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To: Leader & Members of the Executive

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Friday, 6 September 2019

Dear Councillor

EXECUTIVE

You are hereby summoned to attend a meeting of the Executive of the Bolsover District Council to be held in the Council Chamber, The Arc, Clowne on Monday, 16th September, 2019 at 10:00 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 from page 2 onwards.

Yours faithfully

A handwritten signature in black ink that reads "Sarah Steenberg".

Joint Head of Corporate Governance & Monitoring Officer



We speak your language
Polish **Mówimy Twoim językiem**
Slovak **Rozprávame Vaším jazykom**
Chinese **我们会说你的语言**

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If you require an adjustment to enable you to participate in or access the meeting please contact the Governance Team at least 72 hours before the meeting starts.

EXECUTIVE AGENDA

Monday, 16th September, 2019 at 10:00 hours in the Council Chamber, The Arc, Clowne

Item No.	PART 1 – OPEN ITEMS	Page No.(s)
1.	Apologies For Absence	
2.	Urgent Items of Business 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.	Declarations of Interest 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: a) any business on the agenda b) any urgent additional items to be considered c) any matters arising out of those items and if appropriate, withdraw from the meeting at the relevant time.	
4.	Minutes To consider the minutes of the last meeting held on 22 nd July 2019	4 - 10
5.	Items recommended by Scrutiny Committees None	
6.	Budget and Policy Framework Items	
a.	Reduction in debt charges through use of reserves Recommendation on page 16	11 - 17
7.	Non Key Decisions	
a.	Budget Monitoring Report Quarter 1 - April to June 2019 Recommendation on page 24	18 - 33
b.	Strategic Risk Register and Partnership Arrangements Recommendation on page 37	34 - 46
c.	Payment Card Industry Data Security Standards Compliance Recommendation on page 54	47 - 55

d.	Animal Welfare Policy	56 - 73
	Recommendation on page 58	
e.	Customer Service Standards / Compliments, Comments and Complaints Report 2018/19	74 - 88
	Recommendation on Page 78	
f.	Annual Letter from the Local Government & Social Care Ombudsman 2018/19	89 - 101
	Recommendation on Page 92	
g.	Corporate Plan Targets Performance Update - April to June 2019 (Q1 - 2019/20)	102 - 112
	Recommendation on Page 103	
8.	Key Decisions	
a.	Skip Service For Bolsover District Council Housing Repairs Section	113 - 115
	Recommendation on page 114	
9.	Exclusion of the public	
	To move:-	
	That the public be excluded from the meeting during the discussion of the following items of business to avoid the disclosure to them of exempt information as defined in Part 1 of Schedule 12A to the Local Government Act 1972, (as amended by the Local Government (Access to information) (Variation) Order 2006). [The category of exempt information is stated above each item].	
	<u>PART 2 - EXEMPT ITEMS</u>	
10.	Non Key Decisions	
	Exempt – Paragraphs 1,2,3 and 4	
a.	Joint ICT Structure Review	116 - 135
	Recommendation on page 122	
11.	Key Decisions	
a.	Proposed Addition to Management Capacity	136 - 145
	Exempt – Paragraph 1,2,3 and 4	
	Previously marked “To Follow”. Circulated under separate cover.	

EXECUTIVE

Minutes of a meeting of the Executive of the Bolsover District Council held in the Council Chamber, The Arc, Clowne on Monday 22nd July 2019 at 1000 hours.

PRESENT:-

Members:-

Councillor Steve Fritchley in the Chair

Councillors Duncan McGregor, Clive Moesby, Sandra Peake and Deborah Watson.

Officers:- Dan Swaine (Joint Chief Executive Officer), Lee Hickin (Joint Strategic Director – People), Karen Hanson (Strategic Director – Place), Sarah Sternberg (Joint Head of Corporate Governance and Monitoring Officer), Pam Brown (Partnership, Strategy and Policy Manager) and Donna Cairns (Senior Governance Officer).

0169. APOLOGIES

Apologies for absence had been received from Councillors Mary Dooley and Liz Smyth.

0170. URGENT ITEMS OF BUSINESS

There were no urgent items of business at this meeting.

0171. DECLARATIONS OF INTEREST

Members were requested to declare the existence and nature of any disclosable pecuniary interests and/or other interests, not already on their register of interests, in any item on the agenda and withdraw from the meeting at the appropriate time.

In relation to Agenda Item 8a – Award of Raising Aspirations Contract – Councillor Clive Moesby wished it to be noted that as a member of Derbyshire County Council he had a non-significant other interest in the matter due to funding for the Raising Aspirations being provided by Derbyshire County Council.

0172. MINUTES – 24TH JUNE 2019

Moved by Councillor Duncan McGregor and seconded by Councillor Clive Moesby
RESOLVED that the minutes of a meeting of the Executive held on 24th June 2019 be approved as a true and correct record and be signed by the Chair.

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0173. ITEMS RECOMMENDED BY SCRUTINY COMMITTEES

No items were recommended to this meeting by the Scrutiny Committees.

0174. BUDGET AND POLICY FRAMEWORK ITEMS

There were no policy and budget framework items.

NON KEY DECISIONS

0175. EXECUTIVE OUTSIDE BODIES APPOINTMENTS

Executive considered the report of the Leader which recommended changes to the appointment to the Outside Bodies of exercising Executive functions. Changes to the appointments were detailed in the appendix to the report.

Moved by Councillor Duncan McGregor and seconded by Councillor Sandra Peake

RESOLVED – that Executive appoint the representatives to the Outside Bodies listed in the appendix to the report.

REASON FOR DECISION:

To ensure that the Council was represented on the Outside Bodies. Amendments were made to the positions following appointment of additional Executive Members.

OTHER OPTIONS CONSIDERED:

The option not to appoint representatives to these organisations was rejected as this would have failed to provide the Council with representation on these bodies.

(Joint Head of Corporate Governance and Monitoring Officer)

0176. CHILD PROTECTION POLICY

Executive considered the report of the Portfolio Holder - Housing and Community Safety which sought approval for a revised Child Protection Policy. The policy was designed to meet the Council's responsibility to safeguard and promote the welfare of children and the Council was committed to ensuring that all children and young people were protected and kept safe from harm by implementing a child-centred approach.

Amendments during this review which were identified included

- Changes in the Council's Safeguarding Link Officers,
- Reference to new national guidance 'Working together to safeguard children: A guide to interagency working to safeguard and promote the welfare of children',
- Amending the Derbyshire County Council's contact numbers for Starting Point and inclusion of the new advice line for practitioners,
- Inclusion of the online referral form information,
- Amending the out of date terminology from 'vulnerable adult' to 'adult at risk' and
- Refresh / update of the policy and appendices.

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It was noted that the policy included the requirement for employees and applicants in posts coming into contact with children undertaking any form of regulated activity to undertake an enhanced Disclosure and Barring Service check. It was queried whether an enhanced DBS check could be required of Councillors however, Executive were advised that only specified roles and posts meet the criteria which Councillors do not fall in to. They therefore cannot be required to undertake a DBS check.

Executive have noted that safeguarding training for Councillors had been recently undertaken and assurances were given that any Councillors who had not attended would be encouraged to attend a catch up session as soon as possible.

Moved by Councillor Sandra Peake and seconded by Councillor Duncan McGregor.

RESOLVED – That Executive approve the Child Protection Policy as attached to the report.

REASON FOR DECISION:

The Child Protection Policy needed to be updated in light of changes introduced by Derbyshire County Council and new legislative guidance.

OTHER OPTIONS CONSIDERED:

There were no alternative options other than to review the existing policy. Not having a policy in place would not have been good practice and would have been against Government guidance.

(Joint Strategic Director – People)

0177. AWARD OF 'RAISING ASPIRATIONS' CONTRACT

Executive considered the report of the Portfolio Holder - Partnerships and Transformation which sought approval to appoint Derbyshire Education Business Partnership to continue delivering the Raising Aspirations programme, following the recent tender process.

With continued commitment of funding in 2019/2020 from Derbyshire County Council's localities and place budget, the Partnership, Strategy and Policy Team had worked with Public Health colleagues to design and co-ordinate a tender for a one year contract to commence in September 2019. The tender required work to be delivered in targeted schools across Derbyshire to raise aspirations and address the wider determinants of health. The three schools that were to benefit from the raising aspirations project in the Bolsover District were Stubbing Wood Special School, Frederick Gent School and Heritage High School.

Moved by Councillor Duncan McGregor and seconded by Councillor Sandra Peake

RESOLVED – That Executive note the contents of this report and approve the appointment of Derbyshire Education Business Partnership to deliver the Raising Aspirations programme from September 2019 to August 2020.

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REASON FOR DECISION:

Derbyshire Education Business Partnership through their tender submission demonstrated a solid understanding of the specification requirements and an exceptional track record through their existing Raising Aspirations delivery and other initiatives.

OTHER OPTIONS CONSIDERED:

The option to do nothing was rejected as funding had already been allocated to the programme. The option to extend the current contract was not possible under procurement rules. A further procurement process was not necessary as the tender received was considered suitable.

(Partnership, Strategy and Policy Manager)

0178. EXCLUSION OF THE PUBLIC

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 Part 1 of Schedule 12A of the Act and it is not in the public interest for that to be revealed. [The category of exempt information is stated after each Minute].

PRIVATE SESSION – NON KEY DECISIONS

0179. PROPOSED RESTRUCTURE OF THE COMMUNICATIONS, MARKETING AND DESIGN TEAM

Executive considered the report of the Portfolio Holder - Corporate Governance which recommended a revised restructure of the Communications, Marketing and Design team in order to increase capacity and resilience to meet current and future demands when promoting the Authority, District and Communities.

The report also recommended approval for an additional £60,000 to procure video marketing expertise to provide advice, assistance and a filming and editing service to help drive forward BolsoverTV documentaries that highlight the social and economic impact of projects within the District and promotional videos over an initial period of two years.

A further proposal within the report was for an additional £1,000 to be added to the forthcoming Multifunctional Device contract to facilitate a dedicated device in reprographics.

Moved by Councillor Duncan McGregor and seconded by Councillor Clive Moesby

RESOLVED – That Executive:

- (i) support the staffing changes in the Communications, Marketing and Design Team.
- (ii) request that the Joint Chief Executive Officer exercise his delegated powers, in consultation with the Leader, to implement the resulting structure, subject to no

EXECUTIVE

substantial changes or issues raised through formal consultation with staff and trade unions, and that the cost of the structure following job evaluation is within the slightly increased budget identified in this report.

- (iii) invest £60,000 from the Transformation Reserve to fund the work outlined in paragraph 1.9 of the report in respect of Bolsover TV and Destination Marketing.
- (iv) approve an additional £1,000 to be added to the forthcoming MFD contract specification.

REASON FOR DECISION:

To ensure the team's structure would provide sufficient cover/depth to meet the present and future demands in a timely and efficient manner.

OTHER OPTIONS CONSIDERED:

The option to continue with the existing structure providing a joint service was rejected due to the differing strategic directions and future demands identified.

(Joint Strategic Director – People)
(Paragraphs 1, 2, 3 and 4)

0180. DEDICATED BOLSOVER DISTRICT COUNCIL HEAD OF FINANCE AND RESOURCES (INCLUDING SECTION 151 OFFICER ROLE)

Executive considered a report of the Portfolio Holder - Finance and Resources which sought approval for the creation of a dedicated Bolsover Head of Finance and Resources (including statutory Section 151 Officer) for Bolsover District Council. The proposal to disestablish the Joint Head of Finance and Resources post as part of the Strategic Alliance Management Team would be submitted to the Strategic Alliance Joint Committee for consideration.

Moved by Councillor Clive Moesby and seconded by Councillor Duncan McGregor
RESOLVED – That Executive

- (i) support the proposal to disestablish both the Joint Head of Finance and Resources post and the BDC Chief Accountant post; and to create a new dedicated BDC post of Head of Finance and Resources.
- (ii) request that the Joint Chief Executive Officer exercise his delegated powers, in consultation with the Leader, to implement the resulting structure, subject to no substantial changes or issues raised through formal consultation with staff and trade unions, and that the cost of the new arrangements following a possible Job Evaluation review is within the budget identified in this report.

REASON FOR DECISION:

The proposal was to provide dedicated senior management capacity and resource whilst maintaining operational effectiveness.

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OTHER OPTIONS CONSIDERED:

The option to remain with the existing structure and re-recruit for the joint post was not supported as this was unlikely to prove successful for the reasons highlighted within the report.

(Joint Strategic Director – People)
(Paragraphs 1, 2, 3 and 4)

PRIVATE SESSION – KEY DECISIONS

0181. NEW BOLSOVER MODEL VILLAGE NEW BEGINNINGS AND ALDER HOUSE DEMOLITION

Executive considered the report of the Portfolio Holder - Housing and Community Safety which sought approval to vary two contracts to account for additional work to be carried out at New Bolsover Model Village and Alder House, Shirebrook.

Moved by Councillor Sandra Peake and seconded by Councillor Duncan McGregor
RESOLVED – That Executive:

- (i) approve the contract sum for New Bolsover Model Village – New Beginnings be increased by the amount detailed in the report, to take account of additional work as outlined at paragraphs 1.2 and 1.3 of the report, to be funded from the existing budgets.
- (ii) agree the additional spend on the Alder house demolition contract within the estimated contract sum as outlined in the report.

REASON FOR DECISION:

To take account of the additional time and cost implications of the projects.

OTHER OPTIONS CONSIDERED:

There were no alternative options that would satisfy legal and financial obligations.

(Joint Strategic Director – Place)
(Paragraphs 3)

0182. SAFE AND WARM UPGRADE SCHEME PARK VIEW, BARLBOROUGH

Executive considered the report of the Portfolio Holder - Housing and community Safety which sought approval to award the contract to Matthews and Tannert Ltd to undertake the Safe and Warm Scheme at Park View, Barlborough, following tender evaluations which took place on the 2nd July 2019.

The project concerned the replacement of a communal heating system which currently served 19 bungalows and a communal space at Park View, Barlborough.

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Moved by Councillor Sandra Peake and seconded by Councillor Duncan McGregor
RESOLVED – That Matthews & Tannert Ltd be appointed to undertake the works as outlined within this report as per the tender sum.

REASON FOR DECISION:

Matthews and Tannert Ltd were appointed following evaluation of the submitted tenders.

OTHER OPTIONS CONSIDERED:

Due to the existing condition of the communal heating system there was a potential risk for failure of the boilers, however the option to replace the boilers was rejected as this was not economically viable.

(Joint Strategic Director – Place)
(Paragraphs 3)

The meeting concluded at 1030 hours.

Bolsover District Council

Executive

16th September 2019

Reduction in debt charges through use of reserves

Report of the Portfolio Holder - Finance & Resources

This report is public

Purpose of the Report

- To seek approval to swap the financing of the general fund capital programme to the use of reserves from borrowing to make substantial savings through reduced debt charges.

1 Report Details

- 1.1 The Medium Term Financial Plan was approved by Members in February 2019. This covered the financial years 2019/20, 2020/21, 2021/22 and 2022/23. After being updated for the 2019/20 council tax increase, the latest budget position for the Council is shown in **table 1**.
- 1.2 As the table shows, the extent of the current budget shortfall totals £4.384m over the life of the current plan after the estimated surplus for the current year.

<u>Table 1</u>	2019/20 Budget £000	2020/21 Budget £000	2021/22 Budget £000	2022/23 Budget £000
Budget Shortfall – MTFP Feb 2019	83	974	1,559	2,204
Efficiencies identified to date (removed from budget)	(119)	(115)	(115)	(123)
Current Budget Shortfall	(36)	859	1,444	2,081
Efficiencies identified <u>not yet realised</u>	(339)	(551)	(734)	(916)
Target Budget Shortfall	(375)	308	710	1,165

- 1.3 The Council's financial position is not dissimilar to other Councils throughout the country and is in fact a better position than quite a few, particularly Counties. The Council has for a number of years been successful in making efficiency savings and increases to income through proactive business decisions.
- 1.4 In response to the national funding position, The Institute of Fiscal Studies published a report in March 2019 on the options for expanding local taxation. *"Local Government in England already raises local taxation (council tax and business rates) that funds 81% of the expenditure it controls. However, these taxation streams are not buoyant because they do not increase with growth in the economy and will not increase sufficiently rapidly to keep pace with rising costs and demands for services in the future. It is therefore highly likely that either funding from central government grants will have to be increased or new sources of locally raised revenues will have to be found."*
- 1.5 In the Local Government Finance Settlement for 2019/20, government funding increased in line with inflation with no new funding for district councils. A number of fundamental changes to future local authority funding are currently being considered by the Government. Funding is likely to be moved away from districts to other tiers of local government. The Fair Funding Review and Business Rates Reset are both likely to negatively affect district councils. The impact of these reviews was expected to be incorporated into the 2020/21 settlement but this has been delayed and will not now be implemented until 2021/22.
- 1.6 The Council's Transformation Plan was formally launched in March 2018 as a direct result of the changes in central government funding and the future financial position facing the Council. These were seen as both considerable challenges and considerable opportunities over the coming years.
- 1.7 At 31st March 2019, the Council's transformation reserve had a balance of £8.354m. Commitments already made against the reserve for 2019/20 and future years amounted to £2.356m leaving £5.998m uncommitted. This reserve is available to support investment in cost reduction and income growth, reflecting the Council's proactive approach to addressing the financial challenges it faces.
- 1.8 A suggestion has been made as part of the Transformation Programme which would reduce the amount of General Fund debt charges the Council pays each year. Instead of borrowing to finance the future capital programme, an amount from the transformation reserve would be used to fund the expenditure instead.
- 1.9 The figures in **table 2** show the total amount of General Fund capital expenditure to be funded from borrowing currently included in the approved capital programme as £6.573m for the whole three years. The debt charges associated with this level of borrowing are already included in the General Fund budget at £1.441m. The debt charges associated with the £3.793m borrowing in 2019/20 is £0.312m and this is payable for every year of the life of the asset. This is why the total debt charges in the table are not simply £0.733m.

Table 2	2019/20	2020/21	2021/22	Total
	£'000	£'000	£'000	£'000
Total cost of capital expenditure	3,793	770	2,010	6,573
Total cost of borrowing for capital expenditure	312	84	337	1,441
Cost of high value/low life assets	2,732	460	745	<u>3,937</u>
Cost of borrowing for those assets	191	70	127	841
Proposed total saving in debt charges	191	261	389	841

- 1.10 If the Council didn't have to borrow at all the Council could save £1.441m over this period which would eventually total £6.573m over the whole life of the capital programme as the cost is simply divided over the life of the assets. As the Council does not have enough reserves to do this, calculations have been done to make the most benefit for the Council from any reserve amount used. The way debt charges are calculated means the largest savings can be made on the highest value assets with the shortest lives for example vehicles.
- 1.11 **Table 2** shows that by using £2.732m of reserves in 2019/20, £0.191m can be saved in that year. Again this will be saved for all three of the years. If a further £0.460m in 2020/21 and £0.745m in 2021/22 of reserves were used, over the full three years £0.841m would be saved. Over the whole life of the capital programme for these assets the total used from the reserve would be saved in the General Fund (£3.937m). While most assets included have a life estimated to be less than ten years, one expensive scheme is estimated at fifty.
- 1.12 CIPFA's 'Treasury Management Code' and the Ministry for Housing, Communities and Local Government 'Statutory Guidance on Local Government Investments' both state *"Where organisations invest in other financial assets and property primarily for profit, these investments should be proportional to the level of resources available to the organisation and the organisation should ensure that the same robust procedures for the consideration of risk and return are applied to these decisions. Robust and transparent governance procedures and decision making remain critical in all investments an authority makes"*.
- 1.13 With both these documents in mind each transformation idea must be considered for risk and reward. The Council's Capital Strategy approved in February 2019 states that the Council accepts higher risk on commercial investment than with treasury investments and that the financial viability of each individual potential investment opportunity will be fully assessed within a comprehensive business case. This is in

order to reflect the potential risk that may arise as a consequence of undertaking commercial property investment.

- 1.14 There are no financial risk associated with using reserves in this way. There is however always the opportunity to spend/invest the money on other things before we have replenished the reserve. In all likelihood a scheme in excess of £3m in value would almost certainly be capital and in which case we would borrow the money and incur debt charges at that time, subject to a business case. If substantial revenue funds were required the General Fund has a working balance of £2m.
- 1.15 The reward from swapping the reserves for the borrowing is £0.841m revenue savings over 3 years as outlined in **table 2**, plus £3.096m over the remaining life of the assets. The return on the amounts borrowed for each year are 2019/20 7%, 2020/21 15% and 2021/22 17%, all for each year of the asset.
- 1.16 As a comparison, a neighbouring authority has purchased a number of commercial investment properties over the last five years at a cost in the region of £24m. The return on the individual investments ranges from 4.98% to 8.78%. This return on investment is not without risk. Tenant financial stability, sector risk, condition of the building are all risks with can be outside of the control of the Council and significantly impact on the value of the investment.
- 1.17 As a final note, there will be no effect on investment interest as a result of making this change. The financing of the capital programme by reserves does not cause any more money to leave the Council's bank account than using borrowing.
- 1.18 If the recommendation is approved and £3.937m of reserves is swapped for borrowing the updated budget position for the Council will be as shown in **table 3**. The savings occur in the year after the reserves are used as that is how debt charges have to be calculated.

