

**Please ask for Democratic Services**

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Our Ref  
Your Ref

Date: 25 November 2020

Dear Councillor,

**Finance and Management Committee**

A Meeting of the **Finance and Management Committee** will be a **Virtual Committee**, held via Microsoft Teams on **Thursday, 26 November 2020 at 18:00**. You are requested to attend.

Yours faithfully,



Chief Executive

To:- **Conservative Group**

Councillor Watson (Chairman), Councillor Angliss (Vice-Chairman) and Councillors Mrs. Brown, Fitzpatrick, Ford, MacPherson, Pegg and Roberts

**Labour Group**

Councillors Dr. Pearson, Rhind, Richards, Southerd and Taylor

## **AGENDA**

### **Open to Public and Press**

- 1** Apologies and to note any Substitutes appointed for the Meeting.
- 2** To receive the Open Minutes of the following Meetings:  
  
2nd July 2020 **4 - 8**  
  
9th July 2020 **9 - 13**
- 3** To note any declarations of interest arising from any items on the Agenda
- 4** To receive any questions by members of the public pursuant to Council Procedure Rule No.10.
- 5** To receive any questions by Members of the Council pursuant to Council procedure Rule No. 11.
- 6** Reports of Overview and Scrutiny Committee
- 7** CORONAVIRUS (COVID-19) FINANCIAL IMPACT - UPDATE **14 - 21**
- 8** CORPORATE PLAN 2020-24 PERFORMANCE REPORT (2020-2021 QUARTER 2 - 1 JULY - 30 SEPTEMBER) **22 - 81**
- 9** REVENUE FINANCIAL MONITORING 2020-21 **82 - 101**
- 10** CAPITAL FINANCIAL MONITORING 2020-21 **102 - 109**
- 11** TREASURY MANAGEMENT UPDATE 2020-21 **110 - 126**
- 12** COMMENTS, COMPLIMENTS, COMPLAINTS & FREEDOM OF INFORMATION REQUESTS 01 APRIL 2020 TO 30 SEPTEMBER 2020 **127 - 132**

<b>13</b>	<b>MODERN SLAVERY STATEMENT 2019-20</b>	<b>133 - 155</b>
<b>14</b>	<b>BETTER CARE FUNDING ALLOCATION - FINANCIAL POSITION</b>	<b>156 - 193</b>
<b>15</b>	<b>COMMITTEE WORK PROGRAMME</b>	<b>194 - 200</b>

**Exclusion of the Public and Press:**

- 16** The Chairman may therefore move:-  
That in accordance with Section 100 (A)(4) of the Local Government Act 1972 (as amended) the press and public be excluded from the remainder of the Meeting as it is likely, in view of the nature of the business to be transacted or the nature of the proceedings, that there would be disclosed exempt information as defined in the paragraph of Part I of the Schedule 12A of the Act indicated in the header to each report on the Agenda.
- 17** To receive the Exempt Minutes of the following Meetings:  
9th July 2020
- 18** To receive any Exempt questions by Members of the Council pursuant to Council procedure Rule No. 11.
- 19** COLLECTION RATES, DEBT RECOVERY AND WRITE OFFS

FINANCE AND MANAGEMENT COMMITTEE

2<sup>nd</sup> July 2020

**PRESENT:**

**Conservative Group**

Councillor Watson (Chairman), Angliss (Vice-Chairman) and Councillors, Mrs. Brown, Fitzpatrick, Ford, MacPherson and Roberts.

**Labour Group**

Councillors Dr Pearson, Rhind, Richards, Southerd and Taylor.

FM/01 **APOLOGIES**

The Committee was informed that no Apologies had been received

**IN ATTENDANCE**

Councillors Mrs Wheelton

FM/02 **DECLARATIONS OF INTEREST**

Councillor Ford declared an interest in relation to FM/14, by virtue of being a County Councillor.

FM/03 **QUESTIONS FROM MEMBERS OF THE PUBLIC PURSUANT TO COUNCIL PROCEDURE RULE NO 10**

The Committee was informed no questions from members of the public had been received.

FM/04 **QUESTIONS BY MEMBERS OF THE COUNCIL PURSUANT TO COUNCIL PROCEDURE RULE NO 11**

The Committee was informed no questions from Members of the Council had been received.

FM/05 **REPORTS OF OVERVIEW AND SCRUTINY COMMITTEE**

The Committee was informed that no reports of Overview and Scrutiny Committee had been received.

**MATTERS DELEGATED TO COMMITTEE****FM/06 CORONAVIRUS (COVID-19) FINANCIAL IMPACT**

The Strategic Director (Corporate Resources) delivered the report to the Committee, summarising how additional funding received from the Government, in relation to Covid-19 had been allocated and shared with a variety of businesses, residents and households within the District. The Head of Finance explained the need for a £100K to be set aside to support local businesses and organisations that will not meet the criteria for Government backed funding.

Councillor Dr Pearson asked what had been put in place to mitigate risks of fraud and misuse of the additional funding. The Strategic Director (Corporate Resources) explained that the Council ensured that thorough checks were carried out upfront to ensure that the funding went to the correct businesses and bank accounts.

**RESOLVED:**

- 1.1 The Committee noted the financial impact of Covid-19 and deployment of Government Funding as detailed in the report.***
- 1.2 The Committee approved criteria and process for utilising the Covid-19 funding allocation as detailed in the report.***
- 1.3 The Committee approved that a Council Tax Discount of up to £300 be awarded to working-age claimants eligible for Local Council Tax Support in 2020/21 and that the cost be funded from the Government's Hardship Fund as detailed in the report.***
- 1.4 The Committee approved that the Council's Section 13(a) Discretionary Policy under the Local Government Finance Act 1992 as detailed in Appendix 1 of the report, to provide support to households and residents facing significant financial hardship***
- 1.5 The Committee approved that the proposal to review the current Local Council Tax Support Scheme in 2020 be deferred until 2021.***
- 1.6 The Committee agreed that further reports be brought back to the Committee to provide an update on the financial situation and to assess the longer-term impact of Covid-19 as it emerges.***
- 1.7 The Committee agreed that an initial assessment be made to ascertain the impact on the Council's Base Budget and Medium-Term Financial Plans.***

**FM/07 REVENUE FINANCIAL MONITORING 2019/20**

The Head of Finance presented the report giving an overview of the Council's year end position, with the caveat that some areas were to be finalised and would be reported to the Committee in July.

**RESOLVED:**

***The Committee considered and approved the latest revenue financial position for 2019/20 as detailed in the report***

**FM/08 CAPITAL FINANCIAL MONITORING / PROVISION OUT-TURN 2019/20**

The Head of Finance presented the report explaining that the report was due to come before the Committee in March but was delayed due to Covid-19. The Head of Finance clarified that very little had changed since the year end position highlighting a slight variation on reserves.

Councillor Mrs. Brown asked for clarity about what the Private Sector Housing budget consisted of. The Head of Finance explained that it relate to the Better Care Fund and includes the Disabled Facilities Grants and other projects which keep people in their own homes and prevent people needing to go into care homes or other facilities.

**RESOLVED:**

***The Committee considered and approved the latest capital financial position for 2019/20 as detailed in the report***

**FM/09 TREASURY MANAGEMENT UPDATE 2019/20**

The Head of Finance gave a brief overview of the report explaining that it reflected the position as at the end of April 2020 and summarised the impacts of Covid-19 and Brexit on the District.

**RESOLVED:**

***1.1 The Committee considered and approved the latest Treasury Management Update for quarter 4 2019/20 as detailed in Appendix 1 of the report.***

***1.2 The Committee approved the updated Counterparty List for investments and bank deposits as detailed in Appendix 2 of the report.***

**FM/10 HOMELESSNESS / ROUGH SLEEPING**

The Head of Housing Services presented the report highlighting the need for retrospective approval for a report that went to the Chief Executive regarding the block booking of temporary accommodation to deal with homelessness

during Covid-19 outbreak and sought approval for funding to continue to support those that had been housed during the outbreak.

Councillor Dr Pearson raised concern about the location of the establishment used for temporary accommodation, as it was outside of South Derbyshire. The Head of Housing Services explained that this hotel was chosen as it was within reasonable distance and provided the services needed. The Head of Housing Services asked Members to bear in mind that this would only be a very temporary solution and people were moved as soon as possible.

**RESOLVED:**

- 1.1 That the Committee retrospectively approved the granting of permission to make a “block booking” of the Three Queens Hotel to be used as temporary accommodation for homeless households affected by the Covid19 outbreak. This is following the Chief Executive’s prior approval under his delegated authority during the suspension of Council and Committee meetings due to the pandemic.***
- 1.2 That the Committee retrospectively noted that the commissioning of this service was subject to an exemption from the Contract Procedure Rules, under Sections 4 and 5***
- 1.3 The Committee agreed that following approval by the Chief Executive and approval of the Housing and Community Services Committee, the financial elements including the required exemption from Contract Procedure Rules be subject to further ratification at the Finance and Management Committee.***
- 1.4 That the Committee approved a contribution of £10,000 from existing Homelessness budgets towards the continued support for households that have been accommodated in temporary accommodation.***

FM/11 **COMMITTEE WORK PROGRAMME**

The Strategic Director (Corporate Resources) presented the report to the Committee.

**RESOLVED:**

***Members considered and approved the updated work programme.***

FM/12 **LOCAL GOVERNMENT ACT 1972 (AS AMENDED BY THE LOCAL GOVERNMENT [ACCESS TO INFORMATION] ACT 1985)**

**RESOLVED:-**

***That, in accordance with Section 100(A)(4) of the Local Government Act 1972 (as amended), the press and public be excluded from the remainder of the Meeting as it is likely, in view of the nature of the business to be***

*transacted or the nature of the proceedings, that there would be disclosed exempt information as defined in the paragraphs of Part 1 of the Schedule 12A of the Act indicated in brackets after each item.*

**TO RECEIVE QUESTIONS FROM MEMBERS OF THE COUNCIL  
PURSUANT TO COUNCIL PROCEDURE RULE NO. 11**

*The Committee was informed no questions had been received.*

**LAND IN SWADLINCOTE**

*The Committee approved the recommendation in the report.*

**DIRECT PROVISION OF DOMESTIC ABUSE SERVICES AND  
ASSOCIATED EXEMPTION FROM CONTRACT PROCEDURE RULES**

*The Committee approved the recommendation in the report.*

**STRUCTURAL REVIEW: ENVIRONMENTAL SERVICES**

*The Committee approved the recommendation in the report.*

The meeting terminated at 7:30 pm.

COUNCILLOR P WATSON

CHAIRMAN



FINANCE AND MANAGEMENT COMMITTEE

9<sup>th</sup> July 2020

**PRESENT:**

**Conservative Group**

Councillor Watson (Chairman), Angliss (Vice-Chairman) and Councillors, Mrs. Brown, Fitzpatrick, Ford, Mrs, Haines (substituting for Cllr Roberts) MacPherson

**Labour Group**

Councillors Dr Pearson, Rhind, Richards, Southerd and Taylor.

FM/17 **APOLOGIES**

Apologies for absence were received from Councillor Roberts

**IN ATTENDANCE**

Councillors Mrs Wheelton

FM/18 **DECLARATIONS OF INTEREST**

The Committee was informed no declarations of interest from Members of the Committee had been received

FM/19 **QUESTIONS FROM MEMBERS OF THE PUBLIC PURSUANT TO COUNCIL PROCEDURE RULE NO 10**

The Committee was informed no questions from members of the public had been received.

FM/20 **QUESTIONS BY MEMBERS OF THE COUNCIL PURSUANT TO COUNCIL PROCEDURE RULE NO 11**

The Committee was informed no questions from Members of the Council had been received.

FM/21 **REPORTS OF OVERVIEW AND SCRUTINY COMMITTEE**

The Committee was informed that no reports of Overview and Scrutiny Committee had been received.

**MATTERS DELEGATED TO COMMITTEE****FM/22 CORPORATE PLAN 2020-24: PERFORMANCE REPORT (2019-2020 QUARTER 4 – 1 JANUARY TO 31 MARCH)**

The Head of Organisational Development and Performance presented the report to the Committee explaining that the Corporate Plan 2020-24 performance was baseline data and the performance data would be reported in the next quarterly report. The Head of Organisational Change gave an overview of the Risk Register highlighting one risk that move from amber to red, within the Strategic Risk Register, due to Covid-19

**RESOLVED:**

***1.1 The Committee considered progress against performance targets set out in the Corporate Plan 2020 – 2024***

***1.2 The Committee reviewed the Risk Register for the Committee's services***

**FM/23 EVALUATION OF CAPITAL PROJECTS**

The Strategic Director (Corporate Resources) delivered the Report to the Committee explaining the need to develop the Council's Capital Evaluation Process to prioritise Capital Resources Bids. The Strategic Director (Corporate Resources) informed Members that the Report contained templates that would be used to assess and score such bids, to prioritise those which support the Corporate Plan 2020-24 and pass a value for money test. Lastly, the Strategic Director (Corporate Resources) asked that the Service and Financial Planning Working Group be reconvened, to enable it to consider and score the bids with a report to the Committee later in the year.

Members raised asked for clarity regarding the timescales for bids, terms of reference and membership of the Working Group. The Strategic Director (Corporate Resources) advised Members that it was anticipated that a Report for the approval of bids would come back to the 8<sup>th</sup> October Committee and that the terms of reference would be to 'score and recommend bids for approval'. The membership of the panel was clarified as the Chairman of Finance and Management Committee, the Leader and Deputy Leader of the Council and the Leader and Deputy Leader of the opposition group.

**RESOLVED:**

***1.1 The Committee agreed that the prioritisation of new capital expenditure be subject to the Evaluation system as detailed in the report.***

***1.2 The Committee agreed that the Service and Financial Planning Working Group (SFPWG) is convened to consider bids for capital investment in accordance with the Evaluation system.***

***1.3 The Committee agreed that the SFPWG submits investment proposals back to this Committee for consideration following the evaluation process***

FM/24 **TRANSFORMATION AND BUSINESS CHANGE PLAN 2020 TO 2024**

The Head of Business Change and ICT presented the Report to the Committee which provided a focus and formality to the changes happening and a road map for the future that would sit beside the Corporate Plan. The Head of IT and Business Change requested that a Member of the Committee be nominated to sit on the Transformation Steering Group. The Head of IT and Business Change also highlighted to Members that the budget for the new Booking System had sat within a line for ICT, as it was anticipated that MS Tools would be used for this system but a different supplier had been sourced so the budget line for this had changed and although there was an underspend for licensing applications last year it would be used this year for the Booking System.

Councillor Brown asked for comfort that elderly residents would not be overlooked and would be factored into any decisions as not all have access to IT. The Head of IT and Business Change assured Members that residents were at the heart of decisions made and that whilst there is a move to deliver services using digital technologies it does not mean a complete removal of services this would be done on a case by case basis.

**RESOLVED:**

***1.1 The Committee approved the Transformation and Business Change Plan 2020 to 2024 as detailed in the report.***

***1.2 The Committee approved the Governance arrangements to monitor implementation and report on progress, as detailed in the report.***

***1.3 The Committee appointed Councillor Angliss to sit on the Transformation Steering Group.***

FM/25 **SPONSORSHIP**

The Chief Executive presented the report to the Committee explaining how the guidance formalised what the Council already undertook but would ensure that when future sponsorship is sought it would be ethical and in line with the Corporate Plan.

Members raised queries regarding future sponsorship from large companies within the District and if there was any known impact of sponsorship considering the current economic projection. The Chief Executive informed the Committee that the Council would welcome sponsorship from large

businesses within the District and that the Council would always seek sponsorship that was proportionate to businesses economic position.

**RESOLVED:**

***The Committee approved the Sponsorship Guidance contained in Appendix A of the report.***

FM/26 **COMMENTS, COMPLIMENTS, COMPLAINTS & FREEDOM OF INFORMATION REQUESTS 01 OCTOBER 2019 TO 31 MARCH 2020**

The Strategic Director (Corporate Resources) presented an overview of the Report to the Committee, highlighting the links within the report for further information.

**RESOLVED:**

***The Committee considered and noted the comments, compliments, complaints and FOI requests, as detailed in the report.***

FM/27 **CORPORATE EQUALITIES ANNUAL REPORT 2019/20**

The Head of Organisational Development and Performance delivered the annual report and highlighted the amount of Safeguarding and Equality, Diversity and Inclusion work carried out across the Council, and requested for the agreement of Members for the areas of work to be divided into 2 workstreams.

Members agreed that this report clearly demonstrated how Safeguarding and Equality Diversity and Inclusion are valued across the whole Council.

**RESOLVED:**

***1.1 The Committee approved the Corporate Equalities and Safeguarding Annual Report for 2019/20 as detailed in Appendix A of the report for publication.***

***1.2 The Committee agreed that two workstreams be created covering Equality, Diversity and Inclusion and separately for Safeguarding.***

***1.3 The Committee agreed that a new Equality, Diversity and Inclusion Plan 2020 to 2024 be developed and reported to this Committee in the Autumn.***

FM/28 **COMMITTEE WORK PROGRAMME**

The Strategic Director (Corporate Resources) presented the report to the Committee.

**RESOLVED:**

***Members considered and approved the updated work programme.***

FM/29 **LOCAL GOVERNMENT ACT 1972 (AS AMENDED BY THE LOCAL GOVERNMENT [ACCESS TO INFORMATION] ACT 1985)**

**RESOLVED:-**

***That, in accordance with Section 100(A)(4) of the Local Government Act 1972 (as amended), the press and public be excluded from the remainder of the Meeting as it is likely, in view of the nature of the business to be transacted or the nature of the proceedings, that there would be disclosed exempt information as defined in the paragraphs of Part 1 of the Schedule 12A of the Act indicated in brackets after each item.***

**TO RECEIVE QUESTIONS FROM MEMBERS OF THE COUNCIL PURSUANT TO COUNCIL PROCEDURE RULE NO. 11**

***The Committee was informed no questions had been received.***

**REGRADING OF POST - SENIOR ECONOMIC DEVELOPMENT OFFICER**

***The Committee approved the recommendation in the report.***

The meeting terminated at 7:05 pm.

COUNCILLOR P WATSON

CHAIRMAN

<b>REPORT TO:</b>	<b>FINANCE AND MANAGEMENT COMMITTEE</b>	<b>AGENDA ITEM: 7</b>
<b>DATE OF MEETING:</b>	<b>26<sup>th</sup> NOVEMBER 2020</b>	<b>CATEGORY: DELEGATED</b>
<b>REPORT FROM:</b>	<b>STRATEGIC DIRECTOR (CORPORATE RESOURCES)</b>	<b>OPEN</b>
<b>MEMBERS' CONTACT POINT:</b>	<b>KEVIN STACKHOUSE (01283 595811)</b> <a href="mailto:Kevin.stackhouse@southderbyshire.gov.uk">Kevin.stackhouse@southderbyshire.gov.uk</a>	<b>DOC:</b> h/KS/covid19/committee reports/coronavirus committee update November 2020
<b>SUBJECT:</b>	<b>CORONAVIRUS (COVID-19) FINANCIAL IMPACT - UPDATE</b>	
<b>WARD(S) AFFECTED:</b>	<b>ALL</b>	<b>TERMS OF REFERENCE: FM 08</b>

## **1.0 Recommendations**

- 1.1 That the financial impact of Covid-19 and deployment of Government Funding as detailed in the report is considered and noted.

## **2.0 Purpose of the Report**

- 2.1 To provide an update on how Government funding has assisted local businesses and residents affected by the Covid-19 pandemic.

## **3.0 Detail**

- 3.1 Details of financial measures implemented by the Government to support local businesses and residents, were reported to the Committee in July 2020.
- 3.2 Immediately following the national lockdown in March 2020, several funding streams were allocated to local authorities. Other funding has since become available and the report sets out the final or latest amounts allocated to local businesses and residents in South Derbyshire.
- 3.3 A summary is provided in the following table.

<b>Funding Stream</b>	<b>Funding Provided</b>	<b>Spent/Allocated to-date</b>
Small Business Rate Retail	£2.9 million	Relief credited to 1,074 small businesses.
Extended Retail and Hospitality Sector Discount	£7.2 million	Discounts credited to 457 businesses in the District who will pay no Business Rates in 2020/21 in addition to the small businesses above.
Cash Grants to Businesses	£15.1 million	Grants ranging from £2,500 to £25,000 have been paid to 1,322 businesses.

Reopening High Streets Safely Fund	£95,419	To-date, expenditure of around £3,000 has been incurred. Funding is available, if needed, until 31 March 2021.
Surge Enforcement Funding	£44,443	No significant expenditure has been incurred to-date, but this has been kept under review.
Hardship Fund	£606,000	To-date approximately £400,000 has been paid to further support 2,900 households claiming Council Tax Support. Many of these households will pay no Council Tax in 2020/21.
Test and Trace Support Payments	£59,236	To-date £10,000 has been paid to individuals on low incomes who have been forced to self-isolate by the NHS and are unable to work from home.
New Burdens Funding	£40,505	To-date, £23,000 has been spent on administering the various support schemes detailed above, via additional staff costs, system upgrades, etc.

## **SUPPORT FOR LOCAL BUSINESSES**

### **Extended Retail Discount**

- 3.4 The 50% discount that had been granted in previous years, was increased to 100% for 2020/21. This discount was also extended to include all businesses in the retail sector regardless of size, and brought in the leisure/hospitality sector, pubs with a RV of less than £100,000, estate/letting agents, together with non-local authority providers of childcare, i.e. nurseries.
- 3.5 In total, relief of approximately £7.2 million was granted to 457 businesses in the District who will pay no business rates in 2020/21
- 3.6 This was in addition to approximately £2.9 million relief granted to 1,074 small businesses prior to lockdown through the Government's Small Business Rate Relief Scheme.
- 3.7 The cost of these reliefs is fully funded by the Government.

### **Cash Grants for Businesses**

- 3.8 The Council received £15.2 million for distribution to local businesses in South Derbyshire.
- 3.9 The eligibility criteria for the grants was:
- ✓ Businesses in receipt of Small Business or Rural Rates Relief received a grant of £10,000.

- ✓ Businesses in the retail, hospitality and leisure sectors received a grant of **£10,000** where their RV was less than £15,000 or a grant of **£25,000** where their RV was between £15,000 and £51,000.

3.10 Altogether, 1,221 businesses received a grant which totalled £14.3 million.

3.11 During May 2020, the Government extended the scheme to support other small businesses who were outside the original eligibility criteria (above).

3.12 The Government set a limit of 5% of the original allocation of £15.2 million to fund a discretionary scheme, firstly utilising any underspend from the original allocation and claiming any additional amount from the Government. This gave the Council £760,000 for the discretionary scheme.

3.13 The Government identified the following micro/small businesses as priority for the scheme.

- Those in shared spaces who are not the ratepayer.
- Regular market traders
- Small charities
- Bed and breakfast establishments that pay Council Tax (and not Business Rates)
- Any other business type based on local economic need.

3.14 The main criteria were that the business must employ less than 50 people and be able to demonstrate that they had a significant income drop due to Covid-19.

3.15 The scheme was subject to an application process and the Council paid out individual grants ranging from £2,500 to £10,000. Under the extended scheme, a further 101 small businesses were supported, totalling £711,500.

3.16 The deadline for grants under both schemes ended on 31 August 2020. In total, the Council paid out grants of just over £15 million.

3.17 A reconciliation process is currently being undertaken and the difference (approximately £150,000) between the total amount paid and the original allocation, will be paid back to the Government.

### **Reopening High Streets Safely Fund**

3.18 This funding was made available to support the safe reopening of high streets and other commercial areas following the easing of the first national lockdown in June 2020. The money allowed local authorities to put in place additional measures to establish a safe trading environment.

3.19 The Council was awarded up to a maximum of £95,419, which is available to be drawn down until 31 March 2021.



3.20 The money is aimed at funding additional costs incurred by the Council for communications, information, signage and works associated with putting in place safe distancing measures, etc. The funding is not aimed at providing additional support for individual businesses.

3.21 To-date, a small amount of money (£3,000) has been expended on town centre signage and barriers, etc.

### **Surge Enforcement Funding**

3.22 In October 2020, the Government provided funding to the Council of £44,443 for any activity which will support compliance and enforcement to control the spread of Covid-19.

3.23 This is aimed at enforcing social distancing measures, the provision of guidance and advice, together with the appointment of marshals or stewards to support Environmental Health Officers and the Police to educate, but where necessary, enforce compliance with Government measures.

3.24 No additional expenditure has been incurred to-date and it is being kept under review.

### **Second National Lockdown (5 November 2020)**

3.25 In response to the second national lockdown, the Government have provided additional funding to councils to distribute to local businesses directly affected by the lockdown.

3.26 The Council received two tranches which is in the process of being distributed, as detailed below.

### **Local Restrictions Support Grant**

3.27 An amount of approximately £1 million to compensate businesses in the retail, leisure and hospitality sector who have been forced to close due to the lockdown.

3.28 This is a mandatory grant and will be topped up if lockdown is extended or the Council is moved down to Tier 2 or Tier 3 restrictions.

3.29 Initially, depending on their rateable value, eligible businesses will receive between £1,300 to £3,000 per 28-day period that the national lockdown is in place. The £1 million above, is for the initial lockdown period covering 5 November to 2 December 2020.

### **Additional Restrictions Support Grant**

3.30 An amount of approximately £2.1 million to compensate businesses who have been forced to curtail trading, but not shut, subject to loss of income. In addition, this grant is to support non rateable businesses, such as those highlighted in section 3.13 above.

3.31 The allocation of this grant is at the discretion of the Council and is subject to an application process. This grant is "one-off" and can be no greater than 70% of amounts awarded under the mandatory scheme above.

3.32 In addition, the Council received a sum of £49,000 to support any businesses who suffered financial hardship immediately before the national lockdown, when the District was placed in the Tier 2 High Alert level for 5 days.

3.33 No call on this funding as yet been made.

### **SUPPORT FOR LOCAL RESIDENTS**

#### **The Hardship Fund**

3.34 The Council received £606,000 to support economically vulnerable people and households in its area.

3.35 The Government's expectation was this funding would be used to provide Council Tax relief, alongside existing Council Tax support schemes. The Government stipulated that councils provide a **minimum** (but no maximum) of £150 to further reduce the Council Tax bills of all working-age claimants who receive Local Council Tax Support (LCTS) in 2020/21.

3.36 As reported to the Committee in July, the Council has been able to award up to £300. To-date, this has supported approximately 2,900 households at a cost of just over £400,000. The extension of the scheme means that many of these households will pay no Council Tax in 2020/21.

3.37 The Committee approved a Discretionary Scheme in July which will allow new claimants of LCTS, between now and 31 March 2021, to benefit from the Hardship Fund. The Discretionary Scheme also allows other households to claim against the Hardship Fund where they experience significant financial hardship arising from Covid-19, determined on a case-by-case basis.

#### **Test and Trace Support Payments**

3.38 From 28 September 2020, the Government supplied local authorities with funding to support eligible individuals in their area who are forced to self-isolate. The funding is to support people on low incomes who are unable to work from home if they are told to self-isolate by the NHS Test and Trace and lose income as a result.

3.39 Eligibility for a £500 payment is restricted to people who:

- Have been told to stay at home and self-isolate either because they have tested positive for Covid-19 or have recently been in close contact with someone who has tested positive.
- Are employed or self-employed.
- Are unable to work from home and will lose income as a result.
- Are currently receiving Universal Credit and/or other major benefits such as Working Tax Credit or Housing Benefit, etc.

3.40 The Council also has discretion to award £500 to individuals who meet the first three criteria (above) but who are not in receipt of benefits. The discretion can be used to

support others on low incomes who face financial hardship as a result of not being able to work while they are self-isolating.

- 3.41 Similar to most authorities, the Council is using eligibility for the Council's Local Council Tax Support Scheme as an indicator of low income, to be consistent with the criteria used with allocating the Hardship Fund.

### **Funding**

- 3.42 The Council has received separate funding allocations in connection with implementing test and trace support payments. Firstly, £37,000 to meet the cost of eligible claimants under the main scheme. If this is exceeded, the Government will provide the additional funding.
- 3.43 Secondly, an amount of £22,236 to fund payments under the discretionary scheme. No additional funding is available above this amount.
- 3.44 To-date the Council has received 108 applications under the main scheme for which 20 have been paid and a further 20 are currently being processed. 68 applications were rejected as they did not meet the test and trace criteria or had not lost any income.

### **New Burdens Funding**

- 3.45 In addition, the Government also paid local authorities "*new burdens funding*" towards administration of the various funding streams detailed above. The Council received £40,505, of which £23,000 has been spent to-date.

## **The Council's Income and Expenditure**

### **General Funding for Covid-19**

- 3.46 The Council has received grant funding of approximately **£1.4 million** as part of a national funding package.
- 3.47 Although the Government indicated that it expected this funding to be directed to dealing with additional costs of social care and homelessness, it is not ring-fenced and is intended to help councils address pressures on their services relating to Covid-19, depending on local circumstances, at the Council's discretion.

### **Utilising the Funding**

- 3.48 At its meeting in July, the Council agreed to set-aside £1/2 million of the funding as a contingency to cover additional costs and loss of service income,
- 3.49 In addition, a further £100,000 was set-aside to support small institutions, businesses and other local community-based organisations who were not eligible for other funding as detailed earlier in the report.
- 3.50 This was on the basis that an organisation could clearly demonstrate that they had suffered a loss of income or incurred additional expenditure, directly related to Covid-

19 and that the contribution would support the local community or protect the local economy.

3.51 To-date, two organisations have received grants from the £100,000 sum, as follows:

- ✓ Dame Catherine Harpur's School in Ticknall, which provides a key service to local families and children with special educational needs (£10,000).
- ✓ The Parkside Community Café in Newhall (£5,000).

### **The Council's Services**

3.52 Additional expenditure and loss of income, directly related to Covid-19, is detailed in the quarterly budget monitoring report, which is subject to a separate item elsewhere on this Agenda. To-date, actual, together with forecasted expenditure/loss of income totals approximately £3/4 million.

3.53 It is not clear whether the Government will clawback any unspent money, although they are asking all authorities to account for how the funding is being utilised on a monthly basis.

## **5.0 Financial Implications**

5.1 As detailed in the report.

## **6.0 Corporate Implications**

### **Employment Implications**

6.1 None

### **Legal Implications**

6.2 None

### **Corporate Plan Implications**

6.3 None directly, although maintaining the financial sustainability of the Council, its residents, and the local economy, will enable the Corporate Plan (2020 to 2024) to be delivered in the long-term.

### **Risk Impact**

6.4 Conversely, if the financial position of the Council is adversely affected in the long-term, this could affect the Council's ability to deliver some elements of its Corporate Plan. The position is being kept under review.

## **7.0 Community Impact**

### **Consultation**

7.1 None required.

## **Equality and Diversity Impact**

7.2 None

## **Social Value Impact**

7.3 None

## **Environmental Sustainability**

7.4 No direct implications

## **8.0 Background Papers**

8.1 None

<b>REPORT TO:</b>	<b>FINANCE AND MANAGEMENT COMMITTEE</b>	<b>AGENDA ITEM:8</b>
<b>DATE OF MEETING:</b>	<b>26<sup>TH</sup> NOVEMBER 2020</b>	<b>CATEGORY: DELEGATED</b>
<b>REPORT FROM:</b>	<b>LEADERSHIP TEAM</b>	<b>OPEN DOC:</b>
<b>MEMBERS' CONTACT POINT:</b>	<b>FRANK MCARDLE (EXT. 5700) FIONA PITTAM (EXT. 5735)</b>	
<b>SUBJECT:</b>	<b>CORPORATE PLAN 2020-24: PERFORMANCE REPORT (2020-2021 QUARTER 2– 1 JULY TO 30 SEPTEMBER)</b>	
<b>WARD (S) AFFECTED:</b>	<b>ALL</b>	<b>TERMS OF REFERENCE: G</b>

## 1.0 Recommendations

- 1.1 That the Committee considers progress against performance targets set out in the Corporate Plan 2020 - 2024.
- 1.2 That the Risk Register for the Committee's services are reviewed.

## 2.0 Purpose of the Report

- 2.1 To report progress against the Corporate Plan under the priorities of Our Environment, Our People and Our Future.

## 3.0 Executive summary

- 3.1 The Corporate Plan 2020 – 2024 was approved following extensive consultation into South Derbyshire's needs, categorising them under three key priorities: Our Environment, Our People and Our Future. The Corporate Plan is central to the Council's work – it sets out its values and vision for South Derbyshire and defines its priorities for delivering high-quality services.
- 3.2 This Committee is responsible for overseeing the delivery of the key priorities and the following key aims

### **Our Environment**

- *Enhance the attractiveness of South Derbyshire*

### **Our People**

- *Supporting and safeguarding the most vulnerable*
- *Deliver excellent services*



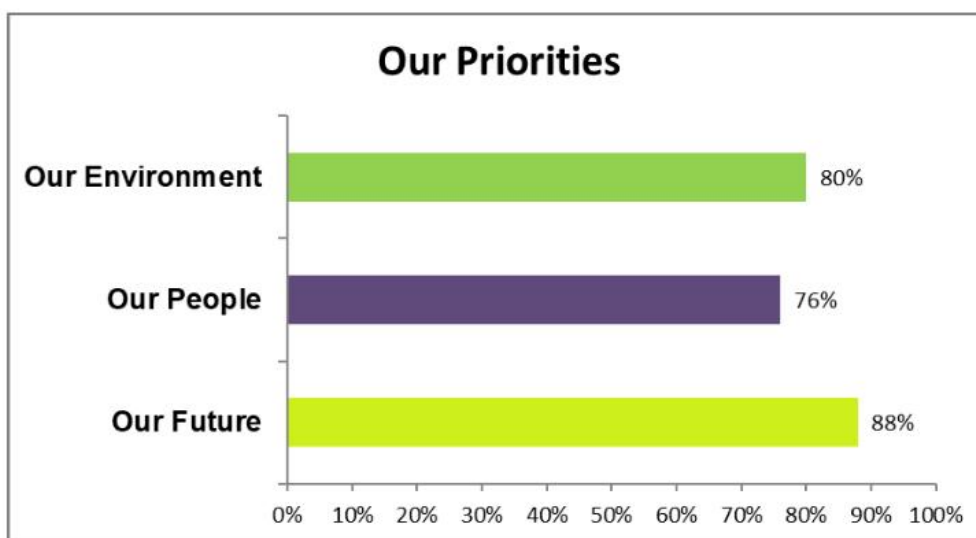
## Our Future

- *Develop skills and careers*
- *Support economic growth and infrastructure*
- *Transforming the Council*

### 4.0 Detail

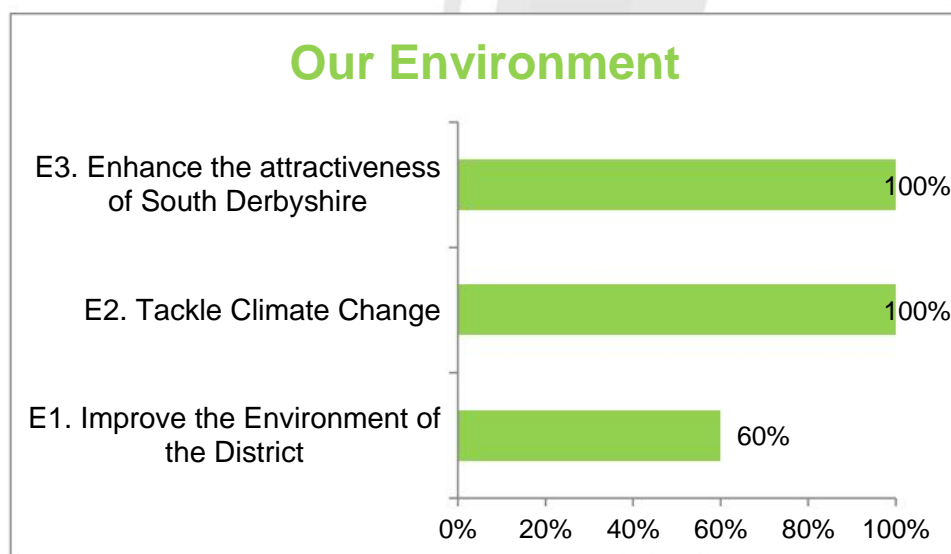
#### 4.1 Overall Council performance against the priorities– Quarter 2 2020-2021.

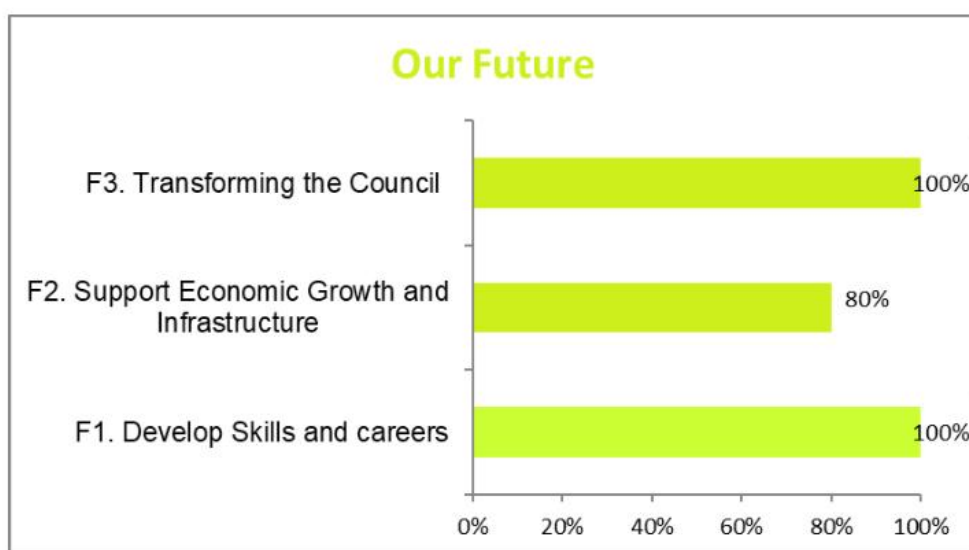
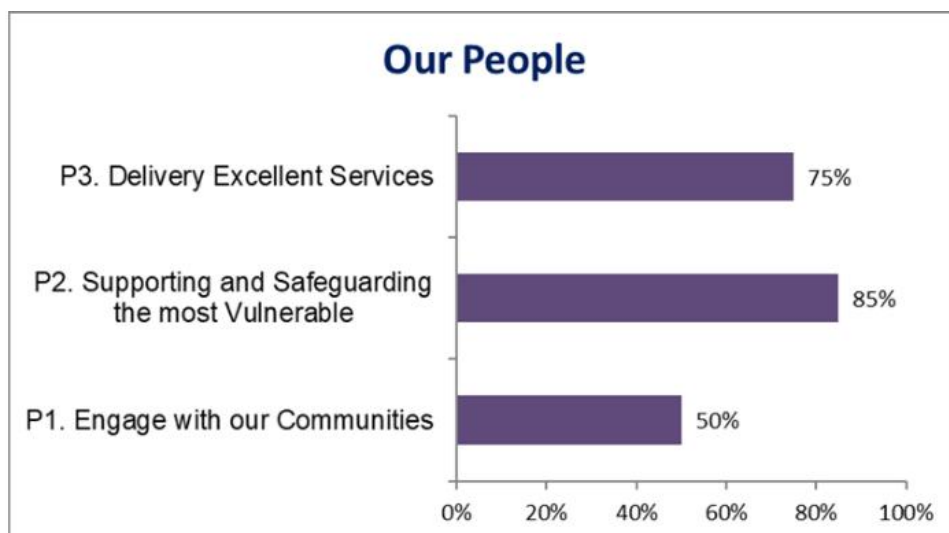
The below chart provides an overview for the % of measures that are on track to achieve the annual target.



#### 4.2 Overall Council performance against key aims – Quarter 2 2020-2021.

The below charts provide an overview for the % of measures that are on track to achieve the annual target within each key aim of the Corporate Plan.





4.3 Of the 35 measures which support the progress of the Corporate Plan 20-24, 16 are green, one is amber, seven are red and 11 are grey. Overall, 80% of the key aims within the Corporate Plan are on track. 80% are on track for Our Environment, 76% are on track for Our People and 88% are on track for Our Future.

4.4 This Committee is responsible for overseeing the delivery of 16 Corporate measures

Below outlines the seven measures for this Committee that are on track (green) for the quarter:

- Develop and deliver the Public Buildings programme over four years
- Increase the number of customers who interact digitally as a first choice
- Reduce face-to-face contact to allow more time to support those customers who need additional support
- Number of customer telephone calls answered by Customer Service
- Increase digital engagement (Twitter, Instagram, Facebook)
- Deliver against the Transformation Action Plan





- Develop our approach towards the commercialisation of services which include grants, sponsorship, fees and charges and operating models and increase the income generated from these activities

4.5 Below outlines the three measures that are not on track (red) for the quarter:

- Number of apprenticeships
- Average number of staff days lost due sickness
- Total Rateable Value of businesses in the District

The targets for the Corporate performance measures were set prior to the Covid-19 pandemic and this has impacted the out turn for quarter two for the number of apprenticeships.

For more detailed information please refer to **Appendix B**, Performance Measure Report Index.

- 4.6 An overview of performance can be found in the Performance Dashboard in **Appendix A**. A detailed description of each performance measure including mitigating actions and actions to sustain and improve performance is included in the detailed Performance Measure Report Index in **Appendix B**.
- 4.7 Questions regarding performance are welcomed from members in relation to the Corporate performance measures that fall under the responsibility of their Committee and are referenced in the detailed Performance Measure Report Index in **Appendix B**
- 4.8 The Risk Register(s) for the Committee's services are detailed in **Appendix C** Chief Executive Risk Register, **Appendix D** Corporate Resources Risk Register and **Appendix E** Strategic Risk Register. This includes the register and risk mitigation plans for the relevant departmental Risk Register(s). Each risk has been identified and assessed against the Corporate Plan aims which are considered to be the most significant risks to the Council in achieving its main objectives. The Risk Register(s) detail a risk matrix to summarise how each identified risk has been rated.

## 5.0 Financial and Implications

None directly.

## 6.0 Corporate Implications

### 6.1 Employment Implications

None directly.

### 6.2 Legal Implications

None directly.



### 6.3 Corporate Plan Implications

This report updates the Committee on the progress against the key measures agreed in the Corporate Plan and demonstrates how the Council's key aims under the priorities, Our Environment, Our People and Our Future contribute to that aspiration.

### 6.4 Risk Impact

Key risks impacting on this Committee are detailed in **Appendix C** Chief Executive Risk Register, **Appendix D** Corporate Resources Risk Register, and **Appendix E** Strategic Risk Register, alongside the treatment and mitigating actions in place to manage these risks.

The following provides a summary of changes to either the risk or mitigating actions since the last quarter:

Chief Executive Risk Register

- There have been no changes during quarter two

Corporate Services Risk Register

- There have been no changes during quarter two

Strategic Risk Register

There have been no changes to the risk rating and current position for the risks recorded in the Strategic Risk Register since the previous quarter. The mitigating actions have been updated for the following risks:

- 1 - Government Funding
- 2 - The Economy
- 3a -Technology and Data
- 5 - Capacity and Resilience
- 6 - Voluntary and Community Sector
- 8 - Statute and Regulation

Please refer to the Strategic Risk Register in **Appendix E** for further detail

### 7.0 Community Impact

#### 7.1 Consultation

None required.

#### 7.2 Equality and Diversity Impact

Not applicable in the context of the report.

#### 7.3 Social Value Impact

Not applicable in the context of the report.



## 7.4 Environmental Sustainability

Not applicable in the context of the report.

