



Tuesday, 25 June 2019

Dear Sir/Madam

A meeting of the Policy and Performance Committee will be held on Wednesday, 3 July 2019 in the New Council Chamber, Town Hall, Foster Avenue, Beeston NG9 1AB, commencing at 7.00 pm.

Should you require advice on declaring an interest in any item on the agenda, please contact the Monitoring Officer at your earliest convenience.

Yours faithfully

Chief Executive

To Councillors: S A Bagshaw
S J Carr
M J Crow
S Easom
D A Elliott
M Hannah

R I Jackson
E Kerry
G Marshall
P J Owen
M Radulovic MBE
P D Simpson

AGENDA

1. APOLOGIES

2. DECLARATIONS OF INTEREST

Members are requested to declare the existence and nature of any disclosable pecuniary interest and/or other interest in any item on the agenda.

3. MINUTES

PAGES 1 - 4

The Committee is asked to confirm as a correct record the minutes of the meeting held on 6 February 2019.

4. REFERENCES

4.1 Leisure and Environment

PAGES 5 - 8

12 June 2019

Hickings Lane Recreation Ground – Proposed Lease with
Stapleford Town Football Club

The Committee considered the proposal from Stapleford Town Football Club to enter into a 25 year lease with the Council for Football pitch three at Hicking Lane Recreation Ground. The good work of the club with regards to combating anti-social behaviour and providing an important service to the community were discussed.

RECOMMENDED to the Policy and Performance Committee that the Council subject to agreeing Heads of Terms with the Stapleford Town Football Club to grant a 25-year lease for pitch 3 at Hickings Lane Recreation Ground to Stapleford Town Football Club.

4.2 Local Joint Consultative Committee

PAGES 9 - 30

13 June 2019

Attendance Management Policy

The Local Joint Consultative Committee considered the policy with particular reference to the changes contained within the document.

RECOMMENDED to the to the Policy and Performance Committee that the amendments to the Attendance Management Policy to the Conditions of Service for employees be approved.

5. BEESTON TOWN CENTRE REDEVELOPMENT

PAGES 31 - 36

To update members on progress on The Square Phase 2 in Beeston and to recommend continued delegation of key approvals to the Deputy Chief Executive.

6. PROCUREMENT AND COMMISSIONING STRATEGY 2019-2024

PAGES 37 - 62

To approve the Procurement and Commissioning Strategy 2019 to 2024.

7. ADMINISTRATIVE SUPPORT - ESTABLISHMENT CHANGES PAGES 63 - 64
- To seek approval for change to the establishment within the Licensing Section of the Public Protection Division of the Chief Executive's Department and to create an Administration Apprentice post within the Business Support Unit of the Interim Strategic Director's Department.
8. FINANCE SERVICES - ESTABLISHMENT CHANGES PAGES 65 - 66
- To seek approval to change the establishment within the Finance Services Division of the Deputy Chief Executive's Department to allow the creation of a Finance Apprentice post.
9. LEASEHOLD OFFICER PAGES 67 - 70
- To request approval for a permanent increase in the hours of the Leasehold Officer from 18.5 hours per week to 25 hours per week.
10. REGULATION OF INVESTIGATORY POWERS ACT 2000 PAGES 71 - 72
- To inform members of the use of the Regulation of Investigatory Powers Act 2000 powers and to amend the Policy and Guidance document.
11. CORPORATE PLAN ANNUAL REVIEW PAGES 73 - 76
- To invite councillors to review progress in achieving the Corporate Plan objectives 2016-2020.
12. BUSINESS AND FINANCIAL PLANS - OUTTURN 2018/19 PAGES 77 - 126
- To consider progress against the Business Plans in respect of the Council's priority areas and key support functions and to consider significant variances in the financial outturn against revised budgets for 2018/19.
13. EXERCISE OF THE CHIEF EXECUTIVE'S URGENCY POWERS PAGES 127 - 134
- To ask the Committee to note the exercise of the Chief Executive's urgency powers.

14. WORK PROGRAMME PAGES 135 - 136
- To consider items for inclusion in the Work Programme for future meetings.
15. EXCLUSION OF PUBLIC AND PRESS
- The Committee is asked to RESOLVE that, under Section 100A of the Local Government Act, 1972, the public and press be excluded from the meeting for the following items of business on the grounds that they involve the likely disclosure of exempt information as defined in paragraphs 1, 2 and 3 of Schedule 12A of the Act.**
16. INSTALLATION OF AN ELECTRICITY CABLE THROUGH MANOR FARM RECREATION GROUND, TOTON PAGES 137 - 140
17. VOLUNTARY REDUNDANCY PAGES 141 - 144

POLICY AND PERFORMANCE COMMITTEE

WEDNESDAY, 6 FEBRUARY 2019

Present: Councillor R I Jackson, Chair

Councillors: M J Crow
S J Carr
S Easom
D A Elliott
J C Goold
E Kerry
G Marshall
J W McGrath
M Plackett (substitute)
M Radulovic MBE
P D Simpson

An apology for absence was received from Councillor A Harper.

52 **DECLARATIONS OF INTEREST**

Councillor J W McGrath declared a non-pecuniary interest in item 7 as a family member was employed by Liberty Leisure Ltd, minute number 57 refers, and also in item 6 as a local businessman, item 56 refers.

53 **MINUTES**

The minutes from the meeting on 12 December 2018 were confirmed as a correct record.

54 **REFERENCES**

54.1 **LOCAL JOINT CONSULTATIVE COMMITTEE**

10 January 2019

Review of the Driving at Work Policy

The Committee considered the proposed Driving at Work Policy. The Joint Committee had thanked officers for their work on the Policy.

RESOLVED that the Driving at Work Policy be approved.

54.2 **LOCAL JOINT CONSULTATIVE COMMITTEE**

10 January 2019

Agency Workers Policy

The Agency Workers Policy had been reviewed in light of a change to working practice, whereby the procurement process had been centralised. This was to

minimise risk to the Council, ensure good working practices were observed and to enable the monitoring of the use of agency staff.

RESOLVED that amendments to the Agency Workers Policy be added to the Conditions of Service for employees.

54.3 LOCAL JOINT CONSULTATIVE COMMITTEE

10 January 2019

Equal Opportunities Policy

The Equal Opportunities Policy was considered with regard to changes made to reflect relevant legislative changes, in particular the Equalities Act 2010 and changes to internal Council procedures.

RESOLVED that amendments to the Equal Opportunities Policy be added to the Conditions of Service for employees.

54.4 LOCAL JOINT CONSULTATIVE COMMITTEE

10 January 2019

Equality and Diversity Policy

The Committee noted that the Equality and Diversity Policy had been reviewed to ensure that it reflected legislative changes, Council procedures and the Corporate Vision and Values 2016-2020.

RESOLVED that the amendments to the Equality and Diversity Policy be added to the Conditions of Service for employees.

54.5 LOCAL JOINT CONSULTATIVE COMMITTEE

10 January 2019

Flexible Retirement Policy

The Joint Committee had considered deletions to the Flexible Retirement Policy, in particular, the removal of a time limit of the length of flexible retirements, potentially forcing employees to retire.

RESOLVED that amendments to the Flexible Retirement Policy be added to the Conditions of Service for employees.

54.6 LOCAL JOINT CONSULTATIVE COMMITTEE

10 January 2019

Formal and Informal Consultation with Trade Unions

Consideration had been given to the Formal and Informal Consultation with Trade Unions Policy, which had been reviewed and streamlined to reiterate the need for close, positive and consultative relationship with Trade Unions.

RESOLVED that the amendments to the Formal and Informal Consultation with Trade Unions Policy be added to the Conditions of Service for employees.

54.7 LOCAL JOINT CONSULTATIVE COMMITTEE

10 January 2019

Learning and Development Policy

The Joint Committee had considered changes to the Learning and Development Policy which had removed references to Investors in People, streamlined processes and made it easier for employees to access training funded by the apprenticeship levy.

RESOLVED that amendments to the Learning and Development Policy be added to the Conditions of Service for employees.

55 BEESTON TOWN CENTRE REDEVELOPMENT

The Committee was informed by the Chair that the item would be considered later in the agenda as there were items to be considered that were likely to be exempt.

56 BUSINESS RATES - NEW RETAIL DISCRETIONARY RATES RELIEF

The Government announced in the Autumn Budget on 29 October 2018 that it would provide business rates relief of up to one-third to all occupied retail properties with a rateable value of £51,000 or less in each of the years 2019-20 and 2020-21.

As this was a measure for 2019-20 and 2020-21 only, the Government would not change the legislation around the reliefs available to properties. However, the Government would, in line with the eligibility criteria set out guidance, reimburse local authorities that use their discretionary relief powers, introduced by the Localism Act (under section 47 of the Local Government Finance Act 1988, as amended) to grant relief.

RECOMMENDED to Council that the appended New Retail Discretionary Relief Scheme for financial years 2019-20 and 2020-21 be approved.

57 REVIEW OF CORPORATE PLAN PROGRESS AND FINANCIAL PERFORMANCE

The progress against outcome targets linked to Corporate Plan priorities and objectives and an update as to the latest financial performance as measured against the budget was noted. Members queried figures in relation to Community Safety and were informed that future reports could consider information from neighbouring boroughs.

58 MANAGEMENT RESTRUCTURE UPDATE

Members received an update on arrangements concerning the management restructure following decisions taken by this Committee on 12 December 2018.

RECOMMENDED to Council that the interim Deputy Chief Executive be appointed to the role of section 151 officer, and agree to nominate members to appointment panels for the remaining three senior Management positions.

59 WORK PROGRAMME

RESOLVED that the Work Programme be approved.

60 EXCLUSION OF PUBLIC AND PRESS

RESOLVED that, under Section 100A of the Local Government Act, 1972, the public and press be excluded from the meeting for the following items of business on the grounds that they involved the likely disclosure of exempt information as defined in paragraphs 1 and 2 of Schedule 12A of the Act.

61 LEGAL RESTRUCTURE

RESOLVED that the restructure of Legal Services as at appendix 2 of the report be approved.

62 APPLICATION FOR VOLUNTARY REDUNDANCY

The Committee noted the exercise of the Chief Executive's urgency power to grant the voluntary redundancy on 31 December 2018.

63 APPLICATION FOR VOLUNTARY REDUNDANCY

RESOLVED that the request for voluntary redundancy and the resultant restructure of the Human Resources and Communities teams be approved.

64 HOUSING DELIVERY MANAGER

RESOLVED that the engagement of an Interim Housing Delivery Manager be approved.

65 INTERIM REGENERATION MANAGER

RESOLVED that the continued engagement of the current Interim Regeneration Manager, on revised terms backdated to 1 January 2019, be approved.

Report of the interim Strategic Director

HICKINGS LANE RECREATION GROUND – PROPOSED LEASE WITH STAPLEFORD TOWN FOOTBALL CLUB

1. Purpose of report

To advise members of a proposal from Stapleford Town Football Club to enter into a 25 year lease with the Borough Council for Football Pitch 3 at Hickings Lane Recreation Ground.

2. Background

Stapleford Town Football Club was formed in 2012 and use Hickings Lane Recreation Ground as their main home ground. The club has grown significantly over the last few years and the use of the pitches at Hickings Lane Recreation Ground as their “Home” ground has worked well for both the club and the Council. Details of the club’s formation and development are shown at appendix 1.

3. Proposal

In order for the club to progress to the next level at Hickings Lane there are certain standards that must be achieved relating to pitch quality, pitch size, provision of a boundary fence and installation of dug outs. In order to achieve these the club is looking to apply to the Football Association for funding. However, one of the FA requirements is that the club has a 25 year lease for the site. The club have submitted a formal application for such a lease and details of this and the view of the Council’s Estates and Legal teams on this proposal are detailed in appendix 2.

4. Financial implications

There are no direct financial implications for the Council relating to this application. If the club are successful in obtaining a lease then there will be a potential reduction in the direct maintenance requirement for the Council on the site and the opportunity for the club to secure additional funds that will improve facilities. The club would fund directly the provision of dug outs, perimeter fence and any changes to the footpath on the site to allow the pitch size to be increased.

Recommendation

The Committee is asked to RECOMMEND to the Policy and Performance Committee that the Council subject to agreeing Heads of Terms with the Stapleford Town Football Club to grant a 25-year lease for pitch 3 at Hickings Lane Recreation Ground to Stapleford Town Football Club.

Background papers

Nil

APPENDIX 1**The Club: Its Formation and Development**

The roots of Stapleford Town Football Club go back to 2002 with the formation of Stapleford Villa Football Club in 2002.

The vision at the heart of Stapleford Villa's football activities was the desire to provide and expand football facilities for youth and local residents of all ages with Hickings Lane Recreation Ground as the club's home ground, supplying a base where players' love for the game of football could be developed and expanded.

After early successes the club declined due to a lack of professional management and resources.

In 2012 a core group consisting of some members of the previous management team and a group of supporters from the community in Stapleford, including parents, young people, local businesses and football enthusiasts, came together to relaunch the Club now known as Stapleford Town Football Club.

The management team of the relaunched Stapleford Town Football Club were determined that the Club be a grass roots community based club with an emphasis on providing a safe football facility that was welcoming to all.

From the very beginning the club identified its vision as ensuring that all young people had the opportunity to take part in football activities and be able to fulfil their potential.

The club's aims are to:

- Raise the profile and awareness of football in Stapleford and the surrounding areas.
- Increase the number of players participating in football activities.
- Improve the quality and professionalism at all levels including both playing and coaching.
- Provide opportunities and pathways for talented individuals to perform and excel.

Since its inception the Club has expanded from 3 teams in 2012 to 27 teams, with 331 registered players.

The club has 31 fully qualified FA registered coaches.

The club runs teams from U8's to U16's with a men's senior and reserve team. The club also runs soccer schools for ages 3-7 years.

As the club has developed the professional standards applicable have risen. The club has achieved FA "Charter Standard", an award made by the FA under an accreditation

scheme that sets a gold standard recognising and rewarding, commitment, quality and achievement.

APPENDIX 2

Request for a 25 Year Lease for Pitch 3 at Hickings Lane Recreation Ground

Since 2016 the Club has successfully worked with the Council in utilising the football pitch's at Hickings Lane Recreation Grounds as their main "Home" ground.

The area which the club is seeking a 25 year lease for is shown within the bold line on the plan at Appendix 3.

The club would be responsible for maintaining the pitch and its surrounds to the extent of 2 metres beyond the boundary of the playing area. The Council would continue to be responsible for maintaining the area of the recreation ground outside this defined area including boundaries, tree and hedge maintenance.

During the lease the club would plan to:

- Maintain and improve the pitch's playing surface by the application of a regular sports turf maintenance programme, this includes mowing, scarifying and fertilising and implementing the recent FA Pitch Improvement Plan for the site.
- Levelling the playing surface by removing localised high spots.
- "Verti-draining" the pitch.

With a 25 year lease the club would be able to increase the standard of football played on pitch 3. The FA measure pitch and facility standards with a numbered grading system. The club would initially look to achieve step 7 standard. In addition to the facilities already provided on the site, this requires:

- Security of Tenure for 25 years on the ground.
- Pitch perimeter barrier. A concrete post and metal rail is the standard used on other similar sites. This would have double gates for machinery and access. The public would not be excluded from this area (see Appendix 4).
- A minimum playing area of between 90m x 45m and 120m x 90m. The club area looking for a mid-range size of 100m x 64m. This can be achieved by extending the length of the pitch by 3 metres and an adjustment to the stone path on the site. The club would fund all this work to the Council's specification.
- Technical area and training box. The club are proposing secure lockable brick built structures within their defined area.

As a long term aim the club would like for their first teams to be able to play at the next level up, i.e. step 6. This does however require additional facilities to be provided such as floodlights and a boundary fence. The club recognise however that these would need further consultation with the Council and a detailed planning application.

The club are aware that there may be changes to the pavilion on this site at some point in the future and are keen to work with the Council to achieve any possible improvements. The involvement of the football club offers the potential to work with the Football Association to potentially secure additional funding for such a project with Hickings Lane pavilion listed as priority in the emerging Broxtowe Local Football Facilities Plan. This document is being produced in partnership with Nottinghamshire FA.

Comments from Estates and Legal

The land has always been held by the Council as public open space, the Council will be able to rely on the Section 123 Local Government Act 1972 powers to lease part of the land. There will be procedural requirements to adhere to (such as advertising and consultation).

There is also a restriction on the land for it not to be used other than as a public children's playground, but this applies to the children's play area and not part of the open space which the pitch will be situated on.

Report of the Chief Executive

ATTENDANCE MANAGEMENT POLICY

1. Purpose of report

To consider amendments to the Attendance Management Policy.

2. Detail

The Attendance Management Policy had a wholesale revision in June/July 2018 and a number of amendments are necessary following its implementation.

Phased Returns (7.8 p. 13) has been clarified following some confusion. Only a GP or the Council's Occupational Health Practitioner can recommend a phased return and this must be specified on a 'fit note' or OH Report. The recommendations can only be agreed dependent on operational requirements.

Adjusting Trigger Levels (9.3 p. 14) has been adjusted to include major longer-term illnesses and conditions, for example, menopause, and that medical advice may be sought from the Council's OH provider when adjusting those levels.

Attendance Management Meetings (10.0 p.15) has been clarified – Letters of Support MUST only be issued by Managers if the employee falls within the Equality Act 2010 or experiencing longer-term illnesses or conditions.

Management of Long Term Sickness (13.0 p. 17) has been amended to no longer specify that Managers have to write to employees after every welfare meeting.

Recommendation

The Local Joint Consultative Committee is asked to RECOMMEND to the Policy and Performance Committee that the amendments to the Attendance Management Policy to the Conditions of Service for employees be approved.

Background papers

Nil

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Broxtowe
Borough
COUNCIL

ATTENDANCE MANAGEMENT POLICY

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ATTENDANCE MANAGEMENT POLICY

Section One

1. Introduction

Broxtowe Borough Council recognises that high levels of attendance at work make a significant contribution to the achievement of its vision to deliver efficient and effective services.

The Council accepts its obligations in respect of employees experiencing ill health. This policy will ensure that sickness absence is dealt with fairly and that decisions are made based on the information available at that time.

This policy should be read in conjunction with the following related policies:

- Stress Management
- Flexible Working
- Alcohol and Substance Misuse at Work
- Capability Policy and Procedure

2. Equality Impact Assessment

An Equality Impact Assessment of this policy has been undertaken to ensure that the implications of its introduction do not cause adverse impact or discrimination against different groups of employees within the organisation.

3. General Principles of Absence Management

3.1 Aims

The aims of this Attendance Management Policy are to:

- provide a framework to support employees who are unable to work due to sickness and assist them back to work as quickly as possible
- reduce the impact on other employees when covering for colleagues who are absent due to sickness
- improve and maintain the good attendance of employees in order to minimise the cost and effects of sickness absence and to maximise operational efficiency in all areas.
- ensure the reason for sickness absence are understood in each case and investigated where necessary

3.2 Scope

This policy applies to all Council staff with the exception of people who are within their probationary period.

Probationers' sickness absence will be dealt with as part of their probation reviews.

3.3 Principles

Any employee subject to the Attendance Management Policy will be fully consulted and made fully aware of the Council's position throughout the process. Support will be offered in all instances, but an employee who is subject to this policy should be aware that this is a formal procedure and that failure to provide a regular effective service may result in the individual's employment being at risk.

Throughout this policy the Council assumes that ill health is genuine unless there is evidence to the contrary. The reasons for taking formal action will therefore relate to the capability of an employee to do their job within the expectations of the service and not because of their illness.

3.4 Confidentiality

All parties involved in these procedures must ensure that they maintain the confidentiality of the process. Wider disclosure may be necessary where there is a duty of care e.g. a manager has a concern for the wellbeing of an employee. The requirements of the General Data Protection Regulations 2016, the Data Protection Act 2018 and Access to Medical Reports Act 1988 must be followed.

3.5 Equal Opportunities

Sickness absence will be managed in a non-discriminatory way and in accordance with the Council's Equal Opportunities Policy. The requirements of the General Data Protection Regulations 2016, the Data Protection Act 2018 and Access to Medical Reports Act 1988 will also be adhered to.

Certain medical conditions may potentially affect different racial groups in different ways e.g. sickle-cell anaemia. Similarly, an absence may be prolonged or affected due to treatment being related to the demands of a particular faith or religion.

3.6 Right to be accompanied

Employees have the right to be accompanied by a trade union representative or work colleague at all formal meetings. The representative/companion can on behalf of the employee address the hearing to put and sum up the employee's case, respond on behalf of the employee to any views expressed

at the meeting and confer with the employee during the hearing. The representative/companion does not, however, have the right to answer questions on the employee's behalf, address the hearing if the employee does not wish it, or prevent the employer from explaining their case.

3.7 Medical Advice

Medical advice may be requested by Management via Occupational Health at any time during the management of sickness absence or if there are concerns about an employee's health whilst they are at work. Occupational Health may consult the employee's general practitioner or another specialist consultant. The employee may also provide additional medical information produced by a medical expert which they consider to be relevant.

3.8 Attendance at Meetings and Occupational Health appointments

If an employee does not attend a management meeting or an Occupational Health appointment which they have been notified of without good reason managers may make a decision based on the information available in their absence

3.9 Abuse of the Attendance Management Policy

If an employee abuses the Attendance Management Policy in any way e.g. exploits the sick pay provision; fails to follow the sickness notification procedure; refuses to attend meetings with management and/or Occupational Health appointments, disciplinary action may be taken in accordance with the Disciplinary Policy.

