04	Encourage and exploit opportunities for added value to contracts.		Procurement Managers	Ongoing	Complete. Case studies requested from panel members on 09.11.09; case studies will be promoted via the website as & when they are available and through promotion of Supplier Awards; complete for the purposes of the plan but work will be ongoing as added value is sought from all contracts.	Green		
8.05	Further encourage and support RBT in the expansion of shared services.		Helen Leadley	Ongoing	Agreed. Actions ongoing	Amber	Remains a priority -	No change to this
8.06	Complete the review of clauses in contracts covering risk management with partnerships.		Colin Earl & Steve Merriman	Mar-09	Complete. Review of risk management in significant partnerships undertaken and reported to CMT, Cabinet, Audit Committee and Scrutiny.	Green		
Theme 9 - Building Capacity								
9.01	Provide sustainability and VCS training for key procurement officers.	Resources stated above	Zafar Saleem	Dec-11	Agreed. Linked to actions 2.03 and 5.03	Red	See actions 2.03 and 5.03.	As actions 2.03 and 5.03.

Possible additions from other working groups and the change of government:

Local economy input

Sustainable Procurement and
Commissioning Group
The affect of the Localism Bill

ROTHERHAM BOROUGH COUNCIL – REPORT TO MEMBERS
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1.	Meeting:	Performance & Scrutiny Overview Committee
2.	Date:	25th February 2011
3.	Title:	RBT Performance Report for October, November & December 2010
4.	Directorate:	Commissioning, Policy & Performance

5. Summary

This report summarises RBT's performance against contractual measures and key service delivery issues for quarter 3 of the current financial year, October, November and December 2010 across the areas of:

- Customer Access
- Human Resources & Payroll
- ICT
- Procurement
- Revenues & Benefits

6. Recommendations

Members are asked to:

- Note RBT's performance against contractual measures.

7. Proposals and Details

Full details of performance against operational measures for November - December 2010 for all workstreams is attached at Appendix A. It should be noted that the majority of operational measures for the Revenues and Benefits workstream are annual and information provided is for monitoring purposes only.

7.1 Customer Access

7.1.1 *Overall Performance*

All Customer Access operational measures were achieved according to their contractual targets during December 2010 with the exception of the telephony element of measure CAO5, Contact not Abandoned, which achieved only 59.13% against a target of 90%. Failure to achieve target was a direct result of the severe weather conditions and issues with 2010 repairs giving rise to unprecedented call volumes; a comparison of call volumes for December 2010 and December 2009 for the two most significant areas – Repairs and Streetpride – is shown below:

	December 2010 (number of calls)	December 2009 (number of calls)	Increase in Call Volumes (%)
Repairs	36,847	10,078	265.6
Streetpride	21,952	6,749	225.2

Total calls for December 2010 were 99,420 against a figure of 59,962 for the same period in 2009, a 65.8% increase in normal call volumes.

7.1.2 *Externalisation of Repairs and Severe Weather Impacts*

The contact centre began experiencing increasing call volumes following the externalisation of the repairs service, with a 31% increase in calls received in November, before the onset of the severe weather. Service levels were maintained in November, despite the increase in calls.

Willmott Dixon struggled to cope with the vast number of repairs orders being placed; RBT continue to work with Rotherham 2010 and the contractors to strengthen processes and improve the customer experience. One such improvement would be to have work planners present in the contact centre to help route work through and deal with any issues; experience with Morrisons demonstrates that this works well. However, Wilmott Dixon have informed RBT that they do not have the resource to provide a physical presence and in order to try to address this they have implemented a workaround providing mobile numbers for agents to contact the work planners by telephone.

The severe weather experienced in December resulted in a further significant increase in call volumes and a deterioration of service levels within the contact centre, as demonstrated with measure CAO5. To address the increase in call volumes during the severe weather a number of interim measures were implemented to ensure service delivery could be maintained:

- Staff across the customer services network were deployed to answer contact centre calls and worked additional hours;
- The contact centre extended its operating hours to 7.00 a.m. to 10.00 p.m. over the Christmas close down period;
- The service trained additional staff across RBT and the Council in repairs processes in order to increase the number of call handlers during the shutdown period;
- A decision was agreed by all stakeholders to only place emergency calls for a temporary period.

It is anticipated that the Repairs service will continue to receive high call volumes during January due to an expected surge in customers calling in relation to non-emergency repairs.

7.1.3 *Avoidable Contact Siebel Enhancement*

The Siebel CRM system has been successfully updated to track avoidable contact for all customer contact which is logged via the system. This will provide the Council with a robust measure for the levels of avoidable contact being created within customer services and will reduce the need for manual sampling of cases.

7.1.4 *Registration Service*

Changes to internal procedures have resulted in a significant increase in performance for the Registration Service, with all good practice guide KPIs now on track to meet year end targets.

7.1.5 *Complaints*

Four complaints were closed during October. One complaint was upheld; one complaint was partially upheld and two complaints were not upheld.

Two complaints were closed in November. One complaint relating to the Registration Service voicemail message was upheld; and one complaint was not upheld.

Two complaints were closed in December 2010. One complaint relating to Streetpride was partially upheld; and one complaint relating to Welfare Rights & Money Advice was upheld.

Appropriate coaching and awareness raising has been undertaken and lessons learned shared with wider teams to prevent recurrence of issues.

7.2 Human Resources and Payroll (HRP)

7.2.1 *Overall Performance*

All targets for operational measures were achieved during October, November and December 2010.

7.2.2 *Server Refresh*

Following intervention from the Transformation and Strategic Partnerships (TSP) Team, HRP Server Refresh proposals were agreed at the end of October with the project now well underway. The PSe (HR+P system) upgrade was also received during October but following discussions with ICT it was agreed to hold the upload until migration to the new servers is complete. The service aims to have the new servers installed and tested by February 2011 to enable the take on of the statutory maintenance PSe upgrade.

7.2.3 *Yourself*

Version 11 of YourSelf went live on 8th November 2010. This release includes:

- Further Delegated Staffing Powers automation;
- New starter qualification capture;
- Training cost capture reminder;
- Establishment report automation; and
- A feedback tool.

7.2.4 *Recruitment Portal*

Discussions are taking place with Yorkshire and Humberside Councils to establish a regional recruitment portal. Abacus, the supplier of the Council's Recruitment Management System, is the supplier of one of the three systems being considered. The Abacus proposal, incorporating the latest version of Recruit has been developed as a "shared offering" with RBT.

7.2.5 *Shared Services*

Visits from Wakefield and Rochdale Councils were held on the 12th and 13th January 2011 respectively. Both Councils were interested in seeing the HR Service Centre, self service provision and understanding the HR model adopted by RMBC.

Dudley Council has approached RBT with a request for consultancy work in relation to their PSe self service module. The specification is currently being scoped to provide a quote for the work.

7.2.6 *Staff Changes*

The HR Consultancy Team continues to support the on-going internal management reviews within Directorates and to support the Council in their efficiency savings proposals by progressing VER/VS applications to their final payment stage.

The transfer of some 350 employees from Rotherham 2010 Ltd to Wilmot Dixon and Morrisons was finalised during the quarter. Further work continues to provide documentation extracted from employees' personal files for the new employers.

7.2.7 *Achievements*

RMBC Strategic HR and RBT HRP submitted a joint application to the CIPD 2010 Awards for "HR impact on Business Success". The Team achieved Category Finalist, a significant recognition from the HR national professional body.

The HRP service was invited to a national conference to demonstrate to other PSe users the RMBC self service customisation. There were a number of Local Authorities interested in this customisation and the possibility of RBT providing some consultation work. A follow up request has been made by the PSe User Group Chairman for RBT to provide an on-going agenda item related to customisation activities.

