

Date: 16 November 2022

Dear Councillor,

**Finance and Management Committee**

A Meeting of the **Finance and Management Committee** will be held at **Council Chamber**, Civic Offices, Civic Way, Swadlincote, DE11 0AH on **Thursday, 24 November 2022** at **18:00**. You are requested to attend.

Yours faithfully,



Chief Executive

To:- **Labour Group**

Councillor Pearson (Chair), Councillor Rhind (Vice-Chair) and  
Councillors Richards, Southerd, Taylor and Tilley.

**Conservative Group**

Councillors Dawson, Fitzpatrick, Ford, Lemmon, Smith and Watson

**Non-Grouped**

Councillor Churchill

## **AGENDA**

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

- |           |   |                  |
|-----------|---|------------------|
| <b>1</b>  | Apologies and to note any Substitutes appointed for the Meeting.                              |                  |
| <b>2</b>  | To receive the Open Minutes of the following Meetings:  |                  |
|           | 13 January 2022   | <b>4 - 7</b>     |
| <b>3</b>  | To note any declarations of interest arising from any items on the Agenda                     |                  |
| <b>4</b>  | To receive any questions by members of the public pursuant to Council Procedure Rule No.10.   |                  |
| <b>5</b>  | To receive any questions by Members of the Council pursuant to Council procedure Rule No. 11. |                  |
| <b>6</b>  | Reports of Overview and Scrutiny Committee  |                  |
| <b>7</b>  | CORPORATE PLAN 2020-24 PERFORMANCE REPORT (2022-2023 QUARTER 2– (1 APRIL TO 30 SEPTEMBER)     | <b>8 - 45</b>    |
| <b>8</b>  | REVENUE FINANCIAL MONITORING 2022-23  | <b>46 - 65</b>   |
| <b>9</b>  | HOUSING REVENUE ACCOUNT REVENUE FINANCIAL MONITORING 2022-23                                  | <b>66 - 74</b>   |
| <b>10</b> | COLLECTION FUND 2022-23   | <b>75 - 83</b>   |
| <b>11</b> | CAPITAL FINANCIAL MONITORING 2022-23  | <b>84 - 97</b>   |
| <b>12</b> | TREASURY MANAGEMENT UPDATE 2022-23  | <b>98 - 114</b>  |
| <b>13</b> | A REVIEW OF SPECIFIC AND EARMARKED RESERVES   | <b>115 - 128</b> |

<b>14</b>	<b>ANNUAL HEALTH AND SAFETY REPORT 2021-22 AND ACTION PLAN 2022-23</b>	<b>129 - 145</b>
<b>15</b>	<b>COMMENTS, COMPLIMENTS, COMPLAINTS &amp; FREEDOM OF INFORMATION REQUESTS 01 APRIL 2022 TO 30 SEPTEMBER 2022</b>	<b>146 - 151</b>
<b>16</b>	<b>APPOINTMENT OF A RECRUITMENT AND SELECTION PANEL</b>	<b>152 - 155</b>
<b>17</b>	<b>AMENDED D2N2 FUNDING PROGRAMME FOR A PILOT HYDROGEN FUELLED WASTE COLLECTION SERVICE</b>	<b>156 - 158</b>
<b>18</b>	<b>COMMITTEE WORK PROGRAMME</b>	<b>159 - 165</b>

#### **Exclusion of the Public and Press:**

- 19** 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.
- 20** To receive the Exempt Minutes of the following Meetings:  
13 January 2022
- 21** To receive any Exempt questions by Members of the Council pursuant to Council procedure Rule No. 11.
- 22** CUSTOMER SERVICES REVIEW OF STRUCTURE – GRADING OF POSTS
- 23** COMMERCIALISATION RESTRUCTURE OF ENVIRONMENTAL SERVICES
- 24** SHARED PROSPERITY FUND
- 25** REVIEW OF PLANNING SERVICES STRUCTURE
- 26** DELETION OF QUANTITY SURVEYOR POST CREATION OF FINANCE AND CONTRACTS OFFICER

FINANCE AND MANAGEMENT COMMITTEE

13<sup>th</sup> January 2022

**PRESENT:**

**Labour Group**

Councillor Pearson (Chair), Councillor Tilley (Vice-Chair) and Councillors Mulgrew, Rhind, Richards, Southerd and Taylor.

**Conservative Group**

Councillors, Bridgen, Brown, Haines, Redfern, and Watson.

**Independent Group**

Councillor Fitzpatrick.

**In Attendance**

Councillor Wheelton (Non-Grouped)

FM/111 **APOLOGIES**

The Committee was informed that apologies had been received from Councillor Pearson and Councillor Singh (Labour Group) Councillor Ackroyd and Councillor Lemmon (Conservative Group)

FM/112 **DECLARATIONS OF INTEREST**

The Committee was informed that no declarations of interest had been received.  
Or Cllr

FM/113 **QUESTIONS FROM MEMBERS OF THE PUBLIC PURSUANT TO COUNCIL PROCEDURE RULE NO 10**

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

FM/114 **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/115 **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/116 SERVICE BASED BUDGETS 2022-23**

The Head of Finance presented the report to the Committee and highlighted the proposed fees and charges, including land charges, the service pressures due to the unexpected pay increase and the service areas year on year budget increase. The Head of Finance drew attention to the proposed 2% grant increase approved by Housing and Community Services Committee.

**RESOLVED:**

- 1.1 That the proposed revenue income and expenditure for 2022/23 as detailed in Appendix 1 of the report for the Committee's Services were considered by the Committee and to be included in the consolidated proposals for the General Fund.***
- 1.2 The Committee considered and approved the proposed fees and charges for 2022/23 as detailed in Appendix 2 of the report.***
- 1.3 The Committee gave consideration to the level of any increase in contributions to Parish Councils in 2022/23 for Concurrent Functions and approved a 2% increase.***

**FM/117 COUNCIL TAX BASE AND SURPLUS 2022-23**

The Head of Finance presented the report to the Committee and highlighted the collection fund, the tax base and the £2 million surplus due to the increase in the number of properties.

**RESOLVED:**

- 1.1 The Committee approved the Council Tax Base for 2022/23 of 36,702 (equivalent Band D) properties as detailed in Appendix 1 of the report.***
- 1.2 The Committee approved that A Council Tax Surplus of £2,000,000 for 2021/22 be declared on the Collection Fund and that the Council's proportion of £204,767 be transferred to the General Fund in 2022/23***

**FM/118 CONSULTING ON REVISED LOCAL COUNCIL TAX REDUCTION SCHEME 2022-2023: PROGRESS UPDATE**

The Head of Customer Services presented the report to the Committee and highlighted the main points within the report. It was noted that the proposed changes made it easier for residents to apply and gave more support for lower income households whilst offering financial stability. It was further noted that the streamlined process would reduce debt recovery. The Head of Customer Services mentioned the wide consultation undertaken and explained that a number of responses were received by telephone but were not formally registered views and noted that whilst it would be good for the community the

impact of the changes would be monitored. The introduction of a proposed Hardship Fund and the next steps were outlined.

Members commended the report and looked forward to the next report in February. Members highlighted the importance of encouraging residents to respond to consultation.

**RESOLVED:**

- 1.1 The Committee noted the consultation activity carried out to date in relation to the proposed changes to South Derbyshire's Local Council Tax Reduction Scheme.***
- 1.2 The Committee noted the views provided so far as part of the public consultation.***
- 1.3 The Committee noted that a full report would be presented to Finance and Management Committee on 10 February 2022.***

FM/119 **ANNUAL TRAINING REPORT 2020-21**

The Strategic Director (Corporate Resources) introduced the new annual report and highlighted the investment in training on the job, the availability of skilled qualifications for staff and how staff were encouraged to attend training. The ongoing investment in the Kick Start programme and the increase in the number of Modern apprenticeships were highlighted.

Members sought clarity regarding mandatory training for staff and Members and enquired about the opportunity for staff to undertake professional qualifications and what different platforms were used to deliver training.

The Strategic Director (Corporate Resources) explained that mandatory training was compulsory and should be undertaken by all members of staff and that Members were encouraged to also attend compulsory training such as Health and Safety.

The Chief Executive clarified that Members of Committees such as Planning and Licensing and Appeals etc. had to undertake the necessary training to ensure they had a competent skills set to and confirmed that the Council had a duty of care to ensure that both staff and Members had an understanding of Health and Safety policies and procedures. The Chief Executive further noted that the opportunity to gain professional qualifications was available to staff and that a variety of platforms were used to delivery training.

**RESOLVED:**

- 1.1 The Committee supported the priority areas for training and development that had been undertaken during 2021/22, which were linked to the delivery of the key priorities of the Council's Corporate Plan.***

**1.2 That Members noted the investment and outcomes made in learning and development activities during 2020/21.**

**1.3 The Committee approved that the Council would continue to provide employment opportunities under the national Modern Apprenticeships Scheme and the Kickstart programme**

FM/120 **COMMITTEE WORK PROGRAMME**

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

**RESOLVED:**

***The Committee considered and approved the updated work programme.***

FM/121 **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.***

**FUTURE SERVICE DELIVERY AND EMPLOYMENT MODELS UPDATE**

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

The meeting terminated at 19:50 hours.

COUNCILLOR N TILLEY

REPORT TO:	FINANCE AND MANAGEMENT COMMITTEE	AGENDA ITEM: 7
DATE OF MEETING:	24 NOVEMBER 2022	CATEGORY: DELEGATED
REPORT FROM:	LEADERSHIP TEAM	OPEN DOC:
MEMBERS' CONTACT POINT:	FRANK MCARDLE (EXT. 5700) KEVIN STACKHOUSE (5811) FIONA PITTAM (EXT. 8702)	
SUBJECT:	CORPORATE PLAN 2020-24: PERFORMANCE REPORT (2022-2023 QUARTER 2– (1 APRIL TO 30 SEPTEMBER)	
WARD (S) AFFECTED:	ALL	TERMS OF REFERENCE: G

## 1.0 Recommendations

- 1.1 That the Committee approves 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*

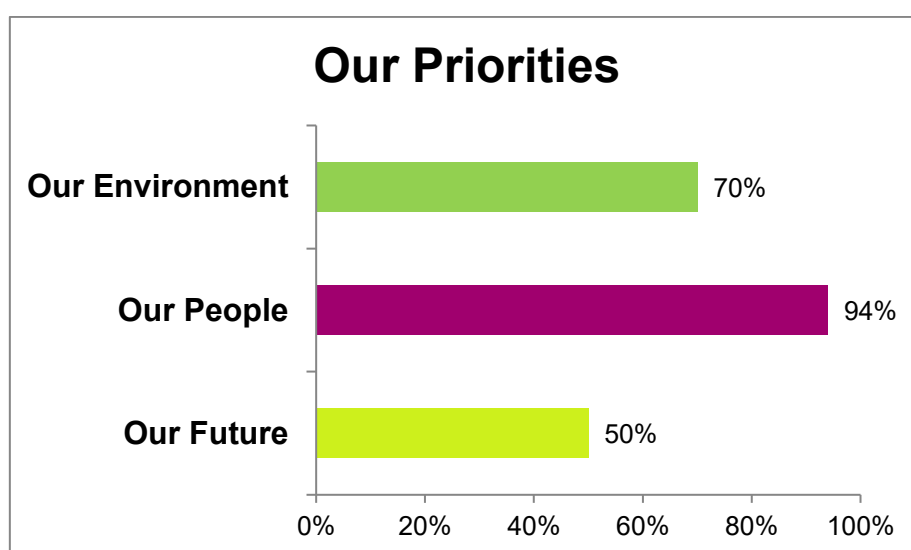
## Our Future

- *Transforming the Council*

### 4.0 Performance Detail

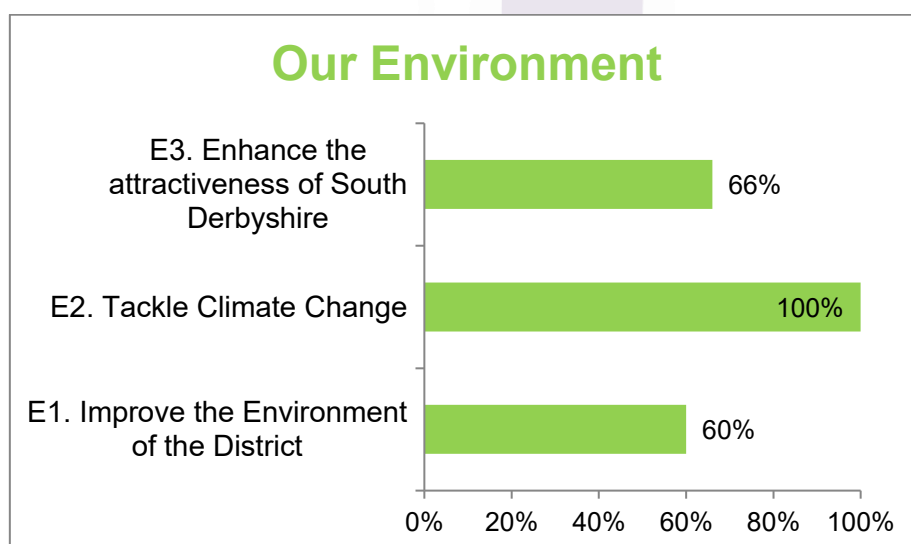
#### 4.1 Overall Council performance against the priorities– Quarter two 2022-2023.

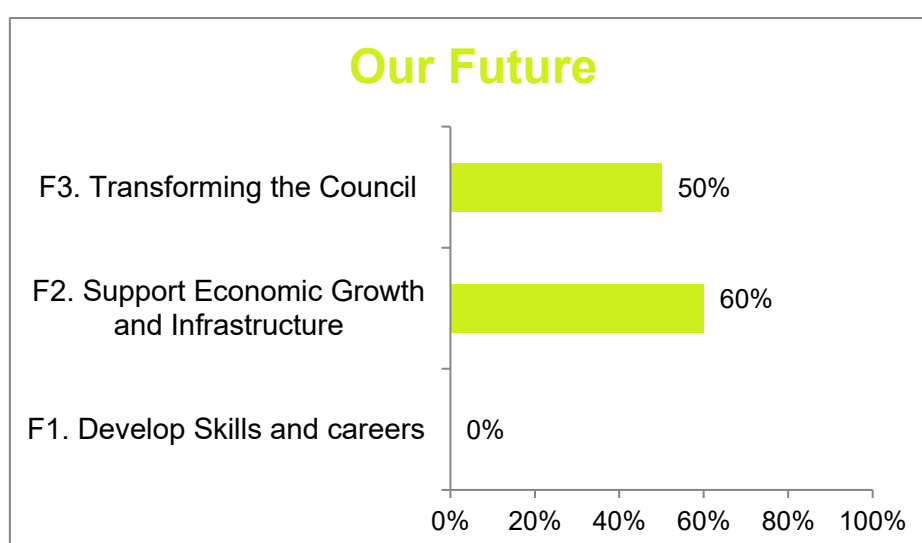
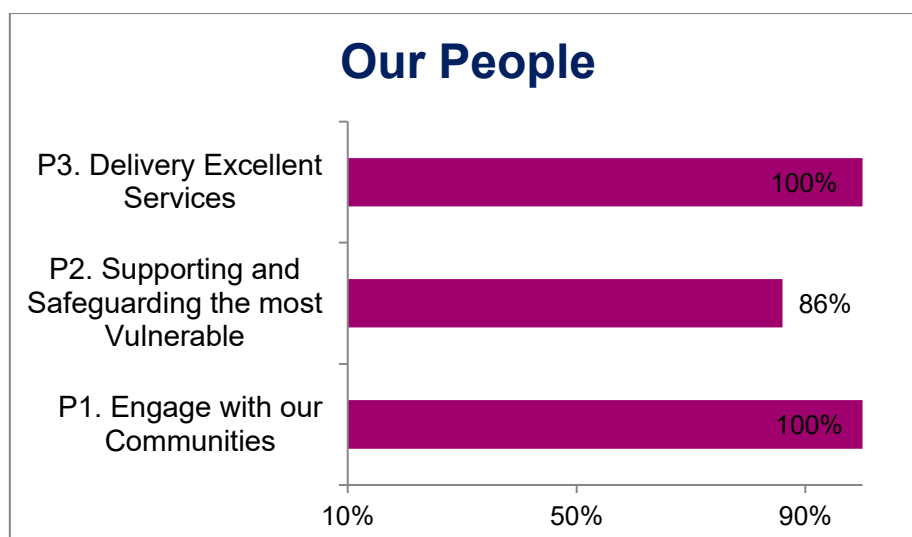
The below chart provides an overview for the percentage of measures that are on track to achieve the annual target.



#### 4.2 Overall Council performance against key aims – Quarter two, 2022-2023.

The below charts provide an overview for the percentage 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, 19 are green, five are amber, eight are red and three are grey.

Overall, 77% of the key aims within the Corporate Plan are on track. As at quarter two, 70% of indicators are on track for Our Environment, 94% are on track for Our People and 50% are on track for Our Future.

- 4.4 This Committee is responsible for overseeing the delivery of eleven Corporate measures.

Below outlines the 10 (90%) measures for this Committee that are on track (green, amber or grey) for the quarter:

- Deliver against the Transformation Action Plan.
- 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.)
- Increase the level of staff engagement.
- Average number of staff days lost due to sickness.
- % of employees that consider that the Council has a positive health and safety culture.
- Number of apprenticeships and expenditure against the apprenticeship levy.

4.5 Below outlines the one (9%) measure for this Committee that is not on track (red) for the quarter:

- Develop our approach towards the commercialisation of services.

The new Head of Operational Services is now in post, work on the commercialisation action plan to be completed by end of quarter three.

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 update of the quarterly outturn of each performance measure including actions to sustain or improve performance is included in the detailed Performance Measure Report Index in **Appendix B**.

4.7 Questions regarding performance are welcomed from the Committee in relation to the Corporate performance measures that fall under its responsibility and are referenced in the detailed Performance Measure Report Index in **Appendix B**

## 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

The Risk Register for the Committee's services is detailed in **Appendix C** Chief Executive Risk Register and **Appendix D** Corporate Risk Register. This includes the register, risk mitigation plans and any further actions for the relevant departmental risks. 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 details a risk matrix to summarise how each identified risk has been rated.

The following risks have been updated for quarter two in the Corporate Risk Register:

CR1 - Universal Credit (UC). The service review and consultation period has ended, and recruitment is now underway within Customer Services.

CR16 - Business Continuity. The section on further actions has been updated to confirm a report will be submitted to Committee following the six-monthly review of the Flexible Working Policy.

CR17 – Resilience and Capacity. The risk cause has been amended from 'service demand and loss of skills' to 'recruitment/retention of difficult to recruit/retain posts.' The risk impact, risk rating and mitigating actions have all been amended in line with the new risk cause.

CR20 – Health and Safety. The mitigating actions have been updated to include an independent review of the Health and Safety Culture to be undertaken in early 2023/24.

CR21 - Managing the environmental impact of incidents across the district. Further actions have been updated to reference the ISO14001 systems review which started in June 2022 and a new action has been included to review all environmental incident procedures and training by December 2022.

CR22 – Climate Emergency. The new Climate and Emergency Action Plan was approved in August 2022 and the first annual Carbon Emissions Reduction Report published in August 2022.

There have been no amendments to the Chief Executive Risk Register in Quarter two.

## 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

Appendix C – Chief Executive Risk Register

Appendix D – Corporate Risk Register



Priority	Key Aim	Outcome	Ref	How success will be measured	Q4 2020-2021: Apr - Mar	Q4 2021-2022: Apr - Mar	Q1 2022-2023: Apr-Jun	Q2 2022-2023: Apr-Sept	Annual Target 22-23	Plan Target 2020-2024	Head of Service	Strategic Lead	Committee	
Our Environment	Keeping a clean, green District for future generations	E1. Improve the environment of the District	E1.1A	Household waste collected per head of population	460kgs	416kgs	110kgs	209kgs	Downward Trend	Sustain during Y1 and Y2. See a downward trend in Yrs. 3 and 4	Gary Charlton, Head of Operational Services	Strategic Director, Service Delivery	E&DS	
			E1.1B	% of collected waste recycled and composted	47%	46%	49%	47%	Upward Trend	Sustain during Y1 and Y2. See an upward trend in Yrs. 3 and 4	Gary Charlton, Head of Operational Services	Strategic Director, Service Delivery	E&DS	
			E1.2A	Number of fly tipping incidents	1003	604	139	286	Downward trend as a four 4-year mean <764	Downward trend over four years	Matt Holford, Head of Environmental Services	Strategic Director, Service Delivery	E&DS	
			E1.2B	Improve the quality of the District through the Local Environmental Quality Survey	Report in Q1 21/22	93.79% of streets meet grade B or higher	93.79% of streets meet grade B or higher	93.79% of streets meet grade B or higher	>95% (Grade B or above)	>95% (Grade B or above)	Gary Charlton, Head of Operational Services	Strategic Director, Service Delivery	E&DS	
			E1.3A	% 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.	66.7%	66.7%	0	0	85%	85%	Steffan Saunders, Head of Planning and Strategic Housing	Strategic Director, Service Delivery	E&DS	
		E2. Tackle climate change	E2.1A	Reduce South Derbyshire District Council carbon emissions	Achieved	Achieved	Achieved	Achieved	Downward Trend in Carbon Emissions	Reduce C02 emissions through the achievement of actions in the South Derbyshire Climate and Environment Action Plan 2020-24 (C&EAP)	Matt Holford, Head of Environmental Services	Strategic Director, Service Delivery	E&DS	
			E2.2A	% 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	100%	75.6%	64%	75%	85%	85%	Steffan Saunders, Head of Planning and Strategic Housing	Strategic Director, Service Delivery	E&DS	
		E3. Enhance the attractiveness of South Derbyshire	E3.1A	Increase Swadlincote Town Centre visitor satisfaction	55%	60% (new report in Q3)	60% (new report in Q3)	60% (new report in Q3)	Upward Trend ( Close gap to National small towns average)	National small towns average 72%. Target to be above the National average by 2023/24	Mike Roylance, Head of Economic Development and Growth	Frank McArdle, Chief Executive	E&DS	
			E3.2A	The number of Green Flag Awards for South Derbyshire parks	Achieved	Achieved 3 Green Flag Awards in 2021/22	3 parks currently hold the Green Flag Award	3 Green Flag Award now gained for 2022	Four Green Flags	Increase from two green flag park awards to four by 2024	Sean McBurney, Head of Cultural and Community Services	Strategic Director, Service Delivery	H&CS	
			E3.2B	Proportion of good quality housing development schemes	Out turn unavailable	Out turn unavailable	Out turn unavailable - Reported annually in Q4 22/23)	Out turn unavailable - Reported annually in Q4 22/23)	90%	% of schemes which score high	Steffan Saunders, Head of Planning and Strategic Housing	Strategic Director, Service Delivery	E&DS	
Our Future	Future needs of the District	P1. Engage with our communities	P1.1A	Number of new and existing Community Groups supported	153 groups	160 groups	33 groups	87 groups	Upward trend on the average over two years >157	Year 1 -2(Proxy)- collate baseline data. Year 3-4 we will show an increase on the average over two years	Sean McBurney, Head of Cultural and Community Services	Strategic Director, Service Delivery	H&CS	
			P1.2A	Number of ASB interventions by type	Minimal	Moderate	Moderate	Moderate	'Moderate' or 'High'	Performance to be rated as 'High' or 'Moderate'	Matt Holford, Head of Environmental Services	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	Number of households prevented from Homelessness	265 cases	261 cases	52 cases	79 cases	Proxy	Proxy Measure to show service activity	Paul Whittingham, Head of Housing	Strategic Director, Service Delivery	H&CS
				P2.1B	Continue to undertake interventions per year to keep families out of fuel poverty	276	210	48	Cumulative target - 70, Actual - 104	> 160 interventions	300 interventions (2020-21) Target to be reviewed thereafter.	Matt Holford, Head of Environmental Services	Strategic Director, Service Delivery	E&DS
			P2.2 Promote health and wellbeing across the District	P2.2A	Deliver the objectives identified in the South Derbyshire Health & Wellbeing Group	Ongoing delivery of plan	Delivery of Health and Wellbeing Action Plan over 2021-22	Action plan developed and adopted	Achieved	100% of actions delivered	100% of actions identified delivered	Sean McBurney, Head of Cultural and Community Services	Strategic Director, Service Delivery	H&CS
			P2.3 Improve the condition of housing stock and public buildings.	P2.3A	Deliver the Planned Maintenance Housing programme over four years	114.10% (£ 2,377,625	89.1% (£2,116,365.65)	18.38% (£1,927,550)	34.25% - £660,135.65	100% against the annual budget 2022-23	100% spend against the planned maintenance budget	Paul Whittingham, Head of Housing	Strategic Director, Service Delivery	H&CS
				P2.3B	Develop and deliver the Public Buildings programme over four years	Carry out further surveys on 12 more of the Public Buildings portfolio.	30% (44 surveys)	26% (10 surveys)	52% (20 surveys)	25% (38 surveys undertaken)	100% of surveys undertaken	Steve Baker, Head of Corporate Property	Kevin Stackhouse, Strategic Director, Corporate Resources	F&M
				P2.3C	Average time taken to re-let Council homes	200 days average	156 days	183 days	183	Median Quartile Performance (Benchmark via Housemark)	Median Quartile Performance (Benchmark via Housemark)	Paul Whittingham, Head of Housing	Strategic Director, Service Delivery	H&CS
			P2.4 Support social mobility to ensure people have the opportunity to access skilled jobs, higher and further education.	P2.4A	Deliver the objectives identified in the Supporting Aspirations Plan	Research and data analysis	Supporting Aspirations Action Plan adopted.	Achieved	Reported in Q4	Deliver the year one objectives identified in the Supporting Aspirations Plan	Deliver the objectives identified in the Supporting Aspirations Plan	Mike Roylance, Head of Economic Development and Growth	Frank McArdle, Chief Executive	E&DS

Our People	Working with communities and meeting the future																																	
	P3. Deliver Excellent Services																																	
Our Future	F1. Develop skills and careers	F1.1 Attract and retain skilled jobs in the District	F1.1A	Increase the number of employee jobs in South Derbyshire	32,000 Impacted by Covid-19	31,000 Impacted by Covid-19	31,000 Impacted by Covid-19. (Reported annually in Q4 22/23)	31,000 Impacted by Covid-19. (Reported annually in Q4 22/23)	Upward Trend	Upward Trend	Mike Roylance, Head of Economic Development and Growth	Frank McArdle, Chief Executive	E&DS																					
		F1.2 Support unemployed residents back into work	F1.2A																															
		F2. Support economic growth and infrastructure	F2.1 Encourage and support business development and new investment in the District	F2.1A	Annual net growth in new commercial floorspace (sqm)	4,140 sqm	1,665 sqm	1,665 sqm (Reported annually in Q4 22/23)	1,665 sqm (Reported annually in Q4 22/23)	Upward Trend	net annual growth in commercial floorspace of 12,269.5 sqm	Mike Roylance, Head of Economic Development and Growth	Frank McArdle, Chief Executive	E&DS																				
			F2.2 Enable the delivery of housing across all tenures to meet Local Plan targets	F2.1B	Total Rateable Value of businesses in the District	£67,341,926	£67,234,722	£67,279,062	£67,207,674	Upward trend (on 21/22 Q4 as baseline)	Upward trend (on 21/22 Q4 as baseline)	Mike Roylance, Head of Economic Development and Growth	Frank McArdle, Chief Executive	E&DS																				
				F2.2A	Speed of decision on discharging conditions on housing applications	100%	60.9%	50%	60%	90% within 8-13 weeks or as agreed with the applicant	90% within 8-13 weeks or as agreed with the applicant	Steffan Saunders, Head of Planning and Strategic Housing	Strategic Director, Service Delivery	E&DS																				
			F2.2B	% of planning applications determined within the statutory period	98%	90.50%	88%	86%	>90%	>90%	Steffan Saunders, Head of Planning and Strategic Housing	Strategic Director, Service Delivery	E&DS																					
			F2.3 Influence the improvement of infrastructure to meet the demands of growth.	F2.3A	Secure new facilities and contributions through Section106 to mitigate impacts of development. Achieve all necessary highway, education, healthcare, and recreation contributions	94%	100%	100% (annual return in Q4 22/23)	100% (annual return in Q4 22/23)	90%	90%	Steffan Saunders, Head of Planning and Strategic Housing	Strategic Director, Service Delivery	E&DS																				
		F3. Transforming the Council	F3.1 Provide modern ways of working that support the Council to deliver services to meet changing needs.	F3.1A	Deliver against the Transformation Action Plan	On target	85%	On target	On target	Deliver 100% against action plan	Deliver 100% against action plan	Anthony Baxter, Head of Business Change and ICT	Kevin Stackhouse, Strategic Director, Corporate Resources	F&M																				
	F3.2 Source appropriate commercial investment opportunities for the Council		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	On target	No change from last quarter	No change from last quarter	No change from last quarter		Y1 – Form a working group & Action Plan Y2 – deliver against action plan and sustain an upward trend in revenue	Gary Charlton, Head of Operational Services	Strategic Director, Service Delivery	F&M																					
	P3.4 Investing in our workforce	P3.3 Ensuring technology enables us to effectively connect with our communities.	P3.3A	Number of customer telephone calls answered by Customer Service	Total: 98,099	Total: 99,165	Total: 22,872	Total: 45,412	Downward Trend	Downward Trend	Catherine Grimley, Head of Customer Services	Kevin Stackhouse, Strategic Director, Corporate Resources	F&M																					
			P3.3B	Increase digital engagement (Twitter, Instagram, Facebook)	43,850	49,181	51,990	51,762	Upward Trend	Upward Trend	Fiona Pittam, Head of Organisational Development & Performance	Kevin Stackhouse, Strategic Director, Corporate Resources	F&M																					
			P3.4A	Increase the level of staff engagement	Survey postponed until 21-22	Target not achieved	Achieved	246 staff attended staff briefing sessions on Flexible Working Policy in July 2022	proxy - establish baseline data	Annual increase in the number of staff who have engaged with the Council	Fiona Pittam, Head of Organisational Development & Performance	Kevin Stackhouse, Strategic Director, Corporate Resources	F&M																					
		P3.4B	Number of apprenticeships	5 (1.5% of head count)	6 (1.84% of head count)	6 (1.84% of head count)	6 (1.82% of head count)	>2.3% of head count	>2.3% of head count	Fiona Pittam, Head of Organisational Development & Performance	Kevin Stackhouse, Strategic Director, Corporate Resources	F&M																						
		P3.4C	Average number of staff days lost due to sickness	12.93	10.28	2.47	2.02	Downward Trend	Downward Trend	Fiona Pittam, Head of Organisational Development & Performance	Kevin Stackhouse, Strategic Director, Corporate Resources	F&M																						
		P3.4D	% of employees that consider that the Council has a positive health and safety culture	Postponed until early 22/23	Postponed until early 22-23	27 employees trained	n/a	proxy - establish baseline data	Upward Trend in Health and Safety mandatory training and up to date health and safety policy	Fiona Pittam, Head of Organisational Development & Performance	Kevin Stackhouse, Strategic Director, Corporate Resources	F&M																						
		P3.4 Investing in our workforce	P3.3 Ensuring technology enables us to effectively connect with our communities.	P3.3A	Number of customer telephone calls answered by Customer Service	Total: 98,099	Total: 99,165	Total: 22,872	Total: 45,412	Downward Trend	Downward Trend	Catherine Grimley, Head of Customer Services	Kevin Stackhouse, Strategic Director, Corporate Resources	F&M																				
P3.3B	Increase digital engagement (Twitter, Instagram, Facebook)														43,850	49,181	51,990	51,762	Upward Trend	Upward Trend	Fiona Pittam, Head of Organisational Development & Performance	Kevin Stackhouse, Strategic Director, Corporate Resources	F&M											
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		P3.4C	Average number of staff days lost due to sickness	12.93	10.28	2.47	2.02	Downward Trend	Downward Trend	Fiona Pittam, Head of Organisational Development & Performance	Kevin Stackhouse, Strategic Director, Corporate Resources	F&M																						
P3.4D	% of employees that consider that the Council has a positive health and safety culture												Postponed until early 22/23	Postponed until early 22-23	27 employees trained	n/a	proxy - establish baseline data	Upward Trend in Health and Safety mandatory training and up to date health and safety policy	Fiona Pittam, Head of Organisational Development & Performance	Kevin Stackhouse, Strategic Director, Corporate Resources	F&M													



# **Corporate Plan 2020-2024**

## **Performance Measure Report**

### **Finance and Management Committee**

**Team: Organisational Development and Performance**

**Date: November 2022**



# 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 17 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
- F1. Develop skills and careers
- 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 11 corporate measures under the key aims:**

- P2. Supporting and safeguarding the most vulnerable
- P3. Deliver Excellent Services
- F3. Transforming the Council

**Finance and Management Committee (F&M) are responsible for the following 11 corporate measures**

## **Our People**

### **Measure**

- 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 Services
- 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**

- 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 Future

**F3.1 Provide modern ways of working that support the Council to deliver services to meet changing needs.**

Measure and Reference	F3.1A Deliver against the Transformation Action Plan		Committee	F&M	
Definition	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		Why this is Important	The Transformation Plan provides a focal point for major change in the organisation, evaluating conflicting priorities, allocating resources, escalating problem and above all else, manage core programmes of work by documenting progress.	
What Good Looks Like	Each year the Head of Business Change, ICT & Digital will present a workplan for adoption, outlining projects, milestones and resources needed to achieve the objectives set by the Corporate Plan.				
History of this Indicator	The Council is committed to improving outcomes and outputs for its stakeholders as is evident in the Corporate Plan.				
2019/20 Baseline Data	Not applicable				
Reporting Year	Annual Target	Quarter 1	Quarter 2	Quarter 3	Quarter 4
2020/21	Deliver 100% against action plan	On target	On target	On target	On target
2021/22	Deliver 100% against action plan	On target	Quarterly target not achieved	Continue to deliver the annual transformation plan including the emerging Future Service Delivery programme	85%
2022/23	Deliver over 75% of business change team priority projects and provide effective reporting for service improvement projects through the Transformation Steering Group.	On target	On target		
Performance Overview - Quarterly Update				Actions to sustain or improve performance	
After gaining approval from F&M Committee on the 25 August the third-year annual work programme has progressed well. The priority projects are on track and a procurement exercise will be undertaken in Quarter three to ensure the outcomes identified in project documentation for digital platform. The scope and initial vision workshop have taken place for a task and finish planning review with focus groups to follow in Quarter three.				n/a.	

