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Meeting	CABINET
Time/Day/Date	5.00 pm on Tuesday, 24 June 2025
Location	Abbey Room, Stenson House, London Road, Coalville, LE67 3FN
Officer to contact	Democratic Services (01530 454512)

AGENDA

Item	Pages
1. APOLOGIES FOR ABSENCE	
2. DECLARATION OF INTERESTS	
Under the Code of Conduct members are reminded that in declaring interests you should make clear the nature of that interest and whether it is a disclosable pecuniary interest, registerable interest or other interest.	
3. PUBLIC QUESTION AND ANSWER SESSION	
4. MINUTES	
To confirm the minutes of the meeting held on 20 May 2025.	3 - 6
5. PEER REVIEW FEEDBACK FOLLOW UP	
The report of the Chief Executive Presented by the Leader	7 - 26
6. TREASURY MANAGEMENT STEWARDSHIP REPORT 2024/25	
The report of the Strategic Director of Resources Presented by the Finance and Corporate Portfolio Holder	27 - 44
7. ANNUAL CORPORATE COMPLAINTS	
The report of the Strategic Director of Resources Presented by the Housing, Property and Customer Services Portfolio Holder	45 - 114

8. SUPPLEMENTARY ESTIMATES, VIREMENTS AND CAPITAL APPROVALS

The report of the Strategic Director of Resources **115 - 122**
Presented by the Finance and Corporate Portfolio Holder

9. DELEGATION OF APPROVAL OF EMPLOYEE RELATED POLICIES

Report of the Chief Executive **123 - 124**
Presented by the Infrastructure Portfolio Holder

Circulation:

Councillor R Blunt (Chair)
Councillor M B Wyatt (Deputy Chair)
Councillor T Gillard
Councillor K Merrie MBE
Councillor N J Rushton
Councillor A C Saffell
Councillor A C Woodman

MINUTES of a meeting of the CABINET held in the Abbey Room, Stenson House, London Road, Coalville, LE67 3FN on TUESDAY, 20 MAY 2025

Present: Councillor R Blunt (Chair)

Councillors M B Wyatt, T Gillard, A C Saffell and A C Woodman

In Attendance: Councillors A Barker, J Legrys, P Moulton and J G Simmons

Officers: Mrs A Thomas, Mr J Arnold, Mr A Barton, Mr P Stone, Mrs A Crouch, Ms K Hiller, Mrs C Hammond, Ms H Panter, Mr R Hurst and Mr P Wheatley

1. APOLOGIES FOR ABSENCE

Apologies were received from Councillors K Merrie and N J Rushton.

2. DECLARATION OF INTERESTS

There were no interests declared.

3. PUBLIC QUESTION AND ANSWER SESSION

There were no questions received.

4. MINUTES

The minutes of the meeting held on 22 April 2025 were considered.

It was moved by Councillor T Gillard, seconded by Councillor T Saffell, and

RESOLVED THAT:

The minutes of the meeting held on 22 April 2025 be confirmed as an accurate record of proceedings.

Reason for decision: To comply with the Constitution.

5. PERFORMANCE MONITORING REPORT

The Housing, Property and Customer Services Portfolio Holder presented the report.

He advised in terms of his own area, he noted that two of the tenant satisfaction measures had fallen towards the end of the year, but noted that at the start of the current financial year the figures were moving in the right direction. He noted that a great deal of work had been done around the response times to customer complaints and that the Customer Services team was working with other services within the Council to seek to review the customer contact standards and handling complaints.

He then provided an update on behalf of the Finance and Corporate Portfolio Holder. He noted that the Strategic Director of Resources had taken steps to address the completion of the Statement of Accounts for 23/24. He advised members that the Council had made significant progress over the past two years in identifying savings and that the transformation programme continued to explore innovative ways of working and service delivery, which was expected to generate further savings.

The Business and Regeneration Portfolio Holder advised that the services had delivered against the targets.

The Planning Portfolio Holder advised that the targets for planning service were all comfortably above target for the fourth quarter in a row.

The Communities and Climate Change Portfolio Holder advised that there was now a plan in place for moving forward with the change to the recycling system and that the Market footfall had increased. He acknowledged how well attended the event that had been organised by Coalville CAN at Marlborough Square had been on Saturday and that the Love Your Neighbourhood had had a successful first year.

Members were thanked for their comments, which would be presented to Corporate Scrutiny on 19 June 2025.

6. RURAL ENGLAND PROSPERITY FUND 2025 - 2026 AWARD

The Business and Regeneration Services Portfolio Holder presented the report.

The Leader was very pleased to see that more money was being awarded and that recipients covered all of the district, not just one area.

It was moved by Councillor T Gillard, seconded by Councillor T Saffell, and

RESOLVED THAT:

1. The £140,699 grant from the Rural England Prosperity Fund be accepted.
2. It is recommended to Council that £140,699 is added to the capital programme for 2025/26 for the Rural England Prosperity Fund.
3. Authority be delegated to the Strategic Director (Place) in consultation with the Business and Regeneration Portfolio Holder to review and amend the delivery of the North West Leicestershire Rural Business Grant Fund and where required to make changes to the funding programme to respond and adapt to the changing economic environment and/or local needs.
4. Authority be delegated to the Section 151 Officer in consultation with the Business and Regeneration Portfolio Holder to submit the formal reporting as required by the Department for Environment, Food and Rural Affairs (DEFRA).

Reason for decision: To accept the funding award and deliver the Council's commitment to DEFRA's Rural England Prosperity Fund and to approve the spend of the award. Cabinet approval is required due to the value of the grant award.

7. SUPPLEMENTARY ESTIMATES, VIREMENTS AND CAPITAL APPROVALS

The Housing, Property and Customer Services Portfolio Holder presented the report.

It was moved by Councillor A Woodman, seconded by T Gillard, and

RESOLVED THAT:

1. The supplementary estimates detailed in appendix 2 which are between £100k and £250k and are externally funded be approved.
2. All supplementary estimates detailed in appendix 2 which are below £250k and council funded be approved.

3. The movement from the development pool to the active programme for the capital schemes detailed in table 2 be approved.

Reason for decision: The Council's Financial Procedure Rules, Section 2, paragraphs A24 to A28 stipulate the procedures for virements and supplementary estimates, whilst the Council's Capital Strategy sets out the Governance of the Capital Programme.

8. EXCLUSION OF PRESS AND PUBLIC

It was moved by Councillor T Gillard, seconded by Councillor T Saffell, and

RESOLVED THAT:

In pursuance of Section 100A(4) of the Local Government Act 1972, the press and public be excluded from the remainder of the meeting on the grounds that the business to be transacted involves the likely disclosure of exempt information as defined in Paragraph 3 of Part 1 of Schedule 12A to the Act and that the public interest in maintaining this exemption outweighs the public interest in disclosing the information.

Reason for decision: To enable the consideration of exempt information.

9. HOUSING CONTRACTS

The Housing, Property and Customer Services Portfolio Holder presented the report.

It was moved by Councillor A Woodman, seconded by Councillor T Saffell, and

RESOLVED THAT:

1. The award of the contracts as detailed in annex A up to the identified limits be approved.
2. Authority be delegated to the Strategic Director with responsibility for housing, in consultation with the Housing, Property and Customer Services Portfolio Holder to finalise the contracts and enter into all necessary agreements.

Reason for decision: To comply with the Council's Contract Procedure Rules

10. CAR PARKS ASSET MANAGEMENT PLAN

The Communities and Climate Change Portfolio Holder presented the report.

It was moved by Councillor M Wyatt, seconded by Councillor T Saffell and

RESOLVED THAT:

1. The award of a contract for car park maintenance services for up to two years up to the value detailed in the report be approved; and
2. Authority be delegated to the Strategic Director for Communities in consultation with the S151 Officer to finalise and enter into all necessary agreements with the appointed contractor.

Reason for decision: As the value of the contract exceeds £100,000, the Council's Constitution states that Cabinet approval is required to allow the procurement of a contractor.

11. ACQUISITIONS AND DISPOSALS

The Housing, Property and Customer Services Portfolio Holder presented the report.

It was moved by Councillor A Woodman, seconded by Councillor T Saffell, and

RESOLVED THAT:

1. It be agreed to enter in to contract with a private homeowner for the purchase of the property detailed within the report.
2. The transfer of amount detailed in the report from the development pool to the active pool in the 2025/26 capital programme be approved.
3. Authority be delegated to the Strategic Director responsible for housing to finalise and agree all necessary agreements and take appropriate procedural and process steps to deliver the above.

Reason for decision: To provide high quality housing to the district.

12. WATERWORKS ROAD HOUSING DEVELOPMENT LLP JOINT VENTURE COMPANY - UPDATE REPORT

The Housing, Property and Customer Services Portfolio Holder presented the report.

Councillor J Legrys was invited to step forward and ask the question that he had submitted in relation to the Housing Allocation figures and the Leader provided him with a response.

It was moved by Councillor A Woodman, seconded by Councillor R Blunt, and

RESOLVED THAT:

The recommendations as detailed in the report be approved.

Reason for decision: As detailed in the report.

The meeting commenced at 5.00 pm

The Chairman closed the meeting at 5.25 pm

NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL

CABINET – TUESDAY, 24 JUNE 2025



Title of Report		PEER REVIEW FEEDBACK FOLLOW UP	
Presented by		Councillor Richard Blunt Leader of the Council PH Briefed Yes	
Background Papers		LGA Peer Review Report Corporate Scrutiny Committee – 5 December 2024 LGA Peer Review Report Cabinet - 17 December 2024.	Public Report: Yes Key Decision: No
Financial Implications		There are no financial implications from this report. Signed off by the Section 151 Officer: Yes	
Legal Implications		None directly relating to the Peer Review Progress Review report. Signed off by the Monitoring Officer: Yes	
Staffing and Corporate Implications		Staff and Trade Union engagement on developing proposals for Local Government Reorganisation will continue in the lead up to final proposals being submitted to Government in November and beyond to ensure staff are well supported. Signed off by the Head of Paid Service: Yes	
Purpose of Report		To update Cabinet on the Council's progress in addressing the recommendations of the Local Government Association's Corporate Peer Challenge.	
Reason for Decision		As Cabinet is responsible for making all necessary arrangements to ensure the priorities identified by the Council are delivered within the budget and policy framework it is being asked to endorse progress on the Corporate Peer Challenge Action Plan it agreed in December 2024 to assist in delivering those priorities.	
Recommendations		THAT CABINET: 1) WELCOMES THE POSITIVE PROGRESS IDENTIFIED BY THE LOCAL GOVERNMENT ASSOCIATION ON THE COUNCIL'S IMPLEMENTATION OF ITS CORPORATE PEER CHALLENGE RECOMMENDATIONS.	

	<p>2) ENDORSES THE PROPOSED FURTHER ENGAGEMENT WITH STAFF, COUNCILLORS, STAKEHOLDERS AND PARTNERS TO SUPPORT THE SUBMISSION OF FINAL PROPOSALS ON LOCAL GOVERNMENT REORGANISATION.</p> <p>3) AGREES TO THE CORPORATE PEER CHALLENGE – PROGRESS REVIEW REPORT BEING PUBLISHED ON THE COUNCIL’S WEBSITE</p>
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1.0 BACKGROUND

1.1 The Council undertook a Local Government Association (LGA) Corporate Peer Challenge (CPC) during June 2024 and published the full report with an action plan to address the recommendations contained in the report. The action plan was considered by Corporate Scrutiny Committee and approved by Cabinet in December 2024.

1.2 In April 2025, the LGA Peer Team who conducted the CPC returned for a follow up visit to consider the progress that had been made. The Progress Review is an integral part of the CPC process. Taking place approximately ten months after the CPC, it is designed to provide space for the council’s senior leadership to:

- Receive feedback from peers on the early progress made by the Council against the CPC recommendations and the Council’s RAG rated CPC Action Plan (attached at Appendix 1 to the report).
- Consider the peer team’s reflections on any new opportunities or challenges that may have arisen since the peer team were ‘on-site’ including any further support needs.
- Discuss any early impact or learning from the progress made to date.

1.3 This Progress Review was the next step in an ongoing, open and close relationship that the Council has with LGA sector support.

2.0 SUMMARY OF THE APPROACH

2.1 The Progress Review took place on site on 1-2 April 2025. It focussed on each of the recommendations from the CPC, under the following theme headings:

- Governance and finance
- Communications
- Transformation
- Housing
- Looking forward

2.2 For this Progress Review, the following members of the original CPC team were involved:

- Cllr Abi Brown OBE, Stoke-on-Trent City Council

- Larissa Reed, Swale Borough Council
- Paul Bellotti, East Riding of Yorkshire Council and
- Judith Hurcombe, Local Government Association

2.3 Progress Review Feedback - Out of the CPC's seven recommendations, the Council's Red-Amber-Green (RAG) rated action plan reported progress on all of those recommendations and the peer team could see evidence of that progress.

2.4 A copy of the full report from the LGA is attached at Appendix 2.

2.5 At its meeting on 19 June, Corporate Scrutiny Committee considered the report. Feedback from the Committee will be provided to Cabinet at the meeting.

3.0 FINANCIAL CONSIDERATIONS

3.1 There are no financial considerations directly related to this report, however, any financial implications of continuing to make progress against the actions identified will be considered as part of the 2025/6 budget process with appropriate approvals as appropriate in line with the Council's Constitution.

3.2 Finances associated with the development of proposals for Local Government Reorganisation have already been approved by Council at its budget meeting in February 2025.

4.0 NEXT STEPS

4.1 The Council will continue to implement the action plan that was agreed by Cabinet in December 2024. The Corporate Leadership Team will continue to track progress against it as part of its ongoing performance management arrangements.

4.2 The Peer Team acknowledged that the work undertaken by Council's in collaboration with staff, partners and other stakeholders was "ahead of the game" in the lead up to the submission of interim proposals for Local Government Reorganisation. Further engagement with staff, elected members and a wide variety of stakeholders and partners is planned in the lead up to final proposals being submitted in November 2025 and Cabinet is asked to endorse this activity.

4.3 The Council will publish the follow up report on its website.

Policies and other considerations, as appropriate	
Council Priorities:	Planning and regeneration Communities and housing Clean, green and Zero Carbon A well-run council
Policy Considerations:	Medium Term Financial Plan Risk Management Strategy Housing Revenue Account Housing Asset Management Housing Repairs Policy Damp and Mould Policy

	Coalville and District-wide Regeneration Frameworks Communications Strategy Constitution Treasury Management Strategy Equality and Diversity Strategy Transformation Plan.
Safeguarding:	None arising from the report.
Equalities/Diversity:	None arising from the report. Equality Impact Assessments were identified in the initial report and work continues on embedding these in revised policies.
Customer Impact:	None arising from the report.
Economic and Social Impact:	Good progress was identified in relation to the work on the Freeport.
Environment, Climate Change and Zero Carbon:	None arising directly from the follow up visit.
Consultation/Community/Tenant Engagement:	<p>The Peer Review Team conducted a number of follow up interviews with Cabinet members, elected members and staff as part of the follow up visit.</p> <p>Engagement with staff, elected members and partners as a result of the follow up comments on local government reorganisation and devolution will take place in the lead up to the final submission of proposals in November 2028.</p> <p>The follow up report will be published on the Council's website.</p>
Risks:	<p>That the report is not adequately considered and as a result the Council's improvement activities are compromised.</p> <p>That there are insufficient resources identified to deliver on the recommendations.</p>
Officer Contact	Allison Thomas Chief Executive allison.thomas@nwleicestershire.gov.uk

Area	Ref	Recommendations	Response & Actions	By	Change to Constitution	Timescale A 1-3 months B 3-6 months C 6-12+ months
Relationships	1	Build relations between councillors, and between councillors and officers through a programme of development workshops to build trust and openness	<p>The Chief Executive and Directors meet with the leading group fortnightly to discuss a range of topics and embryonic policy development.</p> <p>Officers have regular Portfolio Holder and shadow Portfolio Holder meetings.</p> <p>The Chief Executive meets with political groups by invitation.</p> <p>Informal workshops are held on key topics of interest (waste service, budget, housing improvement, audit).</p> <p>A comprehensive member induction is held following Council elections. Investment has been made in a member development and training programme.</p> <p>Cross party working informally and formally on key projects – i.e. waste review.</p> <p>Members views on how to address this recommendation specially will be sought through Corporate Scrutiny and Cabinet meetings. Would external support (for example from the LGA) assist with helping to address this recommendation?</p>	Chief Executive	No	Ongoing but additional items over the next 6-12 months.
Risk Management	2	Use the Risk Register and the Annual Governance Statement to raise situational awareness and future concerns	<p>The Corporate Risk Register is regularly reported to Audit and Governance Committee and to Corporate Leadership Team.</p> <p>The Annual Governance Statement (AGS) is presently drafted by the Section 151 Officer and subsequently reviewed by both the Chief Executive and the Monitoring Officer. In the future the AGS will be developed in</p>	Director Resources	No	12 months

			<p>partnership with the corporate leadership team and aligned with the Oflog best value guidance.</p> <p>The Council has been recognised as an exemplar by the LGA for its work on Governance and Assurance</p> <p>Departmental and Service Plans contain risk registers to cover their specific areas of service across the Council.</p> <p>A Corporate Risk Group has been established comprising representatives from each department to oversee the development of the corporate and service risk registers and to regularly review the Council's approach to risk management and to ensure key risks have been identified and mitigating actions put in place.</p> <p>Training for CLT and extended leadership team and members has been delivered.</p>			
Financial Management	3	Ensure that financial transactions and contracts are under consistent and robust review	<p>The Council has recently procured the services of V4 – a procurement and contracts specialist to provide additional procurement support to the Council.</p> <p>The key focus will be the finalising a new Procurement Strategy and support in maintaining robust contracts' register that is regularly reviewed by CLT to ensure the Council is compliant with its contract procedures.</p> <p>The introduction of the Procurement Act 2023 provides additional complexity to procurement activity. A task and finish group is currently reviewing the changes to systems and processes. A key element of this is the review of the Council's contract procedure rules. This work is already in train, however, V4 should be able to provide additional advice and support.</p> <p>Officers will also receive training in respect of the Procurement Act 2023.</p>	Director of Resources	Yes – change to contract procedure rules.	6 months

			<p>The S151 Officer has been working closely with the new external auditors to ensure successful transition and good progress has been made in publishing the 2021/22 and 2022/23 Statement of Accounts. In respect of the Statement of Accounts for 2023/24 the Council will not be in a position to meet the backstop date like many councils across the Country. The Council is not an outlier in this regard; however, the S151 Officer has made contact with MHCLG to inform them of this and awaits further guidance. The Council's external auditors is fully sighted on this issue and will be working closely with the Council to mitigate this position.</p> <p>Significant work has been undertaken with the Council's Internal Audit Service to ensure a comprehensive Internal Audit Plan is delivered.</p>			
Communications	4	Establish a thorough two-way Corporate Communications Engagement Plan	<p>The Corporate Communications Strategy is updated every year. This year includes a focus on developing new channels for internal communications. This includes internal comms brand "We are NWL".</p> <p>A separate Communications Strategy has been developed for the Council's transformation programme and is being rolled out. Staff roadshows took place in July and in early November across the Council including for front-line and remote workers.</p> <p>Virtual "in conversation" topic-based all-staff information and dialogue sessions are planned, the first one being in respect of governance.</p> <p>There is an expanded weekly all-staff email and there are now knowledge sharing events in place. There are also specific communications plans for certain activities and areas – e.g. Transformation and the Housing Service.</p>	Chief Executive	No	Completed

Transformation	5	<p>Enhance the newly adopted Transformation Plan with a clear set of financial outcomes, deliverable dates, benefits, third party dependencies and risks across all programme areas</p>	<p>A monitoring form has been established with key metrics for the delivery of each project/scheme. This is monitored by the Transformation Steering Group.</p> <p>The successful appointment of a Transformation Programme Officer, together with the LGA Graduate, will ensure that all future projects/schemes are regularly reviewed.</p> <p>Transformation performance is reported regularly to Members as part of the quarterly performance monitoring to Cabinet and Scrutiny including the monitoring of the £500k allocated for transformation work.</p> <p>Business cases for new projects and schemes are reviewed by the Council's Transformation Steering Group, with funding requests drawn from the £500k Transformation Fund.</p>	Director of Resources	No	12 months
Housing	6	<p>Conduct a wholesale process mapping and review of systems in Housing Repairs</p>	<p>The Council has recognised its housing service is not providing as good a service as it should be. In recognition of this Cabinet set up a Housing Improvement Board in the Spring 2024 consisting of representatives of all major political parties and is working its way through a number of topics including repairs management and has already drawn up a Housing Improvement Plan.</p> <p>Between the Peer Review and the publication of this action plan the Council has already reviewed its repairs policy. This has gained political agreement and has been actioned.</p> <p>Since the Peer Review a whole home contractor has been procured to assist with the management and delivery of the repairs service, focusing on the work in progress and delayed repairs delivery.</p> <p>At the time of the Peer Review there were significant gaps in the housing management team inhibiting the ability to deliver services. Significant work has been undertaken over the summer to recruit to key roles to enable the delivery of the service and progress improvements. A Knowledge Information Management self-assessment as set out by the Regulator for Social Housing has also been undertaken and an action plan will be developed. In addition, work around the culture issues covered in the</p>	Director Communities	No	<p>Completed</p> <p>Completed</p> <p>Completed</p> <p>Within 6/12 months</p>

			report are and continue to be addressed as part of the Improvement Plan process.			
External Stakeholders	7	Engage more proactively in partnership working in all settings, ensuring the maximum benefit for the district's businesses and residents	The Council has reinvigorated its Parish Liaison meetings, including being led by a member of the senior leadership team. The Chief Executive, Director of Resources and other members of the CLT have attended a meeting of parish clerks and have agreed to share the Council's Forward Plan in the future to ensure that key items of interest are flagged in advance.	Director of Communities	No	Completed and ongoing in terms of Forward Plan
			The Council has recently agreed a District-wide Regeneration Frameworks to sit alongside its Coalville Regeneration Framework. The Council engaged with a range of partners in its development and will work closely with key partners on its delivery over the next few years.	Director of Place	No	12 months Annual Review
			The Chief Executive will continue to have regular planned 'catch up' meetings with the two MPs covering North West Leicestershire, Trade Unions, The National Forest Company, East Midlands Airport, Health providers, the East Midlands Freeport and social housing providers.	Chief Executive	No	Ongoing
			The Chief Executive will continue to play an active role in the District Chief Executives' meeting for Leicestershire as well as the Public Sector Leaders' meeting involving the County Council, City Council, Police, Health and Government Department liaison officers.			
			The Leader will continue to attend the Leicestershire District Leaders' meeting on a quarterly basis and will be participating in a MPs Summit in December. North West Leicestershire will be chairing the Leaders' meeting in 2025/26.	Leading Members	No	Ongoing

			<p>A member of the Alliance has recently represented the Alliance administration at the annual Local Government Association Conference and plays a leading role in the Independent Group of the LGA.</p> <p>Cabinet members are also well represented on other sub regional boards such as the East Midlands Freeport.</p> <p>Members are also regular attendees at other meetings such as Parish Councils and represent the Council on other boards and forums as agreed at Annual Council.</p> <p>Members of CLT attend a range of local, regional and national forums on topic specific issues.</p> <p>The Head of HR and Organisational Development leads the Council's work with the Local Resilience Partnership</p> <p>The Council is also currently collaborating with East Midlands Councils on project to support recruitment and retention of key staff to support its emerging Workforce Strategy which will be considered by CLT in December. A Health and Wellbeing Strategy was approved for consultation earlier this year and is being finalised.</p> <p>The Council is on course for its Investor in People assessment in March 2025.</p>	CLT	No	12 months and ongoing
				Head of HR and OD	No	Ongoing
				Head of HR and OD	No	6 months

LGA Corporate Peer Challenge – Progress Review

North West Leicestershire District
Council

1-2 April 2025

Feedback



Corporate Peer Challenge

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1. Introduction

The council undertook an LGA Corporate Peer Challenge (CPC) during June 2024 and published the full report with an action plan.

