



**F. McArdle**  
**Chief Executive**

Civic Offices, Civic Way,  
Swadlincote, Derbyshire DE11 0AH

**[www.south-derbys.gov.uk](http://www.south-derbys.gov.uk)**

**Please ask for:** Debra Townsend  
Phone: (01283) 595848  
Minicom: (01283) 595849  
DX 23912 Swadlincote

Our ref: DT/CL  
Your ref:

Date: 27 November 2013

Dear Councillor,

**Finance and Management Committee**

A Meeting of the **Finance and Management Committee** will be held in the **Council Chamber**, on **Thursday, 05 December 2013 at 18:00**. You are requested to attend.

Yours faithfully,

Chief Executive

To:- **Conservative Group**  
Councillor Wheeler (Chairman), Councillor Mrs. Watson (Vice-Chairman) and  
Councillors Jones, Lemmon, Murray, Smith and Watson.

**Labour Group**  
Councillors Bell, Rhind, Richards, Southerd, Taylor and Wilkins.



## **AGENDA**

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

- |           |  |                  |
|-----------|--|------------------|
| <b>1</b>  | Apologies  |                  |
| <b>2</b>  | To receive the Open Minutes of the Special Committee held on the 25th September and of the Committee |                  |
| <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>  | Careline Services – Consortium proposal  | <b>5 - 8</b>     |
| <b>8</b>  | Corporate Plan 2009 to 2014 Performance Management Report (1 July 2013 – 30 September 2013)          | <b>9 - 20</b>    |
| <b>9</b>  | Budget and Financial Monitoring 2013/14  | <b>21 - 44</b>   |
| <b>10</b> | Local Council Tax Support Scheme – Financial Update  | <b>45 - 51</b>   |
| <b>11</b> | Complaints, Compliments & Freedom of Information Requests 01 April 2013 to 30 September 2013         | <b>52 - 85</b>   |
| <b>12</b> | Corporate Services Contract and Strategic Partnership Annual Report 2012/13                          | <b>86 - 96</b>   |
| <b>13</b> | ICT Update and Work Plan 2013 to 2016  | <b>97 - 110</b>  |
| <b>14</b> | Work Programme   | <b>111 - 112</b> |

## Exclusion of the Public and Press:

- 15** The Chairman may therefore move:-

That in accordance with Section 100 (A) of the Local Government Act 1972 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.

- 16** To receive the Exempt Minutes of the Committee held on 17th October 2013.

Details

- 17** To receive any Exempt questions by Members of the Council pursuant to Council procedure Rule No. 11.

Details

- 18** Review of Land Charges Function (Paragraph 1)

- 19** Replacement Stalls For Swadlincote Market (Paragraph 3)

- 20** Community and Planning Restructure (Paragraph 2) Report to follow.



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|--------------------------------|---|--|
| <b>REPORT TO:</b>              | <b>Finance and Management Committee</b>               | <b>AGENDA ITEM: 7</b>                  |
| <b>DATE OF MEETING:</b>        | <b>5<sup>th</sup> December 2013</b>                   | <b>CATEGORY: DELEGATED</b>             |
| <b>REPORT FROM:</b>            | <b>Director of Housing and Environmental Services</b> | <b>OPEN</b>                            |
| <b>MEMBERS' CONTACT POINT:</b> | <b>Bob Ledger<br/>Ext. 5975</b>                       | <b>DOC:</b>                            |
| <b>SUBJECT:</b>                | <b>Careline Services – Consortium proposal</b>        | <b>REF:</b>                            |
| <b>WARD(S) AFFECTED:</b>       | <b>All</b>  | <b>TERMS OF REFERENCE: HCS01, FM01</b> |

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## **1. Recommendations**

- 1.1 Members approve further expenditure of up to £10,000 from the Housing Revenue Account in the development of two separate companies in a consortium arrangement to deliver Careline services county wide from October 2014. The detail of the expenditure to be approved by the Chairman of the Housing and Community Services Committee.
- 1.2 To note the recommendation of the Housing and Community Services Committee recommendation from the meeting held 28<sup>th</sup> November regarding this matter.

## **2. Purpose of Report**

- 2.1 In reports to the 1<sup>st</sup> September 2011 and 13<sup>th</sup> June 2013 Housing and Community Services Committees members approved officers to progress a consortium project to provide Careline services across Derbyshire.
- 2.2 This report seeks approval to commit further resources in progressing the feasibility and development of the project.

## **3. County Council Supported Housing Funded Contracts**

- 3.1 Supported Housing Services in South Derbyshire come in two forms. The Careline Coordinator Services (formerly sheltered housing wardens) and Careline and Telecare Call Monitoring Services. The primary, but not only, funding source for both services is the County Council through what was known as Supporting People finance. Basically this funding pays for the supported housing services of most of those people in receipt of welfare benefits. The balance of the funding comes from individual customers paying for the service direct to ourselves.
- 3.2 Historically the County Council has paid different amounts around the County dependent on the cost submissions of the service deliverers; Borough/District Councils (as in our situation), Housing Associations or private sector providers.

- 3.3 Charges around the County have differed significantly and inevitably the County Council has sought to deliver better and more consistent value
- 3.4 The Warden contract (Older Persons Housing Related Support Service) was tendered on a traditional specification basis in 2012 and the tender from South Derbyshire District Council was successful in the face of external competition. This contract award, effective 1<sup>st</sup> April 2013, ensures continuity of service, a locally based service and value for money. Members will recall that we had restructured the service in 2011 to prepare us for the tendering process and this stood us in good stead.
- 3.5 For Careline Control and Monitoring Contracts the Committee approved, in September 2011, the progression of a potential consortium arrangement of the then three (High Peak have subsequently wound up their ALMO arrangement) retained housing stock councils in Derbyshire each of which retain a separate control room. Effectively the consortium idea was to work together to share costs and provide services county wide thereby delivering better value across the board including to the main client, the County Council. The arrangement was dependent on the County Council being willing and able to bring their 9,000 funded customers into the arrangement which was confirmed in a County Cabinet decision of November 2011.
- 3.6 To date the 3 authorities (Bolsover, Chesterfield and ourselves) have worked up a large part of the detail in forming a consortium. The original proposal was that the new consortium could be in place for April 2013. However in the summer of 2012 the Adult Care Officers we were liaising with in the County Council, received legal advice that they could not simply 'handover' clients to the consortium. This was primarily because the consortium would have been an external body to the County Council.
- 3.7 On price grounds the consortium would never be the cheapest possible provider in the market as there are large national call handling companies operating in this service area i.e. who can always deliver a higher economy of scale. All parties involved though also wanted to keep the service as local as possible where control room operators have the potential to better understand the localities of the customers, where quality can be more readily assured and where the service could be developed further to complement other care services provided by the County Council and by the local NHS Trust.
- 3.8 Following the legal advice given to the County Council in the summer of 2012 an alternative means of delivering the service within the County has been sought. Further legal advice has been obtained and the potential solution is to bring the County Council into the consortium effectively as the fourth partner. That advice goes on to state that the form of the consortium would need to be in two companies: one for the publicly funded customers and one for those paying for the service direct i.e. a trading company.
- 3.9 Each of the four consortium partners now has broad political approval to progress this alternative arrangement. Although no decisions have been made on governance arrangements the basic principles proposed are that the partners would share the efficiencies of joint working and members would take on the role of Directors in companies limited by guarantee i.e. the Directors would be nominated by the four consortium partners.
- 3.10 The advantage of the proposed model is that it keeps the service local to Derbyshire whilst still allowing the achievement of significant economies of scale and thereby improving value for money across the board. In this way the consortium can control

not only the operational but also the strategic direction of the service and how they interact and complement other care services provided in the County.

- 3.11 The main costs in establishing the partnership will be in officer time, new IT hardware and infrastructure and legal support costs. The business model being worked upon is likely to require initial capital investment in IT infrastructure by the District and Boroughs which will in effect be 'reimbursed' through revenue payments over time by the County Council. Clearly in a four way partnership such an arrangement needs to be transparent in that costs and risks are appropriately shared. Investment in the IT infrastructure is still a number of months away and needs to be brought back to the Committee as part of a detailed business plan for the consortium.
- 3.12 A current cost pressure is the need to progress the legal framework and structures determining the form of the two companies and their governance arrangements. It is estimated that this will cost around £30,000 and initially this would be shared equally by the District and two Boroughs i.e. £10,000 each.
- 3.13 A budget of £10,000 was initially approved by this Council in September 2011 and of that funding approximately £5,000 has been expended on initial legal and consultancy fees. Although the balance remains uncommitted approval is sought to fund a further full £10,000 at this time allowing some limited capacity to make further progress. It is anticipated though that the proposed full business plan and governance structure will be brought before this Committee in the first half of 2014.

#### **4. Corporate Implications**

- 4.1 South Derbyshire District Council's vision is being delivered through actions grouped into 4 themes within the Corporate Plan 2009-2014. Working as a partner in a consortium with three other local authorities to provide locally based services, which are tailored to an individual's needs contributes to two themes:
- Theme 2 - Safe & Secure. This theme covers quality decent homes to promote independent living in neighbourhoods that feel safe and secure.
  - Themes 4 - Value for Money. This theme includes continuing to meet community needs, improving performance and reducing costs through efficiencies.

#### **5. Financial Implications**

- 5.1 As detailed in the report approval is sought to commit a further £10,000 from the Housing Revenue Account Reserve to this project to specifically fund the development of the legal framework of the two companies. This will allow the balance, approximately £5,000, of previously approved funding to be used as a contingency to enable further limited work without recourse to Committee but with the express approval of the Chairman of Housing and Community Services Committee.
- 5.2 The largest additional cost in the new arrangement is likely to be the need to upgrade control room equipment around the County in order to ensure that it is compatible with the other consortium member systems. The cost of this could be in the region of £250,000 for the whole consortium. The business case of how this investment could be recouped and over what timeframe is the next stage in the process.

- 5.3 The County Council currently fund alarm monitoring at a price of upto £2.60 per week per existing client (equipment is funded separately). The equivalent self funders currently pay £3.00 per week. The business case to be formulated needs to evidence how these prices can be cut substantially by the consortium arrangement through improved efficiencies.

**6. Community Implications**

- 6.1 To be able to maintain a highly valued service locally and potentially provide it at lower cost should meet with community approval.

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|--------------------------------|--|----------------------------------|
| <b>REPORT TO:</b>              | <b>Finance &amp; Management Committee</b>  | <b>AGENDA ITEM: 8</b>            |
| <b>DATE OF MEETING:</b>        | <b>5 December 2013</b>   | <b>CATEGORY: DELEGATED</b>       |
| <b>REPORT FROM:</b>            | <b>Director of Finance &amp; Corporate Services</b>  | <b>OPEN</b>                      |
| <b>MEMBERS' CONTACT POINT:</b> | <b>Kevin Stackhouse (01283 595811)</b><br><a href="mailto:Kevin.stackhouse@south-derbys.gov.uk">Kevin.stackhouse@south-derbys.gov.uk</a> | <b>DOC:</b>                      |
| <b>SUBJECT:</b>                | <b>Corporate Plan 2009 to 2014: Performance Management Report (1 July 2013 – 30 September 2013)</b>                                      |                                  |
| <b>WARD (S) AFFECTED:</b>      | <b>All</b>   | <b>TERMS OF REFERENCE: FM 08</b> |

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## **11.0 Recommendations**

### **1.1 That Members:**

- (a) Note the progress and achievements during the period 1 July to 30 September 2013, in relation to the Council's Corporate Plan 2009/14.
- (b) Review where progress has failed to achieve the specified target and consider the adequacy of the remedial action taken.
- (c) Receive a quarterly overview of the number of accidents as part of the Council's Health & Safety performance management framework.

## **2.0 Purpose of Report**

- 2.1 To report details of progress and achievements during the period 1 July to 30 September 2013, in relation to the Council's Corporate Plan 2009 –2014.
- 2.2 Details are provided in the respective appendices outlined below, which are attached to this report.
  - ☒ Progress against Corporate Plan 'Key Projects' as attached at Appendix A; and,
  - ☒ Progress against Corporate Plan 'Performance Measures' as attached at Appendix B.
  - ☒ Overview of the number of accidents which have occurred within the Council during the current quarter compared with the previous year as attached at Appendix C.

## **3.0 Detail**

### **Executive Summary**

It is important that Members scrutinise the performance of the Council as part of the democratic process. This report reflects the second quarter's performance on the key targets the Council has set and approved.



## **Corporate Plan 2009/14**

- 3.1 To provide context the Council's Corporate Plan 2009-14 Action Plan consists of four main 'themes' or 'priorities' (*Sustainable Growth & Opportunity: Safe & Secure: Lifestyle Choices: and Value For Money*)
- 3.2 In March 2013, the Corporate Plan was refreshed along the current themes, with an emphasis being placed on 'how our actions' will make a difference to our residents and stakeholders. In order to focus our actions, performance will be measured against a reduced number of actions or 'key projects' and performance measures
- 3.3 Each 'theme' contains a number of 'Outcomes' that help explain what the 'theme' is about. In order that the Council and its stakeholders are able to tell whether the 'outcomes' are being delivered, a number of 'Key Projects' (with a series of 'tasks/ milestones') and performance measures have been allocated to each 'Outcome' that will be monitored either on a quarterly or annual basis.
- 3.4 This Committee is responsible for the delivery of four 'outcomes' [*Financial resilience- a sustainable financial base maintained; 'Cutting costs' not services; Strong leadership and robust governance; and An improved customer experience*] within the '**Value for Money**' theme.

### **Progress to 30 September 2013**

#### **Key Projects**

- 3.5 Table 1 below summarises the progress made against 'key projects.' It shows that 6 (100%) tasks for the quarter have been completed.

**Table 1: Progress against Corporate Plan Projects (as at 30 September 2013)**

| Theme           | 'Completed' Tasks | 'Failed' Tasks | 'Not Applicable' | Total         |
|-----------------|-------------------|----------------|------------------|---------------|
| Value For Money | 6<br>(100.0%)     | -              | -                | 6<br>(100.0%) |

#### **Performance Measures**

- 3.6 Table 2 below, provides a summary of performance against targets for both the current quarter and projected out turn for the year. It shows that 5 (100%) quarterly targets have been achieved. It is also forecast that all 6 (100%) of the targets will be met by the year end.

**Table 3: Performance Measures – performance against targets (as at 30 September 2013)**

| Theme           | Quarter Target 'Achieved' | Quarter Target 'Failed' | Quarter Target 'N/a' | Total         | Projected Annual Target 'On Track' | Projected Annual Target 'At Risk' |
|-----------------|---------------------------|-------------------------|----------------------|---------------|------------------------------------|-----------------------------------|
| Value For Money | 5<br>(100%)               | -                       | 1                    | 6<br>(100.0%) | 6<br>(100.0%)                      | 0                                 |

## Managing Risks

- 3.7 The Council has a comprehensive risk register, which details all known service risks, control mechanisms and review dates. Table 4 below outlines the main risks across the Value for Money theme of the Corporate Plan.

**Table 4: Managing Risks**

| Risk Description  | Risk Action    | Likelihood/ Impact | Mitigating Action  |
|---|----------------|--------------------|--|
| The Department consists of small, discrete and specialist teams where detailed knowledge and experience rests with individuals. Consequently, resilience is a risk. | Treat the Risk | Continues Low      | <p>Transfer and disseminate information across Services. Cover between units established.</p> <p>Two accountancy staff undertaking professional training.</p> <p>Keep under review arrangements through the Corporate and Audit Partnerships who may be able to provide cover and provide temporary resources where necessary.</p> |
| Reliance on Partnerships to deliver services. Includes partners ceasing to exist or going out of business.  | Treat the Risk | Continues Low      | <p>Continue to monitor closely the performance frameworks which include early warning signs of deteriorating service delivery.</p> <p>Support Northgate and the Central Midlands Audit Partnership to increase number of clients and protect their service base.</p>   |

## Corporate Risks

- 3.9 In addition to risks that may impact upon the individual Themes and Priorities in the Corporate Plan, the Council maintains a Corporate Risk Register. This analyses the strategic issues and external factors that potentially impact across all council services. The associated risks are identified as part of the corporate planning process. An update is provided in Table 5 below.

**Table 5: Managing Corporate Risks**

| Risk Description   | Risk Action    | Likelihood/ Impact | Mitigating Action   |
|--|----------------|--------------------|---|
| <p><b>Further reductions in Government Grant</b></p> <ul style="list-style-type: none"> <li>The Council has been informed of further reductions over and above those originally notified.</li> </ul> <p><i>(Main Chief Officer Responsible – Director of Finance and Corporate Services)</i></p> | Treat the Risk | Remains High       | <ul style="list-style-type: none"> <li>Updated Medium-term Financial Plan in place covering 5-years. This allows for a reduction in overall resources.</li> <li>Budgets considered prudent with provisions for inflation and growth.</li> <li>Current reserves are healthy and will help to sustain further reductions in the short-term allowing time for more sustainable action. This has been strengthened by a favourable budget out-turn for 2012/13 as reported to the Committee on 27<sup>th</sup> June 2013.</li> <li>On-going work/transformation programme in place to generate efficiencies and budget savings. Senior Management Restructure approved in April will save over £1/2m over the life of the current MTFP, with a restructure in Planning and</li> </ul> |

| Risk Description   | Risk Action       | Likelihood/ Impact | Mitigating Action   |
|--|-------------------|--------------------|---|
|  |                   |                    | <p>Community Services currently subject to consultation.</p> <ul style="list-style-type: none"> <li>As a growth area, overall reduction in core funding could be mitigated through the New Homes Bonus and the new national redistribution system.</li> <li><b>However, the risk remains high until the full approved budget savings of £1/2m have been made following the impact of CSR 2013.I.</b></li> </ul>   |
| <p><b>Continuing effects of the Economic Situation</b></p> <ul style="list-style-type: none"> <li>As a growth area, potential income streams from planning and grants are limited, whilst pressure remains on expenditure.</li> <li>In addition, a potential increase in the number of people claiming benefits and finding difficulty in paying council tax and housing rent.</li> <li>Development and regeneration projects such as the Depot relocation are delayed which hinders service provision and limits the ability to meet identified needs such as affordable housing.</li> </ul> <p><b>(Main Chief Officers Responsible – Director of Finance and Corporate Services and Director of Community and Planning Services)</b></p> | Tolerate the Risk | Remains Medium     | <ul style="list-style-type: none"> <li>Budgets for income streams and specific grant allocations are assumed at current minimum levels; service provision is based on this.</li> <li>Supporting voluntary and community groups to help people in need, including through the Derbyshire Financial Inclusion Partnership.</li> <li>Measures in place to maximise benefit subsidy and fraud is proactively being pursued with successful prosecutions.</li> <li>The Asset Management Plan has been refocused to ensure our assets are being positioned to react to an economic upturn.</li> <li>On-going dialogue with developers and housing providers to look at alternative options for regeneration.</li> <li><b>The risk remains Medium, but it is considered that the Council is undertaking as much action as reasonably possible to mitigate these external factors.</b></li> </ul> |
| <p><b>Keeping pace with Technology</b></p> <ul style="list-style-type: none"> <li>The Council's IT infrastructure has becoming out-dated and capacity to store and handle data efficiently is becoming limited compared to more modern day solutions.</li> <li>Greater use of technology and managing data in electronic form, brings responsibilities to ensure information is stored properly and securely</li> </ul> <p><b>(Main Chief Officer Responsible – Director of Finance and Corporate Services)</b></p>  | Treat the Risk    | Remains Medium     | <ul style="list-style-type: none"> <li>The IT strategy has identified some key projects that are currently being actioned, with the server infrastructure now upgraded.</li> <li>E-mail archiving/storage system, desktop virtualisation and Microsoft upgrade now nearing finalisation.</li> <li>The Council undertakes an annual independent health check to ensure that the Council is compliant with the industry standard (PSN) IT Code of Connection.</li> <li>Annual internal audit review tests robustness of systems and infrastructure – any actions monitored by the Audit Sub-Committee.</li> <li><b>Although the risk remains Medium, current investment and positive actions over the remaining year should lower this risk in the longer-term term.</b></li> </ul>   |

| Risk Description  | Risk Action       | Likelihood/ Impact | Mitigating Action  |
|---|-------------------|--------------------|--|
| <b>Business Continuity and in particular the loss of the main Civic Offices.</b> <ul style="list-style-type: none"> <li>Council services are predominantly managed from one Administrative Building. There is no alternative building to accommodate an IT facility which is crucial to enable many services to operate.</li> </ul> <p><i>(Main Chief Officer Responsible – Director of Finance and Corporate Services)</i></p> | Treat the Risk    | Remains High       | <ul style="list-style-type: none"> <li>Disaster Recovery solution now being implemented off-site.</li> <li>Maintain relationships with other agencies and partners to secure alternative accommodation on a reciprocal basis if required.</li> <li>Could take advantage of spare capacity in private sector market although this would depend on timing.</li> <li><b>Although the likelihood of occurrence is low, the potential impact of this risk is high. However, current investment into the off- site facility to provide a disaster recovery solution should lower this risk in the longer-term term.</b></li> </ul> |
| <b>Capacity and Resilience in Service Provision</b> <ul style="list-style-type: none"> <li>Reducing staff and budget resources could create capacity and resilience within council services.</li> </ul> <p><i>(Main Chief Officer Responsible – Chief Executive Officer)</i></p>  | Treat the Risk    | Remains Medium     | <ul style="list-style-type: none"> <li>Training and development programme being reviewed to include change management and “doing more with less.” External service provider currently being procured.</li> <li>Revised structures becoming mature and bedding in.</li> </ul>   |
| <b>Partners and Voluntary Sector</b> <ul style="list-style-type: none"> <li>Financial pressures on partners who deliver services with or on behalf of the Council, including voluntary organisations.</li> </ul> <p><i>(Main Chief Officer Responsible – Director of Community and Planning Services)</i></p>   | Tolerate the Risk | Remains Medium     | <ul style="list-style-type: none"> <li>Current grant funding is being maintained for all supported organisations.</li> <li>Spending can be refocused to meet external funding requirements and is project based rather than on-going.</li> <li>Dedicated officer time to support the voluntary sector and local organisations.</li> <li><b>The risk remains Medium, but it is considered that the Council is undertaking as much action as reasonably possible to mitigate external factors.</b></li> </ul>  |

#### 4.0 Financial Implications

- 4.1 There are no specific financial implications relating to this report. The need to continually improve whilst delivering the ambitions of the *Corporate Plan* will require a sustained efficiency programme, including the shifting of resources to the priority areas.

#### 5.0 Corporate Implications

- 5.1 No other specific legal, HR or other resource implications are contained in this report.

#### 6.0 Community Implications

- 6.1 The Council aspires to be an “excellent” Council in order to deliver the service expectations of our communities. This performance report evidences an improvement in how we are meeting those demands and expectations

| <b>VP 01 - Implementation of Local Council Tax Reduction Scheme</b> |  |   |          |
|---|--|---|----------|
| Quarter   | Task   | Progress  | Status   |
| 1   | VP 01.1 - Update report on take up costs and collection rates of LCTRS. Monitor and report on implications of wider DWP reforms  | Report to Finance and Management Committee on 27th June 2013 which set out early indications of costs and collection rates  | Achieved |
| 2   | VP 01.2 - Update report on take up costs and collection rates of LCTRS. Monitor and report on implications of wider DWP reforms. Review any proposed changes to Scheme ahead of 2014/15  | Report to Finance and Management Committee on 25th September 2013 which sets out updated costs and collection rates. Report on 17th October setting out options for scheme for 2014/15 based on progress and issues in 2013/14. | Achieved |
| 3   | VP 01.3 - Update report on take up costs and collection rates of LCTRS. Monitor and report on implications of wider DWP reforms. Review any proposed changes to Scheme ahead of 2014/15  |   |          |
| 4   | VP 01.4 - Update report on take up costs and collection rates of LCTRS. Monitor and report on implications of wider DWP reforms. Implement any changes to the Scheme prior to April 2014 |   |          |

| <b>VP 02 - Continue the programme of procurement and service transformation reviews</b> |   |   |          |
|---|---|---|----------|
| Quarter   | Task  | Progress  | Status   |
| 1   | VP 02.1 - Update report to Business Improvement Board   | Board considered progress on 19th June 2013. New external mail system being implemented and next stages of Paperlite project considered | Achieved |
| 2   | VP 02.2 - Update report to Business Improvement Board   | Detailed proposals for developing Paperlite and Customer Access finalised   | Achieved |
| 3   | VP 02.3 - Update report to Business Improvement Board regarding next 3-year plan 2013-16 agreed and baseline levels set |   |          |
| 4   | VP 02.4 - Update report to Business Improvement Board   |   |          |

| <b>VP 03 - Implement next stages of the Paper Lite Strategy</b> |   |   |          |
|---|---|---|----------|
| Quarter   | Task  | Progress  | Status   |
| 1   | VP 03 .1 - Proposals submitted by Service Provider                        | This was previously completed in 2012/13. Service provider now assessing detailed savings for Senior Management Team. | Achieved |
| 2   | VP 03 .2 - Procurement arrangements and financial implications considered | Report to Committee on 5th December outlining proposals and to consider future delivery.                              | Achieved |
| 3   | VP 03 .3 - Proposals signed off by the Client                             |   |          |
| 4   | VP 03 .4 - Implementation of the electronic mailroom                      |   |          |

| <b>VP 04 - Move towards an e-Committee solution</b> |  |   |          |
|---|--|---|----------|
| Quarter   | Task   | Progress  | Status   |
| 1   | VP 04.1 - Ongoing trials and proposals formulated. Procurement arrangements and financial implications considered. | Implementation approved by Finance and Management Committee on 20th June 2013. Hardware now being procured and training plan established. | Achieved |
| 2   | VP 04 .2 - Proposals signed off by the Council   | As above. Training undertaken and first Committee live on 3rd October.  | Achieved |
| 3   | VP 04 .3 - Preferred solution implemented  |   |          |
| 4   | VP 04 .4 - Post project review undertaken  |   |          |

| <b>VP 05 - Continue to communicate and engage with our communities to ensure that the Council is delivering services in ways appropriate to them</b> |   |  |          |
|--|---|--|----------|
| Quarter  | Task  | Progress   | Status   |
| 1  | VP 05.1 - Annual Report and Work Plan considered by Committee | Approved by Finance and Management Committee on 20th June 2013 | Achieved |
| 2  | VP 05.2 - Produce monthly media reports                       | Completed  | Achieved |
| 3  | VP 05.3 - Produce monthly media reports                       |  |          |
| 4  | VP 05.4 - Produce monthly media reports                       |  |          |

| VP 06- Implement the next stages of the Customer Access Strategy |  |  |          |
|--|--|--|----------|
| Quarter  | Task   | Progress   | Status   |
| 1  | VP 06.1 - Finalise proposals for consultation  | This was previously completed in 2012/13. Following the recent Management Restructure, service provider now assessing detail for Senior Management Team. | Achieved |
| 2  | VP 06 .2 - Consider structural and financial implications. Implementation Plan made. | Report to Committee on 5th December outlining proposals and to consider future delivery.   | Achieved |
| 3  | VP 06 .3 - Proposals signed off by the Council                                       |  |          |
| 4  | VP 06 .4 - Implementation and transition commences                                   |  |          |

| Outcome   | Measure  | Actual / Out turn 2012/13 | Target Quarter 2 2013/14            | Actual Quarter 2 2013/14            | Quarter Status | Annual Target 2013/14 | Predicted Out turn 2013/14 | Predicted Status | Comments/ Remedial Action   |
|---|--|---------------------------|-------------------------------------|-------------------------------------|----------------|-----------------------|----------------------------|------------------|---|
| VO 1 - Financial resilience - a sustainable financial base maintained | VM 01- Publish a 'fit for purpose' Medium Term Financial Plan  | Feb-13                    | Review following 2012/13 out turn   | Review Undertaken                   | Green          | Feb-14                | Feb-14                     | Green            | Updated MTFP considered by the Committee on 17th October  |
|   | VM 02 - Disposal of assets deemed 'surplus to requirements' to generate income. (£)                                    | £0                        | £0                                  | £0                                  | Green          | £50,000               | £120,000                   | Green            | £70,000 achieved in Quarter 1. Further disposals approved by Committee in October   |
|   | VM 03- Maximising central funding for the Council (£)  | £377,000                  | £0                                  | £0                                  | Grey           | £353,000              | £353,000                   | Green            | Figures will be available in December 2013.   |
| VO 2 - 'Cutting costs not services'                                   | VM 04 - On-going efficiency savings. (£)   | £412,154                  | £150,000                            | £170,000                            | Green          | £300,000              | £300,000                   | Green            | On-going savings from Senior Management Restructure (April 2013) and introduction of E-committees (June 2013). Further proposals reported to the Committee in October |
| VO 3 - Strong leadership & robust governance                          | VM 05 - Achieve an external 'fit for purpose' Code of Corporate Governance assessment. (As assessed by External Audit) | Sep-12                    | AGS signed off by External Auditors | AGS signed off by External Auditors | Green          | Sep-13                | Sep-13                     | Green            | No issues highlighted in the Auditor's report to the Audit Committee on 25th September.   |



| Outcome                                | Measure   | Actual /<br>Out turn<br>2012/13 | Target<br>Quarter 2<br>2013/14 | Actual<br>Quarter 2<br>2013/14 | Quarter<br>Status | Annual Target<br>2013/14 | Predicted<br>Out turn<br>2013/14 | Predicted<br>Status | Comments/ Remedial<br>Action |
|--|---|---------------------------------|--------------------------------|--------------------------------|-------------------|--------------------------|----------------------------------|---------------------|------------------------------|
| VO 4 - An improved customer experience | VM 06 - Percentage of satisfied customers contacting or dealing with the Council. | 94.00%                          | 90.00%                         | 96.00%                         | Green             | 90.00%                   | 95.00%                           | Green               |                              |

## **Health and Safety - Accident Statistics 2013/14**

### **Purpose of the Report**

This report provides an overview of the number of accidents that have occurred during the period 1 July to 30 September 2013 within the Council.