Table 3

	2019/20	2020/21	2021/22	2022/23
	Budget £'000	Budget £'000	Budget £'000	Budget £'000
Budget Shortfall - MTFP Feb 2019	83	974	1,559	2,204
Efficiencies identified to date (removed from budget)	(119)	(115)	(115)	(123)
Savings from reduced debt charges	0	(191)	(261)	(389)
Updated Budget Shortfall	(36)	668	1,183	1,692
Efficiencies identified <u>not yet realised</u>	(339)	(551)	(734)	(916)
Target Budget Shortfall	(375)	117	449	776

2 Conclusions and Reasons for Recommendations

- 2.1 In considering CIPFA's 'Treasury Management Code' and the Ministry for Housing, Communities and Local Government 'Statutory Guidance on Local Government Investments' a risk v's reward approach has been taken to review the financing the capital programme through reserves rather than borrowing. Put simply, using the savings account to fund capital purchases rather than a credit card.
- 2.2 There is little or no financial risk in the proposal and with favourable rates of return compared with other forms of investment, as follows:

Options	Risk	Return
Report proposal	None	7% - 17%
Commercial Investment Portfolio (Neighbouring authority)	Tenant financial stability, sector risk, condition of the building, lease length, etc.	4.98% - 8.78%

- 2.3 In conclusion, it is recommended that Executive invest £3.937m of Transformation Reserve to finance the Capital Programme generating a revenue return of £0.841m over three years and a further £3.096m over the remaining life of the assets. This would reduce the Transformation Reserve from £8.354m (as of 31 March 2019) to £4.417m with £2.061m uncommitted.

3 Consultation and Equality Impact

- 3.1 There are no equality impact implications from this report.

4 Alternative Options and Reasons for Rejection

- 4.1 Rather than fund the full £3.937m from Transformation Reserve, a smaller amount of reserve could be utilised. This would reduce the overall revenue saving achieved from the proposal and any alternative Transformation Reserve scheme will incur more financial risk.
- 4.2 Do nothing. Executive could choose not to spend the reserve on refinancing as proposed. As an unspent reserve the interest accrued is less than 1%. Any alternative investment project is likely to involve more financial risk and a return below 7%-17%.

5 Implications

5.1 Finance and Risk Implications

- 5.1.1 Financial issues and implications are covered in the relevant sections throughout this report.
- 5.1.2 The risks are covered throughout the report.

5.2 Legal Implications including Data Protection

- 5.2.1 There are no Data Protection issues arising directly from this report.

5.3 Human Resources Implications

5.3.1 There are no Human Resources issues arising directly from this report.

6 Recommendations

6.1 That Executive recommend to Council:

- (i) that £3.937m be invested to finance the Capital Programme as outlined in paragraph 1.11.
- (ii) that the Capital Programme is re-financed in line with paragraph 1.11.

7 Decision Information

Is the decision a Key Decision? A Key Decision is an executive decision which has a significant impact on two or more District wards or which results in income or expenditure to the Council above the following thresholds: <i>BDC: Revenue - £75,000</i> <input type="checkbox"/> <i>Capital - £150,000</i> <input type="checkbox"/> <i>NEDDC: Revenue - £100,000</i> <input type="checkbox"/> <i>Capital - £250,000</i> <input type="checkbox"/> <input checked="" type="checkbox"/> <i>Please indicate which threshold applies</i>	No
Is the decision subject to Call-In? (Only Key Decisions are subject to Call-In)	No
Has the relevant Portfolio Holder been informed	Yes
District Wards Affected	All
Links to Corporate Plan priorities or Policy Framework	Transforming Our Organisation: Ensuring financial sustainability and increasing revenue streams

8 Document Information

Appendix No	Title
Background Papers (These are unpublished works which have been relied on to a material extent when preparing the report. They must be listed in the section below. If the report is going to Cabinet (NEDDC) or Executive (BDC) you must provide copies of the background papers)	
Report Author	Contact Number
Chief Accountant and Section 151 Officer	2458

Bolsover District Council

Executive

16th September 2019

<p>Budget Monitoring Report Quarter 1 – April to June 2019</p>
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Report of the Portfolio Holder for Finance + Resources

This report is public

Purpose of the Report

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

1 Report Details

- 1.1 Officers have continued the integrated approach to budget monitoring in the first quarter with Performance, Risk and Finance being considered together at the combined Directorate meeting held during July 2019. The scope of this report is therefore to report the current financial position following the 2019/20 quarter one monitoring exercise.

General Fund Revenue Account

- 1.2 The General Fund Revenue Account summary is shown in **Appendix 1**. The original budget for 2019/20 showed a funding deficit of £0.083m. The current budget now shows that this is £0.037m surplus after the Council tax increase and other movements are included. As savings are identified and secured they are moved into the relevant cost centres within the main General Fund Directorates. Officers have reviewed the opportunities to reduce the salary budgets where savings arose in the first quarter and a further amount of £0.093m will now be removed from budgets.
- 1.3 Within the Directorates there is the following to report:
- The People Directorate shows an adverse variance of £0.184m. This relates mainly to:
 1. Under spends due to invoices not yet paid and vacancies at the end of the quarter (£0.230m) – favourable.
 2. Income received in advance of any expenditure (£0.756m) – favourable.

3. Annual invoices were paid in quarter 1 which makes the profiled budget look overspent (£0.548m) – adverse.
 4. Expenditure has been spent but the income hadn't been received as it is claimed in arrears (£0.308m) – adverse.
 5. Over spends against quarter 1 budget due to less income received, new pressures or where expenditure is seasonal and not profiled over 4 quarters (£0.264) – adverse.
- The Place Directorate shows a favourable variance of £0.549m. This relates mainly to:
 1. Under spends due to invoices not yet being paid and vacancies at the end of the quarter (£0.022m) – favourable.
 2. Income received in advance of any expenditure (£0.917m) – favourable.
 3. Annual invoices were paid in quarter 1 which makes the profiled budget look overspent (£0.283m) – adverse.
 4. Expenditure has been spent but the income hadn't been received as it is claimed in arrears (£0.113m) – adverse.
 5. Over spends against quarter 1 budget due to less income received, new pressures or where expenditure is seasonal and not profiled over 4 quarters (£0.031) – adverse.
- 1.4 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 with the expenditure recorded against these sums. The amount budgeted to be spent in 2019/20 is £0.962m. Of this £0.028m had to be spent by 28th May this year or the funding would have been lost. Officers worked to ensure that this spend was undertaken in line with the S106 legal requirements.
 - 1.5 The overall position at the end of quarter 1 shows that there is a favourable variance of £0.365m. This is mainly due to receiving income in advance of spend for the year. There are also no real budget pressures identified in quarter 1 but officers will continue to monitor the position during the next quarter.
 - 1.6 The table that follows illustrates that even though the savings target for 2019/20 has been met, there is still a need for ongoing savings. The shortfall in future years will be addressed through the transformation programme which will include a combination of income maximisation, business redesign and business cost reduction options.
 - 1.7 Officers will begin working with budget managers during the next quarter to compile a revised budget for 2019/20. This will amend the current budgets to capture additional budget savings and reduce spending where it is anticipated that there will be a minimal impact upon service delivery. Where possible the budget in future years will be amended to reflect savings identified to assist with projected budget shortfalls. The revised budget position will be presented to Executive in December.

<u>Table 1</u>	2019/20 Budget £000	2020/21 Budget £000	2021/22 Budget £000	2022/23 Budget £000
Budget Shortfall – MTFP Feb 2019	83	974	1,559	2,204
Efficiencies identified to date (removed from budget)	(119)	(115)	(115)	(123)
Current Budget Shortfall	(36)	859	1,444	2,081
Efficiencies identified <u>not yet realised</u>	(339)	(551)	(734)	(916)
Target Budget Shortfall	(375)	308	710	1,165

Business Rates Retention

- 1.8 As reported in the Medium Term Financial Plan (MTFP), the income for Business Rates reverts back to existing pooling arrangements for 2019/20 and future years.
- 1.9 At the time of approving the budget the NNDR1 form for 2019/20 had not been completed and therefore no changes were made to previous estimates for that year. However, on completion based on the growth achieved in our Business Rates income since the previous estimates were made, the NNDR1 form does show an increase in predicted income of £0.600m.
- 1.10 This increase is based on an estimate of business rates growth that could fluctuate during the year as businesses move in and out of the district. It is also possible for the income to be reduced to pay for refunds to business rate payers if their valuation appeal is successful with the Valuation Office. This presents a risk to the budget as should the growth not be achieved, the income to the Council would be decreased.
- 1.11 For this reason it is suggested that the estimated increase in income be added to the budget at revised budget time in December, but be transferred to the NNDR Growth Protection Reserve to mitigate changes likely to effect the Council in the future when the new Business Rates system is announced.

The National Funding Settlement 2020/21

- 1.12 A number of fundamental changes to local authority funding are currently being considered by the Government for the future. These were scheduled to be incorporated into the 2020/21 finance settlement. Delay caused by Brexit and other political uncertainty in Government has increased the likelihood that these may be delayed for at least one year. These are summarised below:

Fair Funding Review (FFR)

- 1.13 The national funding allocations formula was last reviewed in 2013/14. Initial modelling on suggested changes showed that the recalculated Settlement

Funding Assessment (SFA) would redirect resources to those based on “need” which would impact negatively on most shire districts.

- 1.14 The risk of losses from the FFR would be much greater for district councils because of their ability to raise council tax. This puts a greater burden on the local decision making with regards council tax setting each year.

Business Rates Reset

- 1.15 The business rates baseline funding level (BFL) calculates by formula each council's share of overall resources and is based on each Councils' business rates baseline, taken from the NNDR1 each year. A full reset of the BFL was planned for 2020/21 although as mentioned earlier there is some debate currently around the timing of this. Should a full reset proceed this would mean that any business rates growth accumulated since 2013/14 (the last reset) would be rolled into each Council's BFL, effectively wiping the benefit of that growth out. This growth would then be redistributed according to need. In general terms, districts have benefited most from this growth so would therefore be the worst affected by the reset.
- 1.16 There is also a proposal to increase the local share for business rates to 75% from 2020/21. However, it is expected that county councils will benefit from this increase rather than district councils whose share is likely to stay at 40% or maybe even reduce.
- 1.17 There are still too many variables to put any huge reliance on the impact of a business rates reset or change to the local share at this stage but it is likely to affect district councils which is a risk to the current MTFP.
- 1.18 If there is, as expected, a delay in the planned three year spending review this would mean there would be a roll-over year for 2020/21. There would likely be very little change in funding allocations and then a two year spending review that announces a new funding settlement starting in 2021/22.

Housing Revenue Account (HRA)

- 1.19 The Housing Revenue Account summary for the first quarter of 2019/20 is set out in **Appendix 2** to this report. At the end of quarter 1 the HRA is showing a net deficit of £0.361m.

Income

- 1.20 The quarter 1 income figures show an adverse variance of £0.447m. This is mainly due to the timing of the rent free week falling into the first quarter. The annual budget is profiled to receive 12 weeks in the first quarter when actually only 11 weeks were billed.

Expenditure

- 1.21 Expenditure shows an overall favourable variance of £0.086m. The main areas to highlight are listed below:

1. Employee costs at £0.921m are £0.094m lower than forecast which is mainly due to vacancies in repair and maintenance. The budget is

currently being reviewed as part of the outturn and budgets no longer required will be removed before the next quarter.

2. Premises Related expenditure at £0.311m is £0.023m under spent due to a combination of sub-contractor invoices which have not yet been paid and the Council Tax Liability on void properties which are yet to be processed.
3. Hired + Contracted services at £0.235m are £0.176m higher than the three month profiled budget as it is a commitment against the 12 month budget.
4. A revenue contribution to the capital programme is not transferred until year end and is showing as an under spend of £0.125m.

HRA – Overall Summary

- 1.22 In light of the above and the expenditure patterns to date, there are no significant issues to report regarding the overall position for the HRA at the end of the first quarter.

Capital Programme

Capital Expenditure

- 1.23 The capital programme summary for the first quarter of 2019/20 is provided in **Appendix 3** to this report.

- 1.24 In headline terms, the capital programme profiled budget for quarter 1 is £3.913m and the actual spend and known commitments total £2.830m, which is £1.083m behind the planned spend position. The main areas to highlight are listed below:

1. The Re-Roofing scheme is £0.128m under spent. The scheme is expected to progress in quarter two.
2. General Fund Vehicle Replacements appear over spent at £0.123m but the scheme shouldn't be quarterly profiled.
3. Dragonfly loan and acquisition of share capital are showing as £0.545m under spent which is due to the next phase of the scheme not yet commencing.
4. The miscellaneous property scheme B@home is currently £0.434m under spent for the quarter due to the phasing of the individual schemes.

- 1.25 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 slightly behind the profiled position as at quarter 1. Officers will continue to closely monitor the delivery of the Programme.

Capital Resources

- 1.26 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.

Treasury Management

- 1.27 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 balances and the management of its long term debt. All transactions are conducted in accordance with the Council's approved strategy and the CIPFA Code of Practice. Good treasury management plays an important role in the sound financial management of the Council's resources.
- 1.28 The Council approved the 2019/20 Treasury Management Strategy at its meeting in February 2019. **Appendix 4** identifies the Treasury Management activity undertaken during the first quarter of 2019/20 and demonstrates that this is in line with the plans agreed as part of the strategy. The income received from investments is currently higher than budgeted, however interest rates are variable and therefore it is too early in the financial year to predict if this trend will continue. A full assessment of this will be done during the next quarter with a view to amend the budgets accordingly.

2 Conclusions and Reasons for Recommendation

- 2.1 The report summarises 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.

3 Consultation and Equality Impact

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

4 Alternative Options and Reasons for Rejection

- 4.1 The Budget Monitoring report for 2019/20 is primarily a factual report which details progress against previously approved budgets. Accordingly there are no alternative options to consider.

5 Implications

5.1 Finance and Risk Implications

- 5.1.1 Financial implications are covered throughout this report.
- 5.1.2 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 may be pressures on all of the Council's main budgets as these have been or are being reduced to minimum levels. These will need to be managed carefully during the course of this financial year if we are to protect the existing levels of financial balances.

5.2 Legal Implications including Data Protection

There are no legal issues arising directly from this report.

5.3 Human Resources Implications

There are no human resource issues arising directly out of this report

6 Recommendations

- 6.1 That Executive notes the monitoring position of the General Fund at the end of the first quarter as detailed on Appendix 1 (A net favourable variance of £0.365m against the profiled budget) and the key issues highlighted within this report.
- 6.2 That Executive notes the position on the Housing Revenue Account (HRA), the Capital Programme and Treasury Management at the end of the first quarter (Appendices 2, 3 and 4).

7 Decision Information

Is the decision a Key Decision? A Key Decision is an executive decision which has a significant impact on two or more District wards or which results in income or expenditure to the Council above the following thresholds: <i>BDC:</i> <i>Revenue - £75,000</i> <input type="checkbox"/> <i>Capital - £150,000</i> <input type="checkbox"/> <i>NEDDC:</i> <i>Revenue - £100,000</i> <input type="checkbox"/> <i>Capital - £250,000</i> <input type="checkbox"/> <input checked="" type="checkbox"/> <i>Please indicate which threshold applies</i>	No
Is the decision subject to Call-In? (Only Key Decisions are subject to Call-In)	No
Has the relevant Portfolio Holder been informed?	Yes
District Wards Affected	All
Links to Corporate Plan priorities or Policy Framework	Providing Excellent customer focussed services. Continually improving our organisation

8 Document Information

Appendix No	Title
1	General Fund Summary
2	HRA Summary
3	Capital Programme
4	Treasury Management Update

Background Papers (These are unpublished works which have been relied on to a material extent when preparing the report. They must be listed in the section below. If the report is going to Cabinet (NEDDC) or Executive (BDC) you must provide copies of the background papers)	
Report Author	Contact Number
Chief Accountant and S151 Officer	2458

GENERAL FUND SUMMARY - 2019/20

Appendix 1

	Per Exec 18/2/19	Per FMS			
	Original Budget £	Current Budget £	3 months Budget £	3 months Actuals £	3 months Variance £
People (including recharge to HRA)	6,686,102	7,032,511	1,758,128	2,121,201	363,073
Place	3,156,636	3,341,686	835,422	515,273	(320,148)
<u>S106 due in year</u>					
People	10,013	362,212	90,553	(88,761)	(179,314)
Place	0	600,248	150,062	(79,026)	(229,088)
Net Cost of Services	9,852,751	11,336,657	2,834,164	2,468,688	(365,477)
Debt Charges	1,087,636	1,087,636	271,909	271,909	0
Investment Interest	(258,884)	(258,884)	(64,721)	(64,721)	0
Contributions to Reserves	161,625	161,625	40,406	40,406	0
Contributions from Earmarked Reserves	(643,071)	(934,610)	(233,653)	(233,653)	0
Contribution (from)/to S106 Holding A/cs, Grant A/cs and Miscellaneous Holding A/cs	(549,573)	(1,748,733)	(437,183)	(437,183)	0
Parish Precepts	2,901,779	2,901,779	725,445	725,445	0
Parish Council Tax Support Grant	167,933	167,933	41,983	41,983	0
Total Spending Requirement	12,720,196	12,713,403	3,178,351	2,812,874	(365,477)
Revenue Support Grant	(1,169,290)	(1,169,290)	(292,323)	(292,323)	0
Business Rate Retention	(4,445,944)	(4,445,944)	(1,111,486)	(1,111,486)	0
NNDR Collection Fund deficit	453,469	453,469	113,367	113,367	0
New Homes Bonus Grant	(811,095)	(811,095)	(202,774)	(202,774)	0
BDC Council Tax Requirement	(3,762,808)	(3,875,302)	(968,826)	(968,826)	0
Parish Council Council Tax Requirement	(2,901,779)	(2,901,779)	(725,445)	(725,445)	0
Funding Requirement	(12,637,447)	(12,749,941)	(3,187,485)	(3,187,485)	0
Funding gap/(surplus)	82,749	(36,538)	(9,135)	(374,611)	(365,477)

APPENDIX 2

Housing Revenue Account

Description	Full Years Budget £	3 months Budget £	3 months Actuals £	3 months Variance £
Expenditure				
Repairs and Maintenance	5,412,470	1,353,118	1,143,616	(209,501)
Supervision and Management	5,331,998	1,333,000	1,509,371	176,371
Rents, Rates, Taxes + Other Charges	266,564	66,641	14,141	(52,500)
Debt Management Expenses	8,120	2,030	4,011	1,981
Special Services	549,994	137,499	127,983	(9,515)
Supporting People - Wardens	606,571	151,643	136,838	(14,805)
Supporting People - Central Control	224,968	56,242	68,446	12,204
Tenants Participation	74,379	18,595	23,015	4,421
New Bolsover Project	10,000	2,500	8,016	5,516
Total Expenditure	12,485,064	3,121,266	3,035,438	(85,828)
Income				
Dwelling Rents	(20,025,070)	(5,006,268)	(4,568,287)	437,980
Non-dwelling Rents	(144,027)	(36,007)	(60,529)	(24,522)
Repairs and Maintenance	(16,445)	(4,111)	(7,579)	(3,468)
Supervision and Management	(380)	(95)	(60)	35
Special Services	(138,135)	(34,534)	(20,262)	14,271
Supporting People - Wardens	(515,863)	(128,966)	(129,195)	(229)
Supporting People - Central Control	(245,522)	(61,381)	(46,209)	15,171
Tenants Participation	0	0	0	0
New Bolsover Project	(10,000)	(2,500)	0	2,500
Leasehold Flats and Shops Income	(26,980)	(6,745)	(1,995)	4,750
Other Income	(1,310)	(328)	(136)	192
Total Income	(21,123,732)	(5,280,933)	(4,834,252)	446,681
Net Cost of Services	(8,638,668)	(2,159,667)	(1,798,814)	360,853
Appropriations				
Provision for Doubtful Debts	150,000	37,500	37,500	0
Interest Costs	3,513,950	878,488	878,488	0
Interest Income	(21,750)	(5,438)	(5,438)	0
Depreciation	3,200,000	800,000	800,000	0
Transfer to Major Repairs Reserve	908,249	227,062	227,062	0
Contribution to HRA Reserves	1,130,000	282,500	282,500	0
Use of HRA Earmarked Reserves	(264,556)	(66,139)	(66,139)	0
Net Operating (Surplus) / Deficit	(22,775)	(5,694)	355,159	360,853