The Progress Review is an integral part of the Corporate Peer Challenge process. Taking place approximately ten months after the CPC, it is designed to provide space for the council's senior leadership to:

- Receive feedback from peers on the early progress made by the council against the CPC recommendations and the council's RAG rated CPC Action Plan.
- Consider peers' reflections on any new opportunities or challenges that may have arisen since the peer team were 'on-site' including any further support needs
- Discuss any early impact or learning from the progress made to date

The LGA would like to thank North West Leicestershire District Council (NWLDC) for their commitment to sector led improvement. This Progress Review was the next step in an ongoing, open and close relationship that the council has with LGA sector support.

2. Summary of the approach

The Progress Review at North West Leicestershire District Council took place (onsite) on 2-3 April 2025.

The Progress Review focussed on each of the recommendations from the Corporate Peer Challenge, under the following theme headings:

- Governance and finance
- Communications
- Transformation
- Housing
- Looking forward

For this Progress Review, the following members of the original CPC team were

involved:

- Cllr Abi Brown OBE, Stoke-on-Trent City Council
 - Larissa Reed, Swale Borough Council
 - Paul Bellotti, East Riding of Yorkshire Council
- And Judith Hurcombe, Local Government Association

3. Progress Review - Feedback

Out of the CPC's 7 recommendations, the council's RAG rated action plan reports progress on all of those recommendations and the peer team could see evidence of that progress.

3.1. Governance and finance

Since June 2024, the council has paid close attention to raising the profile of good governance across the organisation, clearly led by the chief executive. This has included mandatory governance training for all managers and the introduction of an annual governance month, originally piloted in November 2023 but a more detailed face-to-face training programme was delivered in November 2024.

The peer team was told that the council has a good level of reserves of circa £30m. Whilst the council is projecting an overspend for 2024/25, there are contingencies in place to offset this and outturn with a balanced budget.

The Audit and Governance Committee has received intensive training, and a working group of members has focused on updating the council's arrangements for dealing with code of conduct complaints and the council's constitution. The Annual Governance Statement has been updated to reflect revisited risks ahead of the next meeting of the Audit and Governance Committee in April 2025.

Attention is also being given to developing the member development programme and will include guidance on the member-officer protocol and a refresher on the councillors' code of conduct. A Debate Not Hate working group has also been formed.

The council has taken steps to ensure its financial transactions and contracts are

more robust. This includes updating NWLDC's contract procedure rules, which were agreed at Full Council in February 2025. The corporate risk register has been revised to make it easier for stakeholders to understand the risks and mitigations, and membership of the corporate risk group has been reviewed. Procurement training for officers to reflect compliance with the Procurement Act 2023 is underway.

There is widespread concern about the ongoing implementation of the council's finance system. Difficulties were mentioned about reconciling budgets effectively across departments, however, the peer team was told that the director is managing the contract well and holding regular progress meetings with the supplier. Staff told us they welcomed the director's clarity and honesty about frustrations with the system: there is positivity that its functionality will improve.

Over the past two financial years, the audit opinion has resulted in limited assurance. However, active measures are being taken to address the issues identified. An internal audit action plan is being actively implemented, with monthly reporting to the Corporate Leadership Team (CLT). CLT is self-aware of these governance issues and gave the peer team the sense that the council is on top of things and motivated to improving controls even further across finance, procurement, capital investment, housing and fleet management.

Work is ongoing to support the new external auditors, including on the 2023/24 statement of accounts. However, in common with some other councils, NWLDC did not meet the backstop dates for the publication of the accounts for 2023/24.

The East Midlands Freeport Board has now been constituted. Active contributions are being made by NWLDC's officers to a variety of sub-groups, including for transport, sites and infrastructure; an operational forum; for the Freeport's vision; and for the S.151 sub-committee.

3.2. Communications

Much attention has been paid to communications over the past few months across a variety of mechanisms including live streamed events via Teams; the first knowledge exchange in December 2024 which focused on a day in the life of the customer services team; and an ideas pathway which encourages staff to submit proposals to

be considered by CLT. Efforts have been made to improve dialogue so that staff feel they not only receive information but can also channel views upwards. This was widely welcomed by the workforce, along with the ongoing opportunities to give their views. Staff roadshows led by the chief executive and with directors attending have taken place and have been welcomed by attendees, with 98% attending stating that they felt communication and engagement has improved. Further work is planned for front line staff including events focusing on men's health for those working in the depots.

3.3. Transformation

The transformation programme appears to be well thought out and well-led, supported by a budget of £500,000 for new initiatives. It is supported by new key appointments who bring energy, robust monitoring and a cohesive strategic view across the array of projects in the delivery plan, as well as bringing in good practice and reflection from external networks and other councils. The council has committed to undertake the LGA's transformation and innovation exchange self-assessment. It will be important to ensure that the responsibility and accountability for delivering transformation is widely owned across the organisation, utilising the support and expertise available, rather than expecting the small transformation team to achieve it on behalf of services.

The council is also exploring how it can utilise artificial intelligence (AI) to improve service effectiveness, delivery and outcomes for residents. A proof-of-concept project using Microsoft CoPilot is underway with plans to roll out training and then conduct the trial during spring and summer of 2025. In addition, an AI officer group has been created to exchange ideas and understanding of how it is already being used and to explore its potential across the organisation.

3.4. Housing

The council is working with the Social Housing Regulator to address the levels of complaints and other historic issues identified in its housing repair service.

There are good signs of improvement in housing despite continuing difficulties recruiting and retaining housing staff including gaining a better understanding of the

repairs and maintenance backlog and the accuracy of the 7,000 items logged, including addressing duplication and incomplete records. The council's appointed external contractor is working on addressing long standing repairs. Members of staff are clearly ambitious to get repairs undertaken at the right time, to a good standard of quality and to achieve residents' satisfaction. They are clearly keen to have the repairs function wholly back in-house whilst recognising the necessity for additional external help at this time.

Damp and mould works have been undertaken by reallocating staff from other within the housing service. Going forward the council plans to establish a full team to ensure it is meeting new legislative requirements that come into force later this year. The peer team was told that the number of properties requiring remedial attention was initially around 10 percent of the council's housing stock. Although more cases are being reported, the backlog is being cleared and training for operatives has helped improve the quality of remedial works.


The peer team is satisfied that progress is being made across the wide range of the recommendations arising from the CPC in June 2024.

3.5. Looking forward

The government's devolution and local government reorganisation (LGR) intentions announced in December 2024 will challenge all councils affected, including NWLDC. The council's executive is continuing to show signs of stability in their alliance across two political groups and two independent councillors in leading the council's business. The chief executive is working closely with other councils on the LGR developments in North West Leicestershire. Staff told us they particularly value the reassurance she is providing, and they feel the information about LGR is communicated well and with honesty about the future.

As there will not be a further revisit on this CPC, there are a few issues which the council needs to think about for the short and medium term:

- Progress is being made in housing repairs, but there are some staff capacity issues which could hinder delivery. The peer team was told about the age and reliability of some of the council's fleet vehicles which could jeopardise the



achievement of targets and ultimately tenants' satisfaction, as well as sometimes incorrect allocation of jobs to multi-skilled operatives. The council is currently assessing the operational effectiveness of electric vehicles prior to making any major investment decisions on its future fleet, and is starting work on remodelling the first point of contact and management of repairs. Ongoing attention needs to be given to both the performance management of the external housing contractor and its directorate communications with staff and tenants.

- A consistent approach to staff engagement from directors and heads of service should be considered to ensure that staff feel they are supported and there is a clear flow of information throughout the organisation.
- The approach to transformation is good but the wider organisation needs to ensure it plays its role in delivering, led by directors. Impact will be aided by more ownership, benchmarked initiatives and the ongoing strong focus on customer experience and outcomes.
- More clarity would be welcomed from councillors about their vision and ambition for the new councils in Leicestershire and what they want for the residents and stakeholders of the district taking into account the opportunities and its financial constraints, and the potential for a legacy given by the council to the new organisation, including its assets.
- The approach to LGR has been mature and collegiate from members and officers. Over time the new council arrangements will emerge, and everyone will be dealing with a period of uncertainty as the council balances its stewardship role for the existing organisation as well as preparing for the future. Capacity will be stretched further and in different ways as the details of the new councils evolve. It will be important to continue to share information with staff and keep an eye on personal and service resilience through this period of change and uncertainty, and to maintain the highest standards of behaviour and integrity from members and officers, so that there are minimal distractions for everyone involved. Further engagement with staff, members, partners and stakeholders is

planned over the summer to inform the final proposals to be submitted in November.

4. Final thoughts and next steps

The LGA would like to thank North West Leicestershire District Council for undertaking an LGA CPC Progress Review.

We appreciate that senior managerial and political leadership will want to reflect on these findings and suggestions in order to determine how the organisation wishes to take things forward.

Under the umbrella of LGA sector-led improvement, there is an on-going offer of support to councils. The LGA is well placed to provide additional support, advice and guidance on a number of the areas identified for development and improvement and we would be happy to discuss this.

Mark Edgell (Principal Adviser) is the main point of contact between the authority and the Local Government Association (LGA), and their e-mail address is mark.edgell@local.gov.uk

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NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL

CABINET – TUESDAY, 24 JUNE 2025



Title of Report	TREASURY MANAGEMENT STEWARDSHIP REPORT 2024/25	
Presented by	Councillor Keith Merrie Finance and Corporate Portfolio Holder PH Briefed <input checked="" type="checkbox"/>	
Background Papers	Council 22 February 2024 Capital Strategy, Treasury Management Strategy and Prudential Indicators	Public Report: Yes
	Audit and Governance Committee 5 February 2025 Treasury Management Update Report – Quarter 3 Council 20 February 2025 2024/25 Mid-Year Treasury Management Report Audit and Governance Committee 4 June 2025 Treasury Management Stewardship Report 2024/25	Key Decision: Yes
Financial Implications	There are no financial implications as a direct result of this report.	
	Signed off by the Section 151 Officer: Yes	
Legal Implications	There are no legal implications as a direct result of this report.	
	Signed off by the Monitoring Officer: Yes	
Staffing and Corporate Implications	There are no staffing or corporate implications as a direct result of this report.	
	Signed off by the Head of Paid Service: Yes	
Purpose of Report	To inform Cabinet of the Council's Treasury Management Activity undertaken during the 2024/25 financial year.	
Reason for Decision	Informing Cabinet of the Council's Treasury Management Activity is statutory requirement.	
Recommendations	THAT CABINET ENDORSES THE COUNCIL'S APPROACH TO TREASURY MANAGEMENT IN 2024/25.	

1.0 BACKGROUND

- 1.1 Treasury Management activity is underpinned by the Chartered Institute of Public Finance and Accountancy's Treasury Management in the Public Services: Code of Practice (the CIPFA Code), which requires local authorities to produce Prudential Indicators and a Treasury Management Strategy Statement annually on the likely financing and investment activity. The Prudential Indicators and Treasury Strategies were approved by Council on the 22 February 2024.
- 1.2 As a minimum, the CIPFA Code also requires that the Council reports on the performance of the Treasury Management function at least twice yearly (mid-year and at year end). The year-end report and the fourth to be presented in relation to 2024/25 is attached at Appendix A. Quarterly reports are presented to Audit and Governance Committee and a half-yearly report was presented to Council in February 2025.
- 1.3 The Treasury Management Stewardship Report 2024/25 (Appendix) A is designed to inform Members of the Council's treasury activity for 2024/25. The report was presented to the Audit and Governance Committee in June 2025. The final version of the Treasury Management Stewardship Report will be presented to Full Council in September 2025.

2.0 SUMMARY

- 2.1 In compliance with the requirements of the CIPFA code of practice, Appendix A provides Members with a summary report of the Treasury Management activity for the period April 2024 to March 2025. A prudent approach has been taken in relation to investment activity with priority being given to security and liquidity over yield.
- 2.2 For the reporting period, there have been no breaches of Treasury Management Strategy Statement that need bringing to the attention of the Committee.

Policies and other considerations, as appropriate	
Council Priorities:	A well-run council
Policy Considerations:	None
Safeguarding:	Not applicable
Equalities/Diversity:	Not applicable
Customer Impact:	Not applicable
Economic and Social Impact:	Not applicable
Environment, Climate Change and Zero Carbon:	Not applicable
Consultation/Community/Tenant Engagement:	Not applicable
Risks:	Borrowing and investment both carry an element of risk. This risk is mitigated through the adoption of the Treasury and Investment Strategies, compliance with the CIPFA code of Treasury Management and the retention of Treasury Management advisors (Arlingclose) to proffer expert advice
Officer Contact	Anna Crouch Head of Finance anna.crouch@nwleicestershire.gov.uk

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Treasury Management Stewardship Report 2024/25

1. Introduction

- 1.1 The Council has adopted the Chartered Institute of Public Finance and Accountancy's Treasury Management in the Public Services: Code of Practice (the CIPFA Code) which requires the Council to approve treasury management semi-annual and annual reports.
- 1.2 The Council goes beyond this requirement by issuing quarterly reports which provide additional updates and include the new requirement in the 2021 Code, mandatory from 1 April 2023, of quarterly reporting of the treasury management prudential indicators.
- 1.3 This report is the annual review of the financial year 2024/25.
- 1.4 The Council's treasury management strategy for 2024/25 was approved at the Council meeting on 22 February 2024. The Council has invested substantial sums of money and is, therefore, exposed to financial risks including the loss of invested funds and the revenue effect of changing interest rates. The successful identification, monitoring and control of risk remains central to the Council's treasury management strategy.

2. External Context (provided by Arlingclose)

- 2.1 **Economic background:** Both the United Kingdom (UK) and United States (US) elected new governments during the period, whose policy decisions impacted on the economic outlook. The Chancellor of the Exchequer delivered her Spring Statement in March 2025, following her Budget in October 2024. Based on the plans announced, the Office for Budget Responsibility downgraded its predictions for UK growth in 2025 to 1% from 2%. However, it upgraded its predictions for the four subsequent years. Inflation predictions for 2025 were pushed up, to 3.2% from 2.6%, before seen as falling back to target in 2027. The market reaction to the Spring Statement was more muted compared to the Budget, with very recent market turbulence being driven more by US trade policy decisions and President Trump.
- 2.2 After revising its interest rate forecast in November following the Budget, the Council's treasury management advisor, Arlingclose, maintained its stance that Bank Rate will fall to 3.75% in 2025.
- 2.3 UK annual Consumer Price Index (CPI) inflation continued to stay above the 2% Bank of England (BoE) target in the later part of the period. The Office for National Statistics (ONS) reported headline consumer prices at 2.8% in February 2025, down from 3.0% in the previous month and below expectations. Core CPI also remained elevated, falling slightly in February to 3.5% from 3.7% in January, just below expectations for 3.6% but higher than the last three months of the calendar year.
- 2.4 The UK economy Gross Domestic Product (GDP) grew by 0.1% between October and December 2024, unrevised from the initial estimate. This was an improvement on the zero growth in the previous quarter, but down from the 0.4% growth between April and June 2024. Of the monthly GDP figures, the economy was estimated to have contracted by 0.1% in January, worse than expectations for a 0.1% gain.
- 2.5 The labour market continued to cool, but the ONS data still require treating with caution. Recent data showed the unemployment rate rose to 4.4% (3mth/year) in the three months to January 2025 while the economic inactivity rate fell again to 21.5%.

The ONS reported pay growth over the same three-month period at 5.9% for regular earnings (excluding bonuses) and 5.8% for total earnings.

- 2.6 The BoE's Monetary Policy Committee (MPC) held Bank Rate at 4.5% at its March 2025 meeting, having reduced it in February. This follows earlier 0.25% cuts in November and August 2024 from the 5.25% peak. At the March MPC meeting, members voted eight to one to maintain Bank Rate at 4.5%, with the lone dissenter preferring another 25 basis points cut. The meeting minutes implied a slightly more hawkish tilt compared to February when two MPC members wanted a 50bps cut. In the minutes, the Bank also upgraded its Q1 2025 GDP forecast to around 0.25% from the previous estimate of 0.1%.
- 2.7 The February Monetary Policy Report (MPR) showed the BoE expected GDP growth in 2025 to be significantly weaker compared to the November MPR. GDP is forecast to rise by 0.1% in Q1 2025, less than the previous estimate of 0.4%. Four-quarter GDP growth is expected to pick up from the middle of 2025, to over 1.5% by the end of the forecast period. The outlook for CPI inflation showed it remaining above the MPC's 2% target throughout 2025. It is expected to hit around 3.5% by June before peaking at 3.7% in Q3 and then easing towards the end of the year but staying above the 2% target. The unemployment rate was expected to rise steadily to around 4.75% by the end of the forecast horizon, above the assumed medium-term equilibrium unemployment rate of 4.5%.
- 2.8 Arlingclose, the Council's treasury adviser, maintained its central view that Bank Rate would continue to fall throughout 2025. From the cuts in August and November 2024 and February 2025, which took Bank Rate to 4.50%, May is considered the likely month for the next reduction, with other cuts following in line with MPR months to take Bank Rate down to around 3.75% by the end of 2025.
- 2.9 The US Federal Reserve paused its cutting cycle in the first three months of 2025, having reduced the Fed Funds Rate by 0.25% to a range of 4.25%-4.50% in December, the third cut in succession. Fed policymakers noted uncertainty around the economic outlook but were anticipating around 0.50% of further cuts in the policy rate in 2025. Economic growth continued to rise at a reasonable pace, expanding at an annualised rate of 2.4% in Q4 2024 while inflation remained elevated over the period. However, growth is now expected to weaken by more than previously expected in 2025, to 1.7% from 2.1%. The uncertainty that President Trump has brought both before and since his inauguration in January is expected to continue.
- 2.10 The European Central Bank (ECB) continued its rate cutting cycle over the period, reducing its three key policy rates by another 0.25% in March, acknowledging that monetary policy is becoming meaningfully less restrictive. Euro zone inflation has decreased steadily in 2025, falling to 2.2% in March, the lowest level since November 2024. Over the current calendar year, inflation is expected to average 2.3%. GDP growth stagnated in the last quarter of the 2024 calendar year, after expanding by 0.4% in the previous quarter. For 2025, economic growth forecasts were revised downwards to 0.9%.
- 2.11 **Financial markets:** Financial market sentiment was reasonably positive over most of the period, but economic, financial and geopolitical issues meant the trend of market volatility remained. In the latter part of the period, volatility increased, and bond yields started to fall following a January peak, as the economic uncertainty around likely US trade policy impacted financial markets. Yields in the UK and US started to diverge in the last month of the period, with the former rising around concerns over the fiscal implications on the UK government from weaker growth, business sentiment and

higher rates, while the latter started falling on potential recession fears due to the unpredictable nature of policy announcements by the US President and their potential impact.

- 2.12 The 10-year UK benchmark gilt yield started the period at 3.94% and ended at 4.69%, having reached a low of 3.76% in September and a high of 4.90% in January in between. While the 20-year gilt started at 4.40% and ended at 5.22%, hitting a low of 4.27% in September and a high of 5.40% in January. The Sterling Overnight Rate (SONIA) averaged 4.90% over the period.
- 2.13 *The period in question ended shortly before US President Donald Trump announced his package of 'reciprocal tariffs', the immediate aftermath of which saw stock prices and government bond yields falling and introduced further uncertainty over the economic outlook.*
- 2.14 **Credit review:** In October, Arlingclose revised its advised recommended maximum unsecured duration limit on most banks on its counterparty list to six months. Duration advice for the remaining five institutions, including the newly added Lloyds Bank Corporate Markets, was kept to a maximum of 100 days. This advice remained in place at the end of the period.
- 2.15 Fitch revised the outlook on Commonwealth Bank of Australia (CBA) to positive from stable while affirming its long-term rating at AA-, citing its consistent strong earnings and profitability.
- 2.16 Other than CBA, the last three months of the period were relatively quiet on the bank credit rating front, with a small number of updates issued for a number of lenders not on the Arlingclose recommended counterparty list.
- 2.17 On local authorities, S&P assigned a BBB+ to Warrington Council, having previously withdrawn its rating earlier in 2024, and withdrew its rating for Lancashire County Council due to the council deciding to stop maintaining a credit rating. However, it still holds a rating with Fitch and Moody's. Moody's withdrew its rating of Cornwall Council after it chose to no longer maintain a rating.
- 2.18 Credit default swap prices generally trended lower over the period but did start to rise modestly in March, but not to any levels considered concerning. Once again, **price volatility over the** period remained generally more muted compared to previous periods.
- 2.19 Financial market volatility is expected to remain a feature, at least in the near term and, credit default swap levels will be monitored for signs of ongoing credit stress. As ever, the institutions and durations on the Council's counterparty list recommended by Arlingclose remain under constant review.

3. Local Context

- 3.1 On 31 March 2025, the Council had net borrowing of £25.6m arising from its revenue and capital income and expenditure. The underlying need to borrow for capital purposes is measured by the Capital Financing Requirement (CFR), while usable reserves and working capital are the underlying resources available for investment. These factors are summarised in Table 1 below.

Table 1: Balance Sheet Summary

	31.03.24 Estimated £m	31.03.25 Estimated £m
General Fund CFR	36.03	34.83
HRA CFR	52.15	54.72
Total CFR	88.18	89.55
External borrowing	56.34	55.08
Internal borrowing	31.84	34.47
Total Borrowing	88.18	89.55

- 3.2 The treasury management position on 31 March 2025 and the change over the twelve months is shown in Table 2 below.

