

# How are we making a difference to our communities?

## **Integrated Performance Report Quarter 2 (July to September 2011)**

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## **How are we performing?**

Rossendale Borough Council has three priority themes which represent the main aims of Rossendale Borough Council. Against each of these priorities we have set out a range of actions, measures and targets for achievement. This report will tell you how well we are doing in delivering our priorities by; demonstrating the progress we are achieving in completing the actions and targets in our corporate plan together with providing key performance management information about the Council's performance.

### **Section 1 – High level performance summary**

### **Section 2 – Our Performance by Priority**

The report is supported by more detailed statistical information on the achievement of targets and descriptive commentary on current levels of performance, as follows:

### **Section 3 – Financial Performance**

### **Section 4 – Performance Indicators, Covalent Report**

### **Section 5 – Risks, Covalent Report**

### **Section 6 – Complaints**

### **Section 8 – Compliments**

## **Data Quality**

Rossendale Council is committed to improving services for local people; we recognise that strong performance management and robust data quality processes are an important part of helping us achieve this. Data Quality is about making sure that the data and information we use to compile this report is accurate, reliable and is provided in a timely manner. The council has introduced a Performance Management & Data Quality Strategy to ensure that all performance information (including the information you find in this document) continues to be collected and used efficiently and effectively to drive improvements in our services.

### **Who supplied the performance data for this report?**

The People & Policy team recognises that this report could not be produced without the timely, accurate and reliable contributions of officers throughout the Council. This report was compiled in October 2011 by the Council's People & Policy Team using the latest performance information input onto the covalent performance management system by officers with responsibility for performance information from each of the Council's service areas. The data on complaints and compliments was provided by the Service Assurance Team and financial information by the Head of Financial Services.

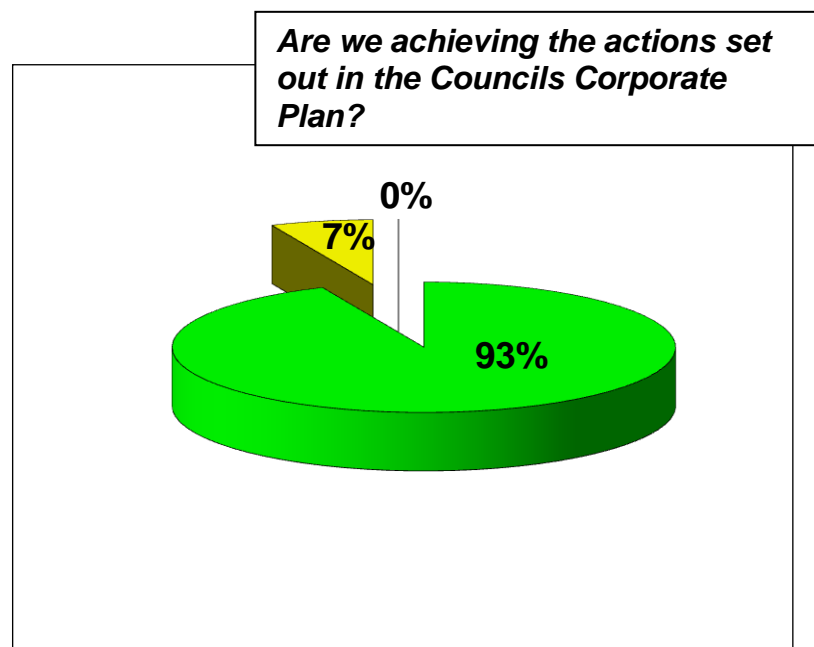
## **Section 1 – High level performance summary**

**This section of the report provides an overall summary of how the Council is performing against a range of key measures of performance.**

## 2.1 Rossendale Council's Corporate Plan – project implementation





The actions contained in the Corporate Plan represent the Council's highest priority projects - the effective implementation of these projects is essential in achieving the Council's stated priorities. Each project is assigned to a 'Portfolio Holder', together with a 'lead officer' who is responsible for the effective completion of the target by the agreed due date. Progress up-dates are required against each action which is due for completion within a date that is within 3 months of the project completion date.

Corporate Plan Actions			
Legend	Status	No.	%
<b>Green</b> ✔	Project on track, no substantial issues or risks which require action from the Council's Programme Board	<b>99</b>	<b>93.4%</b>
<b>Amber</b> ⚠	Some issues or risks which require action from the Council's Programme Board to keep the project on track	<b>7</b>	<b>6.6%</b>
<b>Red</b> ●	Project in jeopardy – serious issues or risks needing urgent action	<b>0</b>	<b>0%</b>
	Total number of actions	<b>106</b>	



