

# ASHFIELD DISTRICT COUNCIL



Council Offices,  
Urban Road,  
Kirkby in Ashfield  
Nottingham  
NG17 8DA

## Agenda

## Cabinet

Date: **Thursday, 14th June, 2018**

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Time: **10.00 am**

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Venue: **Committee Room, Council Offices, Urban Road,  
Kirkby-in-Ashfield**

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For any further information please contact:

**Julie Robinson**

[j.robinson@ashfield.gov.uk](mailto:j.robinson@ashfield.gov.uk)

01623 457316

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# **CABINET**

## **Membership**

**Chairman:** Councillor Jason Zadrozny

**Councillors:**

Christian Chapman  
Robert Sears-Piccavey  
John Wilmott

Tom Hollis  
Helen-Ann Smith

## **FILMING/AUDIO RECORDING NOTICE**

This meeting may be subject to filming or audio recording. If you have any queries regarding this, please contact Members' Services on 01623 457316.

## **SUMMONS**

You are hereby requested to attend a meeting of the Cabinet to be held at the time/place and on the date mentioned above for the purpose of transacting the business set out below.



**R. Mitchell**  
**Chief Executive**

## AGENDA

Page

1. **To receive apologies for absence, if any.**
2. **Declarations of Disclosable Pecuniary or Personal Interests and Non Disclosable Pecuniary/Other Interests.**
3. **To receive and approve as a correct record the minutes of a meeting of the Cabinet held on 15th March, 2018.** 5 - 10
4. **Corporate Scorecard - Year End 2017/18 Position.** 11 - 32  

Decision included in the Forward Plan of Executive Decisions  
Portfolio Holder: Councillor Jason Zadrozny – Leader of the Council
5. **Corporate Risk - Year End 2017/18 Position.** 33 - 80  

Decision included in the Forward Plan of Executive Decisions  
Portfolio Holder: Councillor Jason Zadrozny – Leader of the Council
6. **General Fund, HRA and Capital Out-turn 2017/18.** 81 - 96  

Key Decision included in the Forward Plan of Executive Decisions  
Portfolio Holder: Councillor Robert Sears-Piccavey – Cabinet Member (Inward)
7. **Council's Treasury Management and Borrowing Activities.** 97 - 104  

Key Decision included in the Forward Plan of Executive Decisions  
Portfolio Holder: Councillor Robert Sears-Piccavey – Cabinet Member (Inward)
8. **Council's Insurance Requirements** 105 - 112  

Key Decision included in the Forward Plan of Executive Decisions  
Portfolio Holder: Councillor Robert Sears-Piccavey – Cabinet Member (Inward)
9. **Public Spaces Protection Order - Consultation.** 113 - 152  

Key Decision included in the Forward Plan of Executive Decisions  
Portfolio Holder: Councillor Christian Chapman – Cabinet Member (Joint Focus)

- 10. Digital and Service Transformation Programme.** 153 - 176
- Key Decision included in the Forward Plan of Executive Decisions  
Portfolio Holder: Councillor Christian Chapman – Cabinet Member  
(Joint Focus)
- 11. Section 100A Local Government Act 1972; Exclusion of Press and Public.**
- A Member of the Cabinet is asked to move:-
- “That in accordance with the provisions of Section 100A of the Local Government Act 1972, the press and public be now excluded from the meeting during the following items of business on the grounds that they involve the likely disclosure of exempt information as defined in paragraph 3 of part 1 of Schedule 12A of the Act and in respect of which the Proper Officer considers the public interest in maintaining the exemption outweighs the public interest in disclosing the information.
- 12. Housing Digital and Service Transformation Programme.** 177 - 186
- Key Decision included in the Forward Plan of Executive Decisions  
Portfolio Holders: Councillor John Wilmott – Cabinet Member  
(Outward) and Councillor Christian Chapman – Cabinet Member  
(Joint Focus)
- 13. Corporate Finance System - Upgrade.** 187 - 194
- Key Decision included in the Forward Plan of Executive Decisions  
Portfolio Holder: Councillor Christian Chapman – Cabinet Member  
(Joint Focus)
- 14. Payment and Income Management System.** 195 - 204
- Key Decision included in the Forward Plan of Executive Decisions  
Portfolio Holder: Councillor Christian – Cabinet Member (Joint Focus)
- 15. Permission for Commercial Land Sales.** 205 - 208
- Key Decision included in the Forward Plan of Executive Decisions  
Portfolio Holder: Councillor Jason Zadrozny – Leader of the Council

## CABINET

Meeting held in the Council Chamber, Council Offices, Urban Road, Kirkby-in-Ashfield,

on Thursday, 15th March, 2018 at 6.30 pm

**Present:** Councillor Cheryl Butler in the Chair;

Councillors Amanda Brown, Tim Brown,  
Keir Morrison and Nicolle Ndiweni.

**Apologies for Absence:** Councillors Don Davis and Jackie James.

**Officers Present:** Craig Bonar, Richard Crossland, Ruth Dennis,  
Sharon Lynch, Robert Mitchell, Paul Parkinson  
and Julie Robinson.

**In Attendance:** Councillor Jason Zadrozny and  
County Councillor Samantha Deakin.

### **CA.63 Declarations of Disclosable Pecuniary or Personal Interests and Non-Disclosable Pecuniary/Other Interests**

There were no declarations of interest.

### **CA.64 Minutes**

RESOLVED

that the minutes of the meetings of the Cabinet held on 19th February and 5th March, 2018 be received and approved as a correct record.

### **CA.65 Corporate Scorecard - April to December 2017 Position**

Members were asked to consider and review the Quarter 3 (April to December, 2017) outturn for corporate performance scorecard, which is aligned with the Corporate Priorities.

RESOLVED

that Cabinet notes the levels of performance achieved against the Corporate Scorecard as at Quarter 3 2017/18, in order to facilitate delivery of the Corporate Plan and improved performance of the organisation.

Reasons:

The Council's ambitions for the next three years are clearly identified in the Corporate Priorities which are presented in the Corporate Plan 2016 - 2019. In March, 2016 Cabinet agreed the use of a balanced scorecard methodology to enhance the organisations performance framework and ability to understand how successfully the Corporate Priorities are being delivered, the approach providing a more rounded view on performance with a greater emphasis on customer satisfaction and quality.

As the report relates to the delivery of the Corporate Plan priorities there were no alternative options to consider.

(Councillor Nicolle Ndiweni entered the meeting at 6.33 p.m. during consideration of the above item.)

#### **CA.66 Change to Procurement Service**

Members were asked to consider the arrangements for the procurement services provided by Nottingham City Council effective from 1<sup>st</sup> April, 2018.

RESOLVED

that delegated authority be granted to the Director of Resources and Business Transformation to negotiate and agree a Service Level Agreement (SLA) with representatives of Nottingham City Council for the provision of procurement services to Ashfield District Council, as outlined in the report.

Members also considered the alternative option to bring the service in-house. Given the financial constraints facing the MTFS now and in the future, bringing the service in-house would necessitate the employment of staff to run the service. The costs of doing so would far exceed the costs of sourcing the service externally.

Reasons

Officers have investigated several potential lead authorities with regard to providing the service and delivering on the core objectives of spend efficiency and efficacy. Of those investigated, Nottingham City Council demonstrated the greatest ability to add value and expertise, with tangible evidence of delivery.

#### **CA.67 Mobile Home Sites - Consultation on the Implementation of Licence Fees**

Members were advised of the process the Council currently follows in respect of licensing mobile home sites and the need to consider the introduction of licensing fees to cover the costs incurred for delivering this process.

Members also considered the alternative option not to consider the introduction of licensing fees. This was not considered as the Council is incurring costs in respect of managing the licensing process and it is important that the Council considers recouping these costs by way of a licence fee. Currently residents Council Tax is used to subsidise this work rather than a fee paid by the recipients of the service.

RESOLVED that

- a) Cabinet endorse the proposed role of the Council with regards to the licensing of mobile home sites;
- b) a consultation exercise be undertaken with mobile home site owners and other stakeholders regarding the proposed implementation of licensing fees to cover the costs incurred by the Council in administering the licensing scheme;

- c) following the consultation period and full appraisal of the comments if the recommendation is that a licence fee should be introduced a further report be submitted to Cabinet to consider a proposed fee structure.

Reasons:

The Council has a duty to licence mobile home sites within the district. In addition to administering the licensing process, officers conduct two site visits per year and provide advice and assistance to site owners to ensure sites are correctly managed.

In view of the costs incurred by the Council it is reasonable to consider introducing a licence fee. This is in line with other Local Authorities in Nottinghamshire. As part of the consideration process the Council is obliged to consult with site owners and stakeholders, including site residents. Consultation should last for a period of 3 months.

#### **CA.68 Homelessness Reduction Act 2017- Update**

Members were updated on the Homelessness Reduction Act 2017 which will bring about fundamental changes to the way in which homelessness services are accessed and delivered.

The alternative option to not update Members or enable the grant funding to be utilised to meet the new requirements of the Act was not considered as Members wish to be kept informed of the new requirements and the actions required, to ensure the shared homelessness service provided via Mansfield District Council remains compliant with all homelessness legislation.

RESOLVED that

- a) Cabinet endorse the proposed amendments to the delivery of the Council's statutory homelessness service, as outlined in the report;
- b) delegated authority be granted to the Director of Housing and Assets to implement the proposals, as outlined in the report, and make use of the additional grant allocation to ensure the Council's service is compliant with the Act.

Reasons:

The Homelessness Reduction Act 2017 comes into force in April 2018 and places additional responsibilities on local authorities. Our existing shared homelessness service, provided by Mansfield District Council, needs to adapt to ensure it reflects the new requirements and that the service provided is compliant with the Act.

The Council has been awarded an additional £228,545 grant funding by MHCLG for the period 2017-2020 to implement the Act.

## **CA.69 Enforced Sale of Empty Properties**

Members were asked to consider the introduction of the Enforced Sales Procedure which is a process that can be used to recover costs incurred by the Council when dealing with long term empty properties.

The alternative option to not introduce the Enforced Sales Procedure was not considered to be feasible as it is important that the Council seeks to recover debts owed and empty properties are brought back into use.

RESOLVED that

- a) the report be received and noted;
- b) approval be given to a budget of £20,000 for 2018/19 to implement and administer the Enforced Sales Procedure (ESP) and enable the Public Sector Enforcement Team to undertake minor works to properties in disrepair, including empty and derelict properties and for other costs associated with operating the procedure.

Reasons:

The Council has a responsibility to ensure that empty properties in the District are maintained in a good condition and that prompt action is taken if a property owner fails in their obligation to maintain their home(s).

The Council has a number of statutory powers to deal with disrepair associated with empty properties and officers normally work alongside property owners to ensure works are completed in a timely manner. However, if a property owner fails to comply with requests the Council may need to take action including undertaking minor works at the property. It is important the Council is able to recover all costs associated with such action and the ESP will be the mechanism for ensuring the Council is fully reimbursed if the property owner fails to pay the debt.

As a consequence of action to recover monies owed the empty property will be sold and so brought back in to use. The Homelessness Reduction Act 2017, that becomes law in April 2018, will intensify this need as the Council will be obliged to assist more homeless applicants access accommodation suitable for their long term needs. The more properties that are available for occupation in the District, the better chance we have of assisting those in need.

## **CA.70 Section 100A Local Government Act 1972; (Exclusion of the Press and Public)**

RESOLVED

that in accordance with the provisions of Section 100A of the Local Government Act 1972, the press and public be now excluded from the meeting during consideration of the following items of business on the grounds that they involve the likely disclosure of exempt information as defined in paragraph 3 of Part 1 of Schedule 12(A) of the Act and in respect of which the Proper Officer considers that the public interest in maintaining the exemption outweighs the public interest in disclosing the information.



**CA.71 HRA Acquisitions**  
**(Exempt by virtue of paragraph 3)**

Members were asked to consider making HRA funds available within the capital programme to purchase new or existing properties in order to add them to the existing social housing stock.

Members also considered the alternative options to continue with the existing processes for reinvestment into existing stock and the acquisition of new properties.

RESOLVED that

- a) the earmarked capital budget from within the HRA funds for the purchase of new or existing properties in order to add them to the existing social housing stock, as identified in the report, be agreed and recommended to Council for approval;
- b) the Director of Housing and Assets be granted delegated authority to approve such purchases, on the basis that the properties meet the requirements of the viability business case as outlined in the report and, that the purchase process is undertaken by the appropriate officers.

Reason:

To set funds aside within the capital programme to purchase new or existing properties in order to add them to the existing social housing stock.

**CA.72 Write-Off Amounts over £5000 for Non-Domestic Rates**  
**(Exempt by virtue of paragraph 3)**

Members were asked to consider the write-off of irrecoverable amounts over £5,000 for Non-Domestic Rates.

There were no alternative options for Members to consider as further recovery action was not feasible.

RESOLVED

that Cabinet notes and agrees to the write-off of the irrecoverable amount for Non-Domestic Rates, as outlined in the report.

Reasons:

Recovery action has been taken in respect of this case up to and including legal and court action where appropriate. There was no prospect of further recovery work being successful.

The meeting closed at 6.50 p.m.

Chairman.

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<b>Report To:</b>	<b>CABINET</b>	<b>Date:</b>	<b>14<sup>TH</sup> JUNE 2018</b>
<b>Heading:</b>	<b>CORPORATE SCORECARD –YEAR END 2017/18 POSITION</b>		
<b>Portfolio Holder:</b>	<b>COUNCILLOR JASON ZADROZNY – LEADER OF THE COUNCIL</b>		
<b>Ward/s:</b>	<b>ALL</b>		
<b>Key Decision:</b>	<b>NO</b>		
<b>Subject to Call-In:</b>	<b>YES</b>		

## **Purpose of Report**

This report presents to Cabinet the year-end 2017/18 outturn for the corporate performance scorecard, which is aligned with the Corporate Priorities.

## **Recommendation(s)**

**For Cabinet to consider and proactively review the levels of performance achieved against the Corporate Scorecard as at year-end 2017/18 in order to facilitate delivery of the Corporate Plan and improved performance of the organisation.**

## **Reasons for Recommendation(s)**

In March 2016 Cabinet agreed the use of a balanced scorecard methodology to enhance the organisation's performance framework and ability to understand how successfully the Corporate Priorities are being delivered, the approach providing a more rounded view on performance with a greater emphasis on customer satisfaction and quality.

The Corporate Scorecard has previously been agreed by Cabinet. The new administration has identified specific priorities for action and a fuller consideration of the Corporate Plan and Corporate Scorecard will be enacted post the District Elections in 2019.

Performance outturn for the Corporate Scorecard will be monitored and managed at CLT, Cabinet and Scrutiny.

## Alternative Options Considered

None

## Detailed Information

Overall, the outturn for April 2017 to March 2018 indicates a positive position:-

- 86% of measures achieving or exceeding target, with a further 8% within 10% variance of target.
- 72% of measures indicating an improved position compared to the same period in the previous year, with a further 11% of performance levels only 5% (or less) lower than last year.

The new administration is keen to see high levels of performance across all Council services and has identified areas for improvement including but not limited to:-

- Service requests for fly tipping continue to be higher (11.6%) compared to the previous year, however, this trend has shown significant improvement since quarter 2. It is acknowledged that comparatively there are also increasing trends being experienced by our nearest neighbours and nationally with increases of over 40% from 2015/16 to 2016/17. The District Councils Network ran a recent East Midlands event on the subject. Ashfield District Council was one of the organisers of the event which confirmed that this is a significant issue across all types of Local Authorities. The event has identified some key actions as follows:

Theme	Outcome	Action
Strategy	Improved legislation to enable officers to effectively tackle environmental crime	Set up a Task and Finish group to determine the required changes to legislation and lobby government to implement changes.
Communications and engagement	Residents and businesses are well informed of their responsibility towards waste disposal with clear, consistent messages	Set up or re-establish County-wide Fly Tipping forum groups to share good practice and campaign themes. Feed into annual regional group.
		Establish and set up a Regional Network Group to consist of reps from Local Authorities (District, Borough and County), the EA, and Police to meet annually

- For 2017-2018 there were 3,570 ASB incidents reported which is an increase of 18 offences against the previous year (0.51%) This is broken down as follows:
  - ASB Environmental 217 (2017-18) 289 (2016-17) -72 less offences -24.91%
  - ASB Nuisance 2,753 (2017-18) 2,606 (2016-17) 147 more offences 5.64%
  - ASB Personal 600 (2017-18) 657 (2016-17) -57 less offences -8.68%

As a Council and Partnership we actively encourage reports of anti-social behaviour to the police as this provides evidence which will be utilised as part of a problem solving approach including enforcement action. Ultimately we want to reduce/eradicate the number of issues and offences but only as a result of the issues not taking place rather than under reporting. Analysis will be taking place to inform the partnership why there has been a slight

increase and wider action that can be taken however it should be noted that there has been a 6 month gap in Strategic Partnership Officer capacity (we are actively recruiting to a new post in Ashfield at present) and current analytical support across the County is being discussed. The forthcoming State of Ashfield Debate, to which the Police and Crime Commissioner and County Council have been invited, will focus on Crime and Disorder.

- The number of new environmental volunteers actively engaged are less than last year, which was the first year of the programme and attracted initially high levels of volunteer take up. The programme continues to be promoted extensively to attract new volunteers, for example through All About Ashfield and through national initiatives such as Keep Britain Tidy's Great British Spring Clean and Volunteers Week. The recent Ashfield Big Spring Clean has also provided an opportunity to recruit volunteers.
- Sickness absence is currently over target. HR are continuing to support managers and CLT to reduce sickness and manage employees with early return to work through the Attendance Management Policy. Monitoring reports are considered monthly by CLT. The overall % of absence being due to long term absence has not increased, however there was a spike in short term sickness during January and February particularly due to flu like illness.
- The number of disabled facilities grants delivered are 11% lower than last year. This can be attributed to a slight reduction in the overall number of referrals received from the Occupational Therapy Service and a significant number of large scale adaptation requests that take time to plan and complete. There is no waiting list nor delay in DFG referrals being processed. There were also 7% less aids and adaptations to council housing which is based on customer requirements/demand and the completion of these works.
- Outdoor markets 5% lower overall, reflecting a national decline in market traders overall. One of the aims of the new town teams is to review the outdoor markets offer to ensure they are sustainable going forward. The events programme is aimed at developing footfall and supporting the markets' offer, to increase stall uptake and overall interest, whilst the Buck's Leap's markets have been introduced to offer a 'World's Food's' market and this has been well received by the public to date.

## **Implications**

### **Corporate Plan:**

The report relates to delivery of the Corporate Plan Priorities. It covers performance for the period April 2017 to March 2018

### **Legal:**

No direct legal implications

### **Finance:**

<b>Budget Area</b>	<b>Implication</b>
General Fund – Revenue Budget	Financial performance is included within a detailed corporate scorecard report
General Fund – Capital Programme	

Housing Revenue Account – Revenue Budget	
Housing Revenue Account – Capital Programme	

**Risk:**

<b>Risk</b>	<b>Mitigation</b>
Poor performance would potentially result in inability to deliver the corporate priorities as specified in the corporate plan	Regular monitoring of performance and robust performance management through the authority's performance framework

**Human Resources:**

High levels of performance can have a positive impact upon employee engagement and retention which in turn can enhance performance further.

**Equalities:**

No direct equalities implications

**Other Implications:**

None

**Reason(s) for Urgency**

N/A

**Reason(s) for Exemption**

N/A

**Background Papers**

Detailed Corporate Scorecard – Quarter 4 Performance 2017/18

**Report Author and Contact Officer**

Jo Froggatt, Service Manager- Corporate Services and Transformation,  
01623 457328  
[j.froggatt@ashfield-dc.gov.uk](mailto:j.froggatt@ashfield-dc.gov.uk)

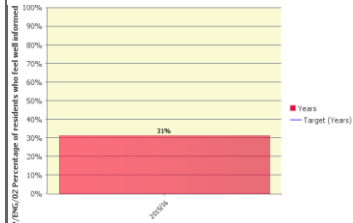
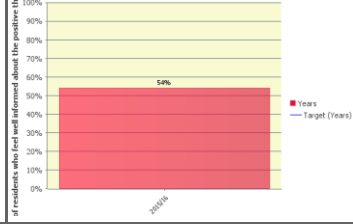
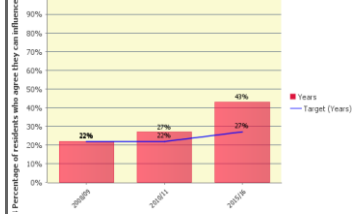
**Rob Mitchell**  
**CHIEF EXECUTIVE**

# Corporate Scorecard Performance Report

Generated on: 14 May 2018

## Community and Customer

### Customer Engagement

Measure	YTD Actual	YTD Target	RAG Status	Trend	Desired Direction of Travel	Trend Chart	Comments	Last Update
(ADC)CORP/ENG/01 Success of engagement activity	New PI in development through Organisation Wide Customer Service Review							Q4 2016/17
(ADC)CORP/ENG/02 Percentage of residents who feel well informed about the budget	31% (2015/16)	New PI 2016	New	New	Aim to Maximise		Place Survey Measure - March 2016	2015/16
(ADC)CORP/ENG/03 Percentage of residents who feel well informed about the positive things the Council does for the local area	54% (2015/16)	New PI 2016	New	New	Aim to Maximise		Place Survey Measure - March 2016	2015/16
(ADC)CORP/ENG/04 Percentage of residents who agree they can influence decisions in their local area	43% (2015/16)	27%	🟢	⬆️	Aim to Maximise		Place Survey Measure - March 2016	2015/16

Customer Satisfaction														
Measure	YTD Actual	YTD Target	RAG Status	Trend	Desired Direction of Travel	Trend Chart	Comments	Last Update						
(ADC)CORP/STFS/1 Resident satisfaction with the way the Council runs things	76% (2015/16)	35%	🟢	↑	Aim to Maximise	<table border="1"> <caption>(ADC)CORP/STFS/1 Resident satisfaction with the way the Council runs things</caption> <thead> <tr> <th>Year</th> <th>Actual (%)</th> <th>Target (%)</th> </tr> </thead> <tbody> <tr> <td>2015/16</td> <td>76%</td> <td>35%</td> </tr> </tbody> </table>	Year	Actual (%)	Target (%)	2015/16	76%	35%	Place Survey Measure – March 2016	2015/16
Year	Actual (%)	Target (%)												
2015/16	76%	35%												
(ADC)CORP/STFS/2 Percentage of residents who agree that the council acts on concerns of residents	61% (2015/16)	37%	🟢	↑	Aim to Maximise	<table border="1"> <caption>(ADC)CORP/STFS/2 Percentage of residents who agree that the council acts on concerns of residents</caption> <thead> <tr> <th>Year</th> <th>Actual (%)</th> <th>Target (%)</th> </tr> </thead> <tbody> <tr> <td>2015/16</td> <td>61%</td> <td>37%</td> </tr> </tbody> </table>	Year	Actual (%)	Target (%)	2015/16	61%	37%	Place Survey Measure – March 2016  <i>LGA National Poll June 2015 Benchmark – 59%</i>	2015/16
Year	Actual (%)	Target (%)												
2015/16	61%	37%												
(ADC)CORP/STFS/3 Resident satisfaction that the council staff are friendly and polite	84% (2015/16)	New PI 2016	New	New	Aim to Maximise	<table border="1"> <caption>(ADC)CORP/STFS/3 Resident satisfaction that the council staff are friendly and polite</caption> <thead> <tr> <th>Year</th> <th>Actual (%)</th> </tr> </thead> <tbody> <tr> <td>2015/16</td> <td>84%</td> </tr> </tbody> </table>	Year	Actual (%)	2015/16	84%	Place Survey Measure – March 2016	2015/16		
Year	Actual (%)													
2015/16	84%													
(ADC)CORP/STFS/4 Resident perception that the Council is easy to contact	81% (2015/16)	New PI 2016	New	New	Aim to Maximise	<table border="1"> <caption>(ADC)CORP/STFS/4 Resident perception that the Council is easy to contact</caption> <thead> <tr> <th>Year</th> <th>Actual (%)</th> </tr> </thead> <tbody> <tr> <td>2015/16</td> <td>81%</td> </tr> </tbody> </table>	Year	Actual (%)	2015/16	81%	Place Survey Measure – March 2016	2015/16		
Year	Actual (%)													
2015/16	81%													
(ADC)CORP/STFS/5 Resident perception the Council responds quickly	64% (2015/16)	New PI 2016	New	New	Aim to Maximise	<table border="1"> <caption>(ADC)CORP/STFS/5 Resident perception the Council responds quickly</caption> <thead> <tr> <th>Year</th> <th>Actual (%)</th> </tr> </thead> <tbody> <tr> <td>2015/16</td> <td>64%</td> </tr> </tbody> </table>	Year	Actual (%)	2015/16	64%	Place Survey Measure – March 2016	2015/16		
Year	Actual (%)													
2015/16	64%													



Measure	YTD Actual	YTD Target	RAG Status	Trend	Desired Direction of Travel	Trend Chart	Comments	Last Update									
(ADC)CORP/STFS/6 Percentage of Ombudsman complaints upheld v decisions made	0% (2016/17)	0%	✓	↑	Aim to Minimise	<table border="1"> <caption>Percentage of Ombudsman complaints upheld</caption> <thead> <tr> <th>Year</th> <th>Actual (%)</th> <th>Target (%)</th> </tr> </thead> <tbody> <tr> <td>2015/16</td> <td>4.2%</td> <td>17%</td> </tr> <tr> <td>2016/17</td> <td>0%</td> <td>0%</td> </tr> </tbody> </table>	Year	Actual (%)	Target (%)	2015/16	4.2%	17%	2016/17	0%	0%	0 out of 16 decisions upheld. LGO 2016/17 assessment	2016/17
Year	Actual (%)	Target (%)															
2015/16	4.2%	17%															
2016/17	0%	0%															

Service Standards																	
Measure	YTD Actual	YTD Target	RAG Status	Trend	Desired Direction of Travel	Trend Chart	Comments	Last Update									
(ADC)CORP/SERV/1 Number of services with customer satisfaction assessments in place	90%	90%	✓	▬	Aim to Maximise	<table border="1"> <caption>Percentage of services with customer satisfaction</caption> <thead> <tr> <th>Year</th> <th>Actual (%)</th> <th>Target (%)</th> </tr> </thead> <tbody> <tr> <td>2017</td> <td>90%</td> <td>90%</td> </tr> <tr> <td>2018</td> <td>90%</td> <td>90%</td> </tr> </tbody> </table>	Year	Actual (%)	Target (%)	2017	90%	90%	2018	90%	90%		2017/18
Year	Actual (%)	Target (%)															
2017	90%	90%															
2018	90%	90%															
(ADC)CORP/SERV/2 Corporate service standards	New PI in development through Organisation Wide Customer Service Review							Q4 2016/17									

# Funding the Future Perspective

Better Use of Assets																																						
Measure	YTD Actual	YTD Target	RAG Status	Trend	Desired Direction of Travel	Trend Chart	Comments	Last Update																														
(ADC)CORP/BUOA/1 Occupancy of ADC commercial property portfolio (excluding Ashfield Business Centre)	91.00%	90.00%	🟢	⬇️	Aim to Maximise	<p>(ADC)CORP/BUOA/1 Occupancy of ADC commercial property portfolio (excluding Ashfield Business Centre)</p> <table border="1"> <thead> <tr> <th>Quarter</th> <th>Quarters</th> <th>Target (Quarters)</th> </tr> </thead> <tbody> <tr><td>Q4 2016/17</td><td>89.00%</td><td>90.00%</td></tr> <tr><td>Q1 2017/18</td><td>90.00%</td><td>90.00%</td></tr> <tr><td>Q2 2017/18</td><td>90.00%</td><td>90.00%</td></tr> <tr><td>Q3 2017/18</td><td>94.00%</td><td>90.00%</td></tr> <tr><td>Q4 2017/18</td><td>91.00%</td><td>90.00%</td></tr> <tr><td>Q1 2018/19</td><td>92.00%</td><td>90.00%</td></tr> <tr><td>Q2 2018/19</td><td>92.00%</td><td>90.00%</td></tr> <tr><td>Q3 2018/19</td><td>91.00%</td><td>90.00%</td></tr> <tr><td>Q4 2018/19</td><td>91.00%</td><td>90.00%</td></tr> </tbody> </table>	Quarter	Quarters	Target (Quarters)	Q4 2016/17	89.00%	90.00%	Q1 2017/18	90.00%	90.00%	Q2 2017/18	90.00%	90.00%	Q3 2017/18	94.00%	90.00%	Q4 2017/18	91.00%	90.00%	Q1 2018/19	92.00%	90.00%	Q2 2018/19	92.00%	90.00%	Q3 2018/19	91.00%	90.00%	Q4 2018/19	91.00%	90.00%		Q4 2017/18
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Productivity																																						
Measure	YTD Actual	YTD Target	RAG Status	Trend	Desired Direction of Travel	Trend Chart	Comments	Last Update																														
(ADC)CORP/PROD/2 Overall performance improvement	72%	75%	🟡	⬇️	Aim to Maximise	<p>(ADC)CORP/PROD/2 Overall performance improvement</p> <table border="1"> <thead> <tr> <th>Quarter</th> <th>Quarters</th> <th>Target (Quarters)</th> </tr> </thead> <tbody> <tr><td>Q4 2016/17</td><td>74%</td><td>75%</td></tr> <tr><td>Q1 2017/18</td><td>76%</td><td>75%</td></tr> <tr><td>Q2 2017/18</td><td>78%</td><td>75%</td></tr> <tr><td>Q3 2017/18</td><td>75%</td><td>75%</td></tr> <tr><td>Q4 2017/18</td><td>72%</td><td>75%</td></tr> <tr><td>Q1 2018/19</td><td>75%</td><td>75%</td></tr> <tr><td>Q2 2018/19</td><td>75%</td><td>75%</td></tr> <tr><td>Q3 2018/19</td><td>75%</td><td>75%</td></tr> <tr><td>Q4 2018/19</td><td>75%</td><td>75%</td></tr> </tbody> </table>	Quarter	Quarters	Target (Quarters)	Q4 2016/17	74%	75%	Q1 2017/18	76%	75%	Q2 2017/18	78%	75%	Q3 2017/18	75%	75%	Q4 2017/18	72%	75%	Q1 2018/19	75%	75%	Q2 2018/19	75%	75%	Q3 2018/19	75%	75%	Q4 2018/19	75%	75%	Analysis shows 72% improved Many Pi's have only slight dip in performance, with just 4 of any significance	Q4 2017/18
Quarter	Quarters	Target (Quarters)																																				
Q4 2016/17	74%	75%																																				
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Q4 2018/19	75%	75%																																				
(ADC)CORP/PROD/3 Resident perception that the Council provides good Value for Money	57% (2015/16)	23%	🟢	⬆️	Aim to Maximise	<p>(ADC)CORP/PROD/3 Resident perception that the Council provides good Value for Money</p> <table border="1"> <thead> <tr> <th>Year</th> <th>Years</th> <th>Target (Years)</th> </tr> </thead> <tbody> <tr><td>2015/16</td><td>41%</td><td>23%</td></tr> <tr><td>2016/17</td><td>41%</td><td>23%</td></tr> <tr><td>2017/18</td><td>57%</td><td>23%</td></tr> </tbody> </table>	Year	Years	Target (Years)	2015/16	41%	23%	2016/17	41%	23%	2017/18	57%	23%	Place Survey Measure - March 2016 <i>LGA National Poll June 2015 Benchmark - 51%</i>	2015/16																		
Year	Years	Target (Years)																																				
2015/16	41%	23%																																				
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(ADC)CORP/PROD/4 Overall performance v target	86%	85%	🟢	⬇️	Aim to Maximise	<p>(ADC)CORP/PROD/4 Overall performance v target</p> <table border="1"> <thead> <tr> <th>Quarter</th> <th>Quarters</th> <th>Target (Quarters)</th> </tr> </thead> <tbody> <tr><td>Q4 2016/17</td><td>82%</td><td>85%</td></tr> <tr><td>Q1 2017/18</td><td>85%</td><td>85%</td></tr> <tr><td>Q2 2017/18</td><td>88%</td><td>85%</td></tr> <tr><td>Q3 2017/18</td><td>85%</td><td>85%</td></tr> <tr><td>Q4 2017/18</td><td>86%</td><td>85%</td></tr> <tr><td>Q1 2018/19</td><td>85%</td><td>85%</td></tr> <tr><td>Q2 2018/19</td><td>85%</td><td>85%</td></tr> <tr><td>Q3 2018/19</td><td>85%</td><td>85%</td></tr> <tr><td>Q4 2018/19</td><td>85%</td><td>85%</td></tr> </tbody> </table>	Quarter	Quarters	Target (Quarters)	Q4 2016/17	82%	85%	Q1 2017/18	85%	85%	Q2 2017/18	88%	85%	Q3 2017/18	85%	85%	Q4 2017/18	86%	85%	Q1 2018/19	85%	85%	Q2 2018/19	85%	85%	Q3 2018/19	85%	85%	Q4 2018/19	85%	85%	Analysis shows 86% on or above target 4 PI's within 10% of target, only 4 worse than 10% of target	Q4 2017/18
Quarter	Quarters	Target (Quarters)																																				
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Q2 2018/19	85%	85%																																				
Q3 2018/19	85%	85%																																				
Q4 2018/19	85%	85%																																				

Resources																																		
Measure	YTD Actual	YTD Target	RAG Status	Trend	Desired Direction of Travel	Trend Chart	Comments	Last Update																										
(ADC)CORP/RSRC/3 Percentage of Council Tax collected in current year	97.25%	97.50%	🟢	⬇️	Aim to Maximise	<table border="1"> <caption>(ADC)CORP/RSRC/3 Percentage of Council Tax collected in current year</caption> <thead> <tr> <th>Quarter</th> <th>Value (%)</th> </tr> </thead> <tbody> <tr><td>Q1 2018/19</td><td>29.55%</td></tr> <tr><td>Q2 2018/19</td><td>55.44%</td></tr> <tr><td>Q3 2018/19</td><td>83.60%</td></tr> <tr><td>Q4 2018/19</td><td>95.00%</td></tr> <tr><td>Q1 2019/20</td><td>97.31%</td></tr> <tr><td>Q2 2019/20</td><td>30.00%</td></tr> <tr><td>Q3 2019/20</td><td>39.68%</td></tr> <tr><td>Q4 2019/20</td><td>57.00%</td></tr> <tr><td>Q1 2020/21</td><td>56.18%</td></tr> <tr><td>Q2 2020/21</td><td>83.27%</td></tr> <tr><td>Q3 2020/21</td><td>95.00%</td></tr> <tr><td>Q4 2020/21</td><td>97.25%</td></tr> </tbody> </table>	Quarter	Value (%)	Q1 2018/19	29.55%	Q2 2018/19	55.44%	Q3 2018/19	83.60%	Q4 2018/19	95.00%	Q1 2019/20	97.31%	Q2 2019/20	30.00%	Q3 2019/20	39.68%	Q4 2019/20	57.00%	Q1 2020/21	56.18%	Q2 2020/21	83.27%	Q3 2020/21	95.00%	Q4 2020/21	97.25%		Q4 2017/18
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Q3 2020/21	95.00%																																	
Q4 2020/21	97.25%																																	
(ADC)CORP/RSRC/4 Percentage of NNDR collected in current year	98.39%	98.50%	🟢	⬆️	Aim to Maximise	<table border="1"> <caption>(ADC)CORP/RSRC/4 Percentage of NNDR collected in current year</caption> <thead> <tr> <th>Quarter</th> <th>Value (%)</th> </tr> </thead> <tbody> <tr><td>Q1 2018/19</td><td>32.62%</td></tr> <tr><td>Q2 2018/19</td><td>59.90%</td></tr> <tr><td>Q3 2018/19</td><td>82.91%</td></tr> <tr><td>Q4 2018/19</td><td>97.86%</td></tr> <tr><td>Q1 2019/20</td><td>110%</td></tr> <tr><td>Q2 2019/20</td><td>29.14%</td></tr> <tr><td>Q3 2019/20</td><td>59.09%</td></tr> <tr><td>Q4 2019/20</td><td>83.30%</td></tr> <tr><td>Q1 2020/21</td><td>87.80%</td></tr> <tr><td>Q2 2020/21</td><td>98.39%</td></tr> </tbody> </table>	Quarter	Value (%)	Q1 2018/19	32.62%	Q2 2018/19	59.90%	Q3 2018/19	82.91%	Q4 2018/19	97.86%	Q1 2019/20	110%	Q2 2019/20	29.14%	Q3 2019/20	59.09%	Q4 2019/20	83.30%	Q1 2020/21	87.80%	Q2 2020/21	98.39%		Q4 2017/18				
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Q4 2019/20	83.30%																																	
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Q2 2020/21	98.39%																																	
(ADC)CORP/RSRC/5 Percentage of rent collected from total rent due	99.85%	99.00%	🟢	⬆️	Aim to Maximise			Q4 2017/18																										

Page 9

## Organisational Effectiveness

Delivery																										
Measure	YTD Actual	YTD Target	RAG Status	Trend	Desired Direction of Travel	Trend Chart	Comments	Last Update																		
(ADC)CORP/DLV/01 Delivery of Corporate plan % of actions implemented or on track	91.5%	90%	✓	↑	Aim to Maximise	<p>(ADC)CORP/DLV/01 Delivery of Corporate plan % of actions implemented or on track</p> <table border="1"> <thead> <tr> <th>Quarter</th> <th>Value (%)</th> </tr> </thead> <tbody> <tr><td>Q1-2018</td><td>81%</td></tr> <tr><td>Q2-2018</td><td>87%</td></tr> <tr><td>Q3-2018</td><td>84%</td></tr> <tr><td>Q4-2018</td><td>92%</td></tr> <tr><td>Q1-2019</td><td>91%</td></tr> <tr><td>Q2-2019</td><td>91%</td></tr> <tr><td>Q3-2019</td><td>91%</td></tr> <tr><td>Q4-2019</td><td>92%</td></tr> </tbody> </table>	Quarter	Value (%)	Q1-2018	81%	Q2-2018	87%	Q3-2018	84%	Q4-2018	92%	Q1-2019	91%	Q2-2019	91%	Q3-2019	91%	Q4-2019	92%		Q4 2017/18
Quarter	Value (%)																									
Q1-2018	81%																									
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Q2-2019	91%																									
Q3-2019	91%																									
Q4-2019	92%																									

Delivery - Health and Wellbeing Priority																										
Measure	YTD Actual	YTD Target	RAG Status	Trend	Desired Direction of Travel	Trend Chart	Comments	Last Update																		
(ADC)CORP/DLV/32 Number of user attendances at ADC leisure facilities	1,412,701	1,423,180	✓	↓	Aim to Maximise	<p>(ADC)CORP/DLV/32 Number of user attendances at ADC leisure facilities</p> <table border="1"> <thead> <tr> <th>Quarter</th> <th>Value</th> </tr> </thead> <tbody> <tr><td>Q1-2018</td><td>375,265</td></tr> <tr><td>Q2-2018</td><td>715,165</td></tr> <tr><td>Q3-2018</td><td>1,045,222</td></tr> <tr><td>Q4-2018</td><td>1,412,701</td></tr> <tr><td>Q1-2019</td><td>163,246</td></tr> <tr><td>Q2-2019</td><td>705,367</td></tr> <tr><td>Q3-2019</td><td>1,029,527</td></tr> <tr><td>Q4-2019</td><td>1,423,180</td></tr> </tbody> </table>	Quarter	Value	Q1-2018	375,265	Q2-2018	715,165	Q3-2018	1,045,222	Q4-2018	1,412,701	Q1-2019	163,246	Q2-2019	705,367	Q3-2019	1,029,527	Q4-2019	1,423,180	Actual attendances were expected to be affected by to the closure of Huthwaite leisure centre. Projected figures have been affected by the opening of budget gyms in the area which have attracted some users who are slowly returning or being replaced by new users and maintenance issues with air conditioning unit replacement and pool hydraulics.	Q4 2017/18
Quarter	Value																									
Q1-2018	375,265																									
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Measure	YTD Actual	YTD Target	RAG Status	Trend	Desired Direction of Travel	Trend Chart	Comments	Last Update
(ADC)CORP/DLV/33 Percentage of physically active adults in Ashfield	62.3% (2016/17 data)	57.4%	✓	↑	Aim to Maximise		Public Health England Health Profile Ashfield 2017 – % adults achieving at least 150 mins physical activity per week in 2016/7 All England benchmarking Mean average 66% = slightly less than average	2017/18

**Delivery - Regeneration Priority**

Measure	YTD Actual	YTD Target	RAG Status	Trend	Desired Direction of Travel	Trend Chart	Comments	Last Update
(ADC)CORP/DLV/35 NNDR rateable value	£90,526,874	£81,349,726	✓	↑	Aim to Maximise			2017/18
(ADC)CORP/DLV/48 Number of market stalls occupied – outdoor only	6,565	6,000	✓	↓	Aim to Maximise		Jan to March bad weather lead to a lot of cancelled markets	Q4 2017/18

Page 21

Measure	YTD Actual	YTD Target	RAG Status	Trend	Desired Direction of Travel	Trend Chart	Comments	Last Update
(ADC)CORP/DLV/39 Number of value-added market events and supported community events	24	20	🟢	⬆️	Aim to Maximise			Q4 2017/18
(ADC)CORP/DLV/49 Number of commercial empty properties brought back into use	13	12	🟢	⬆️	Aim to Maximise			Q4 2017/18
(ADC)CORP/DLV/50 Number of dilapidated buildings visually improved	18	14	🟢	⬆️	Aim to Maximise			Q4 2017/18
(ADC)CORP/DLV/41 Processing of major planning applications within 13 weeks – by quarter – cumulative year-end data	85.00%	75.00%	🟢	⬆️	Aim to Maximise			Q4 2017/18
(ADC)CORP/DLV/42 Processing of minor planning applications within eight weeks – by quarter – cumulative year-end data	91.00%	87.00%	🟢	⬆️	Aim to Maximise			Q4 2017/18