4. Roles and Responsibilities

The General Management Team has overall responsibility for the effective operation of this policy and to ensure its' compliance within the statutory framework. The day to day responsibility for operating the policy and ensuring its maintenance and review is with the Human Resources Manager.

4.1 Manager's Role

To be responsible for recording and monitoring absence;
 To ensure employees know the correct absence and notification procedures;
 To be a point of contact when employees are off work;
 To provide information to the employee regarding their sickness record;
 To undertake return to work interviews;
 To be aware of the triggers and take action accordingly when these triggers are reached;

To make employees aware of support mechanisms available such as the Employee Assistance Programme and Occupational Health where appropriate;

To consider reasonable adjustments eg a phased return from long-term sickness absence and implement where appropriate;

To know an employee's circumstances and, where possible, become aware of problems at an early stage;

To provide a safe working environment for staff.

4.2 Human Resources' Role

To provide managers with guidance and support, as and where required, throughout the process;

To provide employees with advice on the policy and their entitlements;

To provide information to the employee regarding their sickness;

To advise the manager on the most appropriate course of action for the employee;

To advise on what further information should be sought eg from Occupational Health and the Employee Assistance Programme

4.3 Employee's Role

To tell their manager if they have any health issues which may affect their ability to do their role

To follow the timescales for the Sickness Notification Procedure and sending in Fit For Work Notes

To maintain regular contact with their manager

To attend meetings with management and to attend Occupational Health appointments as required

To not undertake any activity whilst absent from work through illness/injury which could aggravate their illness/injury or delay their recovery and therefore their return to work

To not undertake any other work, whether paid or unpaid, or similar to own duties that may aggravate the illness or injury or delay recovery and therefore return to work.

To not visit their work place without first contacting the manager to ensure that somebody is available to see them.

4.4 Occupational Health

To provide specialist medical advice to managers and employees;

To identify where an underlying medical condition exists and provide advice in relation to the condition and the employee's work;

To provide advice on reasonable adjustments, phased returns, redeployment to be considered

To provide advice about the possibility of ill health retirement

To support the employees return to work and their continued attendance at work.

Section Two

5. Pay and Leave

5.1 Sick Pay Entitlement

Sickness pay will be made in accordance with the National Conditions of Service and the scheme applies equally to all permanent and temporary employees where they possess eligibility by length of service.

During first year of service (continuous local government), one month's full pay and (after completing four months' service), two months' half pay.

During second year of service, two months' full pay and two months' half pay.

During third year of service, four months' full pay and four months' half pay.

During fourth and fifth year of service, five months' full pay and five months' half pay.

After five years' service, six months' full pay and six months' half pay.

If an employee reports sick following the notification of an investigation or whilst suspended the above provisions will still apply.

If a period of sickness absence is or appears to be occasioned by actionable negligence, nuisance or breach of any statutory duty on the part of a third party, in respect of which damages are or may be recoverable, you must immediately notify Payroll and the Insurance Team of that fact and of any claim, compromise, settlement or judgment made or awarded in connection with it and all relevant particulars that we may reasonably require. If we require you to do so, you must co-operate in any related legal proceedings and refund to us that part of any damages or compensation you recover that relates to lost earnings for the period of sickness absence as we may reasonably determine, less any costs you incurred in connection with the recovery of such damages or compensation, provided that the amount to be refunded to us shall not exceed the total amount we paid to you in respect of the period of sickness absence.

You will retain the use of any benefits in kind such as mobile telephone] for the first 2 weeks after which they shall be at our discretion.

Any employer and employee pension contributions will continue subject to the relevant scheme rules during any period of Council sick pay or SSP.

5.2 Sickness and annual leave

Employees continue to accrue leave and bank holiday entitlements during a period of sickness.

Employees are allowed to book leave whilst they are certified as sick following advice from their GP that a holiday will aid their recovery and recuperation.

5.3 Sickness during a period annual leave/bank holiday

If an employee falls ill during a period of annual leave/bank holiday, they may be entitled to have some or all of their annual leave reinstated if they provide a GP's fit note to certify the illness and they have followed the correct procedures for reporting sickness i.e. making contact with their manager on the first day of absence.

5.4 Sickness during period of Flexi Leave

If an employee falls ill during a period of flexi leave they may be entitled to have their flexi leave balance reinstated where they provide a GP's fit note to certify the illness and they follow the correct procedures for reporting the sickness. No more than 11 hours can be carried over into the next flexi period.

5.5 Sickness during the Working Day

Employees who become ill during the morning and leave work (following permission from the manager or other responsible officer) will be credited with that morning for flexi purposes. Where the employee was due to work in the afternoon (or the rest of shift as appropriate) this will be recorded as sickness.

Employees who become ill in the afternoon and leave work following permission, will be credited with that afternoon. Employees on flexi-time will be credited time in accordance with the flexi-time scheme. Where the absence continues into the next day (and beyond) the notification procedures outlined above must be complied with i.e. the next day will be classed as day 1 for sickness reporting purposes.

Where a pattern of absence shows that an employee is regularly working part of a day then seeking permission to leave work or leaves work without permission, this will be regarded as a conduct issue and will be dealt with under the Disciplinary Policy.

5.6 Carrying over unused leave

On their return to work employees will be allowed to take outstanding leave subject to operational requirements.

If an employee has not been able to take their full leave year's entitlement due to their sickness absence they are entitled to carry over the statutory leave allowance of 28 days minus the days of contractual annual leave they have already taken. This carried over leave balance must be taken in full during the following leave year or it will be lost.

Employees moving onto half pay during their period of sickness should be encouraged to use their annual leave to bring their pay up to their full entitlement.

6. Unauthorised Absence

Absences will be regarded as unauthorised absences when an employee is absent from their place of work:

- without authorisation
- without personally informing their manager (or deputy) within the required notice on their first day of absence as stated in the procedure guide
- when failing to submit fit notes covering all sickness absences in accordance with the required procedure

When an employee fails to contact their manager to advise them of their absence, the manager will contact the employee to find out why they have not attended work. This should not be treated as a substitute for reporting sickness absence.

Employees may not receive pay for relevant periods if they fail to notify their manager of sickness absence or where their absence is not covered by the appropriate certification.

Unauthorised absence is misconduct and will be dealt with through the Disciplinary Policy.

Section Three

7. Types of Absence

Employee's absence generally falls into 3 categories: long- term, frequent and short term or a combination of these. The management of long-term absences is covered in section 5

Frequent short term absences are normally sporadic, attributable to minor ailments and which in many cases are unconnected. However, cases of frequent short-term absence where there is evidence to support the view that sickness absence may not be genuine should be dealt with under the Disciplinary Policy as a matter of poor attendance constituting misconduct

The Council recognises that there may be occasions when some employees might feel it necessary to cite sickness absence as the reason for not attending work when this may not be the case. Managers and employees are reminded of the leave and flexible working provisions in these circumstances.

7.1 Sickness Absence Notification

All staff should follow the Sickness Notification Procedure in Form [AN4](#) found on the intranet. Failure to follow this procedure may result in sick pay being delayed or disallowed and may lead to action being taken under the relevant Disciplinary Policy when an employee is failing to follow the procedures.

Where an employee does not feel able to advise their manager of the nature of their sickness absence, they may make contact with HR to discuss their absence confidentially and HR will advise appropriate manager accordingly.

Emails or text messages will not be accepted as notification and will be regarded as failure to inform the Council correctly.

Where an employee is unable to make contact personally due to exceptional circumstances, it is acceptable for them to make arrangements for someone else to notify the Council on their behalf as soon as possible (eg partner/parent). However, where someone else has made the initial contact, the employee must also make direct contact with the manager as soon as possible thereafter.

If an employee has had frequent short term absences they may be required to produce a fit note on the first day of absence for a specified period of time. In these circumstances failure to obtain a fit note on the first day would result in the employee not being paid for that day or any subsequent days when the appropriate notification procedure had not been followed.

7.2 Elective/Cosmetic Surgery

The Council defines an elective procedure as a non-essential surgical procedure which the employee chooses to undergo for personal reasons, for example cosmetic surgery or laser eye treatment.

Non-essential surgery which has been medically advised or prescribed by an employee's doctor or consultant will not be considered as an elective procedure.

Elective and cosmetic surgery appointments (including laser eye surgery) and ensuing recovery periods must be recorded as annual leave.

If any complications arise following the surgery and a fit note is provided, then the employee will be entitled to sick pay.

7.3 Time off for fertility treatment

There is no statutory right for employees to take time of work to undergo IVF treatment and IVF treatment appointments will be treated in the same way as other medical appointments.

Following the implantation of fertilized eggs, the woman is regarded as being pregnant and she is protected under the Equality Act 2010. If the IVF is unsuccessful, the protected period ends two weeks after she is informed that the IVF was not successful.

7.4 Hospital/GP/Dental/Optician appointments

Any of the above appointments which an employee needs to attend must be taken in accordance with the Council's flexi-time rules and should not be recorded as sickness absence. Managers may ask to see written proof of appointments (see Flexible Working Hours Guidelines).

7.5 Work Related Ill-Health or Injury

If an employee or manager believes that ill health or injury has been caused by work, the employee should complete the Council's accident report form as soon as possible and send it to the Health and Safety section.

If an employee has not completed an accident report form and subsequently believes that their ill health or injury is caused by work, they should report this in writing to their manager setting out the reasons why they believe the work has contributed or caused their ill health or injury and the reason for the delay in reporting this.

7.6 Maintaining Contact

The employee and the Manager will maintain contact as agreed once an employee is covered by a fit note and keep them informed of their progress and their likely return to work date. Employees must contact their manager before their fit note expires in order to confirm either that they will be obtaining another fit note or their return to work date.

Employees who do not maintain regular contact will be contacted by their manager to check on their progress. Additionally, employees who are on long-term sickness absence be invited to regular welfare meetings as outlined in Section 5.

Where an employee indicates that they are absent due to stress at work, the manager must inform HR and then make contact with the employee as soon as reasonable and follow the guidance in the Stress Management Policy as it may be necessary to carry out an individual Stress Risk Assessment.

7.7 Return to Work

An employee is no longer required to obtain a GP's fit note stating they are fit to return to work. An employee may choose to return to work before their medical fit note expires and without the requirement for any alterations. However in some cases it may be necessary to conduct a Health and Safety risk assessment before a return to work can be confirmed. In these circumstances the employee will not be able to return to work until HR and the manager are satisfied that appropriate support is in place to facilitate their return to work and the employee will therefore remain on sick leave.

7.8 Phased returns to work and alternative duties

A phased-return must only be agreed if the employee either provides a medical certificate identifying 'altered hours, amended/alternative duties, a phased basis or with reasonable adjustments', or similar advice from the Council's Occupational Health provider.

The length of the 'altered hours, amended/alternative duties, a phased basis or with reasonable adjustments' is not prescribed and depends on the circumstances of the case, and/or operational requirements.

Medical advice is only a recommendation and the Manager, in consultation with Human Resources will determine whether the recommendations can be implemented. Operational requirements will be taken into consideration. In some cases, not all recommendations will be feasible to implement.

In some cases, Human Resources will ask Health and Safety to undertake a Risk Assessment in order to finalise a decision. If adjustments cannot be accommodated, employees may have to remain on sick leave and be asked to seek further medical advice.

Where a GP or Occupational Health states that an employee may be fit for work on 'altered hours, amended/alternative duties, a phased basis or with reasonable adjustments', this advice can only be implemented with the manager's agreement. Following advice from HR a meeting should be arranged with the employee to discuss whether the GP's recommendations are reasonable and can be implemented. In some cases it may be necessary for Health and Safety to complete a risk assessment before a decision can be made.

8. Completion of a Return to Work Interview

A return to work interview must be held between the manager and employee as soon as possible following every sickness absence and within three working days of return at the latest. A return-to-work interview enables us to confirm the details of your absence. It also gives you the opportunity to raise any concerns or questions you may have, and to bring any relevant matters to our attention.

Where it is not possible for a return to work interview to be undertaken by the line manager within this timescale (because, for example, they are absent from work on leave), the responsibility will then transfer to another manager within the department either at the same level or above.

Attendance Management Formal Procedure

Section Four

9. Trigger procedures

9.1 Trigger levels

When an employee has had:

- *4 or more occasions of absence in a rolling year*
- *absences totalling 10 or more working days (separate or continuous) in a rolling year*
- *any pattern of absence causing concern*

they will be placed within the formal Attendance Management Procedure.

Note there is an additional procedure for dealing with long-term absences.

9.2 Employees with more than one contract

If an employee has more than one part-time contract any instances of sickness absence must be dealt with separately and not cumulatively. An employee can therefore trigger at different times for each contract and may receive a sanction for one or both contracts

9.3 Adjusting Trigger Levels

In certain cases, for example, if an employee is absent with sickness which is pregnancy, maternity related, major longer-term illnesses and conditions the manager should still monitor the absence using these procedures. Where the level of absence hits the trigger levels or becomes long term, the manager must consult with HR with regard to managing the non-attendance and supporting the employee. A decision may be made to adjust trigger levels. In some cases, medical advice from the Council's Occupational Health provider will be sought.

10. Stage One - Attendance Management Meeting

When a trigger point has been reached, the employee will be required to attend a Stage One attendance management meeting with their manager on *their return to work*. The meeting is not disciplinary in its purpose and is intended to provide the manager with the opportunity to review the circumstances surrounding the employee's absence levels before a decision is made whether or not to issue a Notification of Concern or Letter of Support.

At least five working days' notice of the meeting must be given to the employee together with informing them of the right to be accompanied by a trade union representative or work colleague.

The manager will then determine whether to issue a Notification of Concern. Should a Manager wish to issue a Letter of Support due to the employee being covered by the Equality Act 2010 or pregnancy, maternity-related, major longer-term illnesses or conditions, advice must be sought from Human Resources before issuing the Letter of Support.

10.1 Issuing of Notification of Concern/Letter of Support

The decision should be given orally at the meeting if possible and must be confirmed in writing within five working days of the meeting. Managers must include any actions and identify any agreed reasonable adjustments needed to support the employee in improving their attendance and also make clear that, if attendance levels do not improve, then this may lead to the next stage of the procedure.

A first Notification of Concern or a Letter of Support will remain active and on the employees' file for six months from the date of the *return to work*. The employee's attendance will be reviewed periodically by the manager and, if the employee has not taken any more sickness absence during this time, then the Notification of Concern or Letter of Support will lapse at the end of the six months.

Employees may appeal against the issuing of a first Notification of Concern or Letter of Support by writing to their manager within five working days of receipt of the written decision. The appeal will be heard by the relevant Head of Service or Chief Officer as appropriate. After this hearing, there is no further right of appeal at Stage One.

If the employee activated a further trigger whilst a Stage 1 Notification of Concern or Letter of Support is active, the manager will hold a Stage Two Attendance Management Meeting.

11. Stage Two Attendance Management Meeting

A Stage Two meeting will be convened if the employee activates another trigger whilst a Notification of Concern or Letter of Concern is active. *The meeting will take place once the employee has returned to work.*

The Stage Two meeting, which again will not be disciplinary in its purpose, will provide the manager with the opportunity to establish all the facts and review the circumstances surrounding the employee's absence levels before a decision is made whether or not to issue a Second Notification of Concern.

At least five working days' notice of attendance must be given to the employee informing them of the right for them to be accompanied at the meeting by a trade union or work colleague. A HR Officer *must* also attend.

The decision should be given orally at the meeting if possible and confirmed in writing within five working days of the meeting. Managers must include any actions and identify any agreed reasonable adjustments needed to support the employee in improving their attendance and also make clear that, if attendance levels do not improve, then this *will* lead to the next stage of the procedure.

The issuing of a Second Notification of Concern will remain active for 12 months from the date of the *return to work*. During this time the manager will review the employee's attendance regularly. If the employee's absence reduces below the trigger level after six months the second Notification of Concern will reduce to the level of a First Notification of Concern.

Employees may appeal against the issuing of a Second Notification of Concern by writing to their manager within five working days of receipt of the written decision. The appeal should state the full grounds of the reason for the appeal. Their manager will arrange for the appeal to be heard by a relevant Head of Service or Chief Officer as appropriate. After this hearing, there is no further right of appeal at Stage Two.

If the employee triggers whilst a Stage 2 Notification of Concern or Letter of Support is live, the manager will hold a Stage Three Attendance Management Meeting.

12. Stage Three Attendance Management Meeting

If the employee triggers during the first six months after a Second Notification of Concern or Letter of Support has been issued, the manager should then consult with HR before preparing a management report for consideration by the Head of Service (or Chief Officer) at a Stage Three attendance management meeting.

Although a Stage Three meeting is not disciplinary in its nature, it will be held in a similar format to the Council's Capability and Disciplinary Policies, the manager dealing with the case up to this point will present their summary of the case to a Head of Service (or Chief Officer) who will chair the hearing and will be the Deciding Officer.

At least seven working days' notice will be given to the employee together with the right to be supported at the meeting by a trade union representative or work colleague. The Employee will also be informed that dismissal could be an outcome of the hearing.

The Deciding Officer should consider the option of redeployment on a permanent or temporary basis (if a suitable existing position is available) or adaptation of working methods and environment, if it is felt that this may improve attendance, before making a decision to dismiss.

Where *the Deciding Officer* makes a decision not to dismiss, clear justification for not doing so must be recorded together with any support or other actions

to be taken. A follow-up meeting must then also be arranged (normally within 6 weeks of the Stage Three meeting) in order to review the case further.

The decision should be given orally at the meeting if possible and confirmed in writing within 5 working days of the meeting.

If, however, the *Deciding Officer* feels that the employee's attendance is still a matter of concern for the future and there are insufficient mitigating circumstances for the continued level of absence, they may choose to dismiss the employee with appropriate notice where they believe there is clear justification for doing so.

An employee who has been dismissed at Stage 3 is entitled to appeal against the decision by writing to the *HR Manager* within five working days of the letter confirming their dismissal. The appeal will be heard by the Licensing and Appeals Committee. The employee will have the right to be accompanied by a trade union representative or work colleague. Licensing and Appeals may choose to reinstate the employee or uphold the decision of the Deciding Officer.

Section Five

13. Management of Long Term Sickness

If an absence exceeds 4 weeks, the employee must be invited in writing to an informal welfare meeting with their manager.

The meeting is to consider the period of absence under review; the nature of the employee's illness; and the potential implications of this for their return to work (ie the potential length of the absence and any longer-term impact of their condition); whether an Occupational Health referral is appropriate, what mechanisms are in place to support the employee during their absence, and any support that will help them prepare for their return.

Automatic referral Occupational Health of all long term sickness cases is not necessary (eg where an employee is absent for a specified period of time due to a broken limb). Consideration needs to be given to the cause of absence, the timing of the referral, and whether a response from the Occupational Health Service will be useful in determining future action.

Further welfare meetings should take place as deemed necessary given the circumstances of each case, but consideration should be given to meeting every 30 days.

13.1 Likelihood of recovery

Where the information considered suggests that there is a likelihood of recovery and return to work within a reasonable timeframe, then the outcomes of this long-term sickness absence meeting may include:

A provisional date for return to 'normal working'

A provisional date for a phased return to normal duties

A provisional date for returning on alternative duties

A provisional date for return to their previous role, but with temporary or permanent adjustments in working arrangements, in recognition of the individual's health condition. Such adjustments will be made in order to ensure compliance with the Equality Act 2010 as well as the Council's wider commitments to equality and diversity;

Consideration of permanent redeployment to another post which may be at a different grade or different terms and conditions of employment;

13.2 No likelihood of recovery

The underlying principle when managing long term absence cases is to balance the Council's needs against the circumstances of the employee concerned. There is no requirement for manager to wait indefinitely for an employee who is on long-term sick leave to return to work or to be placed on a particularly Attendance Management Stage before considering particular action. At a certain point, managers in consultation with HR are entitled to decide that they are no longer able to accommodate the consequences of an employee's long term sickness absence and that it is not reasonable to wait any longer the employee to return to work.

Where the information considered does suggests that there is no likelihood of the employee recovering and returning to work within a reasonable timeframe, advice should be sought from Occupational Health. If the employee is in the pension scheme Occupational Health should be asking for an opinion about whether the employee would qualify for ill health retirement

Enquiring about ill health retirement does not imply that the relevant pension scheme will accept an application for the employee to receive a pension on health grounds.

A formal meeting should be then arranged to consider whether dismissal on the grounds of capability is appropriate.

13.3 Dismissal on Grounds of Capability

Any decision to dismiss on grounds of incapacity due to sickness/ill-health is separate from any application or decision to award an ill-health pension and there is no requirement to delay proceeding with a capability dismissal until a decision is made about ill health retirement.

Termination of employment on the grounds of capability will be considered as last resort, if the following criteria are satisfied:

contact and assistance, or attempted contact, has been made and provided throughout the employee's absence;

where the employee has failed to make contact despite attempts by managers, a decision to dismiss will be based on all available information;

adequate medical evidence is available which indicates a return to work is unlikely within a reasonable time frame;

the employee has been fully consulted and given an opportunity to respond at each stage;

consideration for suitable alternative employment has been exhausted;

any feasible modifications to the working area and/or role have been exhausted;

ill health retirement has been considered

The procedure to be followed will be as described in the Capability Policy

Report of the Deputy Chief Executive

BEESTON TOWN CENTRE REDEVELOPMENT

1. Purpose of report

To update members on progress on The Square Phase 2 in Beeston and to recommend continued delegation of key approvals to the Deputy Chief Executive.

2. Background

Committee will recall that the Council has agreed to act directly as developer for a cinema and food and beverage development at the northern end of the site, with a residential development to the south, linked by public realm.

