



TO COUNCILLOR:

N Alam
L A Bentley
G A Boulter
J W Boyce
Mrs L M Broadley

M L Darr
R F Eaton
Mrs L Eaton JP
D A Gamble (Chair)
Miss P V Joshi

J Kaufman
Mrs L Kaufman
K J Loydall JP
D W Loydall
Dr I K Ridley (Vice-Chair)

Dear Sir or Madam

I hereby **SUMMON** you to attend a meeting of the **POLICY, FINANCE AND DEVELOPMENT COMMITTEE** to be held at the **COUNCIL OFFICES, STATION ROAD, WIGSTON** on **TUESDAY, 10 SEPTEMBER 2019** at **7.00 PM** for the transaction of the business set out in the Agenda below.

Yours faithfully

Council Offices
Wigston
02 September 2019

Mrs Anne E Court
Chief Executive

ITEM NO.

AGENDA

PAGE NO'S

1. Apologies for Absence

To receive apologies for absence from Members to determine the quorum of the meeting in accordance with Rule 7 of Part 4 of the Constitution.

2. Appointment of Substitutes

To appoint substitute Members in accordance with Rule 26 of Part 4 of the Constitution and the Substitution Procedure Rules.

3. Declarations of Interest

Members are reminded that any declaration of interest should be made having regard to the Members' Code of Conduct. In particular, Members must make clear the nature of the interest and whether it is 'pecuniary' or 'non-pecuniary'.

4. Minutes of the Previous Meeting

1 - 3

To read, confirm and sign the minutes of the previous meeting in accordance with Rule 19 of Part 4 of the Constitution.

5. Action List Arising from the Previous Meeting

4

6. Petitions and Deputations



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Oadby_Wigston

To receive any Petitions and, or, Deputations in accordance with Rule(s) 11 and 12 of Part 4 of the Constitution and the Petitions Procedure Rules respectively.

7. Treasury Management Annual Report 2018/19	5 - 18
Report of the Head of Finance, Revenues and Benefits	
8. Financial Outturn Report (Q1 2019/20)	19 - 25
Report of the Head of Finance, Revenues and Benefits	
9. Collection and Write-Off of Miscellaneous Debtors (Q1 2019/20)	26 - 29
Report of the Head of Finance, Revenues and Benefits	
10. Third Sector and Community Support Funding Requests (Q1 2019/20)	30 - 31
Report of the Head of Finance, Revenues and Benefits	
11. Standards & Ethical Indicators (Q1 2019/20)	32 - 42
Report of the Head of Law & Democracy/Monitoring Officer	

For more information, please contact:

Democratic Services

Oadby and Wigston Borough Council
Council Offices
Station Road, Wigston
Leicestershire
LE18 2DR

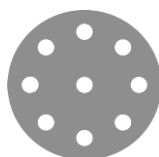
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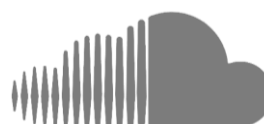
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MINUTES OF THE MEETING OF THE POLICY, FINANCE AND DEVELOPMENT COMMITTEE
HELD AT THE COUNCIL CHAMBER - COUNCIL OFFICES ON TUESDAY, 23 JULY 2019
COMMENCING AT 7.00 PM

PRESENT

D A Gamble	Chair
Dr I K Ridley	Vice-Chair

COUNCILLORS

N Alam
G A Boulter
J W Boyce
Mrs L M Broadley
M L Darr
R F Eaton
Mrs L Eaton JP
Miss P V Joshi
J Kaufman
Mrs L Kaufman
K J Loydall JP
D W Loydall

OFFICERS IN ATTENDANCE

S Hinds	Deputy Chief Executive
G Patterson	External Auditor
C Raymakers	Head of Finance, Revenues and Benefits
S Tucker	Democratic & Electoral Services Manager / Deputy Monitoring Officer

OTHERS IN ATTENDANCE

G Patterson	Grant Thornton UK LLP
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14. APOLOGIES FOR ABSENCE

An apology for absence was received from Councillor L A Bentley.

15. APPOINTMENT OF SUBSTITUTES

None.

16. DECLARATIONS OF INTEREST

Councillors G A Boulter and K J Loydall JP declared a non-pecuniary interest with regard to item 9 of the agenda, insofar as they were associated with Oadby and Wigston Senior Citizens Group.

17. MINUTES OF THE PREVIOUS MEETING

By affirmation of the meeting, it was

UNANIMOUSLY RESOLVED THAT:

Policy, Finance and Development Committee (Audit Submissions & Statutory Reports)

Tuesday, 23 July 2019

Chair's
Initials

The minutes of the previous meeting held on 11 June 2019 be taken as read, confirmed and signed.

18. ACTION LIST ARISING FROM THE PREVIOUS MEETING

By affirmation of the meeting, it was

UNANIMOUSLY RESOLVED THAT:

The Action List arising from the previous meeting held on 11 June 2019 be noted.

19. PETITIONS AND DEPUTATIONS

None.

20. STATEMENT OF ACCOUNTS AND ANNUAL EXTERNAL AUDIT ISA 260 GOVERNANCE REPORT (2018/19)

The Committee gave consideration to the report as set out on pages 6-8 of the agenda and pages 1-164 of the agenda update, which asked it to approve the Statement of Accounts and Annual Governance Statement 2018/19.

It was moved by J W Boyce, seconded by the Chair and

UNANIMOUSLY RESOLVED THAT:

- (i) The Statement of Accounts for the year ended 31 March 2019 be reviewed and approved;**
- (ii) The Annual Governance Statement for the year ended 31 March 2019 be approved; and**
- (iii) In order to comply with the Council's statutory obligations, it be confirmed that the Statement of Accounts for the year ended 31 March 2019 can be published by 31 July 2019 and the Section 151 Officer be authorised, following consultation with the Chair of the Policy, Finance and Development Committee, to make any changes to the accounts that may be agreed with Grant Thornton LLP, the Council's External Auditors.**

21. COLLECTION AND WRITE-OFF OF MISCELLANEOUS DEBTORS (Q4 2018/19)

The Committee gave consideration to the report as set out on pages 9-12 of the agenda, which asked it to note the levels of debt owed to the Council at the end of 2018/19.

The Committee noted that the introduction of Universal Credit had been particularly challenging for the Rent team and requested that a detailed update on its impact be provided to a future meeting of Service Delivery Committee.

It was moved by the Chair, seconded by the Vice-Chair and

UNANIMOUSLY RESOLVED THAT:

The contents of the report be noted.

22. THIRD SECTOR AND COMMUNITY SUPPORT FUNDING REQUESTS (Q4 2018/19)

The Committee gave consideration to the report as set out on pages 13-18 of the agenda, which asked it to note the financial position of the Borough's three Resident Forums after the final quarter of 2018/19.

It was moved by the Chair, seconded by the Vice-Chair and

UNANIMOUSLY RESOLVED THAT:

The contents of the report and appendices be noted.

THE MEETING CLOSED AT 7.33 PM



Chair

Tuesday, 10 September 2019

*Printed and published by Democratic Services, Oadby and Wigston Borough Council,
Council Offices, Station Road, Wigston, Leicestershire, LE18 2DR*

Agenda Item 5

POLICY, FINANCE AND DEVELOPMENT COMMITTEE

ACTION LIST

Arising from the Meeting held on Tuesday, 23 July 2019

No.	Minute Ref. / Item of Business	*Action Details / Action Due Date	Responsible Officer(s)' Initials	Action Status
1.	21 – Collection and Write-Off of Miscellaneous Debtors (Q4 2018/19)	An update on Universal Credit to be provided to a future meeting of the Service Delivery Committee. <i>Due by Sep-19</i>	CRA	Complete
		A Universal Credit update report was provided to the Service Delivery Committee at its meeting held on Tuesday, 3 September 2019.		

* | All actions listed are those which are informally raised by Members during the course of debate upon a given item of business which do not form part of - but may be additional, incidental or ancillary to - any motion(s) carried. These actions are for the attention of the responsible Officer(s).