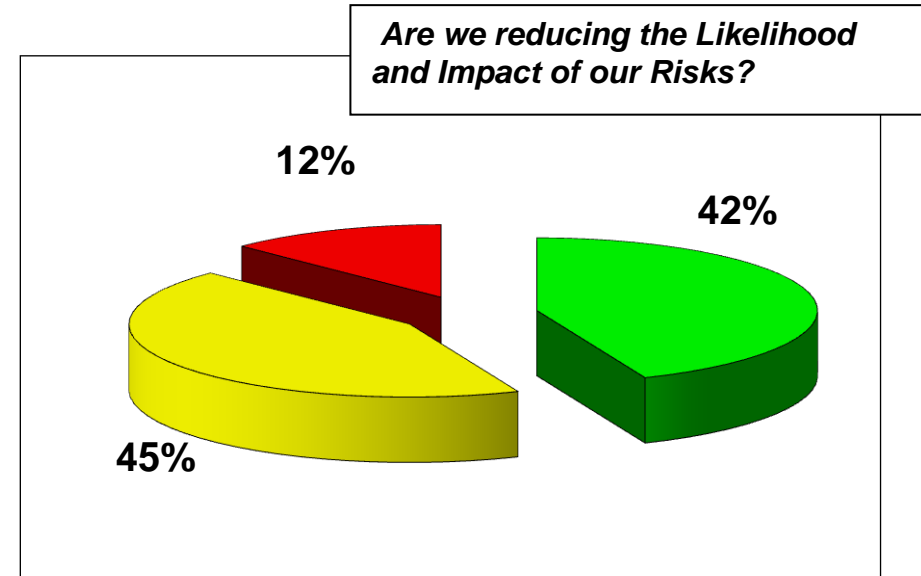
## 2.2 Performance Indicators – achieving targets?

Each year the Council sets targets for achievement against a range of performance indicators and regularly monitors throughout the year how well it is doing in achieving the targets it has set. The following table sets out how many targets are currently on track against National and Local Indicators, and against the targets that the Council is responsible for achieving contained in the Local Area Agreement for Lancashire.

Legend		Status	Performance Indicators	
			No.	%
<b>On Target</b>		The performance indicator has achieved or exceeded its quarterly target	<b>20</b>	<b>67%</b>
<b>Marginally Below Target</b>		The performance indicator is currently 5% or less from achieving its target	<b>9</b>	<b>30%</b>
<b>Below Target</b>		The performance indicator is currently more than 5% of achieving its target	<b>1</b>	<b>3%</b>
<b>Unknown</b>		The status cannot be calculated	<b>0</b>	<b>0%</b>
<b>Total for Quarter 2</b>			<b>30</b>	

## 2.3 How are we performing in managing our risks?

Risks			
Legend	Status	No.	%
<b>Green</b> ✓	The likelihood and impact of the risk is low	<b>14</b>	<b>42%</b>
<b>Amber</b> ▲	The likelihood and impact of the risk is medium	<b>15</b>	<b>45%</b>
<b>Red</b> ●	The likelihood and impact of the risk is high	<b>4</b>	<b>12%</b>
	<b>Total</b>	<b>33</b>	



## Reducing the Risks faced by the Council

Risks are those things which might present a barrier to us delivering the things we have undertaken to achieve. Each year the Council considers and reviews the potential risks it is facing and looks at what it might do to minimise the occurrence of such risks – this information is then regularly monitored and reviewed.

We profile our risks using a standard matrix (shown below) which is based on our making two judgments about each potential risk faced by the Council

### The Council's Risk Matrix

**1. How likely is it that the risk may occur (likelihood)?**

**2. If the risk did occur, how serious might be the consequences (impact)?**

**(Therefore a risk rated A1 is the highest risk rating and a risk of F5 is the lowest rating.)**

Likelihood	A					
	B					
	C					
	D					
	E					
	F					
		5	4	3	2	1
		Impact				







## **Section 2 – Performance against the Council’s Priorities**

**Each year the Council reviews and identifies its top priorities for achievement. The budget allocation and corporate and business planning processes are then used to direct the Council’s resources and efforts towards achieving its stated priorities. The following section of the report monitors the Council’s performance under each of the Council’s three priorities.**

## Priority 1 – A clean and green Rossendale

The Council has committed to deliver a range of actions and projects that are specifically aimed at “**A clean and green Rossendale**”. We have also set ourselves a range of targets and deadlines to be achieved, and identified the ‘risks’ which are those things that might present a barrier to delivering the targets we have undertaken to achieve. This section of the report summarises how well we are performing in delivering this priority.





### 1.1 How are we performing in A clean and green Rossendale?

Elements of performance that contribute towards the achievement of Priority 1	Totals	GREEN 		AMBER 		RED 		UNKNOWN 	
Corporate Plan Actions	3	3	100%	0	0%	0	0%	0	0%
Performance Indicators	1	1	100%	0	0%	0	0%	0	0%
Risks	1	0	0%	1	100%	0	0%	0	0%
<b>Total</b>	<b>5</b>	<b>4</b>	<b>80%</b>	<b>1</b>	<b>20%</b>	<b>0</b>	<b>0%</b>	<b>0</b>	<b>0%</b>

## Priority 2 – A healthy and successful Rossendale

The Council has committed to deliver a range of actions and projects that are specifically aimed at “**A healthy and successful Rossendale**”. We have also set ourselves a range of targets and deadlines to be achieved, and identified the ‘risks’ which are those things that might present a barrier to delivering the targets we have undertaken to achieve. This section of the report summarises how well we are performing in delivering this priority.





### 2.1 How are we performing in delivering A healthy and successful Rossendale?

Elements of performance that contribute towards the achievement of Priority 2	Totals	GREEN 		AMBER 		RED 		UNKNOWN 	
Corporate Plan Actions	19	17	89%	2	11%	0	0%	0	0%
Performance Indicators	1	0	0%	1	100%	0	0%	0	0%
Risks	7	4	57%	2	29%	1	14%	0	0%
<b>Total</b>	<b>27</b>	<b>21</b>	<b>78%</b>	<b>5</b>	<b>19%</b>	<b>1</b>	<b>4%</b>	<b>0</b>	<b>0%</b>

## Priority 3 – Responsive and value for money local services

The Council has committed to deliver a range of actions and projects that are specifically aimed at “**Responsive and value for money local services**”. We have also set ourselves a range of targets and deadlines to be achieved, and identified the ‘risks’ which are those things that might present a barrier to delivering the targets we have undertaken to achieve. This section of the report summarises how well we are performing in delivering this priority.