Measure	YTD Actual	YTD Target	RAG Status	Trend	Desired Direction of Travel	Trend Chart	Comments	Last Update																																																																																																																																							
(ADC)CORP/DLV/43 Processing of other planning applications within eight weeks – by quarter – cumulative year-end data	99.00%	94.00%	🟢	⬆️	Aim to Maximise	<p>(ADC)CORP/DLV/43 Processing of other planning applications within eight weeks – by quarter – cumulative year-end data</p> <table border="1"> <thead> <tr> <th>Quarter</th> <th>Actual (%)</th> <th>Target (%)</th> </tr> </thead> <tbody> <tr><td>Q1 2018/18</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q2 2018/18</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q3 2018/18</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q4 2018/18</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q1 2017/18</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q2 2017/18</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q3 2017/18</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q4 2017/18</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q1 2016/17</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q2 2016/17</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q3 2016/17</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q4 2016/17</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q1 2015/16</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q2 2015/16</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q3 2015/16</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q4 2015/16</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q1 2014/15</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q2 2014/15</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q3 2014/15</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q4 2014/15</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q1 2013/14</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q2 2013/14</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q3 2013/14</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q4 2013/14</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q1 2012/13</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q2 2012/13</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q3 2012/13</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q4 2012/13</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q1 2011/12</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q2 2011/12</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q3 2011/12</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q4 2011/12</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q1 2010/11</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q2 2010/11</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q3 2010/11</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q4 2010/11</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q1 2009/10</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q2 2009/10</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q3 2009/10</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q4 2009/10</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q1 2008/09</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q2 2008/09</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q3 2008/09</td><td>94.00%</td><td>94.00%</td></tr> <tr><td>Q4 2008/09</td><td>94.00%</td><td>94.00%</td></tr> </tbody> </table>	Quarter	Actual (%)	Target (%)	Q1 2018/18	94.00%	94.00%	Q2 2018/18	94.00%	94.00%	Q3 2018/18	94.00%	94.00%	Q4 2018/18	94.00%	94.00%	Q1 2017/18	94.00%	94.00%	Q2 2017/18	94.00%	94.00%	Q3 2017/18	94.00%	94.00%	Q4 2017/18	94.00%	94.00%	Q1 2016/17	94.00%	94.00%	Q2 2016/17	94.00%	94.00%	Q3 2016/17	94.00%	94.00%	Q4 2016/17	94.00%	94.00%	Q1 2015/16	94.00%	94.00%	Q2 2015/16	94.00%	94.00%	Q3 2015/16	94.00%	94.00%	Q4 2015/16	94.00%	94.00%	Q1 2014/15	94.00%	94.00%	Q2 2014/15	94.00%	94.00%	Q3 2014/15	94.00%	94.00%	Q4 2014/15	94.00%	94.00%	Q1 2013/14	94.00%	94.00%	Q2 2013/14	94.00%	94.00%	Q3 2013/14	94.00%	94.00%	Q4 2013/14	94.00%	94.00%	Q1 2012/13	94.00%	94.00%	Q2 2012/13	94.00%	94.00%	Q3 2012/13	94.00%	94.00%	Q4 2012/13	94.00%	94.00%	Q1 2011/12	94.00%	94.00%	Q2 2011/12	94.00%	94.00%	Q3 2011/12	94.00%	94.00%	Q4 2011/12	94.00%	94.00%	Q1 2010/11	94.00%	94.00%	Q2 2010/11	94.00%	94.00%	Q3 2010/11	94.00%	94.00%	Q4 2010/11	94.00%	94.00%	Q1 2009/10	94.00%	94.00%	Q2 2009/10	94.00%	94.00%	Q3 2009/10	94.00%	94.00%	Q4 2009/10	94.00%	94.00%	Q1 2008/09	94.00%	94.00%	Q2 2008/09	94.00%	94.00%	Q3 2008/09	94.00%	94.00%	Q4 2008/09	94.00%	94.00%		Q4 2017/18
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**Delivery - Housing Priority**

Measure	YTD Actual	YTD Target	RAG Status	Trend	Desired Direction of Travel	Trend Chart	Comments	Last Update																																																																																																																																																																																				
(ADC)CORP/DLV/11 Number of homeless people due to DV	15	40	🟢	⬆️	Aim to Minimise	<p>(ADC)CORP/DLV/11 Number of homeless people due to DV</p> <table border="1"> <thead> <tr> <th>Quarter</th> <th>Actual</th> <th>Target (Quarters)</th> <th>Benchmarking</th> </tr> </thead> <tbody> <tr><td>Q1 2018/18</td><td>4</td><td>40</td><td>20</td></tr> <tr><td>Q2 2018/18</td><td>15</td><td>40</td><td>20</td></tr> <tr><td>Q3 2018/18</td><td>20</td><td>40</td><td>20</td></tr> <tr><td>Q4 2018/18</td><td>27</td><td>40</td><td>20</td></tr> <tr><td>Q1 2017/18</td><td>3</td><td>40</td><td>20</td></tr> <tr><td>Q2 2017/18</td><td>8</td><td>40</td><td>20</td></tr> <tr><td>Q3 2017/18</td><td>12</td><td>40</td><td>20</td></tr> <tr><td>Q4 2017/18</td><td>15</td><td>40</td><td>20</td></tr> <tr><td>Q1 2016/17</td><td>10</td><td>40</td><td>20</td></tr> <tr><td>Q2 2016/17</td><td>15</td><td>40</td><td>20</td></tr> <tr><td>Q3 2016/17</td><td>20</td><td>40</td><td>20</td></tr> <tr><td>Q4 2016/17</td><td>27</td><td>40</td><td>20</td></tr> <tr><td>Q1 2015/16</td><td>15</td><td>40</td><td>20</td></tr> <tr><td>Q2 2015/16</td><td>20</td><td>40</td><td>20</td></tr> <tr><td>Q3 2015/16</td><td>25</td><td>40</td><td>20</td></tr> <tr><td>Q4 2015/16</td><td>30</td><td>40</td><td>20</td></tr> <tr><td>Q1 2014/15</td><td>15</td><td>40</td><td>20</td></tr> <tr><td>Q2 2014/15</td><td>20</td><td>40</td><td>20</td></tr> <tr><td>Q3 2014/15</td><td>25</td><td>40</td><td>20</td></tr> <tr><td>Q4 2014/15</td><td>30</td><td>40</td><td>20</td></tr> <tr><td>Q1 2013/14</td><td>15</td><td>40</td><td>20</td></tr> <tr><td>Q2 2013/14</td><td>20</td><td>40</td><td>20</td></tr> <tr><td>Q3 2013/14</td><td>25</td><td>40</td><td>20</td></tr> <tr><td>Q4 2013/14</td><td>30</td><td>40</td><td>20</td></tr> <tr><td>Q1 2012/13</td><td>15</td><td>40</td><td>20</td></tr> <tr><td>Q2 2012/13</td><td>20</td><td>40</td><td>20</td></tr> <tr><td>Q3 2012/13</td><td>25</td><td>40</td><td>20</td></tr> <tr><td>Q4 2012/13</td><td>30</td><td>40</td><td>20</td></tr> <tr><td>Q1 2011/12</td><td>15</td><td>40</td><td>20</td></tr> <tr><td>Q2 2011/12</td><td>20</td><td>40</td><td>20</td></tr> <tr><td>Q3 2011/12</td><td>25</td><td>40</td><td>20</td></tr> <tr><td>Q4 2011/12</td><td>30</td><td>40</td><td>20</td></tr> <tr><td>Q1 2010/11</td><td>15</td><td>40</td><td>20</td></tr> <tr><td>Q2 2010/11</td><td>20</td><td>40</td><td>20</td></tr> <tr><td>Q3 2010/11</td><td>25</td><td>40</td><td>20</td></tr> <tr><td>Q4 2010/11</td><td>30</td><td>40</td><td>20</td></tr> <tr><td>Q1 2009/10</td><td>15</td><td>40</td><td>20</td></tr> <tr><td>Q2 2009/10</td><td>20</td><td>40</td><td>20</td></tr> <tr><td>Q3 2009/10</td><td>25</td><td>40</td><td>20</td></tr> <tr><td>Q4 2009/10</td><td>30</td><td>40</td><td>20</td></tr> <tr><td>Q1 2008/09</td><td>15</td><td>40</td><td>20</td></tr> <tr><td>Q2 2008/09</td><td>20</td><td>40</td><td>20</td></tr> <tr><td>Q3 2008/09</td><td>25</td><td>40</td><td>20</td></tr> <tr><td>Q4 2008/09</td><td>30</td><td>40</td><td>20</td></tr> </tbody> </table>	Quarter	Actual	Target (Quarters)	Benchmarking	Q1 2018/18	4	40	20	Q2 2018/18	15	40	20	Q3 2018/18	20	40	20	Q4 2018/18	27	40	20	Q1 2017/18	3	40	20	Q2 2017/18	8	40	20	Q3 2017/18	12	40	20	Q4 2017/18	15	40	20	Q1 2016/17	10	40	20	Q2 2016/17	15	40	20	Q3 2016/17	20	40	20	Q4 2016/17	27	40	20	Q1 2015/16	15	40	20	Q2 2015/16	20	40	20	Q3 2015/16	25	40	20	Q4 2015/16	30	40	20	Q1 2014/15	15	40	20	Q2 2014/15	20	40	20	Q3 2014/15	25	40	20	Q4 2014/15	30	40	20	Q1 2013/14	15	40	20	Q2 2013/14	20	40	20	Q3 2013/14	25	40	20	Q4 2013/14	30	40	20	Q1 2012/13	15	40	20	Q2 2012/13	20	40	20	Q3 2012/13	25	40	20	Q4 2012/13	30	40	20	Q1 2011/12	15	40	20	Q2 2011/12	20	40	20	Q3 2011/12	25	40	20	Q4 2011/12	30	40	20	Q1 2010/11	15	40	20	Q2 2010/11	20	40	20	Q3 2010/11	25	40	20	Q4 2010/11	30	40	20	Q1 2009/10	15	40	20	Q2 2009/10	20	40	20	Q3 2009/10	25	40	20	Q4 2009/10	30	40	20	Q1 2008/09	15	40	20	Q2 2008/09	20	40	20	Q3 2008/09	25	40	20	Q4 2008/09	30	40	20	There were only 3 households this quarter where the loss of last settled accommodation was as a result of domestic violence. This represents a reduction on previous quarters.	Q4 2017/18
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(ADC)CORP/DLV/19 Number of DV supported housing units available across the district	6	6	🟢	➡️	Aim to Maximise	<p>(ADC)CORP/DLV/19 Number of DV supported housing units available across the district</p> <table border="1"> <thead> <tr> <th>Year</th> <th>Actual</th> <th>Target (Years)</th> </tr> </thead> <tbody> <tr><td>2016/17</td><td>4</td><td>6</td></tr> <tr><td>2017/18</td><td>6</td><td>6</td></tr> </tbody> </table>	Year	Actual	Target (Years)	2016/17	4	6	2017/18	6	6		2017/18																																																																																																																																																																											
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2016/17	4	6																																																																																																																																																																																										
2017/18	6	6																																																																																																																																																																																										
(ADC)CORP/DLV/47 Number of households prevented from becoming homeless	338	250	🟢	⬆️	Aim to Maximise	<p>(ADC)CORP/DLV/47 Number of households prevented from becoming homeless each quarter</p> <table border="1"> <thead> <tr> <th>Quarter</th> <th>Actual</th> <th>Target (Quarters)</th> <th>Benchmarking</th> </tr> </thead> <tbody> <tr><td>Q1 2018/18</td><td>32</td><td>250</td><td>125</td></tr> <tr><td>Q2 2018/18</td><td>58</td><td>250</td><td>125</td></tr> <tr><td>Q3 2018/18</td><td>55</td><td>250</td><td>125</td></tr> <tr><td>Q4 2018/18</td><td>51</td><td>250</td><td>125</td></tr> <tr><td>Q1 2017/18</td><td>78</td><td>250</td><td>125</td></tr> <tr><td>Q2 2017/18</td><td>84</td><td>250</td><td>125</td></tr> <tr><td>Q3 2017/18</td><td>82.5</td><td>250</td><td>125</td></tr> <tr><td>Q4 2017/18</td><td>69</td><td>250</td><td>125</td></tr> <tr><td>Q1 2016/17</td><td>35</td><td>250</td><td>125</td></tr> <tr><td>Q2 2016/17</td><td>58</td><td>250</td><td>125</td></tr> <tr><td>Q3 2016/17</td><td>55</td><td>250</td><td>125</td></tr> <tr><td>Q4 2016/17</td><td>51</td><td>250</td><td>125</td></tr> <tr><td>Q1 2015/16</td><td>35</td><td>250</td><td>125</td></tr> <tr><td>Q2 2015/16</td><td>58</td><td>250</td><td>125</td></tr> <tr><td>Q3 2015/16</td><td>55</td><td>250</td><td>125</td></tr> <tr><td>Q4 2015/16</td><td>51</td><td>250</td><td>125</td></tr> <tr><td>Q1 2014/15</td><td>35</td><td>250</td><td>125</td></tr> <tr><td>Q2 2014/15</td><td>58</td><td>250</td><td>125</td></tr> <tr><td>Q3 2014/15</td><td>55</td><td>250</td><td>125</td></tr> <tr><td>Q4 2014/15</td><td>51</td><td>250</td><td>125</td></tr> <tr><td>Q1 2013/14</td><td>35</td><td>250</td><td>125</td></tr> <tr><td>Q2 2013/14</td><td>58</td><td>250</td><td>125</td></tr> <tr><td>Q3 2013/14</td><td>55</td><td>250</td><td>125</td></tr> <tr><td>Q4 2013/14</td><td>51</td><td>250</td><td>125</td></tr> <tr><td>Q1 2012/13</td><td>35</td><td>250</td><td>125</td></tr> <tr><td>Q2 2012/13</td><td>58</td><td>250</td><td>125</td></tr> <tr><td>Q3 2012/13</td><td>55</td><td>250</td><td>125</td></tr> <tr><td>Q4 2012/13</td><td>51</td><td>250</td><td>125</td></tr> <tr><td>Q1 2011/12</td><td>35</td><td>250</td><td>125</td></tr> <tr><td>Q2 2011/12</td><td>58</td><td>250</td><td>125</td></tr> <tr><td>Q3 2011/12</td><td>55</td><td>250</td><td>125</td></tr> <tr><td>Q4 2011/12</td><td>51</td><td>250</td><td>125</td></tr> <tr><td>Q1 2010/11</td><td>35</td><td>250</td><td>125</td></tr> <tr><td>Q2 2010/11</td><td>58</td><td>250</td><td>125</td></tr> <tr><td>Q3 2010/11</td><td>55</td><td>250</td><td>125</td></tr> <tr><td>Q4 2010/11</td><td>51</td><td>250</td><td>125</td></tr> <tr><td>Q1 2009/10</td><td>35</td><td>250</td><td>125</td></tr> <tr><td>Q2 2009/10</td><td>58</td><td>250</td><td>125</td></tr> <tr><td>Q3 2009/10</td><td>55</td><td>250</td><td>125</td></tr> <tr><td>Q4 2009/10</td><td>51</td><td>250</td><td>125</td></tr> <tr><td>Q1 2008/09</td><td>35</td><td>250</td><td>125</td></tr> <tr><td>Q2 2008/09</td><td>58</td><td>250</td><td>125</td></tr> <tr><td>Q3 2008/09</td><td>55</td><td>250</td><td>125</td></tr> <tr><td>Q4 2008/09</td><td>51</td><td>250</td><td>125</td></tr> </tbody> </table>	Quarter	Actual	Target (Quarters)	Benchmarking	Q1 2018/18	32	250	125	Q2 2018/18	58	250	125	Q3 2018/18	55	250	125	Q4 2018/18	51	250	125	Q1 2017/18	78	250	125	Q2 2017/18	84	250	125	Q3 2017/18	82.5	250	125	Q4 2017/18	69	250	125	Q1 2016/17	35	250	125	Q2 2016/17	58	250	125	Q3 2016/17	55	250	125	Q4 2016/17	51	250	125	Q1 2015/16	35	250	125	Q2 2015/16	58	250	125	Q3 2015/16	55	250	125	Q4 2015/16	51	250	125	Q1 2014/15	35	250	125	Q2 2014/15	58	250	125	Q3 2014/15	55	250	125	Q4 2014/15	51	250	125	Q1 2013/14	35	250	125	Q2 2013/14	58	250	125	Q3 2013/14	55	250	125	Q4 2013/14	51	250	125	Q1 2012/13	35	250	125	Q2 2012/13	58	250	125	Q3 2012/13	55	250	125	Q4 2012/13	51	250	125	Q1 2011/12	35	250	125	Q2 2011/12	58	250	125	Q3 2011/12	55	250	125	Q4 2011/12	51	250	125	Q1 2010/11	35	250	125	Q2 2010/11	58	250	125	Q3 2010/11	55	250	125	Q4 2010/11	51	250	125	Q1 2009/10	35	250	125	Q2 2009/10	58	250	125	Q3 2009/10	55	250	125	Q4 2009/10	51	250	125	Q1 2008/09	35	250	125	Q2 2008/09	58	250	125	Q3 2008/09	55	250	125	Q4 2008/09	51	250	125	Continued improvement over previous quarters. This again demonstrates the hard work and commitment of both the Housing Options Team and internal partners in prevention work reducing homelessness.	Q4 2017/18
Quarter	Actual	Target (Quarters)	Benchmarking																																																																																																																																																																																									
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Measure	YTD Actual	YTD Target	RAG Status	Trend	Desired Direction of Travel	Trend Chart	Comments	Last Update																											
(ADC)CORP/DLV/22 Number of long-term empty homes and derelict brought back into use	174	100	🟢	⬆️	Aim to Maximise	<p>(ADC)CORP/DLV/22 Number of long-term empty homes and derelict brought back into use</p> <table border="1"> <tr><th>Quarter</th><th>Actual</th><th>Target</th></tr> <tr><td>Q1 2017</td><td>55</td><td>100</td></tr> <tr><td>Q2 2017</td><td>91</td><td>100</td></tr> <tr><td>Q3 2017</td><td>124</td><td>100</td></tr> <tr><td>Q4 2017</td><td>174</td><td>100</td></tr> <tr><td>Q1 2018</td><td>42</td><td>100</td></tr> <tr><td>Q2 2018</td><td>78</td><td>100</td></tr> <tr><td>Q3 2018</td><td>165</td><td>100</td></tr> <tr><td>Q4 2018</td><td>174</td><td>100</td></tr> </table>	Quarter	Actual	Target	Q1 2017	55	100	Q2 2017	91	100	Q3 2017	124	100	Q4 2017	174	100	Q1 2018	42	100	Q2 2018	78	100	Q3 2018	165	100	Q4 2018	174	100		Q4 2017/18
Quarter	Actual	Target																																	
Q1 2017	55	100																																	
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Q3 2017	124	100																																	
Q4 2017	174	100																																	
Q1 2018	42	100																																	
Q2 2018	78	100																																	
Q3 2018	165	100																																	
Q4 2018	174	100																																	
(ADC)CORP/DLV/03 Number of new affordable homes delivered during the year	30	50	🟠	⬇️	Aim to Maximise	<p>(ADC)CORP/DLV/03 Number of new affordable homes delivered during the year</p> <table border="1"> <tr><th>Quarter</th><th>Actual</th><th>Target</th></tr> <tr><td>Q1 2017</td><td>39</td><td>50</td></tr> <tr><td>Q2 2017</td><td>48</td><td>50</td></tr> <tr><td>Q3 2017</td><td>25</td><td>50</td></tr> <tr><td>Q4 2017</td><td>25</td><td>50</td></tr> <tr><td>Q1 2018</td><td>12</td><td>50</td></tr> <tr><td>Q2 2018</td><td>12</td><td>50</td></tr> <tr><td>Q3 2018</td><td>22</td><td>50</td></tr> <tr><td>Q4 2018</td><td>17</td><td>50</td></tr> </table>	Quarter	Actual	Target	Q1 2017	39	50	Q2 2017	48	50	Q3 2017	25	50	Q4 2017	25	50	Q1 2018	12	50	Q2 2018	12	50	Q3 2018	22	50	Q4 2018	17	50	16 completions in this quarter. there were 12 at Cross Row/Brand Lane Stanton Hill and 4 at Watnall Road, Hucknall	Q4 2017/18
Quarter	Actual	Target																																	
Q1 2017	39	50																																	
Q2 2017	48	50																																	
Q3 2017	25	50																																	
Q4 2017	25	50																																	
Q1 2018	12	50																																	
Q2 2018	12	50																																	
Q3 2018	22	50																																	
Q4 2018	17	50																																	
(ADC)CORP/DLV/07 Disabled facility grant - number of grants delivered	105	120	🟠	⬇️	Aim to Maximise	<p>(ADC)CORP/DLV/07 Disabled facility grant - number of grants delivered</p> <table border="1"> <tr><th>Quarter</th><th>Actual</th><th>Target</th></tr> <tr><td>Q1 2017</td><td>27</td><td>120</td></tr> <tr><td>Q2 2017</td><td>42</td><td>120</td></tr> <tr><td>Q3 2017</td><td>46.75</td><td>120</td></tr> <tr><td>Q4 2017</td><td>118</td><td>120</td></tr> <tr><td>Q1 2018</td><td>20</td><td>120</td></tr> <tr><td>Q2 2018</td><td>43</td><td>120</td></tr> <tr><td>Q3 2018</td><td>70</td><td>120</td></tr> <tr><td>Q4 2018</td><td>105</td><td>120</td></tr> </table>	Quarter	Actual	Target	Q1 2017	27	120	Q2 2017	42	120	Q3 2017	46.75	120	Q4 2017	118	120	Q1 2018	20	120	Q2 2018	43	120	Q3 2018	70	120	Q4 2018	105	120	An increase in the number of large scale referrals, that take longer to get on site is the reason for the reduction in the number of completed jobs	Q4 2017/18
Quarter	Actual	Target																																	
Q1 2017	27	120																																	
Q2 2017	42	120																																	
Q3 2017	46.75	120																																	
Q4 2017	118	120																																	
Q1 2018	20	120																																	
Q2 2018	43	120																																	
Q3 2018	70	120																																	
Q4 2018	105	120																																	
(ADC)CORP/DLV/18 Average void re-let time of Council Homes (DAYS)	19.3	21.0	🟢	⬆️	Aim to Minimise	<p>(ADC)CORP/DLV/18 Average void re-let time of Council Homes (DAYS)</p> <table border="1"> <tr><th>Quarter</th><th>Actual</th><th>Target</th></tr> <tr><td>Q1 2017</td><td>24.3</td><td>21.0</td></tr> <tr><td>Q2 2017</td><td>21.9</td><td>21.0</td></tr> <tr><td>Q3 2017</td><td>21.6</td><td>21.0</td></tr> <tr><td>Q4 2017</td><td>21.6</td><td>21.0</td></tr> <tr><td>Q1 2018</td><td>19.8</td><td>21.0</td></tr> <tr><td>Q2 2018</td><td>17.8</td><td>21.0</td></tr> <tr><td>Q3 2018</td><td>19.2</td><td>21.0</td></tr> <tr><td>Q4 2018</td><td>19.3</td><td>21.0</td></tr> </table>	Quarter	Actual	Target	Q1 2017	24.3	21.0	Q2 2017	21.9	21.0	Q3 2017	21.6	21.0	Q4 2017	21.6	21.0	Q1 2018	19.8	21.0	Q2 2018	17.8	21.0	Q3 2018	19.2	21.0	Q4 2018	19.3	21.0		Q4 2017/18
Quarter	Actual	Target																																	
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Q3 2018	19.2	21.0																																	
Q4 2018	19.3	21.0																																	
(ADC)CORP/DLV/20 Percentage of non-decent homes of total council housing stock	0.07%	0.40%	🟢	⬆️	Aim to Minimise	<p>(ADC)CORP/DLV/20 Percentage of non-decent homes of total council housing stock</p> <table border="1"> <tr><th>Quarter</th><th>Actual</th><th>Target</th></tr> <tr><td>Q1 2017</td><td>0.08%</td><td>0.40%</td></tr> <tr><td>Q2 2017</td><td>0.08%</td><td>0.40%</td></tr> <tr><td>Q3 2017</td><td>0.06%</td><td>0.40%</td></tr> <tr><td>Q4 2017</td><td>0.06%</td><td>0.40%</td></tr> <tr><td>Q1 2018</td><td>0.06%</td><td>0.40%</td></tr> <tr><td>Q2 2018</td><td>0.06%</td><td>0.40%</td></tr> <tr><td>Q3 2018</td><td>0.06%</td><td>0.40%</td></tr> <tr><td>Q4 2018</td><td>0.06%</td><td>0.40%</td></tr> </table>	Quarter	Actual	Target	Q1 2017	0.08%	0.40%	Q2 2017	0.08%	0.40%	Q3 2017	0.06%	0.40%	Q4 2017	0.06%	0.40%	Q1 2018	0.06%	0.40%	Q2 2018	0.06%	0.40%	Q3 2018	0.06%	0.40%	Q4 2018	0.06%	0.40%		Q4 2017/18
Quarter	Actual	Target																																	
Q1 2017	0.08%	0.40%																																	
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Q3 2018	0.06%	0.40%																																	
Q4 2018	0.06%	0.40%																																	



Measure	YTD Actual	YTD Target	RAG Status	Trend	Desired Direction of Travel	Trend Chart	Comments	Last Update
(ADC)CORP/DLV/09 Number of properties inspected end enforcement action taken to mitigate cold hazards	586	400	🟢	↑	Aim to Maximise		on track despite high volumes	Q4 2017/18
(ADC)CORP/DLV/10 Number of properties inspected and enforcement action taken to mitigate damp and mould	439	200	🟢	↑	Aim to Maximise		exceeded for the quarter and the year	Q4 2017/18
(ADC)CORP/DLV/52 Number of Council properties in receipt of an aid or adaptation	460	496	🟡	↓	Aim to Maximise		This new PI measures the number of aids & adaptations completed to the residential housing stock within the financial year and will be updated biannually. Recognised it will be difficult to set a target as perf will fluctuate annually and the number completed within one year won't have any bearing on the number completed in subsequent years.	Qu4 2017/18 biannual
(ADC)CORP/DLV/53 Proportion of tenants who remain in their tenancy for 6 months or more following the completion of the support package	100%	95%	🟢	↑	Aim to Maximise			March 2018

Measure	YTD Actual	YTD Target	RAG Status	Trend	Desired Direction of Travel	Trend Chart	Comments	Last Update																				
(ADC)CORP/DLV/54 Number of Council Tenants assisted with welfare and money management advice	1,022	450	🟢	↑	Aim to Maximise	<p>(ADC)CORP/DLV/54 Number of Council Tenants assisted with welfare and money management advice</p> <table border="1"> <thead> <tr> <th>Quarter</th> <th>Quarters</th> <th>Target (Quarters)</th> <th>Benchmarking</th> </tr> </thead> <tbody> <tr> <td>Q1 2017/18</td> <td>114</td> <td>450</td> <td>114</td> </tr> <tr> <td>Q2 2017/18</td> <td>477</td> <td>450</td> <td>477</td> </tr> <tr> <td>Q3 2017/18</td> <td>746</td> <td>450</td> <td>746</td> </tr> <tr> <td>Q4 2017/18</td> <td>1,022</td> <td>450</td> <td>1,022</td> </tr> </tbody> </table>	Quarter	Quarters	Target (Quarters)	Benchmarking	Q1 2017/18	114	450	114	Q2 2017/18	477	450	477	Q3 2017/18	746	450	746	Q4 2017/18	1,022	450	1,022		Q4 2017/18
Quarter	Quarters	Target (Quarters)	Benchmarking																									
Q1 2017/18	114	450	114																									
Q2 2017/18	477	450	477																									
Q3 2017/18	746	450	746																									
Q4 2017/18	1,022	450	1,022																									

Age 20

**Delivery - Place and Communities Priority**

Measure	YTD Actual	YTD Target	RAG Status	Trend	Desired Direction of Travel	Trend Chart	Comments	Last Update																				
(ADC)CORP/DLV/14 Number of resident-generated service requests received – litter	527	591	🟢	↑	Aim to Minimise	<p>(ADC)CORP/DLV/14 Number of resident-generated service requests received - litter</p> <table border="1"> <thead> <tr> <th>Quarter</th> <th>Quarters</th> <th>Target (Quarters)</th> <th>Benchmarking</th> </tr> </thead> <tbody> <tr> <td>Q1 2017/18</td> <td>129</td> <td>591</td> <td>129</td> </tr> <tr> <td>Q2 2017/18</td> <td>246</td> <td>591</td> <td>246</td> </tr> <tr> <td>Q3 2017/18</td> <td>403</td> <td>591</td> <td>403</td> </tr> <tr> <td>Q4 2017/18</td> <td>527</td> <td>591</td> <td>527</td> </tr> </tbody> </table>	Quarter	Quarters	Target (Quarters)	Benchmarking	Q1 2017/18	129	591	129	Q2 2017/18	246	591	246	Q3 2017/18	403	591	403	Q4 2017/18	527	591	527	10.8% reduction in litter requests year on year	Q4 2017/18
Quarter	Quarters	Target (Quarters)	Benchmarking																									
Q1 2017/18	129	591	129																									
Q2 2017/18	246	591	246																									
Q3 2017/18	403	591	403																									
Q4 2017/18	527	591	527																									
(ADC)CORP/DLV/15 Number of resident-generated service requests received – dog fouling	251	370	🟢	↑	Aim to Minimise	<p>(ADC)CORP/DLV/15 Number of resident-generated service requests received - dog fouling</p> <table border="1"> <thead> <tr> <th>Quarter</th> <th>Quarters</th> <th>Target (Quarters)</th> <th>Benchmarking</th> </tr> </thead> <tbody> <tr> <td>Q1 2017/18</td> <td>52</td> <td>370</td> <td>52</td> </tr> <tr> <td>Q2 2017/18</td> <td>113</td> <td>370</td> <td>113</td> </tr> <tr> <td>Q3 2017/18</td> <td>370</td> <td>370</td> <td>370</td> </tr> <tr> <td>Q4 2017/18</td> <td>251</td> <td>370</td> <td>251</td> </tr> </tbody> </table>	Quarter	Quarters	Target (Quarters)	Benchmarking	Q1 2017/18	52	370	52	Q2 2017/18	113	370	113	Q3 2017/18	370	370	370	Q4 2017/18	251	370	251	Year on year 32% reduction in dog-fouling service requests received	Q4 2017/18
Quarter	Quarters	Target (Quarters)	Benchmarking																									
Q1 2017/18	52	370	52																									
Q2 2017/18	113	370	113																									
Q3 2017/18	370	370	370																									
Q4 2017/18	251	370	251																									

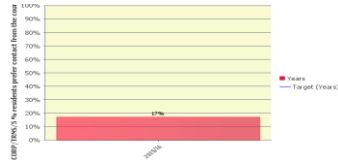
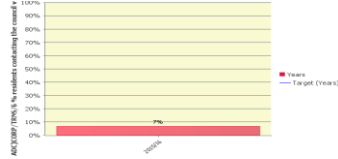
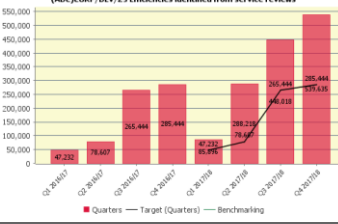
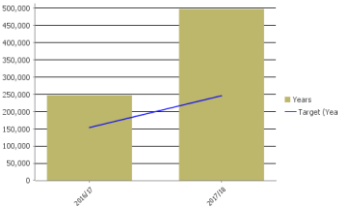
Measure	YTD Actual	YTD Target	RAG Status	Trend	Desired Direction of Travel	Trend Chart	Comments	Last Update																												
(ADC)CORP/DLV/16 Number of resident-generated service requests received – fly-tipping	892	799	🟡	↓	Aim to Minimise	<p>(ADC)CORP/DLV/16 Number of resident-generated service requests received – fly-tipping</p> <table border="1"> <thead> <tr> <th>Quarter</th> <th>Actual</th> <th>Target</th> <th>Benchmarking</th> </tr> </thead> <tbody> <tr><td>Q3-2017</td><td>144</td><td>150</td><td>150</td></tr> <tr><td>Q4-2017</td><td>236</td><td>250</td><td>250</td></tr> <tr><td>Q1-2018</td><td>454</td><td>475</td><td>475</td></tr> <tr><td>Q2-2018</td><td>799</td><td>825</td><td>825</td></tr> <tr><td>Q3-2018</td><td>221</td><td>225</td><td>225</td></tr> <tr><td>Q4-2018</td><td>892</td><td>799</td><td>799</td></tr> </tbody> </table>	Quarter	Actual	Target	Benchmarking	Q3-2017	144	150	150	Q4-2017	236	250	250	Q1-2018	454	475	475	Q2-2018	799	825	825	Q3-2018	221	225	225	Q4-2018	892	799	799	11.6% increase year on year, Q4 comparative figures will be available in May when Fly-capture data is available. In Q3 there was an increase of 14% in Nottinghamshire and 15% increase in East Midlands	Q4 2017/18
Quarter	Actual	Target	Benchmarking																																	
Q3-2017	144	150	150																																	
Q4-2017	236	250	250																																	
Q1-2018	454	475	475																																	
Q2-2018	799	825	825																																	
Q3-2018	221	225	225																																	
Q4-2018	892	799	799																																	
(ADC)CORP/DLV/17 % resident satisfaction with cleanliness of the district – keeping land clear of litter and refuse	60% (2015/16)	53%	🟢	↑	Aim to Maximise	<p>(ADC)CORP/DLV/17 % resident satisfaction with cleanliness of the district – keeping land clear of litter and refuse</p> <table border="1"> <thead> <tr> <th>Year</th> <th>Satisfaction %</th> </tr> </thead> <tbody> <tr><td>2015/16</td><td>53%</td></tr> <tr><td>2016/17</td><td>58%</td></tr> <tr><td>2017/18</td><td>60%</td></tr> </tbody> </table>	Year	Satisfaction %	2015/16	53%	2016/17	58%	2017/18	60%	Place Survey Measure – March 2016	2015/16																				
Year	Satisfaction %																																			
2015/16	53%																																			
2016/17	58%																																			
2017/18	60%																																			
(ADC)CORP/DLV/34 Number of new Environmental Volunteers actively engaged	56	50	🟢	↓	Aim to Maximise	<p>(ADC)CORP/DLV/34 Number of new Environmental Volunteers actively engaged</p> <table border="1"> <thead> <tr> <th>Quarter</th> <th>Actual</th> <th>Target</th> <th>Benchmarking</th> </tr> </thead> <tbody> <tr><td>Q3-2017</td><td>10</td><td>12</td><td>12</td></tr> <tr><td>Q4-2017</td><td>40</td><td>35</td><td>35</td></tr> <tr><td>Q1-2018</td><td>55</td><td>50</td><td>50</td></tr> <tr><td>Q2-2018</td><td>95</td><td>90</td><td>90</td></tr> <tr><td>Q3-2018</td><td>25</td><td>25</td><td>25</td></tr> <tr><td>Q4-2018</td><td>56</td><td>50</td><td>50</td></tr> </tbody> </table>	Quarter	Actual	Target	Benchmarking	Q3-2017	10	12	12	Q4-2017	40	35	35	Q1-2018	55	50	50	Q2-2018	95	90	90	Q3-2018	25	25	25	Q4-2018	56	50	50	The number of new environmental volunteers actively engaged are less than last year, which was the first year of the programme and attracted initially high levels of volunteer take up. The programme continues to be promoted extensively to attract new volunteers, for example through All About Ashfield and through national initiatives such as Keep Britain Tidy's Great British Spring Clean and Volunteers Week.	Q4 2017/18
Quarter	Actual	Target	Benchmarking																																	
Q3-2017	10	12	12																																	
Q4-2017	40	35	35																																	
Q1-2018	55	50	50																																	
Q2-2018	95	90	90																																	
Q3-2018	25	25	25																																	
Q4-2018	56	50	50																																	
(ADC)CORP/DLV/36 Incidents of ASB – police recorded	3,570	3,559	🟡	↓	Aim to Minimise	<p>(ADC)CORP/DLV/36 Incidents of ASB – police recorded</p> <table border="1"> <thead> <tr> <th>Quarter</th> <th>Actual</th> <th>Target</th> <th>Benchmarking</th> </tr> </thead> <tbody> <tr><td>Q3-2017</td><td>677</td><td>677</td><td>677</td></tr> <tr><td>Q4-2017</td><td>1,750</td><td>1,750</td><td>1,750</td></tr> <tr><td>Q1-2018</td><td>2,041</td><td>2,041</td><td>2,041</td></tr> <tr><td>Q2-2018</td><td>3,570</td><td>3,570</td><td>3,570</td></tr> <tr><td>Q3-2018</td><td>877</td><td>877</td><td>877</td></tr> <tr><td>Q4-2018</td><td>3,570</td><td>3,559</td><td>3,559</td></tr> </tbody> </table>	Quarter	Actual	Target	Benchmarking	Q3-2017	677	677	677	Q4-2017	1,750	1,750	1,750	Q1-2018	2,041	2,041	2,041	Q2-2018	3,570	3,570	3,570	Q3-2018	877	877	877	Q4-2018	3,570	3,559	3,559	For 2017–2018 there was 3,570 incidents reported which is an increase of 18 offences against the previous year (0.51%) This is broken down as follows:  ASB Environmental 217 (2017–18) 289 (2016–17) –72 less offences – 24.91%	Q4 2017/18
Quarter	Actual	Target	Benchmarking																																	
Q3-2017	677	677	677																																	
Q4-2017	1,750	1,750	1,750																																	
Q1-2018	2,041	2,041	2,041																																	
Q2-2018	3,570	3,570	3,570																																	
Q3-2018	877	877	877																																	
Q4-2018	3,570	3,559	3,559																																	

Measure	YTD Actual	YTD Target	RAG Status	Trend	Desired Direction of Travel	Trend Chart	Comments	Last Update																		
							<p>ASB Nuisance 2,753 (2017-18) 2,606 (2016-17) 147 more offences 5.64%</p> <p>ASB Personal 600 (2017-18) 657 (2016-17) -57 less offences -8.68%</p>																			
(ADC)CORP/DLV/37 Percentage of customers satisfied with the action the Council has taken – ASB & Nuisance	94%	96%	⚠	↓	Aim to Maximise	<table border="1"> <caption>(ADC)CORP/DLV/37 Percentage of customers satisfied with the action the Council has taken - ASB &amp; Nuisance</caption> <thead> <tr> <th>Quarter</th> <th>Percentage</th> </tr> </thead> <tbody> <tr><td>Q3 2016/17</td><td>80%</td></tr> <tr><td>Q4 2016/17</td><td>82%</td></tr> <tr><td>Q1 2017/18</td><td>84%</td></tr> <tr><td>Q2 2017/18</td><td>86%</td></tr> <tr><td>Q3 2017/18</td><td>88%</td></tr> <tr><td>Q4 2017/18</td><td>94%</td></tr> </tbody> </table>	Quarter	Percentage	Q3 2016/17	80%	Q4 2016/17	82%	Q1 2017/18	84%	Q2 2017/18	86%	Q3 2017/18	88%	Q4 2017/18	94%	94% of our customers contacted were satisfied with the action the Council has taken. The 6% that were dissatisfied related to their expectations of what action they wanted which after team leader review was not suitable. The improvement relates to only contacting residents that had a case being managed by the Council's Community protection Team; rather than including call backs to residents who were referred to the agency that should have dealt with their complaint.	Q4 2017/18				
Quarter	Percentage																									
Q3 2016/17	80%																									
Q4 2016/17	82%																									
Q1 2017/18	84%																									
Q2 2017/18	86%																									
Q3 2017/18	88%																									
Q4 2017/18	94%																									
(ADC)CORP/DLV/12 Percentage of household waste recycled and composted	40.92%	40.95%	⚠	↑	Aim to Maximise	<table border="1"> <caption>(ADC)CORP/DLV/12 Percentage of household waste recycled and composted</caption> <thead> <tr> <th>Quarter</th> <th>Percentage</th> </tr> </thead> <tbody> <tr><td>Q3 2016/17</td><td>31.74%</td></tr> <tr><td>Q4 2016/17</td><td>31.74%</td></tr> <tr><td>Q1 2017/18</td><td>31.74%</td></tr> <tr><td>Q2 2017/18</td><td>31.74%</td></tr> <tr><td>Q3 2017/18</td><td>46.30%</td></tr> <tr><td>Q4 2017/18</td><td>46.20%</td></tr> <tr><td>Q1 2018/19</td><td>44.31%</td></tr> <tr><td>Q2 2018/19</td><td>46.92%</td></tr> </tbody> </table>	Quarter	Percentage	Q3 2016/17	31.74%	Q4 2016/17	31.74%	Q1 2017/18	31.74%	Q2 2017/18	31.74%	Q3 2017/18	46.30%	Q4 2017/18	46.20%	Q1 2018/19	44.31%	Q2 2018/19	46.92%	Indicative figure will likely increase by 0.5-1% once final data is obtained regarding recycling end destinations	Q4 2017/18
Quarter	Percentage																									
Q3 2016/17	31.74%																									
Q4 2016/17	31.74%																									
Q1 2017/18	31.74%																									
Q2 2017/18	31.74%																									
Q3 2017/18	46.30%																									
Q4 2017/18	46.20%																									
Q1 2018/19	44.31%																									
Q2 2018/19	46.92%																									
(ADC)CORP/DLV/13 % resident satisfaction with waste and recycling service	78%	77%	✅	↑	Aim to Maximise	<table border="1"> <caption>(ADC)CORP/DLV/13 Resident satisfaction with waste and recycling service</caption> <thead> <tr> <th>Quarter</th> <th>Percentage</th> </tr> </thead> <tbody> <tr><td>Q3 2016/17</td><td>70%</td></tr> <tr><td>Q4 2016/17</td><td>75%</td></tr> <tr><td>Q1 2017/18</td><td>78%</td></tr> </tbody> </table>	Quarter	Percentage	Q3 2016/17	70%	Q4 2016/17	75%	Q1 2017/18	78%	Place Survey Measure – March 2016	2015/16										
Quarter	Percentage																									
Q3 2016/17	70%																									
Q4 2016/17	75%																									
Q1 2017/18	78%																									

Measure	YTD Actual	YTD Target	RAG Status	Trend	Desired Direction of Travel	Trend Chart	Comments	Last Update
(ADC)CORP/DLV/51 Average improvement in circumstance – Broomhill & New Cross	132		No target	↑	Aim to Maximise		There was 47 total eligible outcome stars for quarter 4. Of the 42 completed – 41 cases had seen a life improvement over 5 key areas with one case not improving.	Q4 2017/18

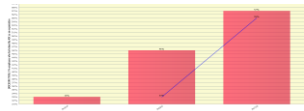

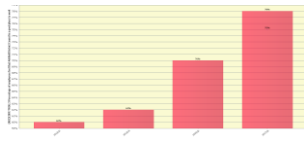
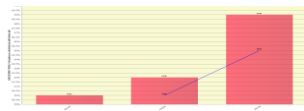
**Delivery - Organisational Improvement Priority**

Measure	YTD Actual	YTD Target	RAG Status	Trend	Desired Direction of Travel	Trend Chart	Comments	Last Update
(ADC)CORP/TRNS/2 Number of online payments made	10,185	4,496	✓	↑	Aim to Maximise		6520 – Revenues 3051 – Rents 464 Garden Waste 150 others	Q4 2017/18
(ADC)CORP/TRNS/3 Number of direct debit payments made	360,433	341,042	✓	↑	Aim to Maximise			Q4 2017/18
(ADC)CORP/TRNS/4 Resident perception the Council website is easy to use	52%	New PI 2016	New	New	Aim to Maximise		Place Survey Measure – March 2016	2015/16

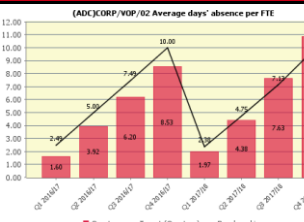
Measure	YTD Actual	YTD Target	RAG Status	Trend	Desired Direction of Travel	Trend Chart	Comments	Last Update
(ADC)CORP/TRNS/5 % residents prefer contact from the council via email	17%	New PI 2016	New	New	Aim to Maximise		Place Survey Measure - March 2016	2015/16
(ADC)CORP/TRNS/6 % residents contacting the council via email	7%	New PI 2016	New	New	Aim to Maximise		Place Survey Measure - March 2016	2015/16
(ADC)CORP/DLV/29 Efficiencies identified from service reviews	539,635	285,444	✓	↑	Aim to Maximise		Potential efficiencies identified from reviews of democracy, secretariat, ICT, asset management, community engagement, estates management, community protection hub and localities.	Q4 2017/18
(ADC)CORP/DLV/30 Efficiencies realised from service reviews (decision)	495,689	245,000	✓	↑	Aim to Maximise		Relates to full year efficiencies agreed from service reviews following consultation and final decision GF and HRA. Target of £245k from 2016/17 and 2017/18 savings strategy in respect of service reviews GF savings. £230k GF efficiencies will be delivered against these targets in either 17/18 or into 18/19. A further £136k GF efficiencies will be delivered from April 18/19 against which there is no savings strategy target. Further decisions from localities review has been made in qu1 2018/19.	Q4 2017/18

## Our People

### Transforming Our Organisation

Measure	YTD Actual	YTD Target	RAG Status	Trend	Desired Direction of Travel	Trend Chart	Comments	Last Update
(ADC)CORP/TROG/1 % employees who feel valued by ADC as an organisation	57% (2017/18)	55%	🟢	↑	Aim to Maximise			2017/18
(ADC)CORP/TROG/2 employee satisfaction with ADC as an 'employer of choice'	78%	60%	🟢	New	Aim to Maximise			2017/18
(ADC)CORP/TROG/3 Percentage of employees feel that Ashfield District Council is a good place to work	78% (2017/18)	75%	🟢	↑	Aim to Maximise			2017/18
(ADC)CORP/TROG/4 Employee satisfaction with their job	69%	65%	🟢	↑	Aim to Maximise			2017/18

### Valuing Our People

Measure	YTD Actual	YTD Target	RAG Status	Trend	Desired Direction of Travel	Trend Chart	Comments	Last Update
(ADC)CORP/VOP/02 Average days' absence per FTE	10.86	10.00	🟡	↓	Aim to Minimise		2017/18 full year out-turn is average 10.86 days/FTE	Q4 2017/18

Measure	YTD Actual	YTD Target	RAG Status	Trend	Desired Direction of Travel	Trend Chart	Comments	Last Update									
(ADC)CORP/VOP/03 % of overall workforce which are Young People	5.67%	4.42%	✓	↑	Aim to Maximise	<table border="1"> <caption>Trend Chart Data</caption> <thead> <tr> <th>Year</th> <th>Actual (%)</th> <th>Target (%)</th> </tr> </thead> <tbody> <tr> <td>2016/17</td> <td>2.8%</td> <td>-</td> </tr> <tr> <td>2017/18</td> <td>5.67%</td> <td>4.42%</td> </tr> </tbody> </table>	Year	Actual (%)	Target (%)	2016/17	2.8%	-	2017/18	5.67%	4.42%		2017/18
Year	Actual (%)	Target (%)															
2016/17	2.8%	-															
2017/18	5.67%	4.42%															



<b>Report To:</b>	<b>CABINET</b>	<b>DATE:</b>	<b>14<sup>TH</sup> JUNE 2018</b>
<b>Heading:</b>	<b>CORPORATE RISK – YEAR END 2017/18 POSITION</b>		
<b>Portfolio Holder:</b>	<b>COUNCILLOR JASON ZADROZNY – LEADER OF THE COUNCIL</b>		
<b>Ward/s:</b>			
<b>Key Decision:</b>	<b>NO</b>		
<b>Subject to Call-In:</b>	<b>YES</b>		

## **Purpose of Report**

For Cabinet to review the Corporate Risk Register and the analysis of movement in risk and mitigating actions in respect of those risks. For Cabinet to also consider and approve the updated Corporate Risk Strategy.