Table 2: Treasury Management Summary

	31.03.24 Balance £m	Movement £m	31.03.25 Balance £m	31.03.25 Rate %
Long-term borrowing	55.1	-1.3	53.8	3.52%
Short-term borrowing	1.3	-0.0	1.3	2.25%
Total borrowing	56.4	-1.3	55.1	3.49%
Long-term investments	0.0	0.0	0.0	0.00%
Short-term investments	25.0	-15.0	10.0	5.70%
Cash and cash equivalents	5.0	14.5	19.5	4.51%
Total investments	30.0	-0.5	29.5	4.91%
Net borrowing	26.4	-0.8	25.6	

4. Borrowing

- 4.1 CIPFA's 2021 Prudential Code is clear that local authorities must not borrow to invest primarily for financial return and that it is not prudent for local authorities to make any investment or spending decision that will increase the capital financing requirement, and so may lead to new borrowing, unless directly and primarily related to the functions of the Council.
- 4.2 Public Works Loan Board (PWLB) loans are no longer available to local authorities planning to buy investment assets primarily for yield and the Council intends to avoid this activity to retain its access to PWLB loans.
- 4.3 The Council currently holds circa £9m in commercial investments that were purchased prior to the change in the CIPFA Prudential Code. These commercial investments are primarily for local regeneration and growth with a secondary objective of financial return. Before undertaking further additional borrowing the Council will review the options for exiting these investments.
- 4.4 As shown in table 1 the Council has internally borrowed £34.41m on 31 March 2025. This internal borrowing foregoes a potential interest income rate of 4.91%. Current one-year external borrowing rates with the PWLB (Certainty Rate) are 4.82% as of 31 March 2025. An additional rate for HRA specific borrowing has been implemented from June 2023 which is 0.4% lower than standard PWLB rates.

- 4.5 Whilst the current average interest rate is higher than the PWLB certainty rate, this is due mainly to two short-term investments at an average rate of 5.7%. Once these mature in August the average rate is likely to fall significantly. It is, therefore, appropriate to remain internally borrowed at this point.

5. Borrowing Strategy and Activity

- 5.1 As outlined in the treasury strategy, the Council's chief objective when borrowing has been to strike an appropriate risk balance between securing lower interest costs and achieving cost certainty over the period for which funds are required, with flexibility to renegotiate loans should the Council's long-term plans change being a secondary objective. The Council's borrowing strategy continues to address the key issue of affordability without compromising the longer-term stability of the debt portfolio.
- 5.2 After substantial rises in interest rates since 2021, many central banks have now begun to reduce their policy rates, albeit slowly. Gilt yields were volatile but have increased overall during the period. Much of the increase has been in response to market concerns that policies introduced by the Labour government will be inflationary and lead to higher levels of government borrowing. The election of Donald Trump in the US in November is also expected to lead to inflationary trade policies.
- 5.3 The PWLB certainty rate for 10-year maturity loans was 4.80% at the beginning of the period and 5.42% at the end. The lowest available 10-year maturity rate was 4.52% and the highest was 5.71%. Rates for 20-year maturity loans ranged from 5.01% to 6.14% during the period, and 50-year maturity loans ranged from 4.87% to 5.87%.
- 5.4 Whilst the cost of short-term borrowing from other local authorities spiked to around 7% in late March 2024, primarily due a dearth of LA-LA lending/borrowing activity during that month, as expected shorter-term rates reverted to a more market-consistent range and were generally around 5.00% - 5.5%. Rising rates were seen towards the end of the period in the LA-LA market.
- 5.5 CIPFA's 2021 Prudential Code is clear that local authorities must not borrow to invest primarily for financial return and that it is not prudent for local authorities to make any investment or spending decision that will increase the capital financing requirement and so may lead to new borrowing, unless directly and primarily related to the functions of the Council. PWLB loans are no longer available to local authorities planning to buy investment assets primarily for yield unless these loans are for refinancing purposes. The Council has no new plans to borrow to invest primarily for financial return.
- 5.6 On 31 March 2025, the Council held £55.1m of loans, there has been a decrease of £1.3m since 31 March 2024 due to principal repayments. A breakdown of outstanding loans is shown below in table 3.

Table 3: Borrowing Position

	31.03.24 Balance £m	Net Movement £m	31.03.25 Balance £m	31.03.25 Weighted Average Rate %	31.03.25 Weighted Average Maturity (years)
Public Works Loan Board	52.4	-1.3	51.1	3.40%	13.8
Banks (LOBO)	0.0	0.0	0.0	0.00%	0.0
Banks (fixed-term)	3.9	0.0	3.9	4.68%	2.1
Local authorities (long-term)	0.1	-0.0	0.1	0.04%	0.0
Local authorities (short-term)	0.0	0.0	0.0	0.00%	0.0
Total borrowing	56.4	-1.3	55.1	3.49%	15.9

- 5.7 There remains a strong argument for diversifying funding sources, particularly if rates can be achieved on alternatives which are below gilt yields + 0.80%. The Council will evaluate and pursue these lower cost solutions and opportunities with its advisor Arlingclose.

6. Treasury Investment Activity

- 6.1 CIPFA revised Treasury Management Code defines treasury management investments as those which arise from the Council's cash flows or treasury risk management activity that ultimately represents balances which need to be invested until the cash is required for use in the course of business.
- 6.2 The Council holds significant invested funds, representing income received in advance of expenditure plus balances and reserves held. During the year, the Council's investment balances have ranged between £26.27m and £48.95m due to timing differences between income and expenditure. The investment position is shown in table 4 below.

Table 4: Treasury Investment Position

	31.03.24 Balance £m	Net Movement £m	31.03.2025 Balance £m	31.03.2025 Income Return %	31.03.2025 Weighted Average Maturity days
Banks & building societies (unsecured)	0.0	0.0	0.0	0.00%	0.00
Government (incl. local authorities)	30.0	-20.0	10.0	5.70%	61.36
Money Market Funds	0.0	19.5	19.5	4.51%	0.66
Total investments	30.0	-0.5	29.5	4.91%	62.02

- 6.3 Both the CIPFA Code and government guidance require the Council to invest its funds prudently, and to have regard to the security and liquidity of its treasury investments before seeking the optimum rate of return, or yield. The Council's objective when investing money is to strike an appropriate balance between risk and return, minimising the risk of incurring losses from defaults and the risk of receiving unsuitably low investment income.
- 6.4 As demonstrated by the liability benchmark in this report, the Council expects to be a long-term investor and treasury investments therefore include both short-term low risk

instruments to manage day-to-day cash flows and longer-term instruments where limited additional risk is accepted in return for higher investment income to support local public services.

- 6.5 Bank Rate reduced from 5.25% to 5.00% in August 2024 and again to 4.75% in November 2024 with short term interest rates largely being around these levels. The rates on Debt Management Account Deposit Facility (DMADF), ranged between 5.19% and 4.45% and money market rates between 5.24% and 4.42%. All rates reduced gradually through the financial year.
- 6.6 The progression of risk and return metrics are shown in the extracts from Arlingclose's quarterly investment benchmarking in Table 5 below. It should be noted that during the final quarter of last year the Council Investment rate of return was higher than its peers within the benchmarking group of 122 Local Authorities and 45 Non-Met District Authorities.

Table 5: Investment Benchmarking – Treasury investments managed in-house

	Credit Score	Credit Rating	Bail-in Exposure	Weighted Average Maturity (days)	Rate of Return %
31/03/2025	5.30	A+	66%	7	4.91%
Similar Las	4.79	A+	63%	12	4.77%
All Las	4.77	A+	64%	11	4.80%

- 6.7 In financial markets the April – January period was characterised by overall positive equity market performance, rising global yields and bond market volatility, central bank interest rate cuts and changing expectations of the path of future cuts. However, from February the markets were impacted by actions proposed by the US President, and the markets fell significantly, against a background of uncertainty and volatility.
- 6.8 The Council has budgeted £696,200 interest income from investments after deductions in 2024/25. The actual income received by 31 March 2025 was £1.54m.
- 6.9 Interest rates can and have been extremely volatile over the financial year and are likely to be similarly volatile in the upcoming months. Therefore, for the purpose of budget setting these forecasts are reduced by 20% to ensure that there is not an overreliance placed on interest return for creating a balanced budget.
- 6.10 The updated forecast of £1.54m will be split between the General Fund (GF) and Housing Revenue Account (HRA). This split will be 86.36% to the GF and 13.64% to HRA. The percentage split is worked using the investment balances for both funds throughout the year as a percentage of the overall investment fund. This is subject to finalisation.
- 6.11 Interest forecasts are notoriously difficult to predict and are subject to change particularly in an unstable interest rate environment and constantly changing economic environment.

7. Non-Treasury Investments

- 7.1 The definition of investments in CIPFA's revised 2021 Treasury Management Code covers all the financial assets of the Council as well as other non-financial assets which the Council holds primarily for financial return. Investments that do not meet the definition of treasury management investments (i.e. management of surplus cash) are

categorised as either for service purposes (made explicitly to further service objectives) and/or for commercial purposes (made primarily for financial return).

- 7.2 Investment Guidance issued by the Ministry of Housing, Communities and Local Government (MHCLG) and Welsh Government also broadens the definition of investments to include all such assets held partially or wholly for financial return.
- 7.3 The Council held circa £9m of investments made for commercial purposes. This consisted entirely of directly owned property and land. A full list of the Council's non-treasury investments is available in the Investment Strategy 2024-25 document. These investments are forecast to generate £410,000 in investment income in 2024/25 for the Council after taking account of direct costs.
- 7.4 The main purpose of these investments is regeneration of the local area rather than investment income. All commercial investments are located within the district.

8. Treasury Performance

- 8.1 The Council measures the financial performance of its treasury management activities both in terms of its impact on the revenue budget and its relationship with benchmark interest rates.
- 8.2 Investment interest income during the reporting period was £1.91m before deductions. The Council's investment interest return percentage on 31 March 2025 was 4.91%. For comparison purposes the Daily Sterling Overnight Index Average (SONIA) which is used for benchmarking purposes was 4.45%. For similar local authorities the most recent benchmarking data, which is from 31 March 2025 showed an investment return of 4.80%. This is shown in Appendix 1.
- 8.3 Since the beginning of the reporting period the Council, as per forecast, has paid £1.95m interest on borrowing. The weighted average interest rate on borrowing is 3.49%. For comparison purposes the current PWLB Maturity Loan rate for new 10-year loans is 5.42%. Our average rate therefore represents a good rate of borrowing in the current environment.
- 8.4 During the reporting period the Council, as per forecast, has paid back £1.26m in principal on its PWLB loans. The £1.26m is for the annuity loans whereby regular payments are made throughout the lifetime of the loan. There is no intention to borrow to replace these loans as the Council currently has the resources to absorb this.
- 8.5 The Council was forecast to undertake new borrowing of £3.8m for the HRA in the 2024/25 financial year, however, none was required to be undertaken. There has therefore been an equal increase in the internal borrowing.
- 8.6 On 10 April 2024, amended legislation and revised statutory guidance were published on Minimum Revenue Provision (MRP). Most of the changes take effect from the 2025/26 financial year, although there is a requirement that for capital loans given on or after 7 May 2024 sufficient MRP must be charged so that the outstanding CFR in respect of the loan is no higher than the principal outstanding, less the Expected Credit Loss (ECL) charge for that loan. No capital loans have been given since May 2024.
- 8.7 The regulations also require that local authorities cannot exclude any amount of their CFR from their MRP calculation unless by an exception set out in law. Capital receipts cannot be used to directly replace, in whole or part, the prudent charge to revenue for MRP (there are specific exceptions for capital loans and leased assets).

9. Compliance

- 9.1 The S151 Officer reports that all treasury management activities undertaken during the year complied fully with the CIPFA Code of Practice.
- 9.2 Compliance with the Authorised Limit and Operational Boundary for external debt is demonstrated in table 6 below.

Table 6: Debt Limits

	2024/25 Maximum During Period £m	31.03.25 Actual £m	2024/25 Operational Boundary £m	2024/25 Authorised Limit £m	Complied?
Borrowing	60.3	55.1	99.2	110.2	YES

- 9.3 Since the operational boundary is a management tool for in-year monitoring it is not significant if the operational boundary is breached on occasions due to variations in cash flow, and this is not counted as a compliance failure. However, there were no days in the reporting period in which the operational boundary was breached.

Table 7: Investment Limits

	2024/25 Maximum During Period £m	31.03.25 Actual £m	2024/25 Limit £m	Complied?
The UK Government	22.0	0.0	Unlimited	YES
Local authorities & other government entities	11.0	10.0	60.0	YES
Secured investments	0.0	0.0	60.0	YES
Banks (unsecured)	0.0	0.0	60.0	YES
Building societies (unsecured)	0.0	0.0	5.0	YES
Registered providers (unsecured)	0.0	0.0	12.5	YES
Money market funds	25.0	19.5	60.0	YES
Strategic pooled funds	0.0	0.0	25.0	YES
Real estate investment trusts	0.0	0.0	12.5	YES
Other investments	0.0	0.0	2.5	YES
Totals	58.0	29.5		

10. Treasury Management Prudential Indicators

- 10.1 The Council measures and manages its exposures to treasury management risks using the following indicators.
- 10.2 **Security:** The Council has adopted a voluntary measure of its exposure to credit risk by monitoring the value-weighted average credit rating of its investment portfolio. This is calculated by applying a score to each investment (AAA=1, AA+=2, etc.) and taking the arithmetic average, weighted by the size of each investment. Unrated investments are assigned a score based on their perceived risk.

Table 8: Security

	31.03.24 Actual	31.03.25 Actual	2024/25 Target	Complied?
Portfolio average credit rating	A+	A+	A-	YES

- 10.3 **Liquidity:** The Council has adopted a voluntary measure of its exposure to liquidity risk by monitoring the amount of cash available to meet unexpected payments within a rolling three-month period, without additional borrowing. Due to recent changes in Treasury Officers, a very prudent approach has been taken to cashflow forecasts.

Table 9: Liquidity

		31.03.25 Actual £m	2024/25 Target £m	Complied?
Total cash available within 3 months	90	19,500,000	2,500,000	YES

- 10.4 **Interest Rate Exposures:** This indicator is set to control the Council's exposure to interest rate risk. The upper limits on the one-year revenue impact of a 1% rise or fall in interests is shown in table 10.

Table 10: Interest Rate Exposures

Interest rate risk indicator	31.03.25 Actual	2024/25 Limit	Complied?
Upper limit on one-year revenue impact of a 1% <u>rise</u> in interest rates	243,424	600,000	YES
Upper limit on one-year revenue impact of a 1% <u>fall</u> in interest rates	-243,424	-600,000	YES

- 10.5 The impact of a change in interest rates is calculated on the assumption that maturing loans and investment will be replaced at current rates. Due to all Council investments maturing in year and the majority of Council borrowing maturing in later years this means that the Council would benefit from an increase in Interest rates (as investments are replaced with higher rates but not borrowing) but are negatively impacted by a decrease in interest rates for the same reason.
- 10.6 This is demonstrated in the above figures which show a positive return from an increase and a negative return from a decrease in interest rates. Both impacts are within reasonable limits for the revenue budget. The Council also takes further precautions by reducing its interest forecast by a risk-adjusted amount of 20% as discussed in paragraph 6.9.
- 10.7 For context, the changes in interest rates during the period were:

Table 11: Interest Rate Changes

Context - Interest Rate changes	31.3.24	31.03.25
Bank Rate	5.25%	4.75%
1-year PWLB certainty rate, maturity loans	5.36%	4.82%
5-year PWLB certainty rate, maturity loans	4.68%	4.97%
10-year PWLB certainty rate, maturity loans	4.74%	5.42%
20-year PWLB certainty rate, maturity loans	5.18%	5.91%
50-year PWLB certainty rate, maturity loans	5.01%	5.67%

- 10.8 **Maturity Structure of Borrowing:** This indicator is set to control the Council's exposure to refinancing risk. [This indicator covers the risk of replacement loans being unavailable, not interest rate risk.] The upper and lower limits on the maturity structure of all borrowing were:

Table 12: Maturity Structure of Debt

	31.03.25 Actual £m	31.03.25 Actual %	Lower Limit	Upper Limit	Complied ?
Under 12 months	1.3	1.16%	0.00%	70.00%	YES
12 months and within 24 months	1.3	2.32%	0.00%	30.00%	YES
24 months and within 5 years	1.8	4.44%	0.00%	30.00%	YES
5 years and within 10 years	1.3	3.31%	0.00%	30.00%	YES
10 years and within 20 years	43.8	78.57%	0.00%	90.00%	YES
20 years and above	5.7	10.21%	0.00%	30.00%	YES
Totals	55.1	100%			

- 10.9 Time periods start on the first day of each financial year. The maturity date of borrowing is the earliest date on which the lender can demand repayment.

- 10.10 **Principal Sums Invested for Periods Longer than a year:** The purpose of this indicator is to control the Council's exposure to the risk of incurring losses by seeking early repayment of its investments. The limits on the long-term principal sum invested to final maturities beyond the period end were:

Table 13: Long Term Investments

	2024/25 £M	2025/26 £M	2026/27 £M	No Fixed Date
Actual principal invested beyond 365 days at year end	£0	£0	£0	£0
Limit on principal invested beyond 365 days at year end	£60m	£10m	£10m	£10m
Complied?	YES	YES	YES	YES

- 10.11 **Liability Benchmark:** This indicator compares the Council's actual existing borrowing against a liability benchmark that has been calculated to show the lowest risk level of borrowing. The liability benchmark is an important tool to help establish whether the Council is likely to be a long-term borrower or long-term investor in the future and so shape its strategic focus and decision making. It represents an estimate of the cumulative amount of external borrowing the Council must hold to fund its current capital

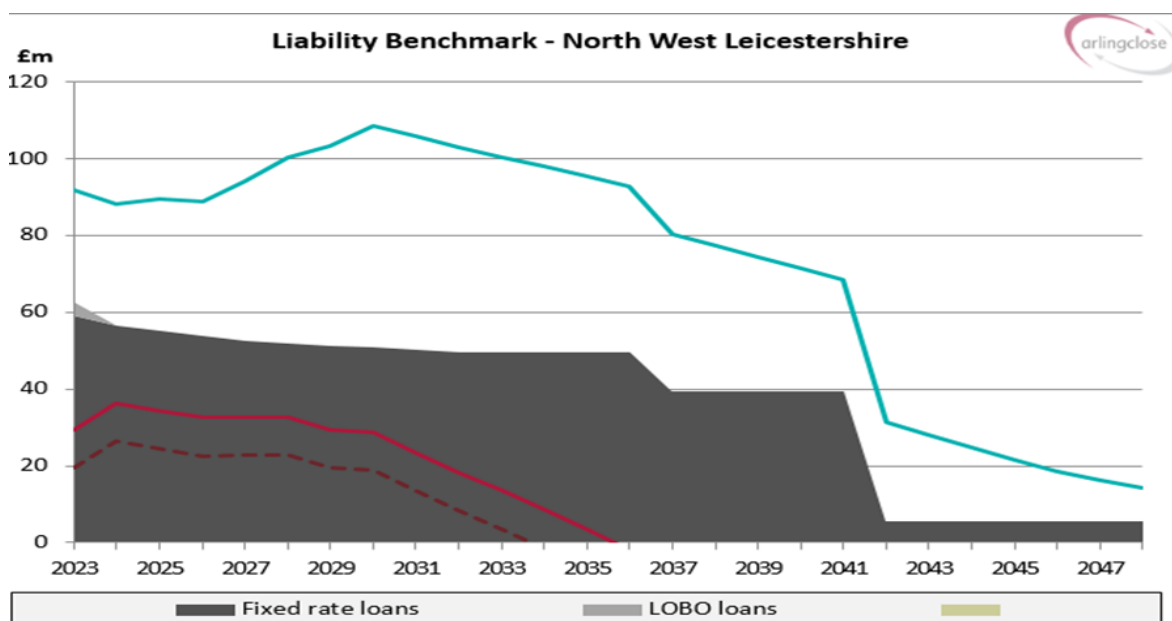
and revenue plans while keeping treasury investments at the minimum level of £10m required to manage day-to-day cash flow.

Table 14: Liability Benchmark

	31.03.24 Forecast	31.03.25 Forecast	31.03.26 Forecast	31.3.27 Forecast
Loans CFR	88.20	89.50	88.80	94.20
Less: Balance sheet resources	-61.80	-65.20	-66.30	-71.50
Net loans requirement	26.30	24.30	22.50	22.70
Plus: Liquidity allowance	10	10	10	10
Liability benchmark	36.3	37.7	36	40.4
Existing external borrowing	-56.3	-55.1	-53.8	-52.5

The 31.3.24 and 31.03.25 position is an estimate due to statement of accounts not yet being finalised.

- 10.12 Following on from the medium-term forecast above, the long-term liability benchmark assumes no capital expenditure funded by borrowing before 2025/26, minimum revenue provision on new capital expenditure based on a variable asset life depending on asset type (This can vary from 5 – 50 years) and income, expenditure and reserves all increasing by inflation of 2.5% p.a. This is shown in the chart below together with the maturity profile of the Council's existing borrowing.



- 10.13 The Liability Benchmark shows the underlying need to borrow (Loans CFR) in the blue line at the top of the graph, the grey shaded area as existing loans and the strong red line as the requirement for external borrowing. This graph demonstrates that by using internal resources the Council is likely to not have an external borrowing requirement over the medium term. However, there is little room for adjustment and the Liability Benchmark graph is an estimate and subject to significant change. This situation may evolve and create a borrowing requirement in the next couple of years.