### 3.1 How are we performing in Keeping our Borough Clean, Green and Safe?

Elements of performance that contribute towards the achievement of Priority 3	Totals	GREEN 		AMBER 		RED 		UNKNOWN 	
Corporate Plan Actions	84	79	94%	5	6%	0	0%	0	0%
Performance Indicators	28	19	68%	8	29%	1	4%	0	0%
Risks	25	10	40%	12	48%	3	12%	0	0%
<b>Total</b>	<b>137</b>	<b>108</b>	<b>79%</b>	<b>25</b>	<b>18%</b>	<b>4</b>	<b>3%</b>	<b>0</b>	<b>0%</b>

## **Section 3 – Financial Performance**

**This section of the report details the Financial Performance of the Council including Financial Health Indicators**

## **Financial Performance cumulative to the end of Quarter 2**

The revenue budget at the end of Quarter 2 is predicting a favourable forecast for the full year of £142k, on an original budget of £10,547k.

The main variances are shown in the table below and they fall into a few main categories:-

1. Staff – the restructure of Communities and Operations proposed during the budget-setting process has fallen short of the planned £95k savings by £31k. However, other actions such as the recruitment of modern apprentices rather than agency staff, and restructures in Customer Services, Regeneration, Property Services and People & Policy have meant that overall the staff costs of the Council are predicted to be £138.1k lower than the original budget.
2. Public Realm income is expected to bring in a further £40k and the New Homes Bonus grant has come in £22k above predictions.
3. Recycling income is subject to market fluctuations and at the moment rates are higher than predicted in the budget. A gain of £168k is forecast based on present prices, but this may drop later in the year. To help even out the effects of the market this gain is being transferred to a 'budget volatility' reserve to insure future budgets against any adverse movements.
4. Housing Benefits Subsidy calculations showed a shortfall of £50k for the year when we reported in quarter1, but since then the approval of a registered social landlord within the borough has enabled fuller recovery of benefit costs incurred which has removed this variance. In addition, the inflation applicable to the Capita contract for revenues & benefits administration has been revised downwards to a £21k adverse variance compared to the £30k predicted in quarter 1.
5. IT projects proposed to save money in the original budget have been delayed, adding £42k costs and preventing some old communication lines from being closed which are expected to cost a further £13k over the year within property services.
6. Of the total £1.6m savings targets built into the original budget in February 2011, all bar £138k (£112k at the end of q1) are expected to be achieved during the year. However, as the overall general fund position is £142k favourable there have been other compensating savings identified during the year so far.
7. Treasury management continues to out-perform the model portfolio of our advisors, though the projections for interest rate recovery have been delayed by 2 years since the beginning of the financial year. Losses due to reduced interest rates have been compensated for by buoyant cash balances as the capital programme cash flows have changed during the year so far.

The capital programme for the year was originally set at £6,203k in February. In addition £1,827k was carried forward from 2010/11, creating an opening programme of £8,030k. Further projects have increased this to £8,658k, of which £1,959k (20%) has been spent or ordered to the end of September. Capital receipts from property sales amount to £32k with a further £35k due from two sales which are still in progress. Officers continue to monitor progress and are confident that the full budget target of £100k will be met.

**Major revenue variances predicted for 2011/12 (as at the end of quarter 2)**

Major Variances in September	Favourable /(Adverse)	Net
<b>Communities</b>		
Salaries & agency workers	26.7	
Public Realm income	32.3	
Cemeteries fee income	17.6	
Other variances	6.5	83.1
<b>Customer Services and e Government</b>		
Salaries & agency workers	(14.0)	
Revenues & Benefits Administration	(21.0)	
Software and IT projects	(42.2)	
Other variances	5.3	(71.9)
<b>Place Operations</b>		
Salaries, modern apprentices & agency workers	(6.3)	
Fuel	(2.3)	
Trade waste income	(15.0)	
Vehicles (hire, maintenance, tyres & tools)	(12.5)	
Refuse sacks & holders	(10.1)	
Public Realm income	7.2	
Recycling Income	168.3	
Recycling volatility reserve contribution	(168.3)	
Cost Share income from LCC	(11.9)	
Other minor variances	5.3	(45.6)
<b>Business Directorate</b>		
Staffing and agency cover	24.8	
Elections costs	11.0	
Members Allowances (non take-up)	9.4	
Land Charges income	(9.6)	
Licensing income	(7.8)	
Development Control income	(61.0)	
Other variances	20.8	(12.4)

