RESOURCES BUSINESS PLAN 2021–2024

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:

- **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: **value our employees and enable the active involvement of everyone**
- **A**lways improving: **continuous improvement and delivering value for money**
- **T**ransparent: **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

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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 for 'A greener, safer, healthier Broxtowe where everyone prospers' with focus on the priorities of Housing, Business Growth, Community Safety, Health and Environment.	April 2024	Chief Executive
Business Strategy	Designed to ensure that the Council is: • 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.	Updated annually	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
Climate Change and Green Futures Programme	A strategic document detailing actions that aim to reduce the Council's carbon footprint to net zero by 2027 and outlines how the Council will influence, encourage and assist households, businesses and schools within the Borough to achieve the same goal.	Reviewed regularly by working group	Strategic Director
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

Strategy/Policy Document	Purpose of Document	Renewal Date	Responsible Officer/Contact
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
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

Strategy/Policy Document	Purpose of Document	Renewal Date	Responsible Officer/Contact
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.	Reviewed Annually. Updated every five years.	Deputy Chief Executive Chief Audit and Control Officer
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 2022	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	Scheme of Delegation and Contract Regulation reviews completed and Approved by Full Council in 2020. Annually to be reported to Full Council in October.	Monitoring Officer/Deputy Monitoring Officers
RIPA Strategy	Ensure proper conduct of investigations to acquire court evidence	Will be updated as necessary	Chief Executive / Head of Legal Services

Strategy/Policy Document	Purpose of Document	Renewal Date	Responsible Officer/Contact
Monitoring Officer			
Constitution	Outlines how the Council operates and relates to other bodies and the wider community	Scheme of Delegation and Contract Regulation reviews completed and Approved by Full Council in 2020. Annually to be reported to Full Council in October.	Monitoring Officer/Deputy Monitoring Officers
Administrative Services			
Electoral Services Service Standard	Provides standards and targets for the delivery of services	Annually	Head of Administrative Services
Local Land Charges Service Standard	Provides standards and targets for the delivery of services	Annually	Head of Administrative Services
Business Support Service Level Agreements	Provide standards and targets for the delivery of support to service areas	Annually	Head of Administrative Services

Strategy/Policy Document	Purpose of Document	Renewal Date	Responsible Officer/Contact
Governance Services			
Complaints Procedure	Provide standards and targets for the delivery of service	Reviewed Annually	Complaints Procedure
Data Protection Policy	To state the purposes to adhered to in the Data Protection Act 2018 and the agreement to adhere to the Act	March 2021	Data Protection Policy
Information Management Strategy	The framework and policies to enable effective Information Management arrangements ensuring that information assets are known, maintained, enhanced, shared. Ensure information is accessible to inform decision making. Supported by the Council's Document Retention Schedule that ensures records are maintained and disposed of in accordance with current legislation.	Reviewed annually updated as necessary	Information Management Strategy
Information Sharing Protocol	Facilitate the sharing of information with Nottinghamshire Police	Update as necessary	Nottinghamshire Police
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 HR & 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

Strategy/Policy Document	Purpose of Document	Renewal Date	Responsible Officer/Contact
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 HR & Public Protection
Organisational Development Strategy 2020-24	To enable the Council to meet current and future organisational aims and objectives through the recruitment, development, and retention of a well led highly skilled, flexible and motivated workforce supported by well-aligned strategy and processes, and full use of new technology.	March 2024	Head of HR & Public Protection
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

Strategy/Policy Document	Purpose of Document	Renewal Date	Responsible Officer/Contact
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

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

- 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

- ➢ 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

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

- ➢ Attend and advise at Planning Committee, and other Committees as required
  - • To advise Members and Officers to support the decision making processes of the Authority

Monitoring Officer

- ➢ Standards
  - • Provide an effective monitoring officer service to the Council and to parish and town councils

- ➢ Services to Parish Councils
  - • To advise Members and Officers to support the decision making processes of the Authority

- ➢ Attendance at Full Council, Governance, Audit and Standards Committee, Performance and Policy Committee and other Committees as required
  - • To advise Members and Officers to support the decision making processes of the Authority

- ➢ Annual Constitutional Review
  - • To ensure the Council operates in line with adopted constitution and that it reflects current officer delegations

Administrative Services

- ➢ 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

- ➢ Land Charges
  - • Maintain an accurate register of Local Land Charges relating to all identifiable properties within the borough
  - • Provide a comprehensive service to the public and to the conveyancing industry in the supply of that information