Policy, Finance and Development Committee	Tuesday, 10 September 2019	Matter for Information
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Report Title: **Treasury Management Annual Report 2018/19**

Report Author(s): **Chris Raymakers (Head of Finance Revenues and Benefits)**

Purpose of Report:	This report details the actual performance and activities of the authority's treasury management function for the financial year 2018/19.
Report Summary:	Treasury management is defined in the Code of Practice as " the management of the organisation's cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities and the pursuit of optimum performance consistent with those risks".
Recommendation(s):	That the content of the report be noted.
Senior Leadership, Head of Service, Manager, Officer and Other Contact(s):	<p>Stephen Hinds (Deputy Chief Executive) (0116) 257 2681 Stephen.Hinds@oadby-wigston.gov.uk</p> <p>Chris Raymakers (Head of Finance, Revenues & Benefits) (0116) 257 2891 Chris.Raymakers@oadby-wigston.gov.uk</p> <p>Simon Ball (Technical Accountant) (0116) 257 2624 Simon.Ball@oadby-wigston.gov.uk</p>
Corporate Objectives:	Providing Excellent Services (CO3)
Vision and Values:	<p>"A Stronger Borough Together" (Vision)</p> <p>Accountability (V1)</p> <p>Innovation (V4)</p>
Report Implications:-	
Legal:	There are no implications arising from this report.
Financial:	The implications are as set out in the report.
Corporate Risk Management:	Decreasing Financial Resources / Increasing Financial Pressures (CR1) Reputation Damage (CR4) Regulatory Governance (CR6)
Equalities and Equalities Assessment (EA):	There are no implications arising from this report. EA not applicable
Human Rights:	There are no implications arising from this report.
Health and Safety:	There are no implications arising from this report.

Statutory Officers' Comments:-	
Head of Paid Service:	The report is satisfactory.
Chief Finance Officer:	The report is satisfactory.
Monitoring Officer:	The report is satisfactory.
Consultees:	None.
Background Papers:	<ul style="list-style-type: none"> • Treasury Policy 2018/19 • Treasury Strategy 2018/19 • Investment Strategy 2018/19
Appendices:	<ol style="list-style-type: none"> 1. List of Investments (1 April 2018 to 31 March 2019) 2. Schedule Of PWLB Loans 3. Investment Strategy (2018/19 to 2020/21)

1. Introduction

- 1.1 Two reports are produced annually on treasury management. The Treasury Management Strategy and Statement is approved by Council prior to the commencement of the financial year, and subsequently, the Treasury Management Annual Report provides Members with a summary of actual activity during the year 2018/19. The report is required to comply with both the "Code of Practice on Treasury Management in Local Government" and the Council's own Treasury Management Policy Statement.
- 1.2 The Code requires the Section 151 Officer to ensure that the treasury management function operates in accordance with treasury management practices adopted by Council. There are no issues of non-compliance with these practices that need be brought to Member's attention.
- 1.3 Under the Prudential Code for Capital Finance, the Council is required to prepare a number of prudential indicators against which treasury management performance is to be measured.
- 1.4 The details of all borrowing and investment transactions for 2018/19, together with the performance of the treasury management function against prudential indicators are given below.

1.5 Borrowing

- 1.5.1 **Long Term** - The Authority is able to borrow on a long term basis from the Public Works Loans Board (PWLB). At the beginning of the year the value of the outstanding loans was £24.002m, comprising £18.114m relating to the HRA, and £5.888m relating to the general fund. £577K of principle was repaid in year, with £1.006m of long-term borrowing reclassified to short term borrowing, as the time to maturity fell under 365 days, and no additional long-term borrowing was undertaken, leaving the balance at £22.419m.
- 1.5.2 **Short Term** (Less than 365 days in duration) - There was £8m of short-term borrowing undertaken during 2018/19 (2017/18 £8m), in lieu of long-term borrowing. £1.006m of long term borrowing was reclassified to short-term, as the time until maturity fell under 365 days.
- 1.5.3 **Cost of Borrowing**

Interest on the outstanding loans was paid as follows:

Loan £000's	Maturity Date	Interest Rate	Interest £000's
500	29/03/2052	4.10	21
500	29/03/2018	3.50	9
4,811	30/06/2055	2.66	130
18,114	Various	2.98*	539
3,000	13/02/2019	0.78	20
5,000	20/08/2018	0.62	12
4,000	13/8/2019	1.05	5
4,000	11/06/2019	1.00	2

*** Average Interest rate for loans**

1.6 Investments

During 2018/19, the Council was in a position where it often had temporary cash surpluses to invest. When considering investments the Council must consider the following factors;

- Security – the Authority has a counterparty list, based on credit ratings, within its Investment Strategy that is approved prior to the commencement of the financial year. The current list and basis of approval is attached at Appendix C;
- Liquidity – because of the fluctuation of cash flows, there is always a need to have a mix of investments that are realisable when required;
- Yield – probably the least important consideration as often higher yields mean greater risks.

Given the current economic climate, and the attendant volatility and uncertainty in the financial markets, security has to be the most important factor of the three listed above.

For 2018/19 surplus cash was invested in the following ways:

Special Interest Bearing Account – This account is held with National Westminster Bank plc. It can be used for deposits up to £5 million and pays interest at 0.25%.

Money Market Deposits – Used for larger amounts, up to £1.5 million. The list of institutions approved for investment was agreed at Committee on 24 March 2015 and is included again for reference in **Appendix 3**. The investments fall into two categories;

- Money on Call – These investments run for a minimum of 7 days after which they can be recalled at any time. Interest rates are variable and can fluctuate during the life of the investment;
- Fixed Deposits – Investments which mature at a pre-arranged date. The interest rate is fixed for the life of the investment.

The total interest received for the year to 31 March 2019 on temporary investments amounted to £23,607 (2017/18 £11,098). A summary of the total amount invested in 2018/19 is given at **Appendix 1**.

1.7 Prudential Indicators

The Local Government Act 2003 requires Councils to comply with the Prudential Code for Capital Finance in Local Authorities when carrying out their budgeting and treasury management activities. Fundamental to this is the calculation of a number of prudential

indicators which provide the basis for management and monitoring of borrowing and investments. These indicators were agreed by Council on 24 March 2015.

The Capital Financing Requirement (CFR) – This represents the Council’s underlying need to borrow for capital purposes, based on the cumulative value of capital expenditure not fully paid for. The CFR will change year on year in accordance with the value of capital spending.

The key control over treasury activities is to ensure that over the medium term, net borrowing will only be for capital purposes. The Authority must ensure that net external borrowing does not, except for short periods, exceed the total of the CFR. A comparison of the estimate against the actuals is shown in the table below.

	2018/19 Original Estimate £000’s	2018/19 Revised Estimate £000’s	2018/19 Actuals £000’s
Gross Borrowing	32,114	31,614	31,425
Investments	-	-	-
Net Borrowing 31st March	32,114	31,614	31,425
Total CFR 31st March	37,889	36,126	36,150

The Section 151 Officer reports that the Council complied with the requirement to keep borrowing below the relevant CFR in 2018/19 and no difficulties are foreseen for the current or future years.

Borrowing Levels – The following two indicators control the overall level of borrowing;

- **The Authorised Limit** – This represents the limit beyond which borrowing is prohibited, and needs to be set and revised by Members. It reflects the level of borrowing which, while not desired, could be afforded in the short term, but is not sustainable. It is the expected maximum borrowing need with some headroom for unexpected movements. This is the statutory limit determined under section 3(1) of the Local Government Act 2003;
- **The Operational Boundary** – This indicator is based on the probable external debt during the course of the year. It is not a limit and actual borrowing could vary around the boundary for short times during the year. It should act as a barometer to ensure the authorised limit is not breached;
- **The actual borrowing compared to the Authorised and Operational limits agreed by Council are as follows.**

	2018/19 Original Limit £000’s	2018/19 Revised Limit £000’s	2018/19 Actual (Max) £000’s
Authorised Limit	40,000	40,000	31,425
Operational Boundary	35,000	35,000	31,425

Ratio of Financing Costs to Net Revenue Stream – This indicator compares net financing costs (borrowing costs less investment income) to net revenue income from revenue support grant, business rates, housing revenue account subsidy, Council tax and rent income. The purpose of the indicator is to show how the proportion of net income used to pay for financing costs is changing over time.

