



The Arc  
High Street  
Clowne  
Derbyshire  
S43 4JY

Date: 20 September 2013

Dear Sir or Madam,

You are hereby summoned to attend a meeting of the Executive of Bolsover District Council to be held in Chamber Suites 1 and 2, The Arc, Clowne, on Monday 30 September 2013 at 1000 hours.

Register of Members' Interests - Members are reminded that a Member must within 28 days of becoming aware of any changes to their Disclosable Pecuniary Interests provide written notification to the Authority's Monitoring Officer.


You will find the contents of the agenda itemised on pages 2 to 3.

Yours faithfully,

Chief Executive Officer  
To: Chairman & Members of the Executive

### **ACCESS FOR ALL**

If you need help understanding this document or require a larger print on translation, please contact us on the following telephone number:-

 **01246 242505**  
**Minicom: 01246 242450**

**Democratic Services**  
**Fax: 01246 242505**



INVESTORS IN PEOPLE

Email [enquiries@bolsover.gov.uk](mailto:enquiries@bolsover.gov.uk) Web [www.bolsover.gov.uk](http://www.bolsover.gov.uk)  
Chief Executive Officer: Wes Lumley, B.Sc., F.C.C.A.  
The Arc, High Street, Clowne, Derbyshire, S43 4JY



The Government Standard

## EXECUTIVE AGENDA

Monday 30 September 2013 at 1000 hours  
Council Chamber Suites 1 & 2, The Arc, Clowne

| Item No. | PART 1 – OPEN ITEMS   | Page No.(s)           |
|----------|---|-----------------------|
| 1        | <b>Apologies for absence</b>  |                       |
| 2        | <b>Urgent Items of Business</b><br><br>To note any urgent items of business which the Chairman has consented to being considered under the provisions of Section 100(B) 4(b) of the Local Government Act 1972.  |                       |
| 3        | <b>Declarations of Interest</b><br><br>Members should declare the existence and nature of any Disclosable Pecuniary Interest and Non Statutory Interest as defined by the Members' Code of Conduct in respect of:<br><br>a) any business on the agenda<br>b) any urgent additional items to be considered<br>c) any matters arising out of those items<br><br>and if appropriate, withdraw from the meeting at the relevant time. |                       |
| 4        | <b>Minutes</b><br><br>To approve the Minutes of a meeting of the Executive held on 5 August 2013.   | Previously circulated |
| 5        | <b>Recommended Items From Other Standing Committees</b><br><br>None   |                       |
| 6        | Joint Waste and Recycling Collection Policy<br><b><i>Recommendations on page 10</i></b>   | 4 - 49                |
| 7*       | Budget Monitoring Report, Quarter 1 – April to June 2013<br><b><i>Recommendations on page 56</i></b>  | 50 - 64               |
| 8*       | Strategic Risk Register<br><b><i>Recommendation on page 68</i></b>  | 65 - 73               |

|   |   |           |
|---|---|-----------|
| 9*  | Medium Term Financial Plan<br><b><i>Recommendations on page 84</i></b>  | 74 - 85   |
| 10*   | Anti-Social Behaviour Policy<br><b><i>Recommendation on page 87</i></b> | 86 - 107  |
| <b>PART 2 – EXEMPT ITEMS</b>  |   |           |
| <b><i>The Local Government (Access to Information) Act 1985, Local Government Act 1972, Part 1, Schedule 12a.</i></b> |   |           |
| <u>Paragraph 3</u>  |   |           |
| 11*   | Central Heating Tender  | To Follow |

\* Denotes Key Decision

|                           |   |                  |      |
|---------------------------|---|------------------|------|
| Committee:                | Executive   | Agenda Item No.: | 6    |
| Date:                     | 30 September 2013   | Status           | Open |
| Category                  | 1. Decision within the functions of Executive<br>2. Part of the Budget and Policy Framework |                  |      |
| Subject:                  | Joint Waste and Recycling Collection Policy   |                  |      |
| Report by:                | Joint Streetscene Services Manager  |                  |      |
| Other Officers Involved   | Joint Waste & Recycling Manager   |                  |      |
| Director                  | Director of Neighbourhoods  |                  |      |
| Relevant Portfolio Holder | Councillor D. Kelly, Portfolio Holder for Environment                                       |                  |      |

### **RELEVANT CORPORATE AIMS**

Recommendations and considerations of this report support the Councils Corporate Aims by way of:

**CUSTOMER FOCUSED SERVICES** – Providing excellent customer focused services.

*Defining clear policy position in the delivery of efficient, effective and high quality waste and recycling collection services in Bolsover.*

**ENVIRONMENT** – Promoting and enhancing a clean and sustainable environment

Increasing diversion of recyclable and organic wastes away from landfill disposal will improve our environment by reducing methane gas emissions.

**STRATEGIC ORGANISATIONAL DEVELOPMENT** – Continually improving our organisation.

*Organising waste service's resource to meet demands of the District's household waste streams and sustain cost efficiency of the service.*

### **TARGETS**

*Diversion of recyclable (burgundy bin) and organic (green bin) wastes will reduce the amount of wastes disposed by way of landfill (NI191) and increase the Council's combined recycling rate (NI92).*

### **VALUE FOR MONEY**

*Joint working with the Council's Strategic Alliance Partner provides wider scope in the organising of waste service's resource to improve service delivery, cost efficiency, performance output and customer satisfaction and overall 'value for money'.*

## 1. THE REPORT

- 1.1 Bolsover District and North East Derbyshire District Councils each operate a 3 bin (black, burgundy and green) system and have similar refuse and recycling collection policies; these, only differing in a number of areas.
- 1.2 In view of the similarities, a Joint Waste and Recycling Collection Policy has been developed to align waste collection and recycling arrangements across the two Councils. The joint policy was predominantly developed by way of Bolsover's Patch Management Group; at which, NEDDC's Portfolio Member for the Environment participated.

## 2. ISSUES/OPTIONS FOR CONSIDERATION

- 2.1 Aligning waste and recycling collection policies provides opportunity to provide a seamless service across the two Councils and a platform for wider efficiencies; for instance, by way of utilising identical front office and back office scripts/systems and greater distribution efficiency of frontline collection resource.
- 2.2 The following table sets out areas where the two Council's waste policy position differed and summarises how aligned:

| Service Element                                       | BDC Position (Current)   | NEDDC Position (Current)  | Joint Position (Proposed)   |
|---|--|---|---|
| Collection week                                       | 4 day collection week  | 5 day collection week   | No change   |
| Kerbside bin presentation and household storage point | Kerbside presentation on adopted highway not clearly defined.  | Bins presented by resident at kerbside (adopted highway) and \ or nominated presentation point and returned to storage point by householder within curtilage. | Bins presented by resident at kerbside (adopted highway) and \ or nominated presentation point and returned to storage point by householder within curtilage. |
| Organic waste (green bin) collections                 | 12 month service operating alternate weekly basis.   | 9 month service with collections suspended during winter period when organic waste levels reduce.   | 9 month service with collections suspended during winter period when organic waste levels reduce. <i>(Note: approved by BDC Executive 19.11.12).</i>          |
| Assisted bin collections                              | Full collect and return service provided. No allowance made for persons to return bin when empty (subject to infirmity position) | Full and Part collect and return service provided and \ or offer of smaller bin provision to meet resident infirmity\ capability position.                    | Full and Part collect and return service provided and \ or offer of smaller bin provision to meet resident infirmity\ capability position.                    |

|  |   |   |  |
|--|---|---|--|
| Residual (black) bin size                                  | 240Ltr residual waste (black) bin provided as standard to households.       | 240Ltr residual waste (black) bin provided as standard to households.   | 180Ltr residual waste (black) bins provided to new build properties and replacement bins.  |
| <b>Service Element</b>                                     | <b>BDC Position (Current)</b>   | <b>NEDDC Position (Current)</b>   | <b>Joint Position (Proposed)</b>   |
| 1 <sup>st</sup> time bin provision at new build properties | Council meets cost of 1 <sup>st</sup> bin provision at new build properties | Council meets cost of 1 <sup>st</sup> bin provision at new build properties   | 1 <sup>st</sup> time bin provision at new build properties met by developer and \ or new occupier.   |
| Additional residual bin capacity                           | Additional bin capacity provided to household with 5 or more occupants      | Additional bin capacity provided to household with 6 or more permanent residents  | Additional bin capacity provided to household with 6 or more permanent residents   |
| Bulk Collection (Charges)                                  | The 2 Councils tariffs vary (see section 5 of report)                       | The 2 Councils tariffs vary (see section 5 of report)   | Harmonise collection rates across the 2 Councils and mitigate increase in BDC rates by introducing 50% concession for low households and \ or disability who are unable to access an HWRC.   |
| Bulk Collection (Waste Types)                              | Commercial\Industrial waste types not collected                             | Commercial\Industrial waste types not collected   | Offer a separate service for collection of Commercial and \ or Industrial waste types listed in 'Items We Won't Collect' column of the policy's waste category table.  |
| Clinical waste Collections                                 | Category A and E type wastes collected by special collection                | Category A type wastes collected by special collections and E waste by way of kerbside (black bin) collections, subject to volume\quantity then undertaken by special collection. | Category A type wastes collected by special collections and E waste by way of kerbside (black bin) collections, subject to volume\quantity then undertaken by special collection.<br><i>(Note: approved BDC Executive 19.11.12).</i> |
| Commercial waste   | The 2 Councils tariffs vary (see section 5 of report)                       | The 2 Councils tariffs vary (see section 5 of report)   | Harmonise collection rates across the 2 Councils from 1.04.14 to incorporate annual landfill tax escalator and DCC revised gate (disposal) fee.  |

- 2.3 The Draft Joint Waste and Recycling Collection Policy is attached **Appendix A**; also attached (**Appendix B**) is the policy's Equality Impact Assessment (EIA) approved by Equality Sub-Group on 28<sup>th</sup> March 2013.
- 2.4 The Council continues to provides assistance to customers who, through disability and infirmity, are unable to access waste collection services; these in the form of assisted bin pull outs and clinical waste collection needs.
- 2.5 The Joint Waste and Recycling Collection Policy aims to Increase diversion of dry recyclable (burgundy bin) and organic (green bin) wastes from the residual waste (black bin) stream, disposed of by way of landfill. This will support the Council's recycling and diversion performance (NI191 & 192) whilst at the same time reducing methane gas emissions from landfill in to the environment.

### 3. **IMPLICATIONS**

#### Financial

- 3.1 Aligning bulky waste collection charges will result in an increase in Bolsover's rates; however, to mitigate the increase for low income families and \ or disabled persons incapable of accessing a Household Waste Recycling Centre (HWRC), a 50% concession will be introduced. Each Council's current and proposed collection rates are set out in the following tables:

#### (a) Current Council Rates

| Quantity           | BDC (Current)                             | Quantity                   | NEDDC (Current)                              |
|--------------------|---|----------------------------|--|
| 1 to 3 Items       | £10.00                                    | 1 Item                     | £15.00                                       |
| 4 to 6 Items       | £15.00                                    | 2 to 5 Items               | £20.00                                       |
| 7 to 9 Items       | £20.00                                    | 6 to 10 Items              | £25.00                                       |
| 10 items and above | By quotation with a minimum charge of £30 | Over 10 items/ large items | By quotation only (no concessions available) |
| WEEE Items         |   |                            |  |
| 1 item             | £10                                       |                            |  |
| 2 items            | £15                                       |                            |  |
| 3 items            | £20                                       |                            |  |
| 4 items            | £25                                       |                            |  |
| 5 items            | £30                                       |                            |  |
| (Fridge\Freezers)  |   | Fridges / Freezers         | £15.00 per unit                              |

#### (b) Harmonised Council Rates

| Quantity      | Harmonised (NEDDC) | 50% Concession |
|---------------|--------------------|----------------|
| 1 Item        | £15.00             | £7.50          |
| 2 to 5 Items  | £20.00             | £10.00         |
| 6 to 10 Items | £25.00             | £12.50         |

|  |   |   |
|--|---|---|
| Over 10 items/<br>large items  | By quotation only (no<br>concessions available) | By quotation only (no<br>concessions available) |
| Fridges /<br>Freezers  | £15.00 per unit                                 | £15.00 per unit                                 |
| <i>Note: If 2 fridges and 1 settee is collected, the charge would be £15.00 for each fridge and £15.00 for the settee = £45.00 (£22.50 if a 50% concession is applied)</i> |   |   |

- 3.2 Increasing bulk collection rates in Bolsover; in particular for households able to meet the increase, may result in reduced demand from residents deciding to deliver their own waste to an HWRC; however, this will be offset by the wider rate increase. Reduced demand may provide opportunity to identify wider efficiencies by establishing a joint bulky waste collection service across the two Councils, resulting in shared (i.e. vehicle) savings.
- 3.3 Each Council currently meets the cost of 1<sup>st</sup> bin provision at new build properties; however, s46 Environmental Protection Act makes provision for authorities to provide receptacles free of charge; or, may require the occupier to provide them. It is therefore proposed that the Councils require the cost of 1<sup>st</sup> bin provision at new build properties to be met by the developer and \ or occupier.
- 3.4 The current burgundy bin contract requires the contractor to provide 1<sup>st</sup> bin provision at new properties up to a maximum of 10 new build developments; above which, the Councils meet the cost of provision. Therefore, when taking this in to consideration, it is anticipated each Council could identify reduced bin supply cost £14,000 (approx.) based on annual property growth of 300, as follows:

| Bin Type\Colour  | Quantity   | Purchase Cost | £\Saving |
|--|------------|---------------|----------|
| Black  | 300 (100%) | £18.00        | £5,400   |
| Green  | 300 (100%) | £18.00        | £5,400   |
| Burgundy   | 150 (100%) | £18.00        | £2,700   |
| Caddy  | 150 (100%) | £4.00         | £600     |
| <i>Note: Burgundy bin and caddy costs allow for Council's contractor meeting 1<sup>st</sup> bin provision at developments up to 10 new households.</i> |            |               |          |

- 3.5 By harmonising clinical waste collection arrangements across the two Council's and migrating the predominant amount of BDC's category E waste towards kerbside collection arrangements, Bolsover will achieve vehicle savings of £15,000 (approx.); further to which, potential may arise to develop a joint clinical waste collection service across the two Council's resulting in shared (i.e. vehicle) savings.



### Legal:

- 3.6 The Council is a Waste Collection Authority (WCA) as defined by the Environmental Protection Act 1990. Section 45(1)(a) requiring the Council to arrange for the collection of household waste from any premises and require the occupier, by notice served (s.46(1)) on them, to place the waste for collection in a receptacle of a kind and number specified and on a day and at a position or place.
- 3.7 The kind and number of receptacles required to be used must be such as are reasonable but, subject to that, separate receptacles or compartments of receptacles may be required to be used for waste which is to be recycled and waste which is not (s.46(2)).
- 3.8 The authority may provide receptacles free of charge; or, may require the occupier to provide them. The authority may make provision with respect to the size, construction, and maintenance of the receptacles; the placing of the receptacles for the purpose of facilitating the emptying of them; and the substances or articles which may or may not be put into the receptacles or the compartments of the receptacles and the precautions to be taken where particular articles or substances are put into them (s.46(3) and (4)).
- 3.9 In England and Wales, a WCA is not obliged to collect household waste placed for collection in contravention of a requirement under section 46(11).
- 3.10 A WCA may, at the request of any person, supply them with receptacles for commercial or industrial waste which they have requested the authority to arrange to collect. The authority must make a reasonable charge for any receptacle supplied unless in the case of a receptacle for the collection of commercial waste, the authority consider it appropriate not to make a charge (s.47(1)).
- 3.11 A Waste Collection Authority has powers to charge for the collection of bulky items of household waste as afforded by the Refuse Disposal (Amenity) Act 1978. Bulky items of household waste are defined as items that because of their size and nature will not fit in the normal household waste bin provided by the collection Authority. Industrial and commercial waste is excluded from the term 'bulky household waste'.

### Human Resources

- 3.12 None arising from this report

### Risks

- 3.13 Cost of disposing contaminants (residual wastes) removed from burgundy bin consignments at a sorting facility are met by the contractor, up to 5% of the total gross waste collected; above 5%, the Councils meet the cost of disposal.

Therefore, for every 1% increase (150 tonnes) the Councils' could incur costs of £25,000 (approx.).

- 3.14 To mitigate the risk of cross contamination, the Councils employ a Joint Recycling Assistant to promote recycling and presentation of wastes in the correct coloured bins. However, the Joint Waste and Recycling Collection Policy, make provision that recycling (burgundy\green) bins may be removed from households who continually fail to meet the Council requirements until such time they present waste correctly.
- 3.15 The Councils are required to meet European Waste Framework Directive targets to recycle 45% of household waste by 2015 and 50% by 2020. The Joint Waste and Recycling Collection Policy aims to improve waste diversion and recycling to meet these targets.
- 3.16 The joint policy provides opportunity to align waste collection arrangements across the two Councils and may provide further opportunity to identify wider efficiencies through joint working. These opportunities may not be realised was the policy not adopted by each Council.

#### **RECOMMENDATIONS that**

- 1) Executive approves the adoption of the Joint Waste and Recycling Collection Policy.**
- 2) Bulk collection rates are harmonised and effective from 1<sup>st</sup> November 2013 and commercial collection rates from 1<sup>st</sup> April 2014.**
- 3) Cost of first bin provision at new build properties be met by the developer or occupier and effected as soon as possible, but not later than 1<sup>st</sup> April 2014, subject to requirements for planning procedural changes.**
- 4) Residual waste (black) bins at new build properties and subsequent replacements are reduced from 240ltr to 180ltr in size.**

#### **REASON FOR DECISION TO BE GIVEN IN ACCORDANCE WITH THE CONSTITUTION**

Recommendations of the report consider aligning waste collection arrangements across Bolsover District and North East Derbyshire District Councils to provide a seamless service to all residents in all District wards and providing potential to develop future combined efficiency measures.

ATTACHMENTS: Draft Joint Waste and Recycling Collection Policy (Appendix A)  
and Equality Impact Assessment (Appendix B)  
FILE REFERENCE: N\la  
SOURCE DOCUMENT: N\la

**Bolsover District and  
North East Derbyshire  
District Council**

**Joint Waste and  
Recycling Collection  
Policy**

(2013)



### **ACCESS FOR ALL**

If you need help understanding this document or require a larger print or translation, please contact us on the telephone number at the bottom of the page.

Jeśli potrzebują Państwo pomocy w zrozumieniu tego dokumentu lub jeśli chcieliby Państwo otrzymać jego tłumaczenie czy też wersję dużym drukiem, proszę się z nami skontaktować pod numerem telefonu podanym na dole strony.

Nel caso in cui si abbia bisogno di aiuto per comprendere il presente documento o si necessiti di un documento stampato in un formato più grande o di una traduzione, contattateci al numero di telefono riportato in fondo alla pagina.

倘若您需要幫助瞭解本檔的內容，或需要提供大字體格式或翻譯件，請按照頁面底端的電話號碼聯絡我們。

اگر آپ کو یہ دستاویز سمجھنے میں مدد کی ضرورت ہو یا یہ بڑے حروف یا ترجمہ کی شکل میں درکار ہو تو برائے مہربانی اس صفحے کے آخر میں دیے گئے نمبر پر ہم سے رابطہ کریں۔

**CONTROL SHEET FOR  
JOINT WASTE AND RECYCLING COLLECTION POLICY**

| <b>Policy Details</b>  | <b>Comments / Confirmation<br/>(To be updated as the document progresses)</b> |
|--|---|
| <b>Policy title</b>  | Joint Waste & Recycling Collection Policy                                     |
| <b>Current status – i.e. first draft, version 2 or final version</b>   | Version 1.0 – 3 <sup>rd</sup> Draft   |
| <b>Policy author</b>   | Joint Streetscene Manager   |
| <b>Location of policy – i.e. L-drive, shared drive</b>   |   |
| <b>Member route for approval</b>   | Cabinet (BDC)<br>Executive (NEDDC)  |
| <b>Cabinet Member (if applicable)</b>  | Cllr D. Kelly (BDC)<br>Cllr N. Foster (NEDDC)                                 |
| <b>Equality Impact Assessment approval date</b>  | 3.04.13   |
| <b>Partnership involvement (if applicable)</b>   | BDC\NEDDC Alliance  |
| <b>Final policy approval route i.e. Executive/ Council /Planning Committee</b>   | SAMT, Cabinet, Executive  |
| <b>Date policy approved</b>  |   |
| <b>Date policy due for review (maximum three years)</b>  |   |
| <b>Date policy forwarded to Strategy and Performance (to include on Intranet and Internet if applicable to the public)</b> |   |

# **Contents**

|          |  |           |
|----------|--|-----------|
| <b>1</b> | <b>Introduction</b>  | <b>5</b>  |
| <b>2</b> | <b>Scope</b>   | <b>5</b>  |
| <b>3</b> | <b>Service Functions</b>   |           |
|          | 3.1 Presentation of Refuse Bins for Collection                       | 6         |
|          | 3.2 Presentation of refuse and recycling receptacles                 | 6         |
|          | 3.3 Frequency of collection  | 7         |
|          | 3.4 Assisted Collections   | 8         |
|          | 3.5 Side Waste Policy  | 8         |
|          | 3.6 Flat Bin Lids  | 9         |
|          | 3.7 Overloaded Bins  | 9         |
|          | 3.8 Bins which are not presented correctly                           | 10        |
|          | 3.9 Bins not collected due to Operational & Environmental Conditions | 11        |
|          | 3.10 Multi-Occupancy Properties and Mixed Use Premises               | 11        |
|          | 3.11 Refuse and Recycling Bin Provision, Replacement and Repairs     | 11        |
|          | 3.12 Additional Residual Bin Capacity                                | 12        |
|          | 3.13 Bulky Domestic Household Waste Collection                       | 13        |
|          | 3.14 Clinical Waste Collection Service                               | 15        |
|          | 3.15 Commercial Waste Collections                                    | 17        |
|          | 3.16 Services to charities and community organisations               | 17        |
|          | 3.17 Education, Awareness Raising and Enforcement                    | 17        |
| <b>4</b> | <b>Principles</b>  | <b>19</b> |
| <b>5</b> | <b>Statement of Waste Classification</b>                             | <b>19</b> |
| <b>6</b> | <b>Delivery and Implementation</b>                                   | <b>23</b> |

## **1. Introduction**

Bolsover District Council and North East Derbyshire District Council's Joint Waste and Recycling Collection Policy aims to ensure that refuse and recycling services are provided in an effective and efficient manner in order to maximise recycling and reduce the amount of waste disposed of by way of landfill.

The Councils operate 'alternate week collection' (AWC) arrangements and provides households with access to their '3 bin' system to facilitate collection of residual (black bin), recyclable (burgundy bin) and compostable (green bin) waste.

Prior to the Councils expanding its kerbside recycling and composting collection service, households were provided with one 240litre black bin, emptied on a weekly basis. Since establishing a '3 bin' system, households now receive equivalent to 360litre of wheeled bin collection capacity each week. The provision of the increased bin capacity (burgundy and green) has greatly influenced increased recycling of household waste and reduction of residual waste disposed of by way of landfill.

The policy's intention is to support the Councils alternate weekly collection (3 bin) system and communicate agreed policies so as to avoid uncertainty for customers, Elected Members and Officers of the Councils.

Bolsover District Council and North East Derbyshire District Council are, by virtue of the Environmental Protection Act 1990, Waste Collection Authorities; and, as such, (Section 45(1), duty bound to collect household waste from domestic properties and commercial premises where requested to do so. The Councils undertake their duty in accordance with powers set out at Section 46 of the Act.

## **2. Scope**

Where a Waste Collection Authority (WCA) has a duty by virtue of the Environmental Protection Act (s.45(1)(a) to arrange for the collection of household waste from any premises, the authority may require the occupier, by notice served (s.46(1)) on them, to place the waste for collection in a receptacle of a kind and number specified and on a day and at a position or place.

The kind and number of receptacles required to be used must be such as are reasonable but, subject to that, separate receptacles or compartments of receptacles may be required to be used for waste which is to be recycled and waste which is not (s.46(2)).



The authority may provide the above-mentioned receptacles free of charge; or, may require the occupier to provide them. The authority may make provision with respect to the size, construction, and maintenance of the receptacles; the placing of the receptacles for the purpose of facilitating the emptying of them; and the substances or articles which may or may not be put into the receptacles or the compartments of the receptacles and the precautions to be taken where particular articles or substances are put into them (s46(3) and (4)).

In England and Wales, a waste collection authority is not obliged to collect household waste placed for collection in contravention of a requirement under section 46(11).

A Waste Collection Authority may, at the request of any person, supply them with receptacles for commercial or industrial waste which they have requested the authority to arrange to collect. The authority must make a reasonable charge for any receptacle supplied unless in the case of a receptacle for the collection of commercial waste, the authority consider it appropriate not to make a charge (s.47(1)).

A waste collection authority may also require the occupier of premises in which industrial or commercial waste is stored to provide receptacles of a kind and number specified (s47(2)).

A waste collection authority must make such arrangements for emptying, without charge, privies serving one or more private dwellings in their area. They must also, if required by the person who controls a cesspool serving only one or more private dwellings in their area, remove the contents of the cesspool but, in this case, the authority may make a reasonable charge for the service. The authority, if requested to do so, by the person who controls any other privy or cesspool in their area, may on the payment of a reasonable charge by that person, empty the privy or, as the case may be, remove the contents of the cesspool (Environmental Protection Act 1990, s.45(5) and (6)).

A Waste Collection Authority has powers to charge for the collection of bulky items of household waste as afforded by the Refuse Disposal (Amenity) Act 1978. Bulky items of household waste are defined as items that because of their size and nature will not fit in the normal household waste bin provided by the collection Authority. Industrial and commercial waste is excluded from the term 'bulky household waste'.