Major Variances in September	Favourable /(Adverse)	Net
<b>Business - Health, Housing &amp; Regeneration</b>		
Staffing and agency cover	(0.6)	
Homelessness set-up costs	4.0	
Clare House set-up fees	5.6	
Museum management fee	15.7	
Other variances	9.0	33.7
<b>Corporate Management</b>		
Staffing and agency cover	38.4	
New Homes bonus incentive grant	22.0	
Other variances	11.0	71.4
<b>Finance &amp; Property Services</b>		
Staffing and agency cover	31.1	
Audit Commission Fees	8.0	
Business Centre income	(51.8)	
Rent-free allowances to voluntary groups	(12.5)	
Other rental income	20.3	
Business Rates	17.4	
Property running costs	2.0	
Repairs & Maintenance	44.5	
Communications (ISDN lines)	(13.0)	
Other variances	11.3	57.3
<b>People &amp; Policy (incl P&amp;P &amp; Comm)</b>		
Staffing and agency cover	38.0	
Children's Trust income from LCC	(5.0)	
Other variances	(0.9)	32.1
<b>Non-Distributed Costs &amp; Capital Financing</b>		
Interest receivable/payable	5.2	
Other variances	(11.0)	(5.8)
<b>Favourable/(adverse) on General Fund</b>		<b>141.9</b>

## Financial Health Indicators

The following table attempts to give some context to the financial performance reported to Members during 2010/11:

- Cash Balances – capital projects slippage continues to keep cash balances high, but interest rates have fallen and improvement has been delayed until September 2013. Treasury advice is to keep investments short (3 to 6 months) for security.
- Bank Interest generated – the Council has £8m on deposit at the end of quarter 2 which is earning from 1.41% to 2.1% interest. The £3m due to re-invested mid October is likely to be placed for just 3 months, which will earn c1.25%
- Corporate Spend - indicators 8 to 10 below have been realigned with the corporate spend analysis published on the website under the government's transparency agenda. This covers that portion of the Council's revenue and capital resources spent on goods and services, excluding staff salaries, benefit payments & banking transactions. This means that indicators 9 and 10 now more accurately portray the procurement decisions made by staff and members. Note - the increase in collaborative spend is helping to save the Council money, but is likely to work to the detriment of local SMEs who struggle to compete with larger buying frameworks.

		31 March 2011	End Q1 2011/12	End Q2 2011/12	End Q3 2011/12	End Q4 2011/12	Long Term Trend
1	Cash on deposit Indebtedness Net Position	£9,240k -£4,416k <b>=£4,824k</b>	£12,713k -£4,416k <b>= £8,297k</b>	£12,969k £4,324k <b>= £8,645k</b>			Cash continues to be strong as capital project spending awaited investment decisions over the summer. Receipts are generally on track.
2	Collection of <u>old</u> debts Council Tax NNDR Sundry Debtors	£3,214k £526k £519k	£2,675k £598k £90k	£2,484k £447k £68k			Figures show current balance outstanding on debts raised before the 31 <sup>st</sup> March 2011.
3	Collection of current yr debt Council Tax NNDR Sundry Debtors	97.6% 98.6% 80.5%	29.8% 30.9% 61.7%	57.9% 60.9% 80.4%			Collection of Council Tax is above the target of 57.7% for Q2 but NNDR is below the 63.6% target. Collection of sundry debt is improving
4	Interest v. SECTOR portfolio Interest income earned	+0.48% +£14.2k	+0.59% +£8.4k	+0.50% +£4.0k			Benefitting from increased cash flow position as above and improved interest rates on deposits
5	Corporate Spend (non pay)	£9,887k	£2,621k	£1,987k			Excl staff, benefits & treasury management
	- with local companies (£000 & %)	£1,306k Cum 13.2%	£279k 10.6%	£313k 12.8%			Annual target =19%
	- through collaborative contracts (£000 & %)	£2,947k Cum 21%	£421k 16.1%	£271k 15.0%			Annual target =12%



## **Section 4 – Performance Indicators**

**Detailed performance information relating to the achievement of targets against performance indicators**

# Guide for Performance Indicator Report

The Theme heading displays the corporate priority grouping for the following batch of Indicators

**Value & Target**  
These figures show the actual performance value and the target performance value

**Gauge Aim**  
This indicates whether the aim of the gauge is to have a high or a low number as possible

Priority *												
PI Code	Short Name	Responsible Officers	Quarter 2 2010-11		Quarter 2 2011-12			Gauge Aim	Trend	Latest Note	Expected Outcome	
			Q2 2010/11		Q2 2011/12							
			Value	Target	Status	Value	Target					Status
LI ***												
NI ***												
NI *** LAA												

**PI Code**  
**LI** – Local Indicators  
**NI** – National Indicators

Status	
	This PI is significantly below target.
	This PI is slightly below target.
	This PI is on target.
	This PI cannot be calculated.
	This PI is a data-only PI.

Trend	
	The value of this PI has improved in the short term.
	The value of this PI has worsened in the short term.
	The value of this PI has not changed in the short term.
	This Trend cannot be calculated.

# Quarter 2 Performance Indicator Report 2011-12

**Report Type:** PIs Report  
**Report Author:** Lee Admin\_Birkett  
**Generated on:** 01 November 2011



Rows are sorted by Code

**Description** Responsive and value for money local services

PI Code	Short Name	Responsible Officers	Quarter 2 2010-11			Quarter 2 2011-12			Annual 2011/12	Gauge Aim	Trend	Latest Note	Expected Outcome
			Q2 2010/11			Q2 2011/12							
			Value	Target	Status	Value	Target	Status					
LI 79bi	Percentage of Recoverable Overpayments Recovered (HB) that are recovered during period (LI 10)	ICT Technical Support Officer; Service Assurance Manager	55.32%	82.03%		47.94%	82.03%		82.03%	Aim to Maximise		This disappointing outturn required more investigation, as although the amount recovered (62K) is average, the amount created has significantly increased (£129K) resulting in a percentage outturn of 47.94%. Following the investigation, work is ongoing with the software suppliers to justify total outstanding, but it is noted some significant fraud overpayments were created during this quarter which have contributed to the relatively low outturn.	On Target