3. Key Updates (further details are given in appendix1)

- The lease/operating deal with The Arc cinema is close to finalisation.
- The sale of the residential element is close to finalisation.
- Discussions with restaurant/café bar operators and negotiation of financial and specification details are continuing.
- The RIBA Stage 4 design has been completed and the main building contract went out to tender at the beginning of June.
- A number of risks remain to the delivery of the project.

4. Financial implications

Current expenditure is in line with the overall project budget and within the Deputy Chief Executive's delegated authority approved by this committee. The first £250,000 tranche of LEP funding has been received. The estimated cost of the project has risen, but the anticipated extra receipts from the land sale and the LEP actually mean that the overall net borrowing is slightly less than the original approval levels.

Further details are given in appendix 2 and reports will also be taken to the Finance and Resources Committee and Full Council later this month as appropriate.

Recommendations

The Committee is asked to:

- 1. NOTE the report and any further verbal updates provided.**
- 2. RESOLVE to delegate to the Deputy Chief Executive all key approvals including assessment of tender returns including qualitative criteria, and subsequent award of the main building contract, in consultation with the cross-party Project Board and subject to the overall project cost remaining within the financial limits already set or subsequently changed by the Finance & Resources Committee and/or Full Council as appropriate.**

Background papers

Nil

1. Key Updates

- Apart from a couple of financial and legal technicalities surrounding collateral warranties and treatment of the capital contribution, the Agreement for Lease with The Arc Cinema is ready for signature. These should be resolved by the time the Committee meets.
- Sale of the residential element has been delayed due to some defects in the Council's legal title that are a legacy of acquisition and hand-back of land for the tram. A way through this has now been agreed in principle with Nottingham City Council, so contracts should be ready for exchange (subject to formal title rectification) by the time the Committee meets.
- The mid-range food and beverage retail market remains in the doldrums due to a combination of over-supply, under-patronage and aggressive price-cutting. Several recent failures of restaurants such as Jamie's' Italian bear testimony to this.

That said, a number of significant operators are very enthusiastic about Beeston as a location – albeit their ability to obtain board approval to proceed is prejudiced by the wider picture above. Our agents have reported that there is an increasing 'fire sale' market whereby fully-fitted premises of failed operators can be acquired by a competitor for much less than the cost of fitting out from new. To help address this, we are reviewing how we can increase Beeston's attractiveness to such operators within the financial envelope.

- The RIBA Stage 4 design has been completed and the main building contract went out to tender at the beginning of June. The table below relates to the main building contract (i.e. excluding cinema fit-out):

Task Name	Start	Finish
RIBA Stage 4: Technical Design	17/01/19	31/05/19
Issue ITT (Bid Period)	07/06/19	19/07/19
Review ITT	22/07/19	02/08/19
BBC Board meeting	12/8/19	12/8/19
Appoint Contractor (NEC4 ECC)	19/08/19	19/08/19
RIBA Stage 5: Construction	20/08/19	03/08/20
Cinema Soft Launch/Press Day	23/11/20	23/11/20
RIBA Stage 6: Handover and Close Out	07/12/20	07/12/20

- A number of risks remain to the delivery of the project.

The project risks have been monitored and mitigated where possible throughout Stage 4; the main risks to be identified on the risk register (along with their mitigation and status) are:

Footpath Order

- Existing footpath along B&M requires re-routing, requiring Council approval but can be called in by Secretary of State if there are objections.
- If it goes to the Secretary of State then the construction start will be set back by several months, resulting in a possible start Jan 2020.
- The period for objections closed on 13 June.

Commercial Retail and Tenant

- Lack of interest in retail and restaurant opportunities, resulting in lower lease receipts and reputational impact.
- Early engagement of Cinema operator, appointment of experienced agent. Allowance within project budget for first tenant incentive (rent free or reduced rent periods, F/O contribution).
- Open risk until contract exchanged.

Site conditions

- Unexpected below ground utilities identified during construction works.
- Utilities diversions required - Awaiting further information from contractor regarding any further utilities.

Late Client design change

- Design change by Client, or future operator.
- Collaboration with Client (BBC) with progress meetings. Instigate a change control process that requires Client sign off of all such changes based on advised cost and programme implications.

Committee/Board Approval

- Approval delay due to increase in costs, change of design, change of management.
- Delegate authority to Deputy Chief Executive and project board meetings. Continue critical communication.

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APPENDIX 2

Financial Implications

Policy and Performance Committee on 21 November 2017 delegated to the Interim Deputy Chief Executive responsibility for the financing of the Beeston Town Centre Development scheme (sometimes referred to as Beeston Square Phase 2).

2018/19

The capital programme 2018/19 included £539,800 for the Beeston Town Centre Development scheme. Expenditure for the year totalled £421,865. This included £282,795 paid to Atkins Limited for site investigation, work on the planning application and elements of detailed design. A planning fee of £25,535 was paid to the Council. There were also payments totalling £16,638 to Cartwright Communications for public relations work, £9,500 to Jones Lang LaSalle for valuation work and £7,000 to Grant Thornton for undertaking a financial appraisal of a potential cinema operator. There was also expenditure of £50,675 on the services of the Interim Regeneration Manager.

The expenditure of £421,865 was financed using grant income of £320,000 and borrowing of £101,865. The grant income was comprised of £70,000 received from the Nottinghamshire Pre-Development Fund and £250,000 received from the D2N2 Local Enterprise Partnership (LEP) towards the regeneration of Beeston Town Centre. The LEP grant is to be supplemented with a further £500,000 to be received in 2019/20.

Approval will be sought from Finance and Resources Committee on 11 July 2019 to carry forward the unspent £117,350 budget in the 2018/19 capital programme into 2019/20.

2019/20 to 2021/22

The capital programme 2019/20 to 2021/22 presently includes a total of £10,436,500 for the scheme spread across each of the three years as follows:

	£
2019/20	2,436,500
2020/21	6,000,000
2021/22	2,000,000

The budget of £2,436,500 in 2019/20 will be increased to £2,553,850 once approval for the carry forward is granted as set out above.

As reported to the Beeston Town Centre Project Board on 3 June 2019, it is proposed that the budget for the scheme be increased by a further £1.0m. This is to reflect a number of factors that were not envisaged at the initial viability assessment stage including a change to the cinema to include an additional screen and more seating, the need to re-locate a sub-station in the public realm and other structural changes designed to reduce the risk of and increase the speed of construction. The

increase in the scheme budget would need to be approved by Finance and Resources Committee and further approval is to be sought from Full Council.

Finance and Resources Committee on 8 January 2019 considered bids for the sale of part of the site for residential development and resolved to delegate responsibility for concluding this to the Interim Deputy Chief Executive in consultation with the three party leaders. The resulting capital receipt is to form part of the financing of the scheme. It is now apparent that this receipt will be significantly in excess of that originally envisaged to the extent that it will more than offset the additional cost of the scheme as set out above.

In addition, the resources available to finance the remaining expenditure on the scheme will be enhanced by the receipt of £500,000 in 2019/20 from the D2N2 LEP and by a further £25,250 that has been made available by the Nottinghamshire Pre-Development Fund.

It is presently anticipated that the remaining capital costs over the next three years are met by borrowing.

Regular updates on the projected costs of the scheme and its financing (including any further external contributions that may be received) will continue to be presented to Members in due course.

Report of the Deputy Chief Executive

PROCUREMENT AND COMMISSIONING STRATEGY 2019-2024

1. Purpose of report

To approve the Procurement and Commissioning Strategy 2019 to 2024.

2. Background

The updated Procurement and Commissioning Strategy, included in the appendix, has been refreshed to ensure compliance with the Public Contracts Regulations (PCR) 2015, internal governance procedures (Financial Regulations - Contract Standing Orders) and current corporate requirements.

The Strategy, which covers the five-year period 2019 to 2024, sets out the central role of the Procurement function in supporting the Council in achieving compliance with the regulations, whilst maintaining an efficient and cost effective procurement and commissioning activity.

In order to support local people and local business, the Council will endeavour to spend locally wherever possible; achieve the best possible value for money; purchase responsibly and sustainably; encourage local businesses to provide goods and services to the Council, and achieve social value through our purchasing arrangements.

This Committee is responsible for developing and approving the Council's Procurement and Commissioning Strategy. Updates on procurement activity and action plan progress in the delivery of the strategy will be provided to the Finance and Resources Committee at least once per annum. Council will be considering the necessary revisions to Financial Regulations – Contract Standing Orders, to align them with the new strategy, which will come into effect after their approval by Council.

Recommendation

The Committee is asked to RESOLVE that the Procurement and Commissioning Strategy 2019-2024 be approved and come into effect following the approval of revised Financial Regulations – Contract Standing Orders by Council.

Background papers

Nil

APPENDIX

PROCUREMENT AND COMMISSIONING STRATEGY 2019 - 2024

Introduction

This Procurement and Commissioning Strategy sets out the central role of the Procurement function in contributing to achieving the Broxtowe Borough Council corporate priorities in a manner which reflects its vision and values and supporting the Council in ensuring compliance with regulations, whilst minimising expenditure.

This strategy must be used in conjunction with Internal Governance procedures and the Public Contracts Regulations (PCR) 2015.

Background

The Council's Vision for Broxtowe is 'a great place where people enjoy living, working and spending leisure time'.

The Council's Values are:

- **G**oing the extra mile: a strong, caring focus on the needs of communities
- **R**eady for change: innovation and readiness for change
- **E**mployees: valuing employees and enabling the active involvement of everyone
- **A**lways improving: continuous improvement and delivering value for money
- **T**ransparent: integrity and professional competence

In order to support local people and local business, the Council will endeavour to keep the 'Broxtowe Pound' in Broxtowe wherever possible; achieve the best possible value for money; purchase responsibly and sustainably; encourage local businesses to provide goods and services to the Council, and achieve social value through our purchasing arrangements.

In terms of its five **Corporate Priorities**:

Housing: A good quality affordable home for all residents of Broxtowe

- The Council will use its purchasing power in Housing to achieve best value for money, systematically ensuring all purchases are appropriately tendered and contracts are actively managed.
- The Council will purchase responsibly and sustainably, requiring suppliers to follow WRAP principles (Waste and Resources Action Programme) to minimise waste, optimise recycling and reduce the amount of single use packaging wherever possible.
- Through the specification of its new build programme, the Council will be an exemplar in use of sustainable construction methods and energy efficiency.

Business Growth: New and growing businesses providing more jobs for people in Broxtowe and improved town centres

- As part of major corporate procurement exercises, the Council will require the delivery of social value in the form of, for example, apprenticeship opportunities for local people
- The Council will encourage local businesses to bid for the Council's business.

Environment: The environment in Broxtowe will be protected and enhanced for future generations

- The Council will work with stakeholders and suppliers to ensure its specifications drive sustainability and give improved working life
- The Council will encourage suppliers to develop products and ways of working that reduce the impact on the environment by improving recyclability, reducing energy consumption and reducing reliance on fossil fuel by increasing reliance on renewable energy

Health: People in Broxtowe enjoy longer, active and healthy lives

- The Council expects its suppliers to treat their employees well, promote the health of their workforce complying with minimum wage legislation and other employment protection arrangements.
- The Council expects all its suppliers to comply with high standards of health and safety so that neither their employees nor members of the public/local residents are put at risk in the delivery of contracted services for the Council.

Community Safety: Broxtowe will be a place where people feel safe and secure in their communities

- The Council will demand the highest ethical standards from its suppliers including compliance with modern slavery legislation; information management, and adherence to child protection and vulnerable adult protection standards
- The contract letting procedures will ensure the Council actively guards against the risk of bribery and corruption; money laundering and fraud.

The National Procurement Strategy

This strategy is informed by the National Procurement Strategy produced by the Local Government Association (LGA) in promoting the following three themes reflecting local government's priorities:

- Showing leadership
- Behaving commercially
- Achieving community benefits

The key areas which emerge from these themes to address the risk of failure of strategic suppliers:

- Engaging strategic suppliers
- Managing strategic risk
- Option appraisal (including make or buy decisions)
- Procurement strategies that promote competition in the marketplace (including opportunities for SMEs and VCSEs)
- Contract and relationship management (including supplier financial distress measures)

In order to make this happen four 'enablers' have been identified:

- Developing talent
- Exploiting digital technology
- Enabling innovation
- Embedding change

The LGA have produced a 'Toolkit' to help local authorities set objectives relating to their maturity levels in each of the key areas and then identify their progress. The LGA Toolkit should be used to assess the current maturity level of the Council which will then inform key action plans in each area to ensure continuous development towards a higher status. The Toolkit can be found on the LGA website at https://www.local.gov.uk/sites/default/files/documents/11.137%20NPS_V04.pdf

In addition to the above from the National Procurement Strategy, the Council will:

- Commission the right quality goods and services;
- Deliver robust, transparent procurement exercises and contracts;
- Provide improved outcomes for all our stakeholders;
- Ensure the optimum balance of quality and cost;
- Ensure all Contracts are sustainable;
- Improve efficiencies e.g. in relation to web-based service delivery/e-invoicing;
- Minimise waste;
- Reduce the burden on administrative and monitoring resources;
- Encourage open and fair competition;
- Give strong governance and minimise opportunities for errors or fraudulent activity;
- Engage with key stakeholders including councillors, senior managers and tenants;
- Work with partners to continually improve;
- Develop commercial opportunities.

Accountability

The Policy and Performance Committee is responsible for developing and approving the Strategy. The Finance and Resources Committee is responsible for overseeing efficient and effective procurement and commissioning and will be updated on procurement activity and progress in delivery of the strategy at least once a year.

Authorisation

Authorisation levels will be in line with the Council's Financial Regulations (Contract Standing Orders). Appropriate authorisation should be obtained before commencing each key stage of a procurement exercise.

Deputy Chief Executive

The officer with overall responsibility for ensuring efficient and effective procurement is the Deputy Chief Executive (Section 151 Officer). The responsibility of the Deputy Chief Executive will be to:

- Ensure resources are recruited to provide leadership for the procurement function
- Ensure the development of a corporate procurement strategy
- Ensure the development and keeping up to date of a Corporate Contracts register
- Ensure periodic audits of procurement activity
- Ensure General Management team and the Finance and Resources Committee are updated on any non-compliance issues
- Oversight of compliance with Financial Regulations (Contract Standing Orders).

Chief Officers

All Chief Officers will ensure that:

- Procurement within their service areas is managed systematically, efficiently and cost effectively
- Appropriate project management arrangements for tendering within their service areas are in place
- There is compliance within their department with legislative requirements for procurement and standing orders
- Contracts which are let are monitored and managed effectively and within the budget framework
- Employees within their department are appropriately trained on procurement
- Reports are prepared to General Management Team (GMT) and/or Committee whenever necessary on procurement within their service area.

General Management Team (GMT)

GMT will consider proposals from Chief Officers, Heads of Service and the Procurement and Contracts Officer regarding potential changes to contracting and commissioning arrangements and will ensure that decision making, whether within delegated powers or as proposed to committees, is sustained by a robust business case.

GMT will receive periodic reports outlining progress on matters relating to procurement and contract monitoring.

Heads of Service

All Heads of Service and other senior managers will:

- Manage procurement within their service area to deliver cost effective and continuously improving services
- Actively engage in project management for tendering of goods and services within their service area
- Ensure compliance with standing orders and national legislation regarding procurement within their service area
- Ensure services which are contracted out have written contracts through which to hold contractors to account
- Collect data to ensure compliance with contracts and for reporting purposes
- Highlight any non-compliance issues, such as expired contracts, to their Chief Officer
- Manage contracts within their service area to ensure compliance with contractual requirements
- Keep themselves up to date with procurement legislation and seek expert advice where necessary from the Procurement and Contracts Officer

Procurement and Contracts Officer

The lead procurement officer, based in Finance Services (Audit and Control section), will be responsible for:

- Developing procurement and commissioning policy and strategy
- Developing contract management procedures
- Advising officers of the Council to assist them in discharging their procurement responsibilities
- Identifying suitable frameworks which may offer the Council good value for money
- Developing online training and other types of face-to-face training on procurement matters
- Preparing reports for GMT and/or Committee as necessary, and highlighting any issues of non-compliance
- Maintaining an up-to-date corporate contracts register
- Participating in project management of major contracts where required
- Providing oversight to procurement activity within service areas and highlight any areas where there is scope for improvement
- Ensuring any procurement action plans associated with this strategy are implemented

Key Stakeholders

Any officer of the Council with responsibility for:

- Producing the specification
- Day to day operational liaison with the supplier
- Assisting with assessments of tenders or quotations

Assessment Panel

- The Procurement and Contract Officer and Key Stakeholder(s) will form an assessment panel to assess the qualitative elements of tenders. The panel may include other stakeholders, users and subject experts (including external experts engaged by the Council).
- Assessors may restrict their assessments to specialist elements (i.e. Health and Safety), but must assess the same elements for all qualifying bidders.

The Procurement Cycle – Key Stages

1. Identify the need for a procurement exercise

Authorisation

2. Initiate procurement exercise
3. Conduct Market Research
4. Develop Strategy with key stakeholder
5. Select the type of Procurement Procedure to be used
6. Develop Specification / Brief - with key stakeholder
7. Develop Tender pack including assessment methodology

Authorisation

8. Invite Tenders, using appropriate procedure
9. Assess tender responses in accordance with published methodology
10. Produce Contract Award Recommendation report

Authorisation

11. Award Contract / Place Order
12. Receive Goods / Services / Works
13. Pay for Goods / Services / Works
14. Manage Contract throughout its life
15. Review Contract – Procurement and key Stakeholder

Procedures

1. Identify the Need for a Procurement Exercise

- 1.1. Procurement exercises can arise for a variety of reasons, such as:
 - Expiry of current agreements where there is a continuing requirement;
 - Aggregated spend analysis identifies a Council wide demand;
 - New capital project e.g. town centre re-generation;
 - New ways of working.
- 1.2. The requirement should be quantified, where possible by reviewing existing demand data.
- 1.3. The quality of the current service should be evaluated to identify successes and weaknesses of the current model and the cost of delivery should be benchmarked against peers.
- 1.4. Consideration should be given to whether there are good reasons for carrying out work 'in-house' instead of buying in services. Other considerations, such as whether the Council should continue to provide the service in the existing form at all – perhaps because of the growth of market provision; or whether a shared service solution developed in partnership with other local authorities, voluntary sector, other public sector or private companies should also be thought through. Decision making in relation to these issues (especially if significant sums are involved) will normally rest with politicians, after consideration by GMT. As well as the relative costs and utilisation of employees, a strategic view should be taken on the long term viability and sustainability of both the Council's and external supplier's ability to carry out the work.
- 1.5. For new requirements assessments should be made to draft the scope and budget requirements.

2. Initiate the Procurement Exercise

- 2.1. Liaise with the Procurement and Contracts Officer.
- 2.2. Identify project sponsor, key stakeholders and other interested parties.
- 2.3. Determine project management reporting arrangements.
- 2.4. Develop outline timeline.
- 2.5. Identify key risks, issues and dependencies.
- 2.6. Confirm scope.

- 2.7. Confirm budget availability, seeking relevant committee authority if not already within budget framework. Note: When determining the strategy to be used, the value of the procurement exercise should be based on the total amount payable across the various departments of the Council, including options and renewals over the anticipated contract period (usually four years).

3. Conduct Market Research

- 3.1. What solutions are currently available in the market?
- 3.2. Are there any new innovations or developments which would provide a better or more cost-effective solution?
- 3.3. What do peer organisations do? Is there an opportunity to work with them or a larger consortium to develop a procurement solution?
- 3.4. Is there an opportunity to work with peer organisations to deliver the service internally, possibly with shared resources?
- 3.5. Is this a totally new area where the Council is the innovator/designer of the solution?
- 3.6. Would an alternative model of service delivery achieve better performance and/or value?
- 3.7. What is best practice?

4. Develop a Procurement Strategy for the Exercise

- 4.1. The most appropriate procurement strategy for each exercise will be agreed between the stakeholder(s) and the Procurement and Contracts Officer.
- 4.2. Ensure compliance with PCR 2015 and internal governance requirements.
- 4.3. What is the anticipated contract value? (Refer to Appendix 1 for thresholds)
- 4.4. Is the requirement for Goods, Services or Works?
- 4.5. Are the Goods / Services readily available?
- 4.6. Which procedure would be most suitable?

5. Different Types of Procurement Procedure

- 5.1. The best procedure to be used for each exercise will be agreed between the stakeholder(s) and the Procurement and Contracts Officer.
- 5.2. Quotations for low value and simple contracts usually concluded by placing a Purchase Order.
- 5.3. Open Tender using the Council's preferred e-Tendering portal. All suppliers expressing an interest may download the Tender Pack and submit their Tender. The process will be managed by the Procurement and Contracts Officer.

- 5.4. OJEU – If over the threshold (see [Appendix 1](#)) the process will be managed by the Procurement and Contracts Officer, in line with PCR 2015.
- Open Tender
 - Restricted Procedure
 - Competitive Procedure with Negotiation
 - Competitive Dialogue
 - Innovation Partnership
- 5.5. Other potential options are:
- Framework Agreement; An agreement which has been created to allow eligible organisations to access agreed conditions and rates, gaining the benefit of significantly increased spend.
 - Dynamic Purchasing System; similar to a Framework Agreement, but allows new qualifying suppliers to join at any time
 - Electronic Auctions; Allows suppliers to bid increasingly better rates in order to win the business. All other evaluation must be carried out beforehand.
 - Electronic Catalogue; Online catalogues may be suitable for ordering stationery or building materials from suppliers. Selected suppliers have online catalogues which the Council can use, at agreed contract rates.