## **Recommendation(s)**

- **Cabinet are asked to endorse the current significant items on the Register and to consider whether any further immediate actions are necessary to mitigate those risks.**
- **Cabinet are asked to approve the updated Corporate Risk Strategy.**

## **Reasons for Recommendation(s)**

To prioritise and manage the mitigation of Risk in order that the Council can achieve its objectives.

Updates to the Corporate Risk Strategy were considered appropriate in order to facilitate greater understanding of risk maturity and improved organisational performance against the Alarm national performance model for risk management in public services, as suggested by Internal Audit. This is also highlighted as an improvement action in the Annual Governance Statement.

## **Alternative Options Considered**

None

## Detailed Information

### Context/Background

All strategic risks at corporate and directorate level are incorporated into the Pentana performance system to enable quarterly updates at the same time as updating performance, therefore enhancing the consideration of risk in the delivery of services.

The Risk Template was revised to incorporate new columns to ensure we identify:-

- business continuity links
- ability to influence
- actions required and milestones separate to actions completed

### Risk Audit Update

An Internal Audit of risk was undertaken in 2016/17, outstanding recommendations in 2017/18 were:-

- *Ensure employees attend risk management training* –completed and incorporated into corporate training programme for CLT and ELT leadership levels
- *Ensure risk management training built into Member training schedule* –completed and incorporated into Member training programme
- *Reports to Members should include a section on the implications associated with Risk* – completed and now incorporated into the report template
- *Council undertake an exercise to identify its current risk maturity level using the ALARM model. The results of this should then highlight any areas for improvement and inform a plan of action to achieve the desired level of risk maturity and risk appetite* – the Corporate Risk Strategy has been reviewed and updated in order to facilitate improved performance against the ALARM model. Cabinet are requested to review and approve the revised strategy. A detailed action plan will be adopted in order to achieve the desired level of risk maturity against the model.

### Corporate Risk Strategy

The Corporate Risk Strategy has been reviewed in order to ensure that it continues to meet the needs of the organisation and aligns with the Public Risk Management Association model known as “The Alarm national performance model for risk management in public services” . This model is comprehensive and focuses on seven strands of risk management activity, by which the organisation can measure current performance against recognised achievement levels for each of the seven strands. The model provides the basis for clear performance indicators and acts as a catalyst for improved risk management performance within the organisation. It will also inform assurance in corporate governance terms and the further embedding of risk management across the organisation. See Appendix 1.

### Corporate Risk Register

See attached at Appendix 2

### Risk Rating Summary

	2012/13 Qu 4	2013/14 Qu 4	2014/15 Qu4	2015/16 Qu4	2016/17 Qu4	2017/18 Qu4
Signif	23	15	10	10	9	7
Medium	10	11	9	7	6	10

Low	1	8	7	5	2	3
Total	34	34	26	22	17	20

Current assessments indicate that **levels of significant risks have continued to reduce.**

Those significant risks are (\* mitigatable, and remained significant over last 12 months):-

- Ethical framework \*
- Ability to achieve efficiencies and compliance in procurement\*
- Failure to support and safeguard vulnerable people \*
- Loss of resources under 100% retention regime
- Loss of capita financial services
- Kirkby leisure centre robust business case
- No single political group in overall control

## **Implications**

### **Corporate Plan:**

Effective risk management will enable the delivery of corporate and service level priorities, particularly ensuring our people, structures, systems, processes and practices are 'fit for purpose' and remove barriers to improvement and growth

### **Legal:**

No direct legal implications

### **Finance:**

<b>Budget Area</b>	<b>Implication</b>
General Fund – Revenue Budget	There may be resource implications to the improvement or mitigation of risk. Financial risks are incorporated into the Corporate Risk Register.
General Fund – Capital Programme	
Housing Revenue Account – Revenue Budget	
Housing Revenue Account – Capital Programme	

### **Risk:**

<b>Risk</b>	<b>Mitigation</b>
Lack of an effective risk management framework could result in the organisation having a poor understanding of the major obstacles or blockages that could potentially impact upon its ability to maximise the delivery of its objectives and provision of services to customers	<ul style="list-style-type: none"> <li>• Make risk management part of normal business and therefore incorporate within all decision making processes, including key project delivery.</li> <li>• Integrate risk management into the culture of the Council and cascade awareness through all levels of leadership and beyond.</li> <li>• Ensure the organisation has a clear understanding of its risk maturity level and is taking steps towards improving this to a desired level.</li> </ul>

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**Human Resources:**

There is a need to ensure that service managers are clear with regards to the Corporate Risk Strategy and the requirement to follow the consistent processes contained therein. Risk Management training is a priority and refresher training is currently being scheduled for Members and Officers

**Equalities:**

No impacts

**Other Implications:**

None

**Reason(s) for Urgency**

Not applicable

**Reason(s) for Exemption**

Not applicable

**Background Papers**

Corporate Risk Strategy – updated May 2018  
Detailed Corporate Risk Register – Year end 2017/18

**Report Author and Contact Officer**

Jo Froggatt, Service Manager – Corporate Services and Transformation,  
01623 457328  
[j.froggatt@ashfield-dc.gov.uk](mailto:j.froggatt@ashfield-dc.gov.uk)



## Corporate Risk Management Strategy & Process

Version	Date	Status (draft, approved, signed off)	Author	Change Description	
V1.0	16/04/18	draft	C Clarke	Updated in line with Alarm model	
V2.0	18/04/18	Revised draft	C Clarke	Changes to text & graphics	
V3.0	24/04/18	Revised draft	C Clarke	Change to risk matrix	
V4.0	25/04/18	Final Draft	C Clarke	Additional inclusions in Appendices	
V5.0	18/05/18	Final	C Clarke	Variation to matrix	
Approved for submission to Sponsor, given by				Date	
Sponsor sign off to proceed with project identification, given by				Date	

### Distribution List

Name	Organisation	Job title / Dept.

## Contents

Ashfield District Council Risk Management Strategy - Introduction .....	3
Implementing a risk management process .....	7
Conclusion .....	11
Appendix 1 – The risk management process .....	12
Appendix 2 – Business Planning Template.....	22
Appendix 3 – The Risk Register & Action Plan Template .....	23

# 1. Ashfield District Council Risk Management Strategy - Introduction

## 1.1 Philosophy and aims

Our philosophy:

*Ashfield District Council will seek to embed risk management into its culture, processes and structure to ensure that opportunities are maximised. Ashfield District Council will ensure that the resources and support is available to assist managers to identify, understand and manage risks, and learn how to accept the right risks. Adoption and application of this strategy will deliver success in delivering services to the customers of Ashfield District Council.*

## 1.2 Purpose

The purpose of this risk strategy document is to set out in clear simple terms how risk management will be managed within Ashfield District Council and become embedded in the culture.

It therefore aims to:

- Develop risk management and raise its profile across the Council, and ensure that risk management becomes a living tool.
- Make risk management part of normal business and therefore incorporated within all decision making processes.
- Integrate risk management into the culture of the Council.
- Ensure that all risks are managed in accordance with best practice.
- Create effective processes that will allow risk management assurance statements to be made annually.

## 1.3 What is risk management?

Risk definition: Risk is uncertainty of outcome. The delivery of an organisation's objectives is surrounded by uncertainty which both poses threats to success and offers opportunity for increasing success. Risk is defined as this uncertainty of outcome, whether positive opportunity or negative threat, of actions and events

Risk Management can be defined as:

“Risk management is the process of identifying risks, evaluating their probability and potential consequences and determining the most cost effective methods of controlling and /or responding to them. It is not an end in itself. Rather, risk management is a means of maximising opportunities and minimising the costs and disruption to an organisation caused by undesired events” ‘Risk Management – A Key to Success,’ published by ALARM

Risk management therefore is essentially about identifying all the obstacles and weaknesses that exist within the Council. A holistic approach is vital to ensuring that all elements of the organisation are challenged including our

decision making processes, work with partners, consultation processes, existing policies and procedures as well as the effective use of all assets – including our staff. Once the obstacles have been identified the next stage is to prioritise them to identify the key obstacles facing the Council and to help the organisation to effectively deliver services to our customers. Once risks have been identified and prioritised it is essential that steps are taken to then effectively manage those key obstacles / risks. This will ensure that major obstacles or blockages that exist within the organisation can be mitigated to provide the council with a greater chance of being able to maximise the delivery of its objectives and provision of services to our customers.

Risk management will be used as a strategic tool and an essential part of effective and efficient management and planning within the organisation.

#### **1.4 Risk Management policy statement**

Risk is the chance of something happening that will have an impact on what we set out to achieve.

Risk management is the process for dealing with this effectively – identifying, evaluating, prioritising and mitigating the risks. It is not an end in itself. Effectively managing our risks means that we can maximise opportunities and minimise the costs and disruption to the Council caused by undesired events.

Risk appetite is the “amount and type of risk that an organization is prepared to pursue, retain or take”. This is reviewed annually alongside this framework.

As an organisation we have identified our strategic risks and have a process in place to control and monitor them. We regularly review them (at least annually) to ensure that the corporate risk register remains up-to-date. We also have a system in place to identify project and operational risks at an early stage and again to control and monitor them effectively.

The aim is to manage risk rather than to eliminate it. Too little attention to the control of risk will lead to unnecessary losses and poor performance. An overzealous approach to risk control can stifle creativity and service delivery and may mean that opportunities for improvement are missed. Successful risk management means getting the balance right, thereby making the best use of available resources. We identify actions to reduce negative risks to an agreed acceptable level and this is monitored via the risk register.

The management of risk should not be viewed in isolation; it forms an integral part of the Council’s business. The risk management process forms part of the service planning framework. In addition risk management techniques can be used when considering new service delivery methods or policy options. Much risk management already takes place intuitively.



There is clear ownership of risks at all levels within the authority and we expect partner organisations and contractors to have suitable risk management arrangements.

### **1.5 Why do we need a risk management strategy?**

Risk management will, by aligning to the business planning and performance management processes, strengthen the ability of the Council to achieve our objectives and enhance the value of the services we provide.

Also, Risk Management will, by aligning to the Business Continuity processes, strengthen the ability of the Council to react to all situations and protect its own interests and those of the district, ensuring essential service delivery.

However it is also something we are required to do, for example:

- The CIPFA/SOLACE framework on Corporate Governance requires the Council to make a public assurance statement annually, on amongst other areas, the Council's risk management strategy, process and framework. The framework requires us to establish and maintain a systematic strategy, framework and processes for managing risk.
- Risk management was a key discipline identified in the Organisational Assessment, particularly looking at whether an authority has assessed the risks inherent in its corporate and service plans. This requirement has now been removed, however, is recognised as good practice.
- Risk management is now considered standard practice in both the public and private sectors.
- To meet our statutory obligations such as Civil Contingencies Act, providing emergency response and planning and providing for emergency assistance.

### **1.6 Benefits of risk management**

Successful implementation of risk management will produce many benefits for the Council if it becomes a living tool. These include:

- Increased chance of achieving strategic objectives as key risks are identified and minimised.
- Achieves buy-in to risk (and action) for officers and members.
- An organisation can become less risk averse (because you understand risks).
- Improved performance, accountability and prioritisation - feeds into and aligns with the performance management framework.
- Better governance can be demonstrated to stakeholders.
- Control and mitigation of business continuity risk

## 1.7 Link to Corporate Objectives

Adequate risk management arrangements link to the authority's Organisational Improvement priority. However, the minimisation of risks also enables all of the council's priorities to be achieved. The identification of risk relating to the achievement of performance and improvement is a key aspect of the performance management framework

## 1.8 Risk appetite

The ISO 31000 risk management standard refers to risk appetite as the:

**"Amount and type of risk that an organization is prepared to pursue, retain or take".**

This is reviewed annually by CLT alongside the review of this framework and the corporate risk register.

The appropriate level will depend on circumstances and must be appropriate given our corporate objectives. For example, where public safety is involved our appetite will tend to be low, while for an innovative project that is a key part of our transformation programme, it may be higher, recognising that there will be uncertainty and the potential for things to go wrong but the potential rewards will be higher too.

### 1.8.1 Risk appetite categories

**Averse:** Avoidance of risk and uncertainty; minimal exposure to risk preferred; consequently likely to be low potential for reward / achieving a stretching objective; corresponding risk score = **low**

**Cautious:** Preference for safe options with a low to medium degree of risk only; again this is likely to consequently reduce the potential for reward / achieving a stretching objective; tight controls in place; corresponding risk score = **low to medium**

**Open:** Willing to consider all potential options and choose the one most likely to achieve the objective, while also providing an acceptable level of reward and value for money; balanced approach recognising that things may go wrong but we will learn from them; corresponding risk score = **medium**

**Hungry:** Eager to be innovative and to choose options offering potentially higher rewards, despite greater inherent risk; willing to tolerate uncertainty and accept possibility of significant loss; corresponding risk score = **high**

**Risk Tolerance:** This can be interpreted as an organization's or stakeholder's readiness to bear the risk after risk treatment in order to achieve its objectives.

## 2. Implementing a risk management process

This section covers the implementation of the risk management process within the Council. In order to implement risk management within the Council managers and staff need to become familiar with, and have guidance on, the:

- risk management process,
- roles and responsibilities of officers and members,
- reporting and monitoring.

### 2.1 The Risk Management Cycle



Implementing the strategy involves adopting a systematic and robust process. The following risk management cycle describes the processes that should be followed.

#### **Step 1** Identifying risks facing the Council.

The identification of risks is derived from both a 'top down' (corporate planning) and a 'bottom up' (operational/business continuity level) process of risk assessment resulting in coverage of the whole Council.

#### **Step 2** Analysing the risks

The risks are analysed and reported in a corporate standard format. (See Appendix 3)

#### **Step 3** Prioritising the risks

The process then prioritises the risks resulting in a focus on the key risks and priorities i.e. those risks most likely to happen and with the greatest impact

#### **Step 4** Managing of the risks through action plans

The risks are then managed through the development of appropriate risk management action plans. The Corporate standard template incorporates risk identification and action planning. This is managed through the performance management software "Pentana".

### **Step 5** Monitoring of the action plans and the risks

Risks are managed through the performance management framework at least once every six months, whilst monitoring the delivery of the service and corporate action plans. The information is held in the performance management software "Pentana".

The cycle is continuous and should be followed on a regular basis.

The risk management process is described in detail in Appendix 1.

## **2.2 Roles and Responsibilities**

The successful management of risk is a collective responsibility for all Members and employees. The council has a duty to the community to manage its resources economically, efficiently and effectively.

It is the responsibility of **all Elected Members** to be aware of the risk management implications of their actions, decisions and public statements. All decision making reports include a section identifying any key risks. Elected Members can ask for these and any other risks which they have identified to be fed into the Council's risk process e.g. an operational risk may be passed to the service manager to lead on, a strategic risk may be passed to Audit & Governance Committee and/or Cabinet to debate.

It is the responsibility of **Cabinet Members**:

- To agree an effective strategy and framework to manage risks within the Council
- To set the Council's risk appetite in conjunction with senior managers and the Audit & Governance Committee
- To receive exception reports on risk management (focused at the strategic level) as part of the established quarterly monitoring and to recommend action where necessary
- To agree the Council's response to its highest risks i.e. doing what is practicable to reduce the risk, whilst not using a disproportionate amount of resource
- To formally consider risk management implications when making decisions
- To hold the Audit & Governance Committee and CMT accountable for the effective management of risk
- Monitoring the Council's risk management and internal control arrangements via annual reports to Cabinet, and regular Priority Theme Board Programme Highlight reports

- Approving the public disclosure of the annual outcome of this assessment (the assurance statement), and publishing it in the annual Statement of Accounts.

The **Leader of the Council** is the Cabinet lead on risk management issues. It is their responsibility to promote awareness of potential risk implications at Cabinet level. For example, to pay particular attention to the risk elements in decision making reports; to be available to colleagues to discuss risks; to be satisfied that the risk arrangements are in place and working well; to present the quarterly risk information to Scrutiny & Cabinet.

It is the responsibility of the **Audit & Governance Committee**:

- To have an overview of risk management in the Council
- To carry out an annual review of the risk management framework, including the risk appetite, and to recommend it to Cabinet for approval
- To carry out an annual review of the strategic risk register and to recommend it to Cabinet for approval

### **Corporate Leadership Team (CLT)**

The Corporate Leadership Team is pivotal in leading the promotion and embedding of risk management within the Council. In addition they have an important role in identifying and managing risks.

Corporate Leadership Team's key tasks are:

- Recommending to Cabinet the Corporate Risk Management Strategy and its subsequent revision.
- actively being involved in the assessment and management of risks on a biannual basis, at Corporate strategic level
- being actively involved in the identification, assessment and management of risks within their directorates as part of the service planning process.
- supporting and promoting risk management throughout the Council,
- support the Risk Management Sponsor

### **Risk Management Sponsor – Strategic Planning Risk**

The Risk Management Sponsor (Strategic Planning Risk) will lead the championing and embedding of strategic risk management and drive its implementation within the Council. This role is part of the duties of the Service Manager – Corporate Services and Transformation.

Responsibilities will include:

- compile, and report biannually (from Pentana), to CLT all corporate risks, including the risks escalated up from the Directorate level, and lead their identification, assessment and management of strategic risks on a biannual basis
- produce an annual report to Cabinet on the progress of strategic risk management, the risks, and action in managing them,
- support and advise the CLT on strategic risk management issues
- communicate the benefits of effective strategic risk management to all members of Ashfield District Council

- ensure the alignment of risk within strategic planning and performance and improvement processes

### **Service Managers**

- To have an overview of risk management in the Council at officer level
- To contribute to the annual review of the risk management framework, including risk appetite
- To ensure that the Council's risk management framework is applied in their service areas by identifying, assessing, reporting and monitoring risks and setting risk appetites
- To contribute to the management of strategic risks in support of CLT

It is the responsibility of **Project leads**:

- To ensure that the Council's risk management framework is applied to their project by identifying, assessing, reporting and monitoring risks and setting the risk appetite
- To exception report via reporting at intervals agreed with the Project Sponsor.

### **All Employees**

- To be aware of the Council's risk management framework
- To have an understanding of the risks that arise within their area of work
- To participate in risk management training as appropriate
- To challenge practices, identify new ways of doing things and be innovative
- To learn lessons from risk management rather than apportion blame and to concentrate at least as much on how risks have been managed in any given situation rather than just the outcome if something goes wrong

## **2.3 Reporting and monitoring**

The responsibility for monitoring and reviewing the corporate risk is the responsibility of the Corporate Leadership Team who is required to do this biannually.

Service Risk Registers in Pentana should be reviewed as a minimum quarterly by the respective Service Manager.

Service Directors are responsible for escalating risks, those above the risk tolerance line to the Corporate Leadership Team who will determine if they should be included on the Corporate Risk Register. This should be done through the Risk Management Sponsor – Strategic Planning.

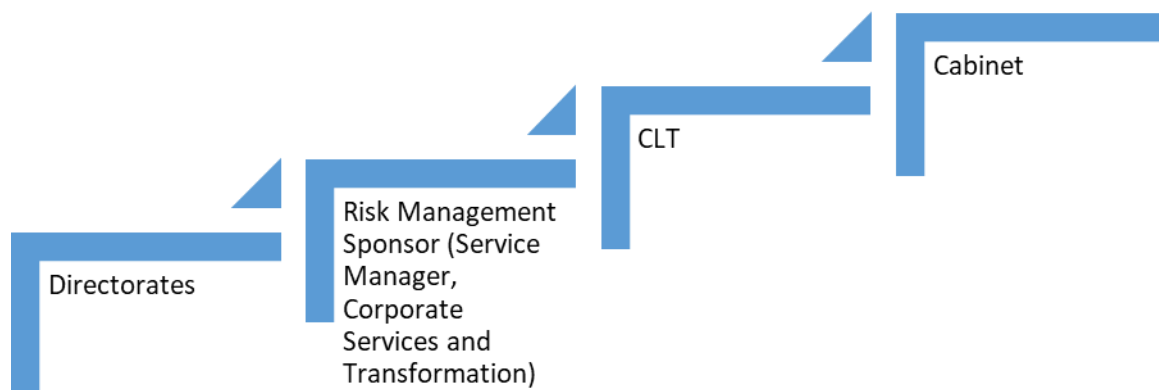
The Risk Management Sponsor – Strategic Planning will report progress on the risk management process, and key risks, annually to Cabinet. They will

also be responsible for reviewing the Corporate Risk Management Strategy and most effective risk management processes on an annual basis.

The action plans developed to manage the Strategic risks will be aligned to the Performance Management Framework and will be monitored through the Performance Management System Pentana. This will ensure the integration of risk management with other processes and ultimately ensure its profile and success is maintained.

The framework for reporting risk is summarised below:

Risk assessments will be included in all policies and reports, as well as in our partnership working arrangements, so that risk is considered in everything the Council does



## Conclusion

The adoption of a sound risk management strategy will achieve many benefits for Ashfield District Council. It will help with business planning, the achievement of objectives, the demonstration of continuous improvement, the delivery of projects and demonstrate effective corporate governance.

The challenge however is to implement this comprehensive risk management process without significantly increasing workloads. This should be achieved by the integration of risk management into existing processes and reviews rather than as a separate process

## Appendix 1 – The risk management process





	<b>Almost definite P6</b>	12	16	20	24
	<b>Almost certain P5</b>	10	14	16	20
	<b>Probable P4</b>	6	12	12	16
	<b>Possible P3</b>	3	8	8	12
	<b>Hardly ever P2</b>	2	4	4	8
	<b>Never P1</b>	1	2	3	4
		<b>1 Negligible</b>	<b>2 Minor</b>	<b>3 Major</b>	<b>4 Critical</b>
<b>IMPACT</b>					

**Averse** Grey – Low risk/low opportunity

**Cautious** Green – Low to medium risk/low to medium opportunity

**Open** Blue – Medium risk/medium opportunity

**Hungry** Red – High risk/high opportunity

### Stage 1 - risk Identification

Corporate Risk will be managed and monitored by CLT in partnership with the Service Manager – Corporate Services and Transformation. However it will be for each Directorate to decide upon the appropriate approach to identifying its key risks as this process is cascaded down throughout Ashfield District Council.

The categories of risk to prompt identification and to help to identify the cause / source of risks are:

Contractual/Supplier	Governance	Physical
Customer/Citizen	Legal	Political
Economic	Legislative/Regulatory	Procurement/Competitive
Environmental	Managerial/Professional	Social/People
Financial	Partnership	Technological

Other prompts for identifying risks include:

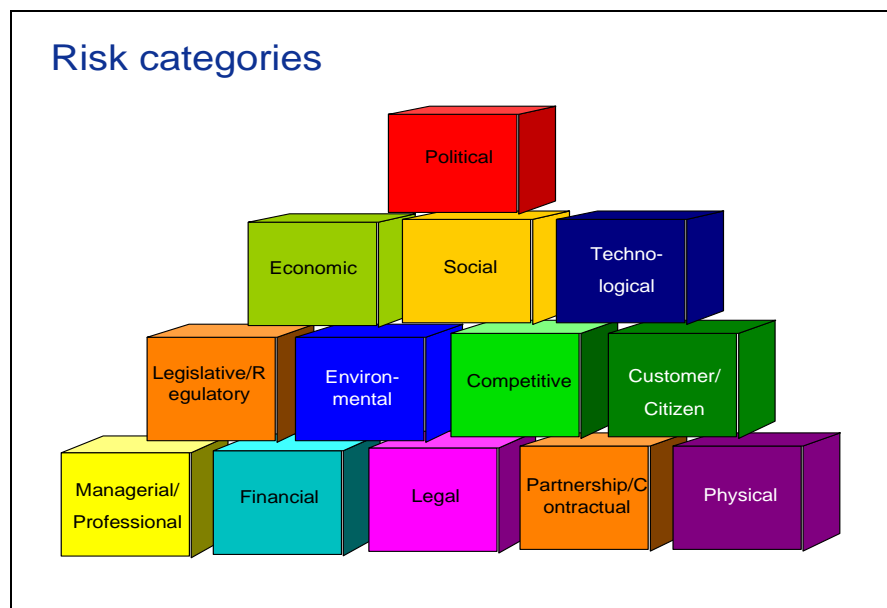
Actions in service plans	Changes in processes
Decision-making reports	Finance
Health and safety risks	Partnership working
Policy changes	Project management process e.g. new business case

The risk identification stage should also include a review of published information such as corporate/service plans, strategies, financial accounts, media mentions, inspectorate and audit reports etc.

### Service Level Strategic Planning and Performance Management –

Each Service will review any relevant risks in the achievement of performance and improvement activity, and therefore achievement of Corporate Priorities. This will be undertaken quarterly as well as refreshed annually as part of the service planning

process. The Corporate Timeline Managers Checklist includes prompts for service managers to review risk on a regular basis (Appendix 2)



Page 51

Risk	Definition	Examples
Political	Associated with the failure to deliver either local or central government policy or meet the local administration’s manifest commitment	New political arrangements, Political personalities, Political make-up
Economic	Affecting the ability of the council to meet its financial commitments. These include internal budgetary pressures, the failure to purchase adequate insurance cover, external macro level economic changes or consequences proposed investment decisions	Cost of living, changes in interest rates, inflation, poverty indicators
Social	Relating to the effects of changes in demographic, residential or socio-economic trends on the council’s ability to meet its objectives	Employee levels from available workforce, ageing population, health statistics

Technological	Associated with the capacity of the Council to deal with the pace/scale of technological change, or its ability to use technology to address changing demands. They may also include the consequences of internal technological failures on the council's ability to deliver its objectives	E-Gov. agenda, IT infrastructure, Employee/client needs, security standards
Legislative	Associated with current or potential changes in national or European law	Human rights, appliance or non-appliance of TUPE regulations
Environmental	Relating to the environmental consequences of progressing the council's strategic objectives	Land use, recycling, pollution
Professional/ Managerial	Associated with the particular nature of each profession, internal protocols and managerial abilities	Employee restructure, key personalities, internal capacity
Financial	Associated with financial planning and control	Budget overspends, level of council tax, level of reserves
Legal	Related to possible breaches of legislation	Client brings legal challenge
Physical	Related to fire, security, accident prevention and health and safety	Offices in poor state of repair, use of equipment
Partnership/ Contractual	Associated with failure of contractors and partnership arrangements to deliver services or products to the agreed cost and specification	Contractor fails to deliver, partnership agencies do not have common goals
Competitive	Affecting the competitiveness of the service (in terms of cost or quality) and/or its ability to deliver best value	Fail to win quality accreditation, position in league tables
Customer/ Citizen	Associated with failure to meet the current and changing needs and expectations of customers and citizens	Managing expectations, extent of consultation

## Stage 2 – Risk analysis

The information gathered from the risk identification processes above should be analysed and risk scenarios developed for the key concerns using the Risk Register and Action Plan (see Appendix 3). The Risk Register and Action Plan (Corporate and Service) should include a clear description of the risk, priority rating of the risk and proposed action. Generally, where interviewees have perceived a risk, which has been corroborated by others, the risk should appear in the scenarios – particularly if it is backed up by available evidence.

### Evaluate likelihood and impact

Likelihood/Probability					
<b>1 Never</b>	<b>2 Hardly Ever</b>	<b>3 Possible</b>	<b>4 Probable</b>	<b>5 Almost certain</b>	<b>6 Almost definite</b>
Never happened	No more than once in last 10 years	Happened a few times in last 10 years	Happened in last 3 years	Happened last year	More than once in last year
Will almost never to happen	Extremely unlikely again in year	Could happen in year	Possibility it might happen in year	Likely to happen in year	Expected to happen in year

Impact/Consequences				
	Service delivery	Finance	Reputation	People
<b>4 Critical</b>	Interruption to core service Failure of key project	Severe costs incurred; Financial loss of >10% of the tolerance set Impact on whole Council; Statutory intervention	Significant media interest seriously affecting public opinion	Loss of life; Major casualties

	<b>Service delivery</b>	<b>Finance</b>	<b>Reputation</b>	<b>People</b>
<b>3 Major</b>	<b>Key targets missed Some services compromised</b>	<b>Significant costs incurred Financial loss of &gt;5% of the tolerance set Resetting of budgets required Service budgets exceeded</b>	<b>Local media interest and significant social media commentary; Comment from Inspectors; Impact on public opinion</b>	<b>Serious injuries; Traumatic experience; Exposure to dangerous conditions</b>
<b>2 Minor</b>	<b>Management action required to address short term difficulties</b>	<b>Some costs incurred Financial loss of &lt;5% of the tolerance set Minor impact on budgets; (managed by Service Manager)</b>	<b>Limited local publicity; Mainly within local government community; Causes staff concern</b>	<b>Minor injuries or discomfort; Feelings of unease</b>
<b>1 Negligible</b>	<b>Managed within normal daily routines</b>	<b>Little loss anticipated Financial loss within the tolerance set</b>	<b>Little or no publicity; Little staff comment</b>	

### Stage3 - Prioritisation

Following identification and analysis the risk scenarios need to be evaluated.

This should look at the risk scenarios and decide on their ranking according to the probability of the risk occurring and its impact if it did occur. The matrix (shown over) should be used to plot the risks and once completed this risk profile clearly illustrates the priority of each scenario.

It is essential at this stage that there is agreement around the timescales being used. The profiling group will agree if the risks are to be profiled over a 12-18 month timescale or a 3-4 year timescale. It will often depend on what the information will be used for – annual planning or 3-year planning. Impact should be assessed against the achievement of the Corporate, or service objectives as applicable.

Although the risk profile will produce a priority for addressing each risk determining the group’s appetite for risk can enhance this. All risks above the appetite cannot be tolerated and must be managed down, transferred or avoided. The appetite for risk is determined during the facilitated workshop and is achieved by starting in box P1:I1 and asking the group to decide if they are prepared to live with a risk in that box or if they want to actively manage it. Continuing this process up and across the matrix sets a theoretical tolerance line.

When prioritising risks the P6:I4 box is the first priority or the most important risk to be managed. The priority is led by the impact axis – i.e. P5:I4 followed by P6:I3, P4:I4 followed by P5:I3 followed by P5:I2 and so on.

The risk matrix is given below:

<b>PROBABILITY</b>	<b>Almost definite P6</b>				
	<b>Almost certain P5</b>				
	<b>Probable P4</b>				
	<b>Possible P3</b>				
	<b>Hardly ever P2</b>				
	<b>Never P1</b>				
		<b>I1 Negligible</b>	<b>I2 Minor</b>	<b>I3 Major</b>	<b>I4 Critical</b>
		<b>IMPACT</b>			

#### **Stage 4 - Risk Management**

Once the risks have been prioritised the next step is to identify actions to help control the risk. Most risks are capable of being managed – either by managing down the likelihood or impact or both. Relatively few risks have to be avoided or transferred. Action plans will also identify the resources required to deliver the improvements, key dates and deadlines and critical success factors/CLs/KLs.

These plans should not be seen as a separate initiative and are incorporated into the existing business planning process. Therefore the results of the risk management work will be fed into the corporate planning, service planning and budgeting process. Ownership of each action plan needs to be allocated to appropriate members of staff with appropriate seniority and ability to drive the progress of the action plans. It will therefore be their responsibility to develop the actions required to mitigate the risks and complete the plans. The corporate Risk Register and Action plan template is shown in Appendix 3.

#### **Stage 5 - Monitoring and reporting**

Monitoring the progress of action plans will be done as part of the Council's Performance Management process. This ensures the integration of risk management with other processes and ultimately ensure its profile and success is maintained. This is achieved through the recording and monitoring of risks within the corporate performance system called Covalent. The system sends email reminders to risk owners on a regular basis to review and re-assess the risk, adding comments regarding mitigating actions.

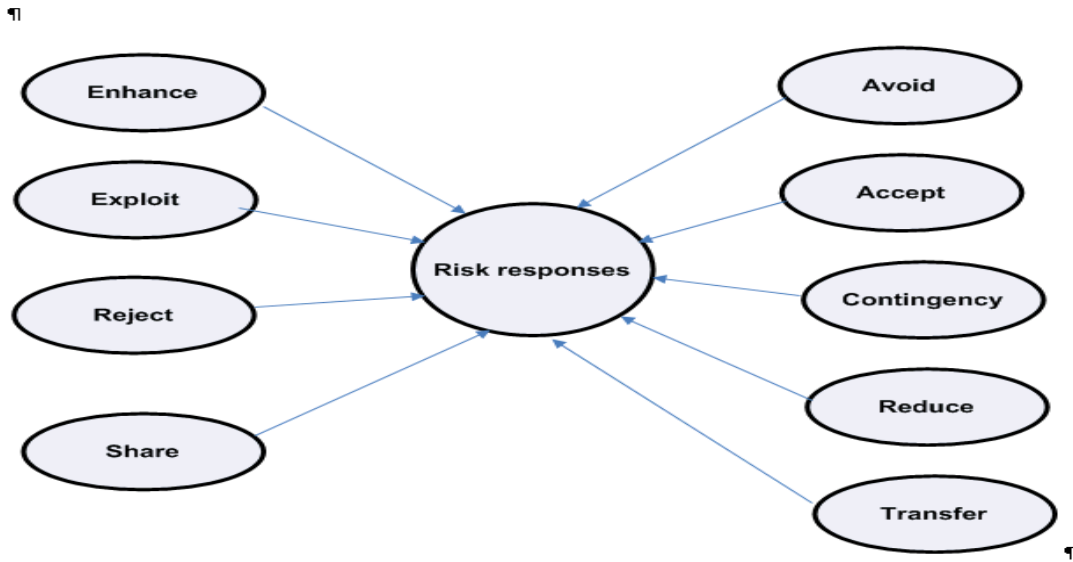
The strategic risk register is reviewed annually and updated and reported quarterly in the quarterly report to CLT, Scrutiny, Cabinet and Audit Committee.

The operational risk register holds service specific, project and partnership risks and is also updated quarterly with exception reporting in the quarterly report at the discretion of Heads of Service e.g. if the risk has increased sufficiently to cause concern corporately or if additional mitigating action is required.

#### **Stage 6 – Response**

The response(s) to a given risk should reflect the risk type, the risk assessment (likelihood, impact, and criticality) and the organisation's attitude to risk. There are a number of possible responses to risks and as risks can be threats or opportunities these include responses that are suitable for potential opportunities





Risk response	Description
<b>Threats</b>	
Avoid	The risk is avoided e.g. change in strategy
Transfer	Some or all of the risk is transferred to a 3 <sup>rd</sup> party
Reduce	Action is taken to reduce either the likelihood of the risk occurring or the impact that it will have
Accept	The risk may be accepted perhaps because there is a low impact or likelihood
Contingency	A plan is put in place to respond if the risk is realised
<b>Opportunities</b>	
Share	An opportunity is shared with a partner or supplier to maximise the benefits e.g. through use of shared resource/technology
Exploit	A project could be adjusted e.g. to take advantage of a change in technology or a new market
Enhance	Action is taken to increase the likelihood of the opportunity occurring or the positive impact it could have. e.g. Strategic/commercial opportunities such as new partnerships, new capital investment
Reject	No action is taken and the chance to gain from the opportunity is rejected. Contingency plans may be put in place should the opportunity occur.- Political or environmental e.g. new transport links, change of government bringing positive changes in policy/opportunities

**Links to other risk-related areas of work**

- Fraud awareness and training – Finance team
- Emergency planning and business continuity – Corporate Risk Manager
- Insurance – Finance team
- Health & Safety – Health & Safety officer
- Information management and security – ICT Technical & Security Manager

## Appendix 2 – Corporate Timeline Service Managers Checklist

Task	By When	Progress	Completion Date
<b>Financial</b>			
Review of budgets	End November		
Review of fees and charges	End November		
Review of contracts			
Review of year end employee unused benefits	6 April		
Review of year end spend/ income and accruals/ prepayments	6 April		
Monitor service spend	ongoing		
Capital bids	twice year to be agreed by CLT		
<b>Service planning/ performance/ risk</b>			
Review of front line service plans	End February		
Review of support service plans	End March		
Finalise service plan based on year end performance	End April		
Monitor performance and productivity	ongoing		
Quarterly risk register review	Mid-June		
	Mid October		
	Mid-January		
	Mid-April		
<b>People</b>			
PDRs – front line services	End March		
PDRs –support services	End April		
Workforce planning/ service needs analysis/ skills audits	Mid- February		
<b>Business Continuity</b>			
Review risk assessments	End September		
Review business continuity service plans	End December		
Review of critical function plans	End December		
Other health and safety			
<b>Equalities</b>			
Review equalities report	Yearly (by end of January)		

## Appendix 3 – The Risk Register & Action Plan –



### 2018/2019 Risk Register & Action Plan

Last updated by	C Clarke	18/05/2018
Approved by		
Document Owner		

# INDEX

<b>Risk Matrix</b>	.....	<b>25</b>
<b>2018/2019</b>	<b>Examples of typical risks held in the risk register in Pentana...</b>	<b>26 - 27</b>
<b>2018/2019</b>	<b>Review Timetable .....</b>	<b>28</b>
	<b>Link to previous Cabinet report</b>	<b>28</b>
	<b>Link to current risk management reporting</b>	<b>28</b>

## Risk Matrix

<b>PROBABILITY or LIKLIHOOD</b>	Almost definite P6				
	Almost certain P5				
	Probable P4				
	Possible P3				
	Hardly ever P2				
	Never P1				
		<b>I1 Negligible</b>	<b>I2 Minor</b>	<b>I3 Major</b>	<b>I4 Critical</b>
		<b>IMPACT</b>			

**(ADC)RSK/17/18 Risks 17-18**

Register Description

Sub-Risks **19** **21** / 66

Risk Matrix **6x4** 6x4 Risk Matrix

Page 62

**(ADC) CR029 [Corporate Risk] Failure to identify savings required by MTFS**

Current Compare Description

Impact **3 Critical**  
Likelihood **4 Significant**  
Score **12**

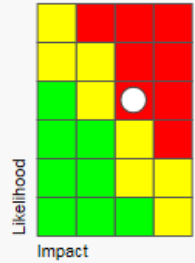
Assessment **3x4 Critical - Significant**  
Date Reviewed **08 Feb 2018**

Next Assessment due **01 Apr 2018**

[Update](#)

● (ADC) ENV014 CSR budget cuts - lack of money to deliver Service

Current Compare Description



	1	2	3	4
5	Yellow	Red	Red	Red
4	Yellow	Yellow	Red	Red
3	Green	Yellow	White Circle	Red
2	Green	Green	Yellow	Yellow
1	Green	Green	Green	Yellow

Impact 3 Critical  
Likelihood 4 Significant  
Score 12 —

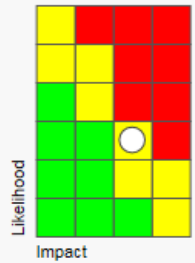
Assessment ● 3x4 Critical - Significant  
Date Reviewed 31 Mar 2017

Next Assessment due 01 Jun 2017

Update ▾

▲ (ADC) FR034 Council Tax & NNDR

Current Compare Description



	1	2	3	4
5	Yellow	Red	Red	Red
4	Yellow	Yellow	Red	Red
3	Green	Yellow	White Circle	Red
2	Green	Green	Yellow	Yellow
1	Green	Green	Green	Yellow

Impact 3 Critical  
Likelihood 3 Low  
Score 9 —

Assessment ▲ 3x3 Critical - Low  
Date Reviewed 07 Feb 2018

Next Assessment due 01 May 2018

Update ▾

## Risk Review Timetable

	April 18	May 18	June 18	July 18	August 18	Sep18	Oct 18	Nov 18	Dec 18	Jan 19	Feb 19	March 19
<b>Cabinet</b>			X					X				
<b>CLT</b>		X			X			X			X	
<b>DMT</b>		X		X		X		X		X		X
<b>Service areas</b>	X		X		X		X		X		X	
<b>Programme Boards **</b>		X		X		X		X		X		X

**\*\* where there is no Programme Board then the Service Director in their role as Corporate Programme Lead will review the risks with the Project Manager. For Programme Boards a risk report on live projects will be produced by the Corporate Performance and Improvement Team.**

Page 64

Previous Cabinet report: <http://node70.ashfield-dc.gov.uk/documents/s8390/Corporate%20Scorecard%20Quarter%202%20Performance.pdf>

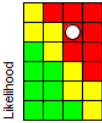
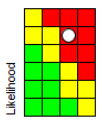
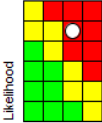
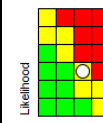
Risk Management reporting: <https://ashfield.pentanarpm.uk/portals/view/11787/adc-corporate-risk>



# Ashfield District Council Corporate Risk Register – Analysis

## Quarter 4 2017/18

Place and Economic Growth Priority

Code	Title	Year End 2014/15	Year End 2015/16	Year End 16/17	Year end 17/18	Change	Consequences of the Risk Occurring	Ability to Inf.	Mitigating Actions	Resp for Action	Comments	Last Reviewed
								BC Link				
(ADC) CR040	Failure to have adopted LDF / Local Plan					Reduced to medium	<ul style="list-style-type: none"> <li>• Diminish ability to stimulate economic growth</li> <li>• Increase likelihood of a developer lead approach to devt.</li> <li>• Maximises potential for a ward of costs against the authority</li> <li>•New approach to plan. High risk. Members Aware.</li> <li>•Local Plan now at preferred approach. Need to publish next stage. Failure to achieve will set back timetable.</li> <li>•If plan requires subsequent revision, will add delays.</li> </ul>	X	<p>Need alternative approach to development with Members through adoption of Core Strategy</p> <p>Regular engagement with Members to bring them on board</p> <p>Keeping abreast of latest challenges; work with Planning Advisory Service for proof-reading</p> <p>Keeping a clear audit trail of engagements with developers and consultees</p>	Christine Sarris	The Plan is currently at examination. The Inspector has asked for some additional work which has been provided with the exception of matters relating to education. The Inspector has also been provided with all the main modifications to the Plan discussed at the formal Examination which he is currently considering. Initial feedback from the Inspector has been positive. The only outstanding matters relate to education and housing site modifications that will relate to the education approach and some work related to one small site. ADC is continuing to work with the County Council to obtain the necessary information in relation to education. Further intervention may be required at a senior level.	6 April 2018