## 8.0 Appendices

Appendix A – Performance Dashboard 2020-2024

Appendix B – Performance Measure Report Index

Appendix C – Chief Executive Risk Register

Appendix D – Corporate Resources Risk Register

Appendix E – Strategic Risk Register



Priority	Key Aim		Outcome	PI Ref	How success will be measured	Frequency	(Q4) Jan 20 - Mar 20 Outturn	April 20 - June 20 (Qtr. 1)	April 20 - September 20 (Qtr. 2)	Annual Target 2020-2021	Head of Service	Strategic Lead	Committee
Our Environment	Keeping a clean, green District for future generations		E1.1 Reduce waste and increase composting and recycling	E1.1A	<a href="#">Household waste collected per head of population</a>	Quarterly	Cumulative (Apr-Mar) 404 kgs Q4 (Dec-Mar) 90kgs	126 kgs	252 kgs (estimate)	Sustain during Yr1 (404kgs)	Adrian Lowery, Head of Operational Services	Allison Thomas, Strategic Director, Service Delivery	E&DS
				E1.1B	<a href="#">% of collected waste recycled and composted</a>	Quarterly	Cumulative (Apr-Mar) 45% Q4 (Jan-Mar)39%	53%	52% (estimate)	Sustain during Yr1 (45% or >)	Adrian Lowery, Head of Operational Services	Allison Thomas, Strategic Director, Service Delivery	E&DS
			E1.2 Reduce fly tipping and litter through education, engagement and zero tolerance enforcement action where appropriate	E1.2A	<a href="#">Number of fly tipping incidents</a>	Quarterly	714 (total figure for 2019/20)	Q1 - Target ≤ 179    Actual - 260	Q1-2 Target ≤ 357    Actual - 528	< 714	Matt Holford, Head of Environmental Services	Allison Thomas, Strategic Director, Service Delivery	E&DS
				E1.2B	<a href="#">Improve the quality of the District through the Local Environmental Quality Survey</a>	Annual	The first survey was completed in January 2020 the result was 89.67% above grade C+. Committee report being prepared. Some service PIs developed to assist overall performance.	Reported Bi-Annually in Q1 and Q3	A full report will be provided in Q4 20-21.	>95%	Adrian Lowery, Head of Operational Services	Allison Thomas, Strategic Director, Service Delivery	E&DS
			E1.3 Enhance biodiversity across the District	E1.3A	<a href="#">% of eligible new homes and commercial developments to achieve net gain in Biodiversity by a minimum of 10% compared to the sites pre-development baseline.</a>	Annual	Not possible to provide as outputs not held in software until April 2020. Monitoring underway and baseline data to be provided Q1 and Q2.	First Report due October 2020. No qualifying decisions in Q1.	66.7%	85%	Steffan Saunders, Head of Planning and Strategic Housing	Allison Thomas, Strategic Director, Service Delivery	E&DS
	E2. Tackle climate change		E2.1 Strive to make South Derbyshire District Council carbon neutral by 2030	E2.1A	<a href="#">Reduce South Derbyshire District Council carbon emissions</a>	Annual	No update required for Q4. First update to be provided Q1 2020-21.	The three targeted C&EAP actions for Q1 are all complete	Six targeted C&EAP actions for Q1-2. Three have been completed. Three are long term projects which are all now in progress and on-track	Achievement of Actions contained in the South Derbyshire Climate and Environment Action Plan 2020-24 (C&EAP)	Matt Holford, Head of Environmental Services	Allison Thomas, Strategic Director, Service Delivery	E&DS
			E2.2 Work with residents, businesses and partners to reduce their carbon footprint	E2.2A	<a href="#">% of new homes to meet water efficiency targets as set out in the Part G optional standard of 110 litres of potable water usage per person per day</a>	Bi Quarterly (Q2 & Q4)	Baseline figure of 50% based on 18 qualifying decisions in Q4.	78%	89%	85%	Steffan Saunders, Head of Planning and Strategic Housing	Allison Thomas, Strategic Director, Service Delivery	E&DS
	E3. Enhance the attractiveness of South Derbyshire		E3.1 Enhance the appeal of Swadlincote town centre as a place to visit	E3.1A	<a href="#">Increase Swadlincote Town Centre visitor satisfaction</a>	Annual	49% of respondents would recommend Swadlincote Town Centre - May 2019. No update required for Q4. First update to be provided Q2 2020-21	Update due Q3	Update due Q3	50%	Mike Roylance, Head of Economic Development and Growth	Frank McArdle, Chief Executive	F&M
			E3.2 Improve public spaces to create an environment for people to enjoy	E3.2A	<a href="#">The number of Green Flag Awards for South Derbyshire parks</a>	Annual	2	Action planning scheduled for later in the year	Dialogue commenced about potential and preferred sites.	Four Year Target - 4	Mary Bagley, Head of Cultural and Community Services	Allison Thomas, Strategic Director, Service Delivery	H&CS
				E3.2B	<a href="#">Proportion of good quality housing development schemes</a>	Annual	92%	Reported Annually in Q4	Reported Annually in Q4	90.0%	Steffan Saunders, Head of Planning and Strategic Housing	Allison Thomas, Strategic Director, Service Delivery	E&DS
Our People	P1. Engage with our communities		P1.1 Support and celebrate volunteering, community groups and the voluntary sector	P1.1A	<a href="#">Number of new and existing Community Groups supported</a>	Quarterly	36	28	38	Proxy	Mary Bagley, Head of Cultural and Community Services	Allison Thomas, Strategic Director, Service Delivery	H&CS
			P1.2 Help tackle anti-social behaviour & crime through strong and proportionate action	P1.2A	<a href="#">Number of ASB interventions by type</a>	Quarterly	2,893 ASB reports	ASB reports in Q1: Target ≤ 849 Actual - 1776	ASB reports in Q2: Target <800 Actual - 1084. Cumulative Target <1649 Actual - 2860	Proxy	Matt Holford, Head of Environmental Services	Allison Thomas, Strategic Director, Service Delivery	H&CS
	P2. Supporting and safeguarding the most vulnerable		P2.1 With partners encourage independent living and keep residents healthy and happy in their homes.	P2.1A	<a href="#">Number of households prevented from Homelessness</a>	Quarterly	103 cases	Q1= 64 cases total- 19 cases prevention & 45 cases relief	127 (Q2 = 63 cases total 21 Prevention cases and 42 Relief cases)	Proxy	Paul Whittingham, Head of Housing	Allison Thomas, Strategic Director, Service Delivery	H&CS
				P2.1B	<a href="#">Continue to undertake interventions per year to keep families out of fuel poverty</a>	Quarterly	Numbers of interventions in 2019/20 were not recorded	Q1 Target - 125 interventions Actual - 108	Q1&2 Target - 210 interventions Actual - 216 (Data not yet complete)	300 interventions	Matt Holford, Head of Environmental Services	Allison Thomas, Strategic Director, Service Delivery	E&DS
			P2.2 Promote health and wellbeing across the District	P2.2A	<a href="#">Deliver the objectives identified in the South Derbyshire Health &amp; Wellbeing Group</a>	Bi monthly	Not applicable for Q4	Draft plan tabled at H&W Group and approved by the group	Ongoing delivery of the action plan by partners	100% of actions delivered	Mary Bagley, Head of Cultural and Community Services	Allison Thomas, Strategic Director, Service Delivery	H&CS
			P2.3 Improve the condition of housing stock and public buildings.	P2.3A	<a href="#">Deliver the Planned Maintenance Housing programme over four years</a>	Quarterly	£2,717,193.80	35%	88.95%	100% against the annual plan 2020-21	Paul Whittingham, Head of Housing	Allison Thomas, Strategic Director, Service Delivery	H&CS
				P2.3B	<a href="#">Develop and deliver the Public Buildings programme over four years</a>	Quarterly	Project Plan for 2020-21 developed	Software tested and calibrated	Condition surveys on the five largest assets have been completed.	25% of assets to be surveyed and the planned maintenance programme for phase one to be created	Steve Baker, Head of Corporate Property	Kevin Stackhouse, Strategic Director, Corporate Resources	F&M
				P2.3C	<a href="#">Average time taken to re-let Council homes</a>	Quarterly	Q4 157 days YTD 122 days	Q1 Target 21 days Q1 Actual 206 days	Q2 Target 21 days. Q2 Actual 209 days	Median Quartile Performance (Benchmark via Housemark)	Paul Whittingham, Head of Housing	Allison Thomas, Strategic Director, Service Delivery	H&CS
	P3. Promote and protect the District's natural environment		P3.1 Promote and protect the District's natural environment	P3.1A	<a href="#">Number of new and existing Community Groups supported</a>	Quarterly	36	28	38	Proxy	Mary Bagley, Head of Cultural and Community Services	Allison Thomas, Strategic Director, Service Delivery	H&CS
			P3.2 Promote and protect the District's natural environment	P3.2A	<a href="#">Number of ASB interventions by type</a>	Quarterly	2,893 ASB reports	ASB reports in Q1: Target ≤ 849 Actual - 1776	ASB reports in Q2: Target <800 Actual - 1084. Cumulative Target <1649 Actual - 2860	Proxy	Matt Holford, Head of Environmental Services	Allison Thomas, Strategic Director, Service Delivery	H&CS
	P4. Promote and protect the District's natural environment		P4.1 Promote and protect the District's natural environment	P4.1A	<a href="#">Number of households prevented from Homelessness</a>	Quarterly	103 cases	Q1= 64 cases total- 19 cases prevention & 45 cases relief	127 (Q2 = 63 cases total 21 Prevention cases and 42 Relief cases)	Proxy	Paul Whittingham, Head of Housing	Allison Thomas, Strategic Director, Service Delivery	H&CS
			P4.2 Promote and protect the District's natural environment	P4.2A	<a href="#">Continue to undertake interventions per year to keep families out of fuel poverty</a>	Quarterly	Numbers of interventions in 2019/20 were not recorded	Q1 Target - 125 interventions Actual - 108	Q1&2 Target - 210 interventions Actual - 216 (Data not yet complete)	300 interventions	Matt Holford, Head of Environmental Services	Allison Thomas, Strategic Director, Service Delivery	E&DS

Priority	Key Aim	Outcome	PI Ref	How success will be measured	Frequency	(Q4) Jan 20 - Mar 20 Outturn	April 20 - June 20 (Qtr. 1)	April 20 - September 20 (Qtr. 2)	Annual Target 2020-2021	Head of Service	Strategic Lead	Committee
People	Working with communities and meeting their needs	P2.4 Support social mobility to ensure people have the opportunity to access skilled jobs, higher and further education.	P2.4A	<a href="#">South Derbyshire's ranking in the Social Mobility Commissions Social Mobility Index increases</a>	Annual	311	Reported Annually in Q4	Reported Annually in Q4	Ranked >311 on the Social Mobility Index	Mike Roylance, Head of Economic Development and Growth	Frank McArdle, Chief Executive	F&M
		P3.1 Ensuring consistency in the way the Council deal with service users	P3.1A	<a href="#">Increase the number of customers who interact digitally as a first choice</a>	Quarterly	1,219 Covid-19 business grants forms, 1,282 council tax & benefits forms and 12,343 online web form submissions. <b>14,844 in total (annual figure).</b>	4,474	10,174	Upward Trend	Elizabeth Barton, Head of Customer Services	Kevin Stackhouse, Strategic Director, Corporate Resources	F&M
		P3.2 Have in place methods of communication that enables customers to provide and receive information.	P3.2A	<a href="#">Reduce face-to-face contact to allow more time to support those customers who need additional support</a>	Quarterly	2,463 enquiries dealt with at Customer Services Desk. Visitors to office 4,490. Please note this was up to 20 March 2020, when offices closed due to Covid 19. <b>Quarter 4 figures.</b>	No visitors due to Covid-19	No visitors due to Covid-19	Downward trend in Face to Face interactions	Elizabeth Barton, Head of Customer Services	Kevin Stackhouse, Strategic Director, Corporate Resources	F&M
		P3.3 Ensuring technology enables us to effectively connect with our communities.	P3.3A	<a href="#">Number of customer telephone calls answered by Customer Service</a>	Quarterly	<b>Total Calls 26,280</b> (21,350 calls handled & 4,930 automated call payments). <b>Quarter 4 figures.</b>	22,387	44,701	Downward Trend	Elizabeth Barton, Head of Customer Services	Kevin Stackhouse, Strategic Director, Corporate Resources	F&M
			P3.3B	<a href="#">Increase digital engagement (Twitter, Instagram, Facebook)</a>	Quarterly	Total FACEBOOK fans: 22,440, total TWITTER followers: 11,448, No Instagram account yet, total ALL SOCIAL MEDIA fans: 33,888. Social Media queries: 287	Total FACEBOOK fans:26,369 , total TWITTER followers: 7,971, No Instagram account yet, total ALL SOCIAL MEDIA fans: 34,340. Social Media queries: 182	Total FACEBOOK fans:27,919 , total TWITTER followers: 12,005, No Instagram account yet, total ALL SOCIAL MEDIA fans:39,924. Social Media queries: 190	Upward Trend	Fiona Pittam, Head of Organisational Development & Performance	Kevin Stackhouse, Strategic Director, Corporate Resources	F&M
		P3.4 Investing in our workforce	P3.4A	<a href="#">Increase the level of staff engagement</a>	Annual	No Q4 Update. First Staff survey to take place in 20/21.	Reported annually in Q4	The employee survey has been postponed until early 2021	No target for Yr1.Baseline Data only	Fiona Pittam, Head of Organisational Development & Performance	Kevin Stackhouse, Strategic Director, Corporate Resources	F&M
			P3.4B	<a href="#">Number of apprenticeships</a>	Annual	4 (1.2% of head count)	4 (1.2% of head count)	4 (1.2% head count) (actions taken towards funding new apprenticeships despite Covid hardships)	>2.3% of head count	Fiona Pittam, Head of Organisational Development & Performance	Kevin Stackhouse, Strategic Director, Corporate Resources	F&M
			P3.4C	<a href="#">Average number of staff days lost due to sickness</a>	Quarterly	3.58	3.68	4.34	Downward Trend	Fiona Pittam, Head of Organisational Development & Performance	Kevin Stackhouse, Strategic Director, Corporate Resources	F&M
			P3.4D	<a href="#">% of employees that consider that the Council has a positive health and safety culture</a>	Annual	No Q4 update for 19/20. First Staff survey to take place in 20/21.	Reported annually in Q4	Reported annually in Q4	No target for Yr1.Baseline Data only	Fiona Pittam, Head of Organisational Development & Performance	Kevin Stackhouse, Strategic Director, Corporate Resources	F&M
Our Future	Growing our District and our skills base	F1. Develop skills and careers	F1.1A	F1.1 Attract and retain skilled jobs in the District	Annual	32,000		Reported Annually in Q4	More than Q4 2019/20	Mike Roylance, Head of Economic Development and Growth	Frank McArdle, Chief Executive	F&M
				F1.2 Support unemployed residents back into work								
		F2. Support economic growth and infrastructure	F2.1A	F2.1 Encourage and support business development and new investment in the District	Annual	2885 sqm	Reported Annually in Q4	Reported Annually in Q4	12,269.5 sqm	Mike Roylance, Head of Economic Development and Growth	Frank McArdle, Chief Executive	F&M
					Quarterly	£67,486,786	£67,528,690	£67,316,577 Total Rateable Value had fallen (NB. This is the total Rateable Value of premises rather than the income received through the collection of Business Rates):	More than Q4 2019/20	Mike Roylance, Head of Economic Development and Growth	Frank McArdle, Chief Executive	F&M
			F2.2A	F2.2 Enable the delivery of housing across all tenures to meet Local Plan targets	Quarterly	80%	100%	100%	90% within 8-13 weeks or as agreed with the applicant	Steffan Saunders, Head of Planning and Strategic Housing	Allison Thomas, Strategic Director, Service Delivery	E&DS
					Quarterly	93%	94%	99%	>90%	Steffan Saunders, Head of Planning and Strategic Housing	Allison Thomas, Strategic Director, Service Delivery	E&DS
			F2.3A	F2.3 Influence the improvement of infrastructure to meet the demands of growth.	Annual	No Q4 update for 19/20. New indicator, data will be collected from April 2020 onwards as retrospective data is not possible to collect.	Reported Annually in Q4	Reported Annually in Q4	90%	Steffan Saunders, Head of Planning and Strategic Housing	Allison Thomas, Strategic Director, Service Delivery	E&DS
		F3. Transforming the Council	F3.1A	F3.1 Provide modern ways of working that support the Council to deliver services to meet changing needs.	Quarterly	No Q4 update for 19/20. Transformation plan to report from Q1 onwards		All projects on track and have enjoyed some focused attention and a few large projects in particular have had major milestones reached	Deliver 100% against action plan	Anthony Baxter, Head of Business Change and ICT	Kevin Stackhouse, Strategic Director, Corporate Resources	F&M
					Quarterly	Preliminary discussion between Operational Services and Finance have taken place, working group and action plan not yet established			Form a working group & Action Plan	Adrian Lowery, Head of Operational Services	Allison Thomas, Strategic Director, Service Delivery	F&M

# Corporate Plan 2020-2024

## Performance Measure Report Index

### Finance and Management Committee

**Team: Organisational Development and Performance**

**Date: November 2020**

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Our Environment | Our People | Our Future

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# Performance Measure Report Index

## Corporate Plan 2020-2024

### Summary

The Corporate Plan 2020-2024 has 35 Corporate Measures which underpin the Council's three priorities Our Environment, Our People, Our Future.

The following Committees are responsible for overseeing the delivery of the following key aims and outcomes:

Environmental and Development Services Committee (E&DS) are responsible for 12 Corporate measures under the key aims:

- E1. Improve the environment of the District
- E2. Tackle climate change
- E3. Enhance the attractiveness of South Derbyshire
- P2. Supporting and safeguarding the most vulnerable
- F2. Support economic growth and infrastructure

Housing and Community Services Committee (H&CS) are responsible for seven Corporate measures under the key aims:

- E3. Enhance the attractiveness of South Derbyshire
- P1. Engage with our communities
- P2. Supporting and safeguarding the most vulnerable

Finance and Management Committee (F&M) are responsible for 16 corporate measures under the key aims:

- E3. Enhance the attractiveness of South Derbyshire
- P2. Supporting and safeguarding the most vulnerable
- P3. Deliver Excellent Services
- F1. Develop skills and careers
- F2. Support economic growth and infrastructure
- F3. Transforming the Council





## Finance and Management Committee (F&M) are responsible for the following 16 corporate measures

### Our Environment

#### Measure

- Increase Swadlincote Town Centre visitor satisfaction

### Our People

#### Measure

- Develop and deliver the Public Buildings programme over four years
- South Derbyshire's ranking in the Social Mobility Commissions Social Mobility Index increases
- Increase the number of customers who interact digitally as a first choice
- Reduce face-to-face contact to allow more time to support those customers who need additional support
- Number of customer telephone calls answered by Customer Services [s](#)
- Increase digital engagement (Twitter, Instagram, Facebook)
- Increase the level of staff engagement
- Number of apprenticeships
- Average number of staff days lost due sickness
- % of employees that consider that the Council has a positive health and safety culture

### Our Future

#### Measure

- Increase the number of employee jobs in South Derbyshire
- Annual net growth in new commercial floorspace (sqm)
- Total Rateable Value of businesses in the District
- Deliver against the Transformation Action Plan





- Develop an approach towards the commercialisation of services which include grants, sponsorship, fees and charges and operating models and increase the income generated from these activities



PRIORITY: OUR ENVIRONMENT					
OUTCOME: E3.1 - Enhance the appeal of Swadlincote town centre as a place to visit					
Measure and Ref	E3.1A - Increase Swadlincote Town Centre visitor satisfaction			Committee	F&M
Definition	Benchmarking for Swadlincote Town Centre includes a Town Centre User Survey (questionnaire) completed at the same time each year by an independent consultant.			Why this is important	There is a need to limit the impact of national changes in shopping habits on the vitality of the town centre, at a time when High Streets are under extreme pressure.
What good looks like	The aim is to steadily close the gap to the National Small Towns average over the four-year period of the Corporate Plan.				
History with this indicator	Comparable Benchmarking data was first collected in 2019. This found that 49% of respondents would recommend a visit to Swadlincote Town Centre, whilst the comparable National Small Towns Average was 72%. It should be noted that any public questionnaire of this type will be significantly influenced by recent events, such as an Anti-social behaviour (ASB) incident that has been reported in the media.			Mitigating actions	The Council is implementing the Swadlincote Town Centre Vision with public, private and voluntary/community sector partners.
2019/20 baseline data		49% of respondents would recommend Swadlincote Town Centre as of May 2019			
	Annual target	Q1 Outturn (Apr-June)	Q2 Outturn (Apr - Sept)	Q3 Outturn (Apr - Dec)	Q4 Outturn (Apr 20 - Mar 21)
2020/21	Upward trend	Update due in Q3	Update due in Q3		
2021/22	Upward trend				
2022/23	Upward trend				
2023/24	Upward trend				
<u>Performance Overview – quarterly update</u>  Due to COVID-19 out turns will be deferred until later in the year. Annual Benchmarking scheduled for Spring 2020 has been postponed until September 2020.  Q2 – Survey work was underway in September and will continue into October. Following analysis of the date the final report will then be produced.				<u>Actions to sustain or improve performance</u>	



<b>Benchmarking</b>	The National Small Towns Average was 72%. Given the worsening national trend for town centres, the target national average may fall during the period, with the target being re-evaluated accordingly.
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<b>PRIORITY: OUR PEOPLE</b>			
<b>OUTCOME: P2.3 Improve the condition of housing stock and public buildings.</b>			
<b>Measure</b>	<b>P2.3B - Develop and deliver the Public Buildings programme over four years</b>	<b>Measure Ref</b>	<b>F&amp;M</b>
<b>Project detail</b>	<p>Development of the public buildings programme involves the initial completion of Public Buildings condition surveys over the four-year lifespan of the Corporate Plan. These surveys will then inform the drafting of a planned maintenance programme, which will be progressively developed as the surveys become available.</p> <p>The completion of condition surveys and a planned maintenance programme will provide Corporate Property with a clear understanding of the repair requirements for the Council's buildings, enabling a proactive approach to property maintenance and future budget planning for repairs.</p> <p>The portfolio contains 149 Public Building Assets. 100 % of the portfolio will be surveyed over the life of the Corporate Plan</p> <p>The survey will involve a detailed inspection and the production of a Survey Report on each asset. The Survey Report will include a detailed description of the elements making up the asset and an assessment of the condition of each element utilising a graded score.</p> <p>The scoring of the condition of the elements in each asset will feed directly into the compilation of the Reactive and Planned Maintenance programme.</p> <p>Phase One of the surveys comprising of 25% of the assets listed within the portfolio will be surveyed by the end December 2020.</p> <p>The Planned Maintenance programme relating to buildings covered by Phase One surveys to be created by end March 2021, the planned maintenance programme to be expanded in tranches corresponding to the phased condition surveys.</p>	<b>Why this is important</b>	Completion of Public Buildings condition surveys and a planned maintenance programme will ensure the Council's buildings are fit for purpose, with repairs undertaken in a proactive, efficient and prioritised manner.
		<b>Mitigating actions</b>	A Building Services Manager and Building Surveyor have been appointed to undertake the condition surveys and draft the planned maintenance programme.



	A comprehensive Planned Maintenance Programme to be in place for the entire portfolio by December 2023.				
Project Action Plan	Q1 Outturn (Apr-June)	Q2 Outturn (Apr - Sept)	Q3 Outturn (Apr - Dec)		Q4 Outturn (Apr 20 - Mar 21)
2020/21	Software tested and calibrated.	Carry out surveys on 5 largest buildings and populate maintenance schedule.			
<b>Project Overview/ Target: Quarterly update</b>  Q2 Target – Carry out Condition Surveys on the five largest Public Building Assets to enable a Planned and Reactive Maintenance Programme to be developed.  Together with external assistance from Penningtons, condition surveys have been carried out on the five largest buildings in the Council’s portfolio, these being the Civic Offices, the Council Depot, Greenbank Leisure Centre, Etwall Leisure Centre and Melbourne Assembly Rooms.  This then enabled us to create a report using the lifespan software which officers were able to analyse accordingly for both reactive and planned maintenance going forward.				<b><u>Actions to sustain or improve performance</u></b>  The Action Plan for 2020/21 has been developed and will be monitored quarterly throughout 2020/21.	
<b>Annual action plan detail</b>  <b>Q4 (2019/2020) Develop an action plan for delivering the Public Buildings Program</b>					
Project	Lead Officer	Quarter 1 2020/21 Task / Milestone	Quarter 2 2020/21 Task / Milestone	Quarter 3 2020/21 Task / Milestone	Quarter 4 2020/21 Task / Milestone



Carry out condition Surveys of 100% of the 149 Public Building Assets, producing a Survey Report for each over the course of the 4-year plan.	SB	Test and calibrate software	Carry out Condition Surveys on the 5 largest Public Building Assets	Carry out Condition Surveys on a further 12 Public Building Assets	Carry out Condition Surveys on a further 12 Public Building Assets	
Compile a Planned and Reactive Maintenance Programme for each Public Building Assets derived from Condition Survey results	SB	Test and calibrate software	Populate Planned and Reactive Maintenance Programme with data from Condition Surveys for the five largest Public Building Assets	Populate Planned and Reactive Maintenance Programme with data from Condition Surveys for 12 Public Building Assets	Populate Planned and Reactive Maintenance Programme with data from Condition Surveys for 12 Public Building Assets	



**PRIORITY: OUR PEOPLE**

**OUTCOME: P2.4 - Support social mobility to ensure people have the opportunity to access skilled jobs, higher and further education.**

Measure	P2.4A - South Derbyshire’s ranking in the Social Mobility Commission’s Social Mobility Index increases			Committee	F&M
Definition	Working in partnership, to successfully implement a programme of actions as set out within a Social Mobility Action Plan.			Why this is important	Whilst the number of disadvantaged residents affected in South Derbyshire is relatively small, Social Mobility aims to ensure that everyone has the opportunity to build a good life for themselves regardless of geography or family background.
What good looks like	Upward trend in South Derbyshire’s ranking in the Social Mobility Commission’s Social Mobility Index over the four-year period of the Corporate Plan.				
History with this indicator	South Derbyshire has performed poorly on a number of indicators of Social Mobility for disadvantaged residents in recent years. The Social Mobility Commission’s Social Mobility Index ranked South Derbyshire 311/324 local authority areas in 2017. The Index is produced periodically at a national level by combining multiple data sources.			Mitigating actions	The Council is working with the South Derbyshire Partnership to develop and implement a Social Mobility Action Plan.
2019/20 baseline data		Ranked 311/324			
	Annual target	Q1 Outturn (Apr-June)	Q2 Outturn (Apr - Sept)	Q3 Outturn (Apr - Dec)	Q4 Outturn (Apr 20 - Mar 21)
2020/21	Upward Trend	Report in Q4	Report in Q4	Report in Q4	Implement Year 1 actions
2021/22	Upward Trend				Implement Year 2 actions
2022/23	Upward Trend				Implement Year 3 actions
2023/24	Upward Trend				Implement Year 4 actions
Performance Overview – quarterly update				Actions to sustain or improve performance	
Q2 – The South Derbyshire Partnership has awarded a grant to South Derbyshire CVS to fund officer time during 2020/21 which will help in completing the Action Plan and implementing actions.					



Q1 - The outline for the Social Mobility Action Plan has been drafted however, due to Covid-19 the consultation against the plan has been delayed. Social distancing measures are a major constraint on the activities envisaged within the Plan.																										
<b>Benchmarking</b>	<b>South Derbyshire's ranking in the Social Mobility Commission's Social Mobility Index increases</b> <table> <tr> <th>Baseline Data</th><th>Percentage</th><th>Q1</th></tr> <tr> <td>Social Mobility Index</td><td>Ranked 311</td><td>311</td></tr> <tr> <td>Smoking status at time of delivery</td><td>15.7%</td><td>No data</td></tr> <tr> <td>Reception prevalence of overweight (including obesity)</td><td>27.1%</td><td>No data</td></tr> <tr> <td>Year 6: Prevalence of overweight (including obesity)</td><td>30.4%</td><td>No data</td></tr> <tr> <td>Average Attainment 8 score</td><td>47.3%</td><td>No data</td></tr> <tr> <td>Percentage of youth unemployment (16-24yrs) Jan 2020</td><td>2%</td><td>7.9%</td></tr> <tr> <td>Percentage of the working age population qualified to Level 4 and above Dec 18</td><td>34.7%</td><td>38.4%</td></tr> </table>		Baseline Data	Percentage	Q1	Social Mobility Index	Ranked 311	311	Smoking status at time of delivery	15.7%	No data	Reception prevalence of overweight (including obesity)	27.1%	No data	Year 6: Prevalence of overweight (including obesity)	30.4%	No data	Average Attainment 8 score	47.3%	No data	Percentage of youth unemployment (16-24yrs) Jan 2020	2%	7.9%	Percentage of the working age population qualified to Level 4 and above Dec 18	34.7%	38.4%
Baseline Data	Percentage	Q1																								
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**PRIORITY: OUR PEOPLE**

**OUTCOME: P3.1 - Ensuring consistency in the way the Council deal with service users**

Measure and Ref	P3.1A - Increase number of customers who interact with the Council digitally as a first choice			Committee	F&M
Definition	Increase number of customers who interact/raise service requests with the Council using online forms, web chat, and integrated social media, versus alternative methods (phone, face-to-face etc).			Why this is important	The Council has an ambition to enable customers who wish to interact online with the Council to do so. This will reduce the cost of service transaction, increase customer satisfaction and ensure there is more time to support those customers who need more additional support by telephone or face-to-face.
What good looks like	Increased number of customers who choose to raise service requests digitally with the Council – whether through the Council's Customer Relationship Management (CRM) platform, web chat, integrated social media or supporting digital systems (such as council tax, planning and housing systems).				
History with this indicator	The Council has not yet adopted a centralised digital platform to enable true online interactions, however, has been adopting improved forms and new forms to boost digital interactions until a new CRM is in place.			Mitigating actions	The Council has identified it needs to introduce a central CRM solution that connects into back office systems and systems such as social media, waste, housing, council tax etc, in order to support this priority. This will be delivered through the Transformation Plan and Customer Access Strategy and Plan. Both the emerging Customer Access Strategy and Transformation Plan Action Plan will be reviewed to ensure they remain in line with new/emerging requirements from the COVID-19 shut-down and recovery, which is likely to increase the requirement for digital interaction.
2019/20 baseline data		During 2019/20 there were 1,282 council tax and digital forms submitted , 12,343 general website forms were submitted via the website, 287 social media enquiries and 1,219 COVID-19 Business Rates Grant Application Forms submitted which demonstrates the appetite for online interaction in the business community.			
	Annual target	Q1 Outturn (Apr- June)	Q2 Outturn (Apr - Sept)	Q3 Outturn (Apr - Dec)	Q4 Outturn (Apr 20 - Mar 21)





2020/21	Upward Trend	Total: 4,474	Cumulative total: 10,174																		
2021/22	Upward Trend																				
2022/23	Upward Trend																				
2023/24	Upward Trend																				
<b>Performance Overview – Q1 20-21</b> During Q1 there were 4,474 digital interactions - 893 council tax, business rates and business grant forms and 3,581 web form submissions.				<b><u>Actions to sustain or improve performance</u></b>																	
<b>Performance Overview – Q2 20-21</b> During Q2 there were 5,700 digital interactions - 116 Covid-19 business grant forms, 812 council tax & benefits forms and 3,772 online web form submissions.																					
<div><p>Increase number of customers who interact with the Council digitally as a first choice</p><table><thead><tr><th>Period</th><th>2019-20</th><th>2020-21</th></tr></thead><tbody><tr><td>Quarter 1</td><td></td><td>4,474</td></tr><tr><td>Quarter 2</td><td></td><td>5,700</td></tr><tr><td>Quarter 3</td><td></td><td></td></tr><tr><td>Quarter 4</td><td></td><td></td></tr><tr><td>Cumulative</td><td>15,131</td><td>10,174</td></tr></tbody></table></div>						Period	2019-20	2020-21	Quarter 1		4,474	Quarter 2		5,700	Quarter 3			Quarter 4			Cumulative
Period	2019-20	2020-21																			
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Quarter 2		5,700																			
Quarter 3																					
Quarter 4																					
Cumulative	15,131	10,174																			
<b>Benchmarking</b>																					



**PRIORITY: OUR PEOPLE**

**OUTCOME: P3.2 - Have in place methods of communication that enables customers to provide and receive information.**

Measure	P3.2A - Reduce face-to-face contact to allow more time to support those customers who need additional support			Measure Ref	F&M
Definition	Decrease the number of face-to-face interactions, by offering enhanced alternative methods of contact (phone and online) to enable the Council to provide a better service to those customers who need additional support.			Why this is important	The Council has an ambition to enable customers who wish to interact online with the Council to do so, and to enhance telephone support services available. This will enable the Council to better support those customers who need more personalised support face-to-face.
What good looks like	To see a downward trend in the number of face-to-face customers through Customer Services.				
History with this indicator	The Council has already seen a decrease in numbers of face-to-face visitors since the introduction of the Council's website, which provides answers to a variety of basic queries and the payment kiosk, which supports self-service payments. To further reduce the number of face-to-face visits, it is recognised that an online service request capability is required, so that customers can raise requests without officer intervention, and a greater variety of services need to be delivered at first point of contact through the Council's contact centre.			Mitigating actions	The Council has identified it needs to introduce a central Customer Relationship Management (CRM) solution that connects into systems, such as visitor management systems. This will be delivered through the Transformation Plan and the Customer Access Strategy and Plan. Both the emerging Customer Access Strategy and Transformation Action Plan will be reviewed to ensure they remain in line with new/emerging requirements from the COVID-19 shut-down and recovery, which is likely to reduce face to face interaction.
2019/20 baseline data		31,986 face to face enquiries (2018/2019) Q4 (Jan-Mar) 6,953 (2,463 enquiries dealt with at Customer Services Desk. Visitors to office 4,490)			
	Annual target	Q1 Outturn (Apr-June)	Q2 Outturn (Apr - Sept)	Q3 Outturn (Apr - Dec)	Q4 Outturn (Apr 20 - Mar 21)
2020/21	Downward Trend	0	0		
2021/22	Downward Trend				



2022/23	Downward Trend				
2023/24	Downward Trend				
<u>Performance Overview</u>				<u>Actions to sustain or improve performance</u>	
No visitors to office due to COVID 19.					
Benchmarking		Not applicable			



**PRIORITY: OUR PEOPLE**

**OUTCOME: P3.3 - Ensuring technology enables us to effectively connect with our communities. .**

Measure	P3.3A - Number of customer telephone calls answered by Customer Services			Measure Ref	F&M
Definition	The Council has an ambition to handle an increased number/variety of customer calls at first point of contact, vs transferring to back office teams. Initially this will result in an increase of calls into the contact centre, which will reduce over time, in parallel with the introduction of increased online tools.			Why this is important	The Council has an ambition to enable customers who wish to interact online with the council to do so, and better support those customers who need more personalised support by phone or face to face.
What good looks like	Initially an increase in numbers of calls/variety of calls into the contact centre is anticipated, followed by a decrease in overall calls, following the introduction and roll out of digital tools.				
History with this indicator	The Council has already seen a decrease in numbers of telephone calls following the introduction of the Council's website which provides answers to a variety of basic queries and some online forms. To further reduce the number of calls, it is recognised that digital service request capability is required, so that customers can raise requests without officer intervention.			Mitigating actions	The Council has identified it needs to handle more calls through Customer Services at first point of contact. This will be delivered through the Customer Access Strategy and Plan. The Council has also identified it needs to introduce a central Customer Relationship Management (CRM) solution that connects into back-office systems to support this priority. This will be delivered through the Transformation Plan. Both the emerging Customer Access Strategy and Transformation Plan Action Plan will be reviewed to ensure they remain in line with new/emerging requirements from the COVID-19 shut-down and recovery.
2019/20 baseline data		76,780 telephone calls received (2018/19). Q4 (Jan-Mar) 21,350 calls handled & 4,930 automated call payments.			
	Annual target	Q1 Outturn (Ap/r-June)	Q2 Outturn (Apr - Sept)	Q3 Outturn (Apr - Dec)	Q4 Outturn (Apr 20 - Mar 21)



<b>2020/21</b>	Downward Trend	<b>Total: 22,387</b> (17,016 handled & 5,371 automated payment calls)	<b>Cumulative total: 44,701</b> (35,883 handled and 10,134 automated payments calls)		
<b>2021/22</b>	Downward Trend				
<b>2022/23</b>	Downward Trend				
<b>2023/24</b>	Downward Trend				

#### Performance Overview – quarterly update

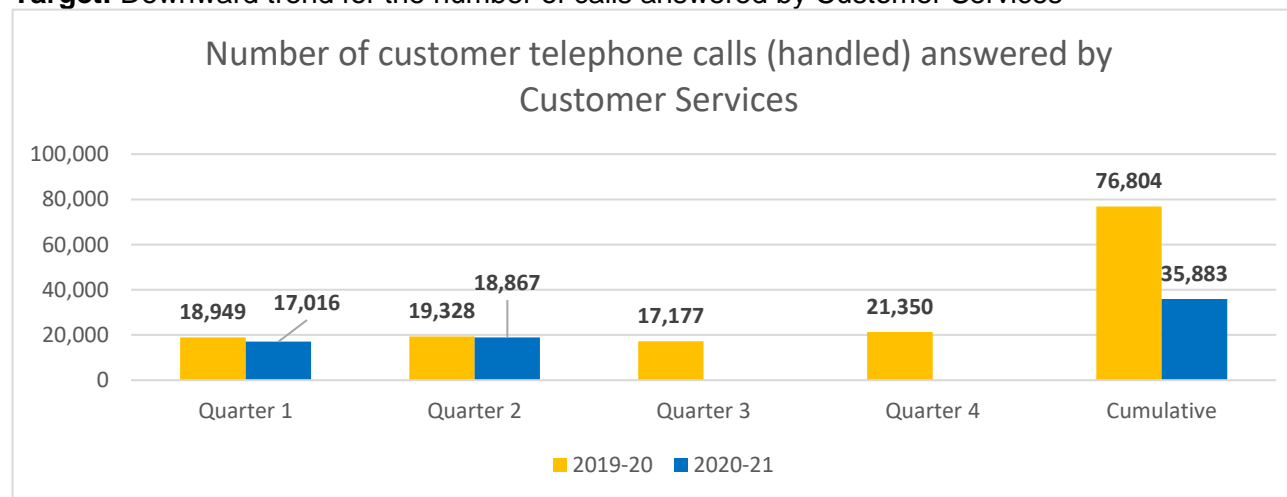
#### QUARTER 2 UPDATE

**Total Calls: 22,314** (Calls handled:18,867 and automated payments: 4,763)

During Q2 2020/21 Customer Services handled 18,867 calls, which is a decrease of 461 calls compared to the same period the previous year (19,328).

As a result of Covid-19, no council tax recovery has taken place, which explains the lower call volume compared to last year.

**Target:** Downward trend for the number of calls answered by Customer Services



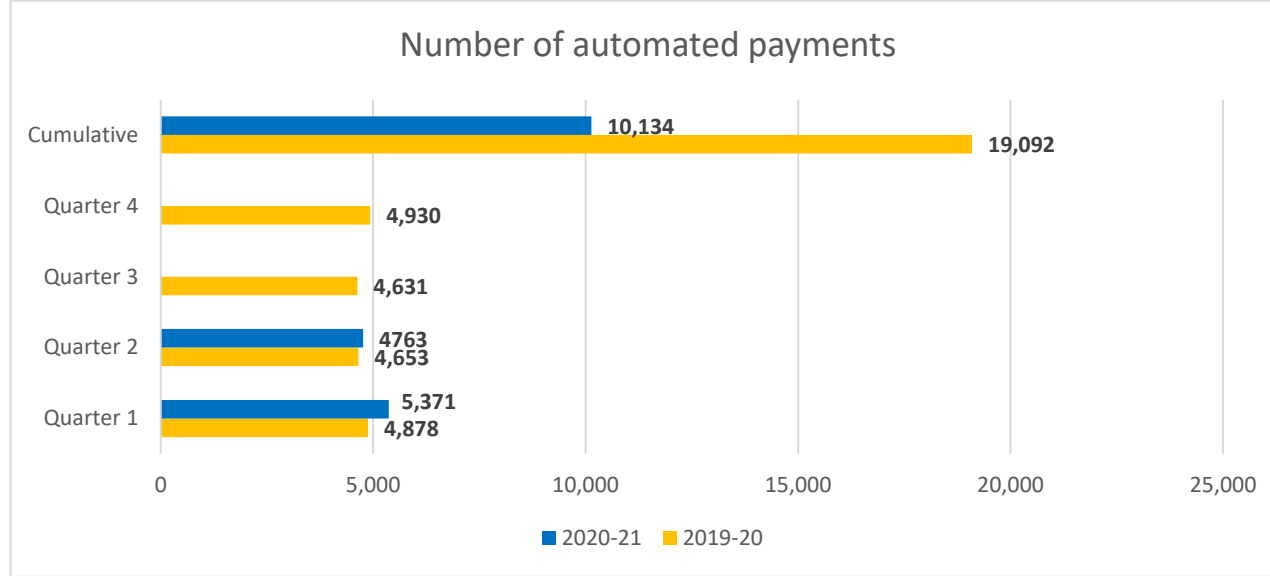
#### Actions to sustain or improve performance

Long-term our ambition is to see a downward trend in call volumes, as those customers who can self-serve via digital channels migrate across.

In the interim period, as part of the Council's Transformation Strategy, there is an ambition to centralise customer services across departments and bring more calls into the contact centre to be handled at first point of contact – for example housing repair calls. It is likely this will result in a short-term rise in volumes over the coming quarters, which it is envisaged will reduce again as more and more services are migrated online.



The automated payment calls have seen an increase of 110 compared to the same period as last year. These payers would have probably paid at the council offices, using the self-serve kiosk but due to the office closure, they have used alternative payment methods.



## Benchmarking



PRIORITY: OUR PEOPLE					
OUTCOME: P3.3 - Ensuring technology enables us to effectively connect with our communities.					
Measure and Ref	P3.3B - Increase digital engagement (Twitter, Instagram, Facebook etc)		Committee	F&M	
Definition	To increase the volume and quality of social media interaction with residents and customers on all Council social media platforms.		Why this is important	Social media captures customers who are already digitally engaged/aware and more likely to engage with the Council digitally and acts as a good springboard to digital service delivery.	
What good looks like	Increase number of proactive social media engagement from the Council through the Communications team, result in an increased number of engaged citizens.				
History with this indicator	<ul style="list-style-type: none"><li>The engagement rate, sentiment and follower/fan base on our social media accounts has significantly evolved since 2017.</li><li>With the creation of the central Facebook page in 2017 and a more strategic approach – more residents are now choosing to communicate with us via this platform.</li><li>Monthly social media reports indicate the number and type of interactions via social media.</li></ul>		Mitigating actions	The Council has identified it needs to introduce a central Customer Relationship Management (CRM) solution that connects into back off systems and systems such as social media in order to support this priority. This will be delivered through the Transformation Plan.	
2019/20 baseline data		<ul style="list-style-type: none"><li>Number of Facebook (central and departmental) fans and Twitter (central and departmental) followers.33,888</li><li>Commentary of the nature of these queries (this is already included in the monthly social media dashboard reports).</li></ul>			
	Annual target	Q1 Outturn (Apr-June)	Q2 Outturn (Apr - Sept)	Q3 Outturn (Apr - Dec)	Q4 Outturn (Apr 20 - Mar 21)
2020/21	Upward Trend	34,340	39,924		
2021/22	Upward Trend				
2022/23	Upward Trend				
2023/24	Upward Trend				
Performance Overview			Actions to sustain or improve performance		
<p><b>Q2 2020-21</b></p> <p>During Q2 the number of social media (Sm) fans/followers (this is the combined figure for both Twitter and Facebook followers) increased by 5,584. This was due to a significant increase in Facebook followers over the last three months.</p> <p>Facebook followers across all accounts now number 27,919 – an increase of 1,550 over the previous quarter. This is due to increased engagement across the accounts during Q2.</p>			<ul style="list-style-type: none"><li>To ensure our platforms remain active by posting relevant key messages.</li><li>To actively engage with social media fans to create a 2-way conversation, trust and rapport with our residents.</li><li>As per the strategy, to plan and roll out training sessions to enhance strategic social media activity.</li><li>Monthly (and annual) reporting to allow us to spot and adapt to digital trends.</li></ul>		



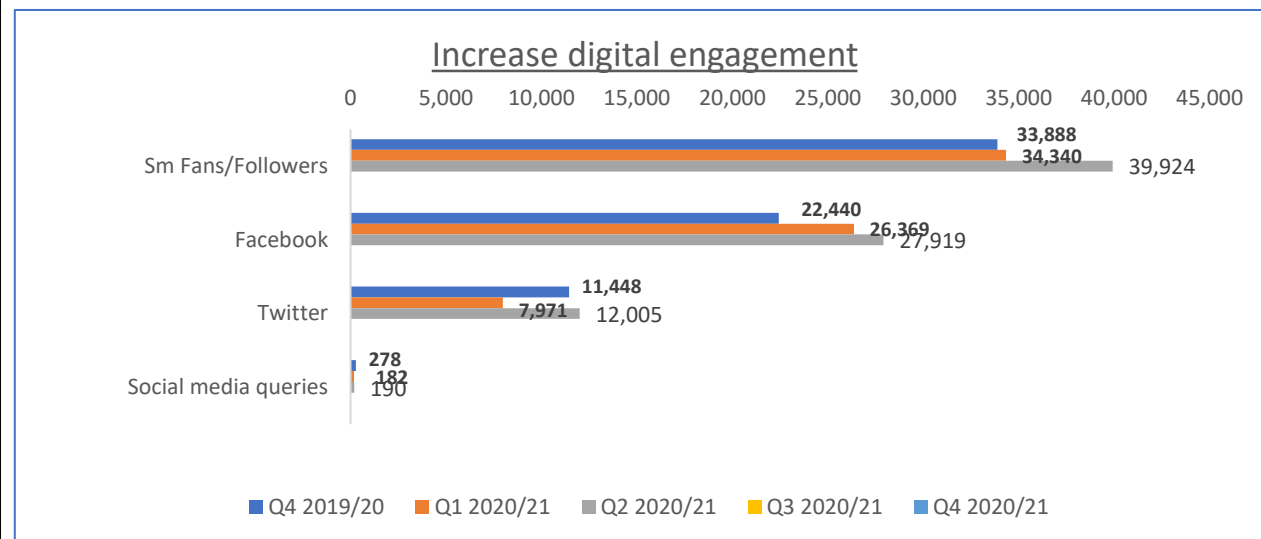
Twitter followers now number 12,005. This is a comparable figure with Q4 (2019/20) as accounts other than the corporate account (@SDDC) were not included in the Q1 figures.