- ➤ Business Support Services
  - Provide effective support to all service areas within the Council

Governance Services

- ➤ Complaints
  - To coordinate and respond to formal complaints from members of the public about council services

- ➤ Democratic Representation
  - To provide a comprehensive committee administration service to Council, Committees and the public
  - To ensure compliance with the Council's constitution

- ➤ Recording Decision Making
  - To support and enable the decision making processes of the Authority in accordance with legislation
  - Maintain records of decisions taken by Councillors and Chief Officer

- ➤ •Information Management (including Freedom of Information; Environmental Information Regulations; Reuse of Public Sector Information; Information Assets and Transparency Code)
  - To ensure that requests for information and re-use of information are dealt with in accordance with statutory deadlines
  - To ensure that the Council's Information Assets Register is up to date vote
  - To ensure that all information required to be published is on the Council's website

- ➤ CCTV / Security
  - To develop and provide a responsive efficient and cost effective CCTV/Security service to help tackle crime, disorder, and anti-social behaviour

- ➤ Parking Services
  - To develop and provide an efficient off-street parking service in accordance with the Traffic Management Act 2004

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
  - 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

- ➤ 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

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

Service Data Description (Pentana Code)	Actual 2017/18	Actual 2018/19	Actual 2019/20	Comments including benchmarking data
Debtor invoices raised (FPData_01)	4,831	4,946	TBC	
Creditor payments made (FPData_02)	36,273	6,059	TBC	The payments system was reviewed in 2018/19. The figure shown is for payments to Suppliers only
Insurance claims received (FPData_03)	59	39	49	Excludes non-BBC claims received through the Claims Portal.
Long-term Debt at 31 March (FPData_04)	£82.8m	£82.8m	TBC	
Investments at 31 March (FPData_05)	£8.9m	£12.8.6m	£14.6M	
Purchase Orders raised (FPData_06)	5,120	5,692	6,349	Completed and outstanding orders
Works and Goods and Services contracts identified on the Contracts Register (FPData_08)	60	91	90	These contracts cover an equivalent annual spend in excess of £9m
Grant applications processed from voluntary organisations (FPData_08)	33	47	43	Excludes grant aid requests from parish councils.
Section 106 Agreements completed (DSdata_10)	4	3	6	Joint working with Planning
Contracts completed (LAData_11)	8	2	3	Data not available for 2015/16 and 2016/17.
Council house sales completed (LAData_13)	9	3	7	Houses sold under Right to Buy
Court cases dealt with in the Magistrates Court (LAData_14)	0	5	4	
Court cases dealt with in the County Court (including Sundry Debt cases) (LAData_15)	6	8	2	Data does not include sundry debt cases as this data is not available.

Service Data Description (Pentana Code)	Actual 2017/18	Actual 2018/19	Actual 2019/20	Comments including benchmarking data
Land Charges searches processed (LAData_02)	862	744	625	Nationally there has been a decrease in searches due to a decline in property sales. This was further impacted by the national lockdown and the restriction on property sales.
Personal Land Charges searches processed (LAData_03)	1,584	1,657	1,590	Increased competition from private searches with have no fee contributed to the decrease.
Freedom of Information requests (LAData_07)	774	926	872	Greater number of requests for information were made to the Council in 2018/19
Complaints determined by Ombudsman (LAData_08)	10	13	15	
Number of public committee meetings held GSData_01 (New)	72	66	68	
Number of tickets issued by off-street car park pay and display machines (PMData_01)	750,381	745,079	655,317	
Number of on-street Penalty Charge Notices issued (PMData_02)	4,821	4,335	4,635	
Number of off-street charge notices issued (PMData_03)	4,017	3,474	2,879	
Number of chargeable parking spaces (PMData_04)	726	782	782	
Average learning days per employee (HRData_01)	2.3	2.3	2.9	The yearly figure for 19/20 has increased, despite the slight reduction in overall staffing figures, as a programme of corporate training events ran in Q2 & Q3. Along with a programme of ILM Leadership & Management training mainly for Housing employees, plus other vocational training was being undertaken by a number of employees.

