

Agenda

Meeting name	Meeting of the Cabinet
Date	Wednesday, 18 March 2020
Start time	4.00 pm
Venue	Parkside, Station Approach, Burton Street, Melton Mowbray, Leicestershire. LE13 1GH
Other information	This meeting is open to the public

Members of the Cabinet are invited to attend the above meeting to consider the following items of business.

Edd de Coverly
Chief Executive

Membership

Councillors J. Orson (Chair)
R. de Burle
A. Pearson

L. Higgins (Vice-Chair)
A. Freer-Jones

Quorum: 3 Councillors

Meeting enquiries	Democratic Services
Email	democracy@melton.gov.uk
Agenda despatched	Tuesday, 10 March 2020

No.	Item	Page No.
1.	APOLOGIES FOR ABSENCE	
2.	MINUTES To confirm the minutes of the meeting held on 12 February 2020.	1 - 8
3.	DECLARATIONS OF INTEREST Members to declare any interest as appropriate in respect of items to be considered at this meeting.	9 - 10
4.	MATTERS REFERRED FROM SCRUTINY COMMITTEE IN ACCORDANCE WITH SCRUTINY PROCEDURE RULES i. Scrutiny Feedback – Melton Community Lottery The Chair of the Scrutiny Committee to provide feedback to Cabinet on the Melton Community Lottery.	11 - 16
5.	CORPORATE DEBT POLICY The Portfolio Holder for Corporate Finance and Resources to submit a report outlining ways in which the Council can seek to maximise collection rates whilst also ensuring residents' vulnerabilities and ability to pay are accounted for in any action taken and seeking approval for the implementation of the Corporate Debt Policy.	17 - 34
6.	CLIMATE EMERGENCY ACTION PLAN The Leader of the Council to submit a report proposing to develop the activity on a progressive stage process as follows:- <ul style="list-style-type: none"> • Scoping work • Baseline analysis • Decarbonisation pathways • Target setting • Action Plans • Monitoring and evaluation 	35 - 42
7.	COMMUNITY GRANTS - ALLOCATION OF FUNDING The Portfolio Holder for Corporate Governance, Access and Engagement to submit a report seeking Cabinet approval for the awards of the Community Grants budget for the financial year 2020/21.	43 - 58
8.	UPDATE ON THE STRATEGIC RISK REGISTER - 6 MONTH REVIEW OF RISK MANAGEMENT The Leader of the Council to submit a report outlining the current significant risks which have been captured on the recent review of the Council's Strategic Risk Register by Senior Leadership Team.	59 - 68

Minute No.	Minute
71	<p>APOLOGIES FOR ABSENCE Apologies for absence were received from Councillor Illingworth.</p>
72	<p>MINUTES The minutes of the meeting held on 22 January 2020 were confirmed and authorised to be signed by the Chair.</p> <p>The exempt minutes of the meeting held on 22 January 2020 were confirmed and authorised to be signed by the Chair.</p>
73	<p>DECLARATIONS OF INTEREST Councillors Orson and Pearson each declared an interest in any items relating to Leicestershire County Council, due to their roles as County Councillors.</p>
74	<p>MATTERS REFERRED FROM SCRUTINY COMMITTEE IN ACCORDANCE WITH SCRUTINY PROCEDURE RULES <u>Scrutiny of the Corporate Strategy, Budget and Medium Term Financial Strategy</u></p> <p>Councillor Pat Cumbers, Scrutiny Chairman introduced the report, which provided Scrutiny Committee feedback on the Corporate Strategy, Budget and Medium Term Financial Strategy</p> <p>During discussion the following points were noted:</p> <ul style="list-style-type: none"> • The Leader of the Council, Scrutiny Chairman and Chief Executive had been eager to engage all Members on these important issues. • The Scrutiny Committee meeting on 21 January, at which these items had been discussed had facilitated good discussion. Members had submitted questions prior to the meeting and answers had been given during the meeting. This had worked particularly well. However, it was hoped that in future more Members would feed into these issues. • The Leader highlighted the importance of the Scrutiny function and the value it added to the decision making process. • The Leader thanked officers and Scrutiny Committee for their work on these issues.
75	<p>A NEW CORPORATE STRATEGY 2020-2024 Councillor Joe Orson, Leader of the Council introduced the report, which set out the proposed Corporate Strategy 2020-2024 for consideration and recommendation to Council.</p> <p>During discussion the following points were noted:</p>

- The strategic direction of the Council over the next few years needed to be affordable and achievable.
- Corporate performance measures had identified areas of good performance and where improvements could be made.
- Improving the Council's housing stock was high priority.
- The Council working closely with Leicester and Leicestershire Enterprise Partnership and public consultation was key to achieving goals and aspirations for the community.
- The good work officers had undertaken on public consultation was noted. Public engagement was crucial and the Council had taken a new approach by its 'conversational' consultation.

DECISION (KEY)

(1) Cabinet **ENDORSED** the new Corporate Strategy 2020-2024;

(2) Cabinet **RECOMMENDED** to Council approval of the new Corporate Strategy 2020-2024.

Reason for the decision

To set the strategic direction of the Council for the next four years and to establish a set of affordable corporate priorities which provide clarity and focus at a time of ongoing significant financial pressures.

The new strategy seeks to find a balance between affordability and ambition; a balance between investing in core services and new initiatives.

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CAPITAL PROGRAMME AND CAPITAL STRATEGY 2020/21

Councillor Ronnie de Burle, Portfolio Holder for Corporate Finance and Resources and the Director for Corporate Services, Dawn Garton introduced the report, which set out the proposed Capital Programme 2020/21 for consideration and recommendation to Council.

A modest Programme was proposed with further resources being made available as necessary. Commercial investment supported by borrowing would also be considered. Assessment of assets was needed and currently the Council needed to progress with an element of caution.

DECISIONS (KEY)

(1) Cabinet **RECOMMENDED** to Council the approval of funding for capital schemes in respect of General Expenses for 2020/21 and the sources that funding would be taken from;

(2) Cabinet **RECOMMENDED** to Council that delegated authority be given to

the Director for Corporate Services to amend the amount in the Capital Programme for Disabled Facilities Grants once funding confirmation had been received;

(3) Cabinet **RECOMMENDED** to Council the approval of the Capital Strategy.

Reason for the decision

As part of the budget framework Cabinet are required to review the capital programme and seek the approval of Council to provide the required funding.

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REVENUE BUDGET 2020/21 AND MEDIUM TERM FINANCIAL STRATEGY 2020/24

Councillor Ronnie de Burle, Portfolio Holder for Corporate Finance and Resources and Director for Corporate Services, Dawn Garton introduced the report, which set out the proposed General Fund Revenue Budget 2020/21 and Medium Term Financial Strategy 2020-2024 for consideration and recommendation to Council.

The latest forecasted outturn position for 2019/20 was a £98k overspend on General Expenses and £31k underspend on Special Expenses (Melton Mowbray). The deficit demonstrated the challenging position facing the Council. However, Strategic Leadership Team were making every effort to minimise the likelihood of drawing on reserves. In addition, this was a balanced budget, which recognised the importance of generating income and the need to invest in high priority areas.

The provisional finance settlement figures had resulted in a 'holding position' but now the final settlement figures had been confirmed and were in line with those set out in the report. The referendum limit had reduced over previous years, impacting negatively on the Medium Term Financial Strategy. There was also uncertainty concerning future Government funding. It was imperative that the Council progressed with an element of caution.

During discussion the following points were noted:

- Members noted the hard work and difficult decisions which had been made to secure the best financial position for the Council. The Corporate re-structure had helped with this.
- Moving forward, it was vital to increase revenue and identify further savings.
- It would be useful if Members were provided with updates on the outcomes of certain decisions (i.e. those relating to cemeteries, car parking), to assess their value and if decisions made were justified and promoted the anticipated results.

DECISIONS (KEY)

(1) Cabinet **NOTED** the year end forecast and financial position for the General Fund and Special Expenses for 2019/20;

(2) Cabinet **RECOMMENDED** to Council that

- a) The proposals for General Expenses and Special Expenses Melton Mowbray be approved for inclusion in the 2020/21 budget;
- b) The revenue budget for 2020/21 for General and Special Expenses be approved, resulting in an overall council tax increase of £5;
- c) That the permanent establishment be updated in line with the growth proposals;
- d) Any increase or shortfall against the target working balance on General Expenses at 31 March 2020, be adjusted by transfers to/from the Corporate Priorities Reserve and for Special Expenses Melton Mowbray any surplus/deficit be transferred to/from the Special Expenses Reserve;
- e) That Members note the changes made to the risk categorisation of budgets.

Reason for the decision

The Council, having set a Budget at the start of the financial year, needs to ensure the delivery of this Budget is achieved. Consequently, there is a requirement to regularly monitor progress so corrective action can be taken when required which is enhanced with the regular reporting of the financial position.

To propose a general fund budget and level of council tax for the 2020/21 financial year for Council's consideration and approval that takes into account the proposals set out in the draft Corporate Strategy, also presented for approval. The proposals take into account the net amount of expenditure that the Council expects to spend in the next financial year to deliver services to our customers. The report also includes recognition of efficiencies secured and details of the funding and income received to support these services to ensure a balanced budget is proposed.

The Council also holds a number of reserves which the Council can draw upon to fund future expenses. The level of reserves is considered within this report, as is the future outlook for spending in the years ahead in order for the Council's future financial resilience to be considered as part of the proposals.

Cabinet and Council are required to consider and approve the General Fund Revenue Account budget proposals in order to set the budget and Council Tax for the forthcoming year.

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PRUDENTIAL INDICATORS & TREASURY MANAGEMENT STRATEGY 2020/21

Councillor Ronnie de Burle, Portfolio Holder for Corporate Finance and Resources and the Director for Corporate Services introduced the report, which outlined the Council's prudential indicators for 2020/21-2022/23 and set out the expected treasury operations for this period.

The inclusion of sustainable and ethical investments and multi-asset funds in the

investment strategy for 2020/21 was highlighted.

During discussion the following points were noted:

- The Council had an excellent record of managing its investment and the good work undertaken by the Corporate Services Manager was noted.
- In relation to the Council's commercial agenda and prudential borrowing, a commercial investment business plan together with an updated treasury management strategy would be required. The two were linked. This would be discussed further at Cabinet in March.
- The Council's commercial agenda should not be progressed in isolation but should be closely related to its aspiration to provide excellent social housing.

DECISIONS (KEY)

- (1) Cabinet **RECOMMENDED** to Council the prudential indicators and limits be adopted and approved;
- (2) Cabinet **RECOMMENDED** to Council the Treasury Management Strategy and treasury management prudential indicators be adopted and approved;
- (3) Cabinet **RECOMMENDED** to Council the Minimum Revenue Provision (MRP) Statement, which set out the Council's policy on MRP be approved;
- (4) Cabinet **NOTED** the linkages to the Capital Strategy due to the integral nature of how the Council manages its treasury finances to support capital development.

Reason for the decision

The Treasury Management Code requires the Council to approve annually a Treasury Management Strategy and to provide a mid-year update on Treasury Management activities to the Council. It is a requirement that Treasury Management is scrutinised during the year which falls within Cabinet's remit.

To facilitate the decision making process and support capital investment decisions the Prudential Code requires the Council to agree a minimum number of prudential indicators.

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REVENUE BUDGET PROPOSALS 2020-2021 - HOUSING REVENUE ACCOUNT (HRA)

Councillor Alan Pearson, Portfolio Holder for Housing and Communities introduced the report, which set out the rents of Council dwellings, sought approval for the Housing Revenue Account estimates for 2020/21 and set the working balance for 2020/21.

Councillor Pearson highlighted the following amendments at 6.2 of the report:

- **The surplus/deficit (-) estimated year end position for 2019/20** – from £911,800 to £511,800.
- **The working balance carry forward** – from £985,250 to £1,385,250.
- Therefore the estimated year end position showed an increase to the original budget of £97,050. Of this £257,840 related to supplementary estimates completed in relation to the Housing Improvement Plan (HIP), this was reduced by savings of £160,790 over the approved budget. Items over £10k were set out in the report.
- **Repairs & Maintenance overspend** – from a £277k overspend to a £123k underspend.
- While there had been a significant rise in responsive repairs and voids costs in the year, the underspend on planned maintenance which allowed £450k to be transferred into the responsive repairs budget in December had continued and the need for the additional £450k, now more likely to reduce to £300k, resulted in an estimated £150k underspend.

