

RESOURCES BUSINESS PLAN 2020–2023

This Business Plan details the projects and activity undertaken in support of the Council's Corporate Plan priorities.

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.

The Business Plan covers a three-year period but is revised and updated annually. Detailed monitoring of progress against key tasks and outcome measures is undertaken quarterly by the Finance and Resources Committee. The Policy and Performance Committee also receives a high level report of progress against Corporate Plan priorities on a quarterly basis.

The Council's Vision for Broxtowe is 'a greener, safer, healthier Broxtowe where everyone prospers'.

The Council's Values are:

- **Going the extra mile: a strong, caring focus on the needs of communities**
- **Ready for change: innovation and readiness for change**
- **Employees: valuing our employees and enabling the active involvement of everyone**
- **Always improving: continuous improvement and delivering value for money**
- **Transparent: integrity and professional competence**

Broxtowe Borough Council's Priorities and Objectives are as follows:

Housing – A good quality affordable home for everyone

Business Growth – invest in our towns and people

Environment – Protect the environment for the future

Health – Support people to live well

Community Safety – A safe place for everyone

1. PUBLISHED STRATEGY AND POLICY DOCUMENTS SUPPORTING THE DELIVERY OF PRIORITIES AND OBJECTIVES

Strategy/Policy Document	Purpose of Document	Renewal Date	Responsible Officer/Contact
Corporate Plan	The Council's overarching plan for its priorities, targets and objectives. The plan sets out priorities to achieve the vision to make "Broxtowe a great place where people enjoy living, working and spending leisure time" with focus on the priorities of Housing, Business Growth, Community Safety, Health and Environment.	April 2020	Chief Executive
Business Strategy	Designed to ensure that the Council is: <ul style="list-style-type: none"> • Lean and fit in its assets, systems and processes • Customer focused in all its activities • Commercially minded and financially viable • Making best use of technology. 	Updated annually x2	Deputy Chief Executive
Medium Term Financial Strategy	The Council's key financial planning document. In detailing the financial implications of the Corporate Plan, the MTFs provides a reference point for corporate decision-making and helps to ensure that the Council can optimise the balance between its financial resources and the delivery of its priorities. The MTFs informs the annual budget-setting process, ensuring that each year's budget is considered within the context of the Council's ongoing sustainability over the entirety of the planning period.	Updated twice per annum	Deputy Chief Executive Head of Finance Services
Commercial Strategy	Promote and support a change in organisational culture towards a more business-like approach to the delivery of services. Overall, commercialism will enable departments to adopt a business-like approach with the focus firmly on delivering the best services possible for residents and businesses within the Borough whilst at the same time maximising income generation.	April 2020	Deputy Chief Executive Commercial Manager

Strategy/Policy Document	Purpose of Document	Renewal Date	Responsible Officer/Contact
Capital Strategy	An overarching summary document which encompasses all capital and treasury activity including the capital programme, financing planning, accounting policies and asset management.	Updated annually	Deputy Chief Executive Head of Finance Services
Finance Services			
Medium Term Financial Strategy	Provides a three-year forecast of expenditure and income along with the use of reserves	Twice per annum	Deputy Chief Executive
Annual Statement of Accounts	Summarises the Council's finances at the end of each financial year	Annual	Head of Finance Services
Housing Revenue Account (HRA) Business Plan	Provides a 30-year forecast of revenue and capital expenditure and income on the Council's landlord functions	Annually	Head of Finance Services
Internal Audit Charter	Key document defining the role of the Internal Audit service. It sets out the mission, purpose, regulatory basis, ethics, authority, independence/objectivity and responsibilities of Internal Audit.	Annually	Chief Audit and Control Officer
Internal Audit Strategy and Plan	Provides a framework for reviewing the Council's control systems based on an assessment of risks within each system, with the plan detailing the audit activity for the forthcoming year	Annually	Chief Audit and Control Officer
Capital Strategy	Provides a high-level overview of how the Council approaches the planning and financing of capital expenditure	Annually	Deputy Chief Executive
Treasury Management Strategy	Provides the framework within which the Council's treasury management activities are conducted together with detailed plans for the management of the Council's loans and investment portfolios	Annually	Head of Finance Services

Strategy/Policy Document	Purpose of Document	Renewal Date	Responsible Officer/Contact
Investment Strategy	Ensures investment decisions fulfil pre-set criteria relating to security, liquidity and yield	Annually	Head of Finance Services
Fraud and Corruption Prevention Policy	Documents the Council's approach to fraud and corruption prevention.	Upon changes to relevant legislation	Chief Audit and Control Officer
Money Laundering Prevention Policy	Sets out the procedures which must be followed to enable the Council to comply with its legal obligations in relation to money laundering activity, including nominating the Deputy Chief Executive as the Money Laundering Reporting Officer (MLRO).	Upon changes to relevant legislation	Deputy Chief Executive Chief Audit and Control Officer
Risk Management Strategy	Defines the Council's attitude to risk and sets out the framework within which risks will be managed and monitored. Effective risk management will help to ensure that the Council maximises its opportunities and minimises the impact of the risks faced thereby improving its ability to deliver priorities, improve outcomes for residents and mitigating legal action and financial claims against the Council and subsequent damage to its reputation.	December 2021	Head of Finance Services
Strategic Risk Register	Identifies key strategic risks to the achievement of the Council's corporate priorities and objectives.	Quarterly	Head of Finance Services
Procurement and Commissioning Strategy	Provides a framework for the approach to procurement and commissioning and ensures that these activities contribute to the Council's corporate priorities and objectives.	June 2024	Deputy Chief Executive Chief Audit and Control Officer