6. Specification

- 6.1. A specification / brief should be produced by the key stakeholder, with input from the Procurement and Contracts Officer.
- 6.2. Specifications should be performance based, with a focus on the result required, rather than how it is achieved.
- 6.3. Options for alternative solutions should be allowed. Suppliers should be encouraged to use their expertise and develop innovative ideas which could provide improved performance, service levels and reduced costs.
- 6.4. Specifications must not include details of manufacturer or model. Where new equipment is required to integrate with legacy equipment, details of the existing equipment should be provided to ensure compatibility.

7. Tender Pack

- 7.1. Consideration must be given at this stage to how tenders will be assessed.
- 7.2. The split between Price and Quality should reflect their relative importance to the procurement exercise, and will usually range from 70:30 to 30:70 with a higher weighting towards price for simple procurements where there is unlikely to be much to differentiate suppliers (i.e. stationery supplies). But a higher percentage for quality where customer service is important or the products are bespoke.

- 7.3. Care must be taken to ensure the pack is fair and accurately reflects the Council's genuine requirements, allowing all qualifying suppliers to submit a bid.
- 7.4. The suite of documents may include:
- Specification
 - Instructions to Tenderers
 - Timelines for tendering, including; publication date, date for tenderer briefings, final date for questions, final date Council's response, closing date and time
 - Assessment criteria and methodology
 - Pricing Matrix (section [25](#))
 - Project timescales
 - Quality questions with weightings and scoring mechanism (section [26](#))
 - Reasons why a contract may not be awarded
 - Form of Contract to be signed, which will constitute the Agreement between the Supplier and the Council
 - Terms and Conditions which will apply (section [18](#)).

8. Invite Tenders

- 8.1. Publish the Invitation to Tender on the Councils eTendering portal, including the tender pack.
- 8.2. Advertise the opportunity:
- Requirements which are over the 'OJEU Threshold' ([Appendix 1](#)) must be advertised in Tenders Electronic Daily (TED), the online version of the Official Journal of the European Union (OJEU). It is published daily throughout the EU, in 22 different languages.
 - All Procurement Exercises with a value over ([Appendix 1](#)) must be advertised on the Governments 'Contracts Finder' portal.
 - Procurement opportunities will also be advertised on Source Nottinghamshire.
 - Consideration should be given to advertising in relevant specialist trade journals.

9. Tender Evaluation Process

- 9.1. Evaluation of bids must be carried out as detailed in the Invitation to Tender.
- 9.2. Evaluation of bids includes checks to ensure compliance with:
- Specification (which may include variations to meet requirements but provide improved Value for Money)
 - Conditions of Contract
 - Financial standing
 - Business compliance with regulations (as detailed in PCR 2015)

- 9.3. If the information submitted appears incomplete or erroneous, or specific documents are missing and it is believed to be a genuine error, the Procurement and Contracts Officer may request the supplier to submit or clarify the information required. Any clarifications must comply with the principles of equal treatment and transparency.
- 9.4. Tenders will be evaluated by an Assessment Panel. Assessors should review and score all compliant bids. Weighted scores from individual assessors will be combined and moderated to highlight discrepancies and agree a final score.
- 9.5. Prior to inviting tenders, if high numbers of bids are anticipated options may be considered to put non-competitive bids to one side. This will be considered by the Procurement and Contracts Officer and key stakeholder(s).

10. Tender Report

- 10.1. The key stakeholder(s), working with the Procurement and Contracts Officer, will produce a report recommending award of Contract.
- 10.2. The report should outline the process used and show costs quoted, with price, quality and total scores for compliant tenders, leading to the award recommendation.

11. Award of Contract

- 11.1. Following Approval of the Tender Report, award the contract to the winning tenderer, taking account of any standstill period required (to be advised by Procurement and Contracts Officer).
- 11.2. For low value / less complex requirements, the Contract may take the form of an order raised in the Council's purchasing system.
- 11.3. As the tender pack included details of the Terms and Conditions and Form of Contract etc. agreement of which formed part of the assessment and clarification, signature by both supplier and the Council should be completed within a few days.
- 11.4. The supplier should not commence Works or supply of Goods and/or Services until both parties have signed the Agreement, or received a Purchase Order.

12. Receive the Works, Goods or Services

- 12.1. When Goods or Services are received and/or Works completed (including by agreed stages) receipt the Purchase Order (if used) and/or notify the respective Business Support team to ensure the supplier's invoices can be paid when correctly presented.

13. Pay for the Works, Goods or Services

- 13.1. The respective Business Support team will make arrangements to pay invoices which have been correctly presented by the supplier and confirmation of receipt has been received (Note: the budget has already been confirmed at stage 2.7).

14. Contract Management

- 14.1. Day-to-day contract management will be carried out by the Key Stakeholder(s) or their delegated representative and the suppliers Contract Manager to an agreed frequency. This will focus on operational issues and ensure the smooth running of the Contract. Any issues arising should be escalated to the Procurement and Contracts Officer and the respective Head of Service.
- 14.2. Strategic contract Management will be carried out by the Procurement and Contracts Officer and the appropriate Head of Service and senior managers from the Supplier. This will involve a review of both the supplier's and the Council's performance, to identify any areas where efficiencies can be made, ways of working, materials used, communication etc.
- 14.3. As part of the strategic contract management, Value Engineering sessions may be used to improve service provision or reduce costs.
- 14.4. Any benefits realised from ongoing contract management should be shared between the parties, in order to encourage future co-operation and improvement.

15. Contract Ownership

- 15.1. Stakeholders should have a 'day to day' working relationship with suppliers, whilst Procurement 'own' the Contract on behalf of the Council and the strategic relationships with suppliers.
- 15.2. Prior to extending existing contracts, or tendering new contracts, Procurement and the Key Stakeholder will review performance of the contract and suppliers as part of the process of identifying a need for a procurement exercise.

16. Health and Safety

- 16.1. The Council will not work with organisations that are unable to meet minimum standards of Health and Safety for: the general public, the Council and its employees and its own employees. The Public Service Procurement: Health and Safety checklist published by IOSH should be used for guidance.
- 16.2. Individual projects may require Risk Assessments and Method Statements depending on the perceived risks.

17. Data Protection Act

- 17.1. The Council must comply with the Data Protection Act 2018 (DPA). Any contract awarded by the Council is subject to the DPA.
- 17.2. The Council as Data Controller under the DPA will require a Data Protection Impact Assessment prior to any data processing taking place. The Council may require its suppliers to provide evidence that they comply with the Data Protection Legislation.

18. Terms and Conditions

- 18.1. There is a wide selection of Conditions of Contract which are available for a variety of different procurements. The most appropriate form of Contract for each procurement exercise will be determined by the Key Stakeholder in consultation with the Procurement and Contracts Officer:
- JCT
 - NEC
 - General Goods and Services
 - Purchase of Software
 - Hire

19. Legal

- 19.1. All Contract documentation must be agreed with the Head of Legal Services prior to publishing to ensure it is acceptable to the Council.
- 19.2. Invitation to Tender (ITT) documents should include details of the Terms and Conditions the Council proposes to use for the Contract. Any negotiation of Terms and Conditions must be carried out as part of the evaluation / due diligence process as changes could affect the competitiveness of a bid compared to others. Conditions of Contract must be fully agreed prior to award. This then ensures Contracts can be awarded, signed and mobilised swiftly and efficiently.

20. Ethical Policies

- 20.1. The Council will maintain the highest values and ethical standards including honesty; integrity; fairness; transparency; and equal opportunity.

21. Discrimination

- 21.1. All procurement exercises must comply with the relevant legislation and the Council's own policies. Suppliers must confirm that they will meet or better any requirements in the Council's policy.

22. Equality and Diversity

- 22.1. All procurement exercises must comply with the relevant legislation and the Council's own policies. Suppliers must confirm that they will meet or better any requirements in the Council's policy.

23. Modern Slavery Act

- 23.1. The Council must comply with the Modern Slavery Act 2015 (MSA). In order to ensure its own compliance, the Council will not award any Contract to an organisation which does not also fully comply with all the requirements of the MSA. In addition, Suppliers must ensure their supply chains also comply.

24. Evaluation Criteria

- 24.1. Wherever possible, quality aspects should be considered as well as price. This will enable a Value for Money calculation to be made which covers the life of whatever is being procured.
- 24.2. How a procurement exercise will be evaluated must be determined at the outset. The evaluation process and criteria must be transparent, robust and ensure fair and equal treatment of all bidders and designed to ensure the Council obtains Value for Money.
- 24.3. A pricing matrix should be produced to ensure all bidders quote for the same items, which should include delivery, commissioning, training etc. Anticipated volumes should be included to indicate the size of the intended arrangement. These can then be multiplied by item prices to show the total values, which can then be compared with other bids. For example:

Item	Description	Estimated Annual Volume	Price (per unit)	Total Price
1	Widget A	1	£10	£10
2	Widget B	10	£5	£50
3	Widget C	100	£2	£200
4	Widget D	1,000	£1	£1,000
TOTAL				£1,260

- 24.4. Where qualitative elements are to be assessed, clear questions should be devised to allow suppliers to demonstrate their competence, and allow assessors to differentiate between the different bids. Good planning at the outset and devising questions which are challenging and useful makes the latter stages of the process much simpler and helps to ensure a robust process. Questions for example in relation to Management Information where the answer could be 'We can provide whatever you require.' do not help in determining the best supplier. Too many questions will dilute the effectiveness of the process by spreading the available points across a wider field.

- 24.5. Criteria used to evaluate bids must be wholly relevant to the procurement exercise being undertaken and the weightings must reflect their relative importance to the Council and be clearly shown.

25. Lifetime Costs Criteria:

- 25.1. For key procurement exercises the Council will understand and incorporate into our evaluations, costs which are likely to be incurred over the contract lifetime. This will allow more robust comparisons of the different solutions offered to ensure the Council obtains maximum Value for Money.

- 25.2. Costs may include:

- Purchase price, including annual cost uplifts
- Delivery charges
- Delivery timescale (financial impact of early / late delivery)
- Commissioning costs
- Life expectancy
- Anticipated reliability based on validated 'Mean Time Between Failure' data
- Cost of maintaining the service during any 'down time'
- Maintenance / servicing costs
- Frequency of maintenance requirements
- Potential access difficulty and inconvenience to stakeholder
- Cost of spare parts
- Call out times for emergency repairs
- Running costs – consumption of energy and other resources
- Training
- Upgrade costs
- Cost of emissions
- Insurance costs
- Potential cost for damage rectification (especially if likely to be prone to vandalism or accidental damage etc.)
- Decommissioning costs
- Residual value
- Cost of migrating data to an alternative supplier at the commencement / end of the contract.

26. Quality Criteria

- 26.1. Other Criteria which may be considered which relate to the tenderer's ability to provide the Goods / Services / Works:

- Health and safety of employees, client and third parties (pass/fail). The Council will not award work to suppliers who cannot meet the standards detailed in its specifications
- Quality
- Environmental impact (initial and ongoing)

- Technical Competence and Professional Ability
- Qualifications
- Timeliness – Start / Finish requirements
- Availability of spare parts
- Potential obsolescence
- Compatibility with existing legacy or planned infrastructure / equipment
- Design capability
- Performance / efficiency of the Goods / Services / Works (standards)
- After sales support
- Backup – help desk, service engineers, spare parts
- Staff training and qualifications
- Speed and effectiveness of problem resolution
- Proposed performance measurement KPIs
- Ideas to improve efficiency and reduce cost
- Innovation – continuing R&D
- Opportunity to develop new improved products and processes
- Organisation suitability
- Economic and Financial strength (may be assessed by an independent organisation i.e. Dunn & Bradstreet)
- Professionalism of Directors
- Membership of professional bodies – technical expertise / certification
- Insurance cover (Pass / Fail)
- Ability to respond rapidly if required - Location
- Corporate Social Responsibility (section [28](#))

27. Post Tender Negotiation

- 27.1. Post Tender Negotiations may be required, when prices tendered exceed the available budget, to confirm financial commitments or other terms contained in the tender, or to ensure the Council obtains Value for Money. Approval should be obtained from the Deputy Chief Executive or the appropriate Committee following a recommendation from the Procurement and Contracts Officer or his nominated representative.
- 27.2. Post Tender Negotiations should be carried out after tenders have been received and evaluated, with the tenderer identified as having submitted the tender presenting the best 'Price – Quality' score in accordance with the published award criteria, provided this:
- does not materially modify essential aspects of the tender or of the public procurement, including the needs and requirements set out in the contract notice or in the Invitation to Tender; and
 - does not risk distorting competition or causing discrimination.
- 27.3. Wherever possible negotiations should follow the process of Value Engineering to improve efficiencies, add value and drive out unnecessary costs. Specifications may need to be reviewed and adjusted to meet the available budget.

28. Corporate Social Responsibility (CSR)

- 28.1. A missed opportunity to deliver Social Value is a cost that has to be absorbed elsewhere in Public Services so the Council will ensure all major procurements explicitly evaluate social value (where appropriate), rather than just considering it. <http://socialvalueportal.com/national-toms/>
- 28.2. To ensure the Council obtains Social Value from its key procurement exercises, we will use the National TOMs (Themes Outcomes and Measures) Framework 2018 Calculator in our procurement exercises. The calculator will be used to give a monetary value to social elements, allowing easy and robust comparison of different tenders.
- 28.3. The five themes are as follows:
- Jobs - Promoting Skills and Employment.
 - Growth - Supporting the Growth of Responsible Regional Businesses:
 - Social - Creating Healthier, Safer and More Resilient Communities:
 - Environment - Protecting and Improving our Environment:
 - Innovation - Promoting Social Innovation:
- 28.4. In order to maintain or improve Social Value in the face of reducing Council spend we will use the following “four opportunity levers” to increase the social value in our contracts:
- How the procurement process is run;
 - The way solutions are designed;
 - The suppliers chosen; and
 - The contract award criteria.

29. Due Diligence

- 29.1. Contracts should be examined to ensure they are robust and sustainable. It is in nobody's interest to award a Contract which subsequently fails.

30. Sustainability Policies

- 30.1. Contracts awarded will be consistent with the Council's Environmental Policy.

31. Technology

- 31.1. Procurement will always endeavour to use the most appropriate technology and software to manage the tender process and manage contracts through their lives. This includes:
- E-Tendering portals which allow tender opportunities to be published with easy and free access for businesses and secure vaults to hold tenders until the closing date and time.

- E-Auction portals allowing suppliers to bid their best prices in a live auction environment.
- On line catalogues published by suppliers.
- Accountancy systems allowing extraction of data for analysis to identify areas of spend.
- Standard Office software to analyse data and maintain databases.
- Cloud hosted systems.

Appendix 1 - Procurement Values

Public Contracts Regulations 2018

All aggregated requirements which exceed these values must follow the full 'OJEU' process. This will be managed by Procurement.

OJEU Threshold' Values for Public Sector contracting Authorities, applicable from 1 January 2018 to 31 December 2019 are:

Supplies	£181,302
Services	£181,302
Works	£4,551,413

Transparency Publication Requirements

Information must be published on the Council's website in full every quarter for;

- a) Details of every invitation to tender for contracts to provide goods and/or services with a value that exceeds £5,000.
- b) Details of any contract, commissioned activity, purchase order, framework agreement and any other legally enforceable agreement with a value that exceeds £5,000.

Data from all departments will be consolidated and published by Procurement.

Contracts Finder Portal

It is a Government requirement that all procurement exercises over **£25,000** are published on its 'Contracts Finder' portal.

Source Nottinghamshire

All procurement exercises should also be advertised on Source Nottinghamshire.

Aggregated Annual Expenditure

Contracts should be actively developed for categories where aggregated annual expenditure exceeds £100,000. Contracts should also be developed for categories with a lower spend, which are strategically important to the Council.

Classification	Value	Actions	Responsibility
Very Low Value	Below £1,000	Ensure value-for-money	Unit Manager
Low Value	From £1,000 to £25,000	Obtain three quotations (Note)	Unit Manager
Medium Value	From £25,000 to OJEU threshold	Conduct Tender exercise	Procurement
Above Threshold	Over OJEU threshold	Conduct Tender exercise	Procurement

Note: The relevant Chief Officer can decide if quotations are needed and/or are appropriate in order to demonstrate value for money.

Appendix 2 - Glossary**Key Documents**

- The Public Contracts Regulations 2015 (PCR 2015)
- National Procurement Strategy for Local Government in England 2018
- Public Services (Social Value) Act 2012
- GDPR 2016
- Freedom of Information Act 2000

Recognised Standards

- ISO9000 – Quality Management
- ISO11200 – Crisis Management
- ISO14000 – Environmental Management
- ISO22301 – Business Continuity Management
- ISO26000 – Social Responsibility
- ISO27001 – Cyber security
- ISO31000 – Risk Management
- ISO45001 – Occupational Health & Safety Management

Organisations

- CCS Crown Commercial Service (Central Government)
- CHAS Contractors Health & Safety assessment scheme
- CIPS Chartered Institute of Purchasing & Supply
- Consortium Procurement (Previously National Housing Consortium (NHC))
- EEM Efficiency East Midlands
- ESPO Eastern Shires Purchasing Organisation
- FSC Forest Stewardship Council
- LGA Local Government Association
- NEPO North East Procurement Organisation
- PfH Procurement for Housing
- YPO Yorkshire Purchasing Organisation

Other Terms

- BME Black & Minority Ethnic
- ITT Invitation to Tender
- KPIs Key Performance Indicators
- MEAT Most Economically Advantageous Tender
- OJEU Official Journal of the European Union
- PQQ Pre-Qualification Questionnaire
- SEP Social Enterprise Partnership
- SME Small to Medium size Enterprise
- TED Tenders Electronic Daily (OJEU)
- VFM Value for Money
- VCSE Voluntary, Community and Social Enterprise (Third sector)
- WRAP Waste and Resources Action Programme

Council - Documents

- Safety Policy Statement of Intent
- Environmental Policy
- Equalities Policy Statement

Appendix 3 – Potential Evaluation Questions

- How will you ensure continuing Value for Money over the life of the Contract?
- How will you ensure this Contract continues to be sustainable over its lifetime?
- What innovative ideas do you have which will: a) improve service levels, b) increase efficiencies and c) reduce costs?
- How would you manage a sudden significant increase in our requirements?
- How do you ensure your staff are able to provide the best possible service?

Appendix 4 - Process Timescales

This assumes all work is conducted electronically via an e-Tendering portal.

Open Tender Process

Stage	Pre Tender	Tender	Evaluation	Award
Actions	Agree Strategy and Contract Conditions	Respond to questions from Tenderers	Assess Tenders using Evaluation Model	Committee approval if required
	Develop Evaluation Model			
	Develop Specification			
	Produce Documentation			
Days	20	30	10	10

Restricted Two Stage Tender Process

Stage	Pre Tender	Qualification	Evaluation
Actions	Agree Strategy	Respond to questions from Interested Parties	Assess Responses
	Develop Evaluation Model		
	Develop Specification		
	Produce Documentation		
Days	20	30	10

Stage	Pre Tender	Tender	Evaluation	Award
Actions	Agree Contract Conditions	Respond to questions from Tenderers	Assess Tenders using Evaluation Model	Committee approval if required
	Develop Evaluation Model			
	Develop Specification			
	Produce Documentation			
Days	5	30	10	10

Appendix 5 – Key Priorities and Action Plan**Key Priorities – Procurement and Contracts Officer****Procurement – Contracts Register**

Work with Chief Officers and Heads of Services, in conjunction with the Legal Department, to ensure that there is a transparent register of contracts and a robust retendering work schedule covering all significant value transactions (and strategically important) for all Council activities.

Refresh the Procurement and Commissioning Strategy

Develop and advise on procurement, commissioning and contract management strategies. Identify opportunities for better procurement and to develop modern procurement and contract management practices, incorporating Public Contracts Regulations (PCR) 2015.

Review of Constitution – Financial Regulations (Contract Standings Orders)

Support the review of the Constitution and undertake a ‘root and branch’ review of Contract Standing Orders to ensure that these remain fit for purpose and effectively support procurement activity and incorporating the requirements of the PCR 2015.

Contracts Management

Ensure and develop corporate adherence to best practice contract monitoring procedures to ensure that contractors are achieving and evidencing key tasks, outcomes and performance targets set by the Council and have the appropriate work programmes to support them.

System Development

Develop the e-procurement and contract management systems, including testing and implementation, liaising with commissioners/ suppliers resolving queries and providing user training.

Action Plan

Action	Responsible	Target Date
1. Produce draft Procurement and Commissioning Strategy and present to GMT	Procurement and Contracts Officer	Completed
2. Present Strategy to Policy and Performance Committee for consideration and approval	Procurement and Contracts Officer	July 2019
3. Brief Senior Management Team on the new Procurement and Commissioning Strategy	Deputy Chief Executive Procurement and Contracts Officer	w/c 8 July 2019

Action	Responsible	Target Date
4. Brief lead officers with operational responsibility for procurement on the new Procurement and Commissioning Strategy	Heads of Service Procurement and Contracts Officer	w/c 15 July 2019
5. Engage with local business, especially SME's via the Beeston Business Network.	Procurement and Contracts Officer	December 2019
6. Develop a procurement e-Learning package for officers and managers	Procurement and Contracts Officer Training section	December 2019
7. Monitor progress with the Strategy and Action Plan. Update to reflect any changes in legislation and/or Financial Regulations (Contract Standing Orders).	Deputy Chief Executive/GMT Procurement and Contracts Officer Legal Services	Quarterly
8. Liaise with senior management to provide procurement advice and support to ensure compliance with regulations.	Heads of Service Procurement and Contracts Officer	Ongoing
9. Engage with Deputy Chief Executive and senior management to provide timely and effective procurement support on major new capital projects (e.g. Beeston Town Centre redevelopment)	Senior Management Procurement and Contracts Officer	As required
10. Monitor the corporate Contract Register, measuring compliance as a performance metric and identifying and initiating any required procurement exercises.	Procurement and Contracts Officer	Weekly
11. Conduct periodic 'spend analysis' to establish spending by category, identify spending 'off-contract' and resolving accordingly.	Procurement and Contracts Officer	Six monthly
12. Develop strategic Contract Management strategies for key contracts, working with the respective Heads of Service to implement.	Procurement and Contracts Officer Heads of Service	Ongoing
13. Develop operational Contract Management strategies for existing contracts and work with lead managers to implement	Procurement and Contracts Officer Contract Managers	Ongoing
14. Liaise with the Head of Finance Services and Chief Accountant to ensure efficient 'B2B' processes (business-to-business i.e. ordering, receipting, invoicing, payment etc.)	Procurement and Contracts Officer Chief Accountant	December 2019

Report of the Chief Executive and Interim Strategic Director

ADMINISTRATIVE SUPPORT – ESTABLISHMENT CHANGES

1. Purpose of report

To seek approval for change to the establishment within the Licensing Section of the Public Protection Division of the Chief Executive's Department and to create an Administration Apprentice post within the Business Support Unit of the Interim Strategic Director's Department.