APPENDIX 3

CAPITAL PROGRAMME SUMMARY	Full Years	3 months	3 months	3 months
Description	Budget £	Budget £	Actuals £	Variance £
General Fund				
Asset Management Plan				
Leisure Buildings	17,491	4,373	2,784	(1,589)
Pleasley Vale Business Park	123,505	30,876	42,321	11,445
Riverside Depot	23,136	5,784	23,043	17,259
The Arc	25,569	6,392	23,444	17,052
The Tangent	1,992	498	1,992	1,494
Asset Management Plan not yet allocated to an individual scheme	52,674	13,169	0	(13,169)
Assets				
Car Parking at Clowne	105,203	26,301	0	(26,301)
Pleasley Vale Mill - Dam Wall	114,825	28,706	1,661	(27,045)
Pleasley Vale Fire Compartmentation & Fire Doors	99,150	24,788	23,095	(1,693)
Pleasley Vale Man safe System	29,229	7,307	29,197	21,889
Pleasley Vale Rock Face Stabilisation Work	20,000	5,000	0	(5,000)
Refurbishment of Oxcroft House	27,500	6,875	0	(6,875)
Shirebrook Contact Centre	19,515	4,879	2,238	(2,640)
The Tangent - Phase 2	8,388	2,097	(1,448)	(3,545)
	668,177	167,044	148,327	(18,717)
ICT Schemes				
ICT infrastructure	164,077	41,019	14,931	(26,088)
	164,077	41,019	14,931	(26,088)
Leisure Schemes				
Pleasley Vale Outdoor Centre	29,770	7,443	0	(7,443)
Go-Active Leisure Facility	45,211	11,303	(250)	(11,553)
Go Active Equipment	15,000	3,750	0	(3,750)
Go-Active Pool Cover	30,000	7,500	23,696	16,196
	119,981	29,995	23,446	(6,549)
Private Sector Schemes				
Disabled Facility Grants	999,472	249,868	266,283	16,415
	999,472	249,868	266,283	16,415
Joint Venture				
Dragonfly Joint Venture Shares	1,806,002	451,501	0	(451,501)
Dragonfly Joint Venture Loan	375,750	93,938	0	(93,938)
	2,181,752	545,438	0	(545,438)
Vehicles and Plant				
Vehicle Replacements	934,000	233,500	378,939	145,439
Vehicle Diagnostic Equipment	14,000	3,500	0	(3,500)
Vehicle Wash Area	94,707	23,677	8,781	(14,895)
CAN Rangers Equipment	14,532	3,633	0	(3,633)
	1,057,239	264,310	387,721	123,411
Total General Fund	5,190,698	1,297,675	840,708	(456,967)

APPENDIX 3

CAPITAL PROGRAMME SUMMARY	Full Years	3 months	3 months	3 months
Description	Budget £	Budget £	Actuals £	Variance £
Housing Revenue Account				
New Build Properties				
Ash Close Pinxton	1,850	463	1,850	1,388
Ashbourne Extension	0	0	0	0
Highcliffe Ave Shirebrook	443	111	443	332
Hilltop	7,948	1,987	7,947	5,960
Keepmoat Properties at Bolsover	825,408	206,352	(7,295)	(213,647)
Recreation Close Clowne	161,648	40,412	145,252	104,840
St Michaels Drive South Normanton	498	125	498	374
The Paddock Bolsover	1,369,381	342,345	8,702	(333,643)
	2,367,176	591,794	157,398	(434,396)
Vehicle Replacements	172,500	43,125	0	(43,125)
	172,500	43,125	0	(43,125)
Public Sector Housing				
Electrical Upgrades	200,000	50,000	64,551	14,551
Environmental Works	50,000	12,500	0	(12,500)
External Door Replacements	105,519	26,380	18,490	(7,890)
Flat Roofing	50,000	12,500	3,052	(9,448)
Kitchen Replacements	300,000	75,000	29,258	(45,742)
Re Roofing	750,000	187,500	59,054	(128,446)
Regeneration Mgmt & Admin	69,320	17,330	17,330	0
Safe & Warm	2,947,019	736,755	756,001	19,246
Soffit and Facia	100,000	25,000	18,760	(6,240)
Unforeseen Reactive Capital Works	200,000	50,000	37,421	(12,580)
Welfare Adaptations	175,000	43,750	13,291	(30,459)
	4,946,858	1,236,715	1,017,207	(219,508)
ICT Schemes	17,205	4,301	6,569	2,268
	17,205	4,301	6,569	2,268
New Bolsover Scheme (inc HLF)				
New Bolsover-Regeneration Scheme	2,956,101	739,025	808,201	69,176
	2,956,101	739,025	808,201	69,176
Total HRA	10,459,840	2,614,960	1,989,375	(625,585)
TOTAL CAPITAL EXPENDITURE	15,650,538	3,912,635	2,830,082	(1,082,552)

APPENDIX 3

CAPITAL PROGRAMME SUMMARY	Full Years	3 months	3 months	3 months
Description	Budget £	Budget £	Actuals £	Variance £
Capital Financing				
General Fund				
Better Care Fund	999,472	249,868	266,283	16,415
Prudential Borrowing	3,792,241	948,060	535,257	(412,803)
Reserves	335,700	83,925	37,179	(46,746)
Capital Receipts	63,285	15,821	1,988	(13,833)
	5,190,698	1,297,675	840,708	(456,967)
HRA				
Major Repairs Allowance	6,562,909	1,640,727	1,686,501	45,774
Prudential Borrowing	2,187,176	546,794	157,398	(389,396)
Vehicle Reserve	172,500	43,125	0	(43,125)
HRA Direct Revenue Financing	500,000	125,000	0	(125,000)
Capital Receipts	780,000	195,000	0	(195,000)
External Funding	257,255	64,314	145,476	81,162
	10,459,840	2,614,960	1,989,375	(625,585)
TOTAL CAPITAL FINANCING	15,650,538	3,912,635	2,830,082	(1,082,552)

The Council's main current account is held with Lloyds Bank and the current contract is due to expire on 30th April 2022.

PWLB Borrowing

The Council has not taken any new loans from the PWLB during the first three months.

As at 1 April 2019 the Authority's total outstanding PWLB debt amounted to £102,100,000. The profile of the outstanding debt is analysed as follows: -

PWLB Borrowing Term	Maturity Profile 30-Jun-19 £
12 Months	3,000,000
1-2 years	2,000,000
2-5 years	14,000,000
5-10 years	21,100,000
10-15 years	22,000,000
over 15 years	40,000,000
Total PWLB Debt	102,100,000

At 30 June 2019 nothing has been repaid to the PWLB.

PWLB Interest

The total interest cost to the Council of the PWLB debt for 2019/20 is estimated at £3,587,950. This cost is split between the HRA and General Fund based on the level of debt outstanding. Interest paid to the PWLB in the three months was £323,188

Temporary Borrowing

Cash flow monitoring and management identifies the need for short term borrowing to cover delays in the receipt of income during the year. No interest charges were incurred during the first three months on overdrawn bank balances. At 30 June 2019 the only temporary borrowing undertaken by the Council was £627,877 which is the investment balances held on behalf of Parish Councils.

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.

	Actual to Date 2019/20	Approved Limits 2019/20
Authorised Limit (Total Council external borrowing limit)	£125,667,428	£131,921,000
Operational Boundary	£120,667,428	£126,921,000

Temporary Investments

Interest Received

The performance of the Council's investments is as follows:

	3 months Actual	3 months Budget	3 months Variance
Interest generated	£80,991	£61,906	£19,085
Average rate of interest	0.84%	0.75%	0.09%
Bank of England base rate	0.75%	0.75%	0.00%

The investments have been made in accordance with the Council's Treasury Management Strategy.

The Bank of England base rate is currently 0.75%, the above actual figure is the 3 month average rate.

Interest rates offered by most institutions remain low.

The following tables show the investments and interest earned to 30 June 2019:

Investments on call

Counterparty	Balance at 1/4/19 £	Deposits £	Withdrawals £	Interest received £	Balance at 30/06/19 £
Aberdeen (MMF)	0	5,000,000	(5,004,227)	4,227	0
Federated (MMF)	2,500,000	2,500,000	(8,702)	8,702	5,000,000
Invesco (MMF)	0	4,000,000	(4,001,314)	1,314	(0)
CCLA (MMF)	2,500,000	6,500,000	(5,008,303)	8,303	4,000,000
	5,000,000	18,000,000	(14,022,546)	22,546	9,000,000

Fixed-term investments

Counterparty	Term of Loan	Balance at 1/4/19	Deposits	Withdrawals	Interest received in Quarter	No of Days Interest in Quarter	Balance at 30/06/19
		£	£	£	£		£
Banks / Building Societies							
Close Brothers	6 Months	5,000,000			13,712	91	5,013,712
Local Authorities							
Lancashire County Council	1 year	5,000,000		(5,000,000)	2,212	17	2,212
West Dunbartonshire Council	1 year	5,000,000		(5,000,000)	5,293	42	5,335
3 Kingston Upon Hull	6 Months	2,000,000		(2,000,000)	2,811	57	2,868
Shirebrook Town Council	3 Months	450,000	451,193	(450,000)	843	91	452,036
Eastleigh Borough Council	4 Months	5,000,000			11,843	91	5,011,843
Salford City Council	6 Months	2,000,000			4,887	91	2,004,887
London Borough of Harrow	6 Months	5,000,000			12,466	91	5,012,466
Thurrock Council (Unitary)	1 year		5,000,000		3,255	24	5,003,255
Surrey County Council	6 Months		5,000,000		1,123	10	5,001,123
		29,450,000	10,451,193	(12,450,000)	58,445		27,509,737

Bolsover District Council

Executive

16th September 2019

<p>Strategic Risk Register and Partnership Arrangements</p>
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This report is public

Report of the Portfolio Holder - Finance & Resources

Purpose of the Report

- To update Members concerning the current position regarding Risk Management and Partnership Arrangements and to seek approval for the revised Strategic Risk Register as at 31st March 2019, as part of the suite of Finance, Performance and Risk reports.
- To seek approval for the Joint Strategic Director – People, to undertake a comprehensive review of the Council's Risk Management Framework.

1 Report Details

Background

- 1.1. The Council's Strategic Risk Register has been developed with consideration to the strategic and operational risks which have been identified by Elected Members and Officers as part of the Council's risk, service management and quarterly performance arrangements.
- 1.2. 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 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 arrangements of the Council. From a Governance perspective the effective operation of Risk Management is 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 helps enable a fully informed decision to be made, and helps 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 ensuring the organisation has a good awareness of its overall risk exposure, whilst helping determine an appropriate level of financial reserves.

The Strategic Risk Register

- 1.3. The revised Strategic Risk Register as at 31 March 2019 is set out in **Appendix 1** for consideration 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 remove any risks that have been resolved to maintain a focus on current risks.
 - To revisit risk scores assessments and ensure that appropriate mitigation remains in place.
- 1.4. Overall a key theme 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 and of ensuring that the Council mitigates the risk of a catastrophic event or service failure impacting upon our community. This objective needs to be secured against a background of both declining and less certainty concerning financial resources. Allied to the financial position local authorities are faced with, significant legislative change impacting upon Housing, Planning, the welfare system, devolution and finance. These developments are anticipated 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.
- 1.5. During the preparation of the 2018/19 Annual Governance Statement the key issues highlighted were the continued uncertainties associated with Brexit, failure of the Local Plan to progress to submission stage and to be found sound at independent examination and the ability to recruit and retain appropriately qualified staff. In addition, in light of the level of savings that are needed to be identified over the period of the current MTFP, concerns were reiterated regarding the challenges in respect of securing these savings against a background in which some services were experiencing increased pressures as a result of other agencies withdrawing services. The uncertainties arising from Brexit and legislative changes are incorporated within the same Strategic Risk (Risk 1) as outlined in **Appendix 1**. The issue of the loss of key staff and the difficulties being experienced in finding suitable replacements continues to be a widespread concern expressed by managers. This issue already featured within the Strategic Risk Register and is detailed as Strategic Risk 5 within **Appendix 1**, while the issue of financial pressures is covered by Strategic Risk 2 within **Appendix 1**. The failure of the Local Plan to progress to submission stage and to be found sound at independent examination is included in **Appendix 1** as Strategic Risk 11.

Partnership Arrangements.

- 1.6 As part of the Council's Risk Management Strategy (including Partnership Working) a range of strategic partnerships are reported on and monitored within the Council's quarterly report in respect of Risk. These are complementary to the Partnership Funding and Performance Monitoring reports prepared by the Partnership Strategy and Policy Team to Executive twice a year which sets out the range of partnerships it works directly with. While the Partnership Strategy and Policy Team co-ordinate the Council's work with these external organisations it should be noted that many of these have been assessed as being of relatively limited risk, with officers adopting a 'light touch' approach in developing appropriate working relationships.
- 1.7 While there will invariably be an overlap between the two reports, this report will focus on what might be termed as the Council's strategic partnerships. These are as follows:
- The relationship with the North Midlands authorities (Derbyshire and Nottinghamshire) and Sheffield City Region in progressing the economic development and devolution agenda.
 - The strategic alliance with North East Derbyshire District Council which is central to the transformation agenda of delivering services at lower costs whilst enhancing service resilience.
 - Arrangements with Derbyshire County Council amongst others to secure aligned services across the public sector in areas such as health and economic development.
 - The Community Safety Team and associated statutory partners including the Police.
- 1.8 Although the Partnerships outlined above are very different in terms of scope and working arrangements they all have in place formal governance arrangements between the partners, supported by appropriate internal governance arrangements which cover performance, finance and risk. Appropriate approvals have been agreed through the Council's formal committee arrangements, with partnership issues and developments being considered as is required within this Council's constitution. The arrangements in place are intended to be both risk based and proportionate to the risk exposure of this Council.
- 1.9 The risks facing the Council are many and varied, the approach to managing those risks should be applied within all decision making processes to one degree or another. The risks facing the Council have, do and will change over time – some will continually change. The approach to risk management too should be continual and the risks and approach to managing them should be reviewed regularly. It is proposed therefore, that a comprehensive review of the Council's Risk Management Framework is undertaken to ensure that the continued effective and systematic management of risk is achieved.

2 Conclusions and Reasons for Recommendation

- 2.1 The Strategic Risk Register is intended to highlight those areas where the Council needs to manage its risks effectively. One of the key purposes of this report is to set out the risks that have been identified (see Appendix 1) and to encourage both Members and Officers to actively consider whether the Strategic Risk Register and

supporting Service Risk Registers appropriately cover all of the issues facing the Council. The section of Partnerships serves to highlight the extent of these working arrangements, together with the mechanisms which are in place for their successful management.

Reasons for Recommendation.

- 2.2 To enable Executive to consider the risks identified within the Strategic Risk Register / Partnership Arrangements in order to assist in maintaining effective governance arrangements, service and financial performance.

3 Consultation and Equality Impact

Consultation

- 3.1 There are no issues arising from this report which necessitate a formal consultation process.

Equalities

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

4 Alternative Options and Reasons for Rejection

- 4.1 Under the relevant good practice and to facilitate the development of robust managerial arrangements the Council is required to prepare a Strategic Risk Register as part of its risk management framework. This report is in part intended for Members and Officers to consider whether the Council has adopted an appropriate approach to its management of risk and partnerships. Given that this report is part of the approach to help ensure the effective management of risk / partnerships there is not an alternative to the presentation of a formal report.

5 Implications

5.1 Finance and Risk Implications

Financial

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

Risk

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

5.2 Legal Implications including Data Protection

- 5.2.1 There are no legal or data protection issues arising directly out of this report.

5.3 Human Resources Implications

5.3.1 There are no human resource issues arising directly out of this report.

6 Recommendations

- 6.1 That Executive approves the Strategic Risk Register as at 31st March 2019 as set out in **Appendix 1**.
- 6.2 That Executive approves the Joint Strategic Director – People, to undertake a comprehensive review of the Council's Risk Management Framework.

7 Decision Information

Is the decision a Key Decision? A Key Decision is an executive decision which has a significant impact on two or more District wards or which results in income or expenditure to the Council above the following thresholds: BDC: Revenue - £75,000 Capital - £150,000 <input type="checkbox"/> NEDDC: Revenue - £100,000 <input type="checkbox"/> Capital - £250,000 <input type="checkbox"/> <input checked="" type="checkbox"/> Please indicate which threshold applies	No
Is the decision subject to Call-In? (Only Key Decisions are subject to Call-In)	No
Has the relevant Portfolio Holder been informed	Yes
District Wards Affected	None directly
Links to Corporate Plan priorities or Policy Framework	All

8 Document Information

Appendix No	Title
1	Strategic Risk Register as at 31 st March 2019
Background Papers (These are unpublished works which have been relied on to a material extent when preparing the report. They must be listed in the section below. If the report is going to Cabinet (NEDDC) or Executive (BDC) you must provide copies of the background papers)	
Service Plan Risk Registers	
Report Author	Contact Number
Lee Hickin – Joint Strategic Director People	7218

STRATEGIC RISK REGISTER SUMMARY AS AT: 31st MARCH 2019

	Risk	Consequences	Risk Score (Likelihood x Impact)	Risk Score (Likelihood x Impact) Taking into Account Current Controls	Risk Owner / Lead Officer
1	Government Legislation / Parliamentary uncertainty / impact of Brexit / adverse external economic climate has an accelerating impact on Council (poor financial settlement), or upon the local economy, to which Council is unable to adopt an appropriate change of Strategic direction.	<ul style="list-style-type: none"> Unable to deliver a package of services that meet changing local needs and aspirations. Reduced influence over delivery of local services. Unable to effectively support local communities. Increased demands on Council services at a time when Council resource base is reducing. 	4,4, 16	3,4 12	SAMT / Political Leadership
	<ul style="list-style-type: none"> The Council is outward looking and actively works to understand proposed changes and the approaches that might be adopted to mitigate any adverse impacts of these. The Council has effective political and managerial (governance) arrangements in place to manage change. Appropriate levels of financial reserves / investment funding are maintained to fund strategic shifts in service delivery. Effective engagement with staff to ensure they embrace necessary change. 				
2	Failure to deliver a balanced budget in line with the MTFP, at a time when	<ul style="list-style-type: none"> Impact upon ability to deliver current level of services. 	4,4 16	3,4 12	Political Leadership / Chief Executive /

	the Council's reserves are limited to 'adequate' levels.	<ul style="list-style-type: none"> • Unable to resource acceptable levels of service. • Significant adverse reputational Impact. 			Chief Financial Officer / SAMT
	<ul style="list-style-type: none"> • The Council has effective financial and wider management arrangements in place to ensure budget / service delivery arrangements are robust. • The current MTFP indicates challenging but manageable savings targets. A key risk is that under 'localism' there is less certainty concerning income (NNDR, NHB). • The Council has 'adequate' financial reserves in place to cushion against any loss of income for a period of at least one financial year. 				
3.	The Council is affected by a operational service failure which has a major impact upon the local community, this impact being reflected in the Council's sustainability and reputation. Failure could arise from services – inc Data Protection – failing to adhere to best practice. Resulting in a potential 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"> • A significant service failure associated with a major impact on the local community, leading to a wider detrimental corporate impact. • Deterioration in services to the public, potentially a major initial impact upon a local resident or a group of local residents. • Significant staff and financial resources required to resolve position, impacting on other services. • A major service has its operating capacity significantly impact and is required to introduce major reform in its approach to service delivery. 	3,5 15	2,5 10	SAMT / Assistant Directors

	<ul style="list-style-type: none"> • The Council has appropriate managerial arrangements in place supported by staff recruitment and training to ensure these risks are effectively managed. • The Council has a Performance Management Framework in place to help ensure that services are delivered in line with good practice and industry standards. On going monitoring and regular reporting will help ensure that any emerging issues re service performance are effectively identified and resolved at the earliest possible opportunity. 				
4	It becomes increasingly difficult to recruit to key posts or to replace key staff who leave, (for example, qualified environmental health and planning officers). Staff morale is adversely affected by as a result of pace of change, tightening financial circumstances or external circumstances.	<ul style="list-style-type: none"> • Deterioration in services to the public. • Increasing inefficiencies in service provision. • Weakening of Internal Control arrangements. • Increased pressure on other members of staff. 	3,4 12	2,4 8	SAMT / Asst Director HR
	<ul style="list-style-type: none"> • The Council has effective communication and working with staff as validated by securing 'silver' accreditation at IIP. • There is sufficient funding to bring in agency staff where required to maintain service performance. • At this stage the problematic areas are those where there are national 'shortages'. In the majority of areas it has proved possible to recruit appropriate replacement staff. • Appropriate training budgets are in place to ensure that staff receive necessary training to maintain service quality. • The Council will look at introducing appropriate apprenticeship / training schemes in order to develop employees to meet our requirements. 				

