



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 **BY REMOTE VIDEO CONFERENCE (SEE INSTRUCTIONS BELOW)** on **TUESDAY, 15 SEPTEMBER 2020** at **6.00 PM** for the transaction of the business set out in the Agenda below.

Yours faithfully

Council Offices
Wigston
07 September 2020

Anne E Court

Mrs Anne E Court
Chief Executive



SPECIAL NOTE:

This remote meeting is convened and held in accordance with [section 78 of the Coronavirus Act 2020](#) and the [Local Authorities and Police and Crime Panels \(Coronavirus\) \(Flexibility of Local Authority and Police and Crime Panel Meetings\) \(England and Wales\) Regulations 2020](#) to which Part 4, Section 1A of the [Council's Constitution](#) (Remote Meeting Procedure Rules) will apply. This meeting is open to the press and public to observe by streaming the meeting's live proceedings. Instructions regarding the access arrangements for this meeting are below.

ITEM NO.

AGENDA

PAGE NO'S

① Remote Video Conference | Instructions

This meeting will take place as a remote video conference.

Meeting Participants:

Zoom Video Conferencing Webinar

A webinar invitation will be sent by e-mail to all Members and Officers for this meeting.

Cont'd



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Customer Service Centre: 40 Bell Street, Wigston, Leicestershire LE18 1AD
Council Offices: Station Road, Wigston, Leicestershire LE18 2DR
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Oadby_Wigston

Press & Public Access:

YouTube Live Stream

A direct link to the live stream of the meeting's proceedings on the Council's YouTube Channel is below.

<https://youtu.be/1-TuQfHYAKw>

Remote Meeting Procedure Rules:

A summary of the Remote Meeting Procedures Rule to be adopted for the meeting is attached for reference.

4 - 5

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

6 - 7

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

There was no Action List arising from the previous meeting.

6. Petitions and Deputations

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. Financial Outturn Report (Q1 2020/21)

8 - 14

Report of the Interim Financial Services Manager

8. Treasury Management Annual Report (2019/20)

15 - 28

Report of the Interim Financial Services Manager

9. Standards & Ethical Indicators (Q1 2020/21)

29 - 38

Report of the Head of Law & Democracy / Monitoring Officer

10. Local Government and Social Care Ombudsman Annual Review Letter (2019/20)

39 - 48

**Policy, Finance and Development
Committee (Remote Video
Conference)**

Tuesday, 15 September 2020

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

11. Review of Corporate Compliments, Comments & Complaints Policy (September 2020)

49 - 71

Report of the Head of Customer Service & Transformation

For more information, please contact:

Democratic Services

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

t: (0116) 257 2775

e: democratic.services@oadby-wigston.gov.uk

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Your smart **iPad**, **Android** or **Windows** tablet device with the **'Modern.Gov'** app



Our **YouTube** Channel **ow.ly/FYQW50zDNkc** or smart device with the **'YouTube'** app (facilitated by **'Zoom'**)



Our audio platform **soundcloud.com/oadbywigstonbc** or smart device with the **'SoundCloud'** app

Agenda Annex

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Summary of Remote Meeting Procedure Rules

(Section 1A of Part 4 of the Constitution)

➤ **Disclosable Pecuniary Interests (Rule 7)**

Any Member who declares a disclosable, pecuniary interest in any item of business on the agenda will be required to leave the remote meeting for the duration of the item.

Their departure will be confirmed by Democratic Services, who will then invite the relevant Member to re-join the meeting at the appropriate time.

➤ **Hosting Technology Failure (Rule 8)**

Should the hosting technology fail during the meeting, the Chair will call an adjournment of up to fifteen minutes to determine whether the connection can be re-established.

If the connection cannot be re-established after fifteen minutes, the meeting shall stand adjourned to a later date to be confirmed.

➤ **Connection Failure for Individual Member (Rules 3 and 8)**

In the event of connection failure for an individual Member, the meeting will proceed, providing it remains quorate (i.e. the minimum number of Members remain connected).

Should the meeting no longer be quorate, the meeting shall be adjourned and any remaining items of business will stand deferred to a later date to be confirmed.

➤ **Indicating to Speak (Rule 9)**

Members must indicate their wish to speak by using the 'Raise Hand' function in Zoom.

The Chair and Democratic Services will work together to invite each Member to speak in the order that their hand was raised.

➤ **Voting on Decision-Making Items (Rule 10)**

Before proceeding to the vote on any item of business on the agenda which requires a decision, the Chair will ensure that all Members and Officers have no further comments to make by confirming with Democratic Services that no hands remain raised.

The Chair will clarify what motion and/or amendment is being voted upon before the vote.

Democratic Services will call each Member's name, in alphabetical order by surname, and each Member will indicate whether they are voting 'for', 'against' or 'abstaining' on the item.

Democratic Services will record each response and, once all Members have voted, confirm the outcome of the vote.

➤ **Voting on Housing-Keeping / Information-Only Items (Rule 10)**

In respect of voting on all other housing-keeping or information-only items of business on the agenda, the Chair will ask Members to raise their hand using the function in Zoom.

If all hands are raised, those items will be agreed by general affirmation.

Agenda Item 4

**MINUTES OF THE MEETING OF THE POLICY, FINANCE AND DEVELOPMENT
COMMITTEE HELD BY REMOTE VIDEO CONFERENCE ON TUESDAY, 16 JUNE
2020 COMMENCING AT 6.00 PM**

PRESENT (BY REMOTE LINK)

D A Gamble Chair
Dr I K Ridley Vice-Chair



COUNCILLORS

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
Miss P V Joshi
J Kaufman
Mrs L Kaufman
K J Loydall JP
D W Loydall

OFFICERS IN ATTENDANCE (BY REMOTE LINK)

S J Ball Trainee Solicitor (acting as the Democratic Services Officer)
D M Gill Head of Law & Democracy / Monitoring Officer
S Hinds Deputy Chief Executive
A Thorpe Head of Built Environment
S Tucker Democratic & Electoral Services Manager / Deputy Monitoring Officer

1. APOLOGIES FOR ABSENCE

None.

2. APPOINTMENT OF SUBSTITUTES

None.

3. DECLARATIONS OF INTEREST

None.

4. MINUTES OF THE PREVIOUS MEETING

By affirmation of the meeting, it was

UNANIMOUSLY RESOLVED THAT:

The minutes of the previous meeting held on 10 March 2020 be taken as read, confirmed and signed.

5. ACTION LIST ARISING FROM THE PREVIOUS MEETING

Policy, Finance and Development Committee (Remote Video Conference)
Tuesday, 16 June 2020

Chair's
Initials

By affirmation of the meeting, it was

UNANIMOUSLY RESOLVED THAT:

The Action List arising from the previous meeting held on 10 March 2020 be noted.

6. PETITIONS AND DEPUTATIONS

None.

7. IDENTIFIED EMPLOYMENT LAND SUPPLEMENTARY PLANNING DOCUMENT (SPD) REVIEW

The Committee gave consideration to the report and appendix (as set out on pages 9 - 40 of the public agenda reports pack) which asked it to approve the draft Identified Employment Land Supplementary Planning Document for public consultation.

It was moved by Councillor J W Boyce, seconded by Councillor L A Bentley and

UNANIMOUSLY RESOLVED THAT:

The draft Identified Employment Land Supplementary Planning Document (as set out at Appendix 1) be approved for public consultation beginning the week commencing 22 June 2020 for an 8-week period.

THE MEETING CLOSED AT 6.24 PM



Chair

Tuesday, 15 September 2020

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

Agenda Item 7



Policy, Finance and Development Committee	Tuesday, 15 September 2020	Matter for Information and Decision
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Report Title: **Financial Outturn Report (Q1 2020/21)**

Report Author(s): **Comie Campbell (Interim Financial Services Manager)**

Purpose of Report:	This report gives a summary of the overall Council position for the financial year 2020/21 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 2020/21. There is a significant variation in the General Fund due to COVID-19 related additional expenditure and income losses. A full capital programme is at Appendix 1 which includes new schemes for 2020/21 and schemes from the 2019/20 programme which are still to complete.
Recommendation(s):	A. That the contents of the report and appendix be noted; B. That the additional capital expenditure (as set out at paragraph 3 of the report) be approved.
Senior Leadership, Head of Service, Manager, Officer and Other Contact(s):	Stephen Hinds (Deputy Chief Executive) (0116) 257 2736 stephen.hinds@oadby-wigston.gov.uk Comie Campbell (Interim Financial Services Manager) (0116) 257 2713 comie.campbell@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 1 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 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:	Senior Leadership Team and Heads of Service
Background Papers:	<ul style="list-style-type: none"> • Report entitled '2020/21 Budget & Medium-Term Financial Strategy (2021/22 – 2024/25)' to Full Council 20 February 2020
Appendices:	1. Capital Programme (2020/21)

1. Introduction

- 1.1. In February 2020, the Council approved a General Fund Budget for 2020/21 of £6.119m. This budget has been revised to £6.019m.

2. General Fund Position

- 2.1 On a departmental basis, the Council is currently forecasting an overspend variance of £514k which is 9% of the overall budget. This forecast overspend is mainly due to an estimated £1.2million COVID-19 related costs and income loss. Currently the COVID-19 forecast comprises of £267k expenditure relating to Salary, Agency staff costs and various supplies and services costs. The forecast COVID-19 related income loss of £955k relates primarily to realigned Selective Licensing Income to 2021/22, the reported loss of income through the leisure closures and contractual agreements. Minor losses of income relate to the loss of car parking income and income from the closure of our community buildings.
- 2.2 With respect to variances that are outside of the direct consequences and impacts of COVID-19 (although indirect impacts have been included in the following), there have been few significant variances. These variances include £35k additional costs for interim Finance Staffing, forecast additional homelessness costs of circa £40k, additional costs in ICT, HR and Procurement that were not included in the original budget of £85k (including Learning and Development, Procurement costs and additional hardware). The majority of these costs have been offset by savings in vacant posts and minor underspends across the council.
- 2.3 A summary of the overall General Fund Budget and Forecast Outturn is outlined in the **Table 1** at a service level. **Table 2** outlines a summary of the General Fund Budget and COVID-19 monitoring.