Strategy/Policy Document	Purpose of Document	Renewal Date	Responsible Officer/Contact
Grant Aid Policy for Voluntary and Community Organisations, Charitable Bodies and Individuals involved in Sports or the Arts	Defines the framework in which the Council administers its grant aid scheme to underline its commitment to support and promote a vibrant voluntary sector throughout Broxtowe.	June 2021	Head of Finance Services Chief Audit and Control Officer
Legal Services			
Constitution	Outlines how the Council operates and relates to other bodies and the wider community	2020	Chief Executive / Monitoring Officer
Information Sharing Protocol	Facilitate the sharing of information with Nottinghamshire Police	Updated as necessary	Nottinghamshire Police
RIPA Strategy	Ensure proper conduct of investigations to acquire court evidence		Chief Executive / Head of Legal Services
Administrative Services			
Complaints Systems Service Standard	Provides standards and targets for the delivery of services	Annually	Head of Governance
Local Land Charges Service Standard	Provides standards and targets for the delivery of services	Annually	Head of Administrative Services
Electoral Services Service Standard	Provides standards and targets for the delivery of services	Annually	Head of Administrative Services

Strategy/Policy Document	Purpose of Document	Renewal Date	Responsible Officer/Contact
Human Resources			
People Strategy 2019-22	Strategic direction and actions for development and planning of skills and capacity to deliver services now and in the future	March 2022	Head of Public Protection
Single Status Conditions of Service	Comprehensive set of employment policies, practices and conditions of service for all employees	Ongoing review	Human Resources Manager
Pay Policy	Sets out the Council's approach to remuneration, pay and conditions of employment	Annually	Payroll Manager
Learning and Development Policy	Policy, principles and procedure for the delivery of corporate training and development needs across the Council	December 2021	Human Resources Manager
Equal Opportunities Policy	Statement of intent, responsibilities and actions in respect of equality and diversity for employees and services provided by the Council	December 2021	Human Resources Manager
Equality and Diversity Policy	Outlines the Council's legal duties and sets out the corporate framework for work on equality and diversity.	December 2021	Human Resources Manager
Apprenticeship Strategy	Sets out the Council's approach to increasing the number of apprentices and use of the apprenticeship levy	March 2022	Head of Public Protection

Strategy/Policy Document	Purpose of Document	Renewal Date	Responsible Officer/Contact
Council Property			
Asset Management Strategy	Guide the Council's future strategic property decisions and inform more detailed management plans relating to individual assets. Establishes strategic principles to enable the Council to manage its assets more effectively and share its property strategies and accommodation needs with other organisations more easily.	March 2021	Deputy Chief Executive Estates Manager
Health and Safety			
Health and Safety Policy	Statement of intent, responsibilities and actions in respect of all health and safety issues	Annual	Health and Safety Manager
Health and Safety Codes of Practice	Provision of practical advice and guidance	Various dates	Health and Safety Manager
Safe Systems of Work Procedures	Guidance on safe systems of work and best practice	Ongoing	Health and Safety Manager

2. SERVICE LEVEL OBJECTIVES LINKED TO CORPORATE OBJECTIVES

Service Areas covered by this Plan	Service Objectives
Finance Services	
Financial Management	Manage the Council's finances in an efficient manner such that the Council has sufficient financial resources to enable it to successfully implement its policies and plans
Accountancy Services	Prepare and monitor the Council's detailed financial plans and pay all creditors and collect all income due to the Council promptly
Treasury Management and Banking	Manage the Council's debt portfolio, investments and banking arrangements, manage the risks associated with these activities and pursue optimum performance consistent with these risks
Internal Audit	A key component of the Council's governance framework to enhance and protect organisational value by providing risk-based and objective assurance, advice and insight. Internal Audit provides independent and objective assurance to the Council on its operations and adds value by assisting management in improving the delivery of the Council's objectives and operations through evaluating and challenging the effectiveness of risk management, control and governance processes
Fraud and Corruption	The Council takes a zero-tolerance approach to fraud and corruption and is committed to establishing a strong anti-fraud and corruption culture. Internal Audit traditionally plays a preventative role in seeking assurances that key controls are in operating effectively to prevent and deter fraud and corruption. This role has expanded to include proactive fraud risk assessments; an ongoing detection and preventative audit work programme; and co-ordinating and investigating all non-benefit related cases of suspected financial irregularity, fraud or corruption, in accordance with agreed procedures. Internal Audit is also the key point of contact for participation in National Fraud Initiative (NFI) data matching programmes and similar exercises.
Business Planning and Performance Management	Co-ordinate the Council's business planning and performance management framework, including support with the preparation of Business Plans and the suite of performance indicators and targets and the monitoring of these through the performance management system.