7.3 ICT

7.3.1 *Overall Performance*

All targets for the ICT Service were shown as achieved in October, November and December 2010.

7.3.2 *Riverside House Planning & Server Virtualisation*

The Riverside House data centre should be complete in September 2011 and will be handed over to RBT ICT. We will then have 3 months to migrate all systems from the Civic Data Centre. Planning for these activities is going well and we are working with RBT to understand the total cost of ICT fit-out for Riverside House, not just the data centre.

Our Server Virtualisation programme is progressing well. We currently have 436 live servers of which:

- 267 (61%) are physical servers
- 169 (39%) are virtual servers

Virtual servers are cheaper than physical servers, consume less energy and are less susceptible to failure. Furthermore virtual servers are much easier to move to the new Riverside House data centre as they can be migrated over the network rather than requiring the physical relocation of equipment. At the point at which we begin migration to the new data centre the majority of our servers will be virtual.

The rolling programme of desktop refresh is continuing to provide RMBC staff and Members with a modern computer fleet which is fit for purpose. Over 70% of our 5,000 computers are now laptops, which will facilitate the wider adoption of agile working and the move to Riverside House.

Access to Riverside House will be controlled by smartcards which also double as ID badges. The smartcards will be configured in order that they have the capability to be utilised to support other functions such as user identification for 'follow me' print, cashless catering, VPN tokens and laptop encryption. The building security solution has been identified and we are working to make the necessary changes to the ID badge system.

7.3.3 *ICT for Shared Services*

Rotherham MBC and Sheffield City Council have agreed to pool resources and deliver Emergency Planning and Business Continuity Planning as a single shared service for both authorities. This brings some challenges from an IT perspective as we need to provide a way for staff from each authority to access their systems in an efficient and secure manner at no extra cost. The RMBC ICT Client has had several meetings with Sheffield's Head of IS Governance and Service Assurance and a solution has been identified that will meet the needs of the new shared service.

7.3.4 *Government Connect Reassessment*

A great deal of work has been undertaken to prepare for RMBC's annual Government Connect re-assessment, scheduled for 18th January 2011. The ICT Client, with extensive technical support from RBT, has spent several weeks completing our response to the new version of the Code of Connection (CoCo). No significant problems are anticipated, but the new CoCo introduces new security controls and is much more difficult to comply with than previous versions and it is likely that the assessor will request some procedural changes which will necessitate new investment in hardware and software.

7.3.5 *Wireless Networking & Agile Working*

All RMBC HP laptops have been configured to automatically connect to the RMBC wireless network, where available. Wireless networking allows staff and members to connect to the RMBC network even if they are not able to plug-in a network lead, which can be particularly useful in meetings. RMBC broadcasts wireless networks in the Town Hall, Eric Manns, Doncaster Gate, Aston JSC, Maltby JSC and Civic Building. The wireless network does not necessarily cover 100% of these buildings but should be available in most rooms.

RMBC is becoming known as a centre of excellence and expertise in agile working. We were recently visited by a delegation of ICT management and Business Analysts from Mansfield District Council who were keen to understand what technology and policies they would need to put in place to support their own version of WorkSmart. The day was a great success and Mansfield DC wrote to us to say that they had learned a great deal from RMBC's experiences.

The new Hellaby Depot opened in early November. Both buildings on the Hellaby site have been subject to a new ICT fit-out including VOIP telephony and wireless networking. There are around 100 staff based at Hellaby, most of whom have adopted WorkSmart flexible working with very few fixed desks. The Greasbrough Road Depot, Bramley Depot and Hope Street site are in the process of being decommissioned now that staff have re-located to Hellaby.

7.3.6 *Severe Weather*

The business continuity benefits of our home working technologies were revealed during December's heavy snowfalls. More than twice the usual number of staff logged on over VPN on the snow days. Many more people used MyMail to access

their email and a large number of meetings were carried out as conference calls. VOIP extensions were diverted to softphones, mobiles or personal landlines. These facilities meant that for many people the snow had no impact on their duties and their customers were unaware that individuals were not working from their office.

We have identified a few areas that can be improved to further lessen the impact of such events. We have, for example, initiated a review of the way we communicate reminders to staff to take their laptops home with them when bad weather is forecast as a result of many individuals citing this as the main reason that they could not work from home. Also changes have been made to the way that Service Desk operates so that they can work from home and continue to take calls.

7.3.7 *Support for Members*

At the request of Scrutiny Services a new Intranet home page has been created for Members. The lack of an Intranet area just for Members was identified as part of the Member Development Charter pre-assessment work.

The new page is a work in progress and will eventually provide Members with access to all Member related resources on the Intranet and Internet from a single page. The new Member home page can be found by going to the main Intranet home page then clicking on 'Members and Democratic' at the top of the screen and then 'Member's Homepage'.

An out of hours contact number is in place to ensure that Members can get support on ICT matters when the Service Desk is closed.

7.3.8 *Electronic Document Records Management System (EDRMS)*

The first two areas to receive the Wisdom EDRMS will be the Records Centre and Internal Audit. Directorates have been asked to begin prioritising the deployment of Wisdom within their areas. Teams that are moving to Riverside will be tackled first, beginning with areas where there is most immediate benefit. There will be minimal back-scanning and the focus is on getting any paper that needs keeping to the Records Centre.

The interviews for the new EDRMS Project Manager were held on 1st February 2011. The post was initially ring-fenced to the Talent pool and was then expanded to include other RMBC staff, following which five expressions of interest were received.

7.3.9 *Managed Print Service*

The Council is currently exploring options for a new Managed Print Service for RMBC. Our current contract for multi functional devices (MFDs) ends in 2012 and we require new devices to support new ways of working in Riverside House and elsewhere. In addition to acting as traditional printers/copiers the new devices will feature 'follow me' print (the print will output from any MFD but only when the user is in attendance), ad-hoc scanning and fax.

7.3.10 Complaints

One complaint was received by the ICT Service in December. The complaint related to problems accessing the Hate Crimes Database. Investigations revealed that the problems were caused by a lack of user training. The complaint was not upheld and the user was made aware of the correct way to access the database.

7.4 Procurement

7.4.1 Overall Performance

All targets for the Procurement workstream were achieved in October and November 2010.

All targets for the Procurement workstream were achieved in December 2010 with the exception of measure PO2 Cheque Requisitions Processed which achieved 98.23% against a target of 98.46%. This was a direct result of the severe weather with insufficient staff being available to process the requisitions to deadline.

7.4.2 Payment of Invoices

Former Best Value Performance Indicator 8 measures the payment of undisputed invoices within 30 days. The Council has agreed an average annual target of 96% for performance of BVPI8 for 2010/11.

For information a comparison is given below of the current position against the same point in the previous financial year.

Month	2010/11	2009/10
April	98.15%	96.65%
May	96.90%	96.44%
June	94.87%	93.47%
July	94.84%	94.37%
August	94.21%	93.78%
September	94.47%	92.46%
October	93.12%	92.00%
November	95.55%	95.58%
December	94.47%	95.49%
Year to Date	95.18%	94.38%

7.4.3 Savings Tracking

Savings reported during the quarter are shown below together with the year to date figure and estimated savings to year end. It should be noted that savings are reported retrospectively.

Savings in month of:			Savings year to date	Estimated Savings to year end
Sept	Oct	Nov		
£337k	£380k	£248k	£2.686m	£3.241m

7.4.4 Addressable Spend

Addressable spend figures for the quarter are shown below together with monthly totals and the year to date figure.