(Continued overleaf)

Table 1 – General Fund Budget Monitoring

Services	Original Budget 2020/21	Revised Budget 2020/21	Committed to 30 June	Forecast 2020/21	Variance
	£	£	£	£	£
Covid 19 Council Costs	0	0	0	(533,504)	(533,504)
Senior Leadership Team	473400	473400	95,596	407,493	(65,907)
SLT & Covid 19	473,400	473,400	95,596	(126,011)	(599,411)
Finance & Resources (Including Corporate Budgets)	2,218,468	2,218,468	1,750,317	2,486,517	268,049
Law & Governance	228,060	165,060	183,936	325,769	160,709
The Built Environment	793,974	757,584	231,905	963,138	205,554
Community & Wellbeing	1,521,466	1,521,466	91,755	1,861,331	339,865
Customer Service & Business Transformation	1,026,100	1,026,100	269,412	1,164,971	138,871
HRA Recharge	(1,195,600)	(1,195,600)	(298,900)	(1,195,600)	0
Capital Financing	1,053,000	1,053,000	263,250	1,053,000	0
Net Expenditure	6,118,868	6,019,478	2,587,271	6,533,115	513,637

Table 2 – Summary General Fund and COVID-19 Monitoring

General Fund Budget Monitoring 2020/21	COVID-19 Cost Centre
£'000	£'000
Supplies and Services	65
Salary and Agency Staff Costs	202
Loss of Income	955
Costs Related to Covid 19 Support	267
Grants Received	(800)
Net Covid 19 Costs	(533)
Net Forecast Cost Variance	91
Forecast Variance 2020/21	513
COVID-19 Cost Centre Forecast	(533)

3. Capital Programme

- 3.1 The 2020/21 Capital programme was set at Full Council on 20 February 2020, after year end schemes from 2019/20 which had not completed were added to the programme.
- 3.2 There has been the following additional scheme £20k for William Gunning Park Drainage. The Grand Union Canal footbridge scheme capital budget of £130K was reallocated and a credit of £90k budget is remaining. **Table 3** shows a summary of the 2020/21 capital programme and the full capital programme is shown in **Appendix 1**.

(Continued overleaf)

Table 3 - Fund	Original Budget 2020/21	c/f 2019/20	Additional Allocation/Re allocation	Total Capital	Spend to date	Variance
	£'000	£'000	£'000	£'000	£'000	£'000
General Fund	969	383	(90)	1,262	669	(593)
Housing Revenue Account	1,500	685		2,185	364	(1,821)
Total	2,469	1,068	(90)	3,447	1,033	(2,414)

3.3 Expenditure will be continually monitored and assessed to see if the current COVID-19 situation has a material impact on the capital 2020/21 expenditure outturn.

4. Housing Revenue Account (HRA)

4.1 The Housing Revenue Account ended the financial year 2019/20 with a balance on its main reserve of £1.083m. In 2020/21 the account had been budgeted to have a small surplus of around £27k. The Council has been able to do this despite government legislation to reduce rents over the last four years.

4.2 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 shown in Table 4 as follows:

Table 4 - HRA	Original Budget 2020/21	Forecast 2020/21
	£'000	£'000
Net Cost of Services on the HRA	(602)	(591)
Capital Charges	575	575
Revenue Contributions to Capital		
Appropriations to Earmarked Reserves		
Deficit in Year	<u>(27)</u>	<u>(16)</u>
Actual Balance b/f HRA a/c	(1,083)	(1,083)
Budget Deficit in the Year	<u>(27)</u>	<u>(16)</u>
Balance c/f HRA a/c	<u>(1,110)</u>	<u>(1,099)</u>

Project Code Reference	Scheme	2020-21 Total Budget	Actuals to 30th June 2020	Variance	Coment
		£	£	£	
Housing Revenue Account					
50003	Central Heating	120,000	40,485	(79,515)	Emergency and urgent boiler and central heating replacement work has continued throughout the lockdown period and the planned programme of replacements as part of the Home Improvement Programme re-commenced on Wednesday 5 August 2020 having been on hold since Friday 20 March 2020.
50007	Car Hardstandings	6,000	0	(6,000)	There are no applications that currently meet the requirements registered for the installation of a car hardstanding.
50016	Decent Homes Work /Major Voids	500,000	87,763	(412,237)	Works to repair minor voids (revenue) to achieve the lettable standard continued throughout the lockdown period with works to refurbish major voids re-commencing on Monday 15 June 2020 having been on hold since Friday 20 March 2020. Expenditure during the first quarter was therefore solely for work that had been completed to the point of lockdown
50017	Major Adaptations	85,000	0	(85,000)	Major adaptations work will re-commence on 1 September 2020 having been on hold since Friday 20 March 2020 and the commencement of the lockdown.
50019	Fire Safety	150,000	0	(150,000)	The 2020-21 programme of fire risk assessments has continued during lockdown and will be completed by 30 September 2020. The programme of remedial works identified from these will subsequently commence in October 2020 and will be completed by March 2021.
50021	Timber Window Replacement incl external entrance / fire doors Kings Drive Area	83,000	42,980	(40,020)	The door and window replacement programme will re-commence on 1 September 2020 having been on hold since Friday 20 March 2020 and the commencement of the lockdown. Expenditure during the first quarter was for works committed.
50045	Conversion to 2 Homes	3,200	3,139	(61)	The programme to install new heating systems to each flat commenced on 9 July 2019 and was completed on 31 October 2019. Actual costs, including variation works agreed since the programme commenced, are £103,383. The savings of circa £146k on this project have now been vired to this year's budget for major voids.
50046	Home Improvement Programme (Kitchen Replacements Decent Homes, incl Bathrooms)	1,000,000	83,154	(916,846)	The home improvement programme will continue during the final quarter. Some of the £878,510 expenditure against this budget to date has included new heating installations and adaptation work. The costs of these elements will be apportioned to the respective budgets for this type of work accordingly but the remaining expenditure will be met by virements of £200,000, £50,000 and £17,604 from savings in this year's expenditure on the housing block improvements, door replacements and external wall insulation programmes.
50047	Housing Block Improvements	120,500	0	(120,500)	A programme of works to undertake improvements to communal areas and the surrounding environment to blocks of flats across the Borough during 2020-21 is currently being finalised prior to an appropriate contractor(s) being procured. It is anticipated that the programme will subsequently commence in October 2020 and will be completed by March 2021.

Project Code Reference	Scheme	2020-21 Total Budget	Actuals to 30th June 2020	Variance	Coment
50048	Asset Management System Upgrades	118,000	106,666	(11,334)	The Project Plan for the installation of a new asset management module and the upgrade of all existing housing modules to support improved service delivery has been agreed and commenced. It is anticipated it will be completed by March 2021.
Total - HRA		2,185,700	364,186.72	(1,821,513)	
General Fund - Service Delivery					
52002	Disabled Facilities Grant	0	405,756	405,756	As per contract with Light Bulb
52090	Belmont House Refurbishment	0	1,450	1,450	Minor repairs
52092	Oadby Pool Housing Project	0	45,030	45,030	On tract
54010	Play Area Refurbishments	15,500	3,669	(11,831)	Programme of refurbishment delayed due to Covid 19
54012	Cemeteries - Memorial Safety	11,700	0	(11,700)	Provided for memorial refurbishment as and when identified. Residue no longer required, budget provided in revenue.
54055	Brocks Hill Car Park Drainage	12,800	8,771	(4,029)	Project ongoing
54063	Incorporating ex Scout Hut Land into Oadby Cemetery	3,400	6,877	3,477	Project complete overspend linked to project 54571, Improvements to the entrance to Oadby Cemetery
54080	Horsewell Lane Pavilion	0	15,471	15,471	This is the retention cost of the project delivered in 2019/20 which is now complete
54114	Car Park Resurfacing	36,700	0	(36,700)	Ongoing slipped from 2019/20
54147	Recycling Wheelie Bins	0	3,370	3,370	Additional recycling bins and distribution costs
54151	Air Monitoring Equipment	0	725	725	Project now complete
54153	Fuel Tank Refurbishment	0	7,595	7,595	On tract to complete
54530	Horsewell Lane Play Area	3,300	0	(3,300)	budget c/fwd from 2019/20. Repairs required to perimeter fence . Order for work pending. Once installed work will be complete.
54565	3G Pitch Oadby	75,000	75,000	0	Grant funding now passed over.
54566	Brocks Hill Additional Play Equipment	82,000	0	(82,000)	Project management delays 2019/20 slipped to 2020/21.
54568	Coombe Park Pavilion Extension	170,000	0	(170,000)	Project funded by S1061 income. The income has not yet been received as part of the phase 2 of Cottage Farm.
54570	Footpaths in Blaby Road Park	9,000	0	(9,000)	Expected to spend in full
54571	Improvements to the entrance to Oadby Cemetery - Goddards Slang	11,600	6,258	(5,342)	Project Progressing
54574	Pitch Improvement Programme	80,000	0	(80,000)	Delayed pending resolution of match-funding bid to FA
54575	Private Sports Grants	195,000	0	(195,000)	This is project receives (external funding). The project has been delayed due to Covid19.
54576	Repairs to play area surface various play areas	17,900	0	(17,900)	Uplands & Horsewell Lane play areas done, other sites being reviewed. Expected to spend in full
54578	Town Centre Wi-Fi	50,000	0	(50,000)	Bid for expanded scheme to LEP successful. Overall cost £100K, 50% funded by LEP.
	Crow Mill Fencing	5,000	0	(5,000)	Ongoing
	Redeployable CCTV Camera Upgrade	30,000	0	(30,000)	Ongoing
	Purchase of replacement trailer shredder/wood chipper.	25,000	0	(25,000)	Procurement expected in quarter 2
	Trade lift truck replacement	165,000	0	(165,000)	Ongoing
	William Gunning Park Drainage	20,000	0	(20,000)	New Additional Capital Project
Total -Service Delivery General Fund		1,018,900	579,972.28	(438,928)	
TOTAL SERVICE DELIVERY		3,204,600	944,159.00	(2,260,441)	