Service Areas covered by this Plan	Service Objectives
Insurance and Risk Management	Identify, arrange and monitor insurance requirements (including claims handling) and implement risk management initiatives which minimise the risk of injury or loss to customers, employees and other stakeholders and safeguard the Council's assets.
Procurement and Commissioning	Improve the delivery and cost effectiveness of high quality services across the organisation through the promotion of effective, prudent and innovative procurement and commissioning practices.
Grant Aid	Process applications for grant aid from voluntary organisations and individuals involved in sports or the arts.
Legal Services	
Legal	Provide an experienced and high quality legal service to all departments in the Council, members in order to assist in achieving the Council's five corporate objectives
Services to Parishes	Ensure that relevant advice and assistance is available to parish councils in connection with complaints
Standards	Provide an effective monitoring officer service to the Council and to parish and town councils
Attendance at Full Council, Planning Committee, and other Committees as required	To advise Members and Officers to support the decision making processes of the Authority.
Administrative Services	
Complaints	Co-ordinate and respond to formal complaints from members of the public.
Land Charges	<p>Maintain a register of Local Land Charges relating to all identifiable properties within the borough.</p> <p>Provide a comprehensive service to the public and to the conveyancing industry as to the provision of that information.</p>

Service Areas covered by this Plan	Service Objectives
Democratic Representation	Provide a comprehensive committee administration service to Council, Committees and the public. Ensure compliance with the Council's constitution.
Attendance at Committees	Support the decision making processes of the Authority.
Electoral Services	Ensure that as many electors as possible are included in the Register of Electors. Ensure that facilities are available to enable all electors to vote. Ensure that ward and polling district boundaries reflect as far as possible the communities within the borough
Information Management (including Freedom of Information; Environmental Information Regulations; Reuse of Public Sector Information; Information Assets and Transparency Code)	Ensure that requests for information and re-use of information are dealt with in accordance with statutory deadlines. Ensure that the Council's Information Assets Register is up to date. Ensure that all information required to be published is on the Council's website.
Human Resources	
Human Resources	To ensure that the Council complies with all relevant legislation and supports positive employment practices through the provision of advice, guidance and support on all aspects of HR service delivery relating to terms and conditions of employment, employment law and codes of practice in accordance with corporate aims and objectives.
Learning and Development	To increase learning across the organisation through the delivery of a wide range of corporate learning and development programmes and initiatives which enable employees to successfully deliver efficient and effective services.
Payroll and Job Evaluation	To ensure that the Council is compliant with all Council and HMRC requirements. Management of corporate job evaluation system to maintain a fair and transparent pay and grading process.

Service Areas covered by this Plan	Service Objectives
Human Resources	To ensure that the Council complies with equalities law and promotes equality and diversity through the delivery of a programme of initiatives which link to the aims of the Council's Equality and Diversity policy and framework and objectives.
Council Property	
Estates	Manage the Council's land and building assets in an efficient manner to ensure the operational assets are fit for purpose and that the potential for income is maximised.
Health and Safety	
Health and Safety	Promote a positive safety culture and encourage ownership of health and safety responsibilities at all levels by developing appropriate strategies, capturing and reviewing relevant data with a view to identifying improvements and providing advice and guidance where necessary.

3. MEASURES OF PERFORMANCE AND SERVICE DATA

Context – Baseline Service Data

Pentana Code	Service Data Description	Actual 2016/17	Actual 2017/18	Actual 2018/19	Comments including benchmarking data
Finance Services					
FPData_01	Debtor invoices raised	4,983	4,831	4,946	
FPData_02	Creditor payments made	39,677	36,273	6,059	The payments system was reviewed in 2018/19. The figure shown is for payments to Suppliers only
FPData_03	Insurance claims received	63	59	39	Excludes non-BBC claims received through the Claims Portal.
FPData_04	Long-term Debt at 31 March	£84.8m	£82.8m	£82.8m	
FPData_05	Investments at 31 March	£8.9m	£12.8m	£14.6m	
New	Purchase Orders raised	5,890	5,120	5,692	Completed and outstanding orders
New	Works and Goods and Services contracts identified on the Contracts Register	58	60	91	Prior to 2017/18 not all relevant contracts were being captured.
New	Grant applications processed from voluntary organisations	45	33	47	Excludes grant aid requests from Parish Councils.

Pentana Code	Service Data Description	Actual 2016/17	Actual 2017/18	Actual 2018/19	Comments including benchmarking data
Legal Services					
DSDData_10	Section 106 Agreements completed	5	4	3	Joint working with Planning
LADData_11	Contracts completed	n/a	8	21	Data not available for 2015/16 and 2016/17.
LADData_13	Council house sales completed	20	39	37	Houses sold under Right to Buy
LADData_14	Court cases dealt with in the Magistrates Court	14	10	5	
LADData_15	Court cases dealt with in the County Court (including Sundry Debt cases)	n/a	6	18	Data not available for 2016/17. The new Case Management System will assist with data collation and reporting.
Administrative Services					
LADData_02	Land Charges searches processed	1,258	862	744	Nationally there has been a decrease in searches due to a decline in property sales.
LADData_03	Personal Land Charges searches processed	1,110	1,584	1,657	Increased competition from private searches with have no fee contributed to the decrease.
LADData_07	Freedom of Information requests	770	776	926	Greater number of requests for information were made to the Council in 2018/19
LALocal_07	The number of complaints determined by the Local Government / Housing Ombudsman against the Council	1	0	5	The Ombudsman may investigate any enquiry received as a complaint made against the Council.