## Section 5 – Risks

**Detailed performance information about the actions being taken to minimise the occurrence of risk**

# Guide for Risks Report

This heading displays the Category Description and Strategy grouping for the following batch of Indicators



## Priority \*

Risk Code	Risk Title	Responsible Officer	Original Impact	Original Likelihood	Current Impact	Current Likelihood	Target Impact	Target Likelihood	Target Date	Latest Note	Latest Date	Status

Rows that have been shaded represent the Corporate Risks


The codes in these boxes refer to the Original, Current and Target Impact and Likelihood of a risk in accordance with the Council's Risk Matrix

Risk Status	
	OK
	Warning
	Alert


## Quarter 2 Risks Report 2011-12







**Report Type:** Risks Report  
**Report Author:** Lee Admin\_Birkett  
**Generated on:** 01 November 2011

### Description A clean and green Rossendale

Status	Risk Code	Risk Title	Head of Service	Data Collection Officer	Original Impact	Original Likelihood	Assessment Date	Current Impact	Current Likelihood	Last Review Date	Target Impact	Target Likelihood	Target Date	Latest Note	Latest Date
	HHR2	Non delivery of implementing Air Quality Management Areas	Stuart Sugarman	Ann McCue; Dave Pierce; Lorna Robinson	3	C	10-Oct-2011	3	C	10-Oct-2011	3	E	31-Mar-2012	Officers are working with partners and National advisory agencies to mitigate this risk.	10 Oct 2011




### Description A healthy and successful Rossendale

Status	Risk Code	Risk Title	Head of Service	Data Collection Officer	Original Impact	Original Likelihood	Assessment Date	Current Impact	Current Likelihood	Last Review Date	Target Impact	Target Likelihood	Target Date	Latest Note	Latest Date
	HHR1	Continued national economic decline	Stuart Sugarman	Steve Jackson; Ann McCue	1	B	10-Oct-2011	1	B	10-Oct-2011	1	C	30-Apr-2012	The economic climate continues to have a significant effect upon the development and delivery of regeneration initiatives. Officers continue to work closely with colleagues across the region to identify and develop ideas and initiatives which aim to support and grow the local economy	10 Oct 2011



Status	Risk Code	Risk Title	Head of Service	Data Collection Officer	Original Impact	Original Likelihood	Assessment Date	Current Impact	Current Likelihood	Last Review Date	Target Impact	Target Likelihood	Target Date	Latest Note	Latest Date
	HHR3	The number of long term empty properties increases	Stuart Sugarman	Steve Jackson; Ann McCue	3	C	10-Oct-2011	3	C	10-Oct-2011	4	F	31-Mar-2012	Work is ongoing to deliver the Vacant Property Strategy Action Plan, actions by all departments across the Council will reduce this risk.	10 Oct 2011
	HHR4	Private water supply regulation not implemented	Stuart Sugarman	Ann McCue; Dave Pierce	5	E	10-Oct-2011	5	E	10-Oct-2011	3	E	31-Mar-2012	Officers are working on an implementation plan to deliver the regulations over the next four years.	10 Oct 2011
	Plan1	Failure of Delivery of the LDF	Stuart Sugarman	Gwen Marlow; Adrian Smith; Anne Storah	1	E	30-Jun-2011	1	E	30-Jun-2011	2	D	31-Mar-2012	The Forward Planning Team is optimistic that the Inspector's Report will find the Core Strategy Sound but if not it would have a significant impact.	13 Oct 2011
	Plan2	Failure to deliver affordable housing targets	Stuart Sugarman	Rebecca Lawlor	3	E	13-Oct-2011	3	E	13-Oct-2011	3	D	31-Mar-2012	Officers have been working closely with Registered Providers to submit allocation bids for 11 - 15 to the HCA. Over 140 affordable housing units have received allocation from the HCA for delivery over the next three years.	13 Oct 2011
	Plan5	Failure to deliver commitments to English Heritage re programme of work for co funded posts	Stuart Sugarman	Stephen Stray	3	E	01-Jul-2011	3	E	01-Jul-2011	5	F	31-Mar-2012	Programme of work remains on track	14 Oct 2011
	Res7	None viability of the Business	Phil Seddon	Phil Seddon	3	C	01-Jun-2011	3	C	01-Jun-2011	4	D	31-Mar-2012	For the future the lack of interest in the Business Centre may result in	21 Oct 2011






Status	Risk Code	Risk Title	Head of Service	Data Collection Officer	Original Impact	Original Likelihood	Assessment Date	Current Impact	Current Likelihood	Last Review Date	Target Impact	Target Likelihood	Target Date	Latest Note	Latest Date
		Centre												greater consolidation of office space across our portfolio.	