Project Code Reference	Scheme	2020-21 Total Budget	Actuals to 30th June 2020	Variance	Coment
General Fund - Policy, Finance & Development					
56001	Council Office Repairs and Maintenance	37,200	50	(37,150)	Ongoing
56010	IT Replacement Programme	40,700	1,467	(39,233)	Ongoing
56044	New Income Management System	24,000	29,255	5,255	Project Ongoing expected to be completed October 2020
56055	Document Management System Software	39,400	4,395	(35,005)	Scheduled work now complete. Work will proceed on a department-by-department basis this financial year.
56063	Planning IDOX	3,300	3,250	(50)	Final 25% of planning IDOX. Project now complete.
56069	Licensing Service Software Review	22,600	0	(22,600)	Projects underway expected to be completed by Q3
56070	Corporate Folding and Enveloping Machine	0	1,092	1,092	Project complete residual expenditure from 2019/20 project
56072	South Wigston Shop Fronts	6,100	0	(6,100)	Ongoing project from 2019/20
56073	Citrix upgrade	4,300	0	(4,300)	Ongoing project from 2019/20
56076	Windows server migrations	6,000	0	(6,000)	Project on track
56078	Chatbot	50,000	50,000	0	Restructure costs funded from discretionary use of capital receipts
	Bushloe House Chimney Stack	10,000	0	(10,000)	Ongoing project from 2019/20 work to be completed in Quarter 2. The anticipated costs are in excess of £20k
	Total - Policy, Finance and Development	243,600	89,508.55	(154,091)	0
	PLANNED EXPENDITURE GRAND TOTAL	3,448,200	1,033,667.55	(2,414,532)	0

Agenda Item 8



Policy, Finance and Development Committee	Tuesday, 15 September 2020	Matter for Information
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Report Title: **Treasury Management Annual Report (2019/20)**

Report Author(s): **Comie Campbell (Interim Financial Services Manager)**

Purpose of Report:	This report details the performance and activities of the authority's treasury management function for the financial year 2019/20.
Report Summary:	Treasury Management is defined in the Code of Practice for Local Government 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 and appendices 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>Comie Campbell (Interim Financial Services Manager) (0116) 257 2713 comie.cambell@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:	"A Stronger Borough Together" (Vision) Accountability (V1) Innovation (V4)
Report Implications:-	
Legal:	There are no implications arising from this report.
Financial:	The implications are as set out in this 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:	As the author, the report is satisfactory.
Consultees:	None.
Background Papers:	<ul style="list-style-type: none"> • Treasury Policy 2019/20 • Treasury Strategy 2019/20 • Investment Strategy 2019/20
Appendices:	<ol style="list-style-type: none"> 1. List of Investments (1 April 2019 to 31 March 2020) 2. Schedule of PWLB Loans (2019/20) 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 2019/20.
- 1.2 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.
- 1.3 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.
- 1.4 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.
- 1.5 The details of all borrowing and investment transactions for 2019/20, together with the performance of the treasury management function against prudential indicators are given below.

2. Borrowing

- 2.1 **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 £22.419m, comprising £17.108m relating to the HRA, and £5.311m relating to the general fund. £79K of principal 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 £21.34m.
- 2.2 **Short Term** (Less than 365 days in duration) - There was £10.5m of short-term borrowing undertaken during 2019/20 (2018/19 £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, and £1.006m of previously reclassified long-term borrowing was repaid.
- 2.3 **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
4,731	30/06/2055	2.66	125
18,114	Various	2.98*	539
4,000	14/08/2019	1.05	15
4,000	11/06/2019	1.00	8
4,000	30/08/2019	0.70	1
5,000	28/02/2020	0.85	21
1,000	13/08/2019	0.58	1
10,500	28/08/2020	0.99	9

*** Average Interest rate for loans**

3. Investments

3.1. During 2019/20, 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 3**;
- **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.

3.2. 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.

3.3. For 2019/20 surplus cash was invested in the following ways.

3.4. **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%.

3.5. **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.

3.6. The total interest received for the year to 31 March 2020 on temporary investments amounted to £13,687 (2018/19 £23,607). A summary of the total amount invested in 2019/20 is given at **Appendix 1**.

4. Prudential Indicators

4.1. 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.

- 4.2. **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.
- 4.3. 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.

	2019/20 Original Estimate £000’s	2019/20 Revised Estimate £000’s	2019/20 Actuals £000’s
Gross Borrowing	32,114	32,839	32,839
Investments	0	0	0
Net Borrowing 31st March	32,114	32,839	32,839
Total CFR 31st March	37,610	37,799	36,982

- 4.4. **The Section 151 Officer reports that the Council complied with the requirement to keep borrowing below the relevant CFR in 2019/20 and no difficulties are foreseen for the current or future years.**

- 4.5. **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.**

	2019/20 Original Limit £000’s	2019/20 Revised Limit £000’s	2019/20 Actual (Max) £000’s
Authorised Limit	40,000	40,000	32,839
Operational Boundary	35,000	35,000	32,839

- **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.

	2019/20 Original Estimate %	2019/20 Revised Estimate %	2019/20 Actual %
General Fund	15.2	14.1	13.3
HRA	11.5	11.4	11.1

4.6 The above indicator shows that within the General Fund, financing costs are equivalent to 13.3% 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.

4.7 **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.

	2019/20 Original Indicators %		2019/20 Revised Indicators %		2019/20 Actual Maturity Structure %	
Fixed Interest Rates Limit	100		100		100	
Variable Interest Rates Limit	100		25		0	
Maturity Structure of Borrowing	Lower	Upper	Lower	Upper	Lower	Upper
Uner 12 Months	0	30	0	50	0	35
12 Months to 2 Years	0	35	0	50	0	3
2 Years to 5 Years	0	50	0	50	0	9
5 Years to 10 Years	0	75	0	100	0	15
10 Years & Above	0	100	0	100	0	38

4.8 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 2019 to 31 March 2020

	Cumulative No. Of Investments In Year		Total Value Invested in Year £ 000's
British Clearing Banks			
National Westminster Bank plc	177		59,939
Local Authorities			
London Borough of Hounslow	1		1,530
Thurrock Borough Council	4		5,000
	182		66,469

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).

Agenda Item 9



Policy, Finance and Development Committee	Tuesday, 15 September 2020	Matter for Information
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Report Title: **Standards & Ethical Indicators (Q1 2020/21)**

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

Purpose of Report:	To receive the figures for local determination of complaints and the ethical indicators for Quarter 1 of 2020/21.
Report Summary:	The report provides information 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 2681 stephen.hinds@oadby-wigston.gov.uk David Gill (Head of Law & Democracy / Monitoring Officer) (0116) 257 2626 david.gill@oadby-wigston.gov.uk
Corporate Objectives:	Providing Excellent Services (CO3)
Vision and Values:	"A Stronger Borough Together" (Vision) Accountability (V1) Respect (V2) 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:	Political Dynamics (CR3) 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:	As the author, the report is satisfactory.
Consultees:	None.
Background Papers:	None.
Appendices:	1. Standards & Ethical Indicators (Q1 2020/21)

1. Information

- 1.1 In order to ensure good governance and the maintenance of standards, it is good practice for Members to receive regular reports on the measurement of ethical indicators across the organisation which indicate how well the Council is or is not performing in defined areas.
- 1.2 In addition, certain matters are required to be reported to Members to comply with legislation or Statutory Guidance.
- 1.3 The provision of this information enables Members to be informed about areas of concern and good practice.
- 1.4 Attached for Members' information and attention is the quarter one report for 2020/21 at **Appendix 1.**



OADBY AND WIGSTON BOROUGH COUNCIL

STANDARDS AND ETHICAL INDICATORS

QUARTER 1 REPORT

2020-21

1. Introduction

This is the quarterly report to the Policy Finance and Development Committee detailing both the figures for the Ethical Indicators and the figures for the Local Determination of Complaints process for 2020-21.

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 2 parts for ease of reference; Part 1 refers to the local determination of complaints, 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 0 complaints in Quarter 1 of 2020-21.

2.1 Source of Complaint

Not applicable

2.2 Assessment Sub-committee Decisions

There have been No Assessment Sub-committee meetings in this quarter.