The Joint Waste and Recycling Collection Policy outlines how Bolsover District Council and North East Derbyshire District Councils discharge their duty in delivering their waste and recycling collection service, as well as requirements of householders to participate fully in the service to recycle and dispose of their waste.

### **3. Service Functions**

### 3.1 Presentation of Refuse Bins for Collection

A kerbside waste and recycling collection service is provided across the Districts. Information is provided to households to inform residents on how, where and when their refuse and recycling bins are to be presented in anticipation of collection.

The kerbside, for the purpose of this policy, is described as pavements and \ or grass verges which abut the adopted highway; in particular, areas which fall outside a residents private land boundaries.

However, the Councils recognise, that due to the make up of certain areas of highway land or for safety reasons, it may not be suitable to present bins in such places; therefore, the Councils will nominate an 'agreed collection point' to facilitate the collection of household waste in such situations and notify householders accordingly.

### 3.2 Presentation of refuse and recycling receptacles

Residents are required to present refuse and recycling receptacles at the kerbside by 6.00am (Bolsover) or 7.00 a.m. (North East Derbyshire) and return them back to their storage point (within the household's property boundary) after emptying has taken place on the same day of collection.

Residents are requested to assist the Councils in collection of their household waste on nominated collection days, by not obstructing footways and carriageways with parked vehicles, caravans or other objects or structures.

Residents who live in a rural community (e.g. an isolated farm or house) will have their waste collected by a small, one person operated collection vehicle. Residents of such households will be required to present and \ or store their wheeled bins as near as possible to the adopted highway (i.e. Kerbside) to facilitate waste collection. It may be necessary for the Councils to nominate 'collection points' to such households; in particular where such properties are situated some distance from the adopted highway (i.e. Kerbside).

### 3.3 Frequency of collection

The Councils will collect residual household waste and segregated household recyclables on an alternate weekly basis; this entails collection of residual waste one week and recyclable waste the following week.

In undertaking this, the Councils provide households with 3 wheeled bins to facilitate kerbside collection (or agreed collection point) of waste; as follows:

- (i) Black Wheeled Bin – residual household waste presented for collection in black wheeled bins. This is waste which may not be recycled by way of the Council's kerbside recycling (burgundy and green) bin collection

arrangements. Collection of black wheeled bins operates 12 months of the year on alternate weeks.

- (ii) Burgundy Wheeled Bins – recyclable household waste presented for collection in burgundy wheeled bins. This is waste which is sent to varying material processors for remanufacturing in to new products or re-use. Collection of burgundy wheeled bins operates 12 months of the year on alternate weeks.
- (iii) Green Wheeled Bins – organic household (garden green and food) waste presented for collection in green wheeled bins. This is waste which is sent to composting processes and turned in to useable organic compost. Collection of green wheeled bins operates throughout the main growing seasons for a 9 month period; normally, between March and November. Green bins are collected on a fortnightly basis throughout this period.

The Councils provide supplementary information to households on the types of waste which may be placed in each coloured bin.

Due to the impact of Bank Holidays, collections may be made a day later. For example if the normal collection day is a Friday, then the collection may be made on a Saturday instead; albeit, this may depend on how Bank Holidays fall; for instance, throughout the Christmas holiday period. The Council will notify in advance, householders of Bank Holiday Collection arrangements. This may be in the form of calendars provided to households and \ or the Councils web site.

### **3.4 Assisted Refuse Collection Service**

The Councils are aware some people may be unable to move their wheeled bins, perhaps due to illness or incapacity. If you can show that infirmity or disability prevents you being able to move your bin to the collection point, the Councils can provide a collection/return service so residents may participate fully in refuse and recycling collection arrangements.

Residents, who are unable to transport their wheeled bins to and from the required collection point, because of ill health, infirmity or disability, and without other occupants in the household able to assist them (16 years and over), may apply to be placed on the 'assisted collection' register.

Applicants will be asked to undertake an Assisted Collection Application explaining why they are unable to move their wheeled bin. Supporting information will be requested as part of the approvals process; for example, proof of Disability Living Allowance and \ or Attendance Allowance. A Council officer may also contact applicants to discuss their application.

Residents placed on the 'assisted Collection' register will have their wheeled bins collected by a collection operative from an agreed location, emptied into the collection vehicle and then returned to that same location, subject to the

extent of their disability. An assisted service is therefore available in two forms:

- (a) Part Return – provided to residents who are not capable of presenting their full wheeled bin but are capable of returning it when emptied.
- (b) Full Return – provided to residents who are not capable of presenting their full wheeled bin neither capable of returning it when emptied.

Alternatively the Councils may consider issuing smaller bins to applicants which, due their smaller size, better enable the resident to continue presenting their own wheeled bin and maintain their independence.

Assisted Collections are awarded to an individual rather than the householder; and, where an individual's circumstances change, they must inform the Council.

The Councils will periodically review the assisted collection register.

### 3.5 **Side Waste Policy**

The Councils will not collect any extra residual refuse which is presented for collection with black wheeled bins.

#### (i) No side waste (refuse)

The presentation of 'side' waste (extra waste which is placed next to the black wheeled bin) does not support waste minimisation principles or encourage residents to maximise recycling. Therefore any excess household refuse left beside the residual (black) wheeled bins will not be collected.

Residents, who are unable to contain their residual refuse within the wheeled bin provided, are encouraged to recycle as much as possible. If they are still unable to contain their refuse within their black wheeled bin, they may take this waste to their nearest Household Waste Recycling Centre (HWRC).at:

- Stonegravels, Chesterfield;
- Buttermilk Lane, Duckmanton,
- Taylor Lane, Loscoe

HWRC's are normally open 8.30am to 6pm every day.

The Councils will provide advice to householders on reducing/recycling their waste upon request or where issues arise from collection difficulties; e.g. reports of overloaded bins, raised lids or contamination (incorrect placement of waste in 3 coloured bin system) reported by collections teams.

Should a householder continue to present residual side waste, the Councils may undertake a waste analysis of their presented waste and provide educational advice and guidance.

The Councils have also adopted enforcement powers under section 46 of the Environmental Protection Act 1990, to serve statutory notice on households to present waste for collection in accordance with this policy; this may also involve fixed penalty fines. However, this action will be used only as the last resort where other approaches have been unsuccessful.

The Councils may on occasion relax their 'no side waste' policy during periods of severe inclement weather or over the Christmas period.

#### (ii) Additional Recycling Waste Policy

The Councils encourage residents to maximise the amount of their household waste presented for recycling and acknowledges that some residents, on occasion, may have additional recyclable waste, which exceed capacity of their wheeled (burgundy) recycling bin. When this arises, residents may, at any time, present bagged recyclables at the side of their burgundy wheeled bin. Where ever possible clear bags should be used rather than traditional black or opaque bags.

If a household's recycling demands are such that they frequently exceed capacity of their burgundy wheeled bin, then the Councils may consider issuing that household with a second burgundy bin to meet their needs.

Where a household has instances where large card packaging requires recycling, this may be presented as side waste in so far it is folded\packed in to manageable bundles giving consideration to the collection operative's requirements in respect of manual handling.

### 3.6 Flat Bin Lids

Residents are encouraged to ensure their weekly household waste is efficiently packed in the bin and provide that the lid is flat. This may be achieved by tearing\flat packing boxes and squashing plastic containers, etc.

A lid is either flat or ajar, whether one, six or twelve inches. The Council takes its statutory health and safety obligations for its employee's very seriously by insisting on flat lids.

In blustery conditions it is not uncommon for bin lids which are raised\ajar to be blown in the faces of collection operatives; likewise, over spilling objects to fall on staff whilst bins are being processed on the automated bin hoists.

Bin hangers with tick boxes are used by collection teams to advise residents of a variety of things, including ajar\raised lids which are incorrectly presented.

These are only used in cases where residents have not presented bins in line with the Councils requirements.

### 3.7 **Overloaded Bins**

Where a wheeled bin is presented and is considered to be overloaded, either by weight or volume of material, it will be rejected at the discretion of the collection operative and not emptied for health and safety reasons. The wheeled bin will only be emptied when deemed 'manageable' by the collection team.

Overloaded and / or heavy bins pose Health and Safety risks to our employees. It is not uncommon for heavy bins to be thrown from automated bin hoists when being processed throughout the automated cycle which present a risk to staff.

The Councils have a duty of care to ensure (Health and Safety at Work etc Act 1974) that its employees and agents are safeguarded from unnecessary risks. Heavy bins and overloading is therefore discouraged. Collection operatives will advise residents of heavy bins using the Bin Hanger system.

### 3.8 **Bins which are not presented correctly**

Refuse and recycling bins are to be presented for collection by 6.00am (Bolsover) or 7.00 a.m. (North East Derbyshire) on the designated day of collection. It is important that householders present bins by this time as collection times throughout the day may vary due to the impact of vehicle breakdowns, banks holiday and other operational issues. Households are advised not to rely on normal 'waste collection crew' arrival times as their normal bin presentation time, due to the effect operational issues may have on arrival times.

If refuse bins are not presented by the required time on the day of collection, bins reported as missed by residents will not be considered a 'missed' collection for reporting reasons.

Responsibility for disposal of the waste will then become that of the householder who will miss their collection until the next scheduled day; i.e. if a householder misses their black bin collection, they will have to wait 2 weeks until the scheduled collection. However, in exceptional circumstances, we may consider a *'one off gesture of goodwill'* collection.

Where householders do not present refuse bins for collection in accordance with Councils requirements the Councils will not undertake to make return arrangements. In such instances, the householder will have the following options:

- Take their waste to a Household Waste Recycling Centre (HWRC)

- Store the waste until the next scheduled collection day. If this results in excess waste (i.e. residual black bin) the Councils may allow a householder to present bagged 'side waste' (up to 2 bags) in particular where a householder is unable to access a HWRC due to infirmity, disability or access reasons.

Refuse and recycling bins not presented for collection at the time collection crews arrive at the property, will be recorded by collection operatives and the Councils Customers Service Team will be advised to assist in answering enquiries or complaints received from householders in respect of 'missed collections'.

Should a 'missed collection' be reported on the designated day of collection and, subject to the record sheet failing to show the receptacle as not being presented for collection, the respective Council will return to collect the waste by the end of the next working day, where possible.

### **3.9 Bins not collected due to Operational & Environmental Conditions**

On occasion waste and recyclable collections may be affected by operational vehicle breakdowns, road access problems or severe weather conditions.

In the event of operational vehicle breakdowns and road access issues, some resident's wheeled bin collections may be delayed until the following day. In such instances, residents will be advised, upon contacting the Councils Contact Centre, to leave their bins presented and make sure they do not block footways; further to which, the Council will endeavour to collect them the next working day.

In the event of severe weather (i.e. heavy snow fall) conditions, wheeled bin collections may be delayed or even temporarily suspended arising from safety concerns. In the event of such, residents may be advised to leave bins presented in anticipation of collection taking place the following day; or, advised to return their wheeled bins to its normal household storage point; further to which, they will be advised as to collection arrangements when conditions improve. Residents may be advised via the Councils' websites, Contact Centres, Twitter and local media.

### **3.10 Multi-Occupancy Properties and Mixed Use Premises**

At properties such as flats and mixed use premises it is not always practical to provide each household (i.e. flat) with their own individual wheeled bin. In such instances, the Councils will provide larger (communal) wheeled bins up to 1100litre in size to facilitate the collection of household waste and recyclables.

The Councils aim to provide residents of flats/mixed use premises with 'at least' black and burgundy wheeled bins to enable segregation of their waste

to facilitate recycling in an effective manner. The Councils endeavour to work with residents of such premises to encourage recycling.

### 3.11 Refuse and Recycling Bin Provision, Replacement and Repairs

The Councils are committed to helping residents reduce the amount of waste they produce and increase levels of recycling. In view of a continued reduction in residual waste arisings, households will be provided with 180litre black bins in future. 240litre black bins will be gradually replaced over the course of time through a combination of natural replacements and new (1<sup>st</sup> bin) property provision.

The Councils '3 bin' kerbside alternate weekly collection service provides each household with the following receptacles:

- 1 black wheeled bin 180litre in size for general (residual) waste. Only waste produced by the householder on a normal day to day basis should be placed in this wheeled bin. It should not contain commercial waste, bulky items, excessively heavy, hazardous type waste or recyclable material.
- 1 burgundy wheeled bin 240litre in size for household recycling of card packaging, plastic bottles, plastic food containers\trays, cans, bottles, textiles and small household batteries with 40litre integral caddy for segregated paper.
- 1 green wheeled bin 240litre in size for household recycling\composting of garden vegetative waste and cooked or raw food waste. During the winter suspension period, food waste will be collected in black wheeled bins. (Note: the Councils will introduce cooked food waste from April 2014 and residents will be advised)

The cost of providing refuse bins at new build properties will be met by the developer and \ or occupier of the new property.

A resident who causes damage to wheeled bins which cannot be repaired, or is either lost/stolen will be charged for a new replacement bin.

Damage to wheeled bins caused by waste collection crews during the collection process will be replaced or repaired free of charge at the Councils expense.

New and \ or replacement bins will be delivered to householders as soon as practicable (not later than working 10 days) after the request has been made or after payment is received; that is, instances where payment is required.

When householders move home they must leave all wheeled bins at the property ready for the new occupant to use. At no time should householders transfer refuse bins to another property.



All refuse bins supplied to householders shall always remain the property of the Councils.

Householders are responsible for the storage, safe keeping and cleaning of refuse and recycling receptacles provided by the Councils.

The cost of providing new and \ or replacements bins, where relevant, will be charged in accordance with the Council's Chargeable Waste Collection Rates.

### 3.12 **Additional Residual Bin Capacity**

The Councils recognise that individual households with 6 or more permanent resident persons may find it difficult to contain all of their residual waste within a 180\240 litre black wheeled bin. Households of this nature, who demonstrate they are actively recycling, may request additional residual and/or recycling wheeled bins to assist with recycling or disposing of their waste.

In such instances, residents will be required to complete an application form for additional refuse bin capacity.

Additional recycling (burgundy\green) wheeled bin capacity will be provided free on request for households with 6 or more occupants, or where there is other demonstrable need. However, a 'one off' charge will be made for additional residual (black) wheeled bin capacity.

Households, who request additional residual (black) wheeled bin capacity, must demonstrate they are actively recycling as much of their household waste as possible by way of their burgundy and green wheeled bins.

Households who do not recycle will **not** be issued with extra bin capacity, and the Councils may withdraw extra bin capacity if households fail to recycle. Residual (black) bins are not intended for disposal of items that can be recycled.

Household who produce large amounts of **medical wastes** (Category E) due to disability or other similar causes, are able to apply for extra residual (black) wheeled bin capacity. The Councils will still consider other factors above when making their decision in provision of extra bin capacity.

A 'one off' charge (50% reduction if on benefits) will be made for the provision of increased residual (black) wheeled bin capacity. No charge will be made for increased recycling (burgundy\green) wheeled bin capacity; insofar the level of increased capacity is reasonable. No charge will be made where increased capacity arises from **medical waste** requirements.

The Councils will periodically review households who have additional wheeled bin capacity and will send a review form every 2 years to check that such households still require extra bin capacity.

### 3.13 Bulky Domestic Household Waste Collection

The Councils offers a service for the removal of bulky items of household waste from outside your home. This is known as the 'Bulky Domestic Waste Collection Service' and is to assist residents who are unable to take large items, such as furniture, to their local Household Waste Recycling Centre (HWRC).

This service is intended for a variety of large household waste items, such as settees, wardrobes, fridges, tables, chairs, carpets, which will not fit in a normal household wheeled bin.

Residents are able to arrange for bulky collections by calling the Councils, for which a small payment is required.

Payment may be made by credit/debit card by calling the Councils Contact Centres; alternatively, payment may be made by cheque or cash at the Councils offices situated throughout the District.

Bulky items will be collected within 10 working days of receipt of payment. Residents who arrange and make payment for bulky collections will be provided with a collection date.

The 'Bulky Domestic Waste Collection Service' is not intended for the collection of garden waste. Residents are provided with a 'free' kerbside green wheeled bin, service for the collection of garden waste. However, for excessive quantities of garden waste the Council can provide a no obligation quotation for its removal.

The Councils will make arrangements to collect a wide range of bulky waste items (see table below); however, there are certain items that we are not obliged to collect.

| <b>Items We Will Collect<br/>(Household Waste)</b>   | <b>Items We Won't Collect<br/>(Industrial/Commercial Waste)</b>   |
|--|---|
| <ul style="list-style-type: none"> <li>▪ Beds and Mattresses</li> <li>▪ Bicycles</li> <li>▪ Bedroom Furniture (free standing)</li> <li>▪ Carpets</li> <li>▪ Computers</li> <li>▪ Cookers</li> <li>▪ Dishwashers</li> <li>▪ Fridge and Freezers</li> <li>▪ Garden Waste (by quote only)</li> <li>▪ Kitchen furniture (free standing)</li> <li>▪ Room furniture (free standing)</li> <li>▪ Settees and Arm Chairs</li> <li>▪ Swing, slides (free standing)</li> <li>▪ Tables and Chairs (free standing)</li> </ul> | <ul style="list-style-type: none"> <li>▪ Aerials and Satellite dishes</li> <li>▪ Asbestos</li> <li>▪ Baths, Sinks, Toilets, Bidets</li> <li>▪ Boilers and Radiators</li> <li>▪ Building Materials (bricks, tiles, rubble)</li> <li>▪ Car Parts of any description</li> <li>▪ Bunkers (concrete/metal)</li> <li>▪ Fitted kitchen/bedroom units</li> <li>▪ Worktops - Kitchen worktops etc</li> <li>▪ Garages, Greenhouses, Sheds</li> <li>▪ Gates and Fences</li> <li>▪ Hazardous waste items</li> <li>▪ Internal/External Doors</li> <li>▪ Mirrored wardrobe doors</li> </ul> |

|  |  |
|--|--|
| <ul style="list-style-type: none"> <li>▪ Televisions and Hi-fi's</li> <li>▪ Toys</li> <li>▪ Washers and Tumble Dryers</li> </ul>                             | <ul style="list-style-type: none"> <li>▪ Oil tank and Gas Cylinders</li> <li>▪ Soil, earth, stones, concrete</li> <li>▪ Storage heaters (due to asbestos)</li> <li>▪ Trees</li> <li>▪ Windows (frames and/or Glass)</li> </ul> |
| <p><u>The Council may, where requested, provide a separate quotation to collect and dispose of wastes listed in the 'items We Won't Collect' column.</u></p> |  |

Residents are required to leave items arranged for collection in an accessible place at the front of the property, preferably at the property curtilage near to the kerbside, whilst giving regard to:

- Bulky items must be presented by not later than 6.00 a.m. (Bolsover) or 7.00 a.m. (North East Derbyshire) on the notified day of collection, in a safe and easily accessible position (i.e. not behind locked gates, garages/sheds and be in one place and on the ground floor outside blocks of flats)
- They must be within reasonable carrying distance of the collection vehicle (i.e. property curtilage near to the kerbside).
- Residents are asked not to allow items stored outside, such as mattresses\soft furnishing, to become sodden with rain water as this increases their weight considerably.
- If there is no access we will leave a note and call you back to discuss proper access arrangements.
- We reserve the right to refuse to take items that are left at the rear of the property.
- **We will not enter premises to collect items of waste!** However, the Councils may provide quotations, upon request, to remove bulky items from inside premises (*i.e. the undertaking of house clearances*)

The Councils provide concessions in its charging arrangements for the collection of bulky waste, as follows:

- Households on low income receiving benefits will receive a reduced rate of 50%.
- Householders who due to reasons of disability and do not have the capability and mobility to deliver their own bulky waste to a Household Waste Recycling Centre will receive a reduced rate of 50%.

To qualify for a concession customers must demonstrate that they are low income families receiving benefits or unable to arrange for their own disposal due to reasons of infirmity and capability. Concessions are not available for customers who are arranging collections by quotation.

Refunds will only be provided in the event collections are cancelled and \ varied within 48hrs (working days) of the notified collection date (excluding Saturdays, Sundays and Bank Holidays).

From 1st July 2007 the Waste Electrical and Electronic Equipment Regulations (WEEE) came in to force. This requires manufacturers and retailers to be responsible for WEEE recycling and provide a 'Take Back' service in order to comply with their producer responsibility requirements to recycle EEE waste. Residents are therefore reminded to ask retailers for details of their free 'Take Back' scheme when purchasing new white goods and large electrical items (*i.e. cookers, washers, fridges, freezers*).

Residents are further reminded that, if items they wish to dispose of are in good condition and flame retardant (for upholstered items) they may wish to consider either giving the item away through the local classifieds, or passing them on to one of many charitable organisations who in turn may be able to re-home the items with families on low incomes.

YMCA Derbyshire operates a Furniture Recycling Project. Further information about this service and how to donate old furniture can be found on [Derbyshire County Council's website](#).

Alternatively, the [Freecycle](#) Network is open to all individuals who want to 'recycle' that special something rather than throw it away; whether it's a chair, a fax machine, piano or an old door.

### 3.14 Clinical Waste Collection Service

The Councils will arrange for the collection of clinical waste on receiving instruction from a Health Care Professional (*i.e. Doctor's Surgery*).

Residents who receive health care treatment in their home and generate clinical waste should discuss with their District Nurse or Health Care Professional (GP or surgery nurse) to advise how to dispose of clinical waste arising from treatments in their home. The Health Care Professional will complete a 'risk assessment form' and advise the Councils of their need for a clinical waste collection service.

Clinical waste is categorised as follows:

|  |
|--|
| <p><b>Group A</b></p> <ul style="list-style-type: none"> <li>• Identifiable human tissue (all identifiable human tissue, whether infected or not, may only be disposed of by incineration), blood, animal carcasses and tissue from veterinary centres, hospitals or laboratories.</li> <li>• Soiled surgical dressings, swabs and other similar soiled waste.</li> <li>• Other waste materials, e.g. from infectious disease cases, excluding any in Groups B–E.</li> </ul> |
| <p><b>Group B</b></p> <ul style="list-style-type: none"> <li>• Discarded syringe needles, cartridges, broken glass and any other contaminated disposable sharp instruments or items.</li> </ul>  |
| <p><b>Group C</b></p> <ul style="list-style-type: none"> <li>• Microbiological cultures and potentially infected waste from pathology</li> </ul>   |

|  |
|--|
| departments and other clinical or research laboratories.   |
| <b>Group D</b> <ul style="list-style-type: none"> <li>• Drugs or other pharmaceutical products.</li> </ul>   |
| <b>Group E</b> <ul style="list-style-type: none"> <li>• Items used to dispose of urine, faeces and other bodily secretions or excretions which do not fall within Group A. This includes used disposable bed pans or bed pan liners, incontinence pads, stoma bags, and urine containers. (Where risk assessments show no infection risk exists, Group E waste is not classed as 'clinical waste'.)</li> </ul> |

The Councils will facilitate the collection and disposal of clinical household waste, as follows:

- Group 'E' type waste (Non Infectious) may be mixed into the normal domestic residual wheeled (black) bin.
- If the household generates Group 'E' type waste (Non Infectious) in excess of 20% of the normal 180\240litre domestic bin, a special collection can be arranged or (dependent upon circumstances) an extra 140litre residual wheeled (black) bin may be issued to the household throughout the duration of their increased waste needs.
- Group 'A' type waste (Infectious) must be collected and taken for incineration. A special collection is arranged for this; **Group 'A' waste must not be placed in the household wheelie bin at any time.**
- Group 'B' type waste (used syringe needles and other contaminated sharps) should be put into a sharps container for disposal. A special collection is arranged for this; **Group 'B' waste must not be placed in the household wheelie bin at any time.**

### 3.15 Commercial Waste Collections

The Councils provide a Commercial Waste Collection service, upon request, to all companies and businesses (including schools and residential/nursing homes - non-medical) located within the District.

All businesses have a legal duty to ensure they have proper and adequate arrangements in place to deal with the disposal of waste arising from their commercial trading activity. This is a statutory requirements laid down by the Environmental Protection Act 1990 (section 34).

A charge is made for the service which is dependent on the volume of waste produced, number of containers, access arrangements and possibly the type of waste generated.

A range of containers are available to suit varying waste disposal needs in varying sizes:

| Size         | Height  | Depth   | Width   |
|--------------|---------|---------|---------|
| 240 litres   | 1080mm  | 730mm   | 580mm   |
| 360 litres   | 1100mm  | 860mm   | 620mm   |
| 770 litres   | 1390mm  | 777mm   | 1265mm  |
| 1100 litres  | 1404mm  | 986mm   | 1265mm  |
| Open Skips   | Various | Various | Various |
| Closed Skips | Various | Various | Various |

The Councils are able to provide a no-obligation quotation for the collection of commercial waste.

### 3.16 Services to charities and community organisations

The Councils will undertake collection of waste from charities and community organisations within the District when requested.

Registered 'not for profit' charities and community organisations will be provided with wheeled refuse bins (3 bins system) to meet their organisation's waste requirements and where ever possible, provide them access to a recycling service.

Refuse bins will be emptied on alternate weeks with no collection charge. However, the Councils will make a charge for providing extra bin capacity greater than that described above; in particular, where additional wheeled bin capacity is requested.

The Councils do not currently include for the cost of waste disposal in 'not for profit' organisation waste collection charges. Derbyshire County Council (Waste Disposal Authority) may review their policy position which in turn may influence the District Councils to include such charges.

### 3.17 Education, Awareness Raising and Enforcement

The Councils provide a wide range of information to inform residents and households of arrangements for the collection of their waste.

The Councils believe that building awareness and having an educational approach is important to help residents understand their role in reducing the amount of waste they produce and increase recycling.