Investment Benchmarking 31 March 2025

North West Leicestershire
45 English Non-Met Districts Average
121 LAs Average

Internal Investments	£29.5m	£27.0m	£52.6m
Cash Plus & Short Bond Funds	£0.0m	£1.3m	£0.8m
Strategic Pooled Funds	£0.0m	£10.4m	£9.7m
TOTAL INVESTMENTS	£29.5m	£38.7m	£63.1m

Security

Average Credit Score	5.30	4.79	4.77
Average Credit Rating	A+	A+	A+
Average Credit Score (time-weighted)	5.71	4.83	4.83
Average Credit Rating (time-weighted)	A	A+	A+
Number of Counterparties / Funds	7	12	11
Proportion Exposed to Bail-in	66%	63%	64%

Liquidity

Proportion Available within 7 days	66%	48%	56%
Proportion Available within 100 days	66%	64%	71%
Average Days to Maturity	48	54	8

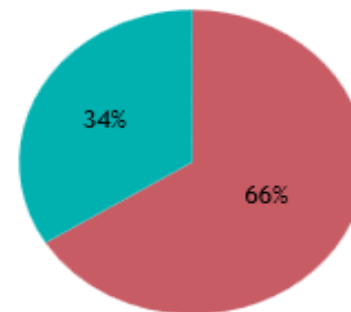
Market Risks

Average Days to Next Rate Reset	81	77	42
Strategic Fund Volatility	-	2.4%	3.2%

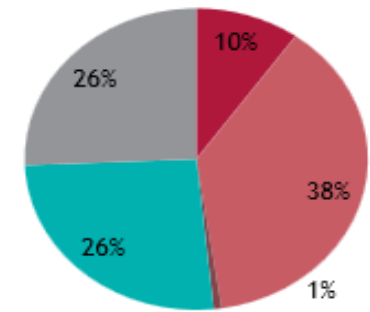
Yield

Internal Investment Return	4.91%	4.60%	4.55%
Cash Plus Funds - Income Return	-	4.49%	4.49%
Strategic Funds - Income Return	-	5.01%	5.04%
Total Investments - Income Return	4.91%	4.69%	4.65%
Cash Plus Funds - Capital Gain/Loss	-	0.68%	0.70%
Strategic Funds - Capital Gain/Loss	-	0.40%	0.92%
Total Investments - Total Return	4.91%	4.77%	4.80%

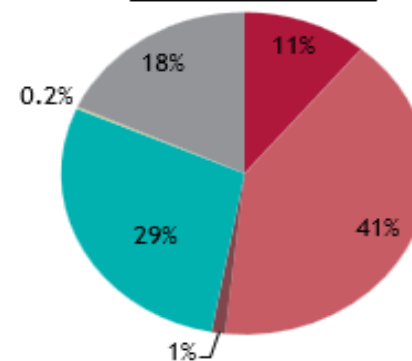
North West Leicestershire



English Non-Met Districts



All Arlingclose Clients



Notes

- Unless otherwise stated, all measures relate to internally managed investments only, i.e. excluding external pooled funds.
- Averages within a portfolio are weighted by size of investment, but averages across authorities are not weighted.
- Pooled fund returns are 1-year to the end of the quarter.
- Credit scores are calculated as AAA = 1, AA+ = 2, etc.
- Volatility is the standard deviation of weekly total returns, annualised.

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NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL

CABINET – TUESDAY, 24 JUNE 2025

Title of Report	ANNUAL CORPORATE COMPLAINTS	
Presented by	Councillor Andrew Woodman Housing, Property and Customer Services Portfolio Holder PH Briefed <input checked="checked" type="checkbox"/>	
Background Papers	None	Public Report: Yes
		Key Decision: No
Financial Implications	There are no financial implications in respect of this report.	
	Signed off by the Section 151 Officer: Yes	
Legal Implications	There are no legal implications arising from this report.	
	Signed off by the Monitoring Officer: Yes	
Staffing and Corporate Implications	There are no direct staffing or corporate implications arising from this report.	
	Signed off by the Head of Paid Service: Yes	
Purpose of Report	<p>This is the Council's annual complaints report for the period 1 April 2024 to 31 March 2025. It includes information in respect of complaints across all directorates. It also provides information for decisions issued by the Local Government and Social Care Ombudsman (LGSCO) and the Housing Ombudsman (HO) in the same period.</p> <p>The report contributes to the Council's aspirations in the Corporate Delivery Plan of being customer focused by acknowledging that complaints and formal enquiries provide a regular and rich source of feedback from residents that inform the Council when things have gone wrong. Learning from this provides the opportunity to improve services to support residents.</p>	
Reason for Decision	The Housing Ombudsman's Complaints Code requires the Council to report on complaints annually to the governing body	
Recommendations	THAT CABINET: <ol style="list-style-type: none"> NOTES THE COMMENTS MADE BY CORPORATE SCRUTINY COMMITTEE ON 19 JUNE 2025. NOTES THE DETAILS OF THE ANNUAL REPORT 2024/25. 	

	<p>3. REVIEWS THE CORPORATE COMPLAINTS POLICY IN APPENDIX 1 AND DELEGATES AUTHORITY TO THE STRATEGIC DIRECTOR OF RESOURCES TO MAKE ANY NECESSARY AMENDMENTS.</p> <p>4. REVIEWS THE SELF-ASSESSMENT AT APPENDIX 2 AND CONFIRMS IT IS IN AGREEMENT THAT THE COUNCIL IS COMPLIANT.</p> <p>5. REVIEWS THE UNREASONABLE BEHAVIOUR AND COMMUNICATION POLICY IN APPENDIX 4 AND DELEGATES AUTHORITY TO THE STRATEGIC DIRECTOR OF RESOURCES TO MAKE ANY NECESSARY AMENDMENTS.</p>
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1.0 BACKGROUND

- 1.1 Each year, the Council is required to prepare an annual summary of complaints dealt with under the corporate Complaints Policy (the year runs from 1 April 2024 to 31 March 2025).
- 1.2 A complaint is defined within the Council as: *‘an expression of dissatisfaction, however made, about the standard of service, actions, or lack of action by the organisation, its own staff, or those acting on its behalf affecting an individual/resident or a group of individuals/residents’.*
- 1.3 The Council provides a wide range of services to its residents and receives relatively few complaints, the Council seeks to learn from them and look for patterns of service failure. The Council continues to use the feedback it receives from its complaints to generate ideas for service improvements both in the short and long term.
- 1.4 The Council works hard to view the complaints it receives as a positive opportunity, whilst remaining focused on trying to resolve them to the satisfaction of residents as quickly as it can.
- 1.5 This is a report on all Council services’ formal enquiries which are:
- Complaints
 - Member Enquiries
 - MP Enquiries
- 1.6 Many service requests and enquiries are resolved informally by officers and managers every day without the need for the formal complaints process to be followed. Officers are urged to address customer grievances and proactively rectify issues as part of their normal business. These are not all formally logged or reported on, though services are encouraged to record these informal enquiries in some way to inform the way they deliver and improve their services in the future. Managing complaints informally as soon as possible represents best practice.
- 1.7 Where a request for service has been sent via the complaints process but is not deemed as a corporate complaint these are logged as a ‘Request for service’ and are recorded and reported on quarterly basis.
- 1.8 The Council’s complaints procedure is designed to address those issues that necessitate a formal reply and, as such, could not be resolved during the earlier stages

of the process. The Complaints Policy and procedure can be found in Appendix 1 of this report.

- 1.9 As of the 1 January 2023, all stage 1 complaints are now signed off by a Strategic Director. Stage 2 complaints are signed off by the Chief Executive to ensure that everything that could have been done to resolve the matter has been investigated prior to the complainant seeking independent review by the relevant ombudsman.
- 1.10 This report focuses not only on volumes and timeliness of responses but also aims, when it is possible, to identify themes and lessons learnt that result in service improvements.
- 1.11 The Council has a commitment to learning and improvement. Complaints and other formal enquiries are important information, providing an opportunity to understand where and why things sometimes go wrong and provide a basis for the Council to make positive changes, informed by data and the resident voice.

2.0 COMPLAINTS' OVERVIEW

2.1 Number of Complaints and Enquiries - all stages

Level	2023/24	2024/2025
Stage 1	263	346
Stage 2	74	107
Housing Ombudsman and Local Government and Social Care Ombudsman (that have reached formal investigation stage)	11	23
MP enquiries	131	175
Member enquiries	634	705
Compliments	240	273

- 2.2 There was a total of 346 stage 1 complaints, which is a 32% increase on the previous year. There was also an increase of 45% compared to the previous year in respect of stage 2 complaints with a total of 107. Some of this increase could be attributed to the Government's 'make things right' campaign, more details on this campaign can be found in paragraph 2.7 of this report.
- 2.3 The Council provides a wide variety of services for over 97,200 residents. In this context, 453 complaints (stage 1 and 2 combined) are only a fraction of the number of customer interactions occurring each year. For example, the Council's Customer Service team received 97,264 customer interactions alone in 2024/25.
- 2.4 The number of compliments recorded by the Council also increased, from 240 in 2023/24 to 273 (an increase of 14%). Improved efforts by Council departments to capture more of the positive feedback of residents is reflected in this increase. There is better engagement of staff in the process of recording the compliments they receive.
- 2.5 The number of stage 1 complaints received can be broken down by service as follows:

Service	Number of Complaints	As a % overall
Waste Services	53	15
Environmental Protection	10	3
Leisure Services	6	2
Community Safety	6	2
Customer Services	4	1
Finance	1	0.3
Housing Assets	22	6
Housing Repairs	156	45
Housing Management	41	12
Housing Strategy and Systems	15	4
Property Services	1	0.3
Environmental Health	2	1
Planning and Infrastructure	10	3
Revenues and Benefits	19	5

- 2.6 The number of complaints for each service does not necessarily provide a direct correlation with the standard of customer service provided, and these overall results cannot be treated in isolation. Each of these service results are heavily influenced by the type of business transacted by that service, for example, the number of customer facing transactions carried out, the public profile of the actions carried out by that service, and whether the customer has alternative formal routes for redress or appeal.
- 2.7 Housing Repairs received the highest number of complaints, with a significant 59% increase in 2024/25 (156) compared to 2023/24 (98). This rise could be attributed to the Government's 'Make Things Right' campaign in 2024, which aimed to raise awareness among social housing residents about their rights to report issues and make complaints regarding their living conditions [Make Things Right | Social housing issue? Know how to complain.](#)
- 2.8 Considering the volume of interactions Housing Repairs has with residents, for example, 55,157 contacts in 2024/25, the number of complaints received is relatively low. The complaints represent approximately 0.28% of the total transactions completed.
- 2.9 Waste Services received the second-highest number of complaints. However, these complaints are minimal when considering the number of interactions with residents. In 2024/25, Waste Services provided waste and recycling collections to around 48,640 properties within the district each week, totaling approximately 3,720,960 collections a year. The number of complaints received as a proportion of total collections is just 0.001%.

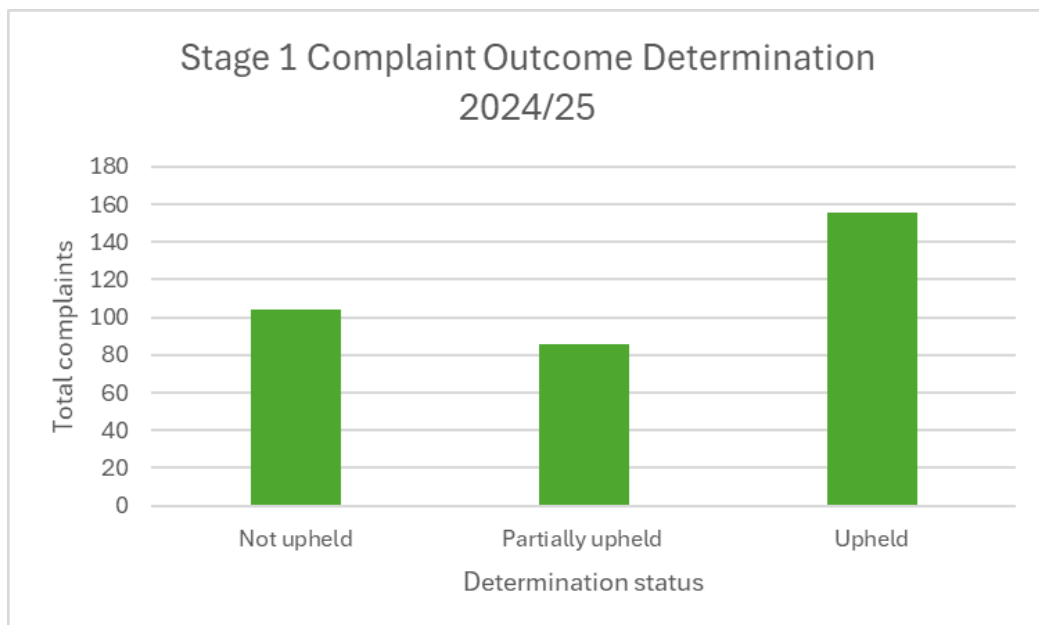
3 COMPLAINT OUTCOMES

3.1 Complaint outcomes are determined with one of the following statuses:

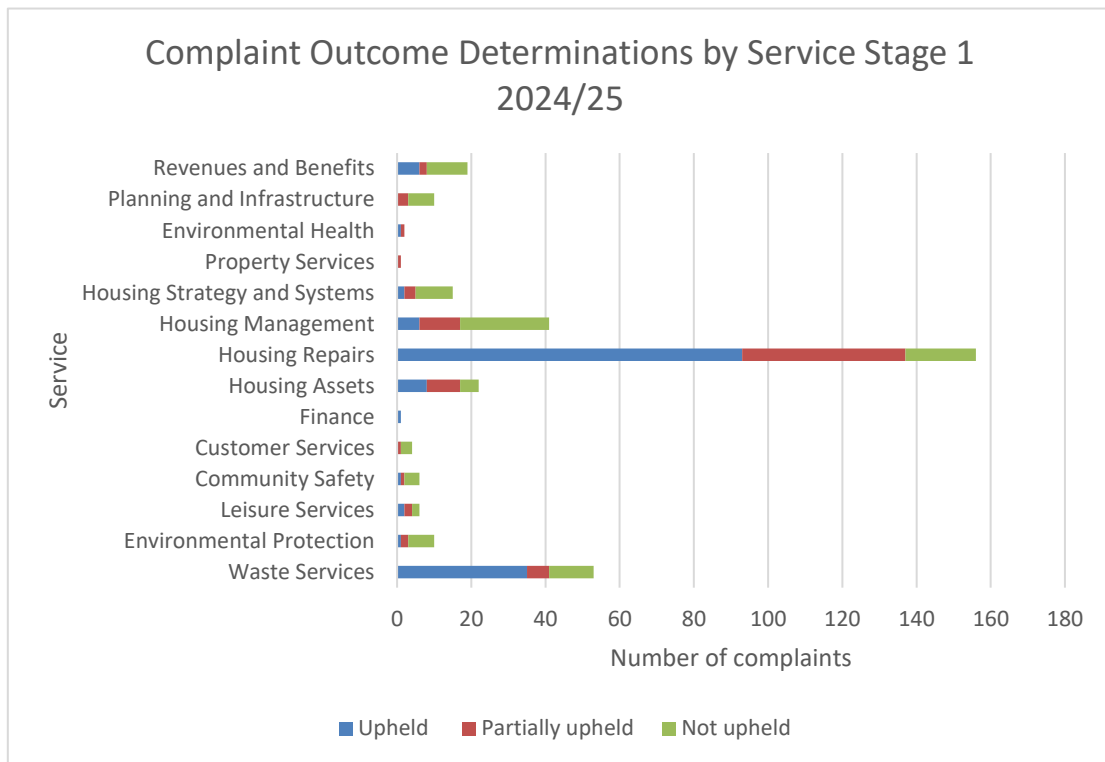
- Upheld- following investigation the Council has found in favour of the complainant.
- Not upheld- following investigation the Council has not found in favour of the complainant.

3.2 Sometimes complaints have more than one issue to be investigated. On occasion, these can have a mixture of the two above determinations and have a status partially upheld.

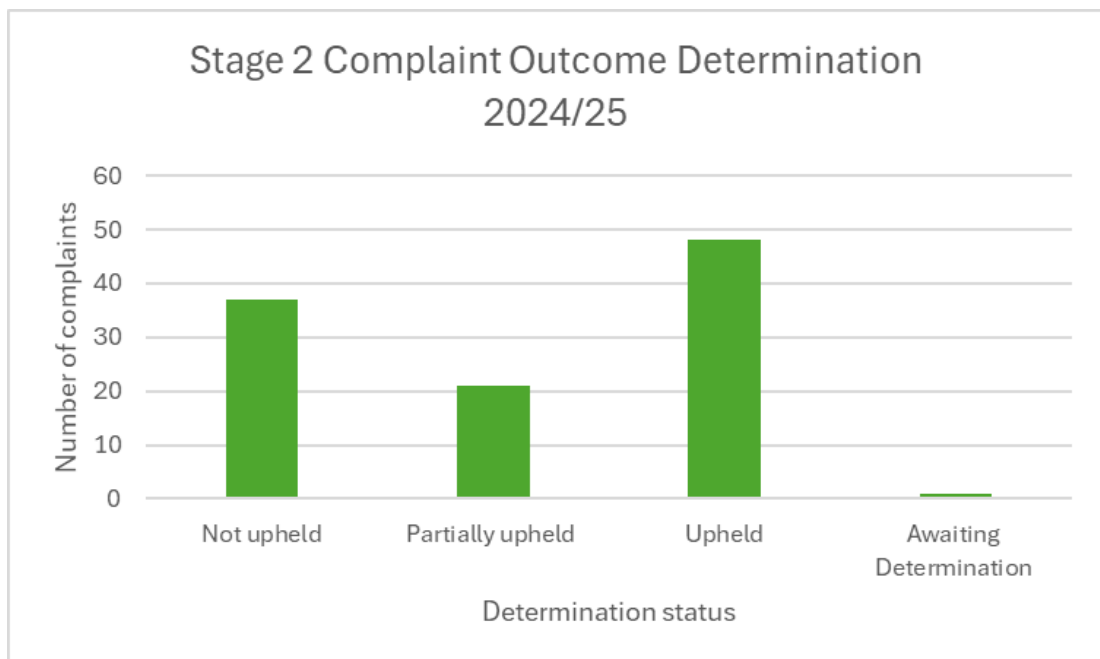
3.3 Stage 1 complaint outcome determination across the Council can be seen in the graph below. A total of 45% (156) of complaints were fully upheld when investigated at stage 1 of the complaints' process.



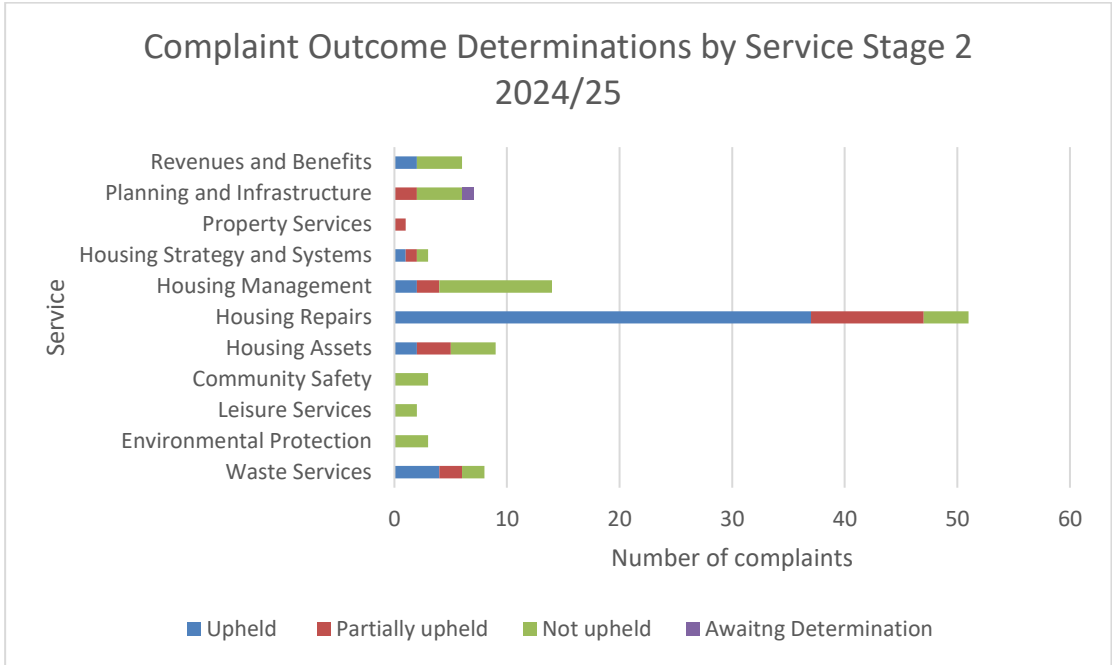
- 3.4 The graph below illustrates the stage 1 determinations by service. Housing Repairs has the highest upheld rate, with 93 complaints upheld and 44 partially upheld out of complaints for the service.



Stage 2 complaint outcome determination across the Council can be shown in the graph below. A total of 45% (48) of complaints were fully upheld when investigated at stage 2 of the complaints process.



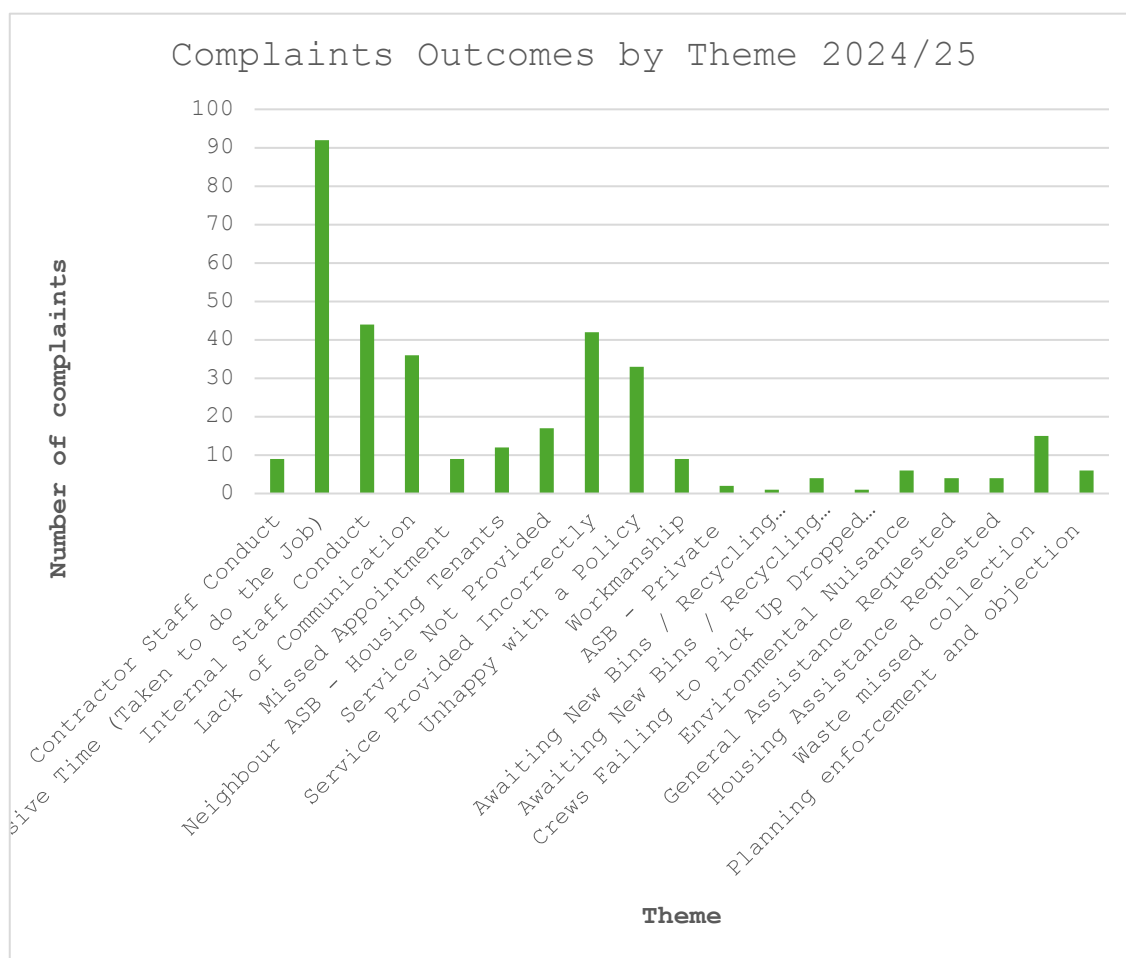
3.5 The graph below illustrates the stage 2 determinations by service. Housing repairs have the highest upheld rate, with 37 complaints upheld and 10 partially upheld out of complaints for the service. Given the volume of complaints within the housing service, quarterly reports are now prepared for the Strategic Director of Communities. These reports provide an overview of the complaints, including themes and outcomes. The findings are subsequently shared with the Tenant Scrutiny Panel.