### Description Responsive and value for money local services




Status	Risk Code	Risk Title	Head of Service	Data Collection Officer	Original Impact	Original Likelihood	Assessment Date	Current Impact	Current Likelihood	Last Review Date	Target Impact	Target Likelihood	Target Date	Latest Note	Latest Date
	BC1	Not achieving self financing status after three year accounting period and Failure to implement changes to the fee legislation	Stuart Sugarman	Keith Bell	4	E	01-Aug-2011	4	E	01-Aug-2011	3	E	31-Mar-2011	monitoring income to ensure self financing, on track at present time	05 Oct 2011
	BD1	Litigation due to Health & Safety Breaches	Stuart Sugarman	Stuart Sugarman	3	E	01-Dec-2011	3	E	01-Dec-2011	4	E	31-Mar-2012	System of Health and Safety Policy Review established. Health and Safety Audits in place issues being escalated as required	25 Oct 2011
	CS&ICT1	Information security breach and removal of access to DWP information (which is required to	Fiona Meechan	Andrew Buckle	1	A	01-Jun-2011	1	A	01-Jun-2011	1	C	31-Mar-2012	RBC are currently being re-assessed for the code of connection 4.1, the audit will take place in Nov 2011.	13 Oct 2011












Status	Risk Code	Risk Title	Head of Service	Data Collection Officer	Original Impact	Original Likelihood	Assessment Date	Current Impact	Current Likelihood	Last Review Date	Target Impact	Target Likelihood	Target Date	Latest Note	Latest Date
		delivery revenues and benefits services) as a result of failure to meet Government Connect required standards													
	CS&ICT2	Loss of data and inability to maintain business continuity as a result of inadequate disaster recovery and business continuity arrangements	Fiona Meechan	Andrew Buckle	1	C	01-Jun-2011	1	C	01-Jun-2011	2	D	31-Mar-2012	The recommendations from the LCC audit have gone to EMT and a draft action plan has been developed.	13 Oct 2011
	Elec1	Failure to acquire timely and accurate documentation within statutory timescales i.e. poll cards, postal ballot packs	Stuart Sugarman	Sian Roxborough; Joanne Smith	2	E	30-Dec-2011	2	E	30-Dec-2011	2	F	31-Mar-2012	Much care is taken during procurement to ensure that print suppliers have a proven record of providing the complex services required when producing postal votes, poll cards and ballot papers. References are taken from suppliers and the Elections Manager also takes up references from Association of Electoral Administrators colleagues.	30 Sep 2011

Status	Risk Code	Risk Title	Head of Service	Data Collection Officer	Original Impact	Original Likelihood	Assessment Date	Current Impact	Current Likelihood	Last Review Date	Target Impact	Target Likelihood	Target Date	Latest Note	Latest Date
	Elec2	Failure to ensure polling stations are DDA compliant / accessible to all	Stuart Sugarman	Sian Roxborough; Joanne Smith	4	A	30-Dec-2011	4	A	30-Dec-2011	4	A	31-Mar-2012	During the 2011 polling district review access arrangements at polling stations was considered and alternative stations sought, where available within the polling district. The Returning Officer considers arrangements at each polling station annually, prior to elections.	30 Sep 2011
	Elec3	Failure to safeguard the service/election from fraud and corruption	Stuart Sugarman	Sian Roxborough; Joanne Smith	2	F	30-Dec-2011	2	F	30-Dec-2011	2	F	31-Mar-2012	Election and registration information containing personal details that are being e-mailed from the Electoral Team is either encrypted or most often sent from a Government Connect e-mail address available to the office.	30 Sep 2011
	Elec4	Failure to hold robust and efficient Local (constituency / district), National and European Elections	Stuart Sugarman	Sian Roxborough; Joanne Smith	1	E	30-Dec-2011	1	E	30-Dec-2011	1	F	31-Mar-2012	There are no current updates to this risk.	30 Sep 2011
	Leg1	Fraud and Corruption	Stuart Sugarman	Sian Roxborough; Stuart Sugarman	2	E	21-Oct-2011	2	E	21-Oct-2011	2	E	31-Mar-2012	Anti bribery policy drafted and due to go to Cabinet for approval on 26/10/12. Anti bribery training delivered by Legal to officers 19/10/11.	24 Oct 2011
	Op1	Loss of financial income and	Fiona Meechan	Jason Foster; Keith	3	D	01-Jun-2011	3	D	01-Jun-2011	3	E	31-Mar-2012	Development of the recycling and waste minimization strategy is	25 Oct 2011

Status	Risk Code	Risk Title	Head of Service	Data Collection Officer	Original Impact	Original Likelihood	Assessment Date	Current Impact	Current Likelihood	Last Review Date	Target Impact	Target Likelihood	Target Date	Latest Note	Latest Date
		potential income due to reduction of, or failure to increase, recycling rates.		Jenkins										underway, to be delivered by the waste and recycling officer.	
	Op2	The loss of income from recycling due to a drop in market prices and or involvement in the Lancashire Waste PFI	Fiona Meechan	Jason Foster; Keith Jenkins	4	D	01-Jun-2011	4	D	01-Jun-2011	4	E	31-Mar-2012	New contracts were negotiated in September which are delivering a greater income and a change in the point of delivery has reduced costs, however this income is not guaranteed and so the risk remains.	25 Oct 2011
	PD1	Financial and reputational consequences of litigation due to Health & Safety Breaches	Fiona Meechan	Fiona Meechan	3	D	01-Jun-2011	3	D	01-Jun-2011	4	E	31-Mar-2012	Health and Safety Advisor is currently refreshing the Health and Safety Audits of all RBC bases and improvements have been noted. H&S Advisor also regularly attends the pre-JCC H&S meetings to provide professional advice where necessary and attends the JCC to discuss learning from incidents.	25 Oct 2011
	PD2	Financial and statutory consequences of having duty to deliver enhanced public health	Fiona Meechan	Fiona Meechan	3	D	01-Jun-2011	3	D	01-Jun-2011	4	E	31-Mar-2012	Public Health role for district councils is still unclear both nationally and locally. It is likely that the Public Health function for Lancashire will sit with LCC, but the responsibilities of/support for districts is as	25 Oct 2011

