

## Notice of Meeting

# Overview & Scrutiny Committee

**Date:** Wednesday, 22 July 2015

**Time:** 17:30

**Venue:** Crosfield Hall (Romsey), Broadwater Road, Romsey, Hampshire,  
SO51 8GL

**For further information or enquiries please contact:**

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**Legal and Democratic Service**

Test Valley Borough Council,  
Beech Hurst, Weyhill Road,  
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SP10 3AJ

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The recommendations contained in the Agenda are made by the Officers and these recommendations may or may not be accepted by the Committee.

**PUBLIC PARTICIPATION SCHEME**

*If members of the public wish to address the meeting they should notify the Legal and Democratic Service at the Council's Beech Hurst office by noon on the working day before the meeting.*

## Membership of Overview & Scrutiny Committee

| <b>MEMBER</b>           |               | <b>WARD</b>                       |
|-------------------------|---------------|-----------------------------------|
| Councillor C Lynn       | Chairman      | Winton                            |
| Councillor A Finlay     | Vice Chairman | Chilworth, Nursling &<br>Rownhams |
| Councillor N Adams-King |               | Blackwater                        |
| Councillor D Baverstock |               | Cupernham                         |
| Councillor P Bundy      |               | Chilworth, Nursling &<br>Rownhams |
| Councillor J Cockaday   |               | St Mary's                         |
| Councillor S Cosier     |               | North Baddesley                   |
| Councillor D Drew       |               | Harewood                          |
| Councillor B Few Brown  |               | Amport                            |
| Councillor K Hamilton   |               | Harroway                          |
| Councillor I Jeffrey    |               | Dun Valley                        |
| Councillor J Lovell     |               | Winton                            |
| Councillor J Neal       |               | Millway                           |
| Councillor B Page       |               | Harroway                          |
| Councillor T Preston    |               | Alamein                           |
| Councillor J Ray        |               | Cupernham                         |
| Councillor K Tilling    |               | Valley Park                       |

# Overview & Scrutiny Committee

Wednesday, 22 July 2015

## AGENDA

The order of these items may change as a result of members of the public wishing to speak

- 1 **Apologies**
- 2 **Public Participation**
- 3 **Declarations of Interest**
- 4 **Call in Items**
- 5 **Urgent Items**
- 6 **Urgent decisions taken since last meeting**
- 7 **Minutes of the meeting held on 27 May 2015.**
- 8 **Risk Management Annual Report** **5 - 31**

This report provides the Committee with an update on the key risks contained in the Council's Corporate Risk Register and a snapshot of Service Risks as well as summarising the amendments to the Risk Management Strategy.
- 9 **Grant Review** **32 - 42**

This report provides OSCOM with an update of the Councillor Community Grants since inception in September 2012.
- 10 **Annual Review - Complaints** **43 - 79**

Annual summary of complaints dealt with under the Council's formalised procedure 2014/15 for consideration by the Overview and Scrutiny Committee.



## Item 8 Risk Management Annual Report

Report of the Head of Finance (Portfolio: Economic)

### Recommended:

1. That the annual report on Risk Management be reviewed and noted.
2. That the amended Risk Management Strategy be endorsed.

#### SUMMARY:

This report provides the Committee with an update on the key risks contained in the Council's Corporate Risk Register (attached as Annex 1) and a snapshot of Service Risks (attached as Annex 2) as well as summarising the amendments to the Risk Management Strategy (Annex 3).

### 1 Introduction

- 1.1 The Corporate Risk Register shows changes from the previous quarter highlighted in ***bold italics***. The register includes the risk scores and target risk scores for five quarters in order to demonstrate the direction of travel of the risks over the year.
- 1.2 The summary of service red risks presented is a 'snapshot' from the most recent versions of the service risk registers, it does not show the progress over the last year as the corporate register does.
- 1.3 A commentary on the Corporate and Service red risks has been provided in the body of this report.

### 2 Background

- 2.1 During the year the Corporate Risk Register and Service Risk Registers are updated on a quarterly basis by Officers Management Team and at the end of the year the Risk Management Strategy is reviewed and updated as appropriate.
- 2.2 The Principal Auditor facilitates this review and update and is able to respond to any queries relating to the risk management process. Any questions relating to the management of specific risks will however need to be taken up with the "Risk Owner" shown in the register.

- 2.3 The risk register includes a target risk score. This reflects the expected impact and likelihood of the risk if the planned actions are completed by the planned deadline. The nature of corporate risks is such that we do not expect to see changes in the scores over one or two quarters, by their nature these risks, and therefore the movement in risks scores, will generally be longer term.
- 2.4 We would expect to see some risk scores decreasing as a result of carrying out the future actions. However there will be some risks where the future actions are designed to prevent the risks (likelihood and/or impact) from getting any worse and therefore we would expect the score to remain the same despite having carried out the further actions by the stated date. The format of the risk register has been revised to distinguish between those risks which are being managed to maintain a risk level (score) and those which are being managed to decrease a risk level (score).
- 2.5 The register also now differentiates those risks which are “Accepted” i.e. the target score has been achieved on these risks and no further action is planned other than ongoing monitoring. Risks remain on the register as an aide memoire to ensure these are subject to ongoing review.

### **3 Risk Management Strategy**

- 3.1 The strategy has been reviewed for 2014 and a copy provided in Annex 3. Minor amendments have been made to the contents page and to:
- (a) Reflect the new Corporate Plan.
  - (b) Explain the risk profile.
- 3.2 The revised strategy will be available on the Council’s website once approved.
- 3.3 The Corporate risk register is to be reviewed against the new Corporate Action Plan later in the year.

### **4 Summary of Corporate Risks**

- 4.1 The following section provides a summary of those Corporate Risks which are being managed to maintain or reduce the risk score.
- 4.2 (C1) The risk of a lack of social housing increasing pressure on the TVBC housing waiting list – New staffing arrangements were introduced during 2014 with 2 temporary posts made permanent. The target date has been revised to September 2015 to encompass the monitoring of the new arrangements and the homelessness caseload. The risk score has remained the same throughout the year and reflects the current stability of the Housing Waiting List.
- 4.3 (C2) The likelihood of the risk of a breach of the Data Protection Act occurring – The risk score has been maintained at “low” likelihood during the year. Member training is to be picked up as part of the induction process and staff e-learning is under development.

- 4.3 (C3) The risk that TVBC fail to prepare and agree up to date strategic and local planning documents - The target date has been revised to October 2015 when any further action will be considered pending the outcome of the inspector's report. The risk score has remained unchanged over the year. An action has also been added to timetable work required for the next Local Development Scheme.
- 4.4 (C4) The risk that the Council is unable to effectively manage its assets - Recruitment of Building Surveyor is underway with the target date having been revised to August 2015. An action has been added regarding the funding and rollout of the 2016-18 Asset Management Plan with a target date of November 2015.
- 4.5 (C5) Failure of Service and Corporate BCPs in the event of an incident – Business Continuity arrangements have been reviewed by management during the year. This is reflected in the 2 revised actions and target dates in the register for completion of an accommodation and IT business continuity plan and the subsequent revision of the Service BCPs.
- 4.6 (C8) Breach of public procurement regulations, poor value for money, poor contract management - The work plan for procurement for 2014/15 has been implemented with the exception of training on the revised Public Procurement Regulations and a new plan agreed for 2015/16. The score has remained constant and the target date has therefore been revised to March 2016.
- 4.7 (C10) - The risk of inappropriate comments/behaviour/actions from staff - The action to review the Employee Code of Conduct was revised to August 2015 at the last meeting to tie in with the New Member Code of Conduct to be introduced following the Borough Council elections. The risk score has stayed unchanged throughout the year.
- 4.8 (C12) – The risk of breaching the Equality Act – The target date has been revised to December 2015 with training to be included in the Member induction process.
- 4.9 (C13) – The risk of a rise in homelessness - This remains the highest scoring risk on the corporate register. The risk and target scores have remained constant at red throughout the year although the risk score reduced from “Very high” to “High” from December. This was due to the review of staffing arrangements which has enabled close monitoring of homelessness caseloads. An action to continue to monitor the situation and the use of bed and breakfast accommodation is set to coincide with the next quarterly review of the risk register.
- 4.10 (C14) – The risk that TVBC is unable to predict the impact of the introduction of Universal Credit and the resource impact - The planned implementation date for Universal Credit is 23/09/15. The risk score “likelihood” has been reduced from “Low” to Very Low” as the initial stages of implementation relate just to new claims for single jobseekers. The risk score will be reassessed once larger numbers start to transfer. The target date has been revised to December 2015 to reflect this.

## 5 Summary of Service red (high) risks

- 5.1 There are two red risks currently recognised as “High” within Services. These are shown in Annex 2. This provides a ‘snapshot’ from the most recent versions of the service risk registers, it does not show the progress over the last year as the corporate register does.
- 5.2 Service red risks are considered by Management Team as part of the quarterly review to consider their inclusion or not in the Corporate Risk Register.

## 6 Conclusion

- 6.1 The Council has successfully embedded Risk Management into its day to day activities, business planning and decision making processes whilst maintaining a common sense approach and without it becoming an onerous task on Officers and Councillors.
- 6.2 Risks are identified and managed throughout the year and are formally captured quarterly and reported annually.
- 6.3 The Officers’ Management Team will continue to monitor corporate and service risks registers throughout the year and take necessary action as appropriate.
- 6.4 The Principal Auditor will continue to notify OSCOM Members of any risk targets that are not achieved on a quarterly basis.

The Committee is requested to consider the annual corporate risk report and to endorse the revised Risk Management Strategy.

|  |                                 |       |              |
|--|---------------------------------|-------|--------------|
| <u>Background Papers (Local Government Act 1972 Section 100D)</u>  |                                 |       |              |
| None   |                                 |       |              |
| <u>Confidentiality</u>   |                                 |       |              |
| It is considered that this report does not contain exempt information within the meaning of Schedule 12A of the Local Government Act 1972, as amended, and can be made public. |                                 |       |              |
| No of Annexes:   | 3                               |       |              |
| Author:  | Jan Balfour                     | Ext:  | 8234         |
| File Ref:  |                                 |       |              |
| Report to:   | Overview and Scrutiny Committee | Date: | 22 July 2015 |



## MANAGED RISKS

(The following risks are actively being managed with action planned to develop the "Existing Risk Controls" to maintain the Target score. Target score has been achieved and is not anticipated to change as is considered the residual risk score at this point in time).

| Corporate plan link | Risk (C1)  | Date risk identified | Factors   | Consequences  | Existing Risk Controls  | June 2014 Risk Score                       | Sept 2014 Risk Score                       | Dec 2014 Risk Score                        | March 2015 Risk Score                      | June 2015 Risk Score                       |
|---------------------|--|----------------------|---|---|---|--|--|--|--|--|
| HO                  | LACK OF SOCIAL HOUSING WILL INCREASE PRESSURE ON TVBC HOUSING WAITING LIST | Nov-11               | Housing market conditions. Reduced/delayed capital receipts supporting Council's capital programme. Change to government policies. Welfare reforms. | Lack of appropriate and available affordable housing. Rise in homelessness, increase in use of B&B accommodation. | Housing Strategy developed to determine affordable housing priorities across the Borough. Flexible use of allocations within Hampshire Home Choice Allocations framework and restriction of vacancies to people with Test Valley connections and increased use of private sector tenancies may reduce impact of increasing homelessness. Report approved by Cabinet to investigate a range of different initiatives aimed at improving the supply of new affordable housing and making best use of the existing housing stock. Memorandum of Understanding for the HARA Partnership has been reviewed and extended until 2018 to enable the Partnership to benefit from the latest bidding round for funding from the Homes and Communities Agency. Cabinet agreed to make two temporary posts permanent on 17 December 2014. Both posts are focused on homelessness prevention and securing accommodation in the private sector  | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant |
| Type of risk        | Risk Owner   | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer  | Action Target Date  | Required Action   | June 2014 Target Score                     | Sept 2014 Target Score                     | Dec 2014 Target Score                      | March 2015 Target Score                    | June 2015 Target Score                     |
| Economic            | B Cowcher  | Y                    | Control   | June-15 Sept 15   | Develop appropriate partnership working arrangements to deliver the Housing Strategy objectives.<br>Investigate the list of potential initiatives approved by Members supporting the continued supply of new affordable housing and making best use of the existing housing stock.<br>Continue to Monitor the impact of the new affordable Rents regime.<br>Implement the revised Allocations Framework in light of the Localism Act and new statutory Code of Guidance.<br>Make greater use of the private rented sector in accordance with the Localism Act 2011. We will continue investigating options that the Council might wish to consider in terms of investing in land and property acquisition which might have a beneficial impact on affordable housing supply.<br>Close monitoring of homelessness caseload and the use of bed and breakfast required to ensure new staffing arrangements are delivering the required outcomes.<br><br><b>(NB: The Housing Waiting list remains stable at the present time)</b> | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant |

| Corporate plan link | Risk (C2)   | Date risk identified | Factors  | Consequences   | Existing Risk Controls  | June 2014 Risk Score                   | Sept 2014 Risk Score                   | Dec 2014 Risk Score                    | March 2015 Risk Score                  | June 2015 Risk Score                   |
|---------------------|---|----------------------|--|--|---|--|--|--|--|--|
| EN/ EC/ HO/ CO      | LOSS OR RELEASE OF PERSONAL DATA IN CONTRAVENTION OF THE DATA PROTECTION ACT 1998 | pre June 2011        | Lack of awareness of relevant legislation and local data security and data sharing policies. Increased public awareness of legislation. Nature of Political environment. | Fine imposed by Information Commissioner and bad publicity and reputational damage | Heads of Service aware of risks; the informal audit of how well training has bedded in was positive; services holding sensitive data are aware of the legislation and the risks; all services have appointed a DPA rep; reps attend 1/4ly forum; training on redaction has been given. Contractors and Suppliers who require access and/or need to remove data whether in hard copy format or from the contained secure network must agree and sign both the Council's 'Information Security Policy' and 'Data Sharing Code of Practice' terms and conditions before obtaining access. Guidance for Members from the ICO is contained in the Members' Handbook. Members have received training. Procedure note for dealing with breach published on intranet. Breach policy in place. Controlled (Swipe card ) access to offices. | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical |
| Type of Risk        | Risk Owner  | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer   | Action Target Date   | Required Action   | June 2014 Target Score                 | Sept 2014 Target Score                 | Dec 2014 Target Score                  | March 2015 Target Score                | June 2015 Target Score                 |
| Legislative         | B Lynds   | Y                    | Control  | May-15 Dec 15  | Member training to be picked up as part of the induction. in-May-15.<br>Staff E-learning is being developed.  | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical |

| Corporate plan link     | Risk (C3)   | Date risk identified | Factors   | Consequences   | Existing Risk Controls  | June 2014 Risk Score                   | Sept 2014 Risk Score                   | Dec 2014 Risk Score                    | March 2015 Risk Score                  | June 2015 Risk Score                   |
|-------------------------|---|----------------------|---|--|---|--|--|--|--|--|
| EN/ EC/ HO/ CO          | <b>FAILURE TO PREPARE AND AGREE UP TO DATE STRATEGIC AND LOCAL PLANNING DOCUMENTS</b> | Sep-11               | Time frame for consultation on key documents informing the Local Plan. Impact of NPPF. Perspective of Government Inspector. Changes to government policy. | Unstructured and unstrategic development. Successful planning appeals having reputational and financial consequences | Revised Local Development Scheme approved by Council Jan 2014.Reg 19 consultation ends 7th March 2014 supported by updated evidence base submission to Sec of state summer 2014 | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical |
| Type of Risk            | Risk Owner  | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer  | Action Target Date   | Required Action   | June 2014 Target Score                 | Sept 2014 Target Score                 | Dec 2014 Target Score                  | March 2015 Target Score                | June 2015 Target Score                 |
| Legislative/ regulatory | S Lees  | Y                    | Control   | <del>June-15</del><br><b>Oct 15</b><br><br><b>Sept 15</b>  | Further action depends on outcome of inspectors report.<br><br><b>Local Development Scheme (timetable) to be provided to Members</b>  | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical |

| Corporate plan link | Risk (C4)  | Date risk identified | Factors  | Consequences   | Existing Risk Controls  | June 2014 Risk Score                       | Sept 2014 Risk Score                       | Dec 2014 Risk Score                        | March 2015 Risk Score                      | June 2015 Risk Score                       |
|---------------------|--|----------------------|--|--|---|--|--|--|--|--|
| EC/EN               | <b>COUNCIL UNABLE TO MANAGE ASSETS EFFECTIVELY</b> | Nov-11               | Backlog of repairs. Limited resources being used for significant projects including office move. | In breach of legal obligations, physical harm to a person due to poor repair, financial penalties, lost rental income on investment properties. Impact on budgets due to costs of major repairs. | Additional Temporary Maintenance Staff recruited to assist in the delivery of the Asset Management and Maintenance Plans. Resource Plan in place for the delivery of these plans, along with Site Condition Survey Date for each premise and weekly delivery / planning review meetings commenced. Site Condition Surveys completed for all assets. Output from surveys collated into a new draft 5 year programme for delivery and funding (2016-2021) | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant |
| Type of Risk        | Risk Owner   | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer   | Action Target Date   | Required Action   | June 2014 Target Score                     | Sept 2014 Target Score                     | Dec 2014 Target Score                      | March 2015 Target Score                    | June 2015 Target Score                     |
| Physical            | S Ellis  | Y                    | Control  | <del>May-15</del><br><b>Aug 15</b><br><br>Nov 15   | Recruitment of temporary building surveyor.<br><br>Funding and rollout of 2016/21 AMP Plan.   | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant |

| Corporate plan link | Risk (C5)   | Date risk identified | Factors  | Consequences  | Existing Risk Controls  | June 2014 Risk Score                             | Sept 2014 Risk Score                             | Dec 2014 Risk Score                              | March 2015 Risk Score                            | June 2015 Risk Score                             |
|---------------------|---|----------------------|--|---|---|--|--|--|--|--|
| EN/ EC/ HO/ CO      | FAILURE OF SERVICE AND CORPORATE BUSINESS CONTINUITY PLANS IN THE EVENT OF A SERIOUS INCIDENT | pre June 2011        | Lack of awareness of corporate priorities, critical services, contents of service and corporate BCPs and how to respond. | The Council would not be able to get its vital services up and running to meet the immediate needs of the community. The Council would be in breach of the Civil Contingencies Act. Bad publicity / loss of reputation/ loss of public confidence/financial consequences, potential hardship. | Internal Audit review of all BCP's completed and outcomes and Action Plan discussed with all Services.  | E1(A) Likelihood; Very low; Impact: Catastrophic | E1(A) Likelihood; Very low; Impact: Catastrophic | E1(A) Likelihood; Very low; Impact: Catastrophic | E1(A) Likelihood; Very low; Impact: Catastrophic | E1(A) Likelihood; Very low; Impact: Catastrophic |
| Type of Risk        | Risk Owner  | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer   | Action Target Date  | Required Action   | June 2014 Target Score                           | Sept 2014 Target Score                           | Dec 2014 Target Score                            | March 2015 Target Score                          | June 2015 Target Score                           |
| Legislative         | M White/All HoS   | Y                    | Control  | Dec-14<br>Sept 15<br>Jan 16   | Follow up testing on a regular basis (at least annually). Service BCPs to be updated. Report to Management Team.<br>Completion of the accommodation and IT Business Continuity Plan which will influence the re-write of the Service BCPs.<br>Service BCPs to be revised and updated. | E1(A) Likelihood; Very low; Impact: Catastrophic | E1(A) Likelihood; Very low; Impact: Catastrophic | E1(A) Likelihood; Very low; Impact: Catastrophic | E1(A) Likelihood; Very low; Impact: Catastrophic | E1(A) Likelihood; Very low; Impact: Catastrophic |

| Corporate plan link      | Risk (C8)  | Date risk identified | Factors  | Consequences  | Existing Risk Controls  | June 2014 Risk Score                       | Sept 2014 Risk Score                       | Dec 2014 Risk Score                        | March 2015 Risk Score                      | June 2015 Risk Score                       |
|--------------------------|--|----------------------|--|---|---|--|--|--|--|--|
| EN/ EC/ HO/ CO           | THE PUBLIC PROCUREMENT REGULATIONS 2006 MAY NOT BE BEING CONSISTENTLY APPLIED ACROSS ALL SERVICES WITHIN THE COUNCIL. GOODS, WORKS AND SERVICES ARE POORLY PROCURED AND DO NOT ACHIEVE BEST VALUE. CONTRACTS MAY BE POORLY MANAGED POST PROCUREMENT. | pre June 2011        | Lack of awareness and understanding of Procurement Regulations, Procurement Strategy and Contract Standing Orders. | Legal challenges from potential suppliers. Loss of reputation / bad publicity for the Council. Financial consequences (e.g. compensation claims, penalties etc). Poor value for money achieved. | Procurement Officer has been appointed and involved in significant procurements and has conducted training for middle managers. Guidance documents are available on the intranet. Procurement Strategy approved by Cabinet. Contract Standing Orders and Financial Procedure Rules were updated and approved by Full Council on 7th Nov, 2012. Communicated to all staff via the staff information bulletin. Procurement work plan for 2014/15 agreed by OMT and fulfilled with the exception of training on revised procurement regulations. | D3(A) Likelihood; Low, Impact: Significant | D3(A) Likelihood; Low, Impact: Significant | D3(A) Likelihood; Low, Impact: Significant | D3(A) Likelihood; Low, Impact: Significant | D3(A) Likelihood; Low, Impact: Significant |
| Type of Risk             | Risk Owner   | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer   | Action Target Date  | Required Action   | June 2014 Target Score                     | Sept 2014 Target Score                     | Dec 2014 Target Score                      | March 2015 Target Score                    | June 2015 Target Score                     |
| Partnership/ Contractual | W Fullbrook  | Y                    | Control  | Mar-14 Mar 16   | Implement 2015/16 procurement work programme. To include provision of training to MMF, Heads of Service and Contracting Officers on the revised Public Procurement Regulations.   | D3(A) Likelihood; Low, Impact: Significant | D3(A) Likelihood; Low, Impact: Significant | D3(A) Likelihood; Low, Impact: Significant | D3(A) Likelihood; Low, Impact: Significant | D3(A) Likelihood; Low, Impact: Significant |