4.0 COMPLAINT THEMES

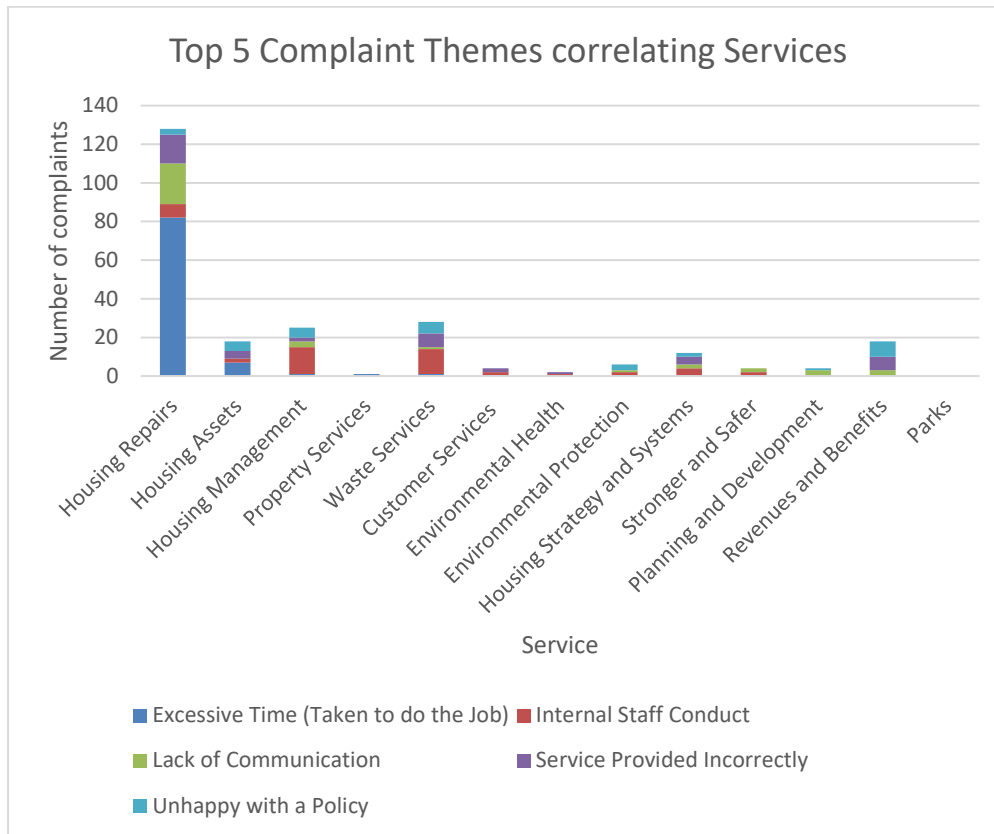
4.1 As part of the process of monitoring and handling customer feedback, the Complaints Team is responsible for categorising complaints based on the subject matter. The following diagram outlines the categories of complaints received in 2024/25.

4.2 Stage 1 – Themes of Complaint – 2024-25 Whole Council



4.3 92 (27%) of all complaints were categorised as excessive time taken to carry out a service. Complaints within this category have increased from 76 in 2023/24 (an increase of 21%).

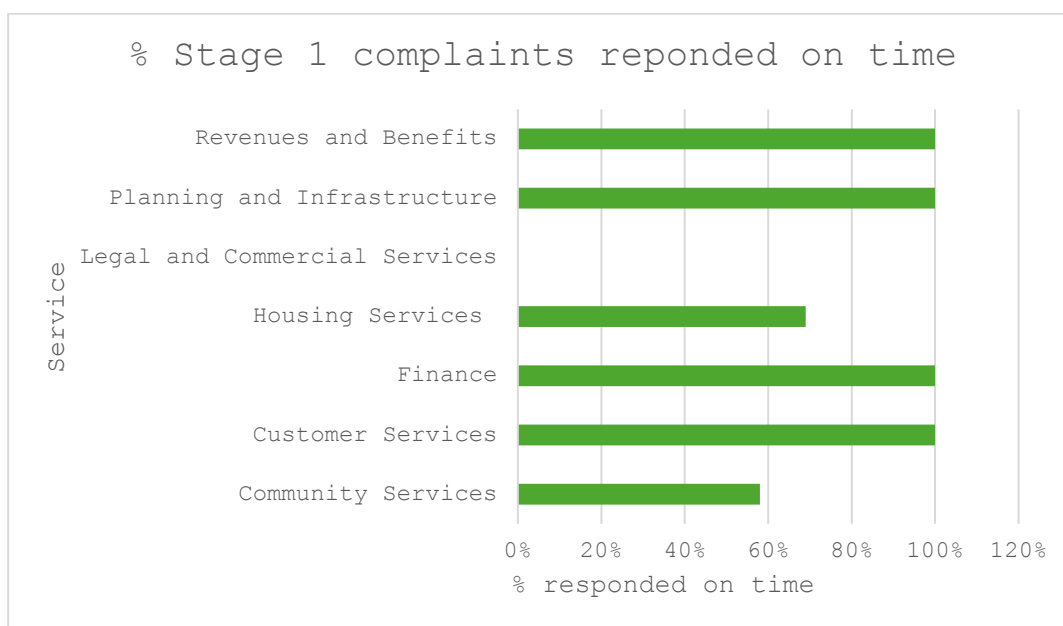
4.4 Staff conduct accounted for the second highest category of complaints, with 44 (13%) complaints. Complaints within this category have increased from 33 in 2023/24. These are where the complainants consider that an employee has behaved poorly either in person or on the phone. These are front-facing roles such as repair operatives, housing officers, community safety officers, customer services officers. These are usually related to a disagreement over a decision or action taken. Of the 44 complaints over staff conduct 11 (25%) were upheld in the customer's favour, 2 (5%) partially upheld and the remaining 31 (70%), the Council was not found to be at fault.



- 4.5 The categories of excessive time taken, staff conduct, and lack of communication were common reasons for complaints across all services. However, the Housing Repairs Service was the primary source of complaints about excessive time taken, with 82 out of 92 complaints in this category and 21 out of 36 regarding lack of communication. This issue directly correlates with the housing improvement plan, which has significantly reduced the number of outstanding repairs from 7,000 to 1,800—a 75% reduction. The Housing Service's commitment to further reduce this backlog to a normal level within the next 12 to 18 months is expected to lead to a decrease in complaints about excessive time taken.

5 COMPLAINTS PERFORMANCE

- 5.1 The Council's service standard is to respond in full to a complaint within 10 working days of receipt. If this is not possible within that timeframe (for example, because of the complexity of the complaint, the number of parties involved or awaiting additional information), a holding response is sent to the customer. This standard was met in 70% of complaints at stage 1 (242 complaints), processed in the year 2024/25.
- 5.2 When a complaint is escalated to stage 2, the investigating head of service has 10 working days to respond. This standard was met in 70% of escalated complaints (75 complaints).



- 5.3 All services endeavor to focus on providing a high-quality response that resolves all the issues raised and finds a suitable outcome in a timely way, whilst keeping the complainant informed and up to date with progress. Responding to complaints within the timeframe is a key performance indicator within the Council Delivery Plan and something that is being highlighted as an area for improvement in 2025/26 particularly for Housing and Community Services who failed to hit the targets set for 2024/25.

6 FINANCIAL REMEDIES

- 6.1 In awarding compensation, the Council must consider:

- The housing compensation policy which sets out the grounds and basis upon which compensation may be awarded and is applicable to all tenants of the Council [Compensation Policy](#)
- Corporate compensation payments are in accordance with the Councils Financial Procedure Rules provided that the Monitoring Officer, in consultation with the relevant Strategic Director has advised on the appropriateness of compensation as per the constitution.
- Whether any statutory payments are due
- If any quantifiable losses have been incurred
- The time and trouble a customer has experienced
- Any distress and inconvenience caused
- The remedies guidance issued by the relevant Ombudsman

- 6.2 Suggested ranges of compensation are set out by the Ombudsman and the Housing Ombudsman also gives additional guidance in determining the adverse effect and impact on customers in particular circumstances.

- 6.3 Neither this guidance nor the suggested ranges are intended to be prescriptive, and discretion is required on a case-by-case basis to decide what is fair and reasonable in the circumstances of each situation.

- 6.4 For the annual year 2024/25, the Council has paid in total £27,372.26 as a financial remedy to complaints including compensation ordered by the Ombudsman compared to £20,888.61 for the year 2023/24.

7 UNREASONABLE BEHAVIOUR AND COMMUNICATION

- 7.1 Occasionally, the behaviour or actions of individuals using the Council's services makes it very difficult for the Council to deal with their complaint. In a small number of cases, the actions of individuals become unacceptable because they involve abuse of the Council officers or the Council processes. When this happens, the Council must take action to protect the health and wellbeing of officers who have a right to do their jobs without fear of being abused or harassed. The Council must also consider the impact of the behaviour on the Council's ability to do work and provide a service to others.
- 7.2 As a result, the Council has developed an Unreasonable Behaviour and Communication Policy to set out how it deals with unreasonable behaviour and communication. This policy can be found in Appendix 4 of this report.
- 7.3 The Policy has been drafted with regards to the Local Government Ombudsman's (LGO) Guidance note on 'unreasonably persistent complainants' and 'unreasonable complainant behaviour' and the Housing Ombudsman complaints code of conduct.

8 EXTERNAL BODIES

- LOCAL GOVERNMENT AND SOCIAL CARE OMBUDSMAN (LGSCO) - HOUSING OMBUDSMAN (HO)

- 8.1 If complainants are not satisfied with the outcome of their complaint as investigated through the Council's complaints' procedures, they can escalate their complaint to the Ombudsman. This section of the report provides information on cases that the Ombudsman has made decisions on in the 2024/25 period.
- 8.2 The Housing Ombudsman (HO) manages enquiries and complaints that are related to services provided by the Council as a social landlord e.g., repairs to properties.
- 8.3 The Local Government and Social Care Ombudsman (LGSCO) handles enquiries and complaints that are related to all other Council services. This includes non- landlord housing issues such as housing allocation, homelessness and temporary accommodation which is categorised in LGSCO reports as "Housing".
- 8.4 The HO and LGSCO produce annual review reports and the data, feedback and recommendations and remedies made in these are reviewed by the feedback team who ensure the relevant service areas act on them in a timely manner.

LOCAL GOVERNMENT AND SOCIAL CARE OMBUDSMAN

- 8.5 In February 2024, the LGSCO introduced a complaint code as "advice and guidance" for all local councils in England under section 23(12A) of the Local Government Act 1974. This means that councils should consider the Code when developing complaint handling policies and procedures and when responding to a complaint. The complaint code can be found at: [LGSCO Complaint code](#)
- 8.6 The LGSCO produces an annual report on the complaints they have received and the outcomes of each case this can be found at: [LGSCO annual report](#).

- 8.7 In 2024/25, 11 complaints were escalated to the Local Government and Social Care Ombudsman (LGSCO). Of these, five were not for them as an Ombudsman and therefore re directed to the Housing Ombudsman, the LGSCO decided not to investigate five complaints. The remaining complaint was investigated, and the Council was not found at fault.

HOUSING OMBUDSMAN

- 8.8 The Housing Ombudsman Service is set up by law to look at complaints about the housing organisations that are registered with them. It resolves disputes involving the tenants and leaseholders of social landlords (housing associations and local authorities) and voluntary members (private landlords and letting agents who are committed to good service for their tenants).
- 8.9 On the 1 April 2024, the HO published its revised Complaint Handling Code which was first introduced in June 2020. This sets out requirements for member landlords that will allow them to respond to complaints effectively and fairly.
- 8.10 The Code ensures complaint handling data is being used consistently across landlord members, promotes engagement at different levels within a landlord and sets out expectations for boards or equivalent governance, senior executives and frontline staff.
- 8.11 Compliance with the Code forms part of the membership obligations. Members are obliged to complete a self-assessment to measure the level of compliance. The Council's latest self-assessment based upon the latest code can be found in Appendix 2 of this report.
- 8.12 When carrying out a complaint investigation the Ombudsman will consider whether the landlord addressed the complaint in accordance with the Code. Any failure identified could result in a finding of:
- Severe maladministration
 - Maladministration
 - Service failure
 - Mediation
 - Redress
- 8.13 Following an investigation where some level of maladministration has been found the HO could put an order and or recommendations in place to correct matters. The HO can also make recommendations on any case that has been investigated and determined by them to help improve service delivery and promote learnings from outcomes and ensure compliance with the Code.
- 8.14 The HO's Complaint Handling Code can be found at: [Housing Ombudsman complaint code](#)
- 8.15 The Housing Ombudsman has not yet published its Landlord Reports for 2024/2025 so all data presented below is from the Council's systems. The Landlord Performance report is normally received in October. Appendix 3 of this report shows the Housing Ombudsman's Landlord performance report for 2023/24.

8.16 In 2024/2025 the Council had 13 complaints escalated to the Housing Ombudsman Service (HOS), the HOS formally investigated all 13 cases. The determinations found by the HOS on the 13 cases were two cases of no fault by the Council and 11 cases of the Council found at fault. The determinations of the Council being found at fault as follows:

- 3 x maladministration in handling repairs
- 2 x maladministration in handling of ASB reports
- 1 x service failure for handling of repairs
- 2 x service failure for handling of complaint
- 1 x service failure for handling of report of flooding
- 1 x severe maladministration in handling of multiple repairs
- 1 x maladministration in handling of reports of disrepair
- 4 x maladministration in handling of complaint
- 1 x service failure for handling staff conduct
- 1 x service failure for handling of communication
- 1 x maladministration in handling repairs and response to damp and mold

8.17 As a result of the HO determinations a number of recommendations and orders were put in place by the HO some of which were:

- The landlord should consider re-training of housing staff on complaint handling.
- The landlord should provide training on effective communication.
- The landlord should improve record keeping.

9 LEARNING POINTS

9.1 The Council treats every complaint as an opportunity to identify learning outcomes and improve service provision. Complaints are valuable not only in identifying service improvements, but in improving public perception and satisfaction with the Council as a whole. Each complaint can be an opportunity to make changes or service improvements on a small or greater scale.

9.2 Examples of some of the learning points and improvements made as a result of complaints during 2024/25 include:

- Ensuring continuity in communication for ongoing complaints and keeping the complainant informed on updates.
- Speaking directly to customers to outline any potential delays in dealing with their request, whatever the reason might be.
- Communicating updates have been implemented with monthly internal articles, which have included statistical updates, lessons learnt and guidance on conducting investigations and formulating responses.
- The Customer Experience Team Leader continuing to support the repairs service with their complaints in particular the ombudsman responses.
- The Customer Services Team Manager establishing a group to review the customer contact standards as an organisation which will help improve culture and complaints.
- Undertaking Root Cause Analysis sessions with Waste and Housing Management services teams including looking at avoidable contact and how we better the customer journey.

- The Customer Services Team Manager developing additional training to assist with complaint investigations. This training, which is mandatory, has been rolled out to all NWL leaders and additional officers who handle complaints.

9.3 Looking back to the last years HO cases, there are a number of themes that have come forward when we consider these cases. Whilst each is unique there are some common threads which we are addressing. These are:

The timeliness of repairs – a broad theme around repairs times which largely stems from the issues of service interruption around COVID. This is being tracked through the Cross-Party Housing Improvement Board which has seen a 75% reduction in the number of outstanding repairs from 7,000 to 1,800.

Training – there are a number of instances where the HO has asked us to refresh training on specific issues in the service. This has included ASB, bereavement, safeguarding, and the new regulatory standards. These have been added to our renewed focus on skills and training of our staff which now occur quarterly.

Responsiveness to reports of leaks and damp – greater emphasis on damp and mould responsiveness should be seen with the introduction of Awaab's law being introduced from October 2025.

Record keeping – a number of changes to our systems have taken place to help us improve records of interactions with tenants. These range from Tenancy Audits, through to Stock Condition and the increased use of hand-held devices to enable greater on-the-spot reporting and record updating. This will continue to be a focus of the Improvement Plan going forwards.

9.4 Improvements for the forthcoming year of 2025/26 are:

- Focusing on the timeliness in responding to complaints to accord with the Council's Delivery Plan targets of 100% within timeline.
- Continuing development plan on the importance of complaints across the council.
- Working with the housing improvement board to provide a greater understanding of the service.
- Reviewing the customer contact standards to make them corporate and achievable.
- Improving culture to one of a more customer centric one.

10 MEMBER AND MP ENQUIRIES

10.1 Member and MP Enquiry data is included in the annual formal enquiries report as it is acknowledged that there is great similarity between the types of complaints submitted and the types of Member/MP enquiries received. It is not uncommon for a resident to make a complaint and then contact their Councillor about the same issue.

10.2 For the period 1 April 2024 to 31 March 2025, the total number of Member Enquiries received was 705, compared with 634 in the previous period. This is an 11% increase in the number of Member Enquiries compared with the previous year's figures.

10.3 For the period 1 April 2024 to 31 March 2025, the total number of MP Enquiries received was 175, compared with 131 in the previous period. This is a 34% increase

in the number of MP Enquiries compared with the previous year's figures.

Member and MP enquiries by service.

Service	Number of Member enquires	Number of MP enquires
Community Services	330	26
Customer Services	6	4
Economic Regeneration	4	2
Finance	1	0
Housing services	218	96
Human Resources	3	1
Legal and Commercial Services	10	0
Planning and Infrastructure	95	30
Revenues and Benefits	9	9
Not NWLDC function	28	5
Totals	705	175

11 CORPORATE OBJECTIVES AND PRIORITIES

- 11.1 The reporting of complaints is embedded in the Council's performance management process, giving further opportunity for issues to be raised throughout the year, and for wider corporate trends to be identified should they arise.
- 11.2 A robust and effective complaints process ensures the Council is able to meet its vision, working collaboratively to deliver high quality services that support all communities in the District.
- 11.3 Reviewing and learning from complaints ensures the Council is committed to delivering its values. Delivering high standards in everything the Council does which shapes behaviours and builds trust with its residents.

12 CONCLUSION

- 12.1 Complaints at service level remain low, particularly when compared to the overall volume of interactions the Council has had with the public in the same period, this does not negate the fact that the Council takes each complaint seriously when investigating and act upon any learning that has been identified. The Council is not complacent about the matters raised.

- 12.2 More work is required with services on the culture around complaints to ensure consistency on timeliness of responses and the importance of complaints.
- 12.3 The consistency of complaints reporting suggests that the complaints process continues to work effectively, and that the public can make a complaint with ease. Where necessary, trends are identified by the feedback team and managed by individual services. The Customer Services Team Manager and Customer Experience Team Leader will continue to work closely with Services to identify ways to effectively manage and resolve complaints.
- 12.4 The minutes of the Corporate Scrutiny Committee on Thursday, 19 June, will be circulated to Cabinet as an additional paper prior to the Cabinet meeting.

Policies and other considerations, as appropriate	
Council Priorities:	A well-run council
Policy Considerations:	Corporate Complaints Policy Unreasonable Behaviour and Communication Policy
Safeguarding:	None.
Equalities/Diversity:	None
Customer Impact:	The report provides an overview in to how residents experience our services. Over the reporting period, the feedback has highlighted both areas of strength and opportunities for improvement. Where complaints have been upheld, the Council has taken steps to address root causes, whether that is through staff training, process reviews or improved communication.
Economic and Social Impact:	None.
Environment, Climate Change and zero carbon:	None.
Consultation/Community Engagement:	None.
Risks:	<p>A recurring pattern of complaints in specific areas may indicate deeper systemic issues. If left unaddressed, these could erode public confidence and lead to reputational damage.</p> <p>Delays in responding to or resolving complaints brings a risk to the Council's commitment to customer care. Timeliness is a critical factor in maintaining trust with our residents.</p> <p>Failure to act on complaint trends or to implement learning from upheld cases could leave the Council exposed to legal or regulatory scrutiny, particularly where vulnerable individuals are affected.</p> <p>If staff training, communication or policy clarity is not addressed, it may lead to service failures. These risks can compound over time, leading to increased volumes of complaints and greater strain on resources.</p>
Officer Contact	Nichola Oliver Customer Services Team Manager nichola.oliver@nwleicestershire.gov.uk

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Item	Details
Reference:	Corporate Complaints and Feedback Policy
Status:	Final
Originator:	Kerry Spiers
Owner:	Nichola Oliver
Version No:	1
Date:	1 April 2025

Corporate Complaints and Feedback Policy

Key policy details

Approvals

Item	Date of Approval	Version No.
Consulted with Legal Services	30.12.2022	1
Reviewed by Corporate Scrutiny Committee	TBA	
Approved by Cabinet	TBA	

Policy Location

This policy once approved will be found on the following page of the website [Complaints, compliments, comments - North West Leicestershire District Council](#)

Equality Impact Assessment (EIA)

Completed by	Completion date
Nichola Oliver	September 2023

Revision history

Version Control	Revision Date	Summary of Changes

Policy Review Plans

This policy is subject to a scheduled review once every two years or earlier if there is a change in legislation or local policy that requires it.

Distribution

Title	Date of Issue	Version No.
Website	TBA	

We welcome your feedback

Northwest Leicestershire District Council has a positive complaint handling culture which is integral to the effectiveness with which we resolve disputes. We use complaints as a source of intelligence to identify issues and introduce positive changes in service delivery.

We are committed to providing high quality services and we welcome your feedback on how we are performing.

Our staff take great pride in their work, and we love hearing from customers who have received excellent service.

We always try to get things right first time, but we recognise that sometimes things can go wrong and if they do, we want to know, so we can put them right and learn from any mistakes.

This policy explains how you can make a compliment, comment or complaint and how we will investigate it and respond back to you.

This policy and the relevant Ombudsman complaint handling codes can be found on our website: <https://www.nwleics.gov.uk/>. If you require this policy in a different format, please contact Customer Services on 01530 454545.

Complaints

What is a complaint?

We consider a complaint to be *'an expression of dissatisfaction, however made, about the standard of service, actions, or lack of action by the organisation, its own staff, or those acting on its behalf affecting an individual/resident or a group of individuals/residents'*. We will always encourage you to resolve your problems directly with the relevant service area before making a complaint, as this is most often the quickest way of resolving problems when they occur.