5	<p>Delivery of the Council's Agenda is dependent upon effective delivery of both a number of major initiatives / projects and implementing a range of new government reforms whilst maintaining service quality, which may overstretch our reduced organisational capacity.</p>	<ul style="list-style-type: none"> • New initiatives are not delivered in a cost-effective manner. • Failure to maintain / improve services in line with local aspirations. • Failure to generate the savings required to balance the budget. • Financial savings measures weaken Governance / Internal Control arrangements. • Service deterioration / failure arising from capacity issues. 	3,4 12	2,4 8	SAMT / Chief Executive
	<ul style="list-style-type: none"> • The Council has effective prioritisation and project management arrangements in place to ensure resources are directed at key objectives. • The Council has made efforts to ensure effective use of employees by utilising shared services to protect service resilience, by maintaining appropriate training arrangements and by investing in transformational ICT projects. • The Council has a robust performance management framework intended to highlight emerging issues. 				
6	<p>Emergency Planning and Business Continuity arrangements fail to meet required standards when tested by flu pandemic, natural disaster (flood), etc.</p> <p>The Council is exposed to cyber crime with a loss of data / systems resulting in a potential inability to provide</p>	<ul style="list-style-type: none"> • Inability of Council to provide services as a consequence of a severe catastrophic external event (e.g. flooding, major terrorist incident, flu pandemic, fire). • Failure of IT infrastructure, leading to inability to effectively operate services and to safeguard income streams. 	3,4 12	2,4 8	Chief Executive / SAMT

	core services and incurring reputational damage.	<ul style="list-style-type: none"> Business Continuity Plans prove ineffective in practice. 			
	<ul style="list-style-type: none"> The Council works in partnership with a range of partners on its Emergency Planning arrangements to ensure that we operate in line with best practice. There is an annual 'desktop' scenario to test officers understanding of the arrangements and that they are fit for purpose in a realistic 'trial' scenario. All sections have Business Continuity plans in place which identify key risks and mitigation. Corporate IT systems have been tested against Industry standards for Business Continuity. The Council works in partnership with a range of other agencies that should be able to provide support in the event of the Council's own procedures failing to be effective. The Council has put in place industry standard measures to minimise the risk of cyber crime. 				
7	Lack of strategic direction from Members / Corporate Management, external partners change Strategic direction.	<ul style="list-style-type: none"> Failure to deliver high quality services which address national and local priorities. Deterioration in Governance Arrangements. Refocus of current services necessary with associated disruption. 	3,4 12	2,4 8	Chief Executive / Political Leadership Team
	<ul style="list-style-type: none"> There are appropriate structured training arrangements in place for both Members and Officers. The Council is an outward looking organisation where both Members and Officers are encouraged to network with peer groups to ensure a developed awareness of the broader environment within which we operate. 				
8	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"> Adverse Impact upon Service Quality. Failure to deliver high quality services which address national and local priorities. Significant adverse reputational impact. 	3,4 12	2,4 8	Chief Financial Officer / Monitoring Officer

	<ul style="list-style-type: none"> • The Council has appropriate managerial arrangements in place supported by staff recruitment and training to ensure these risks are effectively managed. • The Council has an active Standards Committee and Audit Committee which provide independent review of the Governance arrangements in the Council. • The Annual Governance Report sets out an evidence based structured assessment of the operation of the Council's governance arrangements. 				
9	<p>HS2 - Without considerable environmental mitigation measures, HS2 will have a significant impact on the visual amenity of the district, disruption to businesses, home owners and communities. It also has the potential to sterilise areas of development due to uncertainty. Impact on the motorway and main arterial routes during construction.</p> <p>Following the release of the Working Draft Environmental Statement, potential impacts and land take have increased. Therefore the impact score has been adjusted to reflect this.</p>	Without considerable environmental mitigation measures will have a negative impact on the visual amenity of the district, disruption to businesses, home owners and communities. It also has the potential to sterilise areas of development due to uncertainty.	4,5,20	4,5,20	SAMT / Political Leadership
	<ul style="list-style-type: none"> • CEX and senior management actively engaged with HS2 staff to discuss proactive business mitigation measures. • Political leadership working with relevant community groups and agencies lobbying for enhanced mitigation measures. • Contributing to the East Midlands HS2 growth strategy and also that we part of the mitigation study 				

10	<p>Failure to have in place robust, comprehensive and up to date policies and procedures for safeguarding children and vulnerable adults.</p>	<ul style="list-style-type: none"> • Profile of safeguarding is poor • Staff and members do not know what safeguarding is and their role within it • Staff and members do not know how to spot the signs • Staff and members do not know how to report it and to who? • Lack of public confidence in Council policies plans and staff • Reputational damage • Potential significant harm to individuals resulting from abuse and neglect of Children and/or Vulnerable Adults possibly leading to personal harm, injury and death 	4,4, 16	2,4, 8	SAMT/Political Leadership
	<ul style="list-style-type: none"> • The Council has in place up to date policies for safeguarding both Children and Vulnerable Adults. These policies are aligned to DCC policies which in turn are in line with legislation, regulation and statutory duties placed on Local Authorities. • The Council has in place and maintain systems of working practice to safeguard children and vulnerable adults at Council activities and those who receive Council services. • Staff recognised as appropriate to do, are DBS/CRB checked • All staff receive mandatory safeguarding training • Safeguarding is widely promoted and embedded throughout the organisation with all staff being issued with a wallet sized 'safeguarding quick reference guide' which details what to look out for and what to do • The Council has an internal safeguarding group which meets quarterly which has representation from all service areas of the Council. • The Council host and Chair the Countywide Derbyshire Safeguarding Leads Sub Group of the Derbyshire Safeguarding Childrens Board and Derbyshire Safeguarding Adults Board • The Council are represented on both the Derbyshire Safeguarding Children's Board (DSCB) and the Derbyshire Safeguarding Adults Board (DSAB) 				

11	Failure of BDC Local Plan to be found sound at independent examination.	<ul style="list-style-type: none"> • Potential Government intervention • Undermining the local plan • Reputational damage • Loss of control of planning and development 	4,4, 16	2,4, 8	SAMT / Political Leadership
	<ul style="list-style-type: none"> • At an advanced stage in preparation of the Local Plan. Public consultation on the main document took place in May 2018, and submitted at the end of August 2018. • Successfully avoided Government intervention in the plan-making process and it is important that the revised timetable continues to be met. • The Council has taken reasonable steps in the preparation of the Plan to ensure that it is based on sound evidence and meets procedural and legal requirements. This has included taking external legal advice and securing an advisory visit with the Planning Inspectorate. 				

Bolsover District Council

Executive

16th September 2019

Payment Cards Industry Data Security Standards Compliance

Report of the Portfolio Holder – Corporate Governance

Purpose of the Report

- To raise Executive awareness of potential cost and service implications in progressing towards Payment Cards Industry Data Security Standards (PCI-DSS) compliance.
- For Executive to review options and seek approval for measures to facilitate progress towards compliance with the PCI-DSS.

1 Report Details

Background

- 1.1 The PCI Data Security Standard was originally formed by Visa and MasterCard to bring together their individual compliancy programs. Three other payment brands, American Express, Discover and JCB then joined up which lead to the PCI SSC (Payment Card Industry Security Standards Council) being formed as an independent industry standards body providing oversight of the development and management of Payment Card Industry Security Standards on a global basis.
- 1.2 The PCI DSS covers the security of all entities that store, process and/or transmit cardholder data including; merchants, processors, acquirers, issuers and service providers as well as all other entities that store, process or transmit cardholder data. The PCI DSS is intended to encourage and enhance cardholder data security and facilitate the broad adoption of consistent data security measures globally. This is built upon 12 requirements as shown in the table below; each one consisting of over 240 individual requirements (v3.2).

Control Objectives		Requirements
Build and Maintain a Secure Network	1.	Install and maintain a firewall configuration to protect cardholder data.
	2.	Do not use vendor-supplied defaults for system passwords and other security parameters
Protect Cardholder Data	3.	Protect stored cardholder data.
	4.	Encrypt transmission of cardholder data across open, public networks
Maintain a Vulnerability Management Programme	5.	Use and regularly update anti-virus software or programs
	6.	Develop and maintain secure systems and applications
Implement Strong Access Control Measures	7.	Restrict access to cardholder data by business need to know.
	8.	Assign a unique IT to each person with computer access.
Regularly Monitor and Test Networks	9.	Restrict physical access to cardholder data.
	10.	Track and monitor all access to network resources and cardholder data.
Maintain an Information Security Policy	11.	Regularly test security systems and processes
	12.	Maintain a policy that addresses information security for personnel.

- 1.3 A breach of compliance involving the loss of card holder data can result in:
- Significant financial penalties ranging from £1000's to £100,000's, enforced by the five payment card brands: Visa, MasterCard, American Express, JCB International and Discover.
 - In addition, related data breaches enforced by GDPR legislation
 - Damage to organisations reputation
 - Loss of customer trust
- 1.4 In order to reduce the scope of PCI and therefore our exposure to risk, the Council should work towards ensuring all risks associated with card payments are reduced as far as is practical.
- 1.5 A risk management approach must be taken, key elements are:
- Identify all known risks and record them on a risk register
 - Develop a risk management program to determine the risk and identify solutions to reduce risk
 - Implement / work towards solutions to mitigate the risk
 - Continue to monitor and review
- 1.6 The Council operates three different card payment channels; e-commerce, card-present and card-not-present. Approximate transactions over a 12 months period (1.4.18 – 31.3.19) is as follows:

- Automated Telephone transactions is approx. 12,693 per year,
- Operator Assisted Telephone transactions is approx. 20,681 per year,
- E-Commerce transactions is approx. 28,025 per year,- Pin Entry Device transactions (kiosks) is approx. 15,696 per year.

With the total number of card transactions being approx. 77,095 per year, the Council is classed as a level 3 merchant which means a self-assessment questionnaire is completed to certify compliance.

1.7 A PCI Working Group was convened to fully consider the implications to the Council. To date, this group has:

- Commissioned Sec-1 Ltd Security Testing to undertake a gap analysis to identify the key areas to address.
- Received presentations from payment providers to develop understanding possible solutions for card not present payments
- Undertook corporate assessment during 2018 to identifying all non-compliance areas
- Site visits have been undertaken with other Councils to establish how they are addressing compliance.

1.8 At this point in the journey towards compliance there are two key areas that require addressing by the Council:

- Future use of payment kiosks across the contact centres
- Risks inherent within the current cardholder not present payment processes

Payment Kiosks

1.9 As of 1st January 2020, regulations are changing in relation to cardholder present electronic payments. All point of sale (POS) terminals must offer contactless functionality. Therefore the existing payment machines are non-compliant.

1.10 In addition, the current supplier, Banking Automation, will no longer support the payment machines beyond 31st December. By continuing to take card payments through the payment machine after this date the authority would be at risk of non-compliance. Also, due to being unsupported, the machine will not be updated to receive the new £20 note in 2020.

The forecast cost is in the region of £15,000 for a compliant payment machine. Therefore, total forecast cost for replacement is £60,000.

1.11 The usage of the kiosks across the contact centres can be seen in the tables below:

Table 1: Number of transactions

Contact Centre	2016/17	2017/18	2018/19
Bolsover	16,434	14,812	13,498
Shirebrook	22,297	19,475	17,562
South Normanton	16,423	14,369	12,888
Clowne	18,689	16,062	13,702
Total	73,843	64,718	57,862

Table 2: Value by payment type:

Contact Centre	2016/17	2017/18	2018/19
	£	£	£
Bolsover			
Cash	769,712.45	675,559.85	636,502.18
Cheque	135,894.54	125,704.92	127,249.41
Card	455,792.76	424,547.95	406,427.13
Shirebrook			
Cash	1,190,292.74	987,364.14	930,693.24
Cheque	156,530.67	122,475.53	59,815.16
Card	646,091.12	609,619.41	612,031.41
South Normanton			
Cash	948,972.68	846,738.11	766,190.07
Cheque	140,390.38	128,357.05	106,310.32
Card	485,623.27	473,407.10	463,521.62
Clowne			
Cash	754,127.66	678,269.92	632,246.68
Cheque	331,124.44	267,088.43	258,134.44
Card	456,246.30	432,516.27	429,825.46
Total	6,470,799.01	5,771,648.68	5,428,947.12

Average Contact Centre monthly value by type:

- Cash: £61,000 per month
- Cheque: £11,500 per month
- Card transactions: £40,000 per month

1.12 To address the compliance issue it is recommended that Executive considers three options:

Option 1 - Replace payment kiosks at the Contact Centres with a like for like kiosk taking cash and card payments.

- Cost of **£58,144** for four new kiosks and **£6,340** annually for support and maintenance.

Option 2 – Replace payment kiosks at the contact centres with card only payment devices

- Cost of **£47,824**, or **£41,416** (wall mounted) for four new kiosks and **£4,470** annually for support and maintenance.

Option 3 – Move to cashless operation at all Contact Centres

- Aligns with strategic transformation aims
- Avoids significant expenditure as with options 1 and 2
- Cost saving on cash handling of **£22,000** per annum

1.13 In addition to the payment kiosk, irrespective of Executive's preferred option, customers will continue to have access to alternative methods of payment such as:

- 24 hours a day via the website
- 24 hours a day automated telephone payment line (Council Tax, Rents, Sundry Debtors, NNDR, Overpayments only)
- At any Post Office or PayPoint outlet by cash or debit card using your Council Tax (This is an option that is not promoted and only for customers who do not live near a contact centre. Customers have a payment card and can only pay for council tax. It is an expensive method of payment.)
- Telephone card payments taken during opening times by the Customer Service Advisors
- Direct debits and Standing Order arranged through a bank with payment dates of the customer's choice

Customer Not Present payments

1.14 Our current telephone payments processes for Customer Not Present card payments are currently not PCI-DSS compliant. Currently an officer taking payments must enter the card details on behalf of the customer into our payments solution. To mitigate risks inherent in this process, it is necessary to remove the exposure of the officer from the customer's card details, and remove these details from our network

1.15 To address the compliance issue three options are proposed:

1. Civica, our payments solutions provider, have an 'off the shelf' end call solution called CallSafe, the revised process would be:
 - a) Officer captures customer details up to the stage of the card detail entry, at which point:
 - b) To help safeguard the customers card, the system provides a four digit number and the operator transfers the call to an automated service to take their card details
 - c) The customer enters the four digit pin, the automated service finds the transaction details and speaks the amount to be paid. The card details (card number, start date etc.) are entered by the customer using a telephone keypad.
 - d) The basics of this system is that the call is transferred to the Civica Hosted Data Centre where ATP completes the payment.
 - e) The approximate cost of this solution is an initial £7,000 implementation fee, an application license fee of £18,000 and annual hosting charges of £4,000.
2. Civica also have a mid-call solution in partnership with PCI Pal which requires no changes to the current process and offers Contact Centre Advisor support to the customer throughout the process. This option is currently under discussion with both parties to ascertain ICT requirements, options available and costings. Indicative cost to date are initial £15,340 implementation fee, an application license fee of £18,000 and annual hosting charges of £17,745.

Consideration needs to be given to ensure that all incoming calls that could take a payment come via a line that diverts to PCI Pal. The more numbers we divert to PCI Pal (for example council tax, MOT, etc), the more cost we will incur. Every call that goes through PCI pay will incur a charge. So, if we divert 2424 to PCI Pal, all calls to 2424 will have an associated charge, whether or not a payment is made.
3. An extension of the current Automated Telephone Payments (ATP) solution. Currently, the Council utilise an ATP to take telephone payments for a number of funds. This solution would involve engaging Civica to implement additional payment fund types and some work from ICT, Customer Services and Finance to implement. It is understood that this would provide a similar outcome as the Civica End call solution (1. above) but at less cost. The revised process would be similar to that outlined above. The advisor will then need to log into the reporting system to check the payment has successfully processed and obtain the reference number. This solution would require further testing from both a technical and customer service perspective but has the risk of being inefficient and increase the likelihood of human error.

Essential upgrade of current online payment provision

- 1.16 Not directly related to PCI compliance but a consideration to support secure and accessible online transactions, the current Webpay Public online solution (payments

via the Council website) has been in use for 8 years and Members should be aware that Civica have moved this solution to their 'end of service' phase. This product is based on technology that is 15 years old, and is not mobile friendly. The 'end of service' phase means that Civica will continue to provide support and critical security updates at the moment, but will not be investing any further development in it. The next stage will be the solution becoming unsupported and this presents unacceptable security risks.

- 1.17 The recommendation is to move to the latest mobile commerce solution (EStore Lite) that would improve the usability and accessibility to customers and is provided by Civica and compatible with existing systems. It is fully integrated with the CivicaPay solution and utilises existing validations and automated back office processing. It also allows mobile page rendering of web pages for all mobile devices and applications.
- 1.18 The approximate cost of the EStore Lite solution is £30,000 for the license application and implementation fee, together with annual hosting charges of £4,000.

2 Conclusions and Reasons for Recommendation

- 2.1 The report aims to raise Executive's awareness of an emerging compliance issue and related upgrades that could result in significant additional cost to the Council. Officers will continue to develop the solutions and will present a final proposal in a further report close to the end of the calendar year.
- 2.2 Whilst this work progresses, Executive should consider options to reduce the amount of cash taken in each Contact Centre, working with customers to encourage alternative methods of payment.
- 2.3 Resource will be committed to progress investigation with regards to the Civica 'PCI Pal' solution. Process changes may be required in relation to service areas outside of the Contact Centre taking card payments.
- 2.4 The recommendations seek to provide a practical and economical solution to ensure PCI DSS compliance, whilst maintaining or enhancing the customer experience and trust in the Council when it comes to personal and sensitive data.

3 Consultation and Equality Impact

- 3.1 Consultation has initially been undertaken with the relevant departments such as ICT, Finance and Customer Services.
- 3.2 Procurement and Legal will be engaged prior to any procurement exercise.

4 Alternative Options and Reasons for Rejection

- 4.1 At this time the alternative options whilst not being actively pursued have not been ruled out. A further report will be provided to present the implication and progress of driving down demand for kiosk usage and future Cardholder Not Present solutions.

5 Implications

5.1 Finance and Risk Implications

- 5.1.1 No funding is required at this stage to support the implementation of the recommendations.

5.2 Legal Implications including Data Protection

- 5.2.1 In order to reduce the scope of PCI, organisations should work towards ensuring all risks associated with card payments are reduced as far as is practical.

This reports demonstrates that we are working towards practical solutions however, a breach could result in:

- Significant financial penalties ranging from £1000's to £100,000's, enforced by the five payment card brands: Visa, MasterCard, American Express, JCB International and Discover.
- In addition, related data breaches enforced by GDPR legislation
- Damage to organisations reputation
- Loss of customer trust

5.3 Human Resources Implications

- 5.3.1 Depending on the option which Executive choose to pursue regarding the kiosks, there may be Job Evaluation implications through the removal of cash handling from some roles. Whilst this may trigger a review, 'Responsibility for Finance' is one factor in the process and it doesn't necessarily mean a change in pay grade. As with all HR matters of this type, any review will follow the relevant policy and Union consultation will be undertaken.

6 Recommendations

- 6.1 That Executive:

- (i) note the content of the report and acknowledge potential cost implication outlined within the report.
- (ii) consider the options in 1.12 and decide on a preferred option.
- (iii) receive a further report on proposals for a future payment strategy.

7 Decision Information

Is the decision a Key Decision? A Key Decision is an executive decision which has a significant impact on two or more District wards or which results in income or expenditure to the Council above the following thresholds: BDC: Revenue - £75,000 <input type="checkbox"/> Capital - £150,000 <input type="checkbox"/> NEDDC: Revenue - £100,000 <input type="checkbox"/> Capital - £250,000 <input type="checkbox"/> <input checked="" type="checkbox"/> Please indicate which threshold applies	No
Is the decision subject to Call-In? (Only Key Decisions are subject to Call-In)	No
Has the relevant Portfolio Holder been informed	Yes
District Wards Affected	All
Links to Corporate Plan priorities or Policy Framework	All

8 Document Information

Appendix No	Title
Background Papers (These are unpublished works which have been relied on to a material extent when preparing the report. They must be listed in the section below. If the report is going to Cabinet (NEDDC) or Executive (BDC) you must provide copies of the background papers)	
Sec-1 Ltd Report: Cardholder Data Environment Mapping – Oct 18	
Report Author	Contact Number
Head of Partnerships and Transformation	2210

Bolsover District Council

Executive

16th September 2019

Animal Welfare Policy

Report of the Portfolio - Street Scene and Environmental Health

This report is public

Purpose of the Report

- To consider approval of the Council's Animal Welfare Policy.

1 Report Details

- 1.1 Bolsover District Council is responsible for the licensing and inspection of Animal Welfare establishments (Pet Shops, Boarding Kennels and Catteries, Home Boarding of Dogs, Doggy Day Care, Dog Breeding, Riding Establishments, Keeping or training animals for exhibition, Keeping of Dangerous Wild Animals and Zoos) across the District.
- 1.2 On 1st October 2018 the **Animal Welfare (Licensing of Activities Involving Animals) (England) Regulations 2018** came into force and replaced the previous legislation applicable to:
 - Pet Shops
 - Kennel / Cattery Boarding of Dogs and Cats
 - Home Boarding of Dogs
 - Breeding of Dogs
 - Riding Establishments
 - Keeping or training animals for exhibition
- 1.3 This new legislation is designed to raise standards and promote consistency in Animal Welfare, and to ensure that those who participate in any of the above Trades "**where there is a view to make financial gain; or where a commission or fee is taken**" are licensed and monitored.
- 1.4 Under the new laws, animal boarding businesses (including home boarders and day carers), dog breeders, pet shops riding establishments and keeping or training animals for exhibition will be covered under a single type of licence from that date. This Animal Activity Licence has nationally-set licence conditions for businesses providing animal-related services, and can be granted for periods of 12 months to 3 years.

- 1.5 Those businesses operating under licences issued prior to 1st October 2018 will be able to continue to do so until the expiry date as shown on their licence. All applications to renew licences will be made under the new legislation, and as such deemed to be “**new applications**”.
- 1.6 Applications made by businesses from 1st October 2018 for an Animal Activity Licence will need to comply with the mandatory conditions of the new legislation, and will be assessed by way of an inspection before the new licence is granted, in order to ensure that the businesses are compliant with the mandatory conditions.
- 1.7 The policy sets out the legislative framework, the fees and charges which have already been approved in Delegated Decision DD/046/18PC, the application process, the inspection process, and how premises with lower star ratings can appeal these decisions.