During discussion the following points were noted:

- Councils had new powers to borrow and invest in new and existing housing and these would be explored when the Director for Housing and Communities is in post.
- The new service charging proposals were welcomed and there would be a further review of all potential service charges for Cabinet consideration in the Autumn.
- Concerning housing benefit as detailed at paragraph 6.6 of the report, referral to tenants in percentage, then in numbers was confusing.
- Funding allocated to Me and My Learning (M&ML) was noted. The work undertaken through M&ML enabled the Council to support the community (many within priority areas) to manage debt and their finances.

DECISIONS (KEY)

- (1) Cabinet **RECOMMENDED** to Council the estimates for 2020/21 be approved, subject to receipt of the rent standard, with delegated authority being given to the Portfolio Holder for Housing & Communities in consultation with the Director for Corporate Services to amend the estimated working balance based on any changes to this standard;
- (2) Cabinet **RECOMMENDED** to Council an average rent increase of 2.69% for all Council dwellings for 2020/21, with effect from 1 April 2020 and that when a property is re-let, the rent continues to be brought into line with the Government's formula rent;
- (3) That the working balance be maintained at the approved minimum working balance of £750,000, with any residual amounts transferred to the

Regeneration and Development reserve;

- (4) Cabinet **RECOMMENDED** to Council approval of a delegation to the Director for Housing and Communities in consultation with the Director for Corporate Services to access the Regeneration and Development Reserve balance for schemes and projects supporting the HAMP and in line with the HRA Business Plan;
- (5) That a working balance of £750,000 be budgeted for at 31 March 2021, based on a 2.69% average rent increase;
- (6) Cabinet **APPROVED** the new service charge for Health and Safety Works for purpose built flats in the Borough of £3.10 per week for 2020/21;
- (7) That taking account of comments from Scrutiny Committee, a further comprehensive review of all potential service changes be undertaken with a view to Cabinet considering a more detailed policy by the autumn and any further charges being introduced in April 2021;
- (8) Cabinet **APPROVED** a new electricity re-charge to tenants who make use of the new mobility scooter pods.

Reason for the decision

The Local Government and Housing Act 1989 requires the Council to produce and publish an annual budget, including the setting of rents, for the HRA which avoids a deficit. It is a requirement that this be scrutinised prior to its submission which falls within Cabinet's remit.

The meeting closed at: 5.15 pm

Chair

Advice on Members' Interests

COUNCIL MEETINGS - COMMITTEE MINUTES : DECLARATION OF INTERESTS

Interests need not be declared at Full Council in relation to Committee Minutes which do not become the subject of debate at Full Council (i.e. Minutes referred to solely on a page by page basis when working through the Minutes of each Committee.)

An interest must be declared at Full Council as soon as it becomes apparent that a relevant Committee Minute is to be debated – this applies even if an interest has been declared at Committee and is recorded in the Minutes of that Committee.

PERSONAL AND NON-PECUNIARY INTERESTS

If the issue being discussed affects you, your family or a close associate more than other people in the area, you have a personal and non-pecuniary interest. You also have a personal interest if the issue relates to an interest you must register under paragraph 9 of the Members' Code of Conduct.

You must state that you have a personal and non-pecuniary interest and the nature of your interest. You may stay, take part and vote in the meeting.

PERSONAL AND PECUNIARY INTERESTS

If a member of the public, who knows all the relevant facts, would view your personal interest in the issue being discussed to be so great that it is likely to prejudice your judgement of the public interest and it affects your or the other person or bodies' financial position or relates to any approval, consent, licence, permission or registration then **you must state that you have a pecuniary interest, the nature of the interest and you must leave the room***. You must not seek improperly to influence a decision on that matter unless you have previously obtained a dispensation from the Authority's Governance Committee.

DISCLOSABLE PECUNIARY INTERESTS AND OTHER INTERESTS

If you are present at any meeting of the Council and you have a disclosable pecuniary interest in any matter to be considered or being considered at the meeting, if the interest is not already registered, you must disclose the interest to the meeting. You must not participate in the discussion or the vote and you must leave the room.

You may not attend a meeting or stay in the room as either an Observer Councillor or *Ward Councillor or as a member of the public if you have a pecuniary or disclosable pecuniary interest*.

BIAS

If you have been involved in an issue in such a manner or to such an extent that the public are likely to perceive you to be biased in your judgement of the public interest (bias) then you should not take part in the decision-making process; you should leave the room. **You should state that your position in this matter prohibits you from taking part.** You may request permission of the Chair to address the meeting prior to leaving the room. The Chair will need to assess whether you have a useful contribution to make or whether complying with this request would prejudice the proceedings. A personal, pecuniary or disclosable pecuniary interest will take precedence over bias.

In each case above, you should make your declaration at the beginning of the meeting or as soon as you are aware of the issue being discussed.*

*There are some exceptions – please refer to paragraphs 3.12(2) and 3.12(3) of the Code of Conduct

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To: Cabinet
Date: 18 March 2020
Report/Comments of: Scrutiny Committee
Title: Melton Community Lottery

SUMMARY OF REPORT CONSIDERED

Report Title:	Melton Community Lottery
Purpose/Description of Report:	At the request of Scrutiny Committee Members to provide a breakdown of the costs associated with running the Melton Community Lottery.
Key Decision:	N/A
Scrutiny Lead Members:	Cllr Pat Cumbers and Cllr Robert Child
Relevant Portfolio Holder:	Portfolio Holder for Corporate Governance, Access and Engagement

1. Introduction and Overview

The Scrutiny Committee met on 7 January 2020 to consider a report on Melton Community Lottery.

2. Summary of Feedback and Recommendations for Cabinet Consideration

Following feedback from the Scrutiny Committee members in advance of the meeting the Chair suggested the following as possible recommendations at the meeting in January:

- a) **That Cabinet consider ending the Lottery, as soon as possible.**

Reasons:

- The Budget Books indicated that since November 2016, the Lottery had resulted in a large net expenditure chargeable to Council Tax, approximately £95,300 which includes some estimates for 2019-20
- Membership was expected to be approximately 2000 to date. However, current membership was 293 and this continued to decrease

b) That Cabinet consider continuation of the Lottery for a period of 12 months, in order to establish whether it is possible to raise a similar income to that which was predicted in 2016 when the Lottery started.

Reasons:

- Other local authorities were raising substantial amounts, which supported their Good Causes. This Council should be able to do the same.
- A successful lottery would enhance the Council's reputation and the reputation of Melton as a good place to live.
- A successful lottery (with a minimum of annual ticket sales of £88,400, resulting in £53,040 annually to Good Causes) could make a significant difference to the Council's financial position.
Since November 2016, a total of 60,252 lottery tickets have been sold . 60% of the £60,252 received (£36,151) has been paid to Melton's Good Causes – some to nominated Good Causes, the balance to the Council's Good Causes pot.
- Many small Good Causes, such as local sports clubs across the Borough were already raising useful amounts to help cover their costs, which helped to keep residents active and assist social cohesion.

c) That a full assessment be made on the viability of continuing the Lottery. An Action Plan to be put in place should continuation be found viable, assistance be provided to help 'Good Causes' to increase ticket sales and that the management and administration Lottery costs be fully charged to the Lottery, in accordance with Council policy, as stated in the Budget Book.

Reason:

- There was a need for the smaller Good Causes to receive more help, information etc.

Members of the Committee considered the report, the Chairman's recommendations and information provided by the Chairman and provided the following feedback:

- Members acknowledged the Council's conflicting priorities, capacity and resource issues but emphasised that good quality promotion was vital to increase Lottery membership, drive ticket sales, increase revenue and ensure the success of the Lottery.
- Members noted that once the downturn had been identified in 2018, it had been agreed to implement a Task and Finish Group to review the

performance of the Lottery. There had been several attempts to implement the Group but the People Manager had been unable to secure enough Member support to begin this review at the time. However, additional staffing costs had been allocated to the budget in anticipation of this review, which had distorted the support costs for that year.

- Members noted that the report focussed on charges rather than performance but highlighted that the success of the Lottery depended greatly on appropriate funding and support.
- Part D1 of the Business Case, which detailed project management and delivery was highlighted. The Lottery budget had remained the same since it started in 2016 and no additional staff had been recruited to support the Lottery at that time. Instead, the additional support work had been absorbed into the workloads of those already employed by the Council.
- During discussion it was noted that the Lottery was of benefit to small causes and the importance of active promotion during any period of continuation was reiterated.

Following debate the Scrutiny Committee resolved to RECOMMEND to Cabinet that:

- 1) The Lottery should cease unless in 12 months time the numbers, through active promotion by all parties are at least at the same level as at 31 December 2018 i.e. 448 (this figure represents the highest number of members recorded).**
- 2) A report be presented to Scrutiny after 12 months to review and make a recommendation to Cabinet.**

Written by: Scrutiny Committee Chairman in consultation with Members of the Scrutiny Committee

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MANAGEMENT RESPONSE TO THE RECOMMENDATIONS OF THE SCRUTINY COMMITTEE – MELTON COMMUNITY LOTTERY

RECOMMENDATION	REASON FOR RECOMMENDATION PROVIDED BY THE TASK AND FINISH GROUP	MANAGEMENT RESPONSE (DIRECTOR FOR HOUSING & COMMUNITIES)
<p>1) The Lottery should cease unless in 12 months time the numbers, through active promotion by all parties are at least at the same level as at 31 December 2018 i.e. 448 (this figure represents the highest number of members recorded).</p>	<ul style="list-style-type: none"> • Members acknowledged the Council's conflicting priorities, capacity and resource issues but emphasised that good quality promotion was vital to increase Lottery membership, drive ticket sales, increase revenue and ensure the success of the Lottery. 	<p>The target of achieving the same levels of ticket sales would be a significant challenge as it was originally achieved over a period of two years when the scheme was very new. In addition there are no proposals to increase the level of resource to administer the Community Lottery.</p> <p>Discontinuing the lottery will not result in any direct cashable savings to the support costs as they will simply be redirected to another service area. This also means the resources could be redirected to another service area but there would be an increase to the pressure on Council funds as there will no longer be any contribution to the Community Grants budget.</p> <p>Focusing on the direct costs the lottery provides a net benefit to the Council which has been used to help fund the Community grant scheme.</p>
<p>2) A report be presented to Scrutiny after 12 months to review and make a recommendation to Cabinet.</p>	<ul style="list-style-type: none"> • As above. 	<p>As above</p>

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Cabinet

18 March 2020

Report of: Councillor Ronnie de Burle -
Portfolio Holder for Corporate
Finance and Resources

Corporate Debt Policy

Corporate Priority:	Service excellence in all we do Ensuring the right conditions to support delivery
Relevant Ward Member(s):	
Date of consultation with Ward Member(s):	Choose date
Exempt Information:	No
Key Decision:	No
Subject to call-in:	No

1 Summary

- 1.1 The purpose of the report is to seek approval for the implementation of the Corporate Debt Policy as detailed in Appendix A.
- 1.2 The report and policy outlines ways in which the Council can seek to maximise collection rates whilst also ensuring residents' vulnerabilities and ability to pay are accounted for in any action taken.

2 Recommendation(s)

- 2.1 That Cabinet approves the implementation of the Corporate Debt Policy as detailed in Appendix A

3 Reason for Recommendations

- 3.1 The Policy will assist officers in ensuring collection rates are maximised and that residents and businesses are sufficiently safeguarded with regard to collection action.

3.2 It is timely to review our approach to debt collection and adopt a new policy at this time.

4 Options Considered

4.1 To continue to operate Income Recovery without an overarching policy. This may lead to lower collection rates and inconsistent application of procedures. It would also not be in line with Internal Audit recommendations.

5 Background

5.1 The Council collects income from a wide variety of sources such as Council Tax, Business Rates, overpaid housing benefit, commercial rent, sundry debts and Penalty Charge Notices for parking contraventions. Every effort is made to collect monies due to us in the most appropriate and effective way

5.2 The Council has a good track record of collecting debt, but in some cases recovery action has to be taken to enforce payment. The enforcement action we can take is different for each type of debt and this is addressed in separate sections of the policy.