Pentana Code	Service Data Description	Actual 2016/17	Actual 2017/18	Actual 2018/19	Comments including benchmarking data
Human Resources					
HRData_01	Average learning days per employee	3.7	2.3	2.3	<p>Despite the average number of employees slightly decreasing in 2018/19 the average number of training days per employee has remained constant. The number of e-learning courses completed was higher than in 2017/18 as Re-Certifications were activated during 2018/19.</p> <p>In addition a number of employees were also undertaking Vocational training.</p> <p>In 2017/18 national average for local authorities was 0.97 days per employee</p>
HRData_01a	Training sessions attended by members	36	35	23	<p>Members attended a GDPR follow-up session. Specific training days and 1-2-1 in house IT training sessions also offered and undertaken.</p>
HRData_02	Work experience placements provided	19	9	15	<p>17 work experience placements were offered but only 15 pupils/students attended to complete the placements offered to them.</p> <p>In 2017/18 national average for local authorities was 9 work placements offered per council</p>
HRData_05	Applications received for vacancies	569	626	772	
HRData_06	Applications received electronically	551	618	746	
HRData_07	Applications received in the post	18	8	26	

Pentana Code	Service Data Description	Actual 2016/17	Actual 2017/18	Actual 2018/19	Comments including benchmarking data
HRData_08	Permanent appointments	37	42	50	Since 2016/17 there has been a reduction in temporary appointments as permanent staff recruited.
HRData_09	Permanent leavers	214	58	63	The decrease from 2016/17 to 2017/18 was due to the Liberty Leisure TUPE transfers.
HRData_10	Temporary appointments (excluding relief positions)	14	5	4	Since 2016/17 there has been a reduction in temporary appointments as permanent staff recruited.
HRData_18	ICT training sessions delivered internally	108	117	127	Focus on BLZ and Appraisals. No new Corporate Systems launched
HRData_24	Apprentices in post at 31 March	6	1	3	Median for district councils = 5 (2017/18)
HRData_25	Broxtowe Learning Zone courses available	47	52	58	New courses launched
HRData_26	Broxtowe Learning Zone courses completed	6,093	4,039	5,575	Since launch in November 2014 a cumulative total of 15,413 courses completed
HRData_16	Staff working beyond age of 65	11	10	10	Leavers and retirements and existing staff increasing in age.
HRData_21	Top 5% of earners who are women	29%	27%	33%	National figure for local authorities is 49.3% (2017/18)
HRData_22	Top 5% of earners from black and minority ethnic communities	3.5%	0%	0%	Appointments from BME applicants = 10.26%, unfortunately none were in the top 5%. National figure for local authorities is 3.1% (2017/18)

Pentana Code	Service Data Description	Actual 2016/17	Actual 2017/18	Actual 2018/19	Comments including benchmarking data
HRData_23	Top 5% of earners with a disability	12.5%	9.1%	5.26%	Reduction due to leavers from the top 5% earners with registered disabilities leaving. Also, there has been a reduction in the number of top 5% earners who have declared if they are disabled or not. 2016/17 = 24, 2017/18 = 22, 2018/19 = 19 National figure for local authorities is 3.3% (2017/18)
Council Property					
CPData_01	Commercially Let Industrial Units	73	73	73	Industrial units remain close to 100% let with some tenant changes. Replacement tenants can usually be found within the three month period.
CPData_02	Property Assets excluding HRA	153	153	152	Cavendish Lodge was sold during 2018/19.
CPData_03	Asset Value of Council Property excluding HRA	£30.8m	£ 30.6m	£ 30.3m	
Health and Safety					
H&SData_02	No. of accidents	41	29	38	
H&SData_03	No. of reportable accidents	6	4	5	

Critical Success Indicators (CSI)

Priority leaders should work corporately to **define** the **outcome objective** for each priority area and **identify an outcome indicator** or indicators which will be **Critical Success Indicators**. There will be a maximum of two CSI for each corporate priority.

Indicator Description	Pentana Code	Achieved			Target			Indicator Owner and Comments (incl. benchmarking)
		2016/17	2017/18	2018/19	2019/20	2020/21	Future Years	
Critical Success Indicators (CSI)								
Invoices paid within 30 Days %	BVPI 8	99.1%	99.5%	99.3%	99%	99%	99%	Head of Finance Services
Complaints determined by the Local Government/ Housing Ombudsman against the Council	LALocal_07	3	2	5	1	1	1	Head of Governance The Ombudsman may investigate any enquiry received as a complaint made against the Council.
Freedom of Information requests replied to within 20 working days %	LALocal_12	95.3%	95.0%	97%	100	100	100	Head of Governance
Working days lost due to sickness absence	BVPI 12a	9.73	13.64	8.69	7.50	7.50	7.50	Payroll Manager In 2017/18 national average (total) for local authorities was 8.8 days per full time employee TAKE OUT and put test in
Working days lost due to short term absence	HRLocal_17 (NEW)	4.15	4.23	3.22	2.50	2.50	2.50	
Working days lost due to longer term absence	HRLocal_18 (NEW)	5.58	9.41	5.47	5.00	5.00	5.00	

Performance Indicators

Priority leaders are to identify two sets of performance indicators namely **Key Performance Indicators (KPI)** for reporting to GMT/Members and **Management Performance Indicators (MPI)** for use in business planning and performance monitoring purposes at a service level.