### **Background**

The Health & Safety Officer provides advice and training on health and safety matters across the Council. This Officer is also responsible for producing management information on the number of accidents. These are collated on a regular basis and are reported to the joint Health & Safety Committee. This Committee reviews the accidents and makes recommendations or learning that needs to be implemented.

### **Accident Statistics**

The Council's accident statistics are broken down into reportable and non-reportable accidents.

Reportable accidents are those covered by RIDDOR (Reporting of Injuries, Diseases & Dangerous Occurrences Regulations, 1995). These accidents have to be reported to the Health and Safety Executive and include:

- Where a member of staff has been required to stay in hospital for 24 hours after an accident;
- Where a member of the public was taken to hospital for treatment after the accident;
- If the accident results in the member of staff being off work for 3 days after the date of the accident,

The table overleaf shows the number of accidents that have occurred during the current quarter (1 July to 30 September 2013) by reportable accident type and category and the year to date.

During the second quarter of 2013/14 there were 18 non-reportable or minor accidents, involving 7 employees and 11 members of the public, mainly young people on summer play schemes. Existing risk assessments have been reviewed and control measures being reinforced

The table also provides comparative details of the number of accidents for the previous year (2012/13)

**Table: Accident Cause Statistics – (for the 2<sup>nd</sup> Quarter - 1 July to 30 September 2013) and Year to Date: Comparative  
Accident Cause Statistics for the previous year (2012/13)**

| Accident Cause                        | Quarter 2<br>(1 July - 30 September 2013) |           |            |          |           | Current Year<br>To Date (2013/14)<br>Actual |           |            |          | Previous Year<br>(2012/13) Actual |          |            |          |
|---------------------------------------|---|-----------|------------|----------|-----------|---|-----------|------------|----------|-----------------------------------|----------|------------|----------|
|                                       | Non Reportable                            |           | Reportable |          | Total     | Non Reportable                              |           | Reportable |          | Non Reportable                    |          | Reportable |          |
|                                       | Employees                                 | Public    | Employees  | Public   |           | Employees                                   | Public    | Employees  | Public   | Employees                         | Public   | Employees  | Public   |
| Manual handling                       | 1   |           |            |          | 1         | 1   |           | 1          |          | 4                                 |          | 1          |          |
| Contact Fixed Objects (e.g. sharps)   |   | 2         |            |          | 2         | 1   | 2         |            |          | 2                                 | 4        |            | 1        |
| Struck by Moving Vehicles RTA's       | 1   |           |            |          | 1         | 1   |           |            |          | 3                                 |          |            |          |
| Struck by Moving Objects - others     | 1   |           |            |          | 1         | 3   |           |            |          | 4                                 | 1        |            |          |
| Slips / Trips / Falls                 | 1   | 2         |            |          | 3         | 2   | 3         | 1          |          | 10                                | 3        | 1          |          |
| Violence - Physical such as dog bites |   | 4         |            | 1        | 5         |   | 4         |            | 1        | 1                                 |          |            |          |
| Violence - Verbal                     |   |           |            |          | 0         |   |           |            |          |                                   |          |            |          |
| Near Miss                             | 1   |           |            |          | 1         | 1   |           |            |          | 1                                 |          |            |          |
| Other, such as cuts.                  | 2   | 3         |            |          | 5         | 2   | 3         |            |          | 3                                 | 1        |            |          |
| <b>Total</b>                          | <b>7</b>                                  | <b>11</b> | <b>0</b>   | <b>1</b> | <b>19</b> | <b>11</b>                                   | <b>12</b> | <b>2</b>   | <b>1</b> | <b>28</b>                         | <b>9</b> | <b>2</b>   | <b>1</b> |

Source: SDDC Accident Statistics

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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>5<sup>th</sup> DECEMBER 2013</b>  | <b>CATEGORY: DELEGATED</b>                                    |
| <b>REPORT FROM:</b>            | <b>DIRECTOR OF FINANCE AND CORPORATE SERVICES</b>  | <b>OPEN</b>   |
| <b>MEMBERS' CONTACT POINT:</b> | <b>KEVIN STACKHOUSE (01283 595811)</b><br><a href="mailto:Kevin.stackhouse@south-derbys.gov.uk">Kevin.stackhouse@south-derbys.gov.uk</a> | <b>DOC:</b> u/ks/financial monitoring reports/2013 4 December |
| <b>SUBJECT:</b>                | <b>BUDGET and FINANCIAL MONITORING 2013/14</b>   | <b>REF</b>  |
| <b>WARD (S) AFFECTED:</b>      | <b>ALL</b>   | <b>TERMS OF REFERENCE: FM 08</b>                              |

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## **1.0 Recommendation**

- 1.1 That the latest budget and financial monitoring figures for 2013/14 are considered and approved.

## **2.0 Purpose of Report**

- 2.1 In accordance with its financial management framework, the Council monitors income and expenditure against its budgets on a regular basis throughout the year. This is undertaken on at least a monthly basis.
- 2.2 Financial information is available directly on the Council's Financial Management System to enable day-to-day monitoring within services. Formal monitoring involves budget managers together with their service accountant, meeting and reviewing performance against their particular budgets. This is intended to identify any variances as early as possible to enable remedial and timely action to be taken.
- 2.3 Overall financial performance and the major budget variances are reported to this Committee throughout the year. In accordance with its Treasury Management Strategy, the Council monitors its lending and borrowing on a regular basis.
- 2.4 The Council's cash flow is monitored and actioned on a daily basis, with monthly reports summarising activity provided to the Chief Finance Officer. Again, overall performance is reported to this Committee throughout the year.
- 2.5 This is the second monitoring report for the financial year 2013/14. It details performance up to 30<sup>th</sup> September 2013, and is effectively a half yearly report.

### 3.0 Detail

#### GENERAL FUND REVENUE ACCOUNT

- 3.1 Apart from Council Housing, day to day income and expenditure is accounted for through the General Fund. The net expenditure is financed from Government Grant and Council Tax, with any shortfall/deficit being financed from the Council's Reserves.
- 3.2 The original budget, which was approved in February 2013, estimated a budget deficit of £136,402 in 2013/14 to be financed from general reserves. As in previous years, the Budget included contingent sums set-aside for inflation, growth and the implementation of the local pay and grading review. The Budget is summarised in the following table.

|   |                        |
|---|------------------------|
| Net Expenditure on Services                 | £11,462,987            |
| Depreciation and Capital Charges (in above) | -£689,023              |
| Minimum Revenue Provision                   | £250,000               |
| Contribution to Bad Debts Provision         | £20,000                |
| Contingent Sums                             | £375,265               |
| <b>Total Estimated Spending</b>             | <b>£11,419,229</b>     |
| Financing                                   | -£11,282,827           |
| <b>Deficit</b>                              | <b><u>£136,402</u></b> |

- 3.3 In accordance with budget monitoring arrangements, the position on Net Expenditure on Services is the main area that is subject to on-going review. This is the amount (£11,462,987) that is directly managed and controlled by the various budget holders across the Council.
- 3.4 Following the first quarter's monitoring, which was reported to the Committee in September, an overall reduction in net expenditure of approximately £250,000 was forecast for the year.

#### **Latest Monitoring Figures**

- 3.5 The Budget, together with major variances identified as at September 2013 is summarised in the tables which follow. A full analysis of each service area at cost centre level with variances across each policy committee is detailed in **Appendices 1 to 3**.
- 3.6 These appendices also show actual spend to-date, budget remaining, together with narrative on any assumptions, risks and reasons for major variances.

## Performance against Budget 2013/14 as at September 2013 (by Committee)

| Summary by Policy Committee            | Approved Budget<br>£ | Projected Actual<br>£ | Projected Variance<br>£ | Earmarked Reserves<br>£ | General Reserve<br>£ |
|--|----------------------|-----------------------|-------------------------|-------------------------|----------------------|
| Environmental and Development Services | 3,835,893            | 3,731,611             | -104,282                | -3,993                  | -108,275             |
| Housing and Community Services         | 2,424,950            | 2,242,363             | -182,587                | 116,137                 | -66,451              |
| Finance and Management                 | 5,202,144            | 5,096,280             | -105,864                | 0                       | -105,864             |
| <b>TOTAL</b>                           | <b>11,462,987</b>    | <b>11,070,254</b>     | <b>-392,733</b>         | <b>112,144</b>          | <b>-280,589</b>      |

## Performance against Budget 2013/14 as at September 2013 (by Service)

| Summary by Main Service Area             | Approved Budget<br>£ | Projected Actual<br>£ | Projected Variance<br>£ | Earmarked Reserves<br>£ | General Reserve<br>£ |
|--|----------------------|-----------------------|-------------------------|-------------------------|----------------------|
| Economic Development                     | 270,951              | 266,195               | -4,756                  | 0                       | -4,756               |
| Environmental Health Services            | 543,756              | 510,578               | -33,178                 | 0                       | -33,178              |
| Highways                                 | 22,152               | 20,393                | -1,760                  | 0                       | -1,760               |
| Licensing and Land Charges               | -35,755              | -50,280               | -14,525                 | 0                       | -14,525              |
| Planning                                 | 560,804              | 459,993               | -100,811                | 0                       | -100,811             |
| Town Centre                              | 71,466               | 70,833                | -632                    | 0                       | -632                 |
| Waste Collection & Street Cleansing      | 1,503,856            | 1,539,374             | 35,518                  | 0                       | 35,518               |
| Environmental Education                  | 71,013               | 75,006                | 3,993                   | -3,993                  | 0                    |
| Transport Account                        | 827,650              | 839,519               | 11,869                  | 0                       | 11,869               |
| Community Development and Support        | 535,841              | 474,421               | -61,419                 | 64,074                  | 2,655                |
| Leisure and Recreational Activities      | 113,497              | 114,284               | 787                     | -737                    | 50                   |
| Leisure Centres and Community Facilities | 620,226              | 581,445               | -38,781                 | 39,208                  | 427                  |
| Parks and Open Spaces                    | 696,292              | 688,996               | -7,295                  | -1,967                  | -9,262               |
| Private Sector Housing                   | 459,094              | 383,216               | -75,879                 | 15,558                  | -60,321              |
| Central and Departmental Accounts        | 3,487,588            | 3,452,896             | -34,692                 | 0                       | -34,692              |
| Revenues and Benefits                    | 294,819              | 294,819               | -0                      | 0                       | -0                   |
| Electoral Registration                   | 106,754              | 120,725               | 13,971                  | 0                       | 13,971               |
| Corporate and Democratic Costs           | 867,498              | 809,650               | -57,848                 | 0                       | -57,848              |
| Payments to Parish Councils              | 311,182              | 311,181               | -0                      | 0                       | -0                   |
| Concessionary Travel                     | 3,000                | -5,818                | -8,818                  | 0                       | -8,818               |
| Property and Estates                     | -79,724              | -96,297               | -16,573                 | 0                       | -16,573              |
| Pensions, Grants and Interest            | 211,027              | 209,124               | -1,904                  | 0                       | -1,904               |
| <b>TOTAL</b>                             | <b>11,462,987</b>    | <b>11,070,254</b>     | <b>-392,733</b>         | <b>112,144</b>          | <b>-280,589</b>      |

3.7 The variances reflect the latest situation and although projected to out-turn at this level, could change during the remainder of the year. Areas of projected overspend are kept under review in order to mitigate the effects on the overall budget.

3.8 The previous tables show that based on current income and expenditure, there will be a decrease in net expenditure on services of £392,733 compared to the Budget for the year. After allowing for adjustments between earmarked reserves, the net decrease is forecast at £280,589.

## Main Variances

- 3.9 The main reasons that account for the projected variance are summarised in the following table. They show services where current spending is expected to vary compared to the Budget as at September 2013. This could change over the remainder of the year and all areas are kept under review.

|   | £'000       |
|---|-------------|
| Senior Management Restructure                             | -151        |
| Development Control Income                                | -48         |
| Staff Vacancies and lower costs in Private Sector Housing | -42         |
| Corporate and Central Services                            | -39         |
| Democratic and Members Costs                              | -37         |
| Staff Vacancies - Environmental and Development Services  | -31         |
| Building Regulations Income                               | -22         |
| Staff Vacancies - Community and Leisure Services          | -21         |
| Corporate Training  | -20         |
| Land Charges Income                                       | -14         |
| Vehicles - Repairs and Maintenance                        | 12          |
| Other Variances   | 16          |
| Agency cover in Waste Collection Service                  | 43          |
| Pay Award (1%) - financed from inflation provision        | 74          |
| <b>Net Variance</b>                                       | <b>-280</b> |

- 3.10 The largest variance is the confirmed savings relating to the Senior Management Restructure approved in March 2013. The associated one-off costs were accounted for in 2012/13 and reported to the Committee in May.
- 3.11 Most of the other variances were identified during the first quarter, in particular those relating to staff vacancies, additional income and lower costs in corporate and democratic services.
- 3.12 Besides the impact of the 1% staff pay award (which is financed from the inflation contingency) the biggest cost variance is in the Waste Collection Service, with additional costs being incurred through agency workers to cover leave and sickness absence.

## Contingent Sums

- 3.13 The Revised budget continues to include the following contingent sums totaling approximately £375,000

- Pay and Grading - additional on-going resources £130,000
- Provision for Inflation and General Growth £160,000
- Waste Collection - Provision for Growth of the District £85,000

- 3.14 Over recent years, there has been a limited need to draw on these sums. The additional resources for the local pay model depend on implementation of the pay and grading review. The cost of the pay award as shown in the above table will be financed from the inflation provision.

3.15 It is anticipated that no other sums for inflation will be required at this stage.

### **Kerbside Recycling**

3.16 As part of financing the extension to the dry recyclables service, it was approved that a sum of £33,000 would be temporarily taken from the growth contingency, pending savings still to be made in the overall Waste Collection service.

### **Purchase of Bins and Caddies**

3.17 It was approved that the purchase of the bins and the caddies for the extended kerbside collection service would be financed from internal borrowing. As reported, this will increase the Council's underlying need to borrow as measured by its Capital Financing Requirement.

3.18 However, the Council will borrow against its current level of cash reserves, negating the need to physically borrow money from the loan market. Over the life of the Contract, a revenue provision will be made from within the Recycling budget to pay down the increased CFR. Resources were identified within the Waste Collection Service to finance the extended service at no extra cost.

3.19 The revenue provision was estimated at £120,000 per year based on the capital cost of the bins and caddies being £960,000.

3.20 Following a procurement exercise, the capital cost was in fact £1,077,300. However, following a contribution from the County Council of £200,000, the net cost to be financed is £877,300. Therefore, the annual provision will be £110,000 – a saving of approximately £10,000 per year.

### **Municipal Mutual Insurance**

3.21 As reported to the Committee on 22<sup>nd</sup> May 2013, a payment of £12,247 is due in accordance with the Scheme of Arrangement; this will be paid in January 2014.

### **Additional Contribution to Rosliston Forestry Centre**

3.22 In September, the Committee approved an additional £10,000 to finance the completion of the new toilet facility at the Glade complex.

### **Housing Benefit Subsidy**

3.23 A separate provision of £147,000 has been set-aside in the Council's accounts to meet an outstanding liability regarding the clawback of housing benefit subsidy for 2010/11. The audited figure has now been agreed with the Department for Works and Pensions and totals £170,006. This is £23,000 greater than the provision and will be a charge on the General Reserve.

3.24 The Provisional audited claim for 2011/12 has been submitted. This shows an amount of £3,321 due to the Council. The claim for 2012/13 is currently subject to audit.



## Business Rates Collection

- 3.25 Included in the Financing amount is an estimated figure of £2,204,773 for retained Business Rates (BR). As previously reported, under the new Rates Retention System, the Council's BR Baseline Income has been set at £8,172,603 for 2013/14. This is the target amount against which retained growth, together with any tariff, levy and safety net contribution is measured.
- 3.26 The BR Baseline represents the Council's 40% estimated share of net business rate income in the District after allowing for 50% to be paid to the Government and 10% to the County Council/Fire Authority.
- 3.27 The financing figure of £2,204,773 is much lower than the BR Baseline income amount of £8,172,603. The difference of £5,967,830 is the Tariff that is being paid to the Government under the redistribution part of the system.
- 3.28 It is important to note that these are estimated figures and the actual business rates collected, together with retention and levy amounts, etc will not be known until the year end. However, income from Business Rates is monitored and as the year progresses, the actual situation can be tracked against that estimated.
- 3.29 This is important, as any changes between the actual and estimated figures in setting the Budget will have an impact on General Fund resources – this part of the Council's core funding is not fixed. As at 30<sup>th</sup> September 2013, the actual position is looking favourable compared to that estimated, as shown in the following table.

| <b>Business Rates Income 2013/14</b>                       | <b>Estimate</b>    | <b>Sep-13</b>      | <b>Variance</b> |
|--|--------------------|--------------------|-----------------|
| Number of Businesses                                       | 2,113              | 2,133              | 20              |
| Rateable Value (RV)  | £54,249,510        | £54,595,625        | £346,115        |
| Multiplier (rate in the £)                                 | 0.462              | 0.462              | 0               |
| <b>Gross Yield before Adjustments</b>                      | <b>£25,063,274</b> | <b>£25,223,179</b> | <b>£159,905</b> |
| Mandatory Reliefs and Exemptions                           | -£2,604,565        | -£2,577,656        | £26,909         |
| Discretionary Rate Reliefs                                 | -£2,386            | -£25,000           | -£22,614        |
| <b>Rates to be Billed and Collected</b>                    | <b>£22,456,323</b> | <b>£22,620,523</b> | <b>£164,200</b> |
| Provision for Bad and Doubtful Debts                       | -£1,651,751        | -£1,105,281        | £546,470        |
| Allowance for Collection (transferred to the General Fund) | -£90,901           | -£91,707           | -£806           |
| <b>Net Yield</b>   | <b>£20,713,671</b> | <b>£21,423,535</b> | <b>£709,864</b> |
| <b>Rate Retention Adjustments</b>                          |                    |                    |                 |
| Change in Receipts year to year due to RV adjustments      | £628,885           | £152,696           | -£476,189       |
| Change in Receipts year to year due to Appeals             | -£911,048          | -£911,048          | £0              |
| <b>Net Yield - for Distribution</b>                        | <b>£20,431,508</b> | <b>£20,665,183</b> | <b>£233,675</b> |
| Net cost of Transitional Relief (paid separately)          | £27,185            | £43,168            | £15,983         |
|  | <b>£20,458,693</b> | <b>£20,708,351</b> | <b>£249,658</b> |
| <b>Distribution / Share</b>                                |                    |                    |                 |
| Government (50%)   | £10,215,754        | £10,332,591        | £116,838        |
| <b>South Derbyshire District Council (40%)</b>             | <b>£8,172,603</b>  | <b>£8,266,073</b>  | <b>£93,470</b>  |
| Derbyshire County Council (9%)                             | £1,838,836         | £1,859,866         | £21,031         |
| Derbyshire Fire and Rescue Authority (1%)                  | £204,315           | £206,652           | £2,337          |
|  | <b>£20,431,508</b> | <b>£20,665,183</b> | <b>£233,675</b> |

- 3.30 The main reason for the favourable position at this stage is the collection losses being less than estimated. There has been a small increase in the number of business paying Rates with no major additions or reductions in business growth during the year to-date.
- 3.31 The overall Rateable Value has increased. However, this is mainly due to revaluations, rather than growth, which are excluded from the distribution system.
- 3.32 The above table shows a projected additional net yield of £233,625 compared to that estimated. The Council's share of this amount is £93,470, although this will be subject to a levy of around 50%. Therefore, based on the position to-date, the Council will generate an additional £45,000 in rates income on the General Fund compared to the Budget.

### **Other Financing and Grants Received**

- 3.33 An additional sum of £18,688 has been received for the year under the New Homes Bonus scheme. This follows the final allocation of overall resources set-aside by the Government for 2013/14.
- 3.34 In addition, the Council has received the following ring-fenced grants for 2013/14:
- To meet costs associated with the Community Right to Bid (£7,855)
  - To meet costs associated with the Community Right to Challenge (£8,547)
  - To implement system changes for the Local Council Tax Support Scheme and Welfare Reform (£49,603 and £61,937 respectively)
  - To implement Individual Electoral Registration (£6,330) with a further amount due later in the year. This will enable on-line registration from June 2014.
- 3.35 Any grant remaining unspent at the year end, will be transferred to an earmarked reserve in accordance with Council policy. At this stage, no costs are foreseen for either of the "Community Right" funding grants in 2013/14; additional costs will be incurred for Welfare Reform and Electoral Registration.

### **Overall General Fund position and Effect on Reserves**

- 3.36 After allowing for all variances and adjustments, the estimated overall position on the General Fund for 2013/14 is shown in the following table.

|  | £'000       |
|--|-------------|
| Reduction in Net Expenditure               | -280        |
| Reduction in Contingent Sums               | -300        |
| Municipal Mutual Insurance                 | 12          |
| Rosliston - Capital Contribution           | 10          |
| Reduction in Housing Benefit Subsidy       | 20          |
| Additional Business Rates Income           | -45         |
| Additional New Homes Bonus                 | -18         |
| <b>Forecasted Reduction in Expenditure</b> | <b>-601</b> |

3.37 The impact on the General Reserve would be to increase it to approximately £4.8m by 31<sup>st</sup> March 2014.

### Update on Budget Savings

3.38 As part of the MTFP, a savings target of £300,000 was set for 2013/14. Progress to-date is shown in the following table.

|   |                 |
|---|-----------------|
| Senior Management Restructure (March 2013)                      | £143,000        |
| Paperless Committees (June 2013)                                | £21,000         |
| Restructure in Community and Planning – subject to consultation | £116,000        |
| <b>Total – Full Year Savings</b>                                | <b>£280,000</b> |

3.39 The above figures represent the full year on-going costs from 2014/15. The savings from the senior management restructure in 2013/14 and from the introduction of paperless committees, are included in the net underspend for this year (as previously highlighted).

3.40 Subject to consultation and final approval, the savings from the restructure in Community and Planning will not accrue until 2014/15; there may be some one-off expenditure in 2013/14.

### COLLECTION FUND

3.41 The Collection Fund is a separate ring-fenced account that has to be statutorily maintained. It accounts for the collection of Council Tax and Business Rates and shows how that income has been distributed to the Government and other Preceptors on the Fund, including this Council.

3.42 Any surplus or deficit on the Fund is transferred to the General Funds of the Preceptors, with the proportion for South Derbyshire being approximately 11.5%. The current estimated position on the Fund for 2013/14 is detailed in **Appendix 4**. This shows that the overall Fund is projected to achieve a surplus for the year of approximately £292,000, up from £266,000 at Quarter 1.

- 3.43 This is mainly due to the increase in Council Tax collectable. As previously reported, the cost of the Local Council Tax Support Scheme is lower than estimated, with additional income being collected from empty properties, together with an increase in new properties.
- 3.44 The latest estimate includes a slightly lower collection rate than previous years (97.6% compared to 97.9%) to include the effects of collecting Council Tax from households previously in receipt of benefit.

### HOUSING REVENUE ACCOUNT (HRA)

- 3.45 The Council is required to account separately for income and expenditure in providing Council Housing.
- 3.46 The approved HRA Budget was set with a deficit to finance from reserves of **£118,530**. Performance on the HRA as at September 2013 is summarised in the following table.

| <b>Summary HRA as at Sept 2013</b> | Approved<br>Budget<br>£ | Projected<br>Actual<br>£ | Projected<br>Variance<br>£ |
|------------------------------------|-------------------------|--------------------------|----------------------------|
| Supervision and Management Costs   | 1,424,969               | 1,331,338                | -93,631                    |
| Housing Repairs                    | 3,209,959               | 3,140,293                | -69,665                    |
| Interest on Debt                   | 1,614,677               | 1,614,677                | -0                         |
| Supported Housing                  | 362,976                 | 344,280                  | -18,695                    |
| Rent and other Income              | -11,994,050             | -11,753,163              | 240,888                    |
| Transfer to Capital Works Reserve  | 5,500,000               | 5,500,000                | 0                          |
| <b>TOTAL</b>                       | <b>118,530</b>          | <b>177,426</b>           | <b>58,896</b>              |

- 3.47 The table shows that the HRA is forecast to achieve a higher deficit of £177,426.
- 3.48 This is due to actual rent income being lower in the year compared to the Budget, but which is being offset, to a large extent, by a reduction in costs, mainly as a result of vacant posts, together with some slippage in planned maintenance on repairs.

### Rent Income

- 3.49 A breakdown of the reduction is summarised in the following table.

|   |                 |
|---|-----------------|
| Accounting adjustment to spread effect of 53 week years<br>(Note 1) | £192,000        |
| Greater Council House Sales in 2012/13 and 2013/14<br>(Note 2)      | £64,000         |
| Void properties relet at full Formula Rent<br>(Note 3)              | - £15,000       |
| <b>Total</b>  | <b>£241,000</b> |

**Note 1:** This is a change in accounting methodology to smooth out the incidence of “53 week” years (every 5 years) by accounting for rent on a daily and not weekly basis. This has reduced the amount of rent income accounted in this year by 6 days. However, overall cash income remains the same over the longer-term financial period it is just being accounted for in different years. This will be reflected in the yearly budgets for the HRA in the MTFP.

**Note 2:** There were 18 sales in 2012/13 and 9 to-date in 2013/14. This compares with estimates of 5 and 7 respectively.

**Note 3:** This is in accordance with the Council’s local rent policy.

## **CAPITAL EXPENDITURE and FINANCING 2013/14**

3.50 The Programme has been updated following the approved out-turn for 2012/13 and includes an amount of £2.4m brought forward from the previous year. It also includes a further government and County Council allocations of £170,000 for Disabled Facility Grants.

3.51 Progress to-date is summarised in the following table.

| <b>Capital Spending 2013/14<br/>(as at October 2013)</b> | <b>Updated<br/>Budget<br/>£</b> | <b>Actual<br/>£</b> |
|--|---------------------------------|---------------------|
| Council House Improvements                               | 6,247,527                       | 2,403,968           |
| Private Sector Housing and DFGs                          | 627,358                         | 260,230             |
| Leisure and Community Development                        | 3,635,259                       | 437,927             |
| Environmental Schemes                                    | 44,439                          | 18,190              |
| Vehicles, Property and Plant                             | 1,263,164                       | 1,214,468           |
|  | <b>11,817,747</b>               | <b>4,334,783</b>    |

### **Council House Improvements**

3.52 A revised programme was considered by the Housing and Community Services Committee in October. Following tender exercises to take account of the extended capital programme, new contracts for kitchen, bathroom and heating replacements are now being let.

3.53 Some slippage in spending will occur in this financial year as new contracts will be commencing in January 2014. Most other areas are on target for 2013/14.

## **Private Sector Housing**

- 3.54 Savings, compared to that budgeted, have been made following tenders to undertake the statutory stock condition and housing needs surveys. The cost of both surveys was tendered at £75,000 against a budget of £120,000; the saving of £45,500 will be maintained in the general capital receipts reserve.