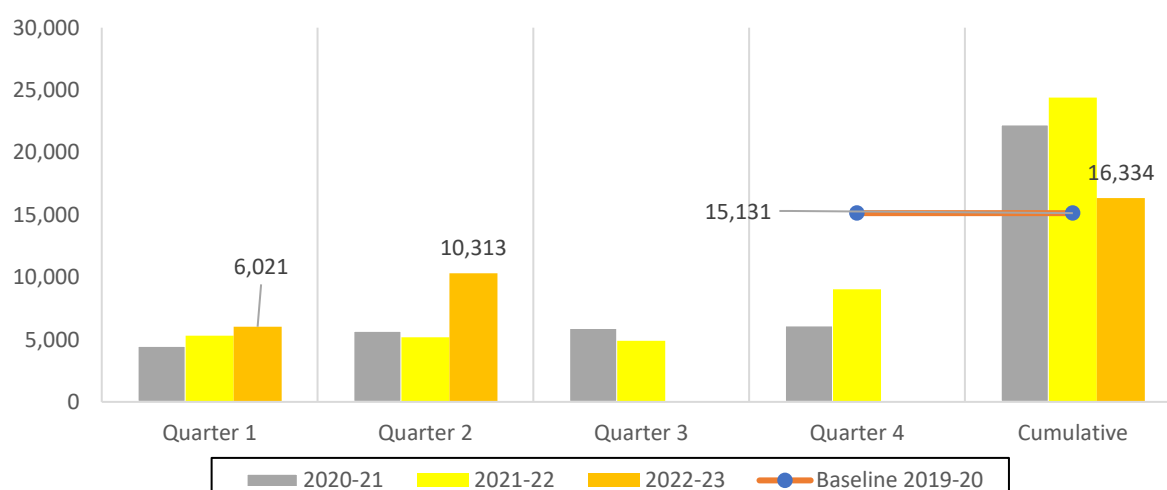
Priority: Our Future						
F3.2 Source appropriate commercial investment opportunities for the Council						
Measure and Reference	F3.2A Develop our approach towards the commercialisation of services which include grants, sponsorship, fees and charges and operating models and increase the income generated from these activities		Committee	F&M		
Definition	Using Council assets wisely, trading services with others across the public and private sectors and selling commodities to generate income.		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.		
What Good Looks Like	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					
History of this Indicator	New indicator					
2019/20 Baseline Data	Baseline data to be collated during 20-21					
Reporting Year	Annual Target	Quarter 1	Quarter 2	Quarter 3	Quarter 4	
2020/21	Year 1 to form a working group and define the action plan	On target	On target	On target	On target	
2021/22	deliver 100% against the action plan and sustain an upward trend in income generation	Quarterly outcome not achieved	Quarterly outcome not achieved	No change from last quarter	No change from last quarter	
2022/23		No change from last quarter	No change from last quarter			
Performance Overview - Quarterly Update			Actions to sustain or improve performance			
The new Head of Operational Services is now in post, work on the commercialisation action plan to be completed by end of quarter three.			n/a			

Priority: Our People					
P2.3 Improve the condition of housing stock and public buildings.					
Measure and Reference	P2.3B Develop and deliver the Public Buildings programme over four years		Committee	F&M	
Definition	The purpose of the Performance Indicator is to measure progress in the completion of condition surveys and a Planned Maintenance Programme over the term of the Corporate Plan.		Why this is Important	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.	
What Good Looks Like	The portfolio contains 149 Public Building Assets. 100 % of the portfolio will be surveyed over the life of the Corporate Plan				
History of this Indicator	No historical monitoring of this indicator				
2019/20 Baseline Data	Not applicable				
Reporting Year	Annual Target	Quarter 1	Quarter 2	Quarter 3	Quarter 4
2020/21	25% of assets to be surveyed and the planned maintenance programme for phase one to be created	Software tested and calibrated	Condition surveys on the five largest assets have been completed	Carry out further surveys on 12 more of the Public Buildings portfolio.	Carry out further surveys on 12 more of the Public Buildings portfolio.
2021/22	30% of surveys to be undertaken.	9.1% (11 Surveys)	16% (22 Surveys)	22.5% (33 Surveys)	30% (44 surveys)
2022/23	25.5% (38 surveys undertaken)	26% (10 surveys)	52% (20 surveys)		
Performance Overview - Quarterly Update			Actions to sustain or improve performance		
10 Surveys carried out during quarter two.			The post of building surveyor will be vacant from 31/10/2022 so we have carried out some additional surveys to help minimise the break in service affecting overall target achievement for this year.		

## Priority: Our People

### P3.1 Ensuring consistency in the way the Council deal with service users

Measure and Reference	P3.1A Increase the number of customers who interact 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 online interaction, to reduce the cost-of-service transaction and increase customer satisfaction. This will provide more time to support those who need 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 of 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.				
2019/20 Baseline Data	During 2019/20 there were 1,282 council tax and digital forms submitted, 12,343 general website forms via the website, 287 social media enquiries and 1,219 COVID-19 Business Rates Grant Applications				
Reporting Year	Annual Target	Quarter 1	Quarter 2	Quarter 3	Quarter 4
2020/21	Upward trend	Total: 4,474	Total: 10,174	Total: 16,103	Total: 22,242
2021/22	>22,242 (upward trend year on year)	Total: 5301	Total: 10,491	Total: 15,379	Total 24,405
2022/23	Upward trend	Total: 6,021	Total: 16,334		
Performance Overview - Quarterly Update			Actions to sustain or improve performance		
Large increase in Q2 due to the Energy Rebate online application. This scheme accounted for 4,835 of the online submissions.			Continue to promote and make online forms available for any future funding schemes.		



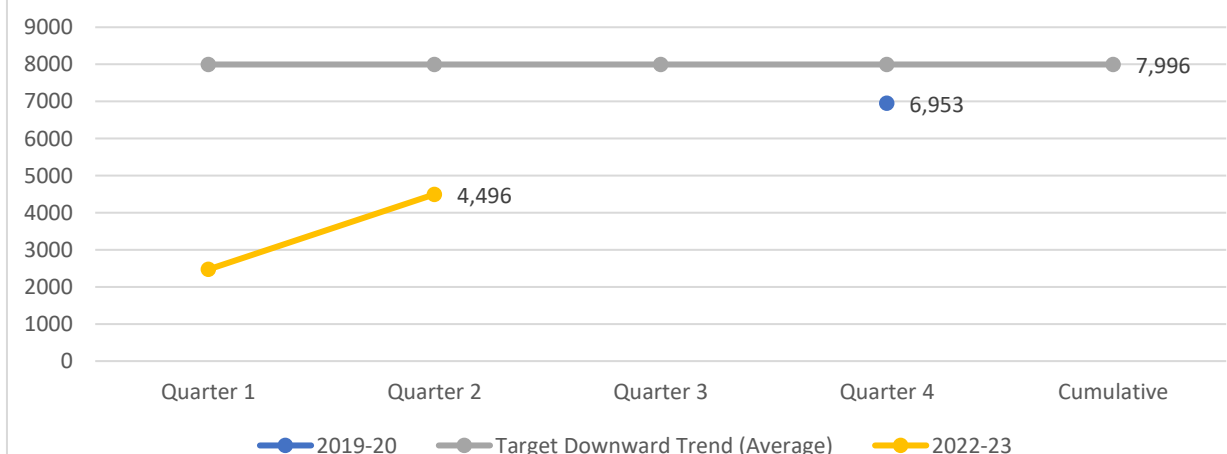
## Priority: Our People

### P3.2 Have in place methods of communication that enables customers to provide and receive information.

<b>Measure and Reference</b>	<b>P3.2A Reduce face-to-face contact to allow more time to support those customers who need additional support</b>	<b>Committee</b>	F&M
<b>Definition</b>	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.	<b>Why this is Important</b>	The Council has an ambition to enable online interaction 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.
<b>What Good Looks Like</b>	To see a downward trend in the number of face-to-face customers through Customer Services.		
<b>History of this Indicator</b>	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.		
<b>2019/20 Baseline Data</b>	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)		

Reporting Year	Annual Target	Quarter 1	Quarter 2	Quarter 3	Quarter 4
2020/21	Downward trend	No visitors due to Covid-19	No visitors due to Covid-19	No visitors due to Covid-19	0
2021/22	Downward trend (based on 2019 pre-Covid-19)	0	0	0	744 self-serve and 115 face to face
2022/23	Downward trend	2,470	4,496		

Performance Overview - Quarterly Update	Actions to sustain or improve performance
Face to face for quarter two was 2,026. This total is for face-to-face enquiries that were supported by Reception or a Customer Service Advisor. This is a reduction in face-to-face contact from quarter one and falls below the pre covid levels of face-to-face contact.	n/a



Priority: Our People					
P3.3 Ensuring technology enables us to effectively connect with our communities.					
Measure and Reference	P3.3A Number of customer telephone calls answered by Customer Service		Committee	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 of 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.				
2019/20 Baseline Data	95,896 telephone calls received (2019/20). 76,804 calls handled & 19,092 automated call payments.				
Reporting Year	Annual Target	Quarter 1	Quarter 2	Quarter 3	Quarter 4
2020/21	Downward trend	Total: 22,387	Total: 44,701	Total: 69,812	Total: 98,099
2021/22	Downward trend	Total: 26,756	Total: 51,866	Total: 74,981	Total: 99,165
2022/23	Downward trend	Total: 22,872	Total, 45,412		
Performance Overview - Quarterly Update			Actions to sustain or improve performance		
Slight reduction in calls due to Energy Rebate queries reducing.			n/a		



## Priority: Our People

### P3.3 Ensuring technology enables us to effectively connect with our communities.

<b>Measure and Reference</b>	<b>P3.3B Increase digital engagement (Twitter, Instagram, Facebook)</b>	<b>Committee</b>	F&M
<b>Definition</b>	To increase the volume and quality of social media interaction with residents and customers on all Council social media platforms.	<b>Why this is Important</b>	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.
<b>What Good Looks Like</b>	Increase number of proactive social media engagement from the Council through the Communications team, result in an increased number of engaged citizens.		
<b>History of this Indicator</b>	The engagement rate, sentiment and follower/fan base on our social media accounts has significantly evolved since 2017. The creation of the central Facebook page in 2017 and a more strategic approach – more residents are now choosing this method.		
<b>2019/20 Baseline Data</b>	Number of Facebook (central and departmental) fans and Twitter (central and departmental) followers.33,888. Commentary of the nature of these queries (this is already included in the monthly social media dashboard reports)		

Reporting Year	Annual Target	Quarter 1	Quarter 2	Quarter 3	Quarter 4
2020/21	Upward trend	34,340	39,924	42,723	43,850
2021/22	Upward trend	44,989	46,853	48,409	49,181
2022/23	Upward trend	51,990	51,762		

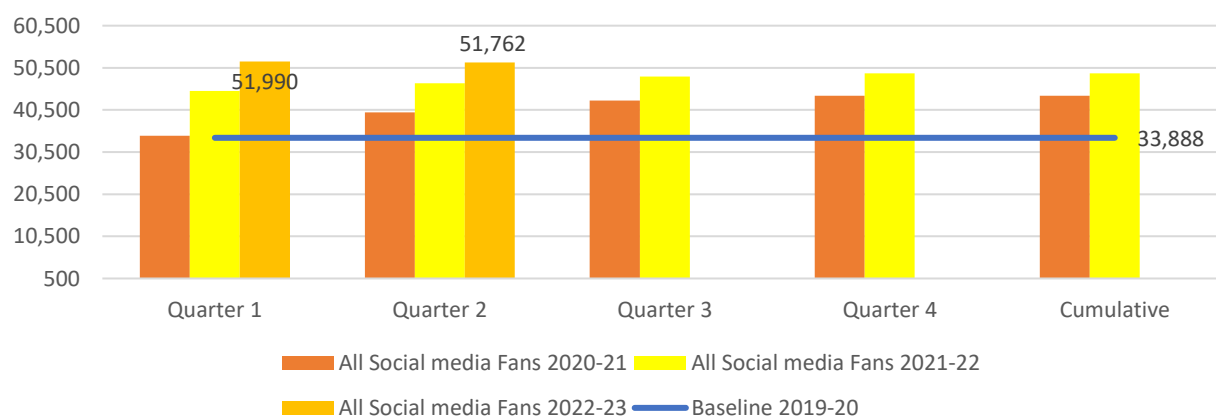
#### Performance Overview - Quarterly Update

The number of Twitter followers has increased to 12,471. The number of Facebook followers has increased to 39,291. This quarter has seen engagement around changes to bank holiday bin collections, summer activities and signposting people to pay their respects following the death of Queen Elizabeth II.

Quarter two also saw 74 queries sent to the corporate account on Facebook and 21 on Twitter. Replying to these involved signposting to Customer Services or to relevant agencies.

#### Actions to sustain or improve performance

Continue to plan and schedule engaging content. Planned content includes; Black History Month, Remembrance Sunday, Christmas events and Inter-Faith Week.



Priority: Our People						
P3.4 Investing in our workforce						
Measure and Reference	P3.4A Increase the level of staff engagement			Committee	F&M	
Definition	Employee engagement is a combination of commitment to the organisation and its values and a willingness to help colleagues. 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)			Why this is Important	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. An engaged workforce supports the achievement of our key priorities.	
What Good Looks Like	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.  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.					
History of this Indicator	New indicator – No recent history available					
2019/20 Baseline Data	New Indicator - first survey to take place in 2020					
Reporting Year	Annual Target	Quarter 1	Quarter 2	Quarter 3	Quarter 4	
2020/21	No target for year 1	Reported annually in Q4	Reported annually in Q4	Survey postponed until 21-22	Survey postponed 22-23	
2021/22	Annual Increase in the % of Staff completing the survey	Survey postponed 22-23	Survey postponed 22-23	254 staff attended staff briefing sessions in September 2021	Target not achieved	
2022/23		Corporate methodology for pulse surveys approved and submitted	246 staff attended staff briefing sessions on Flexible Working Policy in July 2022			
Performance Overview - Quarterly Update				Actions to sustain or improve performance		
Sessions were held to provide an overview of the Flexible Working Policy implemented in July 2022 and associated work streams such as IT, accommodation and Health and Safety. They gave employees the opportunity to provide feedback and comments on the implementation plans and areas for development.				Options presented to Leadership Team on proposed employee survey. Further staff engagement sessions proposed for autumn/winter 2022/23		

Priority: Our People					
P3.4 Investing in our workforce					
Measure and Reference	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 can 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 purpose 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).				
History of this 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 £27,479, spend was £9,263.11).				
2019/20 Baseline Data	1.2% (4 apprentices)				
Reporting Year	Annual Target	Quarter 1	Quarter 2	Quarter 3	Quarter 4
2020/21	>2.3% of head count	4 (1.2% of head count)	4 (1.2% of head count)	5 (1.5% of head count)	5 (1.5% of head count)
2021/22	>2.3%	3 (0.9% of head count)	6 (1.84% of head count)	6 (1.84% of head count)	6 (1.84% of head count)
2022/23	>2.3% of head count	6 (1.84% of head count)	6 (1.82% of head count)		
Performance Overview - Quarterly Update			Actions to sustain or improve performance		
Currently, we have six active apprenticeships. Also, in process to have someone join ICT on an Industry Placement. Applications have been shortlisted to two candidates.			PDRs being used to identify apprenticeship opportunities for existing colleagues.		
Total spend in financial year 2022- 2023: £9,517.31			Continuance of bi-monthly reminders as to how to use apprenticeships in the Learning and Development Newsletter.		
• Quarter two spend: £5,369.77			Three new apprenticeships posts have been established within Customer Services following the approval of a new structure for the service.		
Total expired levy funds in financial year 2022- 2023: £6,009.17			One new HGV apprenticeship post will commence employment within Operational Services.		
• Quarter two expired: £2,384.12			Internal options to use the apprenticeship levy will be discussed when vocational/academic qualifications are to be progressed.		
Projected levy available April 2022 to April 2023: £36,973					
(N.B. this is an estimate and could fluctuate as levy input is dependent on PAYE data). Our total fund available including the carried over fund from last year is £72,083.					

## Priority: Our People

### P3.4 Investing in our workforce

Measure and Reference	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 reduce the impact on service delivery, resulting in savings arising from the payment of Occupational and Statutory Sick Pay and any secondary 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 of this Indicator	This indicator has formed part of the corporate performance indicator set for a number of years. (2018/19 -11.38, 2017/18 -11.63)				
2019/20 Baseline Data	2018/19 - 11.38 days 2019/20 10.65 days				
Reporting Year	Annual Target	Quarter 1	Quarter 2	Quarter 3	Quarter 4
2020/21	Downward trend	3.68	8.01	11.6	12.93
2021/22	Downward trend	2.11	4.79	7.55	10.28
2022/23	Downward trend	2.47	TBA		
Performance Overview - Quarterly Update			Actions to sustain or improve performance		
<p>The second quarter outturn figure is lower than the previous quarter (2.02 for quarter 2 and 2.47 at quarter 1). Using a straight-line projection the end of year outturn figure is 14% lower than the previous year.</p> <p>The number of employees on long term sick has been fairly static during the quarter with action taken to resolve some cases and news ones being added. Two employees on long term sickness have returned to work and one is due to retire. All cases are being managed with advice provide by Occupational Health and Human Resources to identify actions that can be completed to enable the employee to return to work as soon as possible.</p> <p>This quarter, the number of long-term absences has exceeded the number of days lost to short term absence.</p> <p>All cases, both long term and short term are being managed in line with the Attendance Management Procedure and each case has a dedicated HR Officer supporting the Manager. Monthly reports on levels of absences, reasons and trends are completed and provided to Leadership Team.</p>			<p>Monthly reports are provided to Leadership Team and then with Heads of Service. Each service area is responsible for managing cases of absence from work due to ill health with support and advice provided by Human Resources. This includes progressing cases through the Attendance Management Procedure that includes consideration of actions to return employees to work, with support in place if required.</p> <p>Training is provided in attendance management, 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.</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. Additional Occupational Health clinics and</p>		

	<p>referrals have been made available to provide professional, independent medical advice on any cases before decisions are taken on the employees continued employment.</p> <p>Work has continued on progressing new ways of flexible working that will enable services to be delivered remotely where possible subject to meeting the needs of customers. The impact on levels of employee attendance is showing a positive trend from 1 July 2022 and this will be kept under review.</p>
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## Priority: Our People

### P3.4 Investing in our workforce

Measure and Reference	P3.4D % of employees that consider that 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 of this Indicator	New indicator – No previous history available				
2019/20 Baseline Data	New Indicator - No baseline data				
Reporting Year	Annual Target	Quarter 1	Quarter 2	Quarter 3	Quarter 4
2020/21	Upward trend	Reported annually in Q4	Reported annually in Q4	Reported annually in Q4	Postponed until early 22/23
2021/22	Upward trend	Postponed until early 22/23	Postponed until early 22/23	Postponed until early 22-23	Postponed until early 22-23
2022/23	Proxy - establish baseline	27 employees trained	N/A		
Performance Overview - Quarterly Update Support is continuing to be provided in relation to the Council's response to COVID and the implementation of a new flexible working policy. During quarter 2, this has included an update of the corporate respiratory illness risk assessment; support for the installation and use of CO2 monitors in the Civic Offices and completion of DSE and related risk assessments for employees.  Provided health and safety advice and support for the new Tourist Information Centre and fire risk assessments on Council properties, completed incident investigation in front line			Actions to sustain or improve performance The employee survey has been postponed later in the year  The Health and Safety Action Plan for 2022/23 has been presented to the Health and Safety Committee at its meeting held on 13 April 2022 and is then reviewed quarterly by the Health and Safety Committee. Additional support is to be provided through workplace inspections and audits to higher risk services areas.  Monthly mandatory training will continue to be provided with further sessions planned for front line workers in manual handling, reversing and		

<p>service area; reviewing and updating health and safety policies</p> <p>Training has continued to be provided for staff. Monthly mandatory health and safety awareness for employees; manual handling, dynamic risk assessment and reversing assistant for front line workers; working at heights and fire safety awareness for Careline; Risk assessment, manual handling and health and safety awareness for Rosliston staff (two sessions); Health and Safety training for Elected Members; trained new Fire Wardens and First Aiders and reviewed the evacuation procedure</p>	<p>risk assessment.</p> <p>Training is also being planned for the management of contract and contractors; behavioural safety training and inspection regimes.</p>
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## Quarter 2, 2022-2023 Chief Executive Risk Register

REF	RISK TITLE & DESCRIPTION	RISK CAUSE	RISK IMPACT	RISK CATEGORY  Strategic Operational Financial Knowledge management Compliance, Partnership	Current Risk Rating (See table below for guidance)			CONTROLS IN PLACE TO MITIGATE THE RISK	Risk Rating after mitigations (See table below for guidance)			FURTHER ACTION REQUIRED	SUMMARY OF CHANGE SINCE LAST QUARTER	RISK OWNER
					LIKELIHOOD	IMPACT	RISK RATING		LIKELIHOOD	IMPACT	RISK RATING			
CE1	Economic development partnerships	Failure of economic development partnerships	Leading to an adverse impact on businesses and local economy	Partnership	2	2	4	<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.</li> </ul>	1	2	2	<ul style="list-style-type: none"> <li>Monitoring of projects and performance.</li> </ul>	No change in Q2.	Economic Development and Growth
CE2	South Derbyshire Partnership working	Failure of the South Derbyshire Partnership	Leading to non-delivery of the community's vision and priorities set out in the Community Strategy	Partnership / Strategic	2	3	6	<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>	1	3	3	<ul style="list-style-type: none"> <li>Monitoring of projects and performance by Strategic Co-ordinating Group.</li> </ul>	No change in Q2.	Economic Development and Growth
CE3	Transfer of responsibility for visitor information provision from Sharpe's Pottery Heritage and Arts Trust to the Council	Interruption of service delivery whilst transferring services to the Council	Leading to associated risk of service disruption	Operational	2	2	4	<ul style="list-style-type: none"> <li>Commitment of officer time and resources.</li> <li>Transformation Project is underway.</li> </ul>	1	2	2	<ul style="list-style-type: none"> <li>Monitoring of progress through Transformation Project Team arrangements.</li> </ul>	No change in Q2.	Economic Development and Growth
CE4	Effectively manage the election process and canvassing.	Failure of joined up Council approach	Leading to a failed election process	Strategic	2	2	4	<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 Referenda/By-Elections to be called.</li> </ul>	1	2	2	<ul style="list-style-type: none"> <li>Monitoring of service delivery under review consistently</li> </ul>	No change in Q2.	Legal and Democratic Services



## Quarter 2, 2022--2023 Corporate Risk Register

REF	RISK TITLE & DESCRIPTION	RISK CAUSE	RISK IMPACT	RISK CATEGORY  Strategic Resource Operational Financial Knowledge management Compliance, Partnership	Current Risk Rating (See table below for guidance)			CONTROLS IN PLACE TO MITIGATE THE RISK	Risk Rating after mitigations (See table below for guidance)			FURTHER ACTION REQUIRED	SUMMARY OF CHANGE SINCE LAST QUARTER	RISK OWNER
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CR1	Universal Credit (UC)	Ongoing changes to the welfare system and Universal Credit impact on resources in Benefits and Customer Services.	Resources allocated to the team are not in line with workload demands.	Financial and Resource	4	1	4	<ul style="list-style-type: none"> <li>The Local Council Tax Reduction Scheme has been redesigned to improve the customer experience and make it easier/more efficient to administer. The new scheme was adopted by the Council in February 2022 and is now in place for 2022-2023.</li> <li>A service review will ensure the team is flexible and can adapt to changes in workload in future years.</li> <li>Following a major system upgrade, improved document management functions, the introduction of a linked CRM system and automation are being explored to increase productivity within the team and improve interaction with customers.</li> </ul>	2	1	2	Continually monitor the workload and resources allocated to the team.	Service review took place end of Aug 2022 and the consultation period ended Sept 2022. Customer Services are now looking to recruit additional resource to add resilience.	Head of Customer Services
CR2	Fraudulent activities	The possibility of fraud being undetected.	National studies show fraud leads to a significant loss of resources within the Public Sector as a whole.	Financial and Reputational	4	3	12	<ul style="list-style-type: none"> <li>The Council has a Shared Service Arrangement with Derby City Council which supports the delivery of the Council's Anti-Fraud &amp; Corruption Plan, which aims to introduce stronger anti-fraud processes across council tax, business rates, benefits, Right to Buy, social housing, supported accommodation and wider service areas. The unit also delivers fraud awareness training across the Council. This agreement was extended for 2022-2023.</li> <li>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.</li> <li>Single Person Discount checks on Council Tax are also regularly undertaken.</li> </ul>	2	2	4	<ul style="list-style-type: none"> <li>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.</li> <li>Authorities are being asked to be extra vigilant due to the potential for fraud to increase during Covid-19.</li> </ul>	No change in Q2.	Head of Customer Services
CR3	Procurement Services	Limited resources to enable good quality advice and support for Services.	The Council does not have its own procurement department	Resource	3	3	9	<ul style="list-style-type: none"> <li>The Council is part of a Shared Service Arrangement with other Derbyshire Agencies and has access to a wider pool of resources for support and advice.</li> </ul>	1	3	3	Continue to review the SLA with the Lead Partner.	No change in Q2.	Corporate Resources, Strategic Director

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CR4	Public Building	Ensuring public buildings are safe and have adequate repair budgets to ensure they remain fit for purpose.	Funding available within the budget provisions to deliver the planned maintenance programme	Financial and Compliance	2	3	6	<ul style="list-style-type: none"> <li>The additional repairs reserve has addressed the risk in the short term</li> <li>Condition surveys are being undertaken with a view to preparing a planned maintenance programme and comparing estimated costs against available budgets.</li> <li>The safety measures identified within the Covid-19 risk assessments have been implemented.</li> </ul>	2	2	4	<ul style="list-style-type: none"> <li>Continually monitor and review the repair budgets to ensure adequate funding is available for the Planned Maintenance Programme going forward.</li> </ul>	No change in Q2.	Head of Corporate Property
CR7	Payroll Service	There is no additional capacity or expertise within the team to cope with any down time	Employees and members not receiving payments due is significant	Resource	4	4	16	<ul style="list-style-type: none"> <li>A report was approved in August 2021 for the approval to look into a new system or provide additional resources.</li> <li>There is a support function for payroll provision available to the Council from the supplier of the payroll software which can be utilised in an emergency.</li> <li>Discussions regarding cover of the payroll service are currently underway with the software supplier to make the detail more formal.</li> </ul>	1	2	3		No change in Q2	Head of Finance
CR9	Transformation Compliance	Committing to already allocated resources or finances of projects outside the annual work programme for ICT and Business Change	The Council has signed up to a Transformation Roadmap which would be adversely affected and not delivered therefore failing the corporate plan target.	Strategic	4	2	8	<ul style="list-style-type: none"> <li>Ensure all Heads of Service are aware of the roadmap and the implications of adding additional projects.</li> <li>Ensure Transformation Steering Group members understand when they are involved in other work how that affects the ability to deliver critical transformation projects.</li> <li>Key TSG members feeding back any discussions or ongoing work relating to unauthorised projects as soon as possible.</li> </ul>	3	2	6		No change in Q2.	Head of Business Change, ICT, Digital

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CR10	Banking and Counterparty Limits	Authorised signatories being unavailable, Internet failure resulting in no access to the bank accounts.	Result in a breach of the approved counterparty limits set by the Council	Resource	4	3	12	<ul style="list-style-type: none"> <li>Annual leave and meetings of both approvers and administrative functions are monitored by the team to ensure any potential risks are mitigated.</li> <li>5 administration staff have responsibility for setting up transfers of cash therefore any external internet failure is mitigated by having at least 2 other staff to take over the process.</li> <li>There are 3 approvers for banking transactions, 2 of which are the S151 and Deputy S151 Officers. At least 1 of these officers is always available for approvals.</li> <li>Cash flow forecasts are updated daily, and any known transfers are set up in advance.</li> <li>The risk of the Internet failure is mitigated through risk CR23</li> </ul>	1	1	1		No change in Q2.	Head of Finance
CR11	Failure of systems external to Finance	The Academy system interfaces data for Housing Benefit, Council Tax and Business Rates daily. The AIM system interfaces cash files daily.	Impacts of Customer accounts and financial statements not being up to date with cash paid and the FMS not including all assets and liabilities resulting in potential qualification of the Financial Statements	Compliance and reputational	2	3	6	<ul style="list-style-type: none"> <li>An annual maintenance fee is paid to the system providers for system support and disaster recovery.</li> <li>Daily reconciliations of cash are completed by the Finance team to ensure that any failure is recognised immediately. To prevent any reputational issues, a major failure would result in debt collection reminders being delayed.</li> <li>Bank accounts are also reconciled daily, and any missing cash files would be manually transferred into the FMS to ensure the Debtor position is correct.</li> <li>Council Tax, Business Rates and Housing Benefit interface files are reconciled monthly but the processing of the interface files is a manual task so any failure of file generation would be recognised immediately and reported to the IT Helpdesk.</li> <li>An upgrade to the Academy system has taken place.</li> </ul>	1	1	2		No change in Q2.	Head of Finance

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CR12	Government Funding - a reduction in core funding	As a growth area, the Council's proportion of core funding is heavily reliant on the New Homes Bonus (NHB) and Business Rates and this has started to reduce.	The Council's core funding has been reduced by £418,000 between 2021/22 to 2022/23.  If this trend continues, following a review of the funding system by the Government, then the Council will need to review its income and expenditure ahead of 2025/26.	Financial	4	3	12	<b>Financial Planning</b> <ul style="list-style-type: none"> <li>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.</li> <li>The Medium-Term Financial Plan (MTFP) is regularly reviewed, updated, and reported to the Finance and Management Committee on a quarterly basis.</li> </ul> <b>Current Financial Position</b> <ul style="list-style-type: none"> <li>Overall, the General Fund currently shows a healthy position due to the level of reserves, although the medium-term projection forecasts an increasing deficit in future years as it highlights increasing expenditure to meet the population growth, but a reduction in core funding.</li> <li>Projected budget deficits could be financed from reserves if required, although this would become unsustainable after 2024/25.</li> <li>The impact of Covid-19 on the short-term financial position is being kept under review; temporary increases in expenditure and loss of income are being met from additional Government funding received.</li> <li>The Council has approved that no new revenue spending, over and above that approved by the Council in February 2022, is committed until the medium-term situation becomes clearer following a review of the funding system by the Government.</li> </ul>	4	3	12	The Medium-Term Financial Plan is being kept under review and reported to the Finance and Management Committee on a quarterly basis.	No change in Q2.	Strategic Director, Corporate Resources
CR13	The Economy - the impact of the national economic situation locally.	Rising inflation and a gap in the supply of materials, services, and labour.	Rising costs, the availability of materials and pressure on recruitment and retention.	Financial	4	3	12	<b>Support for Local Businesses</b> <ul style="list-style-type: none"> <li>The Government has provided various funding and support for local businesses and residents to help them overcome the impact of Covid-19.</li> </ul> <b>Regeneration</b> <ul style="list-style-type: none"> <li>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.</li> </ul>	3	3	9	Keep under review through quarterly reporting.	No change in Q2.	Strategic Director, Corporate Resources

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								<ul style="list-style-type: none"> <li>The Finance and Management Committee approved a new capital investment programme of approximately £4 million on 8 October 2020 which is providing resources for investment in regeneration and community projects.</li> </ul> <b>Treasury Management</b> <ul style="list-style-type: none"> <li>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.</li> <li>Apart from debt associated with its Council Housing, the Council is debt free. Regarding the HRA debt, this is now all fixed interest rates and is affordable within the Housing Revenue Account's financial plan.</li> </ul> <b>Base Budget</b> <ul style="list-style-type: none"> <li>The Council's Budget for 2022/23 has included provision for increasing prices on fuel utilities and materials.</li> </ul>						
CR14	Technology, Data and Security – keeping pace with developments in IT, together with the management and security of data	There is a potential security risk for running outdated or unsupported systems  Employees not following due process in relation to IT and data security	There is potential to loss operational data and for reputational damage, together with possible fines, should a data breach occur.	Strategic	4	4	16	<b>IT Upgrades and Development</b> <ul style="list-style-type: none"> <li>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 was completed in 2020.</li> </ul> <b>Security of Systems</b> <ul style="list-style-type: none"> <li>The Council is currently compliant with the Government's Public Services Network requirements.</li> <li>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.</li> <li>Due to potential virus attacks, measures are in place to restrict Internet access and to control the use of mobile devices.</li> <li>Continually updated and patched digital estate including firewall servers and antivirus.</li> </ul>	3	3	9	Induction process for all new starters as part of the employee lifecycle	No change in Q2	Head of Business Change, ICT, Digital



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								<b>Security of Data</b> <ul style="list-style-type: none"> <li>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.</li> <li>The Council's Data Protection Officer has direct access to the Leadership Team on matters concerning Information Governance.</li> <li>Whilst staff have been working remotely communications have been sent to remind of the dangers of cyber-attacks. The security in place is the same for end users regardless of location therefore hardware and software need no special arrangements in response to COVID working practices, however staff are the first, last, strongest, and weakest chain in our defences. A mandatory Cyber Security e-learning package must be completed annually. A number of procedures and policies are also in place that mandate more secure ways of working such as no use of personal email addresses and devices, information classification and encryption.</li> <li>The Council is currently upgrading its telephone infrastructure to enable full compliance with the Payment Card Industry (PCI) regulations. The implementation of actions to strengthen security and the safeguarding of data subject to PCI, are being monitored by the Audit Sub-Committee.</li> </ul>				The Learning & Development Officer will provide quarterly reports to the Head of BC&ICT to confirm the % of staff who have completed the E learning training.		
CR16	Business Continuity	Flu Pandemic Fuel Shortage Loss of Buildings ICT Failure	Loss of Service provision	Operational	3	4	12	<ul style="list-style-type: none"> <li>Some aspects of this risk can be transferred as business interruption cover is in place as part of the Council's Property Insurance Policy.</li> <li>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.</li> <li>COVID risk assessments and action plans are in place and resources made available to provide employees with the equipment to work from home wherever possible as well as access to resources to support their physical and mental health and wellbeing.</li> <li>The Council continues to deliver all of its services. This is being undertaken within national guidelines and in conjunction with other agencies in Derbyshire. Guidance is being provided to staff</li> </ul>	4	2	8	Accommodation review being undertaken.  Six monthly review of the Flexible Working Policy to be reported to Committee.	Updated actions: Flexible Working subject to six monthly review.	Strategic Director, Corporate Resources

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								and the public regarding on-going services and to help protect health and well-being. <ul style="list-style-type: none"> <li>A new Flexible Working Policy was implemented on Friday 1<sup>st</sup> July. This allows many staff to work remotely and at different sites.</li> </ul>						
CR17	Capacity and Resilience	Recruitment/retention of difficult to recruit/retain posts	The Council will be unable to deliver the key priorities set out in the Corporate Plan and in addition services will be severely impacted upon	Operational	4	3	12	<ul style="list-style-type: none"> <li>Market Value supplements is being explored and a report will be presented to Committee for consideration by January 2023</li> <li>Job Evaluation Framework is being reviewed and a report will be presented in 2022/23.</li> </ul>	3	2	6		The 'risk cause' has been re-defined which has resulted in a change to the risk impact, rating and mitigating actions.	Strategic Director, Corporate Resources
CR18	Terrorism and potentially violent situations	As a public body there is a potential for the Council and its workforce to become a target.	From time to time, members of the workforce do face individual threats while undertaking their duties	Operational	3	4	12	<ul style="list-style-type: none"> <li>Lone working systems in place including a 'Solo-Protect' warning and call for assistance system.</li> <li>A Potentially Violent Persons Policy and Risk Register are in place.</li> <li>Alarms and warning system in place in the Civic Offices.</li> </ul>	3	3	9	Monitoring and review of systems in place; learn from incidents and near misses.	No change in Q2.	Strategic Director, Corporate Resources
CR19	Statute and Regulation	Failure to meet requirements.	There is no recent evidence to suggest any significant issues; the impact would depend on the nature of the failure.	Compliance	2	3	6	<ul style="list-style-type: none"> <li>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.</li> </ul> <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.</p>	1	3	3	Keep under review. Continue training and awareness for staff.	No change in Q2.	Strategic Director, Corporate Resources

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CR20	Health and Safety	The potential to contravene Health and safety procedure, practice and legislation through non-adherence to safe systems of work, risk assessments and associated work practices.	Serious harm through incidents and near misses	Compliance	4	4	16	<ul style="list-style-type: none"> <li>The Council employs a Health and Safety Officer.</li> <li>All employees are provided with the relevant training and PPE required for their role.</li> <li>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.</li> <li>Incidents and near misses are logged, reported and reviewed corporately and any major incidents are investigated to review procedures.</li> <li>Risk assessments are regularly undertaken, and procedures updated when necessary.</li> <li>Monthly and quarterly meetings are held to review health and safety performance and compliance.</li> <li>An independent review of the Councils Health and Safety Culture and Behaviour is planned to be completed early 23/24</li> </ul>	3	2	6	Monitoring and review of incidents and near misses.	Updated to reflect the monitoring of Health and Safety performance.	Head of Organisational Development & Performance
CR21	Managing the environmental impact of incidents across the District	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	Impacts on environment and economy; increased risk of major events: potential for litigation; reputational damage	Strategic	2	3	6	<ul style="list-style-type: none"> <li>The Council has plans in place through Emergency Planning to manage the environmental impact of any incidents across the District.</li> <li>The Council is accredited to the prestigious international ISO 14001 standard for Environmental Management.</li> <li>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. <b>(See Risk below)</b></li> </ul>	2	2	4	Review of all environmental incident procedures and staff training to be completed by December 2022	Full ISO14001 systems review started in June 2022	Head of Environmental Services
CR22	Climate Emergency	The failure of the Council to achieve carbon neutrality for its operations by 2030 and carbon neutrality for the District by 2050.	Impacts on environment and economy; increased risk of major events: potential for litigation; reputational damage	Strategic	4	3	12	<ul style="list-style-type: none"> <li>Achievement of the carbon reduction ambitions are mainly vested in our <b>Climate and Environment Strategy</b> and <b>Climate &amp; Environment Action Plan</b>.</li> <li>The Action Plan contains planned and programmed actions and will be reviewed annually. It will quantify the estimated net financial costs and net carbon savings associated with the contents of the Plan. The Plan will calculate the contribution of the Plan to the carbon reduction trajectory, along with the calculated shortfall in carbon reductions. Attaining the targets in the Plan is one of the Corporate Plan Key Performance Indicators. Whilst the action plan has been agreed it does contain several actions where funding has not been committed.</li> <li>The Strategy and Plan have identified the main carbon emissions sources. The Council will be alive to the many and various windfall opportunities for interventions in between the annual Plan revisions</li> </ul>	4	3	12	<p>Annual monitoring and review of the Climate and Environment Action Plan. Next Plan Aug 2023</p> <p>Carbon Emissions Report for 2022/23 to be published in Aug 23</p> <p>Actively seeking external funding.</p>	<p>New Climate and Environment Action Plan approved in Aug 2022.</p> <p>First annual Carbon Emissions Reduction Report published in Aug 2022.</p>	Head of Environmental Services



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								where these are considered likely to make significant impacts on reducing emissions. <ul style="list-style-type: none"> <li>Emerging statute is expected to exert significant influence over the Council's operations and indirect influence in relation to climate change.</li> </ul>						
CR23	Internet Connection	The effects of the internet connection becoming unavailable for a length of time would be a major incident.	Most applications whether they are onsite or hosted will need the Council's internet connection to be active for their use.  There is only one ISP in Swadlincote. Therefore, if the cable is damaged or the service is disrupted, no internet connection will be available.	Strategic	2	4	8	<ul style="list-style-type: none"> <li>New RA02 Circuits are being procured which have been specified with a resilient line. Although full resilience isn't proved due to a single supplier, the lines are coming from different exchanges so both would have to be out of service for a total loss of connection.</li> <li>There are options to make some services available over alternative connections, be that personal or business, if needed.</li> <li>Smartphone users can use the mobile data connection to access outlook and teams etc</li> </ul>	2	3	6		No change in Q2	Head of Business Change, ICT, Digital
CR24	Technical Resource	The Council relies on a small pool of technical specialists and support operatives to keep the organisation operational	Availability of resource to conduct and support Council meetings  Availability of resource to support day to day operations and projects.		3	3	9	<ul style="list-style-type: none"> <li>The COVID-19 Fund is being used to finance an agency resource. The introduction of the post has offered relief for first line calls and Committee meetings.</li> <li>The agency resource is more expensive than an established post and is not a permanent solution.</li> </ul>	3	2	6	ICT structure will be reviewed in-line with corporate employment and operating model  Continually review and monitor support tickets	No change in Q2	Head of Business Change, ICT, Digital
CR26	Supply Chain	National shortage of drivers to undertake HGV driving.	Changes to IRS rules have led many agency drivers to take permanent positions.		4	3	12	<ul style="list-style-type: none"> <li><b>National shortage of HGV drivers/production of new vehicles:</b> Training opportunities for existing employees are still in place. There are now only two vacant driver posts and will be looking to recruit into these posts as soon as possible, 2<sup>nd</sup> year of driver salary supplement agreed.</li> <li><b>Global shortage of microchips:</b> No immediate concerns over purchase of new vehicles, if situation deteriorates then the Team will look to source ex-demonstrator vehicles or nearly new/used vehicles. Short-term hire will also be considered where appropriate</li> </ul>	4	3	12	Currently looking at HGV apprenticeships  Management is in constant discussions with local agency driver suppliers to secure additional cover.	Removed EU shortage of materials to manufacture coloured plastic from risk cause/ risk impact. and from mitigating actions  Updated mitigating	Head of Operational Services

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# Risk Matrix Template

The table below outlines how the impact and likelihood of the risk is scored using the threshold and description as guidance.