The Councils further recognise that, when education and awareness initiatives have not achieved their desired outcomes to encourage residents to participate correctly in the Council's waste collection arrangements; in particular, where a residents actions result in environmental despoilment or anti-social behaviour; then, the Councils may, as a last resort, undertake

enforcement activities in accordance with the Councils 'Enforcement Policy' and as such, will follow the principles of a staged approach.

In undertaking the collection of waste from district households, the Councils require that such waste are presented in Council approved wheeled bins to ensure its effective and safe collection from the kerbside by refuse collection vehicles with specified bin hoists to suit the Council's approved wheeled bins.

The Council's waste collection operatives are empowered to reject collection of residual and recyclable waste wheeled bins for the following reasons:

- Overloaded wheeled bin (by weight or volume)
- Raised bin lid (bin lid ajar)
- Wrong bin presented on collection day (e.g. burgundy recycling bin presented on residual black bin week)
- Non-collected waste present in wheeled bin for collection (e.g. construction, DIY or soil waste)
- Contamination of recyclable materials (incorrect waste types placed in burgundy or green bins).
- Side waste presented (*except for burgundy bin collections where bagged side waste may be presented at any time*).

Where wheeled bins are rejected for collection, due to one of the above reasons, the Council's collection operatives will place a 'bin hanger' on the residents wheeled bin to advise of the reason.

Bin hangers may also be used as educational prompts to advise residents of incorrect placement of waste in wheeled bins; rather, than reject a bin for collection. However, after repeated prompts (bin hanger placement) collection teams may reject bins for collection where advice has been ignored.

Cross contamination in recycling (burgundy\green) bins may result in whole vehicle loads being rejected at the material delivery point and the Council incurring cost of up to £200 per tonne. Therefore, the Council may withdraw on a permanent and \ or temporary basis recycling (burgundy\green) bins from households who fail to meet the Council's requirements to segregate waste in to the correct coloured bin.

The Councils have adopted powers under Section 46 of the Environmental Protection Act 1990 for the issuing of Fixed Penalty Notices (FPN) to residents\households who (after education and awareness initiatives have been ineffective) fail to comply with the Councils waste and recycling collection arrangements. The Councils stress, that the use of enforcement action will be the 'last resort'.

#### **4. Principles**

The Councils' Corporate Priorities and Strategic Objectives are key principles which underpin the provision of Waste and Recycling Collection Services to residents, households and business throughout the District.

To further underpin delivery of the Councils' Waste and Recycling Collection Service, the Councils will ensure:

- (a) **Value for Money** - Flexibility and adaptability of the Waste and Recycling Collection Service is essential in order to meet the changing demands of our waste streams and resident's recycling needs. By working together with our Strategic Partner, we aim to provide value for money services which meet our resident's needs.
- (b) **Equality** - The Council is committed to providing services accessible and inclusive to all sections of the community that meet residents and customer's needs. We will tailor our approach to ensure those who have difficulty accessing the service are not disadvantaged and will offer assistance (i.e. assisted bin collection) where an individual's need is demonstrated. Every endeavour will be made to ensure our service meets requirements of the Equality Act 2010 and an Equality Impact Assessment has been undertaken.
- (c) **Sustainability** - Sustainability is and will remain a key issue in provision of our Waste and Recycling Collection Services. Principles of the Waste Hierarchy will remain at the heart of our service delivery to best ensure the Districts' waste avoid landfill disposal and in doing so contribute to a better environment for today and future generations.
- (d) **Partnership Working** – By working in partnership with others we will be able to maximise our resources to positively influence economy and equity in service delivery and encourage shared ownership and engagement in wider recycling and waste reduction; in doing so we will add value to what we are able to achieve.
- (e) **Communication** – Central to our policy will be the need to change attitudes and behaviour in some members of our community, both residents and businesses. Whilst many people are already committed to recycling and waste reduction, there are still some that see waste as “someone else's” problem and that their responsibility ends with depositing waste in the bin. The Council will look to engage with the wider community and, in particular, hard to reach members of the community, through education and awareness campaigns to encourage them to improve how they manage and recycle their own waste arisings.
- (f) **Better Customer Experience** – The Councils Contact Centres and staff will aim to meet customer queries and complaints with equity and respect at all times.



## 5. Statement of Waste Classification

The Council in determining sources of household, industrial and commercial waste it collects by way of arrangements set out in this policy, gives due consideration to duties placed upon the Council as summarised by (s2) The Controlled Waste (England and Wales) Regulations 2012 (*Classification by place of production*) as follows:

| No. | Description   | Classification | Exceptions  |
|-----|---|----------------|---|
| 1   | Private storage premises used wholly or mainly for the storage of articles of domestic use  | Household      |   |
| 2   | Land belonging to or used wholly or mainly in connection with domestic property or caravan where waste from the property or caravan is treated as household waste | Household      |   |
| 3   | A private garage  | Household      | Where the garage has a floor area exceeding 25m <sup>2</sup> or is not used wholly or mainly for the accommodation of a private motor vehicle, the waste is to be treated as commercial waste |
| 4   | A vehicle or vessel used wholly for the purposes of living accommodation  | Household      | Where the vehicle or vessel is used in the course of a business for the provision of self-catering accommodation, the waste is to be treated as commercial waste                              |
| 5   | A place of worship  | Household      |   |
| 6   | A residential hostel which provides accommodation only to persons with no other permanent address or  | Household      |   |

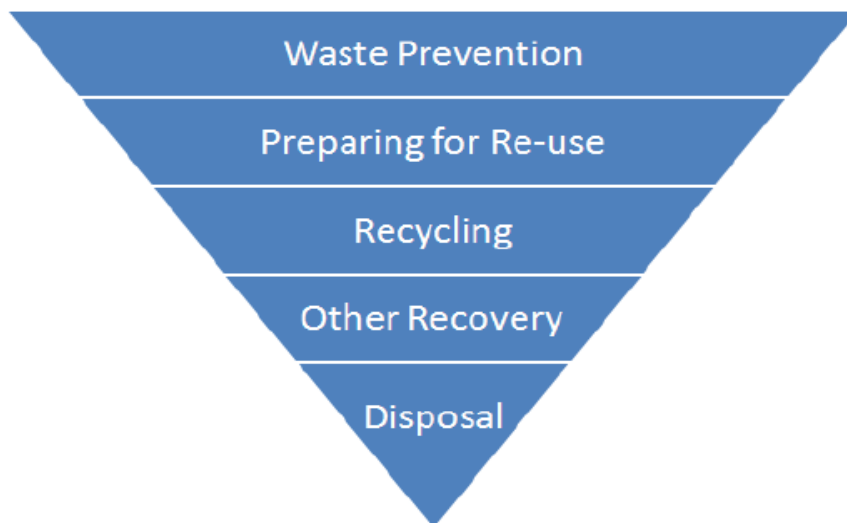
| No. | Description   | Classification  | Exceptions  |
|-----|---|-----------------|---|
|     | who are unable to live at their permanent address   |                 |   |
| 7   | A penal institution   | Household       |   |
| 8   | A charity shop selling donated goods originating from domestic property   | Household       |   |
| 9   | A caravan or mobile home site for gypsies and travellers  | Household       |   |
| 10  | Premises used wholly or mainly for public meetings  | Household waste |   |
| 11  | Domestic property used in the course of a business for the provision of self-catering accommodation   | Commercial      |   |
| 12  | A caravan:<br>(a) used in the course of a business for provision of self-catering accommodation, or<br>(b) which is not allowed to be used for human habitation throughout the year by virtue of a licence or planning permission | Commercial      |   |
| 13  | Premises occupied by a charity and wholly or mainly used for charitable purposes  | Commercial      | Waste from a place of worship or premises used wholly or mainly for public meetings is to be treated as household waste |
| 14  | A camp site or a tent pitched on land other   | Commercial      | Where waste is from domestic premises at a  |

| No. | Description   | Classification   | Exceptions   |
|-----|---|------------------|--|
|     | than a camp site  |                  | camp site, it is to be treated as household waste  |
| 15  | A royal palace  | Commercial       |  |
| 16  | Premises occupied by a club, society or any association of persons in which activities are conducted for the benefit of the members   | Commercial       |  |
| 17  | Premises occupied by:<br>(a) a court;<br>(b) a government department;<br>(c) a local authority;<br>(d) person appointed by or under any enactment to discharge public function;<br>(e) a body incorporated by Royal Charter | Commercial       | Waste classified as household waste or industrial waste because it is from a place:<br>(a) otherwise described in this table (except for entry 27); or<br>(b) described in section 75(5) or (6) of the Act (household waste or industrial waste) |
| 18  | A hotel   | Commercial       |  |
| 19  | Any part of a composite hereditament used for the purposes of a trade or business   | Commercial       |  |
| 20  | A market or fair  | Commercial waste |  |
| 21  | The practice of a general medical practitioner  | Commercial       |  |
| 22  | A workshop or similar premises which is not a factory only because:<br>(a) those working there are not employees; or<br>(b) the work carried on there is not carried on by way of trade or for purposes of gain             | Industrial waste | Where the principal activities at the premises are computer operations or the copying of documents by photographic or lithographic means the waste is to be treated as commercial waste  |

| No. | Description   | Classification | Exceptions |
|-----|---|----------------|------------|
| 23  | Waste from a laboratory   | Industrial     |            |
| 24  | Waste from a scientific research association  | Industrial     |            |
| 25  | Waste from premises used for the breeding, boarding or stabling of animals  | Industrial     |            |
| 26  | Waste imported into England or Wales  | Industrial     |            |
| 27  | Directive waste from a place (including any vehicle, vessel or aircraft) not otherwise described in this table or in section 75(5) or (7) of the Act(15) (household waste and commercial waste) | Industrial     |            |

## 6. Delivery and Implementation

The European 'Waste Hierarchy' (as defined in Article 3 of the Waste Framework Directive) is at the heart of the Councils Joint Waste and Recycling Collection Policy and reducing the environmental impact of how we manage the Districts waste. The Waste Hierarchy is defined as follows:



Waste prevention is the first tenet of the hierarchy which represents the most efficient and sustainable use of resources.

Re-use is an important part of this hierarchy because it keeps products in the consumption sphere for a longer period and avoids the creation of waste. Re-use implies that a product is used again for the same purpose for which it was originally conceived.

Next in the hierarchy 'preparing for re-use' which contributes to the same purpose, but deals with products which have already been discarded as waste.

To this extent, the Councils Burgundy and Green bin collection arrangements aim to divert products from the black bin (residual) waste stream and facilitate their recycling in to new products for re-use.

The Joint Waste and Recycling Collection Policy is therefore focused on changing the behaviour and attitudes of the wider community including elected Members, businesses, partners, the voluntary sector and residents to reduce the District's waste levels, increase recycling and reduce the amount of waste disposed (being the lowest tenet of the Hierarchy) by way of land fill.

## Appendix B: Equality Impact Assessment: Checklist of equality groups

| Equality target groups         | Monitoring | Consultation | Comments  |
|--------------------------------|------------|--------------|---|
| Age *                          | ✓          | x            | Some monitoring undertaken in assessing applications for Assisted Bin Collection or Clinical Waste Collection Service   |
| Disability *                   | ✓          | x            | Monitoring undertaken in assessing applications for Assisted Bin Collection or Clinical Waste Collection Service  |
| Gender reassignment*           | x          | x            | Not considered relevant to affecting access to delivery of service  |
| Marriage & civil partnership * | x          | x            | Not considered relevant to affecting access to delivery of service  |
| Pregnancy & maternity *        | x          | x            | Not considered relevant to affecting access to delivery of service  |
| Race *                         | x          | x            | Not considered relevant to affecting access to delivery of service; however, non-English speaking customers may have difficulty with understanding service information. |
| Religion or belief *           |            |              |   |
| Sex *                          | x          | x            | Not considered relevant to affecting access to delivery of service  |
| Sexual orientation *           | x          | x            | Not considered relevant to affecting access to delivery of service  |
| Socio economic inequality      | ✓          | x            | Some residents\customers on benefits may have difficulties paying for replacement bins or bulky collections.  |

|  |          |          |   |
|--|----------|----------|---|
|  |          |          |   |
| Vulnerability  | <b>x</b> | <b>x</b> | Not considered relevant to affecting access to delivery of service  |
| Any other group or status within Corporate Equality Policy | ✓        | <b>x</b> | Some properties in rural outlying areas or difficult to access urban roads\streets may incur service disruption. This is overcome by utilisation of different size vehicles |
| Community cohesion **                                      | <b>x</b> | <b>x</b> | None identified   |

\* Protected characteristics (Equality Act 2010)

\*\* General equality duty for public authorities (Equality Act 2010)

## Equality Impact Assessment Form

### Responsibility and Ownership

NAME OF POLICY, PRACTICE, STRATEGY, SERVICE OR FUNCTION: **Joint Waste and Recycling Collection Policy**  
(IF **PROPOSED** POLICY PLEASE STATE).

Proposed

Existing

**Responsible department:** Neighbourhoods    **service area:** Streetscene Services (Grounds Maintenance)

**Lead Officer:** Joint Streetscene Manager

Other members of assessment team

| Name         | Position                        | Area of expertise            | Comments                    |
|--------------|---------------------------------|------------------------------|-----------------------------|
| Steve Jowett | Joint Waste & Recycling Manager | Waste Collection & Recycling | Service Direct Line Manager |

### Scope of the assessment

\* Include all protected characteristics for **equality**: age, disability, gender reassignment, marriage & civil partnership, pregnancy & maternity, race, religion or belief, sex, sexual orientation, as well as socio economic, geographical or any other status.

|  |  |
|--|--|
| <p>What are the main aims/objectives or purpose of the policy, strategy, practice, service or function?</p> <p><i>Consider current priorities. What needs is it designed to meet? Are the aims consistent with the Corporate Plan, Single Equality Scheme?</i></p> | <p>To provide a District wide (Bolsover &amp; North East Derbyshire) waste collection service(s) for domestic household waste and in doing so facilitating systems and incentives for residents to Reduce, Re-use, Recycle and Minimise waste in order to achieve statutory recycling targets; as follows:</p> <ul style="list-style-type: none"> <li>• Achieve targets set out by the European Landfill Directive to recycle the 30% (2010), 45% (2015) and 50% (2020) of the Districts household wastes</li> <li>• Provide a highly valued service with high customer satisfaction, accessible to all members of the community.</li> <li>• To meet locally agreed targets as measured by way of Waste Data Flow, formerly measured by National Indicators</li> </ul> |
|--|--|



|   |   |
|---|---|
|   | N191 and NI192.   |
| <p>Are there any external factors we need to consider like changes in legislation?</p> <p><i>Eg. Equality Act 2010; Equality Act 2010 (Specific duties) Regulations 2011.</i></p>                 | <p>The service is undertaken by way of statutory duty (Environment Protection Act s45) and other Acts and/or Regulation. Emerging Directives and Regulations impact on the way the service is operated and delivered.</p> <p>Waste collection is heavily regulated in respect to 'duty of care' requirements.</p>   |
| <p>Who implements the policy, strategy, practice, service or function?</p> <p><i>Include any outside agency/organisation who deliver under contract/procurement/partnership arrangements.</i></p> | <p>(a) Streetscene Services (Waste Services Teams)</p> <p>(b) Environmental Health (Recycling Education, Awareness and Enforcement)</p> <p>(c) HW Martin Waste Ltd (Recycling Contract Collector)</p>   |
| <p>Who is affected by the policy, strategy, practice, service or function?</p> <p><i>Include external and internal customers, community groups and stakeholders.</i></p>                          | <ul style="list-style-type: none"> <li>• Residents - provided with convenient collection services to keeping the District safe and clean and facilitating opportunities for them to reduce and recycle their waste and in doing so engender a sustainable environment.</li> <li>• Visitors – provided with a clean and safe District with opportunities to dispose of their waste in a sustainable manner</li> <li>• Businesses – provided with a convenient waste collection service facilitating opportunities to recycle their waste and in doing so engender a clean and safe District.</li> </ul> <p>The service strategically supports the Councils Corporate objective in promoting and enhancing a clean and sustainable environment by making waste management more sustainable and delivering statutory and local recycling targets. It also supports Derbyshire's Joint Municipal Waste Management strategy by achieving landfill diversion.</p> |

|  |   |
|--|---|
| <p>What outcomes do we want to achieve?</p> <p><i>List the benefits and who they are for.</i></p>  | <ul style="list-style-type: none"> <li>• Achieve targets set out by the European Landfill Directive to recycle the 30% (2010), 45% (2015) and 50% (2020) of the Districts household wastes</li> <li>• Provide a highly valued service with high customer satisfaction, accessible to all members of the community.</li> <li>• To meet locally agreed targets as measured by way of Waste Data Flow, formerly measured by National Indicators N191 and NI192</li> </ul> <p>The Councils waste collection service is formed by a number of different waste streams, each of which, require different systems to facilitate its collection from customers; namely:</p> <ul style="list-style-type: none"> <li>(a) Residual domestic waste collection (Black Wheeled Bins)</li> <li>(b) Recyclable waste collections (Burgundy Wheeled Bins)</li> <li>(c) Organic waste collections (Green Wheeled Bins)</li> <li>(d) Bulky waste collection</li> <li>(e) Clinical waste collection</li> <li>(f) Commercial waste collection</li> </ul> |
| <p>What existing evidence do you have on the impact of the policy, strategy, practice, service or function?</p> <p><i>Look at previous information e.g. Best Value Reviews. Other authority research. Previous impact assessments.</i></p> | <p>The Councils internal Audit Teams undertake regular (4 year plan) inspections of the service; whether in whole or specific elements\functions.</p> <p>Overall, the service is rated as 'satisfactory'</p>  |

**Identifying Potential Equality Issues**

|  |  |
|--|--|
| <p>What do you already know about the equality impact or need?</p> <p><i>Look at any <b>consultation results</b> (corporate, such as</i></p> | <p>The Councils utilise different vehicles to overcome access issues as far as reasonably possible and is able to nominate collection points for residents to present bins to facilitate their</p> |
|--|--|

|  |   |
|--|---|
| <p><i>Citizens Panel, community groups, internal satisfaction surveys or service specific data), complaints/comments, feedback, performance management, risk assessments, monitoring, comparisons with similar authorities, census information.</i></p> <p><b>Consider further consultation on this EIA with external groups</b> eg: Equality Panel, Community Voluntary Partnership etc</p> | <p>collection. Also, numerous schemes are in place to support disabled and infirm service users in the collection of their household waste; these are:</p> <ul style="list-style-type: none"> <li>• Assisted Bin Collections Services</li> <li>• Larger Bins Service</li> <li>• Clinical Waste Collection</li> <li>• Recycling Awareness and Promotion (Door Stepping)</li> <li>• Language translation service</li> </ul>   |
| <p>Are there any existing equality or diversity objectives we need to take into consideration? If so, what are they and what is the current performance like against them?</p> <p><i>Consider Single Equality Scheme, Equality Act 2010 (Specific duties) Regulations 2011.</i></p>  | <p>None identified</p>  |
| <p>Are there any demographic changes or trends?</p> <p><i>Consider Census and local / national statistics.</i></p>   | <p>Service may be affected by influences such as population\ housing growth and ageing communities which impacts on amount of waste collected and \ or demand for Assisted Bin and Clinical Waste Collection Services.</p> <p>Seasonal variation also impacts on the distribution of waste volume\weight throughout the year; in particular, organic (green bin) waste.</p> <p>The Councils resource levels and its distribution throughout the annual period aims to meet seasonal demand.</p> |
| <p>Are there any aspects of the policy, strategy, practice, service or function that could create difficulties or problems for groups that could contribute to inequality?</p> <p><i>Are there any obvious barriers to accessing the service? Consider location, access issues, language, eligibility rules, positive action, any content designed to promote equality of</i></p>            | <p>Residents are required to present their waste in line with the Councils requirements as facilitated by s46 Environmental Protection Act 1990. Residents (in particular those who are able bodied and of have capacity) who fail to present their waste in the appropriate wheeled bin at a time and place determined by the Council, may have their waste collection deferred or be required to present their waste at a Household Recycling</p>   |

|   |  |
|---|--|
| <p><i>opportunity and social cohesion, learning difficulties, sight, hearing (Equality Act 2010).</i></p>   | <p>Centre until such time they comply with the Councils requirements to facilitate is collections and \ or recycling by way of the alternate week (3 bin) collection system.</p> <p>Households with 6 or greater persons may find it difficult to contain all of their non recyclable waste in a standard 180\240ltr wheelie bin, in particular if they do not actively recycle. Households of 6 persons or more can apply for extra bin capacity in the form of a second 140ltr wheelie bin; however, this is dependant on demonstrating they are actively recycling.</p> <p>Literacy levels may be a factor as the majority of information available about service policies and procedures is in a written format</p> <p>Deprivation and poverty may impact on affordability of resident's ability to replace lost or stolen bins, other than those lost on collection day resulting from the Council's collection operations. Residents responsible for bin replacement incur a replacement charge; however, a 50% reduction is available to households receiving benefits.</p> |
| <p>Is there any evidence of adverse impact?</p> <p><i>Consider all equality categories<br/>Whose needs are not being met?<br/>Consider who the users are and those who are not the users and why e.g. higher or lower take up. Any measurable differences between groups?</i></p> | <p>Schemes are established (i.e. Assisted Bin Collection Service) to support potential equality issues set out below:</p> <p><u>Race</u> - will not affect access to the service delivered by the Council. However in some instances, culture (i.e. Travellers) may impede collection of household waste unless wheeled bin provision is sited at a permanent or semi-permanent mobile park facility. Likewise, language could be a barrier to non-English speaking customers being unable to understand presentation of wheeled bins on collection days.</p> <p><u>Gender</u> - will not restrict access to this service as the service is open to all.</p>   |

|  |  |
|--|--|
|  | <p><u>Disability</u> - dependant upon the level and severity of impairment, some people may not be able to present their wheeled bins at the kerbside for collection and may require assistance. The Councils operate an Assisted Bin Collection Service of which 7% (approx.) District households receive. Without any additional measures, disabled people who want to use this service may not be able to as they present their wheelie bins at the kerbside for collection. The Assisted Bin Collection Scheme has been designed to address this issue.</p> <p><u>Age</u> - young persons would not reasonably be able to present wheeled bins at the kerbside for collection. This would be the responsibility of their parent or legal guardian in exercising their duty of care. However, presentation is considered within the capability of teenagers, subject to disabilities and or learning difficulties. Likewise, some elderly residents may not be able to present wheeled bins at the kerbside for collection and may require an Assisted Bin Collection Service.</p> <p><u>Religion or Belief</u> - will not restrict access to this service as the service is open to all.</p> <p><u>Sexuality</u> - will not restrict access to this service as the service is open to all.</p> |
|--|--|

**Analysis**

|   |   |
|---|---|
| <p>If there is <b>no</b> evidence of adverse impact do you have enough information to make a judgement? (If so please</p> | <p>The Councils operate schemes to assist residents\customers who experience difficulties in accessing the service; namely:</p> |
|---|---|

|  |  |
|--|--|
| <p>detail the evidence)</p> <p><i>Consider if there is a lack of information and how you could rectify this e.g. conduct consultation, satisfaction surveys, more research, who do you need to talk to? Is the information clear enough?</i></p> | <ul style="list-style-type: none"> <li>• Assisted Bin Collections Services</li> <li>• Larger Bins Service</li> <li>• Clinical Waste Collection</li> </ul> <p>The schemes are accessed by application received from residents\customers, arising from which, the Streetscene Team maintain records of residents\customers receiving the service.</p> <p>Details about the service are publicised by way of:</p> <ul style="list-style-type: none"> <li>• The Council’s corporate News Paper and Local Press</li> <li>• Details are shown on the services website</li> <li>• Leaflets available in area and central offices. Holiday collection arrangements delivered to households annually and available by download from the services website.</li> <li>• Recycling information advertised in Council’s corporate news paper or local press and the Councils customer service information\booklets\website.</li> <li>• Individual correspondences to customers</li> <li>• The Councils Contact Centres.</li> <li>• Elected Members through their surgeries.</li> <li>• Education and Awareness Events</li> <li>• The Councils Joint Recycling Promotion Assistant</li> </ul> |
| <p>If there <b>is</b> adverse impact can you identify the cause?</p> <p><i>If so please state</i></p>  | <p>The Joint Waste and Recycling Collection Policy does not itself create ‘adverse impact’ on services provided to residents\customers; rather, it sets out how the Councils will discharge their statutory duty in service provision and how it aims to meet differing resident\customer needs by providing schemes to facilitate equal access to all.</p>  |
| <p>Are there any practical measures that can be taken to</p>   | <p>The Councils utilise different vehicles to overcome access</p>  |

|  |  |
|--|--|
| <p>reduce the adverse impact?</p> <p><i>Consider staff training to raise awareness, making changes to the service delivery, information formats/locations e.g. colour, font size, language, does the information reach the whole community, positive action.</i></p> | <p>issues as far as reasonably possible and is able to nominate collection points for residents to present bins to facilitate their collection. Also, numerous schemes are in place to support disabled and infirm service users in the collection of their household waste; these are:</p> <ul style="list-style-type: none"> <li>• Assisted Bin Collections Services</li> <li>• Larger Bins Service</li> <li>• Clinical Waste Collection</li> <li>• Recycling Awareness and Promotion (Door Stepping)</li> <li>• Language translation service</li> </ul> |
| <p>Are there enough resources available to make the required changes? <i>(not always applicable)</i></p>   | <p>The Councils have established resource levels sufficient to deliver services; these of which may fluctuate to reflect varying seasonal demand or increased demand through population and \ or household growth.</p>   |

### **Monitoring Arrangements**

|   |   |
|---|---|
| <p>What monitoring arrangement do you have in place to monitor the policy, strategy, practice, service or function?</p> <p><i>Consider scrutiny of service plans; any specific service monitoring data. NB If no adverse impact identified the policy, strategy, practice, service or function will need to be reviewed every three years in accordance with the Corporate Equality Policy.</i></p> | <p>The Council includes key performance indicators in its Corporate Plan and Streetscene Service Plan to monitor performance of waste collection services; in particular, to chart progress in meeting targets set out by the European Landfill Directive to recycle the 30% (2010), 45% (2015) and 50% (2020) of the Districts household wastes</p> <p>The service also monitors residents\customers who receive an Assisted Bin Collections Larger Bin and Clinical Waste Collection Services to ensure only meeting qualifying criteria continue to receive assistance.</p> <p>The Councils Joint Recycling Assistant also undertakes Recycling Awareness and Promotion (Door Stepping) to advise residents\customers how to best dispose of their</p> |
|---|---|

household waste whilst at the same time maximising recycling and reducing the amount we dispose of by way of landfill.