| Corporate plan link       | Risk (C10)  | Date risk identified | Factors  | Consequences   | Existing Risk Controls  | June 2014 Risk Score                       | Sept 2014 Risk Score                       | Dec 2014 Risk Score                        | March 2015 Risk Score                      | June 2015 Risk Score                       |
|---------------------------|---|----------------------|--|--|---|--|--|--|--|--|
| EN/ EC/ HO/ CO            | <b>INAPPROPRIATE COMMENT/ BEHAVIOUR/ ACTIONS FROM STAFF</b> | pre June 2011        | Levels of staff awareness of expectations regarding conduct. Efficiency pressures, stretched resources. Staff expectations. Nature of Political environment. | Loss of reputation / bad publicity for the Council. Financial consequences (e.g. compensation claims, penalties etc) | Customer Experience Training for relevant staff. Induction programme incorporates Values which are embedded in the Corporate Plan. Complaints monitored at Performance Boards. Enhanced role being developed for Complaints and Improvement Officer to enable Services to learn from issues highlighted by complaints and media monitoring. Appreciative and behavioural based appraisal rolled out for all staff. IT and social media policy in place. | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant |
| Type of Risk              | Risk Owner  | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer   | Action Target Date   | Required Action   | June 2014 Target Score                     | Sept 2014 Target Score                     | Dec 2014 Target Score                      | March 2015 Target Score                    | June 2015 Target Score                     |
| Managerial / Professional | B Lynds   | Y                    | Control  | Aug-15   | Employee code of conduct to be reviewed and updated to tie in with New Member Code of Conduct to be introduced following Borough Council elections. It will then be communicated to all staff.  | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant |

| Corporate plan link | Risk (C13)                  | Date risk identified | Factors   | Consequences   | Existing Risk Controls  | June 2014 Risk Score  | Sept 2014 Risk Score                           | Dec 2014 Risk Score                       | March 2015 Risk Score                     | June 2015 Risk Score                      |
|---------------------|-----------------------------|----------------------|---|--|---|---|--|---|---|---|
| HO                  | <b>RISE IN HOMELESSNESS</b> | May-12               | Welfare Reform changes including Universal Credit direct payments, state of the economy, availability and affordability of private rented sector accommodation. Statutory function supported heavily by temporary staffing. | We overspend our budget and experience difficulty in achieving the Government's targets for households in bed and breakfast. Households experience hardship. | homelessness prevention work, working with private landlords, increase supply of temporary accommodation through short term lets, bolster funding for rent deposit scheme. Temporary Homelessness Prevention Officer and Private Sector Landlord Liaison Officer now made permanent. Close monitoring of trends on quarterly basis to detect significant changes as soon as possible. Arrangement with Aster for managing and increasing if necessary, the short term let portfolio has been renewed. Priority given to homeless applicants living in temporary private sector leased accommodation reviewed. Changes to Banding priorities within Allocation Policy implemented. Monthly checks of new cases where benefit restricted and advice given on housing options accordingly. | A2(R ) Likelihood: Very high, Impact: Critical  | A2(R ) Likelihood: Very high, Impact: Critical | B2(R ) Likelihood: High, Impact: Critical | B2(R ) Likelihood: High, Impact: Critical | B2(R ) Likelihood: High, Impact: Critical |
| Type of Risk        | Risk Owner                  | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer  | Action Target Date   | Required Action   | June 2014 Target Score  | Sept 2014 Target Score                         | Dec 2014 Target Score                     | March 2015 Target Score                   | June 2015 Target Score                    |
| Social & Economic   | K Sutcliffe/ B Cowcher      | Y                    | Control   | <del>June-15</del><br>Sept 15  | Homelessness caseload <b>to continue</b> to be closely monitored as well as the use of bed and breakfast accommodation to ensure new staffing arrangements are working effectively. Priority to continue to be given to increasing the supply of affordable housing and the availability of private rented accommodation.   | A2(R ) Likelihood: Very high, Impact: Critical  | A2(R ) Likelihood: Very high, Impact: Critical | B2(R ) Likelihood: High, Impact: Critical | B2(R ) Likelihood: High, Impact: Critical | B2(R ) Likelihood: High, Impact: Critical |
|                     |                             |                      |   |  |   | NB: The reduction in the risk score is due to a review of staffing levels resulting in the Temporary Homelessness Prevention Officer and Private Sector Landlord Liaison Officer posts being made permanent. This has helped to minimise the use of bed & breakfast . |  |   |   |   |

| Corporate plan link   | Risk (C14)   | Date risk identified | Factors  | Consequences   | Existing Risk Controls   | June 2014 Risk Score                                | Sept 2014 Risk Score                                | Dec 2014 Risk Score                                 | March 2015 Risk Score                               | June 2015 Risk Score  |
|---|--|----------------------|--|--|--|---|---|---|---|---|
| HO/CO   | TVBC IS UNABLE TO PREDICT THE SCALE OF THE IMPACT OF UNIVERSAL CREDIT AND THE RESOURCE IMPACT THIS WILL HAVE ON THE COUNCIL IN ASSISTING OUR MOST VULNERABLE RESIDENTS | Mar-14               | Introduction of Universal Credit                   | Customers - impact of 4 weekly payment switch, responsibility for paying rent, availability of IT access and support, availability of financial advice / guidance.<br>TVBC - role unclear at this stage therefore level and type of support to be provided unknown, funding arrangement unknown, on-going requirement to provide support via discretionary housing payments. | The Council has established an Employment and Skills Zone Partnership with Jobcentre Plus, registered housing providers and relevant local voluntary organisations. The purpose is to coordinate employment, training and placement opportunities primarily for tenants and benefits recipients. Regular partnership meetings are being held. 2 Jobs fairs have been held at The Lights in 2014.<br><br>The Council held a Welfare Reform Event on 24 January 2014. Members of the Test Valley Partnership and a representative from DWP met to identify areas of partnership working in preparation for the introduction of Universal Credit. An action plan is being developed. A pilot scheme to provide IT access and support via volunteers is being implemented in North Baddesley and Lockerley this is due to be extended to Nursling. Introduction of an electronic claim for Housing Benefit and Council Tax Support has been completed. | D3(A)<br>Likelihood:<br>Low, Impact:<br>Significant | D3(A)<br>Likelihood:<br>Low, Impact:<br>Significant | D3(A)<br>Likelihood:<br>Low, Impact:<br>Significant | D3(A)<br>Likelihood:<br>Low, Impact:<br>Significant | E3(G)<br>Likelihood:<br>Very Low,<br>Impact:<br>Significant |
| Type of Risk  | Risk Owner   | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer | Action Target Date   | Required Action  | June 2014 Target Score                              | Sept 2014 Target Score                              | Dec 2014 Target Score                               | March 2015 Target Score                             | June 2015 Target Score                                      |
| Social and economic   | B Cowcher-/J Broomfield  | Y                    | Control  | Dec 15   | Implementation of Skills Zone and partnership action plans<br><br>Public Sector Landlords Forum - on-going dialogue and information exchange<br><br>Consideration of further benefit e-forms to encourage job seekers to interact on-line in preparation for Universal Credit.<br><br><b>A project meeting to be held with the DWP Partnership Manager 08/06/15 ahead of the planned implementation date for Universal Credit on 23/09/15. The initial stage of implementation will be for new claims for singleJobseekers only.</b>   | D3(A)<br>Likelihood:<br>Low, Impact:<br>Significant | D3(A)<br>Likelihood:<br>Low, Impact:<br>Significant | D3(A)<br>Likelihood:<br>Low, Impact:<br>Significant | D3(A)<br>Likelihood:<br>Low, Impact:<br>Significant | E3(G)<br>Likelihood:<br>Very Low,<br>Impact:<br>Significant |
| NB: The risk score "Impact has reduced as implementation relates just to new claims for single jobseekers at this stage and will be re-assessed later in the project once larger numbers start to transfer. |  |                      |  |  |  |   |   |   |   |   |

**MANAGED RISKS**

(The following risks are actively being managed with action planned to develop the "Existing Risk Controls" to **achieve** the Target score.

| Corporate plan link | Risk (C12)                         | Date risk identified | Factors  | Consequences  | Existing Risk Controls  | June 2014 Risk Score                            | Sept 2014 Risk Score                            | Dec 2014 Risk Score                             | March 2015 Risk Score                           | June 2015 Risk Score                            |
|---------------------|------------------------------------|----------------------|--|---|---|---|---|---|---|---|
| EN/ EC/ HO/ CO      | <b>BREACH OF EQUALITY ACT 2010</b> | Sep-11               | Staff and Members unaware of Equalities legislation and its application. Nature of Political environment. Amendments to Equality Act | Council decisions are not properly assessed for their equality impact and as an employer doesn't take into account equalities legislation. Possible Judicial Review of Council decisions and costs awarded against the Council. | (1) Equalities training undertaken for all TVBC staff in 2010/11.<br>(2) Equality impact assessment process in place for all decisions made by Cabinet<br>(3) Equal opportunities policy in place. (4) Equalities training to be undertaken by all new recruits | D3(A) Likelihood: Low, Impact: Significant      | D3(A) Likelihood: Low, Impact: Significant      | D3(A) Likelihood: Low, Impact: Significant      | D3(A) Likelihood: Low, Impact: Significant      | D3(A) Likelihood: Low, Impact: Significant      |
| Type of Risk        | Risk Owner                         | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer   | Action Target Date  | Required Action   | June 2014 Target Score                          | Sept 2014 Target Score                          | Dec 2014 Target Score                           | March 2015 Target Score                         | June 2015 Target Score                          |
| Legislative         | A Ferrier                          | Y                    | Control  | Dec-15  | Equalities training will be included as part of the induction programme in late 2015 and undertaken by all Councillors.   | E3(G) Likelihood: Very Low, Impact: Significant | E3(G) Likelihood: Very Low, Impact: Significant | E3(G) Likelihood: Very Low, Impact: Significant | E3(G) Likelihood: Very Low, Impact: Significant | E3(G) Likelihood: Very Low, Impact: Significant |

**ACCEPTED RISKS**

(The target score has been achieved on the following risks and no further action is planned other than ongoing monitoring . Risks remain on the register as an aide memoire to ensure subject to ongoing review)

| Corporate plan link      | Risk (C6)  | Date risk identified | Factors   | Consequences   | Existing Risk Controls  | June 2014 Risk Score                       | Sept 2014 Risk Score                       | Dec 2014 Risk Score                        | March 2015 Risk Score                      | June 2015 Risk Score                       |
|--------------------------|--|----------------------|---|--|---|--|--|--|--|--|
| EN/ EC/ HO/ CO           | <b>CUSTOMER SERVICE LEVELS AND STAFF ARE ADVERSELY AFFECTED BY PRESSURES ON ORGANISATIONAL RESOURCES</b> | pre June 2011        | Efficiency savings. Public expectations. Organisational change. | Low staff morale, increased stress levels, reduction in quality of customer service, increase in customer complaints, bad publicity, increase in staff sickness levels, increased turnover in staff. | Regular, clear, open and honest communication with all staff and councillors. Constructive and meaningful collective consultation with Trade Unions and individually affected members of staff. Conducting organisational change processes in accordance with the Council's policies and values. Monitoring capacity issues across the organisation through Performance Boards. | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant |
| Type of Risk             | Risk Owner   | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer              | Action Target Date   | Required Action   | June 2014 Target Score                     | Sept 2014 Target Score                     | Dec 2014 Target Score                      | March 2015 Target Score                    | June 2015 Target Score                     |
| Managerial/ Professional | R Tetstall   | N                    | Accept  | Ongoing  |   | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant |

| Corporate plan link | Risk (C7)   | Date risk identified | Factors   | Consequences   | Existing Risk Controls   | June 2014 Risk Score                               | Sept 2014 Risk Score                               | Dec 2014 Risk Score                                | March 2015 Risk Score                              | June 2015 Risk Score                               |
|---------------------|---|----------------------|---|--|--|--|--|--|--|--|
| EN/ EC/ HO/ CO      | <b>INAPPROPRIATE COMMENT/ BEHAVIOUR/ ACTIONS FROM COUNCILLORS</b> | pre June 2011        | Localism Act has removed the national code of conduct leaving Councils to adopt their own. Lack of awareness of the new code of conduct. Nature of Political environment. | Loss of reputation / bad publicity for the Council/ financial consequences (e.g. compensation claims, penalties etc) | Member induction and other training; local code of conduct; Member/Officer protocol; Member declarations of interest; Head of Legal role, Code of conduct adopted and training of most members undertaken. FAQs have been prepared and issued. | C3(A) Likelihood: Significant, Impact: Significant | C3(A) Likelihood: Significant, Impact: Significant | C3(A) Likelihood: Significant, Impact: Significant | C3(A) Likelihood: Significant, Impact: Significant | C3(A) Likelihood: Significant, Impact: Significant |
| Type of Risk        | Risk Owner  | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer  | Action Target Date   | Required Action  | June 2014 Target Score                             | Sept 2014 Target Score                             | Dec 2014 Target Score                              | March 2015 Target Score                            | June 2015 Target Score                             |
| Political           | B Lynds   | N                    | Accept  | Ongoing  |  | C3(A) Likelihood: Significant, Impact: Significant | C3(A) Likelihood: Significant, Impact: Significant | C3(A) Likelihood: Significant, Impact: Significant | C3(A) Likelihood: Significant, Impact: Significant | C3(A) Likelihood: Significant, Impact: Significant |

| Corporate plan link | Risk (C9)  | Date risk identified | Factors  | Consequences   | Existing Risk Controls  | June 2014 Risk Score                            | Sept 2014 Risk Score                            | Dec 2014 Risk Score                             | March 2015 Risk Score                           | June 2015 Risk Score                            |
|---------------------|--|----------------------|--|--|---|---|---|---|---|---|
| EN/ EC/ HO/ CO      | <b>POLITICAL AND OTHER SHORT TERM PRESSURES MAY DRIVES "SHARED SERVICE" ARRANGEMENTS WHICH ARE NOT IN THE AUTHORITY'S BEST LONG TERM INTERESTS</b> | Sep-11               | Economic pressures to achieve efficiency savings.  | Such arrangements may not deliver value for money in the longer term and/or result in a reduced standard of service to the 'customer'. | Ensure <ul style="list-style-type: none"> <li>that the full resource implications of entering into such an arrangement are explicitly assessed;</li> <li>that the future nature and standard of the service in question is clear and that the Council will retain sufficient control over these matters in the future;</li> <li>that such arrangements are not assessed only on a piecemeal basis but also for their cumulative implications for the Council as a whole.</li> </ul> | E3(G) Likelihood: Very low, Impact: Significant | E3(G) Likelihood: Very low, Impact: Significant | E3(G) Likelihood: Very low, Impact: Significant | E3(G) Likelihood: Very low, Impact: Significant | E3(G) Likelihood: Very low, Impact: Significant |
| Type of Risk        | Risk Owner   | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer | Action Target Date   | Required Action   | June 2014 Target Score                          | Sept 2014 Target Score                          | Dec 2014 Target Score                           | March 2015 Target Score                         | June 2015 Target Score                          |
| Political           | R Tetstall   | N                    | Accept   | Ongoing  |   | E3(G) Likelihood: Very Low, Impact: Significant | E3(G) Likelihood: Very Low, Impact: Significant | E3(G) Likelihood: Very Low, Impact: Significant | E3(G) Likelihood: Very Low, Impact: Significant | E3(G) Likelihood: Very Low, Impact: Significant |

| Corporate plan link | Risk (C11)   | Date risk identified | Factors   | Consequences   | Existing Risk Controls  | June 2014 Risk Score                         | Sept 2014 Risk Score                         | Dec 2014 Risk Score                          | March 2015 Risk Score                        | June 2015 Risk Score                         |
|---------------------|--|----------------------|---|--|---|--|--|--|--|--|
| EN/ EC/ HO/ CO      | <b>FAILURE TO RECOGNISE POSSIBLE ABUSE AND TO ADEQUATELY AND APPROPRIATELY RESPOND TO CONCERNS ABOUT SAFEGUARDING CHILDREN AND VULNERABLE ADULTS</b> | pre June 2011        | Vulnerable service users. Staff and Member lack of awareness of confidence about how to respond. Recent legislative update regarding CRB. | Inability to demonstrate the policy and procedures to ensure we meet our statutory obligations to safeguard children and vulnerable adults. Failure to do so could result in investigation and penalties for the Council and a failure in safeguarding control for the child or vulnerable adult. Reputational damage. | Member of Hampshire Safeguarding Children Board. Local Children's Partnership Plans facilitate multi-agency working around safeguarding. Safeguarding Policy and Action Plan has been approved (for children and vulnerable adults). Support in place for staff or Members who have reported a concern. Events Guidelines, Photography guidance and Social networking guidance in place. Member training has been provided in 2014. | D2(A) Likelihood: Low, Impact: Critical      | D2(A) Likelihood: Low, Impact: Critical      | D2(A) Likelihood: Low, Impact: Critical      | D2(A) Likelihood: Low, Impact: Critical      | D2(A) Likelihood: Low, Impact: Critical      |
| Type of Risk        | Risk Owner   | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer  | Action Target Date   | Required Action   | June 2014 Target Score                       | Sept 2014 Target Score                       | Dec 2014 Target Score                        | March 2015 Target Score                      | June 2015 Target Score                       |
| Social              | D Tasker   | N                    | Accept  | Ongoing  | Training to continue on a rolling programme and other safeguarding procedures are ongoing.  | E2(A) Likelihood: Very Low, Impact: Critical | E2(A) Likelihood: Very Low, Impact: Critical | E2(A) Likelihood: Very Low, Impact: Critical | E2(A) Likelihood: Very Low, Impact: Critical | E2(A) Likelihood: Very Low, Impact: Critical |

| Corporate plan link | Risk (15)  | Date risk identified | Factors   | Consequences  | Existing Risk Controls   | June 2014 Risk Score                            | Sept 2014 Risk Score                            | Dec 2014 Risk Score                             | March 2015 Risk Score                           | June 2015 Risk Score                            |
|---------------------|--|----------------------|---|---|--|---|---|---|---|---|
| CO                  | <b>ACCESS TO CENTRAL GOVERNMENT DATA SOURCES WITHDRAWN AS A RESULT OF NON COMPLIANCE WITH PUBLIC SERVICES NETWORK (PSN) NETWORK STANDARD</b> | May-13               | Compliance to the PSN "Code of Connection" reassessed annually, and on-going IT changes must be made with compliance in mind. | Services lose access to centrally held data, e.g. Revenues to DWP data; Electoral Registration to IR Services; Senior officers to secure email. | IT Service prioritises and undertakes a comprehensive annual review of its security of data, and access methods to that data. This is assessed by CESG/GCHQ and their recommendations implemented where possible feasible and/or practical to do so.               | E3(G) Likelihood: Very low, Impact Significant  | E3(G) Likelihood: Very low, Impact Significant  | E3(G) Likelihood: Very low, Impact Significant  | E3(G) Likelihood: Very low, Impact Significant  | E3(G) Likelihood: Very low, Impact Significant  |
| Type of Risk        | Risk Owner   | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer  | Action Target Date  | Required Action  | June 2014 Target Score                          | Sept 2014 Target Score                          | Dec 2014 Target Score                           | March 2015 Target Score                         | June 2015 Target Score                          |
| Technological       | T Fawcett  | N                    | Accept  | Apr-16  | Continued implementation of 3rd party recommendations, review of existing and new policies and establish responses and implementations of new statutory requirements of the PSN Authority. Undertake CoCo submissions and evidencing as required by Cabinet Office | E3(G) Likelihood: Very Low, Impact: Significant | E3(G) Likelihood: Very Low, Impact: Significant | E3(G) Likelihood: Very Low, Impact: Significant | E3(G) Likelihood: Very Low, Impact: Significant | E3(G) Likelihood: Very Low, Impact: Significant |



**SERVICE RED RISKS**

**ANNEX 2**

| Service             | Corporate plan link | Risk (LW34)  | Date risk identified | Factors   | Consequences       | Existing Risk Controls   | June 2015 Risk Score                            |
|---------------------|---------------------|--|----------------------|---|--------------------|--|---|
| Community & Leisure | CO                  | <b>STAFF PUT AT RISK IN CERTAIN WORK SITUATIONS.</b> | Sep-14               | extent of and nature of lone working across service | staff put at risk  | signing out board, buddying system, mobile phones, paired working in appropriate circumstances, risk assessments | C2 (R) Likelihood: Significant Impact: Critical |
|                     | Type of risk        | Risk Owner   | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer  | Action Target Date | Required Action  | Target Score                                    |
|                     | Legislative         | Louisa Rice  | Y                    | Control   | Jun-15             | revisit policy, risk asses all aspects of lone working and update action plan as appropriate                     | D2(A) Likelihood: Low Impact: critical          |

| Service                | Corporate plan link | Risk (ES23)  | Date risk identified | Factors  | Consequences                           | Existing Risk Controls  | June 2015 Risk Score                            |
|------------------------|---------------------|--|----------------------|--|--|---|---|
| Environmental Services | Environment         | <b>COLLAPSE OF INCOME STREAMS - ESPECIALLY RECYCLING</b> | NA                   | National/global markets - fluctuation. Decrease in demand for materials. Reduced value of materials. | Significant impact on revenue budgets. | Disposal contractor has long term contracts in place to mitigate short term market fluctuations in value. | C2 (R) Likelihood: Significant Impact: Critical |
|                        | Type of Risk        | Risk Owner   | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer   | Action Target Date                     | Required Action   | Target Score                                    |
|                        | Financial           | Head of Service & Waste and Recycling Manager            | N                    | Accept   |  |   | C2 (R) Likelihood: Significant Impact: Critical |

## **Annex 3**

# **Test Valley Borough Council Risk Management Strategy**

**Reviewed June 2015**

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## 1 - Context

### 1.1 What is Risk Management?

Risk is something that could happen that might have an impact on the achievement of the Council's objectives.

