

Public Document Pack

Governance

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The Chair and Members of Cabinet

Please ask for
Direct Line
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Brian Offiler
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10 June 2014

Dear Councillor,

Please attend a meeting of the CABINET to be held on TUESDAY, 17TH JUNE, 2014 immediately following the conclusion of the Joint Cabinet and Employment and General Committee meeting in Council Chamber, Town Hall, Rose Hill, Chesterfield, the agenda for which is set out below.

AGENDA

Part 1(Public Information)

1. Declarations of Members' and Officers' Interests relating to items on the Agenda
2. Apologies for Absence
3. Minutes (Pages 1 - 18)

To approve as a correct record the Minutes of the Cabinet meetings held on 4 June, 2014 and 10 June, 2014.

4. Forward Plan (Pages 19 - 34)

Items Recommended to Cabinet via Executive Members

Leader and Executive Member for Regeneration

5. Leader & Executive Member for Regeneration Portfolio Accounts 2013/14 (R000) (Pages 35 - 44)

Chief Executive
Huw Bowen



Deputy Leader and Executive Member for Planning

6. Deputy Leader & Executive Member for Planning Accounts 2013/14 (J000) (Pages 45 - 66)

Executive Member for Customers and Communities

7. Portfolio Accounts 2013/14 - Customers and Communities (S000) (Pages 67 - 80)

Executive Member for Environment

8. Executive Member for Environment Accounts 2013/14 (E000) (Pages 81 - 100)

Executive Member for Housing

9. Housing General Fund Final Accounts 2013/14 (H000) (Pages 101 - 114)
10. Housing Revenue Final Accounts 2013/14 (H000) (Pages 115 - 130)

Executive Member for Governance and Organisational Development

11. Executive Member for Governance and Organisational Development Accounts 2013/14 (B000) (Pages 131 - 150)
12. Review of Code of Corporate Governance and the Annual Governance Statement (B000) (Pages 151 - 244)

Executive Member for Leisure, Culture and Tourism

13. Leisure, Culture and Tourism Portfolio Final Accounts 2013/14 (L000) (Pages 245 - 260)
14. Updated Collecting and Rationalisation and Disposal Policies for Chesterfield Museum (L000) (Pages 261 - 308)

Leader & Executive Member for Regeneration

15. General Fund Budget Outturn 2013/14 (R000) (Pages 309 - 332)

16. Local Government Act 1972 - Exclusion of the Public

To move “That under Regulation 21(1)(b) of the Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2000, the public be excluded from the meeting for the following items of business on the grounds that they involve the likely disclosure of exempt information as defined in Paragraph 3 of Part I of Schedule 12A to the Local Government Act 1972” – as they contain information relating to financial and business affairs.

Deputy Leader & Executive Member for Planning

- 17. Security Services DSO Final Accounts 2013/14 and Business Plan 2014/15 (J000) (Pages 333 - 338)
- 18. Contract for the future provision of Security Services to the Pavements Centre, Yards and Market, Chesterfield (J000) (Pages 339 - 350)

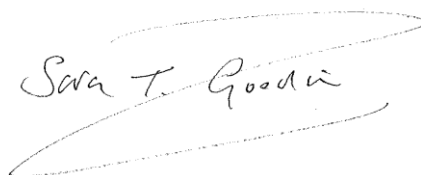
Executive Member - Environment

- 19. Cleansing Internal Service Provider Cleaning of Buildings Final Accounts 2013/14 and Business Plan 2014/15 (E000) (Pages 351 - 356)
- 20. Landscape and Streetscene Services (Spirepride) Final accounts 2013/14 and Business Plan 2014/15 (E000) (Pages 357 - 360)

Executive Member for Housing

- 21. PCVU Window and Door Assembly Factory Final Accounts 2013/14 and Business Plan 2014/15 (H000) (Pages 361 - 366)
- 22. Operational Services I.S.P. Final Accounts 2013/14 and Business Plan 2014/15 (H000) (Pages 367 - 374)

Yours sincerely,

A handwritten signature in cursive script that reads "Sara T. Goodwin". The signature is enclosed within a large, hand-drawn oval shape.

Head of Governance

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CABINET MEETING

Wednesday, 4th June, 2014

Present:-

Councillor Burrows (Chair)

Councillors Gilby
King

Ludlow
McManus

Non Voting Hill
Members Hollingworth

Huckle
Martin Stone

*Matters dealt with under Executive Powers

9 **DECLARATIONS OF MEMBERS' AND OFFICERS' INTERESTS
RELATING TO ITEMS ON THE AGENDA**

No declarations of interest were received.

10 **APOLOGIES FOR ABSENCE**

Apologies for absence were received from Councillors Blank, Brown, Russell and Serjeant.

11 **MINUTES**

RESOLVED –

That the Minutes of the meeting of Cabinet held on 20 May, 2014, be approved as a correct record and signed by the Chair.

12 **FORWARD PLAN**

The Forward Plan for the four month period 1 June, 2014 to 30 September, 2014 was reported for information.

*** RESOLVED –**

That the Forward Plan be noted.

13 **LOCAL GOVERNMENT ASSOCIATION PEER CHALLENGE 2013/14 (J030)**

The Corporate Management Team submitted a report on the findings of the Local Government Association (LGA) Corporate Peer Challenge.

The Council had taken part in the LGA Peer Challenge programme in November 2013. The Peer Challenge Team had been provided with a range of background documents prior to the challenge period, including the Corporate Plan, financial information, performance data, key strategies and a number of case studies. During the three day period the Peer Challenge Team had met with a range of Members, officers and other stakeholders.

The Peer Challenge focused on a number of core elements, and, in light of the significant financial challenge facing the Council in the years ahead, the Council had requested that the Challenge team also looked at the Council's transformation programme, the current back office contract/partnering arrangements and the Council's organisational capacity to deliver its capital and transformation programmes.

The Peer Challenge Feedback Letter, which was attached as an Appendix to the report, provided feedback on all the focus areas along with suggestions for improvement. Overall it recognised the huge commitment to the Borough and the Council from both Members and employees and that the Council was performing well. It recommended revisiting financial assumptions to ensure that the medium term financial strategy had realistic targets for the next five years and reviewing the Corporate Plan to be in line with the financial assumptions.

Since the Peer Challenge in November a number of the recommendations had been taken forward including revisiting the financial assumptions and extensive work on developing a new Corporate Plan. A number of key activities were planned for the next six to 12 months in order to respond to the challenges identified during the Peer Challenge and to maximise opportunities. The Peer Challenge Action Plan was attached as an Appendix to the report.

The Action Plan would be owned and monitored by the Corporate Management Team and a progress report submitted to Cabinet at the six month stage and after 12 months.

*** RESOLVED –**

- (1) That the findings from the Peer Challenge be endorsed and that the report be released for publication.
- (2) That the Peer Challenge action plan be approved for implementation.

REASON FOR DECISION

To respond effectively to the challenges identified within the 2013/14 Peer Challenge.

14 LOCAL GOVERNMENT ACT 1972 - EXCLUSION OF THE PUBLIC**RESOLVED –**

That under Regulation 21(1)(b) of the Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2000, the public be excluded from the meeting for the following items of business on the grounds that they involved the likely disclosure of exempt information as defined in Paragraph 3 of Part I of Schedule 12A to the Local Government Act 1972 – as they contained information relating to financial and business affairs.

15 CHESTERFIELD WATERSIDE UPDATE AND GROWING PLACES FUNDING (J000R)

The Head of Regeneration submitted an update report on the Waterside project, including the proposal for the Council to undertake infrastructure works on the site with a Growing Places Fund (GPF) loan from the Sheffield City Region Local Enterprise Partnership (SCR LEP).

The Council had entered into a partnership agreement in 2006 with Arnold Laver and Company Ltd and Bolsterstone Plc to form a Limited Liability Company, known as Chesterfield Waterside Limited, to provide a mechanism to enable the Council to help secure the future comprehensive regeneration of this high profile strategic site.

The delivery of the Chesterfield Waterside development remained a priority within the SCR LEP Strategic Plan and was a key Council Corporate Plan priority. The site had been stalled for a number of years and the prevailing

market conditions meant that the ambition for the site would require public intervention to ensure that a viable scheme could be delivered.

The report updated progress in respect of infrastructure works, residential development and commercial development.

The GPF loan would pump prime the development and make the site infrastructure ready, enabling the scheme to deliver 2,500 jobs in 30,000 sqm of commercial floor space, generating an uplift in business rates of which the Council could retain 20%. In addition, the scheme would create 1,200 – 1,500 homes for the borough, securing a new homes bonus of up to £1.4m per annum for six years.

The Council would submit a formal application to the SCR LEP for a loan of £2.4m, entering into a loan agreement with Sheffield City Council (SCC) as the accountable body for the funds. In order for the Council to progress this approach an allocation of £40,000 would need to be set aside from the Service Improvement Reserve to cover costs incurred for legal and other professional fees which would be required in advance of the draw down of the loan. It was proposed that this allocation would be repaid through an early draw down of the loan.

Prior to drawing down the first tranche of funding, the landowner would be required to enter into a Covenant to Pay, ensuring that all costs incurred by the Council could be recovered regardless of whether the infrastructure works went ahead or not. The cost of the infrastructure work, interest accrued by the Council and any incidental costs and fees in delivering this work would be charged to the landowner who would be required to pay for the works undertaken.

The report included a programme for activities relating to the infrastructure work and the subsequent residential development, with work scheduled to start on site in early 2015.

Small scale housing delivery on the site had commenced recently with the development of 19 affordable homes, which were due to be completed by March 2015. A programme of work to deliver 300 houses on completion of the infrastructure work was in place.

Interest in Basin Square, the commercial area of the site, had been positive with a number of companies expressing a strong interest in locating on the site. Subject to Chesterfield Waterside obtaining grant

funding from the Sheffield City Region Investment Fund (SCRIF), infrastructure works, including completion of the canal basin, new road bridge, preparation of development platforms and the development of the first three buildings, could commence on site in the summer of 2015.

The report outlined the risk factors for the Council and the mitigating actions proposed to minimise the likelihood and the impact of these risks.

*** RESOLVED -**

(1) That it be recommended to Full Council that £40,000 be allocated from the Service Improvement Reserve to be repaid from the first drawdown of GPF funding. This is to cover the fees associated with delivering works in advance of drawing down the loan.

(2) That officers be authorised to:

(i) Negotiate, agree and enter into contractual arrangements to renew land purchase protection for the Council and to replace the extant option agreements.

(ii) Negotiate, agree and enter into the necessary contractual arrangements relating to the procurement and implementation of the infrastructure works.

(3) That regular progress reports on the project be made to Cabinet.

(4) That it be recommended to Full Council that it approves the submission of a formal application to the Sheffield City Region LEP for a loan in the sum of £2.4m to enable the Council to enter into a loan agreement with Sheffield City Council as the accountable body for the funds.

REASON FOR DECISIONS

To bring about the successful delivery of the Chesterfield Waterside scheme, one of the Council's Corporate Plan objectives.

16 **PROPOSED BUDGET FOR THE LINACRE ROAD SITE, ASHGATE (J000R)**

Kier Asset Management and the Housing Service Manager – Business Planning and Strategy Manager submitted a report seeking approval of the proposed scheme budget for the Linacre Road site, Ashgate, and also of the appointment of master planning consultants.

The Linacre Road site was just under 37.5 acres gross area, with Housing Revenue Account land ownership accounting for 33.5% of the site and General Fund for 66.5%.

The site had been identified and consulted on as a possible housing allocation when the draft Local Plan Sites and Boundaries Document was published in November 2012. This was currently programmed for adoption in summer 2015.

In order to maximise the potential capital receipt from this site, it was proposed that the land be released in phases of up to 150 plots, which would be attractive to and developable by a single house builder at a time.

Master planning of the site would be essential to the process, defining the preferred layout of the proposed development, phasing, plot size and means of access. The Master Plan and Informal Planning Brief would form the bases for a developer making a bid on the site and submitting an outline planning application to the Council.

The Council and Kier had interviewed three planning and urban design consultancies with a proven track record of master planning residential development sites on this scale and commercial experience of working with national house builders. ID Planning and their architects, Sten, represented the best value for money for developing the Master Plan and Informal Planning Brief.

In order to develop the Master Plan, various specialist inputs would be required which were not available in-house, and it was proposed that consultants be appointed through competitive quotes to carry out this work.

Community engagement would be required once the Master Plan had been drafted.

The report outlined the potential financial implications from the sale and development of the site in respect of the capital receipt and the New Homes Bonus. It also identified the risk of the project not being progressed without the proposed budget for the master planning of the site.

*** RESOLVED –**

(1) That it be recommended to Full Council that a preliminary budget of up to a maximum of £100,000 be allocated to bring the Linacre Road, Ashgate site forward for sale/development on the terms set out in the report, and that any costs attributable to bringing forward the site are split on a pro-rata basis between the respective Housing Revenue Account and General Fund ownerships. As such, the provisional budget will be split £33,500 from the Housing Revenue Account and £66,500 from the General Fund.

(2) That ID Planning and Sten Architecture be appointed as consultants for master planning the site on the terms set out in the report.

REASONS FOR DECISION

1. The proposed budget is required to inform the Master Plan process for the site, which will enable a phased release for residential development.

2. This will bring the site forward for eventual sale to release capital receipts to the General Fund and Housing Revenue Account.

3. The specialist input and reports will cover overall strategies for both the Housing Revenue and General Fund land. Therefore, it is equitable that the cost for this work is apportioned pro-rata on a percentage basis between the respective land holdings.

**17 FORMER CHESTERFIELD CYLINDERS/WHITEBANK CLOSE
SPORTS GROUND (L000)**

The Head of Environment and the Head of Kier Contracts, Chesterfield submitted a report on the current situation and proposals to secure a

sustainable future for the former Chesterfield Cylinders / Whitebank Close Sports Ground.

The playing fields at Whitebank Close had been let by the Council in 1955 for a term of 99 years to Chesterfield Tube Company. Following the liquidation of the Tube Company and its successors UEF, the lease had been sold to Barratt Homes Limited, who had surrendered the lease in August 2013.

The site, comprising 4.5 hectares (11 acres), remained allocated in the Local Plan as playing fields.

There were currently three clubs in use and occupation on site, set up when Barratts held the lease, these being:

- i) Chesterfield Football Club (CFC)
- ii) Chesterfield Cylinders Bowling Club
- iii) The Bowmen of Chesterfield (an archery club).

On handover in 2013, the Council undertook works to address immediate health and safety concerns. Surveys also identified a number other repairs which would be required to facilitate re-letting the premises, substantially relating to the pavilions used by the archery and bowling clubs. A tree survey identified that many of the trees bordering the playing fields required pollarding and crown cleaning.

The football club had invested in new drainage and improving the playing surface of the playing fields. It was hoped that with FA funding, new changing and classroom facilities could be erected to enable the Club, through its Community Trust, to run its Football in the Community programmes.

The Council had been in discussion with each of the three clubs on individual leases for continued use of the site, with communal areas to be managed and maintained by the Council and costs recovered by way of a recharge provision within the leases.

The most recent negotiations with CFC had led to the agreement that in return for a significant rent-free period, CFC would finance the construction of a new facility, that would be suitable for their needs containing changing rooms, showers, WC's, a community/training room and an officials changing room.

It was proposed to grant each prospective sports club a 25-year lease, with the purpose being that the sports club could then use this as a foundation to go out and secure external funding for proposed capital projects within their respective demised areas.

Each lease would also be designed to transfer as many responsibilities away from the Council and onto the prospective tenants, in order to secure the continued and future use of the site whilst at the same time mitigating and reducing the financial liability the site would, otherwise, pose to the Council.

The Council would need to undertake certain remedial works to bring the site and its facilities up to an acceptable standard for lease, to enable repair and maintenance responsibilities to be reasonably passed onto the tenants. Such works included an upgrade and revision of the electrical supply to all areas to allow for sub-metering and independent electrical usage.

The proposed terms for each lease were set out in the report, and the areas for use of each of the sports clubs were identified in Appendices to the report.

The Council would remain responsible for the land fronting the site, which may be suitable for disposal for the purposes of residential development, although consideration would need to be given to improving other sporting facilities on site to satisfy Sport England on the loss of the two tennis courts, one of which was currently derelict and the other used for parking. It was proposed that a proportion of the capital receipt be used to improve access, parking and other ancillary facilities on site, with full details of this to be covered in a separate report.

*** RESOLVED –**

- (1) That the additional works to the former Chesterfield Cylinders / Whitebank Close Sports Ground site to facilitate its re-letting be approved at an estimated total cost of £43,660.
- (2) That the Head of Contracts, Kier Chesterfield, in conjunction with the Head of Governance be authorised to negotiate and settle the final terms of up to 25-year leases with the three sports clubs currently in occupation on site.

(3) That it be noted that future capital investment may be required on site and that this could be financed in part, by the capital sale of land fronting the sports ground. Specifically, this relates to replacement car parking and improvement of the access track. This matter will be subject to a further report to Cabinet.

REASONS FOR DECISION

1. To comply with the Council's policy of providing and improving parks and sports facilities for all of the community.
2. To protect and develop community sports facilities.
3. To mitigate and manage the potential financial burden the sports ground would have if fully retained.

CABINET**Tuesday, 10th June, 2014**

Present:-

Councillor Burrows (Chair)

Councillors	Blank	McManus
	Gilby	Russell
	King	Serjeant
	Ludlow	

Non Voting	Brown	Huckle
Members	Hill	Martin Stone
	Hollingworth	

*Matters dealt with under Executive Powers

18 DECLARATIONS OF MEMBERS' AND OFFICERS' INTERESTS RELATING TO ITEMS ON THE AGENDA

Councillors Gilby and Hill declared a conflict of interest in Minute No. 20 as Members of the Planning Committee and left the meeting during consideration of this item.

Councillor Huckle explained that he had declared a conflict of interest in respect of Minute No. 20 at the meeting of the Planning Committee on 19 May, 2014 and had withdrawn from that meeting during consideration of the planning application in respect of this item.

19 APOLOGIES FOR ABSENCE

An apology for absence was received from the Chief Executive.

20 REPLACEMENT OF QUEEN'S PARK SPORTS CENTRE APPROPRIATION OF LAND AT QUEEN'S PARK ANNEXE (R320)

The Head of Environment submitted a report seeking authority for the appropriation of land at Queen's Park Annexe for the building of the proposed new sports centre to relocate and replace the existing Queen's Park Sports Centre.

On 29 January 2013 Cabinet had considered the feasibility study for Queen's Park Sports Centre, including consideration of a number of sites for the construction of the new centre, and had resolved (Minute 0187 (2012/13)) that a new sports centre be constructed to replace the existing Queen's Park Sports Centre and that in principle, the Queen's Park Annexe be selected as the preferred site for the new sports centre.

Extensive consultation on the proposed new sports centre had been undertaken with the public, user groups, equalities group, National Governing Bodies (NGBs) and wider stakeholders on the design and facility mix of the new centre and the potential future development of the Annexe site.

Queen's Park Annexe had been conveyed to the predecessor Council in 1905 for the purpose of being used as a public pleasure ground within the meaning of the Public Health Act 1875, with a covenant providing that 'no building shall be erected on the land hereby except such as may be necessary or convenient for the enjoyment of such land as a pleasure ground'. Similar covenants had also applied to the adjacent Queen's Park and the implications of the covenants had been considered when the existing sports centre had been originally constructed in 1968 and when the dry side extension had been added in 1984.

The existing Annexe site contained tennis courts, a bowling green, a redgra athletics track, a football pitch and a changing pavilion.

Advice had been taken from Queen's Counsel regarding the Covenant that applied to Queen's Park Annexe.

Section 122 of the Local Government Act 1972 gave statutory powers to a local authority to appropriate land for any purpose for which the authority was authorised to acquire land by agreement. The appropriation of land referred to a process whereby a local authority altered its purpose for holding that land, provided the land was no longer required for its original purpose.

The effect of appropriation would be to free the land from any trust arising by virtue of it being held in trust for the enjoyment of the public for the purposes of Section 164 of the Public Health Act 1875.

Section 237 of the Town and Country Planning Act 1990 provided that where a local authority had appropriated land for planning purposes the development of the land may override any third party rights enjoyed over the land, provided the development was done in accordance with planning permission. However, statutory compensation may be payable if appropriate.

The relevant powers under which the Council could acquire land for planning purposes were now contained in sections 226(1) and 227 of the Town and Country Planning Act 1990 and could be applied when either:

- (a) the authority considered that the appropriation would facilitate the carrying out or development, re-development or improvement on or in relation to the land; or
- (b) the land was required for a purpose which it was necessary to achieve in the interests of the proper planning of the area.

The appropriation in this case was being considered under Section 226(1)(a) above. A local authority must not exercise the power under paragraph (1)(a) of s.226 unless it considered that the development, re-development or improvement was likely to contribute to the promotion or improvement of the economic, social or environmental well-being of the area.

As the land at Queen's Park Annexe was public open space, the Council would have to advertise its intention to appropriate the land over two consecutive weeks in a newspaper circulating in the local area (Section 122 of the Local Government Act 1972). Cabinet would then consider any representations received before reaching any final decision on appropriation.

The area of land to be appropriated, shown edged bold black on the plan attached as Appendix A to the report, was an area of 19,050m², including the former athletics track, football pitch and the associated terracing and changing rooms. The remainder of the site (including the tennis courts and bowling green), an area of 28,060m², would remain as a public pleasure ground and would be excluded from the area of land to be appropriated.

The area which was to be appropriated to planning uses was larger than the footprint of the proposed centre, in order to provide flexibility in terms

of working areas during construction and to accommodate the proposed expansion of the centre including car parking to fully meet future demand for swimming pools and sports halls in Chesterfield, should the Council's bid for additional funding from Sport England's Strategic Facilities Fund be successful.

In considering whether the land at Queen's Park Annexe was still required for its original purpose, as a public pleasure ground, the report referred to the Heritage Impact Assessment for the proposed new sports centre (attached as Appendix B to the report), the Assessment of Need undertaken as part of the planning application by Neil Allen Associates, independent sport strategic planning specialists (attached as Appendix C to the report) and the Council's draft Playing Pitch Strategy (PPS) (attached as Appendix D to the report).

Following consultation with Sport England regarding the planning application for the new sports centre at Queen's Park Annexe, a planning condition had been agreed to maintain current adult football pitch capacity in Chesterfield, pending formal adoption of the PPS, which had identified a surplus of adult pitches in the borough.

The Assessment of Need and the draft PPS had concluded that the current athletics and football facilities at Queen's Park Annexe were no longer required because they were no longer in regular use, were in poor condition and did not meet the current needs for multi pitch hubs. Furthermore the terraces and changing rooms had been subject to repeated vandalism.

In considering whether the appropriation of land at Queen's Park Annexe would facilitate the carrying out of development, redevelopment or improvement on or in relation to the land, the report referred to identified needs and evidence for the provision of good quality sport and leisure provision in the community, the lack of ability to meet customer expectations for modern sport and physical activity provision at the existing Queen's Park Sports Centre, and the identification of the Annexe site as a suitable site for a modern, more efficient replacement sports facility.

In considering whether the new sports centre on the Queen's Park Annexe site would contribute to the promotion of the economic, social and environmental wellbeing of the area, the report identified that the new sports centre would offer environmental benefits as it would use

significantly less energy than the current centre and would minimise water consumption.

The Heritage Impact Assessment of the proposed development had concluded that the impact of the existing Queen's Park Sports Centre had been to intrude into and degrade the quality of the western margin of the park and the views of the park from Boythorpe Road. The construction of a new sports centre on the Annexe and the demolition of the existing centre provided an opportunity for a comprehensive re-planning of the western margin of the park to achieve a major positive environmental impact in the appearance of the park.

From a social perspective the Annexe site was easily accessible by public transport due to its close proximity to the town centre, and the new centre would improve access to leisure facilities for disabled people and would also drive delivery of the Sport England Legacy Plan aimed at making a difference to participation and creating a sustainable sporting infrastructure for the future.

Overall the new sports centre would encourage more people to participate in sport and physical activity, also leading to economic benefits to the Council by increasing revenue, operating efficiency, and further reducing the subsidy that the Council incurred in operating the current Queen's Park Sports Centre facility.

In considering whether the proposed appropriation of the land at Queen's Park Annexe accorded with the provision of the development plan, the report referred to the report submitted to the Planning Committee meeting on 19 May, 2014 (attached as Appendix F to the report) in respect of the planning application for the proposed public sports facility on the Queen's Park Annexe (Planning Application Reference CHE/13/00635/FUL), confirming that the development was in accordance with local and national planning policy. The Planning Committee had resolved to approve planning permission, subject to planning conditions (Minute No. 3 (2014/15), and planning permission had been issued on 21 May 2014.

On 24 July, 2013 the full Council had considered a petition with over 1000 signatures against the building of a new sports centre on Queen's Park Annexe. Members had agreed to note the petition and that the petition and debate at full Council be taken into account by the Executive as part of its ongoing commitment to consult with the public, the sports national governing bodies and other stakeholders before coming to a final view on

the format of the Queen's Park Sports Centre replacement project (Minute No. 0011 (2013/14) attached as Appendix E to the report). The report included details of the consultation which had been undertaken on the proposal for development of the new sports centre and copies of the results of the consultation were attached as Appendices H, I and J to the report.

In response to questions, it was confirmed that the further consultation in respect of the appropriation of the land at Queen's Park Annexe would involve the Council advertising its intention to appropriate the land over two consecutive weeks in a local newspaper, allowing a two week period for responses, following which a further report would be submitted to Cabinet to consider any representations received before reaching any final decision on appropriation. It was also confirmed that the area which it was currently proposed to be built upon comprised approximately one third of the whole of the Queen's Park Annexe site.

Councillor Russell explained that he had not supported the approach which had been taken to improving the sports facilities at Queen's Park, and he therefore requested that his vote be recorded against the recommendations within the report.

RESOLVED -

- (1) That it be determined that the land shown at Appendix A to the report is no longer required for the purposes of a public pleasure ground under the Public Health Act 1875.
- (2) That the land shown at Appendix A to the report be appropriated for planning purposes.
- (3) That the intention to appropriate the land shown at Appendix A to the report be indicated pursuant to Section 122 of the Local Government Act 1972.
- (4) That consultation be authorised on the intention to appropriate the land in accordance with Section 122 of the Local Government Act 1972.
- (5) That a further report be prepared and that Cabinet considers any representations received and makes its final decision on whether or not to appropriate the land.

REASONS FOR DECISION

1. To confirm that the land is no longer required for the purposes for which it is currently held.
2. To establish an intention to appropriate the land under Section 122 of the Local Government Act 1972.
3. To enable preliminary consideration of whether or not the land should be appropriated for planning purposes under Section 237 of the Town and Country Planning Act 1990.
4. To enable public consultation to take place on any intention to appropriate.
5. To comply with the requirements of Section 122 of the Local Government Act 1972.
6. To enable the new sports centre to be constructed to improve the social, environmental and economic well being of the area.

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CHESTERFIELD BOROUGH COUNCIL FORWARD PLAN
FOR THE FOUR MONTH PERIOD 1 JULY 2014 TO 31 OCTOBER 2014

This is formal notice under The Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012 of key decisions to be made on behalf of the Council. As far as possible and in the interests of transparency, the Council will seek to provide at least 28 clear days notice of new key decisions (and many new non-key decisions) that are listed on this document. Where this is not practicable, such key decisions will be taken under urgency procedures. Decisions which are expected to be taken in private (at a meeting of the Cabinet or by an individual Cabinet Member) are marked "private".

This Forward Plan sets out the details of the 'key' and other major decisions which the Council expects to take during the next four month period. The Plan is rolled forward every month and is available to the public 28 days before the beginning of each month.

A 'Key' Decision is defined as:

Any executive decision which is likely to result in the Council incurring significant expenditure or the making of savings where there is:

- a decision to spend £50,000 or more from an approved budget, or
- a decision to vire more than £10,000 from one budget to another, or
- a decision which would result in a saving of £10,000 or more to any budget head, or
- a decision to dispose or acquire any interest in land or buildings with a value of £50,000 or more, or
- a decision to propose the closure of, or reduction by more than ten (10) percent in the level of service (for example in terms of funding, staffing or hours of operation) provided from any facility from which Council services are supplied.

Any executive decision which will have a significant impact in environmental, physical, social or economic terms on communities living or working in one or more electoral wards. This includes any plans or strategies which are not within the meaning of the Council's Policy Framework set out in Article 4 of the Council's Constitution.

The law and the Council's Constitution provide for urgent key decisions to be made, even though they have not been included in the Forward Plan in accordance with Rule 15 (General Exception) and Rule 16 (Special Urgency) of the Access to information Procedure Rules.

The Forward Plan has been extended to now include details of any significant issues to be considered by the Executive Cabinet, full Council and Overview and Scrutiny Committee. It is hoped that this will better meet the needs of elected Members, Officers and the public. They are called "non key decisions". In addition the plan contains details of any reports which are to be taken in the private section of an Executive meeting.

Anyone wishing to make representations about any of the matters in the schedule below may do so by contacting the officer listed. Copies of the Council's Constitution and agenda and minutes for all meeting of the Council may be accessed on the Council's website: www.chesterfield.gov.uk.

Notice of Intention to Conduct Business in Private

Whilst the majority of the business at Cabinet meetings will be open to the public and media 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 the Cabinet meetings shown on this Forward Plan will be held partly in private because some of the reports for the meeting will contain either confidential information or 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.

A list of the reports which are expected to be considered at this meeting in private are set out in a list on this Forward Plan. They are marked "private", including a number indicating the reason why the decision will be taken in private under the categories set out below:

- (1) information relating to any individual
- (2) information which is likely to reveal the identity of an individual
- (3) information relating the financial or business affairs of any particular person (including the authority holding that information)
- (4) information relating to any consultations or negotiations, or contemplated consultations or negotiations, in connection with any labour relations matter arising between the authority or a Minister of the Crown and employees of, or office holders under, the authority.
- (5) Information in respect of which a claim to legal professional privilege could be maintained in legal proceedings.
- (6) Information which reveals that the authority proposes (a) to give under any enactment a notice under or by virtue of which requirements are imposed on a person; or (b) to make an order or direction under any enactment.
- (7) Information relating to any action taken or to be taken in connection with the prevention, investigation or prosecution of crime.

If you would like to make representations about any particular decision to be conducted in private at this meeting then please email: democratic.services@chesterfield.gov.uk. Such representations must be received in advance of 5 clear working days before the date Cabinet meeting itself, normally by the preceding Monday. The Council is required to consider any representations received as to why an item should not be taken in private and to publish its decision.

It is possible that other private reports may be added at shorter notice to the agenda for the Cabinet meeting or for a Cabinet Member decision.

Cabinet meetings are held at the Town Hall, Chesterfield, S40 1LP, usually starting at 10.30 am on Tuesdays, but subject to change in accordance with legal notice periods.

Huw Bowen
Chief Executive



Decision No	Details of the Decision to be Taken	Decision to be taken by	Relevant Portfolio Holder	Earliest Date Decision can be Taken	Proposed Consultees	Method(s) of Consultation	Documents to be considered by Decision taker	Representations may be made to the following officer by the date stated	Private
Key Decisions									
Key Decision 296	Careline Consortium - Update on the current position regarding potential partnership arrangements with DCC.	Cabinet	Executive Member - Housing	29 Jul 2014	Assistant Executive Member	Meeting.	Service Manager - Housing Services	Julie McGrogan Tel: 01246 345135 julie.mcgrogan@chesterfield.gov.uk	Public
Key Decision 321	Review of Allocations Policy - Welfare Reform	Cabinet	Executive Member - Housing	7 Jul 2014	Assistant Executive Member	Meetings	Service Manager - Housing Services	Julie McGrogan Tel: 01246 345135 julie.mcgrogan@chesterfield.gov.uk	Public
Key Decision 329	Local Plan: Sites and Boundaries Development Plan document - to agree preferred options for public consultation.	Cabinet	Deputy Leader & Executive Member for Planning	29 Jul 2014		Meetings	Head of Regeneration	Alan Morey Tel: 01246 345371 alan.morey@chesterfield.gov.uk	Public

Key Decision No	Details of the Decision to be Taken	Decision to be taken by	Relevant Portfolio Holder	Earliest Date Decision can be Taken	Proposed Consultees	Method(s) of Consultation	Documents to be considered by Decision taker	Representations may be made to the following officer by the date stated	Private
Key Decision 337	THI Scheme Project Evaluation - to receive a final evaluation of the THI project for Chesterfield Town Centre.	Cabinet	Deputy Leader & Executive Member for Planning	29 Jul 2014		Meetings	Head of Regeneration	Paul Staniforth Tel: 01246 345781 paul.staniforth@chesterfield.gov.uk	Public
Key Decision 339	Proposals for future use of the former garage site of Hady Lane	Cabinet	Executive Member - Housing	7 Jul 2014	Assistant Executive Member	Meetings.	Business Planning and Strategy Manager	Alison Craig Housing Tel: 01246 345156 alison.craig@chesterfield.gov.uk	Public
Key Decision 340	Caravan and Mobile Home Park Licensing	Cabinet	Executive Member - Housing	29 Jul 2014	Assistant Executive Member	Meetings.	Business Planning and Strategy Manager - Housing Services	Laurie Thomas Tel: 01246 345256 laurie.thomas@chesterfield.gov.uk	Public
Key Decision 355	Proposed Sports Pavilion for Eastwood Park	Cabinet	Executive Member - Environment	7 Jul 2014	Assistant Executive Member	Meeting	Head of Environment	John Ramsey Tel: 01246 345097 john.ramsey@chesterfield.gov.uk	Public
Key Decision 369	Costings Associated with Construction of the New Sports Centre (L000)	Cabinet	Executive Member - Leisure, Culture and Tourism	7 Jul 2014	Assistant Executive Member	Meeting	Head of Environment	Darran West Tel: 01246 345751 darran.west@chesterfield.gov.uk	Exempt 3 Contains financial information

Key Decision No	Details of the Decision to be Taken	Decision to be taken by	Relevant Portfolio Holder	Earliest Date Decision can be Taken	Proposed Consultees	Method(s) of Consultation	Documents to be considered by Decision taker	Representations may be made to the following officer by the date stated	Private
Key Decision 370	Appropriation of Land at Queen's Park Annexe for the Construction of the New Sports Centre (R320)	Cabinet	Executive Member - Leisure, Culture and Tourism	7 Jul 2014	Assistant Executive Member	Meeting	Head of Environment	Darran West Tel: 01246 345751 darran.west@chesterfield.gov.uk	Public
Key Decision 389	Staveley Area Action Plan	Cabinet	Deputy Leader & Executive Member for Planning	9 Sep 2014		Meetings	Head of Regeneration	Neil Johnson Tel: 01246 345241 neil.johnson@chesterfield.gov.uk	Public
Key Decision 390	Chesterfield Waterside GPF Loan	Council	Leader & Executive Member for Regeneration	18 Jun 2014		Meetings	Head of Regeneration	Neil Johnson Tel: 01246 345241 neil.johnson@chesterfield.gov.uk	Exempt 3 Financial information
Key Decision 395	Review of Arts and Venues Policies and Strategies - a review 12 months after their adoption and their impact. Will also include 2015 fees and charges proposals for the Venues.	Cabinet	Executive Member - Leisure, Culture and Tourism	29 Jul 2014	Assistant Executive Member	Meetings	Head of Regeneration	Anthony Radford Tel: 01246 345339 anthony.radford@chesterfield.gov.uk	Public

Key Decision No	Details of the Decision to be Taken	Decision to be taken by	Relevant Portfolio Holder	Earliest Date Decision can be Taken	Proposed Consultees	Method(s) of Consultation	Documents to be considered by Decision taker	Representations may be made to the following officer by the date stated	Private
Key Decision 397	Review of the Museum's Acquisitions, Rationalisation and Disposal Policies	Cabinet	Executive Member - Leisure, Culture and Tourism	17 Jun 2014	Assistant Executive Member	Meeting	Head of Regeneration	Alyson Barnes alyson.barnes@chesterfield.gov.uk	Public
Key Decision 398	Sale of CBC Land/Property	Deputy Leader & Executive Member for Planning	Deputy Leader & Executive Member for Planning	17 Jun 2014		Meeting.	Head of Kier	Matthew Sorby Tel: 01246 345800 matthew.sorby@chesterfield.gov.uk	Exempt 3 Contains financial information
Key Decision 399	Housing Revenue Final Accounts 2013/14	Cabinet	Executive Member - Housing	17 Jun 2014	Assistant Executive Member	Meeting	Head of Housing	Steve Spencer Tel: 01246 345454 steve.spencer@chesterfield.gov.uk	Public
Key Decision 400(1)	Portfolio Accounts 2013/14 - Leader and Executive Member for Regeneration	Cabinet	Leader & Executive Member for Regeneration	17 Jun 2014		Meeting	Head of Finance	Helen Fox Tel: 01246 345452 helen.fox@chesterfield.gov.uk	Public
Key Decision 400(2)	Portfolio Accounts 2013/14 - Deputy Leader and Executive Member for Planning	Cabinet	Deputy Leader & Executive Member for Planning	17 Jun 2014		Meeting	Head of Finance	Helen Fox Tel: 01246 345452 helen.fox@chesterfield.gov.uk	Public

Key Decision No	Details of the Decision to be Taken	Decision to be taken by	Relevant Portfolio Holder	Earliest Date Decision can be Taken	Proposed Consultees	Method(s) of Consultation	Documents to be considered by Decision taker	Representations may be made to the following officer by the date stated	Private
Key Decision 400(3)	Portfolio Accounts 2013/14 - Executive Member for Governance and Organisational Development	Cabinet	Executive Member - Governance and Organisational Development	17 Jun 2014	Assistant Executive Member	Meeting	Head of Finance	Helen Fox Tel: 01246 345452 helen.fox@chesterfield.gov.uk	Public
Key Decision 400(4)	Portfolio Accounts 2013/14 - Executive Member Leisure, Culture and Tourism	Cabinet	Executive Member - Leisure, Culture and Tourism	17 Jun 2014	Assistant Executive Member	Meeting	Head of Finance	Helen Fox Tel: 01246 345452 helen.fox@chesterfield.gov.uk	Public
Key Decision 400(5)	Portfolio Accounts 2013/14 - Executive Member for Environment	Cabinet	Executive Member - Environment	17 Jun 2014	Assistant Executive Member	Meeting	Head of Finance	Helen Fox Tel: 01246 345452 helen.fox@chesterfield.gov.uk	Public
Key Decision 400(6)	Portfolio Accounts 2013/14 - Customers and Communities	Cabinet	Executive Member - Customers and Communities	17 Jun 2014	Assistant Executive Member	Meeting	Head of Finance	Helen Fox Tel: 01246 345452 helen.fox@chesterfield.gov.uk	Public
Key Decision 400(7)	Portfolio Accounts 2013/14 - Housing General Fund	Cabinet	Executive Member - Housing	17 Jun 2014	Assistant Executive Member	Meeting	Head of Finance	Helen Fox Tel: 01246 345452 helen.fox@chesterfield.gov.uk	Public

Key Decision No	Details of the Decision to be Taken	Decision to be taken by	Relevant Portfolio Holder	Earliest Date Decision can be Taken	Proposed Consultees	Method(s) of Consultation	Documents to be considered by Decision taker	Representations may be made to the following officer by the date stated	Private
Key Decision 401	General Fund Revenue and Capital Final Accounts 2013/14	Cabinet	Deputy Leader & Executive Member for Planning	17 Jun 2014		Meeting	Head of Finance	Barry Dawson Tel: 01246 345451 barry.dawson@chesterfield.gov.uk	Public
Key Decision 402	Treasury Management Report for 2013/14	Cabinet	Deputy Leader & Executive Member for Planning	7 Jul 2014	Standards Committee	Meeting	Head of Finance	Helen Fox Tel: 01246 345452 helen.fox@chesterfield.gov.uk	Public
Key Decision 403	Security DSO Final Accounts 2013/14 & Business Plan 2014/15	Cabinet	Deputy Leader & Executive Member for Planning	17 Jun 2014		Meeting	Head of Finance	Steve Spencer Tel: 01246 345454 steve.spencer@chesterfield.gov.uk	Exempt 3 Contains Financial Information
Key Decision 404	Building Cleaning Final Accounts 2013 and Business Plan 2014/15	Cabinet	Executive Member - Environment	17 Jun 2014	Assistant Executive Member	Meeting	Head of Finance	Steve Spencer Tel: 01246 345454 steve.spencer@chesterfield.gov.uk	Exempt 3 Contains Financial Information
Key Decision 405	Spirepride Final Accounts 2013/14 and Business Plan 2014/15	Cabinet	Executive Member - Environment	17 Jun 2014	Assistant Executive Member	Meeting	Head of Finance	John Hassall john.hassall@chesterfield.gov.uk	Exempt 3 Contains Financial Information

Key Decision No	Details of the Decision to be Taken	Decision to be taken by	Relevant Portfolio Holder	Earliest Date Decision can be Taken	Proposed Consultees	Method(s) of Consultation	Documents to be considered by Decision taker	Representations may be made to the following officer by the date stated	Private
Key Decision 406	Operational Services I.S.P. Final Accounts 2013/14 and Business Plan 2014/15	Cabinet	Executive Member - Housing	17 Jun 2014	Assistant Executive Member	Meeting	Head of Finance	Steve Spencer Tel: 01246 345454 steve.spencer@chesterfield.gov.uk	Exempt 3 Contains Financial Information
Key Decision 407	PCVU Window and Door Assembly Factory Final Accounts 2013/14 and Business Plan 2014/15	Cabinet	Executive Member - Housing	17 Jun 2014	Assistant Executive Member	Meeting	Head of Finance	Steve Spencer Tel: 01246 345454 steve.spencer@chesterfield.gov.uk	Exempt 3 Contains Financial Information
Key Decision 410	Stock Condition Survey	Cabinet	Executive Member - Housing	7 Jul 2014	Assistant Executive Member	Meetings	Business Planning and Strategy Manager - Housing Services	Alison Craig Housing Tel: 01246 345156 alison.craig@chesterfield.gov.uk	Public
Key Decision 411	Parkside Update and Appointment of Developer	Cabinet	Executive Member - Housing	29 Jul 2014	Assistant Executive Member	Meetings	Business Planning and Strategy Manager - Housing Services	Alison Craig Housing Tel: 01246 345156 alison.craig@chesterfield.gov.uk	Public

Key Decision No	Details of the Decision to be Taken	Decision to be taken by	Relevant Portfolio Holder	Earliest Date Decision can be Taken	Proposed Consultees	Method(s) of Consultation	Documents to be considered by Decision taker	Representations may be made to the following officer by the date stated	Private
Key Decision 412	Proposed Budget for the Linacre Road Site, Ashgate	Council	Deputy Leader & Executive Member for Planning	18 Jun 2014	Executive Member for Housing Assistant Executive Member Housing	Meeting	Head of Kier Asset Management	Linda Martin Tel: 01246 345445 linda.martin@chesterfield.gov.uk	Exempt 3 Contains financial information
Key Decision 415	Performance Outturn for 2013/14 - To consider performance management information for 2013/14 and plans for 2014/15.	Cabinet	Deputy Leader & Executive Member for Planning	7 Jul 2014		Meetings	Report of Head of Business Transformation	Donna Reddish Tel: 01246 345307 donna.reddish@chesterfield.gov.uk	Public
Key Decision 416	Fire Risk Assessments	Cabinet	Executive Member - Housing	7 Jul 2014	Assistant Executive Member for Housing	Meeting	Service Manager - Housing Services	Alison Craig Housing Tel: 01246 345156 alison.craig@chesterfield.gov.uk	Public

Key Decision No	Details of the Decision to be Taken	Decision to be taken by	Relevant Portfolio Holder	Earliest Date Decision can be Taken	Proposed Consultees	Method(s) of Consultation	Documents to be considered by Decision taker	Representations may be made to the following officer by the date stated	Private
Key Decision 417	Economic Development Unit Staffing	Joint Cabinet and Employment & General Committee	Leader & Executive Member for Regeneration	17 Jun 2014	Executive Member for Governance & Organisational Development Assistant Executive Member for Governance & Organisational Development	Meeting.	Report of Head of Regeneration	Lynda Sharp, Laurie Thomas Tel: 01246 345256 lynda.sharp@chesterfield.gov.uk, Tel: 01246 345256 laurie.thomas@chesterfield.gov.uk	Public
Key Decision 418	Annual Report to Tenants	Cabinet	Executive Member - Housing	7 Jul 2014	Assistant Executive Member for Housing	Meeting	Service Manager - Housing Services	Julie McGrogan Tel: 01246 345135 julie.mcgrogan@chesterfield.gov.uk	Public
Key Decision 419	Review of Tenant Involvement	Cabinet	Executive Member - Housing	29 Jul 2014	Assistant Executive Member for Housing	Meeting	Service Manager - Housing Services	Julie McGrogan Tel: 01246 345135 julie.mcgrogan@chesterfield.gov.uk	Public
Key Decision 420	Adoption of Revised Statement of Community Involvement	Cabinet	Deputy Leader & Executive Member for Planning	29 Jul 2014		Meeting	Report of Head of Regeneration	Louise Briggs Tel: 01246 345794 louise.briggs@chesterfield.gov.uk	Public

Key Decision No	Details of the Decision to be Taken	Decision to be taken by	Relevant Portfolio Holder	Earliest Date Decision can be Taken	Proposed Consultees	Method(s) of Consultation	Documents to be considered by Decision taker	Representations may be made to the following officer by the date stated	Private
Key Decision 421	Cultural and Visitor Services Restructure	Joint Cabinet and Employment & General Committee	Executive Member - Leisure, Culture and Tourism	29 Jul 2014	All Portfolio Holders, Assistant Executive Member – Leisure, Culture & Tourism	Meetings	Report of Head of Regeneration	Bernadette Wainwright Tel: 01246 345779 bernadette.wainwright@chesterfield.gov.uk	Exempt 1, 3, 5 relates to individuals and financial information
Key Decision 223	Non Traditional Stock Condition Survey	Cabinet	Executive Member - Housing	29 Jul 2014	Assistant Executive Member	Meetings	Business Planning and Strategy Manager	Alison Craig Housing Tel: 01246 345156 alison.craig@chesterfield.gov.uk	Public
Key Decision 424	Contract for the future provision of Security Services to the Pavements Centre, Yards and Market, Chesterfield	Cabinet	Deputy Leader & Executive Member for Planning	17 Jun 2014		Meeting.	Report of Kier Asset Management and Head of Finance	Matthew Sorby Tel: 01246 345800 matthew.sorby@chesterfield.gov.uk	Exempt 2, 3 Contains information which is likely to reveal the identity of an individual and information relating to financial affairs.
Private Items -Non Key/ Significant but non-Key									

Key Decision No	Details of the Decision to be Taken	Decision to be taken by	Relevant Portfolio Holder	Earliest Date Decision can be Taken	Proposed Consultees	Method(s) of Consultation	Documents to be considered by Decision taker	Representations may be made to the following officer by the date stated	Private
Key Decision 363	Application for Home Repairs Assistance	Executive Member - Housing	Executive Member Housing - Executive Member decisions	20 Jun 2014	Assistant Executive Member	Meeting	Head of Housing	Jane Thomas jane.thomas@chesterfield.gov.uk	Exempt 1, 3 Info. relating to an individual Info. relating to financial affairs
Key Decision 364	Application for Waiver of Private Sector Housing Discretionary Decisions (including Home Repair Assistance and Disabled Facilities Grants)	Executive Member - Housing	Executive Member - Housing	13 Jun 2014	Assistant Executive Member - Housing	Meeting	Head of Governance	Stephen Oliver Tel: 01246 345313 stephen.oliver@chesterfield.gov.uk	Exempt 1 Contains information relating to an individual.
Non Key Decision									
Non-Key Non Key 24	List of Buildings of Local Interest - to consider the list of nominated buildings and agree an assessment panel and process	Deputy Leader & Executive Member for Planning	Deputy Leader & Executive Member for Planning	29 Jul 2014	Consultation with property owners	Meeting	Head of Regeneration	Paul Staniforth Tel: 01246 345781 paul.staniforth@chesterfield.gov.uk	Public

Key Decision No	Details of the Decision to be Taken	Decision to be taken by	Relevant Portfolio Holder	Earliest Date Decision can be Taken	Proposed Consultees	Method(s) of Consultation	Documents to be considered by Decision taker	Representations may be made to the following officer by the date stated	Private
Key Decision Non-key 28	Consideration of the report on the Annual Review of Overview and Scrutiny Arrangements 2013/14	Council	Executive Member - Governance and Organisational Development	30 Jul 2014	Assistant Executive Member Overview and Performance Scrutiny Forum	Meetings Email	Report of Head of Business Transportation	Anita Cunningham Tel: 01246 345273 anita.cunningham@c hesterfield.gov.uk	Public
Key Decision Non-Key Page 32	Scrutiny Annual Report 2013/14	Council	Executive Member - Governance and Organisational Development	30 Jul 2014	Assistant Executive Member Overview and Performance Scrutiny Forum	Meetings Email	Report of Head of Business Transformation	Anita Cunningham Tel: 01246 345273 anita.cunningham@c hesterfield.gov.uk	Public
Key Decision Non-key 30	Consideration of the report and recommendations of the Enterprise and Wellbeing Scrutiny Committee on matters regarding the water rates collection process and related evictions policy.	Cabinet	Executive Member - Customers and Communities	7 Jul 2014	Executive Member for Customers and Communities Assistant Executive Member for Housing Assistant Executive Member for Customers and Communities	Meeting	Report of Head of Business Transformation	Anita Cunningham Tel: 01246 345273 anita.cunningham@c hesterfield.gov.uk	Public

Key Decision No	Details of the Decision to be Taken	Decision to be taken by	Relevant Portfolio Holder	Earliest Date Decision can be Taken	Proposed Consultees	Method(s) of Consultation	Documents to be considered by Decision taker	Representations may be made to the following officer by the date stated	Private
Non-Key 31	Community Assemblies Annual Report 2013/14	Cabinet	Executive Member - Customers and Communities	7 Jul 2014	Assistant Executive Member for Customers and Communities , Scrutiny	Meeting	Head of Business Transformation	Wendy Blunt Community Development Officer wendy.blunt@chesterfield.gov.uk	Public

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LEADER & EXECUTIVE MEMBER FOR REGENERATION PORTFOLIO ACCOUNTS 2013/14 – R000

MEETING: (1) CABINET
(2) LEADER & EXECUTIVE MEMBER
FOR REGENERATION

DATE: (1) 17th June 2014
(2) 10th June 2014

REPORT BY: HEAD OF FINANCE
HEAD OF REGENERATION

WARD: ALL

COMMUNITY FORUM: ALL

KEY DECISION
REFERENCE: 288

FOR PUBLICATION

BACKGROUND PAPERS: NONE

1.0 PURPOSE OF REPORT

1.1 To report on the Revenue Outturn for 2013/14 and to provide explanations for significant variations from the Revised Estimates approved at Cabinet on 18th February 2014.

1.2 To report on the Capital Outturn for 2013/14.

2.0 RECOMMENDATION

2.1 That the report be noted

3.0 REVENUE OUTTURN

3.1 The revenue outturn for 2013/14 is as follows:

	<u>£'000</u>
Original Budget	465
Revised Budget	389
Outturn	427

3.2 The main variations from the Original to the Revised budget (a decrease of £76k) are summarised in the table below:

Description	Increase / (Decrease) £'000
Changes to controllable budgets:	
Tapton Innovation Centre – increased income	(16)
Economic Development – delay in appointing staff	(40)
Economic Development – increased contribution re	
Destination Chesterfield manager	6
Dunston Innovation Centre – agency/apprentice costs	(11)
Dunston Innovation Centre – rents	(24)
Other variations	(3)
Changes to controllable budgets	(88)
Change in Central Support Recharges	12
Change in capital charges	-
Overall Decrease	(76)

3.3 The Revenue Outturn of £427k represents:

- A decrease of £37,908 or 8.2% against the Original Budget; and
- An increase of £38,022 or 9.8% against the Revised Budget.

3.4 The table below sets out the variations between the revised budget and the actual out-turn separating items that are not controllable (Capital Charges and Support Service Recharges). The table highlights an overspend of £45k or 31.5% on controllable expenditure.

Controllable and Non-Controllable Expenditure

	Original Estimate £'000	Revised Estimate £ '000	Actual Outturn £'000	Variance over / (under) £ '000	%
Capital Charges	46	46	45	(1)	(1.4)%
Support Services	189	201	195	(6)	(3.0)%
Non Controllable Expenditure	235	247	240	(7)	(2.7)%
Controllable Expenditure	230	142	187	45	31.5%
Portfolio Total	465	389	427	38	9.8%

A more detailed analysis of controllable and non-controllable expenditure by Programme Area is shown at **Annexe 1B**.

- 3.5 A detailed analysis of the variances from the revised budget to the outturn is shown in **Annexe 4** but the most significant variances are summarised below:-

Variances Revised to Outturn 2013/14	
<u>Description</u>	Overspend / (Underspend) £'000
Tapton Park Innovation Centre Income	5
Dunston Innovation Centre – rent income/write offs/postages	14
Pensions adjustment offset in Governance portfolio	27
Net of all controllable variances	(1)
Changes to controllable & external budgets*	45
Change in support service recharges	(6)
Changes in asset charges	(1)
Overall Increase	38

*Changes to controllable excluding Pension adjustment 18k

- 3.6 Recurring Variances - Budget Officers have identified no recurring variances.

- 3.7 The following information is attached:

Annexe 1 Summary by Programme Area

Annexe 2 Detailed by Programme Area and Cost Centre

Annexe 3 Subjective Analysis

Annexe 4 Variations – Revised Budget to Actual 2013/14
Annexe 5 Capital Outturn

4.0 CARRY FORWARDS

4.1 There are no carry forward requests to consider.

5.0 CAPITAL OUTTURN

5.1 **Annexe 5** provides a summary of expenditure on the capital schemes within this portfolio.

6.0 RECOMMENDATION

6.1 That the report be noted.

7.0 REASONS FOR RECOMMENDATION

7.1 To enable the portfolios Revenue Out-turn to be included in the Council's overall Statement of Accounts.

B DAWSON
HEAD OF FINANCE

M HAYDEN
HEAD OF REGENERATION

Officer recommendation supported/not supported/modified as below or Executive Members recommendation/comments if no officer recommendation.

Signed 

Executive Member

Date: 10.6.14

Consultee Executive Member/Support Member comments (if applicable) /declaration of interests:

Further information on this report can be obtained from
Helen Fox, Accountancy Services (ext. 5452)

LEADER & REGENERATION**REVENUE ACCOUNTS FOR YEAR ENDED 31ST MARCH 2014****SUMMARY OF NET EXPENDITURE BY PROGRAMME AREA**

Programme Area	Original Budget £	Revised Budget £	Actual £	Variance Over/(Under)	
				£	%
Economic Promotion & Development	465,410	389,480	419,855	30,375	7.8%
Regeneration Management	0	0	7,647	7,647	0.0%
TOTAL NET EXPENDITURE	465,410	389,480	427,502	38,022	9.8%

LEADER & REGENERATION**REVENUE ACCOUNTS FOR YEAR ENDED 31ST MARCH 2014****CONTROLLABLE & NON CONTROLLABLE BUDGETS BY PROGRAMME AREA**

Programme Area	Original Budget £	Revised Budget £	Actual £	Variance Over/(Under)	
				£	%
Economic Promotion & Development	145,990	57,840	94,489	36,649	63%
Regeneration Management	84,030	84,230	92,286	8,056	10%
TOTAL CONTROLLABLE	230,020	142,070	186,775	44,705	31%
Economic Promotion & Development	273,470	285,690	280,053	(5,637)	(2%)
Regeneration Management	(84,030)	(84,230)	(84,639)	(409)	0%
TOTAL INTERNAL RECHARGES	189,440	201,460	195,414	(6,046)	(3%)
Economic Promotion & Development	45,950	45,950	45,313	(637)	(1%)
TOTAL ASSET CHARGES	45,950	45,950	45,313	(637)	(1%)
Economic Promotion & Development	465,410	389,480	419,855	30,375	60%
Regeneration Management	0	0	7,647	7,647	10%
TOTAL BUDGETS	465,410	389,480	427,502	38,022	10%

LEADER & REGENERATION
REVENUE ACCOUNTS FOR YEAR ENDED 31ST MARCH 2014

Programme Area Economic Promotion & Development	2013/14 Original £	2013/14 Revised £	2013/14 Actual £
Industrial and Commercial Promotion - Cost Centres 0049/50			
Employee Expenses	0	0	2,743
Transport Related Expenses	0	0	0
Supplies and Services	29,000	29,000	28,686
Controllable Income	0	0	0
Net Controllable	29,000	29,000	31,429
Tapton Park Innovation Centre - Cost Centre 0493			
Controllable Income	(4,140)	(20,520)	(15,663)
Net Controllable	(4,140)	(20,520)	(15,663)
Asset Charges	21,030	21,030	21,025
Net	16,890	510	5,362
Dunston Innovation Centre - Cost Centres 0078, 0079			
Employee Expenses	66,730	60,640	64,123
Premises Related Expenses	131,620	127,240	127,882
Transport Related Expenses	230	230	129
Supplies and Services	83,350	67,350	60,655
Agency & Contracted Services	48,090	62,840	56,050
Controllable Income	(375,000)	(399,000)	(370,737)
Net Controllable	(44,980)	(80,700)	(61,898)
Central & Departmental Support	17,690	18,530	18,896
Asset Charges	24,920	24,920	24,288
Net	(2,370)	(37,250)	(18,714)
Administration - Cost Centre 0056			
Employee Expenses	178,890	139,130	151,940
Transport Related Expenses	800	800	936
Supplies and Services	28,720	26,430	24,045
Agency & Contracted Services	32,700	38,700	38,700
Controllable Income	(75,000)	(75,000)	(75,000)
Net Controllable	166,110	130,060	140,621
Central and Departmental Support	255,780	267,160	261,157
Net	421,890	397,220	401,778
TOTAL ECONOMIC PROMO & DEV			
	465,410	389,480	419,855
Regeneration Management & Admin			
Regeneration Management - Cost Centres 0059			
Employee Expenses	82,270	82,380	88,640
Transport Related Expenses	720	720	1,321
Supplies and Services	1,040	1,130	2,325
Net Controllable	84,030	84,230	92,286
Central and Departmental Support	19,090	19,510	19,380
Recharge Income	(103,120)	(103,740)	(104,019)
NET	0	0	7,647
TOTAL REGENERATION MANAGEMENT			
	0	0	7,647

LEADER & REGENERATION
REVENUE ACCOUNTS FOR YEAR ENDED 31ST MARCH 2014

SUMMARY SUBJECTIVE ANALYSIS

	Original Budget £	Revised budget £	Actual £	Variance Over/(Under)	
				£	%
<u>Expenditure:</u>					
Employee Expenses	327,890	282,150	307,447	25,297	9%
Premises:	131,620	127,240	127,882	642	1%
Transport Expenses	1,750	1,750	2,386	636	36%
Supplies & Services	142,110	123,910	115,709	(8,201)	(7%)
Agency and Contracted Services	80,790	101,540	94,750	(6,790)	(7%)
Bad Debt Provision	0	0	0	0	0%
Central and Dept. Support	292,560	305,200	299,433	(5,767)	(2%)
Asset Charges	45,950	45,950	45,314	(636)	(1%)
Total Expenditure	1,022,670	987,740	992,921	5,181	1%
<u>Income:</u>					
Government Grants	0	0	0	0	0%
Other Income	(281,810)	(297,810)	(284,527)	13,283	(4%)
Sales	0	0	0	0	0%
Fees & Charges	0	0	0	0	0%
Rents	(275,450)	(300,450)	(280,892)	19,558	(7%)
Total Income	(557,260)	(598,260)	(565,419)	32,841	(5%)
NET EXPENDITURE	465,410	389,480	427,502	38,022	10%

**LEADER & LEAD MEMBER REGENERATION
REVENUE ACCOUNTS FOR YEAR ENDED 31ST MARCH 2014
VARIANCE ANALYSIS**

Programme Area / Service	Budget Head	Over / (Under) Budget £'000	Carry Fwd Requests £'000	Recurring Variance ✓
Economic Promotion & Development	Employees - Pension costs adj, offset in Governance portfolio	20		
	Dunston Innovation Centre - reduced postages	(6)		
	Dunston Innovation Centre - reduced share of income to partners	(8)		
	Tapton Park Innovation Centre - reduced rental income	5		
	Dunston Innovation Centre - reduced income	8		
	Dunston Innovation Centre - write off of bad debts	20		
	Other variances (net)	(2)		
Subtotal Controllable		37		
Non-Controllable	Support Services	(6)		
	Asset Charges	(1)		
Economic Promotion & Development Total		30	0	
Regeneration Management	Employees - Pension costs adj, offset in Governance portfolio	7		
	Other variances (net)	1		
Subtotal Controllable		8		
Regeneration Management & Admin Total		8	0	
Portfolio Total		38	0	

LEADER AND REGENERATION - CAPITAL EXPENDITURE

ANNEXE 5

Code	SCHEME	Revised Scheme Totals			Phasing of Gross Costs						
		Gross Cost £'000	Grants & contrib's £'000	Net Cost £'000	pre Apr 13 Actual £'000	2013/14		14/15	15/16	16/17	
						Budget £'000	Outturn £'000	Budget £'000	Budget £'000	Budget £'000	
8707	Chesterfield Gateway Enhancement Project	486	486	0	0	97	16	470			0
8917	Sheffield Rd Fire Station	550		550	0	550	571	(21)			
8855	Destination C'fld - public realm	37		37	0	37	17	20			0
	Portfolio Totals	1,073	486	587	0	684	604	469	0	0	0

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FOR PUBLICATION

DEPUTY LEADER & EXECUTIVE MEMBER FOR PLANNING ACCOUNTS 2013/14 (J000)

MEETING:	(1) CABINET (2) DEPUTY LEADER & EXECUTIVE MEMBER FOR PLANNING
DATE:	(1) 17 th JUN 2014 (2) 10 th JUN 2014
REPORT BY:	HEAD OF REGENERATION HEAD OF BUSINESS TRANSFORMATION HEAD OF FINANCE
WARD:	ALL
COMMUNITY FORUM:	ALL
KEY DECISION REFERENCE	400(2)

FOR PUBLICATION

BACKGROUND PAPERS: NONE

1.0 PURPOSE OF REPORT

- 1.1 To report on the Revenue Outturn for 2013/14 and to provide explanations for significant variations from the Revised Estimates approved by Cabinet on 18th February 2014.