Impact	Very High (4)	4	8	12	16	<div><div>12-16</div><div>6-9</div><div>1 - 4</div></div> <div>Significant Risk</div> <div>Medium Risk</div> <div>Low Risk</div>
	High (3)	3	6	9	12	
	Medium (2)	2	4	6	8	
	Low (1)	1	2	3	4	
		Remote (1)	Possible (2)	Probable (3)	Highly Probable (4)	
		Likelihood				

Impact	Thresholds and Description
1 – Low	Limited impact on service objectives if any, section objectives unlikely to be met, financial loss less than £10,000, no media attention
2 – Medium	Slight delay in achievement of service objectives, minor injuries, financial loss over £50,000, adverse local media attention, breaches of local procedures
3 – High	Significant threat to Council objectives. Non-statutory duties not achieved, permanent injury, financial loss over £100,000, negative national media attention, litigation expected, serious issues raised through inspection, breakdown of confidence of partners.
4 – Very high	Objectives cannot be delivered. Statutory duties not achieved, death, financial loss over £500,000, adverse national media attention, litigation almost certain, prosecutions, breaches of law, inspection highlights inadequate service, Council unable to work with partner organisation
Likelihood	Thresholds and Description
1 – Remote	May occur only in exceptional circumstances (e.g. once in 10 years)
2 – Possible	Unlikely to occur but could at some time (e.g. once in three years)
3 – Probable (in two years)	Fairly likely to occur at some time or under certain circumstances (e.g. once in two years)
4 – Highly probable (in 12 months)	Will probably occur at some time or in most circumstances (e.g. once in 12 months)

## Corporate Risk Matrix

The below table summarises the risk likelihood and impact for risks after controls have been put in place to mitigate the risk.

<b>Impact</b>	<b>Very High (4)</b>				
	<b>High (3)</b>	CR3, CR19	CR23	CR13, CR14, CR18	CR12, CR22, CR26
	<b>Medium (2)</b>	CR7, CR8,	CR2, CR4, CR21	CR9, CR17, CR20, CR24	CR16
	<b>Low (1)</b>	CR10, CR11, CR15	CR1		
		<b>Remote (1)</b>	<b>Possible (2)</b>	<b>Probable (3)</b>	<b>Highly Probable (4)</b>
		<b>Likelihood</b>			

CR1	Universal Credit (UC)	Ongoing changes to the welfare system and Universal Credit impact on resources in Benefits and Customer Services.
CR2	Fraudulent activities	The possibility of fraud being undetected.
CR3	Procurement Services	Limited resources to enable good quality advice and support for Services.
CR4	Public Building	Ensuring public buildings are safe and have adequate repair budgets to ensure they remain fit for purpose.
CR7	Payroll Service	There is no additional capacity or expertise within the team to cope with any down time so the risk of.
CR8	Payroll Software Contract Expiry	The contract expires in March 2022
CR9	Transformation Compliance	Committing to already allocated resources or finances of projects outside the annual work programme for ICT and Business Change
CR10	Banking and Counterparty Limits	Authorised signatories being unavailable, Internet failure resulting in no access to the bank accounts.
CR11	Failure of systems external to Finance	The Academy system interfaces data for Housing Benefit, Council Tax and Business Rates daily. The AIM system interfaces cash files daily.

CR12	Government Funding	A reduction in core funding
CR13	The Economy	The impact of the national economic situation locally.
CR14	Technology, Data and Security - keeping pace with developments in IT, together with the management and security of data	There is a potential security risk for running outdated or unsupported systems. Employees not following due process in relation to IT and data security
CR15	Technology and Data – quality of performance data.	Inaccurate monitoring and reporting of performance data
CR16	Business Continuity	Flu Pandemic, Fuel Shortage, Loss of Buildings, ICT Failure
CR17	Capacity and Resilience	Service demand and loss of skills
CR18	Terrorism and potentially violent situations	As a public body there is a potential for the Council and its workforce to become a target.
CR19	Statute and Regulation	Failure to meet requirements.
CR20	Health and Safety	the potential to contravene regulations through bad practice.
CR21	Managing the environmental impact of incidents across the District	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
CR22	Climate Emergency	The failure of the Council to achieve carbon neutrality for its operations by 2030 and carbon neutrality for the District by 2050.
CR23	Internet Connection	The effects of the internet connection becoming unavailable for a length of time would be a major incident.
CR24	Technical Resource	The Council relies on a small pool of technical specialists and support operatives to keep the organisation operational
CR26	Supply Chain	EU shortage of materials to manufacture coloured plastic National shortage of agency drivers to undertake HGV driving. There is fast becoming a global shortage of microchips and some vehicle manufacturers have suspended production of new vehicles,

<b>REPORT TO:</b>	<b>FINANCE AND MANAGEMENT COMMITTEE</b>	<b>AGENDA ITEM: 8</b>
<b>DATE OF MEETING:</b>	<b>24 NOVEMBER 2022</b>	<b>CATEGORY: DELEGATED</b>
<b>REPORT FROM:</b>	<b>STRATEGIC DIRECTOR (CORPORATE RESOURCES)</b>	<b>OPEN</b>
<b>MEMBERS' CONTACT POINT:</b>	<b>CHARLOTTE JACKSON</b> <a href="mailto:Charlotte.jackson@southderbyshire.gov.uk">Charlotte.jackson@southderbyshire.gov.uk</a>	<b>DOC:</b> s/finance/committee/2022-23/November
<b>SUBJECT:</b>	<b>REVENUE FINANCIAL MONITORING 2022/23</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 2022/23 as detailed in the report is considered and approved.
- 1.2 The updated Medium Term Financial Plan is considered and approved.

## **2.0 Purpose of the Report**

- 2.1 To provide an update on performance against budget for 2022/23.
- 2.2 The report details performance up to 30 September 2022 unless otherwise stated and is an update of income and expenditure for 2022/23.
- 2.3 The report covers both General Fund income and expenditure, an update to the MTFP.
- 2.4 To provide an update on the Council's additional costs due to the COVID-19 pandemic.

## **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 2022/23 approved in February 2022 estimated a budget deficit of £972,130. As reported in August, the budgeted deficit was increased to

£1,463,429 due to a review of contingent sums and in particular additional provision set-aside for the 2022/23 pay increase. A further update has now been made to include additional provision for the 2022/23 pay award (£482,304), reduction in the Councils Insurance premiums (£146,500), and the favourable interest rates received on investment income (£275,000). Overall, the estimated deficit has now been increased to £1,487,213.

#### Medium-Term Financial Plan

3.3 An update to the Council's medium-term financial position as a result of these changes and the estimated General Fund outturn for 2022/23 is listed within the MTFP in **Appendix 1**. This shows that the General Reserve Balance is now projected to be in deficit of £5.1 million by 2027/28, assuming annual budget deficits will be financed from General Reserves between 2022 and 2027.

3.4 The changes to the MTFP have the reserve balance falling into a negative position in 2026/27, to £1.1m which is clearly below the minimum requirement of £1.5 million (surplus). Based on these projections the medium-term financial position needs to be kept under review.

#### Main Changes to the MTFP

3.5 Previously, the MTFP had assumed that the tenant of a major industrial site, would not renew their lease after March 2023. Following negotiations, the tenant has confirmed that they are willing to continue their occupation for a further three years. As there is a break clause which could be exercised in March 2025, additional rent of £210,000 per year has been built back into the MTFP for 2023/24 and 2024/25 only.

3.6 In addition, the Council recently retendered its insurance services and new suppliers were approved at the Committee on the 25<sup>th</sup> August 2022. As detailed in the report the Council will make significant savings on its insurance premiums over the life of the contract. The impact of the savings has been added to the financial plan, and they will be included in the base budgets from 2023/24.

3.7 As detailed in the Treasury Management report, the recent investment activity of the Council will yield a much higher than anticipated return on funds. The reduction in the investment income has been removed from the MTFP in anticipation that the rates will level off and start to come down over the next two years but are not predicted to go back to the low levels we saw during the pandemic.

3.8 The biggest pressure on the General Fund is the increase to the pay award for 2022/23. Negotiations have concluded, with the agreed increase above the Councils prediction of 5%. Having awarded a flat rate over all pay scales the average increase is 7.74%. This has added nearly £1/2 million into the Base Budget.

3.9 There is current uncertainty around the Government's plans for future Public Sector pay increases. In anticipation of announcements from Government it is prudent to not make any adjustments to the 3.5% increases provided for over the medium term.

3.10 Uncertainty remains over future Government funding and further details are awaited ahead of the financial settlement for 2023/24. In the meantime, the MTFP continues to assume that the Council's core funding will reduce over the medium-term.

3.11 A summary of the current MTFP position is listed in the following table.

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Proposed Budget	Projection	Projection	Projection	Projection	Projection
£	£	£	£	£	£



	2022.23	2023.24	2024.25	2025.26	2026.27	2027.28
RESERVE BALANCE B/FWD	-14,477,000	-12,159,399	-9,343,599	-6,297,622	-2,664,425	1,126,797
NET SERVICE EXPENDITURE	14,218,106	14,794,546	15,185,251	15,599,923	16,042,803	16,546,059
CONTINGENT SUMS	1,060,530	1,019,404	836,418	1,084,227	1,100,011	1,148,781
<b>TOTAL PROJECTED SPENDING</b>	<b>15,278,636</b>	<b>15,813,951</b>	<b>16,021,669</b>	<b>16,684,150</b>	<b>17,142,815</b>	<b>17,694,840</b>
TOTAL FINANCING	-13,791,424	-13,514,151	-13,490,692	-13,572,453	-13,879,592	-14,195,973
CAPITAL CONTRIBUTIONS	830,388	516,000	515,000	521,500	528,000	521,500
<b>DEFICIT FOR THE YEAR</b>	<b>2,317,601</b>	<b>2,815,800</b>	<b>3,045,977</b>	<b>3,633,197</b>	<b>3,791,222</b>	<b>4,020,367</b>
RESERVE BALANCE C/FWD	-12,159,399	-9,343,599	-6,297,622	-2,664,425	1,126,797	5,147,164

3.12 Contingent sums held within the MTFP for 2022/23 are detailed in the following table.

### Contingent sums

Operational Services Growth	146,652
Land Charges Service Review Provision	116,000
Public Sector Audit Appointments - Additional External Audit Fees	20,000
Drakelow Concurrent Functions	2,185
Operating Licence Inspection Pit	60,000
Driver and Mechanic Incentive Payment	47,722
Route Optimisation Potential Project Delay	59,634
Local Plan Review	15,000
EDI Temporary Officer post	14,973
Potential pay award	774,143
Administration of Childcare Vouchers	1,750
Potential Cost of New Waste Disposal Site	47,560
Pension Earmarked Reserve Drawdown	-43,589
Provision for Employer's NIC on "off-payroll" payments	10,000
Contingent Sum - Growth	160,000
Waste and Recycling	50,000
Investment Income	-275,000
Insurance Tender	-146,500

**1,060,530**

### Position as at September 2022

3.13 A summary of the financial position for the year 2022/23 compared to the Base Budget for each Policy Committee is shown in the following table.

## COMMITTEE SUMMARY - BUDGET MONITORING SEPTEMBER 2022

### Summary by Policy Committee

REVENUE	ANNUAL			RESERVES	
	Full Year Budget £	Projected Actual £	Projected Variance £	Earmarked £	Net effect on GF £
Environmental and Development Services	6,225,154	6,529,616	-304,462	66,835	-371,297
Housing and Community Services	2,801,603	2,326,270	475,333	373,303	102,030
Finance and Management	6,264,523	6,494,186	-229,662	-693,138	463,476



<b>TOTAL</b>	<b>15,291,280</b>	<b>15,350,072</b>	<b>-58,792</b>	<b>-253,000</b>	<b>194,208</b>
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3.14 The above table shows that net expenditure is expected to be £58,792 more than budget. However, transfers from Earmarked Reserves of £253,000 due to grant and recycling income, together with external contributions in Community Services for projects and capital schemes which stretch beyond the current financial year, are required. This funding is transferred to specific reserves and drawn down to finance expenditure when it is incurred.

3.15 The figures are also adjusted for income and expenditure associated with Section 106 contributions. 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 £194,208.

3.16 An analysis by the main service areas is shown in the following table.

#### COMMITTEE SUMMARY - BUDGET MONITORING SEPTEMBER 2022

##### Summary by Service Area

REVENUE	ANNUAL			RESERVES	
	Full Year	Projected	Projected	Earmarked	Net effect
	Budget	Actual	Variance		on GF
	£	£	£	£	£
Economic Development	353,227	393,019	-39,791	-69,767	29,976
Environmental Services	793,064	940,303	-147,239	-16,198	-131,041
Highways & Parking	55,996	71,079	-15,083	0	-15,083
Licensing & Land Charges	13,933	57,385	-43,452	0	-43,452
Planning	643,446	625,196	18,250	-10,200	28,450
Street Scene	1,228,446	1,192,817	35,628	0	35,628
Waste & Transport	3,137,042	3,249,818	-112,776	163,000	-275,776
Community Development & Support	713,055	717,443	-4,388	-38,884	34,496
Recreational Activities	174,124	182,313	-8,188	0	-8,188
Leisure Centres & Community Facilities	759,040	422,185	336,855	340,092	-3,237
Parks & Open Spaces	645,149	679,888	-34,738	-84,603	49,865
Private Sector Housing	510,234	324,442	185,792	156,698	29,094
Central Support Services	4,229,903	4,411,770	-181,866	-226,330	44,464
Corporate & Democratic Costs	564,444	556,041	8,403	0	8,403
Elections & Registration	224,586	193,575	31,011	0	31,011
Parishes, Interest, S106 Receipts & Provisions	797,961	1,070,334	-272,373	-546,698	274,325
Estate Management	-245,651	-286,002	40,351	0	40,351
Revenues & Benefits	693,280	548,470	144,811	79,890	64,921
	<b>15,291,280</b>	<b>15,350,072</b>	<b>-58,792</b>	<b>-253,000</b>	<b>194,208</b>

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

#### GENERAL FUND VARIANCE TO BUDGET September 2022

	£'000
Salary savings (vacancies, maternity etc.) - E&D	647
Salary savings (vacancies, maternity etc.) - F&M	300
Salary savings (vacancies, maternity etc.) - H&C	88

Total Employee

1035

Investment income	275
Vehicle Hire	143
Derbyshire County Council Contributions	97
Additional Trade Waste Income	68
Professional Fees	55
Industrial Unit Rental Income	28
Repairs	25
Benefits Processing	24
Grants	18
Printing	14
Fees	14
Other Variances (Net)	12
Training	11
Tools & Equipment	9
Turnover Rent	7
Service Charges	7
Maintenance	7
Subscriptions	5
Additional Test and Trace Admin Funding	5
Contributions	5

**Total Favourable Variances 1,864**

Agency	-782
Spare Parts	-230
Fuel	-178
Kennelling	-140
Recruitment Fees	-102
Gulley Hire	-54
Oil/Grease	-36
Utilities	-33
Postage	-26
Waste Collection	-22
Events	-16
Professional Fees	-15
Computing (Maintenance Agreements)	-14
Tools /Materials/Equipment Hire	-14
Contract Cleaning	-8

**Total Adverse Variances -1,670**

**TOTAL - OVERALL PROJECTED VARIANCE 194**

3.18 Salary savings in year relate to vacancies but these savings are being offset by agency and consultancy to support services. The following table shows the expected costs and savings on staffing in year.

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	Employee £'000	Agency £'000	Variance £'000
Recycling	148	-280	-132
Street Scene	135	-33	102



- 3.25 The favourable variance on Benefits Processing (£24k) is due to the approval of the Customer Services restructure in August 2022. The savings will fund the additional staff in Customer Services with benefit processing costs being funded from reserves.
- 3.26 Printing is continuing to show a favourable variance, with introduction of flexible working and the Councils commitment to achieve zero carbon this is not expected to change.

### **Adverse Variances**

- 3.27 Fuel and Oil costs are difficult to predict. The adverse variance (£178k) is based on fuel prices remaining high for the remainder of the year. There is a provision within the MTFP for the additional costs from the Route Optimisation Project delay, however the adverse variance reflects estimated costs due to the volatile market conditions. This will be reviewed throughout the year, with updates to changes in the expected outturn reported to Committee.
- 3.28 Spare part costs are predicted to have an adverse variance of £230K by the year end, the costs have increased from quarter one due to labour charges incurred from Dennis Eagle (£56.5k) to cover HGV Mechanic sickness. Although savings are being met on vehicle hire from the purchase of the used recycling vehicles it has in turn resulted in higher repair costs.
- 3.29 Recruitment fees are projected to be overspent due to the specialist recruitment of the Leadership team and previous Head of Service roles earlier in the year. The variance of £102k provides for costs for the recruitment of the Chief Executive and the Strategic Director (Corporate Resources).
- 3.30 Kennelling fees were expected to fall in the second quarter, however a large seizure of 40 dogs has resulted in additional expenditure of £52k. Possession permits are reducing the time scales for rehoming animals, but these costs remain vulnerable to large seizures.
- 3.31 A new Gully Cleaner has now been delivered; the adverse variance remains at (£54K) due to the hire of a sweeper.
- 3.32 The overspend on utilities (£33k) is the result of a water leak at Rosliston and the additional of the Innovation Centre. The tariffs for gas and electricity supplies were fixed before the recent price hikes and will remain fixed until November 2024 (Gas) and September 2023 (Electric). Variations from budget in year will be linked to consumption.
- 3.33 Computer maintenance adverse variance has reduced by £15k due to a reduction in Microsoft 365 licences, following a licence cleansing exercise.
- 3.34 The Events adverse variance (£16k) has reduced slightly since the previous quarter due to additional income being received. The costs are still expected to be over budget due to the Jubilee Celebrations, however saving on equipment and additional income are being sought to reduce this.

### **Risk Areas**

#### **Recycling Contract**

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- 3.35 Although the recycling contract performed well in 2021/22 past performance in no guarantee of future performance, but it is hoped that the continued growth in

performance in recycling will remain and result in a benefit longer-term to the General Fund. The earmarked reserve of £500k has been set aside as future protection against a fall in prices. An additional £50,000 provision is within the MTFP.

Quarter 2	Tonnes	£
Mixed papers	611.38	-79,729
Aluminium cans	25.59	-28,489
Steel cans	64.36	-9,027
Clear blue PET	66.87	-44,552
HDPE natural	2871.10	-19,999
Other plastics (PTT)	93.26	-11,350
Plastic Film	6.20	38
Hard Plastics	5.06	-363
Mixed Glass	765.27	-3,328
General waste	208.39	24,385
<b>Net Recycling Income Generation</b>		<b><u>-172,413</u></b>

As seen above, income on materials for the second quarter of 2022/23 performed well although from September there has been reduction in prices relating to plastics, but paper and cans have increased compensating for the reduction. General waste costs have increased, methods of decreasing contaminated waste are being investigated to reduce these costs. To ensure the recycling costs are kept within the approved budget of £920k, an income of approximately £400k needs to be generated in the year. The income shown above is counting towards the target of £400k, future income generation relies on the rates per tonne staying consistent this is closely monitored for fluctuations in the market.

- 3.36 It is intended to update the Committee each quarter with details of the recycling contract identifying any risks and potential benefits.

### **Vacancies**

- 3.37 As can be seen at the table in 3.16, there are a significant number of vacant posts within the General Fund. Whilst a number of these are in the process of being recruited, there are areas where significant costs in the form of agency staff are being incurred to support services.
- 3.38 The main financial risk to note is that due to the current economic climate, there are vacant roles within service areas that may be difficult to recruit into due either to a shortage of candidates or market salary levels being greater than the Council's core evaluated pay structure.
- 3.39 This is an area being kept under review by the Leadership Team. Work on proposals to support recruitment and retention is in progress and a separate report will be presented to the Committee in January/February 2023,

### **COVID-19 Funding**

- 3.40 The Government are not due to issue any more additional funding to assist with additional expenditure due to the Pandemic.
- 3.41 A carry forward of £181k into 2022/23 was approved as part of the outturn report in July 2022.

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- 3.42 The following table shows the carry forward from 2021/22 and the expected expenditure during 2022/23.

### **COVID Spending**

	<b>£</b>
Bought Forward 2022/23	-180,867
<b>Total Funding</b>	<b>-180,867</b>
Discretionary Grant Awards (funds committed)	72,722
<b>Total Funding to Spend</b>	<b>-108,145</b>
ICT and Home Working	39,894
Sofphone Licences for Home Working	11568
Cleaning of Public Buildings	5,080
Cleaners Overtime for Cleaning Regime	3,633
New Software for CARF Scheme	2,000
Hygiene Screens at Rosliston	1,199
Committee Sound System and Chairs	560
CO2 Detectors	520
Public Notices	160
Vehicle Hire	-152
Agency	-1,461
<b>Total Spending to 30th September 2022</b>	<b>63,000</b>
<b>Remaining Funding</b>	<b>-45,145</b>

3.43 Expenditure as noted above is a prediction of potential costs in 2022/23.

3.44 The cleaning regime currently in place in Public Buildings is expected to continue for the remainder of the year.

3.45 Following the introduction of the flexible working policy employees have required additional equipment to be set up to allow home working and office working, providing the same equipment for each workspace.

3.46 New equipment has been provided in Committee Rooms to allow for meetings to take place with the dial in facilities available.

3.47 CO2 detectors have been installed around the offices to detect areas where Co2 levels reach an unacceptable amount.

3.48 A credit amount for Recycling is now sitting within the summary table due to an over accrual at the year-end for the previous contract. This in effect was a bigger draw down than required in 2020/21 and is to be rectified in 2021/22. The same relates to the agency credit amount.

### Core Grants and Funding

3.49 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 2022/23</b>	<b>£</b>
Council Tax	6,346,143
Retained Business Rates	3,795,025
Lower Tier Services Grant	291,393
New Homes Bonus	3,018,486
Service Grant Allocation	173,984
Collection Fund Surplus – Council Tax	166,393
<b>Total Funding</b>	<b>13,791,424</b>

- 3.50 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.
- 3.51 Performance of the Pool is reported quarterly to all Derbyshire S151 Officers, but nothing has yet been reported on the second quarter performance.

#### **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 in the Plan.

##### **Risk Impact**

- 5.4 Financial risks and service pressures are detailed in the report.

#### **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.

## GENERAL FUND MEDIUM TERM FINANCIAL PLAN

### BUDGET & PROJECTION NOVEMBER 2022

	Proposed Budget £ 2022.23	Projection £ 2023.24	Projection £ 2024.25	Projection £ 2025.26	Projection £ 2026.27	Projection £ 2027.28
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**BASE BUDGET**

Environmental & Development	6,225,153	6,559,856	6,751,498	6,947,120	7,150,331	7,364,841
Housing & Community	2,801,603	2,907,865	2,961,905	3,016,535	3,087,789	3,180,423
Finance & Management	6,264,523	6,406,984	6,577,630	6,750,127	6,924,723	7,132,465
<b>Net Service Expenditure</b>	<b>15,291,279</b>	<b>15,874,705</b>	<b>16,291,033</b>	<b>16,713,783</b>	<b>17,162,843</b>	<b>17,677,729</b>

**Accounting Adjustments**

Reverse out Depreciation	-1,268,382	-1,268,382	-1,268,382	-1,268,382	-1,268,382	-1,268,382
Minimum Revenue Provision (MRP)	174,654	167,668	160,962	154,523	148,342	136,712
Voluntary Revenue Provision (VRP - Recycling Bins & Grove Active Zone)	20,556	20,556	1,639	0	0	0
	<b>14,218,106</b>	<b>14,794,546</b>	<b>15,185,251</b>	<b>15,599,923</b>	<b>16,042,803</b>	<b>16,546,059</b>

**Add: Known Variations**

Vehicle Maintenance Plan (Tyres and Spare Parts)	0	25,000	30,000	40,000	55,000	75,000
Operational Services - Allocated Growth Excluded From Base Budget	146,652	382,329	160,367	164,376	168,486	172,698
Growth Provision Drawdown	0	-172,294	0	0	0	0
Land Charges Service Review Provision	116,000	0	0	0	0	0
Public Sector Audit Appointments - Additional External Audit Fees	20,000	20,000	20,000	20,000	20,000	20,000
Drakelow Concurrent Functions	2,185	2,229	2,273	2,319	2,365	2,412
Operating Licence Inspection Pit	60,000	0	0	0	0	0
Parish Concurrent Functions and Grants to Voluntary Bodies	0	10,661	10,874	11,092	11,314	11,540
Driver and Mechanic Incentive Payment	47,722	34,722	0	0	0	0
Route Optimisation Potential Project Delay	59,634	0	0	0	0	0
Local Plan Review	15,000	15,000	0	0	0	0
EDI Temporary Officer post	14,973	23,527	0	0	0	0
Potential pay award	774,143	457,181	473,182	489,744	506,885	524,626
Incremental Salary Increases	0	18,425	6,671	2,253	0	0
Investment Income	-275,000	0	0	0	0	0
Administration of Childcare Vouchers	1,750	1,750	1,750	1,750	1,750	1,750
Potential Cost of New Waste Disposal Site	47,560	49,938	52,435	55,057	57,809	60,700
Potential Loss of Industrial Unit Income	0	0	0	210,000	210,000	210,000
Pension Earmarked Reserve Drawdown	-43,589	-6,783	0	0	0	0



Insurance Tender	-146,500	-134,780	-129,388	-125,507	-121,741	-118,089
District Election May 2023	0	125,000	0	0	0	0
<b>TOTAL ESTIMATED SPENDING</b>	<b>15,058,636</b>	<b>15,646,451</b>	<b>15,813,415</b>	<b>16,471,006</b>	<b>16,954,671</b>	<b>17,506,695</b>

## GENERAL FUND MEDIUM TERM FINANCIAL PLAN BUDGET & PROJECTION NOVEMBER 2022

	Proposed Budget £ 2022.23	Projection £ 2023.24	Projection £ 2024.25	Projection £ 2025.26	Projection £ 2026.27	Projection £ 2027.28
<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	160,000	105,000	143,254	143,144	113,144	113,144
New Parishes - Concurrent Functions	0	2,500	5,000	10,000	15,000	15,001
Waste and Recycling	50,000	50,000	50,000	50,000	50,000	50,000
<b>TOTAL PROJECTED SPENDING</b>	<b>15,278,636</b>	<b>15,813,951</b>	<b>16,021,669</b>	<b>16,684,150</b>	<b>17,142,815</b>	<b>17,694,840</b>

### FINANCING

Business Rates Retention	-3,795,025	-3,795,025	-3,795,025	-3,795,025	-3,795,025	-3,795,025
Services Grant Allocation	-173,984	0	0	0	0	0
Lower Tier Services Grant Allocation	-291,393	-3,045,089	-2,740,580	-2,524,205	-2,524,205	-2,524,205
New Homes Bonus	-3,018,486	0	0	0	0	0
Council Tax Income	-6,346,143	-6,619,037	-6,900,088	-7,198,224	-7,505,363	-7,821,743
<b>Core Spending Power</b>	<b>-13,625,031</b>	<b>-13,459,151</b>	<b>-13,435,692</b>	<b>-13,517,453</b>	<b>-13,824,592</b>	<b>-14,140,973</b>
Add Estimated Collection Fund Surplus - Council Tax	-166,393	-55,000	-55,000	-55,000	-55,000	-55,000
<b>TOTAL FINANCING</b>	<b>-13,791,424</b>	<b>-13,514,151</b>	<b>-13,490,692</b>	<b>-13,572,453</b>	<b>-13,879,592</b>	<b>-14,195,973</b>

### Revenue Surplus (-) / Deficit

	<b>1,487,213</b>	<b>2,299,800</b>	<b>2,530,977</b>	<b>3,111,697</b>	<b>3,263,222</b>	<b>3,498,867</b>
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### Capital Contributions

IT and Digital Strategy	160,000	160,000	160,000	166,500	173,000	166,500
Purchase of Town Centre Land	44,335	0	0	0	0	0
Community Partnership Scheme	219,053	0	0	0	0	0
Rosliston Forestry Centre - Play Project	50,000	0	0	0	0	0
Asset Replacement and Renewal Fund	357,000	356,000	355,000	355,000	355,000	355,000
<b>TOTAL CAPITAL CONTRIBUTION</b>	<b>830,388</b>	<b>516,000</b>	<b>515,000</b>	<b>521,500</b>	<b>528,000</b>	<b>521,500</b>

### TOTAL GENERAL FUND DEFICIT

	<b>2,317,601</b>	<b>2,815,800</b>	<b>3,045,977</b>	<b>3,633,197</b>	<b>3,791,222</b>	<b>4,020,367</b>
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**GENERAL FUND RESERVE BALANCE**

Balance b/fwd	-14,477,000	-12,159,399	-9,343,599	-6,297,622	-2,664,425	1,126,797
Revenue Surplus (-) / Deficit	1,487,213	2,299,800	2,530,977	3,111,697	3,263,222	3,498,867
Capital Contributions	830,388	516,000	515,000	521,500	528,000	521,500
<b>Balance c/fwd</b>	<b>-12,159,399</b>	<b>-9,343,599</b>	<b>-6,297,622</b>	<b>-2,664,425</b>	<b>1,126,797</b>	<b>5,147,164</b>

## ENVIRONMENTAL &amp; DEVELOPMENT SERVICES - BUDGET MONITORING SEPTEMBER 2022

## SUMMARY OF PERFORMANCE

	Full Year			RESERVES		
	Budget	Projected Actual	Variance	Earmarked	General Fund	
	£	£	£	£	£	
Tourism Policy, Marketing & Development	73,838	134,105	-60,267	-60,267	-0	
Promotion and Marketing of the Area	269,390	239,414	29,976		29,976	Fav pay £48.8k, printing £9.5k; Adv agency £24.7k, Event spending £3.7k
Community Development	10,000	19,500	-9,500	-9,500	-0	
	<b>353,227</b>	<b>393,019</b>	<b>-39,791</b>	<b>-69,767</b>	<b>29,976</b>	
Food Safety	65,986	90,520	-24,533		-24,533	Adv £5k salaries, £20k income fees
Pollution Reduction	391,906	373,651	18,256		18,256	Fav £19k salaries, £3k fees income, adv £4k training
Pest Control	16,378	11,379	5,000		5,000	Fav £6k salaries, adv £1k income
Public Health	0	-0	0		0	
Public Conveniences	25,113	24,877	236		236	
Community Safety (Safety Services)	192,964	322,963	-130,000		-130,000	Fav £10k salaries, Adv £140k professional fees re Kennelling
Environmental Education	98,916	115,113	-16,198	-16,198	0	
Welfare Services	1,800	1,800	0		0	
	<b>793,064</b>	<b>940,303</b>	<b>-147,239</b>	<b>-16,198</b>	<b>-131,041</b>	
Environmental Maintenance (Other Roads)	-70,557	-70,557	0		0	
Public Transport	29,302	34,302	-5,000		-5,000	Adv £5k shelter maintenance and repairs
Off-Street Parking	97,251	107,334	-10,083		-10,083	Adv professional fees £6.5k, utilities £3.5k
	<b>55,996</b>	<b>71,079</b>	<b>-15,083</b>	<b>0</b>	<b>-15,083</b>	

Local Land Charges	1,104	34,267	-33,163
Licensing	12,829	23,118	-10,289

<b>13,933</b>	<b>57,385</b>	<b>-43,452</b>
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Emergency Planning and Works	16,000	16,000	-0
Building Regulations	35,200	35,200	-0
Dealing with Development Control Applications	289,346	299,546	-10,200
Structure and Local Planning	309,335	280,885	28,450
Street Name & Numbering	-6,435	-6,435	0

<b>643,446</b>	<b>625,196</b>	<b>18,250</b>
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Grounds Maintenance	689,722	641,722	48,000
Street Cleansing (not chargeable to highways)	538,724	551,095	-12,372

<b>1,228,446</b>	<b>1,192,817</b>	<b>35,628</b>
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Household Waste Collection	1,600,066	<b>1,744,460</b>	<b>-144,394</b>
Trade Waste Collection	-98,559	<b>-135,946</b>	37387.6
Recycling	438,201	54,217	383,984
Direct Services Central Admin	352,455	<b>322,209</b>	<b>30,247</b>
Transport Services	844,878	<b>1,264,879</b>	<b>-420,000</b>

<b>3,137,042</b>	<b>3,249,818</b>	<b>-112,776</b>
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<b>6,225,154</b>	<b>6,529,616</b>	<b>-304,462</b>
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	-33,163	Fav pay £61.5; Adv agency £94.5k
	-10,289	Fav pay £8.3k, mileage £1k, Prof fees £3.7k, Computing maintenance £1.7k; Adv fees £25.5k

<b>0</b>	<b>-43,452</b>
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	-0	
	-0	
-10,200	-0	Fav Sals £123k, Scanning £4k, Income £335k, Adv Agency £421k, Advertising (jobs) £3k, Non staff advertising £3k
	28,450	Fav sals £30k, Adv advertising £2k
	0	