5.3 Over the past few years there have been a number of changes which have significantly changed the way that Councils have not only collected debts but also what debts are most likely to accrue. An example of this is that Local Council Tax Support replaced Council Tax Benefit from April 2013 which resulted in many working age claimants having to pay Council Tax for the first time. Welfare reform will continue to have an impact on debts being owed to the Council.

5.4 In addition, we have had to change working practices (such as how we calculate and charge debts) as a result of challenges being made to the approach Councils have previously taken when recovering debts.

5.5 There have also been significant changes in the way civil enforcement agents (formally known as bailiffs) operate and the fees they can charge following the introduction of the Taking Control of Goods Regulations 2013.

5.6 The Council has reviewed its objectives of the policy to make sure that its approach to debt collection is robust and fair and in line with current best practice and legislative requirements.

6 Main Considerations

6.1 The adoption of a Corporate Debt Policy will assist officers to support the Council's aims to:

a) Ensure collection rates are maximised across all streams of debt.

b) Ensure any collection enforcement is carried out in an appropriate and sustainable way

6.2 It is recognised that without a coherent Debt Policy, collection across the streams of debt and the way officers manage individuals on a day to day basis can fluctuate, resulting in an inconsistent approach to debt management and enforcement.

6.3 The Policy provides a framework for a customer focussed approach, where prevention of debt is always the first priority. The Council will seek to do this through timely invoicing, paying up front where possible and providing guidance and support to customers. The

Council has recently invested in a new digital system which will allow services to provide a better payment service to its customers which will help to achieve this approach.

- 6.4 The Council recognises however those customers may not always make payments when they are due. Where this is the case, the Policy promotes an individual approach to dealing with debts and a differentiation between those customers that cannot pay and those that are deliberate non payers.
- 6.5 Where debts have accrued, the Policy provides guidelines for how payment arrangements will operate when agreed as an alternative to enforcement action. It also provides clear guidance about the enforcement action available to the Council to recover debt and this provides customers with clarity on the consequences of not paying their debts and the action the Council may take.

7 Consultation

- 7.1 Consultation with key stakeholders including Scrutiny Committee was carried out on an earlier version of the policy. The comments received from this consultation have been fed into the final version of the policy.

8 Next Steps – Implementation and Communication

- 8.1 Implementation of the Corporate Debt Policy with immediate effect.

9 Financial Implications

- 9.1 There are no direct financial implication but failing to collect income can reduce resources available to meet spending plans

Financial Implications reviewed by: Director for Corporate Services

10 Legal and Governance Implications

- 10.1 The Council is required to comply with relevant legislation where pursuing debts.
- 10.2 Regard will also be had to the Council's duties under Section 149 Equality Act 2010.

Legal Implications reviewed by: Director for Governance & Regulatory Services

11 Equality and Safeguarding Implications

- 11.1 An Equality Impact Assessment has been completed and we are awaiting feedback from the Check and Challenge Group.

12 Community Safety Implications

- 12.1 There are no Community Safety Implications arising from this report.

13 Environmental and Climate Change Implications

13.1 There are no Environmental and Climate Change Implication arising from this report.

14 Other Implications (where significant)

14.1 There are no other implications arising from this report.

15 Risk & Mitigation

Risk No	Risk Description	Likelihood	Impact	Risk
1	The Council collects debt that is not due	Low	Marginal	Low Risk
2	Individuals with multiple debts are chased separately for each debt	Low	Marginal	Low Risk
3	Individuals vulnerabilities are not taken into account when chasing debt	Low	Marginal	Low Risk
4	Increases in mental health issues as a result of increasing debt within Melton communities	Significant	Marginal	Medium Risk
5	The withdrawal of services, e.g. Melton Lifeline, from vulnerable people	Significant	Marginal	Medium Risk

		Impact / Consequences			
		Negligible	Marginal	Critical	Catastrophic
Likelihood	Score/definition	1	2	3	4
	6 Very High				
	5 High				
	4 Significant		4,5		
	3 Low		1,2,3		
	2 Very Low				
	1 Almost impossible				

Risk No	Mitigation
1	The policy sets out factors to be taken into account when assessing an individual's debt. This includes an appraisal of all related debt and an assessment of whether it is financially prudent for the Council to collect the debt.
2	Each debtor will be appraised regarding additional debts before chasing action is initiated. Multiple debts will then be prioritised. Throughout the collection process, officers will adhere to industry best practice.
3	The policy recognises the need to assess the individual's wider circumstance before enforcement action is initiated. This included engaging relevant services and support, and the potential to cease any action should vulnerabilities necessitate this.
4	Officers will ensure any vulnerable residents are safeguarded through referral to the relevant agencies and support before any collection action is undertaken, including health services.
5	Services will only be withdrawn where the necessary safeguarding actions and referrals have been actioned. Withdrawal of sensitive or high risk services, such as Melton Lifeline, will be assessed on a case by case basis.

16 Background Papers

16.1 No Background Papers are included with this report.

17 Appendices

17.1 Appendix A – Corporate Debt Policy

Report Author:	Nick Sach , Revenues and Benefits Manager
Report Author Contact Details:	01664 502376 nsach@melton.gov.uk
Chief Officer Responsible:	Keith Aubrey , Director for People and Communities (Deputy Chief Executive)
Chief Officer Contact Details:	01664 502530 KAubrey@melton.gov.uk

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CORPORATE DEBT POLICY

Author:	Revenues & Benefits Manager Director for Governance and Regulatory Services
Owner:	Revenues & Benefits Manager
Version No:	1.0
Date:	March 2020

Approvals:

Designation	Title	Date of Approval	Version
T3	T3		
SLT	SLT		

Distribution:

Title	Date of Issue	Version
SLT		
T3		
MIKE		

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1.0 Summary of document

- 1.1 This policy sets out a clear framework on how the Council will collect debt by using a co-ordinated approach whilst having due regard to customers individual circumstances and ability to pay. It details the Council's approach and action it will take to recover debt.
- 1.2 The Council has a legal duty to ensure cost-effective billing, collection, and recovery of all sums due to the Council.
- 1.3 This policy is designed to support the maximisation of debt collection through adopting a fair, proportionate and consistent approach taking personal circumstances into account coupled with a firm and efficient process of escalation where appropriate.

2.0 Objectives of the Policy

- 2.1 To set out the general principles of debt management across all services provided by the Council;
- 2.2 To seek payment in advance for a service being provided where possible and make it easy for customers to pay;
- 2.3 To raise debt/invoices and collect those due to us in a timely manner;
- 2.4 To identify and assist those who face difficulties in paying at an early stage and to actively encourage them to contact us to help to reduce the effect of debt;
- 2.5 To ensure that where customers can't pay their debt that we consider their individual circumstances and take action on a case by case basis;
- 2.6 To signpost potential debtors to advice agencies and other sources of support and do everything possible to encourage them to use them;
- 2.7 To have clarity in the enforcement action process and ensure that customers know their obligations and potential consequences of not paying;
- 2.8 To recover and enforce debts in accordance with relevant legislation and guidance and in a proportionate, consistent and fair manner;

3.0 Outcomes of the Policy

- 3.1 The outcomes expected from this Policy are to:
 - a. Ensure a consistent approach to the management of debts across the Council and that appropriate action is taken depending on individual circumstances and whether the customer can't pay or is a deliberate non-payer

- b. To prevent debt where possible through excellent customer care and providing ongoing support where relevant
- c. To reduce debt that is owed to the Council
- d. Take timely, proportionate and consistent enforcement action where debtors choose not to pay debts
- e. Set out provisions to assist customers where appropriate to make payment agreements relevant to their individual circumstances
- f. Ensure individuals financial circumstances are considered on a case by case basis before enforcement proceedings are commenced

4.0 Debts to which this Policy applies

- 4.1 This policy relates to all debts owed to the Council including (but not limited to):
 - a. Council Tax
 - b. Non-Domestic Rates (Business Rates)
 - c. Overpaid Housing Benefit
 - d. Accounts Receivable (Sundry Debt Invoices)
 - e. Commercial Income
 - f. Rent including Ground rent and any other rents due to the Council
 - g. Former Rent Arrears
 - h. Recovery of enforcement costs and civil penalties, including works in default
 - i. Support charges
 - j. Planning and Building Control fees
 - k. Legal Fees / Court Costs
 - l. Miscellaneous fees and charges

5.0 Prioritising debts

- 5.1 Where the Council is made aware that a debtor owes multiple debts to the Council and unless the debtor advises to the contrary, debts will be considered in a priority order, to avoid the customer losing their home, or going to prison for non payment.
- 5.2 Where there is insufficient income available to clear all debts, payment will be appropriated in the following order except in exceptional circumstances.
- a. Rent arrears
 - b. Council Tax Arrears
 - c. Business Rates
 - d. Sundry Income

Where contact or payments are not made for sundry debts we will suspend any non-statutory services.

- 5.3 Customers who indicate that they have a problem with managing or paying their debts will be signposted to seek debt advice from relevant agencies.
- 5.4 Non-priority debts may include:
- Bank overdraft;
 - Money borrowed from family or friends;
 - Store card;
 - Interest free Hire Purchase agreements;
 - Credit card;
 - Mail Order/Catalogue;
 - Unsecured personal loans; and
 - Any other debt

6.0 Social Inclusion- Ability to Pay

- 6.1 There will generally be a presumption that any debts incurred should be payable in full to the Council. Where an issue is identified there shall be an early assessment made about whether a customer is unable to pay or is choosing not to pay and this shall be determined on a case by case basis.
- 6.2 Where a customer chooses not to pay, appropriate and timely action shall be taken to recover the debt using the enforcement options available.
- 6.3 Where an assessment has been made that a customer is not able to pay the debt, the Council will consider aspects of a customer's situation to establish the level of vulnerability and the most appropriate course of action. This should seek to recover the money owed whilst also seeking to avoid exacerbating the customers personal, social and financial circumstances where possible.

- 6.4 The Council will have a flexible approach to identifying vulnerability that is able to respond to the issues presented by individual customers.,
- 6.5 Vulnerability doesn't mean that the Council will not collect the debt but it will have particular regard to:
- How vulnerability affects a customer's ability to pay
 - If additional help is needed e.g. support to apply for benefits
 - Signposting or referral to help and advice
 - Offering flexible or lower payment plans whilst help and advice is sought
 - The method of recovery action that may be used if it becomes necessary to do so
 - Allowing extra time to seek advice and support by postponing recovery action if necessary

7.0 Enforcement Action that can be taken

- 7.1 It is recognised that people do not pay their Council bills in a timely way for a variety of reasons; where appropriate, recovery action will be taken which will;
- a. **be proportional** – we will strike a balance between the potential loss of income to the Council and the costs of taking a course of action
 - b. **be consistent** – with the aim of achieving consistency in the advice we give, the use of our powers and in the recovery procedures we use
 - c. **be transparent** – to help customers to understand what is expected of them and to explain the reasons for taking any recovery/enforcement action.
- 7.2 We will always seek to make realistic arrangements for customers to clear outstanding debts by regular payments wherever possible. The arrangement will seek to recover all monies within the financial year in question. An early review date of the arrangement will be agreed to review the situation if this is deemed necessary.
- 7.3 Where arrangements are made with customers there will be an expectation of them maintaining contact with the Council and proactively advising of any unexpected situations that will prevent them from meeting their agreed repayments. The Council reserves the right to reinstitute alternative recovery

and enforcement proceedings should customers fail to satisfactorily meet their obligations in this regard.

- 7.4 Any reminders we issue will convey a willingness to discuss matters with customers and encourage them to make contact if they cannot pay as advised. They will also make the customer aware of the consequences of failing to pay or keeping to arrangements.
- 7.5 If a customer fails to make contact or maintain arrangements, we have a duty to collect what is due and will use all legal means available to recover debts. This includes:
- a. attachment of earnings
 - b. deduction from benefits
 - c. enforcement agent action
 - d. debt collection action
 - e. possession proceedings
 - f. county court proceedings
 - g. charging orders
 - h. Insolvency proceedings including bankruptcy and winding up
 - i. committal to prison proceedings
- 7.6 Some of these methods of recovery may incur additional costs that will need to be passed on to the debtor. Whilst we will seek to recover monies due within the financial year in question, in cases of genuine financial hardship, this may be unrealistic and therefore the Council will negotiate repayment levels that take into account individual financial circumstances and accept that for appropriate cases payment arrangements may fall into the next financial year.
- 7.7 The table below shows the ultimate recovery action that may be taken.