Please use our complaints process if you think the Council has not:

- Provided the standard or quality of service promised.
- Followed our own policies.
- Responded promptly to your enquiry or request for service.
- Treated you fairly.
- Treated you with courtesy.

If you make a complaint to the Council, we will investigate and respond using the procedure set out in this document. We promise to deal with your complaint promptly, courteously and fairly.

When dealing with complaints, the Council works in line with the Local Government Ombudsmen's six principles of good administration:

1. Getting it right....
2. Being service user focused...
3. Being open and accountable...
4. Acting fairly and proportionately...
5. Putting things right ...
6. Seeking continuous improvement...

If you would prefer us not to investigate and respond, you can still make a comment on our services, which we will feed back to the relevant manager. Feedback via our social media channels will need to be submitted through the established routes below.

The Council also recognises that sometimes serious dissatisfaction with our services may be expressed informally. In these cases, due the nature of the service failure, the Council itself may choose to invoke the complaints procedure, to ensure that the issue is properly investigated, resolved and that lessons learned are captured.

Not a complaint?

Sometimes the complaint process is not the most appropriate route to address your concern. If this is the case, we will contact to you to explain why, and which other processes are open to you. Examples of issues that we cannot address through our complaints process include, but are not limited to:

- When you first report a fault or problem (e.g. reporting a bin has not been collected or a leaking roof in a Council-owned property). This will be dealt with and recorded as a Request for Service. A complaint will be raised when an individual expresses dissatisfaction with the response to their service request, even if the handling of the service request remains ongoing. The council will not stop its efforts to address the service request if the individual complains.
- An expression of dissatisfaction with services made through a survey is not defined as a complaint, though wherever possible, those completing the survey will be made aware of how they can pursue a complaint if they wish to. Where we ask for wider feedback about our services, we will also provide details of how individuals can complain.
- A matter which occurred over twelve months ago unless there are exceptional circumstances to why you are making the complaint outside this timeframe.
- When you have concerns about an issue in the District, such as a noise or public nuisance – these should be directed to our Environmental Protection team who will investigate and may need to take enforcement action.
- If you are making objections regarding a Planning application, these should be via our [planning portal](#). Objections to a planning application will not be considered as part of the complaints policy.
- The correct application of the law or a Council Policy, or to matters for which there is another right of appeal. Sometimes you may have a statutory right of appeal against a decision that has been made for example Issues for which

statutory appeal bodies or tribunals have been established, for example, The Appeals Service (for Benefit appeals), The Planning Inspectorate (for Planning appeals).

- Complaints which amount to a disagreement with the Council about its decision rather than the way the decision has been administered (e.g. the Council Tax banding or the allocating of council properties in accordance with its allocation policy).
- Complaints regarding a decision made by the Council when exercising its regulatory powers (e.g. licensing, serving notices) or undertaking its statutory duties (e.g. making a decision on a homelessness claim) unless the complaint relates to the way the matter has been administered.
- Matters in which legal proceedings have started (legal proceedings are considered to be started when details of the claim, such as the Claim Form and Particulars of Claim, have been filed at court).
- Complaints which amount to a disagreement with or refusal to accept a rule of law which the Council is applying.
- Complaints which constitute an allegation of fraud and/or corruption will need to be dealt with under the [Whistle Blowers Policy](#).
- Complaints about Elected Member's conduct. These are handled by the Monitoring Officer through a separate process [Local Code of Conduct - North West Leicestershire District Council \(nwleics.gov.uk\)](#).
- Complaints which amount to a petition. Whilst the Council welcomes petitions, these are handled by the Council's Democratic Services team under the Councils' Petition Scheme [Petitions - North West Leicestershire District Council \(nwleics.gov.uk\)](#)
- Complaints about the conduct of an election, which is the responsibility of the Returning Officer.
- Insurance Compensation claims. These are handled by the Council's Finance Team and the Council's Insurers.
- Grievances by existing, or former, employees about their employment. These need to be referred to the Head of HR and Organisational Development.
- A request for information or an explanation of Council policy or practice.
- Freedom of Information (FOI), Environmental Information Regulation (EIR) and Data Protection requests [How to make a Freedom of Information request - North West Leicestershire District Council \(nwleics.gov.uk\)](#)

- Matters that have previously been considered under the complaints and Ombudsman's process.
- Matters relating to a Business-as-Usual Request that has been previously notified to the Council and is awaiting action within an agreed timescale (e.g., a non-urgent housing repair that may be actioned up to 60 days after notification).
- If the Complaint is about something that a different council or other organisation is responsible for, the Council will signpost you to the right organisation.

However, the circumstances of each complaint will be considered and we may exercise discretion to accept complaints even if one of the exclusions applies.

If you would like more information on any of the issues listed above, please contact Customer Services on 01530 454545 who will be happy to advise you.

How can I make a comment or complaint?

Individuals may make a complaint in the way most suitable for them. This includes in writing, by email, over the telephone or face to face on appointment. Any member of staff will be able to take a complaint and pass it to the Feedback team.

The complaints process is open to everyone who receives, should receive, or requests a service from the Council. You can contact us via the following channels:

- Click [here](#) to complete our online Compliment, comment or complaint form
- Calling our Customer Services team on 01530 454545
- Through a representative for example your Councillor, MP, Housing Officer, or Support Worker
- Visiting in person at:

Customer Centre
Belvoir Road
Coalville
LE67 3PD

or writing to us:

Feedback Team
NWLDC
PO Box 11051
Coalville
LE67 0FW

What will happen when I make a complaint?

We investigate all complaints thoroughly and with an open mind. If you want a friend or relative to take your complaint forward on your behalf, please let us know and we will be happy to work through your representative. You might also want to seek help from your local ward councillor – a key part of a councillor's role is to act as a community champion and he or she would be happy to help you. Contact details for your councillor can be found on the Council website, or by calling the Customer Services team on 01530 454545.

When we receive a stage 1 complaint, or a request to escalate a complaint to stage 2, we will acknowledge the complaint within 5 working days, setting out our understanding of the complaint and the outcomes the complainant is seeking. We call this the "complaint definition". If any aspect of the complaint is unclear, we will ask for clarification.

We will then investigate your complaint and aim to provide a response within ten working days from the date of acknowledgement.

Sometimes this process may take longer, for example if we need further information or the complaint is very complex, but we will update you on the progress of your investigation every ten working days until a full response can be given.

If we are at fault, then we will apologise and try to put things right. If we do not think we are at fault, then we will explain why.

If there are some aspects of the complaint that are not the responsibility of the council, we will make that clear in the acknowledgement

We will:

- Deal with complaints on their merits, act independently and have an open mind
- Give the complainant a fair chance to set out their position
- Take measures to address any actual or perceived conflict of interest
- Consider all relevant information and evidence carefully

How will we respond?

The appropriate officer investigating your complaint will select the most appropriate means to respond to your complaint.

We encourage, where appropriate, investigating officers to have informal discussions with complainants before issuing the final response. This ensures that the Council has understood the issue and your expectations correctly, allowing us to explain the proposed action and closure.

All points raised in the complaint definition will be addressed and clear reasons for any decisions provided, with reference to the relevant policy, law or good practice where appropriate.

In issuing the final response, the Council may respond in a variety of means depending on the nature of the complaint and your needs. Possible channels may include verbal, face to face, email or in writing. All stage one complaints will be signed off by a Director.

Where the complainant raises additional complaints during the investigation, these will be incorporated into the stage 1 response if they are related and the stage 1 response has not been issued. Where the stage 1 response has been issued, the new issues are unrelated to the issues already being investigated or it would unreasonably delay the response, the new issues will be logged as a new complaint.

We will always write or email you to confirm that the complaint has been closed.

This is the first stage of the Council's complaint process.

What if you are unhappy with the response to your complaint?

If you are unhappy with the response to your complaint then you can ask for the complaint to be reviewed by a Senior Manager, who will reconsider your case. All Stage 2 complaint responses will be signed off by the Chief Executive.

All points raised in the complaint definition will be addressed and clear reasons for any decisions provided, with reference to the relevant policy, law or good practice where appropriate

We will acknowledge your request for a review within five working days and aim to provide a written response within twenty working days, again this process might sometimes take longer, and we will keep you informed of progress every ten working days until a full response can be given.

This is the second stage of the Council's complaint process.

Complaining to the Local Government Ombudsman or Housing Ombudsman

We aim to resolve your complaint through our internal process, but if you are still not satisfied with our response you can contact the Local Government Ombudsman; or the Housing Ombudsman in the case of tenants in Council-owned properties with complaints about housing matters. The Housing Ombudsman may be contacted at any stage throughout the complaints process to give tenants the opportunity to engage with the Ombudsman's dispute support advisors for impartial advice.

Please be aware that both Ombudsman will normally only deal with your complaint if you have previously given the Council the chance to consider your complaint through Stages 1 and 2 listed above.

Local Government Ombudsman

Contact details for the Local Government Ombudsman are:

Local Government Ombudsman
PO Box 4771
Coventry
CV4 0EH

Telephone: 0300 061 0614

Website: www.lgo.org.uk/making-a-complaint

Housing Ombudsman

Contact details for the Housing Ombudsman are:

Housing Ombudsman Service
PO Box 1484
Unit D
Preston
PR2 0ET

Telephone: 0300 111 3000

Phonelines are open Monday to Friday 9am to 5pm

Lines will be closed for staff training every Thursday from 3.30pm to 5pm

Website: www.housing-ombudsman.org.uk

Complaints about third parties

North West Leicestershire District Council has a two-stage complaints process. Where our response is handled by a third party (for example a contractor), it will form part of the two stage process. Third parties will handle complaints in line with this policy. Please be aware that we may need to share your personal details with the third party in order to proceed with our investigations.

Remedies

Where something has gone wrong, we will acknowledge this and set out the actions we have already taken, or intend to take, to put things right and prevent the same mistake happening again:

This could include:

- apologising
- acknowledging where things have gone wrong
- providing an explanation, assistance or reasons
- taking action if there has been any delay
- reconsidering or changing a decision
- providing a financial remedy

Compensation in relation to service complaints is not offered every time the Council has made an error but is considered when the error cannot be put right.

When compensation is offered, it will always be appropriate and proportionate to the circumstances. We must think about the impact the fault has had.

Compensation payments to remedy complaints are in accordance with the Council's Financial Procedure Rules provided that the Monitoring Officer, in consultation with the relevant Strategic Director has advised on the appropriateness of compensation for instances when we do not get it right.

Where we have investigated and do not uphold all or part of a complaint, we will:

- explain the reasons for our decision clearly
- inform customers how to progress their complaint if they remain dissatisfied

A complaint may be remedied at any stage of the complaint process

Anonymous complaints

When taking details of a complaint, staff will always encourage customers to provide their identity in order for their complaint to be effectively processed. However, complaints may be made anonymously and will still be treated with the same degree of importance and within the relevant timescales set out in our procedure above. Anonymous complaints may be more difficult to investigate, and therefore in most cases will be recorded as informal complaints and investigated by the service involved in order to identify possible areas for service improvement.

What we ask of our customers

When you make a complaint, it may take some time to thoroughly investigate and respond. Our complaints procedure sets out the timescales in which you can expect to receive either an update into the progress of the investigation into your complaint or a response. We ask that the Council is given time to investigate in order to respond properly.

Customers should appreciate that not all complaints may be resolved to their satisfaction; however, we will always apologise and try to make things right if we find we are at fault. We will not tolerate abusive or unreasonable behaviour whilst investigating your complaint and ask that our staff are treated with courtesy and respect.

A very small minority of customers persist unreasonably with their complaints. This may be by:

- Continued complaints about the same issue for which they have already received a response
- Frequent complaints about a number of issues
- Frequent or abusive contact with our staff while complaints are being investigated
- Vexatious complaints targeted at individuals or teams within the Council or at Elected Members.

This can hinder our consideration of their and other people's complaints and make it difficult to resolve genuine grievances. The Council will act as appropriate against customers that we consider to be persisting unreasonably with their complaints against the Council. Actions may include but are not limited to; restriction of points of access, a consolidated and/or a limited number of replies, or in very severe cases; legal action and withdrawal of service in accordance with the Council's [Unreasonable Behaviour and Communication Policy](#).

Equal Opportunities

The Council uses the same process to investigate all complaints, and every complainant will receive the same level of service regardless of age, disability, gender reassignment, marital status, pregnancy, race, religion or belief, sex or sexual orientation.

We recognise that some groups are more vulnerable than others. Complaints involving equality issues will be handled with particular sensitivity to ensure that the matter is resolved quickly and fairly and in accordance with the Council's equality commitments.

We will make reasonable adjustments for complainants where appropriate under the Equality Act 2010. We will keep a record of any reasonable adjustments agreed, as well as a record of any disabilities a complainant has disclosed. Any agreed reasonable adjustments will be kept under active review.

Confidentiality

All complaints received will be dealt with confidentially and in accordance with the requirements of the Data Protection Act 2018.

Compliments

If we have done something particularly well, or if you think one of our staff deserves a special thank you, please let us know. You can contact us using the same methods.

Appendix B: Self-assessment form

This self-assessment form should be completed by the complaints officer and it must be reviewed and approved by the landlord's governing body at least annually.

Once approved, landlords must publish the self-assessment as part of the annual complaints performance and service improvement report on their website. The governing body's response to the report must be published alongside this.

Landlords are required to complete the self-assessment in full and support all statements with evidence, with additional commentary as necessary.

We recognise that there may be a small number of circumstances where landlords are unable to meet the requirements, for example, if they do not have a website. In these circumstances, we expect landlords to deliver the intentions of the Code in an alternative way, for example by publishing information in a public area so that it is easily accessible.

Section 1: Definition of a complaint

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
1.2	A complaint must be defined as: <i>‘an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the landlord, its own staff, or those acting on its behalf, affecting a resident or group of residents.’</i>	Yes	Corporate complaints policy	Page 3
1.3	A resident does not have to use the word ‘complaint’ for it to be treated as such. Whenever a resident expresses dissatisfaction landlords must give them the choice to make complaint. A complaint that is submitted via a third party or representative must be handled in line with the landlord’s complaints policy.	Yes	Corporate complaints policy	Feedback officer and Customer Services are independent of any service.
1.4	Landlords must recognise the difference between a service request and a complaint. This must be set out in their complaints policy. A service request is a request from a resident to the landlord requiring action to be taken to put something right. Service requests are not complaints, but must be	Yes	Corporate complaints policy.	Page 4

	recorded, monitored and reviewed regularly.			
1.5	A complaint must be raised when the resident expresses dissatisfaction with the response to their service request, even if the handling of the service request remains ongoing. Landlords must not stop their efforts to address the service request if the resident complains.	Yes	Corporate complaints policy	<p>Page 4</p> <p>Acknowledgement letter for a 'request for service' has time frames for monitoring of response and any escalation details to corporate complaint if required.</p>
1.6	An expression of dissatisfaction with services made through a survey is not defined as a complaint, though wherever possible, the person completing the survey should be made aware of how they can pursue a complaint if they wish to. Where landlords ask for wider feedback about their services, they also must provide details of how residents can complain.	Yes	Corporate complaints policy	<p>Page 4</p> <p>Housing feedback has a QR code to complaints form.</p> <p>Customer Service satisfaction survey advises how to make a complaint if not satisfied.</p>

Section 2: Exclusions

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
2.1	Landlords must accept a complaint unless there is a valid reason not to do so. If landlords decide not to accept a complaint they must be able to evidence their reasoning. Each complaint must be considered on its own merits	Yes	Corporate complaints policy	Page 4.
2.2	<p>A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include:</p> <ul style="list-style-type: none"> • The issue giving rise to the complaint occurred over twelve months ago. • Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court. 	Yes	Corporate complaints policy	Page 4.

	<ul style="list-style-type: none"> Matters that have previously been considered under the complaints policy. 			
2.3	Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident becoming aware of the issue, unless they are excluded on other grounds. Landlords must consider whether to apply discretion to accept complaints made outside this time limit where there are good reasons to do so.	Yes	Corporate complaints policy	Page 4
2.4	If a landlord decides not to accept a complaint, an explanation must be provided to the resident setting out the reasons why the matter is not suitable for the complaints process and the right to take that decision to the Ombudsman. If the Ombudsman does not agree that the exclusion has been fairly applied, the Ombudsman may tell the landlord to take on the complaint.	Yes	Corporate complaints policy	Page 4
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Corporate complaints policy	Page 6

Section 3: Accessibility and Awareness

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
3.1	Landlords must make it easy for residents to complain by providing different channels through which they can make a complaint. Landlords must consider their duties under the Equality Act 2010 and anticipate the needs and reasonable adjustments of residents who may need to access the complaints process.	Yes	Corporate complaints policy	Page 6, 10
3.2	Residents must be able to raise their complaints in any way and with any member of staff. All staff must be aware of the complaints process and be able to pass details of the complaint to the appropriate person within the landlord.	Yes	Corporate complaints policy	Page 6 Mandatory complaints training. Internal communications about everyone's responsibility.
3.3	High volumes of complaints must not be seen as a negative, as they can be indicative of a well-publicised and accessible complaints process. Low complaint volumes are potentially a sign that residents are unable to complain.	Yes		History of encouraging and welcoming complaints. Numbers of complaints will be published in quarterly and annual complaints reports.

3.4	Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the two stage process, what will happen at each stage, and the timeframes for responding. The policy must also be published on the landlord's website.	Yes	Corporate complaints policy	Page 6
3.5	The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code.	Yes	Corporate complaints policy	Page 8
3.6	Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf, and to be represented or accompanied at any meeting with the landlord.	Yes	Corporate complaints policy	Page 6
3.7	Landlords must provide residents with information on their right to access the Ombudsman service and how the individual can engage with the Ombudsman about their complaint.	Yes	<ul style="list-style-type: none"> • Corporate complaints policy <ul style="list-style-type: none"> • Website • Acknowledgement letter • Stage response letters 	Page 8

Section 4: Complaint Handling Staff

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
4.1	Landlords must have a person or team assigned to take responsibility for complaint handling, including liaison with the Ombudsman and ensuring complaints are reported to the governing body (or equivalent). This Code will refer to that person or team as the 'complaints officer'. This role may be in addition to other duties.	Yes		<ul style="list-style-type: none"> • Feedback Officer administers all complaints. • Customer Experience Team leader is Ombudsman liaison. • Customer Service Team Manager CLT/ Member liaison
4.2	The complaints officer must have access to staff at all levels to facilitate the prompt resolution of complaints. They must also have the authority and autonomy to act to resolve disputes promptly and fairly.	Yes	Feedback officer doesn't have authority or autonomy. Clarified with HOS, Response as follows: <i>'a complaints officer should have the authority to act to resolve disputes. However, we acknowledge that landlords will have differing internal processes for offering a complaint resolution such as delegation schemes or individual compensation limits. In these scenarios, the landlord should instead ensure the process for obtaining the necessary authorisation is swift and does not delay complaint responses being provided within the timescales set out in the Code.'</i>	

			Our policy accounts for director and CEO signoff of complaints within the relevant time frames.	
4.3	Landlords are expected to prioritise complaint handling and a culture of learning from complaints. All relevant staff must be suitably trained in the importance of complaint handling. It is important that complaints are seen as a core service and must be resourced to handle complaints effectively	Yes	Skillsgate mandatory training	

Section 5: The Complaint Handling Process

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
5.1	Landlords must have a single policy in place for dealing with complaints covered by this Code. Residents must not be treated differently if they complain.	Yes	Corporate complaints policy	
5.2	The early and local resolution of issues between landlords and residents is key to effective complaint handling. It is not appropriate to have extra named stages (such as 'stage 0' or 'informal complaint') as this causes unnecessary confusion.	Yes	Corporate complaints policy	Clear that there are two stages. All officers have been instructed that they must not deal with complaints informally as part of the internal training on the new codes / policy
5.3	A process with more than two stages is not acceptable under any	Yes	Corporate complaints policy	

	circumstances as this will make the complaint process unduly long and delay access to the Ombudsman.			
5.4	Where a landlord's complaint response is handled by a third party (e.g. a contractor or independent adjudicator) at any stage, it must form part of the two stage complaints process set out in this Code. Residents must not be expected to go through two complaints processes.	Yes	Corporate complaints policy	Page 8
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Corporate complaints policy	Page 8
5.6	When a complaint is logged at Stage 1 or escalated to Stage 2, landlords must set out their understanding of the complaint and the outcomes the resident is seeking. The Code will refer to this as "the complaint definition". If any aspect of the complaint is unclear, the resident must be asked for clarification.	Yes	Corporate complaints policy	Page 7
5.7	When a complaint is acknowledged at either stage, landlords must be clear which aspects of the complaint they are, and are not, responsible for and	Yes	Corporate complaints policy	Page 7

	clarify any areas where this is not clear.			
5.8	<p>At each stage of the complaints process, complaint handlers must:</p> <ul style="list-style-type: none"> a. deal with complaints on their merits, act independently, and have an open mind; b. give the resident a fair chance to set out their position; c. take measures to address any actual or perceived conflict of interest; and d. consider all relevant information and evidence carefully. 	Yes	Corporate complaints policy	<p>Page 7</p> <p>Corporate Director sign off of Stage 1 complaints</p> <p>Chief Executive sign off of stage 2 complaints ensures compliance.</p>
5.9	Where a response to a complaint will fall outside the timescales set out in this Code, the landlord must agree with the resident suitable intervals for keeping them informed about their complaint.	Yes	Corporate complaints policy	Page 7,8
5.10	Landlords must make reasonable adjustments for residents where appropriate under the Equality Act 2010. Landlords must keep a record of any reasonable adjustments agreed, as well as a record of any disabilities a resident has disclosed. Any agreed reasonable adjustments must be kept under active review.	Yes	Corporate complaints policy	Page 10

5.11	Landlords must not refuse to escalate a complaint through all stages of the complaints procedure unless it has valid reasons to do so. Landlords must clearly set out these reasons, and they must comply with the provisions set out in section 2 of this Code.	Yes	Corporate complaints policy	Page 5
5.12	A full record must be kept of the complaint, and the outcomes at each stage. This must include the original complaint and the date received, all correspondence with the resident, correspondence with other parties, and any relevant supporting documentation such as reports or surveys.	Yes		Corporate complaints system House on the Hill is a full case management system.
5.13	Landlords must have processes in place to ensure a complaint can be remedied at any stage of its complaints process. Landlords must ensure appropriate remedies can be provided at any stage of the complaints process without the need for escalation.	Yes	Corporate complaints policy	Page 9
5.14	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives. Landlords must be able to evidence reasons for putting any restrictions in place and	Yes	Corporate complaints policy	Page 10

	must keep restrictions under regular review.			
5.15	Any restrictions placed on contact due to unacceptable behaviour must be proportionate and demonstrate regard for the provisions of the Equality Act 2010.	Yes	Unreasonable Behaviour and Communication Policy	<ul style="list-style-type: none"> • Unreasonable communications policy • EIA on policy

Section 6: Complaints Stages

Stage 1

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.1	Landlords must have processes in place to consider which complaints can be responded to as early as possible, and which require further investigation. Landlords must consider factors such as the complexity of the complaint and whether the resident is vulnerable or at risk. Most stage 1 complaints can be resolved promptly, and an explanation, apology or resolution provided to the resident.	Yes		This is our standard practice
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <u>within five working days of the complaint being received.</u>	Yes	Corporate complaints policy	
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	No	Corporate complaints policy	Our Corporate Complaints policy complies with the complaint code. However, in the past year, we achieved a 70% response rate within the specified timeframe, falling short of the 100% target. This shortfall is due

				to various factors, including capacity issues and vacant positions. Ensuring timely responses remains a priority for the Council, with adherence to complaint deadlines being a key performance indicator in our corporate plan for 2025/26. These key performance indicators are monitored quarterly and presented to both the Cabinet and Scrutiny Committee.
6.4	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than 10 working days without good reason, and the reason(s) must be clearly explained to the resident.	Yes	Corporate complaints policy	Page 7
6.5	When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.	Yes	Corporate complaints policy	Page 7
6.6	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address	Yes	Corporate complaints policy	Page 7

	the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.			
6.7	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	Corporate complaints policy	Page 7
6.8	Where residents raise additional complaints during the investigation, these must be incorporated into the stage 1 response if they are related and the stage 1 response has not been issued. Where the stage 1 response has been issued, the new issues are unrelated to the issues already being investigated or it would unreasonably delay the response, the new issues must be logged as a new complaint.	Yes	Corporate complaints policy	Page 8
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: <ul style="list-style-type: none"> a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; 	Yes		Letter templates available if required

	f. details of any outstanding actions; and g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.			
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Stage 2

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.10	If all or part of the complaint is not resolved to the resident's satisfaction at stage 1, it must be progressed to stage 2 of the landlord's procedure. Stage 2 is the landlord's final response.	Yes	Corporate complaints policy	Page 8
6.11	Requests for stage 2 must be acknowledged, defined and logged at stage 2 of the complaints procedure within five working days of the escalation request being received.	Yes	Corporate complaints policy	Page 8
6.12	Residents must not be required to explain their reasons for requesting a stage 2 consideration. Landlords are expected to make reasonable efforts to understand why a resident remains unhappy as part of its stage 2 response.	Yes	Corporate complaints policy	
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Corporate complaints policy	Page 8

6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	No	Corporate complaints policy	Our Corporate Complaints policy complies with the complaint code. However, in the past year, we achieved a 70% response rate within the specified timeframe, falling short of the 100% target. This shortfall is due to various factors, including capacity issues and vacant positions. Ensuring timely responses remains a priority for the Council, with adherence to complaint deadlines being a key performance indicator in our corporate plan for 2025/26. These key performance indicators are monitored quarterly and presented to both the Cabinet and Scrutiny Committee
6.15	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than 20 working days without good reason, and the reason(s) must be clearly explained to the resident.	Yes	Corporate complaints policy	Page 8

6.16	When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.	Yes		Holding letter template can be provided if required.
6.17	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.	Yes	Corporate complaints policy	Page 8
6.18	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	Corporate complaints policy	Page 8
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to the Ombudsman	Yes		Letter templates available if required.