## **Leisure and Community Development**

- 3.55 Due to time being taken to secure external funding and to adhere to procurement regulations, there is likely to be slippage on spending in 2013/14. An update on progress on the main schemes is summarised in the following sections.

### **Green Bank Leisure Centre**

- 3.56 A contractor has now been appointed to undertake the £500,000 refurbishment and enhancement project. This will include the creation of new exercise areas and upgrading of changing rooms and community areas,
- 3.57 The issue for settling on the compensation figure for the loss of income during the completed and future refurbishment works is still to be resolved. The Council is responsible for this compensation payment and historical usage patterns are being used to agree a figure.

### **Etwall Leisure Centre**

- 3.58 The project to install a full size Artificial Grass Pitch has been completed and officially launched. The cost was £490,000 with £239,000 from the Football Foundation - John Port School and the District Council each providing £100,000 with the Centre's sinking fund and Hilton Harriers providing the balance. Full community use started in May.
- 3.59 A further project is being developed that will look at the potential of a larger gym area along with minor enhancements to other areas of the Centre. Over £200,000 has already been secured for this project and further options are being examined. An Inspired Facility application will be made in December.

### **Rosliston Forestry Centre**

- 3.60 The building of toilet facilities adjacent to the 'Glade in the Forest Arena' is progressing well and should be complete in the New Year.

### **Eureka Park**

- 3.61 The Project to restore and repair the heritage features of Eureka Park is progressing well. Final designs and costs for the Capital works are due to be approved by HLF in November, with a view to works starting on site in January 2014.
- 3.62 A community engagement programme is underway delivering events and activities on the site, with outputs in terms of skills, training and volunteering.

## Melbourne Sporting Partnership (MSP)

- 3.63 This £2.5m multi sports club project has been further supported with a £600,000 grant from the Football Foundation and £150,000 from Sport England. A further application has been submitted to the Rugby Football Union. A consultation event has been held and final planning conditions satisfied.
- 3.64 Construction has started on the drainage outfall (due for completion in November 2013) and football pitch works (due for completion Spring 2014).
- 3.65 A tendering exercise to appoint an architect to deliver the clubhouse, car park and tennis courts is currently underway.
- 3.66 Planning permission is being sought for the construction of an Artificial Grass Pitch, and the MSP Project Group is planning the phasing of the pitch improvement works.

## Melbourne Leisure Centre

- 3.67 An initial lease for the Centre (now known as Melbourne Assembly Rooms) has been transferred to Melbourne Community Group, who is developing funding bids with a view to enhancing and developing the facility for increased community use.
- 3.68 Discussions are underway in relation to a longer lease that would support additional grant applications where a long lease is a pre-requisite. The Heads of Terms have been previously been approved by the Committee.

## Capital Receipts

- 3.69 The following receipts have been received as at 30<sup>th</sup> September 2013.

- Sale of Garden Land - £7,250
- Sale of HRA Land - £70,000
- 7 Council House Sales - £337,765 (before pooling)

- 3.70 Two further Council House Sales have recently been completed and will be accounted for in the third quarter. An analysis of receipts is shown in the following table.

| <b>ANALYSIS OF COUNCIL HOUSE SALES 2013/14</b> |  | <b>£</b>              |
|--|--|-----------------------|
| Receipts Received                              |  | 337,765               |
| Less Allowable Costs                           |  | -9,100                |
| Less Allowable Debt                            |  | -83,193               |
| <b>Amount subject to Share</b>                 |  | <b><u>245,472</u></b> |
| <b>Split</b>                                   |  |                       |
| SDDC Share                                     |  | 72,778                |
| Treasury Share (Pooling Payment)               |  | 172,694               |
|  |  | <b><u>245,472</u></b> |



**Cash Retained**

|   |                |
|---|----------------|
| Non Pooling Part  | 72,778         |
| Retained Costs  | 9,100          |
| Debt Part   | 83,193         |
| <b>Total Resources for Reinvestment</b>                             | <b>165,071</b> |
| Add Pooling Payment   | 172,694        |
| <b>Total Receipts Received</b>                                      | <b>337,765</b> |
| <b>Required Amount of New Build Expenditure by March 2016 - b/f</b> | <b>42,238</b>  |

3.71 The total resources retained for reinvestment of £165,071, will be transferred to the New Build Capital Receipts Reserve in accordance with the approved policy. The accumulated balance on the Reserve is now approximately £925,000.

3.72 Proceeds from the sale of the HRA land (£70,000) is not subject to pooling as it will be used for the New Build programme; this is a recognised low cost affordable housing scheme as approved by the Committee under regulations.

**TREASURY MANAGEMENT**

3.73 An analysis of the Council's borrowing and short-term investments/bank deposits is summarised in the tables, below. This shows the position at 30th September 2013.

3.74 Debt outstanding is split between the HRA and the General Fund and this represents the "two pool" approach adopted for debt management with the implementation of self-financing in the HRA.

| <b>Debt Outstanding - HRA</b>                            | <b>01/04/2013<br/>£'000</b> | <b>30/09/2013<br/>£'000</b> | <b>Change<br/>£'000</b> |
|--|-----------------------------|-----------------------------|-------------------------|
| Self-financing Debt (Average rate 2.7%)                  | 57,423                      | 57,423                      | 0                       |
| Market Loan (4.875% fixed)                               | 1,000                       | 1,000                       | 0                       |
| Transferred Assets ( <i>repaid as reported in Sept</i> ) | 279                         | 0                           | -279                    |
| <b>Total Debt Outstanding - HRA</b>                      | <b>58,702</b>               | <b>58,423</b>               | <b>-279</b>             |

|   |              |              |            |
|---|--------------|--------------|------------|
| Capital Financing Requirement - HRA           | 62,860       | 62,581       | -279       |
| Debt Cap (Fixed on Self-Financing)            | 66,853       | 66,853       | 0          |
| <b>Borrowing Headroom (Cap Less Debt o/s)</b> | <b>8,151</b> | <b>8,430</b> | <b>279</b> |

|   |              |              |            |
|---|--------------|--------------|------------|
| <b>Debt Outstanding - General Fund</b>        |              |              |            |
| Actual Loans o/s                              | 0            | 0            | 0          |
| Capital Financing Requirement (CFR)           | 6,315        | 6,902        | 587        |
| <b>Borrowing Headroom (CFR Less Debt o/s)</b> | <b>6,315</b> | <b>6,902</b> | <b>587</b> |



### Temporary Investments and Borrowings

|   |              |               |              |
|---|--------------|---------------|--------------|
| Temporary Bank and other Deposits       | 4,500        | 10,400        | 5,900        |
| Less Parish Council Deposits            | -41          | -32           | 9            |
| Less Temporary Debt                     | -15          | -7            | 8            |
| <b>Total - Short-term Cash Position</b> | <b>4,444</b> | <b>10,361</b> | <b>5,917</b> |

|   |       |       |        |
|---|-------|-------|--------|
| Average Interest Rate Earned (Cumulative)   | 0.31% | 0.34% | 0.03%  |
| Target - Average 7-Day Local Authority Rate | 0.51% | 0.48% | -0.03% |

### Debt Outstanding

3.75 This is largely fixed and no repayments are anticipated during the financial year. £10m of the HRA Self-financing Debt is at variable rates. These rates continue to remain historically low (0.6%) and therefore, it is unlikely that any revisions to the Treasury Management Strategy will be required as far as managing this part of the debt portfolio.

### Capital Financing Requirement (CFR)

3.76 The increase in the General Fund's CFR represents the impact of financing the purchase of the bins and caddies for the extended recycling service as detailed earlier in the report. The increase of £587k is made up as shown in the following table.

| <b>General Fund CFR</b>                                  | <b>£'000</b> |
|--|--------------|
| Balance as at April 2013                                 | 6,315        |
| Add: Net Financing of new Bins and Caddies               | 877          |
| Less: Normal Minimum Revenue Provision                   | -250         |
| Less: Provision for Bins and Caddies (part year 2013/14) | -40          |
| <b>Provisional Balance as at March 2014</b>              | <b>6,902</b> |

### Short-term Investments

3.77 The funds of £10.4m are currently on deposit as follows:

|                         |       |       |
|-------------------------|-------|-------|
| Other Local Authorities | £6.5m | 0.31% |
| UK High Street Banks    | £3.9m | 0.42% |

3.78 The amounts on deposit with Banks are in instant access reserve accounts. Although the rates are below the market average, total interest earned to-date of £17,900, is slightly better than budgeted due to a higher average level of balances on deposit (£9.5m compared to £7.5m).

### The Co-operative Bank and a New Banking Contract

3.79 As previously reported, the Council's banker (the Co-op) has been experiencing financial difficulties and according to media reports, this situation has worsened in recent weeks.

- 3.80 The financial package, proposed and accepted by the banking regulator, to rescue the Co-op is dependent upon a vote of its bond holders. If they reject the package then this could lead to the Bank having to withdraw its services.
- 3.81 Due to its financial position, the Co-op's credit rating had previously been downgraded and the Council has no deposits lodged with them.
- 3.82 However, ahead of the vote, there are now some indications to suggest that day to day financial transactions (payments and income collection) through the banks clearing system will be affected. Additional precautions have been taken on large daily transactions to ensure that they clear the system and no balances remain in accounts overnight.
- 3.83 In addition, contingency arrangements have now been set up with a separate bank (see *below*) as cover against the Co-op having to cease operations, although some short-term issues cannot be ruled out.

### **Tender for a New Contract**

- 3.84 As previously reported, the Council's current contract with the Co-op was due to end in March 2014. A tendering exercise has recently been completed to let a new banking contract.
- 3.85 The Co-op, having been selected to tender following an initial evaluation, then withdrew from the full tendering process, citing their financial position. Subsequently, the Co-op has announced that they will no longer be tendering or renewing local authority business.
- 3.86 Four other banks did submit tenders and all were competitive in terms of price and quality. The banks submitting tenders were:
- HSBC
  - Nat West
  - Barclays
  - Lloyds
- 3.87 Following the tender evaluation, the new Contract was awarded to Barclays. The annual contract price is lower per year compared to current charges so this will provide a budget saving.
- 3.88 Work is already underway to transfer bank accounts. It was planned to complete this on a phased basis by April 2014, but this has been brought forward to February 2014. A contingency arrangement has been set up with Barclays should the Co-op cease trading in the meantime.

### **OTHER FINANCIAL INDICATORS**

- 3.89 These are reported to monitor the efficiency of financial services. In addition, the collection rates are targets that form part of the Income Guarantee arrangement under the Corporate Services Contract. The processing of

benefit claims are also key performance indicators which are subject to default conditions if they are not achieved.

3.90 The indicators are detailed in the following table.

|  | Estimated<br>Annual<br>Volumes | 2012/13<br>Actual | Yearly<br>target | Actual<br>Sept<br>2013 | Actual<br>Sept<br>2012 | At<br>Risk |
|--|--------------------------------|-------------------|------------------|------------------------|------------------------|------------|
| <b>Collection Rates</b>                    |                                |                   |                  |                        |                        |            |
| Council Tax in-year Collection             | £44.1m                         | 97.90%            | 97.40%           | 58.10%                 | 58.30%                 | No         |
| Council Tax Arrears Collection             | £3.8m                          | 23.40%            | 26.70%           | 14.70%                 | 12.30%                 | No         |
| Business Rates Collection                  | £22.6m                         | 98.30%            | 96.10%           | 60.80%                 | 59.80%                 | No         |
| Recovery of Housing Benefit Overpayments   | £0.5m                          | 39.50%            | 34.20%           | 26.20%                 | 22.70%                 | No         |
| Sundry Debtor Collection (incl. Arrears)   | £4.5m                          | 90.60%            | 82.60%           | 65.90%                 | 73.20%                 | No         |
| <b>Benefits Processing (Average Time)</b>  |                                |                   |                  |                        |                        |            |
| New Claims                                 | 1,000                          | 16 Days           | 18 Days          | 17 days                | 16 Days                | No         |
| Change of Circumstances                    | 14,000                         | 7 Days            | 8 Days           | 18 days                | 8 Days                 | Yes        |
| <b>Financial Efficiency</b>                |                                |                   |                  |                        |                        |            |
| Percentage of Invoices paid within 30-days | 5,200                          | 98.20%            | 97.50%           | 96.80%                 | 98.50%                 | No         |
| Percentage of Invoices paid within 10-days | 5,200                          | 80.60%            | 65.00%           | 73.30%                 | 79.40%                 | No         |
| Number of Payments made Electronically     | 36,000                         | 93.70%            | 90.00%           | 99.70%                 | 93.10%                 | No         |

3.91 The table shows one indicator currently at risk of falling below target, i.e. performance in processing change of circumstances.

3.92 As previously reported, this is attributable to recent changes in the method in which the DWP pass information to councils to enable them to assess benefit entitlement more accurately and in a timely manner. It is part of a project known as ATLAS (*Automatic Transfer to Local Authority Systems*).

3.93 Ultimately, this system should ensure that councils maximise the subsidy they are reimbursed, with any loss through errors stemming from missing and/or inaccurate data being minimised.

3.94 However, at present there is a substantial amount of additional information being sent over ATLAS which is requiring extra checks to validate. Despite upgrades to the Council's software and additional resources being input (*financed from a Government Grant that is not permanent*) this problem has remained.

3.95 A further software upgrade has been identified which should make the validation easier and this is being kept under review. In the meantime, error rates in processing are have reduced. Whether this is all a direct consequence of ATLAS is not fully known, but it is considered to be a big factor.

## Comparisons

3.96 The average processing of new claims at 17 days is well within the average of all authorities, which is currently 24 days. However, the average processing time for change of circumstances is 11 days compared to the 18 days in South Derbyshire.

## **Electronic Processing of Payments**

- 3.97 The previous table shows that almost all payments made by the Council, including bills to suppliers and housing benefit payments, are now made electronically - predominantly through direct debit. Very few cheque payments are now made.

### **4.0 Financial Implications**

- 4.1 As detailed in the report.

### **5.0 Corporate Implications**

- 5.1 None directly

### **6.0 Community Implications**

- 6.1 None directly

### **7.0 Background Papers**

- 7.1 None

APPENDIX 1

|                                 |   | BUDGET     |          |                | FORECAST    |                   | ANNUAL   |                    | RESERVES  |          | COMMENTARY   |
|---------------------------------|---|------------|----------|----------------|-------------|-------------------|----------|--------------------|-----------|----------|--|
|                                 |   | YTD ACTUAL | BUDGET   | BUDGET OUTTURN | ADJUSTMENTS | PROJECTED OUTTURN | BUDGET   | PROJECTED VARIANCE | EARMARKED | GF       |  |
| £'s                             |   |            |          |                |             |                   |          |                    |           |          |  |
| PSX90                           | Transport Services                      | 309,501    | 531,453  | 840,954        | (1,435)     | 839,519           | 827,650  | (11,869)           |           | (11,869) | £3k fav income due to no budget for taxi testing, £7k Fav total salary costs, £15k adv spare parts(Adj: budget profiling ) £5k Ad Gas Oil. |
| Central & Departmental Accounts |   | 309,501    | 531,453  | 840,954        | (1,435)     | 839,519           | 827,650  | (11,869)           | 0         | (11,869) |  |
| CCF00                           | Tourism Policy, Marketing & Development | 24,780     | 26,264   | 51,044         | 2,750       | 53,794            | 52,528   | (1,266)            |           | (1,266)  | 2.6% increase on grants not budgeted (Adj: materials profiling)  |
| CPH70                           | Promotion and Marketing of the Area     | 102,495    | 108,031  | 210,526        | 1,875       | 212,401           | 218,423  | 6,023              |           | 6,023    | £8k unbudgeted income (Adj: budget profiling of what's on guide & 4k professional Fees)  |
| Economic Development            |   | 127,275    | 134,295  | 261,570        | 4,625       | 266,195           | 270,951  | 4,756              | 0         | 4,756    |  |
| CPE10                           | Environmental Education                 | 59,043     | 15,963   | 75,006         |             | 75,006            | 71,013   | (3,993)            | (3,993)   |          |  |
| Environmental Education         |   | 59,043     | 15,963   | 75,006         | 0           | 75,006            | 71,013   | (3,993)            | (3,993)   | 0        |  |
| CEE00                           | Food Safety                             | 53,374     | 66,304   | 119,678        | 1,667       | 121,345           | 131,396  | 10,051             |           | 10,051   | £12k additional licencing income & £1k fav salaries (Adj: Computer main profiling)   |
| CEE10                           | Pollution Reduction                     | 108,705    | 118,154  | 226,858        | 600         | 227,458           | 234,861  | 7,402              |           | 7,402    | £7k Fav on Fees (Adj: legal fees outturn amend & Professional Fees)  |
| CEE30                           | Health and Safety at Work               | 137        | 0        | 137            |             | 137               | 0        | (137)              |           | (137)    | Adv salaries £1k (Adj: fee income profiling & legal fees outturn amend)  |
| CEE50                           | Pest Control                            | 2,236      | 4,640    | 6,876          | 3,098       | 9,974             | 9,069    | (904)              |           | (904)    |  |
| CEE80                           | Public Conveniences                     | 12,039     | 35,824   | 47,864         |             | 47,864            | 48,509   | 646                |           | 646      |  |
| CEH00                           | Community Safety (Safety Services)      | 43,589     | 59,586   | 103,175        |             | 103,175           | 118,421  | 15,246             |           | 15,246   | £7k fav salaries due to vacancy & £6k fav prof fees - reduction in stray dogs  |
| KGW00                           | Welfare Services                        | 0          | 625      | 625            |             | 625               | 1,500    | 875                |           | 875      |  |
| Environmental Services          |   | 220,080    | 285,132  | 505,213        | 5,365       | 510,578           | 543,756  | 33,178             | 0         | 33,178   |  |
| HTK10                           | Environmental Maintenance (Other Roads) | (7,966)    | (2,775)  | (10,741)       | 5,179       | (5,562)           | (5,550)  | 12                 |           | 12       | (Adj: Gully cleaning underspend not expected by year end)  |
| NAC60                           | Public Transport                        | 6,502      | 15,762   | 22,265         | 3,690       | 25,955            | 27,702   | 1,748              |           | 1,748    | (Adj: adhoc spend on r&m £2k & missed accrual £1k)   |
| Highways                        |   | (1,464)    | 12,987   | 11,524         | 8,869       | 20,393            | 22,152   | 1,760              | 0         | 1,760    |  |
| ACL00                           | Local Land Charges                      | (11,082)   | 9,221    | (1,861)        |             | (1,861)           | 12,243   | 14,104             |           | 14,104   | Additional fee incomefees  |
| CEE70                           | Licensing                               | (24,615)   | (23,804) | (48,419)       |             | (48,419)          | (47,998) | 421                |           | 421      | £8k fav salaries due to vacancy, £7k adv on fees £2k avd compt licences  |
| Licensing and Land Charges      |   | (35,697)   | (14,582) | (50,280)       | 0           | (50,280)          | (35,755) | 14,525             | 0         | 14,525   |  |
| ACG00                           | Emergency Planning and Works            | 0          | 250      | 250            |             | 250               | 500      | 250                |           | 250      | £1k Fav Professional fees, other small variances (Adj: grants profiling)   |
| CCA20                           | Heritage                                | 5,660      | 11,201   | 16,862         | 3,750       | 20,612            | 22,371   | 1,760              |           | 1,760    | £22k fav on fee income, £2k fav on prof fees & £1k fav salaries. £2k Fav car allowance (Adj: subscriptions profiling)                      |
| CPB00                           | Building Regulations                    | (29,753)   | (1,866)  | (31,619)       | (1,189)     | (32,808)          | (3,733)  | 29,075             |           | 29,075   |  |

APPENDIX 1

|                                     |   | BUDGET     |           |                | FORECAST    |                   | ANNUAL    |                    | RESERVES  |          | COMMENTARY  |
|-------------------------------------|---|------------|-----------|----------------|-------------|-------------------|-----------|--------------------|-----------|----------|---|
|                                     |   | YTD ACTUAL | BUDGET    | BUDGET OUTTURN | ADJUSTMENTS | PROJECTED OUTTURN | BUDGET    | PROJECTED VARIANCE | EARMARKED | GF       |   |
| £'s                                 |   |            |           |                |             |                   |           |                    |           |          |   |
| CPB10                               | Building Control Enforcement                  | 41,376     | 34,863    | 76,239         |             | 76,239            | 69,674    | (6,565)            |           | (6,565)  | £8k Salary overspend, £2k fav computer maintenance<br>Favourable £2k prof fees, £6k salary, £3k fees  |
| CPB20                               | Other Building Control Work                   | 6,166      | 18,111    | 24,277         |             | 24,277            | 36,222    | 11,945             |           | 11,945   |   |
| CPC00                               | Development Control Advice                    | 16,581     | 7,821     | 24,402         |             | 24,402            | 15,183    | (9,219)            |           | (9,219)  | Salary overspend £7k, Computer maintenance £2k adv<br>Salary £29k fav due to vacancy and mat leave, £4k fav<br>car allowances, £48k fav planning apps, £11k adv ex-gratia payments,<br>Salary overspend<br>£34k fav on salary costs due to vacancy & mat leave & to cover Professional fees for consultancy, £3k small<br>variances (Adj: TPP - other & prof fees for local plan profiling) |
| CPC10                               | Dealing with Development Control Applications | (105,945)  | (32,100)  | (138,044)      |             | (138,044)         | (61,199)  | 76,845             |           | 76,845   |   |
| CPC20                               | Development Control Enforcement               | 62,469     | 55,309    | 117,778        |             | 117,778           | 110,806   | (6,972)            |           | (6,972)  |   |
| CPD10                               | Structure and Local Planning                  | 166,575    | 218,714   | 385,288        | (18,000)    | 367,288           | 370,980   | 3,692              |           | 3,692    |   |
| Planning                            |   | 163,129    | 312,303   | 475,432        | (15,439)    | 459,993           | 560,804   | 100,811            | 0         | 100,811  | £3k fav on grounds maintenance & other mats, & £2k on Rents-Wayleaves, £5k down on fee income (Adj: fees from County, rent & electricity profiling)   |
| HTP10                               | Off-Street Parking                            | 6,733      | 64,101    | 70,833         | 0           | 70,833            | 71,466    | 632                |           | 632      |   |
| Town Centre                         |   | 6,733      | 64,101    | 70,833         | 0           | 70,833            | 71,466    | 632                | 0         | 632      | Vehicle hire £4k fav, salaries £5k fav & fees £8k fav (Adj: Prof fees profiling & furniture and mats adhoc spend)<br>£43k adv agency cost<br>£2k adv mats (Adj: Income prepayment incorrect )<br><br>Prof fees fav £6k, £3k tools (Adj: waste management profiling & £3k printing   |
| CEE60                               | Public Health                                 | (752)      | 0         | (752)          |             | (752)             | 0         | 752                |           | 752      |   |
| CES00                               | Street Cleansing (not chargeable to highways) | 108,068    | 120,499   | 228,566        | (7,000)     | 221,566           | 238,983   | 17,417             |           | 17,417   |   |
| CEW00                               | Household Waste Collection                    | 591,255    | 596,925   | 1,188,180      |             | 1,188,180         | 1,142,582 | (45,599)           |           | (45,599) |   |
| CEW10                               | Trade Waste Collection                        | (79,861)   | (57,974)  | (137,835)      | 20,418      | (117,417)         | (117,248) | 169                |           | 169      |   |
| CEW20                               | Recycling                                     | 83,958     | 120,838   | 204,797        | 43,000      | 247,797           | 239,539   | (8,258)            |           | (8,258)  |   |
| Waste Collection & Street Cleansing |   | 702,668    | 780,288   | 1,482,956      | 56,418      | 1,539,374         | 1,503,856 | (35,518)           | 0         | (35,518) |   |
|                                     |   | 1,551,268  | 2,121,940 | 3,673,208      | 58,403      | 3,731,611         | 3,835,893 | 104,282            | (3,993)   | 108,275  |   |
|                                     |   |            |           |                |             |                   |           |                    |           |          |   |



APPENDIX 2

|  |  | BUDGET     |          |                | FORECAST    |                   | ANNUAL   |                    | RESERVES  |         | COMMENTARY  |
|--|--|------------|----------|----------------|-------------|-------------------|----------|--------------------|-----------|---------|---|
|  |  | YTD ACTUAL | BUDGET   | BUDGET OUTTURN | ADJUSTMENTS | PROJECTED OUTTURN | BUDGET   | PROJECTED VARIANCE | EARMARKED | GF      |   |
| £'s                                      |  |            |          |                |             |                   |          |                    |           |         |   |
| ACT00                                    | General Grants, Bequests & Donations           | 183,703    | 123,028  | 306,731        | (57,169)    | 249,562           | 251,826  | 2,264              |           | 2,264   | Fav salaries (Adj: Grants profiling)  |
| CCD00                                    | Community Centres                              | 7,019      | 25,317   | 32,337         |             | 32,337            | 33,364   | 1,027              |           | 1,027   |   |
| CEG00                                    | Community Safety (Crime Reduction)             | 74,821     | 38,135   | 112,956        |             | 112,956           | 177,030  | 64,074             | 64,074    |         |   |
| CEK00                                    | Defences Against Flooding                      | 19,524     | 17,552   | 37,076         | (1,500)     | 35,576            | 34,802   | (774)              |           | (774)   |   |
| CPH20                                    | Market Undertakings                            | (1,235)    | 1,363    | 128            |             | 128               | (1,512)  | (1,640)            |           | (1,640) |   |
|  |  |            |          |                |             |                   |          |                    |           |         |   |
| CPL00                                    | Community Development                          | 16,855     | 10,634   | 27,489         | 9,958       | 37,447            | 33,331   | (4,116)            |           | (4,116) | Adv Prof fees £2k & £4k training, £1k fav tools(Adj: £6k Grants, £3k insurance & training profiling)<br>(Adj: Reps & main profiling)  |
| CCF10                                    | Village Halls                                  | 1,038      | 3,500    | 4,537          | 1,879       | 6,416             | 7,000    | 583                |           | 583     |   |
| Community Development and Support        |  | 301,725    | 219,529  | 521,253        | (46,832)    | 474,421           | 535,841  | 61,419             | 64,074    | (2,655) |   |
|  |  |            |          |                |             |                   |          |                    |           |         |   |
|  |  |            |          |                |             |                   |          |                    |           |         |   |
| CCA10                                    | Arts Development & Support                     | 26,272     | 1,340    | 27,612         |             | 27,612            | 26,875   | (737)              | (737)     | (0)     | £2k additional income, £1k Fav salaries, 2k adv professional fees<br><br>£2k Lights ordered in 12/13 but not accrued (Adj: profiling of civic functions budget) Small variances   |
| CCA40                                    | Festival of Leisure                            | 12,077     | 15,813   | 27,891         |             | 27,891            | 28,846   | 955                |           | 955     |   |
|  |  |            |          |                |             |                   |          |                    |           |         |   |
| CCA30                                    | Christmas Lights                               | 10,223     | 46,694   | 56,916         | 1,865       | 58,781            | 57,776   | (1,005)            |           | (1,005) |   |
| Leisure and Recreational Activities      |  | 48,572     | 63,847   | 112,419        | 1,865       | 114,284           | 113,497  | (787)              | (737)     | (50)    |   |
|  |  |            |          |                |             |                   |          |                    |           |         |   |
| CCD20                                    | Sports Development & Community Recreation      | 84,027     | 30,091   | 114,118        |             | 114,118           | 139,350  | 25,232             | 25,232    |         | Adv £1k Active Nation payments (Adj: R&M & fee income profiling)<br><br>Accrual released from YE  |
| CCD30                                    | Indoor Sports & Recreation Facilities          | 81,279     | 324,898  | 406,177        | 19,007      | 425,184           | 423,084  | (2,100)            |           | (2,100) |   |
| CCD40                                    | Outdoor Sports & Recreation Facilities (SSP)   | 38,169     | (0)      | 38,168         |             | 38,168            | (0)      | (38,169)           | (38,169)  |         |   |
| CCA00                                    | Melbourne Leisure Centre                       | (1,833)    | (160)    | (1,993)        |             | (1,993)           | (320)    | 1,673              |           | 1,673   |   |
|  |  |            |          |                |             |                   |          |                    |           |         |   |
| CCD10                                    | Get Active in the Forest                       | 3,039      | 10,570   | 13,609         |             | 13,609            | 26,081   | 12,472             | 12,472    |         | Adv £4k salaries, fav £3k fees, ref coll fav £1k & £1k fav water (Adj: R&M, GM costs, mats & tools & equip profiling)<br><br>(Adj: need a full review with Malcolm re outturn - currently favourable due to income but could be a profiling issue)<br>Increase in income £3k & salaries fav £1k (Adj: R&M to be spent during year)<br>(Adj: Grants profiling) |
| CCD50                                    | Playschemes                                    | (6,787)    | (854)    | (7,641)        |             | (7,641)           | 32,031   | 39,673             | 39,673    |         |   |
| Leisure Centres and Community Facilities |  | 197,894    | 364,544  | 562,438        | 19,007      | 581,445           | 620,226  | 38,781             | 39,208    | (427)   |   |
|  |  |            |          |                |             |                   |          |                    |           |         |   |
|  |  |            |          |                |             |                   |          |                    |           |         |   |
| CCE00                                    | Ground Maintenance                             | 156,876    | 196,653  | 353,528        | 11,935      | 365,463           | 370,036  | 4,572              |           | 4,572   |   |
| CCE10                                    | Countryside Recreation & Management            | 5,505      | 7,696    | 13,201         |             | 13,201            | 14,360   | 1,159              |           | 1,159   |   |
| CCE20                                    | Allotments                                     | (1,563)    | 600      | (963)          |             | (963)             | (725)    | 238                |           | 238     |   |
|  |  |            |          |                |             |                   |          |                    |           |         |   |
|  |  |            |          |                |             |                   |          |                    |           |         |   |
| CCF20                                    | Rosliston Forestry Centre                      | 10,807     | 82,536   | 93,343         | 14,355      | 107,698           | 107,698  | 0                  |           | 0       |   |
| CEA00                                    | Cemeteries                                     | (6,706)    | 2,882    | (3,824)        | 9,480       | 5,656             | 9,277    | 3,621              |           | 3,621   |   |
| CEA30                                    | Closed Churchyards                             | 3,936      | 0        | 3,936          | 652         | 4,588             | 4,260    | (328)              |           | (328)   |   |
| KJE70                                    | Community Parks & Open Spaces                  | 104,850    | 88,502   | 193,352        |             | 193,352           | 191,386  | (1,967)            | (1,967)   |         |   |
| Parks and Open Spaces                    |  | 273,705    | 378,870  | 652,574        | 36,422      | 688,996           | 696,292  | 7,295              | (1,967)   | 9,262   |   |
|  |  |            |          |                |             |                   |          |                    |           |         |   |
| CEE20                                    | Housing Standards                              | 41,806     | 45,486   | 87,292         | 1,560       | 88,852            | 90,972   | 2,120              |           | 2,120   | Salary underspend (Adj: Training profiling)<br>Fav £18k salary costs due to vacant post, £1k fav tools (Adj: Subscriptions & prof fees profiling)<br>£2k Saving on pension (Adj: Erewash BC & advertising profiling)<br>£2k fav other staff costs & £1k prof fees (Adj: TPP-agency profiling) (Post funded by reserves)                                       |
| KGA00                                    | Housing Strategy                               | 16,218     | 47,364   | 63,583         | 6,838       | 70,421            | 94,466   | 24,046             |           | 24,046  |   |
| KGD00                                    | Housing Advice                                 | 41,693     | 34,204   | 75,896         | (2,843)     | 73,053            | 79,111   | 6,058              |           | 6,058   |   |
| KGE10                                    | Administration of Renovation & Improvement Gra | 45,365     | 46,619   | 91,984         | 7,300       | 99,284            | 92,885   | (6,399)            | (10,692)  | 4,293   |   |
| KGH10                                    | Bed / Breakfast Accommodation                  | (5,136)    | 5,000    | (136)          |             | (136)             | 10,000   | 10,136             |           | 10,136  |   |
|  |  |            |          |                |             |                   |          |                    |           |         |   |
| KGH40                                    | Homelessness Administration                    | 47,698     | 56,578   | 104,276        | (32,000)    | 72,276            | 112,195  | 39,918             | 26,250    | 13,668  | Fav £14k salary costs due to vacancy, £26k unbudgeted income from DCC (Adj: income being rec'd with RSG)<br>(Adj: DCC funded)   |
| KGT00                                    | Travellers´ Sites                              | 12,786     | (34,148) | (21,362)       | 828         | (20,534)          | (20,534) | (0)                |           | (0)     |   |