2 Conclusions and Reasons for Recommendation

- 2.1 It is considered good practice to have a policy which sets out how the Council will inspect and licence establishments under these new regulations.
- 2.2 The proposed policy is fit for purpose, follows the best guidance contained within The Animal Welfare (Licensing of Activities Involving Animals) (England) Regulations 2018 Procedural guidance notes for local authorities October 2018.

3 Consultation and Equality Impact

- 3.1 The draft policy has been subject to a full public consultation. Current licence holders and relevant agencies/organisations were consulted via the Council’s website and by direct mailing. The list of consultees can be found at Appendix 2. In addition consultation was also carried out with the Council’s Healthy, Safe, Clean and Green Communities Scrutiny Committee.
- 3.2 A total of 3 responses were received to the direct mailing, 2 of these were concerned with premises being inspected, 1 concerned chasing a zoo licence but none of these made express comments were made
- 3.3 We have not received any comments from members of the public regarding the consultation, but did receive one email regarding a suspected home boarder trading without a licence which is being investigated.
- 3.4 An equality impact assessment has carried out and approved.

4 Alternative Options and Reasons for Rejection

- 4.1 The policy is considered necessary so that members of the public are aware of the standards and how we operate and so that animal licensed premises are aware of what is expected of them.

5 **Implications**

5.1 **Finance and Risk Implications**

- 5.1.1 There was a minor cost associated with carrying out the consultation, but this has been accommodated from existing budgets.

5.2 **Legal Implications including Data Protection**

- 5.2.1 Having a policy which is up to date and compliant with the legislation, and fit for purpose and clearer to Applicants could assist in implementing the new regulations.

5.3 **Human Resources Implications**

- 5.3.1 The introduction of this legislation has had ongoing implications to workloads due to the application and inspection regime. It is essential that staffing levels of suitably qualified inspectors and support staff are provided and then maintained to ensure these regulations are complied with.

6 **Recommendations**

- 6.1 That Executive approve and adopt the Animal Welfare Policy.

7 **Decision Information**

Is the decision a Key Decision? A Key Decision is an executive decision which has a significant impact on two or more District wards or which results in income or expenditure to the Council above the following thresholds: <i>BDC:</i> <i>Revenue - £75,000</i> <input type="checkbox"/> <i>Capital - £150,000</i> <input type="checkbox"/> <i>NEDDC:</i> <i>Revenue - £100,000</i> <input type="checkbox"/> <i>Capital - £250,000</i> <input type="checkbox"/> <input checked="" type="checkbox"/> <i>Please indicate which threshold applies</i>	No
Is the decision subject to Call-In? (Only Key Decisions are subject to Call-In)	No
Has the portfolio holder been informed	Yes
District Wards Affected	All indirectly
Links to Corporate Plan priorities or Policy Framework	All

8 Document Information

Appendix No	Title
1.	Bolsover District Council – Animal Welfare Policy
2.	List of consultees
Background Papers (These are unpublished works which have been relied on to a material extent when preparing the report. They must be listed in the section below. If the report is going to Cabinet (NEDDC) or Executive (BDC) you must provide copies of the background papers)	
<ul style="list-style-type: none"> The Animal Welfare (Licensing of Activities Involving Animals) (England) Regulations 2018 Procedural guidance notes for local authorities October 2018. 	
Report Author	Contact Number
Victoria Dawson, Solicitor (Contentious Team Manager)	Ext 2231
Helen Rawson, Senior Environmental Health Officer (Commercial)	Ext 7849



Animal Welfare and Licensing Policy

August 2019



We speak your language

Polish

Mówimy Twoim językiem

Slovak

Rozprávame Vaším jazykom

Chinese

我们会说你的语言

If you require this publication in
large print or another format
please call us on **01246 242424**

CONTROL SHEET FOR [policy title here]

Policy Details	Comments / Confirmation (To be updated as the document progresses)
Policy title	Animal Welfare and Licensing Policy
Current status – i.e. first draft, version 2 or final version	Draft V1
Policy author (post title only)	Senior /Environmental Health Officer
Location of policy (whilst in development) – i.e. L-drive, shared drive	NEED TO UPDATE
Relevant Cabinet Member (if applicable)	Councillor Deborah Watson
Equality Impact Assessment approval date	
Partnership involvement (if applicable)	
Final policy approval route i.e. Joint Strategic Alliance Committee, Cabinet/Executive/Council	Scrutiny Committee, Cabinet
Date policy approved	
Date policy due for review (maximum three years)	
Date policy forwarded to Improvement (to include on Intranet and Internet if applicable to the public)	

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ANIMAL WELFARE AND LICENSING POLICY

1. Introduction

1.1 Background

Bolsover District Council ("The Council") have responsibility for licensing all operators of businesses, also known as licence holders, where the activities of that business, relates to the care, sale, hiring, or exhibition of animals. It also includes the breeding of dogs, the keeping of dangerous wild animals and extends to the licensing of Zoos. These are defined as licensable activities.

When considering the granting of a license relating to a licensable activity, the contents of this policy, the appropriate legislation and guidance notes for conditions applicable to that licensable activity must be considered.

The Council is also the enforcing authority for those activities relating to animal welfare that are subject to the above licence process. Licensing, compliance and enforcement of the legislation will be the responsibility of the Environmental Health Commercial Section.

Legislative changes introduced on the 1st October 2018 will impact on how businesses and the Council's animal welfare licensing process interact in the future. At the heart of the legislation is a drive to raise the standards relating to animal welfare, but it also aims to reduce the legislative burden, and therefore costs, on those businesses meeting the higher standards of animal welfare care.

1.2 Scope

In setting out its policy the Council seeks to promote the following objectives -

- The protection and promotion of animal welfare standards
- The protection of staff and public safety
- The establishment of a professional and respected animal activities licensing regime.
- Access to a safe and effective service for all activities defined in the legislation involving animals
- The protection of the environment

The licensing of activities involving animals aims to protect the public, to promote animal welfare.

The licensing process includes inspection of establishments. For establishments arranging and / or boarding cat and dogs, selling animals, hiring out of horses, breeding dogs and exhibiting animals, the process also includes allocating a risk-based "Star Rating" to each establishment based on the findings at the inspection visit. This will enable the public to make an informed choice when selecting which establishment to use.

Its purpose therefore, is to ensure the operator is a fit and proper person, that any conditions applicable to the individual activity are being met, that welfare standards and management controls are in place and being maintained, so the animals are protected from harm.

1.3 Role of Animal Welfare Establishments – Operators/Licence Holder

The operators of animal welfare establishments have an important role to play not only in the licensing process, but by maintaining and improving standards at their premises ensuring the highest level of animal welfare protection as possible.

The level of compliance with the relevant licence conditions has a direct effect on the “Star Rating” allocated to the establishment, and therefore, the operator. In turn the “Star Rating” influences the duration of the licence and therefore the overall licensing cost to the operator as fewer licence fees need to be paid for a longer-term licence.

Responsibility for ensuring that the correct licence has been obtained and is kept up to date with the relevant local authority, falls to the licence holder or prospective licence holder.

In addition to the licence application and fee, the applicant is required to provide supporting documents to the Council. Failure to supply such documents may delay the process or may result in the application being refused.

The licence holder must apply to renew their licence at least 10 weeks before their current licence expires if they wish to continue to operate the licensable activity without a break.

1.4 Criminal Record Checks & Safeguarding

Before an application for a licence will be considered, the applicant (or the controlling mind and/or manager in the case of a business) must provide a current (less than 3 months old) Disclosure & Barring Scheme basic criminal disclosure.

Where the applicant is a company, any person with day to day control of that company or partnership (where appropriate) will be required to submit the information above.

If at any time the Council considers it appropriate to require a further DBS disclosure be provided the relevant individual must provide one, at their own expense, as soon as reasonably practical.

1.5 Best Practice Guidance

A number of guidance documents have been produced by DEFRA, aimed at assisting local authority officers and business operators interpret the legislation and what is needed in applying the relevant conditions to their particular licensable activities. They can be used by those who currently have a licence or wish to apply for one.

All guidance documents should be read in conjunction with the relevant legislation such as:

- The Animal Welfare (Licensing of Activities Involving Animals) (England) Regulations 2018
<https://www.legislation.gov.uk/ukdsi/2018/9780111165485>
- The Dangerous Wild Animals Act 1976 (as amended)
<http://www.legislation.gov.uk/ukpga/1976/38>
- Zoo Licensing Act 1981
<http://www.legislation.gov.uk/ukpga/1981/37>
- The Animal Welfare Act 2006
<http://www.legislation.gov.uk/ukpga/2006/45/contents>

1.6 **Departure from policy**

In exercising its discretion in carrying out its regulatory functions, the Council will have regard to this policy.

Notwithstanding the existence of the policy and any other relevant Council policy, each application or enforcement measure will be considered on its own merits. Where it is necessary for the Council to depart substantially from its policy, it will give the reasons for so doing and retain a record of the decision.

1.7 **Organisational arrangements**

The process for the licensing of animal welfare establishments includes not only the administrative process of the licence application and collection of the appropriate fee but also includes a physical inspection of the premises to verify compliance with welfare standards and management controls.

The inspecting officer will complete a relevant inspection pro forma and report.

For licence activities coming under the Animal Welfare (Licensing of Activities Involving Animals) (England) Regulations 2018, the inspection also informs the risk score and star rating allocated to the business and therefore the duration of the licence period.

All administration processes will be the responsibility of the Environmental Health Technical Support Section.

All inspections and enforcement will be the responsibility of the Environmental Health Commercial Section.

1.8 **Enforcement**

All enforcement activities will have due regard to the Animal Welfare legislative framework, any relevant guidance documents issued by central government (e.g. DEFRA) and the Councils Corporate Enforcement Policy.

https://www.bolsover.gov.uk/images/LIVE/C/CEP_Policy_Sep_2018.pdf

The Animal Welfare (Licensing of Activities Involving Animals) (England) Regulations 2018 not only introduce new enforcement powers and measures that officers may use to secure compliance of some licensable activities, such as variations and suspensions of licences, but also provide safeguards to applicants and operators if they feel aggrieved by the process or decisions of the Council.

Wherever possible, the Council will adopt a graduated, education approach to enforcement however, where necessary it will take appropriate and proportionate action against non-compliant businesses.

Special Vet Requirements

Where ever the legislation specifies that a veterinary inspection must be carried out then the charge for this will be the responsibility of the applicant/operator. In certain situations and at the discretion of the Council a veterinary inspector will be used and this will be charged to the licence operator/applicant where applicable. The veterinary inspector used will be at the discretion of the Council who may use an appointed Veterinary or enlist the help of a specialist in certain situations.

1.9 Delegated Powers and Authorisations

Those Officers of the Council, duly authorised under the Council's Scheme of Delegations, are responsible for the day to day operation of the Council's Animal Welfare Policy, and the enforcement of the legislation and conditions relating to the licensable activities.

In order for the Council to function and to inspect specified licensable activities, a "listed veterinarian" will be duly appointed to undertake such inspections and provide any necessary report as required by the legislation.

1.10 Fees

The Animal Welfare (Licensing of Activities Involving Animals) (England) Regulations requires to set any fees and charges on a full cost recovery basis. Regulation 13 explains the criteria that should be considered. The Council has used this guidance in setting the fees and charges for animal licensing but has also ensured that they are consistent with other enforcement activities where we charge for a service.

This reflects current government policy whereby none compliant businesses are required to contribute more towards enforcement cost.

The structure of the new licensing systems allows those businesses who are fully compliant to have a 3-year licence and therefore benefit from a saving over the period.

The setting of fees and charges in relation to animal welfare activities is the subject of delegated authority (see DD/046/18PC) giving powers to duly authorised officers to determine the fees and charges in respect of that function.

The fees and charges are published on the Animal Welfare pages of the Council's website.

1.11 Register of Animal Welfare Establishments

The Council holds a register of premises licensed under animal welfare legislation which is available on the Council's website.

The register will be amended to include the Star Rating allocated to premises licenced under The Animal Welfare (Licensing of Activities Involving Animals) (England) Regulations 2018.

2. Licensable Activities and Legislative Framework

2.1 The Animal Welfare (Licensing of Activities Involving Animals) Regulations 2018

The Animal Welfare (Licensing of Activities Involving Animals) Regulations provides the legal framework for the following licensable activities:

- Dog Breeding
- Boarding of Dogs in Kennels
- Home Boarding of Dogs
- Dog Day Care
- Boarding of Cats
- Selling Animals as Pets
- Hiring of Horses
- Keeping or Training of Animals for Exhibition

Along with the regulations, guidance documents for each licensable activity have been published. All of which are available on the Council's website.

2.2 Dangerous Wild Animals Act 1976

The Dangerous Wild Animals Act 1976 defines all the species that require the owner to have a licence to keep such animals. The controls required to keep individual species will vary dependant on that species.

The licensing process will include veterinary inspection of the animals. The contents of the veterinary officer's report will inform the decision-making process when considering such applications.

2.3 Zoo Licensing Act 1981

The Zoo Licensing Act 1981 specifically sets out the licensing process for Zoos. The licensing process will include extensive contributions by veterinary officers including veterinary inspection of the animals. The contents of the veterinary officer's report will inform the decision-making process when considering such applications.

2.4 **Licensing Process**

All licence applications include the following:

- Administration of licence and payment of fee
- Processing of licence application and an initial inspection of the premises
- Placing appropriate conditions on licence
- Issue of licence

The duration of the licence may be legislative specific, however, The Animal Welfare (Licensing of Activities Involving Animals) Regulations 2018 requires inspecting officers to produce a risk rating score and a star rating to every licensable activity. The star rating allocated will have a direct impact on the duration of the licence and therefore the costs to the operator and the enforcement burden placed on the licence holder. *See 2.5 below.*

The enforcement of Animal Welfare licences will generally include a secondary inspection of the business during the life of the licence, which may include a visit by the veterinary officer. Officers may also visit where the Council receives information or a complaint raising concern about animal welfare issues.

2.5 **Risk Scoring, Star Rating and Duration of Licences**

The officer must access the standards on animal welfare and the management controls in place, including previous compliance. The process includes ascertaining whether the business is meeting the minimum or higher standards and whether some minor failing exists. The officer completes a risk score matrix and the star rating will be determined from those findings. Where a veterinary inspection is required, the contents of the report will have a direct influence on the star rating allocated to that activity.

The star rating allocated will have a direct impact on the business, therefore it is in the interest of the operator to have and maintain the highest possible welfare standards and management controls in place.

Further information is available in the DEFRA document - Procedural guidance notes for local authorities, which is available on the Council's website.

2.6 **Competent Officers**

The Council must appoint suitably qualified and competent officers to undertake any inspections and enforcement activities in relation to animal welfare. This duty extends to the Council in respect of the appointment of suitable qualified and "listed" veterinary officers to undertake inspections of specified licensable activities.

3. **Grievance Safeguarding Processes**

The Council has in place a customer complaints and comments procedure which allows all users of the Council's services to raise concern about the way they have been treated by the Council.

The business operator has recourse to the complaints procedure (including taking the matter to the Local Government Ombudsman where appropriate) if they consider that a council service has not been properly delivered and in accordance with its policy.

In addition, the Animal Welfare (Licensing of Activities Involving Animals) Regulations 2018 contain a number of safeguarding measures where a business operator who is aggrieved by the process can appeal a rating or ask for a re-score, and to ensure business operators are treated appropriately.

3.1 Right to Appeal Star Rating

The business operator has the right to appeal the star rating allocated to their business through the licencing process.

The procedures on the right to appeal the star rating are available on the Bolsover District Council website, along with the appeal form.

3.2 Requesting a Star Rating Re-Score Visit

The business operator can request a re-score visit, where they have completed the work outlined in their inspection report.

There are no limits on the number of re-score visits a business operator can request.

The procedures on the requesting of a re-score visit are available on the Bolsover District Council website, along with the request form.

3.3. Right to Appeal – Suspensions and Variations

Where the business operator is aggrieved by the decision of the Council to vary or suspend an animal welfare licence, they have the right to appeal that decision, in the first instance to the Council and secondly to a first-tier tribunal.

The procedures for varying or suspending a licence are available on the Council's website.

3.4 Right to Appeal, First-tier Tribunal – Refusal, Suspensions, Variations and Revocations

Where the business operator is aggrieved by the decision of the Council to refuse, revoke, suspend or vary an animal welfare licence, they have the right to appeal that decision to a First-tier tribunal.

The procedures for refusing, revoking, varying or suspending a licence are available on the Council's website.

3.5 Transfer of Licence in the case of the Death of the Licence Holder

If a licence holder dies, the procedure in regulation 12 of the Animal Welfare (Licensing of Activities Involving Animals) Regulations 2018 applies. It allows the personal representative of the deceased to take on the licence provided that they inform the Council, within twenty-eight days of the death, that they are now the operators of the licensable activity. The licence will then remain in place for three months from the death of the former holder, or for the rest of the time it was due to remain in force, if that time period is shorter. The new licence holder should then apply for a new licence one month before the expiry of this new period.

Additionally, the Council can extend the three-month period by up to another three months, if requested by the representative and if they believe this time is needed to wind up the estate of the former licence holder.

If the personal representative does not notify the Council within 28 days of the death of the licence holder the licence will cease to have effect after those 28 days.

3.6 Transitional Arrangements

Any unexpired licences granted under the Pet Animals Act 1951, Animal Boarding Establishments Act 1963, Riding Establishments Act 1964 and Riding Establishments Act 1970 will continue in force for the rest of their terms under the relevant Act.

An unexpired licence granted under the Breeding of Dogs Act 1973 will continue in force for the rest of its term subject to the provisions of that Act, the Breeding of Dogs (Licensing Records) Regulations 1999, the Breeding and Sale of Dogs (Welfare) Act 1999 and the Breeding and Sale of Dogs (Welfare) Act 1999.

Any registration of a person under the Performing Animals (Regulation) Act 1925 will continue in force, for six months from the date on which the Animal Welfare (Licensing of Activities Involving Animals) Regulations 2018 came into force, i.e. 1 October 2018, so the previous registration will expire on 1 April 2019.

4. References and Access to Information

The Animal Welfare list of fees and charges, licence application forms, legislation and guidance documents referred to within this Policy can be found on the Animal Welfare page of the Council's website at;

[INSERT BDC LINK](#)

DEFRA Website

The Animal Welfare legislation and guidance documents referred to within this Policy can be found at;

http://www.cfsg.org.uk/_layouts/15/start.aspx#/The%20Animal%20Welfare%20Licensing%20of%20Activities%20Involvi

5. Glossary of terms

Within the application of The Animal Welfare (Licensing of Activities Involving Animals) (England) Regulations 2018 (the “Regulations”) - A **“licensable activity”** means one of five activities involving animals: selling animals as pets, providing for or arranging for the provision of boarding for cats or dogs (includes boarding in kennels or catteries, home boarding for dogs and day care for dogs), hiring out horses, dog breeding and keeping or training animals for exhibition.

For the purposes of this Policy a **“licensable activity”** will also include activities involving animals where such activities are licensable under the Dangerous Wild Animals Act 1976 (as amended) and the Zoo Licensing Act 1981

An **“operator”** means an individual who—

(a) carries on, attempts to carry on or knowingly allows to be carried on a licensable activity, or

(b) where a licence has been granted or renewed, is the licence holder;

“working day” means any day other than a Saturday, a Sunday, Christmas Day, Good Friday or a day which is a bank holiday in England and Wales under section 1 of the Banking and Financial Dealings Act 1971(c).

A **“listed veterinarian”** means a veterinarian who for the time being is listed as being authorised to carry out an inspection on the list of veterinarians drawn up by the Royal College of Veterinary Surgeons.

‘puppy’ means a dog aged less than 6 months

6. **Appeals and Complaints**

Any appeals in relation to enforcement action should be taken in accordance with the statutory appeals process as outlined in the relevant legislation. Where there is a right of appeal, we will ensure individuals/business are made so aware.

The Council has its own Compliments, Comments and Complaints procedure.

We want you to complain if you feel you've been poorly or unfairly treated by any of our services and we will do our best to put things right when things have gone wrong. Please be aware if you are unhappy with a decision, you should follow the appropriate appeal procedure, further information can be found from the appropriate service area. If you are unhappy with the *process* then you can make a complaint about us or any of our services by completing the on-line Compliments, Comments and Complaints form.

You can write to us at The Arc, High Street, Clowne, Derbyshire S43 4JY, call into any one of our Contact Centres and asking one of our employees to put your complaint in writing for you ,or call the Contact Centre on 01246 242424.