	2018/19 Original Estimate %	2018/19 Revised Estimate %	2018/19 Actual %
General Fund	13.6	11.7	11.9
HRA	11.7	11.2	11.1

The above indicator shows that within the General Fund, financing costs are equivalent to 11.9% of the net revenue income. In the case of the HRA there is net interest payable which is equivalent to 11.1% of the net revenue income.

Limits on Activity – The following indicators constrain the activity of the treasury function to within certain limits, thereby reducing the risk of an adverse movement in interest rates impacting negatively on the Council's overall financial position.

- **Upper Limits on Variable Rate Exposure** – This indicator identifies a maximum Limit for variable interest rates;
- **Maturity Structures of Borrowing** – These gross limits are set to reduce the Council's exposure to large fixed rate sums falling due for refinancing;
- **Total Principal Funds Invested** – This limit is set to reduce the need for early sale of investments and is based on the availability of investments after each year-end.

	2018/19 Original Indicators %		2018/19 Revised Indicators %		2018/19 Actual Maturity Structure %	
Fixed Interest Rates Limit	100		100		100	
Variable Interest Rates Limit	25		25		0	
Maturity Structure of Borrowings	Lower	Upper	Lower	Upper	Lower	Upper
Under 12 Months	0	30	0	30	0	29
12 Months to 2 Years	0	35	0	35	0	3
2 Years to 5 Years	0	50	0	50	0	10
5 Years to 10 Years	0	75	0	75	0	16
10 Years & Above	0	100	0	100	0	42

The Prudential Code requires indicators to be set for the maturity structure of fixed borrowings only.

Appendix 1

Total investments placed during the period
1 April 2018 to 31 March 2019

	Cumulative No. Of Investments In Year		Total Value Invested in Year £ 000's
British Clearing Banks			
National Westminster Bank plc	164		58,101
Local Authorities			
London Borough of Islington	1		3,000
Thurrock Borough Council	7		8,500
Swindon Borough Council	1		2,000
Dumfries & Galloway	1		1,000
	174		72,601

Schedule Of PWLB Loans (Hra Self – Financing Settlement)

Principal (£)	Rate of Interest (%)	Date of Maturity
1,006,333	1.99	20/03/2020
1,006,333	2.21	20/03/2021
1,006,333	2.40	20/03/2022
1,006,333	2.56	20/03/2023
1,006,333	2.70	20/03/2024
1,006,333	2.82	20/03/2025
1,006,333	2.92	20/03/2026
1,006,333	3.01	20/03/2027
1,006,333	3.08	20/03/2028
1,006,333	3.15	20/03/2029
1,006,333	3.21	20/03/2030
1,006,333	3.26	20/03/2031
1,006,333	3.30	20/03/2032
1,006,333	3.34	20/03/2033
1,006,333	3.37	20/03/2034
1,006,333	3.40	20/03/2035
1,006,333	3.42	20/03/2036
1,006,333	3.44	20/03/2037
18,113,994	Total	

Schedule Of PWLB Loans (General Fund)

Principal (£)	Rate of Interest (%)	Date of Maturity
500,000	4.10	29/03/2052
5,000,000	2.66	29/06/2055
5,500,000	Total	

Appendix 3

INVESTMENTS STRATEGY 2018/19 – 2020/21

1.0 Introduction

This strategy is written in accordance with guidance issued under section 15 (1) (a) of the Local Government Act 2003, the Department of Communities and Local Government (DCLG) Guidance on Local Authority Investments issued in April 2010, any revisions of that guidance, the Audit Commission's report on Icelandic investments and the revised CIPFA Treasury Management in Public Services Code of Practice and Cross Sectoral Guidance Notes (2017).

The objectives of this strategy are to:

- Security - facilitate investment decisions which ensure that the Council's investment sums remain secure
- Liquidity - ensure the liquidity of investments so that the Council has sufficient cash resources available to carry out its functions at all times
- Optimum Yield - achieve the maximum return on investments after taking into account security and liquidity

2.0 Current Investments

Surplus funds arising from day to day operations are invested based on the most up to date forecasts of interest rates and in accordance with the Council's cash flow requirements in order to gain maximum benefit from the Council's cash position throughout the year. In the current financial climate only specified investments will be considered as set out below.

3.0 Investments

In accordance with relevant guidance, all investments will be placed with counterparties included on the Council's approved list. Institutions with which specified investments will be made include:

- UK government institutions and other local authorities
- institutions which have been awarded a high quality credit rating by a credit rating agency

The length of time an investment can be placed for is specified below under each category of counterparty, normally this will be no longer than 364 days.

Non-Specified Investments are any investment not meeting the definition of a specified investment above. The Authority does not intend to make any investments denominated in foreign currencies, nor any that are defined as capital expenditure by legislation, such as company shares. Non-specified investments will therefore be limited to long-term investments, i.e. those that are due to mature 12 months or longer from the date of arrangement, and

investments with bodies and schemes not meeting the definition on high credit quality.

The Council's Treasury Management Practice note 1 (3) states that 'The Section 151 Officer will be responsible for preparing for the Council a list of institutions in which the Council's funds may be invested. This list will be supported by details of the criteria employed to assess the various credit standings of counterparties'. The following credit ratings will be considered:

- Long-term ratings – these range from the highest rating of AAA to the lowest rating of D. As the title suggests, this indicator reflects the long-term stability of the institution.
- Short-term ratings - These have a time horizon of less than 12 months and therefore place greater emphasis on the liquidity necessary to meet financial commitments in a timely manner. As most of the Council's investments are expected to be for less than 364 days, this is of particular importance. The ratings are F1 (highest credit quality), F2 (good credit quality), F3 (fair credit quality) and B to D (representing various levels of potential default).
- Individual ratings – These range from the highest of A to the lowest of F. This rating is only assigned to banks and attempts to assess how it would be viewed if it were entirely independent and could not rely upon external support.
- Support ratings – These range from 1 to 5 with 1 being the highest. It is a judgement on whether a bank would receive support should this become necessary. It is assumed that any such support would come from the sovereign state or institutional owners.

The Council's counterparty list needs to provide security for the amounts invested whilst containing a sufficient number of institutions with which to place funds. For the purpose of this strategy in respect of Categories 1 and 2 below, only counterparties that meet all of the following criteria will be considered for investment.

- UK banks
- Building societies with asset bases in excess of £6 billion.
- By reference to all three major credit rating agencies (Fitch, Standard and Poor's, Moody's) only those that reach the minimum standard for the lowest agency rating set out.

Category 1

The minimum ratings that will be considered for all agencies are set out below:

Term	Credit Agency		
	Fitch	Moody's	S & P
Short	F1	P1	A1
Long	AA-	AA3	AA-
Individual	C	D	
Support	3		

For any organisation that meets the above criteria, up to £1.5m may be invested at any one time for a maximum duration of 364 days.

Any building society that meets the above criteria must also have an asset base in excess of £6 billion.

Category 2

The minimum ratings that will be considered for all agencies are set out below:

Term	Credit Agency		
	Fitch	Moody's	S & P
Short	F1	P1	A1
Long	A	A2	A1
Individual	C	D	
Support	3		

For any organisation that meets the above criteria, up to £1m may be invested at any one time for a maximum duration of 12 months.

Any building society that meets the above criteria must also have an asset base in excess of £6 billion.

Other counterparties that can be used and any restrictions applicable are set out below.

Debt Management Office

Investments of a maximum duration of 6 months can be made with this Government department.

Public Authorities in England, Scotland and Wales

Investments totalling up to £5m at any one time with a maximum duration of three years can be made with these bodies. These include local government, fire and police authorities.

Money Market Funds

Investments of up to £1.5m per fund at one time can be made provided they are AAA rated.

Credit ratings are monitored on a daily basis using Sector's credit rating service by the Section 151 Officer who will determine the amendments to be made to the counterparty list when credit ratings change.

The proposed counterparty list for investments is given at Annex 3.1.

4.0 Liquidity of Investments

The period for which investments are placed will be based on the Council's cash flow forecasts and estimates of movements in interest rates. The Council generally does not expect to place investments for longer than 364 days although this situation will be kept under review by the Section 151 Officer should a longer term investment opportunity occur. Long-term investments will only be made where it is clear that surplus cash resources are not required for the day to day financing of the Council's activities. The maximum period for any long-term investments will be the three-year planning cycle covered by this strategy.