APPENDIX 2

£'s

Private Sector Housing

| BUDGET     |           |                | FORECAST    |                   | ANNUAL    |                    | RESERVES  |        | COMMENTARY |
|------------|-----------|----------------|-------------|-------------------|-----------|--------------------|-----------|--------|------------|
| YTD ACTUAL | BUDGET    | BUDGET OUTTURN | ADJUSTMENTS | PROJECTED OUTTURN | BUDGET    | PROJECTED VARIANCE | EARMARKED | GF     |            |
| 200,430    | 201,103   | 401,533        | (18,317)    | 383,216           | 459,094   | 75,879             | 15,558    | 60,321 |            |
| 1,022,326  | 1,227,892 | 2,250,218      | (7,855)     | 2,242,363         | 2,424,950 | 182,587            | 116,137   | 66,451 |            |
|            |           |                |             |                   |           |                    |           |        |            |



APPENDIX 3

|   |  | BUDGET     |           |                | FORECAST     |                   | ANNUAL    |                    | RESERVES  |          | COMMENTARY   |
|---|--|------------|-----------|----------------|--------------|-------------------|-----------|--------------------|-----------|----------|--|
|   |  | YTD ACTUAL | BUDGET    | BUDGET OUTTURN | ADJUSTMENT S | PROJECTED OUTTURN | BUDGET    | PROJECTED VARIANCE | EARMARKED | GF       |  |
| £'s   |  |            |           |                |              |                   |           |                    |           |          |  |
| PSX40   | Senior Management                      | 271,608    | 330,211   | 601,819        |              | 601,819           | 636,975   | 35,156             |           | 35,156   | Restructure Savings £45k, Professional Fees NG PLC   |
| PSX50   | Reprographic/Print Room                | 40,742     | 41,233    | 81,975         |              | 81,975            | 81,865    | (110)              |           | (110)    | £11k adv   |
| PSX55   | Financial Services                     | 158,254    | 142,830   | 301,085        | 5,525        | 306,610           | 292,419   | (14,191)           |           | (14,191) | Fav £5k salaries due to vacant post for 2 months, £1k fav on tools, £8k adv prof fees, £20k adv Agresso main unaccrued (Adj: Training & periodicals profile)   |
| PSX56   | Internal Audit                         | 61,320     | 61,320    | 122,640        |              | 122,640           | 122,640   | 0                  |           | 0        |  |
| PSX57   | Merchant Banking Services              | 24,334     | 24,201    | 48,535         |              | 48,535            | 48,402    | (133)              |           | (133)    |  |
| PSX60   | ICT Support                            | 322,292    | 329,522   | 651,814        |              | 651,814           | 654,812   | 2,998              |           | 2,998    |  |
| PSX65   | Legal Services                         | 21,274     | 17,874    | 39,148         | 6,667        | 45,815            | 35,314    | (10,501)           |           | (10,501) | £3k fav book & prof fees, £9k adv salary increase (Adj:salary increase, £2k training profiling)  |
| PSX75   | Personnel/HR                           | 100,904    | 121,174   | 222,078        | (4,000)      | 218,078           | 238,279   | 20,201             |           | 20,201   | No spend on training, adj for underspend on training   |
| PSX76   | Policy & Communications                | 121,318    | 120,960   | 242,278        |              | 242,278           | 241,920   | (358)              |           | (358)    |  |
| PSX77   | Customer Services                      | 283,226    | 282,732   | 565,958        |              | 565,958           | 565,327   | (631)              |           | (631)    |  |
| PSX78   | Health & Safety                        | 18,646     | 17,034    | 35,680         |              | 35,680            | 34,067    | (1,613)            |           | (1,613)  | Medical fees & training  |
| PSX81   | Admin Offices & Depot                  | 51,826     | 253,917   | 305,743        | 2,814        | 308,557           | 312,228   | 3,671              |           | 3,671    | £1k adv fess other (Adj: R&M profiling)  |
| PSX95   | Procurement Unit                       | 80,166     | 80,368    | 160,533        |              | 160,533           | 160,735   | 202                |           | 202      | Protective Clothing  |
| PSX99   | Corporate Services Partnership         | 11,978     | 0         | 11,978         | (11,978)     | (0)               | 0         | 0                  |           | 0        | (Adj: Recharge to Northgate)   |
| SSX70   | Other Management Costs                 | 1,500      | 0         | 1,500          | (1,500)      | 0                 | 0         | 0                  |           | 0        | Income to be received to offset exp  |
| KJE40   | Caretaking                             | 42,985     | 23,200    | 66,186         | (3,582)      | 62,604            | 62,604    | 0                  |           | 0        | (Adj: Recharge to DCC (service costs))   |
| Central and Departmental Accounts               |  | 1,612,374  | 1,846,576 | 3,458,950      | (6,054)      | 3,452,896         | 3,487,588 | 34,692             | 0         | 34,692   |  |
| HTT00   | Concessionary Fares                    | (7,318)    | 1,500     | (5,818)        |              | (5,818)           | 3,000     | 8,818              |           | 8,818    | Income for replacement bus passes  |
| Concessionary Travel                            |  | (7,318)    | 1,500     | (5,818)        | 0            | (5,818)           | 3,000     | 8,818              | 0         | 8,818    |  |
| AAD00   | Democratic Representation & Management | 219,556    | 296,019   | 515,575        | 30,838       | 546,413           | 592,656   | 46,243             |           | 46,243   | £8k adv superan & NI - members unbudgeted, £3k adv printing - unbudgeted, £8k DCC forum not budgeted, £9k fav catering/conferencing (Adj: £4k members allow profile, £27k memebbers allow not accrued )£36k restructure saving |
| AAM00   | Corporate Management                   | 29,177     | 43,575    | 72,752         | 4,148        | 76,900            | 86,900    | 10,000             |           | 10,000   | (Adj: subscription, Bank charges, 10K saving on District Valuer fees   |
| AAM01   | Corporate Finance Management           | 29,111     | 35,496    | 64,607         |              | 64,607            | 65,642    | 1,035              |           | 1,035    | £3k fav bank charges, £5k adv FID payment no budget, £3k adv prof fees due to restructure  |
| KJW00   | Debt Management Costs                  | 60,579     | 61,150    | 121,729        |              | 121,729           | 122,300   | 571                |           | 571      |  |
| Corporate and Democratic Costs                  |  | 338,424    | 436,240   | 774,664        | 34,986       | 809,650           | 867,498   | 57,848             | 0         | 57,848   |  |
| ACE00   | Registration of Electors               | (6,389)    | 9,493     | 3,105          | 15,639       | 18,744            | 18,743    | (0)                |           | (0)      | (Adj: postage profiling, £6k IER funding to be spent later in year)  |
| ACE10   | Conducting Elections                   | 137,918    | 44,537    | 182,454        | (80,473)     | 101,981           | 88,011    | (13,970)           |           | (13,970) | £14k adv unbudgeted post (Adj: election fees to reclaim £78k, £6k purchase new polling booths & £1k comp main profiling)   |
| Electoral Registration                          |  | 131,529    | 54,030    | 185,559        | (64,834)     | 120,725           | 106,754   | (13,971)           | 0         | (13,971) |  |
| ACT01   | Parish Councils                        | 164,606    | 158,432   | 323,037        | (11,856)     | 311,181           | 311,182   | 0                  |           | 0        | (Adj: TPP profiling)   |
| Payments to Parish Councils                     |  | 164,606    | 158,432   | 323,037        | (11,856)     | 311,181           | 311,182   | 0                  | 0         | 0        |  |
| ABP00   | Funded Pension Schemes                 | 68,271     | 166,396   | 234,667        | (2,630)      | 232,037           | 232,037   | 0                  |           | 0        | (Adj: enhanced pension profiling)  |
| ABQ00   | Planning Agreements                    | (360,978)  | 0         | (360,978)      | 360,978      | (0)               | 0         | 0                  |           | 0        | (Adj: section 106 monies)  |
| W4A00   | Interest & Investment Income (GF)      | (17,900)   | (15,546)  | (33,446)       |              | (33,446)          | (32,500)  | 946                |           | 946      |  |
| W7A00   | External Interest Payable (GF)         | 0          | 5,745     | 5,745          | 4,788        | 10,533            | 11,490    | 957                |           | 957      | (Adj: Budget Profiling)  |
| Pensions, Grants Interest Payments and Receipts |  | (310,607)  | 156,595   | (154,012)      | 363,136      | 209,124           | 211,027   | 1,904              | 0         | 1,904    |  |

APPENDIX 3

£'s

|                                      |   | BUDGET      |           |                | FORECAST    |                   | ANNUAL    |                    | RESERVES  |         | COMMENTARY   |
|--------------------------------------|---|-------------|-----------|----------------|-------------|-------------------|-----------|--------------------|-----------|---------|--|
|                                      |   | YTD ACTUAL  | BUDGET    | BUDGET OUTTURN | ADJUSTMENTS | PROJECTED OUTTURN | BUDGET    | PROJECTED VARIANCE | EARMARKED | GF      |  |
| PSX85                                | Estate Management                         | (131,773)   | (14,059)  | (145,832)      | 49,535      | (96,297)          | (79,724)  | 16,573             |           | 16,573  | £3k fav additional conveyancing work(Adj: rent paid at year end, prof fees & insurance profiling, rental income profiling) |
| Property and Estates                 |   | (131,773)   | (14,059)  | (145,832)      | 49,535      | (96,297)          | (79,724)  | 16,573             | 0         | 16,573  |  |
| ACA00                                | Council Tax Collection                    | 68,072      | (100,355) | (32,283)       | (3,427)     | (35,710)          | (35,710)  | (0)                |           | (0)     | (Adj: TPP other profiling)   |
| ACA10                                | Council Tax Benefits Administration       | 0           | 300       | 300            | 300         | 600               | 600       | 0                  |           | 0       | (Adj: budget profiling, actuals at year end)   |
| ACA30                                | Council Tax Benefits                      | 0           | (14,000)  | (14,000)       |             | (14,000)          | (14,000)  | 0                  |           | 0       |  |
| ACA40                                | Non Domestic Rates Collection             | 60,162      | (20,980)  | 39,182         | (1,612)     | 37,570            | 37,570    | 0                  |           | 0       | (Adj: budget profiling, actuals at year end)   |
| KGL00                                | Rent Allowances Paid                      | (8,786)     | 162,000   | 153,214        | 8,786       | 162,000           | 162,000   | (0)                |           | (0)     | (Adj: budget profiling, actuals at year end)   |
| KGL10                                | Net cost of Non-HRA Rent Rebates          | 0           | 48,000    | 48,000         |             | 48,000            | 48,000    | 0                  |           | 0       |  |
| KGN00                                | Net cost of Rent Rebates Paid             | 0           | 68,000    | 68,000         |             | 68,000            | 68,000    | 0                  |           | 0       |  |
| KGP00                                | Housing Benefits Administration           | 289,077     | (195,386) | 93,691         | (65,332)    | 28,359            | 28,359    | 0                  |           | 0       | (Adj: £59k additional exp incurred to be funded from a grant)  |
| Revenues and Benefits                |   | 408,525     | (52,421)  | 356,104        | (61,285)    | 294,819           | 294,819   | 0                  | 0         | 0       |  |
|                                      |   | 2,205,759   | 2,586,893 | 4,792,652      | 303,628     | 5,096,280         | 5,202,144 | 105,864            | 0         | 105,864 |  |
| W2A00                                | Taxation & non specific grant income (GF) | (1,759,460) | 0         | (1,759,460)    | 1,759,460   | 0                 | 0         | 0                  |           | 0       |  |
| W6A00                                | IAS19 Pensions Adjustment (GF)            | 0           | 0         | 0              |             | 0                 | 0         | 0                  |           | 0       |  |
| W8A00                                | Other Operating Income & Expenditure (GF) | (201,308)   | 0         | (201,308)      | 201,308     | 0                 | 0         | (0)                |           | (0)     |  |
| Other Operating Income & Expenditure |   | (1,960,768) | 0         | (1,960,768)    | 1,960,768   | 0                 | 0         | (0)                | 0         | (0)     |  |
|                                      |   | 244,992     | 2,586,893 | 2,831,885      | 2,264,396   | 5,096,281         | 5,202,144 | 105,864            | 0         | 105,864 |  |
|                                      |   |             |           |                |             |                   |           |                    |           |         |  |

## ESTIMATED COLLECTION FUND ACCOUNT 2013/14

|                            | Actual<br>2012/13<br>£'000 | Estimate<br>2013/14<br>£'000 | Variance<br>£'000 |
|----------------------------|----------------------------|------------------------------|-------------------|
| <b>INCOME</b>              |                            |                              |                   |
| Council Tax Collectable    | 43,013                     | 44,052                       | 1,039             |
| Business Rates Collectable | 21,862                     | 22,621                       | 759               |
| Council Tax Benefits       | 4,952                      | 0                            | -4,952            |
| <b>Total Income</b>        | <b>69,827</b>              | <b>66,673</b>                | <b>-3,154</b>     |

|                                      |               |               |               |
|--------------------------------------|---------------|---------------|---------------|
| <b>EXPENDITURE</b>                   |               |               |               |
| County Council Precept               | 34,643        | 31,626        | -3,017        |
| Police Authority Precept             | 5,271         | 4,901         | -370          |
| Fire Authority Precept               | 2,162         | 1,972         | -190          |
| SDDC Precept (incl. Parishes)        | 5,411         | 5,014         | -397          |
| Distribution of Business Rates       | 21,772        | 21,424        | -348          |
| Business Rates Collection Costs      | 91            | 92            | 1             |
| Bad Debts Provision - Business Rates | 0             | 1,105         | 1,105         |
| Bad Debts Provision - Council Tax    | 335           | 247           | -88           |
| <b>Total Expenditure</b>             | <b>69,686</b> | <b>66,381</b> | <b>-3,305</b> |

|                             |            |            |            |
|-----------------------------|------------|------------|------------|
| <b>Surplus for the Year</b> | <b>141</b> | <b>292</b> | <b>151</b> |
|-----------------------------|------------|------------|------------|

**FUND BALANCE**

|                             |     |     |
|-----------------------------|-----|-----|
| Opening Balance 1st April   | 116 | 84  |
| Surplus for Year (as above) | 141 | 292 |

**Less : Previous Year's surpluses paid over**

|                                      |      |   |
|--------------------------------------|------|---|
| Derbyshire County Council            | -126 | 0 |
| Derbyshire Police Authority          | -19  | 0 |
| Derbyshire Fire and Rescue Authority | -8   | 0 |
| South Derbyshire District Council    | -20  | 0 |

|   |           |            |
|---|-----------|------------|
| <b>Closing Balance as at 31st March</b> | <b>84</b> | <b>376</b> |
|---|-----------|------------|

**SHARE**

|                                      |           |            |
|--------------------------------------|-----------|------------|
| Derbyshire County Council            | 61        | 273        |
| Derbyshire Police Authority          | 9         | 42         |
| Derbyshire Fire and Rescue Authority | 4         | 17         |
| South Derbyshire District Council    | 10        | 43         |
|                                      | <b>84</b> | <b>376</b> |

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|--------------------------------|--|--|
| <b>REPORT TO:</b>              | <b>FINANCE AND MANAGEMENT COMMITTEE</b>  | <b>AGENDA ITEM: 10</b>   |
| <b>DATE OF MEETING:</b>        | <b>5<sup>th</sup> DECEMBER 2013</b>  | <b>CATEGORY: DELEGATED</b>   |
| <b>REPORT FROM:</b>            | <b>DIRECTOR OF FINANCE and CORPORATE SERVICES</b>  | <b>OPEN</b>  |
| <b>MEMBERS' CONTACT POINT:</b> | <b>KEVIN STACKHOUSE (01283 595811)</b><br><a href="mailto:Kevin.stackhouse@south-derbys.gov.uk">Kevin.stackhouse@south-derbys.gov.uk</a> | <b>DOC:</b> u/ks/council tax support scheme/financial monitoring/financial update Dec 2013 |
| <b>SUBJECT:</b>                | <b>LOCAL COUNCIL TAX SUPPORT SCHEME – FINANCIAL UPDATE</b>   | <b>REF</b>   |
| <b>WARD (S) AFFECTED:</b>      | <b>ALL</b>   | <b>TERMS OF REFERENCE: FM 08</b>   |

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## **1.0 Recommendations**

- 1.1 That the latest costs associated with the Local Council Tax Support and Discount Schemes are considered and noted.
- 1.2 That the demand for Discretionary Housing Payments and its affect upon the allocated budget are considered and noted.

## **2.0 Purpose of Report**

- 2.1 To provide an update of the costs associated with the Local Council Tax Support and Discount Schemes following their implementation on 1st April 2013. The report also provides an update on the demand for Discretionary Housing Payments (DHP).
- 2.2 The position is based on transactions and figures up to 31<sup>st</sup> October 2013 and covers:
  - The cost of local support for Council Tax
  - The Collection Rate for households paying Council Tax for the first time.
  - The impact of the reduction in discount for empty properties
  - The impact of the introduction of a premium on properties empty for longer than two years
  - The number and cost of awards for DHP.
- 2.3 The report also provides an overview on the implementation of Universal Credit and the Government's proposals for a Single Fraud Investigation Service.

### 3.0 Detail

- 3.1 Following abolition of the national benefits scheme for Council Tax on 31st March 2013, the Council implemented a local support scheme in its place which was implemented on 1st April 2013. The detailed parameters were largely based on the out-going national scheme.
- 3.2 Within the local scheme, pensioner and disability households are protected. However, the total scheme was defined in the context of a finite resource. This meant that working age claimants within the previous national scheme are now paying more Council Tax.
- 3.3 Of these, up to 2,000 households will contribute up to 10% of their Council Tax liability, for which previously they had been entitled to full benefit.
- 3.4 The main parameters of the local scheme are detailed below.
- Claimants of pensionable age receive exactly the same level of support as existed under the previous national scheme.
  - Households who qualify for benefit through disability premiums receive exactly the same level of support as existed under the previous national scheme.
  - War widow and war disabled claimants receive exactly the same level of support as existed under the previous national scheme.
  - Military compensation payments are fully disregarded in calculating Council Tax support.
  - Working age claimants who previously received 100% Council Tax benefit are deducted 8.5% from their entitlement calculated under the Local Scheme.
  - Working age claimants who previously received less than 100% Council Tax benefit are deducted 10% from their entitlement calculated under the Local Scheme.
  - Full Council Tax support for claimants entering work is paid for 8 weeks, an increase from 4 weeks under the previous national scheme.
- 3.5 The total cost of the local scheme was estimated at £4.9m and this is being funded as shown in the following table.

| <b>Local Council Tax Support Scheme 2013/14</b>          |  | Estimate<br>£ |
|--|--|---------------|
| Total Cost of Council Tax Support Scheme                 |  | 4,919,899     |
| Grant Funding  |  | -4,537,911    |
| Transitional Grant (2013/14)                             |  | -123,422      |
| Premium on Long-term Empty Properties                    |  | -45,900       |
| Council Tax on Properties empty for longer than 3 months |  | -188,094      |
| <b>Surplus (-) / Deficit</b>                             |  | <b>24,572</b> |

- 3.6 As the table highlights, part of the funding is being generated through a reduction in discounts associated with empty properties.
- 3.7 As regards Discretionary Housing Payments (DHP) the Council was awarded a separate grant allocation of £102,358 for 2013/14. In addition, £14,962 was carried over from 2012/13 giving total resources for the year of £117,320.
- 3.8 Given the increase in resources compared to previous years, together with an expected increase in demand for DHP, the Committee approved updated guidance for allocating DHP funding at its meeting on 21st March 2013.

### **Total cost**

- 3.9 The total cost of the Local Scheme was estimated at £4.9m (as shown above). This estimate was based on the level of Council Tax benefits in 2012/13 of 6,300 cases entitled to Council Tax support.
- 3.10 It was anticipated that this would change and could be fairly volatile over time, as individual circumstances change and people come into and out of benefit.
- 3.11 The cost of support awarded to-date and applied to Council Tax bills for the year is just under **£4.7m**, approximately £200,000 less than estimated, with a reduction in the total number of cases of around 200 at 6,003. There has been no significant change from that reported to the Committee in earlier reports.

### **Extended Payments**

- 3.12 Within the local scheme, Council Tax support continues for claimants entering work for 8 weeks. Within the total of £4.7m, the cost of this is currently estimated at £29,000 for 2013/14, compared to £13,000 in 2012/13 (where the extended period was 4 weeks).

### **Empty Property Discounts**

- 3.13 The increased Council Tax Debit projected to-date, from the reduction in the free period from 6 to 3 months is approximately £270,000, an increase compared to earlier in the year. The amount can change depending upon the number of properties falling into this category over the remainder of the financial year.
- 3.14 This compares to an estimate of £188,000, which was based on a Band A property Council Tax.

### **Long Term Empty Property Premium**

- 3.15 The application of the 50% premium has been applied to 92 properties. This will raise additional Council Tax in 2013/14 of approximately £57,000, compared to an estimate of £45,900 which was based on 85 properties.



- 3.16 The total number of empty properties in the District is currently 285, compared to 344 at the start of the financial year. The total number of properties has increased from 40,149 at the start of the year to 40,489 currently.
- 3.17 A review of empty properties has recently taken place ahead of the annual return to Government; this will be the main basis that will determine the Council's New Homes Bonus allocation for 2014/15.

## Summary

- 3.18 The total cost of the scheme together with financing to-date is shown in the following table. This shows a comparison to that estimated and reported in August 2013.

| <b>Local Council Tax Support Scheme 2013/14</b>  | Estimate<br>£ | Projection<br>£ | Variance<br>£ | Variance<br>as August<br>2013<br>£ |
|--|---------------|-----------------|---------------|------------------------------------|
| Total Cost of Council Tax Support Scheme         | 4,919,899     | 4,685,034       | -234,865      | -222,438                           |
| Grant Funding                                    | -4,537,911    | -4,537,911      | 0             | 0                                  |
| Transitional Grant (2013/14)                     | -123,422      | -123,422        | 0             | 0                                  |
| Premium on Long-term Empty Properties            | -45,900       | -57,644         | -11,744       | -14,986                            |
| Tax on Properties empty for longer than 3 months | -188,094      | -269,506        | -81,412       | -67,399                            |
| <b>Surplus (-) / Deficit</b>                     | 24,572        | -303,449        | -328,021      | -304,823                           |

- 3.19 The table shows that the overall position is still projected to be significantly better than estimated for 2013/14.

## Working Age Claimants

- 3.20 A major change with the implementation of the Local Scheme was that up to 2,000 households (working age claimants) would pay Council Tax when previously, under the national benefits system, they paid nothing.
- 3.21 The amount to be charged and collected in total, represented the difference between the total funding available and the estimated cost of the Local Scheme. This amount was estimated at £185,300 for 2013/14.
- 3.22 The actual amount to be collected in 2013/14 is approximately £230,000. The current collection rate associated with this debt is 45%; the estimated year end collection rate is currently 65%.
- 3.23 The final surplus or deficit of the Local Scheme and the Collection of Council Tax will be reflected in the overall Council Tax Base and included in the Collection Fund. Any balance (if declared in the Budget Round) will be shared in accordance with the value of individual precepts on the Collection Fund, which for the District Council is currently 11.5% in 2013/14.

## **Discretionary Housing Payments**

- 3.24 As at the end of October 2013, 151 individual cases had been granted DHP totaling approximately £45,000. In 2012/13, the total number of cases awarded DHP was 160 for the entire year.
- 3.25 Demand has increased as expected, although it has reduced since the first two months of the financial year. A further 15 cases are currently being assessed with 7 subject to appeal. To-date, 40 other cases have been assessed but have not qualified.
- 3.26 On a straight line projection, the total cost of DHP is estimated at £75,000 for 2013/14, which is within the budgeted allocation of £117,320. However, with some further effects of wider welfare reform still to feed through from the Benefits Cap and the Under Occupancy Rate, it is considered that demand will again increase.
- 3.27 Generally, the qualifying criteria are still being strictly applied. An application is also being made for additional funding that has been made available by the Government to deal with the effects of the Under Occupancy Rate.

### **“Let’s Help You” Scheme**

- 3.28 The Council received further funding of £5,500 to enable eligible claimants to access a service with the aim of helping them move to less expensive rented property in order to maximise their benefit entitlement. This has proved successful in other parts of the Country. Take-up has been limited, but this is a new initiative that has only recently been implemented locally.