**Communities and Environment Priority**

Code	Title	Year End 2014/15	Year End 2015/16	Year End 16/17	Year end 17/18	Change	Consequences of the Risk Occurring	Ability to Inf.	Mitigating Actions	Resp for Action	Comments	Last Reviewed
(ADC) CR071	[Corporate Risk] Failure to demonstrate compliance with TEEP assessment under Waste Framework Directive					No change	<ul style="list-style-type: none"> <li>• Full redesign and expansion of waste services</li> <li>• Additional cost incurred</li> </ul>	Medium	<p>TEEP assessment to be reviewed annually by JWMC</p> <p>Ensure TEEP compliance with trial review</p>	Sam Dennis	TEEP annual review completed in partnership with Notts Joint Officer Board. No changes have been made to the method of collecting, eg comingled dry recyclable and separate glass. increased garden waste has enabled the Council to divert more waste out of the residual stream and increase single stream collection for composting.	12 Feb 2018
(ADC) CR072	[Corporate Risk] Failure to meet requirement of Waste Directive to achieve 50% recycling rate by 2020					No change	<ul style="list-style-type: none"> <li>• potential fines from EU</li> <li>• reputational damage</li> </ul>	High	<p>development of Scrutiny review in September 2016</p> <p>Discussions with County regarding innovative options is ongoing</p>	Sam Dennis	Implementation of a free for 2 year garden waste collection service has enabled an increase to the Council's recycling rate of over 9%. Current recycling rate stands at 41% which makes Ashfield 3rd in the league table of Nottinghamshire Districts. Currently the target remains at a County level. The impact on Brexit is not yet confirmed, however the government's 25 year Environmental Plan indicates support for the EU target of 65% by 2030.	12 Feb 2018


Code	Title	Year End 2014/15	Year End 2015/16	Year End 16/17	Year end 17/18	Change	Consequences of the Risk Occurring	Ability to Inf.	Mitigating Actions	Resp for Action	Comments	Last Reviewed
(ADC) CR083	Failure to Support and Safeguard Vulnerable people					No change	<ul style="list-style-type: none"> <li>Significant adverse outcomes for vulnerable people suffering with mental health issues</li> <li>Reputation of the council and its partners</li> <li>Financial impact through lack of working in joined up manner</li> </ul>		Working with NCC and other districts to review opportunity to improve closer working with mental health services	Rebecca Whitehead	The positive relations with partners continues to grow with agencies increasing their collaboration and cooperation. There remain concerns around mental health provision however this is a national problem and were available local relations are positive and deliver benefit for service users. Due to the nature of community safety any new critical incident may reveal failing within cooperation however at this time we are operating above and beyond the work in other similar authorities,	1 <sup>st</sup> Feb 2018

Housing Priority

Code	Title	Year End 2014/15	Year End 2015/16	Year End 16/17	Year end 17/18	Change	Consequences of the Risk Occurring	Ability to Inf.	Mitigating Actions	Respons for Action	Comments	Last Reviewed
								BC Link				
(ADC) CR046	[Corporate Risk] Introduction of Universal Credit					Reduced to medium	<ul style="list-style-type: none"> <li>Potential loss of HRA rental income if tenants receiving UC choose not to pay rent (Profiling of current tenants as at 20/2/17 show that there is a risk to the rent roll (circa £11 million) as there will be around 3200 tenants affected. 2380 –high risk and 820 medium risk). This does not include those tenant who have working age partners.</li> </ul>	Low	<p>There is a dedicated officer for Welfare Reform in the Tenancy Service Section. This Officer has close links with the DWP.</p> <p>There is a formalised internal process for managing UC cases.</p> <p>There is a UC action plan in place. This needs reviewing regularly especially around resource requirements to manage the process.</p> <p>The Council operates an agency agreement with DWP to assist residents who wish to claim UC</p> <p>The Welfare Reform Group brings together a series of different</p>	Craig Scott/ Nikki Moss	<p>Direct discussions with the local Partnership Manager for DWP Universal Credit. We have now obtained up to date information regarding the work that ADC staff will need to undertake to support the roll out of UC in Ashfield. Local Authority site visits have been scheduled in so that we can fully understand the impact of the volumes of Personal Budgeting Support and Assisted Digital Support will be required to provide under the partnership agreement. This will enable us to understand the resource implications of this work and how best ADC can meet this demand.</p> <p>The Universal Credit Action Plan for Housing is currently under review. The Welfare Reform Strategy will also be reviewed over the coming months and will be amended as</p>	15 May-2018
								X				

Code	Title	Year End 2014/15	Year End 2015/16	Year End 16/17	Year end 17/18	Change	Consequences of the Risk Occurring	Ability to Inf.	Mitigating Actions	Respons for Action	Comments	Last Reviewed
								BC Link				
									disciplines and partners to ensure the Council's response to UC remains pro-active and robust		required. The date of the next Welfare Reform Board meeting has been arranged for early July 2018. Proposed actions for the coming months will be put forward at this meeting for consideration by members. Profiling of tenants who will be affected by UC (wider roll out) has been carried out. Further work is being carried out on this.	
(ADC) CR062	Inability to deliver affordable housing	 Likelihood Impact	 Likelihood Impact	 Likelihood Impact	 Likelihood Impact	No change	<ul style="list-style-type: none"> <li>• Targets not met</li> <li>• lack of new affordable housing going forward</li> </ul>	Low	Use of S106 funding Tackling empty homes Close working with Planning Services Work with private landlords via the Landlords Forum Enforcement to tackle poor standard housing	Phil Warrington	Affordable housing delivery for 2017/18 was below target. Lack of interest and activity in S106 and new developments from RP's. Regular contact maintained with RP's to understand their future intentions and to offer what encouragement/assistance we can. Plans for Council to develop and purchase affordable housing in 2018/19 should help ensure targets are met and risks minimised.	16 May-2018

Code	Title	Year End 2014/15	Year End 2015/16	Year End 16/17	Year end 17/18	Change	Consequences of the Risk Occurring	Ability to Inf.	Mitigating Actions	Respons for Action	Comments	Last Reviewed
								BC Link				
(ADC) CRO79	[Corporate Risk] Impact of the impending 1% rent reduction on the Councils ability to invest in new build & existing housing stock					Reduced to medium	Reduced headroom / ability to borrow in the HRA Revisions required to the 30 year plan Changes / reduced capital programme in the short term Fewer new affordable homes being delivered Reduced service delivery to existing tenants	medium	Wider review of the way the Council manage its housing stock  Reduce spend in the current capital programme  Review viability of 30 year HRA plan	Paul Parkinson/ Nicky Moss	30 year HRA business plan will be in place for Summer 2018 which can be used to identify spending limitations and efficiencies.	17 May 2018

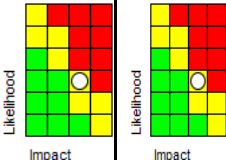

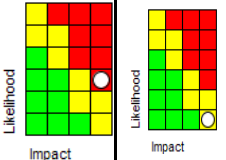
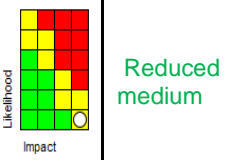
Code	Title	Year End 2014/15	Year End 2015/16	Year End 16/17	Year end 17/18	Change	Consequences of the Risk Occurring	Ability to Inf.	Mitigating Actions	Respons for Action	Comments	Last Reviewed
								BC Link				
(ADC) CR074	[Corporate Risk] Overpayment of Housing Benefit					No change	- loss of subsidy - increasing burden of debt collection	High	Mini re-structure  Offsite processing capacity          Improved training	Craig Scott	During 2018-19 DWP have introduced a new process to assist in the recovery of overpayments. Claimants who are not subject to overpayment recovery from on-going HB entitlement (no longer claiming HB) will now be included in a data match file that the DWP will compare against employment details held by HMRC. This information will then enable ADC to issue an attachment of earnings order to the debtor's employer to trigger direct deductions from earnings to clear the overpayment. We are anticipating some good results from this and have diverted additional officer time into this to ensure we get maximum benefit from this project.	15 May- 2018

Code	Title	Year End 2014/15	Year End 2015/16	Year End 16/17	Year end 17/18	Change	Consequences of the Risk Occurring	Ability to Inf.	Mitigating Actions	Respons for Action	Comments	Last Reviewed
								BC Link				
(ADC) CR029	[Corporate Risk] Failure to make required savings as identified in MTFS					Reduced to medium	<ul style="list-style-type: none"> <li>•Council cannot fund full range of services in future</li> <li>•Pressure on General Fund reserves</li> </ul>	Medium  ✓	<p>CLT and Cabinet will work together to identify savings and income generation opportunities</p> <p>Generate additional income</p> <p>For 2017/18, £1m of savings have been identified, and these workshops will continue throughout 2017, with the aim of identifying a further £1m of savings/addition income for 2018/19.</p>	Sharon Lynch	Net savings required by the MTFS have been identified for 2018/19 and are scheduled to be implemented as forecast and approved by Cabinet and Council. Work is ongoing by CLT on identifying additional net savings (reduced expenditure/increased income) for 2019/20 onwards through commercialism, service reviews, restructures and invest to save schemes.	23 May 2018
(ADC) CR033	[Corporate Risk] Ability to achieve efficiencies and compliance from procurement reviews / improvement					No change	<ul style="list-style-type: none"> <li>•Penalties for non-compliance with legislation</li> <li>•Inability to meet MTFS savings targets if procurement savings not achieved</li> </ul>	Medium	<p>Agreement of a new Procurement Strategy setting out clear guidance for spending managers</p> <p>Review of Procurement Arrangements (Shared Procurement Unit) to ensure objectives are being met</p> <p>Particular emphasis on small value procurement (under £25k) to ensure that the Council has legally compliant processes in place</p>	Craig Bonar	<p>A new shared service agreement with Nottingham City Council procurement unit has been implemented.</p> <p>A new position of Service Manager-Commercial Development was appointed to in May 18, including specific responsibility for strategic procurement and embedding improved activity and monitoring.</p> <p>Contract procurement below £50k has been revised to provide clarity and enhanced timeliness and process</p>	17 May 2018



Code	Title	Year End 2014/15	Year End 2015/16	Year End 16/17	Year end 17/18	Change	Consequences of the Risk Occurring	Ability to Inf.	Mitigating Actions	Respons for Action	Comments	Last Reviewed
								BC Link				
(ADC) CR003	[Corporate Risk] Members' Ethical Framework – Failure to demonstrate high standards of behaviour					Slight increase, remains significant	<ul style="list-style-type: none"> <li>•Significant resource to deal with implications of Code of Conduct Complaints.</li> <li>•Potential for negative perception of the Council which impacts upon the Council's reputation</li> </ul> <p>Potentially adverse impact upon the workings of the Council</p> <ul style="list-style-type: none"> <li>•New legislation does not provide “strong” sanctions for breaches to the Code which may make regulation of poor ethical behaviour difficult and leave complainants dissatisfied with outcomes.</li> </ul>	High	<p>Standards and Personnel Appeals Committee approves an annual work programme which includes an annual review.</p> <p>A review of the Members' Code of Conduct Complaints Process will be carried out during 2017/2018 in accordance with the recommendations of the LGA Peer Challenge 2017.</p>	Ruth Dennis	<p>A review of the Members' Code of Conduct Complaints Process was carried out during 2017/2018 in accordance with the recommendations of the LGA Peer Challenge 2017. The revised process will be presented to the AGM on 24 May for approval. At the same meeting a revised Members' Social Media policy is being recommended for approval.</p> <p>Subject to Council approval at the AGM, the existing Independent Persons will continue in role for a further two years and the Parishes will be asked for a Parish Member to be appointed as a Co-Optee to the Committee to increase Parish involvement and understanding.</p> <p>An Annual Review of ethical governance was presented to Committee in March 2018. The Standards and Personnel Appeals Committee will agree its 2018/2019 workplan at its meeting on 2 July 2018. The Committee</p>	23 May 2018
								X	Present Quarterly Complaint Monitoring reports to Standards and Personnel (Appeals) Committee			

Code	Title	Year End 2014/15	Year End 2015/16	Year End 16/17	Year end 17/18	Change	Consequences of the Risk Occurring	Ability to Inf.	Mitigating Actions	Respons for Action	Comments	Last Reviewed
								BC Link				
											will continue to monitor complaints.  The Council has responded to the Committee on Standards in Public Life consultation regarding local government ethical standards which closed on 18 May 2018.	
(ADC) CR005	[Corporate Risk] High levels of sickness absence					No change	<ul style="list-style-type: none"> <li>•Productivity</li> <li>•Financial</li> <li>•Employee morale</li> <li>•Service delivery</li> <li>•Remaining staff placed under increased pressure</li> <li>•Reputational damage</li> </ul>	High	Robust management of sickness absence procedures by managers and robust procedures - Revised Absence Mgt Policy implemented	Craig Bonar	Close monitoring by managers, CLT and HR in place to assess trends and ensure robust implementation of attendance management policy.  Increased focus on the management and reduction of long term sickness	17 May-2018
								√	Effective monitoring - monthly monitoring reports highlighting service area absence to assist CMG and managers in absence management			
									Employee support mechanisms - Employee assistance programme implemented  Appropriate occupational health support – Occ Health provision reviewed			

Code	Title	Year End 2014/15	Year End 2015/16	Year End 16/17	Year end 17/18	Change	Consequences of the Risk Occurring	Ability to Inf.	Mitigating Actions	Respons for Action	Comments	Last Reviewed
								BC Link				
(ADC) CR032b-a	Business Rates appeals are higher than forecast					No change	Negative impact a MTFS ; further savings required		A prudent approach is taken to estimating likely successful appeals.	C Scott	We still have very limited information both locally and nationally regarding the new CCA appeals to gauge the volumes we're likely to receive and the potential value of any successful appeals. Although the whole Check, Challenge and Appeal process has been designed to reduce the number of cases going to Appeal, it is still assumed, based upon industry knowledge and advice, that the overall value of successful appeals will be similar to historic appeals outcomes.	15 May 2018
(ADC) CR032b-b	NHS Trusts successfully lobby for charitable status and pay significantly reduced business rates					Reduced to medium	Negative impact a MTFS ; further savings required		The Council is supporting the LGA's action against the hospitals.	C Scott	A large number of NHS trusts have issued a similar letter to over 100 billing authorities nationally. The Local Government Association (LGA) has taken up the case to support 49 local authorities in the same position as Ashfield and has commissioned its own Counsel's opinion.  Sherwood Forest Hospitals NHS Trust has withdrawn the proceedings against both local authorities with immediate effect.	29 May 2018

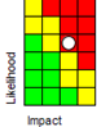
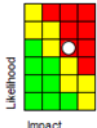
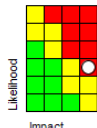
Code	Title	Year End 2014/15	Year End 2015/16	Year End 16/17	Year end 17/18	Change	Consequences of the Risk Occurring	Ability to Inf.	Mitigating Actions	Respons for Action	Comments	Last Reviewed
								BC Link				
(ADC) CR032b-c	Ashfield loses resources under the Governments ' 100% retention / fair funding ' regime					Increased to significant	Negative impact a MTFS ; further savings required		The Council will contribute to any consultation when proposals are announced, emphasising the need for resources to be allocated to deprived areas.	S Lynch	<p>The Government is now indicating 75% retention with effect from 2020/21. The Fair Funding Review is also on-going. There is insufficient information to indicate with any certainty what the impact shall be for ADC.</p> <p>The Council is above its baseline funding level and the MTFS has indicated savings of £4.5m would be required over 5 years if business rates reduced to this level. The government has indicated that if there were significant impacts upon Authorities, reductions in funding would be phased.</p>	25 May 2018

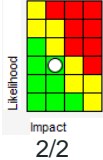
**DELETED RISKS**

Code	Title	Year End 2014/15	Year End 2015/16	Year End 16/17	Qu 3 17/18	Change	Consequences of the Risk Occurring	Ability to Inf.	Mitigating Actions	Resp for Action	Comments	Last Reviewed
								BC Link				
(ADC) CR073a	[Key Risk] Idlewells Market					Risk reduced and finishes in Quarter 3	<ul style="list-style-type: none"> <li>*Loss of Trade</li> <li>*Low occupancy rates</li> <li>*New product doesn't sell</li> <li>*Contract dispute</li> <li>*Landlords dispute</li> <li>*Structural and ME failures</li> <li>•Reputation (public expectations)</li> <li>•Financial – claims</li> <li>•VAT increase to traders</li> <li>•Increase on insurance costs</li> <li>*Delays on opening</li> <li>*Funding agreement not achieved -reclaim</li> </ul>	High	<ul style="list-style-type: none"> <li>*Contract Programme - Regular inspection and monitoring</li> <li>*Business plan produced and updated</li> <li>* Pre letting campaign</li> <li>* Communication plan – monitor/update</li> <li>Risk register in place for all aspects of the project/monitored</li> <li>Contract signed – Regular meetings/Site/ internal</li> <li>*Quarter monitoring D2N2 grant.</li> </ul>	Theresa Hodgkinson	<ul style="list-style-type: none"> <li>Asbestos removed from all designated areas and certificated evidence of work carried out received</li> <li>Refurbishment completed and handed back to ADC on 11th December 2017</li> <li>Snagging list created and resolutions sought through 12 month post works period</li> <li>Market hall 50% occupied on handover. Two new traders in place since handover, further new trader in place mid-February 2018</li> <li>Communication plan in place for promoting the market as a place to do business</li> <li>Positive marketing in partnership with Idlewells shopping Centre</li> <li>First 'Trader day ' held on the 26th January – seven prospective traders interviewed on the day / one verbal acceptance</li> </ul>	01-Feb-2018

# NEW RISKS

Code	Title	Year End 2014/15	Year End 2015/16	Year End 16/17	Year end 17/18	Change	Consequences of the Risk Occurring	Ability to Inf.	Mitigating Actions	Respons for Action	Comments	Last Reviewed
CR084	Failure to be prepared for the Implementation of new Data Protection Legislation (General Data Protection Regulations) in May 2018	new	new	new	<p>Likelihood</p> <p>Impact</p>	n/a – new risk	<ul style="list-style-type: none"> <li>Fine for non-compliance compliant up £14m or 2% gross annual turnover.</li> <li>Reputation – through reporting of breaches and issues/ any form of enforcement action on the ICO website.</li> </ul>	Yes	<ul style="list-style-type: none"> <li>Establish GDPR project team</li> <li>Detailed project plan to ensure compliance</li> </ul>	Ruth Dennis and Sarah Hall	<p>We have the ability to influence this risk by demonstrating to the ICO how the Council has prepared for the implementation of the GDPR and is seeking to comply with the same with the Council be able to influence any decision of the ICO.</p> <p>The Council has set up a Corporate Project Team to lead on implementation of the GDPR. The Director of Legal and Governance is the Project Sponsor whilst the Council's Principal Solicitor is the Project Lead. A comprehensive plan is in place to ensure compliance with the GDPR and ensure readiness for its implementation in May.</p> <p>Assessment of the Council's progress against the ICO's checklist demonstrates that the Council has made significant progress in relation to its preparations for the implementation of GDPR and is on track with this action plan.</p>	23 May 2018

Code	Title	Year End 2014/15	Year End 2015/16	Year End 16/17	Year end 17/18	Change	Consequences of the Risk Occurring	Ability to Inf.	Mitigating Actions	Respons for Action	Comments	Last Reviewed
CR085	Loss of Capita financial services	new	new	new		n/a – new risk	<ul style="list-style-type: none"> <li>Potential loss of income to the organisation for a period of time</li> <li>Reputational damage</li> <li>Loss of method of payment with cash until new arrangement in place</li> <li>Potential loss of transaction data for 1 working day</li> </ul>		<ul style="list-style-type: none"> <li>Review current contract</li> <li>Put in place a Contingency plan</li> </ul>	Craig Bonar/ Sharon Lynch	Potential level of transactions for the period 7/8 days) would be around 3,800 at a value of potentially £310k.	22 Feb 2018
NEW	Kirkby Leisure Centre VFM project					n/a – new risk	<ul style="list-style-type: none"> <li>inability to deliver VFM based on identified need and affordability</li> <li>Increased project costs</li> <li>Lack of robust business case</li> <li>Costs of LC significantly increases net cost allocation to MTFs</li> </ul>		<ul style="list-style-type: none"> <li>Robust business case based on identified need and affordability</li> </ul>	Theresa Hodgkinson	Still subject to robust business case	May 2018
NEW	no single political group in overall control					n/a – new risk	<ul style="list-style-type: none"> <li>Failure to transact Council business efficiently or effectively within its governance framework. This is most likely to be felt in regards to longer terms strategic issues and less so for operational and executive functions.</li> </ul>		<ul style="list-style-type: none"> <li>Appropriate Leadership Meetings and Communications</li> <li>Appropriate Cross-Party exchange of information</li> </ul>	Rob Mitchell	Following changes to political groupings in recent weeks, the Council currently has no single political group in overall control. A new Leader of the Council was elected at the Council meeting on 26 April 2018. Members and Officers will be working hard to ensure the Council continues to transact its business effectively and in accordance with the Council's governance	May 2018

Code	Title	Year End 2014/15	Year End 2015/16	Year End 16/17	Year end 17/18	Change	Consequences of the Risk Occurring	Ability to Inf.	Mitigating Actions	Respons for Action	Comments	Last Reviewed
											framework. New leadership meetings have been formed and Cross-Party Working arrangements will continue.	
(ADC) CR082	Commercial property investment					new	<ul style="list-style-type: none"> <li>Decrease in capital value of the property</li> <li>Inability of tenant to pay or request for renegotiation of rent</li> <li>Reduced income</li> </ul>		<p>Robust monitoring arrangements for portfolio – stability of tenant, stability of market and macro economics</p> <p>Ensure adequate lease length (greater than 7 years)</p> <p>Ensure property investment in most advantageous asset class</p> <p>Ensure tenant has good financial standing and passes regular credit analysis (D+B)</p> <p>Property reserve to offset short term voids</p>	Justin Henry	<p>Assessment change is significant. All routes thus far reliant on generating new income rather than reconfiguring spend to maintain services albeit in a different way.</p> <p>Latest investment guidance poses new challenges for 19/20 and beyond as a large portion of income generated from investment properties has now been eliminated, essentially changing our MRP option.</p>	24 May 2018



# Agenda Item 6



<b>Report To:</b>	<b>CABINET</b>	<b>Date:</b>	<b>14<sup>TH</sup> JUNE 2018</b>
<b>Heading:</b>	<b>GENERAL FUND, HRA AND CAPITAL OUTTURN 2017/18</b>		
<b>Portfolio Holder:</b>	<b>COUNCILLOR ROBERT SEARS-PICCAVEY – CABINET MEMBER (INWARD)</b>		
<b>Ward/s:</b>	<b>ALL</b>		
<b>Key Decision:</b>	<b>YES</b>		
<b>Subject to Call-In:</b>	<b>YES</b>		

## **Purpose of Report**

This report sets out details of income and expenditure incurred in 2017/18 in respect of the General Fund, the Housing Revenue Account (HRA) and the Capital Programme, how this compares to budget and provides an explanation of significant variances. This is the unaudited position. The audited Statement of Accounts will be presented to the Audit Committee on 24<sup>th</sup> July 2018.

The 2017/18 unaudited Outturn position compared to the approved Revised Budget was:

- General Fund – a £342k underspend (2.1%)
- HRA – a £3.912m underspend (16.2%)
- Capital Programme – a £2.250m underspend (7.6%)

The report also sets out the proposed carry-forward of 2017/18 unspent approved earmarked funding where this is in respect of projects where delays have been experienced during 2017/18 and for which there is no capacity to fund the balance of the projects from within 2018/19 budgets.

The report further recommends that £172k of the £342k General Fund underspend is allocated to 2018/19 budgets to meet additional of service reviews in 2018/19.

## **Recommendation(s)**

### **Cabinet is requested to:**

- (i) Note the 2017/18 Revenue Outturn for the General Fund, the HRA Outturn and the Capital Programme.

### **Cabinet is asked to recommend to Council:**

- (ii) Approval to allocate up to a maximum of £443k of earmarked funding initially from the Revenue Technology Investment Reserve to fund the Finance system upgrade and the replacement Income system (year one costs), reported elsewhere on this agenda. This has no impact on the General Fund reserve balance.
- (iii) Approval to use £172k of the £342k 2017/18 General Fund underspend to meet additional Service Review costs in 2018/19.
- (iv) Approval to carry-forward of £2.001m of the 2017/18 Capital Programme underspend into 2018/19 due to slippage to the Programme.

### **Cabinet is asked to approve:**

- (v) Carry-forward of £54k earmarked funding in the District Planning Enquiry Fund to meet costs of the Local Plan, which due to delays in 2017/18, will now be incurred in 2018/19.

### **Cabinet is asked to note:**

- (vi) The carry-forward of unutilised project funding in 2017/18 from earmarked reserves for:
  - Phase 2 of the Transport Review (£15k) – from the Asset Renewal Reserve
  - Completion of the Stock Condition Survey (£13k) – from the HRA Eco Funding Reserve
- (vii) The allocation of earmarked reserves for:
  - Sutton-in-Ashfield Town Centre Improvements to street furniture (£34k) – from the Section 106 funding specifically earmarked for this purpose.
- (viii) Transfer of £50k of the General Fund underspend to the Asset Repair and Renewal Reserve to help to meet costs arising from the stock condition survey and other urgent works as identified.

## **Reasons for Recommendation(s)**

To report to those charged with Governance, the Council's financial outturn for 2017/18 and to comply with the Council's Financial Regulations.

## **Alternative Options Considered**

*(with reasons why not adopted)*

The financial outturn position is as reported within the 2017/18 draft Statement of Accounts therefore there are no further options. The proposed carry-forward of unutilised 2017/18 earmarked reserves will facilitate the delivery of specific projects from the reserves designated for the specific purpose. Not to approve the funding carry-forwards would prevent some projects from progressing or would require them to be financed from the General Fund balance which is not recommended.

Not approving the use of £172k of the General Fund underspend to meet 2018/19 additional service review costs will probably jeopardise the delivery of a balanced revenue outturn for 2018/19.

## **Detailed Information**

### 1. Financial Overview 2017/18

#### **a. The General Fund**

Table 1 below provides details of each Directorate's financial performance against budget for 2017/18.

**Table 1: 2017/18 Annual Revised Budget compared with Actual Outturn**

The Directorate Structure is the basis used for the management and delivery of services and for accounting purposes. The Council has 5 Directorates. The statement below shows the revised revenue budget compared with the actual net expenditure by Directorate and by subjective analysis.

	<b>Revised Budget £'000</b>	<b>Actual £'000</b>	<b>Variance £'000</b>
<b>Subjective Analysis:</b>			
Employee Expenses	17,565	17,294	(271)
Premises Expenses	1,441	1,472	31
Transport Related Expenses	2,396	2,085	(311)
Supplies and Services	6,353	6,062	(291)
Transfer Payments	32,063	31,797	(267)
Central & Dept Recharges	9,284	8,702	(582)
Income	(40,497)	(40,461)	36
Recharges	(14,530)	(13,520)	1,010
<b>Total</b>	<b>14,076</b>	<b>13,430</b>	<b>(645)</b>
<b>By Directorate</b>			
Chief Executive Officer	702	806	104
Resources & Business Transformation	2,018	1,695	(323)
Legal & Governance	1,059	922	(136)
Place & Communities	9,298	9,098	(200)
Housing & Assets	998	908	(90)
<b>Divisional Expenditure</b>	<b>14,076</b>	<b>13,430</b>	<b>(645)</b>

**Financing and Investment Income and Expenditure**

Net Interest	(198)	(187)	11
Minimum Revenue Payment	1,593	1,593	(0)
Capital Expenditure Financed from Revenue	429	478	49
	<b>1,824</b>	<b>1,884</b>	<b>60</b>

**Funding**

Government Grants	(3,726)	(3,734)	(8)
Business Rates	(4,736)	(5,492)	(756)
Council Tax	(5,902)	(5,902)	(0)
<b>Total Funding</b>	<b>(14,363)</b>	<b>(15,128)</b>	<b>(765)</b>

**Net General Fund Deficit / (Surplus) for the year before transfers to/from Earmarked Reserves**

	<b>1,537</b>	<b>186</b>	<b>(1,351)</b>
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Net Contribution to / (from) Earmarked Reserves	(1,380)	(371)	1,009
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**Net General Fund Deficit / (Surplus) for the year after transfer to/ (from) Earmarked Reserves**

	<b>157</b>	<b>(185)</b>	<b>(342)</b>
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**Subjective Analysis of under and over spends:****Employee Costs (£271k underspent)**

Direct pay (including Employer's National Insurance and Superannuation contributions) was £627k underspent to budget due to vacancies throughout the Authority. This was partially offset by £421k additional agency costs. Training and Members' Allowances were also underspent to budget by £28k and £11k respectively. The corporate severance budget was underspent by £42k. Additional costs (£28k) were incurred above budget for recruitment advertising. Other employee cost related savings amounted to £12k.

**Premises Costs (£31k overspent)**

Utilities costs (gas, electricity, water) were £20k overspent to budget and Markets service charges were £13k overspent. These were partially mitigated by Insurance savings (£2k).

**Transport costs (£311k underspent)**

The transport related expenditure budgets were predominantly underspent within Contract Hire (£259k). This was mainly due to not purchasing new vehicles as planned during the year and therefore avoiding additional depreciation charges. As this budget was significantly underspent, there is a corresponding budget pressure against the recharges budget. Other transport budget related underspends were fuel (£53k), tyres (£11k), Mileage and lump sum payments (£20k) and other transport related savings of £10k. These underspends were partially offset by overspends on parts and maintenance (£32k) and vehicle hire (£10k).

## **Supplies & Services (£291k underspent)**

Shared services were underspent to budget by £135k. This was predominantly due to reduced costs for the following shared service arrangements: Regeneration (£41k), Homelessness (£49k), HR (£30k) and the Community Safety Partnership (£10k). The Internal Expenses budget was also underspent by £150k mainly due to the write back of a legal provision (£122k) relating to a Health & Safety case and a reduction to the insurance provision (£20k). Other supplies and services budget underspends included:

- Professional & Consultancy Service (£87k) – mainly due to the slippage in regeneration projects funded by the Nottinghamshire pre-development fund (£32k) and delays in completing the Local Plan (£54k) for which a carry-forward request for this earmarked funding is made.
- Equipment hire, purchase and maintenance (£30k)
- Other minor supplies and services underspend across all Council budgets.

The above underspends were partially offset by the settlement of insurance claims (£94k) and increased printing and stationery costs (£28k). £18k of this latter overspend relates to the Police elections for which income was received and £10k relates to the Selston Planning referendum.

## **Transfer Payments (£267k underspent)**

This underspend relates mainly to the payment of Housing Benefits which are reimbursed by the Government through subsidy payments. The net underspend taking into account these payments is £192k. The underspend includes a saving of £173k for not incurring penalties for benefit overpayments following a favourable audit. The net variance to budget for Housing Benefits (of a gross value of £32m) is 0.5%.

## **Income (£36k under-recovery)**

This net income under-recovery is mainly due to the following:

- Reduced Pest Control income (£42k)
- Reduced rent income from buildings (£24k)
- Reduced Benefits income for Discretionary Housing Payments (DHP) (£74k) – as less DHP payments were required to be made than budgeted and were recoverable by central government.
- These income shortfalls were partially mitigated by additional income from Bulk Waste collection (£13k), additional net income from glass recycling (£40k), licensing and permit income (£29k) and other additional income across all Council budgets (£22k).

## **Recharges (£428k net under-recovery)**

The net recharges budget under-recovery is due to being unable to recover budgeted levels of recharges due to the reduced spend on contract hire (non-purchase and non-charge-out of additional vehicle costs in the year) and reduced costs of services to the Capital Programme (due to slippage on a number of schemes) and external customers.

## **Financing and Investment Income and Expenditure (£60k net overspend)**

The net interest was £11k lower than budgeted. Direct Revenue Financing to fund the Capital Programme was £49k greater than budget due to use of de-minimis capital receipts.

## **Funding (£765k additional income)**

Funding was £765k better than budgeted mainly due to higher Business Rates (+£756k). This £756k included £251k of additional Business Rates from the Nottinghamshire Pool. £564k of the £756k was transferred to the NNDR Equalisation Reserve at the year-end to recognise the financial impact of timing differences, which, all things being equal will result in a pressure of this value arising in 2019/20.

## **Explanations of key Outturn variances within Directorates:**

### **Chief Executive's Office (£104k overspend)**

- The Chief Executive's Office overspend is largely due to the budgeted level of savings targets from service reviews not being fully allocated in 2017/18. This is fully mitigated by underspends across other Directorates. The balance of this savings target was fully allocated to the relevant services when the 2018/19 budget was set.

### **Legal & Governance (£136k underspend)**

The main reasons for the underspend were:

- Democratic Services underspent by £45k due to staff vacancies (£25k) and savings on Member's Allowances and Training (£20k).
- Electoral Services overspent by £18k largely due to additional employee costs (£13k). However, the combined Service Review across Democratic Services, Electoral Services and Scrutiny Services delivered net savings overall.
- Legal Services underspent by £103k. This is largely due to the write back of a legal provision for a Health and Safety case (£121k) and additional income received as the Council was awarded court costs (£125k). These underspends were partially offset by reduced recharges to front line services due to the need to recover fewer costs (-£135k).

### **Resources & Business Transformation (£323k underspend)**

The main reasons for the underspend were:

- Revenues and Customer Services were underspent by £257k. This included an underspend on Net Transfer payments of £170k due to not incurring penalties, following a favourable audit, of £173k for benefit overpayments that were budgeted. This represents a variation of 0.5% against the Benefits Gross Budget of £32m. The service also generated £38k additional court cost income.

- Financial Management was £98k underspent largely due to an underspend on the corporate severance (restructuring) budget (£50k), reduced employee costs (£14k) and a £20k reduction to the Insurance provision.
- HR and Payroll – shared service savings (£30k)
- ICT – savings against ICT Housing equipment budget (£36k) due to delays in purchasing a server pending the Housing Repairs review, and telephones (£17k).
- Performance and Improvement – Vacant posts (£34k)
- Insurance - £104k net pressure relating to the settlement of claims. This is funded via the earmarked Insurance reserve.
- Recharges pressure as unable to recover costs due to reduced cost of services within the Directorate.

### **Place & Communities (£200k underspend)**

The £200k underspend within this Directorate includes £51k income from de-minimis capital receipts which were used to partially fund schemes in the capital programme. Excluding this the net underspend was £149k. The main reasons for the underspend were:

- Community Protection is £114k underspent largely due to staff vacancies (£58k) and reduced recharges to the service (£48k).
- Environmental Services were £122k underspent largely due to savings on agency staff (£52k) and reduced transport expenses as a result of reduced spend on vehicle repairs and reduced fuel costs (as a result of lower volumes than budget required).
- Waste services were £313k underspent largely due to reduced transport expenses in respect of contract hire (£216k) and below budget fuel costs (£46k). These underspends are offset by lower than budget recovery of recharges across wider services. Other Waste service variances include:
  - Twin Bin Scheme £35k underspend (reduced equipment purchase)
  - Bulk Collection £13k underspend (additional income)
  - Glass recycling £40k underspend (additional net income)
- Transport and Depot services were £31k overspent after recharges largely due to above budget transport related expenses (£46k) for vehicle parts and higher than budget software costs for the vehicle tracking system (£14k) and the cost of Phase 1 of the external Transport Review (£15k). These pressures were partially mitigated by additional income (£48k) largely from the sale of vehicles (de-minimis capital receipts income referenced above).
- Private Sector Housing was overspent by £97k due to lower than budget take up of Selective Licences in 2017/18. The income budget (Cabinet July 2016) was based on 950 properties.
- Markets premises costs were (£31k) higher than budget, rent and service charge income was lower than budget (£79k) due to the refurbishment and staff costs were in excess of budget (£25k).
- Planning & Building Control was £74k underspent largely due to a £54k underspend for the Local Plan (reserve funded), to be rolled forward to 2018/19.
- Recharges - £145k pressure as lower costs than budget were incurred which could therefore not be recovered, particularly within contract hire.

## Housing & Assets (£90k underspend)

- Housing was £167k underspent largely due to staff vacancies across the service (£46k) and a £49k underspend on the Homelessness Shared Service Budget, a £15k underspend on software for the homelessness system module due to implementation delays. This will be funded in 2018/19 from the increase in the Homelessness Grant allocation. There was also a £17k underspend on the Housing Strategy for policy work as this work was undertaken internally. The service also received additional HRA income (£37k).
- Asset Management was £77k overspent as less capital work was undertaken than budget which increased the charge to the General Fund.

It is proposed that Cabinet recommend to Council that approval to use £172k of the £342k 2017/18 General Fund underspend is agreed to meet additional Service Review costs in 2018/19 and that Cabinet note the transfer £50k of the underspend to the Asset Repair and Renewal Reserve to help to meet costs arising from the stock condition survey and other urgent works as identified.

### b. 2017/18 Housing Revenue Account (HRA) Outturn

The table below shows the Housing Revenue Account Outturn for 2017/18:

<b>Income</b>			
Rents, Charges and Contributions	(24,087)	(24,259)	(172)
Other Grants	0	(5)	(5)
Interest and Investment Income	(59)	(86)	(27)
<b>Total Income</b>	<b>(24,146)</b>	<b>(24,350)</b>	<b>(204)</b>
<b>Expenditure</b>			
Borrowing and Capital Financing Charges	3,446	3,517	71
Repairs and Maintenance	7,278	6,936	(342)
Supervision and Management	4,686	4,552	(134)
Interest Payable and Appropriations	3,542	3,547	5
Other Expenditure	227	165	(62)
Direct Revenue Financing	964	315	(649)
Transfer to/from Major Repairs Reserve	2,784	187	(2,597)
<b>Total Expenditure</b>	<b>22,927</b>	<b>19,219</b>	<b>(3,708)</b>
<b>Surplus for the year</b>	<b>(1,219)</b>	<b>(5,131)</b>	<b>(3,912)</b>
<b>Net Contribution to / (from) Earmarked Reserves</b>	<b>591</b>	<b>591</b>	<b>0</b>
<b>Net Housing Revenue Account Deficit / (Surplus) for the year after transfer to/ (from) Earmarked Reserves</b>	<b>(628)</b>	<b>(4,540)</b>	<b>(3,912)</b>



## **Key reasons for Variances to Budget are:**

### **Income**

Feed-In Tariffs and Renewable Heat Incentives generated additional income of £20k.

Additional income of £63k was raised through invoices to outgoing tenants for property damage/repair works.

Additional income of £15k was raised through invoices to current tenants for property damage/repair works.

Tenant rental income was above budget by £40k from lower turnover of tenancies and the timing of Right to Buy property sales throughout the year.

Vehicles sold in the financial year generated a value of £10k.

Additional homeless properties generated an increase in rent of £13k.

'Other Grants' includes additional income of £5k for carbon saving works completed for non-traditional properties. This has been placed in a HRA Earmarked Reserve to fund future Eco-Friendly projects.

The Interest & Investment Income is greater than budget due to the internal interest received on the higher HRA surplus than initially budgeted.

### **Expenditure**

Borrowing and capital financing charges are £71k higher than budget mainly due to depreciation charges being £74k greater than planned due to an increase in property valuations compared to the when the budget was set for 2017/18.

Repairs and Maintenance is underspent to budget by £342k due mainly to the following:

- Reduced use of subcontractors in delivering the planned maintenance schemes during the year (£130k).
- A reduction in expenditure on the materials used in the housing repairs service and stock adjustments throughout the year of £49k.
- Staff vacancy savings of £40k in the Planned Maintenance and Estate Officer departments.
- Reduced housing repairs vehicle charges of £99k mainly through not replacing vehicles on a fixed replacement programme resulting in reduced depreciation costs.
- Below budget expenditure on waste disposal due to lower levels of void property clearance undertaken in the year of £13k.

Supervision and management budgets underspent by £134k. The principal reasons for this variance are:

- Reduced corporate and service specific training commissioned from the HR shared service (£24k).
- Community centre costs are lower than expected as a result of lower recharges from Asset Management of £21k.
- Less repairs, maintenance and cleaning than the revised budget across the Housing Courts Schemes of £29k.
- Lower costs for utilities across the Housing Courts Schemes of £19k.
- Reduced costs in the running of the Brook Street Office (£46k).
- Reduced spend on the stock condition survey which was partially completed in 2017/18 (£13k). A request to carry-forward the balance of the earmarked funding to meet the costs to be incurred in 2018/19 is proposed.
- Tenancy Services have achieved a saving of £35k through a change in service delivery arrangements, reduced use of waste skips and vacancy savings.

These underspends are partially offset by:

- Costs of £13k incurred in the furnishing of additional homeless properties ready for occupation.
- Asset Management restructure redundancy and pension strain costs of £52k for the HRA Procurement section.

Within 'other expenditure' there were council tax payments made for empty council houses which were £37k lower than the level budgeted and there has been a decrease in the contribution to the bad debt provision of £25k compared to the budget.

Direct Revenue Financing was £649k less than budget due to slippage in Capital Programme schemes.

Use of the Major Repairs Reserves is (£2.597m) lower than forecast as a result of reduced capital expenditure.

The Housing Revenue Account (HRA) outturn shows the income and expenditure arising from the provision of the Council's landlord functions. The HRA is ring fenced and required to operate with a positive working balance.

**The outturn for the HRA shows an in year surplus of £5.131m, before movement in reserves, bringing the total HRA balance at 31 March 2018 to £28.286m. (The HRA balance as at 31st March 2017 was £23.746m).**

### c. 2017/18 Capital Programme Outturn

The Table below summarises the Capital Outturn for 2017/18:

Scheme	Capital programme £000's	Actual Expenditure £000's	Variance £000's
<b>Housing Revenue Account</b>			
Management Fee	578	579	1
Catch up and Major Repairs	3,322	2,928	(394)
Service Improvements	377	349	(28)
Contingent Major Repairs	68	25	(43)
Exceptional Extensive Works	819	619	(200)
Disabled Adaptations	500	410	(90)
Major Repairs Temp Accommodation	113	0	(113)
Investment in Additional Council Dwellings	358	195	(163)
HRA - New Year Vehicle Replacements	131	107	(24)
Darlison Court (New Builds)	105	103	(2)
Other Housing Revenue Account Schemes (less than £100k each)	124	84	(40)
<b>Total Housing Revenue Account</b>	<b>6,495</b>	<b>5,399</b>	<b>(1,096)</b>
<b>General Fund</b>			
Acacia Avenue Rec - General Improvements	241	225	(16)
Clegg Hill Drive	1,200	1,148	(52)
Crematorium Capital Additions	0	212	212
DFG grants	869	831	(38)
Garden Waste Bins	120	0	(120)
Glass Recycling Project	750	621	(129)
Idlewells Market Hall	1,177	1,177	0
Investment Properties	15,100	14,981	(119)
Kings Mill Reservoir Desilting	164	143	(21)
Leisure Transformation Programme	340	23	(317)
New Year Vehicle Replacements	1,459	1,401	(58)
Office Accom Works (DWP) Ground Floor	575	573	(2)
Solar PV Installations Leisure Centres	236	0	(236)
Vehicle Tracking Scheme	135	132	(3)
Other General Fund Schemes (less than £100k each)	897	642	(255)
<b>Total General Fund</b>	<b>23,263</b>	<b>22,109</b>	<b>(1,154)</b>
<b>Total Expenditure</b>	<b>29,758</b>	<b>27,508</b>	<b>(2,250)</b>
<b>Funding</b>			
Major Repairs Reserve	5,418	3,664	(1,754)
Borrowing	19,918	19,134	(784)
Government Grants and Other Contributions	2,842	2,069	(773)
Revenue Contributions	0	315	315
Reserve Contributions	469	690	221
Capital Receipts	1,111	1,636	525
<b>Total Funding</b>	<b>29,758</b>	<b>27,508</b>	<b>(2,250)</b>

## Key reasons for Capital Programme variances to Budget are:

- Housing Revenue Account (HRA)

There have been underspends on the majority of the HRA capital schemes:

- Catch Up and Major Repairs – A significant reason for this underspend is the rejection by some tenants for the works to be completed on their Council properties (£394k).
- Exceptional Extensive Works to Non Traditional Properties – Delays in obtaining planning approval (£200k).
- Investment in Additional Council Dwellings – Delays with the building scheme (£163k).
- Major Repairs to Temporary Accommodation – Project deferred until 2018/19 (£113k).