2.0 RECOMMENDATION

- 2.1 That the report be noted.
- 2.2 That the funding for the Community Infrastructure Levy be carried forward (para 4.1).

3.0 REVENUE OUTTURN

3.1 The revenue outturn for 2013/14 is as follows:

	<u>£ 000</u>	
Original Budget	(1,199)	
Revised Budget	(1,264)	
Outturn	(13,401)	See 3.4 below

3.2 The main variations from the Original to the Revised budget of £65k included:

Table 1 - Significant Variances Original to Revised 2013/14

Description	Increase / (Decrease) £'000
<u>Changes to controllable budgets:</u>	
General Employee Savings	(96)
Salaries vired to other portfolio	(21)
Redundancy Payments	51
Energy, Water & NNDR	(16)
Street Scene amalgamation	(21)
Arvato/Kier payments – incl GIS support	63
Kier Controllable Non Core Services	45
Professional Services for C.A.M.P.	25
Reduced Estates Rental Income	17
Increased Vicar Lane Rents & Serv Chrges	(83)
Increased Town Centre Rents & Serv Chrg	(11)
VFM – fee from Arvato	(18)
Increased Ind Units & Wkshops Rents & SC	(39)
Grant towards capital charges	(53)
Controllable Income for Kier non core serv	(129)
Funding from Risk Reserve	25
Net of minor variations	18
Changes to controllable budgets	(243)
Pavements Centre	(18)
Changes to Asset Charges	16
Change in support service recharges	180
Overall decrease	(65)

3.3 The Revenue Outturn of (£13,400,703) represents:

- An increase surplus of £12,202k or 1012.3% against the Original Budget; and
- An increase surplus of £12,137k or 960.1% against the Revised Budget.

3.4 The table below sets out the main variations between revised budget and actual outturn separating capital charges and support service recharges, items which are not controllable. It also separates out the Pavements Centre, which has been classed as external. This highlights an over spend of £268k on internal controllable expenditure.

	Original Estimate £'000	Revised Estimate £'000	Actual Outturn £'000	Variance £'000
Capital Charges:				
- Internal	275	291	(12,088)	(12,379)
- External	1,513	1,493	1,508	15
Support Services:				
- Internal	(1,014)	(834)	(852)	(18)
- External	3	1	2	1
Non Controllable Expd	777	951	(11,430)	(12,381)
Controllable Expd:				
- Internal	(108)	(351)	(83)	268
- External	(1,868)	(1,864)	(1,888)	(24)
Portfolio Total	(1,199)	(1,264)	(13,401)	(12,137)

A more detailed analysis of controllable and non-controllable expenditure by Programme Area is shown at **Annexe 1B**.

3.5 A detailed analysis of the variances from the revised budget to the outturn is shown in **Annexe 4** but the most significant variances are summarised below:-

Significant Variances Revised to Outturn 2013/14	
<u>Description</u>	Overspend / (Underspend) £'000
Employee Accumulated Absences (see para 3.6 below)	3
Current Service Pension Costs Adjustment (see para 3.6)	91
Employee Expenses	(9)
Project Academy costs	21
GPGS costs	41
Energy Costs	(8)
General Repairs & Maintenance	25
Bad Debt Provision	27
Professional & Contracted Services	6
Engineering – Managed Budgets (£10k to off-set expenditure in different portfolio)	(22)
BCN – share of surplus	(28)
Property Management – Rental Income & charges	(6)
Best Value – fees & charges	(5)
Town Centre – Income	14
Planning Fees & Charges	(4)
Rent Equalisation – Operating Leases	25
Drainage Scheme grant (offset by Capital Charges saving)	107
Net of all other variances	(10)
* Changes to controllable budgets	268
Pavements Centre	(8)
Change in support service recharges	(18)
Change in capital charges (see para 3.8 below)	(12,379)
Overall Increase	(12,137)

***Controllable budget variances excluding the Pension & Accumulated Absences, Current Service Pension Costs & Drainage Scheme Grant adjustments** **£67k**

- 3.6 In order to comply with accounting standards, the employee accumulated absences listed in the variances at **Annexe 4** must be shown in the revenue accounts. This is only an internal adjustment which is reversed elsewhere in the accounts and so will have no impact on the level of surplus or reserves available to the Council. Similarly, the over spend described as 'Current Service Pension Costs Adjustment' is an internal accounting adjustment which is matched by an under-spend in the Governance Portfolio.

- 3.7 The Engineering Services managed budget under-spend relates to Street Naming, Street Lighting, Bus Shelters and Street Scene. Part of this under spend was used to off-set expenditure (£10k) in another portfolio for essential electrical works to the Open Markets and identified during the Market Hall refurbishment.
- 3.8 The major variance on capital charges is due to an increase in the value of investment properties on Industrial Units & Estates Premises. This change in value must be reflected in revenue in the year in which it occurs. This however is reversed out with an equal and opposite entry made to the Income & Expenditure Statement; the 'bottom line' is therefore unaffected.
- 3.9 The following information is attached.

Annexe 1 Summary by Programme Area

Annexe 2 Detailed by Programme Area and Cost Centre

Annexe 3 Subjective Analysis

Annexe 4 Variations– Revised Budget 2013-14 to Actual 2013-14

Annexe 5 Capital Outturn

Annexe 6 Carry Forward Requests

4.0 CARRY FORWARDS

- 4.1 That the funding for the Community Infrastructure Levy (£5,100) be carried forward in respect of consultancy advice relating to Community Infrastructure adoption & strategic site assessment.

5.0 RECOMMENDATION

- 5.1 That the report be noted.
- 5.2 That the funding for the Community Infrastructure Levy be carried forward (para 4.1).

6.0 REASONS FOR RECOMMENDATION

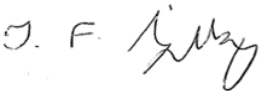
6.1 To enable the portfolio’s Revenue Outturn to be included in the Council’s overall Statement of Accounts.

MIKE HAYDEN - HEAD OF REGENERATION

MARK EVANS – HEAD OF BUSINESS TRANSFORMATION

BARRY DAWSON – HEAD OF FINANCE

Officer recommendation supported/not supported/modified as below or Executive Member’s recommendation/comments if no officer recommendation.



Signed _____ Executive Member

Date: 10.6.14

Reference _____

Author & Contact Name: Linda Coupe (Ext. 2008)

DEPUTY LEADER & EXECUTIVE MEMBER FOR PLANNING**REVENUE ACCOUNT FOR YEAR ENDED 31ST MARCH 2014****SUMMARY OF NET EXPENDITURE BY PROGRAMME AREA**

Programme Area	Original Budget	Revised Budget	Actual	Variance Over/(Under)	
	£	£	£	£	%
Industrial Estates & Workshops	(1,407,810)	(1,447,170)	(1,392,643)	54,527	(3.8%)
Town Centre Properties	(1,021,600)	(1,133,640)	(1,078,558)	55,082	(4.9%)
Corporate Plan	(10)	(240)	6,341	6,581	0.0%
Development Control	351,700	322,950	348,444	25,494	7.9%
Building Control	141,390	141,290	114,537	(26,753)	(18.9%)
Planning Services & LDF	450,220	464,880	467,470	2,590	0.6%
Engineering Consultancy	296,190	268,500	276,276	7,776	2.9%
Manangement & Planning Admin	(4,290)	26,620	42,780	16,160	60.7%
Best Value	22,400	13,330	12,993	(337)	(2.5%)
Estates	(14,960)	32,150	(12,312,145)	(12,344,295)	(38395.9%)
Facilities Maintenance	9,750	7,070	8,724	1,654	23.4%
Business Transformation	(3,040)	15,020	93,904	78,884	525.2%
Head of Business Transformation	4,560	(20)	7,065	7,085	(35425.0%)
PPP Client Function	(23,430)	25,220	4,109	(21,111)	(83.7%)
TOTAL NET EXPENDITURE	(1,198,930)	(1,264,040)	(13,400,703)	(12,136,663)	960.1%

**DEPUTY LEADER & EXECUTIVE MEMBER FOR PLANNING
REVENUE ACCOUNT FOR YEAR ENDED 31ST MARCH 2014**

Programme Area	Original Budget	Revised Budget	Actual	Variance Over/(Under)	
	£	£	£	£	%
Industrial Estates & Workshops	(1,438,680)	(1,482,530)	(1,456,433)	26,097	(1.8%)
Town Centre Properties	(2,688,690)	(2,771,810)	(2,733,109)	38,701	(1.4%)
Corporate Plan	84,940	86,000	90,297	4,297	5.0%
Development Control & Conservation	138,850	93,130	131,140	38,010	40.8%
Building Control	144,190	144,190	117,384	(26,806)	(18.6%)
Planning Services & LDF	405,920	409,460	409,302	(158)	(0.0%)
Engineering Consultancy	330,480	216,430	302,848	86,418	39.9%
Management & Planning Admin	168,990	208,200	218,054	9,854	4.7%
Best Value	8,500	(9,220)	(9,292)	(72)	0.8%
Estates	229,220	269,380	257,329	(12,051)	(4.5%)
Facilities Maintenance	304,280	305,180	305,559	379	0.1%
Business Transformation	157,550	126,380	207,696	81,316	64.3%
Head of Business Transformation	81,770	82,500	88,556	6,056	7.3%
PPP Client Function	96,410	108,090	100,362	(7,728)	(7.1%)
CONTROLLABLE	(1,976,270)	(2,214,620)	(1,970,307)	244,313	(11.0%)

Industrial Estates & Workshops	30,870	35,360	43,790	8,430	23.8%
Town Centre Properties	70,420	61,120	62,625	1,505	2.5%
Corporate Plan	(84,950)	(86,240)	(83,956)	2,284	(2.6%)
Development Control & Conservation	212,850	229,820	217,304	(12,516)	(5.4%)
Building Control	(2,800)	(2,900)	(2,847)	53	(1.8%)
Planning Services & LDF	(14,080)	(2,960)	(212)	2,748	(92.8%)
Engineering Consultancy	(166,690)	(96,330)	(98,963)	(2,633)	2.7%
Management & Planning Admin	(173,280)	(181,580)	(175,274)	6,306	(3.5%)
Best Value	13,900	22,550	22,285	(265)	(1.2%)
Estates	(244,180)	(237,230)	(246,974)	(9,744)	4.1%
Facilities Maintenance	(294,530)	(298,110)	(296,835)	1,275	(0.4%)
Business Transformation	(160,590)	(111,360)	(113,792)	(2,432)	2.2%
Head of Business Transformation	(77,210)	(82,520)	(81,491)	1,029	(1.2%)
PPP Client Function	(119,840)	(82,870)	(96,253)	(13,383)	16.1%
TOTAL INTERNAL RECHARGES	(1,010,110)	(833,250)	(850,593)	(17,343)	2.1%

Industrial Estates & Workshops	0	0	20,000	20,000	0.0%
Town Centre Properties	1,596,670	1,577,050	1,591,926	14,876	0.9%
Corporate Plan	0	0	0	0	0.0%
Development Control	0	0	0	0	0.0%
Building Control	0	0	0	0	0.0%
Planning Services & LDF	58,380	58,380	58,380	0	0.0%
Engineering Consultancy	132,400	148,400	72,391	(76,009)	(51.2%)
Management & Planning Admin	0	0	0	0	0.0%
Best Value	0	0	0	0	0.0%
Estates	0	0	(12,322,500)	(12,322,500)	0.0%
Facilities Maintenance	0	0	0	0	0.0%
Business Transformation	0	0	0	0	0.0%
Head of Business Transformation	0	0	0	0	0.0%
PPP Client Function	0	0	0	0	0.0%
TOTAL ASSET CHARGES	1,787,450	1,783,830	(10,579,803)	(12,363,633)	(693.1%)

**DEPUTY LEADER & EXECUTIVE MEMBER FOR PLANNING
REVENUE ACCOUNT FOR YEAR ENDED 31ST MARCH 2014**

Programme Area	Original Budget	Revised Budget	Actual	Variance Over/(Under)	
	£	£	£	£	%
Industrial Estates & Workshops	(1,407,810)	(1,447,170)	(1,392,643)	54,527	(3.8%)
Town Centre Properties	(1,021,600)	(1,133,640)	(1,078,558)	55,082	(4.9%)
Corporate Plan	(10)	(240)	6,341	6,581	0.0%
Development Control & Conservation	351,700	322,950	348,444	25,494	7.9%
Building Control	141,390	141,290	114,537	(26,753)	(18.9%)
Local Development Framework	450,220	464,880	467,470	2,590	0.6%
Engineering Consultancy	296,190	268,500	276,276	7,776	2.9%
Manangement & Planning Admin	(4,290)	26,620	42,780	16,160	60.7%
Best Value	22,400	13,330	12,993	(337)	(2.5%)
Estates	(14,960)	32,150	(12,312,145)	(12,344,295)	(38395.9%)
Facilities Maintenance	9,750	7,070	8,724	1,654	23.4%
Business Transformation	(3,040)	15,020	93,904	78,884	525.2%
Head of Business Transformation	4,560	(20)	7,065	7,085	(35425.0%)
PPP Client Function	(23,430)	25,220	4,109	(21,111)	(83.7%)
TOTAL BUDGETS	(1,198,930)	(1,264,040)	(13,400,703)	(12,136,663)	960.1%

**DEPUTY LEADER & EXECUTIVE MEMBER FOR PLANNING
REVENUE ACCOUNT FOR YEAR ENDED 31ST MARCH 2014**

Programme Area	Original Budget £	Revised Budget £	Actual £
Industrial Estates and Workshops - Cost Centres 0029 - 0042, 0060 - 0065, 0070 - 0073, 0076 - 0077, 0080 - 0084 & 0086			
Premises Related Expenses	533,110	524,120	535,903
Supplies and Services	39,960	41,190	45,860
Agency and Contracted Services	144,580	148,430	144,394
Controllable Income	(2,156,330)	(2,196,270)	(2,167,695)
Inter Committee Transfer	0	0	(14,895)
Net Controllable	(1,438,680)	(1,482,530)	(1,456,433)
Central and Departmental Support	30,870	35,360	43,790
Asset Charges	0	0	20,000
Net	(1,407,810)	(1,447,170)	(1,392,643)
TOTAL INDUSTRIAL ESTATES	(1,407,810)	(1,447,170)	(1,392,643)
Town Centre - Pavements - Cost Centres 0043/0044			
Employee Expenses	121,310	119,600	127,313
Premises Related Expenses	298,650	289,630	281,652
Transport Related Expenses	60	60	0
Supplies and Services	47,260	46,390	40,044
Agency and Contracted Services	320,540	320,540	320,381
Income	(2,656,130)	(2,639,820)	(2,657,080)
Net Controllable	(1,868,310)	(1,863,600)	(1,887,690)
Central and Departmental Support	7,570	5,500	6,558
Leasing - Land & Buildings	1,512,760	1,493,140	1,508,016
Asset Charges	0	0	0
Rechargeable Income	(3,960)	(4,300)	(4,466)
Net	(351,940)	(369,260)	(377,582)
Town Centre Development - Cost Centres 0046/0066/0067			
Premises Related Expenses	120,580	111,730	112,030
Supplies and Services	3,620	3,620	2,329
Agency and Contracted Services	26,290	26,290	25,864
Income	(613,220)	(624,540)	(631,681)
Inter Committee Transfer	3,500	3,500	(4,265)
Net Controllable	(459,230)	(479,400)	(495,723)
Central and Departmental Support	58,210	53,350	54,224
Asset Charges	0	0	0
Net	(401,020)	(426,050)	(441,499)

**DEPUTY LEADER & EXECUTIVE MEMBER FOR PLANNING
REVENUE ACCOUNT FOR YEAR ENDED 31ST MARCH 2014**

Programme Area	Original Budget £	Revised Budget £	Actual £
Town Centre Vicar Lane & Maintenance - Cost Centres 0045, 0047			
Premises Related Expenses	5,000	20,000	29,117
Controllable Income	(366,150)	(448,810)	(428,813)
Inter Committee Transfer			50,000
Net Controllable	(361,150)	(428,810)	(349,696)
Central and Departmental Support	8,600	6,570	6,309
Asset Charges	83,910	83,910	83,910
Net	(268,640)	(338,330)	(259,477)
TOTAL TOWN CENTRE	(1,021,600)	(1,133,640)	(1,078,558)
Corporate Plan - Cost Centre 0439			
Employee Expenses	76,350	77,410	82,970
Transport Related Expenses	370	370	278
Supplies and Services	8,220	8,220	7,049
Controllable Income	0	0	0
Net Controllable	84,940	86,000	90,297
Central and Departmental Support	13,310	15,560	14,647
Recharge Income	(98,260)	(101,800)	(98,603)
Net	(10)	(240)	6,341
TOTAL CORPORATE PLAN	(10)	(240)	6,341
Development Control Administration - Cost Centres 0019			
Employee Expenses	381,550	315,050	356,122
Transport Related Expenses	16,460	16,460	13,835
Supplies and Services	38,020	46,920	49,839
Agency and Contracted Services	0	11,880	11,950
Income	(297,180)	(297,180)	(300,606)
Net Controllable	138,850	93,130	131,140
Central and Departmental Support	310,300	313,380	299,962
Rechargeable Income	(97,450)	(83,560)	(82,658)
Net	351,700	322,950	348,444
TOTAL DEVELOPMENT CONTROL	351,700	322,950	348,444

**DEPUTY LEADER & EXECUTIVE MEMBER FOR PLANNING
REVENUE ACCOUNT FOR YEAR ENDED 31ST MARCH 2014**

Programme Area	Original Budget £	Revised Budget £	Actual £
Building Control - Cost Centre 0021/0022/0025			
Supplies and Services	144,190	144,190	145,079
Income	0	0	(27,695)
Net Controllable	144,190	144,190	117,384
Central and Departmental Support	140	40	33
Rechargeable Income	(2,940)	(2,940)	(2,880)
Net	141,390	141,290	114,537
TOTAL BUILDING CONTROL	141,390	141,290	114,537
Forward Planning - Cost Centre 0011			
Employee Expenses	234,270	242,350	252,153
Transport Related Expenses	1,130	1,130	689
Supplies and Services	108,470	101,550	98,495
Income	0	0	0
Net Controllable	343,870	345,030	351,337
Central and Departmental Support	89,360	93,850	89,830
Rechargeable Income	(103,440)	(96,810)	(90,042)
Net	329,790	342,070	351,125
Planning Services & Community Infraststructure Levy - Cost Centres 0006, 0007, 0009, 0016			
Employee Expenses	42,480	15,180	15,184
Premises Related	3,670	6,500	6,500
Transport Related Expenses	1,280	1,010	0
Supplies & Services	73,340	83,290	90,546
Income	(41,600)	(18,160)	(47,025)
Inter Committee Transfers	(17,120)	(23,390)	(7,240)
Net Controllable	62,050	64,430	57,965
Central and Departmental Support	0	0	0
Asset Charges	58,380	58,380	58,380
Rechargeable Income	0	0	0
Net	120,430	122,810	116,345
TOTAL LOCAL DEVELOPMENT FRAMEWORK	450,220	464,880	467,470
Land Drainage - Cost Centre 0154			
Supplies and Services	18,820	18,820	16,342
Income	(97,000)	(150,000)	(43,240)
Net Controllable	(78,180)	(131,180)	(26,898)
Central and Departmental Support	30,400	47,870	49,641
Asset Charges	97,000	113,000	36,987
NET	49,220	29,690	59,730
Boro Lighting & Street Naming - Cost Centres 0162/0163			
Premises Related Expenses	3,560	4,060	3,560
Supplies and Services	25,500	12,750	6,839
Inter Committee Transfers	0	0	0
Net Controllable	29,060	16,810	10,399
Central and Departmental Support	18,250	17,440	17,533
NET	47,310	34,250	27,932

**DEPUTY LEADER & EXECUTIVE MEMBER FOR PLANNING
REVENUE ACCOUNT FOR YEAR ENDED 31ST MARCH 2014**

Programme Area	Original Budget £	Revised Budget £	Actual £
Engineering Services - Cost Centres 0177			
Employee Expenses	7,000	3,960	3,956
Supplies and Services	13,560	58,310	61,327
Agency and Contracted Services	278,630	322,890	322,885
Controllable Income	(13,750)	(142,830)	(145,469)
Net Controllable	285,440	242,330	242,699
Central and Departmental Support	47,990	46,390	46,162
Rechargeable Income	(333,420)	(288,720)	(288,862)
NET	10	0	(1)
Drain Clearing - Cost Centre 2550			
Supplies and Services	50,000	50,000	52,853
Agency and Contracted Services	20,000	23,500	23,500
Controllable Income	(70,000)	(70,000)	(69,958)
Inter Committee Transfers	0	0	0
Net Controllable	0	3,500	6,395
Central and Departmental Support	31,990	32,780	30,131
Asset Charges	50	50	55
Rechargeable Income	(32,030)	(30,200)	(30,319)
NET	10	6,130	6,262
Private Street Works - Cost Centre 0171			
Controllable Income	0	0	1,887
Net Controllable	0	0	1,887
Central and Departmental Support	510	2,280	986
NET	510	2,280	2,873
Bus Shelters - Cost Centre 0172			
Premises Related Expenses	40,500	39,000	36,369
Agency and Contracted Services	15,530	10,200	9,142
Net Controllable	56,030	49,200	45,511
Central and Departmental Support	70,900	61,490	65,031
Asset Charges	35,350	35,350	35,349
NET	162,280	146,040	145,891
Street Scene Amenity Mtce - Cost Centre 0174			
Premises Related Expenses	26,020	23,500	10,586
Net Controllable	26,020	23,500	10,586
Central and Departmental Support	10,830	26,610	23,003
NET	36,850	50,110	33,589
IT Admin - Cost Centre 0168			
Agency and Contracted Services	12,110	12,270	12,269
Net Controllable	12,110	12,270	12,269
Central and Departmental Support	290	270	304
Rechargeable Income	(12,400)	(12,540)	(12,573)
NET	0	0	0
TOTAL ENGINEERING SERVICES	296,190	268,500	276,276

**DEPUTY LEADER & EXECUTIVE MEMBER FOR PLANNING
REVENUE ACCOUNT FOR YEAR ENDED 31ST MARCH 2014**

Programme Area	Original Budget £	Revised Budget £	Actual £
Management & Planning Administration - Cost Centres 0053/0054/0055			
Employee Expenses	158,460	201,310	214,275
Transport Related Expenses	1,670	1,670	978
Supplies and Services	11,860	8,220	6,774
Income	(3,000)	(3,000)	(3,973)
Net Controllable	168,990	208,200	218,054
Central and Departmental Support	65,240	65,840	64,155
Rechargeable Income	(238,520)	(247,420)	(239,429)
Net	(4,290)	26,620	42,780
TOTAL MGT & PLANNING ADMIN	(4,290)	26,620	42,780
Best Value - Cost Centre 0496			
Supplies and Services	8,500	8,500	13,528
Income	0	(17,720)	(22,820)
Net Controllable	8,500	(9,220)	(9,292)
Central and Departmental Support	13,900	22,550	22,285
Rechargeable Income	0	0	0
Net	22,400	13,330	12,993
TOTAL BEST VALUE	22,400	13,330	12,993
Estates - Cost Centres 0057 & 0058			
Employee Expenses	4,900	4,900	0
Premises Related Expenses	63,580	60,080	57,171
Supplies and Services	6,830	32,830	37,767
Agency and Contracted Services	288,560	289,170	289,303
Income	(134,650)	(117,600)	(126,242)
Inter Committee Transfer	0	0	(670)
Net Controllable	229,220	269,380	257,329
Central and Departmental Support	172,750	168,340	145,646
Asset Charges	0	0	(12,322,500)
Rechargeable Income	(416,930)	(405,570)	(392,620)
Net	(14,960)	32,150	(12,312,145)
TOTAL ESTATES	(14,960)	32,150	(12,312,145)

**DEPUTY LEADER & EXECUTIVE MEMBER FOR PLANNING
REVENUE ACCOUNT FOR YEAR ENDED 31ST MARCH 2014**

Programme Area	Original Budget £	Revised Budget £	Actual £
Facilities Maintenance - Cost Centres 0165/0447 & 0190			
Supplies and Services	2,280	2,280	2,634
Agency and Contracted Services	302,000	302,900	302,925
Net Controllable	304,280	305,180	305,559
Central and Departmental Support	90,070	55,800	57,547
Rechargeable Income	(384,600)	(353,910)	(354,382)
Net	9,750	7,070	8,724
TOTAL FACILITIES MAINTENANCE	9,750	7,070	8,724
Business Transformation, GPGS & Project Academy - Cost Centre 0434, 2669 & 0454			
Employee Expenses	152,280	121,110	217,902
Transport Related Expenses	2,640	2,640	756
Supplies and Services	2,630	2,630	3,825
Income	0	0	(14,787)
Net Controllable	157,550	126,380	207,696
Central and Departmental Support	37,520	42,990	42,372
Rechargeable Income	(198,110)	(154,350)	(156,164)
Net	(3,040)	15,020	93,904
TOTAL BUSINESS TRANSFORMATION	(3,040)	15,020	93,904
Head of Business Transformation - Cost Centre 0459			
Employee Expenses	80,920	81,650	87,922
Transport Related Expenses	350	350	237
Supplies & Services	500	500	397
Net Controllable	81,770	82,500	88,556
Central and Departmental Support	1,770	1,760	1,810
Rechargeable Income	(78,980)	(84,280)	(83,301)
Net	4,560	(20)	7,065
TOTAL HEAD OF BUSINESS TRANSFORMATION	4,560	(20)	7,065
PPP Client Function - Cost Centre 0453			
Employee Expenses	74,810	66,490	60,179
Transport Related Expenses	1,600	1,600	610
Supplies and Services	20,000	40,000	47,061
Income	0	0	(7,488)
Net Controllable	96,410	108,090	100,362
Central and Departmental Support	40,450	33,020	32,176
Rechargeable Income	(160,290)	(115,890)	(128,429)
Net	(23,430)	25,220	4,109
TOTAL SHARED SERVICES	(23,430)	25,220	4,109

DEPUTY LEADER AND EXECUTIVE MEMBER FOR PLANNING

SUBJECTIVE ANALYSIS FOR YEAR ENDED 31ST MARCH 2014

	Original	Revised	Actual	Variance	
	Budget	Budget		Over/(Unders)	
	£	£	£	£	%
Expenditure:					
Employee Expenses	1,334,330	1,249,010	1,417,976	168,966	13.5%
Premises					
Repair and Maintenance	118,150	138,580	146,101	7,521	5.4%
Energy	175,900	163,560	156,048	(7,512)	(4.6%)
Rates & Rents	187,440	171,710	167,350	(4,360)	(2.5%)
Insurances & Renewals Fund	613,180	604,770	605,276	506	0.1%
Inter Committee Transfers Bad Debts Provision & Transfers	(13,620)	(19,890)	22,929	42,819	(215.3%)
Transport Expenses	25,560	25,290	17,382	(7,908)	(31.3%)
Supplies & Services					
Materials and Equipment	30,240	28,240	28,568	328	1.2%
Printing and Stationery etc	21,750	13,900	11,459	(2,441)	(17.6%)
Communications and Computing	42,850	36,890	31,870	(5,020)	(13.6%)
B.C.N. Consortium	144,090	144,090	144,090	0	0.0%
Consultants & Contracted Serv	231,810	290,190	260,575	(29,615)	(10.2%)
LDF Public Examinations	76,500	76,500	76,500	0	0.0%
Grants & Subscriptions	14,500	14,500	14,500	0	0.0%
Advertising & Publicity	24,960	26,960	33,108	6,148	22.8%
Insurances & Repairs Fund	2,350	2,350	2,358	8	0.3%
Other	24,510	76,590	125,559	48,969	63.9%
Agency and Contracted Services	1,408,240	1,468,070	1,462,615	(5,455)	(0.4%)
Central and Departmental Support	1,151,220	1,149,040	1,114,135	(34,905)	(3.0%)
Capital Financing	1,787,450	1,783,830	(10,579,803)	(12,363,633)	(693.1%)
Total Expenditure	7,401,410	7,444,180	(4,741,404)	(12,185,584)	(163.7%)
Income:					
Rents & Service Charges	(5,763,150)	(5,869,740)	(5,852,994)	16,746	(0.3%)
Grants & Contributions	(143,950)	(183,510)	(105,615)		
BCN Partnership Income	0	0	(27,695)		
Sales	(3,000)	(3,000)	(3,973)	(973)	32.4%
Fees & Charges	(528,910)	(669,680)	(704,294)	(34,614)	5.2%
Recharges					
General Fund	(1,637,220)	(1,527,610)	(1,493,227)	34,383	(2.3%)
HRA	(150,910)	(120,400)	(135,422)	(15,022)	12.5%
DLO/Other	(373,200)	(334,280)	(336,079)	(1,799)	0.5%
Total Income	(8,600,340)	(8,708,220)	(8,659,299)	(1,279)	0.0%
NET EXPENDITURE	(1,198,930)	(1,264,040)	(13,400,703)	(12,186,863)	964.1%

Programme Area / Service	Budget Head	(Under) Budget £ 000's	C/fwd Requests £ 000's	Recurring Variance ✓
Industrial Estates & Workshops	Energy Costs	(5)		
	General Repairs	16		
	Rent Equalisation Adj	30		
	Reduction in Bad Debt Provision	(15)		
Sub-total Controllable		26	0	
Non Controllable	Asset Charges	20		
	Support Services Recharge	8		
Industrial Estates & Workshops		54	0	
Town Centre Properties - Pavements	Current Service Pension Cost Adj	8		
	NNDR	(6)		
	Repairs & Maintenance	(5)		
	Refuse Collection Charge	2		
	Consultants Fees & Professional Services	(6)		
	Rechargeable Services	5		
	Rents & Service Charge	(19)		
	Rent Equalisation - Operating Leases	(3)		
Town Centre Properties - Vicar Lane	Repairs & Maintenance	9		
	Rental Income	20		
	Bad Debts Provision	50		
Town Centre Properties - Other	Contracted Services	(1)		
	Reduction in Bad Debts Provision	(8)		
	Rent Equalisation Adj	(2)		
	Falcon Yard/South St - Serv Chg & Rents	(5)		
	Town Centre - Serv Chg & Rents	(1)		
Sub-total Controllable		38	0	
Non Controllable	Asset Charges	15		
	Support Services Recharge	2		
Town Centre Properties		55	0	
Corporate Plan	Employees Accumulated Absences	(1)		
	Current Service Pension Cost Adj	7		
	Supplies & Services	(1)		
Sub-total Controllable		5	0	
Non Controllable	Support Services Recharge	2		
Corporate Plan		7	0	

Programme Area / Service	Budget Head	(Under) Budget £ 000's	C/fwd Requests £ 000's	Recurring Variance ✓
Development Control	Employees Accumulated Absences	8		
	Current Service Pension Cost Adj	28		
	Employee expenditure	1		
	Employee Advertising	4		
	Car Allowances	(3)		
	Advertising	6		
	Professional & Other Services	(3)		
	Planning Fees & Charges	(4)		
Sub-total Controllable		37	0	
Non Controllable	Asset Charges	0		
	Support Services Recharge	(12)		
Development Control		25	0	
BCN Consortium	Dangerous Building Charge	1		
	BCN Partnership - share of surplus	(28)		
Sub-total Controllable		(27)	0	
Non Controllable	Support Services Recharge	0		
BCN Consortium		(27)	0	
Forward Planning	Employees Accumulated Absences	(2)		
	Current Service Pension Cost Adj	19		
	Employee Savings - temp vacancy	(10)		
	Employee Advertising	2		
	Professional Services	(3)		
Sub-total Controllable		6	0	
Non Controllable	Support Services Recharge	3		
Forward Planning		9	0	
Planning Services & Community Levy	Consultants Fees	(6)	5	
Sub-total Controllable		(6)	5	
Non Controllable	Support Services Recharge	0		
Planning Services & Community Levy		(6)	5	
Planning & Local Development Framework		3	5	

Programme Area / Service	Budget Head	(Under) Budget £ 000's	C/fwd Requests £ 000's	Recurring Variance ✓
Land Drainage etc	Govt Grant - REFCUS	107		
	General Services	(2)		
Sub-total Controllable		105	0	
Non Controllable	Asset Charges	(76)		
	Support Services Recharge	1		
Land Drainage Total		30	0	
Lighting & St Naming	General Services	(6)		
Sub-total Controllable		(6)	0	
Non Controllable	Support Services Recharge	0		
Lighting & Street Naming Total		(6)	0	
Private Street Works	General Repairs	2		
Sub-total Controllable		2	0	
Non Controllable	Support Services Recharge	(1)		
Private Street Works		1	0	
Engineering	Additional Non Core Services - above contract value	3		
	Internal recovery of non core services	(3)		
Sub-total Controllable		0	0	
Non Controllable	Support Services Recharge	0		
Engineering Total		0	0	
Drain Clearing	Contracted Services	3		
Sub-total Controllable		3	0	
Non Controllable	Support Services Recharge	(3)		
Drain Clearing Services		0	0	
Bus Shelters	General Repairs	(3)		
	Street Cleaning Services	(1)		
Sub-total Controllable		(4)	0	
Non Controllable	Asset Charges	0		
	Support Services Recharge	4		
Bus Shelters Total		0	0	
Street Scene Amenity Services	General Repairs - partial underspend (£10k) to offset electrical work on Open Markets	(13)		
Sub-total Controllable		(13)	0	
Non Controllable	Support Services Recharge	(4)		
Street Scene Amenity Services & Private St Works Total		(17)	0	
Engineering Services		8	0	

Programme Area / Service	Budget Head	(Under) Budget £ 000's	C/fwd Requests £ 000's	Recurring Variance ✓
Management & Planning Admin	Current Service Pension Cost Adj	13		
	Car Allowances	(1)		
	General Equipment	(1)		
	Sale of Publications	(1)		
Sub-total Controllable		10	0	
Non Controllable	Support Services Recharge	6		
Management & Planning Administration		16	0	
Best Value	Professional Services	5		
	Fees & Charges	(5)		
Sub-total Controllable		0	0	
Non Controllable	Support Services Recharge	0		
Best Value		0	0	
Estates & Property Management	Employee Related Insurances	(5)		
	Energy Costs	(3)		
	Software Licences	(8)		
	Misc Exps	13		
	Rent Equalisation Adj	(3)		
	Fees & Charges	(6)		
Sub-total Controllable		(12)	0	
Non Controllable	Asset Charges	(12,323)		
	Support Services Recharge	(10)		
Estates & Property Management		(12,345)	0	
Facilities Maintenance	No variations	0		
Sub-total Controllable		0	0	
Non Controllable	Asset Charges	0		
	Support Services Recharge	2		
Facilities Maintenance		2	0	
Business Transformation, GPGS & Project Academy	Employee Expenditure - GPGS	42		
	Employee Training - GPGS	18		
	Employee savings - Bus Trans to fund GPGS	(9)		
	Project Academy costs	21		
	Current Service Pension Cost Adj	13		
	Employee Accumulated Absences	(2)		
	Car Allowances	(2)		
Sub-total Controllable		81	0	
Non Controllable	Support Services Recharge	(2)		
Business Transformation, GPGS & Project Academy		79	0	
Head of Business Transformation	Current Service Pension Cost Adj	7		
	Employee Savings	(1)		
Sub-total Controllable		6	0	
Non Controllable	Support Services Recharge	1		
Head of Business Transformation		7	0	
PPP Client function	Current Service Pension Cost Adj	4		
	Employee Savings to fund GPGS	(10)		
	Car Allowances	(1)		
Sub-total Controllable		(7)	0	
Non Controllable	Support Services Recharge	(14)		
PPP Client function		(21)	0	
GRAND TOTAL		(12,137)	5	0

DEPUTY LEADER & EXECUTIVE MEMBER FOR PLANNING
CAPITAL OUTTURN
FOR YEAR ENDED 31ST MARCH 2014

Code	SCHEME	Gross Cost £'000	Grants & contrib's £'000	Net Cost £'000	pre Apr 13 Actual £'000	Budget 2013/14 £'000	Outturn 2013/14 £'000	14/15 £'000	15/16 £'000	16/17 £'000
8885	Hollis Lane Flood resiliance work	195	195	0	6	50	11	178		
8907	Brampton Flood resiliance work	386	386	0		50	26	360		
	Major prop reps unallocated	600		600				200	200	200
	Portfolio Totals	1,181	581	600	6	100	37	738	200	200

DEPUTY LEADER AND EXECUTIVE MEMBER FOR PLANNING CARRY FORWARD REQUESTS FOR YEAR ENDED 31ST MARCH 2014					
Programme Area/Service	Budget Head	Reason	Amount (£)		C-fwd Request (£)
Community Infrastructure Levy	Supplies & Services	Consultants Fees	Revised	9,100	5,100
			Actual	3,000	
			Balance	6,100	
		TOTAL CARRY FORWARD REQUESTS FOR APPROVAL.			5,100

EXECUTIVE MEMBER FOR CUSTOMERS & COMMUNITIES ACCOUNTS 2013/14

MEETING: (1) CABINET
(2) EXECUTIVE MEMBER

DATE: (1) 17th June 2014
(2) 10th June 2014

REPORT BY: HEAD OF BUSINESS TRANSFORMATION
HEAD OF FINANCE
HEAD OF GOVERNANCE
HEAD OF REGENERATION

WARD: ALL

COMMUNITY FORUM: ALL

KEY DECISION
REFERENCE: 400(6)

FOR PUBLICATION

BACKGROUND PAPERS: NONE

1.0 PURPOSE OF REPORT

1.1 To report on the Revenue Outturn for 2013/14 and to provide explanations for significant variations from the Revised Estimates approved at Cabinet on 18th February 2014.

1.2 To report on the Capital Outturn for 2013/14.

2.0 RECOMMENDATION

2.1 That the report be noted

3.0 REVENUE OUTTURN

3.1 The revenue outturn for 2013/14 is as follows:

	<u>£'000</u>
Original Budget	1,881
Revised Budget	1,572
Outturn	1,510

3.2 The main variations from the Original to the Revised budget (a decrease of £309k) are summarised in the table below:

Description	Increase / (Decrease) £'000
<u>Changes to controllable budgets:</u>	
Employee savings	(62)
Arvato payments	14
Software costs	50
Recovery of summons costs	(50)
STW charges	(129)
Transfer payments	(944)
Housing benefits subsidy reduction	899
Minor Variations	29
Changes to controllable budget	(193)
Changes to asset charges	(1)
Change in support service recharges	(115)
Overall decrease	(309)

3.3 The Revenue Out-turn of £1,510k represents:

- A decrease of £371,290 or 19.7% against the Original Budget; and
- A decrease of £62,040 or 3.95% against the Revised Budget.

3.4 The table below sets out the variations between the revised budget and the actual out-turn separating items that are not controllable (Capital Charges and Support Service Recharges). The table highlights an underspend of £71k or 3.63% on controllable expenditure.

Controllable and Non-Controllable Expenditure

	Original Estimate £'000	Revised Estimate £ '000	Actual Outturn £'000	Variance over / (under) £ '000	%
Capital Charges	83	81	70	(11)	(14.3)%
Support Services	(339)	(453)	(433)	20	4.46%
Non Controllable Expenditure	(256)	(372)	(363)	9	2.4%
Controllable Expenditure	2,137	1,944	1,873	(71)	(3.63)%
Portfolio Total	1,881	1,572	1,510	(62)	(3.95)%

A more detailed analysis of controllable and non-controllable expenditure by Programme Area is shown at **Annexe 1B**.

- 3.5 A detailed analysis of the variances from the revised budget to the outturn is shown in **Annexe 4** but the most significant variances are summarised below:-

Variations Revised to Outturn 2013/14	Increase / (Decrease) £'000
Employee expenses	11
Pension adjustments	15
Review of bad debts provision – Benefits	(169)
Changes to benefits payment/subsidy income	100
Recovery of summons costs	(25)
Cost of Collection income	10
Minor variations	(6)
Reduced take up of grants to voluntary organisations	(7)
* Changes to Controllable Budget	(71)
Changes to asset charges	(11)
Change in support service recharges	20
Overall Decrease	(62)
* Changes to Controllable excluding Pensions adjustment	(86k)

- 3.6 Recurring Variances – There are no recurring variances.

- 3.7 The following information is attached:

Annexe 1 Summary by Programme Area

Annexe 2 Detailed by Programme Area and Cost Centre

Annexe 3 Subjective Analysis

Annexe 4 Variations – Revised Budget to Actual 2013/14

Annexe 5 Capital Outturn

4.0 CARRY FORWARD REQUEST

- 4.1 There are no carry forward requests to consider.

5.0 CAPITAL OUTTURN

- 5.1 **Annexe 5** provides a summary of expenditure on the capital schemes within this portfolio.

6.0 RECOMMENDATION

6.1 That the report be noted.

7.0 REASONS FOR RECOMMENDATION

7.1 To enable the portfolios Revenue Out-turn to be included in the Council's overall Statement of Accounts.

MIKE HAYDEN - HEAD OF REGENERATION

MARK EVANS – HEAD OF BUSINESS TRANSFORMATION

BARRY DAWSON – HEAD OF FINANCE

SARA GOODWIN – HEAD OF GOVERNANCE

Officer recommendation supported/not supported/modified as below or Executive Member's recommendation/comments if no officer recommendation.

S.L. Blank.

Signed

Executive Member

Date 10.6.14

Consultee Assistant Executive Member comments (if applicable)
/declaration of interests:

Further information on this report can be obtained from
Paula Clayton, Accountancy Services (ext. 5457)

EXECUTIVE MEMBER FOR CUSTOMERS & COMMUNITIES**REVENUE ACCOUNTS FOR YEAR ENDED 31ST MARCH 2014****SUMMARY OF NET EXPENDITURE BY PROGRAMME AREA**

Programme Area	Original Budget £	Revised Budget £	Actual £	Variance Over/(Under)	
				£	%
CCTV	225,360	202,430	206,534	4,104	2.0%
Customer Services	(1,510)	(44,190)	2,519	46,709	(105.7%)
Equalities & Community Cohesion	23,710	20,440	19,045	(1,395)	(6.8%)
Community Forums	139,270	68,400	64,407	(3,993)	(5.8%)
Head of Customer Services	(720)	(170)	230	400	(235.3%)
Revenues & Benefits	1,024,350	875,970	760,742	(115,228)	(13.2%)
Communications & Consultations	36,000	42,710	50,608	7,898	18.5%
Grants to Voluntary Organisations	314,330	315,840	308,970	(6,870)	(2.2%)
Community Safety	120,170	90,280	96,615	6,335	7.0%
TOTAL NET EXPENDITURE	1,880,960	1,571,710	1,509,670	(62,040)	(3.9%)

**EXECUTIVE MEMBER FOR CUSTOMERS & COMMUNITIES
REVENUE ACCOUNTS FOR YEAR ENDED 31ST MARCH 2014**

Programme Area	Original Budget	Revised Budget	Actual	Variance Over/(Under)	
	£	£	£	£	%
CCTV	293,920	274,190	279,124	4,934	1.80%
Customer Services	330,570	341,010	342,781	1,771	0.52%
Equalities & Community Cohesion	10,250	7,250	6,034	(1,216)	(16.77%)
Community Assemblies	63,500	51,000	47,686	(3,314)	(6.50%)
Head of Customer Services	85,680	86,080	86,085	5	0.01%
Revenues & Benefits	838,420	689,690	607,355	(82,335)	(11.94%)
Communications & Consultations	121,270	125,650	135,156	9,506	7.57%
Grants to Voluntary Organisations	308,950	312,950	306,200	(6,750)	(2.16%)
Community Safety	84,570	56,030	62,817	6,787	12.11%
TOTAL CONTROLLABLE	2,137,130	1,943,850	1,873,238	(70,612)	(3.63%)
CCTV	(120,700)	(123,900)	(124,731)	(831)	0.67%
Customer Services	(335,440)	(387,450)	(342,513)	44,937	(11.60%)
Equalities & Community Cohesion	13,460	13,190	13,011	(179)	(1.36%)
Community Assemblies	75,770	17,400	16,721	(679)	(3.90%)
Head of Customer Services	(86,400)	(86,250)	(85,855)	395	(0.46%)
Revenues & Benefits	158,810	159,250	138,035	(21,215)	(13.32%)
Communications & Consultations	(85,270)	(82,940)	(84,548)	(1,608)	1.94%
Grants to Voluntary Organisations	5,380	2,890	2,770	(120)	(4.15%)
Community Safety	35,600	34,250	33,798	(452)	(1.32%)
TOTAL INTERNAL RECHARGES	(338,790)	(453,560)	(433,312)	20,248	(4.46%)
CCTV	52,140	52,140	52,141	1	0.00%
Customer Services	3,360	2,250	2,251	1	0.04%
Revenues & Benefits	27,120	27,030	15,352	(11,678)	(43.20%)
TOTAL ASSET CHARGES	82,620	81,420	69,744	(11,676)	(14.34%)
CCTV	225,360	202,430	206,534	4,104	2.03%
Customer Services	(1,510)	(44,190)	2,519	46,708	(105.70%)
Equalities & Community Cohesion	23,710	20,440	19,045	(1,395)	(6.82%)
Community Assemblies	139,270	68,400	64,407	(3,993)	(5.84%)
Head of Customer Services	(720)	(170)	230	400	(235.29%)
Revenues & Benefits	1,024,350	875,970	760,742	(115,228)	(13.15%)
Communications & Consultations	36,000	42,710	50,608	7,898	18.49%
Grants to Voluntary Organisations	314,330	315,840	308,970	(6,870)	(2.18%)
Community Safety	120,170	90,280	96,615	6,335	7.02%
TOTAL BUDGETS	1,880,960	1,571,710	1,509,670	(62,041)	(3.95%)

**EXECUTIVE MEMBER FOR CUSTOMERS & COMMUNITIES
REVENUE ACCOUNTS FOR YEAR ENDED 31ST MARCH 2014**

Programme Area	2013/14 Original £	2013/14 Revised £	2013/14 Actual £
CCTV (Cost Centre 0149)			
Employee Expenses	244,830	215,380	223,114
Premises	27,180	27,680	28,007
Transport Expenses	30,110	30,000	30,000
Supplies & Services	92,080	87,080	97,120
Agency & Contracted Services	1,620	1,620	1,616
Income	(101,900)	(87,570)	(100,733)
Net Controllable	293,920	274,190	279,124
Asset Charges	52,140	52,140	52,141
Central and Departmental Support	54,440	51,240	50,409
Recharge Income	(175,140)	(175,140)	(175,140)
Net	225,360	202,430	206,534
TOTAL CUSTOMER SERVICES	225,360	202,430	206,534

CSC (Cost Centre 0402)			
Premises		9,150	10,890
Supplies & Services	16,970	16,610	16,613
Agency & Contracted Services PPP	313,600	315,250	315,278
Net Controllable	330,570	341,010	342,781
Asset Charges	3,360	2,250	2,251
Central and Departmental Support	89,140	45,130	45,110
Recharge Income	(424,580)	(432,580)	(387,623)
Net	(1,510)	(44,190)	2,519
TOTAL CUSTOMER SERVICES	(1,510)	(44,190)	2,519

Equalities (Cost Centre 0468)			
Supplies & Services	10,250	7,250	6,034
Net Controllable	10,250	7,250	6,034
Central and Departmental Support	13,460	13,190	13,011
Net	23,710	20,440	19,045
TOTAL EQUALITIES & COMMUNITY COHESION	23,710	20,440	19,045

Community Assemblies (0340-0348, 0350-0351)			
Employee Expenses	0	28,700	31,501
Premises Expenses	2,000	500	426
Transport Expenses	0	0	232
Supplies & Services	61,500	29,300	23,027
Controllable Income	0	(7,500)	(7,500)
Net Controllable	63,500	51,000	47,686
Central and Departmental Support	75,770	17,400	16,721
Net	139,270	68,400	64,407
TOTAL COMMUNITY FORUMS	139,270	68,400	64,407

**EXECUTIVE MEMBER FOR CUSTOMERS & COMMUNITIES
REVENUE ACCOUNTS FOR YEAR ENDED 31ST MARCH 2014**

Programme Area	2013/14 Original £	2013/14 Revised £	2013/14 Actual £
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Head of Customer Services (0435)			
Agency & Contracted Services PPP	85,680	86,080	86,085
Net Controllable	85,680	86,080	86,085
Central and Departmental Support	3,320	3,150	3,347
Recharge Income	(89,720)	(89,400)	(89,202)
Net	(720)	(170)	230
TOTAL HEAD OF CUSTOMER SERVICES	(720)	(170)	230

Costs of Collection - (Cost Centres 0403 - 0406, 0416, 0485)			
Supplies and Services	130,270	143,290	144,530
Agency & Contracted Services PPP	927,850	933,070	933,212
Controllable Income	(305,500)	(479,690)	(494,384)
Net Controllable	752,620	596,670	583,358
Asset Charges	11,760	11,680	0
Central and Departmental Support	1,413,900	1,473,530	1,435,181
Recharge Income	(1,448,320)	(1,485,990)	(1,456,615)
Net	729,960	595,890	561,924
Revenues Hall (Cost Centre 0480)			
Premises Expenses	101,880	92,620	89,018
Supplies and Services	550	950	936
Agency & Contracted Services	14,660	14,660	18,114
Agency & Contracted Services PPP	69,370	69,890	69,898
Net Controllable	186,460	178,120	177,966
Asset Charges	15,360	15,350	15,352
Central and Departmental Support	40,340	33,960	25,272
Recharge Income	(229,610)	(231,350)	(227,046)
Net	12,550	(3,920)	(8,456)
Benefits (0415 & 0494)			
Supplies and Services	48,330	210,470	159,782
Inter Committee Transfers	115,500	115,500	(53,715)
Transfer Payments - Benefits	37,202,200	36,258,160	36,273,154
Agency & Contracted Services PPP	829,510	882,680	882,757
Controllable Income	(38,296,200)	(37,551,910)	(37,415,947)
Net Controllable	(100,660)	(85,100)	(153,969)
Central and Departmental Support	382,500	369,100	361,243
NET	281,840	284,000	207,274
TOTAL REVENUE & BENEFITS	1,024,350	875,970	760,742

**EXECUTIVE MEMBER FOR CUSTOMERS & COMMUNITIES
REVENUE ACCOUNTS FOR YEAR ENDED 31ST MARCH 2014**

Programme Area	2013/14 Original £	2013/14 Revised £	2013/14 Actual £
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Council Newspaper (Cost Centre 0458)			
Supplies and Services	17,600	24,500	24,381
Net Controllable	17,600	24,500	24,381
Central and Departmental Support	18,100	18,110	18,290
Net	35,700	42,610	42,671
Publicity (Cost Centre 0461)			
Employee Expenses	100,520	97,350	104,908
Transport Expenses	350	350	73
Supplies and Services	2,800	3,450	5,794
Net Controllable	103,670	101,150	110,775
Central and Departmental Support	16,910	19,550	19,059
Recharge Income	(120,280)	(120,600)	(121,897)
Net	300	100	7,937
TOTAL COMMUNICATIONS & CONSULTATIONS	36,000	42,710	50,608

Grants to Voluntary Organisations (Cost Centre 0463, 0467, 0491)			
Supplies and Services	308,950	312,950	306,200
Net Controllable	308,950	312,950	306,200
Central and Departmental Support	5,380	2,890	2,770
Net	314,330	315,840	308,970
TOTAL GRANTS TO VOLUNTARY ORGANISATIONS	314,330	315,840	308,970

Community Safety (Cost Centre 0361)			
Employee Expenses	105,840	75,970	83,255
Transport Expenses	830	830	271
Supplies and Services	4,200	4,820	4,881
Income	(26,300)	(25,590)	(25,590)
Net Controllable	84,570	56,030	62,817
Central and Departmental Support	35,600	34,250	33,798
Net	120,170	90,280	96,615
TOTAL COMMUNITY SAFETY	120,170	90,280	96,615

EXECUTIVE MEMBER FOR CUSTOMERS & COMMUNITIES**SUMMARY SUBJECTIVE ANALYSIS**

	Original Budget	Revised budget	Actual	Variance Over/(Under)	
	2013/14 £	2013/14 £	2013/14 £	£	%
Expenditure:					
Employee Expenses	451,190	417,400	442,779	25,379	6%
Premises:					
Repair and Maintenance	38,380	38,380	39,656	1,276	3%
Energy & Water	33,500	32,600	30,170	(2,430)	(7%)
Rent and Rates	56,460	56,180	56,094	(86)	(0%)
Other	2,720	2,790	2,420	(370)	(13%)
	131,060	129,950	128,340	(1,610)	(1%)
Transport Expenses	31,290	31,180	30,575	(605)	(2%)
Supplies & Services					
Materials and Equipment	60,460	58,460	56,125	(2,335)	(4%)
Printing and Stationery etc	35,760	32,660	30,121	(2,539)	(8%)
Communications and IT	175,560	219,750	236,227	16,477	7%
Grants	308,950	431,420	373,372	(58,048)	(13%)
Other	112,770	98,380	93,454	(4,926)	(5%)
	693,500	840,670	789,299	(51,371)	(6%)
Agency and Contracted Services	16,280	16,280	19,730	3,450	21%
Agency and Contracted Services - PPP	2,226,010	2,286,970	2,287,230	260	0%
Transfer Payments	37,202,200	36,258,160	36,273,154	14,994	0%
Bad Debt Provision	115,500	115,500	(53,715)	(169,215)	(147%)
Central and Dept. Support	2,148,860	2,081,500	2,024,211	(57,289)	(3%)
Asset Charges	82,620	81,420	69,744	(11,676)	(14%)
Total Expenditure	43,098,510	42,259,030	42,011,347	(247,683)	(1%)
Income:					
Government Grants	(38,296,200)	(37,396,640)	(37,261,131)	135,509	(0%)
Other Income	(433,700)	(761,120)	(783,023)	(21,903)	3%
Recharges					
- General Fund	(2,143,100)	(2,188,980)	(2,122,127)	66,853	(3%)
- HRA	(299,030)	(305,650)	(305,500)	150	(0%)
- DLO/DSO	(26,650)	(21,370)	(19,198)	2,172	(10%)
- Other	(18,870)	(13,560)	(10,698)	2,862	(21%)
Total Income	(41,217,550)	(40,687,320)	(40,501,677)	185,643	(0%)
NET EXPENDITURE	1,880,960	1,571,710	1,509,670	(62,040)	(4%)

EXECUTIVE MEMBER FOR CUSTOMERS & COMMUNITIES 2013/14
VARIATIONS - REVISED BUDGET 2013-14 TO ACTUAL 2013-14

Programme Area / Service	Budget Head	Over / (Under) Budget £'000	Carry Fwd Requests £'000	Recurring Variance ✓
CCTV	Superannuation adj Employee Salary savings Employee Training Equipment & line rental External monitoring income	12 (5) 1 (4) 1		
Subtotal Controllable		5		
Non-Controllable	Support Services Recharge	(1)		
CCTV Total		4	0	
Customer Services	Premises repairs Venture House	2		
Subtotal Controllable		2		
Non-Controllable	Support Services Recharge	45		
Customer Services Total		47	0	
Equalities & Community Cohesion	Minor Variations	(1)		
Subtotal Controllable		(1)		
Non-Controllable				
Equalities & Community Cohesion Total		(1)	0	
Community Assemblies	Superannuation adj Reduction of payment of Grants Minor Variations	3 (3) (3)		
Subtotal Controllable		(3)		
Non-Controllable	Support Services Recharge	(1)		
Community Assemblies Total		(4)	0	
Revenues & Benefits	Review of Bad Debts Provision Changes to Benefits Payments/Subsidy income Software Recovery of Summons Costs Cost of Collection Misc income Underspend on gas for Customer Services Centre Overspend on cleaning for Customer Services Centre	(169) 100 2 (25) 10 (3) 3		
Subtotal Controllable		(82)	0	
Non-Controllable	Support Services Recharge Asset charges	(21) (12)		
Revenues & Benefits Total		(115)	0	

Programme Area / Service	Budget Head	Over / (Under) Budget £'000	Carry Fwd Requests £'000	Recurring Variance ✓
Communications & Consultations	Employee Expenses Supplies & Services	8 2		
Subtotal Controllable		10		
Non-Controllable	Support Services Recharge	(2)		
Communications & Consultations Total		8	0	
Grants to Voluntary Organisations	Reduced take up	(7)		✓
Subtotal Controllable		(7)		
Non-Controllable				
Grants to Voluntary Organisations Total		(7)	0	
Community Safety	Employee Expenses Transport Expenses	7 (1)		
Subtotal Controllable		6		
Non-Controllable				
Community Safety Total		6	0	
Portfolio Total		(62)	0	

CUSTOMERS & COMMUNITIES CAPITAL SCHEMES

Code	SCHEME	Gross Cost	Grants & contrib's	Net Cost	pre Apr 13 Actual	Budget 2013/14	Outturn 2013/14	14/15	15/16	16/17
		£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000
8910	Colunteer Services Co-location - Basement	80		80	0	80	110	(30)		
8913	SHLC Self Service payment facility	29		29		29	25	4		
	Town Hall Refurbishment GPGS	580		580		0	0	290	290	
	6 Ashgate Road	20		20					20	
8891	Customer Services Strategy	25		25		0	0	25		
8891	Customer Services Strategy	50		50		0	0	50		
	Portfolio Totals	784	0	784	0	109	135	339	310	0

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FOR PUBLICATION

EXECUTIVE MEMBER FOR ENVIRONMENT ACCOUNTS 2013/14

MEETING:	(1) CABINET (2) EXECUTIVE MEMBER FOR ENVIRONMENT
DATE:	(1) 17 th June 2014 (2) 10 TH June 2014
REPORT BY:	HEAD OF ENVIRONMENT HEAD OF FINANCE HEAD OF REGENERATION
WARD:	ALL
COMMUNITY FORUM:	ALL
KEY DECISION	288

FOR PUBLICATION

BACKGROUND PAPERS: NONE

1.0 PURPOSE OF REPORT

- 1.1 To report on the Revenue Outturn for 2013/14 and to provide explanations for significant variations from the Revised Estimates approved by Cabinet on 17th February, 2014
- 1.2 To report on the Capital Outturn for 2013/14.