### **Lone Parents Support to Work Project**

- 3.29 As part of introducing the Local Scheme, lone parents were not identified as a protected group in the same way as pensioners and disabled households. However, the Committee requested that the Council looked to support lone parent families and in particular, to enable this group to access employment opportunities, together with financial and child care support, etc.
- 3.30 Subsequently, the Council has been working with the local Council for Voluntary Services (CVS) to develop a project to provide information and training. This involved consultation with various groups to gain a better understanding of the issues involved.
- 3.31 Following the gathering of evidence, the CVS obtained funding to deliver training/awareness for lone parents which covered the following areas:
- Personal wellbeing
  - Employability – CV writing and interview skills
  - Financial literacy including managing money and budgeting
  - Identifying suitable employment around school hours/childcare provision
  - Access to benefits



- 3.32 Sessions were held in the October half-term holidays and were well attended. Around 20 to 30 cases were identified where improved access to funding and benefits were progressed.

### **Update on Universal Credit (UC)**

- 3.33 The roll out of UC commenced in early 2013 with newly unemployed people in “pilot” areas claiming UC; this was extended in July. From October 2013 to March 2014, this is being expanded to 6 new Jobcentres. Current Government plans indicate that during the remainder of 2014, all new claimants will be transferred to UC.
- 3.34 From the end of 2015, it is planned that households receiving Housing Benefit will be transferred to UC on a local authority boundary basis with the old benefit system being phased out. This is planned to be completed by October 2017.
- 3.35 Currently, the impact on systems, resources and the role of local councils is still to be quantified. It is expected that the effect on local councils, as regards their current role of housing benefit administrators, will start to evolve during 2014/15. The DWP is continuing to work with local authority representatives on detailed plans ahead of this date.
- 3.36 However, a recent announcement by the DWP is likely to put the full implementation date back. This is due to the Government’s intention to bring forward changes to the state pension system, which will impact on current arrangements for the Pension Credit.
- 3.37 Consequently, existing arrangements for the housing element (rental support) for pensioners paid via the Housing Benefit system will need to continue longer than originally planned. Implementation is now likely to be after 2017/18.

### **Single Fraud Investigation Service (SFIS)**

- 3.38 The SFIS is part of the Government’s strategy to reduce fraud and error. The main principle is to bring together the resources of local councils, the DWP and HMRC to deliver a service where a single investigation covers all welfare benefit and tax credit fraud.
- 3.39 During 2012, some pilot sites were set up to test different approaches to how a SFIS could work; further work has been undertaken during 2013 with other pilot sites.
- 3.40 In August 2013, the Project Team formally recommended to the Government that SFIS would deliver greater benefits if it could be implemented as a single organisation within the DWP. This recommendation has been accepted by Government Ministers.
- 3.41 Work has now commenced to assess governance arrangements, together with funding. It is expected that consultation will be undertaken with all

stakeholders during 2014. A date for implementation has not currently been set, although it is considered that this will co-incide with the timetable for UC.

#### **4.0 Financial Implications**

4.1 As detailed in the report.

#### **5.0 Corporate Implications**

5.1 No additional implications.

#### **6.0 Community Implications**

6.1 No additional implications.

#### **7.0 Background Papers**

7.1 None

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|                                |  |  |
|--------------------------------|--|--|
| <b>REPORT TO:</b>              | <b>FINANCE AND MANAGEMENT</b>  | <b>AGENDA ITEM: 11</b>   |
| <b>DATE OF MEETING:</b>        | <b>5<sup>th</sup> DECEMBER 2013</b>  | <b>CATEGORY: DELEGATED</b>   |
| <b>REPORT FROM:</b>            | <b>DIRECTOR OF FINANCE AND CORPORATE SERVICES</b>  | <b>OPEN</b>  |
| <b>MEMBERS' CONTACT POINT:</b> | <b>KEVIN STACKHOUSE (595811)</b><br><a href="mailto:Kevin.stackhouse@south-derbys.gov.uk">Kevin.stackhouse@south-derbys.gov.uk</a> | <b>DOC:</b><br>s:\cent_serv\complaints\committee reports\working papers for december 2013\complaints and foi report dec 2013 - final.doc |
| <b>SUBJECT:</b>                | <b>COMPLAINTS, COMPLIMENTS &amp; FREEDOM OF INFORMATION REQUESTS</b><br><b>01 APRIL 2013 TO</b><br><b>30 SEPTEMBER 2013</b>        | <b>REF: KS/PMW</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 complaints and FOI requests, as detailed in the report, are considered and noted.

## **2.0 Purpose of Report**

This report provides:

- 2.1 A summary of official comments, compliments and complaints received by the Council for the period 1<sup>st</sup> April 2013 - 30<sup>th</sup> September 2013. Figures for the corresponding period in 2012/13 are given for comparison purposes.
- 2.2 A summary of the Freedom of Information (FOI) requests received by the Council for the period 1<sup>st</sup> April 2013 - 30<sup>th</sup> September 2013. Figures for the corresponding period in 2012/13 are given for comparison purposes.

## **3.0 Executive Summary**

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

- 3.1 The comments, compliments and complaints procedure is designed to encourage people to give informal feedback on our services.
- 3.2 2 comments, 33 compliments and 25 complaints have been received between 1<sup>st</sup> April 2013 - 30<sup>th</sup> September 2013.

- 3.3 The number of complaints received in the first half of this financial year has decreased compared to the corresponding period in 2012/13, and the number of compliments received has also decreased.
- 3.4 Members are informed via e-mail (enclosing a copy of the original complaint) when a complaint is received relating to their ward. This is for information purposes only.

### **Freedom of Information**

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

### **Publication Scheme**

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

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

In line with guidance from the Information Commissioner's Office, the scheme is updated regularly and the current version is available from the Website at [www.south-derbys.gov.uk](http://www.south-derbys.gov.uk).

- 3.7 A total of 236 Freedom of Information requests have been received between 1<sup>st</sup> April 2013 - 30<sup>th</sup> September 2013. This is an increase of 27 over the corresponding period in 2012/13.

## **4.0 Background**

- 4.1 The Comments, Compliments and Complaints customer leaflet and procedure is available for download from the Website at [www.south-derbys.gov.uk](http://www.south-derbys.gov.uk), or can be completed using an electronic form.
- 4.2 The aim of The Freedom of Information Act 2000, which came into force on 1<sup>st</sup> January 2005, is to extend the right to allow public access to information that the Council holds.

## **5.0 Detail**

### **Comments**

- 5.1 2 comments have been received over the past six months. Any comments received are carefully considered and, if appropriate, are investigated under the complaints procedure.

| <b>Division</b>        | <b>1 April 2012 -<br/>30 September 2012</b> | <b>1 April 2013 -<br/>30 September 2013</b> |
|------------------------|---|---|
| Community Services     | 0   | 1   |
| Environmental Services | 0   | 1   |
| <b>Total</b>           | <b>0</b>                                    | <b>2</b>                                    |

### Compliments

- 5.2 The table below compares the number of compliments received for the first half of 2013/2014 against the first half of 2012/2013. Compliments generally relate to the quality of the service provided and/or actions of individuals.

| <b>Division</b>           | <b>1 April 2012 -<br/>30 September 2012</b> | <b>1 April 2013 -<br/>30 September 2013</b> |
|---------------------------|---|---|
| Customer Services         | 11*   | 5   |
| Environmental Services    | 15*   | 18  |
| Planning                  | 17  | 0   |
| Housing                   | 0**   | 0**   |
| Community Services        | 7   | 10  |
| Corporate                 | 2   | 0   |
| Policy and Communications | 0   | 0   |
| <b>Total</b>              | <b>52</b>                                   | <b>33</b>                                   |

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

\*\* When repairs are carried out for tenants of the Council they are asked to complete a satisfaction questionnaire regarding the work undertaken. From the returned forms we have received over 300 compliments relating to the standard of the work and the politeness of the workmen.

### Complaints

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

|                       | <b>1 April 2012 -<br/>30 September 2012</b> | <b>1 April 2013 –<br/>30 September 2013</b> |
|-----------------------|---|---|
| Resolved at Stage 1   | 21  | 19  |
| Stage 1 still ongoing | 0   | 2   |
| Resolved at Stage 2   | 7   | 4   |
| Stage 2 still ongoing | 0   | 0   |
| <b>Total received</b> | <b>28</b>                                   | <b>25</b>                                   |

5.4 The 25 complaints received can be broken down as follows:-

| <b>Division</b>                          | <b>1 April 2012 -<br/>30 September 2012</b> | <b>1 April 2013 –<br/>30 September 2013</b> |
|--|---|---|
| Planning Services                        | 8   | 4   |
| Housing                                  | 5   | 5   |
| Customer Services<br>(including Revenue) | 7   | 9   |
| Environmental Services                   | 5   | 3*  |
| Community Services                       | 3   | 2   |
| Legal and Democratic<br>Services         | 0   | 0   |
| Finance & Property                       | 0   | 0   |
| Corporate Services                       | 2   | 2   |
| <b>Total</b>                             | <b>28</b>                                   | <b>25</b>                                   |

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

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

| <b>Division</b>                          | <b>2009/10</b> | <b>2010/11</b> | <b>2011/12</b> | <b>2012/13</b> | <b>2013/14<br/>first 6<br/>months</b> |
|--|----------------|----------------|----------------|----------------|---------------------------------------|
| Planning Services                        | 20             | 9              | 10*            | 12             | 4                                     |
| Housing                                  | 11*            | 12*            | 7              | 11             | 5                                     |
| Customer Services<br>(including Revenue) | 19*            | 14*            | 14             | 16             | 9                                     |
| Environmental Services                   | 7*             | 14*            | 10             | 12*            | 3*                                    |
| Community Services                       | 8              | 1              | 5*             | 7*             | 2                                     |
| Legal and Democratic<br>Services         | 3*             | 4              | 3              | 2              | 0                                     |
| Finance and Property                     | 1              | 0              | 0              | 0              | 0                                     |
| Corporate Services                       | 0              | 1*             | 2              | 0              | 2                                     |
| <b>Total</b>                             | <b>67</b>      | <b>51</b>      | <b>50</b>      | <b>59</b>      | <b>25</b>                             |

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

5.6 The schedule, giving details of the comments, compliments and complaints received, actions taken and improvements made is attached at **Annexe A**.

NB On the schedule there is a column headed 'Resultant Action' which shows any changes/improvements made as a result of the complaint. It is not always relevant for resultant action to be taken. If a complaint is not as a result of incorrect procedures or working practices then resultant action is not always appropriate.

5.7 Directors of Service are asked to complete a questionnaire following each complaint. This provides details of actions taken and improvements made as a consequence of a complaint.

- 5.8 If a complaint cannot be resolved at Stage 2 of our procedure, it can be taken to the Local Government Ombudsman for independent consideration. These complaints are the subject of a separate annual report.

### **Freedom of Information Requests**

- 5.8 Although the Freedom of Information Act 2000 creates a general right of access to information, it also sets out information that we do not have to make available for specific reasons. This is information, which, if published, might prejudice the health, safety or security of the Council, our staff, systems, services or property.
- 5.9 We make as much information available as possible without charging for it. We do however reserve the right to levy a reasonable charge where the information request is extensive and would require more than 2 days' staff time to satisfy the request.
- 5.10 The Council deals with hundreds of routine requests for information every day by phone and by letter. These are referred to as "business as usual requests". We will deal with these in the normal way. However, information that is not readily available and that has to be prepared or extracted is handled differently. We are entitled to make a charge for this kind of information.
- 5.11 Requests for information under Freedom of Information have to be processed within 20 working days. However, requests for details under the Freedom of Information Act can be turned down if they fall within certain exemption criteria.
- 5.12 The table below compares the Freedom of Information requests received for the first half of 2013/2014 against the first half of 2012/2013.  
Note: the figures also include any requests that have been made under EIR (Environmental Information Regulations).

|  | <b>1 April 2012 -<br/>30 September 2012</b> | <b>1 April 2013 –<br/>30 September 2013</b> |
|--|---|---|
| Number received                            | 209   | 236   |
| Number replied to within 20 statutory days | 201   | 225   |
| Number replied to after 20 statutory days  | 8   | 9   |
| Number of Exemptions or partial exemptions | 0   | 1   |
| Number passed to Third Party               | 20  | 44  |
| Number withdrawn                           | 0   | 1   |

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

| <b>Division</b> | <b>1 April 2012 -</b> | <b>1 April 2013 –</b> |
|-----------------|-----------------------|-----------------------|
|-----------------|-----------------------|-----------------------|

|                                   | 30 September 2012 | 30 September 2013 |
|-----------------------------------|-------------------|-------------------|
| Environmental Services            | 61*               | 42*               |
| Planning Services                 | 18*               | 8*                |
| Legal & Democratic Services       | 12*               | 9*                |
| Finance                           | 8*                | 7*                |
| IT                                | 8                 | 13                |
| Customer Services                 | 34*               | 42*               |
| Housing                           | 17*               | 27*               |
| Org Development                   | 13                | 19*               |
| Community Services                | 5*                | 8*                |
| Passed to 3 <sup>rd</sup> Parties | 20                | 44                |
| Corporate Services                | 13*               | 11*               |
| Property Services                 | 15*               | 1*                |
| Procurement                       | 0                 | 1*                |
| Chief Executive                   | 0                 | 3                 |
| All Departments                   | 0                 | 0                 |

\* Same request has involved several divisions

5.14 The details of the Freedom of Information requests received are attached at **Annexe B.**

5.15 A breakdown of who originated the Freedom of Information request is attached at **Annexe C.**

## **6.0 Financial Implications**

6.1 None directly stemming from this report.

## **7.0 Corporate Implications**

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

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

7.3 If these deadlines are not met it will impact on the Council's reputation to deliver services effectively.

## **8.0 Community Implications**

8.1 None.



## 9.0 **Background Papers**

None.

South Derbyshire District Council  
Comments, Compliments and Complaints 1 April 2013 – 30 September 2013

## Comments

| Date     | Ward   | Subject   | Division               | Resultant Action Taken/Comments  |
|----------|--------|---|------------------------|--|
| 08.04.13 | Hilton | Suggestion to make leaflet available on website more printer-friendly | Community Services     | Action taken to update leaflet so less ink used  |
| 24.05.13 | Midway | Better provision of recycling facilities                              | Environmental Services | Information sent advising of new recycling scheme to be implemented in the Autumn of 2013. |

## Compliments

| Date     | Ward        | Subject  | Division               |
|----------|-------------|--|------------------------|
| 02.04.13 |             | Thank you to Customer Services Adviser for arranging for a new green bin to be delivered – brilliant service   | Customer Services      |
| 04.04.13 | Hartshorne  | Thank you to the Environmental Health Officer for all the support and guidance she's given me regarding my business.   | Environmental Services |
| 05.04.13 | Swadlincote | Thank you for acting so quickly in cleaning up the broken glass on the cycleway along Nadins Way in Swadlincote.<br>All too often the council are criticised for lack of action, this proves you are listening. Keep up the good work. | Environmental Services |

South Derbyshire District Council  
Comments, Compliments and Complaints 1 April 2013 – 30 September 2013

|          |                |  |                        |
|----------|----------------|--|------------------------|
| 08.04.13 | Hilton         | Thank you to the Grounds Supervisor for arranging for the hedge in front of house to be cut back and tidied up. Very much appreciated.   | Environmental Services |
| 22.04.13 |                | Hearty congratulations to Community Services for the success of South Derbyshire Day. It was a thoroughly enjoyable event, which had clearly been well-planned and organized. Moreover, everyone in the team was highly motivated and committed.   | Community Services     |
| 22.04.13 | Newhall        | Massive thanks to the Grounds Team for the improvement to Newhall Cemetery. It really does look good and above all cared for.  | Environmental Services |
| 23.04.13 | Newhall        | Compliment to the Grounds Team to say how lovely Newhall cemetery is looking at the moment – keep up the good work.  | Environmental Services |
| 26.04.13 | Church Gresley | Thank you to the Open Space & Facility Development Officer for all the help and support she has offered the Trust over the last two years in relation to the £550,000 Facility Improvement Project   |                        |
| 28.05.13 |                | Note of thanks to all who organised Liberation Day. Everything went so smoothly, much work behind the scenes was apparent. The Firebirds created a wonderful atmosphere with their enthusiasm and excellent music which brought the generations together – for those who had gone through the 50s and 60s and for those enjoying the music for the first time.<br>The packed lunch was fresh and tasted home-made. The pupils who served the drinks were good natured and tireless. The stands were varied and relevant with their leaflets and products, with advice available.<br>All in all a day of complete enjoyment. I cannot be the only one who remained on a 'high' for the rest of the day! | Community Services     |
| 12.06.13 | Etwall         | Thank you for prompt service in emptying missed brown bins in Etwall   | Environmental Services |
| 20.06.13 | Melbourne      | Thank you to the Open Space & Facility Development Officer for brilliant effort by all involved in securing grant from Football Foundation for work on Cockshut Lane, Melbourne project.   | Community Services     |
| 21.06.13 | Melbourne      | Congratulations sent on behalf of Melbourne Town Cricket Club to Open Space & Facility Development Officer for securing grant from Football Foundation for work on Cockshut Lane, Melbourne project  | Community Services     |
| 24.06.13 | Etwall         | Thank you for response to recycling issues   | Environmental Services |
| 24.06.13 | Woodville      | Thank you for prompt response to recycling issue   | Environmental Services |
| 25.06.13 | Melbourne      | Thank you for assistance following mercury spill in their home.  | Environmental Services |
| 02.07.13 | Repton         | Thank you for prompt delivery of new brown bin   | Environmental Services |

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|          |                   |  |                        |
|----------|-------------------|--|------------------------|
| 04.07.13 | Repton            | Thank you for arranging the cutting of the grass verge and bank adjacent to where he lives   | Environmental Services |
| 04.07.13 | Melbourne         | Looking forward to implementation of new recycling scheme in the Autumn  | Environmental Services |
| 08.07.13 | Melbourne         | Customer moving out of our area but wanted to thank us for our friendliness and efficiency   | Customer Services      |
| 12.07.13 | Newhall & Stanton | Thank you to Tree Officer for prompt action regarding advice on removal of dead Japanese Cherry Tree and pruning of native cherry tree at property, Bretby Heights, Newhall                                | Community Services     |
| 17.07.13 | Seales            | Thanks to cast of 'Joking Apart' at The Glade on 12.07.13 , it was a wonderful evening   | Community Services     |
| 18.07.13 | Melbourne         | Thank you for reimbursement on Council Tax   | Customer Services      |
| 21.07.13 | Melbourne         | Thank you to the Clean Team for the excellent service provided.  | Environmental Services |
| 05.08.13 | Newhall           | Congratulations on fantastic job at Eureka Park looking absolutely beautiful, bowling green looks out of this world, hanging baskets are fantastic   | Community Services     |
| 07.08.13 | Repton            | Thank you for dealing with dog mess problem in Repton  | Environmental Services |
| 08.08.13 | Etwall            | Thank you to Etwall L.C. Centre Team following Mr. Eaton's collapse at Centre  | Community Services     |
| 16.08.13 | Etwall            | Thank you to Pest Control Officer for prompt attention to problem with wasps nest  | Environmental Services |
| 16.08.13 | Swadlincote       | Thank you for prompt delivery of new brown bin   | Environmental Services |
| 04.09.13 | Hilton            | Thank you for prompt response following missed brown bin   | Environmental Services |
| 02.09.13 | Willington        | Thank you for prompt response following missed brown bin   | Environmental Services |
| 13.09.13 | Church Gresley    | Thank you to a member of Customer Services staff for all the help and support provided in completing Housing Benefit/Council Tax forms, and also for getting Social Services staff involved in this issue. | Customer Services      |
| 19.09.13 | Church Gresley    | Compliment re new outdoor gym equipment at Maurice Lea Memorial Park   | Community Services     |
| 25.09.13 | Woodville         | Thank you to Customer Services staff for help with Benefit enquiry   | Customer Services      |

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## Complaints

| Date     | Ref No                             | Ward                 | Subject   | Division               | Resultant Action Taken   | Date response due and date sent   |
|----------|------------------------------------|----------------------|---|------------------------|--|---|
| 05.04.13 | 531                                | Woodville            | Service received from the Housing Benefit section | Customer Services      | Procedure in place to look at appeals as soon as they come in to see if they can be resolved quickly | Due: 19.04.13<br>Sent:: 19.04.13  |
| 12.04.13 | 532<br><br><a href="#">Stage 2</a> | Seales               | Planning application                              | Planning Services      | No action relevant   | Due: 26.04.13<br>Sent:: 26.04.13<br><br><a href="#">Stage 2</a><br><br>Due: 09.05.13<br>Sent:: 13.05.13 |
| 25.04.13 | 533                                | Church Gresley       | Housing allocations                               | Housing                | No action relevant   | Due: 10.05.13<br>Sent:: 03.05.13  |
| 08.05.13 | 534<br><br><a href="#">Stage 2</a> | Willington & Findern | Council Tax and Housing Benefit issues            | Customer Services      | Endeavour to deal with correspondence more speedily  | Due: 20.05.13<br>Sent:: 21.05.13<br><br><a href="#">Stage 2</a><br><br>Due: 04.07.13<br>Sent:: 15.07.13 |
| 13.05.13 | 535                                | Swadlincote          | Council Tax                                       | Customer Services      | Equita reviewed their procedures and administration. Bailiffs advised                                | Due: 28.05.13<br>Sent:: 24.05.13  |
| 29.05.13 | 536                                | Hilton               | Refuse Collection over Bank Holiday               | Environmental Services | No action relevant   | Due: 12.06.13<br>Sent:: 10.06.13  |

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|          |     |                   |  |   |  |   |
|----------|-----|-------------------|--|---|--|---|
| 03.06.13 | 537 | Linton            | Council Tax  | Customer Services                         | Summons and associated costs withdrawn   | Due: 17.06.13<br>Sent:: 10.06.13  |
| 07.06.13 | 538 | Swadlincote       | Waiting time in Reception  | Customer Services                         | Measures taken to ensure our ongoing commitment to provide excellent customer services | Due: 20.06.13<br>Sent:: 18.06.13  |
| 13.06.13 | 539 | Seales            | Complaint re Court summons for non payments of Council Tax                             | Customer Services                         | Discretion applied and summons and associated costs withdrawn                          | Due: 26.06.13<br>Sent:: 20.06.13  |
| 17.06.13 | 540 | Melbourne         | Complaint re land off Chapel Street, - adjacent to the BT Exchange Building, Melbourne | Planning Services                         | No action relevant   | Due: 01.07.13<br>Sent:: 26.06.13<br><br><a href="#">Stage 2</a><br><br>Due: 17.07.13<br>Sent:: 16.07.13 |
| 27.06.13 | 541 | Newhall & Stanton | "Fun Fair", Newhall Park   | Community Services                        | No action relevant   | Due: 11.07.13<br>Sent:: 03.07.13  |
| 25.06.13 | 542 | Midway            | Housing Benefits   | Corporate Services                        | No action relevant   | Due: 02.07.13<br>Sent:: 04.07.13  |
| 09.07.13 | 543 | Repton            | Council Tax  | Corporate Services                        | No action relevant   | Due: 23.07.13<br>Sent:: 12.07.13  |
| 30.07.13 | 544 | Church Gresley    | Slacklining Session Maurice Lea Memorial Park  | Community Services                        | No action relevant   | Due: 13.08.13<br>Sent:: 31.07.13  |
| 01.08.13 | 545 | Hilton            | Problem with collection of bulk waste and an issue with forms on our website           | Environmental Services and Communications | No action relevant re collection of bulk waste<br>Website issue resolved               | Due: 15.08.13<br>Sent:: 06.08.13  |
| 07.08.13 | 546 | Linton            | DFG Adaptation for the Disabled  | Housing Services                          | No action relevant   | Due: 21.08.13<br>Sent:: 22.08.13  |

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|          |                                    |                |   |                        |  |   |
|----------|------------------------------------|----------------|---|------------------------|--|---|
| 08.08.13 | 547<br><br><a href="#">Stage 2</a> | Melbourne      | Planning permission   | Planning Services      | No action relevant   | Due: 22.08.13<br>Sent:: 15.08.13<br><br><a href="#">Stage 2</a><br><br>Due: 13.09.13<br>Sent:: 05.09.13 |
| 08.08.13 | 548                                | Swadlincote    | Housing Accommodation   | Housing Services       | No action relevant   | Due: 22.08.13<br>Sent:: 22.08.13  |
| 19.08.13 | 549                                | Linton         | Planning Application  | Planning Services      | No action relevant   | Due: 02.09.13<br>Sent:: 21.08.13  |
| 22.08.13 | 550                                | Overseal       | Various complaints regarding SDDC Housing Department  | Housing Services       | No action relevant   | Due: 05.09.13<br>Sent:: 02.09.13  |
| 09.09.13 | 551                                | Hilton         | Council Tax Refund  | Customer Services      | No action relevant   | Due: 19.09.13<br>Sent:: 16.09.13  |
| 10.09.13 | 552                                | Swadlincote    | Problem with Housing Officer  | Housing Services       | No action relevant   | Due: 24.09.13<br>Sent:: 25.09.13  |
| 16.09.13 | 553                                | Swadlincote    | No acknowledgement from Pollution Control Team re noise from Brunel Healthcare, William Nadin Way | Environmental Services | No relevant action<br>Resolution ongoing re noise element                              | Due: 30.09.13<br>Sent:: 25.09.13  |
| 27.09.13 | 554                                | Church Gresley | Waiting time in Reception   | Customer Services      | Measures taken to ensure our ongoing commitment to provide excellent customer services | Due: 11.10.13<br>Sent:: 11.10.13  |

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|          |     | Dept                      | Details   | Received | Reply Due | Reply Sent | Exemption |
|----------|-----|---------------------------|---|----------|-----------|------------|-----------|
| 1314-001 | C   | Customer Services         | Number of people applying for Housing Benefit whose nationality is from an EU country excluding the UK within last year | 02.04.13 | 30.04.13  | 22.04.13   |           |
| 1314-002 | C   | Customer Services         | Addresses and Rateable Values of all commercial properties with credit of above £1000                                   | 02.04.13 | 30.04.13  | 22.04.13   |           |
| 1314-003 | I   | Derbyshire County Council | Adoption targets etc  | 03.04.13 | 01.05.13  | 08.04.13   |           |
| 1314-004 | I   | Customer Services Housing | Council Tax and Housing Rent setting  | 03.04.13 | 01.05.13  | 22.04.13   |           |
| 1314-005 | I   | Corporate Services        | Reaction to reduced funding from Central Government   | 03.04.13 | 01.05.13  | 22.04.13   |           |
| 1314-006 | I   | Environmental Services    | Persons who have died with no next of kin   | 04.04.13 | 02.05.13  | 30.04.13   |           |
| 1314-007 | I   | Corporate Services        | Freedom of Information requests – costs, number and staffing  | 05.04.13 | 03.05.13  | 03.05.13   |           |
| 1314-008 | I   | IT Services               | ICT Contracts   | 09.04.13 | 08.05.13  | 13.05.13   |           |
| 1314-009 | C   | Housing Services          | Number of automatic wash/dry toilets provided via Disabled Facility Grants & for own Housing Stock                      | 09.04.13 | 08.05.13  | 25.04.13   |           |
| 1314-010 | C   | Customer Services         | Credit balances for amounts owing to all incorporated companies under NNDR  | 09.04.13 | 08.05.13  | 25.04.13   |           |
| 1314-011 | I   | Community Services        | Council allotment sites   | 11.04.13 | 10.05.13  | 03.05.13   |           |
| 1314-012 | Org | Customer Services         | Whether levels of Benefit applicants has increased over last two years  | 02.04.13 | 30.04.13  | 15.04.13   |           |
| 1314-013 | I   | Environmental Services    | Persons who have died with no next of kin   | 15.04.13 | 14.05.13  | 07.05.13   |           |