- General Fund

The majority of General Fund capital schemes are underspent in the year. The main reason for these underspends are as follows:

- Leisure Transformation Programme – Delays in agreeing the scope of the project (£317k).
- Glass Recycling Project – The actual cost of glass containers was significantly less than budget (£129k).
- Garden Waste Scheme – No costs were incurred in 2017/18, this capital scheme has now concluded (£120k).
- Solar PV installations – Completion of this work is now due to start in 2018/19 (£236k).
- Investment Properties – The purchasing costs for these properties (including agent fees and Stamp Duty Land Tax) was less than budget (£119k).

- Funding

The funding requirement for the capital programme has reduced as a direct result of the lower than anticipated capital expenditure in the year as described above.

The Council can borrow for any purpose for which it is legally entitled to incur expenditure. The Council sets its borrowing limits annually based upon tests of affordability and prudence. The current borrowing limit is £130m with an operational boundary of £120m.

The majority of the Prudential Borrowing (£19.134m) was in respect of:

- Investment Properties purchase (£14.981m)
- Clegg Hill Drive land purchase (£1.148m)
- Idlewells Market refurbishment (£1.177m)
- Vehicle Replacement (£0.790m) and
- Glass Recycling (£0.621m)

The Capital receipts used to support delivery of the programme were £1.4 HRA and £0.2m General Fund related.

The key Government Grants and other contributions were:

Disabled Facilities Grant (£0.830m)  
Section 106 Funding (£0.487m) and  
Department for Works and Pension (DWP) funding (£0.548m)

**It is proposed that Cabinet recommends to Council that carry-forward of £2.001m of the £2.250m slippage on the Capital Programme is approved, to meet the ongoing cost of capital schemes.** There are however two capital schemes whose balance is not proposed for carry-forward as they are now complete;

- Garden Waste Bin Scheme (£120k)
- Glass Recycling Project (£129k)

#### **d. Earmarked Reserves**

The following transfers from earmarked reserves are proposed:

Council approval be sought to allocate up to a maximum of £443k of earmarked funding initially from the revenue Technology Investment Reserve to fund the Finance system upgrade and the replacement Income system (year one costs), reported elsewhere on this agenda. This has no impact on the General Fund reserve balance.

Cabinet approve the carry-forward of £54k earmarked funding in the District Planning Enquiry Fund to meet costs of the Local Plan, which due to delays in 2017/18 will now be incurred in 2018/19.

Members are also asked to note the following carry-forwards will be processed:

The carry-forward of unutilised project funding in 2017/18 from earmarked reserves for:

- Phase 2 of the Transport Review (£15k) – from the Asset Renewal Reserve
- Completion of the Stock Condition Survey (£13k) – from the HRA Eco Funding Reserve

The allocation of earmarked reserves for:

- Sutton-in-Ashfield Town Centre Improvements to street furniture (£34k) – from the Section 106 funding specifically earmarked for this purpose.

Members are also asked to note the following transfer to earmarked reserves from the General Fund underspend will be processed:

- Transfer of £50k to the Asset Repair and Renewal Reserve to help to meet costs arising from the stock condition survey and other urgent works as identified.

## **Implications**

### **Corporate Plan:**

The Revenue and Capital Budget and Outturn reflect the priorities in the Corporate Plan.

### **Legal:**

This report ensures compliance with the Council's approved Financial regulations.

### **Finance:**

This report has the following financial implications:

<b>Budget Area</b>	<b>Implication</b>
General Fund – Revenue Budget	The Outturn position will be used to update the Medium Term Financial Strategy.
General Fund – Capital Programme	Increase the 2018/19 Capital Programme by £0.905m for Schemes underspent in 2017/18.
Housing Revenue Account – Revenue Budget	The Outturn position will be used to update the Medium Term Financial Strategy and the 30 year HRA Business Plan.
Housing Revenue Account – Capital Programme	Increase the 2018/19 HRA Capital Programme by £1.096m for Schemes underspent in 2017/18.

### **Risk:**

<b>Risk</b>	<b>Mitigation</b>
Failure to spend within approved budgets could impact the financial sustainability of the Council.	Financial monitoring reports to CLT and Cabinet.

### **Human Resources:**

No adverse Human Resources implications were identified.

### **Equalities:**

No adverse Equality and Diversity implications were identified.

### **Other Implications:**

None

**Reason(s) for Urgency**

Not applicable

**Reason(s) for Exemption**

Not applicable

**Background Papers**

Statement of Accounts 2017/18 (Unaudited). Published on the Council's website.

**Report Author and Contact Officer**

Sharon Lynch, Corporate Finance Manager  
01623 457002  
s.lynch@ashfield.gov.uk

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# Agenda Item 7



<b>Report To:</b>	<b>CABINET</b>	<b>Date:</b>	<b>14th JUNE 2018</b>
<b>Heading:</b>	<b>COUNCIL'S TREASURY MANAGEMENT AND BORROWING ACTIVITIES</b>		
<b>Portfolio Holder:</b>	<b>COUNCILLOR ROBERT SEARS-PICCAVEY- CABINET MEMBER (INWARD)</b>		
<b>Ward/s:</b>			
<b>Key Decision:</b>	<b>YES</b>		
<b>Subject to Call-In:</b>	<b>YES</b>		

## **Purpose of Report**

To receive a report on the position of the Council with regard to Treasury Management and Borrowing.

This report gives Members information on the activities which the Council carries out to manage both its funding and its cash flow, with the aim of minimising the risks to which the Council is exposed when borrowing and lending.

It sets out the performance in 2017/18 against the prudential indicators, which were agreed by Members in order to ensure that borrowing and lending are controlled within reasonable limits, in line with good practice.

## **Recommendation(s)**

**Members are requested to endorse the performance as outlined in the report.**

## **Reasons for Recommendation(s)**

To meet the requirements of the Council's Financial Regulations (C.29).

## **Alternative Options Considered**

None.

## Detailed Information

### TREASURY MANAGEMENT - ANNUAL REPORT 2017/18

#### 1. Introduction

The Treasury Management Policy Statement includes a requirement for the production of an Annual Report on the Treasury Management activities undertaken during the year. This requirement is also incorporated in the Council's Financial Regulations and is considered as good practice in the CIPFA Code of Practice for Treasury Management. The CIPFA Code of Practice on Local Authority Accounting requires the balance sheet values for Financial Instruments, including loans to be included at fair value. In accordance with the CIPFA Code loans and other financial instruments are included in the balance sheet at fair value. However, the figures included in this report are at face value in order to show what the actual pound sterling values are.

#### 2. Borrowing

The borrowing activities undertaken during the year are summarised below:

Type of Loan	Amount Outstanding 01.04.17 £000	Borrowed £000	Repaid £000	Amount Outstanding 31.03.18 £000
Long Term Loans				
- PWLB	29,949	0	701	29,248
- Mortgage Loan	45,500	0	0	45,500
- Temporary Loan	0	7,000	0	7,000
<b>Total External Debt</b>	<b>75,449</b>	<b>7,000</b>	<b>701</b>	<b>81,748</b>

The table represents the actual transactions undertaken and therefore will differ to that shown in the statement of accounts due to the differences in notional valuation.

The Council borrowed £7m at the end of 2017/18 to cover short-term cashflow requirements caused by reduced Council Tax receipts in February and March 2018. This will be repaid during 2018/19.

#### 3. Prudential Borrowing Limits

One of the requirements of the CIPFA Prudential Code is to report performance against a range of performance indicators to Members. Underpinning the Prudential system for borrowing is the fundamental objective that any investment in assets needs to be both affordable and remain within sustainable limits. To this end the Council sets its own targets, boundaries or limits against which it monitors actual performance. For 2017/18 these were set by Cabinet on 23rd March 2017. The comparison of out-turn to those targets is set out in Appendix 1 to this report.

#### 4. Loan Interest Payments

4.1 There are two measures of performance used for assessing the Council's borrowing activities, the total amount of interest paid compared to estimate figures and the average rate of interest paid on external loans. An analysis of interest payments compared to the revised estimates is given below:

4.2

	<b>Revised Estimate</b>	<b>Actual</b>
	<b>£000</b>	<b>£000</b>
PWLB	1,301	1,295
Mortgage Loans	2,035	2,035
Temporary Loan	0	7
<b>Total</b>	<b>3,336</b>	<b>3,337</b>

Actual Interest Payments are in line with the revised estimates.

4.3 External Borrowing Rate - the average borrowing rate of all non-temporary loans was 4.43% as forecast at the revised estimate stage.

#### 5. Investments

5.1 Cash flow surpluses are placed in investment accounts or on short term money market deals to generate interest. The movement in external investments during the year is given below:

	<b>Temporary Advances</b>
	<b>£000</b>
Balance at 1.04.17	19,054
New Investments	115,229
Repayments	126,161
Balance at 31.03.18	8,122
<b>Annual Return</b>	<b>0.35%</b>

5.2 Overall Investment Income return achieved compared to the revised budget is as follows:

<b>Revised Estimates</b>	<b>Actual</b>	<b>Variance</b>
<b>£000</b>	<b>£000</b>	<b>£'000</b>
<b>52</b>	<b>68</b>	<b>16</b>

The favourable position to budget (£16k) is largely due to the 0.25% increase in the Bank of England Base Rate in November 2017

5.3 During 2017/18 the base rate started at 0.25% and ended the year at 0.50%.

## **Implications**

### **Corporate Plan:**

The reporting of the position with regard to insurance indirectly supports all of the Council's main objectives through contributing to business efficiency and effectiveness.

### **Legal:**

The reporting of the Council's Treasury Management and Borrowing Activities ensures compliance with the Council's Financial Regulations and the CIPFA best practice.

### **Finance:**

<b>Budget Area</b>	<b>Implication</b>
General Fund – Revenue Budget	N/A
General Fund – Capital Programme	N/A
Housing Revenue Account – Revenue Budget	N/A
Housing Revenue Account – Capital Programme	N/A

### **Risk:**

<b>Risk</b>	<b>Mitigation</b>
The Council could be at risk of making investments with counterparties which may fail or collapse.	The Council follows the investment guidance provided by Link Asset Services in order to ensure its investments are as secure as possible.

### **Human Resources:**

No Human Resources Implications.

### **Equalities:**

*(to be completed by the author)*

### **Other Implications:**

*(if applicable)*

### **Reason(s) for Urgency**

*(if applicable)*

**Reason(s) for Exemption**

*(if applicable)*

**Background Papers**

*(if applicable)*

**Report Author and Contact Officer**

Sharon Lynch  
Corporate Finance Manager  
[s.lynch@Ashfield.gov.uk](mailto:s.lynch@Ashfield.gov.uk)  
01623 457202

## **APPENDIX 1 PRUDENTIAL INDICATORS OUT-TURN 2017/18**

### **1. Prudential Indicators of Affordability**

a) **Ratio of financing costs to net revenue stream years split between the Housing Revenue Account and the General Fund**

The Council is required to calculate an estimated ratio of its financing costs divided by its net revenue stream for both the General Fund and the Housing Revenue Account.

2017/18	Target %	Actual %
Housing Revenue Account	15	15
General Fund	11	9

The variance to target on the General Fund is primarily due to the net revenue stream being more than originally expected. The revenue stream forecasts are set a year in advance. The actual revenue stream may change in year. Any changes to this will impact on the actual ratio.

b) **Estimate of the incremental impact of capital investment decisions on the Council Tax and Rent Levels**

Authorities are required to estimate the impact on the Council Tax (General Fund) and Rent levels (Housing Revenue Account) of the capital programme including the non-financing costs.

2017/18	Target £	Actual £
Housing Revenue Account (52 Weeks)	0.00	0.00
General Fund (Band D)	5.32	27.10*

\*The target indicators went to Cabinet 23<sup>rd</sup> March 2017. After the indicators were set the Capital Programme was increased by £15m to fund the purchase of Investment Properties. The expected 2018/19 income from these Investment Properties is expected to exceed by £0.4m the capital financing costs associated with their purchase so the overall impact for residents is favourable.

c) **Net borrowing and the Capital Financing Requirement split between the General Fund and the Housing Revenue Account**

In order to ensure that in the medium term borrowing is only undertaken for capital purposes, local authorities are required to ensure that net external borrowing does not exceed, except in the short term, the total of their capital financing requirement. In broad terms the capital financing requirement reflects an authorities need to borrow for capital purposes and is a measure of the assets contained on the balance sheet which have as yet not been fully financed, i.e. there is still some debt outstanding.

31 <sup>st</sup> March 2018	Target £m	Actual £m
Housing Revenue Account	80	80
General Fund	22	37

The variance for the General Fund is due to the purchase of £15m Investment Properties and relates to timing differences from when the Prudential Indicators was set. Again, as net income from these properties exceed debt costs; this is favourable for the Council / residents.

d) **Estimates of borrowing for capital expenditure split between the General Fund and the Housing Revenue Account**

2017/18	Target £m	Actual £m
Housing Revenue Account	0.0	0.0
General Fund	3.9	19.1

The variance for the General Fund is largely due to the £15m purchase of Investment Properties. Again the variance is due to timing differences as described in b) and c) above.

e) **Authorised Limit of external debt**

The Council is required to set an authorised limit for its total external debt, gross of investments and includes the need to borrow on a short term basis to cover for temporary shortfalls in cash flow.

2017/18	Authorised Limit £m	Actual Borrowing £m
Borrowing	130	82

f) **Operational Boundary**

The operational boundary is based on the most likely or prudent but not worst case scenario in relation to cash flow. The limit takes into account the total capital financing requirement plus future borrowing requirements.

2017/18	Operational Boundary £m	Actual Borrowing £m
Borrowing	120	82

**2. Prudential Indicators for Prudence**

a) **Interest rate exposure**

This indicator gives the following maximum levels of exposure to fixed and variable interest rate payments. The Council minimises the risk of interest rate exposure by having the majority of its borrowing at Fixed Rates. The risk of borrowing at variable rates is that these rates will rise when the Bank of England interest rate rises. Currently Bank of England rates are at near low therefore any future changes are likely to be upwards.

Principal Outstanding 2017/18	Target £000	Actual £000
At Fixed Rates	120,000	56,248
At Variable rates	48,000	25,500

b) **Maturity Structure of fixed rate borrowing**

The Council is required to set both upper and lower limits for the maturity structure of its borrowing. As this indicator relates only to fixed rate debt it is therefore a measure of the longer term risk of exposure to interest rate fluctuations.

Maturity	Lower Limit £000	Upper Limit £000	Actual 31 <sup>st</sup> March 2018 £000
Less than 12 months	0	20,000	12,000
12 months to 24 months	0	25,000	7,012
24 months to 5 years	0	25,000	12,500
5 years to 10 years	0	50,000	8,541
10 year and over	10	100,000	41,695

**Principal sums invested for more than 364 days**

2017/18	Limit £m	Actual £m
Upper Limit	5	5



<b>Report To:</b>	<b>CABINET</b>	<b>Date:</b>	<b>14th JUNE 2018</b>
<b>Heading:</b>	<b>COUNCIL'S INSURANCE REQUIREMENTS</b>		
<b>Portfolio Holder:</b>	<b>COUNCILLOR ROBERT SEARS-PICCAVEY- CABINET MEMBER (INWARD)</b>		
<b>Ward/s:</b>			
<b>Key Decision:</b>	<b>YES</b>		
<b>Subject to Call-In:</b>	<b>YES</b>		

## **Purpose of Report**

This report is to provide members with the latest position with regards to insurance funds, and premiums paid.

## **Recommendation(s)**

**Members are asked to note the contents of the annual report on insurance.**

## **Reasons for Recommendation(s)**

To meet the requirements of the Council's Financial Regulations (C.37).

## **Alternative Options Considered**

None

## **Detailed Information**

### **COUNCIL'S INSURANCE REQUIREMENTS**

The Council needs to have adequate insurance cover to mitigate against potential future risk. Insurance cover provided by insurers comes at a significant cost to the Authority (see table 2 below for the current premium charges).

It is a statutory requirement for the Council to have certain types of insurance e.g. Employee Liability Insurance but there is not a statutory requirement for other types such as Property Insurance.

Ashfield District Council has the following Insurance:

- Property – Provides cover for damage to property,
- Employee Liability – Provides cover for injury to Council employees whilst on Council business,
- Public Liability – Provides cover for any injury to members of the public as a result of actions carried out by the Council,
- Fidelity Guarantee – Provides cover for mistakes made by Council Officers,
- Contractor All Risk – Provides cover for transportable assets owned by the Authority e.g. equipment,
- Computer – Provides cover for loss or damage to IT equipment owned by the Authority
- Motor – Provides cover for all of the Council's motor vehicles.

As part of the Council's overall arrangement for managing the risks of such a diverse organisation the Council provides for unavoidable risks by two methods:

- Self Insurance funds (Reserves)
- External insurance

This report provides Members with an up to date assessment of both of these arrangements.

#### 1. Self Insurance Funds (Insurance Reserves)

The transactions of the Insurance Funds for 2017/18 are summarised below:

##### General Fund Insurance Reserve

	<b>Liability Fund £000</b>	<b>Property Fund £000</b>	<b>Employee Tools £000</b>	<b>TOTAL £000</b>
Balance at 1 <sup>st</sup> April 2017	(122)	(206)	0	(328)
Leaseholders contribution	0	(7)	0	(7)
Transfer from Property Fund to Liability Fund	0	10	(10)	0
Credits received from insurance company	(86)	(25)	0	(111)
Interest	0	(1)	0	(1)
Claims Paid	191	37	2	230
General Fund Budget Contribution	(75)	0	0	(75)
Reduction in Liability Provision	(18)	(2)	0	(20)
Balance at 31 <sup>st</sup> March 2018	(110)	(194)	(8)	(312)

## Housing Revenue Account (HRA) Insurance Reserve

	<b>HRA Insurance Fund £000</b>
Balance at 1 <sup>st</sup> April 2017	(85)
Claims Paid	0
Contributions to Reserve	(50)
Balance at 31 <sup>st</sup> March 2018	(135)

### 1.1 Liability Fund

The Council has Liability insurance cover. However, if a claim is successfully made against the Authority, the Council still has to pay part of the claim i.e. the excess. Small claims often fall below the excess, which result in the Authority having to settle 100% of the value of these claims. The Liability Fund was created in order to provide funding for the liability claims where the costs have to be met by the Council rather than insurers.

It is prudent to keep an insurance reserve because there can often be a significant delay in the reporting of claims. This is particularly the case with those involving some form of industrial injury which may not surface until some years after the incident occurred, or cases involving children which are allowed to be reported many years after the incident.

The potential level of liability as estimated by the insurance company is calculated as the maximum liability likely to arise taking into account all known factors. This amount could increase or decrease depending on how individual cases develop.

The total estimated cost of all outstanding claims is provided for in the 2017/18 Statement of Accounts.

A transfer from the General Fund of £75k has been made to top up the reserve in order to fund 2018/19 liabilities. A further £75,000 General Fund contribution is budgeted for 2018/19.

A more detailed analysis of the liability claims outstanding by year is given below:

Outstanding claims are usually higher for the last financial year due to recent claims still having to be resolved.

<b>Year</b>	<b>Total Number of Claims</b>	<b>Number of Claims Outstanding</b>	<b>Value £'000</b>
2017/18	23	8	73
2016/17	22	2	43
2015/16	15	2	26
2014/15	20	1	2
2013/14	16	2	27
2012/13	34	2	26
MMI Provision (See paragraph 3.2)			65
<b>Total</b>	<b>130</b>	<b>17</b>	<b>262</b>

### 1.3 Property Fund

The property fund was created in order to provide funding for those claims that cannot be recovered from the Council's insurers because they fall below the excess or are above the excess in which case the Authority still has to pay the excess amount out of its own funds. The Council has and externally insures numerous properties throughout the District. Therefore, the potential for claims to arise is significant; the fire in the Canteen at the Council Offices in 2008 highlights the substantial risks of having a large property portfolio.

As at the 31<sup>st</sup> March 2018 there were seven claims still to be settled with an estimated value of £9k.

### 1.4 Employee Tools

There have been claims paid to two individual employees one for £950 and the other for £590.

### 1.5 Housing Revenue Fund (HRA)

A £50k contribution from the HRA was made to this reserve during 2017/18.

## 2. Renewal of External Insurance Policies

The new premiums under the new contract for 2018/19 and comparison to 2017/18 are shown below. The figures shown exclude the 10% Insurance Premium Tax (IPT) payable in 2017/18 and 12% IPT payable in 2018/19. The IPT has been excluded from the below in order to provide like for like comparisons.

Type of Cover & Insurer	Insurer	2017/18 £000	Insurer	2018/19 £000
Property	AIG and HSB via RMP	103	Protector Forsikring	78
Liability/Fidelity Guarantee	Travelers	139	Travelers	89
Contractors All Risk	HSB via RMP	12	Protector Forsikring	4
Engineering Inspection	HSB via RMP	12	Arthur J. Gallagher	28
Computer	HSB via RMP	3	Protector Forsikring	1
Motor Vehicle	QBE via RMP	112	Protector Forsikring	69
<b>TOTAL</b>		<b>381</b>		<b>269</b>

The total premiums have reduced by £112k excluding IPT and by £118k when IPT is included. The main reason for the reduction in premium is due to the Council going out to tender to re-procure its Insurance Requirements and achieving greater value for money.

### 3. Previous Insurance Providers

#### 3.1 Independent Insurance Company

Between 1992 and 1999 the Council's liability insurers were the Independent Insurance Company. In 2001 the company was declared insolvent. From that point onwards full financial liability for any claims above the excess fell to the Council. These will be limited to claims for industrial injury with a long development period (e.g. industrial deafness) or claims involving children. The Authority currently have four claims outstanding with an estimated liability of £14k which has been provided for in the Council's 2017/18 accounts.

#### 3.2 Municipal Mutual Insurance Liability (MMI)

In September 1992 Municipal Mutual Insurance (MMI), the Council's former insurers, ceased accepting new business. MMI and its policyholders including local authorities established a "scheme of arrangement" for the orderly run down of the company.

Under the scheme a levy of £63k was paid in 2013/14 and £42k in 2015/16. The Council's full liability relating to these outstanding claims is £382k. The Council have been advised by its Insurance brokers to provide for £65k of this amount, which has been included in the Council's 2017/18 accounts.

#### 4. Risk Management Fund

The Risk Management Fund was established to fund projects that will help to reduce and identify risk for the Council and hence reduce the cost of insurance claims and premiums. Insurers are reluctant to underwrite those organisations which do not operate pro-active Risk Management.

There have been no changes to the Risk Management Fund balance in 2017/18 other than a small interest contribution of £32. The balance of this fund is currently £7,912.

It is proposed to undertake an independent external review of insurance schedules by Autumn 2018 to ensure the adequacy of insurance reserves and arrangements.

### Implications

#### **Corporate Plan:**

The reporting of the position with regard to insurance indirectly supports all of the Council's main objectives through contributing to business efficiency and effectiveness.

#### **Legal:**

The report ensures compliance with Financial Regulations.

#### **Finance:**

Budget Area	Implication
General Fund – Revenue Budget	General Fund Revenue Budget will benefit from the lower than anticipated premiums.
General Fund – Capital Programme	None.
Housing Revenue Account – Revenue Budget	Housing Revenue Account Budget will benefit from the lower than anticipated premiums.
Housing Revenue Account – Capital Programme	None.

#### **Risk:**

Risk	Mitigation
The Council has to settle numerous claims up to the excess figure agreed with its insurers.	The insurance reserves help to mitigate against any costs that the Council may face for insurance claims up to the Authority's claim excess.

**Human Resources:**

No Human Resources Implications.

**Equalities:**

*(to be completed by the author)*

**Other Implications:**

*(if applicable)*

**Reason(s) for Urgency**

*(if applicable)*

**Reason(s) for Exemption**

*(if applicable)*

**Background Papers**

*(if applicable)*

**Report Author and Contact Officer**

Sharon Lynch  
Corporate Finance Manager  
[s.lynch@Ashfield.gov.uk](mailto:s.lynch@Ashfield.gov.uk)  
01623 457202

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<b>Report To:</b>	<b>CABINET</b>	<b>DATE:</b>	<b>14 JUNE 2018</b>
<b>Heading:</b>	<b>PUBLIC SPACES PROTECTION ORDER (PSPO) - CONSULTATION</b>		
<b>Portfolio Holder:</b>	<b>COUNCILLOR CHRISTIAN CHAPMAN – CABINET MEMBER (JOINT FOCUS)</b>		
<b>Ward/s:</b>	<b>ALL</b>		
<b>Key Decision:</b>	<b>YES</b>		
<b>Subject to Call-In:</b>	<b>YES</b>		

## Purpose of Report

The Anti-social Behaviour, Crime and Policing Act 2014 created powers to introduce Public Spaces Protection Order(s). The Order enables Authorised Officers and Police to take specific action in within a defined area as set out within PSPO. The purpose of the report is to

1. Seek approval from Cabinet to authorise the necessary consultation and notification for the extension and variation of the existing PSPO which came into effect 1 October 2015, expiring 30 September 2018;
2. Authorise the Director of Place and Communities to carry out the necessary consultation and notification for variation of the existing car cruising PSPO which came into effect 4 May 2018 subject to sufficient evidence being gathered in line with the requirements under Section 59 of the Act.

## Recommendation(s)

1. **Authority for the Director of Place and Communities to carry out the necessary consultation and notification of the proposed extension and variation of the existing PSPO which came into effect 1 October 2015.**
2. **To carry out evidence gathering on car cruising activities in areas of the district not covered by the existing PSPO and on the basis of sufficient evidence being gathered, the Director of Place and Communities be authorised to carry out the necessary consultation and notification for variation of the existing PSPO.**
3. **That the responses of any consultation relating to recommendations 1 and 2 are considered by the Director of Place and Communities and reported back to Full Council as appropriate.**

## **Reasons for Recommendation(s)**

### **Recommendation 1.**

In line with Section 60, Anti-Social Behaviour, Crime and Policing Act 2014, a PSPO may not have effect for a period of more than 3 years unless extended. The existing PSPO enacted 1 October 2015, relating to a number of dog related issues, alcohol and urinating will therefore expire on 30 September 2018 unless the PSPO is extended. Extending the PSPO ensures that the Council and Police can take suitable action including Fixed Penalty Notices for these types of issues. In addition, evidence has been gathered to support appropriate variation of the PSPO, as detailed within the main body of the report.

### **Recommendation 2.**

In line with Section 59, Anti-Social Behaviour, Crime and Policing Act 2014 there must be evidence to support the need for a PSPO including variation. The report submitted to Cabinet on 30 November 2017 identified and evidenced the issue of car cruising taking place at Junction 27 of the M1 and immediate vicinity. If evidence becomes available, particularly if there is displacement of car cruising to other areas of the district, the Director of Place and Communities will be in a position to expedite the process and carry out the necessary consultation and notification before reporting back to Full Council (as appropriate).

## **Alternative Options Considered**

*(with reasons why not adopted)*

### **Recommendation 1.**

That the Council does not approve the necessary consultation and notification to extend and vary the existing PSPO before it ceases on 30 September 2018. This would mean that officers could not continue to take action including, for instance requesting a person to hand over alcohol, issue a fixed penalty notice or provide evidence for legal action through the Court under this legislation.

This would result in an operational gap, is likely to impact upon the Council's reputation through public awareness and is likely to lead to:

- an increase in dog fouling
- dogs being allowed in children's play areas or in enclosed sports facilities on parks,
- dogs being walked off leads on highways and cemeteries,
- any number of dogs being walked at any time by one person,
- people consuming alcohol and behaving in a manner to cause a nuisance in any of the areas currently specified,
- no method to control a dog (i.e requirement to put a dog on a lead)
- urinating in a public space in any of the areas currently specified.
- 

Furthermore, consultation would not take place on a "direction to move on" within the 8 specified areas within the district, which is proposed to be included in the Order as a variation.

### **Recommendation 2.**

That the Council does not gather evidence to vary the car cruising PSPO. In line with Section 59, Anti-Social Behaviour, Crime and Policing Act 2014, there must be evidence to support the need for a PSPO including variation. The Council will not be in a position to expedite the process of consultation, should sufficient evidence be gathered to support a variation to the existing PSPO for car cruising which came into effect 4 May 2018.

## **Existing PSPO which came into effect 1 October 2015 - Detailed Information on Recommendation 1**

Public Spaces Protection Orders (PSPOs) are intended to deal with a particular nuisance or problem in a particular area that is detrimental to the local community's quality of life. A PSPO works by imposing conditions on the use of that area which apply to everyone. They are designed to ensure that the law-abiding majority can use and enjoy public spaces without experiencing anti-social behaviour. A PSPO remains in place for a period of 3 years unless discharged by the Local Authority.

The existing Public Spaces Protection Order came into effect on 1 October 2015 which brought together and replaced powers the Council had previously introduced under Alcohol Designated Public Place Orders, Dog Control Orders and a previous by-law (urinating) after the introduction of the Anti-social Behaviour, Crime and Policing Act 2014.

This existing Public Spaces Protection Order enables the Council to take preventive or enforcement action in public places on:

- Alcohol consumption in a designated area
- Urinating/defecating within a designated area
- Dog fouling in specified areas
- Failing to produce device or other means or removing dog faeces on demand
- Dog exclusion in specified areas
- Dogs on lead in specified areas
- Dogs on lead by direction
- Dogs specified maximum amount

These are considered in more detail below and in the attachment, which contains the specifics of the new Order and relevant maps and lists of areas. In summary, the attachment contains the following Schedules:

**Schedule 1:** deals with alcohol consumption, urination/defecation, orders to move on (new provision), along with maps showing the relevant areas

**Schedule 2:** deals with dog fouling, requirement to carry dog bags or other suitable receptacles, maximum number of dogs being exercised at one time, dogs on leads by direction. Area to be covered is the whole of Ashfield District, except for Forestry Commission land (unless permitted)

**Schedule 3:** deals with dog exclusion areas and maps are provided along with lists, showing the relevant areas

**Schedule 4:** deals with dogs needing to be on leads in specific areas designated by maps and on lists of areas

### **Detailed information now follows:**

- **Alcohol consumption in a designated area.**

If a person who is drinking alcohol is behaving or likely to behave in a manner to cause nuisance and annoyance an officer can request the person surrender their alcohol or pour it away. Failing to do so allows an officer to take action by means of issuing a Fixed Penalty Notice or provide evidence for legal action through the Court. There are 8 designated areas

in Ashfield where this applies and are highlighted within the drafted PSPO 2015 (as extended and varied 2018) **Schedule 1**.

Proposed Variations: To incorporate additional locations as detailed and specified in the Order and Schedule 1. These are the same locations as urinating and direction to move on.

- **Urinating/defecating within a designated area.**

If a person urinates or defecates within the specified area an officer can take action by means of issuing a Fixed Penalty Notice or provide evidence for legal action through the Court. There are 8 designated areas in Ashfield where this applies and are highlighted within the drafted PSPO 2015 (as extended and varied 2018) Schedule 1.

Proposed Variations: To incorporate additional locations as detailed and specified in the Order and **Schedule 1**. These are the same additions for alcohol/urinating and direction to move on.

- **Dog fouling in specified areas.**

If a person allows a dog they are responsible for at that time to foul and walks away without picking up an officer can take action by means of issuing a Fixed Penalty Notice or provide evidence for legal action through the Court. This relates to the entire district with the exception of forestry commission land as highlighted within **Schedule 2** and accompanying map as drafted.

- **Failing to produce device or other means or removing dog faeces on demand.**

If a person does not produce a device or other means for removing dog faeces upon request an officer can take action by means of issuing a Fixed Penalty Notice or provide evidence for legal action through the Court. This relates to the entire district with the exception of forestry commission land as highlighted within **Schedule 2** and accompanying map as drafted.

- **Dogs on lead by direction.**

If a person does not comply with placing their dog on a lead at the request of an authorised officer, the officer can take action by means of issuing a Fixed Penalty Notice or provide evidence for legal action through the Court. This relates to the entire district with the exception of forestry commission land as highlighted within **Schedule 2** and accompanying map as drafted.

- **Dogs specified maximum amount.**

No more than 6 dogs can be taken out at any one time by one person or an officer can take action by means of issuing a Fixed Penalty Notice or provide evidence for legal action through the Court. This relates to the entire district with the exception of Forestry Commission land as highlighted within **Schedule 2** and accompanying map as drafted.

- **Dog exclusion in specified areas**

Dogs are excluded from specific locations within Ashfield including enclosed children's play areas and enclosed sports facilities on parks i.e. tennis courts, bowling greens. An officer can take action by means of issuing a Fixed Penalty Notice or provide evidence for legal action

through the Court if the person responsible for the dog allows it to enter the exclusion areas as highlighted within **Schedule 3** of the Order and accompanying map as drafted.

Proposed Variations: Additional dog exclusion areas have been included see **schedule 3**.

- **Dogs on leads in specified areas.**

If a person does not comply with placing their dog on a lead on: each and every length of road (including pavements, footways and verges, and the pedestrianised areas and cemeteries and churchyards (detailed as per **Schedule 4** and accompanying map) an officer can take action by means of issuing a Fixed Penalty Notice or provide evidence for legal action through the Court.

The renewal of an existing PSPO also allows for variation including adding a new prohibition. There is evidence from Council Officers and partners supporting the need for a “direction to move on” to be included into this PSPO. This enables the Council to take preventive or enforcement action as follows:

- **Direction to move on (new)–**

If a person is engaging in behaviour that is Anti-social or creating a nuisance or annoyance and fails to move on when asked to do so, an officer can take action by means of issuing a Fixed Penalty Notice or provide evidence for legal action through the Court. There are 8 designated areas in Ashfield where this applies and are highlighted within the drafted PSPO 2015 (as extended and varied 2018) **Schedule 1**.

Proposed Variations: To incorporate ‘direction to move on’ into the Order in the specified areas.

Proposed Extension: The proposed PSPO (as above) will remain in place for a period of 3 years.

Exemptions are in place which are detailed within the Order.

## **Evidence**

The Council has the power to make a PSPO in accordance with sections 59 to 65 of the Anti Social Behaviour Crime and Policing Act 2014. The PSPO can be made if the local authority is satisfied on reasonable grounds that two conditions are met;

1. Activities being carried on, or that are likely to be carried on, in a public place within the authority’s area have a detrimental effect on the quality of life of those in the locality and;
2. The effect, or likely effect of such activities are of a persistent or continuing nature, such as to make the activities unreasonable and justifies the restrictions with the order.

From the initial evidence gathered from Nottinghamshire Police there were 882 alcohol related incidents or crimes recorded on the Police system between July 2015 and June 2017. There were also 894 ASB incidents that were flagged as alcohol related. Until the Police’s NICHE system was introduced alcohol related incidents were not recorded consistently and search of the system took place under a number of alcohol related terms i.e. drunk, vodka, wine, ale, lager, liquor etc. Therefore, the 882 incidents and 894 incidents may include a duplication so cannot be confirmed as totalling 1776. However the data confirms there was in excess of 894 alcohol related ASB incidents that took place during this period. At present this is not broken down by age or beyond June 2017. Community Protection Officers have regularly made use of the powers contained within the existing PSPO and confiscate alcohol from adults within the 8 areas, for instance during May 2018 CPOs made confiscations on two separate evenings. Evidence of all confiscations are contained with CPOs pocketbooks.

Alcohol related street drinking can result in public urination which has been highlighted as an issue by a Police Sergeant in Ashfield. Therefore, evidence of alcohol related ASB supports the requirement to incorporate a power to appropriately respond to urinating in the street.

Unlike the Police, Community Protection Officers are unable to disperse groups drinking or causing Anti-social Behaviour which has a detrimental effect on the quality of life of those in the locality. Community Protection Officers provide daily debriefs which evidences the need for this power.

Dog fouling and dog control issues continue to be a public concern and reported to the Council regularly. During 2017 251 reports of dog fouling were received, and patrolling officers regularly receive reports which are not included within the figures. Additional dog exclusion areas have been included as a result of new enclosed areas being developed and the reports of dog control issues and dog fouling near to parks and play areas.

### **Public Spaces Protection Order which came into effect 4 May 2018 Car Cruising – detailed information on Recommendation 2**

Since the Car Cruising PSPO came into force of 4 May 2018, representation has been made to the police regarding the issue of car cruising at A608 Mansfield Road, Underwood. Additional measures have been requested and an extension to the PSPO to include the Hucknall bypass (A611) was made at Full Council on 24 April 2018. The Police have issued 3 Fixed Penalty Notices (FPN) and the Council have issued 1 FPN of £100 for people participating in the car cruising since 4 May 2018 and any displacement is being monitored. Once evidence is secured, the Director of Place and Communities will be in a position to carry out the necessary consultation for a variation to the existing PSPO before reporting back to Full Council.

The same approach will be taken for the statutory Public Consultation as follows.

#### **1. Public Consultation.**

In accordance with statutory guidelines and detailed in Section 72, Anti-Social Behaviour, Crime and Policing Act 2014 the Council must undertake public consultation. This will include: Chief of Police, appropriate community representatives, owners or occupiers of the land, the Parish Council and the County Council. It is therefore intended that

- Formal Public Notices will be placed in Chad/Dispatch
- Letters will be sent to Partners/statutory consultees
- Letters to be sent to interested parties identified i.e. dog walker clubs/groups
- Letters to be sent to all elected members at district and county level for Ashfield.
- Copies will be placed on the Council's internet site
- Awareness raised through the Council's social media
- Copies of the Orders will be made available in reception
- Awareness raised through screens in reception
- Surveys undertaken in town centres and localities across Ashfield incorporating some of the planned events.

The period of consultation will be 28 days from 15 June to 14 July 2018.

## 2. Cost.

There is no budget in place for the PSPO renewal, therefore cost implications are included as the budget will need establishing or will need to be contained within existing budgets. There are costs associated with purchase of signage including, officer time to install across the district in suitable locations mainly lamppost columns or parks. Some signage that was put in place in 2015 needs replacing following a review already undertaken. Costs have been established:

Publication costs £1,000-£1,200

Signage costs £8,000

Install costs £3,000

The FPN books are out of date and will need replacing. Additional 'hidden' costs are associated with the enforcement action however are included in officers operational time i.e. administration and producing evidence for legal. Legal time will be recharged back to Community Safety.

It must be clearly highlighted that the consultation is not seeking views on whether to incorporate any additional ASB or nuisance issues into this PSPO. The consultation is seeking to ensure there are no material objections or representations with the proposal before final decision on the enactment of the PSPO as it stands by Full Council.

### Implications

#### **Corporate Plan:**

The PSPO will help support the Council's Place aspirations and improve the quality of life for residents affected by these issues. This will help to ensure an effective response by working with our partners to ensure people feel safe and are safe by reducing levels of crime and disorder and tackling public nuisance. As per the Corporate Plan we work with our partners to design services around the needs of individuals and places, rather than institutions; ensuring our financial resources are used in the most effective way.

#### **Legal:**

Section 59 of the Anti-Social Behaviour, Crime and Policing Act 2014 9 ("the Act") provides the authority with the power to make a PSPO if satisfied on reasonable grounds that two conditions are met. Section 60 of the Act provides that a PSPO shall not have effect for longer than 3 years unless extended under this section. Section 61 provides a power to vary a PSPO by increasing or reducing the restricted area; or by altering or removing a prohibition or requirement included in the order, or adding a new one. Section 72 details the requirements for convention rights, consultation, publicity and notification. The authority must have taken into account articles 10 and 11 of the Convention, carried out the necessary consultation and publicity and notification before making, extending or varying or discharging a PSPO.

#### **Finance:**

Budget Area	Implication
General Fund – Revenue Budget	A one-off budget approval of £12,000 may be required to meet the costs identified, if it cannot be contained within the Directorate Budget.
General Fund – Capital Programme	

Housing Revenue Account – Revenue Budget	
Housing Revenue Account – Capital Programme	

**Risk:**

Risk	Mitigation

**Human Resources:**

**Equalities:**

In recommending consultation of the proposed PSPO, consideration has also been had to Articles 10 and 11 of the Human Rights Act 1998 which allows the rights to expression and assembly. However, the Human Rights Act does allow restriction of these human rights for the purposes of the prevention of crime and disorder, or to protect the health or the rights and freedoms of others. The proposals in the PSPOs are intended to ensure that the anti-social behaviours caused by the activities are addressed so that public spaces can be enjoyed without fear or intimidation by the law-abiding majority of the community.

**Other Implications:**

The PSPO is seeking to address issues which impact on quality of life and public safety. These issues can affect both the physical and mental well-being of residents and therefore these proposals would have a significant impact on community well-being.

Communications: a press statement will be published and social media will be regularly updated on progress of both PSPOs.

**Reason(s) for Urgency**

*(if applicable)*

**Reason(s) for Exemption**

*(if applicable)*

**Background Papers**

*(if applicable)*

**Report Author and Contact Officer**

Rebecca Whitehead  
 Community Safety Manager  
[r.whitehead@ashfield.gov.uk](mailto:r.whitehead@ashfield.gov.uk)  
 01623 457349

Carol Cooper-Smith  
 SERVICE DIRECTOR – Place and Communities



**ANTI-SOCIAL BEHAVIOUR, CRIME AND POLICING ACT 2014 (the “Act”)**

**The Public Spaces Protection Order**

**– (Ashfield District Council) 2015 (as extended and varied 2018) (the “Order”)**

Ashfield District Council (“the Authority”), being satisfied that:

- (a) activities as described in articles 1-9 below which are carried on in a public place within the Authority’s area have had a detrimental effect on the quality of life of those in the locality; or
- (b) it is likely that activities will be carried on in a public place within that area and that they will have such an effect.

And that the effect, or likely effect, of the activities:

- (a) is, or is likely to be, of a persistent or continuing nature,
- (b) is, or is likely to be, such as to make the activities unreasonable, and
- (c) justifies the restrictions imposed by this Order.

And that the prohibitions described in articles 1-9 below are reasonable to impose in order—

- (a) to prevent the detrimental effect from continuing, occurring or recurring, or
- (b) to reduce that detrimental effect or to reduce the risk of its continuance, occurrence or recurrence.