2.0 RECOMMENDATIONS

- 2.1 That the report be noted.
- 2.2 That the carry forward request be considered.

3.0 REVENUE OUTTURN

3.1 The revenue outturn for 2013/14 is as follows:

	<u>£ 000</u>
Original Budget	£5,205
Revised Budget	£5,314
Outturn	£5,945 See 3.4 below

3.2 The main variations from the Original to the Revised budget, an increase of £109K included:

Table 1 - Significant Variances Original to Revised 2013/14

Description	Increase / (Decrease) £'000
Changes to Controllable Budgets :-	
Employees :-	
- Recycling – Funded Posts	23
- Public Conveniences - Staffing	(14)
- Car Parks - Redundancies	10
- Car Parks - Changes to Rotas	17
- Car Parks - Employee Insurance	(5)
- Maternity Leave	(9)
- Late Implementation of New Health Structure	14
- Parks & Open Spaces – Vacant Post	(5)
- Parks & Open Spaces – Reduced Operating	(12)
Premises :-	
- Public Conveniences	(7)
- Cemeteries	5
- Car Parks	9
- Parks & Open Spaces	(3)
Supplies & Services :-	
- Community Toilets Scheme	(4)
- Repairs & Renewals Funds	(17)
- Tidy Streets	(9)
- Car Parks	17
- Software Licences	7
- Air, Noise & Environmental Management	
Agency :-	
- Refuse Collection - Contract Indexation	11
- Refuse Collection - Recycling	(100)

- Refuse Collection Contract – Winter Weather Allow	(15)
- Cont. to Market Hall Toilets	38
- Parks & Open Spaces	4
Income :-	
- DCC Highways Agency	(10)
- Tidy Streets – Fees & Charges	5
- Funding DCC	(28)
- Licence Fees	(53)
- Taxis – Knowledge Tests	(5)
- Waste Collection – Fees & Charges	(18)
- Recycling Credit	60
- Car Parks	285
- Parks & Open Spaces	20
Other Miscellaneous Changes	(2)
Controllable Budget Variances	209
Central & Departmental Support	(98)
Asset Charges	(2)
Overall Decrease	109

3.3 The Revenue Outturn of £5,945,113 represents:

- An increase of £740,253 or 14.2% against the Original Budget; and
- An increase of £631,233 or 11.9% against the Revised Budget.

3.4 The table below sets out the main variations between the revised budget and the actual outturn separating capital charges and support service recharges, items which are not controllable. This highlights a decreased spend of (£3K) or (0.1%) on controllable expenditure.

Table 2 – Summary of Controllable / Non-Controllable Budgets

	Original Estimate £'000	Revised Estimate £'000	Actual Outturn £'000	Variance £'000	%
Capital Charges	560	558	1,218	660	118.3
Support Services	1,110	1,012	986	(26)	(2.6)
Non Control Expd	1,670	1,570	2,204	634	40.4
Controllable Expd	3,535	3,744	3,741	(3)	(0.1)
Portfolio Total	5,205	5,314	5,945	631	11.9

A more detailed analysis of controllable and non-controllable expenditure by Programme Area is shown at **Annexe 1B**.

3.5 A detailed analysis of the variances from the revised budget to the outturn is shown in **Annexe 4** but the most significant variances are summarised below:

3.6 **Table 3 - Significant Variances Revised to Outturn 2013/14**

Description	Increase / (Decrease) £'000
Changes to Controllable Budgets :-	
Employees :-	
- Pension Adjustment – see 3.7	124
- Short Term Accumulated Absences – see 3.7	(1)
- Redundancy Costs	2
- Overtime	(14)
- Other Employee Costs	2
Premises :-	
- Energy Costs - Car Parks	(4)
- Parks & Recreation Grounds	(9)
- Repairs & Maint – Parks & Recreation Grds	(14)
- Water & Sewerage - Car Parks	(4)
- Other	(1)
- Grounds Maintenance	(4)
- Other Premises Costs	(2)
Transport :-	
- Car Allowances	(8)
Supplies & Services :-	
- Public Conveniences – Cont.to Market Hall	(21)
- Subscriptions	18
- DCC Refuse Disposal	(24)
- Litter Bins	(7)
- Other Supplies & Services	(2)
Agency :-	
- Refuse Collection Contract	30
- Grounds Maintenance	(18)
Income :-	
- Recycling Credit	(11)
- License Fees	33
- Car Parks	(60)
- Other Fees & Charges	2
Transfer to Earmarked Reserve	(3)

Bad Debts Provision	(7)
Changes to Controllable Budgets	(3)
Change in Support Service Recharges	(26)
Change in Capital Charges	660
Overall Increase	631
Changes to Controllable Budgets excluding :-	
Pension Adjustment	(124)
Accumulated Absences Adjustment	1
Adjusted Overall Increase	508

3.7 In order to comply with accounting standards, the employee accumulated absences listed in the variances at **Annexe 4** must be shown in the revenue accounts. This is only an internal adjustment which is reversed elsewhere in the accounts and therefore has no impact on the level of surplus or reserves available to the Council. Similarly, the over-spend described as 'Pension Adjustment' is an internal accounting adjustment which is matched by an underspend in the Governance Portfolio.

3.8 Recurring Variances – further work will be undertaken by the appropriate budget officers to identify which of the variances are likely to be recurring.

The following information is attached

Annexe 1 Summary by Programme Area

Annexe 2 Detailed by Programme Area and Cost Centre

Annexe 3 Subjective Analysis

Annexe 4 Variations – Revised Budget 2013-14 to Actual 2013-14

Annexe 5 Capital Programme

4.0 CARRY FORWARDS

4.1 **Annexe 6** – Cemeteries and Parks

5.0 CAPITAL OUTTURN

5.1 **Annexe 5** provides a summary of expenditure on capital schemes in the year.

6.0 RECOMMENDATIONS

6.1 That the report be noted.

6.2 That the carry forward request be considered.

7.0 REASON FOR RECOMMENDATIONS

7.1 To enable the portfolio's Revenue Outturn to be included in the Council's overall Statement of Accounts.

**DARRAN WEST – HEAD OF ENVIRONMENT
BARRY DAWSON – HEAD OF FINANCE
H BOWEN – CHIEF EXECUTIVE**

Officer recommendation supported/not supported/modified as below or Executive Member's recommendation/comments if no officer recommendation.



Signed

Executive Member

Date 10.6.14

Reference

Author & Contact Name: Jennifer Kendall Ext 2009

ENVIRONMENT SERVICESREVENUE ACCOUNT FOR YEAR ENDED 31ST MARCH 2014

Programme Area	Original Budget £	Revised Budget £	Actual £	Variance Over/(Under)	
				£	%
Waste Collection & Recycling	1,463,360	1,400,990	1,387,992	(12,998)	(0.9%)
Street Cleaning Total	1,270,320	1,233,280	1,264,455	31,175	2.5%
Bereavement Services	262,850	261,490	263,921	2,431	0.9%
Building Cleaning	15,530	23,470	20,995	(2,475)	(10.5%)
Environmental Protection	509,080	521,550	511,875	(9,675)	(1.9%)
Environmental Administration	(23,030)	(3,010)	749	3,759	(124.9%)
Car Parking	(1,032,180)	(716,790)	(752,414)	(35,624)	5.0%
Licensing	38,650	(13,100)	21,649	34,749	(265.3%)
Food Safety	291,240	284,040	286,704	2,664	0.9%
Parks & Open Spaces	2,409,040	2,321,960	2,939,187	617,227	26.6%
TOTAL NET EXPENDITURE	5,204,860	5,313,880	5,945,113	631,233	11.9%
Less 2012/13 Carry Forward					
Sub - total		<u>5,313,880</u>			
Less 2013/14 Original		<u>(5,204,860)</u>			
		<u>109,020</u>			
Increase\ (Decrease) %		(2.1)			

REVENUE ACCOUNT FOR YEAR ENDED 31ST MARCH 2014

Programme Area	Original Budget	Revised Budget	Actual	Variance Over/(Under)	
	£	£	£	£	%
CONTROLLABLE BUDGETS					
Waste Collection & Recycling	1,285,560	1,229,790	1,223,636	(6,154)	(0.5%)
Street Cleaning Total	1,147,280	1,262,630	1,279,534	16,904	1.3%
Bereavement Services	221,230	224,970	227,468	2,498	1.1%
Environmental Protection	409,600	241,080	240,487	(593)	(0.2%)
Environmental Administration	187,030	227,320	262,483	35,163	15.5%
Car Parking	(1,584,250)	(1,252,200)	(1,294,324)	(42,124)	3.4%
Licensing	(39,230)	(86,530)	(52,751)	33,779	(39.0%)
Food Safety	208,930	200,570	202,859	2,289	1.1%
Parks & Open Spaces	1,698,880	1,696,450	1,651,450	(45,000)	(2.7%)
TOTAL CONTROLLABLE EXPTR.	3,535,030	3,744,080	3,740,842	(3,238)	(0.1%)
NON-CONTROLLABLE BUDGETS - INTERNAL RECHARGES					
Waste Collection & Recycling	177,800	171,200	164,356	(6,844)	(4.0%)
Street Cleaning Total	110,390	(42,330)	(28,061)	14,269	(33.7%)
Bereavement Services	41,620	36,520	36,453	(67)	(0.2%)
Building Cleaning	15,530	23,470	20,995	(2,475)	(10.5%)
Environmental Protection	92,830	273,820	264,733	(9,087)	(3.3%)
Environmental Administration	(210,060)	(230,330)	(261,734)	(31,404)	13.6%
Car Parking	306,090	289,430	295,934	6,504	2.2%
Licensing	77,880	73,430	74,400	970	1.3%
Food Safety	82,310	83,470	83,845	375	0.4%
Parks & Open Spaces	415,740	332,920	335,272	2,352	0.7%
TOTAL INTERNAL RECHARGES	1,110,130	1,011,600	986,193	(25,407)	(2.5%)
NON-CONTROLLABLE BUDGETS - ASSET CHARGES					
Waste Collection & Recycling	0	0	0	0	(0.0%)
Street Cleaning Total	12,650	12,980	12,982	2	0.0%
Environmental Protection	6,650	6,650	6,655	5	0.1%
Car Parking	245,980	245,980	245,976	(4)	(0.0%)
Parks & Open Spaces	294,420	292,590	952,465	659,875	225.5%
TOTAL ASSET CHARGES	559,700	558,200	1,218,078	659,878	118.2%
TOTAL BUDGETS					
Waste Collection & Recycling	1,463,360	1,400,990	1,387,992	(12,998)	(0.9%)
Street Cleaning Total	1,270,320	1,233,280	1,264,455	31,175	2.5%
Bereavement Services	262,850	261,490	263,921	2,431	0.9%
Building Cleaning	15,530	23,470	20,995	(2,475)	(10.5%)
Environmental Protection	509,080	521,550	511,875	(9,675)	(1.9%)
Environmental Administration	(23,030)	(3,010)	749	3,759	(124.9%)
Car Parking	(1,032,180)	(716,790)	(752,414)	(35,624)	5.0%
Licensing	38,650	(13,100)	21,649	34,749	(265.3%)
Food Safety	291,240	284,040	286,704	2,664	0.9%
Parks & Open Spaces	2,409,540	2,321,960	2,939,187	617,227	26.6%
TOTAL BUDGETS	5,204,860	5,313,880	5,945,113	631,233	11.9%

ENVIRONMENTAL SERVICES
REVENUE ACCOUNT FOR YEAR ENDED 31ST MARCH 2014

	Original Budget £	Revised Budget £	Actual £
PROGRAMME AREA			
WASTE COLLECTION & RECYCLING			
Waste Collection & Recycling 0215/0216/0218/0220/0240			
Client Administration - 0263			
Employee Expenses	97,760	135,040	144,299
Premises	6,580	0	0
Transport Related Expenses	5,530	6,250	4,567
Supplies and Services	350,270	352,510	320,370
Contracted Services	1,889,210	1,785,510	1,816,930
Bad Debts Provision	10,000	10,000	7,117
Controllable Income	(1,073,790)	(1,059,520)	(1,069,647)
Net Controllable	1,285,560	1,229,790	1,223,636
Central and Departmental Support	195,850	187,600	181,296
Asset Charges			
Recharge Income	(18,050)	(16,400)	(16,940)
TOTAL WASTE COLLECTION & RECYCLING	1,463,360	1,400,990	1,387,992
PROGRAMME AREA			
STREET CLEANING			
Tidy Streets Enforcement - Cost Centre 0278 (incorporating 0261)			
Employee Expenses	226,920	348,270	378,690
Premises	280	280	0
Transport Related Expenses	16,470	21,580	20,108
Supplies and Services	47,350	35,280	36,131
Controllable Income	(40,200)	(35,100)	(41,180)
Net Controllable	250,820	370,310	393,749
Central and Departmental Support	49,570	89,500	91,486
Recharge Income	0	(191,390)	(178,290)
Asset Charges	12,650	12,980	12,982
NET	313,040	281,400	319,927
Street Cleaning - Cost Centres 0235-0237/0269/0270/0280/0282-0294			
Supplies and Services	20,480	20,480	12,856
Contracted Services	965,100	965,100	966,188
Controllable Income	(89,120)	(93,260)	(93,259)
Net Controllable	896,460	892,320	885,785
Central and Departmental Support	60,820	59,560	58,743
NET	957,280	951,880	944,528
TOTAL STREET CLEANING	1,270,320	1,233,280	1,264,455

ENVIRONMENTAL SERVICES
REVENUE ACCOUNT FOR YEAR ENDED 31ST MARCH 2014

	Original Budget £	Revised Budget £	Actual £
PROGRAMME AREA			
<u>BEREAVEMENT SERVICES</u>			
<u>Cemeteries - 0559</u>			
Employee Expenses	58,430	58,610	62,470
Premises Related Expenses	62,940	66,480	59,135
Transport Related Expenses	2,040	2,000	1,805
Supplies and Services	8,980	8,980	5,495
Contracted Services	209,970	209,970	208,423
Controllable Income	(182,700)	(183,080)	(171,451)
Net Controllable	159,660	162,960	165,877
Central and Departmental Support	34,790	32,300	32,335
NET CEMETERIES	194,450	195,260	198,212
<u>Closed Churchyards - 0561</u>			
Premises Related Expenses	16,010	16,000	15,991
Supplies and Services	0	450	450
Contracted Services	45,560	45,560	45,150
Net Controllable	61,570	62,010	61,591
Central and Departmental Support	6,830	4,220	4,118
NET CLOSED CHURCHYARDS	68,400	66,230	65,709
TOTAL BEREAVEMENT SERVICES	262,850	261,490	263,921
PROGRAMME AREA			
<u>BUILDING CLEANING</u>			
<u>Client Administration - Cost Centre 0271</u>			
Supplies and Services			
Net Controllable	0	0	0
Central and Departmental Support	15,530	23,470	20,995
TOTAL BUILDING CLEANING	15,530	23,470	20,995
PROGRAMME AREA			
<u>ENVIRONMENTAL PROTECTION</u>			
<u>General Admin - Cost Centre 0261 (TF to cost centre 0278)</u>			
Employee Expenses	160,840	0	
Transport Related Expenses	11,040	0	
Supplies and Services	1,650	0	
Controllable Income	0	0	
Net Controllable	173,530	0	0
Central and Departmental Support	21,640	0	
Recharge Income	(195,160)	0	
NET GENERAL ADMINISTRATION	10	0	0
<u>Air, Noise & Env. Management - Cost Centre 0208-0210/0211/0214/0239</u>			
Employee Expenses	36,820	36,940	39,772
Premises	1,150	0	0
Transport Related Expenses	450	450	315
Supplies and Services	40,560	35,860	35,179
Inter Committee Transfers	0	0	0
Controllable Income	(21,000)	(20,500)	(21,487)
Net Controllable	57,980	52,750	53,779
Central and Departmental Support	253,770	258,800	250,325
Asset Charges	550	550	551
NET AIR, NOISE & ENVIRONMENTAL MANAGEMENT	312,300	312,100	304,655

ENVIRONMENTAL SERVICES
REVENUE ACCOUNT FOR YEAR ENDED 31ST MARCH 2014

	Original Budget £	Revised Budget £	Actual £
Public Conveniences - 0213			
Employee Expenses	50,390	36,810	39,138
Premises	61,260	47,120	46,825
Supplies and Services	35,620	35,580	52,972
Contracted Services	31,720	69,720	48,547
Controllable Income	(900)	(900)	(774)
Net Controllable	178,090	188,330	186,708
Central and Departmental Support	12,580	15,020	14,408
Asset Charges	6,100	6,100	6,104
NET PUBLIC CONVENIENCES	196,770	209,450	207,220
TOTAL ENVIRONMENTAL PROTECTION	509,080	521,550	511,875
PROGRAMME AREA			
ENVIRONMENTAL HEALTH OVERHEAD ACCOUNT			
General Administration - Cost Centre 0258			
Employee Expenses	163,460	197,150	219,144
Transport Related Expenses	500	500	539
Supplies and Services	23,070	29,670	42,800
Net Controllable	187,030	227,320	262,483
Central and Departmental Support	108,410	94,780	91,246
Recharge Income	(318,470)	(325,110)	(352,980)
TOTAL GENERAL ADMIN	(23,030)	(3,010)	749
PROGRAMME AREA			
CAR PARKING			
Saltergate MSCP - Cost Centre 0150			
Premises	148,580	148,700	144,812
Supplies and Services	9,820	9,790	9,124
Contracted Services	3,500	3,500	3,366
Controllable Income	(445,950)	(391,950)	(385,113)
Net Controllable	(284,050)	(229,960)	(227,811)
Central and Departmental Support	58,380	58,380	58,380
Asset Charges	21,330	21,330	21,333
NET SALTERGATE MSCP	(204,340)	(150,250)	(148,098)
PROGRAMME AREA			
New Beetwell Street - Cost Centre 0151			
Premises	151,400	147,660	146,956
Supplies and Services	9,900	11,350	14,502
Controllable Income	(394,380)	(337,380)	(350,569)
Inter Committee Transfer	400	400	(87)
Net Controllable	(232,680)	(177,970)	(189,198)
Central and Departmental Support	0	0	0
Asset Charges	123,430	123,430	123,425
NET NEW BEETWELL STREET	(109,250)	(54,540)	(65,773)

ENVIRONMENTAL SERVICES
REVENUE ACCOUNT FOR YEAR ENDED 31ST MARCH 2014

	Original Budget £	Revised Budget £	Actual £
Surface Parking - 0152			
Premises	341,090	355,130	350,269
Transport Related Expenses	9,840	9,600	9,600
Supplies and Services	177,480	211,010	216,188
Contracted Services	17,540	17,540	17,302
Controllable Income	(1,980,530)	(1,841,530)	(1,917,269)
Net Controllable	(1,434,580)	(1,248,250)	(1,323,910)
Central and Departmental Support	127,780	116,760	116,760
Asset Charges	101,220	101,220	101,218
NET SURFACE PARKING	(1,205,580)	(1,030,270)	(1,105,932)
Car Parks Admin - 0153			
Employee Expenses	343,350	365,070	387,563
Premises	24,820	23,140	23,415
Transport Related Expenses	9,980	9,860	10,937
Supplies and Services	17,290	19,290	19,994
Contracted Services	1,620	1,620	1,756
Income	(30,000)	(15,000)	2,930
Net Controllable	367,060	403,980	446,595
Central and Departmental Support	119,930	114,290	120,794
Asset Charges			
NET GENERAL ADMIN	486,990	518,270	567,389
TOTAL CAR PARKS	(1,032,180)	(716,790)	(752,414)
PROGRAMME AREA			
LICENSING			
Licensing - Cost Centres 0244-0250, 0482			
Employee Expenses	179,610	186,400	186,713
Transport Related Expenses	2,570	2,570	2,074
Supplies and Services	41,960	46,100	46,272
Controllable Income	(263,370)	(321,600)	(287,810)
Net Controllable	(39,230)	(86,530)	(52,751)
Central and Departmental Support	245,910	263,440	274,220
Recharge Income	(168,030)	(190,010)	(199,820)
TOTAL LICENSING	38,650	(13,100)	21,649
PROGRAMME AREA			
FOOD SAFETY			
Food Safety - Cost Centres 0200,0202,0204,0259			
Employee Expenses	189,390	182,530	193,765
Transport Related Expenses	10,160	10,160	4,959
Supplies and Services	9,780	10,280	6,357
Contracted Services	1,080	1,080	0
Controllable Income	(1,480)	(3,480)	(2,222)
Net Controllable	208,930	200,570	202,859
Central and Departmental Support	310,810	306,420	308,975
Recharge Income	(228,500)	(222,950)	(225,130)
TOTAL FOOD SAFETY	291,240	284,040	286,704

ENVIRONMENTAL SERVICES
REVENUE ACCOUNT FOR YEAR ENDED 31ST MARCH 2014

	Original Budget £	Revised Budget £	Actual £
PROGRAMME AREA			
PARKS AND OPEN SPACES			
<u>Parks & Recreation Grounds - Cost Centres 0511/0512/0516/0576</u>			
Employee Expenses	175,050	152,630	160,448
Premises	373,790	394,060	372,208
Transport Related Expenses	24,540	23,190	22,791
Supplies and Services	130,100	147,090	149,338
Contracted Services	748,580	729,390	712,437
Controllable Income	(153,500)	(148,850)	(159,011)
Inter Committee Transfers	250	500	(127)
Net Controllable	1,298,810	1,298,010	1,258,084
Central and Departmental Support	223,550	181,480	185,633
Asset Charges	227,970	227,970	900,906
NET PARKS & RECREATION GROUNDS	1,750,330	1,707,460	2,344,623
<u>Woodlands & Amenity Areas - Cost Centres 0514/0517/0518</u>			
Premises	27,820	27,810	27,786
Supplies and Services	29,670	29,670	23,540
Contracted Services	190,180	190,180	190,336
Controllable Income	(17,510)	(10,510)	(10,189)
Net Controllable	230,160	237,150	231,473
Central and Departmental Support	66,680	52,320	51,175
NET WOODLAND & AMENITY AREAS	296,840	289,470	282,648
<u>Grant Aid, Outdoor Recreation - Cost Centre 0519</u>			
Supplies and Services	4,500	4,500	4,500
Net Controllable	4,500	4,500	4,500
NET GRANT AID - OUTDOOR RECREATION	4,500	4,500	4,500
<u>Allotments - Cost Centre 0558</u>			
Premises	5,540	5,540	5,370
Supplies and Services	1,500	1,500	735
Controllable Income	(6,100)	(6,050)	(6,104)
Net Controllable	940	990	1
Central and Departmental Support	16,850	16,070	16,380
NET ALLOTMENTS	17,790	17,060	16,381
<u>Children's Play Areas - Cost Centre 0513</u>			
Premises	12,750	13,710	14,536
Supplies and Services	2,870	2,950	2,883
Contracted Services	154,770	154,770	154,730
Controllable Income	(28,640)	(29,500)	(29,490)
Net Controllable	141,750	141,930	142,659
Central and Departmental Support	56,540	38,770	38,388
Asset Charges	56,520	54,690	41,631
NET PLAY AREAS	254,810	235,390	222,678

ENVIRONMENTAL SERVICES
REVENUE ACCOUNT FOR YEAR ENDED 31ST MARCH 2014

	Original Budget £	Revised Budget £	Actual £
<u>Brighter Chesterfield (Roundabouts/Gateways) - Cost Centre 1443</u>			
Supplies and Services	250	250	189
Contracted Services	20,500	20,000	18,906
Controllable Income	(20,000)	(7,500)	(3,875)
Net Controllable	750	12,750	15,220
Central and Departmental Support	11,330	11,530	11,507
NET BRIGHTER CHESTERFIELD	12,080	24,280	26,727
<u>Chesterfield in Bloom - Cost Centre 0524</u>			
Supplies and Services	8,000	6,230	5,718
Controllable Income	(5,000)	(3,100)	(3,100)
Net Controllable	3,000	3,130	2,618
Central and Departmental Support	12,500	8,600	8,464
NET CHESTERFIELD IN BLOOM	15,500	11,730	11,082
<u>Golf Course - Cost Centre 0515</u>			
Controllable Income	(57,500)	(56,730)	(56,734)
Inter Committee Transfers	500	0	0
Net Controllable	(57,000)	(56,730)	(56,734)
Central and Departmental Support	1,830	440	428
Asset Charges	9,930	9,930	9,928
NET GOLF COURSE	(45,240)	(46,360)	(46,378)
<u>Amenity Maintenance - Cost Centre 0523</u>			
Contracted Services	215,210	215,210	214,117
Controllable Income	(139,240)	(160,490)	(160,488)
Net Controllable	75,970	54,720	53,629
Central and Departmental Support	26,460	23,710	23,297
NET AMENITY MAINTENANCE	102,430	78,430	76,926
TOTAL PARKS & OPEN SPACES	2,409,040	2,321,960	2,939,187
TOTAL ENVIRONMENTAL	5,204,860	5,313,880	5,945,113

ENVIRONMENT SERVICES
SUMMARY SUBJECTIVE ANALYSIS YEAR ENDED 31st MARCH 2014

	Original Budget £	Revised Budget £	Actual £	Variance Over/(Under)	
				£	%
Expenditure					
Employee Expenses	1,682,020	1,699,450	1,812,002	112,552	6.6%
<u>Premises</u>					
Reps. and Maintenance	22,300	28,130	14,504	(13,626)	(48.4%)
Energy	114,230	110,510	96,569	(13,941)	(12.6%)
Rent and Rates	466,340	475,010	474,138	(872)	(0.2%)
Other	631,140	631,980	622,093	(9,887)	(1.6%)
Bad Debts Provision	11,150	10,900	3,860	(7,040)	(64.6%)
Transport Expenses	93,120	86,160	77,693	(8,467)	(9.8%)
<u>Supplies & Services</u>					
Mats. and Equipment	187,250	195,100	201,313	6,213	3.2%
Printing and Stationery	18,500	18,630	15,939	(2,691)	(14.4%)
Commun. & Computing	27,460	36,020	31,772	(4,248)	(11.8%)
Other	737,890	769,070	756,567	(12,503)	(1.6%)
Agency and Contracted Services	4,494,540	4,409,150	4,398,188	(10,962)	(0.2%)
Transfer to Reserves	0	0	3,000	3,000	
Central and Departmental Support	2,038,340	1,957,460	1,959,353	1,893	0.1%
Asset Charges	559,700	558,200	1,218,078	659,878	118.2%
Total Expenditure	11,083,980	10,985,770	11,685,069	699,299	6.4%
Income					
Rents	(71,870)	(62,100)	(59,572)	2,528	(4.1%)
Sales	(4,020)	(4,540)	(8,922)	(4,382)	96.5%
Fees & Charges	(4,144,030)	(3,924,750)	(3,943,565)	(18,815)	0.5%
Other Grants & Reimb.	(730,990)	(734,640)	(754,737)	(20,097)	2.7%
Recharges & Other	(928,210)	(945,860)	(973,160)	(27,300)	2.9%
Total Income	(5,879,120)	(5,671,890)	(5,739,956)	(68,066)	1
NET EXPENDITURE	5,204,860	5,313,880	5,945,113	631,233	11.9%
	0	0	0		

ENVIRONMENTAL SERVICES - VARIANCES REVISED TO ACTUAL 2013/14

Programme Area / Service	Budget Head	Over / (Under) Budget £'000	Carry Fwd £'000	Recurring Over/ (Under) 2013/14
Waste Collection & Recycling	FRS17 Adjustment	10		
	Staffing costs	(1)		
	Car allowances	(2)		
	Refuse collection contract	20		
	Trade wheeled bins	(1)		
	DCC Charge for refuse disposal	(24)		
	Professional fees	(1)		
	Advertising	(2)		
	Publicity	(1)		
	Bad debts provision	(6)		
	Trade waste recharges	13		
	Grants	3		
	Sale of bins	(4)		
	Domestic waste charges	(12)		
Miscellaneous	1			
Total Controllable		(7)	0	
Non-Controllable	Internal Recharges	(6)		
	Asset Charges, mainly revaluation losses	0		
TOTAL WASTE COLLECTION & RECYCLING		(13)		
Street Cleaning	FRS17 Adjustment	28		
	Redundancy pay	2		
	Car allowances	(2)		
	Contribution to renewals fund	4		
	Supplies and Services	(4)		
	Publicity	(3)		
	Fees & charges	(1)		
	Fixed Penalty Notices	(5)		
Miscellaneous	(2)			
Total Controllable		17	0	
Non-Controllable	Internal Recharges	14		
	Asset Charges	0		
TOTAL STREET CLEANING		31		
Cemeteries and Closed Churchyards	Pension current service costs adj, offset in Governance portfolio	4		✓
	Special Projects	(5)	5	
	Memorial Safety work	(3)		
	Supplies and Services	(3)		
	Grounds Maintenance recharges	(2)		
Income	11			
Total Controllable		2	5	
Non-Controllable	Internal Recharges	0		
TOTAL BEREAVEMENT SERVICES		2		
Non Controllable	Internal Recharges	(2)		
TOTAL BUILDING CLEANING		(2)		
Environmental Management	FRS17 Adjustment	3		
	Supplies & services	(2)		
Public Conveniences	FRS17 Adjustment	2		
	Cont. to Market Hall	(21)		
	Equipment	20		
	Partnership expenses	(2)		
Total Controllable		0	0	
Non Controllable	Internal Recharges	(10)		
Rechargeable Income	Asset Charges	0		
TOTAL ENVIRONMENTAL PROTECTION		(10)		

ENVIRONMENTAL SERVICES - VARIANCES REVISED TO ACTUAL 2013/14

Programme Area / Service	Budget Head	Over / (Under) Budget £'000	Carry Fwd £'000	Recurring Over/ (Under) 2013/14
General Administration	FRS17 Adjustment	17		
	Agency	2		
	Short term accumulated absences	4		
	Staff costs	(1)		
	Subscriptions	14		
	Miscellaneous	(1)		
Total Controllable		35	0	
Non Controllable	Internal Recharges	(31)		
TOTAL GENERAL ADMINISTRATION		4		
Car Parking	FRS17 Adjustment	22		
	Energy costs	(10)		
	Car park barriers & equipment	10		
	Derbyshire C.C. - CPE Account	18		
	Saltergate MSCP fees & charges	7		
	New Beetwell MSCP fees & charges	(11)		
	Surface CP fees & season tickets	(77)		
	Rental Income	(2)		
Miscellaneous	1			
Total Controllable		(42)	0	
Non Controllable	Internal Recharges	7		
Rechargeable Income	Asset Charges, mainly revaluation	0		
TOTAL CAR PARKING		(35)		
Licensing	FRS17 Adjustment	13		
	Overtime	(10)		
	Training course fees	(2)		
	Car Allowances	(1)		
	Advertising	1		
	Software licences	(2)		
	Equipment & tools	(1)		
	Subscriptions	3		
	Licence fees	32		
	Miscellaneous	1		
Total Controllable		34	0	
Non Controllable		1		
TOTAL LICENSING		35		
Food Safety	FRS17 Adjustment	16		
	Short term accumulated absences	(4)		
	Staff costs	(1)		
	Car allowances	(5)		
	Supplies and Services	(3)		
Total Controllable		3	0	
Non Controllable	Internal Recharges	0		
TOTAL FOOD SAFETY		3		
Parks and Recreation Grounds	Pension current service costs adj, offset in Governance portfolio	9		✓
	General Repairs/Grounds Maintenance	(11)	11	
	Energy and Water	(10)		✓
	Supplies and Services (locking/unlocking)	3		
	Grounds Maintenance recharges	(15)	12	
	Building Cleaning recharges	(2)		
	Grant income (HLF)	(10)		
	General/Football income	(5)		
	Lettings income (South Lodge)	4		
net of other variances	(3)			
Woodlands and Amenity Areas	Maintenance costs	(6)		
Brighter Chesterfield	Maintenance costs	(1)		
	Sponsorship income	3		
Amenity Maintenance	Maintenance costs	(1)		
Total Controllable	sub-total	(45)	23	
Non-Controllable	Internal Recharges	2		
	Asset Charges (loss on revaluation, Eastwood Park)	660		
TOTAL PARKS & OPEN SPACES		617		
PORTFOLIO TOTAL		632		
Controllable total		(3)	28	

ENVIRONMENTAL SERVICES - CAPITAL SCHEMES

Code	SCHEME	Gross Cost	Grants & contrib's	Net Cost	pre Apr 13 Actual	Budget 2013/14	Outturn 2013/14	14/15	15/16	16/17
		£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000
8834	Thistle Park	124	95	29	50	0	0	74		
8890	Holmebrook Valley Park Drainage	170	170	0	7	163	110	53		
8870	Eastwood Park	1,353	1,266	87	993	360	355	5		
8828	Grit Storage	31	0	31	4	27	13	14		
8811	Eastwood Park Sport pavillion	336	0	336	0	34	27	309		
8909	Spire Pride Depot Relocation	319	0	319	0	223	244	75		
	Building Maintenance - Replacement IT system	169	0	169	48	103	102	19		
	Parking Services	270	0	270	0	0	0	270		
	Portfolio Totals	2,772	1,531	1,241	1,102	910	851	819	0	0

**ENVIRONMENT 2013/14
CARRY FORWARD REQUESTS**

Service	Budget Head	Reason	Amount (£)		C-fwd Request (£)
Cemeteries 0559	Special Projects 2094	Funding was vired from an underspend elsewhere, for Boythorpe Baby Garden. Expenditure has not been incurred until the first quarter 2014/15.	Revised Actual Balance	5,000 0	5,000
				5,000	
Parks general 0576	Gen Repairs 2100, Gen Grds M/n'ce 2204, Grds M/n'ce 5010	To fund ongoing path resurfacing work, for which there is no specific funding in 2014/15.	Revised Actual Balance	433,860 410,073	23,500
				23,787	
					£28,500

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FOR PUBLICATION

HOUSING GENERAL FUND FINAL ACCOUNTS 2013/14 (H000)

MEETING:	(1) CABINET (2) EXECUTIVE MEMBER FOR HOUSING
DATE:	(1) 17TH JUNE 2014 (2) 6TH JUNE 2014
REPORT BY:	HEAD OF FINANCE HOUSING SERVICE MANAGER – BUSINESS PLANNING & STRATEGY
WARD:	ALL
COMMUNITY FORUM:	ALL
KEY DECISION REFERENCE	400(7)

FOR PUBLICATION

BACKGROUND PAPERS: NONE

1.0 PURPOSE OF REPORT

- 1.1 To report on the Revenue Outturn for 2013/14 and to provide explanations for significant variations from the Revised Estimates approved at Cabinet on 20th December 2013.
- 1.2 To report on the Capital Outturn for the 2013/14.

2.0 RECOMMENDATION

- 2.1 That the report be noted.

3.0 REVENUE OUTTURN

3.1 The revenue outturn for 2013/14 is as follows:-

	<u>£'000</u>
Original Budget	1,702
Revised Budget	1,217
Outturn	1,026

3.2 The Revenue Outturn of £1,026,106 represents:

A reduction of £676,594 or 39.74% against the Original Budget; and a reduction of £191,224 or 15.7% against the Revised Budget.

3.3 The main variations from the Original to the Revised budget (£485k) included:

Significant Variances Original to Revised 2013/14

Description	Increase / (Decrease) £'000
<u>Changes to controllable budgets:</u>	
Employee cost changes - various	(3)
Housing Sub-Regional Work reduced cost	(1)
ASB Costs - increase	3
Venture House Service Charges	6
General Fund Contribution to HRA	3
Supplies & Services	12
Fees & Charges	(1)
Controllable budget changes	19
<u>Changes in non controllable items:</u>	
Change in Asset Charges	(483)
Change in support service recharges	(21)
Overall Decrease	(485)

3.4 The table below sets out the main variations between the revised budget and actual out-turn and highlights an under-spend of £84,046 or 9.9 % on controllable expenditure.

	Original Budget £'000	Revised Budget £'000	Actual Outturn £'000	Variance £'000	%
Capital Charges(net)	789	306	211	(95)	(31.0)
Support Services	80	59	47	(12)	(20.8)
Non Controllable	869	365	258	(107)	(29.3)
Controllable Exp.	833	852	768	(84)	(9.9)
Portfolio Total	1,702	1,217	1,026	(191)	(15.7)

A more detailed analysis of controllable and non controllable expenditure by Programme Area is shown at Annexe 1a and 1b.

The net actual outturn figure for capital charges (£211,000) comprises £787,000 expenditure (Annexe 4) less £576,000 grant.

- 3.5 A detailed analysis of the variances from the revised budget to the outturn is shown in Annexe 2 but the most significant variances are summarised below:-

Significant Variances Revised to Outturn 2013/14	
<u>Description</u>	Overspend / (Underspend) £'000
Reduced Employee Costs	(17)
Pension Cost Adjustment	13
Reduced charges from HRA	(18)
Reduced Homelessness Costs offset by reduced grant in the Summary Revenue Account	(31)
Under-spend on Anti-Social Behaviour service	(4)
Additional Supporting People grant income	(15)
Other income	(8)
Net of all other variances	(4)
Changes to controllable & external budgets *	(84)
Change in Support Service Charges	(12)
Reduction in Capital Charges (net)	(95)
Overall Reduction	(191)
* Overall Controllable Variance excluding the pension adjustment	(97)

3.6 The variances identified above are not expected to recur in future years. Parts of the Homelessness element of the HRA recharge which have underspent are demand led e.g. bed and breakfast costs and income, and hence are not deemed to be potential savings.

3.7 The following information is also attached:-

- Annexe 1 Summary by Programme Area and Subjective Analysis
- Annexe 2 Variations – Revised Budget 2013/14 to Actual 2013/14
- Annexe 3 Carry Forward Requests
- Annexe 4 Housing General Fund Capital Programme

4.0 CARRY FORWARDS

4.1 There have been no carry forward requests. Annexe 3 attached shows a nil return for report completeness.

5.0 CAPITAL OUTTURN

5.1 Annexe 4 provides a summary of expenditure on capital schemes in the year.

6.0 RECOMMENDATION

6.1 That the report be noted.

7.0 REASONS FOR RECOMMENDATION

7.1 To enable the Portfolio's Revenue Outturn to be included in the Council's overall Statement of Accounts.

**A CRAIG – HOUSING SERVICE MANAGER – BUSINESS PLANNING &
STRATEGY**

B DAWSON - HEAD OF FINANCE

Officer recommendation supported/not supported/modified as below or Executive Members' recommendation/comments if no officer recommendation.



Signed

Executive Member

Date 6 June 2014

Consultee Executive Member/Support Member comments (if applicable)/declaration of interests:

Further information on this report can be obtained from
Steven Spencer, Accountancy Services (ext. 5454)

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HOUSING GENERAL FUND
REVENUE ACCOUNT FOR YEAR ENDED 31st MARCH 2014

ANNEXE 1

SUMMARY OF NET EXPENDITURE BY PROGRAMME AREA					
	Original Budget	Revised Budget	Actual	Actual v Revised Over / (Under)	
	£	£	£	£	%
Home Ownership	179,970	17,310	16,376	(934)	(5.4)
Private Sector Housing-ASB costs	5,000	8,000	4,197	(3,803)	(47.5)
Housing Sub-Regional Work	2,500	1,500	1,500	0	0.0
Private Sector Improvements	642,920	323,530	228,663	(94,867)	(29.3)
Home Improvement Agency	132,480	126,710	98,748	(27,962)	(22.1)
Contributions to HRA	617,150	620,120	570,634	(49,486)	(8.0)
Private Housing Admin	122,680	120,160	105,988	(14,172)	(11.8)
Homes & Neighbour. Total	1,702,700	1,217,330	1,026,106	(191,224)	(15.7)

SUBJECTIVE ANALYSIS					
	Original Budget	Revised Budget	Actual	Actual v Revised Over / (Under)	
	£	£	£	£	%
Expenditure:					
Employees	213,580	211,000	207,090	(3,910)	(1.9)
Premises Related	290	6,540	4,854	(1,686)	(25.8)
Transport	11,410	10,820	9,349	(1,471)	(13.6)
Supplies and Services	19,700	129,890	106,173	(23,717)	(18.3)
Agency & Contracted Services	0	0	0	0	0.0
Central/Dept. Support	95,610	73,830	61,699	(12,131)	(16.4)
Customer Service Charges	510	1,370	1,140	(230)	(16.8)
Capital Charges	789,000	305,900	211,083	(94,817)	(31.0)
Contributions to HRA	617,150	620,120	570,634	(49,486)	(8.0)
Bad Debts Provision	0	0	0	0	0.0
Gross Expenditure	1,747,250	1,359,470	1,172,022	(187,448)	(13.8)
Income:					
Fees and Charges	(28,770)	(126,360)	(130,136)	(3,776)	(3.0)
Government Grants	0	0	0	0	(100.0)
Recharges and Other	(15,780)	(15,780)	(15,780)	0	0.0
Total Income	(44,550)	(142,140)	(145,916)	(3,776)	2.7
Net Expenditure	1,702,700	1,217,330	1,026,106	(191,224)	(15.7)

HOUSING GENERAL FUND
REVENUE ACCOUNT FOR YEAR ENDED 31st MARCH 2014

CONTROLLABLE EXPENDITURE BY PROGRAMME AREA					
	Original Budget	Revised Budget	Actual	Actual v Revised Over / (Under)	
	£	£	£	£	%
Home Ownership	1,640	5,960	5,836	(124)	(2.1)
Private Sector Housing-ASB costs	5,000	8,000	4,197	(3,803)	(47.5)
Housing Sub-Regional Work	2,500	1,500	1,500	0	0.0
Private Sector Improvements	0	0	0	0	(100.0)
Home Improvement Agency	87,770	93,010	75,866	(17,144)	(18.4)
Contributions to HRA	617,150	620,120	570,634	(49,486)	(8.0)
Private Housing Admin	119,300	123,420	109,931	(13,489)	(10.9)
Homes & Neighbour. Total	833,360	852,010	767,964	(84,046)	(9.9)
NON - CONTROLLABLE EXPENDITURE - INTERNAL RECHARGES					
	Original Budget	Revised Budget	Actual	Actual v Revised Over / (Under)	
	£	£	£	£	%
Home Ownership	12,330	11,350	10,540	(810)	(7.1)
Private Sector Housing-ASB costs	0	0	0	0	0.0
Housing Sub-Regional Work	0	0	0	0	0.0
Private Sector Improvements	19,920	17,630	17,580	(50)	(0.3)
Home Improvement Agency	44,710	33,700	22,882	(10,818)	(32.1)
Private Housing Admin	3,380	(3,260)	(3,943)	(683)	(21.0)
Homes & Neighbour. Total	80,340	59,420	47,059	(12,361)	(20.8)
NON - CONTROLLABLE EXPENDITURE - CAPITAL CHARGES (net)					
	Original Budget	Revised Budget	Actual	Actual v Revised Over / (Under)	
	£	£	£	£	%
Home Ownership	166,000	0	0	0	0.0
Private Sector Improvements	623,000	305,900	211,083	(94,817)	(31.0)
Homes & Neighbour. Total	789,000	305,900	211,083	(94,817)	(31.0)
Portfolio Total	1,702,700	1,217,330	1,026,106	(191,224)	(15.7)

HOUSING GENERAL FUND
REVENUE ACCOUNTS FOR YEAR ENDED 31st MARCH 2014

	2013/14		
	Original £	Revised £	Actual £
<u>PROGRAMME AREA - HOME OWNERSHIP</u>			
<u>Land Disposal - Cost Centre 0363</u>			
Central and Departmental Support	10,000	10,180	9,440
NET	10,000	10,180	9,440
<u>Housing Act Advances - Cost Centre 0364</u>			
Supplies and Services	1,640	5,960	5,836
Net Controllable	1,640	5,960	5,836
Central and Departmental Support	2,330	1,170	1,100
NET	3,970	7,130	6,936
<u>Local Authority MPS - Cost Centre 0366</u>			
Supplies and Services	0	0	0
Net Controllable	0	0	0
Central and Departmental Support	166,000	0	0
NET	166,000	0	0
NET	179,970	17,310	16,376
<u>PROGRAMME AREA</u> <u>PRIVATE SECTOR HOUSING - ASB COSTS</u> <u>Cost Centre 0365</u>			
Supplies and Services	5,000	8,000	4,197
NET	5,000	8,000	4,197
<u>PROGRAMME AREA - HOUSING SUB-REGIONAL WORK</u>			
<u>Housing Sub-Regional Work - Cost Centre 0368</u>			
Supplies and Services	2,500	1,500	1,500
Controllable Income	0	0	0
Net Controllable	2,500	1,500	1,500
NET	2,500	1,500	1,500
<u>PROGRAMME AREA - PRIVATE SECTOR IMPROVEMENTS</u>			
<u>Improvement Grants - Cost Centre 0367</u>			
Controllable Income	0	0	0
Net Controllable	0	0	0
Central and Departmental Support	19,920	17,630	17,580

	2013/14		
	Original £	Revised £	Actual £
Capital Charges	623,000	305,900	211,083
NET	642,920	323,530	228,663
<u>Green Deal Revenue Project - Cost Centre 0369</u>			
Supplies and Services	0	6,490	5,605
Controllable Income	0	(6,490)	(5,605)
Net Controllable	0	0	0
NET	0	0	0
<u>Decent Homes Revenue Work - Cost Centre 0370</u>			
Supplies & Services	0	90,000	67,686
Controllable Income	0	(90,000)	(67,686)
Net Controllable	0	0	0
NET	0	0	0
NET	642,920	323,530	228,663
<u>PROGRAMME AREA</u> <u>HOME IMPROVEMENT AGENCY</u> <u>Cost Centre 0362</u>			
Employee Expenses	104,350	102,260	99,411
Premises Related Expenses	290	4,000	2,886
Transport Related Expenses	7,470	7,720	6,950
Supplies and Services	2,930	6,300	11,055
Agency & Contracted Services	0	0	0
Controllable Income	(27,270)	(27,270)	(44,436)
Net Controllable	87,770	93,010	75,866
Central and Departmental Support	44,710	33,700	22,882
Recharge Income	0	0	0
NET	132,480	126,710	98,748
<u>PROGRAMME AREA</u> <u>CONTRIBUTION TO HOUSING REVENUE ACCOUNT</u> <u>Cost Centres 0371/0373/0374/0375/0376</u>			
Homelessness	354,650	356,810	310,147
Maintenance of Grassed Areas	166,790	164,080	161,710
Social Services use of Communal Rooms	8,000	8,000	8,000
General Fund use of Community Rooms	8,000	8,000	8,000
Private Sector Initiatives	51,970	50,480	50,170
Tenant Participation	17,670	20,640	20,038
Piper Solos	10,070	12,110	12,569
NET	617,150	620,120	570,634

	2013/14		
	Original £	Revised £	Actual £
<u>PROGRAMME AREA - PRIVATE HOUSING ADMINISTRATION</u>			
<u>Cost Centre 0262</u>			
Employee Expenses	109,230	108,740	107,679
Premises Related Expenditure	0	2,540	1,968
Transport Related Expenses	3,940	3,100	2,399
Supplies and Services	7,630	11,640	6,294
Controllable Income	(1,500)	(2,600)	(8,409)
Net Controllable	119,300	123,420	109,931
Central and Departmental Support	19,160	12,520	11,837
Capital Charges	0	0	0
Recharge Income	(15,780)	(15,780)	(15,780)
NET	122,680	120,160	105,988

HOUSING GENERAL FUND - VARIANCE ANALYSIS 2013/14

Programme Area / Service	Budget Head	Over / (Under) Budget £'000	Carry Fwd Requests £'000	Recurring Over/Under) £'000
Home Ownership	Net change in support services recharges	(1)		
Total Non - Controllable		(1)		
Home Ownership Total		(1)	0	0
Private Sector Hsg-ASB costs	Demand for service difficult to assess	(4)		
Total Controllable		(4)		
Private Sector Hsg-ASB costs Total		(4)	0	0
Improvement Grants	Slippage in the capital programme - Expenditure/grants usage difficult to predict with accuracy as demand-led.	(95)		
Non - Controllable		(95)		
Green Deal Revenue Project	Expenditure lower than anticipated, but offset by grant	1		
	Grant income lower than anticipated due to lower spend	(1)		
Total Controllable		0	0	
Decent Homes Revenue Work	Expenditure lower than anticipated, but offset by grant	22		
	Grant income lower than anticipated due to lower spend	(22)		
Total Controllable		0		
Private Sector Improvements Total		(95)	0	0
Home Improve. Agency	Effect of net short term accumulated balances offset by a corresponding adjustment elsewhere in the accounts	(9)		
-do-	Increase in Employers Superannuation Contribution	6		
-do-	Premises costs at Venture House lower than forecast	(1)		
-do-	Reduced costs of car allowances	(1)		
-do-	Cost of supplies & services higher than estimated	5		
-do-	Increased income	(17)		
Sub-total Controllable		(17)		
Non - Controllable	net reduction in support service charges	(11)		
Home Improvement Agency Total		(28)	0	0
Contributions to HRA	Reduced homelessness charge	(16)		0
-do-	Homelessness Grant not fully spent but offset by a corresponding overspend on the Council's summary revenue account.	(31)		
-do-	Reduced grassed areas maintenance charge	(2)		
Total Controllable		(49)		
General Fund Contributions to HRA Total		(49)	0	0
Private Housing Admin.	Effect of net short term accumulated balances offset by a corresponding adjustment elsewhere in the accounts	(2)		
-do-	Increase in Employers Superannuation Contribution	7		
-do-	Underspend due to staffing changes	(6)		
-do-	Reduced cost of car allowances	(1)		
-do-	Reduced cost of consultancy fees & software licence	(5)		
-do-	Increased income & recharges	(6)		
Sub-total Controllable		(13)		
Non - Controllable	Reduction in support service charges	(1)		
Private Housing Admin. Total		(14)	0	0
Services Total		(191)	0	0

HOUSING GENERAL FUND

CARRY FORWARD REQUESTS 2013/14

Programme Area/Service	Budget Head	Reason	Amount (£)	
			nil	
TOTAL			nil	

HOUSING GEN FUND CAPITAL EXPENDITURE 2013/14

ANNEXE 4

		Revised Scheme Totals			Phasing of Gross Costs					
Code	SCHEME	Gross Cost £'000	Grants & contrib's £'000	Net Cost £'000	pre Apr 13 Actual £'000	2013/14		14/15	15/16	16/17
						Budget £'000	Outturn £'000	Budget £'000	Budget £'000	Budget £'000
8295	Home Repairs Assistance	3,968	100	3,868	2,868	275	157	393	275	275
8790	Private Sector Decent Homes	1,848	2,131	(283)	1,543	203	121	184	0	0
8292	Disabled Facilities Grants	6,396	3,007	3,389	3,981	465	382	733	650	650
8524	Empty Properties	890	718	172	886	4	0	4	0	0
8857	RSL Waterside	594	0	594	0	311	0	594	0	0
8893	Fuel Poverty Project	186	186	0	77	109	127	(18)	0	0
	Portfolio Totals	13,882	6,142	7,740	9,355	1,367	787	1,890	925	925

HOUSING REVENUE ACCOUNT FINAL ACCOUNTS 2013/14 (H000)

MEETING:	1. CABINET 2. EXECUTIVE MEMBER FOR HOUSING
DATE:	1. 17TH JUNE 2014 2. 6TH JUNE 2014
REPORT BY:	HOUSING SERVICE MANAGER – BUSINESS PLANNING & STRATEGY HEAD OF FINANCE
WARD:	ALL
COMMUNITY FORUM:	ALL
KEY DECISION REF.	399

FOR PUBLICATION

BACKGROUND PAPERS: NONE

1.0 **PURPOSE OF REPORT**

- 1.1 To report on the Revenue Outturn for 2013/14 and to provide explanations for significant variations from the Revised Estimates approved by Cabinet on 28th January 2014.
- 1.2 To report the Capital Outturn for the year.

2.0 **RECOMMENDATIONS**

- 2.1 That the report be noted.
- 2.2 That the revenue and capital carry forward requests for £164,740 (paragraph 3.6) and £4,256,310 (paragraph 4.1) respectively, and associated financing be approved.

3.0 **REVENUE OUTTURN**

3.1 The revenue budgets and outturn were as follows:-

	Original Budget £'000	Revised Budget £'000	Actual Outturn £'000
HRA Services (Surplus)/ Deficit	(9,439)	(7,179)	(8,671)
Direct Revenue Financing (DRF)	6,516	6,410	35
Other Appropriations	3,240	3,930	4,417
(Increase)/Decrease in HRA balance	317	3,161	(4,219)
Change on previous column	-	2,844	(7,380)

3.2 The main variations from the Original to the Revised budget £2,844k were:

Variances – Original to Revised Budget	
	£'000
Approved carry forwards	195
Net expenditure increase in Housing Management - General	4
Net expenditure reduction in Housing Management - Special	54
Reduction in dwelling/non-dwelling rents	135
Decrease in interest receivable due to lower interest rate	58
In year growth – Voids (Welfare Reforms)	400
Anticipated increase in Solar Panel income	(40)
Reduced DRF due to revised capital programme	(106)
Provision for Debt Repayment	2,140
Net Miscellaneous	4
Total	2,844

3.3 The Revenue Outturn of £4,219k surplus represents:

- An increase in surplus of £4,536k against the Original Budget; and
- An increase in surplus of £7,380k against the Revised Budget.

3.4 The following information is attached:-

Annexe 1- Housing Revenue Account Summary
 Annexe 1a - Supervision and Management General Expenses
 Annexe 1b - Supervision and Management Special Expenses
 Annexe 1c - General Fund Contributions
 Annexe 2 - Subjective Analysis

Annexe 3 - Variance Analysis, revised budget to outturn

Annexe 4 - Carry Forward Requests

Annexe 5 - HRA capital expenditure 2013/14

- 3.5 A detailed analysis of the variances from the revised budget to the outturn is shown in Annexe 3 but the most significant variances are summarised below:-

Significant Variances Revised to Outturn 2013/14	
<u>Description</u>	Overspend / (Under-spend) £'000
Overall increase in income	(295)
Reduced Supervision & Management – general costs	(172)
Increased Supervision & Management – special costs	28
Reduced Rent, Rates, Taxes & Other Charges	(5)
Under-spend on Repairs and Maintenance	(343)
Bad Debt Provision	(166)
Provision for Accumulated Absences	(52)
Reduced Direct Revenue Financing	(6,375)
Overall Reduction in budget requirement	(7,380)

- 3.6 Housing Services carry forward requests totalling £164,740 have been made, details of which are provided in Annexe 4.

4.0 **CAPITAL OUTTURN**

- 4.1 Annexe 5 provides a summary of expenditure on capital schemes in the year and indicates those schemes that were not finalised during the year (total of £4,256,310). This sum needs approval to be carried forward from 2013/14 into 2014/15 to enable the schemes to be completed.
- 4.2 These schemes have been delayed mainly by procurement issues (further details are shown at Annexe 5). The problems have largely been resolved, with just the sheltered scheme replacement currently being out to tender. It is forecast that the carry forward sum can be fully spent during 2014/15.
- 4.3 The delayed schemes represent almost two-thirds of the total underspend. Ignoring these schemes the underspend on the other programmes is £2,238,183, which is 11.6% of the total budget.

4.4 The overall position is a net under-spend of £6,494,493 (33.8%), comprising an overspend of £172,573 and an underspend of £6,667,066.

5.0 **CAPITAL RECEIPTS**

5.1 The movement on useable capital receipts in the year is summarised in the table below. All useable receipts were used in the year.

	Useable Capital Receipts
	£'000
Balance b/fwd 1 st April	206
Add: Receipts in the year	2,267
Less: Housing receipts "Pooled"	(761)
Less: Applied to finance HRA Cap Expend	(1,283)
Balance C/fwd 31st March	429 *

* The balance of £429k represents the retained "one-for-one" element of RTB receipts.