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|          |    | Dept                      | Details   | Received | Reply Due | Reply Sent | Exemption |
|----------|----|---------------------------|---|----------|-----------|------------|-----------|
| 1314-014 | MP | Derbyshire County Council | Local Authority Care Services – charges & eligibility   | 16.04.13 | 15.05.13  | 17.04.13   |           |
| 1314-015 | I  | IT Services               | Voice Risk Analysis Software  | 17.04.13 | 16.05.13  | 14.05.13   |           |
| 1314-016 | C  | Customer Services         | Details of credits that are held on business rates system   | 18.04.13 | 17.05.13  | 08.05.13   |           |
| 1314-017 | C  | Housing Services          | Locations where we have Non-Standard Construction & Prefabricated Reinforced Concrete (PRC) Properties                          | 18.04.13 | 17.05.13  | 14.05.13   |           |
| 1314-018 | I  | Communications            | Number of page views on the Council's website in the last year  | 18.04.13 | 17.05.13  | 08.05.13   |           |
| 1314-019 | C  | IT Services               | List of questions relating to current ICT infrastructure and future ICT upgrade plans   | 18.04.13 | 17.05.13  | 15.05.13   |           |
| 1314-020 | I  | Derbyshire County Council | How much compensation money has been paid to traffic wardens as a result of accidents at work within the past 5 financial years | 18.04.15 | 17.05.13  | 19.04.13   |           |
| 1314-021 | C  | Environmental Services    | Norovirus Outbreak – Menzies Mickleover Court Hotel   | 19.04.13 | 20.05.13  | 22.05.13   |           |
| 1314-022 | I  | Environmental Services    | Number of Fixed Penalty Notices issued over last three years  | 22.04.13 | 21.05.13  | 17.05.13   |           |
| 1314-023 | W  | Derbyshire County Council | Street Utility Service Cabinets on council maintained roads / pavements   | 22.04.13 | 21.05.13  | 23.04.13   |           |
| 1314-024 | C  | Environmental Services    | List of all public health funerals in the last 6 weeks  | 23.04.13 | 22.05.13  | 17.05.13   |           |
| 1314-025 | O  | Community Services        | Various questions in relation to CCTV   | 24.04.13 | 23.05.13  | 13.05.13   |           |
| 1314-026 | M  | Derbyshire County Council | Electric Car Charging Points  | 25.04.13 | 24.05.13  | 25.04.13   |           |

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|          |   | Dept   | Details   | Received             | Reply Due | Reply Sent           | Exemption |
|----------|---|--|---|----------------------|-----------|----------------------|-----------|
| 1314-027 | C | Customer Services  | Addresses & rateable values of business properties that have historic credit on their account   | 26.04.13             | 28.05.13  | 21.05.13             |           |
| 1314-028 | I | Derbyshire County Council / Community Services / Customer Services | Various questions relating to the District  | 29.04.13             | 29.05.13  | 21.05.13             |           |
| 1314-029 | I | Environmental Services   | Persons who have died with no next of kin   | 29.04.13             | 29.05.13  | 21.05.13             |           |
| 1314-030 | I | Organisational Development   | Council property with a value of £50 or over which has been lost or stolen                      | 30.04.13<br>24.05.13 | 30.05.13  | 22.05.13<br>30.05.13 |           |
| 1314-031 | C | Customer Services  | List of all properties with a rateable value in excess of £2600 currently vacant                | 05.04.13             | 03.05.13  | 03.05.13             |           |
| 1314-032 | I | Legal & Democratic Services  | Street parties  | 30.04.13             | 30.05.13  | 22.05.13             |           |
| 1314-033 | I | Finance Services   | Spending with Accountancy Companies   | 30.04.13             | 30.05.13  | 22.05.13             |           |
| 1314-034 | I | Policy & Communications  | Production of Council newsletter or newspaper   | 30.04.13             | 30.05.13  | 28.05.13             |           |
| 1314-035 | I | Legal & Democratic Services/<br>Finance Services                   | Spend on alcohol over last year and quantities of wine held as reserves or investment portfolio | 30.04.13             | 30.05.13  | 30.05.13             |           |
| 1314-036 | I | Economic Development   | Number of local authority funded and run libraries in our area in May 2010 and how many today   | 30.04.13             | 30.05.13  | 21.05.13             |           |

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|          |    | Dept                       | Details   | Received | Reply Due | Reply Sent | Exemption |
|----------|----|----------------------------|---|----------|-----------|------------|-----------|
| 1314-037 | I  | Organisational Development | Number of directly employed staff in your local authority area earn between £50,000 - £143,500 per annum    | 30.04.13 | 30.05.13  | 28.05.13   |           |
| 1314-038 | I  | Organisational Development | Number of directly employed staff do you have on "zero hour" contracts                                      | 30.04.13 | 30.05.13  | 30.05.13   |           |
| 1314-039 | I  | Organisational Development | Percentage of senior officers that are women<br>Percentage of staff earning between £50,000 - £142,000      | 30.04.13 | 30.05.13  | 28.05.13   |           |
| 1314-040 | I  | Housing                    | How many properties have been sold under Right to Buy since 06.05.10.<br>Building of Social Homes for rent. | 30.04.13 | 30.05.13  | 28.05.13   |           |
| 1314-041 | MP | Environmental Services     | Car parking facilities administered or owned by the Council   | 30.04.13 | 30.05.13  | 28.05.13   |           |
| 1314-042 | N  | Finance Services / Housing | New Homes Bonus Scheme  | 01.05.13 | 31.05.13  | 31.05.13   |           |
| 1314-043 | N  | Communications             | Council's 'if asked' media statements   | 01.05.13 | 31.05.13  | 28.05.13   |           |
| 1314-044 | I  | Communications             | Website Redevelopment   | 03.05.13 | 04.06.13  | 28.05.13   |           |
| 1314-045 | C  | Housing/<br>Client Team    | Social Housing Fraud  | 03.05.13 | 04.06.13  | 28.05.13   |           |
| 1314-046 | I  | Planning Services          | Markinson Charging Provisions   | 07.05.13 | 05.06.13  | 11.06.13   |           |
| 1314-047 | W  | Finance                    | Cost of Olympic Torch Procession  | 07.05.13 | 05.06.13  | 28.05.13   |           |
| 1314-048 | C  | Derbyshire County Council  | WEEE Producer Compliance Scheme Contract  | 07.05.13 | 05.06.13  | 14.05.13   |           |
| 1314-049 | C  | Customer Services          | Business Rates  | 03.05.13 | 04.06.13  | 17.05.13   |           |
| 1314-050 | I  | Customer Services          | Council Tax Arrears   | 07.05.13 | 05.06.13  | 28.05.13   |           |

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|          |   | Dept                        | Details   | Received | Reply Due | Reply Sent | Exemption |
|----------|---|-----------------------------|---|----------|-----------|------------|-----------|
| 1314-051 | I | Legal & Democratic Services | Serving Councillors with unspent criminal convictions   | 09.05.13 | 07.06.13  | 28.05.13   |           |
| 1314-052 | C | Derbyshire County Council   | Looked after children   | 10.05.13 | 10.06.13  | 14.05.13   |           |
| 1314-053 | I | Derbyshire County Council   | Parking Tickets   | 10.05.13 | 10.06.13  | 14.05.13   |           |
| 1314-054 | I | Derbyshire County Council   | Financial Education in Schools  | 14.05.13 | 12.06.13  | 21.05.13   |           |
| 1314-055 | I | Environmental Services      | Public Health Funerals  | 15.05.13 | 13.06.13  | 28.05.13   |           |
| 1314-056 | M | Environmental Services      | Dog Homes   | 20.05.13 | 18.06.13  | 11.06.13   |           |
| 1314-057 | M | Environmental Services      | Assaults to Refuse Collectors   | 21.05.13 | 19.06.13  | 28.05.13   |           |
| 1314-058 | C | Environmental Services      | Persons who have died with no next of Kin & list of any Public Health Funerals                            | 21.05.13 | 19.06.13  | 30.05.13   |           |
| 1314-059 | C | Derbyshire County Council   | Statistics on length of service of Directors of Adult Social Services                                     | 22.05.13 | 20.06.13  | 24.05.13   |           |
| 1314-060 | I | IT Services                 | Physical locations maintained where SDDC provides internet access that is available to the general public | 23.05.13 | 21.06.13  | 30.05.13   |           |
| 1314-061 | M | Derbyshire County Council   | How many claims received for compensation after accident/injury at primary & secondary schools            | 24.05.13 | 24.06.13  | 24.05.13   |           |
| 1314-062 | I | Environmental Services      | Details of businesses registered to make cheese   | 24.05.13 | 24.06.13  | 30.05.13   |           |
| 1314-063 | I | IT Services                 | Details of data security and training/info given to staff on security & data handling                     | 28.05.13 | 25.06.13  | 26.06.13   |           |

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|          |   | Dept                       | Details   | Received | Reply Due | Reply Sent | Exemption |
|----------|---|----------------------------|---|----------|-----------|------------|-----------|
| 1314-064 | C | Customer Services          | A list of all live business rates accounts with a 2010 list Rateable Value greater than or equal to £25,000 | 28.05.13 | 25.06.13  | 19.06.13   |           |
| 1314-065 | C | Environmental Services     | Persons who have died with no next of kin   | 29.05.13 | 26.06.13  | 07.06.13   |           |
| 1314-066 | C | Derbyshire County Council  | Amount of funding allocated to adult social care between 2009-2015  | 29.05.13 | 26.06.13  | 30.05.13   |           |
| 1314-067 | I | Organisational Development | Various questions on mobile/flexible working  | 30.05.13 | 27.06.13  | 13.06.13   |           |
| 1314-068 | C | Environmental Services     | Various questions relating to parking services provided   | 03.06.13 | 01.07.13  | 24.06.13   |           |
| 1314-069 | I | Client Services            | Names & emails addresses of Team Leader or Managers for various depts                                       | 05.06.13 | 03.07.13  | 13.06.13   |           |
| 1314-070 | I | Environmental Services     | Persons who have died with no next of kin   | 06.06.13 | 04.07.13  | 07.06.13   |           |
| 1314-071 | C | Organisational Development | Various questions relating to Estates/Facilities/Capital Projects   | 07.06.13 | 05.07.13  | 03.07.13   |           |
| 1314-072 | I | Environmental Services     | Persons who have died with no next of kin   | 07.06.13 | 05.07.13  | 13.06.13   |           |
| 1314.073 | I | Customer Services          | Business Ratepayers who have a Credit Balance on their accounts   | 20.05.13 | 18.06.13  | 11.06.13   |           |
| 1314-074 | C | Derbyshire County Council  | Information regarding parking tickets   | 07.06.13 | 05.07.13  | 07.06.13   |           |
| 1314-075 | I | Environmental Services     | Public Health Funerals since April 2012   | 06.06.13 | 04.07.13  | 11.06.13   |           |
| 1314-076 | C | Planning Services          | Affordable Housing  | 07.06.13 | 05.07.13  | 12.06.13   |           |
| 1314-077 | C | Organisational Development | HR Service within the Authority   | 11.06.13 | 09.07.13  | 05.07.13   |           |

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|          |   | Dept                             | Details   | Received | Reply Due | Reply Sent                                | Exemption |
|----------|---|----------------------------------|---|----------|-----------|---|-----------|
| 1314-078 | C | Customer Services                | Business rates accounts with liability orders   | 11.06.13 | 09.07.11  | 19.06.13                                  |           |
| 1314-079 | I | Derbyshire County Council        | Details of time restrictions placed on HGVs in the local authority's area which desire access to load and unload goods on roads maintained by the council | 11.06.13 | 09.07.13  | 11.06.13                                  |           |
| 1314-080 | C | Customer Services                | Various questions with regards to NNDR  | 12.06.13 | 10.07.13  | 19.06.13                                  |           |
| 1314-081 | I | Corporate Services               | Council property stolen or lost   | 12.06.13 | 10.07.13  | 19.06.13                                  |           |
| 1314-082 | C | Community Services               | Funding for People Express  | 13.06.13 | 11.07.13  | 27.06.13                                  |           |
| 1314-083 | C | Customer Services                | List of Credit Balances over £1,000 – NNDR  | 14.06.13 | 12.07.13  | 19.06.13                                  |           |
| 1314-084 | I | Housing                          | Council properties managed by 'Guardian Agencies'   | 17.06.13 | 12.07.13  | 20.06.13                                  |           |
| 1314-085 | C | Community & Planning Services    | Environment, Flooding & Disaster Planning Procurement   | 17.06.13 | 12.07.13  | 04.07.13<br>Further info sent<br>11.07.13 |           |
| 1314-086 | C | Customer Services                | Business Rate Accounts  | 17.06.13 | 12.07.13  | 20.06.13                                  |           |
| 1314-087 | C | Customer Services                | Housing Benefits (DHP)  | 18.06.13 | 15.07.13  | 25.06.13                                  |           |
| 1314-088 | I | Housing                          | Emergency Accommodation   | 18.06.13 | 15.07.13  | 28.06.13                                  |           |
| 1314-089 | C | Client Services/Customer Service | Debt Collection/Enforcement   | 18.06.13 | 15.07.13  | 17.07.13                                  |           |
| 1314-090 | C | Finance                          | Customer Credit/Debit card data security  | 19.06.13 | 16.07.13  | 11.07.13                                  |           |

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|          |   | Dept   | Details  | Received | Reply Due | Reply Sent | Exemption |
|----------|---|--|--|----------|-----------|------------|-----------|
| 1314-091 | I | Env Health, Planning, Community Services                 | All complaints made against residents in Woodville – to include noise complaints, anti-social behaviour complaints, animal complaints & businesses run at the premises | 20.06.13 | 18.07.13  | 18.07.13   |           |
| 1314-092 | I | Housing and Customer Services                            | Various questions relating to Council Housing/Bedroom Tax  | 20.06.13 | 18.07.13  | 11.07.13   |           |
| 1314-093 | I | Derbyshire County Council                                | List of upcoming tenders for children's services, school & families and leaving care   | 21.06.13 | 19.07.13  | 21.06.13   |           |
| 1314-094 | I | Environmental Services – forwarded to Corporate Services | Take up of Local Asset Backed Vehicles (LABV's)  | 24.06.13 | 22.07.13  | 03.07.13   |           |
| 1314-095 | I | Community Services (Stuart Batchelor)                    | Date of last inspection visit/copy of report – Etwall Leisure Centre   | 24.06.13 | 22.07.13  | 28.06.13   |           |
| 1314-096 | I | Customer Services  | Various questions on amounts being spent on Housing Benefits   | 25.06.13 | 23.07.13  | 22.07.13   |           |
| 1314-097 | I | Derbyshire County Council                                | Various questions relating to the issuing of parking tickets   | 25.06.13 | 23.07.13  | 28.06.13   |           |
| 1314-098 | I | Legal & Democratic Services                              | Various questions on Legal Case Management System  | 26.06.13 | 24.07.13  | 28.06.13   |           |
| 1314/099 | I | Environmental Services                                   | Public Health Funerals since December 2012   | 26.06.13 | 24.07.13  | 28.06.13   |           |
| 1314-100 | I | Housing & Community Services                             | Various questions in relation to Sanctuary Scheme  | 27.06.13 | 25.07.13  | 18.07.13   |           |

South Derbyshire District Council  
Freedom of Information Requests  
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|          |   | Dept                              | Details  | Received | Reply Due | Reply Sent | Exemption |
|----------|---|-----------------------------------|--|----------|-----------|------------|-----------|
| 1314-101 | I | Housing & Community Services      | Various questions in relation to Refuge Accommodation  | 27.06.13 | 25.07.13  | 11.07.13   |           |
| 1314-102 | M | Derbyshire County Council         | Various questions relating to Social Care  | 27.06.13 | 25.07.13  | 28.06.13   |           |
| 1314-103 | C | Customer Services                 | NNDR - All properties with a credit held on the account  | 28.06.13 | 26.07.13  | 28.06.13   |           |
| 1314-104 | I | Environmental Services            | Public Health Funerals since 1 <sup>st</sup> April 2013  | 28.06.13 | 26.07.13  | 28.06.13   |           |
| 1314-105 | I | Planning & Environmental Services | Solar Panels at Toyota Manufacturing UK, Burnaston   | 28.06.13 | 26.07.13  | 23.07.13   |           |
| 1314-106 | C | Planning Services                 | How many planning permissions for development on Green Belt during various years   | 01.07.13 | 26.07.13  | 23.07.13   |           |
| 1314-107 | I | Finance                           | Total value of capital assets transferred from general fund to housing revenue account and total value of capital assets transferred from the housing revenue account to the general fund                          | 01.07.13 | 29.07.13  | 03.07.13   |           |
| 1314-108 | C | Finance                           | How much money paid to Council staff in bonuses this year, previous four financial years, largest bonus paid out to individual, current minimum and maximum level of bonuses available in each salary band at SDDC | 02.07.13 | 30.07.13  | 03.07.13   |           |



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|          |    | Dept                      | Details   | Received | Reply Due | Reply Sent  | Exemption |
|----------|----|---------------------------|---|----------|-----------|---|-----------|
| 1314-109 | I  | Customer Services         | Company name, address and rateable values of all current non-domestic rates assessments that are occupied within our billing authority, names of liable party of those properties vacant, relevant billing authority reference no. for all the above. | 02.07.13 | 30.07.13  | 04.07.13  |           |
| 1314-110 | C  | Housing Services          | Information about how we manage and monitor compliance of your statutory obligations under the Regulatory Reform (Fire Safety) Order 2005, specifically in relation to the monitoring, management and maintenance of Fire Alarm Systems               | 03.07.13 | 31.07.13  | 29.07.13  |           |
| 1314-111 | C  | Legal/Democratic Services | Various questions relating to Private Hire Licences issued by this Authority  | 04.07.13 | 01.08.13  | Q's 1-5 sent 19.07.13<br>Q's 6-8 to follow<br><br>Full response sent 05.09.13 |           |
| 1314-112 | I  | Derbyshire County Council | Various questions relating to primary & secondary schools in our area   | 04.07.13 | 01.08.13  | 05.07.13  |           |
| 1314-113 | MP | Customer Services         | How many households were in arrears with their Council Tax at the end of each month since April 2012.   | 05.07.13 | 02.08.13  | 18.07.13  |           |
| 1314-114 | M  | Customer Services Housing | Housing Benefit   | 08.07.13 | 02.08.13  | 12.07.13  |           |

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|          |   | Dept   | Details   | Received | Reply Due | Reply Sent           | Exemption |
|----------|---|--|---|----------|-----------|----------------------|-----------|
| 1314-115 | I | Environmental Services                         | LA policy for abandoned/neglected horses (Animal Welfare Act 2006)  | 08.07.13 | 02.08.13  | 18.07.13             |           |
| 1314-116 | I | Customer Services                              | Business Rate information 2012/13   | 05.07.13 | 02.08.13  | 11.07.13             |           |
| 1314-117 | I | Property/Economic Development/Customer Service | Ltd Co or PLC moving into the LA area 1.6.13-Jul 13   | 09.07.13 | 05.08.13  | 11.07.13             |           |
| 1314-118 | I | Housing  | % figures on allocation of social housing   | 09.07.13 | 05.08.13  | 23.07.13             |           |
| 1314-119 | I | Environmental Services                         | Pdf/word copies of QA; Environment; Occupational Health & Safety; Information Security; Business Continuity; Collaborative Business Relationship; Energy Management | 09.07.13 | 05.08.13  | 18.07.13<br>29.07.13 |           |
| 1314-120 | I | Derbyshire County Council                      | How many adults in your LA have been recipients of Council provided adult education or training?<br>2 <sup>nd</sup> email giving clarification rec'd 16/7           | 09.07.13 | 06.08.13  | 11.07.13<br>16.07.13 |           |
| 1314-121 | C | Customer Services                              | Provide details of the credits held on your records for ratepayers in respect of Business Rates   | 10.07.13 | 07.08.13  | 18.07.13             |           |
| 1314-122 | C | Environmental Services                         | List of all Public Health Funerals in the last 4 weeks  | 12.07.13 | 09.08.13  | 23.07.13             |           |
| 1314-123 | C | Procurement & Housing Services                 | Council's tendering procedures regarding automatic doors and roller shutter doors   | 12.07.13 | 09.08.13  | 18.07.13             |           |
| 1314-124 | C | Derbyshire County Council                      | Issuing of fixed penalty notices  | 12.07.13 | 09.08.13  | 12.07.13             |           |
| 1314-125 | I | Environmental Services                         | Steps taken by the Council to contact family members or relatives when a person dies  | 16.07.13 | 13.08.13  | 27.08.13             |           |

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|          |   | Dept                                 | Details  | Received | Reply Due | Reply Sent | Exemption |
|----------|---|--------------------------------------|--|----------|-----------|------------|-----------|
| 1314-126 | C | Organisational Development           | Payroll Giving   | 16.07.13 | 13.08.13  | 05.08.13   |           |
| 1314-127 | I | Customer Services/Legal & Democratic | Council Tax  | 16.07.13 | 13.08.13  | 05.08.13   |           |
| 1314-128 | I | Environmental Services               | Pest Control   | 16.07.13 | 13.08.13  | 18.07.13   |           |
| 1314-129 | C | Environmental Services               | Public Health Funerals   | 16.07.13 | 13.08.13  | 05.08.13   |           |
| 1314-130 |   |                                      |  | 16.07.13 | 13.08.13  |            |           |
| 1314-131 | C | Community Services                   | Do we have a lead on local Health & Wellbeing Board for various diseases   | 16.07.13 | 13.08.13  | 18.07.13   |           |
| 1314-132 | C | Derbyshire County Council            | Provision of funding for legal advice & representation for separated/unaccompanied children in immigration cases | 16.07.13 | 13.08.13  | 17.07.13   |           |
| 1314-133 | C | Economic Development                 | List of all caravan sites for holidays only  | 17.07.13 | 14.08.13  | 18.07.13   |           |
| 1314-134 | C | DCC                                  | Highways issues  | 18.07.13 | 15.08.13  | 18.07.13   |           |
| 1314-135 | I | Customer Services                    | Information in regard to business rates where no relief of any type has been granted.                            | 18.07.13 | 15.08.13  | 31.07.13   |           |
| 1314-136 | I | Environmental Services               | Public Health Funerals since 1 <sup>st</sup> March 2013  | 18.07.13 | 15.08.13  | 22.07.13   |           |
| 1314-137 | M | Derbyshire County Council            | Various questions relating to sexual services for those in social care   | 19.07.13 | 16.08.13  | 19.07.13   |           |
| 1314-138 | I | Housing Services                     | Details on the Council's Social Housing Properties in our area   | 19.07.13 | 16.08.13  | -          | 23.07.13  |

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|          |    | Dept  | Details   | Received | Reply Due | Reply Sent                         | Exemption |
|----------|----|---|---|----------|-----------|------------------------------------|-----------|
| 1314-139 | MP | Client Services   | Various questions on benefit fraud in our area  | 19.07.13 | 16.08.13  | 19.07.13                           |           |
| 1314-140 | I  | I.T   | Local Area Networks   | 22.07.13 | 19.08.13  | 29.07.13                           |           |
| 1314-141 | MP | Housing   | SDDC owned properties housing ex offenders/vulnerable adults  | 22.07.13 | 19.08.13  | 23.07.13                           |           |
| 1314-142 | C  | Depot/GIS Officer/Council Tax   | Street Names & No of houses in Etwall and Egginton  | 23.07.13 | 20.08.13  | 30.07.13                           |           |
| 1314-143 | I  | Derbyshire County Council   | School Meals  | 25.07.13 | 21.08.13  | 26.07.13                           |           |
| 1314-144 | I  | Customer Services/Steph   | CTAX NNDR Non payment of Council Tax Summons  | 29.07.13 | 23.08.13  | 13.08 Hold<br>27.08.13<br>16.09.13 |           |
| 1314-145 | W  | IT  | Web Design/Development questions  | 29.07.13 | 23.08.13  | 31.07.13                           |           |
| 1314-146 | C  | Organisational Planning   | Trade Unions  | 29.07.13 | 23.08.13  | 06.08.13                           |           |
| 1314-147 | M  | Housing   | How are young people aged 16-17 dealt with if they become homeless  | 30.07.13 | 27.08.13  | 19.08.13                           |           |
| 1314-148 | C  | Customer Services   | Business Rates  | 31.07.13 | 28.08.13  | 31.07.13                           |           |
| 1314-149 | I  | Organisational Development Forwarded to Directors                           | Various questions relating to staff currently employed on zero hours contracts  | 31.07.13 | 28.08.13  | 19.08.13                           |           |
| 1314-150 | I  | Organisational Development & Legal & Democratic Services & Housing Services | Number of cases filed against the Authority under the Health & Safety at Work Act (1974) for the years 2005 to 2013 inclusive | 31.07.13 | 28.08.13  | 20.08.13                           |           |

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|          |   | Dept                       | Details   | Received | Reply Due | Reply Sent | Exemption |
|----------|---|----------------------------|---|----------|-----------|------------|-----------|
| 1314-151 | C | Client Services            | Various questions relating to Discretionary Housing Payment (DHP) | 01.08.13 | 29.08.13  | 19.08.13   |           |
| 1314-152 | C | Organisational Development | Zero Hours employment   | 02.08.13 | 30.08.13  | 05.08.13   |           |
| 1314-153 | C | Finance                    | Survey on Data Transparency                                       | 02.08.13 | 30.08.13  | 07.08.13   |           |
| 1314-154 | C | IT                         | IT related questions  | 05.08.11 | 30.08.13  | 19.08.13   |           |
| 1314-155 | C | Customer Services          | Accrued NNDR Credit Balances                                      | 05.08.13 | 30.08.13  | 05.08.13   |           |
| 1314-156 | C | Derbys County Council      | Carer Information   | 08.08.13 | 05.08.13  | 08.08.13   |           |
| 1314-157 | C | Derbys County Council      | Costs of childcare  | 06.08.13 | 03.09.13  | 13.08.13   |           |
| 1314-158 | C | Licensing                  | List of Licensed Riding Establishments                            | 06.08.13 | 03.09.13  | 14.08.13   |           |
| 1314-159 | C | Environmental Services     | Hospital Kitchen Inspection Reports                               | 06.08.13 | 03.09.13  | 13.08.13   |           |
| 1314-160 | I | Customer Services          | List of Ltd & PLC companies                                       | 06.08.13 | 03.09.13  | 03.09.13   |           |
| 1314-161 | I | Environmental Services     | Questions relating to national assistance/ public health funerals | 07.08.13 | 04.09.13  | 19.08.13   |           |
| 1314-162 | C | Frank McArdle              | Printed Electoral Registration and accompanying canvass material  | 06.08.13 | 04.09.13  | 02.09.13   |           |
| 1314-163 | C | Housing                    | One bedroom houses, under occupation                              | 06.08.13 | 04.09.13  | 19.08.13   |           |
| 1314-164 | C | Derbyshire County Council  | Adult Safeguarding  | 07.08.13 | 05.09.13  | 13.08.13   |           |
| 1314-165 | I | Housing                    | Rent Arrears  | 06.08.13 | 04.09.13  | 27.08.13   |           |

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|          |   | Dept                              | Details  | Received                     | Reply Due | Reply Sent                        | Exemption |
|----------|---|-----------------------------------|--|------------------------------|-----------|-----------------------------------|-----------|
| 1314-166 | M | Organisational Development        | Council Staffing   | 06.08.13                     | 04.09.13  | 28.08.13                          |           |
| 1314-167 | I | Derbyshire County Council         | Pavement maintenance & Compensation  | 09.08.13                     | 09.09.13  | 13.08.13                          |           |
| 1314-168 | C | Environmental Services            | Food inspection reports of schools, nurseries, after school clubs & playgroups | 12.08.13                     | 10.09.13  | 13.08.13<br>Withdrawn<br>02.09.13 |           |
| 1314-169 | C | Licensing                         | List of premises with licenses for Pet Shop & Dog Breeding                     | 09.08.13                     | 09.09.13  | 14.08.13                          |           |
| 1314-170 | C | Community Services – fwded to DCC | Female Genital Mutilation  | 09.08.13                     | 09.09.13  | 30.08.13                          |           |
| 1314-171 | C | Community Services – fwded to DCC | Female Genital Mutilation  | 09.08.13                     | 09.09.13  | 30.08.13                          |           |
| 1314-172 | I | Client Services                   | DHP Requests   | 09.08.13                     | 09.09.13  | 13.08.13                          |           |
| 1314-173 | I | Customer Services                 | Impact of the benefit cap on families  | 12.08.13                     | 10.09.13  | 05.09.13                          |           |
| 1314-174 | C | I.T                               | G-Cloud 12/08  | 13.08.13                     | 11.09.13  | 13.08.13                          |           |
| 1314-175 | C | Legal/Planning/Finance            | External legal services  | 13.08.13                     | 11.09.13  | 13.09.13                          |           |
| 1314-176 | I | Environmental Services            | Public or Welfare funerals   | 12.08.13<br>(rcd<br>13.8.13) | 10.09.13  | 03.09.13                          |           |
| 1314-177 | C | Environmental Services            | Use of Snares to Trap Animals  | 14.08.13                     | 12.09.13  | 27.08.13                          |           |
| 1314-178 | M | Housing                           | Council tenants in arrears   | 15.08.13                     | 13.09.13  | 03.09.13                          |           |