Status	Risk Code	Risk Title	Head of Service	Data Collection Officer	Original Impact	Original Likelihood	Assessment Date	Current Impact	Current Likelihood	Last Review Date	Target Impact	Target Likelihood	Target Date	Latest Note	Latest Date
		role if funding not directly allocated by central government and not allocated adequately by County												yet undefined.	
	PD3	Unable to meet public and member expectations in relation to service delivery across Operations and Communities due to reduced capacity	Fiona Meechan	Fiona Meechan	3	D	01-Jun-2011	3	D	01-Jun-2011	4	E	31-Mar-2012	A session was held with the section management teams in August to review the impact of the changes so far, and in particular the reduced capacity. The teams are currently reviewing workloads in accordance with neighbourhood priorities. Proposals will be brought before members for agreement.	25 Oct 2011
	Plan3	Budget reduced by reduction in fees from Development Control and Land Charges due recession	Stuart Sugarman	Diane Dungworth; Stephen Stray	2	C	01-Jul-2011	2	C	01-Jul-2011	2	D	31-Mar-2012	Income from major applications remains weak, though more recently pre application enquiries has picked up. Accordingly an upturn in income coming in is expected, but whether this will be sufficient to address the downturn earlier in the 1st and 2nd quarters is hard to gauge.	14 Oct 2011
	Plan4	Failure to determine	Stuart Sugarman	Diane Dungworth	2	D	01-Jul-2011	2	D	01-Jul-2011	2	E	31-Mar-2012	Minors and others are on target. In respect of	14 Oct 2011

Status	Risk Code	Risk Title	Head of Service	Data Collection Officer	Original Impact	Original Likelihood	Assessment Date	Current Impact	Current Likelihood	Last Review Date	Target Impact	Target Likelihood	Target Date	Latest Note	Latest Date
		planning applications in line with government targets		h; Stephen Stray										majors, the position is improving but more majors are required that are then determined on time to address the shortfall caused by purdah.	
	Res1	Pay to benefits & creditors and staff plus Income collection	Phil Seddon	Janice Crawford	4	C	30-Sep-2011	4	C	30-Sep-2011	2	F	31-Mar-2012	Arrangements have been made to commence the upgrade of receipting to the hosted Civica product, though this may take several months to complete. Once up and running this will transfer virtually all the risks associated with receipting systems over to Civica.	10 Oct 2011
	Res10	Failure to ensure Business Continuity	Liz Sandiford; Phil Seddon	Liz Sandiford; Phil Seddon	2	D	30-Jun-2011	2	D	30-Jun-2011	2	F	31-Mar-2012	Business continuity plans are currently being updated and transferred into the central corporate plan	21 Oct 2011
	Res2	Fail to implement IFRS effectively and efficiently	Phil Seddon	Janice Crawford	3	D	31-Aug-2011	5	F	31-Aug-2011	4	E	31-Mar-2012	Accounts for 2010/11 have now been audited and so this risk can be removed from the register.	08 Sep 2011
	Res3	The Council does not achieve the financial savings identified in the MTFS which are necessary to deliver its priorities	Phil Seddon	Janice Crawford	3	D	31-Oct-2011	3	D	31-Oct-2011	4	D	31-Mar-2012	This remains at the top of the agenda for both Members, management and all staff. October saw a Members evening. All staff consultation with the CEO has been arranged for Dec 2011.	21 Oct 2011

Status	Risk Code	Risk Title	Head of Service	Data Collection Officer	Original Impact	Original Likelihood	Assessment Date	Current Impact	Current Likelihood	Last Review Date	Target Impact	Target Likelihood	Target Date	Latest Note	Latest Date
		within a balanced budget													
	Res4	Unmanaged open spaces and land	Phil Seddon	Phil Seddon	2	D	18-Aug-2011	2	D	18-Aug-2011	2	D	31-Mar-2012	A review and position statement with action plan to be produced during 11/12	25 Oct 2011
	Res5	Equal Pay Claims	Liz Sandiford	Liz Sandiford	3	F	01-Sep-2011	3	F	01-Sep-2011	3	F	31-Mar-2012	No risks at this time	21 Oct 2011
	Res6	Non payment of salaries	Liz Sandiford	Angela Yates	2	F	01-Sep-2011	2	F	01-Sep-2011	5	F	31-Mar-2012	No risks at this time	21 Oct 2011
	Res8	Litigation due to Health & Safety Breaches	Liz Sandiford	Liz Sandiford	4	E	01-Sep-2010	4	E	01-Sep-2010	4	D	31-Mar-2012	Audits of service areas progressing. Health and Safety Manager escalating any concerns	21 Oct 2011
	Res9	Leisure facilities project is not delivered on time and to budget	Phil Seddon	Phil Seddon	3	C	01-Jun-2011	3	C	01-Jun-2011	3	D	31-Mar-2012	The risk of completion pre-Olympics is less relevant given that the scheme does not now include a new pool	21 Oct 2011

## Section 6 – Complaints

## Section 6 – Complaints

The Council has set standards to be achieved when managing the complaints received by the Council & monitors the progress we are making in achieving these standards upon a regular basis. This section of the report provides a summary of the number of complaints received by the Council between July to September 2011 - broken down by the area of service that the complaint related to, and by the nature of the complaint.