Addressable spend in month of:			Addressable Spend Q3	Addressable Spend to date
Oct	Nov	Dec		
£713k	£1.568m	£791k	£3.072m	£18.081m

7.4.5 Externalisation of Repairs and Maintenance

Rotherham 2010 Ltd covered overtime costs in order for P2P staff to complete work in time for the ROCC system to be switched off without impacting on operational measures.

7.5 Revenues and Benefits

7.5.1 Council Tax

As at the end of December 2010 the Council Tax Collection rate stood at 82.9%, which is 0.2% behind the same point in 2009-10. The year-end target continues to be that RBT achieve a Council Tax Collection Rate which places Rotherham in the upper performance quartile for Metropolitan District Councils, with a minimum collection level of 97.0% regardless of quartile position.

The following table illustrates recovery action taken in the year to date compared with the same point in 2009-10: -

Council Tax Collection – Recovery Procedures		
Documents Issued	At December 2010	At December 2009
Reminders	36,068	34,755
Summonses	10,997	10,572
Liability Orders	7,649	9,140

The total number of Council Tax Liability Orders that had been referred to the bailiff in the financial year up to the end of December 2010 is 3,285 of which none were classed as a vulnerable case.

The average number of days taken to action a Council Tax Change of Circumstance was 8.92 days at the end of December 2010. This is better than the performance level which the service aims to achieve of 14 days.

7.5.2 NNDR

NNDR collection performance stood at 87.4% at the end of December 2010, which is down 1.34% on the same point in 2009-10. The NNDR collection figure has been adjusted to incorporate the effect of the NNDR Deferral Scheme. The year-end target for NNDR collection remains a collection rate which places Rotherham in the upper performance quartile for Metropolitan District Councils, with a minimum collection level of 98.5% regardless of quartile position.

The following table illustrates the current levels of recovery action being taken: -

NNDR Collection – Recovery Procedures		
Documents Issued	At December 2010	At December 2009
Reminders	4,817	3,878
Summons	1,080	1,040
Liability Orders	600	705

The total number of Business Rates Liability Orders that had been referred to the bailiff in the financial year to the end of December 2010 was 328.

With reference to the NNDR Deferral Scheme, the number of active cases currently stands at 194 allowing for a deferral of £403,394.

7.5.3 *Other Service Measures*

Performance against the remaining Operational Measures continues to be satisfactory. The benefits caseload has decreased slightly from the last period with work continuing to ensure that all measures continue to be met.

The service was impacted by severe weather in early December, but implemented increased shift working for home workers to ensure that the telephone service was not adversely impacted. 97% of calls were answered within target levels in November and 97.66% in December.

Work has commenced on planning to contact customers in respect of the upcoming changes in April.

7.5.4 *Complaints*

Seven complaints were closed during October 2010. Five were closed not upheld and two were closed upheld.

Six complaints were closed during November 2010. Four were closed not upheld and two were closed upheld.

Five complaints were closed during December 2010. Four were closed not upheld and one was closed upheld.

In respect of the upheld complaints, actions have been taken to prevent recurrence and lessons learned have been shared with the wider team.

8. **Finance**

The contract with RBT includes a service credit arrangement. The effect of this is that should an operational measure not achieve its target, a calculation (based on the amount by which the target was missed including weighting) results in a financial penalty for RBT.

Service credits were incurred during December for measures CAO5 and PO2. As the measures failed to achieve targets as a direct result of the severe weather the service credits have been waived.

9. **Risks and Uncertainties**

The TSP Team work with RBT to proactively identify and manage risks to prevent negative impacts on performance that may affect our corporate performance scores or service delivery.

10. Policy and Performance Agenda Implications

The partnership is responsible for key areas of service delivery and therefore has a significant role in the delivery of key national and local performance indicators. The partnership also supports Council directorates in their service delivery.

11. Background Papers and Consultation

RBT performance reports for October, November and December 2010.

Contact Name:

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Customer Access Measure	Ref	Target	Oct	Nov	Dec	Status	Comments
Cost per Transaction (Face to Face)	CAO1	4.5	3.17			★	Quarterly measure, reporting 1 month in arrears; smaller is better target.
Versatility Measure	CAO2	90	96.2	96.2	96.06	★	
First Contact Resolution by Channel (Face to Face)	CAO3	100	100	100	100	★	
First Contact Resolution by Channel (Telephony)	CAO3	95	100	100	97.5	★	
Average Call Quality Assessment	CAO4	95	97.54	97.97	97.63	★	
% of Contact not Abandoned (Face to Face)	CAO5	85	99.86	99.87	99.56	★	
% of Contact not Abandoned (Telephony)	CAO5	90	97.44	95.04	59.13	▲	Measure was significantly impacted by increased number of calls due to extreme weather causing excessively high call demand
Complaints Handling	CAO7	90	100	100	100	★	Reported quarterly with additional information for tracking.
Provision of Management Data	CAO9	100	100	100	100	★	

More than 2% above target
 Within 2% of target
 More than 2% below target
 Unable to report at this time



HR&P Measure	Ref	Target	Oct	Nov	Dec	Status	Comments
Accuracy of Contracts	HRO1	95	100	100	100	★	
Accuracy of Payment	HRO2	99.5	99.89	99.89	99.92	★	
% of Enquiries Resolved at First Point of Contact	HRO3	80	98.76	98.76	98.84	★	
P45s issued within 3 working days	HRO4	98	100	100	100	★	
Manual Cheques issued within 1 working day	HRO5	98	100	100	100	★	
Non-Statutory Returns by Due Date	HRO6	100			100	★	Quarterly Measure
Quality of Information Given to Caller	HRO7	90	100	100	100	★	
% Contracts of Employment Issued within 15 working days	HRO8	90	100	100	100	★	
CRB Process	HRO9	95	100	100	100	★	
Provision of Management Data	HRO10	100	100	100	100	★	

More than 2% above target
 Within 2% of target
 More than 2% below target
 Unable to report at this time



ICT Measure	Ref	Target	Oct	Nov	Dec	Status	Comments
% Availability of Website	ICTO1	99	99.95	100	100	★	Measure is being renegotiated as only monitoring online payments since website move to Jadu.
% Availability of Business Critical Applications	ICTO2	99	99.97	99.91	100	★	
% Availability of Telephony Systems	ICTO3	99	100	100	100	★	
% Faults Fixed in Agreed Timescales	ICTO4	94	97.11	97.27	95.93	★	
% ICT Change Requests Completed in Agreed Timescales	ICTO5	95	98	95.41	99.49	★	
% Complex Change Requests Completed to Agreed Specification	ICTO6			75	81.5	❓	New measure; currently baselining prior to a target being negotiated.
First Contact Resolution	ICTO7	30	40.74	36.35	40.35	★	
% Print Jobs Completed as Agreed	ICTO8	95	100	100	100	★	
Anti-Virus Measure	ICTO9		82.38	81.48	75.97	❓	New measure; currently baselining prior to a target being negotiated.
Average Time Taken to Answer Calls	ICTO10	85	90.32	90.49	91.09	★	

More than 2% above target
 Within 2% of target
 More than 2% below target
 Unable to report at this time



Procurement Measure	Ref	Target	Oct	Nov	Dec	Status	Comments
% Catalogued Goods or Services Delivered within Lead Times	PO1	88.72	97.39	98.02	99.42	★	
% Cheque Requests Processed on Next Available Payment Run	PO2	98.46	98.58	100.00	98.23	▲	Due to severe weather staff were unable to process all cheque requisitions in time for relevant payment run
% Undisputed Invoices Input within 25 calender days	PO3	99.22	99.38	99.41	99.23	★	
% non-eRFQ Open Requisitions Consolidated into Purchase Orders	PO4	78	85.29	82.14	85.76	★	
% Framework Agreements Risk Assessed for Impact on Local Economy	PO5	96			100	★	Quarterly measure.
% Framework Agreements Developed with consideration given to Sustainability	PO8	98			100	★	Quarterly measure.
Provision of Management Data	PO9	100	100	100	100	★	