The purpose of risk management is to manage the barriers to achieving these objectives.

Risk Management can be defined as:

"The management of integrated or holistic business risk in a manner consistent with the virtues of economy, efficiency and effectiveness. In essence it is about making the most of opportunities (making the right decisions) and about achieving objectives once those decisions are made. The latter is achieved through controlling, transferring and living with risks" *ZMMS/SOLACE, Chance or choice? July 2000.*

Risk management is therefore a strategic tool and is an essential part of effective and efficient management and planning.

The Council has a clear vision statement "to be an organisation of excellence committed to improving the quality of life of all the people of Test Valley". In order to achieve this, the Council has established a Corporate Plan. The Plan outlines the Council's priorities for Test Valley over the next four years. It sets out our direction and provides a co-ordinated focus for all our activities and services for the years 20145 to 20159. The plan has been developed by reviewing the priorities outlined in the ~~two~~ previous corporate plans **and through customer consultation. Maximising impact for 2007-2011 and Making a Difference 2003-2007.** It takes into account the views of local people, statistical data about the Borough and the experience of democratically elected councillors. In order to ensure that effective and efficient management and planning takes place, the Council recognises the need to fully embed robust risk management arrangements.

Risk management is a tool for ensuring that the Council makes the most of its opportunities as well as managing potential threats. Clear understanding of the risks around opportunities enables the Council to take innovative decisions with assurance.

### 1.2 Corporate and Service Risks

Corporate risks are those which cannot be attributed to specific services. They include corporate governance issues, members, overall finance matters, reputation and public confidence levels. The management of corporate risks will look at the corporate control measures in place to guard against these risks happening.

Service risks will tend to be more operational and will relate specifically to the respective service objectives. Actions to prevent or control these risks are likely to be managed at a service level.

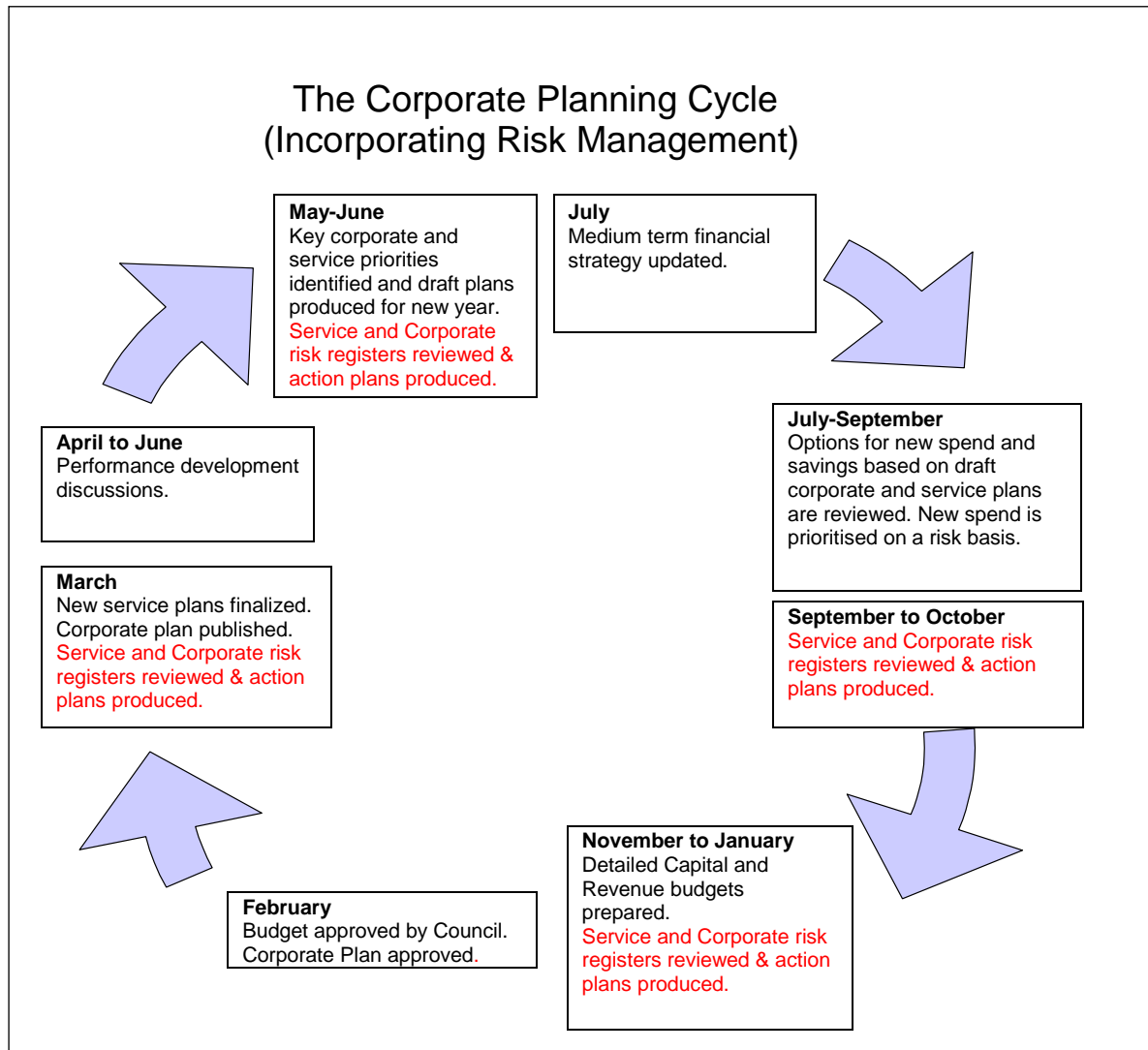
Corporate and service risks are not mutually exclusive and a service risk may have the potential to impact on the whole of the Council and likewise a corporate risk may relate to, or require management from, one particular service.

## 2 – Strategic Approach to Risk Management

### 2.1 Risk Management and the Corporate Planning Cycle

The Council recognises the obvious link between corporate planning and risk management. The following is an outline of the corporate planning timetable.

**Figure 1: Corporate Planning Cycle**



In February the budget is approved. In March service plans are finalised and service risk registers are updated as part of this process. Following this the corporate risk register is updated to reflect the new priorities.

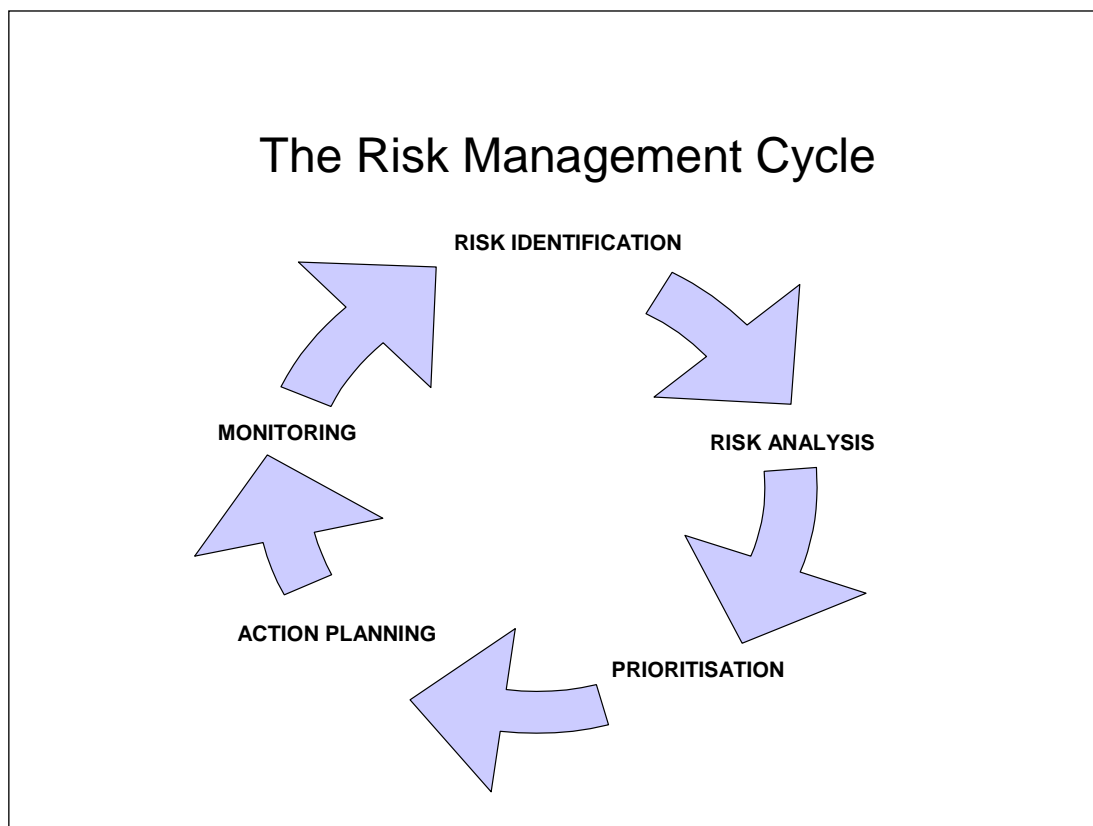
During July to September options for new spend and savings are reviewed and forecasts updated. All options, opportunities and projects included in these forecasts are prioritised by the Officers Management Team during an in depth scrutiny process which considers the risks to the Council.

### 3 – Implementation of Risk Management

#### 3.1 The Risk Management Process

Implementing the strategy involves identifying, analysing, prioritising, managing and monitoring risks as shown in figure 2.

Figure 2: The Risk Management Cycle



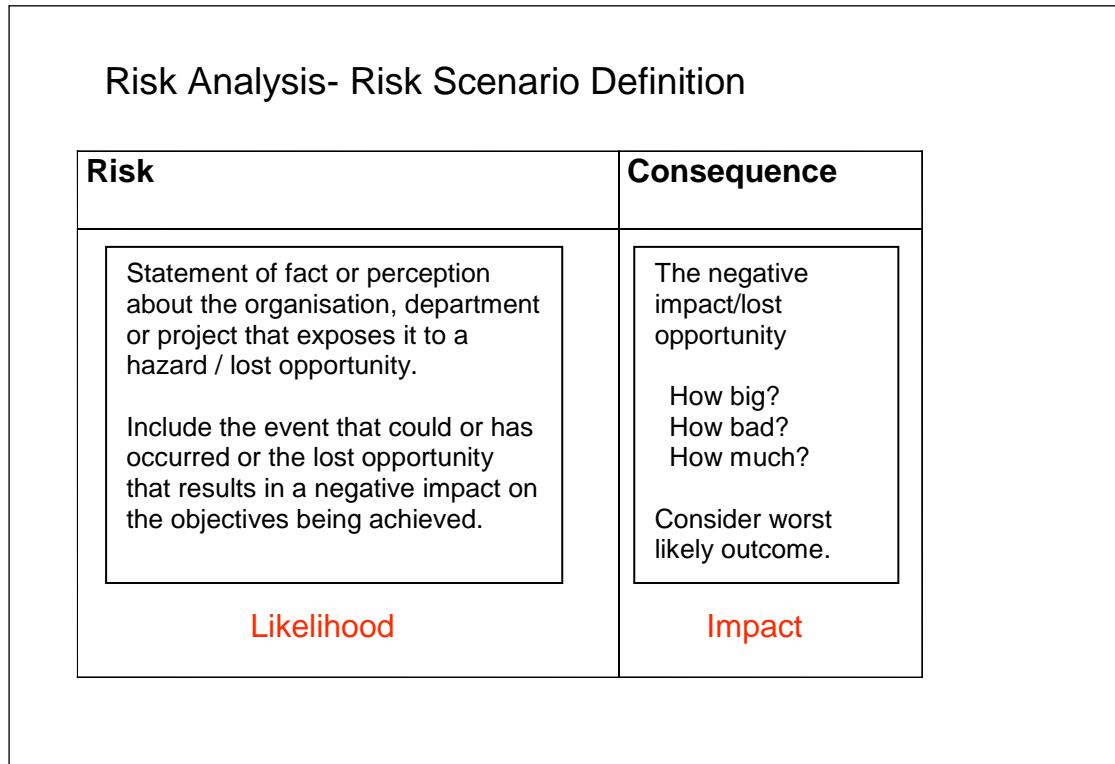
#### Stage 1 – Risk Identification

Stage 1 is to identify the 'key' risks that could affect the achievement of business objectives. Appendix 2 can be used as a prompt to ensure that consideration is given to the broad spectrum of potential risk areas. The focus is on identifying 'key' or 'significant' business risks and where possible risks are related back to the service or organisation's key business objectives.

## Stage 2 – Risk Analysis

The information that is gathered is analysed into risk scenarios to ensure clear understanding of the root cause and consequences. There are 2 parts to a risk scenario as illustrated in Figure 3.

**Figure 3: Structure of a Risk Scenario**



The risk and consequences are put into context by considering the factors which influence or have a bearing on the likelihood or impact. Often these are external factors such as changes to legislation, government policy or the UK economy.

Existing controls for each risk are listed as they inform the risk prioritisation stage. As part of the action planning stage, the adequacy of these existing controls is looked at before considering further action.

## Stage 3 – Risk Prioritisation (Risk Score)

Risks are assessed and scored using a 6x4 matrix, according to the potential likelihood of the risk occurring (within a specified timescale) and its impact if it does.

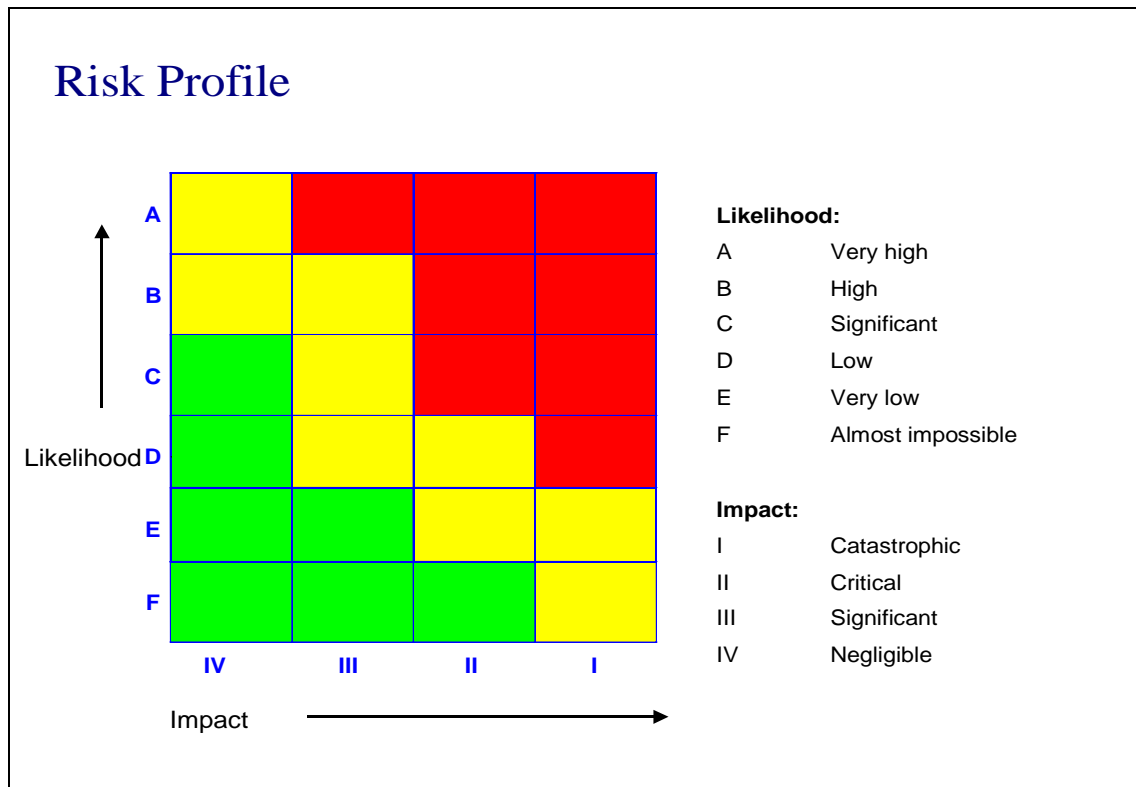
The risk score also assigns a simple traffic light system which further indicates the priority of the risk and its importance;



- Red risks are high priority and must be addressed immediately then reviewed at least 3 monthly
- Amber risks are medium priority and must be addressed as soon as possible, then reviewed at least 3 monthly
- Green risks are those which are judged to be adequately controlled currently but must still be reviewed. at least 3 monthly

**By mapping the scores for all Corporate or Service risks onto the risk matrix this provides the risk profile for the Council as a whole or for a particular Service area.**

**Figure 4: Risk Matrix**



**Stage 4 – Action Planning**

For each risk an assessment is made as to whether to control, accept, transfer or terminate the risk.

- **Control** - It is usually possible to mitigate the risk by ‘managing down’ the likelihood, the impact, or both. Any control measures must reflect the potential frequency, severity and financial consequences of the risk event.
- **Accept** - Some risks may have to be accepted as they form part of, or are inherent in, the activity. In addition there are some risks over which we can have no control and some for which any management actions would

be prohibitive in terms of resource. The important point is that these risks are identified, clearly understood and acknowledged.

- **Transfer** – Some risks can be transferred to another body or organisation i.e. insurance, contractual arrangements, outsourcing, partnerships etc. It is however acknowledged that some risks e.g. reputation can never be transferred.
- **Terminate** – We may be able to eliminate a risk by ending all or part of a particular service or project.

### **Stage 5 – Monitoring Risk Management**

The Officers Management Team (OMT) is responsible for ensuring that the key risks on the corporate risk register are managed and the progress with the risk controls monitored at appropriate intervals. A full review of the corporate risk register is carried out on a quarterly basis as part of the corporate planning cycle.

Heads of Service are responsible for ensuring that the key risks in their service risk registers are managed and the progress with the risk controls monitored at appropriate intervals. A full review of each service risk register is carried out quarterly as part of the service planning cycle.

The Overview and Scrutiny Committee (OSCOM) receives an annual progress report on the continued development and embedding of risk management within the Council. Their role is to review the corporate risk register and associated actions.

The Risk Management Strategy and process are also reviewed and updated annually and any changes are approved by the OMT and OSCOM.

## 3.2 Roles and Responsibilities

### Chief Executive and Officers Management Team

The Chief Executive and the Officers Management Team are pivotal in the promotion, demonstration and embedding of risk management within the Council. Their key tasks are:

- recommending to the Cabinet the Risk Management Strategy and revisions thereof;
- supporting and promoting risk management throughout the Council;
- actively identifying, assessing, managing and monitoring corporate risks;
- the Head of Finance takes lead responsibility for championing and embedding risk management within the Council.

### Overview and Scrutiny Committee

The Overview and Scrutiny Committee takes responsibility for considering, monitoring and scrutinising the corporate risk management process, as stated in their terms of reference. Their key tasks are:

- challenging and reviewing the effectiveness of the corporate risk management process including the corporate risk register;
- seek assurances that action is being taken to manage key corporate risks;

### Members

Members have a responsibility to understand the corporate risks that the Council faces, and are made aware of how these risks are being managed through the annual corporate and service planning process. Members' key tasks are:

- approving the risk management strategy and revisions thereof;
- monitoring the Council's risk management and internal control arrangements;
- reviewing and challenging the effectiveness of the risk management and internal control framework ;
- the Economic Portfolio Holder takes lead responsibility for championing and embedding risk management within the Council;
- using the 'Risk Management' section of committee reports and supporting documentation to consider the risks associated with the decisions they are required to undertake.

### Heads of Service

Each Head of Service is responsible for the risk management process within their service. Their key tasks are:

- leading the regular identification, assessment and management of risks to service objectives ;
- incorporating the risk management process into the service planning process;
- encouraging staff to be open and honest in identifying risks or missed opportunities;
- ensuring that the risk management process is part of all major projects and change management initiatives;

- ensuring that all reports written for the Cabinet or General Purposes Committee include a completed risk management questionnaire which assesses the options presented for a decision.

### **Council Officers**

- To consider risk as part of everyday activities and provide input to the risk management process as appropriate.

### **Internal Audit**

- Supports the embedding of the risk management process by facilitating the regular review of risk registers and reporting to OMT and Members.
- Provide independent assurance on the adequacy of the Council's risk and control procedures;
- Use the corporate and service risk registers to inform the internal audit timetable and plan and as appropriate uses the outcomes of audit reviews to inform the risk management process;
- Provide professional advice on cost effective ways of identifying and managing risk, based on their view of the whole of the Council's services and resources.