6.0 **BALANCES**

6.1 The effect of the increased surplus on HRA balances is outlined below:

	Revised Estimates £000	Actual Expenditure £000
Balance at 1st April 2013	(8,276)	(8,276)
Direct Revenue Financing	6,410	35
Other Appropriations	3,930	4,417
(Surplus)/Deficit in year on HRA Services	(7,179)	(8,671)
Balance at 31st March 2014	(5,115)	(12,495)

The high balance at 31st March 2014 results mainly from a significant underspend on the HRA Capital Programme (£6,494k). See paragraphs 4.1 to 4.4 for details.

6.2 If the carry forward requests outlined at paragraphs 3.6 and 4.1 are approved, this would give a final position at 31st March 2014 of £8,074k. Of this balance a significant proportion has been earmarked to support the 2014/15 Housing Capital programme.

7.0 RECOMMENDATIONS

- 7.1 That the report be noted.
- 7.2 That the revenue and capital carry forward requests for £164,740 (paragraph 3.6) and £4,256,310 (paragraph 4.1) respectively, and associated financing be approved.

8.0 REASONS FOR RECOMMENDATIONS

- 8.1 To enable the HRA revenue outturn to be included in the Council's overall Statement of Accounts.
- 8.2 To consider the carry forward requests which will allow for the completion of the revenue and capital schemes which were not finalised during the financial year.

A. CRAIG
HOUSING SERVICE MANAGER – BUSINESS PLANNING & STRATEGY

B. DAWSON
HEAD OF FINANCE

Officer recommendation supported/not supported/modified as below or Executive Member's recommendation/comments if no officer recommendation.



Signed

Executive Member

Date 6 June 2014

Consultee Executive Member/Support Member comments (if applicable)/declaration of interests:

Further information on this report can be obtained from Steven Spencer, Accountancy Services (extension 5454).

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HOUSING REVENUE ACCOUNT 2013/14
STATUTORY HRA OPERATING ACCOUNT
SUMMARY

2012/13 Actual £		2013/14 Original £	2013/14 Revised £	2013/14 Actual £
	INCOME			
(33,867,259)	Rent of Dwellings	(35,261,500)	(35,137,000)	(35,365,151)
(591,054)	Charges for Services & Facilities	(502,340)	(511,000)	(607,145)
(689,788)	Non-Dwelling Rents	(778,290)	(801,790)	(792,398)
(494,141)	Contributions towards Expenditure	(532,160)	(535,130)	(516,386)
(35,642,242)	Total Income	(37,074,290)	(36,984,920)	(37,281,080)
	EXPENDITURE			
4,772,038	Supervision and Management -General	5,339,150	5,343,450	5,171,218
2,252,241	Supervision and Management -Special	2,374,110	2,428,550	2,456,661
163,624	Rent, rates, taxes and other charges	175,450	266,700	261,738
8,238,816	Repairs and Maintenance	8,593,000	9,132,830	8,789,371
(15,377)	Negative HRA Subsidy	0	0	0
6,887,037	Depreciation, Impairment & Revaluation of Fixed Assets	5,895,780	7,357,480	6,817,781
53,946	Debt Management Expenses	59,500	58,260	58,331
252,890	Increase in Bad Debts Provision	245,000	255,000	89,231
22,605,215	Total Expenditure	22,681,990	24,842,270	23,644,331
(13,037,027)	NET COST OF SERVICES per Authority income & Expenditure Account	(14,392,300)	(12,142,650)	(13,636,749)
38,200	HRA share of Corporate & Democratic Core	38,080	25,570	25,084
(12,998,827)	NET COST OF HRA SERVICES	(14,354,220)	(12,117,080)	(13,611,665)
5,606,017	HRA share of interest payable, premiums & discounts	5,513,460	5,478,890	5,479,027
(93,729)	Interest and Investment Income	(98,450)	(40,810)	(39,132)
(509,011)	Share of DLO/DSO surplus	(500,000)	(500,000)	(499,586)
(7,995,550)	(SURPLUS)/DEFICIT IN YEAR on HRA Income & Expenditure	(9,439,210)	(7,179,000)	(8,671,356)
	STATEMENT of MOVEMENT on the HRA BALANCE			
	Increase/(decrease) in HRA balance comprising:			
(7,995,550)	Surplus or deficit on HRA Income & Expenditure Account	(9,439,210)	(7,179,000)	(8,671,356)
4,131,803	Capital Expenditure funded from HRA	6,516,000	6,410,000	34,642
8,484	Transfer to/(from) Reserves	0	0	(52,340)
0	Provision for Debt Repayment	0	2,140,200	2,140,203
1,976,364	Transfer to/(from) Major Repairs Reserve	3,240,000	1,790,000	2,329,814
(1,878,899)	(Increase)/decrease in HRA balance for the Year	316,790	3,161,200	(4,219,037)
(6,396,732)	HRA Balance Bfwd 1st April	(7,572,920)	(8,275,631)	(8,275,631)
0	Growth from Working Balance	0	0	0
(8,275,631)	HRA Balance Cfwd at 31st March	(7,256,130)	(5,114,431)	(12,494,668)

SUPERVISION AND MANAGEMENT EXPENSES

2012/13 Actual £		2013/14 Original £	2013/14 Revised £	2013/14 Actual £
<u>HOUSING SUPERVISION AND MANAGEMENT GENERAL EXPENSES</u>				
<u>Community Housing Department - Cost Centres 0600 to 0604, 0608/0614/0615/0617/0618/0622/0960</u>				
2,248,134	Employee Expenses	2,584,950	2,272,410	2,391,180
460,752	Premises Related Expenses	473,840	594,710	568,811
63,416	Transport Related Expenses	75,830	76,060	54,048
487,714	Supplies and Services	544,120	619,160	561,596
110,326	Agency and Contracted Services	102,290	104,900	102,855
(159,802)	Controllable Income	(156,050)	(148,000)	(152,091)
3,210,540	Net Controllable	3,624,980	3,519,240	3,526,399
1,963,252	Central and Departmental Support	2,158,450	2,271,940	2,092,898
(401,754)	Recharge Income	(444,280)	(447,730)	(448,079)
4,772,038	NET	5,339,150	5,343,450	5,171,218
<u>Rent Collection - Cost Centre 0414</u>				
18,340	Employee Expenses	18,340	18,340	18,340
0	Transport Related Expenses	0	0	0
19,140	Supplies and Services	11,780	38,810	41,192
327,519	Agency and Contracted Services	346,520	348,540	396,672
(209,973)	Controllable Income	(216,510)	(89,840)	(92,636)
155,026	Net Controllable	160,130	315,850	363,568
241,459	Central and Departmental Support	250,240	263,920	268,597
(396,485)	Recharge Income	(410,370)	(579,770)	(632,165)
0	NET	0	0	0
4,772,038	TOTAL - GENERAL EXPENSES	5,339,150	5,343,450	5,171,218

HOUSING REVENUE ACCOUNT 2013/14
SUPERVISION AND MANAGEMENT EXPENSES (CONT'D)

2012/13 Actual £		2013/14 Original £	2013/14 Revised £	2013/14 Actual £
HOUSING SUPERVISION AND MANAGEMENT SPECIAL EXPENSES				
Warden Schemes - Cost Centres 0619/0620/0621/0631/0633				
956,398	Employee Expenses	885,490	980,690	1,094,954
131,917	Premises Related Expenses	76,160	69,150	43,898
58,989	Transport Related Expenses	60,760	52,780	51,784
177,337	Supplies and Services	274,940	258,340	187,165
2,178	Agency and Contracted Services	2,200	4,160	4,165
(385,471)	Controllable Income	(283,610)	(295,070)	(223,343)
941,348	Net Controllable	1,015,940	1,070,050	1,158,623
39,154	Central & Departmental Support	37,280	31,430	38,061
0	Recharge Income	0	0	0
980,502	NET	1,053,220	1,101,480	1,196,684
District/Group Heating Schemes - Cost Centres 0190, 0640-0643/0654-0659/0664-0669				
402,607	Premises Related Expenses	394,550	377,020	324,910
2,942	Supplies and Services	3,060	2,770	3,083
(213,609)	Controllable Income	(201,060)	(157,330)	(140,051)
191,940	Net Controllable	196,550	222,460	187,942
3,424	Central & Departmental Support	4,620	3,540	3,898
(3,424)	Recharge Income	(4,620)	(3,540)	(3,898)
191,940	NET	196,550	222,460	187,942
Maintenance of Grass Areas - Cost Centres 0605/0646/0647/0648/0649				
455,661	Premises Related Expenses	466,870	465,670	460,740
44,000	Agency and Contracted Services	44,110	44,110	44,110
49,650	Central & Departmental Support	53,410	38,580	37,100
(17,494)	Controllable Income	(21,090)	(18,950)	(18,986)
531,817	NET	543,300	529,410	522,964
Common Rooms and Areas - Cost Centres 0650/0652				
31,626	Premises Related Expenses	36,350	34,610	31,101
324	Supplies and Services	4,090	1,090	1,541
4,619	Agency and Contracted Services	4,670	4,670	4,665
(1,719)	Controllable Income	(1,730)	(3,200)	(3,274)
34,850	NET	43,380	37,170	34,033
Homelessness - Cost Centre 0660				
147,813	Employee Expenses	184,950	150,780	161,481
0	Premises Related Expenses	11,950	0	0
529	Transport Related Expenses	900	700	703
37,825	Supplies and Services	53,530	90,200	71,699
835	Agency and Contracted Services	11,410	11,410	1,414
2	Transfer Payments	200	200	4
(6,554)	Controllable Income	(48,260)	(26,830)	(25,382)
180,450	Net Controllable	214,680	226,460	209,919
58,417	Central & Departmental Support	54,980	45,360	45,980
238,867	NET	269,660	271,820	255,899
Other Community Services - Cost Centres 0670/0671/0672/0675				
126,359	Employee Expenses	137,610	127,490	135,680
127,795	Premises Related Expenses	108,060	116,180	107,772
22,403	Transport Related Expenses	22,190	22,950	21,426
1,647	Supplies and Services	4,660	3,300	1,238
(7,079)	Controllable Income	(7,530)	(7,460)	(10,362)
271,125	Net Controllable	264,990	262,460	255,754
3,140	Central & Departmental Support	3,010	3,750	3,385
274,265	NET	268,000	266,210	259,139
2,252,241	TOTAL - SPECIAL EXPENSES	2,374,110	2,428,550	2,456,661

GENERAL FUND CONTRIBUTIONS
Cost Centres Detail 0371/0372/0373/0374/0375/0376/Summary 0695

2012/13 Actual £		2013/14 Original £	2013/14 Revised £	2013/14 Actual £
(238,866)	Homelessness	(269,660)	(271,820)	(255,899)
(162,750)	Maintenance of Grassed Areas	(166,790)	(164,080)	(161,710)
(8,000)	Social Services - Communal Area Use	(8,000)	(8,000)	(8,000)
(8,000)	Community Rooms-General Fund Use	(8,000)	(8,000)	(8,000)
(49,250)	Private Sector Initiatives	(51,970)	(50,480)	(50,170)
(16,341)	Tenant Participation	(17,670)	(20,640)	(20,038)
(10,934)	Careline Charge	(10,070)	(12,110)	(12,569)
(494,141)	NET	(532,160)	(535,130)	(516,386)

HOUSING REVENUE ACCOUNT ACTUALS 2013/14
STATUTORY HRA OPERATING ACCOUNT
SUMMARY SUBJECTIVE ANALYSIS

	Original £	2013/14 Revised £	Actual £
<u>EXPENDITURE</u>			
Employee Expenses	3,811,340	3,549,510	3,801,635
Premises Expenses	10,336,230	11,056,870	10,588,343
Transport Expenses	159,680	152,490	127,961
Supplies and Services	896,180	1,013,870	867,511
Agency Services	511,200	517,790	553,881
Transfer Payments	200	200	4
Bad Debts Provision	245,000	255,000	89,231
Housing Subsidy	0	0	0
Central and Departmental Support	2,600,070	2,684,090	2,515,004
Capital Financing Costs	14,708,740	16,824,830	16,825,156
Direct Revenue Financing	6,516,000	6,410,000	34,642
	39,784,640	42,464,650	35,403,368
<u>INCOME</u>			
Government Grants	0	0	0
Supporting People Grant	(401,000)	(401,000)	(432,245)
Rent	(35,261,500)	(35,137,000)	(35,365,151)
Fees and Charges etc.	(1,815,470)	(1,658,470)	(1,642,443)
Recharges	(859,270)	(1,031,040)	(1,075,122)
Interest	(98,450)	(40,810)	(39,132)
Contribution to/from Reserves	0	0	(52,340)
General Fund Contribution	(532,160)	(535,130)	(516,386)
Transfer from OSD	(500,000)	(500,000)	(499,586)
	(39,467,850)	(39,303,450)	(39,622,405)
			(4,219,037)

HOUSING REVENUE ACCOUNT VARIANCE ANALYSIS

Programme Area / Service	Reason	Over/(Under) Spent £'000	Carry Fwd Requests £'000
Rent of Dwellings	Increase in receipts	(228)	
Charges for Services & Facilities	Increased service charges & Supporting People grant received	(96)	
Non-dwelling rents etc	Reduced income from rent of land and shops	10	
General Fund Contributions	Mainly due to reduction in homelessness bed & breakfast and rough sleeping service costs	19	
INCOME		(295)	0
Supervision & Management - General	Employers Superannuation costs higher than forecast (offset by pension adjustment included in CAC below)	160	
	Salary & Agency costs lower than anticipated	(63)	
	Delay in setting up new Careline Consortium	(50)	50
	Underspend on previously approved growth on IT	(43)	43
	Reduction in net CAC charges (which offset increased superannuation costs)	(180)	
	Other variances -net	4	
Supervision & Management - Special	Maintenance of grassed areas; reduced HRA garden areas and tree/shrub expenditure due to less demand	(6)	
	Wardens; increased costs of employers superannuation, agency labour and CAC offset by reduced spend on supplies and services (mainly winter maintenance).	95	
	District/Group Heating Schemes; Utility bills lower than anticipated offset by reduced income from heating tickets	(35)	
	Homelessness; reduced bed & breakfast, contributions to housing associations and rough sleeping expenditure.	(16)	
	Common Rooms and Areas; reduced utility costs	(3)	
	Other communal services; increased employers superannuation contributions offset by reduced utility costs	(7)	
Rent, Rates, Taxes & Other Charges	Lower than anticipated charges	(5)	
Repairs and maintenance	Planned works; underspend mainly on prior to painting & work managed by non-OSD staff (legionella control & district heating)	(250)	
	Responsive works; underspend due to lower incidence of repairs	(21)	
	Provision of a covered area for disabled persons scooter storage due to delays in the planning process	(72)	72
Direct Revenue Financing	Reduced financing resulting from an under-spend of the original programme used for budgeting purposes and slightly higher capital receipts than forecast	(6,375)	
Transfer to/(from) Reserves	Provision for accumulated absences	(52)	
Bad Debt Provision	Reduction in provision for bad debts due to additional income from STWA in respect of irrecoverables and lower write offs	(166)	
EXPENDITURE		(7,085)	165
Page 127			
GRAND TOTAL		(7,380)	165

**HOUSING REVENUE ACCOUNT 2013/14
CARRY FORWARD REQUESTS**

Programme Area/Service	Budget Head	Reason	Amount (£)		C-fwd Request (£)
Community Housing	Information Technology	Unused Balance of Previously Agreed Growth	Revised	49,740	42,740
			Actual	7,000	
			Balance	42,740	
Community Housing	Supplies & Services	Careline Consortium setting up costs (equipment, consultancy etc)	Revised	50,000	50,000
			Actual	-	
			Balance	50,000	
Repairs and maintenance	Supplies & Services	The provision of a covered area for disabled persons scooter storage	Revised	72,000	72,000
			Actual	-	
			Balance	72,000	
		TOTAL CARRY FORWARD REQUESTS FOR APPROVAL.			164,740

Description	Out-turn 13/14	13/14 Budget	Overspend	Underspend	Carry Over 14/15	Comments/Reasons for Major Underspends
			Against 13/14 Bud	Against 13/14 Bud		
Communal Lighting Replacement	13,386.95	20,000.00		6,613.05	0.00	Budget to be reduced in 14/15 due to consistent underspends.
Fire Risk Assessments	48,200.00	49,000.00		800.00	0.00	
Communal Rising Main (Electricity)	49,958.00	50,000.00		42.00	0.00	
External Wall Insulation	871,483.53	1,688,430.00		816,946.47	0.00	Work held back due to procurement and ECO/Green Deal issues.
Structural Works	43,335.96	80,000.00		36,664.04	0.00	Budget to be reduced in 14/15 due to consistent underspends.
Bacons lane conversion	140,272.15	150,000.00		9,727.85	0.00	
Adaptations	773,855.58	890,000.00		116,144.42	0.00	
Central Heating	3,224,786.69	3,767,000.00		542,213.31	542,210.00	Delays resulting from change over of outgoing and incoming contractors
Door Renewals	98,161.94	100,000.00		1,838.06	0.00	
Community room conversion	1,090.00	177,180.00		176,090.00	176,090.00	Insufficient capacity at OSD
Communal Door/entry system replace	71,132.36	140,000.00		68,867.64	68,870.00	
Kitchens	1,040,035.52	1,000,000.00	40,035.52		0.00	
Bathrooms	983,603.97	1,000,000.00		16,396.03	0.00	
Pointing & Chimneys	32,308.70	320,000.00		287,691.30	0.00	Work held back due to procurement issue with sub-contractor.
Windows	139,998.03	140,000.00		1.97	0.00	
Rewiring incl CO retro programme	1,114,823.59	1,130,000.00		15,176.41	0.00	
Roof Renewal	1,872,130.13	2,793,000.00		920,869.87	920,870.00	Late start on site due to procurement problem. The 2-year programme will spend by 31.3.15.
Wall Insulation/Damp Remedial	24,795.30	50,000.00		25,204.70	0.00	
Neighbourhood Action Plan - Barrow Hill	2,334.00	750,000.00		747,666.00	747,670.00	Consultants now procured for Master Planning.
Sheltered Scheme Replacement	150,219.00	1,369,000.00		1,218,781.00	1,218,780.00	Currently out to tender.
Mobile Office	(4,983.54)	2,850.00		7,833.54	0.00	
Stairlift Replacement	4,747.60	20,000.00		15,252.40	0.00	Budget to be reduced in 14/15 due to consistent underspends.
Smoke Detector Replacement	231,125.02	190,000.00	41,125.02		0.00	
Footpath - Proactive Maintenance	250,218.03	250,000.00	218.03		0.00	
Stock Condition Survey	158,538.00	200,000.00		41,462.00	12,000.00	Garage Survey Outstanding.
Asbestos Surveys	90,000.00	90,000.00			0.00	
Sheltered Scheme - Heaton Court	38,987.22	0.00	38,987.22		0.00	
Sheltered Scheme Demolitions	95,577.00	195,000.00		99,423.00	0.00	Issues with remaining tenant have delayed demolition of Heaton Court.
Estate Environmental	0.00	250,000.00		250,000.00	0.00	Insufficient capacity to develop programme in 13/14.
New Build (Fees)	0.00	0.00		0.00	0.00	
Cat 2 Design/Investigation	0.00	0.00		0.00	0.00	
PRC Survey/Test	29,000.00	35,000.00		6,000.00	0.00	
PRC Programme	0.00	50,000.00		50,000.00	0.00	Insufficient time following survey results to commence programme.
PVC Soffit/Fascia Programme	194,344.06	559,000.00		364,655.94	364,650.00	Runs in parallel with roofing programme.
Gutters & Rainwater Goods	112,654.07	280,000.00		167,345.93	167,350.00	Runs in parallel with roofing programme.
Internal Soil Stacks	142,449.88	150,000.00		7,550.12	0.00	
Fire Safety Sprinkler Systems	81,890.00	82,000.00		110.00	0.00	
Replace CHP	506,417.49	571,000.00		64,582.51	0.00	
Careline - Call Monitoring Equipment	0.00	25,000.00		25,000.00	0.00	
Relocation of Bin Stores	0.00	50,000.00		50,000.00	0.00	Consultation with residents and Planning in progress.
Roof Compartmentation	0.00	15,000.00		15,000.00	0.00	
Green Deal/ECO	0.00	30,000.00		30,000.00	0.00	Procurement of partner in progress.
Demolitions at Court Place & Westwood Avenue	0.00	70,000.00		70,000.00	37,820.00	Decants taking place with 5 properties now empty.
Energy Efficiency Prog - Grangewood	1,400.00	0.00	1,400.00		0.00	
Installation of Solar PV Panels	15,460.00	0.00	15,460.00		0.00	
SKY+ conversion	2,983.30	13,990.00		11,006.70	0.00	
HRA Property Acquisitions	57,120.00	60,000.00		2,880.00	0.00	
Coniston Road Land Drainage Scheme	705.00	0.00	705.00		0.00	
Improvements to Grit Storage Facility	6,439.72	0.00	6,439.72		0.00	
Core Virtual Infrastructure	28,202.42	0.00	28,202.42		0.00	
Unallocated Budget	0.00	381,230.00		381,230.00	0.00	
Total All Schemes	12,739,186.67	19,233,680.00	172,572.93	6,667,066.26	4,256,310.00	

Net Position - (UNDER)/OVER-SPEND (6,494,493.33)

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EXECUTIVE MEMBER FOR GOVERNANCE & ORGANISATIONAL DEVELOPMENT ACCOUNTS 2013/14

MEETING: (1) CABINET
(2) EXECUTIVE MEMBER

DATE: (1) 17th June 2014
(2) 10th June 2014

REPORT BY: HEAD OF BUSINESS TRANSFORMATION
HEAD OF FINANCE
HEAD OF GOVERNANCE

WARD: ALL

COMMUNITY FORUM: ALL

KEY DECISION
REFERENCE: 400(3)

FOR PUBLICATION

BACKGROUND PAPERS: NONE

1.0 PURPOSE OF REPORT

- 1.1 To report on the Revenue Outturn for 2013/14 and to provide explanations for significant variations from the Revised Estimates approved at Cabinet on 18th February 2014.
- 1.2 To report on the Capital Outturn for 2013/14.

2.0 RECOMMENDATION

- 2.1 That the report be noted

3.0 REVENUE OUTTURN

- 3.1 The revenue outturn for 2013/14 is as follows:

	<u>£'000</u>
Original Budget	3,491
Revised Budget	3,656
Outturn	3,156

3.2 The main variations from the Original to the Revised budget (an increase of £165k) are summarised in the table below:

Description	Increase / (Decrease) £'000
<u>Changes to controllable budgets:</u>	
Employee expenses	(81)
Pension cost (added years & shortfalls)	209
Approved Training carry forward	24
Utilities	(17)
Decrease in Premises renewals	(14)
Decrease in Electoral Registration	(15)
Decrease in software licences	(12)
Removal of Community forum allowances	(36)
External Audit fees	(14)
Slippage on Invest to Save bids	21
Slippage on Invest to Save payback	7
Other Minor variations	19
Changes to controllable budget	91
Changes to asset charges	(3)
Change in support service recharges	77
Overall Increase	165

3.3 The Revenue Outturn of £3,156k represents:

- A decrease of £335,106 or 9.6% against the Original Budget; and
- A decrease of £500,116 or 13.7% against the Revised Budget.

3.4 The table below sets out the variations between the revised budget and the actual outturn separating items that are not controllable (Capital Charges and Support Service Recharges). The table highlights an under-spend of £883k or 15.3% on controllable expenditure.

Controllable and Non-Controllable Expenditure

	Original Estimate £'000	Revised Estimate £ '000	Actual Outturn £'000	Variance over / (under) £ '000	%
Capital Charges	134	131	124	(7)	(5.3)%
Support Services	(2,308)	(2,231)	(1,841)	390	(17.5)%
Non Controllable Expenditure	(2,174)	(2,100)	(1,717)	383	(18.2)%
Controllable Expenditure	5,665	5,756	4,873	(883)	(15.3)%
Portfolio Total	3,491	3,656	3,156	(500)	(13.7)%

A more detailed analysis of controllable and non-controllable expenditure by Programme Area is shown at **Annexe 1B**.

- 3.5 A detailed analysis of the variances from the revised budget to the outturn is shown in Annexe 4 but the most significant variances are summarised below:

Variances Revised to Outturn 2013/14	Increase / (Decrease) £'000
Employee expenses	(37)
Pensions adjustment	137
Occupational Health	9
Underspend on Training to be carried forward	(32)
Software	(9)
Pensions & FRS17 adjustment – £321k offset in support service recharges	(927)
Minor Variations	(24)
* Changes to Controllable Budget	(883)
Changes to asset charges	(7)
Change in support service recharges	390
Overall Decrease	(500)

* Changes to controllable excluding pension adjustment (1,020k)

- 3.6 Recurring Variances – There will be a recurring variance on Occupational Health (£9k), this is due to the funding of physiotherapist costs, which will be explained further in the future report for the new Occupational Health contract.

3.7 The following information is attached:

Annexe 1 Summary by Programme Area

Annexe 2 Detailed by Programme Area and Cost Centre

Annexe 3 Subjective Analysis

Annexe 4 Variations – Revised Budget to Actual 2013/14

Annexe 5 Capital Outturn

4.0 CARRY FORWARD REQUESTS

4.1 Carry Forwards – There are no new carry forwards requests in this report but it was agreed previously (18th February) that the unspent balance on the training budget could be carried forward to 2014/15, this equates to £32k, £24k of this is already funded through the Budget Risk Reserve & The Service Improvement Reserve.

5.0 CAPITAL OUTTURN

5.1 **Annexe 5** provides a summary of expenditure on the capital schemes within this portfolio.

6.0 RECOMMENDATION

6.1 That the report be noted.

7.0 REASONS FOR RECOMMENDATION

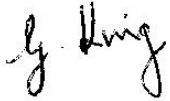
7.1 To enable the portfolios Revenue Outturn to be included in the Council's overall Statement of Accounts.

MARK EVANS – HEAD OF BUSINESS TRANSFORMATION

BARRY DAWSON – HEAD OF FINANCE

SARA GOODWIN – HEAD OF GOVERNANCE

Officer recommendation supported/not supported/modified as below or Executive Member's recommendation/comments if no officer recommendation.



Signed

Executive Member

Date 10.6.14

Consultee Assistant Executive Member comments (if applicable)
/declaration of interests:

Further information on this report can be obtained from
Paula Clayton, Accountancy Services (ext. 5457)

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EXECUTIVE MEMBER FOR GOVERNANCE & ORGANISATIONAL DEVELOPMENT

REVENUE ACCOUNTS FOR YEAR ENDED 31ST MARCH 2014

SUMMARY OF NET EXPENDITURE BY PROGRAMME AREA

Programme Area	Original Budget £	Revised Budget £	Actual £	Variance Over/(Under)	
				£	%
H.R. & Payroll	(4,580)	200	4,666	4,466	2233.0%
Members\Employers Development	4,940	6,290	1,490	(4,800)	(76.3%)
Legal Services	31,620	54,800	85,187	30,387	55.5%
Civic Services & Mayoral	120,110	121,360	105,808	(15,552)	(12.8%)
Servicing of Council Meetings	(4,100)	(160)	18,151	18,311	(11444.4%)
Support Services	49,390	106,240	139,906	33,666	31.7%
Audit Standards	(50)	(20)	(3)	17	(85.0%)
Democratic & Scrutiny	1,327,870	1,349,600	1,304,269	(45,331)	(3.4%)
Election & Electoral Registration	193,890	171,040	166,974	(4,066)	(2.4%)
Emergency Planning	31,370	30,980	30,599	(381)	(1.2%)
ICT	110	6,020	11,638	5,618	93.3%
Corporate Health & Safety	10	(20)	9,096	9,116	(45580.0%)
Procurement	2,500	(10)	2,414	2,424	(24240.0%)
Financial Services	1,157,320	1,275,170	724,724	(550,446)	(43.2%)
Chief Executive	15,690	14,400	27,154	12,754	88.6%
Members	554,160	519,770	528,074	8,304	1.6%
Twinning	13,480	9,400	8,624	(776)	(8.3%)
Concessionary Travel	(3,000)	(9,320)	(13,147)	(3,827)	0.0%
TOTAL NET EXPENDITURE	3,490,730	3,655,740	3,155,624	(500,116)	(13.7%)

ANNEXE 1B

EXECUTIVE MEMBER FOR GOVERNANCE & ORGANISATIONAL DEVELOPMENT

Programme Area	Original	Revised	Actual	Variance	
	Budget	Budget		Over/(Under)	
	£	£	£	£	%

CONTROLLABLE BUDGETS					
H.R. & Payroll	305,720	307,660	317,519	9,859	3.2%
Members\Employers Development	65,090	89,300	57,392	(31,908)	(35.7%)
Legal Services	347,700	360,660	372,249	11,589	3.2%
Civic Services & Mayoral	78,760	82,580	67,699	(14,881)	(18.0%)
Servicing of Council Meetings	232,100	225,490	235,498	10,008	4.4%
Support Services	903,720	899,180	933,517	34,337	3.8%
Audit Standards	158,290	158,290	147,486	(10,804)	(6.8%)
Democratic & Scrutiny	49,280	38,940	38,421	(519)	(1.3%)
Election & Electoral Registration	98,470	83,160	81,390	(1,770)	(2.1%)
Emergency Planning	16,260	16,260	15,960	(300)	(1.8%)
ICT	758,590	751,720	740,539	(11,181)	(1.5%)
Corporate Health & Safety	81,170	85,090	91,623	6,533	7.7%
Procurement	41,190	62,590	71,798	9,208	14.7%
Financial Services	1,912,680	2,025,180	1,115,987	(909,193)	(44.9%)
Chief Executive	159,740	157,320	167,371	10,051	6.4%
Members	448,840	415,300	425,825	10,525	2.5%
Twinning	10,510	6,150	5,413	(737)	(12.0%)
Concessionary Travel	(3,000)	(9,320)	(13,147)	(3,827)	0.0%
TOTAL NET EXPENDITURE	5,665,110	5,755,550	4,872,540	(883,010)	(15.3%)

NON - CONTROLLABLE BUDGETS - INTERNAL RECHARGES					
H.R. & Payroll	(310,300)	(307,460)	(312,853)	(5,393)	1.8%
Members\Employers Development	(60,150)	(83,010)	(55,902)	27,108	(32.7%)
Legal Services	(316,080)	(305,860)	(287,062)	18,798	(6.1%)
Civic Services & Mayoral	41,350	38,780	38,109	(671)	(1.7%)
Servicing of Council Meetings	(236,200)	(225,650)	(217,347)	8,303	(3.7%)
Support Services	(976,170)	(904,780)	(905,357)	(577)	0.1%
Audit Standards	(158,340)	(158,310)	(147,489)	10,821	(6.8%)
Democratic & Scrutiny	1,278,590	1,310,660	1,265,848	(44,812)	(3.4%)
Election & Electoral Registration	95,420	87,880	85,584	(2,296)	(2.6%)
Emergency Planning	15,110	14,720	14,639	(81)	(0.6%)
ICT	(770,830)	(764,950)	(741,249)	23,701	(3.1%)
Corporate Health & Safety	(81,160)	(85,110)	(82,527)	2,583	(3.0%)
Procurement	(38,690)	(62,600)	(69,384)	(6,784)	10.8%
Financial Services	(755,360)	(750,010)	(391,263)	358,747	(47.8%)
Chief Executive	(144,050)	(142,920)	(140,217)	2,703	(1.9%)
Members	105,320	104,470	102,249	(2,221)	(2.1%)
Twinning	2,970	3,250	3,211	(39)	(1.2%)
TOTAL INTERNAL RECHARGES	(2,308,570)	(2,230,900)	(1,841,010)	389,890	(17.5%)

NON - CONTROLLABLE BUDGETS - ASSET CHARGES					
Support Services	121,840	111,840	111,746	(94)	(0.1%)
ICT	12,350	19,250	12,348	(6,902)	(35.9%)
TOTAL ASSET CHARGES	134,190	131,090	124,094	(6,996)	(5.3%)

TOTAL BUDGETS					
H.R. & Payroll	(4,580)	200	4,666	4,466	2233.0%
Members\Employers Development	4,940	6,290	1,490	(4,800)	(76.3%)
Legal Services	31,620	54,800	85,187	30,387	55.5%
Civic Services & Mayoral	120,110	121,360	105,808	(15,552)	(12.8%)
Servicing of Council Meetings	(4,100)	(160)	18,151	18,311	(11444.4%)
Support Services	49,390	106,240	139,906	33,666	31.7%
Audit Standards	(50)	(20)	(3)	17	(85.0%)
Democratic & Scrutiny	1,327,870	1,349,600	1,304,269	(45,331)	(3.4%)
Election & Electoral Registration	193,890	171,040	166,974	(4,066)	(2.4%)
Emergency Planning	31,370	30,980	30,599	(381)	(1.2%)
ICT	110	6,020	11,638	5,618	93.3%
Corporate Health & Safety	10	(20)	9,096	9,116	(45580.0%)
Procurement	2,500	(10)	2,414	2,424	(24240.0%)
Financial Services	1,157,320	1,275,170	724,724	(550,446)	(43.2%)

Chief Executive	15,690	14,400	27,154	12,754	88.6%
Members	554,160	519,770	528,074	8,304	1.6%
Twinning	13,480	9,400	8,624	(776)	(8.3%)
Concessionary Travel	(3,000)	(9,320)	(13,147)	(3,827)	0.0%
TOTAL BUDGETS	3,490,730	3,655,740	3,155,624	(500,116)	(13.7%)

EXECUTIVE MEMBER FOR GOVERNANCE & ORGANISATIONAL DEVELOPMENT
REVENUE ACCOUNTS FOR YEAR ENDED 31ST MARCH 2014

Programme Area	2013/14 Original £	2013/14 Revised £	2013/14 Actual £
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H.R & PAYROLL - 0408/0436/0440			
Supplies and Services	41,210	41,950	52,690
Agency Costs PPP	264,510	265,710	265,393
Controllable Income			(564)
Net Controllable	305,720	307,660	317,519
Central and Departmental Support	59,760	57,850	57,643
Recharge Income	(370,060)	(365,310)	(370,496)
Net	(4,580)	200	4,666

MEMBERS/EMPLOYEE DEVELOPMENT - 0438/0477			
Supplies and Services	10,570	34,530	2,615
Agency Costs PPP	54,520	54,770	54,777
Net Controllable	65,090	89,300	57,392
Central and Departmental Support	24,070	26,180	25,851
Recharge Income	(84,220)	(109,190)	(81,753)
NET	4,940	6,290	1,490

LEGAL SERVICES - 0427/0429/0431/0433			
Employee Expenses	328,290	330,250	336,882
Transport Related Expenses	810	810	867
Supplies and Services	70,300	90,040	89,403
Agency & Contracted Services PPP	64,120	64,380	64,383
Controllable Income	(115,820)	(124,820)	(119,286)
Net Controllable	347,700	360,660	372,249
Central and Departmental Support	151,650	142,800	139,213
Recharge Income	(467,730)	(448,660)	(426,275)
NET	31,620	54,800	85,187

CIVIC SERVICES & MAYORAL - 0421/0422/0428			
Employee Expenses	40,160	38,240	34,191
Premises Related Expenses	4,380	7,400	5,711
Transport Related Expenses	12,460	12,340	10,676
Supplies and Services	22,380	25,220	17,150
Controllable Income	(620)	(620)	(29)
Net Controllable	78,760	82,580	67,699
Central and Departmental Support	41,350	38,780	38,109
NET	120,110	121,360	105,808

EXECUTIVE MEMBER FOR GOVERNANCE & ORGANISATIONAL DEVELOPMENT
REVENUE ACCOUNTS FOR YEAR ENDED 31ST MARCH 2014

Programme Area	2013/14 Original £	2013/14 Revised £	2013/14 Actual £
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SERVICING OF COUNCIL MEETINGS - 0417			
Employee Expenses	216,220	197,720	209,024
Transport Related Expenses	200	200	327
Supplies and Services	15,680	27,570	26,147
Net Controllable	232,100	225,490	235,498
Central and Departmental Support	39,840	27,810	27,597
Recharge Income	(276,040)	(253,460)	(244,944)
NET	(4,100)	(160)	18,151

SUPPORT SERVICES - 0418/0566/0441/0442/0443/0445/0446/0451/0478			
Employee Expenses	324,690	319,070	343,445
Premises Related Expenses	3,240	3,240	2,226
Transport Related Expenses	361,790	333,140	333,735
Supplies and Services	9,350	8,790	24,286
Agency & Contracted Services PPP	323,830	326,180	326,202
Controllable Income	(119,180)	(91,240)	(96,377)
Net Controllable	903,720	899,180	933,517
Central and Departmental Support	176,980	168,030	165,388
Recharge Income	(1,153,150)	(1,072,810)	(1,070,745)
Asset Charges	121,840	111,840	111,746
NET	49,390	106,240	139,906

AUDIT & STANDARDS - 0407			
Supplies and Services	158,290	158,290	147,486
Net Controllable	158,290	158,290	147,486
Recharge Income	(158,340)	(158,310)	(147,489)
NET	(50)	(20)	(3)

OVERVIEW & SCRUTINY - 0432/0437/0483			
Employee Expenses	46,080	35,740	37,755
Transport Related Expenses	200	200	254
Supplies and Services	3,000	3,000	412
Net Controllable	49,280	38,940	38,421
Central and Departmental Support	1,278,590	1,310,660	1,265,848
NET	1,327,870	1,349,600	1,304,269

ELECTIONS & ELECTORAL REGISTRATON - 0425/0426			
Employee Expenses	67,130	51,820	31,688
Transport Related Expenses			223
Supplies and Services	31,840	31,840	50,866
Controllable Income	(500)	(500)	(1,387)
Net Controllable	98,470	83,160	81,390
Central and Departmental Support	95,420	87,880	85,584
NET	193,890	171,040	166,974

EXECUTIVE MEMBER FOR GOVERNANCE & ORGANISATIONAL DEVELOPMENT
REVENUE ACCOUNTS FOR YEAR ENDED 31ST MARCH 2014

Programme Area	2013/14 Original £	2013/14 Revised £	2013/14 Actual £
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EMERGENCY PLANNING - 0449			
Supplies and Services	16,260	16,260	15,960
Net Controllable	16,260	16,260	15,960
Central and Departmental Support	15,110	14,720	14,639
NET	31,370	30,980	30,599

ICT. - 0474			
Supplies and Services	330,100	320,210	309,659
Agency & Contracted Services PPP	428,490	431,510	431,558
Controllable Income			(678)
Net Controllable	758,590	751,720	740,539
Central and Departmental Support	68,130	68,700	68,744
Recharge Income	(838,960)	(833,650)	(809,993)
Asset Charges	12,350	19,250	12,348
NET	110	6,020	11,638

CORPORATE HEALTH & SAFETY - 0430			
Employee Expenses	69,920	68,840	80,154
Transport Related Expenses	2,100	2,100	2,425
Supplies and Services	9,150	14,150	9,044
Net Controllable	81,170	85,090	91,623
Central and Departmental Support	5,660	5,900	5,551
Recharge Income	(86,820)	(91,010)	(88,078)
NET	10	(20)	9,096

PROCUREMENT - Cost Centre 0448			
Employee Expenses			29,042
Supplies & Services	41,190	62,590	42,756
Net Controllable	41,190	62,590	71,798
Central and Departmental Support	3,100	3,000	2898
Recharge Income	(41,790)	(65,600)	(72,282)
Net	2,500	(10)	2,414
Total Procurement	2,500	(10)	2,414

ACCOUNTANCY - 0400, 0401 & 0409			
Employee Expenses	452,570	371,760	399,194
Transport Expenses	900	700	659
Agency & Contracted Services PPP	34,690	33,070	31,195
Supplies and Services	46,440	46,720	46,670
Net Controllable	534,600	452,250	477,718
Central and Departmental Support	108,660	99,450	96,274
Recharge Income	(648,930)	(556,130)	(533,428)
Net	(5,670)	(4,430)	40,564

INSURANCE - 0411			
Employee Expenses	24,280	24,300	26,338
Transport	100	100	21
Supplies and Services	1,750	1,940	977
Net Controllable	26,130	26,340	27,336
Central and Departmental Support	23,160	11,410	11,082
Recharge Income	(47,720)	(47,720)	(36,085)
Net	1,570	(9,970)	2,333

**EXECUTIVE MEMBER FOR GOVERNANCE & ORGANISATIONAL DEVELOPMENT
REVENUE ACCOUNTS FOR YEAR ENDED 31ST MARCH 2014**

Programme Area	2013/14 Original £	2013/14 Revised £	2013/14 Actual £
CORPORATE FINANCIAL EXPENSES & PENSION BACKFUNDING - 0410/0412			
Employee Expenses	1,194,370	1,403,600	476,645
Supplies and Services	133,980	119,610	110,908
Net Controllable	1,328,350	1,523,210	587,553
Central and Departmental Support	(57,960)	(138,800)	180,981
Recharge Income	(132,570)	(118,220)	(110,087)
Net	1,137,820	1,266,190	658,447
Transport Pension - 0472			
Employee Expenses	23,600	23,380	23,380
Net	23,600	23,380	23,380
TOTAL FINANCIAL SERVICES	1,157,320	1,275,170	724,724

CHIEF EXECUTIVE - 0420/0469			
Employee Expenses	134,060	132,120	143,367
Transport Related Expenses	700	700	745
Supplies and Services	24,980	24,500	23,259
Net Controllable	159,740	157,320	167,371
Central and Departmental Support	26,970	25,560	25,179
Recharge Income	(171,020)	(168,480)	(165,396)
NET	15,690	14,400	27,154

MEMBERS - 0423/0424			
Employee Expenses	50,420	50,000	56,498
Transport Related Expenses	4,500	4,500	6,645
Supplies and Services	416,490	383,370	385,981
Controllable Income	(22,570)	(22,570)	(23,299)
Net Controllable	448,840	415,300	425,825
Central and Departmental Support	119,060	118,200	115,767
Recharge Income	(13,740)	(13,730)	(13,518)
NET	554,160	519,770	528,074

Twinning (Cost Centre 0460)			
Employee Expenses	3,510	3,110	3,354
Supplies and Services	7,000	3,040	2,059
Net Controllable	10,510	6,150	5,413
Central and Departmental Support	2,970	3,250	3,211
Net	13,480	9,400	8,624
TOTAL TWINNING	13,480	9,400	8,624

Concessionary Travel (Cost Centre 0473)			
Supplies and Services	500	500	-
Controllable income	(3,500)	(9,820)	(13,147)
Net Controllable	(3,000)	(9,320)	(13,147)
Net	(3,000)	(9,320)	(13,147)
TOTAL CONCESSIONARY TRAVEL	(3,000)	(9,320)	(13,147)

EXECUTIVE MEMBER FOR GOVERNANCE & ORGANISATIONAL DEVELOPMENT**SUMMARY SUBJECTIVE ANALYSIS**

Programme Area	2013/14	2013/14	2013/14	Variance	
	Original £	Probable £	Actual £	Over/(Under) £	%
Employee Expenses	2,975,300	3,071,350	2,230,951	(840,399)	(27.4%)
<u>Premises</u>					
Repair and Maintenance	142,300	128,700	128,700	0	0.0%
Energy	93,980	96,600	97,015	415	0.4%
Rent and Rates	104,560	88,310	87,207	(1,103)	(1.2%)
Other	18,430	26,930	26,524	(406)	(1.5%)
	359,270	340,540	339,446	(1,094)	(0.3%)
Bad Debts Provision	0	0	(256)	(256)	100.0%
Transport Expenses	25,210	24,890	25,069	179	0.7%
<u>Supplies & Services</u>					
Materials and Equipment	2,690	2,640	6,559	3,919	148.4%
Printing and Stationery etc	45,880	43,730	30,582	(13,148)	(30.1%)
Communications and Computing	386,920	396,640	378,422	(18,218)	(4.6%)
Members Allowances	375,620	343,550	342,307	(1,243)	(0.4%)
Charges from Other Local Authorities	196,980	196,980	147,486	(49,494)	(25.1%)
Other	377,520	395,530	437,500	41,970	10.6%
	1,385,610	1,379,070	1,342,856	(36,214)	(2.6%)
Agency and Contracted Services	72,530	72,530	72,530	0	0.0%
Agency and Contracted Services - PPP	1,109,380	1,116,740	1,116,452	(288)	(0.0%)
Central and Departmental Support	2,240,480	2,210,180	2,468,881	258,701	11.7%
Asset Charges	134,190	131,090	124,094	(6,996)	(5.3%)
Total Expenditure	8,301,970	8,346,390	7,720,023	(626,367)	(7.5%)
Rents	(48,180)	(46,240)	(46,179)	61	(0.1%)
Sales	(24,090)	(23,090)	(25,379)	(2,289)	9.9%
Fees & Charges	(189,920)	(180,240)	(182,951)	(2,711)	1.5%
Recharges GF	(3,251,580)	(3,103,410)	(2,991,655)	111,755	(3.6%)
Recharges DSO	(419,260)	(482,310)	(481,668)	642	(0.1%)
Recharges HRA	(648,480)	(618,300)	(620,819)	(2,519)	0.4%
Recharges Other	(229,730)	(237,060)	(215,748)	21,312	(9.0%)
Total Income	(4,811,240)	(4,690,650)	(4,564,399)	126,251	(2.7%)
NET EXPENDITURE	3,490,730	3,655,740	3,155,624	(500,116)	(13.7%)

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EXECUTIVE MEMBER FOR GOVERNANCE & ORGANISATIONAL DEVELOPMENT 2012/13
VARIATIONS REVISED BUDGET 2013/14 TO ACTUAL 2013/14

Programme Area / Service	Budget Head	Over / (Under) Budget £'000	Carry Fwd Requests £'000	Recurring Variance ✓
HR & Payroll	Occupational health Software licences Attachment of earnings income	9 2 (1)		✓
Subtotal Controllable		10		
Non-Controllable	Support Services Recharges	(5)		
HR & Payroll Total		5	0	
Members/Employers Development	Underspend on council training courses Underspend on members training courses	(28) (4)	(28) (4)	
Subtotal Controllable		(32)	(32)	
Non-Controllable	Support Services Recharges	27		
Members/Employers Total		(5)	(32)	
Legal Services	Employee Expenses: Pensions adjustment Redundancy not required Savings on salaries Professional fees Supplies & services Legal fees Books Land charges professional fees Minor variations Land charges income Legal fees	26 (15) (3) (1) (2) 1 4 (2) 4 (1)		
Subtotal Controllable		11		
Non-Controllable	Support Services Recharges	19		
Legal Services Total		30	0	
Civic Services & Mayoral	Employee Expenses: Pensions adjustment Salary savings Garage for Mayors car Running of Mayors car Hospitality Mayors civic regalia Minor variations	2 (6) (2) (2) (3) (2) (2)		
Subtotal Controllable		(15)		
Non-Controllable	Support Services Recharges	(1)		
Civic Services & Mayoral Total		(16)	0	
Servicing of Council Meetings	Employee Expenses: Pensions adjustment Savings on salaries Printing	17 (6) (1)		
Subtotal Controllable		10		
Non-Controllable	Support Services Recharges	8		

EXECUTIVE MEMBER FOR GOVERNANCE & ORGANISATIONAL DEVELOPMENT 2012/13
VARIATIONS REVISED BUDGET 2013/14 TO ACTUAL 2013/14

Programme Area / Service	Budget Head	Over / (Under) Budget £'000	Carry Fwd Requests £'000	Recurring Variance ✓
Servicing of Council Meetings Total		18	0	

EXECUTIVE MEMBER FOR GOVERNANCE & ORGANISATIONAL DEVELOPMENT 2012/13
VARIATIONS REVISED BUDGET 2013/14 TO ACTUAL 2013/14

Programme Area / Service	Budget Head	Over / (Under) Budget £'000	Carry Fwd Requests £'000	Recurring Variance ✓
Support Services	Employee Expenses: Pension adjustment Savings on salaries Transport Council mobile phones contract General equipment Furniture Printing contract refund from Arvato for increase use of Ipads	26 (2) 1 4 3 7 (5)		
Subtotal Controllable		34		
Non-Controllable				
Support Services Total		34	0	
Overview & Scrutiny	Employee Expenses: Pension adjustment Professional services	3 (3)		
Subtotal Controllable		0		
Non-Controllable	Support Services Recharges	(45)		
Overview & Scrutiny Total		(45)	0	
Election & Electoral Registration	Underspend of Registration of Electors	(2)		
Subtotal Controllable		(2)		
Non-Controllable	Support Services Recharges	(2)		
Election & Electoral Registration Total		(4)	0	
ICT	Software	(11)		
Subtotal Controllable		(11)		
Non-Controllable	Support Services Recharges Asset Charges	24 (7)		
ICT Total		6	0	
Corporate Health & Safety	Employee Expenses: Pensions adjustment	6		
Subtotal Controllable		6		
Non-Controllable	Support Services Recharges	3		
Corporate Health & Safety Total		9	0	
Shared Procurement Unit	Employee & agency staff	9		
Subtotal Controllable		9		
Non-Controllable	Support Services Recharges	(7)		
Shared Procurement Unit Total		2	0	

EXECUTIVE MEMBER FOR GOVERNANCE & ORGANISATIONAL DEVELOPMENT 2012/13
VARIATIONS REVISED BUDGET 2013/14 TO ACTUAL 2013/14

Programme Area / Service	Budget Head	Over / (Under) Budget £'000	Carry Fwd Requests £'000	Recurring Variance ✓
Financial Services	Employee Expenses: Pensions adjustment Salary savings PPP contract Minor variations External audit fee Pension shortfalls Other pension savings Balancing figure for FRS17 adj	34 (5) (2) (1) (8) 20 (6) (941)		
Subtotal Controllable		(909)		
Non-Controllable	Support Services Recharges Support Services Recharges (FRS17)	38 321		
Financial Services Total		(550)	0	
Chief Executive	Employees - Pensions adjustment Minor variations	11 (1)		
Subtotal Controllable		10		
Non-Controllable	Support Services Recharges	3		
Chief Executive Total		13	0	
Members	Employees - Pensions adjustment Salary savings Car allowances Telephone & Ipads Minor variations	12 (6) 2 4 (2)		
Subtotal Controllable		10		
Non-Controllable	Support Services Recharges	(2)		
Members Total		8	0	
Twinning	Twinning Expenses	(1)		
Subtotal Controllable		(1)		
Non-Controllable				
Twinning Total		(1)	0	
Concessionary Travel	Income from DCC for Gold cards	(4)		
Subtotal Controllable		(4)		
Non-Controllable				
Concessionary Travel Total		(4)	0	
Portfolio Total		(500)	(32)	

GOVERNANCE PORTFOLIO CAPITAL SCHEMES

Code	SCHEME	Gross Cost	Grants & contrib's	Net Cost	pre Apr 13 Actual	Budget 2013/14	Outturn 2013/14	14/15	15/16	16/17
		£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000
2750	IT Strategy (from IT Reserve)	2,025		2,025	1,388	199	165	180	146	146
2750	ICT Disaster Recovery	69		69		69	69			
2750	IT Strategy - Virtual Infrastructure	110		110		110	110			
8445	Vehicles & Plant (V&P Fund)	3,111		3,111	1,094	363	155	428	1,025	409
	Portfolio Totals	5,315	0	5,315	2,482	741	499	608	1,171	555

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FOR PUBLICATION

**REVIEW OF CODE OF CORPORATE GOVERNANCE AND THE
ANNUAL GOVERNANCE STATEMENT (B000)**

MEETING:	1. EXECUTIVE MEMBER FOR GOVERNANCE AND ORGANISATIONAL DEVELOPMENT 2. CABINET 3. STANDARDS AND AUDIT COMMITTEE
DATE:	1. 4th JUNE 2014 2. 17th JUNE 2014 3. 27th JUNE 2014
REPORT BY:	CORPORATE MANAGEMENT TEAM
WARD:	ALL
COMMUNITY ASSEMBLIES:	ALL

FOR PUBLICATION

BACKGROUND PAPERS FOR PUBLIC REPORTS:

Accounts and Audit (England) Regulations 2011
CIPFA/SOLACE publication – Delivering Good Governance in
Local Government guidance note and framework
CIPFA publication – Delivering good governance in Local
Government Guidance Note for English Authorities and
Addendum 2012 Edition

LOCATION: Internal Audit Office

1.0 **PURPOSE OF REPORT**

- 1.1 To Review compliance with the Code of Corporate Governance requirements during the year 2013/14. The review of the Code of Corporate Governance has been used to provide evidence to support the Annual Governance Statement.
- 1.2 To present for Members consideration the following documents as required by the Accounts and Audit (England) Regulations 2011:
- A review of the key elements of the systems and processes that comprise the Authority's governance and examples and evidence of assurances in support of the authority's Annual Governance Statement
 - An action plan arising from the above assessment
 - An Annual Governance Statement for the Council to accompany the Council's Statement of Accounts for 2013/14.

2.0 **RECOMMENDATIONS**

- 2.1 That the Cabinet consider the following documents and refer any comments to the Standards and Audit Committee:
- a) the Annual Review of the Local Code of Corporate Governance for 2013/14 (Appendix 1)
 - b) the review of the key elements of the systems and processes (Appendix 2);
 - c) the Review of Assurances (Appendix 3);
 - d) the Action Plan (Appendix 4); and
 - e) the Annual Governance Statement (Appendix 5)
- 2.2 That the Standards and Audit Committee:
- a) consider the documents listed in 2.1 above, together with any comments from Cabinet;
 - b) subject to any amendments that they consider appropriate, approve the Annual Governance Statement and Action Plan; &
 - c) recommend that the annual Governance Statement be signed by the Leader and Chief Executive.
- 2.3 That a review of the Code of Corporate Governance be undertaken in 12 months time.
- 2.4 That progress on the Action Plan is monitored by the Corporate Management Team.

3.0 **BACKGROUND**

- 3.1 As good practice and to promote sound governance arrangements local authorities are recommended to adopt and regularly review a Code of Corporate Governance. The Code of Corporate Governance details the system by which the Council controls and directs its functions and how it relates to its local community.
- 3.2 A Code of Corporate Governance was first adopted in 2002 and was revised in 2008 following new guidance issued jointly by SOLACE (Society of Local Authority Chief Executives) and CIPFA (Chartered Institute of Public Finance and Accountancy). The Code of Corporate Governance (Appendix 1) has been revised again following the issue of a further Guidance Note and Addendum in 2012 by CIPFA/SOLACE.
- 3.3 The Annual Governance Statement builds on the annual review of the Code of Corporate Governance. In England, the preparation and publication of an Annual Governance Statement is necessary to meet the statutory requirement set out in Regulation 4(3) of the Accounts and Audit (England) Regulations 2011. The Regulation requires authorities to prepare an Annual Governance Statement in accordance with “proper practices” in relation to internal control. The CIPFA / SOLACE framework, ‘Delivering Good Governance in Local Government’, defines such “proper practices”.
- 3.4 The Annual Governance Statement should be an open and honest self-assessment of the organisation’s performance across all of its activities, with a clear statement of the actions being taken or required to address areas of concern. The CIPFA/SOLACE Framework sets out the following 6 core principles which Authorities should follow:-
- Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area.
 - Members and Officers working together to achieve a common purpose with clearly defined functions and roles.
 - Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour.

- Taking informed and transparent decisions which are subject to effective scrutiny and managing risk
 - Developing the capacity and capability of Members and Officers to be effective.
 - Engaging with local people and other stakeholders to ensure robust public accountability.
- 3.5 The key purposes of the Annual Governance statement is to assess the extent to which the above key principles are in place within an Authority and are adhered to in practice.
- 3.6 Within the Addendum to the revised guidance issued in 2012 by CIPFA/SOLACE is a list of the key elements of the systems and processes that comprise an authority's governance. Appendix 2 of this report reviews the position in Chesterfield Borough Council against the principles set out in the revised guidance.
- 3.7 The review of the key elements of governance (Appendix 2) is supplemented by the review of assurance and evidence at Appendix 3.

4.0 **REVIEW OF COMPLIANCE WITH THE CODE OF CORPORATE GOVERNANCE REQUIREMENTS**

- 4.1 The Review in Appendix 1 shows that compliance with the Code requirements has been achieved during the year 2013/14 for the majority of The Local Code requirements. There was only one area where only partial compliance was achieved (Item 1.1.4 in Appendix 1 – the requirement to publish an Annual Report). It is, however, considered that existing performance monitoring and reporting in respect of the Corporate Plan and Performance indicators largely cover this issue and, therefore, no further action is proposed at this time.

5.0 **THE ANNUAL GOVERNANCE STATEMENT**

- 5.1 The review of compliance with the Code of Corporate Governance (Section 4 above) helps to identify evidence which is then used in the Annual Governance Statement.

- 5.2 The guidance issued by the Chartered Institute of Public Finance and Accountancy (CIPFA) has been used when reviewing the assurances (Appendices 2 and 3) and producing the Annual Governance Statement (Appendix 5).
- 5.3 A Group of Officers has been involved in the review including, the Head of Governance, the Head of Finance, the Head of Business Transformation, the Interim Head of Audit and Policy Manager.
- 5.4 The completion of Appendices 2 and 3 indicate that to a large extent the processes and procedures in place at Chesterfield Borough Council are compliant with good practice.
- 5.5 Where it has been found that there is a gap or an area where the system of internal control could be further improved, the relevant item has been incorporated into an Action Plan shown as Appendix 4. The items in the Action Plan have been ranked, with the more significant issues being included in the Annual Governance Statement (Appendix 5) that will be published with the Council's Statement of Accounts.
- 5.6 It should be noted that the same two significant issues of governance have been raised as were raised in 2012/13. In terms of issue one, the budget situation is an ongoing issue faced by every Council in the country. Processes and systems are in place and are operating however it is an area that needs to be kept under constant review. In terms of issue two, the revised contract procedure rules should be adopted in July 2014 and training for officers will follow on from this.
- 5.7 The Annual Governance Statement (Appendix 5) follows the layout of a pro forma statement recommended by the CIPFA guidance. The Statement should be signed by the Leader of the Council and the Chief Executive.

6.0 **RISK MANAGEMENT AND EQUALITIES**

- 6.1 The failure to operate a sound system of Corporate Governance would represent a significant risk to the Council. The review of the Code of Corporate Governance and the preparation of the Annual Governance Statement demonstrate that the Code of Corporate Governance is operating effectively in the majority of areas and therefore minimises any risk from a failure of corporate governance.

7.0 **EQUALITIES**

7.1 Whilst there are not considered to be any direct equalities impacts in relation to this report, sound corporate governance arrangements will support the achievement of the Council's equalities objectives.

8.0 **RECOMMENDATIONS**

8.1 That the Cabinet consider the following documents and refer any comments to the Standards and Audit Committee:

- f) the Annual Review of the Local Code of Corporate Governance for 2013/14 (Appendix 1)
- g) the review of the key elements of the systems and processes (Appendix 2);
- h) the Review of Assurances (Appendix 3);
- i) the Action Plan (Appendix 4); and
- j) the Annual Governance Statement (Appendix 5)

8.2 That the Standards and Audit Committee:

- d) consider the documents listed in 2.1 above, together with any comments from Cabinet;
- e) subject to any amendments that they consider appropriate, approve the Annual Governance Statement and Action Plan; &
- f) recommend that the annual Governance Statement be signed by the Leader and Chief Executive.