Head of Service	Service Area	Team	Complaints O/S at 30/06/11	Complaints Received During Q2	Complaints Closed During Q2	Complaints O/S at end of Q2
Resources	People & Policy	Executive Office				
		Human Resources				
		Policy & Performance				
		Communications		1	1	
	Finance & Property	Financial Services	1		1	
		Property Services		1	1	
Place	Operations	Refuse & Cleansing	1	12	13	
		Emergency Planning				
		Parks & Open Spaces				
	Customer Services	Capita - Council Tax Recovery		6	6	



Head of Service	Service Area	Team	Complaints O/S at 30/06/11	Complaints Received During Q2	Complaints Closed During Q2	Complaints O/S at end of Q2
		Capita- Council Tax	1	5	5	1
		Capita - Call Centre				
		Capita - Benefits		4	4	
		Capita – NNDR		1	1	
		Capita - OSS				
		ICT				
		Customer Service				
	Communities	Community Safety				
		Community Engagement		1		1
		Service Development				
Business	Health, Housing & Regeneration	Locality Teams		2	2	
		Regeneration Delivery				
		Regeneration Progs				
		Economic Development				
		Traffic & Parking				
	Environmental Health					
	Legal	Legal Services		1	1	

Head of Service	Service Area	Team	Complaints O/S at 30/06/11	Complaints Received During Q2	Complaints Closed During Q2	Complaints O/S at end of Q2
		Committee & Member Services		7	6	1
		Elections				
		Public Protection Unit		2	2	
	Building Control	Building Control				
	Planning	Forward Planning				
		Development Control	1		1	
		Land Charges				
		<b>Total</b>	<b>4</b>	<b>43</b>	<b>44</b>	<b>3</b>

## 6.1 Category of Complaint

	Type of Complaint	Number
1	Technical/legal/regulatory issue	5
2	Poor communication	3
3	Delayed response/lack of response	4
4	Complaint against a named officer	4
5	Complaint received via MP	
6	Complaint received via Councillor	
7	Complaint about RBC policy or procedures	27
	No type of complaint assigned	
	<b>Total</b>	<b>44</b>

When a complaint is received by the Council it is assigned to one of seven categories, according to the nature of the complaint. In this way we can monitor whether particular themes or issues are emerging.

## 6.2 - Ombudsman Complaints

If a member of the public feels that the Council has not dealt adequately with their complaint, they may refer their complaint to The Local Government Ombudsman (LGO) who investigates complaints by members of the public who consider that they have been caused injustice through administrative fault by local authorities and certain other bodies. Rossendale Borough Council has no control over the duration of an Ombudsman investigation – they can take days, weeks or even years.

The Council has received recognition from the Ombudsman in relation to its work in improving the management of complaints and how this has resulted in much fewer complaints being made to the Ombudsman. This work has also led to a substantial reduction in the number of 'open' complaints being handled by the Ombudsman.

### Ombudsman Complaints (1<sup>st</sup> July to 30<sup>th</sup> September 2011)

Head of Service	Service Area	O/S at start	New	Completed	O/S at end
<b>Place</b>	Council Tax Recovery	0	1	0	1
<b>Business</b>		0	0	0	0
<b>Executive</b>		0	0	0	0
	<b>Total</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>1</b>

**Note:** Only complaints under 'full investigation' have been included in this report.

Premature complaints, preliminary enquiries and those which we know of but have not been officially notified of have been removed to avoid duplication with Service Assurance's figures.

## Section 7 – Compliments

## Section 7 – Compliments

This section of the report provides a summary of the number of compliments received by the Council between July to September 2011 - broken down by the area of service that the compliment related to as well as a comparison of the previous 3 quarters.

Directorate	Service Area	Team	Compliments received during:			
			October - December 2010	January – March 2011	April – June 2011	July – September 2011
Chief Executive	People & Policy	Human Resources		1		
		Policy & Performance				
		Communications	1	2	2	1
	Finance & Property	Financial Services				
		Property Services	1		1	1
Place	Operations	Refuse & Cleansing	17	12	5	7
		Emergency Planning				
		Parks & Open Spaces	3	2	1	
	Customer Services	Capita - Council Tax Recovery				

		Capita – Business Rates				1
		Capita - Council Tax				
		Capita - Call Centre				
		Capita - Benefits	1			
		Capita - OSS	2	2	2	1
		ICT			1	
		Customer Services		2	2	1
		STAN the Van		40	20	21
	Communities	Community Safety		1		
		Community Engagement		5		2
		Emergency Planning	1			
		Service Development				
		Area Officers	4	3	3	4
	Business	Health, Housing & Regeneration	Regeneration Delivery		1	
Regeneration Progs			2		1	
Economic Development				1		

		Environmental Health		1	1	1
		Traffic & Parking				
	Legal	Legal Services	7	8	6	23
		Committee & Member Services	2	1	2	3
		Elections		2	7	4
		Public Protection Unit	1			2
	Building Control	Building Control	5	7		
	Planning	Forward Planning			1	
		Development Control	8	1	1	2
		Land Charges			1	1
<b>Total</b>			<b>55</b>	<b>92</b>	<b>57</b>	<b>75</b>