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

2.6 Outcome of Investigations

There were no formal 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

Ref	Performance Indicator Description	Officer responsible for providing information	Q1		Q2		Q3		Q4	
			2019/2020	2020/2021	2019/2020	2020/2021	2019/2020	2020/2021	2019/2020	2020/2021
LG1	Objections to the Council's Accounts	Head of Finance	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		0	0						
LG6	No. of Recommendations Implemented		0	0						

Corporate Complaints

Ref	Performance Indicator Description	Officer responsible for providing information	Q1		Q2		Q3		Q4	
			2019/2020	2020/2021	2019/2020	2020/2021	2019/2020	2020/2021	2019/2020	2020/2021
LG7	No. Corporate Complaints received	PA to Senior Leadership Team	27	19	36		24		25	
	No. Corporate Complaints escalated to L2		3	3	2		5		1	
	No. Corporate Complaints escalated to Ombudsman		2	1	0		0		1	
LG7a	No. Corporate Complaints Resolved at L1		27	22	34		19		24	
	No. Corporate Complaints Resolved at L2		0	3	0		5		0	
LG7b	No. Corporate Complaints where compensation paid		1	0	0		0		0	
	Service Area									
LG8	No. Ombudsman complaints received		2	0	1		1		1	
	Service Area								Housing	
LG8a	No. Ombudsman complaints resolved		2	1	0		0		0	
LG8b	No. Ombudsman complaints not yet determined by the Ombudsman	0	1	0		0		0		
LG8c	No. Ombudsman complaints where compensation paid	0	1	0		1		0		

Freedom of Information Act Indicators

Ref	Performance Indicator Description	Officer responsible for providing information	Q1		Q2		Q3		Q4	
			2019/2020	2020/2021	2019/2020	2020/2021	2019/2020	2020/2021	2019/2020	2020/2021
LG9a	No. of FOI Requests Compliant		214	88	158		146		168	
LG9b	No. of Non-compliant FOI Requests		21	32	20		14		25	
LG9c	No. of FOI Requests still open and within the 20 working days		0	4	0		9		4	
LG9d	No. of FOI Requests withheld due to exemptions/fees applied		6	4	12		0		2	

Regulation of Investigatory Powers Act Indicators

Ref.	Performance Indicator Description	Officer Responsible for Providing Information	Q1		Q2		Q3		Q4	
			2019/2020	2020/2021	2019/2020	2020/2021	2019/2020	2020/2021	2019/2020	2020/2021
LG10	No. of Directed Surveillance Authorisations granted during the quarter	Head of Law & Democracy	0	0	0		0		0	
LG10a	No. in force at the end of the quarter		0	0	0		0		0	
LG10b	No. of CHIS recruited during the quarter		0	0	0		0		0	
LG10c	No. ceased to be used during the quarter		0	0	0		0		0	
LG10d	No. active at the end of the quarter		0	0	0		0		0	
LG10e	No. of breaches (particularly unauthorised surveillance)		0	0	0		0		0	
LG10f	No. of applications submitted to obtain communications data which were rejected		0	0	0		0		0	
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	

Anti-Social Behaviour Indicators

Ref.	Performance Indicator Description	Officer responsible for providing information	Q1		Q2		Q3		Q4	
			2019/2020	2020/2021	2019/2020	2020/2021	2019/2020	2020/2021	2019/2020	2020/2021
	No. of Complaints Registered	Head of Community & Wellbeing	20	31	17		16		22	
	No. of Disposals		14	13	20		34		16	
	No. of Complaints still Open		0	4	0		2		5	
	No Further Action		-	3	0		2		1	

Food Safety Inspections

Ref.	Performance Indicator Description	Officer responsible for providing information	Q1		Q2		Q3		Q4	
			2019/2020	2020/2021	2019/2020	2020/2021	2019/2020	2020/2021	2019/2020	2020/2021
BPE31	No. of Programmed Inspections	Head of Law & Democracy	20	46	50		23			
	No. of Programmed Inspections Completed		8	4	29		40			
	No. of Programmed Inspections Outstanding		12	42	21		8			



Policy, Finance and Development Committee	Tuesday, 15 September 2020	Matter for Information
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Report Title: **Local Government and Social Care Ombudsman Annual Review Letter (2019/20)**

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

Purpose of Report:	The purpose of the report is to bring to Members' attention the details of the Local Government and Social Care Ombudsman's Annual Review Letter in respect of Oadby and Wigston Borough Council for the year ending 31 March 2020.
Report Summary:	The Local Government and Social Care Ombudsman publishes an Annual Review Letter, containing statistical information relating to the number and type of complaints that they have received against the Council.
Recommendation(s):	That the content of the report and appendices be noted.
Senior Leadership, Head of Service, Manager, Officer and Other Contact(s):	<p>Anne Court (Chief Executive / Head of Paid Service) (0116) 257 2602 anne.court1@oadby-wigston.gov.uk</p> <p>David Gill (Head of Law & Democracy / Monitoring Officer) (0116) 257 2626 david.gill@oadby-wigston.gov.uk</p>
Corporate Objectives:	Providing Excellent Services (CO3)
Vision and Values:	Accountability (V1) Respect (V2) Customer Focus (V5)
Report Implications:-	
Legal:	There are no implications directly arising from this report.
Financial:	There are no implications directly arising from this report.
Corporate Risk Management:	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 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:	As the author, the report is satisfactory.
Consultees:	None.
Background Papers:	None.
Appendices:	<ol style="list-style-type: none"> 1. Annual Review Letter (2019/20) 2. Statistic Information (2019/20)

1. Information

- 1.1 The Local Government and Social Care Ombudsman (LGSCO) publishes an Annual Review Letter containing statistical information relating to the number and type of complaints that they have received against the Council.
- 1.2 The statistical information provides information on:
 - the complaints and enquiries received in the period;
 - the decisions made in the period; and
 - compliance with the recommendations recorded during the period.
- 1.3 The Annual Review Letter for 2019/20 is attached at **Appendix 1** together with the statistical information attached at **Appendix 2**.
- 1.4 The focus of the Annual Review Letter is now no longer on the number of complaints received by the Council, but on the outcome of those complaints investigated and what can be learned from them where fault is found.
- 1.5 The LGSCO publishes an interactive map where comparisons can be made between different councils which can be found at www.lgo.org.uk/your-councils-performance.

22 July 2020

By email

Mrs Court
Chief Executive
Oadby & Wigston Borough Council

Dear Mrs Court

Annual Review letter 2020

I write to you with our annual summary of statistics on the decisions made by the Local Government and Social Care Ombudsman about your authority for the year ending 31 March 2020. Given the exceptional pressures under which local authorities have been working over recent months, I thought carefully about whether it was still appropriate to send you this annual update. However, now, more than ever, I believe that it is essential that the public experience of local services is at the heart of our thinking. So, I hope that this feedback, which provides unique insight into the lived experience of your Council's services, will be useful as you continue to deal with the current situation and plan for the future.

Complaint statistics

This year, we continue to place our focus on the outcomes of complaints and what can be learned from them. We want to provide you with the most insightful information we can and have made several changes over recent years to improve the data we capture and report. We focus our statistics on these three key areas:

Complaints upheld - We uphold complaints when we find some form of fault in an authority's actions, including where the authority accepted fault before we investigated. A focus on how often things go wrong, rather than simple volumes of complaints provides a clearer indicator of performance.

Compliance with recommendations - We recommend ways for authorities to put things right when faults have caused injustice. Our recommendations try to put people back in the position they were before the fault and we monitor authorities to ensure they comply with our recommendations. Failure to comply with our recommendations is rare. An authority with a compliance rate below 100% should scrutinise those complaints where it failed to comply and identify any learning.

Satisfactory remedies provided by the authority - We want to encourage the early resolution of complaints and to credit authorities that have a positive and open approach to resolving complaints. We recognise cases where an authority has taken steps to put things

right before the complaint came to us. The authority upheld the complaint and we agreed with how it offered to put things right.

Finally, we compare the three key annual statistics for your authority with similar types of authorities to work out an average level of performance. We do this for County Councils, District Councils, Metropolitan Boroughs, Unitary Councils, and London Boroughs.

This data will be uploaded to our interactive map, [Your council's performance](#), along with a copy of this letter on 29 July 2020, and our Review of Local Government Complaints. For further information on how to interpret our statistics, please visit our [website](#).

This year, I issued a public report about your Council's failure to properly support a homeless woman and her children after they fled domestic violence. The investigation found the Council at fault because it did not accept the woman's homelessness application and instead told her to return to the area she had fled. This led to delays and distress for the woman, and the family stayed in unsuitable accommodation for one month longer than necessary.

The Council was recommended to apologise, pay the woman £500 and provide training to its housing officers. The Council did not agree to our recommendations and its elected members also declined to implement the recommendations made. This decision was based on the Council's view it had not acted with fault; however, any challenge to our findings can only be made by judicial review. I was particularly disappointed by the Council's continued refusal to accept the findings and agree to our recommendations. In response, I issued a draft further report highlighting the Council's error and was pleased it then finally agreed to the recommendations and provided the remedy, recognising the injustice the family experienced.

Resources to help you get it right

There are a range of resources available that can support you to place the learning from complaints, about your authority and others, at the heart of your system of corporate governance. [Your council's performance](#) launched last year and puts our data and information about councils in one place. Again, the emphasis is on learning, not numbers. You can find the decisions we have made, public reports we have issued, and the service improvements your Council has agreed to make as a result of our investigations, as well as previous annual review letters.

I would encourage you to share the tool with colleagues and elected members; the information can provide valuable insights into service areas, early warning signs of problems and is a key source of information for governance, audit, risk and scrutiny functions.

Earlier this year, we held our link officer seminars in London, Bristol, Leeds and Birmingham. Attended by 178 delegates from 143 local authorities, we focused on maximising the impact of complaints, making sure the right person is involved with complaints at the right time, and how to overcome common challenges.

We have a well-established and successful training programme supporting local authorities and independent care providers to help improve local complaint handling. During the year, we delivered 118 courses, training more than 1,400 people. This is 47 more courses than we

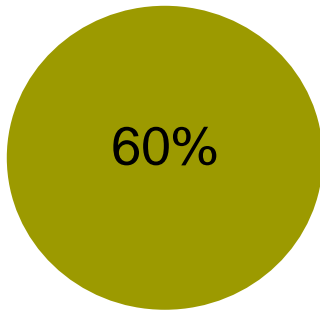
delivered last year and included more training to adult social care providers than ever before.
To find out more visit www.lgo.org.uk/training.