### **3.3 Risk Management in the Decision Making Process**

The Council has implemented a revised committee report template for all reports to the Cabinet and General Purposes Committee. The template includes a risk management questionnaire which ensures that risks are considered, assessed and presented consistently to Members to inform the decision making process. The questionnaire acts as a guide to Officers and ensures that the Council's Risk Management approach is followed.

### **3.4 Risk Management in Projects**

The Council's project management methodology is based on PRINCE2. All major projects are managed using this methodology and as such have been risk assessed from the outset and have supporting risk management documentation.

Risks to projects are managed and monitored by the Project Board and Project Manager.

### **3.5 Reporting and Recording Arrangements**

Risks arise from all levels within the Council. Key risks at a project or operational level can impact on the Council's corporate objectives and are escalated up to the Officers Management Team for consideration and possible inclusion on the corporate risk register as appropriate.

All red risks from service risk registers are collated and considered by the Officers Management Team for potential impact on the Council's corporate objectives. All red risks from projects should be considered by the individual project board and escalated where appropriate to the Officers Management Team for consideration.

All risks, whether corporate, service or project based, are recorded using the Council's standard risk register template which is shown in Appendix 2.

## Appendix 1 – Categories of Risk

| <b>Risk</b>                 | <b>Definition</b>   | <b>Examples</b>  |
|-----------------------------|---|--|
| Political                   | Associated with the failure to deliver either local or central government policy or relating to the local political environment                               | Political make-up, political leadership, policy changes                      |
| Economic                    | Relating to the external, national or local economic position   | Cost of living, employment, inward investment                                |
| Social                      | Relating to the effects of changes in demographic, residential or socio-economic trends   | Ageing population, health stats, housing needs, deprivation                  |
| Technological               | Associated with the capacity of the Council to deal with the pace/scale of technological change, or its ability to use technology to address changing demands | E-Gov agenda, IT infrastructure, staff/client needs                          |
| Legislative/<br>Regulatory  | Associated with current or potential changes in national or European law  | EU directives, increasing regulation   |
| Environmental               | Relating to the environmental situation of the Council or the fulfilment of its environmental duties.   | Land use, recycling, pollution   |
| Managerial/<br>Professional | Associated with the way the Council manages itself - corporate direction, resource capacity, staff issues   | Recruitment and retention, skills, leadership, culture, objective setting    |
| Financial                   | Associated with financial planning and internal controls  | Budget overspends, level of reserves, external funding                       |
| Legal                       | Related to possible breaches of legislation   | Legal challenge  |
| Physical                    | Related to fire, security, accident prevention and health and safety  | Offices in poor state of repair, use of eqpt                                 |
| Partnership/<br>Contractual | Associated with contractual and partnership arrangements  | Contractor fails to deliver service, partnership fails to deliver objectives |
| Competitive                 | Associated with performance management or accreditations  | Failure to meet PI's, IIP, position in tables                                |
| Customer/<br>Citizen        | Associated with meeting the current and changing needs and expectations of customers and citizens   | Managing expectations, extent of consultation                                |

## Appendix 2 – Risk Register Template

| Risk No | Service/ Project | Type of Risk | Risk | Date risk identified | Factors | Consequences | Existing Risk Controls | Risk Score | Further Action (Y/N) | Action type | Required Action | Risk Owner | Action Target Date | Target score | Corporate plan link |
|---------|------------------|--------------|------|----------------------|---------|--------------|------------------------|------------|----------------------|-------------|-----------------|------------|--------------------|--------------|---------------------|
|         |                  |              |      |                      |         |              |                        |            |                      |             |                 |            |                    |              |                     |
|         |                  |              |      |                      |         |              |                        |            |                      |             |                 |            |                    |              |                     |
|         |                  |              |      |                      |         |              |                        |            |                      |             |                 |            |                    |              |                     |
|         |                  |              |      |                      |         |              |                        |            |                      |             |                 |            |                    |              |                     |

## ITEM 9

## Grants Review

Report of the Head of Community & Leisure

### Recommended:

1. That OSCOM considers the Cabinet Report dated 11 March 2015 and the overall impact of the Councillor Community Grant scheme.

#### SUMMARY:

- This report provides OSCOM with an update of the Councillor Community Grants since inception in September 2012.

### 1 Introduction

- 1.1 This report provides members of OSCOM a review of the Councillor Community Grant Scheme since it was established in September 2012.

### 2 Background

- 2.1 Key information provided within the report includes allocation of funds and number of applications by month, allocation of funds across the Wards, and total allocation of funds to date and the recently implemented changes as of May 2015.

#### Background Papers (Local Government Act 1972 Section 100D)

#### Confidentiality

It is considered that this report does not contain exempt information within the meaning of Schedule 12A of the Local Government Act 1972, as amended, and can be made public.

|                |                                 |       |              |
|----------------|---------------------------------|-------|--------------|
| No of Annexes: | 4                               |       |              |
| Author:        | Marianne Piggin                 | Ext:  | 8623         |
| File Ref:      |                                 |       |              |
| Report to:     | Overview and Scrutiny Committee | Date: | 22 July 2015 |





## **1 Introduction**

- 1.1 The Councillors Community Grant Scheme (hereafter referred to as “the Scheme”) was established by Cabinet on 10 July 2012, initially as a one year pilot. It was launched in September 2012 so has now been in operation for two and a half years.
- 1.2 The Scheme has increased the ability of ward members to bring about changes in their local area and it has taken time to adapt to the opportunities that this new approach brings. Some low-level changes have been made to the Scheme during the two and half years, to ensure it operates efficiently and to encourage maximum take-up of the Scheme by members and the wider community.
- 1.3 The elections in May 2015 will see a change of Councillor in some areas and forms a natural break in the Scheme. Arrangements have been made to close the Scheme on 27 March 2015, ahead of the pre-election purdah period, and thought must now be given to the Scheme that will be operated by the new cohort of Councillors that are elected in May.

## **2 Corporate Objectives and Priorities**

- 2.1 The Scheme is a fundamental part of the Council’s broader Empowering Communities programme, which forms one of the four priorities in the Corporate Plan, [\*“Doing things differently”\*](#).
- 2.2 This work also formed part of the Council’s contribution to the Local Government Association (LGA) “Keeping it Real” programme.

## **3 Consultations/Communications**

- 3.1 Ward Councillor opinion has been gathered anecdotally during the two and a half years during which the Scheme has operated and this has influenced the proposals that are detailed later in the report.
- 3.2 The views of the “Keep it Real” group have been sought periodically; most recently at a steering group meeting in September 2014 when the changes proposed in this report were discussed.
- 3.3 Feedback on the Scheme has been sought from successful applicants as part of the grant monitoring process.

## **4 Options**

- 4.1 Changes are required to remove overlap between the Scheme and the Council’s Small Community Projects Fund. This could be done by making clearer delineation between the two schemes, or alternatively by bringing the two closer together so that they effectively work as a single scheme.

- 4.2 The Scheme budget has been approved for 2015/16, but approval is required for 2016/17 and beyond. There are various ways in which the approved budget could be distributed between wards and it is important to identify the most equitable approach.
- 4.3 The Scheme represents a significant investment over the four year period between elections and it is important to ensure that this funding is used effectively to meet the needs that exist across the Borough. Consideration must be given to a system that allows flexibility to divert unspent funds to the areas where the need is greatest.
- 4.4 It has been suggested that more restrictive criteria are required to govern how the scheme operates, but this could limit the ability of individual members to respond in a way most suited to their respective area.
- 4.5 The role of the Ward Councillor involves acting as a catalyst for change in their area and also responding to many requests for help that are received. To do this effectively they need to identify whether any evidence exists to support the request or demonstrate the extent of local need. When no such evidence exists, the Councillors may need to undertake some local consultation and they may require some resources to do so.

## **5 Option Appraisal**

### Relationship with the Small Community Projects Fund

- 5.1 The Scheme has a degree of overlap with the Council's Small Community Projects Fund (SCPF), which pre-dated the Scheme and also supports small one-off community projects. This overlap has caused confusion for some as to which is the most suitable scheme for an applicant, but also which is the most likely to lead to success. It is important to simplify arrangements, so that applicants, Officers and Councillors are all clear how to proceed in any given circumstance.
- 5.2 One approach would be to differentiate more clearly between the two schemes, but this would require tighter and more extensive criteria for each scheme and would move away from the flexible, 'light-touch' type of scheme that is desired (see 5.11). It is proposed that a better approach would be to bring the two schemes together to create a single point of application to which all requests for small one-off project funding would be directed.
- 5.3 A single set of criteria would be developed that encompasses both schemes. Applicants would be required to identify the ward(s) that their project benefits and seek the support of a Ward Councillor from the primary area of benefit. The Ward Councillor(s) for that area would then assess whether it is appropriate for support from their ward budget or whether it has a significantly wider impact.
  - (a) If appropriate for support from the ward budget then the decision making process would remain the same as currently for the Councillor Community Grant Scheme. All Ward Councillors for the ward in question would be required to reach consensus on the decision,

in which case it would be approved by the Head of Community and Leisure under his delegated authority.

- (b) If the Ward Councillor(s) for the primary area of benefit feel that the project has a significantly wider impact, the application would be referred to an Officer Panel for a decision. This is the same Panel arrangement that currently administers the SCPF. Applications would also be referred to this Panel if the Ward Councillors cannot reach consensus on the decision.

- 5.4 The maximum grant available from the SCPF is £2,000, whereas the maximum that can be approved by Ward Councillors is currently limited to £500. One way to make the Councillor Community Grant Scheme more attractive to applicants is to increase the upper limit and £1,000 is suggested. There have been examples where a larger sum has been approved as an exception to the approved Scheme where the Ward Councillors were keen to do so and it was felt appropriate.

#### Allocation of funds

- 5.5 A budget of £70,700 was made available for the Scheme for each full financial year to date. The budget was divided amongst wards using the population of each ward and allocating 1% of the budget (£700) for every 1% of the population. In the period since the Scheme was launched certain wards have seen their population grow significantly as a result of major developments in the area, increasing their share of the overall Borough population. Over time, this has created an imbalance between the population and the current allocation of funds.
- 5.6 The Scheme started slowly, but the rate at which grants are allocated is increasing over time (see Annex 1). With a new cohort of Councillors after the election, it is likely that this rate of expenditure will increase further, so it is proposed to maintain the annual budget for the Scheme as £70,000 and commit to continuing the Scheme for the full four-year period of the next administration (2015-2019).
- 5.7 The most equitable way to allocate the budget is to use the latest small area population forecast and share it between wards on a pro rata basis. The alternative would be to continue with the current allocation, though this would not reflect the increasing population of certain wards. The suggested allocation is shown at Annex 2 and represents an increase for 9 wards and a small reduction for the other 15.
- 5.8 All wards have funding remaining at the current time - see Annex 3 for a detailed summary of the current situation. The aim is to see the majority of wards allocating their entire budget over the course of a year, but it is likely that some wards each year will have funding remaining.

To date, Councillors have been able to draw on any unspent funding in subsequent years for projects in the that Ward, but this approach does not make most efficient use of resources as it allows no flexibility to direct funding to where the demand is greatest. It is proposed that in future any unspent funds at the end of each financial year are released for use during subsequent years in areas where the full annual allocation is committed.

- 5.9 The SCPF budget for 2015/16 has been approved at £10,000. The proposal to amalgamate the two schemes would create a total Scheme budget of £80,000. The £10,000 remaining from the SCPF would remain ring-fenced for projects that benefit multiple wards.

Scheme eligibility and criteria

- 5.10 The Scheme was established in such a way as to allow Councillors flexibility and discretion when considering applications and deciding what type of project and organisation to support. This enables them to promote and support very different types of application, reflecting the diverse nature of the Borough and its communities. The varied nature of projects supported to date reflects that this approach has generally worked well.
- 5.11 A small number of applications have proved difficult to determine, but these have been the exception and any benefit that would come from tightening the criteria would be far outweighed by the loss of flexibility if we were to be more prescriptive. A flexible and 'light-touch' approach is appropriate given the small amounts involved, allowing Councillors to use discretion and local knowledge to allocate resources in a way that is appropriate for their area.
- 5.12 It would be helpful to have a comprehensive set of guidelines for Councillors and applicants, highlighting the implication of circumstances such as high levels of funds or donations to other good causes. This should improve the quality of bids, ensure that the required information is provided more regularly and lead to quicker and more informed decision-making.
- 5.13 Ward Councillors have reported that the 50% requirement for matched funding has been an obstacle for some applicants. The principle of requiring a proportion of matched funding is sound, as it encourages better quality applications and levers in additional funding. However, reducing this could help stimulate greater interest in the Scheme so it is proposed to reduce the required proportion of matched funding to one-third of the project cost.
- 5.14 There have been a number of enquiries from Schools about projects that Councillors were keen to support, but the current criteria prevented them from doing so. With certain conditions in place, relating to community benefit and/or wider community access, it would be possible to include Schools within the eligibility criteria, which would make the Scheme eligibility consistent with that of the Community Asset Fund.
- 5.15 A full and detailed set of eligibility criteria will be developed to support the effective delivery of the Scheme, to be approved by the Head of Community and Leisure, in consultation with the Community and Leisure Portfolio Holder.

Councillor-led consultation activity

- 5.16 When the Scheme was established, provision was made for Councillors to apply for funding. This was expected to happen in circumstances where a need was identified by the Councillor(s) but there was no organisation to take the lead. This situation has arisen on a couple of occasions to date, but a new and different requirement has emerged.
- 5.17 Some Ward Councillors have wanted to undertake consultation with residents in the ward. This has usually been in the form of a community event to bring residents together socially, but also to gain a better understanding of their needs and wants. There are costs associated with such activity and opportunities are taken where possible to work with other organisations (e.g. Aster Housing) which help to secure contributions in kind. However, it is rare that other funding is forthcoming to support this kind of activity and this could prevent valuable consultation taking place. Allowing limited use of the Scheme budget for localised consultation activity would make good sense and ensure sound decision making about allocation of the Scheme budget.
- 5.18 It is important that the primary purpose of the Scheme remains the enabling of local projects and activities so a limit on expenditure directly by Councillors seems sensible. It is proposed that up to one third of the allocation to a Ward in any one financial year could be spent by the Ward Councillor(s) on costs associated directly with consultation to support them in understanding the needs of residents of the Ward. Expenditure of this nature would be subject to the approval of all Councillors for the Ward in question and the approval of the Members' Panel that oversees operation of the Scheme. It would also be exempt from the requirement for matched funding.

**6 Risk Management**

- 6.1 An evaluation of the risks associated with the matters in this report indicate that further risk assessment is not needed because the changes/issues covered have previously been considered by Councillors (Cabinet on 10 July 2012 – minute 99 refers).

**7 Resource Implications**

- 7.1 The balance unspent when the current Scheme closes on 30 March 2015 will be returned to the New Homes Bonus Reserve. At the date of writing, this balance stood at £121,593.
- 7.2 It is proposed that £80,000 per annum is allocated from the New Homes Bonus Reserve for each of the next four financial years.
- 7.3 It is suggested that any funds that remain unspent within the Scheme at the end of each financial year should be made available for use in the next financial year in areas where the full annual allocation is insufficient to meet the demand.

7.4 The balance unspent at the end of the four-year period of the new Scheme (March 2019) would also be returned to the New Homes Bonus Reserve.

## 8 Legal Implications

8.1 There are no legal implications arising from this report.

## 9 Equality Issues

9.1 No equality issues have been identified. As a result, a full Equality Impact Assessment has not been completed in accordance with the Council's EQIA methodology as a result.

## 10 Issues

10.1 All Wards/Communities are affected.

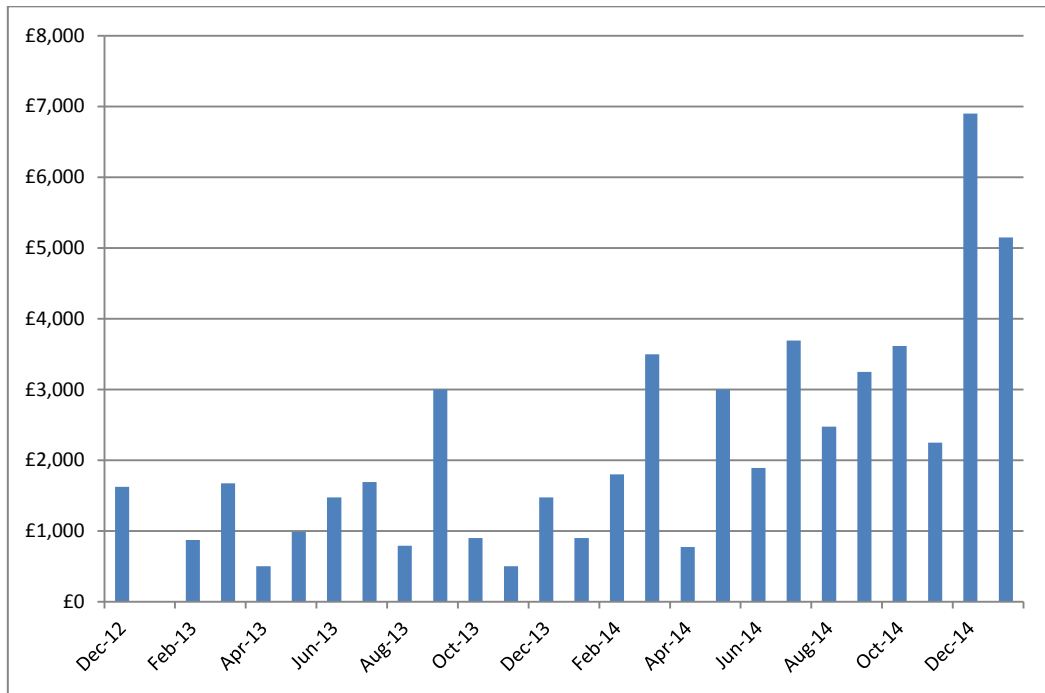
## 11 Conclusion and reasons for recommendation

11.1 The devolvement of modest budgets to Ward level has enhanced the role of Borough Councillors as community leaders and formed a major part of the Council's response to the localism agenda. There is an opportunity to build on this positive work with a new cohort of Councillors after the forthcoming election.

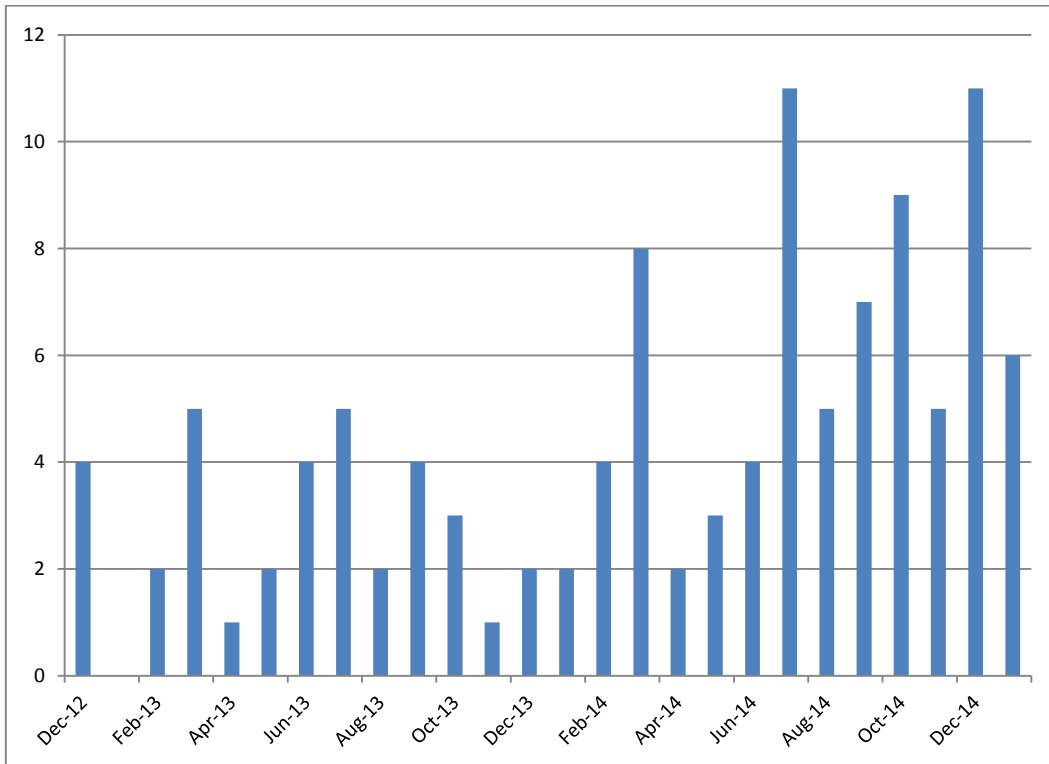
11.2 The proposed approach would streamline grant arrangements and further increase Councillor involvement in the inception and consideration of grant applications. It addresses some identified weaknesses in the current arrangements and builds on the strengths, ensuring best use is made of the resources available and maximising benefit for the communities of Test Valley.

|  |               |           |               |
|--|---------------|-----------|---------------|
| <u>Background Papers (Local Government Act 1972 Section 100D)</u>  |               |           |               |
| None   |               |           |               |
| <u>Confidentiality</u>   |               |           |               |
| It is considered that this report does not contain exempt information within the meaning of Schedule 12A of the Local Government Act 1972, as amended, and can be made public. |               |           |               |
| No of Annexes:   | Three         | File Ref: | N/A           |
| (Portfolio: Community and Leisure) Councillor Ward   |               |           |               |
| Officer:   | Steve Lincoln | Ext:      | 2110          |
| Report to:   | Cabinet       | Date:     | 11 March 2015 |