There were 190 enquiries via social media (Facebook and Twitter) received – an increase of 8 on the previous quarter.

**Context behind the figures:**

- Council Tax scams
- Benefits applications/payments
- Missed bin collections
- Housing repairs
- Council Tax queries
- Environmental concerns (fly-tipping, dog-fouling, litter, trees blocking roads from storms)
- Coronavirus (COVID-19) service updates
- Business grants
- Planning applications

- To provide support and guidance to social media page managers proactively and reactively.



**Benchmarking**

Not Applicable





PRIORITY: OUR PEOPLE			
OUTCOME: P3.4 - Investing in our workforce.			
Measure and Ref	P3.4A - Increase the level of staff engagement	Committee	F&M
<b>Definition</b>	<p>Employee engagement is a combination of commitment to the organisation and its values and a willingness to help colleagues.</p> <p>Employee engagement also focuses on mutual gains in employment relationships, seeking the good of employees (well-being, job satisfaction and so on) and the good of the organisation they work for (performance, motivation, and commitment)</p>	<b>Why this is important</b>	<p>Employee engagement is a workplace approach resulting in the right conditions for all staff to give of their best each day, committed to the Council's Corporate Plan and values.</p> <p>An engaged workforce supports the achievement of our key priorities and role models the values in the Corporate Plan.</p>
<b>What good looks like</b>	<p>A year on year improvement in relation to the % of employees that indicate positive experience working for the council and positive engagement with the strategic direction of the Council.</p> <p>This measure to be based on a) the response to the annual employee survey and b) the overall number of positive responses to engagement activities.</p>	<b>Mitigating actions</b>	<p>The Workforce Strategy, the Communication Strategy and the Employee Survey as well as other channels of engagement will be used as a framework to promote and develop employee engagement.</p>
<b>History with this indicator</b>	New indicator – No recent history available		<p>National and economic factors can influence the resources and limit options available to the Council in relation to the management of the workforce.</p> <p>Measuring employee engagement is complex and intrinsically linked to the experience and environment at the time any measure is taken. Validity testing and reflection will be an important action when assessing the levels of engagement.</p>
<b>2019/20 baseline data</b>		No baseline data available.	



	Annual target	Q1 Outturn (Apr-June)	Q2 Outturn (Apr - Sept)	Q3 Outturn (Apr - Dec)	Q4 Outturn (Apr 20 - Mar 21)
2020/21	Upward trend	Report in Q4	Report in Q4	Report in Q4	
2021/22	Upward trend				
2022/23	Upward trend				
2023/24	Upward trend				
<b><u>Performance Overview</u></b> Q2 Update  The employee survey has been postponed until early 2021.The scoping of the themes/questions and testing the potential software options to create and distribute the survey as well as the analytics is taking place during Q3				<b><u>Actions to sustain or improve performance</u></b>	
<b>Benchmarking</b>					



PRIORITY: OUR PEOPLE					
OUTCOME: P3.4 - Investing in our workforce					
Measure and Ref	P3.4B - Number of apprenticeships and expenditure against the apprenticeship levy			Committee	F&M
Definition	The number of apprenticeships posts or expenditure against the apprenticeship levy is defined as the number of posts established for apprentices or where existing employees are able to access funding from the apprenticeship levy. This will be a numerical outcome showing a positive increase trend from the previous year.			Why this is important	To invest in the Council’s current and future workforce through the provision of entry level posts and access to further academic qualifications that will support succession planning and build resilience across the Council.
What good looks like	The purposes of this PI is to see an increased trend over four years leading to full expenditure of the Apprenticeship Levy for a financial year (April – March each year).			Mitigating actions	A new post will lead on this activity to provide support to all services to identify support opportunities to establish posts or provide training for existing members of staff.
History with this indicator	New Indicator  In the last financial year (April 2019 to March 2020), we spent approximately 34% of our levy funds (total input into the levy was £27479, spend was £9263.11).				The Government is planning a reform of the current arrangements to encourage more take up of the scheme and to simplify the process.  A partnership approach with other employers has been proposed and this will need to be considered as part of the overall approach.
2019/20 baseline data		1.2% (4 apprentices)			
	Annual target	Q1 Outturn (Apr-June)	Q2 Outturn (Apr - Sept)	Q3 Outturn (Apr - Dec)	Q4 Outturn (Apr 20 - Mar 21)
2020/21	>2.3% of head count	1.2% (4)	1.2% (4)		
2021/22					
2022/23					
2023/24					



<b><u>Performance Overview – quarterly update</u></b>	<b><u>Actions to sustain or improve performance</u></b>
<p>Despite the challenges of the pandemic, Customer Services have managed to hire a new apprentice (September 2020), and are looking to upskill a member of staff by placing them on the same apprenticeship pathway (awaiting approval from leadership).</p> <p>In conversations with other service areas, Covid-19 is still proving a barrier to hiring new starters due to the restrictions of homeworking and keeping staff safe. Reminders are going out in the bi-monthly L&amp;D newsletter about using the levy to upskill current staff, as well as reminding colleagues that apprentices do not necessarily have to be school leavers and thus we could facilitate more experienced members of staff starting an apprenticeship away from the offices.</p> <p>The number of apprenticeships has not moved from 1.2% and as such from April 2020 to October 2020 we have only used approximately 20% of our levy funds (£16,420 paid into the levy funds, £3,290.93 spent).</p> <p>The PDR process is nearing completion, and as such the learning pulled from this will be used to discuss possible apprenticeships with line managers who could support their employees through this. This is expected to increase apprenticeship uptake for the next quarter.</p>	<p>Using the PDR process to identify apprenticeship upskilling opportunities.</p> <p>Consistency of messages in the L&amp;D newsletter about providing apprenticeships.</p>
<b>Benchmarking</b>	



**PRIORITY: OUR PEOPLE**

**OUTCOME: P3.4 - Investing in our workforce.**

Measure and Ref	P3.4C – average number of staff days lost due to sickness			Committee	F&M														
Definition	The measure is designed to monitor the levels of employee absence from work due to ill-health. The target of eight days is in line with targets/performance nationally.			Why this is important	Reducing the number of absences will provide an indication of the health and wellbeing of the workforce and the actions being progressed by the Council to provide a supportive employment framework. It will also reduce the impact on service delivery and result in savings arising from the payment of Occupational and Statutory Sick Pay (OSP/SSP) and any secondary costs incurred to cover the absences of staff such as overtime and agency costs.														
What good looks like	To see a downward trend in the average number of working days lost per employee over four years and be in line with the rates for comparable sized district/borough Councils.																		
History with this indicator	<div>This indicator has formed part of the corporate performance indicator set for a number of years. The average figure for the past six years is shown below;</div> <table><tr><th>Year</th><th>Outturn days per employee</th></tr><tr><td>2018/19</td><td>11.38</td></tr><tr><td>2017/18</td><td>11.63</td></tr><tr><td>2016/17</td><td>9.91</td></tr><tr><td>2015/16</td><td>7.95</td></tr><tr><td>2014/15</td><td>9.99</td></tr><tr><td>2013/14</td><td>12.28</td></tr></table>			Year	Outturn days per employee	2018/19	11.38	2017/18	11.63	2016/17	9.91	2015/16	7.95	2014/15	9.99	2013/14	12.28	Mitigating actions	<div>A joint working group of employer and employee representatives had been established to identify actions and other interventions that will improving the levels of attendance at work.</div> <div>The Council has changed its Attendance Management Procedure with a review of the impact of this to be completed jointly with the Trade Unions 2020</div>
				Year	Outturn days per employee														
				2018/19	11.38														
				2017/18	11.63														
				2016/17	9.91														
				2015/16	7.95														
				2014/15	9.99														
				2013/14	12.28														
2019/20 baseline data		10.65 days																	
	Annual target	Q1 Outturn (Apr-June)	Q2 Outturn (Apr - Sept)	Q3 Outturn (Apr - Dec)	Q4 Outturn (Apr 20 - Mar 21)														
2020/21	Downward trend	3.68	4.34																



2021/22	Downward trend				
2022/23	Downward trend				
2023/24	Downward trend				
<b>Performance Overview – quarterly update</b>			<b>Actions to sustain or improve performance</b>		
<p>The outturn figure is higher than the previous month. There have been an increasing number of employees that have been on extended periods of absence due to a range of serious and long-term health conditions. These are all being managed in line with the AMP and each case has a dedicated HR Officer supporting the manager.</p> <p>Long term absences currently account for approximately 80% of all absences and have a significant impact on our levels of performance.</p> <p>The impact of the COVID pandemic on attendance figures is kept under review. There have only been a very limited number of absences directly linked to coronavirus.</p>			<p>With the support provided by HR, the number of employees on long term absence has been reduced to 13 from 20. It is expected that the remaining cases of long-term absences will have a clear timeframe set to resolve the matter by the end of this calendar year (qtr. 3) where possible.</p> <p>Leadership Team have been presented with a range of options that could be taken to address the high levels of employee absence. These are under consideration and actions will be commenced during quarter 3. This will include formal consultation with the Trades Unions.</p> <p>A review of short-term absences cases over the past two years has also been completed and actions will continue to be progressed in line with the Attendance Management Procedure (AMP).</p> <p>Training is provided in stress awareness and mental health along with a range of supporting materials made available for managers and employees. Training is also provided in managing absences from work for managers and supervisors with a new course on Building your resilience to provide further support for managers.</p> <p>Health and wellbeing interventions will also continue to be made available to staff. This will include the continued promotion of support for mental health conditions through training, videos and materials; raising awareness of the importance of physical health and reminding all employees to seek support should they need it.</p> <p>Additional on-site Occupational Health clinics or referrals will also be made to provide professional, independent medical advice on any cases before decisions are taken on the employees continued employment.</p>		

**average number of staff days lost due to sickness**

Period	2018-19	2019-20	2020-21
Quarter 1	0	0	3.68
Quarter 2	0	0	4.34
Quarter 3	0	0	0
Quarter 4	0	3.58	0
Cumulative	11.38	10.65	0



<b>Benchmarking</b>	Arrangements are being progressed to benchmark with comparable organisations within the region via East Midlands Councils



PRIORITY: OUR PEOPLE					
OUTCOME: P3.4 - Investing in our workforce.					
Measure and Ref	P3.4D - % of employees that consider the Council has a positive health and safety culture			Committee	F&M
Definition	The number of employees that have indicated that the Council has a positive approach to the management of health and safety in the workplace. This will be taken from the annual employee survey and will be expressed as a % of the overall responses.			Why this is important	The Council has statutory duties under the Health and Safety at Work Act 1974 to ensure the health and safety of the workforce. This measure will indicate how well the statutory duties and other non-statutory activities are being implemented.
What good looks like	The purpose of this PI is to see an increased trend over four years to indicate the robustness of the Council's Health and Safety Management Framework. Retention of industry recognition of the health and safety management framework – RoSPA Health and Safety Awards.				
History with this indicator	New indicator – No previous history available			Mitigating actions	A full-time resource will lead on this work from 1 <sup>st</sup> February 2020 and will support all services areas to keep under review and develop their local arrangements in relation to health and safety.  The corporate health and safety management framework will be used to govern compliance with and improvements to any current or new interventions.
2019/20 baseline data		New indicator – No data available			
	Annual target	Q1 Outturn (Apr-June)	Q2 Outturn (Apr - Sept)	Q3 Outturn (Apr - Dec)	Q4 Outturn (Apr 20 - Mar 21)
2020/21	Upward trend	Annual indicator	Annual Indicator		
2021/22	Upward trend				
2022/23	Upward trend				
2023/24	Upward trend				





<b><u>Performance Overview – quarterly update</u></b>	<b><u>Actions to sustain or improve performance</u></b>
<p>A project team has been set up through the Transformational Steering Group. Work has taken place to explore internal and external software/providers and resources required to coordinate an employee survey.</p> <p>The employee survey has been postponed until early 2021</p> <p>The scoping the themes/questions and testing the potential software options to create and distribute the survey as well as the analytics is taking place during Q3</p>	
<b>Benchmarking</b>	



PRIORITY: OUR FUTURE					
OUTCOME: F1.1 Attract and retain skilled jobs in the District					
Measure and Ref	F1.1A- Increase the number of Employee Jobs in South Derbyshire	Committee	F&M		
Definition	Working in partnership, to successfully implement a programme of actions as set out within a new Economic Development Strategy for South Derbyshire.	Why this is important	The District's economy has performed strongly in recent years - with a rapidly growing population it will be important to sustain this and provide a range of local employment opportunities.		
What good looks like	The aim is to increase the number of Employee Jobs in South Derbyshire over the four-year period of the Corporate Plan.				
History with this indicator	South Derbyshire has enjoyed low levels of unemployment in recent years. Data for employment is taken from the Office of National Statistics (ONS) Business Register and Employment Survey. BRES is based on a sample survey so estimates are subject to sampling errors which need to be taken into account when interpreting the data. Employee jobs excludes self-employed, government-supported trainees and HM Forces. Data excludes farm-based agriculture. In 2018, there were 32,000 Employee Jobs in South Derbyshire, having grown from 30,000 in 2015.	Mitigating actions	The Council is working with partners from the public, private and voluntary/community sectors to develop and implement a new Economic Development Strategy.		
2019/20 baseline data		N/A			
	Annual target	Q1 Outturn (Apr-June)	Q2 Outturn (Apr - Sept)	Q3 Outturn (Apr - Dec)	Q4 Outturn (Apr 20 - Mar 21)
2020/21	25% (implementation of the actions contained within the plan)	Report in Q4	Report in Q4	Report in Q4	Implement Actions
2021/22	25%				Implement Actions



2022/23	25%				Implement Actions
2023/24	100%				Implement Actions
<b><u>Performance Overview – quarterly update</u></b>  <p>Q1 - The current Economic Strategy is due to come to end in 2020. The development of the new Economic Strategy has been significantly impacted upon due to Covid-19. The team has been focused on the Covid response activities including, the distribution of grants to smaller businesses. Therefore, the new Economic Development Strategy has been put on hold for review.</p> <p>The Coronavirus pandemic has led to a rise in unemployment from 1,130 (1.7%) in Feb 2020 to 2,775 (4.2%) in Jul 2020 (+2.5%). This compares with +3.5% nationally.</p> <p>Q2 – Following the conclusion of the Covid grant schemes in September, development of the new Economic Development Strategy got underway.</p>					<b><u>Actions to sustain or improve performance</u></b>  <b>Suggested District Council measures to sustain or improve performance</b>  <p>Number of candidates recruited at Job Opportunities Days within the Travel To Work Area (Swadlincote and Burton)</p> <p><i>DRAFT – Following is awaiting discussion with Planning</i></p> <p>Breakdown of annual net growth in commercial floor space (square metres) by use category</p> <ul style="list-style-type: none"> <li>- help stimulate increased employee job numbers as well as higher skills?</li> </ul> <p>A2. Financial and professional services  A3. Food and drink  B1. Business  B2. Manufacturing  B3 to B7. Special industrial  B8. Storage or distribution  C1. Hotels  Etc</p>



	<p>Seek to negotiate commitments from developers to provide employment and training opportunities within construction linked to larger new developments</p> <p>Number of employee jobs created in relation to housing developments</p>
<p><b><u>Benchmarking</u></b></p> <p><b>Increase the number of Employee Jobs in South Derbyshire</b></p> <p>See table below.</p>	



Baseline 2019/2020			Q1	Q2	Q3
Employee Jobs	32,000	Numbers SD% EM%	32,000 (as at 2018)		
Economically Active in employment (16-64)	58,200 89.2 76	Numbers SD% EM%	59,400 (as at 2020) 90.6 70.7		
Employment by Occupation Sept 2019					
Soc 2010 Major Group 1-3 (Professional, managers and technical)	27,100 46.6 42.4	Numbers SD% EM%	29,400 (as at 2020) 50.8 43		
Soc 2010 Major Group 4-5 (Administration, skilled and trade)	16,600 28.5 21.6	Numbers SD% EM%	12,900 (as at 2020) 22.3 21.2		
Soc 2010 Major Group 8 (Process plant and machine ops)	4,600 7.9 8.1	Numbers SD% EM%	4,200 (as at 2020) 7.2 8.4		
Unemployment rate % Mar 2020	1,125 1.7 2.7	Numbers SD% EM%	2,780 (as at March 2020) 4.2 5.6		



PRIORITY: OUR FUTURE					
OUTCOME: F2.1 - Encourage and support business development and new investment in the District					
Measure and Ref	F2.1A- Annual net growth in commercial floorspace (sqm)			Committee	F&M
Definition	Data collected for the Council’s annual Authority Monitoring Report, includes the monitoring of commercial floorspace within South Derbyshire.			Why this is important	There is very little vacant commercial floorspace in South Derbyshire, consequently the provision of additional commercial floorspace is closely related to the availability of additional employment opportunities.
What good looks like	The aim is to increase the total commercial floorspace over the four-year period of the Corporate Plan.				
History with this indicator	The Local Plan forecasts a net annual growth in commercial floorspace of 12,269.5 sqm per annum between 2008 and 2028. To date (2008-2020), the actual annual net rate of growth has been 6,258 sqm. It should be noted that the figures vary significantly from one year to the next and that single events, such as the loss of Hilton Depot, can heavily offset new construction.			Mitigating actions	The Council actively promotes development opportunities and vacant premises, and supports developers and businesses seeking to invest in the area.
2019/20 baseline data		2,885 sqm			
	Annual target	Q1 Outturn (Apr-June)	Q2 Outturn (Apr - Sept)	Q3 Outturn (Apr - Dec)	Q4 Outturn (Apr 20 - Mar 21)
2020/21	Upward Trend				
2021/22	Upward Trend				
2022/23	Upward Trend				
2023/24	Upward Trend				
<b><u>Performance Overview – quarterly update</u></b>				<b><u>Actions to sustain or improve performance</u></b>	
This is an annual performance indicator and data will be collated and presented in Q4.					
<b>Benchmarking</b>					



PRIORITY: OUR FUTURE					
OUTCOME: F2.1 Encourage and support business development and new investment in the District					
Measure and Ref	F2.1B - Total rateable value of businesses in the district			Committee	F&M
Definition	Total rateable value of businesses in the district.			Why this is important	The total rateable value of businesses in the District is a good indication of the economic health of the district. An increase in floor space can indicate a growth in business numbers and employment opportunities.
What good looks like	A growth in rateable value, including a growth in sectors such as commercial (e.g. offices, shops, warehouses, restaurants) where there is a higher intensity of jobs per business.				
History with this indicator	The total rateable value of businesses across the District has been increasing year on year, particularly in the commercial sector with an overall increase of almost £345k since April 2017. It should be noted that events, such as the demolition of a business premises or its redevelopment for housing will offset new development.			Mitigating actions	The Council encourage new businesses into the District through its inward investment programme. The Council also carries out regular checks across the District to identify businesses that are not appropriate valued and ensure they are appropriately listed.
2019/20 baseline data		Q4 - £67,486,786. Quarterly reports can be provided from the Council’s revenues and benefits system that defines the total rateable value of different categories of business (commercial, industrial etc) and further breakdowns of the sectors (for example commercial).			
	Annual target	Q1 Outturn (Apr-June)	Q2 Outturn (Apr - Sept)	Q3 Outturn (Apr - Dec)	Q4 Outturn (Apr 20 - Mar 21)
2020/21	Upward Trend	£67,528,690	£67,316,577		
2021/22	Upward Trend				
2022/23	Upward Trend				
2023/24	Upward Trend				



<b><u>Performance Overview – quarterly update</u></b>	<b><u>Actions to sustain or improve performance</u></b>
<p>Q2 – Outturn £67,316,577</p> <p>Total Rateable Value had fallen (NB. This is the total Rateable Value of premises rather than the income received through the collection of Business Rates):</p> <p>As a result of a successful challenge of cashpoints being incorporated into the Rating List all the cashpoints that were in the Rating List have now been removed causing the RV to reduce by over £100k alone there has also been a review of doctors and medical surgeries which has also contributed to the overall reduction in Rateable Value compared to Q1.</p>	<p>The inclusion (or not) in the Ratings List of cashpoints, along with the review of the listing of surgeries, are changes to national regulations and not something that the Council can influence or react to locally.</p>
<b>Benchmarking</b>	





PRIORITY: OUR FUTURE				
OUTCOME: F3.1 - Provide modern ways of working that support the Council to deliver services to meet changing needs.				
Measure and Ref	F3.1A- Deliver against the Transformation Action Plan		Committee	F&M
Project detail	<p>The Council is committed to improving outcomes and outputs for its stakeholders as is evident in the Corporate Plan.</p> <p>In order to deliver services to meet the needs of the organisation, the Council needs a robust plan to identify areas of improvement, evaluate and benchmark a target operating model and map a route to achieving our ambitions.</p> <p>Each year the Head of Business Change, ICT &amp; Digital will present a workplan for adoption, outlining projects, milestones and resources needed to achieve the objectives set by the Corporate Plan.</p>		Why this is important	The Transformation Plan provides a focal point for evaluating conflicting priorities, allocating resources, escalating problem and above all else, manage core programmes of work by documenting progress.
			Mitigating actions	The proposed Transformation Plan was published for consideration at Committee on 18 March as planned. Due to the lockdown associated with the Coronavirus situation, the Committee's business was deferred to a future date. It is now expected that the Plan will be considered by the Committee in June. It is not anticipated that this delay will have a significant impact on the overall achievement of the priority given the medium-term timeframe for delivering the associated outcomes.
Project Action Plan	Q1 Outturn (Apr-June)	Q2 Outturn (Jul - Sept)	Q3 Outturn (Oct - Dec)	Q4 Outturn (Apr 20 - Mar 21)
2020/21				



<p><b><u>Project Overview: Quarterly update</u></b></p> <p>All projects on track and have enjoyed some focused attention and a few large projects in particular have had major milestones reached. The business case and approval for the upgrade to Agresso has been signed off as well as the delivery approach to CRM. Soft market testing has commenced on a CRM solution and a business case will be presented for approval after a suitable procurement route is identified. Route optimisation business case have also been completed and work will take place to identify a Transformation fund.</p>	<p><b><u>Actions to sustain or improve performance</u></b></p> <p>The Transformation Steering Group meets every 6 weeks, each project group, of which there are 20, meet approximate every two weeks.</p> <p>Every group has a highlight report to report back the theme chair on work completed over period and work to be completed over net period.</p> <p>Any risk, actions, issues or decisions that are not within the identified scope and tolerance of the project controls will be escalated to the TSG.</p>
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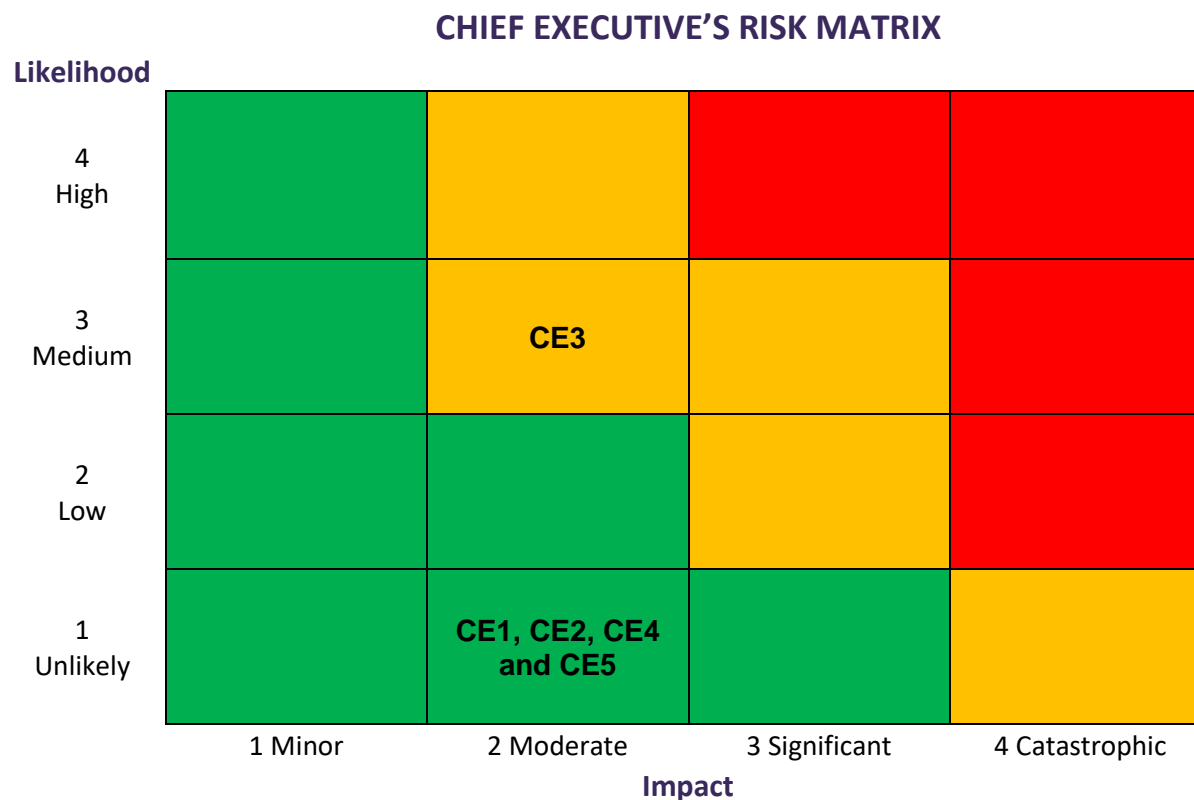
PRIORITY: OUR FUTURE				
OUTCOME: F3.2 - Source appropriate commercial investment opportunities for the Council				
Measure and Ref	F3.2A- Develop our approach towards the commercialisation of services which include grants, sponsorship, fees and charges and operating models and increase the income generated from these activities		Committee	F&M
Project detail	Year 1 to form a working group and define the action plan Year 2 to 4 deliver 100% against the action plan and sustain an upward trend in income generation		Why this is important	As funding shrinks exploring new ways to maximise our income is essential, in order to protect valuable frontline services and ensure positive outcomes for our local communities.
			Mitigating actions	Using Council assets wisely, trading services with others across the public and private sectors and selling commodities to generate income.
Project Action Plan	Q1 Outturn (Apr-June)	Q2 Outturn (Apr - Sept)	Q3 Outturn (Apr - Dec)	Q4 Outturn (Apr 20 - Mar 21)
2020/21				
<b><u>Project Overview: quarterly update</u></b>  Discussions have taken place between Operational Services and Business Transformation. A Head of Service focus group to be arranged in Q2  <b>Annual action plan detail</b>  The baseline data for this project will be collated during 2020-21 following the development of the action plan.  Commercial opportunities that are live will be captured and reported in Q2.			<b><u>Actions to sustain or improve performance</u></b>  To be developed.	



# CHIEF EXECUTIVE'S RISK REGISTER (AS AT Q2 2020/21)

Appendix C

Risk	Rating and Current Position	Risk Treatment	Mitigating Actions	Change since last Quarter	Risk Owner
CE1. Failure of economic development partnerships leading to an adverse impact on businesses and local economy.	Likelihood is unlikely and impact is moderate.	Tolerate the current situation and keep under review.	<ul style="list-style-type: none"> <li>Proactive engagement in partnerships and with individual partners.</li> <li>Commitment of officer time and resources to partnership activities. <ul style="list-style-type: none"> <li>Monitoring of projects and performance.</li> </ul> </li> </ul>	No change to rating or mitigating actions	Economic Development and Growth
CE2. Failure of the South Derbyshire Partnership, leading to non-delivery of the community's vision and priorities set out in the Community Strategy	Likelihood is unlikely and impact is moderate.	Treat the risk through continuous action and review.	<ul style="list-style-type: none"> <li>Proactive support for partnership.</li> <li>Commitment of officer time and resources to partnership facilitation.</li> <li>Engagement of partners in policy making and project design and delivery.</li> </ul>	No change to rating or mitigating actions	Economic Development and Growth
CE3. Failure of Sharpe's Pottery Heritage & Arts Trust, leading to a loss of service to visitors and residents through the Tourist Information Centre.	Likelihood is medium and impact is moderate.	Treat the risk through continuous action and review.	<ul style="list-style-type: none"> <li>Officer advice and support available to Trust.</li> <li>Member involvement in Trust Board.</li> <li>Monitoring of services and performance, including Service Level Agreement and Work Programme.</li> </ul>	No change to rating or mitigating actions.	Economic Development and Growth
CE4. Poor quality performance data.	Likelihood is unlikely and impact is moderate.	Treat the risk through continuous action and review.	<ul style="list-style-type: none"> <li>Reviewed quarterly as part of the performance reporting process.</li> <li>Methodology statements compiled and continually monitored and updated.</li> <li>Annual data quality audit undertaken.</li> </ul>	No change to rating or mitigating actions.	Organisational Development and Performance
CE5. Failure of joined up Council approach to effectively manage the election process and canvassing.	Likelihood is unlikely and impact is moderate	Treat the risk through continuous action and review.	<ul style="list-style-type: none"> <li>Elections Project Team in place and meets as necessary with representatives from all services involved.</li> <li>Arrangements in place for an Election to be called at short notice.</li> <li>Arrangements in place for</li> </ul>	No change to rating or mitigating actions.	Legal and Democratic Services



CE1 Failure of economic development partnerships leading to an adverse impact on businesses and the local economy.

CE2 Failure of the South Derbyshire Partnership, leading to non-delivery of the community's vision and priorities set out in the Community Strategy

CE3 Failure of Sharpe's Pottery Heritage & Arts Trust, leading to a loss of service to visitors and residents through the Tourist Information Centre.

CE4. Poor quality performance data.

CE5. Failure of joined up Council approach to effectively manage the election process.

# CORPORATE RESOURCES RISK REGISTER (AS AT Q2 2020/21)

Appendix D

Risk	Rating and Current Position	Risk Treatment	Mitigating Actions	Change since last quarter	Risk Owner
<p><b>1 Universal Credit (UC)</b> – the implementation of UC could have an impact on resources in Benefits and Customer Services.</p> <p>Housing Benefit is administered by the Council on behalf of the DWP and is one of the six benefits being rolled up into UC.</p>	<p>UC is being rolled out on a phased basis for working age claimants. During 2019/20, this started to have a much bigger impact with claims for HB reducing by over 30%. However, the overall volume of work has broadly stayed the same as changes in UC are impacting on the Council's Council Tax Reduction Scheme (CTRS).</p> <p>More recently, the impact of Covid-19 has increased claims under the CTRS.</p>	<p>Treat the risk through continuous action and review.</p>	<ul style="list-style-type: none"> <li>Greater automation is currently being progressed to process change of circumstances.</li> <li>The Local Council Tax Reduction Scheme is being redesigned to make it easier to understand and administer. Proposals for a new scheme, in principle, were originally planned for June 2020. However, due to Covid-19, this has been delayed until next year.</li> <li>Where spare capacity arises, off-site support, which is used to deal with peaks in workload, will be transferred in-house to utilise spare capacity.</li> <li>When future vacancies arise, these will be reviewed in the light of the longer-term position.</li> </ul>	<p>No change to rating or mitigating actions.</p>	<p>Customer Services</p>
<p><b>2 Fraudulent activities</b> – the possibility of fraud being undetected.</p>	<p>National studies show fraud leads to a significant loss of resources within the Public Sector as a whole. The likelihood is considered high because fraud has been detected and prevented locally.</p> <p>In addition, authorities are being asked to be extra vigilant due to the</p>	<p>Treat the risk through continuous action and review.</p>	<p>Public agencies such as the DWP and HMRC increasingly share data with local authorities on a real time basis. This allows compliance checks to take place to spot and eliminate the potential for fraud and error in a timely manner.</p> <p>The Council works in partnership with another Derbyshire authority to share a software package that enables data matching in Council Tax and Business Rates.</p> <p>Single Person Discount checks on Council Tax are also regularly undertaken.</p>	<p>No change to rating or mitigating actions.</p>	<p>Customer Services</p>

	potential for fraud to increase during Covid-19.		<p>In addition, the Council has a Shared Service Arrangement with Derby City Council which delivers a dedicated Fraud Unit. This Unit is resourced to prevent and detect fraud across all services, including raising awareness amongst Council Officers.</p> <p>The Fraud Unit have an annual work programme which is considered and approved by the Audit Sub-Committee. Outcomes are also reported to the Audit Committee.</p>		
3 The Directorate is responsible for providing a procurement service. Given the specialised and regulatory nature, there is a risk of not having resources to enable good quality advice and support for Services.	The Council does not have its own procurement department but currently has access to support and advice, so the likelihood is considered low.	Treat the risk through continuous action and review	<p>The Council is part of a Shared Service Arrangement with other Derbyshire Agencies. The Service commenced in January 2018 for an initial three-year period and operates under a Service Level Agreement.</p>	No change to rating or mitigating actions.	Corporate Resources, Strategic Director
4 <b>Data Quality and Performance Management</b>	Quality of Performance Data	Treat the risk through continuous action and review	<p>This risk is linked to the Strategic Risk Register as part “<i>Technology and Data</i>” – keeping pace with developments together with the management and security of data.</p> <p>Following the Data Quality and Performance Management audit undertaken in September 2019 four recommendations have been actioned. Deadlines for the remaining three actions have been agreed with internal audit to align them with similar projects which are due to be delivered during 2020.</p>	No change to rating or mitigating actions.	Organisational Development and Performance
5 <b>Ensuring public buildings are safe and have adequate repair budgets to</b>	Budgets are allocated for the repair of all public buildings, with the budget provisions	Treat the risk through continuous action and	<p>Condition surveys are being undertaken with a view to preparing a planned maintenance programme and comparing estimated costs against available budgets.</p>	No change to rating or mitigating actions.	Corporate Property

ensure they remain fit for purpose.	<p>based on historical repair expenditure. The adequacy of these budgets will need to be assessed on completion of the planned maintenance programme.</p> <p>Covid-19 risk assessments have been undertaken for the Civic Offices, depot and community buildings to ensure adequate safety measures are implemented, with public access being controlled and restricted.</p>	review.	The safety measures identified within the Covid-19 risk assessments will be implemented before any closed Council building is re-opened to the public.		
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## CORPORATE RESOURCES RISK MATRIX

### Likelihood

4 High		<b>Universal Credit (1) Fraudulent Activity (2) Public Buildings (5)</b>		
3 Medium		<b>Performance Data (4)</b>		
2 Low		<b>Procurement (3)</b>		
1 Unlikely				
	1 Minor	2 Moderate	3 Significant	4 Catastrophic

**Impact**

1 Universal Credit

The implementation of Universal Credit could have an impact on resources in Benefits and Customer Services

2 Fraudulent Activity

The possibility of fraud being undetected in Revenues, Benefits and Housing, etc

3 Procurement.

The possibility of having limited access to good quality support and advice

4 Data Quality & Performance

Quality of Performance Data

5 Public Buildings

Ensuring public buildings are safe and have adequate repair budgets to ensure they remain fit for purpose

# STRATEGIC RISK REGISTER (UPDATED AS AT Q2 2020/21)

Appendix E

Risk	Rating and Current Position	Risk Treatment	Mitigating Actions	Change since last Quarter
<p><b>1 Government Funding</b> - a reduction in core funding.</p> <p>As a growth area, the Council's proportion of core funding is heavily reliant on the New Homes Bonus (NHB) and Business Rates.</p> <p>This makes it potentially vulnerable from changes to the current distribution system relative to other authorities who still receive Revenue Support Grant. This is a potential weakness highlighted in the Council's Financial Resilience Index.</p>	<p>Overall income has been increasing in recent years from the NHB and Business Rates growth. There has been uncertainty for some time regarding the replacement for the NHB and future changes to the Retention of Business Rates, which could disadvantage the Council relative to other authorities.</p> <p>The Government have delayed implementing outcomes from their Fair Funding Review until 2022/23. In the meantime, the Council awaits the Settlement for 2021/22.</p> <p>In addition, there may be a longer-term impact of the current Covid-19 pandemic on the level and distribution of resources for local government.</p>	<p>Treat the risk through continuous review and action where needed.</p>	<p><b>Financial Planning</b></p> <p>The Council plans its finances over five years for the General Fund and 10 years for the Housing Revenue Account. Its financial target of achieving a minimum level of contingency balance on a rolling five-year basis allows for a planned and timely approach to address any financial difficulties.</p> <p>The Medium-Term Financial Plan (MTFP) is regularly reviewed, updated and reported to the Finance Committee on a quarterly basis.</p> <p><b>Current Financial Position</b></p> <p>Overall, the General Fund shows a healthy position due to its current level of reserves.</p> <p>The medium-term forecast indicates an increasing deficit in future years although this is a worst-case scenario as it forecasts increasing expenditure to meet the population growth, but a reduction in income. Projected budget deficits could be financed from reserves if required.</p> <p>The impact of Covid-19 on the short term (2020/21) financial position is being kept under review and it is currently anticipated that temporary increases in expenditure and loss of income can be met from additional Government funding received. The position is being kept under review and reported to the Finance Committee on a quarterly basis.</p>	<p>No changes to the risk rating.</p> <p>The risk is red due to the high likelihood of some change occurring which could have a significant impact.</p> <p>However, the situation is not critical at this stage.</p> <p>Updated mitigating actions.</p>

<p><b>2 The Economy</b> - the impact of the national economic situation locally.</p> <p>Any negative effects could be disproportionate for the District as a significant growth area.</p>	<p>Prior to Covid-19, the local economy had been relatively strong and growing. This has slowed down.</p> <p>The impact of the current Covid-19 pandemic could have a longer-term impact on the Council's core income as residents and businesses may face difficulties in paying Council Tax, Business Rates and Rent. It could also result in a recession in the local economy.</p> <p>In addition, the introduction of negative interest rates by the Bank of England, which is currently being considered, could mean that the Council will have to pay to have its cash and reserves on deposit.</p>	<p>Treat the risk through continuous review and action where needed.</p>	<p><b>Support for Local Businesses</b></p> <p>The Government has provided various funding and support for local businesses and residents to help them overcome the impact of Covid-19.</p> <p><b>Regeneration</b></p> <p>In addition, major residential development has largely continued and following an initial downturn in planning applications in April 2020, they have since shown a strong and sustained upward turn. In addition, the sale of the Council's former Depot Site for redevelopment has been completed and work commenced.</p> <p>The Finance and Management Committee approved a new capital investment programme of approximately £4 million on 8 October 2020 which will provide resources for regeneration and community projects.</p> <p><b>Treasury Management</b></p> <p>The MTFP is not reliant on interest rates increasing from the current level to generate revenue on its reserves and balances. Any increase would be a direct benefit to the Budget.</p> <p>However, the Council's Lending Policy is currently under review to mitigate the risk of negative interest rates should they be implemented.</p> <p>Apart from debt associated with its Council Housing, the Council is debt free. Regarding the debt, a significant amount is at fixed interest rates and is affordable within the Housing Revenue Account's financial plan. The interest rate associated with a smaller proportion of variable rate debt, is below that budgeted.</p>	<p>No changes to the risk rating.</p> <p>The risk is red due to the high likelihood of some change occurring which could have a significant impact.</p> <p>However, the situation is not critical at this stage.</p> <p>Updated mitigating actions.</p>
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<p><b>3a Technology and Data</b> - keeping pace with developments in IT, together with the management and security of data.</p>	<p>There is a potential for digital and technology opportunities to be missed with the Council operating unsupported systems which pose a greater security risk.</p> <p>There is also the potential for reputational damage, together with possible fines, should a data breach occur.</p>	<p>Treat the risk through continuous review and action where needed.</p> <p>Some aspects of this risk can be transferred as insurance cover is in place for the replacement or restoration of data.</p>	<p><b>IT Upgrades and Development</b></p> <p>The Council has an ICT replacement programme in place which directs hardware and corporate infrastructure upgrades. This is resourced through provision in the IT base budget, together with an IT Asset Replacement Reserve. New laptops, smartphones and an upgrade to Microsoft 365 has been completed in 2020.</p> <p><b>Security of Systems</b></p> <p>The Council is currently compliant with the Government's Public Services Network requirements. Regular Internal Audit Reviews test the robustness of systems and the infrastructure with recommendations to strengthen the ICT environment being reported to and monitored by the Audit Sub-Committee.</p> <p>Due to potential virus attacks, measures are in place to restrict Internet access and to control the use of mobile devices.</p> <p><b>Security of Data</b></p> <p>Regular briefings and guidance documents are issued to raise awareness of data and security issues. An E-learning package is completed annually by all Officers with access to Council systems and equipment.</p> <p>The Council's Data Protection Officer reports directly to the Leadership Team on matters concerning Information Governance.</p> <p>The Council is currently reviewing its Payment Card Industry (PCI) compliance to overcome some potential weaknesses in handling card payments by telephone. An external agency is currently supporting the Council through this process. The implementation of actions to strengthen security and the safeguarding of data are being monitored by the Audit Sub-Committee.</p>	<p>No changes to the risk rating.</p> <p>Updated mitigating actions.</p>
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3b <b>Technology and Data</b> – quality of performance data.	If this is not robust and meaningful, it could lead to misreporting and incorrect decision making.	Treat the risk through continuous review and action where needed.	Implementation of the recommendations made within the Data Quality and Performance Management Audit undertaken in September 2019.  Undertake an annual quality audit if deemed necessary, performed by officers or Internal Audit.	No change
4 <b>Business Continuity</b> - arising from the loss of the main Civic Offices, Depot, ICT capability, together with a major displacement of the workforce, a flu pandemic or a fuel shortage, etc.	Previously, the impact of Brexit had been an issue, but as the UK has now left subject to a negotiated deal, this risk has been downgraded for the time being.  This situation continues to be kept under review pending a trade deal being negotiated with the EU.  <b>However, the live issue is now the impact of Covid-19.</b>	Treat the risk through continuous review and action where needed.  Some aspects of this risk can be transferred as business interruption cover is in place as part of the Council's Property Insurance Policy.	Business Continuity and Emergency Plans are in place and regularly reviewed in accordance with the Civil Contingencies Act. The Council buys in support from Derbyshire County Council to ensure that the Council's plans remain up to date.  Provision for home-working and remote access is in place.  <b>As regards Covid-19, the Council is working to its Business Continuity Plan to ensure essential services are continued. This is being undertaken within national guidelines and in conjunction with other agencies in Derbyshire. Guidance is being provided to staff and the public regarding on-going services and to help protect health and well-being.</b>	The risk rating has not increased from Amber as the Council's Business Continuity arrangements have generally worked and allowed services, which have been allowed to operate by the Government, continuing to do so.  However, this is being kept under review.
5 <b>Capacity and Resilience</b> - recruitment, retention and development of the workforce and dealing with additional demand for services due to Growth.	Resources set-aside in the MTFP in growth provisions and training budgets to expand service provision and develop the workforce.	Treat the risk through continuous review and action where needed.	Since 2018, several major services across the Council have been restructured to strengthen service provision and improve capacity. Proposed restructures in Operational Services and Housing are being considered by the Finance and Management Committee on 8 October to increase capacity and resilience. A restructure of the Council's Senior Management was implemented on 1 April 2019. The aim of the new structure was to create resilience in service provision with the creation of new Head of Service posts, including a new post to focus on Organisational Development. The management restructure also combined resources to create centralised Business Change and Policy teams to support business transformation across the Council.	No changes to the risk rating.  Updated mitigating actions.