Yours sincerely,

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

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

Complaints upheld



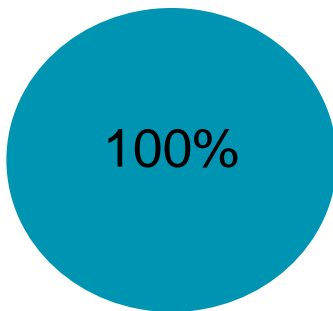
60% of complaints we investigated were upheld.

This compares to an average of **45%** in similar authorities.

3
upheld decisions

Statistics are based on a total of 5 detailed investigations for the period between 1 April 2019 to 31 March 2020

Compliance with Ombudsman recommendations



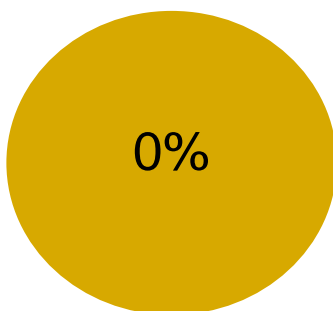
In **100%** of cases we were satisfied the authority had successfully implemented our recommendations.

This compares to an average of **99%** in similar authorities.

Statistics are based on a total of 3 compliance outcomes for the period between 1 April 2019 to 31 March 2020

- Failure to comply with our recommendations is rare. An authority with a compliance rate below 100% should scrutinise those complaints where it failed to comply and identify any learning.

Satisfactory remedies provided by the authority



In **0%** of upheld cases we found the authority had provided a satisfactory remedy before the complaint reached the Ombudsman.

This compares to an average of **20%** in similar authorities.

0
satisfactory remedy decisions

Statistics are based on a total of 5 detailed investigations for the period between 1 April 2019 to 31 March 2020

Reference	Authority	Category	Received
19000306	Oadby & Wigston Borough Council	Corporate & Other Services	15 Apr 2019
19004104	Oadby & Wigston Borough Council	Planning & Development	12 Jun 2019
19009723	Oadby & Wigston Borough Council	Housing	11 Sep 2019
19010382	Oadby & Wigston Borough Council	Benefits & Tax	20 Sep 2019
19011136	Oadby & Wigston Borough Council	Environmental Services & Public Protection & Regulation	02 Oct 2019
19013892	Oadby & Wigston Borough Council	Planning & Development	14 Nov 2019
19017912	Oadby & Wigston Borough Council	Benefits & Tax	20 Feb 2020
19019305	Oadby & Wigston Borough Council	Housing	17 Feb 2020
19019937	Oadby & Wigston Borough Council	Environmental Services & Public Protection & Regulation	26 Feb 2020

Ref.	Authority	Category	Decided	Decision	Decison Reason	Remedy	Service improvement recommendations
17017604	Oadby & Wigston Borough Council	Housing	01/05/19	Upheld	mal & inj	Apology	
18005370	Oadby & Wigston Borough Council	Housing	04/04/19	Upheld	mal & inj S30(1)	Apology, Financial redress: Avoidable distress/time and trouble, Training and guidance	We recommended the Council provide training to its housing staff to ensure they can identify when a homelessness application should be taken.
18016949	Oadby & Wigston Borough Council	Planning & Development	05/11/19	Not Upheld	no mal		
18018917	Oadby & Wigston Borough Council	Benefits & Tax	16/04/19	Referred back for local resolution	Premature Decision - referred to BinJ		
19000306	Oadby & Wigston Borough Council	Corporate & Other Services	03/06/19	Closed after initial enquiries	Not warranted by alleged mal/service failure		
19004104	Oadby & Wigston Borough Council	Planning & Development	28/10/19	Not Upheld	no mal		

19009723	Oadby & Wigston Borough Council	Housing	05/02/20	Upheld	mal & inj	Financial redress: Avoidable distress/time and trouble, New appeal/review or reconsidered decision, Financial redress: Loss of service	
19010382	Oadby & Wigston Borough Council	Benefits & Tax	20/09/19	Referred back for local resolution	Premature Decision - advice given		
19011136	Oadby & Wigston Borough Council	Environmental Services & Public Protection & Regulation	03/12/19	Closed after initial enquiries	Not warranted by alleged injustice		
19019305	Oadby & Wigston Borough Council	Housing	17/02/20	Referred back for local resolution	Premature Decision - advice given		
19019937	Oadby & Wigston Borough Council	Environmental Services & Public Protection & Regulation	26/02/20	Referred back for local resolution	Premature Decision - advice given		

Reference	Authority	Category	Decided	Remedy	Remedy Target Date	Remedy Achieved Date	Satisfaction with Compliance
17017604	Oadby & Wigston Borough Council	Housing	01-May-19	Apology	03-Jun-19	01-May-19	Remedy complete and satisfied
18005370	Oadby & Wigston Borough Council	Housing	04-Apr-19	Apology Financial redress: Avoidable distress/time and trouble Training and guidance	12-Dec-19	18-Nov-19	Remedy completed late
19009723	Oadby & Wigston Borough Council	Housing	05-Feb-20	Financial redress: Avoidable distress/time and trouble New appeal/review or reconsidered decision Financial redress: Loss of service	04-Mar-20	27-Feb-20	Remedy complete and satisfied



Policy, Finance and Development Committee	Tuesday, 15 September 2020	Matter for Information and Decision
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Report Title: **Review of Corporate Compliments, Comments & Complaints Policy (September 2020)**

Report Author(s): **Philippa Fisher (Head of Customer Service & Transformation)**

Purpose of Report:	To seek Member's approval for the Council to adopted the proposed Corporate Compliments, Comments & Complaints Policy.
Report Summary:	Oadby and Wigston is committed to providing the best possible service to our customers and for them to have a process to compliment, comment or complain if services exceed or fall below what is expected. The proposed Policy ensures that there is a clear process for our customers to follow when making a complaint. It also will help us to put things right when they go wrong and most important ensure that the Council learns from the mistakes made.
Recommendation(s):	That the proposed Corporate Compliments, Comments & Complaints Policy (as set out at Appendix 1) be approved.
Senior Leadership, Head of Service, Manager, Officer and Other Contact(s):	Philippa Fisher (Head of Customer Service & Transformation) (0116) 257 2677 philippa.fisher@oadby-wigston.gov.uk Trish Hatton (Corporate Project Manager) (0116) 257 2700 trish.hatton@oadby-wigston.gov.uk
Corporate Objectives:	Providing Excellent Services (CO3) Building, Protecting and Empowering Communities (CO1)
Vision and Values:	Accountability (V1) Respect (V2) 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) Regulatory Governance (CR6)
Equalities and Equalities Assessment (EA):	There are no implications arising from this report. Initial EA Screening (See Appendices)
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:	1. Compliments, Comments & Complaints Policy (September 2020) 2. Equality Assessment (Initial Screening)

1. Information

- 1.1 As part of the journey towards achieving the Customer Service Excellence Award, the Council has reviewed its operational processes and policies to improve service and support to its customers, including the Compliments, Comments and Complaints Policy.
- 1.2 It has also coincided with the updated Housing Ombudsman Scheme, which contains its complaint process launched in September 2020. The proposed Compliments, Comments and Complaints Policy also accommodates the changes to reflect this new legislation.
- 1.3 Having conducted a review of the Council's current response to complaints, the proposed policy document drafted at **Appendix 1** incorporates all changes and additions to relevant legislation relating to the Housing Ombudsman Scheme.
- 1.4 The benefits of this new proposed policy is enhanced clarity for our customers about how the Council communicates and responds, specifically around the process for complaints.
- 1.5 Key areas of improvement are as follows:-
- Making it easier for customers to complain by one initial point of contact
 - Improved response times
 - Introduction of an early resolution principle
 - Improved monitoring and reporting
- 1.6 There are no financial implications or other commitments included in approving the proposed policy.

OADBY & WIGSTON BOROUGH COUNCIL

**COMPLIMENTS, COMMENTS AND
COMPLAINTS POLICY**



Policy Owner: Head of Customer Service and Transformation
Date of Next Policy Review: September 2021

Contents

	Page Number
PART 1.0: Purpose	3
PART 2.0: Our approach to complaints	3
PART 3.0: What is a complaint	4
PART 4.0: What is not a complaint	4-5
PART 5.0: Types of complaints	6
PART 6.0: Making a complaint	7
PART 7.0: Who can make a complaint?	8
PART 8.0: Process of making a complaint	9 - 11
PART 9.0: Timescales	11
PART 10.0: Monitoring and Reporting	12
PART 11.0: Process of handling a complaint	13
PART 12.0: Dealing with vexatious complaints	14
PART 13.0: Compliments and comments	15
PART 14.0: Legislation and Government Guidance	16

1.0 Purpose

Oadby & Wigston Borough Council is committed to providing the best possible service to our customers and this is at the heart of everything we do.

The Council is a large and complex organisation and provides a wide range of services to many people. Sometimes we will get things wrong. We encourage feedback so we can learn and make improvements.

We ensure our staff are fully trained on complaints handling and can deal effectively with customer feedback.

This policy ensures that there is a clear process for our customers to follow when making a complaint. It also helps us to put things right when they go wrong and most importantly ensures we learn from our mistakes.

All feedback is important so this policy also covers how we handle compliments and comments from our customers.