Allocation of funds by month



Number of applications by month





Annex 2

| Ward                           | No of cllrs | 2012-15 scheme |             |                | 2015-19 scheme proposal |             |                | Difference from 2012/15 |
|--------------------------------|-------------|----------------|-------------|----------------|-------------------------|-------------|----------------|-------------------------|
|                                |             | Population     |             | Budget         | Population              |             | Budget         |                         |
|                                |             | count          | %           |                | count*                  | %           |                |                         |
| Alamein                        | 3           | 9054           | 8%          | £5,600         | 9757                    | 8%          | £5,797         | £197                    |
| Harroway                       | 3           | 7474           | 7%          | £4,900         | 8062                    | 7%          | £4,790         | £110                    |
| Millway                        | 3           | 7379           | 6%          | £4,200         | 7453                    | 6%          | £4,428         | £228                    |
| St Mary's                      | 3           | 7833           | 7%          | £4,900         | 8900                    | 8%          | £5,288         | £388                    |
| Winton                         | 3           | 7928           | 7%          | £4,900         | 7826                    | 7%          | £4,650         | £250                    |
| Ampport                        | 1           | 2147           | 2%          | £1,400         | 2267                    | 2%          | £1,347         | £53                     |
| Anna                           | 2           | 4241           | 4%          | £2,800         | 4927                    | 4%          | £2,927         | £127                    |
| Harewood                       | 1           | 2288           | 2%          | £1,400         | 2277                    | 2%          | £1,353         | £47                     |
| Over Wallop                    | 1           | 1903           | 2%          | £1,400         | 2208                    | 2%          | £1,312         | £88                     |
| Bourne Valley                  | 1           | 2094           | 2%          | £1,400         | 2064                    | 2%          | £1,226         | £174                    |
| Penton Bellinger               | 2           | 4285           | 4%          | £2,800         | 4565                    | 4%          | £2,712         | £88                     |
| Charlton                       | 1           | 1924           | 2%          | £1,400         | 1912                    | 2%          | £1,136         | £264                    |
| Broughton & Stockbridge        | 2           | 4600           | 4%          | £2,800         | 4540                    | 4%          | £2,697         | £103                    |
| Kings Somborne & Michelmersh   | 1           | 2468           | 2%          | £1,400         | 2606                    | 2%          | £1,548         | £148                    |
| Blackwater                     | 2           | 5281           | 5%          | £3,500         | 5116                    | 4%          | £3,040         | £460                    |
| Dun Valley                     | 1           | 2128           | 2%          | £1,400         | 2239                    | 2%          | £1,330         | £70                     |
| Ampfield & Braishfield         | 1           | 2159           | 2%          | £1,400         | 2115                    | 2%          | £1,257         | £143                    |
| Romsey Extra                   | 2           | 3341           | 3%          | £2,100         | 3831                    | 3%          | £2,276         | £176                    |
| Abbey                          | 2           | 4547           | 4%          | £2,800         | 4684                    | 4%          | £2,783         | £17                     |
| Tadburn                        | 2           | 5073           | 4%          | £2,800         | 5010                    | 4%          | £2,977         | £177                    |
| Cupernham                      | 2           | 4890           | 4%          | £2,800         | 4918                    | 4%          | £2,922         | £122                    |
| North Baddesley                | 3           | 6667           | 6%          | £4,200         | 6772                    | 6%          | £4,024         | £176                    |
| Valley Park                    | 3           | 7218           | 6%          | £4,200         | 7575                    | 6%          | £4,501         | £301                    |
| Chilworth, Nursling & Rownhams | 3           | 6642           | 6%          | £4,200         | 6193                    | 5%          | £3,680         | £520                    |
| <b>Total</b>                   | <b>48</b>   | <b>110863</b>  | <b>101%</b> | <b>£70,700</b> | <b>117817</b>           | <b>100%</b> | <b>£70,000</b> | <b>£700</b>             |

\*HCC 2013 Small Area Population Forecasts (SAPF)

**Annex 3**

Total allocation of funds to date (September 2012 – January 2015)

|                               | <b>Total budget</b> | <b>Total allocated</b> | <b>Balance</b>     | <b>% unspent</b> |
|-------------------------------|---------------------|------------------------|--------------------|------------------|
| Abbey (Romsey)                | £7,000.00           | £5,050.00              | £1,950.00          | 28%              |
| Alamein (Andover)             | £14,000.00          | £6,877.00              | £7,123.00          | 51%              |
| Ampfield & Braishfield        | £3,500.00           | £1,250.00              | £2,250.00          | 64%              |
| Amport                        | £3,500.00           | £925.00                | £2,575.00          | 74%              |
| Anna                          | £7,000.00           | £4,587.08              | £2,412.92          | 34%              |
| Blackwater                    | £8,750.00           | £2,600.00              | £6,150.00          | 70%              |
| Bourne Valley                 | £3,500.00           | £1,875.00              | £1,625.00          | 46%              |
| Broughton & Stockbridge       | £7,000.00           | £2,167.50              | £4,832.50          | 69%              |
| Charlton                      | £3,500.00           | £800.00                | £2,700.00          | 77%              |
| Chilworth Nursling & Rownhams | £10,500.00          | £1,741.00              | £8,759.00          | 83%              |
| Cupernham (Romsey)            | £7,000.00           | £1,625.00              | £5,375.00          | 77%              |
| Dun Valley                    | £3,500.00           | £507.10                | £2,992.90          | 86%              |
| Harewood                      | £3,500.00           | £2,908.00              | £592.00            | 17%              |
| Harroway (Andover)            | £12,250.00          | £1,669.50              | £10,580.50         | 86%              |
| Kings Somborne & Michelmersh  | £3,500.00           | £2,500.00              | £1,000.00          | 29%              |
| Millway (Andover)             | £10,500.00          | £1,492.00              | £9,008.00          | 86%              |
| North Baddesley               | £10,500.00          | £1,578.58              | £8,921.42          | 85%              |
| Over Wallop                   | £3,500.00           | £1,000.00              | £2,500.00          | 71%              |
| Penton Bellinger              | £7,000.00           | £225.00                | £6,775.00          | 97%              |
| Romsey Extra                  | £5,250.00           | £2,955.00              | £2,295.00          | 44%              |
| St Mary's (Andover)           | £12,250.00          | £6,709.00              | £5,541.00          | 45%              |
| Tadburn (Romsey)              | £7,000.00           | £1,125.00              | £5,875.00          | 84%              |
| Valley Park                   | £10,500.00          | £1,500.00              | £9,000.00          | 86%              |
| Winton (Andover)              | £12,250.00          | £1,490.00              | £10,760.00         | 88%              |
|                               | <b>£176,750.00</b>  | <b>£55,156.76</b>      | <b>£121,593.24</b> | <b>69%</b>       |

## ITEM 10

## Annual Review - Complaints

Report of the Chief Executive

(Portfolio: Corporate)

### Recommended:

1. That the annual report on complaints handling be noted.

#### SUMMARY:

- The Chief Executive and Services together dealt with 267 complaints under the Council's formal procedure, in the year 2014/15
- The Local Government Ombudsman (LGO) made preliminary enquiries about 5 complaints relating to TVBC for the year ended 31 March 2015.

### 1 Background

To facilitate the periodic monitoring of complaints and review by this Committee each year, Services are required to prepare an annual summary of complaints dealt with under the Council's formalised procedure (the year runs from 1 April 2014 to 31 March 2015).

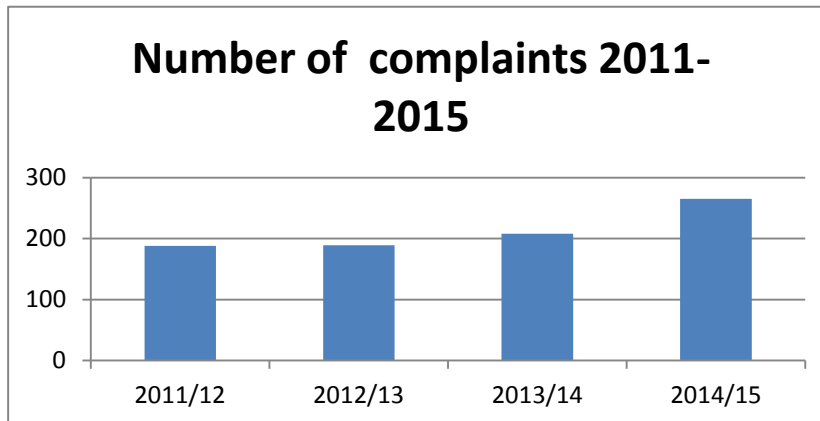
- 1.1 A complaint is defined within the Council as: "*an expression of dissatisfaction, however made, about the standard of service, action or lack of action by the Council, or its staff, affecting an individual customer or group of customers.*"

Complaints recorded under the formal procedure (and dealt with in this summary report) do not include those 'first time' representations which were effectively requests for a service and dealt with as such. Accordingly, a new report of a missed bin, or a broken swing, for example, would not be registered and dealt with as a complaint, but as a request for action. Of course, in the event that we failed to respond to the 'request' appropriately, then that may generate a complaint.

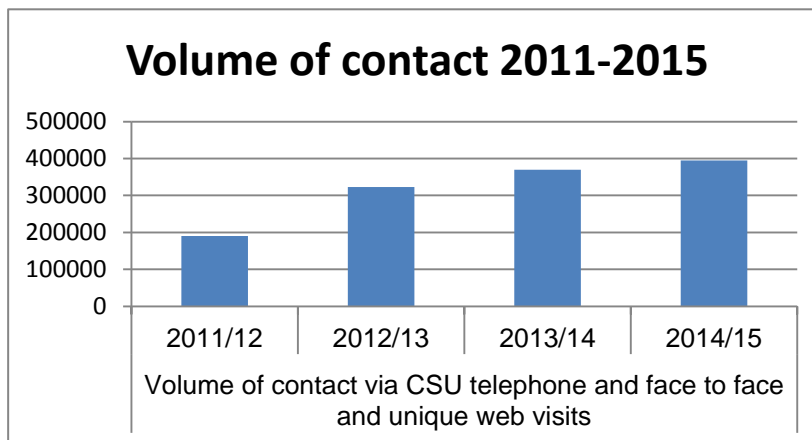
### 2 Complaints 2014/15

- 2.1 In the year 2014/15 there were 267 service level complaints (those dealt with by more than one service at the same time, and those cases where multiple people complained about the same subject, are counted as one complaint). From these 267 complaints 13 were escalated to the Chief Executive and 5 were the subject of LGO enquiries.

This year sees a small rise in the number of complaints received, an increase of 57 from the previous year (208 in 2013/14).



Customer Service unit figures for the year indicate that they received over 140,000 telephone calls and more than 20,000 face to face contacts. In addition to this the website received just over 235,000 unique visitors for 2014/15. All of these figures represent a rise in contacts for 2014/15 from the previous year: 370,000 in 2013/14 to 395,000 in 2014/15. This is a rise of 25,000 contacts and can be attributed to the growth in population in the borough, as well as the increasing ease of contacting the council electronically and therefore at times to suit the customer.



The number of complaints continues to account for significantly less than 1% of overall transactions, and falls well within accepted customer service industry standards.

| Stage of complaints process | Number of complaints    |
|-----------------------------|-------------------------|
| Service level               | 267                     |
| Chief Executive escalations | 13 (from the 267 above) |
| Members' Panel              | 0                       |
| Local Government Ombudsman  | 5 (from the 267 above)  |

- 2.2 The annual complaints logs contain personal information that should not be published. This corresponds with the Ombudsman’s view that it is neither necessary, nor desirable, for the Council to make such details public. As a result the information provided in this report is largely statistical in nature. Councillors should refer to the Complaints and Communications Officer if they require more details about a specific case.
- 2.3 The number of complaints and compliments received can be broken down across the services as follows:

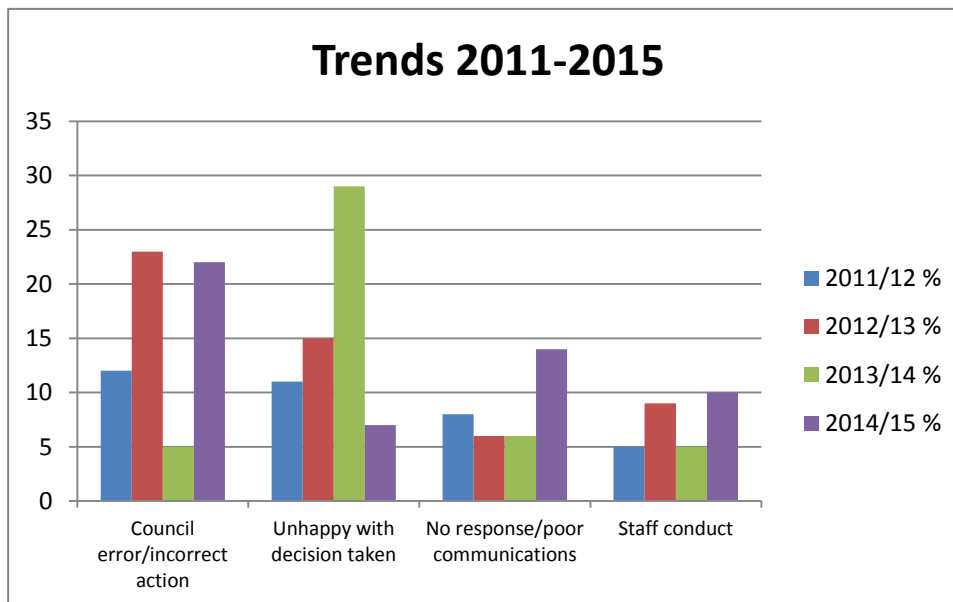
| <b>Service</b>  | <b>Number of complaints</b> | <b>As a % overall</b> | <b>Compliments</b> |
|---|-----------------------------|-----------------------|--------------------|
| Communities & Leisure                                 | 7                           | 3                     | 65                 |
| Environmental Services                                | 173                         | 65                    | 150                |
| Estates & Economic Development                        | 2                           | 1                     | Not recorded       |
| Housing & Environmental Health                        | 14                          | 5                     | 65                 |
| Legal & Democratic                                    | 4                           | 1                     | Not recorded       |
| Planning & Building                                   | 20                          | 7                     | Not recorded       |
| Planning Policy & Transport                           | 23                          | 9                     | 41                 |
| Revenues (incl CSU)                                   | 24                          | 9                     | 30                 |
| CEX escalations from the 267 service level complaints | 13                          | 5                     | n/a                |

It should be noted that the number of complaints per service does not necessarily provide a direct correlation with the standard of customer service provided, and that these overall results cannot be treated in isolation.

Each of these service results are heavily influenced by the type of business transacted by that service, for example, the number of customer facing transactions carried out, the public profile of the actions carried out by that service, and whether the customer has alternative formal routes for redress or appeal.

- 2.4 An analysis of the root cause of complaints received has shown that the majority of complaints can be categorised into four main types:

| Type of complaint                       | Percentage |
|---|------------|
| Unhappy with decision taken by Council  | 7          |
| Staff conduct                           | 10         |
| No response received/poor communication | 14         |
| Council error/incorrect action          | 22         |



There are no clear trends identifiable for any of the four recorded categories. Results for the past four years show that there is a variance across all types of complaints received.

## 2.5 Learning points

The volume of complaints is not always as important as the nature and content of the complaint received. Each complaint can be an opportunity to make changes or service improvements on a small or greater scale. Sometime the smallest change can result in the greatest increase in customer satisfaction. Likewise, a complaint is often of crucial importance to an individual and may require a high investment in terms of the time taken to resolve it, but might only achieve a small return in terms of improvements in the wider environment.

A complaint is not only valuable in terms of service improvements, but also in terms of public relations and general public perception of, and satisfaction with, the organisation.

Examples of some of the learning points and improvements made as a result of complaints during 2014/15 include:

- Complaints examples used as training in team meetings
- A review of how correspondence/contact is tracked and logged as a business process within a service area
- One to one training carried out to improve service levels as a result of a complaint
- Hard copies of large development plans in the south of the borough will now automatically be held in Romsey CSU, rather than on request only
- Procedure for council tax discount review amended, and associated correspondence that is sent with the revised bill
- Changes made to RingGo booking system to allow customers to book from 0500 daily
- Changes to checks made prior to issuing S106 invoices
- Amendments made to website to provide more information about the role of Community Wardens

Annexes 2-10 give further information about specific learning points within individual services.

## 2.6 Time taken to respond

The Council's service standard is to respond in full to a complaint within 10 working days of receipt, or if this is not possible within that time (for example, because of the complexity of the complaint; the number of third parties involved or awaiting additional information), a holding response is sent to the customer. Against that target, the overall average length of time taken to respond to the customer at service level was 6 days. No services exceeded the 10 day average response time.

When a complaint is escalated to stage 2, the Chief Executive has 15 days to respond. Against that target, the overall average length of time taken to respond to the customer was 12 days.

## 2.7 Unreasonable or unreasonably persistent complainants.

There are currently no complainants determined as vexatious, and no new vexatious complainants have been determined during 2014/15.

## 3 The Local Government Ombudsman (LGO)

### 3.1 Since 2012 the LGO has undergone a series of organisational and procedural changes. New ways of working have been phased in over the past three years, and the terminology used to describe decisions has changed. The annual letter from the Ombudsman is attached as annex 1.

The new Government has committed to a review of all public service Ombudsmen during their term, including the possibility of merging them into one body. The LGO is part of that review, so may be subject to changes in the future.

### 3.2 During the year 2014/15 5 initial complaint enquiries were received from the LGO. None of these were taken forward as a formal investigation necessitating a report, however 2 of the enquiries resulted in findings of maladministration – one causing injustice and one without injustice. The Council made representations to the Ombudsman challenging the severity of the terminology used, as both faults identified were minor. This is not accurately reflected in the terminology of 'maladministration'. The Council asked the LGO to review the matter. The Ombudsman acknowledged the point made, but advised that the categories available to them are restricted and there is no leeway. The results are shown below:



| Date        | Subject Matter  | Action Taken  | LGO outcome  |
|-------------|---|---|--|
| 30-Jun-2014 | Complaint about issues relating to an overhanging tree on the boundary of complainant's park home   | Provided clarification as to issues raised that fall outside of the remit of the council and clarification as to why no action is appropriate for issues that fall within the remit of the council. | <p><b>Decision: Maladministration with injustice (no report)</b></p> <p><b>Learning point: LGO asked the council to commission a Council tree report rather than relying on one from a third party – Council complied and findings and outcome of the matter remained the same.</b></p>  |
| 29-Sep-2014 | Homelessness complaint – long running complaint going back several years and continuing after complainant was housed.   | Provided information and case history relating to assessment of housing need and homelessness issues.   | <p><b>Decision: Maladministration with no injustice (no report)</b></p> <p><b>Maladministration found because the Council did not have a record of a visit that the complainant claimed was made, but that the Council disputes occurred. The LGO found on balance in favour of the complainant's word. This would not have affected the outcome of the situation, therefore no injustice was found.</b></p> |
| 12-Dec-2014 | Complainant wishes a reassessment of benefit over the past 12 months and is unhappy that the council cannot take this step. Long running complaint since 2011 and has previously been through a Benefits review and the LGO | Ombudsman made a preliminary enquiry. Provided them with explanation and guidelines and regulations and what complainant can do to assist his claim.  | <p><b>Decision: Not upheld – No maladministration</b></p>  |

|             |  |  |                                     |
|-------------|--|--|-------------------------------------|
| 02-Mar-2015 | Complaint about dispute over council tax arrears                         | Ombudsman made enquiries and wrote to customer to advise they will not pursue.               | <b>Decision: not to investigate</b> |
| 11-Mar-2015 | Complaint about Council's refusal to award discretionary housing payment | Ombudsman decided that there was insufficient evidence of fault to warrant an investigation. | <b>Decision: not to investigate</b> |

#### **4 Other matters**

- 4.1 The reporting of complaints is embedded in the Council's performance management process, giving further opportunity for issues to be raised throughout the year, and for wider corporate trends to be identified should they arise.

#### **5 Conclusion**

- 5.1 Complaints at service level have remained largely static over the past three years, with the largest increase recorded in 2014/15. When compared to the rise in the number of contacts (25,000) made with the council, this rise is small. The number of complaints escalated to the Chief Executive has remained relatively low, with the number of complaints escalated to the LGO also remaining in single figures.
- 5.2 Electronic 'chatter' and complaints raised via alternative technologies such as Twitter and Facebook have been monitored by the Communications Team over the past two years, and will continue to be so, allowing us to continually assess whether more formal reporting constructs need to be put in place for the future. Currently the number of complaints and negative feedback remains very low so no procedural change is required. CSU respond to Twitter enquiries and the Communications Team monitor Facebook messages.
- 5.3 The consistency of complaints reporting, in conjunction with the feedback received from the LGO for 2014/15, suggests that the complaints process continues to work effectively; although obviously there is never room for complacency.
- 5.4 The Committee is requested to consider the annual complaints report for 2014/15, and to endorse the corporate complaints procedure.

|  |                                 |       |              |
|--|---------------------------------|-------|--------------|
| <u>Background Papers (Local Government Act 1972 Section 100D)</u>  |                                 |       |              |
| <u>Confidentiality</u><br>It is considered that this report does not contain exempt information within the meaning of Schedule 12A of the Local Government Act 1972, as amended, and can be made public. |                                 |       |              |
| No of Annexes:   | 10                              |       |              |
| Author:  | Tracey McKenzie-Robinson        | Ext:  | 8109         |
| File Ref:  |                                 |       |              |
| Report to:   | Overview and Scrutiny Committee | Date: | 22 July 2015 |

# Local Government OMBUDSMAN

18 June 2015

*By email*

Mr Roger Tetstall  
Chief Executive  
Test Valley Borough Council

Dear Mr Roger Tetstall

## **Annual Review Letter 2015**

I am writing with our annual summary of statistics on the complaints made to the Local Government Ombudsman (LGO) about your authority for the year ended 31 March 2015. This year's statistics can be found in the table attached.