### Recommendations and Decisions

Take immediate action by: (Please tick the appropriate choice)

*Consider any resource implications*

Amending the policy, strategy, practice, service or function  
***(Reflected in development of the Joint Waste & Recycling Collection Policy)***

Use an alternative policy, strategy, practice, service or function

Develop equality objectives and targets for inclusion in the service plan

Initiate further research

Any other method (please state)

**All actions must be listed in on the Equality Impact Assessment Improvement Plan Summary**



## EQUALITY IMPACT ASSESSMENT IMPROVEMENT PLAN SUMMARY

Name of policy, practice, strategy, service or function: **Joint Waste and Recycling Collection Policy**

Please list on this sheet all actions, recommendations and/or decisions you plan to take as a result of the equality impact assessment.

Date of assessment: **2<sup>nd</sup> April 2013**

| <b>Recommendation/ Decision</b>  | <b>Action Required</b>   | <b>Responsible Officer</b> | <b>Target Date</b>  | <b>Resources</b>          | <b>Progress</b>  | <b>Actual Outcome</b>   |
|--|--|----------------------------|---|---------------------------|--|---|
| Problems with pulling bins out to the kerbside by infirm and \ or disabled residents   | Continue to offer an Assisted Bin Collection Service   | JSM\JWRM                   | Ongoing   | Existing service resource | Effective & Ongoing  | Disabled\Infirm residents are able to access service  |
| Possible access problems for speakers of languages other than English and people with disabilities e.g. hearing impaired or persons with literacy problems | <p>Make leaflets available in other languages and formats if requested or at times of undertaking targeted education campaigns.</p> <p>Undertake face to face education</p> <p>Continue to collect data for service assistance schemes.</p> <p>Include Council leaflet on language translation service in all collection vehicles for employees to provide to non English speaking customers</p> | JSM\JWRM                   | <p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p> <p>July 2013</p> | Existing service resource | <p>Effective &amp; Ongoing</p> <p>Effective &amp; Ongoing</p> <p>TBA</p> | Improved awareness of service delivery arrangements and how all residents are able to access the service & maximise the amount of their household waste they can recycle. |

| Recommendation/ Decision   | Action Required   | Responsible Officer | Target Date                                 | Resources                 | Progress | Actual Outcome  |
|--|---|---------------------|---|---------------------------|----------|---|
| Possible barrier of affordable cost of bin replacement if lost or stolen | Offer reconditioned bins at reduced cost or 50% price reduction to residents receiving benefits | JSM\JWRM            | Within 3 months of approval of Joint Policy | Existing service resource | TBA      | Residents on low income provided with affordable bin replacement option |
| <b>Legend</b><br>JSM<br>JWRM   | Joint Streetscene Manager<br>Joint Waste & Recycling Manager                                    |                     |   |                           |          |   |

**Send the completed assessment and summary to the Equalities Sub Group for scrutiny approval: date sent.....**

Sub group approval                      **yes**                      **no**                      date of approval .....

(If no please state why).....

Please state where the assessment will be kept.....

Department..... Date.....

**Please keep the original assessment in your equalities folder and send a copy to the Equality Improvement Officer.**

|                                    |  |                  |      |
|------------------------------------|--|------------------|------|
| Committee:                         | Executive  | Agenda Item No.: | 7    |
| Date:                              | 30 <sup>th</sup> September 2013  | Status           | Open |
| Subject:                           | Budget Monitoring Report, Quarter 1 – April to June 2013                       |                  |      |
| Report by:                         | Assistant Director – Accountancy and IT.                                       |                  |      |
| Other Officers Involved            | Chief Accountant, Principal Accountant.  |                  |      |
| Director Relevant Portfolio Holder | Director of Corporate Resources<br>Councillor E. Watts, Leader of the Council. |                  |      |

## **RELEVANT CORPORATE AIMS**

STRATEGIC ORGANISATIONAL DEVELOPMENT – to continually improve the efficiency and effectiveness of all Council Services by maximising the potential use of Council resources.

## **TARGETS**

All.

## **VALUE FOR MONEY**

This report is intended to demonstrate that the Council has in place an appropriate framework for managing the budget. Robust budget management is an essential foundation for securing Value for Money.

## **1 Purpose of Report**

- 1.1 To update the Executive Committee on the financial position of the Council following the first quarter's budget monitoring exercise for the General Fund, the Housing Revenue Account, Capital Programme and Treasury management activity.

## **2 Background Information**

- 2.1 Officers have continued the integrated approach to budget monitoring in the first quarter with Performance, Risk and Finance being considered together at Directorate meetings held during July 2013. The scope of this report is therefore to report the current financial position following the 2013/14 quarter one monitoring exercise as part of the wider exercise which has considered Finance, Performance and Risk.

### **3 Issues for Consideration**

#### **General Fund Revenue Account**

- 3.1. The General Fund Revenue Account summary is shown as **Appendix 1**. The original budget for 2013/14 included a savings target of £0.884m. The current budget now shows that this target is reduced to £0.347m which means that the Council has secured budget savings of £0.537m in the first quarter of the year. The budget savings which have been secured of £0.537m are distributed to the appropriate services where they are now part of the service budgets. With regard to the £0.347m where further work is ongoing that remains separately identified as part of the Savings Programme. It should be noted that the approved budget reductions arising from the under spend recorded in 2012/13 (£0.168m) have now been fed into the budget as well as the updated retained NNDR figure (£0.155m). Officers have also reduced the salary budgets where savings in the first quarter have been identified (£0.037m). All these measures have helped to secure the required level of savings. The MTFP report of 2 September 2013 provided a detailed update against each of the savings programme items.
- 3.2. Within the main Directorates there is a mixed picture to report.
- The Chief Executives Directorate shows a favourable variance of £0.017m. This relates mainly to some additional grant income received for Individual Electoral Registration (£0.006m) and under spends in the training budget (£0.015m). There are a number of other small variances throughout the Directorate. There are no budget pressures to report.
  - The Corporate Resources Directorate shows a favourable variance of £0.028m. These favourable variances are spread over a number of cost centres throughout the Directorate. There are no budget pressures to report.
  - The Development Directorate has a favourable variance at quarter 1 of £0.018m. This figure is a net position and reflects the following:
    1. Planning Fee income is above the profiled budget by £0.085m.
    2. Pleasley Vale facilities maintenance expenditure is £0.024m below the profiled budget.
    3. Sherwood Lodge – net cost £0.010m above the profiled budget (general running costs are above the estimated position – reflecting that the sale of the asset was anticipated to be completed earlier in the financial year). Any further delays to the sale will increase the operating cost to the Council.
    4. The Tangent Business Hub – expenditure is £0.047m above the profiled budget. The Council's current NNDR liability for the year on the Tangent is £0.093m which is £0.057m above the budgeted amount for the year. The actual rental income for quarter one is £0.003m some £0.019m below the forecast sum for the first quarter. These increased costs reflect the low number of tenants occupying the building at the end of the first quarter. Officers are seeking a rating revaluation and additional tenants have been secured since the first quarter. The position will continue to be closely monitored. In addition there is some mitigation in the current year as a proportion of the net running costs is grant funded however this grant funding expires in

December and the Council will have to meet the full running costs from that point onward.

5. Other variances within the Directorate are not significant nor considered a budget pressure to the Council.

- The Health and Wellbeing Directorate shows an adverse variance of £0.030m. The Environmental Health service shows as an over spend of £0.020m at the end of the first quarter. Officers are working to address a small number of identified issues and are anticipating that a balanced position will be secured by the year end. There are a few areas within the leisure budgets where income is behind the profiled budget and officers are carefully monitoring this position. At this stage officers within leisure do not anticipate that these areas will develop into budget pressures for the Council.
- The Neighbourhoods Directorate shows a favourable variance of £0.004m which is spread over a number of cost centres. There are no budget pressures to report.

3.3 Interest rates are remaining very low which is impacting on the level of interest earned on invested balances. On the basis of current interest rates Members should note there is an anticipated reduction of actual investment income received against the budgeted income position. Officers are continuing to monitor the position and will update Members regarding these potential cost pressures as part of the next quarters monitoring report.

3.4 Section 106

In order to improve the monitoring and control of Section 106 monies received by the Council the sums due to be utilised in a financial year are now recorded within the General Fund directorate budgets and the expenditure against these sums is recorded as part of the monitoring of service expenditure. The sums due for utilisation in 2013/14 amount to £0.800m and expenditure at the first quarter is £0.240m.

General Fund Summary

3.5 The overall position at the end of quarter 1 shows that there is a small overall adverse variance of £0.014m which at this stage of the year is very positive and indicates that the Council is in a good position to deliver the necessary savings in order to balance its budget for 2013/14. A limited number of budget pressures have been identified and officers will continue to monitor and address the position on these during the next quarter.

### **Housing Revenue Account (HRA)**

3.6. The Housing Revenue Account in respect of the first quarter of 2013/14 is set out in **Appendix 2** to this report.

### **Income**

3.7. The quarter 1 income figures do not show any significant variances. Officers are aware that the supporting people income received is better than estimated

(£0.030m qtr 1). The overall HRA income position shows a favourable variance of £0.018m above the budgeted position for quarter 1.

## **Expenditure**

- 3.8. Expenditure within each of the operating areas of the HRA shows under spends in the first quarter. There are therefore no budget pressures to report at this stage of the year on the HRA. It is likely that the under spends will continue during the year until the Stock Condition survey is completed giving detailed property by property information. The Survey is expected to commence in September and will be completed by December 2013. Officers will then be in a position to determine any back log repairs and maintenance issues and plan the long term work schedules for the total stock over the 30 year period of the HRA Business Plan. The only monitoring item to note is in respect of Mobile Working Software support costs where an increased cost of £30k is now anticipated. Consideration will also need to be given to the replacement of the handsets currently being used (cost being investigated). These are, however, relatively small variations and it is anticipated that these costs will be managed within the overall approved budget for the HRA.
- 3.9. Interest costs are anticipated to be lower than the original budget as the HRA borrowing is below the budgeted level at this stage of the year while interest rates remain at a very low level. .
- 3.10 In the light of the above and the expenditure patterns to date – as detailed in Appendix 2 - there are no significant issues to report regarding the overall position for the HRA at the end of the first quarter.

## **Capital Investment Programme**

### **Capital Expenditure**

- 3.11. The first quarter monitoring position in respect of the Capital Programme is provided in **Appendix 3** to this report. The original programme was approved at £9.439m. The capital programme shown in Appendix 3 has only been updated with some of the slippage and carry forwards from 2012/13; this is where contractual obligations have required a budget allocation.
- 3.12 In headline terms the capital programme profiled budget for quarter 1 is £1.384m and the actual spend and known commitments total £0.881m, which is £0.503m behind the planned spend position. The main areas to highlight are listed below:
- Clowne Campus – this scheme is now coming to the end and officers anticipate significant savings against the approved budget.
  - Sherwood Lodge disposal – a delay in forecast disposal date.
  - Disabled Facilities Grants – the actual spend against the approved grants is currently below profile.
  - Fuel Poverty Fund – the scheme was completed at a lower level of expenditure than the grant approval.
  - Vehicle Replacement – the replacement vehicles are on order in many areas and expenditure is anticipated to take place during the second and third quarter of the financial year.

- HRA – New Houghton – no expenditure has been incurred on this scheme during the first quarter.
- 3.13. The capital programme has been profiled for a low level of expenditure during the first quarter. However, the actual expenditure on schemes in the first quarter is £0.503m below that profile with a number of the budgets carried forward from 2012/13 not yet included within the Approved Programme at this stage. Whilst there are no significant financial issues to report regarding Capital Expenditure at the end of the first quarter it must be noted that the delivery of the approved capital programme is behind the forecast position as at quarter 1. Officers will continue to monitor the position and to the extent to which expenditure cannot be brought back into line with the Programme then it will be necessary to revise the Approved Programme accordingly.

### **Capital Resources**

- 3.14. HRA - The Council has sufficient capital resources in place to finance the HRA actual expenditure and commitments at the end of the first quarter. General Fund – The financing of the General Fund part of the capital programme is in line with the approved financing arrangements. The lower spend position does mean that lower prudential borrowing has been undertaken than forecast for the first quarter of the financial year. During the first quarter the Council received the outstanding capital receipt in respect of the sale of land at Shirebrook.

### **Treasury Management**

- 3.15. The treasury management function covers the borrowing and investment of Council money. This includes both the management of the Council's day to day cash position and the management of its long term debt. All transactions are conducted in accordance with the Council's approved Treasury Management strategy and the CIPFA Code of Practice. Good treasury management plays an important role in the sound financial management of the Council's resources.
- 3.16. The Council approved the 2013/14 Treasury Management Strategy at its meeting in March 2013. **Appendix 4** details the Treasury Management activity undertaken during the first quarter of 2013/14.

## **4 Legal Aspects**

- 5.1 There are no legal issues arising directly from this report.

## **5 Risk Management**

- 5.1 The issue of Financial Risks is covered throughout the report. In addition, however, it should be noted that the risk of not achieving a balanced budget is outlined as a key risk within the Council's Strategic Risk Register. While officers are of the view that these risks are being appropriately managed it needs to be recognised that there are will be pressures on all of the Council's main budgets as these have been or are being reduced to minimum levels, and that these will need to be managed carefully during the course of this financial year if we are to secure a balanced budget and protect the existing levels of financial balances.

## **6 Policy and Performance**

- 6.1 This report is intended to monitor progress in achieving the objectives set out within the Medium Term Financial Plan, this in turn being linked to the full range of the Council's Corporate Strategies. The achievement of the targets set out in the Medium Term Financial Plan is therefore crucial for achieving against a range of key policy issues.

## **7 Financial Implications**

- 7.1 Financial issues and implications are covered in the relevant sections throughout this report. In summary these are:

### General Fund

The savings target is now reduced from £0.884m to £0.347m at the end of the first quarter.

The monitoring position shows a small net adverse variance position in the first quarter of £0.014m. There are a number of budget pressures being highlighted which are being carefully monitored and may increase the costs to the Council later in the financial year. In overall terms, however, Officers are of the view that the Council is well placed to secure the full level of General Fund savings of £0.884m by the year end.

### HRA

The HRA is showing a net under spend of £0.338m in the first quarter and is expected to outturn in line with the approved budget.

### Capital Expenditure

There are no significant areas of concern to report regarding the Capital Programme in the first quarter of 2013/14. The main issue relates to the delivery of the approved programme in the financial year given that a relatively low level of expenditure has been achieved in the first quarter of the year.

### Capital Income

The Council has sufficient capital resources in place to finance the actual expenditure and commitments of the capital programme at the end of the first quarter.

### Treasury Management

There are no significant areas of concern to report regarding Treasury Management activities in the first quarter of 2013/14.

## **8 Equalities Issues / Human Resources Implications / Environmental Considerations**



8.1 There are no equalities, human resource or environmental implications arising directly out of this report.

**9 Crime and Disorder/ Community Safety Implications**

9.1 There are no crime and disorder or community safety implications arising directly out of this report.

**10. Recommendations**

10.1 That Executive notes the monitoring position of the General Fund at the end of the first quarter as detailed on Appendix 1 (A net adverse variance of £0.014m against the profiled budget) and the key issues highlighted within this report.

10.2. That Executive notes the position on the Housing Revenue Account (HRA), the Capital Programme and Treasury Management at the end of the first quarter.

10.3. That Executive requests officers to continue to actively manage all budgets to ensure that savings targets are achieved by the year end and that the Council operates within Approved Budgets in respect of the General Fund, the Housing Revenue Account and the Capital Programme.

**11 Reasons for Recommendations**

11.1 To inform Executive of the position on the Council's budgets at the end of the first quarter of the 2013/14 financial year.

**Background Papers**

**Location**

Held in Accountancy

Room

**BOLSOVER DISTRICT COUNCIL  
GENERAL FUND 2013/14**

**APPENDIX 1**

| Description                                     | GF Summary<br>£     | Savings<br>Achieved<br>£ | Current<br>Budget<br>£ | Qtr 1<br>Budget<br>£ | Qtr 1 Actual<br>£  | Variance<br>£  |
|---|---------------------|--------------------------|------------------------|----------------------|--------------------|----------------|
| <b>General Fund</b>                             |                     |                          |                        |                      |                    |                |
| Chief Executive                                 | 2,178,404           | (126,766)                | 2,117,519              | 586,763              | 569,655            | (17,108)       |
| Corporate Resources                             | 3,790,423           | (19,377)                 | 3,801,115              | 1,052,552            | 1,024,615          | (27,937)       |
| Development                                     | 1,775,817           | (67,262)                 | 1,763,183              | 660,826              | 642,890            | (17,936)       |
| Health and Wellbeing                            | 1,484,697           | (38,942)                 | 1,473,516              | 423,111              | 453,654            | 30,543         |
| Neighbourhood                                   | 3,716,380           | (125,658)                | 3,640,120              | 850,354              | 846,693            | (3,661)        |
| Recharges to HRA and Capital                    | (3,344,400)         |                          | (3,344,400)            | (836,100)            | (836,100)          | 0              |
| Provision for Pay Award                         | 83,455              |                          | 83,455                 | 20,864               | 0                  | (20,864)       |
| <u>S106 Expenditure due in year</u>             |                     |                          |                        |                      |                    |                |
| Development                                     | 0                   |                          | 330,136                | 239,785              | 239,785            | 0              |
| Health and Wellbeing                            | 0                   |                          | 469,847                | 0                    | 0                  | 0              |
| <u>Savings Programme</u>                        |                     |                          |                        |                      |                    |                |
| Vacancies savings                               | (100,000)           | 54,904                   | (45,096)               | 0                    | 0                  | 0              |
| Leisure Savings Clowne                          | (60,000)            | 0                        | (60,000)               | 0                    | 0                  | 0              |
| Street Scene                                    | (50,000)            | 35,858                   | (14,142)               | 0                    | 0                  | 0              |
| Director Secondment                             | (100,000)           | 0                        | (100,000)              | (25,000)             | 0                  | 25,000         |
| Secondments and joint working NEDDC             | (100,000)           | 84,622                   | (15,378)               | 0                    | 0                  | 0              |
| Property Rationalisation                        | (100,000)           | 0                        | (100,000)              | (25,000)             | 0                  | 25,000         |
| Garage Fleet Review                             | (25,000)            | 25,000                   | 0                      | 0                    | 0                  | 0              |
| Other Savings (inc Leisure)                     | (80,000)            | 67,535                   | (12,465)               | 0                    | 0                  | 0              |
| Unidentified Savings                            | (269,342)           | 269,342                  | 0                      | 0                    | 0                  | 0              |
| <b>Total Net Expenditure</b>                    | <b>8,800,434</b>    | <b>159,256</b>           | <b>9,987,410</b>       | <b>2,948,154</b>     | <b>2,941,192</b>   | <b>(6,962)</b> |
| Minimum Revenue Provision (MRP)                 | 647,516             |                          | 647,516                | 161,879              | 161,879            | 0              |
| Interest Received                               | (129,108)           |                          | (129,069)              | (32,267)             | (11,171)           | 21,096         |
| Interest Paid                                   | 347,327             |                          | 347,289                | 86,822               | 86,822             | 0              |
|   |                     |                          |                        |                      |                    | 0              |
|   | <b>9,666,169</b>    | <b>159,256</b>           | <b>10,853,146</b>      | <b>3,164,588</b>     | <b>3,178,722</b>   | <b>14,134</b>  |
| <u>Contributions to Reserves</u>                | 247,850             |                          | 247,850                | 61,963               | 61,963             | 0              |
| <u>Contributions from Reserves</u>              | 39,340              |                          | 0                      | 0                    | 0                  | 0              |
| General Reserve                                 | -83,455             | 83,455                   | (51,430)               | (51,430)             | (51,430)           | 0              |
| Insurance Reserve                               | 0                   |                          | 0                      | 0                    | 0                  | 0              |
| Local Development Scheme                        | 0                   |                          | (50,000)               | (12,500)             | (12,500)           | 0              |
| Planning Delivery Grant Reserve                 | (21,135)            |                          | (23,443)               | (5,861)              | (5,861)            | 0              |
| Transformational Reserve                        | (28,334)            |                          | (28,334)               | (7,084)              | (7,084)            | 0              |
| Transition Grant Reserve                        | (251,567)           | 19,000                   | (235,982)              | (58,996)             | (58,996)           | 0              |
| Vehicle and Plant Reserve                       | 0                   |                          | 0                      | 0                    | 0                  | 0              |
|   |                     |                          |                        |                      |                    | 0              |
| Transfer to unapplied grant accounts            | (12,432)            |                          | (91,435)               | (22,859)             | (22,859)           | 0              |
| Transfer re S106                                | 0                   | (24,751)                 | (826,976)              | (239,785)            | (239,785)          | 0              |
|   | <b>9,556,436</b>    | <b>236,960</b>           | <b>9,793,396</b>       | <b>2,828,037</b>     | <b>2,842,171</b>   | <b>14,134</b>  |
| Parish Precepts                                 | 2,144,612           |                          | 2,144,612              | 536,153              | 536,153            | 0              |
| Council Tax Support Grants                      | 434,978             |                          | 434,978                | 108,745              | 108,745            | 0              |
| <b>Total Net Expenditure</b>                    | <b>12,136,026</b>   | <b>236,960</b>           | <b>12,372,986</b>      | <b>3,472,935</b>     | <b>3,487,069</b>   | <b>14,134</b>  |
| Revenue Support Grant                           | (3,842,732)         |                          | (3,842,732)            | (960,683)            | (960,683)          | 0              |
| Business Rates Retention                        | (2,556,500)         | (155,079)                | (2,711,579)            | (677,895)            | (677,895)          | 0              |
| 8.5% limitation Grant                           | (16,359)            |                          | (16,359)               | (4,090)              | (4,090)            | 0              |
| New Homes Bonus 11/12                           | (117,312)           |                          | (117,312)              | (29,328)             | (29,328)           | 0              |
| New Homes Bonus 12/13                           | (193,346)           |                          | (193,346)              | (48,337)             | (48,337)           | 0              |
| New Homes Bonus 13/14                           | (169,639)           | (21,669)                 | (191,308)              | (47,827)             | (47,827)           | 0              |
| Council Tax Freeze Grant                        | 0                   |                          | 0                      | 0                    | 0                  | 0              |
| Council Tax Freeze Grant 13/14                  | (30,649)            |                          | (30,649)               | (7,662)              | (7,662)            | 0              |
| Transition Grant                                | 0                   |                          | 0                      | 0                    | 0                  | 0              |
| Council Tax - BDC                               | (3,064,877)         |                          | (3,064,877)            | (766,219)            | (766,219)          | 0              |
| Council Tax - Parishes                          | (2,144,612)         |                          | (2,144,612)            | (536,153)            | (536,153)          | 0              |
| Misc Grants                                     | 0                   |                          | 0                      | 0                    | 0                  | 0              |
| Collection Fund Deficit                         | 0                   |                          | 0                      | 0                    | 0                  | 0              |
| New Burdens Grant                               | 0                   | (60,212)                 | (60,212)               | (60,212)             | (60,212)           | 0              |
| Transfer from General Fund Q1 re - profiling    | 0                   |                          | 0                      | (334,529)            | (334,529)          | 0              |
| <b>Total Financing</b>                          | <b>(12,136,026)</b> | <b>(236,960)</b>         | <b>(12,372,986)</b>    | <b>(3,472,935)</b>   | <b>(3,472,935)</b> | <b>0</b>       |
| <b>Transfer to/(from) General Fund Balances</b> | <b>0</b>            | <b>0</b>                 | <b>0</b>               | <b>0</b>             | <b>14,134</b>      | <b>14,134</b>  |