Service Data Description (Pentana Code)	Actual 2017/18	Actual 2018/19	Actual 2019/20	Comments including benchmarking data
Training sessions attended by members (HRData_01a)	35	23	74	The 19/20 number has significantly increased due to Borough elections in May 2019 and the member training programme run by officers within the Council. Most of this was held prior to committees, whilst some were held specifically for members on Treasury Management, Dealing with the Media, Social Media skills and GDPR. 2 members also attended events at EMC.
Work experience placements provided (HRData_02)	9	15	9	Up to 31 March 2020 - 9 placements had been provided, of which 5 pupils/students actually attended, plus one Disability Confident four-week placement attended. One other Disability Confident request suspended due to COVID-19. To be reviewed once working conditions return to normal. 16 requests for work experience received but Broxtowe with 10 being offered. 3 requests were from people who are not Broxtowe residents/nor attend Broxtowe educational establishments. The other applicants did not meet the criteria.
Applications received for vacancies (HRData_05)	626	772	930	Positive increase
Applications received electronically (HRData_06)	618	746	923	Positive increase
Applications received in the post (HRData_07)	8	26	7	Reduction in postal applications is a positive development
Permanent appointments (HRData_08)	42	50	43	
Permanent leavers (HRData_09)	58	63	45	

Service Data Description (Pentana Code)	Actual 2017/18	Actual 2018/19	Actual 2019/20	Comments including benchmarking data
Temporary appointments (excluding relief positions) (HRData_10)	5	4	12	
ICT training sessions delivered internally (HRData_18)	117	127	18	The IT Trainer left the Council in June 2019. System owners provide training for users. Assistance on any MS office package is provided by skilled users or via the Microsoft Internet training page, which provides very comprehensive free training on all its Office packages.
Apprentices in post at 31 March (HRData_24)	1	3	5	5 Apprentices in post as of 31 March 2019 •Parking, CCTV & Security Apprentice •Accounts Assistant Apprentice •HR Apprentice •Business Support Apprentice •Modernisations Apprentice
Broxtowe Learning Zone courses available (HRData_25)	52	58	61	Three new courses launched during 2019/20. Dealing with Threat of Self-harm & Suicide, Domestic Abuse Awareness and Coronavirus. Twelve other courses have also been updated and two converted to the new Adapt version.
Broxtowe Learning Zone courses completed (HRData_26)	4,039	5,575	4,695	Only one new 'Certification' course assigned to all users during 2019/20. Two optional courses launched. Since launch in 2014 to the end of March 2020, a cumulative total of 25,539 courses have been completed.
Staff working beyond age of 65 (HRData_16)	10	10	8	
Top 5% of earners who are women (HRData_21)	27%	33%	33%	National figure for local authorities is 49.4% (2018/19)
Top 5% of earners from black and minority ethnic communities (HRData_22)	0%	0%	0%	Not all employees declare National figure for local authorities is 7.1% (2018/19)

Service Data Description (Pentana Code)	Actual 2017/18	Actual 2018/19	Actual 2019/20	Comments including benchmarking data
Top 5% of earners with a disability (HRData_23)	9.1%	5.26%	5.56%	Not all employees declare they have a disability. National figure for local authorities is 2.1% (2018/19)
Commercially Let Industrial Units (CPData_01)	73	73	60	Industrial units remain close to 100% let with some tenant changes. Replacement tenants can usually be found within the three month period.
Property Assets excluding HRA (CPData_02)	153	152	153	Cavendish Lodge was sold during 2018/19. Beeston Town Hall was sold during 2019/20.
Asset Value of Council Property excluding HRA (CPData_03)	£ 30.6m	£30.3m	TBC	
No. of accidents (H&SData_02)	29	38	42	
No. of reportable accidents (H&SData_03)	4	5	2	

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 2017/18	Achieved 2018/19	Achieved 2019/20	Target 2020/21	Target 2021/22	Future Years	Indicator Owner and Comments (incl. benchmarking)
Invoices paid within 30 Days % (BVPI 8)	99.5%	99.3%	97.2%	99%	99%	99%	Head of Finance Services
Working days lost due to sickness absence (BVPI12a)	13.64	8.69	10.88	7.50	7.50	7.50	Payroll Manager In 2018/19 the average working days lost due to sickness was 9.80. The lowest recorded from one local authority was 7.10 with the highest reported as 13.90
Working days lost due to short term absence (HRLocal_17)	4.23	3.22	3.34	2.50	2.50	2.50	
Working days lost due to longer term absence (HRLocal_18)	9.41	5.47	7.54	5.00	5.00	5.00	