Animal Welfare Policy – Appendix 2

Consultee List

All premises currently licensed by BDC

Vets in the district or those to be used for inspections as follows:

- Park Hall Vets Park Hall Stables, Park Hall Road, Mansfield NG19 8QX
- Portland House Vets 53 Churchgate, Retford DN22 6PA
- Matt Smith Vets 6 Florence Rd, Clay Cross, Chesterfield S45 9ND
- The Charlesworth Veterinary Surgery 55-59 Broadleys, Clay Cross, Chesterfield S45 9JN
- The Charlesworth Veterinary surgery 11 Market Pl, South Normanton, Alfreton DE55 2BN
- Dronfield Veterinary Clinic Unit 5, 39 Pentland Rd, Dronfield S18 8ZQ
- Carrick Veterinary Group Holywell House, Holywell St, Chesterfield S41 7SD
- Vets4pets Littlemoor, Chesterfield S41 8QN
- Croft Veterinary Centre 36 Market Pl, Bolsover, Chesterfield S44 6PN
- Morley Vets, 261 High Lane East, West Hallam, Ilkeston DE7 6HZ
- Premier Pets Hotel, Asher Lane , Ruddington, Nottingham, NG11 67X

Bolsover District Council

Executive

16th September 2019

**Customer Service Standards/ Compliments, Comments and Complaints Report
2018/19**

(1st October 2018 to 31st March 2019 and Annual Summary)

Report of the Portfolio Holder - Governance

This report is public

Purpose of the Report

- To provide information on the Council's performance in relation to its customer service standards.
- To provide information on the effective management of complaints and customer requests which is central to excellent customer service and the Council can use to improve its services.
- To provide information on the number of compliments, comments and complaints for the period 1st October 2018 to 31st March 2019
- To provide an Annual Summary on the above.

1 Report Details

- 1.1 The purpose of this report is to make Elected Members aware of performance in relation to its Customer Service Standards and the effective management of complaints.

Customer Service Standards

- 1.2 Appendix 1 provides a breakdown of the key customer service standards by quarterly period, together with the target and the cumulative performance for each standard.

Telephones

Target - 93% to be answered within 20 seconds

- 1.3 Appendix 2 shows the performance between 1st October 2018 and 31st March 2019 by quarterly period. The report identifies 96% (in both Q3 and Q4) of incoming calls are being answered corporately within 20 seconds cumulatively. Those departments not achieving the key customer service standard of 93% for these periods were:
- Housing and Community Safety 92% in Q3
 - Customer Service 85% in Q3 and 91% in Q4
 - Revenues & Benefits 81% in Q3 and 74% in Q4.

Contact Centres

Target - 80% of incoming calls to be answered within 20 seconds

- 1.4 Contact Centres achieved 85% and 80% for quarters 3 & 4 respectively (82% cumulatively).
- 1.5 This represents a significant improvement on the previous report where 73% was achieved.
- 1.6 Cumulatively performance is 78% over 2018/19, which falls just short of the target of 80%.

Revenues & Benefits

Target - 60% of incoming calls to be answered within 20 seconds

- 1.7 Revenues & Benefits 'direct dial' achieved 82% and 77% for quarters 3 & 4 respectively (79% cumulatively).
- 1.8 Cumulatively performance is 78% over 2018/19, which exceeds the target of 60%.

E-mails

Target 1 - 100% to be acknowledged within 1 working day

Target 2 - 100% to be replied to within 8 working days

- 1.9 For this reporting period, 1st October 2018 to 31st March 2019:
 - 4,798 email enquiries (2,355 in Q3 and 2,443 in Q4) from the public were received through enquiries@bolsover.gov.uk
 - All were acknowledged within one working day
 - 99% were replied to in full within 8 working days.
- 1.10 Whilst there were slightly fewer e-mails compared to the same period (5,326 in 2017/18), this remains a popular method of contact.

Face to face monitoring

Target – 99% not kept waiting longer than 20 minutes at a Contact Centre

- 1.11 Waiting times were monitored during two weeks in 2018/19, weeks commencing 14th January 2019 and 15th July 2019. In total 1,703 customers called into the Contact Centres, 1698 of which (99.7%) waited less than 20 minutes to be served. This exceeds the corporate target and demonstrates excellent service.
- 1.12 Cumulatively, during the same periods, 380 callers were served on Meet & Greet at The Arc in Clowne, bringing the total number of callers served during the monitoring periods to **2083**.

Compliments, Comments and Complaints

Compliments

- 1.13 Appendix 3 (A) shows the number of written compliments received for the period by department. In total 135 written compliments were received. Compliments were received from customers who appreciated excellent service. These included 39 for Leisure, 29 for the Housing Department and 28 for Streetscene Services. As there are some compliments which cross cut departments, the number does not correspond with the total above when viewed in this way.

Comments

- 1.14 Appendix 3 (B) shows the number of written comments received for the period. 100% (all 26) were acknowledged and passed to the respective department within the target time of 3 working days, for consideration when reviewing their service.

Complaints

Frontline resolution (stage one)

- 1.15 Appendix 3 (C) shows the number of Frontline Resolution complaints received by the Contact Centre service and recorded on the Customer Information System (Firmstep) by department. The customer service standard for responding to these complaints is 3 working days.

Formal Investigation (stage two)

- 1.16 Appendix 3 (D) shows the number of Formal Investigation complaints by department. 95 complaints were received during this period, 99% of which were responded to within our customer service standard of 15 working days. It is pleasing to report that this exceeds the target of 97%.
- 1.17 As some complaints cross cut departments, the number does not correspond with the total above when viewed in this way.

Internal Review (stage three)

- 1.18 Appendix 3 (E) shows the number of stage three complaints received for the period by department. These are complainants who have already made a stage two complaint and still feel dissatisfied. During this period 17 stage three complaints were received, 94% (16) of which were responded to within the standard of 20 working days.

Ombudsman

- 1.19 Appendix 3 (F) shows the status of Ombudsman complaints for 2018/19 as at the end of March 2019. During this period five cases were closed after initial enquiries and the Council was awaiting further correspondence in respect two other complaints.

Summary for 2018/19

- 1.20 The following tables provide a summary of performance for compliments, comments and complaints for 2018/19, with comparative data from previous years.

Volume and Performance

Volume by type	2018/19 Total	2017/18 Total	2016/17 Total	2015/16 Total
Compliments	258	266	264	324
Comments	69	58	70	50
Formal Investigation Complaints (S2)	193	179	176	127
Internal Review Complaints (S3)	33	46	35	39
Total	553	549	545	540
Stage 1 Complaints	252	213	224	273
% Comments acknowledged within standard (target 3 working days)	100%	100%	100%	100%
% Stage 2 responded to within standard (target 97%)	99%	98%	99%	99%
Average response in days (target 15 working days)	11	10	10	10
% Stage 3 responded to within standard (target 100%)	97%	98%	100%	100%
Average response in days	16	14	14	14

1.21 When comparing 2018/19 to the previous year of 2017/18, the following is noted:

- There were slightly fewer written compliments
- We have received more comments
- We have received more frontline resolution complaints
- Received more formal investigation complaints
- Received fewer internal review complaints

1.22 The above would appear to indicate that the Council has an easy to access complaints system, as recommended by the Local Government & Social Care Ombudsman and Housing Ombudsman. When looking at ombudsman complaints decisions for this financial year, it is satisfying to note the Council has not been found at fault or received criticism regarding its complaint handling.

Complaints Feedback

1.23 There was no specific feedback leading to service improvements during this financial year.

2 Conclusions and Reasons for Recommendation

2.1 The report is to keep Elected Members informed of volumes and trends regarding compliments, comments, complaints and to remain compliant with the Customer Service Excellence standard.

3 Consultation and Equality Impact

- 3.1 The report is to keep Elected Members regularly informed of volumes and trends regarding compliments, comments and complaints. No consultation or equality impact assessment is required.

4 Alternative Options and Reasons for Rejection

- 4.1 Not applicable as the report is keep Elected Members informed rather than to aid d decision making.

5 Implications

5.1 Finance and Risk Implications

- 5.1.1 Whilst there are no direct financial implications with regard to the report, the Council is at risk of recommendations or decisions by the Local Government Ombudsman and the Housing Ombudsman if complaints are not handled well.
- 5.1.2 In cases of maladministration, financial penalties can be imposed by the Local Government Ombudsman or the Housing Ombudsman.
- 5.1.3 In the case of complaints about Freedom of Information, Data Protection and Environmental Information requests, the Information Commissioner's Office can issue decision notices and impose significant fines.

5.2 Legal Implications including Data Protection

- 5.2.1 The Council is at risk of recommendations or decisions by the Local Government Ombudsman and the Housing Ombudsman and, in the case of complaints about Freedom of Information, Data Protection and Environmental Information requests, the Information Commissioner's Office can issue decision notices and impose significant fines. There are no Data Protection implications.

5.3 Human Resources Implications

- 5.3.1 Not applicable as the report is to keep Elected Members informed.

6 Recommendations

- 6.1 That Executive note the overall performance on Customer Service Standards and Compliments, Comments and Complaints.

7 Decision Information

Is the decision a Key Decision? A Key Decision is an executive decision which has a significant impact on two or more District wards or which results in income or expenditure to the Council above the following thresholds: <i>BDC: Revenue - £75,000 <input type="checkbox"/></i> <i>Capital - £150,000 <input type="checkbox"/></i> <i>NEDDC: Revenue - £100,000 <input type="checkbox"/></i> <i>Capital - £250,000 <input type="checkbox"/></i> <input checked="" type="checkbox"/> <i>Please indicate which threshold applies</i>	No
Is the decision subject to Call-In? (Only Key Decisions are subject to Call-In)	No
Has the relevant Portfolio Holder been informed	Yes
District Wards Affected	All
Links to Corporate Plan priorities or Policy Framework	Providing Our Customers with Excellent Service. Transforming Our Organisation – good governance.

8 Document Information

Appendix No	Title
Appendix: 1 2 3	Customer Service Standards monitoring Telephony performance Compliments, Comments and Complaints: A. Compliments by department 1/10/18 – 31/3/19 B. Comments by department 1/10/18 – 31/3/19 C. Frontline resolution complaints by department 1/10/18 – 31/3/19 D. Formal Investigation complaints by department 1/10/18 – 31/3/19 E. Internal Review complaints by department 1/10/18 – 31/3/19 F. Ombudsman complaints summary for 2018/19
Background Papers (These are unpublished works which have been relied on to a material extent when preparing the report. They must be listed in the section below. If the report is going to Cabinet (NEDDC) or Executive (BDC) you must provide copies of the background papers)	
Report Author	Contact Number
Customer Standards and Complaints Officer	Ext: 2353

Key Customer Service Standards - Performance Monitoring - 2018/19													
Period	Telephone Standards						E-mail Standards			Face to Face Standards		Written Complaints	
	No. of Incoming Calls	% of Calls Answered within 20 Seconds	No. of Incoming Calls - Contact Centres	% of Calls Answered within 20 Seconds - Contact Centres	No. of Incoming Calls - Revenues	% of Calls Answered within 20 Seconds - Revenues	No. of Emails	% Acknowledged within 1 Working Day	% Replied to within 8 Working Days	No. of Customers (Sample)	% Served at the Enquiry Desk in less than 20 minutes	No. of Complaints Received (Stage Two)	% Responded to within 15 Working Days
Target		93%		80%		60%		100%	100%		99%		97%
April to June	5092	98%	20,713	71%	14,214	75%	3,180	100%	100%	No monitoring undertaken		54	100%
Quarter 1 Cumulative	5,092	98%	20,713	71%	14,214	75%	3,180	100%	100%			54	100%
July to September	4,740	98%	20,895	75%	13,203	79%	2,846	100%	99%	890	100%	44	100%
Quarter 2 Cumulative	9,832	98%	41,608	73%	27,417	77%	6,026	100%	100%	890	100%	98	100%
October to December	6,442	96%	18,181	85%	8,237	82%	2,355	100%	99%	No monitoring undertaken		42	100%
Quarter 3 Cumulative	16,274	97%	59,789	77%	35,654	79%	8,381	100%	99%			140	100%
January to March	9,303	96%	21,204	80%	12,924	77%	2,443	100%	99%	813	100%	53	96%
Quarter 4 Cumulative	25,577	97%	80,993	78%	48,578	78%	10,824	100%	99%	1,703	100%	193	99%

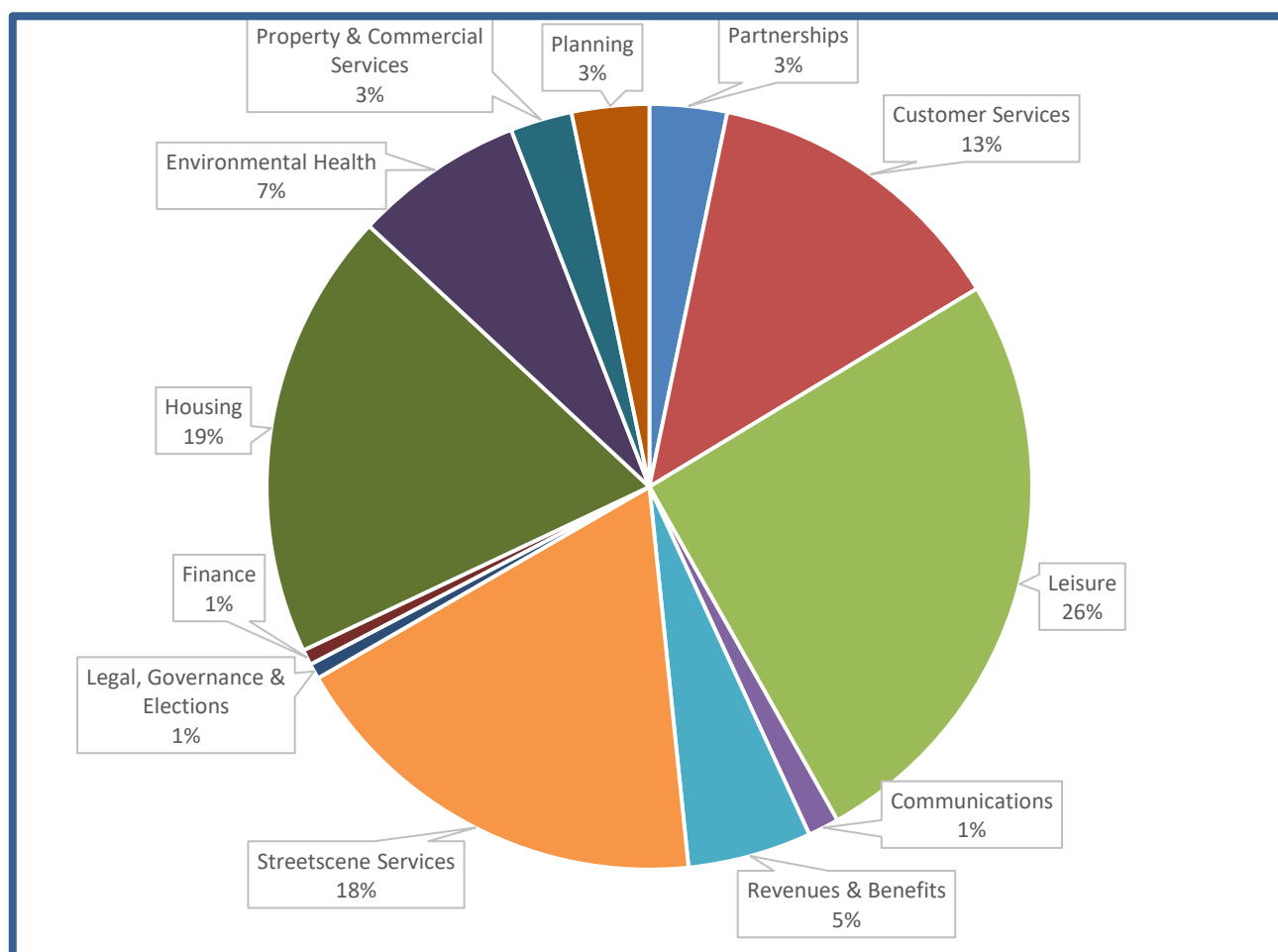
Appendix 2 - Telephony Figures 1/10/18 – 31/3/19

Corporate target 93%	Q3			Q4		
	Total	Total in standard	%age	Total	Total in standard	%age
Department (by directorate)						
People Directorate						
Partnerships & Transformation	175	175	100%	154	153	99%
Customer Services	54	46	85%	32	29	91%
ICT	1171	1167	100%	936	933	100%
Leisure	101	96	95%	86	85	99%
Legal, Governance, Scrutiny & Elections	460	456	99%	504	502	100%
HR, Payroll & Health & Safety	609	606	100%	508	508	100%
Performance & Communications	184	184	100%	135	133	99%
Finance	240	240	100%	200	200	100%
Revenues & Benefits	2260	1833	81%	5604	4167	74%
Streetscene Services	580	563	98%	505	481	95%
	5834	5366	96%	8664	7191	96%
Place Directorate						
Housing & Community Safety	254	234	92%	294	275	94%
Property & Commercial Services	217	209	96%	218	211	97%
Planning	96	91	95%	84	79	97%
Economic Development	41	41	100%	43	43	100%
	608	575	96%	639	608	97%
Total	6442	5941	96%	9303	7799	96%
Contact Centres Target 80%						
Total Contact Centres	18181	15388	85%	21204	17067	80%
Revenues & Benefits Target 60%						
Benefits	2457	2278	93%	3654	3410	93%
Billing	3102	2228	72%	5511	3426	62%
Business Rates	166	149	90%	286	239	84%
Recovery	2512	2089	83%	3473	2872	83%
Total	8237	6744	82%	12924	9947	77%
Abandonage	Total	Answered	Abandon %age	Total	Answered	Abandon %age
Contact Centres Abandoned	18514	18181	2%	21855	21204	3%
Revenues & Benefits Abandoned						
Benefits	2465	2457	0%	3656	3654	0%
Billing	3225	3102	4%	5897	5511	7%
Business Rates	170	166	2%	291	286	2%
Recovery	2652	2512	5%	3685	3473	6%
	8512	8237	3%	13529	12924	4%
Total in standard includes all incoming calls between Monday to Friday 9.00 a.m. until 17.00 p.m.: Answered on the original extension within 20 seconds Transferred to another extension on divert within 20 seconds Picked up by a group pick up within 20 seconds Which ring off within 20 seconds						
Does not meet target						

Appendix 3

A- Compliments 1/10/18 - 31/3/19		Number
People	Partnerships	5
	Customer Services	20
	Leisure	39
	Communications	2
	Revenues & Benefits	8
	Streetscene Services	28
	Legal, Governance & Elections	1
	Finance	1
		104
Place	Housing	29
	Environmental Health	11
	Property & Commercial Services	4
	Planning	5
		49
Total		153

Percentage of Compliments by department



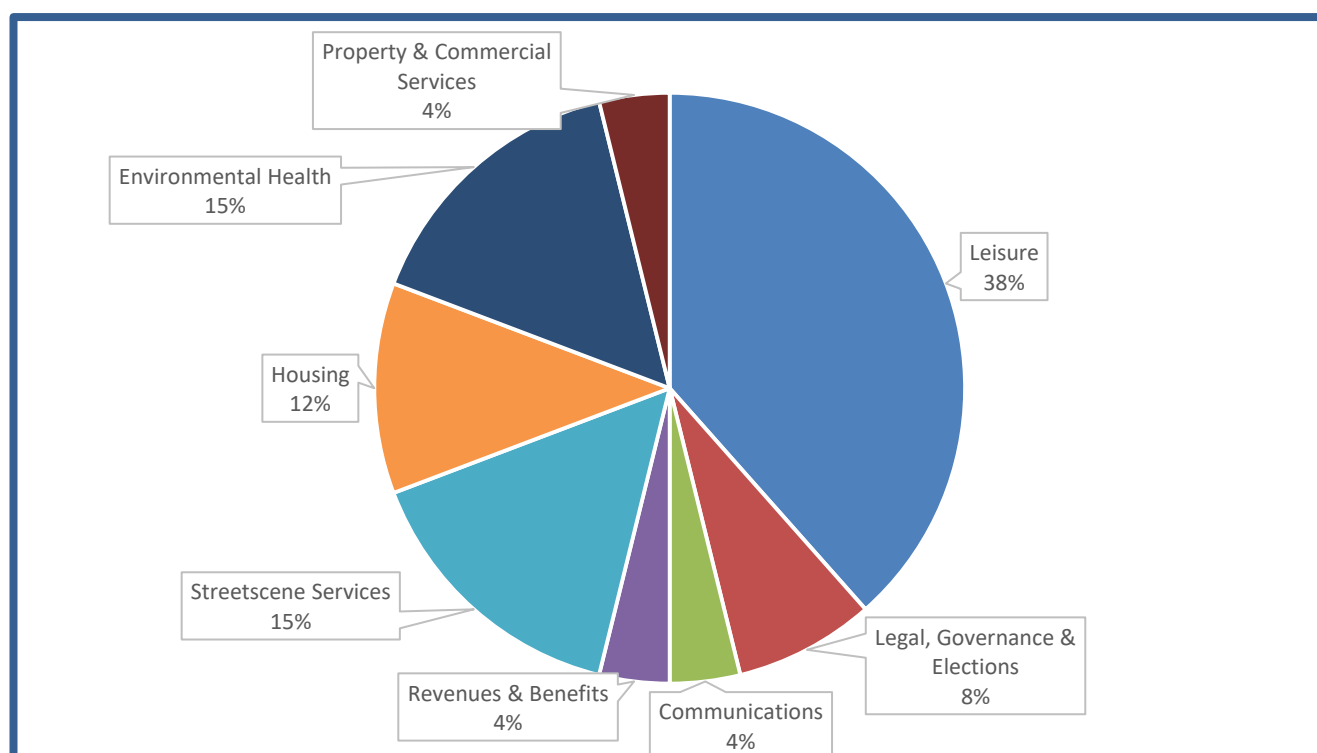
Compliments included:

Thank you for everything you have done for us, I will never forget it and don't know what I would have done without your support and understanding.	Revenues & Benefits
My two children have just completed the balanceability course and the instructors Tom and Ben we're both fantastic. My daughter was in the level 2 class with no confidence and is now fully riding by herself. My son who is only 2yrs old with no concentration span completed the level 1 and can fully glide with both his feet up (when he wants to of course).	Leisure
Tenant has recently had a new roof on her property and she wanted to compliment all the workmen and contractors who have been party to this. She says the works have been carried out with minimal disruption and everyone has been polite and courteous.	Housing
Resident is very pleased with the actions of the Council regarding securing the Criminal Behaviour Order for the perpetrator of antisocial behaviour and criminal damage. He says he has been critical of the Council in the past but is happy with the result. He now understands the action the Council had to take and how we had to carry it out.	Streetscene Services Housing Legal Environmental Health
Resident would like to say the Customer Advisor has been absolutely outstanding with Universal Credits online. She couldn't have done it without her, she who went over and above her duties, she is very grateful for all her help and advice	Customer Services
I would like to thank you from the bottom of my heart for not only understanding the noise problem caused by my neighbours but also for the swift response and settling the problem for me too as it was driving me insane and THANK YOU SO MUCH! 1ST CLASS SERVICE!	Environmental Health Customer Services
Resident spoke to a very helpful Officer who sorted his single occupier discount out for him.	Revenues & Benefits
Well done to the Partnership Manager and the Team! Fab achievement.	Partnership Strategy
Just a word of appreciation for the Planner's patience and perseverance in connection with the recent Reserved Matters Application, he trusts that most of her work is somewhat less complicated and more straightforward.	Planning
Resident would like to thank the crew who cut the tree outside his home. They made a great job, cleared up well and were very pleasant. Very much appreciated.	Streetscene Services
Officer put on a good presentation and very informative regarding the UK Coaching Safeguarding and Protecting Children's course	Leisure
Resident would like to thank Streetscene Services and Customer Advisors - her bin was repaired the day after she reported it	Customer Services Streetscene Services
Having been off the gym scene for a good 10 years and into my second year of early retirement winter times were getting tedious with little exercise and 4 walls so decided this year things will change after reading some reviews I was a bit apprehensive but took the plunge and went down and had a look round. I was very impressed with the gym and the amount of equipment so decided to join. Everyone I have met there has been really friendly especially the instructors and staff, can't fault them in any way they are always there if you need any advice or help with anything it's the best positive step I have made this winter for myself	Leisure

and body I would recommend anyone who is thinking of taking some exercise to go and have a look round and judge by yourselves

B - Comments 1/10/18 - 31/3/19		Number
People	Leisure	10
	Legal, Governance & Elections	2
	Communications	1
	Revenues & Benefits	1
	Streetscene Services	4
		18
Place	Housing	3
	Environmental Health	4
	Property & Commercial Services	1
		8
Total		26

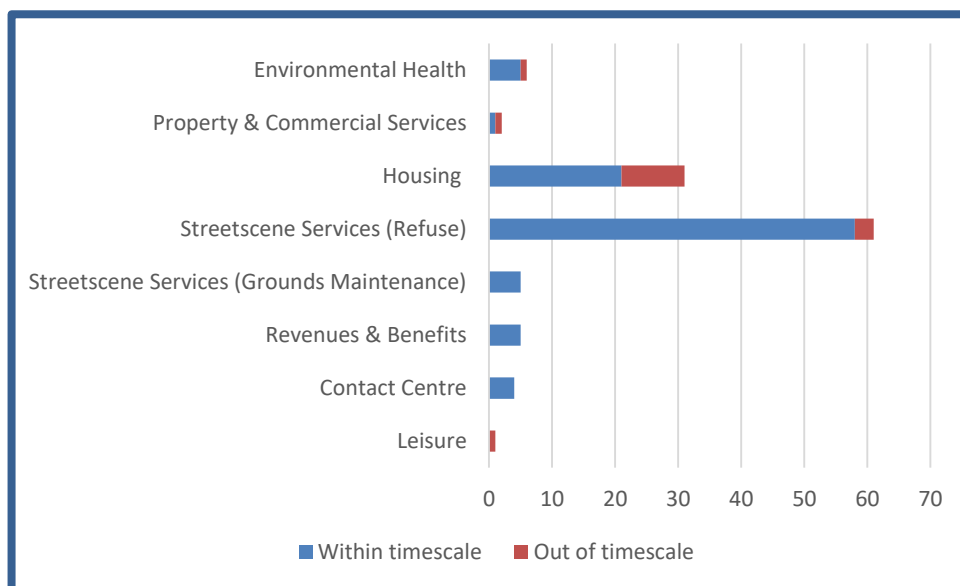
Percentage of Comments by department



C - Number of Frontline Resolution (Stage 1) complaints via Contact Centre 1/10/18 - 31/3/19		Number	Out of timescale (3 working days)
People	Leisure	1	1
	Contact Centre	4	
	Revenues & Benefits	5	
	Streetscene Services (Grounds Maintenance)	5	
	Streetscene Services (Refuse)	61	3
		76	4
Place	Housing	31	10
	Property & Commercial Services	2	1
	Environmental Health	6	1
		39	12

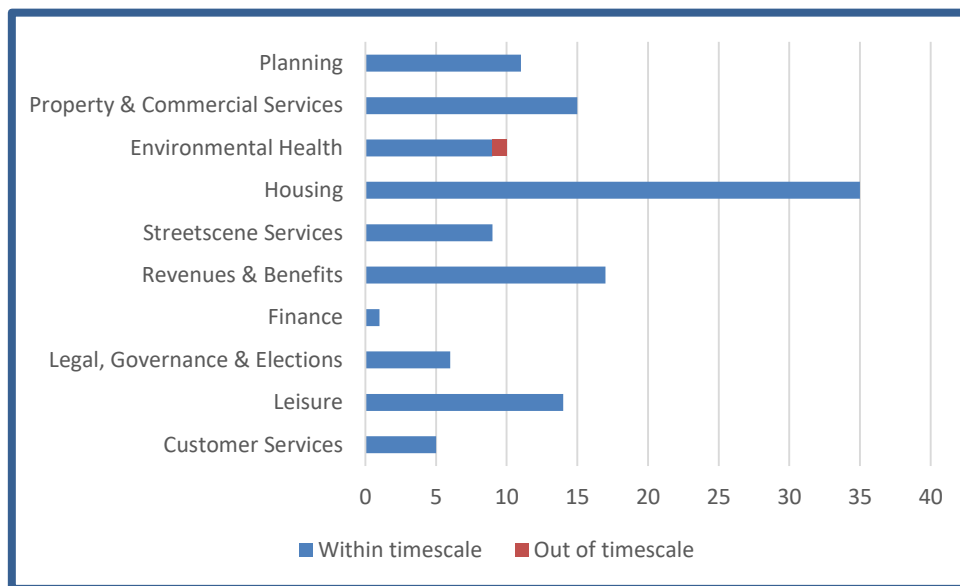
Total		115	16 (14%)
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Informal complaints (Stage 1) within target (3 working days) by department



D – Number of Formal Investigation (Stage 2) complaints 1/10/18 - 31/3/19		Number	Within timescale of 15 working days	Out of timescale
People	Customer Services	5	5	
	Leisure	14	14	
	Legal, Governance & Elections	6	6	
	Finance	1	1	
	Revenues & Benefits	17	17	
	Streetscene Services	9	9	
		52	52	
Place	Housing	35	35	
	Environmental Health	10	9	1
	Property & Commercial Services	15	15	
	Planning	11	11	
		71	70	1
Total		113	112	1

Formal Investigation (Stage 2) within target (15 working days) by department



E – Number of Internal Review (S3) complaints 1/10/18 - 31/3/19		Number	Within timescale of 20 working days	Out of timescale
People	Contact Centre	1	1	
	Leisure	1	1	
	Legal, Governance & Elections	3	3	
	Performance	4	4	
	Revenues & Benefits	3	3	
		12	12	
Place	Housing	6	5	1
	Environmental Health	3	3	
	Property & Commercial Services	1	1	
	Planning	3	3	
		13	12	
Total		25	24	1

Appendix 3

F - Ombudsman's Summary		Departments Involved	Date Decision Letter Received	Ombudsman Decision
01/11/17	HO Initial enquiries Tenant is experiencing antisocial behaviour from a previous tenant who has dementia and still believes they live at the property	Housing	26/09/18	Service failure in the Council's handling of this matter with regard to updating the complainant.
12/09/18	LGSCO Not happy with response regarding the difference between Planning Applications and the Local Plan	Planning	01/10/18	Closed after initial enquiries - no further action.
09/10/18	LGSCO Initial enquiries. Complaint that the weedspraying programme has damaged their beech hedge	Streetscene Services	24/10/18	Closed after initial enquiries - out of jurisdiction. This is because it is reasonable for the complainant to seek a remedy in the courts if the Council denies liability for negligence
03/12/18 13/02/19 04/03/19	LGSCO Initial enquiries. LGSCO (intention to investigate) LGSCO Investigation. Complainant unhappy with noise nuisance outcome	Environmental Health		Carried forward
13/02/19	LGSCO Initial enquiries. Not happy that 'grime' is not being cleaned	Streetscene Services	14/03/19	Closed after initial enquiries - no further action.
05/03/19	LGSCO (intention to investigate) Ms X on behalf of son, wants an adapted Council property	Housing		Carried forward
20/03/19	LGSCO Initial enquiries - wants a thorough investigation into conduct of a Parish Councillor	Legal	28/03/19	'Closed after initial enquiries - out of jurisdiction'. Complainant complains from his position as a councillor and so the complaint is outside the Ombudsman's legal remit.
20/03/19	LGSCO Initial enquiries - wants an investigation into why a Parish Council meeting was made exempt	Legal	03/04/19	Closed after initial enquiries - no further action'. Complainant is not caused a significant, personal injustice from his complaint.

LGSCO* Local Government Ombudsman
HO* Housing Ombudsman

Bolsover District Council

Executive

16th September 2019

Annual Letter from the Local Government & Social Care Ombudsman 2018/19
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Report of the Portfolio Holder - Corporate Governance

This report is public.

Purpose of the Report

- To provide information contained within the Annual Letter from the Local Government & Social Care Ombudsman (LGSCO) 2018/19.

1 Report Details

- 1.1 The document contains an annual summary of statistics on the complaints made about the Authority for the financial year ending 31st March 2019. Please note that the data provided by the LGSCO may not align with the data this Council holds. This is because their numbers include enquiries from people who have been signposted by the LGSCO back to the Council, but who may then choose not to pursue their complaint.
- 1.2 The Annual Letter 2018/19 has been appended (Appendix 1) and supporting information Complaints Decided (Appendix 2), Complaints Received (Appendix 3), Compliance (Appendix 4) for your information.
- 1.3 Key points from the letter, specifically in relation to Bolsover District Council:
 - The LGSCO received 15 enquiries and complaints during 2018/19, none of which was subject to a detailed investigation.
 - The LGSCO decided 9 complaints, of which 2 were incomplete or invalid, advice was given in 1, 2 were referred back to the Council and 4 were closed after initial enquiries.

Benchmarking information - CIPFA Nearest Neighbour

- 1.4 When looking at close neighbouring authorities, the following is noted:

	Detailed investigations	Upheld complaints	Compliance rate	Total complaints received
Ashfield District Council	2	1	100%	19
Bassetlaw District Council	5	1	100%	14
Bolsover District Council	0	0	0*	15
Chesterfield District Council	2	0	0*	7
Erewash District Council	0	0	0*	7
Mansfield District Council	1	0	0*	14
NE Derbyshire District Council	1	0	0*	3

*No recommendations were due for compliance in this period

- 1.5 Whilst Bolsover District Council received 15 complaints against its services, none were the subject of a detailed investigation.
- 1.6 The LGSCO carried out 4,232 detailed investigations (up from 4,020 in 2017/18)
- 1.7 It is pleasing to report that there were no complaints upheld against this Council, against a background of the LGSCO upholding 58% (up from 57% in 2017/18) of complaints submitted to them.
- 1.8 The Ombudsman notes in his annual letter that the number of complaints does not in itself indicate reliably the Council's performance. The volume of complaints should be considered alongside the **upheld** rate (how often the LGSCO found fault when they investigated a complaint) alongside statistics that indicate the authority's willingness to accept fault and put things right when they go wrong.
- 1.9 They also provide a figure for the number of cases where Councils provided a satisfactory remedy before the complaint reached them, and new statistics about the Council's compliance with recommendations have been made.
- 1.10 The statistics on compliance are the result of a series of changes the LGSCO has made to how they make and monitor recommendations to remedy any fault they find. Recommendations are specific and often include a time-frame for completion, allowing them to follow up with authorities and seek evidence that recommendations have been implemented. As no complaints were upheld, there were no recommendations due for compliance in this period.

- 1.11 Although this report is regarding complaints directed to the LGSCO, the Council received no complaints via the Housing Ombudsman (HO) for the same period. There was 1 complaint outstanding from 2017/18 in which the HO recorded a decision of 'Service failure in the Council's handling of this matter with regard to updating the complainant'. The case was a particularly complex one and the HO noted:

To a large extent the speed at which this situation could be resolved was beyond the Council's control as it was reliant on DCC (Derbyshire County Council), which was responsible for Mr A's (the previous occupant who kept trying to access his former home) care, to consider its concerns and take the decision to relocate him.

It would therefore be unfair to criticise the Council for any delays in achieving that end, in particular as it has demonstrated that it was taking active steps to influence Mr A's care providers.

and

There is one particular aspect of this case, however, which the Council could have improved upon. Although it did not specify the regularity with which it would keep [the complainant] updated it did commit to do so in its letters to him of 7 and 31 August 2017. There is evidence that it kept him sufficiently informed during August 2017, however, its communication with him trailed off in the lead up to Mr A leaving his property at the beginning of December 2017.

- 1.12 The department has since put a process in place to give regular updates to customers who are awaiting information and, in the corporate Customer Service training, we reiterate that it is important to be more specific about the regularity of those updates, for example, weekly/ monthly etc.

2 Conclusions and Reasons for Recommendation

- 2.1 The report is to keep Elected Members informed of volumes and trends regarding LGSCO/ HO complaints.

3 Consultation and Equality Impact

- 3.1 The report is to keep Elected Members regularly informed of volumes and trends regarding LGSCO/ HO complaints. No consultation or equality impact assessment is required.

4 Alternative Options and Reasons for Rejection

- 4.2 Not applicable as the report is keep Elected Members informed rather than to aid decision making.

5 **Implications**

5.1 **Finance and Risk Implications**

- 5.1.1 Whilst there are no direct financial implications with regard to the report, the Council is at risk of recommendations or decisions by the Local Government & Social Care Ombudsman and the Housing Ombudsman if complaints are not handled well.
- 5.1.2 In cases of maladministration, financial penalties can be imposed by the Local Government & Social Care Ombudsman or the Housing Ombudsman.

5.2 **Legal Implications including Data Protection**

- 5.2.1 The Council is at risk of recommendations or decisions by the Local Government & Social Care Ombudsman or the Housing Ombudsman. There are no Data Protection implications.

5.3 **Human Resources Implications**

- 5.3.1 Not applicable as the report is to keep Elected Members informed.

6 **Recommendation**

- 6.1 That Executive receive the report and the Annual Letter from the Local Government & Social Care Ombudsman 2018/19.

7 **Decision Information**

Is the decision a Key Decision? A Key Decision is an executive decision which has a significant impact on two or more District wards or which results in income or expenditure to the Council above the following thresholds: <i>BDC: Revenue - £75,000 <input type="checkbox"/></i> <i>Capital - £150,000 <input type="checkbox"/></i> <i>NEDDC: Revenue - £100,000 <input type="checkbox"/></i> <i>Capital - £250,000 <input type="checkbox"/></i> <input checked="" type="checkbox"/> <i>Please indicate which threshold applies</i>	No
Is the decision subject to Call-In? (Only Key Decisions are subject to Call-In)	No
Has the relevant Portfolio Holder been informed	Yes
District Wards Affected	All
Links to Corporate Plan priorities or Policy Framework	Providing Our Customers with Excellent Service. Transforming Our Organisation – good governance.

8 Document Information

Appendix No	Title
1:	Annual Letter from the Local Government & Social Care Ombudsman 2018/19
2:	Complaints Decided
3:	Complaints Received
4:	Compliance
Background Papers (These are unpublished works which have been relied on to a material extent when preparing the report. They must be listed in the section below. If the report is going to Cabinet (NEDDC) or Executive (BDC) you must provide copies of the background papers)	
Report Author	Contact Number
Customer Standards and Complaints Officer	Ext: 2353

24 July 2019

By email

Daniel Swaine
Chief Executive
Bolsover District Council

Dear Mr Swaine

Annual Review letter 2019

I write to you with our annual summary of statistics on the complaints made to the Local Government and Social Care Ombudsman about your authority for the year ending 31 March 2019. The enclosed tables present the number of complaints and enquiries received about your authority, the decisions we made, and your authority's compliance with recommendations during the period. I hope this information will prove helpful in assessing your authority's performance in handling complaints.

Complaint statistics

As ever, I would stress that the number of complaints, taken alone, is not necessarily a reliable indicator of an authority's performance. The volume of complaints should be considered alongside the uphold rate (how often we found fault when we investigated a complaint), and alongside statistics that indicate your authority's willingness to accept fault and put things right when they go wrong. We also provide a figure for the number of cases where your authority provided a satisfactory remedy before the complaint reached us, and new statistics about your authority's compliance with recommendations we have made; both of which offer a more comprehensive and insightful view of your authority's approach to complaint handling.

The new statistics on compliance are the result of a series of changes we have made to how we make and monitor our recommendations to remedy the fault we find. Our recommendations are specific and often include a time-frame for completion, allowing us to follow up with authorities and seek evidence that recommendations have been implemented. These changes mean we can provide these new statistics about your authority's compliance with our recommendations.

I would like to thank your Council for supporting the development of this work and offering valuable feedback on how this new data is described and presented.

I want to emphasise the statistics in this letter reflect the data we hold and may not necessarily align with the data your authority holds. For example, our numbers include enquiries from people we signpost back to your authority, some of whom may never contact you.

In line with usual practice, we are publishing our annual data for all authorities on our website, alongside our annual review of local government complaints. For the first time, this includes data on authorities' compliance with our recommendations. This collated data further aids the scrutiny of local services and we encourage you to share learning from the report, which highlights key cases we have investigated during the year.

New interactive data map

In recent years we have been taking steps to move away from a simplistic focus on complaint volumes and instead focus on the lessons learned and the wider improvements we can achieve through our recommendations to improve services for the many. Our ambition is outlined in our [corporate strategy 2018-21](#) and commits us to publishing the outcomes of our investigations and the occasions our recommendations result in improvements for local services.

The result of this work is the launch of an interactive map of council performance on our website later this month. [Your Council's Performance](#) shows annual performance data for all councils in England, with links to our published decision statements, public interest reports, annual letters and information about service improvements that have been agreed by each council. It also highlights those instances where your authority offered a suitable remedy to resolve a complaint before the matter came to us, and your authority's compliance with the recommendations we have made to remedy complaints.

The intention of this new tool is to place a focus on your authority's compliance with investigations. It is a useful snapshot of the service improvement recommendations your authority has agreed to. It also highlights the wider outcomes of our investigations to the public, advocacy and advice organisations, and others who have a role in holding local councils to account.

I hope you, and colleagues, find the map a useful addition to the data we publish. We are the first UK public sector ombudsman scheme to provide compliance data in such a way and believe the launch of this innovative work will lead to improved scrutiny of councils as well as providing increased recognition to the improvements councils have agreed to make following our interventions.

Complaint handling training

We have a well-established and successful training programme supporting local authorities and independent care providers to help improve local complaint handling. In 2018-19 we delivered 71 courses, training more than 900 people, including our first 'open courses' in Effective Complaint Handling for local authorities. Due to their popularity we are running six more open courses for local authorities in 2019-20, in York, Manchester, Coventry and London. To find out more visit www.lgo.org.uk/training.

We were pleased to deliver a planning complaint handling course to your staff during the year. I welcome your Council's investment in good complaint handling training and trust the course was useful to you.

Finally, I am conscious of the resource pressures that many authorities are working within, and which are often the context for the problems that we investigate. In response to that situation we have published a significant piece of research this year looking at some of the common issues we are finding as a result of change and budget constraints. Called, [Under Pressure](#), this report provides a contribution to the debate about how local government can navigate the unprecedented changes affecting the sector. I commend this to you, along with our revised guidance on [Good Administrative Practice](#). I hope that together these are a timely reminder of the value of getting the basics right at a time of great change.

Yours sincerely,

A handwritten signature in black ink, appearing to be 'M King', with a stylized flourish at the end.