Indicator Description	Pentana Code	Achieved			Target			Indicator Owner and Comments (incl. benchmarking)
		2016/17	2017/18	2018/19	2019/20	2020/21	Future Years	
Key Performance Indicators (KPI)								
Finance Services								
Invoices paid within 20 days	FPLocal_09	97.4%	98.5%	97.0%	98%	98%	98%	Head of Finance Services
Sundry creditors paid by BACS %	FPLocal_01	87.6%	89.9%	90.8%	91%	92%	93%	Chief Accountant
Sundry debtors raised in any one financial year paid in that year	FPLocal_02	80.5%	83.2%	83.5%	90%	90%	90%	Chief Accountant
Internal Audit: Planned audits completed in year	FPLocal_03	91%	89%	97%	90%	90%	90%	Chief Audit and Control Officer
Procurement compliant contracts as identified in the Contracts Register	NEW	n/a	90%	95%	90%	95%	95%	Chief Audit and Control Officer Procurement and Contracts Officer

Indicator Description	Pentana Code	Achieved			Target			Indicator Owner and Comments (incl. benchmarking)
		2016/17	2017/18	2018/19	2019/20	2020/21	Future Years	
Legal Services								
Prosecutions where a sentence is imposed in the Magistrates Court	LALocal_13	87%	100%	90%	90%	90%	90%	Head of Legal Services
Administrative Services								
Individually registered electors in the borough	LALocal_08	84,621	84,167	84,788	87,000	87,500	87,500	Head of Administrative Services Registered electors on 1 December 2019
Complaints acknowledged within 3 working days	LALocal_04	82%	93%	96.5%	100%	100%	100%	Head of Governance
Human Resources								
Level of Equality Framework for Local Government to which the Council conforms	BVPI 21	-	Ach.	Ach.	Ach	Ach	Exc	Ach.=Achieving Exc.=Excellent Looking to achieve Exc in 2022/23
Employees declaring that they meet the Equality Act 2010 disability definition	BVPI 16a	7.46%	7.09%	6.9%	7.0%	7.1%	7.2%	Human Resources Manager
Ethnic minority representation in the workplace	BVPI 17a	7.04%	6.87%	6.4%	6.5%	6.6%	6.7%	Human Resources Manager

Indicator Description	Pentana Code	Achieved			Target			Indicator Owner and Comments (incl. benchmarking)
		2016/17	2017/18	2018/19	2019/20	2020/21	Future Years	
Annual employee turnover	HRLocal_06	16.3%	13.1%	14.0%	12%	12%	12%	Human Resources Manager Nationally, 13.4% in local authorities in 2016/17
Employees qualified to NVQ Level 2 and above	HRLocal_07	85%	85%	85%	86%	87%	88%	Human Resources Manager
Council Property								
Industrial Units vacant for more than 3 months	CPLocal_01	0.5%	1.6%	1.6%	5%	5%	5%	Estates Manager
Industrial Unit tenants with rent arrears	CPLocal_02	0.12%	6.6%	1.6%	5%	5%	5%	Estates Manager
Beeston Square Shops vacant for more than 3 months %	CPLocal_05	15%	15%	8%	5%	5%	5%	Estates Manager
Net rental income yield from The Square, Beeston shops	CPLocal_06	£53k	£252k	£269k	£250k	£250k	£250k	Head of Finance
Management Performance Indicators (MPI)								
Finance Services								
Insurance - Achieve a 5% reduction in claims when compared to the average claims in the last five years	FPLocal_06	63	59	39	54	52	50	Chief Audit and Control Officer

Indicator Description	Pentana Code	Achieved			Target			Indicator Owner and Comments (incl. benchmarking)
		2016/17	2017/18	2018/19	2019/20	2020/21	Future Years	
Insurance - Claims closed over a three year period settled at nil cost to the Council	FPLocal_07	54.2%	51.1%	45.1%	50%	50%	50%	Chief Audit and Control Officer
Internal Audit: - Planned audits of key financial systems completed in year	NEW	100%	100%	91.7%	100%	100%	100%	Chief Audit and Control Officer
Internal Audit:- Timeliness of reporting from completion of the audit to distribution of draft report (working days)	NEW	n/a	n/a	n/a	10	10	10	Chief Audit and Control Officer
Internal Audit: - Actions as agreed by management being implemented (beyond the follow-up period)	NEW	n/a	n/a	n/a	90%	90%	90%	Chief Audit and Control Officer
Human Resources								
Applications received from BME Groups	HRLocal_01	21%	23%	27%	28%	30%	32%	Human Resources Manager
Appointments from BME Groups	HRLocal_02	37%	14%	10%	12%	14%	16%	Human Resources Manager
Applications received from self-declared disabled people	HRLocal_03	4%	7%	9%	10%	11%	12%	Human Resources Manager