OTHER PERFORMANCE INDICATORS

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

Key Performance Indicators (KPI)

Indicator Description (Pentana Code)	Achieved 2017/18	Achieved 2018/19	Achieved 2019/20	Target 2020/21	Target 2021/22	Future Years	Indicator Owner and Comments (incl. benchmarking)
Invoices paid within 20 days (FPLocal_09)	98.5%	97.%	92.6%	98%	98%	98%	Head of Finance Services

Indicator Description (Pentana Code)	Achieved 2017/18	Achieved 2018/19	Achieved 2019/20	Target 2020/21	Target 2021/22	Future Years	Indicator Owner and Comments (incl. benchmarking)
Sundry debtors raised in any one financial year paid in that year (FPLocal_02)	83.2%	83.5%	83.4%	90%	90%	90%	Head of Revenues, Benefits and Customer Services
Internal Audit: Planned audits completed in year (FPLocal_03)	89%	97%	86%	90%	90%	90%	Chief Audit and Control Officer
Procurement compliant contracts as identified in the Contracts Register (FPLocal_11)	90%	95%	75%	95%	95%	95%	Chief Audit and Control Officer Procurement and Contracts Officer Due to the Covid-19 pandemic, strategic decisions were taken to roll-on a number of existing (low value) contracts, instead of retendering. Focus has been on carrying out robust procurement exercises on the high value strategically critical contracts.
Prosecutions where a sentence is imposed in the Magistrates Court (LALocal_13)	100%	90%	100%	90%	90%	90%	Head of Legal Services and Deputy Monitoring Officer
Individually registered electors in the borough (LALocal_08)	84,167	84,788	87,126	85,744	87,500	87,500	Head of Administrative Services *Registered electors on 1 December 2020
Freedom of Information requests replied to within 20 working days % (LALocal_12)	95.0%	97%	96%	100%	100%	100%	Head of Governance and Deputy Monitoring Officer

Indicator Description (Pentana Code)	Achieved 2017/18	Achieved 2018/19	Achieved 2019/20	Target 2020/21	Target 2021/22	Future Years	Indicator Owner and Comments (incl. benchmarking)
Subject Access Requests responded to within one month GSLocal_001 (New)	N/A	N/A	N/A	100%	100%	100%	Head of Governance and Deputy Monitoring Officer
LALocal_04 The % of complaints acknowledged within the specified time (LALocal_04)	91%	94%	97%	100%	*100%	*100%	Head of Governance and Deputy Monitoring Officer *Acknowledgements to be made in five working days from May 2021 in accordance with legislation.
Councillors with an Annual Training Plan (GSLocal_02) (New)	N/A	N/A	N/A	N/A	25%	100%	Head of Governance and Deputy Monitoring Officer
Level of Equality Framework for Local Government to which the Council conforms (BVPI 21)	-	Ach.	Ach.	Ach	Ach	Exc	Ach.=Achieving Exc.=Excellent
Employees declaring that they meet the Equality Act 2010 disability definition (BVPI 16a)	7.09%	6.90%	6.25%	7%	8%	8%	Slight decrease. Not all employees declare a disability
Ethnic minority representation in the workplace (BVPI 17a)	6.87%	6.44%	7.24%	8%	8%	8%	The latest census data shows that 7.8% of individuals within the borough are from a BAME background.
Annual employee turnover (HRLocal_06)	13.1%	14.0%	10.3%	12%	12%	12%	Human Resources Manager 13% for local authorities in England 2018/19

Indicator Description (Pentana Code)	Achieved 2017/18	Achieved 2018/19	Achieved 2019/20	Target 2020/21	Target 2021/22	Future Years	Indicator Owner and Comments (incl. benchmarking)
Employees qualified to NVQ Level 2 and above (HRLocal_07)	85%	85%	86%	87%	88%	88%	Positive increase on previous year Overall skills levels remain stable, as nearly all new starters now come with level 2 or above. If the number of leavers with higher qualifications is higher than the number of new starters this results in a slight overall skill level drop.
Industrial Units vacant for more than 3 months (CPLocal_01)	1.6%	1.6%	1.6%	5%	5%	5%	Estates Manager The industrial units have had some tenant changes but remain fully let.
Industrial Unit tenants with rent arrears (CPLocal_02)	6.6%	1.6%	1.6%	5%	5%	5%	Estates Manager
Beeston Square Shops vacant for more than 3 months % (CPLocal_05)	15%	8%	0%	5%	5%	5%	Estates Manager There has been some rent deferrals due to the pandemic. With government guidance, preventing active debt recovery until at least March 2021, the ability of tenants to repay arrears (currently around 10% of the units) will only become clear once recovery action recommences.
Net rental income yield from The Square, Beeston shops (CPLocal_06)	£252k	£269k	£321k	£250k	£150k	£250k	Head of Asset Management Head of Finance Services This reflects the impact of the Covid-19 pandemic lockdowns on the retail sector.