Priority	Debt type	Possible Action	Ultimate recovery action
1	Rent arrears	Notice Seeking Possession; Direct Deductions;	Eviction
	Mortgage arrears	Possession Proceedings; County Court Judgement	Repossession and Eviction
2	Council Tax	Summons to Court; Liability Order;	Imprisonment
3	Business Rates	Attachment of Earnings Order	Bankruptcy Charging Order
	Sundry Debts	Summons to Court	County Court Judgements, Bankruptcy

8.0 Alternative action to Enforcement Action

Payment Plans:

- 8.1 Wherever possible customers are encouraged to contact us at the earliest opportunity to discuss payment of their debt. The Council can then consider the customers circumstances with an aim to agreeing a payment plan that avoids further recovery action being taken.
- 8.2 Customers will be required to fully co-operate with us and provide information when requested and to seek debt advice if signposted to do so.
- 8.3 When considering payment plans the following will be taken into account:
- Full payment will always be requested. However, if full payment is not possible a payment plan may be agreed, in most cases the debt should be fully paid up before the end of the financial year to which it relates.
 - Payment plans that go beyond the end of the financial year will only be made in exceptional circumstances, i.e. if the customer is vulnerable and an assessment of the customer's ability to pay has been undertaken by a debt advice agency or an officer using a Standard Financial Statement (SFS) provided by the Money Advice Service.
 - Payment plans should start with an initial payment being made within one month of the date of the agreement.
 - Payment plans may be conditional i.e. the customer will be expected to seek debt advice and provide evidence of this upon request.
 - Payment plans will be reviewed regularly (i.e. every 3,6,12 months) with an expectation that the customer is able to increase their payments as their personal circumstances improve.
 - Payment plans will not automatically prevent us from taking further recovery action to secure the ongoing recovery of the debt or prevent us from adding costs i.e. to obtain a Liability Order or CCJ.
 - Payment plans may be refused if we are likely to obtain a higher repayment from an attachment of earnings or benefits.
 - Payment plans may be refused if we have reason to believe that it will not be adhered to. i.e. the customer has a history of failed payment plans, the payment plan is unrealistic and will not clear the debt in a reasonable time.
 - Payment plans may be refused if the customer has sufficient assets which could use used to pay the debt but the customer is unwilling to do so i.e. savings or investments.
 - Payment plans will usually be confirmed in writing so that the customer clearly understands, how much to pay, when payment is due, how to pay, the review date, and if there are any conditions attached.

- The customer is responsible for making their payments on time, reminders will not be issued.
- If the customer has an unexpected change of circumstances and can't make a payment on time, they should contact us immediately to explain the reason why. We will consider the customers circumstances and may review or cancel the payment plan depending on; the reason, previous payment history, the amount of debt owed, any conditions attached being met.
- In the event of failure to pay, the payment plan will be cancelled and recovery action will commence or continue as previously notified without any further notice.

9.0 Omission, Evasion and fraud

- 9.1 Occasionally customers do not tell us about a change in their circumstances promptly i.e. an omission e.g. an award of Attendance Allowance that affects the financial assessment for care fees or another adult moves into a taxpayer's property that removes the single person discount for council tax. In such cases the Council will backdate the change to the actual date of the change which can increase the amount of a debt or create a new debt. The Council will consider how we recover the debt having regard to the individual's circumstances and why the omission occurred.
- 9.2 Evasion of payment and fraud reduces the financial resources available to us and has a direct impact on all residents and businesses that rely on us for their services. Evasion and fraud will not be tolerated and where identified the Council will take robust enforcement action to recover the debt as quickly as possible and may seek to impose further penalties or sanctions as the law allows.
- 9.3 If a customer vacates and doesn't provide us with a forwarding address the Council will try to trace them which may include the use of external specialist tracing agencies. If we are not able to trace debtors we will continue to take recovery action by issuing documents to their last known address.

10.0 Review and continuous improvement

- 10.1 The Council will follow best practice when recovering debt and have regard to good practice guidance issued by central government and other recognised organisations, e.g. Chartered Institute of Public Finance and Accountancy, Institute of Revenues, Rating and Valuation, Ministry of Justice, Local Government Ombudsman.
- 10.2 The Policy may be reviewed from time to time and refreshed as appropriate. Minor changes will be approved by the relevant Director and Portfolio Holder.

11.0 Measuring Performance

11.1 The Council aims to collect debts in a timely and efficient manner, this is essential to enable us to deliver services to residents and businesses. We will measure our performance using performance indicators. Key performance indicators are reported to Cabinet regularly and published on our website.

11.2 Collection rates and levels of debt will be reported to members annually.

12.0 Complaints, disputes, mistakes and feedback

12.1 We recognise that mistakes in the billing, collection and recovery of debts can cause distress to customers and our aim is to get it right first time. If a genuine mistake is made and brought to our attention we will put it right and apologise. We will look at our processes to see if we can prevent the same mistake happening again.

12.2 Disputes raised by customers about matters covered in this Policy will be investigated and responded to by a senior officer.

12.3 Complaints raised by customers about matters covered in this Policy will be dealt with in accordance with the Councils Corporate Complaints Policy.

13.0 Provision for Write off

13.1 Every effort will be made to collect debts, however in some circumstances it may be necessary to write off a debt if it becomes irrecoverable. e.g. the debtor is made bankrupt or small balances that are uneconomical to pursue.

13.2 Our Financial Standing Orders make provision for the Section 151 Officer to write off debts to a specified level, debts above this level require approval by Cabinet. A report detailing such debts is taken to Cabinet regularly.

14.0 Withdrawing Services

14.1 Non statutory services will be withdrawn completely from a nonpayer unless there are extenuating circumstances.

15.0 Data Protection

15.1 The Council will comply with the General Data Protection Regulations, further details are available on our website.

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Helping people | Shaping places



Cabinet

18 March 2020

Report of: Councillor Joe Orson - Leader of the Council

Climate Emergency - Recommendation to Council: Approach to Climate Emergency Action Plan

Corporate Priority:	Corporate Strategy 2020 to 2024: Protect our climate and enhance our rural, natural environment.
Relevant Ward Member(s):	
Date of consultation with Ward Member(s):	Choose date
Exempt Information:	No
Key Decision:	No
Subject to call-in:	No Not key decision

1 Summary

- 1.1 Melton Borough Council set up the Climate Emergency Policy Development Group in July 2019 to develop an Action Plan for consideration by Cabinet and Council by April 2020.
- 1.2 An action plan structure and content has been agreed by the Group and Cabinet's consideration of its approach is sought.
- 1.3 The proposal is to develop the activity on a progressive stage process as follows:
 - Scoping work
 - Baseline analysis
 - Decarbonisation pathways
 - Target setting
 - Action Plans
 - Monitoring and evaluation

Further detail on the content and intention of these stages is provided in the report below.

2 RECOMMENDATION(S)

2.1 That Cabinet:

Recommends to Council agreement of the approach set out in paragraph 6.1 and 6.2.

3 Reason for Recommendations

3.1 The approach proposed would set out the short, medium and long term approach to the challenging target of becoming carbon neutral by 2030.

3.2 The report also makes arrangements for governance and oversight of the activity going forward, which is considered to be of great importance as it will permeate most, if not all, parts of the organisation and in order to keep all members informed of progress, recognising the status of the subject as a Corporate Priority.

4 Options Considered

4.1 The approach proposed is considered to relate closely to the Councils' management, leadership and overall governance structures. Other models have been considered but are not considered to be sufficiently aligned.

5 Background

5.1 The Climate Emergency Policy Development Group, established in July 2019 has developed a series of suggested initiatives covering many aspects of the Council's activity and extending into how we influence others – both agencies and the wider public/economy e.g through planning powers. A meeting date has been set to invite stakeholders and experts to comment on our aspirations and invite them to share their knowledge and expertise.

5.2 The various initiatives considered have been prioritised using the principles of risk assessment to identify opportunities and their ease of implementation.

6 Main Considerations

6.1 Discussion took place at the meeting of the Policy Development Group in February regarding reporting back to Cabinet and then Council. A report structure & content has been agreed by the Group and Cabinet's consideration of this approach is sought.

- (i) Scoping (Policy Development Group) - Confirming what emissions will be covered by the programme – identification of 'scope 1 and 2 emissions' (as defined by the Carbon Trust) but also scope 3 emissions from purchased goods and services as well as indirect transport related emission sources and waste – this draws from the Group's deliberations so far and will be complemented by the stakeholder event.
- (ii) Undertake a Carbon baseline (External Contractor) - a comprehensive measurement of current carbon emissions on an organisational basis. Examples of approaches

from other locations and organisations have been sourced which demonstrate good practice and valuable insight.

- (iii) Identify ‘Decarbonisation pathways’ (MBC Officers & Policy Development Group)- use baseline data to set out options to decarbonise, considering what actions will be necessary and possible across the short, medium and long term including identification of budget implications. The Policy Development Group will review officer plans to decarbonise in each area (pathway) , to oversee judgements made on the approach suggested, the understanding of costs/risks of the different options, and to consider whether plans are sufficiently ambitious and realistic, and how they can be funded. This should include milestones and timeframes to achieve ambitions to help forge action plans.
- (iv) Target setting - Setting realistic targets & timetable for scope 1 and 2 emissions and, where required, separate targets for scope 3 emissions.
- (v) Develop Action Plans (MBC Service Areas and new Climate Change and Environmental Quality Board: an internal officer group, reporting to the Policy Development Group) - including roles and responsibilities and the necessary governance structures required to oversee the implementation of the plan.
- (vi) Monitoring and evaluation (Policy Development Group) – to receive progress reports from service areas via the Climate Change and Environmental Quality Board, and to report progress on the overarching action plan to Cabinet/Council on an annual basis; as part of wider reporting on the Corporate Strategy.

6.2 Members will be aware of the update on the deliberations of the Policy Development Group as reported to Council in December 2019. The proposed structure is intended to develop these and work them up, supplemented by any further initiatives identified, into a workable timetable of action in the short, medium and longer term, with associated targets for carbon reduction.

The measures themselves are likely to permeate most, if not all, of the Council’s business and activity and the Policy Development Group so far has identified measures within key themes. These themes are likely to form, or inform, the scope 1 and scope 2 areas referred to above as follows:

Estate/ MBC Practice	<ul style="list-style-type: none"> • Reduce plastic usage further e.g. small sachets for refreshments in meeting rooms, plastic bin liners that are not biodegradable, green cleaning products etc. • Council Housing: over time, housing improvements to include low carbon/carbon neutral materials, heating systems etc. Build in to maintenance programmes; • Consider use of estate and assets to provide exemplars of energy efficiency/carbon neutral development; • Investigate current status of investments, and the companies we use to see do we need to divest from carbon producing companies
Policy	<ul style="list-style-type: none"> • SPD on Design to develop approaches to energy efficient

	<p>development and alternative power sources; Consider scope for further 'green' planning policies such as water recycling;</p> <ul style="list-style-type: none"> • Upon review of Local Plan and other planning documents, to include Carbon neutral policy requirements (as distinct from current 'aspirational' terms); • Encouragement of exemplar development; consider the extent to which other planning policies may be compromised to achieve this;
Regulatory,	<ul style="list-style-type: none"> • Review scope and effectiveness Policy in fuel use terms;
Transport and travel	<ul style="list-style-type: none"> • Increased use of local food suppliers; • MBC vehicles to be energy efficient or electric; use of green fuels in Council owned vehicles. • Recharging points on MBC estate • Encourage electric Charging points around the Borough; Investigate the government scheme On-Street Residential Charge point Scheme (ORCS) • Investigate impact of increased volume of rural traffic on roads • Working with bus services to improve provision to rural areas to reduce need for personal transport.
Plastic and Waste	<ul style="list-style-type: none"> • Measures to promote recycling and reduce plastic in the environment. • Reduce waste to landfill; reduce methane 'greenhouse gas' emissions.
Air Quality	<ul style="list-style-type: none"> • Establish a monitoring system before MMDR finished, providing a baseline. • Encourage enhanced tree planning along route of MMDR
Flooding	<ul style="list-style-type: none"> • Enhanced Disaster planning strategy for the impact of future flooding events; identification of vulnerable properties pro-active prior warning to residents based on weather warning and flood alerts; publishing of contact information for assistance; further recruitment of flood wardens; additional localised sand bag provision (as per Bottesford). • Campaign for better flood defences and preventative works.
Grounds fencing & benches	<ul style="list-style-type: none"> • Wider use of recycled plastics, which last longer than timber. • Use of peat free products and review of the use of pesticide and chemical treatment. Scope for leaving areas of grass uncut as meadowland. • Battery powered equipment , a commercial level ride on mower and wood chipper • Opportunities for tree and wild flower planting, e.g. within the Country Park and around the top grassed areas to the rear of Phoenix house. • Consideration of biodiversity and green space management as this might be a source of offsetting; • Future opens spaces to include increased planted areas (as opposed to recreational grass space).