2.0 Our Approach to Complaints

Our aim is to ensure that complaints are handled in a consistent, fair and appropriate manner. When dealing with complaints we use the following principles:

- It should be easy for customers to make a complaint.
- When a complaint is made, where possible, we will focus on early resolution and try to solve the issue for the customer.
- When a full investigation is needed, we will consider all aspects and contact the complainant for more information when we need to.
- We will deal with complaints in an open-minded and impartial way. The complainant, and if applicable any staff member who is the subject of the complaint, will be given a fair chance to set out their position and comment on any adverse findings before a final decision is made.
- Customers who make a complaint will be treated fairly, and will not be disadvantaged in any way for raising their issue.
- When responding to a complaint, we will explain what happened, admit when things go wrong and do our best to put them right. If a complaint is unjustified we will explain why we believe this to be the case.
- We will regularly monitor all complaints to ensure timescales and satisfaction levels are met.
- We will learn from complaints so that we can improve our services.

3.0 What is a Complaint?

A complaint to us is “*expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the organisation, its own staff, or those acting on its behalf, affecting an individual or group of people.*”

This could, but not exclusively fall into the following categories:

- A complaint about a service.
- A complaint about a member of staff.
- A complaint about a policy.

4.0 What is not a Complaint?

There are other subjects which we recognise that customers may feel the need to complain about but do not fit into the definition of a complaint under this policy.

Appealing service outcomes/decisions

Where a customer has a statutory right of appeal against a decision this will not be treated as a complaint. For example, where planning permission has been refused, where you do not agree with the outcome of a Benefit application or when you do not agree with the banding of your property for Council Tax.

Insurance claims

If the person contacting the Council wishes to make an insurance claim for the loss they have incurred, they should be advised to put the full details in writing to our finance team:

Finance Section
Oadby and Wigston Borough Council
Station Road
Wigston
Leicestershire LE18 2DR

Email: insurance@oadby-wigston.gov.uk

More information can be found on our website: https://www.oadby-wigston.gov.uk/pages/insurance_claims

Complaint forms should not be used for insurance claims, as this can slow down the process.

Complaining about a Councillor

If a customer feels it necessary to complain about the conduct of a Councillor there is a separate process for this type of complaint, this can be found on our website.

In these circumstances if you are not sure how to proceed please contact our Customer Service Team on 0116 288 8961 who will be able to advise you of the correct process to follow.

Members Enquiries

General enquiries from Members will not be treated as complaints. There is a separate process for these.

Complaint about a service area outside our responsibility

The customer should be referred on to the appropriate local authority.

Complaints about information requested under the Freedom of Information Act or Data Protection Act

The customer should contact the Information Commissioner at www.ico.org.uk or call 0303 1231113.

Neighbour disputes or anti social behaviour

Should be reported to the housing team, the Council's Anti Social Behaviour Officer or the Police where appropriate. We would only investigate a complaint that refers to our failure to deal with the disagreement appropriately

Issues regarding hate crime or domestic violence

These should be reported to the Police.

Issues where there is another appeals process, e.g. disrepair or housing and homelessness applications

- The issue giving rise to the complaint occurred over six months ago. Where the problem is a recurring issue, the landlord (who is the Council) should consider any older reports as part of the background to the complaint if this will help to resolve the issue for the resident. (N.B. it may not be appropriate to rely on this exclusion where complaints concern safeguarding or health and safety issues.)
- Legal proceedings have been started. Landlords (the Council) should take steps to ensure that residents (Council tenants) are not left without a response for lengthy periods of time, for example, where a letter before action has been received or issued but no court proceedings are started or settlement agreement reached.
- Matters that have already been considered under the complaints policy.
- If a landlord (the Council) decides not to accept a complaint a detailed explanation should be provided to the resident setting out the reasons why the matter is not suitable for the complaints process.

If a complaint is not appropriate to deal with under this Policy, staff should sign post the customer to the appropriate organisation. .

5.0 Type of Complaints

Multi areas of complaints

Customers sometimes make complaints about more than one section/department, how we handle these will depend on if they are unrelated or linked.

Unrelated Complaints

Complaints that do not appear to be linked in any way e.g. an issue with a park and a housing repair, will be separated by the Complaints Monitoring Officer and sent to the departments concerned, separate responses will be sent on each part of the complaint.

Linked complaints

With complaints that are linked and involve more than one section or department, the Complaints Monitoring Officer will establish what issue is the main part of the complaint and that section/department will lead on the complaint. Only one response letter will be sent. The lead manager will liaise with the other section/department to coordinate the response.

Complaints about our partners

Any complaint or issue relating to dissatisfaction with services provided on behalf of Oadby & Wigston Borough Council should be directed to the organisation delivering the service in the first instance.

If the organisation delivering the service does not resolve the issue, the customer can bring the matter to the council's attention and it can be considered as a complaint.

Complaints about our contractors

The Council use private contractors for some repairs in council owned homes. Any complaints by a council tenant or leaseholder relating to repairs carried out by contractors should be directed to the Council.

Where a tenant or leaseholder reports a repairs issue the Council will consider whether this should be dealt with as a service request or a complaint. A service request is a contact from a customer that brings a matter to the council's attention for the first time for example reporting a repair. A complaint is a where the customer expresses dissatisfaction about the standard of a service, actions, or lack of actions by the council or those carrying out work on behalf of the council and there staff.

Anonymous complaints

We will accept and act on anonymous complaints even though it will not be possible for the complaint to be acknowledged or responded to in this circumstance. Anonymous complaints will be investigated and used to monitor and develop our services.

6.0 Making a complaint

All complaints go through our Customers Service Team. Customers can make a complaint by any of the following methods:

- **Online** - by completing our online form https://www.oadby-wigston.gov.uk/pages/compliments_comments_and_complaints_policy_and_for_m
- **Email** – by emailing our Customer Service Team customerservices@oadby-wigston.gov.uk
- **In writing** – by writing to our Customer Service Team at 40 Bell Street, Wigston, Leicestershire LE18 1AD
- **Phone/Face to face**
Any customers that need help making a complaint can call our Customer Service Team on 0116 288 8961, or visit our Bell Street office and a Customer Service Officer will take the details and assist the customer to make their complaint.

Customers can also make their complaints in person when they meet with a Council Officer, for example during a home visit from a Housing Officer.

- **Social Media**
By posting a message on our Facebook or Twitter accounts.

Please note - If a complaint is received via social media the Customer Service Team will try to make direct contact with the complainant to gather full details of the complaint. If no more information can be gathered, the relevant service area manager will be made aware of the content of the complaint and will investigate where possible. If the customer does not provide enough information to allow an investigation or is unwilling to engage, this investigation may be limited

- **Via a third party (with permission)**
This includes advocates, MP's and Councillors.

We will remove barriers which might deter or exclude customers from accessing the complaints process.

We will support customers who require assistance to make a complaint and will make reasonable adjustments where practicable.

If a customer makes a complaint they:

- will not suffer any penalty or discrimination as a result
- will have their complaint acknowledged, taken seriously and investigated
- will receive a reasoned and honest response

7.0 Who can make a complaint?

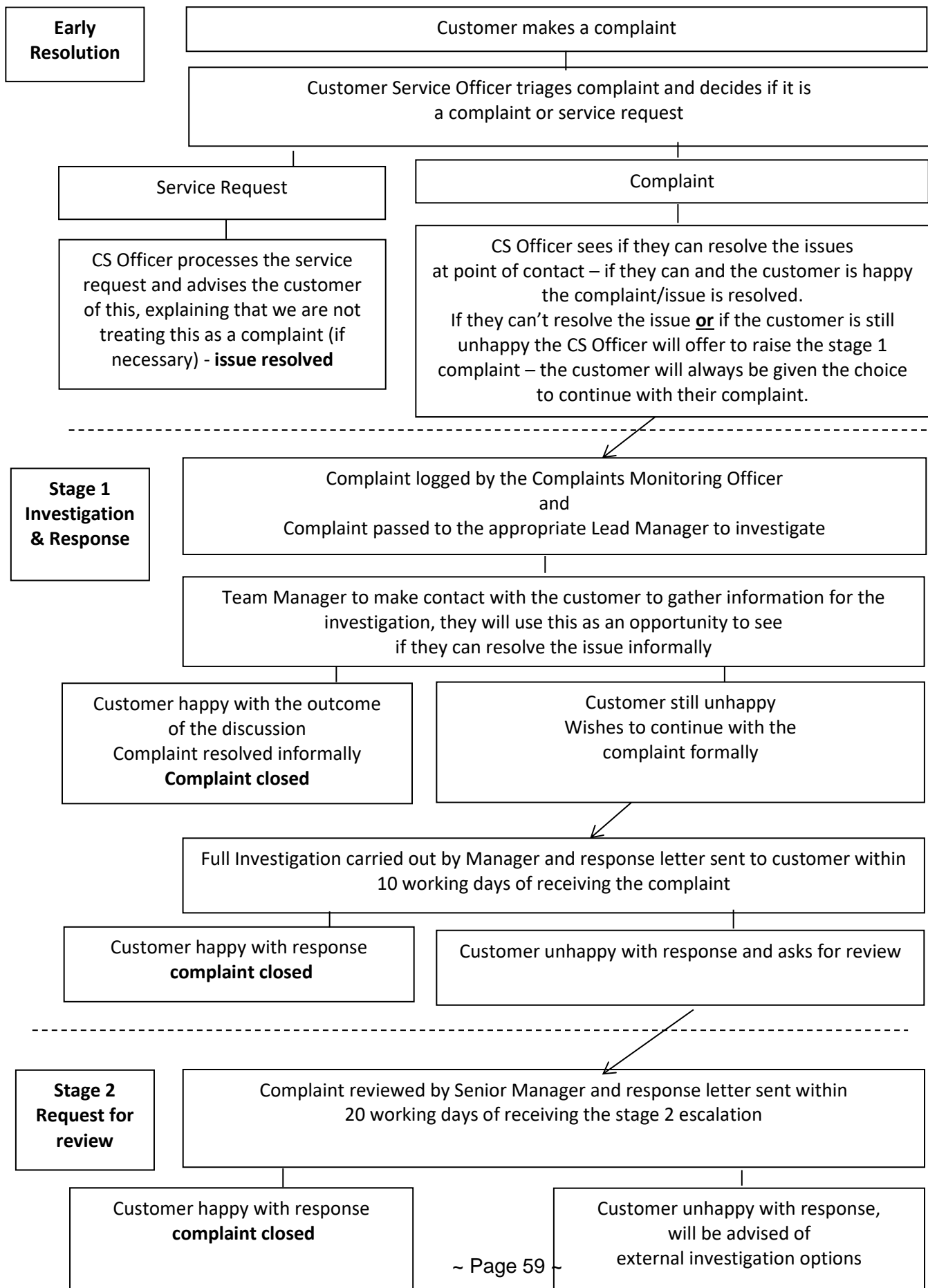
We accept complaints from residents, local businesses, visitors, suppliers of services, community groups and other groups or individuals that use or are affected by our services.