5.0 Policy on the Use of External Service Providers

External investment managers will not be used, except to the extent that a Money Market Fund can be considered an external manager.

The Authority uses Link Asset Services as an external treasury advisor but still recognise that responsibility for treasury management decisions remains with the Council at all times. Whilst it is recognised that undue reliance should not be placed on external advisors, it is valuable to be able to access specialist skills and resources.

6.0 Scheme of Delegation

Full Council

- Approval of annual strategy
- Review of treasury management policy and procedures, including making recommendations to responsible body

Policy, Finance and Development Committee

- Approval of annual treasury outturn report
- Approval of mid year treasury management updates
- Mid year treasury management updates

Section 151 Officer

- Day to day management of treasury management, within agreed policy
- Appointment of external advisors, within existing Council procurement procedures and standing orders.

7.0 Role of Section 151 Officer

The Section 151 Officer has day to day responsibility for running the treasury management function.

8.0 Ethical Investment Strategy

The Council aims to be aware of ethical issues within its investment strategy. Where any member of the Council becomes concerned about such issues, these matters should be reported to the Section 151 Officer. Where necessary, the Section 151 Officer will then present a response to the concerns raised to the next meeting of the Policy, Finance and Development Committee.

EXTERNAL INVESTMENT OF FUNDS - APPROVED INSTITUTIONS**Category 1**

Restrictions	
Max Amount £m	1.5
Duration	364 days
Asset Base (Building Societies Only)	£6 bn

Category 2

Restrictions	
Max Amount £m	1
Duration	365 days
Asset Base (Building Societies Only)	£6 bn

The following institutions will also be classed as Category 2 although they currently may not meet the exact criteria.

Barclays Bank Plc

Lloyds Bank Plc

HSBC Plc

Santander UK Plc

National Westminster Bank Plc

Royal Bank of Scotland Plc

Bank of Scotland Plc

Nationwide Building Society

Debt Management Office

Restrictions	
Max Amount £m	N/A
Duration	6 months

Operated by a National Government Department

Public Authorities in England, Scotland and Wales

Restrictions	
Max Amount £m	5
Duration	3 Years

All public authorities (including local government, fire and police authorities) in England, Wales and Scotland

Money Market Funds

Restrictions	
Max Amount £m	1.5
Duration	N/A

Funds must be AAA-rated and operated by a company regulated by the Financial Conduct Authority. The Section 151 Officer, under delegated powers, will choose the appropriate fund(s).



Policy, Finance and Development Committee	Tuesday, 10 September 2019	Matter for Information and Decision
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Report Title: **Financial Outturn Report (Q1 2019/20)**

Report Author(s): **Chris Raymakers (Head of Finance, Revenues and Benefits)**

Purpose of Report:	This report gives a summary of the overall Council position for the financial year 2019/20 at the end of the first quarter for both Revenue and Capital Expenditure.
Report Summary:	The Council has completed quarter one of the financial year 2019/20. There are no significant variations to report at this stage. A full capital programme is available at Appendix 1 which includes both new schemes for 2019/20 and schemes from the 2018/19 programme which are still to complete.
Recommendation(s):	A. That the Contents of the report be noted; and B. That the additional capital expenditure outlined in section 3 of the report be approved.
Senior Leadership, Head of Service, Manager, Officer and Other Contact(s):	Stephen Hinds (Deputy Chief Executive) (0116) 257 2681 stephen.hinds@oadby-wigston.gov.uk Chris Raymakers (Head of Finance, Revenues and Benefits) (0116) 257 2891 chris.raymakers@oadby-wigston.gov.uk
Corporate Objectives:	Providing Excellent Services (CO3)
Vision and Values:	"A Stronger Borough Together" (Vision) Accountability (V1)
Report Implications:-	
Legal:	There are no implications arising from this report.
Financial:	The implications are as set out at paragraphs 2 to 4 of this report
Corporate Risk Management:	Decreasing Financial Resources / Increasing Financial Pressures (CR1) Reputation Damage (CR4) Economy / Regeneration (CR9)
Equalities and Equalities Assessment (EA):	There are no implications directly arising from this report. EA not applicable
Human Rights:	There are no implications directly arising from this report.
Health and Safety:	There are no implications directly arising from this report.
Statutory Officers' Comments:-	
Head of Paid Service:	The report is satisfactory.

Chief Finance Officer:	The report is satisfactory.
Monitoring Officer:	The report is satisfactory.
Consultees:	None.
Background Papers:	<ul style="list-style-type: none"> Report entitled 'Medium Term Financial Strategy and Budget (2019/20)' to Full Council 21 February 2019
Appendices:	1. Capital Programme 2019/20

1. Introduction

In February 2019, the Council approved a General Fund Budget for 2019/20 of £6,312,000. This would leave the general fund balance remaining at £615,000 which is slightly under the minimum level recommended in the Council's Medium Term Financial Strategy (MTFS) of 10% of the budget.

2. General Fund Position

- 2.1 In February 2019 the Medium Term Financial Strategy recognised that the scale of funding cuts and the increased pressures on local authorities meant that significant financial savings are required. Although a considerable amount of work has already been carried out to mitigate these pressures further significant work needs to be undertaken to ensure the Authority has a balanced budget, given the continual financial uncertainty of Local Government Funding. To that end review of the middle and senior management structure was undertaken to both streamline services and create efficiencies. By the end of the first quarter this structure was still bedding in, the full effect of this will start to become apparent during quarter three of this year. As a result there is no major change to the forecast outturn for the year.
- 2.2 A summary of the overall General Fund Budget is outlined in the table below:

Service	Original Budget	Actual Spend 30 June	Forecast	Variance
	£	£	£	£
Planning, Development & Regeneration	1,249,250	237,937	1,257,730	8,480
Customer Service & Business Transformation	1,184,260	289,578	1,184,260	0
Finance, Revenues & Benefits	1,678,300	431,519	1,678,300	0
Leisure & Wellbeing	(52,100)	11,421	(52,100)	0
Law & Governance	835,900	188,474	835,900	0
Operational Services & Street Scene	1,594,900	153,808	1,594,900	0
People & Performance	373,000	124,653	373,000	0
Senior Management Team	586,785	136,482	586,785	0
Recharge to HRA	(1,150,000)	(287,500)	(1,150,000)	0
Salaries Vacancy Provision	(287,000)		(287,000)	0
Further Savings provisions	(438,000)		(438,000)	0
Net Service Expenditure	5,575,295	1,286,372	5,583,775	8,480
Capital Financing	880,000	220,000	880,000	0
Total Expenditure	6,455,295	1,506,372	6,463,775	8,480
Use of Ear Marked Reserves	(143,600)		(153,600)	(10,000)
	6,311,695	1,506,372	6,310,175	(1,520)

2.3 Main Variances

Planning Development and Regeneration (£8,480)

At the end of 2018/19 the Council received £10,000 to help improve its parks and open spaces. Due to the lateness of receipt this was carried forward into 2019/20 and has now been spent. The grant was placed in a reserve at the end of 2018/19 and has been allocated above.

3. **Capital Programme**

- 3.1 The 2019/20 Capital programme was set at Full Council on 21 February 2019, after year end schemes from 2018/19 which had not completed were added to the programme. The only addition to these schemes is an allocation of £750,000 to allow the Council to purchase suitable properties for additional Council housing. This includes right of first refusal on former Council houses which come back on to the market. Two properties have been bought so far this year and a further three have been identified as possible purchases. This is in line with Members' wishes to increase Council stock and fulfils the authority's commitment to spend its 1-4-1 receipts.

3.2

Fund	Original Budget	c/f 2018/19	Additional Allocation	Total Capital Programme	Spend to date	Variance
	£'000	£'000	£'000	£'000	£'000	£'000
General Fund	1,750	1,440		3,190	1,204	(1,986)
Housing Revenue Account	1,500	1,022	750	3,272	1,200	(2,072)
	3,250	2,462	750	6,462	2,404	(4,058)

- 3.3 The financial year 2018/19 saw a large number of committed schemes remain unfinished; these budgets have been carried forward and in the first quarter of the new year the scheme of programmes from 2018/19 has been largely caught up.