Michael King
Local Government and Social Care Ombudsman
Chair, Commission for Local Administration in England

Local Authority Report: Bolsover District Council
For the Period Ending: 31/03/2019

For further information on how to interpret our statistics, please visit our [website](#)

Complaints and enquiries received

Adult Care Services	Benefits and Tax	Corporate and Other Services	Education and Children's Services	Environment Services	Highways and Transport	Housing	Planning and Development	Other	Total
0	1	4	0	5	0	3	2	0	15

97

Decisions made

				Detailed Investigations			
Incomplete or Invalid	Advice Given	Referred back for Local Resolution	Closed After Initial Enquiries	Not Upheld	Upheld	Uphold Rate (%)	Total
2	1	2	4	0	0	0	9
Note: The uphold rate shows how often we found evidence of fault. It is expressed as a percentage of the total number of detailed investigations we completed.							

Satisfactory remedy provided by authority

Upheld cases where the authority had provided a satisfactory remedy before the complaint reached the Ombudsman	% of upheld cases
0	0
Note: These are the cases in which we decided that, while the authority did get things wrong, it offered a satisfactory way to resolve it before the complaint came to us.	

Compliance with Ombudsman recommendations

Complaints where compliance with the recommended remedy was recorded during the year*	Complaints where the authority complied with our recommendations on-time	Complaints where the authority complied with our recommendations late	Complaints where the authority has not complied with our recommendations	
0	0	0	0	Number
	0%		-	Compliance rate**
Notes: * This is the number of complaints where we have recorded a response (or failure to respond) to our recommendation for a remedy during the reporting year. This includes complaints that may have been decided in the preceding year but where the data for compliance falls within the current reporting year. ** The compliance rate is based on the number of complaints where the authority has provided evidence of their compliance with our recommendations to remedy a fault. This includes instances where an authority has accepted and implemented our recommendation but provided late evidence of that.				

Reference	Authority	Category	Received
18000945	Bolsover District Council	Benefits & Tax	18 Apr 2018
18002576	Bolsover District Council	Environmental Services & Public Protection & Regulation	21 May 2018
18007178	Bolsover District Council	Planning & Development	06 Aug 2018
18007223	Bolsover District Council	Housing	07 Aug 2018
18007307	Bolsover District Council	Planning & Development	08 Aug 2018
18008293	Bolsover District Council	Environmental Services & Public Protection & Regulation	03 Sep 2018
18002549	Bolsover District Council	Environmental Services & Public Protection & Regulation	12 Dec 2018
18012379	Bolsover District Council	Housing	10 Jan 2019
18015517	Bolsover District Council	Environmental Services & Public Protection & Regulation	14 Jan 2019
18017618	Bolsover District Council	Corporate & Other Services	19 Feb 2019
18019117	Bolsover District Council	Corporate & Other Services	14 Mar 2019
18019438	Bolsover District Council	Corporate & Other Services	20 Mar 2019
18019695	Bolsover District Council	Corporate & Other Services	26 Mar 2019
18019732	Bolsover District Council	Environmental Services & Public Protection & Regulation	26 Mar 2019
18019779	Bolsover District Council	Housing	26 Mar 2019

Reference	Category	Decided	Decision	Decision Reason	Remedy	Service improvement re
18000945	Benefits & Tax	18 Apr 2018	Insufficient information to proceed and PA advised	Incomplete/Invalid	Null	
18002576	Environmental Services & Public Protection &	21 May 2018	Premature Decision - advice given	Referred back for local resolution	Null	
18007223	Housing	07 Aug 2018	Premature Decision - advice given	Referred back for local	Null	
18007307	Planning & Development	08 Aug 2018	Insufficient information to proceed and PA advised	Incomplete/Invalid	Null	
18007178	Planning & Development	01 Oct 2018	Not warranted by alleged injustice	Closed after initial enquiries	Null	
18008293	Environmental Services & Public Protection &	24 Oct 2018	26(6)(c) Court remedy	Closed after initial enquiries	Null	
18015517	Environmental Services & Public Protection &	14 Mar 2019	Not warranted by alleged injustice	Closed after initial enquiries	Null	
18019779	Housing	26 Mar 2019	Signpost - go to complaint handling	Advice given	Null	
18017618	Corporate & Other	28 Mar 2019	S27 not by member of the public	Closed after initial enquiries	Null	

Appendix 3

No compliance data recorded for this period.

Appendix 4

Bolsover District Council

Executive

16th September 2019

<p>Corporate Plan Targets Performance Update – April to June 2019 (Q1 – 2019/20)</p>

Report of the Portfolio Holder - Corporate Governance

This report is public

Purpose of the Report

- To report the quarter 1 outturns for the Corporate Plan 2019-2020 targets.

1 Report Details

1.1 The attached contains the performance outturn as of 30th June 2019 (Information compiled on 14/08/19).

1.2 A summary by corporate plan aim is provided below:

1.3 Unlocking our Growth Potential

- 7 targets in total
- 7 targets On Track

1.4 Providing our Customers with Excellent Service

- 10 targets in total
- 10 targets On Track noting:
 - C14 *Attend 99% of repair emergencies within 6 working hours* – As reported previously performance is consistently around 97.6%. The Lead Officer does not consider it feasible to attain 99% for all emergencies received during office hours due to the overlap with the out of hours' service. Executive is asked to give consideration to reducing this target to 98%.

1.5 Supporting our Communities to be Healthier, Safer, Cleaner and Greener

- 8 targets in total
- 8 target On Track

1.6 **Transforming our Organisation**

- 1 target in total
- 1 target On Track

2 Conclusions and Reasons for Recommendation

2.1 All 26 targets are On Track (100%)

2.2 This is an information report to keep Members informed of progress against the corporate plan targets noting achievements and any areas of concern.

3 Consultation and Equality Impact

3.1 Not applicable to this report as consultation was carried out on the original Corporate Plan.

4 Alternative Options and Reasons for Rejection

4.1 Not applicable to this report as providing an overview of performance against agreed targets.

5 Implications

5.1 Finance and Risk Implications

No finance or risk implications within this performance report.

5.2 Legal Implications including Data Protection

No legal implications within this performance report.

5.3 Human Resources Implications

No human resource implications within this performance report.

6 Recommendations

6.1 That progress against the Corporate Plan 2019-2020 targets to be noted.

6.2 That target C14 be amended to 98% from 99% to reflect a more realistic target for the service to achieve.

7 Decision Information

Is the decision a Key Decision? A Key Decision is an executive decision which has a significant impact on two or more District wards or which results in income or expenditure to the Council above the following thresholds: BDC: Revenue - £75,000 <input type="checkbox"/> Capital - £150,000 <input type="checkbox"/> NEDDC: Revenue - £100,000 <input type="checkbox"/> Capital - £250,000 <input type="checkbox"/> <input checked="" type="checkbox"/> Please indicate which threshold applies	No
Is the decision subject to Call-In? (Only Key Decisions are subject to Call-In)	No
Has the relevant Portfolio Holder been informed	Yes
District Wards Affected	Not applicable
Links to Corporate Plan priorities or Policy Framework	Links to all Corporate Plan 2019-2020 aims and priorities

8 Document Information

Appendix No	Title
1.	Corporate Plan Performance Update – Q1 April to June 2020
Background Papers (These are unpublished works which have been relied on to a material extent when preparing the report. They must be listed in the section below. If the report is going to Cabinet (NEDDC) or Executive (BDC) you must provide copies of the background papers)	
All details on PERFORM system	
Report Author	Contact Number
Kath Drury, Information, Engagement and Performance Manager	01246 242280

Bolsover District Council
Corporate Plan Targets Update – Q1 April to June 2019

Status key

Target Status	Usage
 On Track	The target is progressing well against the intended outcomes and intended date.

Aim – Unlocking our Growth Potential

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Key Corporate Target	Directorate	Status		Progress	Target Date
G 01 - Through the use of Key Account Management develop a relationship with a minimum of 25 local businesses by March 2020.	Place	On Track	 	Q1: 2 Businesses engaged with including AAG Ltd who were seeking business support for growth and recruitment. (144 business to date, from 2015). The Building Resilience programme continues to engage with businesses across Shirebrook, with work commencing on the first units funded through the scheme. It is hoped that this will encourage more businesses to engage and apply for the grant funding. Round 2 of BGF has received approval and work will be commencing in the next Quarter on the re-design of the application forms and process.	Mar-20
G 05 - Through the Bolsover North East Derbyshire LEADER Approach collectively support the creation of 40 sustainable jobs in the combined programme area by December 2020.	Place	On Track	 	Q1: No further projects were approved in the quarter although Expressions of Interest to the value of £91,970 were received, which are currently developing their Full Applications. The Rural Payments Agency has extended the contracting deadline to 30 September 2019 and this has been publicised to business support networks and parish and town councils in order to attract further applications. <u>Note:</u> jobs total relates to the whole programme period – 2015 to 2020, 68.82 FTE jobs created to date.	Dec-20

Key Corporate Target	Directorate	Status		Progress	Target Date
G 08 - Process all major planning applications 10% better than the minimum for special measures per annum.	Place	On Track		Q1: 100% (four out of four) major applications determined within deadline or agreed extension of time	Mar-20
G 10 - Enable the development of at least 272 new residential properties within the district by March 2020	Place	On Track		Q1. This is an annual target and currently awaiting the monitoring figures for Q1	Mar-20
G 11 - Through a programme of targeted refurbishment bring 10 empty private sector properties back into use per annum.	Place	On Track		<p>Q1: Action Housing are in the process of leasing a long term empty property in Carr Vale and also an empty commercial unit in Whitwell. This will result in 7 units of affordable accommodation being brought forward - it is expected that these will be brought back into use by the end of the year.</p> <p>The empty property officer is supporting an owner to sell their empty property through an auction. Due to a number of issues, the owner did not have the skills to deal with the sale and therefore sought help and advice through the Council. It is expected that the property will be sold by the end of the next quarter.</p> <p>The empty property officer has referred the owner of an empty property in Bolsover; to an energy company who have a number of different incentives; to help owners bring their empty properties back into use. It is expected that this property will be occupied by the end of the next quarter.</p> <p>The annual landlord event was held in May at The Tangent in Shirebrook and was attended by 35 Landlords from the area. The event itself received positive feedback due to the relevant</p>	Mar-20

Key Corporate Target	Directorate	Status		Progress	Target Date
				<p>topics covered in the presentations and the wide number of organisations in attendance; who support the private rented sector.</p> <p>At the end of this quarter no empty properties have yet to be brought back into use, however there are 4 properties in the process of being brought back into use and it is expected that this number will increase through promotion of the empty property service.</p>	
G 13 - Work with partners to deliver an average of 20 units of affordable homes each year.	Place	On Track		Q1: 3 affordable units this quarter. The total for the year is calculated after year end. (For 2018/19, 66 affordable housing units were completed, of these 55 properties were constructed through B@home).	Mar-20
G17 - Procure new partner for building next generation of council housing by 2020	Place	On Track		Q1: Procurement on target to meet November deadline. Specification currently being drawn up.	Mar-20

Aim – Providing our Customers with Excellent Service

Key Corporate Target	Directorate	Status		Progress	Target Date
C 06 - Prevent homelessness for more than 50% of people who are facing homelessness each year.	Place	On track		Q1: 54 approaches from people facing homelessness. 28 cases prevented from becoming homeless (52%). 7 cases still open and receiving support.	Mar-20
C 07 - Install 150 new lifelines within the community each year.	Place	On track		Q1: 41 new units of Careline equipment provided to older vulnerable people.	Mar-20
C 08 - Process all new Housing	People			Q1 2019/20 = 15.79 days (actual)	Mar-20

Benefit and Council Tax Support claims within an average of 20 days.		On track			
C 09 - Process changes to Housing Benefit and Council Tax Support within an average of 10 days.	People	On track		Q1 2019/20 = 5.39 days (actual)	Mar-20
C 10 - Carry out 300 disability adaptations to Council houses each year.	Place	On track		Q1: 48 adaptations completed. Note: Target status to be reviewed at six months. The Council responds to requests from DCC for adaptations and these are scheduled according to Council budget and resource. Larger jobs e.g. wetrooms have been done in Q1 which affects the number recorded but provides a better outcome for the tenant.	Mar-20
C 11 - Monitor performance against the corporate equality objectives and publish information annually	People	On track		Q1: Good progress is being made against the new equality objectives for 2019-2023, notable actions this quarter include holding a very positive meeting of the Equality Panel, providing equality & diversity training to Members and new staff starters, collated draft engagement plan ready for publishing on the council's website and supported the organisation of transgender guidance to NEDDC Leisure staff which the BDC Equality lead also attended.	Mar-20
C12 - Ensure a minimum of 50% of clients experiencing Domestic Violence each year are satisfied with the support they received.	Place	On track		A total of 31 new referrals were received during Q1, 11 of which were high risk. A total of 11 did not engage with the service. All feedback forms have been completed for those who did (20). Positive responses (100%) were received from 20 service users who were asked: <ul style="list-style-type: none"> • Did the service meet your needs? • Did the service make a difference? • How satisfied are you with the service you have been given? 	Mar-20
C 13 - Reduce average relet times of Council properties (not including sheltered accommodation) to 20	Place	On track		Q1: The average relet time for the Quarter is 20 days. (Including sheltered housing the overall average was 55 days).	Mar-20

days by March 2020.					
C 14 - Attend 99% of repair emergencies within 6 working hours	Place	On track		Q1: April to June 97.80% Lead Officer has requested that this target be reduced to 98% for 2019/20. As reported during the 2015-2019 corporate plan performance is consistently around 97.6%. It is not feasible to attain 99% for all emergencies received during office hours due to the overlap with the out of hours' service. The lead officer considers 98% attainable. Recommendation to be included in the Q1 Performance Report to Executive.	Mar-20
C 15 - Ensure a minimum of 50% of clients receiving parenting support each year express a positive outcome.	Place	On track		Q1: 1 course has been completed Living with Teenages and out of the 5 parents attending, all completed the course and questionnaire. All 5 (100%) express a positive outcome and would recommend to others.	Mar-20

109 Aim – Supporting our Communities to be Healthier, Safer, Cleaner and Greener

Key Corporate Target	Directorate	Status		Progress	Target Date
H 01 - Deliver a minimum of 8000 hours of positive activity through community based culture and leisure engagement per year.	People	On Track		Q1: The target figure for the year is 8000 hours, actual performance to end of financial year is 9223.	Mar-20
H 02 - Increase participation/attendances in leisure, sport, recreation, health, physical and cultural activity by 3,000 per year.	People	On Track		Q1: Actual 95,155, on track to exceed annual target of 300,000 attendances.	Mar-20
H 03 - Deliver a health intervention programme which	People			Q1: The Council is commissioned by Bolsover Partnership and County Public Health to deliver a Health	Mar-20

Key Corporate Target	Directorate	Status		Progress	Target Date
provides 485 adults per year with a personal exercise plan via the exercise referral scheme.		On Track		Intervention programme, the combined number of people starting this programme in the first quarter is 154, against an annual target of 485, slightly ahead on quarter target.	
H 09 - Achieve a combined recycling and composting rate of 47% by March 2020.	People	On Track		Q1: 47% (approx.) Estimated on performance ending June 2018 (based on 4,600 tonnes collected between April and June 2018), due to Waste Data Flow information not being available until September 2019. Additional information: Q4 (2018\19) Actual - 2,305 tonnes of recyclable\compostable waste was collected January to March 2019, yielding Q4 recycling rate of 30.6 % with an overall annual combined recycling rate of 40.3% (approx.)	Mar-20
H 10 - Sustain standards of litter cleanliness to ensure 96% of streets each year meet an acceptable level as assessed by Local Environment Quality Surveys (LEQS).	People	On Track		Q1: LEQS's established 4% of streets and relevant land surveyed for litter fell below grade B cleanliness standards resulting in 96% meeting the target standard.	Mar-20
H 11 - Sustain standards of dog fouling cleanliness to ensure 98% of streets each year meet an acceptable level as assessed by Local Environment Quality Surveys (LEQS).	People	On Track		Q1: LEQS's established 0% of streets and relevant land surveyed for dog fouling fell below grade B cleanliness standards resulting in 100% meeting the target standard.	Mar-20
H 12 - Annually undertake 15 local environmental enforcement and educational initiatives in targeted areas to	Place	On track		Q1: 1 initiative held in Bolsover - joint enforcement patrol with CAN Rangers. (A number of initiatives are programmed for Quarter 2,	Mar-20

Key Corporate Target	Directorate	Status		Progress	Target Date
deal with dog fouling, littering or fly tipping.				details on PERFORM)	
H 17 - To deliver the Building Resilience Programme by September 2019	People	On track		Q1 - The Building Resilience programme continues to make good progress across all strands of activity. The decision on the funding for 19/20 has been confirmed however official confirmation from the Treasury is awaited and is subsequently embargoed until this is received. Examples of the work being achieved can be found in the Bolsover Partnerships Bi annual report together with case studies. The ongoing evaluations continues throughout the programme with a further evaluation document expected in September 2019.	Sep-19

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Aim – Transforming our Organisation

Key Corporate Target	Directorate	Status		Progress	Target Date
T 13 - Increase on-line self-service transactions dealt with by the Contact Centre by 20% each year.	People	On Track		<p>Q1: On line transactions = 1480 (Self Service – 628, Webchats 852). (286 new SELF accounts created).</p> <p>Implementation of the 'Do - it Online, Redesign SELF' project and the increase of forms available for the public to access has now been delivered and went live 01/05/19, in addition a refresh to the BDC website homepage to make the 'Self' facility more prominent is still ongoing. 21 additional new services are available with consideration for further forms where possible, this is an increase from 16 self-service forms which were available in 2018/19. (2018/19 total = 2,350 on line 'self' transactions against a target of 2,600).</p> <p>2019/20 Target is 4003 (20% increase on 3336 - all Online Self (2350)</p>	Mar-20

Key Corporate Target	Directorate	Status		Progress	Target Date
				and Webchat (986) during 2018/19). From 01/04/19 baseline/target measurement to include webchats to reflect all online activity.	

Bolsover District Council

Executive

16th September 2019

Skip Service for Bolsover District Council Housing Repairs Section

Report of the Portfolio Holder - Housing and Community Safety

This report is public

Purpose of the Report

- Following a procurement exercise, the report seeks approval to appoint Donald Ward T/A Ward Recycling to provide a skip waste collection and recycling service for the Council's Housing repairs section.

1 Report Details

- 1.1 The existing waste disposal service provider informed Bolsover District Council in April of this year of an increase to its operating costs as a result to a change in Central Government policy. The existing contract was for a fixed schedule of rates and after seeking legal advice it was deemed necessary to retender. As a result procurement were asked to go out to tender via Source Derbyshire.
- 1.2 Two contractors submitted tenders for evaluation. Donald Ward T/A Ward Recycling was the successful contractor based upon an evaluation criteria of 30% quality and 70% price.
- 1.3 The contract will be for an initial period of two years with two possible extensions each of one year; the contract will only be extended if satisfactory contractor performance has been demonstrated the winning bidder. Assuming the contract runs for the full 4 years, the total contract value is estimated to be in the region of £200,000.
- 1.4 Spend is based upon responsive demand which means that the actual spend is variable. However from historic information sufficient funds have been allocated within the HRA budget to accommodate the predicted spend.

2 Conclusions and Reasons for Recommendation

- 2.1 It is recommended that members approve the award of the contract to Donald Ward T/A Ward Recycling. Following a procurement exercise, taking into account both cost a quality criteria, Donald Ward T/A Ward Recycling were assessed as being the most economically advantageous bidder.

3 Consultation and Equality Impact

3.1 Not directly.

4 Alternative Options and Reasons for Rejection

4.1 Continue with the current contract is not recommended due to increased costs and after receiving advice, it was appropriate to test the market by retendering.

5 Implications

5.1 Finance and Risk Implications

5.1.1 The cost for this will be met from within existing HRA budgets.

5.2 Legal Implications including Data Protection

5.2.1 The Council has met its legal obligations for procurement.

5.3 Human Resources Implications

5.3.1 None directly.

6 Recommendations

6.1 The contract for the provision of a skip service for Bolsover District Council be awarded to Donald Ward T/A Ward Recycling.

6.2 The contract will be awarded initially for a two years and based on satisfactory contractor performance will be extended for up to two additional periods, each of one year.

7 Decision Information

Is the decision a Key Decision? A Key Decision is an executive decision which has a significant impact on two or more District wards or which results in income or expenditure to the Council above the following thresholds: BDC: Revenue - £75,000 ✓ Capital - £150,000 □ NEDDC: Revenue - £100,000 □ Capital - £250,000 □ <input checked="" type="checkbox"/> Please indicate which threshold applies	Yes
Is the decision subject to Call-In? (Only Key Decisions are subject to Call-In)	Yes
Has the relevant Portfolio Holder been informed	Yes
District Wards Affected	All Wards
Links to Corporate Plan priorities or Policy Framework	None

8 Document Information

Appendix No	Title
Background Papers (These are unpublished works which have been relied on to a material extent when preparing the report. They must be listed in the section below. If the report is going to Cabinet (NEDDC) or Executive (BDC) you must provide copies of the background papers)	
Report Author	Contact Number
Mark Dungworth Strategic Repairs Manager	01246 593037