Management Performance Indicators (MPI)

Indicator Description (Pentana Code)	Achieved 2017/18	Achieved 2018/19	Achieved 2019/20	Target 2020/21	Target 2021/22	Future Years	Indicator Owner and Comments (incl. benchmarking)
Insurance - Achieve a 5% reduction in claims when compared to the average claims in the last five years (FPLocal_06)	59	39	49	53	50	50	Chief Audit and Control Officer
Insurance - Claims closed over a three year period settled at nil cost to the Council (FPLocal_07)	51.1%	45.1%	47.1%	50%	50%	50%	Chief Audit and Control Officer
Internal Audit - Planned audits of key financial systems completed in year (FPLocal_12)	100%	91.7%	86.4%	100%	100%	100%	Chief Audit and Control Officer The two audits not concluded in 2019/20 will be completed in the current year.
Internal Audit - Timeliness of reporting from completion of the audit to distribution of draft report (working days) (FPLocal_13)	n/a	n/a	n/a	n/a	10	10	Chief Audit and Control Officer New indicator for 2021/22
Internal Audit - Actions as agreed by management being implemented (beyond the follow-up period) (FPLocal_14)	n/a	n/a	n/a	n/a	90%	90%	Chief Audit and Control Officer New indicator for 2021/22
Number /% of Templates and Precepts reviewed in Case Management System LALocal_15 (New)	-	--	-	10%	50%	90%	Head of Legal Services and Deputy Monitoring Officer

Indicator Description (Pentana Code)	Achieved 2017/18	Achieved 2018/19	Achieved 2019/20	Target 2020/21	Target 2021/22	Future Years	Indicator Owner and Comments (incl. benchmarking)
Complaints determined by the Local Government/ Housing Ombudsman against the Council (LALocal_07)	2	5	2	0	0	0	Head of Governance and Deputy Monitoring Officer The Ombudsman may investigate any enquiry received as a complaint made against the Council.
Formal Complaints dealt with internally (LALocal_06)	22	29	41	0	0	0	Head of Governance and Deputy Monitoring Officer
Committee Agendas issued in line with legislative timescales to enable Council meetings to be proceed GSLocal_003 (New)	100%	100%	100%	100%	100%	100%	Head of Governance and Deputy Monitoring Officer
Minutes published on the Council's Website within 10 working days of the meeting. GSLocal_004 (New)	N/A	N/A	N/A	100%	100%	100%	Head of Governance and Deputy Monitoring Officer
The number of challenges to the accuracy of minutes (LALocal_09)	N/A	N/A	1	0	0	0	Head of Governance and Deputy Monitoring Officer
Decisions for Council meetings published to Officers within 3 working days of the meeting. GSLocal_005 (New)	N/A	N/A	N/A	100%	100%	100%	Head of Governance and Deputy Monitoring Officer
Net Cost of the Car Parking Service (PMLocal_01)	(£40,680)	£9,413.82	£34,647				Head of Governance and Deputy Monitoring Officer
Job applications received from ethnic minorities (HRLocal_01)	23%	27%	24%	28%	30%	30%	Human Resources Manager

Indicator Description (Pentana Code)	Achieved 2017/18	Achieved 2018/19	Achieved 2019/20	Target 2020/21	Target 2021/22	Future Years	Indicator Owner and Comments (incl. benchmarking)
Appointments from BME Groups **(HRLocal_02)**	18%	10%	19%	20%	21%	21%	Human Resources Manager 9% increase on 18/19
Applications received from self-declared disabled people **(HRLocal_03)**	7%	9%	6%	10%	12%	12%	Human Resources Manager 3% decrease, however not all applicants self-declare as having a disability
Appointments from self-declared disabled applicants **(HRLocal_04)**	14%	3%	6%	8%	10%	10%	Human Resources Manager 3% increase, however not all applicants self-declare as having a disability
Apprentice positions offered **(JBGLocal_02)**	0	3	7	3	3	7	HR Manager In total for the first 6 months of 2020/2021 a total of 5 apprenticeships were offered and 3 have been successfully appointed in HR (Learning & Development), ICT and Legal Services.
Work experience opportunities offered **(JBGLocal_01)**	15	17	9	0	20	20	HR Manager Up to 31 March 2020 - 16 requests for work experience had been received and 9 placements had been offered. Not able to offer placements to the other 7 due:- • 3 not Broxtowe residents • 2 nothing suitable • 1 we don't offer yearly placements • 1 Covid 19 restrictions 2020/21 target amended due to Covid-19