7 Consultation

7.1 No public consultation has been undertaken in relation to the proposals set out to date, though the stakeholder event involved external parties. As a Corporate Priority there is a

requirement to carry out a stakeholder analysis and deploy a communication strategy. An 'environment or climate change summit' has been suggested for later in 2020.

- 7.2 Climate change and environmental issues has become a priority in the 2020-2024 Corporate Priorities following consultation towards their overall formulation.

8 Next Steps – Implementation and Communication

- 8.1 The recommended proposals will be presented to the Council meeting on 8th April 2020.

9 Financial Implications

- 9.1 No budget has been assigned to this work and it is not known what the expected overall spend will be. This should be a key component of the Action Plan activity and will influence future budget setting activity.

- 9.2 An exception to this is the baselining activity referred to above, for which a sum of £5,000 is required. This would support and expert, independent commission to measure the Council's own carbon production and the 'pathways' around which to develop Action Plans. This can be funded from within established budgets.

Financial Implications reviewed by: Director for Corporate Services – 10.03.20

10 Legal and Governance Implications

- 10.1 Oversight and Governance of this activity would be provided by the continuation of the Climate Emergency Policy Development Group, with annual updates provided to Council. Within senior management structures, an Environment Board is to be established to oversee and co-ordinate this work along with the other activities that are comprised within the Corporate Priority "Protect our Climate and enhance our rural, natural environment". Regular updates and discussion of key issues would be provided through liaison with the Portfolio Holder.

- 10.2 Work planning and budgetary implications, including the influence the work has on budget setting, would be managed through the normal management and governance provisions

Legal Implications reviewed by: Director for Governance & Regulatory Services– 10.03.20

11 Equality and Safeguarding Implications

- 11.1 No equality or safeguarding issues have been identified to date.

12 Community Safety Implications

- 12.1 No community safety issues have been identified to date.

13 Environmental and Climate Change Implications

13.1 This report is fundamental to the Council’s future measures in respect of environmental impact and climate change. The work programme will develop steps to realise our ambitions to realise the objective of the Council becoming carbon neutral by 2030.

14 Other Implications (where significant)

14.1 None

15 Risk & Mitigation

Risk No	Risk Description	Likelihood	Impact	Risk
1	Measures identified are likely to require refocussing of Council investment and expenditure.	High	Critical	High
2	Measures affecting external parties ('scope 3' activities) are more difficult to secure and measure.	Very High	Marginal	Medium
3	Lack of 'Buy in' of Leadership and wider organisation.	Very Low	Critical	Low

		Impact / Consequences			
		Negligible	Marginal	Critical	Catastrophic
Likelihood	Score/definition	1	2	3	4
	6 Very High		2		
	5 High			1	
	4 Significant				
	3 Low				
	2 Very Low			3	
	1 Almost impossible				

Risk No	Mitigation
---------	------------

1	Long term planning will ensure that measures proposed are included within budget setting procedures, and are regarded as 'mainstream' within service delivery.
2	Opportunities to enhance the influence on key external parties arise from the Council's role as landowner, landlord and Local Planning Authority.
3	The subject area has been included as a Corporate Priority 2020-24, raising its profile amongst Members and staff. Internal management arrangements are being developed to reflect and support the Corporate Priorities, which will ensure it is disseminated to all levels of key staff.

16 Background Papers

16.1 Report to Council 18.12.2020 and Appendix A.

17 Appendices

17.1 None.

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Cabinet

18 March 2020

Report of: Councillor Alison Freer-Jones -
Portfolio Holder for Corporate
Governance, Access and
Engagement



Allocation of Community Grants

Corporate Priority:	<p>Helping people fulfil their potential and achieve their ambitions.</p> <p>Working with our partners to address vulnerability and tackle the root causes of social problems, building safe, happy and healthy communities.</p> <p>Focussing on our priority neighbourhoods, supporting people to overcome disadvantage and live well independently.</p>
Relevant Ward Member(s):	
Date of consultation with Ward Member(s):	Choose date
Exempt Information:	No
Key Decision:	<p>Yes</p> <p>c) Has significant impact on two or more wards in the Borough and on communities living or working in those areas</p>
Subject to call-in:	Yes

1 Summary

- 1.1 This report outlines and seeks approval for the award of the Community Grants budget for the financial year 2020/21. The recommended allocations follow a robust assessment process by a panel consisting of the Portfolio Holder, The People Manager and the Community Policy Officer. The Panel assessed the grants in line with the approach set out within the recently approved Community Grants Policy.
- 1.2 The Policy ensures there is an underpinning appraisal and assessment upon which the grants can be awarded. It is an interim step towards a longer term vision of a community

commissioning approach that will enable the Council to get best value from the budget available for Community Grants.

2	Recommendation(s)
2.1	That Cabinet: approve the award of Community Grants as detailed in Appendix B;
2.2	approve a delegation for the Director for Housing and Communities to approve in-year small grants awards, in consultation with the Portfolio Holder for the remaining budget during 2020/21.

3 Reason for Recommendations

- 3.1 The allocation of the grants has been made following a robust, clear and transparent assessment panel in line with the recently approved Community Grants Policy.
- 3.2 The Policy itself was developed following public and internal stakeholder consultations throughout June to September which included Scrutiny Committee. Results of the consultations demonstrated overwhelming support for the principles shaping the new process.

4 Options Considered

- 4.1 Maintain the Status Quo of Community Grants Allocations - this would go against the principles of the new policy.

5 Background

- 5.1 In October 2019, Cabinet approved the new policy for awarding community grants in future years.

Discussions with Elected Members and wider public consultations shaped the framework within the Policy to ensure the Council secures best value from the budget available for Community Grants going forward.

6 Main Considerations

- 6.1 Following approval of the policy, the application window was opened for 11 weeks and Community Groups were encouraged to apply.
- 6.2 The total grant available for 2020/2021 is £53,620. This includes a one-off contribution of £10,000 identified during the budget setting process.
- 6.3 20 organisations applied for funding totalling £126,510.68, a summary of the organisations and applications are available in Appendix A.
- 6.4 Applications received were assessed and scored in accordance with their ability to demonstrate how they meet the criteria set out within the Community Grants Policy. These are:
- A clear contribution to one or more of the Council's Corporate People Priorities:

- Helping people fulfil their potential and achieve their ambitions.
- Working with our partners to address vulnerability and tackle the root causes of social problems, building safe, happy and healthy communities.
- Focussing on our priority neighbourhoods, supporting people to overcome disadvantage and live well independently.
- Value added self help activities such as volunteer resources, match funding and active engagement with the Melton Community Lottery.
- A breakdown of how the money will be spent and considerations for long term sustainability.

There was also a 'proportionality weighting' which evaluated the funds requested against the service being delivered.. Whether an applicant had made efforts to secure additional funding through the Melton Community Lottery was also considered, with those who have sought to use this route securing additional credit for doing so.

- 6.5 The successful organisations and the amounts awarded (ranked from highest to lowest score) are shown in Appendix B. It should be noted that some of the successful organisations are not proposed to receive the full amount requested.

The amount of the proposed awards totals to £50,934.

- 6.6 The proposed allocation sees a wider range of services and a number of smaller local services benefit from the Community Grants fund than has previously been possible.

The services offered from these organisations include Mental Health training and support to develop life skills and enhance development whilst providing volunteering opportunities for individuals with learning disabilities; early years provision including help for families, services helping to improve rural and social inclusion via access to better internet and other services will also benefit from funding; organisations aiding those older people within the Borough in order to promote independence whilst also helping combat loneliness and advice & guidance services will continue to receive funding. There will be an additional focus on services promoting Wellbeing, Health and Arts & Culture.

This year's awards aim to benefit more people with a wider positive impact than we have seen previously. A number of the awards support an organisation to set up a delivery model by providing the infrastructure or equipment so they can continue to deliver the service on an ongoing basis without relying on ongoing funding. There are some potential impacts in relation to services currently funded by the Council but work to mitigate these is underway and considered in the 'Consultation' section below.

Based on the proposed allocations, £2,686 remains which will be set aside to be considered for any requests that come in through the year. This is in line with Scrutiny recommendations.

- 6.7 Unsuccessful applicants will be offered feedback along with advice and guidance on alternative funding options including the self funding opportunities available through the Melton Community Lottery.

7 Consultation

- 7.1 The policy itself was developed following public and internal stakeholder consultations throughout June to September which included Scrutiny Committee.
- 7.2 Results of the consultations demonstrated overwhelming support for the principles shaping the new process.
- 7.3 An initial consultation has recently taken place with Citizens Advice Leicestershire (CAL) as, if the proposed allocations are agreed, they will see a reduction of £19,000 in funding for the year 2020/2021. This was to discuss potential implications and explore alternative delivery options and an agreement in principle has been reached as follows:
- The service will continue to run on the current basis (session hours and premises costs) for a maximum of six months until 30th September 2020.
 - During this six month period but as soon as is possibly practical, CAL and the Council will work together to explore the option of operating a largely remote service with limited face to face delivery from either Parkside, Phoenix House and/or the Children's Centres for crisis management support.
 - The intention is to reach a consensus on what more focussed remote service delivery would look like by the end of May at the latest. The earlier a proposal is agreed, the more financial flexibility will be available for the newly agreed model.
 - All parties are fully aware that, if an agreement is not able to be reached on the above, then CAL will cease to run it's face to face delivery from Melton from the 1st October. The national telephone and web-based services will still be available.

8 Next Steps – Implementation and Communication

- 8.1 All successful, partially successful and unsuccessful applicants will be given feedback and signposted to alternative support, funding avenues and the lottery where appropriate.
- 8.2 Discussions will continue to take place with CAL to explore and reach agreement on the partial remote service referred to in 7.3.

9 Financial Implications

- 9.1 The total community grant budget set for 2020/21 is £53,620 which is partly offset by a contribution from the lottery scheme of £3,620. The amount of the proposed awards comes to a total of £50,934, leaving a remaining budget of £2,686 which will be put aside to be considered for any requests that come in through the year. It is proposed delegated authority is given to Director for Housing and Communities; in consultation with the Portfolio Holder to award grants from the remaining budget allocation.
- 9.2 There is a potential reduction or loss in rental income from Citizen's Advice Leicestershire of up to £15,000 per annum. The initial proposals set out in 7.3 may see an in-year reduction in 2020/21 of rental income of between £7,500 to £11,250 (This will depend on how quickly a new model can be agreed). In future years from 2021/22 if the full rental income is lost then the Council may need to consider a reduction in the overall community grants budget provision to help mitigate all or some of this loss.

Financial Implications reviewed by: Director for Corporate Services – 09.03.20

10 Legal and Governance Implications

- 10.1 The Council has the power to award grants to organisations using its general power of competence in section 1 of the Localism Act 2011. In exercising the power the Council must satisfy its public law duties. In essence this means that in making the decision the Council must have taken into account only relevant considerations, followed procedural requirements, acted for proper motives and not acted unreasonably. The Council's Grants Policy provides a consistent basis upon which grants are awarded and reviewed and is a clear statement of the criteria that the Council is applying when considering Grants. Compliance is essential if the Council is to defend any challenge to its decision making process.

Legal Implications reviewed by: Legal & Governance Manager – 10.03.20

11 Equality and Safeguarding Implications

- 11.1 The Community Grants Policy went through a thorough Check and Challenge process using an Equality Impact Assessment. The allocation of funding is based on the Policy and therefore any annual grants in line with the policy do not require a further EIA.

12 Community Safety Implications

- 12.1 Allocation of the grants in line with the new policy is considered to have a positive impact on community safety as part of the corporate priorities that the grants have been scored against.