2. Detail

A vacancy for a part-time (22 hours per week) Clerical Assistant post (L57) at Grade 3 has arisen in the Licensing Section. Rather than fill this post, the possibility of appointing a full-time Administration Apprentice at Grade 2 into the Business Support Unit to enable that team to provide the necessary administrative support to the Licensing Section has been considered. This would have a number of advantages including

- offering someone a training opportunity,
- drawing down funds from the Council's Apprenticeship Levy Fund,
- providing extra resilience for administrative support to the Licensing Section
- providing an extra two days administrative resource in the Business Support Unit.

The Administration Apprentice post would be for a fixed term of two years.

3. Financial implications

Based upon current salary scales, assuming the post holders are at the top of their scale and allowing for employers' national insurance and superannuation costs, the cost per annum of the Administration Apprentice post would be £21,550 whilst the saving from deleting the Clerical Assistant post would be £13,350.

The net cost of £8,200 per annum would be added to the vacancy rate target which for 2019/20 stands at £300,000.

Recommendation

The Committee is asked to RESOLVE that:

- 1. The part-time post of Administration Officer (L57) in Licensing be deleted**
- 2. A full-time Administration Apprentice post in the Business Support Unit be established on a two-year contract.**

Background papers

Nil

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Report of the Deputy Chief Executive

FINANCE SERVICES – ESTABLISHMENT CHANGES

1. Purpose of Report

To seek approval to change the establishment within the Finance Services Division of the Deputy Chief Executive's Department to allow the creation of a Finance Apprentice post.

2. Detail

A vacancy for a part-time (19.5 hours per week) Finance Assistant post (F52) at Grade 3 has arisen in Finance Services. The post is responsible for the administration of the Creditors system ensuring the prompt and accurate payment of suppliers, together with the provision of general clerical support to the Accountancy section. The main duties include payment of weekly creditors, dealing with queries from suppliers and departments, daily processing and payment of urgent invoices, payment of weekly Housing Benefit and Council Tax payments and general assistance in preparing the annual accounts, budgets and other financial information.

The requirements of the role and the wider demands upon colleagues have been considered. It has therefore been concluded that, rather than seek to fill the role on a like-for-like basis, this is an opportunity to delete the post and recruit a full-time Finance Apprentice at Grade 2.

The Finance Apprentice post would allow the present duties of the Finance Assistant to be fulfilled whilst undertaking additional systems and project work such as supporting upgrades of financial management software and assisting with the rollout of the intelligent scanning module across the organisation.

3. Financial Implications

Based upon current salary scales, assuming the post holders are at the top of their grade and allowing for employers' national insurance and superannuation costs, the cost per annum of the Finance Apprentice post would be £21,550 whilst the saving from deleting the Finance Assistant post would be £12,450.

The net cost of £9,100 per annum would be added to the vacancy rate target which for 2019/20 stands at £300,000.

Recommendation

The Committee is asked to RESOLVE that the establishment of the Finance Services Division be amended such that:

- 1. The post of Finance Assistant (F52) at Grade 3 working 19.5 hours per week be deleted**
- 2. A full time Finance Apprentice post at Grade 2 be established.**

Background papers; Nil

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Report of the Chief Executive

LEASEHOLD OFFICER

1. Purpose of report

To request approval for a permanent increase in the hours of the Leasehold Officer (H123) from 18.5 hours per week to 25 hours per week.

2. Detail

The Council's Housing Strategy 2015-20 identified a key outcome to be achieved: 'Effective and efficient leasehold services are provided to all leaseholders of Broxtowe Borough Council'. It included the action to recruit a dedicated Leasehold Officer. There are currently 295 Leaseholders.

The post of Leasehold Officer was approved by Policy and Performance Committee in 2017 as part of the restructure of the Housing Service. The post is Grade 5. At this time it was believed that the work required could be completed within 18.5 hours.

Since recruitment the Leasehold Officer has identified a number of areas where processes needed to be improved and gaps in good practice which needed to be addressed. Full details of these are included in the appendix. This has led to an increase in work which cannot be achieved within 18.5 hours. Since September 2018 the hours of the Leasehold Officer have been temporarily increased to 25 hours per week.

3. Financial implications

The 2019/20 budget includes £12,550 for the salary and on costs (employers' national insurance and superannuation) for the Leaseholder Officer post based upon 18.5 hours per week. Increasing the hours to 25 per week would cost an additional £4,350 per annum

Recommendation

The Committee is asked to RESOLVE that the increase in hours for the Leasehold Officer be approved.

Background papers

Nil

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APPENDIX

New processes and improvements introduced by Leasehold Officer:

Major Works procedure	Leasehold Officer now co-ordinates and sends all letters to provide single point of contact and ensure compliance with legislation.
Permissions procedure	More rigorous checks are completed to ensure that any permission provided aligns with the lease.
Service Charge procedure	More information is provided to Leaseholders when they are billed for their service charges to improve customer service and follow good practice.
Subletting	Record keeping has been changed to ensure that the Council has full and accurate records regarding properties that are sublet and this is kept up to date.
Insurance	The Leasehold Officer has improved the information provided in accordance with good practice and encourage Leaseholders to raise any queries.
Lease extensions	It is good practice for Landlords to provide information regarding lease extensions. The Leasehold Officer has produced information regarding this and encourages Leaseholders to raise any queries.
Leaseholder Guide	Leasehold Officer has produced a new guide in consultation with Legal and will review regularly to ensure that information provided remains up to date.
Review of repairs	Leasehold Officer has introduced a programme to regular check repairs so that issues can be raised in a timely manner rather than wait until service charge invoices are raised annually.
Use of Capita Open Housing	Leaseholder and service charge information is now held in the Capita Open Housing system.
Leaseholder Surgeries	Introduced to address issues and provide pro-active support to Leaseholders, especially those who have recently purchased.
Communications	Quarterly newsletter has been introduced for Leaseholders. Copies are available by post and e-mail.

Improvements to be made in 2019:

Changes to Ground Rent billing	Currently charged on the anniversary of the lease, this will be charged with annual Service Charges.
Review and Standardise leases	Historically many different leases have been used. A record of which lease each leasehold has needs to be developed and maintained and also consider standardising all leases.

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Report of the Chief Executive

REGULATION OF INVESTIGATORY POWERS ACT 2000

1. Purpose of report

To inform members of the use of the Regulation of Investigatory Powers Act 2000 (RIPA) powers and to amend the Policy and Guidance document.

2. Background

Since July 2015 the Council has made no use of RIPA powers. This is due to the fact that the main reason for using the powers was in connection with Benefit Fraud, and this function transferred back to the Department of Works and Pensions. Nevertheless, officers are required to undergo regular refresher training. This is covered through the council's e-learning programme as well as through face to face training delivered in-house. It is important for all officers to be aware of the powers under RIPA.

The Policy and Guidance document should be regularly reviewed by members to ensure that it is fit for purpose. It refers to the authorised officers and the senior responsible person.

The Policy and Guidance refers to the authorised officers and the senior responsible person. Following the restructure of the senior management team approved by Council on 27 February 2019 the list of authorised officers needs to be reviewed to include the following: Chief Executive, Deputy Chief Executive, Strategic Director, Monitoring Officer, Head of Public Protection, Head of Housing, Head of Property Services and Head of Revenues, Benefits and Customer Services. The Senior Responsible Person will continue to be the Chief Executive and the RIPA Co-ordinating Officer will be the Head of Legal Services.

Recommendation

The Committee is asked to NOTE the use of RIPA powers and RESOLVE that the Policy and Guidance be amended to include the additional authorised officers.

Background papers

Nil

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Report of the Chief Executive

REVIEW OF THE CORPORATE PLAN 2016-2020

1. Purpose of the report

To invite councillors to review progress in achieving the Corporate Plan objectives 2016-2020.

It is not the intention of this report to repeat the performance reports which are presented quarterly to the Committee. The out turn of the previous years' business and financial plans are reported to each relevant committee.

2. Details

Appendix 1 to the report sets out the Council's current priorities and objectives. Appendix 2 presents a high level summary of achievements over the past four years.

The Council has maintained as its priorities for four years the issues which matter most to local people, as evidenced by a consultation exercise conducted at the outset of the plan period.

The election of a new Council provides an opportunity for the Council to reflect on how Members would wish to review the current approach, consult and engage with local residents, businesses and stakeholders, and refresh the priorities and agenda for action for the next four years. Previously it has been thought useful to invite cross party discussion on this through a separate workshop to which all Members of the Council are invited.

Recommendation

The Committee is invited to CONSIDER the report and RESOLVE accordingly with regard to how to move forward with refreshing the priorities and agenda for action of a corporate plan for 2020-2024.

Background papers

Nil

APPENDIX 1**Vision**

Broxtowe, a great place where people enjoy living, working and spending leisure time.

HousingObjectives

- Increase the rate of house building on brownfield sites
- Become an excellent housing provider
- Improve the quality and availability of the private sector stock to meet local housing need.

Community SafetyObjectives

- Reduce the amount of anti-social behaviour in Broxtowe Borough Council
- reduce domestic violence in Broxtowe.

Business GrowthObjectives

- Increase the number of new businesses starting in Broxtowe Borough Council help our town centres to compete and attract more visitors
- Complete the regeneration of Beeston town Centre and seek opportunities to regenerate town centres throughout Broxtowe.

EnvironmentObjectives

- Reduce litter and fly tipping to make Broxtowe cleaner
- Maintain and improve the green infrastructure of Broxtowe
- Increase recycling, composting and energy efficiency projects as resources allow.

HealthObjectives

- Increase the number of people who have active lifestyles
- Work with partners to improve the health of the local population
- Reduce alcohol related harm in Broxtowe.



Broxtowe
Borough
COUNCIL

Our achievements

It's been four years since we launched our Corporate Plan 2016 - 2020 so here's just some of the things we've achieved during this time.



Housing

A good quality affordable home for all residents of Broxtowe

Increase the rate of house building on brownfield sites.

496 new homes built on brownfield sites since 2016, with planning permission granted for a further **1,321**.

Become an excellent housing provider.

93% tenant satisfaction on average, exceeding our targets and placing us in the upper quartile for House Mark. **Award** won for our Warmer Homes on Prescription Scheme.



Improve the quality and availability of private sector stock to meet local housing need.

£1.64 million spent on improving the homes of people with disabilities and 126 empty homes brought back in to use.



Business Growth

New and growing businesses providing more jobs for people in Broxtowe and improved town centres

Increase the number of new businesses starting in Broxtowe.

130 more businesses in Broxtowe than in 2016, as well as a new business start-up grant scheme and business hub.



Help our town centres to compete and attract more visitors.

29 businesses have received a free business health check to help them grow and free WiFi has been installed in **3** of our town centres.



Complete the regeneration of Beeston Town Centre and seek opportunities to regenerate town centres throughout Broxtowe.

Purchased the leasehold interest of Beeston Square in a **£30 million** deal for a mixed use and residential building including food and drink outlets and secured a new cinema for the site. This brought in approximately £650,000 of rental income in 2017/18.



Community Safety

New and growing businesses providing more jobs for people in Broxtowe and improved town centres

Reduce the amount of anti-social behaviour in Broxtowe.

4 Public Space Protection Orders to prevent vehicle nuisances, public access and irresponsible dog owners. Over 100 Community Protection Warnings and Notices have helped reduce anti-social behaviour, along with actions such as re-possession of properties and injunctions.

Reduce domestic violence in Broxtowe.

Accredited as part of the White Ribbon Campaign and facilitated free legal advice surgeries for victims of domestic violence and training about dealing with domestic abuse.

The White Ribbon campaign aims to end male violence against women, once and for all by working with men and boys to challenge cultures that lead to harassment, abuse and violence. The Council also raises awareness of domestic violence against men.



Health

People in Broxtowe enjoy longer active and healthy lives.

Increase the number of people who have active lifestyles.

4,990,460 visits to our Leisure Centres, and **3,470** children currently booked on to swimming lessons as part of our leisure company, LLeisure. Bramcote Leisure Centre is the largest single site swim school in the East Midlands.

Work with partners to improve the health of the local population.

18 takeaways signed up to the Healthy Options Takeaway Scheme, new clinics opened to help residents improve their health including stopping smoking and weight management and a Mental Health Working Group has been established.

Reduce alcohol related harm in Broxtowe.

6 Public Space Protection Orders to prohibit alcohol fuelled anti-social behaviour and training sessions held to raise awareness of substance misuse.



Environment

The environment in Broxtowe will be protected and enhanced for future generations.

Reducing litter and fly tipping to make Broxtowe cleaner.

10% decrease in fly tipping incidents, bucking local trends and launched our Clean and Green campaign which has seen **200** residents join Community Clean Teams so far.

Increase recycling, composting and energy renewables/efficiency projects as resources allow.

Over 19,600 residents recycling their garden waste and over **32,000** litres less diesel used by our refuse vehicles.



Maintain and improve the green infrastructure of Broxtowe.

91% of parks now meet our Broxtowe Parks Standard, with plans to improve other sites as part of our £500,000 Pride in Parks scheme – together with external funding, over £783,000 will be invested.

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Joint report of the Chief Executive, the Deputy Chief Executive and the Interim Strategic Director

BUSINESS AND FINANCIAL PLANS – OUTTURN 2018/19

1. Purpose of report

To consider progress against the Business Plans in respect of the Council's priority areas and key support functions and to consider significant variances in the financial outturn against revised budgets for 2018/19.

2. Background

Detailed business and financial plans linked to the five Corporate Plan priority areas of Housing; Business Growth; Environment; Health; and Community Safety and the support service areas of Resources; Revenues, Benefits and Customer Services; and ICT and Business Transformation were approved by the respective Committees in early 2018 as part of the budget setting process.

3. Performance Management

As part of the Council's performance management framework and to meet the commitment to closely align financial and performance management, the Business Plans for the priority areas are considered alongside detailed revenue budget estimates, the capital programme and other financial information. The relevant Committees receive regular reports during the year which review progress against their respective Business Plans. This outturn report provides an overview of progress made towards Corporate Plan priorities and the latest data relating to Critical Success Indicators (CSI), identified as a means by which outcomes relating to priorities and objectives can be measured. This summary is at the appendix.

4. Financial Outturn

A summary of the year-end financial position, together with variations against the budget, is provided in appendices 2A to 2H (one for each corporate priority area and support services). In overall terms there is a net underspending/ additional income of £430,219 on the General Fund and a net overspend / reduction in income of £88,004 on the Housing Revenue Account compared to the revised estimate. The Finance and Resources Committee on 11 July 2019 will consider the overall outturn position.

There has been a review of overspending/reduced income and underspending/ additional income and explanations of the most significant variations are also set out in appendices 2A to 2H for consideration.

Recommendation

The Committee is asked to NOTE the financial and performance outturn for 2018/19, including the reasons for the financial variations as listed at appendices 2A to 2H.

Background papers

Nil

APPENDIX

PERFORMANCE MANAGEMENT

1. Corporate Plan

The Corporate Plan 2016-20, approved by Cabinet on 9 February 2016, sets out the Council's priorities to achieve its vision to make "Broxtowe a great place where people enjoy living, working and spending leisure time." Over this period, the Council will focus on the priorities of Housing, Business Growth, Community Safety, Health and Environment.

The Corporate Plan prioritises local community needs and resources are directed toward the things they think are most important. These needs are aligned with other local, regional and national plans to ensure the ambitions set out in our Corporate Plan are realistic and achievable.

2. Business Plans

The current Business Plans (2018-21) linked to the five corporate priority areas were approved by the respective Committees in January/February 2018.

The Business Plans detail the projects and activities undertaken in support of the Corporate Plan for each priority area. These cover a three-year period but are revised and updated annually. Detailed monitoring of progress against key tasks and outcome measures in the Business Plans is undertaken by the relevant Committee. This includes a detailed annual report where performance management and financial outturns are considered together following the year-end as part of the Council's commitment to closely align financial and performance management.

3. Performance management framework

As part of the Council's performance management framework, this Committee receives a high level report of progress against Corporate Plan priorities on a quarterly basis. The report provides a summary of the progress made to date towards achieving the corporate priorities and objectives. It also provides the latest data relating to Critical Success Indicators (CSI), which have been identified as a means by which outcomes relating to corporate priorities and objectives can be measured.






Further operational performance data, such as Key Performance Indicators (KPI) and Management Performance Indicators (MPI) are monitored by the respective Committee and/or General Management Team/Senior Management Team as appropriate.






The progress made towards achieving the Councils objectives by each of the five priorities, and support services are considered separately below. This report focuses on progress towards completing key tasks and actions during 2018/19 and the year-end position of Critical Success Indicators (CSI).

The tables below provide a summary for each of the priority services and support services.







The Council monitors its performance using the Pentana Risk performance management system. Members have been provided with access to the system via a generic user name and password, enabling them to interrogate the system on a 'view only' basis. Members will be aware of the red, amber and green traffic light symbols that are utilised to provide an indication of performance at a particular point in time.






The key to the symbols used in the Pentana Risk Performance reports is as follows:







Action Status Key		
	Completed	The action/task has been completed
	In Progress	The action/task is in progress and is currently expected to meet the due date
	Warning	The action/task is approaching its due date (and/or one or more milestones is approaching or has passed its due date)
	Overdue	The action/task has passed its due date
	Cancelled	This action/task has been cancelled or postponed

Key Performance Indicator and Trends Key	
	Alert
	Warning
	Satisfactory
	Unknown
	Data Only






Housing Business Plan – Key Tasks and Areas for Improvement 2018/19

Status	Action Code	Action Title	Action Description	Progress	Due Date	Comments
	HS1520_10	Enhanced Housing Needs Analysis	Housing Needs Analysis	100%	31-Mar-2019	A report on the study of Social and Affordable Housing Need was presented to Housing Committee on 4 December 2018.
	HS1520_20	Update of empty homes strategy	Update of empty homes strategy	33%	30-Sep-2019	Action has not progressed as anticipated due to other priorities. Mandatory HMO licencing was extended which significantly increased work in this area. Additional resource was granted to support the team and recruitment is underway.
	HS1520_23	IT system improvements	Actions & Pls IT system improvements	100%	31-Dec-2018	Capita Open Housing Project is being delivered to target. Phase 1 went live in December 2018. Phase 2 implementation including Right to Buy, Service Charges and Planned Maintenance to be completed by June 2019.
	HS1520_29	Produce a Housing New Build Delivery Plan	Add to Social Housing Stock; Produce Affordable Homes to rent	100%	31-Oct-2018	Draft housing delivery plan presented to Housing Committee in June 2019.
	HS1520_30	Have a pipeline of schemes to produce more housing in Broxtowe to put forward for funding opportunities	Attract more resources to deliver houses in Broxtowe	91%	31-Mar-2019	A Housing Delivery Plan was approved by Housing Committee in June 2019.
	HS1520_31	Implement findings of Retirement Living Review	Following approval by Housing Committee changes are made to adapt the Retirement Living Service to improve support to older people living in Broxtowe.	100%	31-Mar-2019	A Training Plan for the Independent Living Team has been delivered. The new service was launched in December 2018. Residents are being kept informed via regular newsletters and meet the manager sessions.