We also accept complaints from people acting on behalf of someone else such as Councillors, Members of Parliament, advocates and support agencies.

Where a complaint is made on behalf of a customer we will require confirmation that the representative has permission to act on their behalf and information can be shared.

8.0 Process of making a complaint

This flowchart shows the process for making a complaint and relates to both Housing Complaints (under the new guidance of September 2020) and also all other general complaint.



External Investigation – General Complaints

The Local Government Ombudsman considers general complaints about local authorities. They investigate complaints about poor service, failure to provide a service and administrative failure.

If after going through both formal stages of the Council's complaint procedure, the complainant remains unhappy with the way their complaint has been handled, they have the right to complain to the Ombudsman.

Contact details for Local Government Ombudsman
Local Government Ombudsman PO Box 4771 Coventry CV4 0EH Tel: 0300 061 0614 or 0845 602 1983 Website: www.lgo.org.uk

External Investigation – Housing Complaints

The Housing Ombudsman considers housing related complaints. Before contacting the Housing Ombudsman, the tenant has the option to contact a designated person first to help find a solution.

A designated person can be either a local Councillor or an MP. Their role is to help resolve disputes between tenants and their landlords which they can do in whatever way they think is most likely to work. If the designated person cannot help they can refer a complaint to the Housing Ombudsman.

Tenants can also choose to go directly to the Housing Ombudsman and bypass the designated person, but they have to wait for eight weeks from the response to their stage two complaint before they do so.

The point of contact for the Housing Ombudsman will be the Housing Services Manager.

Help and Advice from the Housing Ombudsman

Residents have the right to access the Housing Ombudsman Service, not only at the point they have exhausted the landlord's complaints process, but at any stage in the complaints process. The Housing Ombudsman dispute support advisors can offer residents support and advice at any point during the complaint process

N.B. The Housing Ombudsman does not deal with complaints about housing allocations, homelessness applications, Housing Benefit, sale or disposal of land on housing estates, planning and building control at council houses owned by the Council.

Contact details for the Housing Ombudsman
Housing Ombudsman Service PO Box 152 Liverpool L33 7WQ Telephone: 0300 111 3000 Website: https://www.housing-ombudsman.org.uk/

Meeting the Housing Regulator's Consumer Standards

If a complaint concerns an issue that may result in serious detriment, such as a health and safety issue, this must be escalated to the Housing Service Manager and HRA Programme Manager to deal with.

The Housing Regulator requires social landlords to meet specific statutory requirements on gas, fire, asbestos and electrical safety as well as the Health and Safety at Work Act 1974. Failure to comply with the Regulator's Home Standard can have significant implications for the safety of the Council's tenants and leaseholders.

Examples include:

- Gas safety checks
- Electrical safety checks
- Fire Safety checks
- Asbestos surveys
- Water safety checks

9.0 Timescales

We will always try to resolve any issue that is raised with us early on. If we are unable to do this informally, customers can invoke the formal process. There are 2 stages to our formal complaints process.

Stage 1

The initial complaint - Response time for this complaint is 10 working days.

Stage 2

Complainant is unhappy with the response that they have received to their initial complaint so they are asking for their complaint to be reviewed. Response time for this complaint is 20 working days.

If it is not possible to resolve a complaint within the stated timescales, the customer will be kept up to date with the progress of the complaint and informed when they should expect a response.

All complaints will be acknowledged within 5 working days of receipt of the complaint.

If the Complainant remains dissatisfied with the outcome at stage 2 they can take their complaint to the Local Government Ombudsman or the Housing Ombudsman as outlined above.

Timescales in which to make a complaint

Normally, a complaint must be made within 12 months of the event you want to complain about, or finding out that you have a reason to complain. In certain circumstances, we may accept your complaint after the 12 month time limit.

10.0 Monitoring and Reporting

Complaints and service failures will be monitored, analysed and reported on by the Head of Customer Services and Transformation.

The Head of Customer Service and Transformation will chair a quarterly complaints review meeting to ensure that we are effective at handling complaints and to highlight areas for improvement.

Reviewing complaints is invaluable in allowing teams to identify any specific strengths and weaknesses within their service area, measuring customer satisfaction with services and most importantly using feedback to improve customer focus and deliver better services.

The Role of the Complaints Monitoring Officer

Our Complaints Monitoring Officer has several roles to play within the complaints procedure:

- To record all complaints.
- To acknowledge all complaints.
- To ensure that complaints are administered in a timely manner.
- To ensure that information on complaints is recorded for monitoring and reporting purposes.
- To provide feedback to the Head of Customer Services and Transformation, Heads of Service and Team Managers on the processing of complaints handling within departments.
- To provide guidance and advice to those handling complaints.

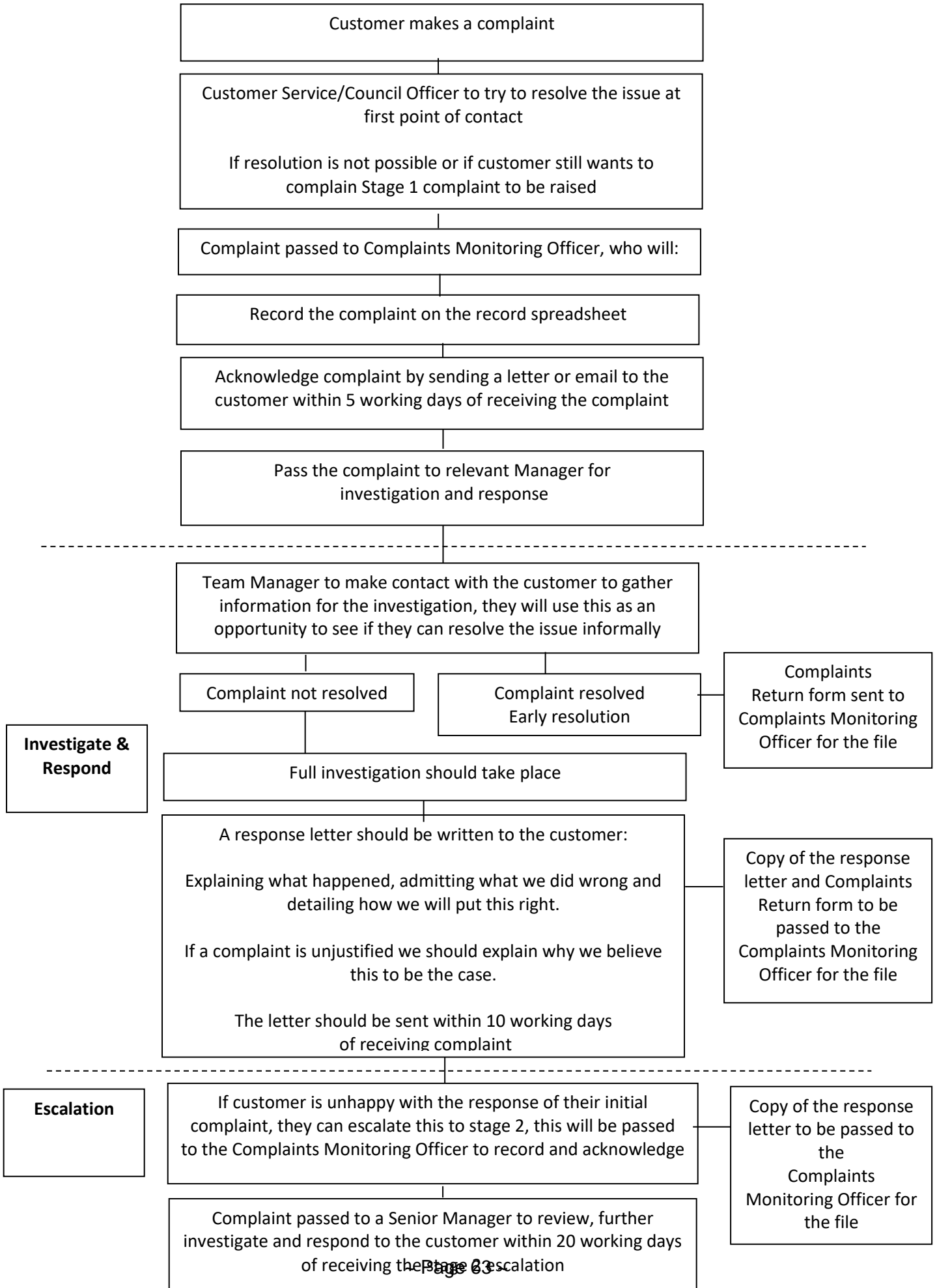
Role of the investigating Manager

- To conduct a thorough investigation of any complaints received for their service area
- To try and resolve issues as soon as possible
- To respond to the customer within response timeframes
- To provide a copy of the response letter and summary of the complaints investigation (complaints return form) to the Complaints Monitoring Officer
- To implement any actions needed as a result of the complaint

Role of the Senior Review Manager

- To review the initial complaint investigation
- To review all the evidence and consider the complaint again
- To respond to the customer with their findings
- To ensure lessons are learned if appropriate

11.0 Process of handling complaints



12.0 Dealing with vexatious complaints

In a small number of cases, people pursue their complaints in a way that is unreasonable. In most instances when we consider someone's behaviour is unreasonable we will explain why and ask them to change it.