Indicator Description	Pentana Code	Achieved			Target			Indicator Owner and Comments (incl. benchmarking)
		2016/17	2017/18	2018/19	2019/20	2020/21	Future Years	
Appointments from self-declared disabled applicants	HRLocal_04	6%	14%	3%	6%	8%	10%	Human Resources Manager
Apprentice positions offered	JBGLocal_02	3	0	3	4	4	4	Human Resources Manager
Work experience opportunities offered	JBGLocal_01	19	15	17	20	20	20	Human Resources Manager
Staff Satisfaction at being led by managers	HRLocal_09	-	-	-	100%	100%	100%	Human Resources Manager
Staff level of trust and confidence in their managers	HRLocal_10	-	-	-	100%	100%	100%	Human Resources Manager
Extent to which employees feel that the Council is committed to equality and values diversity	HRLocal_11	-	-	-	100%	100%	100%	Human Resources Manager
Percentage of staff receiving an annual appraisal	HRLocal_12	-	-	-	100%	100%	100%	Human Resources Manager
Percentage of staff who have undertaken equality and diversity training (i.e. current validation)	HRLocal_13	-	-	-	100%	100%	100%	Human Resources Manager New indicator from 19/20

Indicator Description	Pentana Code	Achieved			Target			Indicator Owner and Comments (incl. benchmarking)
		2016/17	2017/18	2018/19	2019/20	2020/21	Future Years	
Gender Pay Gap	HRLocal_14	6.63%	7.92%	6.53%	6.5	6.4	6.3	Payroll Manager Broxtowe BC Gender Pay Gap 6.53% (national mean figure is 6.1% for local authorities 2017-18)
Percentage of managers who have received Mental Health Awareness Training (over a three year period)	HRLocal_15	-	-	-	33%	33%	33%	Human Resources Manager New indicator in 2019/20. Looking to refresh every 3 years
No of days lost as a result of work related stress	HRLocal_16	360	1,570	191	190	185	180	Work related stress is the lowest it has been since 2014/15
Percentage of employees who have completed on-line code of conduct training	NEW	-	-	-	100%	100%	100%	Human Resources Manager New indicator from 2019/20

4. KEY TASKS AND PRIORITIES FOR IMPROVEMENT 2020/21 – 2022/23 INCLUDING COMMERCIAL ACTIVITIES

Priority leaders are asked to consider potential **commercial activities** in their priority areas when setting the key tasks and priorities for the next three years. In doing so priority leaders should consider:

- In which service areas could new commercial activities be undertaken?
- How much additional income could be generated from the new commercial activities?
- Would additional resources (employees, equipment, systems etc.) be needed to undertake the new commercial activities? If yes, outline these with estimates of costs.
- How will these new commercial activities link into the Council's Medium Term Financial Strategy, Capital Programme, Business Strategy and Commercial Strategy?
- Will the new commercial activities affect existing Revenue and Capital budgets? If yes, then remember to include the net income or costs to Section 5 'Link Key Tasks and Priorities for Improvement to the Financial Budgets'.
- Please identify new '**commercial activities**' in the comments column.

Pentana Code	Description	Targeted Outcome	Partnership/ Procurement Arrangement	Officers Responsible/ Target Date	Budget Implications/ Efficiencies/Other comments
Finance Services					
NEW	Review and update the Financial Regulations for approval by Members	The Council's updated Financial Regulations to be adopted by the Council.		Deputy Chief Executive June 2020	Approval required at Full Council
FP1922_01	Produce final accounts by end of May	Final Accounts to be produced for external auditors to scrutinise by end of May 2020		Head of Finance Services May 2020	Additional interim support agreed by Finance and Resources Committee on 10 October 2019.

Pentana Code	Description	Targeted Outcome	Partnership/ Procurement Arrangement	Officers Responsible/ Target Date	Budget Implications/ Efficiencies/Other comments
FP1922_02	Rollout web based Financial Management software and refreshed Purchase Ordering processes to all Departments	Effective budget monitoring by managers through use of web-based system. Sound commitment accounting to improve quality of financial reporting. Compliance with Financial Regulation	Civica	Head of Finance Services September 2020	Use of fully supported software from system provider
FP1922_03	Implementation of Intelligent Scanning ensuring automated matching of valid purchase orders to invoices	Ensure compliance with Financial Regulations in respect of raising purchase orders. Reduction in time taken to process invoices received. Effective internal control and reduction of paper invoices	Civica	Chief Accountant September 2020	Efficiency expected with improved speed and accuracy of processing
NEW	Review the Icon Finance System*	ICON ownership needs to be established. Technical Issues require resolving.			Resourcing of service
FP1922_05	Determine the Council's procurement approach to ensure that it meets needs and objectives	Review current procurement arrangements to ensure that the Council has sufficient expertise to maintain compliance with regulations.	To be determined	Head of Finance Services Chief Audit and Control Officer September 2020	May require additional resources – Impact to be determined.