Status	Action Code	Action Title	Action Description	Progress	Due Date	Comments
Housing Business Plan – Key Tasks and Areas for Improvement 2018/19						
	HS1520_32	Introduce a Leaseholder Service	Implement an effective service for leaseholders following appointment of a new Leaseholder Officer	100%	31-Dec-2018	The Leasehold Management Policy was approved by Housing Committee in March 2018. A procedure has been written to manage the process for major works.
	HS1520_33	Introduction of Tenancy Sustainment Service	Tenancy Sustainment Officer and Financial Inclusion Officer will provide a new service to encourage tenancy sustainment	100%	31-Dec-2018	The Tenancy Sustainment Service commenced in March 2018. Both the Financial Inclusion Officer and Tenancy Sustainment Officer have full caseloads and have supported over 10 residents with a variety of complex issues. A performance management framework is being introduced to monitor service outcomes. The Financial Inclusion Officer has brought in additional rent owed. This has been achieved by ensuring tenants are obtaining the benefits they are entitled to.
	HS1520_34	Implement changes due to Homelessness Reduction Act	Homelessness services will be improved and compliant with the Homelessness Reduction Act	100%	30-Jun-2018	The Homelessness team have reviewed and adapted their procedures to meet the new requirements of the Homelessness Reduction Act. This involves offering more advice and support and more early intervention work.
	HS1520_35	Review of Policies and Procedures	Policies and Procedures will be reviewed and amended in accordance with legislation and good practice	100%	31-Dec-2018	All policies and procedures in Housing have been reviewed and updated when necessary.
	HS1520_36	All contracts in Housing will be reviewed and retendered if necessary	Value for Money Assurance	100%	30-Jun-2018	All contracts have been reviewed and a timetable for retendering developed




Status	Action Code	Action Title	Action Description	Progress	Due Date	Comments
Housing Business Plan – Key Tasks and Areas for Improvement 2018/19						
	HS1520_37	An updated Tenancy Agreement will be introduced including the use of introductory tenancies	Stable peaceful communities High Tenant Satisfaction	100%	31-Mar-2019	A consultation took place with all tenants about changes being made to the secure tenancy agreements. To avoid having two agreements running concurrently, the Council will implement the new tenancies when the consultation period is complete and final amendments to the secure tenancy agreement are agreed by Housing Committee.
	HS1520_38	Develop a new strategy for resident involvement	Residents engaged and influence service delivery	94%	31-Dec-2018	New Engagement Strategy was approved at Housing Committee in June 2019.
	HS1520_39	New policies and procedures for Repairs	Implement new policies/procedures resulting in improved first time fixes and improved satisfaction	100%	31-Mar-2019	New Gas and Electric Policies approved by Housing Committee. These are supplemented by updated procedures.
	HS1520_40	Following the approval of the Void Management Policy new procedures will be implemented	Reduced Void times Higher tenant satisfaction	100%	31-Mar-2019	New procedures have been implemented.
	HS1520_41	Following the approval of a new Allocations Policy new procedures will be implemented	Reduced Void times Higher tenant satisfaction	100%	31-Mar-2019	New procedures have been implemented.
	HS1520_42	Consideration of introduction of licensing controls for Private Sector Housing	Stable peaceful mixed neighbourhoods	100%	31-Dec-2018	Completed.

Housing Business Plan - Critical Success Indicators 2018/19








Status	Code & Short Name	2017/18 Outturn	2018/9 Outturn	2018/19 Target	Trend	Latest Note
	HSLocal_11_BV64 No of private sector vacant dwellings that are returned into occupation or demolished	54	34	25	Positive	Target exceeded. The team has consistently delivered more than 30 dwellings each year since 2014.
	HSTOP10_02 Gas Safety	100%	99.9%	100%	Positive	Full compliancy was achieved in 10 months (out of 12). It is anticipated that with the upgrade of the Capita system and improvements in gaining access, a high level of gas safety compliancy will be maintained.
	HSTOP10_10 Tenancy Turnover	7.16	7.20	6.96	Stable	There were 321 tenancy terminations during the year. The main reasons for terminations were death (84 terminations), transfer (71) and moved to care/nursing home (47).
	NI 154 Net additional homes provided	324	350	430	Positive	The Part 2 Local Plan is anticipated to be adopted in September 2019. This will make available further sites to reinforce this positive trend. To assist in monitoring the impact data for this PI will be tracked monthly from April 2019.
	NI 159 Supply of ready to develop housing sites	78%	100%	100%	Positive	The 100% housing supply relates to the likely adoption date of the Part 2 Local Plan in September 2019. This will fully address the five-year housing land supply shortage. There are number of sites allocated which are expected to come forward for development within two years of the adoption of the Local Plan. There is regular dialogue with developers, house builders, economic development colleagues and external funding providers, to unlock the more difficult to develop sites and these efforts are already showing signs of success.

Business Growth Business Plan – Key Tasks and Areas for Improvement 2018/19






Status	Pentana Code	Action Title	Action Description	Progress	Due Date	Comments
	CP1417_02	Stapleford Gateway site	Redevelopment of the Stapleford Gateway site	33%	31-Dec-2020	Stapleford Working Group was held in February 2019. A follow up meeting will discuss this and other Stapleford sites. The Stapleford Gateway Plan is being drafted to maximise regeneration potential for Stapleford. Consultation on the draft plan will be undertaken.
	BG1620_05	Support tram extension to the HS2 station and transport infrastructure work in the wider region.	Support tram extension to the HS2 station and transport infrastructure work in the wider region.	50%	31-Mar-2020	The Planning Service has focused on preparing the Part 2 Local Plan. This work is approaching its conclusion. Specialist consultants appointed to assist with information gathering.
	BG1620_08	Report to Members to enable consideration of undertaking a CIL charging Schedule	Report to Members to enable consideration of undertaking a CIL charging Schedule	0%	31-Oct-2019	Viability evidence is to be considered as part of Part 2 Local Plan examination. Following this a report will be brought to committee to consider the merits of a CIL with the up to date viability evidence following consideration by the Local Planning Inspector.
	BG1620_09	Redevelopment of Beeston Square - Phase 2	Redevelopment of Beeston Square - Phase 2	61%	31-Dec-2020	Subject to finalisation of commercial agreements work is expected to start on site late summer 2019.
	BG1821_01	Hold a Developer Forum to unblock obstacles to development	Forums to unblock obstacles to development to secure a 10%year on year upturn in housing completions.	50%	31-Mar-2020	A working group for Stapleford has been established. The Stapleford Working Group has been held, and further dates are being arranged.
	JBG1417_04	Promote benefits of Apprenticeships	Hold at least two events each with employers promoting the benefits of apprenticeships.	50%	31-Mar-2019	Biannual events being held. Eastwood Jobs Club held monthly giving opportunities for apprentices.





Status	Pentana Code	Action Title	Action Description	Progress	Due Date	Comments
Business Growth Business Plan – Key Tasks and Areas for Improvement 2018/19						
	JBG1417_05	Develop a Borough wide incentive scheme for employers	Work with partners to leverage investment and develop a borough-wide incentive scheme for employees	75%	31-Mar-2019	Two events are held each year.
	BG P2LP	Part 2 Local Plan	Prepare, Publish, Consult, Submit and Adopt Part 2 of the Local Plan	61%	31-May-2019	Plan submitted in August 2018. The next stage will be Public Hearings held in December 2018.
	JBG1518_06	Neighbourhood Plans	Assist in the preparation of Neighbourhood Plans	31%	31-May-2019	10 Neighbourhood Plans in preparation. Nuthall Neighbourhood Plan voted through at a Referendum on 13 December 2018.

Business Growth – Critical Success Indicators 2018/19







Status	Code & Short Name	2017/18 Outturn	2018/19 Outturn	2018/19 Target	Trend	Latest Note
	ERLocal_02 Employment Land Take Up	4,257	TBC	TBC	TBC	
	ERLocal_03 Number of planning applications approved for employment development (Class B1, B2 or B8)	-	TBC	TBC	TBC	
	TCLocal_01a Percentage of town centre units occupied: Beeston	94%	94.6%	92%	Stable	Latest figures May 2019 = 94.6%
	TCLocal_01b Percentage of town centre units occupied: Kimberley	95%	92.3%	92%	Positive	Latest figures May 2019 = 87.7%
	TCLocal_01c Percentage of town centre units occupied: Eastwood	91%	88.8%	92%	Negative	Latest figures May 2019 = 87.5%
	TCLocal_01d Percentage of town centre units occupied: Stapleford	83%	86.2%	92%	Positive	Latest figures May 2019 = 86.4%
	TCLocal_05 New Retail/Commercial floor space provided within in Town Centres	-	-	-	-	There have been no new units built in the Town Centres, and no units have expanded. This is in line with emerging planning policy which proposes to amend and shrink the Town Centre boundaries in certain locations to increase their long term viability.

Environment Business Plan – Key Tasks and Areas for Improvement 2018/19








Status	Pentana Code	Action Title	Action Description	Progress	Due Date	Comments
	ENV1518_04	Approve Green Infrastructure Strategy and Implement Key Actions	Implement the key actions in the Green Infrastructure Strategy	100%	31-Mar-2019	Annual review of primary and secondary sites completed with works actioned as appropriate.
	ENV1620_04	Franchises and licensing within Parks and Open Spaces	Franchises and licensing within Parks and Open Spaces	90%	31-Mar-2019	Sponsorship of floral bedding has been reviewed. Sponsorship opportunities for facilities within the Parks and Green Spaces continue to be explored.
	ENV1720_01	Strategic Tree Planting	Continue to apply a strategic approach to tree management and planting. Work with partners, land owners and other agencies	97%	31-Dec-2019	A new Tree Planting Strategy was adopted in 2018/19. This year's tree planting programme was launched at Broadgate Park on 24 October 2018 as part of the Clean and Green Campaign.
	ENV1720_02	Review of Trade Waste Service	Establish the cost of providing a trade waste service	100%	31-Mar-2019	The review of the Trade Waste Service has been completed following the implementation of the revised collections rounds. Savings have been achieved following the rescheduling and the analysis suggests that the trade waste service makes a positive contribution towards the overall refuse service.
	ENV1821_01	Consider the introduction of charging for replacement/ lost/ stolen bins	Increased income generation and releasing of resources to undertake priority work	100%	31-Mar-2019	Data analysis was undertaken. Decision reached that any change to the current process would not be cost effective. No further work undertaken and this task will not continue.

Status	Pentana Code	Action Title	Action Description	Progress	Due Date	Comments
Environment Business Plan – Key Tasks and Areas for Improvement 2018/19						
	ENV1821_02	Investigate and undertake appraisal of an integrated management system capable of managing work schedules of Grounds Maintenance, Street Cleansing and Refuse	To implement a single management system which will manage the work schedules of Grounds Maintenance, Street Cleansing and Refuse.	100%	31-Mar-2019	Different systems assessed to determine their suitability for use within Environmental Services. The exercise has shown that an upgrade of the current Bartec system, together with further investigations into the capabilities of other systems currently in use within the Council, offers the most efficient option for managing Environmental Services.
	ENV1821_03	Improve Play Areas and Parks & Open Spaces	Ensure sites are Health & Safety and DDA Compliant	50%	31-Mar-2020	All year 1 schemes as part of the £500k initiative have been completed or are in progress. Year 2 schemes are currently being designed.
	GREEN0912_14	Further Develop sites with Local Nature Reserve status	Management Plans updated	100%	31-Mar-2019	Management Plans for Alexandria Plantation and Sandy Lane Local Nature Reserves are now complete and available on the website.
	ENV1518_01	Review the Carbon Management Plan	Review of the Carbon Management Plan	40%	31-Oct-2018	The finance available for 'Invest To Save' initiatives has reduced and affordable schemes which have the required level of payback have already been identified and implemented to save energy costs, there is less requirement for this plan to be produced.

Environment – Critical Success Indicators 2018/19

Status	Code & Short Name	2017/18 Outturn	2018/19 Outturn	2018/19 Target	Trend	Latest Note
	NI 192 Percentage of household waste sent for reuse, recycling and composting	38.82%	38.48%	40.15%	Negative	Total recyclables collected increased by 392 tonnes and residual waste collected has increased by 963 tonnes. Overall the recycling rate has seen a small reduction. This has trend has been experiences across the County.
	NI 196 Improved street and environmental cleanliness – fly tipping	2	4	2	Negative	There has been a slight increase in the overall amount of fly tipping. However, there has been a significant reduction in the number of incidents in the second half of the year compared to the first half suggesting that activities as part of the Clean and Green Initiative to address fly tipping are having a positive effect. Improved performance is expected with the continuation of the Clean and Green initiatives in 2019/20 and will be closely monitored.
	PSData_07 Number of local Nature Reserves	15	15	15	Stable	Nature reserves are being maintained effectively with two management plans updated in 2018/19.
	PSData_09 % of Parks achieving Broxtowe Parks Standard	94%	92%	98%	Negative	Four parks failed to achieve the standard (compared to three in 2017/18).
	SSData_01 Number of fly tipping incidents investigated and removed	344	359	414	Negative	There has been an increase in the amount of fly tipping, although this is below the estimated 380 incidents predicted part way through the year. A reduction in incident numbers in the second half of the year suggesting that the activities as part of the Clean and Green initiative to address fly tipping are having a positive effect. Further Clean and Green activities should result in a reduction in the overall number of fly tipping incidents in 2019/20.
	CPLocal_03 Energy consumption across all operational sites - total kWh gas and electric ('000)	6,340 (Revised from 8,902)	6,581	8,448	Negative	The sale and repurposing of properties has meant a long term reduction in energy consumption from 8,000 plus although there was a small increase in 2018/19.









Community Safety Business Plan – Key Tasks and Areas for Improvement 2018/19

Status	Action Code	Action Title	Action Description	Progress	Due Date	Comments
	COMS1620_11	Develop and deliver 2018 Neighbourhood Action Plan for Eastwood South	Users Report - Actions & Pls Develop and deliver a Neighbourhood Action Plan for Eastwood South	100%	31-Mar-2019	Eastwood South plan produced. All actions completed by 31 March 2019.
	COMS1720_04a	Deliver the ASB Action Plan	Deliver the cross Departmental ASB Action Plan	100%	31-Mar-2018	Plan in process of being refreshed for 2019-21.
	COMS1821_03	Develop and produce South Notts Community Safety Guide	Community Safety Information readily available in respect of the three boroughs in South Notts	33%	30-Apr-2019	Publishing issue delaying production.
	COMS1821_09	Create a risk rating system for licensed premises	Targeted inspection and enforcement of regime for licensed premises	100%	31-Oct-2018	Completed 31 March 2019.
	COMS1821_11	Transfer Scrap Metal Dealers functions to Licensing Section	Licensing and Enforcement function appropriately located	66%	31-Mar-2019	Action plan produced. Training for staff completed in April 2019. Completion expected by 31 July 2019.
	COMS1821_15	Review of Authority's policy on toilet provision in cafes and restaurants	Production of approved policy on toilet provision in cafes and restaurants	50%	31-Mar-2019	Assessing premises that will be specifically affected by any changes. Policy options to be reviewed following further legal advice on cases progressing.
	COMS1821_08	Undertake a feasibility study on introducing wheelchair accessible taxi fleet	Taxis in the borough are wheelchair accessible	40%	31-Mar-2020	Preliminary stages of study underway.







Status	Action Code	Action Title	Action Description	Progress	Due Date	Comments
Community Safety & Health Business Plan – Key Tasks and Areas for Improvement 2018/19						
✓	COMS1620_16_c	Develop and deliver 2018 Action Plans for Broxtowe Strategic Partnership	Users Report - Actions & PIs Develop and deliver Action Plans for Broxtowe Strategic Partnership	100%	31-Oct-2018	Report presented to Local Strategic Partnership Board on 24 October 2018.
✓	COMS1620_19	Review Alcohol Licensing Policy	Review Alcohol Licensing Policy	100%	31-Mar-2019	Approved by Full Council 19th December 2018.
✓	COMS1720_01	ECINs case management for ASB cases	Implement the ECINs case management and data sharing system for all anti-social behaviour cases referred to Council departments.	100%	30-Sep-2017	E-learning courses on Broxtowe Learning Zone launched in January 2018.
✓	COMS1720_03	Sex Establishment Policy	Sex Establishment Policy	100%	31-Mar-2019	Approved by Licensing and Appeals Committee on 11 December 2018.
✓	COMS1821_01	Deliver Actions to support the White Ribbon Campaign	Increased awareness/knowledge of domestic abuse amongst residents and professionals and accreditation for the Council	100%	31-Dec-2019	Actions for 2018/19 completed. Being refreshed for 2019/21.
✓	COMS1821_02	Review of Dog Control provisions	Agree policies to enable appropriate control of dogs and their behaviour	100%	31-Dec-2019	Report presented to Community Safety Committee 15 November 2018.
✓	COMS1821_04	Develop Mobile Working platform for Neighbourhood Wardens	More efficient use of time and resources	100%	30-Jun-2018	Completed September 2018.


Status	Action Code	Action Title	Action Description	Progress	Due Date	Comments
Community Safety & Health Business Plan – Key Tasks and Areas for Improvement 2018/19						
✓	COMS1821_05	Relocate Neighbourhood Wardens to Beeston Office	More efficient use of Officer and Management time	100%	30-Jun-2018	Neighbourhood Wardens now co-located with Police at Foster Avenue.
✓	COMS1821_06	Review Safeguarding Adults Policy	Ensure the Council has a fit for purpose Safeguarding Adults Policy	100%	30-Nov-2018	Approved by Community Safety Committee on 15 November 2018.
✓	COMS1821_07	Review Safeguarding Children Policy	Ensure the Council has a fit for purpose Safeguarding Children Policy	100%	30-Nov-2018	Approved by Community Safety Committee 15 November 2018.
✓	COMS1821_10	Review the authority's Statement of Gambling Act Statement of Principles	Ensure the authority has a "fit for purpose" Statement of Principles in respect of the Gambling Act"	100%	31-Jan-2019	Approved by Full Council on 19th December 2018.
✓	COMS1821_12	Complete Action Plan requirements following Food Standards Agency Audit	Compliance with food hygiene enforcement requirement	100%	30-Apr-2018	Action plan signed off by Food Standards Agency but need to continue to meet code of practice requirements for inspection frequency and internal monitoring on an ongoing basis.
✓	COMS1821_13	Produce Food Service Plan	Authority has a "fit for purpose" Food Service Plan" which informs activity in this area	100%	30-Jun-2018	Approved by Community Safety Committee on 15 November 2018.
✓	COMS1821_14	Produce DEFRA Annual Air Quality Status Report	Authority has a "fit for purpose" Air Quality Status Report highlighting current status and potential actions.	100%	30-Jun-2018	Reported approved by DEFRA on 23 July 2018.

Community Safety – Critical Success Indicators 2018/19





Status	Code & Short Name	2017/18 Outturn	2018/19 Outturn	2018/19 Target	Trend	Latest Note
	ComS_085 Alcohol related referrals to Change-Grow-Live	93	103	100	Positive	
	ComS_085a Successful Outcomes from referrals to Change-Grow-Live	61	94	100	Positive	
	ComS_012 Number of ASB cases received by Environmental Health	564	480	541	Positive	Reduction in ASB cases reported.
	ComS_013 No of ASB cases received by Housing (gen Housing)	152	191	145	Negative	Increase in number of ASB cases reported. This is partly due changes in recording practices. Previously complainants contacting the Council for advice where no further action was requested were logged as Tenancy Notes. These contacts are now logged as a new case.
	ComS_014 Number of ASB cases received by Community Services	32	40	145	Negative	Increase in number of ASB cases reported may be due in part to awareness training.
	ComS_011 Number of ASB Incidents	2,875	2,011	2,126	Positive	The aim to reduce ASB incidents has been achieved. The numbers have decreased to lower levels than the target.
	ComS_024 (%) of repeat Broxtowe high risk DV cases reported to MARAC South	22%	24% (20 cases)	-	Negative	There has been a slight increase from the previous year.
	ComS_025 Number of domestic crimes in Broxtowe borough	516	834	550	Negative	Possible contributory factors include increased confidence from victims in reporting to police (positive factor); the long/hot summer (negative); and England's extended run in the football World Cup (negative) with alcohol likely to have played a significant part in the negative factors.

Resources – Key Tasks and Areas for Improvement 2018/19







Status	Action Code	Action Title	Action Description	Progress	Due Date	Comments
	CP1620_01	Pursue tram compensation claim	Pursue tram compensation claim	50%	31-Oct-2019	Compensation payments have recently reached over £1.7m with further negotiations on-going.
	FP1720_02	Participate in a countywide procurement exercise for merchant services (card processing)	Research and source a low cost service for merchant services in accordance with the Council's requirements	0%	31-Mar-2020	Due to the delays in the joint procurement exercise, the Council intends to conduct its own tender exercise for Merchant Services in 2019/20 using cost information that has been collated.
	HR0912_01	Implementation Core Abilities Framework and Performance Appraisal (PA) system across workforce with Broxtowe Learning Zone (BLZ)	Ensure Council has highly developed employees who are competent to undertake their role and managers who can lead teams effectively in accordance with service/ corporate objectives	100%	31-Dec-2017	Rolled out in full - all Performance Appraisals completed by 31 March 2018.
	HR1417_03	Review of payroll processes to introduce electronic forms	Review of payroll processes to introduce electronic forms	90%	31-Mar-2018	E-forms for mileage claims went live April 2018.
	HR1518_01	Member learning and development programme through Broxtowe Learning Zone	Provide flexible development opportunities form members through BLZ	100%	31-Mar-2018	Completed.
	HR1620_01	Review opportunities for shared HR working with other local authorities	Review opportunities for shared HR working with other local authorities	100%	31-Mar-2018	No current opportunities identified, though these will continue to be reviewed.

Status	Action Code	Action Title	Action Description	Progress	Due Date	Comments
	LA1620_02	Reduce sundry debtors backlog	Reduce sundry debtors backlog	100%	30-Apr-2019	Target to reduce backlog achieved. Reduced £168,177 (April 2018) to £ 63,891 at March 2019. A process to manage debts more effectively has been agreed across services to enable the Council to maintain lower levels of debt. This will be embedded during 2019/20 with regular review meetings.




Resources - Critical Success Indicators 2018/19

Status	Code & Short Name	2017/18 Outturn	2018/19 Outturn	2018/19 Target	Trend	Notes
	BV8 Creditor invoices paid within 30 days of receipt	99.5%	96.6%	99.0%	Negative	Target not achieved.
	BV12 Working Days Lost Due to Sickness Absence (rolling annual figure)	13.6	8.7	7.5	Improving	8.3 days at April 2019
	LALocal_07 Complaints determined by the Local Government/Housing Ombudsman against the Council	2	5	0	Negative	2016/17 = 6. The number of complaints determined by Ombudsman is less than 5 years ago.
	LALocal_12 Freedom of Information requests dealt with within 20 working days	95%	97%	100%	Improving	ICO guidance suggests a target of 85% of requests being sent a response within the appropriate timescales is acceptable. Exceeding the ICO target.