The data we have provided shows the complaints and enquiries we have recorded, along with the decisions we have made. We know that these numbers will not necessarily match the complaints data that your authority holds. For example, our numbers include people who we signpost back to the council but who may never contact you. I hope that this information, set alongside the data sets you hold about local complaints, will help you to assess your authority's performance.

We recognise that the total number of complaints will not, by itself, give a clear picture of how well those complaints are being responded to. Over the coming year we will be gathering more comprehensive information about the way complaints are being remedied so that in the future our annual letter focuses less on the total numbers and more on the outcomes of those complaints.

## **Supporting local scrutiny**

One of the purposes of the annual letter to councils is to help ensure that learning from complaints informs scrutiny at the local level. Supporting local scrutiny is one of our key business plan objectives for this year and we will continue to work with elected members in all councils to help them understand how they can contribute to the complaints process.

We have recently worked in partnership with the Local Government Association to produce a workbook for councillors which explains how they can support local people with their complaints and identifies opportunities for using complaints data as part of their scrutiny tool kit. This can be found [here](#) and I would be grateful if you could encourage your elected members to make use of this helpful resource.

Last year we established a new Councillors Forum. This group, which meets three times a year, brings together councillors from across the political spectrum and from all types of local authorities. The aims of the Forum are to help us to better understand the needs of councillors when scrutinising local services and for members to act as champions for learning from complaints in their scrutiny roles. I value this direct engagement with elected members and believe it will further ensure LGO investigations have wider public value.

## Encouraging effective local complaints handling

In November 2014, in partnership with the Parliamentary and Health Service Ombudsman and Healthwatch England, we published *'My Expectations'* a service standards framework document describing what good outcomes for people look like if complaints are handled well. Following extensive research with users of services, front line complaints handlers and other stakeholders, we have been able to articulate more clearly what people need and want when they raise a complaint.

This framework has been adopted by the Care Quality Commission and will be used as part of their inspection regime for both health and social care. Whilst they were written with those two sectors in mind, the principles of *'My Expectations'* are of relevance to all aspects of local authority complaints. We have shared them with link officers at a series of seminars earlier this year and would encourage chief executives and councillors to review their authority's approach to complaints against this user-led vision. A copy of the report can be found [here](#).

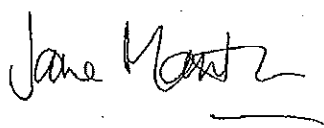
## Future developments at LGO

My recent annual letters have highlighted the significant levels of change we have experienced at LGO over the last few years. Following the recent general election I expect further change.

Most significantly, the government published a review of public sector ombudsmen in March of this year. A copy of that report can be found [here](#). That review, along with a related consultation document, has proposed that a single ombudsman scheme should be created for all public services in England mirroring the position in the other nations of the United Kingdom. We are supportive of this proposal on the basis that it would provide the public with clearer routes to redress in an increasingly complex public service landscape. We will advise that such a scheme should recognise the unique roles and accountabilities of local authorities and should maintain the expertise and understanding of local government that exists at LGO. We will continue to work with government as they bring forward further proposals and would encourage local government to take a keen and active interest in this important area of reform in support of strong local accountability.

The Government has also recently consulted on a proposal to extend the jurisdiction of the LGO to some town and parish councils. We currently await the outcome of the consultation but we are pleased that the Government has recognised that there are some aspects of local service delivery that do not currently offer the public access to an independent ombudsman. We hope that these proposals will be the start of a wider debate about how we can all work together to ensure clear access to redress in an increasingly varied and complex system of local service delivery.

Yours sincerely



Dr Jane Martin  
Local Government Ombudsman  
Chair, Commission for Local Administration in England

## Local authority report – Test Valley Borough Council

For the period ending – 31/03/2015

For further information on interpretation of statistics click on this link to go to <http://www.lgo.org.uk/publications/annual-report/note-interpretation-statistics/>

### Complaints and enquiries received

| Local Authority | Adult Care Services | Benefits and tax | Corporate and other services | Education and children's services | Environmental services and public protection | Highways and transport | Housing | Planning and development | Total |
|-----------------|---------------------|------------------|------------------------------|-----------------------------------|--|------------------------|---------|--------------------------|-------|
| Test Valley BC  | 0                   | 4                | 2                            | 0                                 | 3  | 0                      | 3       | 4                        | 16    |

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### Decisions made

| Local Authority | Detailed investigations carried out |            | Advice given | Closed after initial enquiries | Incomplete/Invalid | Referred back for local resolution | Total |
|-----------------|-------------------------------------|------------|--------------|--------------------------------|--------------------|------------------------------------|-------|
|                 | Upheld                              | Not Upheld |              |                                |                    |                                    |       |
| Test Valley BC  | 2                                   | 2          | 1            | 4                              | 1                  | 3                                  | 13    |

## Community & Leisure Services Annual Complaints Log 2014/15

### Complaints summary

|   |          |
|---|----------|
| <b>Total number of complaints</b>                               | <b>7</b> |
| <i><b>Of these 7 complaints:</b></i>                            |          |
| Escalations to Chief Executive                                  | 0        |
| Escalations to the LGO  | 0        |
| Complaints resulting in learning points or service improvements | 2        |
|   |          |
| Communications/service  | 1        |
| Cemeteries/burials  | 1        |
| Open Spaces/sports facilities                                   | 3        |
| Other   | 2        |

### Complaints which resulted in learning points or service improvements

| <b>Date</b> | <b>Subject Matter</b>   | <b>Action Taken</b>   | <b>Lessons Learnt/Process Review/Changes made as result</b>                                | <b>Date of Closure</b> |
|-------------|---|---|--|------------------------|
| 05-Sep-2014 | Complaint as no response to earlier emails requesting information about neighbourhood wardens | Communications were not received and therefore no response was sent. Clarification as to the role of the Community Warden was provided. | Amendments made to website to provide more information as to the role of Community Wardens | 08-Sep-2014            |

| <b>Date</b> | <b>Subject Matter</b>   | <b>Action Taken</b>   | <b>Lessons Learnt/Process Review/Changes made as result</b>  | <b>Date of Closure</b> |
|-------------|---|---|--|------------------------|
| 23-Nov-2014 | Complaint about problem with application for the Community Grant Fund | Response to complainant apologising for the confusion regarding the deadline for submissions. | TVBC will amend the criteria and guidance documentation to clarify that it will be made explicitly clear that applicants must acknowledge that reasonable time is needed in advance of the event, project or activity in order for their application to be considered fairly and properly. | Dec-2014               |



## Environmental Services Annual Complaints Log 2014/15

### Complaints summary

|   |            |
|---|------------|
| <b>Total number of complaints</b>                               | <b>173</b> |
| <i>Of these 173 complaints:</i>                                 |            |
| Escalations to Chief Executive                                  | 1          |
| Escalations to the LGO  | 0          |
| Complaints resulting in learning points or service improvements | 38         |
| Bin collections   | 74         |
| Assisted bin collections  | 8          |
| Road sweeping   | 4          |
| Garden Waste scheme   | 24         |
| Driver conduct  | 15         |
| Crew/Officer conduct  | 15         |
| Grass cutting/grounds maintenance                               | 13         |
| Other   | 20         |

### Complaints which resulted in learning points or service improvements

| Date    | Subject Matter                                  | Action Taken                            | Lessons Learnt/Process Review/Changes made as result | Date of Response/Closure |
|---------|---|---|--|--------------------------|
| 08-Apr- | Failed collection and failure to return bins to | Site visit and clarification. Agreement | Agreement reached and disseminated                   | 23-Apr-2014              |

| Date        | Subject Matter   | Action Taken   | Lessons Learnt/Process Review/Changes made as result              | Date of Response/Closure |
|-------------|--|--|---|--------------------------|
| 2014        | correct place.   | reached with complainant.  | to crew.  |                          |
| 22-Apr-2014 | Customer has an assisted collection but bin crew keep leaving the bin on the side of the road.         | Apology to customer.   | Crew reminded of obligation.                                      | 22-Apr-2014              |
| 23-Apr-2014 | Crew repeatedly leave bin by roadside instead of returning to correct place.                           | Discussed with customer.   | Crew reminded of obligation.                                      | 23-Apr-2014              |
| 10-May-2014 | Complainant unhappy that bin was not emptied and did not agree with comment left on tag                | Resolved with apology. Operative advised.  | Operative training given  | 15-May-2014              |
| 19-May-2014 | Unhappy about the return of bins after collection.   | Site visit and bin locations noted and crew advised. Supervisor to monitor.  | Crew made aware of impact of actions and advised how to proceed.  | 20-May-2014              |
| 28-May-2014 | Complaint about refuse collection services – left rubbish strewn across the road.                      | Head of Service rang and resolved with customer. Any clearing up made good.  | Crew made aware.  | 28-May-2014              |
| 02-Jun-2014 | Bin tagged as overweight and not collected.  | Discussed matter with customer and remedial action taken.  | Driver Charge hand made aware and collections will be monitored.  | 24-Jun-2014              |
| 04-Jun-2014 | Complaint about missed bin and still not emptied despite requesting twice.                             | Full apology and immediate catch up collection arranged by supervisor.   | Agency team so reason for non-collection not known                | 04-Jun-2014              |
| 09-Jun-2014 | Resident has contacted Council several times to request that an area be swept. This has not been done. | Supervisor spoke to resident and apologised. Clean team booked to sweep area.  | Area added to schedule.   | 10-Jun-2014              |
| 23-Jul-2014 | Complaint about handling of report of dog fouling  | Provided clarification as to how the procedure works and why and confirmation that this has been followed correctly. However also reassured customer that a review would be carried out of the internal process for investigating cases like this to avoid future misunderstandings. | Internal processes to be reviewed by Environmental Health Manager | 25-Jul-2014              |

| Date        | Subject Matter   | Action Taken  | Lessons Learnt/Process Review/Changes made as result   | Date of Response/Closure |
|-------------|--|---|--|--------------------------|
| 08-Aug-2014 | Complaint about damage caused by the refuse collection lorry to a verge  | Remedial repairs undertaken and driver made aware of error.   | Driver made aware of error.  | 28-Aug-2014              |
| 07-Aug-2014 | Unhappy that children's playground closed for repainting during the summer holidays, and that work is being carried out using Community Payback scheme.  | Telephoned resident with apology that playground was closed at short notice during the school holiday. Explained community payback ideally suited to carry out work such as this and playgrounds closed for the work. Resident demanded cessation of such activity which manager would not give. Manager did state that he would suspend such activity until September. | Community Payback work put on hold until September. No further Community Payback work to be undertaken during school holidays. | 19-Aug-2014              |
| 15-Sep-2014 | Lack of collection of brown bin despite repeated requests.   | Business process reviewed and apology issued. Bin collected.  | Business process reviewed  | 15-Sep-2014              |
| 12-Sep-2014 | Brown bin out on pavement waiting to be emptied. Originally reported it as missed and advised to leave it out for collection – causing an obstruction and nowhere to put waste in the interim. | Called the customer and resolved to their satisfaction. Brown bin collected.  | Internal business processes to be reviewed to ensure there is no repeat of this type of service breakdown.                     | 15-Sep-2014              |
| 23-Sep-2014 | Complaint about non-collection of garden waste   | Full apology issued with explanation. Extra bin collection arranged and collected yesterday.  | Crews reminded to be more vigilant   | 25-Sep-2014              |
| 06-Oct-2014 | Garden waste has repeatedly not been collected.  | Full apology given and assurances that situation will be monitored going forwards   | Supervisor to monitor the situation week by week. Has spoken to the crew.  | 09-Oct-2014              |
| 10-Oct-2014 | Complaint that a side waste collection was not collected within 24 hours as advised.   | WCS(N) contacted the customer, explained the waste was contaminated. Arrangements made for it to be collected later the same day.   | Customer should not have been advised that side waste would be collected in 24 hours. Reminder issued.                         | 10-Oct-2014              |

| Date        | Subject Matter  | Action Taken   | Lessons Learnt/Process Review/Changes made as result   | Date of Response/Closure  |
|-------------|---|--|--|---------------------------|
| 13-Oct-2014 | Raised a complaint about crew conduct with no response and today they have removed a black bin with no warning.                             | Customer contacted with full apology. Earlier complaint had been resolved with another member of the household. Replacement bin arranged for delivery next day - was damaged and swallowed by the refuse collection vehicle. | Reminder that a resolution should always be communicated to the complainant themselves by letter/email or telephone. | 14-Oct-2014               |
| 14-Oct-2014 | Crew who collected complainant's bin this morning used inappropriate language that could be heard inside the property by young children.    | Full apology issued.   | Investigation carried out and measures taken.  | 16-Oct-2014               |
| 24-Oct-2014 | Failure to empty a missed bin reported 15 October 2014. Resident has phoned in multiple times.  | Bin was emptied but resident not contacted.  | Crew have undertaken a reminder session covering this type of complaint  | Completion date not known |
| 24-Oct-2014 | Bin request submitted on the 15 October. Bin has still not been emptied despite numerous calls from the resident                            | Property moved to different round to avoid problems in the future.   | Property added to different round.   | 08-Dec-2014               |
| 24-Oct-2014 | Repeat complaint about bins being left in a huge cluster outside one property, impeding access  | Assurance that this will not happen again. Situation being closely monitored. All crews spoken with.   | Reminders to crews and situation monitored.  | 06-Nov-2014               |
| 05-Nov-2014 | Bins still being collected on a Wednesday, not as advised by letter received in October.  | Rounds had changed slightly at this address (Phase 2). Crew were not aware.  | Crews have been informed and a detailed map of this area printed.  | Completion date not known |
| 12-Nov-2014 | Resident rang in to query their collection day. Put their bin out on this day and not collected. Rang in again and advised a different day. | Completed by Northern Team Leader. Customer contacted, waste will be picked up this week.  | Error found in data tables and corrected.  | 12-Nov-2014               |
| 13-Nov-     | Resident has not received a call back as  | Verbal update from Waste and Recycling   | Crew have been reminded of obligation  | 13-Nov-2014               |

| Date        | Subject Matter   | Action Taken   | Lessons Learnt/Process Review/Changes made as result                                     | Date of Response/ Closure |
|-------------|--|--|--|---------------------------|
| 2014        | requested regarding the return bin placement issues from earlier this month. Bins are still being dumped on the pavement and the resident has escalated this to his Councillor.  | Manager - a formal complaint was lodged via a Councillor and letter received.  | to return bins correctly.  |                           |
| 20-Jan-2015 | Resident has contacted us on numerous occasions. Assisted collection, bin has not been returned to the place it is collected from, on another occasion missed completely. Called to say yesterday the bin was yet again left on the public footway, not returned to the agreed place. Would like supervisor to call. | Supervisor spoke to crew and reminded of importance of returning bin to agreed location. Spoke to resident to apologise and explain action taken.  | Situation to be monitored.   | 20-Jan-2015               |
| 02-Feb-2015 | Happened 2012 and 2013 when drivers are changed issue recurs - please can driver not drive down the driveway, it is a small driveway and refuse vehicle is churning up the bank verge. Should be walking to collect the bin.   | New permanent driver has been informed. Customer contacted and is satisfied.   | Notes retained to avoid happening when future temporary/new drivers take over the round. | 03-Feb-2015               |
| 11-Feb-2015 | Customer has on several occasions requested waste collection lorry not to reverse on private shared tarmac drive. Customer has witnessed the lorry being reversed this morning up the drive again.   | Matter was investigated, including previous complaint history. Supervisor apologised to customer. Crew has been spoken to, photo of the area provided, marked up with the area not to reverse into. On the day of the collection an agency driver was being used who was not aware of the agreement. | Crew provided with photo of area marked up with area to avoid.                           | 12-Feb-2015               |
| 11-Feb-2015 | Repeat complaint about crew decanting waste and in so doing leaving litter on the  | Manager discussed the issue with resident. Northern team leader is to  | Crews reminded of their responsibilities. Situation monitored.                           | 11-Feb-2015               |

| Date        | Subject Matter  | Action Taken   | Lessons Learnt/Process Review/Changes made as result   | Date of Response/ Closure |
|-------------|---|--|--|---------------------------|
|             | path.   | speak with round. Resident to contact Waste & Recycling manager direct if any further problems. Subsequent response also sent from Head of Service.  |  |                           |
| 25-Feb-2015 | Customer lives in an OAP block and the bins are left in a bin store. For the third time the bin men have left the bins in front of the door keeping it open, left rubbish on the floor which attracts rats, residents are elderly so cannot get to their own bins as crew left three bins in front of door. | Customer contacted and satisfied with outcome. Spoke to crew who state the gate access to the bin store is causing an issue to the crew. Issue referred over to recycling officers to discuss further. | Recycling Officer contacted Aster. Aster advised they are going to make changes to the door. | 25-Feb-2015               |
| 27-Feb-2015 | Recycle bin missed for third week in a row.   | Manager contacted customer to discuss. CSU had advised him of an incorrect collection date, collection is a Thursday. A letter of apology sent to the resident.  | CSU made aware.  | 27-Feb-2015               |
| 27-Feb-2015 | Assisted Collection. Bin emptied but not returned to collection point again. This keeps happening. Please can the crew return. This lady is totally unable to move a bin.   | Crew reminded of obligation and returned to complete. Apology issued to the customer.  | Crew reminded of their obligations for assisted collections.                                 | 28-Feb-2015               |
| 06-Mar-2015 | Recycling collections have not been made in the whole street for several weeks. Black bins collected ok this week.  | Remedial collections undertaken and apology and explanation issued to customer.  | Crews made aware and will monitor situation as the new housing site develops.                | 10-Mar-2015               |
| 09-Mar-2015 | Third contact made by customer without a response.  | Resident contacted forthwith. Apology extended and repairs arranged.   | Spoke to the driver to make aware.   | 09-Mar-2015               |

| Date        | Subject Matter  | Action Taken   | Lessons Learnt/Process Review/Changes made as result   | Date of Response/ Closure |
|-------------|---|--|--|---------------------------|
|             | The bin crew drive on the long strip of grass land owned by resident and have caused damage.  |  |  |                           |
| 10-Mar-2015 | Complaint about refuse collection.  | Full apology issued and explanation of what should have happened. Reassurance that steps have been taken.                | Appropriate action taken with waste operative.   | 12-Mar-2015               |
| 24-Mar-2015 | Very upset that green bin has still not been emptied and also has not received phone call as promised.                                  | Resident contacted, agreed to replace the small bin for a new green bin.   | Notes left with Senior Driver Charge Hand to avoid happening when future temporary/ new drivers take round | 24-Mar-2015               |
| 25-Mar-2015 | Crew do not put the bin back where the customer has left it for collection. Already contacted the council about the same matter before. | Supervisor spoke to crew - reminded them to return bin to where it is collected. Spoke to resident - happy with outcome. | Crew reminded of obligations.  | 25-Mar-2015               |
| 27-Mar-2015 | Every week litter is dropped when bins emptied, not picked up by the crew.  | Supervisor spoke to crew - instructed to be more aware. Spoke to customer, customer to call if happens again.            | Instructed crew - care to be taken.  | 27-Mar-2015               |

Estates and Economic Development Service Annual Complaints Log 2014/5

Complaints summary

|  |          |
|--|----------|
| <b>Total number of complaints</b>            | <b>2</b> |
|  |          |
| <b><i>Of these 2 complaints:</i></b>         |          |
| Escalations to Chief Executive               | 0        |
| Escalations to the LGO                       | 0        |
| Complaints which resulted in learning points | 0        |
|  |          |
| Lack of response/customer service            | 1        |
| Other  | 1        |

Complaints which resulted in learning points or service improvements - 0



## Housing & Environmental Health Annual Complaints Log 2014/15

### Complaints summary

|  |           |
|--|-----------|
| <b>Total number of complaints</b>            | <b>14</b> |
| <i>Of these 14 complaints:</i>               |           |
| Escalations to Chief Executive               | 2         |
| Escalations to the LGO                       | 2         |
| Complaints which resulted in learning points | 3         |
|  |           |
| Housing related                              | 8         |
| Environmental Health                         | 2         |
| Service levels                               | 3         |
| Other  | 1         |

### Complaints which resulted in learning points or service improvements

| Date        | Subject Matter   | Action Taken  | Lessons Learnt/Process Review/Changes made as result                       | Date of Response/Closure |
|-------------|--|---|--|--------------------------|
| 15-Apr-2014 | Complaint about length of time to resolve the issuing of a home improvement grant  | Full apology and commitment to review the process.  | Internal changes made to how cases are managed and monitored.              | 22-Apr-2014              |
| 20-Jun-2014 | Complaint about the slow process for reporting a stray dog - had to repeat all the | Apology. The process has been reviewed and streamline, and customer's comments have been very | Process being streamlined to make it more customer friendly and efficient. | 26-Jun-2014              |

| Date        | Subject Matter   | Action Taken   | Lessons Learnt/Process Review/Changes made as result  | Date of Response/Closure |
|-------------|--|--|---|--------------------------|
|             | information several times to several people to register the problem    | helpful in this process.   |   |                          |
| 27-Nov-2014 | Complaint about non-award of house despite being first in the bidding. | Full clarification provided and an explanation of what had happened. | Head of service to discuss with other councils who are members of the Hampshire Homes Choice Scheme as to whether the system can be made clearer on this point. | 03-Dec-2014              |