And being satisfied on reasonable grounds that extending the period for which The Public Spaces Protection Order – (Ashfield District Council) 2015 (the “2015 Order”) has effect is necessary to prevent—

- (a) occurrence or recurrence after that time of the activities identified in the 2015 Order, or
- (b) an increase in the frequency or seriousness of those activities after that time

And pursuant to section 72 of the Act the Authority:

- (a) having had particular regard to the rights of freedom of expression and freedom of assembly set out in articles 10 and 11 of the European Convention on Human Rights and
- (b) having carried out the necessary consultation, notification and publicity

**HAS DECIDED TO EXTEND AND VARY** the 2015 Order under section 60 and 61 of the Act as follows:

1. The land described in the Schedules to this order (“the Restricted Areas”) being land in the area of the Authority to which the Act applies is land protected by this Order.
2. This Order may be cited as The Public Spaces Protection Order – (Ashfield District Council) 2015 (as extended and varied 2018) (the “Order”) and shall come into force on **1<sup>st</sup> October 2018 and remains in place for a period of 3 years.**

## Definitions

In this Order:

“**Alcohol**” has the meaning given by section 191 of the Licensing Act 2003

“**Authorised Officer**” means an employee of the Authority who is authorised in writing by the Authority for the purpose of this Order

“**Authorised Person**” includes an Authorised Officer and a Police Community Support Officer (PCSO)

“**Prescribed Charity**” means:

- i. Dogs for the Disabled (registered charity number 700454)
- ii. Support Dogs Ltd (registered charity number 1088281)
- iii. Canine Partners (registered charity number 803680)
- iv. Dog Assistance in Disability (Registered Charity Number 1098619)
- v. Medical Detection Dogs (Registered Charity Number 1124533)

“**Public Place**” means any place to which the public or any section of the public has access, on payment or otherwise, as of right or by virtue of express or implied permission

## **Offences**

### **1. Prohibition of Alcohol Consumption**

- 1.1 This article applies to land specified in Schedule 1 of this Order.
- 1.2 No person shall consume alcohol or have an open container of alcohol in their possession on any land to which this article applies subject to the exemptions referred to at Appendix A below.
- 1.3 Where a constable or an Authorised Person reasonably believes that a person is or has been consuming alcohol in breach of the prohibition in 1.2 above, or intends to consume alcohol in circumstances in which doing so would be a breach of that prohibition, under section 63(2) of the Act the constable or Authorised Person may require the person:
  - (a) not to consume, in breach of the Order, alcohol or anything which the constable or Authorised Person reasonably believes to be alcohol;
  - (b) to surrender anything in the person's possession which is, or which the constable or Authorised Person reasonably believes to be, alcohol or a container for alcohol.
- 1.4 A constable or an Authorised Person who imposes a requirement under section 63(2) of the Act must tell the person that failing without reasonable excuse to comply with the requirement is an offence.
- 1.5 A requirement imposed by an Authorised Person under section 63(2) of the Act is not valid if the Authorised Person is asked by the person to show evidence of his or her authorisation and fails to do so.
- 1.6 A constable or an Authorised Person may dispose of anything surrendered under section 63(2)(b) of the Act in whatever way he or she thinks appropriate.
- 1.7 A person who fails without reasonable excuse to comply with a requirement imposed on him or her under section 63(2) of the Act commits an offence and is liable on summary conviction to a fine not exceeding level 2 on the standard scale.

### **2. Urinating**

- 2.1 This article applies to land specified in Schedule 1 of this Order.
- 2.2 A person commits an offence if they urinate or defecate on any land to which this article applies unless:
  - (a) he has a reasonable excuse for doing so; or
  - (b) the owner, occupier or other person or authority having control of the land has expressly consented to his doing so.

2.3 In accordance with section 67 of the Act a person who is guilty of an offence under article 2 shall be liable on summary conviction to a fine not exceeding level 3 on the standard scale.

### **3. Direction to Move On**

3.1 This article applies to land specified in Schedule 1 of this Order.

3.2 A person commits an offence if they fail to comply immediately with a direction by a constable or an Authorised Person to move on from any location on any land to which this article applies to such distance from that location and for such a time period as specified by the constable or Authorised Person unless:

(a) he has a reasonable excuse for failing to do so; or

(b) the owner, occupier or other person or authority having control of the land has expressly consented to his failing to do so.

3.3 A constable or an Authorised Person may only give a direction under this article if such direction is reasonably necessary to prevent nuisance or behaviour by a person that is likely to cause annoyance or disturbance to any other person.

3.4 In accordance with section 67 of the Act a person who is guilty of an offence under article 3 shall be liable on summary conviction to a fine not exceeding level 3 on the standard scale.

### **4. Dog Fouling**

4.1 This article applies to land specified in Schedule 2 of this Order

4.2 If a dog defecates at any time on any land to which this article applies and a person who is in charge of the dog at that time fails to remove the faeces from the land forthwith, that person shall be guilty of an offence unless—

(a) he has a reasonable excuse for failing to do so; or

(b) the owner, occupier or other person or authority having control of the land has expressly consented to his failing to do so.

4.3 For the purposes of this article:

(a) A person who habitually has a dog in his possession shall be taken to be in charge of the dog at any time unless at that time some other person is in charge of the dog;

(b) placing the faeces in a receptacle on the land which is provided for the purpose, or for the disposal of waste, shall be a sufficient removal from the land;

(c) being unaware of the defecation (whether by reason of not being in the vicinity or otherwise) or not having a device for or other suitable means of removing the faeces shall not be a reasonable excuse for failing to remove the faeces;

4.4 In accordance with section 67 of the Act a person who is guilty of an offence under article 4 shall be liable on summary conviction to a fine not exceeding level 3 on the standard scale.

#### **5. Failure to produce device or other suitable means of removing dog faeces on demand**

5.1 This article applies to land specified in Schedule 2 of this Order.

5.2 If at any time on any land to which this article applies a person who is in charge of a dog at any time fails to produce forthwith a device for or other suitable means of removing dog faeces (whether or not the dog has defecated) when asked to do so by a constable or an Authorised Person, that person shall be guilty of an offence unless:

(a) he has a reasonable excuse for failing to do so; or

(b) the owner, occupier or other person or authority having control of the land has expressly consented to his failing to do so.

5.3 For the purposes of this article, a person who habitually has a dog in his possession shall be taken to be in charge of the dog at any time unless at that time some other person is in charge of the dog.

5.4 In accordance with section 67 of the Act a person who is guilty of an offence under article 5 shall be liable on summary conviction to a fine not exceeding level 3 on the standard scale.

#### **6. Dog Exclusion**

6.1 This article applies to land specified in Schedule 3 of this Order

6.2 A person who is in charge of a dog shall be guilty of an offence if, at any time, he takes the dog onto, or permits the dog to enter or to remain on, any land to which this article applies unless—

(a) he has a reasonable excuse for doing so; or

(b) the owner, occupier or other person or authority having control of the land has expressly consented to his doing so.

6.3 For the purposes of this article, a person who habitually has a dog in his possession shall be taken to be in charge of the dog at any time unless at that time some other person is in charge of the dog.

6.4 In accordance with section 67 of the Act a person who is guilty of an offence under article 6 shall be liable on summary conviction to a fine not exceeding level 3 on the standard scale.

## **7 Dogs on Leads**

7.1 This article applies to land specified in Schedule 4 of this order

7.2 A person who is in charge of a dog shall be guilty of an offence if, at any time, on any land to which this article applies he does not keep the dog on a lead of not more than five (5) metres in length, unless—

- (a) he has a reasonable excuse for failing to do so; or
- (b) the owner, occupier or other person or authority having control of the land has expressly consented to his failing to do so.

7.3 For the purposes of this article, a person who habitually has a dog in his possession shall be taken to be in charge of the dog at any time unless at that time some other person is in charge of the dog.

7.4 In accordance with section 67 of the Act a person who is guilty of an offence under article 7 shall be liable on summary conviction to a fine not exceeding level 3 on the standard scale.

## **8 Dogs on Lead by direction**

8.1 This article applies to land specified in Schedule 2 of this Order.

8.2 A person who is in charge of a dog shall be guilty of an offence if, at any time, on any land to which this article applies, he does not comply with a direction given to him by a constable or an Authorised Person to put and keep the dog on a lead of not more than five (5) metres in length, unless—

- (a) he has a reasonable excuse for failing to do so; or
- (b) the owner, occupier or other person or authority having control of the land has expressly consented to his failing to do so.

8.3 For the purposes of this article:

- (a) a person who habitually has a dog in his possession shall be taken to be in charge of the dog at any time unless at that time some other person is in charge of the dog
- (b) a constable or an Authorised Person may only give a direction under this article to put and keep a dog on a lead if such restraint is reasonably necessary to prevent a nuisance or behaviour by the dog likely to cause annoyance or

disturbance to any other person on any land to which this article applies or the worrying or disturbance of any animal or bird.

8.4 In accordance with section 67 of the Act a person who is guilty of an offence under article 8 shall be liable on summary conviction to a fine not exceeding level 3 on the standard scale

## **9 Dogs Specified Maximum Amount**

9.1 This article applies to land specified in the Schedule 2 of this Order.

9.2 A person who is in charge of more than one dog shall be guilty of an offence if, at any time, he takes onto any land to which this article applies more than six (6) dogs, unless—

- (a) he has a reasonable excuse for doing so; or
- (b) the owner, occupier or other person or authority having control of the land has expressly consented to his doing so.

9.3 For the purposes of this article, a person who habitually has a dog in his possession shall be taken to be in charge of the dog at any time unless at that time some other person is in charge of the dog.

9.4 In accordance with section 67 of the Act a person who is guilty of an offence under article 9 shall be liable on summary conviction to a fine not exceeding level 3 on the standard scale.

### **Exemptions**

Nothing in articles 4, 5 and 6 shall apply to a person who has a disability which affects his sight, hearing, mobility, manual dexterity, physical coordination or ability to lift, carry or otherwise move everyday objects, in respect of a dog trained by a prescribed charity and upon which he relies for assistance.

### **Fixed Penalties**

A constable or an Authorised Person may issue a fixed penalty notice to anyone he or she has reason to believe has committed an offence under section 63 or 67 in relation to a public spaces protection order.

**EXECUTED AS A DEED** by affixing )  
**THE COMMON SEAL** of )  
**ASHFIELD DISTRICT COUNCIL** )  
This day of 2018 )  
In the presence of :- )  
**Chairman:**

**Authorised Officer:**

## Appendix A

Section 62 of the Act - Premises etc. to which alcohol prohibition does not apply

(1) A prohibition in a public spaces protection order on consuming alcohol does not apply to—

(a) premises (other than council-operated licensed premises) Authorised by a premises licence to be used for the supply of alcohol;

(b) premises Authorised by a club premises certificate to be used by the club for the supply of alcohol;

(c) a place within the curtilage of premises within paragraph (a) or (b);

(d) premises which by virtue of Part 5 of the Licensing Act 2003 may at the relevant time be used for the supply of alcohol or which, by virtue of that Part, could have been so used within the 30 minutes before that time;

(e) a place where facilities or activities relating to the sale or consumption of alcohol are at the relevant time permitted by virtue of a permission granted under section 115E of the Highways Act 1980 (highway-related uses).

(2) A prohibition in a public spaces protection order on consuming alcohol does not apply to council-operated licensed premises—

(a) when the premises are being used for the supply of alcohol, or

(b) within 30 minutes after the end of a period during which the premises have been used for the supply of alcohol.

(3) In this section—

“club premises certificate” has the meaning given by section 60 of the Licensing Act 2003;

“premises licence” has the meaning given by section 11 of that Act;

“supply of alcohol” has the meaning given by section 14 of that Act.

(4) For the purposes of this section, premises are “council-operated licensed premises” if they are Authorised by a premises licence to be used for the supply of alcohol and—

(a) the licence is held by a local authority in whose area the premises (or part of the premises) are situated, or

(b) the licence is held by another person but the premises are occupied by a local authority or are managed by or on behalf of a local authority.



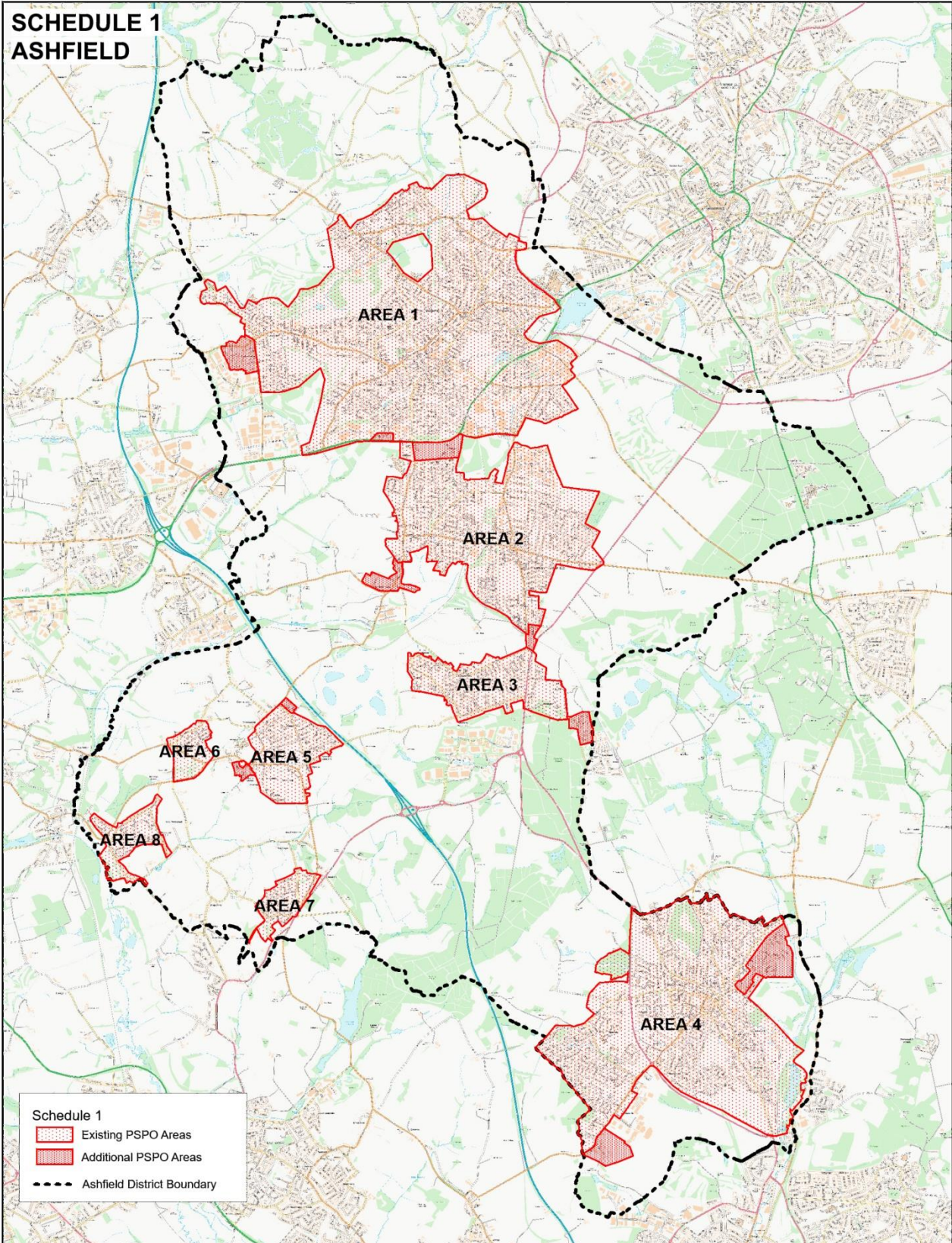
**The Public Spaces Protection Order**  
**– (Ashfield District Council) 2015 (as extended and varied 2018)**




Schedule 1

Public spaces within Areas 1-8 (shown edged in red and shaded in red on the plans attached), being Public Places in the Authority's area to which the Act applies.

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**SCHEDULE 1  
ASHFIELD**



**Schedule 1**  
 Existing PSPO Areas  
 Additional PSPO Areas  
 Ashfield District Boundary

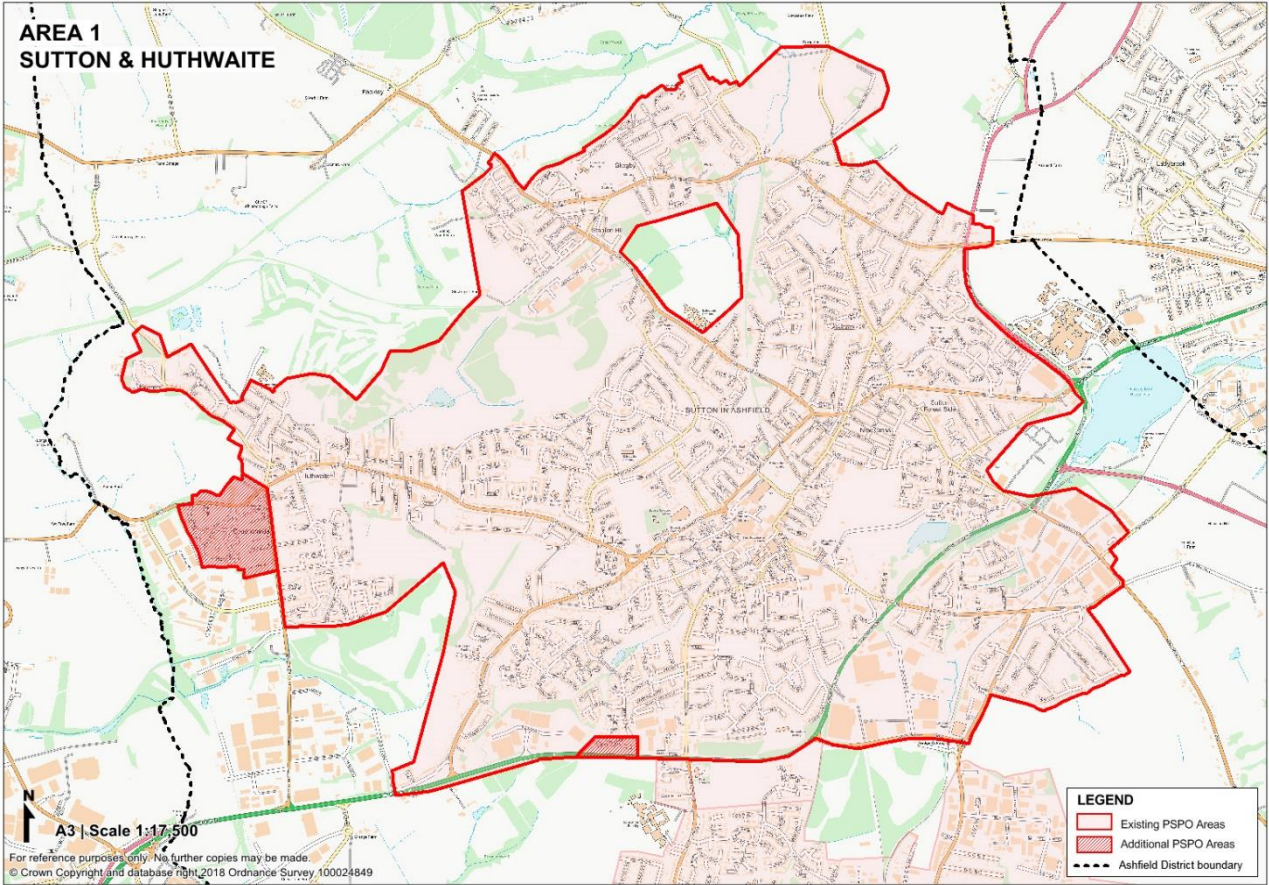
**SCHEDULE 1  
ALCOHOL CONSUMPTION  
URINATING  
DIRECTION TO MOVE ON**



22 May 2018  
A3 | Scale: 1 to 50,000

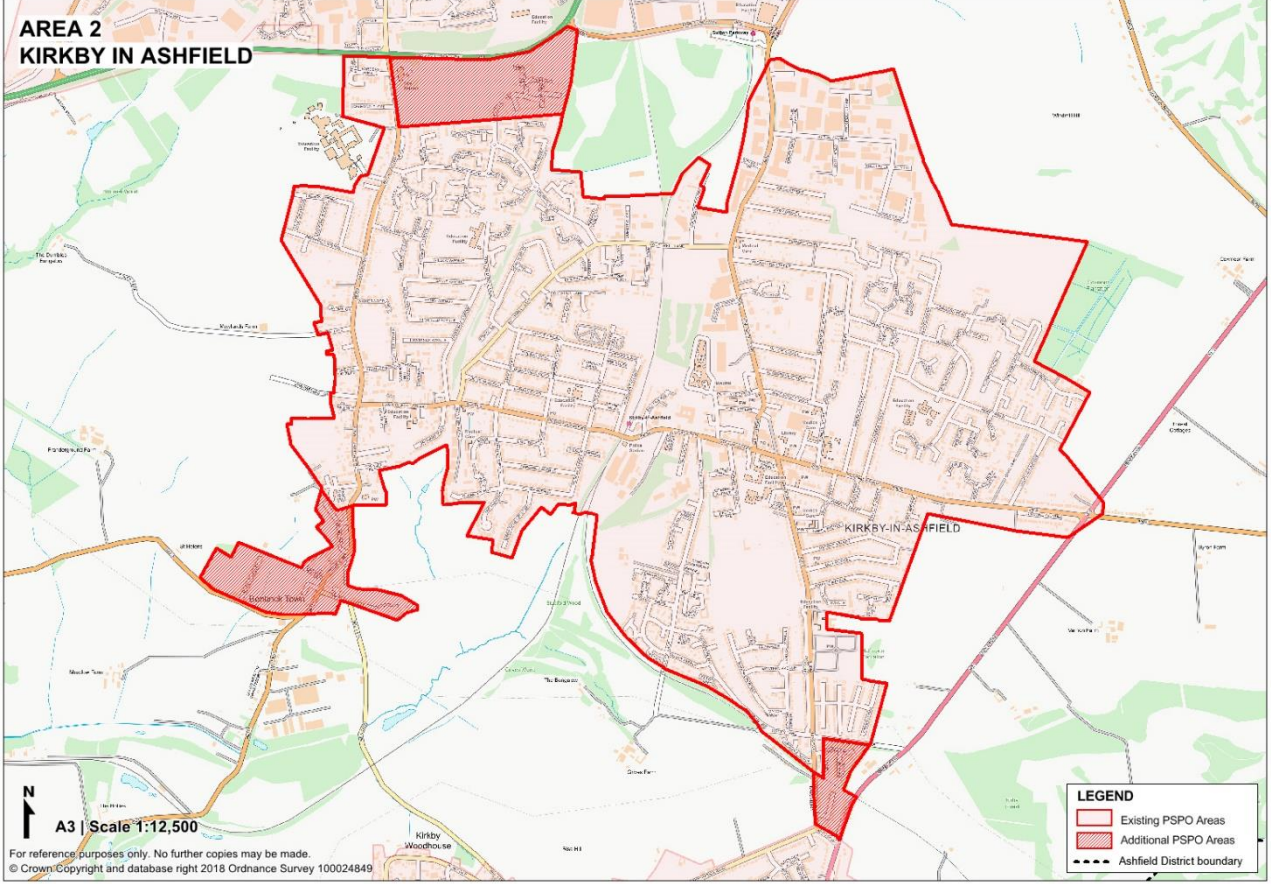
Ashfield District Council  
Urban Road  
Kirby in Ashfield  
Nottingham  
NG17 8DA

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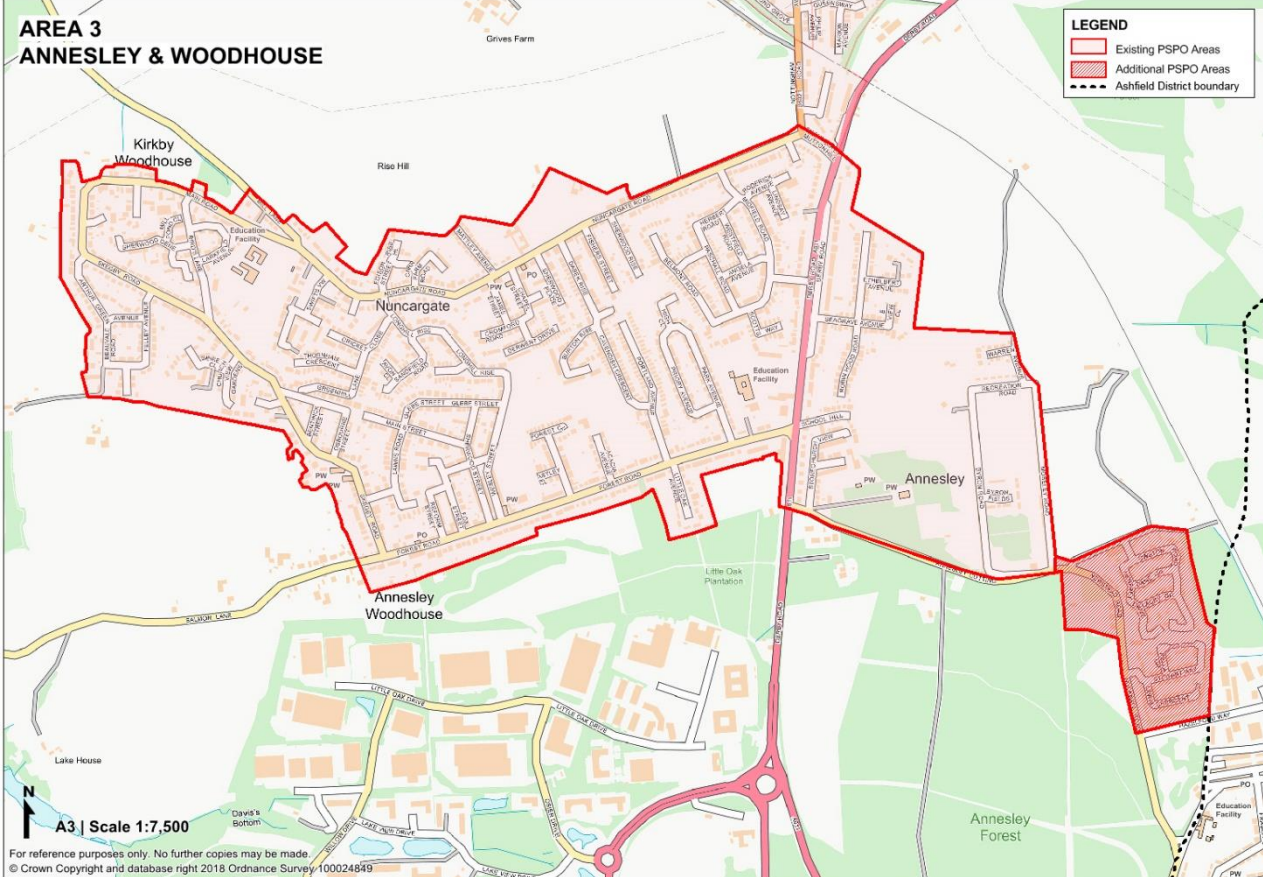
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**AREA 2  
KIRKBY IN ASHFIELD**

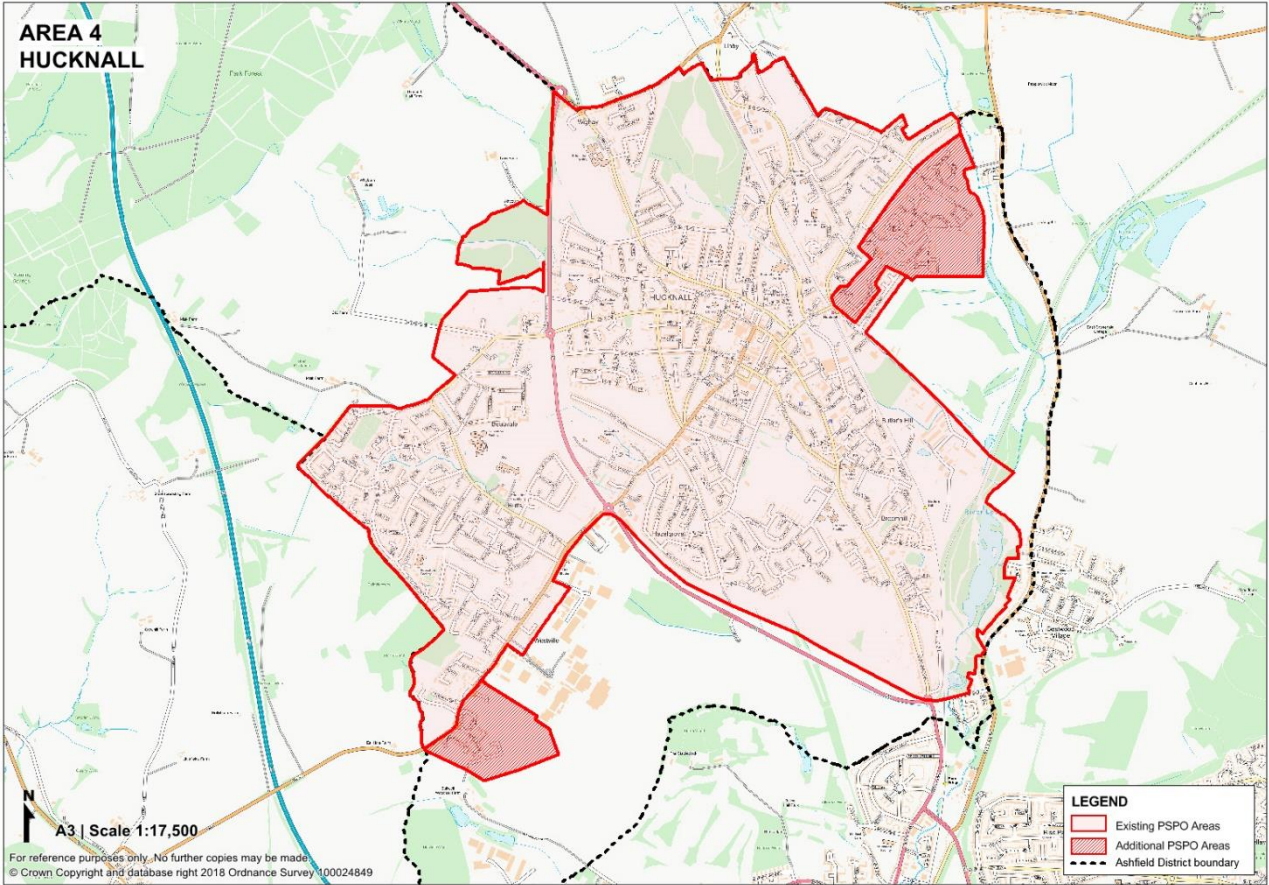


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**AREA 3  
ANNESLEY & WOODHOUSE**

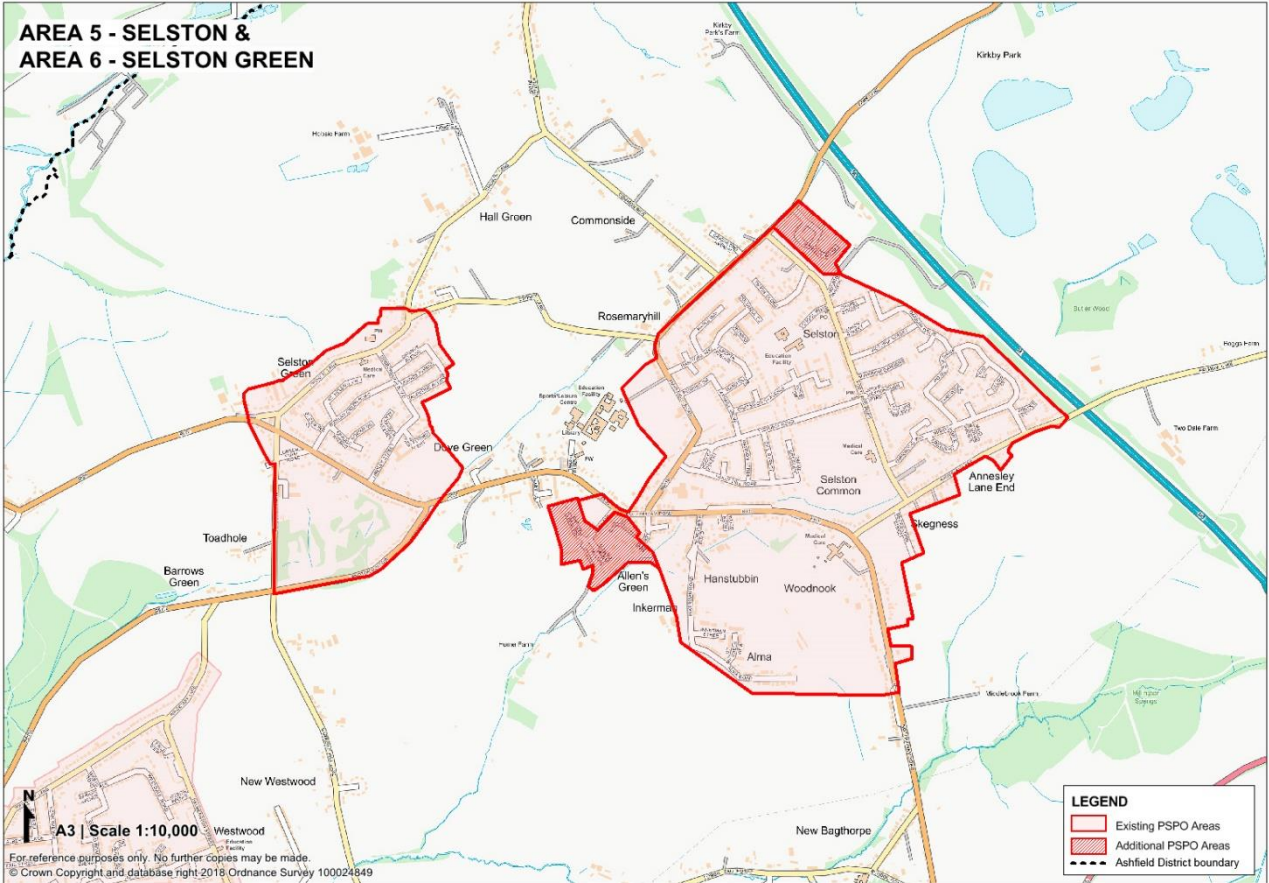


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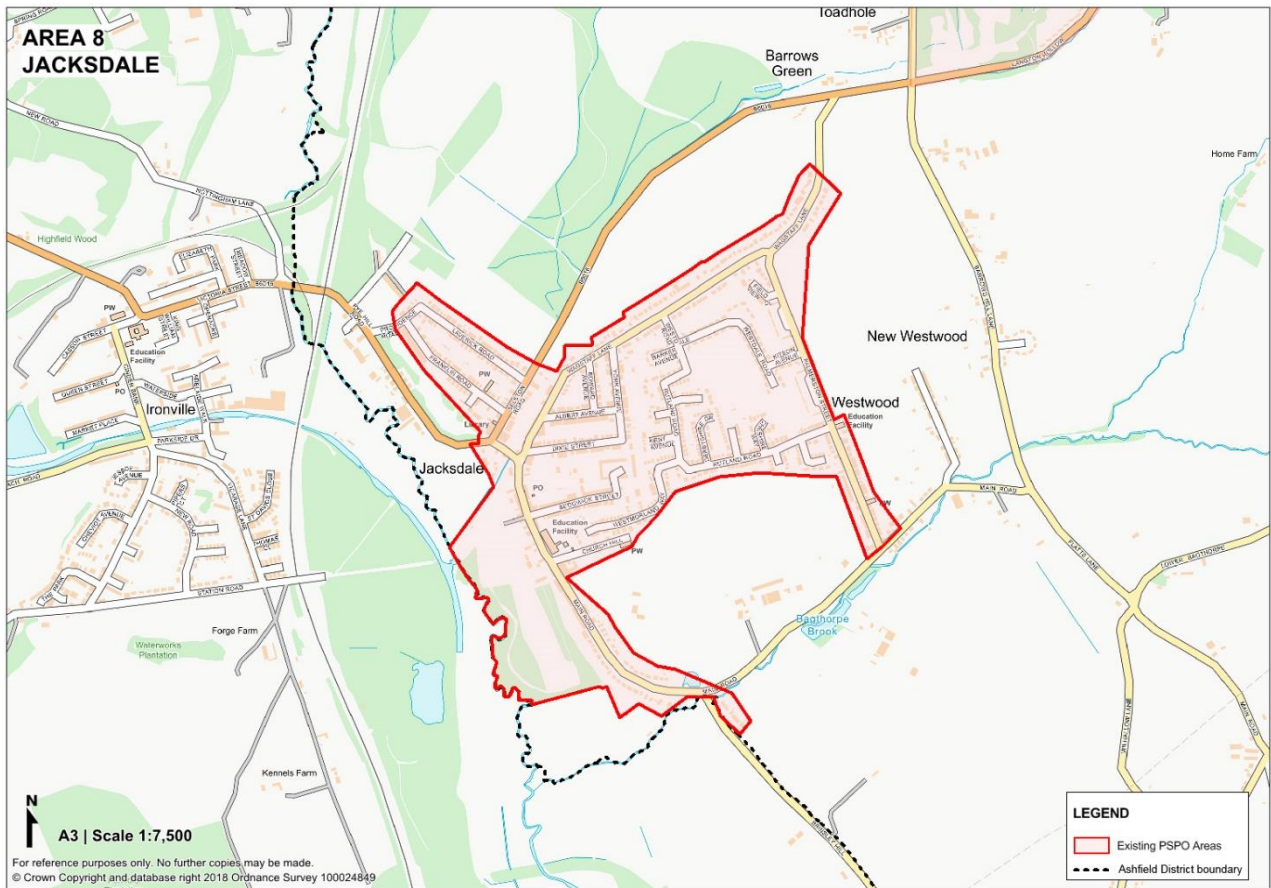
**AREA 5 - SELSTON &  
AREA 6 - SELSTON GREEN**



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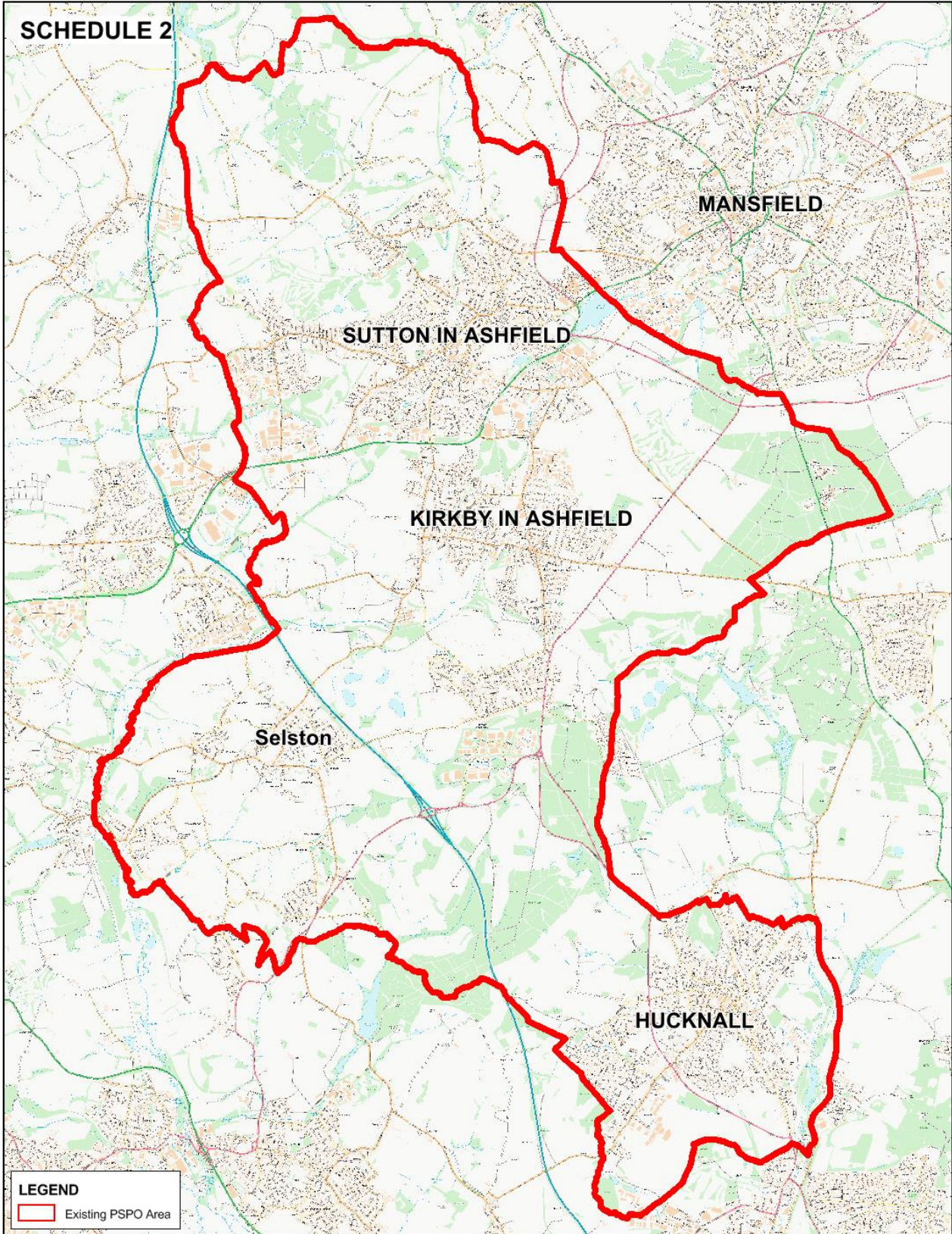
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**The Public Spaces Protection Order**  
**– (Ashfield District Council) 2015 (as extended and varied 2018)**

Schedule 2

1. Subject to the exception in paragraph 2 below, public spaces within the area shown edged in red on the plan attached, being Public Places in the Authority's area to which the Act applies.
2. Excepted from the description in paragraph 1 above is land that is placed at the disposal of the Forestry Commissioners under section 39(1) of the Forestry Act 1967

DRAFT



**SCHEDULE 2**  
**DOG FOULING**  
**FAILURE TO PRODUCE A SUITABLE MEANS OF REMOVING DOG FAECES**  
**DOGS ON LEAD BY DIRECTION**  
**DOGS SPECIFIED MAXIMUM AMOUNT**

22 May 2018  
 A3 | Scale: 1 to 50,000

Ashfield District Council  
 Urban Road  
 Kirkby in Ashfield  
 Nottingham  
 NG17 8DA

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## The Public Spaces Protection Order

### – (Ashfield District Council) 2015 (as extended and varied 2018)

#### Schedule 3

Public spaces described in the following Schedule and shown within the areas coloured in red on the plans attached, being Public Places in the Authority's area to which the Act applies, and which is signed at its entrance(s) as a "Dog Exclusion Area" (whether the sign uses those particular words or words and/or symbols having like effect)

#### Land Designated Specifically:

##### **1. Sutton-in-Ashfield**

- 1.1 The children's play area at Stoneyford Road Recreation Ground
- 1.2 The children's play area and ball court at The Oval Recreation Ground
- 1.3 The children's play area at Brierley Country Park, Huthwaite
- 1.4 The children's play area, the tennis courts, the bowling green, the all weather football pitch and the ball court at Sutton Lawn Pleasure Ground
- 1.5 The children's play area and ball court at Cowpasture Lane Recreation Ground
- 1.6 The children's play area at the John Whetton Recreation Ground (Roundhills),
- 1.7 The children's play area at Stamper Crescent Recreation Ground
- 1.8 The children's play area, the ball court, and the fitness area at Healdswood Recreation Ground
- 1.9 The children's play area at Brand Lane Recreation Ground
- 1.10 The children's play area at Hill Crescent Recreation Ground
- 1.11 The children's play area at Bluebell Wood Way Recreation Ground
- 1.12 The children's play area at Sudbury Drive Recreation Drive
- 1.13 The children's play area at Charnwood Street Recreation Ground
- 1.14 The children's play area at Springwood View Close Recreation Ground
- 1.15 The children's play area, ball court, tennis court, and the bowling green at the Welfare Grounds, Huthwaite, Sutton in Ashfield.