Revenues, Benefits and Customer Services Key Tasks and Areas for Improvement 2018/19



Status	Action Code	Action Title	Action Description	Progress	Due Date	Comments
	RBCS1620_01	Manage the introduction of Universal Credit (UC)	Manage the introduction of Universal Credit (UC)	50%	31-Mar-2020	Universal Credit full roll took place on 14 November 2018 at Beeston Job Centre. All new claims for benefit after this date will be expected to apply for Universal Credit. Existing benefit claimants will remain on their current benefits.
	RBCS1620_03	Replace the current CRM system (Meritec)	Replace the current CRM system (Meritec)	75%	31-Jul-2019	Over recent weeks, the project has developed significantly with a clear definition of roles and responsibilities as well as a project plan. It is expected that go live will be July 2019.
	RBCS1620_05	Widen the use of e-forms	Widen the use of e-forms	98%	31-Jul-2019	Implementation date delayed to July 2019 allowing further testing. E-forms are continuing to be developed.
	RBCS1620_08	Implement the pre-eviction protocol for rent areas and the actions arising from the KPMG report	Implement the pre-eviction protocol for rent areas and the actions arising from the KPMG report	100%	30-Apr-2017	Action is deemed complete.
	RBCS1720_01	Develop a greater integrated Revenues and Benefits Department with Erewash BC`	Integrated service where the Revenues and Benefits service, between the two Councils, is working together	100%	31-Mar-2019	The Council has decided not to develop the integrated service with Erewash in respect of Revenues and Benefits.
	HS1520_43	Reduce rent arrears whilst planning for the introduction of Universal Credit	Reducing levels of rent arrears	60%	31-Mar-2019	The Income Collection Team reduced rent arrears in advance of Universal Credit roll out in November 2018.

Revenues and Benefits Critical Success Indicators 2018/19



Status	Code & Short Name	2017/18 Outturn	2018/19 Outturn	2018/19 Target	Trend	Latest Note
	BV9 Council Tax collected	98.5%	98.5%	98.4%	Stable	Council Tax collection rates have continued to improve. Over the last three years the rate of collection has been maintained at 98.5% (2018/19), 98.5% (2017/18), 98.5% (2016/17).
	BV10 Non-domestic Rates Collected	98.8%	99.1%	98.7%	Improving	The collection of Non-Domestic Rates is currently at its highest rate ever of 99.06%.
	BV66a Rent Collection: Rent collected as a proportion of the rent owed	98.2%	99.9%	99.0%	Improving	Collection rates are within target.

ICT and Business Transformation – Key Tasks and Areas for Improvement 2018/19

Status	Action Code	Action Title	Action Description	Progress	Due Date	Comments
	IT1819_01	Digital Strategy Implementation	Implementation of the technology and processes required to enable effective integration between front and back office systems on a principle of Digital by Default.	100%	31-Mar-2019	
	IT1819_14	ICT Security Compliance	PCI-DSS & Government Connect - Maintain compliance with latest Security standards and support annual assessments.	100%	31-Mar-2019	

Status	Action Code	Action Title	Action Description	Progress	Due Date	Comments
ICT and Business Transformation Business Plan – Key Tasks and Areas for Improvement 2018/19						
	IT1819_17	E-Facilities	Purchase and implement the necessary hardware and software to develop the Council's Mobile Working facilities. Including pilot projects to trial available mobile working facilities to continue development of the Council's e-facilities.	100%	31-Mar-2019	
	IT1819_20	Housing System - Enhancements	Project to provide necessary resource to assist the upgrade of the Capita Open Housing system and implement the Total Mobile working solution	100%	31-Mar-2019	

ICT and Business Transformation Critical Success Indicators 2018/19

Status	Code & Short Name	2017/18 Outturn	2018/19 Outturn	2018/19 Target	Trend	Latest Note
	ITLocal_01 System Availability	99.6%	99.8%	99.5%	Improving	The level of availability of systems has been maintained.
	ITLoal_05 Virus Protection	100%	100%	100%	Stable	All viruses were blocked with no business impact.

HOUSING
GENERAL FUND SUMMARY

Cost Centre	Revised Estimate 2018/19 £	Actual 2018/19 £	Variation	
			£	%
Hostel Accommodation	(44,350)	(58,571)	(14,221)	32.1
Hostel Management	27,150	25,242	(1,908)	(7.0)
Homelessness GF	292,650	201,932	(90,718)	(31.0)
Housing Strategy	71,100	49,626	(21,474)	(30.2)
Registered Social Landlords	7,300	7,032	(268)	(3.7)
Housing Advice	2,700	3,036	336	12.4
Miscellaneous Housing	(34,800)	(3,432)	31,368	(90.1)
Total Housing	321,750	224,866	(96,884)	(30.1)

**VARIANCES BETWEEN ACTUAL AND ESTIMATED INCOME
AND EXPENDITURE 2018/19**

GENERAL FUND HOUSING

Comments	Revised Estimate 2018/19 £	Actual 2018/19 £	Variation	
			£	%
Homelessness GF	292,650	201,932	(90,718)	(31)
There was an underspend of £90,455 on homelessness initiatives to be met from Flexible Homelessness Support Grant and new burdens funding in respect of the Homelessness Reduction Act. These initiatives will be progressed in 2019/20 using the funding of £68,381 set aside in the Homelessness Grant Initiatives reserve.				
Housing Strategy	71,100	49,626	(21,474)	(30)
Finance and Resources Committee on 12 July 2018 agreed to carry forward a budget of £50,000 from 2017/18 into 2018/19 to meet the cost of consultants working on the Housing Delivery Plan. Expenditure incurred in 2018/19 was £29,598. The Housing Delivery Plan was considered by the Housing Committee on 5 June 2019.				
Miscellaneous Housing	(34,800)	(3,432)	31,368	(90)
The Central Support Re-Charge in respect of Independent Living was £88,376 as opposed to a budget of £47,750 reflecting a greater than anticipated level of activity in this area.				

HOUSING REVENUE ACCOUNT SUMMARY

	Revised Estimate 2018/19 £	Actual 2018/19 £	Variation £	%
<u>HOUSING REVENUE ACCOUNT</u>				
<u>Expenditure</u>				
Employees	3,979,500	3,468,371	(511,129)	(12.8)
Premises	1,038,500	794,590	(243,910)	(23.5)
Transport	114,800	135,254	20,454	17.8
Supplies and Services	1,680,700	1,824,577	143,877	8.6
Other Expenditure	523,750	607,503	83,753	16.0
Central Support Services	3,838,500	3,650,983	(187,517)	(4.9)
Capital	7,976,650	8,112,061	135,411	1.7
	19,152,400	18,593,339	(559,061)	(2.9)
<u>Income</u>				
Income	(19,380,950)	(18,733,885)	647,065	(3.3)
	(19,380,950)	(18,733,885)	647,065	(3.3)
Total Housing Revenue Account	(228,550)	(140,546)	88,004	(38.5)

**VARIATIONS BETWEEN ACTUAL AND ESTIMATED INCOME
AND EXPENDITURE 2018/19**

HOUSING REVENUE ACCOUNT

Comments	Revised Estimate 2018/19 £	Actual 2018/19 £	Variation £	%
<p>Employees</p> <p>There were a number of significant underspends in specific areas due to vacant posts including Housing Repairs (£266,000), Independent Living (£187,000) and Housing Administration (£115,000).</p> <p>Vacant posts in Housing Operations, Estate Caretakers, Allocations and Housing Strategy resulted in a total underspend on employee costs in these areas of £153,000.</p> <p>There was also a total underspend of £135,000 in respect of the Director of Housing, Leisure and Property Services post (deleted by Policy and Performance Committee on 12 December 2018).</p> <p>The above vacant posts also resulted in a requirement of agency staff in Housing Repairs costing £72,000 and in Independent Living costing £99,000</p> <p>There were also additional overtime costs of £17,000 and £6,500 in Housing Repairs and Independent Living respectively.</p>	3,979,500	3,468,371	(511,129)	(13)
<p>Premises</p> <p>Fire safety and external redecoration work for which budget had been provided were instead charged to the capital programme resulting in an underspend of £284,000.</p>	1,038,500	794,590	(243,910)	(23)

<p>There was an underspend of £136,200 on internal decoration, furniture and communal areas in Independent Living properties that was partly offset by an overspend on utility (primarily electricity) costs of £79,350 in these properties as well as additional lift maintenance expenditure of £11,900.</p> <p>There was an overspend of £35,000 on estates related activities including clearance and community based work as well as additional legionella testing work costing £15,650 following a detailed stock review exercise and additional costs for smoke and fire alarms and lifeline equipment totalling £31,350.</p> <p>Additional grounds maintenance charges of £13,650 were incurred that were partly offset by a reduction of £10,200 in vandalism and general repairs and maintenance costs.</p>				
Transport	114,800	135,254	20,454	18
<p>There were additional vehicle maintenance and fuel costs totalling £20,450.</p>				
Supplies and Services	1,680,700	1,824,577	143,877	9
<p>Additional stores purchases amounted to £216,300 but this was largely offset by a reduction in direct materials purchases of £180,000.</p> <p>There were additional sub-contractors costs of £151,350 due to the vacant posts in Housing Repairs referred to previously.</p> <p>A review of the work carried out by Grounds Maintenance employees to establish a more appropriate charge to the Housing Revenue Account for this activity resulted in an additional cost of £99,700.</p>				

There was an overspend of £25,000 on waste disposal costs as well as an increase of £28,500 in the provision for bad debts. These were largely offset by an underspend of £17,800 on consultancy costs associated with the review of Independent Living (most of the work was undertaken in the previous year) and the fact that the £30,000 contingency was not utilised.				
Whilst additional council tax charges of £36,350 were incurred due to an increase in the periods when properties were unoccupied, this was more than offset by a saving of £49,650 on insurance costs due to lower premiums and a reduction in the number and value of claims received in the year.				
There were also underspends of £15,950 on cleaning costs following a change in contractor and £10,550 on tools and equipment.				
Other Expenditure	523,750	607,503	83,753	16
A review of the work carried out by Grounds Maintenance employees to establish a more appropriate charge to the Housing Revenue Account for this activity resulted in an additional cost of £112,800.				
Central Support Services	3,838,500	3,650,983	(187,517)	(5)
Central support recharges into the Housing Revenue Account were less than had been anticipated. This is also reflected in a reduced amount charged out by the Housing Revenue Account as shown under Income below.				
Capital	7,976,650	8,112,061	135,411	2

<p>The recharge of external interest costs to the Housing Revenue Account was £162,000 larger than anticipated due to it having a greater share of the Council's external loans in 2018/19 than had been budgeted.</p>				
<p>Income</p>	(19,380,950)	(18,733,885)	647,065	(3)
<p>Housing rent income was £305,550 less than the budget due to a greater number of properties being sold during the year (37) than had been anticipated and to loss of revenue arising from empty properties.</p>				
<p>Additional VAT of £33,150 was payable to HMRC in respect of garage rent income from non council house tenants.</p>				
<p>Recharges out of the Housing Revenue Account were £324,000 less than anticipated reflecting, in part, the reduction in Central Support Services outlined above.</p>				

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BUSINESS GROWTH
SUMMARY

Cost Centre	Revised Estimate 2018/19 £	Actual 2018/19 £	Variation	
			£	%
Directorate of Planning & Development	0	0	0	0.0
Planning - Management	(7,000)	0	7,000	(100.0)
Planning - Central Support	0	0	0	0.0
Planning - Development/Policy	8,450	6,335	(2,115)	(25.0)
Development Control	216,000	202,881	(13,119)	(6.1)
Planning Policy	506,350	333,932	(172,418)	(34.1)
Industrial Development	(100,390)	(149,110)	(48,720)	48.5
Craft Centre Complex	2,850	1,754	(1,096)	(38.5)
Economic Development	398,450	341,272	(57,178)	(14.4)
Car Parks - Surface	34,450	14,738	(19,712)	(57.2)
Total Business Growth	1,059,160	751,802	(307,358)	(29.0)

**VARIATIONS BETWEEN ACTUAL AND ESTIMATED INCOME
AND EXPENDITURE 2018/19**

BUSINESS GROWTH

Comments	Revised Estimate 2018/19 £	Actual 2018/19 £	Variation	
			£	%
Planning Policy	506,350	333,932	(172,418)	(34)
<u>Employees Costs</u>				
There was an underspend of £93,215 on employee costs primarily as a consequence of the costs being less than anticipated when the budget was set.				
<u>Neighbourhood Planning Support</u>				
This budget was established to support town and parish councils undertake work to produce Neighbourhood Plans. Expenditure incurred in 2018/19 totalled £13,159 against a budget of £43,000. Further work is planned in 2019/20 and the Finance and Resources Committee will be asked on 11 July 2019 to approve a carry forward request of £29,800 into 2019/20 to allow the work to continue as intended.				
<u>Local Plan Examination</u>				
A budget of £79,700 was carried forward from 2017/18 to meet costs associated with the Part 2 Local Plan examination. The Inspector's report is awaited and it is anticipated that further work will be required. Therefore the Finance and Resources Committee will be asked on 11 July 2019 to approve the carry forward of £40,300 into 2019/20 to meet the expected costs.				
<u>Joint Planning Advisory Board (JPAB)</u>				
Finance and Resources Committee on 15 February 2018 agreed to allocate an additional £20,000 in the 2018/19 budget for a contribution to JPAB consultancy costs. The proposed work was not undertaken in 2018/19 and therefore the Finance and Resources Committee on 11 July 2019 will be asked to carry this budget forward into 2019/20.				
Industrial Development	(100,390)	(149,110)	(48,720)	49
There was an overachievement of income of £49,051 due to the vacancy level being more favourable than had been anticipated.				

Economic Development	398,450	341,272	(57,178)	(14)
<p><u>Town Centre Management</u> The 2018/19 budget of £45,200 included the remaining sum from the £120,000 received from the Government's High Street Innovation Fund to encourage businesses back into town centres. Expenditure in 2018/19 amounted to £10,674. The Finance and Resources Committee will be asked on 11 July 2019 to approve the carry forward of the underspend of £34,500 into 2019/20 to allow the work to target new businesses into empty units who currently have a strong online presence and who would be supplemented by high street representation to be undertaken in 2019/20.</p> <p><u>Stapleford Town Centre</u> Finance and Resources Committee on 12 July 2018 agreed to carry forward into 2018/19 the remaining £3,400 of the £20,000 originally allocated in 2013/14 to promote the setting up of a town centre group and other initiatives in Stapleford. No expenditure was charged to this heading in 2018/19. The Finance and Resources Committee will be asked on 11 July 2019 to approve the carry forward of this £3,400 to allow further work to be undertaken in 2019/20.</p> <p><u>Partnership Development</u> As part of the restructure of the Economic Development team in 2015/16, a budget of £10,000 was established to enable the Council to access external funding directed to joined up and partnership working. No expenditure was incurred in either 2017/18 or 2018/19. The Finance and Resources Committee will be asked on 11 July 2019 to approve the carry forward of this budget into 2019/20 to enable the planned work to be undertaken.</p>				

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ENVIRONMENT
SUMMARY

Cost Centre	Revised Estimate 2018/19 £	Actual 2018/19 £	Variation	
			£	%
Environmental Improvements	313,050	276,824	(36,226)	(11.6)
NCC Highway Maintenance	(45,200)	(38,158)	7,042	(15.6)
Vehicles Cost - Electric Testing	0	1,842	1,842	0.0
Refuse Collection	1,346,500	1,316,159	(30,341)	(2.3)
Recycling	112,350	104,693	(7,657)	(6.8)
Refuse Collection - Vehicles & Plant	11,400	(1,380)	(12,780)	(112.1)
Public Conveniences	111,850	120,503	8,653	7.7
Repairs & Maintenance - Kimberley	6,350	0	(6,350)	(100.0)
Stapleford - C.A.S.	(11,850)	0	11,850	(100.0)
Highways Sweeping	702,150	739,103	36,953	5.3
Abandoned Vehicles	800	395	(405)	(50.7)
Highways - Borough Services	206,700	199,647	(7,053)	(3.4)
Sign Shop	31,500	24,293	(7,207)	(22.9)
Hall Park	73,950	57,495	(16,455)	(22.3)
Cemeteries	134,150	144,945	10,795	8.0
Open Space	490,100	330,230	(159,870)	(32.6)
Tree Management	202,250	254,459	52,209	25.8
Nottingham Canal	29,250	88,872	59,622	203.8
Parks & Recreation Grounds Management	95,750	95,115	(635)	(0.7)
Allotments Management	0	(1,595)	(1,595)	0.0
Beeston Allotments	0	(1,349)	(1,349)	0.0
Beeston Parks	385,850	293,698	(92,152)	(23.9)
Stapleford Parks	161,000	159,813	(1,187)	(0.7)
Eastwood Parks	111,000	95,651	(15,349)	(13.8)
Kimberley Depot	0	0	0	0.0
Kimberley Stores	0	(16,963)	(16,963)	0.0
Mechanics - Kimberley Depot	0	0	0	0.0
Estates	(16,000)	0	16,000	(100.0)
Grounds Maintenance	(112,700)	0	112,700	0.0
Total Environment	4,340,200	4,244,290	(95,910)	(2.2)

**VARIANCES BETWEEN ACTUAL AND ESTIMATED INCOME
AND EXPENDITURE 2018/19**

ENVIRONMENT

Comments	Revised Estimate 2018/19 £	Actual 2018/19 £	Variation	
			£	%
Environmental Improvements	313,050	276,824	(36,226)	(12)
A grant of £19,750 was received from the Ministry of Housing, Communities and Local Government in March 2019 for cleaning initiatives in town centres. This income was spent on cleaning projects in all four main town centres.				
Refuse Collection	1,346,500	1,316,159	(30,341)	(2)
As this budget was anticipated to underspend at the end of the year, additional wheeled bins costing £15,850 were purchased. There was also an underspend of £21,050 on insurance costs due to lower premiums and a reduced number of claims. As approved by Finance and Resources Committee on 11 October 2018, the 2018/19 budget included £15,500 for expenditure on waste days. Expenditure in 2018/19 amounted to £2,550. The Finance and Resources Committee will be asked on 11 July 2019 to approve a carry forward of £12,950 into 2019/20 to meet the cost of further waste days in 2019/20.				
Highways Sweeping	702,150	739,103	36,953	5
Expenditure on subcontractors was £19,250 greater than anticipated whilst there was an overspend of £12,100 on materials from Stores. These were partly offset by additional income of £10,650.				
Open Space	490,100	330,230	(159,870)	(33)
A review of the methodology for recharging grounds maintenance costs resulted in the recharge to this area being £144,100 less than had been anticipated.				
Tree Management	202,250	254,459	52,209	26
A review of the methodology for recharging grounds maintenance costs resulted in the recharge to this area being £43,150 more than had been anticipated.				

Nottingham Canal	29,250	88,872	59,622	204
A review of the methodology for recharging grounds maintenance costs resulted in the recharge to this area being £62,550 more than had been anticipated.				
Beeston Parks	385,850	293,698	(92,152)	(24)
A review of the methodology for recharging grounds maintenance costs resulted in the recharge to this area being £111,750 less than had been anticipated.				
Grounds Maintenance	(112,700)	0	112,700	0
As set out above, a review of the methodology for recharging grounds maintenance costs across various activities has been undertaken and these costs are now recharged in full.				

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COMMUNITY SAFETY SUMMARY

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**VARIATIONS BETWEEN ACTUAL AND ESIMATED INCOME
AND EXPENDITURE 2018/19**

COMMUNITY SAFETY

Comments	Revised Estimate 2018/19 £	Actual 2018/19 £	Variation	
			£	%
CCTV	226,050	187,557	(38,493)	(17)
There was an underspend of £44,200 on the CCTV monitoring contract following the introduction of revised arrangements. This has been reflected in the 2019/20 budget.				
Neighbourhood Wardens	116,900	101,648	(15,252)	(13)
There was an underspend of £7,850 on the boarding and disposal of stray dogs.				
Licensing	22,500	4,275	(18,225)	(81)
Additional fee income exceeded the budget by £11,600.				
Private Sector Housing	15,250	0	(15,250)	(100)
The costs of this activity have been recharged across other areas in full. This approach will also be followed in 2019/20.				
Environmental Health	607,150	561,908	(45,242)	(7)
There was an underspend of £16,450 on employee costs due to vacant posts whilst fee income was £18,400 greater than anticipated. As no noise monitoring equipment was purchased in 2018/19, the Finance and Resources Committee will be asked on 11 July 2019 to approve the carry forward of the 2018/19 budget of £7,500 into 2019/20 to allow suitable noise monitoring equipment to be purchased.				
Private Sector Housing Renewal	850,250	823,119	(27,131)	(3)
License income from Houses in Multiple Occupation (HMO) increased significantly after new regulations came into effect on 1 October 2018 with income received in 2018/19 being in excess of £37,200 as opposed to a budget of only £3,000. The 2019/20 budget has been set at £33,000 to reflect these new arrangements..				