<b>-10,200</b>	<b>28,450</b>
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	48,000	Fav £58k salaries, £2k agency, adv £2k grass cutting fees, £10k equipment
	-12,372	Fav £77k salaries, adv £35k agency, £54k sweeper & gulley hire

<b>0</b>	<b>35,628</b>
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	-144,394	£42k salaries, £14k fees, £62k recycling disbursements, Adv £130k agency £132k hire of vehicle
	37,388	Fav £64k income, Adv £22k waste collections, £5k recycling disbursements
225,000	158,984	Fav £148k salaries, £275k hire of vehicles, £17k waste management, Adv £280k agency, £1.5k parking
	30,247	Fav £135k salaries, adv £105k agency
-62,000	-358,000	Fav £9k salaries, adv £9k agency, £2k petrol, £176k diesel, £12k oil grease, £230k spare parts

<b>163,000</b>	<b>-275,776</b>
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<b>66,835</b>	<b>-371,297</b>
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## HOUSING &amp; COMMUNITY SERVICES - BUDGET MONITORING SEPTEMBER 2022

## SUMMARY OF PERFORMANCE

	Full Year		
	Budget	Projected	Variance
	£	Actual	£
General Grants, Bequests & Donations	311,647	305,475	6,172
Community Centres	209,495	182,421	27,073
Community Safety (Crime Reduction)	132,948	171,831	-38,884
Defences Against Flooding	56,828	56,387	440
Market Undertakings	2,138	1,328	810
	<b>713,055</b>	<b>717,443</b>	<b>-4,388</b>

RESERVES		
	General	
	Fund	
	£	£
	6,172	Fav pay £3.5k, grants 2.5k
	27,073	Fav pay £32k (HOS vacant), car Allowances £1k, Utilities £1k, Training £0.5; Adv agency £5k, Fee income £2.5k
-38,884	0	
	440	
	810	Fav utilities £657, Fees £304; Adv prof fees £150
<b>-38,884</b>	<b>34,496</b>	

Arts Development & Support	15,040	13,029	2,012
Events Management	117,841	128,305	-10,464
Midway Community Centre	34,256	34,733	-477
Stenson Fields Community Centre	6,988	6,246	742
	<b>174,124</b>	<b>182,313</b>	<b>-8,188</b>

	2,012	Fav room hire £1.2k, tools & Equip £750, Prof Fees £4.3k, Printing £100; Adv income £2k, Equipment hire £1.7k, Advertising £650
	-10,464	Fav pay £5k, prof fees £1.4k; Adv tools & equipment £5.1k, civic functions £2k, sponsorship income £2.6k, fees £6.7k
	-477	Fav fee income £1.3k; Adv utilities £1.5k
	742	Fav fee income £2.5k, Cleaning £600, Licences £300; Adv trade waste £800k (extra bin), alarm maintenance £1.2k, utilities £700
<b>0</b>	<b>-8,188</b>	

Melbourne Assembly Rooms	32,460	32,421	38
Get Active in the Forest	31,977	28,421	3,556
Sports Development & Community Recreation	175,176	-98,714	273,890
Indoor Sports & Recreation Facilities	497,336	500,611	-3,275
Outdoor Sports & Recreation Facilities (SSP)	1,812	-54,712	56,524
Play schemes	20,278	14,157	6,122
	<b>759,040</b>	<b>422,185</b>	<b>336,855</b>

	38	
3,556	-0	
273,890	0	
	-3,275	Contributions £4.9k; Adv professional Fees £6.2k, TPP £1.9k
56,524	0	
6,122	-0	
<b>340,092</b>	<b>-3,237</b>	

Allotments	-799	1,173	-1,972
Rosliston Forestry Centre	298,611	261,980	36,631
Cemeteries	17,772	2,566	15,206
Closed Churchyards	7,608	7,608	-0
Parks and Open Spaces	321,958	406,561	-84,603

<b>645,149</b>	<b>679,888</b>	<b>-34,738</b>
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Housing Standards	95,809	95,809	-0
Housing Strategy	97,443	68,349	29,094
Administration of Renovation & Improvement Grants	54,036	54,037	-0
Bed / Breakfast Accomodation	6,500	-1,211	7,711
Pre-tenancy Services	221,716	72,729	148,987
Other Housing Support Costs (GF)	34,730	34,730	-0

<b>510,234</b>	<b>324,442</b>	<b>185,792</b>
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<b>2,801,603</b>	<b>2,326,270</b>	<b>475,333</b>
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	-1,972	Adv £2k Grounds maintenance
	36,631	Fav pay £18.k (dep manager), Repairs £24k (lease negotiations - minimal repairs), Refuse £1.6k, Tools & Equipment £4.1k, Car park Mach Maintenance £4k, Fees £30k; Adv £23.6k oil, £11k utilities, Contract Cleaning £9.2k
	15,206	Fav fees
	-0	
-84,603	0	

<b>-84,603</b>	<b>49,865</b>
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	-0	
	29,094	Fav Sal £29k
	-0	
7,711	0	Fav Income £27k, Adv Accommodation costs £20k
148,987	0	Fav Sal £22k, Subs, £3, Gov Grants £200k, Adv Agency £70k, advertising £1k, Grants £5k
	-0	

<b>156,698</b>	<b>29,094</b>
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<b>373,303</b>	<b>102,030</b>
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## SUMMARY OF PERFORMANCE

	Full Year			RESERVES		
	Budget £	Projected Actual £	Variance £	Earmarked £	General Fund £	
Business Change	104,155	86,761	17,394		17,394	Fav pay £15.5k, training £1.5k, materials £500
Digital Services	170,721	149,362	21,358		21,358	Fav pay £14.2k, Computing £1k, Advertising £1k, printing £4.6k
Caretaking	141,382	124,625	16,757		16,757	Fav pay £14.6k, DCC service Charge £6.8k; Adv car allowances £3.2k (not budgeted), void cleaning £600, advertising £600
Senior Management	458,875	494,876	-36,000		-36,000	Fav £51k salaries, £2k TPP, Adv £87k recruitment fees covering Head of Operational Services and Head of Cultural Services, Strategic Directors and Chief Exec, £2k for Head of Customer Services advertisement
Financial Services	397,668	317,667	80,000		80,000	Fav £14k salaries due to vacancies, £5k training, £4k subscriptions, £70k professional fees, adv £13k recruitment fees
Internal Audit	113,373	116,161	-2,788		-2,788	Adv £3k professional fees re CMAP Partnership Contribution
Merchant Banking Services	68,075	68,075	-0		-0	
ICT Support	758,293	749,266	9,026		9,026	Fav pay £2.8k, computing £4.5k, software £10k; Adv training £1k, Phones £7.6k
Legal Services	271,157	233,529	37,628		37,628	Fav pay £44.6k, Fees £6k, Training £2.5 Pro fees £700; Adv agency £16.8k
Performance & Policy	37,342	36,342	1,000		1,000	Fav training £1k
Personnel/HR	362,533	380,772	-18,239	-2,100	-16,139	Fav pay £18.3k; Adv Computer licences £28.5k, Medical fees £6.8k
Communications	79,545	74,696	4,849		4,848	Fav pay £3.8, General licences £1k
Customer Services	503,472	582,958	-79,485	-10,202	-69,283	Fav pay £7.9k, Computing £9.5k, Stationery £1.4k; Agency £52k, Postages £34.5k, Tools £1.3k
Health & Safety	57,776	64,878	-7,101		-7,101	Fav pay £4.3k; Adv prof fees £11.3k
Admin Offices & Depot	663,379	889,644	-226,265	-214,028	-12,237	Fav H&S £4k; Adv Utilities £13k, pay £2k, vehicle hire £800, Refuse £600
Protective Clothing	29,809	29,809	0		-0	
Procurement	12,349	12,349	0		0	
	<b>4,229,903</b>	<b>4,411,770</b>	<b>-181,866</b>	<b>-226,330</b>	<b>44,464</b>	

Democratic Representation & Management	86,899	86,388	511
Corporate Management	65,951	65,951	-0
Corporate Finance Management	37,969	35,915	2,054
Elected Members	373,625	367,786	5,839

<b>564,444</b>	<b>556,041</b>	<b>8,403</b>
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Registration of Electors	44,271	37,378	6,893
Conducting Elections	180,315	156,197	24,118

<b>224,586</b>	<b>193,575</b>	<b>31,011</b>
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Funded Pension Schemes	280,298	144,298	136,000
Increase/Decrease in Provision for Bad or Doubtful Debts (GF)	175,000	175,000	-0
Planning Agreements	0	726,325	-726,325
Parish Councils	434,765	434,765	0
Interest & Investment Income (GF)	-136,229	-411,155	274,926
IAS19 Pensions Adjustment (GF)	0	0	0
External Interest Payable (GF)	500	1,100	-600

<b>754,334</b>	<b>1,070,334</b>	<b>-316,000</b>
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Estate Management	-245,651	-286,002	40,351
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<b>-245,651</b>	<b>-286,002</b>	<b>40,351</b>
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Council Tax Collection	123,070	91,078	31,992
Non Domestic Rates Collection	-87,500	-86,223	-1,277
Revenues & Benefits Support & Management	347,343	355,083	-7,740
Rent Allowances Paid	37,005	37,005	0
Net cost of Rent Rebates Paid	80,882	80,882	0
Corporate Fraud	48,150	48,150	0
Housing Benefits Administration	153,931	32,096	121,836
Concessionary Fares	-9,600	-9,600	0

<b>693,280</b>	<b>548,470</b>	<b>144,811</b>
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<b>6,220,896</b>	<b>6,494,186</b>	<b>-273,289</b>
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511	Fav pay £30.2, refreshments £1.2k, subscriptions £1k; Adv agency £32k
-0	
2,054	Fav £7k Edgington Turnover Rent, Adv £5k audit fees
5,839	Fav tools & equip £2k, mileage £2.5k, public transport £500, refreshments £500

<b>0</b>	<b>8,403</b>
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6,893	Fav printing/stationery due to Canvas reform
24,118	Fav pay £20.2k, Tools R&M £4.3k; Adv maintenance agreements £500

<b>0</b>	<b>31,011</b>
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136,000	-0	Fav £136k enhanced pension - recharge lower than budget
-726,325	0	
	0	
	274,926	Fav £275k investment income
	0	
	-600	

<b>-590,325</b>	<b>274,325</b>
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40,351	Fav salaries £8k, Training £6.5k H&S £2k, Fees £28k; Adv utilities £5k
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<b>0</b>	<b>40,351</b>
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20,254	11,738	Fav sals £11k, New burdens £500
-1,277		Fav computing £1k; Adv professional £2.2k
-25,900	18,160	Fav salaries £26k vacant HOS, T&T Grant income £7k; Adv computing £13.6k, training £1.1k
	0	
	0	
	0	
85,536	36,300	Fav pay £16.8k (lower hours), benefits processing £24k (utilised towards restructure costs), £1.2k essential user; Adv Professional fees £6k
	0	

<b>79,890</b>	<b>64,921</b>
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<b>-693,138</b>	<b>463,476</b>
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<b>REPORT TO:</b>	<b>FINANCE AND MANAGEMENT COMMITTEE</b>	<b>AGENDA ITEM: 9</b>
<b>DATE OF MEETING:</b>	<b>24 NOVEMBER 2022</b>	<b>CATEGORY: DELEGATED</b>
<b>REPORT FROM:</b>	<b>STRATEGIC DIRECTOR (CORPORATE RESOURCES)</b>	<b>OPEN</b>
<b>MEMBERS' CONTACT POINT:</b>	<b>CHARLOTTE JACKSON</b> <a href="mailto:Charlotte.jackson@southderbyshire.gov.uk">Charlotte.jackson@southderbyshire.gov.uk</a>	<b>DOC:</b> s/finance/committee/2022-23/August
<b>SUBJECT:</b>	<b>HOUSING REVENUE ACCOUNT REVENUE FINANCIAL MONITORING 2022/23</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 2022/23 as detailed in the report is considered and approved.
- 1.2 That an additional £23,000 costs for an options appraisal of Smallthorn Place is approved in the Medium-Term Financial Plan (MTFP).

## **2.0 Purpose of the Report**

- 2.1 To provide an update on performance against budget for 2022/23.
- 2.2 The report details performance up to 30 September 2022 unless otherwise stated and is an update of income and expenditure for 2022/23.
- 2.3 The report covers the Housing Revenue Account (HRA) income and expenditure, and an update to the MTFP.

## **3.0 Detail**

- 3.1 The Council is required to account separately for income and expenditure in providing Council housing.
- 3.2 The Base Budget approved in February 2022 for the HRA was set with an estimated deficit of £1.6m. As reported in August, the Medium-Term Financial Plan (MTFP) was updated due to a review of contingent sums. A further update has now been made to include the additional provision for the pay award 2022/23 (£102,000) costs of an options appraisal of Smallthorn Place, and additional income from the Councils investment portfolio. The estimated deficit has now reduced to £1.5m.
- 3.3 An update to the HRA's financial position is included in the revised MTFP attached in **Appendix 1**. This shows that the HRA's General Reserve balance reduces over the first five years of the ten-year plan due to scheduled debt repayment.

- 3.4 Large deficits are due to be funded from the reserve with the lowest point being reached in 2026/27 where the estimated reserve falls to £2.m. This is greater than the statutory minimum set for the HRA of £1m but does not leave a big contingency for any unforeseen issues.
- 3.5 The biggest pressure on the HRA is the increase in the pay award for 2022/23. Negotiations have concluded, with the agreed increase above the Council's prediction of 5%. Having awarded a flat rate over all pay scales the average increase is 7.74%. There is current uncertainty around the Government's plans for future Public Sector pay increases. In anticipation of announcements from Government it is prudent to not make any adjustments to the 3.5% increases provided for over the medium term.

3.1

### Position as at 30<sup>th</sup> September 2022

#### HRA SUMMARY BY AREA - BUDGET MONITORING SEPTEMBER 2022

	ANNUAL			RESERVES	
	Full Year	Projected	Projected	Earmarked	Net effect
	Budget £	Actual £	Variance £		on HRA £
Rent and Rechargeable Repairs	-12,988,798	-12,587,193	-401,605	0	-401,605
Repairs and Maintenance	3,467,579	3,705,622	-238,042	0	-238,042
Managing Tenancies	2,058,165	2,159,263	-101,098	-30,000	-71,098
Supported Housing	620,735	596,353	24,382	0	24,382
Interest Payable and Receivable	1,456,005	1,194,943	261,062	0	261,062
Capital and Debt Repayment	4,172,313	4,172,313	0	0	0
Bad Debt Provision	125,000	125,000	0	0	0
Contingent Sums	2,817,416	2,817,416	0	0	0
IAS19 Pensions Adjustment (HRA)	0	0	0	0	0
Other Operating Income & Expenditure (HRA)	0	0	0	0	0
	<b>1,728,416</b>	<b>2,183,717</b>	<b>-455,301</b>	<b>-30,000</b>	<b>-425,301</b>

- 3.2 The above table shows that overall, the HRA is expected to have a deficit of £2.1m which is a higher deficit than budgeted. The greatest variance is the loss of rental income from void properties. The main reasons for the variances are detailed below.

#### HRA VARIANCE TO BUDGET September '22

	£'000
Salary savings (vacancies, maternity etc.)	308
Interest Income and Expenditure	260
Additional Careline Income	57
Insurance	25
Contract Cleaning	12
Car Allowances	4
Advertising	-1
Rechargeable Repairs	-8
Materials	-10
Professional fees - Planned & Responsive	-31
Computing	-21
Utilities	-48

Council tax	-52
Agency and Consultancy Staff	-503
Reduced Rent due to Void Dwellings	-417
<b>TOTAL - OVERALL PROJECTED VARIANCE</b>	<b>-425</b>

- 3.3 Expected salary savings in year relate to vacancies but the cost of agency staff is currently greater. The Repairs and Maintenance Department has the highest level of Agency staff which is reflective in the outturn position.
- 3.4 Investment income continues to perform well due to the increases in the Bank of England base rate. Temporary loan percentages have at least doubled in recent months, as previously dealt temporary loans repay, new market rates offered for reinvestment are producing a significantly higher yield. The outturn prediction is prudently based on interest rates levelling off and has potential to exceed the £260k favourable variance.
- 3.5 Without this, the HRA would be in a far worse position given the reduction in rental income (see below).
- 3.6 Further information is detailed in the Treasury Monitoring Report.
- 3.7 A lower cost than budgeted for insurance relates to no longer administering the tenants' contents insurance, this is offset within the loss of income, along with a small commission loss for no longer providing the service.
- 3.8 Additional Care Line income is due to the unbudgeted receipt of the continued contribution from County Council of £10.40 per user.

### **Rental Income**

- 3.9 Rental income is lower in year due to the average level of voids which is currently around 100 properties per month, together with the time being taken to relet voids, which on average currently stands at 183 days. The loss forecast is currently based on voids remaining at this level throughout the year but may not be sustainable beyond this in the medium-term.
- 3.10 Right to Buy losses have totalled 4 during the second quarter which is on budget. However, the first quarter was below budget therefore this offsets income losses. Right to Buy is a significant risk to the HRA and although with the economic uncertainty enquiries have slowed down, there has been a significant increase in the second quarter compared to earlier in the year.

### **Other Variances**

- 3.11 Other variances are also related to the voids issue. Firstly, Council Tax charges, show an adverse variance which is forecasted in line with the current property numbers and length of time vacant.
- 3.12 The second quarter prediction on utilities has increased due to the rising costs of gas and electricity charges on the prepayment meters. The meters are incurring additional debt repayments due to a rise in standing charges on void properties. Also, an historical charge of £13k was incurred adding to the overall variance for the year.
- 3.13 Computing relates to the Orchard upgrade and is provided for within the MTFP as approved in April 2021.
- 3.14 The fire alarm and emergency light testing is now being undertaken by Careline staff, £20k of the adverse variance relates to the testing being carried out by an external

contractor. However, this is on a trial basis, pending a longer-term solution. The additional increase in professional fees relate to Housing Ombudsman charges doubling and the use of Consultancy for the Housing Rental system.

3.15 The HRA's 10-year MTFP is shown in Appendix 1.

### **Risk Areas**

#### **Vacancies**

3.16 As with the General Fund, there are a number of vacant posts within the HRA especially in the repair and maintenance area, that pose a risk to the financial position due to the added cost of agency and support.

3.17 Risks to the shortage of available candidates and also market salaries are present, and the Head of Housing is keeping this issue under review.

3.18 The Project Officer Roles have been evaluated and recruitment is in progress, with the results yielding a more competitive salary, applications are unknown at present. In the meantime, recruitment is being sought through agency.

#### **Careline**

3.19 Derbyshire County Council has now informed the Council that there will no longer be any funding available for the service managed by the Council after March 2023 although a one-year extension of these contracts has been proposed but not yet confirmed.

3.20 A working group including all districts and the County Council has been set up to determine next steps and hopefully mitigate losses for all parties.

3.21 Another potential risk to the HRA for the Careline service is the transfer to digital from analogue. Costs of changes are under review and funds are being secured from the Better Care Fund to help with the costs for private sector customers.

3.22 The Head of Housing will report progress and any potential changes to the current Careline service to Housing and Community Services Committee at a future meeting.

### **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**

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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 within the Plan.

## **Risk Impact**

5.4 As detailed in the Report.

## **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.

## HOUSING REVENUE ACCOUNT FINANCIAL PROJECTION - NOVEMBER 2022

	2022.23	2023.24	2024.25	2025.26	2026.27	2027.28	2028.29	2029.30	2030.31	2031.32	2032.33
	Proposed Budget £'000	Forecast £'000	Forecast £'000	Forecast £'000	Forecast £'000	Forecast £'000	Forecast £'000	Forecast £'000	Forecast £'000	Forecast £'000	Forecast £'000
<b>INCOME</b>											
Rental Income	-12,893	-13,124	-13,433	-13,749	-14,073	-14,403	-14,740	-15,085	-15,437	-15,797	-16,184
Non-Dwelling Income	-124	-127	-130	-133	-137	-140	-144	-148	-151	-155	-159
Supporting People Grant	-130	0	0	0	0	0	0	0	0	0	0
Other Income	-177	-177	-177	-177	-177	-177	-177	-177	-177	-177	-177
<b>Total Income</b>	<b>-13,324</b>	<b>-13,428</b>	<b>-13,740</b>	<b>-14,059</b>	<b>-14,387</b>	<b>-14,720</b>	<b>-15,061</b>	<b>-15,410</b>	<b>-15,765</b>	<b>-16,129</b>	<b>-16,520</b>
<b>EXPENDITURE</b>											
General Management	2,065	2,098	2,145	2,192	2,241	2,291	2,342	2,394	2,447	2,502	2,558
Supporting People	908	925	950	976	1,004	1,032	1,062	1,094	1,126	1,161	1,197
Responsive	1,678	1,714	1,755	1,797	1,840	1,884	1,928	1,974	2,021	2,070	2,120
Planned Maintenance	1,790	1,828	1,873	1,918	1,965	2,013	2,062	2,113	2,164	2,217	2,271
Bad Debt Provision	125	131	134	137	140	144	147	150	154	158	161
Interest Payable & Receivable	1,456	1,456	1,186	1,186	1,186	885	886	886	886	886	556
Depreciation	4,213	4,504	4,481	4,458	4,435	4,413	4,390	4,368	4,345	4,323	4,301
<b>Net Operating Income</b>	<b>-1,089</b>	<b>-772</b>	<b>-1,216</b>	<b>-1,395</b>	<b>-1,576</b>	<b>-2,058</b>	<b>-2,244</b>	<b>-2,431</b>	<b>-2,622</b>	<b>-2,812</b>	<b>-3,356</b>
<b>Known variations:</b>											
Reversal of Depreciation	-4,213	-4,504	-4,481	-4,458	-4,435	-4,413	-4,390	-4,368	-4,345	-4,323	-4,301
Capital Expenditure	1,620	1,433	1,877	1,916	1,847	2,182	2,261	2,489	2,403	1,805	2,301
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	1,593	2,221	1,704	1,642	2,038	1,281	1,179	979	1,042	1,618	1,100
Major Repairs Reserve	600	550	600	600	250	650	650	600	600	600	600
Asset Replacement Earmarked Reserve	45	45	45	45	45	45	45	45	45	50	50

## HOUSING REVENUE ACCOUNT FINANCIAL PROJECTION - NOVEMBER 2022

	2022.23	2023.24	2024.25	2025.26	2026.27	2027.28	2028.29	2029.30	2030.31	2031.32	2032.33
	Forecast £'000	Forecast £'000	Forecast £'000	Forecast £'000	Forecast £'000	Forecast £'000	Forecast £'000	Forecast £'000	Forecast £'000	Forecast £'000	Forecast £'000
Additional Debt Repayment Transfer	2,500	2,100	1,500	1,300	1,850	750	750	750	1,000	800	1,000
Investment Income	-313	0	0	0	0	0	0	0	0	0	0
Capital works non-traditional properties	100	0	0	0	0	0	0	0	0	0	0



Options Appraisal Smallthorne Place	23	0	0	0	0	0	0	0	0	0	0
Potential Pay Award	151	55	56	57	59	60	62	62	58	59	60
ICT Upgrades	30	30	30	30	0	0	200	0	0	0	82
Rent Loss Provision	65	66	68	69	71	73	74	76	78	80	0
Incremental Salary Increases	0	5	5	5	5	6	6	6	6	6	6
<b>HRA Surplus (-) / Deficit</b>	<b>1,511</b>	<b>1,628</b>	<b>587</b>	<b>212</b>	<b>554</b>	<b>-1,024</b>	<b>-1,008</b>	<b>-1,393</b>	<b>-1,336</b>	<b>-1,718</b>	<b>-2,059</b>

#### HRA General Reserve

HRA Reserve B/fwd	-6,494	-4,984	-3,355	-2,768	-2,556	-2,002	-3,026	-4,033	-5,426	-6,762	-8,480
(Surplus) / Deficit for year	1,511	1,628	587	212	554	-1,024	-1,008	-1,393	-1,336	-1,718	-2,059
<b>HRA Reserve C/fwd</b>	<b>-4,984</b>	<b>-3,355</b>	<b>-2,768</b>	<b>-2,556</b>	<b>-2,002</b>	<b>-3,026</b>	<b>-4,033</b>	<b>-5,426</b>	<b>-6,762</b>	<b>-8,480</b>	<b>-10,538</b>

#### RESERVES

##### Debt Repayment Reserve

Balance B/fwd	-1,600	-5,693	-14	-3,218	-6,160	-48	-2,079	-4,008	-5,737	-7,779	-197
Depreciation balance	-1,593	-2,221	-1,704	-1,642	-2,038	-1,281	-1,179	-979	-1,042	-1,618	-1,100
Transfers to reserve	-2,500	-2,100	-1,500	-1,300	-1,850	-750	-750	-750	-1,000	-800	-1,000
Repayment of loan	0	10,000	0	0	10,000	0	0	0	0	10,000	0
<b>Reserve C/fwd</b>	<b>-5,693</b>	<b>-14</b>	<b>-3,218</b>	<b>-6,160</b>	<b>-48</b>	<b>-2,079</b>	<b>-4,008</b>	<b>-5,737</b>	<b>-7,779</b>	<b>-197</b>	<b>-2,297</b>

##### Earmarked Reserve

Balance B/fwd	-401	-298	-298	-73	-118	-163	-208	-253	-298	-63	-113
Vehicle Replacement Transfer to Reserve	-45	-45	-45	-45	-45	-45	-45	-45	-45	-50	-50
Software Upgrade	148	45	0	0	0	0	0	0	0	0	0
Asset Replacement	0	0	270	0	0	0	0	0	280	0	0
<b>Reserve C/fwd</b>	<b>-298</b>	<b>-298</b>	<b>-73</b>	<b>-118</b>	<b>-163</b>	<b>-208</b>	<b>-253</b>	<b>-298</b>	<b>-63</b>	<b>-113</b>	<b>-163</b>

## HOUSING REVENUE ACCOUNT FINANCIAL PROJECTION - NOVEMBER 2022

	2022.23	2023.24	2024.25	2025.26	2026.27	2027.28	2028.29	2029.30	2030.31	2031.32	2032.33
	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000
<b>Major Repairs Reserve</b>											
Balance B/fwd	-4,457	-5,992	-6,542	-7,142	-7,742	-7,992	-8,642	-9,292	-9,892	-10,492	-11,092
Transfers to reserve	-600	-550	-600	-600	-250	-650	-650	-600	-600	-600	-600
Earmarked non-traditional properties	-100	0	0	0	0	0	0	0	0	0	0
<b>Reserve C/fwd</b>	<b>-5,157</b>	<b>-6,542</b>	<b>-7,142</b>	<b>-7,742</b>	<b>-7,992</b>	<b>-8,642</b>	<b>-9,292</b>	<b>-9,892</b>	<b>-10,492</b>	<b>-11,092</b>	<b>-11,692</b>
<b>New Build Reserve</b>											
Capital Receipts B/fwd	-2,935	-3,376	-3,991	-4,602	-5,214	-5,826	-6,437	-7,049	-7,660	-8,272	-8,884

Acquisitions in year	280	0	0	0	0	0	0	0	0	0	0
RTB Receipts in year	-721	-615	-612	-612	-612	-612	-612	-612	-612	-612	-612
Borrowing in year	0	0	0	0	0	0	0	0	0	0	0
<b>Balance c/fwd</b>	<b>-3,376</b>	<b>-3,991</b>	<b>-4,602</b>	<b>-5,214</b>	<b>-5,826</b>	<b>-6,437</b>	<b>-7,049</b>	<b>-7,660</b>	<b>-8,272</b>	<b>-8,884</b>	<b>-9,495</b>



<b>REPORT TO:</b>	<b>FINANCE AND MANAGEMENT COMMITTEE</b>	<b>AGENDA ITEM: 10</b>
<b>DATE OF MEETING:</b>	<b>24 NOVEMBER 2022</b>	<b>CATEGORY: DELEGATED</b>
<b>REPORT FROM:</b>	<b>STRATEGIC DIRECTOR (CORPORATE RESOURCES)</b>	<b>OPEN</b>
<b>MEMBERS' CONTACT POINT:</b>	<b>CHARLOTTE JACKSON</b> <a href="mailto:Charlotte.jackson@southderbyshire.gov.uk">Charlotte.jackson@southderbyshire.gov.uk</a>	<b>DOC:</b> s/Finance/Committee/2022-23/November
<b>SUBJECT:</b>	<b>COLLECTION FUND 2022-23</b>	
<b>WARD(S) AFFECTED:</b>	<b>ALL</b>	<b>TERMS OF REFERENCE: FM08</b>

## **1.0 Recommendations**

- 1.1 That the latest Collection Fund position as detailed in the report is considered and approved.

## **2.0 Purpose of the Report**

- 2.1 To provide an update on performance of the Collection Fund against the approved budget for quarter two of 2022/23.
- 2.2 The detail included within the report is at 30<sup>th</sup> September 2022 unless otherwise stated.

## **3.0 Detail**

- 3.1 The Collection Fund is a statutory requirement that accounts separately for the Council Tax and National Non-Domestic Rates (NNDR) collected by the Council.
- 3.2 The Council is classed as a Billing Authority for both Council Tax and NNDR and is responsible for distributing charges to residents and businesses located within the district annually.
- 3.3 Estimates of expected income generated from taxation charges are reported annually to the Government as part of the Council Tax Base and NNDR1 returns.
- 3.4 The returns are used to determine the precept due in the following financial year to the Preceptors and the Council's share is reported to the Committee as part of the budget round in February.
- 3.5 Any surplus or deficit generated on the Fund during the previous financial year is allocated to the relevant Preceptor as part of the annual forecast reporting.

## **Council Tax**

- 3.6 Council Tax was introduced on 1 April 1993 and each residential property is allocated a band according to their open market value at 1 April 1991. Detail of the bands is listed below.

<b>Band</b>	<b>Between</b>	
A	£0	£40,000
B	£40,001	£52,000
C	£52,001	£68,000
D	£68,001	£88,000
E	£88,001	£120,000
F	£120,001	£160,000
G	£160,001	£320,000
H	£320,001	and above

- 3.7 The amount of Council Tax payable by an individual household is calculated using the band allocation less deductions for national and local exemptions.
- 3.8 As part of the forecast for the following years precepts, the Council is required to calculate estimated chargeable dwellings, revised for estimated exemptions as noted above. An average Band D equivalent tax base is then determined and is used as the basis for the Council Tax setting by each of the Preceptors, including the Council.
- 3.9 The precept for each Preceptor is calculated using the estimated tax base multiplied by the Band D value. The Band D is reported annually to Full Council as part of the Council Tax Settling report. This report details out the approved Band D for each of the Preceptors and the demand on the Collection Fund in the following year.
- 3.10 The approved Band D and precept demands as set in March 2022 for 2022/23 are included as a reminder in the following table.

<b>Preceptor</b>	<b>Band D £</b>	<b>Precept £</b>
South Derbyshire District Council	172.91	6,346,143
Derbyshire County Council	1,424.56	52,284,201
Police and Crime Commissioner	251.6	9,234,223
Derbyshire Fire and Rescue Service	80.84	2,966,990
<b>TOTAL</b>	<b>1,929.91</b>	<b>70,831,557</b>

- 3.11 Parish Councils are also able to make a demand on the Collection Fund and this is approved as part of the Council Tax Setting report. The demand for Parishes in 2022/23 is £986,564.
- 3.12 The Council's forecast of collectable income for Council Tax in 2022/23 and the projected outturn for the year is summarised below with further detail included in **Appendix 1**.

	Forecast £'000	Q2 Projected £'000	Variance £'000
Council Tax Collectable	72,882	73,211	329
Expenditure	-72,838	-72,843	-5
<b>Estimated Surplus / (Deficit)</b>	<b>44</b>	<b>368</b>	<b>324</b>

3.13 Growth of the tax base during the year over and above that forecast is resulting in an expected increase in income. The number of chargeable dwellings included in the forecast was 47,637 with an average Band D equivalent number of 36,702. The actual chargeable dwellings at 30<sup>th</sup> September was 48,158, an increase of 521 with a Band D equivalent of 37,663 an increase of 961.

3.14 A surplus payment to the Preceptors of ££2 million was approved in January 2022 as part of the budget round for 2022/23 and is detailed below.

	£
Derbyshire County Council	1,457,172
Police and Crime Commissioner	254,544
Derbyshire Fire and Rescue	83,517
South Derbyshire District Council	204,767
	<b>2,000,000</b>

3.15 The surplus payment was a forecast of expected outturn for the year-end. The balance plus any estimate for 2022/23 will be approved as part of the budget round and paid to Preceptors in 2023/24. Based on the current anticipated surplus for the year plus the balance remaining in the Collection Fund Account, the payment in 2023/24 is expected to be approximately £1 million to be split between the Preceptors.

## **NNDR**

### **Background**

3.16 Taxation to fund local services has been in existence for over 50 years but under the Local Government Finance Act 1988, a consistent administrative assessment from 1 April 1990 in England and Wales was introduced in relation to property taxes.

3.17 The Valuation Office Agency (VOA) is responsible for setting the rateable value of business premises which is the average rental that could be achieved per annum at a fixed valuation date using assumptions set by statute.

3.18 A business within the district is charged annually by the Council based on the rateable value set by the VOA multiplied by the non-domestic rating multiplier which is set by the Government.

3.19 The chargeable amount can be altered with mandatory and discretionary reliefs and the overall rateable value can also be challenged and appealed by a business.

3.20 The retention of business rates for local authorities changed significantly on 1 April 2013. Prior to this date, business rates were collected by authorities and paid over to the Government, and this was the distribution across the country by a set formula.

- 3.21 The introduction of a new funding system provided a direct financial incentive for authorities to work with local businesses to create a favourable environment for growth, but this also added more risk as bad debts, business failures and appeals are now partially borne by the authority.
- 3.22 Under the new system, a Start-up Funding Assessment was determined for each authority which reviewed the income required to fund services. The assessment set out a Baseline Need and this was split between Revenue Support Grant (RSG) and business rates.
- 3.23 To fund the Baseline Need, local authorities each had an expected level of business rates to be collected which was referred to as the NDR Baseline. For authorities with a Baseline Need that is higher than their NDR Baseline, a Top Up grant would be required. When the Baseline Need is lower than the NDR Baseline, a Tariff is payable by the authority. The Council pays a Tariff of over £6m per annum.
- 3.24 Authorities that collect a higher level of income than their NDR Baseline are rewarded through the scheme as they are able to keep a proportion of the growth. Where there is growth above the Baseline however, a levy becomes payable to the Government.
- 3.25 Where an authority does not achieve its allocated NDR Baseline, a safety net system was also introduced to ensure that income achieved below 92.5% of the Baseline would be reimbursed centrally. The first 7.5% would need to be covered locally. The safety net is funded by the levy noted in 3.24.
- 3.26 Authorities were able under the new scheme to combine into a Pool to retain more of the business rates income locally. All Top Up and Tariff allocations are combined as part of the Pool and one levy rate and safety net rate is then applied to any income growth/loss in the Pool.
- 3.27 The Council joined the Derbyshire Business rates Pool in 2015/16 after approval at the Committee in October 2014. The Council contributes to the Pool annually due to the growth above the Baseline, but the contribution is far lower than the levy imposed by the Government had the Pool not been in existence.

### **Local Performance**

- 3.28 Through the Collection Fund Account, precepts are paid to the Government (50%), Derbyshire County Council (9%), Derbyshire Fire and Rescue (1%) and South Derbyshire District Council (40%). The Council also has to fund the Tariff noted above which reduces the actual income retained to approximately 15%.
- 3.29 The NNDR1 return is completed in January each year, and this provides the forecasted income for the following financial year for all Preceptors. Within the return the surplus or deficit from the previous financial year is split between the Preceptors and paid/recovered as part of the precept payment. A summary of the return for 2022/23 is included below.



	Precept £	Deficit £	Total £
South Derbyshire District Council	10,838,722	-1,856,262	8,982,460
Central Government	13,548,403	-2,320,328	11,228,075
Derbyshire County Council	2,438,712	-417,659	2,021,053
Derbyshire Fire and Rescue	270,968	-46,407	224,561
	<b>27,096,805</b>	<b>-4,640,656</b>	<b>22,456,149</b>

3.30 The forecast collectable income as per the NNDR1 return versus the actual performance for quarter 2 is summarised below with further detail included in **Appendix 1**.