<p><b>6 Voluntary and Community Sector</b> - a reduction in resources for partners who deliver services with or on behalf of the Council.</p>	<p>Evidence that this is occurring with CVS and Citizens Advice having core funding reduced in recent years.</p>	<p>Tolerate the current situation and keep under review.</p>	<p>It is considered that the Council is undertaking as much action as is reasonably possible at this stage to mitigate the risk.</p> <p>The Council's current grant funding has been maintained and been increased in 2020/21 by 2% for all supported organisations.</p> <p>Spending can be refocused to meet external funding requirements and is project-based.</p> <p>The Council employs a dedicated Community Partnership Officer to support the voluntary sector and local organisations.</p> <p>Capacity in the sector is being tested in the light of Covid-19 and the Council is working to support the relevant organisations.</p>	<p>No changes to the risk rating.</p> <p>Updated mitigating actions.</p>
<p><b>7 Terrorism and potentially violent situations</b> – as a public body there is a potential for the Council and its workforce to become a target.</p>	<p>From time to time, members of the workforce do face individual threats while undertaking their duties.</p>	<p>Treat the risk through continuous review and action where needed.</p> <p>Some aspects of this risk can be transferred as the Council has a Terrorism Insurance Policy in place.</p>	<p>Lone working systems in place including a 'Solo-Protect' warning and call for assistance system.</p> <p>A Potentially Violent Persons Policy and Risk Register are in place.</p> <p>Alarms and warning system in place in the Civic Offices.</p>	<p>No change</p>
<p><b>8 Statute and Regulation</b> – the failure to meet requirements.</p>	<p>There is no recent evidence to suggest any significant issues; the impact would depend on the nature of the failure.</p>	<p>Treat the risk through continuous review and action where needed.</p>	<p>This applies to many Council services. In general, the necessary skills and resources are in place to ensure that the Council meets its statutory duties. In addition, the Council's Constitution, policies and procedures aim to support strategic and regulatory delivery.</p>	<p>No changes to the risk rating.</p> <p>Updated mitigating actions.</p>

			<b>Note:</b> Some aspects of this risk can be transferred as the Council has insurance cover in place. If the failure rises due to an action of an employee during the normal course of their duties, it is covered under the Official Indemnity (accidental or negligent act) or Professional Indemnity (breach of professional duty) Policies.	
9. <b>Health and Safety</b> – the potential to contravene regulations through bad practice.	Due to the continuing focus given to Health and Safety, the likelihood of a major incident is low, but the impact could be significant.	Treat the risk through continuous review and action where needed.	<p>The Council employs a corporate Health and Safety Officer.</p> <p>An on-going training programme is in place for all staff and for parts of the workforce where there is a greater risk of an accident.</p> <p>Accidents and near misses are logged, reported and reviewed corporately and any major incidents are investigated to review procedures.</p> <p>Risk assessments are regularly undertaken, and procedures updated when necessary.</p>	No change
10. Managing the environmental impact of incidents across the District.	This risk concerns incidents arising directly from actions by the Council in the provision of its services. For example, an oil spill which contaminates land or water courses, or the production of high carbon emissions adding to air pollution.	Treat the risk through continuous review and action where needed.	<p>The Council has plans in place through Emergency Planning to manage the environmental impact of any incidents across the District.</p> <p>The Council is accredited to the prestigious international ISO 14001 standard for Environmental Management.</p> <p>The Council has also declared a “Climate Emergency” and has a Corporate Steering Group to oversee an action plan to reduce the Council’s carbon footprint and become carbon neutral as an organisation by 2030.</p>	No change



Likelihood	4 High		<b>Business Continuity (4)</b> <b>Funding for the Voluntary Sector (6)</b>	<b>Core Funding (1)</b> <b>The Economy (2)</b>	
	3 Medium		<b>Technology and Data (3a)</b> <b>Performance Data (3b)</b>		
	2 Low		<b>Capacity and Resilience (5)</b> <b>Statute and Regulation (8)</b>	<b>Health and Safety (9)</b> <b>Environmental Impact (10)</b>	
	1 Unlikely				<b>Terrorism (7)</b>
		1 Minor	2 Moderate	3 Significant	4 Catastrophic
		Impact			

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- 6 Voluntary and Community Sector - a reduction in resources for partners who deliver services with or on behalf of the Council
- 7 Terrorism and Potentially Violent Situations - as a public body, there is potential for the Council and its workforce to become a target
- 8 Statute and Regulation - as a local authority the Council has a statutory duty to deliver many services and is required to operate within a regulatory framework
- 9 Health and Safety - the potential to contravene regulations through bad practice
- 10 Environmental Impact - managing environmental impact of incidents across the district

<b>REPORT TO:</b>	<b>FINANCE AND MANAGEMENT COMMITTEE</b>	<b>AGENDA ITEM:9</b>
<b>DATE OF MEETING:</b>	<b>26<sup>th</sup> NOVEMBER 2020</b>	<b>CATEGORY: DELEGATED</b>
<b>REPORT FROM:</b>	<b>STRATEGIC DIRECTOR (CORPORATE RESOURCES)</b>	<b>OPEN</b>
<b>MEMBERS' CONTACT POINT:</b>	<b>VICKI SUMMERFIELD, 01283 595939</b> <a href="mailto:Victoria.summerfield@southderbyshire.gov.uk">Victoria.summerfield@southderbyshire.gov.uk</a>	<b>DOC:</b> s/finance/committee/2020-21/Nov
<b>SUBJECT:</b>	<b>REVENUE FINANCIAL MONITORING 2020/21</b>	
<b>WARD(S) AFFECTED:</b>	<b>ALL</b>	<b>TERMS OF REFERENCE: FM08</b>

## **1.0 Recommendations**

- 1.1 That the latest revenue financial position for 2020/21 as detailed in the report is considered and approved.

## **2.0 Purpose of the Report**

- 2.1 To provide an update on performance against budget for 2020/21.
- 2.2 The report details performance up to 30<sup>th</sup> September 2020 unless otherwise stated and is an update of income and expenditure for 2020/21.
- 2.3 The report covers both General Fund and HRA income and expenditure, an update to the Medium-Term Financial Plan (MTFP) plus a quarterly update to the Collection Fund.
- 2.4 A summary of the COVID funding received by the Council and total income and expenditure offset against the fund as at October 2020.

## **3.0 Detail**

### **GENERAL FUND**

- 3.1 Apart from Council housing, day-to-day revenue income and expenditure for Council services is accounted for through the General Fund. The net expenditure is financed through the Council's Core Spending Power which includes:

- General Government Grant
- Council Tax
- Retained Business Rates
- New Homes Bonus

- 3.2 The Base Budget for 2020/21 approved in February 2020 estimated a budget surplus of £922,391. The estimated surplus has now been updated to £455,529 to include approved reports at this Committee and Full Council from March to October 2020 and a summary of the approved budget is shown in the following table.

	£
Base Budget	13,182,606
Reverse out Depreciation	-988,536
Minimum / Voluntary Revenue Provisions	320,744
Contingent Sums	592,085
Approved Restructures Feb to Oct 2020	508,332
HRA Recharge Reduction	76,800
Review of Members Allowances Approved at Full Council	12,302
Financial Management System Upgrade	55,000
Contribution to EMEG	22,235
Feasibility Study Unspent in 2019/20	5,000
<b>Total Estimated Spend</b>	<b>13,786,568</b>
Financing	-14,242,097
<b>Estimated Surplus</b>	<b>-455,529</b>

- 3.3 The restructures and staffing changes approved between February and October include Cultural and Community Services, Environmental Services, Economic Development, Housing, Operational Services and Customer Services.
- 3.4 An update to the Council's financial position as a result of approved changes and the General Fund outturn for 2019/20 is listed within the MTFP in **Appendix 1**. It should be noted that updates to the MTFP for the recent approvals have now put the minimum projected balance at £1.5m, the statutory minimum.
- 3.5 Contingent sums held within the MTFP are detailed in the following table.

	£
Provision for "off-payroll" payments	10,000
Waste Collection and Recycling	100,000
Growth	85,282
Pay Award	273,207
Childcare Voucher Administration	1,750
Concurrent Functions and Grants	61,292
Pension Revaluation	99,348
Pension Earmarked Reserve Drawdown	-38,794
<b>Total</b>	<b>592,085</b>

### Position as at September 2020

- 3.6 A summary of the financial position for the year compared to the Base Budget for each Policy Committee is shown in the following table.

## COMMITTEE SUMMARY - BUDGET MONITORING SEPTEMBER 2020

### Summary by Policy Committee

REVENUE	ANNUAL			RESERVES	
	Full Year	Projected	Projected	Earmarked	Net effect on GF
	Budget £	Actual £	Variance £		£
Environmental and Development Services	5,397,463	5,415,895	-18,432	22,144	-40,576
Housing and Community Services	2,403,363	2,078,692	324,671	309,945	14,726
Finance and Management	5,381,780	4,604,700	777,080	657,422	119,658
<b>TOTAL</b>	<b>13,182,606</b>	<b>12,099,287</b>	<b>1,083,319</b>	<b>989,511</b>	<b>93,808</b>

3.7 The above table shows that net expenditure is expected to be £1,083,319 lower than budget but transfers to Earmarked Reserves of £989,511 due to grant income and external contributions received under Section 106 agreements for projects and capital schemes which stretch beyond the current financial year will be made at the year-end. This funding is transferred to specific reserves and drawn down to finance expenditure when it is incurred.

3.8 Excluding transfers to specific reserves, the above table shows that based on current spending, there is a projected decrease in overall expenditure across General Fund services of approximately £93,808. An analysis by the main service areas is shown in the following table.

## COMMITTEE SUMMARY - BUDGET MONITORING SEPTEMBER 2020

### Summary by Service Area

REVENUE	ANNUAL			RESERVES	
	Full Year	Projected	Projected	Earmarked	Net effect on GF
	Budget £	Actual £	Variance £		£
Economic Development	328,789	324,596	4,193	0	4,193
Environmental Services	697,219	754,490	-57,271	-5,618	-51,653
Highways & Parking	149,477	99,606	49,871	46,185	3,686
Licensing & Land Charges	16,878	57,641	-40,763	0	-40,763
Planning	585,920	563,546	22,374	-5,000	27,374
Street Scene	1,013,758	973,205	40,552	0	40,552
Waste & Transport	2,605,422	2,642,810	-37,388	-13,423	-23,965
Community Development & Support	670,850	659,024	11,825	15,100	-3,275
Recreational Activities	158,091	154,229	3,862	0	3,862
Leisure Centres & Community Facilities	649,899	355,186	294,713	294,245	468
Parks & Open Spaces	491,968	488,710	3,258	-7,859	11,117
Private Sector Housing	432,555	421,542	11,013	8,459	2,554
Central Support Services	3,741,018	3,755,085	-14,067	-35,441	21,374
Corporate & Democratic Costs	485,291	493,553	-8,262	6,159	-14,421
Elections & Registration	219,703	168,772	50,932	0	50,932
Parishes, Interest, S106 Receipts & Provisions	607,361	-20,450	627,811	590,320	37,491
Estate Management	-281,180	-289,112	7,932	0	7,932
Revenues & Benefits	609,586	496,852	112,734	96,384	16,350
	<b>13,182,606</b>	<b>12,099,287</b>	<b>1,083,319</b>	<b>989,511</b>	<b>93,808</b>

3.9 The main reasons for the projected variance are summarised in the following table and detailed in the commentary.

#### GENERAL FUND VARIANCE TO BUDGET SEPTEMBER 2020

	£'000
Salary savings (vacancies, maternity etc.) - E&D	197
Salary savings (vacancies, maternity etc.) - F&M	132
Salary savings (vacancies, maternity etc.) - H&C	109
<b>Total Employee</b>	<b>438</b>
Increased Planning Fee Income	75
Election and Canvas Savings	51
Investment Income	37
Waste Disposal	35
Lower Grant payments than Budgeted	25
Extra Refuse Collections	17
Increased Environmental Services Income	13
Insurance Claim Settlements	8
Cancellation of Events	5
Utilities	5
Other Variances (net)	3
<b>Total Favourable Variances</b>	<b>712</b>
Street Naming and Numbering Income	-10
Costs of Councillor Complaints	-11
Licensing and Land Charges Income	-22
Animal Welfare Act Costs	-25
Court Fees	-25
Agency and Consultancy Costs	-525
<b>Total Adverse Variances</b>	<b>-618</b>
<b>TOTAL - OVERALL PROJECTED VARIANCE</b>	<b>94</b>

3.10 Salary savings in year relate to vacancies and maternity but these savings are more than offset by agency and consultancy. The main service area expenditure is in relation to Operational Services where service delivery has continued throughout the pandemic and therefore to ensure waste collection services were maintained, it has been necessary to take on additional resource. The following table shows the expected costs and savings on staffing in year.

	<b>Employee Saving £'000</b>	<b>Agency Cost £'000</b>	<b>Variance £'000</b>	
Refuse	24	-100	-76	Vacancy plus sickness
Planning	12	-58	-46	Long-term sickness
Environmental	49	-95	-46	Long-term sickness plus vacancy
Land Charges	50	-75	-25	Vacancies - Lichfield DC supporting
Democratic	3	-5	-2	Long-term sickness
Economic Development	16	-14	2	Vacant posts
Parks & Open Spaces	102	-99	3	Approved restructure delay
ICT Services	4	0	4	Pension
Senior Management	5	0	5	Budget at top scale point
Licensing	5	0	5	Pension
Organisational Development	19	-14	5	Vacancy recruited
Property	6	0	6	Vacancy
Rosliston	7	0	7	Reduced hours
Legal	75	-65	10	Out to recruit
Revenues and Customer Services	20	0	20	Pension and NI
Grounds Maintenance	41	0	41	Vacant posts
	<b>438</b>	<b>-525</b>	<b>-87</b>	

- 3.11 Investment income is greater than budget due to the large value of cash deposits held by the Council. £4m is currently invested in a longer-term high interest account with an average return of 4%. The budget for investment income is prudently based on a low interest receivable percentage and is therefore likely to exceed the £180k budget.
- 3.12 Planning applications are expected to be higher than budgeted. There was a slow start in April but planning applications have picked up considerably in the past few months. At this stage, the volume of applications is high, but they are smaller, domestic applications and not from developers. Some larger developers have suggested that over the next few months they will be looking to put applications into the Council which should then show an increase in fee income. Street Naming income has been lower during the first half of the year although it is hoped with the increased building activity that this will be at least on budget by the year-end.
- 3.13 Contributions from Derbyshire County Council are higher than budget on waste disposal due to higher levels of green waste and recycling due to the pandemic. This is in line with the outturn position in 2019/20 where higher levels of income were seen due to stock piling of food at the beginning of the pandemic. An increase in extra chargeable collections has also been seen within refuse.
- 3.14 Food Safety income is expected to be higher due to licences and is consistently above budget every year.
- 3.15 No elections are due to take place during 2020/21 and the annual canvas is currently under review so it is expected that a saving will be seen in this area.

- 3.16 Grant payments have been budgeted for Public Conveniences (£9k) but some sites have been passed over to the Parish Councils and therefore this will not be spent, the walking festival has been cancelled meaning a reduced grant payment (£6k) and a budget for grants within Planning Policy (£10k) is approved each year but there is no specific requirement for this.
- 3.17 Costs were incurred by the Council in 2019/20 due to the storms and flooding. Insurance claims were made and have now been settled.
- 3.18 The Festival of Leisure is a cost to the Council each year and cancellation of this has resulted in a small saving of £5k.
- 3.19 Closure of the Civic Offices has resulted in a saving to-date of approximately £5k on utilities.
- 3.20 Costs have been incurred for kennelling (£25k) due to seizing 26 animals under the Animal Welfare Act in 2019. It is hoped that these costs can be recovered after prosecution, but the prosecution has been delayed due to the closure of the Courts. In addition, fees for Business Rates and Council Tax (£25k) are expected to be lower in year due to the Court closures.
- 3.21 Licensing (£10k) and Land Charges income (£12k) are lower than budget during the first half of the year. Licensing income is due to events not taking place during the summer months and therefore is unlikely to be recoverable in year. It is hoped however that now building works have restarted that Land Charges income will pick up again and there has been an improvement in the expected income losses predicted in the first quarter.
- 3.22 An independent body has been engaged to investigate complaints into Councillor conduct matters. This cost of £11k was unbudgeted.

### **COVID-19 Funding**

- 3.23 At the start of the pandemic, the Government issued a variety of grant funding to support local authorities with losses in income and additional expenditure. The Council has received £1.2m in direct support plus a number of other grants for additional duties, detail of which is reported separately on this Committee agenda.
- 3.24 The following table shows the grant income received, costs incurred to-date, known income losses plus known pressures that the Council is expecting to see as the year progresses.

	£
Tranche 1	-44,449
Tranche 2	-1,068,691
Tranche 3	-156,241
<b>Total Funding</b>	<b>-1,269,381</b>
Agency	251,043
ICT and Home Working	171,029
Leisure Centre Income	83,400
Recycling Costs	75,000
Overtime	36,269
PPE	30,225
Cleaning Materials	27,639
Vehicle Hire	26,187
Kennelling Costs	21,500
Community Centre and Parks Income	15,070
Rosliston Car Park Income	8,373
Printing and Postage	1,743
<b>Total Known Impact</b>	<b>747,478</b>
<b>Remaining Funding</b>	<b>-521,903</b>

- 3.25 There are income losses across the Council that are still to be adjusted as it is too early to determine whether some of the losses will be recoverable during the year.
- 3.26 The main items to note in the table above are the costs for Recycling and the income losses for the Leisure Centres.
- 3.27 During the pandemic, the contractor who provides the Council's recycling service has been struggling to manage the additional volume of waste. The Council has agreed that an additional crew is to be recruited on a temporary basis by the contractor at a cost to the Council to ensure that service levels are maintained. This agreement is reviewed monthly and the forecasted costs above assume that this agreement will be in place for 6 months, but this however is not certain and further updates will be provided to this Committee.
- 3.28 Leisure Centre closures during the pandemic have resulted in the contractor who manages both Etwall and Green Bank Leisure Centres being unable to pay the Council the contractual income due. The Council is in negotiation with the contractor to determine the financial position and to ascertain whether this income will be recoverable or if further financial support for the contractor is necessary. The forecasted loss to the Council is assuming that no income will be received for 2020/21 but it should be noted that this has not been agreed with the contractor and the Council will look to recover losses wherever possible.
- 3.29 The costs for ICT and home working of £171,029 is an estimate of the potential outlay required for providing workstations for employees at home. All employees have laptops, but desks and screens are now being requested due to the decision to work from home for the foreseeable future. It is not yet known the extent of expenditure but £100k has been set-aside in the above estimate.



- 3.30 A further tranche of funding has recently been announced and the Council is set to receive an additional £169,839 to take the total funding to £1,439,220. Monthly updates are provided to the Government regarding current and expected service pressures.
- 3.31 Additional funding has also been announced for support of losses in income for the Leisure sector. Once more detail is known on this funding and whether the Council is able to claim, an update will be provided to this Committee.

### **Core Grants and Funding**

- 3.32 The Council's central funding, besides Business Rates, is fixed for the year and is shown in the following table

<b>Core Grants and Funding 2020/21</b>	<b>£</b>
Council Tax	5,704,748
Retained Business Rates	4,188,978
Discretionary Business Rates Relief Scheme	3,000
New Homes Bonus	4,262,171
Collection Fund Surplus	83,200
<b>Total Funding</b>	<b><u>14,242,097</u></b>

- 3.33 The final amount retained for Business Rates will depend upon income and expenditure during the year, which includes provisions and any return from the Derbyshire Business Rates Pool.
- 3.34 There will be an additional cost seen in year in relation to the underestimate for the return from authorities for the Business Rates pool in 2019/20. The impact of this is still unknown due to final returns from all Derbyshire authorities having a deadline of 31<sup>st</sup> August. It is likely that the cost to the Council will be at least £250k due to a positive outturn position in last financial year for this Council, but the impact will be reported once more is known.
- 3.35 Performance of the Pool is reported quarterly to all Derbyshire S151 Officers. There is a risk due to the pandemic that the Business Rates position for authorities across Derbyshire that losses in income will be seen which will impact on better performing authorities. It is still unknown at this stage how the Council will be impacted.

### **HOUSING REVENUE ACCOUNT (HRA)**

- 3.36 The Council is required to account separately for income and expenditure in providing Council housing.
- 3.37 The Base Budget approved in February 2020 for the HRA was set with an estimated surplus of £222k. The MTFP has been updated to remove the incremental salary increases as this is incorporated in the Base Budget, an increase on the pay award and to include the restructure and regrading of a post approved at this Committee which has now decreased the surplus to £171k. The position of the HRA as at September 2020 is summarised in the following table.

<b>Summary HRA 2020/21</b>	<b>BUDGET £000</b>	<b>PROJECTED ACTUAL £000</b>	<b>PROJECTED VARIANCE £000</b>
Total Income	-12,618	-12,498	-120
Contribution to Capital & New Build	2,935	2,935	0
Responsive & Planned Maintenance	3,245	3,273	-28
Interest Payable and Receivable	1,713	1,542	171
Supervision & Management	1,780	1,773	7
Supported Housing & Careline Services	839	805	34
Provision for Bad Debts	100	100	0
Provision for Debt Repayment	1,542	1,542	0
Asset Replacement Contribution	45	45	0
Contingent Sums	248	248	0
<b>Surplus</b>	<b>-171</b>	<b>-235</b>	<b>64</b>

3.38 The above table shows that overall the HRA is expected to have a surplus of £235k which is £64k more than budgeted. The main reasons for the variances are detailed below.

<b>HRA VARIANCE TO BUDGET SEPTEMBER 2020</b>	
	<b>£'000</b>
Salary savings (vacancies, maternity etc.)	276
Interest Income and Expenditure	171
Repairs & Maintenance	50
Materials	45
Additional Careline Income	40
Insurance Claim Settlements	9
Disrepair Claims	-16
Careline Equipment Repairs	-24
Reduced Rent due to Void Dwellings	-120
Agency and Consultancy Staff	-370
Other Variances (net)	3
<b>TOTAL - OVERALL PROJECTED VARIANCE</b>	<b>64</b>

3.39 Expected salary savings in year relate to vacancies and are more than offset by agency and consultancy to support services.

3.40 There has been a slower start to the year on repairs and maintenance due to the pandemic and the HRA is expected to marginally underspend in year. Vacancies in front line repairs team will also result in lower materials costs.

- 3.41 Interest income is expected to be above budget by approximately £45k on the HRA. Further detail on the reasons for the increase are noted at 3.11. The variable rate loan repayment for the first repayment in year is lower than budgeted by £126k.
- 3.42 The contribution from Derbyshire County Council and from private customers for Careline is higher than budgeted and is expected to be so for the remainder of the year. The budget is a very prudent estimate and there are large risks surrounding future funding of this service, so this is likely to be a one-off bonus this year.
- 3.43 An insurance claim settlement for major works after a car crashed into a dwelling in Castle Gresley has now been received. The costs were incurred in 2019/20. A claim settlement of £121k for a dwelling that was demolished in Newhall during 2019/20 after a serious fire has also been received but is to be reported as part of capital receipts in year as this is to be utilised on replacing the dwelling.
- 3.44 The revenue income lost due to void dwellings will be unrecoverable in year as the grants issued to the Council for costs and income losses due to the pandemic cannot be used to fund the HRA. Right to Buys have totalled three up to 15<sup>th</sup> October and therefore at this stage the losses of income are covered within the budget. The slower number of losses is due to the pandemic but may pick up now the housing market begins to recover.
- 3.45 Successful disrepair claims have been made against the Council which were not covered by the Council's insurance policy.
- 3.46 The HRA's 10-year MTFP is shown in **Appendix 2**.

## **COLLECTION FUND**

- 3.47 The Collection Fund is the statutory account that records the collection of Council Tax and Business Rates and shows how that income has been distributed to the Government and Preceptors.
- 3.48 Any surplus or deficit on the Fund is transferred to the General Funds of the Preceptors, in proportion to precepts levied each year. The projected position on the Fund for 2020/21, based on transactions up to 30<sup>th</sup> September 2020, is detailed in **Appendix 3**.
- 3.49 This shows that there is now a projected deficit balance on Council Tax of approximately £227k and a deficit balance on Business Rates of approximately £1.8 million.
- 3.50 Growth in the tax base is expected to continue which will impact positively on both Business Rates and Council Tax although both elements are likely to be negatively impacted due to the pandemic. As a result of the pandemic, a full review of bad debt is to be undertaken and the projection has been updated to include a 2% allowance for bad debt. This was formerly 1%.
- 3.51 Council Tax has seen smaller growth in the first half year which is mainly due to less occupation of new properties after a freeze on house moving was enforced during April and May. The statutory Council Tax return has now been completed and the increase in Band D properties has not increased at the level expected in the MTFP. A

further update will be given to this Committee once the final Local Government Financial Settlement is announced.

3.52 Business Rates is looking to generate a large deficit as growth has been stifled and Reliefs funded by the Government have been at a much higher level. It is difficult at this stage to forecast how the Business Rates position will fair over the year, but it is hoped that with all of the additional support given to businesses during the pandemic, that growth will once again benefit the Council.

3.53 The Council is required to complete a Statutory return with expected Tax Base numbers for the following financial year in September. The Council Tax budget was based on this return with a Tax Base of 34,474 Band D equivalent properties with a total number of dwellings on the valuation list of 45,150. The return has now been completed and the actual Tax Base is 35,218 (+744) with a total number of dwellings of 46,311 (+1,161).

#### **4.0 Financial Implications**

4.1 Detailed in the report.

#### **5.0 Corporate Implications**

##### **Employment Implications**

5.1 None.

##### **Legal Implications**

5.2 None.

##### **Corporate Plan Implications**

5.3 There are no specific targets within the Corporate Plan but ensuring sustainability of the Council's financial position enables services to deliver targets included with the Plan.

##### **Risk Impact**

5.4 None.

#### **6.0 Community Impact**

##### **Consultation**

6.1 None.

##### **Equality and Diversity Impact**

6.2 None.

##### **Social Value Impact**

6.3 None.

## **Environmental Sustainability**

6.4 None.

### **7.0 Background Papers**

7.1 None.

# APPENDIX 1

## GENERAL FUND MEDIUM TERM FINANCIAL PLAN BUDGET & PROJECTION as at NOVEMBER 2020

	Budget £ 2020.21	Projection £ 2021.22	Projection £ 2022.23	Projection £ 2023.24	Projection £ 2024.25	Projection £ 2025.26
<b>BASE BUDGET</b>						
Environmental & Development	5,397,464	5,572,920	5,723,733	5,878,509	6,037,331	6,199,283
Housing & Community	2,403,363	2,449,025	2,497,022	2,544,068	2,592,695	2,641,768
Finance & Management	5,381,783	5,555,030	5,714,401	5,875,134	6,037,488	6,201,705
<b>Net Service Expenditure</b>	<b>13,182,611</b>	<b>13,576,976</b>	<b>13,935,157</b>	<b>14,297,711</b>	<b>14,667,514</b>	<b>15,042,756</b>
<b>Accounting Adjustments</b>						
Reverse out Depreciation	-988,536	-988,536	-988,536	-988,536	-988,536	-988,536
Minimum Revenue Provision (MRP)	189,512	181,932	174,654	167,668	160,962	154,523
Voluntary Revenue Provision (VRP - Recycling Bins & Grove Active Zone)	131,226	75,891	20,556	20,556	1,639	0
	<b>12,514,813</b>	<b>12,846,262</b>	<b>13,141,831</b>	<b>13,497,399</b>	<b>13,841,578</b>	<b>14,208,743</b>
<b>Add: Known Variations</b>						
Approved Restructures February 2020	106,096	39,768	20,437	23,231	27,183	27,862
Vehicle Maintenance Plan (Tyres and Spare Parts)	0	20,000	43,000	40,000	75,000	75,000
Environmental Services Restructure	36,323	69,516	76,777	81,818	85,907	88,055
Housing Services Restructure	5,215	29,155	40,186	41,690	43,232	44,313
Operational Services Restructure	356,535	303,257	362,703	638,945	429,298	445,342
Growth Provision Drawdown	0	0	0	-172,294	0	0
Financial Management System Upgrade	55,000	0	0	0	0	0
HRA Recharge Reduction	76,800	76,800	76,800	76,800	76,800	76,800
Review of Members Allowances Approved at Full Council	12,302	25,032	37,763	37,763	37,763	37,763
Voluntary Grants and Concurrent Functions Uplift 2%	11,233	11,458	11,687	11,921	12,159	12,402
Feasibility Study for Reopening of the Ivanhoe Line	5,000	0	0	0	0	0
Contribution to EMEG approved October 2020	22,235	0	0	0	0	0
Local Plan Review	0	15,000	15,000	0	0	0
Incremental Salary Increases	0	42,669	21,842	22,388	22,948	23,522
Pay Award 2020/21	273,207	280,037	287,038	294,214	301,570	309,109
Pension Revaluation	99,348	101,832	104,378	106,987	109,662	112,403
Concurrent Functions Protection Approved Nov 19	50,059	50,059	50,059	50,059	50,059	50,059
Economic Development Post Update Approved July 2020	4,163	5,500	5,579	5,718	5,861	6,008
Investment Income	0	30,000	51,000	81,000	98,040	100,000
Administration of Childcare Vouchers	1,750	1,750	1,750	1,750	1,750	1,750
Temporary Posts, Rosliston and Grants		-239,852	-218,599	-195,531	-177,759	-164,983

**GENERAL FUND MEDIUM TERM FINANCIAL PLAN**  
**BUDGET & PROJECTION as at NOVEMBER 2020**

	Proposed Budget £ 2020.21	Projection £ 2021.22	Projection £ 2022.23	Projection £ 2023.24	Projection £ 2024.25	Projection £ 2025.26
Potential Cost of New Waste Disposal Site	0	47,400	49,770	52,259	54,871	57,615
Potential Loss of Industrial Unit Income	0	0	190,000	190,000	190,000	190,000
Pension Earmarked Reserve Drawdown	-38,794	-41,122	-43,589	-6,783	0	0
District Election May 2023	0	0	0	125,000	0	0
<b>TOTAL ESTIMATED SPENDING</b>	<b>13,591,286</b>	<b>13,714,521</b>	<b>14,325,412</b>	<b>15,004,334</b>	<b>15,285,923</b>	<b>15,701,762</b>
<b>Provisions</b>						
Provision for Employer's NIC on "off-payroll" payments	10,000	10,000	10,000	10,000	10,000	10,000
Contingent Sum - Growth	85,282	92,630	94,534	0	33,254	23,144
Waste and Recycling	100,000	100,000	100,000	100,000	100,000	100,000
<b>TOTAL PROJECTED SPENDING</b>	<b>13,786,568</b>	<b>13,917,151</b>	<b>14,529,946</b>	<b>15,114,334</b>	<b>15,429,177</b>	<b>15,834,906</b>
<b>FINANCING</b>						
Business Rates Retention	-4,188,978	-3,699,726	-3,670,153	-3,676,916	-3,681,390	-3,264,152
Discretionary Business Rate Relief Scheme	-3,000	0	0	0	0	0
New Homes Bonus	-4,262,171	-3,816,195	-3,815,552	-3,590,570	-2,692,927	-2,692,927
Council Tax Income	-5,704,748	-5,962,934	-6,229,020	-6,503,216	-6,785,737	-7,076,804
<b>Core Spending Power</b>	<b>-14,158,897</b>	<b>-13,478,855</b>	<b>-13,714,725</b>	<b>-13,770,702</b>	<b>-13,160,055</b>	<b>-13,033,883</b>
Add Estimated Collection Fund Surplus - Council Tax	-83,200	-55,000	-55,000	-55,000	-55,000	-55,000
<b>TOTAL FINANCING</b>	<b>-14,242,097</b>	<b>-13,533,855</b>	<b>-13,769,725</b>	<b>-13,825,702</b>	<b>-13,215,055</b>	<b>-13,088,883</b>
<b>Revenue Surplus (-) / Deficit</b>	<b>-455,529</b>	<b>383,296</b>	<b>760,220</b>	<b>1,288,632</b>	<b>2,214,122</b>	<b>2,746,023</b>

**GENERAL FUND MEDIUM TERM FINANCIAL PLAN**  
**BUDGET & PROJECTION as at NOVEMBER 2020**

	Proposed Budget £ 2020.21	Projection £ 2021.22	Projection £ 2022.23	Projection £ 2023.24	Projection £ 2024.25	Projection £ 2025.26
<b>Capital Contributions</b>						
Melbourne Sports Park Drainage	419,801	0	0	0	0	0
IT and Digital Strategy	210,000	180,000	180,000	180,000	180,000	180,000
Purchase of Town Centre Land	44,335	0	0	0	0	0
Community Partnership Scheme (2017 contribution)	125,695	0	0	0	0	0
Community Partnership Scheme (2019 contribution)	275,000	0	0	0	0	0
Rosliston Forestry Centre - Play Project	0	50,000	0	0	0	0
Asset Replacement and Renewal Fund	360,000	358,000	357,000	356,000	355,000	355,000
<b>TOTAL CAPITAL CONTRIBUTION</b>	<b>1,434,831</b>	<b>588,000</b>	<b>537,000</b>	<b>536,000</b>	<b>535,000</b>	<b>535,000</b>
<b>TOTAL GENERAL FUND DEFICIT</b>	<b>979,302</b>	<b>971,296</b>	<b>1,297,220</b>	<b>1,824,632</b>	<b>2,749,122</b>	<b>3,281,023</b>
<b>GENERAL FUND RESERVE BALANCE</b>						
Balance b/fwd	-12,605,436	-11,626,134	-10,654,838	-9,357,618	-7,532,986	-4,783,864
Revenue Surplus (-) / Deficit	-455,529	383,296	760,220	1,288,632	2,214,122	2,746,023
Capital Contributions	1,434,831	588,000	537,000	536,000	535,000	535,000
<b>Balance c/fwd</b>	<b>-11,626,134</b>	<b>-10,654,838</b>	<b>-9,357,618</b>	<b>-7,532,986</b>	<b>-4,783,864</b>	<b>-1,502,841</b>



## HOUSING REVENUE ACCOUNT FINANCIAL PROJECTION - NOVEMBER 2020

	2020.21 Approved Budget £'000	2021.22 Forecast £'000	2022.23 Forecast £'000	2023.24 Forecast £'000	2024.25 Forecast £'000	2025.26 Forecast £'000	2026.27 Forecast £'000	2027.28 Forecast £'000	2028.29 Forecast £'000	2029.3 Forecast £'000	2030.31 Forecast £'000
<b>INCOME</b>											
Rental Income	-12,168	-12,502	-12,796	-13,103	-13,424	-13,752	-14,095	-14,455	-14,823	-15,206	-15,604
Non-Dwelling Income	-143	-147	-150	-154	-158	-162	-167	-171	-176	-180	-185
Supporting People Grant	-130	-130	-130	-130	-130	-130	-130	-130	-130	-130	-130
Other Income	-177	-177	-177	-177	-177	-177	-177	-177	-177	-177	-177
<b>Total Income</b>	<b>-12,618</b>	<b>-12,956</b>	<b>-13,253</b>	<b>-13,564</b>	<b>-13,889</b>	<b>-14,221</b>	<b>-14,569</b>	<b>-14,933</b>	<b>-15,306</b>	<b>-15,693</b>	<b>-16,096</b>
<b>EXPENDITURE</b>											
General Management	1,780	1,820	1,861	1,902	1,945	1,989	2,034	2,080	2,127	2,175	2,224
Supporting People	839	861	883	906	929	954	980	1,006	1,034	1,063	1,094
Responsive	1,344	1,377	1,410	1,443	1,478	1,513	1,549	1,586	1,623	1,662	1,702
Planned Maintenance	1,901	1,948	1,996	2,043	2,093	2,144	2,196	2,249	2,304	2,359	2,418
Bad Debt Provision	100	125	127	131	134	137	140	144	148	152	156
Interest Payable & Receivable	1,713	1,713	1,713	1,713	1,713	1,713	1,713	1,713	1,713	1,714	2,647
Depreciation	3,700	4,005	3,983	3,966	3,950	3,933	3,920	3,907	3,894	3,884	3,874
<b>Net Operating Income</b>	<b>-1,241</b>	<b>-1,107</b>	<b>-1,280</b>	<b>-1,460</b>	<b>-1,647</b>	<b>-1,838</b>	<b>-2,037</b>	<b>-2,247</b>	<b>-2,462</b>	<b>-2,684</b>	<b>-1,981</b>
<b>Known variations:</b>											
Reversal of Depreciation	-3,700	-4,005	-3,983	-3,966	-3,950	-3,933	-3,920	-3,907	-3,894	-3,884	-3,874
Capital Expenditure	1,935	1,683	1,470	1,433	1,477	1,516	1,547	1,182	1,261	1,489	2,103
Disabled Adaptations	300	300	300	300	300	300	300	300	300	300	300
Asbestos and Health & Safety Surveys	100	100	100	100	100	100	100	100	100	100	100
Debt Repayment - Balance of Depreciation	765	1,322	1,513	1,884	1,473	1,417	1,456	1,759	1,670	1,395	771
Major Repairs Reserve	600	600	600	300	600	600	600	600	600	600	600
Asset Replacement Earmarked Reserve	45	45	45	45	45	45	45	45	45	45	45

## HOUSING REVENUE ACCOUNT FINANCIAL PROJECTION - NOVEMBER 2020

	2020.21	2021.22	2022.23	2023.24	2024.25	2025.26	2026.27	2027.28	2028.29	2029.30	2030.31
	Approved Budget	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000
Additional Debt Repayment Transfer	777	2,150	2,651	2,468	1,815	2,000	1,839	750	750	750	1,000
General Fund Recharges	-77	-77	-77	-77	-77	-77	-77	-77	-77	-77	-77
Investment Income	0	25	43	68	0	0	0	0	0	0	0
Capital works non-traditional properties	100	100	100	0	0	0	0	0	0	0	0
Pension Revaluation	15	15	16	16	16	17	17	18	18	19	19
ICT Upgrades	105	0	0	0	0	0	0	200	0	0	0
Potential Pay Award	50	51	52	54	55	56	58	59	61	62	64
Housing Restructure	53	160	194	199	204	209	214	219	225	230	236
Regraded Post	3	3	3	3	3	3	3	3	3	3	3
Incremental Salary Increases	0	6	6	6	6	6	6	6	7	7	7
<b>HRA Surplus (-) / Deficit</b>	<b>-171</b>	<b>1,370</b>	<b>1,752</b>	<b>1,372</b>	<b>420</b>	<b>422</b>	<b>152</b>	<b>-989</b>	<b>-1,394</b>	<b>-1,644</b>	<b>-683</b>
<b>HRA General Reserve</b>											
HRA Reserve B/fwd	-8,260	-8,431	-7,061	-5,308	-3,936	-3,516	-3,094	-2,942	-3,932	-5,325	-6,970
(Surplus) / Deficit for year	-171	1,370	1,752	1,372	420	422	152	-989	-1,394	-1,644	-683
<b>HRA Reserve C/fwd</b>	<b>-8,431</b>	<b>-7,061</b>	<b>-5,308</b>	<b>-3,936</b>	<b>-3,516</b>	<b>-3,094</b>	<b>-2,942</b>	<b>-3,932</b>	<b>-5,325</b>	<b>-6,970</b>	<b>-7,653</b>
<b>RESERVES</b>											
<b>Debt Repayment Reserve</b>											
Balance B/fwd	-8,260	-9,802	-3,274	-7,438	-1,790	-5,078	-8,495	-1,790	-4,299	-6,719	-8,864
Depreciation balance	-765	-1,322	-1,513	-1,884	-1,473	-1,417	-1,456	-1,759	-1,670	-1,395	-771
Transfers to reserve	-777	-2,150	-2,651	-2,468	-1,815	-2,000	-1,839	-750	-750	-750	-1,000
Repayment of loan	0	10,000	0	10,000	0	0	10,000	0	0	0	0
<b>Reserve C/fwd</b>	<b>-9,802</b>	<b>-3,274</b>	<b>-7,438</b>	<b>-1,790</b>	<b>-5,078</b>	<b>-8,495</b>	<b>-1,790</b>	<b>-4,299</b>	<b>-6,719</b>	<b>-8,864</b>	<b>-10,635</b>

## HOUSING REVENUE ACCOUNT FINANCIAL PROJECTION - NOVEMBER 2020

	2019.20	2020.21	2021.22	2022.23	2023.24	2024.25	2025.26	2026.27	2027.28	2028.29	2029.30
	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000
<b>Earmarked Reserve</b>											
Balance B/fwd	-251	-296	-341	-386	-431	-206	-251	-296	-341	-386	-431
Transfers to reserve	-45	-45	-45	-45	-45	-45	-45	-45	-45	-45	-45
Asset Replacement	0	0	0	0	270	0	0	0	0	0	280
<b>Reserve C/fwd</b>	<b>-296</b>	<b>-341</b>	<b>-386</b>	<b>-431</b>	<b>-206</b>	<b>-251</b>	<b>-296</b>	<b>-341</b>	<b>-386</b>	<b>-431</b>	<b>-196</b>
<b>Major Repairs Reserve</b>											
Balance B/fwd	-4,190	-4,890	-5,590	-6,290	-6,590	-7,190	-7,790	-8,390	-8,990	-9,590	-10,190
Transfers to reserve	-600	-600	-600	-300	-600	-600	-600	-600	-600	-600	-600
Earmarked non-traditional properties	-100	-100	-100	0	0	0	0	0	0	0	0
Reserve Drawdown	0	0	0	0	0	0	0	0	0	0	0
<b>Reserve C/fwd</b>	<b>-4,890</b>	<b>-5,590</b>	<b>-6,290</b>	<b>-6,590</b>	<b>-7,190</b>	<b>-7,790</b>	<b>-8,390</b>	<b>-8,990</b>	<b>-9,590</b>	<b>-10,190</b>	<b>-10,790</b>
<b>New Build Reserve</b>											
Capital Receipts B/fwd	-2,213	-1,322	-1,943	-2,561	-3,021	-3,478	-3,935	-4,237	-4,539	-4,842	-5,041
Acquisitions in year	2,108	0	0	0	0	0	0	0	0	0	
S106 Drawdown	-490	0	0	0	0	0	0	0	0	0	0
RTB Receipts in year	-727	-621	-618	-460	-457	-457	-302	-302	-302	-199	-199
Borrowing in year	0	0	0	0	0	0	0	0	0	0	0
<b>Balance c/fwd</b>	<b>-1,322</b>	<b>-1,943</b>	<b>-2,561</b>	<b>-3,021</b>	<b>-3,478</b>	<b>-3,935</b>	<b>-4,237</b>	<b>-4,539</b>	<b>-4,842</b>	<b>-5,041</b>	<b>-5,240</b>

## COLLECTION FUND MONITORING 2020/21 (as at 30th September 2020)

	Actual 2019/20	Estimated 2020/21	2nd Qtr Projection 2020/21	Notes
<b>COUNCIL TAX - INCOME &amp; EXPENDITURE</b>	£'000	£'000	£'000	
<b>INCOME</b>				
Council Tax Collectable	62,162	65,270	64,628	Est. Increase in Tax Base and Precepts at 5%
<b>EXPENDITURE</b>				
County Council Precept	44,054	46,517	46,517	As approved by Full Council 26th Feb 2020
Police and Crime Commissioner Precept	7,213	7,812	7,812	As above
Fire and Rescue Authority Precept	2,538	2,680	2,680	As above
SDDC Precept	5,405	5,705	5,705	As above
SDDC Parish Precepts	798	848	848	As above
Increase in Bad Debts Provision	-336	653	1,293	Estimated at 2% of income
<b>Total Expenditure</b>	<b>59,672</b>	<b>64,215</b>	<b>64,855</b>	
<b>Surplus for the Year</b>	<b>2,490</b>	<b>1,055</b>	<b>-227</b>	
<b>COUNCIL TAX BALANCE</b>				
Opening Balance 1st April	1820	3,310	3,310	Per Final Accounts 2019/20
Share of Previous Surplus to County Council	-733	-587	-587	As approved by Full Council 26th Feb 2020
Share of Previous Surplus to Police	-112	-96	-96	As above
Share of Previous Surplus to Fire Authority	-45	-34	-34	As above
Share of Previous Surplus to SDDC	-110	-83	-83	As above
Surplus for Year (as above)	2,490	1,055	-227	
<b>Closing Balance as at 31st March</b>	<b>3,310</b>	<b>3,565</b>	<b>2,283</b>	
	Actual 2019/20	Estimated 2020/21	2nd Qtr Projection 2020/21	
<b>BUSINESS RATES - INCOME &amp; EXPENDITURE</b>	£'000	£'000	£'000	
<b>INCOME</b>				
Business Rates Collectable	27,253	27,756	21,166	Estimate as per NNDR1
Transitional Protection Payments	635	456	456	
Updated NNDR1 - Business Rates Reliefs	0	0	5,215	
<b>Total Income</b>	<b>27,888</b>	<b>28,212</b>	<b>26,837</b>	
<b>EXPENDITURE</b>				
Central Government Precept	13,398	13,862	13,862	
SDDC Precept	10,718	11,089	11,089	Per NNDR1 Submission
Derbyshire County Council Precept	2,412	2,495	2,495	As above
Fire and Rescue Service Precept	268	277	277	As above
Cost of Collection	91	92	92	As above
Increase in Bad Debts Provision	183	311	423	Estimated at 2% of income
Provision for Appeals	-241	85	423	Estimated at 2% of income
<b>Total Expenditure</b>	<b>26,829</b>	<b>28,211</b>	<b>28,662</b>	
<b>Surplus / Deficit (-)</b>	<b>1,059</b>	<b>1</b>	<b>-1,825</b>	
<b>BUSINESS RATES BALANCE</b>				
Opening Balance 1st April	-192	1,630	1,630	Per Final Accounts 2019/20
Transfer of Previous Year's Surplus (-) / Deficit	382	36	36	Per NNDR1 Submission
Transfer of Previous Year's Surplus (-) / Deficit	305	-19	-19	As above
Transfer of Previous Year's Surplus (-) / Deficit	69	-40	-40	As above
Transfer of Previous Year's Surplus (-) / Deficit	7	0	0	As above
Surplus / Deficit (-) for the Year as above	1,059	1	-1,825	
<b>Closing Balance as at 31st March</b>	<b>1,630</b>	<b>1,608</b>	<b>-218</b>	



<b>REPORT TO:</b>	<b>FINANCE AND MANAGEMENT COMMITTEE</b>	<b>AGENDA ITEM: 10</b>
<b>DATE OF MEETING:</b>	<b>26TH NOVEMBER 2020</b>	<b>CATEGORY: DELEGATED</b>
<b>REPORT FROM:</b>	<b>STRATEGIC DIRECTOR (CORPORATE RESOURCES)</b>	<b>OPEN</b>
<b>MEMBERS' CONTACT POINT:</b>	<b>VICKI SUMMERFIELD 01283 595939</b> <a href="mailto:Victoria.summerfield@southderbyshire.gov.uk">Victoria.summerfield@southderbyshire.gov.uk</a>	<b>DOC:</b> s/finance/committee/2020-21/November
<b>SUBJECT:</b>	<b>CAPITAL FINANCIAL MONITORING 2020/21</b>	
<b>WARD(S) AFFECTED:</b>	<b>ALL</b>	<b>TERMS OF REFERENCE: FM08</b>

## **1.0 Recommendations**

- 1.1 That the latest capital financial position for 2020/21 as detailed in the report is considered and approved.