	Service if the individual remains dissatisfied.			
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	Corporate complaints policy	Page 8

Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	<p>Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include:</p> <ul style="list-style-type: none"> • Apologising; • Acknowledging where things have gone wrong; • Providing an explanation, assistance or reasons; • Taking action if there has been delay; • Reconsidering or changing a decision; • Amending a record or adding a correction or addendum; • Providing a financial remedy; • Changing policies, procedures or practices. 	Yes		Normal practice but letter templates are available on request.

7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Corporate complaints policy	Page 9
7.3	The remedy offer must clearly set out what will happen and by when, in agreement with the resident where appropriate. Any remedy proposed must be followed through to completion.	Yes	Compensation Policy Final.pdf	Response templates are clear as to how remedies should be set out. Feedback officer follows through to completion.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Compensation Policy Final.pdf	

Section 8: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	<p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <ul style="list-style-type: none"> a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept; c. any findings of non-compliance with this Code by the Ombudsman; d. the service improvements made as a result of the learning from complaints; e. any annual report about the landlord's performance from the Ombudsman; and f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord. 	Yes	2023/24 NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL	

8.2	The annual complaints performance and service improvement report must be reported to the landlord's governing body (or equivalent) and published on the on the section of its website relating to complaints. The governing body's response to the report must be published alongside this.	Yes	<u>NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL</u>	
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes		Not evidenced in policy, but officers are aware of the requirement
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes		Not evidenced in policy, but officers are aware of the requirement
8.5	If a landlord is unable to comply with the Code due to exceptional circumstances, such as a cyber incident, they must inform the Ombudsman, provide information to residents who may be affected, and publish this on their website Landlords must provide a timescale for returning to compliance with the Code.	Yes		

Section 9: Scrutiny & oversight: continuous learning and improvement

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
9.1	Landlords must look beyond the circumstances of the individual complaint and consider whether service improvements can be made as a result of any learning from the complaint.	Yes	Lessons learnt and service reviews	Root Cause with services
9.2	A positive complaint handling culture is integral to the effectiveness with which landlords resolve disputes. Landlords must use complaints as a source of intelligence to identify issues and introduce positive changes in service delivery.	Yes	Corporate complaints policy	Page 3
9.3	Accountability and transparency are also integral to a positive complaint handling culture. Landlords must report back on wider learning and improvements from complaints to stakeholders, such as residents' panels, staff and relevant committees.	Yes		Scrutiny Portfolio holder updates Tenant panels Tenant InTouch newsletter
9.4	Landlords must appoint a suitably senior lead person as accountable for their complaint handling. This person must assess any themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision.	Yes		Customer Experience Team leader Customer service team manager.

9.5	In addition to this a member of the governing body (or equivalent) must be appointed to have lead responsibility for complaints to support a positive complaint handling culture. This person is referred to as the Member Responsible for Complaints ('the MRC').	Yes		Portfolio holder for housing, property and Customer services
9.6	The MRC will be responsible for ensuring the governing body receives regular information on complaints that provides insight on the landlord's complaint handling performance. This person must have access to suitable information and staff to perform this role and report on their findings.	Yes		Portfolio holder for housing, property and Customer services
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: <ul style="list-style-type: none"> a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance; b. regular reviews of issues and trends arising from complaint handling; c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and 			Quarterly complaints report is sent to portfolio holder for housing, property and customer services.

	d. annual complaints performance and service improvement report.			
9.8	<p>Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to:</p> <p>a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments;</p> <p>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and</p> <p>c. act within the professional standards for engaging with complaints as set by any relevant professional body.</p>	Yes		This is our normal practice / culture

Housing

Ombudsman Service

LANDLORD PERFORMANCE REPORT

2023/2024

North West Leicestershire District Council

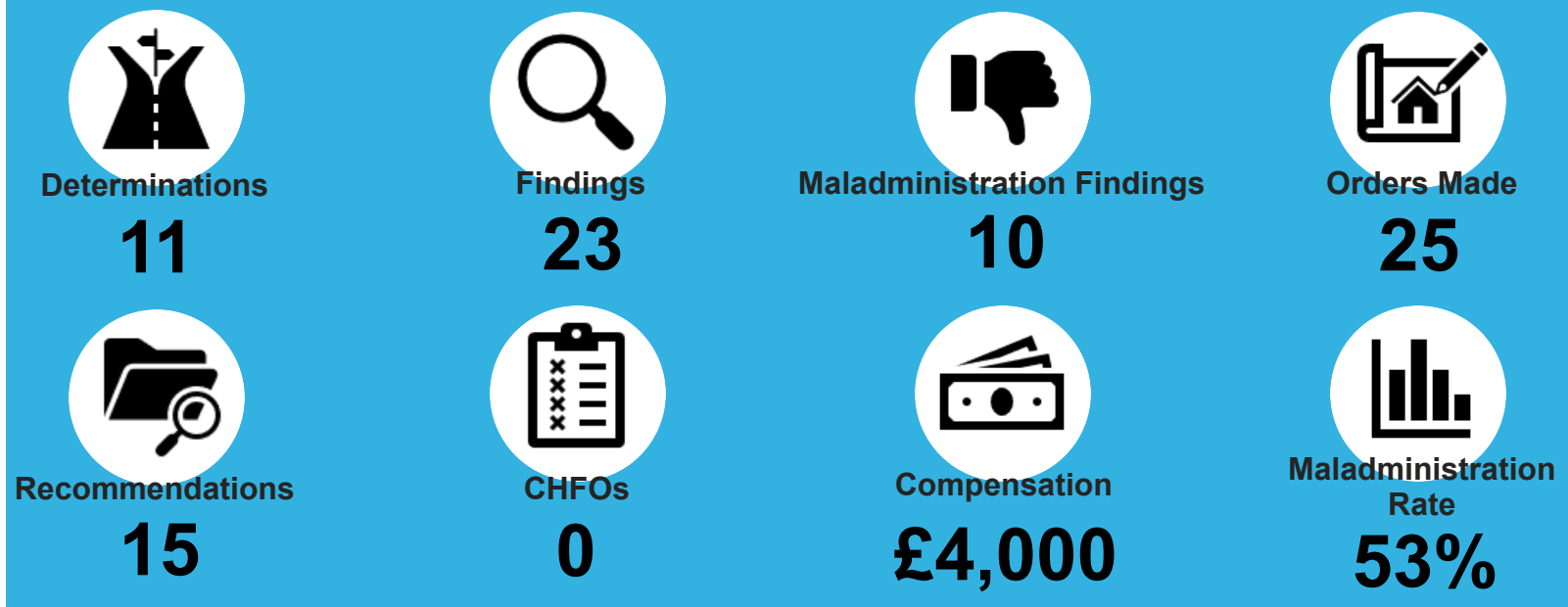
[North West Leicestershire District Council](#)

Landlord: North West Leicestershire District Council

Landlord Homes: 4,169

Landlord Type: Local Authority / ALMO or TMO

PERFORMANCE AT A GLANCE



PERFORMANCE 2022-2023



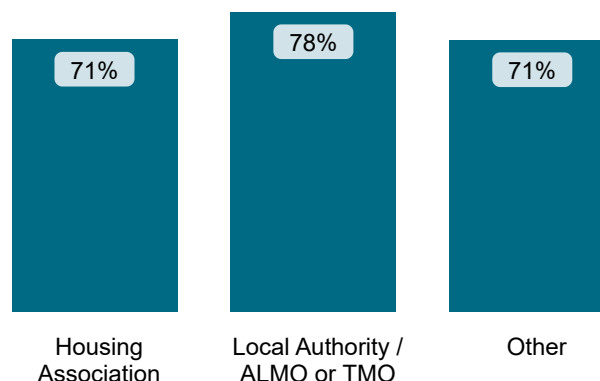
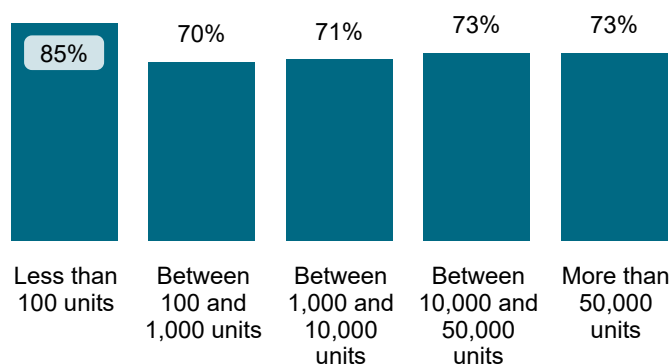
Maladministration Rate Comparison | Cases determined between April 2023 - March 2024

NATIONAL MALADMINISTRATION RATE: 73%

The landlord performed well when compared to similar landlords by size and type.

National Mal Rate by Landlord Size: Table 1.1

by Landlord Type: Table 1.2



Findings Comparison | Cases determined between April 2023 - March 2024

National Performance by Landlord Size: Table 2.1

Outcome	Less than 100 units	Between 100 and 1,000 units	Between 1,000 and 10,000 units	Between 10,000 and 50,000 units	More than 50,000 units	Total
Severe Maladministration	14%	6%	4%	8%	7%	7%
Maladministration	35%	37%	41%	42%	43%	42%
Service failure	18%	19%	20%	18%	19%	19%
Mediation	0%	0%	1%	1%	1%	1%
Redress	0%	5%	7%	8%	12%	9%
No maladministration	12%	21%	20%	15%	12%	15%
Outside Jurisdiction	22%	11%	8%	7%	5%	7%
Withdrawn	0%	0%	0%	0%	0%	0%

North West Leicestershire District Council

Outcome	% Findings
Severe Maladministration	4%
Maladministration	30%
Service failure	9%
Mediation	0%
Redress	4%
No maladministration	35%
Outside Jurisdiction	17%
Withdrawn	0%

National Performance by Landlord Type: Table 2.2

Outcome	Housing Association	Local Authority / ALMO or TMO	Other	Total
Severe Maladministration	6%	9%	6%	7%
Maladministration	41%	45%	36%	42%
Service failure	19%	18%	21%	19%
Mediation	1%	1%	0%	1%
Redress	12%	4%	5%	9%
No maladministration	15%	15%	21%	15%
Outside Jurisdiction	6%	9%	11%	7%
Withdrawn	0%	0%	0%	0%

Outcome	% Findings
Severe Maladministration	4%
Maladministration	30%
Service failure	9%
Mediation	0%
Redress	4%
No maladministration	35%
Outside Jurisdiction	17%
Withdrawn	0%

Landlord Findings by Category | Cases determined between April 2023 - March 2024

Table 2.3

Category	Severe Maladministration	Maladministration	Service failure	Mediation	Redress	No maladministration	Outside Jurisdiction	Withdrawn	Total
Property Condition	0	4	0	0	0	5	3	0	12
Complaints Handling	0	2	1	0	0	1	1	0	5
Staff	1	0	0	0	1	1	0	0	3
Anti-Social Behaviour	0	1	0	0	0	0	0	0	1
Occupancy Rights	0	0	1	0	0	0	0	0	1
Reimbursement and Payments	0	0	0	0	0	1	0	0	1
Total	1	7	2	0	1	8	4	0	23

Findings by Category Comparison | Cases determined between April 2023 - March 2024

Top Categories for North West Leicestershire District Council

Table 3.1

Category	# Landlord Findings	% Landlord Maladministration	% National Maladministration
Property Condition	9	44%	73%
Complaints Handling	4	75%	84%
Staff	3	33%	48%

National Maladministration Rate by Landlord Size:

Table 3.2

Category	Less than 100 units	Between 100 and 1,000 units	Between 1,000 and 10,000 units	Between 10,000 and 50,000 units	More than 50,000 units	% Landlord Maladministration
Complaints Handling	100%	87%	87%	86%	81%	75%
Property Condition	75%	63%	72%	74%	74%	44%
Staff	67%	63%	47%	49%	46%	33%

National Maladministration Rate by Landlord Type:

Table 3.3

Category	Housing Association	Local Authority / ALMO or TMO	Other	% Landlord Maladministration
Complaints Handling	81%	91%	91%	75%
Property Condition	72%	77%	59%	44%
Staff	48%	50%	50%	33%

Findings by Sub-Category | Cases Determined between April 2023 - March 2024

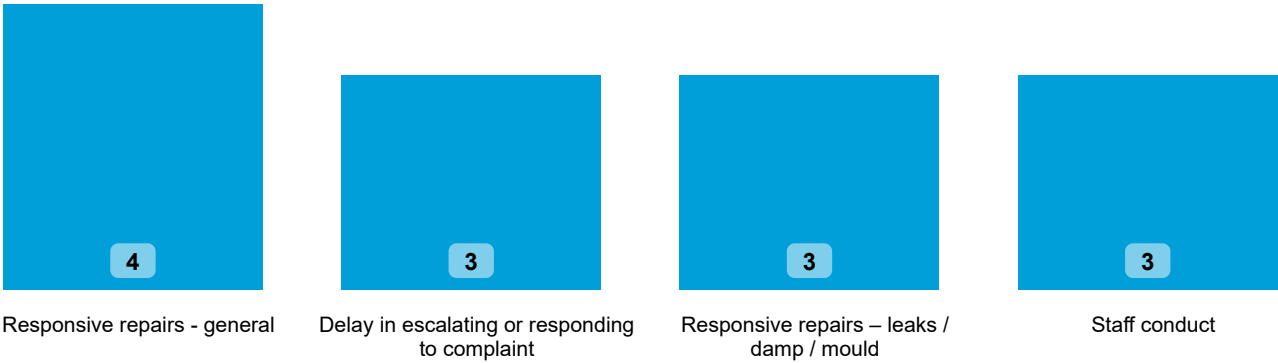
Table 3.4

Highlighted Service Delivery Sub-Categories only:

Sub-Category	Severe Maladministration	Maladministration	Service failure	Mediation	Redress	No maladministration	Outside Jurisdiction	Withdrawn	Total
Responsive repairs - general	0	1	0	0	0	3	2	0	6
Responsive repairs – leaks / damp / mould	0	2	0	0	0	1	0	0	3
Staff conduct	1	0	0	0	1	1	0	0	3
Noise	0	1	0	0	0	0	0	0	1
Pest control (within property)	0	0	0	0	0	0	1	0	1
Total	1	4	0	0	1	5	3	0	14

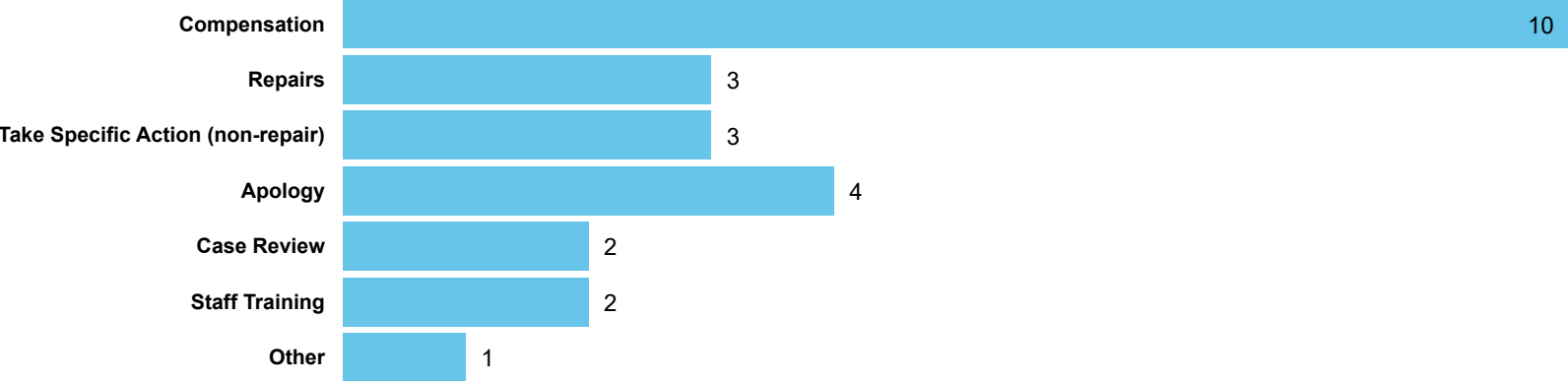
Top Sub-Categories | Cases determined between April 2023 - March 2024

Table 3.5



Orders Made by Type | Orders on cases determined between April 2023 - March 2024

Table 4.1



Order Compliance | Order target dates between April 2023 - March 2024

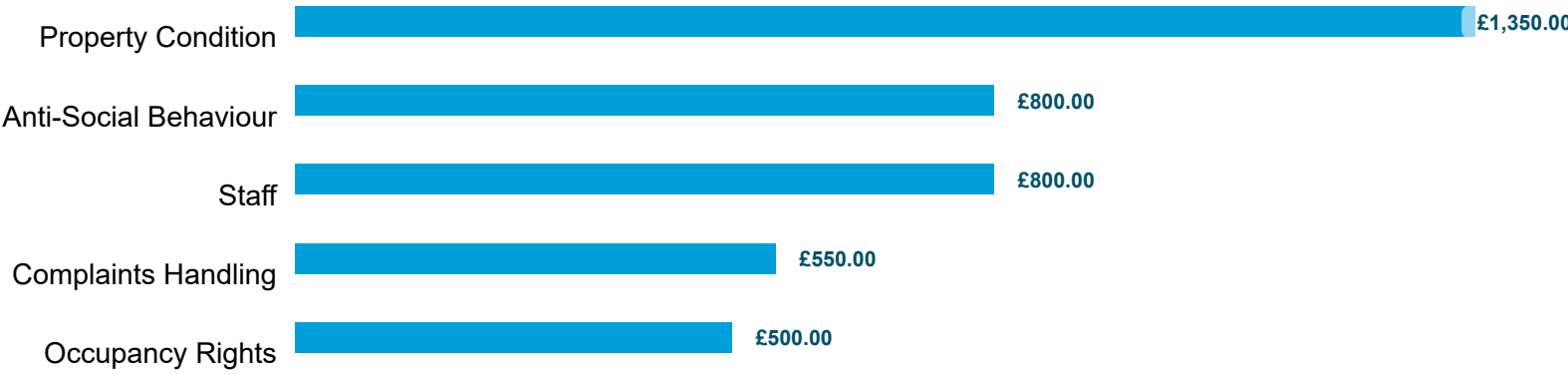
Table 4.2

Order	Within 3 Months	
Complete?	Count	%
Complied	25	100%
Total	25	100%

Compensation Ordered | Cases Determined between April 2023 - March 2024

Table 5.1

Ordered Recommended



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Item	Details
Reference:	Unreasonable behaviour and communication policy
Status:	Final
Originator:	Nichola Oliver
Owner:	Nichola Oliver
Version No:	1
Date:	1 April 2025

Unreasonable Behaviour and Communication Policy

Key policy details

Approvals

Item	Date of Approval	Version No.
Consulted with Legal Services and CLT	August 2023	
Reviewed by Corporate Scrutiny	TBA	
Approved by Cabinet	TBA	

Policy Location

This policy can be found at [Complaints, compliments, comments - North West Leicestershire District Council](#)

Equality Impact Assessment (EIA)

Completed by	Completion date
Nichola Oliver	September 2023

Revision history

Version Control	Revision Date	Summary of Changes

Policy Review Plans

This policy is subject to a scheduled review once every two years or earlier if there is a change in legislation or local policy that requires it.

Distribution

Title	Date of Issue	Version No.
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Website		

Unreasonable Behaviour and Communication

1 Introduction

North West Leicestershire District Council welcomes feedback from customers on our services. We take complaints seriously, and treat them as an opportunity to improve our services. We are committed to dealing with all complaints fairly and impartially and to providing a high quality service to the person who made the complaint. Many complaints are able to be resolved very quickly.