	Forecast £'000	Q2 Projected £'000	Variance £'000
NNDR Income (incl. Relief)	27,386	27,228	-158
Expenditure	-27,985	-27,981	4
<b>Estimated Surplus / (Deficit)</b>	<b>-599</b>	<b>-754</b>	<b>-155</b>

3.31 As a result of the pandemic reduced income and increased bad debt and appeals provisions caused a large deficit of £9.2m on the Fund in 2020/21. It was legislated to spread any deficit on the Fund over a three-year period to ensure that all Preceptors had a longer time frame to cover the loss in income.

3.32 Further reliefs were distributed to the Council from the Government to help mitigate losses on the Fund. It is expected that a deficit will be seen again in year, but it is still unknown to what degree. Although it is not expected to be the same magnitude as seen previous years. The Council had additional section 31 grants during 2021/22 which have been earmarked for future income losses.

3.33 The Council set-aside £3.2m in 2020/21 to help mitigate the losses from business rates on the General Fund. This will be drawn down over a three-year period in line with the spreading of the deficit. At the year-end £2.1m was drawn down, and it is estimated that £375k will be drawn down in 2022/23.

## **4.0 Financial Implications**

4.1 Included within the report.

## **5.0 Corporate Implications**

### **Employment Implications**

5.1 None.

### **Legal Implications**

5.2 None.

### **Corporate Plan Implications**

- 5.3 The ability to achieve all Corporate Plan objectives is dependent upon the financial sustainability of the Council.

**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.

## COLLECTION FUND MONITORING 2022/23 (as at 30 September 2022)

	Actual 2021/22	Estimated 2022/23	Qtr 2 Projection 2022/23	Notes
<b>COUNCIL TAX - INCOME &amp; EXPENDITURE</b>	£'000	£'000	£'000	
<b>INCOME</b>				
Council Tax Collectable	69,412	72,882	73,211	Est. Increase in Tax Base and Precepts at 5%

<b>EXPENDITURE</b>				
County Council Precept	48,709	52,284	52,284	As approved by Full Council 1 Mar 2021
Police and Crime Commissioner Precept	8,509	9,234	9,234	As above
Fire and Rescue Authority Precept	2,792	2,967	2,967	As above
SDDC Precept	5,915	6,346	6,346	As above
SDDC Parish Precepts	929	987	987	As above
Increase in Bad Debts Provision	933	1,020	1,025	Estimated at 2% of income
<b>Total Expenditure</b>	<b>67,786</b>	<b>72,838</b>	<b>72,843</b>	
<b>Surplus for the Year</b>	<b>1,626</b>	<b>44</b>	<b>368</b>	

<b>COUNCIL TAX BALANCE</b>				
Opening Balance 1 April	2,617	3,043	3,043	Per Final Accounts 2021/22
Share of Previous Surplus to County Council	-881	-1,457	-1,457	As approved by Full Council 14 Jan 2022
Share of Previous Surplus to Police	-144	-255	-255	As above
Share of Previous Surplus to Fire Authority	-51	-84	-84	As above
Share of Previous Surplus to SDDC	-124	-205	-205	As above
Surplus for Year (as above)	1,626	44	368	

Closing Balance as at 31 March

3,043

1,087

1,411

**BUSINESS RATES - INCOME & EXPENDITURE**  
**INCOME**

Actual  
2021/22

£'000

Estimated  
2022/23

£'000

Qtr 2  
Projection  
2022/23

£'000

Business Rates Collectable	24,474	27,097	26,939
Transitional Protection Payments	263	289	289
<b>Total Income</b>	<b>24,738</b>	<b>27,386</b>	<b>27,228</b>

Estimate as per NNDR1

**EXPENDITURE**

Central Government Precept	13,927	13,548	13,548
SDDC Precept	11,142	10,839	10,839
Derbyshire County Council Precept	2,507	2,439	2,439
Fire and Rescue Service Precept	279	271	271
Cost of Collection	94	97	97
Increase in Bad Debts Provision	107	249	249
Provision for Appeals	-708	542	539

Per NNDR1 Submission

As above

As above

As above

Estimated using debtor position at 31 Dec 22

Estimated using appeals list at 31 Dec 22

<b>Total Expenditure</b>	<b>27,348</b>	<b>27,985</b>	<b>27,981</b>
<b>Surplus / Deficit (-)</b>	<b>-2,610</b>	<b>-599</b>	<b>-754</b>

**BUSINESS RATES BALANCE**

Opening Balance 1 April	-8,157	-4,864	-4,864
Prior Year Share of Surplus (-) / Deficit to Government	2952	2,320	2,320
Prior Year Share of Surplus (-) / Deficit to SDDC	2361	1,856	1,856

Per Final Accounts 2021/22

Per NNDR1 Submission

As above

Prior Year Share of Surplus (-) / Deficit to County	531	418	418	As above
Prior Year Share of Surplus (-) / Deficit to Fire	59	46	46	As above
Surplus / Deficit (-) for the Year as above	-2,610	-599	-754	
<b>Closing Balance as at 31 March</b>	<b>-4,864</b>	<b>-822</b>	<b>-977</b>	

<b>REPORT TO:</b>	<b>FINANCE AND MANAGEMENT COMMITTEE</b>	<b>AGENDA ITEM: 11</b>
<b>DATE OF MEETING:</b>	<b>24 NOVEMBER 2022</b>	<b>CATEGORY: DELEGATED</b>
<b>REPORT FROM:</b>	<b>STRATEGIC DIRECTOR (CORPORATE RESOURCES)</b>	<b>OPEN</b>
<b>MEMBERS' CONTACT POINT:</b>	<b>CHARLOTTE JACKSON</b> <a href="mailto:charlotte.jackson@southderbyshire.gov.uk">charlotte.jackson@southderbyshire.gov.uk</a>	<b>DOC:</b> s/finance/committee/2022-23/November
<b>SUBJECT:</b>	<b>CAPITAL FINANCIAL MONITORING 2022-23</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 2022/23 as detailed in the report is considered and approved.
- 1.2 That the balance of S106 available for use by the Council for capital projects as detailed in Appendix 2 is noted.

## **2.0 Purpose of the Report**

- 2.1 To provide an update on performance against the budget for 2022/23.
- 2.2 The report details performance of both the HRA and General Fund up to 30 September 2022 unless otherwise stated and is an update of capital project progress for 2022/23.

## **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 2022/23 was approved in February 2022 and has been updated following the outturn for 2021/22 to reflect the carry forward of income and expenditure for incomplete projects.

- 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 2022

	EXPENDITURE		
	Actual £	Budget £	Variance £
Major Improvements	973,285	2,320,000	1,346,715
Disabled Adaptations	126,646	300,000	173,354
New Build and Acquisition	0	280,000	280,000
<b>TOTAL HRA</b>	<b>1,099,931</b>	<b>2,900,000</b>	<b>1,800,069</b>
Private Sector Housing	407,240	1,330,471	923,231
Environmental Services	264,069	420,000	155,931
Community Projects	502,276	3,023,003	2,520,727
Vehicle Replacements	200,345	0	-200,345
ICT Strategy	8,560	160,000	151,441
Asset Replacement and Renewal	69,513	479,465	409,952
<b>TOTAL GENERAL FUND</b>	<b>1,452,003</b>	<b>5,412,939</b>	<b>3,960,936</b>
<b>TOTAL CAPITAL EXPENDITURE</b>	<b>2,551,934</b>	<b>8,312,939</b>	<b>5,761,005</b>

	FUNDING		
	Actual £	Budget £	Variance £
Section 106	9,720	1,038,440	1,028,720
Grants	671,309	1,700,471	1,029,162
HRA	1,099,931	2,620,000	1,520,069
New Build Capital Reserve	0	280,000	280,000
General Fund	66,328	581,188	514,860
Capital Receipts	319,980	1,799,354	1,479,374
Earmarked Reserves	384,665	293,486	-91,179
<b>TOTAL FUNDING</b>	<b>2,551,934</b>	<b>8,312,939</b>	<b>5,761,005</b>

### HRA Capital

- 3.6 Detail of the planned expenditure for both revenue and capital is under review and will be reported to Housing and Community Services Committee. The expenditure is expected to be on budget for the year. Progress will be updated quarterly.
- 3.7 Disabled adaptations of Council housing are scheduled and expected to be on budget by the year-end.
- 3.8 The budget for new build and acquisition schemes consists of acquisitions of properties in Newhall.
- 3.9 Acquisitions in Newhall are due to complete in 2022/23 and no expenditure has yet been incurred.

## **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. Carry forwards of underspent budgets are made at the year-end to ensure sufficient allocation for any increase in the pipeline. Work is underway to secure additional contractor capacity to complete works and speed up the current specification process for adaptations.
- 3.11 A list of projects is reported within this Committee with an update to the budget and allocation of a proportion of the accumulated underspend.

### **Leisure and Community Schemes**

- 3.12 The Community Partnership Scheme has reported the recent grant allocations to the Housing and Community Services Committee on the 17<sup>th</sup> November. The recent allocations will leave a small underspend of £7,550 to be allocated prior to March 2023.
- 3.13 All of the remaining projects in this area were approved as part of the Capital Bidding round in October 2020. Some projects were progressed during 2021/22 with some budgets carried forward into 2022/23. It is unlikely that all of the projects will be complete during 2022/23 and a revision to the profile of the budgeted expenditure may be required later in the year.

### **Environmental Projects**

- 3.14 A sum of £50,000 has been received to aid SDDC and the wider District reduce its carbon emissions. The funding is to cover the purchase of e-bikes, building surveys and EV infrastructure. A review of requirements is being carried out and an updated plan on how the funding will be spent will be reported in the future.
- 3.15 The Green Homes LAD 2 has now completed with £440,838 spent with the surplus from the grant total (£463,250) returned to the Government. The Council has secured further funding LAD 3 (£374,000) and HUG 1 (£840,800) with allocations of 54 properties in the pipeline, full spend is predicted on the additional funding received.

### **Vehicle Replacements**

- 3.16 There has been delays in procurement of vehicles over the last financial year, the Gully Cleaner has now been delivered. A second-hand refuse vehicle has also been purchased. The budget for vehicle replacement is under review by the new Head of Operational Services, the review will need to assess the recently purchased older vehicles and the rising repairs required to the current fleet.

### **Asset Disposals and Refurbishment**

- 3.17 A General Fund contribution of £87k is set-aside each year to fund refurbishment and maintenance of Public Buildings. Following condition surveys, a Planned Maintenance Programme has been designed. Over the next two financial years £300k is likely to be spent utilising the remaining reserve balance.



- 3.18 In respect of specific capital projects, the main expenditure being incurred in year is for the demolition and refurbishment works in the Town Centre and works on Melbourne Assembly Rooms both approved as part of the Capital Bidding Round.

### **IT Strategy**

- 3.19 Following approval of an IT Strategy, sums are being set-aside annually to fund new equipment and software.
- 3.20 A three-year planning cycle for replacements of equipment is in place and any overspends, or underspends will either require a drawdown from earmarked reserves or a contribution. The budget is expected to be fully spent in year.

## **4.0 Capital Reserves**

- 4.1 The capital reserve balances for the General Fund and HRA as at the 31 March 2022 are listed below.

	£
New Build and Acquisition Reserve	2,942,475
Major Repairs Reserve	4,457,348
Debt Repayment Reserve	1,600,000
<b>HRA Capital Reserves</b>	<b>8,999,823</b>
Capital Receipts Reserve	2,707,657
<b>General Fund Capital Reserves</b>	<b>2,707,657</b>
<b>Total Capital Reserves</b>	<b>11,707,480</b>

### **HRA Capital Reserves**

- 3.21 The New Build and Acquisition Reserve is topped up by all retained receipts of sales of Council houses under Right to Buy.
- 3.22 Right to Buy sales have totalled 5 as at 30 September 2022 and a total sum of £362,607 has been received by the Council.
- 3.23 Reinvigoration of Right to Buy has created a new method of reporting sales of housing stock to the Government. The change now means that full reporting and payment of the pooled amount to the Government is only undertaken once a year as opposed to quarterly.
- 3.24 Detail of the retained balance will be reported as part of the final outturn. The retained sum will be transferred to the New Build and Acquisition reserve.
- 3.25 Any underspends on the HRA capital programme are transferred to the Major Repairs Reserve at year-end and the balance is to be utilised in future years as the new schedule for capital works is implemented.
- 3.26 Currently the HRA has debt of £47.4m to be repaid to the Public Works Loan Board at specific dates over a 20-year period because of self-financing.
- 3.27 The profile of debt repayment is listed in the following table.

Date due	£
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

**47,423,000**

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

### General Fund Capital Reserves

3.29 As part of the Council's Reserve balances, S106 receipts are accumulated and drawn down against specific projects in line with the contractual agreement.

3.30 Section 106 contributions are a large element of funding for the Council's capital programme and future planned works. The list of contributions within the Council's control are detailed in Appendix 2 with commentary regarding committed projects and the time frame to spend. Within the Appendix, updates to a couple of the spend deadlines have been in Q2. In summary, the total balance of S106 held by the Council is included in the table below.

3.31 S106 is received and monitored by the Council for other public bodies such as Derbyshire County Council and the NHS with sums also being allocated specifically to the Council. Appendix 2 details the total S106 available for the Council to spend on projects and has been broken down between community sums and affordable housing sums. The following table summarises the position as at 30 September 2022.

	£
Affordable Housing	5,931,988
Community	3,515,863
Property	77,921
Other	89,768
	<b>9,615,540</b>

3.32 The Capital Receipts Reserve is made up of asset sales in recent years and there are many projects to be funded from the balance. Committed projects are listed at Appendix 1.

	£ 2022/23	£ 2023/24	£ 2024/25	£ 2025/26	£ 2026/27
<b>General Capital Receipts B/fwd</b>	<b>2,707,657</b>	<b>1,171,678</b>	<b>700,205</b>	<b>468,217</b>	<b>-131,783</b>

#### Receipts in Year:


#### Specific Projects:

Strategic Housing Market Assessment	0	0	-25,000	0	0
Private Sector Stock Condition Survey	0	0	-60,000	0	0

Empty Property Grants	-38,000	0	0	0	0
Midway Community Centre Extension	-111,703	0	0	0	0
Vehicle Replacements	0	0	0	-600,000	0
Capital Bids approved October 2020	-1,386,276	-471,473	-146,988	0	0

<b>Total Capital Receipts Reserve Balance</b>	<b>1,171,678</b>	<b>700,205</b>	<b>468,217</b>	<b>-131,783</b>	<b>-131,783</b>
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3.33 The Strategic Market Housing Assessment and Private Sector Stock Condition Survey are both scheduled to recur every five years.

3.34 Planned vehicle replacements may need to be drawn from capital receipts in 2025/26 as there is currently a shortfall in funding in the Asset Replacement Reserve. This is under review and the planned scheduled replacements are due to be reported to Environmental and Development Services Committee and this Committee later in 2022/23.

#### **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.

APPENDIX 1

COMMITTEE SUMMARY - CAPITAL MONITORING SEPTEMBER 2022

	EXPENDITURE		
	Actual £	Budget £	Variance £
Major Improvements under Self-financing	785,900	2,320,000	1,534,100
Social Housing Decarbonisation Fund - Wave 1	187,385	0	-187,385
Major Disabled Facilities Grant (Council Houses MRA)	126,646	300,000	173,354
New Build - Lullington Road, Overseal	0	0	0
New Build - Orchard Street, Newhall	0	280,000	280,000
Contribution to county wide stock modelling report	0	0	0
New Build - Acresford Road, Overseal	0	0	0
<b>HOUSING REVENUE ACCOUNT</b>	<b>1,099,931</b>	<b>2,900,000</b>	<b>1,800,069</b>
Disabled Facility Grants and other Works	155,300	450,000	294,700
Discretionary Top-up Grants	0	25,000	25,000
Healthy Homes Project	1,256	50,000	48,745
Dedicated Mental Health Worker	20,000	50,000	30,000
Additional Technical Officer	17,694	40,000	22,306
Empty Property Grants	0	0	0
Relocation Grant	0	100,000	100,000
Dementia Friendly Homes Grant	0	15,000	15,000
Domestic Violence Crisis Prevention	32,500	70,000	37,500
Hospital Discharge Grant	10,758	30,000	19,242
Healthy Homes Assistance Fund	63,877	100,000	36,123
Pilot Schemes	44,810	0	-44,810
Capital One-off Projects	0	0	0
Temporary Health & Housing Co-ordinator	0	45,000	45,000

Stay Active and Independent for Longer	14,573	75,471	60,898
Temporary Public Health Officer	20,148	45,000	24,852
Temporary Occupational Therapist	0	0	0
Fuel Poverty	0	50,000	50,000
Temporary Trusted Assessor Post	0	55,000	55,000
Careline Digital Equipment	0	90,000	90,000
Foundations Consultancy Project	0	40,000	40,000
Property Flood Resilience Recovery Support Scheme	26,324	0	-26,324

**Private Sector Housing**                      **407,240**    **1,330,471**    **923,231**

Fly Tipping and Environmental Surveillance	0	0	0
Carbon Reduction	0	50,000	50,000
Green Homes Grant - Local Authority Delivery	264,069	370,000	105,931

**Environmental Services**                      **264,069**    **420,000**    **155,931**

Community Partnership Scheme	66,328	239,853	173,525
Melbourne Sports Park - Drainage Works	0	0	0
Midway Community Centre Extension	107,408	0	-107,408
Midway Community Centre - Pitches	0	0	0
Oversetts Road Football Facility	0	1,188,159	1,188,159
SuDS Improvements	1,165	58,000	56,835
Paradise Garden, Swadlincote Town Centre	0	30,000	30,000
Revitalising Rosliston Foresty Centre	4,250	376,372	372,122
CCTV in Swadlincote Town Centre	0	0	0
Improvements to Play Areas	0	152,000	152,000
Extension to Marston on Dove Cemetery	0	48,000	48,000
Miners Memorial Project, Eureka Park	6,512	169,000	162,488
Urban Park at William Nadin Way	293,372	691,619	398,247
Improvements to Swadlincote Woodlands	970	30,000	29,030
Drainage works at Rosliston Football Pitches	9,720	0	-9,720
Eureka Park Bowling Green Improvements	12,550	40,000	27,450

**Community Services**                      **502,276**    **3,023,003**    **2,520,727**

Vehicle Replacements	200,345	0	-200,345
Public Building - Repairs & Renewals	0	87,000	87,000
Repairs to Village Halls & Community Facilities	0	2,375	2,375
Civic Hub - Town Centre Regeneration	0	0	0
Shop Frontages	53,258	0	-53,258
Oversetts Road Project	0	0	0
IT Strategy	8,560	160,000	151,441
Repairs to Melbourne Assembly Rooms	1,160	131,725	130,565
Purchase of Chamber Building	0	0	0
Drainage Easement at Woodville	0	0	0
Main Street Albert Village	0	0	0
Demolition of Bank House and Car Park Creation	15,095	258,365	243,270
<b>Assets</b>	<b>278,418</b>	<b>639,465</b>	<b>361,047</b>
<b>GENERAL FUND</b>	<b>1,452,003</b>	<b>5,412,939</b>	<b>3,960,936</b>
<b>TOTAL CAPITAL EXPENDITURE</b>	<b>2,551,934</b>	<b>8,312,939</b>	<b>5,761,005</b>

## APPENDIX 2

**Cultural Services**     **Affordable Housing**     **Property**     **SDDC Unspecified**     **Spend Deadline**

1	1	£	£	£	£	1	1
2006/0885	Willington and Findern	19,950	0	0	0	11/10/2023	£19.9k towards enhancing open space/recreation facilities, £100k towards improvement to the culverts on and bridges over Willington Brook, £50k spent to date
2006/1453	Swadlincote	365	0	0	0	N/A	
2007/0873	Swadlincote	852	0	0	0	N/A	
2010/0320	Aston	932	0	0	0	N/A	£932 remaining - £19.7k claimed by Aston PC towards outdoor gym equipment in Aug-21.
2011/0006	Swadlincote	30,340	0	0	0	08/11/2023	Towards provision of play space - Including within the "Improvements to play areas" project
2011/0292	Willington and Findern	41,007	0	0	0	N/A	Towards Twyford Pavilion - £5.8k paid to Willington Parish for tennis courts in Dec-21
2011/0329	Swadlincote	19,386	0	0	0	29/03/2024	Towards the provision of local open space facilities - Including within the "Improvements to play areas" project
2011/0952	Newhall and Stanton	15,708	0	0	0	05/05/2022	Included within the "Improvements to play areas" project at Newhall Park - SDDC currently retrieving quotes
2012/0568	Aston	359,550	0	0	0	£267,431 - 28/02/2024 £272,119 - 02/02/2026	180k to Derby City for Chellaston Community Centre (now paid out) - 87k is in discussion with Swarkestone / Elvaston Cricket Club
2012/0586	Woodville	11,918	0	0	0	N/A	Towards the provision of Open Space
2012/0743	Church Gresley	214,779		77,921	0	£135,922 - 20/11/2022 £156,778 - 30/08/2024	£212k towards Urban Park Project, £77.9k Green Bank
2012/0743	Church Gresley		152,773		0	N/A	Towards Cadley Hill affordable housing
2012/0861	Woodville	22,134	0	0	0	N/A	Towards the provision of open space - Including within the "Improvements to play areas" project

2013/0364	Woodville	2,118	0	0	0	15/03/2022	Towards play equipment at Swadlincote Woodlands - SDDC currently in the process of retrieving prices
2013/0643	Repton	0	497,916	0	0	22/12/2026	Towards Provision, improvement, maintenance or management of affordable housing within the Repton Ward
2013/0818	Swadlincote	59,497	0	0	0	20/03/2024	Towards purchasing and maintaining off-site open space - Urban Park project (spend deadline changed from 20/03/22)
2013/1044	Hilton	210,723	0	0	0	£55,425 - 21/06/2023 £158,677 - 30/06/2026	Hilton PC taking lead - £55k towards Scout Hut
2014/0222	Newhall and Stanton	16,892	0	0	0	£8,398 - 01/09/2022 £8,494 - 03/04/2023	Included within the "Improvements to play areas" project at Newhall Park
2014/0232	Aston	7,419	0	0	0	06/04/2024	Towards the provision of local outdoor recreational facilities - Weston & Aston PC have project for RIA
2014/0300	Swadlincote	25,858	0	0	0	22/10/2024	Towards renovation of multi-use games area at Maurice Lea Memorial Park
2014/0431	Seales	6,200	0	0	0	30/06/2022	Towards Salts Meadow and Swadlincote Woodlands Glade Creation in March 2022.
2014/0562	Etwall	63,789	0	0	0	£60,386 - 06/11/2024 £63,790 - 21/10/2026	Towards increasing the capacity of Etwall Leisure Centre - £60k to be claimed by JPS for tennis courts/MUGA - spend approved at JMC
2014/0740	Woodville	566,268				31/01/2027	£81K Outdoor sports, £45k Built facilities
2014/0888	Newhall and Stanton	570,000	0	0	0	15/03/2025	Towards Oversetts Road Football Facility
2014/0948	Linton	187,415	0	0	0	04/12/2025	Towards outdoor Recreational facilities & improvement of off-site open space at Rosliston Forestry Centre
2014/1141	Melbourne	15,326	0	0	0	£7,644 - 01/11/2028 £7,682 - 08/02/2029	Towards Kings Newton Bowls Club
2015/0029	Seales	26,368	0	0	0	£12,904 - 25/03/2026 £13,464 - 01/10/2026	Towards the changeroom at Overseal Rec
2015/0396	Newhall and Stanton	13,815	0	0	0	04/09/2024	Towards Oversetts Road Football Facility



2015/0426	Linton	0	0	0	0	21/11/2024	Badgers Hollow Recreation Ground - towards provision and or improvement of youth facilities - Linton PC obtaining quotes
2015/0534	Woodville	31,692	0	0	0	03/01/2023	Towards open space - Woodville PC taking lead
2015/0561	Woodville	20,402	0	0	0	12/12/2024	£16.9k towards Main Street Rec, £3.5k towards Goseley Community Centre
2015/0563	Woodville	8,335	0	0	0	07/02/2024	Towards provision of outdoor sports facilities, open space and build facilities - currently in talks with Hartshorne PC
2015/0723	Linton	71,655	0	0	0	14/08/2024	Towards enhancements to RFC visitor centre, RFC play equipment and sports pitches at Strawberry Lane
2015/0768	Etwall	249,984		0	0	£98,440 - 14/02/2023 £47,686 - 28/09/2025 £94,511 - 27/07/2026	£188k towards Newhouse Farm Community Centre £52k (now paid) towards group exercise and swimming provision at Etwall LC.
2015/0768	Etwall		1,071,180	0	0	09/08/2024	Towards housing within the Derby fringe
2015/0768	Etwall		1,071,180	0	0	20/10/2025	Towards housing within the Derby fringe
2015/0768	Etwall		1,103,640	0	0	27/07/2026	Towards housing within the Derby fringe
2015/0976	Woodville	7,316	0	0	0	29/11/2023	Woodville Parish looking to spend at Woodville Recreation Ground
2015/1108	Hatton	61,071	0	0	0	22/10/2026	Towards the enhancement of Scropton Road Recreation Ground
2016/0094	Midway	26,256	0	0	0	19/10/2025	Towards Eureka Park, Miner's memorial and Swadlincote Town Hall improvements
2016/0288	Swadlincote	26,000	0	0	0	24/06/2026	Towards improving play or sports facilities at Swadlincote Woodlands
2016/0329	Woodville	28,960	0	0	0	02/07/2025	£5.5k towards improvements of the pavilion at Woodville Rec, £14k towards grass pitches at Woodville Rec, £9.3k towards Footpath connections at Woodville Woodlands - Including within the "Improvements to play areas" project
2016/0583	Aston	15,733	0	0	0	20/02/2024	Towards local areas of play - Derby City taking lead on spend

2016/0870	Aston	9,660	0	0	0	£4,775 - 26/06/2024 £4,885 - 21/11/2024	Towards provision of outdoor sports facilities at Aston recreation Ground - Aston PC claimed £5.3k in Oct-21 towards disabled access at Aston recreation centre
2016/0898	Aston	7,443	0	0	0	05/07/2023	Towards permitting public access to social and community facilities - Weston & Aston PC have project for RIA
2016/1118	Repton	34,767	0	0	0	£17,277 - 02/03/2026 £17,490 - 13/07/2026	£12.4k Towards extension of Repton Village Hall, £22.3k towards improvements to Broomfields Playing Fields
2017/0194	Repton	44,338	0	0	0	15/06/2026	£7.5k towards Repton Village Hall, £36.7k towards improvements & recreational facilities at Broomfields Playing Fields
2017/0349	Etwall	75,648		0	0	28/09/2025	£75k Potentially towards a sporting hub - discussions ongoing, £370.6k towards travel plan.
2017/0349	Etwall		1,580,131	0		05/01/2027	Affordable housing within the administrative area of the Council (North West fringe)
2017/0416	Church Gresley	24,979	0	0	0	N/A	£12k towards play equipment at Maurice Lea Memorial Park, £7k towards Woodhouse Recreation Ground, £4k towards Greenbank Leisure Centre
2017/0667	Newhall and Stanton	118,428		0	0	£42,246 - 02/02/2026 £76,182 - 02/02/2028	£76k Towards Urban Park project, £42k towards works to swimming pool at Green Bank
2017/0667	Newhall and Stanton		62,360	0	0	16/11/2025	Towards the provision of affordable housing on the Swadlincote South fringe
2017/0667	Newhall and Stanton		124,803	0	0	02/02/2026	Towards the provision of affordable housing on the Swadlincote South fringe
2017/0667	Newhall and Stanton		64,187	0	0	31/08/2026	Towards the provision of affordable housing on the Swadlincote South fringe
2017/0819	Seales	5,635	0	0	0	28/02/2023	Towards improving existing changing rooms at Overseal Recreation Ground. Currently speaking with Overseal PC
2017/1293	Hilton	66,339	203,817	0	0	04/10/2024	Towards the provision of native hedgerow planting as mitigation for the loss of hedgerow to be caused as a result of the Development
2018/0265	Linton	4,882	0	0	0	04/02/2027	Built facilities

2018/0377	Woodville	14,099	0	0	0	16/03/2026	£3.4k towards Goseley Community Centre, £10.6k towards Improvements to Swadlincote Woodlands. £6.2k paid to Hartshorne Cricket Club in Nov-21
2019/1183	Swadlincote	0	0	0	14,208	N/A	Towards the CCG and improvements at Swadlincote Surgery
2019/1205	Hilton	7,776	0	0	0	N/A	Towards enhancing and managing biodiversity
2019/1427	Newhall and Stanton	15,591	0	0	0	10/06/2026	Towards enhancements to the Urban Park
2020/0592	Melbourne	0	0	0	0	04/10/2026	£18k towards enhancements of Melbourne Assembly Rooms, £33k towards MSP drainage project - application form sent 24/01/22
2020/1434	S106 Dove Valley Park	5,075	0	0	0	N/A	Towards Travel plan
2021/1686	Tetron Point, William Nadin Way	25,187	0	0	75,560	11/10/2027	Towards Drainage Contribution
<b>TOTAL AVAILABLE</b>		<b>3,515,863</b>	<b>5,931,988</b>	<b>77,921</b>	<b>89,768</b>	<b>9,615,540</b>	

<b>REPORT TO:</b>	<b>FINANCE AND MANAGEMENT COMMITTEE</b>	<b>AGENDA ITEM: 12</b>
<b>DATE OF MEETING:</b>	<b>24 NOVEMBER 2022</b>	<b>CATEGORY: DELEGATED</b>
<b>REPORT FROM:</b>	<b>STRATEGIC DIRECTOR (CORPORATE RESOURCES)</b>	<b>OPEN</b>
<b>MEMBERS' CONTACT POINT:</b>	<b>CHARLOTTE JACKSON</b> <a href="mailto:charlotte.jackson@southderbyshire.gov.uk">charlotte.jackson@southderbyshire.gov.uk</a>	<b>DOC:</b> s/finance/committee/22-23/November
<b>SUBJECT:</b>	<b>TREASURY MANAGEMENT UPDATE 2022-23</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 2022/23 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 2022/23.
- 2.2 To provide an update on external economic factors and how these may affect treasury management in the future.

## **3.0 Financial Implications**

- 3.1 As detailed in the report

## **4.0 Corporate Implications**

- 4.1 None directly

## **5.0 Community Implications**

- 5.1 None directly

## **6.0 Background Papers**

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



# South Derbyshire District Council

## Treasury Management Report Q2 2022/23

## **Introduction**

The Authority 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 outturn reports. This quarterly report provides an additional update.

The Authority's treasury management strategy for 2022/23 was approved at a meeting on 23rd February 2022. 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 remains central to the Authority's treasury management strategy.

CIPFA published its revised Treasury Management Code of Practice and Prudential Code for Capital Finance in December 2021. The key changes in the two codes are around permitted reasons to borrow, knowledge and skills, and the management of non-treasury investments. The principles within the two Codes took immediate effect although local authorities could defer introducing the revised reporting requirements within the revised Codes until the 2023/24 financial year if they wish which the Authority has elected to do.

Treasury risk management at the Authority is conducted within the framework of the TM Code. This Code now also includes extensive additional requirements for service and commercial investments, far beyond those in the 2017 version.

## **External Context**

Economic background: The ongoing conflict in Ukraine has continued to put pressure on global inflation and the economic outlook for UK and world growth remains weak. The UK political situation towards the end of the period following the 'fiscal event' increased uncertainty further.

The economic backdrop during the April to September period continued to be characterised by high oil, gas and commodity prices, ongoing high inflation and its impact on consumers' cost of living, no imminent end in sight to the Russia-Ukraine hostilities and its associated impact on the supply chain, and China's zero-Covid policy.

Central Bank rhetoric and action remained robust. The Bank of England, Federal Reserve and the European Central Bank all pushed up interest rates over the period and committed to fighting inflation, even when the consequences were in all likelihood recessions in those regions.

UK inflation remained extremely high. Annual headline CPI hit 10.1% in July, the highest rate for 40 years, before falling modestly to 9.9% in August. RPI registered 12.3% in both July and August. The energy regulator, Ofgem, increased the energy price cap by 54% in April, while a further increase in the cap from October, which would have seen households with average energy consumption pay over £3,500 per annum, was dampened by the UK government stepping in to provide around £150 billion of support to limit bills to £2,500 annually until 2024.

The labour market remained tight through the period but there was some evidence of easing demand and falling supply. The unemployment rate 3m/year for April fell to 3.8% and declined further to 3.6% in July. Although now back below pre-pandemic levels, the recent decline was driven by an increase in inactivity rather than demand for labour. Pay growth in July was 5.5% for total pay (including bonuses) and 5.2% for regular pay. Once adjusted for inflation, however, growth in total pay was -2.6% and -2.8% for regular pay.

With disposable income squeezed and higher energy bills still to come, consumer confidence fell to a record low of -44 in August, down -41 in the previous month. Quarterly GDP fell -0.1% in the April-June quarter driven by a decline in services output, but slightly better than the 0.3% fall expected by the Bank of England.

The Bank of England increased the official Bank Rate to 2.25% over the period. From 0.75% in March, the Monetary Policy Committee (MPC) pushed through rises of 0.25% in each of the following two MPC meetings, before hiking by 0.50% in August and again in September. August's rise was voted by a majority of 8-1, with one MPC member preferring a more modest rise of 0.25%. The September vote was 5-4, with five votes for an 0.5% increase, three for an 0.75% increase and one for an 0.25% increase. The Committee noted that domestic inflationary pressures are expected to remain strong and so given ongoing strong rhetoric around tackling inflation further Bank Rate rises should be expected.

On 23rd September the UK government, following a change of leadership, announced a raft of measures in a 'mini budget', loosening fiscal policy with a view to boosting the UK's trend growth rate to 2.5%. With little detail on how government borrowing would be returned to a sustainable path, financial markets reacted negatively. Gilt yields rose dramatically by between 0.7% - 1% for all maturities with the rise most pronounced for shorter dated gilts. The swift rise in gilt yields left pension funds vulnerable, as it led to margin calls on their interest rate swaps and risked triggering large scale redemptions of assets across their portfolios to meet these demands. It became necessary for the Bank of England to intervene to preserve market stability through the purchase of long-dated gilts, albeit as a temporary measure, which has had the desired effect with 50-year gilt yields falling over 100bps in a single day.

Bank of England policymakers noted that any resulting inflationary impact of increased demand would be met with monetary tightening, raising the prospect of much higher Bank Rate and consequential negative impacts on the housing market.

After hitting 9.1% in June, annual US inflation eased in July and August to 8.5% and 8.3% respectively. The Federal Reserve continued its fight against inflation over the period with a 0.5% hike in May followed by three increases of 0.75% in June, July and September, taking policy rates to a range of 3% - 3.25%.

Eurozone CPI inflation reached 9.1% y/y in August, with energy prices the main contributor but also strong upward pressure from food prices. Inflation has increased steadily since April from 7.4%. In July the European Central Bank increased interest rates for the first time since 2011, pushing its deposit rate from -0.5% to 0% and its main refinancing rate from 0.0% to 0.5%. This was followed in September by further hikes of 0.75% to both policy rates, taking the deposit rate to 0.75% and refinancing rate to 1.25%.



**Financial markets:** Uncertainty remained in control of financial market sentiment and bond yields remained volatile, continuing their general upward trend as concern over higher inflation and higher interest rates continued to dominate. Towards the end of September, volatility in financial markets was significantly exacerbated by the UK government's fiscal plans, leading to an acceleration in the rate of the rise in gilt yields and decline in the value of sterling.

Due to pressure on pension funds, the Bank of England announced a direct intervention in the gilt market to increase liquidity and reduce yields.

Over the period the 5-year UK benchmark gilt yield rose from 1.41% to 4.40%, the 10-year gilt yield rose from 1.61% to 4.15%, the 20-year yield from 1.82% to 4.13% and the 50-year yield from 1.56% to 3.25%. The Sterling Overnight Rate (SONIA) averaged 1.22% over the period.

#### **Credit review:**

In July Fitch revised the outlook on Standard Chartered from negative to stable as it expected profitability to improve thanks to the higher interest rate environment. Fitch also revised the outlook for Bank of Nova Scotia from negative to stable due to its robust business profile.

Also in July, Moody's revised the outlook on Bayerische Landesbank to positive and then in September S&P revised the GLA outlook to stable from negative as it expects the authority to remain resilient despite pressures from a weaker macroeconomic outlook coupled with higher inflation and interest rates.