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|          |   | Dept                       | Details  | Received | Reply Due | Reply Sent | Exemption |
|----------|---|----------------------------|--|----------|-----------|------------|-----------|
| 1314-179 | I | Derbyshire County          | Pupil on staff violence  | 15.08.13 | 13.09.13  | 13.08.13   |           |
| 1314-180 | W | Client Services            | DHP  | 16.08.13 | 16.09.13  | 20.08.13   |           |
| 1314-181 | C | I.T                        | G-Cloud  | 16.08.13 | 16.09.13  | 20.08.13   |           |
| 1314-182 | I | I.T                        | REQ-Server and SAN contracts   | 16.08.13 | 16.09.13  | 30.08.13   |           |
| 1314-183 | C | Planning                   | Derelict Buildings   | 16.08.13 | 16.09.13  | 29.08.13   |           |
| 1314-184 | C | Customer Services          | Live Business Rate Accounts with 2010 rateable value between £5k-25k | 19.08.13 | 16.09.13  | 20.08.13   |           |
| 1314-185 | C | Organisational Development | Health & Safety Provision and arrangements for future procurement    | 21.08.13 | 18.09.13  | 28.08.13   |           |
| 1314-186 | O | Derbyshire County Council  | Provision of street lighting   | 21.08.13 | 18.09.13  | 22.08.13   |           |
| 1314-187 | I | Derbyshire County Council  | Information on Social Services                                       | 22.08.13 | 19.09.13  | 22.08.13   |           |
| 1314-188 | I | Organisational Development | Transparent Pay  | 22.08.13 | 19.09.13  | 20.09.13   |           |
| 1314-189 | C | Licensing                  | Dogs used for breeding   | 27.08.13 | 23.09.13  | 11.09.13   |           |
| 1314-190 | I | Customer Services          | Council Tax Support Scheme   | 27.08.13 | 23.09.13  | 10.09.13   |           |
| 1314-191 | I | Derbyshire County Council  | Street Lights  | 27.08.13 | 23.09.13  | 23.09.13   |           |
| 1314-192 | I | Derbyshire County Council  | Defective paving stones and personal injury/damages claims           | 27.08.13 | 23.09.13  | 27.08.13   |           |
| 1314-193 | I | Derbyshire County Council  | Parking Charges  | 27.08.13 | 23.09.13  | 27.08.13   |           |
| 1314-194 | I | Housing                    | Affordable Housing   | 27.08.13 | 23.09.13  | 05.09.13   |           |
| 1314-195 | I | Communications             | How does your Council use Social Media?                              | 28.08.13 | 25.09.13  | 28.08.13   |           |

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|          |   | Dept   | Details   | Received                     | Reply Due | Reply Sent | Exemption |
|----------|---|--|---|------------------------------|-----------|------------|-----------|
| 1314-196 | I | Housing Services                             | Incomplete, abandoned & derelict properties   | 28.08.13                     | 25.09.13  | 10.09.13   |           |
| 1314-197 | I | Planning & Environmental Services            | Motorhome Parking Information   | 28.08.13                     | 25.09.13  | 29.08.13   |           |
| 1314-198 | I | Community, Planning & Environmental Services | Details of any new or updated Changing Places, Toilets or School Hygiene Room               | 30.08.13                     | 27.09.13  | 30.08.13   |           |
| 1314-199 | O | Organisational Development                   | Minimum and maximum spinal column points and pay rates                                      | 30.08.13                     | 27.09.13  | 20.09.13   |           |
| 1314-200 | C | Housing Services                             | Plumber's Final Report 37 Tower Road  | 30.08.13                     | 26.09.13  | 20.09.13   |           |
| 1314-201 | I | Environmental Services                       | Numerous questions relating to Land Registry/public health funerals                         | 30.08.13                     | 26.09.13  | 03.09.13   |           |
| 1314-202 | I | Housing Services                             | Numerous questions on properties "right to buy", social homes built, social housing planned | 02.09.13                     | 27.09.13  | 05.09.13   |           |
| 1314-203 | C | Environmental Services                       | Public Health Funerals  | 02.09.13                     | 30.09.13  | 05.09.13   |           |
| 1314-204 | I | I.T  | Wi-Fi Contract  | 03.09.13                     | 30.09.30  | 24.09.13   |           |
| 1314-205 | I | Organisational Development                   | Number of people carrying out Work Experience placements                                    | 03.09.13                     | 01.10.13  | 25.09.13   |           |
| 1314-206 | I | Planning Services                            | Information relating to S106 agreement – Church Gresley                                     | 05.09.13                     | 03.10.13  | 30.09.13   |           |
| 1314-207 | I | Customer Services                            | List of limited companies & plc's liable for NNDR   | 05.09.13                     | 03.10.13  | 10.09.13   |           |
| 1314-208 | C | Planning Services                            | Premises registration date and last inspection  | 02.09.13<br>(Rec'd 09.09.13) | 30.09.13  | 10.09.13   |           |



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|          |   | Dept                             | Details  | Received | Reply Due | Reply Sent | Exemption |
|----------|---|----------------------------------|--|----------|-----------|------------|-----------|
| 1314-209 | M | Organisational Development       | BBC Midlands re compromise Agreement and amounts paid  | 05.09.13 | 03.10.13  | 25.09.13   |           |
| 1314-210 | I | Environmental Services           | Public Health Funeral, died with no next of kin  | 06.09.13 | 04.10.13  | 30.09.13   |           |
| 1314-211 | C | Client Services                  | Contracts awarded by UK Councils   | 11.09.13 | 09.10.13  | 07.10.11   |           |
| 1314-212 | I | Derbyshire County Council        | Number of parking tickets issued for vehicles parked outside of a bay for each of the following years 2008 – 2013. | 11.09.13 | 09.10.13  | 11.09.13   |           |
| 1314-213 | I | Derbyshire County Council        | Various questions relating to highways issues  | 11.09.13 | 09.10.13  | 12.09.13   |           |
| 1314-214 | I | Housing Services                 | Various questions on overcrowding  | 12.09.13 | 10.10.13  | 16.09.13   |           |
| 1314-215 | C | Environmental Services           | Public Health Funeral, died with no next of kin in the last 8 weeks  | 12.09.13 | 10.10.13  | 13.09.13   |           |
| 1314-216 | I | Housing & Environmental Services | Tenants responsible for maintenance and cost of damp & mould in homes  | 13.09.13 | 11.10.13  | 18.09.13   |           |
| 1314-217 | C | Housing & Environmental Services | List of addresses of houses in multiple occupation licensed by the Council   | 13.09.13 | 11.10.13  | 20.09.13   |           |
| 1314-218 | C | Customer Services                | List of business rate accounts where overpayment shown & write offs  | 13.09.13 | 11.10.13  | 16.09.13   |           |
| 1314-219 | C | DCC                              | On-street parking  | 16.09.13 | -         | 16.09.13   |           |
| 1314-220 | C | IT Services – Now Accounts       | ICT expenditure  | 17.09.13 | 15.10.13  | 08.10.13   |           |
| 1314-221 | I | Environmental Services           | Information regarding Fleet Management   | 19.09.13 | 17.10.13  | 23.09.13   |           |
| 1314-222 | C | Procurement – fwd to DCC         | Information on Master vendor/neutral solutions, PLS & SLA  | 19.09.13 | 17.10.13  | 20.09.13   |           |

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|          |    | Dept                             | Details  | Received | Reply Due | Reply Sent | Exemption |
|----------|----|----------------------------------|--|----------|-----------|------------|-----------|
| 1314-223 | N  | Housing & Customer Services      | Various questions on bedroom tax   | 20.09.13 | 18.10.13  | 16.10.13   |           |
| 1314-224 | I  | Environmental Services           | Various questions on Environmental Health Service                                    | 20.09.13 | 18.10.13  | 24.09.13   |           |
| 1314-225 | I  | Housing Services                 | Number of people on housing register in overcrowded conditions                       | 20.09.13 | 18.10.13  | 08.10.13   |           |
| 1314-226 | MP | Derbyshire County Council        | List of state nurseries  | 20.09.13 | 18.10.13  | 20.09.13   |           |
| 1314-227 | C  | Derbyshire County Council        | How much is spent on CCTV enforcement vehicles                                       | 20.09.13 | 18.10.13  | 20.09.13   |           |
| 1314-228 | O  | Derbyshire County Council        | Various questions on LA Public Health  | 20.09.13 | 18.10.13  | 20.09.13   |           |
| 1314-229 | I  | Customer Services                | Commercial properties who qualify for a reductions in their rates                    | 20.09.13 | 18.10.13  | 08.10.13   |           |
| 1314-230 | O  | Community Services               | Information on Community Welfare Support Grants                                      | 20.09.13 | 18.10.13  | 23.09.13   |           |
| 1314-231 | C  | Organisational Development       | Days lost due to sickness  | 23.09.13 | 21.10.13  | 14.10.13   |           |
| 1314-232 | C  | Housing & Environmental Services | Nuisance/Noise abatement queries   | 24.09.13 | 22.10.13  | 26.09.13   |           |
| 1314-233 | I  | Customer Services                | Council Tax Support claimant data  | 25.09.13 | 23.10.13  | 10.10.13   |           |
| 1314-234 | I  | Environmental Services           | People dying with no next of kin from 01.03.13                                       | 30.09.13 | 25.10.13  | 07.10.13   |           |
| 1314-235 | I  | Environmental Services           | Funeral arrangements for someone who has no family and lives within the council area | 30.09.13 | 25.10.13  | 25.10.13   |           |

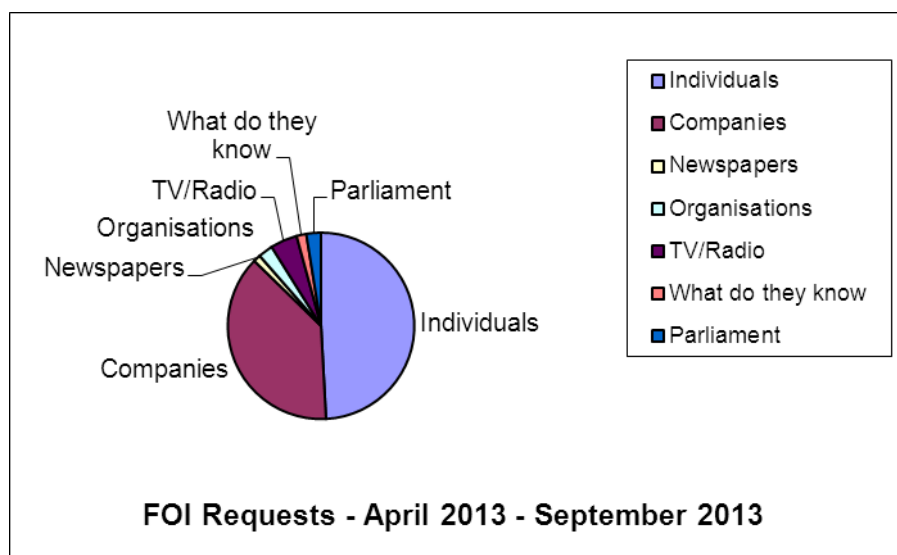
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|          |   | Dept                   | Details                       | Received | Reply Due | Reply Sent | Exemption |
|----------|---|------------------------|-------------------------------|----------|-----------|------------|-----------|
| 1314-236 | I | Environmental Services | Recycling and Waste Contracts | 30.09.13 | 25.10.13  | 24.10.13   |           |

## ANNEXE C

### Breakdown of Freedom of Information requests for first 6 months of 2013/14

|                   |     |     |      |
|-------------------|-----|-----|------|
| Individuals       | 116 | 236 | 49%  |
| Companies         | 90  | 236 | 38%  |
| Newspapers        | 3   | 236 | 1%   |
| Organisations     | 6   | 236 | 3%   |
| TV/Radio          | 11  | 236 | 5%   |
| What do they know | 4   | 236 | 2%   |
| Parliament        | 6   | 236 | 3%   |
|                   | 236 |     | 100% |



Individuals = Those sent to individual e-mail address, although probably sent on behalf of a company

Organisations = Big Brother Watch, Tax Payers Alliance, Unison, Naturewatch, Guide Dogs for the Blind, etc

What do they know = Website set up especially for making FOI requests

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| <b>REPORT TO:</b>              | <b>FINANCE &amp; MANAGEMENT COMMITTEE</b>  | <b>AGENDA ITEM: 12</b>   |
| <b>DATE OF MEETING:</b>        | <b>5th DECEMBER 2013</b>   | <b>CATEGORY: OPEN DELEGATED</b>  |
| <b>REPORT FROM:</b>            | <b>DIRECTOR OF FINANCE and CORPORATE SERVICES</b>  |  |
| <b>MEMBERS' CONTACT POINT:</b> | <b>KEVIN STACKHOUSE (01283 595811)</b><br><a href="mailto:kevin.stackhouse@south-derbys.gov.uk">kevin.stackhouse@south-derbys.gov.uk</a> | <b>DOC:</b> u/ks/northgate/contract and partnership reviews/annual nps report 1213 |
| <b>SUBJECT:</b>                | <b>CORPORATE SERVICES CONTRACT and STRATEGIC PARTNERSHIP ANNUAL REPORT 2012/13</b>   | <b>REF:</b>  |
| <b>WARD(S) AFFECTED:</b>       | <b>ALL</b>   | <b>TERMS OF REFERENCE: FM 08</b>   |

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## **1.0 Recommendation**

- 1.1 That the annual report detailing the performance of the Contract and wider Partnership in 2012/13 be approved.

## **2.0 Purpose of Report**

- 2.1 To provide details of the performance of the Contract and Partnership Agreement for the 3rd year between the Council and Northgate Public Services. As one of the Council's most significant contract and partnership arrangements, this is in accordance with the Council's Corporate Partnership Policy.

## **3.0 Detail**

### **Background**

- 3.1 The Council have appointed Northgate Public Services (NPS) to deliver the Council's Corporate Support Services under Contract, together with a range of strategic objectives around the creation of a Regional Business Centre and to support transformation within all council services.
- 3.2 The Contract commenced on 1<sup>st</sup> August 2010 for 7 years, with the Council having an option to extend this period by a further 3 years. The Council appointed NPS to deliver its objectives for Corporate Services and the wider Business Centre. The overall aims are:

- To deliver on-going improvements in service delivery
- To achieve cashable savings
- To retain and grow jobs in South Derbyshire – a “net importer of jobs.”
- To protect and develop employees in times of change
- To provide stability and resilience in service provision
- To invest in ICT
- To provide the Council with access to additional skills
- To deliver innovation and transformation across all council services.

### **The Contract**

3.3 NPS are responsible for day to day service delivery of the following functions for the Council.

- Revenues and Benefits
- Customer Services and the Contact Centre
- ICT
- HR and Payroll
- Health and Safety
- Training and Development
- Policy and Communications
- Procurement and Business Improvement
- Printing and Design
- Provision of Stationery, Mail and Postage Facilities

3.4 Financial and Exchequer Services were also transferred in August 2010 but were returned back to direct Council control in June 2012.

3.5 The Council remains responsible for setting strategy, policy and work plans associated with the above services, such as the IT Strategy and HR policies, etc. In addition, it retains the budgets for IT maintenance, upgrades and replacement together with other corporate activities such as banking, insurance provision and corporate training.

3.6 The contract value is approximately £2.75m per year subject to an inflationary increase on an annual basis. 84 staff were initially transferred across from the Council to NPS to deliver services. All services are delivered from the main Civic Offices, although the actual processing of payroll and the IT helpdesk take place off-site.

### **Guaranteed Savings**

3.7 NPS have guaranteed to the Council a certain level of savings over the life of the initial 7-year contract. Firstly, the contractual price for the services transferred was £125,000 lower than the (then) current costs, a year on year reduction of 5%. This was applied on Day 1 of the Contract and is on-going.

3.8 The other guarantees are as follows:

- £42,000 per year through additional income from council tax and sundry debtor collection (£294,000 over 7-years)
- £356,400 on-going savings in total over the first 5-years of the Contract through procurement transformation.
- £142,000 on-going savings in total over the first 5-years of the Contract through transformation of other council services.

### **Risk Reward Mechanism**

- 3.9 The guaranteed savings for procurement and transformation are the net amounts at a rate of 40%. Effectively therefore, gross savings are contracted at 60% higher, i.e. £891,000 and £355,000 for procurement and transformation respectively.
- 3.10 They also represent cashable savings that can be identified in Council budgets.
- 3.11 This risk/reward approach reimburses NPS for investing resources up front to generate budget/efficiency savings. Savings in the first year from any change, etc. are shared equally at the rate of 40% with the remaining amount (20%) placed in an Innovation Fund to resource future investment in efficiency savings. After the first year, all savings are for the sole benefit of the Council.
- 3.12 Any gain share on income collection is subject to the impact on the Bad Debts Provision. Unless this is physically reduced, no cash is available for distribution. If collection targets are exceeded, this will reduce the annual contribution to the Provision than would have otherwise been required and is effectively “cost avoidance.”
- 3.13 The Partnership Agreement also allows for other authorities within the East Midlands Region to buy-in services from the Regional Business Centre. The value of any work is subject to a one-off gain share payment to the Council.

### **Jobs Guarantee / Regional Business Centre**

- 3.14 Due to planned efficiencies in Corporate Services, it was expected that the overall numbers employed for the “core client” (SDDC) would reduce over the life of the Contract.
- 3.15 However, NPS have guaranteed that 100 new jobs will be brought into the District by consolidating business in South Derbyshire and from work brought into the Regional Business Centre. This also presents redeployment opportunities for transferred staff.

### **Performance Framework**

- 3.16 The performance of NPS against the objectives is monitored through a set of key performance indicators (KPIs) covering all service areas. These come with

a set of targets and measures designed to maintain and improve service provision, together with the achievement of the strategic objectives.

3.17 A default regime is in place which penalises poor or failing performance. However, there is also a reward mechanism in place where performance exceeds target or where NPS provide the basis and framework for budget savings (subject to Council approval) based on their transformational work.

3.18 This is a key element of the Partnership Agreement, alongside the Council's support to NPS, to deliver a regional business centre in the district to help expand services to benefit the local economy.

### **Management and Governance Arrangements**

3.19 The Director of Finance and Corporate Services has overall responsibility for managing and working with NPS to deliver the services and wider objectives. Day to day monitoring of KPI performance is undertaken by a Client Services Unit, which was formed from retained staff who did not transfer to NPS.

3.20 An Operations Board considers performance on a monthly basis, with a Strategic Partnership Board taking an overview and monitoring the strategic objectives on a quarterly basis.

### **A Summary of 2010/11**

3.21 The first year's performance of the Contract was reported to the Committee in December 2011. This included a period of transition after which NPS began their initial investment in transformation, IT and creating the Regional Business Centre.

3.22 Generally during the first year, performance was good with most KPIs being met and in some key areas exceeded. In particular extended targets in customer services and benefits processing were achieved, with the Customer Services Team winning a local business award in October 2011.

3.23 However, issues in producing the Council's annual accounts for 2010/11 within the statutory timescale gave rise to the Financial Services Unit being returned back under the direct management of the Council. This was completed in June 2012. There were also on-going problems with the Payroll Service.

3.24 During the first year, NPS invested significantly in IT with a new HR/Payroll system being implemented, together with a substantial upgrade to the Council's Financial Management System.

### **A Summary of 2011/12**

3.25 During the year, service performance continued to be good in almost all service areas, with all key performance indicators being met. The Payroll Service aside, there was limited day to day operational issues.



- 3.26 Given the change in some areas, for example with the IT Service Desk, some problems were experienced. However, issues were generally resolved and did not impact on KPI performance.
- 3.27 The development of the Regional Business Centre also increased in 2011/12 with a Document Management function being set up in the Civic Offices and contracts won to process revenues and benefits for other local authorities.
- 3.28 The Payroll service continued to provide problems and consequently, the function was transferred to an alternative service centre to improve performance. This was completed during 2012/13.
- 3.29 Major investment in upgrading the ICT infrastructure commenced during this year with a full server replacement taking place. The Council's telephony system was also upgraded.

### **2012/13 in Detail**

- 3.30 July 2013 saw the third complete year of the Contract. Generally, all performance measures were achieved although within this, there were some further problems in Payroll and ICT. An analysis of performance and progress in each of the main service areas is provided in the following sections.

### **Revenues and Benefits Processing**

- 3.31 The last year has continued to present challenges in common with most local authorities. The on-going economic situation has made debt collection more difficult and changes to Government systems, together with Welfare Reform has challenged collection rates and processing times.
- 3.32 However, targets for 4 of the 5 main collection rates were achieved with a big improvement in the collection of in-year Business Rates.
- 3.33 The processing of new benefit claims continued to be much quicker than the shire district average, although some quarterly targets for processing change of circumstances, were not met. Additional resources have been employed to keep performance on track, including investment in ICT to improve processing times.

### **Customer Services and the Contact Centre**

- 3.34 With the implementation of the new Local Council Tax Support Scheme and further changes to welfare benefits on 1<sup>st</sup> April 2013, the number of people contacting the Council has increased with queries taking longer to resolve.
- 3.35 Consequently, a formal queuing system was introduced, supported by a person (floor walker) to ensure people are being dealt appropriately at peak times. The changes also included providing greater privacy for people in the actual Customer Services Office.

3.36 In addition, the telephone system was changed to enable calls to be routed direct to popular service areas without having to wait and be transferred from the main switchboard.

3.37 Apart from a small cost of purchasing some additional equipment, the effect of these changes has been contained within overall resources and implemented in a timely manner.

## **ICT**

3.38 In accordance with the ICT Strategy, significant investment was made in the IT infrastructure. This has put the building blocks in place in order for the Council to benefit from developments in technology. The key projects completed were:

- Replacement of all major servers
- Virtualisation programme of most servers and desktops
- Enhancement to the corporate email system
- Upgrade of Microsoft office
- Replica network implemented
- Expansion of wireless connectivity

3.39 This investment is a key element of the ICT strategy. The Council is providing the funding for hardware, with NPS providing additional technical skills and expertise to the in-house team in delivering the associated projects.

3.40 During August 2013, there were two consecutive IT outages. These were rare occurrences that impacted on key systems; the downtime in some instances lasted between one and two days.

3.41 Subsequent investigations pointed to a disk failure. In addition, a complete diagnostic of the IT platform was undertaken by NPS and the third party provider of the Council's hardware. This found several issues with set-up and server software which have been corrected.

3.42 The associated KPIs were not breached, although the measurement of one indicator was changed to better reflect incidences of downtime.

## **Payroll**

3.43 During the year, the weekly payroll process was shut down with all remaining employees now paid monthly. There have also been some developments to streamline the HR/Payroll system.

3.44 However, despite a transfer to a new service centre, the Payroll service continued to present problems.

3.45 NPS have attempted to resolve the situation on several occasions and some improvement has been made. However, it is considered that the current service delivery model has not worked for the Council and that it continues to present a risk in terms of control and in meeting statutory requirements.

Therefore, the Council is currently in the process of working with NPS to transfer the service back into South Derbyshire.

## Outbound Mail

- 3.46 Work is well underway to move all bulk printing offsite to a local provider as part of the Paperlite Strategy. The local provider has the necessary equipment and economies of scale, to receive and distribute bulk documents (for example Council Tax bills) at reduced cost.
- 3.47 This is streamlining the production of outgoing documents to reduce costs and free up staff capacity in the Council. All Council Departments should be migrated by March 2014.
- 3.48 The solution being rolled out also includes an on-line facility enabling all staff and Members to create ad hoc documents which are printed and managed off site in a more cost effective manner
- 3.49 The solution has been implemented for most documents and correspondence sent out from Revenues and Benefits, together with Planning; Housing Services is currently being implemented.
- 3.50 In addition, the Council's Multi-Functional Devices (MFDs) are currently being replaced. These are the machines used for printing, photocopying and scanning documents locally.
- 3.51 The current MFDs are nearing the end of their life and are being replaced by a much smaller number of higher specification devices to accommodate a reduced level of printing.

## Key Performance Indicators (KPIs)

- 3.52 Performance against all the individual KPIs by service area over the last year is monitored monthly. All KPIs are subject to a default regime, which is an escalation scheme based on three severity levels. Defaults during the past year are shown in the following table.

| Service Area      | KPI   | Oct to Dec 12 | Jan to March 13             | April to June 13 | July to Sept 13             |
|-------------------|---|---------------|-----------------------------|------------------|-----------------------------|
| Customer Services | CS 02 80% of Telephone Calls answered within 20 seconds                       |               | Sev 2 (performance was 71%) |                  |                             |
| ICT               | IT 03 Overall Service Rating is greater than 80%                              |               | Sev 2 (rating was 48%)      |                  |                             |
| ICT               | SD 06 First time fix at initial contact with Service Desk is greater than 70% |               |                             |                  | Sev 2 (performance was 58%) |

|                        |   |                             |                             |                             |                             |
|------------------------|---|-----------------------------|-----------------------------|-----------------------------|-----------------------------|
| Council Tax Collection | CT 03 Collection of Arrears b/fwd is greater than 30%                         |                             | Sev 1 (performance was 23%) |                             |                             |
| Housing Benefits       | HB 03 Average time for processing change of circumstances is less than 8 days | Sev 2 (Average was 19 days) |                             | Sev 2 (Average was 16 days) | Sev 2 (Average was 18 days) |

**Key:**

Sev 1 – Severity level 1 – Fundamental Service Failure – Default Payable

Sev 2 – Severity level 2 – Moderate Service Failure – “x” times S2 = S1

Sev 3 – Severity level 3 – Minor Service Failure – “x” times S3 = S2

### **Telephone Calls (CS 02)**

3.53 This is measured monthly with performance temporarily falling below the target in March 2013. This was due to the number of additional queries received following the issue of Council Tax bills for 2013/14. This included 2,000 additional bills being sent out to households paying for the first time who had previously been in receipt of benefit.

### **ICT Service Rating (IT 03)**

3.54 This followed an internal survey of all staff, with the overall satisfaction rating well below previous levels. It is considered that some of this is attributable to the amount of change in IT and the relocation of the service desk to an offsite facility.

3.55 These surveys are undertaken annually and due to improvements made, it is expected that satisfaction will have improved over the last year. The results of this year’s survey are due in early 2014.

### **ICT First Time Fix (SD 06)**

3.56 This is an annual target measured on a rolling 12 month basis with the review period being in July each year. It measures the amount of IT queries resolved at the first point of contact by the Service Desk, without the need to refer to the on-site team, with a consequential delay in problem fixing.

3.57 During the year to July 2013, the percentage fell from 80% to 58%. This was mainly attributable to the IT upgrades around the email enhancement and virtualisation work, where queries increased which temporarily needed greater on-site support to resolve. Performance has since increased to around 80%.

### **Collection of Council Tax Arrears (CT 03)**

3.58 This fell below target for the second consecutive year. However, performance is aggregated with 3 other collection rates and combined under the Income Guarantee arrangement. The combined rate exceeded target and so no default applied. This is detailed later in the report.

## Processing Change of Circumstances (HB 03)

- 3.59 This target was missed on 3 out of 4 occasions over the last year. Due to performance being better on other KPIs relating to benefits, this has not triggered an overall Level 1 default.
- 3.60 However, processing times have slowed; this is attributable to recent changes in the method in which the DWP pass information to councils to enable them to assess benefit entitlement more accurately and in a timely manner. It is part of a project known as ATLAS (*Automatic Transfer to Local Authority Systems*).
- 3.61 Ultimately, this system should ensure that councils maximise the subsidy they are reimbursed, with any loss through errors stemming from missing and/or inaccurate data being minimised.
- 3.62 However, at present there is substantial amount of additional information being sent over ATLAS which is requiring extra checks to validate. Despite upgrades to the Council's software and additional resources being input (financed from a Government Grant that is not permanent) this problem has remained.
- 3.63 A further software upgrade has been identified which should make the validation easier and this is being kept under review. In the meantime, error rates in processing are reducing. Whether this is all a direct consequence of ATLAS is not fully known, but it is considered to be a big factor.