## **2.0 Purpose of the Report**

- 2.1 To provide an update on performance against the budget for 2020/21.
- 2.2 The report details performance of both the HRA and General Fund up to 30th September 2020 unless otherwise stated and is an update of capital project progress for 2020/21.

## **3.0 Detail**

- 3.1 The Council's capital programme consists of many different projects covering both the General Fund and HRA.
- 3.2 General Fund projects are developed in line with strategies reported to policy committees and are funded through Section 106 developer contributions, General Fund contributions, grant income and capital receipts generated from asset sales.
- 3.3 HRA projects are mainly for refurbishment of council houses, disabled adaptations to council housing and new build and are funded by HRA reserves plus grant income.
- 3.4 The capital budget for 2020/21 was approved in February 2020 and was updated following the outturn for 2019/20 to reflect the carry forward of income and expenditure for incomplete projects. Further to the Capital Bidding round, General Fund project budgets have now also been updated to include the fourteen approved

projects. Additional budgets have also been included on the HRA for property acquisitions reported separately.

- 3.5 Progress during the year on capital projects and the total financing of all projects is summarised in the following tables with detail of financial performance for each project listed in Appendix 1.

### CAPITAL MONITORING SEPTEMBER 2020

	EXPENDITURE		
	Actual £	Budget £	Variance £
Major Improvements	948,253	2,635,136	1,686,882
Disabled Adaptations	58,461	300,000	241,539
New Build and Acquisition	533,200	2,107,905	1,574,705
<b>TOTAL HRA</b>	<b>1,539,914</b>	<b>5,043,041</b>	<b>3,503,126</b>
Private Sector Housing	151,217	1,638,350	1,487,133
Community Projects	33,833	3,774,358	3,740,525
Vehicle Replacements	67,489	730,661	663,172
ICT Strategy	17,216	210,000	192,784
Asset Replacement and Renewal	18,378	894,732	876,354
<b>TOTAL GENERAL FUND</b>	<b>288,132</b>	<b>7,248,101</b>	<b>6,959,969</b>
<b>TOTAL CAPITAL EXPENDITURE</b>	<b>1,828,047</b>	<b>12,291,142</b>	<b>10,463,095</b>

	FUNDING		
	Actual £	Budget £	Variance £
Section 106	46,000	1,632,150	1,586,150
Grants	151,217	1,667,850	1,516,633
HRA	1,006,714	2,935,136	1,928,421
General Fund	51,049	1,173,496	1,122,447
Capital Receipts	505,578	3,761,849	3,256,271
Earmarked Reserves	67,489	1,120,661	1,053,172
<b>TOTAL FUNDING</b>	<b>1,828,047</b>	<b>12,291,142</b>	<b>10,463,095</b>

### HRA Capital

- 3.6 Major refurbishment works to Council housing has been delayed initially due to the pandemic. External works have slowly progressed during the lockdown and contractors are now back on site. An underspend may be expected in year due to the slow start but it is too early at the stage to estimate the level of potential underspend.
- 3.7 Disabled adaptations of Council housing have also been delayed due to the pandemic. Works are now scheduled, and any underspend will be carried forward to enable additional works in 2021/22.

- 3.8 The budget for new build and acquisition schemes consists of the acquisition of properties in Repton, Newhall, Overseal and Aston.
- 3.9 All of the acquisitions are due to be transferred to the Council at different stages during 2020/21 but delays are likely due to the pandemic and slow house build during the first quarter.

### **General Fund Capital**

#### **Private Sector Housing Works**

- 3.10 There are several projects included within this area, one of which is Disabled Facility Grants (DFG). Expenditure on DFG has been consistently lower than the allocated budget of £400k for several years. Due to the pandemic there has been a delay to the start in 2020/21, but it is expected that the approved projects will be progressing well during the second half of the year as there is a pipeline of works to progress.
- 3.11 An update to the projects funded through the Better Care Fund is to be presented later on this Committee Agenda and if approved, the budget will be updated to reflect changes to projects.
- 3.12 A grant has been received to support victims of flooding which is separate to the Better Care Fund. This grant was not expected at the start of the year and therefore is unbudgeted. Any expenditure incurred will be covered by the grant with no additional funding required from the General Fund.

#### **Leisure and Community Schemes**

- 3.13 The Community Partnership Scheme has all the funding committed to specific projects, but the funding is still to be drawn down from the Council.
- 3.14 Melbourne Sports Park drainage works are still in the early stages. A tender for works has been completed and the contract has now been awarded.

#### **Vehicle Replacements**

- 3.15 The scheduled replacements in 2020/21 are for a new road sweeper, a tractor, additional vehicles for Grounds Maintenance and Cultural Services, a refuse freighter and a bulky waste vehicle. In addition to this, approval to purchase a gully cleansing vehicle as part of the growth and restructure of Operational Services has now been added to the budget. The vehicles purchased to-date are all for Grounds Maintenance.

#### **Asset Disposals and Renewal**

- 3.16 Costs associated with the sale of land at the former Depot of £18k have been incurred during the first six months and this can be funded from the capital receipt of £855k which was received in August 2020.
- 3.17 A General Fund contribution of £90k is set-aside each year to fund refurbishment and maintenance of Public Buildings. Due to a tender exercise the programme of works



didn't begin until the later part of 2019/20. The programme will run alongside scheduled capital works on HRA Council dwellings.

## IT Strategy

- 3.18 Following approval of an IT Strategy, sums are being set-aside annually to fund new equipment and software.
- 3.19 A number of separate tender exercises have been undertaken during 2018/19 and the early part of 2019/20 and an equipment replacement programme is currently being rolled out across the Council.
- 3.20 The allocated budget is not expected to be spent in year and will be phased across a longer period. Any underspend will be carried forward into future years.

## Capital Reserves

- 3.21 The capital reserve balances for the General Fund and HRA as at the 1st April 2020 are listed below.

	£
New Build and Acquisition Reserve	2,212,826
Major Repairs Reserve	4,190,187
Debt Repayment Reserve	6,470,000
<b>HRA Capital Reserves</b>	<b>12,873,013</b>
Capital Receipts Reserve	1,436,172
<b>General Fund Capital Reserves</b>	<b>1,436,172</b>
<b>Total Capital Reserves</b>	<b>14,309,185</b>

## HRA Capital Reserves

- 3.22 The New Build and Acquisition Reserve is topped up by all retained receipts of sales of Council houses under Right to Buy.
- 3.23 Right to Buy sales have totalled 1 as at 30th September 2020 retaining £14,520 for transfer into the New Build and Acquisition reserve. As at 31<sup>st</sup> October, 2 further sales have taken place making a total loss of 3 year to date.

	Sales £	Gross Receipts £	Less Pooled £	Retained	
				£	%
Quarter 1	1	80,925	-66,405	14,520	18%
Quarter 2	0	0	0	0	0%
<b>Total</b>	<b>1</b>	<b>80,925</b>	<b>-66,405</b>	<b>14,520</b>	<b>18%</b>

- 3.24 Any underspends on the HRA capital programme are transferred to the Major Repairs Reserve at year-end and the balance will be utilised in future years as the new schedule for capital works is implemented.

3.25 Currently the HRA has debt of £57.4m to be repaid to the Public Works Loan Board at specific dates over a 20-year period due to self-financing.

3.26 The profile of debt repayment is listed in the following table.

Date due	£
28-Mar-22	10,000,000
28-Mar-24	10,000,000
28-Mar-27	10,000,000
28-Mar-32	10,000,000
28-Mar-37	10,000,000
28-Mar-42	7,423,000
	<b><u>57,423,000</u></b>

3.27 Sums are being set-aside each year for the scheduled repayments and are included in the HRA MTFP.

### General Fund Capital Reserves

3.28 The Capital Receipts Reserve is made up of asset sales in recent years plus the overage payment received from Chestnut Avenue, Midway.

3.29 The below table includes the balance on Capital Receipts Reserve, expected receipts in year less specific projects which includes the projects approved as part of the capital bidding round.

	£ 2020/21	£ 2021/22	£ 2022/23	£ 2023/24	£ 2024/25	£ 2025/26
<b>General Capital Receipts B/fwd</b>	<b>1,436,172</b>	<b>833,850</b>	<b>1,241,128</b>	<b>1,022,667</b>	<b>1,022,667</b>	<b>972,667</b>
<b>Receipts in Year:</b>						
Sale of former Depot Site	855,000	0	0	0	0	0
Land Sale Oversetts Road	705,000	796,650	0	0	0	0
<b>Specific Projects:</b>						
Strategic Housing Market Assessment	0	0	0	0	-50,000	0
Private Sector Stock Condition Survey	0	-60,000	0	0	0	0
Empty Property Grants	-42,000	0	0	0	0	0
Repairs to Village Halls	-6,700	0	0	0	0	0
Public Buildings Planned Maintenance	-58,032	0	0	0	0	0
Costs of Land Sales	-18,378	0	0	0	0	0
Midway Community Centre Extension	-250,000	0	0	0	0	0
Capital Bid Projects	-1,787,212	-329,372	-218,461	0	0	0
<b>Capital Receipts Reserve Balance</b>	<b>833,850</b>	<b>1,241,128</b>	<b>1,022,667</b>	<b>1,022,667</b>	<b>972,667</b>	<b>972,667</b>

3.30 The Strategic Market Housing Assessment and Private Sector Stock Condition Survey are both scheduled to recur every five years.

#### **4.0 Financial Implications**

4.1 Detailed in the report.

#### **5.0 Corporate Implications**

5.1 None directly.

#### **6.0 Community Impact**

6.1 None directly.

# **COMMITTEE SUMMARY - CAPITAL MONITORING SEPTEMBER 2020**

	EXPENDITURE		
	Actual £	Budget £	Variance £
Major Improvements under Self-financing	948,253	2,635,136	1,686,882
Major Disabled Facilities Grant (Council Houses MRA)	58,461	300,000	241,539
New Build - Orchard Street, Newhall	0	280,000	280,000
New Build - Acresford Road, Overseal	0	850,000	850,000
New Build - Moore Lane, Aston On Trent	487,200	487,905	705
New Build - Milton Road, Repton	46,000	490,000	444,000
<b>HOUSING REVENUE ACCOUNT</b>	<b>1,539,914</b>	<b>5,043,041</b>	<b>3,503,126</b>
Disabled Facility Grants and other Works	15,992	553,352	537,360
Discretionary Top-up Grants for under 18's	0	100,000	100,000
Healthy Homes Project	20,473	129,872	109,399
DFG Associated Preventative Works	0	0	0
Establishing a Hospital to Home Scheme	0	200,000	200,000
Dedicated Mental Health Worker	13,407	40,000	26,593
Additional Technical Officer	15,908	40,000	24,092
Integrated Adaptations of New Build Social Housing	0	0	0
Fly Tipping and Environmental Surveillance	0	28,500	28,500
Empty Property Grants	0	42,000	42,000
Relocation Grant	0	100,000	100,000
Dementia Friendly Homes Grant	0	20,000	20,000
Domestic Violence Crisis Prevention	0	50,000	50,000
Hospital Discharge Grant	9,493	30,000	20,507
Healthy Homes Assistance Fund	49,614	199,626	150,012
Stay Active and Independent for Longer	0	60,000	60,000
Temporary Public Health Officer	13,913	45,000	31,087
Property Flood Resilience Recovery Support Scheme	12,417	0	-12,417
<b>Private Sector Housing</b>	<b>151,217</b>	<b>1,638,350</b>	<b>1,487,133</b>

	EXPENDITURE		
	Actual	Budget	Variance
	£	£	£
Community Partnership Scheme	22,923	400,695	377,772
Melbourne Sports Park - Drainage Works	15,410	419,801	404,391
Melbourne Sporting Partnership	-4,500	0	4,500
Midway Community Centre Extension	0	250,000	250,000
Midway Community Centre - Pitches	0	0	0
Oversetts Road Football Facility	0	1,188,159	1,188,159
SuDS Improvements	0	20,000	20,000
Paradise Garden, Swadlincote Town Centre	0	30,000	30,000
Revitalising Rosliston Foresty Centre	0	276,155	276,155
CCTV in Swadlincote Town Centre	0	13,000	13,000
Improvements to Play Areas	0	160,000	160,000
Extension to Marston on Dove Cemetery	0	48,000	48,000
Miners Memorial Project, Eureka Park	0	185,000	185,000
Urban Park at William Nadin Way	0	713,548	713,548
Improvements to Swadlincote Woodlands	0	30,000	30,000
Eureka Park Bowling Green Improvements	0	40,000	40,000
<b>Community Services</b>	<b>33,833</b>	<b>3,774,358</b>	<b>3,740,525</b>
Vehicle Replacements	67,489	730,661	663,172
Oversetts Road Land	378	0	-378
Sale of Depot - Costs	18,000	0	-18,000
Public Building - Repairs & Renewals	0	148,032	148,032
Repairs to Village Halls & Community Facilities	0	6,700	6,700
Civic Hub - Town Centre Regeneration	0	100,000	100,000
IT Strategy	17,216	210,000	192,784
Repairs to Melbourne Assembly Rooms	0	260,000	260,000
Purchase of Chamber Building	0	80,000	80,000
Demolition of Bank House and Car Park Creation	0	300,000	300,000
Darklands Road, Sale of Depot	0	0	0
<b>Assets</b>	<b>103,083</b>	<b>1,835,393</b>	<b>1,732,310</b>
<b>GENERAL FUND</b>	<b>288,132</b>	<b>7,248,101</b>	<b>6,959,969</b>
<b>TOTAL CAPITAL EXPENDITURE</b>	<b>1,828,047</b>	<b>12,291,142</b>	<b>10,463,095</b>

<b>REPORT TO:</b>	<b>FINANCE AND MANAGEMENT COMMITTEE</b>	<b>AGENDA ITEM:11</b>
<b>DATE OF MEETING:</b>	<b>26<sup>th</sup> NOVEMBER 2020</b>	<b>CATEGORY: DELEGATED</b>
<b>REPORT FROM:</b>	<b>STRATEGIC DIRECTOR (CORPORATE RESOURCES)</b>	<b>OPEN</b>
<b>MEMBERS' CONTACT POINT:</b>	<b>Vicki Summerfield (01283 595939)</b> <a href="mailto:victoria.summerfield@southderbyshire.gov.uk">victoria.summerfield@southderbyshire.gov.uk</a>	<b>DOC:</b> s/finance/committee/2020-21/November
<b>SUBJECT:</b>	<b>TREASURY MANAGEMENT UPDATE 2020/21</b>	<b>REF</b>
<b>WARD (S) AFFECTED:</b>	<b>ALL</b>	<b>TERMS OF REFERENCE: FM08</b>

## **1.0 Recommendation**

- 1.1 That the latest Treasury Management Update for quarter 2 2020/21 as detailed in **Appendix 1** is considered and approved.
- 1.2 That the updated Counterparty List for investments and bank deposits as detailed in **Appendix 2** is approved.

## **2.0 Purpose of the Report**

- 2.1 To provide an update on the Council's treasury management activities for the second quarter of 2020/21.
- 2.2 To provide an update on external economic factors and how these may affect treasury management in the future.
- 2.3 To report that the counterparty limits were breached on one occasion during quarter 2.

## **3.0 Detail**

- 3.1 The Council is required to manage its treasury activities under the Chartered Institute of Public Finance and Accountancy's Treasury Management in the Public Services: Code of Practice (the CIPFA Code).
- 3.2 Alongside this, the Council follows the 2017 Prudential Code which requires a Capital Strategy to be updated and approved.

- 3.3 The aims of the Codes are to ensure that the Council's capital investment plans are affordable and sustainable, that treasury management decisions are taken in accordance with best practice and that financial planning and asset management are integrated into the corporate planning arrangements.
- 3.4 The Council reports the treasury activities quarterly and the Treasury Strategy annually to this Committee. The Capital Strategy was last reported to Council in January 2019.
- 3.5 Details of the treasury activities for quarter 2 are attached in Appendix 1 but a summary of key local information is also contained in the following paragraphs.

### **Treasury Management Summary**

- 3.6 The following table shows the level of cash balances held and the borrowing liability in March 2020 and September 2020.

	<b>31.03.20 Balance £m</b>	<b>Movement £m</b>	<b>30.09.20 Balance £m</b>	<b>Average Rate %</b>
Long-term borrowing:				
Fixed	47,423	0	47,423	3.19%
Variable	10,000	0	10,000	0.48%
Short-term borrowing	28	0	28	0.00%
<b>Total borrowing</b>	<b>57,451</b>	<b>0</b>	<b>57,451</b>	
Long-term investments	4,000	0	4,000	4.44%
Short-term investments	43,371	8,179	51,550	0.01%
Cash and cash equivalents	2,388	3,919	6,307	0.00%
<b>Total investments</b>	<b>49,759</b>	<b>12,098</b>	<b>61,857</b>	
<b>Net borrowing</b>	<b>7,692</b>	<b>12,098</b>	<b>-4,406</b>	

- 3.7 The table above shows that the cash balances have increased in the year, mainly due to additional Government grants received and less capital expenditure due to the pandemic.
- 3.8 Average rates of return on investments is currently very low and there is a risk that interest rates may be negative over the coming months. The CCLA fund is a longer-term investment fund that is currently returning an average of over 4%. The budget does not include a return at this level and therefore it is a benefit in year to the General Fund and HRA.
- 3.9 HRA debt is profiled for repayment over a twenty-year period and money is being set-aside each year in the Debt Repayment Reserve. The profiled repayment is listed in the following table.

	<b>Value £'000</b>	<b>Rate %</b>	<b>Maturity</b>
Variable	10,000	0.92	2021/22
Fixed	10,000	2.70	2023/24
Fixed	10,000	3.01	2026/27
Fixed	10,000	3.30	2031/32
Fixed	10,000	3.44	2036/37
Fixed	7,423	3.50	2041/42
<b>Long-term Borrowing</b>	<b><u>57,423</u></b>		

## **Counterparty Investment Limits**

- 3.9 The Council utilises a Treasury Adviser to provide updates on the financial markets and guide on the most secure financial institutions to invest surplus cash with.
- 3.10 A counterparty investment limit is approved by this Committee quarterly and the Council must report any breaches. A summary table is included within Appendix 1 to show the maximum balances on deposit during the quarter.
- 3.11 On 30<sup>th</sup> September, the S151 Officer was advised that a breach of approved investment limits was due to occur and approved that the counterparty breach was to be contained within the Council's current account with Barclays. This was a one-day breach totaling £279,171.
- 3.12 The counterparty limits have been breached on a couple of occasions during October and November due to the high levels of cash deposits that the Council has accumulated, and a revised counterparty investment list is attached at Appendix 2 which requests increased limits as follows:
- An increased limit from £2m to £3m on Barclays Bank. Although the counterparty list includes Natwest, Royal Bank of Scotland and Ulster Bank within the same category as Barclays, the Council does not have an open account with these three banks.
  - An increase in the number of Money Market Funds from four to seven all at £2m each.

## **4.0 Financial Implications**

- 4.1 As detailed in the report

## **5.0 Corporate Implications**

- 4.1 None directly

## **6.0 Community Implications**

- 6.1 None directly



## **7.0 Background Papers**

- 7.1 Treasury Management in the Public Services Code of Practice  
(CIPFA Publication - December 2017)



# South Derbyshire District Council

## **Treasury Management Report Q2 2020/21**

## **Introduction**

The Authority 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 Authority to approve treasury management semi-annual and annual reports.

The Authority's treasury management strategy for 2020/21 was approved at a meeting of the Authority on 26th February 2020. The Authority has borrowed and 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 are therefore central to the Authority's treasury management strategy.

The 2017 Prudential Code includes a requirement for local authorities to provide a Capital Strategy, a summary document approved by full Council covering capital expenditure and financing, treasury management and non-treasury investments. The Authority's Capital Strategy, complying with CIPFA's requirement, was approved by full Council on 17th January 2019.

The detail that follows is in accordance with the CIPFA Code and is written with support from the Council's Treasury Advisor, Arlingclose.

## **External Context**

Economic background: The spread of the coronavirus pandemic dominated during the period as countries around the world tried to manage the delicate balancing act of containing transmission of the virus while easing lockdown measures and getting their populations and economies working again. After a relatively quiet few months of Brexit news it was back in the headlines towards the end of the period as agreement between the UK and EU on a trade deal was looking difficult and the government came under fire, both at home and abroad, as it tried to pass the Internal Market Bill which could override the agreed Brexit deal, potentially breaking international law.

The Bank of England (BoE) maintained Bank Rate at 0.1% and its Quantitative Easing programme at £745 billion. The potential use of negative interest rates was not ruled in or out by BoE policymakers, but then a comment in the September Monetary Policy Committee meeting minutes that the central bank was having a harder look at its potential impact than was previously suggested took financial markets by surprise.

Government initiatives continued to support the economy, with the furlough (Coronavirus Job Retention) scheme keeping almost 10 million workers in jobs, grants and loans to businesses and 100 million discounted meals being claimed during the 'Eat Out to Help Out' (EOHO) offer.

GDP growth contracted by a massive 19.8% (revised from first estimate -20.4%) in Q2 2020 (Apr-Jun) according to the Office for National Statistics, pushing the annual growth rate down to -21.5% (first estimate -21.7%). Construction output fell by 35% over the quarter, services output by almost 20% and production by 16%. Recent monthly estimates of GDP

have shown growth recovering, with the latest rise of almost 7% in July, but even with the two previous monthly gains this still only makes up half of the lost output.

The headline rate of UK Consumer Price Inflation (CPI) fell to 0.2% year/year in August, further below the Bank of England's 2% target, with the largest downward contribution coming from restaurants and hotels influenced by the EHOH scheme. The Office for National Statistics' preferred measure of CPIH which includes owner-occupied housing was 0.5% y/y.

In the three months to July, labour market data showed the unemployment rate increased from 3.9% to 4.1% while wages fell 1% for total pay in nominal terms (0.2% regular pay) and was down 1.8% in real terms (-0.7% regular pay). Despite only a modest rise in unemployment over the period, the rate is expected to pick up sharply in the coming months as the furlough scheme ends in October. On the back of this, the BoE has forecast unemployment could hit a peak of between 8% and 9%.

The US economy contracted at an annualised rate of 31.7% in Q2 2020 (Apr-Jun). The Federal Reserve maintained the Fed Funds rate at between 0% and 0.25% but announced a change to its inflation targeting regime. The move is to a more flexible form of average targeting which will allow the central bank to maintain interest rates at low levels for an extended period to support the economy even when inflation is 'moderately' above the 2% average target, particularly given it has been below target for most of the last decade.

The European Central Bank maintained its base rate at 0% and deposit rate at -0.5%.

### **Financial markets:**

Equity markets continued their recovery, with the Dow Jones climbing to not far off its pre-crisis peak, albeit that performance being driven by a handful of technology stocks including Apple and Microsoft, with the former up 75% in 2020. The FTSE 100 and 250 have made up around half of their losses at the height of the pandemic in March. Central bank and government stimulus packages continue to support asset prices, but volatility remains.

Ultra-low interest rates and the flight to quality continued, keeping gilts yields low but volatile over the period with the yield on some short-dated UK government bonds remaining negative. The 5-year UK benchmark gilt yield started and ended the June–September period at -0.06% (with much volatility in between). The 10-year gilt yield also bounced around, starting at 0.21% and ending at 0.23% over the same period, while the 20-year rose from 0.56% to 0.74%. 1-month, 3-month and 12-month bid rates averaged 0.02%, 0.06% and 0.23% respectively over the period.

At the end of September, the yield on 2-year US treasuries was around 0.13% while that on 10-year treasuries was 0.69%. German bund yields remain negative across most maturities.

### **Credit review:**

Credit default swap spreads eased over most of the period but then started to tick up again through September. In the UK, the spreads between ringfenced and non-ringfenced entities remains, except for retail bank Santander UK whose CDS spread remained elevated and the highest of those we monitor at 85bps while Standard Chartered was the lowest at 41bps. The ringfenced banks are currently trading between 45 and 50bps.

After a busy second quarter of the calendar year, the subsequent period has been relatively quiet for credit changes for the names on our counterparty list. Fitch assigned a AA- deposit

rating to Netherlands lender Rabobank with a negative outlook and prior to that, while not related to our counterparty list but quite significant, revised the outlook on the US economy to Negative from Stable while also affirming its AAA rating.

There continues to remain much uncertainty around the extent of the losses banks and building societies will suffer due to the impact from the coronavirus pandemic and for the UK institutions on our list there is the added complication of the end of the Brexit transition period on 31st December and what a trade deal may or may not look like. The institutions on Arlingclose's counterparty list and recommended duration remain under constant review, but at the end of the period no changes had been made to the names on the list or the recommended maximum duration of 35 days.

### **Local Context**

On 31st March 2020, the Authority had net borrowing of £7.69m arising from its revenue and capital income and expenditure. This fell to £-4,406 by the end of the quarter. 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 below.

### **Capital Financing Requirement (CFR)**

	<b>31.03.20 Actual £,000</b>	<b>30.06.20 Actual £'000</b>	<b>30.09.20 Actual £,000</b>
<b><u>Housing Revenue Account</u></b>			
Debt Outstanding	57,423	57,423	57,423
Capital Financing Requirement (CFR)	61,584	61,584	61,584
Statutory Debt Cap	66,853	66,853	66,853
<b>Borrowing Capacity (Cap less Debt Outstanding)</b>	<b>9,430</b>	<b>9,430</b>	<b>9,430</b>
<b><u>General Fund</u></b>			
Debt Outstanding	0	0	0
Capital Financing Requirement (CFR)	5,653	5,653	5,653
<b>Borrowing Capacity (Cap less Debt Outstanding)</b>	<b>5,653</b>	<b>5,653</b>	<b>5,653</b>
<b>Total Capital Financing Requirement (CFR)</b>	<b>67,237</b>	<b>67,237</b>	<b>67,237</b>

The Authority's current strategy is to maintain borrowing and investments below their underlying levels, sometimes known as internal borrowing, in order to reduce risk and keep interest costs low.

The overall treasury management position at 30<sup>th</sup> September 2020 and the change during the quarter is shown below.

### Treasury Management Summary

	31.03.20 Balance £m	Movement £m	30.09.20 Balance £m	Average Rate %
Long-term borrowing:				
Fixed	47,423	0	47,423	3.19%
Variable	10,000	0	10,000	0.48%
Short-term borrowing	28	0	28	0.00%
<b>Total borrowing</b>	<b>57,451</b>	<b>0</b>	<b>57,451</b>	
Long-term investments	4,000	0	4,000	4.44%
Short-term investments	43,371	8,179	51,550	0.01%
Cash and cash equivalents	2,388	3,919	6,307	0.00%
<b>Total investments</b>	<b>49,759</b>	<b>12,098</b>	<b>61,857</b>	
<b>Net borrowing</b>	<b>7,692</b>	<b>12,098</b>	<b>(4,406)</b>	

### Borrowing update

On 9th October 2019 the PWLB raised the cost of certainty rate borrowing to 1.8% above UK gilt yields making it relatively expensive. Market alternatives are available, however the financial strength of individual authorities will be scrutinised by investors and commercial lenders.

The Chancellor's March 2020 Budget statement included significant changes to Public Works Loan Board (PWLB) policy and launched a wide-ranging consultation on the PWLB's future direction. Announcements included a reduction in the margin on new Housing Revenue Account (HRA) loans to 0.80% above equivalent gilt yields the value of this discount is 1% below the rate at which the authority usually borrows from the PWLB). £1.15bn of additional "infrastructure rate" funding at gilt yields plus 0.60% has been made available to support specific local authority infrastructure projects for England, Scotland and Wales for which there is a bidding process.

The consultation titled "Future Lending Terms" allows stakeholders to contribute to developing a system whereby PWLB loans can be made available at improved margins to support qualifying projects. It contains proposals to allow authorities that are not involved in "debt for yield" activity to borrow at lower rates as well as stopping local authorities using PWLB loans to buy commercial assets primarily for yield. The consultation also broaches the possibility of slowing, or stopping, individual authorities from borrowing large sums in specific circumstances.

The consultation closed on 31st July 2020 with the announcement and implementation of the revised lending terms expected in the latter part of this calendar year or early next year.

### Borrowing Activity

At 30<sup>th</sup> September 2020 the Authority held £57.4m of loans. These loans were taken out by the Authority in 2011/12 for the purpose of HRA self-financing. The principal element of these loans is repayable in full on maturity, with interest being paid each March and September.

The short-term borrowing of £28k relates to deposits received from two Parish Councils within the District. These loans can be recalled on immediate notice. Interest is calculated at the Bank of England Base Rate, less 1%. No interest is currently being paid due to the Base Rate being less than 1%.

The following table shows the maturity dates of the loans and rate of interest payable.

#### Borrowing Position

<b>Loan Profile</b>	<b>Type</b>	<b>Value £'000</b>	<b>Rate %</b>	<b>Maturity</b>
Public Works Loan Board	Variable	10,000	0.92	2021/22
Public Works Loan Board	Fixed	10,000	2.70	2023/24
Public Works Loan Board	Fixed	10,000	3.01	2026/27
Public Works Loan Board	Fixed	10,000	3.30	2031/32
Public Works Loan Board	Fixed	10,000	3.44	2036/37
Public Works Loan Board	Fixed	7,423	3.50	2041/42
<b>Total Long-term borrowing</b>		<b>57,423</b>		
Short-term Parish Council Loans		<b>28</b>	0.00	
<b>Total borrowing</b>		<b>57,451</b>		

The Authority's chief objective when borrowing has been to strike an appropriately low risk balance between securing low interest costs and achieving cost certainty over the period for which funds are required, with flexibility to renegotiate loans should the Authority's long-term plans change being a secondary objective.

#### Treasury Investment Activity

On 6th April 2020 the Authority received central government funding to support small and medium businesses during the coronavirus pandemic through grant schemes. £15.2m was received, temporarily invested in short-dated, liquid instruments such as call accounts and Money Market Funds. £14.25m was disbursed by the end of June.

The Authority holds significant invested funds, representing income received in advance of expenditure plus balances and reserves held. During the quarter, the Authority's investment balance ranged between £50m and £62m due to timing differences between income and expenditure. The investment position during the quarter is shown in the table below.

### Treasury Investment Position

	<b>30.03.20 Balance £'000</b>	<b>Q2 2020 Movement £'000</b>	<b>30.09.20 Balance £'000</b>	<b>30.09.20 Rate of Return %</b>
Banks (unsecured)	2,388	3,919	6,307	0.00
Local Authorities	40,350	3,000	43,550	0.01
Money Market Funds	3,000	5,000	8,000	0.04
CCLA Property Fund	4,000	0	4,000	4.44
<b>Total investments</b>	<b>49,738</b>	<b>12,119</b>	<b>61,857</b>	

Both the CIPFA Code and government guidance require the Authority 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 Authority'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.

Continued downward pressure on short-dated cash rate brought net returns on sterling low volatility net asset value money market funds (LVNAV MMFs) close to zero even after some managers have temporarily lowered their fees. At this stage net negative returns are not the central case of most MMF managers over the short-term, and fee waivers should maintain positive net yields, but the possibility cannot be ruled out.

On 25th September the overnight, 1- and 2-week deposit rates on Debt Management Account Deposit Facility (DMADF) deposits dropped below zero percent to -0.03%, the rate was 0% for 3-week deposits and 0.01% for longer maturities.

The return on Money Market Funds net of fees also fell over the six months and for many funds net returns range between 0% and 0.1%. In many instances, the fund management companies have temporarily lowered or waived fees to maintain a positive net return.

In furtherance of these objectives, and given the increasing risk and falling returns from short-term unsecured bank investments, the Authority has undertaken greater detailed cash flow forecasting which has enabled it to enter into longer-term deposits with other Local Authorities, therefore securing a higher rate of return.

In the light of the pandemic crisis and the likelihood of unexpected calls on cash flow, the Authority kept more cash available at very short notice than is normal. Liquid cash was diversified over several counterparties and/or Money Market Funds to manage both credit and liquidity risks.



The progression of risk and return metrics are shown in the extracts from Arlingclose's quarterly investment benchmarking below.

Investment Benchmarking – Treasury investments managed in-house (excludes CCLA)

	<b>Credit Score</b>	<b>Credit Rating</b>	<b>Bail-in Exposure</b>	<b>Weighted Average Maturity (days)</b>	<b>Rate of Return %</b>
<b>30.09.2020</b>	3.85	AA-	25%	74	0.02
<b>Similar LAs</b>	4.15	AA-	65%	70	-0.87
<b>All LAs</b>	4.16	AA-	64%	56	-0.46

**Credit Score:** This is a value weighted average score calculated by weighting the credit score of each investment by its value. A higher number indicates a higher risk.

**Credit Rating:** This is based on the long term rating assigned to each institution in the portfolio, by ratings agencies Fitch, Moody's and Standard & Poor's. Ratings rang from AAA to D, and can be modified by +/-

**Bail in Exposure:** The adoption of a bail in regime for failed banks results in a potential increased risk of loss of funds for local authority should this need to be implemented. Therefore a lower exposure to bail in investments reduces this risk.

**Weighted Average Maturity:** This is an indicator of the average duration of the internally managed investments. Similar authorities have a similar profile to South Derbyshire; other larger authorities tend to hold a greater proportion of fund in money markets than fixed term deposits with other LAs, due to their cash flow requirements.

### **Externally Managed Pooled Funds**

In a relatively short period since the onset of the COVID-19 pandemic in March and the ensuing enforced lockdown in many jurisdictions, the global economic fallout has been sharp and large. Market reaction was extreme with large falls in equities, corporate bond markets and, to some extent, real estate echoing lockdown-induced paralysis and the uncharted challenges for governments, business and individuals.

Similar to many other property funds, dealing (i.e. buying or selling units) in the CCLA Local Authorities Property Fund was suspended by the fund in March 2020. The relative infrequency of property transactions in March as the pandemic intensified meant that it was not possible for valuers to be confident that their valuations correctly reflected prevailing conditions. To avoid material risk of disadvantage to buyers, sellers and holders of units in the property fund, the management company was obliged to suspend transactions until the required level of certainty is re-established. The dealing suspension was lifted in September 2020. There has also been a change to redemption terms for the CCLA Local Authorities Property Fund; from September 2020 investors are required to give at least 90 calendar days' notice for redemptions.

Because the Authority's externally managed funds have no defined maturity date, but are available for withdrawal after a notice period, their performance and continued suitability in meeting the Authority's investment objectives are regularly reviewed. Strategic fund investments are made in the knowledge that capital values will move both up and down on months, quarters and even years; but with the confidence that over a three- to five-year period total returns will exceed cash interest rates.

In 2020/21 the Authority expects to receive significantly lower income from its cash and short-dated money market investments and from its externally managed funds than it did in 2019/20 and earlier years. Dividends and income paid will ultimately depend on many factors including but not limited to the duration of COVID-19 and the extent of its economic impact, the fund's sectoral asset allocation, securities held/bought/sold and, in the case of equities, the enforced or voluntary dividend cuts or deferral.

#### CCLA Property Fund Performance

		2019/20	2020/21	2020/21
		Q4	Q1	Q2
Dividend Received	£	40,484	34,886	38,633
Annual Equivalent Interest Rate	%	4.57%	4.01%	4.44%
Bid (Selling) Price	pence/unit	291.15	279.57	283.43

The mid-market value of the fund as at the 30<sup>th</sup> September 2020 is £3,527,513 and the bid market value is £3,472,876. This reinforces the notion that the Fund should only be considered for long-term investments.

#### Performance

##### **Average 7 day Interest Rate**

The main indicator the Council uses to measure its return on short-term investments to average over the year, is the Average 7-Day Money Market Rate. This is a standard measure of performance. Performance for the second quarter is shown below.

	As at 31.03.20	As at 30.09.20
Average 7-Day Money Market Rate (Target)	0.42%	0.15%
Average Interest Rate Achieved on Short Term Deposits	0.54%	0.57%

##### **Cost of Debt**

This indicator shows how much the costs of borrowing impacts upon each household (at Band D Council Tax rate) in the District. The impact on Council Tax is positive as the General Fund has no actual debt. The performance for the second quarter is shown below using the current interest received compared to the annual interest received last year.

General Fund Impact per Council Tax Payer	Actual 31.03.2020	As at 30.09.20
	£'000	£'000
Net Interest Received - General Fund	-299,788	-160,494
Band D Properties	33,302	34,474
<b>Cost per Band D Property</b>	<b>-£9.00</b>	<b>-£4.66</b>

The cost of debt on each council tenant (HRA) is shown below. The performance for the second quarter is the actual costs compared to the estimated costs for the year. The fluctuation in interest paid is the decrease in interest rate of the £10m variable loan and the acquisition of new council houses.

HRA Debt Interest per Dwelling	31.03.20 Actual	30.09.2020 Estimated
HRA Interest Payable	1,595,062	1,553,198
Dwellings	2,970	2,978
<b>Annual Cost per Dwelling</b>	<b>£537.06</b>	<b>£521.56</b>

## **Compliance**

The Chief Finance Officer reports that during the second quarter treasury management activities have not fully complied with the CIPFA Code of Practice and the Authority's approved Treasury Management Strategy.

On the 30<sup>th</sup> September the balance held in the Council's main bank account, Barclays breached the Counterparty limit of £2m. The reason for the breach is that the cash limits were almost at a maximum and a large invoice was unexpectedly paid resulting in the Council exceeding the counterparty limit by £279,171. The S151 Officer was informed of the potential breach and advised the Finance team to exceed the limit in the current account rather than any other counterparty.

Whilst the level of cash received is higher than forecasted and maintains the Council's level of liquidity, the investment limits are not fully utilising the Council's ability to avoid zero or negative interest rates. The proposal is to open additional Money Market accounts which currently protect their client's against negative interest rates by removing any charges on their accounts in order to maintain at its lowest a zero return.

Non-compliance with specific investment limits is demonstrated in the table below:

### Investment Limits

	Maximum Investment during Q2 £m	Maximum Invested per Counterparty £m	Limit	Maximum Term	Complied
Debt Management Office	£19.5m	£3m	£20m in total	364 days	✓
Other Local Authorities	£34.3m	£5m	£5m per Authority	364 days	✓
Money Market funds	£8m	£2m	£8m total, £2m per fund	60 days	✓
CCLA Property Fund	£4m	£4m	£4m	Indefinite period	✓
Named Counterparties (HSBC/Lloyds/BOS/Santander)	£1.99m	£1.99m	£2m per Bank	35 days	✓
Named Counterparties (Barclays/NatWest/RBS)	£2.3m	£2.3m	£2m per Bank	35 days	X
Named Counterparties (Nationwide)	0	0	5% of total deposits	35 days	✓
Foreign Counterparties	0	0	AAA rated - £1m per Bank		✓
Independent Building Societies	0	0	£1m per Society	35 days	✓

### Other

IFRS 16: The implementation of the new IFRS 16 Leases accounting standard has been delayed until 2021/22.

### Outlook for the remainder of 2020/21

	Dec-20	Mar-21	Jun-21	Sep-21	Dec-21	Mar-22	Jun-22	Sep-22	Dec-22	Mar-23	Jun-23	Sep-23	Dec-23
Official Bank Rate													
Upside risk	0.00	0.00	0.00	0.15	0.15	0.15	0.15	0.30	0.30	0.30	0.30	0.30	0.30
Arlingclose Central Case	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10
Downside risk	0.50	0.50	0.50	0.50	0.50	0.50	0.50	0.50	0.50	0.50	0.50	0.50	0.50

The medium-term global economic outlook is weak. While the strict initial lockdown restrictions have eased, coronavirus has not been suppressed and second waves have prompted more restrictive measures on a regional and national basis. This ebb and flow of restrictions on normal activity will continue for the foreseeable future, at least until an effective vaccine is produced and importantly, distributed.

The global central bank and government responses have been significant and are in many cases on-going, maintaining more stable financial, economic and social conditions than otherwise. This has supported a sizeable economic recovery in Q3.

However, the scale of the economic shock to demand, on-going social distancing measures, regional lock downs and reduced fiscal support will mean that the subsequent

pace of recovery is limited. Early signs of this are already evident in UK monthly GDP and PMI data, even before the latest restrictions.

This situation will result in central banks maintaining low interest rates for the medium term. In the UK, Brexit is a further complication. Bank Rate is therefore likely to remain at low levels for a very long time, with a distinct possibility of being cut to zero. Money markets have priced in a chance of negative Bank Rate.

Longer-term yields will also remain depressed, anchored by low central bank policy rates, expectations for potentially even lower rates and insipid inflation expectations. There is a chance yields may follow a slightly different path in the medium term, depending on investor perceptions of growth and inflation, or if the UK leaves the EU without a deal.

Arlingclose expects Bank Rate to remain at the current 0.10% level and additional monetary loosening in the future most likely through further financial asset purchases (QE). While Arlingclose's central case for Bank Rate is no change from the current level of 0.1%, further cuts to Bank Rate to zero or even into negative territory cannot be completely ruled out.

Gilt yields are expected to remain very low in the medium term. Shorter-term gilt yields are currently negative and will remain around zero or below until either the Bank of England expressly rules out negative Bank Rate or growth/inflation prospects improve.

Downside risks remain in the near term, as the government dials down its fiscal support measures, reacts to the risk of a further escalation in infection rates and the Brexit transition period comes to an end.

**COUNTERPARTY LIST 2020/21**  
**(As at 31<sup>st</sup> October 2020)**

Institution	Limit	Maximum Term
<b><u>Specified Investments</u></b>		
<ul style="list-style-type: none"> <li>UK Debt Management Office (DMO)</li> </ul>	<b>£20m</b>	364 Days
<ul style="list-style-type: none"> <li>Local, Police, Fire and Parish Authorities</li> </ul>	<b>£5m</b> with any one Authority	364 Days
<b><u>Non-Specified Investments</u></b>		
<b><i>Named Counterparties</i></b>		
<ul style="list-style-type: none"> <li>CCLA LAMIT Property Fund</li> </ul>	<b>£4m</b>	Indefinite period, subject to quarterly review
<ul style="list-style-type: none"> <li>Money Market Funds</li> </ul>	<b>£14m in total and £2m with any one Fund</b>	60 days
<ul style="list-style-type: none"> <li>HSBC</li> <li>Lloyds Bank Plc</li> <li>Bank of Scotland</li> <li>Standard Chartered Bank</li> <li>Santander UK</li> </ul>	<b>£2m</b> with any one Bank	35 days
<ul style="list-style-type: none"> <li>Barclays Bank</li> <li>NatWest Bank</li> <li>Royal Bank of Scotland</li> <li>Ulster Bank Ltd</li> </ul>	<b>£3m</b> with any one Bank	35 days
<ul style="list-style-type: none"> <li>Nationwide Building Society</li> </ul>	<b>5% of total deposits</b>	35 days
<b><i>Foreign Counterparties</i></b>		
<ul style="list-style-type: none"> <li>AAA rated institutions (<i>subject to separate approval by the Section 151 Officer</i>)</li> </ul>	<b>5% of total deposits</b>	35 days
<b><i>Independent Building Societies</i></b>		
<ul style="list-style-type: none"> <li><i>subject to separate approval by the Section 151 Officer</i></li> </ul>	<b>£1m</b> with any one Bank	1 month
	<b>£1m</b> with any one society	35 days

<b>REPORT TO:</b>	<b>FINANCE AND MANAGEMENT COMMITTEE</b>	<b>AGENDA ITEM: 12</b>
<b>DATE OF MEETING:</b>	<b>26<sup>th</sup> NOVEMBER 2020</b>	<b>CATEGORY: DELEGATED</b>
<b>REPORT FROM:</b>	<b>STRATEGIC DIRECTOR (CORPORATE RESOURCES)</b>	<b>OPEN</b>
<b>MEMBERS' CONTACT POINT:</b>	<b>KEVIN STACKHOUSE (595811)</b> <a href="mailto:kevin.stackhouse@southderbyshire.gov.uk">kevin.stackhouse@southderbyshire.gov.uk</a>	<b>DOC:</b> s:\cent_serv\complaints\committee reports\working papers for Dec 2020\Complaints and FOI report for Dec 2020
<b>SUBJECT:</b>	<b>COMMENTS, COMPLIMENTS, COMPLAINTS &amp; FREEDOM OF INFORMATION REQUESTS 01 APRIL 2020 TO 30 SEPTEMBER 2020</b>	<b>REF: KS/SH</b>
<b>WARD(S) AFFECTED:</b>	<b>ALL</b>	<b>TERMS OF REFERENCE: FM11</b>

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## **1.0 Recommendations**

- 1.1 That the comments, compliments, complaints and FOI requests, as detailed in the report, are considered and noted.

## **2.0 Purpose of Report**

This report provides:

- 2.1 A summary of official comments, compliments, complaints and Freedom of Information (FOI) requests received by the Council for the period 1 April 2020 to 30 September 2020. Details of individual complaints and requests etc, can be found at: <https://www.southderbyshire.gov.uk/about-us/open-data-and-transparency>. Figures for the corresponding period in 2019/20 are given for comparison purposes.

## **3.0 Executive Summary**

### **Comments, Compliments and Complaints**

- 3.1 The comments, compliments and complaints procedure is designed to encourage people to give informal feedback on our services.
- 3.2 0 comments, 93 compliments and 55 complaints have been received between 1 April 2020 to 30 September 2020.
- 3.3 The number of complaints received in the first half of this financial year has increased compared to the corresponding period of 2019/20, and the number of compliments received has decreased.