4. **Housing Revenue account**

The Housing Revenue Account ended 2018/19 with a balance on its main reserve of £1,084,000. In 2019/20 the account had been budgeted to have a small deficit of around £91,000. The Council has been able to do this despite government legislation to reduce rents over the last four years. Some of this substantial balance has been earmarked to continue funding the capital schemes bought forward from previous years but this has still left the account in a reasonably stable position given the prospect of increasing rents gradually over the next five years.

The position on the account at the end of quarter one is as follows:

	Original Budget 2019/20	Budgets c/f 2018/19	Additions /(Savings)	Forecast 2019/20
	£'000	£'000	£'000	£'000
Net Cost of Services on the HRA	(459)	0	0	(459)
Capital Charges	550	0	0	550
Revenue Contributions to Capital	0	335	165	500
Appropriations to Earmarked Reserves	0	0	0	0
Deficit in Year	91	335	165	591
Actual Balance b/f HRA Ac	(1,084)			(1,084)
Budget Deficit in the Year	91	335	165	591
Balance c/f HRA Ac	(993)	335	165	(493)

There is no change to the levels of revenue expenditure at the end of the quarter, however the balance brought forward is partially used to fund the capital programme. This still however leaves a closing balance on the HRA of around £0.5million which is comfortably above the lower limit of £0.3m set in the original business plan.

OADBY AND WIGSTON BOROUGH COUNCIL CAPITAL PROGRAMME

Project Code Reference	Scheme	2019-20 Total Budget	Actuals to 30th June 2019	Variance	Comment
		£	£	£	
	Housing Revenue Account				
50003	Central Heating	250,000	0	(250,000)	A programme of works to replace boilers and heating systems to circa 200 properties to maintain the decent homes standard has been identified and is currently being procured. It is anticipated that this will commence in October 2019 and will be completed by March 2020.
50006	Front & Rear Doors	100,000	0	(100,000)	A programme of works to replace front and rear doors to circa 100 properties has been identified. It is anticipated that this will commence in October 2019 and will be completed by March 2020.
50007	Car Hardstandings	20,000	4,605	(15,395)	There are no applications that currently meet the requirements registered for the installation of a car hardstanding. Should this remain the case at the beginning of the third quarter of the financial year a planned programme will be developed and implemented.
50009	Fire Safety Marriot House	0	1,818	1,818	Residual costs
50016	Decent Homes Work	150,000	97,093	(52,907)	Two properties became vacant in July 2019 that require major refurbishment and structural work to both achieve the decent homes standard and the lettable standard. The specification and cost of works for each is currently being finalised and agreed with Matthews & Tannert the appointed contractor. It is anticipated that works to these two properties will be completed by 1 October 2019.
50017	Major Adaptations	100,000	31,081	(68,919)	Major adaptations have thus far been completed to three properties during the current financial year as part of this programme.
50019	Fire Safety	150,000	0	(150,000)	Updated fire risk assessments to all blocks will be undertaken by 30 September 2019 and a programme of works identified from these. It is anticipated that the programme will subsequently commence in October 2019 and will be completed by March 2020.
50021	Timber Window Replacement incl external entrance / fire doors Kings Drive Area	152,200	170,366	18,166	Astraseal were appointed in April 2019 from the LHC procurement framework, to install new UPVC windows, doors and roofline fittings to 76 properties in Wigston. Works commenced on 25 April 2019 and are scheduled to be completed by 30 September 2019. Estimated costs, including variation works agreed since the programme commenced, are £180k.
50024	Heating, Ventilation and Insulation	41,600	23,996	(17,604)	Eclipse were appointed in March 2019 from the EEM procurement framework, to install EWI and associated energy efficiency works to up to six properties in Wigston. Two tenants refused the works. Work commenced to the remaining four properties on 25 April 2019 and was satisfactorily completed and handed over on 12 June 2019.
50029	New Housing Initiatives	750,000	346,661	(403,339)	Purchase of new HRA properties funded by Right-to-Buy receipts and regeneration reserve
50030	Communal Heating System William Peardon Court	256,900	5,872	(251,028)	Acorn MPS were appointed in June 2019 following a competitive tender, to install new heating systems to each flat. Works commenced on 9 July 2019 and are scheduled to be completed by 30 September 2019. Estimated costs, including variation works agreed since the programme commenced, are £140k. It is proposed that any savings on this project are transferred to the annual programme for central heating and boiler replacements.
50033	Garage Block Churchill Close	0	1,065	1,065	Residual costs
50046	Kitchen Replacements Decent Homes, incl Bathrooms 2018/19	881,000	517,418	(363,582)	As at 31 July 2019 improvement works had been completed to 80 properties in Wigston as part of this programme and further works will be ongoing throughout the financial year to maintain the decent homes standard in the Council's housing stock. (Tenant satisfaction survey results to be inserted here prior to report being finalised).

OADBY AND WIGSTON BOROUGH COUNCIL CAPITAL PROGRAMME

Project Code Reference	Scheme	2019-20 Total Budget	Actuals to 30th June 2019	Variance	Comment
		£	£	£	
50047	Housing Block Improvements	320,500	0	(320,500)	A programme of works to undertake improvements to communal areas and the surrounding environment to blocks of flats across the Borough is currently being finalised prior to an appropriate contractor(s) being procured. It is anticipated that the programme will subsequently commence in October 2019 and will be completed by March 2020.
50048	Asset Management System Upgrades	100,000	0	(100,000)	Initial discussions have taken place with Orchard Information Systems Ltd. to upgrade the housing IT system to include the asset management module. It is anticipated that
Total - Housing Revenue Account		3,272,200	1,199,974	(2,072,226)	
General Fund					
52010	Disabled Access/Facility Improvements	0	507	507	Residual costs relating to Willow Park slope
52090	Belmont House Refurbishment	0	3,243	3,243	Duplicate PO. Now cancelled
54010	Play Area Refurbishments	21,600	3,855	(17,745)	Following programme previously approved.
54012	Cemeteries - Memorial Safety	11,700	0	(11,700)	Provided for memorial refurbishment as and when identified.
54017	Xmas Decorations	6,500	0	(6,500)	Expect to spend in Q3.
54025	Grand Union Canal Footbridge	129,500	0	(129,500)	Awaiting response from Canal & Rivers Trust. Full report in committee pack.
54055	Brocks Hill Car Park Drainage	12,800	0	(12,800)	Expected to proceed in Q3.
54063	Incorporating ex Scout Hut Land into Oadby Cemetery	20,000	6,130	(13,870)	Progressing - expect to complete September
54080	Horsewell Lane Pavilion	907,400	958,259	50,859	Project on course for opening 27th September
54114	Car Park Resurfacing	36,700	0	(36,700)	Ongoing, should spend in full
54139	Brocks Hill Refurbishment Project	126,000	132	(125,868)	Awaiting response from LCC
54147	Recycling Wheelie Bins	0	51,278	51,278	Additional recycling bins and distribution costs
54149	Uplands Park Adult Gym Equipment	0	0	0	Project now complete
54151	Air Monitoring Equipment	20,000	13,933	(6,067)	Funded by £20K unilateral undertaking from Premier Drum site - expect to spend in full this year.
54152	Purchase and installation of allotment administration software	4,000	2,987	(1,013)	Project now complete
54530	Horsewell Lane Play Area	60,000	17,491	(42,509)	In progress. Expected to be complete within the year.
54565	3G Pitch Oadby	836,000	0	(836,000)	Grant conditions currently being drafted for legal approval. Anticipated that the funding will be spent in quarter three of this financial year.
54566	Brocks Hill Additional Play Equipment	82,000	0	(82,000)	Quotes in for groundwork, expect to complete this year
54567	CCTV for Wigston Pool & Parklands Leisure Centre	3,700	3,705	5	Project now complete
54568	Coombe Park Pavilion Extension	170,000	0	(170,000)	Project on hold until external funding situation resolved
54569	Flail-type Mower	30,000	30,589	589	Vehicle now purchased
54570	Footpaths in Blaby Road Park	15,000	0	(15,000)	Starting in October
54571	Improvements to the entrance to Oadby Cemetery - Goddards Slang	35,000	0	(35,000)	Will start once new land is incorporated in to cemetery
54572	New Kitchen Sheila Mitchell Pavilion	4,000	0	(4,000)	Expected to spend in full
54573	Outdoor Fitness Equipment for Wigston and South Wigston Parks	36,500	0	(36,500)	Starting in September
54574	Pitch Improvement Programme	80,000	0	(80,000)	Delayed pending resolution of match-funding bid to FA
54575	Private Sports Grants	150,000	0	(150,000)	Spend contingent on bids from external organisations. Unlikely to spend in full this financial year.
54576	Repairs to play area surface various play areas	22,000	0	(22,000)	Uplands & Horsewell Lane play areas done, other sites being reviewed.
54578	Town Centre Wi-Fi	30,000	0	(30,000)	Bid submitted to LCC Business Rates scheme. If successful, expanded scheme will be implemented. Expectation that will spend in full by year end either way.
54579	Willow Park Skate Park	15,000	0	(15,000)	Starting in September
56001	Council Office Refurbishment	50,800	7,982	(42,818)	Ongoing work as required
56010	IT Replacement Programme	44,300	2,598	(41,703)	Scheduled for Q4
56014	Upgrade of Contact Centre Telephones	16,000	8,864	(7,136)	Should be complete by mid-September
56016	Mobile Working Devices	10,000	4,804	(5,196)	On track