Having completed its full review of its credit advice on unsecured deposits at UK and non-UK banks, in May Arlingclose extended the maximum duration limit for five UK banks, four Canadian banks and four German banks to six months. The maximum duration for unsecured deposits with other UK and non-UK banks on Arlingclose's recommended list is 100 days. These recommendations were unchanged at the end of the period.

Arlingclose continued to monitor and assess credit default swap levels for signs of credit stress but made no changes to the counterparty list or recommended durations. Nevertheless, increased market volatility is expected to remain a feature, at least in the near term and, as ever, the institutions and durations on the Authority's counterparty list recommended by Arlingclose remains under constant review.

#### **Local Context**

On 31st March 2022, the Authority had net investments of £20.498m arising from its revenue and capital income and expenditure. The underlying need to borrow for capital purposes is measured by the Capital Financing Requirement (CFR), while usable reserves and working capital are the underlying resources available for investment. These factors are summarised in the table below.

## Capital Financing Requirement (CFR)

	31.03.22 Actual £,000	30.09.22 Actual £'000
<b><u>Housing Revenue Account</u></b>		
Debt Outstanding	47,423	47,423
Capital Financing Requirement (CFR)	51,584	51,584
Statutory Debt Cap	66,853	66,853
<b>Borrowing Capacity (Cap less Debt Outstanding)</b>	<b>19,430</b>	<b>19,430</b>
<b><u>General Fund</u></b>		
Debt Outstanding	0	0
Capital Financing Requirement (CFR)	4,409	4,409
Statutory Debt Cap	4,409	4,409
<b>Borrowing Capacity (Cap less Debt Outstanding)</b>	<b>4,409</b>	<b>4,409</b>
<b>Total Capital Financing Requirement (CFR)</b>	<b>55,993</b>	<b>55,993</b>

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

The treasury management position on 30th September 2022 and the change over the quarter is shown below.

## **Treasury Management Summary**

	30.06.22 Balance £m	Movement £m	30.09.22 Balance £m	Average Rate %
Long-term borrowing:				
Fixed	47,423	0	47,423	3.19%
Variable	0	0	0	0.00%
Short-term borrowing	89	0	89	0.75%
<b>Total borrowing</b>	<b>47,512</b>	<b>0</b>	<b>47,512</b>	
Long-term investments	4,000	0	4,000	
Short-term investments	55,500	3,500	59,000	1.30%
Cash and cash equivalents	7,713	(652)	7,061	0.53%
<b>Total investments</b>	<b>67,213</b>	<b>2,848</b>	<b>70,061</b>	
<b>Net investments</b>	<b>19,701</b>	<b>2,848</b>	<b>22,549</b>	

## **Borrowing update**

CIPFA's 2021 Prudential Code is clear that local authorities must not borrow to invest primarily for financial return and that it is not prudent for local authorities to make any investment or spending decision that will increase the capital financing requirement, and so may lead to new borrowing, unless directly and primarily related to the functions of the Authority.

PWLB loans are no longer available to local authorities planning to buy investment assets primarily for yield; the Authority intends to avoid this activity in order to retain its access to PWLB loans.

## **Borrowing Activity**

As outlined in the treasury strategy, 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. The Authority's borrowing strategy continues to address the key issue of affordability without compromising the longer-term stability of the debt portfolio.

Over the April-September period short term PWLB rates rose dramatically, particular in late September after the Chancellor's 'mini-budget', included unfunded tax cuts and additional borrowing to fund consumer energy price subsidies. Exceptional volatility threatened financial stability, requiring Bank of England intervention in the gilt market. Over a twenty-four-hour period some PWLB rates increased to 6%, before the intervention had the desired effect, bringing rates back down by over 1% for certain maturities. A truly wild and unprecedented period in fixed income markets, with a direct impact on PWLB rates.

Interest rates rose by over 2% during the period in both the long and short term. As an indication the 5-year maturity certainty rate rose from 2.30% on 1st April to 5.09% on 30th September; over the same period the 30-year maturity certainty rate rose from 2.63% to 4.68%

In keeping with the Authority's objectives, no new borrowing was undertaken, while existing loans were allowed to mature without replacement. This strategy enabled the Authority to reduce net borrowing costs (despite foregone investment income) and reduce overall treasury risk.

At 30th September 2022 the Authority held £47.4m 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 £89k 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%. Interest will be payable half yearly after the 30<sup>th</sup> September and the second after 31<sup>st</sup> March.

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	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	2036/72
Public Works Loan Board	Fixed	7,423	3.50	2041/42
<b>Total Long-term borrowing</b>		<b>47,423</b>		
Short-term Parish Council Loans		<b>89</b>	0.75	
<b>Total borrowing</b>		<b>47,512</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

CIPFA revised TM Code defines treasury management investments as those which arise from the Authority's cash flows or treasury risk management activity that ultimately represents balances which need to be invested until the cash is required for use in the course of business.

The Authority holds significant invested funds, representing income received in advance of expenditure plus balances and reserves held. During the year, the Authority's investment balances ranged between £45.5m and £61m million due to timing differences between income and expenditure. The investment position is shown in the table below.

#### Treasury Investment Position

	<b>31.03.22 Balance £'000</b>	<b>Q2 2022 Movement £'000</b>	<b>30.09.22 Balance £'000</b>	<b>30.09.22 Rate of Return %</b>
Banks (unsecured)	4,010	3,051	7,061	0.53
Local Authorities	52,000	(9,000)	43,000	0.97
Money Market Funds	8,000	8,000	16,000	1.76
CCLA Property Fund	4,000	0	4,000	3.81
<b>Total investments</b>	<b>68,010</b>	<b>2,051</b>	<b>70,061</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.

The increases in Bank Rate over the period under review, and with the prospect of more increases to come, short-dated cash rates, which had ranged between 0.7% - 1.5% at the end of March, rose by around 1.5% for overnight/7-day maturities and by nearly 3.5% for 9-12 month maturities.

At the end of September, the rates on DMADF deposits ranged between 1.41% and 2.81% and the return on sterling low volatility net asset value (LVNAV) Money Market Funds ranged between 1.62% - 1.83% p.a.

The Authority currently has £5m invested with Thurrock Borough Council which matures in April 2023. In August 2022 Thurrock Borough Council were highlighted as a financial risk due to their investments in renewable energy. During September the Government intervened and appointed Essex County Council to take control of Thurrock's financial functions. Thurrock has since been given permission by the Government to borrow almost £840m from the Public Works Loan Board to repay finance from other local authorities. The new loans will replace the £687.5m of local authority finance and £148.5m of maturing PWLB loans. The risk to the repayment of the principle owed to the Authority, given the measures in place by the Government are minimal if not at all. Thurrock have been provided with the resources to repay its current borrowing portfolio.

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)

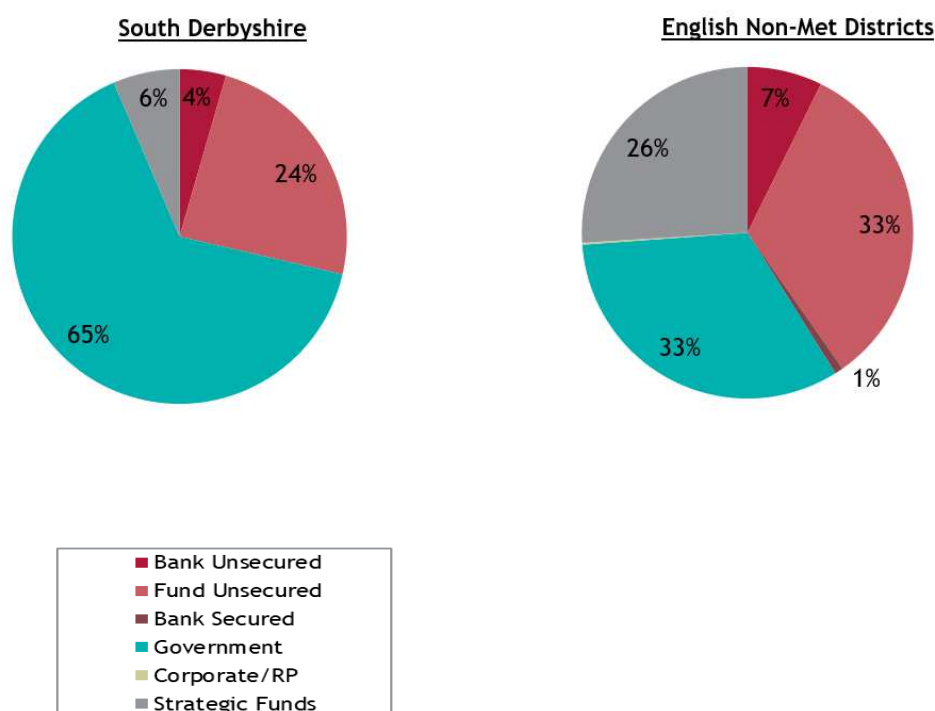
	<b>Credit Score</b>	<b>Credit Rating</b>	<b>Bail-in Exposure</b>	<b>Weighted Average Maturity (days)</b>	<b>Rate of Return %</b>
<b>30.09.2022</b>	4.69	A+	31%	96	1.16
<b>Similar LAs</b>	4.34	AA-	57%	42	2.23
<b>All LAs</b>	4.29	AA-	55%	18	2.06

**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.



This chart illustrates the type of investment funds held by the Council in comparison to other similar Local Authorities, this shows in greater detail, the comparisons in the bail in exposure and rate of return, on the above security benchmark table. The unsecured funds held by other Local Authorities is a much higher percentage of their investment portfolio, which will offer them a higher rate of return, however the bail in exposure risk to funds is 57% of their total portfolio., The Council have invested their funds in much safer secured investments (Government) which may produce a smaller yield (1.16%) but the risk to Council funds is low at 31%.

### Externally Managed Pooled Funds

£4m of the Authority's investments is invested in externally managed strategic pooled property funds where short-term security and liquidity are lesser considerations, and the objectives instead are regular revenue income and long-term price stability. These funds are expected to generate an average return of £35k - £40k per quarter, its estimated £140k - £160k income return will be achieved this year, which is used to support services in year.

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.

#### CCLA Property Fund Performance

		2022/23	2022/23
		Q1	Q2
Dividend Received	£	35,499	40,603
Annual Equivalent Interest Rate	%	3.19%	3.81%
Bid (Selling) Price	pence/unit	357.58	347.79

The mid-market value of the fund as at the 30 September 2022 is £4,328,524.78 and the bid market value is £4,261,441.92. The quarters market and bid values have decreased from June 22 by 4.25%. This reinforces the notion that the Fund should only be considered for long-term investments.

The authority's investment in the CCLA fund will remain stable throughout 22/23 with performance continuing to yield positive dividends.

### **Performance**

#### **Average 7-Day Money Market 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 30.06.22	As at 30.09.22
Average 7-Day Money Market Rate (Target)	0.87%	1.72%
Average Interest Rate Achieved on Short Term Deposits	0.75%	1.23%

Our current investment profile includes several local authority loans which were dealt during 21/22 financial year when interest rates were not as favourable. This therefore brings down the overall average interest-rate on short term deposits. The expectation being, as these loans mature higher interest rates will be achieved upon new dealings.

#### **Cost of Debt**

This indicator shows how much the costs of borrowing impact 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 and the estimated annual interest based on current returns. This is compared to the actual annual interest received last year.

General Fund Impact per Council Tax Payer	Actual 31.03.2022	Actual 30.09.22	Estimated 31.03.2023
	£'000	£'000	£'000
Net Interest Received - General Fund	-£136,959	-£125,159	-£100,000
Band D Properties	35,218	36,702	36,702
<b>Cost per Band D Property</b>	<b>-£3.89</b>	<b>-£3.41</b>	<b>-£2.72</b>

The cost of debt on each council tenant (HRA) is shown below. The performance for the first 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	31.03.22 Actual	30.09.2022 Estimated
HRA Interest Payable	1,527,260	1,456,005
Dwellings	2,949	2,937
<b>Annual Cost per Dwelling</b>	<b>£517.89</b>	<b>£495.75</b>

## Compliance

The Chief Finance Officer reports that during the second quarter treasury management activities have fully complied with the CIPFA Code of Practice and the Authority's approved Treasury Management Strategy.

Compliance with specific investment limits is demonstrated in the table below:

### Investment limits

Sector	Maximum Investment Q2 2022	Counterparty Limit	Time Limit	Sector Limit	Complied
The UK Government	£15.5m	£25m	364 days	n/a	✓
Local authorities & other government entities	£35m	£5m	364 days	Unlimited	✓
Banks (unsecured)*	£2.4m	£3m	35 days	Unlimited	✓



Building societies (unsecured)*	£2m	£2m	35 days	£5m	✓
Money Market Funds*	£16m	£2m	60 days	£16m	✓
Strategic Pooled Funds	£4m	£4m	n/a	£4m	✓
Other Investments*	0	£1m	35 days	Unlimited	✓

### **Arlingclose's Economic Outlook for the remainder of 2022/23 (based on 26th September 2022 interest rate forecast)**

	Current	Dec-22	Mar-23	Jun-23	Sep-23	Dec-23	Mar-24	Jun-24	Sep-24	Dec-24	Mar-25	Jun-25	Sep-25
Official Bank Rate													
Upside risk	0.00	0.50	0.75	0.75	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00
Arlingclose Central Case	2.25	4.25	5.00	5.00	5.00	5.00	5.00	5.00	5.00	4.75	4.25	3.75	3.25
Downside risk	0.00	-1.00	-1.00	-0.75	-0.50	-0.50	-0.50	-0.75	-1.25	-1.50	-1.75	-1.75	-1.75

Arlingclose expects Bank Rate to rise further during 2022/23 to reach 5% by the end of the year.

The MPC is particularly concerned about the demand implications of fiscal loosening, the tight labour market, sterling weakness and the willingness of firms to raise prices and wages.

The MPC may therefore raise Bank Rate more quickly and to a higher level to dampen aggregate demand and reduce the risk of sustained higher inflation. Arlingclose now expects Bank Rate to peak at 5.0%, with 200bps of increases this calendar year.

This action by the MPC will slow the economy, necessitating cuts in Bank Rate later in 2024.

Gilt yields will face further upward pressure in the short term due to lower confidence in UK fiscal policy, higher inflation expectations and asset sales by the BoE. Given the recent sharp rises in gilt yields, the risks are now broadly balanced to either side. Over the longer term, gilt yields are forecast to fall slightly over the forecast period.

#### **Background:**

Monetary policymakers are behind the curve having only raising rates by 50bps in September. This was before the "Mini-Budget", poorly received by the markets, triggered a rout in gilts with a huge spike in yields and a further fall in sterling. In a shift from recent trends, the focus now is perceived to be on supporting sterling whilst also focusing on subduing high inflation.

There is now an increased possibility of a special Bank of England MPC meeting to raise rates to support the currency. Followed by a more forceful stance over concerns on the looser fiscal outlook. The MPC is therefore likely to raise Bank Rate higher than would otherwise have been necessary given already declining demand. A prolonged economic downturn could ensue.

Uncertainty on the path of interest rates has increased dramatically due to the possible risk from unknowns which could include for instance another Conservative leadership contest, a general election, or further tax changes including implementing windfall taxes.

The government's blank cheque approach to energy price caps, combined with international energy markets priced in dollars, presents a fiscal mismatch that has contributed to significant decline in sterling and sharp rises in gilt yields which will feed through to consumers' loans and mortgages and business funding costs.

UK government policy has mitigated some of the expected rise in energy inflation for households and businesses flattening the peak for CPI, whilst extending the duration of elevated CPI. Continued currency weakness could add inflationary pressure.

The UK economy already appears to be in recession, with business activity and household spending falling. The short- to medium-term outlook for the UK economy is relatively bleak.

Global bond yields have jumped as investors focus on higher and stickier US policy rates. The rise in UK government bond yields has been sharper, due to both an apparent decline in investor confidence and a rise in interest rate expectations, following the UK government's shift to borrow to loosen fiscal policy. Gilt yields will remain higher unless the government's plans are perceived to be fiscally responsible.

The housing market impact of increases in the Base Rate could act as a "circuit breaker" which stops rates rising much beyond 5.0%, but this remains an uncertainty.

**COUNTERPARTY LIST 2022/23**  
(as at September 2022)

**Treasury investment counterparties and limits**

<b>Sector</b>	<b>Counterparty Limit</b>	<b>Time Limit</b>	<b>Sector Limit</b>
The UK Government	£25m	364 days	n/a
Local authorities & other government entities	£5m	364 days	Unlimited
Banks (unsecured)*	£3m	35 days	Unlimited
Building societies (unsecured)*	£2m	35 days	£5m
Money Market Funds*	£2m	60 days	£16m
Strategic Pooled Funds	£4m	n/a	£4m
Other Investments*	£1m	35 days	Unlimited

***This table must be read in conjunction with the notes below***

**\* Minimum credit rating:** Treasury investments in the sectors marked with an asterisk will only be made with entities whose lowest published long-term credit rating is no lower than A-. Where available, the credit rating relevant to the specific investment or class of investment is used, otherwise the counterparty credit rating is used. However, investment decisions are never made solely based on credit ratings, and all other relevant factors including external advice will be taken into account.

**Government:** Loans to, and bonds and bills issued or guaranteed by, national governments, regional and local authorities and multilateral development banks. These investments are not subject to bail-in, and there is generally a lower risk of insolvency, although they are not zero risk. Investments with the UK Government are deemed to be zero credit risk due to its ability to create additional currency.

**Banks and building societies (unsecured):** Accounts, deposits, certificates of deposit and senior unsecured bonds with banks and building societies, other than multilateral development banks. These investments are subject to the risk of credit loss via a bail-in should the regulator determine that the bank is failing or likely to fail.

**Money market funds:** Pooled funds that offer same-day or short notice liquidity and very low or no price volatility by investing in short-term money markets. They have the advantage over bank accounts of providing wide diversification of investment risks, coupled with the services of a professional fund manager in return for a small fee. The Authority will take care to diversify its liquid investments over a variety of providers to ensure access to cash at all times.

**Strategic pooled funds:** Bond, equity and property funds that offer enhanced returns over the longer term but are more volatile in the short term. These allow the Authority to diversify into asset classes other than cash without the need to own and manage the underlying investments. Because these 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 will be monitored regularly.

**Other investments:** This category covers treasury investments not listed above, for example unsecured corporate bonds and company loans. Non-bank companies cannot be bailed-in but can become insolvent placing the Authority's investment at risk.

**Operational bank accounts:** The Authority may incur operational exposures, for example through current accounts, collection accounts and merchant acquiring services, to any UK bank with credit ratings no lower than BBB- and with assets greater than £25 billion. These are not classed as investments but are still subject to the risk of a bank bail-in, and balances will therefore be kept below £3m. The Bank of England has stated that in the event of failure, banks with assets greater than £25 billion are more likely to be bailed-in than made insolvent, increasing the chance of the Authority maintaining operational continuity.

<b>REPORT TO:</b>	<b>FINANCE AND MANAGEMENT COMMITTEE</b>	<b>AGENDA ITEM: 13</b>
<b>DATE OF MEETING:</b>	<b>24 NOVEMBER 2022</b>	<b>CATEGORY:</b>
		<b>DELEGATED</b>
<b>REPORT FROM:</b>	<b>STRATEGIC DIRECTOR (CORPORATE RESOURCES)</b>	<b>OPEN</b>
<b>MEMBERS' CONTACT POINT:</b>	<b>KEVIN STACKHOUSE</b> <a href="mailto:Kevin.staackhouse@ssouthderbyshire.gov.uk">Kevin.staackhouse@ssouthderbyshire.gov.uk</a>	<b>DOC:</b> h/KS/financial policy/reserves/analysis of reserves oct 22
<b>SUBJECT:</b>	<b>A REVIEW OF SPECIFIC AND EARMARKED RESERVES</b>	
<b>WARD(S) AFFECTED:</b>	<b>ALL</b>	<b>TERMS OF REFERENCE: FM 08</b>

## **1.0 Recommendations**

- 1.1 That the Council's Specific and Earmarked Reserves are considered and that recommendations regarding the potential reallocation and future utilisation regarding certain reserves as highlighted in **Appendix 1**, are approved.
- 1.2 That the level of Reserves is kept under review pending the 2023/24 Budget Round and the impact on the Council's Medium-Term Financial Plan.

## **2.0 Purpose of the Report**

- 2.1 To provide an overview of the various specific and earmarked reserves currently held by the Council.

## **3.0 Background**

- 3.1 In addition to General Reserves, which are held as a contingency under statutory regulations for the General Fund and Housing Revenue Accounts, the Council currently has approximately £14 million in other usable reserves. The overall total is made up of numerous individual reserves which are held for specific purposes.
- 3.2 All individual reserves have been approved by the Committee as part of the Council's financial planning process and have been earmarked for specific purposes. Several of the reserves have evolved from Government and external funding for investment and to fund government initiatives which span across more than one financial year. These reserves generally have to be used for that specific purpose.
- 3.3 However, many of the reserves are at the discretion of the Council. Reserves are set-aside as a prudent measure to fund for example, on-going replacement of vehicles, property maintenance and IT upgrades, where expenditure can vary year-to-year.

- 3.4 These reserves are funded by revenue contributions each year which smooth out the cost and are used to meet planned replacements and one-off investment in future years.
- 3.5 Other reserves are set-aside to meet pressures in specific areas such as Planning and Waste Collection due to the growth of the District and are funded from revenue contributions, underspends and additional income.
- 3.6 Although these reserves are at the discretion of this Committee, it is considered good practice to set-aside these funds to finance pressures in those service areas without impacting further on the Base Budget.
- 3.7 The level of all Reserves is reported within the Annual Budget and Final Account reports. This includes contributions to and drawdowns from, each reserve.
- 3.8 This report provides a descriptive overview of each reserve and in doing so, groups the reserves into several categories to provide greater clarity on their purpose.

#### **4.0 Detail**

- 4.1 The reserves have been grouped into categories as detailed below. This also explains the policy or reason for establishing these reserves.

#### **External Sponsored Funding**

- 4.2 Sums originating from public agencies and partner organisations to deliver investment in specific services. They mainly support the Council's Cultural and Community Services, together with partnership working in the health and well-being sector.
- 4.3 Without this funding, services would be significantly reduced without General Fund support to replace it.

#### **Government Funding (Grants)**

- 4.4 Although there is no statutory basis to spend the grants in specific areas, there is an expectation that they are used to support pressures in a service for which the funding was intended, for example Homelessness Prevention.
- 4.5 Other grants are provided as "New Burdens" funding and within reason, can be used at the discretion of the Council. In some instances, where the Government monitor spending through regular returns, any unspent funds are likely to be clawed back.

#### **Council Funding: Long-term Replacement**

- 4.6 These reserves are used over a longer-term to ensure there is sufficient funding to replace vehicles, IT, planned maintenance and other capital investment in infrastructure. Many of these reserves receive annual contributions and are used year-to-year in accordance with replacement programmes and as the need arises.

## **Council Funding: Service Development**

- 4.7 Very similar to the above, but these reserves target services to ensure that revenue resources are set-aside to meet demand arising from the growth of the District and population changes. Other reserves, for example Planning, have been accumulated from additional income and are intended to be reinvested back into this Service.

## **Council Funding: Short-term/one-off**

- 4.8 These reserves mainly relate to under spendings carried forward into the following financial year. They are used to supplement that year's budget or to provide an opportunity to address smaller one-off replacements and upgrades without any further impact on the Base Budget.

## **Commuted Sums**

- 4.9 Sums received following residential development to maintain public open spaces.

## **Council Funding: Provisions**

- 4.10 These are sums set-aside to meet future initiatives or to guard against a risk, for example the risk sharing arrangement in the Waste Recycling Contract. There may be no firm commitments against the sums set-aside.

## **Individual Reserves**

- 4.11 All of the individual reserves are detailed in **Appendix 1** which sets out the purpose and current status of each reserve. The Appendix highlights sums which are no longer required or that could be reduced and consequently reallocated into other services or to fund spending pressures elsewhere, over the short and medium-term.
- 4.12 The Appendix also shows balances still set-aside which have been used to fund additional costs associated with Covid-19. In general, the remaining sums have no further commitments against them and may be available for reallocation, subject to any future directions from the Government.
- 4.13 As regularly reported to the Committee, the Medium-Term Financial Plan (MTFP) projects budget deficits in future years. In addition, there are current pressures on pay, fuel and utility costs, together with the uncertainty regarding the Council's funding from 2023/24.
- 4.14 Therefore, it is recommended that the Reserves are kept under review pending the forthcoming Budget Round for 2023/24.

## **5.0 Financial Implications**

- 5.1 As detailed in the report.

## **6.0 Corporate Implications**

### **Employment Implications**

- 6.1 None directly

## **Legal Implications**

- 6.2 None directly

## **Corporate Plan Implications**

- 6.3 A majority of these reserves provide additional resources to meet priorities and in particular those associated with supporting communities and enhancing the environment.

## **Risk Impact**

- 6.4 Many of these reserves provide additional resources to meet future cost pressures to avoid a sudden impact on the Base Budget. In several cases, they could also be reprioritised to help safeguard resources in the MTFP.

## **7.0 Community Impact**

### **Consultation**

- 7.1 None

### **Equality and Diversity Impact**

- 7.2 None directly

### **Social Value Impact**

- 7.3 None directly

### **Environmental Sustainability**

- 7.4 None directly

## **8.0 Background Papers**

- 8.1 None



ANALYSIS OF SPECIFIC and EARMARKED RESERVES (*AMOUNTS as at 1 APRIL 2022*)

## EXTERNAL SPONSORED FUNDING

£

<b>Youth Engagement Partnership</b>	622,779	This is an operational reserve. Currently, it is considered sufficient to meet current projects and on-going work, over the MTFP and is used to supplement mainstreamed costs in the Base Budget.  The Reserve has remained consistently above £450,000 since 2012/13 and yearly drawdowns (net of contributions) are minimal. Some additional initiatives are being drawn up to utilise a greater amount of this Reserve and the proposals are being reported to Housing and Community Services Committee.
<b>Community Safety &amp; Crime Reduction</b>	400,464	As above
<b>Schools Sport Partnership Project</b>	388,703	As above
<b>Get Active in the Forest Partnership</b>	128,389	As above
<b>Environmental Education (Rosliston Forestry Centre)</b>	17,139	As above, although this Reserve is under far greater pressure from year to year and is reliant on income being generated to fund activities. There is little margin.
<b>South Derbyshire Partnership Reserve</b>	10,117	This is used to fund grants for community initiatives as agreed by the South Derbyshire Partnership Board.
<b>Young Peoples Cultural Partnership/Art Development</b>	7,306	As Environmental Education (above)

## GOVERNMENT FUNDING

£

<b>S31 Compensation Fund</b>	1,672,065	To compensate for loss of Council Tax and Business Rates income due to Covid 19. This is the amount remaining and currently, it is not anticipated that it will need to be drawn down further as performance on the Collection Fund has been sustained. As a Section 31 Grant, it is unlikely that this will be recalled, but that is not certain.  Therefore, it is recommended that it remains set-aside until next year pending the final account returns to the Government for 2022/23.
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<b>NNDR Relief Overpayment Provision</b>	1,143,009	<p>This is being drawn down to finance the loss of income on the Collection Fund due to Business Rate Reliefs provided by the Government during Covid 19. It is estimated that due to the NNDR deficit on the Fund, it will be drawn down fully in 2022/23.</p> <p>Any unused provision will likely be clawed back by the Government within the national funding system.</p>
<b>New Burdens - COVID-19 Support</b>	480,300	<p>Additional costs have either been absorbed or financed from the Support Grant (below). Ideally, it is recommended that it should first be used as investment in service changes brought about by Covid 19.</p> <p>The only current commitment against the Reserve is £100,000 to finance process and system changes to manual systems at the Depot, in Licensing, together with processing complaints and FOI requests due to changes in working practices.</p> <p>Options are currently being assessed to implement a system to integrate several independent processes for customer contact. However, it is unlikely that this will utilise all of the amount available.</p> <p>Therefore, pending any further developments, it is recommended that the balance after allowing for the above commitments, is set-aside until next year pending the final account returns to the Government for 2022/23.</p>
<b>Homelessness Prevention</b>	418,800	<p>The Council has for several years received an annual grant to fund initiatives to prevent and deal with homelessness. Historically, the Council receives more grant than is spent each year, hence the Reserve has accumulated.</p> <p>There is no indication that it will eventually be clawed back. It should be noted that as a General Fund grant, it cannot be used to supplement any costs in the HRA.</p> <p>Proposals are currently being drawn up to appoint a further officer in the Homelessness Team on a 3-year fixed term contract.</p>

<b>Local Authority Support COVID-19</b>	180,867	<p>The Council received 3 tranches of funding in 2020/21 totalling approximately £1.6 million. This grant continues to be used and spending is reported quarterly to the Finance and Management Committee.</p> <p>Based on spending as at 30 September 2022, it is estimated that approximately £80,000 will remain unspent. The Government have monitored spending on a regular basis and any unspent funds may be clawed back.</p> <p>Therefore, it is recommended that it remains set-aside until next year pending the final account returns to the Government for 2022/23.</p>
<b>Covid - Income Fee Charges</b>	92,803	<p>This grant was received to compensate for the loss of service income during Covid 19. Effectively, this has been covered by the Support Grant (above) with no commitments against it.</p> <p>Therefore, it is recommended that it remains set-aside until next year pending the final account returns to the Government for 2022/23.</p>
<b>Flooding - Community Recovery Fund</b>	84,301	<p>The Council received £101,000 to improve flood defences following Storms Ciara and Dennis in 2020, targeting individual properties and businesses worst affected.</p> <p>Of the remaining amount, £75,000 has been drawn down in 2022/23 to-date and it is likely that the remaining amount of approximately £9,000 will be used.</p> <p>The Council is required to report regularly on expenditure, and it is likely that any unspent amounts will be clawed back.</p>
<b>EU Exit Funding</b>	52,452	<p>The Council has not to-date, incurred any additional administrative, procurement or other costs following the UK's exit from the European Union.</p> <p>It is considered unlikely that this funding will be clawed back and is available for reallocation.</p>
<b>Maurice Lea Park NHLF Grant</b>	23,012	<p>This funding has been earmarked for improvements to play areas and the installation of CCTV at the Park.</p>

## COUNCIL FUNDING: LONG TERM REPLACEMENT

£

<b>Vehicle Plant &amp; Asset Replacement Fund</b>	1,062,374	<p>This is spent in accordance with a vehicle replacement programme. The current balance appears healthy, as replacements vary from year to year. The Fund is topped up each year by £350,000 and commitments in the MTFP total £1.6 million. Current projections show the Fund becoming insufficient by 2026/27.</p> <p>Consequently, a review of the Replacement Programme has been planned and a capital sum of £600,000 has been set-aside to cover a shortfall should it arise.</p> <p>Separate funds are set-aside in a Growth Reserve to purchase additional vehicles in the future due to residential development.</p>
<b>Economic Regeneration Fund</b>	894,957	<p>This will be drawn down in 2022 and 2023 to fund the regeneration works in Swadlincote Town Centre as approved by the Finance and Management Committee.</p>
<b>IT Reserve</b>	615,577	<p>This funds the replacement of corporate hardware (laptops, mobile phones and ancillary equipment, etc.) together with upgrades to corporate software such MS Office, anti-virus and firewall protection.</p> <p>Annual contributions are made from any savings in the IT Budget. Given the ever-increasing reliance on technology and expected future advances, it is considered prudent to set-aside resources (<i>for example, a full laptop replacement programme with ancillary equipment could cost around £300,000</i>).</p>
<b>Public Buildings: Planned Maintenance Fund</b>	571,428	<p>These are sums set-aside from capital receipts in 2020. The Reserve is topped up each year by £80,000, together with any underspend in day-to-day repairs. Commitments against this Fund currently total over £300,000 in 2022/23 and 2023/24.</p>

<b>HRA ICT Mobile Working</b>	291,521	This Fund is financed through the HRA to deliver digital and process improvements in the Housing Service in 2022/23 and 2023/24 within the approved Transformation Plan.
<b>Rosliston Capital Reserve</b>	217,444	Funding set-aside for investment in the Forestry Centre. It is expected that plans for its use will be drawn up when the future management of the site has been established. It is expected that this will be finalised mid 2023
<b>HRA Asset Replacement (Vehicles and Plant)</b>	154,722	HRA funds to replace vehicles and plant in future years.
<b>Rosliston Forestry Centre Café</b>	57,202	This reserve receives annual contributions based on turnover generated at the site café. It is set-aside to fund major repairs and maintenance and to act as a sinking fund for future refit/dilapidations work at the café. It has been used in previous years, for example, to replace windows.

#### **COUNCIL FUNDING: SERVICE DEVELOPMENT**

£

<b>District Growth</b>	856,628	<p>This Reserve is built up from additional Council Tax collected from the increase in residential properties. It is drawn down and mainly transferred into Waste Collection, Street Cleansing and Grounds Maintenance when existing resources can no longer meet additional demand.</p> <p>There is always a time lag between the income being received to when a stepped increase is required in these services.</p> <p>The General Fund contributes around £100,000 per year into the Reserve from additional Council Tax generated above the approved Tax Base.</p>
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<b>Welfare Reform, Fraud &amp; Compliance</b>	406,936	<p>This has been committed to additional resources in Revenues, Benefits and Customer Services as approved by Finance and Management Committee in August 2022.</p> <p>This committed approximately £300,000 of the Reserve to service development.</p>
<b>Planning staffing and support costs</b>	372,560	The Planning Reserves are an accumulation of additional income above the Base Budget. Proposals are being reported separately to fund 5 additional fixed terms posts until 2025.
<b>Local Plan - Consultation and Implementation</b>	216,193	Current commitments total £76,000 to support the current process of reviewing and updating the Local Plan.
<b>Planning 20% fee increase</b>	148,798	See Planning Staffing (above).
<b>S106 Planning Policy Fee</b>	13,100	This is a fairly new Reserve and it's use will need to be determined at a future date.

#### **COUNCIL FUNDING: SHORT TERM/ONE-OFF**

£

<b>Corporate Training</b>	76,185	This is being used in 2022 and 2023 to fund a Leadership and Development Programme for Principal Officers. Commitments of £42,000 have been made with an appointed training provider following a procurement exercise.
<b>Land Charges Software Support</b>	70,000	To format data prior to it being transferred to the Land Registry as part of the transfer of responsibilities for conducting searches. This includes the appointment of external technical support.
<b>Tetron Point Storm Water Basin - S106 UK Coal</b>	53,012	This is being used as part of the funding package for the new Cadley Hill Urban Park in Swadlincote.

<b>TIC Transfer Provision</b>	52,445	This is being used towards property improvements for the new Visitor Information Centre in Swadlincote.
<b>Council Tax Support Scheme - Hardship Fund</b>	51,587	This is being used to top-up the Scheme in 2022/23 as approved by the Finance and Management Committee in June 2022.
<b>New Town Centre Grant - Non-Heritage</b>	43,717	The original budget set-aside to fund improvements to shop frontages on the Delph in Swadlincote. The project is now complete.
<b>Discretionary Housing Top Up</b>	40,000	This is being used to top-up the Fund in 2022/23 as approved by the Finance and Management Committee in June 2022.
<b>Swadlincote Woodlands S106</b>	39,949	<p>The original Section 106 contribution received several years ago totalled approximately £1/4 million. It is drawn down to finance capital and major works at the Woodlands.</p> <p>The remaining amount has been earmarked to help the Site obtain Nature Reserve status.</p>
<b>Parks Improvement Fund</b>	16,071	This is being used to commission the Play and Park Facility Strategy.
<b>Shop Fronts Contribution</b>	15,507	<p>This has supplemented the budget in 2022/23 for improvements to shop frontages on the Delph in Swadlincote (see above). It was set-aside as a contingency should contributions from tenants not be secured.</p> <p>All tenants have now contributed and therefore these funds will be used to fund improvements to other shop fronts in the Town Centre.</p>
<b>Cultural Services Restructure Provision</b>	13,993	This provision is no longer required and is therefore available for reallocation.
<b>Risk Management Training</b>	12,000	This is being used in 2022/23 to deliver training on safety culture and contractor management. The funding was provided by the Council's insurers.

<b>District Conservation Works</b>	10,000	This provision is no longer required and is therefore available for reallocation.
<b>Pressure Washer for Bus Shelter Maintenance</b>	10,000	This was approved as a carry forward from 2021/22 to buy a new piece of equipment.
<b>Software upgrades to GIS/LLPG</b>	9,000	This provision is no longer required and is therefore available for reallocation.