##### **2. Kirkby-in-Ashfield**

- 2.1 The children's play area at Mayfield Street Recreation Ground
- 2.2 The children's play area, the all-weather football pitch, the youth area/skate park, and the tennis courts at Kingsway Park
- 2.3 The children's play area, tennis courts, bowling green and additional enclosed area at Titchfield Park
- 2.4 The children's play area at Morvern Park, Welbeck Street
- 2.5 The children's play area, at Beacon Drive Recreation Ground
- 2.6 The children's play area at Forester Street Recreation Ground (attached to West Park)
- 2.7 The children's play area at Orchid Close Recreation Ground
- 2.8 The ball court at West Park Recreation Ground

### **3. Annesley / Annesley Woodhouse**

- 3.1 The children's play area at The Steeples Recreation Ground, Annesley Woodhouse
- 3.2 The children's play area and ball court at Cavendish Crescent Recreation Ground, Annesley Woodhouse
- 3.3 The children's play area at Byron Road Recreation Ground, Annesley
- 3.4 The children's play area at Nuncargate Road Recreation Ground, Annesley Woodhouse

### **4. Hucknall**

- 4.1 The children's play equipment areas, the bowling green, skate park, tennis court, and basketball court, at Titchfield Park
- 4.2 The children's play area and basketball ground at Bestwood Road Recreation Ground
- 4.3 The children's play area at the Leisure Centre Recreation Ground, Linby Road
- 4.4 The children's play areas at Nabbs Lane Recreation Ground
- 4.5 The children's play area at Milton Rise Recreation Ground
- 4.6 The children's play area at Snowdrop Close
- 4.7 The children's play area at Washdyke Lane

### **5. Selston**

- 5.1 The children's play area and skate park at Nottingham Road Recreation Ground
- 5.2 The children's play area at Valentine Avenue Recreation Ground
- 5.4 The children's play area at Green Well Park
- 5.5 The children's play area at Green Farm Road Recreation Ground
- 5.5 The children's play area at Jubilee Recreation Ground
- 5.6 The children's play area at New Selston Recreation Ground

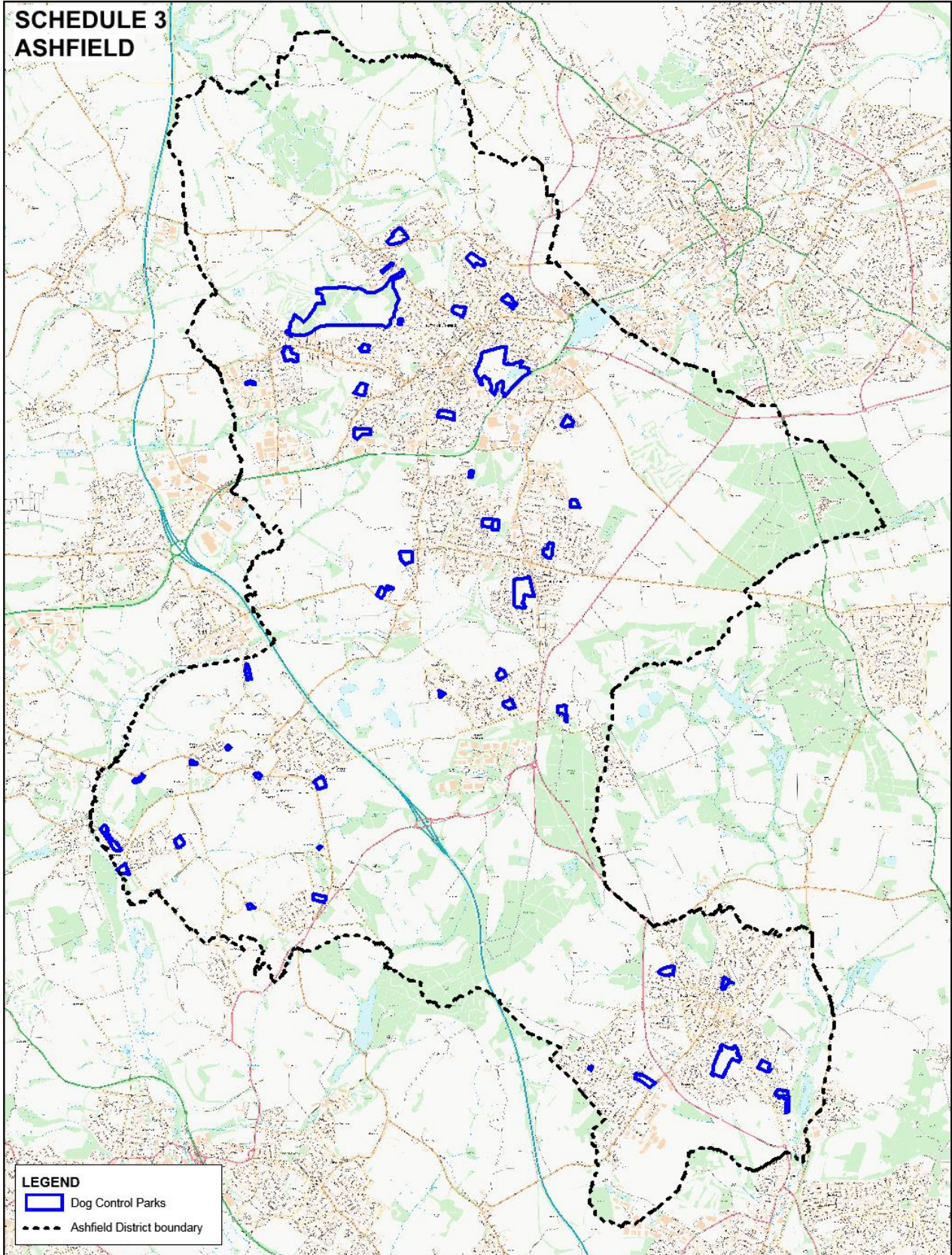
### **6. Jacksdale**

- 6.1 The children's play area at Palmerston Street Recreation Ground, Westwood.
- 6.2 The children's play area at Pye Hill Road Recreation Ground.
- 6.3 The children's play area and skate park at Main Road Recreation Ground



### **7. Underwood**

- 7.1 The children's play area at Underwood Hill Recreation Ground
- 7.2 The children's play area at Middlebrook Road Recreation Ground
- 7.3 The children's play area at Church Lane Recreation Ground

**SCHEDULE 3  
ASHFIELD**



**LEGEND**

-  Dog Control Parks
-  Ashfield District boundary

**SCHEDULE 3  
PARKS WITH DOG EXCLUSION AREAS**

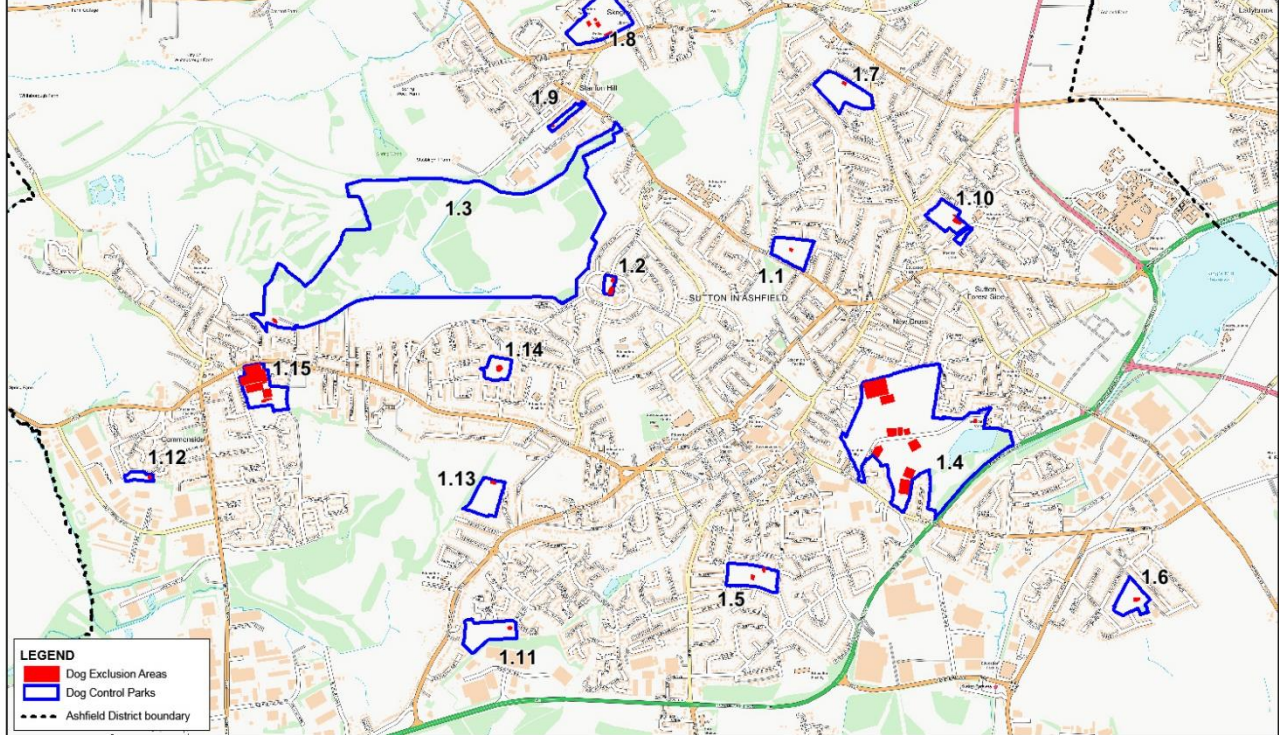
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21 May 2018  
A3 | Scale: 1 to 50,000

Ashfield District Council  
Urban Road  
Kirkby in Ashfield  
Nottingham NG17 8DA

**SCHEDULE 3  
SUTTON IN ASHFIELD**



**SCHEDULE 3  
DOG EXCLUSION AREAS**

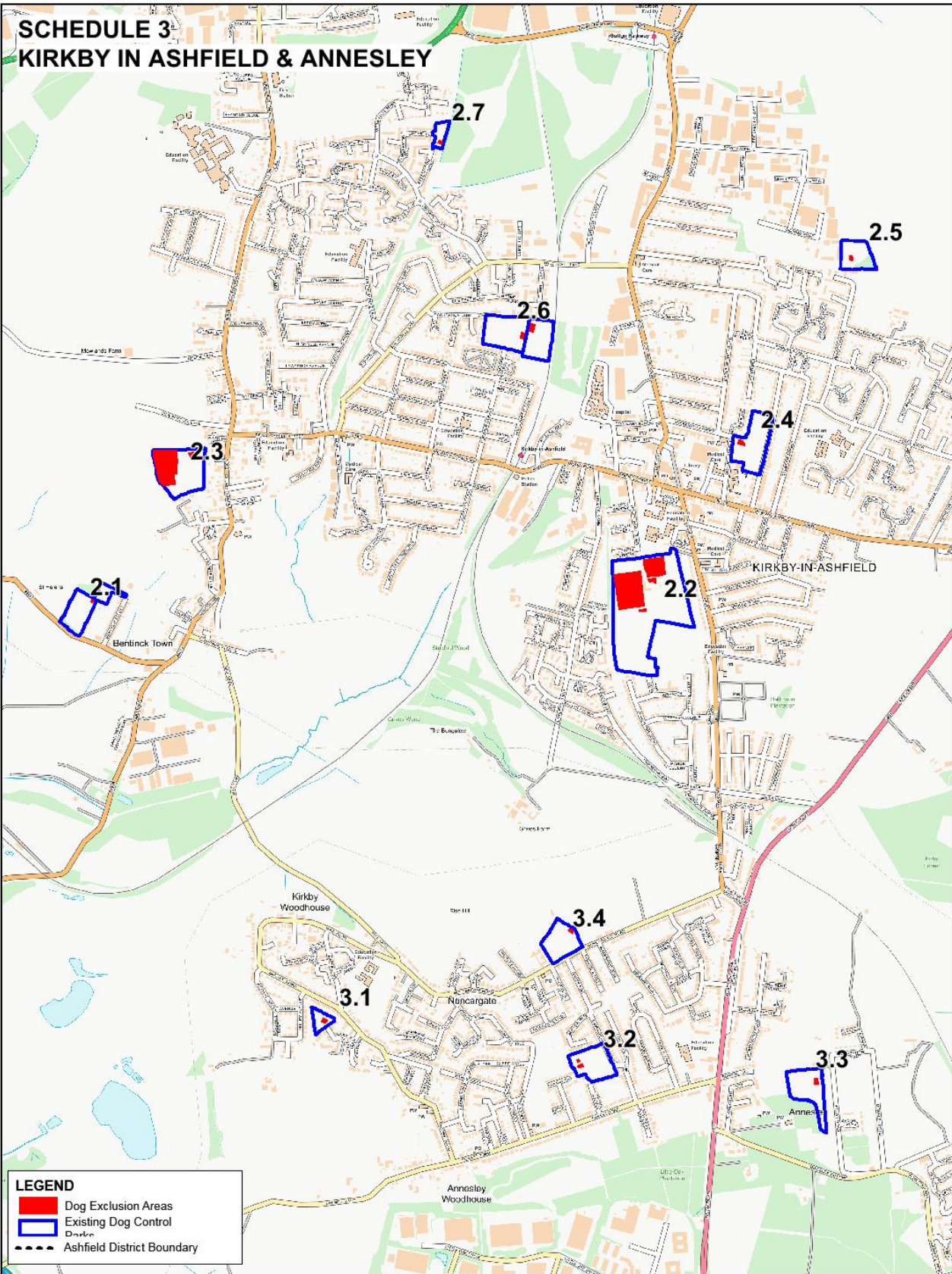
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21 May 2018  
A3 | Scale: 1 to 15,000

Ashfield District Council  
Urban Road  
Kirkby in Ashfield  
Nottingham NG17 8DA

DRAFT



**SCHEDULE 3  
DOG EXCLUSION AREAS**

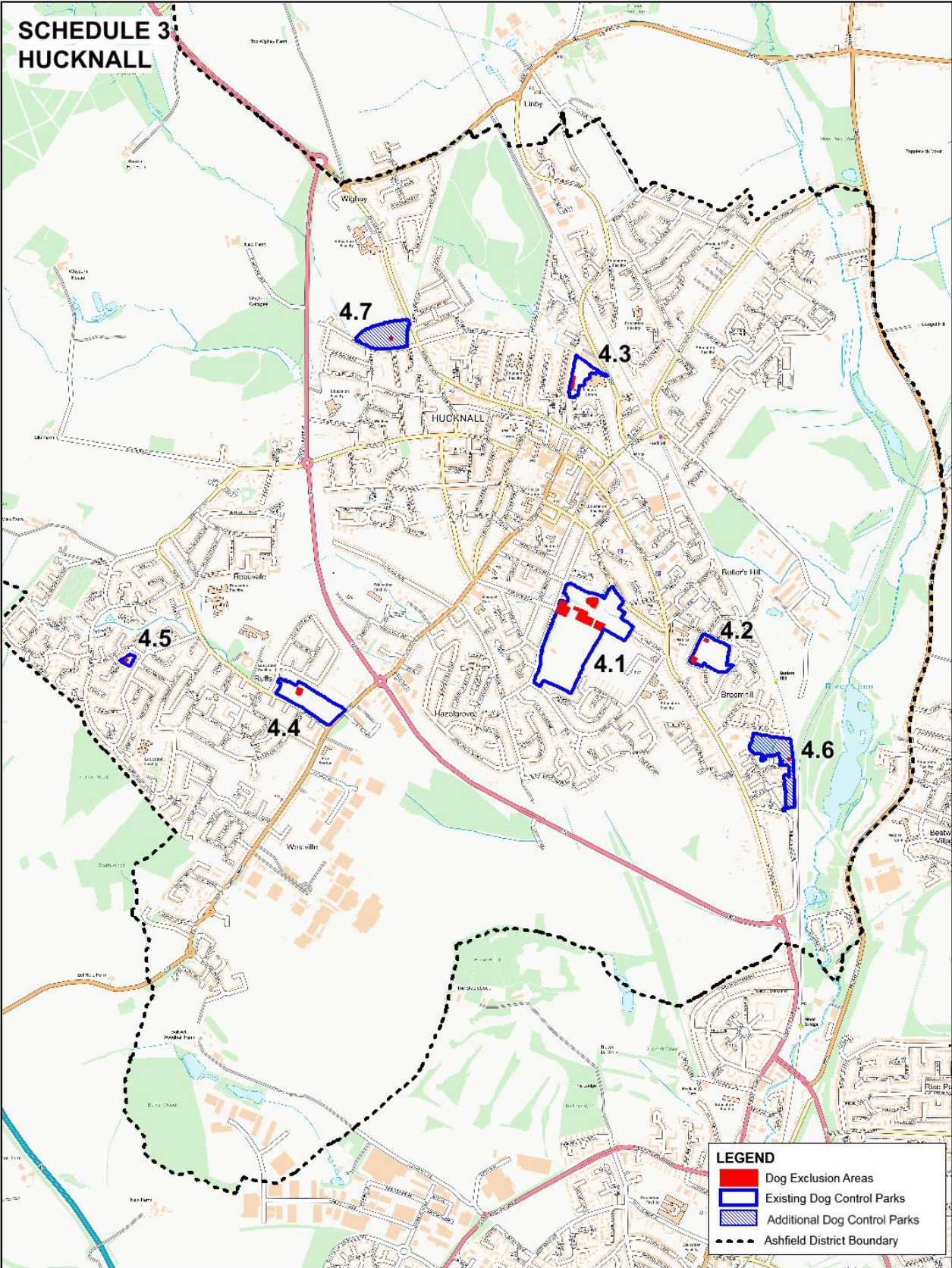
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22 May 2018  
A3 | Scale: 1 to 12,500

Ashfield District Council  
Urban Road  
Kirkby in Ashfield  
Nottingham  
NG17 8DA





**SCHEDULE 3  
DOG EXCLUSION AREAS**

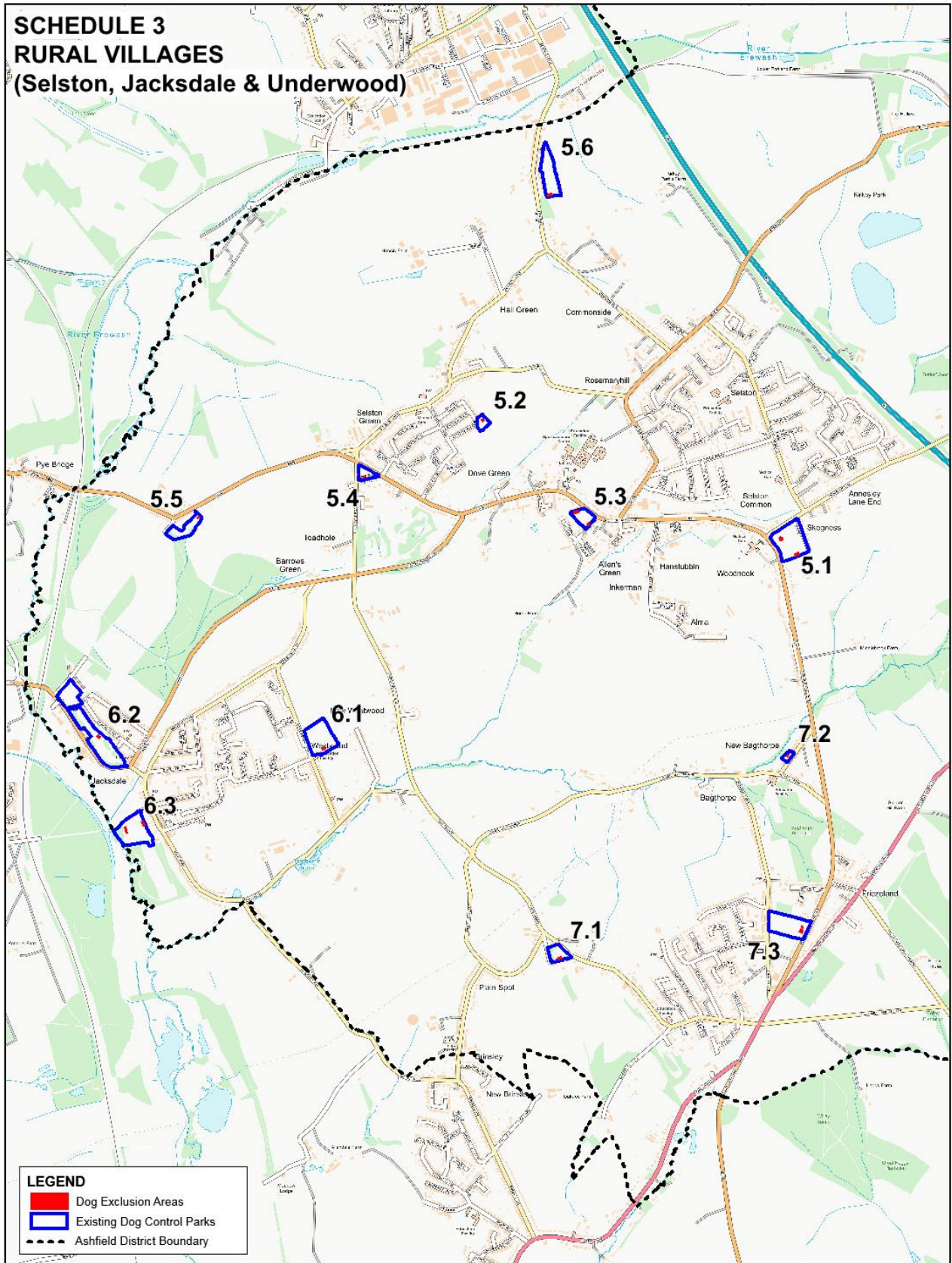
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22 May 2018  
A3 | Scale: 1 to 15,000

Ashfield District Council  
Urban Road  
Kirkby in Ashfield  
Nottingham  
NG17 8DA

**SCHEDULE 3  
RURAL VILLAGES  
(Selston, Jacksdale & Underwood)**



**SCHEDULE 3  
DOG EXCLUSION AREAS**

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22 May 2018  
A3 | Scale: 1 to 15,000

Ashfield District Council  
Urban Road  
Kirkby in Ashfield  
Nottingham  
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## The Public Spaces Protection Order

### – (Ashfield District Council) 2015 (as extended and varied 2018)

#### Schedule 4

Public spaces described in the following Schedule, being Public Places in the Authority's area to which the Act applies, and which is signed as "Dogs on leads area" (whether the sign uses those particular words or words and/or symbols having like effect)

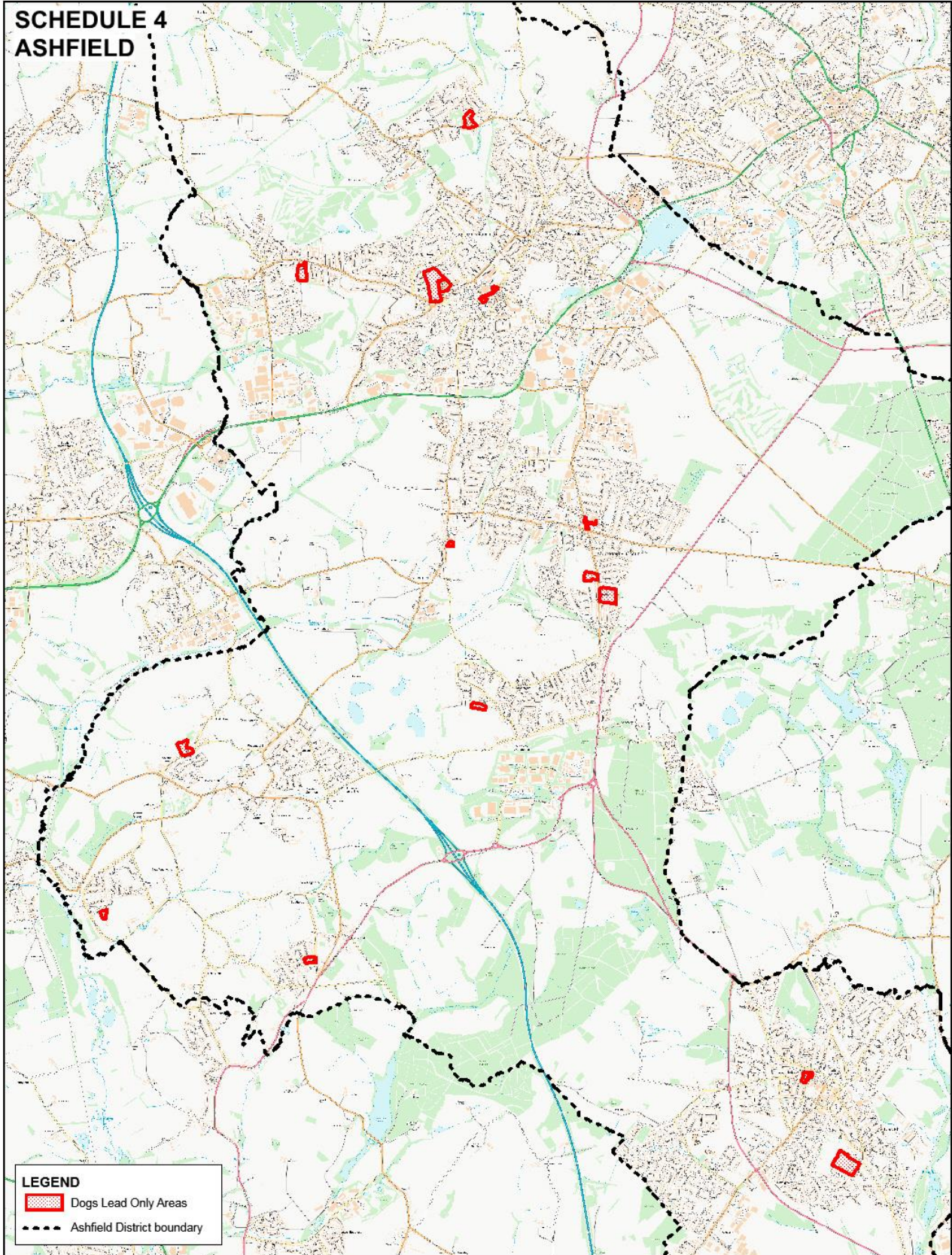
#### Land Designated Specifically:

1. Each and every length of road (which term includes adjoining pavements, footways and verges) except public footpaths and bridleways



The following areas which are shown edged in red and shaded in red on the plans attached hereto:

2. The following pedestrianised areas: (a) Hucknall Market Place, Hucknall (b) Kirkby Precinct, Kirkby-in-Ashfield (c) Portland Square, Low Street and Sutton Market Place, Sutton-in-Ashfield
3. Cemeteries and churchyards:
  - Hucknall: St Mary Magdalene Church, Hucknall Cemetery
  - Kirkby-in-Ashfield: St Wilfrids Church, Kingsway Old Cemetery, Kingsway New Cemetery, Annesley Woodhouse Cemetery
  - Sutton-in-Ashfield: St Andrews Church, St Mary Magdalenes Church, Sutton Cemetery, Huthwaite Cemetery
  - Rural Villages (Selston, Jacksdale and Underwood): St Helens Church, St Marys Church, St Michaels and All Angels Church

**SCHEDULE 4  
ASHFIELD**



**LEGEND**

-  Dogs Lead Only Areas
-  Ashfield District boundary

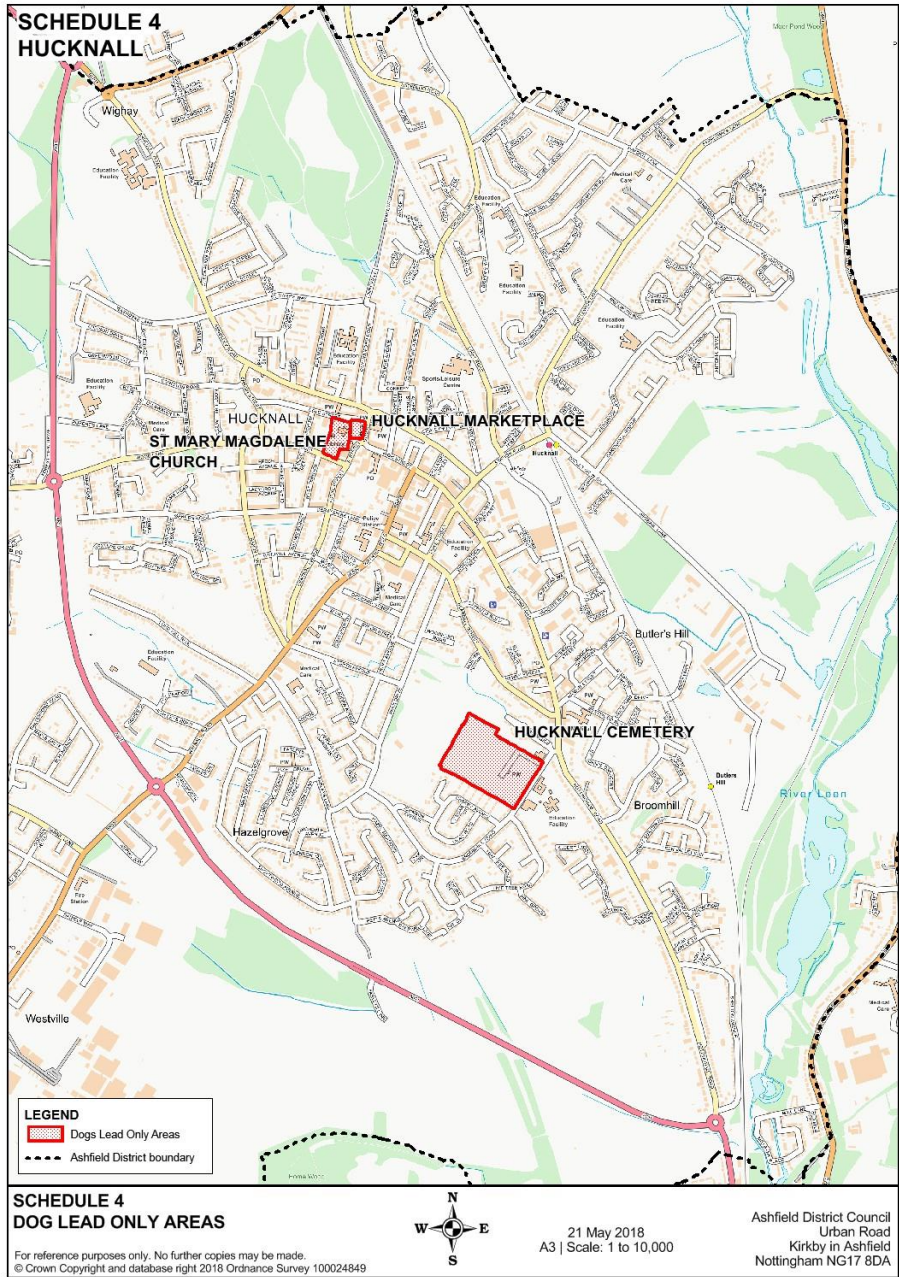
**SCHEDULE 4  
DOG LEAD ONLY AREAS**

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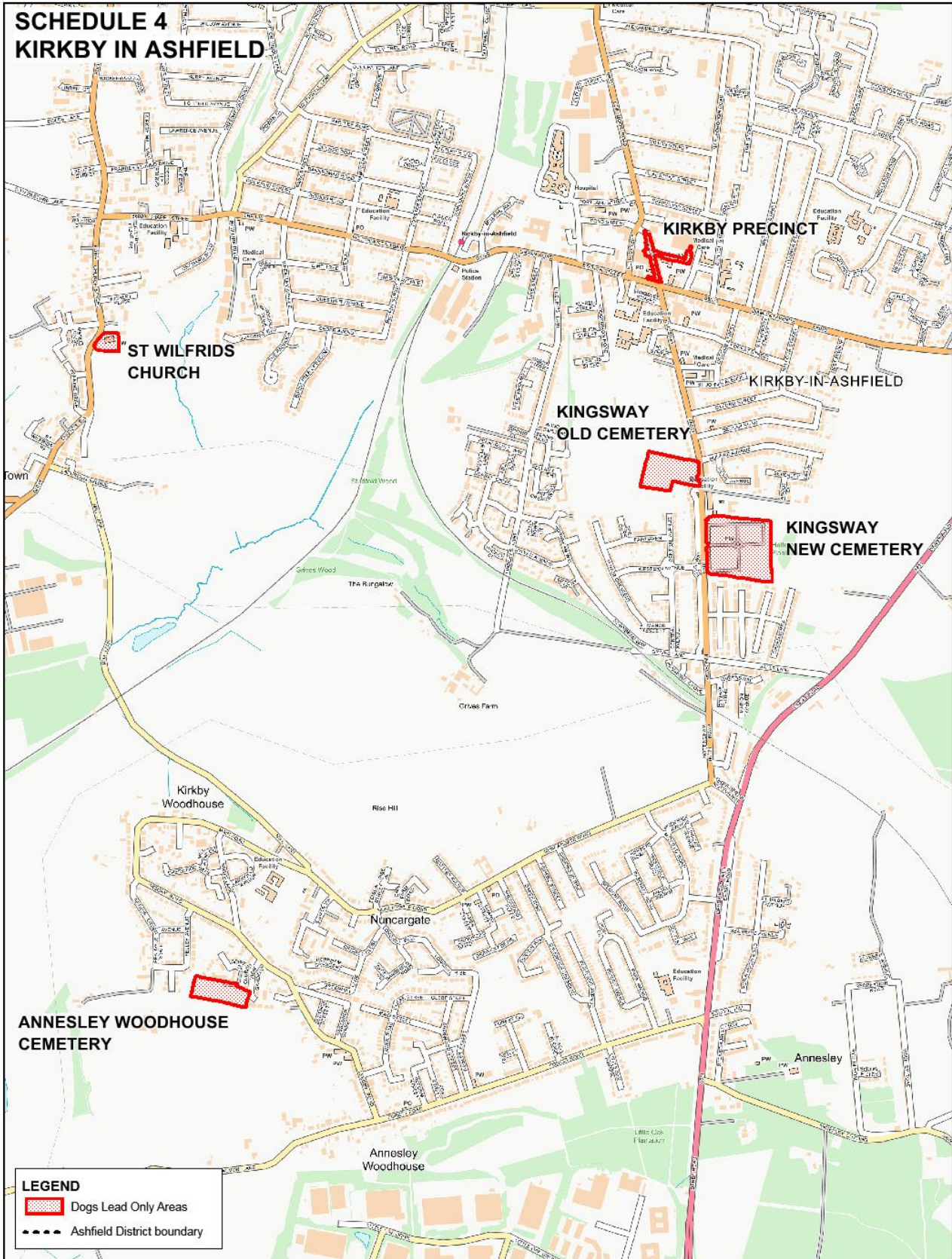


21 May 2018  
A3 | Scale: 1 to 40,000

Ashfield District Council  
Urban Road  
Kirkby in Ashfield  
Nottingham NG17 8DA



**SCHEDULE 4  
KIRKBY IN ASHFIELD**



**SCHEDULE 4  
DOG LEAD ONLY AREAS**

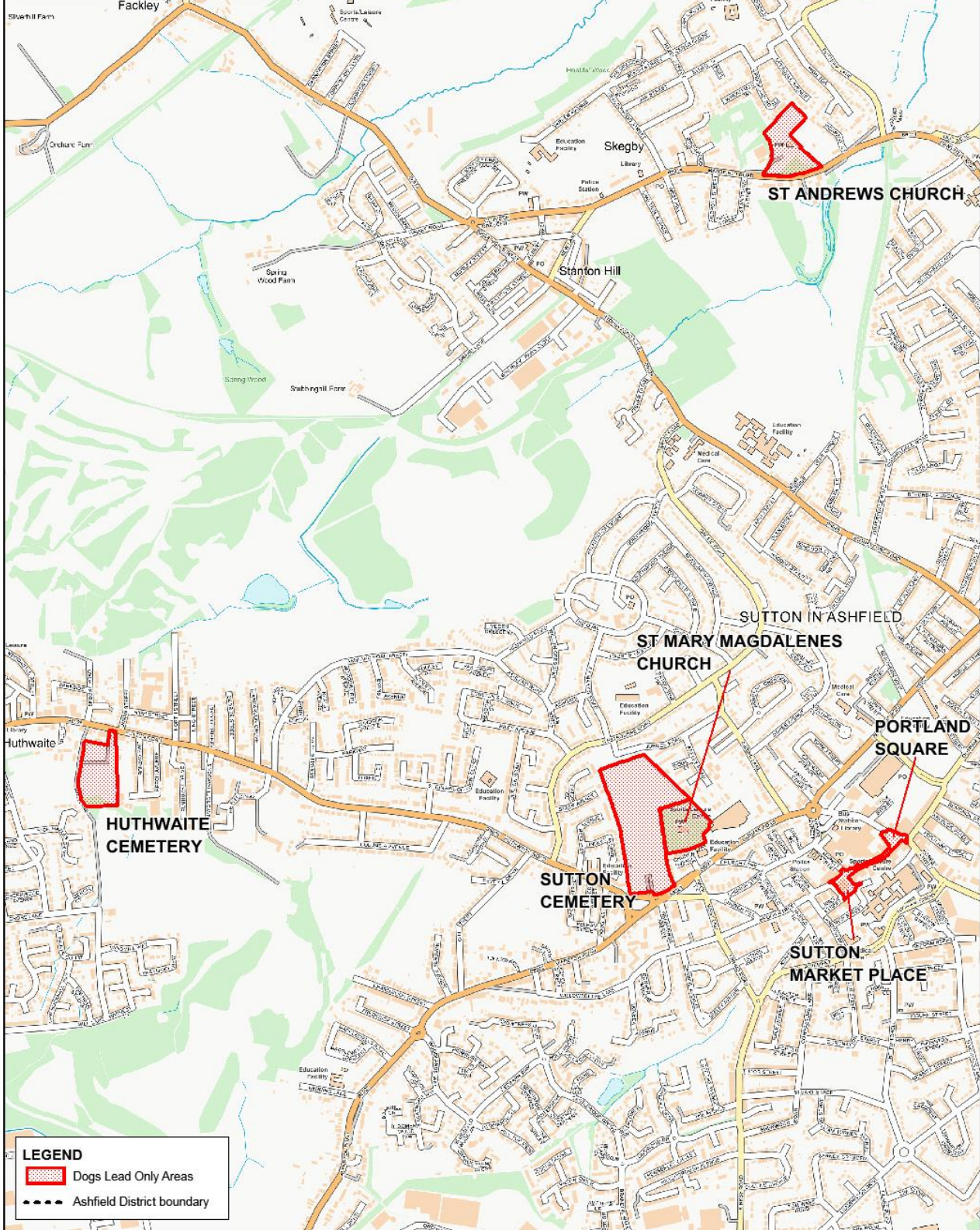
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21 May 2018  
A3 | Scale: 1 to 10,000

Ashfield District Council  
Urban Road  
Kirkby in Ashfield  
Nottingham NG17 8DA

**SCHEDULE 4  
SUTTON IN ASHFIELD**



**LEGEND**  
 Dogs Lead Only Areas  
 Ashfield District boundary

**SCHEDULE 4  
DOG LEAD ONLY AREAS**

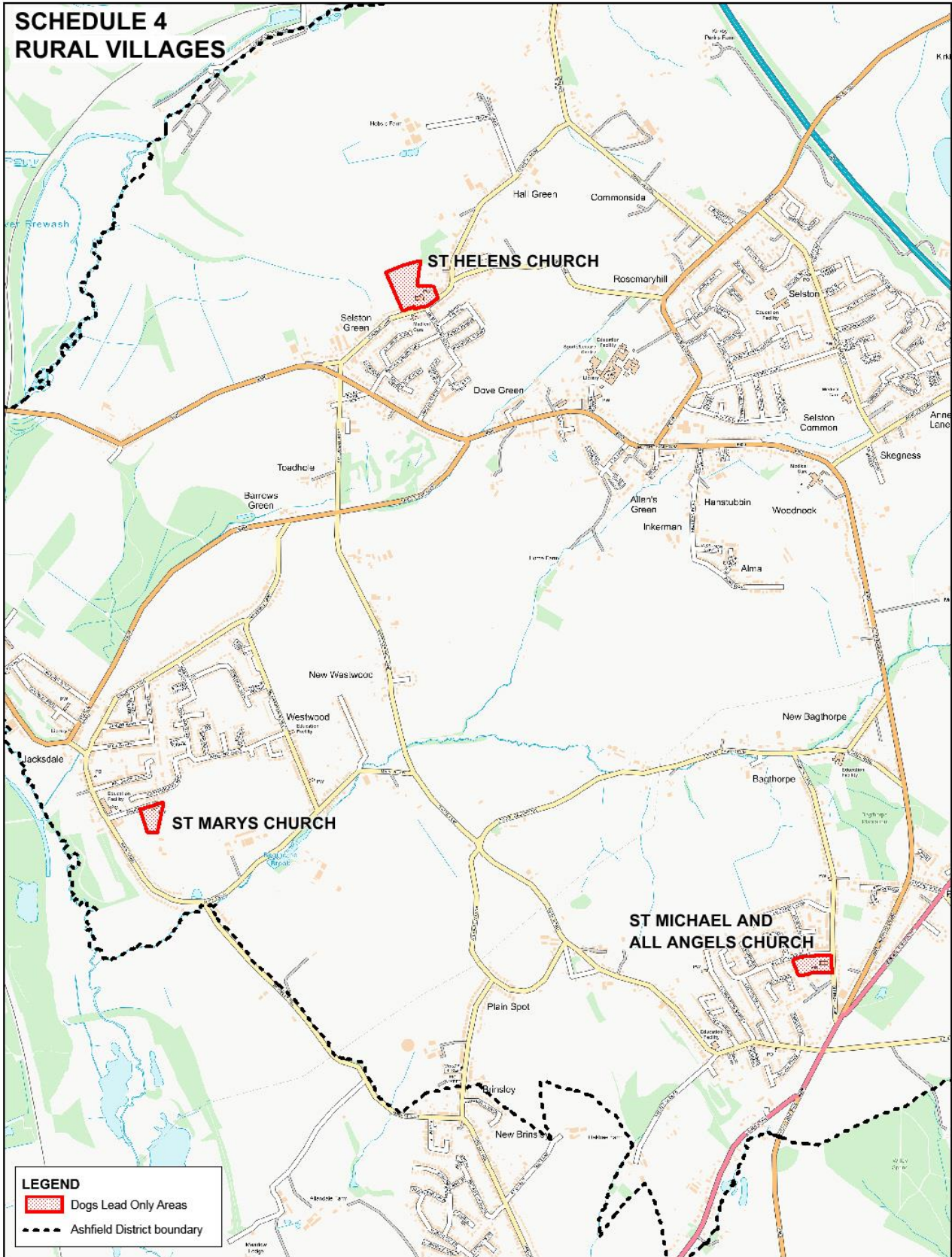
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 A3 | Scale: 1 to 10,000

Ashfield District Council  
 Urban Road  
 Kirkby in Ashfield  
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**SCHEDULE 4  
RURAL VILLAGES**



**LEGEND**  
 Dogs Lead Only Areas  
 Ashfield District boundary

**SCHEDULE 4  
DOG LEAD ONLY AREAS**

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21 May 2018  
 A3 | Scale: 1 to 12,500

Ashfield District Council  
 Urban Road  
 Kirkby in Ashfield  
 Nottingham NG17 8DA



<b>Report To:</b>	<b>CABINET</b>	<b>Date:</b>	<b>14<sup>TH</sup> JUNE 2018</b>
<b>Heading:</b>	<b>DIGITAL AND SERVICE TRANSFORMATION PROGRAMME</b>		
<b>Portfolio Holder:</b>	<b>COUNCILLOR CHRISTIAN CHAPMAN – CABINET MEMBER (JOINT FOCUS)</b>		
<b>Ward/s:</b>	<b>ALL</b>		
<b>Key Decision:</b>	<b>YES</b>		
<b>Subject to Call-In:</b>	<b>YES</b>		

## Purpose of Report

The purpose of this report is to present to Cabinet the intended Corporate Digital and Service Transformation programme with indicative costs, benefits and timelines. A further detailed business case will be presented to Cabinet in September 2018.