OADBY AND WIGSTON BOROUGH COUNCIL CAPITAL PROGRAMME

Project Code Reference	Scheme	2019-20 Total Budget	Actuals to 30th June 2019	Variance	Comment
		£	£	£	
56044	New Income Management System	34,000	29,523	(4,477)	Scheme underway to be completed January 2020
56047	Security infrastructure	7,000	2,074	(4,926)	Slight delay but not significant to the delivery – expected Mar 2020
56055	Document Management System Software	57,700	6,575	(51,125)	Should be complete by November.
56065	Replacement of Academy server	5,800	0	(5,800)	
56068	Orchard Server Replacement	7,500	10,797	3,297	Now complete
56069	Licensing Service Software Review	35,300	26,438	(8,863)	Project ongoing
56070	Corporate Folding and Enveloping Machine	5,500	6,264	764	Project complete
56071	Network refresh	10,000	2,533	(7,467)	Quotes now received but appointing work delayed – initial expected completion Dec – now extended to Mar 2019 (still this financial year)
56072	South Wigston Shop Fronts	10,000	3,534	(6,467)	3 applications so far, of which 2 completed.
56073	Citrix upgrade	21,000	0	(21,000)	
56076	Windows server migrations	10,000	0	(10,000)	On track – progress made expected to complete by end of financial year
	Total General Fund	3,190,300	1,204,092	(1,986,208)	

Agenda Item 9



Policy, Finance and Development Committee	Tuesday, 10 September 2019	Matter for Information
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Report Title:

Collection and Write-Off of Council Debt (Q1 2019/20)

Report Author(s):

Chris Raymakers (Head of Finance, Revenues and Benefits)

Purpose of Report:	The purpose of this report is to inform Members of the levels of outstanding debt owed to the Council at the end of quarter one of 2019/20 and for Members to approve any write-off of uncollectable debts as per the Council's Financial Regulations.
Report Summary:	The current economic climate continues to make debt collection a challenging exercise. Previous years arrears for both Council Tax and business Rates are being eased down but Universal Credit is now having a greater impact on rent arrears as more tenants migrate away from legacy benefits.
Recommendation(s):	That the contents of the report be noted.
Senior Leadership, Head of Service, Manager, Officer and Other Contact(s):	Stephen Hinds (Deputy Chief Executive) (0116) 257 2681 stephen.hinds@oadby-wigston.gov.uk Chris Raymakers (Head of Finance, Revenues and Benefits) (0116) 257 2891 chris.raymakers@oadby-wigston.gov.uk
Corporate Objectives:	Building, Protecting and Empowering Communities (CO1) Growing the Borough Economically (CO2) Providing Excellent Services (CO3)
Vision and Values:	Accountability (V1) Teamwork (V3) Customer Focus (V5)
Report Implications:-	
Legal:	There are no implications arising from this report.
Financial:	The implications are as set out at paragraphs 2 to 6 of this report.
Corporate Risk Management:	Decreasing Financial Resources / Increasing Financial Pressures (CR1) Reputation Damage (CR4) Increased Fraud (CR10)
Equalities and Equalities Assessment (EA):	There are no implications arising from this report. EA not applicable
Human Rights:	There are no implications arising from this report.
Health and Safety:	There are no implications arising from this report.

Statutory Officers' Comments:-	
Head of Paid Service:	The report is satisfactory.
Chief Finance Officer:	The report is satisfactory.
Monitoring Officer:	The report is satisfactory.
Consultees:	None.
Background Papers:	None.
Appendices:	None.

1. Introduction

- 1.1 As part of the income collection function, the Council operates a comprehensive debt collection process which covers all service areas of the Authority.
- 1.2 The Council uses three principal methods for collecting these debts:
- (i) Direct contact with the debtor by letter or telephone;
 - (ii) Referring the debt to a collection agent; and
 - (iii) Legal action through the courts.

2. Council Tax and Non-Domestic (Business) Rates

- 2.1 Council Tax and Non-Domestic (Business) Rates (NDR) make up the largest debits within the income collection area. These income streams have a combined annual debit to collect of around £40 million.
- 2.2 At 30 June 2019, the arrears in this area were:

Service	Council Tax	NDR
Previous Years Arrears	£	£
Arrears at 01 April 2019	1,540,395	700,124
Arrears at 30 June 2019	1,467,943	658,355

- 2.3 Council Tax has seen a reduction in arrears of around £72,000 (5%) in the first quarter of the year. NDR arrears have also fallen during this quarter by around £42,000 (6%).
- 2.3 At the end of the first quarter 29.39% of the Council Tax debit had been collected against a target of 30.10%. 29.19% of the Business Rates debit had been collected (Target 29.33%). There is an annual target of 98.5% for both taxes. It has been noticeable over the last five years that Council Tax in particular has become more difficult to collect as Council Tax Support has brought more people into the taxpaying bracket. This is reflected across the Country where the average Council Tax collection rate for Shire Districts across England was 97.9% in 2018/19.

3. Overpayments of Housing Benefit (Revenues and Benefits)

- 3.1 Recouping the overpayment of housing benefit has become an increasing problem for Councils across the country over the last few years. Oadby and Wigston have, since 2015,

brought this under control. The majority of cases have been collected from ongoing benefit; however, where the claimant is no longer receiving or is entitled to housing benefit, the debt is passed over to the recovery team.

- 3.2 Historically, the Council has raised almost 14,000 overpayment invoices totalling over £4.2million of debt, successfully collecting £3.6million. In 2019/20 debt levels in overpayments have increased to around £645,000 from £634,000. The figure has already started to be reduced again in July and is currently within the target set in the Council's KPIs for the year.

- 3.3 The total still outstanding is listed below by age:

	Days Overdue				
	£	£	£	£	£
	0-90	90-182	182-365	Over 365	Total
31 March 2019	37,292	42,422	64,000	489,829	633,543
30 June 2019	57,092	25,438	79,886	482,629	645,045

- 3.4 The Universal Credit (UC) system will have an impact on the recovery of these debts. As debtors migrate from Housing Benefit to UC the Council will no longer be able to collect overpayments from on-going benefit so alternative methods of collection will have to be used. This will put pressure on collection resources as more cases are dealt with directly with the debtor. This has not yet made a significant impact on collection however this is likely to change when full migration takes place in the future.

4. Housing Rents

- 4.1 The Council runs a housing stock of approximately 1,200 dwellings with a total collectable debit of £4,730,000 of which £2,440,000 is paid for by Housing Benefit.
- 4.2 Rent arrears are split between current and former tenants. Current tenant arrears have risen during the first quarter and are currently 4.1% of the annual debit

	Current Tenants	Former Tenants	Total
	£	£	£
Arrears at 31 March 2019	155,360	124,892	280,252
Arrears at 30 June 2019	192,840	127,499	320,339

- 4.3 From 13 June 2018, the Council moved to UC 'full service' which will see the gradual migration of working age tenants from Housing Benefit to the new UC system. It has always been anticipated that this will put pressure on this particular collection area as tenants may no longer get their rent paid automatically. At the end of quarter one the amount of arrears which related to UC claimants totalled £60,000. The Council requests direct payments from the Universal Credit Team at the DWP whenever appropriate however delivery of the payments by the government has proved slow and inconsistent, directly causing an upturn in debt.
- 4.4 The Council has taken measures to face up to these increases and reviewed the structure of this team. Over the last financial year the income team consisted of three Income Officers, one of which was employed via an agency. This interim arrangement has now ended however, an apprentice is to be recruited to keep the team at its previous level and provide a sustainable

staffing structure going forward. The new apprentice should be recruited by the end of September however until this is done the team is operating with a vacancy.