More than 2% above target
 Within 2% of target
 More than 2% below target
 Unable to report at this time



Revenue & Benefit Measure	Ref	Target	Oct	Nov	Dec	Status	Comments
% Council Tax Collected	RBO1	97	64.94	74.38	82.90		Annual measure.
% NNDR Collected	RBO2	98.50	70.58	79.77	87.40		Annual measure.
Time Taken to Process HB/CTB New Claims and Change Events	RBO3	15	13.10	13.44	13.72		Annual smaller is better measure.
Number of Fraud Prosecutions & Sanctions per 1000 caseload	RBO4	4.25	3.89	4.75	5.65		Annual measure.
Cumulative Council Tax Arrears as compared to Council Tax Year End Total Collectable Debt	RBO5	4.8					Annual smaller is better measure; monitoring data not available.
Year End Council Tax Write Off as % of Collectable Debt	RBO6	0.27					Annual smaller is better measure; monitoring data not available.
Number of Changes in HB/CTB Entitlements within the year per 1000	RBO7	TQM	329.10	329.10	539.80		Annual measure.
Level of LA Overpayments not to exceed LA Error Local Subsidy Threshold	RBO8	0.48	0.36	0.36	0.37		Annual smaller is better measure.
Total Amount of HB Overpayments recovered in period as % of HB Overpayments outstanding	RBO9	41	30.83	45.59	44.40		Annual measure.
% New Benefit Claims Decided within 14 days of Receipt	RBO10	90.5	90.49	91.27	91.57		Quarterly measure.
Total Amount of HB Overpayments written off during the period as % of Total Amount of HB Overpayments	RBO11	6.99	1.37	1.41	1.70		Annual smaller is better target; monitoring data not available.
% Applications for HB/CTB Reconsideration / Revision Actioned & Notified within 4 weeks	RBO12	75	87.88	88.43	87.45		Annual measure.
% HB/CTB Appeals Submitted to the Tribunal Service in 4 weeks	RBO13	85	97.50	97.73	98.00		Annual measure.
Provision of Management Data	RBO14	100	100	100	100		

More than 2% above target
 Within 2% of target
 More than 2% below target
 Unable to report at this time



ROTHERHAM BOROUGH COUNCIL - REPORT TO MEMBERS
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1. Meeting:	Performance and Scrutiny Overview Committee
2. Date:	25 February 2011
3. Title:	Healthy Lives, Healthy People: Public Health White Paper Consultation
4. Directorate:	Chief Executive's

5. Summary

This report outlines the key proposals and consultation questions which the Government are seeking views on in relation to the Public Health white paper.

The deadline for responses to the main white paper and two supporting documents which outline proposals for commissioning, funding and the new outcomes framework is 31 March 2011.

This report sets out the key proposals and consultation questions and asks for members of PSOC to consider the draft response to date and contribute to the RMBC formal response.

6. Recommendations

That PSOC:

- **Note and discuss the proposals set out in the white paper and consultation documents**
- **Discuss and consider the questions and draft responses so far, to inform the Council's final response**

7. Proposals and details

The White Paper outlines some significant changes to the way public health is delivered and gives a brief overview of some of the Government's priorities for public health. The proposals include:

- Establishing a new body – Public Health England – within the Department of Health to protect and improve the public's health.
- Responsibility for public health will transfer to local councils from 2013. Directors of Public Health will be jointly appointed by the local authority and Public Health England and work within the local authority.
- Establishing Health and Wellbeing Boards to decide upon local public health priorities.
- Using a 'ladder of interventions' to determine what action needs to be taken to address different public health needs. Some things will be tackled by central Government through Public Health England (such as serious threats and emergencies); others will need a combination of central Government and local action. In other situations enabling people to make healthier choices, including by providing information, promoting healthier behaviour and strengthening self-esteem and confidence will be key.
- Funding for public health work will be ring-fenced and areas with the poorest health will receive extra funding.
- Commissioning of public health activity will be the responsibility of Public Health England, through directly commissioning certain services directly (eg national purchasing of vaccines or national communications campaigns), asking the NHS Commissioning Board to commission public health services (eg national screening programmes), and the provision of the ring-fenced budgets for public health to local authorities. GP consortia may also be able to commission on behalf of Public Health England.
- GPs, community pharmacies and dentists will be expected to play a bigger role in preventing ill-health.
- A new outcomes framework will be produced against which progress on key public health issues will be measured. Local authorities will receive additional public health funding when progress on these outcomes is achieved.

7.1 Responding to the Consultation

The Government is consulting on the proposals within the main White Paper. The deadline for responding to the consultation is 31 March 2011. PSOC members are being asked to consider the questions and contribute towards the formal response.

The two supporting documents refer to proposals in relation to the commissioning and funding of public health services and the new outcomes framework. Deadline for responding to these documents is 31 March 2011 and questions are attached as appendix A and B (along with supporting notes A and B).

7.1.1 White Paper Consultation Questions

Role of GPs and GP practices in public health

The Department of Health (DH) will work to strengthen the public health role of GPs in the following ways:

- Public health England and the NHS Commissioning Board will work together to support and encourage GP consortia to maximise their impact on improving population health and reducing health inequalities

- Information on achievement by practices will be available publicly, supporting people to choose GP practices based on performance
- Incentives and drivers for GP-led activity will be designed with public health concerns in mind
- Public Health England will strengthen the focus on public health issues in the education and training of GPs as part of the DHs workforce strategy

Question a: Are there additional ways in which we can ensure that GPs and GP practices will continue to play a key role in areas for which Public Health England will take responsibility?

Public health evidence

- Public Health England (PHE) will promote information-led, knowledge-driven public health interventions.
- The DH will develop an evidence-based approach to public health alongside and evidence-based approach to healthcare
- PHE offers a unique opportunity to draw together the existing complex information, intelligence and surveillance functions performed by multiple organisations into a more coherent form and to make evidence more easily accessible
- Local requirements for public health evidence will drive PHEs evidence function
- The best way to ensure that the new system is effective and cost-efficient is by providing people with transparent information on the cost, evidence-base and impact of services

Research

- Public health evaluation and research will be critical in enabling public health practice to develop into the future and address key challenges such as how to handle the wider determinants of health and how to use behaviour change science
- The national Institute of health Research (NIHR) will continue to take responsibility for the commissioning of public health research on behalf of the DH
- The DH will establish an NIHR School for Public Health Research to conduct high-quality research to increase the evidence base for public health practice

Information and intelligence

- The DH will draw together existing public health intelligence and information functions; Public Health Observatories, cancer registries and parts of the HPA, working to eliminate gaps and overlaps
- PHE will:
 - Strengthen public health surveillance by ensuring fit-for-purpose data collection and analysis of health outcomes
 - Work with and measure the impact of different communication channels, including NHS Choices
 - Ensure NICE adds maximum value by providing authoritative independent advice
 - Develop intelligence about the relative cost-effectiveness of different interventions to support the Directors of Public Health in commissioning local services

Question b: What are the best opportunities to develop and enhance the availability, accessibility and utility of public health information and intelligence?

Question c: How can Public Health England address current gaps such as using the insights of behavioural science, tackling wider determinants of health, achieving cost effectiveness and tackling inequalities?

Question d: What can wider partners nationally and locally contribute to improving the use of evidence in public health?