## Legal & Democratic Services Annual Complaints Log 2014/5

### Complaints summary

|  |          |
|--|----------|
| <b>Total number of complaints</b>            | <b>4</b> |
| <i>Of these 4 complaints:</i>                |          |
| Escalations to Chief Executive               | 0        |
| Escalations to the LGO                       | 0        |
| Complaints which resulted in learning points | 2        |
|  |          |
| Electoral Registration                       | 2        |
| Customer service received                    | 1        |
| No response received                         | 1        |

### Complaints which resulted in learning points or service improvements

| Date        | Subject Matter  | Action Taken   | Lessons Learnt/Process Review/Changes made as result   | Date of Closure |
|-------------|---|--|--|-----------------|
| 21-Aug-2014 | Sent in a Freedom of Information e-form request and received an auto-acknowledgement but no further response. | Legal and IT investigated. The e-form was caught in the HCC firewalls. | Updates to spam filters can cause emails to be rejected. IT/services to monitor. The email address the e-form is sent to has been added to recognised accounts for TVBC. Daily report will be run to ensure that all forms generated are received. | 29-Sep-2014     |
| 29-Sep-2014 | Electoral register complaint. Had advised that son no longer  | Changes in legislation linked to Individual Electoral Registration     | Customer Service and Electoral staff reminded of correct information to advise people with similar   | 09-Oct-2014     |

| Date | Subject Matter  | Action Taken   | Lessons Learnt/Process Review/Changes made as result | Date of Closure |
|------|---|--|--|-----------------|
|      | lives at property but still received a canvasser chasing. | mean that we require more than one confirmation that a person no longer resides at an address – hence further follow ups. Apologised that this was not effectively communicated. | enquiries.   |                 |

## Planning & Building Annual Complaints Log 2014/15

### Complaints summary

|   |           |
|---|-----------|
| <b>Total number of complaints</b>                               | <b>20</b> |
| <i>Of these 20 complaints:</i>                                  |           |
| Escalations to Chief Executive                                  | 4         |
| Escalations to the LGO  | 0         |
| Complaints resulting in learning points or service improvements | 3         |
| Customer service related matters                                | 1         |
| Planning applications   | 9         |
| Planning Enforcement  | 2         |
| Response time   | 6         |
| Other   | 2         |

### Complaints which resulted in learning points or service improvements

| Date        | Subject Matter  | Action Taken   | Lessons Learnt/Process Review/Changes made as result  | Date of Response/ Closure |
|-------------|---|--|---|---------------------------|
| 30-Apr-2014 | Complaint about standard of service received from Planning  | Apology to customer.   | Discussions with case officer.  | 06-May-2014               |
| 24-Jun-2014 | Received an S106 invoice for land already sold and settled. | Change in process. Advised customer and thanked for their valuable feedback. | Letters will in future be sent to the 'owner' in the legal document to check if interest still exists or has been passed on, before an invoice is raised. | 11-Jul-2014               |

| Date        | Subject Matter   | Action Taken   | Lessons Learnt/Process Review/Changes made as result             | Date of Response/ Closure |
|-------------|--|--|--|---------------------------|
| 16-Sep-2014 | Complainant feels a planning application has been mismanaged | Provided clarification of the process. Permission has now been granted. Advised that the Council is currently putting in place measures to alleviate resourcing matters. | Council putting measures in place to address resourcing matters. | 25-Sep-2014               |

**Planning Policy & Transport Annual Complaints Log 2014/15**

**Planning Policy & Transport Complaints summary**

|   |           |
|---|-----------|
| <b>Total number of complaints</b>                               | <b>23</b> |
| <i><b>Of these 23 complaints:</b></i>                           |           |
| Escalations to Chief Executive                                  | 3         |
| Escalations to the LGO  | 0         |
| Complaints resulting in learning points or service improvements | 6         |
|   |           |
| Parking enforcement   | 10        |
| On-street parking provisions                                    | 10        |
| Conservation/Trees  | 2         |
| Other   | 1         |

**Complaints which resulted in learning points or service improvements**

| <b>Date</b> | <b>Subject Matter</b>  | <b>Action Taken</b>  | <b>Lessons Learnt/Process Review/Changes made as result</b> | <b>Date of Response/ Closure</b> |
|-------------|--|--|---|----------------------------------|
| 22-Jul-2014 | Contacted council to complain about parking on an industrial estate but received no response | Email had been forwarded internally to an address which no longer points anywhere. Original parking issues raised dealt with as normal business. | IT removed email address to prevent further occurrences.    | 23-Jul-2014                      |
| 28-Aug-     | Complaint about new parking  | Engineering & Transport Manager  | Magnolia Close to be included in the next                   | Multiple correspondence – 04-    |

| Date        | Subject Matter   | Action Taken  | Lessons Learnt/Process Review/Changes made as result   | Date of Response/ Closure              |
|-------------|--|---|--|--|
| 2014        | restrictions in Floral Way disadvantaging residents.   | responded and explained reasons for introducing the scheme; primarily for the safety of pupils attending four local schools. Whilst Magnolia Close may not currently be affected, it was considered likely to be affected by displaced parking from Floral Way. Explained the statutory consultation had been followed and that all vehicles will be treated the same with regard to on-street parking during restricted times. | Traffic Regulation Order review – allowing complainant a second opportunity to object/comment.   | Sep-2014<br>23-Sep-2014<br>14-Oct-2014 |
| 27-Oct-2014 | Complaint about the renewal of a parking permit, the associated issuing of a penalty charge notice and general poor customer service throughout the process. | Full apology issued. Advice given as to how to renew online in the future. Parking charge notice refunded.  | Staff should be available in the service from 8.30am if those are the published opening hours. Further training for staff member involved as to how new online procedure will work and the availability of temporary permits. Subsequently all data migrated to new permit database therefore problem will not happen again. | 28-Oct-2014                            |
| 19-Jan-2015 | Complaint about penalty charge notice received for parking in a marked bay.  | Penalty charge notice withdrawn.  | Contractor failure. Incorrect road markings now completely removed.  | 27-Jan-2015                            |
| 02-Feb-2015 | Complaint about a female officer acting inappropriately whilst in uniform in Andover town centre.  | Senior Parking Officer responded and thanked customer for raising his concerns. Matter investigated.  | Unable to pinpoint to a specific officer, but all staff reminded of the requirement for professional conduct at all times.   | 02-Feb-2015                            |
| 13-Feb-2015 | Complaint about receiving a penalty charge notice when an attempt had been made to   | Senior Parking Officer responded and explained the sequence of events as shown on the Council's RingGo  | Changes made to RingGo booking system to allow customers to book from 0500 daily.  | 25-Feb-2015                            |



| Date        | Subject Matter   | Action Taken   | Lessons Learnt/Process Review/Changes made as result   | Date of Response/ Closure |
|-------------|--|--|--|---------------------------|
|             | purchase an all day ticket before 08:30 which was successfully purchased at a later time.          | records including the fact that no attempt had been made to purchase a ticket prior to 08:30. It is not the Council's policy to cancel a penalty charge notice (PCN) if a ticket is purchased after the PCN has been issued.<br><br>Subsequently escalated to CEX. |  |                           |
| 26-Feb-2015 | Complaint about introduction of yellow lines in a residential street without resident consultation | Provided clarification as to why yellow lines installed and itemised public notices and advertisements.  | Reinforced importance of public consultation in Traffic Regulation Order (TRO) process. Addressed by Traffic Management Team for future TRO's. | 13-Mar-2015               |

## Revenues Annual Complaints Log 2014/15

### Revenues Complaints summary

|   |           |
|---|-----------|
| <b>Total number of complaints</b>                               | <b>24</b> |
| <i>Of these 24 complaints:</i>                                  |           |
| Escalations to Chief Executive                                  | 1         |
| Escalations to the LGO  | 3         |
| Complaints resulting in learning points or service improvements | 6         |
| Complaints relating to Benefits                                 | 6         |
| Complaints relating to Council Tax                              | 10        |
| Complaints relating to recovery action                          | 2         |
| Complaints relating to customer service team                    | 3         |
| Service provided  | 3         |

### Complaints which resulted in learning points or service improvements

| Date    | Subject Matter          | Action Taken                   | Lessons Learnt/Process Review/Changes made as result | Date of Response/Closure |
|---------|-------------------------|--------------------------------|--|--------------------------|
| 05-Jun- | Complaint about lack of | Apologised and account details | Reviewed process of when/why CSU should              | 16-Jun-2014              |

| Date        | Subject Matter   | Action Taken  | Lessons Learnt/Process Review/Changes made as result  | Date of Response/Closure |
|-------------|--|---|---|--------------------------|
| 2014        | response to letter and subsequent complaint.   | corrected.  | refer queries to Revenues.  |                          |
| 23-Jun-2014 | Complaint about difficulty of access to planning files in Romsey   | Provided clarification and advised of changes made to improve the process.  | Hard copies of large developments in the South of the borough will now automatically be held in Romsey CSU, rather than on request only.  | 25-Jun-2014              |
| 02-Sep-2014 | Complaint about difficulty getting through to CSU when trying to report a family bereavement   | Full apology issued and staff called customer back to resolve reasons for initial call  | Additional staff already assigned during peak periods. Recorded message is used to assist.  | 02-Sep-2014              |
| 08-Sep-2014 | Complaint that cannot get through to the Council on the telephone  | Tried to contact customer and left several messages with apology  | Additional staff during peak periods to man the phones but some very busy periods were still experienced  | 15-Sep-2014              |
| 03-Dec-2014 | Informed us in July that son moved out to go to University and expected small increase for period in between leaving college and going to Uni. Has just realised that we cancelled Single Person Discount back to date he was 18 and instalments nearly trebled. Didn't receive any notification. Requested refund within 5 days. Proof of son's student status provided | Full apology given. Relevant discounts now awarded and agreed refund and recalculation of remaining instalments January to March. | Procedure for discount review to be updated so that letter is sent to notify of any backdated cancellation, in addition to bill being sent. Letter to include reference to possible discounts that might apply. | 03-Dec-2014              |

| <b>Date</b> | <b>Subject Matter</b>  | <b>Action Taken</b>  | <b>Lessons Learnt/Process Review/Changes made as result</b>                       | <b>Date of Response/Closure</b> |
|-------------|--|--|---|---------------------------------|
| 10-Feb-2015 | Email received relating to mis-advice given regarding paying council tax by credit card. | Incorrect advice given by CSU. Apology and full explanation given to customer. | Inexperienced advisor given further training to ensure this does not happen again | 17-Feb-2015                     |

## Chief Executive escalations 2014/15

### Complaints which resulted in learning points or service improvements

| Date        | Subject Matter   | Action Taken  | Lessons Learnt/Process Review/Changes made as result   | Date of Response/ Closure |
|-------------|--|---|--|---------------------------|
| 29-May-2014 | Raised a complaint about the handling of Freedom of Information request.       | Full apology issued for delay in response. Clarification also provided as to volume of work involved which led to the delay.  | If likely to exceed the 18 hour rule during fulfilment then customer should be advised and the request reviewed. Reminder to all Freedom of Information reps.  | 17-Jun-2014               |
| 05-Dec-2014 | Complaint about lack of developer compliance to construct a footpath/cycleway. | Full apology for initial delays in response from Planning and Building. Head of Service consulted with Legal Services as to action appropriate. Regular correspondence between complainant and CEX on a variety of related points between December and March. | Numerous amendments by the developer have regularly delayed the process and avoided enforcement. However, residents and the complainant should have received more regular updates from the service. Head of Service taken over direct management of the issue. | 18-Mar-2015               |
| 15-May-2014 | Complaint about granting of a planning permission                              | Clarification provided and copies of relevant documentation sent to support response.   | Reminder to members to follow the code of conduct when commenting on planning applications   | 16-Jun-2014               |

## Complaints received where response given/action taken, but no longer term learning points or service improvements

| Date        | Subject Matter  | Response   | Date of Response/<br>Closure |
|-------------|---|--|------------------------------|
| 16-May-2014 | Complaint about lack of resolution/mitigation re acoustic barriers.   | Provided full clarification of why it was not felt to be appropriate to provide compensation.  | 03-Jul-2014                  |
| 27-May-2014 | Escalation of complaint re homelessness – believes council should pay hotel bill run up by complainant  | Reviewed matter and provided clarification and timeline of actions taken to date. Confirmed council will not be paying the hotel bill accrued by the complainant at their own discretion.  | 16-Jun-2014                  |
| 17-Oct-2014 | Complaint about new parking restrictions in Floral Way disadvantaging residents   | Full clarification provided as to the amount of consultation carried out   | 14-Nov-2014                  |
| 12-Dec-2014 | Complaint about status on the housing list and not being assigned a particular property. Also unhappy about an environmental health issue and wish the council to pursue. | CEX reviewed case files and officers comments and responded to advise that the allocation of a nomination for the property in question was carried out correctly and in line with Hampshire Home Choice policy. Banding is also appropriate to level of need. With regard to environmental health issue, with over 20 visits, only 1 of which detected evidence it is not appropriate to continue to pursue. | 08-Jan-2015                  |
| 02-Feb-2015 | Complaint related to planning issues  | CEX reviewed information and provided clarification in response to points raised.  | 11-Feb-2015                  |
| 18-Feb-2015 | Continued complaint about the decanting of waste  | Reviewed information available and advised customer that the situation will be monitored. Crew has been instructed to empty waste according to guidelines or more formal action will be taken.   | 02-Mar-2015                  |

| Date        | Subject Matter  | Response   | Date of Response/<br>Closure |
|-------------|---|--|------------------------------|
| 26-Feb-2015 | Complaint about length of time waiting to be rehoused – believes medical condition should force higher priority                       | Reviewed the file. Provided clarification as to actions carried out correctly to date. Complainant has just been nominated for a property. | 10-Mar-2015                  |
| 26-Feb-2015 | Complainant does not believe that he should be eligible for parking charge notice (pcn) – it has already been reviewed and pcn upheld | Provided clarification and carried out an informal second appeal. Confirmed that pcn still stands and complainant is liable.               | 05-Mar-2015                  |
| 11-Mar-2015 | Complaint about council refusing to pay discretionary housing payment.  | Review of assessment undertaken but position upheld.   | 18-Mar-2015                  |
| 18-Mar-2015 | Complaint about the handling of two pcn and subsequent customer contact   | Provided clarification of all actions taken and pcn still stand.   | 09-Apr-2015                  |

## **ITEM 11                      Annual Review of Corporate Action Plan**

Report of the Policy Manager

(Portfolio: Leader)

### **Recommended:**

- 1. That following the adoption of the new Corporate Plan, OSCOM considers its ongoing programme of lead member reviews in relation to the new priority areas.***

#### **SUMMARY:**

- The Council's most recent Corporate Plan "Doing things differently" drew to a close in April 2015. A new Corporate Plan, "Investing in Test Valley", has now been approved by Council for the period of 2015—19.
- The Corporate Plan is underpinned by a Corporate Action Plan which is updated and reported on annually and shows in detail, how the Council will make progress against each of its priorities through the delivery of a number of specific projects.
- This report will be accompanied by a presentation that the Leader of the Council will make to OSCOM. The presentation will review the last year of the 2011-15 plan and brief OSCOM on the projects coming forward in year 1 as part of the new Corporate Action Plan for 2015-19.

### **1 Introduction**

1.1 This report will provide an overview of the projects taken forward in the last year of the last plan. The report also outlines the projects coming forward in year 1 as part of the new Corporate Action Plan for 2015-19, which was approved by Cabinet in June 2015.

1.2 The contents of this report will form the basis of the presentation being made by the Leader of the Council at OSCOM.

### **2 Background**

2.1 The Corporate Plan is underpinned by a Corporate Action Plan which runs for the lifetime of the plan and is updated annually. It shows in detail how the Council will make progress against its priority aims.

2.2 Each year a review is undertaken to update the Corporate Action Plan to ensure it continues to highlight the significant projects that the Council is taking forward in pursuit of its four corporate aims.



### **3 Corporate Action Plan (2011-15)**

3.1 The Council's most recent Corporate Plan, "Doing things differently", came to an end in April 2015. Over the preceding four years a Corporate Action Plan was in place which set out the projects the Council would be taking forward in pursuit of its corporate aims.

3.2 Each year a review of activity has been produced and published on the Council's website.

<http://www.testvalley.gov.uk/aboutyourcouncil/howarewedoing/councilperformance/>.

3.3 A review of the final year of the most recent Corporate Action Plan will be published on the Council's website following the presentation to OSCOM which will brief councillors on the projects delivered during 2014-15.

### **4 A new Corporate Action Plan (2015-19)**

4.1 The new Corporate Plan, "Investing in Test Valley", sets out four priority aims which focus on ensuring the Borough remains a great place to:

- Live, where the supply of homes reflects local needs
- Work and do business
- Enjoy the natural and built environment
- Contribute to and be part of a strong community

4.2 The Corporate Plan has been developed using a robust evidence base which takes into account the views of local people, statistical information, and external influences such as government policy.

4.3 Following the adoption of the Council's new Corporate Plan for 2015-19, a new Corporate Action Plan has been developed and approved by Cabinet.

4.4 Seventeen key projects form the draft Corporate Action Plan for 2015-16. Each of the projects will contribute towards one or more of the priorities that form the Corporate Plan. The Action Plan is appended to this report.

4.5 Monitoring of the Corporate Action Plan will be undertaken through the Council's performance management system. An Annual Report will be published on the Council's website to demonstrate progress against the project areas.

## 5 Conclusion

- 5.1 The Corporate Action Plan shows in detail how the Council intends to make progress by focusing on the actions it will take forward against each of the priorities of the Corporate Plan. As a result it informs decision making and allocation of resources across the Council.
- 5.2 Following the adoption of the new Corporate Plan, lead members may like to consider their onward programme of reviews in relation to the new priorities and areas being explored through the Corporate Action Plan over the next four years.

|  |                                 |       |              |
|--|---------------------------------|-------|--------------|
| <u>Background Papers (Local Government Act 1972 Section 100D)</u>  |                                 |       |              |
| <u>Confidentiality</u>   |                                 |       |              |
| It is considered that this report does not contain exempt information within the meaning of Schedule 12A of the Local Government Act 1972, as amended, and can be made public. |                                 |       |              |
| No of Annexes:   | 1                               |       |              |
| Author:  | James Moody                     | Ext:  | 8130         |
| File Ref:  |                                 |       |              |
| Report to:   | Overview and Scrutiny Committee | Date: | 22 July 2015 |

**Corporate Action Plan 2015-19 (Year 1)**

| <b>Proposed Project</b>   | <b>Summary of project scope</b>   | <b>Corporate Plan Programme Area</b>  |
|---|---|---|
| <b>Prepare an Economic Development Strategy</b>                       | To re-assess the economic conditions of the Borough and set out the council’s ongoing offer and focus for economic development.   | Work and do business  |
| <b>Deliver Superfast Broadband for Rural Areas and Business Parks</b> | Support and influence initiatives that will improve access to superfast broadband in the Borough. Support BT/HCC Rural Broadband programme and provide support for solutions within our business parks and local communities. | Work and do business  |
| <b>Develop a CIL Spending Protocol</b>                                | To produce a spending protocol that will guide the delivery of the Reg. 123 infrastructure list.  | Work and do business<br>Contribute<br>Enjoy the natural and built environment         |
| <b>Deliver the Enhancing Andover Town Centre Project</b>              | Delivery of a series of co-ordinated schemes that will enhance Andover Town Centre. Schemes such as Way finding and Andover Arches  | Work and do business<br>Contribute<br>Enjoy the natural and built environment         |
| <b>Finalise and adopt the Romsey Future Vision</b>                    | Consult with local people on the proposed vision for Romsey. Adopt the Romsey Future Vision document and begin work on taking forward an approach for delivery.   | Work and do business<br>Contribute<br>Enjoy the natural and built environment<br>Live |

| Proposed Project  | Summary of project scope  | Corporate Plan Programme Area  |
|---|---|--|
| <p><b>Deliver a range of initiatives to support development of local skills (e.g. A new Technology and Skills Centre for Andover)</b></p> | <p>Support delivery of schemes such as a new Technology and Skills Centre for Andover, ongoing delivery of the Andover Skills Fund, securing new skills schemes in the south of the Borough through developer contributions such as Apprenticeships and the further develop the computers and mentors in the community pilot.</p> | <p>Work and do business</p>  |
| <p><b>Review our Waste Strategy</b></p>   | <p>A full review of our waste strategy to bring forward options for how we could increase current levels of recycling. The review will also explore the behavioural elements of why people do and don't recycle.</p>  | <p>Enjoy the natural and built environment</p>                                   |
| <p><b>Prepare and let a new Leisure Management Contract</b></p>   | <p>A three year project which is preparing a new leisure centre contract to be let in 2017. Work is being undertaken to identify ways in which the new contract could help move forward the ambition to deliver upgraded facilities</p>   | <p>Enjoy the natural and built environment</p>                                   |
| <p><b>Project Enterprise</b></p>  | <p>An investment strategy that will enable the Council to develop innovative ways of generating new income streams to reduce its reliance on central government grants.</p>   | <p>Enjoy the natural and built environment<br/>Work and do business<br/>Live</p> |

| Proposed Project   | Summary of project scope   | Corporate Plan Programme Area   |
|--|--|---|
| <b>Develop a management plan for Fishlake Meadows in Romsey</b>          | In consultation with local stakeholders produce a Management Plan for the nature reserve at Fishlake Meadows in preparation for its transfer to the Council.   | Enjoy the natural and built environment                                       |
| <b>To adopt new sports facilities for East Anton &amp; Picket Twenty</b> | Bring forward the adoption of new sports facilities at East Anton and Picket Twenty and to integrate them with other facilities within the Andover area  | Enjoy the natural and built environment                                       |
| <b>Empowering Communities</b>  | Build on the developments of phase 1 in the last Corporate Plan. Further develop the approach taken to supporting communities to plan for their own needs, do more for themselves and supporting councillors to develop their community leadership role. | Contribute  |
| <b>Renew the Andover Vision</b>  | Work with partners to develop the next steps and future opportunities for taking forward the Andover Vision.   | Contribute<br>Enjoy the natural and built environment<br>Work and do business |
| <b>Prepare a new Housing Strategy</b>                                    | A new Housing Strategy and its resulting action plan will set out ways in which we can take forward the aspirations of the corporate plan.   | Live  |

| Proposed Project   | Summary of project scope  | Corporate Plan Programme Area           |
|--|---|---|
| <b>Review our approach to developing the Local Plan including the role of Neighbourhood Planning</b> | Exploring the future development of the next Local Plan and how it can make use of the role of Neighbourhood Planning.        | Live<br>Contribute                      |
| <b>Evaluation of new development areas</b>   | Undertake an evaluation project of our recent new developments areas to review their quality of design and impact.            | Enjoy the natural and built environment |
| <b>Update the Council's Sustainability Strategy</b>  | Undertake a review of the Council's current Sustainability Strategy and update as required to set the Council's future focus. | Enjoy the natural and built environment |

**ITEM 12**

**Programme of Work for the  
Overview & Scrutiny Committee**

Report of Head of Legal and Democratic Services

**Recommended:**

**The Committee is requested to:**

- 1. Review the outcomes on the work programme and recommendations update.**
- 2. Approve the future work programme.**

**SUMMARY:**

The purpose of this report is to enable members to keep the Committee’s future work programme and recommendations update under review.