Occasionally, the behaviour or actions of individuals using our Services makes it very difficult for us to deal with their enquiry. In a small number of cases the actions of individuals become unacceptable because they involve abuse of our staff or our process.

When this happens, we have to take action to protect the health and wellbeing of our staff who have a right to do their jobs without fear of being abused or harassed. We also consider the impact of the behaviour on our ability to do our work and provided a service to others.

As a result, the Council has developed this policy to set out how it deals with unreasonable behaviour and communication.

2. Aim of Policy

The aim of this policy is to contribute to the Council's overall aim of dealing with all Complaints and enquiries in a courteous, fair and consistent manner. It should be read in conjunction with the Council's Corporate Complaints and Feedback Policy.

It sets out how the Council will decide if a Customer will be treated as an 'unreasonable' what it will do in those circumstances.

It is important to distinguish between a customer who makes a number of complaints and enquiries, because they genuinely believe that the Council was at fault, and customers who are being difficult. It is recognised that customers may sometimes act out of character at times of anxiety or distress.

This policy has been drafted with regards to the Local Government Ombudsman's (LGO) Guidance note on 'unreasonably persistent complainants' and 'unreasonable complainant behaviour' and the Housing Ombudsman complaints code of conduct.

3. Definition of Unreasonable Behaviour and Communication.

North West Leicestershire District Council has adopted the definitions provided by the Local Government Ombudsman (LGO):

Unreasonable Behaviour and Communication is when behaviour becomes aggressive/abusive and/or those complainants who, because of the nature or frequency of their contacts with an organisation, hinder the organisation's consideration of their, or other people's, complaints.

For the Council, unreasonable behaviour is where the frequency or nature of a customer's contact with us takes up unjustifiable officer time and resources, making it hard for us to handle their complaint or enquiry and/or those of other people, or where their behaviour is offensive or abusive.

4. Actions and behaviours of unreasonable communication.

Listed below are some examples of the actions and behaviours of unreasonable communication based on those defined by the Local Government and Housing Ombudsman. This is not an exhaustive list.

This policy does not address the issues of health and safety but sits along side existing Council policies and guidance regarding violence at work, as a means of addressing the full spectrum of behaviours that the Council might have to address.

- If anger escalates into aggression towards Council officers, we consider that unacceptable. Any violence or abuse towards staff will not be tolerated. Violence is not restricted to acts of aggression that may result in physical harm. It also includes behaviour or language (whether verbal or written) that may cause staff to feel offended, afraid, threatened or abused.

Unacceptable language is that which:

- Is offensive, derogatory or patronising,
- Is discriminatory in any way, including racist, sexist, homophobic or transphobic comments; or
- Makes serious allegations that individuals have committed criminal, corrupt or perverse conduct without any evidence.
- Refusing to specify the grounds for a complaint, despite offers of assistance from Council staff;
- Refusing to co-operate with the complaints investigation process while still wishing their complaint to be resolved;
- Refusing to accept that issues are not within the remit of a complaints' procedure despite having been provided with information about the procedure's scope;
- Insisting on the complaint being dealt with in ways which are incompatible with the adopted complaints' procedure or with good practice;
- Making what appear to be groundless complaints about the staff dealing with the complaints, and seeking to have them replaced.
- Changing the basis of the complaint as the investigation proceeds and/or denying statements he or she made at an earlier stage;
- Introducing trivial or irrelevant new information which the complainant expects to be taken into account and commented on, or raising large numbers of detailed but unimportant questions and insisting they are all fully answered;
- Electronically recording meetings and conversations without prior knowledge and consent of the other persons involved;
- Adopting a 'scattergun' approach: pursuing a complaint or complaints with the Council and, at the same time, with other people or bodies such as the Member of Parliament / a Councillor / the district auditor / local police / solicitors / the Ombudsman;
- Making unnecessarily excessive demands on the time and resources of staff whilst a complaint is being looked into, for example, excessive telephoning or sending emails to numerous Council staff, writing lengthy complex letters every few days and expecting immediate responses;
- Submitting repeated complaints, after complaints processes have been completed, essentially about the same issues, with additions / variations which the complainant insists make these 'new' complaints worthy of being put through the full complaints' procedure; and / or
- Refusing to accept the decision on a complaint – repeatedly arguing the point and complaining about the decision.

Customers may be deemed to be Potentially Violent in any situation where physical violence has been used or threatened towards staff or their families/associates at any time. This will cause personal contact with the customer to be discontinued and the complaint or enquiry will, thereafter, only be pursued through written communication. All such incidents should be documented and reported in accordance with Potentially Violent Person Policy, also reporting where appropriate, to the police.

Raising legitimate queries or criticisms of a complaints' procedure as it progresses, for example if agreed timescales are not met, should not in itself lead to someone being regarded as 'unreasonable'. Similarly, the fact that a complainant is unhappy with the outcome of a complaint and seeks to challenge it once, or more than once, should not necessarily cause him or her to be labelled 'unreasonable'. If the complaints procedure is operating properly, then responding to expressions of dissatisfaction and requests for information should not cause the Council any particular problems.

5. Considerations prior to taking action under the policy

Different considerations will apply depending on whether an investigation into the complaint or query is ongoing or whether it has been concluded. However, where the issue is ongoing the Council will need to continue some contact with the individual.

The decision to designate someone as unreasonable is onerous and could have serious consequences for the individual.

Before deciding whether the policy should be applied the Council should be satisfied that:

- The complaint/query is being or has been properly investigated
- Any decision reached is the right one
- Communications with the customer have been adequate
- The customer is not providing any significant new information that might affect the Council's view on the matter
- Any circumstances relating to the customer's mental health, age, gender, sexual orientation, religious belief, language or disability have been considered
- The Council's Complaints and Information Governance policies has been applied correctly
- The customer has been made fully aware of their rights to appeal through the Ombudsman or other organisation.
- We have been impartial and objective.
- The customer behaviour is unproportional to the enquiry/complaint. Somebody who is upset, emotional, angry or loud is not necessarily being unreasonable.

If the Council is satisfied on these points, it will consider whether further action is necessary prior to taking the decision to designate the behaviour as unreasonable behaviour/communication. Examples might include:

- If no meeting has taken place between the customer and an officer /officers, and where it is appropriate to do so, consider offering the individual a meeting with an officer of appropriate seniority. Sometimes meetings can dispel misunderstandings and move matters towards a resolution. The Council does not, however, guarantee a meeting and will offer one dependent on the particular circumstances of the case.

- If more than one service is being contacted, consider:
 - a) setting up a strategy meeting to agree a cross-service approach; and/or
 - b) designating a key officer to co-ordinate the authority's response(s).

Before applying any restrictions in line with this policy the customer will be notified by phone, in writing or by email explaining that if his/her actions continue the authority may decide to treat him/her as unreasonable, an explanation why and warning of potential action the Council may take (with reference to this policy) if the problem persists.

6. Approach

How the Council manages such correspondence will be dependent upon the nature and extent. If their persistence adversely affects the Council's ability to carry out its functions and provide a service to others, it may need to manage their unreasonable behavior/communication by restricting contact with staff.

Any restrictions applied will be appropriate and proportionate. The following are examples of the types of restriction(s) which may be used:

- a) Placing time limits on telephone conversations and personal contacts.
- b) Restricting the number of telephone calls that will be taken (for example, one call on one specified morning /afternoon of any week).
- c) Limiting the customer to one medium of contact (telephone, letter, email etc) and/or requiring the customer to communicate only with one named officer.
- d) Requiring any personal contacts to take place in the presence of a witness.
- e) Refusing to register and process further complaints/correspondence about the same matter.
- f) Where a decision on the complaint/query has been made, providing the customer with acknowledgements only of letters, faxes, or e mails, or ultimately informing the customer that future correspondence will be read and placed on the file but not acknowledged.

In deciding which restrictions are appropriate, careful consideration will be given to balancing the rights of the individual against those of other customers and of staff and members as well as the need for the Council to provide its services.

Where the behaviour is so extreme or it threatens the immediate safety and welfare of staff, we will consider other options, for example reporting the matter to the police or taking legal action. In such cases the Council may not give the individual prior warning of that action.

7. Challenging the council's decision

Customers may challenge the decision to apply the unreasonable behaviour/communication policy and/or the restrictions imposed by writing to the Chief Executive. This challenge must be made within 21 days of the date of the letter. This will be considered, and the customer notified of the outcome.

To challenge the decision please email or write to:

Email: feedback@nwleicestershire.gov.uk

Address: North West Leicestershire District Council

PO Box 11051
Coalville
LE67 0FW

The customer may make a complaint about the way they been treated to the Local Government Ombudsman at any time during the process.

Local Government Ombudsman

Contact details for the Local Government Ombudsman are:
Local Government Ombudsman
PO Box 4771
Coventry
CV4 0EH

Telephone: 0300 061 0614
Website: www.lgo.org.uk/making-a-complaint

Housing Ombudsman

Contact details for the Housing Ombudsman are:
Housing Ombudsman Service
PO Box 1484
Unit D
Preston
PR2 0ET

Telephone: 0300 111 3000
Website: www.housing-ombudsman.org.uk

NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL

CABINET – TUESDAY, 24 JUNE 2025



Title of Report	SUPPLEMENTARY ESTIMATES, VIREMENTS AND CAPITAL APPROVALS	
Presented by	Councillor Keith Merrie Finance and Corporate Portfolio Holder PH Briefed <input type="checkbox"/> Yes	
Background Papers	Council 20 February 2025: General Fund Budget and Council Tax 2025/26	Public Report: Yes
	Cabinet 20 May 2025: Supplementary Estimates, Virements and Capital Approvals Car Parks Asset Management Plan	Key Decision: Yes
Financial Implications	Appendix 2 details the supplementary estimates for approval.	
	Signed off by the Section 151 Officer: Yes	
Legal Implications	No legal implications arising from this report.	
	Signed off by the Monitoring Officer: Yes	
Staffing and Corporate Implications	Any staffing implications of this report are detailed in the body of the report and the attached appendices.	
	Signed off by the Head of Paid Service: Yes	
Purpose of Report	To seek approval of the supplementary estimates, virements and capital scheme movements.	
Reason for Decision	The Council's Financial Procedure Rules, Section 2, paragraphs A24 to A28 stipulate the procedures for virements and supplementary estimates, whilst the Council's Capital Strategy sets out the Governance of the Capital Programme.	
Recommendations	THAT CABINET: 1. NOTES THE SUPPLEMENTARY ESTIMATE DETAILED IN APPENDIX 2 WHICH IS BELOW £100K AND EXTERNALLY FUNDED.	

	<p>2. APPROVES THE SUPPLEMENTARY ESTIMATE DETAILED IN APPENDIX 2 WHICH IS BELOW £100K AND COUNCIL FUNDED.</p> <p>3. APPROVES THE MOVEMENT FROM THE DEVELOPMENT POOL TO ACTIVE PROGRAMME FOR THE CAPITAL SCHEMES DETAILED IN TABLE 2.</p>
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1.0 INTRODUCTION

- 1.1** This report seeks approval for virements and supplementary estimates, as required under the Council's Constitution. This is a regular report to Cabinet to enable the approval of virements and supplementary estimates in a timely manner for the efficient operation of the Council. It also sets out proposed changes to the Capital Programme.
- 1.2** This report covers both General Fund and the Housing Revenue Account.

2.0 SUPPLEMENTARY ESTIMATES

- 2.1** A supplementary estimate is an addition to the Council's agreed budget and should only be considered after all other options such as virements or savings have been considered.
- 2.2** Supplementary estimates include budgets fully funded by external grants or contributions.
- 2.3** Supplementary estimate levels were approved as part of the Constitution by Council in February 2025. These approval levels are detailed in Appendix 1.
- 2.4** All supplementary estimates which will be Council funded require Cabinet approval whereas those fully externally funded are reported to Cabinet below £100k but require approval over £100k. Those above £250k require Council approval.
- 2.5** Appendix 2 details all supplementary estimates grouped by value and funding with details of the reasons for the requests which are summarised in the table below.

Table 1: Supplementary Estimates

	General Fund		HRA	
	Revenue	Capital	Revenue	Capital
Between £0 and £99,999 (For Information Only)	45,600	0	0	0
Between £100,000 and £249,999 (For Cabinet Approval)	0	0	0	0
Over £250,000 (Requires Council Approval)	0	0	0	0
Total Externally Funded	45,600	0	0	0
Between £0 and £249,999 (For Cabinet Approval)	30,000	0	0	0
Over £250,000 (Requires Council Approval)	0	0	0	0
Total Council Funded	30,000	0	0	0
Total Supplementary Estimates	75,600	0	0	0

3.0 VIREMENTS

- 3.1 A virement is where one or more budget(s) are reduced to find an increase in another budget(s). There is no net change in the total budget agreed by Council arising from a virement.
- 3.2 Virement approval levels were approved as part of the Constitution by Council in February 2025. These approval levels are detailed in Appendix 1.
- 3.3 There have been no virement requests that require approval by Cabinet (over £100k) or Council (over £250k).

4.0 CHANGES TO THE CAPITAL PROGRAMME

- 4.1 Schemes in the capital programme are grouped under two categories and these are:

Development Pool: These are schemes not yet fully costed, or funding sources identified. A full business case is required to be prepared and presented to the Capital Strategy Group for consideration before the scheme can go ahead.

Active Programme: Schemes in this category have been approved (by Capital Strategy Group, Cabinet or Council), fully funded and are being delivered.

- 4.2 Table 2 below provides details of schemes for Cabinet approval to move from the development pool to the active projects.

Table 2: Capital Scheme Movements and New Scheme

Scheme	Fund	Budget £	Reason for Movement
Existing Schemes - movement from Development Pool to Active Programme			
Service Road Resurfacing	General Fund	500,000	Contract award approved by Cabinet 20 May 2025 as part of the Car Park Asset Management Plan. Considered by Capital Strategy Group - 29 May 2025.

Policies and other considerations, as appropriate	
Council Priorities:	A Well Run Council.
Policy Considerations:	The Council's Financial Procedure Rules, sections A24 – A28, set out the details of the virement and supplementary estimates, as shown in Appendix 1 of this report.
Safeguarding:	N/A at this strategic level
Equalities/Diversity:	N/A at this strategic level
Customer Impact:	None
Economic and Social Impact:	N/A at this strategic level
Environment and Climate Change:	None
Consultation/Community/Tenant Engagement:	None
Risks:	Non-compliance with any grant conditions. A full assessment is in place as part of the grant process.
Officer Contact	Anna Crouch Head of Finance & Deputy S151 Officer anna.crouch@nwleicestershire.gov.uk

Extract from 'The Council's Constitution' March 2025 Version

Virement

A.24 **Full Council** is responsible for agreeing procedures for **Virement** of expenditure between **Budget** headings. The definition of a Virement is set out in Section 5 of the **Policy & Budget Framework** as follows:

*Steps taken by the **Cabinet**, a **Cabinet Member**, a group of the Cabinet, or Officers, or **Joint Arrangements** to implement Council policy shall not exceed the budgets allocated to each relevant **Budget** head. However, such bodies or individuals shall be entitled to vire across Budget heads within such limits as shall be laid down in the **Financial Procedure Rules**. Beyond those limits, approval to any **Virement** across Budget heads shall require the approval of the **Full Council**.*

*A **Virement** is defined as where one or more **Budget(s)** are reduced to fund an increase in another Budget(s). There is no net change in the total Budget agreed by Council arising from a Virement.*

A.25 The table below sets out the approval level required based on the value of the **Virement**.

Value	Approval Level Required		
	Within a Budget Head	Between Budget Heads in same Directorate	Between Directorates
Between £0 - £4,999	Heads of Service	Heads of Service	Heads of Service
Between £5,000 and £24,999	Heads of Service and Strategic Directors	Strategic Directors and Portfolio Holder(s)	Strategic Directors and Portfolio Holder(s)
Between £25,000 and £99,999	Strategic Directors and Portfolio Holder(s)	Strategic Directors and Portfolio Holder(s)	Strategic Directors and Portfolio Holder(s)
Between £100,000 and £249,999	Cabinet	Cabinet	Cabinet
£250,000 and over	Full Council	Full Council	Full Council

Notes:

1. In all circumstances Virements require approval by the S151 Officer.
2. All relevant parties listed above must be in agreement.
3. Virements should not be artificially disaggregated.
4. Virement rules apply to capital and revenue.

Supplementary Estimates

A.26 A supplementary estimate is an addition to the Council's agreed **Budget**. Supplementary estimates can be one-offs, or recurring. In either case, supplementary estimates should only be considered after all other options, such as **Virements**, or savings, have been considered. Supplementary estimates include budgets fully funded by external grant or contribution.

A.27 The table below sets out the approval level required based on the value of the supplementary estimates.

Value	Approval Level Required	
	Fully Externally Funded	Requires Council Funding
Between £0 and £9,999	S151 Officer	S151 Officer
Between £10,000 and £99,999	Head of Service [then reported to Cabinet at next meeting]	Cabinet
Between £100,000 and £249,999	Cabinet	Cabinet
£250,000 and over	Full Council	Full Council
Notes: <ol style="list-style-type: none">1. In all circumstances Supplementary Estimates require approval by the S151 Officer.2. Council funding includes (but is not limited to) revenue budget, reserves, Section 106, capital receipts and borrowing. S151 Officer decision will undertaken an assessment.3. Supplementary Estimates should not be artificially disaggregated.4. Supplementary Estimates rules apply to capital and revenue.		

A.28 Where in exceptional or unexpected circumstances a Directorate is faced with a material increase in its net expenditure, which cannot reasonably be contained within its resource allocation figure for the year, the **Chief Executive** or **Strategic Directors** must (wherever possible, prior to incurring the expenditure) submit a request to **Cabinet** or **Council** for a supplementary estimate to cover the additional expenditure. The Cabinet or Council will also decide how the expenditure will be funded, e.g. from grant, revenue, reserve, loan or otherwise.

Supplementary Estimates - General Fund, HRA & Special Expenses (Capital & Revenue)

Capital/Revenue	General Fund/HRA/Special Expenses	Directorate	Service	Recurring/One-Off	Amount £	Funded By	Reason For Request
Externally Funded							
Between £0 and £99,999 (For Information Only)							
Revenue	General	Community Services	Strategic Housing	One-Off	45,600	Grant	Grant Awarded: Asylum Dispersal Scheme
Between £100,000 and £249,999 (For Cabinet Approval)							
Over £250,000 (Requires Council Approval)							
TOTAL EXTERNALLY FUNDED					45,600		
Council Funded							
Between £0 and £249,999 (For Cabinet Approval)							
Revenue	General	Place	Economic Development and Regeneration	One-Off	30,000	Business Rates Reserve	Contribution to enable the creation of the Charnwood Forest UNESCO Global Geopark.
Over £250,000 (Requires Council Approval)							
TOTAL COUNCIL FUNDED					30,000		
TOTAL SUPPLEMENTARY ESTIMATES					75,600		

	General Fund		HRA	
	Revenue	Capital	Revenue	Capital
Between £0 and £99,999 (For Information Only)	45,600	0	0	0
Between £100,000 and £249,999 (For Cabinet Approval)	0	0	0	0
Over £250,000 (Requires Council Approval)	0	0	0	0
Total Externally Funded	45,600	0	0	0
Between £0 and £249,999 (For Cabinet Approval)	30,000	0	0	0
Over £250,000 (Requires Council Approval)	0	0	0	0
Total Council Funded	30,000	0	0	0
Total Supplementary Estimates	75,600	0	0	0

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NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL

CABINET – TUESDAY, 24 JUNE 2025



Title of Report	DELEGATION OF APPROVAL OF EMPLOYEE RELATED POLICIES	
Presented by	Councillor Nicholas Rushton Infrastructure Portfolio Holder PH Briefed Yes	
Background Papers	None	Public Report: Yes
		Key Decision: No
Financial Implications	There are no financial implications arising from this report.	
	Signed off by the Section 151 Officer: Yes	
Legal Implications	The Council must ensure it has all relevant HR policies and procedures in place, and that they are up to date with any changes in employment law.	
	Signed off by the Monitoring Officer: Yes	
Staffing and Corporate Implications		
	Signed off by the Head of Paid Service: Yes	
Purpose of Report	This report seeks to transfer authority for approval of Human Resources Policies and Procedures from Cabinet to the Head of Paid Service, to ensure that these policies and procedures are aligned with the Council's strategic objectives and legal requirements, and aligning this function with the Head of Paid Service's authority to carry out actions relating to Human Resources.	
Reason for Decision	Having up to date HR Policies and Procedures is a critical step in ensuring that the Council operates in compliance with legal standards and best practices.	
Recommendations	THAT CABINET DELEGATES AUTHORITY TO THE HEAD OF PAID SERVICE TO REVIEW AND APPROVE ANY POLICIES RELATED TO THE COUNCIL'S HUMAN RESOURCES FUNCTION AS AN EMPLOYER.	

1.0 BACKGROUND

- 1.1 The Council employs more than 570 members of staff. It is, therefore, important that the policies and procedures relating to their employment are up to date, and comply with current employment laws and best practices. These policies are designed to provide clear guidelines for managing various aspects of employment, including

recruitment, performance management, employee relations, and compliance with statutory requirements.

2.0 DELEGATION OF AUTHORITY

- 2.1 The Constitution delegates authority to the Head of Paid Service “to carry out all activities in connection with the Council’s Human Resources function” (paragraph 1.6 of Section G3 of Part 2 of the Constitution). It has, therefore, been the case in practice that employee-related policies have been signed off by the Head of Paid Service. However, the Council’s Constitution provides that Cabinet is responsible for “the development of policy/strategy for the Council” (paragraph 10.3.3 of Section E of Part 2 of the Constitution). This could be interpreted as a requirement for Cabinet to approve policies related to the Council’s human resources function, notwithstanding the delegation to the Head of Paid Service.
- 2.2 In light of this potential ambiguity, changes to the constitution to clarify this aspect will be considered as part of the review due to be commenced by the Constitution Working Group. Whilst that review is ongoing, Cabinet is asked to specifically delegate the authority to review and approve policies related to the Council’s human resources function, so that the Head of Paid Service can continue to review and approve policies as appropriate.

Policies and other considerations, as appropriate	
Council Priorities:	A well-run council
Policy Considerations:	Ensuring HR policies are up to date and comply with legal requirements
Safeguarding:	None.
Equalities/Diversity:	Some HR policies relate directly to Equalities and Diversity, and it is important that these are refreshed when required and always comply with relevant laws.
Customer Impact:	None.
Economic and Social Impact:	None.
Environment, Climate Change and Zero Carbon:	None.
Consultation/Community/Tenant Engagement:	None.
Risks:	If this step was not taken, there would continue to be ambiguity as to how approval for these policies should be obtained.
Officer Contact	Hannah Panter Head of Human Resources and OD hannah.panter@nwleicestershire.gov.uk