8.3 That a review of the Code of Corporate Governance be undertaken in 12 months time.

8.4 That progress on the Action Plan is monitored by the Corporate Management Team.

9.0 **REASON FOR RECOMMENDATIONS**

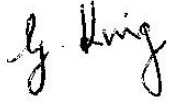
9.1 To enable the Cabinet and the Standards and Audit Committee to monitor compliance with the Code of Corporate Governance.

9.2 In order to comply with the requirements of the Accounts and Audit Regulations 2011.

9.3 To support the maintenance of sound governance arrangements within the Council.

For further information on this report contact Jenny Williams Ext 5468.

Officer recommendation supported / not supported / modified as below
or Executive Member's recommendations / comments if no officer
recommendation

Signed 

Executive Member

Date: 4 June 2014

Assistant Executive Members' comments

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Chesterfield Borough Council Local Code of Corporate Governance – 2013/14 Review

Principle 1	Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area.
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Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
Supporting Principle 1.1 – Exercising strategic leadership by developing and clearly communicating the authority’s purpose and vision and its intended outcome for citizens and service users.					
1.1.1 Page 159	Develop and promote the authority’s purpose and vision	CE / H o S/ Executive Members	<ul style="list-style-type: none"> • Vision used as a basis for corporate and service planning • Community engagement and involvement • Communication strategy in respect of corporate objectives has been developed, approved and implemented. 	<ul style="list-style-type: none"> • Great Place: Great Service was launched to all staff in November 2013. All staff have been invited to join working parties in respect of the key areas the Council wants to focus on. • Corporate Plan and Vision statement updated January 2013 and again January 2014 (approved by Council 27 February 2014), cascaded down through the Performance Management System, managers breakfast seminars and team meetings. • A Peer Challenge review took place in Nov 13 • Service Plans, monthly 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
				performance clinics and regular EPD's	
1.1.2	Review on a regular basis the authority's vision for the local area and its implications for the authority's governance arrangements	CE / H o S / Executive Members	Record the review of: <ul style="list-style-type: none"> • The authority's vision • The governance code 	<ul style="list-style-type: none"> • A new operating model for the council is also being developed by CMT. • Corporate Plan is refreshed annually (latest February 2014). • The Code is formally reviewed on an annual basis as part of the process of preparing the Annual Governance Statement 	Yes
1.1.3	Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all partners	CE / Head of Business Transformation	<ul style="list-style-type: none"> • Partnership protocol including an agreement on the role and scope of each partner's contribution. • Strategic partnership priorities • Partnership arrangements 	<ul style="list-style-type: none"> • The Community Safety Partnership, Joint Board, Derbyshire Health and Wellbeing Board and Waterside are all examples of Partnerships supporting Council Priorities • There is a partnership strategy but this is due for review 	Yes
1.1.4	Publish an annual report on a timely basis to communicate the authority's activities and achievements, its financial position	CE / Head of Business Transformation	<ul style="list-style-type: none"> • Formal annual report which includes key points raised by external scrutineers 	<ul style="list-style-type: none"> • Annual Financial Statements published on website. • Regular reporting / 	Partial

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved	
	and performance		<ul style="list-style-type: none"> and service users' feedback on service delivery • Annual financial statements 	<ul style="list-style-type: none"> monitoring of Corporate Plan and Performance Targets. • In addition to this a council "newspaper" Your Chesterfield is circulated to residents 3 times a year with stories based around updates on progress with corporate priorities. 		
Supporting Principle 1.2 – Ensure that users receive a high quality of service whether directly, or in partnership, or by commissioning.						
Page 161	1.2.1	Decide how the quality of service for users is to be measured and make sure that the information needed to review service quality effectively and regularly is available	Head of Business Transformation	<ul style="list-style-type: none"> • An agreed set of quality standard measures for each service element and included in service plans. • Evidence that views of service users and non-users have been received. • Evidence that views have been taken into account in service planning and delivery 	<ul style="list-style-type: none"> • Vision and Objectives • Service Plans • Periodic surveys through Citizens Panel • Place Survey • Performance Clinics • Corporate Plan performance indicators • Service Specific Surveys • Quality assurance audits are undertaken in some service areas. 	Yes
	1.2.2	Put in place effective arrangements to identify and deal with failure in service delivery.	CE / HoS Supported by Arvato	<ul style="list-style-type: none"> • Regular reports on the progress of service delivery • Performance trends are established and reported 	<ul style="list-style-type: none"> • Customer Services Charter in place. • Complaints, Compliments and Comments system 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
Page 162			upon <ul style="list-style-type: none"> • Formal complaints policy and procedures exist and are operating effectively • Evidence that complaints have informed positive service improvement 	operating. <ul style="list-style-type: none"> • Corrective actions within (QA) Quality Assurance procedures. • Customer Service Strategy adopted by Council 14/12/11. • Heads of Service reporting on service performance at Performance Clinics • Regular reports summarising comments and complaints submitted to Corporate Management Team. 	
Supporting Principle 1.3 – Ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money.					
1.3.1	Decide how value for money is to be measured and make sure that the authority or partnership has the information needed to review value for money and performance effectively. Measure the environmental impact of policies, plans and decisions.	Head of Business Transformation	<ul style="list-style-type: none"> • Clear corporate requirement and instruction on how to measure VFM • Corporate procurement policy and strategy • Comparison of information on the authority's economy, efficiency and effectiveness of services with that provided by 	<ul style="list-style-type: none"> • All employees to undertake lean training some of which has started in 2013/14. • A benefits optimisation tool has been developed by the Business Transformation service and this will help in the preparation of a programme of lean reviews. Target date June 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
Page 163			<p>similar organisations</p> <ul style="list-style-type: none"> • Evidence that the results are reflected in the authority's performance plans and in reviewing the work of the authority. 	<p>2014.</p> <ul style="list-style-type: none"> • Value for Money included as part of Performance Clinics • EMAS (Eco Management and Audit Scheme) • Commenced 'Lean' reviews in some areas. • Undertake benchmarking of services. • Revised Business Transformation Strategy approved in 2012. • Are you being served survey undertaken every 2 years which includes a measure on their perception of VFM. • Benchmarking clubs used e.g Housemark for Housing 	

Appendix 1

Principle 2	Members and officers working together to achieve a common purpose with clearly defined functions and roles
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Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
Supporting Principle 2.1 – Ensuring effective leadership throughout the authority and being clear about executive and non executive functions and the roles and responsibilities of the scrutiny function.					
2.1.1	<p>Set out a clear statement of the respective roles and responsibilities of the executive and of the executive’s members individually and the authority’s approach towards putting this into practice.</p> <p>Set out a clear statement of the respective roles and responsibilities of other authority members, members generally and senior officers.</p>	Head of Governance	<ul style="list-style-type: none"> • Publish job descriptions for the leader of the authority and chief executive • Member / officer protocol • Constitution 	<ul style="list-style-type: none"> • Constitution revised to reflect revised management structure and revisions necessary as a result of the Public Private Partnership. • Constitution Part 3 allocates responsibilities amongst executive members and of the executive as a whole. Each officer report identifies which executive member(s) portfolio(s) the content of the report comes under. The decision is then made individually (by the executive member) or collectively according to the rules in Part 3. Where a function is for an individual member to carry out, he or she may 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
Page 165				<p>at her discretion refer a decision up for collective decision by the executive.</p> <ul style="list-style-type: none"> • Role Profiles for Council Members agreed by Council 14/12/11. • Code of conduct and advice on its use, Planning and licensing Codes of Conduct • Terms of reference of non-executive committees and bodies • Member/Officer protocol: • Management Code (for senior officers) 	
<p>Supporting Principle 2.2 – Ensuring that a constructive working relationship exists between elected members and officers and that the responsibilities of authority members and officers are carried out to a high standard.</p>					
2.2.1	Determine a scheme of delegation and reserve powers within the constitution, including a formal schedule of those matters specifically reserved for collective decision of the authority, taking account of relevant legislation, and ensure that it is monitored and updated when required.	Head of Governance	<ul style="list-style-type: none"> • Scheme of delegation reviewed at least annually in the light of legal and organisational changes • Standing orders and financial regulations which are reviewed on a regular basis 	<ul style="list-style-type: none"> • Constitution Part 3 allocates responsibilities amongst executive members and of the executive as a whole. Each officer report identifies which executive member(s) portfolio(s) the content of the report comes under. The decision is then made 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
Page 166				<p>individually (by the executive member) or collectively according to the rules in Part 3. Where a function is for an individual member to carry out, he or she may at her discretion refer a decision up for collective decision by the executive.</p> <ul style="list-style-type: none"> • The constitution provides for reserve powers in various contexts. • Also in the Constitution are the terms of reference of non-executive committees and other council bodies. • The constitution shows legal references, and is monitored and updated on a continuous basis, as Cabinet and other minutes will show. 	
2..2.2	Make a chief executive or equivalent responsible and accountable to the authority for all aspects of operational management.	Leader / Executive Members	<ul style="list-style-type: none"> • Statutory provisions • Conditions of employment • Up-to-date job description / specification • Appraisal arrangements 	<ul style="list-style-type: none"> • The Chief Executive is the designated Head of Paid Service, with the statutory responsibility for the overall monitoring 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
Page 167			<ul style="list-style-type: none"> • Robust performance management system 	<p>and review of the council's staffing and operation. The performance management system ensures that the Chief Executive is monitored for performance in the delivery of political priorities, which are in turn monitored and measured across all staff.</p> <ul style="list-style-type: none"> • The Performance Management System is objectively assessed through IIP status 	
	2.2.3	Develop protocols to ensure that the leader and chief executive negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained.	CE / Leader / Executive Members	<ul style="list-style-type: none"> • Job descriptions • New chief executive and leader pairing consider how best to establish and maintain effective communication 	<ul style="list-style-type: none"> • From May 2011, the new Leader of the Council and the Chief Executive agreed to appoint East Midlands Councils to conduct a facilitated annual performance appraisal for the Chief Executive. The most recent annual performance appraisal meeting took place on 11 June 2013. At the meeting the Leader of

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
Page 168				<p>the Council and CE reviewed the latter's performance in the financial year 2012/13, discussed their respective roles and relationship, and considered the challenges and opportunities that the Council faces in the short and medium-term. The CE's priority work activities for the financial year 2013/14 were also discussed and agreed. Additional to the annual meeting, the Leader of the Council and the CE hold regular review meetings through the financial year to monitor and discuss progress on the CE's agreed work priorities.</p>	
2.2.4	<p>Make a senior officer (the S151 officer) responsible to the authority for ensuring that appropriate advice is given on all financial matters, for keeping proper</p>	<p>CE / Leader / Executive Members</p>	<ul style="list-style-type: none"> • Section 151 responsibilities • Statutory provision • Up-to-date job description / specification • The authority has complied 	<ul style="list-style-type: none"> • The section 151 officer is appointed and his role is clear and transparent. He has appointed a Deputy. He reports regularly to 	<p style="text-align: center;">Yes</p>

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
Page 189	financial records and accounts, and for maintaining an effective system of internal financial control.		<p>with the <i>CIPFA Statement on the Role of the Chief Financial Officer in Local Government</i> and has reported on it accordingly in its annual governance statement.</p> <ul style="list-style-type: none"> The authority has complied with the <i>CIPFA Statement on the Role of the Head of Internal Audit in Public Service Organisations</i> and has reported on it accordingly in its annual governance statement 	members and to relevant officers through regular diaried and minuted Financial Planning Group meetings. There is close liaison between the Head of the Internal Audit Consortium and the CFO.	
	2.5	Make a senior officer (usually the monitoring officer) responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes and regulations are complied with.	CE / Leader / Executive Members	<ul style="list-style-type: none"> Monitoring officer provisions Statutory provision Up-to-date Job description / specification 	<ul style="list-style-type: none"> The legal services protocol sets detailed procedures for ensuring legal compliance and timely advice when needed. Our Constitution shows relevant legal infrastructure. Regular Corporate Management Team meetings.

Supporting Principle 2.3 – Ensuring relationships between the authority, its partners and the public are clear so that each know what to expect of the other.

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
2.3.1	Develop protocols to ensure effective communication between members and officers in their respective roles.	Head of Governance	<ul style="list-style-type: none"> • Member / Officer protocol 	<ul style="list-style-type: none"> • We have a member/officer protocol. There is regular communication with and involvement of key members for strategic issues. Formal Executive Member meetings (held in private) allow full communication between officers at all levels and executive members on forthcoming Cabinet reports. • The Council's culture encourages informal communication whenever needed. 	Yes
2.3.2	<p>Set out the terms and conditions for remuneration of members and officers and an effective structure for managing the process, including an effective remuneration panel.</p> <p>Ensure that effective mechanisms exist to monitor service delivery.</p>	<p style="text-align: center;">Members remuneration – Head of Governance</p> <p style="text-align: center;">Single status - Arvato / CBC Client Officer</p>	<ul style="list-style-type: none"> • Scheme for members remuneration and allowances • Robust pay and conditions policies and practices for employees • Structured pay scales reflecting competence • Established process for grading and appeals procedures 	<ul style="list-style-type: none"> • Job evaluation maintained. • As well as reporting of external inspections (including reviews of accreditations e.g. IIP), and customer surveys, there is integration of the performance monitoring system, Individual EPD's and Service Plans. 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
Page 171				<ul style="list-style-type: none"> • Role Profiles for all Member's roles agreed by Council 14/12/11 • An Independent Remuneration Panel Protocol agreed by Council 28/09/11 • Recommendations of the Independent Remuneration Panel's review of the members' allowances scheme agreed by Council 11/01/12. • Senior Pay Policy adopted by Council 24/04/13. 	
2.3.3	Ensure that effective mechanisms exist to monitor service delivery.	CE / H o S	<ul style="list-style-type: none"> • Key performance indicators have been established and approved for each service element and included in the service plan and are reported upon regularly • Reports include detailed performance results and highlight areas where corrective action is 	<ul style="list-style-type: none"> • Corporate Plan updated and published during 2013/14. • Performance clinics held with each Head of Service • Performance monitoring reports are presented to Cabinet twice a year. 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
			necessary		
2.3.4	Ensure that the organisation's vision, strategic plans, priorities and targets are developed through robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated	CE / H o S	<ul style="list-style-type: none"> • Business and financial planning processes established to deliver strategic objectives • Protocols for consultation • Statutory guidance is followed 	<ul style="list-style-type: none"> • The Corporate plan was approved at full Council on the 28th February 2013 and the revised plan for 2014/15 was approved on the 27th February 2014. • CBC has a full programme of Community Engagement activity as detailed in the Community Engagement Strategy and Plan. 	Yes
2..3.5	<p>When working in partnership ensure that members are clear about their roles and responsibilities both individually and collectively in relation to the partnership and to the authority.</p> <p>Ensure that there is clarity about the legal status of the partnership</p> <ul style="list-style-type: none"> • Ensure that representatives or organisations both understand 	CE / Head of Business Transformation	<p>Protocols for partnership working mean that for each partnership there is:</p> <ul style="list-style-type: none"> • a clear statement of the partnership principles and objectives • clarity of each partner's role within the partnership • definition of roles of 	<ul style="list-style-type: none"> • Key partnerships substantially satisfy these requirements. • Joint Board Constitution 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
	and make clear to all other partners the extent of their authority to bind their organisation to partner decisions.		<p>partnership board members</p> <ul style="list-style-type: none"> • line management responsibilities for staff who support the partnership • a statement of funding sources for joint projects and clear accountability for proper financial administration • a protocol for dispute resolution within the partnership 		

Appendix 1

Principle 3	Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour.
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Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
Supporting Principle 3.1 – Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance					
Page 17	3.1.1 Ensure that the authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect	CE / H o S Supported by Arvato	<ul style="list-style-type: none"> • Codes of conduct, annual governance statement • Conduct at meetings 	<ul style="list-style-type: none"> • Management competency framework • Leader and Chief Executive "Open Door" sessions • Para. 11 of the protocol on member/officer Relations • IIP Accreditation and Review report 	Yes
17	3.1.2 Ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the authority, its partners and the community are defined and communicated through codes of conduct and protocols	Head of Governance / Arvato	<ul style="list-style-type: none"> • Members' / Officers' code of conduct which acknowledges professional bodies' codes of conduct • Performance appraisal • Complaints procedures • Anti Fraud and anti corruption policies are up to date and working effectively • Induction for new members and staff on standard of behaviour expected 	<ul style="list-style-type: none"> • Codes of Conduct are components of regular members' and employees' induction and other training courses. • The Constitution includes a Members Code of Conduct with the current version being effective from 1/07/12 – after the Localism Act changes to the Standards system took effect. 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
Page 175				<ul style="list-style-type: none"> • Advice is regularly issued to members by the Monitoring officer/standards and audit committee. • The council supplements legal requirements with additional voluntary and non-statutory arrangements such as the register of gifts and hospitality offered to employees and the register of gifts refused by councillors. • The Council has an Anti Fraud, bribery and Corruption Strategy which was refreshed and approved by the Standards and Audit Committee on the 20th September 2013 	
	3.1.3	Put in place arrangements to ensure that members and employees of the authority are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in	Head of Governance	<ul style="list-style-type: none"> • Standing Orders, financial regulations and codes of conduct, all reviewed and updated on a regular basis • Register of Interests (members and staff) 	<ul style="list-style-type: none"> • The council supplements legal requirements (e.g. members' register of gifts and hospitality) with additional voluntary and non-statutory

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
Page 76	place appropriate processes to ensure that they continue to operate in practice		<ul style="list-style-type: none"> • Provision of ethical awareness training • Procedures for dealing with conflicts of interest • Up-to-date register of gifts and hospitality 	<p>arrangements such as the register of gifts and hospitality offered to employees and the register of gifts refused by councillors.</p> <ul style="list-style-type: none"> • As well as ad hoc advice to individual members, Monitoring officer and Standards and Audit Committee issue timely written guidance on salient conduct issues 	
	Supporting Principle 3.2 – Ensuring that organisational values are put into practice and are effective				
3.2.1	Develop and maintain shared values including leadership values for both the organisation and staff reflecting public expectations and communicate these with members, staff, the community and partners	CE / H o S Supported by Arvato	<ul style="list-style-type: none"> • Codes of conduct • Evidence of communicating shared values with members, staff, the community and partners • Whistleblowing arrangements are in place and protect individuals raising concerns 	<ul style="list-style-type: none"> • Core values – in February 2014 the Council refreshed its core values. Staff have been consulted on these. The values have been presented in the Borough bulletin and posters are being produced. • Management competency framework • Vision / Corporate Plan • Protocols on Member / Officer relations. • Leadership Development Training Programme for 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
				CMT <ul style="list-style-type: none"> • Joint Working Protocol • Joint Sustainable Community Strategy • IIP Review Report • Protocol on Service Reviews and TUPE Transfers agreed with local unions 	
3..2.2 Page 177	Put in place arrangements to ensure that systems and processes are designed in conformity with appropriate ethical standards, and monitor their continuing effectiveness in practice.	Head of Governance	<ul style="list-style-type: none"> • Codes of Conduct 	<ul style="list-style-type: none"> • Independent Chair and Vice Chair of Standards and Audit committee • Effective reciprocal system for borrowing independent members / Monitoring Officer from neighbouring authority where necessary for panels and hearings. • From July 2012 the role of independent member and chair of standards (&audit) committee will be replaced, by an elected member. • Constitution and advice to members underpinned by ethical framework • Monitoring Officer/Deputy attend member and officer 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
				meetings at all levels • Induction and refresher training on code of conduct for all members	
3.2.3	Develop and maintain an effective standards committee	Head of Governance	<ul style="list-style-type: none"> • Terms of reference (Constitution) • Regular reporting to full council • Examples of responding to complaints about behaviour 	<ul style="list-style-type: none"> • See Standards Committee minutes. • Training of Standards and Audit Committee members. • Written advice on salient conduct issues sent to all members and put in Constitution 	Yes
3.2.4	Use the organisation's shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships within the authority	Head of Governance & CE / H o S	<ul style="list-style-type: none"> • Decision-making practices • Evidence that shared values have guided the decision making 	<ul style="list-style-type: none"> • Core Values • Constitution Part 2 article 13 "Decision making" • Executive member meetings in preparation for cabinet decisions • Relevant portfolio holder introducing officers' reports at cabinet meetings • Extensive Delegation of appropriate decisions to officers (see Part 3 constitution and minutes) • Cabinet minutes recording gratitude to officers for 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
				specific projects <ul style="list-style-type: none"> • Joint workshops of Executive Members and Heads of Service to discuss major issues. 	
3.2.5	In pursuing the vision of a partnership, agree a set of values against which decision making and actions can be judged. Such values must be demonstrated by partners' behaviour both individually and collectively	CE / Head of Business Transformation	<ul style="list-style-type: none"> • Protocols for partnership working • Evidence of agreed values 	<ul style="list-style-type: none"> • There is a partnership strategy in place although this is due for review. • Relevant Minutes e.g. Joint Board • Service level agreements have been developed 	Yes

Appendix 1

Principle 4	Taking informed and transparent decisions which are subject to effective scrutiny and managing risk.
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Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
Supporting Principle 4.1 – Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny					
4.1.1	Develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the authority's performance overall and that of any organisations for which it is responsible.	Head of Governance and Chairs Overview and Performance Scrutiny Forum & Scrutiny Committees Scrutiny Officer	<ul style="list-style-type: none"> • The role of and responsibility for scrutiny have been established • Agenda and minutes of scrutiny meetings • Evidence of improvements to proposals as a result of scrutiny • An effective internal audit function is resourced and maintained 	<ul style="list-style-type: none"> • Scrutiny Reports and reviews • The annual Scrutiny report was presented to Council 24/04/13. • Partnerships Protocol • Joint Scrutiny Ctte ToR • Derbyshire Scrutiny Liaison Group ToR • Constitution Part 2 - provides for wide participation of non-executive councillors in flexible and responsive review panel arrangements. • New Scrutiny arrangements agreed by Council 14/12/11. 	Yes
4.1.2	Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based.	Head of Governance	<ul style="list-style-type: none"> • Decision – making protocols • Record of decisions and supporting materials • Record of professional advice in reaching decisions 	<ul style="list-style-type: none"> • Constitution - decision-making and access to information provisions. • Electronic committee management system for all formal decisions • Refreshed Report Writing Guide (2010) giving template for relevant decision making 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
				considerations including risk management, equality impact assessment and value for money.	
4.1.3	Put in place arrangements to safeguard members and employees against conflicts of interest and put in place appropriate processes to ensure that they continue to operate in practice.	Head of Governance	<ul style="list-style-type: none"> • Members' and officers' code of conduct which refers to a requirement to declare interests • Minutes showing declarations of interest were sought and appropriate declarations made 	<ul style="list-style-type: none"> • Employees' Code of Conduct requires recording of gifts and hospitality offered and received. Records of these are monitored centrally. • Minutes will show employees' and councillors' declaration of private, personal and prejudicial interests, as advised generally in training and by ad hoc advice. • Constitution (e.g. Cabinet Procedure Rules) provide for members decision making to be transferred in case of confliction • Council Political Groups get initial written advice on likelihood of regular conflicts of interest (arising from a councillor's outside activities), before committee seats are allocated by groups. This advice is refreshed. • Constitution lists specific restrictions on members, apart from the code of conduct (e.g. 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
Page 182				insider dealing, council tax arrears). <ul style="list-style-type: none"> • Committee constitutions reference have statutory and non-statutory exclusions designed to minimise conflict of interest or predisposition in quasi-judicial functions • Protocol on service reviews restricts officers' potential conflicts of interest relating to in-house competitive tendering situations. • Transparency is assisted by members registered interests being accessible through the web site 	
4.1.4	Develop and maintain an effective audit committee (or equivalent) which is independent of the executive and scrutiny functions or make other appropriate arrangements for the discharge of the functions of such a committee.	Head of Governance & Head of Internal Audit Consortium	<ul style="list-style-type: none"> • Terms of reference • Membership • Training for Committee members 	<ul style="list-style-type: none"> • The Standards and Audit committee is set up as independent of the cabinet and of scrutiny. The constitution gives it statutory and non-statutory (CIPFA recommended) audit functions • Members of the committee have been given training in audit matters. 	Yes
4.1.5	Ensure that effective, transparent and accessible arrangements are	Head of Business	<ul style="list-style-type: none"> • Complaints Procedures 	<ul style="list-style-type: none"> • Complaints, Comments and Compliments outcomes 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
	in place for dealing with complaints.	Transformation / Arvato	<ul style="list-style-type: none"> Evidence of changes / improvements as a result of complaints received and acted upon 	regularly reported to the Corporate Management team. <ul style="list-style-type: none"> The system has been improved to facilitate analysis of trends 	
Supporting Principle 4.2 – Having good quality information, advice and support to ensure that services are delivered effectively and are what the community wants / needs					
Page 183	4.2.1 Ensure that those making decisions whether for the authority or the partnership are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of technical and financial issues and their implications.	CE / Heads of Service	<ul style="list-style-type: none"> Discussion between members and officers on the information needs of members to support decision making Agreement on the information that will be provided and timescales Calendar of dates for submitting, publishing and distributing timely reports that are adhered to 	<ul style="list-style-type: none"> See Constitution Part 2 Article 11 for Constitution of Joint Board - Executive member system applies. Prior to Executive Member meetings, reports are tabled for discussion at WBR meetings Plain English guides and training Reports to Members include all the information needed for Members to make decisions. This includes Equality Impact assessments (refreshed report writing template – see above). 	Yes
	4.2.2 Ensure that proper professional advice on matters that have legal or financial implications is available and recorded well in advance of the decision-making and used appropriately.	CE / Heads of Service	<ul style="list-style-type: none"> The authority complies with the <i>CIPFA Statement on the Role of the Chief Financial Officer in Local Government</i> and 	<ul style="list-style-type: none"> The Council has a Chief Financial Officer that is a member of CMT 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
			<ul style="list-style-type: none"> reports accordingly in its annual governance statement • Record of decision making and supporting materials • Meeting reports show details of advice given 	<ul style="list-style-type: none"> • Meetings and decisions are minuted. • Report writing Guide • Legal Services protocol 	
Supporting Principle 4.3 – Ensuring that an effective risk management system is in place					
Page 184	4.3.1 Ensure that risk management is embedded into the culture of the authority, with members and managers at all levels recognising that risk management is part of their jobs.	Head of Finance	<ul style="list-style-type: none"> • Risk management protocol • Risk management strategy / policy has been formally approved and adopted and is reviewed and updated on a regular basis • Financial standards and regulations • Counter- fraud arrangements are in place and operating effectively 	<ul style="list-style-type: none"> • Revised Risk Management Strategy approved by Council 24th July 2013. • Risk Management Group • Risks considered in all Cabinet Reports • Risk Management training • Strategic Risk register reviewed • Service Plans and Performance Management Clinics include regular review of risks. 	Yes
4.9	Ensure that effective arrangements for whistle – blowing are in place to which officers, staff and all those contracting with or appointed by	Arvato	<ul style="list-style-type: none"> • A whistle blowing policy exists and is reviewed on a regular basis 	There is a Confidential Reporting Policy in place that is on the intranet and internet. The policy was brought to staff	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
	the authority have access.		<ul style="list-style-type: none"> The policy has been made available to members of the public, employees, partners and contractors 	attention in the March 2014 Borough Bulletin.	
Supporting Principle 4.4 – Using their legal powers to the full benefit of the citizens and communities in their area					
4.4.1	Actively recognise the limits of lawful activity placed on them by, for example, the ultra vires doctrine but also strive to utilise powers to the full benefit of their communities.	Head of Governance	<ul style="list-style-type: none"> Constitution Monitoring Officer provisions Statutory provision 	<ul style="list-style-type: none"> Constitution is underpinned by legal references This is supported by the Council's Constitution and by the Monitoring Officer, Legal Team and Internal Audit. 	Yes
4.4.2	Recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on local authorities by public law.	Head of Governance	<ul style="list-style-type: none"> Record of legal advice provided by officers 	<ul style="list-style-type: none"> Constitution is underpinned by legal references (e.g. caselaw on decision-making Part 2 Article 13) Planning and Licensing Codes of Conduct 	Yes
4.4.3	Observe all specific legislative requirements placed upon them, as well as the requirements of general law, and in particular to integrate the key principles of good administrative law – rationality, legality and natural justice – into their procedures and decision making processes.	Head of Governance	<ul style="list-style-type: none"> Monitoring Officer provisions Job description / specification Statutory provision. 	<ul style="list-style-type: none"> Constitution : decision-making Part 2 Article 13 Cabinet Procedure Rules, restrictions on committee membership as shown in the constitution and guides to groups when allocating seats (see above) Consultative processes (e.g. 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
				<p>Community Assemblies) precede key decision-making.</p> <ul style="list-style-type: none"> • Detailed practical guides on quasi judicial functions (planning and licensing codes of conduct), and on compliance with general code (e.g. declaring interests at full Council meetings) 	

Appendix 1

Principle 5	Developing the capacity and capability of members and officers to be effective.
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Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
Supporting Principle 5.1 – Making sure that members and officers have the skills, knowledge, experience and resources they need to perform well in their roles					
Page 187	5.1.1 Provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis.	Head of Governance / Arvato	<ul style="list-style-type: none"> • Training and development plan • Induction programme • Access to update courses / information/ briefings on new legislation 	<ul style="list-style-type: none"> • Member development training for councillors based on individual annual PDRs. • EPD (Employee Performance and Development) process identifies training needs • IIP (investors in People) accreditation • CPD (Continuing professional development) needs are met • Induction training for new employees. 	Yes
	5..1.2 Ensure that the statutory officers have the skills, resources and support necessary to perform effectively in their roles and that these roles are properly understood throughout the authority.	CE	<ul style="list-style-type: none"> • Job description / personal specifications • Membership of top management team 	<ul style="list-style-type: none"> • Statutory Officers attending Corporate Management Team , cabinet and other key meetings • Monitoring Officer, CFO and Head of Paid Service have relevant professional qualifications and 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
				experience. <ul style="list-style-type: none"> • Induction and other training communicates these roles through the authority • No adverse audit comments 	
Supporting Principle 5.2 – Developing the capability of people with governance responsibilities and evaluating their performance as individuals and as a group					
Page 188	5.2.1 Assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively.	Members - Head of Governance Officers – CE, and HoS supported by Arvato	<ul style="list-style-type: none"> • Training development plan • Performance reviews of officers and members 	<ul style="list-style-type: none"> • Personal Development Reviews (PDR's) for Councillors. • Member Development & Training programme • Workforce Development Plan • EDP process (see above) 	Yes
5..2.2	Develop skills on a continuing basis to improve performance, including the ability to scrutinise and challenge and to recognise when outside expert advice is needed.	CE, and HoS supported by Arvato	<ul style="list-style-type: none"> • Training and development plan reflects requirements of a modern councillor including: <ul style="list-style-type: none"> - the ability to scrutinise and challenge - the ability to recognise when outside advice is required - advice on how to act as an ambassador for the 	<ul style="list-style-type: none"> • Development Programme for Councillors • Leadership Development Programme for CMT • Ongoing Training programme for Scrutiny 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
			community - leadership and influencing skills		
5.2.3	Ensure that arrangements are in place for reviewing the performance of the executive as a whole and of individual members and agreeing an action plan which might, for example, aim to address any training or development needs.	CE / Heads of Service	<ul style="list-style-type: none"> Performance management system. Staff development plans linked to staff appraisals 	<ul style="list-style-type: none"> Scrutiny Board has reviewed each portfolio holder's performance at special scrutiny board meetings 	Yes
Supporting Principle 5.3 – Encouraging new talent for membership of the authority so that best use can be made of individuals' skills and resources in balancing continuity and renewal					
5.3.1	Ensure that effective arrangements are in place designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority.	Heads of Service	<ul style="list-style-type: none"> Strategic partnership frameworks Stakeholders' forums' terms of reference. Area forums' roles and responsibilities. Residents' panel structure 	<ul style="list-style-type: none"> Community Assemblies have now been established. 	Yes
5.3.2	Ensure that career structures are in place for members and officers to encourage participation and development.	Arvato	<ul style="list-style-type: none"> Succession planning 	<ul style="list-style-type: none"> PDP's for Members. EPD (Employee Performance and Development) process identifies development needs IIP (Investors in People) 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
				accreditation <ul style="list-style-type: none"> • The Workforce Strategy & Action Plan considers emerging issues including succession planning. 	

Appendix 1

Principle 6	Engaging with local people and other stakeholders to ensure robust public accountability.
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Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
Supporting Principle 6.1 – Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships.					
6.1.1	Make clear to themselves, all staff and the community to whom they are accountable and for what	Head of Governance & Head of Business Transformation	<ul style="list-style-type: none"> • Corporate Plan • Community Assembly action plans 	<ul style="list-style-type: none"> • Induction training for members and employees makes clear those accountabilities • Councillors' Democratic Representative role (and Community Forums) make clear these accountabilities to the public • Derbyshire Partnership Forum and Derbyshire Community Legal Services Partnership and DCLS Partnership Strategy) • Petitions Scheme and electronic petitions. • Joint Board (and Protocol) on Joint Working • Sheffield City Region Partnership Arrangements • Derbyshire Partnership Forum. • EPD's • Service Plans and 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
				Performance Clinics	
6.1.2	Consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of the relationships and any changes required.		<ul style="list-style-type: none"> Establish a database of stakeholders with whom the authority should engage and for what purpose and a record of an assessment of the effectiveness of any changes 	<ul style="list-style-type: none"> The Corporate Plan, the MTFP and Service Plans give structured consideration to the views of the Council's key stakeholders 	
6.1.3	Produce an annual report on the activity of the scrutiny function.	Head of Governance	<ul style="list-style-type: none"> Annual Report 	<ul style="list-style-type: none"> Annual Scrutiny Report for 2012/13 submitted to Council 24/4/13. 	Yes
Supporting Principle 6.2 – Taking an active and planned approach to dialogue with and the accountability to the public to ensure effective and appropriate service delivery whether directly by the authority, in partnership or by commissioning.					
6.2.1	Ensure that clear channels of communication are in place with all sections of the community and other stakeholders, including monitoring arrangements and ensure that they operate effectively.	CE / Head of Governance	<ul style="list-style-type: none"> Community Assemblies Tenants participation programme Equality and Diversity forum Range of surveys 	<ul style="list-style-type: none"> A new model for community engagement was developed in 2013 – Community Assemblies. Going forward these will be chaired by the public. Annual Reports from Community Assembly presented to Cabinet. Equalities policies and Equalities Impact Assessments Equality and Diversity annual report 	Yes

Page 192

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
Page 193				<ul style="list-style-type: none"> • The council holds all meetings in public (including Joint Board meetings), subject to the rules on access to information. • Initiatives for engaging with young and old people • Consultation is part of our Equality Impact Assessments • Your Chesterfield the Council's newspaper is sent to residents three times a year • The Council's website and social media channels are used to communicate with the community and stakeholders on a variety of issues. 	
6.2.2	Ensure that arrangements are in place to enable the authority to engage with all sections of the community effectively. These arrangements should recognise that different sections of the community have different priorities and establish explicit processes for		<ul style="list-style-type: none"> • Record of public consultations • Processes for dealing with competing demands within the community 	<ul style="list-style-type: none"> • Community Engagement Strategy 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
	dealing with these competing demands.				
6.2.3	Establish a clear policy on the types of issues they will meaningfully consult on or engage with the public and service users including a feedback mechanism for those consultees to demonstrate what has changed as a result.	CE / Head of Business Transformation	<ul style="list-style-type: none"> Partnership framework Communication strategy 	<ul style="list-style-type: none"> The Council has adopted a Community Engagement Strategy and develops annual action plans. Feedback given on consultation via the CBC website, Community Assemblies and Your Chesterfield where appropriate 	Yes
6.2.4	Publish an annual performance plan giving information on the authority's vision, strategy, plans and financial statements as well as information about its outcomes, achievements and the satisfaction of service users in the previous period.	CE	<ul style="list-style-type: none"> Annual report Annual financial statements Corporate plan Annual business plan 	<ul style="list-style-type: none"> Covered by performance monitoring reports to Cabinet and update of Corporate Plan. 	Yes
6.2.5	Ensure that the authority as a whole is open and accessible to the community, service users and its staff and ensure that it has made a commitment to openness and transparency in all its dealings, including partnerships, subject only to the need to preserve	CE / H o S	<ul style="list-style-type: none"> Constitution Freedom of Information Act publication scheme Council tax leaflet Authority website 	<ul style="list-style-type: none"> Protocol on Service Reviews. Communications Strategy Media Protocol. Joint Board meetings are open to the public Community Forums offer public participation in 	Yes

Appendix 1

Ref.	Code Requirement	Responsibility	Suggested Documents / Evidence to confirm compliance	CBC Situation	Compliance Achieved
	confidentiality in those specific circumstances where it is proper and appropriate to do so.			decision making and consultation <ul style="list-style-type: none"> • Website/Social media • Policy to debate issues on the open agenda wherever possible 	
Supporting Principle 6.3 – Making best use of human resources by taking an active and planned approach to meet responsibilities to staff					
6.3.1 Page 195	Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making.	CE / Arvato	<ul style="list-style-type: none"> • Constitution • Adherence to best practice standards in recruitment and staff terms and conditions 	<ul style="list-style-type: none"> • Policy on representatives facility time • Joint Consultative Committee / Service Consultative Committees. • Protocol on Service Reviews and TUPE agreed with Unions • Protocol on TUPE transfers under joint working agreed with unions. • Joint Board • An Internal Communications Strategy was approved by Cabinet on the 25th March 2014 • Union representation on project steering groups. 	Yes

Notes:

CE Chief Executive
H o S = Heads of Service
WBR = Weekly Business Review Meeting
LSP = Local Strategic Partnership (CHART)
EPD = Employee Performance and Development Interviews

CHESTERFIELD BOROUGH COUNCIL

KEY ELEMENTS OF THE SYSTEMS AND PROCESSES THAT COMPRISE THE COUNCIL'S GOVERNANCE

Key Element	CBC Arrangement
Identifying and communicating the authority's vision of its purpose and intended outcomes for citizens and service users	See Appendix 1 (1.1.1)
Reviewing the authority's vision and its implications for the authority's governance arrangements	See Appendix 1 (1.1.2)
Translating the vision into objectives for the authority and its partnerships	See Appendix 1 (1.1.3)
Measuring the quality of services for users, for ensuring they are delivered in accordance with the authority's objectives and for ensuring that they represent the best use of resources and value for money	See Appendix 1 (1.2.1, 1.3.1)
Defining and documenting the roles and responsibilities of the executive, non executive, scrutiny and officer functions, with clear delegation arrangements and protocols for effective communication in respect of the authority and partnership arrangements	See Appendix 1(2.1.1)
Developing, communicating and embedding codes of conduct, defining the standards of behaviour for members and staff	See Appendix 1 (3.1)
Reviewing the effectiveness of the authority's decision-making framework, including delegation arrangements, decision making in partnerships and robustness of data quality	See Appendix 1 (2.1,2.2)
Reviewing the effectiveness of the framework for identifying and managing risks and demonstrating clear accountability	See Appendix 1 (4.3)
Ensuring effective counter-fraud and anti-corruption arrangements are developed and maintained	See Appendix 1 (3.1.2)
Ensuring effective management of change and transformation	There is a suitably qualified Business Transformation team
Ensuring the authority's financial management arrangements conform with the governance requirements of the CIPFA Statement on the Role of the Chief Financial	The Council has in place an experienced qualified accountant as Chief Financial Officer and

Officer in Local Government (2010) and, where they do not, explain why and how they deliver the same impact	complies with the requirements of the CIPFA statement See Appendix 1 (2.24)
Ensuring the authority's assurance arrangements conform with the governance requirements of the CIPFA Statement on the Role of the Head of Internal Audit (2010) and, where they do not, explain why and how they deliver the same impact	The Council is fully compliant with a qualified Head of Internal Audit and sufficient resources to deliver the audit plan. See Appendix 1 (2.2.4)
Ensuring effective arrangements are in place for the discharge of the monitoring officer function	See Appendix 1 (4.4)
Ensuring effective arrangements are in place for the discharge of the head of paid service function	See Appendix 1 (2.2.2)
Undertaking the core functions of an audit committee, as identified in CIPFA's Audit Committees :Practical Guidance to Local Authorities	See Appendix 1 (4.1.4)
Ensuring compliance with relevant laws and regulations, internal policies and procedures, and that expenditure is lawful	See Appendix 1 (4.4)
Whistleblowing and for receiving and investigating complaints from the public	See Appendix 1 (4.9)
Identifying the development needs of members and senior officer in relation to their strategic roles, supported by appropriate training	See Appendix 1 (5.1)
Establishing clear channels of communication with all sections of the community and other stakeholders, ensuring accountability and encouraging open consultation	See Appendix 1 (6.1, 6.2)
Enhancing the accountability for service delivery and effectiveness of other public service providers	See Appendix 1 (6.1, 6.2)
Incorporating good governance arrangements in respect of partnerships and other joint working as identified by the Audit Commission's report on the governance of partnerships, and reflecting these in the authority's overall governance arrangements	See Appendix 1 (1.1.3, 2.3.5, 3.2.5)

CHESTERFIELD BOROUGH COUNCIL

Appendix 3

ANNUAL GOVERNANCE STATEMENT REVIEW OF ASSURANCES – 2013 / 2014

Objective 1 – Establishing Principal Statutory Obligations and Organisational Objectives

(A) Mechanism established to identify principal statutory obligations.		
Area of Assurance	Evidenced by	CBC Current Situation
1. Responsibilities for statutory obligations are formally established.	<ul style="list-style-type: none"> • Documents (e.g. constitution) recording individual officer and member responsibilities • Minutes of delegations to officers and committees • Committee terms of reference • Job descriptions of key officers • Structure charts for Executive and CMT 	<p><i>CBC Constitution on Internet and Intranet</i></p> <ul style="list-style-type: none"> - <i>Part 3</i> - <i>Part 3</i> - <i>Part 2</i> <p><i>Job descriptions are held for all employees</i></p> <p><i>Staffing structure is held on HR computer system and the management structure is in Part 7 of the Constitution.</i></p> <p><i>Action Plan – new model of Constitution being drafted via joint officer/member working group to improve accessibility and ease of use. The revised model should be going to Council July 2014.</i></p>
2. Record held of statutory obligations	<ul style="list-style-type: none"> • Accessible record of statutory obligations (e.g. central registry or legal library, intranet site) 	<p><i>Yes – Legal Law library contains this record.</i></p>
3. Effective procedures to identify, evaluate, communicate, implement, comply with and monitor legislative change exist and are used	<ul style="list-style-type: none"> • Review of established processes in place • Appointment of suitably qualified and experienced employees, selected against accurate and specific job descriptions and person specifications • Evidence of effective arrangements for 	<p><i>Operation and continuous review of Recruitment and selection policies and procedures to comply with equality and diversity etc requirements. (See Recruitment and Selection / Job Evaluation Scheme.)</i></p> <p><i>The Internal Communications Strategy has</i></p>

Page 199

(A) Mechanism established to identify principal statutory obligations.		
Area of Assurance	Evidenced by	CBC Current Situation
	<p>internal and external communication (e.g. by review of communication of recent legislation to relevant officers and members)</p> <ul style="list-style-type: none"> • Appropriate induction training has been given to specific post holders • Awareness training tailored to job profiles has been provided • Inspection of reports to members on implications of new legislation • Evidence that assurance has been given to Chief Executive (or equivalent) that all relevant legislative changes have been reported and addressed 	<p><i>been approved and the external communications strategy is currently being drafted.</i></p> <p><i>All employees receive induction training. Specific training needs for particular posts would be identified as required.</i></p> <p><i>Awareness training on new legislation Officers participate in Continuing Professional Development as required by the relevant professional bodies.</i></p> <p><i>WBR reviews the reports before they are taken to Members</i></p> <p><i>Assurances are given at WBR and EPD's</i></p>
4. Effective action is taken where areas of non-compliance are found in either mechanism or legislation	<ul style="list-style-type: none"> • Review of evidence to demonstrate that action has been taken to overcome identified areas of non-compliance, for example: <ul style="list-style-type: none"> – Internal /external audit reports to audit committee or equivalent 	<p><i>No significant areas of non-compliance identified. See external audit Annual Governance Report to Standards and Audit Committee 29/11/13 and Internal Audit Annual report to Standards and Audit Committee 28/06/13.</i></p>

(A) Mechanism established to identify principal statutory obligations.		
Area of Assurance	Evidenced by	CBC Current Situation
	<ul style="list-style-type: none"> – Monitoring reports on progress on delivering action plans in response to identified legal/statutory risks in risk register (e.g. on implementation of Freedom of Information Act 2000) – Evidence of corrective action being taken in response to upheld complaints against the authority 	<p><i>An unsatisfactory Internal Audit report was issued in respect of gas servicing. Later in the year a follow up audit was undertaken and the conclusion was revised to good as the recommendations made had been implemented.</i></p> <p><i>Heads of Service now receive area summary reports</i></p> <p><i>Heads of service receive summary reports of audits issued on a quarterly basis for review, monitoring and action.</i></p> <p><i>Reports on outcome of Ombudsman cases reported to Members, including any corrective action taken.</i></p>

(B) Mechanism in place to establish corporate objectives		
Area of Assurance	Evidenced by	CBC Current Situation
1. Consultation with stakeholders on priorities and objectives	<ul style="list-style-type: none"> • Results from internal and/or external consultation exercises have been analysed and published 	<p><i>CBC has a full programme of community engagement activity as detailed in the community engagement strategy and annual engagement plan. The Council's Community Engagement Group includes Officers and Elected Members who work to ensure high standards are observed for all engagement activities. Reports from individual engagement activities are presented to CMT and where appropriate Cabinet. Reports from engagement activities are available on the Councils website and are often published in "Your Chesterfield" the councils newspaper</i></p>
2. The authority's priorities and organisational objectives have been agreed (taking into account feedback from consultation).	<ul style="list-style-type: none"> • Authority's approved and published strategic plan takes account of all consultation and local and national priorities 	<p><i>The Corporate Plan 2012 – 2015 was approved at full Council on the 28th February 2013 and the 2014/15 plan on the 27/02/2014.</i></p>
3. Priorities and objectives are aligned to principal statutory obligations and relate to available funding	<ul style="list-style-type: none"> • Corporate priorities and objectives are clearly set out in the strategic plan • Strategic plan takes account of annual budget and medium term financial plan • Financial plans take account of strategic partnership contributions and income streams 	<p><i>Yes – see above Corporate Plan</i></p> <p><i>Yes – Medium Term Financial Plan takes account of Corporate Plan Priorities.</i></p> <p><i>Yes – included in medium term financial plan.</i></p> <p><i>Action Plan – continue to closely monitor medium term financial plan to ensure that it is sustainable and meets council priorities and impact of Local Government Resources Review.</i></p>

(B) Mechanism in place to establish corporate objectives		
Area of Assurance	Evidenced by	CBC Current Situation
4. Objectives are reflected in departmental plans and are clearly matched with associated budgets	<ul style="list-style-type: none"> • Clear terms of reference are set for the preparation of departmental and/or service plans • Departmental and/or service plans clearly reflect corporate objectives and match approved funding • Annual reports are produced on the outcome of departmental and/or service plans 	<p>Yes – Service Plan and Performance Clinic procedures in place and are based on the how to deliver the Corporate Plan priorities and projects measured through a balanced scorecard approach.</p> <p>No formal annual report but performance monitoring reports regularly submitted to members e.g. Performance Outturn for April to September 2013 to Cabinet 19/11/13.</p>
5. The authority's objectives are clearly communicated to staff and to all stakeholders, including partners.	<ul style="list-style-type: none"> • A communication strategy in respect of the corporate objectives has been developed, approved and implemented • Evidence of consultation with stakeholders (e.g. public and internal surveys etc) on service provision against cost • Documented meetings across 	<p>2012/15 Corporate Plan includes a project to review the communications strategy (including social media).</p> <p>The internal communications strategy has been refreshed during 2013/14 and was approved by Cabinet on the 25th March 2014.</p> <p>A Scrutiny review of external communications is nearing completion and an external communications strategy is currently being written.</p> <p>Action plan - A revised External Communications Strategy is currently being developed and will be published in summer 2014.</p> <p>An employee survey has been undertaken in early 2014 and an action plan is being developed from this.</p>

(B) Mechanism in place to establish corporate objectives		
Area of Assurance	Evidenced by	CBC Current Situation
	<p>departments to discuss key objectives in corporate and departmental and/or service plans</p> <ul style="list-style-type: none"> • Corporate objectives and aims are set out in key documents (annual plans etc) on the authority's website and intranet site 	<p><i>Yes – Corporate Plan 2012/15 and 2014/15 on website</i></p> <p><i>6 weekly managers breakfast meetings have now been introduced where key issues are discussed and information is dispersed.</i></p>

(C) Effective Corporate Governance Arrangements are embedded within the authority		
Area of Assurance	Evidenced by	CBC Current Situation
1. Code of corporate governance established	<ul style="list-style-type: none"> • A Code of Corporate Governance in line with CIPFA/SOLACE guidance relevant to the type of authority has been adopted by the Council • A communication strategy in relation to the Code has been developed, approved and implemented 	<p>Yes – Code of Corporate Governance will be reported to Cabinet 17/06/14 and to Standards and Audit Committee 27/06/14.</p> <p>The Code is on the intranet</p>
2. Review and monitoring arrangements in place	<ul style="list-style-type: none"> • The Code itself incorporates a review date and/or a system for continuous update in response to changed requirements • There are clear arrangements for continuously monitoring compliance with the Code e.g. reports on compliance are regularly submitted to the committee charged with corporate governance responsibility • An annual report on compliance with the Code of Corporate Governance is prepared and submitted to members • Internal/external audit reports on adequacy of corporate governance arrangements • An action plan is prepared to address any significant identified weaknesses in 	<p>Yes – Code subject to Annual Review.</p> <p>Yes – many procedures relate to the operation of the Constitution, which is monitored by the monitoring officer. Annual review monitors overall compliance. Annual review will be reported to Cabinet and Standards and Audit Committee (27/06/14).</p> <p>Yes – Included in report to Cabinet and Standards and Audit Committee.</p> <p>Yes – Internal audit involved in the annual review of the code and also report on compliance with particular requirements e.g. register of gifts and hospitality. External audit would comment as part of annual governance report.</p> <p>Yes – Action plan prepared as part of Annual Governance Statement and</p>

(C) Effective Corporate Governance Arrangements are embedded within the authority		
Area of Assurance	Evidenced by	CBC Current Situation
	complying with the Code and is continuously monitored by the authority or committee charged with corporate governance responsibility	<i>reported to Cabinet June 13. The action plan was monitored mid year by CMT</i>
3. Committee charged with governance responsibilities	<ul style="list-style-type: none"> • Responsibility for overseeing corporate governance has been formally delegated to an appropriate committee • Committee terms of reference clearly demonstrating responsibility for corporate governance issues have been approved by the authority • Terms of reference are sufficiently comprehensive to ensure that all appropriate aspects of corporate governance are covered • Agendas and minutes from committee charged with corporate governance responsibility indicate that the responsibility is being discharged adequately in accordance with terms of reference 	<i>Standards and Audit Committee terms of reference reviewed during 2006/07 to strengthen audit / Corporate Governance responsibilities and renamed Standards and Audit Committee (Cabinet Report 13/02/07 Minute 0212 2006/07).</i> <i>- these terms of reference are in our constitution available on the intranet, internet and in paper form (to all members and appropriate officers. Action lists from committees cabinet lead members are produced and circulated. See Standards and Audit Cttee Minutes on corporate governance</i> <i>The Constitution is a living document and an up to date copy is available on the intranet and internet.</i>
4. Governance training provided to key officers and all members	<ul style="list-style-type: none"> • Induction training for key new officers and all new members incorporate suitable coverage on corporate governance issues according to responsibilities • Ongoing awareness training is provided as appropriate to key staff and all members to ensure that changes in the Code are made known within the 	<i>New members are given training on Code of Conduct Issues and Planning Committee members and Standards. Audit Training provided to new Standards and Audit Committee member September 2011. An annual induction and Learning & Development Programme for Members induction introduced for 2011/12. A 2013/14 Programme has been finalised via</i>

(C) Effective Corporate Governance Arrangements are embedded within the authority		
Area of Assurance	Evidenced by	CBC Current Situation
	authority	<i>the Member development Working group. All members have a personal development review to identify training needs. Officers – additional training would be arranged for key new officers as necessary. Periodic reminders are issued on declaration of interests / register of Gifts and Hospitality.</i>
5. Staff, public and other stakeholder awareness of corporate governance	<ul style="list-style-type: none"> • There is a general staff awareness training programme • The Code has been published and is accessible to all staff, the public and other stakeholders 	Code is available on the Council's Intranet and Internet sites:

(D)Performance Management arrangements are in place		
Area of Assurance	Evidenced by	CBC Current Situation
1. Comprehensive and effective performance management systems operate routinely	<ul style="list-style-type: none"> • There is a clearly defined performance management framework that identifies all sources of performance measures; - who is responsible for achieving each performance measure; - who is responsible for collating the data for each one; - who determines and approves the performance measures; - who receives reports on performance and how often; 	<p>Yes – Performance Plus system maintained by Business Transformation Team. Monitors Performance Indicators and Corporate Projects.</p> <p>Yes – allocated to relevant Head of Service.</p> <p>Yes – named data collection officer for each Performance Indicator (PI). Local Performance Indicators (LPI's) determined by Cabinet</p> <p>Yes - Cabinet report 19/11/2013 shows half year performance results for 2013/14</p> <p>Also:</p> <ul style="list-style-type: none"> ○ Monthly Performance Clinics at which the Chief Executive monitors the KPIs in the Corporate Plan. ○ The Corporate Plan, and associated KPIs, are refreshed annually. <p>Results and targets reviewed at Performance Management Clinics. One of the benefits of the monthly Performance Clinics is that they provide an early opportunity to identify poor performance and to agree remedial action.</p>

(D)Performance Management arrangements are in place		
Area of Assurance	Evidenced by	CBC Current Situation
	<ul style="list-style-type: none"> - how data quality is assured; - how performance data is captured and its integrity maintained; - how poor performance is addressed; - how performance is driven upwards over time • Reports resulting from internal or external reviews of performance management • Year-on-year comparison of achievement against performance targets (e.g. in annual reports) • Best value reviews, including benchmarking results • Departmental and/or service benchmarking results 	<p><i>Audit Report by Internal Audit.</i></p> <p><i>Included in Performance Clinics reports. Benchmarking of PI results has been included in BVR's</i></p> <p><i>The Council is in the process of developing a benefits optimisation tool that will identify the priority areas for efficiency reviews. This includes a benchmarking section.</i></p>
2. Key performance indicators are established and monitored	<ul style="list-style-type: none"> • Appropriate key performance indicators (KPIs) have been established and approved for each service element and are included in departmental and service business/annual plans • KPIs have been developed and are monitored in respect of key partnerships • A robust monitoring system has been 	<p><i>Yes – Included in Service Plans.</i></p> <p><i>Yes - For the Corporate Services PPP a performance framework has been agreed that includes a suite of K.P.Is these are monitored on a monthly basis via an</i></p>

(D)Performance Management arrangements are in place		
Area of Assurance	Evidenced by	CBC Current Situation
	<p>approved and implemented</p> <ul style="list-style-type: none"> • There are regular reports on progress on delivering approved KPIs • There is an approved mechanism for reviewing the continuing suitability of KPIs and for securing continuous improvement 	<p>Operations Board.</p> <p>Yes – Performance Clinics procedures</p>
<p>3. The authority knows how well it is performing against its planned outcomes</p>	<ul style="list-style-type: none"> • Regular reports are presented to members on the delivery of national, authority, departmental and partnership performance targets • Internal and external auditor’s reports on key performance indicators • Key performance indicator risk scorecards • Use of Resources reviews and progress reviews against the action plans. • Monitoring reports on the achievement of local performance targets in the Local Policing Plan • Best Value Performance Indicators • Internal performance indicators • Regular budget monitoring reports (capital and revenue, current year and medium-term) 	<p>Yes – See above re Performance Clinics.</p> <p>Reports on performance outturn are reported to members twice per year.</p> <p>Yes – IA report on performance indicators out turn and external audit review.</p> <p>Key PI’s monitored via performance clinics.</p> <p>Use of Resources no longer applicable. Performance plus system in use</p> <p>Yes – see comment in C1 above</p> <p>Included in performance clinic reports.</p> <p>Regular reports to Cabinet on Revenue and Capital Budget Monitoring and the MTFP e.g.Cabinet report 22/10/2013</p>

(D)Performance Management arrangements are in place		
Area of Assurance	Evidenced by	CBC Current Situation
	<ul style="list-style-type: none"> • Voluntary benchmarking exercises with peer groups • National comparative performance measures against comparable authorities (e.g. QuAnTa data on comparative policing performance against 'most similar force') • Local Area Agreements and other strategic partnerships <ul style="list-style-type: none"> • Balanced score card • EFQM (European Foundation for Quality Management) model adopted <p>External audit/agency reports on performance</p>	<p><i>Regular meetings of Financial Planning Group.</i></p> <p><i>Yes - Included in efficiency reviews and service reviews / options appraisals.</i></p> <p><i>Yes –Use Audit Commission Comparative reports.</i></p> <p><i>The Performance Clinics are based on the 'balanced scorecard' approach and primarily covers:</i></p> <ul style="list-style-type: none"> ○ <i>Operational performance</i> ○ <i>Financial performance</i> ○ <i>Workforce Development</i> ○ <i>Customer Experience</i> <p><i>The outturn reports on PPP are reported to Cabinet on a twice per year basis.</i></p>

(D)Performance Management arrangements are in place

Area of Assurance	Evidenced by	CBC Current Situation
<p>4. Knowledge of absolute and relative performances achieved is used to support decisions that drive improvements in outcomes</p>	<ul style="list-style-type: none"> • Monitoring reports are regularly presented to the appropriate committee • The reports include detailed performance results, both absolute and relative to peer authorities a clear indication of below target, on target and at, or above, target results, highlighting areas where corrective action is necessary • Committee reports on below par performance include 'SMART' action plans to improve performance • Performance targets in subsequent corporate and departmental and/or service business plans are revised in the light of actual performance • Continuous improvement is strived for by increasing the difficulty of performance targets when they have been met over a period (e.g. year-on-year movements on KPI results) • Performance trends are established and reported upon over the medium term and are fed into the corporate and departmental and/or service planning process • Performance targets are adjusted in 	<p><i>Yes – Performance Monitoring report to Cabinet 19/11/13</i></p> <p><i>Yes – The key measures in the Corporate Plan are reviewed at challenge workshops with Executive Members and the CMT.</i></p> <p><i>Yes – reports to members include comments from Head of Service and Performance Clinics monitor action plans</i></p> <p><i>Yes – targets reviewed as part of service plan preparation.</i></p> <p><i>Yes – one of the factors considered in reviewing targets.</i></p>