Indicator Description (Pentana Code)	Achieved 2017/18	Achieved 2018/19	Achieved 2019/20	Target 2020/21	Target 2021/22	Future Years	Indicator Owner and Comments (incl. benchmarking)
Staff Satisfaction at being led by managers (HRLocal_09)	-	-	78%	100%	100%	100%	Human Resources Manager Result from staff survey and represents an average of 7 questions about Line Manager
Staff level of trust and confidence in their managers (HRLocal_10)	-	-	45%	100%	100%	100%	Human Resources Manager Result from staff survey. Specific question referred to GMT and the figure represents positive response.
Extent to which employees feel that the Council is committed to equality and values diversity (HRLocal_11)	-	-	83%	100%	100%	100%	Human Resources Manager Result from staff survey.
Staff receiving an annual appraisal (HRLocal_12)	90%	90%	82%	100%	100%	100%	Human Resources Manager The original total for 2019/20 was 76% completed, however due to the Coronavirus outbreak due date was extended to end May 2020.
Staff who have undertaken equality and diversity training (i.e. current validation) (HRLocal_13)	-	-	98%	100%	100%	100%	Human Resources Manager New indicator in 2019/20. Majority of the training is provided by BLZ
Gender Pay Gap (HRLocal_14)	7.92%	6.53%	4.90%	6.00%	6.00%	6.00%	Payroll Manager Broxtowe BC Gender Pay Gap 4.90% (national mean figure is 6.1% for local authorities 2019-20)

Indicator Description (Pentana Code)	Achieved 2017/18	Achieved 2018/19	Achieved 2019/20	Target 2020/21	Target 2021/22	Future Years	Indicator Owner and Comments (incl. benchmarking)
Managers who have received Mental Health Awareness Training (over a three year period) (HRLocal_15)	-	-	67%	33%	33%	33%	Human Resources Manager New indicator in 2019/20. Looking to refresh every 3 years Mental Health Awareness for Managers training was offered to all managers in February 2019 and 67% attended and received the certificate which is valid for 3 years. No further events were offered in 2019/20.
No of days lost as a result of work related stress (HRLocal_16)	1,570	191	314	180	180	150	Work related stress is the lowest it has been since 2014/15
Employees who have completed on-line code of conduct training (HRLocal_19)	-	-	94%	100%	100%	100%	Human Resources Manager New indicator from 2019/20 Training provided by BLZ

4. KEY TASKS AND PRIORITIES FOR IMPROVEMENT 2021/22 – 2023/24 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.*

Action (Pentana Code)	Targeted Outcome	Partnership/ Procurement Arrangement	Officers Responsible/ Target Date	Budget Implications/ Efficiencies/Other comments
Review and update the Financial Regulations for approval by Members **FP2023_01**	The Council's updated Financial Regulations to be adopted by the Council.		Deputy Chief Executive June 2021	Approval required at Full Council
Produce final accounts by end of May **FP2023_07**	Final Accounts to be produced for external auditors to scrutinise by end of May		Head of Finance Services May 2021	Additional interim support agreed by Finance and Resources Committee on 10 October 2019.

Action (Pentana Code)	Targeted Outcome	Partnership/ Procurement Arrangement	Officers Responsible/ Target Date	Budget Implications/ Efficiencies/Other comments
Implementation of Intelligent Scanning ensuring automated matching of valid purchase orders to invoices **FP1922_03**	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 2021	Efficiency expected with improved speed and accuracy of processing
Review the ICON Finance System* **FP2023_02**	ICON ownership needs to be established. Technical Issues require resolving.	Civica	Deputy Chief Executive June 2021	Resourcing of service
Determine the Council's procurement approach to ensure that it meets needs and objectives **FP1922_05**	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 June 2021	May require additional resources – Impact to be determined.
Develop the new contract management framework for adoption across the Council. **FP2023_05**	Establishing a corporate contract management framework to include performance management arrangements/reporting.		Chief Audit and Control Officer Procurement and Contracts Officer June 2021	Opportunities for savings and efficiencies may be achieved through effective contract management.