Regulation of public health professionals

- A detailed workforce strategy will be developed by Autumn 2011
- A range of public health staff will work with PHE, employed by the DH
- After completion of Transforming Community Services in April 2011, the provider functions of PCTs will have moved to other organisations, including community foundation trusts and social enterprises
- The DH will encourage PCTs and local government to discuss the future shape of public health locally
- Alongside Healthy Lives, healthy People, the DH is publishing a review by Dr Gabriel Scally of the regulation of public health professionals. The government believes that statutory regulation should be a last resort, the preferred approach is to ensure effective and independently-assured voluntary regulation for any unregulated public health specialists

Question e: We would welcome views on Dr Gabriel Scally's report. If we were to pursue voluntary registration, which organisation would be best suited to provide a system of voluntary regulation for public health specialists?

8. Finance

There are no direct financial implications to this report.

9 Risks and Uncertainties

Further clarity on the proposals will be provided following the consultation process, which ends 31 March 2011.

10 Policy and Performance Agenda Implications

Public health will transfer to local authority responsibility as of 2013, when the Director of Public Health will be employed by the council. RMBC will need to consider the future shape of the public health workforce during this transition period.

Further consultation is taking place on the proposed public health outcomes framework, see appendix A for questions

11 Background Papers and Consultation

Healthy Lives, Healthy People: strategy for public health in England (2010)

Healthy Lives, Healthy People: Transparency in outcomes consultation document

Healthy Lives, Healthy People: consultation on the funding and commissioning routes for public health

12 Contact

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Chief Executive's

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Table A Funding and Commissioning

Question	(Draft) Response
<p>1. Is the health and wellbeing board the right place to bring together ring-fenced public health and other budgets?</p>	<p>To an extent. The difficulty with ring fenced budgets (e.g. community care) is that they are targeted and this can limit the flexibility with which spending can be allocated. The Health and Wellbeing Board will give an opportunity to look at ring fenced budgets in the context of the wider community strategy which will enable a more strategic approach to developing preventative measures which will in turn mean that we can focus on maximising budgets</p>
<p>2. What mechanisms would best enable local authorities to utilise voluntary and independent sector capacity to support health improvement plans? What can be done to ensure the widest possible range of providers are supported to play a full part in providing health and wellbeing services and minimise barriers to such involvement?</p>	<ul style="list-style-type: none"> • Publish a clear plan (Health and Wellbeing Strategy) that indicates the direction of travel (based on need identified in JSNA , other health inequalities and the vision for Rotherham) • Evaluate current procurement / contracting procedures to ensure that they do not disadvantage small providers, voluntary sector etc through being too bureaucratic or procedure driven so that we develop a wider range of providers • Effective communication between Assessment staff and commissioners, to support the micro-commissioning or person centred commissioning of services is also vital • Grant fund on an outcomes basis to promote prevention <p>Best practice example - A multi disciplinary approach to road safety exists in South Yorkshire (The South Yorkshire Safer Roads Partnership) to direct and co-ordinate the activities of a range of providers, including those from the voluntary and independent sector. In view of its success it is proposed to continue with this approach.</p>
<p>3. How can we best ensure that NHS commissioning is underpinned by the necessary public health advice?</p>	<p>A robust and regularly updated JSNA</p> <p>Expectation on the Director of Public Health to deliver information and advice that can be acted on in relation to commissioning of services</p> <p>In terms of road safety and sustainable / healthy travel this can be achieved by running adequately funded and resourced education,</p>

	training and publicity campaigns. Such campaigns should be multi agency funded.
<p>4. Is there a case for Public Health England to have greater flexibility in future on commissioning services currently provided through the GP contract, and if so how might this be achieved?</p>	<p>While identification and commissioning of specific treatments can be done by GP's as can preventative interventions such as screening and vaccination programmes, many public health problems have social routes. Area Assemblies along with strategic developments across housing, education and economic development will have just as important an impact as direct provision from the NHS. Local Strategic Partnership and Adult Boards would be best placed to take this overview of strategic commissioning and Market Management.</p>
<p>5. Are there any additional positive or negative impacts of our proposals that are not described in the equality impact assessment and that we should take account of when developing the policy?</p>	<p>The economic outlook and particularly employment situation has become less secure since the document was originally written. An increase in long term unemployment and a slow recovery in employment rates will have major implications for long term health and financial dependency levels for many years to come.</p>
<p>6. Do you agree that the public health budget should be responsible for funding the remaining functions and services in the areas listed in the second column of Table A (pg 16)?</p>	<p>Yes</p> <p>Reductions in capital (Local Transport Plan) and revenue funding have reduced the amount and scope of road safety initiatives that can be carried out. If additional funding via the public health budget can be secured for road safety related work it will enable the good progress in reducing the number of people killed and seriously injured in road accidents over the last 10 years to be maintained.</p> <p>Similarly, funding for sustainable and healthy transport has been reduced however, bids to the Local Sustainable Transport Fund may recoup some of the loss. To compile a successful bid, some evidence of match funding is required and a proportion of the public health budget ought to be earmarked for that purpose.</p>

<p>7. Do you consider the proposed primary routes for commissioning of public health funded activity (the third column) to be the best way to: a) ensure the best possible outcomes for the population as a whole, including the most vulnerable; and b) reduce avoidable inequalities in health between population groups and communities? If not, what would work better?</p>	<p>It is unclear why the Children's health (0-5) has a different commissioning route to the Children's health (5-18)</p>
<p>8. Which services should be mandatory for local authorities to provide or commission?</p>	<p>Health Protection and Resilience.</p> <p>Tackling the wider determinants of health: In particular encouraging neighbourhood renewal and economic wellbeing are important functions for local authorities. The single conversation has gone a long way towards encouraging local authorities to take a holistic view of how the local infrastructure works to contribute to wellbeing. Tackling poverty and worklessness must be at the heart of addressing health inequality and this needs a strategic approach which local authorities are well placed to take.</p> <p>Road safety – under the 1988 Road Traffic Act there is a requirement for local authorities to prepare and promote a programme of measures to promote road safety. The Education and Inspections Act places a duty of local authorities to promote sustainable school travel (cycling and walking). Much of what the public health initiative wants to achieve will probably only be realised by educating children from an early age.</p>
<p>9. Which essential conditions should be placed on the grant to ensure the successful transition of responsibility for public health to local authorities?</p>	<p>Comprehensive, agreed, inter-agency plans for a proportionate response to public health incidents are in place and assured to an agreed standard. These are audited and assured and are tested regularly to ensure effectiveness.</p> <p>Systems failures identified through testing or through response to real incidents are identified and improvements implemented. Systems in place to ensure effective and adequate surveillance of health protection risks and hazards</p>

10. Which approaches to developing an allocation formula should we ask ACRA to consider?	
11. Which approach should we take to pace-of-change?	
12. Who should be represented in the group developing the formula?	
13. Which factors do we need to consider when considering how to apply premium?	The extent to which we have achieved the targets set out in action plans
14. How should we design the health premium to ensure that it incentivises reductions in inequalities?	<p>Sustaining long term employment, prevention, screening, vaccination and addressing child poverty will provide the best foundation for reducing inequalities in the long term. It is also relatively easy to identify performance indicators that can monitor progress on these areas.</p> <p>In terms of KSIs it is suggested that the rate of reduction in disadvantaged areas compared to the borough as a whole should be used. Alternatively, or in addition, the rate of reduction in the different categories of vulnerable road user groups could be compared to the overall rate of reduction.</p>
15. Would linking access to growth in health improvement budgets to progress on elements of the Public Health Outcomes Framework provide an effective incentive mechanism?	Yes, this would encourage better performance however, it might worsen progress on key outcomes that prove more difficult to achieve.
16. What are the key issues the group developing the formula will need to consider?	Should look at local demographic profiles (super output areas) to identify how far behind an area is against the benchmark and the issues that are a priority for remedial action. A funding formula could then be built around this