(D)Performance Management arrangements are in place		
Area of Assurance	Evidenced by	CBC Current Situation
	the light of the performances of peer authorities	
5. The authority continuously improves its performance management	<ul style="list-style-type: none"> • The performance management systems are regularly reviewed and updated to take account of changes in organisational structure, new performance measurement frameworks (i.e. new Government initiatives, new internal performance measures etc) and other factors • The performance management arrangements are revised in line with external or internal review of the arrangements • Performance management arrangements are reviewed to assimilate new techniques and/or technology e.g. developments in performance management information systems <ul style="list-style-type: none"> • Performance management arrangements are developed and monitored in relation to key partnerships 	<p><i>Yes – performance clinic system.</i></p> <p><i>Performance management has been transferred to the Policy Section and a refreshed approach will be adopted in 2014/15. This will include the use of case studies.</i></p> <p><i>Yes – see above.</i></p> <p><i>Yes- Performance Management - new Performance Plus system introduced during 2011.</i></p>

Objective 2 – Identify principal risks to achievement of objectives

(A) The authority has robust systems and processes in place for the identification and management of strategic and operational risk		
Area of Assurance	Evidenced by	CBC Current Situation
<p>1. There is a written strategy and policy in place for managing risk which:</p> <ul style="list-style-type: none"> • Has been formally approved at political and risk management board (or equivalent) level • Is reviewed on a regular basis • Has been communicated to all relevant staff • Includes partnership risks 	<ul style="list-style-type: none"> • Existence of approved strategy and policy document • Evidence of formal approval (e.g. management board/committee minutes) • Evidence of formal review (e.g. management board/committee minutes, document version number and date) • Evidence of communication strategy, possibly covered in strategy document • Examples of dissemination e.g. induction, briefings, awareness sessions, policy and strategy published on intranet, strategic diagnostic questionnaire results • Partnership risk registers 	<p><i>Yes – Revised version approved by Cabinet / Council. Updated Strategy agreed by Cabinet 9/07/2014. CMT consider the strategic risks</i></p> <p><i>Yes – see above. The strategy is reviewed every year The Risk Management Group review risk registers.</i></p> <p><i>Articles included in Borough Bulletin and included on website and role of Risk Management Group in communicating risk management issues.</i></p> <p><i>Yes – Briefings to members, Service management teams, RMG Service representatives.</i></p> <p><i>Action Plan – Partnership Strategy to be reviewed in 2013/14 and significant partnerships re assessed. All partnerships to be re-evaluated by the end of 2015/16.</i></p>

Page 214

(A) The authority has robust systems and processes in place for the identification and management of strategic and operational risk		
Area of Assurance	Evidenced by	CBC Current Situation
<p>2. The authority has implemented clear structures and processes for risk management which are successfully implemented and:</p> <ul style="list-style-type: none"> • Management board and elected members see risk management as a priority and support it by personal interest and input • Decision making considers risk • A senior manager has been appointed to “champion” risk management • Roles and responsibilities for risk management have been defined • Risk management systems are subject to independent assessment • Risk management is considered in the annual business planning process • Risk management extends to partnership risks 	<ul style="list-style-type: none"> • Management board/committee minutes • Job descriptions of senior and operational managers and corporate risk manager • Internal audit reports and external audit comments on risk management system • CPA review comments on risk management • Annual business plans • Link between internal audit and risk management functions is clearly defined in terms of reference of internal audit • Responsibility for risk management function, including partnership risk management, is set at appropriate senior level • Committee reports setting out options for change include an appropriate risk assessment, including the ‘no change’ option 	<p><i>Risk Management Report to Cabinet 9/07/13.</i> <i>Risk management is a mandatory part of all council and committee reports.</i></p> <p><i>Yes – in job description for Heads of Service.</i> <i>No Corporate risk manager, but Head of Finance leads on Risk Management.</i></p> <p><i>Internal Audit Review of Risk Management February 2014.</i> <i>No longer applicable.</i></p> <p><i>Service risks included in Service Plans.</i> <i>Yes – internal audit risk assessment considers Corporate Risk Register.</i></p> <p><i>Yes –Head of Finance to Lead on Risk Management. All Officers and members responsibilities are set out in the strategy</i></p> <p><i>Yes - Risk section now contained in reports to Cabinet - e.g. Cabinet Report on Housing Repairs budget 25/02/2014.</i></p>

(A) The authority has robust systems and processes in place for the identification and management of strategic and operational risk		
Area of Assurance	Evidenced by	CBC Current Situation
	<ul style="list-style-type: none"> • The corporate business plan and financial plan assess risks as appropriate and in particular take account of new and emerging risks facing the authority • Partnership risks are assessed before agreements are signed 	<p>Yes –. Risks included in budget and MTFP report to Cabinet 18/02/14.</p> <p>Yes – would be included in Cabinet report.</p>
<p>3.The authority has developed a corporate approach to the identification and evaluation of risk which is understood by all staff</p>	<ul style="list-style-type: none"> • Systematic procedures for risk identification and evaluation have been agreed and are consistently applied across all business units and partnerships • Examples of dissemination e.g. induction, briefings, awareness sessions, strategic diagnostic questionnaire results 	<p>Service risks included in service business plans (risk and evaluation).</p> <p>Yes – Presentations have been held to Service Management Teams. Service representatives on Risk Management Group.</p>
<p>4. The authority has well defined procedures for recording and reporting risk</p>	<ul style="list-style-type: none"> • Evidenced by review of risk management strategy and policy • Examination of corporate risk register • Key risk indicators have been determined and there is evidence of monitoring against these risks • Evidence of regular and frequent reporting of risk to political and management board level • Evidence of risk based auditing being 	<p>Yes – included in Risk Management Strategy.</p> <p>PSN has been added to the strategic risk register in 2013/14</p> <p>An in year review was undertaken in February 14</p> <p>Included in Annual Report on Corporate Risks.</p> <p>Corporate Risks reviewed by Cabinet July</p>

(A) The authority has robust systems and processes in place for the identification and management of strategic and operational risk		
Area of Assurance	Evidenced by	CBC Current Situation
	<p>carried out</p> <ul style="list-style-type: none"> • Evidence of risks not properly addressed identified in internal audit reports etc being fed into the risk management process <ul style="list-style-type: none"> • Environmental scanning reports are fed into the risk management process so as to identify new and emerging risks 	<p>13. Cabinet Reports include a section on Risk.</p> <p>Internal Audit plan based on a risk assessment that considers Corporate risks as one of the factors.</p> <p>Would be raised by Head of Internal Audit in reports or at RMG if relevant issue arose.</p> <p>Yes – part of role of Risk Management Group is to discuss and consider emerging National and other risks.</p>
<p>The authority has well-established and clear arrangements for financing risk</p>	<ul style="list-style-type: none"> • Evidence that the authority’s policy for risk financing is regularly reviewed in the light of costs and alternative risk mitigation strategies • All legal requirements for insurance are met • Evidence that self-insurance provisions are subject to annual independent actuarial valuation and that contributions to the fund are adjusted accordingly • Insurance claims being managed in accordance with ‘Woolf’ principles • Evidence of monitoring the incidence of successful and unsuccessful claims and of feeding the results back into the policy for risk financing accordingly 	<p>Yes – Risk financing on individual projects / schemes considered within the initial project evaluation report.</p> <p>There is a risk management budget</p> <p>Yes – insurance arrangements reviewed every three years.</p> <p>Yes – Insurance broker advises on the contributions to self insurance fund annually. Working Group on Insurance Claims.</p> <p>Yes – reported to Risk Management Group meetings.</p> <p>Claims summary details reported to Risk Management Group.</p>

Page 217

(A) The authority has robust systems and processes in place for the identification and management of strategic and operational risk		
Area of Assurance	Evidenced by	CBC Current Situation
6. The authority has developed a programme of risk management training for relevant staff	<ul style="list-style-type: none"> • Training programme for risk management • Training needs analysis (both specialist staff development and general awareness) • Regular newsletter or other means of communicating risk management issues to staff • Induction programme includes risk management • Appropriate responsibilities for risk management incorporated into job descriptions and appraisals 	<p><i>In 2013/14 some of the risk management budget was utilised for Stress Management Awareness Training and driver training.</i></p> <p><i>Action plan – Refresher training for staff and members on risk management should take place (This is planned by December 14)</i></p> <p><i>Induction program refers to Corporate Policies available on the Intranet.</i></p> <p><i>Yes – included in Job Descriptions.</i></p>
<p>The corporate risk management board (or equivalent) adds value to the risk management process by:</p> <ul style="list-style-type: none"> ○ Advising and supporting corporate management team on risk strategies ○ Identifying areas of overlapping risk ○ Driving new risk management initiatives ○ Communicating risk management and sharing good practice ○ Providing and reviewing risk management training ○ Regularly reviewing the risk register(s) 	<ul style="list-style-type: none"> • Corporate risk management board or equivalent terms of reference • Minutes of corporate risk management board • Reports to corporate management team 	<p><i>Yes – Risk Management Group Terms of reference detailed in RM Strategy.</i></p> <p><i>Yes – areas of new / emerging risks are reported to RMG.</i></p>

(A) The authority has robust systems and processes in place for the identification and management of strategic and operational risk		
Area of Assurance	Evidenced by	CBC Current Situation
<ul style="list-style-type: none"> • Coordinating the results for risk reporting 		
<p>8. A corporate risk officer has been appointed with the necessary skills to analyse issues and offer options and advice and:</p> <ul style="list-style-type: none"> ○ Support decision making and policy formulation ○ Provides support in the risk identification and analysis process ○ Provides support in prioritising risk mitigation action ○ Provides advice and support in determining risk treatments ○ Inspires confidence in managers 	<ul style="list-style-type: none"> • Job description of corporate risk officer • Key task matrix of corporate risk officer • Evidence of the corporate risk officer reporting to corporate management team on risk management issues • Evidence of training on current risk management topics / membership of appropriate organisations (e.g. ALARM) <ul style="list-style-type: none"> • Use of consultancy 	<p>Yes - Head of Finance to act as Lead Officer and chairs Risk Management Group.</p> <p>Regular reports are submitted to the Corporate Management Team (through WBR input to Council/Cabinet reports) e.g. report to Full Council 27th July 2013.</p> <p>CBC are a Member of ALARM (Association of Local Authority Risk Managers).</p>
<p>9. Managers are accountable for managing their risks</p>	<ul style="list-style-type: none"> • Evidence of manager involvement in risk identification and analysis process • Risk owners detailed in corporate /departmental risk register(s) • Risk owners assigned in relation to key partnerships <ul style="list-style-type: none"> • Job descriptions of managers outline 	<p>Yes – managers are involved in determining Service and Corporate risks.</p> <p>Yes – Corporate and Service risks are allocated to named officers.</p> <p>Yes – in Heads of Service Job descriptions.</p> <p>Reviewed as part of update of Service Plans.</p> <p>Yes – included in Heads of Service Job</p>

(A) The authority has robust systems and processes in place for the identification and management of strategic and operational risk		
Area of Assurance	Evidenced by	CBC Current Situation
	<p>their risk management responsibilities</p> <ul style="list-style-type: none"> • Evidence of (at least) annual review of risk at service/operational levels • Analysis of completed control and risk self-assessment questionnaires 	<p><i>descriptions.</i></p> <p>Yes – updated in each years service plan.</p>
<p>10. Risk management is embedded throughout the authority</p>	<ul style="list-style-type: none"> • Evidence of a general risk management culture at all levels • Risk management training programme • Evidence of managers involvement in risk management aspects of business planning • Results of strategic diagnostic survey to ascertain the extent to which risk management is understood by each category of officer (senior management, operational managers etc) and members 	<p>Yes - progress evident e.g. examples of risk management sections in Cabinet reports, report to Council.</p> <p>Yes – see above.</p> <p>Part of Corporate service planning process. Service and team plans include a risk analysis and action plan.</p>
<p>11. Risks in partnership working are fully considered</p>	<ul style="list-style-type: none"> • Evidence of risk assessments being undertaken before the commencement of major projects, preferably in the report on which the decision to proceed is based • Evidence that risk assessment are regularly reviewed during the project period 	<p>Yes – risks will be considered as part of any report on a major decision. E.g. MTFP Report to Cabinet 18/02/14.</p> <p>Yes – part of project monitoring process- see Project Board and Project Toolkit information reported to CMT 22/02/12.</p>

(A) The authority has robust systems and processes in place for the identification and management of strategic and operational risk		
Area of Assurance	Evidenced by	CBC Current Situation
	<ul style="list-style-type: none"> • Evidence that potential partners are required to produce and submit risk assessments • Evidence that partnership arrangements are reviewed in terms of risk before they are entered into and, subsequently, that the risks are reviewed • Evidence that there are effective arrangements in place for risk sharing (e.g. in the partnering contract terms and conditions) 	<p><i>Yes – will be part of PPP monitoring report.</i></p> <p><i>Yes. – this would be part of the Cabinet Report.</i></p> <p><i>Yes – see PPP reports.</i></p>
12 Where employed, risk management information systems meet users' needs	<ul style="list-style-type: none"> • Evidence of risk information being updated promptly • Review of accuracy and usefulness of output from information systems • Evidence that users were/are consulted on initial implementation and further development <ul style="list-style-type: none"> • Interviews with users to assess suitability of the system for their needs 	<p><i>Currently CBC has determined not to acquire a risk management information system. Currently held as 'Word' documents.</i></p>

Page 221

Objective 3 – Identify and evaluate key controls to manage principal risks

(A) The authority has robust systems of internal control which includes systems and procedures to mitigate principal risks		
Area of Assurance	Evidenced by	CBC Current Situation
<p>1. There are written financial regulations in place which have been formally approved, regularly reviewed and widely communicated to all relevant staff:</p> <ul style="list-style-type: none"> • Authority has adopted CIPFA code on Treasury Management • Compliance with the Prudential Code 	<ul style="list-style-type: none"> • Financial regulations and instructions exist are reviewed & updated regularly • Evidence of formal approval • Examples of dissemination e.g. induction, briefings, awareness sessions, accessible in finance manuals and/or on intranet site • Reports to audit committee or equivalent confirming compliance or identifying extent of non-compliance with regulations and instructions • Report approving annual treasury management and investment strategy • Outturn report on treasury mgt. • External audit assessment of 	<p><i>Yes – Updated in 2011 to take account of management re-structure and member portfolio restructure.</i></p> <p><i>Yes – included on intranet as part of Constitution and covered on induction</i></p> <p><i>Reports submitted to Standards & Audit Committee on Internal Audit reports issued. Failure to respond to audit reports would be reported. CMT also receive reports on a quarterly basis.</i></p> <p><i>Yes – Prudential indicators and prudential borrowing limits approved by the Council (Council 27/02/14).</i></p> <p><i>Yes – Treasury Management and Investment Strategy Report to Council 27/02/14.</i></p>

(A) The authority has robust systems of internal control which includes systems and procedures to mitigate principal risks		
Area of Assurance	Evidenced by	CBC Current Situation
	<p>compliance with Prudential Code</p> <ul style="list-style-type: none"> • Results of Use of Resources assessment of internal control KLOEs 	<p>Yes - External Audit would comment if necessary as part of annual audit letter.</p> <p>Use of Resources / KLOE no longer applicable.</p>
<p>2. There are written contract standing orders in place which have been formally approved, regularly reviewed and widely communicated to all relevant staff</p>	<ul style="list-style-type: none"> • Standing orders exist are reviewed and updated regularly to cover new procedures such as partnering arrangements and on-line tendering • Evidence of formal approval • Examples of communication and dissemination e.g. induction, briefings, awareness sessions, accessible in finance manuals and/or on intranet site 	<p>Part – Contract Procedure Rules (Part 4 Constitution) being updated as part of Constitution review. Procurement Policy in place but out of date.</p> <p>Action Plan –</p> <p>Complete Review of Contract Procedure Rules (July 14).</p> <p>Update procurement strategy (Dec 14)</p> <p>Action Plan – Corporate procurement training to be arranged by September 14.</p>
<p>3. There is a whistle blowing policy in place which has been formally approved, regularly reviewed and widely communicated to all relevant staff</p>	<ul style="list-style-type: none"> • Whistle blowing policy exists and has been reviewed and updated regularly • Evidence of formal approval • Examples of communication and dissemination e.g. induction, briefings, awareness sessions, accessible on website and intranet site 	<p>Policy reviewed 2010.</p> <p>Action Plan – The Whistle blowing Policy is in need of review</p> <p>The whistleblowing policy was advertised in the Borough Bulletin in March 2014</p> <p>Yes – Approved by Joint Cabinet and</p>

(A) The authority has robust systems of internal control which includes systems and procedures to mitigate principal risks		
Area of Assurance	Evidenced by	CBC Current Situation
	<ul style="list-style-type: none"> • Evidence of effectiveness of policy (e.g. reports on incidence of usage, evidence on annual declarations on fraud to Audit Commission) 	<p><i>Employment and General Committee 21/09/10.</i></p> <p><i>Reference to Whistle blowing Policy included in Anti Fraud, bribery and Corruption Strategy.</i></p> <p><i>Limited incidence of fraud / reports.</i></p>
<p>4. There is a counter fraud and corruption policy in place which has been formally approved, regularly reviewed and widely communicated to all relevant staff</p>	<ul style="list-style-type: none"> • Counter fraud and corruption policy exists and has been reviewed and updated regularly • Evidence of formal approval • Examples of dissemination (briefings, induction, awareness sessions, accessible on website and intranet site) • Evidence of effectiveness of policy (e.g. reports on identified frauds; annual AF70 returns to Audit Commission, reports on results of National Fraud Initiatives) • Review of register of gifts and hospitality 	<p><i>The Anti Fraud, Bribery and corruption policy was reviewed and approved by the Standards and Audit Committee in September 2013 and advertised in the Borough Bulletin</i></p> <p><i>The policy is on the internet and intranet</i></p> <p><i>Yes – low incidence of fraud as reported on Audit Commission returns. National Fraud Initiative results reviewed.</i></p> <p><i>Yes – Regular review of register in IA plan.</i></p>
<p>5. There are codes of conduct in place which have been formally approved and widely communicated to all relevant staff</p>	<ul style="list-style-type: none"> • Codes of conduct have been agreed, including national schemes (e.g. police officers) • Evidence of formal approval 	<p><i>Yes – Employees and Members Codes adopted.</i></p> <p><i>Yes - included in Constitution (Part 5).</i></p>

(A) The authority has robust systems of internal control which includes systems and procedures to mitigate principal risks		
Area of Assurance	Evidenced by	CBC Current Situation
	<ul style="list-style-type: none"> • Examples of dissemination e.g. induction, briefings, awareness sessions, accessible on intranet site 	Yes – Members and Officers induction courses, on intranet site as part of Constitution and included in Employee handbook.
6. A register of interests is maintained, regularly updated and reviewed	<ul style="list-style-type: none"> • Inspection of register of interests (members and staff) • Evidence of regular updating and review by senior officer(s) 	Yes – Register of Members interests is maintained and reviewed by Monitoring Officer. Periodic reminders issued. Officers declare any issues to relevant Head of Service,
7. Where a scheme of delegation has been drawn up, it has been formally approved and communicated to all relevant staff	<ul style="list-style-type: none"> • Scheme of delegation incorporates adequate controls and sanctions • Evidence of formal approval • Examples of communication and dissemination e.g. induction, briefings, awareness sessions, accessible on intranet site • Regular reports on the operation of the scheme (e.g. compliance, budget monitoring, year-end balances) 	<p>Yes – included in Part 3 of Constitution.</p> <p>Yes – as part of approval of Constitution. It has been reviewed and updated in 2011 post the Arvato outsourcing contract transfer. It is also being subject to further review by the Constitution Review Working Group.</p> <p>Yes – briefings held at time Constitution revised. Included in Public Folders on Intranet Site.</p> <p>Budget monitoring reports submitted quarterly to Cabinet, Lead member and Officer delegations reported as required in minutes e.g. delegated planning decisions.</p>
8. A corporate procurement policy has been drawn up, formally approved and communicated to all relevant staff	<ul style="list-style-type: none"> • Procurement policy exists and has been reviewed and updated regularly to take account of new initiatives e.g. 	Action plan - The Procurement Strategy requires updating

(A) The authority has robust systems of internal control which includes systems and procedures to mitigate principal risks		
Area of Assurance	Evidenced by	CBC Current Situation
	<p>drive towards wider consortia arrangements, shared services</p> <ul style="list-style-type: none"> • Evidence of formal approval • Examples of dissemination e.g. induction, briefings, awareness sessions, accessible on intranet site • Evidence of effectiveness of policy (e.g. benchmarking results, best value review, internal/ external audit review) 	<ul style="list-style-type: none"> • No – Need to arrange training See 3A2 Action Plan – develop training programme •
<p>9. Business/service continuity plans have been drawn up for all critical service areas and the plans:</p> <ul style="list-style-type: none"> • Are subject to regular testing • Are subject to regular review 	<ul style="list-style-type: none"> • Current business/service continuity plans exist covering all critical service areas and are readily accessible • Evidence of regular testing • Evidence of regular review in the light of the results of testing and for changes in structures, procedures, information systems, responsibilities etc 	<p>Business Continuity and Plan adopted December 2005 – Cabinet Report 12/12/05 – Minute 0154. The Business Continuity Plan was last updated November 2012. Service Business Continuity Plans compiled.</p> <p>Plans are tested on an annual basis and reviewed in the light of testing.</p> <p>Evidence of testing of Business Continuity Plan Procedures e.g. Lessons learned sessions held e.g. after power surge in 2013. New proposals have been tabled by Arvato (April 2013) to add extra resilience to IT recovery Plans have also been tested during adverse weather conditions</p>
<p>10. The corporate/departmental risk register(s) includes expected key controls to manage principal risks</p>	<ul style="list-style-type: none"> • Risk register sets out principal risks and sets out appropriate key controls to manage them 	<p>Yes – Corporate Risks identify current control measures and level of residual risk. Service Risks are reviewed as part of</p>

(A) The authority has robust systems of internal control which includes systems and procedures to mitigate principal risks		
Area of Assurance	Evidenced by	CBC Current Situation
	<ul style="list-style-type: none"> • Key controls are monitored, reviewed and updated regularly • Use of risk management workshops to underpin the process and review of register and key controls • Risk owners are assigned to manage principal risks • Partnership risks are considered 	<p>service planning. Yes – Corporate risks subject to review Cabinet Report July 13. Service Risks reviewed when annual service plan updated. Yes – Heads of Service / Corporate Management Team involved in review of corporate risks. Yes – Responsible officers Identified in risk register Partnership risks considered as part of the evaluation of partnerships.</p>
<p>11. Key risk indicators have been drawn up to track the movement of key risks and are regularly monitored and reviewed</p> <p>1809 227</p>	<ul style="list-style-type: none"> • Appropriate key risk indicators are documented • Evidence of regular monitoring • Evidence of changes in risk indicators (and reasons for change) emanating from appropriate information sources (e.g. where internal audit findings are used to change the perceived level of risk) 	<p>Changes in both Strategic and Service risk profiles would be considered as part of the annual review of the Strategic Risk Register and when Service risks are updated in the Service plans.</p>
<p>12. The authority's internal control framework is subject to regular independent assessment</p>	<ul style="list-style-type: none"> • Internal audit plans and reports • Annual report/opinion of Head of Internal Audit • External audit reports 	<p>Yes – Internal Audit Plan approved by Standards Committee April 2013. Summary of reports issued reported quarterly to Standards and Audit Committee . Yes Internal Audit Annual report reported to Standards Committee in June each year. CMT also receive a quarterly summary of the audit reports issued for review,</p>

(A) The authority has robust systems of internal control which includes systems and procedures to mitigate principal risks		
Area of Assurance	Evidenced by	CBC Current Situation
	<ul style="list-style-type: none"> • Use of Resources assessment reports 	<p><i>monitoring and action.</i> <i>Yes – External Audit annual audit letter.</i></p> <p><i>No longer applicable.</i></p>
<p>13. A corporate health and safety policy has been drawn up, formally approved, is subject to regular review and has been communicated to all relevant staff</p>	<ul style="list-style-type: none"> • Corporate safety policy exists and has been reviewed and updated regularly • Evidence of formal approval • Examples of dissemination e.g. induction, briefings, awareness sessions, inclusion of policy on website and intranet site • Evidence of effectiveness of policy e.g. number of cases investigated by Health & Safety Executive 	<p>In 2013/14 Zurich Municipal undertook a health and safety audit.</p> <p><i>The Corporate Health and Safety Policy was reviewed in 2013</i></p> <ul style="list-style-type: none"> • <i>The Safety Committee is informed at each quarterly meeting of all accidents, incidents, near misses and dangerous occurrences. They are also informed of any major accident investigations undertaken by Service Managers on the advice and guidance of the Safety Unit.</i> <p><i>The Council's performance against its Corporate Health and Safety Improvement Plan is reported to Safety Committee on a quarterly basis.</i></p>

(A) The authority has robust systems of internal control which includes systems and procedures to mitigate principal risks		
Area of Assurance	Evidenced by	CBC Current Situation
	<ul style="list-style-type: none"> • Review of number of reported accidents / incidences / 'near misses' / dangerous occurrences 	
<p>14. A corporate complaints policy/procedure has been drawn up, formally approved, communicated to all relevant staff, the public and other stakeholders is regularly reviewed</p>	<ul style="list-style-type: none"> • Complaints policy/procedure exists and has been reviewed and updated regularly • Procedure is compliant with all relevant statutory requirements • Evidence of formal approval • Examples of dissemination e.g. induction, briefings, awareness sessions, inclusion of policy on website and intranet site • Leaflets/posters highlighting complaints procedure • Complaints files • Committee reports summarising complaints dealt with analysed by outcome 	<p><i>Customer Services Charter and Complaints Policy adopted by Cabinet 27/01/09 and approved by Standards and Audit Committee 29/05/09.</i></p> <p><i>Leaflets held in reception areas and on internet / intranet.</i></p> <p><i>Reports being submitted to WBR , but no regular reporting to members.</i></p> <p><i>The 3C's system has been improved to facilitate trend analysis. CMT are now issued with service area summary documents</i></p>

Objective 4 – Obtain assurance on the effectiveness of key controls

(A) Appropriate assurance statements are received from designated internal and external providers: - The Authority has identified appropriate sources of assurance – Appropriate external assurances are identified and obtained.		
Area of Assurance	Evidenced by	CBC Current Situation
1. The authority has determined appropriate internal and external sources of assurance	<ul style="list-style-type: none"> Minutes of committee at which report on assurances was considered Sources of assurance are appropriate to the authority 	The Assurance Statement will be agreed by WBR, Heads of Service, the Executive Member for Governance, Cabinet and by the Audit and Standards Committee at its meeting on the 27th June 2014. These groups will consider whether the sources of assurance are appropriate.
2. Appropriate key controls on which assurance is to be given have been identified and agreed	<ul style="list-style-type: none"> Briefing notes, guidance, instructions etc given to appropriate managers regarding what is expected of them 	These are identified within the Assurance Statement and have been considered during this review.
3. Departmental assurances are provided	<ul style="list-style-type: none"> Departmental heads sign off on adequacy of controls (i.e. provide annual governance assurance statements) Supporting documentation provided by departmental heads re review and monitoring arrangements that key controls have been in operation for the period and will continue to operate until accounts signed off. <p><i>(Structured process and standard documentation to ensure consistency of coverage and common understanding of level of assurance given)</i></p> <ul style="list-style-type: none"> Completed Control & Risk Self-Assessment questionnaires 	The Statement will be signed off at WBR after consideration by Service Heads, Relevant supporting documentation is referred to throughout this Governance assurance statement.

(A) Appropriate assurance statements are received from designated internal and external providers: - The Authority has identified appropriate sources of assurance – Appropriate external assurances are identified and obtained.		
Area of Assurance	Evidenced by	CBC Current Situation
	<ul style="list-style-type: none"> Annual governance assurance statements evaluated by officer team or committee charged with the responsibility of preparing the AGS. Evaluation to include 'reality checking' of sample of assurance statements 	
<p>4. External assurance reports are collated centrally</p> <ul style="list-style-type: none"> Reports are reviewed by relevant senior management team and reported to appropriate committee Action plans are prepared and approved as appropriate Follow up reports on recommendations are requested and reviewed by relevant senior management team and progress is regularly reported to relevant committee 	<ul style="list-style-type: none"> Sources of external assurance relevant to authority are identified and agreed, including partnerships External assurance reports will vary according to type of authority and could include comment and input from the following (the list is not exhaustive): <ul style="list-style-type: none"> Audit Commission External Auditor (either from direct audit work or from work jointly commissioned) Social Services Inspectorate Use of Resources assessment PURE assessment (police service) Best Value Reviews HMIC Police Standards Unit Home Office commissioned reports Corporate Management Team minutes Follow up reports to appropriate committee 	<p>All reports from external inspection and internal audit are reported appropriately to senior management and to an appropriate Committee. The responsible officer is required to ensure that any accepted recommendations are implemented.</p>
5. Internal Audit Arrangements	<ul style="list-style-type: none"> Reports of Head of Internal Audit to audit committee or equivalent throughout the year Annual report of Head of Internal Audit, 	<p>A summary of all Internal Audit reports and their overall conclusion is considered by the Standards and Audit Committee. The Annual Report of the Head of Internal</p>

(A) Appropriate assurance statements are received from designated internal and external providers: - The Authority has identified appropriate sources of assurance – Appropriate external assurances are identified and obtained.		
Area of Assurance	Evidenced by	CBC Current Situation
	including opinion on internal control and risk management framework	Audit is considered by the Standards and Audit Committee.
6. Corporate Governance Arrangements	<ul style="list-style-type: none"> Annual corporate governance assurance statement Internal or external audit review of corporate governance arrangements Monitoring reports to committee on delivery of action plans in response to reviews of corporate governance	The Corporate Governance Statement will be considered by the Standards and Audit Committee. Other relevant reports will be taken to either the Standards and Audit Committee or to Cabinet where appropriate.
7. Performance monitoring arrangements	<ul style="list-style-type: none"> Annual and in-year reports on delivery of key performance indicators by internal and/or external review agencies 	These will be considered by Cabinet.

Page 202

Objective 5 – Evaluate assurance and identify gaps in control/assurances

(A) The Authority has made adequate arrangements to identify, receive and evaluate reports from the defined internal and external assurance providers to identify areas of weakness in controls		
Area of Assurance	Evidenced By:	CBC Current Situation
1. Responsibilities for the evaluation of assurances are clearly defined throughout the organisation.	<ul style="list-style-type: none"> Minutes of committee meetings Training plans Job descriptions Committee terms of reference 	The Constitution makes clear the respective role of the Council, the Cabinet and the role of Standards and Audit Committee to act as independent assurance. Relevant officers receive appropriate training in order to ensure that they are in a position to offer appropriate guidance to ensure that the assurance framework is robust.
2. Mechanism established for collecting governance assurances	<ul style="list-style-type: none"> Terms of reference and key responsibilities 	The Head of Internal Audit along with Heads of Service have overall

(A) The Authority has made adequate arrangements to identify, receive and evaluate reports from the defined internal and external assurance providers to identify areas of weakness in controls

Area of Assurance	Evidenced By:	CBC Current Situation
<ul style="list-style-type: none"> • Overall responsibility allocated to governance senior officer group • Required assurances are agreed and recorded • Central record of all assurances (either evidence file, or showing clear link to where evidence is held) • Clear guidance as to evaluation procedure including assurance over risks, independence and objectivity of assurances • Defined evaluation mechanism • Timetable for completion by statutory , deadline <p>Gap assessment – performed and challenged</p>	<ul style="list-style-type: none"> • Record of assurances required and received is held and is complete • Approved written guidance re evaluation procedure • Scoring matrix/methodology <i>(Not all assurances are suitable for grading; many will be subjective anyway. Key points are that there is a consistent and reliable assessment process and that the conclusions drawn are in line with the evidence produced)</i> • An agreed timetable, allowing for in-year evidence gathering and assessment and for the period between the year-end and the date of the governance assurance statement (timetable driven by that for the production of the annual statement of accounts) • Gap assessment results and actions arising • Minutes of meetings • Annual report of Head of Internal Audit – including opinion on internal control and risk management framework • Reports of external auditor and other external review agencies 	<p>responsibility for gathering the evidence regarding the assurance framework. All evidence re the provision of assurances will be maintained. The Head of Internal Audit has the role of preparing a draft statement, which is then quality assured and challenged by WBR, Cabinet and by the Audit and Standards Committee.</p> <p>A formal timetable is in place for the production of the AGS, which allows time for independent review and challenge. An action plan is produced in respect of any identified gaps</p> <p>The annual report of the Head of Internal Audit includes an opinion on internal control and the risk management framework.</p>

Objective 6 – Action plan to address weaknesses and ensure continuous improvement of the system of Corporate Governance

(A) There is a robust mechanism to ensure that an appropriate action plan is agreed to address identified control weaknesses and is implemented and monitored

Area of Assurance	Evidenced By:	CBC Current Situation
1. An action plan is drawn up and approved	<ul style="list-style-type: none"> • Prioritised action plan, setting out actions, responsibilities and timescales, approved at appropriate level • Minutes 	<p>An Action Plan is drawn up in respect of any issues identified whilst preparing the Annual Governance statement which is approved by the Standards and Audit Committee.</p> <p>Action is then monitored by CMT</p>
<p>Page 234</p> <p>All actions are 'SMART':</p> <ul style="list-style-type: none"> • Specific • Measurable • Achievable • Realistic <p>Time-bound</p>	<ul style="list-style-type: none"> • Each action on prioritised action plan is compliant with 'SMART' test 	<p>The Council ensures that all recommended actions accord with the SMART criteria.</p>
3. Actions communicated and responsibilities assigned	<ul style="list-style-type: none"> • Responsibilities for each action are defined in action plan • Evidence of distribution of action plan to those who require it 	<p>Responsible Officers are assigned to all agreed actions.</p>
4. Implementation timescales agreed	<ul style="list-style-type: none"> • Target dates included in action plan 	<p>Timescales are incorporated into all Action Plans and Recommendations.</p>
5. Ongoing review of progress and of continuing appropriateness of action	<ul style="list-style-type: none"> • Timetabled reviews • Minutes • Progress reports • Internal audit or other review of implementation of agreed actions 	<p>Reviews and Monitoring are built into all Action Plans, with progress reports formally reported to Committee where appropriate.</p> <p>Agreement to internal audit reports is monitored by Senior Management and by the Internal Audit service.</p>

Objective 7 – An annual Governance Statement has been drafted in accordance with the statutory requirements and timetable set out in the Accounts and Audit Regulations 2003, as revised by the Accounts and Audit (Amendment) (England) Regulations 2006, and is in accordance with CIPFA guidance.

(A) There is a robust mechanism to ensure that an appropriate action plan is agreed to address identified control weaknesses and is implemented and monitored		
Area of Assurance	Evidenced By:	CBC Current Situation
1. Responsibility for the compilation of the Annual Governance Statement has been assigned to a team drawn from appropriate disciplines and having sufficient seniority	<ul style="list-style-type: none"> • Documented key responsibilities • Minutes 	The Head of Internal Audit, Heads of Service and WBR are all involved in compiling the statement.
2. There is an Annual Governance Statement production timetable that meets the statutory deadline	<ul style="list-style-type: none"> • Annual Governance Statement timetable is linked to that for the preparation of statutory accounts 	AGS Timetable in place to provide AGS to Audit and Standards Committee on the 27th June 2014.
3. The Annual Governance Statement is reviewed, challenged and approved by the authority	<ul style="list-style-type: none"> • Terms of reference assigned to senior officers group • Annual Governance Statement is compliant with CIPFA guidance • Minutes 	The Timetable is designed to allow an adequate process of discussion with Senior Officers, Members and the Standards and Audit Committee. In drawing up the Statement consideration has been given to CIPFA / SOLACE guidance.
4. The Annual Governance Statement incorporates all the required elements of the statement on internal control	<ul style="list-style-type: none"> • Format of Annual Governance Statement clearly incorporates required elements of the statement on internal control • Annual Governance Statement is prepared by a senior officer group under terms of reference defined by the authority • Statutory timetable is followed 	The AGS follows good practice, and will incorporate all required elements of the statement on internal control. The timetable for the production of the AGS has been structured around the Statutory Timetable.

Objective 8 – An annual report to the authority (or delegated committee) on the Annual Governance Statement is presented, in accordance with the CIPFA pro forma

(A)		
Area of Assurance	Evidenced By:	CBC Current Situation
1. Responsibility for reporting is clearly defined	<ul style="list-style-type: none"> Initial report explaining the requirement to produce an annual governance statement incorporating the SIC should establish the reporting arrangements / responsibilities of all involved and set out who should sign the annual governance assurance statement after approval by the authority or designated committee Reports identifying any changes to initial arrangements 	The report to the Standards and Audit Committee sets addresses roles and responsibilities.
2. The signatories to the annual governance statement and SIC are defined and are appropriate in accordance with statutory requirements (i.e. Most senior officer and most senior member of the organisation)	<ul style="list-style-type: none"> As above 	The final statement will be signed by the Leader and Chief Executive.
3. The report is likely to be published in a timely fashion with the statutory accounts	<ul style="list-style-type: none"> Assessment of the current position in relation to the statutory deadline 	The final agreed version of the AGS will be produced and approved by the Standards and Audit Committee on the 27 June 2014.

Page 230

CHESTERFIELD BOROUGH COUNCIL – ANNUAL GOVERNANCE STATEMENT 2013/14
ACTION PLAN

Objective No. / Area of Assurance	Governance Issue	Action Proposed				To be Included in Published Annual Governance Statement	
		Description	By Date	Officer	Priority	Yes	No
1.A.1	Model of Constitution to be modernised.	Following completion of review by the joint member / officer working group, adopt new model of Constitution to improve accessibility and ease of use.	31/7/14	Head of Governance	M		✓
1.B.3	Implementing actions to address the forecast deficits. Other budget risks such as the continuing impacts of the economic climate on key income streams and investment returns.	Need to continue to closely manage the Medium Term Financial Plan to ensure that the Council remains of sound financial standing, and to support decisions on the alignment of budgets to enable delivery of the Council's corporate plan for the period 2012-2015. This will be achieved through the established mechanisms of the Council's Financial Planning Group, CMT/Executive Member Budget workshops and Risk Management Group, and through the preparation of quarterly monitoring reports to the Council's Cabinet and Scrutiny Forum. Regular dialogue with Regional Trade Union Official will take place.	01/03/15	Members / CE / HoS	H	✓	
1.B.5 & 2.A.10	The External Communications Strategy needs to be finalised and approved.	Refresh External Communications Strategy.	31/03/15	Head of BT	M		✓

Objective No. / Area of Assurance	Governance Issue	Action Proposed				To be Included in Published Annual Governance Statement	
		Description	By Date	Officer	Priority	Yes	No
1.D.5 & 2.A.1	Performance / Risk Management monitoring arrangements for partnerships.	Partnership Strategy to be reviewed in 2014/15 and significant partnerships re-assessed	31/03/15	Head of BT	M		✓
2.A.6	Examination of Corporate Risk Register	Refresher training in risk management to officers and members should be provided	31/12/14	Head of Finance	M		✓
3.A.2 & 3.A.8	Need to complete review of Contract Procedure Rules and organise training for relevant officers and members on these and Procurement Strategy. Procedures for the management of Contractors to be strengthened.	Contract Procedure Rules have been drafted as part of the new Constitution for approval by full council in July 14. Officer / member training will be arranged following this. The procurement strategy will be reviewed and updated. Training to be provided to strengthen the arrangements for the management of contractors.	30/09/14	Head of Governance/Head of B T	H	✓	
3.A.3	The Whistle blowing policy was last reviewed in 2010	The whistle blowing policy should be reviewed and updated	31/03/2015	Head of HR	M		✓

Key:

H of B T

Head of Business Transformation

H o S

Heads of Service

CE

Chief Executive

Priority: H = High, M = Medium, L = Low

CHESTERFIELD BOROUGH COUNCIL

ANNUAL GOVERNANCE STATEMENT

Scope of Responsibility

Chesterfield Borough Council is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively. The Council also has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.

In discharging this overall responsibility, the Council is responsible for putting in place proper arrangements for the governance of its affairs, facilitating the effective exercise of its functions, and which includes arrangements for the management of risk.

Chesterfield Borough Council has approved and adopted a code of corporate governance, which is consistent with the principles of the CIPFA / SOLACE Framework *Delivering Good Governance in Local Government*. This Statement explains how the Council has complied with the code and also meets the requirements of Accounts and Audit (England) Regulations 2011 4(3), which requires all relevant bodies to prepare an annual governance statement.

The purpose of the governance framework

The governance framework comprises the systems and processes, culture and values, by which the authority is directed and controlled and its activities through which it accounts to, engages with and leads its communities. It enables the authority to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate services and value for money.

The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of the Council's policies, aims and objectives, to evaluate the likelihood and potential impact of those risks being realised and to manage them efficiently, effectively and economically.

The governance framework has been in place at the Council for the year ended 31st March 2014 and up to the date of approval of the statement of accounts.

The governance framework

The key elements of the systems and processes that comprise the Council's governance framework are as follows:-

Chesterfield Borough Council identifies and communicates the authority's vision of its purpose and intended outcomes for citizens and service users via its Corporate Plan and Vision statement which were updated in February 2014. The Corporate Plan consists of 3 priorities:-

To make Chesterfield a thriving borough
To improve the quality of life for local people
To provide value for money services

The plan sets out 5 key projects for 2014 – 15:-

- To complete the first year of the Great Place, Great Service programme to transform the way we deliver council services.
- To begin work on building the new Queen's Park Sports Centre.
- To begin the first phase of the Chesterfield Waterside regeneration scheme.
- To deliver the Decent Homes Standard for council homes.
- To build Parkside Sheltered Housing Scheme.

The Council's values have also been refreshed and reflect the way the council wants to achieve its vision, these are:-

Customer focused: delivering great customer service, meeting customer needs

Can do: striving to make a difference by adopting a positive attitude

One council, one team: proud of what we do, working together for the greater good

Honesty and respect: embracing diversity and treating everyone fairly

The Corporate Plan is cascaded down through, managers meetings, performance management system, service plans, team plans, performance clinics, budgets and employee development reviews. This flow ensures that resources are utilised for the achievement of the Council's Corporate Plan and vision.

The Council works with a number of partnerships to deliver its aims and regularly reviews these partnerships. There is a partnership protocol and toolkit in place. Where the Council has entered into partnership arrangements it seeks to ensure that these promote the Council's vision of its purpose and intended outcomes for citizens and service users and that they are subject to appropriate governance and performance management arrangements. One of the Council's significant partnerships is the Sheffield City Region Local Enterprise Partnership for which there is an inter authority agreement in place.

This agreement requires all constituent members to share in any liability incurred by the accountable body which is Sheffield City Council.

The best use of resources and value for money are obtained by scrutiny reports and reviews, reviewing service performance, benchmarking, monitoring budgets and ensuring good procurement practice. The council is in the process of developing a benefits optimisation tool that will identify the priority areas for efficiency reviews. This includes a benchmarking section. Value for money is included in performance clinics and lean reviews are taking place.

Chesterfield Borough Council has a formal constitution in place that sets out how it operates, how decisions are made and the procedures which are followed to ensure that these are efficient, transparent and accountable to local people. In addition, the constitution sets out the roles and responsibilities of Members and Senior Managers.

The Cabinet is the part of the authority which is responsible for most day to day decisions. There are 3 overview and scrutiny committees which support the work of the Council by scrutinising the decisions made. The Standards and Audit Committee are responsible for maintaining and promoting high standards of conduct and for considering the effectiveness of the Council's risk management arrangements and the control environment. The Committee also reviews reports from internal and external audit and other inspection agencies and seeks assurance that action has been taken where necessary.

Formal Codes of Conduct are in place for Members and Officers and are available on the intranet and form part of induction procedures. To further enhance these high standards the Council has in place a complaints, compliments and compliments procedure, a Customer Services Charter, an Anti Fraud, Bribery and Corruption policy and a Confidential Reporting (whistle blowing) Code.

In order to ensure compliance with relevant laws and regulations, internal policies and procedures Chesterfield Borough Council has a comprehensive induction policy and provides training for staff and Members on a regular basis. The Constitution is underpinned by legal references. Training needs are identified through Member and employee performance and development reviews and continuous professional development is encouraged. Policies are readily available on the intranet.

Chesterfield Borough Council has a risk management strategy, a risk management group and risk is considered as part of all Cabinet reports. The corporate risk register and service risk registers are regularly reviewed and appropriate training is provided.

The Council has a suitably qualified Business Transformation section and a Business Transformation Strategy.

The Chief Executive is the designated Head of Paid Service, with the statutory responsibility for the overall review of the Council's staffing and operation. The performance management system ensures that the Chief Executive is monitored for performance in the delivery of political priorities which are in turn monitored and measured across all staff. The Council's Monitoring Officer is a Member of the Corporate Management team and suitably qualified.

The Chief Financial Officer is professionally qualified and experienced to undertake their roles and responsibilities. The Chief Financial Officer is a key member of the Corporate Management team and leads and directs a finance function that is fit for purpose.

Internal Audit is provided on a Consortium basis for Bolsover District Council, North East Derbyshire District Council and Chesterfield Borough Council. The Internal Audit function operates in accordance with the Public Sector Internal Audit Standards. The Head of Internal Audit is a Senior Manager, professionally qualified and leads an appropriately resourced and experienced audit team.

Chesterfield Borough Council has a variety of means of communicating with all sections of the community and stakeholders including the Community Engagement Strategy, the Council's website, the publication of "Your Chesterfield" three times a year and Community Assemblies.

Review of Effectiveness

The Council has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework including the system of internal control. The review of effectiveness is informed by the work of executive managers within the authority who have responsibility for the development and maintenance of the governance environment, the head of internal audit's annual report, and also by comments made by the external auditors and other review agencies and inspectorates.

The processes that have been applied in maintaining and reviewing the effectiveness of the governance framework include:

- Internal audit reviews of systems and procedures in accordance with the agreed internal audit plan
- Annual review of the Council's Code of Corporate Governance
- Monitoring Officer reviews and monitors the operation of the Council's Constitution
- The Chief Executive and Heads of Service monitoring the risks and the associated controls assigned to them
- The Chief Financial Officer (the Head of Finance) providing the Council and the Management team, with financial reports and financial advice covering the whole range of Council Activities
- Reviews by external agencies such as the Council's external auditor
- A review of the system of assurances/internal controls

- The Council’s Standards and Audit Committee receives reports on the work of internal audit, including the annual report by the head of the internal audit consortium. The annual review of the Local Code of Corporate Governance is reported to both the Standards and Audit Committee and the Council’s Cabinet.
- The Cabinet receives and considers reports on the outcome of reviews by the external auditor and other review agencies.

We have been advised on the implications of the result of the review of the effectiveness of the governance framework by the Cabinet and the Standards and Audit Committee, and that the arrangements continue to be regarded as fit for purpose in accordance with the governance framework. The areas already addressed and those specifically addressed with new actions are outlined below.

Significant governance issues

The following significant governance issues have been identified:

No.	Issue	Action Proposed	Target Date
1.	Implementing actions to address the forecast deficits in 2014/15. Other budget risks such as the continuing impacts of the economic climate on key income streams and investment returns.	Need to continue to closely manage the Medium Term Financial Plan to ensure that the Council remains of sound financial standing, and to support decisions on the alignment of budgets to enable delivery of the Council’s corporate plan for the period 2012-2015. To continue to implement the Transformation Strategy that was approved by Cabinet in May 2012. This will be achieved through the established mechanisms of the Council’s Financial Planning Group, CMT/Executive Member Budget workshops` and Risk Management Group, and through the preparation of quarterly monitoring reports to the Council’s Cabinet and Scrutiny Forum. Regular dialogue with Regional Trade Union Official will take place.	01/03/15

2.	Updating Contract Procedure Rules and the Procurement Strategy. Improved arrangements for the tendering and letting of contracts in line with Financial Regulations and Standing Orders.	The review of contract procedure rules will be completed in July 2014 and Corporate procurement training will be arranged by September 2014. The procurement strategy will be updated by December 2014.	30/12/14
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We propose over the coming year to take steps to address the above matters to further enhance our governance arrangements. We are satisfied that these steps will address the need for improvements that were identified in our review of effectiveness and will monitor their implementation and operation as part of our next annual review.

Signed:

H Bowen
Chief Executive

Councillor J Burrows
Leader of Chesterfield Borough Council

Date:

On behalf of Chesterfield Borough Council.

FOR PUBLICATION

LEISURE, CULTURE AND TOURISM PORTFOLIO FINAL ACCOUNTS 2013/14

MEETING: (1) CABINET
(2) EXECUTIVE MEMBER – LEISURE,
CULTURE AND TOURISM

DATE: (1) 17TH JUNE 2014
(2) 10TH JUNE 2014

REPORT BY: HEAD OF FINANCE
HEAD OF ENVIRONMENT
HEAD OF REGENERATION

WARD/COMM ASSEMBLY: ALL

KEY DECISION
REFERENCE: 400(4)

FOR PUBLICATION

BACKGROUND PAPERS: None

1.0 PURPOSE OF REPORT

1.1 To report on the portfolio's Revenue Outturn for 2013/14, and to clarify any significant variations from the Revised Estimates approved at Cabinet on 18th February 2014.

1.2 To report on the Capital Outturn for 2013/14.

2.0 RECOMMENDATIONS

2.1 That the report be noted.

2.2 That the carry forward request be considered.

3.0 REVENUE OUTTURN

3.1 The revenue outturn for 2013/14 is as follows:

Original Budget £3,183,030

Revised Budget £3,524,010

Actual Outturn £6,829,376

An overall summary is shown at **Annexe 1A**.

3.2 The main variations from the Original to the Revised Budget included:

Table 1: Variances - Original to Revised 2013/14

Description	Increase / (Decrease) £'000
<u>Changes to controllable budgets:</u>	
Employees	(94)
Premises	(24)
Transport	(6)
Supplies & Services	154
Contracted Services	31
Income	85
Controllable Expenditure Increase	146
Change in internal recharges (support services)	(76)
Change in asset charges	85
Change in internal rechargeable income	186
Overall Budget Increase	341

3.3 The Revenue Outturn of £6,829,376 represents an increase of £3,646,346 or 114.6% against the Original Budget, and an increase of £3,305,366 or 93.8% against the Revised Budget.

3.4 The table below sets out the variances between the Revised Budget and Actual Outturn, separating asset charges and support service recharges (items that are not controllable); this highlights an overspend of £99,000 (4.4%) on controllable expenditure, mainly due to superannuation costs.

3.5 The major variance on Asset Charges is due to the £3.23m revaluation adjustment on the Market Hall. This is an internal transfer which is reversed on the Council's balance sheet.

Table 2: Controllable & Non-Controllable Expenditure

Description	Original Budget £'000	Revised Budget £'000	Actual Outturn £'000	Variance £'000	%
Asset Charges	744	829	4,057	3,228	389.6
Support Services	840	764	739	(25)	(3.2)
Internal Recharges	(477)	(291)	(288)	3	0.8
Non-Controllable Expenditure	1,107	1,302	4,508	3,206	246.2
Controllable Expenditure	2,076	2,222	2,321	99	4.4
Portfolio Total	3,183	3,524	6,829	3,305	93.8

More detailed analyses, by Programme Areas and by Cost Centres, are shown at **Annexe 1B** and **Annexe 2** respectively.

- 3.6 Further analyses of the variances between the Revised Budget and the Outturn are shown at **Annexes 3** and **4**, but the most significant variances - within Controllable budgets - are summarised below:

Table 3: Significant Variances - Revised to Outturn 2013/14

Description	Increase / (Decrease) £'000
Employees	10
Pension costs adjustment (an internal transfer, compensating credit in Governance portfolio)	186
Energy/Water	(22)
Equipment/Materials	43
Artistes' Fees	54
Printing/Communications/Bank Charges	(28)
Leisure Centres income	(43)
Cultural Venues income	(71)
Hasland Village Hall, extra grant income	(25)
Net of all other variances	(5)
Overall Overspend (Controllable budgets) *	99
* excluding the Pension costs adjustment	(87)

- 3.7 **Annexe 4** also provides an initial assessment of variances likely to recur in 2014/15. The outcome of further work to quantify these will be included in the 1st Quarter budget monitoring report to Cabinet.

4.0 CARRY FORWARD REQUEST

4.1 **Annexe 5** details a request to carry forward the £7,000 underspend within the Leisure Centres' clothing & uniform budgets. Expenditure was delayed pending the re-branding exercise.

5.0 CAPITAL OUTTURN

5.1 **Annexe 6** provides a summary of expenditure on the various capital schemes within this portfolio.