## Regional Business Centre

- 3.64 The current status of jobs which compares the number of transferred staff and the Regional Business Centre is summarised in the following table.

| Service Area                         | Start of Partnership | Employed as at 30th September 2012 | Posts Being Recruited |
|--------------------------------------|----------------------|------------------------------------|-----------------------|
| Finance                              | 11                   | 0                                  | 0                     |
| ICT                                  | 10                   | 6                                  | 1                     |
| Customer Services                    | 21                   | 16                                 | 0                     |
| Revenues and Benefits                | 20                   | 19                                 | 1                     |
| Policy, Communications, Print/Design | 7                    | 7                                  | 0                     |
| HR and Payroll                       | 9                    | 6                                  | 0                     |
| Procurement and Business Improvement | 6                    | 3                                  | 1                     |
| Service Management and Development   | 0                    | 3                                  | 0                     |
| Regional Business Centre (see below) | 0                    | 28                                 | 1                     |
| <b>Total</b>                         | <b>84</b>            | <b>88</b>                          | <b>4</b>              |
| Less Finance Transferred Back        | -11                  | 0                                  | 0                     |
| <b>NET POSITION</b>                  | <b>73</b>            | <b>88</b>                          | <b>4</b>              |

These figures represent the fixed establishment and exclude the transformation resources of NPS supporting the above, together with resources provided off-site and on an ad-hoc basis, such as to support ICT investment.

## Expanding the Business Centre

3.65 The figure for the Regional Business Centre includes:

- A document scanning service for multiple clients across the UK.
- Provision of Revenues and Benefits for South Buckinghamshire DC.
- Back-up Revenues and Benefits service for 4 other local authorities.

3.66 This also includes 6 modern apprentices, 4 of which have been employed full time following a successful training programme.

3.67 Under their commitment to provide 100 new jobs in the District, NPS are still pursuing a new site to relocate the Regional Centre. This will include the consolidation and transfer of contracts for other public sector agencies into South Derbyshire.

## Savings Achieved To-date

3.68 Besides the initial contract savings, the following cashable savings have been achieved to-date.

|                   | Target   | Guaranteed Minimum | Actual as at 30 <sup>th</sup> September | On Target |
|-------------------|----------|--------------------|---|-----------|
| Income Collection | £294,000 | £294,000           | £126,000                                | Yes       |
| Procurement       | £891,000 | £356,000           | £90,000                                 | No        |
| Transformation    | £355,000 | £142,000           | £259,000                                | Yes       |

## Income Collection

3.69 The figures for income collection are discrete each year and depend on the collection rates for Council Tax and sundry debtors. Four KPIs are used to measure performance and are aggregated for the purposes of the default/reward mechanism.

3.70 The income guarantee target is £42,000 per year. Performance in 2012/13 is summarised in the following table.

| Performance Indicator              | Target | Actual | Met |
|------------------------------------|--------|--------|-----|
| Council Tax – in-year collection   | 97.4%  | 97.9%  | Yes |
| Council Tax – arrears collection   | 26.7%  | 23.4%  | No  |
| Overpaid Housing Benefit recovered | 34.2%  | 39.5%  | Yes |
| Sundry Debtor income collected     | 82.6%  | 90.6%  | Yes |

3.71 As highlighted earlier, the target for Council Tax arrears was not achieved. However, the performance on the other collection rates more than compensated for the reduction in arrears recovery (compared to target).

3.72 Overall, this reduced the contribution to the bad debt provisions than would have otherwise been required. Therefore, the income guarantee was in the form of cost avoidance to the Council but with no cashable savings falling under the risk/reward mechanism.

### **Procurement**

3.73 Actual savings achieved to-date is still behind that required in order to achieve the guaranteed amount. There have been a number of procedural improvements during the year, including the establishment of a pre procurement mechanism to ensure that the best buying solution is used and a market analysis undertaken.

3.74 In addition, NPS have appointed a senior procurement officer full time into the Council. Their role is to help deliver savings from major work areas that are currently and are due to be put out to contract.

### **Transformation – Service Reviews**

3.75 Gross savings achieved to-date total £259,000 towards the gross target of £355,000.

## **4.0 Financial Implications**

4.1 As detailed in the report.

## **5.0 Corporate Implications**

5.1 Where applicable, as detailed in the report.

## **6.0 Community Implications**

6.1 None directly.



|                                |  |  |
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| <b>REPORT TO:</b>              | <b>FINANCE &amp; MANAGEMENT COMMITTEE</b>  | <b>AGENDA ITEM: 13</b>                     |
| <b>DATE OF MEETING:</b>        | <b>5th DECEMBER 2013</b>   | <b>CATEGORY: OPEN DELEGATED</b>            |
| <b>REPORT FROM:</b>            | <b>DIRECTOR OF FINANCE and CORPORATE SERVICES</b>  |  |
| <b>MEMBERS' CONTACT POINT:</b> | <b>KEVIN STACKHOUSE (01283 595811)</b><br><a href="mailto:kevin.stackhouse@south-derbys.gov.uk">kevin.stackhouse@south-derbys.gov.uk</a> | <b>DOC:</b> u/ks/it/work plan 2013 to 2016 |
| <b>SUBJECT:</b>                | <b>ICT UPDATE AND WORK PLAN 2013 to 2016</b>   | <b>REF:</b>                                |
| <b>WARD(S) AFFECTED:</b>       | <b>ALL</b>   | <b>TERMS OF REFERENCE: FM 10</b>           |

## **1.0 Recommendations**

- 1.1 That the proposed Work Plan for ICT for 2013 to 2016 is approved.
- 1.2 That the level and timing of investment into Paperlite and Customer Access is determined.

## **2.0 Purpose of Report**

- 2.1 To provide an update on recent developments and upgrades to the Council's Information Communications Technology (ICT) infrastructure, together with the main proposals for ICT until 2016 in the form of a work plan.

## **3.0 Detail**

- 3.1 The previous ICT plan which was approved in 2011, focused on replacing the core infrastructure to update the IT platform. This included work to upgrade hardware, enhance security and provide consistency in core applications, together with increasing IT capacity and capability.
- 3.2 This was due to the Council's IT platform becoming outdated and to be able to benefit from developments in IT such as "virtualisation."

### **Virtualisation or Thin Client Technology**

- 3.3 This is the latest trend in technology where software and operating systems are stored and operated remotely from the hardware that uses it. So for example, individual PC's or other devices do not hold the software, but access it through a common media such as a network or the internet.
- 3.4 The main benefit is that core operating systems such as email and Microsoft office, can be stored and updated centrally; this negates the need for them to be loaded on individual machines or items of equipment. It then ensures that



all users operate the same version of software at the same time, updates are made available to all users consistently and overall IT capacity is increased.

- 3.5 Users effectively have what is known as a “virtual desktop.” This is basically just a keyboard and terminal, without the PC unit itself. Standardisation, consistency and security become less of an issue, reducing the associated risks and costs.
- 3.6 The Council has invested resources into the ICT infrastructure since 2011. This has included the implementation of a virtual desktop infrastructure (VDI). Some work is still to be completed. The plan now will be to consolidate and to make effective use of this platform over the coming years.

### **The Purpose of ICT**

- 3.7 ICT provides the means (or tools) to support more efficient and effective service delivery across the Council. Clearly, ICT is a fundamental part of the modern day world. It is increasingly a key element of service delivery and in many instances poor or ineffective ICT can undermine council operations.
- 3.8 The key aims of ICT are:
- **Resilience** – so that services keep working.
  - **Availability** – enabling systems to be up and running at times which meet business needs; this includes outside of normal working hours.
  - **Accessibility** – to enable remote working and the use of different hardware devices.
  - **Stability** and up-to-date infrastructure (servers and associated hardware, etc) to provide a fit for purpose platform.
  - **Consistency** in key business systems common across the Council such as email and Microsoft office.
  - **Security** at a high level to protect data and systems.

### **Work and Progress since 2011**

- 3.9 The major projects delivered over the last two years are detailed in the following table.

|  |   |
|--|---|
| Replacement of the Server Infrastructure                                 | This upgraded all servers which host the Council's systems and data. The servers are the base (or engine) of the IT platform. They were configured and set up with greater storage capacity and to conform to VDI standards.  |
| Replica Storage Area Network (the SAN)                                   | The SAN is the dedicated network that links users to the servers (and consequently systems). This will enable VDI. A replica SAN has been implemented which is located in a separate part of the building; this makes it easier to protect and retrieve data if the main SAN goes down rather than having to rely on back-ups. The SAN is currently being transferred to Oakland Village as part of the Council's Disaster Recovery and Business Continuity arrangements.                             |
| Enhancements to the Email System   | Separate software was installed to increase the efficiency of the email system. This includes an automatic archiving solution and increases the ease in which email attachments are stored and accessed. This has created greater capacity and streamlined the corporate email system.  |
| New Firewall Installed   | This is the system that protects the Council from computer viruses and provides the necessary security for data.  |
| Public Service Network (PSN) Compliance                                  | This is an independent network over which government (local and national) share services, including secure e-mail and access to confidential information, etc. In the future, the Council's infrastructure will have to comply with PSN standards. These standards will be much stricter than the current accreditation to Government Connect.  |
| New Microsoft Enterprise License   | This is the corporate license that permits the Council to use the Microsoft office suite of products. Due to the VDI implementation, this allowed the license to be rationalised and for future upgrades to be covered. This, together with VDI, will make it much easier for the Council to keep all users on the up to date software version, without any additional license costs. This new license agreement has provided a cost saving on the previous license of £20,000 per year from 2013/14. |
| Software and Application upgrades such as Adobe and Microsoft Office     | This is also a benefit of VDI as it allows corporate applications to be migrated to the latest versions and used consistently across the Council.   |
| Broadband solution for Rosliston   | This solved a long running issue regarding the connectivity between Swadlincote and the Forestry Centre.  |
| Wireless Connectivity in the Council Chamber and Committee meeting areas | This is part of a longer term project to enable Wi-Fi in as many areas of the Civic Offices as possible.  |
| Virtualisation (VDI) Project   | As highlighted earlier<br><a href="#">Page 98 of 111</a>  |

|              |  |
|--------------|--|
| E-committees | As part of the Paperlite strategy, the Committee process is now conducted paperless with members using I-pads to conduct committee work and for email communication. |
|--------------|--|

## Work Plan 2013 to 2016

3.10 This is detailed in **Appendix 1**. It is proposed that the main focus is in the following areas:

- Complete the remaining phases of VDI and connectivity.
- Consolidate the updated infrastructure against the key ICT aims, to enable more effective use and to ensure that the Council remains in position to benefit from emerging technologies.
- Complete the Disaster Recovery and Business Continuity Work.
- Comply with the updated standards for PSN.
- Support greater mobile, remote and home working.
- Support developments in the Paperlite and Customer Access Strategies (*subject to resources and specific business cases*).

## Completing VDI and Remote Connectivity

3.11 Users are being migrated on a phased basis and this is planned to be fully completed by March 2014. In addition, key areas within the Civic Offices have been identified for Wi-Fi and this is planned to be completed by December 2013.

3.12 Currently, remote access to Council systems is through a “Citrix” network. This has become outdated and is being replaced with an alternative solution to make use of VDI. This will include an update of the dual factor authentication, which effectively provides the security to access data and systems remotely.

3.13 This development will provide greater opportunities for remote, mobile and home working.

## Consolidating the Infrastructure

3.14 Following recent investment in the IT platform, it needs to be maintained and updated to ensure that the key aims (resilience, stability and availability, etc.) are met. The main servers will be maintained under warranty agreements until December 2017. In the meantime, the following areas need to be addressed.

- **Retendering the support and maintenance of some network hardware** such as switches and ports – some may need to be replaced. Switches in particular are an integral part of providing the means for data to flow efficiently.

- ***On-going replacement of PCs, terminals and other equipment;*** although replacements are currently being made as part of the VDI project, it is expected that further replacements will need to be made as technology advances.
- ***Ensuring effective security is in place;*** currently the Firewall and anti-virus system is being reviewed as new products become available. On-going training of staff in data security will ensure that Council policies are understood and adhered to.

### **Disaster Recovery and Business Continuity**

- 3.15 The replica SAN is currently be moved to Oakland Village. Work will then commence to allow greater remote access to data and systems in the event of an emergency or disaster.

### **Compliance with the Public Sector Network**

- 3.16 New standards are currently being introduced and the Council is on target to meet the new requirements by April 2014. However, this could come at an additional cost and place restrictions on the use of mobile devices as the Government look to strengthen security arrangements under PSN.

### **Mobile, Remote and Home Working**

- 3.17 Following consultation with service managers across the Council, mobile working was considered to be a high priority to improve service delivery, using ICT. VDI will provide the functionality to enable changes in working practices.
- 3.18 Some limited mobile working currently takes place in Environmental Health, whereby “tablets” are used to carry information and to enable the retrieval and updating of information directly at site visits. Depending on service needs, this is expected to be expanded into Licensing, Planning and Housing services.

### **Paperlite Strategy**

- 3.19 The strategy is aimed at eliminating as much paper as possible (with associated printing, stationery and distribution) from council operations and making greater use of ICT capability. Several projects have/are currently being implemented.
- ***Outbound Mail;*** Work is well underway to move all bulk printing offsite to a local provider. They have the necessary equipment and economies of scale, to receive and distribute bulk documents (for example Council Tax bills) at reduced cost. Through the use of ICT, this will streamline the production of outgoing documents, reduce costs and free up staff capacity in the Council.

This is due to be completed by March 2014. The solution being rolled out also includes an on-line facility enabling all staff and Members to create ad

hoc documents which are printed and managed off site in a more cost effective manner.

The solution has been implemented for most documents and correspondence sent out from Revenues and Benefits, together with Planning; Housing Services is currently being implemented. These are the most paper intensive services which will produce savings in paper and associated stationery.

- **Reduction and Upgrade of Multi Functional Devices (MFDs);** these are the machines used for printing, photocopying and scanning documents locally. As the Paperlite project develops, it is anticipated that the need for printing will substantially reduce. The current MFDs are nearing the end of their life and are being replaced by a much smaller number of higher specification devices.
- **Paperless Committees;** The Council currently uses a Committee Management Information System (CMIS) to store its committee reports and make them available to residents and other interested parties through the Web. To support the reduction of paper across the Council, an E-committee solution has recently been implemented whereby Members access, review and annotate Committee papers via i-Pads and use these devices during Council meetings.

This has eliminated paper from the Committee process and will save the Council approximately £21,000 per year in paper, printing and agenda distribution. CMIS has the functionality to enable other meetings, forums and board meetings to become e-enabled, together with an additional module for noting minutes and their distribution. This will be reviewed and implemented during 2014.

### Next Stage

3.20 Proposals for the next stage of Paperlite will involve a more significant change in the way that the Council operates. It will also require a fairly substantial investment in ICT to facilitate the development.

3.21 Paper potentially provides a high risk to the Council (fire, flood, theft, etc.) and consumes significant storage space which could be released for more productive uses. Therefore, access to electronic data rather than hardcopy paper records is considered to be the next priority.

3.22 There are two potential projects that have been identified.

- **Archiving;** there are approximately 2 million pieces of paper currently stored around the Council and removing this is a key component of the Paperlite strategy. Around a quarter of this volume is expected to require secure destruction (due to its age) with the remainder needing to be scanned and securely stored as electronic images for future retrieval as and when required.

- **Digital Mail Room - Electronic Document Management (EDM);** this facilitates the capture, indexing and online retrieval of information from a single source and removes the barriers that exist when information is stored in a variety of different formats and locations. This functionality has been shown to work for many years in Revenues and Benefits at the Council and could now be expanded across other services. This would entail increasing capacity of the Document Management IT System used in Revenues, with a separate and secure facility being introduced centrally to deal with all documents and correspondence coming into the Council.

In addition to overcoming the risks associated with paper, this would provide potential for more efficient working, to free up capacity for staff, to change ways of working, reduce response times and provide opportunities for revenue generation by freeing up office space.

### **Access to Council Services**

- 3.23 In recent years, the Council has been developing the means to make it more efficient and effective for people contacting the Council to access what they require. Using specific Government funding at the time, the Council implemented an ICT system back in 2003 and following this, a programme of centralising resources into a Contact Centre has taken place to consolidate access for anyone contacting the Council.
- 3.24 In 2012, the Committee approved a strategy in 3 phases to improve what is known as “Customer Access.” The main aim of this is to reduce the amount of direct contact with a person, whether by telephone or face to face, by providing the facility for people to be dealt using ICT, and at the first point of contact.
- 3.25 Direct contact can be time consuming for both the Council and person concerned. This is a longer term strategy and will not currently suit everyone’s needs or solve every enquiry.
- 3.26 However, increasingly people are contacting the Council using ICT and it is envisaged that in the future, more people will want to use the internet and mobile devices, etc. to deal with the Council. Therefore, it is important that the Council is well placed to respond to this change in contact.
- **Phase 1: Expansion of the ICT System;** this will involve centralising more services into the Contact Centre. A review of the potential effect on staffing, training and development has already taken place and draft proposals for implementation have been drawn up. However, investment in ICT will be required to produce new scripting and to integrate systems.
  - **Phase 2: Appointment System;** investment in a corporate system is proposed which can be accessed, ultimately by all stakeholders. This will enable a structured approach to handling enquiries and requests
  - **Phase 3: Self Service;** this is the ultimate aim of the strategy. More people are using the internet for accessing council services and paying bills, etc.



and the proposal will be to develop this option over the medium term. It will require a greater investment in ICT but will ultimately free up capacity and allow more streamlined contact with people who wish to deal with the Council in this way. Clearly, the Council will still need to make arrangements for those people who still need more direct contact.

In the meantime, a refresh of the Intranet and website will take place which will provide the basis to enable Phase 3.

### **ICT Beyond 2016 – What's next?**

3.27 Once the proposed Plan has been delivered, it is unlikely that this will be the end of investment in ICT and ICT related projects. Technology moves on rapidly and the Council will need to keep up with new developments.

### **Emerging Technologies**

3.28 Developments in technology continue to move forward at a rapid pace. The following areas will be kept under review:

- **Cloud computing** – where systems are accessed directly over a network such as the Internet negating the need for hardware, software and systems to be based locally.
- **Open source** – where the source code (or license) of a computer programme is available, through the internet, to the general public at little or no cost (*see GIS, below*).
- **Bring your own device** – this allows employees to use their own mobile technology for work, on and off site, subject to meeting PSN requirements.
- **Public Service Network** – the Government's programme to unify totally, the provision of network infrastructure across the public sector to increase efficiency and reduce overall public expenditure.
- **Web technologies** – where an increasing amount of communication is undertaken solely through social media.

### **Geographical Information Systems (GIS)**

3.29 GIS is used widely across the Council. This holds information on land and property across the District and is mainly used by Planning, Land Charges and Property Services.

3.30 There is scope for this functionality to be introduced into other areas and be used more effectively. With the potential for introducing an "open source" solution, this will mean the functionality can be provided to more users at minimal cost.

- 3.31 The open source solution will replace the current software (MapInfo) as appropriate. Once the open source solution is in place, work with service areas to see how efficiencies and improved ways of working can be introduced will be undertaken. This will include a review of how all council systems can be better integrated to reduce duplication in updating systems.

#### **4.0 Potential Risks**

- 4.1 The main risks associated with the proposed Plan are set out in the following table.

|                             |   |
|-----------------------------|---|
| Lack of Technical Expertise | The Council's ICT service provider will be supporting and delivering many of the areas in the work plan. They have access to a wider resource base which can be utilised to back up the on-site team if necessary. This has been the case with much of the recent development programme involving VDI, etc.   |
| Insufficient Budgets        | <p>The financial implications of the proposed work plan are detailed in <b>Section 5</b>. A substantial part of the plan will be financed from within existing ICT budgets and the ICT earmarked reserve.</p> <p>The largest investment is required to deliver the Paperlite and Customer Access strategies. Given the financial challenge that the Council needs to address in the medium term to 2016/17, it may be difficult to earmark sufficient resources to deliver all of the proposals.</p>  |
| Cultural Change             | <p>Developments in ICT are usually delivered to provide more efficient and effective services. Smarter technology brings opportunities but this inevitably means a change in working practices and the freeing up of staff capacity.</p> <p>The Council has an established change management policy in place; training and development will be undertaken as part of project implementation.</p> <p>Greater awareness of security by users will be required and it will be important to review policies and provide training where necessary.</p> |

#### **5.0 Financial Implications**

- 5.1 Some actions in the work programme will be delivered at no additional cost. Replacement of PCs, terminal and other devices, together with hardware upgrades will be met from within existing ICT budgets/earmarked reserve. Relatively, these costs are not significant as highlighted in **Appendix 1**.



- 5.2 The cost of implementing the full proposals for Paperlite and Customer Access are estimated at approximately £350,000 in total, although this excludes the move to self-serve, which is still to be costed. The main cost is associated with EDM as the increase in software, hardware and technical support is extensive.
- 5.3 Definitive savings would be made following the initial investment, but their timing would depend on how quickly new working practices could be revised and new staffing structures implemented. Payback could be quick, but could also be much longer depending on the strategy adopted to achieve the savings.
- 5.4 In addition, investment would need to be balanced against the overall financial challenge facing the Council with the need to make budget savings in the shorter term.
- 5.5 Alternative forms of financing the capital investment will be pursued. This includes a potential bid into a new Transformation Fund announced by the Government in July 2013. £100m is available nationally and further details regarding the criteria and timetable, etc. are awaited.

## **6.0 Corporate Implications**

- 6.1 Potential implications for service delivery and change management are detailed in the report.

## **7.0 Community Implications**

- 7.1 As highlighted in the report, several of the proposals in the work programme are designed to benefit and meet the expectations of local communities when dealing with the Council.

### Appendix 1 – ICT Work Plan 2013 to 2016

|   | Key Action   | Measure / Outcome  | Target Dates                | Estimated Cost and Financing   |
|---|--|--|-----------------------------|--|
| 1 | Digital Mail Room<br>EDM (Electronic Document Management) and Archiving          | Introduction of EDM across the Council, with each business area using as appropriate.<br><br>Change in working practices providing efficiencies and eventually cost savings.                       | December 2016               | Will depend on available resources and is subject to procurement.<br>Estimated costs are £300,000 one-off with £30,000 per year on-going.<br>Some resources will be available in the ICT reserve. Potential bid into the Government's Transformation Fund. |
| 2 | Reduction in Paper Outbound Mail   | All outbound mail is sent electronically.<br>Electronic archiving or off-site storage of paper.<br>Reduction in paper, postage and associated stationery such as envelopes.                        | March 2014                  | No additional costs – this is just extending the current service to take advantage of economies of scale.  |
| 3 | Reduction in and upgrade of Multi Functional Devices (MFDs)                      | New devices in place.<br><br>Reduction in paper and printing.  | January 2014                | £25,000 one-off cost – already earmarked in ICT Reserve.   |
| 4 | Development of E-Committees  | All meetings and forums being run using technology instead of paper.<br>Minutes recorded and distributed in real time.   | September 2014              | No additional costs.   |
| 5 | Modern and flexible working practices – Mobile, Remote and Home working solution | Infrastructure in place to provide the capability for flexible working practices. <i>Each service area will need to decide on how they wish to implement a solution including a business case.</i> | On-going as services demand | Devices to be financed from IT replacement budget.<br>Any additional costs/savings to be determined on a service basis.  |

|    |   |  |                             |   |
|----|---|--|-----------------------------|---|
| 6  | Replacement of Citrix Network and Dual Factor Authentication for mobile, remote and home working. | Secure method in place for accessing required systems remotely.  | January 2014                | £2,500 per year funded in ICT budgets.  |
|    | Extend wireless connectivity around the Civic Offices   | As above   | December 2013               | One-off cost of £5,000 funded in ICT budgets  |
| 7  | Appointment System  | System in place for Members, Officers and contractors and ultimately all people contacting the Council   | December 2014               | £12,000 one-off cost which could be financed from the ICT reserve. Subject to business case.        |
| 8  | Expansion of ICT Customer Relationship Management (CRM) System across Council Services            | Single view of a Customer available.<br>Review of working processes across directorates and move to contact centre.<br>Review of Intelligent Queue phone solution, helping people get to the right place first time. | December 2015               | £30,000 one-off cost which could be financed from the ICT reserve.<br><br>Subject to business case. |
| 9  | Move to self service  | Reduced cost of service<br>Greater transactional services available using the Web.   | December 2016               | Not known. Still to be costed and business case approved.   |
| 10 | Core network ICT Infrastructure upgrade covered by support and maintenance.                       | Core Network infrastructure reviewed and updated.<br>Support and maintenance contract in place for updated infrastructure (3 years)  | March 2014                  | £25,000 per year within current ICT equipment budgets to replace switches and other equipment.      |
| 11 | 3 Year PC/Thin Client Refresh Programme   | Continuing replacement of the existing PC estate each year.<br>Modern and flexible working practices available for users.  | On-going from December 2013 | Provision for replacement in IT Reserve - £30,000 per year.   |

|    |  |   |                                       |  |
|----|--|---|---------------------------------------|--|
| 12 | Ensuring effective ICT Security is in place.<br><br>Replace Firewall and anti-virus software | Monthly reviews undertaken of any incidents and reported to as part of ICT monitoring arrangements.   | On-going<br>Monthly<br><br>March 2014 | No additional costs.<br><br>One-off cost of £7,500 financed from ICT reserve.  |
| 13 | Continued compliance with the PSN (Public Service Network)                                   | ICT Health Check undertaken by third party<br><br>PSN Code of connection submitted and compliance certificate received to demonstrate secure network in place.<br><br>Switch to required IP address range for PSN | Annually in<br>October                | £9,000 in IT budgets to cover independent review and annual audit.<br><br>Subscription to Code of Connection estimated at £12,000 per year.<br><br>Any additional costs will be contained within ICT spend |
| 14 | ICT Disaster Recovery (DR) and Business Continuity   | Implement DR solution to Oakland Village (Swadlincote) and transfer replica SAN.<br><br>Implement Business Continuity solution to enable remote access.   | December<br>2013<br><br>April 2014    | No additional costs –hardware and configuration completed in 2013/14.<br><br>£20,000 software costs funded from ICT Reserve.   |
| 15 | Geographical Information System (GIS)  | Reduction in Map Info usage.<br>Wider utilisation of GIS across the Council.<br>Move to open source solution.   | January 2014                          | No additional costs.   |
| 16 | Green ICT. Minimise the impact from ICT on the Councils carbon footprint                     | Equipment recycled appropriately.<br>Reduction in energy use through use and rationalisation of technology.   | On-going                              | No additional costs.   |

|    |                       |  |                                     |                   |
|----|-----------------------|--|-------------------------------------|-------------------|
| 17 | Emerging Technologies | <p>Relevant technologies being kept under a watching brief and opportunities utilised appropriately.</p> <p>Next Work Plan completed for consideration</p> | <p>On-going</p> <p>October 2016</p> | To be determined. |
|----|-----------------------|--|-------------------------------------|-------------------|

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|-------------------------|----------------------------------|-------------------------|
| REPORT TO:              | FINANCE AND MANAGEMENT COMMITTEE | AGENDA ITEM: 14         |
| DATE OF MEETING:        | 5 <sup>th</sup> December 2013    | CATEGORY: DELEGATED     |
| REPORT FROM:            | CHIEF EXECUTIVE                  | OPEN PARAGRAPH NO: N/A  |
| MEMBERS' CONTACT POINT: | KEVIN STACKHOUSE (EXT. 5811)     | DOC:                    |
| SUBJECT:                | WORK PROGRAMME                   | REF:                    |
| WARD(S) AFFECTED:       | ALL                              | TERMS OF REFERENCE: N/A |

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### **1.0 Recommendations**

1.1 That the Committee receives the updated work programme.

### **2.0 Purpose of Report**

2.1 The Committee is asked to review its work programme.

### **3.0 Detail**

3.1 The updated work programme for the Finance and Management Committee is attached at Annexe 'A'. Members are asked to review this document.

### **4.0 Financial Implications**

4.1 None arising directly from this report.

### **5.0 Background Papers**

5.1 Work Programme.

## **Work Plan for 2013/14 – Finance and Management Committee Standing and Other Planned Reports**

### **Committee 16<sup>th</sup> January 2014 - Special**

- Service Base Budgets
- Budget Report 2014/15
- Local Council Tax Support Scheme – Recommended Scheme 2014/15

### **Committee 27<sup>th</sup> January 2014 - Special**

- Budget consultation with local businesses, community and voluntary groups

### **Committee 20<sup>th</sup> February 2014**

- Final Budget Proposals 2014/15
- Treasury Management Strategy 2014/15
- Corporate Plan 2009 – 2014: Performance Management Report October to Dec. 2013
- Budget and Financial Monitoring 2013/14
- Local Council Tax Support Scheme 2013/14 – Financial Update

### **Committee 20<sup>th</sup> March 2014**

- Corporate Plan – Updated Priorities 2014/15

### **Committee 24<sup>th</sup> April 2014**

- No planned reports at present

### **Committee May 2014**

- Provisional Budget Out-turn 2013/14
- Local Council Tax Support Scheme – Provisional Out-turn 2013/14