- 3.4 Members are informed via e-mail (enclosing a copy of the original complaint) when a complaint is received relating to their ward. This is for information purposes only. A copy of the response letter sent to the complainant has been provided to Ward members from 01 June 2019.

### **Freedom of Information**

- 3.5 South Derbyshire District Council is committed to making itself more open. A large amount of information is already available to the public, through our website or through our offices and at local libraries.

### **Publication Scheme**

- 3.6 Under the Freedom of Information Act, South Derbyshire District Council has a duty to adopt and maintain a Publication Scheme describing:
- The classes of information it publishes
  - How and where such information is published (e.g. website, paper copy, etc.) and
  - Whether or not a charge is made for such information

The purpose of a Publication Scheme is to let everyone know what information will be automatically or routinely published by the Council and to ensure that a significant amount of information is available to the public, without the need for a specific request to be made.

In line with guidance from the Information Commissioner's Office, the scheme is updated regularly and the current version is available from the Website at:

[http://www.southderbyshire.gov.uk/council\\_and\\_democracy/data\\_protection\\_and\\_freedom\\_of\\_information/default.asp](http://www.southderbyshire.gov.uk/council_and_democracy/data_protection_and_freedom_of_information/default.asp)

- 3.7 A total of 287 Freedom of Information requests have been received from 1 April 2020 to 30 September 2020. This is a decrease of 58 over the corresponding period for 2019/20.

## **4.0 Background**

- 4.1 The Comments, Compliments and Complaints customer leaflet and procedure is available for download from the Website or can be completed using an electronic form:

[http://www.southderbyshire.gov.uk/council\\_and\\_democracy/complaints/comment\\_compliment\\_or\\_complaint\\_form/default.asp](http://www.southderbyshire.gov.uk/council_and_democracy/complaints/comment_compliment_or_complaint_form/default.asp)

- 4.2 The aim of The Freedom of Information Act 2000, which came into force on 01 January 2005, is to extend the right to allow public access to information that the Council holds.



## 5.0 Detail

### Comments

- 5.1 0 comments were received over the past six months. Any comments received are carefully considered and, if appropriate, are investigated under the complaints procedure.

Department	1 April 2019 – 30 September 2019	1 April 2020 – 30 September 2020
Operational Services	1	
Planning and Strategic Housing	1	
Environmental Services	1	
<b>Total</b>	<b>3</b>	<b>0</b>

### Compliments

- 5.2 The table below compares the number of compliments received for the first half of 2020/2021 against the first half of 2019/2020. Compliments generally relate to the quality of the service provided and/or actions of individuals. The increase for Operational Services was due to the response to the Covid-19 situation. The decrease for Cultural and Community Services was due to no events and play schemes taking place over the Summer of 2020 due to Covid-19.

Department	1 April 2019 – 30 September 2019	1 April 2020 – 30 September 2020
Organisational Development and Performance	1	0
Customer Services	1	8*
Housing Services	0	19
Cultural and Community Services	139*	5*
Operational Services	28*	58*
Planning and Strategic Housing Services	1	2
Environmental Services	3	1
Legal and Democratic Services	1	0
Partner Organisations (CVS)	1	0
<b>Total</b>	<b>175</b>	<b>93</b>

\* This indicates where one compliment has referred to two separate services

### Complaints

- 5.3 The table below compares the number of official complaints received:-

	1 April 2019 – 30 September 2019	1 April 2020 – 30 September 2020
Resolved at Stage 1	33	43

Stage 1 still ongoing	1	0
Resolved at Stage 2	6	11
Stage 2 still ongoing	1	0
Withdrawn	0	1
<b>Total received</b>	<b>41</b>	<b>55</b>

5.4 The 55 complaints received can be broken down as follows:-

<b>Department</b>	<b>1 April 2019 – 30 September 2019</b>	<b>1 April 2020 – 30 September 2020</b>
Corporate Resources	1	0
Finance Services	1	1
Corporate Property Services	0	1*
Customer Services	4*	2
Housing Services	9*	15
Cultural and Community Services	3*	5*
Operational Services	7*	15
Planning and Strategic Housing Services	7*	9
Environmental Services	4*	3
Legal and Democratic Services	5*	4
<b>Total</b>	<b>41</b>	<b>55</b>

\* This indicates where one complaint has referred to more than one service

5.5 For comparison, the table below shows the total number of complaints over the last three complete years:-

<b>Department</b>	<b>2017/18</b>	<b>2018/19</b>	<b>2019/20</b>
Corporate Resources	2*	0	0
Organisational Development and Performance	0	1*	1*
Finance Services **	0)	1)	1
Corporate Property Services **	1)	2)	2
Customer Services	12*	13*	18*
Housing Services	22	24*	26
Cultural and Community Services	6	7*	10
Planning and Strategic Housing Services	15	16*	14*
Environmental Services **	25)	26*)	12*
Operational Services **	)	)	22
Legal and Democratic Services	6	7*	5
<b>Total</b>	<b>89</b>	<b>97</b>	<b>111</b>

\* This indicates where one complaint has referred to two separate divisions.

\*\* This indicates where Finance & Corporate Property Services and Environmental & Operational Services were counted as one service for the Years 2017/18 & 2018/19.

- 5.6 Managers dealing with the complaint are asked to complete a questionnaire following each complaint. This provides details of actions taken and improvements made as a consequence of a complaint.
- 5.7 If a complaint cannot be resolved at Stage 2 of our procedure, it can be taken to the Local Government Ombudsman for independent consideration. These complaints are the subject of a separate annual report.

### **Freedom of Information Requests**

- 5.8 Although the Freedom of Information Act 2000 creates a general right of access to information, it also sets out information that we do not have to make available for specific reasons. This is information, which, if published, might prejudice the health, safety or security of the Council, our staff, systems, services or property.
- 5.9 We make as much information available as possible without charging for it. We do however reserve the right to levy a reasonable charge where the information request is extensive and would require more than 2 days' staff time to satisfy the request.
- 5.10 The Council deals with hundreds of routine requests for information every day by phone and by letter. These are referred to as "business as usual requests". We will deal with these in the normal way. However, information that is not readily available and that has to be prepared or extracted is handled differently. We are entitled to make a charge for this kind of information.
- 5.11 Requests for information under Freedom of Information have to be processed within 20 working days. However, requests for details under the Freedom of Information Act can be turned down if they fall within certain exemption criteria.
- 5.12 The table below compares the Freedom of Information requests received for the first half 2019/2020 against the first half of 2020/2021.

Note: the figures also include any requests that have been made under EIR (Environmental Information Regulations).

	<b>1 Apr 2019 - 30 Sept 2019</b>	<b>1 Apr 2020 - 30 Sept 2020</b>
Total Number of Requests Received	345	287
Less passed to other organisations	53	42
Less those withdrawn or duplicate requests	0	3
Less exemptions/partial exemptions	8	3
<b>Total Requests Answered</b>	<b>284</b>	<b>239</b>
Number replied to within 20 statutory days	273	226
Number replied to after 20 statutory days	11	13
Percentage replied to within 20 statutory days	96%	95%
Percentage replied to after 20 days	4%	5%

5.13 The requests for information received can be broken down as follows:

Department	1 April 2019 – 30 September 2019	1 April 2020 – 30 September 2020
Corporate Resources	13*	2*
Finance Service	9*	15*
Organisational Development & Performance	16*	13*
Business Change & ICT	23*	25*
Corporate Property Services	4	7*
Customer Services	71*	47*
Environmental Services	55*	49*
Housing Services	26*	19*
Cultural and Community Services	19*	17*
Operational Services	5	12*
Planning and Strategic Housing Services	32*	19*
Legal and Democratic Services	20*	19*
Economic Development & Growth	0	1
Passed to 3 <sup>rd</sup> Parties	53	42*

\* Same request has involved several Services.

## **6.0 Financial Implications**

6.1 None directly stemming from this report.

## **7.0 Corporate Implications**

7.1 Under the Complaints procedure the Council will write to the complainant within 5 working days, telling them who is dealing with their complaint and when they can expect to receive a reply. In most cases a full reply will be sent within 10 working days.

7.2 Under the Freedom of Information Act the Council has to respond to any requests received within 20 working days. For many requests the information required cuts across areas of the Council. Consequently a coordinated approach has to be taken in the Council's response, with each service area being responsible for providing the information requested relating to their area.

## **8.0 Community Implications**

8.1 None.

## **9.0 Background Papers**

None.

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<b>REPORT TO:</b>	<b>FINANCE AND MANAGEMENT COMMITTEE</b>	<b>AGENDA ITEM: 13</b>
<b>DATE OF MEETING:</b>	<b>26<sup>th</sup> NOVEMBER 2020</b>	<b>CATEGORY: DELEGATED/</b>
<b>REPORT FROM:</b>	<b>STRATEGIC DIRECTOR SERVICE DELIVERY</b>	<b>PARAGRAPH NO:</b>
<b>MEMBERS' CONTACT POINT:</b>	<b>CHRIS SMITH EXT: 5924</b>	<b>DOC:</b>
<b>SUBJECT:</b>	<b>MODERN SLAVERY STATEMENT 2019/20</b>	<b>REF:</b>
<b>WARD(S) AFFECTED:</b>	<b>ALL</b>	<b>TERMS OF REFERENCE:</b>

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## **1.0 Recommendations**

- 1.1 That the Committee considers and approves the revised Council Modern Slavery Statement (Appendix 1).
- 1.2 The Committee notes that in the future, the Strategic Director – Service Delivery be given delegated authority, in consultation with the Chairman of the Committee, to agree the Annual Statement, subject to there being no significant changes made. This is in line with Derbyshire County Council's Statement which is approved annually by its Director of Community Services.
- 1.3 That the Committee considers and approves the revised Modern Slavery Referral Procedure and Guidance for Council Employees (Appendix 2)
- 1.4 The Committee notes that the above recommendations were approved by the Housing and Communities Committee at its meeting on 19<sup>th</sup> November.

## **2.0 Purpose of Report**

- 2.1 The purpose of this report is to update the Committee on the content of the Council's revised Modern Slavery Statement which takes account of the motion on Modern Slavery approved by Full Council on 17 September 2020 which was that:

South Derbyshire District Council will:

1. *Train its corporate procurement team to understand modern slavery through the Chartered Institute of Procurement and Supply's (CIPS) online course on Ethical Procurement and Supply.*
2. *Require its contractors to comply fully with the Modern Slavery Act 2015, wherever it applies, with contract termination as a potential sanction for non-compliance.*
3. *Challenge any abnormally low-cost tenders to ensure they do not rely upon the potential contractor practising modern slavery.*
4. *Highlight to its suppliers that contracted workers are free to join a trade union and are not to be treated unfairly for belonging to one.*
5. *Publicise its whistle-blowing system for staff to blow the whistle on any suspected examples of modern slavery.*
6. *Require its tendered contractors to adopt a whistle-blowing policy which enables their staff to blow the whistle on any suspected examples of modern slavery.*
7. *Review its contractual spending regularly to identify any potential issues with modern slavery.*
8. *Highlight for its suppliers any risks identified concerning modern slavery and refer them to the relevant agencies to be addressed.*
9. *Refer for investigation via the National Crime Agency's national referral mechanism any of its contractors identified as a cause for concern regarding modern slavery.*
10. *Report publicly on the implementation of this policy annually.*

2.2 The previous Statement was approved by the Council's Finance and Management Committee in October 2018.

2.3 The Statement sets out South Derbyshire District Council's actions to understand all potential modern slavery risks related to its services and puts in place steps that are aimed at ensuring that there is no slavery or human trafficking in Council services and supply chains

2.4 The Council's Modern Slavery Referral Procedure and Guidance for Employees provides Council staff with information on what modern slavery is, how they can recognise the warning signs, what training is available and how they can support, report and refer any potential victims.

### **3.0 Detail**

3.1 Modern slavery is a crime resulting in an abhorrent abuse of human rights. It is constituted in the Modern Slavery Act 2015 by the offences of 'slavery, servitude and forced or compulsory labour' and 'human trafficking'.

3.2 Section 54 of the Modern Slavery Act 2015 Act requires that any commercial organisations in any sector, which supplies goods or services, and carries on a business or part of a business in the United Kingdom (UK), and is above a

specified total turn-over, must produce a Slavery and Human Trafficking Statement for each financial year.

- 3.3 Regulations have set the total turnover threshold at £36m.
- 3.4 The Statement must set out what steps the organization has taken during the financial year to ensure that modern slavery is not occurring in its supply chains and in its own organisation.
- 3.5 The Slavery and Human Trafficking Statement should be a public-facing document. To aid transparency the Statement should be written in simple language that is easily understood.
- 3.6 The Act requires each organisation to publish a Slavery and Human Trafficking Statement on its website.
- 3.7 The Modern Slavery Act requires a Slavery and Human Trafficking Statement to be approved and signed by an appropriate senior person in the business. This ensures senior level accountability, leadership and responsibility for modern slavery and gives it the serious attention it deserves.
- 3.8 The Modern Slavery Act does not dictate in precise detail what a Statement must include or how it should be structured. It does, however, provide a non-exhaustive list of information that may be included.

A Statement should aim to include information about:

- a. The organisation's structure, its business and its supply chains.
  - b. Its policies in relation to slavery and human trafficking.
  - c. Its due diligence processes in relation to slavery and human trafficking in its business and supply chains.
  - d. The parts of its business and supply chains where there is a risk of slavery and human trafficking taking place, and the steps it has taken to assess and manage that risk.
  - e. Its effectiveness in ensuring that slavery and human trafficking is not taking place in its business or supply chains, measured against such performance indicators as it considers appropriate.
  - f. The training and capacity building about slavery and human trafficking that is available to its staff.
- 3.9 Organisations are legally required to publish a Statement for each financial year.
  - 3.10 The Statement which is based on the Derbyshire County Council Modern Slavery Statement which was circulated to all Districts in the County. The changes made reflect those made by Derbyshire County Council in its annual review.
  - 3.11 The Council is committed to ensuring that its contractors adhere to the highest standards of ethics. The Council expects its providers and suppliers to have safeguarding policies, procedures, and training in place. The Council will be

contacting all contractors and major suppliers to inform them of their responsibilities

3.12 The three main changes to the Statement are as follows:

- Under 5.0 information is added and a link to the Derbyshire Modern Slavery Information Sharing Protocol.
- Under 6.0 a link has been added to the Derbyshire E-learning training on Modern Slavery
- Under 9.0 information added regarding the approval of annual refreshes by the Strategic Director – Service Delivery in consultation with the Chairman of the Housing and Community Services Committee, unless there are significant changes within the Statement. Any significant changes will be report to both the Housing and Community Services and Finance and Management Committees.

3.13 Other changes include updating the Council's Corporate Values, updating the detail on the Corporate Plan, and providing more detail in the introduction.

3.14 Changes made to the Referral Procedure and Guidance for Employees are similar to those made in the Statement; additional information added about the Information Sharing Protocol and available training for staff.

#### **4.0 Financial Implications**

4.1 There are no financial implications with the introduction of these documents.

#### **5.0 Employment Implications**

5.1 The Documents will be shared with all District Council employees and will be available on the Council intranet pages.

#### **6.0 Corporate Implications**

6.1 The Statement has been circulated to appropriate Heads of Service for comment and to ensure that relevant policies contain appropriate safeguarding measures around modern slavery.

6.2 The original Statement was considered and supported by the Council's Joint Negotiations Group, and Trade Unions.

#### **7.0 Community Implications**

7.1 The Statement will be accessible to the community via the Council's Website. The Statement will help to minimise the risk of modern slavery and human trafficking for service users and the wider public and encourage early identification and action on any potential issues. There is also a Council web page on Safeguarding and Modern Slavery which provides information on who to contact if people have concerns.



## **8.0 Conclusions**

- 8.1 The Modern Slavery Statement is a statutory requirement which will need reviewing and updating on an annual basis. The Modern Slavery Referral Procedure and Guidance for Employees will ensure staff are educated and informed on Modern Slavery, to enable them to identify, report and refer any local concerns.

## **9.0 Background Papers**

- 9.1 Modern Slavery Statement 2019/20
- 9.2 Modern Slavery Referral Procedure and Guidance for Employees

# **South Derbyshire District Council Modern Slavery Transparency Statement 2019/20**

**Communities Team**

**Oct 2018**

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## Version Control

Version	Description of version	Effective Date
1.0	Modern Slavery Transparency Statement 2018-19	October 2018
1.1	Modern Slavery Transparency Statement 2019-20	November 2020

## Approvals

Approved by	Date
F & M Committee	11 <sup>th</sup> October 2018
F & M Committee	26 <sup>th</sup> November 2020

## Associated Documentation

Description of Documentation	
SDDC Modern Slavery Referral procedure	
Derby and Derbyshire Partnership Information Sharing Agreement for Modern Slavery and Human Trafficking	



## 1.0 Introduction

Modern slavery is the illegal exploitation of people for personal or commercial gain. In its wider sense it is commonly accepted to include:

- sexual exploitation
- forced or bonded labour
- human trafficking
- criminal exploitation
- financial exploitation
- domestic servitude
- child slavery
- offences under the Protection of Children Act 1978 or the Sexual Offences Act 2003
- forced or early marriage

This Statement constitutes South Derbyshire District Council's (The Council) actions to ensure there is no slavery or human trafficking in its own business or supply chains. This Statement is for the financial year ending March 2020 to meet the requirements of Section 54 of the Modern Slavery Act 2015.

As part of the public sector and a member of the Derby and Derbyshire Modern Slavery Partnership, the Council is committed to improving its practices to identify and combat this crime. The Council accepts its responsibility to take a robust approach to modern slavery and human trafficking as an employer, commissioner and contractor with other bodies; and acknowledges its duty to notify the Secretary of State of suspected victims of slavery or human trafficking as required by section 52 of the Modern Slavery Act 2015.

The Council is committed to preventing and taking action against identified slavery and human trafficking in its corporate activities, supply chains and the wider community, and ensuring these are free from slavery and human trafficking.

This Statement covers all activities of South Derbyshire District Council. The Statement covers employees of the Council, agency workers and services delivered on behalf of the Council by third party organisations and the Council's supply chains.

## 2.0 Our Business and our Supply Chains

The Council's vision statement is 'Making South Derbyshire a better place to live, work and visit'.

The Council's values provide a framework for the way it wants to work, helping to deliver its vision and achieve its key objectives. Throughout its work, the Council will:

- Take pride in our place
- Have respect for everyone
- Achieve excellence in all we do

The Corporate Plan 2020-2024 sets out the Council's values and vision for South Derbyshire and defines its priorities for delivering services. It describes how - under four themes of People, Place,



Progress and Outcomes - the Council will work with partners to improve the quality of life of residents, community groups and businesses.

One of the key aims under the 'People' theme is to; 'Protect and help support the most vulnerable, including those affected by financial challenges'.

The Council has responsibility for providing a wide range of statutory and discretionary services for its residents, businesses, visitors, and partners, either delivered directly or through external contractors or partners.

The Council procures goods and services from various suppliers and this is governed by its Procurement Guidance and Procedure Manual.

### 3.0 Policies

The Council reviews its policies and procedures on an ongoing basis to ensure they remain compliant and fit for purpose. The following policies and procedures are key in meeting the requirements of the Modern Slavery Act.

#### Corporate Plan 2020-2024

The Corporate Plan is a key document that describes the Council's priorities, resources and how progress is monitored. The Plan also shows how the Council will work more closely with its partners: police, parish councils, the voluntary sector, and the health services to ensure it maximises its resources to provide better joined-up services.

For more information about the Council Plan 2020-2024 go to:

<https://www.southderbyshire.gov.uk/about-us/performance>

#### Safeguarding

The Council accepts its responsibility to develop, implement and monitor policies and procedures to safeguard the welfare of children and adults at risk. The Council has a Safeguarding Policy and provides training and information on its requirements to employees and Elected Members. The Council will also ensure that any volunteers, commissioned or contracted services are also aware of the Safeguarding Policy and their responsibilities within it. The Council also works within multi-agency partnerships to protect and safeguard people.

#### Employment Policies and Practices

The Council is committed to advancing equality, eradicating unfair treatment, and promoting good relations across and between all our communities.

The Council has employment policies and procedures that minimise the risk of any form of modern slavery existing within the organisation. These include disciplinary, grievance, harassment, Employee Code of Conduct, confidential reporting procedures, as well as other policies that support fair treatment of employees including attendance management, performance capability, recruitment, and selection etc.

Management guidance and toolkits are also provided to ensure that policies are applied consistently and fairly.



## Recruitment

The Council's recruitment processes are transparent and reviewed regularly. They include robust procedures for screening new employees to ensure they can confirm their identities, work history, qualifications, and they are paid only into an appropriate, personal bank account. To comply with the Asylum, Immigration and Nationality Act 2006, all prospective employees are required to supply evidence of their eligibility to live and work in the UK. References are also requested. Where the duties of the post require regular and unsupervised access to children or vulnerable adults a check is completed using the Disclosure and Barring Service, either at a standard or enhanced level. A new employee cannot commence their duties with the Council until all these checks have been completed.

## Agency Workers

The Council uses only reputable employment agencies to source labour and verifies the practices of any new agency it is using before accepting workers from that agency. It also utilises a central government agency framework for most agency workers that are required.

## Pay

The Council uses a job evaluation scheme, facilitated by an independent partner, to ensure that employees are paid fairly and equitably.

The Council employs people under different national terms and conditions of service dependent on their occupations. These national conditions of service provide consistency across employment groups in terms of pay, allowances and other employment conditions, as well as determining annual pay awards.

## Employee Code of Conduct

The Code of Conduct makes clear the actions and behaviours expected of employees when representing the Council. The Council requires the highest professional standards of employee conduct and ethical behaviour and breaches are formally investigated. The Code also applies to contractors, agency staff, volunteers and those on student / work experience placements working on behalf of the Council.

## Whistleblowing Policy and Procedure

The Council enables its employees, customers, and other business partners to report any concerns related to the direct activities or the supply chains of the Council. This Policy and Procedure provides a confidential and robust framework for employees and members of the public to raise any concerns and for them to be formally investigated where appropriate.

## Procurement Contractors and Service Providers

The Council is committed to ensuring that its contractors adhere to the highest standards of ethics. The Council expects its providers and suppliers to have safeguarding policies, procedures, and training in place. From April 2016, all tender processes require bidders to provide confirmation that they are compliant with the Modern Slavery Act 2015.

## 4.0 Equality and Fairness

The Council annually publishes its Corporate Equalities Report, which demonstrates how it has played its part in helping to make society fairer by tackling discrimination and providing equality for all. This is supplemented by the annual Corporate Equalities and Safeguarding Action Plan, which sets down priority projects for the coming year.



As a major employer and provider of services, the Council is committed to advancing equality of opportunity and providing fair access and treatment in employment and when delivering services as well as protecting and supporting the most vulnerable in the community. Equality and Safeguarding are embedded into everyday business. The Council requires all Elected Members, employees, partners, and contractors to treat everyone with dignity and respect and provide the best possible standards of service to all our customers.

To re-enforce this commitment, all employees and Elected Members receive training in equality and fairness as well as safeguarding. An internal group, which includes Elected Members and representatives from across all relevant service areas, monitor, promote and keep under review progress on the Equalities and Safeguarding Action Plan and any emerging patterns/trends.

## 5.0 Partnerships

Through its local statutory Community Safety Partnership, the Council links in with the Derby and Derbyshire Modern Slavery Partnership. Bringing together public, private, and voluntary organisations to disrupt perpetrators and support victims of human trafficking and modern slavery in Derby and Derbyshire and further afield. The Council will strive for a community wherein awareness of all forms of human trafficking and modern slavery is commonplace and that across all sectors people work collectively to eradicate its existence. The Council works in partnership with a wide range of agencies to prevent abuse and neglect, to detect and report occurrences and to support victims. The Council is part of the Derbyshire Districts Safeguarding Group which is a subgroup of both the Derbyshire Safeguarding Children and Adults' Boards.

In October 2019, The Derby and Derbyshire Modern Slavery Partnership developed an Information Sharing Agreement for Modern Slavery and Human Trafficking to assist the multi-agency response to Human Trafficking. South Derbyshire District Council are one of the Partners to this agreement. A Copy of this Information Sharing Agreement can be found on the Council Intranet.

The Council has a duty to be part of the multi-agency response to the investigations into modern slavery and trafficking by providing assistance to victims (including facilitating and resourcing a place of safety) when they are taken to such a place during these investigations

## 6.0 Training and Awareness

The Council has a robust induction process and a mandatory training programme that all employees must complete, including separate courses on Safeguarding Awareness and Equality and Fairness. This enables employees, particularly in community-facing roles to identify and know how to report incidents of abuse and neglect, including modern slavery and human trafficking.

Derbyshire County Council provide Classroom and E-learning training on Modern Slavery which is accessible to all South Derbyshire District Council employees. Details of how to book onto classroom courses or to access the E-learning are available at: <https://www.saferderbyshire.gov.uk/training-and-resources/courses-and-bookings/modern-slavery-training/modern-slavery-e-learning/modern-slavery-e-learning.aspx>. All Members of the Council Safeguarding Group and appropriate front-line officers will be encouraged to attend this training.





The Council Modern Slavery Referral Procedure document is accessible to all staff via the Councils Intranet: <http://sddcintranet/attachments/category/57/SDDC%20Modern%20Slavery%20Referral%20Procedure.pdf>. This document will help staff understand:

- What modern slavery is
- The different types and what the signs of modern slavery are
- What can be done to flag potential concerns
- How to refer and support potential victims
- Who to speak to for support and guidance
- The National Referral Model and the Duty to Notify

Information on Modern Slavery and how to report concerns is also available to the public via the Council's Website: <https://www.southderbyshire.gov.uk/our-services/crime-and-community-safety/safeguarding>

The Council recognises that employees are required to complete training on modern slavery. This has a focus on customer-facing roles and consideration then given to prioritising staff responsible for supply chain management, and those who have a direct influence on the employment of staff or contractors and for procuring goods and services.

## 7.0 Performance

The Council will assess the effectiveness of the steps that are taken to ensure that slavery and / or human trafficking is not taking place within our business or supply chains through:

- Investigating all allegations, complaints, whistleblowing reports received from employees, the public, or law enforcement agencies regarding modern slavery and human trafficking.
- Undertaking a number of community awareness programme for adults and children.
- Providing training for all staff working in supply chain management and with responsibility for the employment of staff/contractors and/or the procurement of goods and services.
- Reviewing and evaluating high risk supply chains, occupations, and contracted services as part of ongoing contract management activity.

## 8.0 Working with Suppliers and Due Diligence

The nature of global supply chains for goods and services is increasingly complex. Modern Slavery can be found anywhere in the chain but it tends to be much worse the further down the value chain, where there is little visibility and where the poorest and most vulnerable work.

Human rights due diligence is also a key concept in the United Nations Guiding Principles' on Business and Human Rights (UNGPs). The UNGPs specify that due diligence processes should "include assessing actual and potential human rights impacts, integrating and acting upon the findings, tracking responses, and communicating how impacts are addressed".



The Council adheres to Section 52 of the Modern Slavery Act - Duty to Notify. Incidents of modern slavery are referred to the Police and the Designated Modern Slavery Lead within Community Safety, who is the Council's direct link to Derbyshire Constabulary Operation Wilberforce and Local Serious and Organised Crime Boards.

The Council works to ensure the safeguarding of all vulnerable people and recognises at risk groups including workers in certain occupations such as car washes, care work and large numbers of adults in multiple occupancy domestic properties.

Any investigation and/or victim support in relation to modern slavery is conducted through the Derby and Derbyshire Modern Slavery Partnerships Multi Agency Tactical Response Agreement.

## 9.0 Review and Approval

This Statement has been approved by the Council's Finance and Management Committee. The Statement will be reviewed annually. Responsibilities for the Statement and Modern Slavery are designated as follows:

1. Developing and Updating the Statement: Designated Modern Slavery Lead (Communities Team Manager)
  - The Designated Modern Slavery Lead within the Council, in conjunction with Human Resources, Procurement, Communities and Legal Services, monitors and updates the Statement in line with national guidelines and corporate priorities.
  - Refreshed versions of the Council's Modern Slavery Statement are approved by the Strategic Director – Service Delivery, in consultation with the Chairman of the Housing and Communities Committee, unless there are significant changes made within the statement.
2. Risk Assessments and Prevention: Designated Modern Slavery Lead  
The Designated Modern Slavery Lead within the Council is responsible for:
  - Working with Managers to identify high risk activities and appropriate actions relating to modern slavery and human trafficking.
  - Ensuring appropriate information and training for staff and councillors.
  - Ensuring that this Statement and resulting actions are embedded within the Council's Safeguarding Policies and Procedures and Strategic Plans.
3. Early Identification and Notification: Duty of Managers  
Managers will notify any suspected modern slavery concerns encountered in the course of their work, to the Designated Modern Slavery Lead and ensure that staff complete all relevant training.
4. Identifying and Reporting Concerns: All Staff and Councillors

As with all safeguarding concerns, all staff and Councillors are required to share these in order that they can be investigated, and action taken as required. For further information regarding this statement and South Derbyshire District Council's work on Modern Slavery, contact: Chris Smith,



Communities Team Manager, Email: [chris.smith@southderbyshire.gov.uk](mailto:chris.smith@southderbyshire.gov.uk), Telephone: 01283 595924



# Modern Slavery Referral Procedure and Guidance for Employees

**Service Area: Communities Team**

**Date: October 2018**

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## Version Control

Version	Description of version	Effective Date
1.0	Modern Slavery Referral Procedure	Oct 2018
1.1	Modern Slavery Referral Procedure	September 2020

## Approvals

Approved by	Date
Finance and Management Committee	11 <sup>th</sup> Oct 2018
Finance and Management Committee	

## Associated Documentation

Description of Documentation	
Council Modern Slavery Statement	
Derby and Derbyshire Partnership Information Sharing Agreement	

## 1.0 Introduction

Modern slavery occurs when a person is brought to, or moved around the country by others who threaten, frighten, or hurt them, and force them into work or other things they do not want to do. It is a term used to describe:

- Human trafficking, slavery, forced labour and domestic servitude
- Slavery practices such as debt bondage, sale or exploitation of children and forced marriage

Modern slavery is, by definition, the same as human trafficking, but this involves the act of transporting and movement of people. Derbyshire Police has information on spotting the signs of human trafficking and how to report concerns.

## 2.0 Scope of Procedure

Under Section 52 of the Modern Slavery Act 2015, local authorities are under a duty to notify the Home Office when they identify a potential victim of modern slavery (where it is believed a potential victim's life is in immediate danger, the advice is to call 999).

For children this means referring them into the National Referral Mechanism (NRM) through Children's Services. For adults, a NRM referral can also be made if they consent to the referral. If an adult does not consent to enter the NRM, councils are still under a duty to notify and should refer them to the Home Office by submitting the MS1 form.

The Derbyshire referral process can be found in **9.0**. The procedure will assist Council employees in identifying what modern slavery is, what are the signs and how to support and refer potential victims of modern slavery.

Section 54 of the Modern Slavery Act 2015 requires certain organisations to develop a Slavery and Human Trafficking Statement each year. The Slavery and Human Trafficking statement should set out what steps organisations have taken to ensure modern slavery is not taking place in their business or supply chains. A separate Modern Slavery Transparency Statement has been produced and can be found on the Council's internet site: <https://www.south-derbys.gov.uk/>

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## 3.0 Overview of the role of Councils in tackling modern slavery

Councils can play a key role in tackling modern slavery. Their role can be separated into four distinct areas;

1. Identify and referring victims
2. Supporting victims – this can be through safeguarding children and adults with care and support needs and through housing/ homelessness services
3. Undertaking community safety services and disruption activities

#### 4. Ensuring that the supply chains councils use are free from modern slavery

Derbyshire and Derby City have a Modern Slavery Partnership which supports and enables the discovery of, and response to incidents of modern slavery through a victim centred, all-encompassing and community-based approach.

## 4.0 The different types of modern slavery and trafficking:

### Labour exploitation

Victims often work very long hours for little or no pay. They may work in poor conditions and under the threat of verbal or physical threats of violence. Perpetrators may claim benefits on behalf of the victims, who will never see a penny.

### Debt bondage

Victims are forced to work to pay off debts that they will never realistically be able to repay. For example, perpetrators may 'charge' them large fees in return for travelling to the United Kingdom (UK), or for finding them employment.

### Sexual exploitation

Victims are forced to perform sexual acts against their will, such as prostitution, escort work or pornography. They are often threatened with violence.

### Criminal exploitation

Victims are forced into crimes against their will, such as theft or growing cannabis. Often victims are controlled and maltreated.

### Domestic servitude

Victims are made to carry out housework and other domestic chores in private households with little or no pay. Their movements maybe restricted, they may have very limited or no free time and minimal privacy. They often sleep where they work.

## 5.0 What are the signs?

It is important to be aware of the warning signs of trafficking, as often the indicators of this type of abuse can be very subtle. People who have been trafficked may:

- Show signs of consistent abuse or have untreated health issues.
- Have no identification documents in their personal possession, and little or no finances of their own.
- Be unwilling to talk without a more 'senior', controlling person around who may act as their translator.

- Sleep in a cramped, unhygienic room in a building that they are unable to freely leave.
- Be unable to leave their place of work to find different employment, and fear that bad things may happen if they do.
- Be charged for accommodation or transport by their employers as a condition of their employment, at an unrealistic and inflated cost which is deducted from their wages.

They may be forced to work in certain types of industries or activities, such as:

- Factories, farms or fast food restaurants.
- Domestic service, such as a cleaner or nanny.
- Street crime, such as pickpocketing or robbery.

Victims of modern-day slavery are often, but not exclusively, found working in industries such as nail bars, hand car washes, takeaways and restaurants. They may show signs of physical abuse, look malnourished or unkempt, or appear withdrawn or neglected.

Here are signs to look out for, which could indicate the person serving you is a victim;

### **Nail bars**

- Do they only speak a little English, or none at all?
- Are they unusually quiet or untidy looking for a beautician?
- Does someone always talk and take payment for them?
- Can you only pay by cash?
- Is there a lack of professional qualifications on display?
- Could someone be living at the salon?

### **Car washes**

- Are workers dressed inappropriately for the job?
- Does one person always take the payment?
- Can you only pay by cash?
- Do the workers seem uneasy, under pressure, fearful or withdrawn?
- Does the manager seem controlling and intimidating?
- Are there youngsters working at the site?
- Is it strange that there are no staff vehicles parked on site?
- Is there a caravan or container on site where staff could be living?

### **Takeaways and restaurants**

- Does the front of the premises look untidy and uncared for?
- Is there a lack of professional qualifications or certificates on display?
- Are the kitchen staff dressed inappropriately for the job?
- Do the management and staff seem to lack a friendly relationship?
- Are there signs of staff living on the premises?
- Is the food of a lower quality than you would expect?



## 6.0 What are we doing to tackle modern slavery?

Derbyshire Constabulary has a dedicated team which exists to identify and support victims of modern slavery and gather intelligence about the issue. Known as Operation Wilberforce, the team also seeks to educate people as to how they can spot the signs of slavery and trafficking and support investigations into this type of crime.

The Council links with the Derby and Derbyshire Modern Slavery Partnership via the South Derbyshire Community Safety Partnership. The Partnership undertakes outreach and education work and promotes campaigns in the community to raise awareness of trafficking and modern slavery.

The Council has a robust induction process and a mandatory training programme that all employees must complete, including Safeguarding Awareness Training. This enables employees particularly in community-facing roles to identify and know how to report incidents of abuse and neglect, including modern slavery and human trafficking.

The Derby and Derbyshire Modern Slavery Partnership have in place an Information Sharing Agreement for Modern Slavery and Human Trafficking to assist the multi-agency response to Human Trafficking. South Derbyshire District Council are one of the Partners to this agreement. A Copy of this Information Sharing Agreement can be found on the Council Intranet.

## 7.0 Resources

Modern slavery is a brutal crime affecting thousands in the UK and millions around the world. Victims are in situations of exploitation, controlled by deception, threats and violence. Exploitation can be hidden in plain sight, in car washes, nail bars, fields, factories, brothels and private homes.

Kevin Hyland, the independent Anti-Slavery Commissioner, in partnership with the South East Strategic Partnership's local authority lead, has developed a short video for local authorities to inform staff of indicators of modern slavery, signs to look out for and the correct course of actions. This can be found on YouTube.

In addition to the video, the Anti-Slavery Commissioner has resources including legislation, training materials, guidance and information on your duty to notify the Home Office of potential victims. <http://www.antislaverycommissioner.co.uk/resources>

A dedicated page to Modern Slavery is available to on the Safer Derbyshire website <https://www.saferderbyshire.gov.uk/what-we-do/modern-slavery-and-organisedcrime/modern-slavery-and-organised-crime.aspx>

The Home Office also has a range of documents and promotional material available at <https://www.gov.uk/government/collections/modern-slavery>

Derbyshire County Council provide Classroom and E-learning training on Modern Slavery which is accessible to all South Derbyshire District Council employees. Details of how to book onto classroom courses or to access the E-learning are available at: <https://www.saferderbyshire.gov.uk/training-and-resources/courses-and-bookings/modern-slavery-training/modern-slavery-e-learning/modern-slavery-e-learning.aspx>

## 8.0 Reporting concerns

If a member of staff or elected member is worried about, or suspects that a person may be a potential victim of modern slavery / trafficking, they can contact:

999, if the person's life/health is at immediate risk

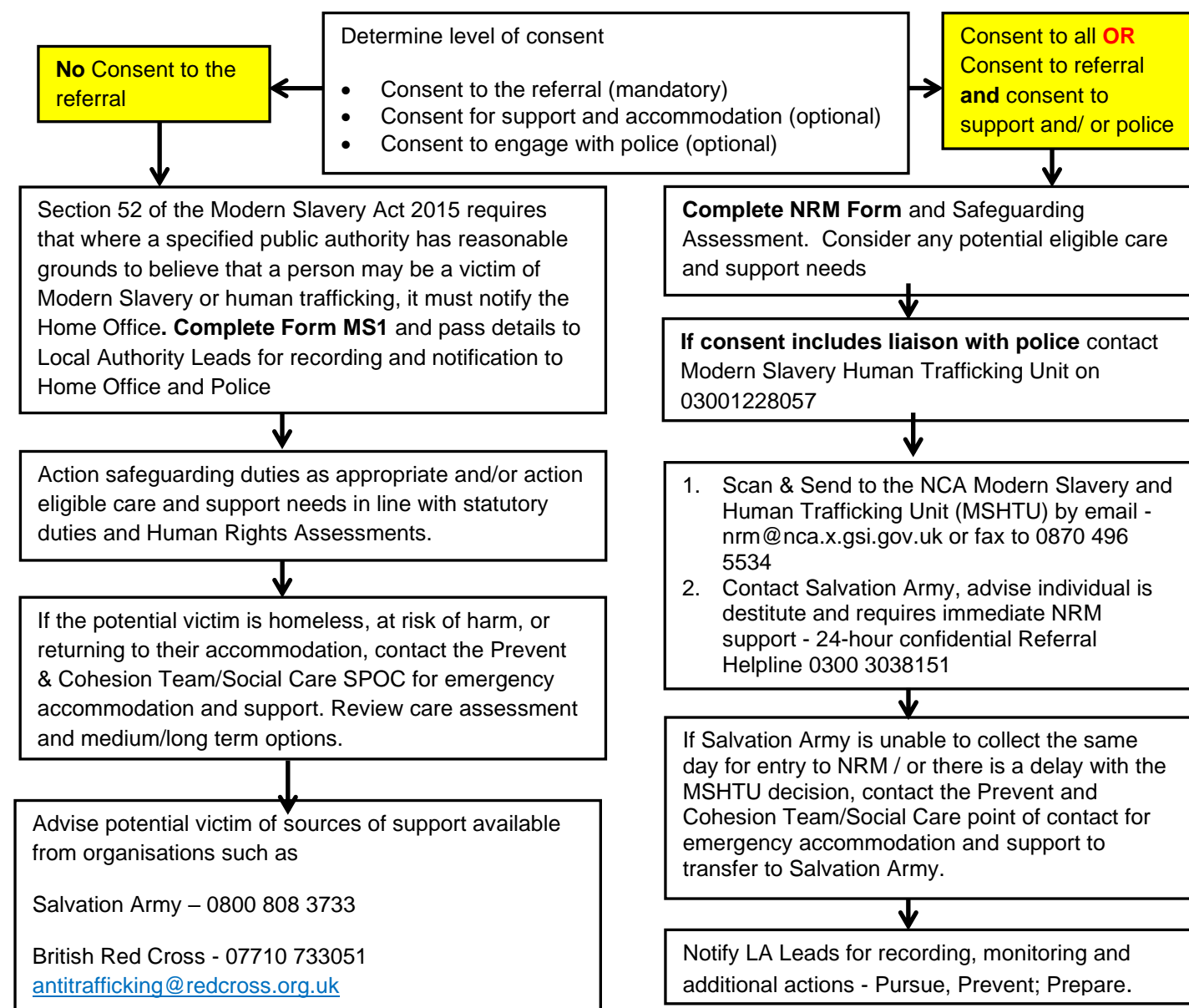
Call Derbyshire on 01629 533190 (24hr Adults & Children) Children triaged via Starting Point to offer support to victims

101, if a non-emergency or Police Modern Slavery Human Trafficking Unit at Police HQ in Ripley for advice on 0300 122, 8057 or email: [MSHTU@Derbyshire.PNN.Police.UK](mailto:MSHTU@Derbyshire.PNN.Police.UK)

## 9.0 Derbyshire Modern Slavery Referral Pathway

### Potential Victim identified or referred to Social Care

Clearly explain what Modern Slavery is, followed by the National Referral Mechanism (NRM), the referral process and potential outcomes. What they are consenting to, where their details will be sent and that they can choose to enter or leave the support service at any point. Notify LA Leads for support, recording, monitoring and liaison with police and Salvation Army.



**\*If at any time the potential victim decides that they do wish to engage with the NRM Process – follow the Consent referral route.**

**For support contact your Local Authority Lead for Modern Slavery/Human Trafficking:**

**Pop Gill – Prevent & Cohesion Manager DCC**

01332 643044 / [purjinder.gill@derby.gov.uk](mailto:purjinder.gill@derby.gov.uk)

**NRM Form and Guidance –** [www.gov.uk/government/publications/human-trafficking-victims-referral-and-assessment-forms](http://www.gov.uk/government/publications/human-trafficking-victims-referral-and-assessment-forms)

**MS1 Form and Guidance –** [www.gov.uk/government/publications/duty-to-notify-the-home-office-of-potential-victims-of-modern-slavery](http://www.gov.uk/government/publications/duty-to-notify-the-home-office-of-potential-victims-of-modern-slavery)

**Home Office Guidance –** [victims-of-modern-slavery-frontline-staff-guidance](http://victims-of-modern-slavery-frontline-staff-guidance)

<b>REPORT TO:</b>	<b>FINANCE AND MANAGEMENT COMMITTEE</b>	<b>AGENDA ITEM: 14</b>
<b>DATE OF MEETING:</b>	<b>26<sup>TH</sup> NOVEMBER 2020</b>	<b>CATEGORY: (See Notes) DELEGATED or RECOMMENDED</b>
<b>REPORT FROM:</b>	<b>ALLISON THOMAS - STRATEGIC DIRECTOR (SERVICE DELIVERY)</b>	<b>OPEN</b>
<b>MEMBERS' CONTACT POINT:</b>	<b>EILEEN JACKSON 01283 595763 <a href="mailto:eileen.jackson@southderbyshire.gov.uk">eileen.jackson@southderbyshire.gov.uk</a></b>	<b>DOC:</b>
<b>SUBJECT:</b>	<b>BETTER CARE FUNDING ALLOCATION – FINANCIAL POSITION</b>	
<b>WARD(S) AFFECTED:</b>	<b>ALL WARDS</b>	<b>TERMS OF REFERENCE: (See Notes)</b>

## **1.0 Recommendations**

- 1.1 That following approval at Housing and Community Services Committee on 19<sup>th</sup> November 2020, the Committee notes the progress of schemes it has supported through the allocation of Better Care Funding (BCF) and welcomes the wider impact they are having on reducing pressure on front-line Council Services
- 1.2 That the Committee approves the proposed Better Care Fund (BCF) Action Plan, timescales and revised allocations contained in Appendix 1.
- 1.3 That the Committee approves the use of £50k from the BCF allocation to be ringfenced for a new project and associated staffing costs to enable better targeting of resources based on recent stock condition data.
- 1.4 That the Committee approves changes highlighted within the Private Sector Housing Assistance Policy (see Appendix 2).
- 1.5 That the Committee notes that the Housing and Community Services Committee approved that delegated authority be granted to the Strategic Director (Service Delivery) in conjunction with the Chairman of this Committee to make any minor amendments to the Policy necessary to ensure its effective delivery. Any major changes would be brought to Committee for approval.

## **2.0 Purpose of the Report**

- 2.1 This report outlines proposals to allocate the Council's 2020/2021 Better Care Fund (BCF) allocation in addition to the under-spend brought forward from 2019/20. It also provides an update on the allocation of Disabled Facilities Grants (DFG) and the

other schemes supported by the BCF which have been previously agreed by the Committee.