13 Environmental and Climate Change Implications

- 13.1 None

14 Other Implications (where significant)

- 14.1 None

15 Risk & Mitigation

- 15.5 The main risk identified for consideration is managing the organisational, financial and public impact from the reduction in funding to CAL. Ongoing discussions are taking place with CAL to manage delivery of a partially remote service with no immediate impact to the service as described in 7.3.

In the event an agreement fails to be reached on a service as described in 7.3, CAL is likely to remove its face to face service.

It is also important to note that there should also be a positive impact as the public start to see a wider range of services and smaller local organisations benefit from the Community Grants fund.

Risk No	Risk Description	Likelihood	Impact	Risk
1	Impact of reduced funding for CAL could force the organisation to close its Melton based face to face support	Significant	Critical	Medium Risk
2	Impact of reduced funding for CAL forces them to move premises reducing rental income for Parkside	High	Marginal	Medium Risk
3	Challenge / reputational impact from media, community and unsuccessful / partially successful applicants.	High	Marginal	Medium Risk

		Impact / Consequences			
		Negligible	Marginal	Critical	Catastrophic
Likelihood	Score/ definition	1	2	3	4
	6 Very High				
	5 High		2,3		
	4 Significant			1	
	3 Low				
	2 Very Low				
	1 Almost impossible				

Risk No	Mitigation
1	Discussions are currently taking place with CAL regarding what can realistically be delivered with the funding available including the option of a more focussed remote service. This will also include the options for referring to the national web and telephone based support.
2	Corporately, the use of space at Parkside for commercial purposes is currently being assessed and alternative options will need to be considered as part of this. This may also include the potential to reduce the CAL footprint, from 4 to 2 desks. This will lead to continued income received from CAL, albeit a smaller rate, and also ensure they retain a presence within the building. This would also be subject

	to successful negotiation with CAL.
3	<p>The Council has undergone a very thorough and transparent funding allocation process which received public and member support during consultation.</p> <p>Failure to allocate the funds according to the outcome of the fair process applied may subject the Council to challenge and consequently more damaging reputational impact.</p> <p>Verbal feedback will be given to individual organisations and advice where appropriate on alternative sources of support.</p>

16 Background Papers

None

17 Appendices

17.1 Appendix A Summary of Organisations and Applications

17.2 Appendix B - Successful Organisations And The Amounts Awarded

Report Author:	Aysha Rahman , People Manager
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Item 7 Appendix A – Summary of Organisations and Applications

Large Grants £1,000+		
Organisation Name	Amount Requested	Brief Project Overview
1279 (MM) Squadron	£10,000	<p><u>Challenge academy Leadership Kit</u></p> <p>Install a permanent outdoor challenge course within its grounds. The bespoke kit will offer a series of outdoor challenge course activities and learning activities, which will then be used for personal and team development of cadets, staff and volunteers alike. With a focus on outreach and mobility, it will combine a series of physical challenges with team and individual problem-solving skills. A number of different activities will be included within the course, from Mission Impossible and Boardwalk to The Zone and Railtracks, which will be set up in a number of configurations, to accommodate all levels of ability and challenge.</p>
Access all Areas	£10,000	<p><u>Mental Health & Employment</u></p> <p>Access All Areas aim to work in partnership with Melton Borough Council by providing a mental health and employment support service. This involves intensive mentoring, local employer engagement, individual caseload management and group training sessions.</p>
Age UK	£8,000	<p><u>Seniors Support</u></p> <p>Age UK LS&R, formerly Age Concern, has been actively involved in delivering services to older people and their carers living across the Borough of Melton for approximately 60 years. The aim of the charity is to support people to continue living within their own local community rather than having to go into residential or nursing care homes. At the same time, the charity is committed to taking some of the pressure off family or friends who may have a caring role.</p>
Citizen's Advice Leicestershire (CAL)	£38,220	<p><u>Advice Service</u></p> <p>Deliver a high quality local advice service for Melton. The approach will improve outcomes by building on best practice, enhancing client journeys and providing Melton residents with appropriate advice tailored to individual need</p>
Dove Cottage	£5,000	<p><u>Hospice Health and Social Day Care Services</u></p> <p>For over 20 years have been proud to provide hospice health and social day care services to the people of the rural areas of the Melton area living with various long-term conditions, allowing them to get the care and support they need while living at home. The strategy for the</p>

		coming year is to include more of a focus on wellbeing and rehabilitative palliative care, allowing people to set goals and giving them the skills to maintain and improve their quality of life allowing them to stay in their own homes for longer. We would like to offer more wellbeing activities such as yoga, relaxation techniques, complementary therapies and various other support sessions. Activities such as these can support resilience, self-esteem and pain management and also help towards rehabilitation.
Homestart	£3,000	<u>Parental Support & Baby Development</u> Providing focused 8 week courses for mothers (and fathers) suffering from Post Natal Illness we will increase the personal, social and emotional development of very young babies and the wellbeing of the whole family including older siblings. Home-Start Horizons has previously successfully delivered courses in Leicester and across the County. Health Visitors continue to seek to refer parents to us to access MIMS courses and need is increasing.
MADMAC	£7,000	<u>Debt Advice</u> Face to face work with clients to collate and manage finances and debt: with the objective of clearing it, giving every client their most suitable option to become debt free, whilst also looking at budgeting issues, increasing income and decreasing expenditure items. Negotiating with creditors on client's behalf, working closely with other agencies for the best outcome for clients
Melton in Bloom	£12,967.84	<u>Community Sculpture & Commemorative Structure</u> Part 1: To create a community commemorative sculpture to celebrate Melton's heritage links with the armed forces. Part 2: To create a prominent permanent horticultural structure further enhancing an area which is currently very grey and which will prevent hazardous parking.
Mencap	£3,000	<u>Training & Trainers Package (Mencap Users – Learning Disabilities)</u> Project is to develop and deliver an in house training and trainers package to ensure quality of care and best practice. It will teach skills and communication that will aid volunteers seeking employment or training in the caring profession. It will also help develop Mencap clients' confidence working with local community. This is aimed at Melton Mencap users - people with learning disabilities from 4 years up to develop social skills, independence and confidence. To equip these

		young people with life skills and develop employment opportunities. Also provides families with respite.
ShopMobility Melton	£5,000	<p><u>Maintenance of Mobility Scooters</u></p> <p>Main objective is to keep our mobility scooters maintained for our customers who use them regularly. So they can access the local amenities with their own independence. This means we would use the funding for service costs and new batteries.</p>
Stathern War Memorial Institute	£2,684.08	<p><u>Broadband to run IT Classes for the Elderly – Rural</u></p> <p>Install a phone line, and then get broadband with WiFi and computer equipment at the hall in order to provide IT classes for the elderly by providing access to computer equipment and volunteers to help them get online and engage with the world beyond the parish, connecting them with family and friends further afield - and in some cases across the other side of the world. The objective of this is to reduce loneliness for some of the most vulnerable in our society, for example the elderly, and to aid independent living.</p>
Sunny Skies	£5,000	<p><u>Renovation of 'Quiet Space'</u></p> <p>We rent a café space where we support adults to learn customer service, money skills, healthy living skills and develop independence, but alongside this we have been offered a space for downtime, to support adults in a quiet homely environment, when the noise and work load is too much for some of our volunteers. It requires some renovation to become comfortable and so we have not yet been able to make use of this space. It needs new level flooring for our wheelchair users, better lighting and safer heating along with furniture and decoration. This space would enable us to support more people in an environment suitable to their needs, and enable us to offer more evening opportunities for learning disabled adults who otherwise would be isolated at home as well as the wider community.</p>
Wellbeing Art	£2,500	<p><u>Art Classes for Mental Health & Learning Disabilities</u></p> <p>Provide Art classes for people suffering Mental health issues or those with Learning Difficulties in a studio in Melton. Project is for funds to cover materials, studio hire and cost of tutor. This will then allow the fees to be used to grow the group with the aim of being self sustainable.</p>
Young Leicestershire	£9,167.76	<p><u>Youth Sessions</u></p> <p>Aim to deliver youth work sessions to a total of</p>

		80 young people over a year. Based in The Edge and Cove Children's Centres, due to a lack of funding our provisions are at significant risk of closure. We presently open 1 session per week at each centre providing a junior and senior session, delivering positive activities for young people as a diversion from anti-social behaviour.
Total:	£121,539.68	
Small Grants under £1,000		
103 The Eye	£999	<u>Storage unit for equipment used in outside broadcast</u> Using our new mobile studio (purchased with the help of East Leicestershire LEADER funding) to take the radio station out into the community to do live outside broadcasts and recorded programmes on location, attending events such as village fetes, providing media training for schools and other organisations, providing a stage for local musicians, helping charities to fundraise.
Asfordby Amateurs Ladies, Girls & Inclusive FC	£860	<u>Goal Posts</u> Purchase of two sets of 7 a side goalposts as they have outgrown their current space and require additional equipment
Melton Furniture Project	£500	<u>Fuel to cover additional volunteer hours</u> To contribute towards fuel for the delivery van in order to cover additional hours for Volunteers to work. Aiming to grow the project
Melton Space	£1,000	<u>Tool Library</u> To establish and manage Tool Library for Melton Mowbray Through membership of Melton Space everyone will be able to borrow tools from the Tool Library. The membership fee is a minimum of £1 per month (or what members wish to pay above that), thereby not excluding anyone on the basis of their income.
Melton Mowbray Tennis Club	£972	<u>Disability Coaching Programme (Inclusive Tennis)</u> MMTC aims to continue its disability coaching programme with Birchwood Special School offering free of charge weekly LTA coach led tennis sessions at Melton Sports Village. MMTC aims to give disadvantaged persons from the local community an opportunity to join in a weekly 1 hour LTA coach led tennis activity session offered free of charge. The hope would be to increase physical activity and allow this group the opportunity to play the sport of tennis at Melton Sports Village.
Raising Health – Melton	£640	<u>Additional Breast Pumps</u>

Breast Friends		Melton Breastfriends support women to breastfeed for as long as they want. Some women have problems with their milk supply or are having to express their milk for a variety of reasons e.g baby premature or unwell.. Currently they have 2 electric breastpumps that they loan out to women for free to help with expressing. These pumps are always in use and there is often a waiting list. The group would like to be able to purchase some more breast pumps
Total:	£4,971	Total (Small & Large) £126,510.68

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Appendix B

Item 7 Appendix B – Successful Organisations and Amounts Awarded (Ranked from highest to lowest score)

Large Grants £1,000+		
Organisation Name	Amount Requested	Amount Allocated
Mencap	£3,000	£3,000
Homestart	£3,000	£3,000
Stathern War Memorial Institute	£2,684.08	£2,684
Age UK	£8,000	£8,000
1279 (MM) Squadron	£10,000	£5,000 (50%)
Access all Areas	£10,000	£3,000 (30%)
Sunny Skies	£5,000	£2,500 (50%)
Citizen's Advice Leicestershire (CAL)	£38,220	£19,000 (50%)
Wellbeing Art	£2,500	£1,000 (40%)
	Total Allocated	£47,184
Small Grants Under £1,000		
Asfordby Amateurs Ladies, Girls FC	£860	£860
Raising Health – Melton Breast Friends	£640	£640
Melton Mowbray Tennis Club	£972	£700 (72%)
Melton Space	£1,000	£650 (65%)
Melton Furniture Project	£500	£500
103 The Eye	£999	£400 (40%)
	Total Allocated	£3,750

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Helping people | Shaping places



Cabinet

18 March 2020

Report of: Councillor Joe Orson - Leader of the Council

Strategic Risk Register - six monthly review

Corporate Priority:	Service excellence in all we do
Relevant Ward Member(s):	
Date of consultation with Ward Member(s):	Choose date
Exempt Information:	No
Key Decision:	No
Subject to call-in:	No Not key decision

1 Summary

- 1.1 It is important that Cabinet are aware of the significant risks that face the Council and have ownership of the risk management arrangements in place and the activities that are being undertaken to mitigate those risks.
- 1.2 Risk Management forms part of the Audit and Standards committee terms of reference and have formal responsibility for overseeing the Risk Management arrangements for the Council.
- 1.3 This report outlines the current significant risks that have been captured on the recent review of the Councils strategic risk register by the Senior Leadership Team.