Examples of unreasonable behaviour are:

- Using abusive or foul language
- Sending multiple emails
- Leaving multiple voicemails
- Making repeated telephone calls
- Multiple attendance to the Customer Service Centre about the same subject matter

If they continue to behave unacceptably, or be unreasonably persistent in their contacts, we will investigate the complaint but it may be necessary to address unacceptable behaviour by restricting contact with the Council.

Examples of a vexatious complaint include:

- Insufficient or no grounds for the complaint or the complaint is motivated by malice
- Refusal to specify the grounds of the complaint
- Refusal to cooperate with the complaints process while still wishing the complaint to be resolved
- Changing the substance or nature of the complaint without reasonable justification
- Denying statements he or she made at an earlier stage in the complaint
- Refusal to accept the outcome of a complaint after its conclusion, repeatedly arguing the point, complaining about the outcome and denying an adequate response has been given

Where complaints are made in what is deemed to be an aggressive, abusive and/or vexatious, or in an unreasonably persistent manner and the Council is satisfied that:

- The complaint has been investigated properly
- Any decision reached is the right one
- Communications with the complainant have been adequate, and the complainant is not now providing any significant new information that might affect the Council's view on the complaint

A letter will be sent by the Head of Service responsible for the service area from where the complaint originates to inform the complainant that their behaviour is considered unacceptable and that no further correspondence in respect of the complaint will be entered into.

Where the behaviour is so serious it threatens the safety and wellbeing of others the matter may be subject to legal action. If the customer is a council tenant or leaseholder the matter should be referred to the Head of Built Environment or the Housing Manager for action under potential breach of the conditions of their tenancy or lease.

13.0 Compliments and Comments

Compliments

Compliments help us understand what we are doing well and what our customers really value. It's good for our staff to know that people appreciate their work. It also enables us to identify areas of best practice and share them across the Council.

When we receive a compliment we will:

- Acknowledge the compliment where possible
- Pass details of the compliment and the comment on to the Complaints Monitoring Officer so that this can be recorded for reporting purposes.
- Pass the compliment to the relevant service managers for their information and so they can share it with their team

Comments

A comment is a suggestion, idea or observation about an area of our service. Comments give us ideas about improving our services and providing value for money.

Some comments do not require a response, but all comments will be recorded and shared with the relevant service area for continuous improvement.

Customers can make a Compliment or Comment by any of the following methods:

- **Online** - by completing our online form https://www.oadby-wigston.gov.uk/pages/compliments_comments_and_complaints_policy_and_for_m
- **Email** – by emailing our Customer Service Team customerservices@oadby-wigston.gov.uk
- **In writing** – by writing to our Customer Service Team at 40 Bell Street, Wigston, Leicestershire LE18 1AD
- **Phone/Face to face**
Any customers that need help making a complaint can call our Customer Service Team on 0116 288 8961, or visit our Bell Street office and a Customer Service Officer will take the details and assist the customer to make their complaint.
- **Social Media**
By posting a message on our Facebook or Twitter accounts

14.0 Relevant Legislation

All complaints will be handled in accordance with the General Data Protection Regulation and the Data Protection Act 2018. The handling and storage of personal data will be processed in accordance with data protection legislation at all times and in accordance with the Council's Privacy Policy

All complaints received will be dealt with in accordance with the requirements of the Equality Act 2010. We will, when necessary adapt normal policies, procedures, or processes to accommodate any individual's needs such as providing documents in large print or Braille, arranging meetings in person or undertaking home visits where appropriate.

In implementing this Policy the Council will comply with the Regulator for Social Housing's Regulatory Framework for Social Housing in England and the Housing Ombudsman's Complaint Handling Code (July 2020).



EQUALITY ASSESSMENT

PART 1 - INITIAL SCREENING

Name of Policy/Function:		This is new
		This is a change to an existing policy
		This is an existing policy, Function, not previously assessed
	x	This is an existing policy/function for review

Date of screening	26/05/2020
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1. Briefly describe its aims & objectives

The Complaints Policy is designed to provide members of public and staff clear guidance on how Oadby & Wigston Borough Council handle complaints.

2. Are there external considerations?

e.g. Legislation/government directive etc

Complaints, complements and comments guidance – Local Government Ombudsman Equality Act 2010, the General Data Protection Regulation and the Data Protection Act 2018. The Regulator for Social Housing’s Regulatory Framework for Social Housing in England and the Housing Ombudsman’s Complaint Handling Code (July 2020).

3. Who are the stakeholders and what are their interests?

The Council – want to ensure that all customers making complaints have clear guidance to follow and can understand the process followed to handle complaints

Staff – want to have a policy to follow when handling and investigating complaints

Customers – want to be able to access clear guidance in the event they need to make a complaint

4. What outcomes do we want to achieve and for whom?

The council want to achieve the outcomes listed below:

- Make it easier for customers to make a complaint.
- Focus on early resolution and try to solve the issue for the customer.
- Consider all aspects and contact the complainant for more information when we need to.
- Deal with complaints in an open – minded and impartial way.
- Customers who make a complaint will be treated fairly, and will not be disadvantaged in anyway for raising their issue.
- When responding to a complaint, we will explain what happened, admit when things go wrong and do our best to put them right. If a complaint is unjustified we will explain why we believe this to be the case.
- We will regularly monitor all complaints to ensure timescales and satisfaction levels are met.
- We will learn from complaints so that we can improve our services

5. Has any consultation/research been carried out?

Yes, Staff were consulted with and surveyed and customer feedback was considered.

6. Are there any concerns at this stage which indicate the possibility of Inequalities/negative impacts?

Consider and identify any evidence you have -equality data relating to usage and satisfaction levels, complaints, comments, research, outcomes of review, issues raised at previous consultations, known inequalities) If so please provide details.

No

7. Could a particular group be affected differently in either a negative or positive way?

Positive – *It could benefit*
Negative – *It could disadvantage*
Neutral – *Neither positive nor negative impact or not sure.*

	Type of impact, reason & any evidence
Disability	Positive - Telephone and face to face complaints are now accepted, members of the customer service team and other staff are permitted to assist customers to make complaint and this benefits people who would struggle to put their complaint in writing themselves.
Race (including Gypsy & Traveller)	Neutral
Age	Neutral
Gender Reassignment	Neutral
Sex	Neutral
Sexual Orientation	Neutral
Religion/Belief	Neutral
Marriage and Civil Partnership	Neutral
Pregnancy and Maternity	Neutral

8. Could other socio-economic groups be affected?

e.g. carers, ex-offenders, low incomes, homeless?

Allowing Customer Service Offices and other staff to raise complaints on behalf of customers will allow socio-economic and hard to reach groups to be heard.

These type of customers often offer verbal feedback, but would struggle to put their complaint in writing in their own words. Customer Service Officers being able to assist people would encourage people to engage in our complaints process.

9. Are there any human rights implications?

Yes/No (If yes, please explain)

No

10. Is there an opportunity to promote equality and/or good community relations?

Yes/No (If yes, how will this be done?)

Yes, we are going to create a section on our website called "You said, We Listened" we will highlight the positive changes from this policy on this page of the website.

11. If you have indicated a negative impact for any group is that impact legal?

i.e. not discriminatory under anti-discrimination legislation

No

12. Is any part of this policy/service to be carried out wholly or partly by contractors?

Customers are able to complaint about contractors or partners (carrying out services on the councils behalf).

Complaints about our partners - the initial investigation will be undertaken, where appropriate by the organisation that provided the service that is being complained about. If the complainant is dissatisfied with the response, an independent review of the complaint will usually be undertaken by an officer of the Council.

Complaints about our contractors

The Council use private contractors for some repairs in council owned homes. Any complaints by a council tenant or leaseholder relating to repairs carried out by contractors should be directed to the Council.

Where a tenant or leaseholder reports a repairs issue the Council will consider whether this should be dealt with as a service request or a complaint. A service request is a contact from a customer that brings a matter to the council's attention for the first time for example reporting a repair. A complaint is a where the customer expresses dissatisfaction about the standard of a service, actions, or lack of actions by the council or those carrying out work on behalf of the council and there staff.

13. Is a Part 2 full Equality Assessment required?

No

14. Date by which a Part 2 full Equality Assessment is to be completed with actions.

N/A

Please note that you should proceed to a Part 2, the full Equality Impact Assessment if you have identified actual, or the potential to cause, adverse impact or discrimination against different groups in the community.

We are satisfied that an initial screening has been carried out and a full equality assessment **is not required*** (please delete as appropriate).

Completed by: **Trish Hatton**
(Policy/Function/Report written)

Date **08/09/2020**

Countersigned by:**Philippa Fisher**.....
(*Head of Service*)

Date:**08/09/2020**

Screened by:.....Date:.....

Please forward an electronic copy to: veronika.quintyne@oadby-wigston.gov.uk
(*Community Engagement Officer*)

Equality Assessments shall be published on the Council website with the relevant and appropriate document upon which the equality assessment has been undertaken.