## Housing Revenue Account

## APPENDIX 2

| Description   | Full Years<br>Budget<br>£ | 3 months<br>Budget<br>£ | 3 months<br>Actuals<br>£ | 3 months<br>Variance<br>£ |
|---|---------------------------|-------------------------|--------------------------|---------------------------|
| <b>Expenditure</b>                                  |                           |                         |                          |                           |
| Repairs and Maintenance                             | 4,432,250                 | 1,108,063               | 947,281                  | (160,782)                 |
| Supervision and Management                          | 4,493,010                 | 1,123,253               | 1,021,351                | (101,902)                 |
| Special Services                                    | 688,210                   | 132,053                 | 99,602                   | (32,451)                  |
| Supporting People                                   | 772,470                   | 193,118                 | 181,417                  | (11,701)                  |
| Tenants Participation                               | 88,060                    | 22,015                  | 16,992                   | (5,023)                   |
| Provision for Doubtful Debts                        | 150,000                   | 37,500                  | 37,500                   | 0                         |
| Debt Management Expenses                            | 12,000                    | 3,000                   | 3,000                    | 0                         |
| <b>Total Expenditure</b>                            | <b>10,636,000</b>         | <b>2,619,000</b>        | <b>2,307,143</b>         | <b>(311,857)</b>          |
| <b>Income</b>                                       |                           |                         |                          |                           |
| Rents   | (19,517,400)              | (4,879,350)             | (4,831,091)              | 48,259                    |
| Garage Rents  | (300,000)                 | (75,000)                | (73,477)                 | 1,523                     |
| Garage Site Rents                                   | (30,000)                  | (7,500)                 | (36,004)                 | (28,504)                  |
| Supporting People                                   | (605,500)                 | (151,375)               | (181,104)                | (29,729)                  |
| Special Services                                    | (264,000)                 | (66,000)                | (63,269)                 | 2,731                     |
| Leasehold Flats and Shops Income                    | (12,650)                  | (3,163)                 | (684)                    | 2,479                     |
| Income - Repairs and Maintenance                    | (14,000)                  | (3,500)                 | (18,760)                 | (15,260)                  |
| Income - Supervision & Management/Rents/Rates/Taxes | (400)                     | (100)                   | 33                       | 133                       |
| Other Income  | (12,040)                  | (3,010)                 | (3,108)                  | (98)                      |
| <b>Total Income</b>                                 | <b>(20,755,990)</b>       | <b>(5,188,998)</b>      | <b>(5,207,464)</b>       | <b>(18,467)</b>           |
| <b>Net Cost of Services</b>                         | <b>(10,119,990)</b>       | <b>(2,569,998)</b>      | <b>(2,900,321)</b>       | <b>(330,324)</b>          |
| <b>Appropriations</b>                               |                           |                         |                          |                           |
| Voluntary Debt Repayment                            | 2,000,000                 | 500,000                 | 500,000                  | 0                         |
| Interest Costs                                      | 3,452,580                 | 863,145                 | 855,533                  | (7,612)                   |
| Depreciation  | 2,132,600                 | 533,150                 | 533,150                  | 0                         |
| Transfer to Major Repairs Reserve                   | 1,183,620                 | 295,905                 | 295,905                  | 0                         |
| Contingency for Inflation                           | 31,830                    | 7,958                   | 7,958                    | 1                         |
| Contribution to Insurance Reserve                   | 50,000                    | 12,500                  | 12,500                   | 0                         |
| Contribution to Capital Project Reserve             | 1,250,000                 | 312,500                 | 312,500                  | 0                         |
|   |                           |                         |                          | 0                         |
| <b>Net Operating (Surplus) / Deficit</b>            | <b>(19,360)</b>           | <b>(44,840)</b>         | <b>(382,775)</b>         | <b>(337,935)</b>          |

|                                  |  | <b>APPENDIX 3</b>         |                         |                          |                           |
|----------------------------------|--|---------------------------|-------------------------|--------------------------|---------------------------|
| Fund                             | CAPITAL PROGRAMME SUMMARY                        | Full Years<br>Budget<br>£ | 3 months<br>Budget<br>£ | 3 months<br>Actuals<br>£ | 3 months<br>Variance<br>£ |
| <b>General Fund</b>              |  |                           |                         |                          |                           |
| <b>Assets</b>                    |  |                           |                         |                          |                           |
| ASS                              | AMP - PV Lodges                                  | 61,820                    | 15,455                  | 38,340                   | 22,885                    |
| ASS                              | Asset Management Plan - Subject to Exec Approval | 494,980                   | 0                       | 0                        | 0                         |
| ASS                              | CCTV - Riverside Depot                           | 53,733                    | 25,000                  | 24,411                   | (589)                     |
|                                  |  | <b>610,533</b>            | <b>40,455</b>           | <b>62,751</b>            | <b>22,296</b>             |
| <b>Project Horizon</b>           |  |                           |                         |                          |                           |
| HOR                              | ICT infrastructure - Project Horizon             | 23,400                    | 23,400                  | 18,630                   | (4,770)                   |
| HOR                              | Bolsover Mini Hub                                | 2,433,000                 | 0                       | 480                      | 480                       |
| HOR                              | Clowne Campus - Refurbishment                    | 657,493                   | 250,000                 | 179,823                  | (70,177)                  |
| HOR                              | Sherwood Lodge Disposal                          | 453,345                   | 113,336                 | 26,521                   | (86,815)                  |
|                                  |  | <b>3,567,238</b>          | <b>386,736</b>          | <b>225,455</b>           | <b>(161,282)</b>          |
| <b>ICT Schemes</b>               |  |                           |                         |                          |                           |
| ICT                              | ICT infrastructure                               | 158,000                   | 39,500                  | 42,611                   | 3,111                     |
| ICT                              | Fleet Management System                          | 23,560                    | 23,560                  | 23,560                   | 0                         |
|                                  |  | <b>181,560</b>            | <b>63,060</b>           | <b>66,171</b>            | <b>3,111</b>              |
| <b>Leisure Schemes</b>           |  |                           |                         |                          |                           |
| LEI                              | Playbuilder                                      | 8,000                     | 8,000                   | 7,505                    | (495)                     |
| LEI                              | Clune Street Recreation Ground                   | 12,626                    | 3,157                   | 0                        | (3,157)                   |
| LEI                              | Bols Improv Play Pitches Initiative              | 34,242                    | 34,242                  | 31,820                   | (2,422)                   |
|                                  |  | <b>54,868</b>             | <b>45,399</b>           | <b>39,325</b>            | <b>(6,073)</b>            |
| <b>Private Sector Schemes</b>    |  |                           |                         |                          |                           |
| PS                               | Disabled Facility Grants                         | 365,000                   | 91,250                  | 34,635                   | (56,615)                  |
| PS                               | Private Sector Decent Homes                      | 16,736                    | 4,184                   | 0                        | (4,184)                   |
| PS                               | Fuel Poverty Fund                                | 152,570                   | 152,570                 | 78,283                   | (74,287)                  |
|                                  |  | <b>534,306</b>            | <b>248,004</b>          | <b>112,918</b>           | <b>(135,086)</b>          |
| <b>Vehicles and Plant</b>        |  |                           |                         |                          |                           |
| VEH                              | Refuse Vehicle (VX55 CVA)                        | 140,000                   | 140,000                 | 139,002                  | (998)                     |
| VEH                              | Refuse Vehicle (VE07 ENT)                        | 140,000                   | 0                       | 0                        | 0                         |
| VEH                              | Refuse Vehicle (VE07 ENU)                        | 140,000                   | 0                       | 0                        | 0                         |
| VEH                              | Van Streetscene (YN56 HFW)                       | 60,000                    | 0                       | 0                        | 0                         |
| VEH                              | Van (R & M YP56 VFZ)                             | 18,000                    | 0                       | 0                        | 0                         |
| VEH                              | Van (R & M DY56 OFB)                             | 18,000                    | 0                       | 0                        | 0                         |
| VEH                              | Van (R & M YS56 LYG)                             | 10,000                    | 0                       | 0                        | 0                         |
| VEH                              | Pick up Streetscene                              | 22,000                    | 0                       | 0                        | 0                         |
| VEH                              | 8 x Hedgecutters (GM)                            | 4,000                     | 0                       | 0                        | 0                         |
| VEH                              | 10 x Strimmers (GM)                              | 5,000                     | 0                       | 0                        | 0                         |
|                                  |  | <b>557,000</b>            | <b>140,000</b>          | <b>139,002</b>           | <b>(998)</b>              |
| <b>Total General Fund</b>        |  | <b>5,505,505</b>          | <b>923,654</b>          | <b>645,621</b>           | <b>(278,032)</b>          |
| <b>Housing Revenue Account</b>   |  |                           |                         |                          |                           |
| HRA                              | Group Dwellings Safety Work                      | 150,000                   | 25,000                  | 0                        | (25,000)                  |
| HRA                              | Housing Asset Management                         | 38,000                    | 9,500                   | 7,744                    | (1,756)                   |
| HRA                              | External Wall Insulation                         | 0                         | 0                       | 6,043                    | 6,043                     |
| HRA                              | Window Replacement                               | 5,000                     | 1,250                   | 2,906                    | 1,656                     |
| HRA                              | Electrical Rewiring Decent Homes                 | 210,000                   | 52,500                  | 8,307                    | (44,193)                  |
| HRA                              | Cavity Wall + Loft Insulation                    | 10,000                    | 2,500                   | 0                        | (2,500)                   |
| HRA                              | External Door Replacements                       | 1,000,000                 | 50,000                  | 39,230                   | (10,770)                  |
| HRA                              | Heating Upgrades                                 | 35,000                    | 25,000                  | 27,098                   | 2,098                     |
| HRA                              | Environmental Works                              | 50,000                    | 12,500                  | 5,895                    | (6,605)                   |
| HRA                              | Decent Homes - External                          | 100,000                   | 25,000                  | 39,593                   | 14,593                    |
| HRA                              | Kitchen Replacements - Decent Homes              | 250,000                   | 62,500                  | 30,291                   | (32,209)                  |
| HRA                              | Mobile Working                                   | 50,000                    | 0                       | 0                        | 0                         |
| HRA                              | Regeneration Mgmt & Admin                        | 200,000                   | 50,000                  | 50,000                   | 0                         |
| HRA                              | HRA New Build - Disturb Pymts Lang J             | 5,000                     | 1,250                   | 0                        | (1,250)                   |
| HRA                              | HRA New Build - New Houghton                     | 2,160,000                 | 100,000                 | 0                        | (100,000)                 |
| HRA                              | Sprinkler Systems                                | 20,000                    | 0                       | 0                        | 0                         |
| HRA                              | Soffit and Facia Replacement                     | 75,000                    | 0                       | 0                        | 0                         |
| HRA                              | Vehicle Tracking Devices                         | 18,525                    | 18,525                  | 18,467                   | (58)                      |
| HRA                              | HRA New Build - New Houghton -Dist Payments      | 90,000                    | 25,000                  | 0                        | (25,000)                  |
| <b>Total HRA</b>                 |  | <b>4,466,525</b>          | <b>460,525</b>          | <b>235,573</b>           | <b>(224,952)</b>          |
| <b>TOTAL CAPITAL EXPENDITURE</b> |  | <b>9,972,030</b>          | <b>1,384,179</b>        | <b>881,195</b>           | <b>(502,984)</b>          |

| Fund                           | CAPITAL PROGRAMME SUMMARY | APPENDIX 3                |                         |                          |                           |
|--------------------------------|---------------------------|---------------------------|-------------------------|--------------------------|---------------------------|
|                                |                           | Full Years<br>Budget<br>£ | 3 months<br>Budget<br>£ | 3 months<br>Actuals<br>£ | 3 months<br>Variance<br>£ |
| <b>Capital Financing</b>       |                           |                           |                         |                          |                           |
| <b>General Fund</b>            |                           |                           |                         |                          |                           |
| Specified Capital Grant        |                           | (365,000)                 | (248,004)               | (112,918)                | 135,086                   |
| Private Sector Contributions   |                           | (221,303)                 | (11,157)                | (7,505)                  | 3,652                     |
| Prudential Borrowing           |                           | (2,321,788)               | (637,541)               | (498,247)                | 139,294                   |
| Section 106                    |                           | (27,242)                  | 0                       | 0                        | 0                         |
| Reserves                       |                           | (107,810)                 | (26,953)                | (26,953)                 | 0                         |
| Capital Receipts               |                           | (2,462,362)               | 0                       | 0                        | 0                         |
|                                |                           | <b>(5,505,505)</b>        | <b>(923,654)</b>        | <b>(645,621)</b>         | <b>278,032</b>            |
| <b>HRA</b>                     |                           |                           |                         |                          |                           |
| Major Repairs Allowance        |                           | (2,216,525)               | (335,525)               | (235,573)                | 99,952                    |
| Capital Project Reserve        |                           | (2,250,000)               | (125,000)               | 0                        | 125,000                   |
|                                |                           | <b>(4,466,525)</b>        | <b>(460,525)</b>        | <b>(235,573)</b>         | <b>224,952</b>            |
| <b>TOTAL CAPITAL FINANCING</b> |                           | <b>(9,972,030)</b>        | <b>(1,384,179)</b>      | <b>(881,195)</b>         | <b>502,984</b>            |
| Checks                         |                           | 0                         | 0                       | 0                        | 0                         |

**Activity 2013/14****PWLB Borrowing**

During the current financial year no new loans have been taken out with the PWLB.

As at 1 April 2013 the Authority's total outstanding PWLB debt amounted to £107,100,000. The profile of the outstanding debt is analysed as follows: -

| <b>PWLB BORROWING</b>  | <b>Maturity Profile<br/>31 March 2013</b> | <b>Maturity Profile<br/>30 June 2013</b> |
|------------------------|---|--|
| <b>Term</b>            | <b>£</b>                                  | <b>£</b>                                 |
| 12 Months              | 2,000,000                                 | 2,000,000                                |
| 1 - 2 years            | 1,000,000                                 | 1,000,000                                |
| 2 - 5 years            | 2,000,000                                 | 2,000,000                                |
| 5 - 10 years           | 12,700,000                                | 12,700,000                               |
| 10 - 15 years          | 23,400,000                                | 23,400,000                               |
| Over 15 years          | 66,000,000                                | 66,000,000                               |
| <b>Total PWLB Debt</b> | <b>107,100,000</b>                        | <b>107,100,000</b>                       |

At 30 June 2013 no amounts have been repaid to the PWLB.

**PWLB Interest**

The interest cost to the Council of the PWLB debt for 2013/14 is shown in the table below. The cost is split between the HRA and General Fund based on the level of debt outstanding. Below is a table showing the amount of interest that has been paid to the PWLB for the current financial year.

| <b>Date</b>        | <b>Amount Paid to PWLB<br/>£</b> |
|--------------------|----------------------------------|
| Quarter 1 payments | 323,187.50                       |
| <b>Total Paid</b>  | <b>323,187.50</b>                |

**Temporary Borrowing**

Cash flow monitoring and management serves to identify the need for short term borrowing to cover delays in the receipt of income during the course of the year. During the current year to date short term borrowing from the Council's own bank incurred interest charges of £53.10. At the 30 June 2013 the Council had no temporary borrowing.

**Temporary Investments**

The tables below detail the short term investments to 30 June 2013 and interest earned in the first quarter of 2013/14.

Bank of Scotland

| Counterparty Rating – 12 months   |          |                     |
|---|----------|---------------------|
| Balance as 1 April 2013   |          | 4,911,335.11        |
| <b>The interest rate for Bank of Scotland is 0.5% until 21 April then 0.4% from 22 April on investments</b> |          |                     |
| Interest Received Q1  | 5,451.58 |                     |
| <b>Bank of Scotland balance at 30 June 2013</b>   |          | <b>4,911,335.11</b> |

Ignis (Money Market Fund)

| Counterparty Rating – 12 months                         |            |              |                     |
|---|------------|--------------|---------------------|
| Balance as 1 April 2013                                 |            |              | 200,000.00          |
| Invested  |            |              |                     |
| <b>The interest rate for IGNIS is variable each day</b> | 02/04/2013 | 1,000,000.00 |                     |
|   | 05/04/2013 | 500,000.00   |                     |
|   | 10/04/2013 | 1,000,000.00 |                     |
|   | 15/04/2013 | 2,200,000.00 |                     |
|   |            |              | 4,700,000.00        |
| Interest received                                       |            |              | 4,725.23            |
| Withdrawn   |            | 0            |                     |
|   |            |              | 0                   |
| <b>Ignis at 30 June 2013</b>                            |            |              | <b>4,904,725.23</b> |

BNP Paribas (Money Market Fund)

| Counterparty Rating – 12 months                               |            |              |                     |
|---|------------|--------------|---------------------|
| Balance as 1 April 2013                                       |            |              | 0.00                |
| Invested  |            |              |                     |
| <b>The interest rate for BNP Paribas is variable each day</b> | 17/06/2013 | 800,000.00   |                     |
|   | 28/06/2013 | 1,600,000.00 |                     |
|   |            |              | 2,400,000.00        |
| Interest received   |            |              | 175.34              |
| Withdrawn   |            | 0            |                     |
|   |            |              | 0                   |
| <b>BNP Paribas balance at 30 June 2013</b>                    |            |              | <b>2,400,175.34</b> |

Blackrock (Money Market Fund)

|   | <b>Counterparty Rating – 12 months</b> |                     |                        |                     |
|---|--|---------------------|------------------------|---------------------|
| Balance as 1 April 2013                                     |  |                     |                        | 0                   |
| Invested  |  |                     |                        |                     |
| <b>The interest rate for Blackrock is variable each day</b> | 15/04/2013                             | 3,700,000.00        |                        |                     |
|   | 29/04/2013                             | 1,400,000.00        |                        |                     |
|   | 01/05/2013                             | 1,700,000.00        |                        |                     |
|   | 13/05/2013                             | 3,000,000.00        |                        |                     |
|   | 21/05/2013                             | 1,000,000.00        |                        |                     |
|   | 03/06/2013                             | 1,300,000.00        |                        |                     |
|   | 13/06/2013                             | 500,000.00          |                        |                     |
|   | 17/06/2013                             | <u>1,900,000.00</u> | 14,500,000.00          |                     |
| Interest Received   |  |                     | 820.25                 |                     |
| Withdrawn   | 19/04/2013                             | (3,000,000.00)      |                        |                     |
|   | 26/04/2013                             | (700,000.00)        |                        |                     |
|   | 30/04/2013                             | (1,400,000.00)      |                        |                     |
|   | 17/05/2013                             | (600,000.00)        |                        |                     |
|   | 20/05/2013                             | (1,500,000.00)      |                        |                     |
|   | 23/05/2013                             | (900,000.00)        |                        |                     |
|   | 28/05/2013                             | (1,500,000.00)      |                        |                     |
|   | 19/06/2013                             | (1,700,000.00)      |                        |                     |
|   | 24/06/2013                             | (200,000.00)        |                        |                     |
|   | 26/06/2013                             | <u>(300,000.00)</u> |                        |                     |
|   |  |                     | <u>(11,800,000.00)</u> |                     |
| <b>Blackrock at 30 June 2013</b>                            |  |                     |                        | <b>2,700,820.25</b> |

**Interest Received**

Below is a table showing the interest received from investments in the first quarter of 2013/14: -

| <b>Bank Name</b>    | <b>Amount Received</b> |
|---------------------|------------------------|
| Bank of Scotland    | (5,451.58)             |
| Ignis               | (4,725.23)             |
| Blackrock           | (820.25)               |
| BNP Paribas         | (175.34)               |
| Iceland Investments | 0                      |
| <b>Total</b>        | <u>(11,171.40)</u>     |



### **Compliance with Treasury Limits**

During the financial year the Council continued to operate within the treasury limits set out in the Council's Borrowing and Investment Strategy.

|   | <b>Actual to Date<br/>2013/14</b> | <b>Authorised Limit<br/>Q1 2013/14</b> |
|---|-----------------------------------|--|
| Authorised Limit (total Council external borrowing limit) | 115,676,000                       | 126,673,000                            |
| Operational Boundary                                      | 115,676,000                       | 121,673,000                            |

|                           |   |                  |      |
|---------------------------|---|------------------|------|
| Committee:                | Executive                                   | Agenda Item No.: | 8    |
| Date:                     | 30 <sup>th</sup> September 2013             | Status           | Open |
| Subject:                  | Strategic Risk Register                     |                  |      |
| Report by:                | Director Corporate Resources                |                  |      |
| Other Officers Involved   | Business Risk Group                         |                  |      |
| Director                  | Director of Resources                       |                  |      |
| Relevant Portfolio Holder | Councillor E. Watts, Leader of the Council. |                  |      |

### **RELEVANT CORPORATE AIMS**

STRATEGIC ORGANISATIONAL DEVELOPMENT – to continually improve the efficiency and effectiveness of all Council Services by maximising the potential use of Council resources.

### **TARGETS**

All.

### **VALUE FOR MONEY**

Risk Management arrangements are a key part of the Council's Governance arrangements which are necessary to secure value for money.

## **1. Background Information**

- 1.1. The Council's Strategic Risk Register has been developed by the Risk Management Group to take into account the issues raised within the Master Risk Register which outlines the service or operational risks faced by the Council. The Risk Management Group has also given separate consideration to the Strategic Risks which face the organisation.
  
- 1.2. In addition to the work undertaken at the Business Risk Group the Council also considers the issue of Risk Management at the Quarterly Directorate meeting. This allows senior managers to have a greater level of input into the shaping of the Strategic Risk Register and into the wider issues of Risk Management. It also allows service Registers to be independently reviewed on a more regular basis than was achieved by periodic review at the Business

Risk Group. Finally, this report will also be considered at a meeting of the Council's Audit Committee.

1.3. In its approach to Risk Management the Council is seeking to secure a number of objectives and to operate in line with recognised best practice. In order to appreciate the importance of Risk Management it is useful to reiterate these objectives:

- To improve the way in which the Council manages its key risks so as to reduce the likelihood of them happening, and to mitigate their impact or magnitude in those cases where they do materialise. This is a key element in protecting service delivery arrangements, the financial position and the reputation of the Council.
- To strengthen the overall managerial approach of the Council. From a Governance perspective the effective operation of Risk Management is regarded as being a key element of the managerial framework operating within an authority.
- Effective Risk Management is a key component in ensuring that organisations are able to achieve their objectives, and that key projects proceed in line with plan.
- The identification of the risks attached to existing service delivery, or to a project or new initiative is important both to allow a fully informed decision to be made, and to ensure that all appropriate measures to mitigate (or reduce) the risk are in place from the outset.
- Finally, an appreciation of the risk environment within which the Council operates assists in determining an appropriate level of financial reserves for sound financial management, and ensures that the organisation has a better awareness of its overall risk exposure.

## **2. The Strategic Risk Register**

2.1. The revised Strategic Risk Register as at 30 June 2013 is set out in **Appendix 1** for consideration and approval by Executive. The intention is that this review of the Register will secure the following objectives:

- Identify any newly emerging risks which need to be added to the Register and removing any risks that have been resolved. An on going review of the Strategic Risk Register ensures that a focus is maintained on current risks.
- Revising the Risk Register ensures that existing risks are reviewed, that appropriate mitigation remains in place, and where necessary risk assessment is revisited.

- The process also allows appropriate consideration to be given to the success of existing mitigation, and to the issue of whether any further mitigation is required.
  - The Strategic Risk Register as set out in **Appendix 1** is structured so that those risks with the highest risk score are detailed first.
- 2.2. In overall terms a key element which emerges from the Strategic Risk Register is one of an ongoing requirement to maintain our current performance in respect of service delivery, performance and governance to local residents. The current position, however, needs to be maintained at a time when it will be increasingly necessary to manage the Council's finances in a more pro active way in order to ensure that our expenditure remains in line with the level of our resources at a time of declining financial support from central government. This is likely to entail some significant changes in the manner in which our services to local residents are delivered with the level of change required clearly having the potential to disrupt service provision with the associated risks that such disruption entails.
- 2.3. As part of the quarterly performance, finance and risk meetings two issues were identified which were regarded as increasing in importance. The first of these concerned that of managing the impact of welfare reform. There were a number of potential impacts identified arising from welfare reform which gave grounds for concern. These included the impact of welfare upon local residents with this Council possibly having to be proactive in developing and adapting its services to meeting emerging needs, the potential adverse impact upon key income streams such as Council House rents and Council Tax collection and also rising financial costs from increasing eligibility of local residents for benefit payments at a time when government grant support is effectively a fixed amount, or heavy demands upon budgets such as that for Discretionary Housing Payments. Officers are carefully monitoring the impact of welfare reform including its impact upon the Contact Centres, the Revenues and Benefits and Housing teams. Secondly, the issue of the risk of losing key staff was also identified as a growing risk. While this may be linked to the loss of some key staff in one particular service area the impact of financial efficiencies secured in previous financial years has been to remove some element of service resilience which has only been partially offset by the additional staffing resources arising from working within the context of the Strategic Alliance. Further work needs to be undertaken to identify appropriate mitigation actions for this risk.
- 2.4. Given that the Strategic Alliance is now well established and has already exceeded its initial savings target of £1.5m the net risk associated with the possible failure to deliver the potential benefits of the Alliance have been reduced accordingly.

- 2.5. The Risk Management Group at its meeting on 1<sup>st</sup> May 2013 agreed that it is now timely to refresh the Council's Risk Strategy and it is planned that this piece of work will be completed by the time of the next quarterly report to Executive concerning the Strategic Risk Register. Once Executive has approved the revised Risk Strategy then it will be used as the basis for a training and awareness programme amongst both staff and Elected Members. As an interim awareness raising measure the previous version of the Strategic Risk Register was provided to the Budget Scrutiny Committee for its consideration.

### **3. Financial Implications**

- 3.1. There are no additional financial implications arising out of this report at this stage. While where appropriate additional mitigation measures have been identified and implemented during the course of preparing the Strategic and Master Risk Registers, the cost of implementing this mitigation will be met from within previously agreed budgets.

### **4. Legal Aspects**

- 4.1. There are no legal issues arising directly as a consequence of this report.

### **5. Risk Management Issues**

- 5.1. Risk Management Issues are covered throughout the body of the main report.

### **6. Equalities Issues**

- 6.1. There are no equalities issues arising directly out of this report.

### **7. Human Resource Implications**

- 7.1. There are no Human Resource issues arising directly out of this report.

### **8. Recommendation**

- 8.1. That Executive approves the Strategic Risk Register as at 30<sup>th</sup> June 2013 as set out in Appendix 1 to this report and requests that an updated Register as at 30<sup>th</sup> September 2013 together with a revised Risk Strategy be brought back to a subsequent meeting of Executive for approval.