Pentana Code	Description	Targeted Outcome	Partnership/ Procurement Arrangement	Officers Responsible/ Target Date	Budget Implications/ Efficiencies/Other comments
NEW	Undertake procurement exercise for banking service provider (including change of provider if required)	Effective banking service meeting all statutory and corporate procurement and other requirements	Banking services provider(s) and specialist advisors	Head of Finance Services March 2021	Dependent upon outcome of tender exercise
NEW	Roll-out of the refreshed Procurement and Commissioning Strategy to key stakeholders once adopted	Ensure that stakeholders are informed and aware of their obligations when purchasing and contracting on behalf of the Council.		Chief Audit and Control Officer Procurement and Contracts Officer July 2020	Opportunities for savings and efficiencies may be achieved through effective procurement.
NEW	Continue to develop a contract management framework for adoption across the Council.	Establishing a corporate contract management framework to include performance management arrangements/reporting.		Chief Audit and Control Officer Procurement and Contracts Officer July 2020	Opportunities for savings and efficiencies may be achieved through effective contract management.
NEW	Continue to develop the existing Internal Audit collaboration with Erewash Borough Council	Establishing a more formal arrangement and structure for delivery of resilient internal audit services at the two authorities.	Erewash Borough Council	Chief Audit and Control Officer December 2020	Further resilience, efficiency and opportunity for nominal income generation achieved through collaboration.

Pentana Code	Description	Targeted Outcome	Partnership/ Procurement Arrangement	Officers Responsible/ Target Date	Budget Implications/ Efficiencies/Other comments
Legal Services					
LA1821_02	Progress the completion of First Registration of Council owned Land	Achieve 100% registration of unregistered Council land	Land Registry	Chief Solicitor and Deputy Monitoring Officer March 2021	May require additional resources
LA1922_02	Rewrite the Council's Constitution	Update the Council's Constitution to reflect the Council's day to day business	Chief Officers Democratic Services	Head of Legal Services June 2020	
NEW	Develop a robust reporting framework in the Legal Case Management System	Create report templates to enable management of caseloads and effective reporting.		Head of Legal Services April 2020	
NEW	Create templates/ precedents in the Case Management System to improve efficiency	To create templates for internal and external communication		Head of Legal Services June 2020	
NEW	Embed an effective joint Debt Recovery Service to continue to reduce levels of debt.	For management of debts to remain with the section within which the debt was raised. Debt recovery and collection to only be undertaken by Legal Services when court action required.		Head of Legal Services Head of Revenues and Benefits June 2020	May require additional resources to undertake the task
Administrative Services					

Pentana Code	Description	Targeted Outcome	Partnership/ Procurement Arrangement	Officers Responsible/ Target Date	Budget Implications/ Efficiencies/Other comments
DEM1922_01	Roll out phase 2 of the committee management system	More efficient and effective production and distribution of agendas and improved website information		Head of Governance June 2020	Phase 1 completed January 2018 resulting in improved efficiencies. Development work on accessible documents complete. Programme in development to produce reports internally through the management system.
DEM1518_02	Transfer of land charges function to Land Registry	Fully electronic register and successful transfer to Land Registry		Head of Administrative Services January 2021	Some of the land searches function will remain with the Council but no income will be received. The level of funding from the government to compensate is unknown at this stage
DEM1518_01	Community Governance Review	Revision of all parish boundaries so that existing anomalies are removed wherever possible		Head of Administrative Services December 2021	Work will commence in September 2020. The review will focus on the Broxtowe Constituency area only and enable any changes to parish boundaries in the Ashfield Constituency area to be made in light of any parliamentary boundary changes.

Pentana Code	Description	Targeted Outcome	Partnership/ Procurement Arrangement	Officers Responsible/ Target Date	Budget Implications/ Efficiencies/Other comments
DEM 1923_01	Implementation of the canvass reform	Successful implementation of the new canvass process in 2020.		Head of Administrative Services December 2020	Within existing budgets
Human Resources					
HR1720_01	Introduce 6 new online Broxtowe Learning opportunities	Expand the range of opportunities to develop employee skills	Learning Pool	Learning & Development Coordinator March 2021	Within existing budgets
HR1417_03	Review payroll processes to include the introduction of e-forms and expand employee self-service system	Streamlining of processes, reduced paperwork and achievement of efficiencies for employees and managers	Frontier Software	Payroll Manager March 2020	E forms for mileage and expenses claims introduced April 2018 improved efficiency.
HR1922_01	Achieve Level 3 (Leader) Status for Disability Confident Employer Scheme	Become a champion within local/business communities in terms of appointing, keeping, and developing disabled employees	Department for Work and Pensions	HR Manager March 2021	Within existing budgets

Pentana Code	Description	Targeted Outcome	Partnership/ Procurement Arrangement	Officers Responsible/ Target Date	Budget Implications/ Efficiencies/Other comments
NEW	Produce Organisational Development Strategy	Promoting the well-being of employees; empowerment and active engagement of employees in the vision and mission of the organisation; developing top level performance; developing skills in attracting retaining and developing talent and succession planning.	December 2020	Head of Public Protection	Within existing resources
NEW	Introduce adequate data capture methods to allow production of new performance information from the People Strategy	Up to date reliable data is available to inform the themes within the People Strategy	Internally	HR Manager June 2020	Within existing budgets
Council Property					
CP1620_03	Implement the asset Management Plan 2016-21	Increased income from commercial assets and maximum efficiency for non-commercial assets	Tenant and Leaseholders	Estates Manager April 2021	Rental levels are reviewed at lease renewal and new tenant stages to maximise income.
NEW	Introduce a replacement asset management plan for 2021 to 2026.	Increased income from commercial assets and maximum efficiency for non-commercial assets	Tenant and Leaseholders	Estates Manager December 2020	

5. LINK KEY TASKS AND PRIORITIES FOR IMPROVEMENT TO THE FINANCIAL BUDGETS

Priority leaders should ensure that key tasks and priorities (including commercial activities) that have a financial implication are included in the analysis below.