6.0 RECOMMENDATIONS

6.1 That the report be noted.

6.2 That the carry forward request be considered.

7.0 REASON FOR RECOMMENDATIONS

7.1 To enable the portfolio's Revenue Outturn to be included in the Council's overall Statement of Accounts.

**BARRY DAWSON
HEAD OF FINANCE**

**DARRAN WEST
HEAD OF ENVIRONMENT**

**MIKE HAYDEN
HEAD OF REGENERATION**

Officer recommendation supported/not supported/modified as below/
Executive Member's recommendation/comments:

A Serjeant

Signed

Executive Member

Date 10.3.14

Assistant Executive Member comments (if applicable):

29th May 2014

Author and Contact: John Hassall (ext. 2011)

LEISURE, CULTURE and TOURISM
Revenue Accounts for the Year Ended 31st March 2014

SUMMARY OF NET EXPENDITURE BY PROGRAMME AREA

Programme Area	Original Budget £	Revised Budget £	Actual 2013/14 £	Variance Over/(Underspend)	
				£	%
Sport and Recreation	1,575,630	1,851,250	1,916,969	65,719	3.5%
Strategic and Development Services	4,030	1,270	4,289	3,019	237.7%
Cultural Management	0	0	3,982	3,982	n/a
Cultural Facilities	1,353,210	1,340,110	1,339,633	(477)	(0.0%)
Tourism, Festival and Events	375,460	331,160	335,316	4,156	1.3%
Markets and Market Hall	(177,320)	(50,540)	3,171,449	3,221,989	6375.1%
Coach Station	52,020	50,760	57,738	6,978	13.7%
TOTAL NET EXPENDITURE	3,183,030	3,524,010	6,829,376	3,305,366	93.8%

LEISURE, CULTURE and TOURISM
Revenue Accounts for the Year Ended 31st March 2014

CONTROLLABLE and NON-CONTROLLABLE BUDGETS BY PROGRAMME AREA

Programme Area	Original Budget	Revised Budget	Actual 2013/14	Variance Over/(Underspend)	
	£	£	£	£	%
Controllable Budgets					
Sport and Recreation	1,030,870	1,140,740	1,216,238	75,498	6.6%
Strategic and Development Services	121,120	40,090	43,245	3,155	7.9%
Cultural Management	0	32,930	36,765	3,835	11.6%
Cultural Facilities	892,700	894,370	909,015	14,645	1.6%
Tourism, Festival and Events	330,790	282,120	287,555	5,435	1.9%
Markets and Market Hall	(325,750)	(189,850)	(201,405)	(11,555)	(6.1%)
Coach Station	25,740	21,490	29,343	7,853	36.5%
TOTAL	2,075,470	2,221,890	2,320,756	98,866	4.4%
Non-Controllable Budgets - Internal Recharges					
Sport and Recreation	184,240	248,240	240,598	(7,642)	(3.1%)
Strategic and Development Services	179,840	61,500	62,760	1,260	2.0%
Cultural Management	0	520	528	8	1.5%
Cultural Facilities	196,680	180,920	162,305	(18,615)	(10.3%)
Tourism, Festival and Events	35,020	39,500	38,221	(1,279)	(3.2%)
Markets and Market Hall	238,350	224,570	226,996	2,426	1.1%
Coach Station	6,010	9,000	8,126	(874)	(9.7%)
TOTAL	840,140	764,250	739,534	(24,716)	(3.2%)
Non-Controllable Budgets - Asset Charges					
Sport and Recreation	367,670	462,270	462,269	(1)	(0.0%)
Strategic and Development Services	10,250	0	0	0	0.0%
Cultural Facilities	287,740	288,430	287,936	(494)	(0.2%)
Tourism, Festival and Events	9,650	9,540	9,540	0	0.0%
Markets and Market Hall	48,220	48,220	3,277,518	3,229,298	6697.0%
Coach Station	20,270	20,270	20,269	(1)	(0.0%)
TOTAL	743,800	828,730	4,057,532	3,228,802	389.6%
Non-Controllable Budgets - Internal Rechargeable Income					
Sport and Recreation	(7,150)	0	(2,136)	(2,136)	0.0%
Strategic and Development Services	(307,180)	(100,320)	(101,716)	(1,396)	(1.4%)
Cultural Management	0	(33,450)	(33,311)	139	0.4%
Cultural Facilities	(23,910)	(23,610)	(19,623)	3,987	16.9%
Markets and Market Hall	(138,140)	(133,480)	(131,660)	1,820	1.4%
TOTAL	(476,380)	(290,860)	(288,446)	2,414	0.8%
TOTAL NET EXPENDITURE					
Sport and Recreation	1,575,630	1,851,250	1,916,969	65,719	3.5%
Strategic and Development Services	4,030	1,270	4,289	3,019	237.7%
Cultural Management	0	0	3,982	3,982	n/a
Cultural Facilities	1,353,210	1,340,110	1,339,633	(477)	(0.0%)
Tourism, Festival and Events	375,460	331,160	335,316	4,156	1.3%
Markets and Market Hall	(177,320)	(50,540)	3,171,449	3,221,989	6375.1%
Coach Station	52,020	50,760	57,738	6,978	13.7%
TOTAL	3,183,030	3,524,010	6,829,376	3,305,366	93.8%

LEISURE, CULTURE and TOURISM
Revenue Accounts for the Year Ended 31st March 2014

Service/Description	Original Budget £	Revised Budget £	Actual 2013/14 £
PROGRAMME AREA - SPORT and RECREATION			
Queen's Park Sports Centre - Cost Centres 0502/0932/0934/0940/0941/0943			
Employee Expenses	812,400	830,940	884,111
Premises Related Expenses	548,860	531,070	554,536
Transport Related Expenses	1,350	1,600	1,329
Supplies and Services	357,970	339,530	299,095
Contracted Services	55,350	70,350	70,625
Controllable Income	(1,084,030)	(1,039,080)	(1,070,168)
Net Controllable	691,900	734,410	739,528
Central and Departmental Support	79,980	113,970	108,394
Asset Charges	249,450	245,870	245,869
Rechargeable Income	(7,150)	0	(2,136)
NET	1,014,180	1,094,250	1,091,655
Staveley Healthy Living Centre - Cost Centres 0505/0506/0507/0509/0946/0950			
Employee Expenses	685,840	624,950	669,452
Premises Related Expenses	369,880	361,790	358,073
Transport Related Expenses	3,400	2,500	2,533
Supplies and Services	322,170	327,180	324,604
Contracted Services	44,300	57,300	57,287
Controllable Income	(1,107,350)	(1,115,710)	(1,127,673)
Net Controllable	318,240	258,010	284,276
Central and Departmental Support	66,480	93,880	90,557
Asset Charges	118,220	216,400	216,400
NET	502,940	568,290	591,233
Sports Development - Cost Centre 0565			
Employee Expenses	0	6,790	6,746
Transport Related Expenses	0	80	79
Supplies and Services	23,730	18,500	17,345
Controllable Income	(3,000)	(750)	(747)
Net Controllable	20,730	24,620	23,423
Central and Departmental Support	6,090	2,800	2,773
NET	26,820	27,420	26,196
Leisure Legacy project - Cost Centre 1440			
Employee Expenses	0	6,600	7,548
Supplies and Services	0	117,100	171,463
Controllable Income	0	0	(10,000)
Net Controllable	0	123,700	169,011
Central and Departmental Support	31,690	37,590	38,874
NET	31,690	161,290	207,885
TOTAL SPORT and RECREATION	1,575,630	1,851,250	1,916,969
PROGRAMME AREA - STRATEGIC and DEVELOPMENT SERVICES			
Strategic Leisure and Health Development - Cost Centres 0562/0206			
Employee Expenses	114,250	37,040	40,190
Transport Related Expenses	3,570	1,100	1,098
Supplies and Services	3,300	1,950	1,957
Net Controllable	121,120	40,090	43,245
Central and Departmental Support	179,840	61,500	62,760
Asset Charges	10,250	0	0
Rechargeable Income	(307,180)	(100,320)	(101,716)
TOTAL STRATEGIC and DEVELOPMENT	4,030	1,270	4,289
PROGRAMME AREA - CULTURAL MANAGEMENT			
Cultural and Visitor Services Manager - Cost Centre 0530			
Employee Expenses	0	32,680	36,668
Supplies and Services	0	250	97
Net Controllable	0	32,930	36,765
Central and Departmental Support	0	520	528
Rechargeable Income	0	(33,450)	(33,311)
TOTAL CULTURAL MANAGEMENT	0	0	3,982

LEISURE, CULTURE and TOURISM
Revenue Accounts for the Year Ended 31st March 2014

Service/Description	Original Budget £	Revised Budget £	Actual 2013/14 £
PROGRAMME AREA - CULTURAL FACILITIES			
<u>Revolution House/Museum - Cost Centres 0535/0536/0537</u>			
Employee Expenses	134,030	124,760	135,474
Premises Related Expenses	77,930	77,100	74,906
Transport Related Expenses	920	390	(67)
Supplies and Services	32,530	93,770	85,010
Contracted Services	7,220	7,260	7,254
Controllable Income	(11,210)	(72,750)	(71,249)
Net Controllable	241,420	230,530	231,328
Central and Departmental Support	50,460	44,140	41,095
Asset Charges	45,640	45,640	45,645
NET	337,520	320,310	318,068
<u>Winding Wheel - Cost Centres 0539/0540/0947</u>			
Employee Expenses	371,500	379,820	407,730
Premises Related Expenses	139,130	139,470	135,045
Transport Related Expenses	3,030	2,150	865
Supplies and Services	578,260	474,050	463,267
Contracted Services	25,510	25,750	26,237
Controllable Income	(843,170)	(686,220)	(709,769)
Net Controllable	274,260	335,020	323,375
Central and Departmental Support	54,810	53,270	49,044
Asset Charges	122,330	123,020	123,024
Rechargeable Income	(23,910)	(23,610)	(19,623)
NET	427,490	487,700	475,820
<u>Arts Development - Cost Centre 0542</u>			
Employee Expenses	29,840	27,520	28,554
Transport Related Expenses	560	200	41
Supplies and Services	30,070	30,270	21,841
Net Controllable	60,470	57,990	50,436
Central and Departmental Support	13,590	6,660	6,629
NET	74,060	64,650	57,065
<u>Grant Aid, Community Facilities - Cost Centre 0557</u>			
Supplies and Services	3,750	3,750	3,384
<u>Swanwick Memorial Hall - Cost Centre 0552</u>			
Premises Related Expenses	2,460	2,500	2,485
Supplies and Services	0	100	102
Net Controllable	2,460	2,600	2,587
Asset Charges	4,920	4,920	4,919
NET	7,380	7,520	7,506
<u>Hasland Village Hall - Cost Centre 0553</u>			
Employee Expenses	21,450	14,270	13,708
Premises Related Expenses	23,740	24,400	23,434
Supplies and Services	4,560	6,740	24,611
Contracted Services	0	1,620	1,679
Controllable Income	(11,700)	(15,700)	(45,978)
Net Controllable	38,050	31,330	17,454
Central and Departmental Support	16,060	11,230	9,039
Asset Charges	5,190	5,190	5,188
NET	59,300	47,750	31,681
<u>Rest Rooms - Cost Centre 0554</u>			
Employee Expenses	2,490	0	0
Premises Related Expenses	29,090	29,140	28,934
Supplies and Services	0	0	(20)
Net Controllable	31,580	29,140	28,914
Central and Departmental Support	9,540	3,000	3,046
Asset Charges	18,250	18,250	17,746
NET	59,370	50,390	49,706

LEISURE, CULTURE and TOURISM
Revenue Accounts for the Year Ended 31st March 2014

Service/Description	Original Budget £	Revised Budget £	Actual 2013/14 £
Market Hall Assembly Rooms - Cost Centre 0582			
Employee Expenses	10,050	2,170	3,259
Supplies and Services	29,500	24,000	35,208
Controllable Income	(5,000)	(8,800)	(5,935)
Net Controllable	34,550	17,370	32,532
Central and Departmental Support	0	10,920	9,017
NET	34,550	28,290	41,549
Pomegranate Theatre - Cost Centres 1200/1210/1230			
Employee Expenses	288,680	327,050	361,141
Premises Related Expenses	83,940	86,080	85,256
Transport Related Expenses	1,660	850	420
Supplies and Services	410,540	545,000	591,188
Contracted Services	14,890	14,890	15,137
Controllable Income	(593,550)	(787,230)	(834,137)
Net Controllable	206,160	186,640	219,005
Central and Departmental Support	52,220	51,700	44,435
Asset Charges	91,410	91,410	91,414
NET	349,790	329,750	354,854
TOTAL CULTURAL FACILITIES	1,353,210	1,340,110	1,339,633
PROGRAMME AREA - TOURISM, FESTIVAL and EVENTS			
Tourism Publicity - Cost Centre 0520			
Employee Expenses	13,870	9,870	10,750
Transport Related Expenses	400	50	56
Supplies and Services	43,250	42,780	41,502
Controllable Income	0	(3,490)	(3,492)
Net Controllable	57,520	49,210	48,816
Central and Departmental Support	4,260	9,550	7,773
NET	61,780	58,760	56,589
Visitor Information Centre - Cost Centre 0534			
Employee Expenses	152,770	129,860	143,732
Premises Related Expenses	35,120	33,620	32,436
Transport Related Expenses	500	300	346
Supplies and Services	29,630	28,940	27,053
Contracted Services	8,660	8,660	8,664
Controllable Income	(55,100)	(54,780)	(57,145)
Net Controllable	171,580	146,600	155,086
Central and Departmental Support	25,700	26,300	26,877
Asset Charges	9,650	9,540	9,540
NET	206,930	182,440	191,503
Arts and Market Festival - Cost Centre 0527			
Employee Expenses	100	0	0
Supplies and Services	30,520	10,990	10,665
Controllable Income	(11,270)	(2,250)	(2,265)
Net Controllable	19,350	8,740	8,400
Central and Departmental Support	220	380	357
NET	19,570	9,120	8,757
Illuminations/Entertainments/Fireworks - Cost Centres 0543/0544/0545/0548			
Premises Related Expenses	2,200	3,100	2,301
Supplies and Services	83,500	77,680	75,892
Controllable Income	(3,360)	(3,210)	(2,940)
Net Controllable	82,340	77,570	75,253
Central and Departmental Support	4,840	3,270	3,214
NET	87,180	80,840	78,467
TOTAL TOURISM, FESTIVAL and EVENTS	375,460	331,160	335,316

LEISURE, CULTURE and TOURISM
Revenue Accounts for the Year Ended 31st March 2014

Service/Description	Original Budget £	Revised Budget £	Actual 2013/14 £
PROGRAMME AREA - MARKETS and MARKET HALL			
<u>Chesterfield Open Market - Cost Centre 0100</u>			
Employee Expenses	146,650	145,460	148,671
Premises Related Expenses	190,990	187,870	187,620
Transport Related Expenses	2,860	2,810	2,958
Supplies and Services	32,070	29,790	37,855
Contracted Services	8,190	8,190	8,188
Income	(650,810)	(606,610)	(600,694)
Net Controllable	(270,050)	(232,490)	(215,402)
Central and Departmental Support	104,030	81,240	79,814
Asset Charges	47,390	47,390	47,390
NET	(118,630)	(103,860)	(88,198)
<u>Staveley Open Market - Cost Centre 0101</u>			
Premises Related Expenses	4,630	3,670	3,846
Supplies and Services	3,500	3,500	3,500
Income	(370)	(370)	(284)
Net Controllable	7,760	6,800	7,062
Asset Charges	830	830	326
NET	8,590	7,630	7,388
<u>Speciality Markets and Car Boot - Cost Centres 0105/0107</u>			
Employee Expenses	1,970	120	406
Premises Related Expenses	240	240	0
Supplies and Services	10,040	5,940	6,615
Income	(35,140)	(26,410)	(24,425)
Net Controllable	(22,890)	(20,110)	(17,404)
Central and Departmental Support	13,390	9,590	9,510
NET	(9,500)	(10,520)	(7,894)
<u>Market Hall - Cost Centres 0102/0103</u>			
Employee Expenses	56,010	58,300	62,650
Premises Related Expenses	131,130	136,620	98,217
Supplies and Services	4,300	5,110	10,077
Contracted Services	17,430	18,800	19,746
Income	(345,060)	(248,320)	(258,134)
Net Controllable	(136,190)	(29,490)	(67,444)
Central and Departmental Support	78,410	85,820	92,140
Asset Charges	0	0	3,229,802
NET	(57,780)	56,330	3,254,498
<u>Markets Administration - Cost Centre 0104</u>			
Employee Expenses	90,840	80,660	85,511
Premises Related Expenses	2,780	2,780	2,772
Transport Related Expenses	0	0	102
Supplies and Services	2,000	2,000	3,398
Net Controllable	95,620	85,440	91,783
Central and Departmental Support	42,520	47,920	45,532
Rechargeable Income	(138,140)	(133,480)	(131,660)
NET	0	(120)	5,655
TOTAL MARKETS and MARKET HALL	(177,320)	(50,540)	3,171,449
PROGRAMME AREA - COACH STATION			
<u>Coach Station - Cost Centre 0085</u>			
Premises Related Expenses	38,210	36,490	36,699
Supplies and Services	7,320	7,790	7,264
Contracted Services	18,710	18,710	20,510
Income	(38,500)	(41,500)	(35,130)
Net Controllable	25,740	21,490	29,343
Central and Departmental Support	6,010	9,000	8,126
Asset Charges	20,270	20,270	20,269
TOTAL COACH STATION	52,020	50,760	57,738

LEISURE, CULTURE and TOURISM
Revenue Accounts for the Year Ended 31st March 2014

SUBJECTIVE ANALYSIS

Description	Original Budget £	Revised Budget £	Actual 2013/14 £	Variance	
				Over/(Underspend) £	%
Expenditure					
Employee Expenses	2,932,740	2,838,860	3,046,302	207,442	7.3%
Premises					
Repairs and Maintenance	454,910	455,230	453,591	(1,639)	(0.4%)
Energy and Water	631,760	613,010	591,315	(21,695)	(3.5%)
Rent and Rates	398,220	395,760	395,904	144	0.0%
Refuse Charges	135,060	132,860	131,161	(1,699)	(1.3%)
Other (mainly Insurance)	60,380	59,080	54,589	(4,491)	(7.6%)
Transport Expenses	18,250	12,030	9,759	(2,271)	(18.9%)
Supplies and Services					
Equipment and Materials	389,050	345,730	389,006	43,276	12.5%
Professional Serv/Coaching Fees	458,290	607,660	621,265	13,605	2.2%
Artistes' Fees	747,430	777,020	831,223	54,203	7.0%
Advertising and Publicity	206,200	174,490	166,491	(7,999)	(4.6%)
Provisions	102,410	97,090	97,090	0	0.0%
Special Projects	1,000	62,420	58,905	(3,515)	(5.6%)
Other	138,130	132,300	98,993	(33,307)	(25.2%)
Contracted Services	200,260	231,530	235,328	3,798	1.6%
Central and Departmental Support	840,140	764,250	739,534	(24,716)	(3.2%)
Asset Charges	743,800	828,730	4,057,532	3,228,802	389.6%
	8,458,030	8,528,050	11,977,988	3,449,938	40.5%
Income					
Government Grants (applied)	(1,000)	(62,420)	(96,595)	(34,175)	(54.8%)
Contributions from Other Local Authorities	(76,460)	(143,290)	(143,322)	(32)	(0.0%)
Sales	(515,660)	(456,930)	(468,582)	(11,652)	(2.6%)
Fees and Charges	(3,056,390)	(3,022,410)	(3,107,270)	(84,860)	(2.8%)
Rents	(1,019,210)	(913,130)	(917,025)	(3,895)	(0.4%)
Other Income	(129,900)	(115,000)	(127,372)	(12,372)	(10.8%)
Recharges					
General Fund	(470,270)	(289,310)	(286,878)	2,432	0.8%
HRA	(6,110)	(1,550)	(1,568)	(18)	(1.2%)
	(5,275,000)	(5,004,040)	(5,148,612)	(144,572)	(2.9%)
NET EXPENDITURE	3,183,030	3,524,010	6,829,376	3,305,366	93.8%

LEISURE, CULTURE and TOURISM 2013/14 - VARIANCE ANALYSIS

Service and Programme Area	Budget Head and Narrative	Over/(Under) Revised Budget £'000	Carry Forward Requests £'000	Variance ongoing ✓
Queen's Park SC	Salaries and Wages	(9)	4	
	Pension current service costs adj, offset in Governance portfolio	54		✓
	Added Years costs	4		✓
	Energy and Water	25		✓
	Clothing and Uniforms	(4)		
	Catering provisions	(6)		
	Professional Services/Coaching Fees/Advertising	(28)		
	Swimming income	(1)		
	Dry Sports income	(34)		
	Catering Income	10		
	Fitness Suite/General income	(6)		
Healthy Living Centre	Salaries and Wages	3	3	
	Pension current service costs adj, offset in Governance portfolio	42		✓
	Electricity and Water	13		✓
	Gas	(14)		✓
	Clothing and Uniforms	(3)		
	Swimming income	13		
	Dry Sports income	(17)		
	Fitness Suite/General income net of other variances	(8) (2)		
Sports Development	Supplies and Services	(1)		
Leisure Legacy project	Consultancy support	55		
	Grant income	(10)		
Controllable	sub-total	76		
Non-Controllable	Internal Recharges	(8)		
	Internal Rechargeable Income	(2)		
Sport and Recreation Total		66	7	
Strategic Leisure	Pension current service costs adj, offset in Governance portfolio	3		✓
Controllable	sub-total	3		
Non-Controllable	Internal Recharges	1		
	Internal Rechargeable Income	(1)		
Strategic and Development Services Total		3	0	
Cultural Management	Pension current service costs adj, offset in Governance portfolio	3		✓
	net of other variances	1		
Cultural Management Total		4	0	
Museum	Pension current service costs adj, offset in Governance portfolio	9		✓
	Supplies and Services (incl. £4k Special Projects)	(9)		
Winding Wheel	Salaries and Wages	4		
	Pension current service costs adj, offset in Governance portfolio	24		✓
	Energy and Water	(4)		✓
	Bar and Catering provisions	11		
	Printing/Communications	(15)		
	Professional Services/Advertising/Bank Charges	(25)		
	Artistes' Fees	20		
	Promotions income	(5)		
	Lettings income	(8)		
	Bar and Catering income net of other variances	(11) (2)		
Arts Development	Projects	(8)		
Hasland Village Hall	Furniture (transferred from capital scheme)	20		
	Artistes' Fees	(2)		
	Promotions/Lettings income	(5)		
	Grant income (HLF)	(25)		
Assembly Rooms, Market Hall	Furniture (transferred from capital scheme)	11		
	Promotions/Lettings income	3		

LEISURE, CULTURE and TOURISM 2013/14 - VARIANCE ANALYSIS

Service and Programme Area	Budget Head and Narrative	Over/(Under) Revised Budget £'000	Carry Forward Requests £'000	Variance ongoing ✓
Pomegranate Theatre	Salaries and Wages	14		
	Pension current service costs adj, offset in Governance portfolio	19		✓
	Electricity and Water	1		✓
	Gas	(2)		✓
	Printing/Communications	(7)		
	Professional Services/Advertising/Bank Charges	15		
	Artistes' Fees/Royalties	39		
	General income	5		
	Bar and Catering income	3		
	Production income	(55)		
Controllable	sub-total	15		
Non-Controllable	Internal Recharges	(18)		
	Asset Charges	(1)		
	Internal Rechargeable Income	4		
Cultural Facilities Total		0	0	
Tourism Publicity, Visitor Info. Centre, Festival and Events	Pension current service costs adj, offset in Governance portfolio	12		✓
	Electricity	(2)		✓
	Supplies and Services	(3)		
	Income	(2)		
Controllable	sub-total	5		
Non-Controllable	Internal Recharges	(1)		
Tourism, Festival and Events Total		4	0	
Markets	Salaries and Wages	(5)		
	Pension current service costs adj, offset in Governance portfolio	16		✓
	Electrical repairs - offset by savings in Amenity Maintenance	10		
	Open Market rents	6		
	Antiques Market rents	(2)		
	Christmas Market rents	2		
Market Hall	Salaries and Wages (including long-term sickness)	4		
	Pension current service costs adj, offset in Governance portfolio	1		✓
	Energy and Water	(36)		
	Equipment	5		
	Recharges, service charges and rents	(8)		
	net of other variances	(5)		
Controllable	sub-total	(12)		
Non-Controllable	Internal Recharges	2		
	Asset Charges (revaluation adjustment)	3,229		
	Internal Rechargeable Income	2		
Markets and Market Hall Total		3,221	0	
Coach Station	Building Cleaning	2		
	Income	6		
Controllable	sub-total	8		
Non-Controllable	Internal Recharges	(1)		
Coach Station Total		7	0	
Portfolio Total (net overspend against Revised Budget)		3,305	7	

**LEISURE, CULTURE and TOURISM 2013/14
CARRY FORWARD REQUEST**

Service	Budget Head	Reason	Amount (£)		C-fwd Request (£)
QPSC and HLC	Clothing & Uniforms	Expenditure delayed, pending rebrand	Revised	7,850	£7,000
			Actual	770	
			Balance	7,080	

LEISURE, CULTURE and TOURISM - CAPITAL SCHEMES

Code	SCHEME	REVISED SCHEME TOTALS			PHASING OF GROSS COSTS					
		GROSS COST £'000	GRANTS & CONTRIBS £'000	NET COST £'000	pre Apr 13	2013/14		2014/15	2015/16	2016/17
					Actual £'000	Budget £'000	Outturn £'000	Budget £'000	Budget £'000	Budget £'000
8868	Market Hall Refurbishment	5,106	2,120	2,986	1,707	3,399	3,369	30	0	0
8906	Venues Refurbishment	706	495	211	35	53	82	589	0	0
8912	Queen's Pk Sports Centre new build	9,250	2,500	6,750	0	350	482	5,468	3,300	0
PORTFOLIO TOTALS		15,062	5,115	9,947	1,742	3,802	3,933	6,087	3,300	0

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FOR PUBLICATION

UPDATED COLLECTING AND RATIONALISATION & DISPOSAL POLICIES FOR CHESTERFIELD MUSEUM (L000)

MEETING: 1. EXECUTIVE MEMBER FOR LEISURE,
TOURISM & CULTURE
2. CABINET

DATE: 1. 10 JUNE 2014
2. 17 JUNE 2014

REPORT BY: HEAD OF REGENERATION

WARD: ALL

COMMUNITY ASSEMBLY: ALL

KEY DECISION NUMBER 397

1.0 **PURPOSE OF REPORT**

1.1 To update the Acquisitions and Disposals Policy for Chesterfield Museum, in line with Arts Council England Accreditation Standards.

1.2 To develop a procedure for dealing with the disposal of items from Chesterfield Museum's collections, in accordance with good practice.

2.0 **RECOMMENDATIONS**

2.1 To approve the updated Collecting Policy for Chesterfield Museum Service.

2.2 To approve the Rationalisation and Disposal Policy for Chesterfield Museum Service.

2.3 To form a cross-party Museum Collections Committee, chaired by the Executive Member for Leisure, Culture and Tourism, to consider recommendations for retention or disposal of objects from Chesterfield Museum's collections.

2.4 To delegate the responsibility of disposing of objects from Chesterfield Museum's collections to the Museum Collections Committee, acting on the advice of the curatorial staff.

3.0 **BACKGROUND**

3.1 The Museums' Accreditation Scheme sets nationally agreed standards for museums in the UK. Accredited museums must demonstrate their commitment to managing collections effectively for the enjoyment and benefit of users. Accreditation allows museums to assess their current performance and supports them in planning and developing their services. It also allows a museum to apply for funding grants from the Arts Council England and strengthens applications for funding from other public and private organisations.

3.2 All accredited museums must have an acquisitions and disposal policy, which not only provides the basis for the disposal process but also details the rationale behind the acquisition of objects for the collection. This policy should be reviewed every 5 years. Chesterfield Museum's current Acquisitions and Disposal Policy was last approved in 2008 and now needs to be updated.

3.3 In accordance with modern thinking, the Acquisitions and Disposal Policy is now divided into separate but linked policies – the Collecting Policy and the Rationalisation and Disposal Policy.

3.4 Although there is currently an Acquisitions and Disposal Policy in place, there are no procedures contained within the document on how to dispose of objects from the collection, if they do not fit the acquisition guidelines contained in the Policy. The Museums Association advises that museum collections need to be reviewed and developed in response to the needs of today's society.

3.5 Chesterfield Museum's collections are stored both onsite at the Stephenson Memorial Hall and offsite at 6 Ashgate Road. When the Museum's accreditation was renewed in 2013, reference was made to the need for investment in the storage facilities at Ashgate Road. It is proposed that, as part of Great Place Great Service, this site will be put up for sale and a new store for the collection will be located. This provides an opportunity for the rationalisation of the collections prior to the move.

4.0 **EXISTING COLLECTIONS**

- 4.1 The permanent collection concentrates on the social history of Chesterfield. It aims to provide the local community and visitors with information about the history of Chesterfield through its permanent displays and a programme of temporary exhibitions. There are over 31,000 objects in the permanent collection, including ceramics such as Brampton and Pearson's Potteries, the Robinson's collection, items from schools such as St Helena and Tapton House, the Red House Railway and the Council's weights and measures.
- 4.2 In addition there is a large collection of archaeology consisting of 41 archives relating to excavations, building surveys and archaeological watching briefs. These mainly relate to archaeological work within the Borough of Chesterfield. This collection also consists of individual finds and hoards which were Treasure Trove.
- 4.3 These items are used for the permanent display in the Museum and less than 5% of the collection is on display, which is slightly below the national average. The Museum also organises a programme of temporary exhibitions which utilise other objects from the permanent collection.
- 4.4 There is also an education collection which is secondary to the permanent collection and comprises 8,000 items including original items and replicas. These include duplicates of items within the permanent collection and items which are representative of aspects of social and industrial history but are not necessarily directly connected with the local area. These mainly span the 19th and 20th centuries. Items in this collection are used for loan boxes which go out to schools, and reminiscence boxes which go to care homes. They are also used for handling sessions at the Museum.

5.0 **COLLECTING POLICY**

- 5.1 This document (attached at Appendix 1) outlines Chesterfield Borough Council's policies in acquiring material for its museum collections. The Borough Council recognises that in operating a Museum it acts as a long term guardian of collections in the public domain and is accountable to the public for its actions.
- 5.2 The Policy details both the permanent and education collections, and sets criteria for future collecting. The main focus is on items

that are significant to the history of Chesterfield, but other conditions also apply:

- 5.2.1 Provenance – there must be a clear links to the Borough of Chesterfield for items to be accessioned into the permanent collection.
 - 5.2.2 Uniqueness – the Museum will not usually collect material for the permanent collection which duplicates examples already held.
 - 5.2.3 Storage and Condition – the cost of storage and conservation must be taken into account when acquiring material.
 - 5.2.4 Conflict with the collecting policies of other organisations.
 - 5.2.5 Suitability for education collection – if an item does not meet the criteria for acquisition into the Museum’s permanent collection, the Museum may consider whether it would be suitable for use in the education collection. Consideration will include the object’s use for subjects within the National Curriculum and its use for reminiscence purposes.
 - 5.2.6 Wishes of the donor – the Museum reserves the right to decline acceptance of an object where the wishes of the donor cannot be fulfilled or where the wishes are considered unreasonable.
 - 5.2.7 Display – consideration should be given for the potential for the object to be used in the permanent display, or in a temporary exhibition.
- 5.3 Some aspects of the collection also have specific conditions attached, for example, the Museum is not actively collecting new archaeological material except for significant local finds, but will actively collect objects relating to sporting and leisure activities in Chesterfield, but excluding the collection of trophies.
- 5.4 Limitations on collecting are also identified within the policy. These include:
- 5.4.1 Care of Collections – the Museum will not acquire, unless under exceptional circumstances, material that is not in good condition. Consideration must be given to the ability

of the service to meet the care and conservation costs of all items.

5.4.2 Duplication – the acquisition of material for the permanent museum collection needs to be considered carefully to prevent duplication.

5.4.3 Storage Capacity – the number and size of items that can be accepted is ultimately restricted by the amount of storage capacity.

5.4.4 Use of Collections – the Museum will only acquire items which are capable of being used for display, outreach, research or education.

5.5 One of the significant changes to the Collecting Policy is the emphasis on collecting items from Chesterfield Borough and only collecting objects from North Eastern Derbyshire where they had a significant impact on the history of Chesterfield.

5.6 New archaeological items will not actively be collected unless they are significant finds discovered as part of an official excavation within the Borough, or are important finds by individuals, including items declared Treasure Trove.

5.7 The cost of storage and conservation will now be taken into account when acquiring new material. Where these costs are prohibitive, or where the storage capacity is not available, the Museum may consider declining the gift. This is inline with current best practice.

6.0 **RATIONALISATION & DISPOSAL POLICY**

6.1 Museum collections represent the generosity of past and current donors and are established for the long term. Each generation has responsibility to the next to ensure that they do not become unmanageable and that they remain sustainable. Responsible curatorially-motivated disposal takes place as part of a museum's long-term development of its collections in order to make them sustainable and increase public benefit from those collections.

6.2 The Rationalisation and Disposal Policy (attached at Appendix 2) outlines Chesterfield Borough Council's rationale and procedures in reviewing material in its museum collections and assessing their significance in order to inform decisions about their future care.

- 6.3 It is imperative that collections are used and developed in response to the needs of today's society. Museums must balance the safeguarding and retention of items within their collections with the need to review and develop collections, acquire items and, in some cases, remove them.
- 6.4 The aims of rationalisation are to ensure that the Museum's collections continue to be of high quality and, in accordance with the Collecting Policy, relevant to Chesterfield. Periodic review ensures that the best use is made of the resources available.
- 6.5 The consideration of items for disposal must be guided by the Museum's Collecting Policy. This policy states that Chesterfield Museum aims to acquire material evidence and associated information that reflects the history of Chesterfield.
- 6.6 Prior to disposing of any item, consideration should be given to the outcome of the disposal. There are a range of primary outcomes:
- Improved care for the item.
 - Improved access to the item by the public.
 - Improved context for the item.
 - Continued retention of the item within the public domain.
 - Removal of any hazard posed by an item (e.g. through contamination).
- 6.7 In addition, there are other incidental outcomes to be considered:
- Resources freed up to better care for and utilise other parts of the collection.
 - Creating or optimising space in order to improve care and continued acquisitions.

7.0 **RATIONALISATION PROCESS**

7.1 Items within Chesterfield Museum's collections will be assessed either individually or, where applicable, as a group. They will be assessed against a range of criteria including:

- Exploitability – the potential of objects to be used for outreach, research, educational purposes, tourism and profile raising.
- Display – have objects been on display or have the potential to be on display.
- Historical significance – this is with specific reference to Chesterfield but certain items may have a national or regional significance.
- Provenance – do we know the context, background information behind an object.
- Uniqueness – is the object a rare example, are there exact duplicates or duplicates of type in the collections.
- Ownership – does Chesterfield Borough Council have clear ownership?
- Condition

7.2 A Collections Assessment Matrix has been developed outlining the criteria an item will be judged against and a copy of this matrix is contained in Appendix 2. Items assessed will be given a score from A to D to inform the rationalisation recommendation. An item may be unique and score an A, but cannot be displayed either as part of the permanent collection or in a temporary exhibition and score a D, and may be recommended for rationalisation.

7.3 The initial rationalisation assessment will be carried out by the senior curatorial staff, with reference to the Tourism, Museums & Events Manager.

7.4 A report will be provided for each item or group of items which includes:

- Simple name of the item.
- A brief description – including year and method of acquisition.
- Entry or accession number(s).
- Location of the item within the store.
- Rationalisation matrix scores.
- Statement of significance.
- Recommendations.
- Photographs of the item.

A copy of the Rationalisation Report is contained in Appendix 2.

- 7.5 There is currently no delegated responsibility for disposing of items from the Museum's collections. As stated in the Museum Association's Code of Ethics, the decision to remove an object must be made by the Museum's governing body (in the case of Chesterfield Museum, Chesterfield Borough Council) and not by a member of staff acting alone.
- 7.6 It is suggested that delegated responsibility for disposal of items from the collections should be given to a cross-party Museum Collections Committee of members, which would be chaired by the Executive Member for Leisure, Culture and Tourism. All decisions made by the Committee would be based on advice from the curatorial staff, and must be documented.
- 7.7 All completed Rationalisation Reports would be submitted to the Committee and the recommendations considered. The final decision on whether to retain or dispose of an object would rest with the Committee. This is in line with other decision making processes within the Council, e.g. Planning Sub-Committee which considers percentage for art decisions. A draft copy of the terms of reference for this Committee is attached at Appendix 3.

8.0 **DISPOSAL**

- 8.1 Once the Committee has agreed that an item should be disposed of, the status of the item and the method of its entry into the collection needs to be taken into account. The information on how the item was acquired is included on the Rationalisation Report. This will affect and influence the method of disposal.

8.1.1 **Loan**

If the item is on loan, the lender must be contacted to discuss its return.

8.1.2 **Purchase**

If the item was acquired with the assistance of external funds, the funding bodies must be contacted to discuss any planned course of action.

8.1.3 **Donation/Bequest**

Establish whether there were any conditions laid down at the time of deposition that may affect any planned disposal.

8.1.4 **Unaccessioned**

If an item has not been accessioned into the collection, or if its method of entry is unknown, the museum must go to reasonable lengths to research the history of the item.

8.1.5 **Legal Considerations**

Review the documentation of the item to ensure that the museum has legal title to remove it, and that there are no conditions attached that might prevent the museum from following this course of action.

8.2 There are a number of options available for disposal of an item but preference should be given to keeping the item in the public domain.

8.2.1 It is recommended, where possible that the item is given as a free gift, or as a transfer, to another accredited museum. This should be considered first as it is most likely that items will remain cared for and accessible to the public.

8.2.2 If no accredited museum will accept the item, it could be given as a free gift or transfer to another institution or organisation within the public domain. In this case, consideration should be given to whether the recipient can provide adequate care and opportunities for access to the item.

8.2.3 If it proves impossible to keep an item in the public domain, the museum may consider returning the item to the donor. This may be the preferred course of action where there are extenuating circumstances such as conditions laid down on the donation, or where an item has personal significance to the donor, and is of a low cultural value or may be transferred out of the area.

8.2.4 Although there is a preference and tradition of free gift or transfer between museums, consideration should be given to selling an item to other museums. This may be the preferred option if the museum purchased the item with its own funds or has spent a significant amount of money on conserving it. Any money raised must be applied solely and directly for the benefit of the museum's collections.

8.2.5 If the options above are unsuccessful, the object could be transferred outside the public domain. The item should first be advertised to museums on the Museums Associations

'Find an Object' web listing service. There may, however, be circumstances where an object can be transferred to individuals or bodies outside the public domain, such as enthusiasts or specialist groups.

8.2.6 Consideration can also be given to sale of the item outside the public domain. As in 8.2.4 above, any money raised should be applied solely and directly for the benefit of the collections.

8.2.7 If a new location cannot be found for the item, it may be possible to recycle the item through sale as scrap or as a gift to charity.

8.2.8 If the item poses a risk to the health and safety of individuals or the collection, it can be destroyed. The museum may have to seek expert help to destroy an item safely (e.g. if an item contains asbestos).

9.0 **CONSULTATION**

9.1 Consultation has taken place with the Museums Association through their Collections Development Programme. An officer has visited Chesterfield Museum and offered advice on rationalisation in line with Arts Council England's Accreditation Standards. Support has been offered and this will be a great help in moving the project forward.

10.0 **LEGAL IMPLICATONS**

10.1 There may be legal reasons that prevent the disposal of an item. Although these mainly apply to national museums or museums that are constituted as charities, they also include conditions attached to a donation or bequest.

10.2 Legal restrictions will be considered when any item is selected for disposal.

11.0 **FINANCES**

11.1 It should be noted that it is unethical to dispose of an item for financial gain, or to cover a budget shortfall.

11.2 The rationalisation project will require a significant contribution of staff time. Additional financial resources may be required for:

- Occasional employment of specialists to provide context/ background on an object's historical significance where it falls outside the knowledge of the curatorial staff, for which funding could be sourced from the existing Museum budget.
- To bring an alternative property up to standard as an offsite store for the Museum collections.

11.3 The Museums Service is working with Great Place, Great Service to find a new offsite store. A request for income from the proposed sale of the Ashgate Road site will be made in order to improve any property selected to the necessary standard. At the time of writing this report, an alternative site has not yet been identified and no costs can, therefore, be estimated.

12.0 **RISK MANAGEMENT**

Description of Risk	Likelihood	Impact	Mitigating Action	Resultant Likelihood	Resultant Impact
Rationalisation not supported by local people	M	H	Consultation event to take place to explain process and benefits	L	L
Suitable alternative storage not available for collections	M	H	Investment in council owned property from proposed sale of 6 Ashgate Road to bring Council owned property up to standard	L	L
Unethical disposal of items	M	H	Use of disposal toolkit	L	L

13.0 **EQUALITIES IMPACT ASSESSMENT (EIA)**

13.1 A preliminary EIA has been undertaken for both the Collecting Policy and Rationalisation and Disposal Policy. In developing permanent collections, Chesterfield Museum Service aims to acquire material that reflects the history and identity of Chesterfield and the diversity of its local communities.

13.2 No negative impacts are anticipated as a result of implementing these policies. The promotion of use of items for reminiscence groups within Chesterfield is anticipated to have a positive impact on older people, and as the Museum has little material from ethnic minority groups in Chesterfield, the Collecting Policy places importance on considering acquiring material from these groups.

14.0 **ALTERNATIVE OPTIONS TO BE CONSIDERED**

14.1 The Council could decide not to rationalise Chesterfield Museum & Art Gallery's collections, but this could put the existing collections at risk as resources may not be available to care and conserve the objects to the required standard.

15.0 **RECOMMENDATIONS**

15.1 To approve the updated Collecting Policy for Chesterfield Museum Service.

15.2 To approve the Rationalisation and Disposal Policy for Chesterfield Museum Service.

15.3 To form a cross-party Museum Collections Committee, chaired by the Executive Member for Leisure, Culture and Tourism, to consider recommendations for retention or disposal of objects from Chesterfield Museum's collections.

15.4 To delegate the responsibility of disposing of objects from Chesterfield Museum's collections to the Museum Collections Committee, acting on the advice of the curatorial staff.

16.0 **REASONS FOR RECOMMENDATIONS**

16.1 There is currently not delegated responsibility for disposal of items in the Museum collections. As disposal is a necessary part of any collections review, it is important that a delegated authority is appointed.

16.2 Rationalising Chesterfield Museum's collections will allow better care and conservation of objects retained, as well as more opportunities to display retained items and better access for people wanting to use the collections for research, providing a better service.

You can get more information about this report from Alyson Barnes (01246 345775).

Officer recommendation supported/not supported/modified as below or Executive Member's recommendation/comments if no officer recommendation.

A Serjeant

Signed

Executive Member

Date 10.06.14

Consultee Executive Member/Support Member comments (if applicable)/declaration of interests

COLLECTING POLICY
Chesterfield Borough Council
Museum Service

April 2014



CONTENTS

	Page
1 Introduction	3
2 Statement of Purpose	3
3 Existing Collections – Permanent Collection	3
4 Existing Collections – Education Collection	7
5 Criteria for Future Collecting	8
6 Specific Considerations.....	9
7 Limitations on Collecting	12
8 Collecting Policies of Other Museums.....	13
9 Policy Review Procedure	13
10 Acquisitions not Covered by the Policy	13
11 Acquisitions Procedures.....	13
12 Spoliation	14
13 Repatriation and Restitution of Objects.....	14
14 Management of Archives	15
15 Disposal Procedures	15

1.0 INTRODUCTION

- 1.1 This document outlines Chesterfield Borough Council's policies in acquiring material for its museum collections. The Borough Council recognises that in operating a Museum it acts as a long term guardian of collections in the public domain and is accountable to the public for its actions.

2.0 STATEMENT OF PURPOSE

- 2.1 The purpose of Chesterfield Museum Service is:

- To preserve, interpret, develop and manage the Council's museum collection
- To operate Chesterfield Museum and the Revolution House
- To promote interest in the history of Chesterfield
- To provide other services appropriate to a museum

for the education and enjoyment of the people of Chesterfield and society at large.

2.2 Aim – Permanent Collection

In developing permanent collections, Chesterfield Museum Service aims to acquire material evidence and associated information that reflects the history and identity of Chesterfield and the diversity of its local communities.

2.3 Aim – Education Handling Collection

In acquiring an education handling collection, Chesterfield Museum Service aims to provide material which can be loaned for use in schools and with reminiscence groups within Chesterfield or used for handling and educational purposes within the museum itself.

3.0 EXISTING COLLECTIONS – PERMANENT COLLECTION

3.1 Archaeology

- Finds from North Derbyshire Archaeological Trust undertaken in Chesterfield town centre during the 1970s.
- Finds from excavations by Harry Monet-Lane in Chesterfield and Derbyshire including archive notes.
- Finds from excavations by North Derbyshire Archaeological Trust from Brackenfield.
- Finds and archive material from archaeological field surveys and assessments carried out in advance of development or open casting in the Chesterfield Borough.
- Archives from excavations at Staveley Hall organised by Staveley Local History Society
- Archive relating to discovery of medieval priest's grave at Spital
- The Malvern Road hoard of Roman coins
- The Morton Hoard of silver denarii
- Hoard of 3rd and 4th century Roman coins found at Grassmoor
- The Clay Cross Hoard of Bronze Age palstaves
- Individual finds found by metal detectorists and acquired under the Treasure Act including a Viking silver ingot and 17th century silver gilt plaque

3.2 **Social & Industrial History – Medieval to early 19th Century**

- Late 14th century builder's windlass used in the construction of Chesterfield Parish Church
- Trade tokens from the 17th & 19th centuries issued by local businesses
- Banner made to celebrate the centenary of the Revolution of 1688 showing the Revolution House
- Shoe buckles made in Bolsover in the 18th century
- Race cards for Chesterfield Races in the late 18th century
- 17th and 18th century domestic items – kitchen utensils and tureen
- Straw work boxes, silk quilt and other material associated with Napoleonic prisoners of war held on parole in Chesterfield
- Cannonballs and small fire grate attributed to Smith's Foundry, Wheatbridge

3.3 **Social & Industrial History – Mid 19th to 21st centuries**

It is in this area that the collections have expanded most rapidly since the opening of Chesterfield Museum. The increased volume of material available for this period reflects the expansion of the town of Chesterfield itself, both in terms of industry and population, and national trends towards mass production and growing affluence.

3.3.1 **Costume & textiles**

- Ritual clothing – christening gowns, wedding dresses, mourning wear, Whit Walk dresses, 'Sunday Best' clothes, Court presentation costume, Deputy Lord Lieutenant's costume, Mayoral robes
- Everyday clothing – underwear, working clothes including footwear, stockings, hats, accessories, personal care & grooming items
- Uniform – Second World War armed services, Home Front uniforms
- Worked textiles - needlework samplers and embroidered items for the home
- Processional banners – Derbyshire Miners Federations and Sunday Schools, banner from the Polish Ex-Combatants Association

3.3.2 **Home Life and Leisure**

- Laundry equipment, kitchen and cleaning equipment, items of furniture including tin baths, child's pram, small selection of toys, two harmoniums, a harp, gramophone, 1930s cinema projector and film stores
- The Roberts Collection of camera and photographic equipment
- The North Midland Railway and Payton Model Engineering Collection
- Items relating to Chesterfield Football Club
- Material relating to clubs and societies from the Chesterfield area, including badges and ephemera
- Collection of World War II 'home front' objects

3.3.3 **Ephemera and Photographs**

- The Handford Collection of documents, books, maps and photographs relating to the history of Old Whittington.
- The Goodlad Collection of ephemera relating to Chesterfield businesses, leisure activities and events.
- Original photographs and postcards of Chesterfield and North Eastern Derbyshire places, scenes and industrial sites including those taken by Chesterfield photographers and studios
- Chesterfield banknotes

- Photographs taken by Borough Council departments usually in advance of redevelopment
- Photographs of Chesterfield Mayors
- Borough extension maps
- Daguerrotype of Charles Markham
- Glass plate negatives showing scenes of Chesterfield and Chesterfield industries
- Programmes and photographs from the Civic Theatre (later the Pomegranate)

3.3.4 **Agriculture**

A small number of items of agricultural equipment from farms around Chesterfield

3.3.5 **Retail and Commercial**

- Equipment and promotional items from Chesterfield shops, often bearing the name of the business (e.g. coat hangers, invoice holders). This includes related ephemera
- Shop fittings from Mr English's grocery shop
- Equipment and stock from the Hanson saddlery business
- Stock from Stanley's drapery shop, North Wingfield
- Small printing press from Chesterfield printer, Thomas Brayshaw
- Dentist's equipment
- Clogger's bench and tools
- Comptometers

3.3.6 **Industry**

- Coal mining equipment (small scale) including emergency wheel from Williamthorpe Colliery, coal tub, miner's lamps, chisels, shovels, tallies, safety equipment
- Stationary steam engines and industrial blacksmith's workshop from Markham Engineering and models of gyratory crusher made at Sheepbridge Engineering
- Wagon plates from Chesterfield wagon makers
- Railway material connected with local lines, stations and sheds
- Equipment and moulds from Whittington Moor and Brampton potteries
- Cotton reels and equipment from Manlove's Mill, Holymoorside
- Material from Dema Glass, Chesterfield Cylinders, Sheepbridge Stokes, Bryan Donkin, Clay Cross Company (including Biwaters), Staveley Company all collected on closure of these industries in the late 1990s and early 2000s
- Memorabilia relating to George Stephenson and family
- Products and material relating to Robinson and Sons
- Collection of mineral water and beer bottles from Chesterfield, Brimington and Staveley mineral water manufacturers and Chesterfield breweries
- Barrel making tools used at Brampton Brewery

3.3.7 **Services**

- Material relating to local schools, particularly Tapton House and St Helena
- Fire Brigade hose cart
- Police service items including typewriter, whistles and notebooks

- Militaria items relating to local regiments
- Material relating to bus transport in Chesterfield

3.3.8 Civic and Commemorative

- Commemorative items including the Eastwood casket, silver trowels etc relating to Chesterfield Borough Council
- Commemorative material from Chesterfield's twin towns and other 'Chesterfields' around the world
- Standard measures
- Commemorative publications and souvenirs of local and national events
- Mementos of important events
- A collection of 'crested ware' bearing the Chesterfield Borough seal or coat of arms.
- Commemorative items relating to the Revolution House and the Centenary, Bi-centenary and Tercentenary
- A collection of sporting, school and civic trophies

3.4 Fine Art

- The Syddall Collection – oils, pastels and pencil sketches by Joseph Syddall (1864-1942) from Old Whittington
- Oil portraits of local dignitaries and industrialists
- Watercolours of churches in the Scarsdale Hundred by Samuel Hieronymous Grimm (1733-1794)
- Oil paintings by David Gilchik (1892-1974) commissioned by the Staveley Company in the 1940s.
- Various pictures in different media of local scenes or by locally based artists
- Examples of the work of Phyllis Hanson, including documentary pictures illustrating the Chesterfield scene in the 1970s and 80s.

3.5 Decorative Art

- 19th and 20th century saltglaze and other stoneware made in Brampton and at Whittington Moor. The 20th century pieces mainly relate to Pearson & Co.
- The Gordon Collection – 1950s studio pottery made by William Gordon at Brampton and Old Whittington. Also includes pottery making equipment and ceramics (including tiles), sketchbooks and drawings from Gordon's later production
- The Eastwood bequest – fine china including Royal Worcester and Crown Derby
- Early 19th century cut lead crystal glass made by the Dixon factory, Whittington
- 20th century glass tableware made in Chesterfield by Dema Glass
- Stained glass windows from Staveley Works and the Pomegranate Theatre
- 17th, 18th and 19th century furniture, some of local provenance, displayed at Revolution House

3.6 **Geology**

- The Robinson Collection – a representative collection of mineral samples both local and non-local formed by an amateur geologist
- Various fossils some of which collected locally from coal seams

3.7 **Natural History**

- Cinnamon starling in case
- One of the last canaries to be used at Markham Colliery

4.0 **EXISTING COLLECTIONS – EDUCATION HANDLING COLLECTION**

The education collection is a secondary collection comprising 8,000 items which includes original items and replicas. These include duplicates of items within the permanent collection and items which are representative of aspects of social and industrial history but are not necessarily directly connected with the local area. These mainly span the 19th and 20th centuries.

4.1 **Social and Industrial History Items (original material)**

- Laundry equipment, domestic items including kitchen equipment, cleaning equipment, lighting and home furnishings
- Bottles and various forms of packaging
- Items related to transport including bus conductor's equipment
- Material relating to World War One (this has been collected specifically for a loan box on the Great War)
- Material relating to World War Two (mostly the Home Front) including gas masks, stirrup pumps, ARP items and rationing
- Costume – underwear, hats, uniforms, Victorian day dress, clothing accessories, Indian costume and miscellaneous items of ladies' wear
- Coins and money – pre-decimal Victorian and 20th century coins, £1 notes, banknotes relating to hyperinflation in post-WWI Germany
- Mining equipment including protective equipment and tallies
- Material relating to other 'Chesterfields' around the world
- Material relating to leisure activities
- Some toys and games
- Rug making and sewing equipment
- Tools
- Clay pipes
- Cameras
- Records including gramophone
- Commemorative items including Royal events

4.2 **Ephemera and photographs**

- Copies and laminated scans of images showing Chesterfield or local industries
- Various glass slides
- A large range of ephemera including theatre programmes, knitting patterns, magazines, newspapers, World War Two booklets, cookery pamphlets and greetings cards

4.3 Replicas

- **Roman material** – pottery, wax tablets, coins, strigils, tesserae, knucklebones, glass, costume (Roman boy, woman and Romano-British lady), child-size soldier's armour including helmet, shield, javelin and sword
- **Viking material** – pottery, jewellery, coins, bone/horn cup, weighing scales, costume, bone needles, runes
- **Medieval material** – pottery, pewter trencher, lighting, distaff, leather purses, arrowheads and arrow shafts, pilgrim badges, fabric, costume (both adult and child sizes)
- **Tudor material** – pottery, pewter plates & flagon, wooden trenchers, leather tankards, games, coins, horn books, pomander, scent bottle, astrolabe, horn & pewter spoons, rushnips, costume
- **World War Two** – costume including aprons, balaclavas, cardigans
- **Food** – a range of replica food items

5.0 CRITERIA FOR FUTURE COLLECTING

When acquiring items for the Museum collections, consideration will be given to the following:

5.1 Historical Significance to Chesterfield

The Museum will acquire items from or associated with the Borough of Chesterfield. The history of the regions of North East Derbyshire and Bolsover are interlinked in many ways with the history of Chesterfield. Although items from these regions will not be actively collected, consideration will be given to the acquisition of objects if they reflect an aspect of Chesterfield's history, had a direct impact on the town and its people, and influenced its development, or are regionally significant.

5.2 Provenance

There must be a clear link to the Borough of Chesterfield or its development for items to be accessioned into the permanent collection.

5.3 Uniqueness

The Museum will not usually collect material for the permanent collection which duplicates examples already held unless it is an integral part of a larger collection. Special consideration will be given to rare or unique examples.

5.4 Storage and Condition

The cost of storage and conservation must be taken into account when acquiring material. Where these costs are prohibitive, or where storage capacity is not available, the Museum may consider declining the gift.

5.5 Conflict with the collecting policies of other organisations

The Museum will take account of the collecting policies of other museums and other organisations collecting in the same or related areas or subject fields.

5.6 Suitability for education collection

If an item does not meet the criteria for acquisition into the Museum's permanent collection, the Museum may consider whether it would be suitable for use in the education collection. Consideration will include the object's use for subjects within the National Curriculum and its use for outreach purposes. Objects accepted into the Education Collection will not necessarily have specific reference to Chesterfield unless a duplicate.

For donated items suitable for the Education Collection, the Museum will make it clear to the donor that these items may be either 'used up' or damaged over time and will not have the same standards of preservation applied to them as the permanent collections.

5.7 Wishes of the donor

The Museum will consider the wishes of the donor when acquiring objects. The Museum reserves the right to decline acceptance of an object where the wishes of the donor cannot be fulfilled or where the wishes are considered unreasonable.

The Museum cannot guarantee an object's immediate or permanent display.

5.8 Display

Consideration should be given for the potential for the object to be used in the permanent display, or in a temporary exhibition. The cost of including an object into the permanent display would also be a consideration.

6.0 SPECIFIC CONSIDERATIONS

6.1 Archaeology

It is Chesterfield Museum's policy not to actively collect new archaeological material. Exceptions to this would either be significant local finds with their associated archives discovered as part of an official excavation within the Borough of Chesterfield, or important archaeological finds by individuals including items declared Treasure Trove.

6.2 Social and Industrial History – Medieval to early 19th century

The collections remain very thin in this area and opportunities to obtain material are few. Where there is a strong connection to Chesterfield, opportunities to develop this collection will be explored.

6.3 Social and Industrial History – Mid 19th to 21st centuries

6.3.1 Costume and Textiles

The Museum does not aspire to be a museum of costume. Consideration should only be given to costume where there is clear provenance to Chesterfield, where information is available about the wearer and where the items reflect the social and industrial history of the town.

Textile and embroidery items will only be acquired if there is a clear connection to Chesterfield and there is significant local information about the item.

Union and Sunday School banners are an important part of Chesterfield's heritage but, because of the high costs of restoration and care of these items, they will be considered on an individual basis in consultation with other authorities and museums having an interest in this material.

6.3.2 Home, Domestic Life & Leisure

Collections are strong in the area of home and domestic life and the Museum will not place emphasis on acquiring further material except where there is a link to other areas of collecting, for example domestic

items which have a good provenance to a Chesterfield manufacturer or the item fills a gap in the collection.

Purchase at a Chesterfield shop or use in a Chesterfield home will not be sufficient reason for acceptance, except where there is an important story attached to the object.

The Museum does not have a wide range of items relating to sporting or leisure activities in the town but does not wish to acquire more trophies, already having a representative collection. The Museum will acquire those items which have a particular story behind them or are related to a significant person or event.

6.3.3 Ephemera and Photographs

Ephemera, such as tax returns etc, which is general in nature and not reflecting life in Chesterfield will not be collected.

Material related to Chesterfield businesses, industries and organisations will be collected only when it does not duplicate material already in the collection except where it is notably different to similar examples.

The Museum will not generally collect archival documents (wills etc) except where they provide supporting evidence for other areas of the collection, or are integral to a larger group, or form part of the historical records of the Borough. These items, if offered, will be referred to the appropriate Record Office or Archive.

6.3.4 Agriculture

The aim is to represent agriculture and its impact on Chesterfield Borough but not to provide a comprehensive collection.

6.3.5 Industry

Where it is known that local industries are about to close, the Museum will consider collecting representative material from the company.

Railway and mining operations are an important part of Chesterfield's industrial history and identity. Objects, however, will only be acquired where there is a clear connection to the area.

Items connected to George Stephenson's life in Chesterfield will be collected where a clear provenance can be established.

6.3.6 Civic and Commemorative

The Museum will not collect items relating to royal and national events. The collecting of commemorative material will be limited to locally produced items and events. The Museum will continue to collect material connected with Chesterfield Borough Council and its predecessor authorities.

6.3.7 Material from Equality Groups

As the Museum has very little material from ethnic minority groups in Chesterfield, consideration will be given to acquiring material from these groups.

6.4 **Fine Art**

Collecting will be limited to works by professional artists originating in or working in Chesterfield, works by other artists reflecting local themes and artworks with a strong connection to the local area.

In addition to professional artists, Chesterfield like any other community has a large number of amateur artists. The quality and quantity of amateur production varies greatly and discretion will be exercised in acquiring this type of work.

6.5 **Decorative Art**

6.5.1 **Local ceramics**

Because of the nature of locally produced pottery, few decorative pieces are true duplicates, but many are similar in shape and decoration. A piece similar to those already in the collection will **not** be acquired unless:

- It is marked or has a well established provenance where the previously collected piece does not.
- It has an interesting story which illuminates social or industrial history or connects it with a local person.
- It forms part of a larger group of items, the integrity of which would be damaged if it were not acquired.

6.5.2 **Glass**

18th and 19th century glass will only be collected where they have clear provenance attributing them to the Whittington Glass Factory. The Museum already has a representative collection of 20th century drinking glasses produced at Dema, Chesterfield. Consideration will, however, be given to acquiring objects from the earlier production of the factory and other products and lines.

6.5.3 **Furniture**

The Council's collection of 17th century and later country furniture was formed to help interpret the Revolution House. Further pieces will only be acquired where there is clear provenance connecting the item to Chesterfield.

Other items of furniture will be considered for collection if they have a strong connection to a significant local person or organisation, or if an item was a significant piece that was made in Chesterfield.

6.6 **Geology**

Chesterfield Museum will not collect geological specimens except where they might illustrate another area of collecting such as social or industrial history.

6.7 **Natural History**

Chesterfield Museum will not collect natural history specimens except where they might illustrate another area of collecting such as social history.

6.8 **Education Collection**

The Museum will not add to its collection of material used for educational and handling purposes except for the replacement of items, to reflect changes in the school curriculum, or if items are required for the development of the loans or outreach service.

7.0 **LIMITATIONS ON COLLECTING**

7.1 **Care of Collections**

The Museum recognises its responsibility for the care and documentation of the collection and all care implications will be considered prior to acquisition.

The Museum will not acquire, unless under exceptional circumstances, material that is not in good condition. Consideration must be given to the ability of the service to meet the care and conservation costs of all items.

The Museum will also take into account the level of staffing required to care for and document the items. This is particularly applicable to donations involving a large number of items.

7.2 **Duplication**

The acquisition of material for the permanent museum collection needs to be considered carefully to prevent duplication, particularly with regard to the social history collection from the 19th century onwards.

In cases where objects are not exact duplicates yet are similar in many ways to the material already held, these will only be collected if:

- They form part of a larger group, the integrity of which would be damaged if the object were not collected.
- They have a particularly interesting story to tell about a local person, place or event.

7.3 **Storage Capacity**

The number and size of items that can be accepted is ultimately restricted by the amount of storage capacity. Heavy industry, particularly engineering, is an important element of Chesterfield's heritage. However, when large objects are offered to the Museum, the resources needed to provide appropriate long-term storage will need to be carefully considered.

7.4 **Use of Collections**

The Museum will only acquire items which are capable of being used for display, outreach, research or education.

8.0 COLLECTING POLICIES OF OTHER MUSEUMS

8.1 The Museum will take account of the collecting policies of other museums and other organisations collecting in the same or related areas or subject fields. It will consult with these organisations where conflicts of interest may arise or to define areas of specialisms, in order to avoid unnecessary duplication and waste of resources. Consideration will also be given to which organisation is best able to make individual items or collections accessible to the public.

8.2 **Specific reference is made to the following museums and archives:**

- Sheffield Museums Trust,
- Buxton Museum & Art Gallery,
- Derby City Museums,
- Sherwood Foresters Museum,
- Derbyshire Records Office
- Derbyshire County Council Library Service

9.0 POLICY REVIEW PROCEDURE

The Collecting Policy will be published and reviewed at least once every five years. The date when the policy is next due for review is April 2019.

The Arts Council will be notified of any changes to the Collecting Policy and the implications of any such changes for the future of existing collections.

10.0 ACQUISITIONS NOT COVERED BY THE POLICY

Acquisitions outside the current stated policy will only be made in very exceptional circumstances, and then only after proper consideration by the curators and governing body of the Museum itself, having regard to the interests of other museums.

11.0 ACQUISITION PROCEDURES

11.1 The museum will exercise due diligence and make every effort not to acquire, whether by purchase, gift, bequest or exchange, any object or specimen unless the governing body or responsible officer is satisfied that the museum can acquire a valid title to the item in question.

11.2 In particular, the museum will not acquire any object or specimen unless it is satisfied that the object or specimen has not been acquired in, or exported from, its country of origin (or any intermediate country in which it may have been legally owned) in violation of that country's laws. (For the purposes of this paragraph 'country of origin' includes the United Kingdom).

11.3 In accordance with the provisions of the UNESCO 1970 Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property, which the UK ratified with effect from November 1 2002, and the Dealing in Cultural Objects (Offences) Act 2003, the museum will reject any items that have been illicitly traded. The governing body will be guided by the national guidance on the responsible acquisition of cultural property issued by the Department for Culture, Media and Sport in 2005.