**Background Papers**  
Master Risk Register

**Location**  
Accountancy

# APPENDIX 1

TABLE 1

## STRATEGIC RISK REGISTER SUMMARY

### STRATEGIC RISK REGISTER SUMMARY AS AT: JUNE 2013

|   | <b>Risk</b>   | <b>Consequences</b>  | <b>Risk Score<br/>(Likelihood<br/>x Impact)</b> | <b>Risk Score<br/>(Likelihood<br/>x<br/>Impact)Tak<br/>ing into<br/>Account<br/>Current<br/>Controls</b> | <b>Risk<br/>Owner /<br/>Lead<br/>Officer</b> |
|---|---|--|---|--|--|
| 1 | Failure to deliver a balanced budget in line with the MTFP, at a time when the Council's reserves are at relatively low levels.   | <ul style="list-style-type: none"> <li>• Impact upon ability to deliver current level of services</li> <li>• Unable to resource acceptable levels of service.</li> <li>• Significant adverse reputational Impact.</li> </ul>   | 4,4 16  | 3,4 12   | SAMT / Chief Financial Officer               |
| 2 | Adverse external economic position / government legislation, welfare reform etc. has an accelerating impact on Council (poor grant settlement), or upon the local economy (employment losses / benefits reforms). | <ul style="list-style-type: none"> <li>• Unable to deliver a package of services that meet changing local needs and aspirations.</li> <li>• Unable to effectively support local communities.</li> <li>• Increased demands on Council services at a time when Council resource base is reducing.</li> </ul> | 4,4, 16   | 3,4 12   | SAMT / Political Leadership                  |

|   | <b>Risk</b>   | <b>Consequences</b>  | <b>Risk Score<br/>(Likelihood<br/>x Impact)</b> | <b>Risk Score<br/>(Likelihood<br/>x<br/>Impact)Taking<br/>into<br/>Account<br/>Current<br/>Controls</b> | <b>Risk<br/>Owner /<br/>Lead<br/>Officer</b> |
|---|---|--|---|---|--|
| 3 | Financial position makes it increasingly difficult to recruit to key posts or to replace key staff who leave  | <ul style="list-style-type: none"> <li>• Deterioration in services to the public</li> <li>• Increasing inefficiencies in service provision</li> <li>• Weakening of Internal Control arrangements.</li> </ul>   | 4,4 16  | 3,4 12  | SAMT /<br>Asst<br>Director HR                |
| 4 | Delivery of the Council's Agenda is dependent upon effective delivery of both a number of major initiatives inc Regeneration Initiatives, HRA reform, Asset Management securing major financial savings and implementing a range of new government reforms whilst maintaining service quality, which may overstretch our reduced organisational capacity. | <ul style="list-style-type: none"> <li>• New initiatives are not delivered in a cost-effective manner.</li> <li>• Failure to maintain / improve services in line with local aspirations</li> <li>• Failure to generate the savings required to balance the budget</li> <li>• Financial efficiencies weaken Governance / Internal Control arrangements.</li> <li>• Service deterioration / failure arising from capacity issues.</li> </ul> | 4,4 16  | 3,4 12  | SAMT /<br>Chief<br>Executive                 |

|   | <b>Risk</b>   | <b>Consequences</b>   | <b>Risk Score<br/>(Likelihood<br/>x Impact)</b> | <b>Risk Score<br/>(Likelihood<br/>x<br/>Impact)Taking<br/>into<br/>Account<br/>Current<br/>Controls</b> | <b>Risk<br/>Owner /<br/>Lead<br/>Officer</b> |
|---|---|---|---|---|--|
| 5 | Workforce Issues (Staff morale / Sickness Levels) adversely affected as a result of pace of change, tightening financial circumstances or external circumstances. | <ul style="list-style-type: none"> <li>• Deterioration in services to the public and loss of productivity</li> <li>• Loss of key staff increased sickness levels</li> <li>• Increased pressure on other members of staff</li> </ul>   | 3,4 12  | 2,4 8   | SAMT / Assistant Director HR                 |
| 6 | Emergency Planning and Business Continuity arrangements fail to meet required standards when tested by flu pandemic, natural disaster (flood), etc                | <ul style="list-style-type: none"> <li>• Inability of Council to provide services as a consequence of a severe catastrophic external event (eg flooding, major terrorist incident, flu pandemic, fire).</li> <li>• Failure of IT infrastructure, leading to inability to effectively operate services and to safeguard income streams.</li> <li>• Business Continuity Plans prove ineffective in practice.</li> </ul> | 3,5 15  | 2,5 10  | SAMT / Director of Health and Well Being     |
| 7 | Failure to realise the opportunities presented by the Strategic Alliance / Joint  | <ul style="list-style-type: none"> <li>• Deterioration in service quality / performance.</li> <li>• Failure to achieve required MTFP savings.</li> <li>• Deterioration in</li> </ul>  | 4,4 16  | 3,3 9   | SAMT / Political Leadership                  |



|   | <b>Risk</b>  | <b>Consequences</b>  | <b>Risk Score<br/>(Likelihood<br/>x Impact)</b> | <b>Risk Score<br/>(Likelihood<br/>x<br/>Impact)Taking<br/>into<br/>Account<br/>Current<br/>Controls</b> | <b>Risk<br/>Owner /<br/>Lead<br/>Officer</b> |
|---|--|--|---|---|--|
|   | Working.   | quality of governance and internal control arrangements.   |   |   |  |
| 8 | Lack of strategic direction from Members / Corporate Management , external partners change Strategic direction.  | <ul style="list-style-type: none"> <li>• Failure to deliver high quality services which address national and local priorities.</li> <li>• Deterioration in Governance Arrangements.</li> <li>• Refocus of current services necessary with associated disruption.</li> </ul>  | 3,4 12  | 3,3 9   | Chief Executive / Political Leadership Team  |
| 9 | A major operational risk materialises resulting in a significant impact upon the Council's ability to secure its corporate objectives. Given the efficiency measures that have been introduced to date this is considered to be an increasing issue for the Council. | <ul style="list-style-type: none"> <li>• Deterioration in services to the public, potentially a major initial impact upon a local resident or a group of local residents.</li> <li>• Significant staff and financial resources required to resolve position, impacting on other services.</li> <li>• A major service has its operating capacity significantly impact and is required to introduce major reform in its approach to service delivery.</li> </ul> | 3,4 12  | 2,4 8   | SAMT / Assistant Directors                   |

|    | <b>Risk</b>   | <b>Consequences</b>   | <b>Risk Score<br/>(Likelihood<br/>x Impact)</b> | <b>Risk Score<br/>(Likelihood<br/>x<br/>Impact)Taking<br/>into<br/>Account<br/>Current<br/>Controls</b> | <b>Risk<br/>Owner /<br/>Lead<br/>Officer</b> |
|----|---|---|---|---|--|
| 10 | Governance Arrangements including Performance, Finance and Risk Management need to be maintained in order to continue to operate effectively in a rapidly changing environment. | <ul style="list-style-type: none"> <li>• Adverse Impact upon Service Quality.</li> <li>• Failure to deliver high quality services which address national and local priorities.</li> <li>• Significant adverse reputational impact.</li> </ul> | 3,4 12  | 2,4 8   | Chief Financial Officer / Monitoring Officer |

|                                    |  |                  |      |
|------------------------------------|--|------------------|------|
| Committee:                         | Executive  | Agenda Item No.: | 9    |
| Date:                              | 30 <sup>th</sup> September 2013  | Status           | Open |
| Subject:                           | Medium Term Financial Plan   |                  |      |
| Report by:                         | Director of Corporate Resources,   |                  |      |
| Other Officers Involved            | Assistant Director – Accountancy and IT.<br>Chief Accountant                   |                  |      |
| Director Relevant Portfolio Holder | Director of Corporate Resources<br>Councillor E. Watts, Leader of the Council. |                  |      |

### **RELEVANT CORPORATE AIMS**

STRATEGIC ORGANISATIONAL DEVELOPMENT – to continually improve the efficiency and effectiveness of all Council Services by maximising the use of Council resources.

### **TARGETS**

All.

### **VALUE FOR MONEY**

This report is intended to ensure that the Council has in place an appropriate framework for agreeing and managing the budget. A robust budget process is an essential foundation for securing Value for Money services.

## **1. Purpose of Report**

- 1.1 To continue the process of updating the Council's Medium Term Financial Plan which will cover the period April 2014 to March 2017. While the final proposed MTFP will not be available until early in the next calendar year it is important that the Council moves at the earliest opportunity to address the financial shortfalls which will arise as a consequence of the reduction in the level of Government funding. This report sets out some of the options which it is recommended that the Council pursues in order to address the gap between the level of underlying resources and expenditure that the Council will be facing over the years 2014/15 and beyond which is likely to be in the region of £0.8m p.a. over 2014/15 and 2015/16.

## **2 Budget Process 2014/15.**

- 2.1 At this stage a key issue is that of establishing an appropriate budget timetable in respect of next financial year. The key Committee dates around the development of this years budget are as follows:

| Meeting                                   | Action   |
|---|--|
| November – December 2013                  | Directorate Meetings to review Roll Forward budgets.                     |
| Executive – 9 <sup>th</sup> December 2013 | Agreement to Provisional Outturn 2013/14 and Roll Forward Budget 2014/15 |
| December 2013                             | Final Details of Government Grant Settlement for 2014/15 and 2015/16     |
| Budget Scrutiny Committee 14th January    | Scrutiny of Draft Medium Term Financial Plan                             |
| Council – 16 <sup>th</sup> January 2014   | Approval of Local Council Tax Scheme 2014/15                             |
| Executive – 3rd February 2014             | Agreement of Medium Term Financial Plan 2014-17                          |
| Council 12 <sup>th</sup> February 2014    | Approval of 2014/15 Budget   |
| Council – 3 <sup>rd</sup> March 2014      | Approval of Council Tax.   |

- 2.2 On the basis of the timetable set out above Members will agree a provisional financial outturn in respect of the current financial year in December 2013. Following on from the Executive meeting of the 2<sup>nd</sup> September 2013 Officers are working to a guideline of minimising all expenditure in respect of the current financial year. This approach has been adopted in order to maximise the level of financial balances which the Council will carry forward into 2014/15 and to minimise expenditure to the lowest level possible consistent with maintaining the current level of services to local residents. The 9<sup>th</sup> December report will also outline a roll forward budget in respect of 2014/15 which will provide Members with an up to date estimate of the cost of continuing to provide the current level of services over the period of the next financial year. This together with the final details in respect of Government funding will provide the basis of the 2014/15 budget.
- 2.3 The establishment of a robust budget process is clearly important in view of the level of financial shortfall which faces the Council over the next financial year. While a considerable level of work remains to be undertaken the broad outline of the Council's likely financial position is already clear and the table given below provides a realistic forecast of the anticipated level of savings that will be necessary.

|  | 2013/14<br>£000's | 2014/15<br>£000's | 2015/16<br>£000's |
|--|-------------------|-------------------|-------------------|
| Projected Financial Position (Cumulative shortfall see Appendix 1) | 0                 | 810               | 1,560             |

### 3. Local Council Tax Scheme 2014/15.

- 3.1 With respect to the 2014/15 budget the first formal decision that will need to be made by Council in respect of next years budget will be that in respect of the local Council Tax scheme that will operate next year. Following consultation with local residents in the autumn of 2012 the Council chose to adopt a scheme which enabled it to access Government grant on the basis that the level of Council Tax charged to those of benefits was restricted to a level of 8.5%. To cover the full cost

of the 10% reduction in government grant to the Council would have required a Council Tax charge for this in receipt of Council Tax benefit in the region of 15% (allowing for non collection at a higher level of tax).

- 3.2. In the light of the loss of Government grant if this Council decides to retain the current local Council Tax scheme based on an 8.5% charge then it will need to identify savings in the region of £20k to cover these costs. In the case of the County Council the cost of the withdrawal of Government Grant would be in the region of £110k. The table given in Appendix 1 sets out the main options in respect of a local Council Tax scheme for 2014/15. Given that it is the responsibility of this Council to make the decision in respect of the local Council Tax scheme which will apply Bolsover District Council Members also need to take into account the impact upon the other Council's operating in our area.
- 3.3. The estimated cost of the various options around the operation of the Local Council Tax scheme are in the process of being reviewed on the basis of the experience of operating the scheme during the current financial year. The review will be considering the level of Council Tax benefit take up, the number of residents eligible for Council Tax benefit - which will vary as employment levels fluctuate - and the collection rate achieved during the current financial year.
- 3.4. The revised estimates based upon the actual experience of operating our local Council Tax scheme will be a key factor informing our decision as to the Council Tax scheme we will wish to operate in respect of 2014/15. A key issue has always been the level of collection that can be achieved. On the basis of experience to date officers are of the view that at a level of 8.5% the Tax is collectable. In particular where individuals have not paid then the Council is able to secure an attachment of benefits order which in effect recovers the sums due within a period of a year. If we decided to increase the Council Tax significantly above the 8.5% then collection would become significantly more difficult and one of the issues that Members will need to take into account in any decision is the practicality of collecting Council Tax imposed at a higher rate on those of working age in receipt of benefits. The second issue that Members need to take into account is the impact upon the services provided by both this Council and by other authorities which are dependent upon Council Tax to serve the residents of this district. It is proposed that the Director of Corporate Resources be requested to write to the County Council, the Police and Fire service for their views on this matter. Finally, in respect of the impact on local residents the Council undertook a full consultation process during the autumn of 2012. The options that are currently available are essentially unchanged and therefore it is proposed to continue to place reliance on that consultation. The Council will, however, supplement that information with a more light touch consultation to be undertaken during the autumn of 2013. The further work required in respect of updating the costs of the local Council Tax Scheme will be undertaken as part of the work to develop the roll forward budget in respect of 2014/15.

#### **4. Developing the 2014/15 Budget.**

- 4.1. With regard to addressing next year's budget a process is being put into place concerning the rationalisation of the Council's Senior Management Team which will secure ongoing financial savings for the authority. This is one of the agreed

workstreams to address the reduction in the level of government grant to the Council.

- 4.2. A second workstream consists of the review of all agreed budgets to secure a further reduction in the level of budgeted expenditure. This is to be undertaken at a Directorate level in meetings with a similar format to the Quarterly performance meetings. It is proposed that these take place in late November / early December alongside the development of the roll forward budget. Prior to this work taking place the Accountancy Team in consultation with SAMT will seek to ensure that roll forward budgets are minimised as part of the report to Executive on December 2013. This will take the form of an agreed reduction in the management budgets – the budgets to which officers are working - which will be subject to approval by Members before becoming the new Approved budget.
- 4.3. The third agreed workstream for tackling the budget issues is to reduce the financial burden of surplus property. Officers are of the view that it would be appropriate to formally approach other authorities operating within our area (County Council, Police and Fire) to establish whether opportunities are available for sharing the use of premises. A process of property rationalisation with other public sector providers may well secure both financial savings and opportunities for joint working.
- 4.4. In addition to the specific workstreams outlined above the Chief Executive will continue to utilise his delegated powers to agree secondments between the two partner Councils within the Strategic Alliance in order to secure financial savings while protecting service delivery. There is already a target saving from this work stream which will secure its £100k target in respect of the current financial year and which has an indicative target of a further £50k in respect of 2014/15.
- 4.5. While the Council's financial position has been successfully managed over the initial period of government funding reductions arising from the Comprehensive Spending Review of Autumn 2010 Members have consistently recognised that the position needs to be actively managed. In particular to protect the Council's level of balances it has always been viewed as vital that the Council implements the majority of its savings measures prior to the commencement of the financial year in which the savings concerned are required. This both allows the in year savings to be achieved in full while the savings in the previous financial year are available to assist in funding the costs of restructuring such as any redundancy costs. The timetable and process set out within this report should enable the Council to meet this objective and by the end of the 2013 calendar year to have measures in place which will address the shortfall identified in respect of 2014/15.

## **5. Measures Address the Councils Forecast Financial Shortfall.**

- 5.1. The previous section of this report was concerned with a range of workstreams which are intended to address the position in respect of 2014/15. Given that the identified shortfall will continue into 2015/16 and future financial years it is important that the Council also begins a process of longer term reform to address its financial position. A summary of the measures which are being proposed over the next two financial years is set out within the following table.

|                                     | 2014/15    | 2015/16      |
|-------------------------------------|------------|--------------|
|                                     | £000's     | £000's       |
| <b>Projected Shortfall</b>          | <b>810</b> | <b>1,560</b> |
| <b>2014/15 Savings Measures</b>     |            |              |
| - Senior Management Review          | -150       | -150         |
| - Review of Budgets                 | -250       | -250         |
| - Property Rationalisation          | -50        | -100         |
| - Income Strategy                   | -50        | -50          |
| - Strategic Alliance Secondments    | -50        | -100         |
| - Vacancy Management                | -50        | -50          |
| <b>Residual Shortfall</b>           | <b>210</b> | <b>860</b>   |
| <b>2015/16 Savings Measures</b>     |            |              |
| - Strategic Alliance Transformation |            | -150         |
| - Growth Strategy                   |            | -100         |
| <b>2015/16 Residual Shortfall</b>   |            | <b>610</b>   |

While on the basis of the figures provided within the above table the Council's financial position is a manageable one it does need to be recognised that we are dependent upon securing some significant savings which are only partially within the Council's control. Should any of the suggested measures above fail to secure the associated savings then the Council will be facing significant financial pressures and will either need to bring further measures forward or will be required to use its limited level of General Fund reserves. At this stage the key issue is that of securing Member endorsement for officers to work on the above plans in order to secure the associated savings and other benefits at the earliest opportunity and where necessary to move to explore other options to secure the necessary savings.

- 5.2. A major workstream in respect of securing the 2015/16 savings is what could be termed Strategic Alliance Transformation. By the end of the current financial year it is anticipated that the Strategic Alliance will have generated some £2m of financial savings across the two Councils. This is a significant achievement but in reality it is likely to prove difficult to continue to generate this level of savings on an on going basis. While under current arrangements it would be reasonable to anticipate that savings of some £0.1m arising from secondment arrangements would be secured for the foreseeable future without a change in approach the Strategic Alliance is unlikely to provide a significant savings stream beyond the current financial year. In order to address this issue there have been some initial steps taken towards a transformational agenda including the adoption of the Firmstep software across both Councils to promote Business Transformation, and proposals currently under consideration to share the same financial ledger across both Council's. Officers are of the view that further savings could be secured on the basis that we made a move to one organisation serving both Councils. The one organisation would deliver all services on a joint basis and would feature standard policies and common terms and conditions across both Councils. While the Council's would retain their separate identities and full autonomy over their corporate policies and procedure the provision of services to local residents and to Elected Members would be by one organisation. While it is difficult to quantify the savings that could be achieved without further work Officers are of the view that a minimum of a further £1m across both Councils could be achieved over a 3 year period. Crucially moving to a single delivery organisation would also protect the resilience of service delivery against a

background of ongoing reductions in the level of financial resources available. If Members are in agreement with the broad principles of this approach then further work will be undertaken to consider the options that are available.

- 5.3 A second option that needs to be considered by the Council is the pursuit of a more aggressive growth strategy. While all economic growth will secure benefits for the Council in terms of reducing the cost of Council Tax benefit and reducing the need for intervention to support local residents the only growth which directly benefits the Council is that which promotes a growth in the level of the non domestic (business) rates, or which secures an increase in the number of new homes built or brings back empty properties into use. It does, however, need to be recognised that there will be a delay of at least one financial year before growth results in increased income for the Council. Executive will be aware that the outcome of the recent peer review which was targeted upon growth is now available and Members need to give careful consideration to the role that a successful growth strategy could play in supporting the Council's financial position. With regard to the promotion of growth the Council already has in place a number of measures which should facilitate wider economic development. These include:
- Working in partnership with the Sheffield City Region and the Nottinghamshire Derbyshire LEP, with the business community and other organisations promoting economic growth.
  - The Council has an active Economic Development team which has in particular promoted the ability of local residents to take advantage of the employment opportunities available with the region.
  - The Council has worked with the private sector to develop a number of sites within the District for retail or wider economic purposes. Most recently the Council has sold sites at Bolsover and at Shirebrook for retail development / regeneration, while it has also attracted external funding for a range of regeneration schemes.
  - Through its planning policies the Council has sought to ensure that there is adequate provision of both commercial and housing land.
- 5.4. While the Council will continue to work on the range of initiatives set out above it is anticipated that the work of the Peer review will identify further options for promoting the economic development of the District.
- 5.5. In order to pursue the growth and the transformation agenda additional capacity /resources will be required. Given the financial pressures that local authorities are now operating under these additional resources will be identified as far as possible from existing staffing resources available to the Council.

## **6. Progressing the Strategic Alliance – Joint Financial Management System**

- 6.1 As outlined in section 5.2 (above) one of the major options for securing the necessary level of savings over the next two financial years is the Strategic Alliance. As outlined above it has become increasingly clear that if the Strategic Alliance is to continue to deliver savings and efficiencies that there will need to be significantly closer working between officers across both authorities. One of the key platforms for Joint Working has been a move to shared ICT systems and decisions have already been taken to move to the Uniform Platform for Planning and to use Firmstep as our Customer Relationship Management System. Officers have also undertaken some work in respect of a shared financial ledger and the work that has been undertaken is outlined below. Given that one of the main reasons for



proposing a move to a joint ledger is the opportunities that will be provided should both Council's decide on adopting the Strategic Alliance Transformation Agenda Cabinet is requested to grant delegated powers to the Chief Executive in consultation with the Leader and the Portfolio Member to approve the entering into of contractual arrangements with Civica for a joint financial ledger. The issue of the Strategic Alliance Transformation agenda is to be considered at the Strategic Alliance Joint Board which is meeting on 27th September and the discussion at that meeting will inform the decision as to whether to move to a shared financial ledger.

6.2 There would be a number of advantages of adopting a shared financial management system as it will facilitate the following:

- If the two Councils decide to move completely to joint working / shared services then a shared financial system would be essential, and it would facilitate the establishment of one organisation or 'company'.
- Joint officers / services will use the same financial management systems.
- Subjective coding can be aligned to aid cost comparisons and consistency in coding of expenditure and income.
- Business processes can be aligned reducing workloads for 'backoffice' teams opening up further options for Joint Working.
- Financial monitoring and reporting is aligned.
- Resilience within the Accountancy Teams is improved (support available between teams).

Officers are of the view that a shared financial management system is crucial if we are to move forward to the next stage of the Strategic Alliance which is aiming to secure further savings of £1m across both Councils. Members should, however, note that whilst the adoption of a shared Financial Ledger should open up a range of opportunities to secure financial savings it is not possible at this stage to develop a business case detailing where such savings will arise. If Executive is minded to support the recommendations made within this report then that will need to be on the reasonable assumption that the opportunities that will arise in future financial years will more than outweigh the costs of moving to a joint system.

6.3 Having considered the options open to the two authorities the most appropriate way forward would appear to be to adopt the Civica Financial Management System currently used by Bolsover District Council. While both authorities have financial ledgers which are fit for purpose and neither would change ledgers if they were operating services on a standalone basis the reality is that to progress the Strategic Alliance it is clearly necessary that both authorities move to one financial ledger. The reasons for recommending the adoption of the Civica system are that it has a larger and expanding local authority customer base and it is considered to offer greater functionality in a number of areas.

6.4 Having held outline discussions with Civica the initial costs of purchasing and implementing a shared financial ledger would be up to £120,000 including implementation support from Civica. While Officers would work to minimise the both amount of support necessary and the overall costs of the project it does need to be recognised that North East Derbyshire would be introducing a new system with Bolsover significantly upgrading its current system. Given that the financial ledger is

business critical at both Council's and the extent of other project work being undertaken by the ICT service it may be necessary to rely on Civica more than we currently anticipate. On the basis of the worst case scenario as outlined above both Council's would be required to contribute £60k in one off set up costs. The revenue costs for Bolsover would reduce by some £1,500 against the costs of the current system. While further scoping and due diligence work needs to be undertaken in respect of this project Officers are not at this stage aware of any major issues that have not been taken into account at this stage.

- 6.5 The above quote has been provided on the basis that the two Councils will given a firm commitment to upgrade to a shared services platform by the end of September 2013. On that basis Civica would commit to have completed implementation by the end of March 2013 which is necessary for operational reasons. They have also discounted the costs of the support days by £5,400 which amounts to a 10% discount on the cost of implementation. There is within the costs given above a contingency sum of £22,000 for any unanticipated costs or work. Executive should note that there is a further option to install automated invoicing and scanning at a cost of some £25,000 (including implementation) with ongoing revenue costs of £3,000. On the basis that costs are kept within the agreed sum of £120,000 then Officers will consider the business case for this additional enhancement which should reduce the administrative burdens across the Council significantly. If a Business Case can be proven for this further upgrade – which would be more cost effective to implement during the current upgrade - then Officers will report back to the next meeting of Executive seeking approval for that expenditure
- 6.6 Given the value of this contract it would normally be appropriate to undertake procurement through a competitive tender process. Having considered the options open to the Council the proposal to adopt a shared services financial ledger in effect represents a continuation of an existing service to the partners in the Strategic Alliance and in the timescales available no reasonably satisfactory alternative financial ledger is available. On these grounds the Director of Corporate Resources is of the view that the proposals within this report constitute the extension of an existing contract and therefore fall outside the requirement to undertake a competitive procurement process. In respect of securing Value for Money while the Council has not undertaken a tender process the costs are in line with those of the current systems at both Bolsover and North East Derbyshire and would likewise appear to be in line with those paid by other District Councils. Officers understand that there is an appropriate framework in place by which local authorities are able to access the Civica financial ledger. Consideration will be given as to whether this framework represents the most appropriate contractual arrangements for the two authorities in the Strategic Alliance to pursue. In addition the framework will provide a price benchmark against the terms which are in the process of being negotiated.
- 6.7 With respect to the implementation of the system it would be necessary to go live at the start of a new financial year which in this case would be April 2014. North East Derbyshire would need to keep its existing financial ledger for a period of a further year in order to allow the closure of the 2013/14 accounts by the September of 2014. Civica have confirmed that if the two Councils make a decision to move to a shared service by the end of this month then they have the necessary resources available to ensure a go live date of next April. Likewise, both Councils have established and stable accountancy teams and in terms of the internal resources available are in a good position to deliver this major project. While there is a significant cost and an

early decision is necessary it needs to be recognised that the two Councils are in a good position to deliver the project at this point in time and that an implementation at a later stage may require more external support at an additional cost. Accordingly it is recommended that subject to the agreement of North East Derbyshire District Council that the two Councils move towards the adoption of a shared financial management system and that delegated powers be granted to the Chief Executive in consultation with the Leader / Deputy Leader of the Council to conclude negotiations and to enter into appropriate contractual arrangements with Civica to acquire a Shared Services licence for a joint financial ledger with North East Derbyshire District Council.