#### COMMUTED SUMS

£

<b>Public Open Space - Commuted Sums</b>	456,695	<p>£300,000 has been earmarked for sites still to be adopted.</p> <p>£15,000 has been earmarked to Woodville Parish Council for Occupation Lane, until 2025/26.</p> <p>£127,000 has been earmarked for Redrow Pastures Hospital development.</p>
<b>Cultural Services Public Open Spaces</b>	270,433	This is being drawn down until 2025/26 to fund fixed-term posts in Cultural and Community Services following a restructure approved in 2020/21.
<b>Biodiversity</b>	157,638	Developer contribution received in connection with the Woodville Regeneration Route.
<b>Operational Services Public Open Spaces</b>	154,740	Earmarked to meet additional costs in Grounds Maintenance.



## COUNCIL FUNDING: PROVISIONS

£

<b>Recycling Service Provision</b>	500,000	<p>A Reserve set-up to fund any future down-turn in the price of recycling material in connection with the risk sharing arrangement under the Kerbside Recycling Contract. Since the Contract commenced in October 2021, the Council has made significant gains, hence the current size of the Reserve. The Contract is due to end in October 2024.</p> <p>Any balance on this Reserve could then be utilised to invest in the Service and to fund any changes to Waste Collection arising from the Environment Act 2021.</p>
<b>Pensions Reserve</b>	225,006	<p>This Reserve has been set-aside to meet increases in Employer (Council) contributions to the Pension Fund following Actuary Valuations. These independent valuations take place every 3 years, the next one of which is due to report in December 2022. The outcome will be reflected in the Council's contributions from 2023/24.</p> <p>The Council has historically fared better than estimated, hence the relatively healthy balance on the Reserve.</p> <p>Pending the outcome of the current valuation, there may be scope for reallocating some of this fund to meet other spending pressures.</p>
<b>Finance Staffing and Resource costs</b>	90,000	<p>This was set -aside pending the transfer of the Payroll Service into a Shared Service Arrangement and for upgrading the Payroll System which had come to end of life. At this stage, it is unlikely that a transfer of the Service will take place.</p> <p>In the meantime, the System has been upgraded and a review of the Reserve is currently taking place.</p>

<b>Business Change and Transformation</b>	52,000	This has been committed in 2022/23 to a project to implement improvements to manual systems at the Depot, in Licensing, together with processing complaints and FOI requests.
<b>Building Control Transition</b>	13,709	As the transition to a shared service arrangement was implemented several years ago, there is no requirement to maintain this Reserve and it is available for reallocation.

REPORT TO:	FINANCE AND MANAGEMENT COMMITTEE	AGENDA ITEM: 14
DATE OF MEETING:	24 NOVEMBER 2022	CATEGORY: DELEGATED
REPORT FROM:	STRATEGIC DIRECTOR (CORPORATE RESOURCES)	OPEN
MEMBERS' CONTACT POINT:	TONY GUEST, HEALTH & SAFETY OFFICER <a href="mailto:antony.guest@southderbyshire.gov.uk">antony.guest@southderbyshire.gov.uk</a>	DOC:
SUBJECT:	ANNUAL HEALTH AND SAFETY REPORT 2021-22 AND ACTION PLAN 2022-23	REF:
WARD(S) AFFECTED:	ALL	TERMS OF REFERENCE: FM 17

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## 1.0 **Recommendations**

- 1.1 That the key health and safety achievements and performance for the year ending 31 March 2022 are noted.
- 1.2 That the Health and Safety Action Plan for 2022/23 as detailed in Appendix 2 is approved.

## 2.0 **Purpose of the Report**

- 2.1 To provide an overview of the Council's health and safety performance and detail the approach taken in enabling managers and employees to understand and fulfil their health and safety duties and responsibilities. This report covers the past two years due to the impact of the COVID pandemic and not being able to submit a separate report for 2020/21.
- 2.2 The Health and Safety Action Plan 2022/23 attached at **Appendix 2** has been presented to and approved by the internal Health and Safety Committee on 13 April 2022 to agree the priorities for this year. In addition, an independent review of health and safety practices and culture at the Council has been commissioned. and is currently being progressed

## 3.0 **Detail**

- 3.1 From 23 March 2020, the landscape and profile of health and safety practice changed. With the onset of the COVID-19 pandemic and the Government announcing the first national lockdown, followed by two other periods at the end of October 2021 and then again on 4 January 2022, any previous priorities for health and safety work were put to one side and the focus switched to supporting the global/national and local response to the pandemic.
- 3.2 The day-to-day focus was on measures to be taken to protect the public, reduce the demand on the NHS and other care providers and to progress action to ensure the health and safety of the Council's workforce as they continued to provide services throughout the pandemic.

- 3.3 The Council was a key player in the national response enabling resources and facilities for testing, vaccinations and supporting residents, businesses and other partners with the provision of advice, support and monitoring to control and manage the spread of the virus. It is important to note that this work still continues with further vaccinations being provided over the coming months.
- 3.4 This report focuses on the health and safety actions and measures taken internally in the main but it is important to recognise that a significant amount of time was required to interpret and apply Government and Public Health guidelines relating to the pandemic and control measures and a constant theme throughout was change.
- 3.5 Every service area was affected and had to change/amend or review how they delivered services to residents and customers. The Health and Safety Officer provided ongoing support, advice and guidance with the development of risk assessments, control measures and practical advice based on national guidance and the local requirements to control the risk of and impact of COVID-19 on people and services.
- 3.6 Throughout this time, risk assessments and control measures were subject to constant update and review as the national guidance changed, restrictions were either amended or lifted (and then put back in place) and following the roll out of the national vaccination programme the management of COVID changed again.
- 3.7 In addition to this work, it was important to progress other activities in the Health and Safety Action Plan as appropriate. This included the provision of training for the workforce, investigation of incidents and the establishment of new working process for workstation assessments, the provision of workstation equipment and the extension of the lone working system (SoloProtect).
- 3.8 The Council has in place a framework to monitor and track Health and Safety performance with monthly meetings with the Strategic Director (Corporate Resources) and the Health and Safety Committee that meets quarterly with two Elected Members as Health and Safety Champions.
- 3.9 Professional support and advice for managers, employees and partners of the Council is provided by the Health and Safety Officer who is part of the Organisational Development and Performance Service Unit.

#### **4.0 Main Achievements**

- 4.1 As noted in the report, supporting the national response to the pandemic has been the priority over the past couple of years. A summary of work completed includes;
- Provided professional advice and support for Leadership Team, Heads of Service, employees and people working on behalf of the Council on the interpretation of all COVID related guidance issued.
  - Development, update and communication of a corporate Covid risk assessment that was subject to regular update and review. This was published on the internal staff network (Connect) and shared with the Trade Unions

- Assisting and advising the National Health Service and the Armed Forces in the provision and risk reduction of COVID 19 testing stations and vaccination centres.
- Working with colleagues in Property Services with the review of office accommodation and working arrangements to be put in place for staff to be able to work safely in the office environment. This included identifying numbers of people that could work in office spaces, siting of desks, provision of sanitising materials and office cleaning arrangements.
- Established arrangements for DSE and workstations assessment to be completed virtually for staff working from home and for the delivery of any workstation equipment that was required. Working in conjunction with an external partner (Posturite), this included the correct set up and use of essential workstation equipment to staff working from home.
- Developed resources to support the physical and mental health and wellbeing of staff working remotely.
- Supported service areas with reviewing, testing and updating risk assessments and monitoring the control measures implemented.
- Conducted risk assessments for staff classed as Clinically Extremely Vulnerable/ Clinically Vulnerable due to COVID 19. Continuing support for such staff to ease anxiety and increase confidence to attend the workplace.
- Support when restrictions were being lifted on the actions that can be taken within service areas to ensure they remained compliant with national or industry guidelines
- Provision of advice, materials and information including regular communications issued to the workforce and residents.
- Supported the corporate project team working on the new service delivery and employment models being used across the Council.
- In line with government guidance to control the risk of transmission of respiratory illness, worked with colleagues in Corporate Property to introduce new working procedures and protocols at the Civic Offices areas that includes the trial of CO2 monitors to improve ventilation in office spaces. The data from these monitors are being reviewed weekly to ensure staff compliance and risks are controlled. This will be extended to other office locations over the coming months.
- Provided advice and support for the completion of the Derbyshire County Elections held in 2021.
- Assisted with the arrangements for enabling members of the public to access the Civic Offices
- At the end of 2021, Government restrictions were relaxed and reduced with further guidance issued in relation to living and working with COVID 19. This guidance applied specifically to working in office areas and indoor spaces and grouped COVID 19 together with other similar respiratory illnesses. Office and

indoor spaces have been assessed with a new risk assessment being devised, implemented, and issued to staff and trade unions.

- Provided advice and support for the re-commencement of formal Committee meetings including the provision of additional equipment to improve airflow and ventilation in different venues including the Council Chamber
- Worked with all service areas to identify the health and safety implications of staff working both remotely and in the office to ensure that appropriate levels of service were maintained to members of the public
- Identified and provided advice on control measures that were proposed to ensure the continued delivery of front line services throughout the pandemic. In particular the arrangements to ensure compliance with the national control measures around social distance and using PPE equipment.
- The completion of risk assessments across all services areas amounting to over 300 reviews in relation to COVID.
- Provided a blended approach to learning and development activities including bespoke training for front line workers in control measures linked to working during the pandemic.
- Supported different service areas with the arrangements to install control measures to protect staff whilst at work such as screens, Personal Protective Equipment (PPE) and training on how to use, remove and dispose of safely any equipment used.
- Supported housing with the review of fire risk assessments for Council housing stock. Advice on prioritising recorded risks and recommendations to reduce the risk of fire.
- Providing professional advice for the review of Corporate and Service Health and Safety Policies and Procedures.
- Reviewed and updated the procedures for Lone Working including the provision of an extra 90 lone worker devices (SoloProtect) and training.

- 4.2 Going forward the challenges remain as COVID 19 is still in existence and has changed the behaviours of employers and employees in relation to health and safety practice. Keeping up to date with guidance, supporting staff with correct advice and guidance is important to ensure the Council adequately control the risks to all relevant persons working in and visiting Council property.

### **Incident reporting**

- 4.3 The consistent monitoring, investigation and taking appropriate actions following any incident within the Council are one of the key requirements for good health and safety practice. Any incident that results in an employee being unable to work for seven consecutive days, results in a fatality and/or specified injuries (such as fractures, amputations) are classed as a 'RIDDOR' and are reported to the Health and Safety Executive (HSE) which is the government agency that deals with health and safety matters nationally. (*RIDDOR stands for Reportable Injuries, Diseases and Dangerous Occurrence Regulations*). It should be noted that COVID-19 is classed as a reportable disease and under defined criteria is reportable as a RIDDOR.

- 4.4 As well as reporting those that result in an injury to an employee or member of the public, it is also important to record any 'near misses'. These help to identify any potential risks to others and enable managers to review and update existing work practices.
- 4.5 As required by the HSE, incident reporting has focused on work related incidents and this approach was adopted by the Council from April 2016. Since this time, whilst the number of incidents has continued to rise year on year since 2016, there has been a reduction in incidents over the last two years as summarised below.
- Year 2021/22 - 18 incidents
  - Year 2020/21 - 25 incidents
  - Year 2019/20 - 36 incidents
  - Year 2018/19 - 33 incidents
  - Year 2017/18 - 25 incidents
  - Year 2016/17 - 20 incidents
  - Year 2015/16 - 56 incidents (reporting criteria changed)
- 4.6 Using this method enables a clear focus on actions that can be taken to improve working practices, where additional training is required, or different resources/equipment can be used.
- 4.7 The total number of work-related incidents for the year 2021/22 was 18 (25 in 2020/21) of which five were RIDDOR reportable (four in 2020/21). These are shown in Appendix 1. It should be noted that these figures include two work related near misses and exclude non-work-related incidents as noted above.

## **RIDDORs**

- 4.8 There were five RIDDOR reportable accidents during the year 2021/22.
- Two employees were involved in being struck by vehicles, one sustaining a fracture to the lower leg, and one sustaining minor injury.
  - One employee was involved in a verbal and physical assault which resulted in absence from work due to physical injuries and anxiety.
  - One employee was involved in an animal related incident sustaining a bite to the body.
  - One member of the public sustained a fracture when taking part in a leisure activity at Hatton Park.
- 4.9 All incidents were fully investigated with actions, including personal welfare consultations, refresher training and reinforcement of safe systems of work, were taken to reduce any identified risks. Further details are provided in Section 5.

## **Training**

- 4.10 The proven method for establishing and maintaining a positive health and safety culture is to provide training for staff and managers.
- 4.11 During the pandemic and until government relaxation of restrictions, considerable resources were concentrated on training, information and toolbox talks for COVID safety and the protection of frontline workers. All mandatory and COVID training was

scheduled with available resources and rescheduled due to staff absence [COVID related] and the demands for essential services to the public.

- 4.12 The Council continued with its portfolio of health and safety training courses in subjects such as Basic Health and Safety Awareness, Manual Handling, Risk Assessment for Assessors, Fire Warden Procedures, and a range of toolbox talks primarily aimed at front line workers that focus on operational use of equipment and working practices.
- 4.13 Separate training in Health and Safety Awareness that details the responsibilities of Elected Members has also been provided with further sessions planned. This included an overview of lone working and the public threat of violence to Elected Members.
- 4.14 All courses are based on training systems and associated codes of practice and guidance issued by the Health and Safety Executive and Institute of Fire Safety Managers.
- 4.15 Details of training activities is reported to the Health and Safety Committee and an overview provided at the end of April 2022 showed;

#### Health and Safety Basic Awareness.

Delivered on Teams and in person as required.

71% of staff have completed the training.

#### Stress Awareness

Delivered on Teams and in person as required.

75% of staff have completed the training.

#### Safeguarding

Delivered on Teams and in person as required.

73% of staff have completed the training.

#### Managing employee wellbeing

Delivered on Teams also in person as required.

88% of managers have completed the training.

#### Attendance management

Delivered on Teams also in person as required.

90% of managers have completed the training.

#### Risk management

Delivered on Teams and in person as required.



16% of managers have completed the training.

### **Additional Health and Safety training**

#### Manual Handling Training –front line workers

58% of staff have attended bespoke session with further planned during 2022

#### Reversing Assistant training – front line workers

29% of staff have attended bespoke session with further planned during 2022

#### Spill Kit training – front line workers

39% of staff have attended bespoke session with further planned during 2022

#### Grounds maintenance operations – front line workers

Training has been provided in the safe use of equipment for different activities for new members of staff and refreshers as appropriate in;

Chipper, Cutter, Mower, Strimmer and Digger operations

#### Asbestos Awareness Training – front line workers and staff

Accredited training has been provided for 19 members of staff

#### Mental Health First aid and Self Care

17 employees have attended training and support other colleagues with their mental health

- 4.16 The training scheduled for 2022/23 will provide opportunities for employees to attend mandatory and other training specific to their job role. This should continue the positive trends in the completion levels across the Council and will be supported by regular quarterly updates to Heads of Service to monitor levels of attendance in their service.

### **Workplace Inspections, Risk Assessments and Audits**

- 4.17 Risk assessment reviews have been conducted as and when the guidance around COVID-19 changed or was amended. This created a constant high workload for the following reasons:
- Prioritising and rescheduling inspections, audits, and reviews.
  - Reviewing 300 risk assessments involving all service areas.
  - Regular consultation and support provided to staff online and within the workplace.
  - Organising and completing workplace inspections and audits throughout all service areas to enforce and re-affirm that control measures were reducing risk to staff.
  - Observing the working practices of refuse crews, provision of additional guidance and support around the use of banksmen and traffic management on and around the site.

- Visual inspections took place off site on a weekly basis to ensure refuse crews were complying with COVID safe working practices such as mask wearing and ventilation in cabs. This system of inspection was essential to keep the risk of transmission between staff low therefore ensuring services to the public were maintained.
- Observing separate vehicles for refuse crew members that were provided to follow refuse vehicles to ensure staff were separated and complied with social distancing measures.
- Inspections and audits at Rosliston Forestry Centre, local community centres and cemeteries where there was limited public attendance and leisure activities undertaken.

### **Professional Support**

- 4.18 Advice and support is provided across all service areas with the completion and review of risk assessments, incident investigations and the implementation of appropriate control measures, use of the IT Health and Safety System (AssessNET) and the development of bespoke training and toolbox talks.

### **Incident analysis**

- 4.19 The Health and Safety Officer is responsible for producing management information on the number of incidents occurring, as well as carrying out investigation and reporting to the HSE where required.
- 4.20 Statistics are collated and reported to the Health and Safety Committee on a quarterly basis. This Committee reviews the incidents to identify any trends and makes recommendations on any actions or learning that needs to be implemented.
- 4.21 The Strategic Director (Corporate Resources) chairs the Health and Safety Committee. The Elected Member Champions for Health and Safety, Officers from across the Council, along with Trade Union Health and Safety representatives also attend the meeting.
- 4.22 An annual trend analysis of all incidents/accidents has been produced for April 2021 – March 2022 with a comparative analysis provided for the previous year 2020 - 2021. Further analysis on the work-related incidents for the current year are included at **Appendix 1**.
- 4.23 In the year (April 2021 – March 2022) there were 18 incidents, five of which were reported to the HSE, as RIDDOR reportable incidents. This represents a reduction of seven from the previous year where 25 incidents occurred. There was an increase in one more RIDDOR, five, compared to four in 2020/21.
- 4.24 The highest incident rate for 2021-2022 is manual handling which is consistent with the previous year. Incidents of verbal and physical aggression also increased. This did not constitute a consistent trend over the year 2021-2022, however, within the previous three years an increasing trend of physical abuse has been identified to 'lone workers' one that has resulted in a serious injury to a member of staff. On extensive review and investigation additional control measures have been implemented in the form of 'lone worker devices' to reduce risk to all designated lone workers.
- 4.25 There was a greater total of work-related incidents, 18 compared to 11 non-work-related incidents. The decrease in non-work-related incidents is due to COVID 19

restrictions and limited public attendance at Council venues. Work related incidents are shown in Appendix 1.

## **5.0 Health and Safety Action Plan for 2022-2023**

- 5.1 The Plan for 2022/23 will be largely focused on returning to basic and proven health & safety systems in the form of training, inspections, and audits for service areas and specifically areas involved in high-risk work activities. Alongside this, the risks posed from respiratory illness will be closely monitored to ensure risks are reduced and managed.

The Health and Safety Action Plan for 2022-23 is attached at Appendix 2. Other actions that are planned include;

- To provide advice and guidance relating to the new Flexible Working Policy and in particular the continued provision of DSE/workstation assessments, equipment and working practices.
- To support the review of the arrangements in place to control levels of CO2 in office environments and the extension of the monitoring in to other office locations.
- Increase the provision of training for front line workers to include bespoke sessions in manual handling, reversing, COSHH and risk assessments.
- To review and effectively manage the risks associated with lone working and the use of the lone worker device (SoloProtect)
- To complete health and safety audits at high-risk areas such as the Depot and providing mentoring to managers so they can complete the audits.
- To review the functionality of AssessNET and enable the electronic recording of accidents to reduce the reliance on paper-based systems and improve the provision of management information.
- To complete reviews of Health and Safety procedures and policies
- To provide support for the provision of health and wellbeing activities for the workforce.

### **Health and Safety culture and behaviour review**

- 5.2 To support the Council to identify any changes to improve the health and safety culture and behaviours across the workforce, an independent review has been commissioned. This is being undertaken by an external partner who has experience and knowledge in this area and will be completed through meetings with key staff across all service areas, review of existing practices and surveys if required. Once completed the findings will be presented to the Health and Safety Committee.

### **Health and Safety Training**

- 5.3 An overview of the training scheduled/completed for 2022/23 includes;

- Provision of mandatory training activities.
- Bespoke training for front line workers in reversing, manual handling, health and safety and risk assessment.

- Completion of staff orientation sessions for flexible working.
- Increase library of Health and Safety e-Learning resources on Skill bites (E-Learning)
- Mental Health and wellbeing sessions.
- Health and Safety training for Elected Members.
- COSHH and manual handling training for cleaning staff.
- Manual handling, risk assessment and health and safety awareness for Rosliston Forestry centre and Summer Playscheme staff.
- Working at height and fire safety awareness for Careline staff
- First Aid at work training
- Fire Warden training for the new arrangements in place at the Civic Offices
- Handling conflict and aggression training for front line workers

5.3 In addition to this, the Council has worked with Zurich to provide training for Senior Officers and managers/officers in Behavioural Safety Training, Managing contracts and contractors and undertaking health and safety inspections.

## 6.0 **Financial Implications**

6.1 The costs of the additional equipment and assessments organised through the external partner, Posturite are shown below. It should be noted that virtual assessments are completed at the request of the employee and that other on-line DSE training is available to employees using the on-line health and safety system, AssessNET.

6.2 These costs of the equipment provided is being funded through monies provided to the Council to respond to the pandemic. Any equipment purchased remains the property of the Council.

Table 1: Summary of Workstation Equipment

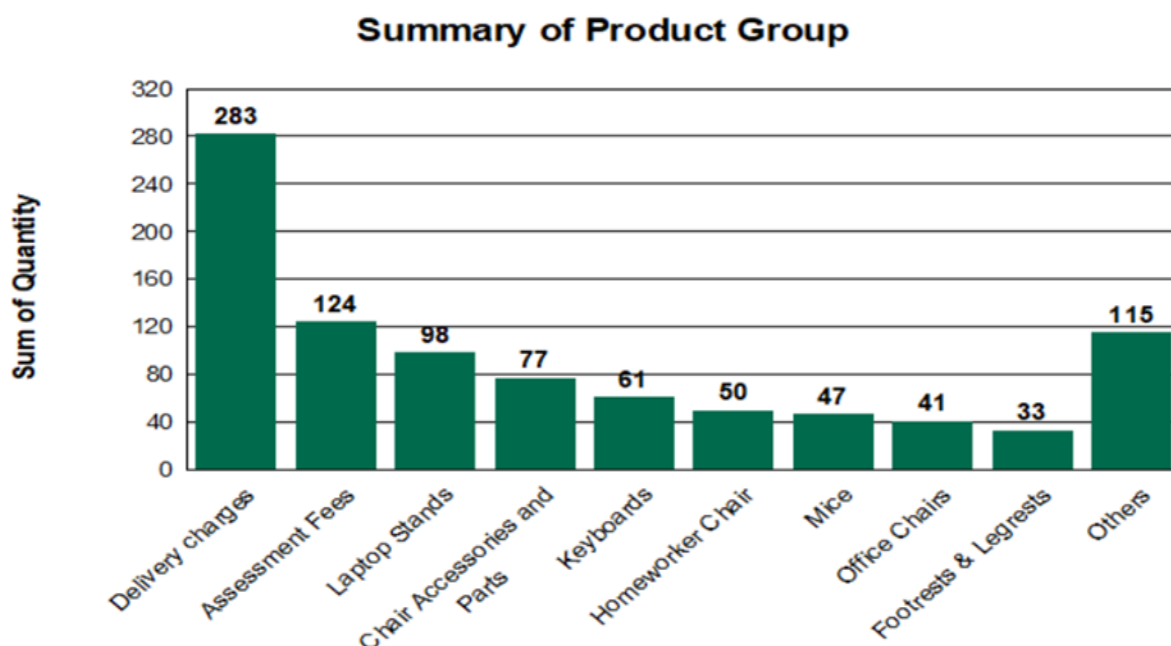


Table 2: Summary of Assessments

	Assessment	Total
Total	143	143
2020	53	53
2021	63	63
2022	27	27

Table 3: Summary of Costs

### Summary of Spend

	Total	2020	2021	2022
Total	68,450.76	20,140.20	29,670.48	18,640.08
CONSULTANCY	395.00	0.00	0.00	395.00
CURATIVE	66,915.20	20,140.20	28,529.92	18,245.08
ENABLEMENT	1,140.56	0.00	1,140.56	0.00

- 6.3 The provision of the additional SoloProtect lone worker devices has been funded from existing budgets.
- 6.4 The external review of the health and safety culture and behaviour is estimated at £11,300 and this will be funded from existing budgets.
- 6.5 The training provided by Zurich is from a historic budget reserve of £12,000 along with an annual budget for this year of £5,000. This is for Zurich's services, through the risk management fund.

## 7.0 Corporate Implications

### Employment Implications

- 7.1 Having effective health and safety arrangements promotes better working methods and early, preventative action to protect the health and well-being of the workforce.
- 7.2 In relation to the current and potential workforce, this includes positive consideration towards any workplace adaptations or resources that can support an individual with health and/or medical conditions as well as pregnant employees.

## **Legal Implications**

- 7.3 The Health and Safety at Work Act 1974 and Management of Health & Safety at Work Regulations 1999 is the primary legislation and sets down the minimum requirements for health and safety practice that should be observed by the Council.

## **Corporate Plan Implications**

- 7.4 The approach and arrangements detailed in this report underpins and supports all the key themes under the Corporate Plan and in particular the People theme.

## **Risk Implications**

- 7.5 The HSE can impose several sanctions against any employer who breach or otherwise fail to comply with Health and Safety Legislation. This can range from improvement notices through to extensive fines which not only cause financial implications but also damage the employer's reputation. Most importantly, it can have a direct and life changing impact on the workforce or recipient of any services provided by the Council. The effective management of health and safety is therefore recognised as a key risk and the detail in this report sets down how the Council is managing and improving their approach to health and safety.

## **8.0 Community Implications**

- 8.1 The Council has a responsibility for providing a safe work environment for its employees and any members of the public, contractor or visitor receiving services or accessing buildings or areas managed or owned by the Council. The arrangements detailed in this report outline how this responsibility is managed.

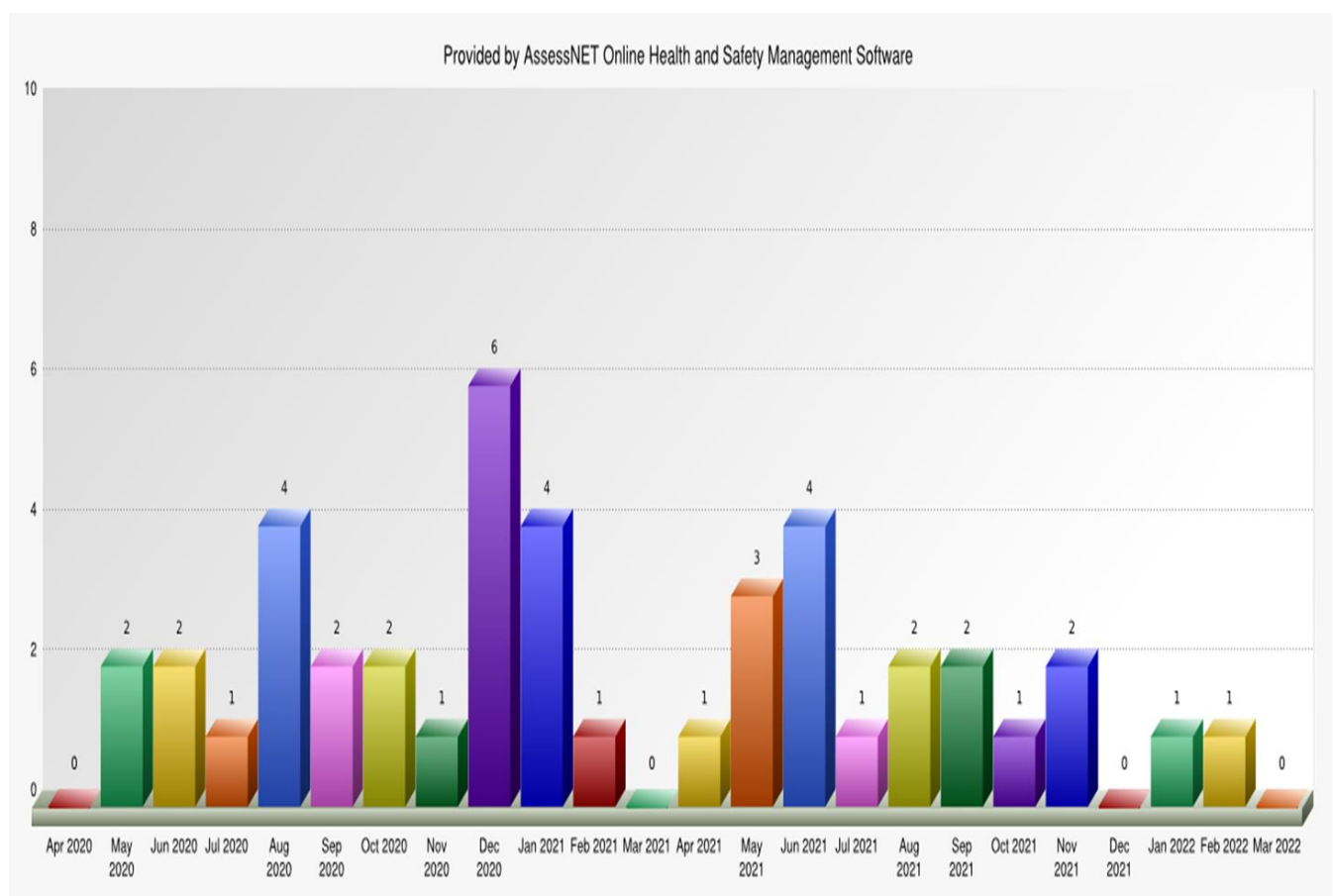
## **9.0 Background Papers**

- 9.1 Health and Safety Annual Report 2019/20.

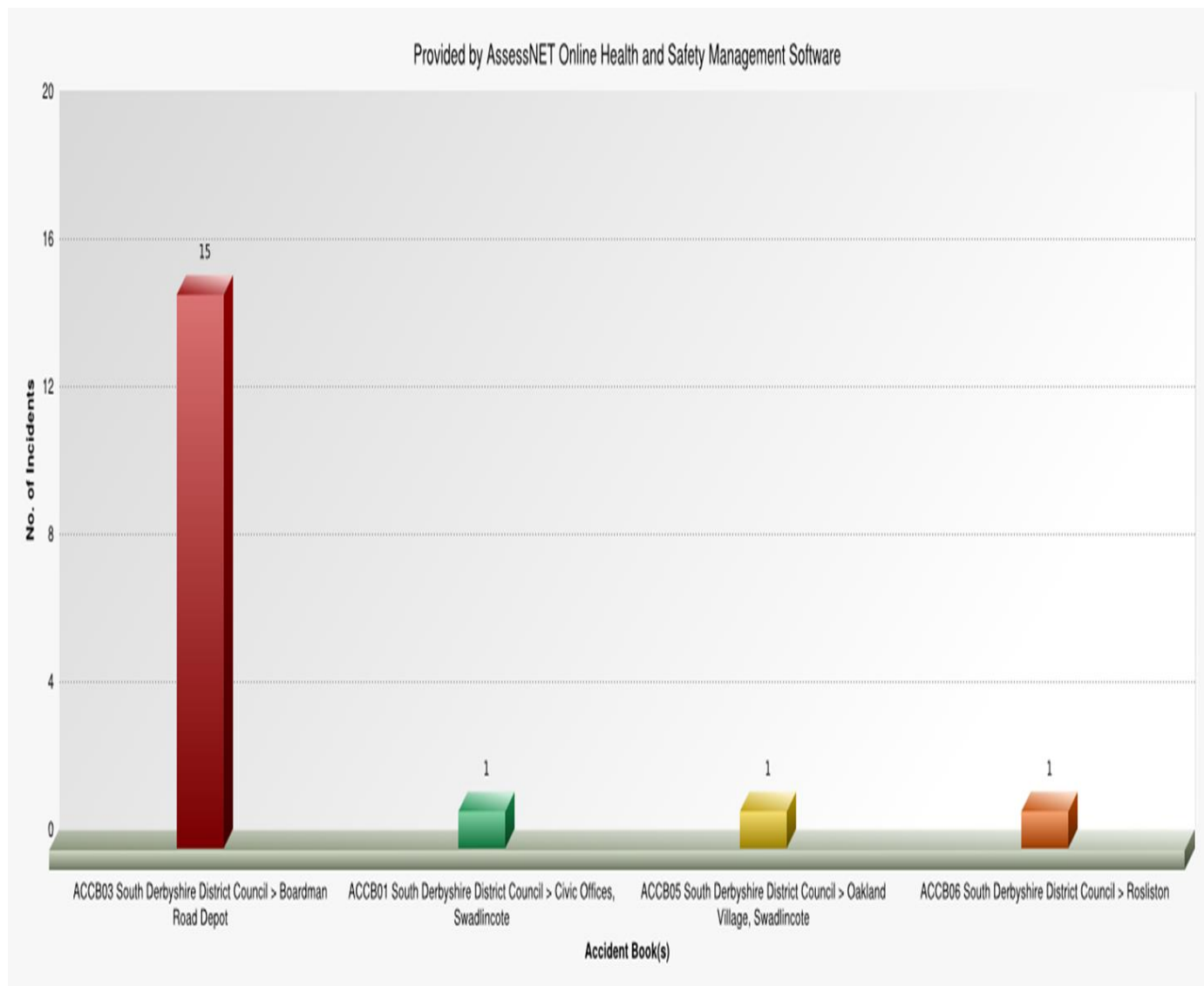
## Accident Statistics for 2021/22

For the year April 2021 – March 2022, there were 18 work related accidents/incidents, five of which were reported to the HSE, as RIDDOR reportable.

Graph 1 below illustrates the breakdown of all **work-related** accidents/incidents by month and compares the number of accidents in the last two financial years. Having moved to the new format of reporting work related accidents/incidents, the trend has evened itself out over the past five years. July & August normally have the highest incidence rates attributable to the summer schemes. However, all schemes were cancelled due to the COVID pandemic resulting in a reduction of incidents of 28%.

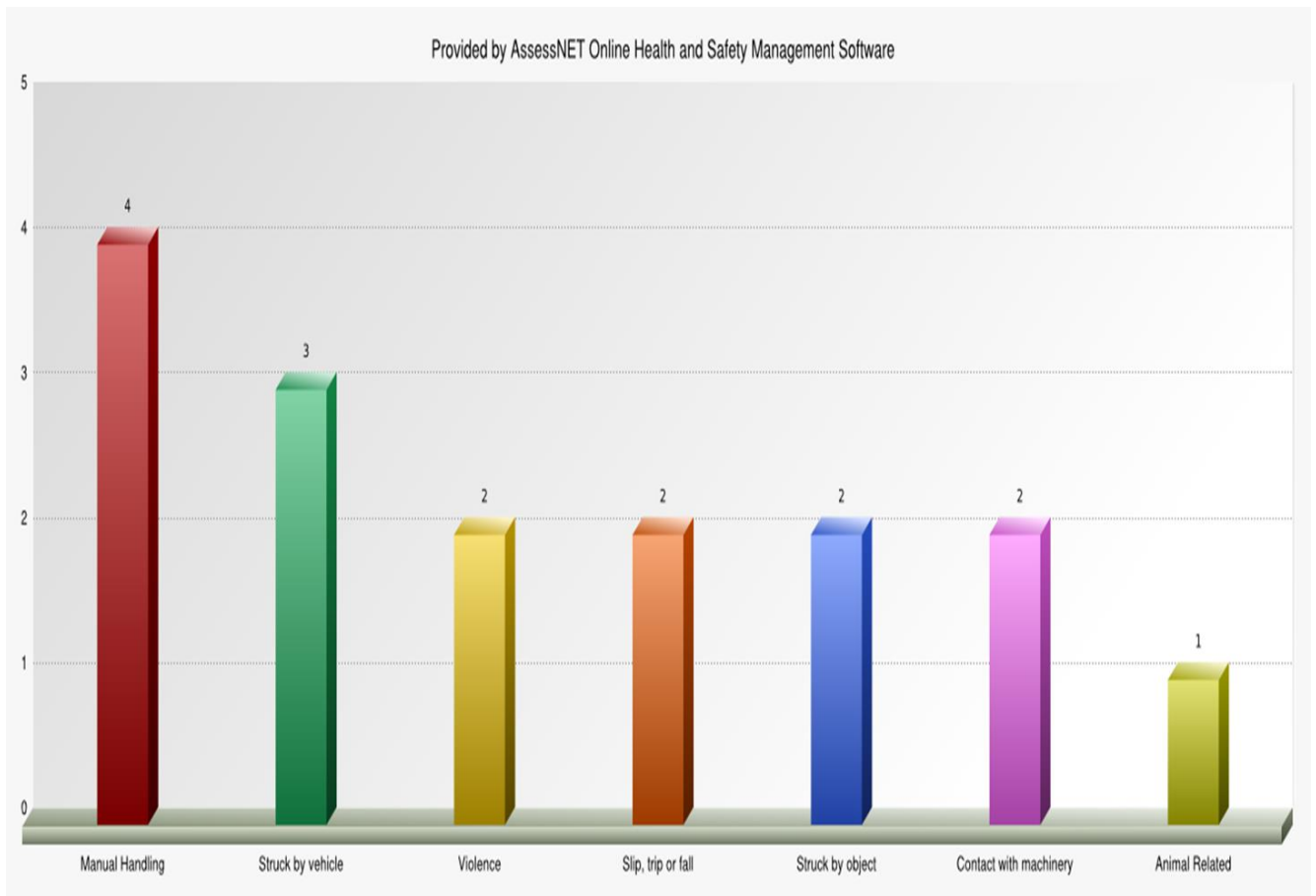


Graph 2 shows the rates of accidents/incidents for the year by Council area. Most have occurred to employees based at the Boardman Road Depot where the higher risk services are provided. This is consistent with the previous year.