Table B Outcomes Framework

Question	(Draft) Response
<p>1. How can we ensure that the Outcomes Framework enables local partnerships to work together on health and wellbeing priorities, and does not act as a barrier?</p>	<ul style="list-style-type: none"> • Consistent approach taken across all three Outcome Frameworks • Flexibility in how outcomes can be achieved • Reduction in bureaucracy • Staff engagement and Partnership Working. • Need clear agreements with partners in health.
<p>2. Do you feel these are the right criteria to use in determining indicators for public health?</p> <ul style="list-style-type: none"> • Are there evidence-based interventions to support this indicator? • Does this indicator reflect a major cause of premature mortality or avoidable death? • By improving on this indicator, can you help reduce inequalities in health? • Will this indicator be meaningful to the broader public health workforce and wider public? • Is this indicator likely to have a negative/adverse impact on defined groups? • Is it possible to set measures, SMART objectives against the indicator to monitor progress in both the short and medium term? • Are there existing systems to collect the data required to monitor this indicator? 	<p>Generally yes however some of the indicators are more objective and easy to measure than others. Information regarding the incidence of premature death can be based on defined criteria and can be easily measured and compared to other areas. The main causes of premature death have also been identified. Helping people recover from episodes of ill health can also be measured and judged on the extent to which and the time taken for them to regain independence. Again inequalities in these areas are easily identified and thus it should in theory be possible to identify remedial action.</p> <p>The other three domains are more subjective and harder to measure. Measuring people's satisfaction can be time consuming and may not always pick everything up. Quality of life indicators are also hard to define.</p> <p>At worst the indicator would have no effect on health inequalities and for the area of premature death and recovery, it has the potential to be a positive influence</p> <p>Comments in relation to road safety:</p> <ul style="list-style-type: none"> • A programme of road safety and transport interventions is already in place with well established evidence bases to support the effectiveness of a range of initiatives. • Yes, road accidents are a major cause of death, especially

	<p>among the 17 -24 year old age group who are over represented in road collision statistics. Lack of physical activity is identified in the white paper as a key reason for premature mortality.</p> <ul style="list-style-type: none"> • By reducing the number of people killed and seriously injured (KSI) in road accidents, particularly in disadvantaged areas and among vulnerable road user groups, health inequalities can be reduced. An increase in the number of people walking or cycling will reduce mortality rates associated with obesity, stroke and heart disease. Fewer car trips generally will have a positive impact on road safety, health and wellbeing and air quality. • This indicator is easy to understand and meaningful as road safety issues affect most people to a greater or lesser degree. • Reducing the number of people killed and seriously injured should not have a negative/adverse impact on defined groups. • Well established monitoring arrangements are already in place to monitor progress with reducing KSIs (NI47) • Road accident data is supplied by South Yorkshire Police and kept by the council on a software package called 'Accsmap'. Regular counts and other face to face surveys adequately monitor sustainable travel modal split.
<p>3. How can we ensure that the Outcomes Framework and the health premium are designed to ensure they contribute fully to health inequality reduction and advancing equality?</p>	<p>The outcome framework focuses on NHS provided services while recognising areas of overlap (particularly with Adult Social Care). However much health inequality is due to social deprivation and unhealthy lifestyles in early life. It is therefore important to ensure locally all strategic aims are aligned to ensure the most potential health gain will be wherever possible from those who experience the most inequality.</p> <p>In terms of road safety, the health premium should be linked to the rate of KSI reduction in disadvantaged areas (there is strong evidence that members of poorer communities are more likely to become road accident casualties than their better-off peers) compared with the borough as a whole. For sustainable and</p>

	healthy travel the premium should be linked to the numbers of children and adults adopting better travel habits.
<p>4. Is this the right approach to alignment across the NHS, Adult Social Care and Public Health frameworks?</p> <ul style="list-style-type: none"> • Diagram on pg 14 showing how 3 frameworks sit together 	<p>A good quality JSNA is at the centre of the alignment and this is the right approach. The main weakness with the approach is it does not explicitly link in with wider areas of public policy. To promote prevention and early engagement resources not ring fenced to Social Care or health will need to be released. This is crucial to the prevention and early engagement agendas.</p>
<p>5. Do you agree with the overall framework and domains?</p> <ul style="list-style-type: none"> • <i>Health protection and resilience</i> • <i>Tackling the wider determinants of health</i> • <i>Health improvement</i> • <i>Prevention of ill health</i> • <i>Healthy life expectancy and preventable mortality</i> 	<p>Agree in principle with these 5 domains.</p> <p>Domain 2 in particular Addressing issues such as Child poverty fits in with comments earlier regarding fitting in with wider community plans</p> <p>Domains 3, 4 and 5 Have specific and measurable objectives.</p>
<p>6. Have we missed out any indicators that you think we should include?</p>	<p>None that seem obvious</p>
<p>7. We have stated in this document that we need to arrive at a smaller set of indicators than we have had previously. Which would you rank as the most important?</p>	<ul style="list-style-type: none"> • D 2.1 Children in Poverty • D 1.4 Population Vaccination • D 1. 6 Public sector organisations with board approved sustainable development management plan. • D 2.9 People in long term unemployment • D2.8 Proportion of people with mental illness <i>and or disability</i> in employment • D2.10 Employment of people with long-term conditions • D 2.3 Housing overcrowding rates. • D2.13 Fuel Poverty • D 2.17 Older Peoples perception of community safety • D 2.16 Environmental noise • D 3.8 Under 18 conception rate • D 3.6 and 4.1 Injuries to people aged 5 to 18 and 1 -5

	<ul style="list-style-type: none"> • D 3.3 Smoking Prevalence • D 4.3 and 4.4 Prevalence of Breast feeding and low birth weight • D 4.7 Screening uptake • D 4.8 Chlamydia diagnosis rates per 100,000 young adults aged 15-24 • D 4.9 Proportion of persons presenting with HIV at a late stage of Infection • D 4.11 Maternal smoking prevalence • D 4.13 Emergency readmission rate to hospital • D 4.15 Acute admission due to falls • D 5.1 Infant mortality • D 5.4 Mortality From cardiovascular diseases of people under the age of 75 • D 5.5 Mortality From cancer of people under the age of 75 • D5.9 Excess seasonal mortality
8. Are there indicators here that you think we should not include?	<p>Some for example deaths from communicable diseases and deaths from respiratory diseases could be absorbed into excess seasonal deaths.</p> <p>Suggested indicators to be taken out:</p> <ul style="list-style-type: none"> • D4.14 Health related quality of life for older people (placeholder) could be taken out as it rather subjective • D 4.6 Work sickness absence rate is a wide ranging issue and possibly too big for this agenda • D 4.5 Prevalence of recorded diabetes. Not clear why we need to know this • D 310 Self reported wellbeing is too subjective and gain from info gained probably doesn't justify the effort to obtain the information
9. How can we improve indicators we have proposed here?	Set benchmarks on which success will be judged

	In terms of the road safety KSI indicator this could be broken down into indicators for the number of people killed and the number seriously injured so that it is in line with indicators likely to be used in the government's new road strategy.
10. Which indicators do you think we should incentivise? (consultation on this will be through the accompanying consultation on public health finance and systems)	<p>D2.13 Fuel Poverty (To address this investment is needed in short term. However long term benefits in terms of health and economic wellbeing over a 5 to 10 year period will be significant)</p> <p>D 2.9 People in long term unemployment (The negative effects of this are immense. It has a negative effect on health, economic regeneration and contributions to savings and pensions. This means higher dependency on means tested services in later life. Investment to encourage employers to create and sustain employment opportunities to see out the current difficult environment will have huge benefits over a 15 to 20 year period.</p> <p>D 2.3 Housing overcrowding rates. While families are living in overcrowded housing due to affordability issues, many older people are living in larger houses. Incentives to build more suitable accommodation for older people with incentives to move could go a long way to addressing the acute shortage of suitable accommodation for families.</p>
11. What do you think of the proposal to share a specific domain on preventable mortality between the NHS and Public Health Outcomes Frameworks?	This seems a sensible proposition. Preventable mortality requires interventions before health problems escalate as well as good quality acute care when crisis point is reached.
12. How well do the indicators promote a life-course approach to public health?	The inclusion of a large number of indicators covering outcomes for children suggests that a whole life approach is being taken

Funding and Commissioning Consultation

Notes to be used alongside question table A

Question 1.