5 Miscellaneous Sundry Debts

5.1 The current position relating to collection of outstanding invoices is summarised below:

	Days Overdue					
	£	£	£	£	£	£
	0-90	91-180	181-365	366-730	731+	Total
31 March 2019	48,483	12,111	33,246	40,985	127,687	262,512
30 June 2019	34,599	9,620	48,454	19,119	143,761	255,553

5.2 During the first quarter of 2019/20, miscellaneous debt fell by £7,000. Of the total debt of £256,000, approximately £109,000 (121 accounts) is actively managed through instalments. Of this total £49,000 relates to overpayments of housing benefit collected through the sundry debts system.

5.3 In this quarter:

- The Council has referred eleven cases to the collection agent;
- No write-offs were made under the financial regulations by the Section 151 Officer;
- 15 accounts have completed their arrangements to pay; and
- A local performance indicator for the department is the proportion of debt over 90 days old as a percentage of the total estimated annual debit. At 30 June 2018, this percentage was 21.8% (the target for 2019/20 being under 15%).

6. Write-Off of Bad Debt

6.1. There are no write-offs to be considered by Members at this Committee.

Agenda Item 10



Policy, Finance and Development Committee	Tuesday, 10 September 2019	Matter for Decision
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Report Title: **Third Sector and Community Support Funding Requests**

Report Author(s): **Avril Lennox MBE (Head of Community and Wellbeing)**

Purpose of Report:	To inform Members about the range of funding applications received during the July 2019 cycle of Residents' Forums, and to seek Members' approval to award the funding grants requested.
Report Summary:	A total of 5 funding applications were received during the July cycle of Residents' Forums.
Recommendation(s):	That funding for the list of projects identified in the report be approved.
Senior Leadership, Head of Service, Manager, Officer and Other Contact(s):	<p>Stephen Hinds (Deputy Chief Executive) (0116) 257 2681 stephen.hinds@oadby-wigston.gov.uk</p> <p>Avril Lennox MBE (Head of Community & Wellbeing Services) (0116) 257 2673 avril.lennox@oadby-wigston.gov.uk</p> <p>Veronika Quintyne (Community Engagement Officer) (0116) 257 2648 Veronika.quintyne@oadby-wigston.gov.uk</p>
Corporate Objectives:	Building, Protecting and Empowering Communities (CO1)
Vision and Values:	"A Stronger Borough Together" (Vision) Customer Focus (V5)
Report Implications:-	
Legal:	There are no implications arising from this report.
Financial:	The implications are set out in the report.
Corporate Risk Management:	Decreasing Financial Resources / Increasing Financial Pressures (CR1) Regulatory Governance (CR6)
Equalities and Equalities Assessment (EA):	There are no implications arising from this report. EA not applicable
Human Rights:	There are no implications arising from this report.
Health and Safety:	There are no implications arising from this report.
Statutory Officers' Comments:-	
Head of Paid Service:	The report is satisfactory.

Chief Finance Officer:	The report is satisfactory.
Monitoring Officer:	The report is satisfactory.
Consultees:	None.
Background Papers:	None.
Appendices:	None.

1. Introduction

- 1.1 The Residents' Forums are held four times a year; these provide the opportunity for local people to apply for funding to support local community projects. Residents or community groups are required to complete an application form, which includes details of costings, which are then presented to the relevant Forum. Once these are approved at Forum level, they then go to this Committee (PFD) for final sign-off.

2. Applications received:

- 2.1 A total of 5 applications were received during the July cycle of Forums as shown below, from the South Wigston Forum and the Oadby Forum. None were received from the Wigston Forum during this timeframe; however their current budget allocation is £49,151.
- 2.2 Members are asked to provide their approval for the following projects:

Forum:	Item requested:	Amount:
South Wigston Residents Forum	New bench near to litterbin on Landsdowne Grove.	£650
	Bench for Gloucester Crescent	£650
	Birch seat for bus shelter on Gloucester Crescent.	£220
	Litterbin near shops on Gloucester Crescent.	£450
	Total	£1,970
<i>Current budget allocation: £19,298</i>		

Forum:	Item requested:	Amount:
Oadby Residents Forum	To purchase one lockable notice board for use by residents.	£200
<i>Current budget allocation: £42,678</i>		

Agenda Item 11



Policy, Finance and Development Committee	Tuesday, 10 September 2019	Matter for Information
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Report Title: **Standards & Ethical Indicators (Q1 2019/20)**

Report Author(s): **Dave Gill (Monitoring Officer/Head of Law & Democracy)**

Purpose of Report:	To receive the figures for local determination of complaints and the ethical indicators for Quarter 1 of 2019/20.
Report Summary:	The report provides information to Members in relation to Member complaints, corporate and Ombudsman complaints, Freedom of Information requests and Anti-Social Behaviour reports and resolutions.
Recommendation(s):	That the content of the report and appendix be noted.
Senior Leadership, Head of Service, Manager, Officer and Other Contact(s):	Stephen Hinds (Deputy Chief Executive) (0116) 257 2821 stephen.hinds@oadby-wigston.gov.uk Dave Gill (Monitoring Officer /Head of Law and Democracy) (0116) 257 2626 david.gill@oadby-wigston.gov.uk
Corporate Objectives:	Providing Excellent Services (CO3)
Vision and Values:	Accountability (V1) Respect (V2) "A Stronger Borough Together" (Vision) Customer Focus (V5)
Report Implications:-	
Legal:	There are no implications arising from this report.
Financial:	There are no implications arising from this report.
Corporate Risk Management:	Reputation Damage (CR4) Political Dynamics (CR3) Regulatory Governance (CR6)
Equalities and Equalities Assessment (EA):	There are no implications arising from this report. EA not applicable
Human Rights:	There are no implications arising from this report.
Health and Safety:	There are no implications arising from this report.
Statutory Officers' Comments:-	
Head of Paid Service:	The report is satisfactory.
Chief Finance Officer:	The report is satisfactory.

Monitoring Officer:	As the author, the report is satisfactory.
Consultees:	None.
Background Papers:	None.
Appendices:	1. Standards and Ethical Indicators Quarter One Report 2019/20

1. Background

- 1.1 Members will recall that when they considered the report of the Investigatory Powers Commissioner into the Council's use of the Regulation of Investigatory Powers Act 2000 on 26 March 2019 it was noted by the Commissioner that regular reports about the Council's activities under that Act were not being reported regularly to Members.
- 1.2 In order to address that issue it was agreed that a quarterly report would henceforth be provided to this Committee and the opportunity would be taken to reference other matters which Officers considered would be of interest to Members, including the number and disposal of Member complaints, the number of corporate and Ombudsman complaints, the number of Freedom of Information requests and the number of ASB reports and resolutions.
- 1.3 The Quarter 1 report for 2019/20 is attached for Members' information.



OADBY AND WIGSTON BOROUGH COUNCIL

STANDARDS AND ETHICAL INDICATORS

QUARTER 1 REPORT

2019-20

1. Introduction

This is the quarterly report to the Policy, Finance and Development Committee detailing both the figures for Ethical Indicators and the figures for the Local Determination of Complaints process for 2019-20.

For clarification purposes the months covered by the quarters are as follows:

Quarter 1 – 1 April to 30 June
Quarter 2 – 1 July to 30 September
Quarter 3 – 1 October to 31 December
Quarter 4 – 1 January to 31 March

The report is split into two parts for ease of reference; Part 1 refers to the local determination of complaints, whilst part 2 is the table showing the ethical indicators figures.