2 Recommendation(s)

- 2.1 That **Cabinet;**
note the contents of this report and review the Strategic Risk Register attached at Appendix A.

3 Reason for Recommendations

- 3.1 One of the key areas for Cabinet, as part of its terms of reference, is to have awareness of the strategic risks that could impact on the Council and to review the risk management arrangements in place and the activities that are being undertaken to mitigate those risks.

4 Options Considered


- 4.1 An alternative option is that Cabinet do not review the Strategic Risk Register. This is not considered a viable alternative as it is essential that Cabinet have strategic oversight of the organisation.

5 Background

- 5.1 The Strategic Risk Register captures the current significant risks and outlines mitigating actions. Members of the Audit and Standards Committee last reviewed this in September 2019 when the current Risk Management Strategy was updated and approved.

6 Main Considerations

- 6.1 A copy of the Strategic Risk Register is attached as Appendix A. This consists of a Risk Matrix which plots the risks being managed at this level along with the actual register itself which includes the current and target risk score, along with further details for each risk such as potential consequences, the controls in place and any action required. Members will note there are currently 11 risks being monitored at this level – 3 high risks, 8 medium risks and 2 low risks.
- 6.2 In summary the top 5 key risks facing the council and commentary on the change in risk level since the last report are:

RISK	RATING	SCORE	MITIGATING ACTION/CHANGE
The council housing stock not being compliant with property health and safety standards	High	20 Previous Score (24) 	<ul style="list-style-type: none">• This is managed as a key corporate priority with appropriate levels of resources being allocated through the Housing Improvement Plan.• Regular monitoring of the Housing Improvement Plan for the compliance and quality of housing stock is managed through multiple governance structures such as board meetings, operational meetings which have senior leadership oversight.• Clear communication is undertaken with key stakeholders to ensure that progress is communicated regularly.

			<p>Since the last meeting Council Housing Health and Safety has improved following the approval of the Housing Improvement Plan which has allocated resources to support the improvements required alongside an upgrade to the housing system to support record management.</p>
<p>Failure to Secure financial stability in the medium term</p>	<p>High</p>	<p>20</p> <p>Previous Score (15)</p> <p>↑</p>	<ul style="list-style-type: none"> • Savings options are identified and considered through review of the Corporate Delivery Plan. Prioritise spending plans that will generate savings in return. • Consider options for reducing failure demand e.g. prevention and demand reduction through service redesign. • Consider the CIPFA financial management code requirements once final version has been issued. <p>Since the last meeting the risks around financial sustainability have increased due to the loss of funding from New Homes Bonus and the delay in the fair funding review and it should be noted that until we have some certainty this risk will remain high.</p>
<p>Non-compliance with General Data Protection Rules, records not being up to date, personal data being held on systems which is incorrect, lack of consistent data keeping</p>	<p>High</p>	<p>15</p> <p>New risk</p>	<ul style="list-style-type: none"> • Focussed data protection training for high risk areas to be rolled out. • Records retention to continue to be reviewed and regularly rolled out. Information • Asset Register to be reviewed by managers on an annual basis. • Implement new IT systems and reconfigure resources in Corporate Improvement Team to support improved data retention on systems. <p>Data Compliance and management is a new risk which has been added due to the concerns around record management which have come to light. This is linked to the issues</p>

			within the housing function and the need to upgrade our IT systems to improve the data management within the council.
Future provision of ICT services following end of current outsourced contract	Medium	12 ↔	<ul style="list-style-type: none"> Consider outcome of review by Digital Consultant and agree way forward for Leicestershire Information Communication Technology Partnership as a result. Continue discussions with IT supplier and transition to any new arrangement.
Failure of a key supplier	Medium	12 ↔	<ul style="list-style-type: none"> Ongoing robust monitoring of key suppliers/contracts. Internal audit consultancy assignment commissioned to monitor the contract implementation for housing repair contract.

6.3 Since the last meeting the keys point to note from the table above and the risks attached are:

- There was a risk around the impact of United Kingdom withdrawal from the European Union but this has reduced following the avoidance of a No Deal position; and the risk has been re-designated to consider the failure of the UK to agree a new deal with the EU post January 2021
- The other risk scores have remained the same as a number of actions are still being worked through and have a longer timeline for implementation of mitigating actions.

7 Consultation

7.1 Consultation has been undertaken with the Chair of the Audit and Standards Committee.

8 Next Steps – Implementation and Communication

8.1 None – The Council will continue to monitor and update the Strategic Risk Register as appropriate and will report back to members later in the year with a further update.

9 Financial Implications

9.1 There are financial implications from poor Risk Management however, with robust procedures these should be minimised or eradicated.

Financial Implications reviewed by: Director for Corporate Services – 03.03.20

10 Legal and Governance Implications

- 10.1 The Accounts and Audit Regulations 2015 Part 2 Section 3A(c) require the Council to have in place a 'sound system of internal control which includes effective arrangements for the management of risk'.
- 10.2 Failure to adequately address Legal issues arising from any activity of the Council increases risk. Officers endeavour to ensure Members are adequately advised and projects properly implemented to ensure that Legal requirements are met.

Legal Implications reviewed by: Director for Governance & Regulatory Services – 04.03.20

11 Equality and Safeguarding Implications

- 11.1 There are no direct equality or safeguarding issues arising from this report.

12 Community Safety Implications

- 12.1 There are no direct links to community safety arising from this report.

13 Environmental and Climate Change Implications

- 13.1 There are no direct environmental or climate change implications arising from this report.

14 Other Implications (where significant)

- 14.1 There are no other implications arising from this report.

15 Risk & Mitigation

All risks are outlined in the risk register in Appendix A

16 Background Papers

- 16.1 None

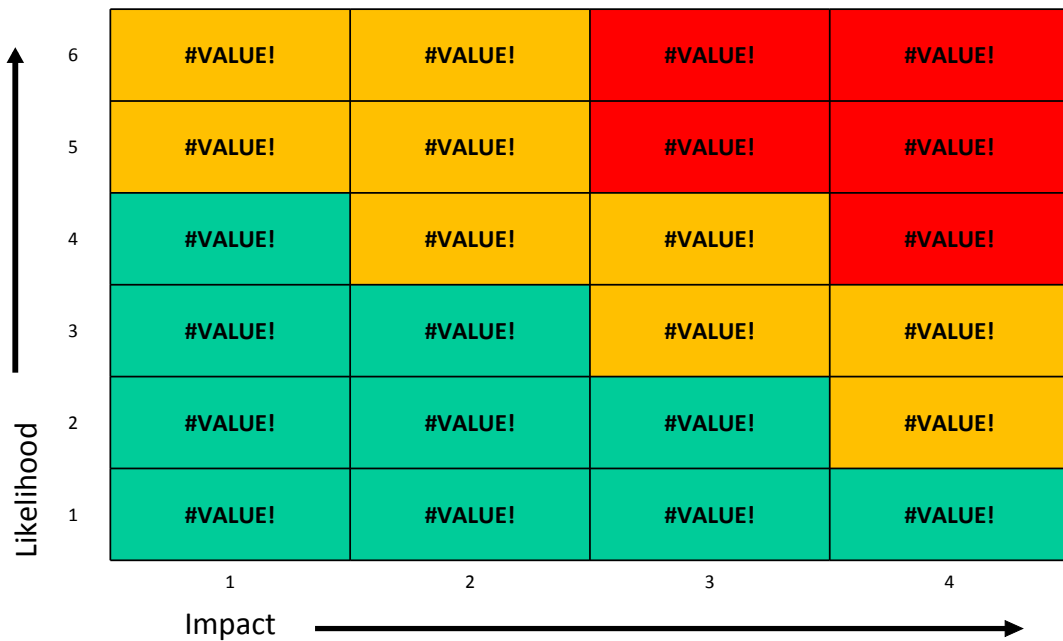
17 Appendices

- 17.1 Appendix A – Strategic Register March 2020

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Risk Register



Risk Ref	Risk Description	Current Risk Rating	Target Risk Rating
1	Failure to secure financial stability in the medium term	20	9
2	Future Provision of ICT services following end of current outsourced contract	12	9
3	Lack of People and Skills to deliver (Capacity and Resilience)	6	6
4	Failure to deliver inclusive growth	10	8
5	Failure to deliver MMDR	3	3
6	Financial pressures undermining partnerships (integrated working)	10	8
7	Failure of a key supplier e.g. Housing Repairs, Waste and Leisure	12	9
8	Failure to govern the organisation effectively	9	6
9	Following the end of the transition period, the adverse impact of no new agreement with the EU on the Council and local communities and businesses	9	6
10	The Council housing stock not being compliant to the property health and safety standards	20	6
11	Failure to have contractual provisions in place for goods, works and services procured by the Council	9	2
12	Non-compliance to safety and regulatory standards, unplanned expenditure requirements and unexplored income potential of Council's assets	10	3
13	lack of data management within the organisation leaving the Council at risk of breaching data protection legislation.	15	6