- 2.2 Following the approval of the Private Sector Housing Assistance Policy (PSHAP) in November 2019, Officers are now in a position to assess the impact of new initiatives and services that have been funded via the BCF and now propose to strengthen the schemes that are having the greatest impact in meeting BCF principles. This will require re-allocation of funding to expand and promote specific schemes that are working well and withdraw funding allocated to schemes that have not progressed. The Policy has been amended for Committee approval with changes highlighted in red. It is not intended to create any further schemes at this time.

### **3.0 Executive Summary**

- 3.1 In November 2019, the Committee approved the allocation of BCF to a number of projects to support people to live independently in their own homes. It also approved a revised Private Sector Housing Assistance Policy (PSHAP). That Committee also approved the appointment of four new posts to be funded through the BCF allocation. Two of these posts (SAIL Co-ordinator and the Public Health Officer) have now been recruited. Although job descriptions and person specifications were produced for the remaining two roles, one of these posts is on hold at this time pending the outcome of DCC discussions regarding adaptations and Adult Care services. The Occupational Therapist is in the process of being recruited.
- 3.2 The BCF funding includes provision for the administration of mandatory DFGs in accordance with the Housing Grants, Construction and Regeneration Act 1996 and this is the primary function of the funding allocation. However, only around half of the annual allocation is used for this purpose and the remainder is available for the Council to spend on other projects that align with the principles of the BCF (i.e. promoting independence, keeping people living in their homes for longer and reducing admissions into hospital and Delayed Transfers of Care).
- 3.3 Derbyshire County Council (DCC) has confirmed that the BCF Allocation will continue to be paid directly to the Council (at a similar rate) in its current format until 2024.

### **4.0 Detail**

- 4.1 The Council recognises the importance that good quality, accessible, safe, and warm housing has in contributing to people's quality of life.
- 4.2 The primary responsibility for maintaining and repairing private sector homes rests with the owner, however, the Council is committed to improving the quality of housing within the District and has statutory responsibilities to assist certain people where they cannot reasonably do this for themselves. The Council provides physical and technological support through Careline and DFGs and discretionary housing grants that can make a significant contribution in meeting the needs of older, vulnerable and disabled people. These grants facilitate adaptations or essential repairs in the home to promote health and wellbeing and maximise the opportunities for continued independence.
- 4.3 People in South Derbyshire are living longer. In addition, there is a shifting demographic towards the older age groups with significant growth seen in the 75+ age group. These additional years do not necessarily equate to healthy years, with the incidence of long-term illness, mental health, Dementia, heart disease, stroke,

diabetes, falls, sight and hearing loss all set to increase by on average a third over the next ten years. These changes bring extreme challenges to the housing, health, and social care sectors.

4.4 In 2019, the Council formally adopted a revised PSHAP which outlined a range of initiatives, alongside the Council's mandatory responsibility for the DFG, to support residents in response to some of the challenges outlined above. The primary aims of the PSHAP are blended from the Council's Corporate Plan, the County Council's BCF priorities but most importantly the legislation that governs the use of the DFG. The aims are to:

- Increase the number of people who are able to live independently and safely at home.
- Contribute to the principal aims of the BCF to reduce delayed transfers of care, minimise avoidable hospital admissions and facilitate early discharge from hospital where possible (reducing bed-based care).
- Improve the health, wellbeing, and quality of life of people living within the District.
- Remove or reduce housing related defects that are detrimental to a person's health.
- Reduce the number of households living in fuel poverty by improving the energy efficiency of the District's private sector housing stock.
- Increase the number of empty properties brought back into use, particularly where this accommodation can be used to relieve homelessness.
- Support the coordination and integration of services to deliver person centred outcomes.

4.5 The PSHAP supported a number of initiatives which are outlined below, along with a brief update of the schemes to date:

- Mandatory DFGs provide adaptations to a person's home to maintain independent living and improve quality of life. The Covid-19 pandemic has significantly impacted delivery of DFGs to date, with work having to be suspended during the early stages of the pandemic. Whilst work is slowly getting underway, it is anticipated that there will be a backlog in cases awaiting assessment through Derbyshire County Council's (DCC) Occupational Therapist (OT) service. DCC is currently investigating ways to minimise this impact which may involve reutilising DFG funding to supplement the existing DCC OT service.
- In order to provide a more holistic DFG service, the PSHAP included options to utilise DFG funding to provide top-ups to work, an additional £10,000 over the maximum grant level of £30,000, removed the means test for adaptations up to £6,000, pays for an applicant to relocate to a more suitable alternative home and added additional officer posts within the team in order to speed up the application and assessment process. The Technical Officer post has been operational for a number of years and has made an improvement to the end-to-end times for DFGs
- The PSHAP included opportunities to support independent living. For those with a diagnosis of Dementia, the Dementia Grant was created. This project will be operational by the start of the new financial year.
- The Disabled Facilities Capital and Revenue Grant Funding Programme will go live this month. The aim of the programme is to receive innovative, community developed applications from local organisations that will make a difference in supporting people to live independently in their communities. The funding will be open to receive bids until the end of January 2021 with assessments taking place



by an officer panel in February, before seeking formal ratification at the meeting of this Committee in April 2021.

- The Stay Active and Independent for Longer (SAIL) project has enabled the recruitment of a member of staff to deliver a range of physical activities within the community in order to reduce isolation.
- The Domestic Abuse Service provided by Trident Reach has been operational since mid-May 2020. The first quarter report shows that the service has received referrals for and supported 24 households, providing accommodation to seven of these, three more than the contract requires. The service has made significant progress in improving the services offered to households that approach the Council and to date has made over 27 referrals into statutory support services to keep people safe.
- The contract for the Mental Health Support Service is shortly due for renewal. Housing Services is currently in the process of tendering the service for an additional two years.
- The Council has been unsuccessful in engaging DCC in delivering the Home from Home (hospital discharge) scheme, it is therefore with regret that the funding allocation is being redirected into other areas of the PSHAP that are currently delivering results.

4.6 In addition to the District's population ageing, so too is the District's housing stock. Whilst all social housing stock (homes owned by the Council or a Housing Association) should meet the required decent homes standard, many homeowners and people living in the private rented sector live in the poorest housing conditions in pre-war terraced houses, built without a cavity that are difficult to heat and with minimal outside space. Around 8% of private sector homes (over 3000 dwellings) have at least one category 1 hazard that could cause serious harm to the occupants (as defined in the Housing Act 2004). The majority of these category 1 hazards are caused by excess cold or falls between levels, the schemes outlined below focus on mitigating these hazards:

- Healthy Homes Programme – funding to mitigate category 1 hazards (primarily excess cold) in the home for people with long term health conditions.
- Healthy Homes Assistance Fund - utilised to ensure people being discharged from hospital return to safe, habitable home conditions". This project has been very successful and it is proposed within the Action Plan (Appendix 1) to double the allocated funding to £200k for the current financial year and 2021/22 to meet demand for this service.
- Hospital Discharge Grant – discretionary grants of up to £2,500 to enable rapid discharge home from a hospital or residential care setting.
- Public Health Officer Post – an additional post has been created within the Environmental Health Team to identify hazards in the home environment before they impact on health. The position was filled at the end of May 2020. The role of Public Health Officer is complementing the existing regulatory services in the Public Protection and Housing Standards Team. The Team has a regulatory role in ensuring public safety in a wide number of areas; being responsible for carrying out measures to protect public health, enforcing legislation relating to the natural and built environments that benefit human health and providing support to minimize health and safety hazards.

4.7 In addition to the schemes outlined above, it is proposed that £50k is ringfenced for the purposes of utilising a recently published Stock Condition Report and Health Impact Assessment to target resources for the hard to reach households living in fuel poverty in the lowest SAP rated homes. The funding would be used to provide

front line assistance and an Energy Performance Certificate (EPC) assessment in homes where disrepair and excess cold have been identified.

4.8 The table below outlines all of the DFG funded schemes contained within the PSHAP and the funding previously committed to them.

<b>Scheme</b>	<b>Amount required per year to 2022</b>	<b>Capital or Revenue</b>	<b>How it aligns with the principles of the PSHAP</b>	<b>Return on Investment</b>
Mandatory Disabled Facility Grants, including non-means testing for work up to £6k	£400k pa, however, if need for the grant increases, funding will need to be reallocated from elsewhere.	Capital	Primary function of the BCF allocation and a statutory responsibility. <ul style="list-style-type: none"> <li>• Increase the number of people living independently and safely at home.</li> <li>• Reduce the number of serious hazards in people's homes.</li> <li>• Improve the health, wellbeing, and quality of life of people living within the District.</li> </ul>	Reduction in admissions to hospital and GP visits (reduction in cost of primary care).
Discretionary top up grant (up to £10k per case)	£50k pa	Capital	For exceptional cases that require property extensions or significant adaptation over and above the mandatory grant limit of £30k.	Speeds up the process of delivering the DFG works.
Relocation grant – when DFG is not appropriate or feasible (up to £30k per case)	£50k pa	Capital	This grant already exists but would be expanded to include removals and legal costs.	Avoids costly adaptations and results in long-term solution to housing needs.
DFG Technical Officer post (continuation)	£40k pa	Revenue	This post has increased the capacity of the DFG team since appointment in February 2018.	Reduced waiting times associated with DFG process.
Creation of a dedicated OT role to sit within the DFG team.	£55k pa	Revenue	Will enable increased efficiency and consistency within the DFG team and speed up the process of adapting homes.	Reduced likelihood of accidents in the home / falls if adaptations are installed quickly.
Dementia Friendly Homes Grant (£1,500 per case)	£15k pa	Capital	To provide assistive technology and small-scale adaptations in the private sector outside the DFG process to enable independence and better quality of life for people with dementia. <ul style="list-style-type: none"> <li>• Increase the number of people living independently and safely at home.</li> <li>• Assist with hospital discharge and delayed transfers of care, including reducing the use of bed-based care (where appropriate).</li> </ul>	Enables people to live independently for longer.



			<ul style="list-style-type: none"> <li>Improve the health, wellbeing, and quality of life of people living within the District.</li> </ul>	
Domestic Abuse Service	£50k pa	Revenue	<p>Provides specialist support for victims of domestic abuse who approach the Council for support. Provides 4four units of supported accommodation and 19 spaces of floating support.</p> <ul style="list-style-type: none"> <li>Increase the number of people living independently at home.</li> <li>Improve the health, wellbeing, and quality of life of people living within the District.</li> </ul>	Saves lives and costly crisis intervention, avoids use of temporary accommodation and aims to break cycle of abuse.
Mental Health Service (Continuation)	£40k pa	Revenue	<p>This service is fully utilised and has prevented many homeless cases and avoided the need for crisis care at the Radbourne unit.</p> <ul style="list-style-type: none"> <li>Increase the number of people able to live independently and safely at home.</li> <li>Contribute to reducing the need for bed-based care.</li> <li>Improve the health, wellbeing, and quality of life of the individual.</li> <li>Support the coordination of services to deliver person centred outcomes.</li> </ul>	Cost of bed days at mental health unit in addition to multiple agency intervention. during crisis.
Disabled Facilities Capital Grants	£150k finite pot	Capital	This funding stream will be utilised to fund one-off capital works (i.e. ramps / disabled access facilities etc. to community buildings across the District that will either enable access (to promote independence) to services, or reduce the dependence on front-line NHS services.	Reduction in GP visits, Adult Care intervention and revolving hospital admissions
Disabled Facilities Revenue Grants	£200k finite pot	Revenue	These pilot projects will be approved by an officer panel and administered in accordance with contract procedure rules. They will provide services that promote independence and reduce pressure on primary care.	Reduction in intervention by health as patients can these services to stay independent.
Healthy Homes Assistance Fund (£10k per case)	£80k pa	Capital	To reduce the likelihood of hospital admission cause by a category 1 and serious category 2 hazards (i.e. – excess cold, falling, electrocution etc.)	Improvement in long-term health conditions and reduction in GP visits.
Empty Homes Grant (£9k per case)	£20k pa	Capital	Tackle empty homes and support a reduction in homelessness.	Work towards preventing and relieving homelessness, reducing ASB.
Hospital	£20k per	Capital	To provide discretionary assistance to	Reduced number

Discharge Grant (£2,500 per case)	year		enable quicker discharge from hospital or prevent an admission (urgent repairs / clearances / deep cleans etc)	of Delayed Transfers of Care and prevention of non-elective admissions
Healthy Homes Programme – (continuation)	£80k per year	Capital	DCC has been delivering this enhanced service for over a year and it has assisted many vulnerable households by providing boilers, temporary heating and other measures that increase thermal comfort in the home. The grant funding tops-up the energy companies ECO responsibility.	Quarterly monitoring data relating to improved physical and mental health conditions.
Creation of a temporary Public Health (Housing) Officer post with Environmental Services	£45K per year	Revenue	This officer will have a primary function of tackling rogue landlords to improve housing conditions and enforcing standards through the courts where necessary to improve the quality of life for vulnerable households	Mitigation of hazards and associated costs to NHS England and wider society (British Research Establishment costing savings of mitigating various hazards in the home).
Stay Active and Independent for Longer Project (SAIL)	£60k pa	Revenue	This pilot project includes the appointment of a SAIL Coordinator to the establishment, funded initially up to the end of March 2021. The scheme will help elderly residents at risk of isolation and promote independent living by a scheme of physical activities.	Reduction in GP visits, Adult Care intervention and revolving hospital admissions.
Health and Housing Co-ordinator	£45k pa	Revenue	The recruitment for this post is currently on hold	This post will co-ordinate the BCF schemes and explore opportunities for joint working to improve health outcomes across the District

## 5.0 Financial Implications

- 5.1 All funding required to support the schemes will be met through the BCF. Approval of the recommendations contained within this report will not impact on the Housing Revenue Account or General Fund directly. Additional minor indirect costs relating to void turnover and expansion of services to meet identified needs may be incurred but at this stage cannot be predicted or quantified.
- 5.2 In 2020/21 the Council received a BCF allocation of £792,375 from the Government via DCC. This was added to the underspend from 2019/20 of £1,599,074, to give a total budget of £2,391,449.
- 5.3 Delays to the delivery of certain schemes have been further impacted by the Covid-19 pandemic and it is, therefore recommended that certain projects that are

contained within the PSHAP have their allocated budget from 2019/20 rolled over into this year's allocation (2020/21), and any surplus from this year into the following year (2021/22). These schemes are namely:

	<b>2019/20 Actual Spend</b>	<b>2020/21 Budget (Inc rollover)</b>	<b>2021/22 Budget (unknown rollover)</b>	<b>TOTAL BUDGET</b>
Mandatory DFG	£246,648	£553,352	£400,000	£953,352
DFG Moving Assistance	£0	£100,000	£50,000	£150,000
DFG Top-up	£0	£100,000	£50,000	£150,000
Healthy Homes Scheme	£30,128	£129,872	£80,000	£209,872
Empty Homes Scheme	£0	£40,000	£20,000	£60,000
Hospital Discharge Grant	£0	£30,000	£20,000	£50,000
Dementia Grant	£0	£20,000	£15,000	£35,000
<b>TOTAL</b>	<b>£276,776</b>	<b>£973,224</b>	<b>£635,000</b>	<b>£1,608,224</b>

- 5.4 It is imperative that the mandatory DFG has enough surplus allocated to meet demand, including any current unmet demand that the Council may be unaware of. It is, therefore, prudent to allow for a greater budget than may be necessary in order to ensure the Council can meet its statutory obligations. Allowing for underspend in previous years on the mandatory DFG, plus the DFG top-ups and relocation grants to be carried over allows for this flexibility without impacting upon other scheme allocations and the Council's General Fund.
- 5.5 The current expenditure in 2020/21 has been slow due mainly to the pandemic. The following table shows the budget and actual expenditure for the first half of 2020/21.

	<b>Actual £</b>	<b>2020/21 Budget £</b>	<b>Remaining £</b>
Major Disabled Facilities Grant (Private)	15,129	553,352	538,223
Healthy Homes Project	20,473	129,872	109,399
Discretionary Top up Grants for under 18s	0	100,000	100,000
Relocation Grant	0	100,000	100,000
Dementia Friendly Homes Grant	0	20,000	20,000
Domestic Violence Crisis Prevention	0	50,000	50,000
Establishing a Hospital to Home Scheme	0	100,000	100,000
Pilot Schemes	0	200,000	200,000
Capital One-off Projects	0	150,000	150,000
Hospital Discharge Grant	4,792	30,000	25,208
Appointment of a dedicated Mental Health Worker	13,407	40,000	26,593
Healthy Homes Assistance Fund	42,458	179,626	137,168
Ongoing cost of Funding additional Technical Officer	15,908	40,000	24,092
Stay Active and Independent for Longer	0	60,000	60,000
Temporary Public Health Officer	13,913	45,000	31,087
Temporary Occupational Therapist	0	55,000	55,000
Temporary Health and Housing Co-ordinator	0	45,000	45,000
	<b>126,080</b>	<b>1,897,850</b>	<b>1,771,770</b>

- 5.6 It is likely that significant under spends will occur again in this financial year, but any underspend will be carried forward to enable projects to be fully funded in future years.

## **6.0 Corporate Implications**

### **Employment Implications**

- 6.1 Employment Implications – The future appointment of an Energy Advisor / Housing Advice Officer would lead to the creation of a temporary post on the establishment. The additional post will be subject to Job Evaluation and will be recruited through the usual Council procedures.

### **Legal Implications**

- 6.2 Legal implications – There are no direct legal implications arising from the approval of the recommendations contained within this report

### **Corporate Plan Implications**

- 6.3 The recommendations contained within this report have a direct impact on the following themes within the Corporate Plan;
- Place – to increase the supply and range of affordable housing provision
  - Place – to Facilitate and deliver a range of integrated and sustainable housing and community infrastructure
  - People – to enable people to live independently.

### **Risk Impact**

- 6.4 DCC is currently in the process of reviewing Adult Care Services and this could have an impact on existing services by creating gaps in provision that the BCF may be expected to mitigate.
- 6.5 There is a risk that future demand for mandatory DFGs will increase and revenue funded pilot schemes may need to cease to ensure the Council can maintain its statutory obligations for the administration of DFGs
- 6.6 There is a risk of Government requesting funding to be returned if inappropriately allocated to schemes that do not meet the fundamental principles of the DFG legislation (as amended).

## **7.0 Community Impact**

### **Equality and Diversity Impact**

- 7.1 The approval of the above recommendations contained within this report will have a direct impact on the Council's priority for Healthier Communities within the Sustainable Community Strategy 2009 – 2029. Any schemes developed alongside the mandatory DFGs will be shaped to ensure they reduce health inequalities for

people living in poor condition homes in the private sector and improve health outcomes for tenants and owner occupiers across the District.

## **8.0 Conclusions**

- 8.1 There are widely recognised links between poor housing and ill health. The schemes outlined within this report will bring positive health impacts and prevent the need for costly crisis intervention and acute care.
- 8.2 The Clinical Commissioning Group and Derbyshire County Council's Adult Social Care Department recognise the important role for housing in tackling health inequality and are keen to work in partnership with the Council to keep people in their homes for longer and prevent hospital admissions where possible.
- 8.3 The BCF is being utilised to pay for a range of services in addition to the DFG that focus on the needs of the household, these schemes in turn will generate a substantial return on investment that will be recorded and presented back to Members when the schemes are evaluated.
- 8.4 The Council is committed to improving health and tackling health inequality across the District. Through housing intervention, the Council can offer practical solutions and support that in turn, will have a positive impact on the health of vulnerable occupants living in South Derbyshire.
- 8.5 The schemes that have been established are having a significant impact in terms of improving health outcomes for residents within South Derbyshire. The Mental Health Service and Domestic Abuse Service are at capacity, the Health Homes Programme has changed many lives by improving the thermal comfort of homes across the District. The work being undertaken in Private Sector Housing is enabling people to be discharged from hospital or preventing the need for hospital and residential care by improving unfit housing conditions and in turn the quality of life for occupants. These services that are having the greatest impact should have the capacity to be expanded where necessary so that the services are not restricted by financial constraints.

## **9.0 Background Papers**

APPENDIX 1 – Better Care Funding Action Plan 2020 – 21

**Better Care Fund Allocation – Action Plan – November 2020 – April 2021**

Action	Specific tasks	Lead Officers	Timescale / target date	Additional spend to be approved
Implement recommendations to improve DFG service	<ul style="list-style-type: none"> <li>Implement new IT system (50% match funded from HRA)</li> <li>Improved end to end times</li> <li>Additional OT capacity</li> </ul>	PW / SO	February 2021	n/a
Continue to monitor New Horizons contract with Trident Reach (Domestic Abuse Service)	<ul style="list-style-type: none"> <li>Monitor DAS performance using agreed performance reports.</li> <li>Mobilise procurement after Quarter 2 results if positive to allow at least six months for procurement activity to re-tender contract.</li> </ul>	LM / EJ	Ongoing over next 6 months	<p>Additional £195k ringfenced for a potential three--year contract</p> <p>£65k per year to meet existing demand / increase capacity</p>
Assess impact of removing £6k threshold from DFG applications	<ul style="list-style-type: none"> <li>Number of grants approved under the £6k threshold, of which the number that would not have ordinarily qualified.</li> <li>End to end times will be impossible to test due to COVID delays</li> </ul>	PW / SO	December 2020	n/a
Advertise and promote the DFG service to increase uptake and enhance customer experience	<ul style="list-style-type: none"> <li>Promotion on Website, through Adult Care, and via other BCF front line schemes</li> </ul>	SO / DFG Team	Ongoing over next 6 months	n/a
Appoint support provider for Mental Health service	<ul style="list-style-type: none"> <li>Review performance indicators for regular quarterly reviews.</li> </ul>	PW / SD	November 2020	Additional £10k allocated to allow

## APPENDIX 1

	<ul style="list-style-type: none"> <li>Produce reports to BCF steering group on outcomes monitoring.</li> </ul>			for service expansion within new contract (total £50k allocated)
Promote Capital and Revenue grants via website and multi-agency meetings	<ul style="list-style-type: none"> <li>Devise guidance, application form and assessment criteria</li> <li>Open bidding from Nov – end Jan</li> <li>Scoring and recommendations to Committee April 2021.</li> <li>Ongoing monitoring of contracts and perf thereafter.</li> </ul>	LM / IH / EJ	March 2021	n/a
Continue to collate quarterly performance data from all schemes in line with agreed outcome monitoring arrangements	<ul style="list-style-type: none"> <li>Collate performance data and attend monitoring / update meetings with schemes delivering the front-line services</li> </ul>	RA / ALL	Ongoing	n/a
Utilise social value indicators to assess financial performance of BCF schemes	<ul style="list-style-type: none"> <li>Use HACT toolkit to extract return on investment data for all front-line services funded through the BCF</li> <li>Utilise BRE Excess Cold Calculator for Health Homes Programme and Health Homes Assistance to calculate costs savings when heating systems are repaired / installed</li> </ul>	RA / EJ	January 2021	n/a
Share best practice across the County to ensure BCF allocations impact is maximised	<ul style="list-style-type: none"> <li>Work in conjunction with other LA's to utilise excess DFG monies to improve health outcomes</li> </ul>	ALL	Ongoing over next 6 months	n/a

## APPENDIX 1

Review Healthy Homes Programme funding to ensure maximum impact for South Derbyshire	<ul style="list-style-type: none"> <li>Review meeting arranged for December</li> </ul>	EJ / LM / Bill Purvis	January 2021	n/a
Dementia Grant	<ul style="list-style-type: none"> <li>Implement Dementia Friendly Homes Grant – process and paperwork</li> <li>Launch scheme, potentially in collaboration with grant funding bids.</li> </ul>	LM	March 2021	n/a
Expansion of Healthy Homes Funding in Private Sector Housing Team	<ul style="list-style-type: none"> <li>Remove Empty Homes Grant allocation to top up Healthy Homes Assistance fund</li> <li>Re-align resources from Home from Hospital scheme to increase capacity of Healthy Homes Assistance scheme</li> </ul>	MH	January 2021	Additional £100k for 2020/21 and 2021/22 – Total grant allocation of £200k per year
Review impact of new posts (SAIL Co-ordinator and Public Health Officer)	<ul style="list-style-type: none"> <li>Appoint to new SAIL Co-ordinator role</li> <li>Review of Public Health (housing) Officer role and submit data to Strategic Housing relating to enforcement in private sector housing</li> </ul>	MH / EJ / LM	March 2021	n/a
Review Hospital Discharge Grant	<ul style="list-style-type: none"> <li>Increase scope and capacity of existing service</li> <li>Produce quarterly data specifically relating to this service to enable calculation of cost savings to NHS</li> </ul>	LM / TS / RA	January 2021	Additional £75k



## APPENDIX 1

Additional OT recruitment via DCC for fixed term to work specifically on DFG assessment	<ul style="list-style-type: none"><li>• Appoint temporary OT to work specifically on DFG assessment to decrease end to end times</li></ul>	PW	January 2021	n/a
Explore the creation of new temporary post with Environmental Services that will provide advice and practical assistance to people living in fuel poverty	<ul style="list-style-type: none"><li>• Define job role and approve at BCF Steering Group</li><li>• Compile Job Description and Person Specification</li></ul>	MH	February 2021	£50k additional funding to be ringfenced for this purpose

# Private Sector Housing Assistance Policy 2019 - 2022

**Team: Strategic Housing**

**Date: December 2019**

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## Version Control

Version	Description of version	Effective Date
1	Housing Assistance Policy 2019/22	1 <sup>st</sup> December 2019
2	Housing Assistance Policy 2019/22	1 <sup>st</sup> July 2020

## Approvals

Approved by	Date

## Associated Documentation

Description of Documentation	
Private Sector Housing Renewal Policy 2016	Redundant

## 1. Introduction

- 1.1 South Derbyshire District Council (the Council) recognises the importance that good quality, accessible, safe, and warm housing has in contributing to people's quality of life.
- 1.2 The primary responsibility for maintaining and repairing private sector homes rests with the owner, however the Council is committed to improving the quality of housing within the District and has statutory responsibilities to assist certain people where they cannot reasonably do this for themselves.
- 1.3 Disabled Facilities Grants (DFGs) and discretionary housing grants can make a significant contribution in meeting the needs of older, vulnerable and disabled people by providing assistance to facilitate adaptations or essential repairs in the home to promote health and wellbeing and maximise the opportunities for continued independence.
- 1.4 This Policy updates the Council's Private Sector Renewal Policy, which was last updated in November 2019. It is steered by objectives contained within the Council's Corporate Plan, the emerging Housing and Health Strategy and Derbyshire County Council's (the County Council) Better Care Fund (BCF) Narrative Plan.

## 2. Policy Statement

- 2.1 This Policy sets out how the Council will exercise its statutory obligations for the provision of mandatory DFGs under the provisions of the Housing Grants, Construction and Regeneration Act 1996 and use the discretion afforded under Article 3 of the Regulatory Reform Order (Housing Assistance) (England & Wales) Order 2002 (the RRO) to provide flexible assistance to help improve the living conditions of people living within the District.
- 2.2 In accordance with the RRO, this policy has been adopted by the Council and details the:
  - Scope of adaptations available under the DFG.
  - Other types of assistance the Council may make available based on an assessment of local need.
  - Eligibility conditions for the assistance.
  - Amount of assistance available.
  - Conditions that will apply to the provision of the assistance.
  - Circumstances when repayment is required.

## 3. Policy Aims

- 3.1 The focus of this Policy is one of early intervention and proactive prevention; to avoid crisis, to enable people to live healthily and well at home and remain living as independently as possible.
- 3.2 The assistance contained within the Policy aims to meet the identified priorities set out in the Council's Corporate Plan, the emerging Housing and Health Strategy, and County Council's BCF Plan by:
  - Increasing the number of people who are able to live independently and safely at home.

- Contributing to the principal aims of the BCF to reduce delayed transfers of care, minimise avoidable hospital admissions and facilitate early discharge from hospital where possible (reducing bed-based care).
- Improving the health, wellbeing, and quality of life of people living within the District.
- Removing or reducing housing related defects that are detrimental to a person's health.
- Reducing the number of households living in fuel poverty by improving the energy efficiency of the District's private sector housing stock.
- Increasing the number of empty properties brought back into use, particularly where this accommodation can be used to relieve homelessness.
- Supporting the coordination and integration of services to deliver person centred outcomes.

## 4. Legal and Policy Framework

### 4.1 Home Adaptations

- 4.1.1 The provision of a DFG is regulated by the Housing Grants, Construction and Regeneration Act 1996. The Act places a statutory duty on the Council to provide assistance to qualifying disabled people to undertake a range of adaptations to their homes that are considered "necessary and appropriate" to meet their needs and are "reasonable and practical" having a regard to the age and condition of the property, any work must also be determined as "eligible" as defined by the Act and subsequent regulations. The grant is subject to a "test of resources" in accordance with the legislation, except in the case of children aged under 19, and gives the Council powers to require the grant funding to be repaid upon disposal of the property in certain circumstances.
- 4.1.2 The Regulatory Reform (Housing Assistance) (England and Wales) Order 2002 gives the Council greater freedoms to provide financial assistance for adaptations, essential home repairs or improvements to improve housing conditions to benefit an individual's health, wellbeing, or quality of life. Article 3 of the Act introduces a wide range of discretionary powers to allow the Council to develop different forms of assistance to meet local needs, based on the local housing conditions and the resources available to the local authority.
- 4.1.3 In 2015/16, the Government made changes to the funding mechanism for DFGs by including the allocation for DFGs as part of the Better Care Fund (BCF). The fundamental principle of the BCF pooled budget is to enable health, social care, and housing services to work more closely together to assist people to manage their health and wellbeing and to live independently in their communities for as long as possible. The statutory duty for the Council to deliver the DFG remains, and within Derbyshire the full DFG allocation is passported through to the Council each year to enable the delivery of DFGs and other local housing related priorities.

### 4.2 Housing Assistance

- 4.2.1 The Governments view is that the primary responsibility for maintaining privately owned properties rests with the homeowner, however in certain circumstances it may become necessary for the Council to assist in carrying out essential repairs or improvements in the form of advice, financial assistance or enforcement action.
- 4.2.2 The Home Energy Conservation Act (HECA) 1995 outlines that Local Authorities are uniquely placed to assess the needs of their areas and sets out the specific role the Council has to play in improving the

energy efficiency of residential accommodation. Since 2013 the Act requires the Council to produce biennial reports setting out the measures it is taking to improve energy efficiency within the residential accommodation of the District.

- 4.2.3 The Housing Act 2004 places a statutory duty on the Council to enforce housing standards in its locality and introduced the Housing, Health and Safety Rating System (HHSRS) risk assessment for residential properties. The HHSRS assess 29 potential hazards within a home and classifies these as either Category 1 or 2 hazards, with Category 1 hazards placing the occupants at risk of immediate harm. This requires the Council to take appropriate action and enforce housing standards when these are not met. The Act also set out the requirement for the Council to keep the housing conditions under review and develop strategies and approaches to address areas of concern.
- 4.2.4 The Energy Act 2011 places an obligation on energy companies to help the poorest and most vulnerable households with saving energy. The Energy Company Obligation (ECO) is a government energy efficiency scheme to help reduce carbon emissions and tackle fuel poverty. Under the scheme, the larger energy suppliers have to set targets to:
- Promote measures to reduce carbon emissions, such as roof and wall insulation and connections to heating systems; and
  - Promote measures which improve the ability of low income and vulnerable households to reduce the amount of money required to heat their homes, such as the replacement or repair of a boiler.
- 4.2.5 The Housing and Planning Act 2016 includes a package of measures to tackle rogue landlords within the private rented sector. Since April 2018, landlords of domestic properties may not grant a new tenancy or renew an existing tenancy for a property rated with an Energy Performance Certificate (EPC) of F or G unless an exemption applies. The landlord must improve the rating to minimum of E or register an exemption before letting. The Council has committed to monitoring this and will take enforcement action where necessary to ensure the District's private rented stock meets the minimum standards.
- 4.2.6 From April 2020, the minimum level of energy efficiency applies to all domestic private rented properties covered by the Regulations, even if there has been no change in tenancy. If an exemption applies, landlords must register this on the Private Rented Sector Exemptions Register. Full details of exemptions are set out in the updated Domestic Landlord Guidance.

## 5. Local Strategic Framework

- 5.2 The Council's Corporate Plan outlines the Council's vision of the District being a great place to live, visit and invest, and outlines the values it holds to ensure the services it delivers reflect the local needs of residents. The Strategy includes a number of priorities which will support the aims of this Policy:
- Enabling independent and affordable living.
  - Supporting and safeguarding our most vulnerable residents by keeping them healthy and happy in their homes.
  - Promoting health and wellbeing.
  - Improving the condition of residential housing within the District.
  - Working towards achieving carbon neutrality by 2030.

5.3 The Council's emerging Housing and Health Strategy 2020 - 2022 will identify housing and health related issues within the District. The Strategy will prioritise these issues and propose ways in which the Council, within their role as enabler, will tackle them. The emerging priorities currently identified that relate to the delivery of this policy are:

- Improving health outcomes through housing interventions.
- Meeting the needs of our ageing population.
- Tackling disrepair in the private sector.
- Joining up services to prevent crisis.

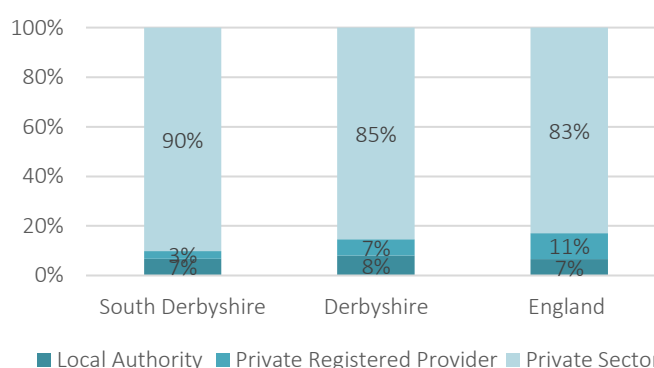
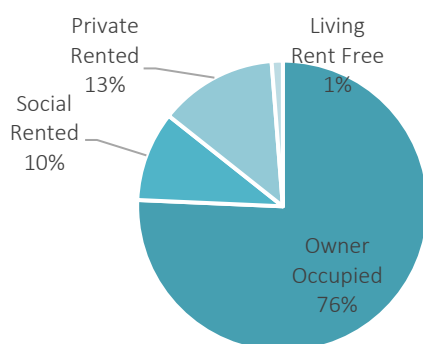
5.4 The County Council's BCF Narrative Plan outlines the way in which the Derbyshire BCF will operate to ensure that the health and social care system can deliver services to meet the needs of the local population. The priorities of this plan that support the delivery aims of this policy are:

- Prevention and early intervention to prevent crisis.
- Reducing delayed transfers of care (bed-blocking) or facilitate early discharge from hospital.
- Minimising avoidable admissions to hospital or residential care.
- Enabling people to remain living safely and independently at home.
- Maximising the health and wellbeing of the population.
- Ensuring seamless service provision is delivered across organisations by partnership working.

## 6. Local Context

6.1. South Derbyshire is a largely rural District at the heart of the National Forest. It is one of the fastest growing areas in England with a current population of over 105,000. This is set to grow by nearly 15% between 2019 and 2028 to increase this total to over 120,000 people.

6.2 The majority of people within the District live in the private sector (90%); with 76% owning their own home, either outright or with a mortgage and 13% living within the private rented sector. Only 10% of households live in socially rented housing.

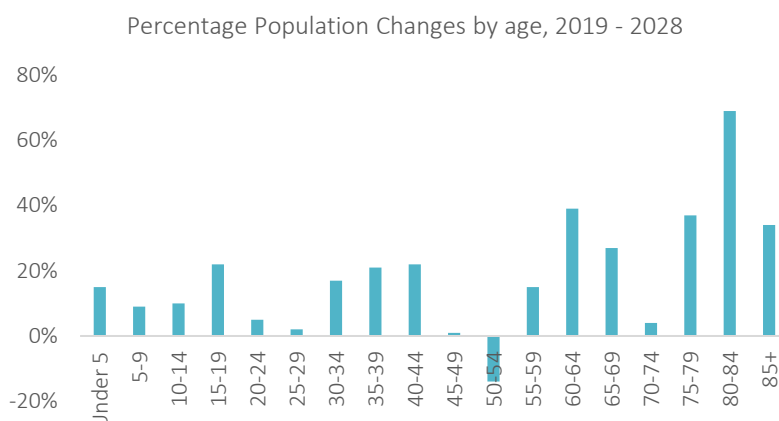


The tenure figures should be used as an estimate of the tenure split rather than absolute figures.

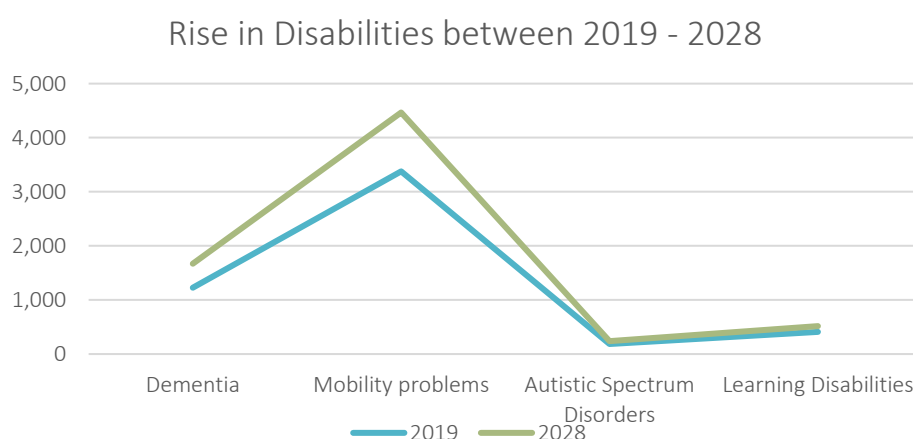
6.3 The District will see an increase in the population of people aged 65 and over, in particular there will be significant growth in the 80+ age group which will place increasing pressures on health, social care and acute services.



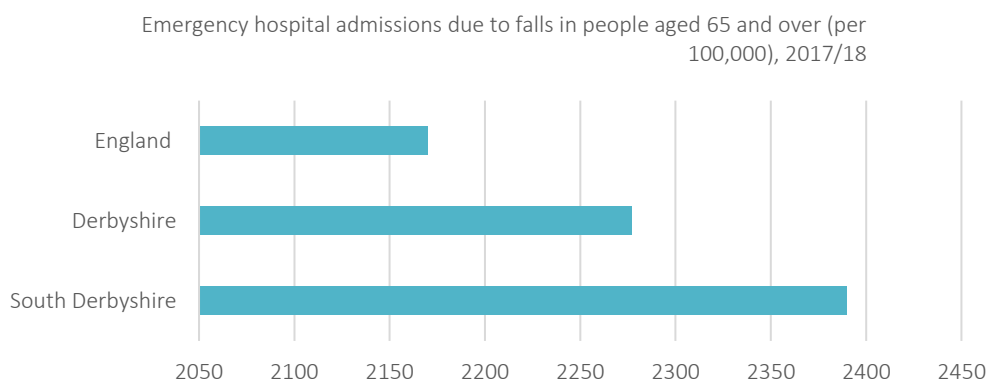
The table below shows the percentage changes in age groups between 2019 and 2028.



- 6.4 The number of people living within the District with long term health conditions or a disability is set to increase by 32% between 2019 and 2028, in particular the number of people living with Dementia is set to rise by 36% and those living with a physical disability is set to rise by 32% over the same timeframe. The chart below shows the growth in some long-term health problems/disabilities:



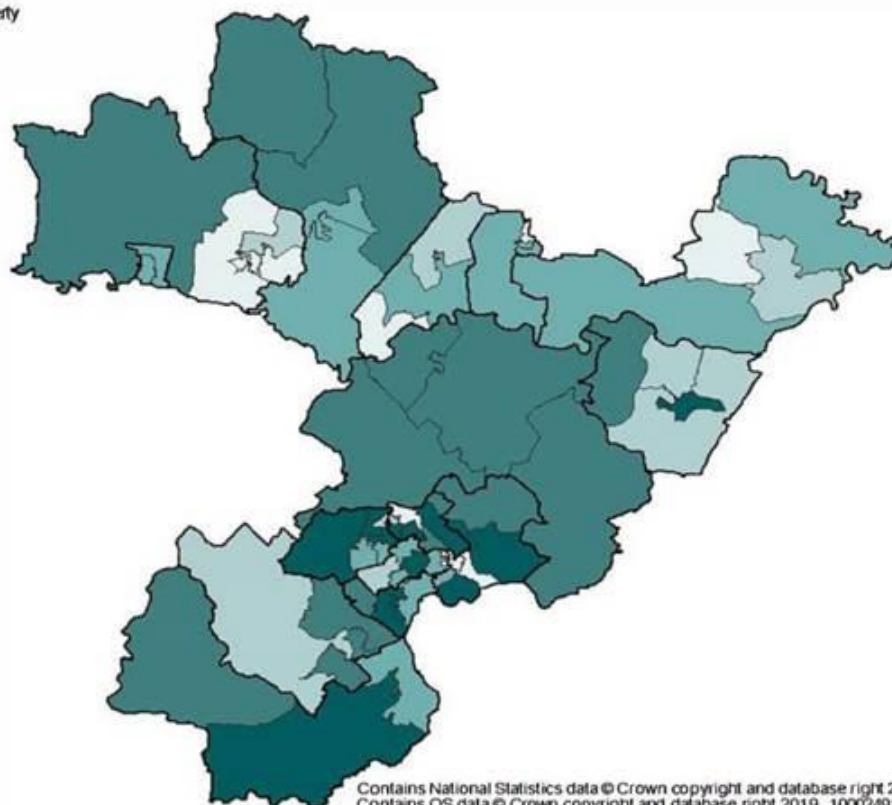
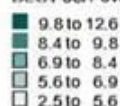
- 6.5 It is also anticipated that the number of frail older people will increase; frailty increases the risk of adverse health outcomes including falls, reduced mobility and disability, reduced independence, and hospitalisation. Older people are more vulnerable to accidents in the home, with those aged 65+ having the highest risk of falling. South Derbyshire has a greater rate of hospital admissions for falls in the home than in Derbyshire or England:



- 6.6 A household is considered to be in fuel poverty if they need to spend more than 10% of their income to maintain a satisfactory heating regime. South Derbyshire has a lower proportion of households living in fuel poverty than the national average; with 7.9% of households considered to be living in fuel poverty compared to the national average of 10.9%.
- 6.7 The heat map below shows the areas of the District considered to be in the highest levels of fuel poverty. These are areas the Council will proactively target with its preventative work to ensure the financial resources reach those most in need.

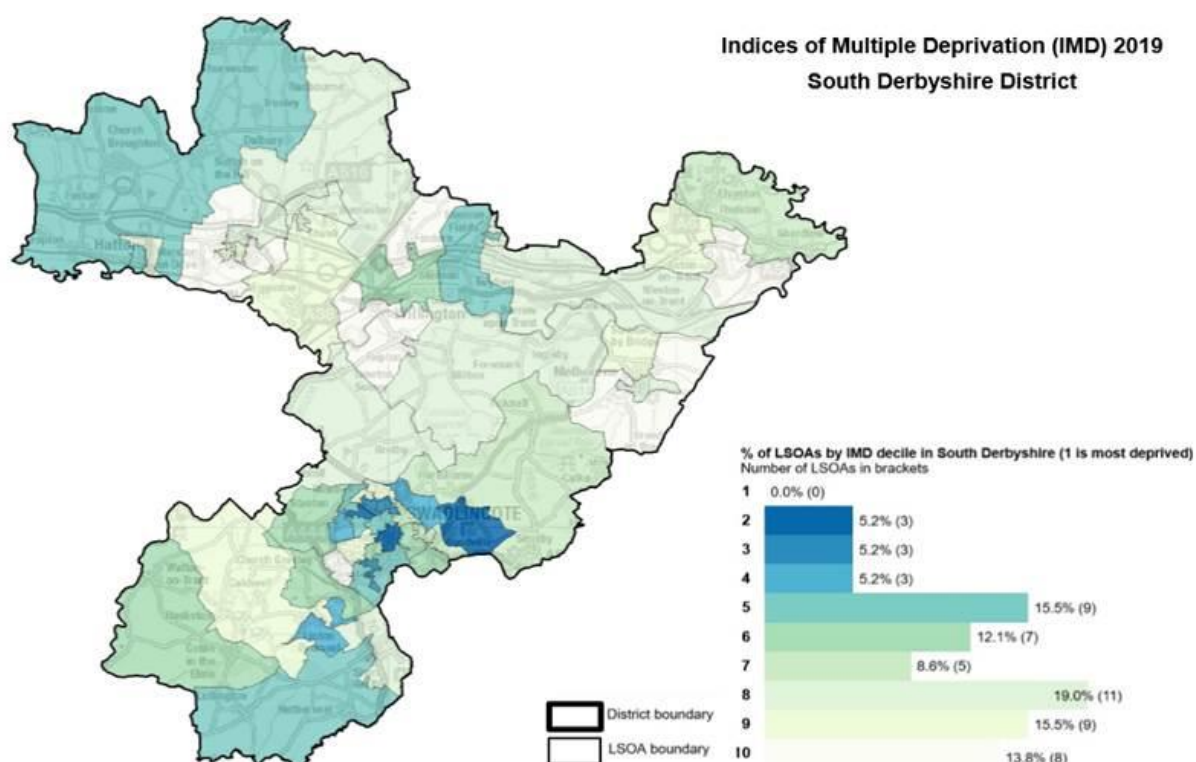
**South Derbyshire District Council  
Fuel Poverty 2019**

Proportion in Fuel Poverty  
DEC Fuel Poverty 2019



Contains National Statistics data © Crown copyright and database right 2019  
Contains OS data © Crown copyright and database right 2019. 100024913.