HEALTH
SUMMARY

Cost Centre	Revised Estimate 2018/19 £	Actual 2018/19 £	Variation	
			£	%
Community Facilities	42,250	41,811	(439)	(1.0)
Chilwell Community Centre	4,350	3,885	(465)	(10.7)
Montrose Court	1,850	1,348	(502)	
Grants & Loans To Voluntary Organisation	177,300	163,739	(13,561)	(7.6)
Election Expenses	12,850	14,307	1,457	11.3
Register of Electors	375,300	225,095	(150,205)	(40.0)
Other Elections	42,100	41,064	(1,036)	(2.5)
Leisure & Culture	1,614,900	1,607,346	(7,554)	(0.5)
Total Health	2,270,900	2,098,595	(172,305)	(7.6)

**VARIATIONS BETWEEN ACTUAL AND ESTIMATED INCOME
AND EXPENDITURE 2018/19**

HEALTH

Comments	Revised Estimate 2018/19 £	Actual 2018/19 £	Variation	
			£	%
Grants & Loans To Voluntary Organisation There was an underspend of £10,820 on the grants distributed in 2018/19 due to a lower than anticipated demand and to some proposed schemes from applicants slipping into the following year. The Finance and Resources Committee on 11 July 2019 will be asked to carry forward budgets of £4,000 and £6,000 into 2019/20 to provide additional support to Hope Nottingham and to progress a mental health initiative with the Citizens' Advice Bureau respectively	177,300	163,739	(13,561)	(8)
Register of Electors Individual Elector Registration grant income of £122,300 received in 2017/18 has yet to be spent. It is anticipated that this expenditure will be incurred in 2019/20 and subsequent years. Therefore Finance and Resources Committee on 11 July 2019 will be asked to carry this £122,300 budget forward from 2018/19 to 2019/20.	375,300	225,095	(150,205)	(40)

REVENUES, BENEFITS AND CUSTOMER SERVICES

SUMMARY

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**VARIATIONS BETWEEN ACTUAL AND ESTIMATED INCOME
AND EXPENDITURE 2018/19**

REVENUES, BENEFITS AND CUSTOMER SERVICES

Comments	Revised Estimate 2018/19 £	Actual 2018/19 £	Variation	
			£	%
Customer First (CRM)	(29,100)	0	29,100	(100)
The costs of this activity have been recharged across other areas in full. This approach will also be followed in 2019/20.				
Cost of Collection	622,119	536,480	(85,639)	(14)
Additional expenditure on agency staff (primarily in the Rents team) of £69,450 to address workload issues was more than offset by a greater than budgeted recharge to the Housing Revenue Account.				
Benefits	324,972	282,940	(42,032)	(13)
The net cost of Rent Allowances and Rent Rebates (payments made less subsidy received) was £113,450 greater than anticipated. This was more than offset by a reduction in the provision for the recovery of housing benefit overpayments (£44,050), additional subsidy for discretionary housing payments (£32,250), further Department for Work and Pensions grants (£19,000) and lower than expected recharges from other service areas (£52,800).				

RESOURCES**SUMMARY**

Cost Centre	Revised Estimate 2018/19	Actual 2018/19	Variation	
	£	£	£	%
Human Resources	(31,300)	0	31,300	(100.0)
Deputy Chief Executive	0	0	0	0.0
Director of Legal	(25,600)	0	25,600	(100.0)
Legal Services	(7,000)	0	7,000	(100.0)
Administrative Services	(24,400)	(3)	24,397	(100.0)
Print Room	(4,750)	5,442	10,192	(214.6)
Land Charges	(11,650)	504	12,154	(104.3)
Support Services	0	0	0	0.0
Post Room	10,000	12,337	2,337	23.4
Tea & Vending	10,700	3,117	(7,583)	(70.9)
Finance Department - Management	0	0	0	0.0
Finance Department - Audit	0	0	0	0.0
Finance Department - Accountancy	28,000	0	(28,000)	(100.0)
Commercial Finance	0	0	0	0.0
Finance Department - Creditors	0	0	0	0.0
Debtors	0	0	0	0.0
Mediation	18,550	0	(18,550)	(100.0)
Miscellaneous	(2,341,754)	(2,201,690)	140,064	(6.0)
Chief Executive's Office	0	0	0	0.0
Corporate Communications	0	0	0	0.0
Beeston Square	(124,800)	(34,138)	90,662	(72.6)
Beeston Square Service Charge Account	0	0	0	0.0
Bramcote Crematorium	(400,000)	(400,000)	0	0.0
Grant Aid to Parishes/Town Councils	66,500	36,175	(30,325)	(45.6)
Members Expenses	280,850	291,707	10,857	3.9
Civic Affairs	126,250	124,032	(2,218)	(1.8)
Departmental Representation & Management	420,400	448,560	28,160	6.7
DRM Recharge	(173,550)	(184,799)	(11,249)	6.5
External Audit & Best Value	60,000	52,724	(7,276)	(12.1)
Treasury Management & Banking	156,700	153,718	(2,982)	(1.9)
Corporate Management - Administration	474,400	829,943	355,543	74.9
Corporate Management - Housing Revenue A	(280,150)	(300,122)	(19,972)	7.1
Central Overheads	80,600	107,622	27,022	33.5
Security of Public Buildings	150	(2,183)	(2,333)	(1,555.3)
Council Offices	135,050	0	(135,050)	(100.0)
Town Hall	3,350	0	(3,350)	(100.0)
Cavendish Lodge Complex	11,150	26,768	15,618	140.1
14 Devonshire Avenue	0	0	0	0.0
Eastwood Cemetery Chapel Offices	0	3,870	3,870	0.0
Eastwood Cash Office	0	2,468	2,468	0.0
General Properties & Land	119,650	117,325	(2,325)	(1.9)
Stapleford House	8,800	8,816	16	0.2
Health & Safety	0	0	0	0.0
Total Resources	(1,413,854)	(897,808)	516,046	(36.5)

**VARIATIONS BETWEEN ACTUAL AND ESTIMATED INCOME
AND EXPENDITURE 2018/19**

RESOURCES

Comments	Revised Estimate 2018/19 £	Actual 2018/19 £	Variation	
			£	%
Human Resources	(31,300)	0	31,300	(100)
Director of Legal	(25,600)	0	25,600	(100)
Administrative Services	(24,400)	(3)	24,397	(100)
Finance Department - Accountancy	28,000	0	(28,000)	(100)
Mediation	18,550	0	(18,550)	(100)
Council Offices	135,050	0	(135,050)	(100)
The costs of these activities have been recharged across other areas in full. This approach will also be followed in 2019/20.				
Miscellaneous	(2,341,754)	(2,201,690)	140,064	(6)
As reported to Finance and Resources Committee on 15 February 2018, savings of £1,743,750 were identified in the 2018/19 budget. A total of £382,700 were not implemented in the year. This has been addressed in the production of the 2019/20 budget.				
Outstanding sundry debts totalling £60,400 that were no longer considered recoverable and for which no provision had been made were written off in the year.				
Policy and Performance Committee on 3 October 2018 agreed to allocate £15,900 for specialist legal advice. This was supplemented by £15,000 allocated by Finance and Resources Committee on 13 December 2018 for potential legal costs associated with the anticipated employment tribunal of the former Director of Housing, Leisure and Property Services. Expenditure incurred in 2018/19 totalled £25,350 with £17,100 of this recharged to the Housing Revenue Account. Finance and Resources Committee on 11 July 2019 will be asked to carry forward the remaining budget of £22,650 into 2019/20 to help meet any future costs.				

Other income received exceeded the budget by £13,900 due to primarily to additional grants received in March 2019 that had not been anticipated including £8,100 from the Ministry of Housing, Communities and Local Government (MHCLG) in respect of new burdens associated with the Transparency Code.				
The recharge of external interest costs to the Housing Revenue Account was £143,000 higher than anticipated due to it having a greater share of the Council's external loans in 2018/19 than had been anticipated.				
The reversal of capital charges was £162,300 more than anticipated reflecting the actual level of capital expenditure incurred in 2018/19 on specific schemes as compared with the capital programme. Contra entries within other priority areas result in no overall effect on the Council's net expenditure.				
Interest received on external investments was £44,900 more than budgeted reflecting the increase in the base rate from 0.50% to 0.75% in August 2018 and the opportunity provided by greater stability in financial markets to invest for longer durations.				
Beeston Square	(124,800)	(34,138)	90,662	(73)
Rent income in 2018/19 of £653,750 was higher than the £636,850 received in 2017/18 but less than the 2018/19 budget of £759,600. A report to Finance and Resources Committee on 11 July 2019 will provide further details on the costs and income associated with Beeston Square following the purchase of the leasehold interest from Henry Boot in May 2016.				
Grant Aid to Parishes/Town Councils	66,500	36,175	(30,325)	(46)
The 2018/19 budget included £32,950 to reflect the cost of the agreed additional grounds maintenance work to be undertaken for parish and town councils and which was to be funded by this Council. Any such costs in 2018/19 have been charged to the Grounds Maintenance budget.				
Departmental Representation & Management	420,400	448,560	28,160	7
A greater sum was recharged to this area at the end of the year than had been anticipated when the budget was set reflecting the amount of staff time and other resources dedicated to this.				

Corporate Management - Administration	474,400	829,943	355,543	75
This budget included the £300,000 agreed vacancy rate target for 2018/19. This allowed all other pay and associated budgets to be shown at the anticipated full cost for the year.				

ICT & BUSINESS TRANSFORMATION

SUMMARY

Cost Centre	Revised Estimate 2018/19 £	Actual 2018/19 £	Variation	
			£	%
Information & Computer Technology	48,050	26,000	(22,050)	(46)
ICT Business Transformation	0	0	0	0
Total ICT Services	48,050	26,000	(22,050)	0

**VARIATIONS BETWEEN ACTUAL AND ESTIMATED INCOME
AND EXPENDITURE 2018/19**

ICT & BUSINESS TRANSFORMATION

Cost Centre	Revised Estimate 2018/19 £	Actual 2018/19 £	Variation	
			£	%
Information & Computer Technology There were overspends of £41,000 and £32,400 on telephone and notional capital charges that were more than offset by underspends of £28,500 and £111,250 on hardware and software maintenance respectively.	48,050	26,000	(22,050)	(46)

Report of the Chief Executive

EXERCISE OF THE CHIEF EXECUTIVE'S URGENCY POWERS1. Purpose of report

To ask the Committee to note the exercise of the Chief Executive's urgency powers.

2. Detail

Since the last meeting of the Committee a number of matters required the exercise of the Chief Executive's urgency powers. This was done in consultation with the previous Leader of the Council.

- (a) An offer of £650 in compensation plus £250 in decoration vouchers was made to a tenant in order to settle a long running complaint regarding a repairs matter. The matter related to plastering and structural repairs necessary to address problems caused by ground settlement which took some time to complete as experts were involved in diagnosing the root cause of the problem.
- (b) On compassionate grounds a burial fee was reduced from non-resident to resident for a deceased long term resident who had only had to move out of the Borough following the compulsory purchase of her home and who would otherwise have ended her life living in Broxtowe. The avoided charge was just under £1,000.
- (c) Following the commissioning of an independent expert's report, payment of £1,182.92 compensation to a tenant was made as a result of significant damage to her home caused by water leaks to the property whilst void, but which persisted when the damp proof course failed, after she moved in.
- (d) A virement was authorised before the year end to cover the cost of the purchase of 24 hand held devices for housing staff to use in connection with the capita software upgrade. The capital cost of the purchase was £25,025 and was vired from capital contingencies in the HRA. Annual revenue savings will be achieved of £15,868 more details of which are given in the attached in appendix 1, with details of the costs of the devices and licence costs set out in appendix 2.
- (e) To take advantage of DCLG funding available through a bid for a 'pocket park' for an environmental improvement scheme at Redwood Crescent (the bid was successful) a commitment of £7,500 in matched funding was made.
- (f) A rent incentive scheme for new clients of hard to let properties was authorised: a week or a fortnight rent free, to allow a potentially vulnerable person time to move their belongings in without the pressure of having two lots of household costs, and a 'Recommend a Friend' scheme, where a person on a scheme can be given a small financial reward for a recommendation that leads to the let of a property.

3. Financial implications.

The financial implications are set out above and will be reflected in budget changes going to Finance and Resources Committee on 11 July 2019.

Recommendation

The Committee is asked to NOTE the exercise of the Chief Executive's urgency powers

Background papers: Nil

APPENDIX 1

Capita Phase 2 – Totalmobile device requirements1. Purpose of report

To provide further details of 24 additional devices to support the expansion of totalmobile as part of the Phase 2 Capita project.

2. Background

The OpenHousing Housing Management system is being upgraded to version 15. Phase 1 has been successfully implemented and Phase 2 is in progress. A key element of Phase 2 is the extension of totalmobile which allows work to be completed in the field in real time using forms, taking photographs and capturing customer signatures. Totalmobile has the potential to increase efficiencies and improve services for customers. Phase 2 includes three totalmobile modules:

- TM Stock Condition Surveys
- TM Customer/Debt Management
- TM Electrical Servicing

TM Repairs was deployed in Phase 1 and is in use by the operative and Senior Maintenance Officer Teams. As part of Phase 1, the existing PDAs were upgraded to a mix of 8" and 5" tablets; devices are a pre-requisite of utilising totalmobile. Electrical Servicing is used by the Repairs team and so no additional devices are required to support this area.

To deploy totalmobile in the remaining two new areas, 24 additional devices are required and the business rationale for this is included in appendix 2.

3. Financial Implications

There is £213,400 in the 2018/19 capital programme to meet the cost of the Openhousing Capita upgrade. Expenditure incurred to 31 January 2019 totalled £142,446.00. The cost of purchasing 24 additional devices as set out in the report is £22,025.28 with ongoing annual licensing and data costs of £6,720 per annum. Further details can be found in Appendix 2.

There is no provision within the Capita upgrade project scheme in the 2018/19 capital programme for purchasing additional devices. There is a sum of £22,800 in the HRA capital contingency that could meet this cost but this would require a virement needing the approval of Finance and Resources Committee as set out in the Financial Regulations within the Constitution.

The ongoing licensing and data costs of £6,720 per annum will be charged to the HRA and be offset by savings arising from not renewing licences that will no longer be required after the devices have been rolled out to users.

Business Rationale**TM Stock Condition Surveys
Capital Works Team**

How will TM change the way your team currently work (e.g. how do you currently manage)?	<ul style="list-style-type: none"> • Stock survey information and modernisation surveys are gathered by the team on site • Paper system used • Data is manually updated in the office • TM will allow work to be: <ul style="list-style-type: none"> ○ updated in real time ○ supported by photographs
What benefits will this change in work bring?	<ul style="list-style-type: none"> • Faster surveys • Increased productivity • Automatic updating • Greater accuracy • Links to risk assessments • Customer signature on site • Less administrative process • Greater data security • Supporting NWOW and agile working • Future proofing the service • Improved team morale • Increased professional service delivery for customers • Access to emails, calendar and mapping • Utilising less additional equipment e.g. cameras
Can you deploy TM with your current ICT arrangements?	<ul style="list-style-type: none"> • No, the team have no existing mobile solution
If not, what devices do you require?	<p>Requirements are currently subject to testing but the following is anticipated:</p> <ul style="list-style-type: none"> • Modernisation Officers - 2 x 8" • Technical Assistant - 1 x 5" • Tenant Liaison Officer - 1 x 8" • Modernisation Manager – 1 x 5" • Projects Manager - 1 x 5" • Capital Works Manager - 1 x 5" • Summary <ul style="list-style-type: none"> ○ 3 x 8" ○ 4 x 5"
Does using TM offer a saving elsewhere?	<ul style="list-style-type: none"> • Yes • Lifespan ICT system will no longer be required • Saving £8000 pa

TM Customer/Debt Management
Income Team
Tenancy and Estates Team

How will TM change the way your team currently work (e.g. how do you currently manage)?	<ul style="list-style-type: none"> • Currently manage by using paper records • Take digital photos which require a manual upload • Utilise print out of calendars to confirm availability for customer visits • All processes are currently paper based for form completion, in or out of the office. • There is no way to load or sync forms with the Capita system • Forms are stored on a separate system which creates inefficiencies, and increases the chances of things being misplaced or lost. • Not having the forms on Capita leads to double entry of data • Rely on back office phone cover for simple processes like setting up DD's, reporting repairs etc. • Access to real time e-mails and calendar information will streamline work and enable action to be undertaken in the field, without the need for follow up back at the office. • The ability to take photographs on estate inspections or during housing repairs visits will improve diagnosis.
What benefits will this change in work bring?	<ul style="list-style-type: none"> • Far greater efficiency • Accuracy of record keeping as records can be completed in real time • Paperless service • Improved service quality for customers • Better links between back office staff and those in the field • Improved professionalism • Future proofing the services provided • Giving the team the right tools to do their jobs will have positive indirect benefits, such as: <ul style="list-style-type: none"> - Improved morale - Less sickness - Increased job satisfaction etc. - Staff retention
Can you deploy TM with your current ICT arrangements?	<ul style="list-style-type: none"> • No • TM requires mobile devices and data • Some of the team have laptops but these cannot be used for TM and do not offer the benefits and efficiencies outlined above.
If not, what devices do you require?	<p>Requirements are currently subject to testing but anticipate the following:</p> <ul style="list-style-type: none"> • Housing Officers – 4 x 8"

	<ul style="list-style-type: none">• Housing Assistant – 5 x 8"• Income Collection Officers - 4 x 8"• Financial Inclusion Officers – 2 x 8"• Tenancy Sustainment Officer – 1 x 8"• Cleaning Supervisor – 1 x 8" <p>Summary</p> <ul style="list-style-type: none">• 17 x 8"
Does using TM offer a saving elsewhere?	<ul style="list-style-type: none">• Yes• Potential savings on Skyguard lone worker devices as a Skyguard app can be used on the new device (making the Skyguard device obsolete)• Savings of up to 33% per contracted device (including operative devices)• Saving £3500 pa

APPENDIX 2

Device Costs

The device costs are set out below and include the licence costs for:

Screen Size	Unit Cost per device (£)	Data Costs per device per month (Based on 4GB data)	VMWare WorkSpace Licence costs	Model
	394.28 exc VAT 473.14 inc VAT	£6.25 pcm	£87 for licence plus £15.00 p.a. for support and maintenance	Samsung Galaxy Active 2
	220.42 exc VAT 264.50 inc VAT	£6.25 pcm	£87 for licence plus £15.00 p.a. for support and maintenance	Samsung Galaxy A6 smartphone (replaces existing A5 device which has been discontinued)

Accessory Costs

The potential device accessory costs are noted below:

- Car phone chargers - £6.00 each
- Bluetooth headsets - £25.00 each
- A6 protective case - £7.00 each (Please note that the Samsung Galaxy Active 2 8inch devices come with a protective case)
- A6 Screen protector - £2.00

TotalMobile Licence Costs

To enable totalmobile, each device must be licensed to the system. In Phase 1, 56 totalmobile licenses were purchased and 43 are required by the Housing Repairs Team.

There are therefore, 13 totalmobile licences available for use in Phase 2, for which purchase costs have already been incurred. To meet the needs of Phase 2, 11 additional totalmobile licences are required.

The additional totalmobile costs are set out below:

Screen Size	Totalmobile Licence Purchase Costs (£)
8" and 5"	950.00

This price is only available if the licences are procured before the end of March 2019, after which the licence cost increases to £1250 per licence.

Phase 2 device purchase costs with TotalMobile Licences

Screen Size	Unit Cost (excl VAT) (£)	VMWare Licence costs (£)	Totalmobile Licence Costs (£)	Indicative Accessory costs (£)	Total costs per device (£)
8"	394.28	87.00	950.00	30.00	1461.28
5"	220.42	87.00	950.00	30.00	1287.42

Phase 2 device purchase costs without TotalMobile Licences

Screen Size (£)	Unit Cost (excl VAT) (£)	VMWare Licence costs (£)	Indicative Accessory costs (£)	Total costs per device (£)
8"	394.28	87.00	30.00	511.28
5"	220.42	87.00	30.00	337.42

Phase 2 revenue device costs

Screen Size	Annual Data Cost (£)	VMWare Annual licence cost (£)	TotalMobile Annual support (£)	Total costs per device (£)
8"	75.00	15.00	190.00	280.00
5"	75.00	15.00	190.00	280.00

Device costs for Phase 2

No of units	Screen Size	Purchase costs per device (£)	Annual costs per device (£)	Year one costs (£)	
				Purchase	Revenue
		511.28	280.00	6,646.64	3,640.00
		1461.28 (with TM licence)	280.00	10,228.96	1,960.00
		1287.42 (with TM licence)	280.00	5,149.68	1,120.00
				22,025.28	6,720.00
				28,745.28	

Potential Savings

The expansion of total mobile will provide savings as existing systems become obsolete and can be replaced. Annual savings of £15,868.00 are achievable as follows:

- £8000 pa - Lifespan system no longer required
- £4,032.00 pa - Barracuda licence no longer required
- £336.00 pa - Tysoft licence no longer required
- £3500 pa - Skyguard Lone worker system can be provided via an app and savings of 33% per device have been advised. The contract is due to be procured and greater annual savings may be achievable.

Phase 3 requirements

At the current time, there are not expected to be any additional device requirements for Phase 3.

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Report of the Interim Strategic Director

WORK PROGRAMME

1. Purpose of report

To consider items for inclusion in the Work Programme for future meetings.

2. Background

Items which have already been suggested for inclusion in the Work Programme of future meetings are given below. Members are asked to consider any additional items that they may wish to see in the Programme.

3. Work Programme

Date	Tasks
2 October 2019	<ul style="list-style-type: none"> • Review of Corporate Plan Progress and Financial Performance • Beeston Town Centre Update
4 December 2019	<ul style="list-style-type: none"> • Review of Corporate Plan Progress and Financial Performance • Beeston Town Centre Update
5 February 2020	<ul style="list-style-type: none"> • Review of Corporate Plan Progress and Financial Performance • Beeston Town Centre Update

Recommendation

The Committee is asked to **CONSIDER** the Work Programme and **RESOLVE** accordingly.

Background papers

Nil

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