- Ring-fenced Public Health budgets will be allocated to local authorities by Public Health England
- This will include a Health Premium for authorities with greatest levels of deprivation and inequalities
- Public Health budget will not include functions which are already carried out by local authorities such as housing, leisure, social care – which will continue out of council's existing budgets
- The Health and Wellbeing Board will have flexibility and power to pool other budgets together as required
- Shadow Public Health budget to be provided April 2012
- Final budget allocated April 2013

Question 2.

- What processes/powers/functions/policies (for example) would help local authorities to engage and use the capacity within the voluntary and independent sectors to support local plans for improving health
- How can local authorities ensure a wide range of partners are supported and used to provide health and wellbeing services locally
- The Ring-fenced budget is intended to give opportunities for local authorities to involve new partners when contracting for services

Question 3.

- Public health expertise will inform the commissioning of NHS funded services
- This will be underpinned locally by ensuring Directors of Public Health are able to advise the GP consortia on public health issues and nationally via the relationship with the Secretary of State, Public Health England and NHS Commissioning Board

Question 4.

- GP practices are currently the preferred provider for a range of public health services under GP contract (such as childhood immunisations, contraception services, cervical cancer screening)
- These arrangements will continue and will be funded through the public health budget
- There may be a case for Public Health England and local authorities in the future to have greater flexibility to choose how such services are commissioned

Question 5.

- Equality impact assessments can found on the following webpage:
http://www.dh.gov.uk/prod_consum_dh/groups/dh_digitalassets/@dh/@en/@ps/documents/digitalasset/dh_122242.pdf

Question 6.

- See the table on page 16 – 19 of the 'Consultation on the funding and commissioning routes for public health' document - second column
- These services are those which are already funded through PCT public health funding and therefore through the ring-fenced public health budget which will be allocated and will be at no extra burden to local authorities

Question 7.

- Third column of the table as above outlines the proposed commissioning routes

Question 8.

- Looking at the proposed activity and commissioning routes (in table) – which services should be mandatory for local authorities to either provide or commission out

Question 9.

- The ring-fenced budget will carry some conditions about how it is to be used
- These conditions should ensure the budget is spent appropriately, ensuring value for money
- For example, conditions should describe purpose of the grant and address what sort of services should or should not be provided

Question 10.

- Government intend to ask the independent Advisory Committee on Resource Allocation (ACRA) to support the detailed development of the approach to allocating resources to local authorities
- They will also support the creation of a formula that can be used to calculate each local authorities target allocation for improving population health

Question 11.

- Allocations will not be set immediately at the 'target' allocation as this may involve cutting allocations in some areas or some areas seeing a rapid increase in available funding
- Rather, Government propose to move actual allocations from current spend towards target allocations over a period of time
- For PCT allocations this is known as the pace-of-change policy

Question 12.

- The premium will be driven by a formula developed with key partners, representatives of local government, public health experts and academics.

Question 13 & 14 .

- The Public Health Outcomes Framework will have elements used for deciding the health premium
- The health premium needs to incentivise health improvements that are spread across the local authority's population so that inequalities are reduced as overall health improves

Question 15.

- Potentially an area that makes no progress might receive no growth in funding for those services, but other than losing the opportunity of the incentive payment, there would be no automatic financial detriment to not making progress on the indicators
- There would also be a sliding scale depending on the size and extent of a local authority's progress

Question 16.

- Some of the issues the group will have to consider include:
 - The sensitivity of indicators and outcomes to public health interventions,
 - The possibility of changes in indicators and outcomes for reasons unconnected with public health interventions
 - The relative focus on the long-term outcomes and progress in the shorter term on those factors that drive these outcomes
 - The frequency of reporting
 - The relative ease of making a difference to an indicator or outcome, and how this varies between areas with different characteristics

Public Health Outcomes Framework

Notes to be used alongside question table B

- The consultation document outlines the many factors which influence public health over the course of a lifetime. It is intended that integrating public health into local government will allow for this to happen – so that services can be planned and delivered in the context of the wider determinants of health, such as poverty, crime and pollution. The NHS, voluntary sector, social care and communities will all need to work together to do this.
- Government are proposing a new Public Health Outcomes Framework. It will measure success in public health both nationally and locally.

Question 1.

- Getting the right leadership is being seen as important and new partnerships will need to be built to co-produce the framework

Question 2.

- Criteria for indicators:
 - Are there evidence-based interventions to support this indicator?
 - Does this indicator reflect a major cause of premature mortality or avoidable death?
 - By improving on this indicator, can you help reduce inequalities in health?
 - Will this indicator be meaningful to the broader public health workforce and wider public?
 - Is this indicator likely to have a negative/adverse impact on defined groups?
 - Is it possible to set measures, SMART objectives against the indicator to monitor progress in both the short and medium term?
 - Are there existing systems to collect the data required to monitor this indicator?

Question 3.

- Government is shifting powers to local communities, enabling them to improve health across people's lives, reduce inequalities and focus of needs of the local population
- The framework will include measures that allow Government to assess health improvement across all years of life and enable focus on those key life changes where there can be good opportunities to influence health outcomes
- It has been identified by the Marmot Review that health is not experienced equally across society and the framework will be designed to tackle these inequalities
- The findings of Frank Field's review will also be reflected where appropriate in the framework

Question 4.

- See diagram B

Question 5.

- 5 domains of the framework:
 - Health protection and resilience
 - Tackling the wider determinants of health
 - Health improvement
 - Prevention of ill health
 - Healthy life expectancy and preventable mortality

Question 6 – 12.

- Refer to pages 18 – 25 in the Public Health Outcomes Framework consultation document which outlines the proposed indicators within each domain
- Questions relate to these indicators

ROTHERHAM BOROUGH COUNCIL - REPORT TO MEMBERS
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1.	Meeting:	PSOC
2.	Date:	25 th February 2011
3.	Title:	Government Consultations
4.	Directorate:	Chief Executive's

5. Summary

This report is a follow up to one requested by PSOC in December 2010 and is intended to provide a clear way forward for dealing with forthcoming Government consultations, in light of discussions at PSOC on 3rd December 2010.

6. Recommendations

That PSOC

- **Consider and discuss the proposed approach for dealing with consultation responses.**
- **Agree to receive a quarterly report on forthcoming consultations in which leads Scrutiny Committees and priorities will be agreed.**
- **Note the need to maintain flexibility with such a system, allowing for consultations not covered by the plan to be dealt with accordingly.**
- **Consider the first of such reports and the approach to responding to those currently outstanding (Table A)**

7. Proposals and details

PSOC received the initial report on this matter on 3rd December 2010. The Committee considered a corporate approach to handling Government consultations and importantly for the effective engagement of elected members in determining RMBC responses.