Action (Pentana Code)	Targeted Outcome	Partnership/ Procurement Arrangement	Officers Responsible/ Target Date	Budget Implications/ Efficiencies/Other comments
Further develop the existing Internal Audit collaboration with Erewash Borough Council **FP2023_06**	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 September 2021	Further resilience, efficiency and opportunity for nominal income generation achieved through collaboration. Aim to be at least budget neutral but may require additional resources – impact to be determined.
Identify and then progress the completion of First Registration of Council owned Land **LA1821_02**	Achieve 100% registration of unregistered Council land	Land Registry Planning and Regeneration Team	Head of Legal Services and Deputy Monitoring Officer October 2022 (revised date)	Additional resource recruited in September 2020 on a 2 year fixed contract. Work has commenced to identify how much Council land remains unregistered. Once completed a timeline to achieve 100% registration will be set. Land registration can take up to 9months to process and may result in delays.
Rewrite and update the Council's Constitution **LA1922_02**	Update the Council's Constitution to reflect the Council's day to day business	Senior Officers Democratic Services Members	Monitoring Officer Head of Legal Services October 2021 (revised date)	Target date revised to allow time for Senior officers and Members to be consulted before proposed changes are reported to Full Council for approval.

Action (Pentana Code)	Targeted Outcome	Partnership/ Procurement Arrangement	Officers Responsible/ Target Date	Budget Implications/ Efficiencies/Other comments
Create instruction Proforma's/Templates/ /guidance notes in the Case Management System **LA2023_02**	To create templates for internal and external communication to improve efficiency, standardise procedures, support team development and resilience.		Head of Legal Services December 2021	Draft proforma templates currently being circulated to services for comment. Expected to be agreed and in use by March 2021. Work on templates and guidance notes underway. Due to volume of documents needed to be created the deadline has been revised to December 2021.
Transfer of land charges function to Land Registry **DEM1518_02**	Fully electronic register and successful transfer to Land Registry		Head of Administrative Services September 2022	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
Community Governance Review **DEM1518_01**	Revision of all parish boundaries so that existing anomalies are removed wherever possible		Head of Administrative Services June 2022	Work will commence in June 2021 and will be concluded to enable any changes to boundaries, including potential changes to Borough Ward boundaries, to be effective for the elections in May 2023.
Implementation of the canvass reform **DEM 1923_01**	Successful implementation of the new canvass process in 2020.		Head of Administrative Services December 2020	Canvass completed within existing budgets

Action (Pentana Code)	Targeted Outcome	Partnership/ Procurement Arrangement	Officers Responsible/ Target Date	Budget Implications/ Efficiencies/Other comments
Roll out phase 2 of the committee management system **DEM1922_01**	More efficient and effective production and distribution of agendas and improved website information		Democratic Services Manager May 2021	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
Replace complaints system **DEM2124_01** (New)	To implement new complaints system and train key users	Support from Newark and Sherwood District Council.	Democratic Services Manager May 2021	Within existing budgets but requires officer training
Hybrid meetings (combined physical/virtual meetings) **DEM2124_02** (New)	To investigate the requirements for facilitating hybrid meetings		Democratic Services Manager July 2021	Within existing resource. Current legislation due to expire May 2021.
Member Development Programme **DEM2124_03** (New)	Develop a bespoke member training programme to update skills to promote sound decision-making.		Head of Governance May 2021	Head of Governance and Deputy Monitoring Officer

Action (Pentana Code)	Targeted Outcome	Partnership/ Procurement Arrangement	Officers Responsible/ Target Date	Budget Implications/ Efficiencies/Other comments
Undertake service review **DEM2124_04** (New)	To establish and define the functions, procedures and performance standards within Governance Services to ensure legislative and corporate requirements are met, updating policies as required		Head of Governance May 2022	Head of Governance and Deputy Monitoring Officer
Introduce 6 new online Broxtowe Learning opportunities **HR2024_01**	Expand the range of opportunities to develop employee skills	Learning Pool	Learning & Development Coordinator March 2021	Within existing budgets Currently 50% complete
Achieve Level 3 (Leader) Status for Disability Confident Employer Scheme **HR1922_01**	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 78% complete
Produce a Neuro-Diversity Policy supported by training **HR2124_01** (New)	Working policy on neuro-diversity issues within the organisation	Internal	HR Manager March 2022	Within existing budgets
Implement a Lease Car scheme for employees **HR2124_02** (New)	Provision of lease cars in line with the Climate Change and Green Futures scheme	Internal/Sodexo	HR Manager	Within existing budgets