- 6.8 Given that this recommendation will facilitate further moves towards shared services and is anticipated to secure future revenue savings it is recommended that the one off costs of this proposal of an estimated £60,000 are funded by the use of Efficiency Grant.

## **7 Issues for Consideration**

- 7.1 These are set out in section 3 to 6 above.

## **8 Legal Aspects**

- 8.1 The Council has a legal duty to secure a balanced budget in each financial year. Given that this report seeks to improve the accuracy of our current forecast in respects of both 2014/15 and 2015/16 and to recommend approaches to address the identified deficit it is part of the process of ensuring that the Council continues to comply with its requirement to balance the budget.

## **9 Risk Management**

- 9.1 The recommendations outlined within the report are intended to promote cost effective Council services and as such will help to mitigate the Strategic Risks of service deterioration / failure, whilst supporting the Council's drive to maintain its underlying level of expenditure within the declining level of resources available to the Council.
- 9.2. A key issue is that of the increasing level of risk associated with the financial position and operation of local authorities. This increased level of risk impacts upon both the income and expenditure of local authorities. These are set out below:
- In the first place the Government is implementing a programme of reducing the level of central government funding for local authorities. The scale of these reductions is such that the Council is unlikely to be in a position to identify new or additional income streams to compensate for the loss of Government Grant. As a result the Council has and will be required for a number of years to reduce its underlying level of expenditure every year. The associated restructurings and reorganisation inevitably bring with them an increased risk of service failure or the weakening of internal control arrangements.
  - With regard to income the Government's localism agenda places increasing emphasis upon local authorities generating their own income from Non Domestic Rates, New Homes Bonus or other locally raised income. While these income streams are capable of generating additional income to offset the

reduction in Government Grant they are all potentially volatile sources of income. To the extent to which local authorities are depended upon these income streams there is clearly a greater risk of income levels falling below agreed budgets.

- 9.3 Given the link between the level of risk and the level of financial balances it has been considered appropriate to review the Council's financial Risk Register and the current Financial Risk Register indicates a level of risk in the region of £2.0m. This is a significant increase over the level of £1.6m identified in the February of 2013 and largely reflects the inclusion of the risks concerning the failure to achieve the required level of financial savings in the next financial year. The level of gross risk at some £2.0m is clearly in excess of the Council's level of General Fund balances which stand at a figure of £1.4m.
- 9.4 While the level of financial risk is clearly now above the level of General Fund balances the only realistic approach is to mitigate the risk by reducing the level of deficit that the Council is facing in respect of the 2014/15 and 2015/16 financial year. The projected level of the 2014/15 deficit would take our level of General Fund balances to one of £0.6m which is significantly below the Council's agreed minimum level of balances at £1m. In reality a level of balances at that level when further savings are required in 2015/16 is an unsustainable position. While the Council is clearly facing a difficult financial situation it should be recognised that this is no worse than the position which has faced the Council over the last three to four financial years and likewise all other local authorities are in a similar position.
- 9.5 With regard to the proposals to move to a shared financial ledger with North East Derbyshire District Council the key element of Risk Mitigation is that the Council will retain access to its existing ledger until the shared system is up and running. A Project Risk Register will be maintained to help ensure the effective implementation of the new system. Executive will, however, recognise that without a shared financial ledger that many of the benefits of a transformation agenda with our Strategic Alliance partner Bolsover District Council may not be secured.

## **10 Policy and Performance**

- 10.1 The recommendations within this report are aimed at ensuring the effective operation of Council services against a background of an ongoing reduction in the level of central government resources.

## **11 Financial Implications**

- 11.1 Financial issues and implications are covered throughout the report.

## **12 Other Options Considered and Rejected**

- 10.1 This report is concerned with providing updated information in respect of the Council's financial position. Appropriate consideration is given to available options within the report.

### **13 Recommendations**

- 13.1 That Executive note the position as set out within the report and refers the report to Audit Committee for its consideration.
- 13.2 That Executive agrees the timetable for preparing the 2014/15 budget as set out in this report and notes that SAMT will agree reductions in the management budget to which cost centre managers are working at the earliest opportunity with such reductions to be reported to Members for formal approval.
- 13.3 That Officers be requested to undertake a process of consultation – as outlined within this report - in respect of the Local Council Tax scheme that will be recommended in respect of 2014/15.
- 13.4 That officers pursue the savings options outlined within this report in order to develop and implement plans to secure savings at the earliest opportunity, with developments to be brought back to Members for approval as appropriate.
- 13.5. That subject to the discussion at the Strategic Alliance Joint Committee to be held on 27th September 2013 and to Members agreement to the transformation agenda with respect to the Strategic Alliance that the Chief Executive be granted delegated powers in consultation with the Leader and / or Deputy Leader of the Council to conclude negotiations and to enter into appropriate contractual arrangements with Civica to acquire a Shared Services joint financial ledger with North East Derbyshire District Council.
- 13.6 That the one off costs of purchasing and implementing a shared financial ledger with North East Derbyshire District Council of up to £60,000 be charged against the Efficiency grant.

### **14 Reasons for Recommendations**

- 14.1 To ensure that the Council is in a position to operate its services effectively within the context of approved budgets.

**APPENDIX 1**

**OPTIONS FOR A LOCAL COUNCIL TAX SCHEME 2014/15**

|   | No Council<br>Tax Charge | Retain Council<br>Tax @ 8.5%<br>(2013/14<br>scheme with<br>Government<br>Grant) | Retain Council<br>Tax @ 8.5%<br>(2014/15<br>scheme without<br>Government<br>Grant) | Increase<br>Council Tax<br>to 15% |
|---|--------------------------|---|--|-----------------------------------|
|   | £000's                   | £000's  | £000's   | £000's                            |
| Loss of<br>Government<br>Grant  | 700                      | 700   | 700  | 700                               |
| Income from<br>removal of<br>exemptions on<br>empty property /<br>holiday homes | (400)                    | (400)   | (400)  | (400)                             |
| Maintain War<br>Pension<br>Disregard  | 10                       | 10  | 10   | 10                                |
| Income from<br>Council Tax<br>from those of<br>working age on<br>benefits       | (0)                      | (220)   | (220)  | (310)                             |
| Government<br>Grant (2013/14<br>only)   | 0                        | (163)   | 0  | 0                                 |
| Derbyshire<br>County Council<br>(69%)   | (214)                    | 50  | (62)   | 0                                 |
| Bolsover District<br>Council (13%)  | (41)                     | 10  | (11)   | 0                                 |
| Police Authority<br>(10%)   | (31)                     | 7   | (9)  | 0                                 |
| Parish Councils<br>(4%)   | (12)                     | 3   | (4)  | 0                                 |
| Derbyshire Fire<br>& Rescue<br>Service (4%)                                     | (12)                     | 3   | (4)  | 0                                 |

|                            |  |                  |      |
|----------------------------|--|------------------|------|
| Committee:                 | Executive  | Agenda Item No.: | 10   |
| Date:                      | 30 September 2013  | Status           | Open |
| Category                   | 3. Part of the Budget and Policy Framework   |                  |      |
| Subject:                   | Anti Social Behaviour Policy   |                  |      |
| Report by:                 | Housing Enforcement Manager  |                  |      |
| Other Officers Involved    | Patch Management Group   |                  |      |
| Director                   | Director of Neighbourhoods   |                  |      |
| Relevant Portfolio Holders | Councillor K. Bowman, Portfolio Holder for Housing Management<br>Councillor B.R. Murray-Carr Portfolio Holder for Community Safety |                  |      |

#### **RELEVANT CORPORATE AIMS**

This policy contributes to the following aims.

**COMMUNITY SAFETY** – Tackling anti social behaviour and its causes. Assisting everyone in feeling safe and secure at home and outdoors,

**CUSTOMER FOCUSED SERVICES** –Continue to improve the quality and consistency of services received by customers

#### **TARGETS**

Increase percentage of successful Anti-Social Behaviour Contracts (ABCs) to 90%.

#### **VALUE FOR MONEY**

Please describe how the proposals deliver value for money for the Council and its customers. This section needs completing

#### **THE REPORT**

The 2003 Anti Social Behaviour Act required all social landlords, including local authorities as landlords, to produce and make available their policies on Anti Social Behaviour (ASB).

This report proposes that the Anti Social Behaviour Policy of 2008 is updated and the revised policy attached, is adopted as the new policy and to meet this requirement.

The revised policy has been reviewed through the Patch Management group and includes a number of changes to build on the success of the previous version of the document. The document also reflects improvements in working relationships with the police.

The main change within the document is an increased focus on the victims of ASB. This reflects a more general national shift in emphasis partially arising from the Pilkington case in Leicester, and the need to learn from the mistakes made in that case.

The other main changes within the documents are:

- a. To update legislation
- b. To clarify how vulnerability is assessed.
- c. To introduce Risk Assessments for vulnerable people as part of the policy, and
- d. Include more detail on information sharing with Derbyshire County Council.

The revised policy will be placed on the internet and be available to customers and other agencies.

### **ISSUES/OPTIONS FOR CONSIDERATION**

The adoption of the revised Anti Social Behaviour Policy.

### **IMPLICATIONS**

Financial: Not directly

Legal: The policy does cover how the Council deal with issues of Anti Social behaviour which may include taking legal action against perpetrators. It is a legal requirement to have a policy and to make this available.

Human Resources: Not directly.

### **RECOMMENDATION**

**That the attached Anti Social Behaviour Policy be adopted.**

### **REASON FOR DECISION TO BE GIVEN IN ACCORDANCE WITH THE CONSTITUTION**

To ensure the Council has an up to date Anti Social Behaviour policy in place.



ATTACHMENTS: **Y – Anti Social Behaviour Policy**  
FILE REFERENCE:  
SOURCE DOCUMENT:

# **BOLSOVER DISTRICT COUNCIL**

## **Anti Social Behaviour Policy**

June 2008  
Revised February 2013



**This Policy addresses the following Corporate Aims :**



COMMUNITY  
SAFETY



CUSTOMER  
FOCUSED SERVICES



ENVIRONMENT



SOCIAL INCLUSION

## **Bolsover District Council Equalities Statement**

Bolsover District Council is committed to equalities as an employer and in all the services provided to all sections of the community.

- The Council believes that no person should be treated unfairly and is committed to eliminate all forms of discrimination in compliance with the Equality Strategy.
- The Council also has due regard to eliminate racial discrimination and to proactively promote equality of opportunity and good relations between persons of different racial groups when performing it's functions.

This document is available in large print and other formats from any of the Council Offices or by contacting the Chief Executives Directorate on 01246 242323. Please bear in mind we will need a few days to arrange this facility.

If you need help to read this document please do not hesitate to contact us.

Our Equality and Diversity Officer can be contacted via [Email](#) or by telephoning 01246 242407.

Minicom: 01246 242450

Fax: 01246 242423

## CONTROL SHEET FOR ANTI SOCIAL BEHAVIOUR POLICY

| Policy Details  | Comments / Confirmation<br>(To be updated as the document progresses) |
|---|---|
| Policy title  | Anti Social Behaviour Policy  |
| Current status – i.e. first draft, version 2 or final version   | Draft   |
| Policy author   | Housing Enforcement Manager   |
| Location of policy – i.e. L-drive, shared drive   | L drive   |
| Member route for approval   | Portfolio holder for Community Safety                                 |
| Cabinet Member (if applicable)  | Councillor Murray Carr  |
| Equality Impact Assessment approval date  |   |
| Partnership involvement (if applicable)   | Community Safety Partnership, Environmental Health Department         |
| Final policy approval route i.e. Executive/ Council /Planning Committee   |   |
| Date policy approved  |   |
| Date policy due for review (maximum three years)  |   |
| Date policy forwarded to Strategy and Performance (to include on Intranet and Internet if applicable to the public) |   |

## CONTENTS

|      |   |    |
|------|---|----|
| 1    | Introduction .....  | 10 |
| 2    | Scope .....   | 10 |
| 2.1  | Multi- agency working .....                                   | 10 |
| 2.2  | The Law .....   | 11 |
| 2.3  | Definitions .....   | 12 |
| 3    | Principles .....  | 13 |
| 4    | Policy Statement.....   | 14 |
| 4.1  | Policy Aims .....   | 14 |
| 4.2  | Obligations of Council Tenants.....                           | 14 |
| 4.3  | Vulnerable Perpetrators.....                                  | 15 |
| 4.4  | Juvenile Perpetrators.....                                    | 15 |
| 4.5  | Receiving Anti Social Behaviour Complaints .....              | 15 |
| 4.6  | Reporting Progress.....                                       | 16 |
| 4.7  | Support Package .....   | 16 |
| 4.8  | ‘Vulnerable Victims and Witnesses’ .....                      | 16 |
| 4.9  | Support to witnesses and victims. ....                        | 16 |
| 4.10 | Orders Group Meeting .....                                    | 17 |
| 4.11 | Publicity .....   | 17 |
| 4.12 | Recording Equipment .....                                     | 17 |
| 4.13 | Racial Harassment and Hate Crime .....                        | 18 |
| 4.14 | Mediation .....   | 19 |
| 4.15 | Domestic Violence .....                                       | 19 |
| 4.16 | Parenting .....   | 20 |
| 4.17 | Working in Partnership .....                                  | 20 |
| 4.18 | Confidentiality .....   | 20 |
| 4.19 | Sharing of information with other agencies.....               | 20 |
| 4.20 | Sharing information with tenants and the wider community..... | 21 |
| 4.21 | Closure of Cases .....  | 21 |
| 4.22 | Appeals.....  | 21 |
| 4.23 | Repeated Complaints .....                                     | 22 |
| 4.24 | Malicious Complaints.....                                     | 22 |
| 4.25 | Vexatious Complaints .....                                    | 22 |
| 4.26 | Staff Training and Development .....                          | 22 |
| 5    | Responsibility for implementing the Policy.....               | 22 |
| 6    | More Information.....   | 23 |

## **Introduction**

The Anti Social Behaviour Act 2003 requires Social Landlords to publish a statement of policies and procedures with regard to anti social behaviour for all residents throughout the district. This document meets this legal requirement and is designed to give a clear statement of our approach to Anti Social Behaviour (ASB) including our commitment to eradicate anti-social behaviour, support witnesses and use available legal remedies

This Policy has been developed in line with the Derbyshire wide ASB Protocol which sets out the principles and broad processes of multi- agency working to tackle ASB.

## **Scope**

The purpose of this policy is to ensure Bolsover has fair, transparent and consistent standards in relation to addressing Anti Social Behaviour that occurs within the District. It aims to be comprehensive, clear and accessible to all, so that it is clear how we will deal with all complaints of ASB. It also sets out the standard of behaviour expected of tenants, their households and any visitors to their home.

The Policy also ensures that the victim is at the heart of the approach in tackling ASB

## **Multi- agency working**

The Council is already familiar with multi-agency working to take enforcement action against perpetrators of Anti Social Behaviour. Agencies with responsibilities for tackling ASB and agencies responsible for supporting victims and witnesses of ASB, need to work together to identify and then reduce the risk of harm for all victims and witnesses of ASB but particularly the most vulnerable.

To achieve this Bolsover District Council is involved in the ASB Victims First Project. The purpose of this project is to build on our strong partnership working to:-

- Ensure the victim is at the heart of our approach to tackling ASB
- Provide a consistent multi agency approach to the identification of vulnerable and repeat ASB victims
- Improve the service for ASB victims, especially the most vulnerable
- Improve ASB case management for victims and offenders through ICT

The Council believes that effective solutions to Anti Social Behaviour are not the responsibility of a single agency or organisation. The Council is committed to work with partners to address anti-social behaviour. These partners include but not limited to;

- The Community Safety Partnership and its statutory partners
- Town and Parish Councils
- Multi Agency Teams
- Residents and tenants
- The Police
- Social Services
- Schools
- Community Groups
- Local businesses
- Victims and witnesses
- Youth Offending Teams
- Leisure Services
- Parenting Practitioner
- County Council
- Registered Social Landlords
- Private Landlords

## **The Law**

In addition to the Housing Acts and Anti Social Behaviour Act 2003, a number of legislative powers have been introduced that have impacted on the way local authorities should deal with anti-social behaviour. This document is designed to be compatible with those legal requirements affecting the Council, including but not limited to:

- Children Act 1989
- Environmental Protection Act 1990
- Noise Act 1996
- Regulation of Investigatory Powers Act 2000
- Homelessness Act 2002
- Local Government Act 2000
- Data Protection Act 1998
- Crime and Disorder Act 1998
- Human Rights Act 1998
- Equality Act 2010
- Clean Neighbourhoods and Environment Act 2005
- Violent Crime Act 2006
- The BERR Statutory Regulators' Compliance Code
- Criminal Justice and Immigration Act 2008
- Crime and Security Act 2010

## Definitions

A legal definition of behaving in an anti-social manner is found in Section 1(1) of the Crime and Disorder Act 1998. It defines ASB as:

**'acting in an anti-social manner as a manner that caused or was likely to cause harassment, alarm or distress to one or more persons not of the same household as the complainant'.**

For the purpose of our duties under the 1996 Housing Act (s.218A), ASB is any conduct which:

*Behaviour which is capable of causing nuisance or annoyance to any person and which directly or indirectly relates to or affects the housing management functions of a relevant landlord.*

*Behaviour which is capable of causing nuisance or annoyance to any of the following:*

- 1. A person residing in housing accommodation owned or managed by the relevant landlord.*
- 2. A person visiting the housing accommodation or otherwise engaged in lawful activity in or in the locality of the housing accommodation.*
- 3. A person employed by the relevant landlord wholly or partly in connection with its housing management functions.*

In these definitions:

A 'relevant landlord' could be a local authority, registered social landlord, or housing action trust.

The housing management function of the landlord covers any activity that the landlord would undertake in the day to day running and strategic management of their properties. This could include:

- Maintenance and repairs
- Rent collection
- Estate management

Matters that might 'indirectly' affect the housing management function include environmental clearance and refuse collection and other services that enable the efficient operation of the housing service.

It is also important to note that the anti-social behaviour could be either:

- by a tenant of a relevant landlord, affecting other tenants, owners, or others lawfully using a property or facilities in the local area
- by an owner of a property, or tenant of another landlord, in the local



area, affecting tenants of a relevant landlord

Anti-social behaviour may or may not constitute criminal activity. The key factor in deciding whether particular behaviour is anti-social or not, should be the impact of that behaviour on others.

Common forms of anti-social behaviour and neighbour nuisance include, but is not limited to:

- Noise nuisance
- Intimidation and harassment
- Aggressive and threatening language and behaviour
- Actual violence
- Hate behaviour that targets members of identified groups because of their perceived differences
- Using housing accommodation to sell drugs, or for other unlawful purposes
- Damage or threats of damage to someone else's property
- Interfering with the right of someone else to live in their home

## **Principles**

Bolsover District Council is committed to tackling Anti Social Behaviour. Anti Social Behaviour has been given a high priority by the Council which is reflected in both the vision and the Corporate Aims of the Council, the vision states:

***“To enhance and improve the wealth profile, well-being and quality of life for the communities of Bolsover district”.***

The Community Safety aim states:

*“Ensuring that communities are safe and secure”.*

The Policy reflects that the Council is working with its partners to deliver the Corporate Aims which support this vision

Bolsover District Council believes that individuals have the right to live the way they want to as long as it doesn't affect the quality of life of other people around them. This means being tolerant and accepting, and respecting the needs and choices of other people.

To deliver this the Council will:

- Encourage and help individuals to solve their differences wherever possible. This is often the easiest way to solving a problem, as often people do not realise they are causing a nuisance. We will get involved and work with people and other agencies to tackle anti-social

behaviour quickly and efficiently.

- Deal firmly but fairly with anti-social behaviour, to discourage such behaviour and to encourage and support others to come forward as witnesses.
- Where possible try to ensure that troublesome families or individuals receive support to help them to modify their behaviour and then to act against those families or individuals who continue to cause a nuisance.
- Commit to making sure our neighbourhoods are peaceful, safe and secure places to live. Recognising that anti-social behaviour can have a severe effect and accept our responsibility to help tackle any problems in a timely manner.
- Take appropriate and prompt actions within our powers when dealing with any disruptive tenants and other people causing a nuisance or harassment in our neighbourhoods and homes.

## **Policy Statement**

### Policy Aims

The Council will:

- Allow residents to have quiet enjoyment of their home and communities
- Take all reasonable steps to ensure that all our tenants fully comply with their obligations under the terms and conditions of their tenancy
- Respect confidentiality
- Respond to requests, normally within 10 working days, in an effective, sensitive and consistent way
- Investigate thoroughly and take timely, effective action if required
- Encourage customers to help themselves where this is appropriate
- Maintain regular contact with complainants and work with other agencies to provide support packages if necessary
- Not tolerate unlawful discrimination and harassment
- Deal with all cases of harassment in a sensitive and professional manner always taking a victim-centred approach.
- Create the environment where people feel able to report incidents which are racially motivated
- Ensure staff are trained to deal with anti-social behaviour
- Work effectively with partners in dealing with and preventing anti-social behaviour.

## **Obligations of Council Tenants**

When tenants sign their tenancy agreement, they agree to the conditions contained within the agreement. The standards of behaviour which are expected, not only from the tenant but any other people who occupy or visit the property, are detailed in the agreement.

Where appropriate, the action taken could result in tenants losing their security of tenure, their home, or being subject to an injunction which might

lead to their arrest or even imprisonment. However, in many cases such action may not be appropriate and other measures will be considered.

The major conditions relating to anti-social behaviour contained within the tenancy agreement upon which tenants are managed, are:

- Nuisance
- Nuisance by family and visitors
- Harassment
- Damage to property
- Theft and illegal use of premises.

### **Vulnerable Perpetrators**

Issues of vulnerability, for example disability, mental health problems or drug and alcohol abuse, will always be considered. In such cases the relevant provisions of the Equality Act 2010 and other relevant legislation will be applied, seeking the intervention and support of partner agencies as appropriate.

For the ASB Policy, the definition of vulnerable is:-

“a victim of ASB is vulnerable if the conduct in question causes an adverse impact on their quality of life. Adverse impact includes the risk of harm; deterioration of their health, mental and or emotional wellbeing; or an inability to carry out normal day-to-day routine through fear and intimidation”.

### **Juvenile Perpetrators**

The Council will always ensure that actions taken against juvenile perpetrators are compliant with our responsibilities under the Children Act and other legislation. It will seek to provide support and intervention in liaison through Derbyshire County Council Children’s Services and other relevant youth services and the District’s Senior Parenting Practitioner.

### **Receiving Anti Social Behaviour Complaints**

For the purposes of this policy a complaint is a request for service made to the Council to deal with the actions or situation of tenants and residents of Bolsover District Council, members of their households and visitors to tenant’s homes.

Complaints will be accepted from:

- Neighbours
- Families or friends of neighbour

- Local Councillors
- Tenant representatives
- Other staff from the authority.
- Members of Parliament
- Advice agencies such as the Citizens Advice Bureau
- Solicitors
- Other partner agencies working in the District.

Anti Social Behaviour complaints may be made by letter, in person, by telephone or by email. There is no requirement for a complaint to be put into writing.

### **Reporting Progress**

The Council will agree with the complainant the stage at which they wish to be kept informed. This could be on a weekly or monthly basis. Even if there is nothing to tell the complainant, contact will still be made with them to give them an update until the case is closed. This contact may be verbal or written, depending upon the case or needs of the complainant.

The complainant will also receive the name and contact details for the case officer who is dealing with the ASB complaint.

### **Support Package**

The Council will offer and undertake referrals to other agencies who can deal with specialist issues such as domestic violence, victim support and home security.

Support will be provided at every significant stage. This support could be when legal papers are served on the perpetrator, giving advice and assistance if the local press are involved, and escorting the witness to court so they feel as safe as possible throughout the process.

The support package will be tailored to meet the needs of the case and the individual.

### **‘Vulnerable Victims and Witnesses’.**

The Council will undertake a victims and witness assessment to ensure that victims and witnesses are fully supported in line with ASB Victims First Multi Agency Guidance. To do this we will use a risk assessment matrix tool (RAM) which will enable agencies to identify the most vulnerable, or those suffering the most harm as a result of ASB.

The RAM is designed to be used as a guide to indicate vulnerability, or risk of harm and should be considered alongside Officer’s professional judgement. The RAM does not remove the obligation for the agency receiving the report

of ASB to take appropriate action, in accordance with their existing ASB policy and procedures.

### **Support to witnesses and victims**

The level of fear and intimidation that victims and witnesses are living with cannot be underestimated. To work effectively trust and confidence must be established. This support is needed to ensure successful prosecutions.

Victims will be advised of the self referral process of support available from Victim Support Derbyshire.

The safety of victims and witnesses will always come first. The Council will endeavour to ensure that no witness is left exposed and has been protected through any enforcement action being taken.

The RAM gives an indication of the level of risk of harm or the victim's susceptibility to harm. The package of support will vary from case to case, depending on the level of risk and the individual's personal circumstances. All elements of a support plan should be communicated to and agreed with the victim at all stages of the process, as this will provide both protection and reassurance. Likewise the victim should be regularly updated about any action taken against the perpetrators.

After investigating a case, the ASB Team may decide that legal action is necessary. All cases where legal action is decided will be referred to an "Orders Group Meeting".

### **Orders Group Meeting**

Upon instruction from the ASB Team, the meeting is called to discuss the case, which has been designated in need of legal action. This will include, but is not limited to all Anti Social Behaviour Order applications and ASB Injunction applications.