The report will enable the Policy, Finance and Development Committee to build up a picture over time of how many complaints are received and where these are coming from. The parts of the Code of Conduct which have been breached will also be recorded to enable training to be targeted effectively.

2. Part 1 – Local Determination of Complaints

The Monitoring Officer received no complaints during Quarter 1 of 2019/20.

2.1 Source of Complaint

Not Applicable.

2.2 Assessment Sub-Committee Decisions

There have been No Assessment Sub-Committee meetings during this quarter.

As Members will be aware, the Monitoring Officer now pursues an informal dispute resolution process prior to initiating formal proceedings via the Sub-Committee route.

2.3 Timeliness of Decision

The Standards for England Guidance stated that the Assessment Sub-Committee should complete its initial assessment of an allegation “within an average of 20 working days” to reach a decision on what should happen with the complaint. The Council has taken this standard and adapted it under the new rules to aim to hold an Assessment Sub-Committee within 20 working days of notifying the parties that informal resolution is not possible.

2.4 Review Requests

There have been no review requests in Quarter 1. Review requests can only be made following a decision of ‘No Further Action’ by the Assessment Sub-Committee where there is submission of new evidence or information by the complainant.

2.5 Subsequent Referrals

None to report – see above.

2.6 Outcome of Investigations

There were no investigations concluded in this period.

2.7 Parts of the Code Breached

This section is intended to show where there are patterns forming to enable the Policy, Finance and Development Committee to determine where there needs to be further training for Councillors. Targeting training in this way makes it more sustainable and, hopefully, more effective.

So far this year, the following areas of the code were found to have been breached:

Not applicable.

Part 2 – Ethical Standards Indicators

Ref.	Performance Indicator Description	Officer Responsible for Providing Information	Q1		Q2		Q3		Q4	
			Actual 2018/19	2019/20	Actual 2018/19	2019/20	Actual 2018/19	2019/20	Actual 2018/19	2019/20
LG1	Objections to the Council’s Accounts	Head of Finance	0	0	0		0		0	
LG2	Follow up Action relating to reaches of the Member/Officer Protocol (Members)	Head of Law & Democracy	0	0	0		0		0	
LG3	Disciplinary Action relating to breaches of the Member / Officer Protocol (Staff)	HR Manager	0	0	0		0		0	
LG4	Number of Whistle Blowing Incidents Reported	Head of Law & Democracy	0	0	0		0		0	
LG5	No. of Recommendations made to improve Governance Procedures/Policies		2	0	0		23		8	
LG6	No. of Recommendations Implemented		1	0	7		3		20	
Complaints										
LG7	No. Corporate Complaints received	PA to Senior Leadership Team	16	27	28		24		25	
	No. Corporate Complaints escalated to L2		4	3	2		5		1	
	No. Corporate Complaints escalated to Ombudsman		2	2	1		0		0	

Ref.	Performance Indicator Description	Officer Responsible for Providing Information	Q1		Q2		Q3		Q4	
			Actual 2018/19	2019/20	Actual 2018/19	2019/20	Actual 2018/19	2019/20	Actual 2018/19	2019/20
LG7a	No. Corporate Complaints Resolved		16	27	28		24		25	
LG7b	No. Corporate Complaints where compensation paid		0	1	0		0			
	Service Area		-	- Clean & Green						
LG8	No. Ombudsman complaints received	PA to Senior Leadership Team	2	2	2		2		4	
	Service Area		-	- Planning - Bens/Tax						
LG8a	No. Ombudsman complaints resolved		2	2	1		1		4	
LG8b	No. Ombudsman complaints where compensation paid		0	0	1					
Freedom of Information Act Indicators										
LG9	Total No. of FOI Requests received	Data Protection Officer	193	235	216		200		162	
LG9a	No. of FOI Requests Compliant		185	214	199		186		156	
LG9b	No. of Non-compliant FOI Requests		8	21	17		14		6	
LG9c	No. of FOI Requests still open and within the 20 working days		0	0	0		0		0	

Ref.	Performance Indicator Description	Officer Responsible for Providing Information	Q1		Q2		Q3		Q4	
			Actual 2018/19	2019/20	Actual 2018/19	2019/20	Actual 2018/19	2019/20	Actual 2018/19	2019/20
LG9d	No. of FOI Requests withheld due to exemptions/fees applied		5	6	4		5		3	
Ref.	Performance Indicator Description	Officer Responsible for Providing Information	Q1		Q2		Q3		Q4	
			Actual 2018/19	2019/20	Actual 2018/19	2019/20	Actual 2018/19	2019/20	Actual 2018/19	2019/20
LG8	No. of Corporate Complaints received	PA to Senior Leadership Team	16	27	28		24		25	
	No. of Corporate Complaints escalated to L2		4	3	2		5		1	
	No. of Corporate Complaints escalated to Ombudsman		2	2	1		0		0	
LG8a	No. of Corporate Complaints Resolved		16	27	28		24		25	
LG8b	No. of Corporate Complaints where compensation paid		0	1	0		0			
	Service Area		-	- Clean & Green						
Freedom of Information Act Indicators										
LG9	Total No. of FOI Requests received	Data Protection Officer	193	235	216		200		162	
LG9a	No. of FOI Requests Compliant		185	214	199		186		156	
LG9b	No. of Non-compliant FOI Requests		8	21	17		14		6	

Ref.	Performance Indicator Description	Officer Responsible for Providing Information	Q1		Q2		Q3		Q4	
			Actual 2018/19	2019/20	Actual 2018/19	2019/20	Actual 2018/19	2019/20	Actual 2018/19	2019/20
LG9c	No. of FOI Requests still open and within the 20 working days		0	0	0		0		0	
LG9d	No. of FOI Requests withheld due to exemptions/fees applied		5	6	4		5		3	
Ref.	Performance Indicator Description	Officer Responsible for Providing Information	Q1		Q2		Q3		Q4	
			Actual 2018/19	2019/20	Actual 2018/19	2019/20	Actual 2018/19	2019/20	Actual 2018/19	2019/20
Regulation of Investigatory Powers Act Indicators										
LG10	No. of Directed Surveillance Authorisations granted during the quarter	Head of Law & Democracy	0	0	0		0		0	
LG10 a	No. in force at the end of the quarter		0	0	0		0		0	
LG10 b	No. of CHIS recruited during the quarter		0	0	0		0		0	
LG10 c	No. ceased to be used during the quarter		0	0	0		0		0	
LG10 d	No. active at the end of the quarter		0	0	0		0		0	
LG10 e	No. of breaches (particularly unauthorised surveillance)		0	0	0		0		0	
LG10 f	No. of applications submitted to obtain communications data which were rejected		0	0	0		0		0	

Ref.	Performance Indicator Description	Officer Responsible for Providing Information	Q1		Q2		Q3		Q4	
			Actual 2018/19	2019/20	Actual 2018/19	2019/20	Actual 2018/19	2019/20	Actual 2018/19	2019/20
LG10g	No. of Notices requiring disclosure of communications data		0	0	0		0		0	
LG10h	No. of authorisations for conduct to acquire communications data		0	0	0		0		0	
LG10i	No. of recordable errors		0	0	0		0		0	
Ref.	Performance Indicator Description	Officer Responsible for Providing Information	Q1		Q2		Q3		Q4	
			Actual 2018/19	2019/20	Actual 2018/19	2019/20	Actual 2018/19	2019/20	Actual 2018/19	2019/20
Anti-Social Behaviour Indicators										
	No. of Complaints Registered	Head of Community & Wellbeing	6	20	16		18		24	
	No. of Disposals		2	14	18		10		13	
	No. of Complaints still Open		0	2	3		0		3	
Food Safety Inspections										
BPE31	No. of Programmed Inspections	Head of Law & Democracy	34	20	52		44		78	
	No. of Programmed Inspections Completed		17	8	47		35		74	
	No. of Programmed Inspections Outstanding		17	12	5		9		4	

Ref.	Performance Indicator Description	Officer Responsible for Providing Information	Q1		Q2		Q3		Q4	
			Actual 2018/19	2019/20	Actual 2018/19	2019/20	Actual 2018/19	2019/20	Actual 2018/19	2019/20
			Of the 12 carried over 6 had been completed at the time of writing this report and the remainder will be completed by the end of Q2							