- 11.4 So far as biological and geological material is concerned, the museum will not acquire by any direct or indirect means any specimen that has been collected, sold or otherwise transferred in contravention of any national or international wildlife protection or natural history conservation law or treaty of the United Kingdom or any other country, except with the express consent of an appropriate outside authority.
- 11.5 The museum will not acquire archaeological antiquities (including excavated ceramics) in any case where the governing body or responsible officer has any suspicion that the circumstances of their recovery involved a failure to follow the appropriate legal procedures.
- 11.6 In England, Northern Ireland and Wales the procedures include reporting finds to the landowner or occupier of the land and to the proper authorities in the case of possible treasure as defined by the Treasure Act 1996.
- 11.7 Any exceptions to the above clauses will only be because the museum is either:
- acting as an externally approved repository of last resort for material of local (UK) origin; or
 - acquiring an item of minor importance that lacks secure ownership history but in the best judgement of experts in the field concerned has not been illicitly traded; or
 - acting with the permission of authorities with the requisite jurisdiction in the country of origin; or
 - in possession of reliable documentary evidence that the item was exported from its country of origin before 1970.
 - In these cases the museum will be open and transparent in the way it makes decisions and will act only with the express consent of an appropriate outside authority.
 - The museum does not hold or intend to acquire any human remains.

12.0 SPOILIATION

The museum will use the statement of principles ‘Spoliation of Works of Art during the Nazi, Holocaust and World War II period’, issued for non-national museums in 1999 by the Museums and Galleries Commission.

13.0 REPATRIATION AND RESTITUTION OF OBJECTS

- 13.1 The museum’s governing body, acting on the advice of the Museum’s professional staff, may take a decision to return human remains (unless covered by the “Guidance for the care of human remains in museums” issued by DCMS in 2005), objects or specimens to a country or people of origin. The museum will take such decisions on a case by case basis, within its legal position and taking into account all ethical implications and available guidance.
- 13.2 The disposal of human remains from museums in England, Northern Ireland and Wales will follow the procedures in the “Guidance for the care of human remains in museums”.

14.0 MANAGEMENT OF ARCHIVES

- 14.1 As the museum holds archives, including photographs and printed ephemera, its governing body will be guided by the Code of Practice on Archives for Museums and Galleries in the United Kingdom (3rd ed., 2002).

15.0 DISPOSAL PROCEDURES

- 15.1 By definition, the museum has a long-term purpose and holds collections in trust for society in relation to its stated objectives. The governing body therefore accepts that the disposal of any items from the collections will be in accordance with the Rationalisation and Disposal Policy.

15.2 Decision Making Process

In accordance with the Council's Constitution, decisions to rationalise the collections and dispose of items will be based on an assessment report and associated recommendations, completed by the curatorial staff. This will be referred to the Museum Collections Committee, representing Chesterfield Borough Council as the governing body of the Museum, for endorsement or veto. This Committee will consist of Councillors from all parties. After discussion, the Committee may decide on an alternative course of action. The Executive Member for Leisure, Culture and Tourism will chair this Committee.

Disposal will not be considered on purely financial grounds and will be in accordance with the Museum's Rationalisation and Disposal Policy.

15.3 Options for Disposal

There are a number of options available for disposal of an item but preference should be given to keeping the item in the public domain.

- 15.3.1 It is recommended, where possible that the item is given as a free gift, or as a transfer, to another accredited museum. This should be considered first as it is most likely that items will remain cared for and accessible to the public.
- 15.3.2 If no accredited museum will accept the item, it could be given as a free gift or transfer to another institution or organisations within the public domain. In this case, consideration should be given to whether the recipient can provide adequate care and opportunities for access to the item.
- 15.3.3 If it proves impossible to keep an item in the public domain, the museum may consider returning the item to the donor. This may be the preferred course of action where there are extenuating circumstances such as conditions laid down on the donation or where an item has personal significance to the donor, is of a low cultural value or the likelihood that the item will be transferred out of the area.
- 15.3.4 Although there is a preference and tradition of free gift or transfer between museums, consideration should be given to sell an item to other museums. This may be the preferred option if the museum purchased the item with its own funds or has spent a significant amount of money on conserving it.

Any money raised must be applied solely and directly for the benefit of the museum's collections.

15.3.5 If the options above are unsuccessful, the object could be transferred outside the public domain. The item should first be advertised to museums on the Museum Associations 'Find an Object' web listing service. There may, however, be circumstances where an object can be transferred to individuals or bodies outside the public domain, such as enthusiasts or specialist groups.

15.3.6 Consideration can also be given to sale of the item outside the public domain. Any money raised should be applied solely and directly for the benefit of the collections.

15.3.7 If a new location cannot be found for the item, it may be possible to recycle the item through sale as scrap or as a gift to charity.

15.3.8 If the item poses as risk to the health and safety of individuals or the collection, it can be destroyed. The museum may have to seek expert help to destroy and item safely (e.g. if an item contains asbestos).

15.4 Documenting Disposal

It is important that all aspects of the disposal process are documented, and this should be done to SPECTRUM standards. Any records should include:

- Reason for disposal
- Desired outcome
- Opinion and advice considered
- Method of disposal
- Conclusion of process
- Any conditions attached
- Information relating to the item and photographs
- Documentation relating to the transfer of title
- Note of any new location

15.5 Communicating the Process

It is important to keep the public informed of plans relating to the disposal of items through the press and media. An open approach that explains the context and potential benefit of the planned course of action will be adopted.

On behalf of Chesterfield Borough Council, under the powers delegated to me as Executive Member for Leisure, Culture and Tourism under the Council's Constitution, I approve the Chesterfield Museum Service Collecting Policy as set out in this document.

Councillor Amanda Serjeant
Executive Member for Leisure, Culture and Tourism

Signed.....Date.....

RATIONALISATION & DISPOSAL POLICY

Chesterfield Borough Council

Museum Service

April 2014



CONTENTS

- 1.0 Introduction 3
- 2.0 Statement of Purpose 3
- 3.0 The Collections 3
- 4.0 Rationalisation..... 4
 - 4.1 Introduction..... 4
 - 4.2 Definition..... 4
 - 4.3 Aims of Rationalisation 4
- 5.0 Methodology..... 5
 - 5.1 Identification of Material..... 5
 - 5.2 Assessment Criteria..... 5
 - 5.3 Consultation..... 6
 - 5.4 Recording and Outcomes of Assessment..... 6
 - 5.5 Decision Making Process 6
- 6.0 Disposal 7
 - 6.6 Considerations on Disposal 7
 - 6.7 Disposal Process 7
- 7.0 Recording the Process 9
- 8.0 Communicating the Process 9

APPENDICES

- 1 Extract from the Museum Association Code of Ethics
- 2 Assessment Matrix
- 3 Assessment Report pro forma

1.0 INTRODUCTION

This document outlines Chesterfield Borough Council's policies and procedures in reviewing material in its museum collections and assessing their significance in order to inform decisions about their future care.

The Borough Council recognises that in operating a museum it acts as a long term guardian of collections however, as part of this process it may be necessary to rationalise or dispose items from the collection. Disposal of these objects allows the museum to focus its resources on relevant and significant collections in terms of access, interpretation and storage

Any disposal is conducted under the guidelines within this policy and by the Museums Association's Code of Ethics (see Appendix 1).

2.0 STATEMENT OF PURPOSE

The purpose of Chesterfield Museum Service is:

- To preserve, interpret, develop and manage the Council's museum collection
- To operate Chesterfield Museum and the Revolution House
- To promote interest in the history of Chesterfield

for the education and enjoyment of the people of Chesterfield and visitors to the town.

2.1 Aim – Permanent Collection

In developing permanent collections, Chesterfield Museum Service aims to acquire material evidence and associated information that reflects the history and identity of Chesterfield and the diversity of its local communities.

2.2 Aim – Education Handling Collection

In acquiring an education handling collection, Chesterfield Museum Service aims to provide material which can be loaned for use in schools and with reminiscence groups within Chesterfield, or used for handling and educational purposes within the Museum itself.

3.0 THE COLLECTIONS

3.1 Permanent Collection

3.1.1 Social and Industrial History

This consists of approximately 31,000 items made up of objects directly relating to the history of Chesterfield Borough. Several groups within this collection, such as the Brampton pottery and the Bolsover Buckle, are of regional importance.

3.1.2 **Archaeology**

This consists of 41 archives relating to excavations, building surveys and archaeological watching briefs. Not all archives contain finds. They mainly relate to archaeological work within the Borough of Chesterfield. The archaeology in the collection also consists of individual finds and hoards which were Treasure Trove.

3.2 **Education Collection**

The education collection is a secondary collection comprising 8,000 items which includes original items and replicas. These include duplicates of items within the permanent collection and items which are representative of aspects of social and industrial history but are not necessarily directly connected with the local area. These mainly span the 19th and 20th centuries.

4.0 **RATIONALISATION**

4.1 **Introduction**

Collections are established for the long term and each generation has responsibility to the next to ensure they do not become unmanageable or a burden and that they remain sustainable.

Equally it is imperative that collections are used and developed in response to the needs of today's society. Museums must balance the safeguarding and retention of items within their collections with the need to review and develop collections, acquire items and, in some cases, remove them.

Museum collections should be developed so that they provide the best care and opportunities for use and engagement. Curatorially motivated rationalisation and disposal is an integral part of responsible collections management and will ensure that museums are fit for future generations.

4.2 **Definition**

The review and assessment of the museum collection to improve its access and care and ensure that objects within the collection meet the aims of the Collecting Policy.

Rationalisation does not necessarily mean disposal; there are many ways that an object which no longer fulfils the criteria for acquisition can continue to be used for the benefit of the residents of the Borough and remain within the public domain, while no longer being considered part of the core collection of the Museum.

4.3 **Aims of Rationalisation**

The aims of rationalisation are to ensure that the museum collections continue to be of high quality and, in accordance with the Collecting Policy, are relevant to Chesterfield. Periodic review has the benefit of ensuring that best use is made of the resources available.

The Museum Association's Disposal Digest states:

Outcomes of disposal should demonstrate how the public benefit derived from museum collections will increase as a result; through improved care, access and context for the item, and its continued retention in the public domain. Incidental outcomes, such as optimising storage space or freeing resources, should not be the main motivation to dispose.

Rationalisation will be carried out in accordance with Museums Association Disposal Toolkit guidelines.

5.0 METHODOLOGY

5.1 Identification of material

Material identified as being in one or more of the following categories will be considered for rationalisation:

- Does not fall within the current Collecting Policy.
- Unethically acquired material.
- Loan material no longer required for display.
- Does not provide important information about Chesterfield and its history.
- Has no reasonable expectation of being useful for display or research.
- Is unprovenanced (i.e. has no background information to provide a context).
- Is not in good condition.
- Has deteriorated beyond any useful purpose (e.g. through decay or infestation. This might be a textile item that has rotted or a natural history specimen that has an infestation).
- Poses a threat to other objects or people (e.g. by contamination. This might include WW2 gas masks with degraded asbestos filters or radioactive geological specimens/watch and compass faces).
- Is an unnecessary duplicate.
- Where there is no reasonable expectation that Chesterfield Museum will be able to provide suitable levels of curation or collections care.
- Would fit better into another museum's collection.
- May be more appropriate to an archive e.g. Local Studies Library or the Derbyshire Records Office, Matlock.

Meeting one of the above criteria does not automatically condemn any object. Each object will be considered on its merits. There may well be good reasons why objects that fall into one or more of the above categories should be kept, but they will be critically examined and justified.

5.2 Assessment Criteria

Objects and groups of objects will be assessed using the following criteria:

- **Exploitability** – the potential of objects to be used for outreach, research, educational purposes, tourism, profile raising.
- **Display** – have objects been on display or have the potential to be displayed?
- **Historical significance** – this is with specific reference to Chesterfield but certain items may have a national or regional significance.

- **Provenance** – do we know the context/background information behind an object?
- **Uniqueness** – is the object a rare example, are there exact duplicates or duplicates of type in the collection?
- **Ownership** – does Chesterfield Borough Council have clear ownership?
- **Condition**

Each group will be given a grade for each criterion, and the combination will be used to assess whether the group, or objects within it, are candidates for retention within the museum collections, or rationalisation.

See Appendix 2 for Assessment Matrix

5.3 Consultation

As part of the rationalisation process, advice can be sought from the Arts Council and in particular, the person responsible for the Collections Development Programme.

The views of those who have a vested interest in the collections should also be sought. These include users of the Museum, donors, local history societies, etc.

5.4 Recording and Outcomes of Assessment

The process, including scores, will be recorded using an assessment report pro forma. This will include a brief description of the object or group of objects, entry or accession numbers, a location, matrix scores, photographs, a statement of significance and recommendations for the future of the object(s) based on the assessment.

Assessments will be carried out by the curatorial staff with reference to the Tourism, Museums and Events Manager.

Each object will be assessed on its own merits. Low scoring does not automatically condemn an item. There may be good reasons why an item should be retained.

As part of this process, the curatorial staff will seek specialist advice if necessary and consider the views of donors or lenders, where appropriate.

See Appendix 3 for Assessment Report pro forma

5.5 Decision Making Process

In accordance with the Council's Constitution, all assessment reports prepared by the curatorial staff, and their associated recommendations will be referred to the Museum Collections Committee, representing Chesterfield Borough Council as the governing body of the Museum, for endorsement or veto. This Committee will consist of Councillors from all parties. After discussion, the Committee may decide on an alternative course of action. The Executive Member for Leisure, Culture and Tourism will chair the Committee.

6.0 DISPOSAL

If the decision has been taken to dispose of items from the museum collections, the Museum will follow the Museum Association's Code of Ethics and Disposal Toolkit procedures.

There is no specific legislation applicable to Chesterfield Museum to prevent them disposing of an item, but there may be legal restrictions from conditions attached to donations or bequeaths. If there is any doubt about the legal implications, appropriate advice would be sought.

The disposal process will be carried out openly and with transparency.

6.1 Considerations on Disposal

Once an object has been selected for disposal, the status of the item and the method of its entry into the collection needs to be investigated. This could affect any course of action and influence the method of disposal.

6.1.1 Loan

If the item is on loan, the lender must be contacted to discuss its return.

6.1.2 Purchase

If the item was acquired with the assistance of external funds, the funding bodies must be contacted to discuss any planned course of action.

6.1.3 Donation/Bequest

Establish whether there were any conditions laid down at the time of deposition that may affect any planned disposal.

6.1.4 Unaccessioned

If an item has not been accessioned into the collection, or if its method of entry is unknown, the museum must go to reasonable lengths to research the history of the item.

6.1.5 Legal Consideration

Review the documentation of the item to ensure that the museum has legal title to remove it, and that there are no conditions attached that might prevent the museum from following this course of action.

6.1.6 Grant Funded

When disposal of a museum object is being considered, the museum will establish if it was acquired with the aid of an external funding organisation. In such cases, any conditions attached to the original grant will be followed. This may include repayment of the original grant and a proportion of the proceeds if the item is disposed of by sale.

6.2 Disposal Process

The Museum must ensure that, during the process, all legal responsibilities are carried out; wishes of the donors are respected; the views of the Museum's

governing body are taken into account; public confidence in the Museum's position as trustees of the Borough's heritage is not compromised.

Whichever method of disposal is selected, the following steps will be taken:

- Identify accredited museums with suitable collections and approach directly.
- If no museums identified, inform the museum sector and other relevant groups of availability of items.
- Ensure transparency and communicate the process beyond the Museum.
- Ensure transfer of legal title to any recipient and any appropriate transfer of intellectual property rights.
- Document the process.

6.3 There are a number of options available for disposal of an item but preference should be given to keeping the item in the public domain.

6.3.1 It is recommended, where possible that the item is given as a free gift, or as a transfer, to another accredited museum. This should be considered first as it is most likely that items will remain cared for and accessible to the public.

6.3.2 If no accredited museum will accept the item, it could be given as a free gift or transfer to another institution or organisations within the public domain. In this case, consideration should be given to whether the recipient can provide adequate care and opportunities for access to the item.

6.3.3 If it proves impossible to keep an item in the public domain, the museum may consider returning the item to the donor. This may be the preferred course of action where there are extenuating circumstances such as conditions laid down on the donation or where an item has personal significance to the donor, is of a low cultural value or the likelihood that the item will be transferred out of the area.

6.3.4 Although there is a preference and tradition of free gift or transfer between museums, consideration should be given to sell an item to other museums. This may be the preferred option if the museum purchased the item with its own funds or has spent a significant amount of money on conserving it. Any money raised must be applied solely and directly for the benefit of the museum's collections.

6.3.5 If the options above are unsuccessful, the object could be transferred outside the public domain. The item should first be advertised to museums on the Museum Associations 'Find an Object' web listing service. There may, however, be circumstances where an object can be transferred to individuals or bodies outside the public domain, such as enthusiasts or specialist groups.

6.3.6 Consideration can also be given to sale of the item outside the public domain. Any money raised should be applied solely and directly for the benefit of the collections.

6.3.7 If a new location cannot be found for the item, it may be possible to recycle the item through sale as scrap or as a gift to charity.

6.3.8 If the item poses as risk to the health and safety of individuals or the collection, it can be destroyed. The museum may have to seek expert help to destroy and item safely (e.g. if an item contains asbestos).

7.0 **Recording the Process**

7.1 It is important that all aspects of the disposal process are documented, and this should be done to SPECTRUM standards. Any records should include:

- Reason for disposal
- Desired outcome
- Opinion and advice considered
- Method of disposal
- Conclusion of process
- Any conditions attached
- Information relating to the item and photographs
- Documentation relating to the transfer of title
- Note of any new location

8.0 **Communicating the Process**

It is important to keep the public informed of plans relating to the disposal of items through the press and media. An open approach that explains the context and potential benefit of the planned course of action will be adopted.

Extract from the Museum Associations Code of Ethics

Guiding principles on disposal.

Collections are a tangible link between the past, present and future. Museums balance the interests of different generations by safeguarding collections, which may include buildings and sites.

Museums develop and implement a collections development policy in order to ensure appropriate standards of care and security for all items entrusted to them, either permanently or on loan.

Museums meet their responsibility to future generations by ensuring that collections are well managed and sustainable. There is a strong presumption in favour of the retention of items within the public domain. Sometimes transfer within the public domain, or another form of disposal, can improve access to, or the use, care or context of, items or collections. Responsible, curatorially-motivated disposal takes place as part of a museum's long-term collections development policy, in order to increase public benefit derived from museum collections.

In accordance with the Museums Associations Code of Ethics, a museum undertaking rationalisation must:

- 1 Recognise that formal title to and guardianship of the collections is vested in the governing body, which must satisfy itself that decisions to dispose are informed by the highest standards of expertise and take into account all legal and other attendant circumstances.
- 2 Demonstrate clearly how the long-term local and general public interest is served in circumstances in which disposal may be appropriate and ensure that public trust in museums is upheld.
- 3 Give priority to transferring items, preferably by gift, to Accredited museums. Consider donating items to other public institutions if it is not possible for another museum to accept them. To maintain public confidence in museums, wherever possible do not transfer items out of the public domain. (This paragraph excludes material that is being disposed of because it is damaged beyond use, dangerous, or is being returned to its place of origin or rightful owner.)
- 4 Base decisions to dispose on clear, published criteria as part of the institution's long-term collections development policy, approved by the governing body. Ensure transparency and carry out any disposal openly, according to unambiguous, generally accepted procedures. Manage the process with care and sensitivity to public perceptions.
- 5 Seek the views of stakeholders (such as donors, researchers, local and source communities and others served by the museum) who have a vested interest in a proposed disposal. In some cases consent from the donor may be a legal requirement. Where appropriate seek the views of colleagues and sector bodies.
- 6 Refuse to undertake disposal principally for financial reasons, except in exceptional circumstances as defined in paragraph 7. Financially motivated

disposal risks damaging public confidence in museums and the principle that collections should not normally be regarded as financially-negotiable assets.

- 7 Consider financially motivated disposal only in exceptional circumstances and when it can be demonstrated that:
 - It will significantly improve the long-term public benefit derived from the remaining collection.
 - It is not to generate short-term revenue (for example to meet a budget deficit).
 - It is as a last resort after other sources of funding have been thoroughly explored.
 - Extensive prior consultation with sector bodies has been undertaken.
 - The item under consideration lies outside the museum's established core collection as defined in the collections development policy.
- 8 Ring-fence* any money raised as a result of disposal through sale, if this exceptional circumstance arises, solely and directly for the benefit of the museum's collection. Money raised must be restricted to the long-term sustainability, use and development of the collection. If in doubt about the proposed use of such restricted funds consult sector bodies.
- 9 Openly communicate and document all disposals and the basis on which decisions to dispose were made.
- 10 Apply any money received in compensation for the loss, damage or destruction of objects in the collection solely and directly for the benefit of the museum's collection.
- 11 Respond to requests for return of human remains, and other culturally sensitive material with understanding and respect for communities of origin.

★ *In the case of some Local Authority museums, ring-fencing the money may not be possible. In such cases, the use of the proceeds should be clearly articulated and money allocated accordingly in a way that is compatible with Accreditation and the MA Code of Ethics.*

Collection Assessment Matrix

	Exploitability (current and potential)	Display	Historical Significance	Provenance	Uniqueness	Ownership	Condition
A	<ul style="list-style-type: none"> Regularly used for research, enquiries and outreach Regularly used for learning activities, reminiscence, profile raising and creative activities 	Currently or very regularly displayed	<ul style="list-style-type: none"> Link to specific local event, company, theme or custom Link to an important national event 	Specifically linked to a local person or event	Unique <ul style="list-style-type: none"> Only known example Only one in collection 	<ul style="list-style-type: none"> Clear CBC ownership with full documentation Documented loan with clear time line 	<ul style="list-style-type: none"> Stable material Good condition No conservation problems
B	<ul style="list-style-type: none"> Has been used in the last 5 years for research, enquiries and outreach Has been used in the last 5 years for learning activities, reminiscence, profile raising and creative activities 	Displayed in the last 5 years	Has an iconic link to a locally significant working or domestic life activity.	Generally linked to groups or companies	Rare <ul style="list-style-type: none"> Few survivors Only one in collection 	<ul style="list-style-type: none"> Clear CBC ownership but implicit full documentation Documented loan that is regularly renewed 	<ul style="list-style-type: none"> Stable material Minor cleaning, stable and not at risk
C	<ul style="list-style-type: none"> Has good potential to be used for research, enquiries and outreach Has good potential to be used for learning activities, reminiscence, profile raising and creative activities 	Not currently or recently displayed but capable of being displayed with minimal attention	Has an integral link to our social life and stories within the town	Links to general cultural themes and communities within Chesterfield	Rarity uncertain Only one in collection	<ul style="list-style-type: none"> Clear CBC ownership but no documentation – incorporated into organisation over time Documented indefinite loan 	<ul style="list-style-type: none"> Stable material but needs monitoring Some risk, some restoration or repair needed

	Exploitability (current and potential)	Display	Historical Significance	Provenance	Uniqueness	Ownership	Condition
D	<ul style="list-style-type: none"> Unlikely to be used for research, enquiries and outreach Unlikely to be used for learning activities, reminiscence, profile raising and creative activities 	Limited relevance to display	Loosely linked to Chesterfield's history	Loosely connected or supporting events and activities within the community of Chesterfield	<ul style="list-style-type: none"> Mass produced but not widely collected Only one in collection 	<ul style="list-style-type: none"> Uncertain ownership details Part documentation – loan or gift status unestablished 	<ul style="list-style-type: none"> Unstable material High risk, immediate action required Specialist conservation required
E	<ul style="list-style-type: none"> Has no potential to be used for research, enquiries and outreach Has no potential to be used for learning activities, reminiscence, profile raising and creative activities Inaccessible, clear safety risks 	Very unlikely to be displayed	Item of general social or industrial history or with specific links elsewhere	No knowledge of origin	Exact duplicate or type duplicate in collection	<ul style="list-style-type: none"> Status in collection unknown e.g. found in store Caretaker role only – stored on behalf of other organisation or Council department 	<ul style="list-style-type: none"> Very unstable material Beyond repair Poses immediate risk to other items

Rationalisation Report: No

Simple name or collection:					
Brief Description: Year acquired: 2001 How acquired: donation by member of public					
Entry or Accession Number(s).		Location:			
Rationalisation matrix scores					
Exploitability		Provenance		Condition	
Display		Uniqueness			
Historical Significance		Ownership			
Statement of Significance:					
Recommendations:					

Photograph(s)

**Draft Terms of Reference
Museum Collections Committee**

1.0 Name of the Committee

1.1 Museum Collections Committee

2.0 Purpose of the Committee

2.1 To make the decision on whether or not to dispose of items from Chesterfield Museum's collections, based on object assessments made by the Museum's curatorial staff, in line with the Museum's Rationalisation and Disposal Policy.

3.0 Aims

3.1 To ensure that the museum collections continue to be of high quality and, in accordance with the Collecting Policy, are relevant to Chesterfield.

3.2 To retain objects in the public domain if at all possible.

3.3 To improve the care and conservation of the collections.

3.4 To improve access to the items by the public.

4.0 Objectives

4.1 To ensure that all items in the Museum's collections are in accordance with the Museum's Collecting Policy.

5.0 Membership

5.1 The members of this cross-party Committee include:-

Executive Member for Leisure, Culture and Tourism
Others to be agreed

6.0 Meetings

6.1 The Museum Collections Committee meetings will be determined by the Executive Member for Leisure, Culture and Tourism

7.0 Chair and Roles of the Committee

7.1 The Chair is the Executive Member for Leisure, Culture and Tourism.

7.2 The Vice Chair is to be agreed.

7.3 The assessment reports will be produced by the Museum's curatorial staff.

7.4 All decisions will be recorded by a senior member of staff.

8.0 Amendments to the Terms of Reference

8.1 Any proposal to alter the Terms of Reference must be submitted to the Chair in writing at least 10 days prior to the next network meeting. A decision on the proposed amendment will be made at the next meeting.

Name

Signature

Chair:

Vice Chair:

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GENERAL FUND BUDGET OUTTURN 2013/14 (R000)

MEETING: (1) CABINET
(2) LEADER & EXECUTIVE MEMBER FOR REGENERATION (IN CONSULTATION WITH DEPUTY LEADER & EXECUTIVE MEMBER FOR PLANNING)

DATE: (1) 17TH JUNE 2014
(2) 10TH JUNE 2014

REPORT BY: CHIEF EXECUTIVE
HEAD OF FINANCE

WARD: ALL

COMMUNITY FORUM: ALL

KEY DECISION REF: 401

FOR PUBLICATION

BACKGROUND PAPERS:

Final accounts working papers, Accountancy Section.

1.0 PURPOSE OF REPORT

1.1 To report on the General Fund Revenue and Capital Outturns for 2013/14, provide details of significant variations from the revised estimates and to consider carry forward requests.

2.0 RECOMMENDATIONS

2.1 That the General Fund Revenue and Capital Outturn reports for 2013/14 be noted.

2.2 That the General Fund carry forward requests be considered (para 4.4).

2.3 That the level of General Fund Reserves and Balances (Section 6 and Appendix E) be approved.

2.4 That the capital financing arrangements set out in Appendix F be approved.

3.0 BACKGROUND

3.1 The individual portfolio budget outturn reports are included as separate items on today's Cabinet agenda.

3.2 The external audit of the accounts is due to start in July. The formal published Statement of Accounts will be presented to the Standards and Audit Committee for approval at the end of September on conclusion of the audit. Once approved, a copy of the accounts will be placed on the Council's web-site.

3.3 This report includes details of the General Fund revenue account and the collection fund outturns, plus a summary of the General Fund Capital Programmes. There will be a separate report presented for the Housing Revenue Account covering both the revenue and capital elements. The information in these reports will then be incorporated into the published Statement of Accounts.

3.4 The Council's Financial Strategy sets out the Council's policy on the levels and nature of reserves and balances. The Strategy also defines how under or overspends should normally be treated at the end of each financial year:

- ◆ Any under spend on the General Fund will be transferred to the Budget Risk Reserve;
- ◆ Any over spend on the General Fund will be met from the Budget Risk Reserve or the General Working Balance;
- ◆ Any DLO/DSO surpluses arising in the year that are not required for operational purposes will be allocated as follows:
 - (i) That any surplus relating to Public Sector Housing activities will be transferred to the HRA; and
 - (ii) That any surpluses or deficits relating to General Fund Activities will be transferred to the Budget Risk Reserve.

4.0 GENERAL FUND REVENUE ACCOUNT

4.1 The Summary Revenue Account, comparing the outturn with both the original and revised estimates for the financial year, is shown at **Appendix A**. There was a net surplus of **£193,203** in the year compared with:

- a) The **original** budget deficit forecast of £233,838.

b) The **revised** budget deficit forecast of £111,159.

There were numerous variances that contributed towards the £122k reduction from the original deficit forecast to the revised forecast, details of which were included in the budget report to the Cabinet on the 18th February 2014.

The outturn **surplus is £304k above the revised budget** forecast. Whilst a significant sum in absolute terms, the under spend is low in relative terms i.e. less than 1% of the Council's gross turnover (income plus expenditure), and low when compared with most of those achieved in recent years.

Details of the variances have been reported in the Executive Member reports. A summary of all the variances is included in **Appendix B**, the most significant include:

Table 1 – Significant Outturn Variances from Revised Budget	
Budget	Over/ (Under) £'000
<u>Significant over-spends:</u>	
Town Centre property rents	45
Business Transformation	31
GPGS	27
Leisure Legacy Project	45
	148
<u>Significant under-spends:</u>	
Planning & BCN	(43)
Waste Collection	(17)
Car Parking	(65)
Homelessness	(47)
Queen's Park Sports Centre (c/f request £4k)	(49)
Winding Wheel	(36)
Market Hall	(39)
Learning & Development (c/fwd approved)	(32)
Legal, Civic & Democratic	(44)
Revenues & Benefits	(82)
Net of all other variances	2
Total Variances	(304)

Further work is required to establish which variances are likely to recur in future years. The results of this exercise will be included in the next budget monitoring report to the Cabinet.

- 4.2 There are significant variances on Asset Charges on some of the portfolios due to valuation adjustments for balance sheet purposes. Accounting regulations require the adjustments to be reflected in the appropriate service revenue account but they are then reversed out in the “Interest and Capital Charges” line of the summary revenue account (Appendix A). There is, therefore, no bottom-line impact from these valuation adjustments.
- 4.3 A subjective analysis of all the General Fund services is provided at **Appendix C**.
- 4.4 There are a number of **carry forward requests** to consider, as follows:

Table 2 – Carry Forward Requests				
Portfolio	Service	Description	Amount	From
Dep Leader	Commu Infra Levy	Consultants’ fees re scheme set-up.	5,100	In-to-Save Reserve
Environment	Bereavement	Boythorpe Cemetery Baby Garden Project.	5,000	Underspend
	Parks	Path re-surfacing works for which there is no budget in 2014/15.	23,500	Underspend
Leisure	QP Sports Centre	Replacement uniforms delayed pending re-branding.	4,000	Underspend
	Staveley HLC		3,000	Underspend
Total			£40,600	

Further details on each of these requests are included in the individual Portfolio reports. Of the £40,600 total:

- £35,500 would have to be met from the under-spend in 2013/14; &
- £5,100 is provided for from reserves.

In addition, the carry forward of £32,000 unspent Learning and Development budgets has already been included in the outturn figures as it was previously approved by the Cabinet and Council in February as part of the budget setting report.

5.0 DLO/DSO’s

- 5.1 A summary of the DLO/DSO surpluses/deficits is shown in **Appendix D**. Two of the operations, Window Factory and Security Services, recorded a deficit in the year. The table below summarises the proposed distribution of the surpluses/deficits:

Table 3 – Allocation of DLO/DSO Surpluses	
Fund / Reserve	Amount (£'000)
Earmarked for carry forward requests	218
Housing related surplus to the HRA	500
General Fund Revenue Account	72
General Fund Budget Risk Reserve	(5)
Total	785

6.0 GENERAL FUND BALANCES AND RESERVES

6.1 The table below shows a summary of the General Fund Reserves and Provisions; more detail is provided in **Appendix E**. Please note that the **General Working Balance** which is being maintained at £1.75m, as agreed by the Cabinet in February 2013, is additional to the balances included in the table.

Table 4 – General Fund Reserves & Provisions 2013/14			
Reserve	Opening Balance (£'000)	Closing Balance (£'000)	Revised Forecast (£'000)
Budget Risks Reserve	610	807	675
- Plus 2013/14 surplus	-	193	-
Invest-to-Save Reserve	775	393	328
Service Improvement Reserve	1,487	1,175	1,179
Other Earmarked Reserves	2,321	3,716	3,066
Provisions	2,994	1,700	1,900
Total Reserves & Provisions	8,187	7,984	7,148

Overall the level of reserves and provisions are £836k above the revised budget forecast estimate. Further details are provided below.

6.2 Budget Risk Reserve

This reserve provides a supplement to the General Working Balance to cover any budget risks and to help finance any severance costs resulting from voluntary staffing reductions through implementing the Transformation Strategy. The table below provides a comparison of the revised budget with the outturn position. The balance in the reserve is above the revised budget forecast by £325k, due mainly to the inclusion of the 2013/14 net surplus of £193k.

Table 5 – Budget Risk Reserve		
	Outturn £'000	Revised Budget £'000
Opening balance 1 Apr 2013	610	610
<u>Movements in 2013/14:</u>		
Contribution in: STWA consultation provision	30	30
Transfer from the Risk Management Reserve	14	15
Transfer in from Insurance Reserve	393	360
Building Cleaning DSO surplus	6	-
Security DSO deficit	(11)	(20)
Grant to the Credit Union	(5)	(5)
Settlement of the PPP Legal support account	(25)	(25)
Land Charges claims	(12)	(57)
Severance cost	(192)	(192)
STWA tenants consultation exercise	-	(30)
Learning & Development - training	-	(11)
Other	(1)	-
2013/14 budget outturn surplus	193	
Balance c/fwd 31st Mar 2014	1,000	675
<u>Outstanding Commitments:</u>		
STWA tenants consultation exercise	(30)	-
Land Charges claims	(44)	-
Learning & Development - training	(11)	-
Governance restructure severance costs	tbc	tbc
2013/14 carry forward requests	(36)	
Uncommitted Balance	879	675

The above table does not include any provision for potential future costs related to severance costs arising from the current voluntary redundancy and voluntary early retirement schemes.

6.3 Invest-to-Save Reserve

The table below shows details of the movements and commitments on the reserve.

Table 6 - Invest-to Save Reserve		
	Outturn £'000	Revised Budget £'000
Opening balance b/fwd 1 Apr 2013	775	775
<u>Movements in 2013/14:</u>		
Leisure Legacy	(120)	(120)
Community Infrastructure Levy	(3)	(9)
Legal Case Management System	(12)	(12)
Corporate meeting system	(9)	(9)
Town Hall – VSO co-location	(103)	(80)
Payment Kiosk at Staveley (SHLC)	(25)	(25)
Customer Service Strategy - capital	-	(80)
ICT Disaster Recovery	(69)	(58)
Holmebrook Valley Park drainage	(23)	(44)
Venues	(18)	-
Local Collective Agreement	-	(10)
Balance c/fwd 31st Mar 2014	393	328
<u>Outstanding Commitments:</u>		
Venues refurbishment	(90)	(108)
Holmebrook Valley Park drainage	(21)	-
Community Infrastructure Levy	(5)	-
Customer Service Strategy - capital	(105)	-
Local Collective Agreement	(10)	-
Car park improvements	(111)	(111)
CMT re-structure – external advice	(25)	
Repayments into the fund	-	7
Uncommitted Balance c/fwd	26	116

The main issue to note is that the forecast balance will reduce to just £26k in the near future after all the known commitments are taken into account.

6.4 Service Improvement Reserve

The table below provides a comparison of the revised budget estimate and the outturn position.

Table 7 - Service Improvement Reserve		
	Outturn £'000	Revised Budget £'000
Opening balance 1 Apr 2013	1,487	1,487
<u>Movements in 2013/14:</u>		
Planning enquiry	(77)	(77)
Training on contract administration in 13/14	(2)	(2)
Project Academy	(21)	(27)
Holmebrook Valley Park drainage	(32)	(32)
Eastwood Park	(69)	-
Venues	(31)	(51)
Grit storage	(13)	(18)
Car parking improvements	-	(15)
ICT – core infrastructure	(75)	(73)
Learning & Development	8	(13)
Balance c/fwd 31st Mar 2014	1,175	1,179
<u>Outstanding Commitments:</u>		
Learning & Development	(13)	-
Project Academy (balance)	(6)	-
Grit storage facility	(5)	-
Venues refurbishment	(20)	-
Car parking improvements	(15)	-
Uncommitted Balance	1,116	1,179

6.5 **Other Earmarked Reserves** - these reserves are held for specific purposes. The total balance on these reserves increased by £650k over the revised forecast for the financial year 2013/14. The most significant changes include:

- ◆ Vehicle & Plant - £227k above the revised forecast due to reduced expenditure.
- ◆ Flood Restoration Fund - £45k above the estimate due to reduced expenditure.
- ◆ ICT Reserve - £46k above the estimate due to reduced expenditure.
- ◆ Working Neighbourhoods Fund - £42k above the revised forecast but this increase is committed for on-going projects.
- ◆ GP:GS ICT Projects - £50k fund not used.
- ◆ Retained Business Rates Reserve – the £238k surplus in the year set aside as a provision for future deficits.

6.6 Provisions

- a) Transport Company Pensions Provision – this provision has been established to cover the Council’s future liabilities for pension costs relating to the employees of the former Transport Company. The provision was last reviewed by the County Council’s pension fund actuary in 2010/11. The County Council were asked to commission a further review in order to inform the 2014/15 budget process but to date no update has been received.
- b) Insurance Provisions – in addition to the provisions, which cover reported claims only, the Council also holds money in Insurance Reserves to cover future claims. An actuarial review was undertaken in 2013 which concluded that the overall amounts held could be reduced by £393k (which was transferred into the Budget Risk Reserve) and that the remaining balance should be re-allocated between the provision and reserves elements. The MMI Provision for the first 15% claw-back (£204k) was paid in 2013/14. A further £503k is held in a reserve account to cover possible future claw-back claims.
- c) Planning LDF Review Provision – the balance in this fund is above the revised estimate but the funds will be used in future years.

6.7 It is important for Members to appreciate that many of the reserves and provisions are earmarked for specific purposes. The Funds should not, therefore, be regarded as being available for general use. An additional consideration is the fact that the Council receives interest from the reserves and provisions, which is used to support the Council’s revenue budget.

7.0 CAPITAL EXPENDITURE AND FINANCING

- 7.1 The capital expenditure outturn figures have been included in the individual Executive Member reports. **Appendix F** provides details of the total General Fund Capital Programme expenditure and financing for the financial year.
- 7.2 Actual expenditure on schemes was £6.8m compared with the original budget for the year of £6.5m (as at Feb 2013) and £7.7m at the revised budget stage (February 2014). The main reasons for the variance from the revised budget (-£0.9m) include slippage on the following schemes:
 - Housing General Fund schemes – Home Repairs Assistance, Private Sector Decent homes, Disabled facilities Grants, etc. - £0.6m;

- Vehicles, Plant & Equipment - £0.2m;
- Gateway Enhancements - £0.1m;

7.3 On the financing side, the amount funded from Prudential Borrowing increased by £578k to £2.6m. The bulk of the increase was due to slippage between financial years, including:

- Delayed capital receipts (£379k) which will be used to repay the temporary borrowing once they are received.
- The re-profiling of some expenditure on the new Sports Centre into 2013/14 (£132k) thereby bringing forward the borrowing requirement.
- The need to temporarily finance £200k of expenditure on the Market Hall pending submission and approval of the THI grant application.

8.0 CAPITAL RECEIPTS

8.1 The movement on useable capital receipts in the year is summarised in the table below. All useable receipts were used in the year.

Table 8 - Useable Capital Receipts			
	Gen Fund £'000	Housing £'000	Total £'000
Balance b/fwd 1 st April	-	206	206
Add: Receipts in the year	492	2,267	2,759
Less: Housing receipts 'Pooled'	-	(761)	(761)
Less: Applied to finance GF cap ex	(492)	-	(492)
Less: Applied to finance HRA cap ex	-	(1,283)	(1,283)
Balance c/fwd 31st March	-	429*	429

* The Housing balance of £429k represents the retained 'one-for-one' element of RTB receipts.

8.2 During the year it proved difficult to sell land and property. The table below shows how the forecast for General Fund capital receipts was reduced through the course of the financial year and that the actual amount achieved was below the revised budget:

Table 9 – General Fund Capital Receipts	
	Amount (£'000)
Original Budget Forecast – start of year	2,380
Revised Budget Forecast – Jan 2014	871
Actual	492

Two major disposals, totalling over £0.5m, have now slipped into 2014/15. This takes the target receipts figure for 2014/15 to £4.6m and to date over £2.5m of sales (including £1.5m re Newbold School) have been agreed (but not yet completed).

9.0 COLLECTION FUND SURPLUSES

- 9.1 The Council is required to maintain a Collection Fund to account for the expenditure and income relating to the Council Tax (including the precepts of other authorities) and National Non Domestic Rates.
- 9.2 Surpluses or deficits relating to the Council Tax are shared between the Derbyshire County Council, Derbyshire Police Authority, the Fire Authority and the Borough Council in proportion to the precepts issued and must be used to adjust the Council Tax. The outturn balance on the Council Tax elements of the Fund is a surplus of £421,279. A surplus of £234,633 was estimated when setting the Council Tax for 2014/15. The increased surplus was due largely to a reduction in the provision for bad debts. The increase in the surplus will be carried forward to the tax calculation exercise for 2015/16. The Council's share of the increased surplus, at 10.52%, will be £19,635.
- 9.3 Business Rates – Surpluses or deficits relating to Business Rates are shared between Central Government, Derbyshire County Council, Derbyshire Fire Authority and the Borough Council in proportions laid down by Government. The outturn balance on the Business Rate element of the Fund is a deficit of £1,104,452. As this is the first year of the scheme, no deficit or surplus was assumed for 2013/14. The Council's share of this deficit is £441,780 (40%) and will be taken into account as part of the budget setting process for 2015/16. To help offset the deficit, the surplus achieved in 2013/14 (£238k) as a result of the reduced levy, has been set aside into an earmarked reserve. In view of the deficit recorded in 2013/14 work is currently being undertaken to assess if it is a one-off or to what extent it is a recurring issue.

10.0 CONCLUSIONS AND IMPLICATIONS FOR THE MEDIUM TERM

- 10.1 The medium term financial outlook gets progressively worse as the further cuts in Government funding are anticipated. The budget forecasts approved in February show deficits, before the Transformation Savings, of:
- £0.6m in 2014/15;
 - £1.2m in 2015/16;
 - £2.0m in 2016/17;

- £2.5m in 2017/18; &
- £2.8m in 2018/19.

10.2 The medium term forecast will have to be updated to reflect the impact of budget variances recorded in 2013/14 that are likely to be of a recurring nature. This will require further work to get a better understanding of why the variances occurred. The outcome of this exercise will be included in the next budget monitoring report to the Cabinet.

10.3 The future forecasts include allowances for the most significant budget risks facing the Council but the final outcomes may be quite different, such as:

- Further cuts in Government grants from April 2016, after the current settlement expires, beyond those assumed in the budget forecast.
- The introduction of the Business Rates Retention and Localised and Council Tax Support schemes in April 2013 transferred some significant financial risks to local government. The risks include the cost of backdated Business Rate appeals, the growth or decline in the Business Rate base and the collection of Council Tax from those who have had their support reduced. As we have seen from the Business Rate Account in 2013/14 it is difficult to predict the net income due to the Council even for just one year ahead.
- From 2016/17 the budget forecasts assume a 2.0% council tax increase and a 0.5% growth in the tax base, equivalent to approximately £100k (£80k + £20k) in each year. There is a risk that future Governments will introduce measures to limit future tax increases.
- Delays in delivering the required budget savings in future years.

10.4 The main conclusions to be drawn from this report are:

- Improved budget management and control helped to convert a forecast deficit into a surplus by the end of the financial year. The under-spend achieved in 2013/14 was at low level when compared to those achieved in previous years. Given the way in which the base budget has been reduced it is unlikely that there will be a return to the era of significant under-spends. Also, the scale of the forecast budget deficits means that the Council cannot rely on future under-spends to bridge those deficits. Significant budget cuts will have to be made over the next few years if a sustainable budget position is to be achieved.

- The Council continues to be exposed to significant financial risks due the wide range of services it provides and the heavy reliance on income from rents, fees and charges.
- The working balance is being maintained at £1.75m. In addition, healthy balances are retained in other earmarked reserves and provisions. It is, however, important that strong financial discipline is maintained to ensure that a reasonable balance is retained in these funds, by controlling their use and creating capacity within the revenue budget to be able to replenish them.
- In terms of the General Fund Capital Programme the Council is exposed to a number of significant financial risks including generating capital receipts and cost overruns.
- The Cabinet will require regular updates on both the revenue and capital budgets to ensure that the financial risks referred to above are being effectively managed.

11.0 RECOMMENDATIONS

- 11.1 That the General Fund Revenue and Capital Outturn reports for 2013/14 be noted.
- 11.2 That the General Fund carry forward requests be considered (para 4.4).
- 11.3 That the level of General Fund Reserves and Balances (Section 6 and Appendix E) be approved.
- 11.4 That the capital financing arrangements set out in Appendix F be approved.

12.0 REASON FOR RECOMMENDATION

- 12.1 In the interest of sound financial management.

H. BOWEN
CHIEF EXECUTIVE

B. DAWSON
HEAD OF FINANCE

Officer recommendation supported/not supported/modified as below or Executive Member's recommendation/comments if no officer recommendation.



Signed

Executive Member

Date: 10.6.14

Consultee Executive Member (if applicable)/declaration of interests

Author - Barry Dawson, ext 5451.

GENERAL FUND OUTTURN 2013/14

	Original £	Revised £	Outturn £	Variance £
Per Lead Member reports:				
Leader - Regeneration	465,410	389,480	427,502	38,022
Deputy Leader	(1,198,930)	(1,264,040)	(13,400,703)	(12,136,663)
Environment	5,204,860	5,313,880	5,945,113	631,233
Homes & Neighbourhoods	1,702,700	1,217,330	1,026,106	(191,224)
Leisure, Culture & Tourism	3,183,030	3,524,010	6,829,376	3,305,366
Governance & Organisational Dev't	3,490,730	3,655,740	3,155,624	(500,116)
Customers & Communities	1,880,960	1,571,710	1,509,670	(62,040)
Other Other Income:				
Transformation Savings	(27,280)	(80,182)	(80,700)	(518)
Staff vacancies allowance	(634,620)	(10,590)	-	10,590
Share of Crematorium Surplus	(100,000)	-	-	-
Spirepride surplus	(55,000)	(55,000)	(55,000)	-
DSO (surplus)/deficit	(38,200)	(134,690)	(72,217)	62,473
Car allowance scheme	-	-	5,142	5,142
Other incl bad debt provision	(62,000)	(5,000)	-	5,000
	50,000	50,000	45,774	(4,226)
Total Service Expenditure	13,861,660	14,172,648	5,335,687	(8,836,961)
Interest & capital charges	(2,098,130)	(1,723,220)	6,780,052	8,503,272
Contributions from Invest to Save	(3,100)	(149,420)	(143,820)	5,600
From Service Improv't Reserve	(79,000)	(92,000)	(110,354)	(18,354)
From Budget Risk Reserve	(40,950)	(215,880)	(205,398)	10,482
Contributions to Renewals Fund etc	146,000	146,000	146,000	-
To/(fm) Business Rates Risk Res	-	-	237,851	237,851
To/from Reserves	-	(85,500)	(21,240)	64,260
DSO surplus/deficit to/fm reserves	-	-	(5,142)	(5,142)
Balance - to/(from) reserves	(233,838)	(111,159)	193,203	304,363
NET EXPENDITURE	11,552,642	11,941,469	12,206,840	
Financed By:				
RSG	4,429,844	4,429,844	4,429,844	
Business Rates Baseline	2,947,054	2,947,054	2,947,054	
Settlement Funding	7,376,898	7,376,898	7,376,898	
Retained Business Rates Growth	-	311,990	46,489	
Small Business Rate Relief Grant	-	-	503,352	
Cnl Tax Support - Transition Grant	23,057	23,057	23,057	
Cnl Tax support grants to parishes	(67,928)	(67,928)	(67,928)	
Council Tax Fund Surplus/(Deficit)	(11,704)	(11,704)	(11,704)	
Other Government grants	-	-	25,944	
New Homes Bonus	297,980	374,817	376,393	
Council Tax (taxbase x tax below)	3,934,339	3,934,339	3,934,339	
TOTAL FINANCING	11,552,642	11,941,469	12,206,840	

2013/14 VARIANCE ANALYSIS - REVISED TO OUTTURN

<u>Leader:</u>	
Dunston Innov Centre	19
Other (net)	(1)

<u>Planning:</u>	
Industrial & commercial property	14
Town Centre properties - rents	45
Planning	(16)
Building Control - share of surplus	(27)
Engineers	(20)
Business Transf: GP:GS	58
Other (net)	(5)

<u>Environment:</u>	
Waste collection contract	(17)
Street Cleaning	(11)
Car Parking	(65)
Licensing	21
Parks	(54)
Other (net)	(2)

<u>Housing General Fund:</u>	
Homelessness	(47)
Home Improvement Agency	(14)
Private Sector Housing Admin	(18)
Other (net)	(6)

<u>Leisure:</u>	
Queen's Park Sports Centre	(49)
Staveley Healthy Living Centre	(15)
Legacy Project	45
Winding Wheel	(36)
Pomegranate	13
Markets Hall	(39)
Other (net)	(3)

<u>Governance:</u>	
Training Costs	(32)
Legal, Civic & Democratic	(44)
Financial Services - staffing	(16)
Pensions	(14)
HR	10
Other (net)	26

<u>Customers & Communities:</u>	
Revenues & Benefits Admin	(82)
Communications	10
Grants to voluntary organisations	(7)
Other (net)	(3)

<u>Internal Recharges:</u>	
Pension costs/absences	(25)
Accumulated absences	(7)

<u>Non-Portfolio Budgets:</u>	
Grants	(26)
Retained business rates	(237)
Tfr to Bus Rates Risk Fund	237
Transformation savings	11
SpirePride surplus	62
to/from - Invest to Save Res.	6
to/from - Service Improv't Res.	(18)
to/from - Budget Risk Reserve	10
to/from - other reserves	65
Other	0

Overall Variance	(304)
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Controllable total	(414)
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GENERAL FUND SERVICE EXPENDITURE SUBJECTIVE ANALYSIS

	Original	Revised	Outturn	Variance Original to Outturn		Variance Revised to Outturn	
	£'000	£'000	£'000	£'000	%	£'000	%
<u>Expenditure:</u>							
Employees	9,182	9,768	9,465	283	3.1	(303)	(3.1)
Premises	4,630	4,585	4,509	(121)	(2.6)	(76)	(1.7)
Transport	144	187	172	28	19.4	(15)	(8.0)
Supplies & Services	6,032	6,546	6,370	338	5.6	(176)	(2.7)
Transfer Payments	37,202	36,259	36,273	(929)	(2.5)	14	0.0
Agency & Contracted	9,571	9,567	9,621	50	0.5	54	0.6
Central & Dept Support	8,807	8,542	8,667	(140)	(1.6)	125	1.5
Capital & Asset Charges	4,143	3,735	(4,855)	(8,998)	(217.2)	(8,590)	(230.0)
HRA Contribution	617	620	571	(46)	(7.5)	(49)	(7.9)
Transfer to Reserves	0	0	3	3		3	
Total Expenditure	80,328	79,809	70,796	(9,532)	(11.9)	(9,013)	(11.3)
<u>Income:</u>							
Rents	7,177	7,191	7,157	20	0.3	34	0.5
Sales	547	487	507	40	7.3	(20)	(4.1)
Fees & Charges	8,003	7,978	8,150	(147)	(1.8)	(172)	(2.2)
Grants	39,172	38,378	38,218	954	2.4	160	0.4
Recharges & other	11,567	11,603	11,428	139	1.2	175	1.5
Total Income	66,466	65,637	65,460	1,006	1.5	177	0.3
Total Service Net Expd	13,862	14,172	5,336	(8,526)	(61.5)	(8,836)	(62.3)

DSO/DLO SURPLUSES / (DEFICITS) 2013/14

	Surplus / (Deficit)	Reserved for carry forwards (see below)	To HRA	To Gen Fund Revenue Account	To Budget Risk Reserve
	£	£	£	£	£
Building Maintenance	718,003	218,000	500,003	-	-
Window Factory	(417)	-	(417)	-	-
Spirepride	72,217	-	-	72,217	-
Building Cleaning	5,790	-	-	-	5,790
Security Services	(10,932)	-	-	-	(10,932)
Total	784,661	218,000	499,586	72,217	(5,142)
<u>Details of Carry Forward Requests:</u>					
<u>OSD:</u>					
Replace roof on Store		38,000			
Electric security gates		10,000			
Tarmac depot site		45,000			
Conservatory & ladies toilet		30,000			
Re-site stores compound		10,000			
Office alterations		3,500			
Redundancy provision		81,500			
Total		218,000			

GENERAL FUND RESERVES AND PROVISIONS

9001 code	Purpose	Bal at start of year £'000	Bal at end of year £'000	Revised Bud Est £'000
3240	Vehicles and Plant	612	878	651
	Wheelie Bin Replacements	261	189	211
3241	Property Repairs	512	642	633
3244	Asset Management	44	44	44
3246	Risk Mgt Initiatives	23	10	5
3248	Zurich - Risk Mgt Reserve	-	10	-
3263	Museum Exhibits	25	25	25
3265	Flooding Restoration Fund	82	82	37
3378	MMI Clawback Reserve	-	503	503
3380	ICT	51	46	
3390	Insurance - claims not yet reported	177	567	567
3391	Working Neighbourhoods WNF	326	224	182
3398	GP:GS Reserve	-	50	-
3399	Retained Business Rates Res.	-	238	-
3411	New Homes Bonus - Waterside	208	208	208
	Earmarked Reserves	2,321	3,716	3,066
3388	Budget Risk (incl. 13/14 surplus)	610	1,000	675
3389	Invest to Save	775	393	328
3412	Service Improvement	1,487	1,175	1,179
	Reserves Total	5,193	6,284	5,248
3264	Planning LDF Review	223	242	241
3237/8	Insurance - reported claims	1,506	497	494
3247	MMI Claw-back	300	11	216
3239	Transport Co. Pensions	965	950	949
	Provisions Total	2,994	1,700	1,900
	Reserves & Provisions Total	8,187	7,984	7,148

GENERAL FUND CAPITAL PROGRAMME 2013/14

SCHEME	Original Budget Cab Feb 13 £'000	Revised Budget Cab Feb 14 £'000	Outturn £'000
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C'fld Gateway Enhancement Project	-	97	16
Sheffield Rd Fire Station	550	550	571
Destination C'fld - public realm	-	37	17
Leader - Regeneration	550	684	604

Hollis Lane Flood resilience work	97	50	11
Brampton Flood Resilience	-	50	26
Townscape	516	-	-
Major Property Repairs unallocated	200	-	-
Planning	813	100	37

Thistle Park	24	-	-
Holmebrook Valley Pk Drainage	165	163	110
Eastwood Park	321	360	355
Eastwood Park - Pavillion	336	34	27
Grit Storage	-	27	13
SpirePride depot relocation	-	223	244
OSD computer system	33	103	102
Environment	879	910	851

House Repairs Assistance	275	275	157
Private Sector Decent Homes	183	203	121
Disabled Facilities Grants	650	465	382
Empty Properties	-	4	-
RSL Support	166	311	-
Fuel Poverty	-	109	127
Housing Gen Fund	1,274	1,367	787

Market Hall Refurbishment	2,393	3,399	3,369
Venues Refurbishment	39	53	82
QPSC new build	-	350	482
Leisure, Culture & Tourism	2,432	3,802	3,933

IT Strategy (from IT Reserve)	146	199	152
ICT Core Infrastructure	-	110	112
ICT - Disaster Recovery	-	69	69
VPE - Income Mgt System			12
Vehicles & Plant (V&P Fund) - minor	417	363	128
Vehicles & Plant (V&P Fund) - major			27
Governance	563	741	500

GP:GS - Town Hall re VO relocation	-	80	110
Self-service payment m/c SHLC	-	29	25
Customer Services Strategy	25	-	-
Customers & Communities	25	109	135

General Fund Major Cap Expd	6,536	7,713	6,847
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CAPITAL PROGRAMME FINANCING			
<u>Financing of Major Cap Expd:</u>			
Prudential Borrowing	741	1,998	2,621
Capital Receipts	2,380	871	492
Grants & Contributions (see below)	3,053	3,543	2,525
Invest to Save Res.- CSS	25	29	25
Invest to Save Res.- HBVP	44	44	23
Invest to Save - Venues	-	-	18
Invest to Save Res.- Town Hall VO's	-	80	103
			7
Invest to Save Res.- disaster recov	-	69	69
Service Imp Res - Market Hall	468	-	-
Service Imp Res - Eastwood Pk	29	14	69
Service Imp Res - Venues	16	14	31
Service Imp Res - HBVP drainage	36	36	32
Service Imp Res - grit storage	-	18	13
Service Imp Res - ICT core infra	-	73	18
			56
Contrib from HRA - grit storage	-	9	-
Contrib from HRA - ICT core infra.	-	37	37
DLO/DSO Reserve	33	151	201
Prop Repairs Fund - Eastwood Pk	35	-	20
Prop Repairs Fund - Mkt Hall	120	120	120
ICT Reserve	146	199	152
Vehicle & Plant Fund - minor	417	363	128
Vehicle & Plant Fund - major	-	-	39
Rev - Destination C'fld	-	-	17
Rev - Gateway Enhancements	-	-	16
Rev - Market Hall	-	-	15
Capital Expd Financing	7,543	7,668	6,847
Financing Surplus / (Deficit)	1,007	(45)	0

GRANTS & CONTRIBUTIONS			
RSL Haslam Homes		115	-
RSL Westbury		30	-
RSL RHCP		21	-
NHB Waterside		145	-
Private Sector Decent Homes		203	118
Decent Homes - Independ Living		-	3
Diabled Facilities Grant		465	382
Fuel Poverty - DECC		109	127
Eastwood Park - SITA		25	25
Eastwood Park - HLF		457	342
Market Hall - ERDF		1,400	1,400
Market Hall - THI		200	-
Dest'n C'fld Public Realm		37	-
Hollis Lane Flooding - Enviro Agency		50	43
Brampton Flooding - Enviro Agency		50	-
HVP - Football Foundation		87	55
Venues - Arts Council		39	33
Eastwood Park Pavillion - Sp Eng		13	-
C'fld Gateway Project - ERDF		60	-
C'fld Gateway Project - S106		37	-
Dest'n C'fld - TIC clawback		-	(3)
		3,543	2,525
	-		

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Agenda Item 17

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Agenda Item 18

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Agenda Item 20

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