## Recommendation(s)

**Cabinet is requested to:-**

- **Consider the proposed Digital and Service Transformation programme, intended vision and benefits, and give outline approval for the progression of the programme, subject to a more detailed business case to September Cabinet.**
- **Consider the indicative Digital and Service Transformation programme schedule in accordance with priorities for improved customer service and organisational transformation.**
- **Note provision of further external support will be determined by the Digital and Service Transformation Board to facilitate development of the final detailed business case, Customer Access Strategy and future operating model.**

## Reasons for Recommendation(s)

Demand for public services and expectations of levels of service are ever increasing. Residents and businesses expect the same levels of access, ease of use and customer service that they see online from large private sector organisations. They expect to be able to access their services from multiple locations and in ways that suit them.

Many organisations and councils have moved towards customer centric 'digital first' approaches which provide convenient and accessible services in order to match customer expectations. Future local authority success will rise and fall by the degree of satisfaction with access to services and information as the self-service generation conducts more and more aspects of their life online and are currently enjoying digital services through their banks, retailers and even some central government service such as vehicle tax and voter registration.

ICT is no longer just a support service; it has become a critical service. It has the ability to transform the way services are organised and delivered. It has a fundamental role to play in improving efficiency, reducing costs across the organisation and underpinning organisational change. However, ICT development is not digital transformation unless we improve the way we do things through ICT as an enabler of that change.

Our technology landscape is outdated, most systems are at end of life and we have no real online 'offer'. The organisation is therefore already incurring costs in the replacement of systems due to potential de-support from existing suppliers or lack of functionality. ICT developments occur in an ad-hoc manner resulting in a silo-based technical architecture rather than a corporately focussed and driven architecture which considers the most advantageous and effective application landscape.

This report presents to Cabinet a vision and blueprint for a digital and service transformation programme, indicating how technology can potentially be a catalyst for improving the way the Council will work with and support local residents, partners and businesses on the journey to becoming a digital Council and digital Place. It should be noted that the Council will always retain face to face service and other channels to help those that cannot make use of digital access.

The Council faces future challenging financial targets in order to maintain a balanced budget. We are confident that the programme will deliver future savings and efficiencies as demand for services and residents' expectations of the quality of front-line services continue to rise. The digital programme will assist with addressing the joint challenges of the need to continue to make savings with the increasing expectations of customers for a high-quality service.

### **Alternative Options Considered**

Doing nothing is not considered an alternative option. The organisation is already incurring significant additional costs to replace out of date systems, however this is being undertaken in an ad-hoc, silo-based manner, limiting the ability of effective, joined-up transformation which is focussed on the customer, delivers value for money, and enables a slimmer more efficient and productive organisation. The core element of the digital transformation programme is to have organisation wide customer focus, putting the customer at the heart of everything we do, challenging our approach to delivering services, as well as looking at how we can use digital technology and new ways of working to improve how we operate, delivering an improved customer experience.

## Detailed Information

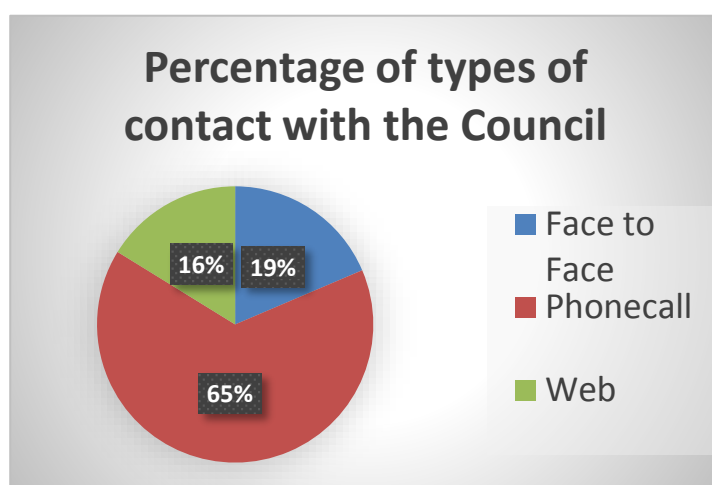
### 1. Challenges facing Ashfield and the Case for Change

#### 1.1 Customer Services Review 2017

In 2017 a cross organisational customer services review was undertaken to understand customer demand and activity, how customer information is stored and used, whilst identifying key opportunities for transforming customer services across the whole organisation. This review started to inform the development of our digital and service transformation vision.

#### Summary of Findings 2017

- Two-thirds of customer demand is received via telephone, estimated to cost the organisation £593k per annum based on demand data and SOCITM channel costs. Face to face contact is also estimated to cost the organisation around £452k per annum.
- Visitor levels to the website are still increasing, highest levels of visits are on weekdays.
- Paypoint and post office transactions in September 2017 had also increased by 45% with estimated transaction costs well within the cash office closure business case estimates.
- 60% of council tax payers and 39% of tenant rent payers use direct debits. A move from paypoint/ post office to direct debit or online would save 40-45p per transaction, approximately £12 per tenant per year paying rent fortnightly.
- Call answering (not abandoning) rates in 2016/17 were reasonably good (greater than 95%), however with a silo based approach the organisation doesn't work corporately to deal with peaks in call demand, only for specific projects such as changes to bins in 2016.



- Several demand touchpoints exist across the organisation, based on service silos, dealing with various levels and types of demand (complex and transactional). 71% of calls answered by the customer services team are passed on with more than half of these being diverted to the direct dial numbers, thereby passing the customer on.



- It is estimated that 80-90% of demand relates to residents who are 'in balance'. The remaining 10-20% having complex needs which may take 80% of our capacity to deal with. We do not have a robust means of understanding transactional and complex demand levels.
- Service areas receiving the most demand are waste and environment, housing and revenues and benefits.
- Two-thirds of services hold customer data in spreadsheets. Systems are not joined up and are therefore ineffective as a means of the organisation understanding our customers, response capability and whether we are delivering quality services. See Appendix 1 'Spaghetti Systems Map'
- There is no single view of the customer, the customer is dealt with by the service in relation to that service function alone. Our current 'spaghetti' systems map and associated processes are inefficient, costly and confusing for the customer, requiring the repeat of information when accessing services. Customers don't have a single log on where they can see progress on applications and requests, update their information or make new applications. Customer information is not joined up and therefore very often our customers are being passed around, or have the need to chase us for information. Many customers attempt online services and when these fail they resort to contacting us via telephone or face to face. Customers are attempting to be more digital however we are not set up to respond.

Most of our customer journey mapping scenarios identified opportunity to reduce failure demand through more effective and efficient processes facilitated by digital technology to enable the customer the ability to self-serve.

- There is no joined up corporate customer service approach or consistent use of service standards.
- Many services are using outdated software/ back office systems with suppliers being in control. There has been a lack of challenge, negotiation and going to market and we therefore have many inappropriate, ineffective and expensive systems. We currently buy systems in silos. Each system typically requires two or three server environments, database licences and support staff to keep the system running and applying long, complex upgrades. This also leads to departments not working together because the systems are different and data cannot be shared.

Current methods of integration cost the authority with many bespoke connectors and support burden to keep systems running. This has left us with a 'spaghetti' mess and an architecture that is very 'flimsy'. Changing one system or connector could have lots

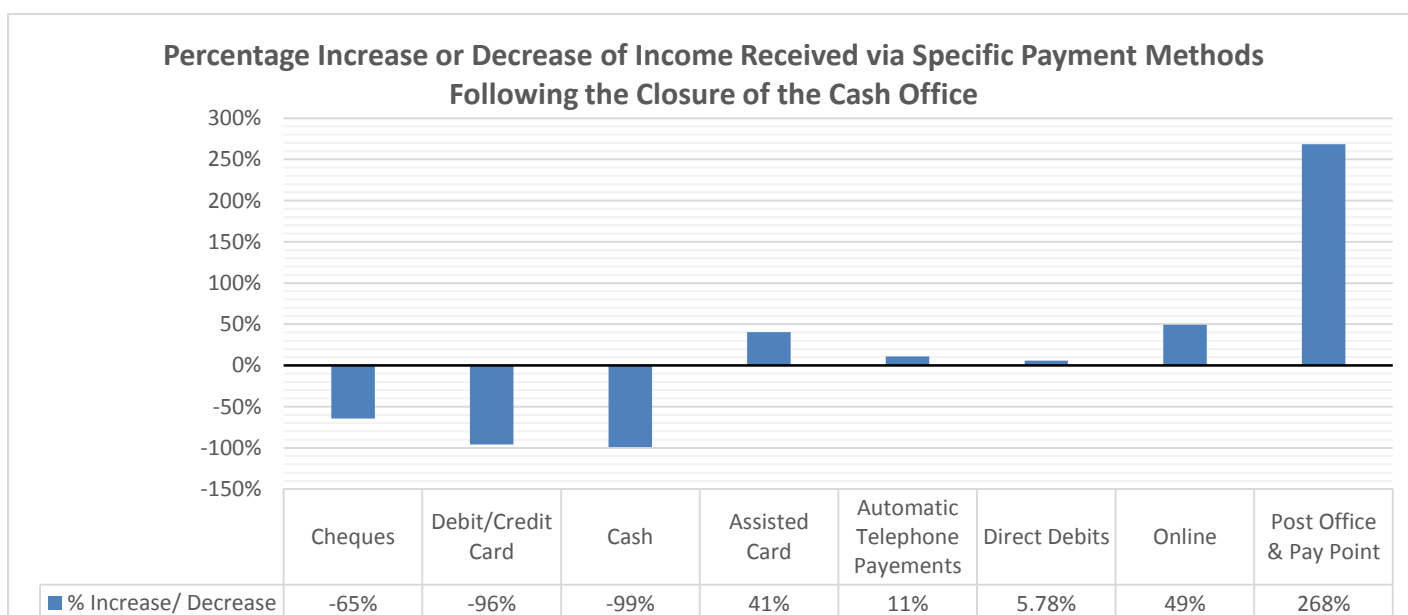
of knock on effects and become very expensive. It represents a significant risk to the authority. A previous attempt at using a CRM system failed, due to limitations with the system and its lack of 'real time' connectivity to back office systems such as flare. Many customer service roles were later moved back to where the work was, following a systems thinking approach, resulting in the corporate customer service team being limited in their ability to deal with customer demands across the organisation.

A digital platform built around customers and their requirements will enable organisational and cultural change, and will deliver self-service requirements, providing real-time interactions for a host of services. The platform will provide a single view of the customer journey for the Council, as well as a single point of access for that customer, reducing failure demand and frustration.

- The ability to work in a more agile manner is being impeded by the lack of investment in the most appropriate technology to support this. For example, Housing Management Officers spend a great deal of their time in the office dealing with telephone calls and administration. The potential for tenants to self-serve or use other access channels would facilitate the release of HMO time to working within the patch resolving problems for tenants with more complex needs.

## 1.2 Updated Position 2018

- 72% of households who have some council tax to pay are now on direct debit.
- The majority of visits to the website are now via smartphones, followed by tablet devices then PC's, see 1.3 below.
- Less than 10% of businesses are signed up for business rates e-billing and few use BACS
- Following successful implementation of cashless payments in 2017, cheques are still issued by the Council to pay refunds to businesses and residents. However, comparing the 8 month period September to April 2016/17 to 2017/18 (post cash office closure) direct debit payments have increased by 5.8% and online payments by nearly 50%.



- For the period April 2017 to March 2018 our call abandoned rate across all lines increased to 6.5%, from less than 5%, with average call waiting of 45 seconds. Housing and Revenues services abandoned rates were the best at 3.8% and 3.5% respectively and call waiting times of around 30 seconds, whereas average call waiting times to waste and environment were just over 90 seconds and the worst abandoned call rates averaging 14.8%.

### 1.3 Digital Savvy Customer

#### Ashfield Position

Through the Place Survey in 2016 85% of our residents stated they have access to the internet, and of those 15% of residents without access 50% of those stated they were aged 65 plus.

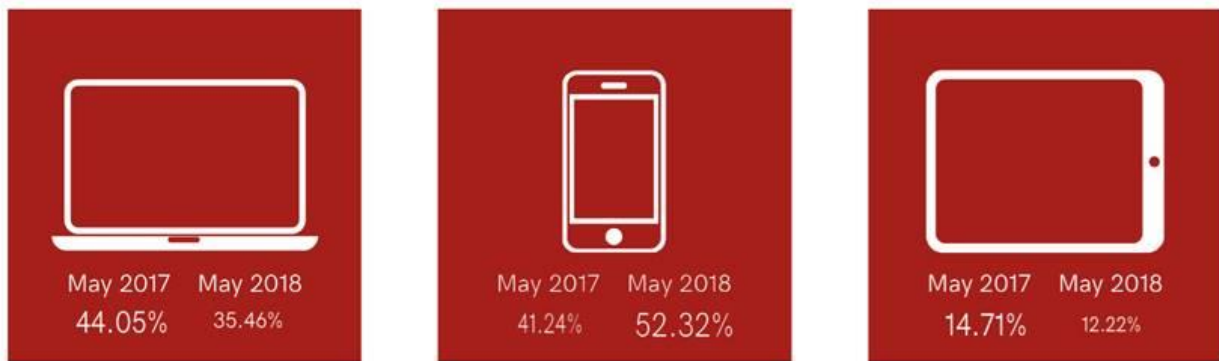
Residents also told us that the most common device used to access to the internet was through laptop/ desktop or smartphone (81% and 80%) with younger residents most commonly accessing the internet via smartphone (98%). When asked which type of activity is undertaken online the most common were:-

- Emails 86%
- Info about goods or services 88%
- Booking things 69%
- Online banking 74%
- Online shopping 75%
- Social networking 71%

The above data supports the opportunity to both channel shift customer demand but also the channels we use as an organisation to inform or market services to our customers. In Newcastle-under-Lyme, the council's insight research based on Experian (Mosaic) identified that nearly 40 per cent of the population may take up the opportunity to self-serve if appropriate online tools were available, and a further 30 per cent may do so with encouragement. This was based on customers' propensity to use internet banking services and purchase goods online.

Much as the number of unique visitors to the council's website has fallen by 10% over the last 12 months, the number of online payments has doubled whilst direct debit payments have also increased by 6% (2016/17 compared to 2017/18).

We have also noticed a significant increase in the proportion of visitors using a mobile device to access our website, which indicates further potential opportunity to encourage our residents, customers and businesses to engage with us via digital means.



## National Position

The Ofcom Communications Marketing Report 2017 provides a high level indication of the national picture compared to our Ashfield residents:-

- The internet is essential to the way in which people in the UK communicate, find information, seek entertainment, shop and participate in society. Eighty-eight per cent of adults now have internet access at home. Reach is highest among younger age groups, but over half (53%) of over-74s are internet users.
- More than eight in ten (82%) households now have a fixed broadband connection, compared to 79% in 2016. Most households have both fixed broadband and a smartphone, and consumers are moving seamlessly between fixed and mobile connections.
- For most people, mobile devices are their most important device for accessing the internet. Consistent with high take-up, more than four in ten (42%) UK internet users, including nearly two-thirds of 16-34 year olds and 44% of 35-54s, regard their smartphones as their most important device for accessing the internet. For those aged 55 and above, fewer (13%) consider smartphones their most important device for internet access. Just under a third of over-54s consider laptops to be their most important device (31%), followed by tablets (27%) and desktops (22%).
- In 2012 text messages were the most-used method of everyday communications with friends and family. But five years on, the landscape has shifted, with images becoming an increasingly central method of communication. There have been reports that emoji's are now the fastest-growing language in the UK, Snapchat is now used by more than 158 million people worldwide every day.
- Total addressed letters volumes continued to decline in 2016, falling by 4% between 2015 and 2016 to 11.8 billion items. This decline reflects not only ongoing substitution away from letters to electronic communications, but also significant declines in advertising mail volumes.
- On average, apps in the social networking category (such as Facebook and Twitter) were used on average 12.61 sessions daily per user. Analysis of individual app use showed that Facebook was the most frequently used single app, with an average of 11.73 sessions per user per day.

### 1.4 In Summary

- Limited choice of customer access channels
- Lack of integration between services

- Limited digital and self-serve offering
- Limited offering for agile working via front line services
- Limited multi-channel interaction
- Customer dissatisfaction
- Limited first time resolution
- Not always easy to get right person first time
- Limited clarity for the customer around what is required or what to do, leading to failure demand
- Limited communication and engagement, lack of progress information, causing the customer to recheck things, therefore further failure demand
- Services designed around the organisation not the customer
- Delays in decision making
- Silo based service and customer information

## **2. Our Digital Transformation Vision and Ambition**

We want to deliver council services consistently and reliably, simplifying and standardising basic transactional processes, enabled by digital technology, to transform the way we do things, whilst encouraging people who can access services online to do so. This will create capacity for us to support the people who need us the most and also mean we can put our resources into things that really matter. Online services will be cheaper for us to deliver, reducing costs over the medium term through service redesign and restructures, so we can get things right first time more often avoiding expensive follow ups. Without this investment we won't be able to achieve further savings and will be able to do even less in the future.

The core element of the digital transformation programme is to have organisation wide customer focus, putting the customer at the heart of everything we do, challenging our approach to delivering services, as well as looking at how we can use digital technology and new ways of working to improve how we operate, delivering an improved customer experience.

Subject to the final business case development the objectives of the Transformation Programme are to:-

- Deliver a faster, better service to citizens and businesses through enabling technology and business process change.
- Enhance customer experience and create a modern and relevant organisation, by enabling technology that is used elsewhere, every day, by many residents. Enabling customer independence, encouraging customers who can self-serve to self-serve
- Deliver services to customers more efficiently, in a more joined-up way, using data more effectively to make critical business decisions.
- Create a sense of energy and momentum, using innovative thinking to bring new, more radical ways to delivering Council services.

Digital transformation has significant potential to facilitate more effective resident and business engagement with the council, improving service delivery through redesign that stretches the boundaries of how we operate, being efficient, agile and making a real difference.



Benefits to the residents and businesses of Ashfield will:

- Be using smart phones and tablets securely to book, access and pay for all Council services, at a time and place of their choosing and will be able to track progress online.
- Be asked to provide information once electronically, the information will be stored safely and used by the Council when assessing eligibility across its functions.
- Be able to fully access and engage with various Council departments to get quicker responses and track the progress of issues.
- Experience the benefit of seamless, joined up customer services streamlined mid and back office functions in the Council, using the same technology, as back office services, to access their customer information, ensuring consistent levels of customer service and an improved customer journey
- Have access to a digital Gateway for business that enables them to receive effective back office support, and ensure they comply with regulatory requirements.
- Be supported where digital channel shift may be difficult given individual circumstances, for example with low levels of literacy or digital skills.

The digital transformation programme intends to design the future operating model for Ashfield District Council, aligning with our place agenda, with a focus not only on Digital Council, but also Digital Place and Digital Customer. It is important to recognise that digital transformation of our customers, residents and tenants firstly requires digital transformation of the organisation.

### Intended Benefits to the Customer

Our ambition is to improve services to customers in the following ways:-



**Make it Easy** – being more responsive, getting more things right first time, being more reliable, make things easier to understand, use language that people understand ‘don’t make me think’

**Keep Me Updated** – explain how we will keep customers updated and offer digital options such as text message updates, enable a customer to get information easily about where any their requests are,

**Give Me Effective Online Services** – have a website which is as good as any bank or supermarket website that allows the customer to request and pay for services online and, if the customer wishes to, to log in and see their interactions with us

**Design Processes from a Customer Perspective** – involve customers and staff in designing and testing new ways of working, consider the customer journey in everything we do. Investigate feasibility of cross government platforms where relevant eg verify

**Manage my Expectations** – tell customers clearly what we can and can’t help with, be clear from the start what services we charge for and those we provide for free, explain how long requests are likely to take (Customer Service Standards)

### 3. Our Journey So Far

- Implemented revised website, self-development platform and web development capacity
- Completed a review of Customer Services organisation wide to understand customer demand, channel usage and service provision from the view of the customer via mystery shopping and customer journey mapping.
- Following the Customer Service Review we engaged support from SOCITM in order to support us to explore our current 'digital opportunity' and potential priorities for transformation, define a high level indicative digital and technical architecture, financial model and roadmap to inform a more detailed future business case
- Held cross organisational open workshops to discuss the digital transformation programme and to develop 'benefits maps' – see Appendix 2
- Established a Digital and Service Transformation Programme Board to oversee the whole future programme both prioritisation of transformation projects, monitoring delivery to timescale and assessment of delivered outcomes/ benefits.
- Engaged with the Citizens Panel to introduce the purpose of the transformation programme and gauge support for this.
- Established a cross organisational Customer and Digital Services working group to identify and develop new ways of working which support customer-centric digital services, including collaboration and co-design.
- Established a cross organisational working group to consider and understand how we can support our employees to become more digital savvy, being digital ambassadors and having the tools they need to help them to help customers and do their jobs efficiently.
- Established General Fund and HRA earmarked technology reserves to support funding the Programme
- Developed a new tenant portal, in consultation with the tenant gateway, which will be launched in June, and will enable tenants to access information and request services through will self-serve.
- In partnership with the DWP, the council will shortly be providing assisted digital support to vulnerable universal credit claimants.

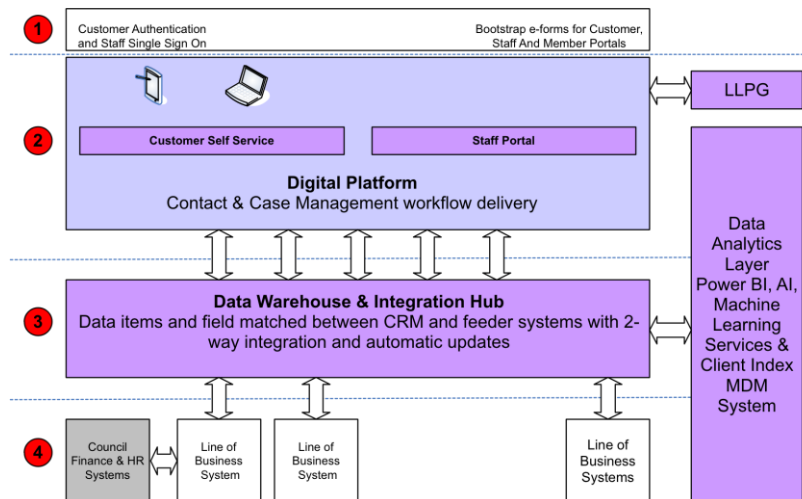
#### 4. Design blueprint – proposed operating model

4.1 Principles of the programme to drive business change and achievement of the vision are:-

Customer experience	<p>Enhanced customer experience through the ‘digital front door’, creating a customer “Account” and accelerating the pace of channel shift and end to end process integration. This includes innovating in new technology (mobile, GPS, GIS, AI.)</p> <p>Where the Citizen interacts with us by telephone or face to face they should receive a service and experience that is consistent with the online service and where we assist them to become digitally savvy.</p> <p>Promote self-service and automation at every opportunity</p>
Customer Access	<p>Make it easier for customers to access services, information and support, providing a range of access channels that allow choice and flexibility, simple to use, ability to self-serve, receive assistance when required depending on personal circumstances, preferences time of day etc.</p>
Service improvement and efficiency	<p>Creating a more digital council by thinking more radically about how technology enablement can create simpler, cheaper and better services to customers, reducing demand by developing new service delivery models and business processes that are streamlined and efficient and effective.</p> <p>Being responsive, customer centric, pro-active, and empathetic to customer needs, redesigning services around the customer, with the customer journey and outcomes being key, standardisation of processes for simple repetitive demand and bespoke where need arises for complex demand</p>
Single view of the customer	<p>Customer data and intelligence with improved reporting capability to create richer data, a single view of the customer, and the ability to drive decision-making, enable early service intervention and proactive response to reduce demand and long terms costs on the Council and be able to respond to changing trends in service needs, the data should tell the Council which interventions and which processes are achieving the best outcomes.</p>
Technology enablement	<p>Further developing customer engagement through investing in technology that better integrates and automates customer transactions through self-service and by harnessing new technology with the capabilities of platform solutions</p> <p>Automate routine tasks</p>
Digital savvy workforce	<p>Skilled employees who are empowered, resolution focussed, and customer focussed to be able to handle enquiries at first point of contact and source of data to support this, with improved information and procedures. Potential for higher performing individuals accessing the right tools to make their job easier.</p>

Commercial transformation	Improved use of assets, enabled by digital transformation, agile and mobile working. Radically transforming the way we work – including how we are organised internally and manage resources, to become open, innovative and collaborative
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4.2 The diagram below represents a proposed future target technology architecture and applications environment:



Layer 1 – Portal - the customer, employees (staff) and Elected Member portal. This is a custom-built access portal that will enable employees, customers, and Members to intuitively access the services and information that they need in a quick and easy fashion. Sitting alongside the Portal would be a forms solution, which is able to capture information directly from customers and workflow it into Layer 2 for a back-office user to pick up.

Layer 2 – Digital Platform & Contact Management - this is the front and back office digital platform which integrates seamlessly with the portals to take structured information and create the work and process flows required to fulfil customer and tenant service requests. Employees will be able to undertake service workload within the Case Management and workflow modules.

Members of staff will be able to complete requests on behalf of customers in the back-office, filling in the same forms that a customer would complete on the portal.

Layer 3 – the staging and integration environment ensures that all data is mapped and passed between the reduced number of core systems and the Contact Management / Workflow architecture. A staging environment will be used to integrate with a new reporting system, Integrations and data exchanges between multiple line of business systems will also be enabled by the new environment.

Layer 4 – Information will be passed through workflows and through the staging and integration environment to Line of Business systems, and any updates made in Line of Business systems can also be passed back through to the customer portal. The To-Be technical architecture typically has a reduced number of applications and integrates with EDRM.

### 4.3 Our Roadmap for Change

- A Customer Access Strategy is being drafted which will provide a framework from which service re-design can be facilitated from a customer centric perspective, providing a set of Design Principles.
- A Digital Strategy has also been drafted which will provide a framework from which ICT developments and transformation can be facilitated.
- An indicative digital and service transformation programme is planned to deliver the implementation of key technology 'core' component building blocks for digital service transformation followed by prioritised redesign of service area processes end to end, particularly customer facing services, starting with those that have the most non-digital processes first (ie housing), where most impact on improving services to the customer might be achieved, or where the customer is likely to be encouraged to become more digital as a result of impending change from other Government Departments (ie Revenues and Benefits)
- Consider the restructuring of teams and roles, particularly customer contact, technology and transformation roles, in alignment with the transformation vision and future operating model for Ashfield, whilst also ensuring adequate training and development in new technology and Customer Service Skills.

### 5. Outline implementation plan

Over the last 12 months we have considered and implemented ICT developments where these were urgently required, for example due to legislative changes like GDPR, or end of life systems:-

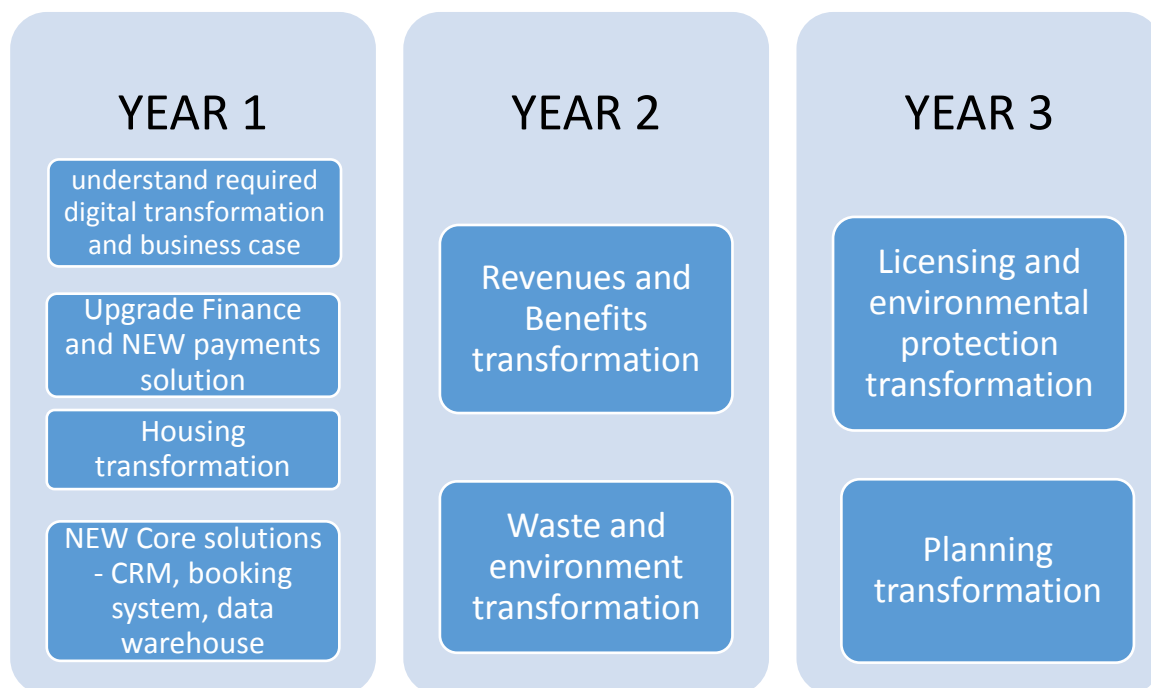
- Planning system upgrade
- Choice based lettings system upgrade
- New Housing document management system
- New LLPG/ mapping system
- New Legal case management system
- E-billing system upgrade

In development of the transformation programme we have also considered more urgent future digital and transformation requirements. These are projects indicated in the programme below, and are also separate reports to this Cabinet:-

- Finance system upgrade – urgency due to notice of de-support from current supplier and requirement to upgrade to web based version of software
- Income Management/ Payments Solution – requirement for additional functionality to facilitate ease of payments and provide more payment access channels for residents and customers, urgency due to forthcoming window of opportunity to test the market and potentially give notice to current supplier in advance of contract end in January 2019.
- Housing Tenancy Management agile working solutions – significant transformation opportunities across the whole of housing services to improve services to tenants and also improve the ways services are delivered, increasing productivity and reducing costs. A review of housing repairs is currently underway which is considering digital transformation, service re-design and re-structures. A full business case will be reported to Cabinet in September seeking funding approval for the ICT development costs required to facilitate the proposed digital transformation.

Several ICT developments have either been implemented or in the process of being implemented in accordance with the vision for housing service transformation – choice based lettings upgrade, right to buy module and currently the new housing document management system. The separate report to this Cabinet seeks funding for mobile solutions to enable full more effective agile working through ability to access information from the back office system and document management system whilst on site.

The intended transformation programme has been indicatively scheduled over a three year period, as shown below.



More detailed 'Programme on a Page' is shown in Appendix 3

## 6. Outline business case

### 6.1 Costs and Efficiencies

Investment in a programme of change and technology enablement is needed to deliver the digital transformation and create a digital council where technology is used to improve how we operate, delivering an enhanced customer experience. We recognise that this investment will be a mix of replacing and upgrading existing key line of business systems, for example finance and planning systems, as well as investment into new 'core' systems which will facilitate digital transformation, such as a new customer self-service portal.

Although significant overall investment will be required (up-front costs and additional annual maintenance or licensing costs) we are confident that this level of investment will payback over a four year period, whilst also enabling the delivery of improved customer service through a slimmer more efficient organisation. Due to an outdated system architecture, the organisation is already incurring costs in the replacement of systems, therefore, some level of future investment will be required nonetheless.

The option to capitalise any of these costs will be considered as part of the Capital Strategy refresh scheduled for the autumn of 2018. The Housing Revenue Account (HRA) will also

meet its relevant share of the Transformation Programme costs over the four year period.

We also recognise that there may be requirements to identify and fund short and long term capacity and expertise to support process redesign, implementation and embedding of the new model. An indicative estimate of support to implement 'core' digital functionality, such as a new CRM, are included in the above costs.

The digital programme will work with services to determine where the new digital technologies can deliver improved customer experience, better outcomes, and benefits through savings, new income or through protecting income streams or reducing demand.

The most significant areas of savings opportunities are:

- Saving achieved through the investment and deployment of a customer digital and workflow platform (eg. Case Management and Workflow) that enables similar processes around the Council to be streamlined and automated and uses a single view of the customer, enhancing data insight, and saving time and cost by reducing the number of applications and manual processes that use multiple spreadsheets and standalone applications.
- Cost avoidance savings, either in the immediate term by less or earlier interventions through the intelligent use of data, or future cost avoidance by better managing demand.
- Savings achieved through channel shift and redesign of the end-to-end process, for example digital self-service that automates or integrates services and removes or minimizes human effort in the mid/back office.

In SOCITM's experience savings come from:

- Headcount Savings following service redesign and technology deployment and headcount is typically reduced by 20-30% particularly for back office administrative and support roles
- Reduction in spend with technology suppliers in areas such as support and maintenance following application rationalisation and moving of some applications to Cloud based Software as a Service
- Reduction in Estates costs

More robust funding implications will be incorporated into a future report to Cabinet in September 2018, including the findings of the current housing repairs transformation review which will provide an example as to the level of efficiencies which can be expected as a result of digital and service transformation.

## **7. What Next?**

Officers will use internal and external expertise to develop a more detailed and costed business plan which will be brought back to Cabinet in September 2018.

- Customer Access Strategy development – through engagement with Members, customers and employees we will finalise our intended vision and customer focussed operating model which will provide a high level framework for future service redesign and digital transformation. This will be based on a comprehensive layer of information and views regarding access to services in the future, processes we will follow, technology we will use,

and the way in which our employees will operate and behave, aligning with customer and digital related competencies. The launch of the tenant portal will also serve as a pilot project to inform the development of the Customer Access Strategy.

- Finalisation of a detailed digital strategy and target architecture which will provide a key framework to inform future ICT development, selection and implementation, ascertaining a future high level plan of how we envisage solutions will fit together, seeking to reduce duplication, ineffective ways of working and system maintenance. Prioritised redesign of service area processes end to end, from a customer and digital transformation perspective, throughout the programme, will facilitate more detailed understanding, project by project, of the most effective application architecture.
- A key element of the digital transformation programme engagement plan will be a 'Hearts and Minds' campaign to encourage residents and businesses to support our transformation programme (count me in) to help reduce demand on our services which can then be focussed on greatest need.
- Development of a detailed business case with proposed implementation plan and savings profile to September Cabinet incorporating phasing of digital transformation activity. This will be informed by outcomes of the housing repairs transformation review.
- Subject to Cabinet approval, procurement and implementation of urgent transformation projects for the finance system upgrade, a new income management/ payments solution and housing tenancy management agile working solutions
- Development of a digital skills competency framework in order to identify required support for employees, building and increasing confidence in new ways of mobile and agile working.

## **Implications**

### **Corporate Plan:**

We are committed to putting customers at the heart of all we do, delivering high quality customer services across all functions to all local residents and businesses, across all access channels. This is reflected in our drive to provide responsive, high quality and continually improving standards of customer service, informed by customer engagement.

The Council's Corporate Plan 2016-2019 sets out a number of core values with the aim of making a real difference to people's lives. Our intended digital transformation programme supports Ashfield District Council's Corporate Plan and our Core Values particularly being 'Community and Customer Focused, Putting People First' making it easier for customers to contact and access Council services

### **Legal:**

There are no significant legal issues associated with the recommendations contained in this report. Legal issues will be identified in relation to each specific aspect of the programme and appropriate advice will be given on an ongoing basis throughout the life of the programme. Any new systems or processes will need to be GDPR compliant. Procurement of systems must be in compliance with the Council's Contract Procedures Rules.



**Finance:**

Budget Area	Implication
General Fund – Revenue Budget	<p>The costs of the Transformation Programme will be met from some or all of the following funding sources:</p> <ul style="list-style-type: none"> <li>• Cashable savings from the investment in technology</li> <li>• Revenue funding from the Technology Investment Reserve</li> <li>• HRA IT Reserve</li> <li>• HRA revenue funding contribution</li> <li>• Prudential borrowing (if any elements of the project are capitalised)</li> </ul>
General Fund – Capital Programme	
Housing Revenue Account – Revenue Budget	
Housing Revenue Account – Capital Programme	

**Risk:**

Risk	Mitigation
Inability to meet customer needs and expectations. Customers are attempting to be more digital however we are not set up to respond.	Move towards customer centric 'digital first' approaches which provide convenient and accessible services in order to match customer expectations
ICT development which takes place in service silo's in isolation of service re-design	Improve the way we do things through ICT as an enabler of that change. Technology being a catalyst for improving the way the Council will work
Outdated technology landscape, most systems are at end of life and we have no real online 'offer'. Significant additional costs to replace out of date systems, in an ad-hoc, silo-based manner.	Joined-up transformation which is focussed on the customer, delivering value for money, and enabling a slimmer more efficient and productive organisation.
There is no single view of the customer, the customer is dealt with by the service in relation to that service function alone. Customer information is not joined up and therefore very often our customers are being passed around.	Digital transformation which enables customers to have a single log on where they can see progress on applications and requests, update their information or make new applications., or have the need to chase us for information.

**Human Resources:**

We recognise that the digital and service transformation programme will result in new ways of working and the development of new skills for our employees. The change required will be organic as we change the way we do things, our focus will be on making sure we have 'the right tools for

the right people at the right time', both in respect of electronic devices but also timely and accurate information to enable people to work effectively.

We will be focussed on supporting and growing our people through a digital competency framework and the encouragement of digital champions or ambassadors in the workplace. It will be important that we supporting our employees through the change, providing opportunity for upskilling, as we recognise that not all employees will find it an easy process.

### **Equalities:**

The intention of the Digital and Service Transformation programme is to enable the ability for the organisation to have an enhanced understanding and awareness of customer needs including those within the Protected Characteristics such as disability and age. A new CRM system will give us the ability to flag needs up on customer accounts and tailor service preferences, with enhanced use of data management to assess impact. The new customer portal will also enable enhanced functionality to support our customers with protected characteristics such as auto use of translation services etc.

Our focus will also be to support our most vulnerable customers, particularly those for where digital channel shift may be difficult given individual circumstances, for example with low levels of literacy or digital skills.

Each individual element or project within the overarching programme will consider a full detailed equalities impact assessment prior to service re-design in order to fully consider potential negative impacts and how we can mitigate or remove e.g. if we remove channel options such as face to face-consider how this would impact on vulnerable tenants

### **Other Implications:**

*(if applicable)*

### **Reason(s) for Urgency**

Not applicable

### **Reason(s) for Exemption**

Not applicable

### **Background Papers**

Equalities Impact Assessment Screening

### **Report Author and Contact Officer**

**Jo Froggatt - Service Manager – Corporate Services and Transformation**

**01623 457328**

**[j.froggatt@ashfield-dc.gov.uk](mailto:j.froggatt@ashfield-dc.gov.uk)**



# Appendix 2 – Benefits Maps



Enabler

Digital platform

Benefits

Outcome (s)

Contractor information shared back to system

Less "clicks" for the customer to access information

A single access point, provides customers with better information from Line of Business systems and reduce the need to call us, personalisation of content

Agree appointments  
Change appointments  
Target information i.e. PHE/SC or Repair

Customer is at the heart of service delivery

Update contact details

Information is easy and accessible to the customer

Personalise data presented to customers (eg. Bin collection dates, planning applications nearby)

Access to customer details across services

Consistent information for customers & staff

One point of access for customers

Allows the Council to learn about our customers

Better customer service

Systems that integrate & save time

Business Intelligence and Analytics

Reduced time on the phone

Allows self-serve = less demand

Booking functionality

Ability to share data across the Council

Enabler

Low-Code Forms engine with workflow

Benefits

Less wasted processes & duplication = more efficient

Speed for customers

Reduced footfall

More paperlight organisation

Reduced email traffic

Closer interaction between services

Tailoring of forms

Integration with other systems

Joint forms across work areas = customer completes one form

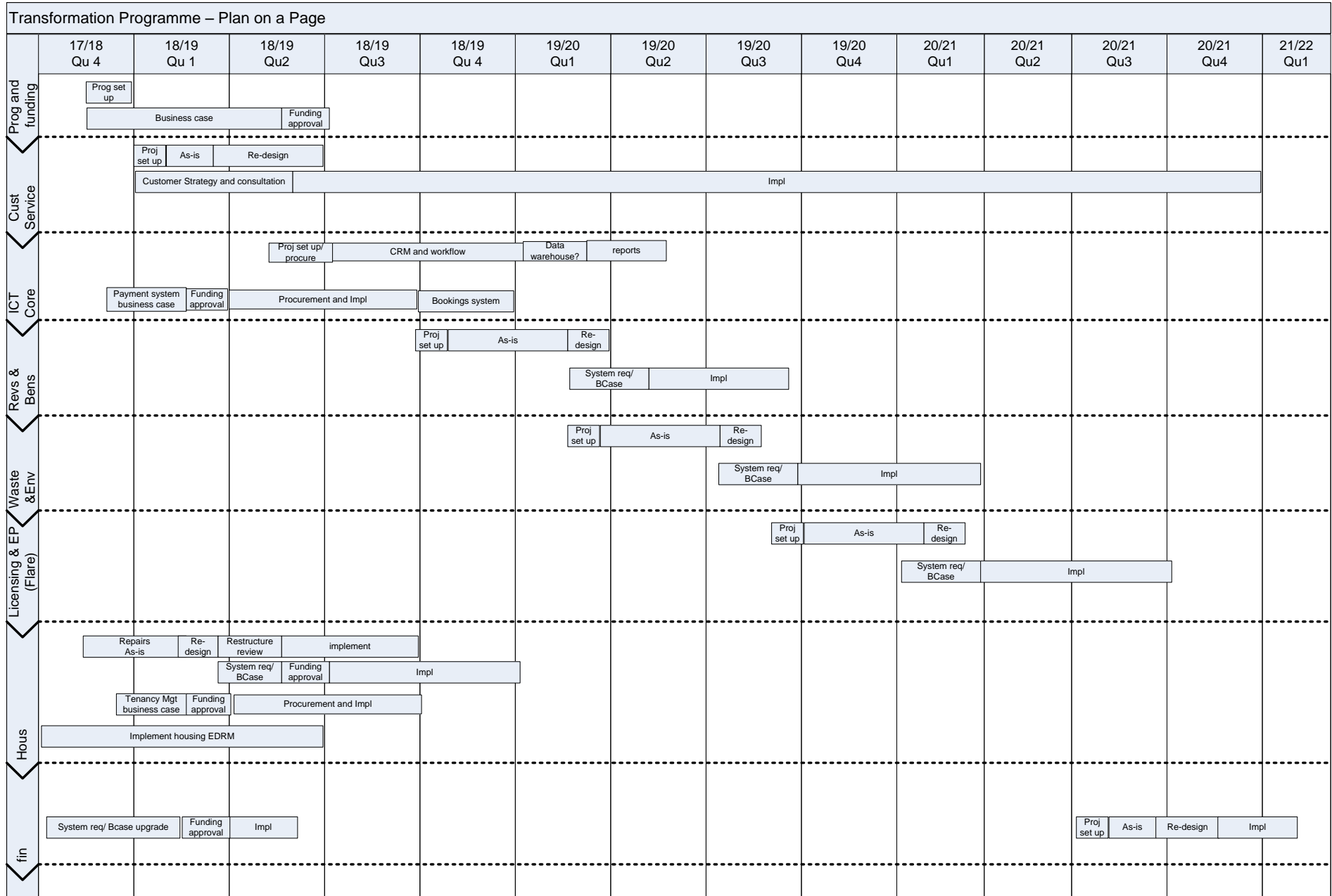
Outcome (s)

Allow staff to build their own digital services with 'drag and drop' functionality

Increase speed digital services can be created/iterated/ deployed – re-use forms and workflows and adapt

Enable 'omnichannel' approach, a single form can be used by officers in back-office and placed on the website – consistency of customer service across all channels

# Appendix 3 – Programme on a Page



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