Action (Pentana Code)	Targeted Outcome	Partnership/ Procurement Arrangement	Officers Responsible/ Target Date	Budget Implications/ Efficiencies/Other comments
Introduce a replacement asset management plan for 2021 to 2026 **CP2023_01**	Seek to restore income from commercial assets post COVID and maximise efficiency for non-commercial assets	Tenant and Leaseholders	Estates Manager April 2021	
Introduce a health and safety management system **H&S2124_01** (New)	Ensure the Council meets its statutory requirements for managing health and safety.	ICT / Procurement Officer	H&S Manager March 2022	Capital and Revenue costs to be determined (e.g. may or may not involve new software)
Complete the health and safety strategy / document review **H&S2124_02** (New)	Map out what exists, identify gaps, review / introduce all necessary policies in accordance with the required timescales.	Share best practice with other districts	H&S Manager September 2021	
Monitor compliance with H&S strategies and documents **H&S2124_03** (New)	Introduce and carry out targeted audits on specific topics.	Share best practice with other districts	H&S Manager December 2021	
Develop further training and mentoring for managers **H&S2124_04** (New)	Ensure managers are competent to manage health and safety within their own sections / departments.	Cross-Council and share best practice with other districts	H&S Manager March 2022	

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. * = budget implications are not known until further work completed.

All known costs, savings and financial efficiencies (actuals and estimates) identified in the key actions above have been (or will be) incorporated in the annual and medium-term budget accordingly.

6. SUMMARY OF KEY RISKS

Priority leaders have identified three strategic risks for the Business area and ensured that these are considered in the Council's Strategic Risk Register

Key Strategic Risk	Action to be taken or required to mitigate/minimise the risk or threat
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	Production of monthly budgetary control reports (revenue/capital) plus reviews of systems and processes by Internal Audit
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	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	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	Reviewing, testing and updating various plans

The top five risks (strategic or operational) arising from the key tasks and priorities for improvement have also been identified. As part of the project planning process for each key task detailed risk analyses will be undertaken and mitigation actions identified. It is anticipated that there will be 'common themes' identified that are covered by Strategic Risks.

Key Task	Risk or Threat to Key Task	Covered by an existing Strategic Risk?	Action taken/required to mitigate/minimise the risk or threat
Produce final accounts by end of May **FP1922_01**	Staff absences or other work demands impacting on ability to meet deadlines	Yes – Risk 7 (see below)	Final accounts timetable re-written and tasks brought forward where possible
Introduce Intelligent Scanning to all Departments **FP1922_03**	Staff absences or other work demands impacting on ability to meet deadlines	Yes – Risk 20	Detailed plans and training provided by software provider.
Develop a robust reporting framework in the Legal Case Management System **LA2023_01**	Legal cases are not managed efficiently that could result in delays and backlogs	Yes – Risk 20	Templates and Reports are being designed to maximise usage of the Case Management System
Transfer of land charges function to Land Registry **DEM 1518_02**	Funding from Government will not cover the loss of income	Yes – Risk 2	Include within Medium Term Financial Strategy
Implementation of committee management system **DEM1518_01**	System does not deliver the anticipated benefits	Yes – Risk 2	Implementation plan including testing and training
Produce a Neuro-Diversity Policy supported by training **HR2124_01** (New)	Failure to implement could impact employees and place the organisation at risk	Yes – Risk 7 and 22	Ensure work is programmed to allow adequate time to produce document and organise training.

Risks as extracted from the Strategic Risk Register as at 30 November 2020:

Risk 2: Failure to obtain adequate resources to achieve service objectives
Risk 7: Not complying with domestic or European legislation
Risk 20: Lack of skills and/or capacity to meet increasing initiatives and expectations
Risk 22: Failure to comply with duty as a service provider and employer to groups such as children, the elderly, vulnerable adults etc.

The latest Strategic Risk Register is available in full at
https://intranet.broxtowe.gov.uk/finance/risk-management/