- 6.8 The rising cost of living including food, fuel and housing costs mean that some communities experience higher than average levels of deprivation and poverty. The Index of Multiple Deprivation (IMD) is the most commonly used measure of deprivation, with the lower numbers showing the areas of highest levels of deprivation.
- 6.9 The map overleaf shows that there are no areas within South Derbyshire that fall within the most 10% deprived areas across England, however there are stark contrasts between areas of deprivation, mainly around the urban core and towards the south and north-west of the District, and areas of greater affluence throughout the District.



## 7. Funding

- 7.1 The Council has seen an increase in DFG funding since 2014/15 as a result of the allocation being paid via the County Council's BCF funding. The take up of mandatory DFGs within the District has not kept pace with the amount of funding received and therefore the Council has taken the opportunity to revise this policy to offer discretionary assistance and pilot new schemes to meet identified local need.
- 7.2 Mandatory DFGs will always need to have priority on the use of DFG monies, all other assistance which may be provided under this policy is at the sole discretion of the Council and will be subject to the availability of financial resources. At times of high demand, waiting lists for discretionary schemes may be instigated or schemes may be amended, suspended, or removed entirely to ensure the Council can meet its statutory responsibilities.
- 7.3 In addition to the DFG funding, the Council will exploit all possible opportunities for internal and external funding and work with other providers to improve housing conditions and the health and wellbeing of our residents.
- 7.4 Where assistance has been given on the condition of a land charge being applied to the property, all monies received from the disposal of the property will be returned into the DFG budget and be ringfenced for future mandatory and discretionary schemes delivered under this policy.

## 8. Adaptations

### 8.1 Disabled Facilities Grant

This grant will provide disabled people adaptations to their homes to promote independent living.

Purpose	<p>This is a mandatory grant available to provide essential adaptations to the homes of disabled people to facilitate independent living, ensuring they have adequate access to and around their homes and to essential facilities within it, subject to the provisions contained within the Housing Grants, Construction and Regeneration Act 1996.</p> <p><b>This summary document should be read in conjunction with the full Act.</b></p>
Maximum Grant Amount	£30,000 however the grant will only cover the cost of works deemed to be eligible.
Applicant Eligibility	<p>A person must be considered as disabled under the Act.</p> <p>The grant is available to adapt the home to meet the needs of any disabled person living within the property to enable them to continue to live there however the application should be in the name of the homeowner or tenant of a private landlord or registered provider (applications from Council tenants are covered under separate funding arrangements).</p> <p>The grant is subject to a test of resources (see financial assessment).</p>
Eligible Works	<p>The works must be deemed as necessary and appropriate to meet the needs of the disabled person, and reasonable and practicable having regard to the age and condition of the property to:</p> <ul style="list-style-type: none"> <li>• Make the home safe.</li> <li>• Facilitate access to and from the home.</li> <li>• Facilitate access to or provide a bedroom.</li> <li>• Facilitate access to the principal family room.</li> <li>• Provide a room containing a bath or shower or facilitate the use of such a facility.</li> <li>• Provide of a room containing a toilet and wash hand basin or facilitate the use of such a facility.</li> <li>• Facilitate the preparation and cooking of food (only if used by the disabled person).</li> <li>• Provide or improve a heating system.</li> <li>• Facilitate the use of power, light, or heat by altering the same or provide additional means of control.</li> <li>• Facilitate access and movement around the home to enable a disabled person provide care for another person.</li> <li>• Facilitate access to a garden.</li> </ul> <p>The Council will support the use of preferred schemes where it can be evidenced, to the satisfaction of the Council that the preferred work is necessary and appropriate and will still meet the disabled person's needs. Funding for preferred schemes will only be awarded up to the maximum amount of the assessed eligible work. For example, if the Council recommends a stairlift to facilitate access to a bedroom, however the applicant would prefer a ground floor bedroom, the Council will only provide a grant for the cost of the stairlift (the original eligible works) and it will be for the applicant to fund the additional costs.</p>

	Remedial works identified that support the provision of eligible work that require action will be considered as part of the grant costs. e.g. upgrade or replacement electrics to facilitate the safe installation of a stairlift.
Financial Assessment	Funding will only be provided towards works deemed eligible. Eligible work under £6,000 or for a child (under 16, or under 19 if in receipt of child benefit) will not be subject to a test of resources. Works for £6,000 or over will be subject to a formal test of resources or a means test in accordance with the Act to determine an applicant's contribution.
Application	Applications should be made using the relevant forms and supported by an assessment by Derbyshire County Council's Adult Social Care or a private Occupational Therapist Assessment. The Council are responsible for assessing that the person is a qualifying disabled person and the work is necessary, appropriate, reasonable, and practicable. The assessment for what work is necessary and appropriate will be undertaken in conjunction with Derbyshire County Council's Adult Social Care Department. The grant is subject to a test of resources; proof of qualifying means tested benefits, or the results of this test will be considered as part of the application process. Certification will be required to prove ownership or landlord's consent, along with a signed disclaimer stating the applicant's intention to remain in the property for the next five years.
Payment	Any associated fees such as technical surveys, obtaining proof of title etc are taken from a top sliced portion of the budget which is used for design fees. Payment will be made directly to the contractor(s) upon satisfactory completion of eligible works as inspected by the Council. In certain circumstances stage payments may be made towards the cost of large works. If the applicant has a contribution to pay, they must ensure they have the money to cover their share of the costs before work commences. Unforeseen and additional costs will only be paid for where they are necessary to complete the adaptation and must be agreed by the Council before they are undertaken. Any increase in grant amount may have an impact on the charge placed against the property.
Conditions	The disabled person must intend to occupy the property as their only or main residence for a period of five years after the works are complete (or such shorter period as the person's health or other relevant circumstances permit). Work must not commence until formal approval of the grant has been issued to the applicant and works must be completed within 12 months from the date of this formal approval. The Council is not responsible for the ongoing maintenance or repairs of the work, and it is the applicant's responsibility to ensure they adhere to the recommended servicing of any equipment e.g. stairlifts, through floor lifts, closomats etc. Where the applicant is an owner occupier and the grant amount is above £5,000, the Council will recover the costs of the grant up to £10,000 if the property is disposed of within 10 years from the date of the completion of works. This will be placed as a legal charge against property; however, the

	<p>Council may waive this requirement in exceptional circumstances in accordance with the grant rules.</p> <p>The first £5,000 will be disregarded. A maximum charge of £10,000 will be applied in accordance with the example below:</p> <table> <tr> <th>Grant</th><th>Repayment Required</th></tr> <tr> <td>£5,000</td><td>£0</td></tr> <tr> <td>£10,000</td><td>£5,000</td></tr> <tr> <td>£20,000</td><td>£10,000</td></tr> <tr> <td>£30,000</td><td>£10,000</td></tr> </table>	Grant	Repayment Required	£5,000	£0	£10,000	£5,000	£20,000	£10,000	£30,000	£10,000
Grant	Repayment Required										
£5,000	£0										
£10,000	£5,000										
£20,000	£10,000										
£30,000	£10,000										
Strategic Aims	<ul style="list-style-type: none"> <li>• Increase the number of people living independently and safely at home.</li> <li>• Reduce the number of serious hazards in people's homes.</li> <li>• Improve the health, wellbeing, and quality of life of people living within the District.</li> </ul>										

## 8.2 Discretionary Top Ups for DFG

In exceptional circumstances, the Council will consider applications to top-up the funding of a mandatory DFG application where this exceeds the maximum grant limit of £30,000. The maximum funding available for this is £10,000.

Purpose	To provide discretionary financial assistance to a disabled person who qualifies for a mandatory DFG where the cost of the eligible works exceeds the mandatory grant maximum of £30,000.
Maximum Grant Amount	£10,000
Applicant Eligibility	<p>The applicant must have been assessed as eligible for a mandatory DFG; and</p> <p>The applicant or household must be in receipt of an income related benefit. For clarity, this includes one or more of the following:</p> <ul style="list-style-type: none"> <li>• Income Support</li> <li>• Guaranteed Pension Credit</li> <li>• Income based Employment and Support Allowance</li> <li>• Income based Job Seekers Allowance</li> <li>• Working Tax Credit</li> <li>• Universal Credit</li> <li>• Housing or Council Tax Support (not including single person or disabled person discount).</li> </ul> <p>Discretion will be given to applicants considered to be in exceptional financial hardship which will be determined on a case by case basis by the Head of Housing.</p> <p>Applications made towards the cost of an applicant's assessed contribution will not be considered unless exceptional circumstances exist. These will be determined on a case by case basis by the Head of Housing.</p>
Eligible Works	Works funded by this grant must be eligible works which have been deemed necessary and appropriate to meet the disabled persons need, as defined by the Housing Grants, Construction and Regeneration Act 1996.
Financial Assessment	There will be no additional means test required for the top-up, however the applicant or the household will need to be in receipt of a qualifying means tested benefit or considered to be in financial hardship as outlined above.

Application	A formal application for this assistance will not be required in addition to the DFG application.
Payment	Payment will be made directly to the contractor(s) upon satisfactory completion of eligible works as inspected by the Council. In certain circumstances stage payments may be made towards the cost of large works.
Conditions	The conditions for this grant will be the same as outlined within the DFG (Mandatory Works), except for: Where the applicant is an owner occupier the Council will recover the full costs of the top-up grant if the property is disposed of within 10 years from the date of the completion of works. For clarity, the charge added will be in addition to any mandatory grant applied. This will be placed as a legal charge against property; however, the Council may waive this requirement in exceptional circumstances in accordance with the grant rules.
Strategic Aims	<ul style="list-style-type: none"> <li>• Increase the number of people living independently and safely at home.</li> <li>• Reduce the number of serious hazards in people's homes.</li> <li>• Improve the health, wellbeing, and quality of life of people living within the District.</li> </ul>

### 8.3 Relocation Grants

In certain circumstances, it may not be possible to suitably adapt the home of a disabled person or the cost of doing so becomes prohibitive. In order to effectively meet the person's needs, the Council will consider applications for a relocation grant to assist the household with the cost of moving to a more appropriate home.

Purpose	This fund will offer discretionary assistance to pay for the associated costs of moving home where it is not reasonable or practical under the mandatory DFG assistance to suitably adapt the home of the disabled person, or the cost of doing exceeds the maximum grant limit of £30,000 or moving home would provide a better long-term solution.
Maximum Grant Amount	£30,000
Applicant Eligibility	The applicant will have been assessed as eligible for a mandatory DFG and there is no possibility of adapting their current home or moving would provide a better long-term solution; and The cost of the relocation grant will be lower or equivalent to the original grant, including the estimated cost of any adaptations required in the new home and less than the maximum grant limit of £30,000.
Eligible Works	<ul style="list-style-type: none"> <li>• Legal and estate agent fees</li> <li>• Survey fees</li> <li>• Stamp duty</li> <li>• Removal costs</li> <li>• Eligible works deemed necessary and appropriate to adapt the new home</li> </ul>
Financial Assessment	The DFG is subject to a formal means test, a further means test for this grant will not be required.
Application	A formal application for this assistance will not be required in addition to the DFG application.



Payment	Payment will be made directly to the applicant's solicitor upon exchange of contracts for all legal and estate agent fees. Payment will be made directly to the contractor(s) upon satisfactory completion of eligible works as inspected by the Council.										
Conditions	<p>Where the applicant is an owner occupier and the grant amount is above £5,000 the Council will recover the costs of the grant up to £10,000 if the property is disposed of within 10 years from the date of the completion of works or exchange of contracts. This will be placed as a legal charge against property; however, the Council may waive this requirement in exceptional circumstances in accordance with the grant rules. The first £5,000 will be disregarded. A maximum charge of £10,000 will be applied in accordance with the example below:</p> <table> <tr> <th>Grant</th><th>Repayment Required</th></tr> <tr> <td>£5,000</td><td>£0</td></tr> <tr> <td>£10,000</td><td>£5,000</td></tr> <tr> <td>£20,000</td><td>£10,000</td></tr> <tr> <td>£30,000</td><td>£10,000</td></tr> </table>	Grant	Repayment Required	£5,000	£0	£10,000	£5,000	£20,000	£10,000	£30,000	£10,000
Grant	Repayment Required										
£5,000	£0										
£10,000	£5,000										
£20,000	£10,000										
£30,000	£10,000										
Strategic Aims	<ul style="list-style-type: none"> <li>• Increase the number of people living independently and safely at home.</li> <li>• Reduce the number of serious hazards in people's homes.</li> <li>• Improve the health, wellbeing, and quality of life of people living within the District.</li> </ul>										

## 8.4 Additional Officer Posts

- 8.4.1 To support the effective and efficient delivery of Mandatory DFGs, the Council will invest in the provision of a dedicated Occupational Therapist and Technical Officer. This will enable qualifying disabled people to receive eligible works to adapt their homes more quickly and support the policy aims of reducing hazards within the home, enabling people to live independently and safely, and improving the health, wellbeing and quality of life in addition to preventing avoidable bed-based care.

## 9. Home Repair Assistance

### 9.1. Healthy Homes Programme

Purpose	Discretionary assistance available to help vulnerable residents who are affected by poor housing to stay warm and well at home by providing heating repairs or upgrades and insulation.
Applicant Eligibility	<p>The applicant must be an owner occupier or living in private rented accommodation that they are struggling to afford to keep warm and classed as vulnerable due to age, or existing health conditions such as:</p> <ul style="list-style-type: none"> <li>• cardiovascular, respiratory, mental health, physical disability, addictions, terminal illness, suppressed immune system. life changing or life limiting conditions). These applications must be supported by a recommendation from an OT, social worker, GP, or other healthcare professional.</li> </ul>
Eligible Works	<p>Works will be assessed on an individual basis, however, could include:</p> <ul style="list-style-type: none"> <li>• Loft or cavity wall insulation</li> <li>• Improving home energy efficiency</li> </ul>



	<ul style="list-style-type: none"> <li>• Repairing or replacing heating systems</li> <li>• A new gas connection to the property</li> <li>• Clearance, cleaning, and hoarding</li> <li>• Minor electrical works</li> </ul>
Financial Assessment	<p>Applicants will be assessed based on their household income with a decision being made to the income threshold based on household composition or be in receipt of one or more income related benefits at the point of approval.</p> <ul style="list-style-type: none"> <li>• Income Support</li> <li>• Guaranteed Pension Credit</li> <li>• Income based Employment and Support Allowance</li> <li>• Income based Job Seekers Allowance</li> <li>• Working Tax Credit</li> <li>• Universal Credit</li> <li>• Housing or Council Tax Support (not including single person or disabled person discount).</li> </ul>
Application	Referrals can be made directly to the scheme by contacting 01629 536919 or 01629 536091.
Strategic Aims	<ul style="list-style-type: none"> <li>• Reduce the number of serious hazards in people's homes.</li> <li>• Improve the energy efficiency of the Districts private sector housing.</li> <li>• Reduce the number of households living in fuel poverty.</li> <li>• Contribute to the number of people living independently at home.</li> <li>• Improve the health, wellbeing, and quality of life of people living within the District.</li> </ul>

## 9.2. Healthy Homes Assistance Fund

The purpose of this assistance is to remove significant hazards in people's homes or to provide security and/or energy efficiency measures to reduce fuel poverty in cases not covered by the Healthy Homes Programme. Assistance will be available in the form of a grant, up to a maximum of £10,000 per property.

Purpose	Discretionary assistance intended to ensure vulnerable or disabled households can live in homes that are safe and free from serious defects or hazards, are warm and secure.
Maximum Grant Amount	£10,000 <b>(extendable to £25,000 with the written consent of the Head of Environmental Services)</b>
Applicant Eligibility	<p>The applicant must be an owner occupier or at the Council's discretion living in private rented accommodation.</p> <p>The property must be the applicant's sole and only residence and:</p> <ul style="list-style-type: none"> <li>• Contain a household member who is 60 years of age or over; or</li> <li>• Contain a child under 5 or a pregnant woman; or</li> <li>• Contain a household member who is in receipt of a disability related benefit; for clarity this includes any rate or component of Personal Independence Payments, Disability Living Allowance or Attendance Allowance; or</li> <li>• Contain a household member with a diagnosed health condition which is made worse by their living conditions. (The following conditions will be considered as part of the assessment - cardiovascular, respiratory, mental health, physical disability,</li> </ul>

	<p>addictions, terminal illness, suppressed immune system. life changing or life limiting conditions). These applications must be supported by a recommendation from an OT, GP, or other healthcare professional.</p> <ul style="list-style-type: none"> <li>Other exceptional criteria will be determined on a case by case basis by the Head of Environmental Services.</li> </ul>
Eligible Works	<p>Works eligible for assistance will be at the discretion of the Council and in general relate to the removal or help to remedy defects or deficiencies within the home that impact on health, for example:</p> <ul style="list-style-type: none"> <li>Essential repairs determined by the HHSRS to address Category 1 or serious Category 2 hazards in order to make the property safe, warm, weatherproof, or healthy.</li> <li>Installation or replacement central heating systems or improve the energy performance of the home.</li> <li>Work to prevent falls around the home.</li> <li>Additional security measures.</li> </ul> <p>All works must be deemed as reasonable and practicable having regard to the age and condition of the property.</p>
Financial Assessment	<p>Applicants must be in receipt of one or more income related benefits at the point of approval.</p> <ul style="list-style-type: none"> <li>Income Support</li> <li>Guaranteed Pension Credit</li> <li>Income based Employment and Support Allowance</li> <li>Income based Job Seekers Allowance</li> <li>Working Tax Credit</li> <li>Universal Credit</li> <li>Housing or Council Tax Support (not including single person or disabled person discount).</li> <li>Other exceptional criteria will be determined on a case by case basis by the Head of Environmental Services.</li> </ul>
Application	<p>Referrals will be received through multiple channels.</p> <p>The applicant will be required to complete an application form following an inspection from the Council to ensure works meet the requirements of the assistance.</p> <p>Proof of qualifying eligibility criteria will be required in order to process the application.</p>
Payment	<p>Works will be inspected by the Council on completion. If deemed satisfactory, payment will be made directly to the contractor(s) on behalf of the applicant. In certain circumstances, stage payments may be made towards the cost of large works.</p> <p>Unforeseen works may be included within the assistance if work has already commenced, up to a maximum of £1000. This is subject to the pre-approval from the Head of Environmental Services.</p> <p>Reasonable associated fees e.g. technical surveys, proof of ownership etc will be included within the assistance.</p>
Conditions	<p>The Council will not pay for works already underway or completed.</p> <p>Written consent from the owner must be obtained before works can commence.</p> <p>Works must be completed within three months from the date of approval unless an extension has been granted by the Head of Environmental Services.</p>

	<p>The Council will not accept more than two applications for assistance within a five-year period.</p> <p>A local land charge will be placed against the property for the full cost of work (including associated fees). <b>Unless there is clear evidence that this condition will have an adverse effect on the vulnerable or disabled person who the funding is intended to benefit. The Head of Environmental Services must give written approval where a local land charge is not to be placed on a property.</b></p> <p>Repayment of the grant will be made in full on the sale, transfer, or assignment of the property. In the exceptional circumstances where the Council will assist works to a property that is rented, a condition will be applied to the assistance that the landlord will only charge rent set at the local housing allowance rate for the type of property for a three year period, and will accept nominations from the Council should the property become vacant during the same timeframe.</p> <p>An applicant can repay the grant in full or in stages at any time throughout the duration of the assistance.</p> <p>All returned monies will be recycled back into the scheme to ensure it is sustainable in the long term.</p>
Strategic Aims	<ul style="list-style-type: none"> <li>• Reduce the number of serious hazards in people's homes.</li> <li>• Improve the energy efficiency of the Districts private sector housing.</li> <li>• Reduce the number of households living in fuel poverty.</li> <li>• Contribute to the number of people living independently at home.</li> <li>• Improve the health, wellbeing, and quality of life of people living within the District.</li> </ul>

### 9.3. Empty Homes Grant

The purpose of this assistance is to support empty homeowners who wish to bring their empty homes back into use for either their own occupation or to contribute to the private rented stock. The grant will provide a maximum amount of £9,000 and can be used to cover the cost of required renovation works with conditions applied that the property must be let to families on the housing register for a period of 5 years following completion of the work.

Purpose	Discretionary assistance intended to bring long term empty properties back into occupation in order to optimise the occupancy of the districts housing stock, to support the supply of affordable housing and to minimise the anti-social behaviour and blight associated with empty properties.
Maximum Grant Amount	£9,000 per residential unit
Applicant Eligibility	<p>The applicant must be the owner of the property which is the subject of the grant application.</p> <p>The property must:</p> <ul style="list-style-type: none"> <li>• Have been empty for at least 1 year;</li> <li>• Fail to meet the Decent Homes Standard;</li> <li>• Other exceptional criteria will be determined on a case by case basis by the Head of Environmental Services.</li> </ul>
Eligible Works	Works eligible for assistance will be at the discretion of the Council and in general relate to works necessary to enable the property to meet the Decent Homes Standard.

	All works must be deemed as reasonable and practicable having regard to the age and condition of the property.
Financial Assessment	No financial assessment criteria apply.
Application	The applicant will be required to complete an application form and provide proof of ownership following an inspection and relevant enquiries from the Council to ensure the property meets the requirements of the assistance.
Payment	<p>Works will be inspected by the Council on completion. If deemed satisfactory, payment will be made directly to the contractor(s) on behalf of the applicant. In certain circumstances, stage payments may be made towards the cost of large works.</p> <p>Unforeseen works may be included within the assistance if work has already commenced, up to a maximum of £1000. This is subject to the pre-approval from the Head of Environmental Services.</p> <p>Reasonable associated fees e.g. technical surveys, proof of ownership etc will be included within the assistance.</p>
Conditions	<p>The Council will not pay for works already underway or completed.</p> <p>Works must be completed within 12 months from the date of approval unless an extension has been granted by the Head of Environmental Services.</p> <p>If, on completion of the grant the property is to be rented, the landlord must let at an affordable rent level (the local housing allowance rate) to households on the Councils housing waiting list for a minimum 5-year period.</p>
Strategic Aims	<ul style="list-style-type: none"> <li>• Increasing the number of empty properties brought back into use,</li> <li>• Reduce the number of serious hazards in people's homes.</li> <li>• Improve the health, wellbeing, and quality of life of people living within the District.</li> <li>• Improve the energy efficiency and reduce fuel poverty.</li> </ul>

#### 9.4. Public Health Officer - Healthy Homes

To support the early identification of hazards and essential repairs, the Council will invest in a dedicated Officer to identify and proactively react to issues of disrepair that are having a serious detrimental impact on a person's health, wellbeing and quality of life. This will support the policy aims of increasing the number of people able to live independently and safely at home and reduce the number of serious hazards within the home.

## 10. Hospital Discharge

### 10.1. Hospital Discharge Assistance

To support the aim of reducing the need for bed-based care, this fund will give prompt assistance to people who are fit to be discharged from hospital however there is a housing related reason that is preventing discharge back to their home.

Purpose	This discretionary assistance is for people in hospital or a health or social care funded placement whose discharge is delayed due to the conditions of their home; or the assistance will prevent emergency admission into hospital, or a health or social care funded placement.
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Maximum Grant Amount	£2,500
Applicant Eligibility	<p>The applicant must be an owner occupier or at the Council's discretion living within the private rented sector or a tenant of a registered provider. Applicants must be in hospital or a health or social care funded placement or is likely to need emergency admission due to the housing or living conditions.</p> <p>In all cases an applicant must be deemed capable of living independently by the relevant healthcare professional making the referral.</p> <p>The property subject to the application must normally be the applicant's permanent residence.</p>
Eligible Works	<p>Works will be determined on a case by case basis which will facilitate the purpose of this fund. Eligible works can include those listed below however this is not exhaustive and any works that reduce the need for bed-based care will be considered.</p> <ul style="list-style-type: none"> <li>• Urgent adaptations that allow access in or around the person's home</li> <li>• Urgent repairs to remove serious hazards</li> <li>• Heating repairs or improvements</li> <li>• Property clearance and one off deep cleans of hoarded goods.</li> </ul> <p>Work excludes packages of care funded by social care or health.</p>
Financial Assessment	This assistance is not subject to a means test or any qualifying criteria.
Application	<p>A referral is required by a relevant health or social care professional supporting the application.</p> <p>In all cases applications for assistance will be administered as soon as reasonably practicable.</p>
Payment	<p>Payment will be made directly to the contractor(s) upon satisfactory completion of eligible works as inspected by the Council.</p> <p>Works will be provided at no cost to the individual.</p>
Conditions	<p>Written consent from the owner(s) of the property will need to be obtained prior to works commencing unless the works are for cleaning or clearing the property.</p> <p>If the cost of the works exceeds the maximum financial assistance available, the Council will liaise with the relevant professional to determine the priority works.</p> <p>The Council will not pay for works carried out without prior approval.</p>
Strategic Aims	<ul style="list-style-type: none"> <li>• Increase the number of people living independently and safely at home.</li> <li>• Reduce the number of serious hazards in people's homes.</li> <li>• Assist with hospital discharge and delayed transfers of care, including reducing the use of bed-based care.</li> <li>• Improve the health, wellbeing, and quality of life of people living within the District.</li> <li>• Improve the energy efficiency and reduce fuel poverty.</li> </ul>

## 10.2. Home from Home Scheme

The Home from Home scheme will adapt existing Council homes to high standards; turning them into respite facilities to support a reduction in the need for bed-based care where there is a housing

related issue delaying discharge or triggering admission. This scheme will principally support the aim of meeting the BCF priorities by reducing the need for bed-based care, but also allow people to live independently and safely at home and improve the health, wellbeing, and quality of life.

### 10.3. Early Intervention Officer – Housing and Health

The creation of this Officer post will support the overall aims and priorities of this Policy. They will be responsible for providing customers with a holistic assessment of their needs in relation to their housing issues, and proactively work with them to resolve these issues to enable them to live as independently as possible. They will be the primary point of contact for hospital discharge to prevent the use of bed-based care and be responsible for coordinating the Home from Home Scheme, the Hospital Discharge Grant and the Dementia Friendly Homes Grant, as well as monitoring the services contained within this policy are delivering against their strategic aims.

## 11. Dementia Friendly Homes

This grant will support people with a diagnosis of dementia or memory loss to live as independently as possible in their existing home.

Assistance and Outcomes	To provide aids, adaptations, or assistive technology to enable people with memory loss or a diagnosis of dementia to live as independently as possible within their home and reduce feelings of confusion.
Maximum Grant Amount	£1,500
Eligibility	The applicant must be an owner occupier, live within the private rented sector or a tenant of a registered provider. The applicant or a member of their household must have a diagnosis of dementia or is suffering from a recognised memory loss affecting day to day living, is able to continue to live independently at home.
Financial Assessment	This assistance is not subject to a means test or any qualifying criteria.
Eligible Works	The provision of aids or adaptations. These must be related to the memory loss or dementia and support with the promotion of independence or the self-confidence of the applicant, for example: <ul style="list-style-type: none"> <li>• Assistive technology such as dementia clocks, medication dispensers, memo minders etc.</li> <li>• Automatic lighting, exit sensors</li> <li>• Easy to use telephones</li> <li>• Activity monitors</li> <li>• Installation of keysafes, coloured grab rails, thermostatic taps</li> <li>• Provision and installation of equipment to reduce the risk of fire.</li> </ul> (this list is not exhaustive and will be based on an assessment of individual need)
Application Process	A referral is required by a relevant health or social care professional supporting the application. An assessment will be undertaken by a trained officer of the Council.
Payment and Fees	The Council will appoint a contractor or work with a third party to undertake eligible works. Payment will be made directly to the contractor on satisfactory completion of works. Works and equipment will be provided at no cost to the individual.

Conditions	Ongoing monitoring costs and maintenance of equipment will not be provided.
Strategic Aims	<ul style="list-style-type: none"> <li>• Increase the number of people living independently and safely at home.</li> <li>• Assist with hospital discharge and delayed transfers of care, including reducing the use of bed-based care (where appropriate).</li> <li>• Improve the health, wellbeing, and quality of life of people living within the District.</li> </ul>

## 12. Domestic Abuse and Victims of Crime

### 12.1. Safer Homes – South Derbyshire

This grant will enable victims of crime and older people to live safely in their homes. The safer homes grant is provided through the Community Voluntary Service (CVS) and paid for by the Council's Community Safety Partnership.

Purpose	Assistance to improve the security of homes of older people (60+), victims of crime and vulnerable people who live within the District.
Eligible Works	<p>The assistance involves a full security assessment of the home. Items installed will be on provided as a result of this assessment but could include the installation of:</p> <ul style="list-style-type: none"> <li>• Additional door or window locks</li> <li>• Security lighting</li> <li>• Door viewers and door chains</li> <li>• Window Alarms</li> <li>• Referrals for Fireproof letter boxes</li> </ul>
Financial Assessment	The security measures will be provided at no cost to the individual.
Strategic Aims	<ul style="list-style-type: none"> <li>• Increase the number of people living independently at home.</li> <li>• Improve the health, wellbeing, and quality of life of people living within the District.</li> </ul>

### 12.2. Domestic Abuse Services

This service will enable the Council to provide victims of abuse specialist support to assist with their immediate needs and support them in their long-term recovery. It will support the policy aims of increasing the number of people who are able to live independently and safely, improving the health, wellbeing and quality of life of people living within the District and support partnership working to achieve better person-centred outcomes.

## 13. Early Intervention Officer – Mental Health

To support people living within the private sector or registered provider properties who suffer with mental ill health, the Council will invest in the provision of a dedicated Support Worker to prevent homelessness and avoid the need for costly hospital admissions. This service will support the policy aims of increasing the number of people able to live independently and safely at home, contribute to

reducing the need for bed-based care, improve the health, wellbeing and quality of life of the individual and support the coordination of services to deliver person centred outcomes.

## 14. Supporting Independence

### 14.1 Stay Active and Independent for Longer (SAIL)

This project will help older people who are at risk of isolation to engage in a variety of physical activities provided by the Council throughout the District. This scheme will support the strategic aims of the policy by increasing the number of people who are able to live independently and safely at home, improve the health, wellbeing and quality of life of people living within the District and support the coordination of services to deliver person centred outcomes.

### 14.2 Capital and Revenue Funding Opportunities

The Council will support the delivery of one-off pilot projects or seed funding to launch services within the District that support the aims of this policy. The Council intends to advertise these opportunities to internal and external providers and will score applications based on how they will support the delivery of this policy and its strategic priorities.

## 15. Measuring Performance

- 15.1 The schemes contained within this policy will be subject to a consistent monitoring and evaluation procedure to ascertain that value for money is being achieved by the individual schemes along with measuring the social return on investment the scheme makes.

## 16. Data Protection

- 16.1 All data will be held securely in accordance with the General Data Protection Regulations (EU) 2016 (GDPR).
- 16.2 In order to progress an application it may be necessary to share the information an applicant provides with relevant other Council departments and externally with Adult Social Care and other relevant health care professionals. Applicants will be informed of this data sharing at the time of applying in the form of a privacy notice.
- 16.3 The Council is under a duty to protect public funds and may use the information provided for the prevention and detection of fraud.

## 17. Complaints

- 16.1 Appeals against refusals of any applications for discretionary assistance should be submitted as a Stage 1 complaint to the Strategic Director of Service Delivery. Details of the process are available on the Council's website: [Comments, compliments and complaints | South Derbyshire District Council](#) or alternatively you can make your complaint in writing to:

Strategic Director – Service Delivery  
South Derbyshire District Council



Civic Offices  
Civic Way  
Swadlincote  
Derbyshire  
DE11 0AH

## 18. Review

- 17.1 This Policy will be reviewed every three years to ensure it is still reflective of locally assessed needs; unless there are substantial changes in the legislation governing the policy or the availability of funding to support the policy aims.
- 17.2 The policy grants discretion to extend or amend the eligibility criteria, the level of grant or assistance available and the scope of works where the situation is exceptional, and would, in the opinion of the Strategic Director of Service Delivery, help the Council to meet its strategic housing aims.

## 19. Useful Contacts

Derbyshire County Council	Telephone: 01629 533190 Email: <a href="mailto:contactcentre@derbyshire.gov.uk">contactcentre@derbyshire.gov.uk</a>
South Derbyshire District Council	Telephone: 01283 221000 Email: <a href="mailto:customer.services@southderbyshire.gov.uk">customer.services@southderbyshire.gov.uk</a>
Derbyshire Healthy Homes programme	Telephone: 01629 536919 Email: <a href="mailto:healthyhome@derbyshire.gov.uk">healthyhome@derbyshire.gov.uk</a>
South Derbyshire Community Voluntary Service (CVS)	Telephone: 01283 219761 Email: <a href="mailto:projectsupport@sdcv.org.uk">projectsupport@sdcv.org.uk</a>

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<b>REPORT TO:</b>	<b>FINANCE AND MANAGEMENT COMMITTEE</b>	<b>AGENDA ITEM: 15</b>
<b>DATE OF MEETING:</b>	<b>26<sup>th</sup> NOVEMBER 2020</b>	<b>CATEGORY: DELEGATED</b>
<b>REPORT FROM:</b>	<b>STRATEGIC DIRECTOR (CORPORATE RESOURCES)</b>	<b>OPEN</b>
<b>MEMBERS' CONTACT POINT:</b>	<b>KEVIN STACKHOUSE (EXT 5811)</b> <a href="mailto:kevin.stackhouse@southderbyshire.gov.uk">kevin.stackhouse@southderbyshire.gov.uk</a>	<b>DOC:</b>
<b>SUBJECT:</b>	<b>COMMITTEE WORK PROGRAMME</b>	<b>REF:</b>
<b>WARD(S) AFFECTED:</b>	<b>ALL</b>	<b>TERMS OF REFERENCE: G</b>

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## **1.0 Recommendations**

1.1 That the Committee considers and approves the updated work programme.

## **2.0 Purpose of Report**

2.1 The Committee is asked to consider the updated work programme.

## **3.0 Detail**

3.1 Attached at Annexe 'A' is an updated work programme document. The Committee is asked to consider and review the content of this document.

## **4.0 Financial Implications**

4.1 None arising directly from this report.

## **5.0 Background Papers**

5.1 Work Programme.

**Finance and Management Committee – Next F&M Committee 26<sup>th</sup> November 2020**  
**Work Programme for the Municipal Year 2020/2021**

<b>Work Programme Area</b>	<b>Date of Committee Meeting</b>	<b>Contact Officer (Contact details)</b>
Final Budget Proposals 2020/21 and Financial Plan to 2025	13 February 2020	Victoria Summerfield (Head of Finance) <a href="mailto:Victoria.summerfield@southderbyshire.gov.uk">Victoria.summerfield@southderbyshire.gov.uk</a> (01283 595939)
Treasury Management Strategy 2020/21 and Prudential Indicators	13 February 2020	Victoria Summerfield (Head of Finance) <a href="mailto:Victoria.summerfield@southderbyshire.gov.uk">Victoria.summerfield@southderbyshire.gov.uk</a> (01283 595939)
Proposed Local Council Tax Reduction Scheme 2020/21	13 February 2020	Kevin Stackhouse Strategic Director (Corporate Resources) <a href="mailto:Kevin.stackhouse@southderbshire.gov.uk">Kevin.stackhouse@southderbshire.gov.uk</a> (01283 595811)
Capital Programme Budget to 2025	13 February 2020	Victoria Summerfield (Head of Finance) <a href="mailto:Victoria.summerfield@southderbyshire.gov.uk">Victoria.summerfield@southderbyshire.gov.uk</a> (01283 595939)
Annual Report of the Section 151 Officer	13 February 2020	Kevin Stackhouse Strategic Director (Corporate Resources) <a href="mailto:Kevin.stackhouse@southderbshire.gov.uk">Kevin.stackhouse@southderbshire.gov.uk</a> (01283 595811)
Corporate Performance Measures 2020 to 2024	13 February 2020	Fiona Pittam Head of Organisational Development <a href="mailto:Fiona.pittam@southderbyshire.gov.uk">Fiona.pittam@southderbyshire.gov.uk</a> (01283 595735)

Transfer of Housing Repairs Calls into Customer Services	13 February 2020	Victoria Summerfield (Head of Finance) <a href="mailto:Victoria.summerfield@southderbyshire.gov.uk">Victoria.summerfield@southderbyshire.gov.uk</a> (01283 595939)
Domestic Abuse Procedure - Make A Stand Campaign	13 February 2020	David Clamp Head of Organisational Development <a href="mailto:David.clamp@southderbyshire.gov.uk">David.clamp@southderbyshire.gov.uk</a> (01283 595729)
Social Media Strategy	13 February 2020	Fiona Pittam Head of Organisational Development <a href="mailto:Fiona.pittam@southderbyshire.gov.uk">Fiona.pittam@southderbyshire.gov.uk</a> (01283 595735)
Coronavirus (Covid-19) Financial Impact	2 July 2020	Kevin Stackhouse Strategic Director (Corporate Resources) <a href="mailto:Kevin.stackhouse@southderbshire.gov.uk">Kevin.stackhouse@southderbshire.gov.uk</a> (01283 595811)
Revenue Financial Monitoring 2019/20	2 July 2020	Victoria Summerfield (Head of Finance) <a href="mailto:Victoria.summerfield@southderbyshire.gov.uk">Victoria.summerfield@southderbyshire.gov.uk</a> (01283 595939)
Capital Financial Monitoring / Provisional Out-turn 2019/20	2 July 2020	Victoria Summerfield (Head of Finance) <a href="mailto:Victoria.summerfield@southderbyshire.gov.uk">Victoria.summerfield@southderbyshire.gov.uk</a> (01283 595939)
Treasury Management Update 2019/20	2 July 2020	Victoria Summerfield (Head of Finance) <a href="mailto:Victoria.summerfield@southderbyshire.gov.uk">Victoria.summerfield@southderbyshire.gov.uk</a> (01283 595939)
Homelessness / Rough Sleeping	2 July 2020	Paul Whittingham (Housing Services Manager) <a href="mailto:Paul.whittingham@southderbyshire.gov.uk">Paul.whittingham@southderbyshire.gov.uk</a> (01283595984)

Corporate Plan 2020 to 2024: Quarterly Performance Reports	9 July 2020	Fiona Pittam <a href="mailto:fiona.pittam@southderbsyhire.gov.uk">fiona.pittam@southderbsyhire.gov.uk</a> (01283 595735)
Evaluation of Capital Projects	9 July 2020	Kevin Stackhouse Strategic Director (Corporate Resources) <a href="mailto:Kevin.stackhouse@southderbshire.gov.uk">Kevin.stackhouse@southderbshire.gov.uk</a> (01283 595811)
Transformation and Business Change Programme 2020 to 2024	9 July 2020	Anthony Baxter (Head of Business Change and ICT) <a href="mailto:Anthony.baxter@southderbyshire.gov.uk">Anthony.baxter@southderbyshire.gov.uk</a> (01283 595712)
Sponsorship Policy and Guidance	9 July 2020	Nicola Lees <a href="mailto:nicola.lees@southderbsyhire.gov.uk">nicola.lees@southderbsyhire.gov.uk</a> (01233 595755)
Comments, Compliments, Complaints and FOI Requests	9 July 2020	Kevin Stackhouse Strategic Director (Corporate Resources) <a href="mailto:Kevin.stackhouse@southderbshire.gov.uk">Kevin.stackhouse@southderbshire.gov.uk</a> (01283 595811)
Equalities Annual Report 2019/20	9 July 2020	Fiona Pittam <a href="mailto:fiona.pittam@southderbsyhire.gov.uk">fiona.pittam@southderbsyhire.gov.uk</a> (01283 595735)
Revenue Budget Out-turn 2019/20	30 July 2020	Victoria Summerfield (Head of Finance) <a href="mailto:Victoria.summerfield@southderbyshire.gov.uk">Victoria.summerfield@southderbyshire.gov.uk</a> (01283 595939)

Capital Out-turn 2019/20	30 July 2020	Victoria Summerfield (Head of Finance) <a href="mailto:Victoria.summerfield@southderbyshire.gov.uk">Victoria.summerfield@southderbyshire.gov.uk</a> (01283 595939)
Treasury Management Annual Report 2019/20	30 July 2020	Victoria Summerfield (Head of Finance) <a href="mailto:Victoria.summerfield@southderbyshire.gov.uk">Victoria.summerfield@southderbyshire.gov.uk</a> (01283 595939)
Annual Value for Money Statement 2019/20	30 July 2020	Kevin Stackhouse Strategic Director (Corporate Resources) <a href="mailto:Kevin.stackhouse@southderbshire.gov.uk">Kevin.stackhouse@southderbshire.gov.uk</a> (01283 595811)
Asset Management Plan 2020 to 2024	30 July 2020	Steve Baker (Head of Corporate Property) <a href="mailto:Steve.baker@southderbyshire.gov.uk">Steve.baker@southderbyshire.gov.uk</a> (01283 595965)
Annual Health and Safety Report 2019/20	30 July 2020	David Clamp <a href="mailto:David.clamp@southderbsyhire.gov.uk">David.clamp@southderbsyhire.gov.uk</a> (01283 595729)
Revenue Financial Monitoring 2020/21	27 <sup>th</sup> August 2020	Victoria Summerfield (Head of Finance) <a href="mailto:Victoria.summerfield@southderbyshire.gov.uk">Victoria.summerfield@southderbyshire.gov.uk</a> (01283 595939)
Capital Revenue Monitoring 2020/21	27 <sup>th</sup> August 2020	Victoria Summerfield (Head of Finance) <a href="mailto:Victoria.summerfield@southderbyshire.gov.uk">Victoria.summerfield@southderbyshire.gov.uk</a> (01283 595939)
Treasury Management Update 2020-21	27 <sup>th</sup> August 2020	Victoria Summerfield (Head of Finance) <a href="mailto:Victoria.summerfield@southderbyshire.gov.uk">Victoria.summerfield@southderbyshire.gov.uk</a> (01283 595939)

Procurement Strategy 2020 To 2024	27 <sup>th</sup> August 2020	Kevin Stackhouse Strategic Director (Corporate Resources) <a href="mailto:Kevin.stackhouse@southderbshire.gov.uk">Kevin.stackhouse@southderbshire.gov.uk</a> (01283 595811)
Q1 Corporate Plan Performance 20-24	8 <sup>th</sup> October 2020	Clare Booth Corporate Performance & Policy Officer <a href="mailto:Clare.booth@southderbyshire.gov.uk">Clare.booth@southderbyshire.gov.uk</a>
Joint Consultative Committee: Terms of Reference	8 <sup>th</sup> October 2020	David Clamp Head of Organisational Development <a href="mailto:David.clamp@southderbyshire.gov.uk">David.clamp@southderbyshire.gov.uk</a> (01283 595729)
Evaluation of Bids for New Capital Projects	8 <sup>th</sup> October 2020	Kevin Stackhouse Strategic Director (Corporate Resources) <a href="mailto:Kevin.stackhouse@southderbshire.gov.uk">Kevin.stackhouse@southderbshire.gov.uk</a> (01283 595811)
Audit Results Report for the Year Ending 31 March 2020	26 <sup>th</sup> November 2020	Jason Burgess (Assistant Manager) EY Jburgess3@uk.ey.co
Q2 Corporate Plan Performance 20-24	26 <sup>th</sup> November 2020	Clare Booth Corporate Performance & Policy Officer <a href="mailto:Clare.booth@southderbyshire.gov.uk">Clare.booth@southderbyshire.gov.uk</a>
Revenue Financial Monitoring 2020/21	26 <sup>th</sup> November 2020	Victoria Summerfield (Head of Finance) <a href="mailto:Victoria.summerfield@southderbyshire.gov.uk">Victoria.summerfield@southderbyshire.gov.uk</a> (01283 595939)
Capital Revenue Monitoring 2020/21	26 <sup>th</sup> November 2020	Victoria Summerfield (Head of Finance) <a href="mailto:Victoria.summerfield@southderbyshire.gov.uk">Victoria.summerfield@southderbyshire.gov.uk</a> (01283 595939)

Treasury Management Update 2020-21	26th November 2020	Victoria Summerfield (Head of Finance) <a href="mailto:Victoria.summerfield@southderbyshire.gov.uk">Victoria.summerfield@southderbyshire.gov.uk</a> (01283 595939)
Comments, Compliments, Complaints and FOI Requests	26th November 2020	Kevin Stackhouse Strategic Director (Corporate Resources) <a href="mailto:Kevin.stackhouse@southderbshire.gov.uk">Kevin.stackhouse@southderbshire.gov.uk</a> (01283 595811)
Q3 Corporate Plan Performance 20-24	18 <sup>th</sup> March 2021	Clare Booth Corporate Performance & Policy Officer <a href="mailto:Clare.booth@southderbyshire.gov.uk">Clare.booth@southderbyshire.gov.uk</a>