Graph 3 shows the type of work-related accidents/incidents that occurred during the year. The highest types are manual handling, which is consistent with previous years. Note – does not include two near misses.



## Health and Safety Action Plan 2022/23

Health and Safety actions	Proposed actions and initiatives	Status R–Red A–Amber G–Green	Target	Comments
<b>Flexible working and COVID-19 (Coronavirus)</b>	<b>1.0 Support local actions to move to a new employment</b>			
	1.1 Update and maintain Corporate risk assessment	G	July 2022	Review and updated
	1.2 Support risk assessments across service areas	G	July 2022	Ongoing
	1.3 Support individual risk assessment for those with health conditions, BAME	G	Sept 2022	RA's completed with staff
	1.4 Complete and provide training and other materials different working locations	G	March 2023	Supporting staff briefing sessions
	1.5 Review national and local guidance and develop local documents/procedures	G	March 2023	Ongoing
	1.6 Develop internal health and safety procedures and policies	A	March 2023	Ongoing
	1.7 Support Leadership team with the implementation of flexible working and changes to Council buildings	G	March 2023	Supporting staff briefing sessions and use of control measures (CO2 monitors)
	1.8 Support HofS with arrangements for different service delivery models	A	March 2023	Ongoing
	1.9 Review and provide support for different phases of implementing flexible working	G	March 2023	Supporting staff briefing sessions
	1.10 Provide training for Managers, TU reps and employees on local arrangements in place	A	March 2023	Supporting staff briefing sessions
	1.11 Provide advice on safe arrangements for Committee meetings	A	March 2023	Ongoing
	1.12 Provide training and support for Elected Members	A	March 2023	To be arranged
<b>Policy and Procedure</b>	<b>2.0 Reviews</b>			
	2.1 Statement of Intent (Annual review)	G	April 2022	Complete
	2.2 Display Screen Equipment and homeworking (review)	A	July 2022	Ongoing
	2.3 Accident Reporting Procedure (review)	A	July 2022	Ongoing
	2.4 Working at Height	A	Sept 2022	To be rescheduled
	2.5 Occupational Health and Surveillance Programme	A	Sept 2022	To be rescheduled
<b>Training</b>	<b>3.0 Training programme</b>			
	3.1 Provide mandatory Health and Safety training	G	March 2023	Ongoing
	3.2 Deliver specific training for occupational groups – manual handling etc	G	March 2023	Session delivered for front line workers
	3.3 Develop H&S E-induction process as part of corporate arrangements	G	Sept 2022	Compete
	3.4 Design and deliver tailored toolbox talks as required	A	March 2023	Ongoing – supporting different service areas
	3.5 Develop eLearning and other virtual learning interventions for specific work activities – banks person, agency inductions	G	Dec 2022	Two new modules being rolled out on Skills bites

## Health and Safety Action Plan 2022/23

<b>Reports and management information</b>	<b>4.0 Committees and management meetings</b> 4.1 Produce monthly agenda and statistics for review meetings 4.2 Collate information for Health and Safety Committee 4.3 Complete Health and Safety Annual report 4.4 Produce information for regional health and safety committees	G G A A	Monthly Quarterly July 2022 March 2023	Complete Complete Reschedule to Oct F&M
<b>Workplace Audits and Inspections</b>	<b>5.0 Risk based approach</b> 5.1 Support Managers with inspections and audit in high risk areas (Depot)  5.2 Support local and individual assessments as part of flexible working 5.3 Review and develop use of AssessNET to keep corporate records 5.4 Review and provide template risk assessments for flexible working	G  A A G	Ongoing  Dec 2022 Dec 2022 July 2022	Inspection complete and reviewing actions RA's completed with staff  Corporate template in place
<b>RoSPA Award</b>	<b>6.0 Industry accreditation</b> 6.1 Complete and submit 2022 entry	A	July 2023	
<b>AssessNET</b>	<b>7.0 Review functionality and maintain system</b> 7.1 Develop accident reporting module and roll out across services 7.2 Review risk assessment module and roll out across services	A A	Dec 2022 March 2023	
<b>SoloProtect – Lone Worker device</b>	<b>8.0 Review of provision</b> 8.1 Complete roll out of units to lone workers  8.2 Provide training and updated information for new and current users 8.3 Produce management information on levels of use and compliance 8.4 Complete review of use and levels of compliance	G  G G A	April 2022  May 2022 Monthly Mar 2023	Units available to designated officers Ongoing training provided Ongoing
<b>Health &amp; Safety Management Framework</b>	<b>9.0 Miscellaneous</b> 9.1 Support health and well-being initiatives, linked to flexible working 9.2 Annual health surveillance programme for HAVS 9.3 Monitor and update the corporate approach for provision of equipment and other resources for agile and homeworkers 9.4 Provide support for the review of Occupational Health contract	A A G A	Dec 2022 Jan 2023 March 2023 Dec 2022	Reviewed arrangements with Posturite

<b>REPORT TO:</b>	<b>FINANCE AND MANAGEMENT COMMITTEE</b>	<b>AGENDA ITEM:15</b>
<b>DATE OF MEETING:</b>	<b>24 NOVEMBER 2022</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 December 2022\Complaints and FOI report for 24 November 2022
<b>SUBJECT:</b>	<b>COMMENTS, COMPLIMENTS, COMPLAINTS &amp; FREEDOM OF INFORMATION REQUESTS 01 APRIL 2022 TO 30 SEPTEMBER 2022</b>	<b>REF: KS/TT/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**

- 2.1 The report provides a summary of official comments, compliments, complaints, and Freedom of Information (FOI) requests received by the Council for the period 01 April 2022 to 30 September 2022. Details of individual complaints and requests etc, can be found at:  
<https://www.southderbyshire.gov.uk/about-us/open-data-and-transparency>.
- 2.2 Figures for the corresponding period in 2021/22 are given for comparison purposes.

## **3.0 Executive Summary**

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

- 3.1 The comments, compliments and complaints procedure are designed to encourage people to give informal feedback on Council services.
- 3.2 0 comments, 70 compliments and 50 complaints have been received between 01 April 2022 to 30 September 2022.
- 3.3 The number of complaints received in the first half of this financial year has decreased compared to the corresponding period of 2021/22 and the number of compliments received has increased.

- 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 The Council is committed to making itself open. A large amount of information is already available to the public, through for example, the Council's website and at community centres and village halls, etc.

### **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.)
- 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 165 Freedom of Information requests have been received from 01 April 2022 to 30 September 2022. This is an increase of 16 over the corresponding period for 2021/22.

## **4.0 Detail**

### **Comments**

- 4.1 0 comments were received over the past six months. Any comments received are carefully considered and if appropriate, are investigated under the Complaints Procedure.

<b>Department</b>	<b>1 April 2021 – 30 September 2021</b>	<b>1 April 2022 – 30 September 2022</b>
<b>Department</b>	0	0
<b>Total</b>	<b>0</b>	<b>0</b>

## Compliments

- 4.2 The table below compares the number of compliments received for the first half of 2022/2023 against the first half of 2021/2022. Compliments generally relate to the quality of the service provided and/or actions of individuals.

Department	1 April 2021 – 30 September 2021	1 April 2022 – 30 September 2022
Customer Services	10*	12*
Housing Services	14	19*
Cultural and Community Services	3*	7*
Operational Services	18*	23*
Planning and Strategic Housing Services	6	2
Environmental Services	2	2
Legal and Democratic Services	1	0
Corporate Resources	0	2
Business Change and ICT	2	3
<b>Total</b>	<b>56</b>	<b>70</b>

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

## Complaints

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

	1 April 2021 – 30 September 2021	1 April 2022 – 30 September 2022
Resolved at Stage 1	65	38
Stage 1 still ongoing	0	1
Resolved at Stage 2	8	8
Stage 2 still ongoing	1	1
Withdrawn	3	2
<b>Total received</b>	<b>77</b>	<b>50</b>

- 4.4 The complaints received can be broken down as follows:

Department	1 April 2021 – 30 September 2021	1 April 2022 – 30 September 2022
Organisational Development and Performance	1*	1
Customer Services	16*	17
Finance Services	2*	0
Housing Services	21*	10*
Cultural and Community Services	2*	2
Operational Services	19*	13*
Planning and Strategic Housing Services	10	4
Environmental Services	4*	1

Legal and Democratic Services	2*	1
Business Change and ICT	0	1
<b>Total</b>	<b>77</b>	<b>50</b>

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

4.5 For comparison, the table below shows the total number of complaints over the last four complete years:

<b>Department</b>	<b>2018/19</b>	<b>2019/20</b>	<b>2020/21</b>	<b>2021/22</b>
Organisational Development and Performance	1*	1	1	1*
Finance Services **	1	1	1	2*
Corporate Property Services **	2	2	2*	0
Customer Services	13*	18	5	20*
Housing Services	24	26	36	44*
Cultural and Community Services	7	10	6*	12*
Planning and Strategic Housing Services	16*	14	14	23
Environmental Services **	26*)	12	6	6*
Operational Services **	)	22	29	33*
Legal and Democratic Services	7	5	5	2*
Economic Development and Growth	0	0	0	1
Business Change and ICT	0	0	0	1
Chief Executive	0	0	0	2
<b>Total</b>	<b>97</b>	<b>111</b>	<b>105</b>	<b>147</b>

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

\*\* This indicates where Finance and Corporate Property Services, Environmental and Operational Services were counted as one service for the years 2018/19.

4.6 Managers dealing with the complaint are asked to complete a questionnaire following each complaint. This provides details of actions taken and improvements made because of a complaint.

4.7 From 01 April 2022 complainants have been asked to complete a complaint satisfaction questionnaire. This is to ascertain the satisfaction rate with the way in which the complaint was handled.

46 were issued from 01 April 2022 to 30 September 2022 and 6 returned. Of these questionnaires returned complainants were satisfied overall with the handling of the complaint's procedure, however, not necessarily satisfied with the outcome.

4.8 If a complaint cannot be resolved at Stage 2 of the Council's 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

- 4.9 Although the Freedom of Information Act 2000 creates a general right of access to information, it also sets out information that the Council does not have to make available for specific reasons. This is information, which, if published, might prejudice the health, safety or security of the Council, its staff, systems, services, or property.
- 4.10 As much information is made available as possible without charging for it. The Council, however, reserves the right to levy a reasonable charge where the information request is extensive and would require more than two days' staff time to satisfy the request.
- 4.11 The Council deals with hundreds of routine requests for information every day. These are referred to as "business as usual requests". However, information that is not readily available and that has to be prepared or extracted is handled differently. The Council is entitled to make a charge for this kind of information.
- 4.12 Requests for information under Freedom of Information must 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.
- 4.13 The table below compares the Freedom of Information requests received for the first half 2021/2022 against the first half of 2022/2023.

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

	<b>1 April 2021 – 30 Sept 2021</b>	<b>1 April 2022 – 30 Sept 2022</b>
Total Number of Requests Received	149	165
Less passed to other organisations	13	24
Less those withdrawn or duplicate requests	2	2
Less exemptions/partial exemptions	9	4
<b>Total Requests Answered</b>	<b>125</b>	<b>135</b>
Number replied to within 20 statutory days	100	119
Number replied to after 20 statutory days	25	16
Percentage replied to within 20 statutory days	80%	88%
Percentage replied to after 20 days	20%	12%

- 4.14 The above table shows that the response times increased overall to 88% in the first half of 2022/23.
- 4.15 The requests for information received can be broken down as follows:

<b>Department</b>	<b>1 April 2021 – 30 September 2021</b>	<b>1 April 2022 – 30 September 2022</b>
Corporate Resources	0	0
Finance Services	7*	17*



Organisational Development and Performance	8*	9*
Business Change and ICT	13*	9*
Corporate Property Services	7*	4*
Customer Services	21*	24*
Environmental Services	20*	25*
Housing Services	17*	12*
Cultural and Community Services	6*	6*
Operational Services	8*	8*
Planning and Strategic Housing Services	15*	10*
Legal and Democratic Services	12*	15*
Economic Development and Growth	1	1*
All Departments	0	1
Passed to 3 <sup>rd</sup> Parties	13*	24*

\* Same request has involved several Services.

## **5.0 Financial Implications**

5.1 None directly stemming from this report.

## **6.0 Corporate Implications**

6.1 Under the Complaints procedure the Council will write to the complainant within five 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.

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

## **7.0 Community Implications**

7.1 None.

## **8.0 Background Papers**

None.

<b>REPORT TO:</b>	<b>FINANCE AND MANAGEMENT COMMITTEE</b>	<b>AGENDA ITEM: 16</b>
<b>DATE OF MEETING:</b>	<b>24 NOVEMBER 2022</b>	<b>CATEGORY: DELEGATED</b>
<b>REPORT FROM:</b>	<b>CHIEF EXECUTIVE</b>	<b>OPEN</b>
<b>MEMBERS' CONTACT POINT:</b>	<b>FRANK MCARDLE ext. 5700</b> <a href="mailto:Frank.mcardle@southderbyshire.gov.uk">Frank.mcardle@southderbyshire.gov.uk</a>	<b>DOC:</b>
<b>SUBJECT:</b>	<b>APPOINTMENT OF A RECRUITMENT AND SELECTION PANEL</b>	
<b>WARD(S) AFFECTED:</b>	<b>ALL</b>	<b>TERMS OF REFERENCE: FM05</b>

## **1.0 Recommendations**

- 1.1 That the appointment and recruitment into the post of Strategic Director (Corporate Resources) (SM02) is delegated to a panel of five (5) Members from this Committee along with the Chair or Vice Chair of the employing Committee in accordance with the Appointment Procedure for the Chief Executive and Directors.
- 1.2 That the Committee confirms nominations for the Panel that reflects the current political balance of the Council.
- 1.3 Final arrangements regarding the recruitment and selection procedure to be followed including timescales, along with determining the selection process for the final appointment, will be agreed between the Chief Executive and Elected Members of the Panel.
- 1.4 That the Chief Executive appoints an external recruitment partner to support the recruitment process in line with the Council's Financial Procedures rules.

## **2.0 Purpose of the Report**

- 2.1 To appoint a Recruitment and Selection Panel to complete the recruitment in to the post of Strategic Director (Corporate Resources) (SM02).
- 2.2 That the recruitment is completed in accordance with the Appointment Procedure for the Chief Executive and Directors.
- 2.3 To propose the appointment of an external partner to support the recruitment process subject to the requirements of the Council's Financial Procedure rules being met.

### **3.0 Detail**

#### **Review of existing structure**

- 3.1 The current postholder in the post of Strategic Director (Corporate Resources) (SM02) has submitted his resignation and will take voluntary early retirement with effect from 17 March 2023.
- 3.2 The Chief Executive has obtained independent advice from the Local Government Association to complete a review of the existing Leadership Team structure that has been in place from 1 December 2017 along with the revised Head of Service structure implemented from 1 April 2019. As reported to Full Council on 3 November 2022, it is considered that the existing arrangements provide the Council with the appropriate levels of resources and resilience to lead the delivery of high performing and customer focused services for the District.
- 3.3 A key consideration made on the effectiveness of the current arrangements was the work completed over the past two years to respond to the national, regional and local requirements arising from the pandemic. Throughout this period, the response from the Council was positive and at times at the forefront of the different arrangements that had to be put in place quickly and safely which has enhanced the Council's reputation within the District and wider whilst sustaining high levels of service for residents and customers.

#### **Appointment of a Recruitment and Selection Panel**

- 3.4 As this is a senior appointment at the Council it will require this Committee to appoint a Panel of Elected Members to complete the recruitment in line with the Appointment Procedure for Chief Executive and Directors. This Panel should consist of five members chosen from this Committee.
- 3.5 Once appointed, this Panel will then have delegated authority from the Committee to:
- Complete the appointment into the post of Strategic Director (Corporate Resources)
  - Agree the recruitment and selection procedure, including the use of selection criteria, shortlisting candidates and assessment methods.
- 3.6 In line with the Appointment Procedure for Chief Executive and Directors this Committee is required to approve the following;
- To fill the vacant post
  - To agree that an external recruitment process is commenced
  - To agree that the Panel will meet and determine;
    - The final shortlisting of candidates
    - The arrangements for the formal panel interview and method of assessment
    - Procedure for making an appointment
    - Agreeing the convention for making an appointment. This would normally be a majority vote of the members of the Panel. Officers attend in an advisory capacity only

- 3.7 When appointing in to the post of Strategic Director (Corporate Resources), other members of this Committee will be informed when the shortlisting of candidates has been completed and provided with an opportunity to view all shortlisted applications.
- 3.8 Before any appointment is confirmed, the Chief Executive will notify all Members of this Committee of the decision taken. Members of this Committee will be given a maximum of three (3) working days in which to raise any objections to the decision taken.

### **Support for the recruitment process**

- 3.9 To support the recruitment in to the post of Strategic Director (Corporate Resources) (SM02), it is proposed that an external partner is appointed, subject to meeting the requirements of the Council's Financial Procedure rules.
- 3.10 Proposals have been sought from three companies to provide this support and the Chief Executive will review and appoint a partner to support the Council with this appointment.

### **4.0 Financial Implications**

- 4.1 There is no proposed changes to the grade for the post of Strategic Director (Corporate Resources) so the salary budget is unaffected.
- 4.2 The cost of appointing an external recruitment partner is estimated to be around £15,000 and subject to the support that is required by the Council. This can be met from existing budgets including salary savings from the vacant post.

### **5.0 Corporate Implications**

#### **Employment Implications**

- 5.1 There are no changes proposed to the existing terms and conditions of employment and duties of the post.
- 5.2 The recruitment is to be completed in line with the Appointment Procedure for Chief Executive and Directors which will provide a robust framework for the appointment to be completed in a fair and transparent manner.

#### **Legal Implications**

- 5.3 None directly arising from the report.

#### **Corporate Plan Implications**

- 5.4 The appointment in to this post provides the strategic leadership resilience and resources to lead the delivery of services to achieve the Council's Corporate Plan. In particular this post will provide corporate leadership around;
- To be the Council's principal advisor on finance matters in order to discharge the statutory Section 151 Officer role and ensure the controlled delivery of the Medium Term Financial Plan.

- Drive the achievement of the Council's Business Change and Transformation Plan 2020-24 and demonstrate value for money services for internal and external customers.

### **Risk Impact**

5.5 None directly arising from the report.

### **6.0 Community Impact**

#### **Consultation**

6.1 None directly arising from the report.

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

6.2 None directly arising from the report.

#### **Social Value Impact**

6.3 None directly arising from the report.

#### **Environmental Sustainability**

6.4 None directly arising from the report.

### **7.0 Background Papers**

Appointment Procedure for the Chief Executive and Directors

<b>REPORT TO:</b>	<b>FINANCE AND MANAGEMENT COMMITTEE</b>	<b>AGENDA ITEM:17</b>
<b>DATE OF MEETING:</b>	<b>24 NOVEMBER 2022</b>	<b>CATEGORY: RECOMMENDED</b>
<b>REPORT FROM:</b>	<b>MATTHEW HOLFORD HEAD OF SERVICE – ENVIRONMENTAL SERVICES</b>	<b>OPEN</b>
<b>MEMBERS' CONTACT POINT:</b>	<b>JOHN KINDERMAN, CLIMATE AND ENVIRONMENT OFFICER</b> <a href="mailto:john.kinderman@southderbyshire.gov.uk">john.kinderman@southderbyshire.gov.uk</a>	<b>DOC:</b>
<b>SUBJECT:</b>	<b>AMENDED D2N2 FUNDING PROGRAMME FOR A PILOT HYDROGEN FUELLED WASTE COLLECTION SERVICE</b>	
<b>WARD(S) AFFECTED:</b>	<b>ALL</b>	<b>TERMS OF REFERENCE: FM</b>

## **1.0 Amended Recommendations**

- 1.1 The Committee accepts the amended terms of the D2N2 Future Funding Programmes Grant.

### **Background Detail**

- 1.2 The D2N2 Funding Programme for a pilot hydrogen fuelled waste collection service has developed because of the Council's carbon neutral commitments, necessitating the transition of its Refuse Collection Vehicles (RCV's) to low carbon emission vehicles. This transition is more complex than the remainder of the Council's vehicle fleet as their weight, geographical range and operational capability mean that electric alternatives are both prohibitively expensive and currently on a technical basis not fit for purpose.
- 1.3 On this basis the Council has put forward a proposal for a pilot hydrogen project, funded by D2N2 and match funded by the Council to develop a 12-month programme to pilot the conversion of two diesel RCV's to a hydrogen/diesel blend and to monitor the operational performance, tailpipe emission reductions, gain experience of hydrogen refuelling and storage and to develop a cost benefit analysis of diesel hydrogen blend compared to diesel only and other low carbon fuels.
- 1.4 This matter was considered by Committee on the 28<sup>th</sup> of April 2022 and the terms of the Grant were accepted by the Committee. On further investigation it is apparent that the site of the initiative at Toyota Manufacturing (UK) in Burnaston is not appropriate and the initiative would be better situated at the Council's Boardman Depot in Swadlincote. This has necessitated a revised Grant Offer, and not as originally suggested.

- 1.5 Several feasibility studies on the Toyota site were carried out to determine the operational suitability by subject matter experts, as follows:
- 1.6 **A site investigation** was completed by a Hydrogen engineer who concluded that to ensure operational and safety suitability an increased surface hardstanding was required to ensure that the weight of the mobile hydrogen refuelling station and the ongoing 'scuffing' resulting from the turning circle of the two Refuse Collection Vehicles (RCV's) was accommodated. This increased surface hardstanding at the Toyota site was estimated to increase the costs of the Programme by between £85,000 - £125,000. As the Funding Programme is for a 12-month period only and the additional cost would be incurred by the Council, this was considered as not cost effective.
- 1.7 **The operational feasibility** of the Toyota site was completed by Head of Operational Services who concluded that the siting of the two Council RCV's would increase the operational service teams travel to work time, decrease the flexibility of the kerbside collection service and detrimentally effect the operational management of both the collection teams and vehicle maintenance because of the distance between the Toyota site and Boardman Depot in Swadlincote where the waste operations are based.
- 1.8 For the above reasons Officers have negotiated with the D2N2 Funding Programme for the Pilot Hydrogen Fuelled Waste Collection Service to be based at the Council's Boardman Depot alongside the existing waste collection service. The Funders have agreed the change and issued a revised Terms.
- 1.9 The changing of the site location has no impact on the delivery of this programme nor any other aspect of the Terms.

### **Financial Implications**

- 1.10 There is no change to the funding because of this amended site location, which consists of the D2N2 Low Carbon Growth Fund (£310k) and the match funding (£395.8k) as shown below:

	Funding
Low Carbon Growth Fund (D2N2)	£310,000
South Derbyshire District Council (2 x RCV's)	£360,000
South Derbyshire District Council (use of Boardman Depot as site location)	£10,800
Dual Fuel Conversion Kit Suppliers (Training & subject matter expertise)	£25,000
Total	£705,800

### **Corporate Implications**

#### **Employment**

- 1.11 There are no Employment Implications as the Operational Teams for the two RCV's as part of this pilot will continue to be based at the Boardman Depot.

#### **Legal**

- 1.12 None

## **Corporate Plan**

1.13 This proposal continues to meet the Corporate Plan key aims “*Striving to make the Council carbon neutral by 2050*”, “*Working with residents, businesses and partners to reduce their carbon footprint*” and “*Support business development and new investment in the District.*”

## **Risk Impact**

1.14 The primary risks identified in the original report will not change because of the change in site location. There is a risk of siting a hydrogen refuelling station at the Boardman Depot. These risk implications have been investigated by the Head of Operational Services and the risks can be mitigated and are offset by the benefits of locating this pilot programme on the Boardman Depot.

## **Community Impact**

### **Consultation**

1.15 Same as original report

### **Equality and Diversity Impact**

1.16 Same as original report

### **Social Value Impact**

1.17 Same as original report

### **Environmental Sustainability**

1.18 Same as original report

## **Conclusions**

1.19 That the Committee approves the change in location of the pilot project from the Toyota Manufacturing (UK) site in Burniston to the Council's Boardman Depot.

1.20 That the Committee approves the acceptance of the D2N2 funding based on this amendment and continues to welcome the innovative approach the Council is taking with this Pilot Hydrogen Project.

## **Background Papers**

[D2N2 Funding Programme for a pilot hydrogen fuelled waste collection service. Finance and Management Committee Report on the 28<sup>th</sup> of April 2022 \(FM08\).](#)



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<b>REPORT TO:</b>	<b>FINANCE AND MANAGEMENT COMMITTEE</b>	<b>AGENDA ITEM: 18</b>
<b>DATE OF MEETING:</b>	<b>24 NOVEMBER 2022</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  
Work Programme for the Municipal Year 2022/23**

<b>Work Programme Area</b>	<b>Date of Committee Meeting</b>	<b>Contact Officer (Contact details)</b>
Corporate Resources & Chief Executive Service Plans 2022/23	9 June 2022	Fiona Pittam (Head of Organisational Development & Performance) <a href="mailto:Fiona.pittam@southderbyshire.gov.uk">Fiona.pittam@southderbyshire.gov.uk</a> (07480 836879)
Corporate Plan Performance Monitoring 2021/22: Quarter 4	9 June 2022	Fiona Pittam (Head of Organisational Development & Performance) <a href="mailto:Fiona.pittam@southderbyshire.gov.uk">Fiona.pittam@southderbyshire.gov.uk</a> (07480 836879)
Compliments, Comments, Complaints and FOI Requests: October 2021 to March 2022	9 June 2022	Kevin Stackhouse (Strategic Director) <a href="mailto:Kevin.stackhouse@southderbyshire.gov.uk">Kevin.stackhouse@southderbyshire.gov.uk</a> (01283 595811)
Energy Rebate: Proposed Policy for Distributing Government Funding under a Discretionary Scheme	9 June 2022	Lizzie Barton (Head of Customer Services) <a href="mailto:Elizabeth.barton@southderbyshire.gov.uk">Elizabeth.barton@southderbyshire.gov.uk</a> (07552 248759)
Final Revenue Budget Outturn 2021/22	21 July 2022	Charlotte Jackson (Head of Finance) <a href="mailto:Charlotte.jackson@southderbyshire.gov.uk">Charlotte.jackson@southderbyshire.gov.uk</a>
Treasury Management Annual Report 2021/22	21 July 2022	Charlotte Jackson (Head of Finance) <a href="mailto:Charlotte.jackson@southderbyshire.gov.uk">Charlotte.jackson@southderbyshire.gov.uk</a>

Final Capital Outturn 2021/22	21 July 2022	Charlotte Jackson (Head of Finance) <a href="mailto:Charlotte.jackson@southderbyshire.gov.uk">Charlotte.jackson@southderbyshire.gov.uk</a>
Equality, Diversity, and Inclusion Strategy and Action Plan 2021 to 2025 – Proposed Resourcing	21 July 2022	Fiona Pittam (Head of Organisational Development & Performance) <a href="mailto:Fiona.pittam@southderbyshire.gov.uk">Fiona.pittam@southderbyshire.gov.uk</a> (07480 836879)
Annual Training Report 2021/22 and Priorities for 2022/23	21 July 2022	Fiona Pittam (Head of Organisational Development & Performance) <a href="mailto:Fiona.pittam@southderbyshire.gov.uk">Fiona.pittam@southderbyshire.gov.uk</a> (07480 836879)
Discretionary Housing Payment Fund Enhancements 2022/2023	21 July 2022	Lizzie Barton (Head of Customer Services) <a href="mailto:Elizabeth.barton@southderbyshire.gov.uk">Elizabeth.barton@southderbyshire.gov.uk</a> (07552 248759)
Corporate Plan Performance Monitoring 2022/23: Quarter 1	25 August 2022	Fiona Pittam (Head of Organisational Development & Performance) <a href="mailto:Fiona.pittam@southderbyshire.gov.uk">Fiona.pittam@southderbyshire.gov.uk</a> (07480 836879)
General Fund Revenue Financial Monitoring 2022/23	25 August 2022	Charlotte Jackson (Head of Finance) <a href="mailto:Charlotte.jackson@southderbyshire.gov.uk">Charlotte.jackson@southderbyshire.gov.uk</a>
Collection Fund Position 2022/23	25 August 2022	Charlotte Jackson (Head of Finance) <a href="mailto:Charlotte.jackson@southderbyshire.gov.uk">Charlotte.jackson@southderbyshire.gov.uk</a>
Housing Revenue Account Monitoring 2022/23	25 August 2022	Charlotte Jackson (Head of Finance) <a href="mailto:Charlotte.jackson@southderbyshire.gov.uk">Charlotte.jackson@southderbyshire.gov.uk</a>

Capital Financial Monitoring 2022/23	25 August 2022	Charlotte Jackson (Head of Finance) <a href="mailto:Charlotte.jackson@southderbyshire.gov.uk">Charlotte.jackson@southderbyshire.gov.uk</a>
Treasury Update 2022/23	25 August 2022	Charlotte Jackson (Head of Finance) <a href="mailto:Charlotte.jackson@southderbyshire.gov.uk">Charlotte.jackson@southderbyshire.gov.uk</a>
Transformation Plan Update	25 August 2022	Anthony Baxter (Head of Business Change and IT) <a href="mailto:Anthony.baxter@southderbyshire.gov.uk">Anthony.baxter@southderbyshire.gov.uk</a>
Financial Contribution Towards an Active Schools Partnership PE & School Sport Apprentice Through Amber Valley School Sport Partnership (AVSSP)	25 August 2022	Ian Gee (Active Schools Partnership Officer) <a href="mailto:Tony.gee@southderbyshire.gov.uk">Tony.gee@southderbyshire.gov.uk</a>
Corporate Plan Performance Monitoring 2022/23: Quarter 2	24 November 2022	Fiona Pittam (Head of Organisational Development & Performance) <a href="mailto:Fiona.pittam@southderbyshire.gov.uk">Fiona.pittam@southderbyshire.gov.uk</a>
General Fund Revenue Financial Monitoring 2022/23	24 November 2022	Charlotte Jackson (Head of Finance) <a href="mailto:Charlotte.jackson@southderbyshire.gov.uk">Charlotte.jackson@southderbyshire.gov.uk</a>
Housing Revenue Account Monitoring 2022/23	24 November 2022	Charlotte Jackson (Head of Finance) <a href="mailto:Charlotte.jackson@southderbyshire.gov.uk">Charlotte.jackson@southderbyshire.gov.uk</a>
Collection Fund Position 2022/23	24 November 2022	Charlotte Jackson (Head of Finance) <a href="mailto:Charlotte.jackson@southderbyshire.gov.uk">Charlotte.jackson@southderbyshire.gov.uk</a>
Capital Financial Monitoring 2022/23	24 November 2022	Charlotte Jackson (Head of Finance) <a href="mailto:Charlotte.jackson@southderbyshire.gov.uk">Charlotte.jackson@southderbyshire.gov.uk</a>

Treasury Update 2022/23	24 November 2022	Charlotte Jackson (Head of Finance) <a href="mailto:Charlotte.jackson@southderbyshire.gov.uk">Charlotte.jackson@southderbyshire.gov.uk</a>
A Review of Earmarked Reserves	24 November 2022	Kevin Stackhouse (Strategic Director) <a href="mailto:Kevin.stackhouse@southderbyshire.gov.uk">Kevin.stackhouse@southderbyshire.gov.uk</a>
Compliments, Comments, Complaints and FOI Requests: April 2022 to September 2022	24 November 2022	Kevin Stackhouse (Strategic Director) <a href="mailto:Kevin.stackhouse@southderbyshire.gov.uk">Kevin.stackhouse@southderbyshire.gov.uk</a>
Annual Health and Safety Report 2021-22 and Action Plan 2022-23	24 November 2022	David Clamp <a href="mailto:David.clamp@southderbyshire.gov.uk">David.clamp@southderbyshire.gov.uk</a>
Recruitment and Selection Panel Appointment	24 November 2022	Frank McArdle <a href="mailto:frank.mcardle@southderbyshire.gov.uk">frank.mcardle@southderbyshire.gov.uk</a>
D2N2 Funding Programme for a pilot hydrogen fuelled waste collection service – amended recommendation.	24 November 2022	John Kinderman (Climate & Environment Officer) <a href="mailto:john.kinderman@southderbyshire.gov.uk">john.kinderman@southderbyshire.gov.uk</a>
Service Base Budgets 2023/24	12 January 2023	Charlotte Jackson (Head of Finance) <a href="mailto:Charlotte.jackson@southderbyshire.gov.uk">Charlotte.jackson@southderbyshire.gov.uk</a>
Council Tax Base 2023/24 and Collection Fund Surplus 2022/23	12 January 2023	Charlotte Jackson (Head of Finance) <a href="mailto:Charlotte.jackson@southderbyshire.gov.uk">Charlotte.jackson@southderbyshire.gov.uk</a>

Proposed Local Council Tax Support Scheme 2023/24	12 January 2023	Catherine Grimley (Head of Customer Services) <a href="mailto:Catherine.grimley@southderbyshire.gov.uk">Catherine.grimley@southderbyshire.gov.uk</a>
A Review of the Flexible Working Policy	12 January 2023	Fiona Pittam (Head of Organisational Development & Performance) <a href="mailto:Fiona.pittam@southderbyshire.gov.uk">Fiona.pittam@southderbyshire.gov.uk</a>
General Fund Consolidated Budget 2022/23 and MTFP to 2028	9 February 2023	Charlotte Jackson (Head of Finance) <a href="mailto:Charlotte.jackson@southderbyshire.gov.uk">Charlotte.jackson@southderbyshire.gov.uk</a>
Housing Revenue Account Budget 2023/24 and Financial Plan to 2033	9 February 2023	Charlotte Jackson (Head of Finance) <a href="mailto:Charlotte.jackson@southderbyshire.gov.uk">Charlotte.jackson@southderbyshire.gov.uk</a>
Capital Programme Budget and Financing 2023 to 2028	9 February 2023	Charlotte Jackson (Head of Finance) <a href="mailto:Charlotte.jackson@southderbyshire.gov.uk">Charlotte.jackson@southderbyshire.gov.uk</a>
Corporate Plan Performance Monitoring 2022/23: Quarter 3	16 March 2023	Fiona Pittam (Head of Organisational Development & Performance) <a href="mailto:Fiona.pittam@southderbyshire.gov.uk">Fiona.pittam@southderbyshire.gov.uk</a> (07480 836879)
General Fund Revenue Financial Monitoring 2022/23	16 March 2023	Charlotte Jackson (Head of Finance) <a href="mailto:Charlotte.jackson@southderbyshire.gov.uk">Charlotte.jackson@southderbyshire.gov.uk</a>
Housing Revenue Account Financial Monitoring 2022/23	16 March 2023	Charlotte Jackson (Head of Finance) <a href="mailto:Charlotte.jackson@southderbyshire.gov.uk">Charlotte.jackson@southderbyshire.gov.uk</a>

Collection Fund Position 2022/23	16 March 2023	Charlotte Jackson (Head of Finance) <a href="mailto:Charlotte.jackson@southderbyshire.gov.uk">Charlotte.jackson@southderbyshire.gov.uk</a>
Capital Financial Monitoring 2022/23	16 March 2023	Charlotte Jackson (Head of Finance) <a href="mailto:Charlotte.jackson@southderbyshire.gov.uk">Charlotte.jackson@southderbyshire.gov.uk</a>
Treasury Update 2022/23	16 March 2023	Charlotte Jackson (Head of Finance) <a href="mailto:Charlotte.jackson@southderbyshire.gov.uk">Charlotte.jackson@southderbyshire.gov.uk</a>