Any agency involved with the proposed recipient of legal action will be invited to attend the meeting to contribute their views. A consensus will be taken at the meeting in regard to progressing legal action and the quality and strength of evidence presented. Records of the meeting will be kept and stored accordingly. All publicity relating to legal action regarding ASB will be agreed by the Orders Group.

### **Publicity**

It is important to ensure that any publicity relating to Anti Social Behaviour is necessary, appropriate, proportionate and contemporaneous. A decision regarding the publicising of Anti Social Behaviour Orders and Injunctions will

be made at the Orders Group meeting. The group will agree the type, distribution and timescales of the publicity.

All publicity will be approved by the Council's Communications Officer.

### **Recording Equipment**

The Council recognises that it may be necessary to use recording equipment to gather evidence of Anti Social Behaviour. Wherever possible all requests for cameras and other recording equipment to gather evidence for ASB should be referred to the ASB team, who will make the decision on the necessity and priority of the deployment of the equipment. However, in relation to the investigation of alleged noise nuisance under the Environmental Protection Act 1990 the Council's Environmental Health Department may use noise monitoring equipment without the Anti Social Behaviour Team's knowledge.

Anyone utilising covert or overt recording equipment will comply fully with the Regulation of Investigatory Powers Act (RIPA) and the Data Protection Act 1998.

### **Racial Harassment and Hate Crime**

Racial harassment and Hate Crime includes not only physical attacks on persons and damage to property, but also verbal abuse and any other form of behaviour which deprives people of the peaceful enjoyment of their homes and lives.

A hate crime is any criminal offence that is motivated by hostility or prejudice based upon the victims:

- race, colour, ethnic origin, nationality or national origins
- religion or belief
- gender or gender identity
- sexual orientation
- disability
- age

Hate crime can take many forms including:

- physical attacks – such as physical assault, damage to property, offensive graffiti, neighbour disputes and arson
- threat of attack – including offensive letters, abusive or obscene telephone calls, groups hanging around to intimidate and unfounded, malicious complaints
- verbal abuse or insults - offensive leaflets and posters, abusive gestures, dumping of rubbish outside homes or through letterboxes, and bullying at school or in the workplace.

The Council's definition of a hate crime is:

- Any incident, which constitutes a criminal offence, which is perceived by the victim or any other person as being motivated by prejudice or hate.

Bolsover District Council will not tolerate racial harassment or hate crime in any form.

Bolsover District Council aims to abide by the Good Practice Standards for social landlords on tackling racial harassment as published by the ODPM in 'Tackling Racial Harassment: Code of Practice for Social Landlords (2001)'.

This includes:

- Preventing racial harassment
- Recognising incidents of racial harassment
- Responding to incidents of racial harassment quickly and effectively
- Acting appropriately to support victims and witnesses
- Having clear procedural commitments to respond to incidents of racial harassment
- Developing a clear message is sent to perpetrators that racial harassment will not be tolerated in any form
- Reporting and monitoring all racist and hate crime incidents.

### **Mediation**

Mediation, as a way of resolving conflict can be very effective. The Council will consider and offer mediation to appropriate and suitable cases.

This will usually be undertaken in the early stages of a case involving low level nuisance or ASB. However, it may also be appropriate in circumstances where more serious nuisance is alleged over longer periods.

### **Domestic Violence**

Domestic violence will not be tolerated and the Council recognises that it is an issue not just restricted to partner or former partner abuse, but also occurs in other intimate relationships. Working with the Police, Domestic Violence Outreach Worker and other agencies to use existing legal remedies, including where appropriate, the Housing Act provisions to evict perpetrators of domestic violence the Council will :

- Ensure the victim is supported
- Refer to the Domestic Violence Outreach Worker
- Provide safe housing if necessary
- Re-house victims if appropriate
- Work together with other specialist agencies and victims to secure a positive outcome

- Work with the Police Domestic Violence Unit if specific enforcement action is to be undertaken.

## **Parenting**

The Council will seek to provide education for parents to empower them to deal with the behaviour of their children as this is accepted as a successful method of dealing with problems relating to low level ASB.

The Council will also seek to support parents where it has taken action against children committing ASB.

## **Working in Partnership**

Bolsover District Council does not work in isolation. The Council is part of the wider community and will share the problems and challenges of that wider community. Anti-social behaviour is a complex subject and it is unlikely that the causes or solutions to it will lie solely within one organisation.

The Council will work together with residents and local agencies such as the Police, Community Safety Partnership, Social Care, Neighbourhood Wardens, Youth Offending Teams, Education Services, Health Services, Drug and Alcohol Services, other landlords and Probation Services.

The Anti Social Behaviour Team will arrange multi agency case conferences for complex cases. This will ensure that all the relevant agencies have an input into resolving the case.

## **Confidentiality**

Any information provided to the Council will be treated in confidence in line with the Data Protection Act 1998. It will not be passed to the potential perpetrator, without the permission of the person who provided the information.

The Council will accept information anonymously and will investigate this information as far as is possible. Anonymous information can be difficult to substantiate and investigate. However, it can be used to build a picture of particular issues of ASB or support other evidence.

## **Sharing of information with other agencies**

The Council is under a duty to act in order to reduce crime and disorder and will share information where it is necessary in order to achieve this objective. The guidance from the Information Commissioner makes it clear that the Council does have the necessary powers to share information in order to tackle Crime and Disorder.

Information may be shared with other signatories to the Derbyshire Partnership Forum Information Sharing Protocol if this is authorised under the



Crime and Disorder Act.

The Information Sharing Agreement for Anti Social Behaviour in Derbyshire forms part of the Derbyshire Partnership Forum (DPF) Information Sharing Protocol. The purpose of this Information Sharing Agreement is to co-ordinate and facilitate the sharing of information between partner organisations, who have a duty, or specific objective, of working with the perpetrators and victims of anti-social behaviour, with the aim of reducing the harm caused by anti-social behaviour.

### **Sharing information with tenants and the wider community**

Sharing information can help the Council and agencies with whom they work in reassuring tenants and other residents that action is being taken. This may take the form of local media coverage or targeted leafleting.

This action may also act as a deterrent to others whose nuisance behaviour imposes on the quality of life of others. It can also provide tenants and residents with information they need to allow them to report any breaches of Anti Social Behaviour Orders or injunctive measures which may be served upon perpetrators.

Personal data will not be disclosed to tenants or the wider community unless agreed at the Orders Group.

### **Closure of Cases**

The Council will ensure that the ASB complainant is kept fully informed of action taken and when satisfied that no more can be done for a complainant then they will be advised, in writing, when the case is closed.

A case may be closed for a number of reasons:

- a. Action that has been taken has resolved the matter
- b. If, after a reasonable amount of time, there has been no further problems.
- c. There is no evidence of nuisance being caused.

The decision to close a case lies with the case officer. On occasion this may be contrary to the opinion of the complainant.

In order to try to continually improve the services we provide we issue all ASB complainants with a customer satisfaction form in order that we seek their views on the improvements we can make to improve the service we deliver.

### **Appeals**

If an ASB complainant, or their representative, is unhappy that a case has been closed they have the right to appeal against this decision. The appeal should be received in writing. The appeal will be considered by an officer who is senior to the officer who decided to close the case.

The outcome of the appeal will be confirmed in writing within 10 working days. If a complainant is dissatisfied with the way his/her complaint has been handled by the Council then he/she would have the option of making a complaint under the Corporate Complaints Procedure.

There can be no further appeal to reopen a case unless substantial new evidence or information comes to light.

### **Repeated Complaints**

The Council will not consider a simple re-instatement of a previous ASB complaint as a new complaint. Where a matter has been closed or a decision has been made that no action can be taken then the complainant will be required to provide the Council with significant additional new evidence in order to re-open the matter or review the decision. Such evidence will include a number of further incidents or a serious incident.

The decision to re-open the matter will normally be made within 14 days of receiving a further complaint.

### **Malicious Complaints**

If the Council discovers that a complaint has been made maliciously they will, wherever possible, seek to take legal action against the complainant to ensure that such behaviour is not repeated. In addition future complaints will not be considered unless they are addressed to Customer Services.

### **Vexatious Complaints**

The ASB Team will follow the corporate procedure in relation to vexatious complaints as detailed in the Corporate Complaints Procedure.

### **Staff Training and Development**

The council are committed to training our staff and will ensure that all staff dealing with anti-social behaviour are aware of the contents of this policy and procedures.

Refresher training and updates for changes in legislation or good practice changes will also be provided.

### **Responsibility for implementing the Policy**

The responsibility for the deployment of this policy rests with

Initial acceptance of complaint – Contact Centre

Initial investigation – Community Services

Initial investigation of nuisance at a private sector property – Environmental Health (e.g. Noise nuisance)

Further investigation – Housing Department and ASB Team or Environmental Health

Initiating legal action – ASB Team or Environmental Health

Undertaking enforcement action – ASB Team and Legal Department or Environmental Health and Legal Department

Closure of cases and appeals – Community Services, Housing, ASB Team or Environmental Health.

### **More Information**

Other Policies relevant to tackling ASB may be viewed on the Council's Website, including;

- Fly Tipping Policy
- Nuisance Vehicles Policy
- Graffiti Policy

**Policy: Anti Social Behaviour Policy, Lead Officer: Deborah Whallett**

|    | Action   | Date completed | Comments  |
|----|--|----------------|---|
| 1  | Inform DoS/SMT rep of policy, see appendix B   |                |   |
| 2  | PMWGPMG agree draft policy   |                |   |
| 3  | LO completes EIA   | 21/01/08       |   |
| 4  | LO submits draft policy and EIA to ESDG  | 30/01/08       | Slight amendments made to policy incorporating comments of ESDG |
| 5  | PMWGPMG consider ESDG comments and agree draft policy                                  |                |   |
| 6  | LO submits draft policy to DoS /SMT rep for discussion at SMT.                         |                |   |
| 7  | PMWGPMG consider SMT comments and agree draft policy                                   |                |   |
| 8  | LO submits draft policy to SPO for discussion at PPMG.                                 |                |   |
| 9  | PMWGPMG consider PPMG comments and agree draft policy                                  |                |   |
| 10 | LO submits draft policy to Scrutiny committee.   |                |   |
| 11 | PMWGPMG consider Scrutiny Committee comments / recommendations and agree draft policy. |                |   |
| 12 | LO submits draft policy to Executive Committee.  |                |   |
| 13 | PMWG agree departmental procedures. Implement Policy                                   |                |   |
| 14 | Implement Policy   |                |   |
| 14 | PMG agree departmental procedures.   |                |   |



The Arc  
High Street  
Clowne  
Derbyshire  
S43 4JY

**EXECUTIVE**

**30 SEPTEMBER 2013**

**The Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012**

**Further Notice of Intention to Conduct Business in Private**

Notice is hereby given in accordance with Regulation 5 of the Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012 that the following item will be considered in private:

**Central Heating Tender**

The Council has not received any representations that the above item should be considered in public.

W. Lumley BSc, FCCA,  
Chief Executive Officer  
20 September 2013

## EXECUTIVE

Minutes of a meeting of the Executive of Bolsover District Council held in Chamber Suites 1 & 2, The Arc, High Street, Clowne on Monday 2 September 2013.

### **PRESENT:-**

Members:-

Councillor A.F. Tomlinson – In the Chair

Councillors R. Bowler, D. Kelly, B.R. Murray-Carr, K. Reid and A.M. Syrett

Officers:-

W. Lumley (Chief Executive Officer), S. Tomlinson (Director of Neighbourhoods), K. Hopkinson (Director of Development), B. Mason (Director of Corporate Resources), A. Wylie (Principal Solicitor), M. Kane (Governance Manager) and L. Hickin (Assistant Director – Leisure) (For minute number 0365)

### **0359. APOLOGIES FOR ABSENCE**

Apologies for absence were received on behalf of Councillor E. Watts.

### **0360. URGENT ITEMS OF BUSINESS**

There were no items of urgent business to be considered at the meeting.

### **0361. DECLARATIONS OF INTEREST**

There were no interests declared at the meeting.

### **0362. MINUTES OF EXECUTIVE HELD 7 AUGUST 2013**

Moved by Councillor D. Kelly and seconded by Councillor A.M. Syrett

**RESOLVED** that the minutes of a meeting of the Executive held on 7 August 2013 be approved as a correct record and signed by the Chair.

### **0363. RECOMMENDED ITEMS FROM OTHER STANDING COMMITTEES**

There were no recommended items from other standing committees.

## EXECUTIVE

### 0364. JOINT BOARD DECISIONS

Moved by Councillor D. Kelly and seconded by Councillor B.R. Murray-Carr  
**RESOLVED** that the decisions of the Bolsover, Chesterfield and North East Derbyshire Joint Board arising from their meeting of 15 July 2013 be noted.

**REASON FOR DECISION:** To advise Executive of the decisions taken by the Joint Board.  
(Chief Executive)

**OTHER OPTIONS CONSIDERED:** None.

### 0365. CRITICAL INCIDENT PLAN FOR HERITAGE HIGH SCHOOL

Executive considered a report which sought consideration of a request from Heritage High School to continue using The Arc as a reserve location within their critical incident plan.

Executive was advised that prior to the Council's move to The Arc, Heritage High School had an agreement in place with Chesterfield College to use the building as a reserve location during a serious incident should the school need evacuating for a prolonged period.

This arrangement was to use The Arc as a reserve location where pupils could be held in a safe location until transport could be arranged to collect the pupils. All schools within Derbyshire had a critical incident plan, of which a reserve location was a crucial part

The Council had been approached by Heritage High School to request continuation of this arrangement.

Moved by Councillor B.R. Murray-Carr and seconded by Councillor A. Syrett  
**RESOLVED** that Heritage High School's request to use The Arc as their reserve location within their critical incident plan, within the boundaries of the protocol, be approved.

**REASON FOR DECISION:** To provide a temporary safe and secure location for pupils of Heritage High School in the event of an emergency.  
(Director of Health and Well Being)

**OTHER OPTIONS CONSIDERED:** None.

## EXECUTIVE

### 0366. MEDIUM TERM FINANCIAL PLAN

Executive considered a report of the Director of Corporate Resources which set out an update in respect of the Council's Medium Term Financial Plan. The report served to commence the budget setting process in respect of 2014/15 although it was noted that further work would be necessary to arrive at a final position.

The Council had again secured a balanced budget in respect of 2012/13 whilst delivering a small improvement in the level of general balances. However, it would need to continue to operate against a background of significant reductions in central Government funding. The report set out an indication of the issues that the Council was facing including the financial shortfall over the next few years.

Executive was advised of a number of Government consultations around the New Homes Bonus, Revenue Support Grant and National Non Domestic Rate (NNDR) proposals for the use of Capital Receipts from asset sales to invest in reforming services. The implications of these consultations were set out in the report.

It was reported that since the localisation of NNDR, further work indicated that an additional £100,000 of funding could be assumed in respect of this year with a similar increase being factored into future financial years. A further uplift of £50,000 in respect of 2014/15 and 2015/16 was also envisaged. It was noted that a number of appeals against current rating valuations had been received which could adversely impact on the Council's financial position. To assist the Council in analysing the valuation list, improve forecasting and identify opportunities to increase NNDR revenue, a service and software offered by IRRV had been identified. Acquisition of this software would help the Council to access improved information on which to base the assumptions concerning the level of business rate income. It was recommended that purchase of this software be funded from the efficiency grant.

With respect to the current financial year the Council was seeking to find savings of £0.884m. Of this figure some £0.615m of savings opportunities had been agreed with a further £0.269m remaining to be identified. The report set out the progress made in addressing the shortfall. Steps taken were around vacancy management, reducing leisure services subsidy, green bins and garage reorganisation, Strategic Alliance secondments, property rationalisation, income reviews and one off director secondments.

In terms of addressing the shortfall in the Medium Term Financial Plan, it was anticipated that the budget in respect of 2013/14 would be balanced by the end of the financial year with the full savings target secured. However, in respect of both 2014/15 and 2015/16 a projected cumulative shortfall of £1.6m was currently forecast.



## EXECUTIVE

Due to the scale of the financial issues which faced the Council in future financial years there was an agreed strategy of implementing the necessary measures to balance the 2013/14 budget by the end of the 2013 calendar year.

This required a programme of implementing measures over the next few months which included a review of all budgets, completion of a stock condition survey of the Council's non-housing assets and other savings to be brought by the Chief Executive to the Strategic Alliance Joint Committee. These savings when taken together would make a contribution towards addressing the £1.6m shortfall and accordingly it was proposed that they be pursued at this stage with further measures to be considered as appropriate.

Having considered the report, Members asked a range of questions and raised a number of issues. The following points were noted:

- Executive was advised of the reasons why it was considered unlikely that the consultation paper in respect of capitalisation of restructuring costs would provide significant benefits for Bolsover District Council. These factors included the limited resource available nationally and the fact that the Council retained a level of funding which could be used to cover such costs.
- In response to a question around the Efficiency Grant it was stated that the receipt of this grant was conditional upon the Council being able to evidence that it had secured underlying savings in its revenue budget.
- Options for use of Council reserves would be brought back for consideration at a future meeting.
- The Council currently had acceptable levels of reserves but it needed to be recognised that if the reserves fell below £1m there would be a significant impact on the Authority's financial stability.

Moved by Councillor D. Kelly and seconded by B R Murray-Carr

**RESOLVED** that (1) Executive note the position as set out within the report and refer the report to the Audit Committee for its consideration.

(2) Executive note that the Director of Corporate Resources would, following consultation with Strategic Alliance Management Team (SAMT), reduce management budgets to reflect vacancy delays and other employee savings with such reductions to be reported to Executive as part of the budget monitoring process.

## EXECUTIVE

(3) The Chief Executive be given delegated authority to respond to the Government consultation papers in respect of the Local Government Finance Settlement 2014/15 and 2015/16 and New Homes Bonus following consultation with the Leader of the Council.

(4) The Council acquires the IRRV / Inform "Analyse Local" package at a cost of £5,000 plus 10% of the additional income arising from the analysis undertaken of the valuation list within the District, with the fixed element of the costs to be met from Efficiency Grant.

(5) Executive agree to amend the forecast shortfall in respect of both 2014/15 and 2015/16 to reflect the position as set out within the report.

(6) Executive endorse the approaches set out in section 6 of the report as appropriate measures to secure financial savings to address the identified budget shortfall in respect of 2014/15 and 2015/16.

(7) Officers be asked to explore opportunities arising from the growth agenda as part of its approach to addressing the Council's identified financial shortfall.

**REASON FOR DECISION:**

To ensure that the Council is in a position to operate its services effectively within the context of approved budgets.  
(Director of Corporate Resources)

**OTHER OPTIONS CONSIDERED:**

None.

**0367. THE LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985**

Moved by Councillor A. Tomlinson and seconded by Councillor D. Kelly

**RESOLVED** that under Section 100(A)(4) of the Local Government Act 1972 (as amended), 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 the stated Paragraph 3 of Part 1 of Schedule 12A of the Act and it is not in the public interest for that to be revealed.

## EXECUTIVE

### 0368. TENDER FOR FLAT ROOFING REPAIRS AND REPLACEMENTS

Executive considered a report which sought approval to appoint a single contractor to carry out flat roofing repairs and replacements on all Council owned properties in the District.

An open invitation to tender had been advertised through Source Derbyshire which sought all relevant information. Subsequently each contractor was assessed on their ability to deliver the contract effectively.

Over 20 contractors requested copies of the tender pack and four returned submissions. All of the contractors were provided with a detailed specification of the Council's requirements. Bidders were invited to submit a price against a schedule of rates detailing various types of flat roofing repairs and replacements.

The four tender bids were received on Monday 22 July and assessed by the Assistant Property and Estates Manager and the Emergency and Responsive Repairs Manager.

Tenders were assessed on cost and quality. Dobson's scored the most points for the price section. They were assessed joint best on quality.

Moved by Councillor A. Syrett and seconded by Councillor D. Kelly

**RESOLVED** that Dobson's be appointed as a single supplier to provide flat roofing repairs and replacements where required on Council owned properties throughout the District for two years, with the option to extend for a period of up to two further years on a one plus one basis.

**REASON FOR DECISION:**

To develop vibrant town centres and rural communities  
(Director of Development)

**OTHER OPTIONS CONSIDERED:**

The scoring matrix appended to the report set out the other options available.

### 0369. UPGRADING OF BUSINESS PROCESSES

Executive considered a report which sought approval to acquire or develop some key systems in order to secure improvement in services and efficiency gains which would generate cashable savings in future financial years.

## EXECUTIVE

With regard to the Planning Service, Executive was advised that a project involving the Council and its Strategic Alliance partner, North East Derbyshire, had been undertaken involving an independent assessment of the systems and processes within the service. While the work concerned had been largely completed it now needed to be developed into a project plan.

This project plan and implementation would comprise the following:

- A Project Manager shared between the two Authorities for a period of six to nine months. This would ensure that both councils fully utilise the functionality of the Uniform planning system. It was currently envisaged that this role would be undertaken by an existing member of staff.
- An external specialist ICT support will be required. It was envisaged this would be a combination of “bought in” local planning authority expertise and consultancy from the company which provided the current Planning software with regard to technical support and specialist training. This would facilitate the adoption of best practice from other local authorities.
- The migration of a range of IT records into the Uniform system which would enable the planning process to be based upon directly accessible electronic records, including the purchase of the necessary software and hardware.
- A training programme to improve awareness amongst staff concerning the functionality of the system and how to fully utilise the system as the basis of the planning process.
- Arrangements for an ICT Development Officer role to drive ongoing development of ICT and maximise the benefit derived from the Uniform system. This was the joint post shared between the two authorities.
- Provision of additional temporary technician resourcing to support the ICT Development Officer during the project implementation phase.

In order to progress the scheme at the earliest opportunity it was recommended that delegated powers to agree the project plan and to authorise the project to proceed be granted to the Chief Executive following consultation with the Chair of Planning.

In Customer Services, Executive was advised that the Council’s Customer Service Team were reliant for the delivery of services upon the use of a Customer Relationship Management (CRM) system. This system was a key element in the effective management of the Council’s relationship with local residents both when they visited the contact centres and when they phoned the Council.

## EXECUTIVE

In conjunction with North East Derbyshire District Council, officers had been looking for the past few months at the options which were available to replace the existing system. A number of local authorities had been visited but in the majority of cases officers were of the view that the systems that were on offer were not as functional as the system currently operated by the Council.

The outcome of the visits was that only one system had been identified which met the requirements of the two councils. The system that had been identified following discussions with suppliers and visits to other local authorities operating this software was called Firmstep and was currently utilised by approximately 100 other local authorities.

Firmstep had a number of advantages relating to its functionality, business applications and the ability to transfer over scripts. Therefore it was recommended that delegated power be granted to the Chief Executive following consultation with the Leader of the Council to enter into contractual commitments in respect of the Firmstep solution, it having been subject to due diligence and procurement processes.

Executive was then advised that the Council had seen significant increases in the level of demands from rising numbers of residents visiting the contact centres and from increasing demands in respect of telephone enquiries. In the first quarter of 2013/14 there was an increase of 12% in face to face contacts with an 8% increase in payments.

The result of this increase in demand had been that waiting times had increased, contact centres had become very crowded and workload on staff had significantly increased. A number of measures had been put in place to address the position including the appointment of an additional four part time cashiers (two FTEs), training and support for staff and addressing levels of sickness absence. While there had been some indications that work levels may have peaked in the first quarter there was clearly a significant rise in demand from last year and workloads may again increase into winter.

It was therefore proposed that Executive consider the following three recommendations:

- That the contracts for the four temporary cashier posts be extended until 31 March 2014, with funding to be provided by the specific grant provided to local authorities to cover the costs of administration in respect of the changes associated with welfare reform.

## EXECUTIVE

- That the contact centre phone lines open at 9:00 am rather than 8:00 am. Given the relatively low number of calls received at this time the resource would be better utilised at the more busy times of the day. This proposal would be subject to detailed consultation with Central Control.
- Establish an appointment system for benefit enquiries which would help move some of these queries to the less busy periods of the day and would avoid customers having to spend a long period of time waiting for a specialist advisor.

Officers advised that concerns expressed by members in respect of staffing the IT to support the new planning system would be addressed. Members were also advised that contingencies were in place to mitigate against any unlikely service failure of the new system.

Executive was informed that the introduction of the Firmstep system would ultimately result in efficiency savings. Details of the new system would be provided to Members via a presentation at the Saltergate Site on 11 September 2013.

Moved by Councillor A. Tomlinson and seconded by Councillor D. Kelly

**RESOLVED** that (1) Delegated powers be granted to the Chief Executive following consultation with the Chair of Planning Committee to agree the proposed upgrade of the planning system as set out in section 3 of the report at a cost of up to £50,000 with the expenditure to be funded from the Efficiency Grant available to the Council in 2013/14 plus existing approved budgets.

(2) Delegated powers be granted to the Chief Executive following consultation with the Leader or Deputy Leader to agree to purchase the Firmstep software package subject to satisfactory resolution of any outstanding issues with the proposed solution.

(3) The costs of implementing the system in year 1 of £95,000 be charged against the Council's Efficiency Grant.

(4) Executive agree to extend the contracts for the four temporary cashier posts until 31 March 2014 at an overall cost of £30,000, with funding to be provided by the specific grant to local authorities to cover the costs of administration in respect of the changes associated with welfare reform.

(5) The contact centre phone lines open at 9:00 am rather than 8:00 am with effect from 1 November 2013 in order to better align our resources with the requirements of local residents.

## EXECUTIVE

**REASON FOR DECISION:**

To improve the service that the Council offers to local residents while securing the financial efficiencies necessary to operate effectively against a background of ongoing reductions in the level of central government financial support for local authorities.  
(Director of Corporate Resources)

**OTHER OPTIONS CONSIDERED:**

As set out in the report.

The meeting concluded at 1100.