Revenue and Capital Budget Implications/Efficiencies Generated	Pentana Action Code	2020/21 Budget £	2021/22 Budget £	2022/23 Budget £
Budget Implications				
Reduction in general HR training budget	-	(5,000)	0	0
Efficiencies Generated				
Reduction in Staff absences (notional)		5,000	5,000	5,000
New business/increased income				
xx	xx	0	0	0
Net Change in Revenue Budgets		(5,000)	(0)	(0)

6. SUMMARY OF KEY RISKS

Priority leaders are to identify three strategic risks for the Business area and to determine whether these have been/or should be considered on the Council's Strategic Risk Register.

Key Strategic Risk	Is this already covered by an existing Strategic Risk?	What action can be taken/is required to mitigate/minimise the risk or threat
Failure to obtain adequate resources to achieve service objectives	Yes – Risk 2 - Failure to obtain adequate resources to achieve service objectives	Regular updating of Medium Term Financial Strategy and pursuing actions within various strategies including Commissioning and Procurement Strategy, Capital Strategy and Asset Management Strategy
Failure of financial management and/or budgetary control	Yes - Risk 8 - Failure of Financial Management and/or budgetary control	Production of monthly budgetary control reports (revenue/capital) plus reviews of systems and processes by Internal Audit
Not complying with domestic or European legislation	Yes – Risk 7- Not complying with domestic or European legislation	Interpreting and advising on the application of all new legislation and using external support (specialists, professional bodies, networks etc) where appropriate
Inability to attract or retain key individuals or groups of staff	Yes – Risk 21 - Inability to attract or retain key individuals or groups of staff	Review reasons why staff are leaving and seek ways to minimise any impact. Collate and analyse additional data from those employees leaving the organisation.
High levels of sickness absence	Yes – Risk 19 - High levels of sickness	Regular review of sickness absence levels at senior level ensuring Council processes are followed. Additional training provided through BLZ and review of Attendance Management Policy.
Natural disaster or deliberate act which affects major part of the authority	Yes – Risk 15- Natural disaster or deliberate act, which affects major part of the Authority	Reviewing, testing and updating various plans

Also, the top five risks (strategic or operational) arising from the key tasks and priorities for improvement should be identified. Whilst, it will be expected that detailed risks will be considered as part of the project planning process for each key task, it is anticipated that there will be 'common themes' identified which should enable the key risks to be limited to the top five. An earlier example has been included for reference.

Code	Key Task	Risk or Threat to Key Task	Covered by an existing Strategic Risk?	Action taken/required to mitigate/minimise the risk or threat
Finance Services				
FP1922_01	Produce final accounts by end of May	Staff absences or other work demands impacting on ability to meet deadlines	7- Not complying with domestic or European legislation	Final accounts timetable re-written and tasks brought forward where possible
FP1922_02	Implement web based Financial Management Software	Staff absences or other work demands impacting on ability to meet deadlines	20 - Lack of skills and or capacity to meet increasing initiatives and expectations	Detailed plans and training provided by software provider.
FP1922_03	Introduce Intelligent Scanning to all Departments	Staff absences or other work demands impacting on ability to meet deadlines	20 - Lack of skills and or capacity to meet increasing initiatives and expectations	Detailed plans and training provided by software provider.
Legal Services				
NEW	Embed an effective joint Debt Recovery Service to continue to reduce levels of debt.	The debt owed to the Council may increase if debt recovery processes are not maintained.	Risk 9 - Failure to maximise collection of income due to the Council	Cross Departmental discussions are ongoing to ensure the level debt is managed effectively.
NEW	Develop a robust reporting framework in the Legal Case Management System	Legal cases are not managed efficiently that could result in delays and backlogs	20 - Lack of skills and or capacity to meet increasing initiatives and expectations	Templates and Reports are being designed to maximise usage of the Case Management System

Code	Key Task	Risk or Threat to Key Task	Covered by an existing Strategic Risk?	Action taken/required to mitigate/minimise the risk or threat
Administrative Services				
DEM 1518_01	Implementation of committee management system	System does not deliver the anticipated benefits	2 - Failure to obtain adequate resources to achieve service objectives	Implementation plan including testing and training
DEM 1518_02	Transfer of land charges function to Land Registry	Funding from Government will not cover the loss of income	2 - Failure to obtain adequate resources to achieve service objectives	Include within Medium Term Financial Strategy
Human Resources				
NEW	Produce and implement new Organisational Development Strategy	Failure to produce and implement could impact on staff engagement levels and effectiveness of service delivery	20 - Lack of skills and/or capacity to meet increasing initiatives and expectations 21 - Inability to attract or retain key individuals or groups of staff	Ensure new strategy reflects corporate objectives, is fit for purpose, communicated across the workforce and to members, and is adequately monitored.
NEW	Introduce adequate data capture methods to allow production of new performance information from the People Strategy	Failure to implement would seriously impact on review of the People Strategy and as a result, undermine its value.	1 - Failure to maintain effective corporate performance management	Ensure adequate data capture methods are introduced and utilised.