**1. Background**

- 1.1 The OSCOM Work Programme is presented at Annex 1 for review and approval.
- 1.2 The OSCOM Recommendations Update is presented at Annex 2 for the Committee’s review and comments.
- 1.4 The Cabinet Work Programme is attached at Annex 3 for the Committee to consider.

Background Papers (Local Government Act 1972 Section 100D)

None

Confidentiality

It is considered that this report does not contain exempt information within the meaning of Schedule 12A of the Local Government Act 1972, as amended, and can be made public.

|  |                               |           |              |
|--|-------------------------------|-----------|--------------|
| No of Annexes:                           | 3                             | File Ref: |              |
| (Portfolio: Corporate) Councillor C Lynn |                               |           |              |
| Officer                                  | Caroline Lovelock             | Ext:      | 8007         |
| Report to:                               | Overview & Scrutiny Committee | Date:     | 22 July 2015 |

**OVERVIEW & SCRUTINY WORK PROGRAMME 2015/16**

|  | *Scrutiny Indicator | Requested by | Purpose of Report<br>(Responsible Officer/ Member)  | Expected Outcome                                    |
|--|---------------------|--------------|---|---|
| <b>2015</b>  |                     |              |   |   |
| <b>22 JULY (ANDOVER)</b>   |                     |              |   |   |
| Risk Management Annual Report (briefing note)                      | 2                   | Committee    | To consider the Annual Report<br><b>(Principal Auditor)</b>   | To comment on the report                            |
| Equalities Scheme (briefing note)                                  | 2                   | Committee    | To monitor and review performance.<br><b>(Corporate Director)</b>                                   | To comment and make recommendations as appropriate  |
| Grants Review (full report)  | 2                   | Committee    | To monitor and review performance.<br><b>(Head of Community &amp; Leisure)</b>                      | To comment and make recommendations as appropriate  |
| Annual Review of Corporate Action Plan (full report)               | 2                   | Committee    | To receive an update on the Key Performance Indicators<br><b>(Performance Manager)</b>              | To consider and make recommendations as appropriate |
| Annual Review – Complaints (full report)                           | 2                   | Officers     | To review the complaints received<br><b>(Complaints and Improvement Officer)</b>                    | To consider and make recommendations as appropriate |
| Appointment to Review of Council Tax Support Task and Finish Panel | 3                   | Committee    | To appoint members to the Review of Council Tax Support Task and Finish Panel<br><b>(Cllr Lynn)</b> | To set up the panel                                 |
| <b>14 AUGUST – AWAY DAY</b>  |                     |              |   |   |
| <b>9 SEPTEMBER (ROMSEY)</b>  |                     |              |   |   |
| Outcomes from the Away Day   | 3                   | Committee    | To consider the outcomes of the Away Day<br><b>(Cllr Lynn)</b>                                      | To make recommendations as appropriate              |
| Community Safety Panel Report (Provisional)                        | 3                   | Committee    | To receive the final report<br><b>(Cllr Bundy)</b>  | To comment and make rec's as appropriate            |

\* Scrutiny Indicator Key:

|                        |                            |                   |                        |                       |
|------------------------|----------------------------|-------------------|------------------------|-----------------------|
| 1 : Holding to Account | 2 : Performance Management | 3 : Policy Review | 4 : Policy Development | 5 : External Security |
|------------------------|----------------------------|-------------------|------------------------|-----------------------|



Test Valley Borough Council – Overview and Scrutiny Committee – 22 July 2015

|   | *Scrutiny Indicator | Requested by | Purpose of Report<br>(Responsible Officer/Member)                                  | Expected Outcome                                     |
|---|---------------------|--------------|--|--|
| <b>7 OCTOBER (ANDOVER)</b>                                      |                     |              |  |  |
| Annual Audit Report (full report)                               | 2                   | Committee    | To receive the report  | To comment and make recommendations as appropriate   |
| Planning Policy (members role in its development) (full report) | 4                   | Committee    | To recover an update on progress<br><b>(Head of Planning Policy and Transport)</b> | To comment and make recommendations                  |
| Andover Vision Manager  | 5                   | Committee    | Presentation by the Andover Town Centre Manager.                                   | To comment on the presentation                       |
| <b>4 NOVEMBER (ANDOVER)</b>                                     |                     |              |  |  |
| Draft Budget Fees and Charges (full report)                     | 4                   | Committee    | To consider the draft Budget Panel report<br><b>(Cllr Finlay)</b>                  | Comment and make recommendations as appropriate.     |
| A Competitive Local Economy – Phase 2 (full report)             | 4                   | Committee    | To consider the proposals and results from the review. <b>(Cllr Hamilton)</b>      | To comment and make recommendations as appropriate.  |
| Budget Panel Report on Draft Budget (full report)               | 1                   | Committee    | To consider the draft budget<br><b>(Cllr Finlay)</b>                               | To make recommendations as appropriate.              |
| <b>2016</b>   |                     |              |  |  |
| <b>16 JANUARY (ROMSEY)</b>                                      |                     |              |  |  |
| Budget Strategy Update (full report)                            | 1                   | Committee    | To consider final budget proposals<br><b>(Cllr Finlay)</b>                         | To comment and make recommendations as appropriate   |
| <b>17 FEBRUARY (ANDOVER)</b>                                    |                     |              |  |  |
| Romsey Future Update (round table discussion)                   | 4                   | Committee    | To receive an update on progress<br><b>(Corporate Director)</b>                    | To consider progress to date                         |
| Test Valley Partnership Annual Review (briefing note)           | 1 & 5               | Committee    | Review how partnership working<br><b>(James Moody)</b>                             | To consider and make recommendations as appropriate. |
| Andover Levy (briefing note)                                    | 2                   | Committee    | To review the levy<br><b>(Accountancy Manager)</b>                                 | To consider and make recommendations as appropriate  |
| <b>16 MARCH (ROMSEY)</b>  |                     |              |  |  |
| Affordable Housing Update (briefing note)                       | 3                   | Committee    | To receive an update on progress<br><b>(Head of Housing)</b>                       | To comment and make recommendations as appropriate   |
| OSCOM Report (start) (full report)                              | 2                   | Committee    | To consider the OSCOM Annual Report<br><b>(Cllr Lynn)</b>                          | To consider and make recommendations as appropriate  |
| Presentation on local policing (briefing note)                  | 5                   | Committee    | To receive a presentation by the Chief Inspector                                   | To comment on the presentation                       |

\* Scrutiny Indicator Key:

|                        |                            |                   |                        |                       |
|------------------------|----------------------------|-------------------|------------------------|-----------------------|
| 1 : Holding to Account | 2 : Performance Management | 3 : Policy Review | 4 : Policy Development | 5 : External Security |
|------------------------|----------------------------|-------------------|------------------------|-----------------------|

Test Valley Borough Council – Overview and Scrutiny Committee – 22 July 2015

|   | *Scrutiny Indicator | Requested by | Purpose of Report<br>(Responsible Officer/Member)                           | Expected Outcome                                    |
|---|---------------------|--------------|---|---|
| <b>13 APRIL (ROMSEY)</b>                                |                     |              |   |   |
| Draft OSCOM Annual Report (full report)                 | 2                   | Committee    | Report of the Chairman and Lead Members<br><b>(Cllr Lynn)</b>               | To comment on the draft report                      |
| Review of Council Tax Support (full report)             | 3                   | Committee    | To receive an update on progress<br><b>(Head of Revenues)</b>               | To comment and make recommendations as appropriate. |
| <b>10 MAY (ANDOVER)</b>                                 |                     |              |   |   |
| Andover Vision (full report)                            | 3                   | Committee    | To receive an update on progress<br><b>(Chief Executive)</b>                | To comment and make recommendations as appropriate  |
| Safeguarding Children & Vulnerable Adults (full report) | 3                   | Committee    | To review progress against the Action Plan<br><b>(Dave Tasker)</b>          | To consider and make recommendations as appropriate |
| Final OSCOM Annual Report (full report)                 | 2                   | Committee    | To review the final version<br><b>(Chairman)</b>                            | To approve the final report                         |
| Update on Recycling (briefing note)                     | 2                   | Committee    | To receive an update on progress<br><b>(Head of Environmental Services)</b> | To review progress                                  |
| <b>8 JUNE (ANDOVER)</b>                                 |                     |              |   |   |
| Risk Management Report (briefing note)                  | 2                   | Committee    | To consider the Annual Report<br><b>(Principal Auditor)</b>                 | To comment on the report                            |
| <b>TBC</b>  |                     |              |   |   |
| Annual Review of Partnership and Shared Services        | 2                   | Committee    | To receive an update on progress<br><b>(Corporate Director)</b>             | Comment on the proposals and make recommendations   |

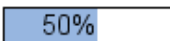


\* Scrutiny Indicator Key:

|                        |                            |                   |                        |                       |
|------------------------|----------------------------|-------------------|------------------------|-----------------------|
| 1 : Holding to Account | 2 : Performance Management | 3 : Policy Review | 4 : Policy Development | 5 : External Security |
|------------------------|----------------------------|-------------------|------------------------|-----------------------|

**Annex 2**

| <b>Review Area</b> | <b>Title</b>                            | <b>Lead Member</b>  | <b>Progress Update</b>  | <b>Report back to OSCOM</b> |
|--------------------|---|---------------------|---|-----------------------------|
| Economy            | A Competitive Local Economy             | Councillor Hamilton | Phase 2 in Nov- looking at the economic schemes we already provide to support business/community projects in the community. - Please can you email out to remind members for any feedback and if they know of any schemes we can look into that they know works well in others areas they have come across. Feedback by July 31st so we have room to investigate. | 4 November 2015             |
| Community          | Community Safety                        | Councillor Bundy    |   | 9 September 2015            |
| Environment        | Members Role in Planning (part 2?)      | Councillor Tilling  |   |                             |
| Housing            | Affordable Housing update briefing note | Councillor Page     | Matter only recently reviewed at OSCOM meeting in April 2015  | March 2016                  |

| <b>Panel</b>        | <b>Lead Member</b>    | <b>Progress Update</b> | <b>Report back to OSCOM</b> |
|---------------------|-----------------------|------------------------|-----------------------------|
| Council Tax Support | Councillor Baverstock |                        |                             |
| Planning Control    | Councillor Neal       |                        |                             |
| Plans Panel         | Councillor Adams-King |                        |                             |

| Item                                | Meeting Date  | Officer Owner | Recommendation   | Estimated Progress  | Progress Update   |
|-------------------------------------|---------------|---------------|--|---|---|
| <b>Members Role in Planning</b>     | 26 March 2014 | Paul Jackson  | That the 32 recommendations to Cabinet be considered by officers and the findings reported back to Cabinet   |  | Cabinet accepted the majority of the recommendations of the Task & Finish Panel. Reported to OSCOM on 21 January 2015 |
| <b>A New Draft Corporate Plan</b>   | 18 March 2015 | Andy Ferrier  | Recommended to Cabinet that OSCOM having received the draft Corporate Plan proposed for 2015 – 19 referred it back to Cabinet with the following points for consideration:<br><br>1. The word “availability” to be substituted for “deliverability” in the Housing section.<br>2. The Ganger Farm site – the Local Plan Inspector had questioned its deliverability.<br>3. The Andover Encounters project should be taken out of the text as it was not an ongoing initiative. |  | Reported to Cabinet on 8 April 2015   |
| <b>Amending the Code of Conduct</b> | 18 March 2015 | Bill Lynds    | Recommended to Cabinet:<br>That the revised Code of Conduct and arrangements for dealing with complaints and particularly the text highlighted in yellow at Annex 1 of the report, including the suggested amendments mentioned in the report, be approved.  |  | Reported to Cabinet on 8 April 2015   |



# Cabinet Work Programme

## Further information

1. This is a formal notice under Regulation 9 of The Local Authorities (Executive Arrangements)(Meetings and Access to Information)(England) Regulations 2012 This edition supersedes all previous editions.
2. Documents submitted to the Cabinet or Cabinet Member(s) for decision will be in the form of a formal report, which if public and non-urgent, will be available for public inspection on this website at least 5 clear working days before the date that the decision is due to be made.
3. Background papers for such reports are listed in this Programme where their identity is known in advance of the report being written
4. Documents shown will be available from the Democratic Services Manager at Test Valley Borough Council, Beech Hurst, Weyhill Road, Andover, Hants, SP10 3AJ. They can also be contacted at [admin@testvalley.gov.uk](mailto:admin@testvalley.gov.uk).
5. Please note that additional documents relevant to those matters mentioned in the Work Programme may be submitted to the decision maker.
6. To view details of the members of the Council's Cabinet who will be making these decisions, please click the link below:  
[Cabinet Members](#)

Whilst the majority of the Cabinet's business at the meetings listed in this Forward Plan will be open to the public and media organisations to attend, there will inevitably be some business to be considered that contains, for example, confidential, commercially sensitive or personal information.

This is formal notice under The Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012 that part of the Cabinet meetings listed in this Forward Plan may be held in private because the agenda and reports for the meeting will contain exempt information under Part 1 of Schedule 12A to the Local Government (Access to Information) Act 1985 (as amended) and that the public interest in withholding the information outweighs the public interest in disclosing it.

If you have any questions, would like further information or wish to make representations in relation to part of a meeting being held in private, please email the Democratic Services Manager at [admin@testvalley.gov.uk](mailto:admin@testvalley.gov.uk) or visit them at Beech Hurst, Weyhill Road, Andover SP10 3AJ

## **KEY DECISIONS**

A key decision is one which is likely

1. to result in the local authority incurring expenditure which is, or the making of savings which are, significant having regard to the local authority's budget for the service or function to which the decision relates;

or

2. to be significant in terms of its effect on communities living or working in an area comprising two or more wards or electoral divisions in the area of the local authority.

The Council's thresholds are

- |    |  |   |                   |
|----|--|---|-------------------|
| a. | Decisions on spending which are within the annual budgets approved by the Council      | NO THRESHOLD  | NOT KEY DECISION  |
| b. | Decisions on spending above £50,000 included, with reservations, in the annual budget. |   | ALL KEY DECISIONS |
| c. | Decisions on cash flow, investments and borrowings.                                    | NO THRESHOLD  | NOT KEY DECISION  |
| d. | Decisions for spending beyond any approved budget.                                     | SPENDING EXCESS OF £50,000 PER ITEM IS A KEY DECISION |                   |

**CABINET WORK PROGRAMME**

| Date of Decision<br>Date<br>Location | ITEM   | Key Decision | Decision-maker and title if any | May include information which is not to be made public* | Documents to be Submitted for Consideration                     | Head of Service                          |
|--------------------------------------|--|--------------|---------------------------------|---|---|--|
| 15 Jul 15 (R)                        | Review of Local Information Requirements for the Validation of Planning and Related Applications | Yes          | Cabinet                         | No  | Report of the Planning and Transport Portfolio Holder           | Head of Planning and Building            |
| 15 Jul 15 (R)                        | Adoption of the Romsey Town Access Plan SPD  | No           | Council                         | No  | Report of the Planning and Transport Portfolio Holder           | Head of Planning Policy and Transport    |
| 15 Jul 15 (R)                        | Adoption of Test Valley Access Plan SPD  | No           | Council                         | No  | Report of the Planning and Transport Portfolio Holder           | Head of Planning Policy and Transport    |
| 15 Jul 15 (R)                        | Registered Provider Housing Development Partnership  | Yes          | Cabinet                         | No  | Report of the Housing and Environmental Health Portfolio Holder | Head of Housing and Environmental Health |
| 15 Jul 15 (R)                        | Housing Related Support and Housing Revenue Grants   | Yes          | Cabinet                         | No  | Report of the Housing and Environmental Health Portfolio Holder | Head of Housing and Environmental Health |
| 15 Jul 15 (R)                        | Award of Abbottswood off-site Public Art Commission  | No           | Cabinet                         | No  | Report of the Community and Leisure Portfolio Holder            | Head of Community and Leisure            |



Test Valley Borough Council – Overview and Scrutiny Committee – 22 July 2015

| Date of Decision<br>Date<br>Location | ITEM   | Key Decision | Decision-maker and title if any | May include information which is not to be made public* | Documents to be Submitted for Consideration           | Head of Service                       |
|--------------------------------------|--|--------------|---------------------------------|---|---|---------------------------------------|
| 2 Sept 15 (R)                        | Adoption of Cycle Strategy & Network SPD   | No           | Council                         | No  | Report of the Planning and Transport Portfolio Holder | Head of Planning Policy and Transport |
| 2 Sept 15 (R)                        | Corporate Financial Monitoring – compares the actual revenue income and expenditure against profiled budget for the first four months of the financial year with explanations of significant variances           | No           | Council                         | No  | Report of the Economic Portfolio Holder               | Head of Finance                       |
| 2 Sept 15 (R)                        | Leisure Contract Specification   | No           | Cabinet                         | Yes   | Report of the Community and Leisure Portfolio Holder  | Head of Community and Leisure         |
| 28 Oct 15 (A)                        | Budget Strategy – includes an update of the Medium Term Financial Strategy and considers initial budget proposals for the next financial year and the process and timetable for the preparation of the Estimates | No           | Cabinet                         | No  | Report of the Economic Portfolio Holder               | Head of Finance                       |
| 28 Oct 15 (A)                        | Fees and Charges – to consider the annual changes to fees and charges for the next financial year  | No           | Cabinet                         | No  | Report of the Economic Portfolio Holder               | Head of Finance                       |
| 28 Oct 15 (A)                        | Second Quarter Corporate Financial Monitoring – compares actual revenue income and expenditure against profiled budget for the year to date with explanations of significant variances                           | No           | Council                         | No  | Report of the Economic Portfolio Holder               | Head of Finance                       |

Test Valley Borough Council – Overview and Scrutiny Committee – 22 July 2015

| Date of Decision<br>Date<br>Location | ITEM  | Key Decision | Decision-maker and title if any | May include information which is not to be made public* | Documents to be Submitted for Consideration          | Head of Service               |
|--------------------------------------|---|--------------|---------------------------------|---|--|-------------------------------|
| 25 Nov 15 (R)                        | Asset Management Plan Update – to review progress of the current year’s projects and recommend the works to be included in the Asset Management Plan for the following financial year | No           | Council                         | No  | Report of the Economic Portfolio Holder              | Head of Finance               |
| 25 Nov 15 (R)                        | Capital Programme update – to consider the current position of existing capital projects and new bids   | No           | Council                         | No  | Report of the Economic Portfolio Holder              | Head of Finance               |
| 22 Jun 16 (A)                        | Leisure Centre Contract Shortlist Candidates  | No           | Cabinet                         | Yes   | Report of the Community and Leisure Portfolio Holder | Head of Community and Leisure |
| 2 Nov 16 (R)                         | Appointment of Preferred Bidder for Leisure Centre Contract   | No           | Cabinet                         | Yes   | Report of the Community and Leisure Portfolio Holder | Head of Community and Leisure |

\* Members of the public will be excluded from the discussion during the consideration of these reports in the event that they contain information which is not to be made public in accordance with the relevant legal provisions.

**MOVED/DELETED ITEMS**

| <b>Original Date Of Decision</b> | <b>Item</b>                              | <b>Moved/Deleted</b> | <b>Reason For Move/Deletion</b> | <b>Informed By</b>      | <b>Date Informed</b> |
|----------------------------------|--|----------------------|---------------------------------|-------------------------|----------------------|
| 15 July 2015                     | Adoption of Cycle Strategy & Network SPD | Moved to 2 Sept 15   | Awaiting further information    | Planning Policy Manager | 25 Jun 15            |

**ARRANGEMENTS FOR MAKING REPRESENTATIONS TO THE CABINET REGARDING DECISIONS CONTAINED WITHIN THE FORWARD PLAN**

**PUBLIC:** A member of the public may address the Cabinet in accordance with the Public Participation Scheme. Notice must be given to the Democratic Services Manager by noon on the day before the meeting.

Members of the public are welcome to write to the appropriate Head of Service as listed in the last column of the Work Programme on any matter where a decision is to be made.