Risk Register

REF	RISK TITLE & DESCRIPTION (a line break - press alt & return - must be entered after the risk title)	RISK VULNERABILITY AND CAUSE	RISK CONSEQUENCES	EXISTING CONTROLS IN PLACE TO MITIGATE THE RISK	CURRENT RISK RATING (See next tab for guidance)			FURTHER ACTION REQUIRED	TARGET RISK RATING (6-12mths) (See next tab for guidance)			RISK OWNER	RISK REVIEW DATE
					LIKELI HOOD	IMPACT	RISK RATING		LIKELI HOOD	IMPACT	RISK RATING		
1	Failure to secure financial stability in the medium term	Government funding cuts. Fair funding Review and review of business rates baseline originally due to be effective from 2020/21 but timing now uncertain, NHB to be phased out but unclear what growth incentivised funding will replace this. Plan B whilst available is a last resort. Insufficient growth and share of growth used to assist with road funding. Partnership funding cuts. Demographics (increased demand). Cipa financial resilience concerns primarily regarding the level and rate of depletion of reserves. Need and desire to invest versus low level of capital receipts. Lack of asset condition information meaning capital strategy is not as well formed as it could be. HRA business plan is interim until stock condition surveys are complete.	Inability to achieve corporate objectives. Savings having to be made that impact service delivery. Low staff morale and high staff turnover as workforce is reduced leading to capacity issues. High cost services that fail to meet customer needs, demands and expectations. Poor customer satisfaction leading to high failure demand. Deterioration in asset conditions and no capital to invest in aspirations which could lead to increased income/reduced expenditure.	Priorities agreed through corporate strategy. Regular liaison and consultation with unions. Workforce Strategy e.g. staff training and support. Maximising partnership working to deliver better outcomes at reduced local cost. Regular review of MTFS. Well informed public and members around priorities, cost of services and resources available. Regularly review risk associated with partnership projects and funding. Ongoing review of any changes in government funding. Ongoing consideration to be given to public consultation to ensure the proposals are understood within the context of the financial position.	5	4	20	Savings options are identified and considered through review of the Corporate Delivery Plan. Prioritise spending plans that will generate savings in return. Consider options for reducing failure demand e.g. prevention and demand reduction through service redesign. Consider the CIPFA financial management code requirements once final version has been issued.	3	3	9	Director for Corporate Services	Sep-20
2	Future Provision of ICT services following end of current outsourced contract	Review of LICTP being undertaken which will help support direction re service delivery and closer working. In-house solution being considered, risk that we cannot recruit right experience and skills. Loss of ICT client manager a risk/disruption to progression. Transition from current contractor is not amicable. Resources within the partnership to implement in a timely manner. Not all partners fully support the partnership and may be looking at alternative provision.	Poor IT operational service leading to service issues and poor customer service, failure to invest in IT developments both strategic and operational leading to lack of service progress. Poor staff morale and frustration with IT provision. Failure of core systems resulting in loss of service.	Review by digital consultant. Proposals to create an in house IT programme manager with technical skills to liaise with contractor/client to ensure Melton's IT needs are meeting business needs. Use of external support and guidance to ensure any service transition is resourced sufficiently. Consideration of phased transition. More regular strategic review meetings to ensure partnership is aligned.	4	3	12	Outcome of review by digital consultant needs to reach a conclusion and agree way forward for LICTP as a result. Commence any discussions with IT supplier and transition to any new arrangement.	3	3	9	Director for Corporate Services	Jul-20
3	Lack of People and Skills to deliver (Capacity and Resilience)	Failure to recruit - affordability and availability. Lack of opportunities - retention. Ineffective performance management. Poor project planning. Pace of change/diversification - skills gap. Economic and societal issues.	Failure to deliver in key areas affected and high levels of pressure and workload. Frustration from members, partners and the public.	Delivery of actions in the Workforce Strategy action plan. New corporate structure. Prioritisation exercise. Embedding corporate mission, vision, priorities and values. Existing performance management framework.	3	2	6	Delivery of action plan supporting the Workforce Strategy. Review impact of actions taken. Reorientation of staff culture to support commercial ambitions	3	2	6	Director for Corporate Services	Apr-20
4	Failure to deliver inclusive growth	Businesses not attracted to the area. Not the right skills, infrastructure, technology available. Lack of available space (land assembly). Competition from other authorities. External funding/priorities (doesn't include inclusive growth)	Low skill, low wage economy. Employers leave the area. Social consequences. Reduced health and well being of citizens. Maintains a high demand on council services. Infrastructure under greater pressure/or risk of closure. Undermines the growth agenda.	Local Plan. Growth and Prosperity Plan 2018-2022. Structural realignment and increasing capacity to support. Prioritisation of growth. Manufacturing Zone grant funding received to take proactive measures to deliver employment sites and create jobs.	5	2	10	Skill audit for local businesses and identifying gaps and high risk areas. Collaboration with skill providers such as BMC and universities in neighbouring regions to provide skill enhancement. Improve access to skills and apprenticeships by considering transport arrangements with employers and skill providers.	4	2	8	Director for Growth and Regeneration	Jun-20
5	Failure to deliver MMDR	Funding from DFT withdrawn e.g. by change in Government of Gov. Policy. Developer contributions not realised or forward funding agreement with LCC not secured. National political instability.	Undermines the growth agenda. More pressure for Housing growth in rural areas. Community cohesion. Reputational impact.	DFT has awarded funding and there is a Project for the MMDR itself. Some s106 funds (£9 million) already secured. Planning permission granted for design and route of MMDR and contracts awarded for its construction 2021-2023. Permission granted for the road itself and housing sites it passes through (part) which include s106 provision to transfer the land and contribute funding. Key enabler of Strategic Growth Plan and referenced as a 'hook' for future finding bids. HiF bid for 'southern leg' now granted and LCC are leading on project management to add this part to the construction of north and east elements, working with MBC and landowners/developers affected by the route. Forward funding mechanism agreed between MBC and LCC. Continued examples of funds secured within various s106 agreement for development in Melton	1	3	3	Ongoing delivery of the project plan with LCC and developer/land owners affected. Consider to include financial contributions in s106 for major developments in Melton. Developer Contributions SPD will interface with this as it will address s106 priorities - MMDR contributions anticipated to feature prominently, i.e. the high priority in Melton.	1	3	3	Assistant Director for Strategic Planning and Delivery	Jun-20
6	Financial pressures undermining partnerships (integrated working)	Reduced funding from partners. Conflicting priorities between partners.	With ongoing financial pressures it is difficult to achieve effective partnership working that can have a real impact on key issues such as crime, ASB, substance misuse, social mobility, inclusive growth and homelessness.	Maintaining relationships with senior leaders from other organisations. Working through existing partnership structures. Take advantage of co-location and shared uses of buildings.	5	2	10	Further develop work of the People Board on outcomes framework. Work with local (Melton) partners to tackle this framework but also seek to work at the County level to influence key strategic partnerships. Overall focus should be on behaviour change and achievement of better outcomes.	4	2	8	Deputy Chief Executive	Sep-20
7	Failure of a key supplier e.g. Housing Repairs, Waste and Leisure	Supplier failure. Bankrupt.	Failure to deliver service. Reputational damage. Financial costs. Capacity to deal with the implications. Legal implications.	Robust procurement. Performance Bonds. Regular monitoring of the key suppliers and contracts.	4	3	12	Ongoing robust monitoring of key suppliers/contracts. Internal audit consultancy assignment commissioned to monitor the contract implementation for housing repair contract.	3	3	9	Director for Growth and Regeneration	Apr-20

Risk Register

REF	RISK TITLE & DESCRIPTION (a line break - press alt & return - must be entered after the risk title)	RISK VULNERABILITY AND CAUSE	RISK CONSEQUENCES	EXISTING CONTROLS IN PLACE TO MITIGATE THE RISK	CURRENT RISK RATING (See next tab for guidance)			FURTHER ACTION REQUIRED	TARGET RISK RATING (6-12mths) (See next tab for guidance)			RISK OWNER	RISK REVIEW DATE
					LIKELI HOOD	IMPACT	RISK RATING		LIKELI HOOD	IMPACT	RISK RATING		
8	Failure to govern the organisation effectively	Lack of appropriate digital infrastructure may not support governance procedures. Lack of effective professional and member leadership to ensure compliance. Lack of capacity may mean that governance processes are not complied with.	Failure to comply with legislation. Fraud or corruption occurs. Failure to make decisions based on robust information. Poor processes, ineffective systems. Failure to meet demand. Poor customer satisfaction. Inability to affect change/transformation. Poor Audit reports. Government intervention. Ineffective policy development and corporate planning.	Project Management Toolkit refreshed and promoted. Establishment of Melton Leadership Team and recruitment to a number of key senior positions. New Corporate Structure in place and new Director for Housing and Communities recruited to. Established internal communications and engagement mechanisms are supported by additional staff and implementation of LGA Communications Review is continuing. LGA Peer Challenge (December 2017) and subsequent LGA Governance Review (March 2018) identified actions that have been implemented. Governance structure continues to ensure transparency and better decision making and introduction of Democratic Services Team has improved advice and support. Ongoing training for key staff on decision making. Fraud and corruption policy and response plan, regular training and awareness and good communication of implications of fraud and corruption. risk assessed audit plan. annual fraud risk assessment. SLT held regularly with clear reports and accountability for leading the organisation.	3	3	9	Further monitoring will be undertaken with regard to the governance arrangements to ensure effective decision making. Policies will be updated in accordance with review dates. Risks will continue to be monitored and updated by Directorates. Work will continue to be undertaken to ensure that governance processes are clear for key staff so that there is compliance at all times. Project Management training will be undertaken. Accessibility of communications work is being undertaken to ensure compliance with new legislation.	2	3	6	Director for Governance and Regulatory Services	Oct-20
9	Following the end of the transition period, the adverse impact of no new agreement with the EU on the Council and local communities and businesses	Issues arising from no agreement with the EU resulting in similar impacts to those projected should the UK have exited the EU with no deal.	Impact on business continuity and organisational supply chains. Impact on communities and businesses increasing demands on council services. Reduced investment returns and complying with any regulations	Brexit impact assessment previously undertaken on local community and discussions taking place through the Local Resilience Forum. Will stand up again should this be necessary. Sharing on knowledge and implications through District Chief Execs meetings and the DCN. Lessons learned session held following previous leave deadlines in March and April.	3	3	9	Arrangements currently stood down. Subject to progress of the negotiations, the Council and LRF will stand up contingency planning again later in the year. Directors and managers would be requested to avoid leave during key timescales around new deadline of 31st December 2020, though this will be more challenging due to Christmas period. Project team will be established including reps from comms, communities and economic development teams.	3	2	6	Chief Executive	Sep-20
10	The Council housing stock not being compliant to the property health and safety standards	Old stock, lack of details from stock condition surveys, a fully comprehensive compliance framework not being in place.	Council being non compliant and failing in the duty as a landlord; tenants being exposed to safety risk; potential financial and reputational risks	Housing Improvement Plan (HIP) is approved by the Council in November 2019. Recruitment for all new roles approved as part of this plan is underway. HIP board is created for on-going monitoring of progress related to compliance. The Social Housing Regulator (RSH) has been contacted and kept updated on the information related to non-compliance. New director for Housing and Communities is appointed following the approval of the new corporate structure. Housing Asset Manager role is created to increase focus on housing repairs and voids. Recommendations from the internal audit report on landlord health and safety are being implemented to improve the safety of council owned homes. Interim HRA Business Plan is approved by the Council in January 2020 and relevant resources are allocated to tackle non-compliance.	5	4	20	This is managed as a key corporate priority with appropriate levels of resources being allocated through the Housing Improvement Plan. Regular monitoring of the Housing Improvement Plan for the compliance and quality of housing stock is managed through multiple governance structures such as board meetings, operational meetings which have senior leadership oversight. Clear communication is undertaken with key stakeholders to ensure that progress is communicated regularly	2	3	6	Director for Growth and Regeneration	Jun-20
11	Failure to have contractual provisions in place for goods, works and services procured by the Council	Contractual issues cannot be raised / managed due to no legal standing being in place	Inconsistent service delivery, reputational damage, no recourse to recover financial loss.	The contracts register has been updated and published on the website. There will be quarterly reviews until the electronic system has been developed and is in place.	3	3	9	Draft terms and conditions for higher value contracts have been drafted and will be rolled out with the amended Contract Procedure Rules	2	1	2	Director for Legal and Democratic Services and Director for Corporate Services	Jun-20
12	Non-compliance to safety and regulatory standards, unplanned expenditure requirements and unexplored income potential of Council's assets	Lack of available information on compliance, condition and investment requirement for Council's assets. Lack of capability and capacity within the team to update the database	Under-investment in repair and maintenance, reduced asset values, health and safety risk, penalty from regulatory bodies, lack of consumer trust	Through Corporate restructure, a new role for Corporate Assets Manager is created to provide clear focus. New shared roles are created to increase capacity within the team. Recruitment of vacant positions is underway. A business case for IT investment in asset management database and systems is being prepared.	5	2	10	Implementation and follow-up of actions and approvals to achieve the agreed outcomes.	3	1	3	Director for Growth and Regeneration	Jun-20
13	lack of data management within the organisation leaving the Council at risk of breaching data protection legislation.	Lack of capacity or skills within the workforce to implement a knowledge management system, Lack of IT capacity to support a knowledge and information management system, lack of capacity to update systems and information asset register, non compliance with GDPR	Non compliance with GDPR, records not being up to date, personal data being held on systems which is incorrect, lack of consistent data keeping	Data Protection guidance and training for staff, IT Security Policies in place, Plans in place to meet Government standards(PSN/GDPR), Staff and Member training on Information Security Policies and practice and sign up to policies, Data Protection Officer in place, Information Asset Register and processes for its management in place. Managements of systems reviews are being undertaken	5	3	15	Focussed data protection training for high risk areas to be rolled out. Records retention to continue to be reviewed and regularly rolled out. Information Asset Register to be reviewed by managers on an annual basis. Implement new IT systems and reconfigure resources in Corporate Improvement Team to support improved data retention on systems	2	3	6	Director for Governance and Regulatory Services	Aug-20

Risk Matrix and Scoring Guide

			Impact / Consequences			
			Negligible	Marginal	Critical	Catastrophic
		Probability	1	2	3	4
Likelihood	Score/ definition					
	6 Very High	More than 90%	Medium (6)	Medium (12)	High (18)	High (24)
	5 High	55% to 90%	Medium (5)	Medium (10)	High (15)	High (20)
	4 Significant	15% to 55%	Low (4)	Medium (8)	Medium (12)	High (16)
	3 Low	5% to 15%	Low (3)	Low (6)	Medium (9)	Medium (12)
	2 Very Low	1% to 5%	Low (2)	Low (4)	Low (6)	Medium (8)
	1 Almost impossible	0% to 1%	Low (1)	Low (2)	Low (3)	Low (4)

Likelihood		Impact	Description guide
Very High	> 90%	Negligible	Minor financial, no effect on service provision or reputation, limited physical consequences
High	55% to 90%	Marginal	£10k - £200K??, service slightly reduced broken bones/illness, objectives of one area not met, minor adverse local media, impact on inspection (s)
Significant	15% to 55%	Critical	£200K - £1M, service suspended short term / reduced, loss of Life/major illness, area objectives not met, industrial action, adverse national publicity
Low	5% to 15%		
Very Low	1% to 5%	Catastrophic	£1M- £10M, service suspended long term, statutory duties not delivered, major loss of life/large scale major illness, corporate objectives not met, mass staff leaving/Unable to attract staff, Remembered for years!! Service taken over permanently