- The report is also timely as the Government continues to issue a significant number of consultations which require a response from the Council. Some of these are very service specific for example consultation relating to planning application fees however others have wider more strategic implications and will require a different level of engagement to develop an informed response and our process should reflect this. In addition Members should note that whereas the previous Government had agreed standards for consultation, which included a minimum consultation period of 12 weeks, these standards are no longer applied and in recent consultations timelines applied by Government and other agencies have varied widely. Recently the LGA has suggested that six weeks would be sufficient time for response to consultations, although it is not clear who was consulted on this.

There were some key principles outlined in the approach being suggested. These were:

- Strategic and Council-wide consultations to be considered by PSOC and Cabinet
- Service specific consultations to be considered by the appropriate Scrutiny panels and Cabinet Members
- Timeframes allowing, the route would be via scheduled meetings
- Where Government deadlines dictate a faster approach a flexible approach will be required, which would include the following options
 - PSOC to be used for service specific consultations as it meets more regularly
 - Special meetings called to appraise responses
 - Clearing responses via Chairs of panels and Cabinet members

The most effective way to maintain an overview of the programmes of consultations is to forward plan as much as possible and it is recommended that PSOC should maintain this. It is proposed to bring a quarterly report to PSOC which would enable them to plan ahead, agreeing an approach in advance and determining which consultations would be prioritised in terms of impact on the Council's priorities. The first one of these programmes is contained below in table A. There are two things to note when considering this. Firstly a level of flexibility will need to be maintained as some consultations will come at very short notice, restricting our ability to plan ahead. Secondly, the co-ordination of officer support to this table will be carried out via the Policy Team, ensuring that the lead officers are aware of the consultation and associated timetable, and where necessary to take a report to SLT.

TABLE A

Consultation	Deadline	Scrutiny Panel	Cabinet Member	Comment
Healthy Lives, Healthy People	31 st March	Adult Services and Health 10/2/11	Cabinet	Already underway. High priority
Specialist disability employment support	28 th Feb	Adult Services and Health	Adult Independence Health and Wellbeing	Consultation almost passed
National Curriculum Review	14 th April	Children and Young People Services	Safeguarding and developing learning opportunities for children	Timeframe allows for full process and is of high priority
Strengthening families, promoting parental responsibility Green Paper	7 th April	PSOC	Cabinet	This is a key issue for the Council and timeframe allows for full process
Giving Green Paper	9 th March	Democratic Renewal	Community Development, Equality and Young People's issues	Very short timeframe left and falls outside of next scheduled panel and Cabinet Member meeting. Priority needs to be considered.
Road Network policy	1 st May	Regeneration	Regeneration and Environment	Timeframe allows full process

8. Finance

There are no direct financial implications arising from the report. Management of the consultation process would be from within existing resources.

9. Risks and Uncertainties

It is clear from government announcements to date about the forthcoming programme of reform, and the associated consultations, that there will be significant policy implications for the Council. There will also be policy implications for the Council working in partnership, both with other organisations and the expectations of working with communities.

The Council continues to monitor the Government's policy development, and is well placed to understand the implications of the broader policy agenda; the legislative programme; and effects on local priorities. In order to be able to influence the direction and detailed proposals it will be important to ensure that processes for responding to consultation are robust, effective and timely.

10. Policy and Performance Agenda Implications

As set out above the policy implications for the Government's legislative programme are significant and will impact across all Corporate Plan priorities and all Directorates. 10 out of the 23 government Bills would have an impact for Local Government.

11. Background Papers and Consultation

Report to PSOC 3rd December 2010

The detail of all background papers and source documents are listed against the workstreams in the Council's Reform implementation plan.

12 Contact

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PERFORMANCE AND SCRUTINY OVERVIEW COMMITTEE
11th February, 2011

Present:- Councillor Whelbourn (in the Chair); Councillors Austen, Gilding, Jack, License, Steele, Swift and Whysall.

Also in attendance were Councillors Akhtar, Atkin, Dodson, Doyle, Fenoughty, Gosling, Lakin, Nightingale, Pickering, St. John, Sharman, Smith, Thirlwall and Wootton.

Apologies for absence were received from The Mayor (Councillor McNeely) and Councillors J. Hamilton, N. Hamilton, Middleton, G. A. Russell, P. A. Russell and R. S. Russell.

120. DECLARATIONS OF INTEREST.

There were no declarations of interest made at this meeting.

121. QUESTIONS FROM MEMBERS OF THE PUBLIC AND THE PRESS.

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

122. MINUTES

Resolved:- That the minutes of the meeting held on 28th January, 2011 be approved as a correct record for signature by the Chairman.

123. WORK IN PROGRESS

Members of the Committee reported as follows:-

(a) Councillor Jack reported that yesterday's meeting of the Adult Services and Health Scrutiny Panel had considered:-

- update on assistive technology review
- 2011 Health and Social Care Bill
- Healthy Lives, Healthy People : Public Health White Paper Consultation

(b) Councillor Austen reported that the latest meeting of the Democratic Renewal Scrutiny Panel held on 3rd February had considered :-

- scrutiny review of the Council's website, incorporating a practical demonstration
- review of overview and scrutiny in a focus group session

(c) Councillor Whysall reported that the latest meeting of the Regeneration Scrutiny Panel held on 12th January, 2011 had considered a comprehensive report on the response to snow events in November/December, 2010

The Panel was to look at issues regarding the provision of pedestrian crossings.

124. CALL-IN ISSUES

There were no formal call-in requests.

125. 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 items of business on the grounds that they involve the likely disclosure of exempt information as defined in Paragraphs 1 and 3 of Part I of Schedule 12A to the Local Government Act 1972 (staffing/business affairs).

126. BUDGET 2011/12

Andrew Bedford, Strategic Director of Finance, gave a presentation relating to the above entitled :

“Rotherham’s Budget 2011/12 Onwards- Principles and Challenges”

The presentation covered:-

- Budget Proposals

- developed to :
 - address the unprecedented financial challenge ahead
 - address the priorities of elected members
 - protect front line services
 - ensure a focus on the customer
 - safeguard the most vulnerable
 - deliver key investment priorities across the borough
- developed having regard for:
 - severe funding constraints within which the Council must operate
 - statutory v discretionary services provided by the Council
 - service performance compared to similar councils
 - current service spending pressures
 - unavoidable costs and demographic pressures
 - budget consultation outcomes
 - risk, impact and deliverability of proposals
- developed with the aims of :
 - reducing bureaucracy
 - joining up services
 - achieving economies of scale
 - emphasising early intervention and prevention
 - making “up-stream” investments and investing to save
 - protecting services rather than structures

- The Challenge : Funding Gap
- Other Savings Opportunities
- Directorate – specific Savings Proposals
- Budget Proposals Provision
- Revenue Budget 2010/11 – 2011/12
- 2011/2012 Savings as a percentage of Present Policies Budget
- Budget Timetable

Discussion and a question and answer session ensued and the following issues were covered:-

- comparisons with other councils
- risks on delivering the proposals
- library provision
- the future of Area Assemblies
- requirement for savings beyond 2011/12
- cost to the Council of newly arrived people
- figures behind the headline figures
- reduced provision for liabilities - good risk management
- capital investment in schools
- Building Schools for the Future funding
- proportion of the revenue budget for schools delegated budget, RBT and PFI schemes
- PFI value
- Independent Remuneration Panel recommendations and elected Member budget savings proposals
- Housing Revenue Account
- Council Tax levels and resultant eligibility for grant funding
- job losses over the next four years
- status of proposals regarding staff pay

Resolved:- (1) That the information be noted.

(2) That the presentation be sent to all Members of the Council.

(3) That the requested information regarding the PFI value be sent to all Members of the Council.